MEASURING HERITAGE

Conservation
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6th INTERNATIONAL SEMINAR ON
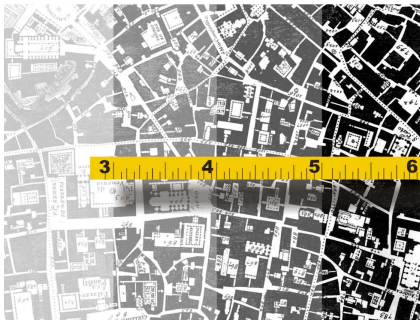URBAN CONSERVATION

Measuring Heritage Conservation Performance

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6th International Seminar on Urban Conservation

MEASURING HERITAGE CONSERVATION PERFORMANCE

Organized by Silvio Mendes Zancheti & Katriina Similä

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6th International Seminar on Urban Conservation

MEASURING HERITAGE CONSERVATION PERFORMANCE

March 29th – 31th 2011

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ORGANIZATION

CECI Centre for Advanced Studies in Integrated Conservation

ICCROM International Centre for the Study of the Preservation and Restoration of Cultural Property

MDU/UFPE Graduated Program in Urban Development – Federal University of Pernambuco

FUNDAJ Joaquim Nabuco Foundation

IPHAN National Institute of the Historic and Artistic Heritage

SUPPORT

CNPq *Conselho Nacional de Desenvolvimento Científico e Tecnológico*

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FOREWORD

ICCROM is an organization created by and for its Member States. For over half a century it has been our constant concern to maintain our relevance and usefulness for heritage institutions and professionals in different parts of the world. It is with this mandate in mind that I take great pleasure in presenting this publication, Measuring Heritage Conservation Performance, hoping it will reach the widest possible public. This volume is the compilation of the work presented at the 6th International Seminar on Urban Conservation organized in Recife, Brazil in March 2011.

In 2008, ICCROM's regional programme for Latin America and the Caribbean LATAM chose the theme of Economic Indicators in Heritage Conservation as one of its areas of collaboration. It was recognized that such a tool was necessary in all fields of heritage, in small archives, national museums or historic towns. The pressure to be accountable, and the lack of language and terminology to talk about what we do in these terms is felt throughout the cultural heritage field. CECI (Centre for Advanced Studies in Integrated Conservation) took the leadership in addressing this issue within the LATAM programme.

The seminar in Recife brought to light at least three important trends. Firstly, there is a substantial amount of work underway on this theme, both in academic and heritage settings. It is encouraging to note that the call for papers for the seminar attracted 120 proposals. Secondly, even if the seminar was organized within the framework of the regional LATAM programme, the papers proposed were from all over the world—confirming that this is an issue of interest not only to the Latin America and the Caribbean, but to colleagues and institutions worldwide. Thirdly, we have come to reconsider the title of our theme. What started out as Economic Indicators, has now matured and widened into Measuring Performance in Conservation, in recognition of the fact that the economics of conservation is only one dimension of accountability and that it is not necessarily a good thing to isolate this dimension from the wider context of social processes.

Measuring and indicating are useful activities to keep track of what we are doing: are we achieving the goals we set ourselves? Equally important is communicating with decision makers and other stakeholders, expressing the essence of our actions in terms understandable to people outside of our specialized field.

The diversity of approaches and the determination to come up and test different ways of measuring performance in conservation represented in these papers are a testimony of the eagerness of the heritage professionals to engage with the society at all levels. I hope sincerely that by making this body of work available we will not only encourage debate and discussion within conservation field, but also inspire engagement and participation of new colleagues from other areas of society, with whom we are willing and eager to join forces so as to build a more sustainable future.

Mounir Bouchenaki
Former Director-General, ICCROM

MEASURING HERITAGE CONSERVATION PERFORMANCE:
THE SEMINAR

INTRODUCTION

One of the great challenges for institutions and scholars of heritage conservation and protection has been to develop instruments for assessing the performance of the conservation actions of complex assets such as urban sites, cultural territories, landscapes and collections of many types of objects. UNESCO, for example, has been improving its Periodic Reports on the state of conservation of the assets on the World Heritage List in order to make the evaluations more transparent and less subject to distortions caused by technical and political constraints. However, monitoring and evaluation systems remain at an incipient stage; such systems would allow the performance of conservation actions and their impacts to be identified, recorded and assessed in an objective way. There are few conservation monitoring systems in continuous use and they are generally concentrated in developed countries with well-established heritage conservation institutional structures. Costs are generally used as an excuse for not implementing the monitoring systems, but also transparency is not a usual practice in heritage policies around the world.

There are some other difficulties encountered in designing and implementing heritage monitoring systems linked with the state of art of the conservation theory and practice. Ever since the *Burra Charter*, the theory of conservation has been undergoing a paradigm shift that sets the maintenance of significance as the central goal of heritage conservation. In addition to being informed by expert opinion, this change indicates that conservation of complex heritage assets must take into account the opinions of social actors directly involved with the assets (the stakeholders), and by doing so, this introduces cultural relativism and the use of subjectivity as an analytical tool. It is well established in theory that the assessment of the state of conservation of cultural assets is not objective in the positive sense. It depends on the subject that performs the evaluation and the criteria used to define damage or risks to the attributes of objects that convey values. This recognition does not put aside the objective methods for evaluating conservation, but frames them in a contingent structure. In this way, the use of indicators has been suggested as a useful way to construct a monitoring instrument applicable to the different types of complex assets as this permits the performance of conservation actions to be evaluated, as well as the associated public policies relating to conservation including the enhancement of economic value, sustainability and social inclusion.

The 6th International Seminar on Urban Conservation *Measuring Heritage Conservation Performance* addressed these issues by analysing both the theory and practice of evaluation of heritage conservation maintenance and of its impacts, and tried to respond to the following issues:

1) What are the consequences of change in the theoretical paradigm for monitoring and evaluation instruments for complex assets such as urban sites, cultural territories, landscapes and collections of various objects?

2) How can the performance of the conservation of heritage assets be evaluated over time? Can the performance of actions on different assets of the same kind or of different kinds be compared?

3) What lessons are to be learned from the use of indicators in the evaluation of conservation actions? Is it possible to estimate the efficiency and effectiveness of using these instruments for monitoring heritage conservation?

4) Have there been experiences of assessment or of use of conservation indicators that can contribute to the debate and so to the development of the theory and of the monitoring tools?

The response to the challenges posed by the call for papers was quite representative of the interest in the theme of the seminar. More than 120 abstracts were submitted, coming from specialists of academic and practical conservation and the development field from 23 different countries. During the seminar, 33 papers were chosen for presentation and/or inclusion in the proceedings. The Executive Committee of the seminar asked Isabel Villaseñor and Valerie Magar to prepare a position paper that would introduce the theme of the seminar to the participants and the authors of the papers.

This book gathers all papers selected for the 6th International Seminar on Urban Conservation. The papers were organized according to six subthemes for evaluation of conservation performance: identification and inventories; assessment and evaluation; economics and development; monitoring and measurements; participation and inclusivity; and indicators.

The 6th International Seminar on Urban Conservation was part of the activities of the LATAM Programme of ICCROM. It was held in Recife during the period of 29 - 31 March, 2011. It was jointly organized by the Centre for Advanced Studies in Integrated Conservation (CECI) and the Graduated Program on Urban Development of the Federal University of Pernambuco (MDU/UFPE), with the participation of the Brazilian National Institute of Historic and Artistic Heritage (IPHAN) and the Joaquim Nabuco Foundation (FUNDAJ). It received financial support from the following Brazilian institutions: *Conselho Nacional de Desenvolvimento Científico e Tecnológico* (CNPq), the *Coordenação de Aperfeiçoamento de Pessoal de Nível Superior* (CAPES) and the *Fundação de Amparo à Ciência e Tecnologia do Estado de Pernambuco* (FACEPE).

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Assessing the performance of conservation activities

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Abstract

The assessment of conservation activities is a growing field of research, which is the result of three different types of concerns. Firstly, conservation professionals are asking themselves, from a purely ethical and professional point of view, how successful their actions and activities have been. Secondly, this tendency is the result of pressing funding needs that have prompted conservators and heritage professionals to find ways to demonstrate the effectiveness of conservation in order to justify expenditure or request further funding. Finally, this concern has also been promoted by the necessity to engage with wider audiences through the use of adequate and convincing data, as well as a means of getting more public recognition and support. The paper does not aim at generating a specific methodological tool for the assessment of conservation practice. Rather, it aims at reviewing the various theoretical perspectives that have been proposed for the evaluation of the performance of conservation, as well as the various indicators that have been used or could be used for assessing both the positive and negative impacts of conservation activities. The paper reviews indicators and methodologies used by other fields of research in order to explore their applicability for the evaluation of conservation actions.

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Introduction

The need to assess conservation activities is a growing field of research, which is the result of three different types of concerns. Firstly, conservation professionals are asking themselves, from a purely ethical and professional point of view, how successful their actions have been. Secondly, pressing funding needs have prompted conservators and heritage professionals to find ways to demonstrate the usefulness and effectiveness of conservation in order to request funding. Finally, this concern has also been promoted by the necessity of conservation agencies and organizations to engage with wider audiences through the use of adequate and convincing data, as well as a means of getting more public recognition and support.

This paper does not aim at generating a specific methodological tool for the assessment of conservation practice. Rather, it aims at reviewing the various theoretical perspectives that have been proposed for the evaluation of the performance of conservation activities, as well as the various indicators that have been used or could be used for assessing both their positive and negative impacts. This paper also reviews indicators and methodologies used by other fields of research in order to explore their applicability for the evaluation of conservation actions.

1. Definitions and values of cultural heritage

Before evaluating the performance of any activity, it is necessary to define the criteria under which it is being evaluated, which necessarily requires defining the aims and objectives of such activity, as well as the theoretical discussions that underpin those aims. Any assessment of conservation activities requires therefore an explicit statement of what the aims and objectives are, as well as the motives and reasons that justify those aims. These discussions may seem unnecessary but they are in fact crucial because definitions of cultural heritage vary broadly across countries and cultural areas. Cultural heritage is also entailed with a variety of values and therefore the objectives of conservation activities are radically different depending on the cultural area and the types of projects.

This paper considers inclusive and broad perspectives for the definition of cultural heritage and for establishing the objectives of conservation practice. For this reason, international conventions and charters are reviewed, as they constitute the synthesis of worldwide discussions about cultural heritage and conservation.

The definition of cultural heritage has been expanding over the last decades. It is now considered that cultural heritage encompasses monuments, groups

of buildings and sites with cultural and natural values (UNESCO 1972), objects, landscapes and places of cultural significance (ICOMOS Australia, 1999), as well as living and intangible heritage (UNESCO 2003). Although this paper focuses on material (or tangible) cultural heritage, its principles could be used in the future to assess intangible cultural expressions.

2. FURTHER AIMS OF CONSERVATION PRACTICE

Perhaps the most widely accepted ideas about the aims of conservation are those established by the *Burra Charter* and the UNESCO Conventions, which consider that the primary aim of the profession is the conservation of cultural significance and the values that are entailed in cultural heritage. In this sense, it is widely accepted that the primary aim of conservation practice is to preserve the values attributed to heritage and those aspects that give significance to objects, buildings, sites, landscapes and traditions.

In recent years, however, professionals have questioned the role that conservation of cultural heritage must play in societies. Research carried out by the Getty Conservation Institute (2000, p. 3), for instance, has stressed that heritage conservation is "an integral part of civil society", and that conservation can no longer be an isolated profession with its own distinctive aims, but should reach out to people and have a positive impact on society, including social and economic benefits. British heritage professionals and institutions have also emphasized the role that conservation has in public life, arguing that a further aim of conservation is to have an impact on the social and economic realms of society (Jones and Holden, 2008). That is to say, there is a clear tendency of heritage conservation of shifting attention from cultural heritage to the social agents that confer cultural values to heritage.

Some recent trends have also gone further and considered not only the values placed on cultural heritage and the people involved with it, but also the environmental impacts generated by conservation practice. This is the case of National Trust, United Kingdom's non-governmental body in charge of protecting the country's heritage, which has proposed the *Triple Bottom Line Tool*. This approach draws on sustainability principles and considers the impact that conservation practice has on people, finance and environment (Lithgow and Thackray, 2009). However, it is worth noting that the environmental aspect should not only be seen as something to which negative impacts should be minimized, but

it should be regarded as an asset that could also be enhanced, given the fact that cultural and natural values are often closely linked, and natural values are also worthy of conservation, enhancement and responsible management.

Based on the outlined principles, an assessment of conservation activities should consider the preservation of cultural significance as well as a clear understanding of the positive and negative social, economic and environmental impacts that such activities may bring about.

3. ASSESSING THE PERFORMANCE OF CONSERVATION

In the field of culture and cultural heritage conservation, it has been recognized that indicators need to develop further since otherwise it is impossible to evaluate the success of related programs. After a thorough analysis of the world's situation of culture and development, the World Commission on Culture and Development (1996, pp. 44-53) highlighted the relevance of developing indicators in order to obtain a finer picture of specific situations.

In the field of environmental conservation, an indicator is defined as "a quantitative or qualitative factor or variable that provides a simple and reliable means to measure how well a desired outcome, value or criterion has been achieved or fulfilled" (Schreckenberg *et al.* 2010, p. 29). Indicators are therefore useful for evaluating long-term trends, and informing on planning and policy-making.

Indicators are also useful to encourage public involvement if they are used with a stakeholder approach. In this way, indicators can be used as reliable data to address the interested public before the reformulation of policies (see Figure 1).

Regarding the characteristics of indicators, it has been emphasized that they should be both conceptually-based and simplified in order to be practical (Hubbard, 2009). It is also worth noticing that indicators should always be dictated by the aims of conservation and by the values linked to cultural heritage that we are trying to protect. In this sense it is important to bear in mind that the cultural significance of each place or site is constantly being reformulated due to the changing nature of values (see Zancheti *et al.*, 2009). This implies that indicators need to be constantly reformulated in order to account for the change in cultural significance and the consequent change in the aims of conservation. Therefore, conservation activities should not try to
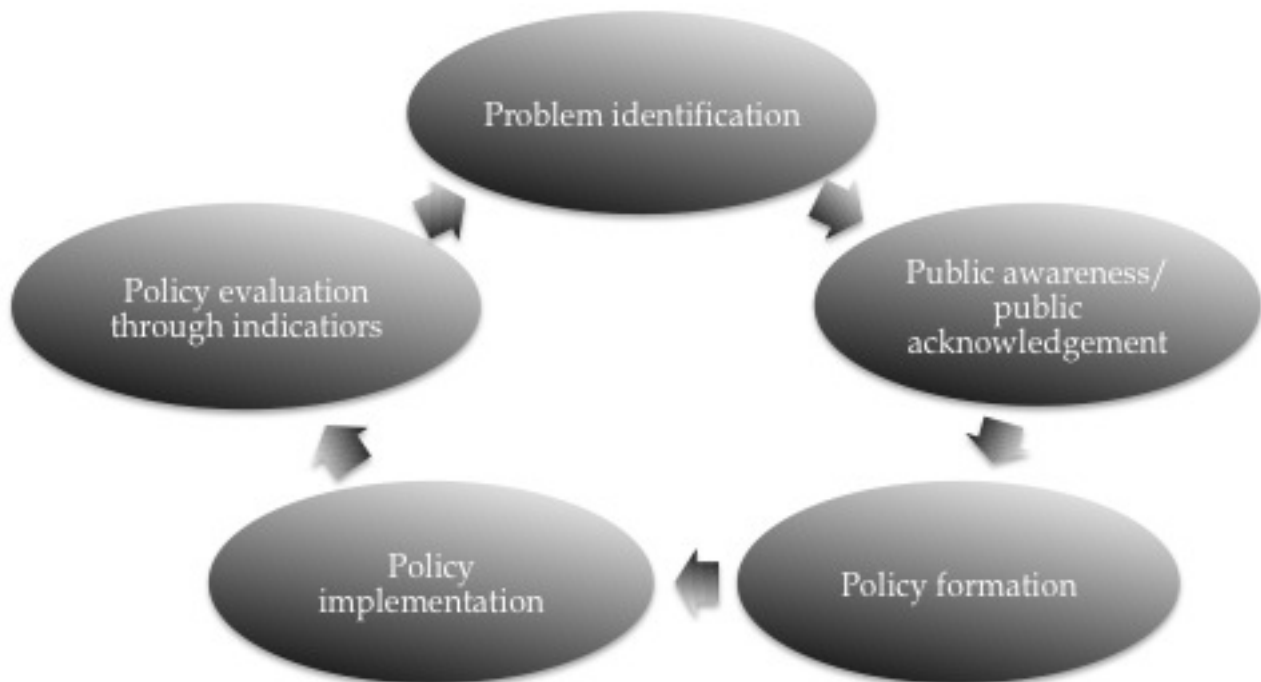
Figure 1. The role of an indicator in policy making (Source: Moldan, 1997, p. 59, cited in Miller, 2001).

meet the desired targets without carefully assessing whether indicators are still applicable.

Traditionally, indicators have been selected by conservation professionals or by national or international agencies. However, in the field of environmental conservation a different approach has been proposed by Fraser *et al.* (2006) and Nazarea *et al.* (1998) whereby indicators are selected by the stakeholders as a means of promoting community empowerment and sustainable environmental management, as well as capturing an accurate picture of the values attached to the natural environment. This approach could also be very useful in assessing the performance of cultural heritage conservation, since evaluation parameters and criteria would reflect the values that stakeholders confer to cultural heritage.

The types of indicators vary widely depending on the aspect that is being assessed. They range from quantifiable, objective and standardized indicators, such as relative humidity ranges for preventive conservation standards, to those qualitative and subjective culturally defined indicators, such as the sense of place related to cultural heritage.

It has been pointed out that the multidimensional and multi-objective nature of conservation demands evaluation techniques that comprise multiple criteria, which may be difficult to capture with a single index (Rostirolla, 1993, p. 136). For these reasons, we believe that it is not possible to standardize a method or define a specific list of indicators for evaluating

the performance of conservation in different countries and different kinds of projects. Consequently, this paper aims solely at compiling and analysing the existing literature on the topic, so that it informs on the design of specific evaluation tools that could be developed depending on the scale and characteristics of the projects, as well as on the socio-cultural context in which conservation activities take place.

Four areas of assessment are reviewed in this paper: a) the conservation of cultural significance, including both the fabric and the values ascribed to cultural heritage, b) economic impacts, c) social impacts, and d) environmental impacts. Each of these areas requires different indicators and methodologies of assessment.

4. Assessing the conservation of cultural significance

The cultural significance of heritage comprises both the fabric (materials) and the non-tangible values related to it. An alteration of the constitutive materials, for instance, has an impact on the integrity and authenticity of cultural goods, which are attributes that directly affect the way we perceive and value them. In this sense, it is worth keeping in mind that material and nonmaterial aspects of cultural significance are intricately linked. However, due to the different types of methods that are used to assess the fabric of heritage and those that inform

on its nonmaterial cultural values, they are reviewed separately.

4.1. Assessing the conservation of the fabric

The assessment and monitoring of conservation processes and materials that aim to preserve the fabric of cultural heritage have been long-standing concerns for conservation practitioners. For this reason, much data have been generated relating to the appropriateness of conservation materials and methods of intervention. It is without any doubt the most developed area of assessment, though it lacks standardized indicators due to the large variety of materials, types of decay and conservation processes to be recorded and monitored.

Some ranks and standards for the 'ideal' or 'optimum' conservation of heritage materials have been defined over time (Alcántara, 2002), with numerous publications indicating the results of very elaborate research mainly focused on museum and archive collections, but systematic approaches for the evaluation and monitoring of processes and methods (and their results) are still incipient (World Heritage Centre / ICCROM, 2002).

It is also worth mentioning that the relevance of conserving the fabric varies across cultures, since some cultures prioritize nonmaterial values over the conservation of the fabric. Perhaps one of the most disseminated examples is the rebuilding practices of Shinto shrines in Japan. In these shrines what is actually maintained is the tradition and construction know-how rather than the material itself, since buildings are demolished and reconstructed every 20 years (Brock-Nannestad, 2000, p. 30; Inaba, 2005) according to the Shinto belief about the renewal of nature. Examples from other parts of the world were clearly shown in ICCROM's Forum on living religious heritage (Stovel *et al.,* 2005).

