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*Journal scientifique*

**ARTICLES OF MEMBERS**  
**ARTICLES DES MEMBRES**



INTERNATIONAL COUNCIL ON MONUMENTS AND SITES  
CONSEIL INTERNATIONAL DES MONUMENTS ET DES SITES  
CONSEJO INTERNACIONAL DE MONUMENTOS Y SITIOS

1994

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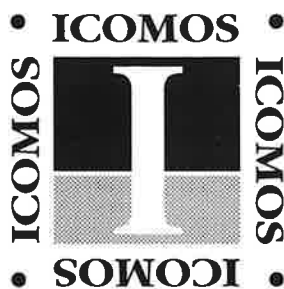
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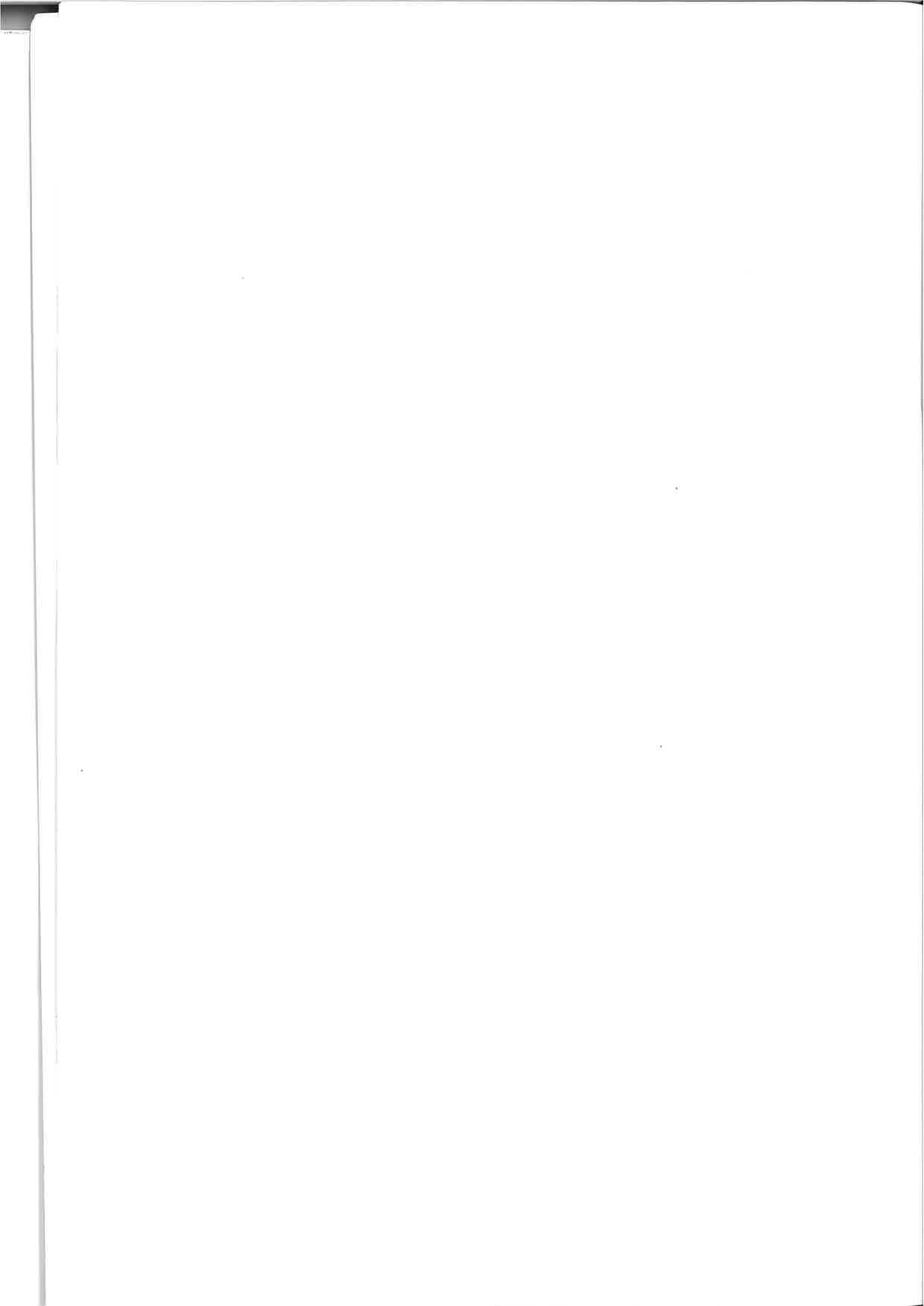
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INTERNATIONAL COUNCIL ON MONUMENTS AND SITES  
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CONSEJO INTERNACIONAL DE MONUMENTOS Y SITIOS



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*The main courtyard of the former Customs House in the historic centre of Mexico City, a World Heritage Site. This and the adjacent former Convent of the Incarnation, since the turn of the century occupied by the Ministry of Public Education, have recently been restored and are the subject of an article on pages 147 - 151.*

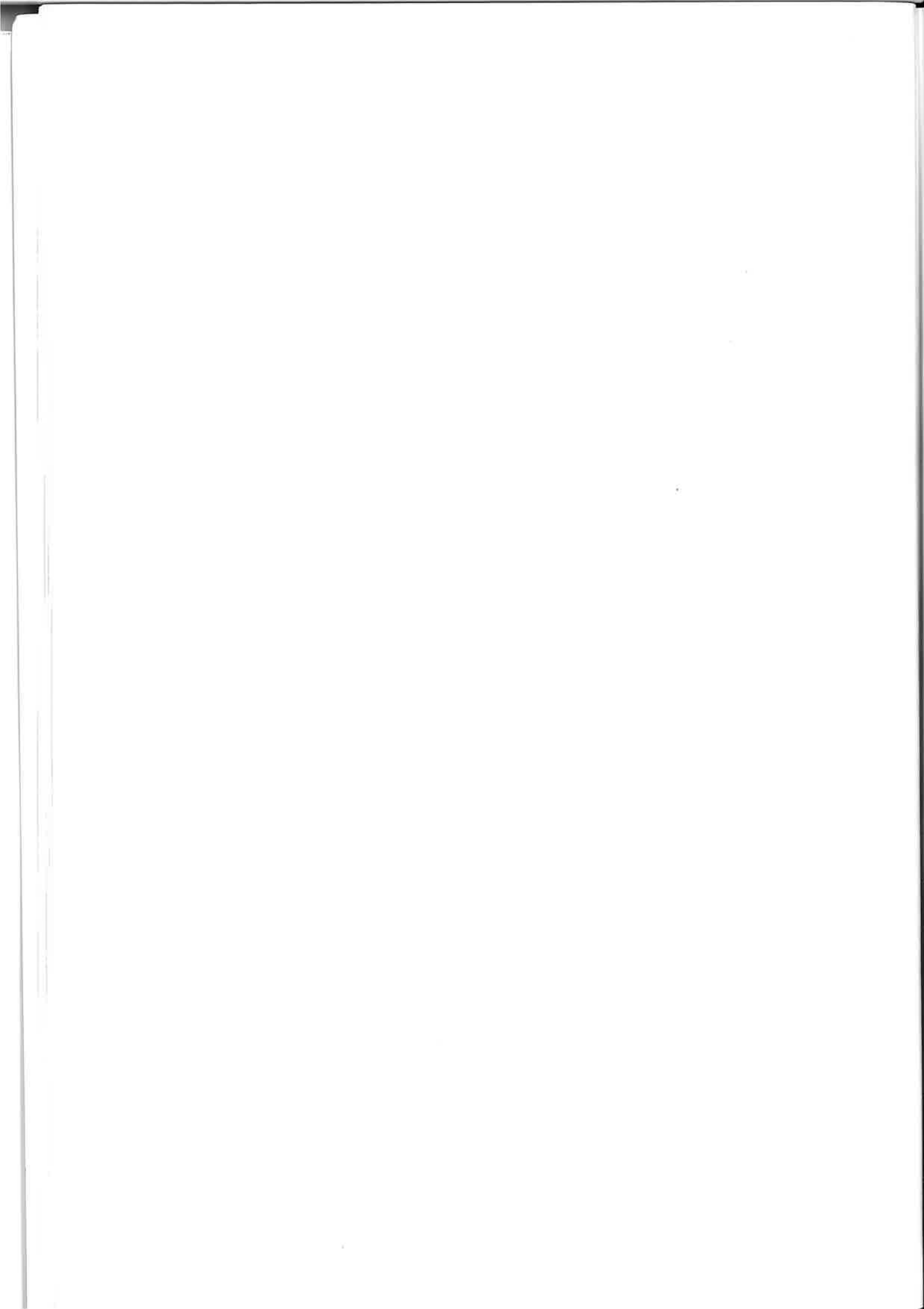
*Photograph by Gabriel Figueroa Flores*

# Contents

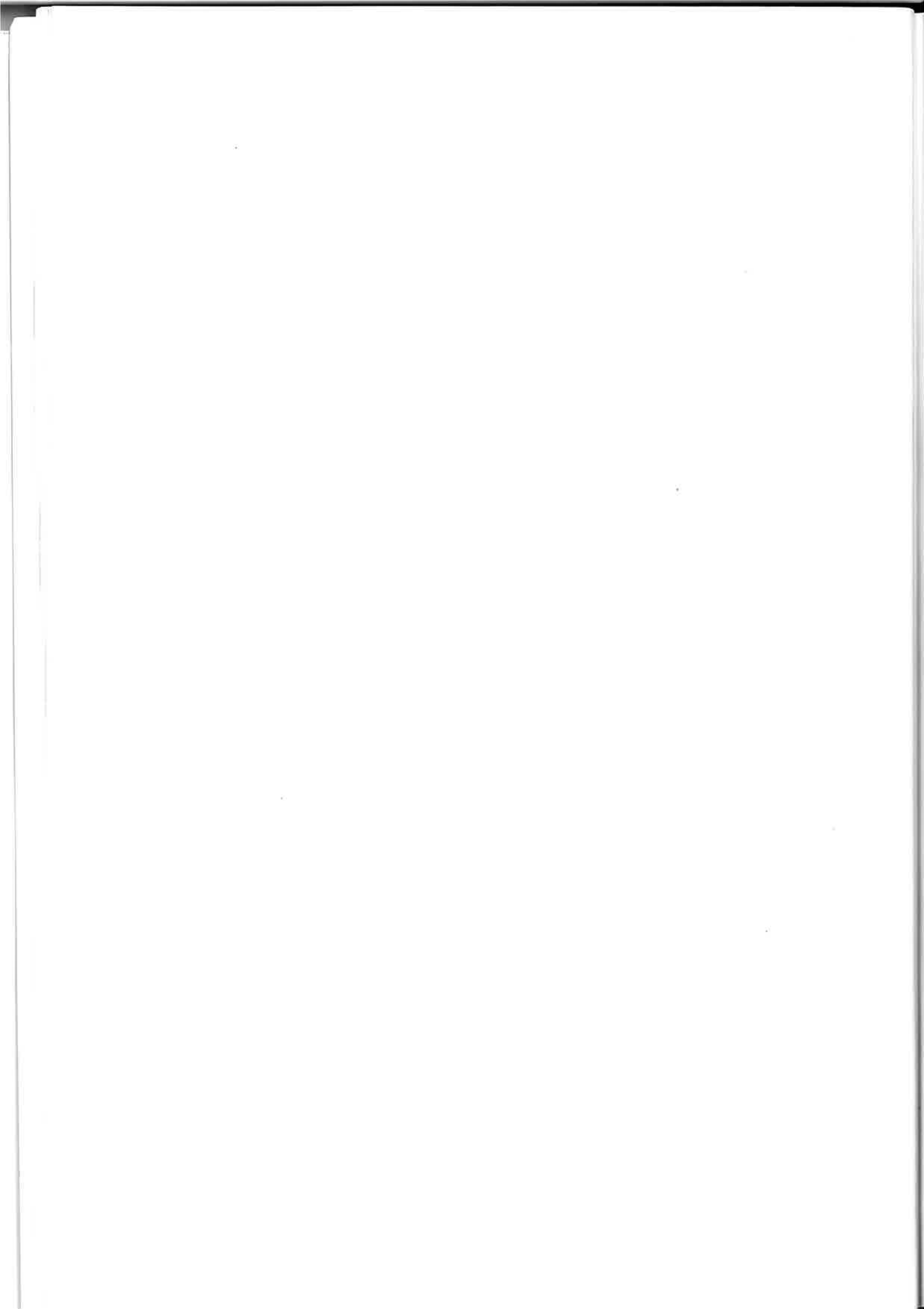
	Page
Foreword ..... <i>Roland Silva</i>	11
<b>ETHICS AND DOCTRINE</b>	
Ethics and Aesthetics in Conservation ..... <i>John Warren</i>	15
Conservation Techniques: Buildings ..... <i>Herb Stovel</i>	20
ICOMOS New Zealand Charter for the Conservation of Places of Cultural Heritage Value .....	23
Guidelines for the Recording of Monuments, Groups of Buildings and Sites - draft .....	26
Diversity, Place and the Ethics of Conservation ..... <i>Joan Domicelj in collaboration with Duncan Marshall</i>	28
'To Know the Place for the First Time': Consideration of Diverse Values for an Australian World Heritage Site ..... <i>Isabel McBryde</i>	34
The Meaning of Cultural Conservation in Muslim Societies ..... <i>Mohammed Arkoun</i>	45
Quelle doctrine de sauvegarde pour demain? ..... <i>Raymond Lemaire</i>	50
La notion d'authenticité dans son contexte et dans sa perspective ..... <i>Jean Barthélémy</i>	56
Authenticité: patrimoine véritable ou illusion désincarnée ..... <i>Dinu Bumbaru</i>	61
Notes on Authenticity ..... <i>Herb Stovel</i>	63
Question about Authenticity ..... <i>Jukka Jokilehto</i>	69
Appendix: extracts from <i>Management Guidelines for World Cultural Heritage Sites</i> by <i>B M Fielden and J Jokilehto</i> .....	76

	Page
<b>POST-TOTALITARIAN EASTERN EUROPE</b>	
Architecture and Conservation in Post-totalitarian Romania .....	83
<i>Peter Derer</i>	
Conservation et valorisation du patrimoine architectural en république de Bulgarie .....	88
<i>Todor Kretev</i>	
<b>CULTURAL HERITAGE AT RISK</b>	
Report on Round Table on Cultural Heritage at Risk held at ICOMOS Headquarters in Paris, 8 & 9 October 1993 .....	97
<i>Dinu Bumbaru</i>	
Analysis of Findings from the Post-War reconstruction Campaigns in Basrah and Fao, Iraq .....	102
<i>Sultan Bakarar</i>	
Methods of Surveying Dubrovnik's Architectural Heritage .....	113
<i>Svetislav Vučenović</i>	
<b>RESTORATION AND DEVELOPMENT IN WORLD HERITAGE SITES</b>	
<b>The Historic Centre of Mexico City</b>	
<i>Jorge Gamboa de Buen</i>	
Introduction .....	133
San Ildefonso Museum .....	137
Town House on Seminario XII .....	141
Ministry of Public Education .....	147
<b>Westminster, London: the New Parliamentary Building</b> .....	154
<b>Architectural Conservation and the Getty Grant Program</b> .....	161
<i>Timothy P Whalen</i>	





## FOREWORD



## Foreword

Roland Silva  
*President, ICOMOS*

### Linking Institutions and Individuals concerned with the Conservation of Monuments and Sites

Article 5 (b) and (c) of the Statutes of ICOMOS spell out the critical need to link Institutions and Individuals associated with the care of Monuments and Sites as follows:

ICOMOS shall:

- (b) Gather, study and disseminate information concerning principles, techniques and policies for the conservation, protection, rehabilitation and enhancement of monuments, groups of buildings and sites:
- (c) Co-operate at national and international levels in the creation and development of documentation centres dealing with the conservation and protection of monuments, groups of buildings and sites, and with the study and practice of traditional building techniques:

These words of wisdom spelt out by the founder fathers of ICOMOS still ring out the message loud and clear. They appeal to the professionals of conservation to gather their forces, pool their resources be it in practice or research, and share their experiences that are gathered from the length and breadth of the world.

We are alive to the wisdom of this call to us to preserve the knowledge of conservation practice gained by every nation through tradition, modern science and through ICOMOS and to share their experience. It is for this very good reason, that the statutes provide for the active participation of National Committees in ICOMOS. For the same reason, we in the Executive Committee decided to select 20 National Committees during the triennial of 1993 to 1996, to publish their conservation policy and practice in 20 volumes in time for the 11th General Assembly in Sofia.

From the point of view of research and new thinking on conservation, the ICOMOS statutes did well to provide for International Scientific Committees that cover these specialized disciplines within the profession of conservation. We have said before that these Committees are the front-lines of conservation and indeed, the pathfinders to the profession. Their success or failure thermostatically indicate the success or failure of the profession. It is for this reason that the Executive Committee arranged in the triennial 1990 to 1993, to publish the accumulated research of five, ten and fifteen years of 12 of the 14 International Scientific Committees.

It is with the same objective that the statutes assert without ambiguity that the development of Documentation Centres is vital. As much as ICOMOS has built up unique archives of very special data concerning Monuments and Sites with the help of, and for UNESCO and its Member States, it is now the wish of the Executive Committee of ICOMOS to see that this resource of research material is readily available to its members and others interested in the profession.

This being our objective, we are glad to record that ICOMOS (Canada) has broken new ground to see that the old system of library - research which restricted research availability to a few hours per week in some hidden street in Paris, has now been transformed to one providing a 24 hour accessibility to this research base through 'internet'. With this basic break through of ICOMOS (Canada) with a

'mini-link' to ICOMOS headquarters, during 1994, the research thrust was assessed at the following sample rate:

- (a) Gopher log Analyzer 3.3  
Thursday Sept. 15  
*111 Connections*
- (a) Gopher log Analyzer 3.3  
Friday Sept. 16  
*144 Connections*
- (a) Gopher log Analyzer 3.3  
Thursday Sept. 22  
*156 Connections*

It is indeed a success story and augurs well for 'internet' and one can imagine the flow once the ICOMOS headquarters Documentation Centre is linked to all 82 National and 15 International ICOMOS Committees!

The thrust of this paper is, on the one hand, to stress the need of information dissemination concerning the profession of conservation. It is, on the other hand, to emphasize even more strongly the need for the Members participating in the dissemination of professional information. It is well for us to appreciate that the 'Scientific Journal' of ICOMOS is precisely for this purpose. If such a notion had in the recent past failed to register in the minds of the members, then this reminder is to underline the importance of individual or collective research which necessarily must be shared. In this regard the Editorial Committee has agreed to a number of pragmatic and broad rules which are as follows:

- (a) Publish two Scientific Journals of about 150 to 200 pages per year.
- (b) The theme of these Scientific Journals could be anchored to an appropriate subject such as one dealt with by the International Scientific Committees. The publication should cover the research of a particular speciality, or deal with any other suitable theme as has been the case in 1994 - with 'Thirty years of the Venice Charter' and 1995 - 'Thirty years of ICOMOS' etc.
- (c) It is also necessary to provide an issue of the Scientific Journal for the 'Articles of Members' as is the case with the present volume. For this purpose at least one of the two bi-annuals should be set apart for member research.
- (d) The Scientific Journal being an expensive item in the budget of ICOMOS and the subscription rate of Members being a very sensitive issue, the Editorial Committee has been forced into accepting a few pragmatic guidelines:
  - (i) Members to make a payment for the Journal.
  - (ii) Publish the Journal on a no-profit no-loss basis.
  - (iii) Deliver the Journal to the National Committees for distribution.

Whilst on this mundane matter we would like to mention that only about 350 members have requested the 1994 issue of the Journal out of about 6000. Although the Journal costs about US \$ 20, it is made available to the Members at a concessionary rate of US \$ 10.

Dear Colleague, if the Scientific Journal of ICOMOS is our vehicle for the dissemination of practice and research, we need to substantially overhaul the mechanism. We therefore, earnestly request readers to kindly respond in writing giving their suggestions on how the journal can be revised to fulfil this mission.

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## ETHICS AND DOCTRINE

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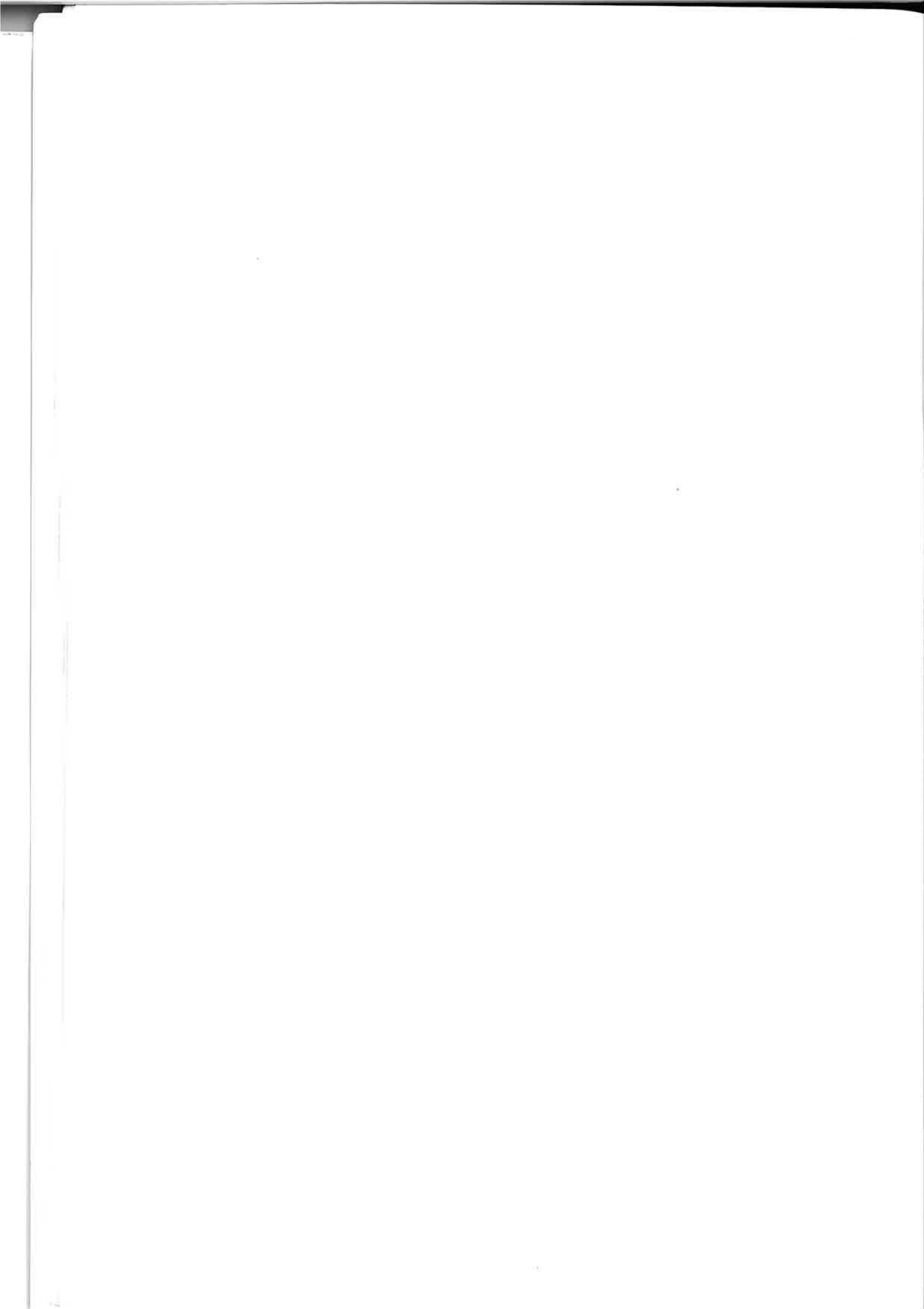
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## Ethics and Aesthetics in Conservation\*

John Warren

*John Warren is a consultant architect, town-planner and conservator, and Honorary Fellow of the Institute of Advanced Architectural Studies at York.*

*John Warren in "Ethics and Aesthetics in Conservation" gets to the heart of the matter when he warns of the difficulties which lie in the temptation to pursue aesthetic objectives at the expense of integrity. Ethics involve responsible behaviour and a sense of responsibility in holding past creations in trust for future generations. One can have an ethical principle ameliorated by aesthetic considerations just as one can have an aesthetically driven conclusion taking an ethical overtone. In the end, for the conservator it is a matter of judgement, not only ethically and aesthetically, but practically in terms of what is achievable and socially right.*

*A paper based on lectures delivered at the Institute of Advanced Architectural Studies in York and elsewhere.*

Conservation is an art governed by philosophical principles which become fundamental criteria governing the activities of its practitioners. These criteria apply across a range of buildings and associated artefacts guiding interpretations and interventions. Efforts to make time stand still, or even to roll backwards, give rise to many actions based on judgement. Judgement in turn demands skill, knowledge, training and the ability to be dispassionate. Judgements are guided by certain principles and the activity of making judgements is undoubtedly an art, the art practised by the Conservator.

Where there are principles we conceive of ethics: where there is art we conceive of aesthetics. These intangible factors interact and by understanding their interaction we understand better the problem and ourselves as participants in it.

Initially definitions:

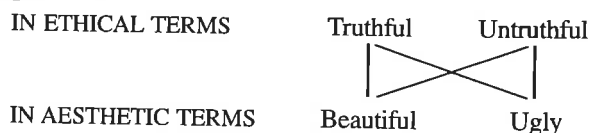
**ETHICS, ETHICAL:** principled; of integrity; uprightness; correctness; truthfulness. All these attributes of behaviour are matters of ethics. In short ethics are the principles which underwrite good behaviour. In the converse therefore, unethical becomes a term of censure.

**AESTHETICS:** the qualities of artistry; the underlying quality of a work of art which ties it to its source or school, period, place or creator. There is no converse, for the obvious reason that the qualities of an artefact are by definition its aesthetic.

It will immediately be apparent that these two qualities are entirely different, although they are indissolubly linked. In conservation neither can exist without the other. Any

work of conservation will be judged by whether it is principled or unprincipled ethical or unethical, and its impact upon the user will be measured aesthetically according to the insight and predilections of the observer. Ethically it may be truthful or deceitful; aesthetically it may be satisfying or unsatisfactory.

It will be apparent immediately that four combinations are possible, thus:



and these combinations can be a matter of degree.

The several possible combinations of these attributes lead, among other conclusions, to the proposition that a work of conservation may be aesthetically pleasing but deceitful. To give the idea shape imagine a building or feature which has been conserved or restored in such a way that it has become pleasing but has been remade so extensively that it is a very long way from the original creative work. It may delight the eye by its success aesthetically but be valueless because it is untruthful. Conversely consider fragments which on their own are aesthetically unsatisfactory like shattered pieces of pottery. These set in a plaster shape may reproduce with total accuracy the form of the artefact but the result is not aesthetically meaningful because the pieces themselves are scattered so that only the most scholarly can visualise the aesthetic quality of the original. This is conservation where visual objectives have been sacrificed in favour of total



truthfulness. The result may not stir the heart but it stirs the mind.

These examples and any other combination will show one thing: that ethics are the dominant criterion in any serious intellectual evaluation. Where the ethics are wrong the result is intellectually unacceptable. Half cynically we might add that if ethics are the qualities that matter intellectually aesthetics are those of emotional appeal. Sometimes fate is kind and these attributes go hand in hand. Where they do the result is uncontroversial. If the pursuit of intellectual truth produces a handsome work of conservation all parties are pleased. Difficulties lie in the temptation to pursue aesthetic objectives at the expense of integrity.

We can understand the problem more thoroughly by breaking down each of these qualities to identify their key components and the methodology that goes with them. Let us pursue this quest for a moment, drawing from the general arguments key CONCLUSIONS to act as guiding principles.

### Ethics

Initially consider conclusions which are essentially ethical. Conservators are not free agents but are controlled by the object of conservation. The imagination of the painter or sculptor may be unconfined—a composer's or poet's even more so — but by virtue of starting with an object of precise shape, the conservator is controlled. This control extends to the material itself and to the immaterial background of its history. The architectural conservator cannot make the right decisions unless he understands why the building is what it is. *In preparation, therefore, the conservator satisfies himself, before any action is taken, that he knows sufficient about the object to allow him to make his decisions correctly.*

The first conclusion therefore is that THE OBJECT OF CONSERVATION MUST BE THOROUGHLY RESEARCHED: it must be understood as an object created in space and in history. This in turn requires an understanding of its social background and status, the changes that have been imposed on it and the reasons why it has taken on its specific form. It becomes a matter of integrity with the conservator that no action is taken until the problem has been adequately researched.

Generally the action required is benign that is to say non-damaging, though sometimes it may extend to destructive research such as excavation or dismantling. This problem leads directly to a second principle relating to intervention.

Conservation almost inevitably leads to intervention i.e. the addition of further, usually new material or removal of an element which almost inevitably is part of its history. Before making any intervention it is essential to record all available evidence. Even evidence which may seem unimportant ultimately may prove to be significant. If an object is worthy of our attention as conservators it is so because of its history or contextual merit. If it has such merit this, of itself demands being put on record.

The second conclusion, therefore is that PRIOR TO ANY INTERVENTION OR CHANGE A SCRUPULOUS RECORD

MUST BE MADE OF STATE AND CONDITION.

As it is an essential prerequisite that work is executed to a sufficient standard we can add that INTERVENTION SHALL BE UNDERTAKEN ONLY BY THOSE WITH APPROPRIATE SKILLS AND EQUIPMENT.

If the concept of ethics contains an essential element of truthfulness we may well ask how truthfulness applies to conservation and how it fits into our pattern. The answer lies both in the handling of the old fabric and the introduction of new. The essence lies in the avoidance of deceit and pretence. It is untruthful to pretend that something is old when it is not. It is untruthful to put something in a context where, although new, it appears to be original. It is not necessary or truthful to proclaim the newness of an intervention by making it aggressively self-evident. A non-statement may be as honest as a violent statement. In this range of opportunities the quality of sympathy arises and to this we will turn again when looking at aesthetics.

There is an ethical element also in other factors such as utilisation. Almost no building or object has been created without reason or purpose. Often — too often — the purpose evaporates leaving the object stranded on the shores of history purposeless but still historically important. No one, so far as I know foresees a widespread return of the cult of Mithras but every Mithraic temple uncovered is a powerful candidate for conservation in situ, to be retained as found. Sometimes the purpose of the object can be redeemed and it can be reused in its original context. This ultimately is the most ethical of all solutions. Better to restore a mosque for use as a mosque, even if that does involve physical alterations, rather than turn it into a jam factory unaltered. Provided that the alterations are not excessive the ethic of retaining the religious use dominates the ethic of integrity of unaltered structure: but the decision will be one of degree, demanding a balanced judgement.

The third conclusion must be that IN ANY INTERVENTION OR RE-USE TRUTHFULNESS IS A PARAMOUNT VIRTUE. This truthfulness will extend beyond stating which part is old and which part is new to fundamental honesty in handling the restored structure itself. A building may require strengthening. This might be achieved by visible insertions which could be disguised, but the disguise may of itself be a dishonest statement. The alternative of hidden reinforcement avoids the need to resort to disguise. The ethical implication is that where exposed reinforcement is required, it should be handled honestly and with minimal visual impact.

Ethics involve, in essence, responsible behaviour: and the principles so far enunciated derive from a sense of responsibility in holding past creations in trust for future generations. There follows then a further principle which applies in conservation as in other aspects of life — reversibility. Just as one fundamental objection to capital punishment is that the penalty is beyond recall, so the application of irreversible solutions in conservation is unsatisfactory. An original component, once destroyed can never be called into evidence. The material it contains can never be analysed by techniques yet to be invented. There is no opportunity for better techniques to be applied in the

future. A further conclusion therefore is that EVERY INTERVENTION SHALL, WHEREVER POSSIBLE, BE REVERSIBLE.

### Aesthetics

We now have four conclusions governing ethics in conservation. Let us look at aesthetics which are driven by the emotive reaction which is a part of the response to all forms of art. No aesthetic value exists without a preconditioning of the mind by comparisons and by an understanding of social and visual values. All aesthetic values derive from conditioned response; that is to say from the reaction of the mind trained to what it sees, hears or senses. These reactions run the gamut from repugnance, horror and fear to adulation, joy and pleasure. These emotive reactions are a critical part of our understanding. If our object of conservation has an aesthetic quality then our intervention should run in parallel with that quality, neither in conflict to diminish it nor exaggerating to enhance it. Aesthetically a first conclusion can be that THE IMPACT OF AN INTERVENTION SHOULD BE SYMPATHETIC OR NEUTRAL.

On this basis and by this means we can ensure that the quality of the original object is seen for what it is. But there is a debatable aspect to this conclusion. In cases where the original quality of the building has been wholly or largely destroyed in the process of historical change, there is a strong and sometimes irresistible argument for restoring the aesthetic quality it once had even though the structure used in the restoration is entirely new and the material that demonstrates the aesthetic may therefore, be described as false. Replacement of a finial may pose such a problem if the shape of the original is not known. Better to have a finial than none at all, so runs the argument, leaving us with the choice of a modern design or a traditional form. We might then derive a second conclusion: that AN INTERVENTION SHOULD MOVE TOWARDS A FULL APPRECIATION OF THE BUILDING.

Many buildings have been altered at different phases in their history. Intervention can heighten or diminish any one phase. The process can go so far that the conservator may eliminate one phase entirely in favour of another. He can cut out later development to expose only the original state or in the converse he can cover the original by heightening the later work. He is entitled to make a judgement; he may be forced to do so!, and that judgement must be based on knowledge which derives from comparative values, assessments of rarity of significance or social importance and of historical value. Many subtle questions can arise. What for instance does he do with the humble but very rare building which cannot be restored or exposed without destroying a much grander but relatively common structure totally obscuring it? Does he remove the modern but historic parts to reveal the first and most venerable foundation? From such dilemmas we can draw the conclusion that THE SCALE AND NATURE OF THE INTERVENTION MUST RESPECT THE SIGNIFICANCE OF THE BUILDING AND ITS PHASES OF CONSTRUCTION.

Finally let us turn to the nature of the aesthetic. It is the fingerprint, the distinctive mark of the creator. It is the

quality apparent to the skilled observer, which tells when and by whom the building was designed, perhaps by whom it was built. It is most meaningful to those with most experience; to the newcomer it may hardly be apparent at all. It consists of nuances, inflexions and accents which betray the source and quality of the creative effort. In simple analogy it may be compared to the dialect of a language. To someone who cannot speak a language dialect is meaningless; to those well versed in the language dialect is immensely rewarding, carrying the flavour of the country, telling something of the origin of the speaker and much about his place in society. It can be ugly or beautiful; it can betray place and time.

So we have an aesthetic characteristic which may perhaps be encapsulated in a conclusion to the effect that THE INTRINSIC QUALITY OF THE BUILDING MUST BE RESPECTED, ANY INTERVENTION BEING NEUTRAL OR SYMPATHETIC TO THE ORIGINAL. This might be coupled with a further conclusion to the effect that THE BUILDING SHOULD BE PLACED IN A SETTING WHICH IS CONTEXTUALLY RIGHT AND MEANINGFUL. For reasons of history or limitations of brief this may be beyond the powers of the conservator but aesthetically it is not to be ignored.

These conclusions will suffice to allow us to discuss their rationale and to relate ethics to aesthetics.

### Conclusions

The first conclusion was that THE OBJECT OF CONSERVATION MUST BE THOROUGHLY RESEARCHED. There are several generalities to be borne in mind. Research is likely to involve a range of special skills beyond those of the conservator and, therefore in pursuit of high ethical standards the conservator will have a humility which allows him to seek out and sit at the feet of others who have greater and more specialised knowledge. Part of the conservation ethic is fulfilled when the conservator deploys at the outset the whole range of available skills to define the qualities of the building he is dealing with and this of course will draw in aesthetic judgements which may be made by others of greater competence — art historians or architectural historians — whose views must then be accommodated in the work that follows. Archaeologists, structural specialists and archivists in their libraries may all contribute and the conservator may take an active part in one or all of these activities. His integrity is shown in the way in which he combines all the resulting information before making decisions as to interventions in the building itself. The skills available include many forms of physical survey, laboratory analyses of material and documentary evidence. Contextual evidence can be important and the research must extend to knowledge of the materials applicable in any intervention.

The second conclusion was that PRIOR TO ANY INTERVENTION A SCRUPULOUS RECORD MUST BE MADE OF STATE AND CONDITION. This aspect of the work is sometimes very difficult to fund for the simple reason that most building owners see such work as relatively unimportant since no results are visible on the building itself.

With recording goes research. Physical surveys will include many aspects of measurement. Environmental conditions must be analysed while physical, planning and human circumstances are crucial to an understanding of potential and requirements and themselves may be the subject of record. This process of recording is of course of small importance while the object stands unaltered but when the conservation process has gone forward a record of its earlier condition becomes increasingly significant and at that point there is no going back to make it.

Recording is doubly important where a whole phase of a building will disappear in the work of conservation. Sometimes this is unavoidable, at other times it is simply desirable. It is part of the integrity of the conservator that information is not allowed to slip away since it can be an important resource for the future.

An objective of recording and research will be to define the aesthetic value and context of the building in its original state. An object once pristine and colourful may have acquired subsequently the mellow qualities of 'pleasing decay'. Are these to be sacrificed to return to the original condition, and is this condition relevant in present circumstances? By intervening shall we have eliminated forever a special quality even though this might be an accident of history and of aesthetic value alone?

With this thought we leap forward to our final principle of ethics that EVERY INTERVENTION SHALL WHEREVER POSSIBLE BE REVERSIBLE. Reversibility is simply the ability to remove the intervention restoring the earlier condition. Aesthetically this allows room for the argument that an attractive time-worn aspect may be retained with advantage rather than destroyed.

Our third conclusion was that IN ANY INTERVENTION OR RE-USE TRUTHFULNESS IS A PARAMOUNT VIRTUE.

Truth demands that a present intervention is not to be mistaken for old material and with care this can be achieved. Modern materials can always be identified or marked without damage to the aesthetic qualities of the work. Truthfulness carried to the extreme, however, can conflict violently with aesthetic objectives. It may be argued that because the form of a particular ancient window is unknown a modern, metal window, painted bright blue, should be inserted to make a positive statement of lack of knowledge. This argument, of course is countered by the principle of sympathy and the need for a neutral quality in any intervention. An ethical principle is thus ameliorated by aesthetic considerations.

This takes us to our essentially aesthetic conclusion: THAT THE IMPACT OF ANY INTERVENTION SHOULD BE SYMPATHETIC OR NEUTRAL.

Here a conclusion driven aesthetically takes on an ethical overtone. It is hardly possible to be sympathetic to something which you do not understand but we have already established that the conservator will make it his first duty to understand the object he is conserving. His opportunity for choice may lie in several directions and his decision may depend considerably upon integrity and balance of judgement, but other pressures may enter the equation which have nothing to do with aesthetics: money, religion, ethnic

loyalties and politics among them.

The conclusion that AN INTERVENTION SHOULD MOVE TOWARDS A FULL APPRECIATION OF THE BUILDING is essentially aesthetic. The fullest understanding of a building is gained from an appreciation of its original state. An intervention should therefore enhance rather than diminish this understanding. Application of this idea tends towards the predominance of a wider characteristic over the lesser. A surface given a colour, texture or pattern on the basis of informed speculation may contribute more to understanding than one left blank for lack of detailed knowledge.

The ethic of truthfulness in an overall context may dominate that of truthfulness in minutiae. Aesthetic advantage may then become an important factor. However aesthetic advantage is not on its own decisive and the rightness of the greater truth over the lesser becomes the determinant.

Aesthetics and ethics bear equally upon the conclusion that THE SCALE AND NATURE OF THE INTERVENTION SHOULD RESPECT THE SIGNIFICANCE OF THE BUILDING AND ITS PHASES OF CONSTRUCTION. It is both responsible and visually desirable to limit the impact of the intervention upon an historic monument.

The final conclusion was that THE INTRINSIC QUALITY OF THE OBJECT MUST BE RESPECTED, ANY INTERVENTION BEING IN SYMPATHY WITH THE ORIGINAL. This is not to say that a building of one type can only be restored using materials identical to the original. That, in itself, might sometimes confound the ethic of truthfulness. What it does mean is that the conservation should not be obtrusive. Ideally the observer should come to the object and be unaware of the detailed nature of the conservation. He should merely be aware that the object has been venerated and dealt with carefully and with skill.

He should not be deceived and he should not be offended. He should not be repulsed nor should he be led to believe that the original object was finer, nobler, more important or more beautiful than in truth it really was. This in part depends on the surroundings and adjacent structures. For this reason it is important that THE BUILDING SHOULD BE PLACED IN A SETTING WHICH IS CONTEXTUALLY RIGHT AND MEANINGFUL. This objective is often made more difficult to achieve by sequential historical events, the insertion or removal of other buildings, changes in street pattern or other circumstances outside the conservator's control, but here ethical judgements will dominate over considerations of beauty. A correct setting is to be preferred to one which is made handsome irrespective of contextual proof.

But beyond these balances and checks of values there is a consideration of present and future time. The question must be asked of every act of conservation: how is this work meaningful and right for this and future generations? The conservator must weigh his judgements not only ethically and aesthetically, but practically in terms of what is achievable and socially right for his generation. It is also fair, that where appropriate, the conserving generation makes its own creative statements.

There is obviously a limit but more may be achievable than is imagined at the outset. The art of conservation is one of compromise. Essentially the skill of the conservator is to be self-effacing. He will never be the brightest star in the architectural firmament. The quality of his work will be not to shine large and bright, but to glow quietly.

To conclude with a further thought of astronomic dimensions, one which can affect the judgement of the conservator in choice and method, materials and objectives. We protect our buildings by law apparently indefinitely.

How long will this be? How far can our minds be stretched? Our planet will survive as we know it for perhaps 1.5 million years. Do we as conservators conceive of our work as extending for a thousand, fifty thousand or a thousand thousand years? Do we imagine that our principles measure up to the aeons of this vast future? Are we repairing venerable stones shaped only a thousand years ago for a future of a million years? The thought, to the mind prepared to grasp it, is awesome.

*\* This paper was first published in Transactions Volume 17 1992 of the Association for Studies in the Conservation of Historic Buildings.*

## Conservation Techniques: Buildings\*

*Herb Stovel*

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*Herb Stovel in "Conservation Techniques: Buildings" begins by stating that no technical conservation decision exists outside a philosophical context. Conservation is more an art than a science, technical measures being the means of prolonging the life of a site with important "messages" reflecting its values. The degree to which conservation action enhances these values is the real measure of success and not the ingenuity of the technical solutions. The author looks at ICOMOS as the custodian of conservation on doctrine, accepting criticism of the Venice Charter and encouraging the establishment of other charters like the Burra Charter of Australia or, more recently, the New Zealand Charter, which adapt the principles of the Venice Charter to local conditions. The New Zealand Charter, which is included immediately following this paper, advances conservation thinking by accepting the inevitability of decay in dealing with the heritage of indigenous peoples. Like John Warren, the author pleads, in matters of conservation, for modesty and minimum intervention, the key concept being caution.*

Though my topic 'Conservation Techniques: Buildings' suggests a focus on conservation, I would prefer to make a plea that our greatest technical need is to give the technical a context, a perspective. No technical conservation decision exists outside a philosophical context. This philosophical basis is too often implicit, based on unspoken assumptions; it needs to be discussed widely in advance, and based on shared views.

This may sound so self-evident that you might see no reason to discuss or debate the point. But the reality is that too often, in my experience, technical decisions are made without a philosophical context of any kind. Many of my students (and I have 35 postgraduate students at home at the University of Montreal studying conservation) arrive in my programme expecting to become technical experts. I have considerable difficulty in trying to explain that while they may learn how to manage a process, to ask good questions, and to become expert in dealing with the "why" of conservation they will not become proficient in the "how".

Conservation activity must have a clear purpose, both in general, and as applied to specific projects, and it is important that we not lose sight of this. There are many definitions of conservation around, but the best that I have found is Sir Bernard Feilden's: "Conservation seeks to prolong the life of cultural property and if possible to clarify the historic and artistic messages without loss of authenticity".

There are many significant implications in this definition. Perhaps the most important (and this links to the application of technology to solve problems) is the realisation that conservation is more an art than it is a science — perhaps an art in need of scientific method in order to improve the effectiveness of its decisions — but nevertheless an art. Feilden's definition of conservation focuses on technical measures to 'prolong the life', but its primary concern is with 'messages' reflective of the values that give a site meaning. The success of conservation intervention can only be judged by the degree to which actions support or enhance these values, not the technical ingenuity of the solutions.

Perhaps at this point it would be useful to look at the role of ICOMOS, the organization I represent, in dealing with these issues. At the international level, ICOMOS looks

at itself as the custodian of conservation doctrine. ICOMOS (the International Council on Monuments and Sites) did not exist when the Venice Charter was written, but came into being six months later, in 1965, to meet the equally pressing need to create means for exchange among professionals involved in the field. ICOMOS came to adopt the Venice Charter, and such supplementary documents as were developed to explain or interpret its provisions in a variety of contexts.

The Venice Charter has been frequently criticised since its creation: it has been described as Euro-centric by some; others have suggested its principles more easily address the conservation of stone than ephemeral materials like wood; and some have criticised it for not explicitly focusing on values as the source of conservation activity.

ICOMOS has done its best to address these criticisms. While with time, the Venice Charter itself has become a kind of holy writ and essentially untouchable, ICOMOS has acknowledged various shortcomings, and embarked on a series of improvements. For one thing, ICOMOS asks critics to ensure that the Charter is read as a whole, and individual articles not applied out of context. ICOMOS has also encouraged those responsible for heritage protection in specific national, regional or thematic contexts to adapt the Venice Charter to their needs. As a result, we now have ICOMOS charters which attempt to consolidate conservation principles in areas like Historic Towns, Historic Gardens, and Archaeological Heritage Management. Equally, we have national charters in Canada, Australia and New Zealand and other countries which have attempted to adapt the principle of the Venice Charter to local conditions.

I should note that the New Zealand ICOMOS charter,<sup>1</sup> only recently finalised, represents both an excellent effort to codify and clarify conservation ideas at a national level, but one which succeeds in advancing conservation thinking at the international level. Its acceptance of the inevitability — indeed the possible desirability of decay — in dealing with the heritage of indigenous peoples is an important accomplishment in the development of conservation doctrine. For the first time, the aspirations and the cultural values of indigenous people are directly linked to defining provisions for appropriate care.

To further underline the importance of establishing a sound philosophical framework, I would like to look at two of the historic sites we have visited while here this week. In both Pompallier and the Waitangi Treaty House, new conservation work has been directed to correcting what have been described as the falsifications of the past. In both cases, the quality of the research and technical investigation has been outstanding and yet, to be honest (and I hope not offensive to our hosts), I believe their legitimacy may be questioned. No doubt the debates have waxed strongly here and will continue, but what has struck me most strongly here as an outsider is the degree to which each major restoration in the life of structures, even where correcting "falsehoods", may contribute to loss of integrity of original or important material. We may believe ourselves sure of our conclusions now, but who is to say that our predecessors were not? And who is to say that the research capacities of

our successors will not reach new heights of truth — heights which may suggest yet again the need for restoration? If you believe this is far-fetched or extreme, I could also give you numerous examples of North American buildings now embarking on their 5th or 6th major restorations, each successive intervention moving a little closer to interpretive truth, at the expense however, each time, of significant building fabric. I believe it is incumbent upon all of us in the conservation field to approach our work with modesty, to live by the rule of minimum intervention (which requires aggressive exploration of non-intrusive alternatives to meet needs), and to hold back from restoration unless we can be absolutely sure that our decisions are beyond questioning now, and will remain so in the future. If we cannot be sure, we should back away from restoration and let time reveal or decide what is truly significant.

The key concept here is caution. If those new to the practice of conservation take away one central idea from this presentation, it would be the value of caution in conservation decision-making. A further example and one fresh from several of my recent contacts with the ICOMOS Wood Committee has to do with the use of chemical preservatives in treating decay in wood. For years, the conventional wisdom in the field has been to pump deteriorated wood full of chemicals to retard fungal and insect decay. We have always paid some attention to preventative measures but usually as a complement to the needed dose of chemical, which is somehow seen as the primary intervention. The ICOMOS Wood Committee as a result of 15 years of monitoring the use of chemicals in projects around the world has come to a startling conclusion — we do not need them, or we may need them only in the most exceptional circumstances. A consensus seems to have emerged that chemical preservatives don't necessarily solve the problems they are directed to, and that in the process of application, over long years, they may do more harm than good. This new preference for caution it should be acknowledged is emblematic of a significant shift in the orientation of our thinking: the unquestioning belief of past generations in technical advances has been replaced by an equally deep-seated suspicion for overly complex technical intervention.

But to return to my principal theme which is the necessity of establishing a philosophical context for technical intervention. If we accept this as the goal, and if we accept caution as the by-word in our attempts to reach this goal, we must still ask ourselves: how can we do better in achieving this goal?

From my perspective, part of the answer rests with the decision-making process and our role in it. One of the points where we fall down most often is in failing to attribute sufficient weight or time to the determination of values in that process, in order to ensure that the values we recognise are widely shared and clearly identified. The most innovative conservation programmes of the past decades have been those that have moved in this direction. Since I've heard discussions of Main Street programmes while here in New Zealand, I will use these as an example. These programmes usually describe as their aim the economic revitalisation of

small town cores as a means of stimulating preservation activity. The real result of such programmes, in my Canadian experience, has been a mobilisation of grassroots support for preservation, but more importantly, the beginning of direct participation by communities in the definition of their own heritage values and of the means appropriate for their care. This has been one of the keys to the success of the programme — the degree to which decisions reflect shared values, and therefore to some degree can be said to objectively identify the essence of what it is important to conserve. The key both in determining values, and in applying principles is ensuring adequate debate. With it, decisions gain credibility, and programmes gain community support.

I have wandered fairly far from the technical in insisting that we focus on the philosophical context — especially if you had been led by my presentation's title to expect a diet of nuts and bolts. But I am convinced of the necessity of establishing this context if we are to improve the quality of our work.

I would like to focus finally on the implications, for professionals such as myself of a concern for process, for ensuring technical decisions acknowledge and respect shared

appreciation of value in sites. We must realise that the success of our efforts has as much to do with our ability to facilitate and encourage the kind of broad discussion essential to legitimately establish the values our actions must support, as with the scientific expertise we bring to problems. And equally, we must recognise that no amount of technical virtuosity can ever substitute for not getting the values right.

And finally in conclusion: I would like to do my best to embarrass Harald Langbery, (who is here among you and who you should recognize as a singer of the original Venice Charter), by focusing on something he once said. In the ICOMOS General Assembly of October 1990, in Lausanne, Harald Langberg took the floor at a particular moment, and pointing to the youngest participant in the discussions (who happened to be my four month old son Colin), said — "We do it for him and his generation. We conserve for the future." It was well said, and from the heart — we conserve so that future generations may understand and profit from that understanding. From that pre-eminent moral obligation springs the need to exercise the utmost care in imposing decisions which could sacrifice or risk the integrity of that legacy.

\* *Notes from a presentation at the 6th International Conference of National Trusts held in New Zealand.*

<sup>1</sup> *The ICOMOS New Zealand Charter for the Conservation of Places of Cultural Heritage Value is published in full on pages 23 - 25.*

# ICOMOS New Zealand Charter for the Conservation of Places of Cultural Heritage Value.

## Preamble

New Zealand retains a unique assemblage of places of cultural heritage value relating to its indigenous and its more recent peoples. These areas, landscapes and features, buildings, structures and gardens, archaeological and traditional sites, and sacred places and monuments are treasures of distinctive value. New Zealand shares a general responsibility with the rest of humanity to safeguard its cultural heritage for present and future generations. More specifically, New Zealand peoples have particular ways of perceiving, conserving and relating to their cultural heritage.

Following the spirit of the International Charter for the Conservation and Restoration of Monuments and Sites (the Venice Charter 1996), this charter sets out principles to guide the conservation of places of cultural heritage value in New Zealand. It is intended as a frame of reference for all those who, as owners, territorial authorities, tradespersons or professionals, are involved in the different aspects of such work. It aims to provide guidelines for community leaders, organisations and individuals concerned with conservation issues. It is a statement of professional practice for members of ICOMOS New Zealand.

Each section of the charter should be read in the light of all the others. Definitions of terms used are provided in section 22.

Accordingly this charter has been adopted by the New Zealand National Committee of the International Council on Monuments and Sites at its Annual General Meeting on 4 October 1992.

### 1. *The Purpose of Conservation*

The purpose of conservation is to care for places of cultural heritage value, their structures, materials and cultural meaning. In general, such places:

- (i) have lasting values and can be appreciated in their own right;
- (ii) teach us about the past and the culture of those who came before us;
- (iii) provide the context for community identity whereby people relate to the land and to those who have gone before;
- (iv) provide variety and contrast in the modern world and a measure against which we can compare the achievements of today; and
- (v) provide visible evidence of the continuity between past, present and future.

### 2. *Indigenous Cultural Heritage*

The indigenous heritage of Maori and Moriori relates to family, local and tribal groups and associations. It is

inseparable from identity and well-being and has particular cultural meanings.

The Treaty of Waitangi is the historical basis for indigenous guardianship. It recognises the indigenous people as exercising responsibility for their treasures, monuments and sacred places. This interest extends beyond current legal ownership wherever such heritage exists. Particular knowledge of heritage values is entrusted to chosen guardians. The conservation of places of indigenous cultural heritage value therefore is conditional on decisions made in the indigenous community, and should proceed only in this context. Indigenous conservation precepts are fluid and take account of the continuity of life and the needs of the present as well as the responsibilities of guardianship and association with those who have gone before. In particular, protocols of access, authority and ritual are handled at a local level. General principles of ethics and social respect affirm that such protocols should be observed.

### 3. *Conservation Practice*

Appropriate conservation professionals should be involved in all aspects of conservation work. Indigenous methodologies should be applied as appropriate and may vary from place to place. Conservation results should be in keeping with their cultural content. All necessary consents and permits should be obtained.

Conservation projects should include the following:

- (i) Definition of the cultural heritage value of the place, which requires prior researching of any documentary and oral history, a detailed examination of the place, and the recording of its physical condition;
- (ii) community consultation, continuing throughout a project as appropriate;
- (iii) preparation of a plan which meets the conservation principles of its charter;
- (iv) the implementation of any planned work; and
- (v) the documentation of any research, recording and conservation work, as it proceeds.

### General Principles

#### 4. *Conservation Method*

Conservation should:

- (i) make use of all relevant conservation values, knowledge, disciplines, arts and crafts;
- (ii) show the greatest respect for, and involve the least possible loss of, material of cultural heritage value;
- (iii) involve the least degree of intervention consistent with long term care and the principles of this charter;
- (iv) take into account the needs, abilities and resources of



- the particular communities; and  
(v) be fully documented and recorded.

#### 5. *Respect for Existing Evidence*

The evidence of time and the contributions of all periods should be respected in conservation. The material of a particular period may be obscured or removed if assessment shows that this would not diminish the cultural heritage value of the place. In these circumstances such material should be documented before it is obscured or removed.

#### 6. *Setting*

The historical setting of a place should be conserved with the place itself. If the historical setting no longer exists, construction of a setting based on physical and documentary evidence should be the aim. The extent of the appropriate setting may be affected by constraints other than heritage value.

#### 7. *Risk Mitigation*

All places of cultural heritage value should be assessed as to their potential risk from any natural process or event. Where a significant risk is determined, appropriate action to minimise the risk should be undertaken. Where appropriate, a risk mitigation plan should be prepared.

#### 8. *Relocation*

The site of an historic structure is usually an integral part of its cultural heritage value. Relocation, however, can be a legitimate part of the conservation process where assessment shows that:

- (i) the site is not of associated value (an exceptional circumstance); or
- (ii) relocation is the only means of saving the structure; or
- (iii) relocation provides continuity of cultural heritage value.

A new site should provide a setting compatible with cultural heritage value.

#### 9. *Invasive Investigation*

Invasive investigation of a place can provide knowledge that is not likely to be gained from any other source. Archaeological or structural investigation can be justified where such evidence is about to be lost, or where knowledge may be significantly extended, or where it is necessary to establish the existence of material of cultural heritage value, or where it is necessary for conservation work. The examination should be carried out according to accepted scientific standards. Such investigation should leave the maximum amount of material undisturbed for study by future generations.

#### 10. *Contents*

Where the contents of a place contribute to its cultural heritage value, they should be regarded as an integral part of the place and be conserved with it.

#### 11. *Works of Art and Special Fabric*

Carving, painting, weaving, stained glass and other arts associated with a place should be considered integral with a place. Where it is necessary to carry out maintenance and

repair of any such material, specialist conservation advice appropriate to the material should be sought.

#### 12. *Records*

Records of the research and conservation of places of cultural heritage value should be placed in an appropriate archive. Some knowledge of places of indigenous heritage value is not a matter of public record, but is entrusted to guardians within the indigenous community.

#### Conservation Processes

#### 13. *Degrees of Intervention*

Conservation may involve, in increasing extent of intervention: non-intervention, maintenance, stabilisation, repair, restoration, reconstruction or adaptation. Where appropriate, conservation processes may be applied to parts or components of a structure or site.

Re-creation, meaning the conjectural reconstruction of a place, and replication, meaning to make a copy of an existing place, are outside the scope of this charter.

#### 14. *Non-Intervention*

In some circumstances, assessment may show that any intervention is undesirable. In particular, undisturbed constancy of spiritual association may be more important than the physical aspects of some places of indigenous heritage value.

#### 15. *Maintenance*

A place of cultural heritage value should be maintained regularly and according to a plan, except in circumstances where it may be appropriate for places to remain without intervention.

#### 16. *Stabilisation*

Places of cultural heritage value should be protected from processes of decay, except where decay is appropriate to their value. Although deterioration cannot be totally prevented, it should be slowed by providing stabilisation or support.

#### 17. *Repair*

Repair of material or of a site should be with original or similar materials. Repair of a technically higher standard than the original workmanship or materials may be justified where the life expectancy of the site or material is increased, the new material is compatible with the old and the cultural heritage value is not diminished. New material should be identifiable.

#### 18. *Restoration*

Restoration should be based on respect for existing material and on the logical interpretation of all available evidence, so that the place is consistent with its earlier form and meaning. It should only be carried out if the cultural heritage value of the place is recovered or revealed by the process.

The restoration process typically involves reassembly and reinstatement and may involve the removal of accretions.

#### 19. *Reconstruction*

Reconstruction is distinguished from restoration by the

introduction of additional materials where loss has occurred. Reconstruction may be appropriate if it is essential to the function or understanding of a place, if sufficient physical and documentary evidence exists to minimise conjecture, and if surviving heritage values are preserved. Reconstruction should not normally constitute the majority of a place. Generalised representations of typical features or structures should be avoided.

#### 20. *Adaptation*

The conservation of a place of cultural heritage value is usually facilitated by it serving a socially, culturally or economically useful purpose. In some cases, alterations and additions may be acceptable where they are essential to continued use, or where they are culturally desirable, or where the conservation of the place cannot otherwise be achieved. Any change, however, should be the minimum necessary and should not detract from the cultural heritage value of the place. Any additions and alterations should be compatible with original fabric but should be sufficiently distinct that they can be read as new work.

#### 21. *Interpretation*

Interpretation of a place may be appropriate if enhancement of public understanding is required. Relevant protocol should be complied with. Any interpretation should not compromise the values, appearance, structure or materials of a place, or intrude upon the experience of the place.

#### 22. *Definitions*

For the purposes of this charter:

**adaptation** means modifying a place to suit it to a compatible use, involving the least possible loss of cultural heritage value

**conservation** means the processes of caring for a place so

as to safeguard its cultural heritage value

**cultural heritage value** means processing historical, archaeological, architectural, technological, aesthetic, scientific, spiritual, social, traditional or other special cultural significance, associated with human activity

**maintenance** means the protective care of a place

**material** means physical matter which is the product of human activity or has been modified by human activity

**place** means any land, including land covered by water, and the airspace forming the spatial context to such land, including any landscape, traditional site or sacred place, and anything fixed to the land including any archaeological site, garden, building or structure, and any body of water, whether fresh or sea water, that forms part of the historical and cultural heritage of New Zealand.

**preservation** means maintaining a place with as little change as possible

**reassembly** (anastylosis) means putting existing but dismembered parts back together

**reconstruction** means to build again in the original form using old or new material

**reinstatement** means putting components of earlier material back in position

**repair** means making good decayed or damaged material

**restoration** means returning a place as nearly as possible to a known earlier state by reassembly, reinstatement and/or the removal of extraneous additions

**stabilisation** means the arrest of the processes of decay

**structure** means any building, equipment, device or other facility made by people and which is fixed to the land

# Guidelines for the Recording of Monuments, Groups of Buildings and Sites - draft

*Ever since the Venice Charter of 1964, ICOMOS has developed a series of documents setting out best practice in different aspects of consultation. Once adopted, they provide guidance in formulating projects and yardsticks against which proposals can be measured. The most recent example is the Training Guidelines which were adopted at the ICOMOS General Assembly in Colombo in 1993. Another important subject, that of recording, was taken up by the Research and Recording Committee of ICOMOS UK and led to the production of the ICOMOS Guide to Recording Historic Buildings (Butterworth Architecture 1990).*

*It was decided to follow this up by drafting Recording Guidelines which it is hoped may be endorsed at the next General Assembly in Sofia, in 1996. In much of the world where the importance of recording is not fully recognised, these guidelines, emphasising the need for recording and setting out the reasons, occasions, objectives, methods and content, will provide an important aid to better practice, while elsewhere they provide an occasion for reviewing policy and practice.*

As the cultural heritage<sup>1</sup> is a unique expression of human achievement; and

As the cultural heritage is under threat in many ways, and

As the responsibility for conserving and maintaining the cultural heritage belongs not only to the owners but also to the professions directly involved at all levels of government, and indeed all indeed all sectors of society, and

As Article 16 of the Charter of Venice states:

*In all works of preservation, restoration or excavation there should always be precise documentation in the form of analytical and critical reports, illustrated with drawings and photographs. Every stage of the work of cleaning, consolidation, rearrangement and integration, as well as technical and formal features identified during the course of the work, should be included. This record should be placed in the archives of a public institution and made accessible to research workers.*

These Guidelines set out the principal reasons, occasions, objectives, methods and content for the recording of monuments, buildings, groups of buildings and sites.

## **1.0 The Reasons for Recording**

1.1 Records of the cultural heritage are essential:

- a) to accumulate knowledge and to advance the understanding of cultural heritage and its evolution,
- b) to help in the maintenance and preservation of the heritage in a way that is sensitive to its physical form, its materials, construction, and its historical and cultural significance,
- c) to permit informed control of change or of works to the cultural heritage.

## **2.0 Occasions for Recording**

2.1 Records of the cultural heritage should be made :

- a) when compiling a national, regional, or local inventory of the cultural heritage,
- b) when academic research is being undertaken,
- c) when any works of repair, alteration or other intervention are contemplated and on completion of such work,
- d) when evidence of its history revealed during works,
- e) when accidental or unforeseen disturbance has damaged the cultural heritage,

- f) when natural or human activities threatens to damage the cultural heritage,
- g) when total or partial demolition, destruction or abandonment is contemplated.

### 3.0 Objectives of Recording

3.1 Records of the cultural heritage should, to an appropriate level of detail:

- a) identify the accurate location and extent of the monument, building, group of buildings or site,
- b) establish the date, construction and original use and the subsequent history of its uses and structural alteration,
- c) identify and describe the nature and quality of its components, and identify its cultural, artistic and scientific significance,
- d) assist in identifying appropriate and sustainable use,
- e) provide information upon which works, management, services and maintenance programmes may be planned,
- f) provide sufficient information for administrators and planners at national or local government levels to make planning and development control policies and decisions,
- g) provide information for the understanding, interpretation and presentation of the heritage,
- h) provide a permanent record of all monuments of archaeological, architectural and historical importance that are to be destroyed or altered in any way.

### 4.0 The Content and Location of Records

- 4.1 (a) Before records are prepared, existing sources of information should be found and examined. Such information may be found in surveys, drawings, photographs, published and unpublished accounts and descriptions, and related documents pertaining to the origins and history of the monument or site. These records may be recent or historical.
- (b) Existing records may be found in national and local public archives, in professional, institutional or private archives and collections, in libraries or museums, and in the hands of individuals and bodies who have owned, occupied, recorded, constructed, conserved, or carried out research into the monument or site.
- (c) New records should note the sources of all information not obtained directly from the monument or site itself.

