

ICOMOS
INTERNATIONAL SCIENTIFIC SYMPOSIUM 2013
SAN JOSÉ, COSTA RICA

TANGIBLE RISKS, INTANGIBLE OPPORTUNITIES:
LONG-TERM RISK PREPAREDNESS AND RESPONSES FOR
THREATS TO CULTURAL HERITAGE

2013 THEME:
REDUCING RISKS TO CULTURAL HERITAGE FROM
UNCONTROLLED DEVELOPMENT IN A GLOBALIZED WORLD



ICOMOS
international council on monuments and sites

ICOMOS  COSTA RICA
ICOMOS: ADVISORY AND EXECUTIVE COMMITTEE
MEETING & SCIENTIFIC SYMPOSIUM

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GENERAL INFORMATION ON THE 2013 SCIENTIFIC SYMPOSIUM

October 10th 2013, in San José, Costa Rica,
on the occasion of the ICOMOS Advisory Committee meetings

TANGIBLE RISKS, INTANGIBLE OPPORTUNITIES: LONG-TERM RISK
PREPAREDNESS AND RESPONSES FOR THREATS TO CULTURAL HERITAGE
2013 Theme: Reducing Risks to Cultural Heritage from Uncontrolled Development in a
Globalised World.

Scientific Council Officer

Pamela Jerome, ISCEAH (Earthen Architectural Heritage) / ISC20C (20th Century Heritage).

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ICTC (Cultural Tourism) Sue Millar.

ICUCH (Underwater Cultural Heritage)
ICOFORT (Fortifications) Milagros Flores.
ICORP (Risk Preparedness) Rohit Jigyasu.
ISCARSAH (Structures of Architectural Heritage)
Steve Kelley.
ISCEAH (Earthen Architectural Heritage) Claudia
Cancino, Lassana Cissé, Enrico Fodde.
ISCEC (Economics of Culture)
ISCES (Energy and Sustainability) Peter Cox.
ISCCL (Cultural Landscapes) Mónica Luengo.
ISC20C (20th Century Heritage) Sheridan Burke,
Kyle Normandin.
SBH (Shared Built Heritage)

Background

At the recent ICOMOS General Assembly in Paris, the long-standing objective of interdisciplinary cooperation was discussed in the context of the Scientific Council Triennial Action Plan for 2012-14. Taking into consideration increasing risks to tangible and intangible cultural heritage due to various newly- emerging natural and human-caused factors, the themes for scientific symposia for the next three Advisory Committee meetings will focus on

understanding, analysing and formulating mitigation tools for risks resulting from natural and human-caused disasters (2012), globalization and uncontrolled development (2013), and loss of traditions and collective memory (2015). Consideration of risks also marks a shift from reactive to a preventive approach for conservation that seeks to put emphasis on risk reduction and preparedness.

The three themes will bring forward the underlying causes for risks to cultural heritage; tools and methodologies for their assessment; and policies, strategies and techniques for reducing potential threats to the future of cultural heritage aimed at protecting and managing our irreplaceable cultural resources for present and future generations.

Context

In the framework of a globalised world enhanced by the advent of new technologies and their common and simplified use in everyday life, many think of a future world as characterized by a homogeneity in its structure, organization and functioning. Nevertheless, others imagined a world dramatically heterogeneous with tremendous spatial and social differences. Depending on different perspectives, both scenarios seem to be developing simultaneously.

In the current situation, however, changes happen so fast that they seem out of control, making it difficult to plan for the future. The entire world has undergone and continues to experience radical and massive demographic changes that transport shifting populations away from their traditional cultural environments and heritage, and bring them into close proximity with the heritage of alien cultures whose meaning is not clearly understood or appreciated. The resulting economic, social and political pressures are exerted not only on urban heritage, but also on the rural areas as well as on the entire human habitat. This phenomenon often results in forming a new identity for the rural landscape resulting in an abandonment and devaluation of heritage. Furthermore, in terms of the current global economic and social crisis, the overdeveloped city increasingly sits in opposition to the partially abandoned countryside.

This crisis is visible on economic, social, and political levels, and has already shown its first impacts/results, such as problems of productive restructuring, social crisis and environmental degradation of the urban space. The crisis is sometimes manifested as the abandoned and ruined landscape of the rural periphery of certain areas, or as the gentrification of urban centers. These phenomena affect both developed and developing countries, north and south, and east and west. Even cities and urban areas that are eminently livable experience the same problems and are in danger of losing their historical identity, along with the natural and cultural features that formed their international, as well as their local, values. In spite of these negative trends, the ICOMOS community remains convinced that heritage can play a leading role in development.

Considering these challenges, the ICOMOS Advisory Committee Symposium 2013, “Reducing Risks to Cultural Heritage from the Uncontrolled Development in a Globalized

World”, aims to assess these risks and formulate policies, strategies and measures for reducing risks from the uncontrolled development process. During the one-day symposium, position papers and case studies will be presented on the following themes:

Theme 1. The Importance of Identifying, Understanding and Characterizing the Historical and Cultural Urban and Rural Landscapes.

- a. How can we develop appropriate measures for mitigating risks to the landscape from the abandonment of the countryside and the transformation of land uses due to the continuous and uncontrolled development of space?
- b. Is the decline of traditional agriculture a factor that forms a new landscape that may differ from the historical one?
- c. What maintenance and monitoring strategies can be adopted for reducing risks to the landscape as heritage, whether experiencing the introduction of new plants or new building types, as well as settlements and other construction in rural areas?
- d. Is this uncontrolled development a reason for the urban sprawl that tends to exist in the periphery of certain metropolitan areas?
- e. What reasons and factors increase the dissonance between natural landscape and historical character?

Theme 2. Measures and Strategies for Mitigating Risks to Heritage from Population Growth, Urbanization and Immigration.

- a. How can we develop appropriate policies for minimizing the pressures to heritage from uncontrolled urban development?
- b. What techniques should be applied in order to manage the impacts of gentrification in historic cities and urban areas?
- c. What maintenance and monitoring strategies can be adopted for reducing the devaluation of heritage due to urban sprawl?
- d. What lessons can be learned from traditional construction methods and materials?
- e. How can we enhance security of cultural-heritage sites to prevent risks occurring from the ongoing trend for population movement to metropolitan areas?
- f. How is local heritage being presented and interpreted to new migrant communities? How can we avoid conflict and develop an appreciation for the local heritage on the part of these diasporic communities residing in societies that are new or alien to them? How are migrant communities changing the perception of urban heritage and affecting its conservation?

- g. Do these migrations present opportunities to create new types of diasporic heritage? How do we avoid conflicts resulting from the encounter between different cultural traditions coexisting in close urban proximity?

Theme 3. Protecting Cultural Heritage in Times of Tourism and Commercialization

- a. What are various approaches and tools for assessing risks to historic cities, urban areas and vernacular landscapes of cultural significance from uncontrolled tourism and its impacts?
- b. How do we avoid changes in the meaning and social role of heritage in order to serve the expectations of the tourist market? How do we avoid trivialization of heritage as a tourist attraction, such as historic districts behaving as mono-functional themed shopping centers, or the uncontrolled commercialization of historic settlements and vernacular architecture?
- c. Is it possible to avoid practices like façadism and inappropriate reconstructions?
- d. What are the effects on culture and cultural heritage that result from the tourist encounter in poorer communities? Can a local population's economic inequality of access and benefits as a result of development be overcome?
- e. Is adaptive reuse of vernacular built heritage in a complex urbanized context desirable?
- f. How do we avoid impact on authenticity caused by tourism with the tendency for commercialization and museumization of historic areas, and the resulting "Disneyfication", causing historic areas to resemble theme parks?

FOREWORD:

OFELIA SANOU,

PRESIDENT OF ICOMOS COSTA RICA

Presentation speech of the
AdCom 2013, San José, Costa Rica

En representación del ICOMOS de Costa Rica y Panamá me es grato dar la bienvenida a los setenta y siete delegados del ICOMOS, procedentes de diferentes partes del mundo y de todos los continentes, que nos acompañan hoy para celebrar el principal evento anual del ICOMOS Internacional.

Tal como ha ocurrido en los recientes eventos que nos preceden, en Dublín (Irlanda), París (Francia) y Pekín (China), celebraremos las reuniones de los comités Consultivo, Ejecutivo y Científico. También se ofrecerán dos actividades abiertas a profesionales del patrimonio y público interesado: un Simposio Científico Internacional y una charla sobre el concepto de integridad en el marco de la Convención del Patrimonio Mundial.

Estas reuniones son un excelente marco para que los miembros del ICOMOS, de diferentes partes del mundo, nos conozcamos y compartamos nuestras experiencias en la conservación del patrimonio cultural con colegas expertos en ese campo. En esta ocasión la gran oportunidad la tenemos los profesionales del patrimonio de la región americana. Se acorta la distancia geográfica entre nuestros países y el sitio de encuentro nos ofrece un espacio para discutir y compartir los problemas y desafíos relativos protección del patrimonio cultural de la región.

Para el ICOMOS de Costa Rica es un honor ser los anfitriones de tan importante evento, precisamente en el marco del trigésimo aniversario de la constitución de nuestro Comité Nacional.

El ICOMOS de Costa Rica (Asociación Costarricense del Consejo Internacional de Monumentos y Sitios) se constituyó en 1983, con carácter de *asociación cultural sin fines de lucro* y se le declaró de *Utilidad Pública*, según Decreto Ejecutivo N° 23236-J en la Gaceta N°95 del 18 de abril de 1994. En la actualidad el ICOMOS de Costa Rica está integrado por alrededor de cincuenta profesionales de diversas disciplinas cuya misión es velar por la preservación del patrimonio histórico-arquitectónico, cultural y natural de nuestro país.

Desde 1995 y a partir de la Ley N°7555, Ley de Patrimonio Histórico Arquitectónico de Costa Rica, el ICOMOS de Costa Rica forma parte de la Comisión Nacional de Patrimonio, órgano asesor del Ministerio de Cultura y Juventud. Desde 2000 también posee un asiento en la Comisión Nacional de Patrimonio Inmaterial.

En los treinta años de su existencia, el ICOMOS de Costa Rica ha cumplido una labor fundamental en las actividades de sensibilización y educación de la comunidad nacional en los

temas de Patrimonio histórico-cultural. Su labor se ha resumido en las máximas: *Investigar para educar y Educar para preservar*.

En esta primera etapa, el ICOMOS de Costa Rica contribuyó junto con otras instituciones a realizar un cambio cultural y de conciencia en la comunidad nacional, sobre la valoración de nuestro patrimonio material e inmaterial. Desde su constitución, el ICOMOS de Costa Rica ha difundido y abierto importantes espacios para promover marcos de discusión e intercambio de información nacional e internacional relativos a los principios, medios técnicos y jurídicos para la recuperación, conservación y puesta en valor de monumentos, sitios e itinerarios culturales.

En la actualidad nos encontramos frente a una nueva coyuntura, en donde gran parte de nuestros esfuerzos se han dirigido a revisar la puesta en práctica de la Ley de Patrimonio Histórico Arquitectónico, Ley N°7555, la cual ha cumplido, en el año 2013, 18 años de vigencia.

Bajo ese régimen se encuentran protegidos alrededor de 365 bienes inmuebles tutelados por instituciones del Estado, la Iglesia y el sector privado. La práctica cotidiana nos ha revelado el enorme descuido en que se encuentra una gran parte del patrimonio histórico arquitectónico de la nación, no sólo el protegido por la Ley 7555, sino también otros bienes identificados que están en proceso de ser reconocidos por esta ley. No se le ha dado un adecuado seguimiento, mantenimiento y puesta en valor a numerosos bienes inmuebles que están tutelados por instituciones nacionales o en posesión privada.

Para atender esta problemática nos hemos abocado a realizar tres luchas concretas: 1) la revisión del Reglamento de la Ley 7555, con el fin de definir claramente cuáles son las etapas y plazos del proceso de declaratorias, y cuáles las competencias y obligaciones de los diferentes cuerpos y actores que interviene en ese proceso; 2) la búsqueda de una estrategia nacional para realizar declaraciones de Centros o Áreas Históricas incorporando en el proceso, los gobiernos locales y otros actores públicos y privados; 3) la búsqueda de alternativas viables para conseguir incentivos y fuentes de financiamiento que nos permitan dar sostenibilidad a la conservación de sitios y conjuntos urbanos. Hemos involucrado en estas búsquedas a los líderes y jerarcas, a entes privados y públicos, organizaciones comunales y a los profesionales y técnicos que formulan los planes de desarrollo y planes reguladores de los municipios del país.

Otra importante tarea en la que nos hemos propuesto incurrir en la presente gestión es apoyar y dar seguimiento a los procesos de declaratoria de Patrimonio Mundial en el campo del patrimonio cultural en nuestro país. Para ello es imprescindible formar capacidades en la identificación y valoración del patrimonio cultural regional que podría ser susceptible de ser reconocido como Patrimonio de la Humanidad.

Para nadie es un secreto que nuestro país es reconocido como destino turístico por su patrimonio natural. Costa Rica posee cuatro áreas naturales incluidas en la lista de Patrimonio Mundial: el Área de Conservación de Guanacaste, el Parque Nacional de la Isla del Coco y, compartidos con Panamá, el Parque Nacional La Amistad y la Reserva de la Sierra Talamanca-La Amistad.

Desde el 25 de noviembre del 2005, el boyeo y la carreta de Costa Rica forman parte de la lista de la UNESCO de Obras Maestras del Patrimonio Oral e Inmaterial de la Humanidad. El boyeo y la carreta tienen una fuerte raíz campesina en el Valle Central, pero también cuentan con importantes exponentes en Guanacaste y otras regiones del país. Tiene

tanta fuerza y vigencia en el campo de lo laboral como en el campo de lo festivo y se ha convertido en un ícono de referencia a nivel de todo el país.

El patrimonio arqueológico de Costa Rica ya es reconocido mundialmente por dos sitios, aunque aún no estén reconocidos como Patrimonio de la Humanidad: el Monumento Nacional de Guayabo y los Asentamientos Cacicales Precolombinos con Esferas de Piedra de Diquís. Este último está en proceso de nominación ante el Centro de Patrimonio Mundial por ser un legado monumental distintivo del Sur de Centroamérica. Esta construcción de asentamientos y esculturas monumentales de piedra reflejan la existencia de una sociedad compleja, distinta a otras zonas vecinas, especializada en la construcción de símbolos de poder (datan del 800 al 1500 d. C.). Los Asentamientos Cacicales Precolombinos con Esferas de Piedra de Diquís es el sitio arqueológico más singular e impactante de Costa Rica y es único en el mundo, diferente de otros sitios arqueológicos nacionales, centroamericanos y mundiales.

En cuanto al patrimonio arquitectónico costarricense, internacionalmente se reconocen algunos importantes monumentos nacionales que son reflejo de nuestra historia patria, como el Teatro Nacional, joya arquitectónica del siglo XIX, y el edificio de los Museos del Banco Central, edificio emblemático del ocaso del movimiento moderno en Costa Rica.

Posiblemente, si cambiáramos de paradigma para ver nuestro patrimonio arquitectónico y lo cuidáramos con más empeño, relacionándolo con su contexto productivo y natural, podríamos llegar a presentar alguna candidatura, no como arquitectura aislada sino asociada al paisaje cultural.

La arquitectura de Costa Rica es diversa, al igual que su naturaleza: son pocos los conjuntos urbanos homogéneos y articulados. No obstante, cuando estudiamos la identidad geográfica y cultural de las diferentes regiones de Costa Rica, de acuerdo con sus procesos históricos de fundación de los poblados y construcción de sus edificios, encontramos interesantes conjuntos arquitectónicos, paisajísticos y culturales que se diferencian notablemente de otros sitios similares en el país y en la región centroamericana.

Agradezco esta noche a las personas y entidades que han hecho posible que se efectúe en Costa Rica la reunión anual de ICOMOS internacional. Agradezco a los colaboradores más cercanos, a la Junta Directiva de ICOMOS de Costa Rica, a esa fraternidad que constituyen los miembros del ICOMOS y los amantes del patrimonio.

INTRODUCTION: PRESENTATION SPEECHES

Henning Jensen-Pennington, Rector of the University of Costa Rica

Closing Speech

Muy buenas tardes.

Espero que el día de hoy haya ofrecido valiosas oportunidades para el intercambio de ideas, a través de un intenso diálogo internacional y multicultural, sobre cómo fortalecer las estrategias de conservación de los bienes patrimoniales. En eventos como éste, se hace evidente la interdependencia y cooperación que la ciencia o la academia requieren para avanzar en el cumplimiento de sus metas.

La realización de este Simposio Científico de ICOMOS en la Universidad de Costa Rica, nos deja la satisfacción de contribuir con la búsqueda de mejores soluciones para la protección del patrimonio cultural de los pueblos del mundo. Como institución educativa de carácter público, reconocemos el desafío que supone enseñar a las nuevas generaciones de ciudadanos y profesionales, a no ensimismarse en la inmediatez del presente, una experiencia que propicia la sociedad de consumo. En la actualidad, muchos bienes se describen como fácilmente descartables y reemplazables, lo cual hace de la novedad un valor cada vez más deseado, aunque inevitablemente efímero. Desde esta perspectiva, la noción de patrimonio se piensa en términos económicos, antes que en función de significados culturales y legados históricos.

Contrario a esta exacerbación de la inmediatez y sobrevaloración de lo novedoso, se debe estimular en las nuevas generaciones el desarrollo de una disposición empática, de la capacidad humana para identificarse con el otro, con los mundos de la otredad (entre ellos, los que provienen del pasado), con lo percibido diferente o ajeno, sin que realmente lo sea. Esta es una disposición necesaria para la defensa del interés y los bienes públicos, cuando cada quien reconoce que sus decisiones personales tienen consecuencias concretas no solo para sí mismo, sino para otros; no solo ahora, sino también mañana.

La vida humana se caracteriza por el encuentro entre lo pasajero y lo estable, por fuerzas de cambio y continuidad. Nuestra propia fugacidad individual estimula la búsqueda de alguna forma de trascendencia humana a través de una comunidad, de sus prácticas y producciones. Los bienes patrimoniales, materiales o intangibles, constituyen formas de trascendencia social, a través de las cuales las personas se reconocen y comunican en comunidad, y las comunidades se reconocen y comunican en la historia.

En un mundo cada vez más globalizado, procurar este delicado equilibrio entre cambio y continuidad no es sencillo. Reconocemos el trabajo que ICOMOS realiza en esa dirección. Muchos de los presentes contribuyen también con ese esfuerzo, con el objetivo de conservar la riqueza de la vida cultural de diversos grupos, países y regiones. Mis mejores deseos para el desarrollo de sus proyectos actuales y futuros. Su éxito será también nuestro, como habitantes de Costa Rica, como latinoamericanos y como pueblos del mundo.

Muchas gracias.

Roberto Salom,
Vice-Rector of Social Action,
University of Costa Rica

Inauguration Speech

Muy buenos días, amigos y amigas de ICOMOS.

En nombre del Rector de esta universidad, Dr. Henning Jensen Pennington, y en el mío propio, les expreso la más cordial bienvenida a nuestra institución. Para nuestro país, y para la Universidad de Costa Rica, es un placer y un honor ser anfitriones de este Simposio Científico del Consejo Internacional de Monumentos y Sitios.

En nuestra comunidad universitaria muchos compartimos la preocupación por la protección, conservación y restauración del patrimonio cultural de los pueblos. También somos conscientes del desafío que representa comunicar y socializar efectivamente estos principios, con el fin de generar mayor conciencia, modificar actitudes y conductas, y promover una responsabilidad social compartida, cuando se trata de preservar la riqueza de nuestro patrimonio. Lejos de ser éste un tema exclusivo de especialistas, debería ser un punto fundamental de la agenda social discutida en el seno de las comunidades. Porque una comunidad existe en función de significados, conocimientos, prácticas y bienes compartidos, cuyo valor histórico-patrimonial y carácter público deben ser defendidos por todos sus miembros.

Todo pueblo tiene el derecho de conocer su patrimonio, de proyectarse hacia el futuro a partir de su propia historia. En cada comunidad, los edificios y paisajes locales son anclas de esa historia, dispositivos culturales para conectar el pasado con el futuro. Su conservación provee una experiencia vital y estética, capaz de hablar sobre los orígenes comunes y diversos de la comunidad, sobre sus continuidades y transformaciones sociales.

En un mundo global, las sociedades se transforman cada vez más aceleradamente, sujetas a procesos que muchas veces ponen en peligro el delicado equilibrio entre continuidad y cambio, entre tradición y renovación, que es característico de los procesos culturales y de la vida humana. En tiempos cuando la tendencia hacia la homogeneización y la uniformidad de las formas de vida y pensamiento es cada vez más fuerte y, en muchos ámbitos, exitosa, una de nuestras prioridades debe ser preservar para el futuro los testimonios de una humanidad cuya riqueza está en su diversidad, en la pluralidad de sus expresiones materiales e inmateriales.

Muchos cambios son necesarios para propiciar una mejor relación del ser humano con su entorno, desde cambios culturales hasta legales. Cambios que hagan posible, por ejemplo, que el suelo y los bienes inmuebles se reconozcan como algo más que una inversión lucrativa o una simple mercancía, con la convicción de que las decisiones sobre su uso tienen un fuerte impacto social y ambiental, y sobre la calidad de vida de las generaciones futuras.

En un país pequeño como Costa Rica, la carencia histórica de una adecuada planificación urbana ha creado serios riesgos para la conservación del patrimonio, el cual se continúa destruyendo impunemente, cuando se derriban edificios antiguos que no están debidamente protegidos por la ley.

El creciente impacto destructivo de las actividades humanas nos exige cuestionar el modelo de desarrollo actual, y esforzamos más para cambiar nuestros estilos de vida, para construir modelos realmente sostenibles. Debemos comprender estos problemas culturales y ambientales de una forma sistémica y ética, conscientes de cómo interactúan con las diferentes condiciones económicas, sociales y políticas. Nuestras comunidades merecen alternativas frente al paisaje muchas veces opresivo, descuidado, indiferente y contaminado que se ha instalado en nuestra vida cotidiana, y aprisiona a tantas personas dentro de estilos de vida poco saludables.

En las últimas décadas, Costa Rica ha hecho del turismo una de sus principales fuentes de ingreso, apoyada en su historia democrática y en la riqueza de sus recursos naturales y humanos. La imagen del país que se ha comercializado para atraer las miradas internacionales, tiene un importante valor simbólico, que debe ser fortalecido con mejores realidades, con políticas responsables y coherentes que garanticen un adecuado equilibrio entre el interés público y el privado. El país y sus habitantes requieren que la sostenibilidad, la biodiversidad, la paz, la democracia y la felicidad sean experiencias reales y cotidianas, disfrutables para las generaciones actuales y futuras. Solo de la mano de políticas culturales y ambientales claras, orientadas hacia la educación, la conservación y la protección, el turismo será una actividad sostenible en el futuro.

Encuentros como el Simposio de hoy ofrecen valiosas oportunidades para el diálogo internacional y multicultural, para intentar comprender —desde principios comunes— las diferencias entre países, regiones y comunidades, con el fin de establecer prioridades y estrategias de acción.

Mis mejores deseos para el desarrollo de este Simposio Científico, así como para el trabajo de los comités de ICOMOS durante su encuentro internacional.

La Universidad de Costa Rica se siente honrada al recibirlos. Están aquí en su casa académica.

Muchas gracias.

Gustavo Araoz, President of ICOMOS

Inauguration Speech

Comienzo antes que nada por agradecerles a todos en ICOMOS Costa Rica e ICOMOS Panamá por la acogida cálida y cariñosa con que nos han recibido. Sabemos bien el esfuerzo enorme que han hecho para conseguir el apoyo y los recursos necesarios para preparar esta reunión del Comité Consultivo del ICOMOS. Vuestra labor ha de servir de ejemplo a todo el ICOMOS de lo que pueden lograr dos relativamente pequeños comités nacionales a través de la solidaridad y el compromiso con el espíritu de cooperación internacional que siempre ha guiado la labor del ICOMOS. El trabajo solidario de Costa Rica y Panamá ha de servir también como un llamado a toda la región de las Américas a elevar nuestra presencia en todas las redes globales del ICOMOS.

Mucho ha ocurrido durante el curso de este año y desde nuestra reunión en Pekín. Tristemente, sigue la destrucción y las amenazas al patrimonio cultural en muchos lugares. Actualmente están bajo preparación expedientes de *Heritage Alert* para sitios en peligro en Ucrania, Rusia y Rumania. La crisis económica en Europa y otras partes ha reducido de manera trágica y dramática los presupuestos para la cultura y el patrimonio. La intransigencia del Congreso de los Estados Unidos en cuanto al pago de sus cuotas a la UNESCO ha reducido drásticamente la capacidad de dicha organización, a pesar de los valientes esfuerzos por parte de la Directora General, Irinia Bokova, para hacerle frente a la situación de crisis.

En Siria y Egipto hemos visto una vez más la masiva destrucción del patrimonio cultural que pueden provocar los conflictos armados internos. En este sentido, debo reconocer la labor de Samir Abdulac para mantener al mundo informado de esta triste situación y por servirnos de guía en cuanto a cómo el ICOMOS debe enfrentar estas horribles situaciones. En medio de la devastación en Siria, el ICOMOS respondió con un programa a través de medios virtuales para capacitar técnicos y especialistas sirios en la protección de sus monumentos. Este programa fue preparado por el ICORP bajo el capaz liderazgo de Rohit Jigyasu.

Bajo estas circunstancias excepcionales, el ICOMOS continúa su labor. Como es de esperar, la preparación de nuestra Asamblea General en Florencia, el año próximo, sigue avanzando. Me alegra informarles que el evento va tomando su forma y promete ser una gran celebración que incluirá programas especiales para los jóvenes profesionales, a quienes tenemos que abrirles las puertas para que comiencen a tomar las riendas del ICOMOS, a medida que se acerca un cambio generacional en nuestra organización. Es justo que aquí reconozcamos el trabajo del equipo de ICOMOS Italia que está siendo coordinado por Maurizio di Stefano, Francesco Caruso y Paolo del Bianco. También tenemos que reconocer la colaboración del Comité Científico a cargo del Simposio, tanto de la parte italiana como del lado internacional, quienes están desarrollando un programa que le demostrará al mundo la magnitud de los recursos intelectuales que el ICOMOS posee.

Más tarde en el programa escucharán de nuestra Secretaria General, Kirsti Kovanen, sobre los nuevos proyectos patrocinados por la Unión Europea ya en curso en nuestro Secretariado en París y que, no sólo nos permiten agrandar nuestra capacidad de crear una mayor protección del patrimonio, sino que también ayudan con un importante aporte financiero. Estos proyectos son resultado de los esfuerzos de nuestro Director General, Philippe Allard, en compañía de Bernd Paulowitz y Gaia Jungeblodt. Otra iniciativa más reciente sobre la cual oirán sus detalles más tarde, se trata de una colaboración con la UICN para desarrollar mejores métodos para el manejo conjunto del patrimonio cultural y el natural, y que se debe a la labor ejemplar de Kristal Buckley, nuestra dedicada VP de Australia.

Este año, al igual que en años anteriores, el ICOMOS fue contratado por el WMF de Nueva York para proveer servicios de evaluación de las nominaciones a su Lista del *Watch*. Para lograrlo, se identificaron miembros a través de nuestros comités nacionales y científicos que, a cambio de sus servicios, recibieron un modesto honorario que cada cual pudo destinar como contribución a su comité científico o a uno de los fondos que brindan ayuda financiera para que nuestros miembros más necesitados puedan asistir a la Asamblea General. Para el ICOMOS, el contrato contribuyó con \$5.000 para cubrir los gastos administrativos y de coordinación.

Un éxito que debemos celebrar es que, después de muchos años de trabajo, tenemos una sólida propuesta para enmendar los estatutos del ICOMOS, la cual discutiremos aquí en San José, como preparación para su adopción en Florencia, el año que viene. Todos ustedes han recibido un documento donde se explica la necesidad y la naturaleza de cada propuesta de enmienda. Todos debemos reconocer la intensa labor realizada en este sentido por Benedicte Slefsagh, Gideon Koren y Peter Phillips.

Si me permiten, ahora voy a cambiar de idioma, para hablar en inglés.

As I insinuated a few minutes ago, a major concern among many of us is the transfer of the ICOMOS leadership to the next generation, and we are addressing this from several angles. Our three youngest members in the executive Committee, Amel Chabbi from the UAE, Rohit Jigyasu from India and Daniel Young from Panama have agreed to tackle this issue within the Executive. In addition, Carlotta del Bianco from Italy, has volunteered to coordinate a global initiative that will involve all the National Committees in starting to work on what I am calling the “Next Generation of ICOMOS Initiative”. To accomplish this, we need to listen to the concerns and ideas of our younger members so that we understand their vision and the challenges they face. Carlotta has asked to ask each of the National Committees to identify two or three young members in your committee who will be willing to work on this. Carlotta brings excellent credentials for this work since she has already organized a very successful Youth Group in ICOMOS Italia, and is planning special events for young professionals as well as students for next year’s General Assembly.

But we not only need to worry about balancing the age factor in ICOMOS. We also have to make sure that ICOMOS provides full participation to all who want to protect, use and benefit from their cultural heritage. For this reason, you will recall that I recently issued a call for individuals interested in developing a new scientific committee on indigenous heritage so that those who deal with heritage in indigenous communities may bring their concerns, needs and successes to the global networks of ICOMOS, without the need for interlocutors. I have had a positive result from members in several National Committees as well as from several indigenous community representatives who will have to join ICOMOS to drive this initiative forward. My hope is they will be with us at our General Assembly next year.

As many of you know from my past involvement with the International Scientific Committees, the issues of multi-disciplinary cooperation and research have been a priority of this administration as well as of the Scientific Council. As you will be hearing from the Scientific Council Officers, I am glad to highlight that as part of our Cooperative Agreement with the Romualdo del Bianco Foundation in Italy, we have a generous offer to host and support in their facilities in Florence meetings of the ISCs that address heritage issues from multi-disciplinary points of view.

Over the past year, I have also been involved on a number of important initiatives as an individual, and not as President or representative of ICOMOS, that I would like to share with you, not only for disclosure but to alert you of the opportunities that they may bring to ICOMOS.

The first of these is a project that I am doing in partnership with Neil Silberman for the Organization of American States (OAS) that focuses on the cultural heritage of 14 member countries in the English-speaking Caribbean. After conducting a regional survey to identify needs, gaps and priorities, we are now about to start on four model projects with region-wide applicability on the priority areas of heritage legislation, the establishment of heritage inventories and registers, sustainable tourism through community participation and building academic networks for individual and institutional capacity building. We see this project as an important opportunity to link the heritage community in the region with the global networks of ICOMOS through the establishment of new National Committees as well as reinforcing existing ones.

The second initiative has to do with the CyArk Foundation in California, which is dedicated to expand the use of laser scanning technology in all regions of the world for the improvement of documentation, monitoring and management, interpretation, education and the development of responsible tourism.

I have been asked to chair an advisory council that has developed the criteria that will then allow the Council in selecting the 500 sites that the Foundations will use as models or catalysts to foster a broad use of the technology. It is foreseen that the ICOMOS global network—and in particular the National Committees—will be of great help in identifying and nominating sites for the CyArk 500 List that will be launched officially in London next week. We are also exploring with Mario Santana how CIPA and other ISCs can be more directly connected with these efforts.

Lastly, I have been participating in an exciting initiative sponsored by the Government of Japan and under the able leadership of Ex Com member Toshiyuki Konno that will celebrate the 20th Anniversary of the Nara Document by increasing the understanding of its impact in light of the changes that have taken place in the heritage field since 1994. Japan's Cultural Heritage Commission is now coordinating with the Italian organizers of our next General Assembly where they will present the results of the process.

In closing, I want to emphasize the duty that we all have to drive the growth of ICOMOS by having open committees that proactively seek the welcoming of all who work for the protection of the cultural heritage in each of our countries. Unfortunately, we know of a number of committees that continue to insist in keeping their doors closed to new members in violation of the Dubrovnik-Valletta and Eger-Xi'an Principles. I will insist once more that all components and committees of ICOMOS must be accessible to all who want to contribute and to expand their professional experience. We will not tolerate unjustified exclusions of anyone.

To conclude, I want to thank you the members of ICOMOS for having elected an Executive Committee where collegiality and constructiveness are the rule of behaviour. It is a privilege for me to work with such a group of talented and committed individuals. Finally, if my report seems to fall short of the expectations we had for this year, I would agree with you. I had hoped to have accomplished far more as we approach the second year of this triennium. Fortunately, I have been given another slot to speak to you under another agenda item this morning and I will use that time to present to you the challenges that ICOMOS still faces and that we must convert into opportunities for growth and enhancement of our institutional authority.

Thank you.

Melvin Campos, Vice-President of ICOMOS Costa Rica

Inauguration Speech

Welcome, friends. The few words I wrote for you are in Spanish, for this tongue is part of the Intangible Cultural Heritage of my country. I'm sure you can understand this decision. And since we have simultaneous translation, we will have no problem whatsoever.

Bienvenus, mes amis. Les mots que je vous ai écrit sont en espagnol, parce que cette langue fait partie du patrimoine culturel immatériel de mon pays. Je suis sûr que vous pouvez comprendre cette décision. Et puisque nous avons la traduction simultanée, nous n'aurons aucun problème que ce soit.

Bienvenidos, amigos. Las palabras que he escrito para ustedes son en español, pues esta lengua es parte del patrimonio cultural inmaterial de mi país. Estoy seguro de que comprenderán esta decisión. Y dado que tenemos traducción simultánea, no tendremos ningún problema.

Buenos días, autoridades del ICOMOS, de los Comités Científicos, de la Universidad de Costa Rica y compañeros especialistas en patrimonio cultural.

El tema que nos convoca hoy es la preocupación común ante los riesgos que corre el patrimonio cultural en un mundo cada vez más homogéneo. Y esto es notable en todas partes, pues los gobiernos locales favorecen construcciones modernas en vez de edificios patrimoniales o cerca de sitios patrimoniales. Sólo para citar dos alarmantes ejemplos, recordemos el riesgo de perder las declaratorias que enfrentan los sitios de Sevilla o Panamá Viejo, ambos por este tipo de contaminación visual.

La primera parte de este problema está vinculada con la noción de 'desarrollo' que manejan nuestras sociedades, desde el advenimiento de la Modernidad, a fines del siglo XVIII. Como forma de ruptura con el Antiguo Régimen, la valoración de lo nuevo, el deseo de mirar al futuro y el repudio a lo antiguo fueron la norma. Y este rechazo se vio también en lo infraestructural: había que construir edificios modernos que encarnaran los nuevos valores. Y, así, como negación del Barroco, surgió el Neoclásico para construir las instituciones de la Modernidad: sedes políticas, bolsas de comercio, capitolios. Pero pronto el Neoclásico fue viejo y hubo que sustituirlo por otra tendencia, que también acabó por envejecer y así sucesivamente... El desarrollo se representa en construcciones siempre más nuevas, más modernas. Y en todo campo del quehacer humano se percibe ese afán moderno por negar lo pasado y mirar al futuro, aunque el futuro nunca llega realmente. Así que, como vemos, es una historia interminable.

Nuestra pequeña San José es un curioso ejemplo de ese malentendido anhelo de progreso: una ciudad que, poco a poco, fue demoliendo su patrimonio por considerarlo arcaico. Y esto nos dejó construcciones neoclásicas junto a otras de los ochenta, un Art-

Nouveau a la par de un edificio de los cincuenta, un victoriano encerrado entre edificios del siglo XXI.

Por otro lado, la segunda parte de este problema es, justamente, la globalización pues ella establece un modelo cultural homogéneo para todo el mundo. Literatura, música, ropa, alimentos, costumbres, sistemas económicos, arquitectónicos... la globalización nos ofrece a todos los países el mismo modelo social y estético promovido por la Modernidad.

Pero aunque el panorama pueda parecer difícil, como dice el dicho, la esperanza es lo último que muere. Y se encuentra, por cierto, en controlar ese “descontrol” del desarrollo. En efecto, no es imposible la convivencia entre Modernidad y patrimonio. Existen ejemplos de sobra de cómo pueden coexistir el pasado y el ideal de futuro. Lo necesario es educar a la gente: construir en los pueblos y en los gobiernos, la consciencia de que no todo lo pasado es obsoleto, de que es necesario sostener la memoria histórica, en las tradiciones, en los edificios, en las fiestas y las artes... La educación es el arma fundamental para defender el patrimonio.

Debemos ayudar a que nuestra gente entienda que no se construye el mañana, demoliendo el ayer, pues un mundo sin pasado, es un mundo sin futuro.

Nous devons aider nos gens à comprendre qu'on ne construit pas le demain par la démolition d'hier, parce qu'un monde sans passé, est un monde sans avenir.

We must help our people understand that tomorrow is not built by demolishing yesterday, for a world without past, is a world without future.

Pamela Jerome, Scientific Council Officer

Inauguration Speech

The Scientific Council Symposia are about cross-pollination not only between the International Scientific Committees, but also the National Committees, as best exemplified by ICOMOS Mexico, which for the past two years has invited an ISC to their General Assembly: last year ICLAFI (International Committee for Legal, Administrative and Financial Issues), and this year, ICICH (International Committee on Intangible Cultural Heritage). We have already had a three-part series looking at the theme of Changing World, Changing Views of Heritage: The Impact of Global Change on Cultural Heritage; now we are in part two of the three-part series focusing on the theme of risk.

We had a very successful symposium last year at the 2012 Advisory Committee in Beijing, which started this three-part series known as Tangible Risks, Intangible Opportunities: Long-Term Risk Preparedness and Responses for Threats to Cultural Heritage. Last year's theme was Nature: Natural and Human-Caused Disasters. This year's theme here in San Jose, Costa Rica is Development: Globalization and Uncontrolled Development. The third part of this theme will be held in 2015 and will cover Identity: Loss of Traditions and Collective Memory.

The Scientific Council Symposia are structured so that the first two-thirds involves the presentation of a series of papers based on sub-themes developed from the main theme. The final third provides for breakout sessions wherein sub-theme questions are debated within the framework of an overall question in each sub-theme group, so as to engage the intellect of the International Scientific Committee and National Committee participants at the symposia. This is followed by a plenary session to present the conclusions and recommendations developed by each breakout group. The results of the symposia, both papers and conclusions, are then published, either in hard copy or digital form. In this way, there is a tangible product that emerges from each interdisciplinary symposium. We are scheduled to issue the publication of the Beijing symposium, as well as the San Jose symposium at the General Assembly in Florence in 2014.

Sofia Avgerinou-Kolonias,
Symposium Co-Chair, Ex Committee member,
SC Officer

Inauguration Speech

I would like to welcome all colleagues who came from all five continents to the welcoming University of Costa Rica.

I would also like to extend my heartfelt thanks to the colleagues from the ICOMOS National Committees of Costa Rica and Panama for their warm hospitality and great effort to organize this symposium.

During the 17th General Assembly in Paris we formed a three-year program (2012-14) of scientific symposiums within the context of the annual meetings of the Advisory Committee in regard to the risks threatening the cultural tangible and intangible heritage with the title *Tangible Risks, Intangible Opportunities: Long-Term Risk Preparedness and Responses for Threats to Cultural Heritage*

Considering that in order to approach great issues the interdisciplinary cooperation is a prerequisite for scientific trustworthiness, we have promoted over the past few years within the Scientific Council the collaboration with the International Scientific Committees. Within this spirit, we organize today's symposium under the subject of *Reducing Risks to Cultural Heritage from Uncontrolled Development in a Globalised World*.

Our conviction is that culture and heritage can constitute factors of sustainable development. It is for that reason that we research and look for the proper protection tools for the cultural heritage.

This symposium goal is to record the repercussions on the cultural and natural environment, brought on by the quick moving and sometimes incontrollable changes in the modern world. These are financial, social and political repercussions which, by changing the identities of landscapes oppose the over-developing towns and urban areas to the partially abandoned countryside. Another goal is also to examine the methods, the means and tools, the policies and strategies allowing for the control and restrain of these implications, so that heritage can pass on to future generations.

The papers presented here today have been chosen through the blind evaluation method by 10 evaluators-representatives of the ICOMOS International Scientific Committees. From this floor I would like to warmly thank for their contribution the following colleagues:

Samir Abdulac CIVVIH (Historic Towns and Villages), **Sue Millar** ICTC (Cultural Tourism), **Milagros Flores** ICOFORT (Fortifications), **Rohit Jigyasu** ICORP (Risk Preparedness), **Lasane Cissé**, **Enrico Fodde** ISCEAH (Earthen Architectural Heritage), **Mónica Lunego** ISCCL (Cultural Landscapes), **Daniel Ureña** ISCARSAH (Structures of Architectural Heritage), **James Reap** ICLAFI (Legal, Administration and Financial), **Neil Silberman** ICIP (Interpretation and Presentation of Cultural Heritage Sites).

I would like to thank also Benjamin Goes for his special contribution to our symposium as the key note speaker on *The Hague Convention of 1954 for the Protection of Cultural Property in the Event of Armed Conflict and its two Protocols, preventive and safeguarding tools in peacetime*.

I would also like to congratulate the colleagues who deposited their proposals and were evaluated so that they can present their very interesting papers, thus contributing to the interdisciplinary scientific discussion proposed:

- Arlene K. Fleming, Jonathan Baker & Claudia Cárdenas, Duygu Saban Okesli, Urvashi Srivastava, on *The Importance of Identifying, Understanding and Characterizing the Historical and Cultural Urban and Rural Landscapes* (first topic).
- Rosendo Pujol-Mesalles, Karla Barrantes-Chaves & Claudia López-Oviedo, Bie Plevoets & Koenraad Van Cleempoel, Faïka Bejaoui, Peter Phillips on *Measures and Strategies for Mitigating Risks to Heritage from Population Growth, Urbanization and Immigration* (second topic).
- Robyn Riddett, Ofelia Sanou, Giselle Chang-Vargas, Marija Nemunienė on *Protecting Cultural Heritage in Times of Tourism and Commercialization* (third topic).

Reading the papers presented today I see that some interesting observations and questionings arise, which I am sure will be discussed during the presentations as well as the breakout sessions.

I note certain interesting notions/key words for today's dialogue such as risks from urban Growth/ Sprawl and urbanization/immigration, importance of urban and rural landscape, Cultural and Historic Urban Landscape, Tourism and commercialization of heritage, measures and strategies, communities public awareness and education, participation, integrated Communication, Participation.

I therefore invite you all today to enjoy this tour in the world of culture and heritage and to participate in the scientific dialogue which will take place in the welcoming amphitheater of the University of Costa Rica.

**KEY NOTE
ON THE TRIENNIAL THEME**

THE HAGUE CONVENTION OF 1954 FOR THE PROTECTION OF CULTURAL PROPERTY IN THE EVENT OF ARMED CONFLICT AND ITS TWO PROTOCOLS, PREVENTIVE AND SAFEGUARDING TOOLS IN PEACETIME

Benjamin Goes

Chair of the
Inter-Governmental Committee for the Protection of
Cultural Property in the Event of Armed Conflict

Mr Rector,
Ladies and Gentlemen,

I would like to say how very grateful I am to ICOMOS for providing me with the opportunity to speak to you all. The theme of preparing to deal with the risks that might threaten cultural property is one that is very important to me in my capacity as Chair of the Committee for the Protection of Cultural Property in the Event of Armed Conflict, an Inter-Governmental Committee comprising 12 States Parties to the Second Protocol to the Hague Convention. The Hague Convention of 1954 for the Protection of Cultural Property in the Event of Armed Conflict, which I will simply call the Convention, and its two Protocols offer authentic tools for preventing these risks, despite the unfortunate fact that these tools are not acknowledged as much as they deserve.

1. The Convention for the Protection of Cultural Property in the Event of Armed Conflict: a misleading title

First of all, allow me from the outset to put paid to a widespread belief that because of the Convention's actual title, its scope is confined to situations of armed conflict. This is true only to a certain extent and I might say, somewhat in jest, that the title of the Convention is a case of being misled by unreliable labelling.

In support of my remarks, I would like to examine with you the scope of the Convention, then the Convention's provisions that make specific reference to situations of armed conflict, followed by all the other provisions applicable to respecting and safeguarding cultural property in peacetime.

2. Scope of the Convention

The cultural assets ICOMOS deals with, monuments and sites, are covered by the Convention of 1954 insofar as these assets are mentioned in the Convention's first article. The Convention is applicable to a wide range of movable and immovable property.

2.1. Types of immovable property ¹

If we focus on the area of particular interest to you, the Convention covers:

- a. *Immovable property*, property of great importance to the cultural heritage of every people, such as monuments of architecture, art or history, whether religious or secular, archaeological sites, groups of buildings which, as a whole, are of historical or artistic interest;
- b. *Buildings* whose main and effective purpose is to preserve or exhibit movable cultural property of great importance to the cultural heritage of every people (works of art; manuscripts, books and other objects of artistic, historical or archaeological interest; as well as scientific collections and important collections of books or archives or of reproductions of the property), such as museums, large libraries and depositories of archives, and refuges intended to shelter, in the event of armed conflict, the movable cultural property defined above;
- c. *Monumental centres*, containing a large amount of cultural property as referred to in a) and b).

This definition leads us to the question of what status to assign to specific types of property, such as cultural landscapes or "roads". The question of whether the scope of the Hague Convention and its Additional Protocols can be applied to property of such an intricate nature is still being explored.

I should stress that in order to make my presentation more understandable, when I refer to "movable property", this should be understood as consistent with the definition thereof in the Convention.

2.2. Criterion of "great importance to the cultural heritage of every people"

I believe it is important to more closely examine the criterion of "great importance to the cultural heritage of every people".

As far as I am concerned, three key factors have to be borne in mind:

1. Although as a partner of UNESCO, ICOMOS has built up solid expertise on outstanding universal value issues, *this is still a far cry from the stringent criteria laid down for being eligible for the World Heritage List.*
2. In the absence of a definition or clarification in the Convention or other legislative texts, *the concept "of great importance to the cultural heritage of every people" provides a means of covering a much broader category of immovable property than that covered by World Heritage.*
3. What is more, in the absence of a rubber-stamping and regulatory body provided for by the Convention, it is the responsibility of the *High Contracting Party itself*

¹ Article 1 of the Hague Convention of 1954 for the Protection of Cultural Property in the Event of Armed Conflict (THC).

to identify the property it regards as “of great importance to the cultural heritage of every people”.