Due to the degree of development of this area, as well as the variety of materials and conservation processes involved, this aspect is not analysed in detail here. The reader is advised to consult relevant work on remedial and preventive conservation, such as Appelbaum (2007), Matteini and Moles (2003), Roy and Smith (1994) and Adelstein (2004) as well as on monitoring (World Heritage Centre – ICCROM, 2002).

The overall trend is to recommend the use of a combination of identifiable and measurable elements, and accurate documentation techniques, so that evaluations can be repeated over time.

4.2. Assessing the conservation of nonmaterial cultural values

Due to the scientific approach that has characterized conservation practice in the last decades and the consequent predominant emphasis on the material fabric of heritage, assessing the conservation and enhancement of nonmaterial cultural values has often been overlooked. This has also been the result of an approach focusing on monuments and art collections that was developed in Western traditions. In this sense, the *Nara Document* (Lemaire and Stovel, 1994), the *Burra Charter* (ICOMOS Australia, 1999) and the *Convention for the Safeguarding of Intangible Cultural Heritage* (UNESCO, 2003) constitute important theoretical baseline knowledge in the formulation of a wider understanding of cultural heritage and for developing approaches that consider nonmaterial cultural values (Wijesuriya *et al.,* 2006).

The World Heritage Committee and various national heritage institutions have carried out assessments of cultural significance in order to decide whether a particular building, site or landscape can be inscribed on heritage lists, particularly the World Heritage List. In the same way, a common practice in conservation is to formulate a statement of significance that incorporates the values surrounding cultural heritage, and subsequently formulate the conservation proposal based on that statement. Unfortunately, however, conservation projects do not usually carry out these types of assessments after conservation activities take place, assuming that interventions do not change cultural significance and that only the assessment of the fabric is worth documenting, assessing and monitoring after conservation interventions.

Nonetheless, it is clear that conservation activities modify the way we interpret and value objects, landscapes and sites (Lemaire and Stovel, 1994, p. 2; Getty Conservation Institute, 2000, p. 8), and therefore conservation has an important impact on heritage's cultural significance. A clear example is the cleaning of Michelangelo's paintings of the Sistine Chapel at the Vatican. In this case, regardless of whether the cleaning processes did or did not remove original materials, the conservation intervention generated a huge controversy that had a tremendous impact on how the public and art specialists perceive these paintings (see Eliot, 1987; González Tirado, 2010), which modifies the values and the cultural significance attached to them.

The assessment of cultural significance is particularly relevant for living heritage, due to the crucial

Alonso, V. I. & V. M. Meurs. 2012. Assessing the performance of conservation activities. *In* Zancheti, S. M. & K. Similä, eds. *Measuring heritage conservation performance,* pp. 1-14. Rome, ICCROM.

role that cultural values play in this type of heritage. Miura (2005) and Baillie (2006) have already given a striking example in the case of Angkor, Cambodia, where traditional conservation approaches centring on historical and aesthetic values have undermined the living values of this site, causing a negative impact on its spiritual and social values. This is of paramount importance and a very much-overlooked aspect of conservation that requires attention in the formulation of any procedure that aims to assess conservation activities.

Authenticity and integrity constitute aspects of cultural significance that are relevant to assess before and after any intervention, since they may be altered by conservation actions. However, it has been observed that both authenticity and integrity depend on how these notions are understood by the different cultures. This realization has actually had an impact on the widening of UNESCO's definitions (see Lemaire and Stovel, 1994; World Heritage Centre, 2008).

In summary, the conservation of the fabric has been the most developed area of assessment in conservation. Regarding the nonmaterial aspects of cultural significance, although they have been considered in the formulation of statements of significance, the assessment of these values has been much overlooked in the evaluation of conservation activities, since it is largely taken for granted that they are not altered by conservation interventions. This should undoubtedly be reviewed, and recommendations be formulated to address this issue.

5. ASSESSING ECONOMIC IMPACTS OF CONSERVATION ACTIVITIES

Heritage economics is a relatively new field of research that involves many aspects of heritage conservation and economy. There is a growing realization that cultural heritage is worth conserving because it has a capital asset which has been called 'cultural capital' as it constitutes a force for development (Mason *et al.* 1999; Throsby, 1999). In this sense it is worth mentioning that a European Commission survey demonstrated that the cultural sector showed larger economic growth in comparison to other industries that had been traditionally considered as more productive (Giordano, 2007).

There are various postures in considering the different ways in which cultural heritage can be used to promote economic benefits, and they range from the ones that privilege profitability – often undermining other values of cultural heritage – to the ones that

have a more balanced approach in which the economic factor is only one aspect amongst many others to be considered. In this sense it is necessary to refer to the *Burra Charter*, in which the concept of compatible use is explained. That is to say, cultural heritage may be used and enjoyed by present generations, although this should not compromise its integrity and its values and should involve "no or minimal change on its cultural significance" (ICOMOS Australia, 1999, p. 3). In this way, and along with the principles of sustainability, cultural heritage should be used and economically exploited in ways that do not damage its values and do not compromise its future use and enjoyment.

Despite the relevance between cultural heritage and economics, a proper discourse to establish a dialogue between heritage professionals and economic instances has not always been developed, partly because conservators and heritage professionals have been more focused on the technical, ethical and educational aspects of their professions.

Additionally, the lack of interest and discussion has partly been the result of specific institutional and working frameworks of conservation practice. For instance, heritage professionals from countries where governmental bodies are in charge of cultural heritage conservation have been less actively involved in economic discussions, since they are hired by national institutions and given allocated financial resources. In contrast, conservators from countries where conservation is in hands of nongovernmental bodies have become more aware of the relevance of the economics of conservation and the need to justify their actions to governments and funding bodies. These countries are the ones that have developed methodologies for assessing conservation activities with the aim of obtaining convincing data to request financial resources to funding instances.

5.1. Use values vs. non-use values

Despite these advancements, quantitative assessments of the economics of conservation and restoration of cultural heritage remain elusive due to the complex mix of use and non-use values (Mason, 2005, p. 11). Use values comprise those values that are related to the use of heritage, directly or indirectly, at present or in the future. Examples of use values are tourism, education and research, which may produce jobs or tax revenues. In contrast, nonuse values do not involve a direct economic benefit, but represent, for instance, the values of knowing that particular goods exist.

This duality regarding use and non-use values in the benefits of cultural heritage conservation has influenced the way economic studies are carried out; some studies start with the premise that conservation multiplies the benefits of investments because it provides positive outcomes or externalities, while many others focus on the fact that the generation of use values gives origin to non-use values, such as social values (Mason, 2005, p. 12).

Moreover, in addition to the mixture of use and non-use values, heritage conservation produces private and public benefits. This is in turn related to whether investments are made with public or private funds. In the first case, the aim of public investment is to maximize social welfare, and therefore it is concerned not only with economic benefits but also with public social values. In the case of private funding, the emphasis may be solely on economic terms (Peacock and Rizzo, 2009, p. 137), and the evaluation of the investment's benefits is therefore different. Due to the mixture of use and non-use values, as well as private and public interests, it is not possible to establish a straightforward cost-benefit type of analysis, since monetary investment of conservation activities is not comparable, for instance, with social benefits obtained after conservation activities.

It is worth noticing that depending on the scale and characteristics of conservation projects, specific benefits can be expected. Small-scale rural conservation projects, for instance, have different scopes and economic expectations in comparison with the conservation of historic town centres.

5.2. Methods of assessing economic impacts

Mason (2005) has already reviewed various methods of assessment in conservation projects, including cost-benefit studies, economic impact studies, choice modelling (consumer preferences or non-use values), and regression analysis of multiple variables and their relationship with heritage conservation.

Some of the most often used methods to assess economic benefits have been the 'basic cost studies': in particular, cost-benefit analysis. This type of analysis looks at the incomes and outlays of projects, which aims at assisting decision makers by informing them between investment alternatives. They are usually not concerned with non-use values and care has to be taken as to what costs and benefits are included in the analysis (Rypkema, 1991; cited in Mason, 2005, p. 12). English Heritage's 'Dividend Methodology' (English Heritage, 2005), for instance, is a cost-benefit study that looked at the total amount of money

and balanced it against the number of buildings improved, commercial and domestic floor space renovated, number of jobs created and environmental improvements. This study was very useful for repositioning English Heritage and for demonstrating the effectiveness of the institution in regenerating some of the most economically deprived areas in the United Kingdom.

Other methodologies comprise economic impact studies (EIS). These methods assess use values of conservation activities within the context of a specific local or regional economy. They range from quantifying conservation investment and balancing it against money returned to governments in the form of tax revenues (Listokin *et al.,* 2002; cited in Mason, 2005, p. 8) to comparing the numbers of jobs produced by conservation activities to those jobs that would have been produced by construction activities of new buildings (New Jersey Historic Trust, 1998; cited in Mason, 2005, p. 17).

Economic impact studies have reached consensus in the fact that heritage conservation constitutes a good economic investment. In the United States, these types of studies have concluded that investment in conservation does pay off mainly due to tax revenues resulting from those investments, although some of these studies are based on gross assumptions (Mason, 2005, p. 14). Nonetheless, economic impact studies have the disadvantage of being very resource-intensive, requiring considerable amounts of money to carry out the analysis, often with the necessary data being unavailable. A frequent weakness of economic impact studies is the lack of comparison with other investment alternatives, since most of these studies conclude that conservation is a good investment, although with no reference with other options (Mason, 2005, p. 13).

5.3. Cultural tourism, conservation and economic impacts

Without any doubt, the argument that has been more often used in demonstrating the economic benefits of cultural heritage is tourism, which is briefly analysed here because it is sometimes intricately linked with conservation and management projects of cultural heritage. Historic and archaeological sites attract millions of tourists every day from all over the world, which leaves substantial amounts of money in the form of entrance tickets to sites, hotels, restaurants, airlines, etc. Nonetheless, immediate concerns are raised for those familiar with heritage management and conservation. These concerns include the possible environmental implications, and whether

tourism contributes to the conservation of heritage and promotes an adequate socioeconomic development. One important aspect to be considered is the distribution of money brought by tourism, since there are many cases in which the money ends up in few hands, often of foreign origin, instead of being evenly distributed in the local community.

The Centre for Sustainable Destinations of National Geographic has outlined the *Geoturism Charter* (2010), which endorses the principles of the *Global Code of Ethics for Tourism* of the World Tourism Organization (1999), as well as those embodied on the *International Cultural Tourism Charter* (ICOMOS, 1999). The *Geoturism Charter* therefore encourages tourism that sustains and enhances "the geographical character of a place – its environment, culture, aesthetics, heritage, and the well-being of its residents" (2010). The charter encourages the respect for the natural and cultural integrity of places, minimizing impacts and promoting a richer tourist experience.

Indicators for evaluating the sustainability of tourism are still being developed, and often no consensus exists due to the nature of subjective qualitative data, as well as the fact that on occasion the definition of sustainable tourism is not clear-cut. However, the Delphi technique has been used as method for assessing sustainable tourism (Miller, 2001). This technique consists of having a group of specialists who answer questions in two or more rounds. An anonymous summary is provided after each round, which allows the experts to reconsider their own opinion in the light of others', with the aim of achieving comprehensive consensual answers after some rounds.

In summary, the assessment of economic benefits of conservation activities is a complex task due to the mixture of use and non-use values, as well as the public and private benefits. Cost benefit analyses and economic impact studies are the most often used assessment tools, although they usually overlook non-use values. Even though it is not the aim of this paper to analyse cultural tourism, it is necessary to say that the economic benefits of cultural tourism can only be considered positive when the conservation of cultural heritage is not compromised, neither in terms of physical integrity, nor in terms of cultural significance, and when an adequate and sustainable local socioeconomic development is promoted, together with the conservation of the environment.

6. Assessing social impacts of conservation activities

Social indicators are only starting to be developed, and no standardized methodologies exist regarding how to assess social impacts of cultural heritage conservation. Moreover, when assessments do exist, it is often difficult to evaluate the impact of heritage projects because there are no data available for the periods before the start of the project (see RIMISP, 2007, p. 7).

Social impacts and the improvement in people's quality of life have been a frequently overlooked aspect in the evaluation of conservation activities. However, despite these aspects not being formally assessed, numerous projects across the world have shown that the conservation and revalorization of cultural heritage builds on social capital in a variety of ways, which is something that can contribute positively to the sustainable development of communities.

The emphasis on social aspects is paralleled with the development of different theoretical stands in the economics of development, whereby development is understood in much broader terms, including aspects beyond mere economic growth. The United Nations Development Programme (UNDP) considers that human development 'is about people realizing their potential, increasing their choices and enjoying the freedom to lead lives they value' (UNDP, 2010). Specifically about culture, the World Commission on Culture and Development (1996) of UNESCO on its final report, *Our Creative Diversity*, gave further insights on the relationship between culture and development, with the aim of expanding the notion of development.

This social emphasis in some conservation projects is also paralleled with the strand of archaeological practice known as Public Archaeology (see Merriman, 2004), which in turn derives from general stakeholder theory (see Jones, 1995; Scheffran, 2006). This approach makes an emphasis on the active involvement of individuals, taking into account their views and perspectives in decision making processes and sometimes of conservation activities as well. As mentioned below, many conservation projects across the world have resulted in a sustainable development of communities, although this has not been assessed through the use of indicators.

Alonso, V. I. & V. M. Meurs. 2012. Assessing the performance of conservation activities. *In* Zancheti, S. M. & K. Similä, eds. *Measuring heritage conservation performance,* pp. 1-14. Rome, ICCROM.

6.1. Social capital, sense of community and sense of cultural identity

As mentioned above, one aspect that is frequently mentioned in conservation heritage projects is social capital, which is defined as the degree of connectedness between individuals or groups, which give them a variety of benefits and the ability to become more productive (Paxton, 1999, p. 90). Social capital depends mainly on the trust that individuals have on each other, as well as on the association capacity of groups. Both trust and association capacity have been measured by structured interviews with scoring systems, in which individuals are asked questions about their social life and the trust they have in people (Paxton, 1999, pp. 105-107).

The sense of community is also a very frequent aspect cited in conservation and heritage literature, which is described as a very powerful and positive feeling from individuals belonging to a particular social group that can be enhanced through the valorization and enjoyment of cultural heritage. Sense of community has a dramatic effect on people's attitudes and actions, since it positively affects their perception of social relations and their own control and empowerment. Sense of community has also been assessed through structured interviews with questions about how people feel about their communities (Chavis and Wandersman, 1990).

Sense of community is closely related to sense of cultural identity. The latter is a type of collective identity, by which individuals feel, in a self-ascribed way, connected to other individuals who share some cultural characteristics (Ashmore *et al.*, 2004, p. 81). Cultural identity is based on a common cultural heritage that may appeal to ethnic, religious or national values and aspirations. However, we know that heritage and cultural identity may also be a source of conflict when tolerance and cultural diversity are not promoted. For this reason any assessment should also consider the negative social consequences that conservation and the revalorization of cultural heritage may bring about. The sense of cultural identity is generally assessed through questions of self-understanding and self-ascription. It has also been assessed through the use of discourse analysis and content analysis. Discourse analysis is the qualitative interpretative analysis of meaning that is applied to texts, speeches, and social practices in which social actors express themselves (Abdelal *et al.*, 2005, p. 14), which requires deep social knowledge and interpretative skills, as well as familiarity with the cultural discourse. Content analysis is a quantitative assessment of specific meaning codes that are present in texts or speeches (Abdelal *et al.*, 2005, p. 17).

The sense of place is also a potential social benefit obtained with the conservation of cultural heritage. In this respect, English Heritage (2009, p. 13) states that the revalorization of the historic environment has a clear positive impact on the sense of place that people have, which in turn can impact on crime levels, social inclusion and regeneration. Individuals with stronger sense of place, therefore, engage with their communities in a more active way and therefore build on social capital. English Heritage's approach is underpinned by the notion of 'sustainable communities', which aims, among other things, at developing the local economy, encouraging participation of community members and fostering a diverse creative culture with a strong sense of place (English Heritage, 2005, p. 10).

6.2. Positive social impacts: some examples

Some concrete experiences of conservation and heritage projects have shown positive social impacts, albeit without standardized social indicators to demonstrate this success.

In the case of Incallajta, an important archaeological site in Bolivia, involvement of the local community in the excavation and management of the site resulted in the revalorization of the archaeological remains, which propitiated a harmonic and sustainable development of the community based on the strengthening of social bonds (Muñoz Collazos, 2007).

A similar approach has been taken on projects by conservators from the *Coordinación Nacional de Conservación del Patrimonio Cultural* (CNCPC) of Mexico. These projects have a community-based approach that emphasize the active participation of members from rural or small-scale communities, and in fact conservators only intervene when communities have asked for professional assistance (Magar, 2005; Noval Vilar, 2010). This group of conservators consider the members of communities as the legitimate owners of this heritage (Noval Vilar, 2009), in contrast to national discourse and legislation that emphasizes national ownership (Diario Oficial de la Federación, 1972). After conservators have been called by the communities, the first stage is to organize 'reflection workshops' where the values of heritage are discussed and outlined that dictate the conservation processes. These projects aim at developing a sense of common ownership of their

heritage, strengthening their cultural identity and social bonds (Herbert, 2003). The projects have been largely successful not only because they promote conservation of their heritage in a sustainable way, but also because they foster social and economic development of these communities, which are usually impoverished and marginalized, with low schooling indexes and deprived of young men who have migrated elsewhere in search of better income possibilities (Noval Vilar and Schneider, 2005).

In the same way, the archaeological research project carried out at the Huacas of the Northern Coast of Peru focused on the revalorization of cultural heritage, particularly earthen architecture, in order to promote sustainable development through the reinforcement of territorial cultural identity (RIMISP, 2007). The study made a qualitative assessment, with positive results on aspects such as territorial identity, social inclusion, social cohesion and tourism development (RIMISP, 2007, p. 80).

Following these ideas, we know that many conservation activities and other heritage projects have positive social impacts, although the real challenge is to develop and use indicators for the assessment of social benefits because conclusions tend to be based on appreciations. In the same way, the lack of assessment methodologies may result in negative impacts being overlooked.

To sum up, social impacts have been much overlooked in the assessment of conservation activities. Although conservation projects have reported important social benefits, indicators have not been used and possible negative impacts have been neglected. Social sciences and environmental conservation have developed some methodologies for the assessment of social impacts that may be applicable to cultural heritage conservation.

7. ASSESSING ENVIRONMENTAL IMPACTS OF CONSERVATION ACTIVITIES

It is paradoxical to think that despite the fact that environmental ethics have informed and inspired much of the ethic of cultural heritage conservation, very little interest has been taken in conservation activities to pro-actively protect the natural environment.

The environmental implications of cultural heritage conservation actions – as in any kind of human activity – are becoming increasingly relevant in the light of abundant evidence that shows the degradation of the physical environment and the depletion

of the world's natural resources. More recently, scientific evidence has also shown that human-produced greenhouse gas emissions have had a strong impact on climate change, which is becoming an idea widely accepted by policy makers worldwide. However, attitudes towards the care of the environment differ widely across countries; this is the result of varying cultural conceptions of nature as well as different levels of public awareness and degrees to which environmental issues are incorporated in public policies and discourse.

In addition to concern about minimizing the impact of conservation activities on the natural environment, there is a need to preserve and enhance the natural character of sites that possess both cultural and natural significance. In this sense, the environment is an essential aspect of sites with mixed values and something that is worth using and enjoying as well as conserving for future generations.

Another cause for concern, which has led to a more focused attention on the environment, is the impact of climate change in heritage conservation concomitant with the documented increase in natural disasters.

7.1. Assessing natural values

Regarding the determination of natural values of sites and landscapes, the criteria of UNESCO (2010) may be used not only for selecting the most outstanding examples of natural sites, but also for pinpointing the presence of natural values. These criteria include the natural beauty of a place, its relevance for representing the earth's history, or the existence of habitats that are important for preserving biological diversity.

In addition, statements of natural significance can be obtained by consulting stakeholders, in the same way that statements of cultural significance are obtained. A specific methodology for capturing the perception of individuals about their natural landscape is the method known as 'thematic appreciation'. This technique examines the stories narrated by individuals when they observe pictures of their natural landscape (Nazarea *et al.,* 1998), which may be used for identifying subjective values attached to the natural heritage, as well as for monitoring changes in the perception of those values.