4.2 The methods of recording should be appropriate to the nature of the monument, the purposes of the record and the finance available. Current methods of recording include written descriptions, photographs (aerial or terrestrial), rectified photography, photogrammetry, geophysical survey, maps, measured plans drawings and sketches.

4.3 The location and extent of the monument, building, group of buildings or site must be give accurately. In rural areas a map reference or triangulation to known points may be the only methods available. In urban areas a street reference may be sufficient. In all cases an accurate location by description, maps, plans or aerial photos should be given.

4.4 Records may include the following information :-

- a) type, form and dimensions of the building, monument or site,
- b) evidence for dating the construction,
- c) the materials and construction,
- d) decoration, ornament or inscription,
- e) services, fittings and machinery,
- f) ancillary structures, the gardens, landscape and the cultural, topographical and natural features of the site,
- h) evidence for original use and evidence for subsequent changes in use and construction,
- i) the surrounding urban or rural environment, noting conflicts and threats from environmental pollution or adjacent land uses,
- j) the quality, historical, scientific and cultural significance of the buildings or sites.

In considering the different objectives of recording (see Section 3.0 above) different levels of detail will be required. All the above information even if briefly stated provides important data for local planning and building control. Information in greater detail is required for the site or building owner's own purposes of conservation, maintenance and use.

4.5 A durable copy of the records should be preserved in a safe archive and the archive's environment must ensure permanence of the information and freedom from decay. All such records should be accessible for the purposes of research, development controls and other administrative and legal processes.

4.6 Records should be prepared according to international data standards wherever possible.

<sup>1</sup> In these guidelines, we employ the definition of "Cultural Heritage" embodied in Article 1 of "The Convention for the Protection of the World Cultural and Natural Heritage" adopted by UNESCO on 16 November 1972.

## Diversity, Place and the Ethics of Conservation

Joan Domicelj, in collaboration with Duncan Marshall

Joan Domicelj and Duncan Marshall's "Diversity, Place and the Ethics of Conservation" introduces the concepts of cultural diversity, value difference and place. It asks the key question: how are the diverse, often sharply conflicting, values to be identified and protected within an equitable conservation plan for a single cultural place bearing several meanings? The paper outlines some exploratory steps taken by Australia ICOMOS in learning how to handle conflicting cultural values in a professional, just and effective way, and concludes with the text of a draft "Code on the Ethics of Co-existence in Conserving Significant Places". Many of the issues discussed in the paper nowadays tax the minds of conservators around the world. Such are "Cultural Heritage at Risk" and "Authenticity", to both of which this number of the journal devotes a section.

Joan Domicelj and Duncan Marshall, co-authored, with Tamara Domicelj as research assistant, the 1994 Australian discussion paper 'Diversity, Place and Ethics of Conservation'. They are, respectively, former Chair and Secretary of Australia ICOMOS. Each now works in Australia as a consultant in the field of conservation. Joan Domicelj is currently the Vice President of ICOMOS responsible for International Scientific Committees.

### The concerns

This title is taken from a 1994 discussion paper prepared on behalf of Australia ICOMOS for the government advisory body on the national estate, the Australian Heritage Commission.

Why was it written? What forces compelled its commission?

In the scale of current tensions and violent struggle around the world, the daily life of the Australian people can be described as calm. Australia's greatest trauma remains the impact of white settlement imposed, two hundred years ago, over lands previously managed by a subtle culture of great antiquity. To date, its continental isolation has tended to protect it from border disputes and it lives under a secular and active government policy of benign multi-culturalism, important to its steady stream of immigrants. Nonetheless, it has been forced to recognise, on its own territory, an old conflict of universal dimensions in the field of conservation.

The problem concerns significant monuments or sites perceived differently by separate cultural groups. This is the question: how are diverse, often sharply conflicting, values to be identified and protected within an equitable conservation plan for a single cultural place of several meanings?

This is far from the ubiquitous conservation-versus-development debate. Its essence touches more profound issues of differing values and meanings. Inevitably, it brushes on questions of heritage as the tangible evidence of cultural identity. This boundless topic spans the joy of revisiting places and sharing a past, a present, a future but also the

grim tones of nationalism with its use and abuse of iconic sites.

For reasons which follow, Australia is now launched on a journey, exploring ways of handling conflicting cultural values in a professional, just and effective way - pace by pace, through conferences, inter-disciplinary workshops, discussion papers and experiments. This paper outlines some exploratory steps taken by Australia ICOMOS and concludes with the text of a draft *Code On the Ethics Of Co-existence In Conserving Significant Places*. The debate has so far been amongst professionals. It is time to hear other voices and having listened, to review these efforts with them and, if necessary, begin again.

This is how it came about —

In 1992, an ICOMOS audience was visibly moved by a paper presented by Clarrie Isaacs, entitled *The Great Rainbow Serpent Dreaming Track: Part of One of the Great Religious Belief Systems of the World*. It concerned the prominent Gooninup/Swan Brewery site on the banks of the Swan River, Western Australia.

Amidst controversy and resistance, work has begun to conserve and reuse the formerly abandoned structures on this site. Some in the community hold strong memories of the built site, which served since European settlement as a ration station, mill, store, tannery and renowned brewery. For some, such as Isaacs, it is the land itself which demands respect as a significant resting point on the great mythic journey of the Rainbow Serpent. Thus Aboriginal spiritual values, embedded in the landscape, and non-Aboriginal historic values, linked to the structures, imply opposite policies for the care of the site.

Out of this dispute was born the next Australia ICOMOS conference *Whose Cultural Values?* (Sydney, November 1992). With strong international participation, it was promoted in these terms :

*the history of Australia and the South Pacific region is full of epic themes of migration, exploration, development and exploitation. These themes are represented at numerous places... the assessment of such places is both enriched and complicated by the diverse cultural backgrounds of the population. Whose values count when selection and management choices are made?*

This time it was probably the challenge in Konai Helu-Thaman's South Pacific-Asian perspective which most rocked any remaining complacency from the audience; the subject has proved to be passionate.

Almost simultaneously, related developments sprang up.

In the field, earlier theoretical work on *Social Values* to enhance the community's role in heritage conservation was actively applied. Also in the field, non-Aboriginal and Aboriginal mediators of equal status worked successfully in partnership to resolve complex disputes over

developments affecting Aboriginal sites (e.g. *Jali Local Aboriginal Land Council -v- Ballina Shire Council*, 1992-3).

A study on *Post World War II Immigrant Places* was commissioned and prepared, and another Australia ICOMOS regional conference (Darwin, December 1993) was held, this time on *Managing a Shared Heritage*. Meanwhile, the research for *Diversity, Place and the Ethics of Conservation* continued to link conservation issues with dispute resolution practices.

### The paper

*Diversity, Place and the Ethics of Conservation* investigates ways to accommodate different cultural values, in a country grappling with relations between its cultures of ancient origin and its post-colonial identity.

The paper consists, in essence, of three complementary essays.

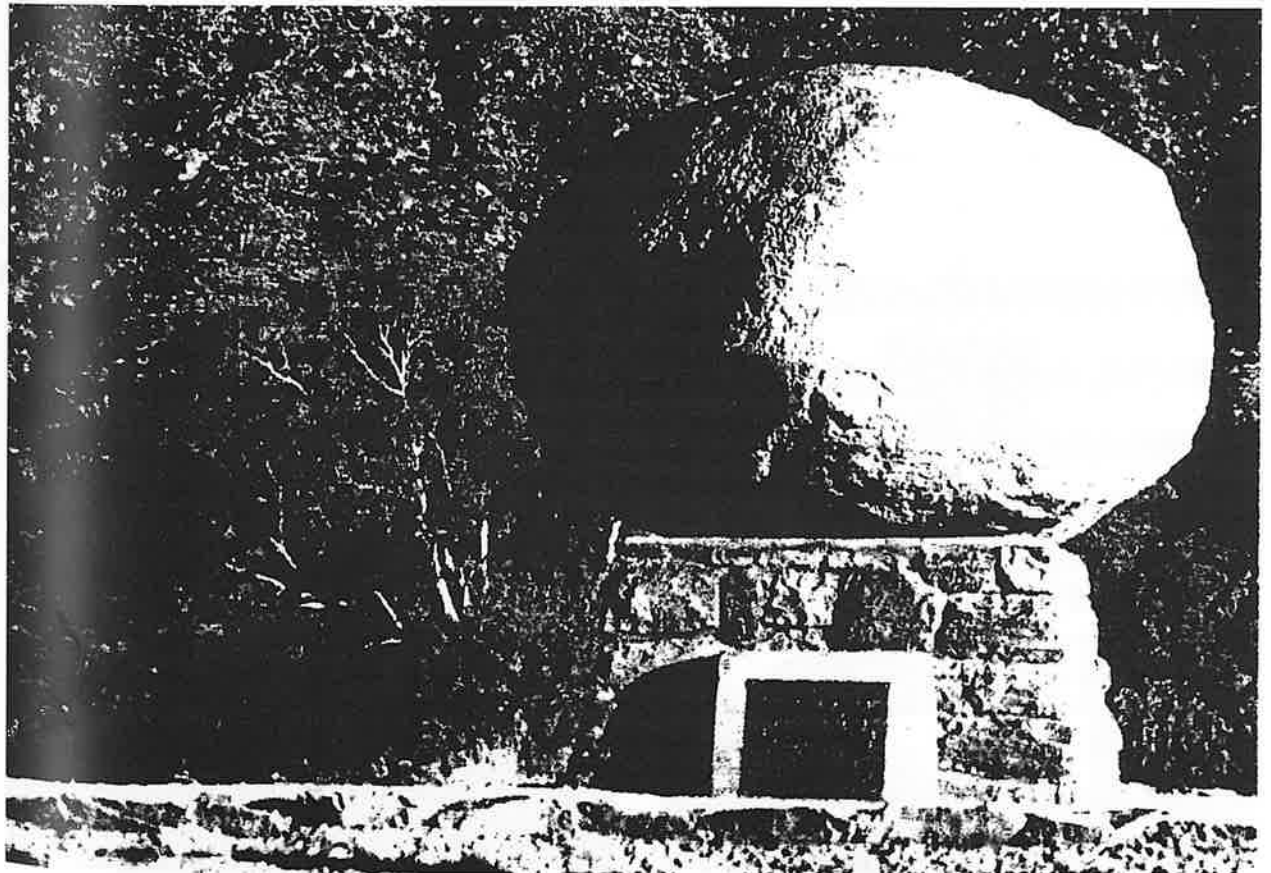
The first, *Diverse Cultural Values and Conservation Principles* describes, through many international and local references, both the hazards caused to significant places by conflicts in cultural perception and the diversity which exists amongst deeply held principles of conservation. In

*Fig. 1. The Reverend John Flynn's grave, West of Alice Springs in the Northern Territory. The ashes of Flynn, a significant figure in the Territory's history as the founder of the Flying Doctor Service, are sealed in the base of this memorial which is topped by a boulder. The boulder was brought from Devils Marbles Reserve, and as part of the Reserve it is of very long standing cultural significance to Aboriginal people.*

*This place is an example of conflicting cultural values. On the*

*one hand it is a memorial and grave marker to a person important in the Territory, history, on the other hand it is of cultural significance to Aboriginal people. One cultural group wants a memorial to Flynn, the other cultural group would like to have its long standing cultural property returned.*

*(Reproduced following consultation with the Central Lands Council and through it the custodians for Karlukarlw/Devils Marbles Reserve)*



acknowledging differences in the cultural perception of place, and in conservation philosophies, it introduces a thread which runs consistently through the paper.

*The most profound concerns lie, perhaps, in the divergence between indigenous and non-indigenous attitudes towards place - over the links between natural and cultural systems, over custodianship and over perceptions of time and the ageing cycle. In addition, waves of immigrant groups have brought with them new cultural outlooks, old traditions and associative ties with past environments. Differences continue between the rural and the urban and among the social divisions of class, wealth, sex and age.*

*Australian Conservation Practice* is a review, with specific focus on provisions in the Australia ICOMOS Charter for the Conservation of Places of Cultural Significance (the Burra Charter) relevant to cultural diversity and conflict management. It confirms the quality of Australian practice in many respects and for many cultural contexts, but recognises that the Charter itself reflects a particular set of cultural values which are not universal. Suggestions include improved access for cultural communities to key information (including the Burra Charter), involvement of associated cultural groups in the conservation process and greater recognition of intangible values in cultural heritage conservation.

*It is important to stress that cultural significance is not necessarily embodied in significant fabric. (It) may reside in the use of a place or its historic or social associations which are not related to fabric. A country post office may or may not be architecturally significant... but it is invariably an important social place..., there may be significance with no fabric, ... such as at massacre sites or explorer camp sites*

*Managing Cultural Conflict* considers current trends and ethical questions in the field of conflict resolution, relying particularly on a recent Australian text (G. Tillett, *Resolving Conflict: A Practical Approach*, Sydney University Press, 1991). It draws out principles applicable to disputes over cultural interpretations, or the conservation of places and discusses definitions of 'problem', 'dispute' and 'conflict', the role and significance of values and perceptions within conflict, and the mechanisms of collaborative problem solving, mediation and arbitration. It reiterates that, unless value difference is acknowledged, nothing can be resolved. Diverse values are to co-exist, rather than to be 'resolved'. Conservation disputes are best avoided or settled through collaborative problem solving or mediation, rather than arbitration; and any process should be clear and flexible.

*We are reminded that, though seeking to accommodate multiple perspectives, beliefs and customs, conflict resolution "is not culturally neutral, and cannot simply be imposed upon or integrated into other cultures"...*  
*This proviso is clearly relevant to disputes concerning, for example, indigenous sacred sites, when it may not simply be inappropriate, but forbidden by traditional laws for cultural custodians to impart certain relevant knowledge to non-initiates, irrespective of their cultural background.*

As the paper continued to expose the ethical nature of the issues, the main *Conclusions* were transformed into a synthesis of principles, a draft *Code on the Ethics of Coexistence in Conserving Significant Places* and some recommendations, specific to Australian conditions. The draft Code acknowledges value differences and identifies directions for avoiding or settling conservation disputes. It adopts the format of the Burra Charter and is reproduced below, as one step on a long journey.

Fig. 2. 3. Church damaged by occupying forces at Osojnik Village, Croatia. Photographs by S. Domicelj, May 94.



### International relevance

Many issues of *Diversity, Place and the Ethics of Conservation* appear, at present, to tax the minds of conservation practitioners around the world. There are several current international expressions of that concern.

Examples are the *Cultural Heritage at Risk* project, the proposed *Conference on Authenticity in relation to the World Heritage Convention* and the *draft Global Strategy for a Representative World Heritage List*. The first seeks to reduce risk to cultural property from conflict; the second interprets different cultural values and philosophies; while the third begs respect for cultural diversity and living traditions (within the World Heritage List); all these are matters which the paper addresses.

UNESCO, ICOMOS, ICCROM and related bodies are deeply concerned over the need for a disaster preparedness and response scheme for World Heritage and other important cultural properties. While that concern covers both natural and man-made disasters, their project on *Cultural Heritage at Risk* is closely related to the current review of the *Convention for the Protection of Cultural Property in the Event of Armed Conflict (The Hague Convention, 1954)*. Priorities include education, documentation and coordination and an essential aspect is to establish a network of specialists, capable of dealing with conservation in times of conflict.

Relevantly, the discussion paper states -

*some familiar international vignettes cover ethnic strife and civil war — the ultimate disaster for multi-valued sites, long-held differences between religious sects heightened by current socio-political struggle and insensitivity to cultural difference... Cases in Croatia and India incorporate deliberate physical violence by one religious/ethnic community against the culturally significant places of another... (yet) both examples follow extended periods of peaceful co-existence.*

The difference in perceived values, fuelled by political tension, is so great that one culture seeks to destroy the despised cultural symbols of the other. Typically these episodes occur at moments of rapid socio-economic change, with its concomitant cultural stress. Early recognition of the right to difference and consistent ethical practice, as suggested in the paper, are elements in risk reduction.

The *Nara Conference on Authenticity in relation to the World Heritage Convention* was held in Japan in November 1994. The edited proceedings of a preparatory workshop for this conference (Bergen, February 1994 K.E. Larsen and N. Marstein, editors) include comments by D. Lowenthal —

*(some) cultures (are) devoted not to authenticity of material or form but rather to representations - to images of or allusions to past sites and structures in paint and print" and "in the traditional Chinese view, to preserve objects and buildings reduces creation to commodity; it demeans both object and owner*

and by H. Stovel -

*cultural heritage has importance through the values*

*society perceives to be expressed by that heritage. Clarification of the nature of those values is a fundamental first step in ensuring that conservation actions will respect the cultural significance of heritage. Effective conservation also requires clear identification of the manifestations of values.*

These comments marry precisely with issues raised in the paper :

*It is useful to review.. assumptions, both objectives and procedures, in the light of other cultural experiences. The contrasting cases which follow illustrate respect for the processes of decay, renewal as the rejection of decay, 'authenticity' of tradition as opposed to original fabric and the social imperative to reconstruct that which has been destroyed.*

All three sets of comments are poignant in their distance from principles on material conservation adopted in both Venice and Burra Charters.

All three sets of comments are poignant in their distance from principles on material conservation adopted in both Venice and Burra Charters.

At the initiative of ICOMOS and UNESCO's World heritage Centre, an international group of experts recently met to prepare a *draft Global Strategy for a Representative World heritage List*. They came from Tunisia, Niger, Germany, France, Canada, Brazil and Australia. Their recommendations to the World Heritage Committee included the consideration of cultural themes under headings of *Human Coexistence with the Land and People in Society* and the modification of criteria to acknowledge the significance and sustainability of different living cultures. The meeting found radical changes, over recent years, in perceptions of cultural values and the physical heritage which bears witness to them. The changes suggest reflecting in the World Heritage List a rich, multi-faceted and more interactive view of the world's cultures and their contextual environments.

In this thought-provoking international context, the following draft Code of ethics is offered as one contribution to the boundless debate.

#### The draft code

#### DRAFT CODE ON THE ETHICS OF COEXISTENCE IN CONSERVING SIGNIFICANT PLACES

##### Preamble

This Code has been drafted in the context of several national and international agreements and statutes, such as:

- the *Australia ICOMOS Charter for the Conservation of Places of Cultural Significance (the Burra Charter)*, 1981, last revised 1988;
- the *Code of Ethics of the Australian Archaeological Association*, 1991;
- the *Racial Discrimination Act, 1975* (Australia);
- the *Australian Heritage Commission Act, 1975*;
- the *UNESCO Declaration of the Principles of*



*International Cultural Cooperation, 1966;*

- the U.N. Decade for Cultural Development (1988-1997).

It is presented as the basis for ethical conservation practice in a country of diverse cultures.

**Assumptions**

The Code assumes that -

- (i) in a pluralist society, value differences exist and contain the potential for conflict;
- (ii) the healthy management of cultural difference is the responsibility of society as a whole; and
- (iii) ethical practice is necessary for the just and effective management of places of diverse cultural significance.

**Definitions**

Article 1. For the purpose of this Code :

1.1 **values** means — those beliefs which have significance for a cultural group or an individual — often including, but not limited to, political, religious and moral beliefs;

1.2 **cultural group** means — a group of people holding common values, expressed through the sharing of beliefs, traditions, customs and/or practices;

1.3 **the national estate** means — those places, being components of the natural environment of Australia or the cultural environment of Australia, that have aesthetic, historic, scientific or social significance or other special value for future generations as well as for the present community; [Australian Heritage Commission Act, 1975]

Suggested alternative — those places in the Australian environment which have aesthetic, historic, scientific, social or other special significance for the present community and for future generations.

1.4 **cultural significance** means — aesthetic, historic, scientific or social value for past, present or future generations. [Burra Charter. Australia ICOMOS, 1988]

1.5 **conflict** means — a relationship in which two or more parties perceive their values or needs to be incompatible; [ G Tillett. 'Resolving Conflict...' 1991]

1.6 **dispute** means — a relationship in which two or more parties perceive their goals, interests or needs to be incompatible and in which each seeks to maximise fulfilment of its own goals, interests or needs; and

1.7 **conflict resolution**, as a generic term, includes the management of conflict through both mediated dispute settlement and the acceptance of value co-existence.

**Ethical principles**

Article 2. The co-existence of diverse cultures requires acknowledgement of the values of each cultural group.

Article 3. Conserving the national estate requires acknowledgment of, and sensitivity to, the values of all associated cultural groups.

Article 4. Each cultural group has a primary right to identify places of cultural significance to it and this right may include the withholding of certain information.

Article 5. Each cultural group has the right of access to pertinent information and to any decision-making process affecting places it has identified as significant.

Article 6. In identifying places of significance to it, a cultural group assumes some custodial responsibility towards those places.

Article 7. In the case of indigenous peoples, the right to identify significant places may extend to the right to their full custodianship.

**Ethical practice**

In assessing or managing a place of significance to different cultural groups, the practitioner shall -

Article 8. adopt a coordinated, multi-disciplinary approach to ensure an open attitude to cultural diversity and the availability of all necessary professional skills;

Article 9. identify and acknowledge each associated cultural group and its values, while accepting the cultural right of groups to withhold certain information;

Article 10. enable each cultural group to gain access to pertinent information and facilitate the exchange of information among groups.

*Strategies to implement this Article may include specific advice to cultural agencies and/or mediation.*

Article 11. enable each cultural group to gain access to the decision-making processes which may affect the place;

Article 12. apply a decision-making process which is appropriate to the principles of this Code;

*This will include:*

- *co-responsibility among cultural groups for the assessment and management of the cultural significance of the place;*
- *accepted dispute settlement practices at each stage at which they are required; and*
- *adequate time to confer with all parties, including the least outspoken and may require the amendment of existing procedures in conservation practice.*

Article 13. whilst seeking to identify issues and associated cultural groups at the beginning of the process, accept new issues and groups if they emerge and accommodate evolving positions and values;

Article 14. where appropriate, seek co-existence of differing perceptions of cultural significance rather than resolution; and

Article 15. accept compensation as a possible element in managing irreconcilable cultural difference.

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## 'To know the place for the first time': Consideration of Diverse Values for an Australian World Heritage Site.

*Isabel McBryde*

*Isabel McBryde, member of Australia ICOMOS, is Professor of Archaeology in the Faculties, Australian National University, Canberra. Her research and teaching fields are in prehistoric archaeology, with special interests in Australia. In the 1970s she excavated in the Willandra Lakes Region, investigating Pleistocene sites on the lunette of Lake Arumpo. She has been actively involved in conservation issues, as a Commissioner of the Australian Heritage Commission, on Advisory Committees concerned with Aboriginal sites for the N.S.W. National Parks and Wildlife Service, and the Willandra Lakes World Heritage Area. In 1992 she took part in the Expert Meeting on Cultural Landscapes at La Petite Pierre.*

*In 'To know the Place for the First Time': Consideration of diverse values for an Australian World Heritage Site", Professor McBryde relates the Aboriginal culture and its spiritual relationship with the land to the concept of Cultural Landscapes (recently taken up by ICOMOS and the UNESCO World Heritage Convention) and the relationship between human societies and the natural environment. The author examines the three Australian World Heritage Sites which were inscribed for their important cultural values as well as their natural values: Kakadu National Park in the northern monsoonal belt; the Willandra Lakes Area in the arid lands of western New South Wales; and the Tasmanian Wilderness Area in the rain forest and Alpine uplands of south-western Tasmania.*

Australia is an island continent the size of North America. Given its extent, its geology and topography within its latitudinal position, it offers landscapes of great diversity. They range from the monsoonal scarps and wetlands of Arnhem Land, through the east coast's sub-tropical and temperate rain forests to the once glaciated uplands of Tasmania. These well watered regions surround a desert core of sandridges and chenopod shrublands, edged by extensive grassland and savanna woodlands. Thus much of the continent is sparsely occupied and many settlements isolated even today. The 'tyranny of distance' is still a vital factor in Australian human geography.

The cultural record of this island continent is comparably diverse and spans some 50,000 years at least. Before the colonial settlement from Britain in 1788 all areas of the continent had been occupied over long periods by hunter-gatherer societies, those of the recent past characterised by an intense spiritual relationship to the land. This spiritual relationship with 'country' was, and still is, essential to the life of each society. It is maintained and celebrated in the passing on of the stories about Dreamtime ancestral beings who created the land and established the rules of human life within it. It is sustained also by holding ceremonies. Maintaining the landscape of group territories and places

within it was a traditional duty enjoined by the Dreamtime beings. Thus the group territory was often a 'managed' landscape, with use of fire as the tool. It was an important social obligation to care for the resources of the landscape. These were both economic, such as stone quarries, important trees or yam fields, as well as social and spiritual such as the Dreaming sites and ceremonial grounds.

The nature of the land, its environments and their resources, and its great distances, have shaped the personality of its history, of hunter gatherer, colonial and post-colonial societies. The 'tyranny of distance' has been a valuable interpretive concept in historical studies since it was first proposed by Geoffrey Blainey decades ago (1966).

The question of cultural landscapes therefore assumes importance. The theme has recently become of considerable interest to several academic disciplines as well as to ICOMOS and the UNESCO World Heritage Centre. The relationships between human societies and the natural environment are seen as major questions in Australian archaeology (both prehistoric and historic) as well as for anthropologists and for human geographers. The research of archaeologists and anthropologists has created awareness that many seemingly natural landscapes are in fact the results of careful long-term management by hunter-gatherer



Fig. 1. Looking along the eroded lunette of Lake Mungo in the Willandra system and across the dry lake bed to the part of the dune known as the Walls of China. Erosion has revealed the structure of the lunette, its various units giving a record of

changing hydrological climatic conditions over the last 150,000 years. The cremation burial of the Mungo woman was located near the large residual in the centre. Photograph: by Isabel McBryde

societies.

Australia has nine listed World Heritage Areas. Three of these are listed formally for their important cultural values as well as their natural values. These are:

- Kakadu National Park  
(In Arnhem Land — in the northern monsoonal belt)
- The Willandra Lakes Area  
(In the arid lands of western New South Wales)
- The Tasmanian Wilderness Area  
(The rainforest and alpine uplands of south western Tasmania)

To these we should add *Uluru* (Ayers Rock and the Olgas in Central Australia). Listed for its natural values it holds important cultural values in the ongoing traditional life of local Aboriginal communities. The question of its cultural significance in relation to a re-nomination in terms of these values is at present being addressed.

Some general points may be made about these four places. First, all four places are cultural landscapes or incorporate cultural landscapes of the past though they were not nominated as such.

Three were nominated as presenting both cultural and natural values worthy of World Heritage status. They also displayed significant interaction between the natural environment and human society, in the past and the present. This interaction may be economic, but also religious and symbolic. It is significant that for both Kakadu and Uluru it

forms an integral part of continuing cultural tradition. A second point is that all these Australian World Heritage sites involve extensive tracts of land; for example both Kakadu and the Tasmanian Wilderness Area cover over a million hectares.

A third point to emphasize is the significance of Aboriginal culture in the cultural record highlighted in the nominations. Three of these areas were inscribed for their ancient archaeological or Aboriginal cultural record -- especially its scientific value for our knowledge of the prehistoric past (Willandra Lakes and Tasmania). A cultural record exemplifying Aboriginal achievement in ongoing cultural traditions was stressed for the rock art of Kakadu. The nominations for these places laid particular stress on the scientific values, and their contribution to world prehistory or knowledge of the natural environment (for example geomorphic processes as at the Willandra Lakes). However we should never forget that cultural continuity is an important aspect for both Kakadu and *Uluru*. It is significant also that these two places are located on Aboriginal land, and as National Parks are managed in a partnership between the Aboriginal communities and the Australian Nature Conservation Agency (A Commonwealth agency, previously the Australian National Parks and Wildlife Service).

Australia's World Heritage sites also provide some national icons. This is particularly so of *Uluru*, usually under its European name, Ayers Rock. 'The Rock' is seen as symbol of the quintessential desert core of our country and its outback heritage. Many use it to convey this meaning.

Brochures for the 1993 International Conference on Accelerator Mass Spectrometry featured Ayers Rock, wetlands at sunset and Sydney's Opera House reflected in blue harbour water. In Australia, intending participants were told,

*Ancient red landscapes co-exist with spirited young cities on blue ocean harbours.... this vast land renders you silent — listen to the resounding stillness of Ayers Rock.*

Here the image is read as text with a message of 'wilderness', the remote unpeopled desert contrasted with the throbbing pulse of the cosmopolitan harbour city.

This reading comes easily, Yet the magnificent icon has other names and other meanings. If we call the rock *Uluru* we re-contextualise it as a place of major significance to the Aboriginal people of that part of Central Australia, its values rooted in the spiritual affinities between people and land in Aboriginal culture. Yet these values held by 'the Rock' may be totally unknown to the potential customers who easily read the intended symbolism of the advertisements in the media. Few could share those other values, or perceive the many-layered meanings encapsulated in the image.

So questions arise about significance, the values held by places we regard as 'heritage', and how these values may be sustained in heritage management. Further, we must ask how can we recognize and accommodate a diversity of cultural values held by one place for different groups within our society with its roots in many cultures?

In a multi-cultural or pluralist society such as ours the concept of 'Shared Heritage' has appeal, as acknowledging both the plurality and the distinctiveness of the traditions from which places derive their significance. It is a complex perspective and an inspiring ideal. But is it achievable? Is it little more than an 'impossible dream'. Should it indeed be seen as achievable? Hence my reference to lyrics from the *Man of La Mancha* - the idealist dreamer of impossible dreams. It reflects my concern that if the values held by places are embedded in discrete cultural traditions, it may not be possible for them to be effectively shared. On the one hand there may be elements that for powerful cultural reasons cannot be shared, on the other the question of loss in any resulting amalgam of disparate values. Will it always be a matter of differing value systems, and (in times of 'hard' management decisions), the exclusive allocation of priority to one or the other? Accommodating these disparate values derived from different cultural bases may provide challenging dilemmas as in the case of the old Swan Brewery site near Mt. Eliza, Perth. This site holds vital values in two cultures; its future was debated over a long period. (See Domicelj and Marshall 1994, Egloff 1989, Stapleton 1992 and Vinnicombe 1992).

There will be situations where values deeply rooted in the specifics of certain cultural traditions may not be sharable. So perhaps what we should be sharing or exploring is the cross-cultural understanding of the power of these values, sharing respect for this and a willingness to accommodate it in assessing and managing heritage places. This raises the vision of an integrated Australian approach

to heritage, accepting diversity of values, understanding each perspective in its distinct context, and its role in the wider scene. In many ways this problem has analogies with the various levels of meaning and significance which must be considered in approaching World Heritage listing and the management of those sites of 'outstanding universal significance' which itself may be multilayered, and require balancing the 'global' against the 'local'.

An exploration of the existence and power of multi-layered values may provide the first and perhaps major route to new approaches, not only in assessing heritage significance but to managing places sympathetically and creatively for Australians of differing cultural backgrounds. We may not yet in Australia have a 'shared culture', if this denotes a melding of all those disparate cultural traditions in our society into a new entity. Indeed many would argue against such a creation. So heritage managers have to meet the challenge of managing a multi-faceted heritage, and sustaining its various values.

Sharon Sullivan, Executive Director of the Australian Heritage Commission, has argued that management is only effective if it is rooted in the values of the culture whose heritage is being managed. This viewpoint is also implicit in the Guidelines to the Burra Charter (See discussion by Domicelj in Domicelj and Marshall 1994 pp21-23). Given the range of values involved, Sullivan's statement that 'conservation policy must evolve from the society whose heritage it seeks to preserve' (*Heritage News* 14 (2) 1991) itself implies new complexity. This is especially so if the wider society, or its dominant legislating majority, is not itself rooted in the traditions whose material manifestations it claims and seeks to preserve as heritage. If managers ignore this advice alienation results from the apparent discounting or disempowering of the views of the present holders of those traditions. Further privileging one set of values carries the threat of appropriation or of 'cultural imperialism' as both Byrne (1991) and Sullivan (1993) have argued in powerful papers.

In 1992 Badger Bates addressed a meeting of Australia ICOMOS. An Aboriginal staff member of the New South Wales National Parks and Wildlife Service, he spoke of Mootwingee (Mutawintji), a site in his own country and famous for its painted and engraved rock art sites.

*To us, the history and spirituality of a place is more important than the art itself. If the art is destroyed by natural processes, this does not destroy the importance of the place to us, only to white people. We feel it is more important to protect the surrounding landscape and associated sites than to preserve the art by ugly gridding etc. This is why we find it so sad that there is no shortage of funds for white people to painstakingly record the art or date it, but where is the money to record what our old people know about Mootwingee?*

The search for culturally appropriate management is a challenge for Australian heritage professionals. It is one, which like 'the impossible dream' offers rich rewards. Is there also perhaps, as with the *Man of La Mancha's* dream, an ethical dimension? Certainly ethical obligation enjoins

not only respect for the values identified as significant by the inheritors of those different cultural traditions, but also commitment to involving those inheritors in management and in establishing the policy that guides it.

In such contexts sharing may seem an elusive entity. What are we sharing — knowledge? or belief systems? or the values that underpin them? In these domains, if we are serious about cross-cultural understanding, we must be ready to accept situations in which 'sharing' is neither culturally appropriate nor possible. Situations may arise involving information which is restricted, or situations in which, for culturally important reasons, information loss must be accepted. At times the values can be asserted but their specifics not imparted for there are none among the arbiters qualified to receive such knowledge. Those of you concerned with management of Aboriginal sites could cite many situations in which the impossibility of sharing restricted knowledge has been misunderstood by those of differing cultural traditions (Creamer 1989 pp. 134-135). Maori scholar Jonathan Mané-Wheoki reminded an Australia



Fig. 2. Erosion reveals a midden of fresh water mussels (*Unionid* sp). Witness to the collection and processing of these shellfish at a time of lake-full c. 20,000 years ago on Lake Garnpung. Photograph by Isable McBryde, 1997.

ICOMOS meeting that:

*By definition a sacred site is one whose significance is only fully apprehended by a community steeped in its own system of mystical or metaphysical belief. (Historic Environment 9 (1 and 2): p. 35).*

He also discussed situations in which significant traditional stories could not be passed on; there were no longer any living descendants with the right to transmit them. In other cases the loss of physical heritage must be accepted where conservation is counter to traditional mores. So he expressed concern at the preservation in the National Museum of New Zealand of the oldest surviving carved house, *Te Hau-ki-Turanga*, built in the 1840s, the decade of

the Treaty of Waitangi. By Maori values this sacred object should have returned 'to the elements'. It was 'desacralised'/decontextualised by the intervention of the conservation policies of what from this perspective was an introduced 'museum culture'.

Other problems arise if we confuse a commonality of concern with sharing of values or of knowledge. Commonality of concern need not lead to shared perspectives, or to integrated interpretation. Indeed there may be interpretation from one perspective alone, even appropriation or transformation of values (conscious or unconscious). These ideas may be explored further in a consideration of the values held by Lake Mungo National Park, in one of Australia's first listed World Heritage Sites, the Willandra Lakes region in western New South Wales.

Lake Mungo is a place with many meanings, attracting much community of concern from various interest groups. It is part of the Willandra Lakes system which arches across the map north of Balranald in NSW, a string of massive dry lake basins which last held water over 15000 years ago. The Pleistocene deposits of the Lake Mungo lunette, known as the Walls of China, contributed new dimensions to Australian prehistory following Bowler's discovery there in 1968 of the Mungo female cremation burial dated to c. 26000 years ago. The Lake Mungo lunette has since then become a powerful icon to Aboriginal communities, to archaeologists and earth scientists or geomorphologists, to local land holders, tourist operators and local government as well as to the artistic community. Its formations hold the key to so much of our landscape and climatic history and the human history evolving within it. For an interesting survey of 'interest groups' and their involvement in Mungo National Park see Gostin's essay *Accessing the Dreaming* (1993).

In recent decades, Aboriginal culture has been enthusiastically espoused by non-Aboriginal Australians. This has been especially so in the artistic arena from the 1950s. Yet in this we can often detect an appropriation, a promulgation of a vision of the cultural heritage of Australia's first people as symbol of Australian national identity that excludes the present life and culture of their descendants.

*.... while many people have accepted Aboriginal material culture as part of the nation's heritage, didgeridoo and boomerangs, they still have a long way to go before accepting the people. (Creamer 1986 p. 7)*

This movement in art certainly ignores the continuing traditions and concerns of Aboriginal people in present Australian society. The implications of this for heritage managers have been explored in recent research by Denis Byrne and we look forward to its publication (Byrne 1993). The more general contexts in Australian intellectual life were considered by contributors to Attwood and Arnold *Power, knowledge and Aborigines* (1992).

The arid landscape of Lake Mungo National Park with the spectacular dunes of the lunettes edging the long-dry basins of the Pleistocene lakes is typical of those which inspired Australian landscape painters of the 1950's —

Drysdale, Arthur Boyd and later Nolan. Drysdale was important in shaping a changed perception of Australian landscape. His vision was not

*.... the Golden Summers of his Impressionist predecessors — but red dust, drought, desolate townships and their few indomitable inhabitants. (Jennie Boddington 1987 p. 9)*

We see this powerful vision vibrant in his 1945 painting of the Walls of China. Here the landscape, as Bernard Smith puts it, appears 'alien to man, harsh, weird, spacious and vacant.... fit only for heroes and clowns, saints, exiles, and primitive men' (quoted in Boddington 1987 p. 14). So the Aborigines entered Drysdale's world. Yet, as he himself commented, they were people of another cultural world:

*those days.... wild brown stone-age people roamed this country which was their own. (Drysdale 1962 quoted in Boddington 1987 p. 49)*

Drysdale expresses an artistic vision of Aborigines, and of their culture and its place in the Australian landscape, which gained prominence in the 1950s. It is still powerful in our artistic and literary world. In this vision the Aborigines and their culture act as symbols powerful aids for non-Aboriginal Australians to exploring their own personal and national identity. Here again the danger of appropriation as icon emerges (See Byrne 1991, Attwood & Arnold 1992 and Marcus 1998). It is a vision accommodating neither the vibrant living continuity of Aboriginal culture, nor the lives of Aboriginal communities within the landscape. The only reality is the symbolic. Lake Mungo has acquired important values in this artistic vision of Australian landscape and identity. Sydney Nolan spoke of the vital role visits to the area played in his personal artistic and spiritual journeys (Brown 1989).

In a sense Nolan, as reported in 1989, had appropriated Mungo as his very personal place, for to journey there was a 'homecoming'.

*I had the feeling it was right that we come here. You see, I feel I belong here, and while I'm here I'm happy. (Brown 1989 p. 11)*

Heather Brown who accompanied Nolan on this 'journey and homecoming to paradise' reported that Lake Mungo was 'unmistakably Australian, unmistakably Sir Sydney Nolan' (1989)

Not only painters but also potters, photographers and poets seek inspiration in the sculpted landscape of the dunes and in the vestigial presence of ancient Aboriginal culture. To them such visits constitute a spiritual experience, almost a pilgrimage; but is it one situated in their own cultural values and traditions? Do they listen for those other 'voices'? The voices that tell of the meanings Mungo has held, and those it still holds?

*For me it is the negative image of Ayers Rock. Ayers Rock sticks up and is there for all to see. In this area the landscape is more subtle. One has to be immersed in the landscape. It has a mystical air. In a sense it is the kink of site that is sacred to everyone. (McGrath 1984).*

Another visitor, the travel writer for the *Canberra Times* (February 21, 1993 p. 23) also senses the mystery there, but derives it from the archaeological vision of ancient life-ways. The ancient hunter, the writer notes,

*... pervades one's senses when exploring the Lake Mungo National Park.... a journey of 40,000 years and now back where we had begun we realised that what we had encountered was another way of seeing things a new perspective of time. (Canberra Times 21/2/1993 p. 23)*

These words, reminiscent of the sentiment in Eliot's 'Little Gidding' (one of the Four Quartets) focused an image of the ancient hunter, frozen in time, his spear poised. They derived from the writer's fascination with the archaeology of Mungo, yet are still dominated by the stereotype of the desert hunter in spite of the archaeological significance of the female cremation burial known as 'Mungo Lady'.

To archaeologists also Lake Mungo is a place of pilgrimage. It has produced an important archaeology from the range of sites stratified in the dune's Pleistocene deposits.



*Fig. 3. Excavations on the early 1970s directed by Wilfred Shawcross of the Australian National University explored the archaeology of the Mungo unit in the Mungo lunette. Its lower levels were dated to c. 38,000 years ago. Photograph courtesy of ANU University Public Relations.*

With the succeeding Holocene record this offers vital evidence on changing human use of this spectacular geomorphological landscape over at least 40,000 years. The earliest dates for these sites hover at the very limits of radio carbon dating techniques with promise of extended chronologies from the application of thermoluminescence dating (TL). The 40,000 year dates from sites investigated in the early 1970s opened up new areas of Pleistocene archaeology for excavation. The international significance of this archaeology was rapidly recognized. As a result the Willandra Lakes Region became one of Australia's earliest nominations for World Heritage listing as a record of cultural and landscape history of 'outstanding universal value' The

region offers unparalleled opportunities for investigations of human cultural history and landscape formation.

To Aboriginal people, both local and Australia-wide, Mungo's archaeology has been of paramount significance. In the 1970s it documented the deep antiquity of Aboriginal occupancy of the Australian continent. This provided important statements at a time of political shifts and changing perceptions of Aboriginal collective self awareness. The archaeological sites of the Mungo Lunette could be seen as symbols of Aboriginal cultural continuity and survival. In this case there was an incorporation of archaeological knowledge into Aboriginal perceptions of their own identity and cultural traditions (See Creamer 1988 p. 58).

To local Aboriginal people Lake Mungo's archaeological record carries further meanings. The female cremation burial, 'Mungo Lady', is important as symbol as well as a person from the distant past. 'We owe her so much' Badger Bates said to me in 1992 (pers. comm.). To Badger Bates and other members of the local communities of Western New South Wales, Lake Mungo and its archaeology have both particular as well as general significance. This has been articulated clearly over the last eighteen years, not least in the roles taken by local leaders such as Alice Kelly and Mary Pappin from Balranald, Lottie Williams and Roddy Smith from Dareton and Wentworth, William Bates and Alice Bugmy from Wilcannia. They present local Aboriginal views to the scientific community and heritage managers and advise on the significance of sites in the local landscape. Questions of custodianship and control of sites, also of their investigation by archaeologists, were raised as early as the mid 1970s by the Balranald community.

Aboriginal people of the region's local and Regional Land Council have been active in the last decade as members of management committees set up by government agencies, thus asserting their role as custodians of past heritage. They value Mungo and its sites. It is a 'magical place', 'sacred ground', to quote some comments from local elders recorded in interviews televised in 1993 (SBS Programme 'Spirit to Spirit' 28-10-93). While acknowledging the importance of the archaeologists' contribution they still regard the area as of special significance to Aboriginal people and insist that they have a major role in decision-making regarding heritage sites. They look to a future in which research is conducted by Aboriginal archaeologists.

To the local non-Aboriginal community Lake Mungo also holds important values. There is pride in the recognition of its archaeological significance, nationally and internationally. However there is also concern over the implications of the involvement of heritage management, especially since World Heritage listings. Will this become intrusive? Such concern can be exacerbated by a sense of loss of control over what had always been seen as directly controllable, one's own property and its management. There was also the perception of intrusion by different levels of government into what had previously been the domain of local government: local rural affairs and enterprises such as tourism.

The groups most directly affected have been the land

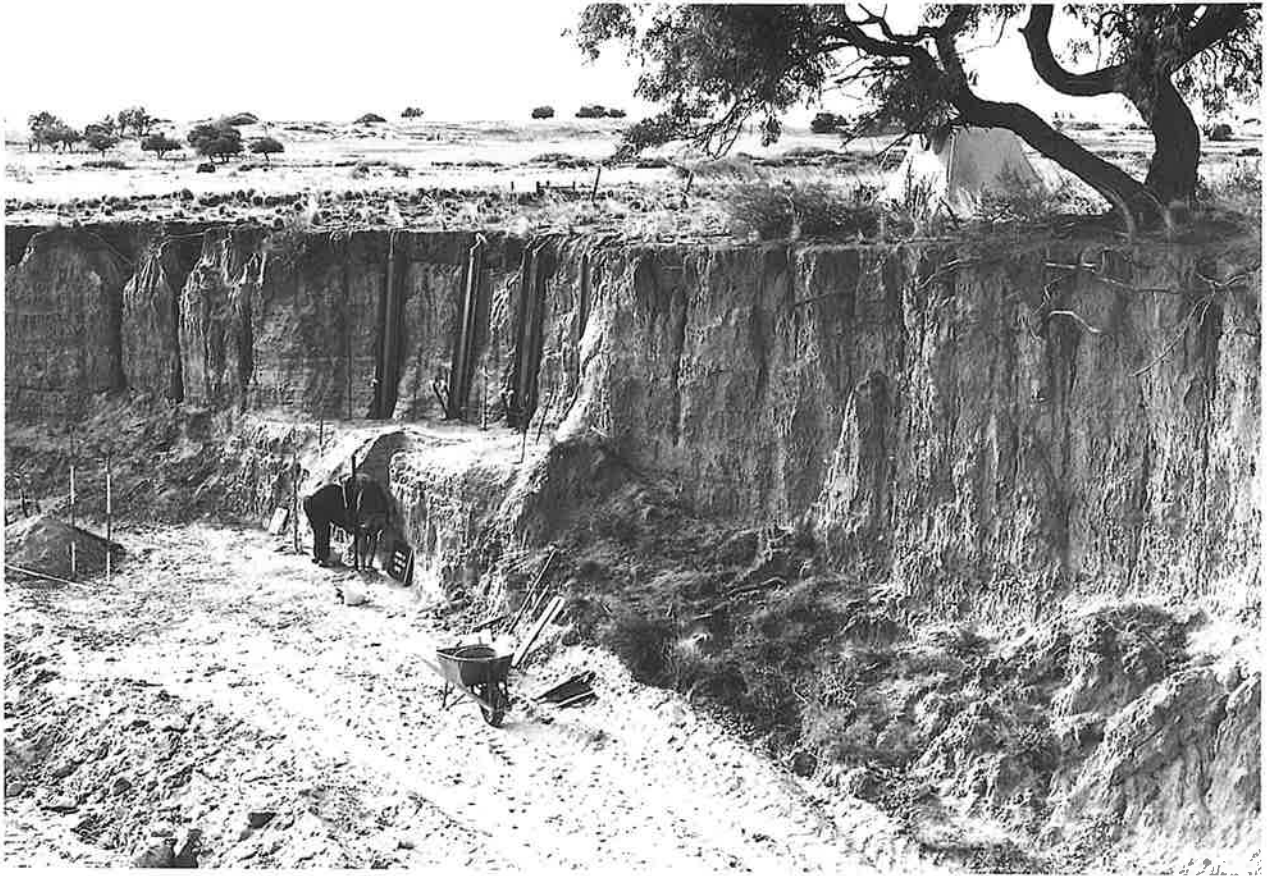
holders of the World Heritage Area who found themselves simultaneously and suddenly engaged with heritage management at both the local and international level. What impact will World Heritage listing have on their running of their properties? Many had already shown an intense and long-standing concern for the protection of historic and Aboriginal sites on their properties, for example the Barnes families on Joulni and Mungo stations, or Angas Waugh whose valuable collection of Aboriginal artefacts is now curated in the Research Centre at Lake Mungo National Park. Meeting the concerns of Willandra land holders will be an important task for those finalising the management provisions for this World Heritage Area. Further land holder involvement in conservation policy will be an essential element in its success.

So Lake Mungo has acquired levels of meaning and special values for many Australians. It is unquestionably a place of power. Much of its symbolic value is rooted in current debates on collective self-identity, Aboriginal and non-Aboriginal. Many non-Aboriginal visitors have more concern with visions of a pristine Aboriginal past belonging to distant millennia than with the local Aboriginal culture of the present. Opportunities for acquiring other perspectives could be developed but are often allowed to slip away.

However for archaeologists and Aboriginal people some significant initiatives have been taken. In 1989, a workshop on research was held at Lake Mungo National Park. Its aim was an overview of past studies in the environmental and cultural fields of research. Participants included the scientific investigators, local Aboriginal people, heritage managers and local land holders. It was a sharing and exploration of research results, of information, and a recognition of the genuine interest each group held in the landscapes of the Willandra. The researchers there made an open statement of their commitment to Aboriginal custodianship of the past and its physical remains, including the human remains. Aboriginal participants responded warmly. In January 1992 the cremated bones of the 'Mungo Lady' were returned from the laboratories of the Australian National University to the keeping of the elders of the local communities at a solemn and moving ceremony held on the lunette near the original find spot. This occasion was one of genuine sharing of experience and perspectives. It brought together researchers, Aboriginal people and local land holders to celebrate a new beginning. The return of these bones in an important sense was a realisation of 'the impossible dream' in its exploration of new possibilities of shared understanding.

On this special occasion the archaeologists (committed to the conservation ethic, and to the scientific values of their discipline), acknowledged the important values held for others by those fragile bones, accepting the symbolism of their return to Aboriginal control. Aboriginal people on their part openly recognised the value of archaeological research and its contribution to knowledge of their past. With the elders when they received the finds, was Mr. Barnes of Joulni, holder of the land on which the find was made. This occasion was the more significant given the unfortunate and irreconcilable clash of values between





*Fig. 4. Excavations in 1975 directed by the writer investigated deeply buried midden sites in the deposits of the Lake Arumpo lunette dating to c. 36,000 years ago. They were revealed by deep gully erosion of the fragile dune landscape. The shell*

*horizons document the gathering and processing of fresh water mussels from the now dry Lake Arumpo. Photograph by Isabel McBryde.*

archaeologists and the Aboriginal community over the Know Swamp human remains in 1990.

Other changes in the public legislative domain reflect new attitudes that find a focus on Lake Mungo. Currently the New South Wales Government is preparing its Aboriginal Ownership Bill. This will transfer ownership of Lake Mungo National Park, (with three other significant Aboriginal places, Mootwingee - Mutawinttji - Mt Grenfell and Yarrowick) to local Aboriginal communities. Joint management with the NSW National Parks Service is being discussed, and will maintain this spirit of shared perspectives, building on, but exceeding, mere commonality of concern. This should provide management appropriate to the plurality of values held by Mungo National park, and to its very special Aboriginal significance. Wider legislative and management changes are under consideration for New South Wales. These will implement the recommendations of the Task Force established some years ago to report to Government on future provisions for Aboriginal cultural heritage.

For the Willandra Lakes World Heritage Area as a whole the management plans currently being developed are likely to stress strong involvement from local Aboriginal communities. As well as land holders, scientific researchers and relevant Government agencies, (both State and Federal) will contribute to management policy and its implementation. In this we will hope for management

structures in which shared understanding of diverse cultural values emerges as a directing force, and in which community values and social significance are recognized as vital components.

There is now a new arena in which all of us may develop innovative perspectives based on understanding and acceptance of values important to others in our society, and held to be present in the heritage places we investigate and protect as researchers or managers.

Such developments must be active processes, interactive with those concerned. Token recognition of the existence of other values is hardly sufficient. We must accept what cannot appropriately be shared, listening to those other 'voices' in the debate and respecting their messages. What should we do beyond listening to the 'voices' that inform us of other values? Are there further ways of promoting shared understanding in a pluralist society? A number of new directions would seem vital. First one might stress the promotion of educational opportunities for Aboriginal people in the fields of anthropology, archaeology, conservation practice and heritage management. In this we should recognize that as well as sharing our knowledge, skills and techniques, as educators we must be ready to see them taught and applied in new ways, ways that are culturally appropriate, so that a genuinely indigenous archaeology may emerge. The tradition of archaeology in our region will thus be enriched by new understandings and new



Fig. 5. Members of the N.S.W. National Parks and Wildlife Services' Advisory Committee on Aboriginal sites guided by Peter Clark, then Lake Mungo's resident archaeologist, visit Lake Mungo in 1981. This Committee comprised both Aboriginal community members, heritage managers and archaeologists. On the right is Mrs. Alice Kelly, elder of the Balranald Community. Photograph by Isable McBryde

perspectives. We must be ready to accept that this may lead to its transformation into a very different archaeology from that currently in practice, which is grounded in western traditions of learning and knowledge construction.

Collaborative research projects form a second important direction for development. Colin Pardoe has called joint research Australian Heritage Commission. Already they are providing new insights relevant to research and assessment as well as to developing management policy. Social values, long 'the "Cinderella" of heritage survey work' (Blair 1993 p6) have been crucial for the work of the Commission's Regional Assessment programmes 'based on the recognition that the community holds extensive knowledge about heritage values', (Blair 1993 p6 see also p16). It also emerged that there was an ethical dimension, the obligation of heritage practitioners to involve community groups in assessment and decisions about places important to their lives.

*As social value derives from popular usage and meanings, it is essential that the assessment and management of such places must closely involve if not be led by, the community who use them... the process of understanding the social value of a place.... must therefore involve: Defining the 'community of interest'.... (Johnston 1992 p19; See also Blair 1993 p16).*

Significantly, discussions on the final form of the Willandra Lakes Region's Management Plan involve a Community Liaison Council representing major local interest groups such as the Aboriginal Land Councils and the land holders. It interacts closely with other committees representing scientific and government administrative interests.

Such developments foster exciting innovation, appropriate to the multi-layered values held by so many Australian heritage places. They may also stimulate new modes of thinking about the past and about heritage, as well as about pragmatics of its management. Shared

understanding of disparate values may become a reality. It could be empowered by the realisation that exploring the distinct ventures 'sharing the past' (1990, see especially p. 209; see also McBryde 1985 p. 2 and Creamer 1989 p. 130). They may also open up a shared future for the past's physical remains, and the expression of those new perspectives that could emerge from educational change. As Creamer points out 'integrating traditional with scientific pathways to knowledge of the past could yield a creative and meaningful interpretive synthesis' (1989 p. 130)

A third area is the development of joint management programmes for heritage areas. Important Australian models are already in place at *Uluru* and *Kakadu* in the arrangements between traditional Aboriginal owners and the Australian Nature Conservation Agency. They are rooted in acknowledgment of Aboriginal custodianship of the past and control of its physical expression in country, and are carefully structured in their legislative and administrative bases. Such collaborative arrangements are an important feature of management of significant areas of Maori heritage in New Zealand. Here the collaborative arrangements are termed 'management in partnership' and have significant history at places like *Tongariro National Park*. This important Maori cultural landscape also had a long history of value to the *Pakiha* community. Its partnership management facilitates expression of both cultural roles for this landscape (Titchen 1993 pp 9-10 and 12).

A fourth vital direction for the future lies in recognition of community values (as relevant to the assessment and management of heritage areas) and a concern for social values as well as scientific values in heritage discourse. Recently programmes eliciting and accommodating community values have been established by the cultural values and visions of those separate collectives within society enriches the wider social fabric.

Two hundred years ago that curiously perceptive First Fleet marine *Watkin Tench* was perplexed by the challenge

of cross-cultural communication between Aborigines and Europeans:

*..... no difficulty, but of understanding each other, subsisted between us. Inexplicable contradictions arose to bewilder our researches, which no ingenuity could unravel, and no credulity reconcile. (Tench [Complete Account.... 1793] 1961 p. 200).*

If we consider shared heritage as a matter of sharing the process of understanding differing values and working to accommodate them, then perhaps at last we may resolve these contradictions. The ideal may not be elusive, but amenable of transformation into a new reality. Thus the disparate cultural values may acquire new meanings, and we may achieve new understanding of the past, as well as of the needs of shared management or partnership in management for its material remains. Some years ago, Howard Creamer (1989) highlighted the relevance of T.S. Eliot's 'Little Gidding' (*The Four Quartets*) to these issues.

Its words are as appropriate in conclusion as they were in my title.

*We shall not cease from exploration  
And the end of all our exploring  
Will be to arrive where we started  
And know the place for the first time.*

#### Acknowledgements

This paper grew from ideas presented to the Australia ICOMOS Conference on 'Managing a Shared Heritage' held in Darwin in December 1993. It was a stimulating meeting and I am grateful for its rewarding exchange of ideas. My thanks to Dr. Peter Forrest, Conference Coordinator and Editor, for permission to use here some of the material from my Darwin paper. Ms. Carol Cooper, Pictorial Curator, Australian Institute of Aboriginal and Torres Strait Islander Studies, kindly assisted in providing illustration of the 1992 ceremonial return of human remains.

*Fig. 6. Geomorphologist Professor Jim Bowler pointing out features of the stratigraphy of the Mungo 'Walls of China' lunette that make the Willandra Lakes Region such an important place for the study of Australia's geomorphology, landscape history and climatic change in the Pleistocene. The occasion was the 1983 unveiling of a plaque to commemorate the region's listing*

*as a World Heritage site. This was performed by Mr. Neville Wran, Premier of New South Wales (centre) in the presence of Professor Ralph Slatyer, who then chaired the World Heritage Committee (to his left), the writer (on Professor Slatyer's left) represented the Australian Heritage Commission. Photograph courtesy of the Australian Heritage Commission.*





Fig. 7. The return of the remains of the 'Mungo Lady' (c. 26,000 year old cremation burial, as yet the world's oldest record of this form) — January 1992. Members of Aboriginal communities, researchers and local land holders gathered on the lunette to

witness the ceremonial 'hand-over' at the burial site.

Photograph by Penny Taylor, reproduced courtesy of the Australian Institute of Aboriginal and Torres Strait Islander Studies.

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# The Meaning of Cultural Conservation in Muslim Societies\*

Mohammed Arkoun

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*In "The Meaning of Cultural Conservation in Muslim Societies" Professor Arkoun points to an important psychological and intellectual difference in the way Muslims regard cultural conservation, the Muslim's perspective being theological and mythical, the European's historical, based on the evidence of written or material documents. There is an urgent need for new conceptual tools to address correctly the question of conservation in Muslim Societies and to elaborate an adequate terminology in the perspective of cultural semiology. Conservation is a radical endeavour to re-think the historical process of semiological disintegration and the necessary conditions of re-integration in the new context created by material and intellectual modernity. Politically, it is essential to conceive and to present conservation as a vital part of social and cultural development, and not as a luxurious exercise for tourists or rich amateurs.*

Cultural conservation in Muslim societies is related to nationalist movements, just as it is in western societies. Each society is proud of its past and seeks to show off the glorious performances of its ancestors. The display is not limited to architectural monuments, but includes all cultural legacies like manuscripts, furniture, jewellery, poetry, painting, musical instruments, and weaving.

In European western societies, the concern for cultural rehabilitation, restoration and conservation is based on a historical methodology dating from the 16th Century when the humanist movement looked back to Greek and Roman legacies. Architecture, urban planning, sculpture, painting, law, philosophy, sciences, literature — all Greco-Roman civilisation became the object of learning, imitation and conservation.

Muslim societies, however, started to look back to the past immediately after the death of the Prophet. The companions of the Prophet Mohammed were the living memories of the Quranic revelation and his teachings of Mohammad (the future *hadith*). The Caliphates in Medina and Damascus wanted to run the new Muslim state according to the rules give in the Quran and the practical behaviour of the Prophet during his mission. This means that conservation has been since the very beginning of Islamic history, the primary concern of successive generations. Continuous endeavour led to the conservation of the Quran, the biography of the Prophet (*Sira*), his

teachings, and the teachings of the companions (*Sahaba*). Thus historiography became an important literary activity: to write down all the facts related to the inauguration of the new religion became important not only for Muslims, but for all human kind, from the perspective of religious salvation.

There is a big difference between the Muslim concern for the religious past and the European humanists' interest in the Greco-Roman legacy: in the first case the perspective is theological and mainly mythical, in the second case, it is historical, based on the evidence of written or material documents.

This is an important psychological and intellectual difference. Historical methodology has been developed in Europe in the scientific spirit to form our modern conceptions about the past. This positive historical knowledge has affected more and more the process of identification, restoration, and conservation of ancient monuments or cultural legacies. The museum culture is the result of this evolution; Western culture came to generate what André Malraux called 'le musée imaginaire'. The romantic movement in the 19th Century increased interest in discovery and conservation not only of the western cultural legacy, but also that of other civilisations. In 1800, Napoleon went to Egypt with soldiers, archaeologists and scientists; Egyptology soon became a scientific discipline as well as Assyriology and biblical studies.

On the Muslim side, the evolution of the interest for the past has been, on the contrary, more and more religious, scholasticist and mythological. Even the historical material collected by historians during the first three centuries of Hijra (7th-9th C.) has been forgotten, or lost, because the conservation of manuscripts had not yet been carefully developed. The discovery of Muslim classical heritage and the efforts for its conservation started to be a scientific enterprise only during the 19th Century with the development of orientalism in the larger contexts of the romantic movement and colonial domination.

It is important to have in mind all these historical facts if we want to approach all the problems of conservation in contemporary Muslim societies with an objective, scientific attitude. It is not an easy task. Many precious parts of the vast cultural patrimony in the Muslim world have been damaged, lost, or dispersed, and a large part of our architectural legacy has deteriorated or been destroyed, especially in the last forty years under the impact of the modern economy and its technology.

For all these reasons, we need new conceptual tools to address correctly the question of conservation in Muslim societies. Before considering restoration and conservation in its technical or historical aspects, we need to elaborate an adequate terminology in the perspective of cultural *semiology* [the science dealing with signs as fundamental elements of all cultural systems]. In cultural history, working concepts, carefully defined and used, are as important as slides are to architects visualising space. We have to visualise mental space as well if we want to understand all the delicate mental mechanisms and collective forces operating in conservation as a cultural activity.

### A semiological approach

Semiology is not yet well established as a discipline, although it touches the three basic tools of any cultural expression. Semiology deals with *signs*, but also *symbols* and *signals*. The main system of signs is language<sup>1</sup>.

Words in language do not refer directly to objects or to the substance of beings; they are signs heard (sounds) or seen (written units); each sign refers to a mental image related to physical objects in our environment, or to concepts shaping our representations. Signs are thus flexible, not rigid; they convey various images according to our experience and training in different levels of language. Without actually seeing the mountain, the sea, the elephant, we have mental images with various colorations, or connotations of the physically existing referees; we can never see God or the angels, we shall never see again Abraham, Nebuchadnezzar or Harûn-al-Rashîd ... but we have through these names (signs) an unlimited range of representations.

The same mental operations are generated by all other semiological systems — music, dance, cooking, painting, rituals, buildings, and gardens. Signs always refer to many possible meanings. Symbols used in these semiological systems are richer than signs; symbols are persons, events, or physical objects currently used in social communication to convey high spiritual, ethical, or aesthetic values shared

by the social group whose identity is precisely structured by all the values projected in the symbols. Abraham, for example, is represented in the Quran not as an historical individualised agent, but as the symbolic religious figure of the ideal relation between God, the creator, and man, the creature.

Creating links between material beings and mental representations is a permanent dynamic function of humankind who generate meanings through signs and symbols. The new cognitive attitude introduced by semiology is that symbols and signs are never intangible, static tools referring to permanent, and substantial meanings; they are subject to change, because the human mind is itself continuously exposed to new experiences. Symbols and signs can be deteriorated, weakened, or rigidified to become mere *signals*. A signal has only one interpretation, such as the green and red lights in a traffic light conveying only one meaning in that context; however, colours (like green for Muslims, red for communist revolutions) can be used as symbols, signs or signals.

The general disintegration of traditional cultural systems which played an important role in cultural integration prior to the industrial revolution is expressed in the substitution of a *populist* sub-culture for *popular* culture, which has differentiated itself over a long period of time from the written *learned culture*. These three levels of culture are to be found in all contemporary third world societies. In Muslim areas, we have to focus particularly on the growth of *populist* culture.

Sociologically, a populist culture is produced by several combined factors, the most important being the tremendous, unprecedented rate of demographic increase. Around 60% of the population of Muslim societies is less than 20 years old. In many countries, agricultural polities and industrialisation have uprooted the peasants and the nomadic population, obliging them to move to traditional urban centres where written learned culture and classical architecture are concentrated.

When we discuss Islamic culture and civilisation, we aim at this urban elite who wrote and thought in the Arabic language, and who created the urban cities during the classical ages (1st-6th and 7th-12th C.). The division between written learned culture and oral popular culture has long been expressed in the opposition of the Arabic words *Khâssa* and *l'Âmma* : the elite and the masses. Actually, the Quran itself introduced this division with the opposition between pagan ignorant society (*Jahiliyya*) and illuminated learned community (*'ilm*) or believers. Although oral cultures with their vernacular architecture have been marginalised by official, learned culture, they remain alive with a strong integrative function as long as the rural populations have not been uprooted. The nationalist state, the generalisation of elementary school training, the deterioration of craft guilds, and the industrial system of production are the main new forces which have transformed popular culture into fragmented, scattered, uprooted populist culture.