3. The Convention and the time of armed conflict: respect for cultural property

Allow me to avoid dwelling on this part, as this is not the main theme of my speech.

The Convention contains a series of immovable property-related prohibitions for the High Contracting Parties, which can be summed up as ²:

- Refraining from using cultural property, situated within their territory or that of other High Contracting Parties, their safeguards and their immediate surroundings for purposes which are likely to expose it to destruction or damage in the event of armed conflict, and by refraining from any act of hostility, directed against such property, except in cases where military necessity imperatively requires such a waiver.
- Refraining from any act directed by way of reprisals against cultural property. This prohibition is excluded from the scope of the imperative military necessity.

The Convention also addresses situations of occupation, while its implementing regulations deal with the measures to be applied as soon as a High Contracting Party is involved in an armed conflict.

The Second Protocol of 1999 to the Hague Convention of 1954, which I will simply refer to as the “Second Protocol”, has provided some useful clarification about the Convention.

First of all, the Second Protocol specifies the concept of “imperative military necessity”³.

Next, the Second Protocol adds further requirements about the precautions to take in an attack or against the effect of hostilities. Finally, it itemises a series of requirements to be met by a Party in occupation of the whole or part of the territory of another Party⁴.

4. The Convention, the Second Protocol and peacetime: safeguarding cultural property

4.1. The Convention and the Second Protocol

As I have already said, the Second Protocol is of crucial importance for ensuring better effective protection for cultural property as provided for by the Convention. It is focused on, amplifies and specifies the Convention, as you will be aware⁵. This is why the Committee for the Protection of Cultural Property in the Event of Armed Conflict is keen for a maximum number of States to ratify the Second Protocol. This is one of its key goals.

² Article 4 of THC.

³ Article 6 of the Second Protocol of 1999 to the Hague Convention of 1954 for the Protection of Cultural Property in the Event of Armed Conflict (THC-P-II).

⁴ Article 7 to 9 of THC-P-II.

⁵ Article 4 of THC-P-II.

4.2. Safeguarding measures

Article 3 of the Convention, on safeguarding cultural property, is a general provision conferring great freedom and a heavy responsibility on the States. It is worded as follows:

“The High Contracting Parties undertake to prepare in time of peace for the safeguarding of cultural property situated within their own territory against the foreseeable effects of an armed conflict, by taking such measures as they consider appropriate”.

So there is nothing directly binding or very specific, nothing to enable you, professionals in the field, to be in a position to ask the States to make a special effort.

However, although subject to the usual caveats, article 5 of Second Protocol substantially supplements article 3 of the Convention. Allow me to quote:

“Preparatory measures taken in time of peace for the safeguarding of cultural property against the foreseeable effects of an armed conflict pursuant to Article 3 of the Convention shall include, as appropriate, the preparation of inventories, the planning of emergency measures for protection against fire or structural collapse, the preparation for the removal of movable cultural property or the provision for adequate in situ protection of such property, and the designation of competent authorities responsible for the safeguarding of cultural property”.

Our first finding offers us a rewarding insight.

These measures, very specific measures in this case, are not at all confined to and specific to cases of armed conflict; in fact, they may be easily applied to prevent the risks involved in natural disasters.

Insofar as it commits the ratifying States, the Second Protocol is therefore an outstanding tool within your reach that may be wielded, in anticipation of an armed conflict, to afford better protection to cultural property in any risk situation.

The compiling of an inventory, even if the enterprise continues to be uncertain, owing to the non-specific nature of the concept involved in “of great importance to the cultural heritage of every people”, is an obvious step to take, particularly as the State itself will decide what assets it intends to include or otherwise in such an inventory. The property featured in this inventory may be allowed to display the Convention’s distinguishing sign: the Blue Shield. Some countries, such as Switzerland, have compiled an inventory of this type.

Confining the planning of emergency measures to the risks of fire or collapsed buildings should be regarded as an absolute minimum. Conversely, there is nothing to stop the States from extending their planning processes to other kinds of threats.

As for the other proposals featured in the article, these measures, too, are seen to be equally relevant for reducing damage in the event of problems.

As I said in the introduction, the Convention and, first and foremost, its Second Protocol should be regarded as your allies. Base your understanding on what they contain and do not be misled by their titles.

4.3. Other relevant measures

The Convention and the Second Protocol feature other measures of relevance for preserving cultural property, to be taken in peacetime.

I will cite five in particular:

1. As mentioned above, the marking of cultural property within the meaning of the Convention serves to make them visible and strengthen their protection, even in peacetime;⁶
2. Training armed forces to ensure compliance with international requirements in this area, while promoting a spirit of respect for the cultures and cultural property of every people;⁷
3. Establishing services or special staff within the armed forces to be tasked with ensuring respect for cultural property and cooperating with the civil authorities responsible for safeguarding this property;⁸
4. Access to the Fund for the Protection of Cultural Property in the Event of Armed Conflict, whose main purpose is to provide financial and other assistance in support of preparatory or other measures to be taken in peacetime.⁹ The Committee has already granted such financial support to El Salvador and Mali.
5. Publicise the Convention and the Second Protocol as widely as possible, particularly on the basis of information and education programmes targeted to both the civil population and soldiers.¹⁰

The issue of publicising on the basis of training and education strikes me as continuing to be quite a challenge for lots of countries, even though the States Parties are committed to this.

It is important to stress that the Convention and its Protocols move heritage beyond the exclusive sphere of culture, acting as a platform for promoting cross-disciplinary interaction with the defence services, the emergency response services, the educational and training services, etc...

Following on from this observation, I have to mention Resolution II in the Hague Convention of 1954, which proposes the creation by each High Contracting Party of a national advisory committee operating as an advisory body to the government for the enforcement of the Convention and comprising cross-disciplinary members, no less. The Committee's Secretariat has so far identified 12 in the light of national reports presented by the States, but these could be built upon and encouraged to play a more important role in the future.

4.4. Enhanced protection

Lastly, I would like to consider a final mechanism established and clearly seen to be a tool for protecting and safeguarding immovable property in peacetime as well. This is the status of enhanced protection, ushered in by the Second Protocol.

4.4.1. Background

Inclusion on the List of Cultural Property under Enhanced Protection by the Inter-Governmental Committee for the Protection of Cultural Property in the Event of Armed

⁶ Articles 6 and 16 of THC.

⁷ Article 7 of THC.

⁸ Article 7 of THC.

⁹ Article 29 of THC-P.II.

¹⁰ Article 25 of THC and article 30 of THC-P.II.

Conflict (or preferably “the Committee”) is offered to cultural property nominated by the States Parties, provided they meet three conditions¹¹:

1. It should be a cultural property, as defined by the Convention, of the greatest importance for humanity. The concept “of the greatest importance for humanity” therefore implies that the focus is on property with a greater value than that included on the list of property protected by the Hague Convention, as I mentioned earlier on. However, it is a different and perhaps less demanding concept than the outstanding universal value used for World Heritage.

In view of this situation, the Committee has:

- a. included in the Guidelines attached to the application of the Second Protocol a presumption that the property featured in the World Heritage List meets the greatest importance for humanity criterion,
 - b. commissioned a survey from ICOMOS in order to gain a better understanding of this concept in the case of immovable property, in order to reach a proper verdict about the application by a State Party concerning an immovable property not included on the World Heritage List.
2. The cultural property should not be used for military purposes or to protect military sites, and a declaration towards this end should be presented by the State Party.
 3. The cultural property should be protected by suitable internal, legal and administrative measures acknowledging its outstanding cultural and historical value and guaranteeing it the highest level of protection.

4.4.2. Benefits of enhanced protection

4.4.2.1. Benefits in peacetime

What interests us the most is of course the third condition: prompting States for which the threat of armed conflict appears to be very remote indeed to nominate cultural assets that should be granted enhanced protection. This is an opportunity for an in-depth investigation of the range and effectiveness of the prevention, protection and safeguarding measures taken for cultural property regarded as of major importance. The process also has the advantage of identifying any shortcomings and remedying them where need be.

It is general knowledge that the best way of limiting the damage to non-movable heritage is to implement the regulatory and practical measures seeking to anticipate risks, offer training for staff in charge of the relevant buildings, the nearby communities, the creation of shelters, etc... An array of converging factors that are combined to offer a guarantee that every effort has been made to prevent the worst from happening.

Against this background, States such as Italy, Lithuania and Cyprus have applied for enhanced protection to be granted for some of their cultural assets.

4.4.2.2. Benefits in the event of armed conflict

The granting of enhanced protection provides nigh-on sovereign immunity to the property covered in the event of armed conflict.¹² It is also envisaged that the States Parties

¹¹ Article 10 of THC-P.II.

¹² Articles 12 and 13 of THC-P.II.

should adapt their national laws to criminalise serious violations of the Second Protocol of 1999 and provide their courts with the power to penalise such infringements. These violations cover acts deliberately committed in breach of the Hague Convention of 1954 or its Second Protocol, including breaching the immunity of cultural property under enhanced protection or using such assets for military purposes.¹³ Apart from the punitive role directly bound up with the adaptation of the criminal code, the preventive and deterrent roles also have to be factored in.

Mr Rector,
Ladies and Gentlemen,

As I have sought to show, the Hague Convention of 1954 and its Protocols are not being used to their full extent as far as I am concerned, in spite of all the relevance their provisions may have for professionals in this field. Some provisions may form the basis for calling governments to be more accountable and enhancing protection for non-movable heritage.

As the Chair of the Inter-Governmental Committee for the Protection of Cultural Property in the Event of Armed Conflict, I have set my sights on three key aims:

1. The first aim is to *increase the number of ratifications of the Second Protocol*, which so far counts only 64 States Parties. This is not nearly enough. In particular, not one of the permanent members of the United Nations Security Council is participating in the Second Protocol. The reason I am here today is because I believe my presence is of key importance. I intend to tap into ICOMOS' assets as a powerful network of connections to underpin the ratification strategy we are pursuing and the increasing number of personal approaches I am making to the Permanent Delegations to UNESCO. I am counting on each one of you to make your governments aware of the need to ratify the Second Protocol, if this has not already been achieved, and ensure that the safeguarding measures I have spoken to you about are applied as soon as possible.
2. The second goal is to encourage the States to nominate cultural property for the *granting of enhanced protection*. Property of the greatest importance for humanity deserves to be paid special attention; a claim for such protection provides a means of assessing if the protective measures are effective and go far enough.
3. The final aim is to *improve the complementary relationships between those concerned with the protection of cultural property*. I am certain that pooling our talents and capacities will enable us to achieve our shared aim of preserving our heritage. The stakeholders with whom I am eager to forge firm partnerships are as follows:
 - a. Obviously, the International Blue Shield and the Blue Shield national associations, our volunteer-based counterparts;
 - b. And, of course, the International Blue Shield associations, including ICOMOS and its network of national associations. This successful partnership has already gotten underway and will only get stronger, I believe;
 - c. UNESCO and the National Commissions for UNESCO. In terms of UNESCO,

¹³ Articles 15 to 20 of THC-P II.

I have set my sights on other Culture Conventions (such as those adopted in 1970 and 2003) and in particular the 1972 Convention for the Protection of the World Cultural and Natural Heritage. It is quite obvious to me that the assets included on the World Heritage List and covered by the scope of our Convention should be natural candidates for enhanced protection status. Thanks to the support of UNESCO and subsequent to an official request by the Committee I have had the opportunity to chair, the World Heritage Committee decided during its latest session to urge the World Heritage Centre and the advisory bodies to join forces with the Secretariat of the Hague Convention (1954) in establishing a review of Annex 5 of the *Guidelines* (format for the nomination of property for inclusion on the World Heritage List) in order to allow the parties to the Second Protocol (1999) to seek, if they so desire, the inclusion of a property nominated for inclusion on the List of Cultural Property under Enhanced Protection. In other words, in order to make the work of the States that much easier, there shall now be one file for two separate applications related to the same property. During the debate on the revision of the periodic reports, a proposal will also be made to allow the States to apply for the granting of enhanced protection through this channel.

- d. Lastly, I am also planning to strengthen relations with the International Committee of the Red Cross. As the protection of cultural property in the event of conflict is specifically provided for by the Geneva Conventions, this field is covered by their terms of reference. There is also a clear need for complementary relationships between the National Committees for the Implementation of International Humanitarian Law and National Advisory Bodies I have referred to, as this would help avoid unnecessary duplication.

Mr Rector,
Ladies and Gentlemen,

Allow me once again to thank ICOMOS for the opportunity I have been given here to make the Convention of 1954 and its Second Protocol better known. I sincerely hope that my speech will contribute to this Symposium's discussions. Finally, allow me to express my sincerest thanks to ICOMOS Costa Rica for its warm welcome and the successful organisation of this Symposium. Thank you.

Benjamin GOES
Chair of the
Inter-Governmental Committee for the Protection of
Cultural Property in the Event of Armed Conflict

THEME 1:
**THE IMPORTANCE OF IDENTIFYING,
UNDERSTANDING AND CHARACTERIZING
THE HISTORICAL AND CULTURAL URBAN
AND RURAL LANDSCAPES**

STRATEGIC ENVIRONMENTAL ASSESSMENT: AN OPPORTUNITY FOR INCLUDING CULTURAL HERITAGE IN THE DEVELOPMENT CONTEXT

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ABSTRACT

Since the early 1990s, Strategic Environmental Assessment (SEA) has come into use as a planning aid enabling decision-makers to consider the effects of proposed development strategies, policies and programs. SEA allows for inclusion of multiple sectors, including cultural heritage, in planning and assessing the effects of development. An SEA undertaken for the Cultural and Natural Heritage Protection and Development Project in the province of Guizhou, financed by the World Bank and the Government of the Peoples' Republic of China, serves as an example. This project uses a community-based development approach to protect cultural and natural heritage resources while generating local income through tourism development, in an effort to stem the tide of rural to urban migration. As described in the SEA, success is dependent on collaborative action involving the provincial government, including transport, sanitation, natural resource and tourism authorities, and local ethnic communities. The SEA identifies four possible scenarios, evaluates each in relation to the project's objectives, and makes recommendations on a strategy and important issues relating to the project. SEA offers a valuable opportunity for timely consideration of cultural heritage resources in the context of development.

Cultural Heritage within Environmental Impact Assessment

The synergistic relationship between cultural heritage, the environment, and socio-economic development is well established. Heritage conservation contributes to sustainable development in urban and rural settings throughout the world. Significant benefits include: the conservation of natural resources and building materials by rehabilitation and adaptive re-use of historic structures; the generation of local employment; the economic gain from tourism which also supports diverse local enterprises; the 'livability' of an area; and generation of civic pride. Impact assessment involves the process of evaluating and documenting these and other benefits of cultural heritage conservation while identifying potential negative effects of development actions, and proposing measures to avoid or mitigate such effects.

Since its genesis in the Environmental Impact Statement (EIS) the term 'impact assessment' has come to be variously interpreted in regard to use, meaning, method and application. The EIS is an investigative and analytical procedure required for agencies of the

United States Government as a means of complying with the objectives of the National Environmental Policy Act of 1969. The concept and methods of the EIS, as embodied in Environmental Impact Assessment (EIA) have spread throughout the world, and at present, most countries have legislation and regulations requiring EIA for major development projects. EIA also is mandated by international and bilateral lending and technical assistance institutions, as well as by many commercial banks. The World Bank's policy for the management of cultural property, first issued in 1986 and revised in 2006, stipulates that physical cultural resources be included within the EIA (World Bank 2006). The International Finance Corporation (IFC) has a similar requirement for its private sector borrowers (IFC 2012).¹⁴ Both institutions provide guidance materials for covering cultural heritage, or cultural resources, within the EIA. As of 2011, the 78 commercial banks comprising the 'Equator Principles' association, have pledged to follow the IFC's performance standard for cultural heritage on a voluntary basis. (Equator Principles 2013).

EIA is designed as a comprehensive multidisciplinary study to evaluate the likely effects of a major development project or other action on the environment. The broad definition of environment to include biophysical, social and cultural heritage features, allows for a synergistic analysis of a proposed project's likely effects in order to inform the decision on whether the project should be approved. The EIA process requires consultation with interested parties—the stakeholders—as well as opportunities for public participation and the publication of a detailed report describing the likely significant impacts of a particular development project, as well as alternatives and mitigating measures to avoid or lessen any potentially negative impacts.

A number of recent guidance and doctrinal documents for cultural heritage contain concepts and methods from EIA. The *Guidance on Heritage Impact Assessments for Cultural World Heritage Properties*, issued in 2011 by the International Council on Monuments and Sites (ICOMOS) is addressed to managers, developers, consultants and decision-makers involved in evaluating the impact of potential development on the outstanding universal value of World Heritage properties (ICOMOS 2011). The Guidance emphasizes protection of a site's values by viewing the site holistically, but fails to stress the importance of fully analyzing the development project or activity that may threaten or compromise those values. The *Recommendation on the Historic Urban Landscape* (HUL) approved by the UNESCO General Conference in 2011, advocates a comprehensive and integrated approach to assessing impacts of development activities on cultural heritage (UNESCO 2011). The Recommendation advises formulation of ecologically sensitive policies and practices and integration of urban heritage into general policy, planning and practice. Proposing the use of innovative knowledge and planning tools, the HUL states that: "Heritage, social and environmental impact assessments should be used to support and facilitate decision-making processes within a framework of sustainable development."

Since its inception, the EIA model has been adapted for various narrowly focused development impact assessments on cultural heritage, and individual heritage sites, as well as on such topics as health and gender. These specialized assessments use some of the methods and techniques of EIA but generally lack a multidisciplinary approach. Impact assessments

¹⁴ The World Bank and the IFC are two of five entities comprising the World Bank Group. The World Bank is comprised of the International Bank for Reconstruction and Development (IBRD) and the International Development Association (IDA).

focusing on cultural heritage alone may be useful in some circumstances, but they do not serve the same purpose as inclusion of cultural heritage as a component of environment in the multidisciplinary context of EIA. Moreover, if cultural heritage is not competently covered in an EIA, the subject is not likely to receive adequate consideration in decisions regarding development projects. The fact that EIA is well established throughout the world with national legislation and regulations, and generally includes a cultural heritage component, provides the opportunity to integrate the subject into comprehensive impact assessments. Hence, cultural heritage authorities and proponents may be well advised to emphasize improved collaboration with other sectors through participation in EIA in order to ensure that their interests and values are represented in decisions that affect cultural heritage resources.

Strategic Environmental Assessment and development planning

The advent of Strategic Environmental Assessment (SEA) offers additional significant potential for protecting and managing cultural heritage in the development context. SEA is intended to fill the need for a broader version of impact assessment than afforded by EIA which is intended for analyzing a specific development project. SEA takes a more comprehensive view of development options and impacts by investigating and evaluating the environmental, social, cultural and economic consequences of strategies, policies and plans that involve several sectors and numerous potential projects or activities. Its strategic focus is suitable for long-range planning prior to identification of specific development projects and actions. In contrast to EIA, SEA lacks a standard definition or prescribed methodology. The SEA process may draw on concepts and methods of EIA, or it may employ various other means of assessing development effectiveness, impacts and trade-offs. SEA also may vary in purpose from defining and assessing the likely effects of various policy options to the impacts of plans and programs within a policy framework. Following an assessment and analysis, an SEA generally identifies mitigation measures for possible negative impacts and suggestions for maximizing positive outcomes.

It stands to reason that assessing the effect of development policies, plans and programs would involve a holistic approach in which all aspects of the biophysical, social and cultural environment are factored into an analysis. In situations where SEA is based on the definitions and methods of EIA, the references to cultural heritage are explicit. For example, in *Directive 2001/42/EC of the European Parliament and the Council on the assessment of the effects of certain plans and programmes on the environment*, issues to be investigated in an SEA are specifically enumerated, comprising among others, ...”cultural heritage including architectural and archaeological heritage, landscape...” and their interrelationship with other enumerated biophysical and social facets of environment (European Parliament 2001).¹⁵ The Directive states further that plans and programs of European Union Member States should take certain criteria into account in all cases; these include: “special natural characteristics or cultural heritage,” and “the effects on areas or landscapes which have a recognized national, Community or international protection status.”¹⁶ Similarly, the *Protocol on Strategic Environmental Assessment to the Convention on Environmental Assessment in a Transboundary Context* of the UNECE (United Nations Economic Commission for Europe)

¹⁵ ANNEX I (f); referred to in Article 5(1)

¹⁶ ANNEX II, 2; referred to in Article 3(5)

includes in the definition of “Environmental,” the following: “human health, flora, fauna, biodiversity, soil, climate, air, water, landscape, natural sites, material assets, cultural heritage and the interaction among these factors.”¹⁷

SEA is being promoted throughout the world with the encouragement of financial institutions, including the World Bank, and numerous other organizations. A recent review of the status of SEA in Asia contained the following recommendations for improving and strengthening the process (Dusik and Xie 2009). SEA should be better integrated into the planning and decision-making processes, with full attention to environmental, social and economic concerns. In conducting an SEA, allowance should be made for gaps in data, a common circumstance. Consideration should be given to the level of capacity in institutions involved in implementing policies, and to improving capacity where necessary. Collaboration between authorities and stakeholders should be encouraged, as well as public participation and regional cooperation in the SEA process and other development-related activities.

An SEA for tourism development in China’s Guizhou province

The potential benefits of participation in SEA are obvious for cultural heritage proponents, but to date the culture sector has rarely been involved. A notable exception is the SEA issued in 2007 for tourism development in China’s Guizhou province. The World Bank financed the *Strategic Environmental Assessment Study: Tourism Development in the Province of Guizhou, China* (World Bank 2007) as part of preparation for a loan to facilitate the *Guizhou Cultural and Natural Heritage Protection and Development Project* (World Bank 2009). This project began in 2009 to assist in bringing economic benefits to impoverished local communities, including those with minority groups, by increasing domestic and foreign tourism featuring cultural and natural heritage while improving heritage protection and management.

The SEA, conducted by Environmental Resources Management (ERM), assesses the Guizhou provincial government’s tourism development policies, plans and programs with emphasis on the *Provincial Tourism Development Master Plan* approved in 2003. The Master Plan is complemented by several related planning documents, including: the *Guizhou Rural Tourism Development Plan* (2006); the *Guizhou Provincial Proposal for a World Bank Loan to Construct Infrastructure to Protect Cultural and Natural Heritage* (2005); the *Guizhou Provincial Eleventh Five Year Environmental Plan* (Draft 2006); and the *Guizhou Provincial Eleventh Five Year Socio-economic Plan* (Draft 2006). The plans describe nature-based tourism as passive (including sightseeing, relaxation and walking) and active (hiking, camping, caving, climbing, and water-based activities). Cultural tourism is defined as ethnic culture immersion (visiting or staying in remote ethnic villages, watching ethnic performances, purchasing handicrafts, and visiting cultural heritage sites), as well as short homestay vacations in rural households and visits to farms. Despite the intentions of the provincial government, and provisions in its various plans and programs, an unexpectedly rapid increase in tourism since 2000 has had some negative environmental, socio-economic and cultural effects. Rural tourism is growing rapidly in China as domestic tourists seek novelty in the countryside and relief from the pressures of urban life.

¹⁷ Article 2 Definitions, 7

The comprehensive analytical and participatory approach of SEA is useful for evaluating environmental, socio-economic and cultural consequences of plans, policies and programs involving diverse public agencies as well as private investors, and requiring numerous types of infrastructure, occupations and skills. The Guizhou Tourism Administration (GTA), as the lead provincial government agency for implementation of the Master Plan, must liaise with the Chinese National Tourism Administration (CNTA) and with a host of provincial agencies responsible for construction and operation of the infrastructure required for tourism. These include the Guizhou Development and Reform Committee and the provincial agencies for construction, cultural heritage, environmental protection, land resources and transport. In addition, the GTA must establish working relationships with authorities at provincial and local levels, with private entrepreneurs, and with rural inhabitants of the various ethnic groups.



FIGURE 1. Guizhou province in southern China.

Guizhou province in southern China contains 176,000 square kilometers, and in 2005, had a population of approximately 39 million. Nearly 87 percent of the area is mountainous; with an additional 10 percent composed of hills and three percent of river valleys. A widespread cover of limestone karst —over 70 percent of the province— is the outstanding physical characteristic of the landscape. Guizhou is one of the most pristine environments in China, due to a long history of isolation. There are numerous protected or endangered species of flora and fauna. In 2005, 130 nature reserves occupied roughly five percent of the province. In addition, there were 50 forest parks, eight geo-parks, and 69 designated scenic sites. There are some 980 rivers more than 10 kilometers in length, notably within two main river systems: the Yangtze and Pearl River basins. Surface water quality is a serious environmental issue; water is polluted in numerous urban and natural scenic areas, particularly in lakes and downstream from industrial facilities and mines. Disposal of solid waste is another problem, particularly in rural areas.

Most of Guizhou's population is rural. With numerous distinct ethnic minority groups, the province is one of four in China containing an ethnic population of over 10 million. Groups exceeding 100,000 in Guizhou include the Miao, Buyi, Dong, Tuija, Yi, Gelao, Shui, Hui and Bai.



FIGURE 2. Guizhou's ethnic diversity

Some ethnic groups are dispersed throughout the province while others are concentrated in small areas. Their individual differences and unique cultural expression provide significant opportunities for tourism in combination with the province's natural resources. The ethnic minorities tend to be agricultural, living in poverty or at subsistence level in rural and mountainous areas. Each minority group has a characteristic tangible and intangible culture expressed in traditional celebrations numbering approximately 1,000 annually.



FIGURE 3. Unique architecture in Guizhou

Economic development in Guizhou has typically featured state investment in heavy industry, in mining for coal and non-ferrous metals, and more recently, in communication and transport infrastructure. The failure of these strategies to raise the general standard of living, to stem migration to urban areas, and to prevent stress on the natural environment, influenced the government's decision to emphasize tourism as an economic development strategy. However, continuing investment in transportation and communication infrastructure, as well as improvements in water quality and solid waste disposal are essential for building tourism, and thus collaboration between these sectors and the tourism initiative is crucial.

Tourism Development Special Cluster Map

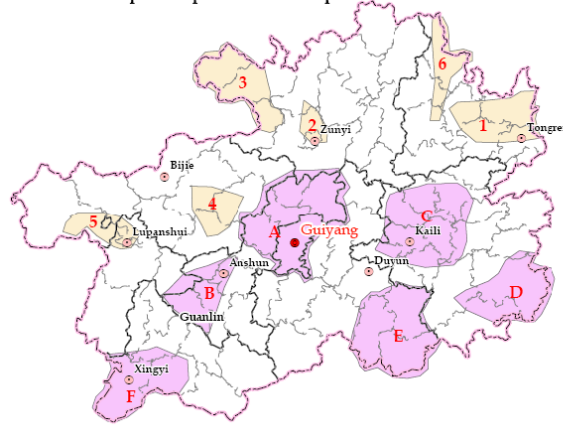


FIGURE 4. Guizhou province tourism development cluster map

SEA is relatively new in China, and the assessment for Guizhou is the first undertaken for the tourism sector. It followed a series of steps well established within the Chinese regulatory EIA system, beginning with a review of the Master Plan and other plans relevant to tourism development in Guizhou. This allowed for identification of policy objectives against which predicted impacts were assessed. A scoping stage followed to determine interactions between the proposed tourism development and environmental or social conditions, with a focus on issues especially important for design and decision-making. These issues were discussed with provincial government representatives for verification.

SEA pays particular attention to links between tourism and other sectors of the economy, as well as to indirect, cumulative and synergistic effects of decisions and actions. Consultation with stakeholders —essential for an effective SEA— continued throughout the process. The activities called for in the Master Plan and the Rural Tourism Development Plan were assessed and mitigation measures proposed where necessary. Then, in consultation with policymakers, four alternative development scenarios were created for consideration and the effectiveness of each was determined in regard to environmental and social outcomes. Finally, following consultation with stakeholders, the SEA provided recommendations for increasing benefits to local communities and for minimizing, mitigating and managing potential adverse impacts from tourism development.

The four scenarios and the findings for each are as follows.

(1) *The Guizhou Provincial Tourism Development Master Plan.* The SEA concludes that this plan, with its related policies, plans and programs, including the *Rural Tourism Development Plan*, represents the most balanced approach between natural and cultural heritage conservation and the use of these resources to benefit the rural economy. This plan would most likely provide a sustainable tourism strategy while yielding optimal socio-economic benefits in local communities, consistent with the national policy to stem migration from rural to urban areas. The SEA contains recommendations for mitigating possible negative environmental impacts on cultural and natural heritage from provisions of Guizhou's plans for tourism development.

(2) *Business-as-usual.* This scenario assumes that the Master Plan will not be implemented and that tourism will not be an important objective, thus making it likely that other industries such as mining, with greater negative environmental impacts, would be

prioritized. Economic benefits to rural areas would be insignificant and the rural to urban migration would continue. The natural environment and cultural heritage would receive little protection. The SEA considers this the least favorable of the four scenarios.

(3) *High growth*. The projections for numbers of tourists in this scenario were actually realized in Guizhou by 2006, only three years after the Master Plan was approved, a fact that supports careful assessment of the high growth option. In the short term, as is currently the case, tourists are sacrificing high standards for an authentic experience in the rural countryside, and they are providing local inhabitants with additional income. Substantial growth in tourism without necessary planning and preparation strains the carrying capacity of the most popular sites, and encourages an influx of uncontrolled investment providing economic benefits to private investors rather than to local populations. Tension is likely between developers and tourists, threatening the quality and viability of the rural tourism sector.

(4) *Controlled / Low growth*. Under this scenario, the government would strictly monitor the number of tourists allowed at ecologically and culturally sensitive sites, thus preserving these assets in the short term. But as there would be fewer job opportunities, the objective of rural poverty reduction would not be realized. The current agricultural dependence and urban migration would continue, counter to Guizhou's economic development objectives and to national policy.

Having concluded that the Master Plan and its related policies, plans and programs represent the optimal course for Guizhou, the SEA offers several recommendations for minimizing possible negative impacts and enhancing benefits. Surface and groundwater pollution should be avoided by ensuring a minimum standard of wastewater treatment at restaurants and guesthouses in rural areas. The projected number of low-capacity solid waste disposal sites should be replaced by fewer regional landfills with adequate environmental controls served by waste transfer stations. The carrying capacity at popular cultural and natural sites should be assessed and visitor flow controlled accordingly. Private investment in rural tourism should be regulated to ensure equitable distribution of financial gain from community assets. Policies and programs for generating employment in rural areas should include community training to allow residents to realize potential economic benefits. In this regard, tourism-related micro and small enterprises should be encouraged and supported in rural areas.

A Cultural Heritage Management Observatory should be established for comprehensive management of Guizhou's material and intangible heritage and to guard against inappropriate commercial exploitation. In collaboration with a range of institutional and private stakeholders, the Observatory should develop a *Code of Ethics* for responsible tourism in Guizhou. Considering the importance of tourism to the provincial economy, the SEA recommends that provincial EIA procedures address the impact on tourism of any proposed construction projects, including those in protected and unprotected areas. This would include landscape and visual impact assessment. The *State Environmental Protection Law* empowers the provincial Environmental Protection Board to create and enforce such procedures.

The SEA for tourism in Guizhou is part of an analytical and planning process that treats cultural heritage as a vehicle for social and economic development while focusing attention on the need to conserve and protect the integrity of the heritage. Cultural and natural heritage tourism are central to plans in Guizhou for rural economic development as a strategy for stemming migration to cities and thus for fostering demographic and economic balance

between urban and rural areas in China. The planning process for the Guizhou tourism initiative acknowledges the inextricable linkage of cultural heritage with other sectors such as transport, communication, infrastructure development, and water and waste management. The need to consider cultural heritage within the context of strategic planning and in conjunction with development in other sectors is paramount for heritage conservation.

Integrating cultural heritage into SEA

Despite increasing acknowledgement that cultural heritage is a key component of the resource base, and its nominal inclusion in conventional EIA and evolving SEA, the response by cultural heritage professionals, on a global scale, has been limited and confined to an organized practice in a few nations, and advocacy by a small number of pioneering institutions. Authorities charged with management of cultural heritage are often rooted in their traditional values, outlook, organizational arrangements, systems and procedures and thus remain outside the mainstream of environmental, social and economic decision-making. As a result, when *ad hoc* efforts are made to include cultural heritage in the development planning and implementation processes, it is perceived frequently as an anachronistic add-on, with an anti-development agenda.

While infrastructure projects sometimes may result in the destruction or re-location of cultural heritage assets, the development process also offers significant opportunities for progress in the identification, conservation and management of cultural resources. Realizing these opportunities requires three fundamental changes in conceptualization and action on the part of heritage institutions and professionals, changes that are gradually evolving in the heritage field.

The first is a departure from the traditional primary focus on sites or monuments to a concern with the cultural and environmental context, including the presence of heritage resources in landscapes and townscapes. For considering cultural heritage in the development process, a reorientation is needed wherein the definition of a terrestrial area, or landscape, i.e., the development's area of impact, is the primary step, followed by identification and analysis of the cultural heritage located in the area. The heritage resources are then considered within the context of the geographical area's historical and contemporary biophysical and demographic characteristics. Spatial survey and analysis, and the traditional cultural heritage practice of identifying and managing individual sites and monuments, are by no means mutually exclusive. Both are valid and important, and they can co-exist. However, to ignore the importance and requirements of the spatial approach is to forfeit opportunities afforded by the development process for the identification, documentation, protection, conservation and use of cultural heritage resources. Moreover, consideration of heritage within the environmental, social and economic context, enables heritage proponents to gain access to important actors outside the cultural field whose decisions may have a significant bearing on the conservation, maintenance and use of cultural resources.

A second major change required is that of cultivating a holistic, inter-disciplinary perspective within the cultural heritage field. The field is comprised of separate academic disciplines such as architecture, archaeology, and materials conservation, with each further fragmented into sub-specialties. While the quantity of information to be mastered in each of the heritage disciplines requires such specialization, there is also a need for generalists with a

broad knowledge of all the disciplines. Such practitioners should be able to 'read' a landscape based on an understanding of the history and culture of the area. They are needed to determine the types of tangible and intangible cultural heritage resources present in a specific locality where development is being considered, and to conduct an initial survey in order to establish requirements for relevant cultural heritage specialists who are prepared to provide more detailed attention to the particular heritage assets involved. It is thus essential to expand the conversation among cultural heritage professionals in all component disciplines and to prepare generalists for effective participation in EIA, SEA, and other facets of the development process.

The third requirement for cultural heritage authorities and professionals is for dedicated and sustained interest and involvement in the development process. Participation demands that heritage professionals gain an understanding of infrastructure planning and construction issues and practices. They must systematically seek information about development projects in all stages of preparation and implementation, at national, sub-national and local levels. Timely attention to the identification and protection of cultural heritage resources likely to be affected by development projects requires involvement by cultural heritage proponents, and other interested parties, including the public, at the very early conceptual stages of program and project formulation, and continuing throughout the planning, implementation and operational phases. Knowledge of infrastructure strategies, programs and projects in the conceptual and planning stages should allow cultural heritage proponents to identify the geographical areas to be affected, to consult existing inventories of cultural resources in these areas, and to conduct necessary investigations intended to discover previously unrecorded resources. The SEA, financed and conducted as part of the development process, is a particularly important stage for involvement of cultural heritage authorities and professionals.

National governments, non-governmental organizations, academic institutions and individual cultural heritage professionals throughout the world are at different stages in the process of conceptual reorientation and readiness to manage cultural heritage in the development process. Effective strategies and approaches will vary from country to country depending on many circumstances, including political, economic, cultural and social conditions. It remains a challenge in most countries, to achieve constructive collaboration between environmentalists, social and development specialists, financial planners, cultural heritage experts and populations affected by the development. Building this collaboration requires an increased awareness by all participants in the development process, and the recognition of common objectives and mutual benefits. Documenting good practice in the coverage of cultural heritage in SEA, as well as in EIA, at professional meetings, in publications, and on the Internet, and forming multi-disciplinary professional networks are some potential strategies for ensuring that cultural heritage has its rightful place in the development process. New approaches to training cultural heritage practitioners are needed. The development of SEA as a means for assessing development strategies, plans and programs, provides a particularly important invitation to cultural heritage authorities and proponents for participation: an invitation awaiting acceptance.

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REDUCCIÓN DEL IMPACTO DEL CAMBIO CLIMÁTICO Y DE RIESGOS Y DESASTRES EN EL PATRIMONIO CULTURAL DE CENTROAMÉRICA: PROYECTO REGIONAL

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ABSTRACT

Given the urgent need to work on the topic of disaster risk reduction in cultural heritage in Central America, UNESCO, CECC-SICA and ICOMOS CR have developed a project that aims to strengthen the overall capacity of national and regional institutions (SICA, ministries of culture, housing ministries, environment ministries, local governments, institutions risk prevention / emergency, universities, professional engineers and architects, etc.) and vulnerable communities to prevent and reduce the impact of climate change and disaster risk in the Central American cultural heritage.

Despite UNESCO's and its Member States' expertise in this arena, the inter-relationship between heritage management and the management of the impact of climate change and disaster risk is still an emerging topic in Central America, resulting in the absence, for example, of strategic plans to ensure the maintenance of cultural heritage sites that shape community identities and safeguard the dignity of human lives, which are in danger of damage and destruction by the occurrence of climate change and disasters.

The project will be implemented by UNESCO San José and the six countries of the region (Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama) in close coordination with strategic partners. The project duration is 2 years.

Among the results of the project are:

- Increased knowledge and awareness of staff, residents and regional authorities, national and local authorities to work on reducing the impact of climate change and disaster risk in the Central American cultural heritage.
- Strengthened regional and national coordination between local institutions and communities to work towards the protection and safeguarding of cultural heritage from the effects of climate change and disaster risks, through local and regional strategies.

1. Objetivo general

Fortalecer las capacidades de las instituciones nacionales (ministerios de cultura, ministerios de educación en particular, así como otras instancias de Estado: ministerios de vivienda, ministerios de ambiente, gobiernos locales, instituciones de prevención de riesgos/emergencia, universidades, colegios profesionales de ingenieros y arquitectos, etc.) y

comunidades vulnerables, para prevenir y reducir el impacto del cambio climático y el riesgo de desastre en el patrimonio cultural centroamericano.

2. Problemática y justificación

Hoy en día, la comunidad científica internacional concuerda ampliamente en que el impacto del cambio climático, considerado como un riesgo de desastre más, es uno de los grandes desafíos del siglo XXI.

Por ejemplo, se esperan cambios en eventos meteorológicos extremos o peligrosos como las olas de calor, sequías, lluvias intensas y huracanes tropicales (<http://whc.unesco.org/uploads/activities/documents/activity-473-3.PDF>).

Tal como se menciona en el documento de la UNESCO “Estudios de caso. Cambio climático y Patrimonio Mundial” (2009), los cambios posiblemente tengan un impacto adverso en la conservación de los bienes inscritos en la Lista de Patrimonio Mundial, protegidos por la Convención para la Protección del Patrimonio Mundial Cultural y Natural (UNESCO, 1972) que pretende estimular la identificación, protección y preservación del patrimonio cultural y natural considerado de valor extraordinario para la humanidad.

Los bienes del patrimonio mundial ya sea natural o cultural están siendo expuestos a los efectos dañinos del cambio climático y otros fenómenos propios de la naturaleza, que se tornan peligrosos principalmente por la vulnerabilidad de la sociedad, sus instituciones y comunidades, por tener múltiples carencias y debilidades en la gestión para enfrentarlos adecuadamente y en la del desarrollo sostenible en particular.

Algunas de las afectaciones del patrimonio que se vislumbran son:

- a. Algunos de los bienes listados como patrimonio cultural han sido construidos en áreas costeras bajas, y el aumento del nivel del mar y la erosión costera podrían amenazar su conservación.
- b. Los vestigios arqueológicos yacentes en el suelo podrían perderse si se viera afectada la integridad estratigráfica de los suelos como consecuencia de aumentos de las inundaciones, cambios en las precipitaciones o derretimiento del permafrost.

En Centroamérica, específicamente, las consecuencias de los fenómenos naturales o socio naturales (con participación del ser humano) que con regularidad ocurren en la región, impactan de manera mayor debido a los altos niveles de vulnerabilidad de sus habitantes y de sus instituciones, tanto para enfrentarlos como para avanzar hacia un desarrollo adecuado. Por ejemplo, la ocurrencia del huracán Mitch del año 2008 en Honduras, y sus efectos negativos, perduran hasta el día de hoy debido al gran impacto económico, social y cultural que dejó el paso del fenómeno. Uno de los focos más impactados fue el centro histórico de Tegucigalpa, cruzado por el río Choluteca, que resultó inundado durante días provocando la desaparición de 45 inmuebles patrimoniales registrados y una importante pérdida del patrimonio documental del país, que aún no ha podido ser cuantificado en su totalidad.

Es importante resaltar que estos impactos no terminan de solucionarse posterior al huracán Mitch ya que, conforme inicia la temporada de lluvias o la entrada de tormentas tropicales, se reviven muchas inundaciones en varios sectores de la capital hondureña anualmente. Esto se debe a la vulnerabilidad de la ciudad ante este tipo de fenómenos, debido a su fundación, que estuvo basada en la explotación minera de los cerros vecinos a la ciudad y

que, desde la década de los años 70, sufrió un crecimiento expansivo de la urbe con barrios marginales, que provocaron gran deforestación la cual contribuye al aumento de los efectos de las precipitaciones. Asimismo, el abandono paulatino y la decadencia del centro histórico genera daños sucesivos sobre los inmuebles.

En el mes de mayo del 2010, el volcán Pacaya, ubicado aproximadamente a 50 kilómetros de la ciudad de Guatemala, hizo erupción causando daños por las cenizas que cayeron sobre edificios y calles, las cuales alcanzaron hasta 10 centímetros de espesor.

La Secretaría de Cultura y Deportes del país reportó daños en instalaciones culturales, monumentos históricos, ruinas y templos religiosos, así como pérdidas de ingresos por el cierre de muchos de estos inmuebles que son visitados por el turismo en Antigua Guatemala. Los daños se cuantifican de diferentes formas, por ejemplo, los de infraestructura provocados por las obstrucciones de drenajes pluviales por la cenizas, filtraciones de agua, daños en los acabados externos e internos de los edificios, así como en los alfombrados, tapices, cableados, entre otros. Se presentaron también desprendimientos en muros de varios sitios arqueológicos.

Por otra parte, los gastos significativos en los que se incurrió para enfrentar la emergencia tanto para las tareas de limpieza y reparación (“horas hombre” y contrataciones extraordinarias) absorbieron los pequeños presupuestos del sector cultural, lo cual generó variadas reflexiones en torno a este evento en particular pero que se extiende a otros fenómenos frecuentes en el país. Esto viene a constatar una realidad: los ministerios o entidades culturales no cuentan con unidades especializadas para prevenir, enfrentar, evaluar y mitigar los impactos de fenómenos naturales que tanto afectan el patrimonio cultural de la región.

Por otra parte, el Comité del Patrimonio Mundial (2005) reconoció que el impacto del cambio climático está afectando a muchos bienes del patrimonio mundial, tanto naturales como culturales y probablemente afecten a muchos más en los próximos años. El carácter excepcional y frágil de los sitios del patrimonio mundial justifica la puesta en práctica de métodos de gestión específicos para proteger estos bienes preciosos. En los sitios afectados por el cambio climático y por la ocurrencia de otros fenómenos, los métodos de gestión tendrán que tener en cuenta, en el futuro, esta presión adicional.

A escala centroamericana existe hoy en día la necesidad de observar aquellas estrategias y medidas que permitan garantizar la protección y salvaguardia del patrimonio cultural, tanto material como inmaterial. Además, es urgente el diseño de instrumentos normativos que visualicen al patrimonio dentro de la complejidad con la que se concibe la cultura y, con ella, su diversidad, que se ve representada a través de su conservación. Por esto, su tratamiento implicará una visión integral que le permita considerar los diferentes elementos que participan en la gestión del patrimonio.

Parte de la fragilidad de la región radica en la vulnerabilidad de las instituciones para la protección de sus ecosistemas y patrimonios regularmente afectados por estas amenazas.

La confluencia de la gestión del patrimonio y la gestión ante el impacto del cambio climático y el riesgo de desastre, es aún incipiente en Centroamérica. Esto da como resultado la ausencia, por ejemplo, de planes estratégicos que permitan alejar aquellas manifestaciones culturales —que configuran las identidades comunitarias y resguardan la dignidad de las vidas humanas— del peligro de deterioro y destrucción por la ocurrencia del cambio climático y de desastres. Más urgente aún es la necesidad de formar a los técnicos de las instituciones nacionales de cultura y las otras que conforman los sistemas nacionales de reducción de

riesgos de desastres, para que trabajen de acuerdo con las políticas y normativa existentes en la región y que apuntan a la reducción de la vulnerabilidad de Centroamérica y sus habitantes.

Como una preocupación de la CECC-SICA frente a esta problemática, se realizó el “I Seminario sobre gestión de riesgos y prevención de desastres en materia de Patrimonio Cultural” (El Salvador, octubre de 2011) que tuvo como objetivo la elaboración de estrategias y herramientas de gestión para reducir el impacto del cambio climático y de los riesgos de desastres en Centroamérica. Esta iniciativa contó con el apoyo del programa ACERCA de la AECID en colaboración con la CECC-SICA y el Instituto del Patrimonio Cultural de España, entre otros.

El evento reunió a representantes de Belice, Costa Rica, El Salvador, Guatemala, Honduras, Panamá y República Dominicana, y contó con la participación de especialistas de Argentina, Perú y España. Al final del encuentro, se redactó un pliego de recomendaciones y compromisos para impulsar en América Latina y en Centroamérica, en particular, los cuales contribuirán a un trabajo coordinado de la salvaguarda del patrimonio cultural, ante los efectos del cambio climático y la ocurrencia de riesgos en desastres.