7.2. Assessing negative environmental impacts

Regarding the negative environmental impacts of conservation, greenhouse emissions are probably one of the most important consequences to consider.

Air travel in particular can contribute enormous amounts of greenhouse gases that are pumped into the atmosphere, something that is often intentionally or unintentionally overlooked. A round-trip economy class flight from New York to Shanghai, for instance, contributes 2,000 kg of CO_2 (International Civil Aviation Organization, 2010). Air travel should therefore be considered in all conservation activities, including human and materials transportation for conservation projects, meetings, seminars and training courses. A number of methods to calculate carbon emissions have been created (see Carbon Footprint, 2010; The Nature Conservancy, 2010), which could be easily incorporated into integrated methodologies for measuring the results of conservation actions.

Preventive conservation of collections may also be very demanding in terms of the energy required for environmental control, especially air conditioning, which produces large carbon emissions. Measurements of energy bills should therefore be monitored and targets regarding the efficiency and possible reduction of energy use should be established. In recent years, a special focus has been given to developing sustainable approaches for the control of environmental conditions within museums, particularly by looking at the possibilities offered by traditional building techniques (Toledo, 2006).

In addition to the emission of greenhouse gases, there are many conservation materials and process that can have a considerable negative impact on the environment. They include the use and discard of solvents and other toxic substances such as biocides, adhesives and consolidants, as well as the discard of various types of solid waste such as packaging material used in collections, and rubble produced by architectural restoration. Some indicators for such impacts may be found in Hammond *et al.* (1995, p. 20).

7.3. An example of environmentally-aware methodology

One of the few methodologies that considers environmental impacts as criteria for evaluation is the National Trust's *Triple Bottom Line Tool*, which aims at assessing the impact that conservation activities have on people, finance and the environment. The theoretical underpinnings of this approach derive from sustainable frameworks, in particular the World Commission on Environment and Development, which defines sustainable development as "development that meets the needs and aspirations of the present without compromising the ability of

future generations to meet their own needs" (World Commission on Environment and Development, 1987, p. 43).

The criteria of the *Triple Bottom Line Tool* include energy and water consumption, as well as waste and carbon footprint. This assessment tool includes not only the impact of building and conservation activities, but also indirect activities such as human and materials transportation related to the projects and the amounts of greenhouse emissions they produce.

In summary, the environmental aspect is also a highly overlooked area of assessment of conservation activities, although some countries have started to incorporate these issues in their evaluation methodologies. It is beyond the scope of this paper to review all the literature of environmental indicators but a good review can be found in Niemi and McDonald (2004).

Conclusions

Due to the fact that definitions and aims of heritage conservation have widened during the last decades, there is a need to develop new approaches and methodologies for assessing the performance of conservation activities. One of the most important tendencies in conservation has been the shifting of attention from cultural heritage to the people that value such heritage.

There is a growing need to evaluate the efficacy of conservation activities. However, indicators and methodologies of assessment are much needed in order to capture the necessary data to monitor the conservation of values entailed in cultural heritage, as well as the economic, social and environmental impacts that conservation activities may produce. Assessments are needed in order to communicate to funding bodies, policy makers and the interested public with sound and convincing data about the possible benefits of conservation. However, it must be stressed that both positive and negative impacts of all aspects involved in conservation practice should be assessed. In this sense, it is emphasized that the aim of assessments should not be to demonstrate the benefits of conservation, but to evaluate the performance of this activity in order to guide future interventions, maximize benefits and avoid negative impacts.

In trying to evaluate the performance of conservation, a comprehensive stance has to be taken in order to avoid overlooking the multidimensional nature of cultural heritage and the material and nonmaterial

values that stakeholders confer to it. Assessing only a few areas of conservation or making use of restrictive indicators may lead to misleading conclusions about the performance of conservation.

Traditionally, material aspects of conservation activities have been the most privileged area of assessment. In recent years the role of nonmaterial values has been stressed, and therefore it is emphasized that cultural significance assessments should also be carried out after conservation activities, as it has become clear that conservation does in fact have an important impact on this aspect.

The economic benefits of cultural heritage conservation have gained more relevance in the last couple of decades, whereas social benefits and sense of well-being are more recently starting to be explored. However, a largely overlooked aspect of conservation practice is environmental impact, which has not been incorporated in the discourse of mainstream conservation practice but is in urgent need of evaluation.

For the development of evaluation approaches, all of these aspects will require time, with indicators focusing on heritage before, during and after conservation actions or projects, as well as the possibility of replicating the measurements or assessments over time, in order to get reliable and comparable data.

Measuring the performance of conservation activities poses many methodological problems. It involves using radically different indicators, both quantitative and qualitative, which depend on the type of heritage, the type of intervention, and the socio-cultural context in which conservation projects take place. This implies that specific methodologies need to be developed locally, that may only work for certain types of interventions or certain types of projects. Therefore, designing a specific multinational index is not recommended, since it may not be applicable to all countries or situations.

In the future, many methodologies from other fields, especially environmental conservation, may be applicable to cultural heritage conservation. Finally, it will always be important to bear in mind that conservation goals should dictate indicators and not the other way around.

ACKNOWLEDGEMENTS

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Conserving and identifying heritage: a methodological contribution

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Abstract

This article sets out a methodology for identifying cultural heritage. It has been compiled by condensing several studies undertaken at the Centre for Advanced Studies in Integrated Conservation (CECI) during the Post-Graduate Program in Urban Development (MDU UFPE). It is held that the identification process is an indispensable activity not only for recognizing cultural assets as heritage of a collectivity of people, but also as a process for generating information from which guardianship of this heritage and the management of its conservation can be defined. In order to meet these conceptual and doctrinal challenges, three experiences of applying the methodology will be adopted as empirical references: the Isthmus of Olinda and Recife, the Saint Peter of the Clerics Courtyard and the towns of Água Branca, Delmiro Gouveia and Olho d'Água do Casado - Alagoas. The article is structured so as to follow an expository thread which enables the reader to understand general assumptions, experiences that have taken place and a detailed explanation of the methodology for identifying heritage to be better understood.

Keywords: Identifying heritage, methodology for identification, historical sites, conservation planning

[1] FPE

[2] UnB

[3] CECI-UFPE

[4] CECI-UFPE

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Introduction

From the perspective of planning urban conservation, the process of identifying heritage assumes an indispensable role. Besides being fundamental to recognizing cultural assets as the heritage of a collectivity of people, since such recognition also provides them with legal protection, it is also a dimension to be considered in setting up monitoring and evaluation systems. According to Viñas (2003, p. 40), it has to be considered that the contemporary theory of conservation posits that the recognition of the value of heritage can be changeable over time and "it is a conventional value, agreed and granted by a group of people, and this may include, in some cases, by a single person."[1] The identification procedure should also be considered as a moment of assessment to be repeated. Therefore, methodologies of identification gain notoriety because it is at the time that they are applied that they have gathered guideline information in order to define parameters and conservation strategies over time. Further, the shaping, adoption and implementation of a methodology will be an integral part of validating recognition.

Stovel (2004), on addressing the issue, believes that the classification process and the periodic reports of the assets included in the World Heritage List are two sides of the same coin. According to him, the classification process is understood simply as the first phase of data collection, as it provides the base parameters for a future review. The periodic report, in turn, is understood as a second, third or final stage of reviewing the data collected for the classification document.

The quality and reliability of the information collected during the process of identifying heritage assume central importance for designating the evaluation and monitoring instruments. The condition of the asset at the time of its being recognized as heritage, therefore, becomes the raw material and benchmark for constructing the instruments and evaluating the results of conservation, respectively.

Theoretical and applied studies conducted by the Centre for Advanced Studies in Integrated Conservation (CECI), by the team that is a component of the Service for Identifying and Authenticating Cultural heritage (SIAC), enabled a methodology for identifying heritage assets to be drawn up. The objects considered in order to define the methodological steps are material cultural assets, especially historic sites. The development of this methodology begins with the understanding that identifying cultural property requires different modes of knowledge of its built attributes to be adopted.

The following investigative tools were used: research studies on urban history and oral history, reading of the urban layout and surveying the landscape and urban-architectural areas. These are considered in what falls within knowledge of a material object and, in particular, with regard to the physical-spatial and functional attributes. The application of these axes, taken together, should consider the nature of the asset, the objectives of the study, the products to be presented (book, pamphlet, manual, signage, web page, etc.), alongside the existing human and financial resources.

The methodology presented in this article is based on presenting three experiences undertaken in urban areas and then, the procedures adopted are evaluated. These three projects took place between 2005 and 2008 and were carried out in the cities of Olinda and Recife, in the state of Pernambuco, and Água Branca, Delmiro Gouveia and Olho d'Água do Casado, in the State of Alagoas.

The assembly of this methodology is an important contribution to discussions on instruments for planning conservation in historic areas, the scope of which is to produce information to identify, evaluate and disseminate the values and attributes of a particular item of cultural heritage, i.e. to make it possible to explain the cultural significance of a heritage asset.

1. IDENTIFYING CULTURAL ASSETS AND EXPERIENCES UNDERGONE

1.1. Isthmus of Olinda-Recife: history, identity and memory

The study concerning the 'Isthmus of Olinda-Recife: history, identity and memory',[2] was underpinned by historical research and revealed historical and cultural attributes long since forgotten on the isthmus. It included oral history research, used to identify the memory of the place contained in reports and formal statements from experts and residents, and reading of the current natural and built landscapes.

1.2. Historical research and oral history research

The research strategy was concentrated, first and foremost, on the historical survey. This consisted of identifying and recording primary and secondary sources with emphasis being given to iconography and printed material of the age in addition to bibliographies and current photographs.[3] The investigation of these sources was guided by splitting

long-term historical time into two periods: the first refers to the period from the 16th to the 19th centuries[4] and the second to the 20th and 21st centuries.

The survey of the historical sources was conducted in libraries and archives in the cities of Olinda and Recife. The recording and cataloguing of the documentary sources followed a standard catalogue card model that enabled the records to be collected speedily and uniformly. The cards were organized by theme and consist of a printed catalogue for internal consultation by the researchers.

The iconographic records were divided into maps, photographs and lithographs.[5] A general catalogue of the images, identifying the institution, the author and the bibliographic reference was compiled, and became part of a digital archive.

Research in the cities' documentary and iconographic collection was not the only form of research on the isthmus. The oral reports of those living in the shanties by the isthmus and of Pernambuco intellectuals were also incorporated into the sources, in order to register sketches of such people's memory of and identification with the isthmus. Thus, investigation directed the survey of oral history to two focus groups: Pernambuco intellectuals; and residents of the shanties known as Maruim Island and the Slum of Milagres, which lie next to the isthmus. The first focus group consisted of three scholars: the architect and historian Jose Luis da Mota Menezes and the journalist and historian Leonardo Dantas, who are knowledgeable about the history and culture of Pernambuco, and the archaeologist Ana Nascimento, project coordinator of the archaeological excavations on the Isthmus of Olinda and Recife. The second group consisted of three elderly residents of the area.

The interviews were guided by induction, utilizing questions and informal conversations, in line with the possibilities offered by each focus group. In the group of experts, the conversation was guided by topics, which then guided the drawing up of ten questions to form a questionnaire. It was applied; the statements were recorded, transcribed and interpreted.

The oral record of the group of shanty residents differed from the technique used with the experts. We did not build a questionnaire in order to avoid provoking inhibition and negative reactions from the respondents. An identification card was drafted with the interviewee's personal data, and contained the following variables: age, place and social group. In order to use the recorder, the interviewee's consent was first sought. The recording of the statements

took place during informal conversations and questions about the place, which led to their recalling the facts by using keywords of common concern to their daily lives. The oral statements were transcribed into a digital base such that they form an archive on the Isthmus of Olinda and Recife.

1.3. The reading of the urban layout

The reading of the urban layout followed the elements of its urban-environmental structure: physical structure and active structure. To this end, we used the Unibase of Recife and Olinda and current photographs. The reading was conducted, after defining the study area, over five visits to the following locations: the isthmus itself, Maruim Island, the port of Recife and the city of Olinda, which enabled us to locate the isthmus in relation to the cities of Olinda and Recife and its access points and to define seven landscapes or environmental units and make a formal characterization of each of these landscapes. The visits were structured prior to their being made in accordance with each of the surveys. The information collected was recorded on maps and field cards.

1.4. Interpretation of the documentary historical sources

Having organized the documentary sources, we proceeded to match these up and check the consistency of the information, as well as interpreting this material.

The official primary sources, such as engineers' reports, were analyzed in line with the technical language used, their criteria for value and the progressive discourse that permeated engineers' plans in the late 19th and early 20th centuries. Thus, the language, values, and discourse were also elements of analysing consistency of the newspapers of the age, travel and war diaries, folklore and poetry in addition to legislation on protection, all of which described the isthmus as being at the heart or its specific historical context.

The consistency of the secondary sources was verified as per the research focus and by identifying inconsistencies in relation to the history of the isthmus. The fortifications built there during the Dutch occupation, for example, contain elements for discussion and unproven information according to some authors. Therefore, works that showed dubious information were dispensed with so as to proceed towards another important step: comparing different sources that had been researched.

Comparing the sources represented one of the main stages of the research, this being the time to raise hypotheses and to establish key themes about the inflections of history and the meanings acquired by the isthmus over the centuries. In this phase, all the different kinds of historical sources were contextualized and compared in order to check the multiple ways of understanding the place.

It should be noted that the landscapes and the isthmus seen from Olinda and from Recife as well as the statements of the residents and the experts shape a significant part of how to identify the place, how it is remembered and what its unique features are.

Having identified the asset, and having confirmed its authenticity and integrity, the project moved on to producing the website using a web design team which was different from the team that conducted the studies. Thus, adjustments were made and complementary text and iconography added to the media and information language.[6]

1.5. Advertising the Saint Peter of the Clerics Courtyard[7] in Recife as a tourist attraction

The urban and architectural complex called 'The Saint Peter of the Clerics Courtyard', an asset listed by Iphan, comprises the Church of Saint Peter of the Clerics and the houses surrounding it. Besides the beauty that results from the contrast formed between the richness of the church and the simplicity of the surrounding buildings, the whole unit displays great urban unity and is one of the most complete in the neighbourhood of Santo Antônio. The Saint Peter of the Clerics Courtyard also bears witness the diversity of Pernambuco's traditional popular manifestations, having been classified by Gilberto Freyre as the place which is the "most Recife-like in Recife". However, despite having these attributes, the courtyard has been undergoing a process of being forgotten about and becoming degraded, which goes straight back to the state of conservation of its assets, which have fallen into disrepair.

Given this situation, the project 'Promotion of Tourism in the Saint Peter of the Clerics Courtyard in Recife'[8] was carried out in order to advertize the place as a tourist attraction. One of its products is the website 'Saint Peter Courtyard: Popular Tradition and Tourism in Pernamco'.[9]

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1.6. The construction of the site: content and form

The creation of the website followed a logic of construction based on historical interpretation, morphological interpretation, and the interpretation of the traditional popular manifestations of the site, held in interaction with the local community. The methodology adopted involved the local community in the decisions to be taken, ranging from the design of material containing information to the formatting of the final product. To do this, the CECI technical team endeavoured to raise awareness among the various social actors present (religious bodies, residents, owners of bars and restaurants, city managers) of the relevance of the historical and artistic value attributed to the site by calling attention to its cultural significance and the importance of the role of the community as a 'guardian of heritage'.

The stages of the work consisted of: identifying the place, defining the themes, analysing the relationship of the community with the history of the site and the construction of the narrative; these sometimes took place simultaneously.

1.7. The historical interpretation

Saint Peter of the Clerics Courtyard is considered one of the most expressive architectural and urban groupings of Baroque culture in Pernambuco, in which the importance of the Church of Saint Peter of the Clerics stands out. The church, with its traces of Baroque, and the houses surrounding it have been the subject of numerous studies in the field of the history of art and architecture. These have given high value to this religious monument and the architectural grouping, and have categorized it as a national historical and artistic heritage asset. Saint Peter of the Clerics Courtyard keeps, in its urban configuration, traces of Dutch Baroque, which had a profound impact on the history of Recife. Archaeological studies carried out in the late 1990s showed that an aspect of the layout of the group of houses of the courtyard was part of the so-called City Maurícia or 'Mauritiopolis', designed and constructed during the government of Maurice of Nassau (1637-1644).

1.8. The morphological interpretation

The urban and architectural grouping of the Saint Peter of the Clerics Courtyard consists of the Church of Saint Peter, the courtyard and 63 buildings that surround the four sides of the church. The buildings surrounding the church are mostly single-story houses, but include three two-storey town houses (*sobrados*) and twelve one-story town houses. The greatest incidence of townhouses in the courtyard is in the block opposite the church façade, thus creating a dialogue between the voluminous buildings in the tall category. The townhouses, in general, stand out because of their height, which is different from the rest, and the fine decorative work on their façades; these are the most ornate, with friezes, entablatures, balconies and a large number of spans.

The ground-level houses are traditional two-door vernacular buildings, twinned on either side, with mortar façades, except for a few buildings that are covered in ceramic and brick tiles. The doors and windows of the ground-level houses have straight or shallow arched lintels, one feature being stone or mortar frames. Most of the roofs are covered with ceramic channel tiles, of the gutter and spout type, and their ridges are parallel to the street, i.e. parallel to the sides of the church. Almost all roofs are partially hidden by the parapets that rise from the façades and create gutters for rainwater runoff.

The urban design and the built grouping still maintain a good level of completeness, which make it a site of great value as it recalls the past so well, though its uses have been greatly modified since the late 1960s.

1.9. The interpretation of popular and artistic manifestations today

Saint Peter of the Clerics Courtyard has been the stage for various traditional popular manifestations. In order to make an interpretation of the current culture regarding the courtyard, knowledge needs to be gained of the main cultural events that take place on the site. This includes shows that present traditional and popular songs and dances, whether sacred or profane; displays of art and a wide range of gastronomical options; institutions that do their business; and the character and types of services offered. Research on these cultural expressions was conducted in various registries in the city, and a large number of hard copy references and items of iconography were found.

In the Saint Peter Courtyard there are three institutions of relevance to culture: the Casa do Carnaval, the Aloizío Magalhães Museum of Modern Art and the Training Centre for Visual Arts. The first works with popular culture and the others with the contemporary development of the visual arts by organizing exhibitions and performances.

The documentary searches carried out to interpret current culture were supplemented by statements

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gathered from interviews with people who have been linked to the Saint Peter of the Clerics Courtyard for many years; people who have lived, worked or frequented the place and noted how it has changed over time. More than just the length of time spent in the courtyard, there is the feeling of belonging to the place that has, in fact, turned them into 'mistresses of the house', or the 'hosts of the courtyard'. The record of active effects has led to an oral memory database having been compiled for the site, something that will be of extreme importance for future research on the courtyard.

1.10. The community's participation

In parallel with the morphological and historical research, three educational and decision-making workshops were held in which the community and government authorities took part. It could be seen, based on the contact with the owners and tenants of Saint Peter of the Clerics Courtyard properties, that the best remembered aspect of its history for them was that of its bohemian years, which began in the 1960s. Themes that sprang out from the research undertaken included religious occasions, the black presence, vestiges of Dutch urbanism, the Portuguese occupation and the artistic wealth of the Baroque, which were not sufficiently known by the community, who were surprised by the relevance of the values found in the place where they live.

1.11. The towns of Água Branca, Delmiro Gouveia and Olho d'Água do Casado - Alagoas

The third experience we have had and the one which guided the construction of the methodology presented here was based on the project 'Identifying the Cultural Assets in the Towns of Água Branca, Delmiro Gouveia and Olho d'Água do Casado – Alagoas'.[10] The aim of this investigation was to record the cultural assets to which tools for their protection could be applied. We identified a set of 29 assets that were fit for protection, and these included isolated buildings, urban groupings and cultural landscapes. Some of the assets identified as having cultural value came to be institutionally recognized as being part of cultural heritage of Alagoas, such as the buildings with the internal and external registry and the whole area of the complex of the former hydroelectric plant of Angiquinho in the municipality of Delmiro Gouveia.[11]

Research in the towns of Água Branca, Delmiro Gouveia and Olho d'Água do Casado was motivated by the absence of studies on identifying cultural assets in which there is interest in preservation

as well as by the lack of recommended safeguards for the elements listed, given the prospect of change in the economic and physical-territorial structures of the region of the Lower São Francisco, which would, undoubtedly, affect the existing heritage assets.