Populist culture is characterised by the predominance of signals, and the concurrent inability to read or use the

symbols and signs which have been invested in all traditional forms of culture. If we study the mosques built during the last thirty years in Muslim societies, the theology taught in schools, the individual and collective behaviours, the aesthetic values in furniture, clothes, and natural environment, the political relation to the state and the authorities, the roles played by the *'ulama*, we discover in each level the disintegration of symbols and signs into signals, slogans, and rigid aggressive expressions cut off from traditional legacies. The semiological universe is invaded by plastic objects, by deteriorated gadgets and machines, and by meaningless expressions that make little sense as far as poor, marginalised social groups are concerned: rich bourgeois elites are also cut off from this universe and are dominated by western models of culture.

The built environment reflects perfectly this new semiological, cultural structure in all Muslim societies: Californian villas, modern buildings, business centres, low cost housing, and slums translate the semiological divorce and the disintegrative forces at work. Cities are mostly artificial, conformist, rigid reproductions of a conventional, desymbolised environment, instead of the rich, integrated, functional surroundings in the classical Muslim City.

This is the semiological context in which restoration and conservation are to be undertaken, not a specialised activity of learned archaeologists or historians for the pleasure of an elite, but essentially as a complex activity aiming at revitalisation, reuse, and reinsertion in the general development of the society. Conservation is a radical enterprise to *rethink* the whole historical process of semiological disintegration and the required conditions of reintegration in the new context created by material and intellectual modernity. In this perspective, one has to ask if the semiological disaster already reached in many societies leaves any chance for conservation as a holistic process for development.

### **Conservation as a developmental issue**

Conservation is a cultural enterprise which needs to be evaluated in the perspective of: (i) a given cultural tradition; (ii) a given society expressing itself as a nation or a community; (iii) a universal concern for aesthetic messages delivered by monuments, masterpieces, or landscapes which are part of the world's patrimony. Beauty has an emotional, metaphysical, and spiritual function; it enhances the transcendental experience described as poetic, religious, absolute, divine, or sacred. It is a permanent force for the emancipation of the human condition from its limitation.

Conserving a monument — or any piece of artistic creation — is a part of this universal aspiration to reach all expressions of beauty, to participate in the various forms, styles, and inspirations used in different cultures to produce artistic masterpieces.

In this perspective, conservation cannot be only a national responsibility; that is why UNESCO initiated in 1972 a convention for the protection of world patrimony.<sup>2</sup> Linked to UNESCO, the International Council for Monuments and Sites (ICOMOS) and the International Centre for Restoration and Conservation of Monuments

(ICCROM) were also founded.

The Aga Khan Award for Architecture founded in 1976 and more recently, the Aga Khan Trust for Culture (1998) have the same universal goals, although they consider only Muslim cultural spaces to empower a Muslim modern humanism.

The main result achieved by these international organisations is the awareness of the rapid deterioration of the cultural patrimony in all societies and consequently, the necessity to rethink the problems of cultural development on a world scale. We are beyond the romantic and nationalist interest for exotic cultural expressions, or interest in political glory such as that shown by the Shah of Iran when he decided to restore Persepolis.

The universal approach to conservation as a developmental process is particularly needed in Muslim societies for two major reasons — material and ideological.

In any Muslim society, the architectural legacy is very rich and diversified; at the same time, as I have indicated above, the semiological degradation is so rapid and radical that interventions for restoration and conservation are more urgent than elsewhere. But these operations are very expensive and cannot be achieved with local resources. Restoring one monument located in a populist area — as is very often the case — is nonsense, if it is not prepared by a social, economic, and cultural upgrading of the whole quarter. Many examples can be seen in Cairo, Lahore, Dhaka, Fez, and Aleppo. Nothing on this scale can be done without an active international solidarity. Unfortunately, we know that lack of local assistance, underground speculation, and corruption can end the good will of international organisations. The Casbah in Algiers and the Medina in Fez are illuminating examples of the obstacles and even the impossibilities related to the conservation of whole urban tissues.

The ideological reason for conservation is no less important. All Muslim states emerging from colonial wars have stressed the priority of the Muslim heritage; this means that other heritages, like the Roman in North Africa, and the Hindu, Buddhist, Malaysian, and Indonesian heritages going back long before Islam came, may be neglected from a strict nationalist viewpoint. The debate is stronger since "Islam" became the unique political reference for the state seeking legitimacy, or for an opposition arguing for a "true" Islamic regime. The universal perspective opened by UNESCO and other international organisations seems to be the best approach, stressing the ultimate meaning of any cultural conservation for the national personality as well as for the world community.

An example is presented in Bangladesh by Painam Village near Dhaka. The village was built in the 19th Century by rich Hindu merchants; the architecture is totally dependent on British models during the colonial period. From an ideological viewpoint, this now very deteriorated village would not deserve any consideration for rehabilitation and reuse. But young architects trained in Dhaka rightly objected that very original solutions had been found by the architects who designed the village and the houses and that these solutions are still valid for the environment; while



recent buildings and houses built in Bangladesh are pure imported models, not adapted to the needs of the population and the ecological necessities.

Other examples can be found in Zanzibar, Tanzania, and Kenya, along the East African coast long occupied by rich Arab merchants who practised the slave trade. After the independence of these countries, many Arabs had to leave their sumptuous houses.

What should one do with this legacy, symbolically linked to the slave economy? A monument, a house, a public building, an urban design cannot be separated from the social and cultural context in which it has been created to fulfil specific functions. The restoration and the conservation of such buildings or urban areas will depend on the integration of the past by the collective contemporary conscious. This brings up the difficult and central problem of teaching history in formerly colonized countries in general, whoever the colonist, whatever the period.

For the moment, history is almost exclusively an ideological nationalist tool; it is constantly and systematically manipulated to justify the official will for national unity. National pride may help save some monuments which are declared relevant to national glory; but others will be destroyed for this same reason. This has happened and is happening.

Michael Parent, a former President of ICOMOS, has a nice formula: We need to 'sacralise the essential'. But how to identify the *essential* in each national heritage? And if we succeed in identifying it, how to persuade Muslims that there is some aspect *essential* in a Buddhist temple or a Christian church? Or how to persuade a Sikh, a Buddhist, or a Christian to respect buildings which are not relevant to their faith?

This is the mission of history as a central cultural discipline. In Muslim countries the history of arts is taught badly, wrongly, or not at all. In western schools and universities the history of Islamic arts has a very marginal place. This situation is not going to improve very soon, because few specialists are trained and departments of history are not willing to rethink the whole curriculum of historical studies. The history of religions given in an open, *anthropological* perspective would certainly help to create a new spirit for the conservation of the essential in all cultural traditions. But this discipline is as badly taught and represented as is the history of arts. I do not deny the existence of great scholars in both disciplines; I want to make the point that these two disciplines must have a higher place in historical studies.

One need not await the establishment of such teaching to look for urgent cases of sites, monuments, urban quarters, and palaces which deserve to be saved. The conservation of the built environment is not only intended to save cultural messages from the past; it is a social and economic *integrating* activity because it involves skills, knowledge, crafts, techniques, and materials which would otherwise disappear totally. This means that our present is connected to our past in very concrete, active, living ways, in the involvement of experts and workers on all levels. Thus,

conservation cannot be conservatism or a luxurious exercise for tourists or rich amateurs.

In third world countries, there are so many competing demands on very scarce or wrongly used resources. Politically, it is essential to conceive and to present conservation as a vital part of social and cultural development. This is not yet the case, because many levels of society are not motivated to participate in or even to understand operations decided by officials for ideological purposes, not to mention the populist phenomenon which is the most dangerous threat to each Muslim country's cultural tradition. Populist pressure has already imposed a style of mosques dominated by the seeking of prestige, responding to demagogic demands, using stereotyped, dead tradition, ignoring totally the need for resymbolisation in a desymbolised environment. Similarly, there is a conformist international so-called Muslim style imposed on public buildings, private houses, and urban design, disregarding the lessons which could be taken from the authentic, integrating operation of conservation as we described it.

This is the most important function of conservation in the present historical situation of all Muslim societies. 'Islam', as we know, is largely, overwhelmingly used as a political, demagogic weapon. It is and it will be for a while the one ideological resource adapted to the spreading populist "Culture"; it is going to be over-used by all social forces competing for power and for the control of what sociologists call the symbolic capital. Social and political scientists are not yet intellectually or scientifically equipped to deconstruct the complex socio-cultural-political process leading to the total disintegration of Islam as a spiritual, *symbolic capital*, transformed into a pure ideological, contingent, precarious tool. This process does not affect only ideals and beliefs; it is concretely written in the built environment, in the way of life, in the broken social solidarities, in the destroyed links to the land, in the general desymbolisation depersonalisation, and deculturation of daily existence.

This is not a pessimistic view of the present evolution in Muslim societies; rather it is a pressing invitation to self-criticism, an urgent awareness about the human price we are paying for a wrong, dangerous so-called development. Approaching these problems through architecture, urbanism, and conservation gives a better insight, and a more relevant diagnosis of all the social diseases and all the cultural and semantic disorder in which we are embroiled.

Let us dream for a while: would it be possible that the many architects, experts, historians, artists, writers, scholars in all fields of research; the amount of knowledge and cultural resources accumulated in each country; the powerful technology available for improving human existence; the rich range of human experience and skills; the huge demographic capital at our disposal ... would it be possible that all these values be invested to produce a shared, mastered, emancipating history for humankind?

This would be an integrating, dynamic cultural conservation of human patrimony in the perspective of a richer, continued creativity.

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- <sup>1</sup> *Language is a system of signs, according to the definition given by F. de Saussure and further developed by other linguists*
- <sup>2</sup> *"A Patrimony for All", in Le Courier de l'Unesco,*

*August 1998.*

- <sup>3</sup> *This important concept (capital symbolique) is used in anthropological analysis of cultural values as P. Bourdieu did in Le sens pratique, ed. Minuit 1980.*

## Quelle doctrine de sauvegarde pour demain ?

Raymond Lemaire

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*In "Quelle doctrine de sauvegarde pour demain ?" ("What protection-of-monuments doctrine for tomorrow?") Professor Lemaire remarks that the value of the building has always depended on its use, beauty and ability to provide an historical source. It is the last, a building as the essential means of discovering and understanding the past, which has dominated conservation doctrine and which has given rise to the conflict between artistic and historical authenticity. It reached its apogee in the Venice Charter, yet undoubtedly Asiatic and Arab cultures, for example, approach the visible part of their history with a sensibility which is fundamentally different to that of the European. The author questions whether we should therefore resort to the multiplication of charters and comes down in favour of an universal charter with complementary supplements for the different cultures. Social and economic considerations are given due weight: rehabilitation rather than redevelopment and the contribution of the heritage to the economy through tourism. With the rupture of tradition there is now a greater psychological need for continuity. The cultivation of memory, the study of the past in all its forms are the only guarantee of future creativity.*

Dès ses origines au XIX<sup>e</sup> siècle, la conservation et la restauration des monuments ont suscité le besoin de justifier ces activités. Les réponses données aux questions posées ont, tout naturellement, orienté le "comment faire". Il en est de même aujourd'hui. C'est ce qui explique toute l'importance qu'il convient d'attacher à la doctrine et à son évolution.

Les réponses au "pourquoi" trouvent leurs racines dans le contenu et la hiérarchie des différentes valeurs que l'on reconnaît au patrimoine monumental. C'est donc au niveau de l'analyse de ces valeurs qu'il convient de comprendre et d'interpréter les doctrines, anciennes et actuelles, et d'envisager leur devenir.

Depuis le début de la sauvegarde, dans le sens actuel du terme, la valeur du monument qualifié d'historique se réfère à trois attributs de l'édifice : son usage, sa beauté et sa capacité de source de connaissance du passé. Les deux premières sont liées à l'essence même de l'architecture, la troisième est plutôt accidentelle; en importance, elle prend cependant très vite et très souvent le pas sur les deux

premières. Il en est ainsi depuis Vitet et Mérimée, et même, pour certains monuments, depuis Brunelleschi. D'autres, tel Pugin, Reichensperger ou Béthune y joindront la valeur d'exemples à imiter.

Pour l'architecture d'aujourd'hui, le monument ancien n'est plus un modèle que l'on imite ou que l'on copie (quoique certaines tendances du néo-modernisme puissent en faire douter !). Par contre on le reconnaît plus que jamais comme témoignage indispensable à la connaissance du passé. Il est vrai que la découverte et l'étude de civilisations exceptionnelles, qui ne nous ont pas, ou peu, laissé d'écrits, ont démontré le caractère irremplaçable des monuments comme source d'histoire. Et dans le cas de civilisations, par ailleurs bien connues, en aurions nous une perception valable en l'absence de témoignages monumentaux? Qui oserait imaginer les pyramides d'Egypte, dans leurs dimensions colossales, sur base de la seule description qu'en donne Hérodote ou le chœur de la cathédrale de Beauvais à la lecture d'une chronique médiévale ?

La perception du caractère unique et irremplaçable du

vestige monumental comme source essentielle de découverte et de compréhension du passé a dominé l'évolution de la doctrine de sauvegarde pendant tout le XXe siècle. Depuis les premières réactions contre les restaurations et reconstitutions excessives de la seconde moitié de XIXe siècle (et celles du XXe !), paradoxalement fort marquées sinon par les formes du moins par la conception classique de la beauté (*Omnis puchritunis forma est unitas* selon la définition de Saint-Augustin), jusqu'à la Charte de Venise, 1964, c'est le problème de l'authenticité artistique et historique du témoignage monumental qui a été le moteur principal de l'évolution de la pensée et de la doctrine. La Carta del restauro (1931), la Charte d'Athènes (1932), les écrits de Dvorák ou de Riegl, pour ne citer que les plus importants, marquent les grandes étapes de cette progression.

La Charte de Venise en est l'aboutissement. Préserver l'authenticité artistique et historique du témoignage est le souci qui sous-tend toute sa doctrine. Il explique l'extension extraordinaire donnée au concept de monument. En effet, comment comprendre la volonté de conserver des vestiges, reconnus sans grand intérêt artistique, si ce n'est pour leur capacité de témoigner de façon irremplaçable de faits sociaux, techniques ou autres appartenant au passé? Il justifie l'appel à toutes les disciplines et à toutes les techniques capables d'assurer, mieux que les moyens architecturaux classiques, la survie des vestiges originaux que l'on préfère conserver altérés ou atrophiés plutôt que de les remplacer par des copies ou des reconstitutions, d'un intérêt artistique plus grand peut-être, mais toujours susceptibles d'engendrer le doute quant à la valeur de leur témoignage. Il éclaire le choix du mode de construction contemporain pour les interventions de type architectural ou sculptural en l'absence de certitude scientifique dès qu'il s'agit de reconstitution de parties altérées, disparues ou jamais exécutées et l'obligation d'y faire appel dès qu'il est question de modifications ou d'ajouts. Le devoir d'établir, pour chaque intervention, un dossier d'archives relatant sa nature et les découvertes ou les observations faites à cette occasion, confirme la primauté du respect de l'authenticité dans la doctrine contemporaine.

Lorsqu'elle fut rédigée, à Venise en 1964, les auteurs de la charte avaient la conviction d'émettre des principes de valeur universelle. Ils n'étaient pas conscients de ce que d'autres civilisations que l'européenne pouvaient avoir une approche distincte des problèmes et une sensibilité différente de la leur quant au dialogue qu'ils entretiennent avec les témoignages de leur passé. Il est vrai que l'origine de la sauvegarde moderne est incontestablement européenne et que leurs collègues des autres cultures, souvent formés dans les universités ou les hautes écoles occidentales, avaient, des problèmes, une approche similaire à la leur et ne les aidaient donc guère à percevoir les différences.

Il est certain que la civilisation occidentale entretient avec son passé, particulièrement depuis le Romantisme, des relations exceptionnellement fortes et ambiguës. Se développant à vive allure grâce à son approche rationnelle et scientifique des choses et des faits, elle s'accroche, par ailleurs, avec une nostalgie certaine, à son héritage. Sa sensibilité aux vestiges d'autrefois l'amène à confondre

volontiers le beau et le vieux. Elle n'hésite pas à détruire ses traditions, y compris celles qui contribuent encore à déterminer son identité mais, d'autre part, elle engage volontiers les autres à préserver les leurs parce qu'elle y perçoit l'écho des siennes propres, qu'elle a saccagées. E. Viollet-le-Duc avait déjà clairement perçu cette tendance lorsqu'il écrivait, vers 1859 : "Si l'Européen en est arrivé à cette phase de l'esprit humain (l'analyse scientifique de son passé), c'est que tout en marchant à pas redoublé vers des destinées à venir, et peut-être parce qu'il marche vite, il sent le besoin de recueillir tout son passé, comme on recueille une nombreuse bibliothèque pour préparer des labeurs futurs..."<sup>1</sup>

Les interprétations ou les applications concrètes de la Charte de Venise, combien différentes pour ne pas dire divergentes quoique s'y référant toutes, constituent en soi une indication évidente des imperfections et de l'ambiguïté de son énoncé. Peut-être est-ce un mal inévitable car une charte est toujours l'expression de nombreux compromis. Elle énonce le minimum sur lequel on peut atteindre un accord.

Quoi qu'il en soit, il est clair, aujourd'hui, que les cultures asiatiques ou la culture arabe, pour ne citer que celles-là, considèrent les traces visibles de leur histoire avec une philosophie et une sensibilité différentes de la nôtre. Comment comprendre sinon que les temples les plus sacrés et les plus "anciens" du Japon, ceux du sanctuaire Shinto d'Ise, se reconstruisent à l'identique tous les vingt ans depuis plus de quinze siècles, ou que la date attribuée à un monument arabe soit presque toujours celle de sa fondation et non celle de sa reconstruction éventuelle?

Faut-il conclure à l'impossibilité d'énoncer des principes communs? Faut-il se résoudre à rédiger des chartes différentes selon les cultures auxquelles elles s'adressent? Ou convient-il, au contraire, de dégager les options communes, d'en faire le contenu d'une charte universelle et de rédiger des textes complémentaires qui en expliciteraient les spécificités selon les grandes entités culturelles du monde?

Si cette dernière option est retenue - je crois personnellement que c'est la bonne - il est évident qu'il est indispensable de disposer de critères communs de référence afin de dégager des conceptions comparables.

Les seuls critères praticables et, en principe, de signification universelle, sont ceux qui se rapportent à la notion de valeur attribuée au patrimoine monumental. Une analyse serrée de celle-ci, telle qu'on la perçoit dans chacune de nos cultures au stade actuel de leur développement, identifiant clairement les champs concernés, paraît bien la seule méthode adéquate pour clarifier le débat.

On l'a vu, trois attributs du patrimoine monumental sont les facteurs "porteurs" traditionnels des valeurs justifiant sa sauvegarde : l'usage, la beauté et la source de connaissance historique. Si les deux premières sont universelles parce qu'elles participent à l'essence même de l'architecture, la troisième se prête à des appréciations sinon à des interprétations différentes selon les cultures. Les deux exemples cités ci-dessus illustrent combien le jugement de valeur et le témoignage peuvent aboutir, en la matière, à

des attitudes variées, voire même opposées. Cependant, toutes sont valables si elles sont l'expression d'une réalité culturelle, même si elles aboutissent à des résultats divergents ou contradictoires et génèrent, chez les uns ou chez les autres, des sentiments de frustration voire même d'incompréhension. Un occidental peut-il accepter que les temples d'Ise datent du III<sup>e</sup> ou du Ve siècle alors que leur substance matérielle remonte à moins de vingt années? Pour un prêtre hindouiste, les statues originales des portails des cathédrales moyen-âgeuses, préservées avec dévotion dans leur substance primitive malgré les blessures occasionnées par les hommes et par le temps, peuvent paraître sacrilèges au vu de leur fonction religieuse dont le rôle transcendant ne peut admettre, dans son esprit, l'imperfection formelle.

Mais il est un autre aspect de la valeur historique qui, peu perçu autrefois, nous est devenu plus évident à la suite du bouleversement continu auquel est soumis, dans la plupart des pays développés, l'environnement bâti : celui de la présence physique du passé, du témoignage historique que le monument, toujours vivant, apporte au cadre de la vie quotidienne. L'édifice d'autrefois matérialise dans la rue, dans le paysage, dans le logement pour certains, les racines visibles de la culture et y évoque la longue chaîne des générations. Il ajoute au lieu la dimension du temps et de la mémoire. Henri Focillon écrit très justement qu'il "substitue le plein de la culture au vide actif du temps"<sup>2</sup>. Son message n'est pas réservé aux seuls privilégiés du savoir mais s'adresse à tous puisque tous le côtoient, souvent quotidiennement.

Proche de la valeur historique, mais de caractère différent, est ce que Aloïs Riegl a appelé la valeur d'"ancienneté" ou de "remémoration"<sup>3</sup>. Celle-ci n'est pas tributaire d'un message historique spécifique, essentiellement de nature culturelle, mais bien de la perception de l'action physique du temps sur l'oeuvre d'art. Il s'agit de l'intérêt attaché au processus de destruction progressive et inexorable de l'oeuvre, de la dissolution graduelle de la matière, des formes ou des couleurs et, sans aucun doute, de l'émotion que suscite cette matérialisation du temps écoulé. La phrase célèbre de Puvis de Chavannes: "Il y a quelque chose de plus beau qu'une belle chose, c'est la ruine d'une belle chose"<sup>4</sup> illustre, à l'excès, ce sentiment que le romantisme a cultivé, particulièrement dans la sensibilité occidentale. Celui-ci garde une grande signification pour nombre de nos contemporains et correspond sans doute au besoin naturel de l'homme de percevoir visuellement ses racines et les traces qu'y laisse l'écoulement du temps dont l'homme émerge sans cesse. Il participe à l'angoisse diffuse que génère le cycle de la vie et de la mort, sort inexorable de toute créature et de toute création.

A ces valeurs depuis longtemps reconnues et analysées, se sont ajoutées, au cours des dernières décennies, l'appréhension de champs d'intérêt autrefois non ou mal perçus : ils se situent principalement aux plans social, économique et éducatif.

La valeur sociale du patrimoine monumental est, non sans raisons, celle à laquelle on attache, aujourd'hui, une très grande importance. C'est naguère qu'on a découvert

son intérêt particulier. Le patrimoine monumental semblait, autrefois, l'apanage privilégié de la classe aisée : celle qui jouissait des bienfaits d'une éducation soignée, des bénéfices de la culture, des avantages de la mobilité. Voyages et patrimoine monumental étaient des notions jumelées.

Les choses ont bien changé, du moins dans une partie du monde! La généralisation d'une éducation et d'une instruction plus large ainsi que la diffusion de connaissances auparavant confinées à un milieu étroit, entre autres grâce aux mass-media, ont suscité dans toutes les couches de la population un intérêt pour le patrimoine. L'élargissement simultané de celui-ci à des édifices dont la conception et l'usage sont proches des couches populaires, qui y reconnaissent volontiers et à juste raison "leur" patrimoine a consolidé cette évolution. Plus qu'autrefois, une large partie de la population se reconnaît dans son patrimoine, culturel et découvre dans "ses" monuments un support visuel à son identité. Elle y est de ce fait plus attachée. Les innombrables associations et mouvements de défense ou de promotion de sauvegarde d'édifices de toute nature, qui surgissent et prospèrent dans les villes et les villages, sont issus de cette prise de conscience et en affirment l'importance sociale.

La perception de la valeur sociale la plus évidente du patrimoine monumental résulte des opérations de rénovation ou de réhabilitation urbaine. A l'origine, celles-ci ont souvent donné lieu à des transferts de population. Des dizaines, voire des centaines, de familles ont été condamnées à quitter leurs habitats usuels et leurs maisons taudifiées soit pour les voir démolir et remplacer par des H.L.M. ou des bureaux, soit pour permettre leur réhabilitation et l'aménagement de logements confortables et attrayants, trop coûteux pour eux. De telles opérations, qui furent très nombreuses, particulièrement en Europe occidentale, ont généralement causé des traumatismes profonds et révélé combien est puissant le lien essentiel entre les structures sociales et les structures physiques de l'habitat. Il est apparu clairement que le "tissu social" est porté, structuré et maintenu, pour une bonne part, par le "tissu" physique urbain. Plus le quartier est ancien, plus la population est démunie, plus la puissance et la spécificité du tissu social est accusée et plus la population est attachée à son environnement traditionnel. Même taudifié, celui-ci apparaît à ses habitants comme bien autre chose que de "vieilles pourritures que sont nos coquilles de colimaçon" comme les qualifiait Le Corbusier<sup>5</sup>. Elles sont pour un grand nombre plus accueillantes que les "maisons outils" dont il préconisait la construction. Bien que plus fonctionnelles et physiquement plus confortables que les "coquilles" elles sont généralement impersonnelles, froides, voire écrasantes, tandis que la "coquille", malgré son inconfort, offre une attractivité particulière à la fois par le tissu social et urbain auquel il appartient, par le caractère individualisé de son apparence et de sa structure, et par la nébuleuse de souvenirs dont elle nourrit l'imaginaire de ceux qui l'habitent.

La reconnaissance de cet état de chose donne au patrimoine monumental, pris dans sa définition la plus vaste, une importance toute nouvelle : elle en fait une composante essentielle de la politique de l'environnement urbain et de

l'habitat. En effet, comment concevoir correctement celle-ci sans enregistrer les aspirations de la population? Peut-on ignorer plus longtemps, ou considérer comme épiphénomène, la volonté de plus en plus affirmée par une partie non négligeable des habitants des villes et des villages de vivre dans des quartiers, dans des maisons marquées par l'histoire, fut-elle modeste, plutôt que dans des ensembles modernes souvent anonymes et dénués de mémoire? La réhabilitation des ensembles anciens, cette masse prépondérante du patrimoine monumental, est incontestablement un volet primordial de toute politique sociale de l'habitat. Cette part du patrimoine est aussi, par nature, historique, mais sa valeur se situe prioritairement au plan social et non à celui de la culture. Il serait erroné de ne pas en déduire que les règles qui gouvernent leur sauvegarde ne peuvent être identiques à celles qui inspirent la conservation des "grands" monuments. Toute doctrine doit prendre ce fait en compte.

Naguère, il était mal considéré de parler de la dimension économique du patrimoine. Sa valeur culturelle était jugée comme transcendante et ne supportant, sans *capitis diminutio*, de comparaison avec aucun autre critère et certainement pas avec un intérêt situé au plan matériel. Cette approche ne concorde plus avec l'évolution de nos mentalités, ni avec la conception actuelle de la gestion. On ne peut nier, par ailleurs, à notre époque où le tourisme est devenu dans de nombreux pays un secteur économique de pointe, que la patrimoine monumental est sans intérêt à ce niveau. Une étude récente <sup>6</sup> a démontré par une analyse fine des flux économiques générés par le patrimoine que celui-ci contribue pour une part non négligeable à la création du produit national brut. On ne cesse d'affirmer que la sauvegarde de nos monuments et de nos sites monumentaux coûte cher, mais on oublie de dire que ce patrimoine rapporte. Il convient donc de considérer la politique de sauvegarde d'un pays dans le cadre d'une équation qui prend en compte tous les facteurs, y compris la dimension économique. En l'absence d'études sérieuses, celle-ci est trop souvent basée sur des "on dit".

Parmi les valeurs économiques il en est une que l'on méconnaît, en général, et qui n'est pas sans importance au plan de la doctrine : la plupart des monuments "servent" encore, c'est-à-dire qu'ils accueillent des fonctions qui, si elles n'étaient pas remplies par eux, requéreraient la construction de bâtiments nouveaux et donc des investissements considérables. Il suffit d'imaginer que dans l'une ou l'autre de nos grandes villes, Paris, Prague ou Rome par exemple, disparaisse subitement toutes les constructions ayant plus d'un siècle d'existence pour devenir conscient des services énormes que rendent à la société d'aujourd'hui des édifices amortis depuis longtemps ainsi que des dépenses gigantesques qu'il faudrait consentir pour loger les fonctions qu'ils abritent. En passant, on peut s'interroger aussi sur ce qu'y deviendrait, dans les mêmes circonstances, l'industrie touristique avec ses nombreux dérivés.

Ces faits essentiels pour la sauvegarde du patrimoine ont des conséquences sur la manière d'envisager son avenir, c'est-à-dire sur la doctrine. "La conservation des monuments

est toujours favorisée par l'affectation de ceux-ci à une fonction utile à la société, une telle affectation est donc souhaitable..." (Charte de Venise, art. 5). Cet article capital de la Charte énonce une vérité évidente mais qui, au plan de son analyse doctrinale, réclame une réflexion beaucoup plus nuancée. La balance correcte à établir entre l'intégrité du message historique et artistique du monument et les aménagements nécessaires à son usage actuel est une opération difficile et délicate qui exige non seulement du jugement et du doigté mais aussi une référence claire à une conception éthique. Selon la culture à laquelle on appartient, celle-ci peut différer notablement.

On a beaucoup négligé, au cours de ce siècle, la valeur éducative du patrimoine artistique. La naissance de l'art moderne, en réaction sinon en opposition avec les conceptions artistiques traditionnelles et un conformisme séculaire aboutissant à une banale imitation du passé, a créé un climat peu favorable à une appréciation correcte de la puissance éducative des créations artistiques d'autrefois. Par une aberration ahurissante on en était arrivé à baser, dans certaines écoles, la formation des artistes sur l'ignorance volontaire de l'histoire de l'art qu'ils avaient choisi de pratiquer. Comme si la création était possible au départ d'une mémoire vierge !

Le retour de flamme est puissant. L'échec du fonctionnalisme "dur et pur", sa méconnaissance des valeurs irrationnelles mais expressives de besoins subconscients de l'homme, sa dépendance quasi exclusive de la technique et de l'économie au détriment des liens fondamentaux que l'art de construire entretient depuis toujours avec l'humanisme ont appauvri sa capacité de répondre à toute l'attente que l'individu et la société mettent dans l'architecture. Le patrimoine architectural et urbanistique peut nous réapprendre ce qu'un passé récent avait tenté de nous faire oublier. Nous y redécouvrons des valeurs, des constantes, des façons de concevoir qui nous aident à dégager, sans renier ni nos moyens d'expression, ni notre sensibilité artistique, des solutions plus riches et plus conformes à nos identités culturelles. Certes, l'exemple néo-moderniste n'est guère concluant à cet égard. Ce n'est sûrement pas par la voie de l'imitation incomprise, incohérente ou ironique de formes appartenant à des styles anciens qu'il convient de puiser dans le passé mais bien par la recherche des valeurs fondamentales et constantes, ainsi que de la sensibilité artistique spécifique qui, à travers l'évolution des styles, marquent l'esprit profond de l'architecture des régions et sous régions culturelles du monde. L'architecture, par une cohérence profonde retrouvée avec son passé, réintègre de ce fait le royaume de la culture et de l'identité propre de la société qui la génère. Seul le patrimoine, unique véhicule de la mémoire de l'art de construire, permet de retrouver les racines dont la perception est indispensable à cette réorientation de la création de notre environnement bâti.

Faut-il rappeler le rôle du patrimoine dans la formation du goût de la population et, par ce truchement, de la prise de conscience d'une partie importante de son identité? Remplie par la seule architecture contemporaine, aux accents généralement internationaux et, hélas, souvent insipides,

cette éducation ne produirait probablement que des résultats décevants, ne fut-ce que, dans la meilleure hypothèse, par son caractère univoque.

Mais pourquoi donc l'homme se préoccupe-t-il tellement de son passé? Il y a incontestablement, dans son être mental, un besoin lancinant de la perception du temps. Seule sa mémoire permet de le saisir sur la longue durée et ce n'est qu'en s'appuyant sur elle qu'il échappe au présent, élance son imagination et sa volonté vers un avenir encore inexistant et conçoit l'éternité. Son passé qu'il appréhende consciemment, c'est presque tout l'homme. Aussi Pierre Chauvin a-t-il pu écrire : "Être homme et s'enraciner dans son passé sont deux notions presque synonymes"<sup>7</sup> La mémoire consciente, franchissant allègrement siècles, générations et océans est l'apanage de l'*homo sapiens* dont l'intelligence, sans elle, deviendrait aussi stérile qu'un outil sans matière à transformer. Il ne faudrait donc pas s'étonner de ce que la présence physique du temps écoulé et des souvenirs accumulés dans l'environnement quotidien, matérialisée dans sa plus grande durée par le patrimoine monumental, corresponde à un besoin psychologique profond.

La perception de ce besoin nous est devenue plus évidente qu'aux générations précédentes parce que nous vivons une époque en rupture de tradition. Les signes visibles de la continuité qui s'avèrent être, pour l'homme, apaisants et tranquilisants, s'amenuisent de jour en jour dans nos villes et même dans nos villages, soumis à bouleversements et reconstructions rapides et trop souvent incohérents. L'expérience quotidienne prouve que, très souvent, on ne prend conscience de la valeur d'un bien que lorsqu'on l'a perdu irrémédiablement. Il en est ainsi du patrimoine architectural et urbain.

S'il est vrai que celui-ci remplit une fonction aussi essentielle dans l'environnement de l'homme, une fonction qui contribue non seulement à l'enrichissement de son intelligence, de son imagination et de sa sensibilité mais aussi, et d'une manière plus fondamentale, à son équilibre psychologique, il est évident que se situe, à ce niveau, une valeur capitale du patrimoine que toute doctrine et toute politique en la matière doivent prendre en compte.

Quoi de plus surprenant à ce que l'homme tisse des liens aussi étroits avec son passé? Son cerveau, instrument unique des activités qui le distinguent des autres créatures, n'est-il pas lui-même le témoignage fascinant de son long devenir? Par une addition successive, et une intégration subséquente en un organisme cohérent et efficace, des cerveau reptilien, paléocerveau et néocortex, qui marquent les grandes étapes de son évolution biologique, il devient l'*homo sapiens*. Le cerveau de l'homme est un extraordinaire objet archéologique dont les vestiges les plus anciens perpétuent toujours des fonctions essentielles. Selon H. Laborit ce sont ses couches les plus anciennes, "le paléocéphale (qui) se tourne vers l'avenir poussé par les expériences passées..." tandis que "le néocéphale saute dans le futur en prenant appui sur la passé et en regardant le présent monter vers lui."<sup>8</sup>

L'oeuvre du temps, enregistrée par la mémoire, est essentielle dans l'émergence progressive, à travers les âges

biologiques, de l'homme d'aujourd'hui. Sa faculté la plus spécifique, l'intelligence, en est le chef d'oeuvre incontestable; mais celle-ci est vaine sans sa capacité de se souvenir volontairement et consciemment. Dès lors, la grande sensibilité de notre race à la marque du temps devient parfaitement compréhensible. Tout comme son angoisse d'en conserver, découvrir, ou enregistrer les traces et parmi celles-ci, par priorité, celles qui concernent sa propre histoire et celle du groupe auquel il appartient. La présence de témoins visibles de son passé, dans son environnement, lui est nécessaire tout comme celle des signes de la "dimension du temps", qui lui permettent d'en saisir *in vivo* toute l'ampleur. Y a-t-il, dans notre cadre de la vie quotidienne, des manifestations matérielles du passé qui remplissent mieux ce rôle que le patrimoine monumental tel qu'il est défini par sa conception la plus large?

Faut-il conclure que la sauvegarde de ce patrimoine répond à un besoin très profond de l'homme qui s'apparente à l'ordre biologique? Il est évident qu'une réponse positive à cette question ajouterait au patrimoine une valeur d'autant plus considérable qu'elle se situe, comme peu d'autres, au niveau le plus essentiel des besoins humains.

L'homme est en devenir constant. Son histoire ne s'arrête pas au présent et si sa mémoire est riche c'est qu'il n'a cessé de créer le présent en s'appuyant sur les expériences passées. Il serait donc tout à fait erroné d'interpréter ce qui précède comme une apologie exclusive des oeuvres d'autrefois ou à un retour romantique à un passé que l'imagination embellit et glorifie. Ce serait aussi inconséquent que d'en vouloir nier le rôle essentiel. Pour toute pensée, pour toute réflexion, pour toute création nouvelle, l'homme fait appel à sa mémoire, c'est-à-dire à la part du passé connu par lui. De la richesse de ses souvenirs dépendent l'abondance et la qualité de ses découvertes nouvelles. L'histoire récente des sciences en donne une impressionnante démonstration. Il en est de même pour la création de notre environnement bâti; seul l'appui sur l'expérience passée assure la qualité des réalisations nouvelles. C'est donc dans la voie de la continuité qu'il convient d'interpréter les valeurs du patrimoine. Celui-ci est garant de notre capacité de créer le neuf et ce dernier est le nouveau chaînon d'un développement sans fin prévisible. Ensemble, l'ancien et le nouveau forment l'environnement bâti équilibré qui permet, grâce à l'infinie variété des choix, de pourvoir au besoin de l'individu et de la société. Tous les deux sont indispensables à son épanouissement.

En conclusion, il importe de savoir que la sauvegarde du patrimoine monumental n'est ni une mode, ni un caprice culturel. Si elle dépend des choix immédiats de la société, elle n'en appartient pas moins à la nature même de l'homme au stade actuel de son développement. Les raisons qui justifient la sauvegarde ne dépendent pas uniquement des domaines artistique et historique dans lesquels on la confine généralement mais relèvent aussi du social et probablement de causes qui touchent au tréfond de la sensibilité humaine. Il est évident que cette constatation place la sauvegarde sur un plan politique différent de celui qu'on lui accorde aujourd'hui et qu'il relève non de l'accessoire mais de

l'essentiel de la bonne gestion des valeurs essentielles de la *res publica*. La sauvegarde de la mémoire, sous toutes ses formes, est le gage essentiel de notre créativité future. Le long souvenir conscient des pensées et des actes, accumulés au cours de sa très longue histoire, les leçons qu'il en tire à

chaque pas pour faire mieux ou savoir plus et mieux au pas suivant, ont permis à l'*homo* de devenir *sapiens*. Qu'y a-t-il de plus important au monde que de permettre et de favoriser cette marche vers un avenir où il découvrira, peut-être, les voies de la sagesse?

<sup>1</sup> E. Viollet-le-Duc, *Dictionnaire raisonné de l'architecture française du XIe au XVIe siècle*, Paris, 1859, t. VIII, p. 16.

<sup>2</sup> H. Focillon, *Vie des formes*, Paris, 1939, p. 117.

<sup>3</sup> A. Riegl, *Le culte moderne des monuments. Son essence et sa genèse*, trad. D. Wieczorek, Paris, 1984, p. 85 et ss.

<sup>4</sup> Cité par Chan. R. Lemaire, *La restauration des monuments anciens*, Anvers, 1938, p.60.

<sup>5</sup> Le Corbusier, *Vers une architecture*, Paris, s.d. (1924), p. 233.

<sup>6</sup> R. M. Lemaire et C. Ost, *Evaluation économique du patrimoine monumental. Présentation d'une méthode d'analyse. Etude effectuée à la demande de la C.E.E.*, Bruxelles, 1984.

<sup>7</sup> P. Chaunu, *La mémoire et le sacré*, Paris, 1978, p.12.

<sup>8</sup> H. Laborit, *L'homme et la ville*, Paris, p.38-44.



# “La notion d’authenticité dans son contexte et dans sa perspective”

Jean Barthélémy

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*Jean Barthélémy in “La notion d’authenticité dans son contexte et dans sa perspective” (“The notion of authenticity in its context and perspective”) makes the point that authenticity demands the preservation of the message in its original state. This is clearly impossible since time alone, not to mention the human hand, will diminish the integrity of the work. So the author examines the merits of relative authenticity and stresses that, to evaluate the heritage, we are not in the exclusive field of the historian but in a much larger field which must take into account the aesthetic, cultural and social aspects of the work under consideration. Thus the criterion of authenticity can only make sense today if taken strictly in its historical and cultural context. The author comments on the gap which has developed between restoration practice and new architecture, remarking that to achieve real aesthetic quality invention will always be indispensable. He gives as an example Charles Vandenhove’s inspired restoration of the Hôtel Torrentius at Liège. In the end it is a matter of weighing up all the factors and exercising judgement.*

Le Professeur Raymond Lemaire a récemment attiré l’attention sur l’ambiguïté qui entoure l’un des termes les plus usités de la protection des monuments : l’authenticité<sup>1</sup>. Aussi bien dans la Charte de Venise que dans la Convention du patrimoine mondial, ce terme est effectivement le critère pivot qui est censé orienter à la fois l’esprit des interventions sur le patrimoine et le choix des plus prestigieux témoins de celui-ci. N’est-il pas surprenant que ce point focal de toute une philosophie d’action soit admis comme une telle évidence qu’elle puisse se passer de commentaires. Dans une matière aussi sensible, peut-on accepter le risque de laisser à chacun le soin d’en interpréter le sens?

En effet, s’il faut entendre la notion d’authenticité de la conservation dans sa stricte acception - celle de la préservation absolue du message dans son état premier -, l’utopie est en point de mire pour tout ce qui concerne les ensembles bâtis, l’érosion du temps se chargeant bien, en dehors de toute intervention humaine, d’altérer l’intégrité de l’oeuvre. L’authenticité absolue n’étant dès lors qu’une vue de l’esprit, sa relativité mérite d’être soumise à une analyse plus fine et à des évaluations mesurées.

Il est vrai qu’au moment où les meilleurs spécialistes de l’époque, essentiellement européens, se sont réunis à

Venise pour établir une Charte, qui a elle-même pris la dimension d’un monument défiant le temps, l’animosité envers certaines restaurations falsificatrices de l’histoire coalisait les meilleurs esprits. L’unanimité était faite sur le concept d’authenticité et celui-ci ne suscitait pas le moindre doute sur sa signification, puisqu’il représentait exactement l’antithèse des conceptions dénoncées comme inadmissibles. Il s’agissait bien d’éviter toute confusion ou ambiguïté quant à la chronologie des différentes interventions en refusant d’une manière rigoureuse la “réinvention” du passé.

Le message était clair parce qu’il n’avait pas besoin d’être qualifié en lui-même, mais par simple opposition à son contraire. C’était en quelque sorte un message de combat en réaction vis-à-vis d’une pratique fort répandue et jugée à ce point dangereuse qu’elle réclamait un revirement brusque de conception. C’était un message inscrit dans l’évolution des idées et forgeant sa justification sur l’analyse des erreurs d’un passé récent.

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C’est en 1972 qu’est adoptée par la Conférence générale

de l'UNESCO la Convention concernant la protection du patrimoine mondial, culturel et naturel. Le Comité du Patrimoine mondial est constitué et, en 1977, les textes réglementaires et les directives sont prêts fournissant les critères d'évaluation pour l'établissement de la liste du patrimoine mondial. Sur les traces de la Charte de Venise, l'article 24 des recommandations soumet l'inscription sur la liste à une question préalable en prévoyant de soumettre automatiquement le bien examiné à la règle de "l'authenticité pour ce qui est de sa conception, de ses matériaux, de son exécution ou de son environnement".

À la réflexion, l'extension à l'analyse critique des monuments de ce concept d'authenticité ne me paraît pas fondé. La volonté actuelle et hautement respectable d'appliquer une méthode scientifique rigoureuse, admettant le fait d'une évolution inéluctable des formes tout au long de l'histoire, n'autorise pas à juger *a posteriori* toutes les anciennes interventions en se référant systématiquement à un critère relativement circonscrit dans le temps et dans l'espace. Pour l'évaluation du patrimoine, nous nous situons non dans le champ exclusif de l'historien qui s'inquiète de la fiabilité de ses repères, mais dans un champ bien plus vaste où l'on est davantage sensible à la globalité esthétique, culturelle et sociale de l'oeuvre présentée.

Une anecdote me vient à l'esprit à ce propos. Me trouvant devant la façade récemment nettoyée de l'hôtel de ville de Mons, je me désolais de voir apparaître, çà et là, des pierres jaunâtres qui altéraient l'homogénéité de cette belle composition gothique en pierres calcaires. "Pas du tout", se récrie mon ami, fidèle défenseur de l'authenticité, "cette restauration de la fin du siècle dernier est immédiatement perceptible; elle ne laisse aucun doute sur l'emplacement exact des zones restaurées!" Cet argument ne m'a pas convaincu. Pour moi, le message esthétique d'une belle composition architectonique ne peut être altéré au profit d'une obsession de lisibilité historique. En l'espèce, ce rapiéçage provenait non d'un souci délibéré d'authenticité, mais d'une erreur d'appréciation dans le choix des pierres.

Selon moi, il importe peu que, pour échapper aux inévitables morsures du temps, les décors sculptés de certains monuments du moyen-âge aient été, comme c'était la coutume, refaits à l'identique, parfois plusieurs fois au cours du temps. Bien entendu, leur datation n'est pas toujours évidente en dehors de l'utilisation de moyens technico-scientifiques très sophistiqués. Le mérite de ces interventions n'est cependant pas mince, si l'on songe qu'elles nous ont permis de recevoir l'héritage presque authentique de leur "valeur formelle".

Chaque étape dans l'évolution d'un monument ne devrait-elle pas être appréciée dans le contexte culturel et historique qui était le sien, et non en référence à un critère issu d'une époque et d'une culture complètement différentes? Ce serait, me semble-t-il, une règle élémentaire de déontologie au regard de l'histoire et de la diversité des cultures. En transportant le problème dans le monde musical, il faut bien admettre que Jean-Sébastien Bach n'hésitait pas à insérer dans ses oeuvres des thèmes musicaux empruntés à d'autres musiciens. C'était une pratique courante à son

époque. Très heureusement, nous ne nous arrogeons pas le droit de le traiter de faussaire en référence à nos règles en matière de droits d'auteur

Dans un article paru en 1984<sup>2</sup>, Michel Parent posait déjà le problème de l'ambiguïté du critère d'authenticité comme condition sine qua non de l'éligibilité d'un bien culturel sur la liste du patrimoine mondial. En conclusion, il proposait une réponse nuancée, admettant notamment qu'"un mouvement, qui, au XIX<sup>e</sup> siècle, serait devenu, au-delà de sa signification initiale et de sa propre série, un édifice symbolique de la grandiose renaissance des identités historiques, pourrait justifier sa prise en compte au titre du critère 6 (biens représentant de grands événements ou de grandes idées)".

Même si la conception romantique de ces oeuvres va très naturellement à l'encontre de celles dont nous nous prévalons aujourd'hui, il faut se ranger du côté du bon sens : juger les oeuvres selon les normes de leur temps et dans leur contexte culturel; j'oserais même dire suivant leur authenticité circonstanciée, c'est-à-dire celle qui ne peut être que relative à un contexte précis.

La confusion dans laquelle l'application inconditionnelle du critère d'authenticité a mis l'établissement de la liste du patrimoine mondial, prouve bien la nécessité d'une clarification. Ainsi, comme le faisait remarquer le Professeur Léon Pressouyre, il est difficile de comprendre pourquoi, en 1985, l'examen de la Cité de Carcassonne magistralement reconstituée par Viollet-le-Duc a été ajourné alors que celle de Rhodes, tout aussi soumise à des "embellissements" durant la période fasciste, a été inscrite en 1988. De proche en proche d'ailleurs, au fur et à mesure de l'examen des dossiers, le critère d'authenticité, dans son acception stricte, apparaît tout à fait obsolète. Il ne peut plus faire autorité que compris dans son contexte historique et culturel.

Cette remarque prend tout son sens pour tous les monuments édifiés à partir de structures et de matériaux fragiles par nature même (le bois, la terre, le chaume et d'autres matériaux d'origine végétale). La conservation du matériau y étant impossible ou nécessitant des prouesses techniques totalement disproportionnées, sinon absurdes, c'est la préservation du savoir-faire artisanal qui constitue le premier souci, l'objectif étant de pouvoir renouveler, avec le même soin et la même qualité d'exécution que jadis, la forme initiale dans toutes ses subtilités. Ce sera certainement la contribution culturelle la plus fondamentale des pays asiatiques à l'éveil de l'humanité aux exigences ultimes de la conservation; car, en Europe, si l'on n'y prend pas garde, c'est finalement par manque de main-d'oeuvre hautement qualifiée que pourrait sombrer le patrimoine architectural.

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C'est forcément sous un tout autre jour qu'il faut envisager la notion d'authenticité dans le contexte de recommandations relatives aux interventions sur le patrimoine architectural et urbanistique. Ici, l'authenticité doit être située dans une perspective d'avenir.

Il y a trente ans, au moment où était élaborée la Charte de Venise préconisant sur le plan international un certain nombre de principes d'intervention sur les monuments historiques, rares étaient ceux qui pouvaient s'imaginer l'ampleur qu'allait prendre ce que Françoise Choay qualifie de "culte du patrimoine"<sup>3</sup>. Plus rares encore étaient sans doute ceux qui mesuraient toute l'extension qui allait être donnée à cette notion aussi bien à travers le temps qu'à travers l'espace : de la ruine antique aux ascenseurs hydrauliques, de la simple maison rurale à de très grandes zones urbaines.

Personne ne peut nier qu'il s'agisse bien là d'un important fait de société, indiscutablement lié à une grande désaffection vis-à-vis de l'urbanisation contemporaine. Ce culte est le signe d'un désenchantement collectif face à la dégradation et à la déshumanisation du cadre de vie. Il y a même lieu de se demander si ce retournement des mentalités ne prend pas racine bien plus loin dans l'inconscient collectif, ce qui aurait pour effet de poser toute la problématique de la conservation des monuments et des sites sous un angle tout nouveau.

Au cours d'un Colloque, tenu dernièrement à Charleroi, centré sur la perception "sociale" du patrimoine architectural traduisant peut-être le caractère éminemment affectif, sinon émotionnel qui sous-tend à présent la reconnaissance du patrimoine urbanistique et architectural, les diverses interventions et le climat général m'ont permis d'affermir mes convictions à ce propos.

Pour moi, en effet, la peur que l'on ressent confusément à l'idée de perdre la moindre trace du passé, fût-elle assez anodine, est l'incontestable signe d'une réelle angoisse vis-à-vis de l'avènement du monde des technologies avancées que certains ont coutume d'appeler société post-industrielle.

Heureusement, celle-ci n'est encore qu'à l'état d'ébauche. C'est précisément notre responsabilité collective de la construire dans une perspective humainement favorable. A cet égard, il me paraît particulièrement intéressant d'interroger la jeunesse, car ce sont dans ses frémissements qu'apparaissent les prémices du futur. C'est elle qui ressent avec le plus d'acuité l'inextinguible aspiration de l'homme au changement. Qui pouvait croire, il y a seulement cinquante ans, que la jeunesse éprouverait un tel besoin de ressourcement au départ des spécificités culturelles régionales? Qui pouvait soupçonner que les images futuristes proposées par les apôtres du modernisme industriel ne parviendraient à fasciner que durant moins d'un demi-siècle?

Entendons-nous bien : les jeunes sont passionnés par la frange la plus avancée de la technologie de pointe : l'informatique, la robotique, la révolution audiovisuelle,... Par contre, ils rejettent l'habitat sous forme de cubes anonymes accrochés en plein ciel et continuent à soupirer devant le charme des maisons ancestrales. Pour certains, un tel comportement peut paraître contradictoire. Ce n'est pas du tout mon sentiment.

En vérité, aux portes de l'ère post-industrielle, la jeunesse pressent que cette nouvelle phase de l'histoire universelle aura besoin de s'appuyer sur un nouveau contrat de société. Les traits essentiels de ce contrat apparaissent en filigrane

des sentiments apparemment contradictoires de la jeunesse. Il s'agira d'organiser la coexistence harmonieuse d'activités humaines situées aux deux extrémités des modes de production : la conception informatisée et le savoir-faire préindustriel composant deux facettes contrastées, mais indispensables l'une à l'autre, d'un même processus visant la qualité et la personnalisation du cadre de vie.

En la circonstance, la trajectoire intellectuelle de l'un des ténors de la futurologie architecturale ne manque pas d'intérêt. Il s'agit de Yona Friedman. C'est lui qui, il y a trente ans, imaginait de contruire à quarante mètres au-dessus des toits de Paris un immense treillis métallique dans lequel il proposait de venir déposer par hélicoptère des cellules préfabriquées. L'intérêt du système consistait essentiellement à pouvoir les remplacer aisément au gré des progrès technologiques. C'est le même Friedman qui a écrit et dessiné un petit manuel pour le Conseil de l'Europe à l'occasion de l'année européenne du patrimoine architectural. On y voyait des enfants jouant au ballon dans la rue. Le titre en était : "La ville est à vous". Ahurissant retournement d'opinion, qui est particulièrement révélateur d'une révolution dans les esprits.

Jour après jour, les expériences et les projets, qui se donnent pour objectifs de revitaliser la ville dans le respect de son identité et d'y réserver une place prioritaire à un habitat diversifié, se multiplient. Récemment étaient proclamés les résultats d'un grand concours européen d'architecture. Le thème en était fort clair : "Chez soi, en ville". Originaires des quatre coins d'Europe, une centaine de jeunes architectes se sont penchés avec passion sur deux quartiers urbains, l'un à Liège, l'autre à Charleroi. Dans leurs propositions, réhabilitation architecturale et construction intégrée sont associées pour que revivent ces quartiers grâce à une interpénétration équilibrée des fonctions urbaines au service de l'habitat.

Une telle conception de l'avenir donne tout son sens à une politique active et résolue de réhabilitation urbaine et de rénovation des sites d'activité économique désaffectés, de protection des sites des espaces verts et de renforcement de la pluralité des activités sociales, économiques et culturelles dans le coeur de nos villes; bref, selon l'expression du Conseil de l'Europe, de "Renaissance de la Cité" : un processus incluant à la fois la restauration soignée d'un monument historique réaménagé en musée, l'adaptation élémentaire d'une maison modeste aux normes actuelles de confort et la réutilisation d'un immeuble industriel à des usages artisanaux, dans une même vision d'avenir. Le rôle du patrimoine urbanistique et architectural dans son ensemble s'en trouve valorisé; de témoin important, mais relativement figé d'un monde perdu, il devient un atout majeur pour l'élaboration du nouveau monde et un incitant fécond à "la compétence d'édifier", préconisée par Françoise Choay<sup>3</sup>.

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Tel est brossé, en larges traits, le contexte dans lequel doit s'insérer la réflexion sur les méthodes de réhabilitation

du patrimoine et, notamment, sur le principe du respect de l'authenticité dans la conservation.

Au fur et à mesure de l'élargissement de la notion de patrimoine, se fait plus pressante la nécessité de synergies efficaces entre les différentes interventions à chaque niveau de l'opération globale de régénération. Car la réhabilitation est une notion qui, sans que l'on y soit bien conscient, bouleverse tant d'habitudes et dérange tant de positions confortables qu'elle risque d'être vidée de son sens si les actions sont menées dans la dispersion et l'ambiguïté des objectifs.

Dans cette perspective, il s'agit de se mettre d'accord sur le message spirituel et matériel que nous voulons léguer aux générations futures et sur la meilleure manière de le transmettre. C'est bien entendu le rôle que doit jouer la Charte de Venise, heureusement complétée par la Charte internationale pour la sauvegarde des villes historiques. Ces documents restent un cadre de référence particulièrement convaincant et stimulant. A l'épreuve du temps, la première apparaît comme un texte réellement visionnaire, même si, - et peut-être du fait que -, il laisse une certaine souplesse d'interprétation.

Par exemple, l'objectif, défini à l'article 3 de la Charte, invitant à "sauvegarder tout autant l'oeuvre d'art que le témoin d'histoire" n'est pas aussi clair et aussi facile à appliquer qu'il n'y paraît; lorsque certains ajouts, authentiquement historiques, gâchent la qualité artistique globale, peut-on légitimement les supprimer? La Charte fort prudemment ne se prononce pas sur ce dilemme. C'est l'un des cas où s'opposent les historiens et ceux qui, parmi les artistes, restent surtout attachés à l'"authenticité formelle". Le débat reste donc ouvert cas par cas et est souvent d'autant plus délicat qu'en son article 5 la Charte émet le souhait que le bien soit affecté à une fonction utile à la société. Dès lors, le choix du parti architectural ne peut donc échapper à la mise en confrontation de différentes valeurs en présence : qualité esthétique de l'oeuvre originelle et des apports successifs, importance symbolique et culturelle, valeur d'usage, opportunité socio-économique,... Bref, la Charte laisse une marge de manoeuvre non négligeable pour l'expression des diverses tendances culturelles et pour l'inexorable évolution des idées.

Il n'empêche que les recommandations de conserver tout ce qu'il est possible de sauvegarder dans son intégrité matérielle, de respecter autant que possible les apports successifs de l'histoire, de se préoccuper de la qualité du cadre environnant et de recourir s'il en est besoin à une composition architecturale qui porte la marque de notre temps, représentent autant de principes qui tentent de jeter un pont entre le respect de la substance historique et la recherche d'une insertion harmonieuse de la modernité.

Il faut se rappeler que la manière d'intervenir sur un monument a toujours été liée à la valeur et au rôle que la société, et spécialement les élites culturelles, lui attribuait. Cette règle ne souffre que peu d'exceptions. Avant la révolution industrielle, les normes esthétiques évoluaient peu à peu; la société faisait choix de son style et le patrimoine architectural ne devait pas faire obstacle à cette évolution des goûts. Il était au besoin détruit ou transformé

sans beaucoup de retenue afin de s'accorder aux nouvelles tendances du moment. C'est la prise de conscience de la valeur historique du monument qui, au siècle dernier, a placé celui-ci à l'abri de ces pratiques destructrices. Corrolairement, le fossé n'a cessé de se creuser entre les pratiques de la restauration et celles de l'architecture nouvelle. D'une certaine manière, la Charte de Venise a renoué avec la tradition en ouvrant les portes à la création contemporaine.

Cette ouverture à l'art d'aujourd'hui représente l'apport le plus spectaculaire, mais aussi le plus controversé de la Charte de Venise. Dans la perspective de la nécessaire synergie des actions de conservation et de construction nouvellement intégrée, j'y vois néanmoins pour l'avenir un très grand espoir. Mais, le chemin sera encore long avant de pouvoir célébrer cette grande réconciliation, car le défi lancé à l'architecture contemporaine est difficile. Il s'agira pour elle de remettre à l'honneur des critères de cohérence et de sagesse fort éloignés des pratiques exagérément individualistes qui s'y sont installées. Rappelons-nous cette réflexion désabusée de Walter Gropius : "Le besoin moderne de glorification individuelle a faussé nos critères et brouillé nos buts"<sup>4</sup>. Pour atteindre une réelle qualité esthétique, l'invention sera toujours indispensable; mais elle devra trouver le créneau juste, en s'efforçant, selon l'expression de l'architecte danois P.V. Jensen Klint, "d'imprégner tout son être de la densité esthétique qui se dégage du passé"<sup>5</sup>.

Nombreuses sont les réalisations qui n'offrent que le spectacle d'un détestable affrontement. A Tournai, quelques meneaux de pierres de fenêtres romanes avaient disparu. Pour leur restitution, c'est le béton qui a été choisi afin d'éviter toute confusion. Cette louable intention n'a servi qu'à souligner l'affligeante banalité de l'intervention et à dégrader considérablement l'harmonie de ces belles façades. Ailleurs, l'architecte s'est cru obligé de s'opposer brutalement à la composition originelle en brisant les rythmes, en se moquant des propositions, en multipliant les couleurs criardes,... Toutes ces expériences malheureuses mettent à jour l'éclatement de l'architecture contemporaine et son manque de lignes de force. Elles témoignent aussi parfois d'une interprétation caricaturale du concept d'authenticité en exagérant délibérément la rupture esthétique introduite par l'intervention nouvelle.

Heureusement, par contre, chaque année, de nouvelles expériences fournissent la preuve que l'adjonction judicieuse de la qualité contemporaine à celle du passé permet à certains ouvrages de renaître plus beaux et plus appropriés que jamais : l'innovation talentueuse sans brutalité démonstrative. Une strate nouvelle complète les strates du temps. L'authenticité, sous son aspect dynamique, s'en trouve renforcée et actualisée.

L'intégration architecturale dans les sites urbains et la réhabilitation d'anciens immeubles représentent des thèmes de recherche et d'expérimentation qui commencent à passionner les meilleurs architectes de notre temps et qui donnent lieu à de fructueuses confrontations d'idées au sein des écoles d'architecture. L'imagination créatrice peut prendre une nouvelle orientation. Au lieu de s'extraire du réel, elle doit au contraire s'en imprégner. Elle doit en

saisir toute la complexité et relever au sein de cette richesse les moindres indices permettant d'orienter la spécificité de la réponse architecturale.

Nous sommes au coeur d'une phase passionnante de la recherche architecturale. La restauration de l'Hôtel Torrentius, bel immeuble du 16<sup>e</sup> siècle à Liège, peut servir d'illustration à ce sujet. Durant le siècle dernier, les croisées de fenêtre en pierre avaient été enlevées, ce qui, comme à Tournai, était préjudiciable à la qualité esthétique de la façade. Nul témoin ne permettait de connaître le profil des meneaux disparus. Pour les remplacer, l'idée initiale de Charles Vandenhove était d'utiliser des profils d'acier en double-té. Les dessins ne permettaient pas de vérifier à

coup sûr la justesse de cette option. Aussi, l'architecte décida-t-il de construire le modèle en vraie grandeur et de le mettre en place. L'épreuve fut concluante : le ton n'était pas juste. La "linéarité" industrielle apparaissait plus nue et plus fruste que jamais entre les baies savamment ouvragées. Il fallut faire appel à la forme cylindrique, symbole de l'élément portant, et à un profil de traverse finement dessiné. Alors seulement l'architecte pouvait marquer sa satisfaction; au-delà du temps, une rencontre s'était produite à un haut degré de qualité. Chacun y avait mis le meilleur de lui-même. Par leur superposition, les apports du temps valorisaient l'image d'un patrimoine marqué par la pérennité de la qualité architecturale.

<sup>1</sup> Raymond Lemaire, *Authenticité et patrimoine monumental*, dans "Restauro" n° 125-126, 1993.

<sup>2</sup> Michel Parent, *La problématique du Patrimoine Mondial Culturel*, dans *Monumentum 1984*, Ed. Butterworths, York.

<sup>3</sup> Françoise Choay, *L'allégorie du patrimoine*, Ed. du Seuil, 1992.

<sup>4</sup> Walter Gropius, *Appolon dans la démocratie*, Ed. La Connaissance, Bruxelles, 1969, p.80.

<sup>5</sup> P.V. Jensen Klint, *Les bâtisseurs des temps anciens et du passé récent*, Copenhague, 1901, cité et traduit par Ivan Kilpatrick in *Le rôle de l'histoire dans l'enseignement de l'architecture*, Rapport du 9<sup>ème</sup> Forum International A.E.E.A., Aarhus, 1989, p.34.

# Authenticité : patrimoine véritable ou illusion désincarnée?

Dinu Bumbaru

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*Dinu Bumbaru in "Authenticité : patrimoine véritable ou illusion désincarnée?" ("Authenticity: veritable heritage or disembodied illusion?") argues that it is difficult to restrict the definition of heritage and only too easy to extend it to nearly everything. Collective memory, formerly the property of historians, archaeologists and architects, now accepts the contribution of the populace, which brings an entirely new dimension. Where does extending the heritage leave authenticity? Is a railway station more authentic if it conserves its architecture or its passengers? Where is authenticity in the real world where everything is heritage and everything changes?*

Novembre 1990, Montréal, les participants au congrès d'ICOMOS Canada discutent de "La conservation de l'ère de la communication". Les conférenciers rassurent et inquiètent : notre cause est juste et pertinente mais elle n'a pas l'impact de la cause "verte" dont le discours est plus clair avec une bonne Terre à sauver et de méchants humains à discipliner. Les congrès de 1990 puis de 1991 sur l'environnement et de 1992 sur l'entretien abordèrent à leur façon le sort du patrimoine dans un monde en mutation constante, où la pensée subit une simplification et perd ses nuances, où les structures, les lois et les techniques se complexifient, chassant l'instinct au profit de la gestion et où la matière dont est faite le patrimoine se voit désincarnée.

En patrimoine, nous sommes tous bons ET méchants. Tout ce que nous avons reçu ou produisons aujourd'hui signifie quelque chose pour quelqu'un et est un peu du patrimoine à sa manière. Il est difficile de restreindre la définition du patrimoine et très facile de l'étendre à tout. La définition de la mémoire collective, après avoir été la chasse gardée des historiens, des archéologues et des architectes, reconnaît la contribution de la population, ultime responsable. Cette participation du public apporte une dimension et parfois confronte les principes de conservation ou de rigueur scientifique. Les opinions sont encore plus soumises aux images éphémères de consommation qui se traduisent dans une quête de symboles comme on l'a vécu à Montréal lors du débat sur le sort de certains vestiges archéologiques du Faubourg Québec, dont l'intérêt et l'existence étaient plus symboliques que réels mais dont certains citoyens réclamaient la reconstruction au nom du patrimoine des chartes et du tourisme.