Entre las recomendaciones elaboradas destacan los siguientes aspectos: (<http://www.culturacentroamericana.info/COMUNIDADESCA/regional/course/view.php?id=4>):

- Fortalecer las instituciones nacionales para contar con políticas públicas de protección y salvaguarda del patrimonio cultural, frente a los efectos del cambio climático, los riesgos y los desastres.
- Formular y articular un marco jurídico nacional y regional que vele por la protección y salvaguarda del patrimonio cultural, frente a los efectos del cambio climático, los riesgos y los desastres.
- Determinar el riesgo (amenazas y vulnerabilidades) que corren los bienes culturales en cada país, con el propósito de elaborar estrategias para su reducción y manejo.
- Elaborar herramientas y metodologías que permitan actuar de manera rápida y coordinada en caso de daños en el patrimonio cultural (material e inmaterial) por los efectos del cambio climático o la ocurrencia de fenómenos naturales dañinos.
- Aprovechar las capacidades institucionales y organizativas de cada país y de la región para establecer corresponsabilidades en la gestión para la reducción del impacto del cambio climático y los desastres entre las distintas instituciones gubernamentales y sectores (prevención de desastres, cultura, ambiente, infraestructura, educación, justicia, entre otros).
- Apoyar en la actualización, diseño e institucionalización de la legislación y las normas de acuerdo con la realidad de cada país.
- Elaborar, actualizar y desarrollar inventarios nacionales, tomando en cuenta los distintos niveles de registro o catalogación del patrimonio cultural en cada país.
- Formar y concienciar a funcionarios y técnicos de todos los niveles profesionales y de distintas instituciones, en la temática del impacto del cambio climático y la reducción de riesgos y desastres en el patrimonio cultural centroamericano.
- Promover la creación y la capacitación de grupos de ciudadanos a escala local y

regional para la protección del patrimonio cultural.

- Promover el estudio y la investigación del conocimiento tradicional para su recuperación y puesta en valor, de manera que se pueda plantear actuaciones respetuosas con el patrimonio cultural vulnerable y en riesgo.
- Establecer alianzas entre entidades públicas y privadas (nacionales, regionales e internacionales) para la protección y salvaguarda del patrimonio cultural.
- Promover la destinación de mayores recursos administrativos, financieros y técnicos por parte de las instituciones vinculadas a esta área de trabajo, para lograr una adecuada protección del patrimonio cultural frente a los riesgos a los que se ve constantemente sometido.
- Incorporar en la educación formal, no formal e informal los temas relacionados con el impacto del cambio climático, los riesgos y desastres vinculados a la temática del patrimonio cultural.
- Priorizar la sensibilidad y concienciación de los diferentes actores de la sociedad civil (educadores, medios de comunicación, comunidades identificadas como de alto riesgo) para que conozcan y comprendan la problemática asociada a los riesgos en materia de patrimonio cultural y la prioridad en su reducción.
- Fomentar una visión holística y multidisciplinaria de la gestión y el trabajo en materia de patrimonio cultural como herramienta de fortalecimiento de éste.

Por la problemática antes planteada y como seguimiento a este encuentro, es que se ha elaborado el presente proyecto, con el propósito de impulsar en la región centroamericana un trabajo en red, entre instituciones nacionales, regionales, comunidades y gobiernos locales para la reducción del impacto del cambio climático y el efecto negativo de fenómenos naturales en el patrimonio cultural.

3. Descripción del proyecto

La presente iniciativa pretende contribuir a reducir el impacto negativo del cambio climático, así como de los riesgos y desastres en el patrimonio cultural de Centroamérica. Esto, mediante el fortalecimiento de las capacidades de las instituciones nacionales, regionales y de las comunidades donde el patrimonio cultural está actualmente en riesgo o es vulnerable. Este esfuerzo nace a partir del interés de la CECC-SICA por abordar esta temática, y de su buena relación con CEPREDENAC-SICA, UNESCO e ICOMOS-CR interesados en involucrarse en la iniciativa orientada a la reducción de la vulnerabilidad del patrimonio ante la problemática ambiental y la debilidad de las instituciones, comunidades y gobiernos locales para hacerle frente.

El fortalecimiento de estas capacidades iniciará con un proceso de formación (curso virtual) de los funcionarios de las instituciones nacionales y regionales que tengan mandato en las áreas de patrimonio cultural y en las de reducción del impacto del cambio climático, de riesgos y desastres (ministerios de cultura, ministerios de vivienda, ministerios de ambiente, gobiernos locales, instituciones de prevención de riesgos/emergencia, universidades, colegios profesionales de ingenieros y arquitectos, etc.). De esta experiencia de capacitación y sensibilización se tomarán insumos que luego serán discutidos en una reunión regional, para elaborar una estrategia que permita trabajar de manera más coordinada en la temática a nivel

centroamericano y, también, conformar un equipo de trabajo que dé seguimiento a las acciones planteadas en ella.

A escala local se implementará el mismo curso de formación y sensibilización en modalidad presencial, dirigido a funcionarios, a autoridades locales y representantes de las comunidades. Del proceso se obtendrá una estrategia local para la reducción del impacto del cambio climático y de los riesgos y desastres en el patrimonio cultural, y se conformará un equipo de trabajo de las instituciones y comunidades para darle seguimiento a las tareas propuestas.

Ambas estrategias y equipos de trabajo (local y regional) estarán en estrecha coordinación y colaboración mutua, para el adecuado desempeño de sus actividades en los plazos previstos y contará, además, con el acompañamiento de esta iniciativa.

Además del proceso de formación local, se trabajará en los siguientes productos, que servirán para la elaboración de la estrategia:

- Inventarios locales de patrimonio cultural vulnerable.
- Fichas para la evaluación del estado del patrimonio antes, durante y después de la ocurrencia de un desastre o por los efectos del cambio climático.
- Elaboración de un documento con insumos para la elaboración de políticas nacionales y regionales para la protección y salvaguarda del patrimonio cultural ante los efectos del cambio climático, los riesgos y desastres.

4. Socios

- Entidades regionales (CEPREDENAC-SICA, CCAD-SICA).
- ICOMOS Costa Rica.
- Instituciones nacionales y locales de los sectores: cultura, ambiente, prevención de riesgos, etc.
- Asociaciones de arquitectos e ingenieros civiles.
- Universidades.
- Organizaciones de la sociedad civil que trabajan con gestión del patrimonio y de riesgos.
- Gobiernos locales.
- Comunidades donde haya patrimonio cultural en riesgo o vulnerable.

5. Lugar de implementación (local, nacional, regional)

El proyecto es una iniciativa de carácter regional ya que todas sus actividades se implementarán en los 6 países de la región centroamericana: Belice, Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica y Panamá.

6. Resultados

Se incrementará el conocimiento y la toma de conciencia de funcionarios, autoridades y pobladores regionales, nacionales y locales, para trabajar en la reducción del impacto del cambio climático y el riesgo de desastre en el patrimonio cultural centroamericano.

Se fortalecerá el vínculo y la coordinación regional, nacional y local de instituciones y comunidades en torno al trabajo para la protección y salvaguarda del patrimonio cultural ante los efectos del cambio climático, los riesgos y desastres, planteado a través de las estrategias locales y la regional.

7. Actividades

La primera actividad del proyecto será el diseño de un curso de formación y concienciación sobre el impacto negativo del cambio climático, la conformación de riesgos y la ocurrencia de desastres o daños en el patrimonio cultural. El curso se diseñará en dos modalidades: una virtual, dirigida a funcionarios de instituciones nacionales y regionales, y otra presencial, dirigida a comunidades, instituciones locales, autoridades y funcionarios de gobiernos locales. El curso permitirá a los participantes adquirir un conocimiento base y una actitud de conciencia sobre el impacto en el patrimonio cultural centroamericano, tema que no está siendo trabajado y atendido actualmente en la región por ninguna institución ni comunidad.

Para la formulación de este curso se tomarán en cuenta los contenidos y metodologías de los materiales y experiencias que ha desarrollado la UNESCO en diversas regiones del planeta sobre la temática del proyecto (“Strategy for Reducing Risks from Disasters at World Heritage properties” UNESCO, Nueva Zelanda, 2007; Caribbean Capacity Building Programme (CCBP): Module 3 “Risk Preparedness”, etc.), así como otros insumos pertinentes de la literatura internacional.

La segunda actividad de la iniciativa será el desarrollo del curso en modalidad virtual, dirigido a funcionarios de instituciones nacionales y regionales, con una duración de seis meses. Para ello se utilizará la plataforma virtual de la CECC-SICA que regularmente se utiliza para este tipo de actividades.

Además, el sitio de la CECC-SICA incluirá una sección exclusiva sobre la temática del proyecto para la realización de videoconferencias de apoyo al curso y otras actividades de la iniciativa, así como para la realización de foros y otras aplicaciones que permitirán el intercambio de experiencias y conocimientos entre los participantes de los seis países en la temática, alrededor del proyecto.

En la tercera actividad se implementarán seis cursos (uno por país) en modalidad presencial, dirigidos a los actores locales (comunidades y municipalidades). A través de este curso se obtendrán varios insumos para formular las estrategias locales para la reducción del impacto del cambio climático, de riesgos y desastres en el patrimonio cultural de Centroamérica.

La cuarta actividad se centrará en la validación técnica y política por parte de los funcionarios y técnicos locales de la estrategia para la reducción del impacto del cambio climático, de riesgos y desastres en el patrimonio cultural de Centroamérica.

La quinta actividad será una reunión técnica para elaborar una estrategia de trabajo en Centroamérica, con miras a reducir el impacto del cambio climático y del riesgo de desastre en el patrimonio cultural. Además, se conformará un equipo técnico que le dé seguimiento a las acciones propuestas.

La sexta actividad tendrá como propósito elaborar un documento con insumos locales y nacionales para la formulación de políticas públicas de salvaguarda del patrimonio cultural de la región.

Una actividad de sistematización de la experiencia será elaborada por el proyecto, donde se destacarán los elementos positivos en la implementación de la iniciativa, así como los desafíos y obstáculos que enfrentó. Documentar el desarrollo del proyecto permitirá diseñar otras posibles intervenciones locales en lugares que están viendo su patrimonio cultural afectado por la presencia del cambio climático o por el riesgo de desastre en la región.

La última actividad será el diseño y reproducción de materiales para fortalecer el trabajo local y nacional en la salvaguardia del patrimonio cultural.

A METHODOLOGY FOR THE USE OF HISTORIC DOCUMENTS IN URBAN CONSERVATION:

THE EXAMPLE OF HISTORIC OTTOMAN DOCUMENTS

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ABSTRACT

The recommendation on the Historic Urban Landscape (HUL) in 2011 by UNESCO considers that the historic layering of cultural and natural values and attributes in historic urban landscape need to be identified, conserved and managed. However it is usually difficult to collect information about the genuine urban fabric. This study, aiming to develop a methodology for the identification and documentation of cultural values and their spatial organisation, focuses on the historic city of Adana and investigates the use of historic documents of Ottoman period for understanding urban structure of the city in the 16th century.

The study revealed that waqf charters include significant information such as the location and size of cultural properties which are noted with directions given according to each other. Early cadastral maps on the other hand give information about exact place and size of the properties, the use of land and ownership. The combination of the information gathered from waqf charters and cadastral maps constitutes a unique map in which one can both follow the development of the urban space and also identify the plot configuration, use of land and spatial organisation. The study revealed that graphic documents, media documents and written documents all contain valuable information about the historic structure of urban settlements and enable researchers to follow physical changes in the urban fabric. It can be argued that collectively they may be useful in creating unique maps reflecting certain periods of time and in developing successful conservation strategies.

1. Introduction

The terms ‘context’ and ‘contextualism’ were introduced into the architectural vocabulary in the 1960s as part of a critique of modernist practice (Forty 2000). More recently, discussions on conservation of historic areas have embraced these terms, and a new term, ‘Historic Urban Landscape’ (HUL), has evolved. The term ‘context’ is defined as: *“The setting of the building (or site), embracing landscape and built form as well as other aspects of the character of the area including traffic, activities and land uses”* (Tugnutt and Robertson 1987, 22-40). As for the ‘historic context’, Adam defines it as *‘a place where historic features have survived in sufficient quality or numbers to predominate’* (Adam 1993: 27-29). HUL, on

the other hand is defined as *the urban area understood as the result of a historic layering of cultural and natural values and attributes, extending beyond the notion of “historic centre” or “ensemble” to include the broader urban context and its geographical setting* (UNESCO 2012, 52). This wider context includes a wide-ranging set of elements of urban structure to provide the basis for a comprehensive and integrated approach for the identification, assessment, conservation and management of historic urban landscapes, within an overall sustainable development framework. Aiming to preserve the quality of the human environment and enhance the productive and sustainable use of urban spaces, the historic urban landscape approach emphasizes the importance of research that targets the complex layering of urban settlements in order to identify values and understand local qualities. The research and investigation efforts for understanding the complex layering of urban settlements arguably focuses on the following (Letellier 2007, 21):

- Values of a site (and their physical manifestations)
- The site’s history (and physical change over time)
- Factors affecting site condition and use
- Pertinent factors within the sites’s external environment (economic, regulatory, physical, etc.)

This paper, focusing on the problem of understanding the complex layering of urban settlements, aims to develop a methodology for the identification and documentation of cultural values and their spatial organisation. The paper starts with an evaluation of types of historic documents and their use in identification of historic urban landscapes and focuses on the historic documents and methods of using them to understand urban settlements of the Ottoman period utilizing the historic city of Adana.

2. Types of Historic Documents

While documentation of historic buildings and heritage places has evolved extensively and three dimensional tools have been developed, these tools help gather information mostly about the present situation. The understanding of complex layering of urban settlements clearly requires the gathering of information about the historic qualities, urban structure and spatial organisation of older times. There are certain tools used to gather information about historic times of an urban settlement, which can be categorized as written documents, graphic documents, oral documents and media documents (see Table 1).

Among these, graphic and media documents present clear visual records of historic towns or buildings. However, a number of issues should be addressed about the accessibility and use of such documents for urban conservation. Firstly, most of the historic documents have limited accessibility, as they have suffered serious deterioration and/or destruction throughout history and the ones that survive are under protection in libraries or special collections. It can be argued that historic documents in libraries are more accessible than the ones in special collections, as library collections are mostly open to public or researchers while special collections are accessible to a privileged minority (family members, acquaintances or researchers who manage to reach the owner of the collection). Secondly, graphic documents such as historic maps and engravings give information mostly about the general appearance of an urban settlement. Media documents such as photographs on the other hand have more potential to bring detailed architectural information. While media documents

have been available only since 19th century, maps or engravings can bring information about earlier times.

TABLE 1:
Types of historic documents, their accessibility and availability for conservation

Type of document		Time period	Accessibility	Availability for conservation
Written documents	Monographs	Since Neolithic Age	Very Limited	Very Limited
	Diaries	Since 9th century	Very Limited	Very Limited
	Memoirs	Since 19th century	Limited	Limited
	State registers	Since Roman times	Very Limited	Very Limited
	Travel books	Since 2nd Century	Very Limited	Very Limited
	Newspapers	Since 17th Century	Limited	Very Limited
Graphic documents	Cave (wall) drawings	Since Prehistoric times	Very Limited	Very Limited
	Clay tablets	Since Bronze Age	Very Limited	Very Limited
	Paintings	Since Renaissance	Limited	Limited
	Maps	Since 7th Century B.C.	Limited	Common
	Engravings	Since Prehistoric times	Limited	Common
	Miniatures	Since 3rd Century	Limited	Limited
Oral documents	Oral history records	Since 19th century	Limited	Limited
	Radio recordings	Since 20th Century	Limited	Limited
Media documents	Photographs	Since 19th century	Limited	Common
	Films	Since 19th century	Limited	Limited
	Documentaries	Since 19th century	Limited	Limited

Finally, the use of historic documents for conservation practice varies depending on the type of document. While visual documents are the primary records, information gathered from written and oral documents bring supplementary knowledge which may be crucial in understanding the social, physical and financial transformation of historic urban landscapes. For example, the historic development and economic transformation that shaped the complex stratification of spaces in the Stone Town of Zanzibar in East Africa revealed that information gathered from written documents have a crucial importance in understanding the urban settlement and in establishing sound and correct principles for conservation (Siravo 2007, 79-84).

3. Types of Historic Ottoman Documents

While the documents presented in Table 1 are valid and useful for gathering information about the historic development and transformation of urban settlements and architectural heritage of Ottoman Period, there are some other documents special to the Ottoman period that can be valuable. As shown in Table 2, four types of written documents specific to Ottoman period can be used for understanding the historical context of Ottoman towns: detailed cadastral record books (*Tahrir Defterleri*), foundation books (*Evkaf Defterleri*), Islamic court records (*Şer'iyye Sicilleri*) and foundation certificate charters (*Vakfiyeler*).

TABLE 2:
Types of historic documents special to Ottoman Period and their accessibility

Type of document	Time period	Accessibility
Written	Cadastral Record Books	Since 15th c.
		Limited

documents	(Tahrir Defterleri)		
	Foundation Books (Evkaf Defterleri)	Since 13th c.	Limited
	Islamic Court Records (Şer'iyce Sicilleri)	Since 16th c.	Limited
	Foundation Certificate Charters (Vakfiyeler)	Since 13th c.	Limited
	Monographs	Since 13th c.	Limited
	Travel Books	Since 14th c.	Limited
	Newspapers	Since 19th c.	Limited
Graphic documents	Paintings	Since Renaissance	Limited
	Maps	Since 19th c.	Very limited
	Engravings	Since 15th c.	Very limited
	Miniatures	Since 15th c.	Very limited
Oral documents	Oral history records	Since 19th c.	Very limited
	Radio recordings	Since 20th c.	Very limited
Media documents	Photographs	Since 19th c.	Limited
	Films	Since 19th c.	Very limited
	Documentaries	Since 19th c.	Very limited

Cadastral record books were the records of demographic structure, land use and ownership, products and income of towns. These records give detailed information mostly about the urban structure and rarely about the buildings. Alternatively, foundation records give the list of properties in relation to the neighbourhoods in which they are located. Islamic court records, on the other hand, consist of the decisions of local muslim judges, which may include descriptions of properties, depending on the subject. Finally, foundation certificate charters are records directly related to waqf (charitable foundation) properties such as land, buildings, shops, money, wells, workshops, etc. The state and location of the properties were described with reference to the neighbouring properties in the foundation certificate charters, making these documents useful in understanding the urban structure of Ottoman towns. In conclusion, these four types of written documents consisted of detailed records of the people, properties and financial system of Ottoman towns.

It is important to note here that while written documents of Ottoman period were quite comprehensively prepared in 15th and 16th centuries, it is not possible to suggest that they were supplementary to graphic documents. Graphic documentation in Ottoman period was based on miniatures which were two dimensional, coloured, mostly out of scale, primitive drawings and not necessarily narratives of the actual shape or condition of towns or buildings. Miniatures prepared in the 16th century by Matrakçı Nasuh were the most detailed ones (Du Tanney 1993) and gave information about the rituals in the Sultan's palace and ornaments, yet buildings were separately drawn and not useful to identify the spatial organizations in Ottoman towns. Engravings on the other hand were prepared mostly by European travellers, agents or spies. While most of the engravings give information about the general view of the towns, their descriptions are more correct than miniatures in terms of spatial organization and the scale of buildings.

Travel books written during the Ottoman period were also mostly prepared by foreign travellers and spies, however the book written by an Ottoman traveller Evliya Çelebi (1611-1682) was the most detailed and useful book in terms of understanding the urban pattern and social life in 17th century. The most important aspect of Evliya Çelebi's travel book is the fact

that he travelled for over 40 years and described the towns he visited with clear and plain language, very often using local words.

As seen in Table 2, historic documents specific to the Ottoman period were mostly prepared by Ottomans before 19th century. Since the 19th century, maps, photographs and films have come into use, and like travel books, were mostly prepared by foreigners and quite limited in number until the 1930s.

The main focus of this paper is the potential use of historic Ottoman documents in urban conservation. As mentioned above, graphic and media documents, which clearly are the primary visual documents to understand the transformation of urban or architectural heritage, are limited in number. While the genuine Ottoman miniatures give limited out of scale information, engravings show general views of towns, but were mostly prepared for the capital city, Istanbul. Therefore, in order make best use of Ottoman documents, information gathered from graphic and media documents need to be supported with relevant information from other types of documents, principally written ones.

4. Developing a Methodology-The City of Adana in the 16th Century

The paper focuses on the historic documents prepared for the city of Adana in the 16th century. The main reason for selecting Adana over Istanbul is that while varied and extensive historic documents concerning Istanbul are available, examining the capital city is considered inadequate to reveal and discuss a methodology that embraces all Ottoman towns.

The city of Adana is located in southern Anatolia and has been an important town throughout history because of its location on the Silk Road controlling the only bridge that crosses over River Seyhan. The 16th century was the golden age of the city. After Ottoman rule started in 1517, administration of the city was in the hands of the Ramazanoglu family, who ruled from the 14th century. As part of the Ottoman Empire, the city witnessed a fast and prosperous transformation, which was recorded in various documents. While cadastral record books, foundation books and foundation certificate charters give detailed written information about the nature of development of the city, only one miniature was prepared during those times, and it contains only limited information.

In the miniature of the city of Adana by Matrakçı Nasuh, part of the city was portrayed within square shaped city walls. Some monumental buildings and smaller dwellings were located outside the walls, and the dominant architectural monument of the city was shown as a mosque. Furthermore, buildings were illustrated separately without showing their location within the urban context. This example demonstrates that information gathered from a miniature can be limited and unreliable. Therefore, written documents are crucial in establishing correct information about the urban structure and architectural heritage.

Four different types of written documents can be used in order to understand urban formation of the city of Adana in the 16th century: cadastral record books, foundation books, Islamic court records and foundation certificate charters. Cadastral record books include information about the neighbourhoods and number of tax payers in each neighbourhood. Seven of these books were prepared in the 16th century (the earliest in 1519 and the latest in 1572). However, the books do not cover information about the demographic structure. That information can be gathered from Islamic court records in which Muslim and non-Muslim

citizens were recorded by name. These records also enable the classification of the population according to neighbourhoods. Foundation books, on the other hand, describe waqf (charitable foundation) properties, where each waqf and its neighbourhood are named after the mosque built by the founder of the waqf. The waqf system was the major instrument of physical and social development in the Ottoman period. It is recorded that more than 70% of the shops belonged to waqfs in the city of Adana in the 16th century (Faroqhi 1994, 56). Therefore, information in foundation books is quite valuable for tracing the historic neighbourhoods and buildings. While foundation books give rather general information about waqf properties in the city, foundation certificate charters, which were prepared separately for each foundation, include the description of the buildings and their location according to the neighbouring buildings, plots or structures.

The information that can be gathered from written documents is not useful in real terms unless the information is transferred to graphic documents, mainly cadastral maps. Cadastral maps (the earliest one for the city of Adana was prepared between 1935-1939), include information about the streets, plots, plot sizes, type of buildings on the plots and the owner of the property. It is argued that *“geographically the town plan is a combination of three distinct but integral kinds of plan elements: the streets and their street system, the plots and their plot pattern, and the building arrangement within these patterns”* (Conzen 1981, 25). Conzen’s studies show that plot pattern and land use transformations can easily change, but street patterns generally survive for longer times. In spite of the fast urban change that began after the 1950s, some of the waqf properties are still present and the names of the neighbourhoods and organic street pattern specific to Ottoman period have survived. It can be argued that the earliest cadastral maps still contain valuable information which allow visually tracing information gathered from written documents.

As illustrated in Figures 1 and 2, it is possible to trace the urban structure, the street system and some of the architectural heritage by superposing the information gathered from written documents on the cadastral map of 1938. It has to be noted that only the monumental buildings such as mosques and baths have survived because of being built with stone. Shops and houses, on the other hand, have rarely survived as they were built either with wood or mud-brick. Still, the superposition gives important information about the composition of land use and how the functions were related to each other.

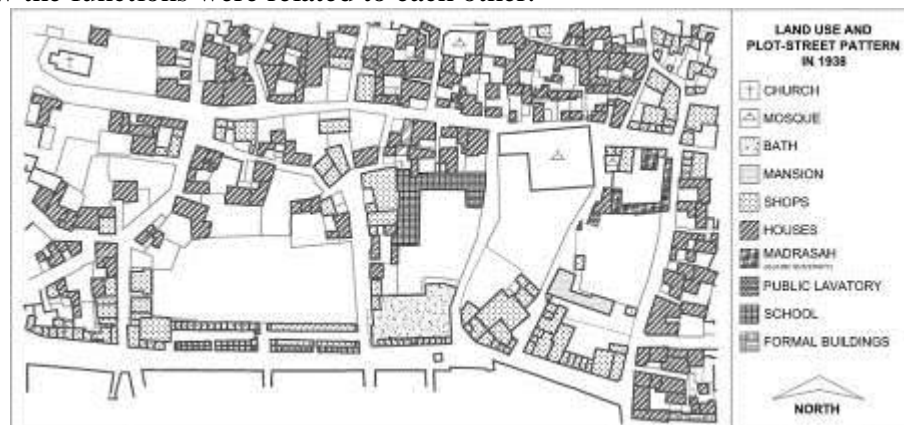


FIGURE 1: Land use, plot pattern and street pattern in 1938 cadastral map

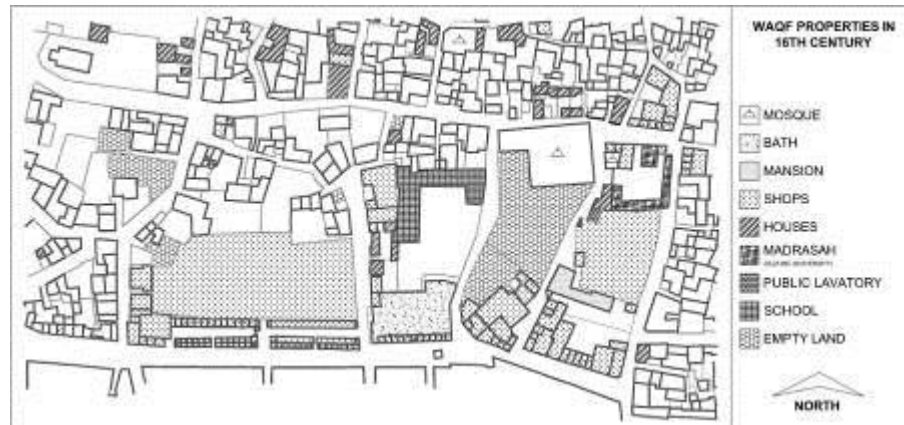


FIGURE 2: The superposition of information about waqf properties gathered from written documents with cadastral map of 1938

In order to better illustrate how written documents can be used to trace historic development of cities, it is helpful to focus on the demolished walls of the Adana bazaar and whether its boundaries can be determined using written documents. There is no graphic document available that shows the walls, but depending on the information related to neighbourhoods in cadastral record books and the description of the bazaar and its walls in foundation certificate charters, it is possible to determine almost the exact locations of the gates in the wall (see Figure 3) opening to the neighbourhoods (Saban 2006, 180).

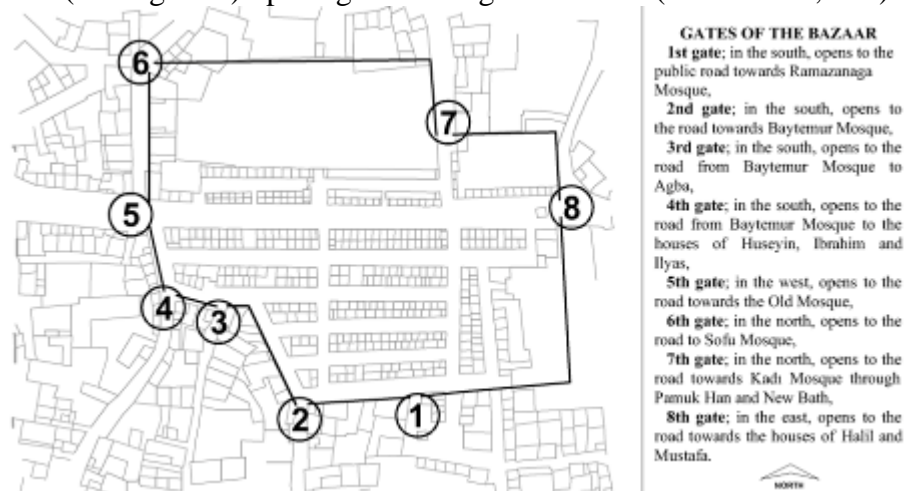


FIGURE 3: The gates of the bazaar according to Foundation Certificate Charters

The last example is the use of travel books in identification of the boundaries of the demolished citadel of the city of Adana and the ditch surrounding it. The descriptions of the citadel in travel books differ from each other, but superposition of the descriptions on the cadastral map shows that every traveller had a different point of view. Although the descriptions at first seem contradictory, they were all accurate descriptions of the building viewed from different directions (see Figure 4).

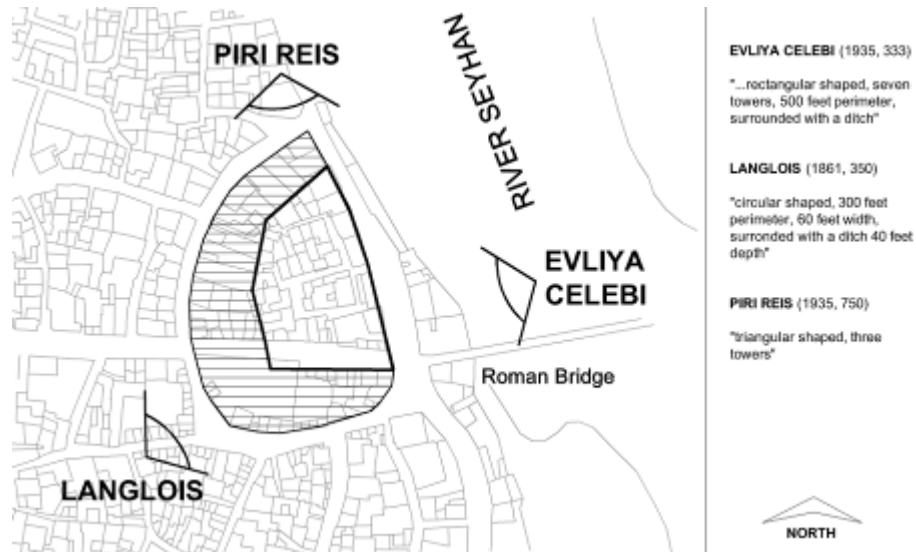


FIGURE 4: The boundaries of the citadel of Adana according to travel books

The use of historic Ottoman documents in understanding urban structure of the city of Adana in the 16th century was examined through three examples in this paper. It was ascertained that historic written documents are valuable sources of information and can be used in gaining knowledge about the elements, land use and ownership patterns and spatial organisations of an urban settlement in a certain period of time.

5. Conclusion

It has been widely accepted that recording, documentation, and information management play an important role in conservation. In all stages, such as research, investigation, conservation planning, day-to-day management, periodic control and maintenance, major physical intervention, or provision of services for visitors, access to documentation is needed and new records should be added to the existing stock of information. It is argued that *heritage information is a dynamic process through which the documentation of a heritage place is systematically collected, archived, and made available in order to provide a sound basis for the implementation of informed conservation strategies* (Letellier 2007, 22). While these principles are applicable all over the world, types of historic documents may differ depending on the culture and the level of civilization, and specific methods may need to be developed in order to make best use of specific types of documents. By focusing on the historic Ottoman documents, the author has tried to develop a methodology for the best use of such documents in urban conservation.

Issues raised in the paper include the insufficiency of media and graphic documents for urban conservation. Media documents have been available only since 19th century, and graphic documents bring limited information and have accessibility problems. The paper argued that written documents, such as travel books, state registers and monographs embrace valuable information, and superposition of information gathered from written documents with early cadastral maps may create a unique map that shows urban structure in a particular period of time.

The study revealed that four types of documents specific to Ottoman period, as well as travel books, contain valuable information about the physical and social structure of towns. The examination of their use for understanding the urban structure of the city of Adana in the 16th century showed that it is possible to identify boundaries of some buildings, to locate some properties for which no graphic documentation is available, to gain knowledge about land use and ownership patterns, and to create a map of a particular period of time. The paper focused on the 16th century and used historic documents from that time, however it is possible to focus on other centuries and create maps for each century in order to understand layering of urban settlements. It is possible to argue that once the complex layering of an urban settlement is understood, more successful strategies for their conservation can be developed.

The recommendation on the Historic Urban Landscape (HUL) in 2011 by UNESCO considers that the historic layering of cultural and natural values and attributes in historic urban landscape needs to be identified, conserved and managed. The paper argues that identification of cultural and natural values of historic urban landscapes, which is the initial stage of conservation action, should involve collective use of all types of historic documents in conjunction with each other. Finally, it has to be noted that although media and graphic documents are the most common and universally accessible documents, every culture and civilization may produce specific types of written documents which should be embraced and made best use of in understanding historic layering of urban settlements.

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HAVELIS OF SHEKHAWATI: ENCOURAGING AND ENGAGING LOCAL COMMUNITY IN PROTECTION AND PRESERVATION

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ABSTRACT

The diverse built heritage of Shekhawati is crumbling fast. Heritage buildings now stand abandoned, neglected and abused. Beautifully painted *havelis* (mansions) are languishing in its various towns. New structures are being constructed within and around old *havelis*. Insensitive interventions are threatening to destroy the distinct identity and uniqueness of *havelis*. Some of the *havelis* have even been deliberately demolished to make way for new construction. Innumerable risk factors, both at the larger macro level of the town as well as at the micro level have been responsible for the deterioration of beautiful *havelis* and pose a serious threat to the existence of this invaluable traditional housing stock of Shekhawati. In the midst of these challenging circumstances the big question that arises is what can be done to save these priceless buildings and the remarkable building crafts and skills associated with them from being lost forever? This paper highlights the problems affecting Shekhawati *havelis* and draws attention towards the reasons why with each passing day it is becoming more and more difficult to conserve *havelis* and protect them from being demolished. It discusses the role of local people especially owners and craftsmen in conserving these beautiful structures. It also explores the relevance of a preventive strategy in mitigating negative factors and minimizing deterioration of the rich architectural wealth of the region.

1. The Shekhawati Region

Traditional building construction technology, skills and ornamentation techniques have been perfected by the craftsmen of Rajasthan in India for centuries. In the Shekhawati region of the state, they found popular expression in richly painted *havelis* (mansions), temples, shops, *chhatris* (cenotaphs) and wells. The region boasts of the largest concentration of buildings adorned with murals. No where in Rajasthan or for that matter anywhere in the world has the technique of mural painting been used at such a large scale, spreading over not just a few towns and villages but encompassing an entire region. Beautiful *havelis* standing out in the monochrome landscape of the region are the reason for it being referred to as an 'open air art gallery'. This remarkable architectural wealth of Shekhawati has drawn

international attention and over the years, and the region has achieved the status of an important cultural tourism destination. Rolling sand dunes, natural scenery and painted *havelis* in its various towns and villages captivate tourists.



FIGURE 1. Semi arid region of Shekhawati.

Shekhawati is a semi arid region, an extension of the *Thar* Desert in the north-western part of India [FIGURE 1]. Traditionally the region was a confederation of several *thikanas* (fiefdoms), which were controlled by Muslims, Shekhawat Rajputs (warrior clan of Rajasthan) and British at different time periods until India achieved its independence in 1947. The present configuration of the region corresponds to the territories falling under three modern districts of Rajasthan, namely Sikar, Jhunjhunu and Churu. The three districts located to the northwest of Jaipur and southwest of Delhi, together cover an area of about 30,500 sq. km. and share common economic, geographic and cultural features.

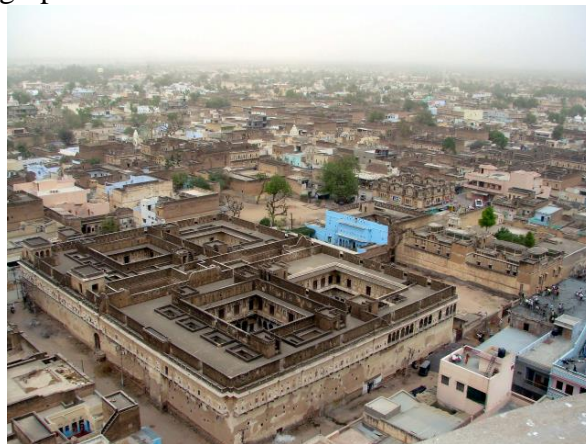


FIGURE 2. Rich built heritage of Shekhawati.

In spite of the inclement conditions that make the Shekhawati region almost inhospitable, several towns interspersed by innumerable villages developed throughout this semidesert tract and sustained a unique cultural environment. Different types of traditional buildings, structures and associated spaces that came into existence in the heart of this desert land constitute its rich built heritage [FIGURE 2]. Every detail in the built environment of the towns, right from their planning and layout to the different types of buildings and beautiful ornamentation on architectural surfaces of buildings, is an expression of the rich heritage of the region.

2. Era of the Grand Havelis

In Shekhawati, trading was the primary economic activity, and even today a number of top businessmen in India come from this region. A majority of the grand *havelis* in Shekhawati were built by their ancestors, the *Marwari* merchants, an extremely mobile business community of Rajasthan. The construction of *havelis* in Shekhawati was closely linked to the growth and development of towns and villages in the region. Towns in Shekhawati witnessed two distinct phases of growth with corresponding eras of *haveli* building, the first in the years from 1740-1800 A.D. and the second more important one from 1830-1930 A.D.

With the founding of new towns in the 18th century, rulers or *thikanedars* of Shekhawati invited *Marawri* merchants from the surrounding region to settle in their *thikanas*. The rich *Marwaris* built *havelis* as residences for their families. In the 19th century the *Marwari* merchants migrated eastwards to the ports of Calcutta and Bombay setting up business houses there. These *Marwari* entrepreneurs and traders became very successful and contributed greatly to the economic and urban growth of towns in Shekhawati. Towards the end of the 19th century, there was a spurt in building activity in the Shekhawati region with prospering *Marwaris* competing with each other to build residences, shops and community structures in their homeland. They amassed substantial wealth and remitted large sums of money to their homeland for the construction of huge mansions as well as social facilities. In their hometowns in Shekhawati they built huge *havelis* for their families. They were in a position to show off their new status and there was no better way of doing this than commissioning the construction of huge *havelis* with the most intricate frescoes [FIGURE 3]. The magnificent buildings that they built in their hometowns were intended to be physical reminders of the remarkable level of economic prosperity attained by them in faraway places. They also spent large sums on the welfare of their community, building temples, *bawaris* (step wells), reservoirs, *dharamshalas* (caravan sarai), *gaushalas* (cattle shelter homes), schools, colleges, wells and *johars* (water tanks).



FIGURE 3. *Havelis* with intricate frescoes.

Under the patronage of *Marwari* businessmen, construction activity in the Shekhawati region gained momentum with a thriving population of masons and painters. *Marwari* businessmen gave unprecedented impetus to the art of mural painting by building grand *havelis* that boasted large-scale painting works covering almost every possible surface of the structures. These intricately painted *havelis* have eventually become the distinguishing feature of Shekhawati.

3. Havelis - Marwari Merchant's Haven



FIGURE 4. Imposing and sprawling havelis.

Amongst the various building types existing within the urban fabric of towns in Shekhawati, *havelis* stand out because of their distinct and dominating built form [FIGURE 4]. *Havelis* defined the private space of people and were generally multi-storeyed with built spaces arranged around one or more open courts. They were built according to traditional principles. Their planning, design and construction demonstrates a deep understanding of structural principles, local building materials, climatic conditions, topography, culture and way of life of the local people. Almost all the *havelis* are conceptually the same. However, their planning and architectural character evolved with time, giving rise to several variations. They range from single to multiple court--one, two and three *chowk* (court) *havelis*. The number of courts in the *haveli* and its scale was a clear reflection of the status of the owner. *Havelis* were often named after the lineage of the family that built them and often indicated the name of the place of their origin. *Havelis* built all across Shekhawati by rich *Marwaris* are highly imposing and sprawling mansions, demonstrating architectural magnificence and skilled craftsmanship.

4. Painter's Paradise

Painted *havelis* in Shekhawati epitomize the ingenuity and artistic temperament of both the owners and the craftsmen who built them. *Havelis* were constructed using building technology perfected over centuries employing a wide variety of building materials, construction techniques and skills to create different spaces. Building materials were adapted and improvised to achieve the best quality in construction within the limited resources available. Apart from functional and structural aspects of construction that have been very

skilfully achieved in a *haveli*, aesthetic aspects have also been equally exemplified. Locally available materials have been very adeptly transformed to create artistic enclosures for human activity that beautifully portray the local culture. Several finishes and ornamentation techniques have been used to adorn *havelis*. Mural painting on lime plaster has been extensively used as an artistic medium for expression. Almost all the surfaces of the *havelis* have been painted with beautiful figures, intricate motifs, geometrical and floral patterns and borders [FIGURE 5]. Every inch of space displays a mastery of the technique of mural painting. Painted surfaces have been treated by local artists as huge canvases, capturing the contemporary cultural milieu. These painted facades are the distinguishing feature of *havelis* in Shekhawati that sets them apart from *havelis* elsewhere in India. Apart from mural painting, stucco, stone carving, wood carving, brass inlay, coloured glass, sculpture, gold painting and mirror inlay are some of the other beautiful ornamentation techniques that have been employed with utmost perfection in *havelis*.



FIGURE 5. Beautiful figures and intricate motifs.

5. Ignorance Neglect and Changing Times



FIGURE 6. *Havelis* under constant threat.

Mostly built in the time period between 1850s and 1930s, Shekhawati *havelis* have withstood adverse conditions but today they face an uncertain future. Over the years, *havelis* have been considerably impacted by a number of negative factors. The existing stock of *havelis* in the region is steadily declining [FIGURE 6]. Since the construction of the majority of painted *havelis* was patronized by influential *Marwari* merchants, today in their absence *havelis* are in a derelict state. A majority of the owners of *havelis* no longer stay in them. Most of the owners and their heirs have settled in far away metropolitan cities. A significant number of *havelis* are locked. Several of the *havelis* are in possession of caretakers and tenants, who have neither any emotional bonding nor the requisite technical know-how and financial means to take care of them. In addition, over the years most of the *havelis* have come to be owned by multiple owners as a result of the *Marwari* tradition of dividing the property equally amongst the surviving sons. Some of the *havelis* have as many as 15 to 30 owners laying claim to the property. With lack of consensus amongst the owners, such disputed *havelis* remain permanently locked. Divided inheritance has resulted in little interest in the fate of these mansions among family members. Many are tempted to watch and wait for a rise in real estate prices brought about by the influx of foreign tourists, meanwhile exercising their veto power to prevent any action in regard to the property.



FIGURE 7. Rising dampness in havelis.

Locked *havelis* languish in the absence of any maintenance and repair work [FIGURE 7]. These buildings are in an extreme state of disrepair with natural agents of decay causing untold damage. Unchecked vegetation growth inside *havelis* has led to major structural damage. Rising damp is slowly eating away ornamental plasters, and precious murals are steadily getting destroyed. Wooden architectural elements such as beautifully carved ornamental doors, windows and beams have decayed as a result of unchecked termite attack. Lack of adequate watch and ward has led to several incidences of theft of precious wooden architectural components. Building components such as ornamentally carved wooden doors, windows, beams, pillars, arches, brackets and furniture items are deliberately removed and sold in the antique market for hefty sums [FIGURE 8].



FIGURE 8. Theft of building components.

The state of most of the *havelis* that are still being used is equally bad. Unplanned development, inappropriate additions, alterations, disuse and misuse over the years has accelerated the deterioration of these *havelis*. Some of the *havelis* have been subdivided and leased out to multiple tenants, resulting in loss of integrity of the structure while raising significant issues of maintenance.



FIGURE 9. Insertion of modern infrastructure.



FIGURE 10. New toilets in front of havelis.

Modern infrastructure mindlessly inserted in *havelis* has also damaged beautifully painted surfaces [FIGURE 9]. Inappropriate insertion of piped water supply, electrical fittings, soil and waste disposal systems and toilets, which were never part of *havelis*, has resulted in significant problems. In order to provide for modern day comforts, painted facades of *havelis* have been mindlessly punctured for inserting water supply pipes, air conditioners and air conditioning ducts. Introduction of piped water supply systems within the *havelis* without an adequate accompanying sewerage system has led to surface drainage issues. Insensitive electric wiring, including fixing of electricity and water meters, switchboards, lights and fan fittings, has damaged painted surfaces. Water closets and wash rooms built in front of the *havelis* have marred the visual appearance of the beautiful facades [FIGURE 10]. Elevated water storage tanks constructed on top of *havelis* without undertaking adequate water proofing measures have caused damage. Leaking water pipes are constantly eating away at the vitals of the *havelis*, resulting in severe damage to masonry.



FIGURE 11. Mindlessly created openings.

Insensitive use has further aggravated problems. Spaces in several *havelis* have been insensitively converted into shops, damaging the painted facades. New doors and shop openings have been mindlessly created and fixed with aesthetically jarring iron rolling shutters completely disfiguring the facades [FIGURE 11]. New construction on top of some of the *havelis* has introduced extra stresses in the structure. Burning of firewood in open kitchens inside some of the *havelis* has led to deposition of black soot on the surface, camouflaging and damaging mural paintings. Advertisements ruthlessly painted on the exterior walls of *havelis*, indiscriminate pasting of posters, writing of social and political messages as well as casual graffiti have damaged some of the beautiful paintings beyond repair [FIGURE 12]. A large number of *havelis* in the region have been seriously damaged due to lack of adequate knowledge of traditional construction. Unplanned and insensitive repair and maintenance works have further aggravated problems in *havelis*. Use of modern building materials and techniques for repair and maintenance has caused much damage.



FIGURE 12. Indiscriminate graffiti.

Increased vehicular traffic in the old core of towns poses a constant threat to *havelis*. Large buses, jeeps and cars choke the narrow lanes in the towns leading to frequent traffic jams. While negotiating turns these heavy vehicles often damage *havelis* especially their projecting building parts. A rise in real estate values is another factor threatening the existence of *havelis*. Many *havelis* are deliberately not being maintained so that they can be declared unsafe and easily demolished to make land available for new construction. The reclaimed land is being used to construct new commercial complexes that not only wipe out an important link with the past but also are totally out of context and mar the visual appeal of the historic area.

A surge in tourism activity in the region is posing further problems. *Havelis* have become new attractions for tourists, increasingly becoming part of the well-established tourism industry of Rajasthan. Spurred by tourism in the region, quite a few *havelis* have been converted into heritage hotels without paying adequate attention to their authentic character, significance and traditional construction technology. The new tourism entrepreneurs are oblivious of the damage that they are causing to beautiful *havelis*.