Thus, a methodology was used that interrelated historical and documentary research, identification of assets and the reading of the urban morphology. The historical method was indispensable for identifying and preserving the memory of the cultural asset, in that being able to identify it was made possible based on recognizing the dimensions that defined and characterized it in times past and present.

1.12. Historical and documentary research

Thus, the manuscript, bibliographic and iconographic documentation, alongside the oral sources, constituted the material that was fundamental to recomposing the identity, memory and physical transformation suffered by the place in its historical, morphological and aesthetic dimensions. Using these sources, the themes that supported the interpretation and construction of the historical narrative were defined.

Within the procedures necessary for interpretation, the following steps were performed: preliminary knowledge of the towns by means of the reading of secondary sources; construction of indices; and visits to the registries and archives, including virtual ones, after having consulted and recorded bibliographic and iconographic sources. The first sources were recorded on 29 reading cards, including rare works, and the second sources consisted of maps, plans and about 1,406 photographs. After listing the sources, we proceeded to organize the documents, checking for consistency, identifying key themes and the direction that interpretation was taking. After concluding the historical research, we moved on to surveying the information *in situ.*

1.13. Identifying the assets and reading the urban layout

The identification of *in situ* assets consisted of: exploratory, systematic and confirmatory surveys, and also of compiling supplementary material. Each stage of the survey had different and complementary objectives, namely:

Exploratory survey: This was guided by suggestions from experts with knowledge and experience of the region and its history, and direct observation

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by the research team. The identification in the exploratory survey was complemented by a preliminary photographic survey of the assets that, it was suggested, should be preserved. On analysing this information, a card was designed for the purpose of identifying and systematically characterizing the assets that had been preliminarily identified. These cards were used in the urban-architectural and landscape survey of the various types of assets. These included cultural landscapes, urban groupings, single buildings and architectural elements. The characteristics of the assets were ordered as per the following variables: location, morphology, constituent/construction materials, state of conservation and values attributed.

Systematic survey: This consisted of filling in the identification and characterization cards for all the assets that had been surveyed in the previous step in addition to new assets that had been identified through consultations and interviews with residents, particularly prominent people in the towns and participants from local public and private institutions, especially cultural ones. The carded assets were photographed; a total of 350 pictures were taken. This information was supplemented with the collection of documentation in local public bodies. After having completed the systematic survey *in situ*, we proceeded to make an analysis and synthesis of the assets carded. They were placed in the historical context of their formation and the possible relationships of assets to one another were checked in accordance with cultural, economic and social aspects. As a result, a list of items to be protected was assembled. Relevant cultural values, inserted into the logic of the historical narrative, were attributed to them.

Confirmatory survey: This consisted of the *in situ* confirmation of the characteristics of the assets included in the protection list, of gathering complementary information on the surroundings and of a detailed analysis (or test) on the authenticity and integrity of the assets. At this stage of the survey, more than 853 photographs were taken with the aim of showing the details and characteristics of the assets selected.

Knowledge of the historical documentary archives, current photographs, the *in situ* visits and the interviews with people who are thoroughly familiar with the history of this region guided how we came to perceive the main issues that justify the importance of the cultural assets. The time frame established, from the 18th century to the early 20th century, was

substantiated by the facts that brought about spatial transformations of the territory common to the three towns, represented by the construction of the Paulo Afonso railroad, the Angiquinho Hydroelectric Plant and the Linhas Estrelas Factory, as well as the introduction of the skilled worker group in Pedra and the urban layout of the town of Água Branca.

Twenty nine assets were identified as being heritage assets. The original decorative features of the assets identified are largely intact or have undergone minor alterations that do not violate the principles of authenticity established by the international organizations for safeguarding heritage. They form a significant collection and one that is of unequalled historical and artistic value in the Northeast, and perhaps even in Brazil as a whole.

It is important to stress that despite having limited resources to conduct this survey, this project stands out among studies on identifying heritage assets in Brazil, because it is one of the few to have conducted a survey of an integrated character from multiple points of view: the geographical area covered, the historical period and the typologies of the assets.

2. PUTTING FORWARD A METHODOLOGY FOR IDENTIFYING CULTURAL HERITAGE

The identification of a cultural asset is related to giving recognition to its historical and formal content. The procedures required in this activity involve applying, in a coordinated way, distinct methods: the historical one; that of oral history; that of reading the urban layout; and that of survey of the landscape and the urban-architectural groupings. The use of such methods should consider the nature of the asset and the objectives of the study and can be applied as a whole or separately. By obtaining this information, complete and firm knowledge about the asset can be ensured as to its physical, spatial and functional attributes.

The historical method is indispensable for reconstructing values associated with identifying and preserving memory and cultural heritage. The method enables a narrative to be constructed and the forgotten identity of the place and the collective memory to be drawn up again. Thus, the manuscript, bibliographic and iconographic documentation form essential sources in this process.

Thus, historical interpretation means building a meaning for the events of the past. More and more, historiography seeks to break away from the paradigm of objectivity and to tackle understanding the

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'horizons of meaning' inherent in human experience in time and space. The interpretation of historical documentation today necessarily passes through 'comprehension', which differs from the explanation or analysis of the actual fact in itself. Using such an understanding as the starting point, the interpretation of the meanings is not limited to the social practices involved by representations in time, but becomes the very forming of mental images as a constructed reality in a given social context.

The oral history method, for its part, has its affinities with the theoretical foundations of the psycho-history of Febvre ('New History'), who believed there was something to learn from the encounter of man as an individual, vis-à-vis the 'mental universe'. Psychology as mental scientific knowledge began to interact with the new concepts constructed by the New History, which helped in the study of both personalities and cultures. The call for an interdisciplinary approach accelerated in the first two or three decades of the 20th century. Both the everyday and 'disinterested' were valued by Febvre, Bakthine and others.

Thus, the collection and analysis of interviews become the main tools of oral history to investigate specific issues of memory. This represents "always a construction and depends on a selection of past events and on the creation of meanings due to the context of the present" (Fernandes, 1997, p. 35). Halbwachs (1990) claimed that memory is largely a reconstruction of the past aided by data taken on loan and applied to the present.

In the oral statements it becomes possible to identify values and meanings attributed to the object, which marked the memory of individuals in the past as they do in the present. For this reason, the oral sources need to be problematized based on the values and meanings that structure the narratives, the themes discussed and the histories of life because they are representations that have been re-signified in the course of present/past dialogue. These representations emerge from a set of memories selected over time, which became significant in a broader context of the interviewee's life (Fernandes, 1997). It is for the historian to collect these recollections as snippets of memories that have been organized, as well as it being up to the historian to leave space for new meanings and values to emerge, in a process in which "it must be expected to change, involve multivalence and contention, and be contingent on time, place, and other factors" (Mason, 2004, p. 65).

The reading of the urban layout and the survey of the cultural assets (landscape and urban architectural groupings), the last operational step proposed by this method of identification, is underpinned by morph-typological theories. The main works considered are: Carlos Aymonino (1995), Vicente Del Rio (1996), Maria Elaine Kolsdorf (1996), Philippe Panerai (2006) and Luz Valente Pereira (1996). It consists of apprehending the urban layout of the area studied and is conducted by direct observation with the objective of understanding its current morph-typologies, the dynamics of its use and occupation and its tendencies to be transformed.

The first step in the activity of identification is gaining preliminary knowledge of a cultural heritage site through a visit and reading secondary sources. Such information, which is of a perceptual and bibliographic nature, enables the record of knowledge and the definition of key indices or thematic keys to begin.

After this first step the historical research begins which consists of visits to the local and national registries and archives as well as consulting virtual archives in order to survey and record the primary sources – manuscripts, printed material, bibliographic and iconographic records (maps, drawings, designs, photographs, prints, paintings) – related to the object of investigation. To the extent that the information has been surveyed, this must be registered on their own cards and in folders on specific themes, on digital media. This survey activity should be concurrent with checking the consistency of the sources and with setting research and analytic hypotheses. The interrelationship between the survey activities and the record of the sources, and checking consistency and setting hypotheses will require continuity in terms of the relationship of the primary and secondary sources and identifying key issues and arguments that make up a narrative. The discovery of topics provided by the sources enables definition of uniqueness on the basis of characteristics such as figures, legends, natural environment, choice of location, socio-economic factors, occupation and use of land and architecture.

Special attention should be given to the analysis of the historical cartography because of its importance for understanding the transformations of the urban layout. As specific procedures, the following are emphasized: individual analysis of each map taken in accordance with the morphological categories adopted (grid, streets, blocks, lots, buildings); analytical complementation and/or correlation

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with the manuscript and bibliographic sources; and comparative and sequential analysis between the maps adopted with the identification of the main morphological characteristics.

The expository structure is not identical to the path of research and therefore there is a need for substantive knowledge of the sources and objectives of the work in order to define the structure of the narrative.

Having completed the historical research, the research of the oral history begins. This consists of collecting and analyzing interviews and depositions. Before starting to apply the method, it is necessary to structure the research instruments, which consist of:

• Defining the keywords for the interview with the focus groups (these words may be provided by the documentary archive previously compiled);

• Identifying and defining focus groups (e.g. experts, communities, users, tourists, ordinary residents, business people, public servants, etc.);

• Drafting the central questions in line with the object of study or cultural asset, so as to be fully aware of the meanings and records of memory and the values of the focus groups;

• Drawing up an identification card on the person interviewed, on which personal data will be recorded as well as drawing up a questionnaire and ordering the central questions;

• Holding and recording interviews to be conducted in two ways: one flexible in order to have the interviewee talk about his/her experiences relating to the cultural asset and the other using a questionnaire.

The last step of the identification process is the reading of the urban layout and the survey of heritage assets, whether landscape or urban-architectural grouping.

The urban layout is read from the following elements of its urban-environmental structure: physical structure and active structure. These structures are perceived by using the following variables:

• **Physical structure**: geophysical, hydrographic and vegetal structure, besides the urban grid – its outlines, its force lines of occupation (vectors of growth), its dominant orientations and its geometry, and moreover the formats of the blocks and lots, the built typology and the relationship between full and empty spaces, existing linear and nonlinear public spaces and patterns of occupation.

• **Active Structure**: Identifying the predominant uses by zones: leisure-entertainment, residential, commerce and services (including public services), industrial and rural; estimating the population resident in the area; classifying the urban road system; state of the infrastructure; identifying, characterizing and locating the existing main intervention projects.

• From the reading of these two structures, a synthesis should be built of the tendencies of transformations present in the area in order to indicate its image, its potentials and the limits of the urban structure.

The survey of the landscape and urban-architectural grouping heritage assets should be guided by a standard form (which has both multiple choice and open fields) that considers different elements. For the urban-architectural assets what is surveyed is the architectural style, the current use, the typology, category, implementation, the materials and shape of its roof and walls, its conservation status and problems encountered. For landscape assets, the elements for analysis are its natural components (topography, vegetation, bodies of water and climate), built components (volume, scale, permeability, uniqueness, diversity, linearity, completeness, full and empty sites, colours, visual barriers rhythm, uses), lookout points and beauty spots, landscape units, power lines, state of conservation and problems encountered. Besides these elements, the analysis of both types of assets should also indicate what value could be attributed to the asset so as help in the later stage of attributing values.

The correlation of the historical factors with the morpho-typological elements of the models and artistic styles, which are erudite architectural and urban factors, is an important task of identification since it enables influences and mutations to be evaluated.

Over the course of implementing each of these surveys (analytical activities), moments to synthesize are needed to redefine the key issues and the

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arguments set out in the historical survey. It should be noted that the sequence of conducting the surveys, with the exception of that relating to prior knowledge, can be defined on a case-by-case basis. And there may be situations where some can be conducted in parallel, e.g. the historical survey and the reading of the urban layout.

Interpretation, founded on the notions of spatialities and temporalities, should result:

• In definition of uniqueness on the basis of characteristics such as figures, legends, natural environment, choice of location, socio-economic factors, occupation and use of land and architecture as well as identifying what is similar to other places.

• In choosing a key idea or a representation of the asset which may guide the construction of the narrative.

• In defining the authenticity and integrity of the cultural heritage asset. For this definition there is a need to ensure that the historical survey and the reading of the urban layout and/or the landscape and urban-architectural has been completed. It is also essential to define the time-frame that enables the evaluation of past and present in the elements comprising the cultural heritage asset under study. That is, this evaluation requires a comparative analysis to be made between the situation today and in the past. But which past? The one that has documentation (dossiers, inventories, photographs, etc.) that enables consistent comparison of the design, function, building material and surroundings, as set out by UNESCO.

The above-discussed conceptual and methodological study conducted on the historical method, the method of oral history, and the procedures adopted by the institutions responsible for the classification and listing of cultural heritage assets have enabled a methodological framework to be formed that guides the identification of the asset in question. However, certain prerequisites and precautions for the correct and fruitful implementation of the steps proposed and tested have yet to be set out:

• Prior knowledge of cultural heritage asset must be identified so that adjustments and implementation strategies of the study are carried out satisfactorily.

The historical method, therefore, should be started before the others, but there may be situations where it is more appropriate to start with one of the other methods. This situation may be that of a cultural heritage asset that does not have enough documentary historical records or which are consistent. The method of oral history, the reading of the urban layout and the landscape and urban-architectural survey may also be suitable for the study of each asset.

• The application of at least three of the four procedures that make up the methodology is needed to ensure consistency of identification of the asset.

• A clear and precise definition of the study must be conducted and its product, which means determining the level of detail, size and profile of the team and the equipment and time required to conduct the study. It should be remembered that this definition is directly linked to financial resources available.

• The team must be brought to the same level and its members integrated, given that the four procedures need to be interactive to define authenticity, integrity and value.

The proposed methodology for the identification process of cultural heritage assets emphasizes the connection between intellectual processes and the process of social construction and material aspects and aspects of memory, meanings and values. It could be said that the methodological procedures established take account of identifying a cultural heritage asset, and should be enhanced by keeping in step with the studies on the authentication process and systems for monitoring and control that are being developed and tested.

It is worth remembering that this enhancement can also happen at any time throughout the process of constructing 'Cultural Significance'. This is embodied in the *Declaration of Significance*, which, since 1990, has become a UNESCO and World Heritage Centre requirement for applications for inclusion of a heritage item on the World Heritage List. Cultural Significance "has a decisive role regarding conservation activities. It is used as an analytical instrument and as a guide to interventions on heritage objects, monuments and sites, especially for conservation

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policies, programs and projects" (Zancheti *et al.*, 2009, p. 48).

The identification of heritage assets goes beyond the objectives of giving recognition to cultural assets as heritage of a collectivity of people and of generating information from which advertising and the guardianship of heritage can be defined. In addition, its management, monitoring and conservation can be evaluated. This is the starting point for establishing Cultural Significance: a social construct which sets out social judgments and validations of the present and past meanings and values attributed to an asset.

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ENDNOTES

[1] Original text: "es un valor convencional, acordado y concedido por un grupo de personas, o incluso, en ciertos casos, por una sola persona".

[2] The team that undertook this study comprised Virgínia Pontual, Renata Cabral, Magna Milfont, Flaviana Lira and Anna Elizaizabeth Lago. Funding was received from the *Fundo Pernambucano de Incentivo à Cultura* (Funcultura)/ Government of the State of Pernambuco.

[3] The first phase was preceded by establishing the object area of the study, training and preparing the team, bringing the knowledge of its members to the same level, defining activities, and so forth.

[4] The survey of the period from the 16th to the 19th centuries consisted of identifying the bibliographic sources, travellers' accounts in print chronicles and war diaries, beyond the iconography of the Isthmus of Olinda and Recife, which lasted from the start of the Portuguese settlement up to the consolidation of the main urban infrastructure of the cities in the 18th century.

[5] The 32 maps were scanned and processed. The photographs and lithographs amounted to a total of 82.

[6] The graphic and design of the website (layout) consisted of transferring the content into another language to identify cultural heritage. The result of the research can be viewed at: www. ceci-br.org/istmo.

[7] *Pátio da Igreja de São Pedro dos Clérigos* (Portuguese).

[8] The team that conducted this work was comprised of Monica Harchambois, Virginia Pontual, Renata Cabral, Magna Milfont and Rosane Piccolo. The resources provided came from the MONUMENTA Program and the Inter-American Development Bank (IDB). The product or website is called 'Saint Peter Courtyard: Tourism and Popular Tradition in Pernambuco' or see http://www.patiodesaopedro.ceci-br.org/saopedro/pt/ index.htm.

[9] The website diluted the dense content of the scholarly interpretations of the history, morphology and the current culture of the Saint Peter of the Clerics Courtyard into fluid texts, photographs, videos and maps.

[10] The team that conducted this work consisted of Silvio Zancheti, Virgínia Pontual, Ana Rita Sá Carneiro and Rosane Piccolo. Funds were provided by the *Instituto Xingó/ Chesf*.

[11] State Listing by Decree of 30 November 2006, which put into effect Resolution n. 1, of 2 June 2006, of the State Council of Culture.

Significance and cultural landscape: A new approach to heritage management

Vera Lúcia Mayrinck de Oliveira Melo[1] & Dirceu Cadena de Melo Filho[2]

Abstract

This paper seeks to discuss whether the guidelines for inclusion, conservation and management of sites of cultural significance proposed by the *Burra Charter*, (Australia ICOMOS), and adopted by UNESCO, representing the new trends in theories of heritage conservation, meets the specifics of the new heritage categories, such as the cultural landscape. This category was included by UNESCO in 1992, by the European Landscape Convention in 1995 and the Institute of National Historic and Artistic Heritage (IPHAN) in 2009, and it represents a breakthrough in overcoming the dichotomy in the relationship between man and nature by understanding that World Heritage should bring together the natural and cultural aspects, tangible and intangible, resulting from this relationship. Despite the progress achieved, questions remain: do the guidelines proposed by the *Burra Charter* respond to the needs of integrated management of a complex heritage property in a constantly changing category such as that of cultural landscape? Another question to be asked, considering that the landscape concept developed by the New Cultural Geography is based on assigning values to socially validated heritage, is: will the geographical concept of cultural landscape contribute to the 'paradigm shift' which is based on cultural significance? These questions will guide the text.

Keywords: cultural landscape, heritage, heritage significance

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Introduction

The cultural landscape, considered one of the key concepts of geography, had its theoretical conception in the 19th century and is preset in a number of approaches along the scientific route, sometimes inserted as a chain of thought. It has been the target of extensive discussions as part of a movement for both acceptance and refutation, as is characteristic in scientific development (Melo, 2003). During this process, methods of study have been developed to substantiate various theoretical and methodological conceptualizations through identifying, describing and interpreting the landscape through material artefacts produced by man as an expression of culture. Traditional geography conceptualization, along with interpretation of symbolic character, was supported by geographers who created the 'New Cultural Geography' school of thought in the 1980s. In this context, based on approaches used in the disciplines of social sciences and philosophy developed over 80 years, the study of intangible aspects of the landscape is incorporated.

The concept of cultural landscape incorporated by national and international heritage bodies represents an evolution in heritage approaches when understanding that heritage listed in this category are constantly evolving and integrate natural and cultural aspects, which must be managed in accordance with the approach of integrated conservation from a systemic and integrative method (Bezerra and Melo, 2007). This change resulted from the enlargement of the heritage concept, based on the attribution of value by aesthetic criteria of monumentality of property to be included and the historical and cultural values of peoples expressed in their relationship with the environment according to the assumptions of the *Venice Charter* of 1964.[1] Thus, according to Menezes (2002, p. 51), "the real breakthrough was to move from isolated monuments or simply juxtaposed to a more consistent spatial integration", from the monument category to the "heritage property".

In this context, the International Committee of the United Nations for Education, Science and Cultural Organization (UNESCO) in 1992 incorporated the category of cultural landscape based on the idea of sustainable development from the value of

relationships between man and environment, understood in a specific context and as a property in a state of constant change resulting from a dynamic process that is based on the relationship between nature and society. Moreover, the insertion of the cultural landscape as a World Heritage category represents the inclusion of immaterial or intangible aspects in the list of universal heritage value. In this sense, heritage is no longer to be evaluated only in its material aspect and incorporates values assigned by the social actors who experience a range of meanings that the heritage has for them. UNESCO has recognized the importance of meanings attributed to certain heritage sites by requiring a statement presenting the cultural significance of all candidate sites to enter the World Heritage List. The cultural significance of a heritage site is recognized as central to the identification and development of conservation action, and this document should gather all the reasons for which a heritage site should be preserved, the reason why it is meaningful and which are the more urgent aspects that require protection (Manson, 2004).