Le patrimoine est aussi vu comme une ressource qui tire sa valeur de sa transformation physique ou symbolique. Ne parle-t-on pas désormais de "gestion" plutôt que de conservation? Dans un contexte où tout peut être patrimoine,

on juge ce qui mérite attention selon le potentiel de développement et de consommation. Et c'est ainsi qu'en 1994 se pose moins le problème de définir le patrimoine que de le gérer en respectant son sens.

L'authenticité demeure la base théorique de notre action de conservation. Pourtant, si l'on ne cesse d'étendre la définition du patrimoine, on se demande encore sur quoi repose son authenticité. Sur une liste de composantes visibles ou cachées d'un bâtiment? Sur la beauté, la valeur symbolique, sur la patine du temps ou sur les marques d'outils des artisans. Une gare est-elle plus authentique si elle conserve son architecture ou ses voyageurs? L'authenticité ne se mesure-t-elle qu'en fonction des "intentions originales" des créateurs? Comment se définit-elle pour un quartier urbain, un paysage rural ou une architecture vernaculaire? A-t-elle une définition exclusivement architecturale ou historique et sinon, comment gérer des demandes de permis en fonction du respect de l'authenticité d'un édifice? Tout cela est plein de nuances et de subjectivité. Où est la vérité et où est l'illusion?

En signant la Convention du Patrimoine mondial, le Japon causa récemment un émoi international. On craignait le "patrimoine tout neuf" en songeant que les rituels de la reconstruction de certains temples exceptionnels étaient la norme. Cet inconfort de l'Occident s'explique quand on connaît la culture traditionnelle japonaise de la réparation qui contraste avec notre culte de la mise aux normes et de la rénovation clinquante, subventionnée et sans talent. Ce malaise a néanmoins stimulé une réflexion internationale sur cette authenticité insaisissable.

Dans le "vrai monde", où est l'authenticité lorsque tout est patrimoine et tout change? Comment préserver l'authenticité d'un édifice dont la valeur patrimoniale se mesure au nombre de visiteurs? Qu'est-ce que l'authenticité d'un patrimoine dont l'utilité actuelle demeure notre priorité?

Comment préserver l'authenticité d'un site dans la culture des musées-spectacles et de la réalité virtuelle? Ces questions ébranlent notre éthique de la conservation. Souvent, elles viennent du public qui s'interroge sur les gestes coûteux et invisibles que l'on pose au nom de l'authenticité alors que la technologie permet de ne conserver que ce qui se voit (façadisme) ou encore, de produire des répliques ou des gadgets multi-médias beaucoup plus spectaculaires et souvent moins décevants aux yeux du public que d'authentiques sites, archéologiques par exemple.

30e anniversaire de la Charte de Venise, 1994 est un moment propice à une réflexion sur les bases et les visées

de la conservation comme mode d'emploi et de transmission d'un patrimoine culturel qui nous a été légué et qui nous émeut comme oeuvre ou comme témoin de l'histoire. C'est une occasion de réfléchir sur notre responsabilité professionnelle et notre compétence d'arbitre entre l'authenticité durable et les impressions passagères. Pouvons-nous arriver à faire admettre que l'authenticité est une valeur culturelle à protéger contre la tentation du jeu facile, certes plus spectaculaire mais combien artificiel et superficiel, des reconstructions et autres fétiches? C'est tout un défi mais nous devons le relever comme professionnels, comme citoyens et comme sociétés.

# Notes on Authenticity

*Herb Stovel*

*Herb Stovel's "Notes on Authenticity" is a paper prepared for the UNESCO/ICOMOS authenticity meeting at Bergen, Norway in January-February 1994, itself a preparatory meeting for the conference on authenticity held at Nara, Japan in November 1994. As well as examining general issues of world-wide relevance, the paper presents a number of authenticity issues arising from particular perceptions of heritage and conservation valid in North America. The author asks for a clearer understanding of the links between value and authenticity, and stresses the need to articulate authenticity criteria rooted in respect for dynamic practices. Relevance to World Heritage evaluation and monitoring is developed through reference to World Heritage sites as well as cultural landscapes which may become eligible for World Heritage status. The Venice Charter is criticised for not including 'respect for cultural values' as a starting point, but the author proposes, not the abandonment of the Venice Charter, but the development of a new document appropriate for the global realities and complexities of our age.*

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## **Introduction**

The notes-in-progress which follow are meant to help structure an agenda for discussion which will bring greater clarity and practical sense to our use of the authenticity concept in conservation practice. It is a basic premise within the paper that it is both useful and possible to apply authenticity in practical ways to decision-making, with a reasonable degree of objectivity, in order that our decisions about appropriate treatment for historic buildings may be defended as credible and consistent. Although the paper both begins and concludes with examination of some general issues and perceptions of relevance on a global scale, it makes no pretence of offering universal answers for the questions raised. More particularly, the paper attempts to fill out the global debate by presenting a number of authenticity issues and concerns which arise from particular perceptions of heritage and conservation valid in North America.

The paper's conclusions, as well as affirming belief in the value of an approach identifying a number of universal constants in this area, attempt to suggest a framework for examination of important questions which could help structure much needed dialogues on the subject within ICOMOS over the next several years. Although the relevance of these discussions to World Heritage evaluation and monitoring is developed through reference to World Heritage sites, the observations made are meant to be of

practical relevance to the broad heritage conservation field.

## **General Concerns**

The issues that arise in looking at the application of authenticity concepts to effective conservation decision-making are best examined within the larger context of the field's body of guiding principles. This is particularly important in 1994, given the growing numbers of conservation individuals and groups expressing considerable unease about the state of the field's doctrinal texts. This apparent unease for practitioners may have its source in a number of related perceptions.

### ***Concern for limited objectivity***

Conservation preferences have alternated between 'unity of style' approaches characteristic of Viollet-le-Duc, and the 'hands-off' approaches of Ruskin and Morris from the early 19th century on. Swings back and forth between these two poles have continued throughout the course of this century, suggesting that the 'right approach' has less to do with absolute objectivity than the biases or perceived values of a society at a point in time. In 1994, it is fairly clear that the pendulum has swung toward caution: conservationists are generally unwilling to impose their judgements on sites if these might compromise the right of future generations to re-examine the same. In practical terms, that means at present among experienced professionals a growing commitment to 'minimum intervention' and to interest in the material aspects of authenticity.



### *Concern for universality*

To its credit, ICOMOS has pursued the search for universal doctrinal references throughout its history. The regional, national, and scientific charters meant to accompany the Venice Charter have represented a commitment to extension and adaptation of central conservation doctrine to respond to varying circumstances and needs. But in spite of those efforts, considerable questioning of the degree to which our doctrinal tenets are imposing cultural values on others has recently taken place.

ICOMOS examined this issue in its most recent General Assembly in Colombo, Sri Lanka, and concluded as it has done before: yes, there are universal constants in the field. Indeed ICOMOS's legitimacy as a global organisation rests on this assumption — that there are some principles and practices of sufficient universal worth to respond well to the fullest range of demands placed on them.

### *Fresh influences entering conservation discussions*

The concept of 'heritage' has broadened immeasurably over the last two decades in most jurisdictions. The implications of this widening are felt in at least two significant ways:

Typologically, many of the 'newer' (that is, newly defined) categories of heritage embrace the popular (vernacular architecture), the wide-spread (cultural landscapes) or that related to the mass-produced (industrial heritage) and demand new flexibility in articulation of relevant principles. It is clear that the ICOMOS International Vernacular Committees's 1985 efforts to develop a charter for vernacular architecture misunderstood these demands in their attempt to begin their document with 'Monuments of Vernacular Architecture...'. It is equally clear too in a later document produced by the same Committee (the little known Charter of Bokrijk — one of ICOMOS' best unpublished charters) that the essence of the vernacular challenge had eventually been grasped in the attention given to conservation of 'process' as the key to conservation of significant vernacular values.

The expansion of heritage to embrace expressions representative of all aspects of human endeavour (rather than just the monumental) has also brought new demands. As heritage has become broadly popular, the public have insisted on leading efforts to clarify the definition of heritage and the means to care for it. Democratisation has meant for many professionals a vulgarisation of both analysis and the presentation of meaning. But in many more instances, it has also provoked the most useful questions that can be asked in working with the past: what meaning does the past hold for us? What obligations does concern with the past bring? A concern for accurate and honest representation? Is fidelity to suggestive symbolism enough? Who decides?

### *A lack of common language in professional debate and dialogue*

One of the most difficult problems in contemporary doctrinal exchange is the lack of shared understanding of the various doctrinal works and concepts used among

conservation professionals. The generalised and assumed understandings of those ideas that held when the Venice Charter was proclaimed is no longer adequate, given the proliferation of groups attempting in their respective contexts to articulate appropriate principles, standards and guidelines, and the greater precision required to be effective. ICOMOS has made many efforts, at various levels and within various jurisdictions, to build consensus around the key words necessary for doctrinal clarity; however, linguistic, cultural and practical differences among those involved have always limited agreement. But without the common base which a shared understanding of definitions could provide, debates on doctrinal principles will continue to fail to reach desired objectives.

More specifically, it is equally important to look at concerns arising from attempts to apply the authenticity criterion to evaluation of World Heritage Sites. A number of significant problems arise here.

### *Concern for the definition of authenticity*

Those who seek to apply this concept in World Heritage nomination analysis usually find available guidance in use and definition of the word to be inadequate. While it is usually possible to recognise that the authenticity criteria is meant to measure the extent to which values defined in choice of cultural criteria are complete (or present or whole or real) within the site, there is little more guidance to be found. And unlike the World Heritage cultural criteria, for which years of experience in reasoning and use provide a body of comparative jurisprudence, the application of the test of authenticity has left no body of decision-making evidence which could build over time to bring greater precision to application of the 'test' of authenticity. Hence opinions in this area are almost inevitably idiosyncratic and potentially flawed.

One advance would be a clearer understanding among conservation professionals of the links between value (the sources of meaning) in sites and the authenticity manifest in a site (the integrity of meaning). Are these complementary (in an additive sense?) or merely serial (that is, criteria to be applied separately)? Can either or both be exclusionary of defining cultural significance or interest? (For example, if sites of strong values possess questionable authenticity, does overall significance lessen? does strength in authenticity increase cultural significance?).

Without clarification of the nature of this fundamental relationship — cultural values and authenticity/integrity between values and the genuineness of the manifestation of those values (physical or otherwise), advances in clarity of thinking and practice will be difficult.

### *The limits of scope of the four authenticities*

It would be useful to understand the thinking of the World Heritage Convention's custodians in the late 1970's when the Convention's Operational Guidelines first articulated the need to ensure sites met 'the test of authenticity' in 'design, materials, workmanship or setting'.<sup>1</sup> The lack of explicit guidance within the Guidelines has led inevitably to personal interpretations of intent.

Knut Einar Larsen's excellent *Authenticity and Reconstruction: Architectural Preservation in Japan* acknowledges the four authenticities but goes on to note that 'it is not the original formal concept which is regarded as authentic, but the building as it has been handed down to us through history'.<sup>2</sup> In describing the 'do as little as possible approach'<sup>3</sup> Larsen characterises contemporary preservation aimed at retention of the 'material authenticity of the historic building as it has been left to us by history'.

Jukka Jokilehto and Sir Bernard Feilden's *Management Guidelines for World Cultural Sites* focus on material authenticity in two areas: *materials* ('original building material, historical stratigraphy, evidence and marks made by impact of significant phases in history and the process of ageing (patina of age)'); and *workmanship* — ('substance and signs of original building technology and techniques of treatment in materials and structures'). But also they go further; in discussing, for example, the aim of treatment for authenticity in *design*, they suggest the need 'to respect the design intentions of the original structure, architecture, urban or rural complex'.

Larsen interprets David Lowenthal's well known quote, 'As long as form persists, authenticity veers between shape and substance'<sup>4</sup> as focusing on two aspects of material authenticity. My first reading of the same statement suggested it to be a re-statement of the ongoing debate concerning the degree to which aesthetic and/or historic values should dominate a debate between outward form and building fabric, between — in the words of the Operational Guidelines — "design" and "materials" .

If authenticity is accepted as complementary to values then it would seem useful to ensure that the spectrum of authenticity areas corresponds to the spectrum of areas on which cultural values may be identified for heritage sites. That the four authenticities do not adequately cover the spectrum has been suggested in many recent conservation discussions. Enunciation of conservation practices in Japan suggest that the attributes worth attention in craftsmanship are not necessarily the 'substance and signs' of craft endeavour, but the techniques and traditions which produce such substance. Similarly, in the ICOMOS Vernacular Architecture Committee, efforts have focused attention on the need to preserve traditions — not substance alone — if such buildings are to retain meaning.

It would be premature to suggest what scope authenticity might better assume; but it is possible to emphasize the evident need to ensure the profession's use of these words reflects shared and explicit ideas about their intent and related limits.

#### *Confusion over relativity of the authenticity concept*

It is not unusual in conservation discussions to hear, 'his site is wholly authentic' or that 'his site entirely lacks authenticity'. It is difficult to accept either statement as fully plausible: can we envision sites so exceptional that their authenticity could not be put in question at least to some degree? Could there be sites so entirely false that they could not offer up some vestiges of integrity for the

ardent enthusiast? More to the point, the statements are not particularly *useful* since they don't assist conservationists to 'measure' authenticity at the moment an inscription is proposed for the World Heritage List, or at future intervals in monitoring the nature and direction of change within a site.

Authenticity must be understood as a relative notion. Measurement of authenticity is an attempt to establish the degree of authenticity possessed by a site — the degree of genuineness, the degree of realness, the degree of wholeness, the degree of completeness and so on.

#### **Regional Reflections**

Canadian conservation practice shares many concerns and issues with conservation activity around the world. At the same time, there are a number of concerns which arise more or less uniquely from our history and cultural circumstances. A number of examples follow.

#### *Authenticity on native sites, e.g., Anthony Island*

The abandoned Haida village of Ninstints sits in a protected bay on Anthony Island among Canada's west-coast Queen Charlotte Islands. At the time of European contact (1775), 6,000 Haida occupied several dozen villages throughout their island domain. Ninstints, intact and occupied early in the 19th century, had been abandoned by 1880, like all other Haida villages. By the middle of the 20th century, when serious scientific attention began to be directed to the site, all that remained were fragments of the wooden houses and wooden mortuary poles and house frontal poles. In 1981, the site was inscribed on the World Heritage List.

The site poses a number of important authenticity questions. Does authenticity rest in the surviving wooden material (and therefore should treatment be directed to extending the life of the wooden elements to the greatest extent possible?) The question asked by George F. MacDonald in his book *Ninstints, Haida World Heritage Site* — 'will science save Ninstints?' well illustrates the assumption made initially that conservation must focus on material authenticity. MacDonald goes on to note that:

*although the totem pole rescue project of 1957... had virtually written off the remaining monuments as being too far deteriorated to warrant the effort of recovery, it now became crucial to re-assess the value of what was left at the site and to use scientific methods of analysis and preservation to save what remained. In the new perspective that followed UNESCO's decision that Ninstints was a site significant to the heritage of all mankind, every monument, no matter how ravaged by time and moisture, had to be assessed and to have its life prolonged as much as possible.<sup>5</sup>*

But another view of authenticity is frequently broached. As the Haida themselves suggest, does authenticity lie in recognition of the traditions associated with cultural values of the site? Many Haida argue that the carved 'totem' poles were expected to decay and to be replaced frequently, as part of passing carving skills to each new generation of

craftsmen. Here, respect for cultural values appears firmly to suggest the need for understanding and reinforcing tradition. But those culturally-based arguments may have their own limitations. How does one assess their validity when those making them live in urban high rises and Haida living traditional lives cannot be found? What is authenticity then in practical terms for this site?

### *Authenticity on Main Street*

The design approaches developed in the context of the decade old North American approaches to the revitalisation of the commercial cores of small-town American have also placed new demands on more conventional approaches to authenticity. While at the strategic level, the purpose of these programmes have been to increase community involvement in 'downtown' decision-making and to integrate conservation and development objectives and planning, they have also been very concerned with 'image'. A basic premise for these programmes (as developed and maintained by the *American National Trust, Heritage Canada*, and various state or provincial authorities has been that the major contributing factor in the definition of regional identities has been the character of the business districts of a region's towns.

The image of individual stores or store-fronts has been seen as a key factor in improving both civic pride and business effectiveness. The first efforts within these programmes to bring design order to the accumulated disorder of decades of the unplanned and cheap façade alterations which characterised these towns often involved design professionals who unwittingly reduced the design interest of such towns through 'tasteful' restorations or simplified interpretations of historic detail.

It soon became evident that entrusting a limited number of design professionals with the responsibility to bring about more-or-less overnight design improvement sanitised the qualities which had often attracted interest in the first place. 'Keeping it real' became the design watchword of Main Street; maintaining diversity through the involvement of as many individuals as possible in design decision-making was the goal; bad taste and the vulgar were not automatically excluded; modest design intervention, in context, became the preferred approach to improvement. And with time, many of the façades and store-fronts in the over 1000 North American communities that have participated in these programmes improved their ability to effectively communicate business images for owners while retaining in aggregate the diversity, the spontaneity, the freshness that had characterised them in earlier decades.

While no Canadian Main Street is on the World Heritage List, the tentative list includes settlements where consideration of appropriate treatment for the popular features of Main Street would pose these authenticity questions.

### *Authenticity in cultural landscapes*

Much of the spirit of Canada resides in the distinct cultural landscapes which characterise, even symbolise the country's various regions. The country's image, legitimately

for many Canadians and visitors, is a mosaic compounded of the various organisational patterns give by man to the various landforms provided by nature. The flat wheat-growing lands of the western prairies are as distinct from the seigneurial strip farms of the French settlers in Quebec, running back from the river's edge, as they are from the farms of southern Ontario laid out over vast tracts of land in regular rectangular patterns by British military engineers.

Much of the country occupied by Canada's 'first nations' (or native peoples) is also characterised by sacred landscapes — essentially associational landscapes whose values lie in the meaning native traditions may impute to them.

While these various landscapes have been in use and evolving in Canada for a long time, the use of a cultural landscapes framework for conservation is as fresh in Canada as it is at the World Heritage level. The cultural criteria for review of cultural heritage nominations were modified in late 1992 by the Committee to permit cultural landscapes to be assessed more adequately than in the past. As a result, Canada has reviewed its tentative list and begun to consider submitting, among others, the Rideau Canal Corridor as a World Heritage cultural landscape — an early 19th century transportation corridor linking the Saint Lawrence River and the Ottawa River.

Clearly the application of the authenticity test to such sites brings new challenges. The Operational Guidelines define three categories of cultural landscape ('designed and created by man'; 'organically evolved landscape' with two sub-sets: 'relict (or fossil) landscape' or 'continuing landscapes'; and 'associated' cultural landscape).<sup>6</sup> For the most part, as in the Rideau Canal Corridor, where both designed and continuing cultural landscapes units may be defined, their significant qualities are dynamic.

An examination of 'integrity' for rural landscapes examined by the National Park Service in the USA acknowledges the four familiar areas in the Committee's *Operational Guidelines*, but adds three others — location, feeling and association. The seven definitions used follow:

*Design is the composition of natural and cultural elements comprising the form, plan, and spatial organisation of a property;*

*Setting is the physical environment within and surrounding a property;*

*Location is the place where the significant activities that shaped a property took place;*

*Materials within a rural property include the construction materials of buildings, outbuildings, roadways, fences and other structures;*

*Workmanship is exhibited in the ways people have fashioned their environment for functional and decorative purposes;*

*Feeling, although intangible, is evoked by the presence of physical characteristic that reflect the historic scene;*

*Association is the direct link between a property and the important events or persons that shaped it.<sup>7</sup>*

Although these seven integrities — and here authenticity and integrity are being used in very similar fashion — move towards improving our ability to associate authenticity criteria with dynamic values, they may not take us far enough. As noted earlier with respect to vernacular architecture, there appears to be a need to articulate authenticity criteria rooted in respect for dynamic practices, here concerned with traditional land use.

### Authenticity in Canadian 'historic sites'

Much of what North Americans are asked to believe about the past comes to them from the perspectives offered by government owned and managed historic sites. Over the course of this century, and inspired by the example of Colonial Williamsburg, the presentation of history on North American historic sites has acquired a flavour which distinguishes these efforts from similar efforts elsewhere. This flavour has much to do with the belief that the past could be recreated on these sites with something approaching reasonable accuracy. Canadians do not have Williamsburg (which is 50 percent reconstruction and 50 percent restoration to the chosen period of 1785) but they do have a Louisburg (which is a 1968 reconstruction of 20 percent of a French fortress town to its heyday in the 1740's) and many similar sites of lesser scale. The living history movement of the 1970s helped populate historic sites with role-playing actors, live farm animals, and other living reflections of historical reality in attempts to surround visitors with the real thing in all dimensions. The techniques involved have drawn from the research disciplines in their concern for historical accuracy but also from the entertainment ethic of Disneyland. A profession of 'interpreters' or guides, entrusted with the task of revealing meaning has grown up to support the presentation process. And, so great has the influence of the interpretation imperative been, that its needs, for the most part in a North American context, have driven conservation programmes. The outward form of historic sites has often reflected interpretive goals, and where those have given priority to entertainment or good story telling material, authenticity has often been sacrificed. In practice, this has meant until recently, a continuing bias for 'period restoration' to ensure a clear and consistent backdrop for interpretive activity.

A new generation of conservation professionals today are re-examining these approaches. Significant attention over the last five years had revealed the excesses of interpretive conservation activity on sites, and the degree of historic fabric forever sacrificed. Greater interest in transmitting the evidence of history to future generations without alteration has emerged. Interpreters, once focused on the goal of a wrap-around, all-encompassing theatrical reality, have realised that such perfection cannot be attained, and scaled back their initiatives; and conservationists and interpreters in a period of reduced public spending have discovered their common interests in revealing meaning and have begun to work more closely together.

The present authenticity challenge in the face of the new consciousness is producing two responses — a desire on the part of some to correct past mistakes and to restore on the basis of contemporary knowledge and

perspectives (which in my mind means ignoring the most important lesson of past conservation activity: the unattainability of full truth) — and those who more modestly (and correctly in my mind) have re-focused on our role as custodians. Their message is essentially to allow the sites to speak for themselves, as they are, and to explain to visitors the limits of truth in what they see. They are critical of the re-restorers, asking simply: the only thing we can be sure of is that future generations will know more than we do about these sites; what right do we have to compromise their enjoyment through application of our limited knowledge?

These two tendencies, of which I suspect the latter is increasingly in the ascendant, mirror the authenticity debates of the past - is it design forms that will allow authenticity to be maintained, or care for existing material fabric?

There are many more examples of Canadian contexts, some unique, some not, where other authenticity questions could also be profitably explored — with respect to 20th century architecture (the modern movement), with respect to heritage sites in the far north (extreme climates) for example.

### Conclusion

#### 1. Toward General Solutions

The concern of contemporary conservation practitioners to ensure that their judgements do not unconsciously impose cultural values on others is an increasingly important part of conservation dialogues. ICOMOS national committees such as that in Australia, particularly sensitive to these issues as a result of their own complex history, have recently begun to ask: 'Whose Cultural Values?' (this being the title of a large regional ICOMOS symposium held in November 1992, in Sydney). These concerns, as the Australian experiences demonstrate, do not just hold at the international level; indeed they may be equally relevant at the national level. They are certainly relevant in Canada; growing consciousness that our conception of two founding nations (both European) is too simplistic, that it entirely ignores both the cultural mosaic created by our recent immigration patterns and the native populations in place for thousands of years, has prompted a re-examination of our own conservation principles in a search for universality.

The new policy of Parks Canada formulated for managers of nationally-designated historic sites is nevertheless a good example of an approach which sets out to encompass universal principles. The policy is fairly straightforward; it provides (only) five principles — each reduced to a single word or phrase: *respect, value, understanding, integrity, and public benefit*. Planning and intervention are meant to *respect* both the cultural values which give meaning to sites and their *integrity* in order to ensure *benefit* to future generations; such *respect* may only be achieved through efforts to ensure *understanding* of those values.

It is difficult to imagine cultural contexts anywhere within which these simple principles might be out of place: Where would decisions not demand respect for cultural values and integrity? Where would respect not be built

through understanding? "Benefit" may be not quite as comfortable a fit as the others; here, it might be useful to suggest preference for *use* as a guiding principle, (through which *benefit* could be achieved, as desired.)

The focus of these principles on *respect* is critical and one element that significantly advances their utility beyond earlier models such as the Venice Charter. The conservation community is frequently critical of the Venice Charter for a number of reasons. It is sometimes said to be a European charter written for European contexts; it is sometimes described as a charter for stone buildings; it is sometimes described as a manifesto of the modern movement's approach to conservation. But perhaps, most importantly, the idea of respect for cultural values as a starting point for conservation decision-making is absent in explicit form. While it is implied in Article 9 which speaks of the need to 'preserve and reveal the authentic and historic value of the monument', its full implications are not explored or made clear.

Thus far, and wisely in my opinion, the conservation movement's professionals in ICOMOS have resisted efforts to change the Venice Charter. They have recognised the need for stability and shared approaches in doctrinal references as overriding that of accuracy or precision in content. This stability has allowed the conservation movement to gain a measure of philosophical credibility in jurisdictions around the world. As well, it is important to note that in practice the Venice Charter is rarely misapplied; conservation professionals do not use it as dogma; they do not use it in isolation, but rather speak of the 'body of doctrine' or 'internationally accepted principles' (referring to the Venice Charter and the constellation of national and thematic expressions like the Burra Charter and the Charter of Historic Towns which surround it); and they use the tenets of these various documents as starting points for debate.

What does all of this have to do with authenticity? Only to suggest that any effort to bring use and appreciation of the concept in line with the current demands of sensitive conservation practice will demand a major shift in the field's body of doctrine. This would not mean, I would hope, an abandonment of the Venice Charter and its supporting cast of characters — for they have served us well — but towards the development of a new document appropriate for the global realities and complexities of our own age.

This document will require a different ethical base, one which we might find difficult to articulate at present. The nature of this base may have been suggested in a comment made by Finnish ICOMOS member Maja Kairamo in public

discussion in Helsinki on October 25, 1993, in noting that 'we will write a new Venice Charter when we are ready to acknowledge the necessity of putting culture at the centre of development'. This is in some ways a put down of the growing affection for sustainable development approaches to everything from environmental planning to home cooking, where development remains central while laudable objectives of a less practical sort, (say cultural or social), remain as modest qualifiers. But it may also foretell a beginning orientation for that new ethic.

When we are ready to define that ethic, we may be able to catch up with the demands placed on our overworked and worn-out concepts of authenticity.

#### *Framework for examination of authenticity issues.*

This paper has raised a number of questions about the use of authenticity; definition, scope, and application, particularly to non-monumental manifestations of cultural heritage, have been examined. Answers in this area require debate among a wide spectrum of those affected by its implications, to ensure the conclusions will hold in a wide variety of contexts.

There are 3 main ways of organizing such debates. One is to concentrate on the theoretical issues.

- *definition of authenticity*: links to relevant doctrine; relation to cultural values of sites; form/substance issues;
- *scope and formulation*: the four authenticities (materials, design workmanship, place) or beyond? definitions of fields of application and implications.

A second way to organize debate is to explore the implications of authenticity consideration for each of the various types of cultural heritage sites, region by region. In my view, this approach is preferable, since it will encourage exploration of authenticity in the widest manner possible and generate discussion of the highest relevance to practitioners. This could be done by inviting contributions in various defined areas (e.g. authenticity and the vernacular; authenticity and cultural landscapes; authenticity and modern movement architecture; authenticity and archaeological reconstructions, etc.). Finally, results could synthesize application of case study lessons to the theoretical side in a search for universality built on practical demands.

A final way to organize such a meeting would be to develop agreement on a second generation of authenticity criteria to supplement and/or replace design, materials, workmanship and setting, and to organize papers to explore the implications of the test of authenticity in those areas.

<sup>1</sup> UNESCO, *Operational Guidelines for the Implementation of the World Heritage Committee*. December, 1993. Article 24.

<sup>2</sup> Knut Einar Larsen, *Authenticity and Reconstruction: Architectural Preservation in Japan*. Norwegian Institute of Technology. 1993. vol. 1 p. 13.

<sup>3</sup> Larsen, p. 14.

<sup>4</sup> Larsen, p. 13. (from D. Lowenthal, "Counterfeit Art: Authentic Fakes?" *International Journal of Cultural Property*. 1.1. 1992. p. 82.

<sup>5</sup> George F. Macdonald, *Ninstints, Haida World Heritage Site*. Museum Note 12, University of British Columbia Press in association with the U.B.C. Museum of Anthropology. Vancouver. 1983. p. 55.

<sup>6</sup> UNESCO, *Operational Guidelines for the Implementation of the World Heritage Committee*. Dec. 1993. 1993. Article 33.

<sup>7</sup> National Park Service, *Guidelines for Identification of Rural Landscapes*.

# Questions about 'authenticity'

Jukka Jokilehto

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## Tradition and History

Human understanding has been an area of concern for philosophers of the Ancient World, from Plato and Aristotle, to Descartes, Locke and Kant in more recent times. Man is subject to a learning process, *paideia*, that draws from experience both relying on past achievements and using the creative spirit to develop these lessons further. The social and cultural environment as well as communication between cultural groups provide a basis for the "cross fertilisation" of ideas and experience, and therefore make the result, the cultural heritage, a common property of all nations.

John Locke gives credit to history, saying that "I would not be thought here to lessen the Credit and use of *History*: 'tis all the light we have in many cases; and we receive from it a great part of the useful Truths we have, with a convincing evidence".<sup>1</sup> In the past, authorities and traditions have been given varying degrees of respect in different cultural areas and periods; the world has also been changing continuously although the rhythm has been varying from one context to another. In ancient Egypt, traditional forms were strictly binding allowing only gradual changes over many centuries. In other areas, such as Europe, building traditions changed more rapidly even in Antiquity and the Middle Ages; also in South East Asia, e.g. in the Khmer culture, forms and decorative elements of temples have changed fairly rapidly over a few centuries.

History and tradition are of great interest in relation to the conservation and restoration of cultural heritage; so is the question of the authenticity in what is being transmitted to future generations. *Tradition* can be understood as "transmission of statements, beliefs, rules, customs, or the like, esp. by word of mouth or by practice without writing"<sup>2</sup> from generation to generation. A division is generally made between traditional and industrial society in relation also to their approach to the definition and treatment of cultural heritage.

## Traditional Society

The essence in the foregoing type of society is perhaps well illustrated by Prof. Seyyed Nasr who -- introducing Sufi traditions in Persian architecture -- has defined 'tradition' as follows:

*There is nothing more timely today than that truth which is timeless, than the message that comes from tradition*

*and is relevant now because it has been relevant at all times. Such a message belongs to a now which has been, is, and will ever be present. To speak of tradition is to speak of immutable principles of heavenly origin and of their application to different moments of time and space. It is also to speak of the continuity of certain doctrines and of the sacred forms which are the means whereby these doctrines are conveyed to men and whereby the teachings of the traditions are actualized within men.*<sup>3</sup>

The concept of a 'living tradition' is different from that related to the "reinvention of traditions" in the nineteenth century as a part of the Romantic mediaeval revival in Europe; such inventions included the royal costumes and ceremonies in England, and were accompanied with 'restorations' of buildings and artefacts. Similar 'romantic traditions' were later introduced even to India. This type of invented 'tradition' is clearly part of the industrial society that has already lost its sense of the pre-industrial traditional spirit.

One can see, on the other hand that a living tradition continues providing a framework for design and construction; as Nader Ardalan, an Iranian architect, defines it, this tradition:

*transmits models and working rules, thereby guaranteeing the spiritual validity of forms for the artist. It is through providentially revealed forms and the spirit of the esoteric dimension that the tradition lives; and it is through divine grace that man is able to be part of the tradition and to practice his art.*<sup>4</sup>

## Traditional Repair and 'Restoration'

A related issue is the understanding that, especially in early times, works of art were originally destined to serve in a cult; they could be conceived as instruments of magic. Only later could one see the development of a secular artistic appreciation.<sup>5</sup> Concerning the *cult value* of an object, what was important was perhaps not so much its visibility but rather its existence. This may be observed in the almost ritual carving of architectural details in ancient temples in places where nobody could ever be expected to see them, or in paintings and sculptures placed in churches and temples beyond their visibility to the public or even to priests.

Various religions developed rituals<sup>6</sup> to transmit messages from generation to generation, and to guard the sacredness of the structures and objects concerned.

Essential in the repair and maintenance, as well as in the eventual renewal, of structures that are part of traditional continuity is their "esoteric dimension", their non-physical essence and spirit. So long as a tradition continues, constructions may be maintained, repaired, rebuilt, repainted or redecorated respecting traditional forms and rituals; authenticity could be identified — if it is at all possible — not so much in the originality of material or form, but rather in the process.

However, there are many examples in Antiquity of the importance given to the 'sacred' material of works of art. Such was the 'conservative' repair of the statues of Rameses II in the temple of Abu-Simbel by his successor Sethi I in the 3rd millennium B.C., and the refusal of the Greeks to rebuild the temples destroyed by Persians in the fifth century B.C.<sup>7</sup> The problem of 'growth and change' was also raised by Greek philosophers. According to a legend, the galley of Theseus had been preserved by the Athenians for a long period of time, and after the old timber had been — at intervals — gradually removed and replaced with new, the question was raised whether the ship was still the same or different, i.e. what was its material authenticity.<sup>8</sup>

The question of how the concept of 'restoration' relates to Oriental shrines or temples in our present century has often been asked. One may ask when traditional continuity ends? and under what conditions traditions could eventually be revived, or whether this is at all possible. A recent article by Lieven De Cauter and Lode De Clerq refers to ritual reconstruction of Japanese temples as *restauration mythique* ('mythical restoration'), and they continue:

*Il se pourrait dire que cette 'renaissance' mythique soit la forme originelle de toute restauration: le rétablissement concret du temple n'est alors rien d'autre que la répétition rituelle de l'ordre, de l'instauration d'un ordre mondial. La restauration présuppose l'instauration; l'ordre du monde ne peut se maintenir qu'au prix de cette répétition récurrente. La restauration mythique conserve bien plus qu'un simple édifice.<sup>9</sup>*

According to the authors, the origin of all restoration is the idea of the re-establishment of such a temple as a ritual repetition of its original construction. Restoration could be seen in relation to continuous political evolution that may cause a break in the mythical continuity, and be conceived as the 'reintroduction to the past and the re-establishment of the closed continuity'. Whether this is the case or not, this 'restoration' certainly is not related only to the material consistency of the temple, but especially to the relevance of its traditional function, the 'non-physical heritage'.

#### Traditional Continuity

In several countries, such as the Pacific Islands (Oceania), cultural heritage is considered to be not in the objects but rather in the knowledge and skill of producing them, understanding the forms and colours. This production

is also related to religious rituals, and have magical significance. Many objects are produced for specific events, and then destroyed afterwards. In order to be allowed to produce such objects, one needs a licence, and even for the specific colours there are permits that have to be acquired. Traditions are partly transmitted through apprenticeship, partly they are handed down orally; therefore 'orality' becomes a significant part of the cultural heritage. This was also the case with oral traditions in Finland recorded since the nineteenth century, and expressed e.g. in the *Kalevala*.

The continuity of the significance of a construction can be conceived to be quite powerful. One has only to think of the rituals that Sixtus V performed when restoring Egyptian obelisks in Rome at the end of the sixteenth century, to remove the 'evil spirits', and to demonstrate the strength of the Catholic church. The destruction and reconstruction of the Basilica of St. Peter's in the early 16th century was also a demonstration of this belief that even the complete physical transformation of the monument would not change its 'indestructible essence'.<sup>10</sup>

At the same time, the church also profited from the mythical significance of ancient pagan sites when the most significant sites were carefully selected for building Christian churches (e.g. in Latin America) — or, in a more abstract manner, by when Christian significance was given to previously pagan festivities. (e.g. Christmas was also the birth day of Mithra.)

The importance of the traditional non-physical cultural significance was also recognised by the World Heritage Committee in December 1993, in Cartagena, when reviewing the nomination of the Tongariro National Park in northern New Zealand. This principal sacred area of the Maoris had been previously nominated a World Heritage Site on the basis of natural criteria; now it was recognised also under cultural criteria as an associated cultural landscape even though there were no physical structures on the site to list.

#### Modern Concept of History

While there have been similarities between the Orient and Western countries in ancient times, Europe has since gone through a development that has placed it in a particular position especially in relation to the concept of 'history'. The writing of History started a long time ago, e.g. in ancient China and Greece perhaps in the 1st millennium B.C., and by Arabs at least since the 8th and 9th centuries. The idea of using scientifically valid methods to achieve a critical understanding of human activities through history is still relatively recent dating mainly from the 18th and 19th centuries in Europe, although the roots of these changes are further back in the past. Of special significance is the Renaissance, that 'came to realize that Pan was dead — that the world of ancient Greece and Rome (now, we recall, *sacrosancta vetustas*, "hallowed antiquity") was lost like Milton's Paradise and capable of being regained only in the spirit'.<sup>11</sup>

History occupies a significantly different position as an

essential part of the activities of society — thus assuming tasks that were previously given to religion, philosophy or even poetry. At the same time, however other fields including philosophy, ethics and aesthetics too have developed, and together have contributed to forming the origins of modern critical thought.<sup>12</sup> This development has had its consequences on the whole of society, and Paul Philippot has written about this turning point as follows:

*The origins of historic preservation are linked with those of the modern historical consciousness, which matured toward the end of the 18th century. The word preservation - in the broadest sense, being equivalent in some cultures to conservation or restoration -- can be considered, from this point of view, as expressing the modern way of maintaining living contact with cultural works of the past. This way of maintaining contact evolved after the outburst of the Industrial Revolution, and the development of a historical conscience brought an end to the traditional link with the past, which may be said to have lasted, in various forms, from the origin of civilisation to the end of the 18th century.*<sup>13</sup>

This historical consciousness developed gradually from the Renaissance with a growing interest in exporting ancient sites and structures, first in Rome and Italy, and later, since the 18th and 19th centuries, in the whole of the Mediterranean and also in other continents. The 'father' of the development of systematic archaeological methodologies for the analysis and study of ancient works of arts and monuments was Johann Joachim Winckelmann. A continuous search for truth and artistic quality was his driving force, and at the same time he contributed to the clarification of the principles of modern conservation and restoration. At the same time aesthetics was the subject of research of philosophers from Baumgarten (who coined the word) to Immanuel Kant, Lessing (Laocoon), Herder, Friedrich Schlegel, Hegel, Schiller, Goethe.

As a result of a feeling of a lack of continuity, nineteenth century Romanticism saw the conscious revival of many features from the past. This was assisted in the writing of historic novels, Sir Walter Scott and Victor Hugo in the front-line, and even in the invention of 'tradition', i.e. pompous ceremonies with costumes, 'restored' knights, castles, palaces and house museums. In this context the modern conservation movement, headed in England by John Ruskin and William Morris, emphasised the fact that a work of art, even a minor construction, reflects the conditions of its period, its cultural, economical, social and political situation. Therefore, artistic or craft production in a specific period in time takes its significance from this relation becoming unique. Time is irreversible, and therefore the reproduction of an object in a later period becomes a new construction, normally a copy; otherwise it is a fake intended to be passed off for the original.

At the beginning of the 20th century, Benedetto Croce wrote his *Teoria e storia della storiografia* (Theory of Historiography), where he characterised 'history' as different from writing 'chronicles'. A chronicle is merely a 'mechanical' record while history results from a critical

evaluation and a thinking process. Therefore, history gains in actuality, and philosophy becomes historical philosophy. He emphasised that the real basis of history was in life and thinking, one representing the source document, the other the critical approach, both being a constituent part of the history itself:

*E il documento e la critica, la vita e il pensiero, sono le vere fonti della storia, cioè i due elementi della sintesi storica; e, come tali, non stanno innanzi alla storia, ossia innanzi alla sintesi, al modo che s'immaginano le fontane a colui o a colei che vi attinga col secchio, ma entro la storia medesima, entro la sintesi, costitutive di essa e costituite da essa.*<sup>14</sup>

### Restoration and Authenticity

The first important study by Croce concerned aesthetics; his *Estetica* was published in 1902 and was soon translated into several languages. His influence was important especially in Italian conservation philosophy; Giulio Carlo Argan and Cesare Brandi based their approach on his teaching, but his influence is also felt as a fundamental basis in international conservation principles and in the critical historical approach to the definition, evaluation, and treatment of cultural heritage resources.

Argan has maintained that art is a product of the human mind (*l'arte è un prodoto. 'dello spirito'*) and not of science, and that the structure of human behaviour is historical. The study of this behaviour, and of art, i.e. history, instead will use scientific methods; these methods can be always reviewed and updated, and therefore, he states, they can be used in any cultural area of the world:

*Provando... che la storia è scienza perché è il solo modo di studiare il comportamento umano, la cui struttura è storica, e che soltanto i suoi metodi debbono essere, come ogni metodo scientifico, riveduti e aggiornati, si prova che il metodo storico può spiegare anche fatti estranei all'area dello storicismo europeo e che, dunque, l'accusa dieurocentrismo, mossa dallo scientismo allo storicismo umanistico, non regge.*<sup>15</sup>

The so-called 'restauro' critico', to the development of which both Argan and Brandi made an important contribution, aims at the rediscovery and display (*mise-en-valeur*) of the original 'text' of the work of art. It is fundamentally a conservation activity, being based on the careful analysis and conservation of the existing material of the work of art. The process is based on a critical historical examination of the work and requires in most cases highly sophisticated laboratory techniques and analyses. Argan has emphasised that while the sciences have given an essential instrument for these analyses, they have not substituted the restorer's humanistic approach; this approach did mean 'shifting restoration activity from an artistic to a critical sphere'.

In his theory of restoration, Brandi concentrates on the restoration of works of art, distinguishing them from 'industrial' products whose 'restoration' would aim at the re-establishment of their functionality. Restoration of works of art, however, is based on their critical definition and take



into account especially their aesthetic and historic values. The first aim is to conserve the original material of the work of art, its *material authenticity*; secondly the aim is to *re-establish its potential unity as far as this is possible without committing a fake and without cancelling significant traces of its history*.<sup>16</sup>

Like Croce, Brandi distinguishes between 'chronicle' and 'history'; i.e. he is not in favour of "absolute conservation", but aims rather at defining what is aesthetically and historically significant in the particular work of art concerned. In the case of a conflict between artistic and historic aspects, he gives priority to the artistic, considering that works of art are primarily artistic. On the other hand, restoration depends on the material existence of the potential unity of the work of art.

In reference to Brandi, one can see authenticity in two principal references: the artistic authenticity and the historic authenticity of the work of art. As John Ruskin has seen it, these two authenticities are necessarily related. An artist is part of his society and related to his/her own historic time characterised by its specific cultural, political and socio-economic conditions.<sup>17</sup> Any artistic creation thus depends on this context but also contributes to it, a relationship that Alois Riegl has defined as *Kunstwollen*.<sup>18</sup>

As mentioned above, Walter Benjamin<sup>19</sup> has noted that artistic production had started with the creation of ceremonial objects destined to serve in a cult, and that these objects thus had *cult value*. Even in relation to cult objects, there was a question of their authenticity. In the Middle Ages, in the cases of *furta sacra*<sup>20</sup> of relics, verification of the authenticity was an important part of the process of *translatio*, i.e. removal of relics to a new place through acquisition or theft. (Here the material itself had no intrinsic aesthetic or artistic value as the question was often only of a piece of bone, cloth, wood or earth.)

The question of authenticity in relation to art works became mainly relevant since the Italian Renaissance, when an appreciation for secular beauty, the *artistic value* of the work, developed through an emphasis on exhibiting works of art in collections. Consequently what Benjamin calls *exhibition value* became increasingly important and had an impact also on the whole question of aesthetics.

Plato had some difficulty in defining the significance of art, for to him an artist was mainly copying nature; therefore, art was understood to be an inferior level of 'creation'. His successors, from Aristotle to Renaissance artists, Bellori and Winckelmann, developed a theory, where the *idea* of creation was within the creator, the god; the artist — being sensitive, through observation of nature, was able to perceive the original idea, and then 'improve' on nature through his own creative contribution.<sup>21</sup> For Winckelmann, conservation of the material authenticity of antique works of art was essential as a fundamental reference for any art-historical research, as well as for its value as part of the learning process even in contemporary art.

Benjamin has noted that before the Industrial Era, works of art were produced by hand; while copies were made

(e.g. by pupils to learn the craft, by the masters themselves to diffuse the works, and by third parties in the pursuit of gain), the *original* maintained its significance as *the first and the authentic*. Since the nineteenth century, this situation has gradually changed; works of art are now appreciated by much larger masses of people than ever before, new techniques are developed, such as photography and films, specially designed for *mechanical reproducibility*. In this new cultural context, too, 'authenticity' needs to be reconsidered. When the 'original' becomes a multitude, one can hardly speak of authenticity in the traditional sense. Also the question of copying acquires a new meaning.

On the other hand, considering that mechanical reproducibility is part of the definition of our present society, part of its *Kunstwollen*, this will necessarily have an impact on the definition and treatment of authentic artisan works of art from the past. As Paul Philippot<sup>22</sup> has pointed out, conservation of the material authenticity of historic works of art is today essential as a fundamental reference, *forma mentis*, for the verification of any interpretation. This authenticity is currently threatened due to the availability of large quantities of copies of different qualities reproduced in a great variety of forms and sizes to match every taste; unfortunately these copies often do not correspond to the original, and therefore also mislead the observer, and "bombard" him/her so that an interest in studying the original is easily lost. Umberto Eco<sup>23</sup> has referred to the risk of not only falsifying single works of art — as in wax museums, but going much further and introducing a whole fictitious environment with its own 'scientifically' produced mechanisms, a *'falso assoluto'*.

The relationship of art and museums is a question that has often been posed. Quatremère de Quincy has spoken about museums in his *Considerations morales sur la destination des ouvrages de l'Art* (1815) claiming that '*Le musée est la fin de l'art. Les pièces de l'histoire en deviennent les extraits mortuaires; les leçons qui reçoivent les artistes sont des leçons mortes*'. Filippo Tommaso Marinetti, in his 'Manifesto of Futurism',<sup>24</sup> has cried 'We will destroy museums, libraries, and fight against moralism, feminism, and all utilitarian cowardice. [...]'. More recently, Marguerite Yourcenar has observed that antiquities that have come to us have suffered from the ravages of time and ill-advised restorations, and are now finally 'imprisoned' in museums.<sup>25</sup> Already Quatremère saw Rome as a 'living open-air museum', where objects had their significance as part of their specific topographic location and in relation to each other,

*C'est-là que le ciel, la terre, le climat, les formes de la nature, les usages, le style des édifices, les jeux, les fêtes, les habillemens, se retrouveroient encore en harmonie avec la sculpture antique*<sup>26</sup>

One could say that these ancient objects were there, authentic in relation to their setting. Similarly, Argan has observed that an object is not only the object itself alone, but the object in relation to its context:

*Come l'oggetto non è soltanto la cosa, ma la cosa in*

*relazione con altre cose e in primo luogo con il soggetto che la pensa, così il soggetto non è soltanto l'individuo, ma l'individuo in relazione con gli altri individui e con le cose, l'individuo nella società.*<sup>27</sup>

Philippot continues to state that the critical consciousness of today, by its very nature, tends to isolate and distance the object. In a word, the aim to preserve the historic and aesthetic authenticity, have either failed their target, or have not been enough to guarantee the authenticity of these historic resources.

*Que l'on opte pour le maintien strict de l'original, comme dans le cas des ruines conservées comme telles, ou pour la reconstruction scientifique à l'identique - solution qui devrait rester exceptionnelle —, l'objet acquiert aujourd'hui un statut muséal. La ruine entretenue n'est plus naturelle, comme elle l'était pour Du Bellay à la renaissance ou pour les romaniques. Colonial Williamsburg n'est plus une ville ancienne, mais un musée en plein air. Cette dernière solution pousse d'ailleurs, par sa logique interne, à une reconstruction toujours plus complète du passé ...*<sup>26</sup>

Restoration itself, as a modern approach to the treatment of the heritage of the past, was born out of a need to avoid losing some essential values, an operation of *sauvegarde et mise-en-valeur*. With the broadening of the concept of cultural heritage, from works of art and historic monuments to the built environment and cultural landscape, also questions of treatment and conservation management of these resources also need to be properly understood.

Prof. Guglielmo De Angelis has pointed out that the process of restoration as it was defined in the Venice Charter is referred to as 'a highly specialised operation' and not to any treatment of old structures. De Angelis claims that it is necessary to be careful in the use of appropriate terminology that clearly defines the type of intervention required. The aim of restoration, as expressed in the Charter, is "to preserve and reveal the aesthetic and historic value of the monument, and it is based on respect for original material and authentic documents." When the question is more about the built environment in general (still important), the objectives of the process should perhaps be differently placed.

In his *Manifesto* of 1877, William Morris claims that cultural heritage can include a wide variety of properties.

*If, for the rest, it be asked us to specify what kind of amount of art, style, or other interest in a building, makes it worth protecting, we answer, anything which can be looked on as artistic, picturesque, historical, antique, or substantial: any work, in short, over which educated, artistic people would think it worth while to argue at all. [...]*<sup>29</sup>

And a recent Unesco definition of cultural heritage takes this definition into an even broader context.<sup>30</sup>

*The cultural heritage may be defined as the entire corpus of material signs -- either artistic or symbolic -- handed on by the past to each culture and, there, to the whole of humankind.*

This definition gives a good idea of the difficulty in using the concepts of restoration and authenticity without a clear understanding of what they mean or should mean in each case.

The aim of the World Heritage Convention of Unesco is to protect sites that represent "outstanding universal value". For this purpose, the World Heritage Committee maintains a List that is expected to represent the richness and variety of the world's heritage, either due to the intrinsic value of a site as "a unique artistic achievement" or as an outstanding example of a class of heritage. The Committee, in the *Operational Guidelines*, has further defined that authenticity of a resource is one of the fundamental conditions for its acceptance to the World Heritage List; the Guidelines refer to four aspects of authenticity that should be taken into consideration, namely:

- a) Authenticity in design
- b) Authenticity in materials
- c) Authenticity in workmanship
- d) Authenticity in setting

The treatments that would follow, considering each 'type' of authenticity separately, may vary in its emphasis, but the fundamental idea is to consider these different authenticities together, and give special attention to the question of the material authenticity of the heritage resource. One would generally not accept that a copy, a reconstruction or a 'full restoration', even if well done in terms of design and workmanship, meet these criteria. It is essential that the heritage resource has been effectively built in the period(s) concerned, and therefore has 'historic authenticity'. It is understood on the other hand that time leaves its mark in the form of an ageing process, *patina*, as well as eventual transformation in time. Conservation management of these resources is subject to the general principles that are reflected in the Venice Charter and in Unesco Recommendations, as well as in the intentions of the World Heritage Convention itself. The practical implications of these principles have been recently discussed in the *Management Guidelines for World Cultural Heritage Sites* by B. M. Feilden and J. Jokilehto.<sup>31</sup> (Some draft paragraphs are reproduced in the appendix to this paper.)

#### **Authenticity related to the Living Essence of Heritage**

If the principles of conserving the aesthetic and historic authenticity of a monument or site are followed to the letter, as Philippot has pointed out, there may still be problems. The end result may turn out to be rather artificial or even *kitsch*. This is particularly relevant when we move from works of art or historic, archaeological monuments to historic urban area, residential buildings, villages, rural landscapes. In this context, perhaps the use of the word "restoration" may need to be taken with caution. Similarly, the concept of authenticity is to be clearly defined to understand up to what point it may be relevant.

The sixth international congress of architects in Madrid, 4-9 April, 1904, passed a resolution which emphasised the distinction between dead and living monuments. In later international recommendation, this distinction was avoided

because it was believed that even archaeological monuments were capable of giving a message, and could therefore be considered "living". One of the aims of conservation today is to guarantee that due consideration be taken of relevant cultural values when dealing with historic urban or rural areas; this has been emphasised in many recent documents, such as those of the Council of Europe (1975) and Unesco (1976). The European Charter of the Architectural Heritage, adopted by the Council of Europe in Amsterdam in 1975, states:

*This heritage should be passed on to future generations in its authentic state and in all its variety as an essential part of the memory of the human race; Otherwise, part of man's awareness of his own continuity will be destroyed.*

Similarly the Recommendation of Unesco concerning the safeguarding and contemporary role of historic areas, adopted in Nairobi in 1976, declares:

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

We can see that the essence in living historic areas is not only the historic buildings and structures, but also the functions and the social structure of the area. In many examples, 'restoration' of historic town centres has led to the gentrification of these areas, i.e. the removal of the inhabitants and replacement with wealthier social classes. In some cases, these may result in turning these areas into tourist areas with ample hotels and other services.

These changes, much debated in the past two decades, easily contribute to the complete change in the character of historic areas, and certainly to a loss of their original authentic character. This would happen even if all original stones were still in place, but generally such restorations and consequent structural and 'typological' changes cause a further reduction of the original historic character. These changes are even more evident in small places and in traditional rural villages. Such sites tend to be transformed into holiday resorts for urban population, and often accommodate large numbers of foreign visitors. Policies for the control of these transformations need to be planned well in advance taking into account both regional and local planning requirements, accompanied with appropriate guidelines and norms.

These changes would have been in the mind of the participants of the 1975 Unesco seminar in Africa, where particular attention was paid to safeguarding cultural authenticity, and recommendations were formulated to:

*(Recommendation 1.) Considering that culture is the very essence of a nation's destiny, [...] Recommends to African Member States that they: (a) rediscover and draw on the authentic sources of their cultures hidden beneath historical falsification, denigration and alienation of all kinds; [...] (f) derive the utmost advantage from this authentic cultural heritage by disseminating it and adapting it to the contemporary needs of their peoples.<sup>32</sup>*

The aim of restoration was — and perhaps should still be, to bring back to the attention of society, values, that otherwise risk being lost, both in the sense of culture and in relation to economics and sustainable development. As Sir Bernard Feilden has often said, one can imagine the heritage — in a way — as the 'client', or the 'patient' of our conservation efforts. This client or patient needs to be listened to, its significance and its authenticity need to be understood in relation to its social and cultural setting. There may be a need to pay attention not only to the material and artistic qualities, but also to the authenticity related to traditional continuity and to the quality of life. This is said in the Charter of Venice in the following words:

*Imbued with a message from the past, the historic monuments of generations of people remain to the present day as living witnesses of their age-old traditions. People are becoming more and more conscious of the unity of human values and regard ancient monuments as a common heritage. The common responsibility to safeguard them for future generations is recognised. It is our duty to hand them on in the full richness of their authenticity.*

One could also remember John Ruskin's, claim that nobody has really understood the true meaning of the word 'restoration', that each time has its spirit, and that copying does not reproduce the life and work of the spirit of the workman who is there no more; each generation gives life to new constructions. It is perhaps worth thinking of Ruskin's words:

*There was yet in the old some life, some mysterious suggestion of what it had been, and of what it had lost; some sweetness in the gentle lines which rain and sun had wrought.<sup>33</sup>*

Conservation is not only keeping the material, but also recognising this spirit, this 'non-physical' essence and authenticity of the heritage, and its relation with society.

- <sup>1</sup> John Locke, 1985, *An Essay Concerning Human Understanding*, Clarendon Press Oxford, 664
- <sup>2</sup> *Shorter Oxford English Dictionary*
- <sup>3</sup> Ardalan & Bakhtiar, 1975, xi
- <sup>4</sup> Ardalan & Bakhtiar, 1975, 10
- <sup>5</sup> Benjamin, 1979, 226
- <sup>6</sup> Frazer, 1960
- <sup>7</sup> Jokilehto, 1986, 24
- <sup>8</sup> Plutarch, "Theseus", *The Rise and Fall of Athens*, Penguin, 173
- <sup>9</sup> De Cauter & De Clerq, 1993, 95
- <sup>10</sup> Guillaume, 1993, 56
- <sup>11</sup> Panofsky, 1970, 112
- <sup>12</sup> E.g. Simpson 1988; Croce, 1989;
- <sup>13</sup> Philippot, 1976, 367
- <sup>14</sup> Groce, 1989, 25; published first in German in 1912, and in Italian only on 1917.
- <sup>15</sup> Argan, 1984; see also Jokilehto, 1986
- <sup>16</sup> Brandi, 1963
- <sup>17</sup> Ruskin, *Stones of Venice*, 1850
- <sup>18</sup> Riegl, 1982
- <sup>19</sup> Benjamin, 1979
- <sup>20</sup> Geary, 1993
- <sup>21</sup> See e.g. Panofsky, 1968
- <sup>22</sup> Philippot, 1991
- <sup>23</sup> Eco, 1991
- <sup>24</sup> Marinetti, F.T., in *Le Gigaro*, 1909
- <sup>25</sup> Yourcenar, 1990
- <sup>26</sup> Quatremère, 1836
- <sup>27</sup> Argan 1984, 45
- <sup>28</sup> Philippot, 1991, 11
- <sup>29</sup> William Morris, 1877 (*The Society for the Protection of Ancient Buildings*, SPAB, was founded by Morris on 23 March, 1877)
- <sup>30</sup> Draft Medium Term Plan 1990-1995 (Unesco, 25 C/4, 1989, p.57),
- <sup>31</sup> Feilden and Jokileht, 1993
- <sup>32</sup> Unesco, 1975
- <sup>33</sup> Ruskin, J., 1849, (*Lamp of Memory*), *Seven Lamps of Architecture*

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## Appendix

*Extracts from: Management Guidelines for World Cultural Heritage Sites by B.M. Feilden and J. Jokilehto*

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### **Treatments Related to Authenticity in Material**

Authenticity in material is based on values found in the physical substance of the *original heritage resource*. Emphasis should be given to the protection, conservation and maintenance of the original fabric - whether related to a single building or historic area. The aim of treatment is to prolong the life span of original materials and structures, to keep them in their original position in the construction and on the site (in situ), to preserve the age value and the patina of age of the resource, and to retain the traces of its history, use or changes caused over time.

The question of material authenticity in relation to plants and historic gardens requires a different specification, considering that this is living material, which needs to be replaced according to required cycles. In fact, in the case of gardens, the question should be rather raised of their integrity, and whether or not this integrity exists, and what actions are considered feasible to maintain a proper balance with the historic features of the garden. Authenticity should be referred mainly to the physical layout and features of non-organic materials.

*Preventive action* includes the provision of regular maintenance and making necessary repairs before damage is caused. It also implies anticipating potential threats so as to prevent damage through planning and direct intervention. In the case of a ruin that has lost its protective envelope weathering and decay is exacerbated; protective action may therefore include covers or roofs to shelter fragile or endangered parts. This must be carried out unobtrusively and with sensitivity towards the character of the monument and the values of the site. An extreme action could be removing decorative parts from the monument and to conserve them in a museum; such action should be considered temporary, and it is advisable only if no other

means of protection are available. It is, in fact, in conflict with the principle of keeping historically significant material in its original context.

*Replacement of original elements.* Once material has been cut and used in a construction, it has become historic and is linked with the 'historic time line' of the object. Although restoration by replacement of decayed materials and structural elements will reduce material authenticity in the monument, it can be acceptable within the limits of potential unity if it is vital for the survival of the remaining original structure. When appropriately executed with similar materials and workmanship, the result should be compatible with the original character of the structure. The replacement of original elements should be strictly limited in extent, and carried out in a way that it does not diminish the value of the original substance.

*Consolidation and reinforcement:* When the strength of materials or structural elements is reduced to the extent that it can no longer survive anticipated threats consolidation or reinforcement may be advisable. Such treatment will, however, reduce the authenticity of the resource because the original substance is altered. The combination of traditional materials and modern industrial products can also cause conflicts.

The use of modern industrial products for the consolidation of traditional building materials, can physically or chemically transform the original to the extent that its material authenticity may be lost, although the appearance may still be the same. Such treatments should be decided only after a careful, critical assessment of the implications in each case. One should also keep in mind that treatments such as injections and grouting may be difficult or impossible to reverse if they are unsuccessful. Prior to undertaking such interventions, a proper balance between

protection and consolidation should be found through careful scientific analyses of the character and consistency of the original material, the environmental context and the proposed cure. In no event should historical evidence be destroyed.

The treatment itself should be properly tested for its effectiveness, and its appropriateness for the material in question must be *proven over an extended test period* before large scale application.

The testing period must be long, since failures sometimes occur even after ten or fifteen years. It is important to keep an accurate record of all treatments in historic buildings and ancient monuments, and to make regular inspections on their behaviour, followed up by written reports. Research on conservation treatments should refer to these historical records.

Concerning the fabric of an historic area, one should carefully identify and define what should be conserved in order not to lose the authenticity. The historic value of towns or traditional settlements lies in their structures and fabric. Therefore conserving only fronts or elevations of historic buildings, and replacing the fabric with new constructions means a loss of authenticity and historical continuity. The aim should be conservative rehabilitation of the original fabric whenever possible.

#### **Treatments Related To Authenticity In Workmanship**

Authenticity in workmanship is related to material authenticity, but its emphasis is on keeping evidence of the workmanship, and to guarantee that this is not falsified by contemporary interventions.

**Conservation.** The Value of authenticity in workmanship is best understood through a systematic identification, documentation and analysis of the historic production and treatment of building materials, and methods of construction. This research will provide a necessary reference for the compatibility of modern conservation treatments.

**Consolidation.** In the case of structural consolidation or reinforcement, the integrity of the historical structural system must be respected and its form preserved. Only by first understanding how an historic building acts as a whole - that is, as a "structural-spatial environmental system"<sup>34</sup> - is it possible to introduce appropriate new techniques, provide suitable environmental adjustments, or devise sensitive adaptive uses.

**Maintenance.** The repair of heritage resources using compatible traditional skill and materials is of prime importance. However, where traditional methods are inadequate, the conservation of cultural property may be achieved by the use of modern techniques. These should be reversible, proven by experience, and appropriate for the scale of the project and its climatic environment.

In the case of **vernacular architecture**, which often consists of short-lived or vulnerable materials (such as reeds, mud, rammed earth, unbaked bricks and wood), the same type of materials and traditional skills should be used for

the repair or restoration of worn or decayed parts. The preservation of design intentions and details is just as important as the preservation of original materials. In many cases, it is advisable to use temporary measure in the hope that some better technique will be developed, especially if consolidation may diminish resource integrity and prejudice future conservation efforts.

#### **Treatments Related To Authenticity In Design**

Authenticity in design is related to the architectural, artistic, engineering and functional design of the monument, site, historic town, traditional settlement, or landscape, and the relevant setting. The commemorative value of a monument is also related to the authenticity of its design, and depends on the legibility of this intent.

The aim is to preserve original material and structures in which the design is manifest, and when feasible to carry out restorations or other appropriate treatments that will reveal values that may have been obscured through alterations, neglect or destruction.

**Restoration.** The aim of restoration is the reinforcement and eventual reintegration of the potential unity so far as this is possible without artistic or historic deception. Restoration actions may range from minimum treatment, necessary for the conservation and protection of the resource, to more radical intervention required to reveal its architectural and aesthetic values. Systematic survey, recording, and documentation are necessary for an assessment of the physical condition of the resource and the evaluation of its integrity as a whole and in its parts.<sup>35</sup> In relation to historic gardens or landscapes, the retention and sensitive management of historic plant material is indispensable.

**Historical stratigraphy.** A restoration aimed at the recreation or reconstruction of the object in a form (style) that existed previously but has been lost would presuppose that time is reversible; the result would be a fantasy, and is referred to as "stylistic restoration". This approach implies the elimination of parts relating to specific periods of history. Although stylistic restoration was considered an acceptable practice in the past, contemporary restoration strategies should be based on the condition of the resource at the present moment, so that the valid contributions and additions of all periods of its "historic time line" are acknowledged.

In the case of *superimposed historical phases of development*, underlying layers in the historical stratigraphy of a resource can be displayed for the purpose of study and documentation. Any display of later phases should be discrete, and carried out in a manner that does not undermine their contributing values and conservation. Removal of elements representing the historical phases of a monument should only be carried out in exceptional circumstances, such as 'when what is removed is of little interest and the material which is brought to light is of great historical, archaeological or aesthetic value, and its state of preservation good enough to justify the action.'<sup>36</sup> These are hard conditions to satisfy.