6. Declining Crafts and Diminishing Craftsmanship

In addition to the host of problems being faced by *havelis*, lack of regular maintenance and management, insensitive repair work, use of modern materials, inadequate knowledge of construction techniques and skills, non-availability of traditional building materials and trained craftsmen are some other crucial factors that pose a serious threat to the existence of this invaluable traditional housing stock. The art of handcrafting beautiful spaces in Shekhawati is virtually extinct. Ancient building art forms are now on the verge of extinction. Demands of the market have forced craftsmen to jettison their traditional skills in favour of modern skills. Lack of professional and locally relevant information and technical support for repair and maintenance of traditional buildings is a big constraint. Absence of adequate know-how has led to quick-fix solutions for repair work [FIGURE 13]. Unaware residents trust spurious techniques and undertake maintenance work that is detrimental to the structures. Use of modern materials, especially cement for repair, has caused extensive damage to the masonry buildings. Ornamental and painted wall plasters have often been whitewashed and painted with synthetic paints causing irreparable damage to precious paintings. Fake fresco

techniques are being used to retouch and decorate architectural surfaces damaging the original paintings.



FIGURE 13. Quick fix solutions for repair works.

Knowledge of traditional building crafts forms the backbone of any conservation intervention. However, today both the lack of knowledge of traditional building construction and skilled craftsmen and an absence of scientific understanding of processes and techniques has greatly aggravated the deterioration of *havelis* in Shekhawati. Today there is a pressing requirement not only for protection and conservation of the built heritage of Shekhawati but also an urgent need to preserve the rapidly diminishing traditional knowledge of building construction and ornamentation.

7. Stakeholder Apathy and Uncertain Future

Traditional housing is the most vulnerable of all the built heritage assets. In India in general, there is lack of awareness with regard to preservation of traditional housing stock which, is largely unprotected. Preservation of traditional housing is hardly a priority with the civic agencies or the owners amidst the host of other critical problems being faced by cities and towns. Painted *havelis* of Shekhawati are no exception. Public apathy and insensitivity toward their preservation is a cause for serious concern. Since they are unprotected structures and are privately owned, they are therefore out of the purview of direct government intervention as far as their preservation, repair and maintenance is concerned. Lack of an adequate legislative framework for heritage protection in the region has been a big constraint. With each passing day, *havelis* are being demolished, renovated and significantly transformed.

Shekhawati *havelis* without patrons are at great risk. A majority of the owners and occupants are not interested in conserving these structures nor do they have the necessary technical means to do so. It is ironic that many of the *Marwari* merchant families, original owners of these *havelis* and patrons of yesteryears, today own big business houses acclaimed both nationally and internationally. Their *havelis* however languish and their upkeep staff linger on in the hope that someday either the owners would relent and preserve in order to revive life within them or the government would come forward to conserve the building for them and for visitors.

However, the government has also not been able to do much. Government interventions in Shekhawati have so far been limited to providing basic amenities such as

upgrading roads, signage, street lighting, water supply and solid waste management. Moreover, these have often been undertaken in isolation without involving the local community, thereby giving rise to much conflict and dissatisfaction amongst the stakeholders. Initiatives from the government have totally ignored the core issue of protection and preservation of the privately owned *havelis* and continuity of traditional building crafts and craftsmanship. In this scenario, the fate of the beautiful *havelis* of Shekhawati remains uncertain.

8. The Way Forward — Developing a Cooperation Strategy

Shekhawati *havelis* are an ideal case highlighting the much neglected social dimension of heritage conservation and the urgency for developing a preventive approach. In order to conserve Shekhawati *havelis*, it is imperative to formulate a well planned strategy that involves all the stakeholders and addresses their varying needs. It is also time to explore alternative methods of preservation in place of the conventional one-time project based approach. A project based approach involves significant financial investments and, moreover, decay proceeds unchecked between interventions. In contrast, timely and periodic interventions can check decay agents and minimize damage while preventive measures can stop future damage and save precious original materials. A holistic preventive conservation and management based participatory strategy holds a lot of potential for safeguarding *havelis*.

Participation of owners, caretakers and users is crucial for undertaking many of the preventive conservation activities that can ensure effective utilization of the limited financial resources available for such work. Preventive conservation measures can help put an end to some crucial detrimental activities that are harming *havelis* such as pasting of posters, painting of promotional advertisements, graffiti on beautiful facades, insensitive construction of toilets on painted facades, renovation of *havelis*, insensitive installation of electrical, water and air conditioning systems, open disposal of garbage and debris in public places, use of modern materials in repair and maintenance works especially cement, repainting of murals with synthetic paints and above all and most importantly deliberate demolition of *havelis* [FIGURE 14].



FIGURE 14. Deliberate demolition of *havelis*.

In order to mobilize owners, caretakers and users of *havelis*, there is a need for a massive awareness campaign. Owners, caretakers and users need to be sensitized towards the urgency of conserving *havelis* and the benefits accruing from it. The need for undertaking timely and regular maintenance of traditional buildings needs to be highlighted. A well planned owners/caretakers program for awareness generation with regard to adaptive reuse of *havelis*, sensitive retrofitting, periodic monitoring, repair and maintenance would be extremely helpful in involving them in conservation and management of *havelis*. A periodic monitoring, diagnosis and repair system supported and adopted by them would ensure the preservation of locked and unused *havelis*. In addition, demonstrations can showcase the correct methodology for undertaking regular repair and maintenance. Haveli owners also need to be actively involved in tourism development in the region to help promote responsible cultural tourism. They need to be persuaded to sensitively reuse their *havelis*, and willing owners assistance to develop their *havelis* as home stays. Simultaneously, people involved in the construction trade also need to be made aware of the necessity for acquiring traditional construction skills which can open up new opportunities of income generation for them. Local building craftsmen need to be encouraged and supported to hone their traditional skills as knowledge of local building crafts can play a vital role in ensuring authentic repair and maintenance works. Sensitization, capacity building and training workshops need to be conducted for local craftsmen and construction workers willing to acquire traditional skills.

All these interventions however require a close collaboration between various other stakeholders as well. *Havelis* can be meaningfully conserved only with the active support, participation and close collaboration of all stakeholders, viz, the state and central government, local civic bodies, owners, caretakers, tenants, local craftsmen and visitors. Partnerships among different stakeholders at all levels need to be forged and strengthened. There is a need to evolve an “ecology” of new enterprise in the region. Owners and caretakers of *havelis* need to be encouraged to become custodians of heritage rather than mere onlookers. Local authorities need to evolve into managers from mere administrators. Visitors need to act as new responsible patrons rather than just tourists, and craftsmen need to be encouraged to become entrepreneurs for ensuring revival and sustenance of traditional building crafts. Building successful partnerships with local communities would go a long way in helping preserve the rich cultural legacy of Shekhawati.

9. A New Beginning: Encouraging and Engaging the Local Community

People are central to heritage conservation, both as patrons and custodians of heritage. Keeping this in focus, several initiatives have been undertaken to encourage and empower local people in Shekhawati to participate in heritage conservation. The author has been working toward the conservation of traditional buildings in the region for almost a decade, both in an individual capacity and as a consultant to the State Government of Rajasthan and the UNESCO New Delhi Office (Cluster Office for Bangladesh, Bhutan, India, Maldives, Nepal and Sri Lanka). Development plans for heritage conservation, infrastructure and tourism promotion for five important towns in the Jhunjhunu district of Shekhawati were prepared for the State Government of Rajasthan. A pioneering concept note detailing out the framework for conservation in Shekhawati titled *On the Merchants Trail in Shekhawati* was also developed

by the author as part of the Indian Heritage Passport Program of the UNESCO New Delhi Office. This document is of crucial importance as it sets out the vision and framework for conservation and tourism development in Shekhawati region. It not only highlights the need for preservation of the rich architectural wealth of the region, but also stresses on the need to promote responsible cultural tourism.

In line with this vision and as a furtherance to the cause of conservation in Shekhawati a detailed research project focusing on *havelis* and revival of traditional building construction technology and ornamentation techniques of the region has been recently undertaken by the author in collaboration with the Department of Science and Technology, Government of India and UNESCO New Delhi Office. As part of the project, a campaign titled *Shekhawati Virasat Abhiyan* has been launched for preserving the *havelis* of Shekhawati. Under the initiative, a *Haveli Owners Awareness Program* and a *Craftsmen Training Program* have been initiated to address the problems being faced by *havelis*.

As part of the *Haveli Owners Awareness Program*, orientation workshops for *haveli* owners, caretakers and users have been organized. A *Haveli Owners Manual* has also been published [FIGURE 15]. The aim of the manual is to reach out to owners, raise awareness and develop an understanding of guiding principles of conservation, repair and maintenance of *havelis*. The manual introduces a scientific understanding of traditional construction techniques and processes amongst the users of *havelis*. It is also designed to familiarize the owners and occupants with the significance of preventive conservation and highlights the need for regular repair and maintenance of *havelis*.

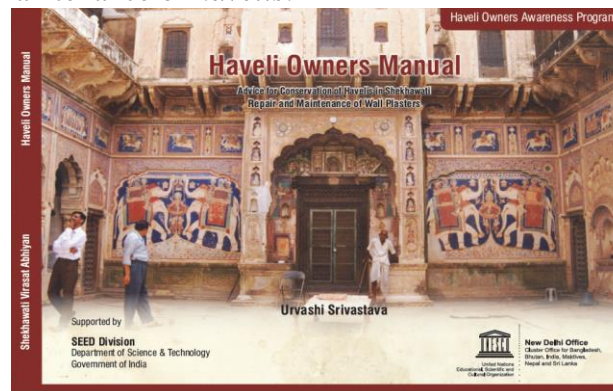


FIGURE 15. Haveli Owners Manual.

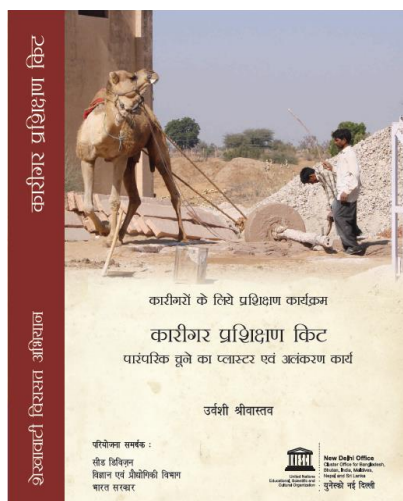


FIGURE 16. Craftsman Training Kit.

The *Craftsman Training Program*, on the other hand, focuses on upgrading the skills of the local craftsmen and encouraging local construction workers to acquire traditional skills. A training program for local construction workers was organized in Shekhawati. The initial training program focused on wall plasters, as they are the most outstanding feature of *havelis*. The program included reviving traditional technology of plastering through awareness workshops and hands-on training. As part of the program, a *Craftsman Training Kit* comprising of a series of five *Conservation Notes* and a *Code of Practice for Traditional Lime Plastering and Ornamentation Works* has been brought out in the local language [FIGURE 16]. The conservation notes provide technical information about traditional wall plasters, problems associated with them, symptoms of decay, causes for deterioration, disadvantages of using cement in repair of traditional buildings and benefits of using lime [FIGURE 17] and the code of practice, a very important piece of document, details out specifications of materials and step by step processes for applying various types of traditional wall plasters used in Shekhawati *havelis*.

The *Haveli Owners Awareness Program* and the *Craftsman Training Program* are initiatives that are first of their kind in the Shekhawati region. Both the programs developed as part of the *Shekhawati Virasat Abhiyan* campaign are aimed at encouraging and empowering the local people of Shekhawati to participate in heritage conservation activity in the region. The *Haveli Owners Manual* could be of immense help in actively involving owners and caretakers in conservation works, persuading them and providing them technical advice for undertaking periodic repair and maintenance of their properties. The *Craftsmen Training Kit* would help local craftsmen develop a scientific understanding of traditional construction processes and enhance their skills. It would also encourage local construction workers to acquire traditional construction skills. This would help address the acute shortage of skilled craftsmen having a good knowledge of traditional construction techniques, especially the use of lime.



FIGURE 17. Conservation Notes.

It is hoped that the campaign *Shekhawati Virasat Abhiyan* initiated by the author would help the two most crucial stakeholders, the owners and the craftsmen of Shekhawati, come together and then acquire the requisite technical knowledge to be able to proactively participate in and contribute to conservation. *Havelis* belong to the craftsmen of Shekhawati as much as they belong to the owners. While the onus of preserving these beautiful structures lies on the owners, the crucial task of reviving and sustaining the traditional building crafts and the skill rests with the craftsmen of the region. Government and the local authorities also have a critical role to play, both as a coordinators and facilitators for conservation of *havelis* and promotion of responsible tourism in the region. It is imperative for the government to build a network of stakeholding partners, start a dialogue with various stakeholders, promote communication and public awareness, develop local institutional capabilities and, above all, initiate training and traditional skill development of local construction workers in the region. Well informed owners of *havelis*, skilled craftsmen, responsible visitors and, most importantly, local authorities as managers and facilitators can play the role of agents of change and begin an era of participatory conservation and management of irreplaceable heritage resources in the Shekhawati region.

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THEME 2:
MEASURES AND STRATEGIES FOR
MITIGATING RISKS FROM POPULATION
GROWTH, URBANIZATION AND
IMMIGRATION

SPATIAL PLANNING AS A TOOL FOR HERITAGE PROTECTION: COSTA RICA MASTER PLANS

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ABSTRACT

Urban and regional planning in Costa Rica has been implemented through master plans, which are the main tool used by local governments for land management; however, these plans need to follow some national rules, and particularly tangible cultural heritage regulations.

These plans give opportunities for conservation; nevertheless, they require to be adjusted to current regulation on historical monuments. The Sustainable Urban Development Research Program (ProDUS) of the University of Costa Rica has been working for many years in approaching this topic since the territorial diagnosis, where it is necessary to make an inventory of the monuments officially registered and those with potential to be registered in the future.

The most significant contribution of ProDUS's work is the establishment of historical and architectural conservation areas into territorial legislation, which seek to protect the existing and potential assets, by implementing incentives to owners, as well as regulations relating to outdoor advertising, heights, etc. The proposal is the articulation of heritage with bikeways, pedestrianization and tourist attractions. These historical buildings could improve and provide identity to human settlements and its inhabitants.

In brief, this paper aims to show an overview of the elements needed for making a diagnosis of the situation in a particular heritage place, the strategies used to incorporate it inside the land use regulations and its relationship to other elements of the master plan.

1. Introduction

This paper presents how the planning process and regulations can help preserve buildings that are heritage assets. This can be possible, but the lengthy delays in the approval of new regulation have had a significant impact. Additionally, if the regulation allows very tall buildings and high density land use, the land values increase, and the possibilities of preserving those buildings becomes financially more difficult.

An essential part of the process is to identify groups of buildings which present outstanding technological, social or design value. These groups of buildings should reflect high quality of execution, but also capture the essence of their historical period.

The challenge of such an evaluation is to select the most outstanding buildings, but also to realistically identify the best examples among the stock of the historic built environment. The selection is absolute in some respects, but is also relative, because it helps to preserve the essence and the best of each culture. The uniqueness category is relative to a specific geographic area and culture.

2. Costa Rican Contexts

Costa Rica is a small country of Central America. Its territory was a frontier area during the Spanish Colonial period that ended in 1821. Trade was difficult and it was quite significantly isolated. It had very few inhabitants and economic activity. The lack of rich mines and few indigenous people were great obstacles to the formation of capital and economic growth. This explains the lack of physical remains from that period.

Even though there are some structures from pre-Hispanic past, they are not very significant compared with other Latin American countries.

Costa Rica, today, is a middle income country with very good social indicators, but with an overextended State that tries to do many things without sufficient resources to support all its aspirations in different fields such as the preservation of tangible heritage.

Another important point of consideration is that the legal system provides property owners with very significant rights and the state has difficulties restricting these or even using its influence to protect buildings and archaeological remains, even though, the legislation is very strong for protecting new archaeological discoveries.

3. Experience in conservation with special heritage areas in Montes de Oca

Montes de Oca is a municipality within the San José Metropolitan Area and adjacent to San José county. This urban area is very important because many universities have been established there—Universidad de Costa Rica being the biggest and most significant one. Montes de Oca also has faced tremendous urbanization pressure due to its strategic location. In addition, there is a high education level, many public institutions, heritage areas and historical sites.

According to the research featured in “Plan especial para la protección del patrimonio urbano e histórico arquitectónico” written by Ofelia Sanou (2001) for the Montes de Oca Master Plan, this area has been marked by four important historic periods which have influenced the current urban and architectural configuration:

1841-1890: This period marks the beginning of coffee cultivation in San Pedro del Mojón —current district of Montes de Oca. At the end of the XIXth century, it was possible for the farming families to have better means of transportation with the advent of the railroad.

1890-1930: San Pedro del Mojón communities wanted to expand from a small coffee village to a district. As a result, some important buildings were constructed such as the school and local government building. Some services were also introduced such as the police, the telegraph and the jailhouse. In addition, some critical events occurred. In 1901, an electric railroad branch was opened with important stops in the town. In 1910, an earthquake

destroyed and damaged many houses, as well as a church and the police office building. New houses were subsequently built of wood and brick.

1930-1950: With the global economic crisis of 1929, coffee prices collapsed. As part of a public strategy to help the unemployed and improve physical accessibility to the coffee farms, important investments were made mainly in building roads and public buildings such as the Franklin D. Roosevelt School, built in a “neocolonial” style, which was the first favourite construction of the San Pedro del Mojón communities. [FIGURE 1]

1950-1970: Economic activity was further boosted due to the global crisis. New land uses were introduced; industrial and educational activity began to pick up. In the 1940s, the Universidad de Costa Rica was created. From then on, San Pedro became slowly a university town. In the 1960s, modern architectural typologies appeared.



FIGURE 1. Building of Franklin D. Roosevelt School (Barrantes, 2013)

All these events have strongly influenced the urban development in Montes de Oca. Some of the existing buildings are witnesses to this transformation while entire neighbourhoods, such as La Granja and Roosevelt, are the results of these later trends.

According to Castillo & Silesky¹⁸, in order for a place —either a group of cultural assets, isolated buildings or natural landscapes— to be considered architectural heritage it should be:

- The result of a collective experience of a specific community or ethnic group
- An example that shows national, popular or collective identity
- A construction which symbolizes social structures
- A building constructed after the XVIth century, but with the minimum age legally required.

In addition, buildings should have at least the following characteristics:

- To have important historical or cultural associations with a community, region or country
- To represent a contribution to the technical and historical development of Costa Rica’s architecture
- To be associated with people’s lives or with social groups which have had an historical or cultural impact on a community or the country
- To have traditional features such as typology, aesthetics and urban design which have readily shaped their immediate context.

¹⁸ “The local government’s role in architectonic heritage conservation” ICOMOS, Costa Rica, quoted by Sanou (2001).

3.1. Measures taken in the Montes de Oca Master Plan to protect architectural heritage

The creation process of the Montes de Oca Master Plan started in 2000 with a territorial survey, which collected physical, social, economic, urban and environment data, as well as addressed natural hazards, quality of life and community participation.

Among the urban topics, architectural heritage was very important. According to the research quoted (Sanou, 2001), it was possible to identify the most representative buildings which required protection through territorial regulations.

ProDUS, through the Montes de Oca Master Plan, implemented some measures in order to protect this group of places with historical value. The following regulations were established:

- a. Creation of “special areas of historic value”: These areas ([FIGURE 2] represented sectors with architectural importance, where it was possible to ask for an official designation; however, at the moment of the proposal they did not have any protection. These special areas were a group of buildings which included one or more officially declared buildings as architectural heritage. The goals to be achieved through the creation of these areas were: to regulate the commercial signage; to reduce parking requirements given adequate public transportation in place; and, to give the local government guidance in prioritizing future designations. The main idea was to have the local government request the Cultural Ministry for an assessment of these areas, so that the Ministry could decide if the areas can be classified as official heritage assets.
- b. Incentives: Most of the official heritage buildings in Montes de Oca were located in important commercial areas where the urban pressure threatened these structures. That is why the concept of “Transfer of development rights” was created whereby the owners of heritage buildings had the opportunity to transfer a portion of the restricted surface area to a “receiving area”. Some sectors within Montes de Oca were designated as “Receiving areas”, which correspond to zones where building heights can increase by one floor to accommodate owners who have purchased a “Transfer of development right” from the owners of heritage buildings.

In Map 1, green lines represent the “Receiving areas”, where the owners can get one more floor. On the other hand, the green dots represent “Special areas of historic value.” (*Valor histórico* in the map) When the Regulatory Plan was created, the expectations were that these areas were of high importance for the local government so the measure of immediate official designation could be applied; however, this has not happened yet.



FIGURE 2. Avenue 0 in 2001(Sanou, 2001)



FIGURE 3. Avenue 0 in 2013 (Barrantes, 2013)



FIGURES 4-5. First Montes de Oca School building in 2001 (left) and in 2012 (right), after of the façade restoration. (Brenes, Barrantes)

4. Areas of Special Character in Corredores County

Buildings with Historic/Architectonic Heritage Value are tangible assets that represent the cultural identity of a community. They are a means to reproduce the history of a given time and to reflect the building technologies that allowed human groups to adapt to their environmental needs and to develop their day-to-day activities.

These buildings are very important to understand the socio-cultural changes that have arisen through time. They allow us to visualize transformations in the societies that precede ours, and that are the basis for our contemporary customs and ways of life. Within the urban configuration of a city, these cultural assets play a transcendental role because they render identity and a sense of singularity to the milieu where they are located. They may also serve as tourist attractions, and contribute to local development.

Corredores County has a socioeconomic history linked to banana production, and this resulted in a reproduction of the building typology that is typical of the ways of life and the power relations in the place. However, none of the county's buildings have been designated as Historic/Architectonic Heritage. There are no incentives for restoration or purchase of buildings with potential heritage value nor for the opening of study files at the Center for Research and Conservation of Cultural Heritage, an entity that is part of the Costa Rican Culture and Youth Minister (MCJ, as per the Spanish acronym).

Nonetheless, an analysis carried out for the Diagnosis of the Corredores Regulatory Plan identified some buildings in the Laurel and Corredor districts as having great heritage potential, and as requiring urgent interventions, provided that some of them be modified regardless of their architectonic/historical value, while others are in an advanced state of deterioration and abandonment.

The buildings studied for the Diagnosis of the Corredores Master Plan, located in the districts of Laurel¹⁹ and Corredor, are named "Buildings with Heritage Potential", and they are in need of being classified as Areas of Special Character within the urban complexes, with a careful effort to create proposals for development planning, as well as other proposals related to the current and future cultural uses of the buildings.

This is provided under the consideration that it is urgent, regardless of an eventual designation as Cultural Heritage Sites, to take all measures possible (including state measures) to safeguard buildings with historical, cultural and social value for different communities.

Resources were classified as buildings or complexes, depending on whether they were analyzed individually or in groups. In Laurel district, a set of houses around the soccer field were identified because they retained much of the banana enclave typology, despite some partial modifications. In addition, the Commissariat building (*Comisariato*) as well as the Police Office, the Instituto Costarricense de Electricidad (ICE) office and a private home were also identified. [FIGURES 6 and 7]

In the Corredor district several housing complexes located around soccer fields and in the renowned "American Zone" were identified. These were the most exclusive places where high officials of the United Fruit Company (UFCO) lived during the banana cultivation period in the south of Costa Rica.

¹⁹ For further details on the results of this analysis, please refer to: Programa de Investigación en Desarrollo Urbano Sostenible (2009). Patrimonio Histórico-Arquitectónico. In: Plan Regulador Cantonal de Corredores, Diagnóstico, Tomo I, Capítulo 3, Universidad de Costa Rica. San José, Costa Rica.



FIGURES 6-7. Buildings in Laurel district, 2010. (ProDUS)

4.1. Historic Value

The historic value of the buildings that were analyzed may be evidenced by the fact that their construction, as well as their location and use by workers and administrative personnel, were a direct response to a given historic period, characterized by political and economic interests in the region, which led to the arrival and establishment of UFCO and the Chiriquí Land Company, as well as to the transformation of the landscape.

The continuous use of these buildings has granted their permanence through time, and hence a proof of their prominence as living representations of an important historic period which, according to some inhabitants, not only defined the economic development of the place but also influenced the configuration of identities, power relations and a sense of belonging to this land.

4.2. Architectonic Value

The architectural value of the buildings lies in their efficient response to their physical and environmental context and the creation of a more comfortable living environment in the middle of extreme climate conditions.

The particular architectonic features, planned at the headquarters of the Company, follow pattern present in other areas of the enclave, such as in Limón, Quepos or the surroundings of the Panama Canal. The typology was introduced as a response to the rainy, humid and warm weather in a place where the differences between one building and another were based on the established working relations (Center for Research and Conservation of Cultural Heritage, 2000). For example the buildings for the officers of the Company were more spacious than the buildings for the workers.

In the housing complexes that were analyzed in farms in the district of Laurel, most of the houses were transformed mainly along the first floor, where wood was replaced with concrete. This has altered the buildings' integrity. With regards to the second floor, there are cases in which the original design and material were kept, whereas there are others where these were altered, and materials such as fibre-cement cladding were introduced. The houses that comprise the housing complex of Laurel district's central park have been greatly transformed: in addition to the substitution of the original materials, their design has been almost completely altered, and thus their value in the urban space is rather one of historical reference.

Furthermore, the analysis revealed that other buildings such as the *Comisariato* and the Training Center (*Centro de Capacitación*) have been transformed to a lesser degree: although despite several interventions in external and internal walls, floors, windows, etc., the overall cultural heritage value of the buildings has not been compromised

Thus, these buildings not only hold great historic value and a fundamental role in the urban landscape, but also important architectural value that must be preserved and maintained in a proper manner.

Finally, other buildings in the area, such as the Laurel Police Station and the housing complexes around the plaza and the Stadium in Coto 47 [FIGURES 8, 9 and 10], as well as housing units in the “American Zone”, were untouched during the period of 2009-2010, which indicates the permanence of these buildings’ historic network and architectural language.



FIGURES 8-9-10. Buildings and housing complexes in Coto 47, Corredor district, 2010. (ProDUS)

4.3. Areas of Special Character in Corredores

In order to guarantee the conservation and management of assets with historic/architectural heritage value, it is necessary to have proper a legal framework and customary practices in places. The application of these mechanisms is done by means of strategies for conservation that is: effective measures to protect and maintain a cultural asset, which can in turn create a clear communication system that defines the value, importance and positive qualities of the asset.

Identifying the specific characteristics that render heritage value to an asset is not enough to make decisions on its conservation, protection and maintenance; thus it is important to guide the urban development of a complex or its context, given the case, for the benefit of the site’s urban landscape.

It is important to note that the selected buildings have a close relationship with their physical environment; therefore, any architectural intervention in neighbourhoods or their surrounding areas will profoundly affect the cultural and social values of the cultural landscape. The implementation of any particular conservation strategy in the territory ought to be supported by thorough analysis including the strengths, opportunities, threats and weaknesses of the area.

The buildings analyzed were grouped in Areas of Special Character (ZCE, as per the Spanish acronym), for which a series of recommendations are defined and proposed, in order to improve their state of conservation, protection, use by inhabitants of the country and district, and contribution to the urban landscape and the vernacular architectural language.

The areas defined are:

Area of Special Character with Heritage Value Type 1 (ZVP 1, as per the Spanish acronym) which include buildings that are in a good state of repair and maintain a harmonious relationship with the context. Specific conditions for heights, surface coverage and withdrawals permitted for new buildings to be built around were defined. [FIGURES 11, 12 and 13]



FIGURES 11-12-13. Buildings in a good state of conservation in Coto 47, Corredor district, 2010.

Area of Special Character with Heritage Value Type 2 (ZVP 2, as per the Spanish acronym) which include housing complexes located in Laurel district whose buildings have suffered almost irreparable interventions that have slowly compromised their cultural heritage values, historic fabric and architectural language. These areas are important for their setting and because of their adjacency to landscaping or to ZVP 1 areas. The proposed uses for ZVP 2 areas are looking to strengthen their capacity to support other buildings without forgetting that it is appropriate to encourage the maintenance and refurbishment of adjacent sectors to improve the quality of the urban image and enhance the cultural landscape. [FIGURES 14, 15, and 16]



FIGURES 14-15-16. Buildings and housing complexes in Laurel district, 2010 (ProDUS)

5. Some common elements in heritage territory regulation

While various contexts exist in Costa Rica, some common measures can be taken, such as:

- The creation of Special Areas with historic value: Both rural and urban areas have important sites which should be preserved. It is crucial to define and establish some rules to guide development in these areas.
- The control of building heights: in urban areas, building heights should be

- defined carefully around historic buildings to respect the current urban settings.
- Commercial signage: With the creation of special areas of historic value, it is possible to control advertisement by providing guidelines for the shape, dimension, and other features of commercial signage.
- Incentives: Some special incentives can be applied to heritage buildings, such as fewer parking lots, transfer of development rights, tax credits, etc.
- Possibility of commercial and touristic use: One of the most important motivations for an owner is the possibility of commercial activity.

6. Final Thoughts

Various international organizations responsible for protecting the cultural and natural heritage of the world recommend that heritage resources be considered as active factors in the local strategic development and integration of societies. This is why heritage conservation should contribute to sustainable development to solve people's basic needs: economic, social and cultural rights without jeopardizing their own cultural value.

The process of evaluating cultural heritage is based on the active involvement of the community. A tool to achieve this is through tourism, as this is an important factor for development of national and local economies, as well as a means for cultural exchange.

Through tourism, communities are able to grasp the economics of heritage and harness these for conservation by generating funding, raising awareness and influencing policy.

Territorial regulations must consider historic and architectural resources as an element of great value in promoting sustainability and quality of life of local residents. As explained above, these resources are not an obstacle to development, but can rather be a boost to social development. The local government's task is arduous and should incorporate education strategies that allow residents to meet and learn about their history to strengthen the importance of preserving a heritage asset within a community.

In Costa Rica, the institutional approval process of regulatory plans takes a long time. Territory regulations are crucial to protect vulnerable areas in the natural and built environment. As a consequence, many property owners take advantage of the delays in the process and several significant historic buildings have been demolished.

The Costa Rican government does not have sufficient resources to compensate owners of historical buildings; however, this situation is not an excuse to avoid their protection. The use of regulatory incentives such as "Transfer of development rights" could improve the support given to architectural heritage owners.

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DEVELOPING A RETAIL-REUSE EVALUATION TOOL

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ABSTRACT

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In many historic city centres, there is a tension between heritage preservation and retail development as historic buildings are often transformed with retail programmes. In such projects, many stakeholders are involved, all with different interests; investors are mainly interested in the revenues of the project and not in the conservation of the historic building, while conservators fear an over-use of the building without any respect for its value. But even if the owner chooses a qualitative conservation and restoration, the quality of the project is not automatically guaranteed. In many cases, the building will be rented out to a user who does not necessarily respect the specific characteristics of the building. In the case of a tenant, monument boards²⁰ have almost no control over the use of the building after its restoration. The Retail-Reuse Evaluation Tool (R-RET) has been developed for evaluating such retail-reuse projects, taking into account the different aspects of such projects: heritage conservation, architecture, retail (design), and integration into the urban fabric. The first section of this paper describes the specific tension between retail development and heritage preservation in historic centres from the point of view of different stakeholders. The second section describes the development of the R-RET. The third section illustrates the application of the tool.

1. Introduction

In different historic cities in Europe, many historic buildings are left unoccupied because they have lost their initial function. To avoid a degradation of the building itself and the cityscape to which it belongs, a new use for the building is desirable in order to economically sustain its maintenance and restoration. A sector that has shown major interest in occupying historic buildings is the retail sector. Indeed, in this sector there exists a strong demand for large, available buildings in A-locations in city centres.²¹ As the historic centre is

²⁰ ‘Monument board’ refers to the commission overseeing restoration and other works on buildings and sites that are legally protected as a monument.

²¹ The ABC-policy is based on the Dutch planning system, which defines a connection between the type of economic activity, associated zone and the accessibility of that zone.

A-location: Main retail area in the city centre with a high number of passengers. Excellent accessibility by public transport, such as in the direct surrounding of large railway stations and at the junction of public transport routes.

B-location: Area directly connected to the A-locations. Accessible by car and public transport.

often also the commercial heart of a town, the possibility for new construction is limited, and accordingly retailers often locate their stores in existing (historic) buildings such as former post offices, religious buildings or industrial buildings. As such, commercial reuse of historic buildings seems beneficial for both parties.

However tempting this immediate solution may seem, it is not always evident to introduce a retail interior in a historic building. In such projects, many stakeholders are involved, all with different interests; investors are mainly interested in the revenues of the project and not in the conservation of the historic building, while conservators fear an over-use of the building without any respect for its value. But even if the owner chooses a qualitative conservation and restoration, the quality of the project is not automatically guaranteed. In many cases, the building will be rented out to a user who does not always take the specific characteristics of the building into account. In the case of a tenant, monument boards almost have no control over the use of the building after its restoration. After all, to the public at large, the evaluation of the building does not depend on the architectural style of the monument but on the way the building is used today (Linters 1998). Therefore, reuse of buildings is not only an architectural, but also an urban and social challenge.

A specific tool for evaluation of retail-reuse projects may help in increasing the overall quality of such projects. The aim of our research is to develop such an instrument, to address the different aspects of a retail-reuse project: heritage conservation, architecture, retail (design), and integration in the urban fabric. The first part of this paper focuses on sharpening the definition of our problem statement by investigating the tension that seems to exist between retail development and heritage preservation through case study research. The second part of the paper focuses on the development of the so-called “Retail-Reuse Evaluation Tool” (R-RET), learning from existing heritage-evaluation systems. The third part of the paper presents results from testing the R-RET as a tool for evaluation realized projects, and preliminary tests for *a priori* evaluation of projects.

2. Tension between retail development and heritage preservation: identification of the involved stakeholders

2.1. Methodology

The tension between retail development on the one hand and heritage preservation on the other hand is mainly caused by the different, sometimes even opposite interests and objectives of the different stakeholders involved (English Heritage et al. 2004). Existing studies on retail-reuse tend to focus on isolated aspects of retail-reuse: retail design (Rubessi 2010), sustainable development (Hyllegard, Ogle, and Dunbar 2003; Bullen and Love 2010), marketing (Hyllegard, Ogle, and Dunbar 2006), and integration of retail development in historic towns (English Heritage, English Historic Towns Forum, and Planning Advisory Service 2005; English Historic Towns Forum 2008). As such, in order to identify the different stakeholders and their specific interests in the project, case studies were used as a primary source of data.

C-location: Area with less retail activities and low number of users. Accessible by roads and highways (definition based on Brussels Capital Region 2001).

Nine case studies were selected to cover (1) different scales, varying from a single shop in a historic building to a shopping centre on a historic site; (2) different retail segments, high-end and mid-level retailers²²; and (3) different heritage categories, including industrial, religious, (semi-)public, residential, and commercial buildings. [TABLE 1]

For each case study, the various stakeholders involved in the project were interviewed. General themes that were focused on during the interviews were:

- The stakeholders' individual role in the project
- The process of collaboration with other stakeholders
- The opportunities and difficulties in realising the project
- The result of the project

The number and type of stakeholders varied depending on the scale and complexity of the project. In total, 18 stakeholders were interviewed. These included 4 architects, 1 interior architect, 2 restoration architects, 3 individual store managers,²³ 2 general chain managers, 2 public servants from the heritage preservation office, and 4 project developers. Moreover, interviews with consumers for 5 case studies were conducted as well as short interviews with 17 retailers located in Shopping Stadsfeestzaal, Antwerp. All cases were located in Flanders and The Netherlands, and as such, all interviews were conducted in Dutch, recorded and transcribed.²⁴

BUILDING CATEGORY	CASE STUDY	STAKEHOLDERS							
		Architect	Interior architect	Restoration architect	Retailer/Store manager	Chain store manager	Heritage Consultant	Project Developer	Consumers
Industrial buildings	1. Kanaal Vervoordt (BE)							•	
Religious buildings	2. SelexyzDominicanen (NL) 3. Donum ,Antwerpen (BE)	•	•	•	• •	•		•	• •
(Semi-)public buildings	4. Stadsfeestzaal, Antwerpen (BE) 5. SelexyzVerwijs (NL) 6. Donum, Hasselt (BE)	•	•	•	• • •	•	• •	• •	• •
Residential buildings	7. Hema, Tongeren (BE) 8. Xandres, Gent (BE)	• •				•			•
Commercial buildings	9. Passage, The Hague (NL)						•	•	

TABLE 1. Overview of the selected case studies and the interviewed stakeholders

²² Discount retailers were not included in our case study research as they usually do not locate their store in historic buildings, or in case they do, their motivation is primarily location and surface area, and not the historic character of the building (Bovens 2011).

²³ Donum Hasselt and Donum Antwerp are run by the same retailer.

²⁴ A few interviewees did not want their interview to be recorded in which case, notes were taken during the interview and a report was compiled immediately after.

2.2. Interests of the various stakeholders

Based on the literature study and case study analysis, five major stakeholder-groups were identified:

1. *conservators*, including restoration architects and heritage consultants;
2. *municipalities of historic towns*;
3. *retailers*, including individual retailers as well as chain store retailers;
4. *designers*, including architects, interior architects, retail designers and urban planners;
5. *users*, including consumers, but also other visitors with no intent to purchase, and passersby.

The following sections describe the tension between retail development and heritage preservation as a result of the different interests of the distinct stakeholder-groups.

2.2.1. Conservators

For conservators, when a building loses its initial function, reusing it for other purposes is generally considered a positive aspect towards its conservation. Already in 1854, Eugène Emmanuel Viollet-le-Duc (1814-1879) argued that “the best of all ways of preserving a building is to find a use for it” (Viollet-le-Duc 1990 [1854], 222). His ideas were echoed by the Austrian historian Alois Riegl (1858-1905) who appointed to the importance of the “use-value” for monumental buildings (Riegl 1982 [1903]) and again in the Charter of Venice in 1964 saying that “the conservation of monuments is always facilitated by making use of them for some socially useful purpose” (ICOMOS 1964, article 5). Therefore, on the one hand, retail can be a beneficial new function for abandoned historic buildings as it is often easier to find investors for retail than for social or cultural activities. Moreover, when a building is reused for retail, the building remains accessible for a large public, which is not the case with offices or housing programmes. On the other hand, however, many sad examples are at hand where the historic building is overused to maximize commercial exploitation at the expense of its intrinsic values. Such an example is The Passage in The Hague (case 9), a 19th century shopping arcade that was bought by a project developer and completely renovated in 2000. The initial programme which included an interesting mix of functions – small shops, dwellings, a hotel, a movie theatre, and a bar– was not retained; instead, a new programme was introduced that solely focused on revenue with large shops and offices, and major architectural interventions were therefore made. Together with a weak restoration project, the limited programme caused a loss of the original atmosphere of the building, and a loss of some of its tangible and intangible heritage values (Plevoets and Van Cleempoel 2011).

But even if the owner chooses a qualitative conservation and restoration, the quality of the project is not guaranteed. In many cases, the building will be rented out to a user who does not always respect the specific characteristics of the monument. In the case of a tenant, monument boards have almost no control over the use of the building after its restoration. Interesting interiors are sometimes completely covered and concealed to create a bland furnished space, looking like any other building of the same brand. This was the case for one case study: the rehabilitation of the Dommershausen in Tongeren (case 7), a 16th century late-gothic half-timbered house and its adjacent premises (Plevoets 2009). Once the project was

finished, the chemist chain Hema selected the building because of its A-location and its size. They were not interested in the historic character of the building (Bovens 2011). As such, the building was furnished as any other Hema store without taking into account the building's interior: shelves were even placed onto historic interior elements.

2.2.2. Municipalities of historic towns

On an urban level, reusing historic buildings for retail may advance the viability of historic centres, and as such, may stimulate urban regeneration (English Heritage et al. 2004). Additionally, Kirby and Kent (2010) state that reuse of the city's architectural heritage can act as part of the city's image and its city branding. They explain that the purpose of city branding is to promote a city for certain activities and in some cases, sell parts of the city for living, consuming and productive activities. An often applied strategy is to orientate the city branding towards reworking, repackaging and re-presenting historical and existing cultural qualities of the city. Maastricht, for example, promotes itself through its built heritage, and more specifically, through remarkable reuse projects for its religious buildings (Frijters and Grootswagers 2011). One of these projects is Selexyz Dominicanen (case 2), a bookstore located in a 13th century gothic church which was originally part of the Dominican convent. In the 1960s, a shopping centre was constructed adjacent to the church on the site of the previous convent. When in 2000 this shopping centre was replaced by a new one, the rehabilitation of the church was made part of this large retail development. Its interior, designed by Merckx+Girod Architecten received major attention by national and international press (among others: Dodson 2008; Overbeek 2007; anon 2008).

2.2.3. Retailers

Usually, the retailer chooses a specific building because of its location; the fact that a building is historically or architecturally significant is thus not always recognized as an added value from a commercial point of view. When the building is listed as a monument there are limitations to retail design, and therefore, restoration and maintenance of the building may bring about additional costs. For some retailers however, being located in a historic building may become a tool for differentiation towards competitors, i.e. when they 'use' their location to offer their customers an "authentic experience" (Plevoets, Petermans, and Van Cleempoel 2012; Plevoets and Van Cleempoel 2012). The owner of Donum, a lifestyle and furniture store, explains that for their store in Hasselt (case 6), they did not intentionally look for a historically or architecturally significant building. However, the reactions of the customers were very positive and he felt that the unique historic setting of the store created a kind of curiosity that triggered people to enter. Moreover, it created exposure by national and international press. Later, when they wanted to start a store in Antwerp (case 3), they specifically looked for a building with monumental qualities because they felt that this suited them.²⁵

Our case study, however, showed that some retailers find that locating one's store in a historic building is not commercially viable because the design of the store is too expensive, the typology of the historic buildings causes limitations to the store's layout and design, and in some cases 'tourists' without any intention to buy, may in fact disturb the regular shopping

²⁵ Interview with Jos Peeters, owner of Donum Hasselt and Antwerp, 17 February 2010.

activity. An example is Xandres (case 8), a women's fashion brand that opened its first concept store in Ghent in 2006 – before then, they only sold their clothes through independent retailers. At that time, they needed a beautiful store that reflected the brand's value 'classical and timeless beauty'. As this coincided with a period of economic recession, commercialisation of the retail environment became more important. Xandres therefore changed the concept of its stores from being timeless and exclusive towards more fashionable, more easily accessible and more transparent in an attempt to reach a larger – and especially younger – group of customers.²⁶

2.2.4. Designers

For designers today, working with historic buildings is considered an interesting challenge and an important aspect of their work (Schittich 2003). This has not always been the case; during the post-war era, architects primarily aspired to create new buildings, but as a reaction against the increasing rate of demolitions and new construction, a growing interest has developed for conserving old buildings of every kind from the second half of the 20th century onwards (Cantacuzino 1975). Currently, adaptive reuse is distinguishing itself as a specific discipline within the broader field of architectural conservation (Plevoets and Van Cleempoel 2013). Historic buildings of every kind are being transformed for a variety of programs, among which retail. Several of the interviewed architects and interior architects explicitly expressed their pleasure in working on an historic building. Bart Lens, architect of Donum Hasselt (case 6) explains:

If you have the opportunity to work with historic buildings in an urban context ... for an architect, this is as a gift. Therefore, the architect should show some respect for the building. If you don't force yourself on the building, if you let the architecture speak for itself and you try to approach the building in a modest way ... than it will work.²⁷

Also Evelien Merckx, interior architect of Selexyz Dominicanen (case 2) states:

... If you receive a church [to work with], that is a real gift!²⁸

2.2.5. Users

Depending on the type and the scale of the project, different (groups of) users may be identified such as customers, visitors, employees, residents, and passersby. On the one hand, working, shopping or living in a historic building may be a unique experience. On the other hand, the specific typology of the building and the strict regulations in the case of protected buildings may cause practical implications and limitations to the use of the building. Customers of Shopping Stadsfeestzaal (case 4) explained that they came to the shopping centre mainly because of its unique atmosphere and not so much for shopping. Visitors of Selexyz Dominicanen (case 2) who were interviewed after visiting the store did not talk about the building as a store, but as a monument.

²⁶ Interview Pieter Claesen, retail manager Xandres, 20 October 2010.

²⁷ Interview Bart Lens, architect Donum Hasselt, 3 March 2010.

²⁸ Evelien Merckx, architect Selexyz Dominicanen, 5 February 2010.

3. Retail-Reuse Evaluation Tool (R-RET)

In order to improve the quality of retail-reuse projects that will be realised in the future, a tool for evaluating such projects was developed. As a first step, existing heritage evaluation systems were reviewed (de la Torre and Avrami 2000; Mason 1999; English Heritage, English Historic Towns Forum, and Planning Advisory Service 2005; English Heritage et al. 2004; Lemmens, Nocera, and Van Balen 2006; Van Balen 2008) as well as evaluation systems for sustainable building adaptation (USGBC 2010; BREEAM 2013), and their applicability to retail-reuse was checked. The instrument that was found most suitable is the Nara grid, developed at the Raymond Lemaire International Centre for Conservation (KU Leuven). [TABLE 2] Five reasons supported the preference for the Nara grid:

- Instead of offering a set of prescriptive guidelines (such as e.g. English Heritage, English Historic Towns Forum, and Planning Advisory Service 2005; English Heritage et al. 2004), the Nara grid is an open discussion tool;
- The tool allows an interdisciplinary analysis of the project;
- Instead of a quantitative analysis with a numerical ‘score’ as an outcome (BREEAM 2013; USGBC 2010), the grid allows a qualitative analysis of the project and presents a more nuanced and substantive outcome.
- It is easy to use and convenient for communication (in contrast with: de la Torre and Avrami 2000; Mason 1999);
- The grid enables evaluation of both tangible and intangible aspects.

The Nara grid is based on the Nara Document on Authenticity and initially developed in relation to restoration of masonry as a framework to analyse the relationship between the material-technical aspects and the impact of craftsmanship. Later, it was applied in relation to other themes in conservation such as 3D documentation techniques, evaluation of eclectic architecture, restoration of historic interiors and for designing a master plan for the conservation of specific heritage sites (Lemmens, Nocera, and Van Balen 2006; Van Balen 2008; Jaenen 2008). This methodology has been found very effective for the evaluation of complex problems. In practice, the Nara grid presents the ‘aspects’ and ‘dimensions’ of authenticity as formulated in article 13 of the Nara Document on Authenticity, on the axes of the grid. The relationship between these aspects and dimensions is visualised which may help to make value judgements about specific proposals or case studies (Van Balen 2008). As stated by Van Balen, “the straightforward and simple representation [of the Nara grid] promotes communication and exchange of ideas on the topic” (2008, 45).