The *Burra Charter* became the guiding document for such heritage actions, based on identifying meaning for each heritage site, establishing a methodology that seeks to comprehend meaning for the group of actors involved in developing heritage policies. In the document, the cultural significance of a particular place or heritage site is understood as the set of aesthetic, historical, scientific, social or spiritual values for past, present or future generations, with this set of values present not only in the built elements, but also in the site as a whole: in its urban fabric, uses and associated elements (Australia ICOMOS, 1999). Developed by the International Council on Monuments and Sites (ICOMOS) from Australia, the *Burra Charter* represents the new trends in theories of heritage conservation. However, it is debatable whether its guidelines for inclusion, conservation and management of sites with cultural significance meet the specifics of certain categories of heritage, such as that of cultural landscape.

In this context the question is: do the policies proposed by the *Burra Charter* meet the needs of integrated management of a complex and constantly changing category of heritage such as cultural landscape? Another question to be asked, considering that the landscape concept developed by the New Cultural Geography is based on assigning values to socially validated heritage, is: Can the geographical concept of cultural landscape contribute to a 'paradigm shift' which is based on cultural significance? This article raises these issues and seeks to understand how the use of the theoretical-methodological conceptualization developed by the New Cultural Geography can assist in the identification and management of World cultural landscapes. Aiming to contribute to this discussion, the article was organized firstly to show how the concept of cultural landscape from its conceptual development of geographical science was inserted as category of heritage property in the World Heritage List. Next, we present how cultural landscape, based on the special features of its theoretical and methodological conception, can contribute to a 'paradigm shift' that is based on cultural significance, defined according to the assumptions of the *Burra Charter*.

1. CULTURAL LANDSCAPE ON THE WORLD HERITAGE LIST

Today, 66 cultural landscapes are recognized by UNESCO as having outstanding universal value.[2] These are places that represent the combined work of man and nature, are illustrative of changes in society over time regarding the influence of limitations and/or physical opportunities present in the natural environment and are indicative as well of successive social, economic and cultural forces that interfere with it (UNESCO, 2008).

Perhaps it is a little redundant to speak of the cultural landscape. The notion of landscape is, in itself, something cultural, generated by man. However, by adding the adjective 'cultural' to landscape, UNESCO seeks to emphasize that it is the result of human interactions with the environment, where there is presence of tangible and intangible values in the landscape (UNESCO, 2010). This understanding of the cultural landscape is quite similar to the academic concept developed in the early 20th century when the geographer Carl Sauer, strongly influenced by traditional German geographers, established the morphological method of analysing landscapes. For Sauer and the Berkeley school, created from his ideas, "culture is the agent, the natural area is the medium, the cultural landscape is the result" (Sauer, 1998, p. 59). Sauer advocated a dialectic posture between culture and nature as the basis of landscape studies in geography (Cosgrove, 2003). This thought that environmental and cultural elements are separate, though related, is a reflection of the Western tradition that treats natural goods as given by God in order to satisfy human needs. That is, the thought that man is not part of nature, but that nature exists to meet man's survival needs, according to the anthropocentric view (Bezerra and Melo,

2007). Sauer's proposal was made precisely to overcome this dichotomy.

The evolution of scientific thought widened the approaches to cultural landscapes as a key concept of geographic science. In the 1980s, a new current of thought called 'New Cultural Geography' sought to update the concepts and methods established in the beginning of the century. This group of geographers did not wish to break with the products of Sauer, but to conduct opposition to quantitative analysis (Melo, 2003), including in the symbolic dimension of the study of cultural landscapes. Cultural landscape is no longer seen simply as a result and is understood as a reflection of the relationship between man and nature as a holistic concept. One of the criticisms developed by the New Geographers was that traditional cultural geography had more interest in material aspects of landscape because it is based on logical, leading those geographers to locate studies between social organization and landscape and emphasize only visible aspects of cultural geography, since these can be quantified. Thus, cultural geographers involved in this line of thought turned their attention almost exclusively to built artefacts (Duncan, 1990).

In this context some adherents of this new current of thought, like Duncan, come to interpret the landscape as a text, to be studied through further qualitative methods such as hermeneutics. The work of Duncan (1990) is fundamental to understanding this new approach to landscape. In this work, *The City as Text*, the author shows that to understand the landscape in a cultural perspective we "should […] fill in much of what is invisible — to read the subtexts that are beyond the visible text," (Duncan, 1990, p. 14). From this conceptualization, a more subjective approach achieves the landscape scope. It is understood not only by physical characteristics, but also from their symbolic meanings, as "all landscapes have symbolic meanings because they are the product of appropriation and transformation of the environment by man" (Cosgrove, 1998, p. 108). Another approach to landscape as a cultural fact is presented by Augustin Berque. The French author believes that the landscape is not just something that is a concrete form of the environment, nor is it a projection of some observer's subjectivity. Berque (1998, p. 33) states that the landscape is both "matrix and mark":

> "Matrix Landscape as structures and forms of the landscape contributes to the perpetuation of uses and meanings among generations; Mark

Landscape as each group impresses signs and symbols of its activity on its space."

Integration of the landscape as a World Heritage category represents a major milestone in heritage development. While the list based on the 1972 UNESCO convention demands physical attributes to justify its universal value, the adoption of cultural landscapes shows the importance and values of intangible heritage for humanity (ICOMOS, 2005).

The category appears under the UNESCO guidelines as a response to changes in understanding the relationship between man and nature. Based on the understanding that man is part of nature, and linked to the expansion of disciplines such as ecology and the quest for sustainable development, the institution looks to treat heritage in an integrated manner, overcoming an already anachronistic thought within UNESCO itself (Ribeiro, 2007). As a way of guiding the application of management and planning of landscape, with a view towards protection, UNESCO found that cultural landscapes can be classified into three categories: 'clearly defined Landscape', created and designed by man (e.g. Lednice cultural landscape in Valtice in the Czech Republic); 'organically evolved Landscape', a relic or fossil (e.g. cultural landscape of Wachau, Austria); and 'associative cultural landscape', associated with tangible and intangible human attributes (e.g. Tongariro National Park, located in New Zealand).[3]

Apparently there is an attempt to encompass different currents of thought throughout the three subcategories of the cultural landscape. While one has a strong traditional geographic influence through the evolving historicist understanding of the landscape presented by Sauer, the associative landscape subcategory utilizes the understanding of meanings that an area has for the population, as presented by the New Cultural Geography. In addition to them, clearly defined landscapes seem to be so much more connected to one side of landscape, linked to landscape architects (Ribeiro, 2007).

Proposals submitted to UNESCO are considered with the aid of ICOMOS, with the assistance of the International Union for Conservation of Nature and Natural Resources (IUCN) when necessary, to validate the exceptional heritage character (UNESCO, 2008). However, it should be noted that in the list of registered cultural landscapes there is a tendency to highlight landscapes related to traditional communities living in close contact with nature or landscape interventions (Ribeiro and Azevedo, 2010). The study by Fowler (2003) entitled 'World Heritage

Melo, V. L. M de O. & D. C. de M. Filho. 2012. Assessing the performance of conservation activities. *In* Zancheti, S. M. & K. Similä, eds. *Measuring heritage conservation performance*, pp. 26-32. Rome, ICCROM.

cultural landscapes 1992-2002*'4* analyses the thirty sites registered up to that time in the cultural landscape category. In this work the author identified ten sites that were considered national parks, which presents a strong emphasis of the natural aspects in the recognition of heritage in this category by UNESCO. It is noted that although the category being treated as a cultural heritage, its natural values are posted, generating an absence in the list of mid-sized or metropolitan cities. Cultural landscapes of universal value are characterized from a geographical point of view, by their major elements such as mountains, bodies of water, modes of traditional agricultural production and human settlements; or from an intellectual point of view by their historical, social and/or religious meaning (Ribeiro and Azevedo, 2010).

This trend indicated by Rafael Ribeiro in a recent article had already been highlighted by Peter Fowler in his own work commissioned by UNESCO. The author presented among his recommendations the importance of expanding the category of cultural landscape also to urban, industrial and coastal areas and even underwater landscapes (Fowler, 2003). However, the lack of metropolitan areas and medium size cities is still felt on the list. Given the lack of discussion on this subject, new categories are created in order to fill gaps. The debate over the creation of the new category of Historic Urban Landscape reveals the inability of the institution to recognize that large urban areas may also be recognized for the interaction between man and environment.

Historic Urban Landscape are understood through changes in heritage understanding, stimulated by the Charter of Venice with the understanding of the monument in a specific context. The new theme conceives of changes in the way heritage is dealt with: from static heritage to an understanding of heritage as dynamic; from an isolated object, to something integrated. Moreover, the new concept aims to overcome the understanding of historic areas as a single building group or as real estate heritage, accepting that even an Urban Historic Landscape can be considered as a representative site of human creativity that includes traces of the history of a particular occupation (Jokilehto, 2010).

Given the above, this view fails to recognize that every cultural landscape is in itself a single heritage that emphasizes the holistic thought and need of management actions aiming at integrated conservation for maintenance of values allocation that is recognized and validated as universal. Moreover,

the traditionally understood cultural landscape by UNESCO is itself a historical landscape, since it presents the accumulation of human activity traces over time. Thus, why could an historic urban area not be recognized by UNESCO as a heritage property, according to the cultural landscape criteria?

It is observed that there is still far to go in understanding the cultural landscape as a heritage property. This category has specificities that need to be addressed in the search of the maintenance of tangible and intangible characteristics of heritage. Thus, one of the major challenges is to associate the guidelines and tools for conservation and management proposed by official documents established by UNESCO to a unique cultural landscape category.

2. CULTURAL LANDSCAPE AND ITS SPECIFICITIES

With the UNESCO requirement from the 1990s that each site or cultural landscape candidate to the World Heritage List must submit a statement of cultural significance, cultural values are seen as keys to identification and assessment of heritage.

Entering heritage values in preservation practices represents a shift in conservation efforts, when changing the focus on the object itself to the people of this (and future) generations who will use the heritage (Munos-Viñas, 2005). Carrying out conservation actions based on heritage values increases the importance of the subject who interacts with the heritage, since it is he who will define why heritage is valuable, since:

> "[...] values are social categories, results of human thought, set in a cultural context and not natural attributes. They do not exist 'per se', they are always relative attributes and dependent on the comparison or relationship among heritage." (Zancheti and Jokilehto, 1997, pp. 3-4).

The *Burra Charter* is the document that guides heritage actions based on the identification of the meanings of each heritage site, establishing a methodology that seeks to understand the meanings, development of heritage policies and management of heritage, aiming the management of the site in accordance with defined policies (Australia ICOMOS, 1999). Despite the *Burra Charter* being the reference document for establishing conservation policies through the values attributed to heritage, it is believed that it does not answer all the specificities of certain heritage categories defined by

UNESCO, specifically that of cultural landscape. As the *Burra Charter* has suffered some criticism related to the procedures of significance understanding, a reflection will be performed on how the cultural landscape, from the specificities in its theoretical and methodological conceptualization, can contribute to a 'paradigm shift' that is based on cultural significance.

One of the criticisms made by Zancheti *et al.* (2009) is that in the *Burra Charter* the theoretical approach to the concept of cultural significance assumes a positivist-empirical approach, since cultural values are treated as inherent in the heritage property. With respect to the theoretical conceptualization of cultural landscape, from the 1970s there was a change in approach so that culture was conceived as it was in the traditional geography, based on logical positivism. In this conceptualization, the culture was seen as external to man, able to be analysed from material artefacts produced by man, with the individual conceived as a mere "agent of cultural forces" (Duncan, 1990, pp. 181-184). Thus, culture was seen as inherent to material artefacts but individuals were not being considered as bearers of culture.

However, with new theoretical concepts developed by followers of the New Cultural Geography, landscape analysis became based on the meanings derived from the values assigned by individuals. In this sense, culture began to be designed beyond the material aspects, based on subjectivity, signifying a huge step forward since from then on culture will have an individual character, as all individuals have culture. Within this context, both individuals and groups internalize culture differently. This non-material culture is defined by shared values and beliefs, constituting the collective imagination (Cosgrove, 1994, p. 389).

As McDowell (1996, p. 164) states, there was a new understanding of production and reproduction of cultures through social practices that occur at spatial level differently. In this context, as landscapes are built over time and specifically have a dynamic character, as they are a product of social practices, shaped by the action of social groups, and therefore a diverse presentation in a state of constant evolution. This conceptualization of culture can contribute to heritage instruments in the management of a complex heritage property as the cultural landscape.

Dynamic character, which is one of the specificities of landscape, also has to be considered when establishing guidelines to promote conservation and management of heritage included in the cultural landscape category. However, according to Zancheti *et al.* (2009), the *Burra Charter* addresses values assigned to a heritage as something immutable, without considering the various possible changes over time. Manson (2004) highlights the importance of overcoming the inertia by with which the significance is understood through the progressive notion of the subject with a more minimalist approach, accepting that interpretations vary over time.

The main specificity of the cultural landscape is based on its holistic approach to a heritage site, which enables understanding of multiple relationships between man and environment, from tangible and intangible elements and from natural and cultural ones (Ribeiro, 2007). To answer these specificities of the landscape new methods of interpretation were created, based on philosophies of meaning, especially in phenomenology and hermeneutics, where the landscape is likely to be read as a written text by several different authors with various historical layers superimposed over time with the possibility of varying interpretations. These texts are the natural, social and cultural contexts, where it is possible to interpret the meanings and values assigned to landscape through existing depictions in various forms of cultural, written, visual and oral expressions in order to grasp the different cultural values expressed through it which result from relationships established between social groups and nature (Melo, 2010). It is based on these methods of interpretation that landscape can be seen, but beyond these simple visual forms, it enables man's encounter with the dimensions of one's being, and becomes an expression of human existence (Besse, 2006). As different meanings are assigned to the landscape, it being a reflection of the environment's ownership by man (Cosgrove, 1998), we can ask: if values are assigned to the landscape from such individual meanings, why only involve experts in the value assignments of heritage, i.e. those involved in the heritage preservation? In this sense, the participation of social actors in the identification of heritage values is essential. This is one more criticism made of the *Burra Charter* by Zancheti *et al.* (2009).

Cultural landscapes, due to their specificities, present some challenges in building a management system aiming at their conservation. One of these challenges is to build a system for managing landscapes in order to implement conservation actions of natural and cultural heritage in an integrated manner. In this sense, the question arises: how to operationalize this category, seeking heritage recognition, if manager institutions treat heritage dichotomously

(Melo, 2010)? Given that in western culture, man is traditionally stood apart from nature and that this has reflected directly in the management of spaces, reflection on overcoming this dichotomy must be made in order to establish policies for conservation of cultural landscapes. This debate is fundamental since this reflection must occur in different institutions that work with the cultural and natural heritage, both in UNESCO and the States that are part of the agreement, such as Brazil. Distinct institutions will follow divergent ways from that proposed by the concept of cultural landscapes, which seeks to enhance the relationship between man and environment in an integrated manner, understanding the landscape as something unique.

As a result of this institutional organization, there are protection actions carried out for historic sites that consider only architectural and urban values to the detriment of natural elements, as well as some heritage which is valued only for their natural value. This attitude reveals the difficulty of understanding the cultural landscape, which must be understood in its specificity of a single heritage property, considering the multiple relationships between man and environment from the tangible and intangible elements, natural and cultural. This reflection aims to bring to light some challenges to be faced by international and national heritage agencies in the creation of tools aiming to guide the management of heritage under the category of cultural landscape in accordance with defined policies.

Conclusion

Given the above, it seems that there are still many paths to be followed in the theoretical and methodological understanding of the cultural landscape as a category of heritage property. Despite its institutionalization for nearly 20 years, questions remain; not only for the tools that guide conservation policies, created by national and international agencies aiming to manage cultural landscapes as heritage, but also the shape of the cultural landscape category as incorporated into the UNESCO heritage list. In this sense, it was treated in the text as the category of cultural landscape as it was incorporated into World Heritage. UNESCO, when including different schools of thought through the three subcategories of cultural landscape, shows a tendency to highlight landscapes related to traditional communities living in close contact with nature or landscape interventions, while there is a lack of metropolitan areas and medium size cities conceived as

cultural landscapes. Given this gap, new categories were created, such as the Historic Urban Landscape, seeking to integrate the large cities holistically into the Heritage list.

However, a better understanding of the cultural landscape from the theoretical concept addressed in the New Cultural Geography would tend to minimize the misunderstandings that have already occurred. Understanding the landscape as cultural heritage that can be read through records produced by man, endowed with strong symbolism, includes not only traditionally occupied areas or places where the presence of nature is striking, but also allows for the insertion onto the list of towns and cities of medium size replete with symbolism and a strong relationship between man and nature. In this context, we hope to have contributed to reflection on the questions and challenges that are presented by the heritage category of cultural landscape. We have tried to bring to the debate some specificities of the theoretical and methodological conceptualization of the cultural landscape in order to contribute to the 'paradigm shift' that relies on the cultural significance, which is one of the instruments of assessment and identification of heritage, among them, the landscape.

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The Complexity of Historic Garden Life Conservation

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Abstract

The emergence of the modern garden was one of the milestones of Brazilian modernism and garden architecture establishes itself on a city scale in association with building architecture. In Brazil, the modern garden was created in Recife by Roberto Burle Marx in the 1930s. Then, a garden design was considered by Marx as an aesthetic reintegration of elements of surrounding landscape where the vegetation is the main element. In this case, with the inclusion of living beings in its composition, garden conservation adds to the complexity of life. The garden is a monument, an architectural composition in which the main material is the plant: alive, perishable and renewable. Its conservation implies the safeguarding of heritage values, and the lack of conservation in turn causes degradation that will only be rolled back with restoration. One of the requirements for garden conservation is the elaboration of an inventory and indicators to monitor the level of conservation.

Keywords: Burle Marx, historic gardens, heritage values

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Introduction

The development of actions for the conservation of historic gardens is a relevant issue to cultural heritage. In Brazil, some urban gardens were lost or vandalized by political and speculative interests or through the ignorance of their administrators and population. The notion of cultural heritage is not restricted to a vision *stricto sensu* of goods built by man, because it enlarges and covers the landscape and other examples of interaction between man and nature, highlighting special locations to which the story and look confer value, such as parks or zoos, botanical gardens, squares, gardens, nurseries, public walks, private backyards, gardens, rural, forested routes, plants of historic centres, cemeteries with seasonal vegetation, surrounding green spaces, monuments or historical sites, cultural landscapes, archaeological landscapes, ethnographic landscapes, natural sites and enclaves of wild areas in the urban fabric.

Historic gardens can induce in visitors a new attitude. When well cared for, they are an example of respect for nature, the environment, human beings and the work of man, including ancestors. Such a decision inevitably generates procedures of care, which requires conservation indicators to assess the permanence of its original features, their attributes and therefore heritage values assigned, which together justify its cultural significance.

Heritage values refer to the physical point of view, including not only materiality, but also immateriality. These values include: material, design, location, surroundings and people's feelings. Any legacy of past suffering transforms or deteriorates, the same as the result of natural wear and use. The sum of these different modifications will often eventually become part of the historical character and the essential material of the cultural resource.

The city of Recife, in the northeast of Brazil, has a significant body of public gardens created by landscape artist Roberto Burle Marx in the 1930s and

Figure 1. The Garden of Delights, Hieronymus Bosch, 1504. Oil on wood. Museo del Prado, Madrid, Spain (Source: http: // homepage.mac.com/kennyneal/jei/050825bosch01.jpg).

1950s, which were inventoried to be provided as historic gardens. The ability to ensure its conservation lies in developing a system of indicators which must be evaluated for authenticity and integrity.

Concerning the inclusion of living beings in its composition, garden conservation adds to the complexity of life. This is explicit in the *Charter of Florence* (1981), which describes the garden as a monument, an architectural composition whose main material is the plant: alive, perishable and renewable. These living elements of the garden are one of the main subjects of discussion of the spirit of the place and seem indispensable for that character of vitality. The spirit of the place, as the *Declaration of Québec* (2008) states, "offers a broader understanding of character alive, while permanent of the monuments, sites and cultural landscapes".