Modern *reintegration of lost parts (lacunae)* is generally acceptable so long as a potential unity exists and provides a sound basis for the operation. Treatment of *lacunae* is based on the evaluation of their context, and these should be reintegrated on the basis of factual evidence. If the reintegration does not enhance the potential unity of the whole, or if the *lacunae* cannot be reintegrated due to the extent, position, or the artistic character of losses, this action would not be appropriate.<sup>37</sup> If losses can be reintegrated in an appropriate manner, however, treatment should be carried out following international guidelines.

Although the aim of reintegration in historic buildings or other resources is to establish harmony with the original design in terms of its colour, texture and form, any replacement should at the same time 'be distinguishable from the original (at least at close inspection) so that restoration does not falsify the artistic or historic evidence'.<sup>39</sup> In differentiating new elements from old, care should be taken to ensure that their contrast is not excessive. The objective is to indicate the distinction, not to emphasize the difference between new and old. In addition, the extent of new parts should be small relative to the original fabric.

If losses *cannot be reintegrated* in an appropriate manner, as is generally the case with ruined structures where the potential unity of the monument has been lost either due to lack of factual evidence or extensive damage, the principal aim of the treatment should be to maintain the existing state of the ruins. Any reinforcement or consolidation should then be carried out as a minimum intervention to guarantee the stabilization of the resource, without compromising the appreciation of its aesthetic or architectural values. The interpretation of the history of such sites and the aesthetic values of associated monuments should then be developed from available evidence on the site itself; it can be presented through publications, scale models and/or fragments in a site exhibition or museum.

*Anastylosis*. Where dismembered original elements still exist at the site, anastylosis can be an acceptable treatment if it is based on reliable evidence regarding the exact original location of these elements. This may contribute to making the original design, intent and artistic significance of the monument clearer to the observer. However, it should be kept in mind that disassembled elements that have weathered on the ground are often decayed to the extent that they have lost their delineated form and are not suitable for an anastylosis.

Accurate anastylosis is difficult to achieve, as experience on many important sites will confirm. Such works should therefore be limited in extent; they should also be reversible and fully documented. If taken too far, anastylosis can make an historic site look like a film set and will diminish its cultural value. Reconstruction using new material implies that the result is a new building, and this means that the historical authenticity is lost in this regard. Reconstruction, particularly when extensive, may result in misinterpretation.

There are, however, cases when renewal is part of a traditional process which in itself has acquired special

significance. This is the case with the periodical redecoration or even reconstruction of Japanese Shinto temples. Such ceremonial renewal should be understood outside the 'modern' restoration concept. While the aim of conservation is the '*mise-en-valeur*' of historic monuments, ensembles or sites as part of modern society without losing their significance or meaning, this does not mean going against living cultural traditions, if these have been maintained in their authenticity as part of society.

Concerning historic areas of special significance (and in particular World Heritage cities), priorities need to be clearly established in order to guarantee the protection and conservation of the entire fabric and infrastructure of the area. Any changes and eventual new constructions that need to be carried out as part of rehabilitation processes should make clear reference to the historical and architectural continuity of the areas concerned.

### Treatments Related To Authenticity In Setting

Authenticity in setting is reflected in the relationship between the resource as maintained and its physical context. This includes landscape and townscape values, and also the relationship of man-made constructions to their environmental context. The preservation of the monument *in situ* (in its original place) is a basic requirement in preserving these values. The question of contextual setting is addressed through conservation planning, and implies the anticipation of changes.

Treatment of a site will affect the overall setting and values that have been formed and evolved through the historical process. A *ruined monument* has usually acquired specific cultural values and has become part of its setting in the ruined form. This is especially true when the ruin has gained special significance as part of a later creation, such as the ruined mediaeval Fountain's Abbey in the setting of the eighteenth-century *landscape garden* Studley Royal. Similarly, the remains of ancient monuments of Greek or Roman Antiquity, recognized as part of our culture in their ruined form, require a strict policy of conservation as ruins. The decision to proceed with an anastylosis should always be related to the historical-physical contact of the site and to the overall balance of its setting.

*Landscapes* are an important issue in themselves. Such is the Lake District in England, which has attracted attention from poets and artists over the centuries, the Japanese concept of '*borrowed landscape*' extends the visual values of a designed garden beyond its boundaries (e.g. in the Imperial garden of Katsura). One can define entire territories as a *cultural landscape* which has matured as a testimony of an harmonious interaction between nature and human interventions over a long period of time. Such a cultural landscape may have acquired specific spatial qualities through successive phases of cultivation and use; it may have particular archaeological significance; it may contain traditional types of settlements, and still foster forms of compatible activities. All these can only survive if given due attention and are appropriately documented as a basis for integrated conservation planning and legislative

protection.

Encroachment and intrusive commercial development are typical threats that must be addressed by those responsible for conservation management. In addition, well-intentioned reuse and introduction of new services and infrastructures may detract from the often fragile original historic features and their contextually significant setting. Any reception, informational areas, and exhibition facilities

need to be carefully planned so as to guarantee the integrity of the site. **Buffer zones** of sufficient size should be established in order to protect the landscape or historic town context from intrusive elements that diminish cultural values. Planning at local and regional level should take into account the '*genius loci*' and the enhanced status of a World Heritage site, and ensure that negative threats of all types are prevented or strictly controlled.

<sup>34</sup> Feilden, 1982

<sup>35</sup> Brandi, 1963

<sup>36</sup> Venice Charter, Art. 11.

<sup>37</sup> The theory of treatment of losses (*lacunae*) in works of art has been developed at the Istituto Centrale del Restauro,

Rome.

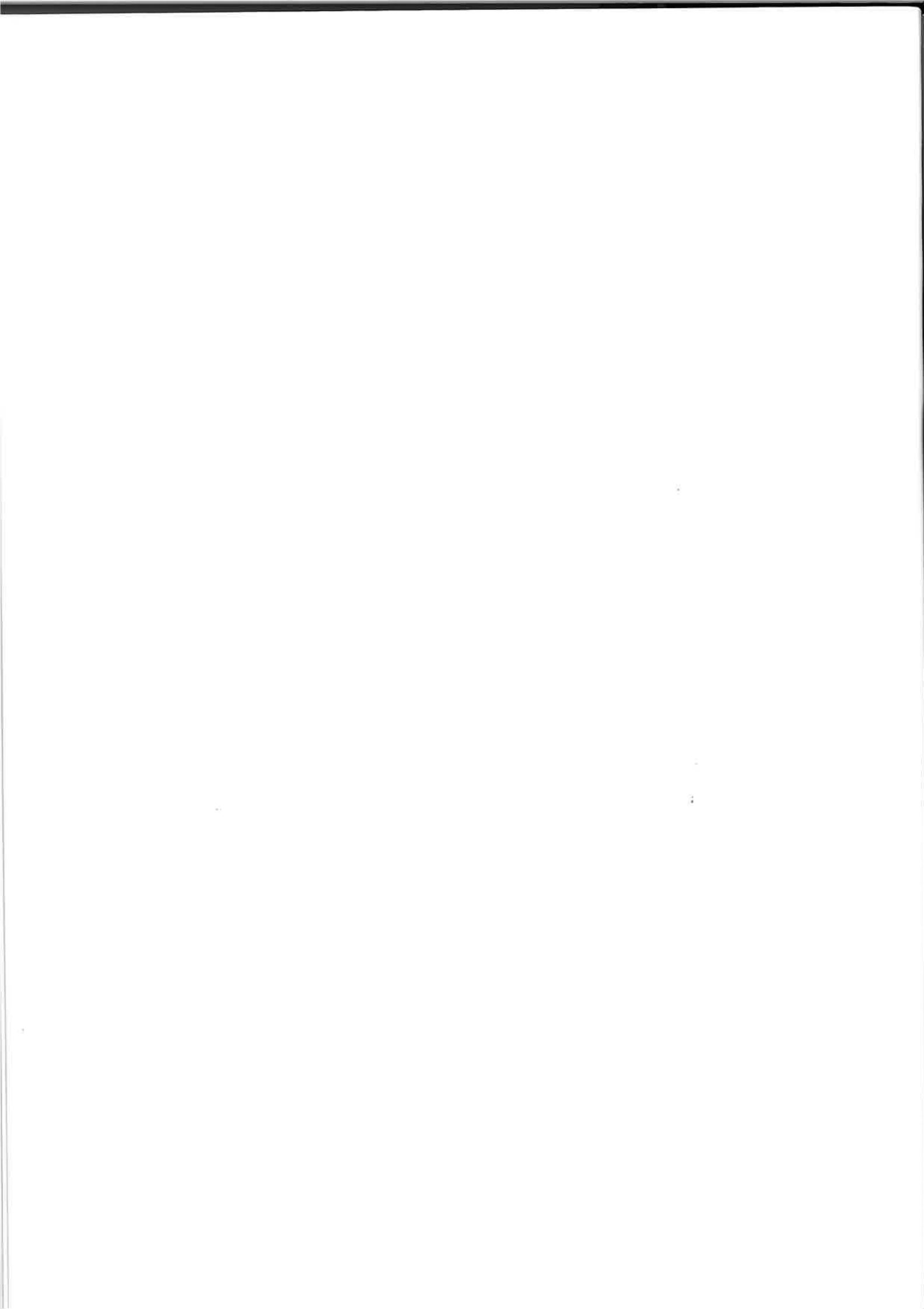
<sup>38</sup> See: Brandi, 1963, the Venice Charter of 1964, and Unesco Recommendations.

<sup>39</sup> Venice Charter, Art. 12.





**POST-TOTALITARIAN EASTERN EUROPE**



# Architecture and Conservation in Post-totalitarian Romania

Peter Derer

*Peter Derer was the Director of the National Commission for Historic Monuments, Buildings and Landscapes from 1990 to 1993 and is a member of the Romanian National Committee of ICOMOS.*

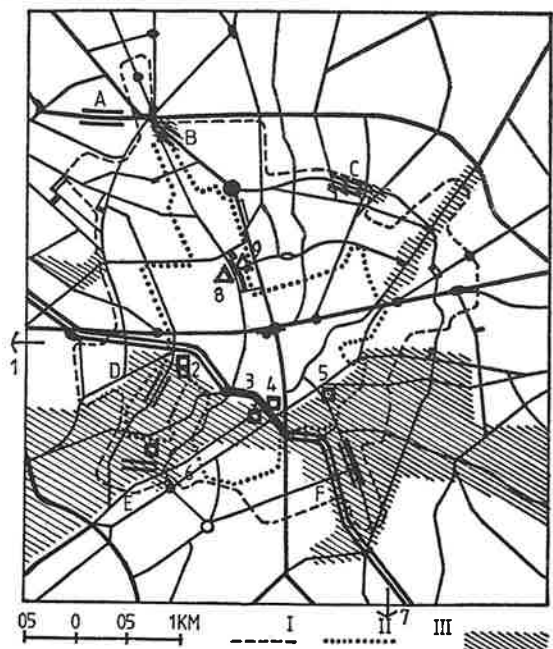
*Peter Derer points out the need for achieving a complex balance between economic development and conservation of the cultural heritage. Till such time as architects reconcile the relationship between urban development and the cultural heritage, he stresses the need for, and correct application of, a conservation law. Such a law, he says, will help to overcome the radical urbanist ideology of totalitarianism.*

The introduction of the systematisation law of 1974 initiated a period of radical restructuring of towns and villages in Romania. The large-scale building policy of party and government — reconstruction of town centres throughout the country, and especially in Bucharest, expansion of the so-called 'viable' villages, building-up and modernisation of the old residential quarters, extension of the transport network, which was aimed at the creation of a 'new living environment for new people' — found a large following among builders, architects and engineers. During this boom in building, which actively involved the majority of state institutions — banks, research centres, design institutes, the building and construction industry — the specialists involved could count on social, material and, in some cases, professional advantages.

Economic, cultural and social motivations which have moulded the long-term thinking of many town planners and architects help to explain the reserved reaction of intellectuals in the face of the large-scale demolition of historically valuable buildings. After the Historic Building Office was abolished in 1977 and with the small interested sector of public opinion having problems of a more fundamental nature to deal with, there was no effective resistance within the country to this destructive policy, to which many old town centres, important architectural features and buildings fell victim. In statistical terms, only a few protected buildings were demolished prior to 1990, because the list of protected buildings, which was already completed in 1995 — and which in any case covered only a minimal part of the stock of valuable buildings — was not allowed to be extended. As a result of the so-called policy of systematisation, more than half the towns lost their historical centres. Even in Bucharest, an area of around 5.5 square kilometres (containing around 40,000 residential units) in the central areas of the city was cleared and completely rebuilt. The political justification for this was that Bucharest was to become the continent's first socialist

capital. That meant not only the construction of a new centre with a parade boulevard and a large square for rallies in front of the imposing House of the People, but also the homogenisation of living conditions through the replacement of the villa district with high-rise estates, displacement and concentration of industrial units on the outskirts, separation of official transport zones from the other public transport routes, separation of retail use of the ground floors of the boulevards from residential use of the upper floors, etc. In contrast to art historians, most civic leaders, architects and builders justified such measures as follows: The old buildings has no heritage value and were in poor condition

Fig. 1. Town plan of Bucharest



(no mention of the inadequate maintenance and the lack of any funding for the upkeep of buildings, especially after the most recent earthquakes of 1997, 1986 and 1990). Other arguments included the allegedly insufficient building density and the excessive cost of renovation work.

There are currently around 4000 qualified architects in Romania, that means approximately one architect for every 6000 inhabitants. Almost all are graduates of the School of Architecture in Bucharest, where for many years the teaching was influenced by the example of the former Ecole des

Beaux-Arts in Paris. There are now also architecture departments at the universities of Iasi/Jassy, Cluj/Klausenburg and Timisoara/Temeschburg). The main subject here was the teaching of practical design; town planning and conservation, in particular, were subsidiary subjects. Among the graduates, there is a sense of pride and a certain elite mentality, whereby the most commonly-cited principle emphasises the right of each generation to its own architecture. The leading role of the architect in building and town planning was also supposed to be derived from

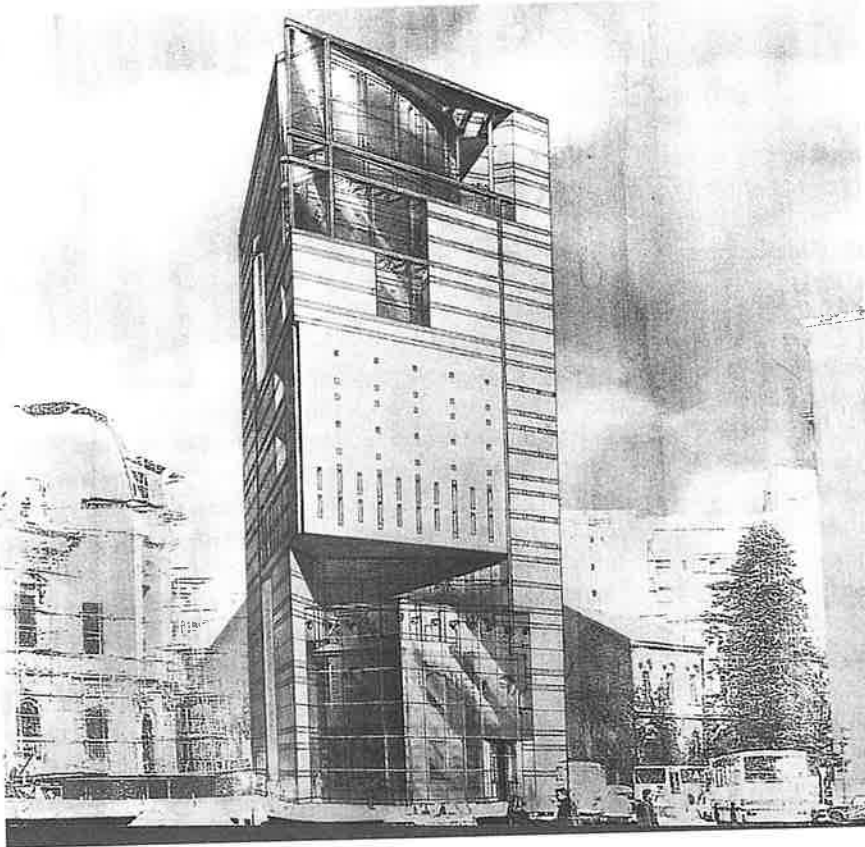
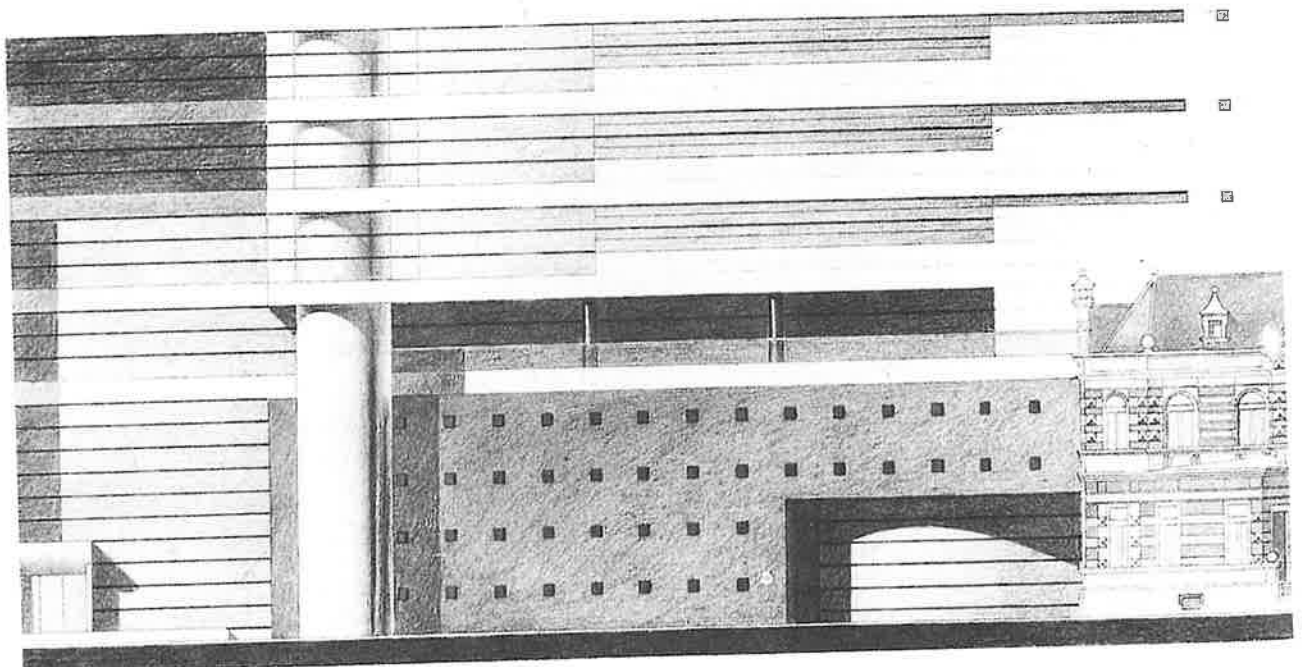


Fig. 2, 3. Bucharest: headquarters of the Romanian Chamber of Architects, competition designs 1992



this principle.

Before 1990, architects were for the most part state officials, either within integrated design institutes or in the fields of administration or training. As the powerful design institutes were dissolved during the course of the privatisation process, architects were among the first specialists to set up private offices. However, the transition from the centralised economy with a wealthy client, the state, to a market economy where private orders have become less frequent and smaller has also influenced the way architects have practised their profession. Nowadays they are increasingly less concerned with complying with building standards and principles, which are in any case minimal, than with meeting the requirements of the private client. In order to be able to protect their interests, some of the architects have joined together in the newly-founded Association of Architects. In addition, their social status continues to be promoted by the Ministry of Public Works' Department of Urban Development and Town Planning and the technical departments of the local authorities. Not least those architects should be mentioned who occupy special positions on a political level (parliament, parties, government) and who also endeavour to support the interests of their colleagues.

As regards the conservation of historic buildings, possibilities remain limited as before, despite the gradual overcoming of the legacy of socialism. During the upheavals of 1990, the systematisation law and the old law for the protection of the national heritage were repealed. New institutional structures were gradually established, including the National Commission for Historic Monuments, Buildings and Landscapes and the central Historic Buildings Office in Bucharest, which is scientifically subordinate to the Commission and which belongs, administratively, to the Ministry of Culture. The Historic Buildings Office consists of around 110 officials, of whom only 30 are architects. A number of these formed part of the organisation's earlier incarnation. The Commission was able to form regional commissions in the seven historical provinces and in the capital. However, the office is still waiting for the conservation law which was put before parliament in October 1991 but has not yet been passed. However, the chances of the draft being accepted soon are remote, due to the complex political situation. The recently completed list of historic monuments which, with 22,000 entries and perhaps 30,000 objects, continues to remain below the level of other European countries, is unlikely to be brought into force. This also means that the Historic Buildings Office has no concrete grounds for exercising its controlling function and protecting the registered monuments on a legal basis.

#### **Legal provisions**

The absence of a binding legal basis resulted in a certain lack of discipline in the building sector. The poor coordination of the new legislation has also caused confusion. Even the new constitutional law makes no provision for this part of the nation's assets. Furthermore, it must be emphasised that the land laws etc. contain a number of provisions which are contradictory with regard to various,

albeit secondary, aspects. For example, the regulations on the conservation of archaeological sites and historic features lying outside towns are rather weak. In some cases, the local authorities, who unfortunately have no access to adequately qualified personnel, were granted too much authority in the area of conservation. A building permit within a protected zone can still be issued either by the Historic Buildings Office or the Department of Urban Development and Town Planning of the Ministry of Public Works.

In addition, the lack of a conservation law has encouraged those elements opposed to the goals of conservation and reinforced the lobby who do not agree with the National Commission's draft legislation. This legal vacuum (which has already lasted three years) has led to a lack of acceptance of the need to conserve buildings. In addition to the Ministry of Culture and the Ministry of Public Works, it has also affected the Architects' Association and the National Association of Conservators (whose members include many architects). This dispute, which unfortunately extends far beyond the scientific aspect, was in part instigated by architects, who naturally have a greater interest in the various aspects of redevelopment than in the questions of conservation and the protection of old structures.

The main problem remains the establishment of conservation zones. The last, not yet official list of historic monuments included squares, streets, urban areas (residential estates, industrial centres, green areas, etc.) as well as town centres with historically valuable buildings. Although the proposals were based on well-grounded on-site examinations by specialists, there were cases where architects from the local technical offices refused to extend the list of monuments to include conservation zones (groups of historic buildings). Local authorities resisted the preservation of old buildings on the pretext that completed development plans existed for certain sites, and that these had to be carried out even where such projects involved the demolition and redevelopment of an area of a town under the since-repealed systematisation law; or on the pretext that the surviving houses had been expropriated before 1989 and the necessary financing for the new housing had already been secured (e.g. Sibiu/Hermannstadt, Orastie/Broos).

A different position is taken by the town planners (these too are architects in Romania) who work for the Department of Urban Development and Regional Planning. They take the view that the competence of the National Commission for Historic Monuments must be restricted to individual objects. Zone conservation should only be regarded as part of town planning and, as such, should come under the jurisdiction of the local authorities. This disregards the fact that, before the change of regime, whole quarters, especially the historical centres of many of Romania's towns, were demolished or radically restructured. The technicians of the former central authorities, as well as those of the local authorities, were also responsible for this. In order to prevent such losses of historic buildings, it is necessary that the establishment of conservation zones should, at least temporarily, remain the responsibility of the National

Commission and the Historic Buildings Office (Signhisora/Schässburg, Oradea/Großwardein).

A great many architects claim that conservation zones are not really necessary, that towns and villages should be allowed to continue their existence without restriction, and that any conservation measures ultimately prove to be insurmountable obstacles to the development process. In the move towards a market economy, where land is regarded as a veritable gold mine, most of the historical town centres are coming under severe economic pressure. Naturally, the owners want to exploit their properties intensively. However, what is remarkable is not only that they are supported by the architects, but that these sometimes go even further. With the intention of developing urban structures, they interfere directly and, without making any exception for the valuable buildings in historical town centres, alter their internal structure or external appearance through the use of inappropriate materials. For this reason, some architects only wish to allow the National Commission for Historical Monuments, Buildings and Landscapes, a limited, advisory function. In their opinion, the restriction of their design activity limits their freedom of creativity. In contrast, the conservationists, who include historians, ethnographers, archaeologists and art historians, claim that such views (encouraged by the continuing uncertain situation in the area of legislation) can largely be regarded as a relic of the old mentality which was widespread under the dictatorship.

#### **Building projects**

If one ventures to review the most recent building projects, one can generally observe, on a local level, the continued existence of traditional concepts and practices which have little in common with the more recent philosophy of conservation. Although the systematisation law has been repealed, its products — development of whole areas — continue to be in use. In Sibiu/Hermannstadt, the mayor's office proposes to demolish the remaining houses in an area of the old town, most of which was cleared prior to 1989. In Sigisoara/Schäßburg, the newly-elected mayor is very concerned that a project for the lower town, which was completed prior to the fall of the old regime, should be implemented. Even in Bucharest, the Historic Buildings Office was unable to prevent the approval of an old proposal by the local project institute, whereby the widening of a street led to the demolition of one of the last intact city blocks of valuable buildings situated on an intersection.

The treatment of listed buildings usually also follows the same rules. The privatisation process meant that almost all ground floors in the historical centres of towns are being converted. Each new shop owner or entrepreneur wants advertisements and signs. The architects support such endeavours by sacrificing valuable old features and architectural details, resulting in the destruction of the unified character of the façades of entire streets. Examples such as the Temesvarer fortress in Banat can be found in many towns, but in this case the incompatibility of two sections of building of differing quality is particularly striking. There are also cases where parts of old buildings disappear because architects (again for reasons of status) apply the principle of purity of style, for example in the Sarat area (around 200

km east of Bucharest). Here a much-altered royal residence from the 17th century is to be restored, with the sections which were added later being removed without sources for the original architecture being available.

Not infrequently, listed buildings are reconstructed internally and externally, which is almost equivalent to a total destruction of the historical heritage. Several examples of this sort of situation can be found in Bucharest: the fashion house of a retail company is being installed in a rich 19th century apartment house which has been gutted, while the famous Manuc Inn in the old town centre is to be converted into a 4-star luxury hotel, which will require radical alterations. It is regrettable when architects make no effort to convince their clients of the value of a building, as in the case of the Gabroveni Inn on Lipskani (Leipzig) Street, one of the last examples dating from the late 18th century. It should be emphasised that the capital, which is around 500 years old, contains no secular buildings which are older than this.

Numerous conflicts arise where new buildings are constructed in old surroundings, especially in conservation zones. The trend towards the intensive use of building sites ultimately leads to solutions similar to those which were criticised prior to 1989. Some architects who have adopted the arguments of the conservationists have revised their original projects in order to make the planned new buildings harmonise better with their surroundings. The designs for the district schools inspectorate in Craiova (Oltenia) and for a Catholic church in Macin (a small town in Dobrukscha), which is to be built near a Muslim mosque, are worthy of mention. A controversial project in Brasov/Kronstadt, part of which had been commenced before the change of regime, was actually going to be completed, despite the stubborn opposition of a number of architects, conservationists and local residents. The builder — the University of Brasov — therefore commissioned the architects to adapt those buildings which had already been erected to an architectural form which was better integrated with the medieval town centre.

Usually, however, the architects use the principle already mentioned in order to justify the implementation of their projects, without taking the location into consideration. Unfortunately most of them are not willing to address the question of a harmonic juxtaposition of old and new. This assertion is illustrated by two examples which concern particularly important sites: the giant ecclesiastical building directly next to the famous wooden church in Cuhea (a village in the northern province of Maramures) and the gigantic laboratory building of the village museum in Bucharest which is being completed despite the repeated protests of experts, intellectuals and residents. None of these buildings has received final approval from the National Commission for Historical Monuments.

A final form of aggressive interference within the protected zones is represented by the new bank and office buildings of various Romanian and foreign companies which are establishing branches in the major cities as a consequence of the transition to a market economy. In Timisoara, a high-rise block with underground parking is being built a few

metres from the only remaining Baroque bastion. A bank building which, because of its dimensions, blocks the view of part of the remaining old town, has been designed for Tulcea (a port in the Danube Delta). However, in Bucharest, many more projects for high-rise office blocks are being submitted which, for lack of a town-planning concept, are not being planned at appropriate locations. The headquarters of the trading company 'Industriaexport' (an example of high-quality architecture) will scarcely blend with a residential area dating from the early 19th century. Nonetheless, it is not only the young architects who adhere to an approach which, like the two award-winning projects for the headquarters of the Romanian Association of Architects, illustrates the current relationship between this profession and the cultural heritage: either as a delicate ornament in crass contrast to the bleak modern architecture or as a historical relic to be isolated from the environment in a glass case.

### **Conclusions**

The building boom which took place throughout Europe

from the 1960s to the 1980s coincided, in Romania, with the time of the dictatorship. Although much was built (especially housing estates and industrial zones), many architects felt restricted in their freedom of creativity. It is hard for them to understand why such restrictions should continue following the change of regime in December 1989. Some have even found new arguments for their old concepts which are derived from the transition to a market economy. They remain incapable of achieving that complex balance between economic development and conservation of the cultural heritage which might better reflect the new circumstances. In order to counteract such a situation, there is an urgent requirement for a conservation law which is correctly applied. However, in the long term, solutions must be found which can reconcile the thinking of most architects with respect to the relationship between urban development and cultural heritage. Only then might it be possible to overcome the radical urbanist ideology of totalitarianism and help establish normality in the relationship between architecture and conservation.



# Conservation et valorisation du patrimoine architectural en république de Bulgarie

*Todor Kretev*

*Todor Kretev is a member of the Executive Committee of ICOMOS and President of the Bulgarian National Committee of ICOMOS.*

*Le territoire de la Bulgarie fut, à travers les siècles, un véritable carrefour de civilisations où les intérêts politiques, économiques et culturels de l'Orient et de l'Occident se croisaient. C'est dans cet alliage complexe et contradictoire d'influences diverses et de traditions locales que le riche patrimoine de biens culturels s'est accumulé dans les terres bulgares : monuments thraces uniques, oeuvres des cultures provinciales romaine et byzantine, monuments du moyen-âge, de la Renaissance nationale et de l'époque moderne des Bulgares qui fondèrent ici leur Etat avec les tribus locales thraces et slaves du sud, il y a plus de 13 siècles (681).*

## **Caractéristique générale du patrimoine**

Les particularités spécifiques du patrimoine immobilier dans les terres bulgares sont : la variété exceptionnelle dans la typologie et la structure des monuments, le caractère très dispersé du réseau de biens, leur stratification riche et complexe. Une partie de ces biens ont le statut de "monument de la culture" (40 000 environ), d'après les critères de la Loi sur les monuments de la culture et les musées. La Loi détermine trois types de monuments : monuments de l'architecture (archéologiques, d'architecture, d'urbanisme, y compris des parcs et des jardins); historiques (bâtiments, sites, etc... liés à des événements ou des personnalités historiques); oeuvres des beaux-arts ou des arts appliqués. Leur diapason dans le temps est remarquable - 25 siècles! Une importance particulière revient aux précieuses couches archéologiques (thraces, antiques, médiévales) et les spécimens remarquables de l'architecture vernaculaire. Les monuments récents - des années 30 et 40 de notre siècle - comprennent des bâtiments résidentiels, publics, religieux et des exemples du patrimoine industriel. L'environnement, évalué en tant que phénomène naturel, est protégé par la Loi sur la sauvegarde de la nature.

La Loi fixe trois catégories dans la hiérarchie de valeur des monuments : de valeur mondiale (les sept monuments inclus dans la Liste du Patrimoine Mondial : les tombeaux thraces de Kazanli et de Svechtari, le cavalier de Madara, les églises rupestres près du village d'Ivanovo, l'église de Boyana de Sofia, le monastère de Rila, la réserve de Nessébar); de valeur nationale (1 200 environ) et de valeur locale. Les monuments sont classés également d'après le degré de leur complexité - monuments isolés et en groupes : ensembles et réserves (au total 42 réserves : agglomérations, zones archéologiques, etc.).

Les monuments de la culture sont considérés comme un sommet incontestable dans la pyramide de la hiérarchie

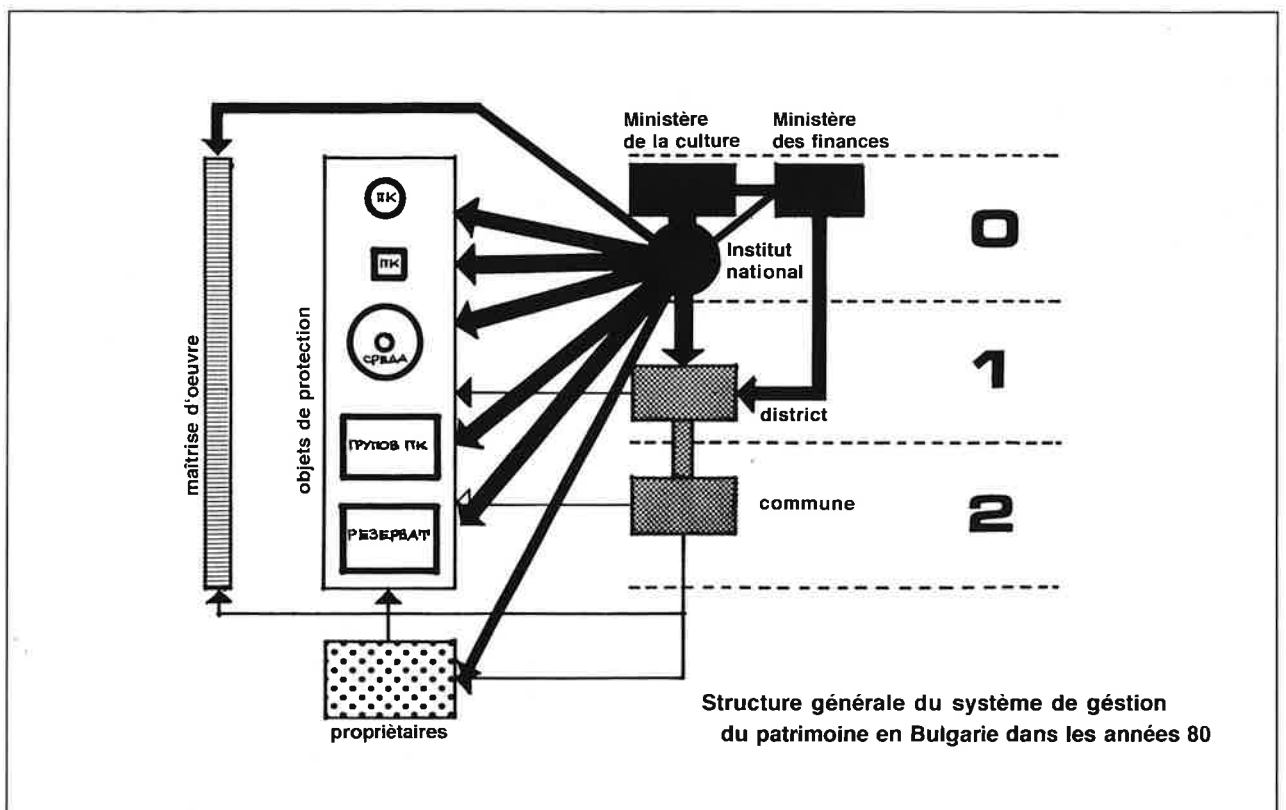
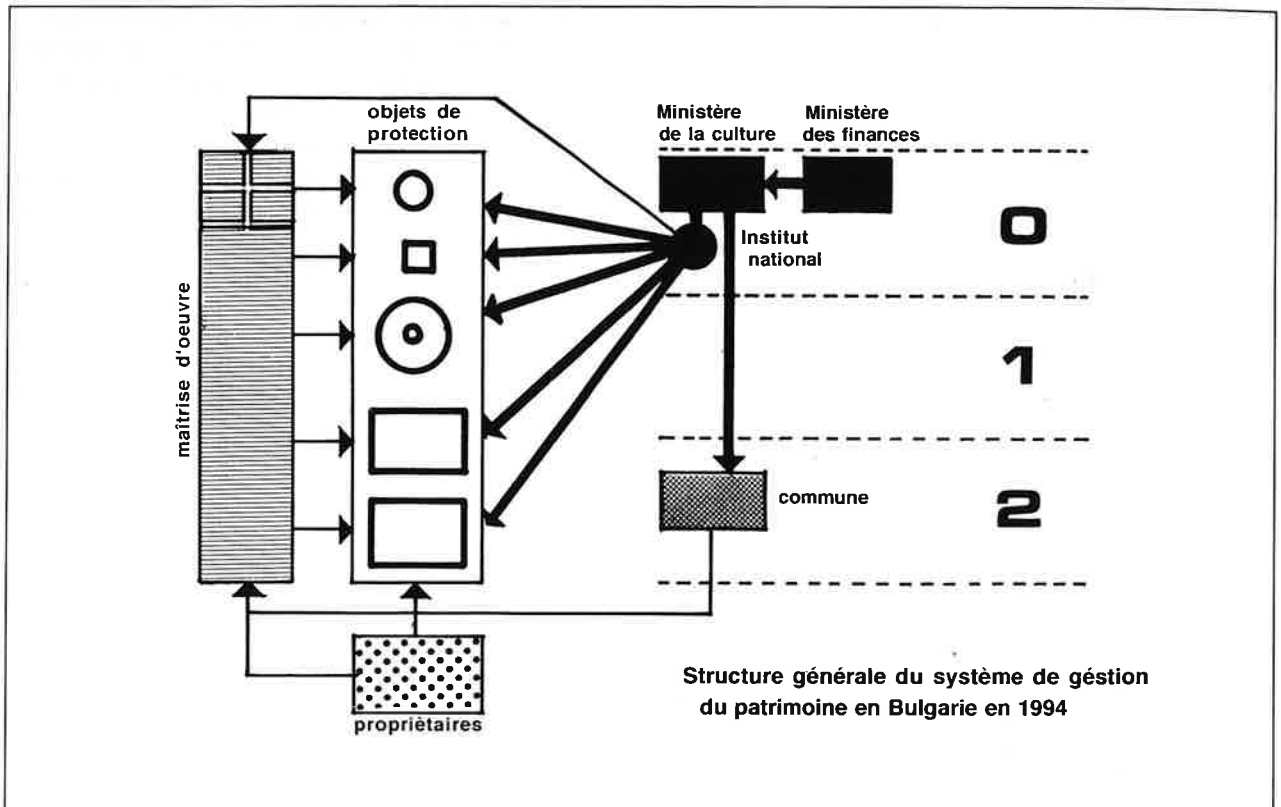


Fig. 1. Structure générale du système de gestion du patrimoine en Bulgarie dans les années 80

Fig. 2. Structure générale du système de gestion du patrimoine en Bulgarie en 1994

des valeurs - le plus précieux et pour cela protégé par la Loi. Des milliers de biens d'une catégorie inférieure restent en dehors de la portée de la Loi : vieux quartiers urbains, petites rues, liens et interactions traditionnels, silhouette caractéristique, dimension, identité culturelle de l'environnement. Naturellement, l'évaluation de ces biens suit un processus évolutif, reflétant le développement de la prise de conscience et des possibilités de la société. De là les chances de leur survie.

### Conservation et valorisation du patrimoine architectural: rouages, résultats, perspectives

L'activité de conservation du patrimoine architectural en Bulgarie a parcouru un chemin complexe et contradictoire de 30 ans. Elle reflète non seulement l'évolution dans la pensée professionnelle des conservateurs mais aussi la morale de l'époque qui n'était pas toujours pure et conséquente.

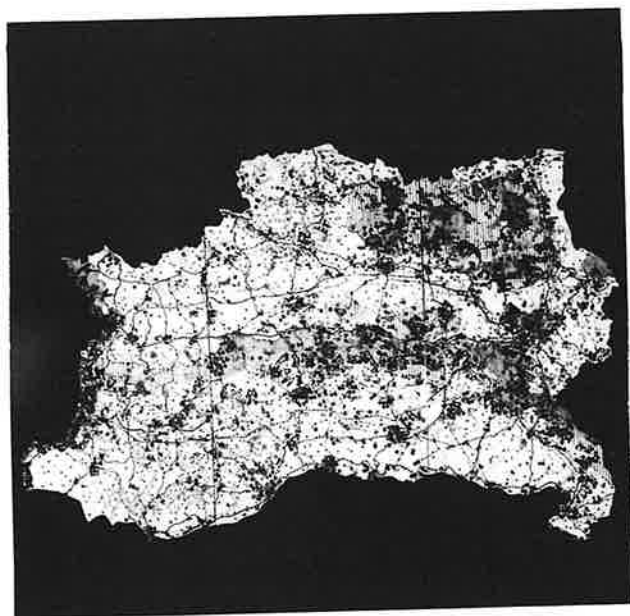


Fig. 3. Schéma national du patrimoine culturel

Les changements sociaux radicaux après 1944 ont apporté le nihilisme révolutionnaire dans tout ce qui avait été créé auparavant : la conviction que l'ancien est voué à céder devant le nouveau; l'assurance qu'on pourrait édifier un monde complètement nouveau et plus attrayant. Cette idée communiste illusoire a formé un mélange destructeur avec la philosophie du rationalisme architectural. Les ravages dans les centres historiques urbains ont dépassé de loin ceux de la Deuxième Guerre mondiale.

La création de l'Institut national des monuments de la culture en 1957 a introduit un point de vue de qualité nouvelle à l'égard du patrimoine. Plus tard, l'adoption de la Loi sur les monuments de la culture et les musées en 1969 a réglementé cette attitude nouvelle et fourni les instruments d'une politique nouvelle, dans les conditions d'un climat social différent. Peu à peu s'est formé le système d'Etat actuel de conservation, adéquat à l'économie d'Etat centralisée.

Au niveau national, le Ministère de la Culture est le

principal sujet dans ce système, ayant un rôle prioritaire de gestion et de contrôle de cette activité. Un organe principal du Ministère de la Culture, c'est l'Institut national des monuments de la Culture qui centralise et coordonne toutes les activités concrètes de conservation. Au niveau régional, ce sont les directions municipales du Patrimoine culturel qui réalisent une activité d'investissement et un contrôle local. Dans son modèle idéal, le rouage de la gestion comprend les principales étapes suivantes :

- Le Parlement adopte les ressources budgétaires des plus précieux monuments et des monuments menacés (ordinairement 12 millions de léva environ);
- Le Ministère de la Culture propose la répartition sélective des ressources budgétaires par territoires et monuments;
- Le Ministère des Finances oriente les ressources vers les municipalités respectives;
- Les municipalités (par l'intermédiaire des directions du Patrimoine culturel) concluent des contrats avec l'Institut national et autres organisations. Parfois, les municipalités assurent des ressources supplémentaires de conservation de leurs propres sources ou autres, y compris de ressources de certains propriétaires de monuments de la culture.

Ce modèle idéal, au centralisme nettement exprimé, vise la réalisation d'une politique sélective en principe où les ressources du budget de l'Etat soient orientées vers les monuments de la culture prioritaires (de valeur mondiale et nationale), et les autres ressources couvrent les besoins de monuments d'une catégorie inférieure. Ce modèle est basé sur la conviction que l'Etat seul est capable de gérer le processus de conservation dans son ensemble.

Dans beaucoup de cas cette politique fut réalisée avec succès. Pour la période de 1969-1988, des activités concernant environ 10 000 monuments de la culture, d'un montant de 300 millions de léva environ, ont été effectuées. Au cours des dix dernières années, l'Institut national effectuait des travaux sur environ 600 monuments par an et a terminé complètement les travaux sur près de 800 monuments. Sans cette activité, le paysage de la Bulgarie aurait été différent.

Au niveau le plus bas (monuments, ensemble, zone), la tendance visait à sauvegarder l'authenticité de la substance originale, sa stabilisation et sa valorisation. Dans ce sens, l'école de conservation bulgare puisait des stimulants pour son développement de la théorie et de la pratique mondiales, des principes de la Charte de Venise, adaptés aux conditions spécifiques locales. L'approche différenciée et pluridisciplinaire à l'égard des couches historiques, des valeurs éternelles et éphémères du monument, a montré la richesse de son contexte dans l'espace et dans le temps. Une attention spéciale a été accordée aux sept monuments mondiaux et à ceux de valeur nationale.

Au niveau de la localité, les efforts étaient orientés vers la conservation du paysage national urbain spécifique, de ses éléments et structures, de son échelle, de ses fonctions et de son rapport avec l'environnement naturel. De nouvelles formes d'action sur la politique urbaniste ont été découvertes : des conceptions urbanistes proposant des directives et des

alternatives de conservation et de valorisation des biens patrimoniaux dans la localité. A certains endroits cela devint une base de dialogue fructueux avec les urbanistes. A d'autres, les conflits étaient difficiles à surmonter.

Le niveau territorial a posé des problèmes méthodiques complètement nouveaux. L'attention a été portée sur des territoires avec une forte concentration de biens culturels. Un schéma national du patrimoine culturel a été établi. Le but visé était de mettre au point une stratégie intégrale de conservation du patrimoine à différents niveaux. La conviction s'affermissait que ce n'est que dans leur ensemble, en tant que système unique, que les éléments du patrimoine (monuments ou non) peuvent affirmer l'identité culturelle de l'environnement et sauvegarder sa mémoire.

Pendant cette période, il y a eu également une évolution notable dans la pensée architecturale moderne. La rupture historique entre la conservation et la créativité architecturale moderne a été surmontée. Le dialogue complexe avec la tradition a créé des possibilités nouvelles d'une richesse de sens et de formes dans l'architecture moderne.

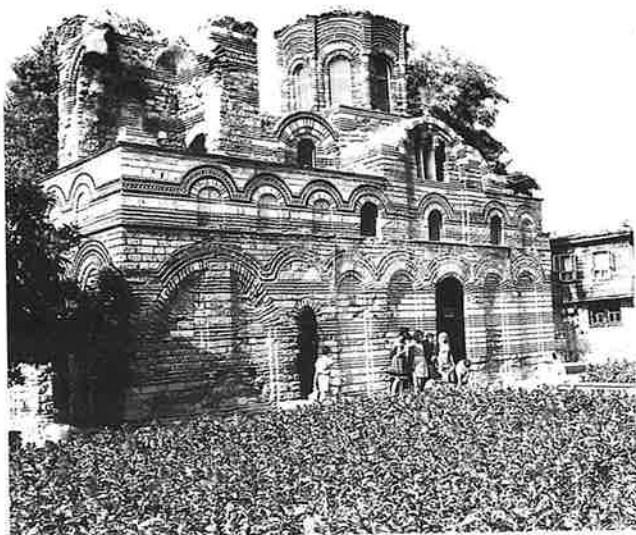
L'escalade signalée de l'activité de conservation a atteint son point culminant vers 1980-81 en rapport avec l'anniversaire de 1300 ans de la fondation de l'Etat bulgare. De très grands efforts furent déployés et d'énormes ressources affectées à sa célébration. Quelle est l'explication de ces efforts croissants, disproportionnés, entièrement

inadéquats avec la situation économique peu enviable de l'Etat? Nous ne devons pas nous faire d'illusions : dans le contexte d'un pouvoir totalitaire le patrimoine devient aussi un élément d'un scénario politique; une façade de parade d'une politique culturelle officielle dont la fonction principale est d'exalter les possibilités du présent; c'est un signe de populisme à l'égard des sentiments des hommes pour leurs propres racines historiques. Aussi, la sollicitude affichée pour le patrimoine avait-elle aussi son mauvais côté : la violence pour atteindre le but politique orthodoxe. Ainsi, le romantisme historique agressif de certains leaders politiques médiocrement intelligents a imposé à certains endroits l'édification de symboles pseudo-historiques en violation des critères scientifiques. A d'autres endroits, leur incurie à l'égard de biens authentiques a occasionné des pertes dans l'environnement historique, indépendamment de la vive réaction des professionnels. Dans bien des cas, la pression locale a déformé la politique sélective, et exposé à des risques certains grands biens nationaux : plus particulièrement sites archéologiques, monastères, etc.

L'équilibre maintenu artificiellement entre l'économie centralisée et la culture officielle ne pouvait être de longue durée. Et lorsque, au cours des dix dernières années, la faillite économique du système a commencé à se manifester de plus en plus nettement, l'intérêt de l'Etat pour le patrimoine commença visiblement à diminuer. Dans

*Fig. 4. Le théâtre antique de Plovdiv*





l'activité de conservation se produisait une crise dans laquelle se manifestèrent tous les défauts du modèle totalitaire. Le système national de conservation était édifié avant tout sur le principe d'un centralisme ferme où l'appareil d'Etat avait un rôle de monopole et une importance minime était accordée à l'initiative créatrice libre, à la concurrence et à la participation sociale. Voilà pourquoi, lorsque le rôle de l'Etat devint moins important, le système commença à se dégrader. De vives contradictions se sont manifestées entre les anciens partenaires. La crise économique a restreint considérablement les possibilités des municipalités et des communes qui comptaient jusqu'alors sur les ressources budgétaires de conservation : elle a mis fin au système d'investissement. La valorisation peu effective de l'environnement historique (particulièrement dans la sphère du tourisme culturel) n'était pas en mesure d'attirer de nouveaux intérêts et de nouvelles initiatives. Il n'y avait pas de marché libre de l'offre et de la demande. Il n'y avait pas de stimulants économiques et sociaux pour une vaste participation sociale. Ce qui plus est, l'apathie sociale a éloigné l'intérêt des gens pour le patrimoine. La crise économique a porté un coup particulièrement grave à la conservation - il n'y avait pas de matériaux, d'instruments et d'équipements spécifiques. La législation devenait de plus en plus inadéquate aux conditions déjà différentes. L'activité de conservation menait une lutte pour sa propre sauvegarde...

Les événements politiques du mois de novembre 1989 ont donné une impulsion à des changements sociaux radicaux. La Bulgarie a commencé à détruire son "Mur de Berlin". Un processus de démocratisation s'est produit, de rejet des anciennes structures totalitaires, d'ouverture du monde. Ce processus est aujourd'hui pénible, douloureux, plein d'espoirs et d'appréhensions.

D'une part, le changement apporte des chances réelles à l'activité de conservation - à sa démocratisation, dépolitisation et déétatisation. Mais de l'autre, ce processus se déroule dans les conditions d'une crise économique catastrophique. La réforme économique est dans son commencement. Les leviers de stimulation économique n'ont pas encore été mis en fonction. L'inflation et le déficit créent d'énormes difficultés à toute activité. La transition d'une économie d'Etat vers un marché libre n'est pas encore réalisée.

Tout cela place la conservation dans une situation extrêmement critique. L'aide reçue jusqu'à présent de la part de l'Etat a diminué sans être remplacée par quoi que ce soit. Ce dangereux vide économique pourrait être fatal pour un grand nombre de monuments. En même temps, l'âpre confrontation politique attire fortement l'intérêt social, l'éloigne du sort du patrimoine et fait même renaître l'ancien nihilisme révolutionnaire à l'égard des valeurs du passé récent. Ce sont là les risques de tout changement social

Fig. 5. La ville historique de Nessébar

Fig. 6. Le monastère de Rila

Fig. 7. Le monastère de Rila



Fig. 8. Le monastère de Rila

radical où parfois ce n'est pas seulement ce qui est le plus rétrograde qui périt, mais aussi ce qui est le plus vulnérable. Il y a des activités culturelles qui sont en mesure non seulement de surmonter de pareilles collisions sociales, mais d'y découvrir de nouveaux stimulants de vitalité. Mais toute pause forcée dans le processus de conservation peut provoquer des dommages irréversibles dans l'environnement historique. C'est en cela que consiste le dramatisme de nos jours - en même temps inquiétants et pleins d'espoirs.

Malgré tout, les perspectives pour l'avenir sont optimistes. Elles sont en rapport avant tout avec les intentions d'une décentralisation et démonopolisation radicales de l'activité de conservation. Probablement à l'avenir aussi l'Etat jouera un rôle important dans l'établissement de la stratégie générale sélective, dans le contrôle de l'application de la Loi, dans la garantie de la protection des biens d'importance mondiale et nationale. Mais ce rôle sera plutôt supervisant, réglementant et stimulant. Le centre de gravité sera déplacé nécessairement en direction du niveau municipal local qui sera chargé de nouvelles fonctions et responsabilités dans le domaine de la conservation. Les puissantes structures centralisées d'aujourd'hui, telles que l'Institut national des monuments de la culture, se désintégreront en un système d'organismes spécialisés (d'Etat et privés) fonctionnant dans les conditions de la concurrence libre du marché. Le processus de privatisation comportera de nouveaux intérêts, initiatives et

ressources, étendra le cercle des partenaires, rendra la participation sociale plus active. Notre pratique actuelle nous a persuadés que l'activité de conservation n'est pas et ne saurait être une activité isolée. Elle n'est qu'une partie du processus global de développement de l'environnement en raison de quoi elle a besoin de nombreux adhérents, de partenaires, d'instruments de dialogue et de communication entre eux. L'activité législative d'un parlement élu démocratiquement donnera des chances à une organisation législative nouvelle, adéquate aux besoins, objectifs et moyens actuels, défendant les intérêts culturels nationaux.

La ratification des deux conventions européennes de sauvegarde du patrimoine architectural et archéologique, à la fin de l'année 1990, était un acte symbolique d'adhésion au processus européen. D'ailleurs, un appui international pour la Bulgarie à l'heure actuelle, dans ce moment critique, aurait de l'importance non seulement pour sa culture nationale, mais pour l'identité culturelle unique du vieux continent.

L'optimisme pour la survie du patrimoine en Bulgarie a un fondement de principe. En effet, l'activité de conservation dans son essence même est profondément démocratique. Elle a pour but l'accord dans l'environnement humain, le pluralisme des couches historiques, la tolérance à l'égard des diverses époques et des divers styles, cultures et religions. La conservation est l'expression d'un comportement démocratique. La violence, l'intolérance, sont incompatibles



Fig. 9. Le monastère de Rojan



Fig. 10. Le site historique de Kosovo

avec la philosophie même de l'activité. C'est pourquoi, la destruction des structures totalitaires paralysantes, en suivant la voie vers une démocratie véritable, devra inévitablement fournir des encouragements au développement futur de cette

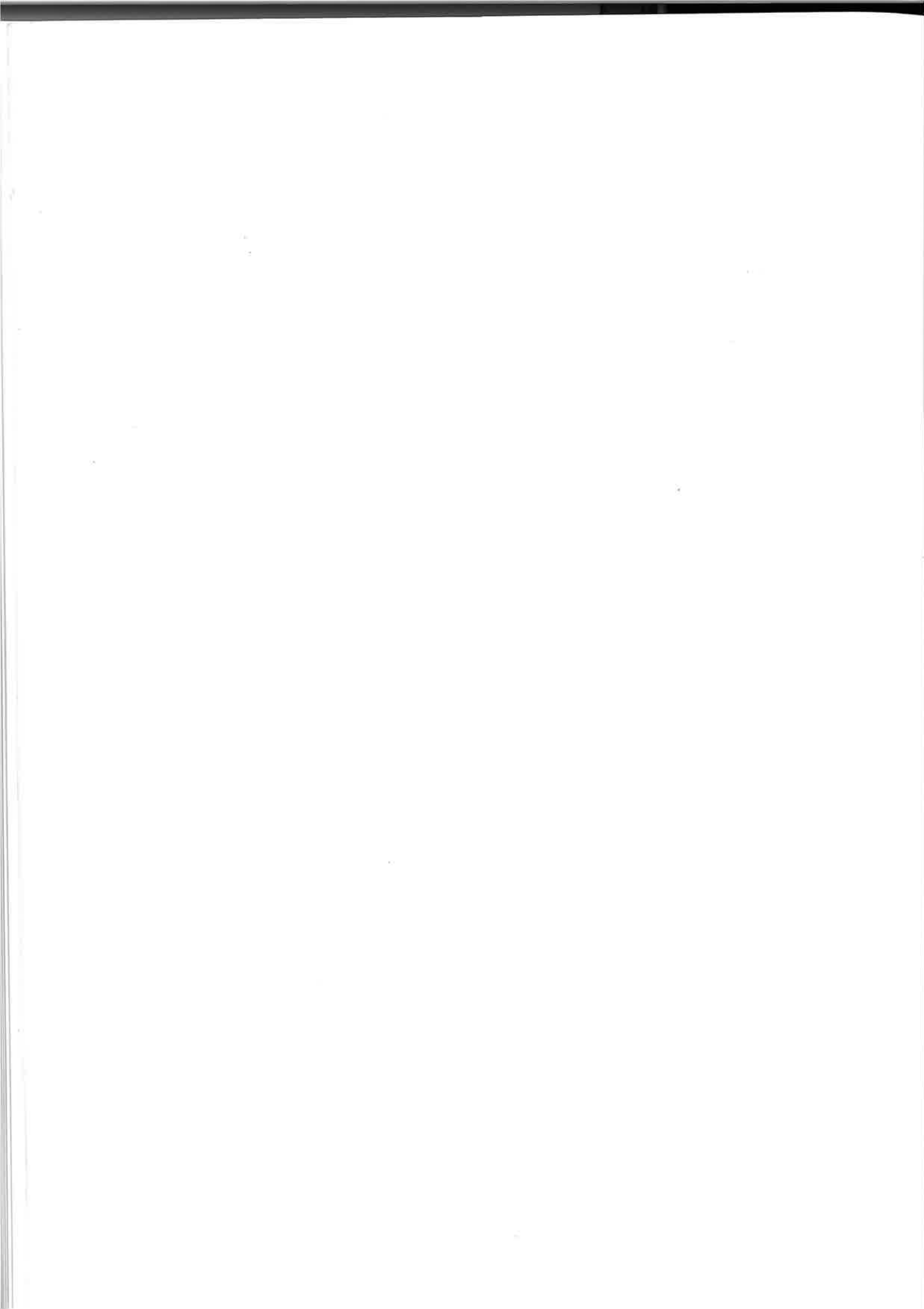
activité. Et là aussi, toute l'expérience européenne dans les formes, les moyens et les mécanismes de ce développement serait extrêmement utile.

Fig. 11. La ville historique de Plovdiv



## **CULTURAL HERITAGE AT RISK**





# Report on Round Table on Cultural Heritage at Risk

held at ICOMOS headquarters, Paris 8 and 9 October 1993

Dinu Bumbaru

*This is a report of a Round Table of experts which followed a first meeting of representatives of both governmental and non-governmental organisations held in October 1992 at the initiative of ICOMOS in collaboration with UNESCO. It was part of actions launched by these organisations to assess the tools available to improve preparedness for disasters of natural or human origin and to reduce their impact on cultural heritage. This process aims at improving or, where necessary, complementing the existing tools including the Convention for the Protection of Cultural Property in the event of Armed Conflict ('The Hague Convention', 1954), the Convention on Means to Prohibit and Prevent the Illicit Transfer of Cultural Property (1970), and the Convention concerning the Protection of the World Cultural and Natural Heritage (the 'World Heritage Convention', 1972).*

*The report is followed by an analysis of findings from the post-war reconstruction operations at Basrah and Fao in Iraq, and by a report on the methods of surveying Dubrovnik's architectural heritage.*

## 1. Objectives

The objectives adopted by the Round Table were of two kinds:

- Those meant to feed into the reflections of UNESCO in preparation for discussions to be held at the 142nd session of the Executive Council (October 1993) and at the 27th session of the General Assembly (November 1993).
- Those meant to formulate a programme of concrete strategies and actions to be undertaken by the participating governmental and non-governmental organisations.

## b. Participants

The Round Table gathered the following individuals:

Mrs. Jamila Binous  
*Association pour la sauvegarde de la Medina (Tunis)*

Prof. Patrick Boylan  
*Head of Arts Policy & Management Dept., City University (London)*

Mr. Dinu Bumbaru (Rapporteur)  
*Héritage Montreal & Secretary of ICOMOS Canada*

Mr. Maurice Carbonnell  
*Former President, ICOMOS Intl Committee of Architectural Photogrammetry (CIPA)*

Mr. Étienne Clément  
*Division of Physical Heritage — UNESCO*

Mrs. Élisabeth Des Portes  
*Secretary General — ICOM*

Mrs. Regina Durighello  
*World Heritage Assistant. ICOMOS*

Mr. Bernd Von Droste  
*Director, World Heritage Centre — UNESCO*

Mrs. Arlene Fleming  
*Cultural Resource Management Consultant (Virginia USA)*

Mr. Meno Heling  
*Meno Heling Culturele Markering (Amsterdam)*

Mr. Jan Hladik  
*Division of Physical Heritage — UNESCO*

Mrs. Gisèle Hyvert  
*Division of Physical Heritage — UNESCO*

Dr. Jukka Jokileitto  
*ICCROM & President of ICOMOS Intl. Committee on Training (CIF)*

Mr. Daniel Lefèvre  
*Architecte en chef des Monuments historiques (Paris)*

Dr. Tomislav Marasovic  
*President of ICOMOS Croatia*

Mr. Leo Van Nispen (Chairman of the round table)  
*Director of ICOMOS*

Mrs. Ann Raidi  
*Former Director of the Division of Physical Heritage at UNESCO*

Res. Lt - Colonel P.M.C. Scheers  
*Section of Protection of Cultural Heritage, Natl. Territorial Command (NL)*

Mr. Herb Stovel  
*Former Secretary General of ICOMOS and  
chairman of the previous round tables*

Prof. Peter Waldhäusl  
*IPRS (Vienna) & ICOMOS — CIPA*

Mr. Said/Zulficar  
*Secretary, World Decade of Cultural Development —  
UNESCO*

## 2. Conceptual framework

Experts participating in this Round Table agreed on broad orientations to guide their work. Some of them are specific to Conventions and other particular tools. Others relate to the fundamental objectives of these discussions — cultural heritage and its better integration in the behaviour of societies, whether they are in emergency situations or normal conditions, and in on-going reflections on their development.

On that latter point, it was noted that conservation, beyond physical intervention, remains fundamentally a discipline whose object is the transmission of cultural values carried by objects, monuments and sites and, generally speaking the built environment. In broad terms, conservation aims at reducing the loss and decay of the heritage suffered through processes whose origins lie just as much in nature as in human activities like armed conflicts.

### a. Exceptional circumstances

Within the context of this definition of conservation, disasters of natural or human origin can be considered as extreme forms of decay of the cultural heritage. The difference is in the cataclysmic character which causes rapid destruction of the heritage.

Beyond their physical impact on heritage, these situations have important effects on individual and collective behaviour, tending to reduce rationality by various degrees according to the situation. This is particularly true with armed conflicts where moral and social order is strongly affected.

An appropriate response to such situations depends on information gathered and planning undertaken prior to the disaster. It requires improved preparedness and preventive actions to reduce the impact of those factors and to develop appropriate institutional and community behaviour. Such improvements can ensure an improved efficiency among involved parties during and after an emergency situation or a disaster.

The experts underscored the statement that relief for cultural heritage should be perceived as an integral part of the notion of humanitarian aid even if this has traditionally been associated with medical aid or food supply.

### b. The Hague Convention (1954)

Presentations by Prof. Boylan and Mr. Clément assisted the experts to understand the extent of current evaluation of the Convention. Despite doubts raised on its efficiency of expression and primarily on its implementation, the Hague Convention led to important achievements from UNESCO's

perspective. It was noted that it acts as an important catalyst and reference.

Stressing the interest of the orientations taken in the conclusions of the Boylan Report the experts concluded that the full potential of the Convention had yet to be reached. Acknowledging the value of the Convention as a tool, the experts agreed that the Round Table should reflect on ways to improve the implementation of the spirit of the Convention and greatly encouraged UNESCO to stimulate its implementation while acting, in collaboration with NGO's to improve it with the benefit of recent experiences, in particular the increased use of military force in roles other than armed conflict *per se* like UN Peacekeeping or humanitarian relief operations.

### c. Other conventions

The Convention on Illicit Transfer of Cultural Properties (1970) was briefly mentioned in some case studies but the Round Table did not study its implications with respect to the main objectives of the meeting.

As well, the terms of the World Heritage Convention (1972) were not discussed in specified forms. Nevertheless, the experts identified sites registered on the World Heritage List or proposed for registration, as providing opportunities for developing and implementing preparedness measures as components of their management and conservation plans.

## 3. Priorities

The experts identified the development of improved preparedness for emergency situations as a general priority. In that respect, an examination of the tools to be developed to achieve this goal was carried on in the light of the various presentations.