ASPECTS of the sources:	DIMENSIONS OF THE HERITAGE			
	ARTISTIC	HISTORIC	SOCIAL	SCIENTIFIC
FORM AND DESIGN				
MATERIALS AND SUBSTANCE				
USE AND FUNCTIONS				

TRADITION AND TECHNIQUES (intangibles)				
LOCATION AND SETTINGS				
SPIRIT AND FEELING				

TABLE 2. The Nara grid as developed at the Raymond Lemaire International Centre for Conservation

The Nara grid was applied in the assessment of the selected case studies (for examples see Plevoets 2009; Plevoets and Van Cleempoel 2009). Although interesting conclusions on the case studies could be drawn, there were also some limitations and shortcomings. Firstly, the Nara grid does not include economic aspects, which are relevant for retail projects as economic considerations are the primary concern for several of the involved stakeholders. Secondly, although the Nara grid is recognized as an interdisciplinary discussion framework, it has mainly been applied by interdisciplinary teams involved in conservation and restoration of heritage sites. Since the interests of the different stakeholders involved in retail-reuse projects are very diverse, and sometimes even contradictory, the stakeholders' positions need to be made more explicit.

The grid was therefore adapted based on these considerations: on the vertical axis, which presents the various aspects, 'return & investment' were included in order to allow an economic assessment of a project; on the horizontal axis, which in the Nara grid represented the different dimensions of the heritage, the different stakeholders involved in retail-reuse projects as identified above were presented. Depending on the specific circumstances of the project, the five main stakeholder groups were sometimes subdivided. For example: 'designers' may be subdivided into architect, interior designer and retail designer; 'users' may be subdivided into customers and employees. This adapted version of the Nara grid was renamed 'Retail-Reuse Evaluation Tool' (R-RET).

To use the tool not only as a 'container' holding all sorts of information on the case study, each issue stated in the grid was colour-coded according to whether it was a positive (blue) or a negative (red) element regarding the realisation of the project; the grid thus became an evaluation-instrument. [TABLE 3]

STAKEHOLDERS → ASPECTS ↓	Conservator	Municipality	Retailer	Designer	User
Form & Design					
Materials & Substance					
Use & Function					
Tradition & Techniques (Intangibles)					
Location & Setting					

Return & Investment					
Spirit & Feeling					

TABLE 3: The adaptation of the Nara grid into the Retail-Reuse Evaluation Tool

4. Application of the R-RET

4.1 R-RET for evaluation of realized projects

The applicability of the R-RET was tested by using it to evaluate the case studies analysed in the context of this research. The application of the R-RET on the case study of Selexyz Dominicanen (case 2) has been chosen to illustrate the outcome of the test. [TABLE 4] Selexyz is a bookstore chain in the Netherlands that intentionally looks for unique buildings to locate their stores. Their store in Maastricht, which is called ‘Selexyz Dominicanen’, is located in a 13th century Gothic church that lost its religious function during the French Revolution. The church is located next to a newly developed shopping centre ‘Entre Deux’. [FIGURES 1 and 2]



FIGURE 1 (left): Selexyz Dominicanen opening night, January 2007 (picture by Roos Aldershof ©)

FIGURE 2 (right): Selexyz Dominicanen in use, August 2008 (picture by the author)

	Conservator	Municipality	Retailer	Designer	User
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Form & Design	<ul style="list-style-type: none"> - Reversible - Interventions are respectful of the historic building - Interventions done by the retailer later on in the process did not fully respect all historical features of the church - Architectural intervention provides an 'unique heritage experience' for the visitors 	<ul style="list-style-type: none"> - Publicity by national and international press - contributes to city branding - Visitors come especially to see the rehabilitated church - Reversible (easily adaptable for other tenant) 	<ul style="list-style-type: none"> - Publicity by national and international press - Gondola's did not provide enough space for horizontal presentation of the books - Architecture provides an 'unique customer experience' - No store windows - Retail design not very flexible (eg. Limited storage space, no possibility for expansion) - Limited (arranged) possibilities for applying Selexyz' branding 	<ul style="list-style-type: none"> - Interesting typology to work with - Innovative reuse of a church building (functionally & architecturally) to be used as example for other projects of reuse of churches 	<ul style="list-style-type: none"> - Architecture provides an 'unique heritage & customer experience' - Visitors come especially to see the rehabilitated church
Materials & Substance	<ul style="list-style-type: none"> - opportunity to restore the church + paintings on walls and ceilings 			<ul style="list-style-type: none"> - 'book case' contrasts with typology of the church 	
Use & Function	<ul style="list-style-type: none"> - new function is not conflicting with the previous religious function - Public function: monument becomes accessible for larger public 	<ul style="list-style-type: none"> - Public function - 'Coffeelovers' is originally a retailer from Maastricht - Retail as new function provides income (from rent) 	<ul style="list-style-type: none"> - Combination Coffeelovers & Selexyz is an added value 		<ul style="list-style-type: none"> - Combination Coffeelovers & Selexyz is attractive for visitors
Tradition & Techniques (intangibles)	<ul style="list-style-type: none"> - wall painting discovered by Victor the Steurs. His drawing was used for restoration of this painting 				

Location & Setting	<ul style="list-style-type: none"> - Church located next to fortification wall of Maastricht: Archaeological excavations preceded the works - Maastricht: part of a group of rehabilitated religious buildings in historic centre 	<ul style="list-style-type: none"> - Maastricht has become an international example for adaptive reuse of (religious) historic buildings 	<ul style="list-style-type: none"> - Rehabilitated church becomes part of the branding of Selexyz Dominicanen - A-location inside the city centre - Part of the shopping centre Entre-Deux 		<ul style="list-style-type: none"> - Inside the historic and commercial centre (easily accessible)
Return & Investment		<ul style="list-style-type: none"> - Restoration and maintenance is financed by the city of Maastricht (owner of the building) - Building is owned by the city of Maastricht and receives income from rent 	<ul style="list-style-type: none"> - Lower rent than average - Protected as a monument: no restrictions for opening hours - Customers have more attention for the architecture than for the products at sale - Larger maintenance costs 	<ul style="list-style-type: none"> - Attention by national and international press: publicity for the designers 	<ul style="list-style-type: none"> - Low pressure to consume - Book bought at 'Selexyz Dominicanen' is considered by customers of higher value, than the same book bought elsewhere (added value from experience)
Spirit & Feeling	<ul style="list-style-type: none"> - Sacred atmosphere of the church is 'restored' due to sensitive restoration and retail design 	<ul style="list-style-type: none"> - Space serves as an easily accessible, but nevertheless tranquil 'public space' in the centre of Maastricht 	<ul style="list-style-type: none"> - Unique location: 'luxurious' appearance & differentiation strategy among competitors 	<ul style="list-style-type: none"> - Applied materials, colours and lighting 'restores' the sacral atmosphere 	<ul style="list-style-type: none"> - Church serves as an easily accessible, but nevertheless tranquil 'public space' in the centre of Maastricht

TABLE 4: R-RET for Selexyz Dominicanen

Table 4 illustrates that although the project is a significant example of adaptive reuse of a former religious building, some problems can be found, mainly at the expense of the retailer. Some limitations to the retail design became clear, such as the limited storage area and the limited possibility for visual merchandising in the store. Moreover, customers seem primarily interested in the 'architectural experience' of the building, and less in the books on sale.

The R-RET allows a cross-case comparison between the different case studies that have been analyzed in the context of this research. On the one hand, the tool visualizes a cross-case comparison for one specific stakeholder group, but on the other hand also allows a comparison for one specific aspect of retail-reuse, e.g. use & function, or return & investment.

4.2. R-RET as a tool for *a priori* evaluation of projects: preliminary test results

In order to test the R-RET as a tool for *a priori* evaluation of retail-reuse projects, master students in interior architecture were asked to use the tool during the design process. In this phase of the research, the tool was only tested with four students: two students who

followed a master seminar on adaptive reuse and two students who followed a master seminar on retail design. All four students designed a retail function in a specific historic building for their master project.

The R-RET was presented to the students in a very early stage in their design process and they were asked to fill in the tool at least two times during their design process. After finishing the whole project, each student was individually interviewed. The interview focused on the following questions:

- How many times have you used the R-RET during the design process? At what stage in the process?
- Did you find the tool easy to use?
- Was the R-RET useful as a design tool, i.e. to guide design decisions? Was the R-RET useful as a communication tool, i.e. to prepare for a jury, to motivate design decisions?
- Was the output of the tool proportional to the input?
- Would you change something to the R-RET? Was something missing or unnecessary?
- Would you spontaneously decide to use the R-RET again? In what circumstances?
- Would you recommend using the R-RET to other students?

4.2.1. Usefulness as a communication and design tool

The experience by the students for using the R-RET was rather diverse. All students considered the tool a useful instrument in the design process, but for various reasons.

Two students found it useful in the very early design phase in order to define a concept for reuse for the building they were working on. They did not see any benefit from the tool later in the process.

One student considered the tool useful as a checklist throughout the design process, but not helpful in taking important design decisions. She found the tool very valuable as a communication tool, not in the sense that she would show the tool to third parties, but to prepare herself for presentations and juries. By completing the R-RET she became very much aware of the strengths and weaknesses of her project and she felt therefore better prepared for questions.

One student was very positive about using the tool and explained that she used it several times during her design process. It helped her very early in the process to further elaborate her concept for the building. Later in the process, she applied the R-RET when taking conceptual design decisions; for example, making all interventions reversible was guided by the outcome of the tool. In the last phase of the process, she used the tool as a communication tool to prepare for a jury. Besides using it during the design process, she also used the R-RET in her preliminary research to analyse case studies. It was therefore very easy to compare specific problems in her own project with the way these were approached in the different case studies, which helped her solving design problems.

4.2.2. Usability

The students agreed that the R-RET seemed rather complex in use, but once they started filling in the grid they found it easy to use. The students were all familiar with the

Nara-grid as they had used this tool during their studies for value assessment of historic buildings, which may have helped in understanding the concept of the R-RET. Three completed examples of R-RET for case studies were given to the students and discussed during earlier courses. One student emphasized that these examples were very helpful when she started using the R-RET.

5. Discussion

While the R-RET was found to be useful in analyzing and comparing completed retail-reuse projects, it also seemed helpful in the design process, specifically in the early design phase in order to define a concept for the building to be reused, as well as in the later phase as a communication tool. One student found the R-RET beneficial in taking design decisions. However, in order to generalize these findings, the tool should be further tested with conservators, municipalities confronted with finding new functions for abandoned buildings, retailers looking for a suitable (historic) building to house their store, and local communities. The methodology of systematically identifying the different stakeholders seems to be a valuable stage, particularly when informing the early design phase.

So far the R-RET has been specifically and solely developed for evaluation of projects with retail as new use; broadening the application field of such a tool to other reuse functions may be considered

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LE PAYSAGE URBAIN HISTORIQUE DE TUNIS: OUTIL D'ANALYSE DU PROCESSUS DE PATRIMONIALISATION

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La médina de Tunis la genèse

Tunis arabe n'a pas été une nouvelle création, elle succède à une cité plus ancienne qui remonte à des origines Berbères. Certains historiens se sont basés sur des données berbères pour démontrer que le toponyme "Tynès" ou "Tunès", dont une légère altération a donné Tunis se rattache à la civilisation Libyque, ainsi que les trois radicales T.N.S. que l'on retrouve dans d'autres toponymes de L'Afrique du Nord, signifieraient en berbère «halte», «bivouac», «campement» et plus précisément «être couché» «ou aller passer la nuit à», d'où l'idée de campement de nuit. Cette cité semble, ainsi, prédestinée à un rôle économique et stratégique important en tant que voie de passage de routes caravanières. Ce qui nous amène à croire que la cité fût une fondation du peuple autochtone.

Mais si la fondation de Tunès remonte à une antiquité reculée, et si la ville a réussi à se maintenir pendant des siècles, elle n'a jamais joué qu'un rôle modeste dans l'ombre de la grande cité (Carthage) capitale de l'Afrique Punique et de l'Afrique Romaine.

Les historiens arabes datent en effet la naissance de Tunis en 80 H/ 699 et attribuent sa fondation à Hassan Ibn Al-Noaman qui s'empara de la grande ville antique. Sur l'ordre du Calife Umayyade Abdalmalik Ibn Marwan y créa un arsenal, après avoir amené la mer jusqu'à Tunis et creusa un canal: Tunis va assumer, désormais, une fonction militaire d'où la présence de centaines de milliers de soldats, plus d'une expédition maritime au VIIIème partit de Tunis. Mais Tunis est encore une ville secondaire en regard d'Al-Kayrawan, la capitale où siégeaient les gouverneurs.



Figure 1: Tunis au XIème siècle

En 554H/1159, la ville de Tunis, comme toute l'Afrique du Nord, allait tomber entre les mains du souverain Marocain Abd Al- Mumin qui a embrassé la doctrine Almohade, et avant son retour à Marrakech confia l'administration à l'un de ses fils, qui s'installa dans la Kasba du Tunis. Cette dernière se trouva première au rang de capitale de l'Ifriqiya et le restera sans interruption jusqu'à nos jours.



Figure 2: Tunis au XIIème siècle

Après la conquête commandée par Sinan Pacha en 1574, l'Ifriqiya devenait une province de l'empire ottoman administrée par un gouverneur portant le titre de Pacha avec le concours d'une milice Turque.

Durant les premières années du XVIIIème siècle, un officier de la milice qui a assuré la défense victorieuse du pays, envahi par les Algériens, Hussayn Ibn Ali, est porté à la magistrature suprême avec le titre de Bey et réussit à transmettre sa charge à des princes de sa lignée, et fonda ainsi la dynastie husseinite.

L'année 1881, qui est celle de l'instauration du protectorat français, marque un tournant dans l'histoire de Tunis. La ville entre dans une ère de mutations rapides qui la transforment profondément en deux ou trois décennies. Avec l'arrivée des capitaux français, Tunis voit sa population s'accroître avec l'implantation de populations européennes qui arrivent presque à égalité en importance avec la population locale. Restée pendant des siècles

contenue derrière ses fortifications, la ville s'étend donc rapidement: elle se dédouble en une ville ancienne peuplée par la population arabe et une ville nouvelle peuplée par les nouveaux arrivants et différente de par sa structure avec la Médina. La principale transformation consiste en la conquête de la lagune par comblement et assainissement qui permettent de créer des superficies constructibles tout en respectant la ville originelle.



Figure 3: Tunis en 1883

Toutefois, la ville nouvelle s'est au début développée entre les deux faubourgs Nord et Sud de la Médina, en empiétant un tant soit peu sur les abords de la vieille ville elle-même et de ses deux faubourgs, dont les maisons basses à rez de chaussée ont fait place à des constructions en étages suivant un nouveau modèle étranger.

Quoi qu'il en soit, la création d'une ville propre à la colonisation accolée à l'ancienne, ne fut pas sans porter de graves préjudices à celle-ci.

Après l'Indépendance, cette ville neuve, loin de perdre ce caractère, est devenue plus tertiaire et dirigeante encore sur le plan économique général.

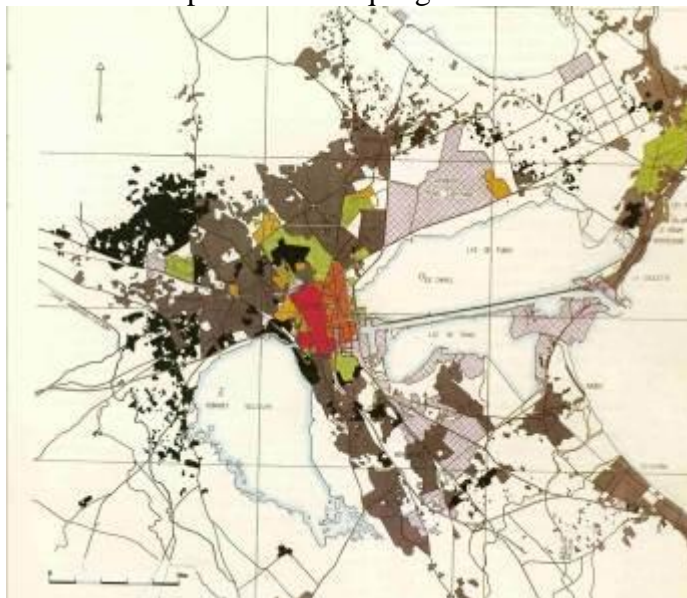


Figure 4: Situation du centre historique par rapport à la ville de Tunis

Structure socio-urbaine de la Médina

Fondée autour du noyau initial de la mosquée Zitouna, elle développe son tissu urbain tout au long du Moyen Âge, vers le nord et vers le sud, se divisant ainsi en une médina principale et en deux faubourgs au nord (Bab Souika) et au sud (Bab El Jazira).

Devenue capitale d'un puissant royaume à l'époque hafside, foyer religieux et intellectuel et grand centre économique ouvert sur le Proche-Orient, le Maghreb, l'Afrique et l'Europe, elle se dote de nombreux monuments où se mêlent les styles de l'Ifriqiya aux influences andalouses et orientales mais qui empruntent également certaines de leurs colonnes ou leurs chapiteaux aux monuments romains ou byzantins.

Avec une superficie de 300 hectares (plus 29 hectares pour le quartier de la kasbah) et plus de 100 000 habitants, la médina représente le dixième de la population tunisoise et le sixième de la surface urbanisée de l'agglomération.

L'urbanisme de la médina de Tunis a la particularité de ne pas obéir à des tracés géométriques ni à des compositions formelles (quadrillage, alignements, etc.). L'organisation complexe du tissu urbain n'est pas aléatoire: les maisons s'articulent de manière socioculturelle, codifiée selon les types complexes des rapports humains.

On distingue ensuite les rues principales, les rues secondaires (équipements de quartier) et les impasses (venelles), ensemble de parcours privés parfois réservés aux femmes. Le domaine bâti est caractérisé en général par l'accolement de grandes parcelles (600 m² environ) et la mitoyenneté. Il s'ensuit un enclavement des lots et des bâtiments les plus éloignés du réseau viaire principal, ce qui justifie les ruelles et impasses d'accès établies par cession ou droit de passage. Une disposition juridique octroie «la propriété de l'air» et permet l'édification de construction formant une voûte sur l'espace de la voie publique sous réserve qu'il n'en résulte aucun dommage pour les passants. Il est d'usage que la hauteur de la voûte permette le passage sans encombre d'une charrue chargée. Il s'agit de rues et ruelles couvertes en "Sabat" (construction enjambant la voie).



Figure 5: Passages voûtés de la medina

Les souks nobles sont situés aux abords directs de la mosquée Zitouna (parfumeurs, libraires, tisserands de soie et bijoutiers) et les souks pauvres (teinturiers et serruriers) au niveau des remparts et dans le quartier méridional (parfois même extra-muros).

La notion d'espace public est ambiguë dans le cas de la médina où les rues sont considérées comme le prolongement des maisons et soumises aux balises sociales.

Dans le cas des architectures domestiques, plus elles sont en retrait des commerces, plus elles ont de valeur. La notion de retrait et d'intimité est donc primordiale. Les maisons et lieux nobles sont donc toujours situés en amont ou dans les quartiers hauts (quartier de la kasbah).

Architecture domestique

L'architecture domestique de la médina présente une typologie architecturale stable que l'on retrouve aussi bien dans les maisons bourgeoises, les palais que les maisons modestes. Il s'agit d'un modèle méditerranéen de maisons à patio mais qui articule d'une manière spécifique les espaces servants et servis: les appartements, les dépendances, le jardin, les circulations horizontales et verticales et enfin les terrasses. Ces espaces sont totalement tournés vers l'intérieur. De l'extérieur, seuls sont visibles la porte, le vestibule et des fenêtres souvent à l'étage.

Médersas

Apparue en Tunisie durant l'époque hafside, à partir du XIII^e siècle, la médersa assure deux fonctions essentielles: l'hébergement des étudiants et l'enseignement qui se déroule dans une salle de prière appartenant à l'édifice. Généralement, la construction des médersas résulte de la générosité des souverains ou de pieux mécènes. Les principales composantes de la médersa sont: une salle de prière qui est l'élément le plus important de l'édifice car affectée à la fois au culte et à l'enseignement, une cour (très souvent encadrée de portiques) qui constitue l'espace autour duquel s'organise la disposition des divers éléments du bâtiment, des cellules ou chambres de petites dimensions destinées au logement des étudiants et enfin une salle d'ablutions occupant généralement un espace réduit de l'édifice.



Zaouïas

Les zaouïas de la médina sont des édifices qui comportent en plus du mausolée du saint ou de l'un de ses disciples, des salles pour les réunions des confréries et des pièces destinées à l'accueil des pèlerins.



Souks



Les souks constituent un véritable réseau de ruelles couvertes et bordées de boutiques de commerçants et d'artisans groupées par spécialités.

Les métiers «propres» sont situés près de la mosquée Zitouna car ils ne suscitent aucune nuisance par l'odeur, le bruit ou l'usage de l'eau. Les marchands d'étoffes, les parfumeurs, les marchands de fruits secs, les libraires et les marchands de laine sont concernés au contraire des tanneurs, poissonniers, potiers et forgerons qui sont relégués à la périphérie.

Remparts et portes

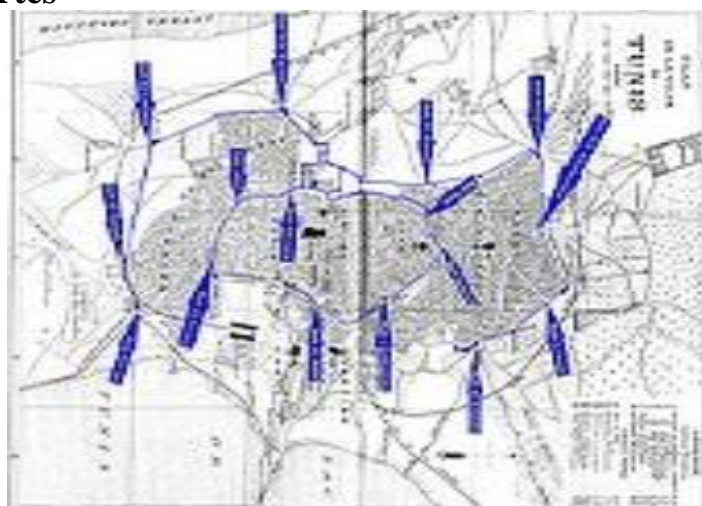


Figure 6: Remparts et portes de la ville en 1888

Dès les premiers temps de sa fondation, Tunis est considérée comme une importante base militaire. Le géographe El Yacoubi affirme qu'au début du IX^e siècle «Tunis était entourée d'un mur de briques et d'argile sauf du côté de la mer où il était de pierre.» Souvent endommagée voire totalement détruite au cours du Moyen Âge, l'enceinte conserva toujours son tracé d'origine. Elle était parsemée de différentes portes.

La société citadine: des origines ethniques multiples

L'origine ethnique de la population tunisoise(habitants de Tunis) est très diverse et sa distinction est difficilement identifiable vu l'important brassage effectué le long des siècles entre les autochtones berbères, les afrika-s(habitants de l'antique Africa) et les orientaux venus lors de la conquête arabe et l'islamisation sans compter les affranchis siciliens, slavons et autres européens. Le mouvement migratoire le plus important au moyen âge reste celui des Andalous qui commence depuis le XIII^e siècle et s'intensifie au XV^e siècle après la chute de Grenade et la disparition du dernier royaume musulman d'Espagne. A partir du XVI^e siècle et sous l'empire ottoman Tunis connut une migration turque aussi importante.

Une communauté chrétienne d'armateurs et de négociants européens vivant dans des fondouks répartis par nation occupaient la partie maritime de la cité. Protectorat

Les tunisiens de confession juive occupaient un quartier de la Médina nommé la "Hara".

La toponymie des lieux

Dans le périmètre de la Médina, la toponymie est riche d'enseignement. Certaines voies ont des appellations tirées de noms communs: rue de la Rivière, rue du Palmier, rue des Carrières, rue des Epines, impasse du Sabre....

D'autres évoquent l'origine de ceux qui y vécurent: rue des Andalous, rue des Négresses, rue du Riche, rue des Djerbiens, rue En-fafta... . La profession qui s'y exerçaient: rue du Tribunal, rue des Juges, rue Drogman (l'interprète), rue des Plaideurs, rue du Pacha,... Ou l'objet de commerces: souk des Orfèvres, souk de La Laine, souk El-Attarine (les Parfumeurs) rue des Tamis... Certaines rues portent aussi des noms propres saints hommes ou notables: rue Mohsen, rue Ben Mustapha, rue Boukhris, Rue Sidi Mahrez, rue Sidi Brahim Er-riahi, rue Ez-zaouïa Al Bokria...

Les projets de sauvegarde

Depuis le milieu du siècle dernier, les familles aisées abandonnèrent la Médina pour s'établir dans les cités-jardins de la nouvelle ville ou en banlieues de Tunis.

De nouvelles populations à la recherche de l'emploi, n'ayant pas de moyens pour entretenir les anciennes demeures délaissées par leurs propriétaires, s'installèrent dans la Médina. Ce phénomène accentua la dégradation du centre ancien.

Au lendemain de l'indépendance un concours international avait été lancé pour le projet de la grande percée dans la Médina, qui devait relier l'avenue Habib Bourguiba à la Kasbah et n'épargnant ainsi que les monuments religieux les plus importants, une prise de

conscience de la population du danger encouru par la ville traditionnelle de Tunis s'est opérée. C'est dans ce contexte que l'Association de Sauvegarde de la Médina (ASM) a été créée.

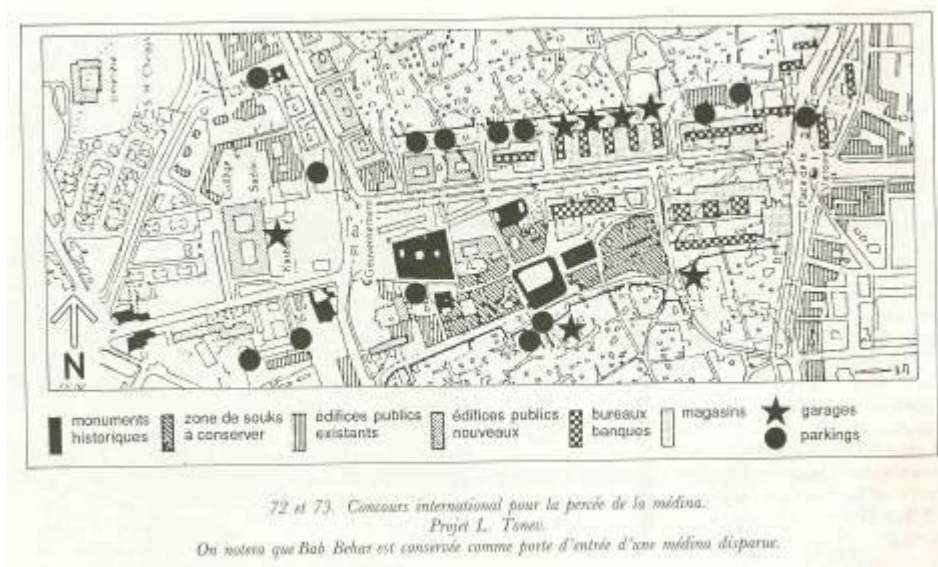


Figure 7: Le projet de percée de la Médina

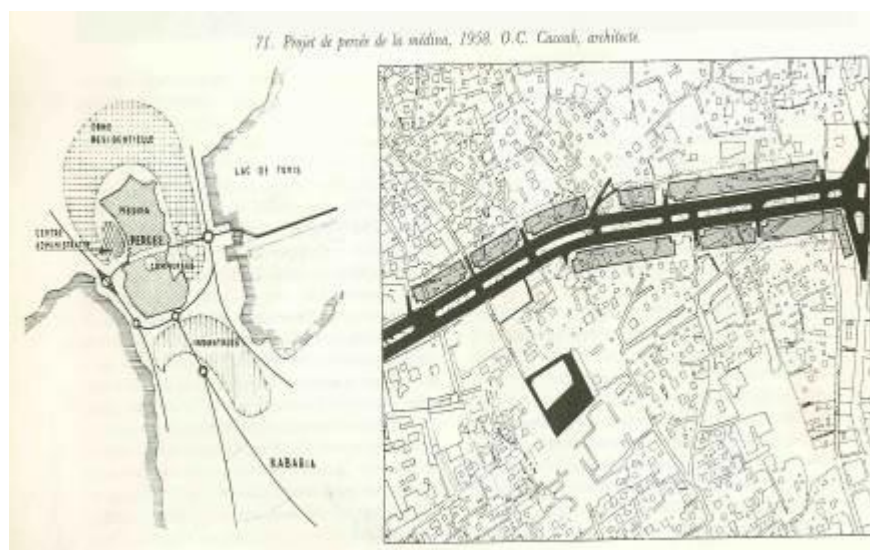


Figure 8: les démolitions dans le centre ancien

La création de l'Association de Sauvegarde de la Médina en 1967, bien qu'elle eut lieu suite au projet de la grande percée qui devait relier l'avenue Habib Bourguiba à la Kasbah, traversant le centre de la Médina de part et d'autre pour n'y laisser que des monuments isolés, est une décision politiquement courageuse et bien en avance sur son temps. Elle eut lieu à un moment où la lutte contre le sous-développement l'emportait sur toutes les considérations d'ordre culturel, traditionnel ou patrimonial.

L'Association de Sauvegarde de la Médina de Tunis reçut, donc, il y a plus de 40 ans, l'importante mission de conserver à la vieille ville son style de vie, ses activités, ses richesses traditionnelles et ses caractéristiques architecturales et urbaines, tout en permettant son

inélucltable évolution. Ce qui a permis de développer une stratégie de sauvegarde dont les traits se distinguent à plusieurs niveaux:

I/- Au niveau de la gestion réglementaire:

Une radiographie menée dans le but de comprendre la structure urbaine de la ville, de connaître et comprendre la composition de sa population, de recenser les monuments et les activités économiques et d'analyser l'état du bâti, a abouti à la proposition, par la suite, de projets intégrés. Mais le problème, qui s'est alors posé était l'absence de cadre juridique approuvé pour les réaliser.

L'opportunité de la préparation du Plan d'Aménagement de la Commune de Tunis (PACT) s'est alors présentée en 1980 et a été saisie par l'ASM pour proposer un règlement spécifique à la Médina, utilisé jusqu'à aujourd'hui, malgré ses insuffisances, pour y gérer les permis de bâtir.

La réglementation en vigueur permet de sauvegarder la typologie traditionnelle en exigeant la présence du patio comme élément essentiel dans la composition de toute nouvelle construction. Elle fixe les hauteurs qui sont en rapport avec les dimensions du patio et de la parcelle.

Néanmoins le règlement actuel, ne précise pas la sauvegarde des détails architectoniques ni celle des éléments constituant les spécificités de la Médina, ni les proportions des ouvertures, ni la nature des matériaux, ni les couleurs traditionnelles etc....

Dans l'attente de l'élaboration d'un plan de sauvegarde, il est proposé la révision du règlement spécifique de la Médina qui serait appuyé par des Prescriptions Générales:

- Limiter les hauteurs des nouvelles constructions au gabarit existant dans les impasses et les ruelles étroites
- Proposition d'une zone de protection dans certains quartiers de la Médina en révisant leur délimitation (Montfleury ; Bâb B'nat, Bâb M'nara,)
- Proposer une gamme de couleurs traditionnelles.



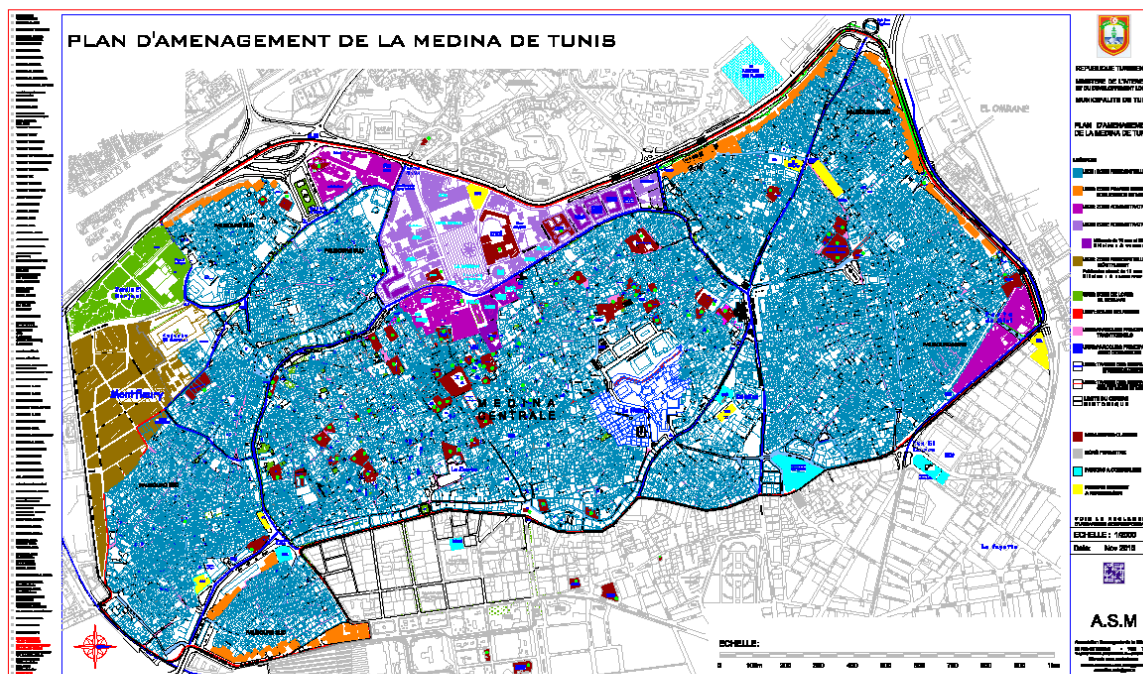


Figure 9: Plan d'aménagement de la Médina

II/- Au niveau de la sensibilisation:

Il est vrai que la législation, à elle seule, ne peut pas sauver le patrimoine et que c'est l'habitant qui reste le premier concerné, les décideurs et notamment les jeunes qui permettront d'assurer la continuité.

Des chantiers de bénévolat sont organisés avec la collaboration d'autres associations nationales et internationales



Ainsi que l'organisation de stages et de formations adressés aux étudiants et chercheurs de différentes disciplines.



III/- Au niveau des actions et des projets réalisés:

L'enjeu est dans ce chapitre, de rechercher un équilibre, bien que difficile, entre conserver ce qui le mérite, modifier ce qui doit l'être et qui est susceptible de s'adapter aux nouveaux usages de chaque époque, construire du neuf là où la ville le demande.

La stratégie suivie a été d'essayer de répondre à la réalité évolutive de la cité, de trouver une solution pour sa revitalisation, en menant en parallèle des actions de conservation, de reconversion et de curetage de tout ce qui menace ruine et, en même temps, de rénovation.

Cas par cas, à partir de programmes réfléchis, des moyens possibles, il est décidé de restaurer, de réhabiliter, de restituer, d'adapter ou carrément de rénover, l'objectif final étant toujours de valoriser à la fois un édifice et la ville historique.

Ces différents modes d'intervention ont été appliqués, isolément ou rassemblés et ce selon les opportunités et les projets.

La problématique à ce niveau est d'engager les opérations de réhabilitation en tant que processus de revitalisation et de régénération du tissu traditionnel. Il s'agit d'interventions aussi bien sur l'environnement bâti que sur la population qui l'habite, avec l'objectif prioritaire d'améliorer le cadre de vie de cette population. Tout en conservant et en promouvant ses valeurs culturelles et patrimoniales, et en garantissant en même tant son adaptation aux nécessités de la vie contemporaine.

Des investissements importants ont été opérés dans la Médina, depuis quelques années, concernant les infrastructures, les équipements et l'habitat: le projet Hafsia, le projet Oukalas.

LE PROJET HAFSIA: Réhabilitation d'un quartier de (13 ha)

L'approche cohérente du projet de restructuration du quartier Hafsia a réussi à inverser le processus de dégradation engagé depuis le début du XXème. Il est parvenu à améliorer l'infrastructure du quartier tout en renforçant le tissu urbain traditionnel de la Médina. En effet depuis 1918 ce quartier subissait des interventions urbaines. Les premières démolitions ont commencé à cette époque pour cause d'insalubrité. La reconstruction du quartier s'est faite sur plusieurs étapes, elle s'est achevée dans les années quatre vingt dix sur la base d'un plan masse qui visait le raccommodage de la trame viaire et le respect de la typologie de l'habitat et de la morphologie urbaine.





Impact du projet:

Ce projet, primé à deux reprises par le Prix Aga Khan d'Architecture, a, également, réussi à revitaliser les activités commerciales du quartier, à remplacer ou réhabiliter plusieurs de ses habitations en ruines et à favoriser les échanges entre habitants de milieux sociaux différents. Plus qu'un projet d'Architecture et d'Urbanisme, c'est toute une philosophie et une politique d'intervention dans un site historique qui fût reconnue à l'occasion du dernier prix Agha khan.

Ce projet, a le mérite d'initier une composante nouvelle la «Réhabilitation», il a permis de tester la faisabilité de cette opération et les limites des mécanismes d'intervention existants (juridique, technique, financier...) et de la nécessité de les développer pour en faire une stratégie adéquate concernant spécialement l'habitat ancien.

Il a, surtout, permis d'attirer l'attention sur les effets pervers de la législation sur les rapports bailleurs-locataires, les syndicats, les copropriétés...

Aujourd'hui, une nouvelle loi a été promulguée permettant de dépasser ces difficultés (loi décembre 1993) et de convaincre les décideurs de poursuivre cette politique de réhabilitation avec la mise en œuvre d'un nouveau projet concernant les immeubles sur densifiés (les «Oukalas » dans la Médina de Tunis.

Ce projet a eu un impact important sur la Médina, tant sur les plans architectural, social et économique que sur le plan patrimonial. Ils ont permis de réhabiliter des quartiers entiers définis dans la Plan d'Aménagement spécifique de la Médina comme des zones de restructuration à cause de leur état de délabrement. Et ont permis, surtout, d'amorcer une politique de la réhabilitation du logement avec tout ce que cela suppose comme solutions pour les problèmes surgis au niveau des mécanismes d'intervention sur les plans institutionnel et financier ainsi que sur les plans législatif et technique.

Mais d'un autre côté, on ne peut prétendre sauver le patrimoine architectural et urbain sans se préoccuper des populations déshéritées qui l'occupent.

LE PROJET «OUKALAS»: Réhabilitation sociale d'un patrimoine ancien.

Ceci nous amène à aborder le projet Oukalas qui constituaient, jusqu'à récemment, une plaie dans la vieille ville puisque ce phénomène menaçait de faire disparaître tout un immobilier à intérêt architectural et historique.

Depuis les années trente, la Médina jusque-là abritant une population citadine, s'ouvre à des migrations extra-urbaines. Des populations rurales s'installèrent dans les fondouks, les Oukalas et dans les cimetières tant à l'intérieur qu'à l'extérieur de la muraille.

Ces maisons louées à la pièce furent appelées Oukalas, terme jusque-là réservé aux auberges à la journée ou à la semaine à des travailleurs célibataires. La Médina offrait une structure d'accueil favorable avec ses grandes demeures vides et une typologie de maisons à patio qui se prêtait très bien à la location à la pièce.



Une Oukala

Ce phénomène nommé «oukalisierung» a touché non seulement les demeures traditionnelles mais tous genres de bâtiments destinés ou non à l'habitation: palais, demeures, médersas, édifices religieux... Dans chaque pièce vivait une famille, alors que le bâtiment n'a fait l'objet au préalable, d'aucun aménagement le préparant à son nouveau rôle: toilettes, points d'eau et cuisines sont communs à tous les locataires.



Vues sur des Oukalas



Les «Oukalas» présentait des problèmes d'insalubrité, de promiscuité, de délinquance et d'entassement de la population dans des conditions inhumaines et constituaient par conséquent, un phénomène socialement très inquiétant et très lourd.

Les Oukalas présentait un danger imminent pour ses occupants (effondrement des planchers, fissuration des murs porteurs...) vu la dégradation avancée de l'état du bâti causée essentiellement par une absence totale de travaux d'entretien et aggravée par un problème d'ordre juridique: la loi du maintien sur les lieux des locataires et du blocage des loyers.

Prenant acte de la paupérisation de la Médina, la Municipalité avec le concours de l'A.S.M., a préconisé de mener de front une politique sociale et patrimoniale visant à réhabiliter la Médina et à fournir des conditions décentes à ses habitants.

L'accent a été mis sur la nécessité de lancer rapidement les opérations de réhabilitation, qui devraient permettre, d'une part, de consolider le bâti pour éviter les risques d'effondrement de planchers menaçant les vies humaines et d'autre part, de freiner le processus de dégradation du patrimoine immobilier.

Une ligne de crédit pour la réhabilitation est mise à la disposition des propriétaires d'immeubles avec un taux d'intérêt bonifié de 5 %, remboursable sur 15 ans et avec une assistance technique gratuite assurée par l'A.S.M.





Vues avant et après travaux

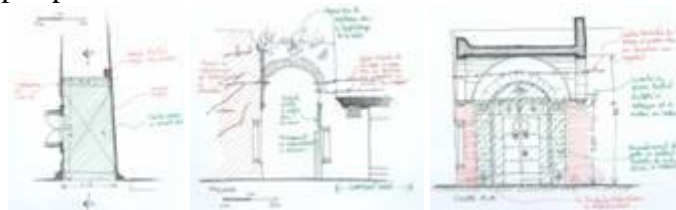
Impact du projet:

Ce projet marque une étape importante dans l'évolution de la politique urbaine en Tunisie qui s'oriente aujourd'hui vers la récupération et la reconquête du centre ville constituant tout à la fois un patrimoine historique et culturel à sauvegarder et un ensemble urbain vivant à considérer.

D'ailleurs, l'engagement de deux institutions financières internationales (La BIRD et le FADES) pour la première fois de leur histoire, au financement de la réhabilitation de l'habitat insalubre dans un centre historique est une preuve de la pertinence et de l'intérêt que présente ces projets.

Réhabilitation des Sabats:

Aussi dans le cadre de la promotion de la vieille ville, une opération de restauration des éléments architectoniques et urbains des ruelles de la Médina a démarré avec la restauration d'une cinquantaine de sabats (passages couverts) sur les 400 que compte la Médina et dont certains étaient occupés par des kuttab-s.



Ces projets de visée sociale et touchant à l'habitat et à l'insalubrité ont eu un impact sur la Médina, tant sur les plans architectural, urbain, social et économique que sur le plan patrimonial.

Progressivement, l'intervention contemporaine dans le centre ancien de Tunis devient un thème d'actualité. Elle est conçue comme un facteur de réanimation des secteurs d'habitats dégradés. Elle visera également à créer une nouvelle image, un "marketing", de façon à ce que le vieux Tunis soit associé à des pratiques sociales et culturelles contemporaines.

Embellissement Bâb B'har

La sauvegarde de la Médina ne peut être conçue hors de la démarche de planification de l'espace urbain dans lequel elle s'inscrit la relation ville ancienne - ville nouvelle mérite d'être évaluée pour explorer les possibilités d'intégration.

Le devenir de la Médina étant intimement lié à celui de la ville basse dite «européenne» implantée à ses portes et devenue le véritable cœur de la Capitale, le centre ville colonial qui constitue son environnement immédiat, doit bénéficier de la même sollicitude que la vieille ville historique.

Dans un cadre de réflexion global sur le devenir de la ville de Tunis intitulée «Tunis du XXIème siècle », l'A.S.M. a été chargée par la Municipalité pour élaborer un projet d'embellissement de l'hyper centre de Tunis.

Trois actions prioritaires sont susceptibles de permettre à la ville de sauvegarder son patrimoine et de préserver son environnement:

- L'embellissement du cadre urbain de l'avenue Habib Bourguiba (hyper centre)
- La réhabilitation des immeubles insalubres
- L'amélioration de la circulation et du stationnement.

Avec l'objectif de:

- Revaloriser la ville dans une optique de continuité entre la Médina et la ville nouvelle.
- Produire une approche globale capable de faire ressortir les dysfonctionnements et d'y remédier avec l'ambition d'améliorer la qualité de la vie quotidienne, de préserver l'environnement, de sauvegarder le patrimoine et de revaloriser le centre ville.



Projet de rehabilitation et d'embellissement d'un parcours urbain

dans la Medina de Tunis

Jusque là les actions de sauvegarde, s'étant surtout intéressé, à la résorption de l'habitat insalubre et sur densifié, les projets ponctuels de restauration de monuments ont suscité un grand intérêt chez les privés mais n'ont pas réussi à créer, des références fortes ni induit des pratiques claires à suivre lors des interventions sur le cadre bâti.

Afin de remédier à cela et, il est proposé, en parallèle aux travaux de restauration sur les bâtiments à intérêt architectural et / ou historique, une opération pilote de restauration urbaine et d'embellissement qui consiste en la mise en valeur d'un circuit culturel doublé d'un circuit touristique, dans la zone centrale de la Médina. Cet axe en plein cœur de la Médina Centrale est très fréquenté, surtout le mois de Ramadan où le Festival de la Médina attire une foule de gens de toutes catégories sociales.