1. THE SIGNIFICANCE OF THE GARDEN AND THE HISTORIC GARDEN

In a poetic and spiritual sense, reference to the garden is formed from metaphors associated with memories, nostalgia, joy, beauty, colours, flowers, birds, shadows, light, childhood and fantasy. Nevertheless, be nature transformed into fireworks and still 'nature alive', it has its own existence, because it carries these metaphors full of symbols and meanings that reflect the aesthetic taste of an era, representing the ideals and aspirations of man and situated in space and time.

From a semantic point of view, more than any other historical or cultural heritage type, the garden brings forth the essence of its constituent nature: culture and biophysical components such as

vegetation, terrain, soil, water, climate; that is, life; and the support on which life manifests itself. Take as its essence the randomness of life, understood as a continuous process of exchanges and relationships that manifest, above all, as the possibility to awaken all the senses because it is among the artistic manifestations that challenge our sensory systems;

> "In principle, gardens are pleasant to the eyes; the sound of leaves in the wind, source or bird attracts our ears; the smell of flowers and herbs attracts our smell; the taste of fruit flatters our palate and the velvet softness of a fruit or a flower produces pleasant tactile sensations. It is possible to add to this set of perceptions that the drawing of the entire attracts our intellect and awakens a deep admiration" (Moreno, 1988, p. 312).

When referring to garden, Moreno refers to its origins pertaining more to the creation of promised paradise, exposing the possibilities of happiness offered by Divine Providence through nature. The strength of fantasy of the Hieronymus Bosch triptych "The Garden of Delights", reveals the history of the world from creation, told in panels depicting the 'Garden of Eden', the 'Garden of Earthly Delights' and 'Hell' (Zorrilla, 2000), Figure 1.

Between heaven and hell, between good and evil, lies the earthly life full of lust in the utopia of Bosch. These gardens of human life reveal symbolically the relationships established at the moment of creation, and the organized nature of the pictorial composition of the environment necessary to understand the narrative. In this structure, united by the same horizon and luminosity, heaven and earth differ from hell, bleak and hopeless. These symbolic character

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bindings confer to the elements of nature the protagonism of the scenarios in which men, men-trees and men-animals merge. Bosch actually refers to the biblical tradition of the book of Genesis (*Gen.* II - III), by revealing the garden as the place to meet metaphysical and material human needs and places it in the paradise of Eden, to cultivate and save.

The symbolic character of these classic references reveals the garden as a genuine microcosm that materializes the infiniteness of the universe within the limits of its entirety. To scan nature, the idea of the garden turns to the relationship sky/land/man, represented by idealized landscapes in which the knowledge about the performance of their constituent elements – matter and energy – requires a long journey to be understood in the language of space construction, as artistic language, and subsequently recognized as work of art. The transformation of nature amidst 'natural' nature or the transformation of nature amidst 'cultural' nature of the urban space makes gardens a haven of order amid disorder. "Nature is however the scope of disorder, emptiness and fear; to address it takes thousand of dangerous thoughts. But this wild space can be understood as a garden" (Clark, 1994; in Roger, 2007, p. 38).

Systematized studies on nature were initiated in the 16th century, when numerous treaties began to focus on the proper way to build and maintain a garden. These writings have helped since then to make the garden independent of architecture as an unattended art. But the art of considering the building and maintenance of the garden as science of landscape came later, in the 18th century. Note, however, that the origin of gardens is in the Neolithic age, when man abandoned his itinerant condition to adapt to a sedentary life and social organization. The first Near Eastern cultures bear testimony to this; beginning with the domestication of the palm, there are approximately 5,000 years worth of garden history in Mesopotamia, one of the earliest urban civilizations (Moreno, 1988). The gardens of the East, Egypt, the Hellenistic world, Romans, Arabs; those in medieval times and the Renaissance; and those from the Baroque, Romantic, Neoclassical, Modernist periods, and contemporary periods; all reveal the artistic intentions of their creators as well as the structure of each society and culture that they represent. For Ana Luengo (2009), they are as tattoos, which externally express the internal processes that are responsible for setting their idyllic vocations.

Conversely, these 'tattoos' crossing time as a signatures in landscape acts in counterpoint to recognition of mutant garden character, since this materializes in an ephemeral existence of elements of nature that necessarily undergo their own biological cycles. In what way does the garden continue to exist as a garden across time and be recognized as a masterpiece, sanctifying images of cultural nature but still, being of this same nature, the essence of its content?

To keep a historic process of artistic creation and, simultaneously, biodiversity and homeostatic garden balance as a biotope is no easy task and requires extrapolation. As a palimpsest of the landscape the layers of its conception are sent to rescue the essence of the natural elements that characterize and enable them.

Three elements can be emphasized in garden nature: land, water and vegetation. It is essential to recognize that it is the interdependence between them that makes the garden. The land as soil and support can determine the evolution of the set, by the definition of its mineral composition that favours larger or smaller quantities of organic matter. For the soil, climate issues are decisive, qualifying them as drier, humid, saline, alkaline or acidic. Water, which dampens the plant and soil, complements favourable conditions for the development of vegetation. As irrigation or as an element of composition, water joins the land with bud vegetation, which most symbolizes the garden among the elements of nature.

The vegetation of the garden completes the triad, closing the cycle of interdependence between its elements. However, it conveys the feeling that land and water seem to exist for flourishing trees, shrubs, grasses and ground cover and weeds, necessary for the web of interrelations in this microcosm. Through their roots, plants absorb water filled with nutrients that are extracted from the soil and by leaves, and evaporates water excess as converted in transport. This vital cycle establishes itself in the dynamic of the garden but is intentionally organized nature. Traditionally, the tree as a plant seems to be the best representative of these symbolic character bindings, because since remotest antiquity it is associated with man eating fruit, a stand-in for fertility.

Having recognized the garden as a stand-alone art, independent of architecture, it is in its binding with the architecture and the city that the garden consolidates its aesthetic qualities and the value of its existence. This link between culture-nature, city-garden, subtracts from the understanding of a garden as an idea of mimesis of nature, because it relates the garden with the art of one season. In the

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vision of Mexican architect Raul Garcia, the garden is one of the main representations of an entire history of a people and their nationalism, corresponding to the historic production of society. Understood as a cultural object, it also constitutes a living file that ensures the permanence of plant materials and constructions (Garcia, 2002). According to this understanding and identified artistic, historical and cultural features, the garden acquires the condition of a cultural resource as an historic garden, as framed by the *Charter of Florence* (1981).

2. GARDEN, TEMPORALITY AND BURLE MARX

The *Charter of Florence* (1981) considers the historic garden a living monument, composed of a perishable and renewable material. It is striking that, when designing works with vegetation, it is in "direct complicity with living beings that grow and develop over time, creating and recreating spaces to each new season" (Macedo, 1982). In this way, the garden is essentially moving harmoniously in relation to time and space. Even its physical elements, such as its soil/subsoil and hydrography pass through gradual changes related to the development cycle. Over time a garden does not degrade, but experiences a normal process revealed in the dynamics of its own evolution (Leenhardt, 2008); a garden differs from architecture because it is not a finished work.

According to the landscape designer Roberto Burle Marx (1967), plants obey a sort of determinism connected to the laws of growth, physiology, biochemistry and biophysics. Any plant is the result of a long historical process that incorporates its current state and all its experiences from a long line of upside that gets lost in the vagueness of the first beings. The plant in turn enjoys the highest degree of the property of instability. It undergoes a constant mutation, a permanent imbalance, whose purpose is its own quest for balance. The plant lives in resonance with the environment and there is a correspondence between the conditions of the niche that it occupies and its requirements for sunlight, growth and reproduction. The life of a plant is a cyclical activity, with breaks marked by death and by germination.

Where the appearance of the garden is unstable, since it is a composition of natural elements, interventions must be doubly insightful. Once the influence of human intervention is deployed in the garden, in respect of the control of germination and growth of plants, it is minimal in its intrinsic causes,

summarizing the maintenance services. Although the ageing of a garden is desirable, this doesn't discount liability to human failure.

As a botany researcher, Burle Marx had a vast repertoire of knowledge on the customs, traditions and local vegetation appropriated (Oliveira, 2009). This is a procedure coupled to modern art in the sense that represents symbolically the nationality and identity of the garden. About it, he expressed:

> "[...] try in my work to form a vocabulary for the rich Brazilian flora, of its infinite variety, introducing native species in gardens; studying, passionately and constantly, the ecological associations and observing the natural landscape and fighting for the preservation of this heritage" (Burle Marx, 1966, p. 32-33).

A major concern of Burle Marx when designing gardens was to save at least a portion of our decimated flora and, via the collection of identical flora in nature, to discover potential for landscaping, to decently multiply species in the gardens, to demonstrate the garden's great value, when used correctly, in harmony with the environment, and thus to safeguard natural heritage. The idea of valuing the flora of Brazil, through the use of native plants, aims mainly to bring to the inhabitants of cities knowledge of our natural wealth, while somehow helping to perpetuate species which are threatened with extinction. In fact, to make gardens is often to 'perform' complimentary microclimates, keeping alive the idea that, in associations, plants placed side by side, are almost in a relationship of need (Burle Marx, 1967).

In nature, associations are not random because they obey aspects of compatibility that depend on a complex game of climate, soil and the plant itself, soil and the interaction between plants and animals and that of plants among themselves. The phenomenon of association is intimately connected to one of the most fascinating biological phenomena: adaptation (Burle Marx, 1967). The vast Burle Marx corpus of knowledge regards botany and ecology as largely the subjects of research for the rich and diverse floral mosaic of north eastern Brazil, but more precisely, Pernambuco, where Burle Marx conceived his first public garden (Praça de Casa Forte, 1935) developing the 'tropical garden' ([Figure 2]).

When he was living in Recife (1935-1937), Burle Marx designed several squares in the set of 15 public gardens: Praça de Casa Forte Square, Praça Euclides da Cunha, Praça da República, Campo das Princesas Garden and Praça do Derby. Later in the 1950s,

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Figure 2. Praça de Casa Forte, 2008 (Landscape Laboratory, UFPE).

highlights of his garden design were the gardens of Praça Salgado Filho and Praça de Dois Irmãos, today Praça Faria Neves. Chosen as the most representative of his work, these gardens were inventoried in 2009 to be recognized as world cultural heritage.

The success of plant specimens and their broad geographic distribution, whether native or exotic, that features in Brazilian gardens is due to the power of observation of Burle Marx and his knowledge of the plant in its habitat and as an element of landscape, by knowing plant associations, phyto-sociological importance, and how it fits into the natural scenic world (topography, soil, altitudes, and lighting). This is fundamental from the viewpoint of gardens.

Plants as living elements constitute the main subject of the garden and basic content for the definition of indicators for conservation.

3. HERITAGE VALUES AND INDICATORS OF GARDEN CONSERVATION

The preservation of a historic garden depends on the combination of several items that characterize its complexity and involves material and immaterial aspects. For this conservation exercise it is necessary to know in detail the components of the garden through identification of attributes, followed by the recognition of heritage values. In the vision of Choay (2001, p. 213), the fundamentals of valorization are conservation and restoration. The classic work of Riegl (1999, p. 24), which deals with the valuation of built monuments, the modern cult of monuments, lists contents by their value to historical evolution, following his statement that "evolutionary thought therefore constitutes the core of all modern historical conception". This means that values are neither static nor immutable because life is always producing new stimuli and therefore values change.

Values arise from consensus or agreements among people and are a purely historical category (Connor, 1994) because they are coupled to facts in weighted in time and space, generating a certain existence. And the values of a historic garden as a heritage resource are generated from the inherent relationship with the historical context in which it was produced. This set of assigned values empowers cultural significance, i.e. the full relevance of the garden. On the other hand, authenticity, subject of *Nara Document*, 1994, refers to the confirmation of the permanence of the original features: construction materials, furniture, stroke, type vegetation, and other artefacts; whereas integrity means wholeness, a condition of having no part missing. The combination of these articulated elements forms a set.

According to Riegl (1999), the cultural values of built monuments are, initially, the historical value and artistic value. For a garden, the ecological value is added and that it is also the specialist value. In scientific works in the sphere of historical and cultural heritage, there are references to other values involving directly use by a population, such as educational, social, ecological and spiritual values, among others.

Cultural significance becomes, in the theory of conservation, the central object that directs development of monitoring instruments that evaluate the conservation of heritage objects: these are indicators. Indicators are quantitative or qualitative standard measures concerning concrete facts in the social, economic, environmental or cultural sphere and have a broader meaning than the simple 'given data' to which they relate because they express a changing reality and the direction in which such change moves. They are distinguished from 'raw data' by being contextualized in a theory or in reference to a system. They are 'prepared' to translate data that relate to and, therefore, assume, 'extra' information that is inherent in everything analyzed.

According to Januzzi (2003), in relation to academic research the indicator would be the liaison between the explanatory models of theory and empirical evidence of the observed phenomena. From a programmatic point of view it is an operational tool for monitoring a reality (Januzzi, 2003). The set of indicators that relate to a particular aspect of reality or intervention area and cover the range of aspects that they define or characterize is called a 'system of indicators'.

Figure 3. An Indian in the lake, Burle Marx design (Burle Marx, 1987).

Figure 4. The sculpture of a man from Sertão region in Praça Euclides da Cunha, 2008.

4. Indicators of conservation of Burle Marx gardens

The restoration in 2004 of Praça Euclides da Cunha in Recife, a garden that was designed by Roberto Burle Marx in 1935, represented a landmark in the debate on the conservation of historic gardens. Gradually, awareness about the need to preserve this special type of monument is growing but there are still great difficulties, beginning with ignorance by technicians and gardeners about the complexity of a garden/artwork and need for training by those responsible for its maintenance.

The garden restoration experience was led by the Municipality of Recife and by the Landscape Laboratory at the Federal University of Pernambuco. It was nationally recognized because it was in Recife that Burle Marx established his career as a landscape designer. The inventory of Burle Marx gardens in Recife was completed in May 2009 and prompted the discussion between researchers and technicians with the purpose of recording the valuation of a garden monument. The heritage values of the gardens recognized so far are set out, with a view towards formulating indicators of conservation. In fact these contain overlapping values, but are directly relevant considerations for the content of each indicator.

The **historical value** is understood from steps that stood out in the course of evolution of a particular aspect of human activity. It represents something that is so essential and vital in the evolutionary chain that it has conditioned what occurred later. The change of elements of the original design of some of the Burle Marx gardens is now much more evident. For example, the sculpture of an Indian in Praça de Casa Forte (Figure 3) was placed in the central lake of Amazonian plants and the sculpture

of a civilized Indian was placed in the centre of cacti from Praça Euclides da Cunha (Figure 4).

The presence of high-density construction – housing, commerce and services – in the area surrounding Praça de Casa Forte induced a new aspect to the indicator: permanence of constructive typology of the time of garden construction. From the identification of species, it is seen that 42% of total species in the garden today are from the original design of Praça de Casa Forte. Another indicator then is: presence of vegetation from the original project.

With regard to historical buildings, in Praça de Casa Forte and Praça da República various types were identified. This generated the indicator: presence of historic buildings or monuments in the square and in the surrounding area. Legally there is an instrument protecting special areas of Historic Preservation such as the old houses of Praça de Casa Forte, but this makes no mention to the garden. Another indicator was therefore generated: effectiveness of implementation of the standard of protection.

Signs for the gardens would demonstrate heritage education level, but the absence of these in relation to Burle Marx gardens in surrounding and other locations of the city was noted. This prompts development of the following indicator: existence of signage for historic gardens to Centre-suburb and signposts in surroundings and within the garden.

A tour is another item of extreme importance that informs residents and discloses the attractive aspects of the place. There isn't an official tour that provides residents and tourists with the knowledge of this historical legacy. This indicator is: inclusion in the tourist circuit as part of the city history.

The **architectural value** refers to the types of construction and the materials of the components that

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hold the character of the garden landscape. Five indicators are suggested: permanence of types of traditional buildings; permanence of stroke from the original project; relationship of integrity of the elements of the garden; garden's relationship with the urban context; and linkage with other gardens or the nearby public open spaces.

Artistic characteristics are defined by design, shape and colour, says Riegl (1999). The **artistic value** is based on the condition of a particular level of evolution of arts for which one cannot find any equivalent replacement.

To set the garden according design principles and to consider shape, color, time and rhythm, Burle Marx maintained a correspondence to the thoughts of Riegl. Burle Marx even claims that the art of the garden is the arrangement of learning with nature. You can see the depth of the artist's thinking when he expressed the complexity of the garden as a set of elements of nature where is left the entirety of artistic knowledge. This relationship is the foundation of art and ecology. The condition of artistic value, however, is tied to the evolution of thought at the time and therefore to the proximity with the requirements of the ideals of modern art. This means that there is an absolute artistic value (Riegl, 1999, p. 27). The indicators for this value are: colour, shape and texture of plants to make a scenic effect; the relationships of a unit: stroke and plant types in full and empty spaces; indoor and outdoor experiences/relationship of scale; vegetation scale: identification of plant based (shrubby tree and herbaceous) conforming spaces.

The **ecological value** refers to the vegetation used in artistic composition and how this is associated with creating natural environments of extreme sensitivity. This value relates to the educational value, because the garden, according Burle Marx, is also a laboratory where experiments are made. Such projects have the character of saving at least a portion of our flora and preserving cultural heritage, bringing to the inhabitants of cities knowledge of our natural wealth.

In the case of Praça Euclides da Cunha this is seen in the representation of the *caatinga* ecosystem, where the suggested indicator is: representation of the *caatinga* landscape ecology. Regarding environmental comfort the indicator is: influence of square on the local microclimate. Immediate substitutions (when necessary) as well as a periodic renewal program are necessary for the preservation of the garden on an unchanged condition, for the floral

composition study is of utmost necessity to ensure the health of the specimens as well as an effective management plan. In this case the indicator is: identification of phyto-sanitary aspects of specimens.

Characterization of the vegetation of gardens as geographical distribution (biomes) is accomplished by sorting into exotic and native categories and then looking at the issue of eco-physiology, once the environmental and nutritional specificities of each species is necessary to ensure its permanence and/or survival is met, prompting the indicator: phyto-geographical species distribution of garden components.

Generally this requires the study of phenology, i.e. understanding of seasons and repetitive occurrences of natural phenomena such as pollination, maturation and reproduction and of selective biotic and abiotic forces. In this way, phenology studies contribute to the understanding of regeneration and reproduction of plants. They indicate the way that we can ensure survival and management because the reproductive period is of great importance to the population dynamics and survival of species.

Knowing phyto-geographical species distribution will enable the development of all its stages; knowing that the flowering and fruiting period varies from one species to another is vital to ensure a seed bank and to possible a hand-sowing of species that meet the original landscapes' project specifications. This must be available to make substitutions in gardens, this being a requirement of the *Charter of Florence*. For both the indicator is: identification of phenophases of species.

Another aspect relates the conservation of the water surface and consequently the existing fauna, whose indicator is: treatment of water surface.

The **social value** of Burle Marx gardens is expressed in the relationship that he seeks to establish between the offered activities to the use of spaces and user aspirations. This is evident in the design of the Praça de Dois Irmãos (1958), today Praça Faria Neves ([Figure 5](#)), and in Praça Salgado Filho (1957). The indicators for this value are: square use by the surrounding population, modalities of population participation and organization for actions of heritage preservation.

The **spiritual value** is present in the human sense of completeness of nature that affects the transcendence that the garden is able to provide. This is a very intense relationship between people and the garden. This value bears close relation to culture because for

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Figure 5. Praça Faria Neves, 2008 (Landscape Laboratory, UFPE).

Mexicans and Chinese the garden is a representation of the cosmos which transcends the physical dimension. This refers to the feeling of renewal of the spirit provided by resting in the garden. Actually, this value indicates the strength of immateriality that serves as the intermediary between the other values. This sensation or exchange is visible on the users of the Praça de Casa Forte, Praça do Derby and Praça Faria Neves. In this case the indicators are: assimilation of the proposal of the originator and feeling of belonging to the place.

A synthesis of the indicators proposed for the conservation of Burle Marx gardens are listed in Appendix 1.

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Appendix 1. Heritage values of Burle Marx gardens in Recife and their respective indicators of conservation.