These improvements require changes in community behaviour favourable to the conservation of cultural heritage — in normal as well as exceptional circumstances and independent of the origin of the disaster (natural or human). In addition, the Round Table noted that, even if its reflections were focused on cultural heritage, there is a great need to coordinate action with organisations in the field of natural heritage, if for no other reason than to understand the models developed in that field.

The Round Table examined various tools including the means of identification of risks and threats; the documentation of cultural properties for preventive measures and the production of technical instructions to be executed in emergency situations, in the form of manuals and guidelines. Finally the presentation of crisis scenarios for the Medina of Tunis encouraged other such simulations for other sites.

Discussions at the Round Table may be summarized under three broad headings with respect to the definition of the approach required and the type of actions required.

### a. Education

(Education and training of both the public and the various authorities)

All the presentations and briefs submitted by experts to

the Round Table made this issue a priority both to ensure proper integration of conservation of cultural heritage in the normal concerns of societies, and to spur all authorities to improve preparedness. These latter comprise the general public as well as the civil and governmental authorities and organisations specifically mandated to intervene directly or indirectly on cultural properties in emergency situations. Among those organisations, experts identified specifically civil defense as significant and, to an even greater degree, the military personnel who are to act in national or international missions, in particular within UN Peacekeeping activities.

In the development of educational and training activities on preparedness, the experts felt that the distinction between preparing for disasters of natural or human origin should be replaced by a concern for preparedness in general, in order to avoid hesitations and psychological impact which comes to a population preparing, for example, to go to war.

#### **b. Documentation**

(Preparation of qualified inventories on cultural properties; instructions for measures to take before, during and after a disaster in order to preserve heritage significance; documentation of risks)

The presentations of Mr. Lèfevre complemented by those of Mrs. Binous on the Medina of Tunis and Prof. Waldhäusl on the use of photogrammetry and of 'amateur' technology for documentation (see annexes) were received with great interest as providing a basis for the preparation of guidelines for creating, conserving diffusing and using such documentation before and in time of emergency.

The Round Table proposed to make the guidelines more explicit following the principle that conservation actions — whether taken as preparation or as response to a disaster — should be based on all the elements that contribute and define the cultural value of a heritage property. This could mean that inventories take in to account factors other than strictly architectural or historical ones.

Preparation of these guidelines should be done in cooperation with the governmental and non-governmental organisations and distributed to governments, institutions and any other competent organisations. Such guidelines could serve as a base for the improvement of the Hague Convention which lacks sufficiently precise instructions about documentation for sites to be protected.

Documentation also requires a proper assessment of threats in order to plan general procedures and specific measures for each property, to train professionals, managers and local authorities as well as to inform the public. The expertise necessary for this task could be assembled from local or national institutions responsible for heritage conservation or from international networks. In the latter case, concerted action by UNESCO and NGOs could lead to the creation of a bank of experts and the ability to manage their participation in such international situations.

#### **c. Coordination**

(Coordination amongst institutions and authorities acting directly or indirectly on cultural properties in

case of emergency to ensure better achievement of conservation objectives)

This coordination should first be achieved at the local level within a broader regional, national or international reference framework. The experts identified the need to produce and efficiently diffuse reference manuals that treated emergency situations in the continuum of other forms of decay of heritage while ensuring the integration of a conservation concern in interventions for which this is not the prime purpose, like UN Peacekeeping missions or humanitarian relief operations.

Armed forces are one of the institutions. It is noted that, under the terms of the Hague Convention, that contracting parties are to nominate military personnel responsible for archives and issues related to monuments. The Round Table suggested that this measure be fully implemented to enable and facilitate the delivery of information on monuments to the military. To do so, the suggestion was made to designate liaison officers with whom the conservation authorities could work.

On the other hand, the experts noted the importance of better and more active collaboration with organisations already active in the field of disaster preparedness and response, in particular humanitarian relief organisations. Among those, various components of the UN system were identified as examples, as well as private and national governmental organisations active in the field of tourism or nature conservation as shown in Mrs. Fleming's presentation.

On the matter of natural heritage the round table noted the importance of developing greater conciliation between the natural and cultural heritage fields especially since more and more sites combine both natural and cultural elements as the basis for defining their heritage value.

## **4. Tools and Resources**

In a strategic perspective aimed at implementation, the Round Table first identified the need to better coordinate the actions of existing organisations (governmental or NGOs) and the possibility of a specifically mandated, independent organisation to improve preparedness and responsive actions to emergency situations. This coordination should extend to components of the UN system, to military and humanitarian organisations which do not necessarily have direct responsibility for cultural heritage but play important roles in exceptional circumstances.

### **a. Human resources**

Following the presentation of Mrs. Hyvert on the creation of a corps of specialists (see annex), the Round Table adopted the principle of establishing and maintaining a list of specialists available to participate on missions for the development or implementation of preparedness measures or to help sites in response to disasters.

The Round Table nevertheless remained conscious of the ethical questions raised by such a list and, in particular, by its *a priori* qualification of specialists without any confirmation of their actual level of commitment. In that respect, the experts suggest that the responsibility of

establishing such as list, of defining selection criteria and rules of ethics for professionals be given to a joint committee of representatives of NGOs active in the conservation field and UNESCO.

### *b. Manuals and Guidelines*

The reports from Mr. Stovel and Dr. Jokilehto on documents, manuals and training, identified needs to be fulfilled in those fields and proposed a generic model (see annex). A great number of manuals already exist but very few appear helpful in today's context for preparation of preparedness manuals.

Most manuals deal with traditional definitions and perceptions of humanitarian aid (rescue of people, medical supply, emergency housing) or with specialized definitions of cultural heritage (museums and similar institutions, isolated monuments rather than the cultural environments whose importance is now widely acknowledged). Most existing inventories were planned to answer fundamental research objectives rather than help in emergency situations. Finally, existing documents are seldom accessible or adaptable.

These observations suggest the need for a global document that would introduce the concepts of conservation of cultural heritage in emergency situations — from the preventive measures of a preparedness programme to the immediate or long-term actions to be taken in the case of such situations. The Round Table agreed on the need to produce such a tool, best described by the term 'manual'.

This manual must allow both for regular updating and for adaptation to specific conditions of each site and organisations that will implement it. It should also include a guide to existing similar documentation in the field. Database technology could provide means for the updating.

### *c. Structures*

It was suggested that the scale of the need to both reduce the impact of and to respond to emergencies, whether through existing Conventions and their regulations, or addressed at the broader level of conservation principles required the presence of a permanent mechanism.

The Round Table identified the need to set up an international, neutral, non-governmental organisation specifically dedicated to the protection of cultural heritage put at risk by emergency situations of natural or human origin on the model of a fund.

The presentation by Mr. Heling (see annex) brought useful information to this section of the Round Table. Inspired by the model of the World Wildlife Fund (WWF), such a fund should enjoy a broad base, independence and financial resources that would enable it to complement the actions of governmental organisations (UNESCO, the Council of Europe, other intergovernmental networks in Asia or North America), or non-governmental organisations like ICOMOS or ICOM.

Such a fund should possess an infrastructure sufficient to carry on large-scale preventive actions as well as specific eventual operations in response to emergency situations in

coordination with other cultural heritage or associated field groups, with maximum efficiency.

The structure, the objectives and the goals of the fund should also address the question of a possible host-country through, among other factors, a legal assessment of various options. To continue this reflection, a task force was created of experts acting as individuals. This task force will look at the desired relationship among partners in this process. The coordination of this task force will be ensured by Leo Van Nispen.

## **5. Conclusions and Recommendations**

### *a. General considerations:*

Preparedness should be developed within the broader context of cultural heritage at risk. It was also felt necessary to develop a general approach to prevention and preparedness in all emergencies, whether of natural or human origin.

These actions must be carried out in relationships established with all authorities. It is imperative to develop a relationship with the military personnel who would be called into action in emergency situations. It is necessary to develop a common language to make it possible to communicate concerns about conservation of cultural heritage in exceptional circumstances to these parties.

A first step would be to encourage UNESCO and the UN to continue their efforts to stimulate preventive activities before a situation of emergency arises. Such preventive activities could be developed and carried out jointly by UNESCO and NGOs to reduce the risks for cultural heritage in 'hot spots'.

Actions for UNESCO: UNESCO could participate in UN Peacekeeping mission with 'liaison' officers and experts in the conservation of cultural heritage. In that perspective, it would be necessary to reinforce existing mechanisms within UNESCO to ensure a proper coordination and to support other organisations involved in this kind of action.

### *b. About the Hague Convention (1954):*

Even if this Convention does not pretend to provide answers for all problems of conservation of cultural heritage in exceptional circumstances, the Hague Convention constitutes an important tool and a catalyst for the development and implementation of a wider action on preparedness. In parallel to its reviewing, particularly regarding its provisions on the essential documentation of sites, its promotion and its implementation should become the object of priority actions by UNESCO.

*Dissemination:* The provisions of the Convention should be widely distributed to military personnel and particularly to UN Peacekeepers for integration in their training programmes.

*Promotion:* UNESCO should launch and support a campaign to stimulate adhesion of countries to the Convention in order to better sustain its credibility, its recognition and its universal character.

*Monitoring:* UNESCO should continue to encourage

countries which have already adhered to the Convention to encourage them to submit reports on the implementation of the Convention's terms, and to adopt protection measures in accordance with the Convention.

**c. About documentation:**

Guidelines should be prepared to ensure the documentation of cultural properties as a part of preventive measures. This documentation is important for the production of general instruments for governments or international organisations, for the implementation of the Hague Convention and for the preparation of specific instructions for each site or property.

While it might be prepared to respond to the specific needs of disaster preparedness, this documentation should be integrated in the normal conservation instruments used for urban ensembles, buildings or objects. The following recommendations provide a basis for the development of such guidelines.

*Contact:* Aside from basic information identifying the cultural property and what defines its heritage value, the documentation should provide an emergency plan identifying the risks and potential threats, their potential effects, access roads, risk zones, resources and the responsibility of the authorities in case of emergency.

*Development:* The process of developing this documentation provides an opportunity to sensitize and educate responsible authorities, military personnel and managers in charge of security and emergency measures.

Definition of emergency measures and instructions could be achieved through simulations and on site exercises carried out with the participation of both conservation specialists and authorities responsible in case of emergency.

*Dissemination:* The distribution of this documentation should discriminate between scientific and strategic information. Nevertheless, it remains important that civil or military authorities in charge of responding to exceptional circumstances maintain a basic information on cultural heritage, if only to implement the terms of the Hague Convention.

*Management and updating:* New technologies in the field of information should be exploited to store, organize and update base documentation. The monitoring of sites is essential to carry on that work and the updating of base documentation.

**d. About training:**

The training of specialists, administrative personnel and the public is a priority. It is important to integrate conservation into existing training programmes on emergency measures, in particular those developed within relief organisations active in providing humanitarian aid.

NGOs and UNESCO should combine their efforts to develop specific training programmes for local and national

authorities, for military personnel and for other target-groups. In this context registered or proposed World Heritage Sites were identified as opportunities to develop training and education programmes and models.

Military groups, in particular the UN Peacekeepers, should be given basic training in conservation of cultural heritage. In complementary fashion, military personnel should provide basic training to conservation specialists to be called in the context of emergencies.

**e. About manuals and guidelines:**

The production of such instruments is necessary to reinforce existing documents and to articulate these in the context of the specific needs of cultural heritage at risk and of improved preparedness measures. Such instruments provide valuable opportunities to support integration of conservation concerns in the treatment of heritage in exceptional circumstances.

These instruments should serve the purpose of training specialists as well as educating the general public, and should lead to the production of site-specific documents and instruction. Their diffusion to conservation professionals, to military personnel, to economic development agencies and to human rights, humanitarian relief and environmental groups, as well as the media, should be seen as a priority.

**f. About the creation of a corps of specialists:**

A centralised database of experts in the conservation of cultural heritage in emergency situations should be created and used. Such a database should discriminate between strategic and scientific expertise.

Its management should be the responsibility of a joint committee of UNESCO and NGOs in cultural heritage conservation so as to ensure proper professional standards and ethics.

**g. About the need for an international fund:**

The Round Table concluded that achieving these goals requires resources that would be supplied by the creation of an independent and neutral, non-governmental fund for the protection of cultural heritage at risk. This fund could use the example of the WWF and ensure its own funding through a specific fund-raising strategy.

*Activities:* The activities of this fund would complement, support and reinforce those of governmental organisations in the field.

In parallel, such a fund could finance the publication of a yearly or bi-annual report on the stage of heritage in the World on the model of what is currently done by a number of governmental or non-governmental organizations and associations in other fields.

*Follow-up:* To achieve a better examination of the concept of such a World Fund for Cultural Heritage at Risk, a task force was created. Its coordination will be ensured by the Director of ICOMOS.

# Analysis of Findings from the Post-War Reconstruction Campaigns at Basrah and Fao, Iraq.

*Sultan Bakarar*

*This analysis of findings is from a case study which examines the reconstruction campaigns of the southern cities of Basrah, the second largest city after the capital, Baghdad, and Fao, carried out by the Iraqi government following their devastation during the eight-year war with Iran (1980-1988)\*.*

*The author visited the war-damaged areas of Basrah soon after the cease-fire in August 1988. Later, in November 1989, he was invited by the Iraqi Government to participate in the 'First International Symposium of Post-war Reconstruction in Basrah and Fao' and conducted his second field visit. The third field visit took place in April 1991 following the announcement of a cease-fire between the Allied and the Iraqi forces. The reconstruction campaigns were completed in record time, based on a predetermined time-table, despite having to work in adverse weather conditions and the remoteness from the points of supply. Basrah's reconstruction was started in February, following a two month campaign of rubble clearing, and lasted until June 1989, when the work on Fao started. This city was rebuilt in a surprisingly short time of 114 days. While reconstruction in Basrah did not go beyond repair of the infrastructure and street beautification, Fao was totally rebuilt according to a new city plan.*

*The study sets out to examine the reconstruction approach and the effects of policies on implementation. Besides displaying many of the dilemmas of reconstruction after war, it sets out to test the author's main hypothesis that 'Settlement reconstruction should be an integral part of a nation-wide development,....., reconstruction that takes the form of a series of centralised projects (infrastructure, housing and public buildings) is unlikely to be resource efficient or culturally sensitive'.*

This last section examines the findings of the field visits. It attempts to highlight some of the successes and failures of the reconstruction campaigns of Basrah and Fao. It also investigates if there has been a change in attitude towards reconstruction following the Allied Iraqi war (1991). In order to accomplish this, the *11 Underlying Principles for Reconstruction after War*, derived by participants at the Second York Workshop on Settlement Reconstruction, held in May 1989 (edited by Davis, 1989b) are used as a general framework to evaluate the Iraqi experience. It is also seen as an opportunity to review the Principles in order to develop PWRD's own reconstruction recommendations.

The main outcome of the Second York Workshop on Settlement Reconstruction after War, held in York, 16-18 May 1989, has been the introduction of a set of 11 Principles directed to authorities responsible for the reconstruction of towns and cities devastated by war. The Principles embodied 63 Guidelines. A draft of these was produced by the participants including the author and a final version was edited by Dr. Ian Davis, Director of the Disaster Management Centre at Oxford Brookes University. This effort resulted from an attempt to fill a gap and to produce practical advice on the nature and the priorities of reconstruction after war.

Naturally, it was felt that because of the wide range of countries involved in war, and because of the different types of wars, some of these guidelines were bound to be less relevant to some situations. Thus, they were produced in the hope that '...officials will be cautious in the way they make use of this material, since local needs will always have to be assessed in accordance with their own unique characteristics'. (Davis, 1989b:6).

The Guidelines had the following aims, (Davis, 1989b:7):

1. To provide a framework for the reconstruction planning process.
2. To stimulate a range of actions that go beyond the conventional wisdom, or the obvious immediate needs of damage clearance and new planning and building

construction.

3. To encourage local officials to produce their own guidelines or recovery plan, that adapt these issues in the light of prevailing conditions in a given area.

The prime *focus* of these Principles was on the physical planning and the rebuilding of urban settlements devastated by war in developing countries. The same principle is the focus of this study, as it deals with the reconstruction of the cities of Basrah and Fao. Thus, this section will start by introducing the 11 principles and then examining them in the light of the Iraqi experience. It concludes with a number of observations of the success or otherwise of the Iraqi reconstruction effort and on the content of the Principles. The 11 principles are:

1. It is vital to maximise locally available resources.
2. Effective reconstruction will only occur when it is comprehensive in its scope.
3. The timing of actions is critical.
4. Do not wait for political and economic reform.
5. There are limited opportunities to reform the design of buildings and settlement patterns in reconstruction.
6. It is vital to preserve the cultural heritage in reconstruction.
7. It is essential to introduce safety measures in reconstruction.
8. It may be possible to adapt sections of the war economy to reconstruction.
9. The needs of all handicapped people must be catered for.
10. Reconstruction should be regarded as therapy.
11. Knowledge needs to be documented and disseminated.

We shall now attempt to relate these Principles to the specific context of the Iraqi reconstruction effort. It is important that the reader should have read the full text of the 11 Principles.

#### **Principle 1**

*It is vital to maximise locally available resources.*

Based on the assumption that for an exhausted post-war economy to recover and to reduce the costs of imported goods and services, the country should maximise the use of locally available resources. These resources include skilled labour; building materials; institutions and leadership.

However, reading through the Guidelines one becomes confused over a number of issues. Firstly, the context in which the words 'local resources' are employed. Do they mean immediate 'local resources'? or regional? or even national 'local resources'? Secondly, does the principle of 'maximising', imply compulsory exploitation? Thirdly, *the relationship between the scale of war and that of reconstruction*, indicates that 'Normally the State wages war, but the affected communities are often left to recover and in some instances rebuild on their own. Therefore the character and scale of war needs to be met with a matching character and scale of reconstruction'. (Davis, 1989b:11).

Although this recommendation is generally valid, in the sense that it emphasises the responsibility of the State, it allows officials to assume that they have to rebuild in the same manner in which they conducted the war, i.e. from the centre.

In what is normally a strong centralised planning system, such as in Iraq, *local* is certainly understood as national, and such a widely cast Guideline could be interpreted as an invitation for a full-scale central government reconstruction. In our review of the reconstruction of Fao and Basrah, we found that one of the aims of the reconstruction campaign was to emphasise the strength of the country by depending on local skills and resources. Nevertheless, the employment of national 'local' resources organised from the Centre did not always allow local i.e. district economies to recover through the participation of the local people.

This leads us to the other important issue discussed within this Principle: the issue of *Centralisation, top-down management and the local community involvement*. Where it argues that 'Whilst the centre will have a key role to fulfil in reconstruction planning, it is important to note the dangers of over-centralisation of power and decision-making' (Davis, 1989b:10). By now it is obvious that Basrah and Fao are true cases of reconstruction by a *Central Government*. Even from the beginning, four military divisions were used to clear the city of rubble, a step which can probably be considered as exceptional in its thoroughness.<sup>1</sup> In addition, reconstruction plans were drawn up in Baghdad. Similarly, when it came to implementation, skills, resources and materials were brought in from the centre and Ministries executed the work, using imported labour (mostly Egyptian).

In Iraq, faced with the problem of rebuilding their shattered cities, planners have a chance to learn from other nations' experiences. It is evident that no matter how well intentioned the plan, as long as it is exclusively the 'authorised' version, there will be clashes between those who believe in it and the masses who know little or nothing about it. Consequently, the plan and its execution will come into conflict with democracy. In our view, there are many lessons to be learned from the momentous events taking place in the world outside. In Gorbachov's USSR, with its pursuit of 'glasnost' and 'perestroika', freedom and restructuring, President Gorbachov has admitted that to build without the active participation of the people is bad economics. Today, Mr. Yuri Murzin, Chief of the Architectural Department at the Central Scientific Research and Design Institute in Moscow says '... for decades we have been ignoring people's opinion and forcing our ideal dreams on them, and for decades we have been faced with continuous failures'<sup>2</sup>.

Thus, the issue of *public participation* becomes very critical. Within this Principle, public participation is recommended as a 'tool' to maximise local resources. However, in the case of Basrah and Fao there has been no participation of the local people in the rebuilding process, nor in the decision-making. The professional attitude has been '... we are dealing only with empty sites and rubble'. (Adel Said, city planner). A great emphasis in the Principle





Fig. 1. The devastation of the Corniche Area of Shatt-al-Arab, Basrah - 1989

is placed upon the role of women, identified as '... a decisive factor in the mobilisation of local resources for reconstruction'. (Davis, 1989b: 13). It is true that women traditionally played an important role in the provision and maintenance of housing in many countries, and that their role would be further emphasised due to the war. Still, citing the role of women in construction as a general guideline undermines a number of local cultures, which does not see the role of women in the same perspective as that of the Guidelines.

Another aspect of maximising local resources in reconstruction concerns *building materials, skills and techniques*, which involves the level of skills, as well as the type of technology, that should be used in reconstruction. Accordingly, it is a relief to discover that prefabrication systems were not widely used in Al-Fao (they were only used in the Festival Square). However, some housing apartment blocks in Basrah were constructed with pre-cast concrete panel systems. Are they repeating the mistakes of the Fifties, Sixties and Seventies?. A careful look at previous similar projects built in Basrah makes it quite clear that such building materials and techniques are not appropriate either to the local environment or to the social and cultural values of its people. Nevertheless, in the reconstruction of Fao as a symbol of the government's glory, advanced and 'impressive' construction technologies were used, such as inflatable structures (Adnan Mosque).

Another important factor that should be considered, especially with such rapid reconstruction that must have affected building quality, is the repair and maintenance factor. It is strongly believed that by the time Al-Fao becomes an inhabited city, all of the previously mentioned buildings will start to need maintenance. Actually, some signs of deterioration are visible now. We should be aware of the fact that, reconstruction and repair work in many developing, war devastated countries occupies a considerable space in their development plans. Yet at the same time their reconstruction is challenged by additional factors, including continuous population growth, political instability, internal strife, natural disasters, along with the continuous challenge to improve living and working conditions.

#### **Principle 2**

*Effective reconstruction will only occur when it is comprehensive in its scope.*

'The planning process will need to be wide-ranging, covering such issues as: immediate post-war planning activities; the assessment of needs and damage; the planning process; private and public roles in reconstruction; implementation of reconstruction and long-term planning considerations'. (Davis, 1989b:14). The Iraqi experience was far from being comprehensive in terms of planning and implementation. What has so far been achieved is more akin to *reconstruction on a project basis*. Following the war with Iran there has been no *public emergency action*



*Fig. 2. The total destruction of the city of Fao - 1989*

*programme* to return settlements to normality as quickly as possible.

This principle calls for a comprehensive assessment of needs and damage, based on a full appraisal of the affected population and a survey of the physical damage sustained in buildings and infrastructure, prior to the planning and implementation of any reconstruction programme. Following the war, each Ministry was responsible for the assessment of damage inflicted on its own sector. Thus, this exercise was limited to publicly-owned buildings, infrastructure and industries. Private properties and residential areas were not covered in the exercise. Interestingly enough, the same approach was again implemented following the 1991 war.

In terms of *planning process* this principle indicates that there has to be an *overall* and *flexible* planning approach, which can make use of *military* as well as civilian skills and expertise. Certainly, the planning for Fao was far from being integral, in fact it was a publicity hype in support of the Government that took no consideration of the social and economic future of the city. To make it even easier to implement, issues of land ownership were eliminated by the government taking over the whole city.

However, *Long Term Planning Considerations*, were given more thought during the preparation for the reconstruction of Basrah. Commenting on the reconstruction planning in Iraq in general, Dr. Talal Muhammad<sup>3</sup> said that, 'You cannot say there is a certain policy to follow, but we

have thought of different policies for different areas in Iraq according to the different economic, technical and security considerations'. He also implied that they are at the stage of looking for a wide ranging framework of policies and plans which will be followed by more detailed and specialised studies.

Dr. Muhammad's claim was supported by Mozafar Al-Yamori<sup>4</sup>, when he said that, '... a decision was taken in August 1998 to limit the size of Basrah to the existing city's boundary and only to develop new zones within this as and when needed'. This decision resulted from a study conducted by the Urban and Regional Planning Team at the Ministry of Local Government, 'The Basic Design of Basrah the City, 1985', as part of the process of reconsidering the original development plan already done by Llewelyn-Davies Planning Office (1973), which ensured that the study was updated in harmony with the emerging political and economic situation. This is an important point which is often forgotten: the conflict interrupted and severely retarded pre-war development plans and projects. Thus it is essential for reconstruction to '... pick up the pieces of such discarded plans and may incorporate those which remain relevant into reconstruction plans'. (Davis, 1989b:21).

The decentralised policy in terms of the built settlements was also emphasised by the Mayor of Basrah, Mr. Abdel-Wahed Al-Qarnawi:

*A general decentralisation policy is to be pursued within*

*the coming five years, a new satellite town (Saddam'iat al-Basrah) is to be built 90km north-west of Basrah city. Another four satellite settlements are to be constructed around the Al-Fao city, each of 1000 housing units<sup>5</sup>.*

Hamid Turki spoke about the priority of rebuilding the industrial sector. While bearing in mind the pursuit of a policy to decentralise in the southern region, the plan will emphasise the role of existing cities such as Al-Fao, Qurna and Zubair and create new secure cities, such as Saddam'iat Al-Basrah to the north-west of Basrah City. Finally, we ought to emphasise the importance of Shatt-ai-Basrah (Shatt-al-Basrah is the new canal, in place of Shatt-al-Arab, to connect the Euphrates river to the Arab Gulf, just next to the Kuwaiti border. It will also contribute to the doubtful benefit of reclaiming the Marsh lands).

The author believes that the Iraqis had the right priorities, for implementation of reconstruction for Basrah: rubble-clearing was followed by replanning and rebuilding the infrastructure; streets, bridges, water supply, electricity, net-phones and opening and clearing rivers. This operation lasted for 4 months and encouraged the city's inhabitants to return, rebuild or repair their houses and restart their pre war life. However, Fao was different, perhaps because of the scale of devastation and the previously mentioned moral, economic and political reasons.

The use of the military to reduce the time to clear the city, prevented the participation of the people, a factor that has often been said to be of some importance to the recovery of morale.

### **Principle 3**

*The timing of actions is critical.*

This principle clearly states that 'There are critical timing consideration in reconstruction that relate to the priority or sequence of required actions'. (Davis, 1989b:22). When to reconstruct? In the Iraqi case reconstruction started, it seems only, after the cease fire. There seems to have been no planning for reconstruction during the war. In January 1989, the author met Mr. Adel Said, Chief Architect at the Department of Local and Regional Planning in the Ministry of Local Government, Baghdad, who claimed, 'You cannot say that we are pursuing a certain time-planned policy of reconstruction at the national or regional level, but we do deal with each case separately according to the scale of damage. That is because it was very difficult to think or operate reconstruction during the war, especially when the site is indefensible, like the city of Halabja, ... since the war did not come to an end, we are having only a cease-fire and as long as there is no peace agreement, we cannot start rebuilding, at least not in the border sites'. His claim represented the attitude at that time (January 1989), which has dramatically changed since. For political reasons, when no lasting peace was forthcoming, the plans for Fao were made ready in 45 days and the reconstruction took 114 days. This may come to be seen as a mistaken intervention. Such haste resulted in the following negative results:

1. Construction and maintenance operations elsewhere in Iraq were frozen to allow the construction activities

of the Ministries of Local Government, Housing and Construction, Irrigation and Agriculture, Transport and Communication to meet the dead line.

2. Very high labour costs, caused by competition between the different Ministries to attract man power, particularly from abroad.
3. For the same reasons building materials, plant and equipment were at a premium.
4. Confusion between the different authorities caused a huge waste of building materials.
5. Consequently, it was very difficult to control the supply and storage of these materials.
6. Ministries were obliged to provide extra equipment and vehicles, to replace broken ones, because there was no time to repair them. This doubled the cost along with the need to use expensive and advanced building materials and techniques, instead of conventional ones, in order to finish the work on time.

This Principle recommends relating the timing of reconstruction to when people have returned to their locality. It also recommends offering incentives for families to return. In the case of Basrah this is what actually happened. The campaign began six months after the cease-fire, which allowed time for people to return.

The last issue explored pertaining to this principle concerned phases of shelter reconstruction (tents or temporary shelter, prefabricated and permanent) and rapid reconstruction. In both Basrah and Fao tents and prefabricated houses were avoided. Limited public housing was provided during and after the war, mostly for government officials and military officers.

However, during the 1991 war, thinking about reconstruction started before the bombardment (16 January 1991). Mitigating measures were taken including the removal of equipment from telephone exchanges and power stations. This time the Supreme Committee for Reconstruction was re-established *during* the war. Damage assessments and reconstruction priorities were established immediately after the cease-fire.

### **Principle 4**

*Do not wait for political and economic reforms.*

This principle can be summarised in the following sentences of Otto Koenigsberger: 'Waiting for — or linking resettlement with major economic or political reforms, such as legislative changes in land tenure, taxation or local democracy means losing the impetus for change which exists in the immediate post-disaster period'. This principle is structured in a very confusing way, in that it reviews the different areas that need adjustment before starting reconstruction, while recommending commencement of reconstruction without waiting for change to happen. It considers legislation and continues to include expropriation; compensation; agencies to manage reconstruction; efficiency versus equity; cash resources, and ends up discussing economic factors.

Apparently, the Iraqi Government agreed with this

principle, in the sense that it did not wait for change to occur, neither did it encourage any attempt to develop post-war legislation, administration, etc. In fact, it is obvious that it does not expect change to happen. Whatever legislation was employed before the war will no doubt continue to be in use after the war.

Nevertheless, some measures regarding compensation were approved. It was reported by the 'Guardian' (August 15, 1989) that in Basrah, 'Compensation of about 1,000 Dinar per family [\$2,800 at the official rate] is being paid to cover the cost of repairing houses, replacing furniture and dead animals'. In the same article it was claimed that '... thousands of poor people were given free parcels of land on which to build homes'.

#### **Principle 5**

*There are limited opportunities to reform the design of buildings and settlement patterns in reconstruction.*

Unique opportunities for reform will arise due to war damage. Nevertheless the central planners should be cautious about 1) raising into settlement relocation and 2) raising utopian expectations.

In terms of settlement relocation, the Iraqis luckily decided to rebuild Fao on the same site, more as a political symbol of victory than for social considerations. In other cases such as Halabja in the north of Iraq, a decision was taken to relocate the city at a more secure site. Nevertheless, the inhabitants of Fao had to leave their homes for more than 4 years, and then return to a city that no longer belonged to them, which reflects the same insensitive social discontinuity; loss of existing investments in settlements and land ownership.

The Iraqi government's heavy handed approach to urban reconstruction of Fao may have avoided land speculation. It unfortunately reinforced centralised planning and denied the people any role.

The reconstruction of Basrah and Fao raises the issue of pathological monumentalism in architecture and town planning. In Basrah, in a green park on the bank of the Corniche facing the Shatt-al-Arab waterway, stand 99 lifelike bronze sculptures on stone platforms, of officers and commanders who fell in the battles of Basrah (49 platforms on land and 50 in water). 'This was a priority project in the frenzied post-war rush to rebuild virtually from scratch the pulverised cities of Basrah and Fao. Made from real family snapshots by a collective of Iraqi sculptors, they depict those heroes in a variety of forms of dress, in combat gear or without. Only one thing is common to all: every man's gaze is sternly fixed on the Iranian shore across the Shatt, and each has an arm accusingly stretched out pointing in the same direction'. (Al-Khalil, 1991:29)

Obviously, with the rebuilding of Fao, Iraq followed in the steps of some other so called Socialist countries; planning by decree, assumed needs and resources and denial of the participation of the users. This strategy failed in Europe as it will surely fail in Iraq.

#### **Principle 6**

*It is vital to preserve the cultural heritage in reconstruction.*

This principle asserts that in order to '...re-establish the community's identity and provide cultural continuity, it is imperative to preserve or rebuild selected damaged or destroyed cultural landmarks'. (Davis, 1989b:28). Further, this principle promotes the point of view of the community, while the government's concern is only with economic and political aspects of conservation, often only with physical structures. Therefore, one feels the need to balance this with cultural aspects that go beyond built structures.

'The conservation of the traditional areas is a very important issue, the government is giving it its careful attention. But at the same time it proved to be very expensive and without any economical yield'. With these words Abdel-Wahed Al-Qarnawi, the Mayor of Basrah, replied the author's question about the priority of conservation. As for the conservation policies that would be applied during the reconstruction phase, Namir Zenal<sup>6</sup> said that:

*"The government is no longer ready to spend the amount of money that it used to do in the past. Conservation of architectural heritage is still considered a political commitment, but the post-war economic situation does not allow running large scale conservation policies. Nevertheless, there is a strong desire to reflect the Islamic and Arabic identity in the newly designed areas"*.

The fact that the traditional areas of Basrah have suffered great devastation due to the war, did not trigger any governmental interest in their conservation. On the contrary, it has been seen as an opportunity for reforming the traditional areas and 'modernising' them.

The traditional areas are mainly within the Central Corridor, which includes the Al-Ashar area on Shatt-al-Arab side and Old Basrah, especially on both sides of Al-Ashar water way. Iuad Sami<sup>7</sup> emphasised what was mentioned in the Llewelyn-Davies Report (1973):

*"The blight in Basrah started long ago before the war, because of different factors. It was characterised by the deterioration of the physical conditions, obsolescence, substandard buildings, high incidence of vacancy and stagnation of economic activity. All these factors impair values and prevent the normal development of property"*.

In 1978 the Ministry of Tourism began restoring five houses and this process is still not finished. Another house on the south bank of Al-Ashar Creek was restored in 1972 and is used as a museum. At that time the houses needed minor repairs.

In the Al-Ashar traditional area at the riverside, according to Hamid Turki<sup>8</sup>, a new development scheme will begin in the near future. The whole area is now government property and is badly damaged in some places. The government has already decided to conserve 20 traditional structures out of hundreds and to replace the rest with new modern structures, in order to enhance the value of the land in that location, since Al-Ashar is considered the best commercial spot in Basrah City.

On the other hand, with more than 6,000 Iraqi sites listed in official records of antiquities, Iraq has always given special attention to the archaeological sites. The most recent

example has been the controversial reconstruction of the ancient site of Babylon, which was carried out during the war with Iran and cost the Iraqi budget millions of dollars.

Another aspect is the preservation of monuments and remains of buildings as a memorial of war. This task was performed in Fao, where the only surviving structure (a mosque) was preserved in its state of damage, surrounded by a round-about. It is important to make it clear that the aim should not be to preserve buildings as dead memorials, but rather to have a 'culturally oriented' approach for reconstruction. Whatever survived of buildings with cultural values, could be rebuilt to appear as before if necessary, and even used as a source of inspiration for the newly designed settlement.

#### Principle 7

*It is essential to introduce safety measures in reconstruction.*

When considering this principle, one can sense the influence which the studies of natural disasters have had on the development of these principles. This is not to say that this principle is not relevant. It is important to note that mitigation in the case of natural disasters is dependent on a cycle of events, which is not necessarily, always the case in war. It seems important to distinguish mitigation during war from that after war. Normally, following war only few countries would have reason to continue feeling threatened. These countries, such as Iraq, Jordan, Lebanon, and Israel would continue to provide for and consider the threat of a future war in their settlement planning and housing design.

The author, accompanied by Dr. Fu'ad Al-Mu'amin, visited Baghdad in 1989 and saw the nuclear shelter (above the ground) at the Technical University. Dr. Fu'ad Al-Mu'amin claimed that it can provide a safe shelter for 40% of the students and staff in case of nuclear attack. He also mentioned that there is one in every University or College in Baghdad. Two years later, a similar shelter (Al-Amiria) was destroyed during the American bombardment of Baghdad in January 1991, with a specially designed bomb. This experience reinforces the view that '... apart from some elements of dispersal planning and the overall location of settlements in particularly vulnerable border situations, there is not a great deal that can be done to plan a city against attack from modern weapon systems'. (Zargar, 1989).

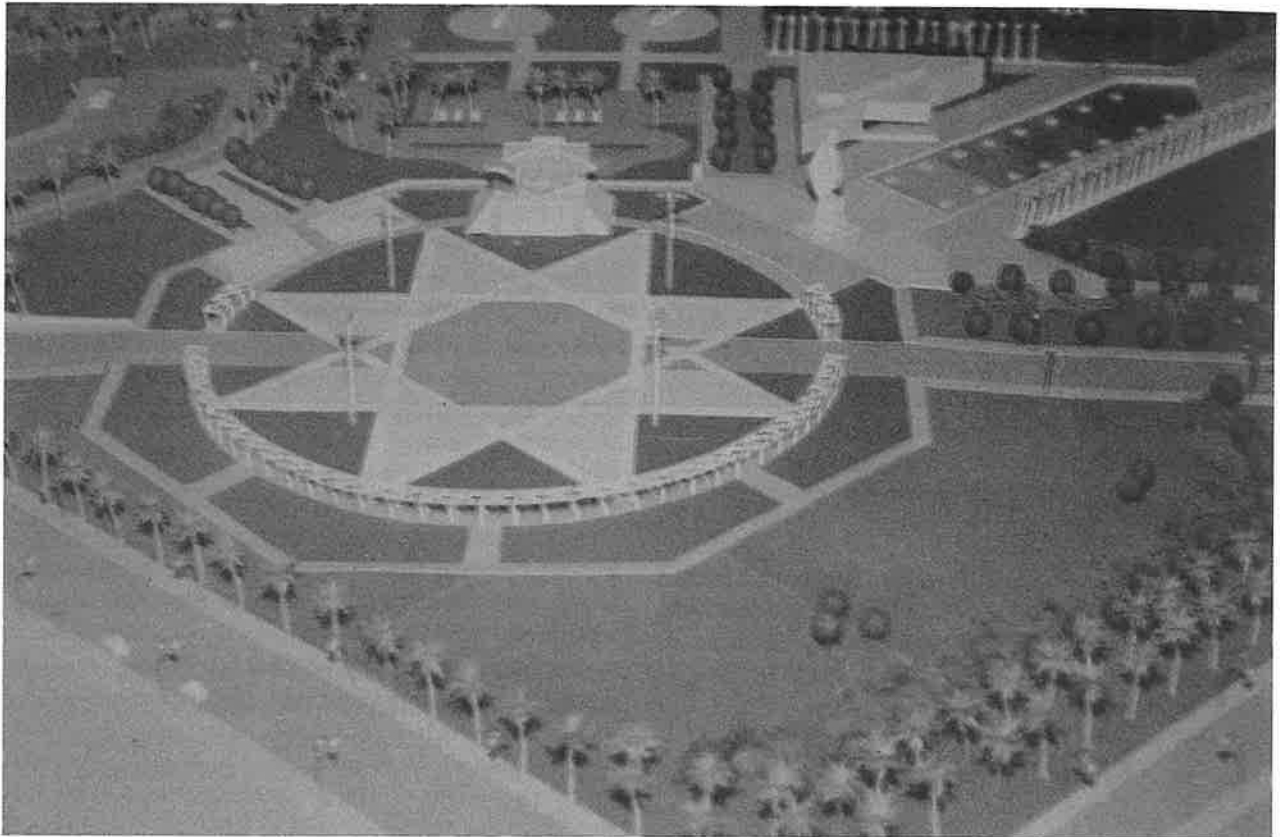
In Basrah, underground shelters were provided for the public in the main open areas in Old Basrah Market and in Suq Al-Ashar. Massive concrete barriers were placed in the streets and around the main public places during the war. Basrah was surrounded with very strong fortifications as well as an advanced anti-aircraft missile net. All of these measures were provided during the war. Following the end of the war, Mr. Al-Qarnawi claimed:

*Some housing projects on the way to the new airport of Basrah, were constructed with individual air-raid shelter, as well as some community underground shelters part of which were designed as nuclear shelters.*

In Fao, mitigation was not an issue at all, despite the fact that Fao is located in one of the most threatened zones.

Fig. 3. An example of Basrah's traditional architecture





*Fig. 4. The 'Festival Square' in Al-Fao - 1989.*

That may be because it was never meant to be inhabited! This principle also calls for the incorporation of safety measures against natural hazards and fire.

In short, it seems more sensible to invest in non structural safety measures: civil defence planning, social preparedness and to try and reduce social and cultural vulnerability (in the case of civil war) as well as economic and political ones.

#### **Principle 8**

*It may be possible to adapt sections of the war economy to reconstruction.*

It is argued that the technology as well as the production capability of the 'war economy' can be adapted into one that could produce essential building or infrastructure components needed in reconstruction. Two direct benefits can be achieved in such a case: 1) badly needed building materials and components and; 2) avoiding unemployment. This is of course, if the end of the war meant the closure of the military industry. To our mind, this Principle is too idealistic. For developing countries such as Iraq and Iran, who have invested so much in their military industry during the war, it is very difficult to suddenly transfer their industry. What is more likely to happen is that, such countries will follow the lead of the developed nations and expand their industries to be able to export their products to the rest of the Third World. In fact, this has been the Iraqi strategy since the end of its war with Iran. Iraq held its First International Arms Fair in October 1989, where it announced its production capability and identified its marketing opportunities. Iraqi officials argue that investing in arms

industry although in the short-term diverts what would normally have been available for reconstruction to defence, would generate in the long run hard currency that is badly needed as well as regional political influence.

Nevertheless, and as we noted in the previous sections the Iraqi Ministry of Industry and Military Industrialization played an essential role in the reconstruction campaigns of Basrah and Fao, where it supplied electricity generating units, medium and high voltage networks and street lighting networks in a rather efficient way.

However, it is important to mention that following the Iraqi retreat from Kuwait in February 1991, and its acceptance of the United Nations resolutions, the Security Council refused to allow Iraq to adapt its military manufacturing capabilities to civilian use. Furthermore, it insisted that all factories have to be demolished, a process that is still going on until today (July 1992).

#### **Principle 9**

*The need for handicapped people must be catered for.*

This principle calls for special attention during rebuilding to satisfy the specific needs of those who have become mentally or physically disabled due to the war, and also the need for rehabilitation programmes that eventually would allow the disabled people to function as well as the disability may allow. This principle is well acknowledged in Iraq, partly because most of the visibly disabled are ex-service men, and caring for the disabled is seen as a political commitment towards those who defended the nation. It has been claimed that during 1989-1990, 25 Technical Training Institutions have been altered to make them accessible to

the disabled (Ghazala, 1989)<sup>9</sup>. Still, more effort is needed to providing care, treatment and training for the disabled as well as working opportunities. Additional facilities must also accommodate those suffering from post-war psychological trauma.

#### **Principle 10**

*Reconstruction should be regarded as therapy.*

This principle illustrates that 'It is vital to recognise the therapeutic need to closely involve war survivors in rebuilding activities wherever this is possible. They should be regarded as active participants in the planning and implementation of reconstruction rather than being mere spectators of other's actions'. (Davis, 1989b:33). This issue relates directly to the issue of 'public participation', which has been discussed as part of *Principle 1*. However, it became evident that the authorities and the planners (in the case of both Basrah and Fao) were not aware of the role that participation can play in the therapeutic readjustment of the affected communities. Even if they were aware, the high speed in which they were required to reconstruct made it impossible to involve the people in any degree.

To support this Principle, the Guidelines quote George Atkinson who said 'Too often it happens, especially in poorer countries, that large numbers of able-bodied men stand idle, living on relief, while outsiders get busy on reconstruction. Not only is such a happening demoralising to the able-bodied, but it wastes much needed resources'. (in Davis, 1989b:33).

#### **Principle 11**

*Knowledge needs to be documented and disseminated.*

This principle calls for action in three areas: 1) Education, training and public awareness. 2) Evaluation of reconstruction and dissemination of knowledge. 3) The documentation of survival and coping abilities.

In terms of *education, training and public awareness* at the different issues of post-war reconstruction, Iraq has done very little and reconstruction has always been a predominantly governmental concern; an exclusive task for the government's officials and professionals. There appears to be little or no public knowledge about the research into post-war reconstruction. There is no published literature about post-war reconstruction plans. The impression given is that the government's attitude to research into reconstruction is to consider that it is private. The author believes that more research should be done on developing manpower resources, building materials, supplies and techniques, private sector investment and the general refurbishment of the built environment, due to the trauma of the war and its economic, social and demographic consequences.

Even in institutions of higher education, the fact that there have been a number of wars and urgent needs for reconstruction has hardly affected the education and training programmes offered. In 1989, Dr. Al-Bayati<sup>10</sup> claimed that from the five centres of post-graduate planning studies, in Iraq, there is not one student who is involved in the subject of post-war reconstruction. This failure is mainly due to the lack of encouragement as well as lack of information. The

author asked Ms. Nasreen Ghazala, an architect, from the Council of Technical Institutes, Ministry of Higher Education & Scientific Research, Baghdad, about the role of the architectural and planning students, both undergraduate and post-graduate, in the process of reconstruction<sup>11</sup>. She claimed that:

*"We have enough experienced planners, to conduct the reconstruction process, thus there is no need to bother the architectural students with the problems and constraints of post-war reconstruction"*.

Obviously, there are a lot of obstacles facing any researcher in this field. The most important of which, after lack of encouragement, is the lack of information due to governmental secrecy concerning anything that has to do with the subject. As it is evidenced, during the three field visits to Iraq, it was very difficult to obtain any maps. In order to get them, one has to address a request to the Military Survey Unit and this procedure will take at least three weeks, but it is unlikely to agree to give away maps or aerial views because of security.

It is almost as if the government has something to hide; that decisions about reconstruction like those about the war, are only the province of officials under orders from their political masters. More open encouragement and support should be given to the young researchers, because the first step in solving any problem is to admit its existence and then search for a solution.

Iran, contrary to the Iraqi attitude, has published a vast amount of information and data that has enabled its researchers to proceed with their studies and to develop the policies and programmes of reconstruction, concerned with physical, social and economic issues.

Having said that, a change can be detected in the Iraqi Government's attitude following the 1991 war, when it announced its agreement on the establishment of a Post-war Reconstruction Study Centre at the University of Baghdad, which will undertake research and documentation on the subject. (Al-Zubaidi, 1991)<sup>12</sup>. It is still to be seen whether this is a 'genuine' change.

*Evaluation of reconstruction and dissemination of knowledge* has recently been taken seriously following the reconstruction drives of Basrah and Fao. The evaluation studies that have been carried out and announced during the First International Symposium catered only for efficiency as it is typically understood by a central government, in terms of figures and quantities, rather than qualities and people's reaction to the reconstructed environment. The same symposium has been seen as a tool to disseminate the Iraqi experience as evaluated by the Iraqi officials. Nevertheless, these evaluations produced a number of publications by the Ministry of Culture and Information which documented the reconstruction process. (see bibliography). However, nothing has been done on the documentation of damage, and on research.

Finally, in relation to the last action area of this principle (i.e. documentation of survival and coping abilities), it is very difficult to imagine the government (any government) giving any priority whatsoever to such recording. No matter

how valuable the insight on the way individuals and communities coped or survived the war, it seems to be an area of pure academic interest and anthropological excitement. In fact, the author wonders whether this Guideline should be omitted from the Principle.

### **Summary and Conclusion**

This case study was seen as an opportunity to review the Principles themselves. The conclusions will be grouped under two headings.

- a. *Observations concerning Iraqi centralised reconstruction; and*
- b. *Observations concerning the format and the content of the Guidelines.*

### **Observations concerning post-war reconstruction in Iraq.**

- i. The absence of a national reconstruction strategy following the Iran-Iraq war was the main handicap for the reconstruction effort, resulting in limited reconstruction drives being carried out in two or three cities, mostly serving political aims.
- ii. The closest the Government has been to establish a national strategy was after the 1991 Allied bombardment, in which:
  - Power was given to a Supreme Committee to take and implement urgent decisions needed to remove bottle necks on a national scale.
  - An attempt was made to readjust pre-war development (reconstruction) policies, rather than formulating new ones.
  - National damage assessment was carried out in which each ministry surveyed its own sector, and at the same time estimated their own undamaged resources.
  - Action priorities were drawn.
- iii. The Iraqi case study highlighted the extent to which reconstruction after war can be constrained by international alliances and relations as well as by the continuation of war.
- iv. This case study showed how reconstruction can be used politically and how communities can be manipulated. Reconstruction was far from being comprehensive to tackle social, and economic issues. Instead it was purely physical and symbolic.
- v. The urgent need for an internationally respected philosophy of reconstruction is one of the main conclusions to come out of our study of reconstruction in Iraq. Such a philosophy should define the State's responsibility and the rights of the people.
- vi. The reconstruction campaigns of Basrah and Fao did not have any realistic appreciation of the dynamics of reconstruction. Plans were drawn up in Baghdad, they lacked flexibility and did not allow for feedback.
- vii. The result was total alienation of the local population; their real needs and ambitions were never understood.
- viii. During eight years of war, thinking of and planning for reconstruction was discouraged, mainly because the government did not want to admit damage and destruction.
  - The issues of war-damage and reconstruction were, and probably still are considered highly political and no doubt controversial and can only be addressed and discussed by Iraqi officials.
  - As a consequence the chance was missed of involving the public in discussions over the form and priorities of reconstruction and of having ready plans for implementation following the cease fire, thus delaying the return of the displaced people.
- ix. In Fao no attempt was made to achieve a balance, between retaining some of the city's features and modernising it. The city was totally cleared out by the army; people were not allowed to salvage their belongings, and a totally new, unrecognisable city was built.
- x. The rural settlements surrounding the cities of Basrah and Fao were ignored in reconstruction, an attitude that did not appreciate the fragile link between rural and urban centres.
- xi. The rebuilding of Basrah and Fao is an extreme example of reconstruction by central government. This approach has been basically a reflection of the pre-war planning pattern further reinforced by eight years of war and military rule.
- xii. The organisational pattern of the planning and implementation machinery followed closely what has been identified in Barakat (1993) as Model 5. However, in this case planning decisions were made by the Ministry of Local Government. The task of implementation was shared between different ministries. Although not establishing a specialised ministry for reconstruction, seemed to be a sensible decision, the Iraqi experience lacked co-ordination.
- xiii. However, the response following the 1991 war was totally different, partly because the Ministry of Local Government was bombed and all the records were lost. Although a Reconstruction Supreme Committee was established, the whole Cabinet was announced as a Reconstruction Government and each ministry was ordered to plan and implement its own reconstruction programmes.
- xiv. The 'local' construction industry was not given the chance to develop itself due to ministries stepping in to implement the reconstruction plans.
- xv. Following its war with Iran, Iraq set aside hundreds of millions of dollars for reconstruction that were readily available. This meant that importing machinery, labour and building materials was not an obstacle to achieve reconstruction in 90 days, and we saw the result of that: wastage, top-down approaches, etc. While following the allied bombing in 1991, the lack of



financial resources and the trade embargo meant that the Iraqis had to depend totally on their local labour and building materials: thus debris were carefully cleared and recycled.

xvi. The Iraqi experience was characterised for its overlaid compensations. At the very beginning of the war compensation was given according to the scale of damage, especially in important urban centres such as Baghdad and Basrah. As the war spread and the damage was extended it became more and more difficult to handle such a system of compensation. Thus a standard payment was made, and not to all families.

- This method proved to have its own shortcomings due to inflation and lack of building materials. Very few people invested their money in reconstruction.
- The provision of land in rural areas proved to be the most successful way of compensation.

#### ***Observations on the Reconstruction Principles.***

In this study we have commented on the content of each Principle separately highlighting its value and its shortcomings. However, the following general observations can be made:

i. Obviously there is a case for having a set of reconstruction Guidelines. However it might be more appropriate to have them written in the form of 'recommendations', as 'guidelines' imply that if they

were followed they would produce good results; something that is not certain.

- ii. Somehow, there is a need to distance reconstruction recommendations after natural disasters from those after war.
- iii. Any recommendation have to be based on certain moral principles. In the case of war, this has to be the eventual benefit of the war suffering people. Thus the guidelines should have the courage to spell out this fact. One way of doing that could be by relating the recommendations to already established international human rights and settlement declarations.
- iv. It is important to understand how much of these recommendations are for the sake of the people and how much for the sake of research development.
- v. In general, the set of Principles are too idealistic, especially when it comes to considering reconstruction politics.
- vi. There is a need for a summarised version of these recommendations to be widely disseminated.
- vii. In some aspects of reconstruction, caution should be exercised when it comes to cross-cultural generalisations. For instance, the role of women and people participation in reconstruction.
- viii. There is a need for such Guidelines to be tested in the field and in different countries, in order to highlight those issues that are relevant across countries.

\* *Post-war Reconstruction in Iraq. The case-study of Basrah and Fao by Sultan Barakat. Institute of Advanced Architectural Studies, University of York (Post-war Reconstruction and Development Unit) July 1993.*

<sup>1</sup> *Warsaw may be another exception.*

<sup>2</sup> *From a personal discussion with the author during a meeting in Sofia, November 1989.*

<sup>3</sup> *Chairman of the Centre of Advanced Urban and Regional Planning Studies, at the University of Baghdad.*

<sup>4</sup> *A Senior planner at the Ministry of Local Government, Baghdad. He proposed the structural plan of the new city of Al-Fao, which was selected by the Al-Fao Reconstruction Committee to be carried out in the near future.*

<sup>5</sup> *This was also mentioned in a statement given by Mr. Adnan Salman, The Minister of Local Government, on 20 October 1988, to AL-Jomhoria Iraqi newspaper.*

<sup>6</sup> *Chairman of the Regional and Urban Planning Department, in the Ministry of Local Government, Baghdad.*

<sup>7</sup> *Resident architect at the conservation site in Old Basrah,*

*Ministry of Culture and Information.*

<sup>8</sup> *The Head of the Planning Division at the Governorate of Basrah.*

<sup>9</sup> *Physical disability is the most common followed by hearing disability.*

<sup>10</sup> *Professor at the Department of Architecture at the University of Baghdad.*

<sup>11</sup> *This question was addressed to her at the Second York Workshop, on Settlement Reconstruction after War, 16-18 May 1989. At the Institute of Advanced Architectural Studies, University of York.*

<sup>12</sup> *In a letter addressed to the author, 29 November 1991. Mr. Al-Zubaidi is the General Director of the IDRISI Centre for Engineering Consultancy in Baghdad.*

# Methods of Surveying Dubrovnik's Architectural Heritage\*

Svetislav Vučenović

*'The contents of this paper represent an attempt to put forward systematically, various kinds of experience and their adaptation to the urban entity that is Dubrovnik and the circumstances in which restoration work is being carried out. The views and the recommendations advanced here are tentative and open to suggestions and supplementation. This approach which issues from a collective body of knowledge may well serve the general evolution of practice. Conversely, the practical implementation and testing of the methodological approach will make a contribution to its improvement. This mutual influence as between theoretical principles and operational practice will ensure that experience gained in Dubrovnik constitutes a valuable contribution to our contemporary code of practice dealing with the conservation of our cultural heritage. Dubrovnik's status as an item in the UNESCO Register places this obligation upon us.'*

## 1. Study of archival material

One of the great advantages Dubrovnik has over similar old towns is an abundance of well-preserved archival material both from the period of the Republic and the past two centuries. This inexhaustible source of information about many areas of life, especially about building, demolition and renewal in the city, is enormously important for restoration work because it provides a valuable supplement to field data and findings arrived at by researchers.

Like all other constituent parts of this large-scale project, the study of archival material must serve a double purpose: it should make a scholarly contribution to our knowledge of Dubrovnik's architectural past and also play a practical role in its conservation and renewal. In order to accomplish this dual purpose, the role of archivists, historians and researchers must be adapted to the needs of field work, because applied research is of greatest benefit when it is incorporated into conservation guidelines and projects. It is therefore very important to synchronize archival and field work. Unless this happens, the chance to involve archival material as one of the most vital factors in the evaluation and management of the architectural heritage will diminish or even disappear.

In the context of this comprehensive project for the urban renewal of Dobrovnik, which will extend over a number of years, research into the archives can, and indeed must, play an active part and should be allocated a certain degree of priority. It is therefore essential to set clear goals, to identify the participants, to draw up a timetable and to secure the necessary funds from the resources of the urban renewal campaign which is already under way.

## 2. Technical specification

Adequate, precise and up-to-date technical specification is the basis for all stages of the project, including preliminary research, surveying and the actual execution of the work. In contemporary practice a variety of methods are used, depending on field conditions, the purpose of the project and its application.

In addition to conventional surveying methods, aerial and terrestrial photogrammetry are also used, the former for preparing area maps and maps of settlements, the latter for mapping groups of buildings, elevations, interiors, façades and internal decorative features. In addition to graphic presentations, numerical data on distortion, tilt, sinking and other changes in the original structural geometry may be obtained. Such data are very important in structural stabilization plans, because they provide precise information on the degree of tilt from the vertical alignment and the original floor or structural levels.

In addition to these surveying methods, architectural drawings of the ground plan, façade sections and details based on field sketches and detailed measurements are also widely used.

These methods will be combined in practice and such new ones adopted as the best suited to the specific project. Such a synthesis of methods is most often needed in planning the repair of complex historic buildings -- churches, palaces and fortresses.

In view of the scale and duration of the Dubrovnik restoration project, it would be advantageous to centralize work on technical documentation. This would make it



Fig. 1. The City from the West (Mato Novaković) Dubrovnik

Fig. 2. Arcades of Sponza Palace (Nenad Gattin)



possible to achieve uniform standards, reduce investment and coordinate the work of the experts preparing the documentation and of those using it.

### **3. The preparation of surveys**

Information on the history of the buildings, their structure, the state of repair of the materials, decorative work and the like is collected by means of field analyses of the existing situation. This is usually done in three stages:

*1. Collecting the directly accessible data on the façades or in the interior of the buildings, which will provide a general picture of the state of the building.* This primary evidence will be collected for all buildings regardless of their historic status. The end of this stage consists in determining the problems that have to be studied in depth, for instance by test boring and the removal of more recent layers. This part of the survey is usually conducted jointly on all the buildings covered by the project; the survey may also be undertaken separately for different parts of the city. The data can be used for making inferences on the level of the agglomeration, for preparing graphics on layout drawings and town plans.

*2. Collecting additional data concerning the structure found in the deeper layers, under the plaster, in the structures, foundations, etc; test borings on walls, roof-beams, foundations; identifying the different layers of plaster on the façades and interiors with fragments of mouldings or painted ornament.* These studies are concerned with many problems but are conducted on strictly delimited areas and small samples and resemble laboratory tests rather than tests on a building site. They can therefore be conducted in occupied buildings since they do not interfere with their functioning. This exploratory stage will provide data for conservation guidelines and preliminary sketches.

*3. Complex investigation of the historic building using architectural heritage methods.* This can be undertaken only when the building has been vacated of all its users. It must be organized as a building site on the basis of a detailed plan of exploratory and preliminary work with clearly defined objectives and scope of work. The aim of the exploratory component is to furnish all the relevant data that were inaccessible in the occupied building. The preliminary work will include the removal of sterile layers, fills, subsequent linings and layers of plaster, i.e. all those elements that are no longer needed in the building. These operations may be on a very large scale and require building machinery and the removal of debris. When the historic building has been stripped to its bare structure, it is possible to explore the state of repair of materials, structural stability, deformations and the settling of cracks. The building can now be explored in terms of all the data needed by historians, archaeologists, conservationists, architects, civil engineers, restoration specialists and other experts participating in the project.

This research is aimed at obtaining the following information: a detailed life history of the building; a list of conservation requirements, accompanied if necessary, by graphics; a detailed analysis of the state of repair of the materials and structures with a plan for their restoration; a

detailed description of the planned functions versus the restored historic complex; detailed conservation guidelines and requirements, which will be used in preparing the master plans for restoration and conversion.

### **4. Conservation guidelines (requirements)**

The Agency for the Protection of the Cultural and Natural Heritage of Dubrovnik is responsible for defining the conservation guidelines (requirements) for restoration work on protected properties and historic complexes.

In keeping with legal regulations, conservation methods and established practice, the guidelines are issued after the completion of surveys which include the following: archival material, sources and literature; the preparation of technical documentation (with a full photographic record) about the state of repair of the building; the history of the building including the original design and the subsequent alterations; a study of the building's traditional use versus its planned use; specifications and constraints for the incorporation of seismic and other types of reinforcement; interior and exterior architecture; other questions relating to the features of the historic structure, its state of repair and the renewal programme.

The comprehensiveness and degree of detail in the conservation specification depend on the accessibility of the property concerned. The best situation for comprehensive and detailed exploration of the building will be created if it is vacated by all its occupants.

However, it frequently happens in practice that the resettlement (temporary or permanent) of the occupants can be carried out only a short time before the start of the actual restoration work, due to difficulties in settling property rights and legal considerations, financial and technical reasons and other obstacles which crop up in the course of the work. In such a situation, the investigation and preliminary work for the survey and conservation specifications will have to be done in several stages. The first (with the occupants still in the building) may include partial exploration, which will serve as a basis for the general outline of conservation specifications. This second stage will be undertaken in the empty building and will include all the elements described earlier.

The circumstances in which the investigations for preparing the survey are carried out may lead to misunderstandings. Clients or their agents expect the conservation specifications to be prepared on time and in definitive form regardless of whether or not the building is accessible to the surveyors. These unreasonable expectations may be avoided by specifying in the preliminary guidelines whether the building is to be partially or totally evacuated before the survey is undertaken.

In view of the current practice and attitudes of the responsible authorities in Dubrovnik, it is reasonable to expect that surveys will have to be carried out in two stages in most buildings. In this case the following rule will apply: the conservation requirements resulting from the first stage of the survey will be used for preparing preliminary

restoration and renewal plans; in preparing master plans conservation requirements based on a revision of the preliminary scheme will be used. The issue of detailed requirements must be preceded by a thorough survey of the unoccupied premises; whether it will be vacated immediately and totally or whether the survey will be carried out in stages depends on the type of problem presented by the building itself. The final decision on this rests with the Agency for the Protection of the Cultural and Natural Heritage of Dubrovnik, which will base it on the findings and opinions of the responsible surveyors.

Practical experience in restoration work in many cities similar to Dubrovnik would suggest the following: conservation guidelines are the prerequisite for the conservation project documents. Attempts on the part of some participants in the renewal project to postpone part of the exploration work necessary for the surveys and carry it out when the investment documents have already been completed and the actual restoration work is under way should be eliminated from practice. They lead to clashes among various interested parties, unnecessary delays in the execution of the work and may put at risk the historic

characteristics of the property. Once the investment process has got under way, only those sites that could not be researched without construction plans because of their location (great depth, archaeological finds, overburden in the form of large amounts of building material, etc.) will remain to be opened up. To these should be added unexpected finds in the subsoil or the debris, soil profiles in open pits, movable fittings, etc.

As is generally the case in restoration work on historic monuments, the research function and supervision by conservators will continue until the completion of the project. It therefore follows that some of the conservation specifications may be changed while the work is under way. The changes will depend on the type and importance of new findings which in their turn will be fewer in number and will have a lesser influence on the development of the work if all the necessary research was done before the preparation of the project plans. There have been cases in current practice in which the procedure went the other way round: the master plans, including those for structural stabilisation, were prepared for premises which were still fully occupied, and before a thorough survey had been

*Fig. 3. The Fortress of Lovrjenac (Nenad Gattin)*





*Fig. 4. (Nenad Gattin)*

carried out. The haste involved here produces a very real risk that the realisation of the true state of affairs may require changes in the plan of operations. It is even quite possible that the amount of new data will be such as to impose the need for a new plan. Seismic reinforcement is a case in point, because the depth and width of the footings, subsoil composition, creaks and decaying walls are discovered only when work on the repair of the building has already begun. New data on the origins of the building, its original architecture and ornamentation will inevitably appear, imposing their own requirements.

In the technological sequence of procedures in a historic monument, the preparation of conservation requirements has a well defined place and role. Any deviation from conventional and established methods at the very beginning of the project will hamper and delay the later stages of the project. It is therefore in the best interests of all the parties concerned that a detailed survey be carried out at a stage and on a scale indicated by the project as a whole and not when it suits individual participants.

## 5. Conservation requirements for works on protected historic buildings

### I SURVEY

1. *History of the Building*  
Historical data on construction. Investors. Contractors. Architectural style. Original design. Construction stages. Typological characteristics. Analogies.
2. *Design*  
Layout. Location within the town. Neighbouring buildings. Orientation.  
Ensemble. Main building, adjoining buildings. Courtyard, garden, grounds.  
Number of floors. Layout of premises. Communication.
3. *Use*  
Original use. Later uses.  
Current use. Layout by floors.  
Services. Surviving part of old services. Cistern. Drinking water.
4. *Materials - Structures*  
Loadbearing walls. Joists. Vaults. Roof. Staircase.  
Wear of the materials. Causes of decay.  
Weak and damaged structures. Deformations, cracks, crumbling.
5. *Interior*  
Interior finish. Floors, walls, ceilings, vaults.  
Surviving stylistic features or their fragments.  
Possible existence of original finishes underneath later layers.
6. *Exterior*  
Layout of façades. Shape of apertures. Masonry techniques. Mouldings.  
Changes of the original design. New openings.  
Plastering. Roofing. Eaves. Stone gutters. Old chimneys.
7. *Surroundings*  
Courtyard. Paving. Well-heads.  
Garden Pergolas. Mature trees. Shrubbery.  
Natural soil. Rocks. Wild growth.
8. *Documents*  
Archival data. Basic literature.  
Survey. Photographs.  
Plans. Construction records.