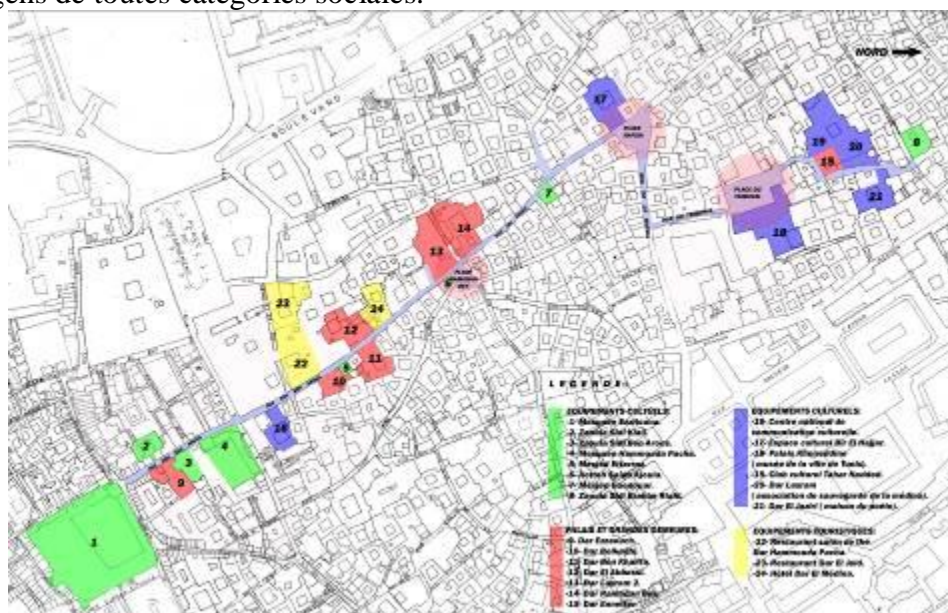


Figure 10: Plan du parcours





Vues avant et après travaux

Le projet a jeté les jalons d'un tourisme culturel et a montré le potentiel extraordinaire que recèlent les quartiers de la ville historique.

Ce projet, fruit d'une collaboration entre la Municipalité de Tunis et l'ASM, entre dans le cadre des actions liées aux programmes de promotion du tourisme culturel. Il est financé par une contribution de la Caisse de Protection des Zones Touristiques, les concessionnaires publics prenant en charge leurs propres interventions. Il est encore tôt pour en faire le bilan mais on peut déjà noter la collaboration des différents intervenants malgré les difficultés de coordination et l'adhésion des habitants malgré la gêne causée par les travaux. Des opérations de même ordre, ailleurs dans la Médina de Tunis, sont envisagées qui devraient tirer les leçons de ce projet et réfléchir à l'utilisation de l'énergie solaire pour l'éclairage public sans porter préjudice à l'esthétique des façades ainsi qu'à la réhabilitation de l'usage des puits et citernes de certains édifices publics et privés pour le lavage des rues et l'arrosage des plantations. La conjoncture semble propice, aujourd'hui, à des études et des projets visant à réduire la consommation d'eau et à économiser l'énergie.

Impact du projet

Offrir une alternative au tourisme de masse

L'ambition de ces projets est d'encourager un tourisme éclairé, respectueux de la culture locale dans ses formes les plus modestes. La volonté d'en faire un circuit authentique, porteur de l'esprit et de l'ambiance de la Médina, destine l'aménagement autant aux touristes étrangers qu'aux visiteurs tunisiens, voire tunisois. Cette orientation est susceptible de constituer une base à d'autres activités culturelles d'envergure, et ainsi accentuer le rayonnement de la Médina dans l'agglomération tunisoise.

Initier un projet profitable à l'économie locale:

L'aménagement touristique de la Médina, au-delà du circuit commercial des souks peut ainsi être porteur d'un projet économique durable. La pénétration touristique dans la Médina, balisée par l'embellissement des façades, devrait accroître la demande pour un séjour prolongé au sein des quartiers historiques. Ainsi, ce circuit pourrait logiquement s'accompagner d'opérations de réhabilitation et de reconversion de vieilles demeures en restaurants, maisons d'hôtes, d'encourager l'hébergement chez l'habitant etc.

IV/- La mise en valeur du patrimoine monumental:

Les projets de restauration des monuments historiques visent leur insertion dans le processus de développement en essayant de concilier entre les nécessités de sauvegarde et les impératifs de l'époque et ce, grâce à des affectations contemporaines respectueuses de leur cachet spécifique.

Ces opérations de restauration sont menées dans un but de sauver ce riche patrimoine et de l'adapter à son usage contemporain.

En matière de législation depuis la fin du 19ème siècle, la notion de classement des monuments historiques et des sites a été prévue dans la législation tunisienne par la loi du 7 mars 1866. Cette notion a été confirmée et précisée par la loi du 9 mai 1986, relative aux biens archéologiques, aux monuments historiques et aux sites naturels et urbains.

Depuis des innovations sont régulièrement apportées:

L'approbation du Code du Patrimoine (loi n° 94-35 du 24 février 1994) censé unifier l'ensemble des textes en la matière et encourager les propriétaires privés, dans le cadre des secteurs sauvegardés, à réaliser des travaux d'amélioration ou de réparation de leurs immeubles (avantages fiscaux et financiers).

La révision du Code de l'Urbanisme qui définit les prérogatives de chaque intervenant dans les domaines de l'aménagement et de la sauvegarde.

Mais le classement des monuments historiques reste une condition insuffisante pour leur protection. La priorité est donc de trouver les moyens financiers pour sauvegarder cet immense patrimoine qui fait partie intégrante de la Médina, inscrite en 1979 par l'UNESCO, Patrimoine Universel.

Dans ce contexte les principes de protection retenus se basent sur une sauvegarde active qui recherche la revitalisation d'un centre ancien. La sauvegarde des monuments a consisté à les insérer dans l'activité économique d'aujourd'hui en les réaffectant à des usages compatibles avec leur typologie. La reconversion de ces monuments devait tenir compte de plusieurs facteurs à la fois: la situation géographique, les besoins du quartier, les aspects pratiques et les valeurs architecturales.

Quelques exemples de reconversion:

Médersa El Montaciriya: restaurée et réaffectée en jardin d'enfants.





Le palais Kheireddine: restauré en un lieu culturel: Le Musée de la Ville équipé conformément aux normes d'expositions exigées par les plus grands musées étrangers:



L'intérêt pour la culture et le tourisme culturel dans la Médina s'est accru ces dernières années. La Médina redevient, peu à peu, le centre le plus recherché dans l'agglomération tunisoise, pour des activités culturelles d'envergure.

Un retour à encourager au même titre qu'il est nécessaire de développer un hébergement touristique de bonne facture (hôtels de charme et hôtel de haut standing) ou même des résidences «héberger chez l'habitant».

Investissement du Privé:

Aménagement d'anciennes demeures en hôtels



Hôtel Dar El Médina



Hôtel Dar BenGacem

Loger chez l'habitant:

Aujourd'hui certains habitants proposent une chambre ou deux à l'hébergement:

La Chambre bleue: est une partie de l'ex palais Agha, Mamlouk et Ministre de la guerre de Mustafa Pacha Bey et date de la deuxième moitié du 19ème siècle. Il est désormais habité par un couple délicieux qui s'est lancé depuis quelques années déjà dans l'aventure de l'hébergement alternatif en Tunisie.

Les heureux propriétaires, vivent donc depuis de nombreuses années dans ce magnifique lieu avec leurs deux enfants. Elle, est artiste et lui, enseignant en mathématiques.



Fondouk reconverti en Salon de thé



Installation de commerces de luxe de création artisanale:



En conclusion: ce regain d'intérêt pour le centre ancien de Tunis nous donne à réfléchir en quoi la réhabilitation du centre ancien contribue-t-elle à diffuser une image à la fois plaisante et chargée de significations culturelles, identitaires et symboliques qui augmente l'attractivité d'un espace pour des catégories particulières de la population, cette catégorie qui l'avait bien renié dans les années soixante!

En effet depuis de longues décennies, la Médina se vidait de sa population citadine et s'ouvrait à des migrations extra-urbaines. Au lendemain de l'indépendance (1956), le nouveau pouvoir était préoccupé par la construction d'un Etat moderne et l'effort financier se focalisait donc sur la résorption du logement précaire par la construction de quartiers d'habitat dit social dans une perspective moderniste et modernisatrice: re-former la ville et son habitat équivalait à réformer la société et les comportements sociaux considérés comme archaïques. Les centres historiques denses, avec leurs ruelles sinueuses et leurs maisons délabrées, étaient porteurs d'une image négative s'inscrivant dans une longue période de dévalorisation de l'ancien et de l'autochtone et d'une survalorisation de la modernité (lignes droites, lumière et propreté) et de modèles urbains importés. Cette appétence pour la modernité et le rejet du bâti ancien étaient particulièrement lisibles à travers l'abandon par les élites des centres-villes au profit d'un habitat sécurisé périurbain. Ce phénomène a contribué à une dévalorisation sans précédent des anciens centres urbains.

L'adhésion au modernisme conjurée du fait des moyens limités affectés par les décideurs (ne vivant pas dans les centres et les stigmatisant) a concouru à faire des centres historiques de nombreuses villes de la Tunisie des espaces d'exclusion matérielle et de relégation symbolique.

Depuis les années 80, on assiste à Tunis - avec des programmes de réhabilitation qui ont renversé les dynamiques négatives et qui ont réussi à construire des dynamiques positives et à montrer que ces espaces ne sont pas des formes urbaines périmées mais au contraire des espaces vivants et vivables- à un processus de patrimonialisation qui peut être défini comme le passage d'un patrimoine monumental à un patrimoine reconnu en tant que bien collectif, caractérisé tout à la fois par ses dimensions économiques, sociales, environnementales et culturelles.

En effet, la politique de sauvegarde à Tunis a permis d'enrayer significativement la dynamique de paupérisation, ce qui confère à la Médina une valeur qui justifie, pour la

collectivité, sa conservation pour transmission aux générations futures. Il s'agit bien d'un processus de reconnaissance de cet ensemble de biens en tant que bien collectif.

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THE SATANIC VERSES REVISITED: APPROACHES TO HERITAGE AND DEVELOPMENT CONTROL IN CENTRAL SYDNEY

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ABSTRACT

When the City of Sydney published its first draft inventory of over 600 heritage items in 1989, one prominent developer likened it to the Satanic Verses and many owners strongly resisted the proposed listing of their properties. The first heritage incentives also concentrated on exteriors, encouraging a number of developments that retained only historic facades. Throughout the 1990s the City revisited its inventory and controls, enlarging the listings to include interiors and conservation management guidelines. The amended controls incorporated a new formula for the award of transferable heritage floor space which proved so popular that many owners of properties not listed on the inventory applied to be listed —a marked contrast to previous attitudes. The City has continued to develop innovative approaches to manage heritage and development, against a recent background of increasing hostility to heritage from property development advocates and successive State governments. This paper looks at the results achieved by the City in its management of heritage conservation and development, including review of some landmark cases such as the redevelopment of East Circular Quay.

1. Background: heritage protection in New South Wales

With some isolated exceptions, there was little interest in the conservation of cultural heritage anywhere in Australia until the middle of the twentieth century. The National Trust of New South Wales (the first such body in Australia) was established in 1945, and published its first register of historic buildings in 1967. Similar bodies were formed in other Australian states and territories. The National Trust came to prominence with some well-publicised campaigns for heritage conservation, notably the movement to save The Rocks in Sydney in the early 1970s. The Trust formed an alliance with a trade union, the Builders' Labourers' Federation, which placed so called 'Green Bans' on demolition of heritage buildings.

Although the County of Cumberland Planning Scheme Ordinance of 1951 (an early instance of planning legislation in New South Wales) included a provision for Government acquisition of places 'of scientific or historic interest', there was no legislative control over heritage places until the Australian Heritage Commission Act of 1975. This Act only provided control over items owned by the Commonwealth (Australian) government, although the

Register of the National Estate created by the Act gave official recognition to many other heritage items throughout Australia.

Legally binding protection for heritage items in New South Wales was finally provided in 1977 with the passing of the NSW Heritage Act. This Act established the Heritage Council of New South Wales, with representatives from government departments and non-government organisations (including the National Trust), which had the power to recommend to the Minister for Heritage the placing of conservation orders over items of significance for the State. The legislative framework for heritage protection was thus reactive, and usually exercised only in response to a perceived threat. Moreover, items of local significance were not protected under the Act, as its power was limited to places of State significance. Accordingly, in 1979, when the Environmental Planning and Assessment Act came into force, a key provision was for the making of local environmental plans for the protection of local heritage items.

2. Heritage protection in the City of Sydney

The City of Sydney was relatively slow in preparing its own heritage local environmental plan, at least in part because of the potential economic impact of conventional heritage controls within the central business district, at a time when the conservation of cultural heritage was still not well understood within the development and construction industry. At the time, the principal mechanism for development control was floor space, regulated through prescribed maximum floor space ratios for city sites. The Development Control and Floor Space Ratio Code, adopted following the City of Sydney Strategic Plan 1971, allowed bonus floor space to be awarded for the provision of certain public amenities (Sandercock 1990). One of these was the preservation of all or part of a historic building, often through site amalgamations. Although used to good effect occasionally, this incentive led to the widespread and indiscriminate retention of historic facades incorporated into modern buildings with little or no design relationship between the new and the old. [FIGURE 1] The practice became widely criticised by professionals, especially following the collapse in 1990 of a number of historic facades in Hunter Street that had been retained after the buildings behind them had been demolished for the redevelopment of the combined site. Site amalgamations were also facilitated by the Council of the day selling some narrow public laneways to private developers, which not only allowed much larger buildings, putting pressure on smaller heritage buildings, but also resulted in the loss of the fine grained network of laneways that once characterised Sydney.



FIGURE 1. Facadism in Sydney.
The North British Hotel in 1981 (left) and 2010 (right). It was redeveloped in 1984.
(Source: Flickr (left) and Peter Phillips (right))

2.1. Heritage floor space: first steps

The 1971 Code also included a provision for the transfer of bonus floor space from the site of a heritage building to an unrelated development site elsewhere in the City, provided that the heritage building was conserved (City of Sydney 1971). This provision proved problematic to administer, and was in fact used only four times in the first decade of operation of the Code (Tuor 1989). Council therefore commenced a review of the plan in 1982, and in 1987 adopted a new policy in relation to the Award and Transfer of Heritage Floor Space. Under the new policy, the amount of bonus floor space awarded was based partly on the difference between the floor space ratio of the existing heritage building and the maximum permissible floor space ratio on its site, and partly on the actual floor space of the conserved heritage building. The policy included some measures to avoid the unfortunate consequences (including lack of use) of the original policy, but it still did not contain sufficient incentives to prevent either the demolition or trivialising (through facadism) of heritage items.

2.2. The first heritage local environmental plan

Throughout the 1970s and into the 1980s, the National Trust Register was the main document used to alert Council to potential heritage issues. Although a conservation register was prepared as part of the 1983 City of Sydney Council Strategic Plan, the heritage significance of a building or site was often identified only after the development process was under way, and the City still had no control over the demolition of heritage items that would allow it to achieve meaningful protection (Tuor 1989). The development community also remained dissatisfied with a system that it considered provided no certainty about whether a proposed development in the City would be affected by some form of heritage protection or protest. Accordingly, in 1989, the City exhibited a draft of Central Sydney Local Environmental Plan 99 — Conservation of Environmental Heritage, with over 600 heritage

items listed. Although a good number of these were uncontroversial and in little danger of development pressure, many people in the development community were outraged by the number of items which might now be quarantined from redevelopment, one going so far as to describe the draft list as *The Satanic Verses* (the title of a novel by Salman Rushdie, published in 1988 and denounced by conservative Muslims as an insult to their faith). Many owners of historic buildings also objected strongly to the proposed listing of their buildings, some predicting that listing would inevitably result in a substantial loss in the value of their buildings, with consequent reductions in limits on essential business loans that were secured against the properties.

The Central City Planning Committee set up a sub-committee (which included among its members the author of the Satanic Verses comment) to review the draft plan, which heard evidence supporting the objections from a number of well-credentialed consultants about the parlous state of their clients' buildings, and the disastrous consequences that heritage listing would have for them. The process was fundamentally flawed, because the sub-committee gave greater weight to the real or perceived financial circumstances of the owner or the loss of development potential than to the heritage significance of the building and its contribution to the broader heritage context of central Sydney.

The sub-committee's report recommended removing some 44 items from the draft list, and a partial listing only for another 23 items (Stapleton 1991). The items removed included buildings of outstanding heritage significance, such as the Qantas Building, the Dymocks Building and John Sands House. The omission of such iconic buildings had the effect of devaluing the integrity of the entire list, which retained many buildings of less heritage significance than those that were removed. The local environmental plan was finally gazetted in 1992. It must be added that the great majority of the buildings that were the subject of the objections are still in active and apparently profitable use more than twenty years later.

2.3. Reviewing the heritage system

By the time the 1992 plan was gazetted, a new Council had been elected. It commissioned a strategic review of the whole planning framework for the City, which evolved into a new vision known as Living City. As part of this exercise, all of the existing heritage controls were reviewed by the Council and its consultants. During the time the review was in progress, an unprecedented number of major developments took place in the City involving the exemplary conservation and adaptive reuse of significant heritage items; these included the Woolloomooloo Finger Wharf, the Sydney Customs House, and the former General Post Office. These were all the result of the NSW Heritage Council and the City Council acting together to impose and enforce tough controls on the redevelopment schemes.

2.3.1. Studies for a new heritage inventory

The heritage inventory prepared for the original 1989 draft plan had been a baseline study, heavily reliant on existing lists and accompanying information prepared by voluntary organisations such as the National Trust and Institute of Architects, both of which had had active Historic Buildings committees since the 1940s. The information held by these organisations was often scanty, and based only on external inspection. The Council decided in 1994 to fund a series of thematic studies of building types within the city (such as office buildings, warehouses, public houses, and churches). The consultants selected to undertake the

studies were authorised by Council to make internal inspections, and were briefed to prepare not only developmental histories of the buildings, using the resources of the City Archives, but also to identify the significant elements of the buildings, and to recommend preliminary conservation management policies. The thematic studies provided a sound basis for comparative analysis of the listed items, and also uncovered new information about early development patterns within the City, such as the once common practice of building identical warehouses fronting parallel streets, with central loading courtyards between the two.

The information was compiled in a publicly accessible electronic database, which brought an unprecedented degree of openness and integrity to the way that the city dealt with its heritage. It is fair to say that the process set a new benchmark for heritage management by governments at all levels throughout Australia; for example, the current NSW State Heritage Inventory is largely based on the central Sydney model. All of the notable heritage buildings that had been removed from the 1989 draft list on the basis of financial considerations were reinstated, while a number of previously listed buildings that had been found to not meet the listing threshold were removed.

2.3.2. Review of Heritage Floor Space

The amended policy for the award and transfer of heritage floor space had been in place for over five years in a context of more rigorous demolition control, but still few owners of heritage buildings had taken advantage of it. The consultant team reviewing the policy suggested that part of the problem was the perceived need to identify a recipient site for each award, and proposed a market system by which transferable floor space, once registered, could be traded. They also observed that when the two-part formula for calculating the yield was applied to a site with a low-rise heritage building, the difference between the actual floor space on the site and the maximum permissible floor space generated most of the yield, while the floor area of building conserved generated relatively little. Conversely, on a site where the heritage building was several stories high and close to the maximum permissible floor space, the floor area of the conserved building generated most of the yield. They therefore suggested reverting to a simple formula for the heritage floor space yield, calculated as half the maximum permissible floor space ratio applied to the site area occupied by the heritage building. This formula was incorporated into the Central Sydney Development Control Plan 1996, a non-mandatory but influential planning document which also included design guidelines for extensions to a heritage item that rejected facadism in favour of a general principle of conserving the building in its entirety.

The development community reacted enthusiastically to the new heritage floor space formula. The City began to receive several applications for awards of heritage floor space, accompanied by conservation management plans and proposals for conservation works. Owners who had strongly objected to the heritage listing of their buildings on the grounds that it would reduce the value of their properties now saw a way to benefit from listing. As a result, the City received a number of applications for heritage listing from owners of properties not on the list, the complete opposite of the response by owners of heritage items to the original draft plan in 1989.

The results of all the reviews during the 1990s were finally brought together in a new heritage local environmental plan, gazetted in 2000, with a schedule of heritage items that was based only on heritage significance. All of the notable heritage buildings that had been

removed from the 1992 plan for financial reasons were reinstated on the statutory heritage schedule, while a number of previously listed buildings that had been found to not meet the listing threshold were removed. In addition, buildings were listed in their entirety, bringing to an end the listing of parts of an otherwise intact building on the questionable basis of what form of development might be possible on the site. The new controls required a conservation management plan or heritage impact statement to be prepared, to determine what development might be appropriate in the light of heritage significance, and what the impact of a proposed development on this significance would be.

3. East Circular Quay

Notwithstanding the progress towards heritage controls and incentives, a number of major development sites in the City required special attention. One example was East Circular Quay. This area had developed during the early 19th century as a series of small warehouses and bond stores associated with Circular Quay, then the principal port for the city. [FIGURE 2, top] From the late 19th century, merchant shipping moved away from Circular Quay, which became chiefly a passenger and ferry port. The old buildings remained until the 1950s, when (like much of the city) they were demolished for tall commercial office buildings. ([FIGURE 2, centre]

In the 1990s, the insurance company, which by then owned most of the buildings, sought to redevelop them with a comprehensive scheme. This coincided with the preparation of a nomination for World Heritage inscription of the Sydney Opera House in its Harbour Setting. The demolition of the mid-20th century buildings, and the consequent opening up of views to Government House and the Royal Botanic Gardens that had been blocked for half a century, led to a vigorous public debate about the heritage issues involved in rebuilding East Circular Quay to its mid-20th century height and density.





FIGURE 2. The changing face of East Circular Quay: 1925 (top), about 1970 (centre) and 2000 (bottom).
(Source: City of Sydney Archives)

The Central Sydney Planning Committee approved the first new building at the northern end of the site in 1992, although a similar proposal had previously been rejected by the City Council (Evans 2000). The new building, dubbed 'The Toaster', was widely criticised as oversized and mediocre in design. Its height had, however, been able to be reduced without loss of floor space by the incorporation into the site (with the assistance of the City and the support of the then Prime Minister) of much of the existing roadway. The Prime Minister had influenced the City Council to accept the concept of extending the site by offering at the same time to lease the Sydney Customs House to the City with funding for its conservation and conversion for public uses. The remainder of the site was redeveloped along similar lines, with a void between buildings left as a gesture to the views to Government House. This was one of several major developments in which the City's ability to both conserve heritage and control new development was hampered by external forces.

4. Recent developments

One of the innovations introduced to the City in the 1996 local environmental plan was a strategy for design excellence through architectural competition. Major projects within the City were required to demonstrate that their proponents had taken measures towards achieving design excellence through the holding of design competitions or otherwise. Although this process had its teething troubles —in the early stages, it was abused by developers who obtained development approval using the competitive process, then discarded the successful

design architect and reduced the quality of the design— it has produced several very good buildings throughout the city, designed by both local and international architects, which the City hopes will become the heritage of the future.

The efforts of the City and its local government counterparts to conserve cultural heritage are being undermined at higher levels of government by a growing antipathy towards heritage, which is seen as a constraint on development and economic activity. The recently exhibited draft NSW Planning Bills would, if legislated, remove much of the ability of local government to exercise heritage controls, as well as seriously reducing the ability of the Heritage Council to protect items of State significance. The newly elected Australian government is also promising to cut the 'green tape' that is inhibiting progress. The outlook for heritage at both State and National levels of government is likely to be at best uncertain in the next few years.

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THEME 3:
PROTECTING CULTURAL HERITAGE IN
TIMES OF TOURISM AND
COMMERCIALIZATION

DIFFICULT BUILDINGS - CHALLENGING SOLUTIONS: ADAPTIVE RE-USE OF BUILT HERITAGE IN AUSTRALIAN URBAN AREAS

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ABSTRACT

Heritage districts and city cores often retain buildings which were part of specialized historical activities such as docks and manufacturing. In recent decades, many sites have become more valuable for residential use and gentrification has caused a tension between industry and livability. In parallel, technology has changed methods of operation; costs have risen and industry has relocated, often abandoning listed buildings of cultural heritage significance. Meanwhile the general urban populations have steadily increased and in order to contain the sprawling city, planning authorities have focused on redeveloping these former industrial sites for greater urban density. The age of the inner city “apartment” has arrived.

There are many heritage and design challenges in sensibly adapting and re-using industrial sites. Some factories have grand façades and little else of heritage or practical value behind. Does this encourage or justify façadism in redevelopment? How should the retained heritage fabric be set in the context of the new? Other buildings are complete specialist structures – how do you adapt redundant brick kilns, grain silos or brew towers? What is an appropriate balance between the economics of development and heritage preservation? How do we stop the retained fabric becoming a meaningless token without any context? Is Disneyfication the inevitable outcome?

This paper will discuss some of the challenges facing governments, preservationists, developers and residents in maintaining a livable city. How will future generations view the significant changes being made now? Will a whole chapter of history be lost? Will it matter anyway?

Introduction

Heritage districts and city cores often retain buildings which are part of specialized industrial activities which have been relocated elsewhere leaving behind abandoned sites, often in now prime residential areas which have high land value. Meanwhile, the urban population has steadily increased and to contain the sprawling city, redundant sites are being reutilized to accommodate greater urban density.

There are many heritage, design and physical challenges in sensibly and sympathetically adapting industrial sites for reuse. How can redundant brick kilns, brew

towers, grain silos, abattoirs and a water reservoir be sympathetically adapted while maintaining an appropriate balance between the economics and heritage preservation?

Philosophical Approach

The underlying principles guiding the adaptation in these examples were the *Australia ICOMOS Burra Charter*, which requires a thorough understanding of the heritage significance of each place.

The approach was to retain partial evidence of past industry by conserving the fabric and characteristics of the structures and any remnant machinery as far as was feasible, while balancing economic imperatives and community benefit.

Brick Kilns

Hoffmans Brickworks, Brunswick, Victoria (1884)

Residential Adaptation

Site History and Cultural Heritage Significance

The Hoffman kilns are among the few survivors worldwide. They were revolutionary in their time, allowing a continuous process of brick-making, which enabled production of 40 million bricks per year. The site was abandoned in the 1970s.

Approach and Result

Retention of the two remaining kilns in a form which readily translated their function to the observer was the heritage imperative. The upper level was an open space beneath a timber-trussed roof clad in corrugated steel. External walls were brick panels, many needing extensive repair or rebuilding, sections of corrugated steel cladding and timber with openings for ventilation. The lower level is a continuous brick tunnel into which the bricks were loaded through external wickets (openings) and was not suitable for redevelopment because of partial structural collapse, restricted internal dimensions, amenity constraints and also because the tunnels are a key element of the kilns. It has been retained mostly in original condition, including the morphing of the external battered wall around the firing chamber.

The upper level was extensively taken down and reconstructed using the original stockpiled bricks and a concrete slab was constructed between both levels. Internally, small apartments have been built and original trusses remain exposed and unpainted in the ceilings. Windows, doors and balconies have all been designed to be inconspicuous so that the original appearance of a brick kiln is retained as far as possible.

An area has been set aside for interpretation.

Maltings, Breweries, Distilleries and Silos

Site History and Cultural Heritage Significance

As industry began to develop in Melbourne in the mid-1850s, maltings, breweries, and distilleries were established in the eastern suburbs, then on the fringe of what is now the Central Business District. They are variously significant as part of the first generation of industrial development in Melbourne; as a scientific contribution to brewing because of the remnant machinery survives, and because of their distinctive and imposing architecture.

Maltings, Breweries and Distilleries

James Hood Maltsters, Collingwood (Est. 1878); Victoria Brewery, East Melbourne (1804-1908); Yorkshire Brewery, Collingwood (1876); Victoria Distillery, Collingwood, Southern (Daly's) Brewery, Richmond (c.1880, 1930s), Victoria

Approach and Result

Brew towers and cellars are specifically designed for the process which imposes physical constraints on adaptation, and together with inherent degradation and contamination, sometimes necessitates demolition.

The Victoria Brewery is in a prime residential location and apartment towers have been constructed behind the retained façades but the brew tower and the steel truss roof of the original delivery area have been retained. Despite the visible new built form, the distinctive architecture together with original signage conveys the site's origins.

The challenge with these sites is to balance what is significant and what can reasonably be retained, conserved and adapted against what is unsalvageable due to physical condition, inherent unsuitability of particular materials or their hazardous nature for a variety of new uses, economic imperatives and building codes. Inevitably the elements with the greatest aesthetic appeal are generally retained as are elements, such as the iconic brew towers, which might fortuitously retain machinery which should form part of an interpretation centre.

At the Yorkshire Brewery, the approach is to “deliver buildings that harnessed and respected the *genius loci* and history of the site”. The brew tower, once Melbourne's tallest building, will also be retained, but the silos will be demolished, and three residential towers and some townhouses will be constructed.

Silos Approach and Result

While the concrete silos were added in the twentieth century, they are now appreciated as essential components of the sites which demonstrate part of the overall industrial processes.

Other than at the ground level, they are essentially empty concrete cylinders which can be adapted in a manner which retains their essential external form with little disturbance from cut-outs for windows and the addition of lightweight balconies, a regulatory and planning requirement.

At the James Hood Maltings and at the Southern Brewery, elements have been added at the top, partly for additional yield and marketability and also as an architectural device to relieve some of the utilitarian rawness of the structure below.

At the Victoria Distillery, some original infrastructure has been retained on the outside of the buildings, and while residents have beautified the area, its former industrial use remains intriguingly evident.

Abattoirs

Abattoirs at Ballarat and Bendigo, Victoria

The Former Ballarat Municipal Abattoir (1913)

Site History and Cultural Heritage Significance

The Ballarat Abattoir is a highly intact, and hence demonstrative, example of an early twentieth century municipal abattoir which retains many original features which demonstrate the process and the need for ambient internal conditions and ventilation.

Approach and Result

The beef building now accommodates a major archival repository. The interior remains largely intact with exposed open steel-framed trusses remaining beneath a later ceiling above. There is a strong synergy between the new use, retention of original elements and the new fit out which is a benign insertion.

The Former Bendigo Municipal Abattoir (1911-12)

Site History and Cultural Heritage Significance

When constructed, it was the most up-to-date facility in sanitation, labour-saving facilities and equipment powered by electricity, which enabled a huge capacity throughput. The Bendigo abattoir closed in 1939 and the site remained unused until 1945 when the Country Roads Board approached the Ballarat City Council to use the southern section of the site as a depot. The two separate abattoir buildings for cattle and sheep and pigs were retained, but were considerably stripped out and altered, and as a consequence have no heritage listing.

Approach and Result

Nevertheless it is intended to retain them in the future development of the site, probably for residential purposes. Like Ballarat, the buildings have large and high, generally open-plan spaces which offer a range of adaptive opportunities. It is thought that the buildings might be used for community purposes.

Water Reservoir

Paddington Reservoir Gardens, Paddington, New South Wales (1866-1878)

Site History and Cultural Heritage Significance

Constructed over 12 years, the reservoir was an integral part of the Botany Swamps Scheme, but ceased to function in 1899. In the 1930s, a park was constructed at street level above the water chambers, and it was open to the public. In 2003, the site was acquired by the City of Sydney (council) and its near ruinous and dangerous condition instigated a redevelopment master plan.

Approach and Results

Initially conceived of as a new park above the reservoir, it became evident that the “disused ‘poetic’ infrastructure was worth retaining and celebrating.” The approach was to stabilize the existing structure, retain the sense of a ruin, while being safe for public access and also removing non-original accretions. All of the original material has been retained, and where new material has been introduced, a subdued design and restricted palette have been used, while subtly yet clearly blending the different elements.

Conclusions

In the challenge of adaptation of these difficult buildings change and development have been managed carefully.

A conservation management plan should

- define the limits of change so that the form and appearance of the significant building is retained in a recognizable manner,
- propose a ‘best fit’ for adaptation, and
- set out a future maintenance régime.

A balance between old and new and salvageable fabric versus demolition is critical for an acceptable outcome.

Sometimes façadism is the only feasible option, in which case the retained fabric should remain a visually strong element.

New work should not be unacceptably distorted or obscure cultural significance, and the original retained elements should still be recognizable together with their original function.

Innovative and imaginative architectural solutions should respect heritage significance, while making their own clearly separate statement.

Embodied energy will be retained, thus making a contribution to sustainability and heritage conservation.

CASE STUDY: USING QUANTITATIVE AND QUALITATIVE- INTEGRATION KNOWLEDGE METHODS TO FACE THE DEVELOPMENT CHALLENGES IN ENVIRONMENTAL AND CULTURAL MANAGEMENT. WHAT IS THE ROLE OF CULTURAL HERITAGE IN THIS PROBLEM?

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ABSTRACT

This paper shows the scope, results and problems encountered in implementing applied-methodological experience during the Case Studies course taught in the Interdisciplinary Master's in Environmental Management and Ecotourism (University of Costa Rica). Case studies are a method of learning that guides students to develop as an interdisciplinary group the real difficulties in formulating a problem concerning environmental management and ecotourism, according to their skills, interests, activities and professional specialties of the students.

The concept of ecotourism is compared or merged with other concepts, rural tourism, cultural tourism, etc. It integrates problems relating to the sustainable use of natural potential, as well as culture and tourism in a region. We analyze the problem variables using qualitative and quantitative techniques to build a system explaining the past and present state of the problem. Scenarios are constructed to visualize opportunities and make strategic decisions.

This paper presents a case study made in 2009 in the main Pacific port of Puntarenas. It evaluates the academic experience, comparing it to what happened in the last four years as part of a highway of streamlined communications between the Central Valley and the coastal connections to the north and south. Emphasis will be given to the analysis of the following issues: the country seen and promoted as a natural destination, and the promotion of ecotourism and sustainable projects. However, the tangible and intangible are not given a privileged place in tourism. That vision of the country is reflected in the students' work. Why is this phenomenon given less importance in cultural heritage, so that both the local people and students underestimate this heritage? What is the state of conservation of this heritage and what is its possible value? What potential recovery and use does this cultural heritage have in the new scenario where tourist inflow and the effects of climate change have increased?

1. The master's and the course case study

The general objective of the interdisciplinary Master's Degree of Environmental Management and Ecotourism at the University of Costa Rica is *"to train professionals specialized in the protection of natural resources and the development of eco-tourism as a productive activity, with the ability to assume leadership positions in various sectors of society. This master's degree graduates will have the necessary knowledge to support the new challenges of development, propose alternatives, contribute to building solutions and manage an integrated vision of the interrelationship among economics, culture, environment and tourism."*

1.1 Case studies as a method of learning and as an instrument for decision making

Case studies are a form of teaching – a type of learning that guides the students to pose a real problem in a jointly and in an inter-disciplinarily manner. The work is done according to their knowledge, interests, affections and professional specialty. The students will visit a region, visualize its environmental, socioeconomic, cultural and political issues, and they formulate a problem relating to environmental management and/or ecotourism.

The method used in the case-study course (2002-2013) of the interdisciplinary master's degree in environmental management and ecotourism is taken from the book of Roland W. Scholz, *Embedded Case Study Methods: Integrating Quantitative and Qualitative Knowledge* (London: Sage Publications India Pvt. Ltd., 2002). According to the methodology proposed by Scholz, the analysis of case studies is structured in three levels, each of them with significant importance, due to its connection with different qualities of knowledge: understanding, conceptualization and explanation.

On the first level, — understanding— *the case is treated as a whole*. Its history is explained, as well as its limitations and its dynamics in a holistic manner. For this purpose, it is necessary that the researchers develop empathy with the case (feelings, pictorial or intuitive representation, sometimes unconsciously, and with an understanding of it). In order to pose the problem, the group should restrict their focus to one or two questions.

On the second level, a *model of the real world* is developed, and from the holistic perspective, it goes to the conceptualization of a *systemic model*. The success of the model depends on the use of methods of *integrated knowledge*. The achievement of a good synthesis depends in turn on the degree of cooperation that the researchers exert.

The completion of the third level — *explanation* — is reinforced with the use of data thrown by sub-projects carried out with disciplinary approaches. From those subprojects, two types of data are obtained by observation, surveys, measurements, technical studies or expertise and contribution of documents or specific data provided by different disciplinary fields of knowledge of the researchers.

The method of integrated knowledge is to decompose the problem into factors (variables). These variables are analyzed through group cooperation using qualitative and quantitative techniques in order to construct an explanatory system of the reality. That is, a *systemic model of the past and the present state of the problem* is designed: the history of the region, production processes, potential uses of natural resources, cultural heritage, social and political capacities, and existing projects for the region.

Integrated-knowledge methods are applied in case studies of companies, products, patents, inventions, legal cases or urban planning. Decision-makers and planners particularly use them, since it allows them to describe, analyze and assess cases in order to make decisions.

In our master's, we have used so far, the method of integrated knowledge called *Formative Scenario Analysis*. This method allows us to formulate hypotheses for future states of the system and, in turn, do not help to obtain a dynamic view of the same. Once the problem is defined, the variables that contribute to define the state of the system are determined (not exceeding 20).

The variables or factors of impact are classified in different subsystems and disciplines, for example: social, economic, cultural, environmental and political. It is essential that researchers carry out cooperatively, and according to the case study, a specific definition of each of the variables.

The next step is to analyze the direct impact that occurs when the different variables are interrelated. In order to do so, several tools of measurement or representation are used:

- Algebraic assessment using a matrix of impact (variable-interaction matrix). With this instrument the direct impacts among variables are evaluated entre (Ranges 0-1-2).
- Representation of impacts in algebraic form: using a grid of variables according to the activity, sensitivity and passivity of the system (system grid of activity and sensitivity/passivity scores).
- Graphical representation of the system.

* Source of Figures 1 to 8. Project Course PF6809 study of cases Professor Ofelia Sanou and: Elvira Demasi, et al. *Puntarenas: el secreto mejor guardado del Pacífico*. University of Costa Rica, System of Graduate Studies, Master's Degree in Environmental Management and Eco-tourism, Costa Rica, November 2009.

Gráfico 2. Matriz de interacciones de los impactos entre las variables

Variable	Pasividad										Actividad
	Impacto de la actividad sobre la pasividad	Impacto de la actividad sobre la actividad	Impacto de la actividad sobre la actividad	Impacto de la actividad sobre la actividad	Impacto de la actividad sobre la actividad	Impacto de la actividad sobre la actividad	Impacto de la actividad sobre la actividad	Impacto de la actividad sobre la actividad	Impacto de la actividad sobre la actividad	Impacto de la actividad sobre la actividad	
Variable 1	1	1	1	1	1	1	1	1	1	1	1
Variable 2	1	1	1	1	1	1	1	1	1	1	1
Variable 3	1	1	1	1	1	1	1	1	1	1	1
Variable 4	1	1	1	1	1	1	1	1	1	1	1
Variable 5	1	1	1	1	1	1	1	1	1	1	1
Variable 6	1	1	1	1	1	1	1	1	1	1	1
Variable 7	1	1	1	1	1	1	1	1	1	1	1
Variable 8	1	1	1	1	1	1	1	1	1	1	1
Variable 9	1	1	1	1	1	1	1	1	1	1	1
Variable 10	1	1	1	1	1	1	1	1	1	1	1
Variable 11	1	1	1	1	1	1	1	1	1	1	1
Variable 12	1	1	1	1	1	1	1	1	1	1	1
Variable 13	1	1	1	1	1	1	1	1	1	1	1
Variable 14	1	1	1	1	1	1	1	1	1	1	1
Variable 15	1	1	1	1	1	1	1	1	1	1	1
Variable 16	1	1	1	1	1	1	1	1	1	1	1
Variable 17	1	1	1	1	1	1	1	1	1	1	1
Variable 18	1	1	1	1	1	1	1	1	1	1	1
Variable 19	1	1	1	1	1	1	1	1	1	1	1
Variable 20	1	1	1	1	1	1	1	1	1	1	1

FIGURE 1. Matrix of impact *



FIGURE 2. Grid size of variables according to activity, sensitivity and passivity of the system*

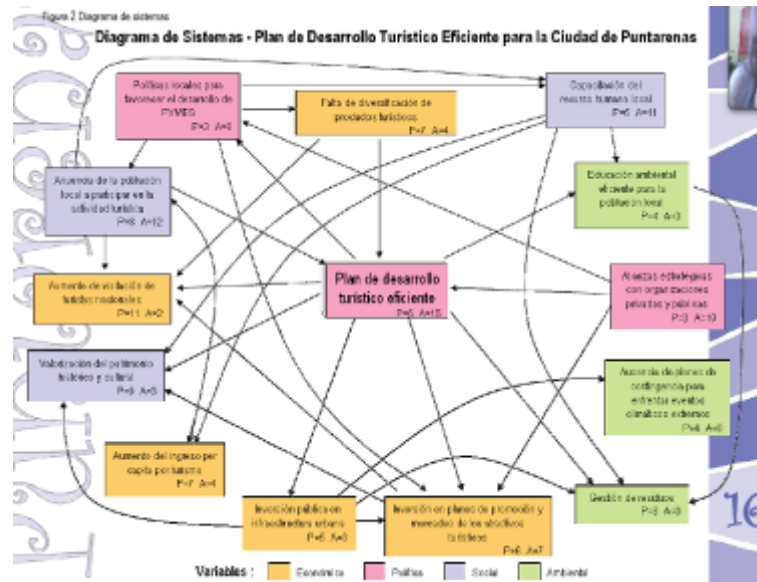


FIGURE 3. Graphic Representation of the System*.

1.1. Formulation of scenarios

In order to select possible scenarios that will represent the future state of the case study, two procedures are followed. The first one is of intuitive character, based on a prospective analysis in order to visualize opportunities and make strategic decisions. The second one is an analytical procedure that assesses whether there is a *logical consistency* between the interactions of the variables of each of the selected scenarios.

In the first procedure, qualitative order, the described scenarios are carefully investigated with unusual sources and based on prevailing forces, trends, attitudes and influences of the actors. As a main source to support the study of scenarios, the 2nd edition of Peter Schwartz's book, *The Art of the Long View: Planning for the Future in an Uncertain World* (New York, A Currency Paperback. Published by Doubleday, 1996), has been used.

The second procedure uses a method called CIM-°©MAC (*Cross Impact Matrix-°©Multiplication Applied to Classification*). The purpose of this method is to take into account the indirect impacts.

The procedures use the *Impact Matrix* or the *Interaction Matrix*, but this time, in order to achieve a greater understanding of the importance of the impact of the system variables

from a dynamic perspective. For achieving that goal, it is necessary to multiply several times the interaction matrix by itself, until the results become stable and it is possible to identify quantitatively which are the ones that will show the most significant secondary impacts within the system.

To understand what the goals of a consistency analysis are, we must understand the difference between the concept of possibility and of probability. A scenario can be logically analyzed and it may become probable. We know that a prerequisite for probability is possibility.

To assess which is the consistency of the factors of a scenario, a tool called *Consistency Matrix (efficient, high, medium, low interaction)* is used. The final result of the consistency analysis will tell if we are facing probable or less probable scenarios.

This means that according to the study of the consistency of the factors of each one of the scenarios analyzed, we will distinguish scenarios with all their consistent variables, and thus, with a higher probability that the scenario occurs, as compared to the scenarios that present a mixture of consistent and inconsistent variables. The assessment of whether the likely scenarios are positive or negative depends on the worldview of the researchers.

Once two or three scenarios are selected, they will be described by way of trial. Here is a brief example of one of the proposed methods as described in Peter Schwartz's book to describe the possible scenarios.

		<div>Plan de desarrollo turístico eficiente</div> <div>Políticas locales para favorecer el desarrollo de PYMES turísticas</div> <div>Participación de la población local en la actividad turística</div> <div>Visitación de turismo nacional</div>					
		Eficiente	Eficiente	Baja	Alta	Baja	Alta
Plan de desarrollo turístico	Eficiente						
Políticas locales para favorecer el desarrollo de PYMES turísticas	Eficiente	3					
Participación de la población local en la actividad turística	Baja	0	0				
	Alta	3	1				
Visitación de turismo nacional	Baja	-99	0	3	1		
	Alta	3	3	1	3		

FIGURE 4. Consistency Matrix of a positive scenario*.

Cuadro 6. Matriz de consistencia del escenario negativo

Variables		<div>Aumento de la visita de turismo nacional</div> <div>Asistencia de la población local a participar en la actividad turística</div> <div>Alcance estratégico de eficientes con organizaciones privadas y públicas</div> <div>Buena utilización del patrimonio histórico y cultural</div>					
		Sign.	No sign.	Alta	Baja		
Aumento de la visita de turismo nacional	Sign.						
Asistencia de la población local a participar en la actividad turística	No sign.						
	Alta	3	1				
Alcance estratégico de eficientes con organizaciones privadas y públicas	Baja	1	3				
		-99	1	0	1		
Buena utilización del patrimonio histórico y cultural		1	0	1	1	0	

* Se analizarán cuantitativamente las alternativas de escenarios posibles dentro de la matriz, obteniendo los siguientes resultados:

FIGURE 5. Consistency Matrix of a negative scenario *.

1.2. Rehearsing the future

Here is a summary of the method described in *Rehearsing the Future* in Schwartz's *The Art of the Long View: Planning for the Future in an Uncertain World*, 191-200:

Let us imagine that we are repertory theater actors. We must prepare our representations, which include three different scripts:

- W. Shakespeare's *The Tempest* (premiered in 1611)
- E. Ionesco's *Rhinoceros* (1959)
- O' Neill's *Long Day's Journey into Night* (1941-1945, premiered in 1956)

On the night of the show, in front of the public, the lights go on and it is at that moment that we will know which play we will represent. A quick glance over small details in the scenery will allow us to know which one it is:

- A palm tree on a shipwrecked island indicates that we are in front of *The Tempest*.
- A bottle of beer in a cafe will indicate that the play is *Rhinoceros*.
- A lamp of the twenties in a room indicates that the work we must represent is O' Neill's.

This is what happens when we use scenarios in the real world; we do not know which scenario will take place. We get prepared to face all three scenarios and train ourselves to view small details, so we can act when we are called to do so. This type of drama is common in complex technologies and is called simulations.

Using scenarios means rehearsing the future, as if we were already living in it. It is executed through simulated events and the individual is trained to recognize which plot will be presented. This helps us to avoid unpleasant surprises, and know how to act.

The realization of a scenario takes us back to consider the original question. We will now address the issue differently, because at this time, we consider possible future events.

The more complex and larger the company results in a more complex and larger scope of scenarios. Simple scenarios should be dramatic and bold, to break the complexity and get straight to the heart of the individual decision. The answer depends on the selected factors.

The role of the scenarios is to order the factors in a way that they can illuminate the decision instead of obscuring it. To achieve this, we must begin by questioning ourselves if the inevitable will happen, or more than what it is already happening.