Heritage values	Indicators
Historic value	1. Permanence of constructive typology of square construction season;
	2. Presence of vegetation from the original project;
	3. Presence of historic buildings or monuments in the square and surrounding;
	4. Effectiveness of implementation of the standard of protection;
	5. Existence of signage for historic gardens to Centre-suburb and signposts in surroundings and in the square; and
	6. Inclusion in the tourist circuit as part of the history of Recife.
Architectural value	1. Permanence types of traditional buildings;
	2. Stroke remaining from the original project;
	3. Integrity of the elements of garden;
	4. Garden's relationship with the urban context; and
	5. Articulation with other gardens or the nearby public open spaces.
Artistic value	1. Colour, shape and texture of plants like scenic effect;
	2. Unity of relationship between stroke and plant types in full and empty spaces;
	3. Experiences of interior and exterior/relationship of scale; and
	4. Identity of plant based (shrubby tree and herbaceous) conforming spaces.
Ecological value	1. Representation of the *caatinga* landscape ecology;
	2. Influence of the square on the local micro-climate;
	3. Identification of phyto-sanitary aspects of specimens;
	4. Phyto-geographical distribution of species components of the garden;
	5. Identification of the phenophases of species; and
	6. Treatment of water surfaces.
Social value	1. Square use by the surrounding population;
	2. Modalities of participation; and
	3. Organization of the population for the actions for the preservation of heritage.
Spiritual value	1. Assimilation of the proposal of the originator; and
	2. Feeling of belonging with to the place.

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¿Conservar uma feira livre? Or, preserving dynamic, complex heritage by accenting societal character and socio-spatial conceptualization

Klaus Hartwig Brendle[1]

Abstract

Contributing to the challenge of imparting complex heritage, this conference is concerned with the step after their preservation. Therefore it is (only) possible to deal with that which has been selected before and has been evaluated as worthy of nomination as heritage. In this perspective, questions begin in the pre-phase of a protected object. In particular, those submitted under *Conservação Urbana* as 'complex assets' like sites, cultural territories and entire landscapes – favoured by UNESCO in recent years – require 'complex' instruments indicating their state as composite places. Preventing later problems with monitoring is helpful in order to look precisely on a place's living identity and dynamic qualities; otherwise, later on, it may come under a precarious pressure.

Besides heritage of an intangible nature, the Brazilian *Inventário Nacional de Referências Culturais* (INRC) includes the categories 'places' and 'buildings' focusing on 'complex and dynamic cultural processes'. Through the heterogeneous mixture of (social) processes, (urban) space and (architectural) objects – namely by the large traditional market of Laranjeiras/Sergipe – this approach presents an example of a process, some different methods and a theoretical framework for how to observe, describe and indicate local socio-spatial phenomena. Extracting the events and process rules and their spatial consequences force considerations to concentrate on the merged features of 'usage and shape'. Aiming at the 'significance' of the *feira* and not only the most-demanded visual 'worthy-of-protecting' market scenes, the focus here is on the framework for the disposition of societal and design rules and their (historical, behavioural and material) resources. Fostering the dynamic background of this heritage, this approach works out the inherent crucial substance and the socio-spatial constitution of built and landscaping qualities. The potencies and the rules of their visual and livable essentials allow deduction of an adequate monitoring system in order to accomplish the conservation and performance of those sites.

❖   ❖   ❖

Introduction

The description of 'what is going on in the *feira*' requires two different approaches: 'how it is' (Samuel Beckett, 1963)[1], and the history of its life cycle. If one includes the monitoring phase, it would be necessary to add consideration of the estimated future development of the protected heritage. In the case of the *feira livre* in Laranjeiras Sergipe (Northeastern Brazil) we would have to consider a long history of 'how it was', with undoubtedly several changes occurring up to the present day; the Saturday market was first mentioned in 1799 (Grupo de Restauração, 1975). Unfortunately within this project (Laranjeiras *INRC*, 2010) there was no opportunity to gain a deeper understanding of the past, though of course this would be interesting and quite complicated because of the mixture of research disciplines. Moreover, the market is part of the economic and cultural history of Sergipe and would require an adequate analysis of its regional functions, features and interchanges.

1. The place

Therefore, keeping in mind that the missing history would indeed enhance the following approach, let us look on the present *feira* in Laranjeiras. The area where the market takes place is localized at the northern edge of the former *cidade* (see Figure 1).

We have to imagine that before the construction of the *Trapiche* buildings and the covered *mercado* (end of 19th century), presumably the open market was organized directly at the banks of the *Rio Cotinguiba*. The western part of the now built-up site has been used by a campus of the *Universidade Federal de Sergipe* (*UFS*) for two years, while the *mercado* has been in operation since its construction. At the eastern part of the southern riverbank are some commercial houses with one or two storeys, including a former bakery (now under restoration) and another *Trapiche* (a large hall structure, formerly for storing sugar, etc.) restored for cultural events. At the south side of the large and long square there are three important buildings from the 19th century: The *Paço Municipal*, built for the visit of the emperor in 1860 and now the city hall; the *Casarão Rollemberg* (now under restoration); and at the west end the former *Teatro Santo Antônio*, which, after some changes, is now used as library for the *UFS*. The smaller buildings in between with one or two storeys are used for shops, bars, etc. The architecture of the buildings is mostly neat and modest, stamped by flat thin façades with many ribbon windows and doors. This gives a horizontal character and makes a quiet background to the architecture of the public buildings (see Figure 2) The marketplace consists of an addition of wide short streets and larger squares all along the northern city centre with a length of about 180 metres and various widths between 10-25 metres, with a maximum of 40 metres, in total about 8400 square metres, including the *mercado*). Through the low horizontal façades and the wide space the open blue
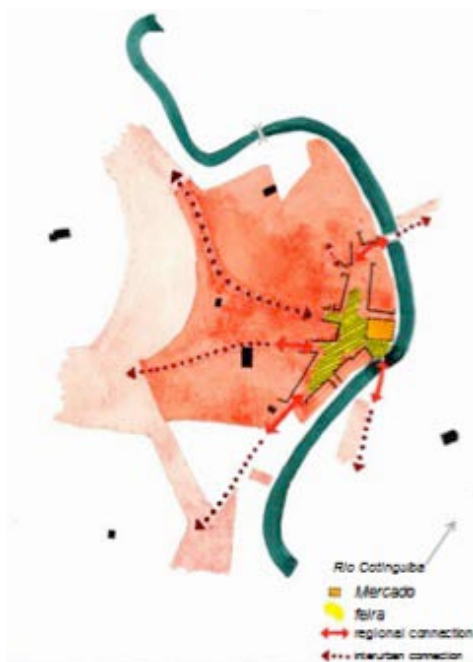
Figure 1. The market square within the historic town centre, its different accesses and connections.

sky becomes a part of the urban character. The huge square also offers various views up to the green hills crowned by white chapels. Although in the middle of today's centre of Laranjeiras, the built sequence of public spaces is accentuated by a strong environmental impact from the surrounding landscape.

Figure 2. Bird's-eye view of the market and the urban space from the east to the west. [The planned market-site in the background; not visible: the University buildings (*Trapiche*), the *Mercado* building (right) or the Rio Continguiba.]

The pavement varies between the later, more comfortable, granite stones (*paralelepípedo)* at both ends of the place and the former pavement of limestone flags in the middle (see Figure 3), called *coração de negro* ('heart of the negro', following Valladares, 1983) or *pé-de-moleque*, 'foot of an urchin'. The plain is subdivided into regular parts by this type of pavement, mostly by vertical inserted stone plates that form direct lines all over the square. Many of these lines are destroyed or nearly invisible. This pavement is probably the first one in Laranjeiras, made in the 19th century. It characterizes the atmosphere of some other old streets and lanes in the historic centre, but because of its rough structure, variety of size, state and soft consistency, it causes some problems in present standards of use.[2] There are sidewalks along the houses at the south and also at north along the large *Trapiche* buildings. Since these buildings are constructed on a higher level (probably against flood disasters from the river) they have an inclined, ramp-like apron. Rainwater is collected in deep and roughly constructed and now sometimes destroyed gutters and a few big drains. Maintained trees grow at both ends along the street-like parts, protected by low walls. Along with two isolated lampposts in the middle in front of the *mercado*, public road lighting is installed along the southern buildings on high posts with lamps that send an over-bright yellow light in

the dark. There is nearly no street public equipment like benches etc., only a monument commemorating the city's foundation. Nevertheless, along the *Rua Sagrado Coração de Jesus* is a longer balustrade that is the haunt of the people in front of the *prefeitura*, called *murinho* ('little wall').

Figure 3. *Feiralivre*, **the historic pavement and the *Mercado* building.**

The commercial town centre is a pedestrian area (the former *Rua Direita do Comércio*) directly leading to the market square (now called *Rua Getúlio Vargas)* and contains two small supermarkets, some bars, a bank and several shops. Along both sides of the square are found some simple bars and shops, all the local hardware stores, and also some waste houses or ruins (some of them currently undergoing a kind of 'reconstruction'). At the east end the main bus station (*rodoviária*) was built. Sometimes the neighbourhood opposite *Trapiche* gives shelter to some tables with handicrafts. Besides the *prefeitura,* the most important building is the listed covered *mercado*, to be opened at three sides to the market by many wooden doors (see Figure 3). In the western *Trapiche* buildings leading to the university the main entrance is just outside the market zone, not affecting the popular event. Their many doors are shut everyday, which gives the recently restored buildings a strangely ambivalent character. The *mercado* is also closed during the week but every door opens widely on market-days.

2. ATTAINABILITY

The realm of the *feira livre* has many different accesses (see Figure 1). The possible former direct route from the countryside now connects only some areas of simple detached houses with the centre, leading across the river over a small road bridge. Its former direct (visual) importance was probably lost because of the construction of the other bridges the *mercado* building cuts off in the 19th century. Today there are two different main access points at the eastern and western end of the market square, by which the people of some suburbs of Laranjeiras and its surrounding villages reach the market. In particular, on Saturdays public buses are organized that wait there for the tour back to the villages, guarding in the meantime the many bags and plastic sacks of purchases and foodstuffs. The southern access is divided among some streets and lanes. Motorized visitors drive mostly into the *Rua Sagrado Coração de Jesus*. Other consumers who walk to the market mainly use the central pedestrian street, '*Rua Direita*' as it is still called by the people. A very special inland manner of coming to the market is by *mototaxi,* or motorcycle. At every access where motorized traffic reaches directly the market, motorcyclists park their vehicles until someone wants to be transported homeward. Another more traditional way of visiting the market is by horse, generally pulling a little wooden cart. Some people still do this and let their horses wait at two common places. We exemplify the variety and details of going to the market in order to expose the various underlying 'scripts' emerging into a functional substructure behind the 'picturesque image of a Brazilian market', exploring a complex socio-spatial entity.

The way back home might be the same but is visibly different because of the many sacks and bags that must be transported. The professional *mototaxista* offers his backseat to the customer and all purchases are mounted between him and the transported person. People sit waiting on the sidewalks, while someone is searching around for a last article, surrounded by a pack of bags until the taxi or one's car is loaded with all goods. Many of the pedestrians rent a *carregador,* who wait at common places for a job. If hired, these young boys follow the customer on the market through the swarm of people and collect every bag, melon, vegetable and other purchase in their metal wheelbarrow (*carreta*). In the end the consumer is joined by the boy on the way home, sometimes pushing a heavy load.

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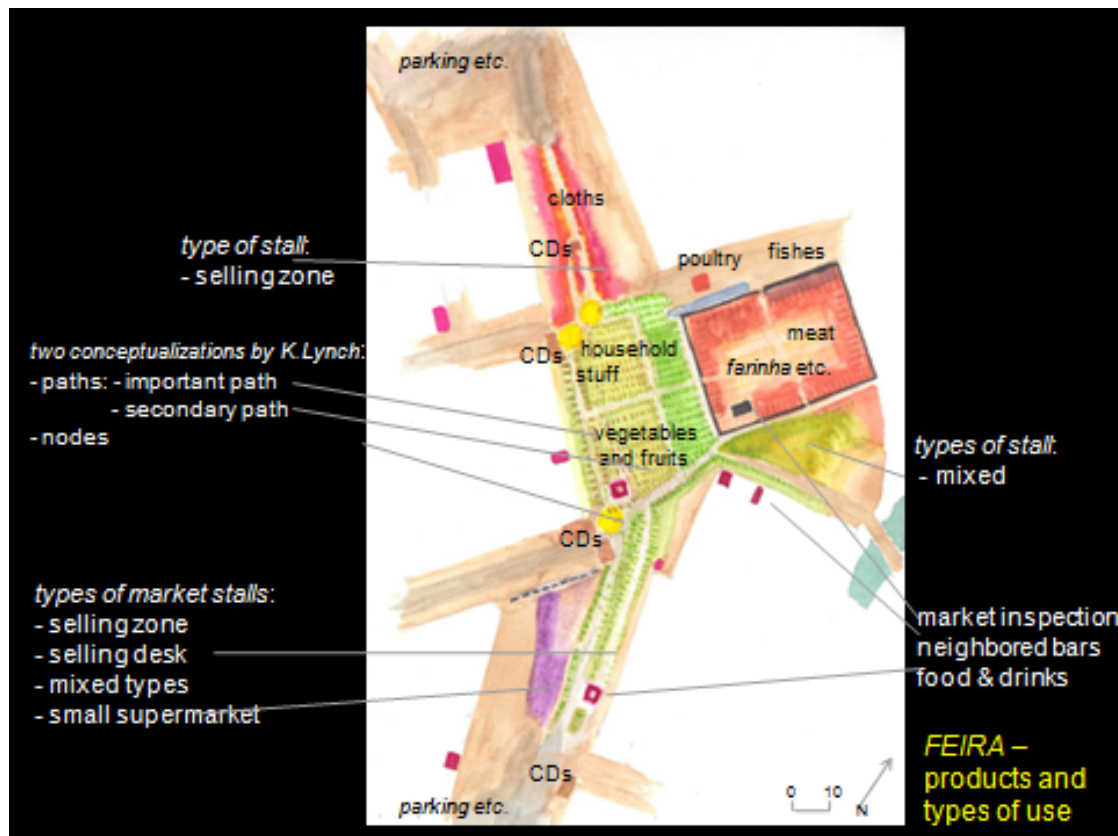
Figure 4. The market and its products, types of market stalls and other uses and functions.

3. Setting

The market takes place in the square and in the *Mercado* every Saturday from before 6 o'clock in the morning until about midday, but activity begins Friday late afternoon and lasts until Saturday evening. First the market stalls have to be transported to the place. Only parts are stored behind the *Mercado* along the river. The common stall type is like a table (1.2 x 2 metres), made from heavy steel (profiles and plates), dark red coloured, with folding legs. Most of them are prepared to fix a light metal roof construction. It is not our purpose to describe all the types and variations, e.g. the *barracas* for snacks and drinks, the used furniture, the improvised electricity supplies and the broad variety of baskets, containers, boxes, sacks, bottles, tanks, receptacles etc., although it is an inherent material part performing the *feira*. In the *INRC*-project this equipment, neatly arranged and including balances and other objects are analyzed. Some men start to distribute the folded tables around and to build up them here and there. With its undefined occurrence and maturity – the slow pace of the event – this procedure seems like a 'growing up'. The build up of infrastructure, becoming a spatial overture of the following activities and the market shape is likely non-systematic. The stapled metal pieces, some a

bit damaged; the combination of 'spidery' thin profiles and flat table-boards; their accidental, irregular distribution over the place; and their various spatial relations appear like an artificial hybrid installation on the fragmented, but solid underground of rough *antigas* stones. But we will never see a completely prepared equipment constellation, because in the early evening the first trucks arrive with tired people and many goods, boxes and other things. The dealers start to settle into the unfinished rows of tables, paths and the space in between them. However we have no opportunity to look more carefully at the many steps in constructing the stalls and skillfully arranging thousands of products, things and foodstuffs. Innumerable awnings and plastic sheets are fixed all over as protection against rain or sun. The *Mercado* fills with fish, meat and the many kinds of *grãos* and *farinhas* (grains and flours). Meanwhile some people sleep under the completed tables, others have a meal, etc. This happens all throughout the night under the bright public lighting. For the distribution of the different merchandise on the market, see Figure 4. At the very end in the early morning the small retailers fill up the narrow lanes and paths and the voids around the stalls with their little items, while the first customers look for the best and freshest items.

4. EVENTS

This short view of the weekly routine of the *feira*'s creation illustrates some of the underlying layers: the socio-behavioural and spatial-objectifying preparation. The process rules became visible with the ongoing flow of time and actions to change the purpose of the public space for its weekly market functions. Like a weekly breath, things happen fluently; the town prepares itself for the return of this more than 200-year-old event. There is no exact boundary either in time or within the occupied space. The occupation, extension and stabilization of usages and spaces (and sub-spaces) are established by a minimum of rules and various flexible but typical objects. They rely on a precious and valuable culture of time use (in Brazil) and incorporate the basic needs and the customs of the people involved. The continuum of this transformation from a market town and back again to daily life over the week is created by the integration of social and material factors within the proceeding. Everything starts and finishes in non-strictly defined stages or steps; for example, a car crossing the centre may be blocked by some chains or by the municipal law enforcement officers almost all of Saturday morning. Crossing traffic is increasingly interrupted by the traffic itself and the spreading of the stalls all over the place; it is 'organized' gradually and by self regulation as well as by the many trucks being unloaded, items in the lanes, people working, etc. We have to consider these process qualities as inherent ones for the final visible appearance, realization and performance of the *feira* ('market picture'). Further on, understanding the exceptional change of the town centre, we realize also that the historic

fabric is the necessary 'receptacle' and place for the regular two-centuries-old event. We can even establish that on Saturdays the market is the heart of the whole region: all roads lead directly to and from the market's access points (Figure 5).[3] The market is the reason why and accumulates many more activities as well as economic and other transactions in the centre. By gathering people, the *feira* features as a socio-spatial realm of contact and becomes a substantial part of the town's tradition and identity.

If we look at the material layers of how the market is works,[4] we find another set of rules and lines that form the activities and the heritage object's appearance. The market area is subdivided by larger paths in different sections: 'quarters', with numberless tables in rows and different kinds of products (Figure 4). A similar structure is found in the *Mercado* building, but with fixed market stalls or small platforms on the ground. The spatial distribution of products is more or less the same every Saturday. The present regulation plan is undated and not performed as drawn. On one side this regulation characterizes the different shopping activities, but on the other side by observing the practiced business and how the retailers occupy the space we recognize a loss of evident structure. By using sometimes both sides of the tables, by building up baskets, boxes and goods in front and between the tables, a stall becomes its own universe. Sometimes several tables are used by one dealer while others may be empty. Throughout the market small retailers put a box here or an improvised table there, or stand around holding just a few things for sale in their hands. This flexible spatial structure is filled with more sellers, products and different possibilities than places for merchandise to be displayed. So the nodes, paths and lanes became narrower, dense and overfilled. Also the irregular pavement and occasional large holes (especially when it rains) have an effect on the arranged order and people's movements. Imagine the boys with their wheelbarrows, pushing through the swarm of people, men carrying heavy bags and things, children running all around, and young well-dressed women strutting proudly in between.

A very special and important space and 'compressor' is the *Mercado* building. By its fundamental functions for the market and its many open doors it forces people to pass through from one side and leave through the other. There is a permanent flow through the entrances and along the main axes. We hear the different noises of people's activities. The huge sheltered space compresses all action to a certain socio-spatial density; by going from the inside
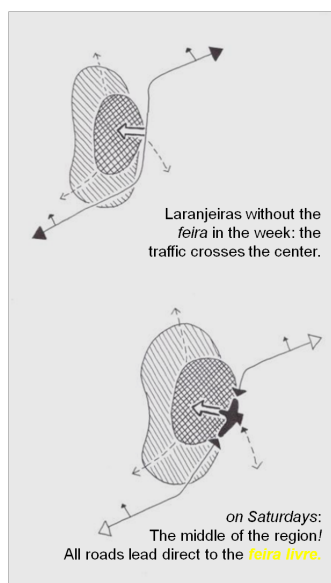

Figure 5. The *feira*'s regional integration.

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to the outside and changing between the wide-open and hot *feira livre* and the shady hall intense impressions in all dimensions of perception are made. A butcher said that this fluid flow of customers is (one of) the essence(s) of this *feira*. We realize that these '*spatial* actions' are one of the affecting conditions of Laranjeira's market.