### II CONSERVATION

1. *Evaluation*  
Cultural and historical significance. Architectural qualities.  
Features detracting from the value of the structure.  
Categorization: cultural monument, a stylistic and ambiental complex.
2. *Project Schedule*  
Characteristics and features of the complex that have to be permanently protected.  
Inferior conversions to be removed.  
Reconstruction work, if any.
3. *Conversion*  
Spatial possibilities of use. Suitable uses. Permitted scope of alterations in the interior layout.  
Requirements and constraints.
4. *Repair*  
Old structures that have to be preserved. Reinforcement.  
Conservation and renewal of building materials.  
Insulation.  
Seismic strengthening requirements.
5. *Restoration of the interior*  
Stylistic features that have to be conserved.  
Elements of the interior that have to be preserved.  
Restoration specifications.
6. *Restoration of Façades*  
Original patterns and elements that have to be preserved.  
Removal of inferior conversions and recent apertures.  
Discovery and repair of period architectural features.
7. *Area arrangement*  
Ambiental characteristics that have to be conserved.  
Inferior adjuncts that have to be demolished.  
Possible interventions in the surrounding area and vacant sites.
8. *Works schedule*  
Research: field, archival.  
Survey, photographs.  
Design stages.

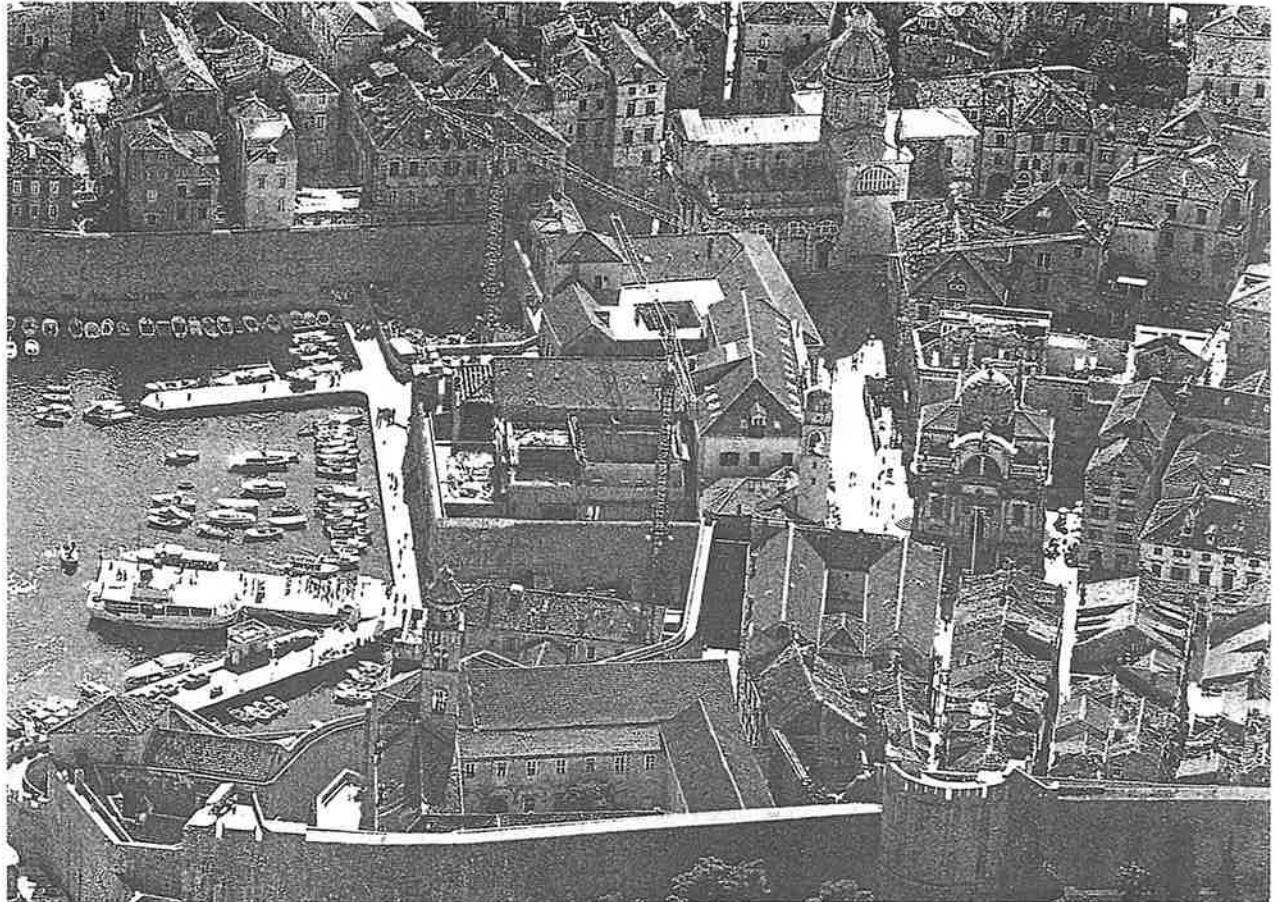


Fig. 5. The eastern part of city from the harbour (Kresimir Tadic)

## 6. Principles of conservation

The preparation of conservation specifications involves many issues and problems. Out of this long list we propose to describe the most complex and frequent tasks facing the conservator: traditional architecture versus modern uses; ancient stone structures and modern repair methods; ways of preventing dampness in historic buildings; conservation of stone façades; roofing materials, etc.

By comparing and analyzing various approaches and procedures, the conservator will arrive at methods that are best suited to the specific characteristics of the architectural heritage. Conservation practice in Dubrovnik has reached a high professional level in some area, while in others better solutions must be found. A valuable help in this search is the positive and negative experience gained in other, similar projects, for it is by identifying the pitfalls of an undertaking that we can best avoid them. This is why we propose to pay special attention to the latter here.

### *Conversion*

The comprehensive urban renewal scheme now under way in Dubrovnik includes not only the restoration and repair of properties, but also changes in their use, a re-organization of the available space and the modernization of services.

Under the provisions of the implementational town plan, many buildings will be used for a different purpose; there will also be a change in residential versus commercial use.

In many buildings, especially older ones, the original layout has suffered many alterations in the course of time. With changing ownership or tenancy, reconstructions were undertaken that altered, damaged or destroyed the original layout and interior architecture. Major social and demographic changes led to the division of original family houses into flats and of major public complexes into anonymous units.

One of the essential questions that arises in the context of architectural heritage conservation is whether historic buildings should be handed over to their future users in their present-day shape with the necessary adjustments to modern standards or whether they should be restored, as far as possible, to their original style. The answer to this question will significantly influence the objectives and programmes of the project.

What happens in practice is that projections of future solutions are often based on the existing situation, the one that everyone can see and not on the original architecture, which can be discovered only through research. Preliminary sketches, feasibility studies and other documents thus clash with potential solutions and the original architecture that emerges from research. In order to avoid this clash between the planned use and traditional use of the premises, as well as misunderstandings among participants in the project, the question of future uses should be subjected to the same procedure as all the other elements of the project. This means in practical terms that the implementational town



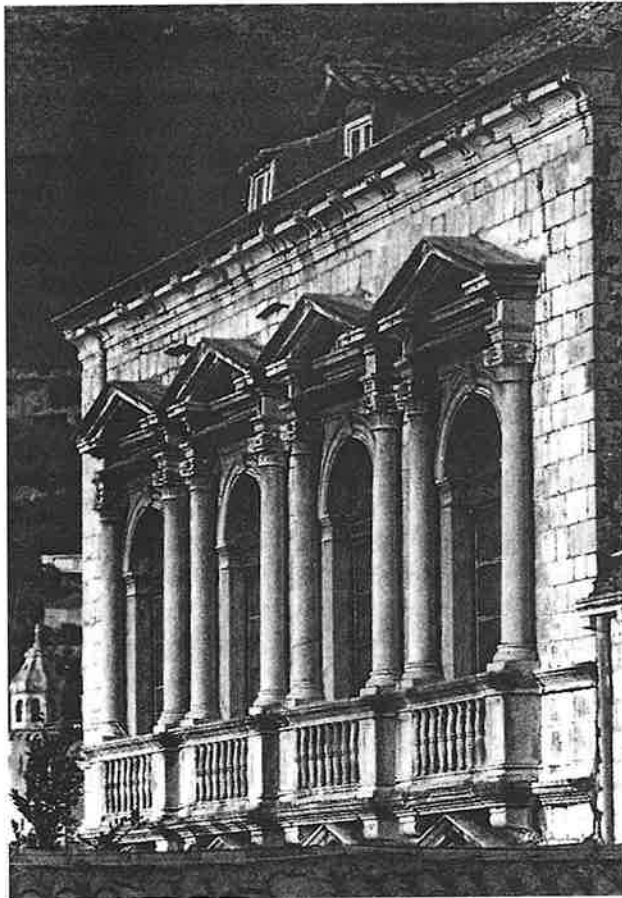


Fig. 6. (Nenad Gattin)



Fig. 7. (Nenad Gattin)

plan and investment studies should include the proposed use which will be approved or rejected after the necessary research has been carried out. In buildings of lesser historic value and in those which are simpler or chronologically more uniform, the initial ideas and final solutions may be identical or only slightly different. But in architecturally complex and very old buildings the differences may be so major that tentative schemes for future functions must ultimately be abandoned.

In order to obtain reliable answers to these questions the final restoration and repair plan must be preceded by careful studies of the building's history — its original architecture and subsequent alterations, some of which may be deemed worthy of protection. In buildings showing different architectural styles, a compromise solution which will not discriminate against particular periods will be sought. These studies should not be burdened with the preconceived idea of a proposed use but must be guided by independent criteria. A solution based on the proper balance between historical considerations and modern use will be beneficial for all parties concerned. This is the only acceptable formula for active protection of the architectural heritage, in which revitalization means much more than merely functionalism, because it fully rehabilitates the historical message and the architectural merit of the inherited buildings.

It goes without saying that this correct approach is often hampered by various obstacles, the most serious of which are ownership rights and leases and the oversimplified schemes adopted by investors. This is often compounded by lack of an adequate research effort on the part of some planners, whose solutions are nothing more than correct routine.

It is the established practices in Yugoslavia to entrust the responsible authorities with working out the conservation guidelines and to commission the technical and financial documentation from a registered consulting firm. However, experience gained in restoration projects elsewhere indicates the need for a different procedure, especially when complex historic buildings are involved. In such cases the project should start with plans for the restoration of historic architecture based on results of relevant studies and regardless of any proposed uses. It is only when conservation requirements and specifications have been prepared that the use of the building can be decided on. Project documentation produced in this way would fully reflect conservation requirements and could be used as the basis for further planning.

The next stage in planning is the examination of the restored building and its possible uses. At the preliminary design stage alternative potential functions are examined. The layout for the chosen function is designed at the master plan stage; however, when the proposed use involves complex technological solutions, alternative uses are proposed in preliminary design.

This procedure is more comprehensive and gradual, but, on the other hand, less subject to contradictions that

may slow down the work or lead to the rejection of the originally planned uses. In this conception the plan for the restoration of the architectural heritage plays a major role, because it forms the bridge between historians and conservators on the one hand and town planners and architects on the other. The importance and complexity of the architectural heritage makes the interaction and team work of many experts a necessity; indeed, it is only through team work that satisfactory results may be achieved. In such a formula, the results of preliminary research are expressed in the project and vice versa -- work on the project is at the same time on-going research.

### ***Structural repair***

Traditional structures made of stone are an integral part of the architectural heritage. Consequently, one of the basic requirements in projects involving the strengthening of historic buildings is the conservation of ancient structures, materials and technologies that reflect the experience and craftsmanship of old builders.

A considerable degree of reinforcement may be achieved by using original materials and techniques, in which the old elements are replaced by new ones, or by grouting damaged massive walls and vaults, replacing wooden joists, etc. Numerous examples of old stone-built houses show that buildings with sound structures can withstand earthquakes although they do not have seismic reinforcement, for instance tie beams or other types of strengthening available in modern building technology. Buildings in Dubrovnik which were repaired after the big earthquake of 1667 with iron anchors, by means of which the wooden joists were secured to thick walls, were thus given greater stability. At the same time, adjacent buildings with dilapidated structures and materials suffered damage or were even partially destroyed by the same seismic shocks. The same situation is found in other towns affected by earthquakes along the Adriatic coast. This shows that old stone buildings do not suffer damage in an earthquake mainly because of the way they were built but because of the dilapidated state of the materials and structures or because of soft subsoil. The passage of centuries and long-term exposure to the activity of various agents weaken the binding materials and structures. By contrast, some historic builds have shown an exceptional 'inherent' resistance to earthquakes, having withstood several earthquakes without suffering major damage. Dubrovnik has a number of such buildings including very valuable medieval and Renaissance complexes — monasteries, palaces, houses, parts of fortifications, etc.

This phenomenon has not received the attention it deserves. Questions about the resistance of conventional materials and structures to earthquake activity therefore remain without scientifically researched answers. The statics of historic buildings, a discipline that would fill many gaps in our knowledge and prevent many errors in conservation work, has been neglected by scientists and civil engineers alike. Dubrovnik offers an excellent opportunity for systematic research into historic structures, their classification, computerized model analysis, etc., because it

has a large number of buildings dating from a wide range of architectural periods. The wealth of archival material makes it possible to study traditional building methods and techniques, while the repair work that is now under way provides a clinical picture of their application. This approach would produce benefits for theory and practice. Research into the history of structures would fill the considerable gaps that still exist in our knowledge about this feature of the architectural heritage. Findings based on a comparative analysis of many old buildings could be used as criteria for the strengthening of old stone structures. In such a context, the incorporation of new reinforced concrete elements would be reduced to the absolutely necessary minimum, i.e. it would be resorted to only in cases when the necessary resistance cannot be achieved by restoring the structural components to their original stability. There is a big difference in the same materials between the 'lower' resistance threshold of the old structure and the 'upper' threshold that can be achieved through restoration work. Although this can be observed in many buildings affected by the 1979 earthquake, many states stabilization plans prepared in the past few years disregard this fact. They place the main emphasis on new elements, which are often too heavy, bulky and difficult to build with. By repairing the original structures in the old buildings, the use of new structures could be reduced to the indispensable minimum. Examples of an erroneous approach to restoration work in areas outside Dubrovnik and the possibility that the same mistakes could be repeated in Dubrovnik show that we might be in the apparently paradoxical situation of having to protect historic buildings from excessive protection against earthquakes. It has to be emphasized that old structures are not only there to bear loads, but are also transmitters of building experience and of traditional crafts — they are, in fact, archives in stone. Architectural heritage conservation must therefore aim above all at developing and applying specific methods which will safeguard this function, such methods as will simultaneously retain the building's historical integrity and renew or improve its physical stability. Otherwise, measures designed solely to improve a building's stability may rob it of those features that constitute its historical interest. This would call into question the basic purpose of such work, which is to prolong the life of buildings as historic monuments and not their mere physical survival.

A comparative analysis of methods currently used in repairing historic buildings shows considerable differences in the approach to the architectural heritage threatened by seismic activity.

### ***Seismic reinforcement methods***

Among the methods used for the strengthening of historic stone buildings, the employment of reinforced gunite is the most questionable. It is usually applied as lining to one or both sides of a wall with clamps running through the entire thickness of the wall. Acting as a kind of steel-concrete cage, it completely blocks the load-bearing walls with their architectural features such as doorways, cornices, cantilevers, niches and sometimes painted decoration. The



Fig. 8. (Tomislav Kralj)

increased thickness of the walls upsets the equilibrium of the wall surfaces and other elements, some of which are inevitably destroyed in the process. Moreover, the reinforced gunite method is incompatible with the principle of reversibility, i.e. the possibility of removing the built-in reinforcement should the development of building techniques make it possible to strengthen the building by means of more suitable procedures.

Another method of repairing damaged buildings was widely resorted to after the 1979 earthquake in Montenegro. It consists in forming a reinforced concrete skeleton with joists, which are built into the body of the building, from which all partition walls and wooden joists have been removed. The element causing considerable difficulties and negative effects in this procedure is the corner column, i.e., the vertical tie beam. In order to build it in, a section of the wall larger than the beam itself must be pulled down at the corners, where the stone wall with its dove-tailed blocks is strongest.

A method by which these drawbacks can be avoided uses the following arrangement of reinforced concrete elements: reinforced concrete walls are built into the location of the previous, partition walls (or thereabouts), along the axis of the building; together with the joists and the tie beams they form a rigid structure to which load-bearing walls are anchored. The old stone structure and the new reinforced concrete element are connected by means of partially buried tie beams and steel clamps which sear the façades. The old structures are strengthened by grouting,

sealing of the damaged sections or partial reconstruction.

In the procedure described above, the new elements are aligned along the partition walls rather than the loadbearing walls. In this way, the thick main walls and all architectural features are left intact. The old and new structures are jointed in the same places as originally: at the joist level and along the partition wall lines. This reduces to the minimum the need for making junction slits. The method also makes it possible to find flexible solutions for the internal layout, taking into account both the original architecture of the building and its new use.

This method also recommends itself from the point of view of civil engineering physics and hygienic facilities. Instead of using a stone core packed in gunite, a reinforced concrete partition may be lined with composite materials in order to improve acoustic and heat proofing. Moreover, there is no need for a concrete lining on the internal side of the front walls, which tends to impair air circulation and increase condensation.

This method was successfully used in several buildings damaged by earthquake in Slovenia and Montenegro. Its comparative advantages should be tested in the Dubrovnik area, so that it may be further improved and more widely used.

A technique known from technical literature and extensively used in a number of countries consists of the following: by means of drilling bits, walls are drilled through the centre in parallel with the external plane and at various

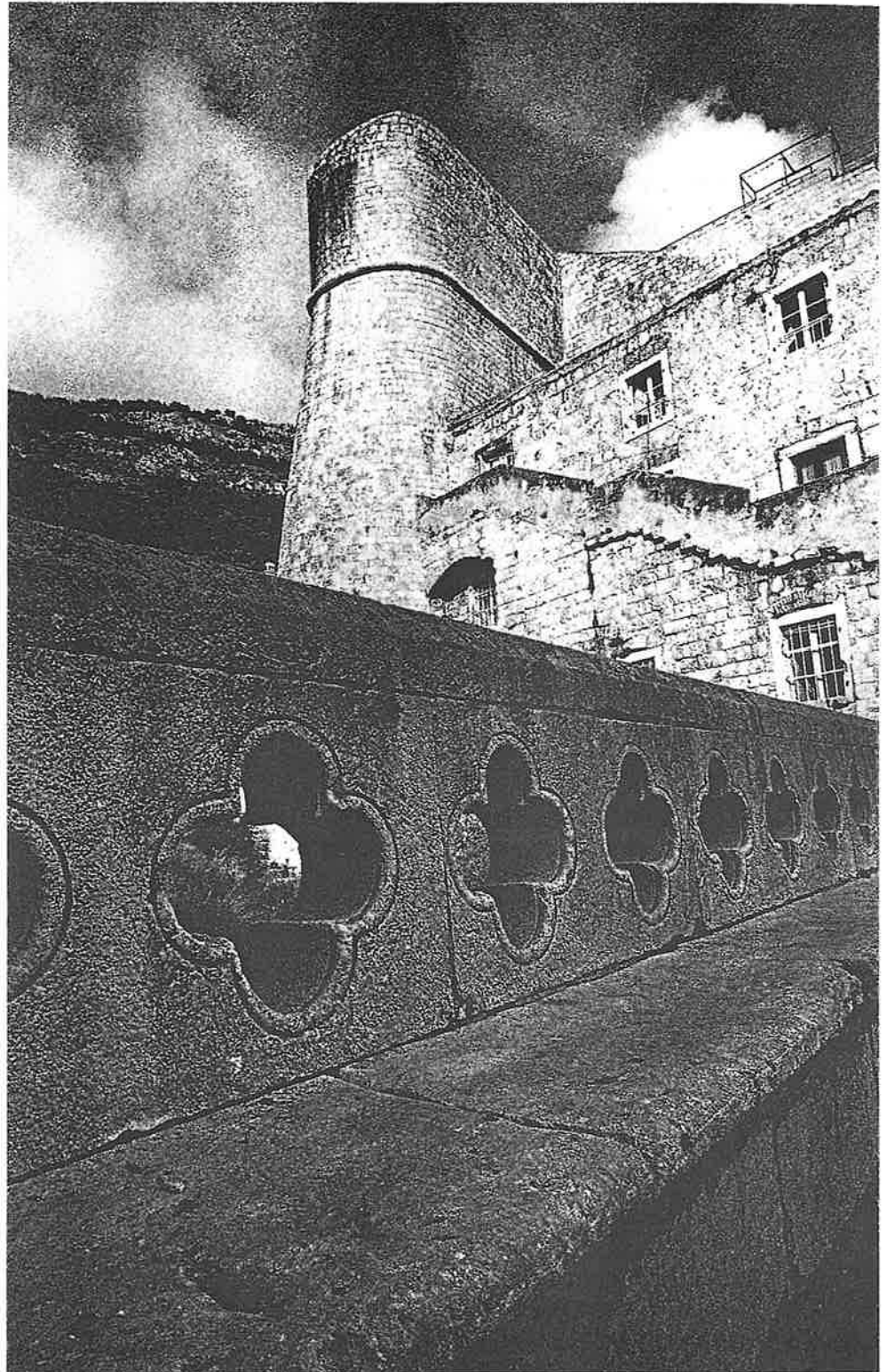


Fig. 9. (Knut Vibe Rheymer)

angles. Steel rods are then inserted into the internal grid obtained in this way and the reinforcement is completed by grouting. The advantage of this system of internal tie-beams is that it does not cause any external damage or loosening. The only visible traces of the operation are round holes several centimetres in diameter on the lateral surfaces of the opening. Moreover, it is ideally adapted to traditional characteristics of historic buildings and the specific requirements of their conservation. It effectively strengthens old structures, while reinforcing and grouting increases their

seismic resistance; the strengthening is carried out in the core rather than on the surface of the walls, so that all the visible interior masonry is preserved; as distinct from aggressive repair techniques, the old walls are not damaged in any way. The technique is most easily applied in buildings with apertures separated by columns, and hence is resistant to seismic shock.

The method described above deserves to be studied, adopted and more widely used in this country. If it is subject to patent rights or any other constraints, this should not be

considered an obstacle in those cases in which it is the method of choice both in terms of strengthening and conservation. As in other problem areas in which the latest scientific and technological solutions are essential, UNESCO and its specialized agencies are a valuable help. The number and complexity of operations which the restoration of Dubrovnik's cultural monuments will involve, imposes the need for the widest possible range of solutions judiciously selected on the basis of practical experience.

### ***Damp-proofing***

All buildings in Dubrovnik are exposed to the effect of various forms of damp and many of them have suffered damage under its influence. This is especially true of the ground floors of buildings in the lowest lying parts of the city.

Damp acts in various ways, its most frequent occurrence being capillary action or seepage, in which damp penetrates from the subsoil into the ground level section of the walls and into pavements, which are not normally protected by horizontal insulation. The level which it reaches and which is more or less uniform depends on the saturation of the subsoil, the composition of the building material, evaporation rate, and similar factors. Damp in the ground level walls and floors makes the premises unhygienic and ill-suited for use, particularly for permanent habitation. This can be remedied by horizontal, multi-layer proofing laid under the floors, i.e. by established damp-proofing techniques. Proofing the stone wall footings of old buildings against damp is a much more demanding task. A number of methods have been evolved by trial and error, each having some advantages and limitations, either technical or financial. The electroosmotic method uses the current between two electrodes (active and passive method); another method involves the forming of water-repellent zones by injecting solutions of suitable substances. A more radical method is based on drilling holes into thick walls and filling them with a mixture of hard and totally impervious aggregates and synthetic resins. An earlier method consisted in sawing through the walls and inserting overlapping lead sheets. All these methods are aimed at preventing the water column from rising. In cases where it is impossible to eliminate the cause of dampness in the walls, the aim of the proofing is to reduce its effect on the premises. This is done by erecting thin walls separated from the main wall by a narrow gap ventilated through openings at the top and bottom of the wall.

Another widespread form of damp in old buildings is caused by the condensation of water vapour in an enclosed space when it comes into contact with the colder wall, floor and roof surfaces. Unlike capillary damp, it is found at all levels in the building, for instance in the winter on top floors under flat terraces. It is especially common in buildings with massive structures, which get very cold in the winter and then gradually warm up in the spring. This leads to a phenomenon called thermal inertia. When warmer, moisture-saturated air penetrates into such buildings, condensation takes place. This happens even when the premises, particularly those in the basement, are

continuously used.

Damp-proofing can be achieved by preventing the cooling of floors and walls through good insulation. Since this cannot be done by insulating the external walls in old buildings, internal linings or thin counter-walls can be used: the resulting interspaces act as thermal buffers. Thermal insulation of the floors is done by placing insulation materials between the layers of damp-proofing. Another method uses air chambers made of hollow bricks, placed under the top floor layer.

In complicated cases when it is important to preserve the original appearance of the interior and when no linings can be used, condensation may be prevented by using panel floor heating and by creating a stream of warm air along the bottom of massive walls. This has been used in other countries to insulate churches which are protected as historic monuments and are at the same time used from time to time for congregations at services or groups of visitors.

Dampness caused by multiple factors is not uncommon.

A concomitant of dampness and drying out of walls is the crystallization of salt solutions on wall surfaces, a direct consequence of which are salt deposits on stone surfaces (saltpetre) or the crumbling of the plaster lining.

The increasing emission of gases from boiler rooms, vehicles, ships, district-heating plants and industry, all of which use fossil fuels, has a highly destructive effect on old stone buildings. In contact with atmospheric humidity and precipitation, acid solutions are formed, many of which are sulphur based. The resulting chemical processes may lead to the transformation of solid lime-stone into a gypsumlike material subject to total disintegration.

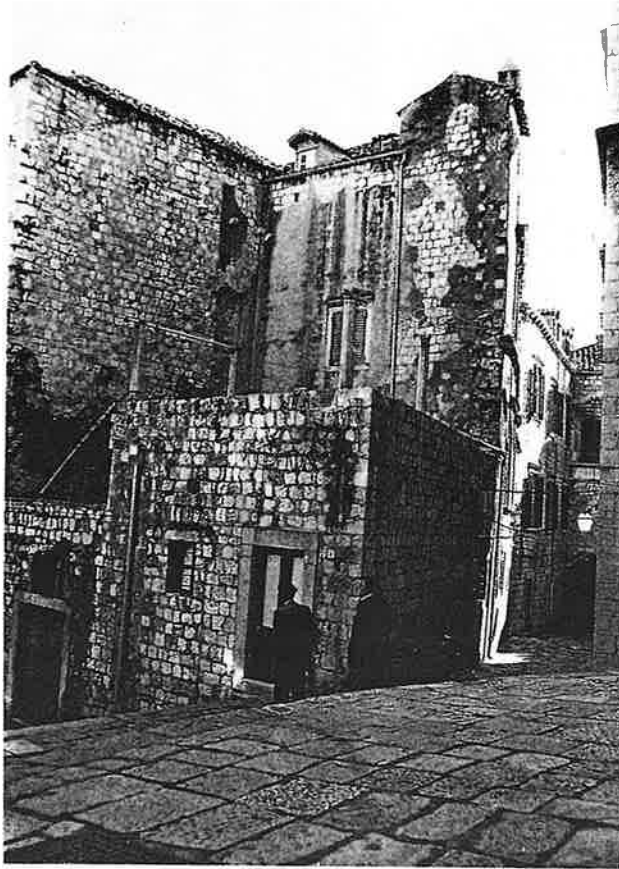
The old city of Dubrovnik does not have a serious smog problem except in the parts of the town near the harbour, along the main transit roads and in the industrial zone.

Today a wide range of methods are currently used to combat damp and protect historic buildings from its destructive activity. Unlike the established and sometimes widely publicized commercial methods, scientific procedures are based on precise humidity measurements and the determination of the causes and mechanism of damp. Unless damp-proofing is preceded by a diagnosis obtained in this way, it may be a waste of money and even produce a higher degree of damp in the building.

These complex problems could be successfully tackled with the help of a research institution which would be entrusted with studying the buildings, designing the appropriate methods and supervising their application. International help can be obtained through UNESCO and well-known international research institutions specializing in damp-proofing techniques.

### ***Façade conservation***

The stone fronts of Dubrovnik's historic buildings bear witness to the supreme craftsmanship of old builders, stonemasons and sculptors. Built in the course of many centuries,



*Fig. 10. (Tomislav Kralj)*

they include uniquely beautiful specimens of Early Romanesque, High Romanesque, Floral Gothic, Renaissance and Baroque architecture.

Most historic buildings of Dubrovnik have retained their original façades. When reconstructions were undertaken, they were carried out in the interior of the buildings or in the ground level premises converted into commercial premises or workshops. The upper parts of Dubrovnik's façades, especially the main and public premises, embody a wide range of data on building and masonry techniques. In addition to the main and more obvious stylistic characteristics, they reveal many less conspicuous features of the period in which they were built. This is especially true of remnants of medieval architecture which have suffered major damage on a number of occasions, and of later rustic buildings.

It is to this multitude of minor, anonymous data, which is the only basis for reliable conclusions about period architecture, that special attention should be paid in conservation work, for it is the most liable to be lost in reconstruction and repair. It includes boundaries between the different stages in construction, segments of architectural openings or their outlines, re-used fragments of stone ornaments, etc.

Another source of information about building techniques is the fashioning of building blocks and types of mortar joints between stone blocks. Traces of stonemasons' tools on façades and the shapes of joints constitute important, sometimes the only information about the style and age of the building. It is therefore essential to prevent the loss of

this kind of data in the course of reconstruction work. Many reconstruction plans include instructions to remove old joints and put in new ones. This is done even when there is no technical need to replace the old materials in the joints. Several valuable features are lost in the process: the authenticity of the original joints, the fusion of two related materials (stone and lime mortar), the unreproducible pattern of the old joints, which reveals the 'handwriting' of the builder and of various stylistic periods. The completely renewed joints of cement mortar commonly found today are the ready-made product of routine work and not only lack visual originality but are technically unsuitable.

Another pitfall that should be avoided is the removal of the surface layer by means of mechanical procedures, chemical solutions, sand blasting and other methods aimed at 'freshening' old discoloured façades. The result of this kind of restoration is irreversible — it destroys irrevocably valuable architectural characteristics and the data for the attribution of the building. Moreover, the removal of surface calcite and the crushing of stone crystals opens the way to the effect of water, frost, microorganisms, sea salt, etc. The only acceptable way of cleaning old buildings is washing the walls, using natural-fibre brushes.

In order to get durable, strong and authentic-looking joints it is necessary to use proper formulas and traditional experience. Today people all too readily resort to cement as an universally applicable ingredient in all stages of construction, from the foundations and structure to plastering and bonding. In addition to this industrial product, slaked lime is increasingly used as a building material not only for new structures but also for the repair of old buildings. Cement mortar is unsuitable for historic buildings especially for monuments because its hardness and brittleness make it incompatible with the physical properties of stone walls laid with lime mortar. Owing to the uneven thermodynamic activity of the different materials, joints begin to crack, thus becoming open to moisture and other detrimental influences. The stronger the mortar, the more pronounced are the negative effects. Slaked lime loses water rapidly, as a result of which the process of chemical binding is not completed and the mortar subsequently deteriorates rapidly. When on top of this, sea sand insufficiently washed free of salt is added as aggregate, the result is hygroscopic action (a permanent deficiency of façade plaster and bondings), the formation of blotches, surface erosion, etc.

What is more, such mixtures and building techniques are unacceptable in restoration work for aesthetic reasons. The dark grey tones of cement joints clash with the warm ochres and light greys of old stone walls. The mistaken and naive belief that joints prevent the penetration of atmospheric water into thick walls induces contractors to use flush mortar bonding, thus covering the joints between the stone blocks. This ruins the old ashlar, in which joints are so fine that only a very narrow face is exposed to atmospheric influence. After the application of this crude technique, even the most finely executed facing assumes a rustic appearance. The dark joints of mortar cement cannot be removed without severely damaging the ashlar, defacing its edges and smooth



Fig. 11. (Damir Fabijanic)

borders.

Successful restoration of historic façades can be carried out if traditional building techniques are combined with laboratory and site testing. This will involve the study of old, long forgotten or abandoned formulas, the use of traditional materials such as quicklime, aggregates of limestone purged of dust and other impurities, correct dosing, use and maintenance of humidity in mortar during initial binding, the shaping of joints according to patterns used by old masters, etc. All these are elements of a technological procedure adapted to the characteristics of historic buildings and the requirements of modern architectural conservation.

The scope of the work to be undertaken in Dubrovnik and the high level of expertise and professionalism it demands imposes the need for extensive research and preparations. Assistance from a number of research institutions from Yugoslavia and other countries should be

obtained in order to find the most suitable techniques and materials. Routine solutions with their possibly undesirable consequences should be avoided by engaging an institution specializing in façade restoration and entrusting it with the preparation, materials testing and supervision of the project. The experience gained in the process could then be used in restoration work on similar buildings.

#### **Roof restoration**

The old city of Dubrovnik can be seen from various points and angles such as from the sea, the access roads, city walls and other locations. These panoramic views of the city present a 'fifth façade' — the numerous house roofs, between which the spectator can see the cloister gardens and the stone-paved squares and streets. Dubrovnik's roofs come in all shapes and sizes and are most often covered with pantile, generally of the old pre-industrial type with a whole range of colours. The soft,



*Fig. 12. (Damir Fabijanic)*

irregular lines of the eaves and roofs are broken by attic windows and small loft openings. Many buildings have old chimneys with wide cowls shielding them from the wind. The subtle variety of tones ranging from light ochre to dark red with greenish-grey layers of algae on the pantiles produces a colour pattern that only a long passage of time can create.

This picture will change considerably when the repair work now under way is finished. The flexible and irregular lines of the roofs and eaves are now being replaced by sharper and more regular geometric shapes. Instead of the old tiles, new, mass-produced ones are being used, all of identical shape and colour. A number of old chimneys and small openings on the house tops will disappear. A concomitant of the improved repair of the buildings will be a uniform and dull appearance of their roofing. Although repair work on the roofs is indispensable, it should not

claim as its victim the visual quality of the whole, the freshness of detail and the rich tones of burnt ochre found in the pantiles.

Instead of being written off by a one-sided decision, the old tiles could be carefully taken down and sorted to be used again either on the same roof or on other buildings. In the course of the next few years Dubrovnik will be a large building site, which warrants the employment of manufactures who would be willing to make roofing materials to order using old shapes and colour patterns. The cooperation between those responsible for the restoration project and tile manufacturers could considerably reduce the drastic changes in the shape and colour of Dubrovnik's roofs.

In view of the current narrow range of building materials and the total absence of any effort to manufacture materials for the restoration of old houses and towns, this need stands



little chance of being met.

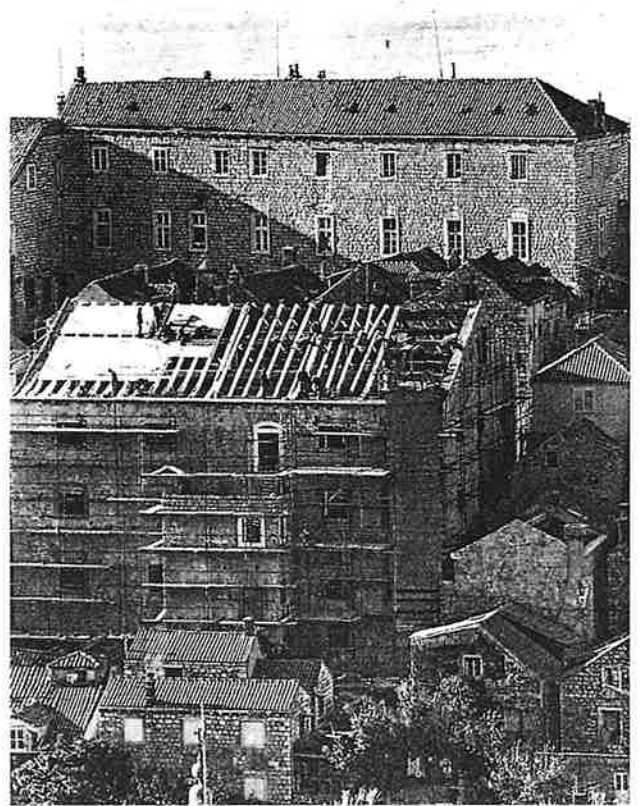
However, the large scale of the project and the expected volume of orders may incentive for finding partners among building materials manufacturers.

If a supply of handmade pantiles is ensured, old tiles may be used for the upper courses and new tiles for the lower courses. This would satisfy both technical and aesthetic criteria, i.e. make the roofs impervious to rain and preserve their polytonality.

This undertaking must be carried out at a municipal level without regard to individual investors or contractors. Since the project is already under way, a comparison of the appearance of the roofs before and after repair confirms the need to protect and preserve the original design of Dubrovnik's roof tops, for it is an inescapable part of the overall picture of that unique city.

\* This article was prepared in 1985 as a discussion paper for a meeting of the professional advisory committee for the renovation of Dubrovnik.

This article was first published in *The Restoration of Dubrovnik 1979-1989*, Zagreb 1990.



*Fig. 13. (Damir Fabijanic)*

**RESTORATION AND DEVELOPMENT IN  
WORLD HERITAGE SITES**



## The Historic Centre of Mexico City





# The Historic Centre of Mexico City

## Introduction

*Jorge Gamboa de Buen*

The Historic Centre of Mexico City is one of the most important in the world. Its size and magnificent buildings, streets and squares endow it with significant historic value.

The first perimeter of the Historic Centre, Perimeter "A," encloses the 3.2 square kilometres occupied by the pre-Hispanic city and its viceregal extensions until the War of Independence. The second perimeter, Perimeter "B," encloses 5.9 square kilometres that correspond to the city's expansion up to the end of the nineteenth century.

Approximately 1,500 buildings have been classified within perimeter "A" by the National Anthropology and History Institute and the National Institute of Fine Arts. Both perimeters encircle the "Zone of Historic Monuments" declared by Presidential Decree on April 11, 1980, and the "World Heritage Site" declared by UNESCO on December 18, 1987.

In spite of all these institutional protection measures, the Historic Centre of Mexico City deteriorated rapidly throughout the 1980s. There were many causes for this, some dating back to the turn of the century.

As Mexico City expanded, higher income families and the area's most lucrative and productive stores and business offices slowly left the downtown area and moved to the new neighbourhoods and suburbs that offered superior infrastructure, better living conditions and in general a more "modern" environment. Lower income families and businesses of lesser quality took over the premises that were left behind. This accelerated the area's deterioration. The stately old houses, many of them as large as palaces, had to be subdivided into small apartments or even rooms to accommodate new tenants, and this destroyed the original spaces. Dining rooms, porticos and even courtyards were occupied and lived in. The structures were overloaded with new walls.

The commercial establishments that replaced the city's finest shops earn most of their profits from high volume retail sales of inexpensive products. They cater to an ever-expanding clientele from fast-growing popular neighbourhoods who do not have their own commercial facilities and come downtown to shop. Under these particular conditions the most attractive commercial locations are those on the ground floor, on streets with heavy pedestrian traffic. Spaces at the back of buildings and on higher floors are used for storage purposes because they are not profitable. As a rule, owners try to make the most out of their high-value store-front space. They open large windows, destroying the lower sections of colonial façades, and they also remove walls, replacing them with columns on the ground floors to increase available floor space. Upper floors are routinely overloaded with merchandise. Both these factors reduce a building's load-bearing capacity and, in case of an earthquake, guarantee severe structural damage.

The deterioration resulting from these conditions was encouraged by rent freezes that eliminated investment in building maintenance, as tenants and owners had no incentive to invest.

The site's natural characteristics of an ancient lakebed, combined with the effect of intense earthquakes and rains, further exacerbated deterioration. The depression of central areas, where the ground has sunk over eight metres so far this century, has damaged structure, and earthquakes and heavy rains sometimes cause the total collapse of buildings.

During the past thirty years public spaces have been taken over by street peddlers. On the one hand they satisfied a real market demand because the existing commercial infrastructure was insufficient for the city's expansion; and on the other they alleviated social problems caused by the sharp rise in unemployment that occurred throughout the 1980s crisis.

The 1985 earthquakes completed this cycle, destroying housing, office buildings and hotels in the Historic Centre and in neighbouring districts of great economic vitality such as the Alameda.

Throughout the years isolated efforts have been made to regenerate the downtown area. These range from restoration of specific buildings, like the Palacio de Iturbide, to renovation of entire areas, like the urban renewal operations undertaken after the construction of the Legislative Palace and the excavations of the Templo Mayor were completed.

The National Anthropology and History Institute had established a strict procedure to control construction and restoration of buildings. Unfortunately it does not award incentives, nor does it stimulate the renewal of particular buildings or areas.

It was not easy to reverse such a trend. The disintegration of the Historic Centre was so extensive that salvage seemed impossible. The existing mechanisms were not functioning adequately, and the deteriorating economic situation, along with neglect, congestion, pollution and the invasion of public spaces by street peddlers, seemed unending.

A huge undertaking was necessary, an integrated and well orchestrated effort that would lead to a clearly defined long term policy, as problems that have taken a century to develop cannot be solved in three or four years.

Fortunately, during President Salinas' term certain favourable conditions were present, allowing the rehabilitation of the downtown area. These favourable conditions were:

- The international experience of rescuing historic towns in Europe and North America. Many Spanish and American cities have witnessed in recent years the renovation of their central areas, with an increase

in middle and high income housing as well as in modern commercial activities.

- A stable national economy with decreasing inflation and economic growth. This combination favoured an unprecedented increase of real estate investment. Even though investments are not made in the downtown area but in the suburbs, good management of urban policy has allowed the channelling of resources to central areas.
- Decisive refusal by the Government and society in general to countenance the Centre's further degradation, and public support for any measure or policy aimed at its rescue.

An integral urban renewal programme was designed based on these premises. It was launched in 1989 and included financial and fiscal incentives, social mobilisation, management and direct support, public works, and promotion of private investment.

For the first time in Mexico, a fiscal incentive program was designed and implemented to condone normal real estate transfer and property taxes when buildings are bought to be restored. Through this system incentives amounting to U.S \$ 609,463,000 were granted to different buildings between 1991 and 1993.

A package was designed with *Nacional Financiera* for financing the renovation of commercial and service infrastructure. An Air Rights Transfer System was also established, and it has so far collected U.S \$ 14,338,412<sup>1</sup>. These funds, provided by developers building in high-value areas of the city, have been channelled to 27 buildings in the Historic Centre among them the José Luis Cuevas Museum, *Santa Teresa la Antigua*, the former Girls' College, the Choir of *Santo Domingo*, the *Casa de las Ajaracas*, and the houses at *Leandro Valle 20 and Guatemala 18*.

The *Echame una Manita* (Lend us a Hand) programme was launched to achieve wide diffusion and active social support. It includes an information centre and gives orientation, support and management help to those who wish to restore a building. There one can get help to process licences, credits and free restoration projects, and technical counselling. Social mobilisations are also organised to wash monuments, paint façades, and to become better acquainted with the Centre. The programme's main instrument is the *Fideicomiso del Centro Histórico* (Historic Centre Trust Fund), an independent institution that manages the funds and directs them to the particular recipients through projects or construction work.

Public investments have been made in great national monuments like the Cathedral and the National Palace that are being restored by the Ministry for Social Development; the improvement of public transportation with the subway's new Line 8 that will relieve Line 2 and will allow restricted automobile use within Perimeter "A"; the construction of 32 markets that will accommodate street peddlers; and the repair of squares, sidewalks and urban furniture.

Finally, no efforts have been spared to attract private investment to restore buildings and provide them with new functions, as in the Banker's Club in the Girls' College; to

create needed infrastructure, like the underground parking garage in front of the Palace of Fine Arts; and to construct new apartment buildings, as in *Leandro Valle 6-8*.

Results are encouraging though still insufficient. Between 1989 and 1993, 558 buildings were completed or being restored with a total investment of U.S. \$ 609,463,000.

This article presents three of these buildings.\* They were selected for their importance but also for the interest and efforts they embodied for the promoters of their restoration. It is a selection of private and public works, of institutional and individual endeavours, of orthodox restorations and new proposals, of projects by well-known architects and by young professionals that are just beginning to be recognized.

The restoration of each involved a huge effort to solve legal, social, political, financial and technical problems. Acquiring and restoring a historic building is not easy or automatic.

Generally their legal situation is complicated by intestate and pending lawsuits or family problems. Buildings also are frequently occupied by low-income families or commercial establishments that have to be carefully relocated with due respect for their rights, and the participation of any one of the political groups active in the city, particularly in central areas, very often increases the dimension of social problems.

Fiscal and financial matters must be taken care of. When buildings are not profitable, their owners tend to neglect paying taxes, and debts accumulate. These must be attended to in order to legalise the building's situation.

In today's lucrative real estate market the rescue of historic buildings produces no benefits from an economic and financial point of view. This is due to a combination of factors. The cost of restoration tends to exceed that of new construction, execution periods are very long and the resulting spaces that can be leased are small and offer limited flexibility, as the buildings' original structures must be preserved.

From a technical point of view, each building presents different problems that must be analysed before a solution is designed. The subsoil is composed of two parts water and only one part solid matter, which combined with the sinking of the entire area and the existence of pyramid remains causes buildings to be permanently unstable. Sinking earthquakes and heavy rains cause important deterioration of the walls and floors of buildings. Restoration must take these circumstances into consideration.

Additional problems arise when buildings must be adapted to new uses: when transformed from convent to museum for example, or from town house to restaurant, or when contemporary buildings are constructed in vacant lots. Next come the specific problems of the reconstruction and restoration. To which period must one restore a building that has been transformed throughout the centuries? Is it valid to reconstruct a courtyard that was demolished a hundred years ago? Is it necessary to eliminate an entire floor that was added in the nineteenth century to an eighteenth century structure? Is it convenient to use a prefabricated floor slab instead of restoring the traditional



system of wooden beams with earthen fillings? So many variable and unknown factors affect the process that it becomes extremely complex.

Solutions may vary, depending on who makes decisions. This fuels debate and uncertainty, which bewilders owners and restoration promoters alike and even results sometimes in projects being abandoned. As there is no single set of rules for monument restoration, the process of authorising licences becomes a debate among individuals that tends, by its very nature, to be slow and conflicting.

Then comes the construction and restoration process itself. It implies careful and costly labour, and involves highly qualified craftsmen — who fortunately still abound in Mexico — to carve stone or work stucco or wood. And the administration and maintenance of restored buildings call for management practices different to those used in

conventional buildings.

Although the above description is rather general, it presents an overall view of the difficulties faced in restoring buildings. Nevertheless, there is no alternative method. Regeneration must proceed building by building, from the inside out. It must offer integral solutions to a variety of aspects, and not only to physical problems. It must be directed by a long-term master plan. The plan itself is insufficient, however, if it does not involve all actors in the process. It must also do away with inertia and many passive attitudes that may seem insignificant when considered separately but when added to one another have resulted in large scale deterioration. Once under way, the process must continue for several decades. What is important is to reverse the process of decay, and the available evidence seems to indicate that this has been achieved.

\* *The article and the buildings were first published in Centro Historico de la Ciudad de Mexico - restauración de edificios 1988 - 1994. Mexico D.F., 1993.*

† *Amounts in dollars are based on the September 1993 Mexican peso exchange rate.*

Mexico City  
San Ildefonso Museum

*Jorge Gamboa de Buen*



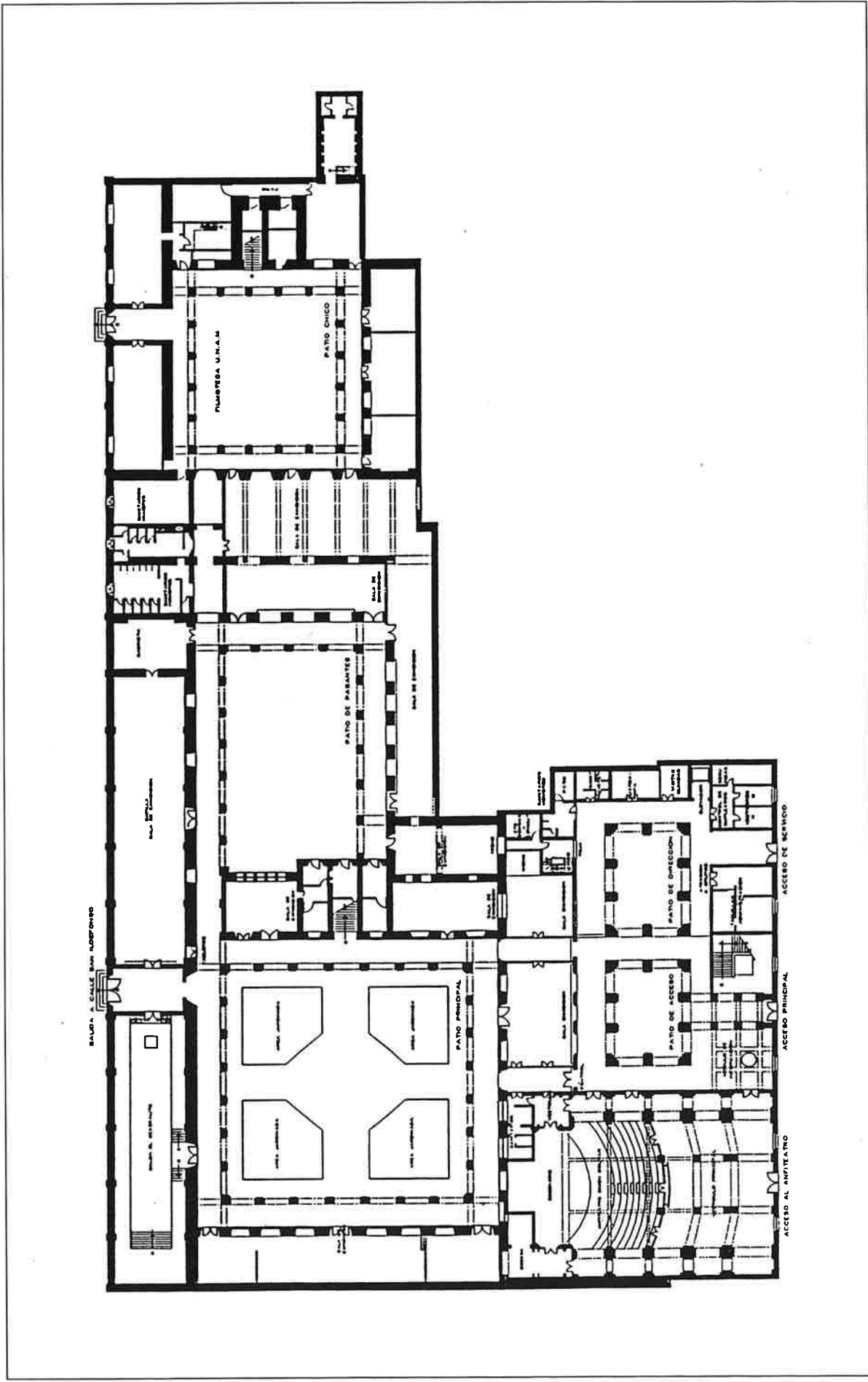


Fig. 1. Detail of the main entrance on Justo Sierra. Photograph by Gabriel Figueroa Flores

Fig. 2. Ground Floor Plan



The Royal College of San Ildefonso was built in the sixteenth century and shortly thereafter it was established as an annex or complement to the Jesuit College of San Pedro and San Pablo in the northeastern corner of the present site. As the seminary grew it expanded westward and incorporated the original 'Small', 'Undergraduate' and 'Main' courtyards. In 1867 it became the National Preparatory School. From 1907 to 1911 the College extended to the south (on the street of Justo Sierra) and the *Bolívar* Amphitheatre was built. The director's and administrative offices were lodged in the wings around the southwestern courtyard. An indoor gymnasium and a swimming pool that was originally meant to be covered were built to the east of this same courtyard.

During the reconstruction (1907-1911) large sections of the wooden beam roofs were replaced with steel beams and grooved laminated steel vaults.

Between 1925 and 1930 the building underwent further renovations to adapt it to administrative requirements. The pool and the gymnasium were replaced by a courtyard similar to the existing one.

After the 1957 earthquake practically all roofs over porticoes and aisles had to be replaced again, and the roofs on most buildings were replaced by concrete slabs and beams.

This made the building strong and solid, but the resulting baroque aspect was not harmonious, especially on the outside.

From the time it was founded the College suffered numerous interventions due to its growing needs. The ones that most affected its colonial features (which did not necessarily date from the original construction) were the ones carried out under the tenure of Porfirio Díaz. Dormitories and kitchens gave way to more classrooms, laboratories and workshops that were no doubt demanded by Positivist theories or the new teaching methods.

The fifties and sixties brought a series of lesser adaptations, of a more improvised nature, that ignored the historic and artistic importance and dignity of the College.

The present intervention intends to restore the building's splendour and have it represent with dignity one of the most important institutions in Mexico, the National University of Mexico (UNAM).

The purpose of the restoration was to eliminate all those elements and modifications that harmed the building, and to repair what could be repaired, as it is impossible to return the building to its original state. In other words, the intention is to show a master work of architecture in the

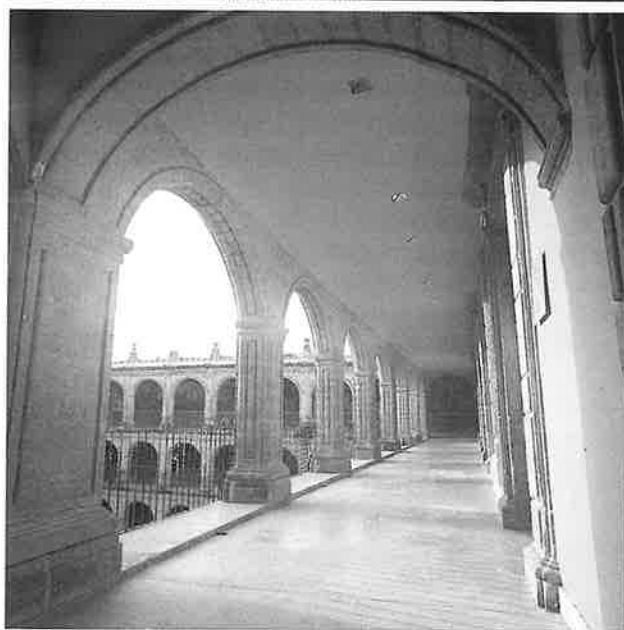


Fig. 3. Main courtyard

Photograph by Gabriel Figueroa Flores

Fig. 4. Gallery around the main courtyard at second floor level

Photograph by Gabriel Figueroa Flores



Fig. 5. Detail of arches in the two small adjacent courtyards serving the main entrance and the directorate.

Photograph by Gabriel Figueroa Flores



Fig. 6. Detail of the choir stalls in the 'Generalito' hall. Photograph by Gabriel Figueroa Flores



Fig. 7. Stair leading up to the second floor gallery, with a mural by Jean Charlot. Photograph by Gabriel Figueroa Flores

best possible way but without erasing the scars left by time and history. New elements did not pretend to impose new design criteria. They were treated discreetly, in a toned-down way that would adapt to the existing features and allow the UNAM to recover the dignified building it deserves.

As for the architectural project, structural reinforcements were hidden behind false ceilings, installations were modernised and the overall image tried to reproduce as

much as possible what might have been the building's original aspect. The purpose of the tempered glass partitions was to let the arches and stone frames stand free, to divide exhibition areas from corridors, and to replace the imitation-wood tubular window casings with a transparent casing system that would enhance and dignify the carved stone surfaces. The wooden panelled doors were made out of red cedar to recall the type of doors the building once had.

Mexico City  
Town House on Seminario XII

*Jorge Gamboa de Buem*



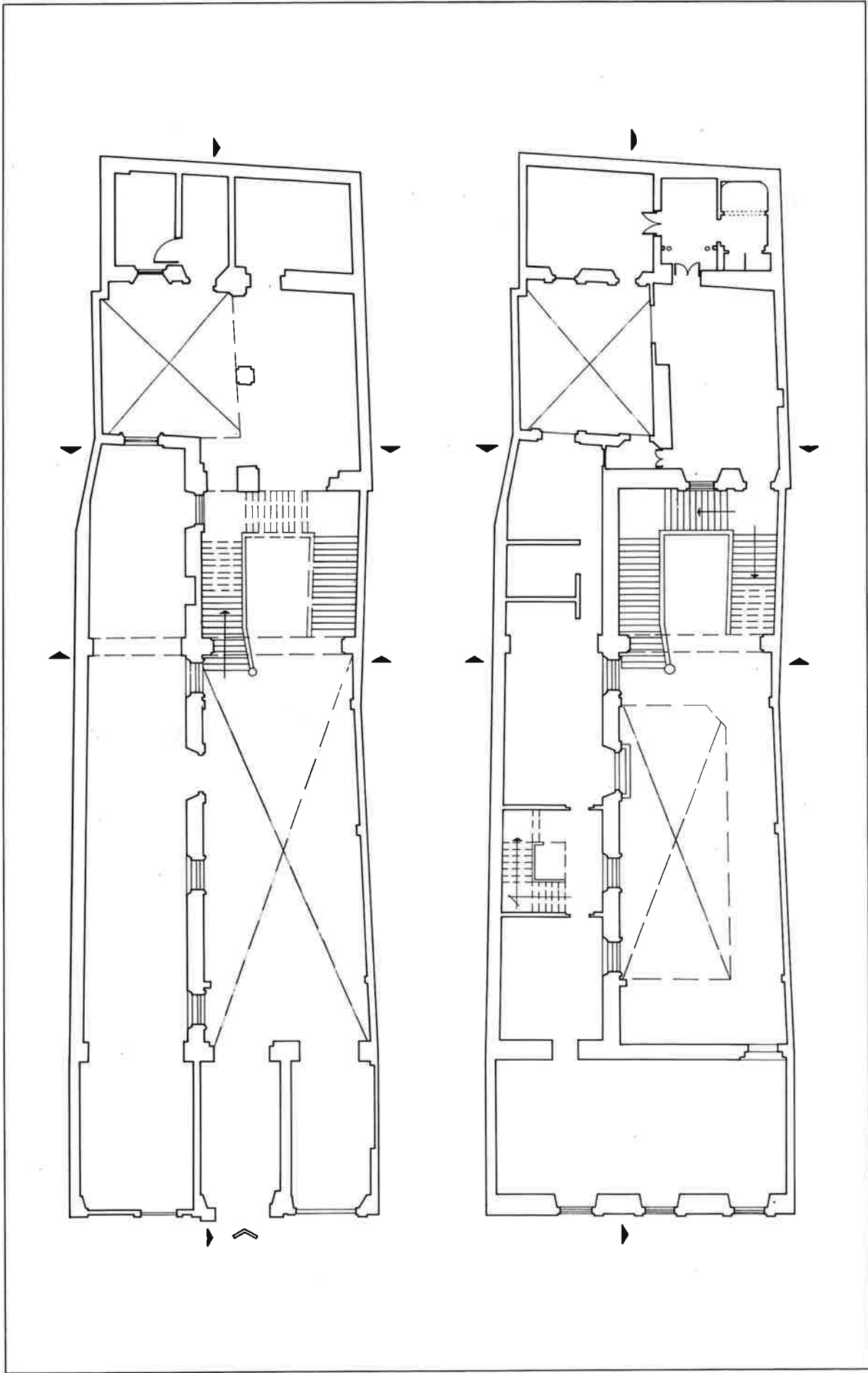


Fig. 1. Façade of house on Seminario XII. Photograph by Gabriel Figuerroa Flores

Fig. 2. Ground and first floor plans

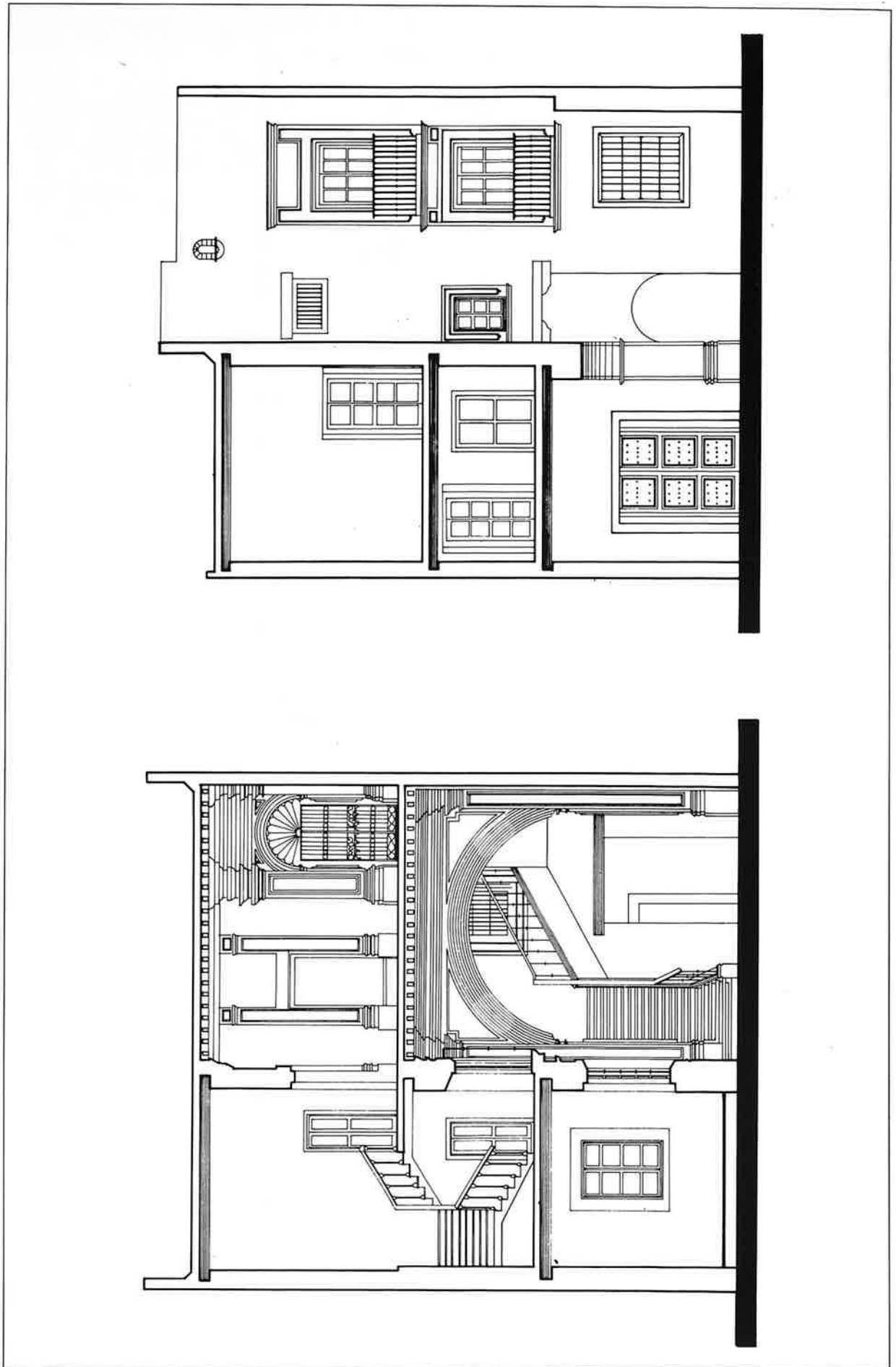


Fig. 3. Cross-sections



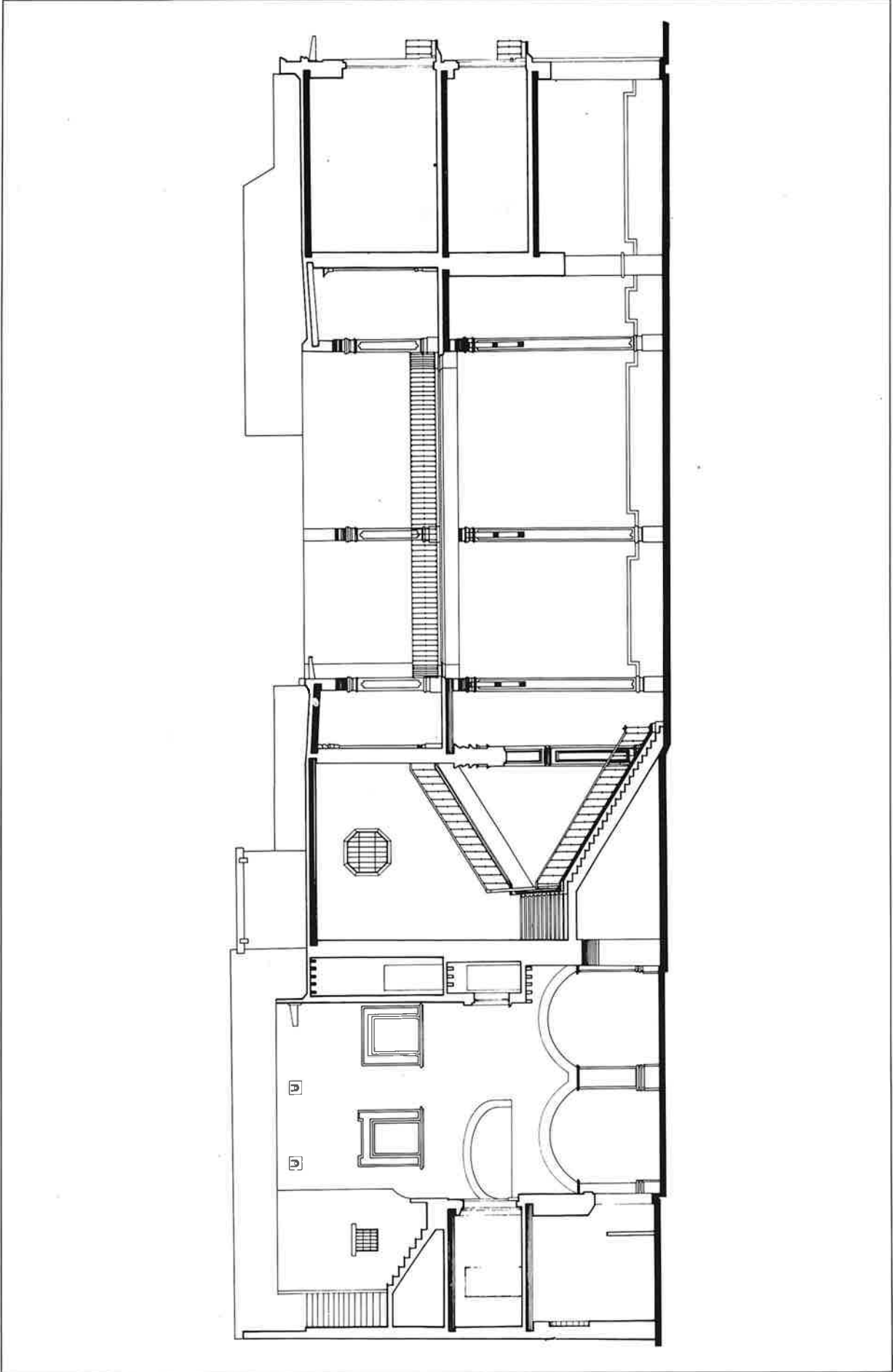


Fig. 4. Longitudinal section



This large town house was built at the beginning of the seventeenth century in the style of that time. It was modified in the early nineteenth century and the first half of the twentieth century. The house's foundations rest on the slope of the pyramid of Tezcatlipoca. Surrounded by the National Palace, the Templo Mayor and the Metropolitan Cathedral, the house offered its inhabitants, before and after its restoration, not only the beauty of the site but the pleasure of admiring its architecture, materials and finishes.