In order to avoid doubt and skepticism at the Royal Dutch Shell company, the next strategy is followed. Half of the employees create scenarios and the other half travels the world presenting scenarios, for chemicals, refineries, markets, exploration, production and other matters, to the people involved in these issues.

The basic task is to convince people to avoid skepticism towards the future offered to them and make sure that at least one of the scenarios presented will change their beliefs. For example, a predicted scenario is presented to them, and once achieved, utilizes real data supported by cartoonish or symbolic images.

There is an irresistible tendency to select a single scenario over the others, because it is the one in which we believe. However, scenario planning helps us to prevent or lessen doubt

and skepticism about other future scenarios. If we come to believe that any of them can happen, then we will be prepared to face what might happen.

Few people possess the negativity of perceiving a bleak future. Others do not believe in the realization of optimal scenarios; they see these scenarios as unrealistic and they get disenchanted, although they could provide enormous opportunities, such as growth, innovation and change.

The technological changes that continue an evolution are not necessarily a game of winners and losers. Simple simulations are used by computer to incorporate scenarios as a means of testing. Unfortunately, governments do not use this system, but only focus on the vision of the official future.

Warning signs should be sought: small signs that can tell us that the change is present. Some become real, others do not. If three or four of those events become real, that is enough to see solid evidence.

2. Case study of Puntarenas

2.1. Background

Puntarenas is Costa Rica's main port city in the Central Pacific region. Since the colonial period, it has been an important place to import products from South America, Chile, Peru, and Panamá as well as to export tobacco to Guatemala. It was declared a main port in 1814. In 1848, it acquired great importance by its commercial peak with the import and export of all kinds of products in America and Europe.

After the construction of the railway to the Pacific area and the improvement of the infrastructure of the city, the completion of the Inter-American Highway instigated a tourist boom, which declined in the 1980s. The city came to be known as the national resort. The country went into recession, and moved the main port to Caldera, and then other areas were fitted out for national tourism.

At the end of the 20th century, an institutional and commercial effort to boost the local economy and tourist attractions started. A dock for the arrival of cruise ships was conditioned and a marine park was constructed.

According to a 2004 study performed to propose a strategy for the sustainable development of the Central Pacific region, socioeconomic-development indicators in the region showed that households in extreme poverty were higher than the national average by 34%, versus 22% for the national average. The analysis of the main sectors of the economy showed that the dynamics of the regional economy is not favorable for employment generation and that the overall wages are higher than the minimum.

Although aquaculture, which is the primary sector, has a significant potential in education, it requires further training studies and equipment. The fisheries sector is facing a major crisis in the overexploitation of marine resources focused on artisanal fishermen in the Gulf of Nicoya; this is one of the groups with the worse socioeconomic-ranking conditions.

The activity in livestock and agriculture is not very dynamic. The industrial sector is in a deep crisis with 1,800 jobs lost in recent years. It is necessary to promote an industry that generates added value to local production, mainly in processing and transformation. The impact of tourism is important in generating employment, but does not reach the most vulnerable population sectors.

2.2. Student's proposal

The case study of Puntarenas was realized during the third quarter of 2009 (September - December). Eighteen students from different specialties worked on the project, including architecture, biology, ecotourism, and geomatics engineering applied to the environment, as well as various nationalities: Canada, Brazil, Colombia and Uruguay, Mexico, and Costa Rica.

The students were divided into three groups according to their preferences. Once the tour to the city of Puntarenas was finished, they raised three issues or research problems. These included the issue of small-scale fisheries in the port as one of the most important means of production of the place; environmental management; and tourist development of the port. The names that the students gave to their projects and the objective of their research were:

- *Environmental management in Puntarenas: environmental challenges and opportunities*. General objective: Reduce water and soil pollution in the sandy sector, sustain the estuary in Puntarenas to preserve biodiversity and improve the quality of life of the inhabitants
- *Piangüeros*. General objective: Develop a model of sustainable use of resources in the maritime coastal area in order to improve the quality of life of the community of Puntarenas.
- *Puntarenas: the best-kept secret of the Pacific*. Objectives: 1) Reactivate Puntarenas as a national tourist destination of sun and sand, cultural and natural heritage for middle- and upper-class families. 2) Assess the feasibility of implementing an effective tourism-development plan that promotes Puntarenas as a national tourist destination in the Central Pacific area of Costa Rica.

Throughout the whole development process of the themes or sub cases, students performed various group dynamics in order to know their progress, make comparisons, think about and criticize their advancements. There were coincidences in the definition of some impact factors.

2.3. The Case: Puntarenas, the best-kept secret of the Pacific

The Project Course PF6809 Study of Cases is taught by Professor Ofelia Sanou and Silvia Karina Valentinuzzi. The case study was: Elvira Demasi, et al. *Puntarenas: el secreto mejor guardado del Pacífico*, University of Costa Rica, System of Graduate Studies, Master's Degree in Environmental Management and Ecotourism in November 2009.

In order to visualize and analyze how a case study dedicated to tourism was treated, we will discuss in this essay: what the problems and research questions raised by students were; the impact factors, and both scenarios — positive and negative — that resulted from the implementation of the methods using *Formative Scenario Analysis* and MIC-^oMAC (*Cross Impact Matrix-^oMultiplication Applied to Classification*). The following is a textual description of the problem conducted by the students:

“Puntarenas has traditionally been a place of high visitation for Costa Ricans, especially due to its location just two hours from the Central Valley, making it a potential tourist destination for those who live within this area. For this reason, the tourist offer presented in Puntarenas is targeting national tourism

of sun and beach especially. The profile of tourists who visit Puntarenas belongs to the middle or lower-middle social class, usually visiting the region in a single day that, in addition, carry with them everything they need for their recreation and leisure.

The tourists who visit the city of Puntarenas apparently leave no economic benefit in the place, possibly due to the high prices offered in different areas, such as food, lodging and tours. Compounding this problem, there is not an expected productive chain for a tourist destination. Therefore, the direct jobs generated in this sector are scarce and consequently, those indirectly generated are even greater.

Currently, Puntarenas requires a significant investment in infrastructure to attract domestic tourists, so that they feel motivated to stay for more than a day in the city. To achieve this goal, we consider imperative to improve the hotel facilities so that the price and quality is fair. Added to this, it is also necessary to improve the supply of food establishments, increasing their range and using indigenous resources.

Although tourism in Puntarenas has focused on sun and sand, this area has many touristic attractions that could be a perfect complement to a well-deserved break. These tourist attractions include mangroves, water sports, adventure, nightlife and the Pacific Marine Park. In addition to these attractive offerings, there are other possible tourist zones to be developed, such as Tortuga Island, San Lucas Island, Chira Island, as well as other islands of the Gulf of Nicoya.

Because of Puntarenas' geophysical conditions, it is imperative to develop a contingency plan for extreme-weather events. In case of a possible rise in sea level due to global warming, the degree of vulnerability of the city will increase, so it is necessary to design and establish evacuation plans in the event of adverse conditions for permanence in the peninsula.”

2.2.1. Research questions

- What are the improvements and additions to the infrastructure needed to support a proper tourist proposal and focused on middle- and upper-class families and school children?
- What is the perception of the people from Puntarenas regarding the tourism activity in the city?
- What are the human-resource competencies in Puntarenas to develop tourism?
- What have been the reasons by which the tourist ventures are currently abandoned in the city of Puntarenas?

2.2.2. Impact factors

Variables económicas	Variables políticas	Variables sociales	Variables ambientales
Inversión pública en infraestructura urbana	Políticas locales para favorecer el desarrollo de PYMES turísticas	Capacitación del recurso humano local	Gestión de residuos
Inversión en planes de promoción y mercadeo en los atractivos turísticos	Plan de desarrollo turístico eficiente	Anuencia de la población local a participar en la actividad turística	Ausencia de planes de contingencia para enfrentar eventos climáticos extremos
Falta de diversificación de productos turísticos	Alianzas estratégicas con organizaciones privadas y públicas	Valorización del patrimonio histórico y cultural	Educación ambiental eficiente para la población local
Aumento del ingreso per cápita			
Aumento de la visitación de turismo nacional			

FIGURE 6. Variables.*

2.2.3. Review and synthesis

When defining the issues of the case study, Puntarenas the best-kept secret of the Pacific, the students clearly identified that Puntarenas in 2009 was a tourist destination of sun and beach for the middle and lower classes. They pointed out that the members of those social groups were travelling on their own and were carrying what they consumed. Food, lodging and tour-operator prices were out of reach and generated little direct employment.

They established the need to invest in infrastructure, expand the range of services in variety, quality and price. They identified several natural, adventure and nocturnal attractions including the Marine Park, which had been recently inaugurated. In their analysis, the students did not take into account the imminent opening of Route 27, the so-called Highway to Caldera, while they guessed that the opening of this road would be done in a span of five months. They did take into account, though, the effects that climate change could have in Punta de Arena, such as floods caused by the rising sea levels and ocean currents in the Pacific

In describing the case, they did not mention the existence and importance of cultural heritage, or the need to exploit it as a tourist resort. Neither did they take into account the influx of cruise ships and the potential economic impact that this will have on the region.

Interestingly, when the students were told that the selected place to define the case study would be the port of Puntarenas, they protested and expressed that the place did not have the potential to be offered as a destination for sun and beach or a place to welcome cruise-ship passengers. They considered that the urban façade presented to tourists and travelers from the pier, and the promenade and the beach were not in good environmental or aesthetic condition. The site was not an optimal place for these type of users. They did not see the proposal as a good place for tourism businesses to succeed.

The research questions were directed at seeking alternatives to the profile of existing national tourism visitation, and to find out what the perception of the local population had on tourism. Which opportunities were offered to the locals? What capabilities were needed so that they could get involved in the tourism business?

Students began to appreciate local cultural heritage as an impact factor several weeks after the investigation began. They assessed it through a research approach by participatory observation, and identified what the intangible heritage of the port was: its traditional festivities like the Carnival and the Feast of the Virgin of the Sea, what the ways of life of the

local population were, which were the typical foods, what were the production and recreation activities around the sea, and what were the urban, architectural and landscape values of the place.

After applying the method of integrated knowledge to define the scenarios and the procedure called MIC-^o © MAC (Cross Impact Matrix-^o © Multiplication Applied to Classification), two possible scenarios were described with four variables each. One was of greater consistency and rated by students as positive, and the other one was rated as negative and less consistent.

As a positive scenario, they selected one where a variable — low participation of the population in tourist activity — had low consistency and, therefore, would have heavy bearing on the performance of the other three variables that had good consistency. The three variables which showed positive consistency were: high visitation from domestic tourism, efficient planning of tourism development, and local efficient policies to strengthen the development of tourist PYMES (small- and medium-sized enterprises). Students rated this scenario as realistic and feasible.

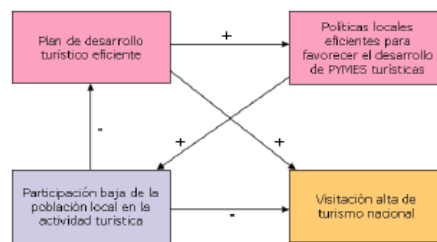


FIGURE 7. Diagram of the positive scenario system *



FIGURE 8 Diagram of the negative scenario system *

In the negative scenario two variables were assessed as consistent factors: increase in visitation from domestic tourists and good national and historic cultural-heritage assessment. The other two factors of impact were rated as negative: poor strategic alliances between public and private organizations, and low agreement of local people to participate in tourism.

3. Follow-up to the case study, November 2009-July 2013

With the purpose of analyzing if in recent years there has been a tendency to favor the two scenarios for students, we have to look at what was the impact of the opening of Route 27 and the infrastructure improvements in order to see if visitation from tourists increased and if their profile changed. Secondly, had an efficient tourist-development plan been implemented? Thirdly, we must analyze which have been the policies and local initiatives to strengthen the

development of the tourist PYMES. We also needed to consider whether there have been public and private organizations with strategic alliances in the negative scenario for which students had low expectations with respect to this variable. In fourth place, we analyzed whether the local population is involved or has the willingness and opportunities to participate in tourism. In both scenarios, positive and negative, the students considered a low possibility that there is a local participation with tourism.

Finally, a new subsection analyzed what has been the historical and cultural heritage assessment by authorities and community, and what have been the effects of natural disasters and climate change on these infrastructures.

We gave consideration whether there was potential of using it as a strategy to attract tourists. The students considered this alternative in the negative scenario with little hope of achieving a good use of resources without altering its authenticity.

3.1. High visitation from national tourism

The opening of Route 27 or the “Highway to Caldera” was inaugurated on January 27, 2010, five months ahead of schedule and thirty-two years after its design (1978). It was designed to reduce the travel time between the capital and the main port of the Pacific (Caldera). It was hoped that in addition to facilitating the development of different sectors of the country, it would have added value for tourism.

The day of the inauguration, the National Chamber of Tourism, CANATUR, considered that this road would be a great opportunity for the development of tourism in the Central Pacific, the estimated travel time from Ciudad Colón to Caldera would now be only 45 minutes. It would be an opportunity for new touristic entrepreneurs to use the route to offer new services in accordance with the profile of tourists who are committed to this area. A newspaper article stated that:

“According to data from the Department of Research and Statistics of CANATUR, about 37% of tourists who entered by the Juan Santamaría International Airport in the first half of 2009, visited the Middle Pacific, while 13% visited the North Pacific.

Areas of the Central and North Pacific that will benefit with the new route to Caldera are highly visited by foreign tourists. 37.5% of the total are Americans, 43.5% Canadians, and 45.2% Europeans. These groups visited the Central Pacific, while the North Pacific is more frequented by Canadians (22.1%) and Europeans, with 23% of the total number of tourists from that origin.

In terms of domestic tourism, figures provided by the Department of Research and Evaluation of the Costa Rican Tourism Institute (ICT), indicate that the areas most visited by the local tourists are the Puntarenas beaches and the islands of the gulf (including the Port and City of Puntarenas, Cabo Blanco, Montezuma, Mal Pais and Santa Teresa) with 29.3% of visitation, Northern Guanacaste with 27.2%, and the Central Pacific with 25.2%.

Ramos believes that the benefit that these types of initiatives provide to a depressed area, where job creation depends on a few companies, is of great importance. The Report of the State of the Nation identifies the Central

Pacific region as one of the areas where there was a greater increase in poverty in 2008 (4.9%).”²⁹

What actually happened was that the premature opening of the road had serious consequences. A lawsuit was brought against its construction, and during the winter, there were severe emergencies of landslides due to its design.

However, according to statistical data released by the ICT, between 2009 and 2010 there was a big difference in the influx of tourism. The traditional national tourist visitation going to Puntarenas increased progressively, not only on weekends and holidays, but also at vacation breaks during the school year.

In the beginning, the days with increased inflow of tourists were the Easter week and the traditional Carnival in Puntarenas, which is celebrated in February. Later, increasing visitation was achieved during the mid-year vacation period, as well as the celebrations of the traditional Festival of the Virgin of the Sea carried out in the first two weeks of June.

The typical profile remained of the national visitors who traveled in public buses or their own automobile to visit the zone for the day and brought with them what they needed, like chairs, umbrellas, and food. Despite this, informal trade and supply grew dramatically with innovations of typical traditional meals (Churchill, chuchecas and vigorón). In addition, there was an increased the supply of souvenirs, handicrafts and clothes for summer cruise travelers and the national tourists.

In November 2012, a newspaper article draw attention to the force that was taking the national tourism to the “Pearl of the Pacific,” and pointed out that neither the strong earthquake that had occurred in September of that year, nor the dirty beaches had prevented the growth of the influx of tourists:

“...it has been over a month since, after a twelve-year break, the old resort in Puntarenas reopened. It is now known as the “San Lucas Beach Club”, and since its inauguration, it has become a key point to make tourists “fall in love”.

Everything indicates that Caldera will be the next attractive “boom”; the construction of the promenade is already 75% completed, and it is scheduled to be ready in April.

According to Urías Ugalde, Executive President of the Costa Rican Institute of Pacific Ports (Infocop), the promenade will offer to the public parking space for 90 cars, and it will incorporate showers at the beach, toilets, dumpsters and a place for selling fast foods.

The Chamber of Tourism reported that according to studies, the flow of tourists is stable despite the strong waves that struck Caldera, after the earthquake of September 5th.

To take advantage of New Year’s Eve and the arrival of the holidays, the province will provide easy access to the islands of San Lucas, Tortoise, Chira and others.

Aura Jimenez, Mayor of Puntarenas, said they will also fix the main roads to allow smooth transit in these times. She added that there will be 70 people cleaning the beaches and their surroundings. “Puntarenas has everything tourists need to have a nice fun day, but the wastes generated are hell, and we fight here all the time to keep the environment clean,” said Jiménez.³⁰

²⁹ *Apetito en Línea*, (27 January 2010). <http://www.apetitoenlinea.com/carretera-a-caldera-estimular-turismo/>.

³⁰ http://www.aldia.cr/ad_ee/2012/noviembre/18/nacionales3388760.html

3.2. Efficient tourism-development plan of infrastructure and tourism management and which alliances were made between the private and the public sector

According to the above, it was demonstrated that between the years 2009-2001,³¹ there were several projects launched and promoted by the government and the local Chamber of Tourism to improve the conditions of the areas visited by domestic tourists and to increase the supply of attractions:

- The public resort located in the point was remodeled and reopened.
- Sea walls were used and the lighting along the Paseo de los Turistas was improved.
- The construction of a Museum was planned to expose the various marine animals of all sizes.
- In Caldera, the construction of a promenade was started, which was scheduled to be completed in April 2013.
- A project to start a new cruise route from Mexico to Costa Rica was considered.
- The offerings of services for promenades to the islands of the gulf increased.

The Chamber of Tourism of Puntarenas, the Costa Rican Chamber of Hotels (CCH) and the National Institute of Cooperative Development (INFOCOOP) participated in the Carnival in 2013, which lasted ten days. Community organizations were responsible for taking care of the pier, parks, and the new resort. The police and the Red Cross were in charge of security.

Among the activities carried out in the tourist pier, along the promenade for the tourists, and at the beaches, we can mention fireworks, the crowning of the Queen of the Carnival, and the realization of horse displays, dances, beach games, tournaments, fishing in addition to a massive concert with national and international musical groups. The Feast of the Virgin of the Sea in 2013 was celebrated with great hype due to the celebration of its centenary. National authorities were invited. The activity was inaugurated with the celebration of a mass in the Cathedral. More than 70 vessels accompanied the route of the Virgin by the Gulf of Nicoya. On this occasion, the hotels had 97% occupancy rate with a prior reservation of 85% of the rooms. Near Caldera, Esparza, and Orotina, the food businesses increased their sales.

3.3. Characterization of micro businesses in Puntarenas and policies to promote the development of tourist PYMES

The conclusions of a study carried out in 2006 noted that micro and small enterprises accounted for more than 70% of the companies in the sub-region, and productive sector environments could be located. As the table in Figure 9 shows, companies are mainly engaged in trade and services, and manufacturing firms exist on a smaller scale. According to the study, there was a great decrease in the activities of the agricultural sector (Inter Headquarters. Vol.

³¹ http://www.aldia.cr/ad_ee/2012/noviembre/18/nacionales3388760.html.

X. (19 - 2009). 1-21 ISSN: 1409-4746 1) Jorge Bartels Villanueva. *Characterization by productive enterprise sector of the sub region of the great Puntarenas*, Costa Rica (2006).³²

2006 Sector	Nº of enterprises	%
Trade	1429	65,4
Services	583	26,7
Manufacture	119	5,4
Transportation	23	1,0
Agriculture	14	0,7
Construction	8	0,3
No classified	9	0,4
Total	2185	100,0

FIGURE 9 Great Puntarenas: Enterprises by Industrial Sector. Source: Elaboration of the researcher based on the *Survey of production and employment in the sub-region of the great Puntarenas*, 2007.

Six years later, in a report to the Congress of the Republic, on the economic and business development in the region of Puntarenas of 2012, the Minister of Economy and Trade pointed out that the category of *occupation not qualified in the private sector* was the one with the biggest percentage of people with employment, followed by *commercial*.

The development of small and medium-sized enterprise PYMES in 2012 shows the following percentages:

- 71.46% micro enterprises
- 24% small
- 3.5% medium-sized
- 0.85% big

On that occasion the Minister recommended:

Promote with greater dynamism projects, such as the Cluster (maximize competitiveness in networks and value chains of products) for loading and unloading for the Costa Rican Institute of Ports of the Pacific (INCOP), promotion of the free-trade zone as an attraction of investment in the area under the responsibility of the Ministry of Foreign Trade (COMEX), tourism projects, among other. And she pointed out that in the region, there are State and private institutions, such as the Instituto Nacional de Aprendizaje (INA), universities, the Ministry of Agriculture and Livestock, National Institute of Fisheries and Aquaculture (INCOPELCA), Ministry of Labor and Social Security, the Costa Rican Tourism Institute (ICT), Chamber of Tourism, among others that can articulate and coordinate efforts for the development of the province.

The academic community has undertaken important initiatives to strengthen PYMES and local development. In the framework of the program of regionalization of the National Council of Rectors (CONARE) 2011, there was a presentation about the projects that public universities performed in the Central Pacific Region.

Among the projects presented, they mentioned fostering the competitiveness of PYMES in the Central Pacific and the creation of courses for strengthening the human capabilities of the people who are associated with tourist PYMES. The creation of four

³² The sub-region in question known as the Great Puntarenas, includes the area comprising the districts or Puntarenas, Pithaya, San Isidro, Barranca, El Roble, Espíritu Santo and San Juan Grande.

English modules for Rural Tourism was emphasized, as well as the four groups of Rural Tourist Guides for Puntarenas, Esparza, Miramar and the Chira Island.³³

In 2013, the Costa Rican Tourism Institute created an incentive for hosting tourists, a voluntary recognition granted by the ICT for tourism businesses that meet certain legal, technical and economic requirements.

In a newspaper article of March 2013, it was noted that of the 489 companies that had provided tourism services, 24.3% were in Puntarenas. Travel agencies and restaurants are the second and third businesses with this kind of declaration in the country. Recipients who have this recognition will be included in the official lists of ICT, and will have access to training and participation in international fairs.³⁴

Despite the effort that has been made to increase the micro-enterprises and train stakeholders, these projects have not significantly contributed to the unemployment situation of the port of Puntarenas. According to the population census of 2012, Puntarenas has a population of 410,929 inhabitants. One of its biggest problems is unemployment; the central region has the highest rate in the country.

12.5% of the total of the Economically Active Population (EAP) in the region is unemployed. 23% of households in Puntarenas live in poverty.

There is a gender inequality in jobs in the Puntarenas region. Men are located mainly in the primary sector in jobs related to fishing, agriculture, and manufacturing. Women are located in the services sector in jobs that do not guarantee their rights and social security. Women head a third of the households living in extreme poverty.

At a roundtable on employment in the Central Pacific⁵ organized by authorities of the political, academic and business sectors of Puntarenas in November 2012, several problems were pointed out, such as the need to face the growing development of an informal economy and, added to this, the scarcity of jobs, low schooling of most of the population, the lack of formation of micro-enterprises and gender inequality. To take on the challenges of employment in the Central Pacific area, it was proposed to strengthen the tourism and the Central Pacific Fisheries sectors, and to support business-recovery initiatives (Free Zones).

The analysis of promotional strategies and projects being made by the Costa Rican Tourism Institute (ICT) and the National Institute of Pacific Ports of Costa Rica (INCOP) so that more cruises dock at the port of the Pacific and the Caribbean, could stimulate creating more micro-tourism businesses; however, that project analysis and dynamics currently being followed are outside the scope of this paper. The cruise season runs from September to May. The ICT reported the arrival of 256 ships between 2009 and 2010, and 247 ships between 2010 and 2011.

4. Conservation status of local cultural heritage and actions taken to give it value

4.1. Valuing the historic architectural heritage

In our country, we have made significant efforts to link the actions performed by the national institutions responsible for safeguarding the cultural heritage of the country. They

³³ <http://www.tec.cr/prensa/Informatec/2011/marzo/n3.html>

³⁴ http://www.elfinancierocr.com/negocios/turismo-Puntarenas-declaratoria_turistica-ICT_0_269373064.html

have passed laws and signed international conventions to protect the *historical and architectural heritage, archaeological and intangible* heritage of different regions of the country.

Currently Puntarenas property has ten *Declarations of Real Estate*, protected by the 7555 Act of October 20, 1995:

- Two in the heart of the city: the parish church and the old barracks
- Two municipal properties, the market and the old slaughterhouse
- A maritime tradition: the Captaincy
- One neighborhood and school: The School of Barrio el Carmen
- An urban park: Parque Mora y Cañas
- One archaeological and natural site in La Isla de San Lucas
- One penitentiary: the Old Penitentiary San Lucas
- One accommodation: Faith House

Despite the efforts made by the state, the National Heritage Commission has found that many buildings of architectural and historical value, protected by state institutions, have been abandoned or are in poor state of repair. The enormous political, social and economic efforts that the previous administrations have made have been underestimated.

One of the reasons for that abandonment or state negligence is that the original function assigned to these buildings became obsolete due to changing government policies or by closing institutions that were responsible. These structures retain their technical and aesthetic values, and have a high potential for reuse. The institutions in charge of the properties transfer them to other public or private instances, but are not sure if they will give them a good use or will keep them. If only they studied their spatial characteristics, and their location in the place, they could add value and assign new functions to them.

In Puntarenas, three emblematic buildings have the problems noted: the Customs Building, the Monsignor Sanabria Hospital, and the Municipal Building. The first one is a large concrete-hangar roof with a beautiful steel structure; beautiful proportions and Art Deco design. It is currently underutilized and could, however, become a large field of fairground — a site for maritime exhibitions.

Two valuable buildings from the second half of the twentieth century —built in the decade of 1960-1970, both monumental cross-shaped designed to meet the needs of lighting and ventilation of the port, have had their occupants partially evicted. Among the external reasons mentioned, earthquakes have affected them and their repair is expensive.

Due to the recurrent seismicity of our country and the results of the damage caused by earthquakes, the country's seismic code is revised repeatedly, especially after the 1970s earthquake in Nicaragua. In Costa Rica, there are many public structures built in the 1950s and 1960s that have been reinforced to meet the new requirements of the current seismic code.

After an earthquake in March 1990, ten floors of the Sanabria Hospital structure were revised because the epicenter of the earthquake was located just 40 kms from the building. This structure was the location of the program for measuring strong earthquakes in Costa Rica, and this building was in process of structural reinforcement.

After the aforementioned assessment of the Hospital Monseñor Sanabria, the building was repaired, and the defects in enclosing wall structures (lattices or the façade's brick masonry) were monitored. A recent earthquake on September 5th, 2012, again caused damage to walls and other minor impacts in some structures. On this occasion, the authorities

responsible for the policies evicted it partially, stating among other issues, the possible effects of liquefaction of the land, as well as the growing sea-level rise, and possible future tsunamis.

Prior to the earthquake of September 5, 2005, the town-hall building was diagnosed with severe damage due to the collapse of some concrete. Subsequently, some structural damage, not so serious, caused by the recent earthquake was diagnosed. The carelessness towards the building and its surroundings is pathetic despite being a masterpiece of the 20th century. The replacement and transfer of these important buildings multiplies the investment that would be used to repair and alter the vocation of the surrounding area, which was formed gradually. The study of what are the social, cultural and economic impacts that will yield the new institutional policies is still pending.

The local railway stations, especially Caldera's, made of concrete and of great beauty, are also abandoned. Other monuments that should be valued and taken care of are the water tanks of the city; they are beautiful and sculptural. All structures related to marine activities, such as different coastal docks, ferry, etc. should not be forgotten either.

The emblematic neighborhoods of Puntarenas and vernacular houses are representative of the lifestyles of the local population. Little has been done to make an inventory and preserve this heritage. The same happens with the old houses located in front of the tourist boulevard, and even less has been done for the ones beside the estuary. The simple fishermen's neighborhood of small cottages has an urban layout whose relationship with the estuary is remarkable. The peculiar use of the local public space is a scenario of some customs of this population.

4.2. What can be done or what has been done to exploit the potential of the local cultural heritage?

We believe that economic valuation of cultural heritage that provides for the *Economics of Preservation* is an important means to encourage the participation of national, regional and local authorities in the safeguarding of the cultural heritage of populations and urban areas, in order to take appropriate financial actions to achieve the plans of promotion and management of its municipalities.

The Economics of Preservation provides a methodology for cost-benefit analysis of cultural heritage. It considers cultural heritage as a cultural capital that has economic and cultural benefits as an asset that can be depreciated, and therefore, as a non-renewable resource, requires us to take care of it, and to consider the need for establishing a balance between use and conservation.

In the last five-year period and in the local context, academia and local organizations have made significant efforts to identify, rescue and promote intangible heritage, landscapes, and the vernacular and institutional architecture of historical and architectural value. An example of this is the work done by academic staff and students of the tourism studies in the headquarters of the University of Costa Rica in Puntarenas, the National Technical University, Liceo José Martí and civil organizations, such as the Ateneo de Puntarenas and the Foundation of the House of Culture, in identifying the rescue of musical traditions, dance, theater and other arts, craft and gastronomic activities of people from the port city. Research has been conducted, the bearers of tradition have been identified, and a program of cultural tourism is being developed.

The Festivals of the Ministry of Public Education (Festival of Creativity: today's Student Arts Festival FEA) have contributed to the revival of identity due to the vision of regionalization of education. This has increased the self-esteem of people from Puntarenas, which is expressed in their traditional festivals and is now generating an incipient but profitable way for local small businesses. Some proposals have been implemented which are:

- Folkloric Projection Group "Brisas del Pacífico" of the UCR Puntarenas Headquarters 2008-2011
- Group of Folkloric Dance "Añoranzas"
- Cultural Group "Arena y Sol"
- Port Entertainment Group: "El puerto lleno de vida" (cultural tourism offer for hotels, cruise ships, and others). This major project includes several cultural activities, such as dance, sports, artistic presentations, promotion and demonstration of crafts, and food tasting.

To that cultural macro project, we add two more projects that are at different levels of development: a *Gastronomic Tourism Tour* and the project *Cultural Tour* or *City Tour* in Puntarenas. The latter was designed by students in the eco-tourism studies at UCR in three modes, pedestrian, bicycle and bus, and culminates with a gastronomic demonstration.

Two newly developed documents allow us to learn more about the significant effort that has been made in the last five-year period for revealing and rescuing cultural heritage of the port. The first one is being published, and the second one performed by students of the Pacific Headquarters of the UCR: Pedro Garcia Blanco *The History of Performing Arts in Puntarenas in the Framework of Cultural Identity*, (Puntarenas National Technological University, 2013) and the Bachelor's degree in eco-tourism, in Arnoldo Ferreto Segura Headquarters, *Project for Building a Cultural Tour in the City of Puntarenas*, (Puntarenas Pacific Headquarters University of Costa Rica, 2012). The information obtained in these documents was completed with an interview conducted in July 2013 on the professor and researcher at UCR and UTN of Puntarenas, Pedro Garcia Blanco.

5. Conclusions as to the expected scenarios

According to our criteria and valuation analysis, the behaviour of the impact factors of the scenarios — positive and negative — are different from those provided by students.

5.1. Varying consistencies

Institutional weakness persists because partnerships between the public and private sector in the formulation of effective policies and strategies have not greatly helped to improve the socioeconomic situation of the Central Pacific region and, specifically, for the population of the port of Puntarenas.

Instead, we need to visualize an important strength of the local population is to maintain their identity and traditional lifestyles. Some of its traditional festivities are taken advantage of for tourism. Significant efforts are being invested by academic and local organizations in order to investigate, disclose and value different aspects of local identity, intangible and tangible. Additional efforts are being made to exploit this resource as a business offer in tourism.

5.2. Further observations on changes in impact factors

While the opening of Route 27 has greatly increased tourist visitation, there have been no changes in the traditional profile of the tourist. The amount of supply of services has increased and there have been innovations, but not enough to attract leisure tourists other than those that traditionally come anyway, or to create more jobs for local people. Efforts have been made by the public, private and local organizations to improve the space infrastructure for receiving traditional tourist cruises.

There have been efforts and proposals to encourage the creation of more local PYMES. These have identified the local socio-economy, but have not been accompanied by a strategy that is effective in improving vital shortcomings for most of the local population, as, for instance, training and educational opportunities for all segments of the population, thereby creating jobs, credit and business opportunities for others. There has been a considerable growth of the informal sector in the provision of local services and retail trade.

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Institution or Organization as “Author”

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ALIANZAS PARA MITIGAR RIESGOS QUE AMENAZAN LA CONSERVACIÓN DEL PATRIMONIO CULTURAL INTANGIBLE: ALGUNAS REFLEXIONES PARA EL CASO DE COSTA RICA

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ABSTRACT

The aim of this paper is to share some experiences, based on the Costa Rican society, which address the risks of some of the intangible cultural heritage and to estimate the role of different institutions facing the challenge of safeguarding this heritage. This cultural heritage is threatened by the substitution of identity and the transformations which result from alienation or foreign imposition.

In the current phase of globalization, tourism has great influence in equity. However, this industry may either play a role of threat or opportunity, depending on the way it is inserted in public policies and programs of heritage conservation. The ambiguity and complexity of this phenomenon hinders the possibility of a clear and objective management in favor of projects which include both sustainability of cultural heritage and tourism is a particular region or village.

ICOMOS paid attention to this challenge by adopting the “International Charter on Cultural Tourism,” to facilitate and encourage dialogue between the interests of the industry and the conservation of natural and cultural heritage. However, it is difficult to follow the recommendations provided in this document, as several factors influence the achievement of this goal. On one hand, there is the community which produces the assets and receives the tourists and on the other hand, various public and private entities.

To overcome this challenge, we propose a tripartite partnership between communities, municipalities or local governments and educational institutions, both formal and informal. ICOMOS could assume an educational role in this process.

1. Introducción

Cada fase de la globalización es un reto para la conservación del patrimonio cultural, pues las modalidades de afectar los bienes culturales varían de una sociedad a otra. Por lo tanto, hay que estar alertas y tomar las medidas necesarias para enfrentar estos factores de riesgo.

El objetivo de esta ponencia es compartir algunas experiencias en torno a los peligros en que se hallan algunas expresiones del patrimonio cultural inmaterial y estimar —en el

marco de la sociedad costarricense— el posible rol de diferentes entidades de la sociedad civil, ante esta gran empresa. En consideración a la diversidad disciplinaria de los participantes en este encuentro de ICOMOS, en una primera parte de la ponencia, me referiré a las nociones de patrimonio y turismo. Este último es el emblema de la modernidad tardía y su carácter ambiguo y contradictorio, puede ser abordado desde múltiples aristas y provocar actitudes encontradas o de alianza.

En la segunda parte de la ponencia, expondré una sinopsis del estado de las expresiones del patrimonio cultural intangible de Costa Rica, con una nota específica a las que son susceptibles de convertirse en —o ya son— recursos turísticos. Finalmente, me referiré a los riesgos que amenazan algunos bienes del patrimonio inmaterial y las propuestas o experiencias para enfrentarlos.

2. Patrimonio y Turismo: un maridaje común en lo global y lo local

El fin de esta comunicación es compartir algunas inquietudes acerca del vínculo entre el patrimonio cultural inmaterial y la industria cultural turística y, en particular, acercarse a algunas experiencias observadas en el ámbito de local costarricenses en el contexto de un mundo globalizado.

Al plantear este tema, encontraremos —parafraseando a Umberto Eco (1984), en relación con las actitudes opuestas sobre la cultura de masas— puntos de vista tan disímiles que calificamos de “apocalípticos”, ya que acusan al turismo de destructor de las particularidades y tradiciones culturales, y de “integrados”, que claman por incrementar el turismo como el salvador de las comunidades, como opción para salir del subdesarrollo y como fuente de empleo.

Consideramos que, si bien pueden existir casos concretos en que el impacto del turismo sobre el patrimonio se ubique en alguno de los polos citados, en la mayoría la realidad es de matices variados, con la mezcla de sentimientos y razonamientos influenciados por la tradición y la innovación, la preservación de lo patrimonial y la promoción comercial de lo turístico.

Cuando tratamos estos temas —complejos y diversos— el primer tropiezo es encontrar una noción que satisfaga a los diferentes actores sociales interesados en la cuestión de conservar el patrimonio, por lo que iniciamos esta ponencia con una puesta en común de estos conceptos clave que, debido a su carácter polisémico, a menudo son objeto de confusión o de discusiones absurdas.

El patrimonio cultural. La etimología del vocablo “patrimonio” proviene del latín *patrimonium* y se origina de la jerga jurídica, que lo ha empleado para referirse a las pertenencias del *pater familias*, a la propiedad que el padre lega a sus hijos. Durante muchos siglos el patrimonio aludía a la esfera de lo privado y lo aristocrático; por ejemplo, las colecciones de antigüedades o de arte. Esta noción restringida, en cuanto a género y semántica ha cambiado y se ha ampliado a lo largo de la historia, de manera que es lugar común que el patrimonio nos remita a herencia, legado, raíces, posesión nuestra, hechos compartidos, en fin a identidad cultural. Transcribimos lo apuntado por el antropólogo mexicano Guillermo Bonfil Batalla (1992: 129), quien al respecto nos dice:

“... cuando hablamos del patrimonio cultural de un pueblo, nos estamos refiriendo precisamente a ese acervo de elementos culturales, tangibles unos, intangibles los otros, que una sociedad determinada considera suyos y de los que echa mano para enfrentar sus problemas (de cualquier tipo, desde las grandes crisis hasta los aparentemente nimios de la vida cotidiana); para formular e intentar realizar sus aspiraciones y sus proyectos; para imaginar, gozar y expresarse.”

De este texto podemos desprender dos grandes ideas: por un lado, que el patrimonio cultural posee componentes de diversa índole: material e inmaterial, mueble e inmueble. Por otro, que el patrimonio no es estático, se halla en dinamismo: en la realidad concreta hay expresiones culturales desaparecidas, otras vigentes o en vías de extinción, de revitalización, de resignificación, gracias a la flexibilidad y capacidad de crear y recrear que tenemos los humanos. En este cambio intervienen agentes internos y externos al contexto cultural específico (pueblo, nación, etnia), que le otorgan un sentido y una forma particulares y lo ubican en una posición jerárquica respecto de otros hechos culturales de la sociedad.

Estas manifestaciones de la creación humana y adaptación al medio ambiente natural y social comprenden formas de comunicación verbal, gestual, escrita y visual³⁵, cifradas en una serie de usos de valor simbólico para un determinado grupo humano. El acervo cultural de valor patrimonial se cifra en saberes, prácticas, técnicas, creencias y valores que se han transmitido por generaciones que lo mantienen vigente mediante la recreación y readaptación a las condiciones del mundo actual.

El turismo. Aunque entre los estudiosos del turismo es lugar común afirmar que éste es un fenómeno emblemático del mundo moderno, reiteramos esta afirmación por la trascendencia que tiene para pueblos y culturas de todo el planeta. Esto porque ha sido considerado como la actividad más compleja de la dinámica globalizadora, a partir de la segunda mitad del siglo XX, pues cubre integralmente aspectos sociales, económicos, políticos, ambientales, culturales. Además, tiene la particularidad de seguir creciendo: a pesar de los conflictos políticos y de las catástrofes naturales, el turismo muestra una gran dosis de resistencia o insensibilidad, de allí que sea la actividad movilizadora que más millones de personas desplaza por el mundo, a destinos fuera de su lugar de origen.

La causa de esta situación podríamos encontrarla en el hecho que las personas continúan viajando. De una manera simplificada, caracterizamos al turismo como un tipo particular de viaje, por lo general intercultural, que se realiza con el fin de disfrutar el tiempo libre. Ante lo cual, surge la pregunta, ¿por qué viaja la gente? La respuesta podría ser: para logra algún ideario personal, es decir una construcción temporal y particular de una sociedad. Hiernaux-Nicolas (2002: 12) distingue cuatro idearios centrales del turismo occidental: la conquista de la felicidad, el deseo de evasión, el descubrimiento del otro y el regreso a la naturaleza.

Para algunos la noción de turismo se reduce a dos palabras clave: viaje y placer. Para otros representa la conquista del tiempo libre y del ocio. Varios autores (J. Urry, P. Pearce, Nash y Cohen, citados por Burns, 2004: 49) reconocen como característica fundamental del

³⁵ Tradiciones orales; técnicas artesanales para procesar diferentes materias y construir objetos con funciones significativas en la sociedad; saberes y conocimientos relacionados con el mundo natural y sobrenatural; prácticas culinarias, creencias y cosmovisión; tradiciones artísticas; planos, mapas, fotografías, sellos, vestidos, vivienda, acueductos, puentes, medios de transporte; formas para prevenir y curar las enfermedades; expresiones lúdicas de carácter religioso o cívico; herramientas para el desarrollo de actividades de la vida cotidiana.

turismo la contraposición entre placer y servicio en la relación visitante/huésped³⁶. Es decir, el turismo es una actividad placentera, que se realiza en vacaciones, en un lugar distinto al de origen, que presupone su opuesto: un trabajo reglamentado y organizado.

El turismo se puede estudiar desde diferentes enfoques teóricos-metodológicos, interdisciplinaria o transdisciplinariamente. Para muchas personas el turismo es un asunto de negocios, para otras es motivo de estudio como fenómeno polifacético.

A pesar de los diferentes aspectos que involucra y las múltiples perspectivas, parece haber consenso en dos puntos. Por un lado, el turismo es un sistema que se compone de, al menos, dos elementos básicos: la oferta y la demanda, a partir de los que se derivan otros elementos interrelacionados (la demanda por viajar, los intermediarios en el viaje, las influencias relacionadas con el lugar o destino y, los impactos).

Por otro lado, no hay duda de que el turismo es la mayor de las industrias culturales del planeta, se ha convertido en una actividad con fuerza económica y con poder de generar nuevas formas culturales. Como lo plantea Mac Cannel, “el turismo es un fértil terreno de cultivo para la generación de nuevas forma culturales sobre una base global” (Mac Cannell, 2007: 11), pues en su nombre verdaderas hordas se desplazan y crean instituciones, restauran santuarios, desarrollan artesanías y representan espectáculos.

3. Diversidad del patrimonio inmaterial costarricense: entre el olvido y el “aggiornamento”

La *Convención para la salvaguarda del patrimonio cultural inmaterial* (UNESCO, 2003), entiende este patrimonio como³⁷:

“... los usos, representaciones, expresiones, conocimientos y técnicas —junto con los instrumentos, objetos, artefactos y espacios culturales que les son inherentes— que las comunidades, los grupos y en algunos casos los individuos reconozcan como parte integrante de su patrimonio cultural. Este patrimonio cultural inmaterial, que se transmite de generación en generación, es recreado constantemente por las comunidades y grupos en función de su entorno, su interacción con la naturaleza y su historia, infundiéndoles un sentimiento de identidad y continuidad y contribuyendo así a promover el respeto de la diversidad cultural y la creatividad humana.”

En ella se distinguen cinco ámbitos del patrimonio inmaterial, que servirán de base para el esbozo sobre algunos bienes de valor patrimonial intangible de este país pluriétnico y multicultural. Esta condición nos permite reconocer referentes identitarios para una región geográfico-cultural (valle central, norte, pacífico norte, central y sur, caribe) o para un grupo particular de población (indígena, afrocaribeño, mestizo). A grandes rasgos, estos ámbitos contienen estas expresiones:

- a. *Tradiciones y expresiones orales, incluido el idioma como vehículo del patrimonio cultural inmaterial.* El idioma español es la lengua oficial del país y a pesar de la pequeña extensión territorial y población, desde el punto de vista

³⁶ Preferimos emplear los términos turista y comunidad receptora, pues en esta era globalizada, los anfitriones se han comercializado.

³⁷ El texto señala que, “a los efectos de la presente Convención, se tendrá en cuenta únicamente el patrimonio cultural inmaterial que sea compatible con los instrumentos internacionales de derechos humanos existentes y con los imperativos de respeto mutuo entre comunidades, grupos e individuos y de desarrollo sostenible”.

lingüístico se distinguen cinco variedades o geo-dialectos (Quesada Pacheco, 1991), sobre todo en léxico y fonología, cuya creatividad se escucha en la riqueza de hablas regionales o costarriqueñismos que han incrementado el acervo de americanismos. En Costa Rica, la forma de tratamiento típica ha sido el voseo, considerada patrimonio lingüístico. Sin embargo, las jóvenes generaciones tienden a sustituirla por el tuteo por influencia de algunos anuncios publicitarios y el turismo. Hay hablantes nativos de lenguas indígenas homónimas como el bribri, cabécar, malecu y ngöbe-buglé, de la familia chibchense. A finales del siglo XVIII murió la lengua huetar, a finales del XIX, la lengua chorotega y a inicios del XXI, fallecieron las últimas personas hablantes nativas de térraba y brunca.

La tradición oral (Chang-Vargas, 2001) se cifra en literatura tradicional que comprende mitos o historias de origen de los pueblos indígenas; las leyendas campesinas y urbanas, producto del mestizaje y compartidas por otros pueblos hispanoamericanos (la Llorona, el Cadejos, las brujas, tío Conejo y tío Coyote, etc.) y los cuentos de tradición africana (las *Anancy Stories*).

Otras expresiones orales como las coplas o bombas (poesías cortas y jocosas) mantienen vigencia en las fiestas patronales. Las adivinanzas, refranes, plegarias, retahílas, décimas, hasta hace unas tres décadas (Zavala, Barzuna, Chang y Cuevas, 1985) eran géneros vitales en la población mestiza, pero no eran valorados como herencia cultural pues, al ser parte de la cotidianidad, pasaban desapercibidos. Hoy, la mayoría de ellos, están en vías de extinción, a excepción de los chistes, que continúan renovándose.

- b. *Artes del espectáculo.* En todas las regiones del país hay cantautores, algunos han pasado a ser reconocidos, tanto por la comunidad como por la oficialidad, como tesoros vivos, pues sus creaciones han pasado a más de dos generaciones. En todas las provincias hay bandas que interpretan música local, regional, nacional e internacional. Las danzas tradicionales que han tenido más divulgación son las de la provincia de Guanacaste, donde sobresalen el punto y las parranderas. En el Caribe destaca el Carnaval, que se realiza anualmente a mediados de octubre, en Puerto Limón. Otras expresiones de esta zona, propias de la población afrocaribeña son el *calipso*, género musical en que se cantan las vicisitudes cotidianas, usualmente en lengua criolla, acompañado de tambores y banjo. El *roots reggae*, con percusión y guitarra se escucha y se baila en distintos espacios de Limón. Las danzas como el baile de cuadrilla (*square dance*) y el palo de mayo (*may pole*) se presentan en ocasiones especiales. En general, las expresiones de este ámbito, además de ser bienes de valor cultural para sus comunidades, han pasado a ser un recurso turístico.