It is located in the area that was part of the Templo Mayor compound in pre-Hispanic times, so we know it lies on foundations from that period.

In spite of the above, it can be stated that about 95 percent of the original architectural layout and construction systems can be recovered: the nineteenth century interventions only modified the use of the spaces and their finishes, and during the last renovations only the bays on the façade were changed and a few constructions added. The latter may be removed without affecting the building's stability.

The building was bought by its present owners in 1988 when they had not yet decided how they would use it. Throughout the four years of restoration they got to appreciate its spaces in detail and decided the best thing was to turn it into a house again.

The sober 'tezontle' façade was adorned with carved stone framed doors and windows. Its ample interior spaces shelter a magnificent stone staircase with wrought iron railings and a flagstoned courtyard where carriages passed to reach the stables. From the balconies one has a superb view of the Cathedral, especially the Sagrario Metropolitano.

On the ground floor is a large warehouse, the door of which still bears a metallic shield that has protected it from the weather for centuries.



Fig. 6. Main courtyard seen from the staircase above.  
Photograph by Gabriel Figueroa Flores

Fig. 5. The stone staircase from the main courtyard  
Photograph by Gabriel Figueroa Flores

The building's floors and roof were severely damaged, and were missing in most of the western wing. The walls suffered less, showing cracks, fissures and sagging.

To protect the building and avoid its collapse during the works undertaken in its immediate vicinity, it was braced with baulks on a grid of 80 x 80 cm that ran from the ground level through the floors and up to the roof.

Given past experience with this kind of restoration, reconstruction of the structure as close as possible to its original state was the most convenient thing to do. Original construction procedures and specifications were followed during the consolidation phase, and compatible modern systems that would respond in a similar structural manner were used for the new fill-in areas.

Given the historic and artistic value of the building extreme precautions had to be taken during restoration work. Horizontal and vertical levels were periodically checked against reference marks, as was the structural behaviour of the house.

The roof was removed, and the levels at which the beams were embedded in each particular room were marked in the walls, to replace them without altering the original architectural proportions. Work proceeded in parts, the intention being to leave the areas uncovered for as short a period of time as possible. The construction system consisted of a wooden board surface laid over wooden beams, followed by a joist and vault structural slab topped with a brick compression layer.

Walls were consolidated, missing and damaged masonry was replaced with materials as similar as possible in texture and grain to the existing ones, and mortars and additives were injected. Above all, each and every wall was checked for structural soundness.

*Jorge Gamboa de Buen.*

Original walls that no longer existed were reconstructed where possible, and walls that had been added later were removed whenever results of the structural studies permitted doing so.

Floors were replaced in some areas according to the structural specifications verified during the restoration process.

In the final stage, plastering was redone on the walls, following the original procedures and specifications.

All decisions regarding construction procedures and detailed specifications were taken as work proceeded, and solutions were adopted depending on the conditions found on site.

*Fig. 7. Main room, with a view of the Sagrario Metropolitano and the bell-tower of the Cathedral.*

*Photograph by Gabriel Figueroa Flores*



Mexico City  
Ministry of Public Education

*Jorge Gamboa de Buen*





Fig. 2. Main courtyard or cloister of the former Convent of the Incarnation, looking towards the smaller entrance courtyard on Republica de Argentina. Photograph by Gabriel Figueroa Flores



Fig. 3. View from the entrance courtyard of the former Convent of the Incarnation through into the main courtyard or cloister. Photograph by Gabriel Figueroa Flores

The headquarters of the Ministry of Public Education in Mexico City's Historic Centre is bounded by the streets of *Venezuela* to the north, *Luis González Obregón* to the south, *República de Argentina* to the east, and *República de Brasil* to the west.

During the colonial period different institutions stood on this site: the Temple and Convent of *Santa María de la Encarnación del Divino Verbo*, the *Real Aduana de México* (Royal Customs of Mexico), and a number of ordinary houses.

**The Convento de la Encarnación**, founded in 1594, was one of the first sixteenth century convents in Mexico. It deteriorated rapidly, however, and construction of a new church in sober baroque style was undertaken from 1639 to 1648. The convent's main cloister, still preserved, was built in neoclassic style between 1779 and 1792.

In 1863, after the last nuns had left the premises, the building was remodelled to accommodate private housing and different public institutions (the Ministry of the Interior in 1863 and the Council of State in 1886).

In 1869, following the lead of the Public Instruction Ministry, the building housed the Law School, the Teacher's Training School and the Arts and Crafts School.

Around 1921 the building was given to the Public Education Ministry, and it was rebuilt between 1921 and 1922.

In 1937 the former church which had been used as a warehouse became the Ibero-American Library and different areas were renovated.

**The Customs House of Santo Domingo** was established at the beginning of the colonial administration;

it stood on the fifth and sixth blocks of the *Cinco de Febrero* street. The Customs House was later transferred to the house of the *Marqués de Villamayor*, on the corner of today's *República de Brasil* and *República de Venezuela*. The house was in poor condition at the time, but even so its location overlooking the *Plaza Santo Domingo* was a far better choice than the previous one.

Once the land it occupied was bought, the Customs House was rebuilt in baroque style in 1730 and inaugurated in 1731. It was later enlarged with some houses belonging to the *Convento de la Encarnación*. A renovation project was submitted by Miguel Constanzó, an engineer, in 1792, and was completed by 1795. At the end of 1888 General Porfirio Díaz had all Interior Customs barriers removed. The Customs House disappeared and after that different institutions occupied the building until a Presidential Decree assigned it to the Ministry of Public Education.

On *Venezuela* street, in the central part of the compound, stand two private houses dating from the eighteenth and nineteenth centuries; they are valuable elements of the area's urban fabric and together with the Temple and Convent of *La Encarnación* and the former Customs House they constitute the headquarters of the Public Education Ministry.

The National Anthropology and History Institute conducted probes and excavations based on archaeological techniques simultaneously with the preliminary studies for restructuring the buildings. These allowed researchers to rescue, identify and classify scores of pre-Hispanic and colonial archaeological remains for later study.

The National Institute of Fine Arts and the Centre for Conservation of Works of Art did their best to preserve the mural paintings by removing, consolidating and restoring the necessary sections.

The compound has been altered and built upon; the extra weight of subsequent additions, combined with poor

Fig. 1. Main courtyard of the former Customs House. Photograph by Gabriel Figueroa Flores

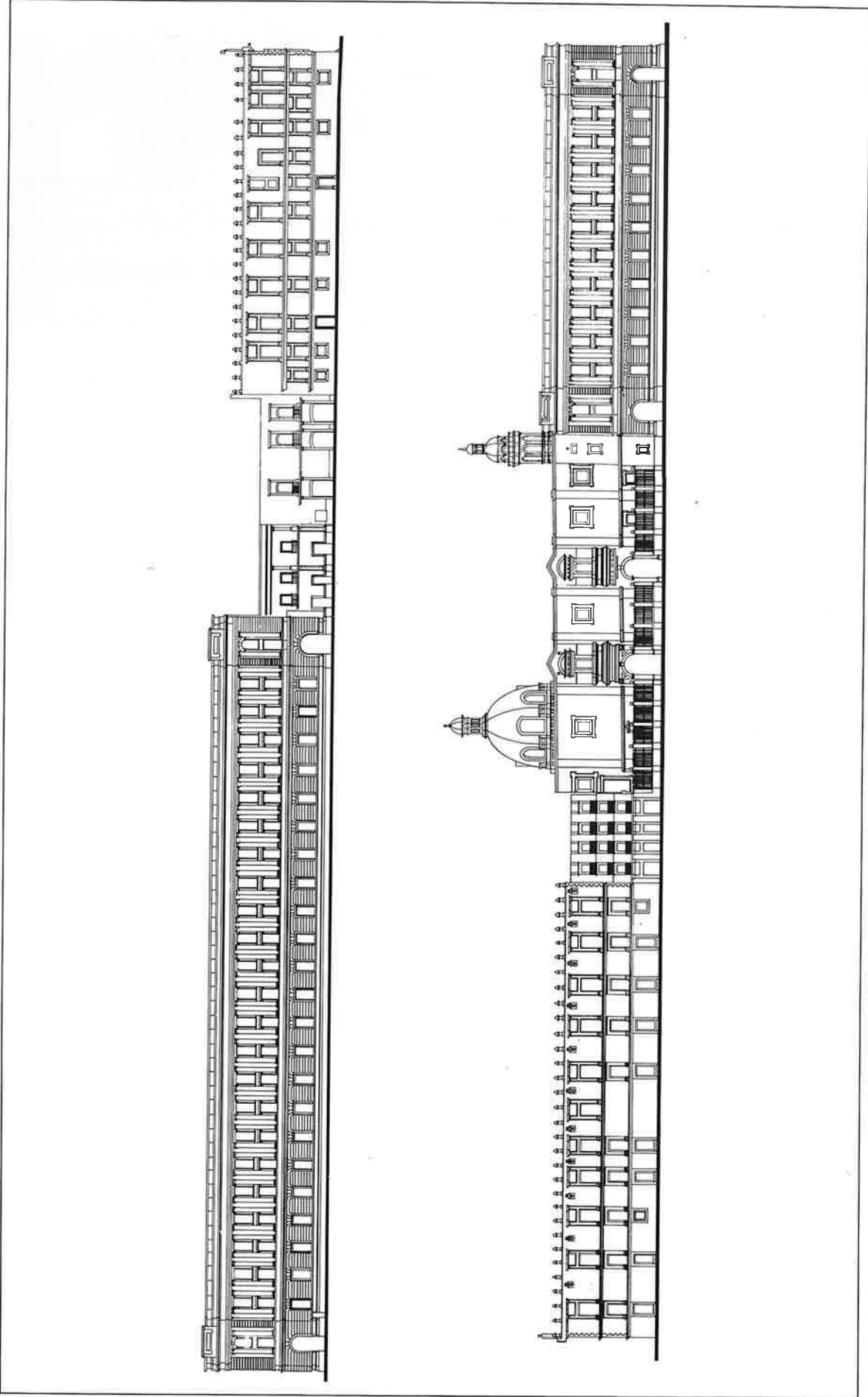


Fig. 4. North elevation on Venezuela, showing the former Convent of the Incarnation on the left; two private houses, dating from the eighteenth and nineteenth century, in the middle; and the former Customs House on the right

Fig. 5. South elevation on Luis Gonzalez Obregon, showing the former Customs House on the left; a modern insertion, and the baroque church and former Convent of the Incarnation in the middle and right

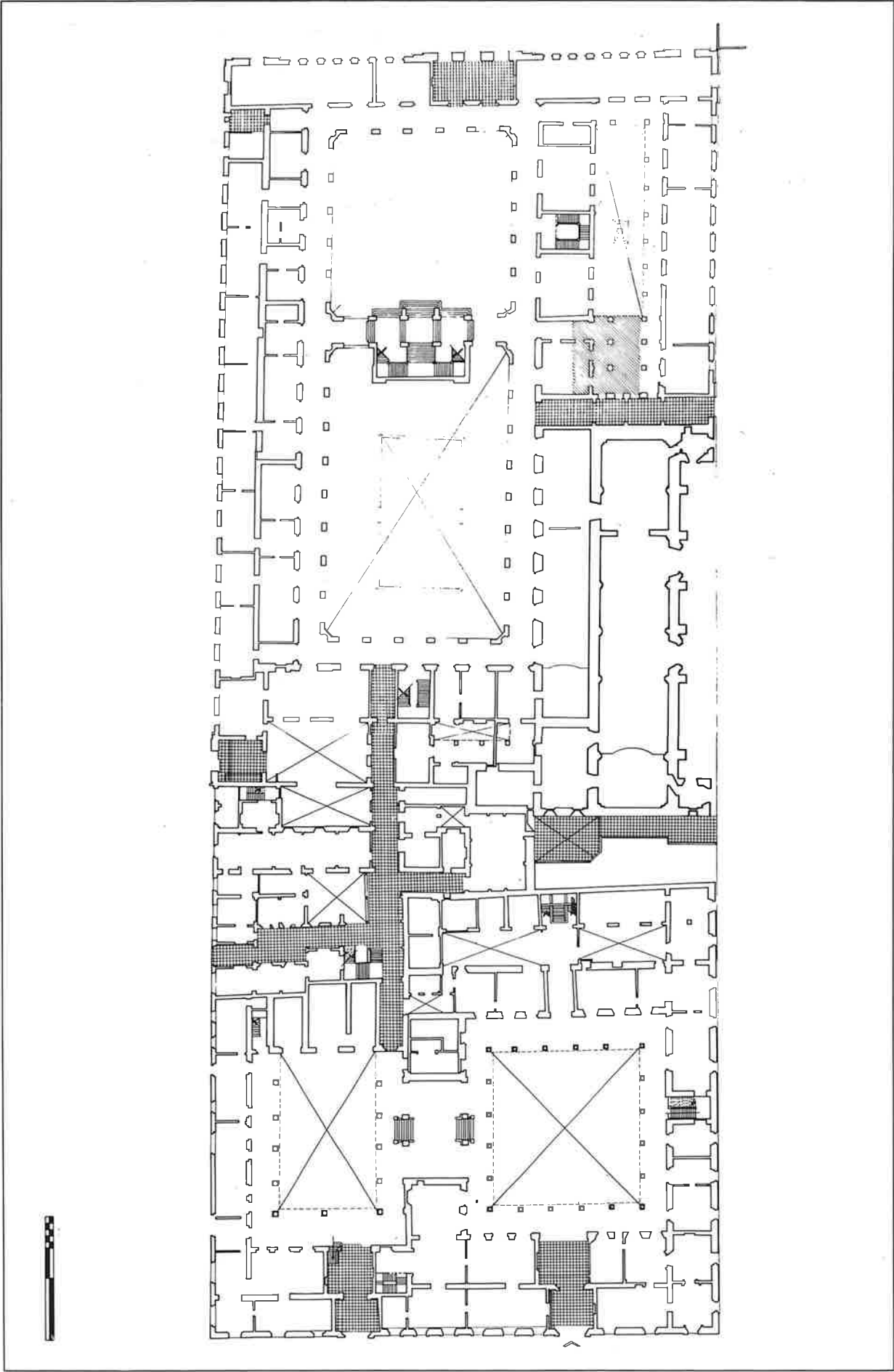


Fig. 6. Ground floor plan with the former Customs House on the left, and the church and Convent of the Incarnation in the middle and right



*Fig. 7. The grand staircase between the two courtyards of the former Convent of the Incarnation.  
Photograph by Gabriel Figueroa Flores*



*Fig. 8. An upper floor gallery to one of the courtyards of the former Convent of the Incarnation.  
Photograph by Gabriel Figueroa Flores*

ground conditions, materials and construction procedures, earthquakes, floods and vandalism seriously damaged its structure.

These problems were aggravated by the 1985 earthquakes, and the building's structure was damaged severely. It was obvious the complex suffered from general decay apart from the normal deterioration due to environmental exposure, and to the ground's low bearing capacity in this area, worsened by excessive pumping of underground water (resulting in a lowering of the water level). The restoration process did not modify internal spaces or architectural and ornamental elements; lofts were removed, freeing spaces and courtyards.

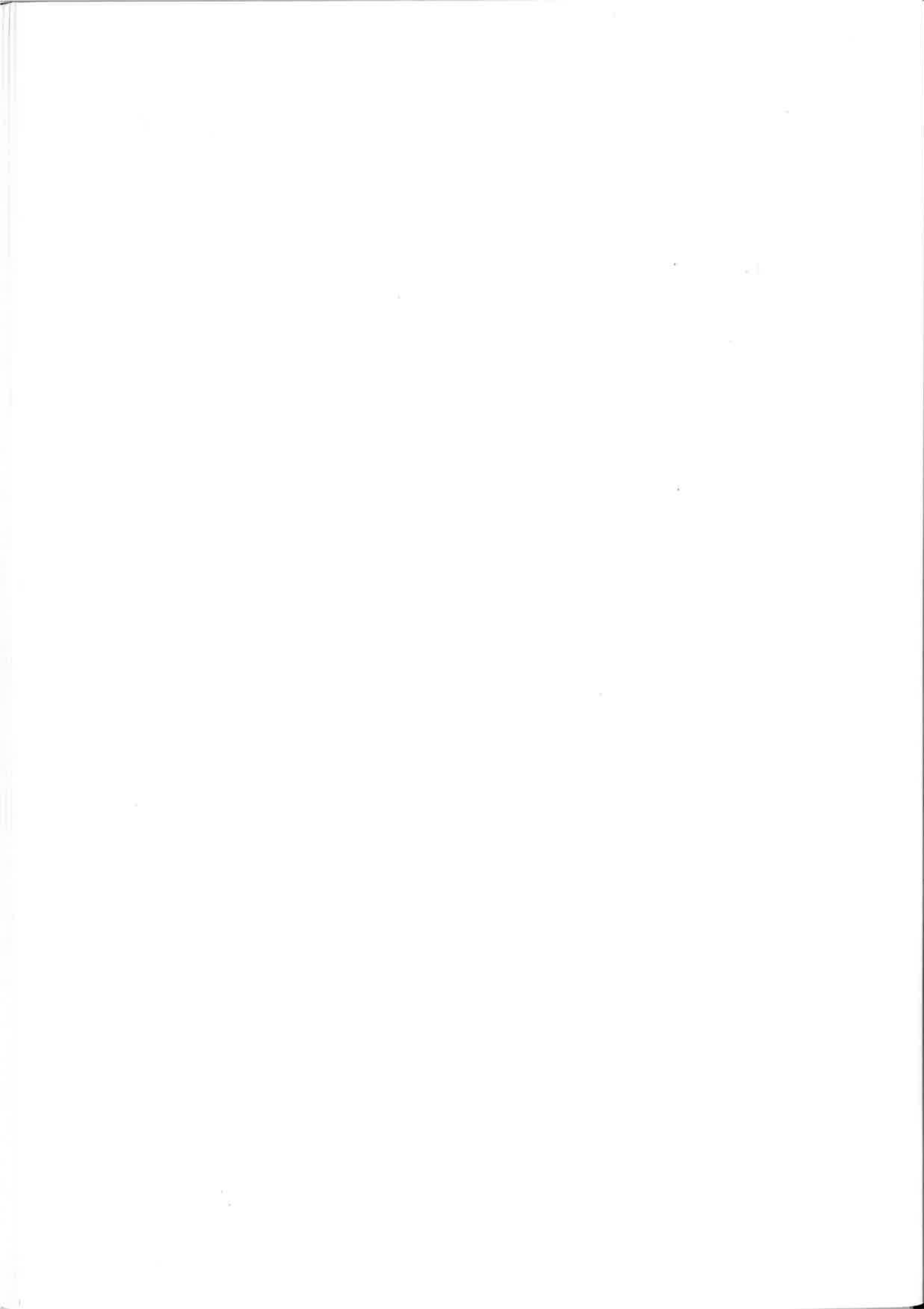
The adaptation of the complex was carried out according to specific requirements; necessary installations were made

taking the architectural aspects of the building into consideration.

Among the factors that contributed to the loss of the compound's monumental value throughout the years were structural failure, inadequate interventions, general decay, loss of architectural elements, and structures added upon the original construction. Methodical restoration was undertaken to ensure the rescue of the building's architectural, spatial and formal features.

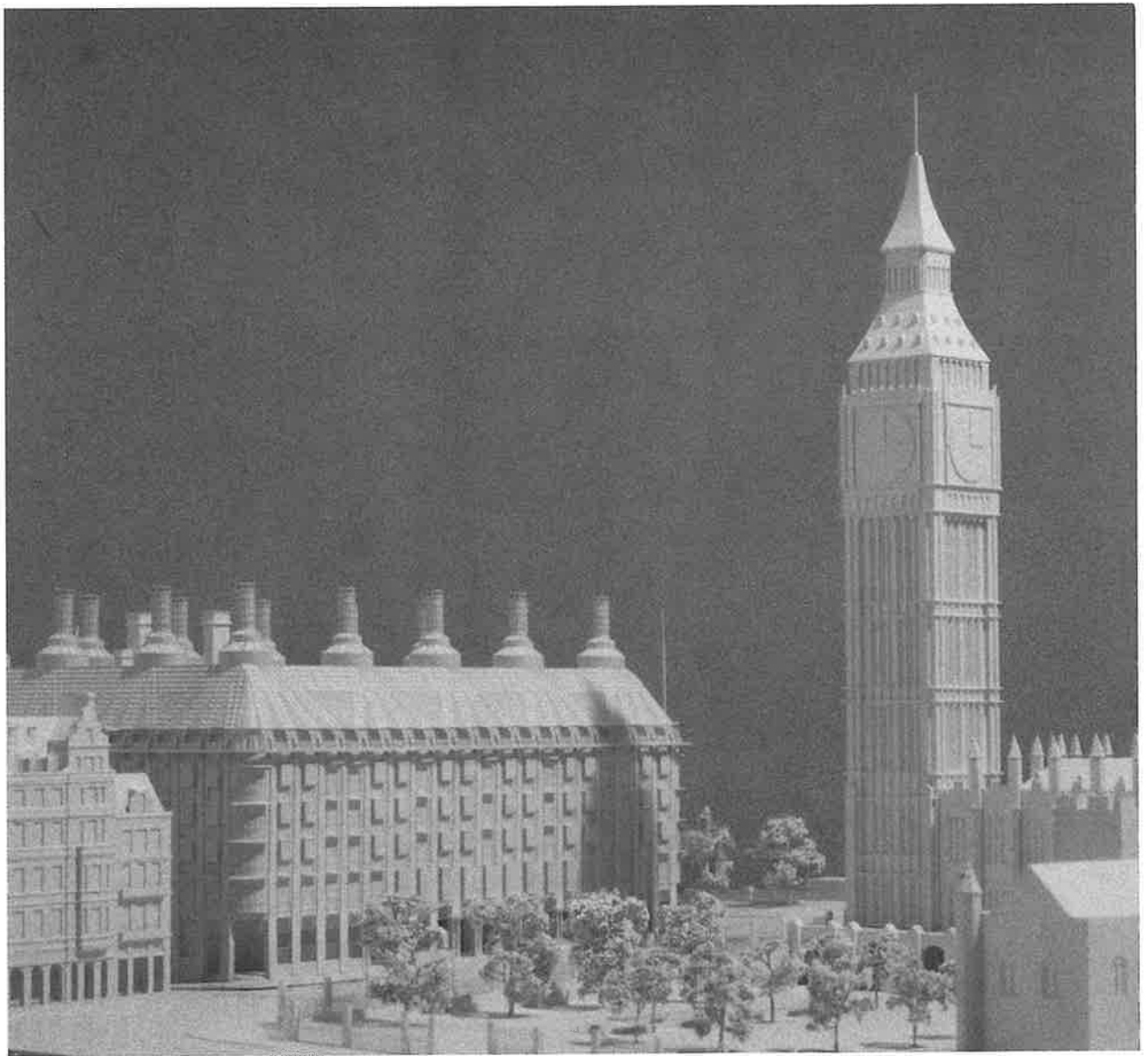
Given the magnitude, characteristics and importance of the interventions to be done in this complex, the National Anthropology and History Institute designated a permanent specialised technical staff to be on the site to assist during general and specific restoration procedures.

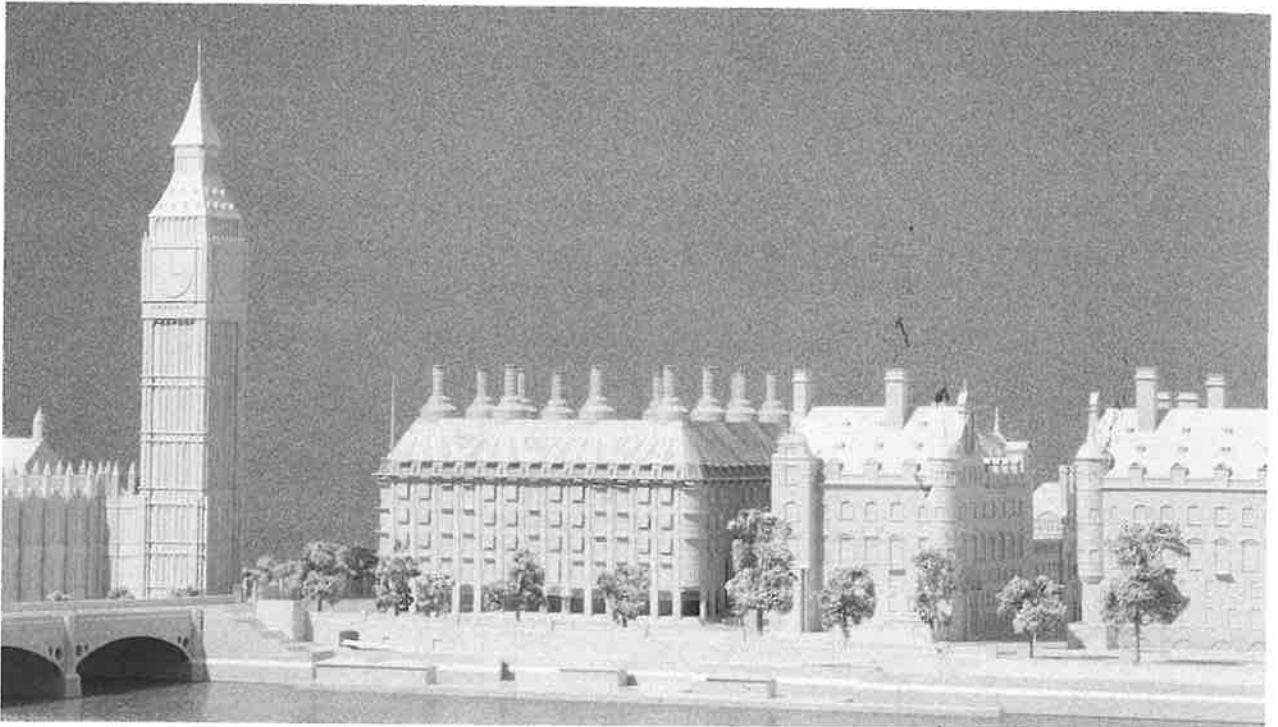




New Parliamentary Building,  
Westminster, London

New Parliamentary Building,  
Westminster, London





*Fig. 1. View of model as seen from Parliament Square*

The new parliamentary building by Michael Hopkins and Partners will stand in London's most important ceremonial square, Parliament Square. In fact the site on the corner of Bridge Street and Victoria Embankment is just outside the square, but the new building will face the Palace of Westminster and Big Ben on its south side, and the River Thames on its east side where it will be seen standing between Norman Shaw's buildings for new Scotland Yard and the river front of the Houses of Parliament. The Palace of Westminster, Westminster Abbey and St. Margaret's Church have been designated a World Heritage site.

The building sits on top of a new Underground station and therefore cannot put any of its accommodation or plant in basements. The designs of the Underground station and the new parliamentary building have been closely coordinated so that the station's substructure will provide the necessary structural support to the building above. The accommodation for 208 Members of Parliament is planned around a central covered court which contains the cafeteria, bar and library reading area. The surrounding building contains the library, dining-room and Sergeant-at-Arms department on the ground floor; and members' rooms, committee and conference rooms and committee clerks' offices on the five floors above. The ground floor has a colonnade in Bridge Street and Victoria Embankment, giving the building a base and a street presence. Inside the colonnade are shops and entrances to the building and Underground station. Members have direct access from the Palace of Westminster via the existing parliamentary subway under Bridge Street.

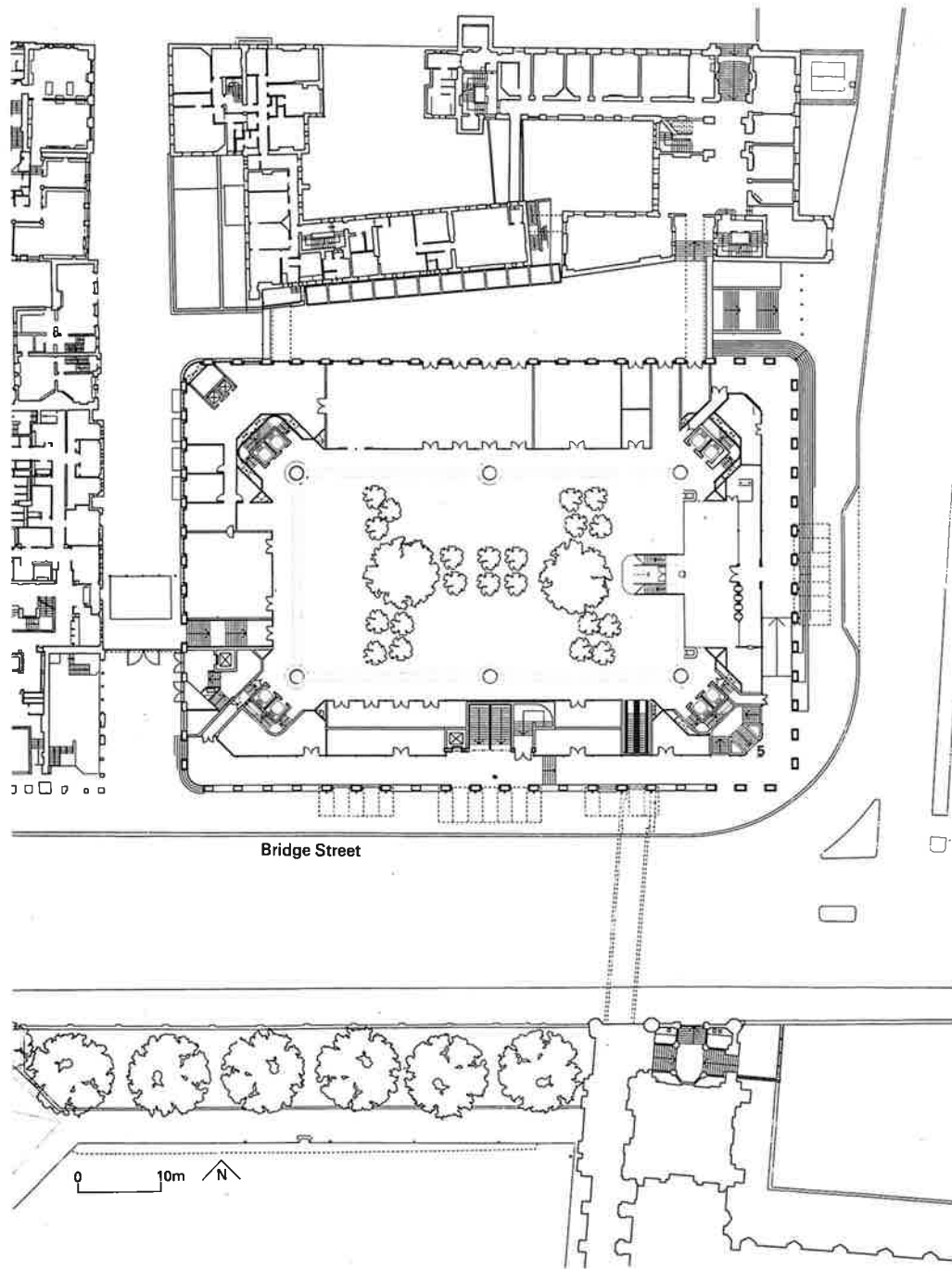
In the river view the architect has kept the new building firmly below the ridge line of Norman Shaw's buildings to maintain the existing dip in the roof-line. The walls and

*Fig. 2. View from the River Thames, with the new parliamentary building between Big Ben and Norman Shaw's buildings*

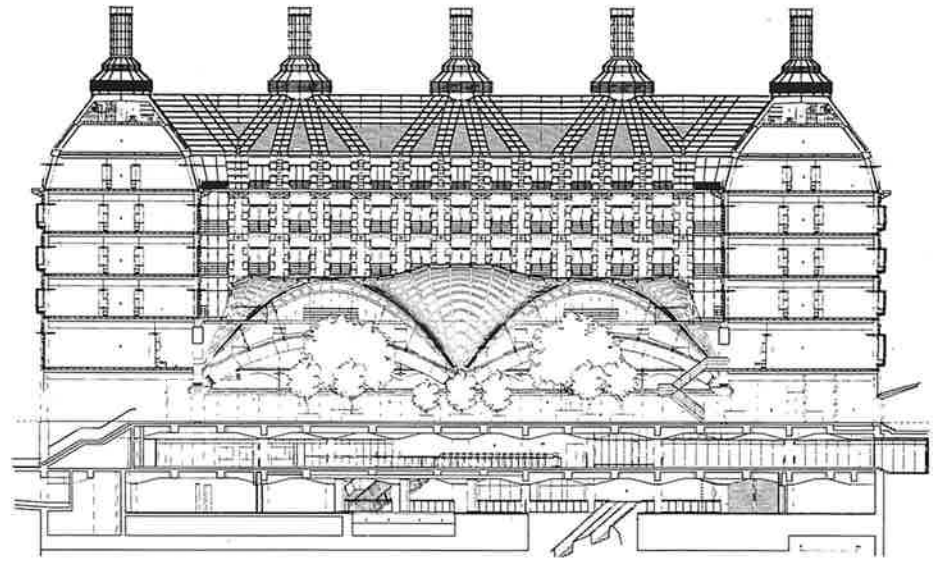
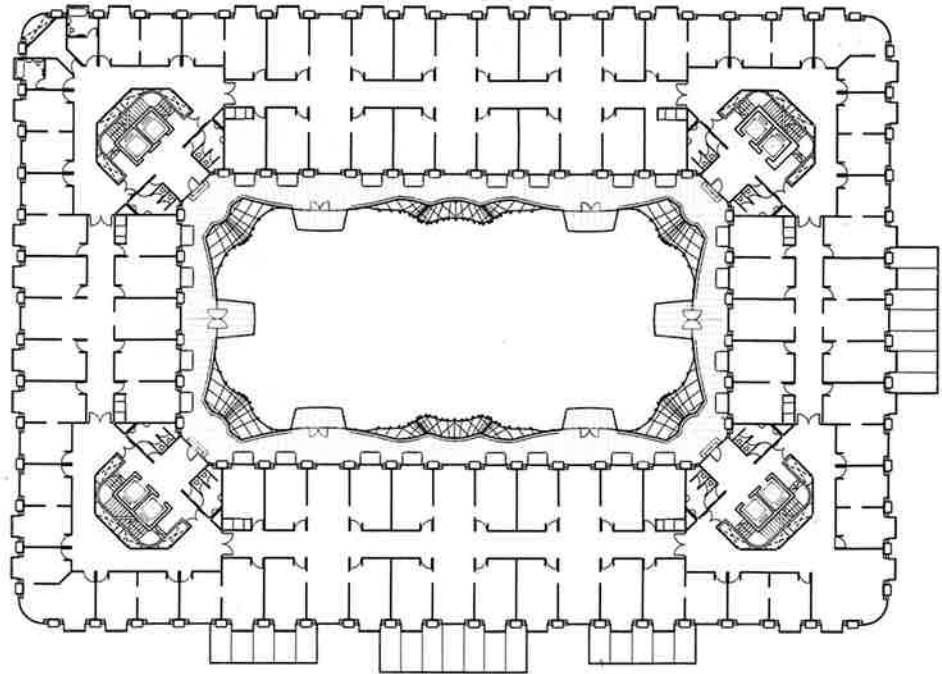
roof of the building are intended to be dark like Norman Shaw's buildings to allow the Palace of Westminster, with its much lighter colour, to remain distinct from the other side of Bridge Street. The outer walls consist of closely spaced solid stone load-bearing piers which decrease in cross-sectional area with perfect structural logic as the load lightens on their journey upwards. On either side of the piers vertical bronze ducts increase in cross-sectional area as they gather more air on their way up, also providing a vertical face for the windows which fill the space between the ducts. Bay windows denote members' and committee rooms and provide the façades with variety and rhythm.

The direct expression of structure and services is continued in the roof which is intended to be more like a continuation of the wall bent backwards than a traditional pitched roof. The roof structure consists of groups of eight structural bronze ducts which continue the line of the façade air-ducts on either side of the piers, and are gathered and bolted together at the top to provide a stable portal frame and to connect with the air ducts inside the fourteen chimneys which give the building such a distinctive silhouette. The chimneys both exhaust stale air gathered up from the ducts connected to the offices below, and draw in fresh air at their base through heat-recovery units to supply the fans housed in the roof space. Roof glazing between the ducts in the lower part of the roof, to light members' rooms and plant areas, will let light filter through at night, emphasising the pattern of the roof ducts and helping to make the roof seem like a continuation of the façade.

The design for the new parliamentary building is undoubtedly strong and original. The expression of structure and services in the walls and roof has few parallels. The site is of worldwide importance and any building on it will



*Fig. 3. New Parliamentary Building:  
ground floor plan*



*Fig. 4. New Parliamentary Building:  
ground-floor plan*

have to stand comparison with the Palace of Westminster. The remarkable quality of the design is greatly enhanced by the choice of superlative materials and by the way these materials are used. The aim has been to create a building

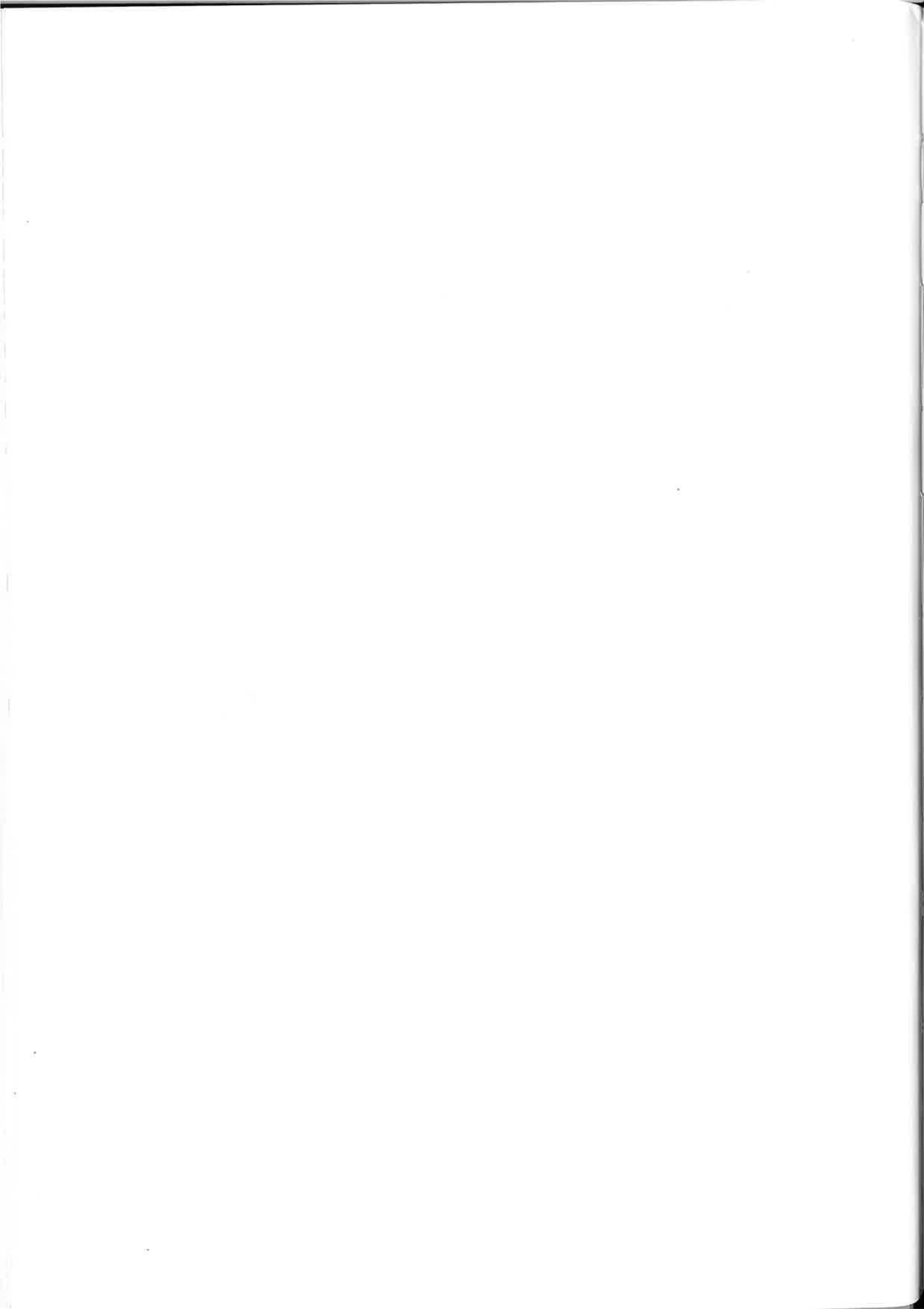
which will sit comfortably in its historic setting whilst at the same time providing all the facilities and energy efficiency expected of a late 20th century building.



*Fig. 5. Detail of façade*

## Architectural Conservation and The Getty Grant Program



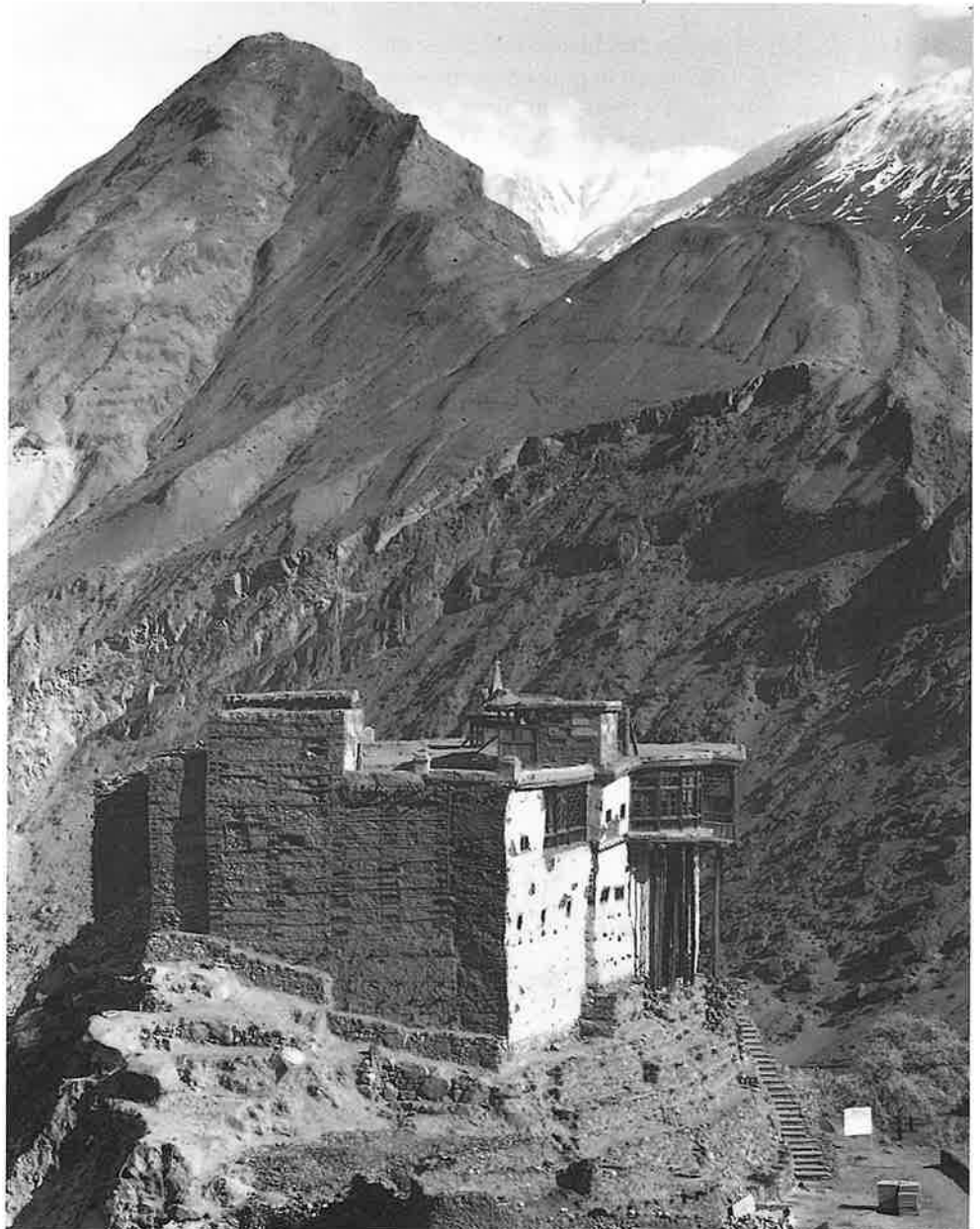


## Architectural Conservation and The Getty Grant Program

*Timothy P. Whalen*

*The Getty Grant Program is one of seven programmes operated by the J. Paul Getty Trust, a Los Angeles-based private operation foundation dedicated to the visual arts and humanities. The Grant Program funds activities that complement the Getty Trust's own activities and supports a broad, worldwide range of projects that promote research in the history of art, advancement of the understanding of art, and the conservation of art and architecture.*

*Tim Whalen is an art historian and a programme officer at the Getty Grant Program where he oversees all grant making related to the conservation of works of art and architecture. He was recently appointed a Loeb Fellow in Environmental Studies at the Harvard University Graduate School of Design.*



In 1988, the Grant Program established its architectural conservation category after consultation with international architectural conservators and preservationists. These meetings confirmed that tremendous needs existed in the field of architectural conservation. The first and primary need was funding -- international support on an open and competitive basis for building conservation. Funding for the planning necessary to undertake a fully informed intervention programme was almost non-existent and determined to be a primary need. The second need was related to the practice of architectural conservation. With a number of important exceptions, a systematic and multi-disciplinary approach to the conservation of historic buildings was not widely practiced. While the principles and practices related to conservation of individual works of art in museums is relatively well-established and its academic curriculum fairly well-defined, the practice of architectural conservation lags behind. By funding exemplary projects which could serve as models in the field it was hoped that practice could be strengthened and advanced.

To date, the Grant Program has funded more than one hundred architectural conservation projects worldwide. Successful grant projects incorporate analyses of the buildings' history and physical condition with an understanding of issues related to their future use, management, and preservation. Ideally, such projects are

*Fig. 1. Grant Program support is enabling an international team of specialists and local craftsmen to stabilize the seven-hundred-year-old Baltit Fort along the ancient Silk Route in Northern Pakistan, in many instances using original building techniques for the wood-and-earthen complex.*

able to serve as models of informed conservation practice within their particular region. Successful applications propose work that is governed by a philosophy of respect for the historic, aesthetic, and physical integrity of the building. Furthermore, a project must seek to retain the cultural significance of the building and to provide for its physical protection, maintenance, and future.

### Types of Architectural Conservation Grants

Grant Program funding is available for both conservation planning and implementation activities. Planning projects research available historical and archival evidence, record the physical evidence of the site and structure through architectural drawings, photogrammetry and archaeology, analyze the building's physical, structural historical, and material evidence, and develop comprehensive conservation plans based on this information. Intervention projects must be based on the planning process described above and demonstrate a commitment to safeguard the building's integrity by undertaking minimal and reversible interventions.

### Planning Grants

The Grant Program offers two types of funding for architectural conservation planning projects. The first type — Project Identification — supports projects in their most preliminary stage.

*Fig. 2. A grant to the Landmark Trust has assisted in the conservation of the historic fabric of the villa. Villa Saraceno e Finale, Agugliaro, Vicenza, Italy, c. 1545 (2); plan from Andrea Palladio, *I quattro libri dell'architettura*, 1581.*



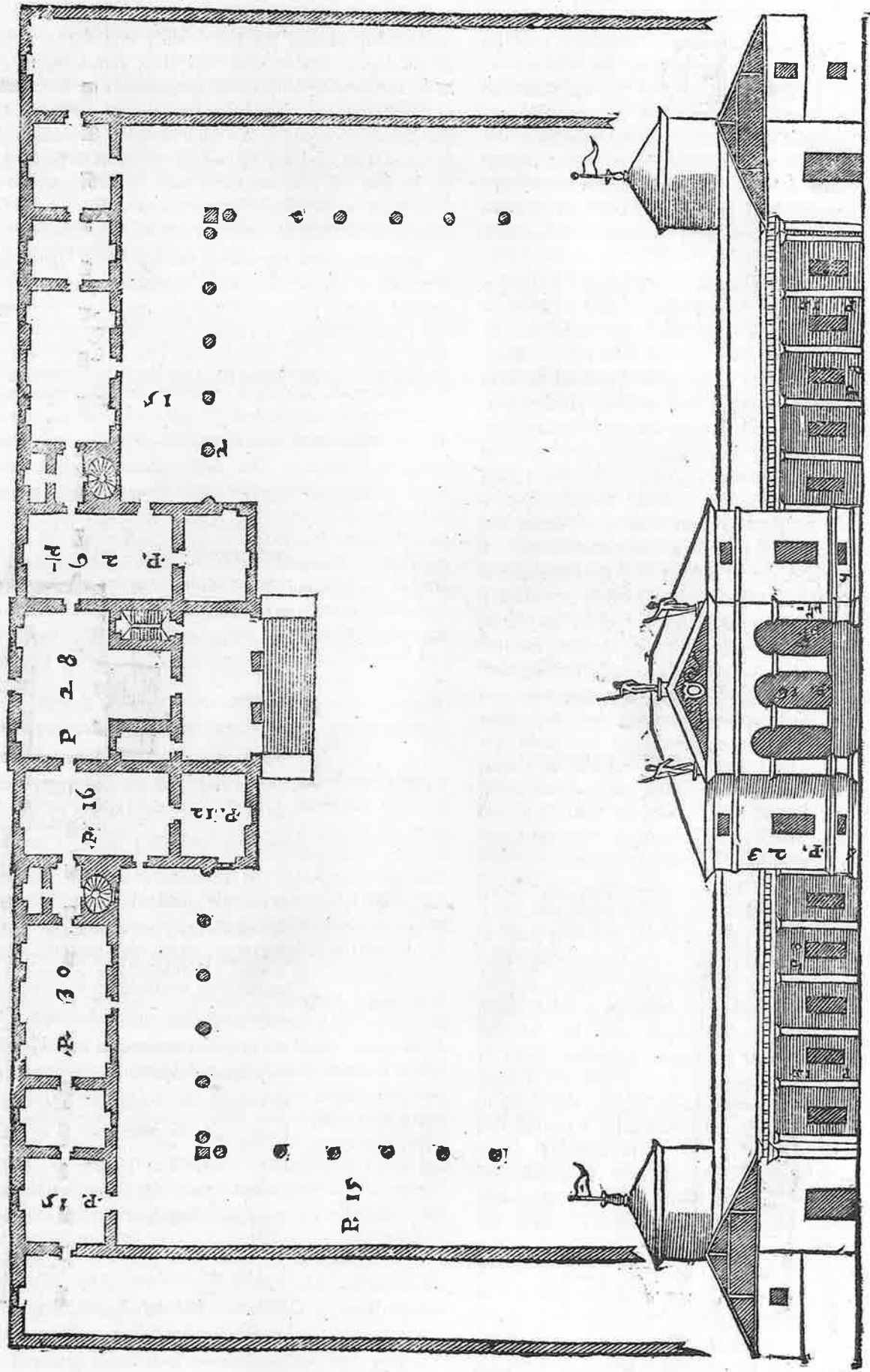


Fig. 3. This sixteenth-century villa is one of the few examples of Palladio's work to have survived with its original agricultural estate intact.

Grants provide funds to hire consultants who will conduct an initial evaluation and analysis of a historic building. Essentially, this funding is intended to establish the basic outline for a comprehensive conservation plan. Projects usually result in the creation of basic measured drawings and completion of initial photographic and structural surveys. The maximum amount awarded at this level is \$ 20,000. In some parts of the world, this amount of funding does not permit more than the most basic documentation. In others, however, \$ 20,000 can go much further toward developing detailed documentation of a building.

Recent identification grants have supported projects at the Citadel and Square of the Temple of the Tooth Relic at Polonaruwa, a World Heritage site in Sri Lanka, and the Sal6n de Profundis, Convento de San Francisco, Cordoba, Argentina. In both cases, Getty grants provided funds to prepare measured drawings and detailed photographic records of the sites, and to carry out initial research for conservation planning. The Postepowa Synagogue in Cracow, Poland was also the focus of an identification grant. Funds in this instance helped with the development of a conservation plan to stabilize the building's exterior and also to document the Synagogue's interior decoration.

The second category of support — Project Preparation — is intended to fund a more detailed analysis of a building and the completion of a comprehensive conservation plan. To this end, preparation grants have supported detailed structural and building surveys, archaeological investigation, the hiring of architectural conservators, engineer and materials specialists, photogrammetry and any other architectural documentation necessary to guide the conservation of a building. Often Grant Program funds assist in the synthesis of this information into a conservation master plan or Historic Structure Report. Up to \$ 50,000 can be requested at the project preparation level, and a one-to-one matching contribution is usually required.

The majority of architectural conservation grants made by the Grant Program are at the project preparation level. Examples of recent preparation grants include a grant to develop a detailed conservation, use, and maintenance plan for the Bishop's Palace in Dubrovnik, Croatia, and the development of comprehensive drawings, a conservation plan, and emergency stabilization work for the Ahi Chatragarh-Nagour Fort in Nagour, Rajasthan, India. A preparation grant to support the development of a Historic Structure Report for Monticello in Virginia was made to the Thomas Jefferson Memorial Foundation. An exhaustive five-volume report on every aspect of the house: its original construction methods, its current physical status, and a 10-year conservation plan was completed. This report now serves as the cornerstone of the foundation's conservation planning efforts.

Planning grants have had unexpected results as well. A preparation grant awarded to the National Museum of Decorative Arts in Buenos Aires, Argentina was such a grant. The building in which the Museum is housed, the Palacio Errázuriz, was designed by René Sergent, a French academic architect, for an Argentinean industrialist. The

Museum's planning approach aimed to conserve and stabilize the historic fabric while simultaneously modernizing parts of the 19th-century structure to better accommodate museum functions. Many similar buildings in the European style have been demolished over the course of this century, but the attention focused on the building by this conservation project has stimulated a re-evaluation of its importance, and that of two other Argentine buildings by Sergent. As a result, these three buildings are now recognized by the greater community for their important position in the built environment and are now protected.

In certain cases, because of the size or the high costs involved, an organization may be unable to take on the detailed analysis of an entire built complex at one time and may request funding for a particular project component. At Stowe House — a fine English country house whose gardens are inscribed on the World Heritage list — a conservation

The Getty Conservation Institute (GCI), one of the Getty Grant Program's sister programs, is engaged internationally in advancing the practice of conservation and working to increase public awareness of conservation's importance. Through field work, research, training, and the exchange of information, the GCI addresses the conservation needs of objects and collections, archaeological monuments and sites, and historic buildings and cities. While the Grant Program and GCI share a similar conservation philosophy, they operate in entirely different modes. Through its fieldwork activities, the GCI identifies projects which can make a far-reaching contribution to a field or region and then, in collaboration with other organizations, uses its own staff, expertise, and state-of-the-art facilities to manage those projects. The Grant Program, on the other hand, as a purely grant making organization funds projects developed by institutions unaffiliated with the Getty Trust. It does not seek out projects, nor does it provide technical assistance. As a grant-making organization, its role is to provide financial assistance to qualified organizations undertaking projects with their own staff and consultants.

master plan was already in place and preliminary analyses of the building had been completed before Grant Program funding was requested for the House's monumental colonnades. Given the importance of the project, as well as the importance of the colonnades themselves to the house's overall aesthetic integrity, the project was considered a priority. Preparation funding in this case supported the survey and recording of the colonnades, as well as a site specific archeological survey, material analysis of the colonnades' stone, mortars, renders, plasters, and historic finishes, and integration of this detailed information into Stowe's overall conservation plan.

### **Implementation Grants**

The third architectural conservation category -- Project Implementation -- funds actual intervention; in other words, 'bricks and mortar.' For a project implementation grant, an organization can request up to \$ 250,000. At minimum, a one-to-one match of funds for the project is required and in some cases, a two-to-one match must be provided.

Only organizations that have completed adequate research and documentation and have demonstrated that a fully researched conservation project exists are invited to apply for implementation grants. Success at the one or even both of the Grant Program's other architectural conservation funding levels does not ensure eligibility at the implementation level. An eligible project at this stage promises to have a lasting impact on a building's physical integrity and condition, advance a technical practice and serve as a model internationally of conservation practice. The solid commitment of the building's owner to guarantee its long term care and maintenance is also a critical funding criteria.

An essential element of every implementation grant is the inclusion of a training component. Depending upon the nature of the project, the training component might be as elaborate as a site-specific course dealing with the analysis of historic finishes or something as basic as providing funds for an architectural student to work as a project intern. The intention is to encourage organizations to develop training opportunities that take appropriate advantage of opportunities presented by the project.

Save Venice Inc., a private preservation organization received an implementation grant to reverse the detrimental effects of an earlier restoration at the Renaissance church of Santa Maria dei Miracoli in Venice, Italy. Portland cement inserted behind the building's remarkable marble revetment as a stabilization measure in the 19th century had caused salt damage to the marble. The application proposed a unique process to remove the cement, then stabilize, clean, and reinstall the marble. The project was a model in two respects: first, the sophisticated technical conservation process could be applied to other structures suffering similar problems; and, second, the extensive collaboration between the non-government conservation organization and state authorities was an excellent model of the kind of partnership often necessary to protect buildings.

Previous detrimental restoration measures were also removed with an implementation grant for the Octagon

House, an 18th-century structure in Washington, D.C., headquarters for the American Architectural Foundation of the American Institute of Architects. In the 1950s, original timber beams were replaced with steel, which subsequently stressed the structural system and cracked the masonry.

The Octagon project, which involved replacing the steel with wood, stands as a model for a number of other important American structures suffering from similar interventions. The project also included an important didactic element: the house remained open during the renovation project so that the public could view the work and special exhibits which interpreted the various aspects of the building conservation and archaeology. A travelling version of the exhibition toured AIA chapters across the United States as well. The extensive documentation completed during the course of this project will be housed in the Library of Congress for use by future conservation researchers.

Another example of an implementation grant is one awarded for the conservation of the 18th-century baroque basilica of La Merced in Quito, Ecuador, damaged during a strong earthquake in 1987. A detailed conservation plan for the entire church complex was included in the project proposal. Every component of the building's fabric including its structural integrity its exterior enclosure the window systems, and the interior decorations of the building was considered; site issues were also addressed. The potential for this project to serve as a model for similar structures in the region was an important consideration in the decision to fund this project.

### **Project Eligibility and The Application and Review Process**

Organizations interested in applying for architectural conservation grant support are first asked to submit a preliminary letter describing the planning or intervention activities for which they are requesting funding. Information about how the funds would be used and what would be accomplished with these funds should also be included. Based on this information, the Grant Program staff is able to assess whether the project is eligible for architectural conservation grant consideration and whether a full application might be appropriate. In general, projects focused on the repair and conservation of the historic fabric of the building are considered eligible, while projects consisting primarily of architectural replacement, interior restoration, commercial adaptive reuse, maintenance, or system modernization are not considered eligible. Support is not available for work already completed.

Potential applicants are also asked to provide information confirming their non-profit, charitable status and information about the architectural significance of the building to be conserved. In most cases, the building should have the highest national listing available in the country. In addition, the building must be owned by a non-profit, charitable, or government organization committed to its long-term preservation and maintenance, and be accessible to the public or used for the benefit of the community.

Information about the proposed project is also used to gauge whether it will be competitive when reviewed by



Fig 4. Poplar Forest, Forest, Virginia, c. 1806-1810, an octagonal Palladian-style villa, was designed and built by Thomas Jefferson as a private residence. A project implementation grant is

supporting the conservation of the house and related structures on the site.

experts in the field and when compared with other projects requesting funding during the Grant Program's extensive peer review process. Projects that incorporate a comprehensive approach to a building's preservation are generally the most competitive, while projects focused on the repair of isolated problems are generally not competitive. Application forms are forwarded only after the Grants Program staff have determined the project to be eligible.

The Grant Program is committed to an extensive review process that relies upon an international range of experts in appropriate fields -- spanning architectural history and architectural conservation practice -- to review eligible applications. Reviewers are asked to assess the architectural, historical, and cultural significance of the building, the project's organization and feasibility, as well as its potential to serve as a model for other conservation projects in the region. Reviewers contribute a great deal to the process, often providing a broad regional perspective and direct knowledge of the building, organizations, and communities

involved. Their comments address the complex process of conserving a historic structure. Both the applications and the reviews receive further consideration from a standing advisory committee composed of experts in related fields from around the world. Final decisions are based on the committee's extensive discussions and specific recommendations. The review process -- from application submission to the notification of an application's status -- takes approximately six months.

Organizations interested in applying for support from the Getty Grant Program should request the detailed guidelines for the architectural conservation grants. The guidelines outline the procedure for submitting a preliminary letter of inquiry. Current application deadlines are April 10 and October 10 of each year. The Grant Program staff is available to answer any questions regarding architectural conservation grants. Inquiries and preliminary letters should be directed to:

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