- c. *Usos sociales, rituales y actos festivos.* Las festividades religiosas son las que guardan mayor tradición, aunque en las últimas décadas observamos una serie de cambios formales, funcionales y de sentido. El ciclo navideño y la Semana Santa son conmemoraciones que mantienen su vigencia, a pesar de muchos cambios, mientras que la celebración del *Corpus Christi*, con los adornos florales de calles, está casi desaparecida.

La Virgen de los Ángeles fue declarada Patrona de Costa Rica y cada 1º de agosto miles de romeros caminan grandes distancias hasta llegar a la Basílica

de Cartago donde, según la creencia, fue hallada por una indígena en 1635. Las fiestas patronales, en honor a los santos, se celebran en ciudades y poblados de diferentes regiones. En torno a ellas hay un encuentro de otras expresiones del patrimonio intangible como las comidas, bebidas, juegos y mascaradas (también llamadas payasos o mantudos).

Otras celebraciones tradicionales, de origen colonial son el Juego de la Yegüita en Nicoya, en honor a la Virgen de Guadalupe; la celebración al Cristo de Esquipulas en Santa Cruz de Guanacaste y en Alajuelita donde, además de los actos litúrgicos, hay festejos cívicos populares; la Fiesta de los Diablitos, entre los indígenas bruncas, en que se representa la lucha entre los indígenas (enmascarados de diablitos) y los españoles (representado por el toro). En el ámbito urbano y de fecha más reciente, están las fiestas cívicas de Zapote y las de Palmares, en las que hay reinados, corrida de toros, bailes con orquesta, juegos mecánicos con la rueda de Chicago y otras novedades tecnológicas. Este ámbito también ha pasado a ser un recurso turístico.

- d. *Conocimientos y usos relacionados con la naturaleza y el universo.* Este ámbito comprende diversas expresiones que han ayudado a resolver asuntos de la vida cotidiana y, con el cambio cultural, la gente se ha dado cuenta de que, tras ellas (uso de remedios caseros para prevenir o curar, preparación de comidas y bebidas, creencias asociadas a mejores cosechas, pesca, uso de plantas y maderas, entre otros), hay todo un reservorio de saberes tradicionales. Algunos de estos conocimientos han adquirido no solo un valor patrimonial, sino que esos oficios (curandero, cocinera, boyero, etc.) son una importante fuente de ingresos. Es el caso de la gastronomía regional, las esencias de plantas, los paseos en carreta, entre otros, que ya son de consumo turístico.
- e. *Técnicas artesanales tradicionales.* La creatividad unida a la herencia se ha plasmado en una variedad de artesanías, tras las que hay una historia colectiva: los tejidos en telar de cintura de las bruncas, el trabajo en cerámica de la península de Nicoya, la talla y escultura de máscaras y otros artefactos de madera, el inciso de jícaras, el repujado de cueros, la cestería, la construcción y decorado de carretas, yugos y ruedas. Este ámbito también es un recurso para el turismo, aunque con la introducción de modificaciones, a veces por foráneos, ha cambiado en los valores, usos y funciones, sustituyendo lo simbólico y lo propio por lo comercial y ajeno.

En Costa Rica, tras una tradición milenaria de pueblos agrícolas, en los últimos 25 años, el turismo se ha configurado como la base económica. El tránsito de una sociedad todavía campesina a una pequeña aldea cosmopolita, es un salto que se dio en un breve período, cuando el sector servicios fue ampliando su espacio, para ser compartido por la industria turística.

Así, en pocos años, muchos de nosotros hemos visto grandes transformaciones. El desarrollo urbano, por ejemplo, entre cuyas implicaciones está el paso de cafetales a urbanizaciones y plazas o centros comerciales; los potreros donde pastaba el ganado y fincas agrícolas pasaron a ser construcciones hoteleras, restaurantes, tiendas asociadas al turismo. Los oficios tradicionales también cambiaron: los campesinos y peones agrícolas abandonaron sus saberes y herramientas de trabajo, relacionados con la naturaleza, para pasar al sector servicios, en calidad de peones estacionarios en la industria de la construcción o para servir en

labores misceláneas (camareros, cocineras, lavaderos, choferes, etc.) de hoteles y hasta desempleados, en algunas zonas.

Cada día es más frecuente la gestión de proyectos sobre turismo y la variedad³⁸ de modalidades de tipos de turismo y de turistas, de ofertas con las que pretenden atrapar a los eventuales viajeros a comprar algo para ver, experiencias para vivir, lugares para descansar, etc. Desde una gran cadena hotelera internacional hasta una microempresa familiar en un pequeño poblado rural, son las posibles ofertas que demandan la atención, para lo que utilizan múltiples estrategias de mercadeo.

La herencia cultural la recibimos paulatinamente, pero las maneras de deshacerse de ella varían según el tipo de bienes culturales. La destrucción de los bienes de cultura material se pueden dar de un día para otro, ya sea por influencia humana o de la naturaleza y eso amerita particulares formas de enfrentar el problema. En el caso de la herencia de bienes intangibles, la situación es otra pues, por lo general, su destrucción se manifiesta en el desuso, la sustitución de lo propio por lo foráneo, los cambios paulatinos por diferentes influencias y las transformaciones drásticas por enajenación o imposición de lo nuevo.

4. Riesgos y retos del patrimonio cultural frente al turismo

En la actual fase de mundialización cultural que vivimos, se encuentra una serie de patrones que parecen inofensivos, pues facilitan la creación de redes sociales de información y el incremento de diversos tipos de viajes e intercambios culturales, entre los que destaca el turismo. Sin embargo, la situación se vuelve más difícil y confusa, debido a la ambigüedad que poseen muchos proyectos turísticos. El estado-nación costarricense, con el beneplácito de algunas municipalidades, otorga concesiones centenarias (en playas y montañas) a cadenas hoteleras las que, además del moderno inmueble y depredación sobre el medio ambiente, traen consigo una serie de prácticas y valores que van penetrando en la idiosincrasia y modificando el estilo de vida de un pueblo. Hay una tendencia a la visión inmediateista (construir torres de hoteles o grandes *resorts* que ocupan mano de obra local, aunque no se mencionan los desempleados) y a confundir estilo de vida consumista con calidad de vida.

El desarrollo del turismo se mueve en un marco de gran competitividad, por lo que se deben desarrollar diferentes estrategias de *marketing*, entre las cuales tenemos la segmentación de mercados. Para esto, la planificación del turismo (Vignati-Scarpatti, 2009:214) clasifica y caracteriza varios criterios (geográficos, demográficos, psicológicos, beneficios, motivaciones), con el fin de determinar un segmento potencial que sea rentable, viable, accesible. De la amplia oferta de tipos de turismo, nos interesa el turismo cultural, el cual comprende varias modalidades que reúnen los requisitos señalados para competir en el mercado turístico.

El turismo cultural, aunque incipiente, tiene una oferta variada y en su mayoría vinculada con bienes que tienen valor patrimonial. En el campo material, hay posibilidades para un turista que desee visitar los parques o sitios arqueológicos (Guayabo, el Farallón, las esferas de piedra del Diquis); ciudades históricas (los pocos testigos arquitectónicos de la colonia, como las iglesias de Orosi y las ruinas de Ujarrás, la basílica de Heredia); colecciones

³⁸ Costa Rica tiene una competitiva oferta internacional en materia de ecoturismo: ocupa el tercer lugar mundial en turismo sexual, el quinto en turismo de salud y el turismo cultural es incipiente. El turismo rural comunitario, que combina naturaleza y tradiciones culturales es la alternativa en esta década.

de museos (arte precolombino, arte contemporáneo); caminar por calles, donde la gente realiza sus actividades diarias; recorrer paisajes culturales (cafetales, la caña de azúcar, la ganadería; vinculados a patrones y tradiciones culturales de la hacienda, el trapiche, el ingenio, el boyeo, la monta de toros). En lo inmaterial la oferta se cifra en las fiestas patronales o los carnavales que reúnen comidas típicas, coplas o poesías cortas, cantos, procesiones religiosas, mascaradas tradicionales (como el diablo, la muerte, la giganta, el policía que bailan al compás de la cimarrona con personajes tan globales como los de Disney, los pitufos, el hombre araña, etc.); corridas y monta de toros, desfiles de boyeros y carretas, las artesanías que pasan de valor patrimonial a valor comercial, mezcladas con lo *kitsch* y el *souvenir*; los rituales y fiestas locales que se promueven en Internet, con cambios simbólicos ante los nuevos escenarios físicos y socioculturales, etc.; asistir a conciertos o participar de las actividades de una festividad o ritual tradicional, el turismo étnico con visita a comunidades indígenas o afrocaribeñas. Lamentablemente, hay una tendencia a un común denominador en el juego oferta/demanda del turismo cultural y es el paso o tránsito de tradiciones, que pasaron de ser expresiones cotidianas a exóticas, de ser bienes patrimoniales a ser recursos turísticos.

Sin embargo, el llamado “turismo cultural” puede ser una oportunidad para dar a conocer y conservar el patrimonio cultural de un lugar, a la vez que se reciben los beneficios económicos con la llegada temporal de visitantes. Una iniciativa a favor del patrimonio —y que consideramos el punto de partida para conocer aquellos bienes culturales que identifican a un pueblo— es realizar inventarios y diagnósticos de los recursos culturales. De esta manera se puede sistematizar un plan de acción que también sirva como forma de alertar acerca de los cambios en la oferta, tanto si ésta es constante y atractiva, pero sobre todo si es acorde a los intereses y sentidos culturales del grupo que recibe turistas.

El reto para las comunidades que ofrecen parte de su patrimonio cultural como imán para atraer visitantes, es nunca perder de vista cuál es el objetivo de su proyecto, tarea difícil y con muchos tropiezos y mimetismos en el camino. Hay temas de la cultura de un pueblo que merecen especial atención para resguardar su autenticidad, algo que es muy difícil de conservar cuando pasa a ser parte del “paquete” de un destino turístico.

Se debe tener como premisa el control del crecimiento según la capacidad de los recursos culturales y naturales. De lo contrario, el resultado será un impacto negativo sobre el medio natural o las tradiciones culturales del pueblo receptor, cuyas consecuencias se pueden medir tanto desde lo cuantitativo (con la reducción de visitantes) o lo cualitativo (con la transformación del patrimonio en espectáculo comercial y la enajenación de sus valores simbólicos), cuya factura a veces demora muchos años en cobrarse.

El turismo organizado y masivo, con mayor facilidad, se puede convertir en un factor negativo sobre un territorio y una cultura, a menos que los miembros de esta comunidad cultural tengan un control preciso del uso de los recursos naturales y culturales.

En una sociedad globalizada, podemos concebir al turismo como un agente que permite que bienes, capital, gente, imágenes y cultura, contaminantes, drogas y religiones fluyan fácilmente a través de las fronteras territoriales. Por lo tanto, ante esta gama tan variada de elementos que se movilizan, es necesario tomar el control y ofrecer otro modelo turístico, donde se logre un desarrollo integral, es decir, tanto en lo económico como en lo cultural.

Los marcos de las políticas públicas y la legislación han sido considerados instrumentos a favor del anhelado desarrollo. Como consecuencia de la conocida Agenda 21, varios organismos se preocuparon por el tema y la Organización Mundial del Turismo (OMT) presentó el concepto de “turismo sostenible”, que se entiende como “la capacidad de un

destino de permanecer competitivo en relación con otros destinos más nuevos y menos explotados; de atraer visitantes de primera vez, así como visitas repetidas; de conservarse culturalmente singular y de estar en equilibrio con el medio ambiente” (Vignati-Scarpatti, 2009: 55). Desde la acera de los operadores de *tours* se llama a “considerar el patrimonio cultural y los valores locales” (www.pcts.org.br), al planear y ejecutar un turismo en armonía con las tradiciones culturales. El problema es cómo lograr eso cuando las posiciones son diferentes: en muchos casos con un desconocimiento de la otredad, en otros se utiliza lo poco que se sabe de una cultura y se proyectan imágenes estereotipadas o en otros casos, se da la apropiación cultural.

Existen varias doctrinas internacionales en convenciones de UNESCO que defienden las bonanzas del turismo cultural y, en el caso de ICOMOS, contamos con la *Carta internacional sobre turismo cultural. La gestión del turismo en los sitios con patrimonio significativo* (1999), que reconoce la interacción dinámica entre turismo y patrimonio. Sus siete objetivos son un llamado al respeto entre los gestores de ambas partes. Transcribimos el tercero y cuarto objetivos:

“Facilitar y animar al diálogo entre los intereses de la conservación del Patrimonio y los intereses de la industria del Turismo, acerca de la importancia y frágil naturaleza de los sitios con Patrimonio, sus variados objetos y sus culturas vivas, incluyendo la necesidad de lograr un desarrollo sostenible para ambos.

Animar a las partes interesadas para formular planes y políticas concretas de desarrollo, objetivos mensurables y estrategias para la presentación e interpretación de los sitios con Patrimonio y sus actividades culturales para su defensa y conservación”.

Estos objetivos son un reto ante intereses que no siempre se pueden conciliar. Mientras la industria turística trata de incrementar sus ingresos, con una oferta más rentable —pues esa es la lógica de una empresa—, en la otra cara de la moneda los cultores del patrimonio tienen pocas opciones: la extinción de un bien, su revitalización y dinamización o su conversión en mercancía.

Al leer la Carta de ICOMOS, cifrada en seis principios desglosados en varios puntos, no dudamos que se trata de una relación de buenas intenciones. El reto es cómo se lleva a la práctica, para que en la realidad concreta se logre ese llamado a la armonía, al respeto, a la promoción equitativa y a los derechos.

De la Carta de ICOMOS, retomamos el principio cuarto “Las comunidades anfitrionas y los pueblos indígenas deberían involucrarse en la planificación de la conservación del Patrimonio y en la planificación del Turismo” (1999), que se refieren al respeto de los derechos, intereses y necesidades de la comunidad anfitriona. Nos cuestionamos lo potencial y lo real, el “deberían involucrarse” y las posibilidades y oportunidades de realizarlo en un marco de equidad. Sin embargo, no tiene que ser utopía. Lo que sí se requiere es una organización fuerte y con claridad para administrar y tomar las decisiones, pues la relación turismo-patrimonio es una relación de poder, entre los diferentes actores sociales que intervienen en el circuito de la oferta y demanda de bienes y recursos culturales-turísticos.

El punto 4.2 de la Carta llama al respeto de “las necesidades y los deseos de las diversas comunidades o pueblos indígenas para restringir o administrar la región y el acceso físico, espiritual o intelectual a determinadas prácticas culturales, conocimientos, creencias, actividades, objetos o lugares” (ICOMOS, 1999). Un ejemplo del caso costarricense, lo

hallamos en la Finca Educativa de la Reserva Bribri en Talamanca. Este es un proyecto administrado por los propios indígenas de la zona, quienes deciden cuántos visitantes reciben por día, las zonas del recorrido, las personas con las que hablarán y el tipo de información que se les brinda. Es un lugar que podría llenar las expectativas de los turistas interesados en conocer la cultura local, con toques exóticos para algunos (por ejemplo, se observa el proceso del cacao a chocolate y se explica su simbolismo en la mitología, se conoce al *awá* (sukia o chamán) sin pretender una oferta de “autenticidad”, atributo cuestionable desde el momento de contactos desiguales. Algo similar tiene el Museo Comunitario de Boruca, donde hay un paquete para que los turistas vivan la experiencia de la vida indígena, con algunos matices entre taller y representación del ayer, pero con el control de los límites.

En Costa Rica hay una gran lista de leyes y decretos vinculados con la actividad turística, pero por la condición de ambigüedad de la propia actividad turística (o el doble discurso), a veces se abre un portillo y se cierra otro para la sostenibilidad.

Si revisamos las distintas acciones que inciden negativamente en el patrimonio inmaterial y las confrontamos con las acciones a favor de este patrimonio, nos puede sorprender que pueda haber más opciones para conservar que para destruir. Por eso el reto es grande, hay muchas acciones, pero para un final feliz se debe dialogar entre entidades con intereses en común y unirse a negociar con las que hay discrepancias.

El reto de salvaguardar el patrimonio intangible no es competencia sólo de una entidad. Es necesaria la cooperación o alianza de diferentes partes: la comunidad productora y portadora de patrimonio; el Estado, mediante las instituciones públicas (Ministerios de Cultura y de Educación, de Turismo y de Ambiente; las universidades estatales, que tienen en su misión la docencia, la investigación y la acción social); las municipalidades, como gobierno local; y finalmente, las organizaciones no gubernamentales o privadas que, sin fines de lucro, tengan un interés y compromiso con la tarea de proteger este patrimonio. Es el caso de ICOMOS de Costa Rica que, para cumplir su misión, debe mantener un diálogo permanente con esas otras entidades.

Las comunidades solas no pueden, pues tienen la limitación de cuadros técnicos y profesionales especialistas en la intervención y la falta de presupuesto para ejecutar ciertos proyectos. El gobierno tiene el poder político, con el que puede mover piezas para conservar o destruir el patrimonio. Las municipalidades están en la cuna donde se produce y vive el patrimonio local o regional, deberían ser el puente entre comunidad y otras instituciones. Las universidades públicas juegan un rol fundamental con la sociedad, a la que le revierten conocimientos y tecnologías para reforzar las acciones comunitarias; además, allí se forman los futuros cuadros que se desempeñarán en la defensa y preservación de la herencia cultural.

En el 2007 se creó la Comisión Nacional para el Patrimonio Cultural Intangible (CONAPACI), en la que ICOMOS participa con otras cinco instituciones³⁹. Después de un período de reflexión y puesta en común de referentes conceptuales, realizamos un plan de acción y procedimos a aprobar declaratorias de patrimonio inmaterial en el ámbito nacional o regional.

³⁹ En la CONAPACI hay representantes de las siguientes instituciones: Ministerio de Cultura, Ministerio de Educación Pública, Instituto Costarricense de Turismo (ICT), Universidades Públicas (CONARE; UCR, UNA, ITCR, UNED), ICOMOS y Asociación de Grupos e Intérpretes de la Cultura Popular (AGICUP). Se ha declarado patrimonio inmaterial: la música calipso, el *swing* criollo, el tope de toros, la cocina caribeña y la cerámica chorotega. La tradición del boyeo y la carreta fue declarada por la UNESCO, en el 2005, como Obra del patrimonio oral e inmaterial de la Humanidad.

Subrayamos la importancia de acciones conjuntas, como mínimo tripartitas, entre la comunidad portadora de patrimonio, el gobierno nacional y municipal y las organizaciones de la sociedad civil para que, juntas, negocien con los intermediarios del turismo.

La responsabilidad de conservar el legado, preservar las raíces y valorarlas es una tarea básica de las instituciones educativas, pues toda persona ciudadana o turista puede ser un elemento que afecte positiva o negativamente el patrimonio. Por lo tanto, es fundamental desarrollar un proceso educativo que fomente y se oriente hacia el respeto de la diversidad, el derecho al desarrollo de la cultura propia de cada pueblo y a la formulación de acciones solidarias y alternativas para salvaguardar este acervo, base de la identidad cultural de los pueblos. En suma, conocer y valorar el patrimonio beneficia tanto a las comunidades portadoras de un acervo particular; a los estudiantes y a las personas foráneas, pues propician el conocimiento y respeto del otro cultural.

5. Consideraciones finales

La relación patrimonio-turismo es una relación de poder. Las lindas palabras y buenas intenciones se desvanecen mientras no se ejecute con equidad y respeto. Es fundamental que la comunidad portadora de patrimonio cultural tenga el control de sus bienes culturales. El turismo tiene potencial para ser una amenaza o una oportunidad y eso depende del control de la comunidad sobre la ejecución de programas en la zona.

La clave para conservar el patrimonio cultural y desarrollar un turismo sostenible es establecer una alianza tripartita, de cooperación entre las comunidades con las instituciones gubernamentales-municipales y algunas entidades de la sociedad civil.

La educación debe ser la base de cualquier transformación sociocultural. Es necesario abrir espacios educativos a nivel formal, informal y no formal en torno al conocimiento del patrimonio cultural.

Debemos tomar la premisa de que, para defender, consolidar, preservar y conservar, hay que empezar por conocer lo que tenemos y las razones por las que ha cambiado, ya que “el frío no está en las cobijas”. Es decir, no es negativo innovar, sino que los cambios sean decisión de la comunidad portadora de bienes patrimoniales, libres de imposiciones e intereses ajenos al bienestar colectivo.

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PROTECTING THE CULTURAL HERITAGE OF PALANGA IN TIMES OF TOURISM AND COMMERCIALIZATION

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ABSTRACT

Located on the Baltic Sea, Palanga was known from the 16th century as a fisherman's village, a trade centre and one of the most important seaports of Lithuania. In the late 19th and early 20th century, the Counts Tiškevičiai family developed Palanga into a resort. After World War II, Lithuania fell under Soviet control and private property was nationalized during this time. Residential construction was strictly forbidden in the resort part of the town. Only resort houses and sanatoriums were built with an understanding of the connection between the environment and the urban context. When Lithuania declared independence in 1990, private properties were returned to citizens. The Palanga Historic Centre was inscribed on the Lithuanian Heritage List in 1993 because of its outstanding urban, architectural, archaeological and historical value, as well as its beautiful scenery. The Heritage Protection Plan of Palanga was prepared at this time. However, commercial interests were stronger than heritage-protection requirements with emphasis on restored private property, profit from tourism and entertainment. The Cultural Heritage Department became concerned with the virtually uncontrolled situation in Palanga. Its aim became to better manage the economic pressures and to protect the historical townscape, and it initiated the preparation of a new Heritage Protection Plan.

1. Introduction

The Cultural Heritage Department initiated the preparation of the Heritage Protection Plan of Palanga (hereafter called the Plan). The aim of the Plan is to protect the Palanga Historic Centre, establishing precise historic and buffer-zone boundaries. The Plan provides the framework and the structure for the development and protection of the historic area. Protection requirements describe spatial parameters, building height, plot density, percentage of greenery, morphology of the buildings, building materials, etc. in each quarter and plot.

There are three stages in the process of the development of the Plan: preparatory work, concept stage and Heritage Protection Plan.

During this process, the values of the area were identified: historical, archaeological, urban, architectural, greenery, riverside, coastal zone with dunes, pine-tree forest, park zone, visual relationship, valuable views, panoramas and silhouettes. There are individual buildings and ensembles with different architectural qualities in the Palanga Historic Centre, described

on the Lithuania Heritage List, as well as non-listed structures with high architectural value and worthy of protection.

The historical, archaeological, urban, and architectural values of Palanga lie between its development from rural fisherman's village, trade centre and seaport into a famous resort location.

2. Heritage values of Palanga Historic Centre

2.1. Development of Palanga

2.1.1. Development of Palanga 3000 BC - early 19th century

The description of the development of Palanga is based on the data from the monograph by Prof. Algimantas Miškinis (2007) *Urban Heritage of Lithuania and Its Values. Volume 3: Towns and Small Towns of the Western Lithuania*.

It is known from archaeological data that people lived in this area by 3000 BC. Palanga was mentioned for the first time in 1253 in historical sources of the German Order of the Knights of the Cross. The main Hansa trade route from Karaliaučius (today's Kaliningrad in the Russian Federation) to Riga stretched through Palanga; therefore, the town developed as a trade centre. In 1540, the Saint Virgin Mary's church in Palanga was built [Fig. 1].



FIGURE 1. The Saint Virgin Mary's Church, 1767 (Miškinis 2007)

Magdeburg Rights were given to Palanga in 1556. This especially stimulated the growth of the town, as these Rights granted the town permission to enlarge the seaport in 1589.

Today, Palanga is formed from two fisherman's villages along the trade route separated by a sandy land zone. At the end of the 18th century, Palanga was a small town with about 70 built-up plots, market square, church, synagogue, and tavern [Fig. 2].

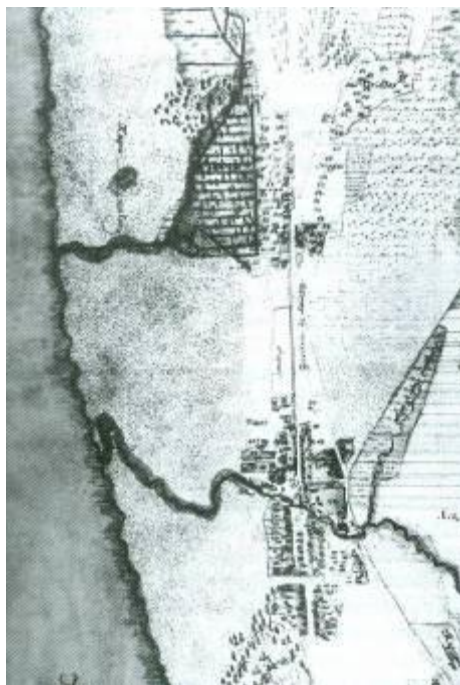


FIGURE 2. Plan of Palanga, 1779-1781 (Miškinis 2007)

2.1.2. Development of the resort in the late 19th - early 20th century

In the early 19th century, the town was still divided in two parts: Old Palanga and New Palanga.

In 1824, Count Mykolas Tiškevičius bought Palanga and the surrounding land. The Count developed Palanga as a resort. With the improvement of infrastructure, his family financed the establishment of the pro-gymnasium in 1886. The Counts Tiškevičiai created the Palace and Park ensemble [Fig. 3] in 1897-1898. The family invited the famous French landscape architect, Eduard Fransua, Andre to design the park.



FIGURE 3. Palace and Park ensemble, 1929 (Matulytė and Striuogaitis 2009)

The town suffered badly from the big fire of 1831, when almost all the buildings were burned. After the fire, Palanga was rebuilt with richly decorated wooden villas and spacious residential houses.

In 1877, the Development Plan of Palanga was prepared. The plan foresaw the development of Palanga in the westerly direction, or to the seaside. The rectangular network of streets was planned and the resort zone defined. The implementation of this plan was of great significance to the future development of the resort. The town grew rapidly. At the end of 19th century, there were five shops, four guesthouses, 12 taverns, a church and a synagogue. Palanga was well known as a resort; about 300-400 holidaymakers came to Palanga during the summer. The noble family built a wooden bridge jutting out over the Baltic Sea [Fig. 4], bathing cabins on the beach, the Kurhaus (“cure house”) [Fig. 5], etc.



FIGURE 4. View from the bridge to Palanga, 1921-1925 (Matulytė and Striuogaitis 2009)



FIGURE 5. Kurhaus, 1930 (Matulytė and Striuogaitis 2009)

2.1.3. Soviet-period, 1945-1990

During World War II, Palanga suffered a lot. The town was bombed from the seaside. Buildings were destroyed, and around 700 people were killed.

After the World War II, the Soviet Union annexed Lithuania. Private property was nationalized. Palanga became a Soviet resort. Residential buildings were constructed according to the historic urban tradition, while maintaining location-specific building density, silhouette, and spatial parameters. However, the construction of apartment complexes [Fig. 6] and commercial centres in some quarters conflicted with the traditional style.



FIGURE 6. Multi-flat building at Janonio str. 8, 2012

In the resort zone of the town, residential construction was strictly forbidden. There were only the resort houses and sanatoriums built according to the understanding of the connection between the environment and the historic context. In this part of the town, good examples of resort architecture were created, some of which are already included on the Lithuania Heritage List as 20th Century Heritage.

2.1.4. Post-Soviet period, since 1990

After Lithuania declared independence in 1990 and the fall of the Soviet Union in 1991, private properties were returned to the citizens.

Palanga Historic Centre was included on the Lithuania Heritage List in 1993, due to outstanding urban, architectural, archaeological, historical values and beautiful scenery. At this time, the Heritage Protection Plan of Palanga was prepared. However, private and commercial interests proved stronger than heritage-protection requirements with the rapid expansion of the tourist and entertainment industry. The density of built-up areas on plots grew rapidly, as well as increased building volumes. Additional floors were built on top of residential houses and hotels [Fig. 7], and the percentage of greenery decreased. New structures were also built in the protected coastal area, dunes, and pine forest.



FIGURE 7. Multi-story hotel, Daukanto str. 10, 2012

2.2. Scenery, panoramas, visual relationship

The outstanding landscape values, namely coastal dunes, pine forest, seashore, the stormy or calm Baltic Sea, fantastic sunsets, shady botanical park, the river and its valley [Fig. 8], and park zone [Fig. 9], determined the development of the resort in the past.



FIGURE 8. River valley, 2012



FIGURE 9. Park zone, 2012

Originally, the resort was planned with greater density, allowing for more green space. In the panoramas from the seaside, only the white sandy beach, the coastal dunes and forest are seen [Fig. 10].



FIGURE 10. Panorama of Palanga from the Baltic seaside, 2012

Since Medieval times, the silhouette of the church tower dominated the town. The only foreign body in the panorama is the multi-story sanatorium constructed during the Soviet period. It is very disappointing that two extra stories were added in the last decade.

2.3. Urban structure

The specific features of the urban structure of Palanga lie in the development of the town from a rural fisherman's village, trade centre and seaport into a famous resort. Palanga formed along the Hanseatic trade route. The main street of present-day Palanga is built on the only trade route. Next to the road, the town centre with the church and market square were built. The second compositional axis, culminating in the bridge, was constructed in the 19th century with the aim to develop the resort. From these two axes, the rectangular street network was formed. The historic urban structure is very well preserved, with some former streets converted into pedestrian paths.

2.4. Building morphology and architecture

Palanga was devastated many times by wars, rebellions and fires. As a result, the architectural heritage dates to the late 19th and 20th centuries. There are two main types of buildings: villas and residential houses. Small fisherman's dwellings [Fig. 11] are of typological importance too.



FIGURE 11. Fisherman's dwelling, Piktuižio str. 13, 2012

The wooden resort houses and villas, which were built in the resort part of the town, are of high architectural quality, are richly decorated with many details, such as little towers, lanterns, balusters, verandas [Fig. 12, 13]. Basically, the resort part of Palanga, with its exclusive examples of resort architecture surrounded by pine trees, is the main outstanding feature of the protected area.



FIGURE 12. Villas, 1910-1914 (Matulytė and Striuogaitis 2009)



FIGURE 13. Villa Romeo and villa Julieta Birutės str. 34, 36, 2012

There are 33 buildings and building ensembles in Palanga included on the Lithuania Heritage List. There are more structures with high architectural value, which are worthy of protection at a municipal level, yet unlisted. During the Soviet period, famous Lithuanian architects created exclusive examples of resort architecture, some of which certainly should be included on the Lithuania Heritage List and protected as part of the 20th-century heritage of the town. Of these, the resort house Žilvinas designed by A. Lėckas is worth mentioning, as is the resort house of the Science Academy designed by V. Dičius and L. Ziberkas the restaurant Vasara, designed by A. Eigirdas, the Exhibition Pavilion and Summer Library [Fig. 14] designed by A. Čepys, and several others.



FIGURE 14. Summer Library, 1966

After World War II, both sides of the main street were reformed. In the park zone, free planning composition was preferred.

3. The Heritage Protection Plan

3.1. Preparatory work

3.1.1. Data of the territory

In the Heritage Protection Plan approved in 1999, the boundaries of the protected area and buffer zone were defined. The protected territory is 1,384,123 square meters. The buffer zone of visual protection is 2,051,000 square meters. The buffer zone of physical protection is 1,696,000 square meters.

3.1.2. Examination of adopted documents

The authors examined the adopted territory planning and other documents related to the Palanga Historic Centre and its buffer zone.

The Strategic Development Plan for Palanga is the strategy of the town and covers up to 2020. It establishes development priorities, objectives, actions and preliminary projects for implementation of this strategy, as well as stages of implementation and preliminary financing needs.

The Heritage Protection Plan of Palanga prepared in 1999 fixed the boundaries of the Palanga Historic Centre and Buffer Zone for the first time, and the heritage-protection guidelines are described (Ptašek 1999).

The Master Plan of Palanga was approved in 2008, noting the outstanding features worthy of protection. This includes the landscape of the Baltic Sea coastline with the coastal dune belt, pine forest, riverside and the Palanga Historic Centre, the Counts Tiškevičiai Manor House and Park ensemble, and villas and wooden architecture in the protected zone. However, the Master Plan emphasizes the diminution of the protected zone and buffer zone. According to the Law on the Protection of Immovable Cultural Heritage, the borders of a protected territory and buffer zone can be defined only during the heritage-protection planning process.

The Evaluation Act of Immovable Cultural Heritage for Palanga Historic Centre was prepared by the Council at the Cultural Heritage Department in 2012. In the Act, the features of the area are defined: historical, urban, architectural, landscape and their components, e.g. historic street structure, valuable street elevations, the south-west part of the towns built up with villas, the north-east part of the town built up with small residential houses, separate

villas and houses, etc. The Evaluation Act of Immovable Cultural Heritage is the main document on which the Heritage Protection Plan should be developed.

3.1.3. Analysis of heritage values of the Palanga Historic Centre

The data collected during the preparatory-work stage is summarized in two drawings: the Summary Heritage Values Plan [Fig. 15] and the Plan of Urban Morphology [Fig. 16].



FIGURE 15. Summary Heritage Values Plan.



FIGURE 16. Plan of Urban Morphology.

3.2. The heritage protection plan (concept)

The municipality and state authorities, and other stakeholders, e.g. State Commission to Heritage Protection, Cultural Heritage Department at the Ministry of Culture, NGOs, such as ICOMOS Lithuania, as well as the local community of Palanga have been involved in the process, along with the planning architects. Within the course of the process, the features of the territory were defined more precisely, the planning architects obtained more specific information, and the future development for the territory was discussed.

3.2.1. The New Boundaries Plan of the Palanga Historic Centre and the buffer zone

According to the data obtained during the process of preparatory work and the discussions between different stakeholders, all the partners involved agree upon the proposal concept for the New Boundaries Plan of the Palanga Historic Centre and the buffer zone.

The protected area was reduced by 154,708 square meters. A few quarters built during the Soviet period, with disharmonic new structures not typical of Palanga, were excluded from the protected area. The size of the reduced protected area is 1,229,415 square meters.

It was agreed to eliminate the buffer zone of physical protection. This was based on the fact that this buffer zone matches the coastal zone included into the Lithuanian Protected Areas and Nature 2000. The buffer zone of visual protection was reduced as well, according to the Law on Protection of Immovable Cultural Heritage. The distance of the boundaries of the buffer zone from the protected area should be around 200 meters and match the street lines or the boundaries of the plots. The size of the reduced zone of visual protection is 535,764 square

meters [Fig. 17]. The reduced protected area and buffer zone will enable better management of the Palanga Historic Centre.



FIGURE 17. The Plan of the Boundaries of the Palanga Historic Centre and the buffer zone.

3.2.1. The Heritage Protection Plan of Palanga Historic Centre

According to the Law on Protection of Immovable Cultural Heritage, the concept for the Heritage Protection Plan of Palanga was prepared. The data from the Summary Heritage Values Plan [Fig. 15] were added to the drawing. According to the Plan of Urban Morphology [Fig. 16], the different protection regimes for quarters were defined. In the final stage of the planning process, the protection regime for each plot will be described. Protection requirements describe spatial parameters, building heights, plot density, percentage of greenery, morphology of the buildings, and building materials. The contextual renewal of post-War structures are foreseen as well, by providing the regulations for types of historic plantings, greenery, open spaces, squares, and streets [Fig. 18].



FIGURE 18. The Heritage Protection Plan of the Palanga Historic Centre.

3. Conclusions

The prepared Heritage Protection Plan (concept) of Palanga takes into consideration the main elements of the area and is in accordance with the goals for the development of the area. The Plan has met the requirements of the different national and local stakeholders. The implementation of the Plan is a long-term task. The Heritage Protection Plan of Palanga authors hope that it will ensure the protection of the unique urban, architectural and landscape features.

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BREAKOUT SESSIONS

Breakout Sessions Report

After the presentations of the three themes, Pamela Jerome, on behalf of the SC Officers, made an introduction to Breakout Sessions by raising the question “Can heritage be saved from globalization and uncontrolled development?” based on the context of scientific symposium.

Recalling the background of the scientific symposium at the recent ICOMOS General Assembly in Paris (2011), the long-standing objective of interdisciplinary cooperation was discussed in the context of the Scientific Council Triennial Action Plan for 2012-14. Taking into consideration increasing risks to tangible and intangible cultural heritage due to various newly-emerging natural and human-caused factors, the themes for scientific symposia for three of the Advisory Committee meetings focus on understanding, analyzing and formulating mitigation tools for risks resulting from natural and human-caused disasters (2012), globalization and uncontrolled development (2013), and loss of traditions and collective memory (2015). Consideration of risks also marks a shift from reactive to a preventive approach for conservation that seeks to put emphasis on risk reduction and preparedness. The three themes bring forward the underlying causes for risks to cultural heritage; tools and methodologies for their assessment; and policies, strategies and techniques for reducing potential threats to the future of cultural heritage aimed at protecting and managing our irreplaceable cultural resources for present and future generations.

With 2007 being the first year that more people lived in urban areas rather than rural, uncontrolled development has placed tremendous pressure on cities just as abandonment of the countryside is impacting the maintenance of cultural landscapes and vernacular built heritage. The resulting homogenization of cities makes them at risk of losing their identity, with urban areas beginning to merge into a globalized blend without distinctive characteristics. Historic neighborhoods are forced to reinvent themselves as gentrified enclaves, as inner cities are repopulated by post-suburban professionals, while low-income inhabitants who previously inhabited these neighborhoods are pushed out towards the periphery. Huge influx of rural populations seeking work opportunities places enormous strain on aging urban infrastructure and local resources through the erection of substandard housing in marginalized areas that become informal settlements. At the same time, the rural landscape is being depopulated and villages abandoned. The impact on the countryside has been substantial, as a decreased population tends to the landscape. With this comes the loss of maintenance cycles for vernacular building technologies, agricultural terracing, and hydrological systems for irrigating fields. The move away from the rural landscape has also impacted intangible heritage in a multitude of ways, such as the loss of cultural rituals, the medicinal knowledge of local plants, etc. Yet in some places because of access to information technology, urban professionals are repopulating the countryside, since it is no longer necessary to work in commercial districts. Clearly, these major shifts need to be studied and understood in terms of their impact on cultural heritage.

Considering these challenges, the ICOMOS Advisory Committee Symposium 2013, “Reducing Risks to Cultural Heritage from the Uncontrolled Development in a Globalized World”, aims to assess these risks and formulate policies, strategies and measures for reducing risks from the uncontrolled development process.

The symposium audience was organized into three roundtable discussion groups according to the themes of the symposium. A chair was assigned for each theme to lead the discussion and report back after the discussion session. Each group identified challenges and opportunities for their particular theme, proposing relevant actions and suggestions as to how ICOMOS could play a role in implementing such actions.

The chairs were Julian Smith (1st theme), Peter Cox (2nd theme) and Alfredo Conti (3rd theme):

THEME 1:

The importance of identifying, understanding and characterizing the historical and cultural urban and rural landscapes

- How can we develop appropriate measures for mitigating risks to the landscape from the abandonment of the countryside and the transformation of land uses due to the continuous and uncontrolled development of space?
- Is the decline of traditional agriculture a factor that forms a new landscape that may differ from the historical one?
- What maintenance and monitoring strategies can be adopted for reducing risks to the landscape as heritage, whether experiencing the introduction of new plants or new building types, as well as settlements and other construction in rural areas?
- Is this uncontrolled development a reason for the urban sprawl that tends to exist in the periphery of certain metropolitan areas?
- What reasons and factors increase the dissonance between natural landscape and historical character?

Key point:

Identifying, understanding and characterizing is the beginning of conservation.

The urban and the rural:

There have been important shifts in the urban/rural dynamic; it is too simplistic to discuss it as only uncontrolled urban development.

Settlements, whether urban or rural, are being defined in new ways:

- Urban areas are seeing new forms of informal settlements
- Urban agriculture is emerging in new ways
- Rural areas are seeing new outmigration from the cities, with new technologies
- Abandonment is occurring in both areas - loss of people results in the loss of values

We need to understand these changes. For example, urban spread is often not 'uncontrolled;' it is masterminded by multinational interests. Infrastructure dynamics are critical.

The vessel and the contents:

To understand these dynamics, we must move beyond the vessel to the contents – understand the social, cultural, economic forces at work. These not only determine the shape of the vessel but the values that are associated with it.

Often we have to set aside our 'expert' labels and listen to the communities:

- We have to understand the experience of place, and recognize that these understandings change.
- In Costa Rica, specifically, we should be engaging the older inhabitants to identify cultural routes, and then encourage the younger generation to figure out ways to reanimate them.
- In South America, we should be developing a cultural route and realizing that not only do communities contain the values, they also often contain the management practices for moving forward.
- In Australia, understanding management practices are often the key to realizing that 'natural' landscapes are in fact 'cultural' landscapes.

Cultural mapping is an important way to get at these realities.

Planning to mitigate risks

Planning often happens in generic forms, rather than specific. There is a wonderful tension between understanding at a regional level, and then planning at the local level:

- We must build on the experiences of classifying 'territory' under a variety of typologies.
- We recognize the UNESCO Central America initiative - economy, ecology, and social structure is often regional.
- The EIA/SEA process is critical for helping understand these relationships.

Proactive implementation can be incremental, simple, and local, but based on larger framework:

- The symposium participants have huge respect for Urvashi Srivastava's example in India.
- The rural/village approach is not as well understood or documented as the urban approach. Agricultural practices are always in evolution.
- Particularly in subsistence economies, we must recognize that land has to be productive; therefore, how can we design productive uses of land?

Tools will always have to be adapted to the specific context, based on understanding the values, and the management practices.

Summary

In summary, understanding the urban and rural landscape is an integrative process that accepts the full range of human activity as legitimate areas of study:

- It is study that demands a certain humility, a willingness to look behind the façades, to explore the forces at work that are changing people's realities.
- Often there is a longing for re-engaging with the urban and rural landscape at a level of intimacy that seems to be overlooked. We can use the cultural landscape approach to help understand and then conserve or reanimate this engagement. Without it, these landscapes are at risk.

THEME 2:

Measures and strategies for mitigating risks from population growth, urbanization and immigration

How can we develop appropriate policies for minimizing the pressures to heritage from uncontrolled urban development?

- Remove the 'un' from uncontrolled.
- Encourage incentives.
- Evaluate the carrying capacity of a city and how much more development it can take.
- Increase public perception.
- Strengthen policies of control.

What techniques should be applied in order to manage the impacts of gentrification in historic cities and urban areas?

- Perhaps gentrification is not a problem as it brings people back to live in the heritage areas of a city.
- Protection of landscapes is essential in reducing urban sprawl.
- Social mix should be encouraged in these areas.

What maintenance and monitoring strategies can be adopted for reducing the devaluation of heritage due to urban sprawl?

- Maintenance is essential with heritage buildings.
- Legislation should be encouraged for regular maintenance.
- Penalties should be sought for non-compliance with maintenance.

What lessons can be learned from traditional construction methods and materials?

- This should include settlement patterns.
- Energy retrofit is a major threat to our built housing stock.
- We should educate occupier expectations.

How can we enhance security of cultural-heritage sites to prevent risks occurring from the ongoing trend of population movement to metropolitan areas?

- Increase documentation and inventorying.

- Improve awareness of social fabric.

How is local heritage being presented and interpreted to new migrant communities? How can we avoid conflict and develop an appreciation for the local heritage on the part of these diasporic communities residing in societies that are new or alien to them? How are migrant communities changing the perception of urban heritage and affecting its conservation? Do these migrations present opportunities to create new types of diasporic heritage? How do we avoid conflicts resulting from the encounter between different cultural traditions coexisting in close urban proximity?

- We believe the diasporic cultures can benefit areas but obviously, it can go wrong (as in Bradford, UK).

Additional

- A new threat is mining and gas extraction through fracking. This should be discouraged in heritage suburban areas and towns and landscapes.

THEME 3:

Protecting Cultural Heritage in times of tourism and commercialization

What are various approaches and tools for assessing risks to historic cities, urban areas and vernacular landscapes of cultural significance from uncontrolled tourism and its impacts?

- Tourism can be both a positive and a negative to heritage. Negative: tourism can dominate and damage a heritage site and bring no benefits to the local community; Positive: tourism can engender continuity and pride in tradition – it can bring economic improvements to a state or community.
- Propose a transversal approach.
- Encourage participatory management plans and planning.
- Identify the range of risks in two main aspects: the physical fabric and intangible components.
- There are different stages: discover the values of the site; identify deterioration; explore methods to control deterioration.
- Studies are required on carrying-capacity levels.
- Identify indicators.
- Define different types of zones – the historic zones and buffer zones – to protect them
- Take into account all the variety of stakeholders.

How do we avoid changes in the meaning and social role of heritage in order to serve the expectations of the tourist market? How do we avoid trivialization of heritage as a tourist attraction, such as historic districts behaving as mono-functional themed shopping centers, or the uncontrolled commercialization of historic settlements and vernacular architecture? Is it possible to avoid practices like façadism and inappropriate reconstructions?

- Historic towns and areas used for tourism may become like 'theme parks.'
- The key idea is education for all of the different stakeholders, including tourists.
- Foster common dialogue between heritage practitioners and tour operators to agree on common objectives.
- Establish 'codes of conduct' for both local communities and visitors aiming at responsible tourism.
- Encourage the participation of communities.

- Act on two levels: provide awareness-raising for people (education) and stronger legislation.
- Reduce the impact on local communities.
- Enable the community to cope with change (capacity building).
- Follow the UNESCO Programme on Sustainable Tourism.

What are the effects on culture and cultural heritage that result from the tourist encounters in poorer communities? Can a local population's economic inequality of access and benefits as a result of development be overcome? Is adaptive reuse of vernacular-built heritage in a complex urbanized context desirable? How do we avoid impact on authenticity caused by tourism with the tendency for commercialization and museumization of historic areas, and the resulting 'Disneyfication,' causing historic areas to resemble theme parks?

Key words:

Sustainability, education, integrated communication, participation

We need to decide what is more important – what are the priorities?

- Heritage/Community
- Development/Tourism