The spatial score (or script) has become its colours, smells, sounds; its time, rhythm and the sequence of movements. If we want to express formation rules we may say that there is a main underlying structure that is pictured by the market's vivid reality (*or* using a musical vocabulary: there is an always new improvisation like in jazz music; always new and different renditions of the same underlying theme or phrase). With its well-proportioned dimensions the width of a path allows narrowing it until a certain density is reached that creates a swarm of people and things. People move in a slower, sometimes pressed velocity and density changes to accommodate the situation, attractions and locality. In this traditional space the 'communication' or interaction between people and objects become a flowing line and network like the tune of a well-structured and formed musical composition.

5. UNDERSTANDING

Practicing this kind of writing in the descriptive report is transferring and imparting both observed facts and perceived impressions, founded on a detailed methodology and local examination. For the field research we defined 5 typical places (each sector ca. 10 x 10m) at defined pre-observed localities (with different products and spatial structure) and documented all equipment and details ('hardware'), this is shown in Figure 6. Secondly, at defined moments ('time-cuts') we mapped all people in these sectors and their activities. Thirdly, we conducted short interviews with these customers within the same time period. Additionally in the same 5 sectors the sellers were interviewed as well as some professionals from the market organization, some jobbing workers, etc. Alongside other research, these interviews made it possible to get information about motifs, origins, products, customs, business background, periods of visits, organization details, etc. The knowledge of usage and its conditions explicate a typical scenario like a script, or formation rules ('software'). The limited possibilities of this paper (and of the *INRC*-project) do not allow for discussion and practice of more sociological, psychological, behavioural, urban and architectonic methods that have been developed by scientists from the first environmental approaches of the humanities. Meanwhile there exist a wide range of methods and techniques that deepen and enhance socio-spatial approaches and their possible results in order to understand complex real situations at different levels and from different perspectives. We see a lot of methods and concepts such as Roger Barker's 'behavioral setting', Kurt Lewin's *psychologischer Lebensraum* ['psychological
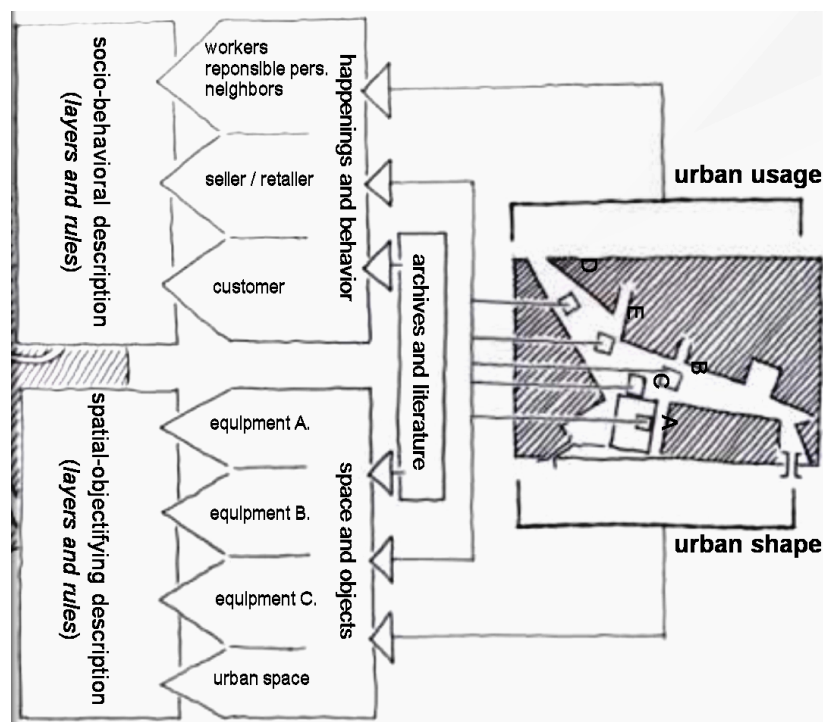

Figure 6. The five sectors of local survey and the workflow diagram.

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life-space'] and other concepts, Roland Günter's [socio-spatial] approach of *sozialer Raum* in Burano and Rome which includes socio-spatial and architectural mapping-methods, the many POE-researches in the United States and elsewhere, to name a few. Also, on an urban level, there is Kevin Lynch's useful understanding of an 'image of the city'[5], Michael Trieb's *Stadtgestaltung* (urban design planning), Christopher Alexander's 'pattern language', Klaus Humpert and Eda Schaur's research into morphological structures through 'self creating' ways in settlements, Ralf Kessenich and the author's application of methods of 'oral history' to large-scale urban images (1994), the author's system of 'urban usage and urban shape' (1990, 1995, 2010), and additionally town planning methods *e.g.* by computer simulation and functional-structural extrapolations. All of these allow complex analyses and descriptions of 'what is going on in the market/city/a wide range of territories'. We may even add artistic approaches and sensitizing 'visualizations' like the film *Koyaanisqatsi* (directed by Godfrey Roggio, 1982) or some of the presentations at the last Venice Architectural Biennale. If we focus on the processes, interchanges of objects, spaces, functions (customs) and social behaviour (either of small groups or under a sociological perspective) we have a scenic background that produces picturesque imagery. Then we are (*more*) able to discover and classify the main crucial factors of complex heritage appearing in landscape, urban or architectural 'forms' and 'spaces'. The inherent movements, changes, developments and their conditions and rules define the special dynamics and changing qualities as part of their 'cultural significance' (Australia ICOMOS, 1999)[6] according to an ongoing responsibility.

A third important group of rules is fixed by the administrative organization: matters like the conditions for stall charges, hygienic checks, security measures, etc. that we only mention here without going into deeper detail. This set of organization rules manifest a background for every activity on the site and need to be examined carefully because of their possible effects on market function and appearance. Additionally, the local socioeconomic situation constrains job possibilities, e.g. for the *carregadors*. Also, some sectors of local business depend on the *feira* performance and the present conditions.[7] Yet the market remains 'authentic'; but who will do such a job for less money in future? These questions may become part of a monitoring activity and need observation and sensitive consideration in the case of new developments, substitutes, ideas, and better

payment. But at the moment there is a greater danger for this *feira livre*: the municipal administration is planning to remove the open market on the opposite riverbank outside the historic centre in a flat event square without any architectonic framework, creating again an *Erro Caruaruense*: the misconceived idea of changing the listed *feira* in Caruaru/ Pernambuco.

6. CONCEPTUALIZATION...

Those analyses exemplify social and spatial parameters on different scales and layers, make possible descriptive sets of qualities and help to discover their assets, constraints and ongoing future development. This market survey may give an idea how to apply, adapt and extend appropriately instruments to larger urban and regional places. Cultural landscapes and the city's usage and shape require a complex analytical model defining sets of qualitative and typical factors. Resuming the general, holistic knowledge about the *feira* and some results of the fragmented, but defined and extrapolated typical 5 sectors, we propose as one step to differentiate 10 general potentialities, qualities and fields of possible influences:

- *Accumulation potency*: The site ('place') is able to compress and promote its own system and/or a connected (larger scale) system.

- *Insufficiency potency*: The site ('place') has a certain (controlled) imperfection that allows adaptations, modifications and further activities and/or construction.

- *Integration potency*: The site ('place') is able to integrate further items within itself and/or itself in a (larger scale) system.

- *Locality potency:* The site ('place') inherits a strong uniqueness by its attainability, geo-morphological and culturally formed environment and built objects (see Norberg-Schulz, 1979).

- *Modularity potency*: The site ('place') consists of (variable and/or flexible) modules and/or entities and is structured by particular intervals (space in between).

- *Organization potency*: The site ('place') embeds material and immaterial structures and forms of communication,

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affordances and combinations that give background and future opportunities.

• *Regulation potency*: The site ('place') constitutes certain unofficial rules, customs, arrangements, etc.; maybe as traditions or by 'self-regulating' systems; and/or open like a net for further developments.

• *Time fluidity potency*: The site ('place') has its ongoing realm and may be regarded as a 'small' universe which defines and/or lives its proceedings and 'being' (-in-time) within its cultural values.

• *Unlimitedness potency*: The site ('place') is structured in different levels, realms, 'times' and/or in modules with edges, limits, borders, intervals etc. that inhabit a certain kind of (controlled or open) interface between each other and the entities within and/or 'outside'. This ability gives opportunities for fluent effects, links and further developments but also a 'relaxed, soft background' within the proceedings and between the (built) elements.

• *Usage potency*: The site ('place') is essentially occupied by the core significance of its well known uses and associated customs, activities and events including the inherent useful objects and surrounding fabric. This accentuation means a close connection to the society's reality, scopes and constraints and a necessary substantial openness to future developments.

These 10 short (abstract and processual) explanations of qualities of complex places can only be a limited attempt and of course require more scientific, definite surveys. Imagining that all ten qualities are inherent in the combination of social and material factors, the explanations become more practical and closer to reality. Furthermore, when locally adopted, they achieve founding specifications, representing the flow of daily (urban) life. On every level we found those units of social and spatial factors (patterns). The conceptual combination of 'usage and shape' helps to differentiate the factors *and* to keep them together. It widens the understanding of dynamic phenomena in between the dilemma of being protected and enclosing openness to change. Focusing the preservation on built elements is obvious, but these 'pictures' are not sufficient to be helpful for the complicated decisions

on how to accept or better to conceptualize (*design*) future necessities and possibilities. If we rely on the results of these processes we may lose the exceptional (design) pre-conditions. On the other hand the recent practice of protecting intangible heritage separately introduces new problems because such heritage might lose its imminent material conditions (see Pinto on *farinha*, 2005). Complex heritage depends on the unity of 'hardware and software formations'. By understanding and integrating dynamic factors and social-spatial effects we expand the criterion, making it easier to impart significance and garner political acceptance within the essential 'lines' of the preserved and protected heritage. For this we need an adequate, much deeper analysis of what is going on and how it is producing the hardware we are enthusiastic about.

Buildings, cities, cultural territories − and *feiras* − are immanently 'products and permanent processes' of social happenings;

"The city… **[or market]**…is a state of mind, a body of customs and traditions, and of organized attitudes and sentiments that inhere in this tradition. The city… **[or *feira*] …**is not, in other words, merely a physical mechanism and an artificial construction. It is involved in the vital processes of the people who compose it, it is a product of nature and particularly of human nature" (Park, 1915).

7. …AND BEYOND!

Against this background we may discuss the preservation and monitoring of complex heritages; *e.g.* Dresden. Was the city's traffic system part of this (*former*) cultural World Heritage? Of course it was (in history and on the actual maps), but not − I am sure − in an explicit and operant way. There are train paths, a few road bridges (mostly built in 'modern' GDR times) over the Elbe river in the heart of the *ex*-heritage nearby the *Elbterrassen*. The river itself was and is a 'traffic artery'. Was anyone thinking of traffic lines as an underlying part of (the history of) the cultural landscape and baroque city? Or how they would develop in future?[8] Or the new planned bridge over the Rhine in the middle of the World Heritage Upper Mittelrhein Valley − maybe it might be a new part of the genuine old European transportation Rhine-artery? In Brazil the extension of ministry buildings is clearly designed and 'calculated' to maintain a relationship between single buildings and open space; is it sufficient to keep free just some (important) views throughout the townscape along

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the diagonal edges of the Praça dos Três Poderes? Or the slight unimportance of the former planned *setores centrais*; how would it have been possible to enhance and develop them in order to keep them as marked commercial localities, avoiding the visual 'loudness' of the nearby later buildings? What, for example, will happen on the Island of Reichenau in southern Germany if the local economic market based on vegetables collapses and the protected green fields surrounding the middle-age churches become endangered? Are we 'prepared' by outcomes of a complex analysis, besides a visual-aesthetical and historical comprehension? Or, as in the example of Lübeck's historic centre where in recent years the most interesting and characteristic postwar buildings (*Wiederaufbau-Architektur*) were and are still being destroyed because no one takes care of developments later than the building period of the Hanseatic city. The typical postwar urban shape and its buildings were constructed outside the protected Hanseatic areas but are closely surrounded and adapted in a contemporary way to the city's shape (Brendle, 2004). Is it acceptable to cut off entire parts of the city's postwar development and history?

All these briefly mentioned examples demonstrate that preserved large-scale (world) heritage does not incorporate important items and dynamic qualities like aspects of traffic, functional changes, historical ruptures, actual and basic urban or landscaping parameters although they are 'entire cultural places'. However, the summary of these influences, historical facts, present usage and cultural attitudes make them important heritage for the world, presenting (built) solutions with specific urban structures and architectural languages.

Conclusion

The dismantling of Laranjeira's *feira* begins slowly when the first fish-sellers pack their things at about 11 o'clock while the fruit stalls look bright in the morning sun. But voices praising the food's qualities sooner or later get louder and louder. The attention of the costumers gradually changes to the coloured cloths stalls, while the butchers organize their exit. After midday we realize that this *feira* will come to and end with the week. The very last products get the last chance of being sold, trucks and cars surge into the constellations of stalls; red-overall clad men and women appear to collect the rubbish that has increased substantially in the last two hours. In the late afternoon, sometimes until the shining of the

bright street lighting, the spidery constellations of empty tables slowly disappear, here and there, leaving behind a pure urban space. It is still many hours before gradually more and more cars roll between the last market stalls; now in the evening the square belongs to them. Saturday night has come.

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ENDNOTES

[1] in […] first publication. Comment C'est [1961]/How it is [1964]. I am not referring only to this suitable title, but also to the flow of text which could be a metaphor about the flow of permanent activities and actions affecting something like a feira: the weekly appearance, beginning with building up the market, and then disappearance forming a non-specific, endless and timeless phenomena. "[Es] bietet sich die Möglichkeit, den Wirklichkeitsbezug immer erneut ästhetisch auszuweizen. Dies meint der Titel: 'Wie es ist'." ([There] exits the possibility, to turn out the relation to reality always again and again in an aesthetic manner. This states the title "How it is.") www.de-wikipedia.de

[2] Since November 2010 it is under restoration but in an ineffective manor and with less technical skills; e.g. not enhancing the substructure (bed) and filling now the joints between the flagstones with grout which will make the stones break.

[3] Laranjeiras is not crossed by statewide roads; currently the traffic is constrained in the centre because of a circuitous road.

[4] "Como a Feira Laranjeirense funciona", subtitle of a first report of the INRC Equipe at the UFS on 19 March 2010.

[5] 'urban elements: *vias* (paths), *limites* (edges), *bairros* (districts), *pontos nodais* (nodes), *marcas* (landmarks)'.

[6] "Cultural significance means *aesthetic, historic, scientific, social or spiritual value for past, present or future generations.*"; emphasis author's own.

[7] What might happen within the "complex system" when these underlying conditions will change…

[8] Here is not the place to judge if the now-constructed Elbe road bridge really is necessary…

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How to register memory? Documentation, recording, archiving and preservation of intangible cultural heritage in Venezuela

Jenny González Muñoz[1]

Abstract

Culture as a social construction of human beings and nature produces intangible manifestations sustained primarily by the oral tradition, which gives it significant features that print decisive elements for the creation of technical documentation, recording, archiving and preservation of intangible cultural heritage. In Venezuela, the problems in carrying out this task have remained; failures related to the true meaning ascribed to intangible cultural expressions considered from the perspective of libraries for attributing items of material culture. The best documentation, in-depth research product is essential not only for the preservation and revitalization of intangible cultural heritage but for the formation of consciences on the basis of respect and appreciation for the sake of intercultural dialogue.

Keywords: intangible cultural heritage, documentation, records, files, preservation, Venezuela

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Introduction

The status of cultural processes is implied in its expression, a neat and unique human being, who takes hold of their interpersonal relationships to meet and conduct their own collective life projects. This, guided by necessity, creates a series of utilitarian items, but also carries away an ability to improve themselves, their environment, context and community. Culture leads man to worship gods, clinging to the existence of higher beings to justify their stay in the world and respond to uncertainties and doubts; this creates myths, rites, ceremonies and legends.

The functions of aesthetics, customs, traditions and preferences in establishing different types or aspects of culture that change as situations occur, imply a dynamic power that is manifested in the daily treatment and non-daily life according to the weather conditions and space.

Culture is a constant imperative for each and every one of the world's societies, giving a possible statement about the presence of cultural events in each act of daily life. It registers from the teaching of values and behaviours at home to made-up creations and academic development. Beyond that, culture is a need for social outreach, economic, political and artistic, hence its ability to establish itself as a dynamic reference and transformer in a number of different areas. The importance of building a collective consciousness that allows for us as a constituent part of our culture and traditions is significant for understanding our history, with further subsequent analysis and interpretation necessary in using specific elements or self-reflection as a society. In this sense, the role of oral tradition is essential not only because it is a tool used by people who do not know historical writing as part of its original establishment, but also because it is achieved in rural and farming communities, where elders are true 'living books' capable of containing major events for the locality or region, including its historical origins.

Orality is a symbolic expression, an act with intended meaning from a human being to another and another, and is perhaps the most significant feature of the species. Orality, then, was for a long time the only system for men and women's expression and transmission of knowledge and traditions. (Álvarez Muro, 2001).

Orality is the expression of the world of meanings and senses that is the culture, history turned into sustained memory and staged through the spoken word. Oral traditions are all oral testimony, narrations concerning the past. This definition implies that only oral traditions, that is, narrating testimony, can be taken into account. This is not sufficient to distinguish them from written records, but from all material objects that can be used as sources for knowledge of the past (Vansina, 1968).

However, as the cultures established under these characteristics are held by man himself, their survival and preservation over time is fragile so they should be treated with recording and documentation

programs according to their 'intangible' terms as they often are for generational use immediately, and this special treatment should be aimed towards their promotion and preservation.

1. Cultural Heritage:
beyond the intangible

To delve into the documentation, recording and archiving of assets from intangible cultural events, you must clarify concepts such as heritage and cultural property. UNESCO, as the international body responsible for enacting the guidelines related to protecting and safeguarding cultural heritage in Article 2 of the *General Provisions of the Convention for the Safeguarding of Intangible Cultural Heritage*, dated October 17, 2003, states:

"The 'intangible cultural heritage' means the practices, representations, expressions, knowledge, skills – as well as the instruments, objects, artefacts and cultural spaces associated therewith – that communities, groups and, in some cases, individuals recognize as part of their cultural heritage [...], is constantly recreated by communities and groups in response to their environment, their interaction with nature and their history, and provides them with a sense of identity and continuity, thus promoting respect for cultural diversity and human creativity" (UNESCO, 2003).

The inclusion of objects, artefacts and cultural heritage is inherent in the approach to re-cognition of those who know of its history, deriving values for identity and self-reinforcement where there is a sense of ownership. In Venezuela the people of the parish of La Pastora (Caracas) identify with Amadores corner, where the tragic death of Dr. Jose Gregorio Hernandez occurred. He was a character who in popular belief was attributed the connotations of a saint, so that in this case the corner per se is not important but instead the legends that accompany mythology about medical miracle cures. The festival which is held every December 29 in Timotes (Mérida state) on the occasion of the celebration of San Benito de Palermo is a tradition, sustained from generation to generation, significant not only in dress and sacred images, but in the faith of *promesantes* and parishioners. The myths of the indigenous Warao (Delta Amacuro State, Figure 1) are held on through time, not in the figure of those who have but a collective belief. The Dancing Devils of Naiguatá (Vargas State, Figure 2) have their assessment begin in the religious and collective representation embodied in

Figure 1. Oral tradition Warao. Delta Amacuro State.

Figure 2. Dancing Devils of Naiguatá Vargas State.

their masks and costumes. Hence, the registration and documentation of this heritage should continue distinguishing characteristics entrenched in what has been called 'content analysis'. It is indispensable to provide detailed references, though brief, so that users can establish levels of understanding that approach the value of such demonstrations.

Heritage as a set of tangible and intangible assets inherited from our ancestors is not constrained by a certain time that it enhances; on the contrary, it remains entrenched in the temporal and spatial (Hernandez, 2002), hence its dynamic character. The product of this heritage is collected and preserved to continue its transmission from generation to generation, avoiding a potential rupture or disintegration, which can lead to an inevitable loss. Hence the importance of customs, traditions and native languages, known as real culture and viewed as:

"The cultural identity of a people is historically defined across multiple aspects that portray their culture, such as language, communication tool between members of a community, social relationships, rituals and ceremonies, and collective behavior, this is, value systems and beliefs" (González-Varas, 1999, p. 43).

In Venezuela there is a substantial amount of intangible cultural expressions that have been sustained and preserved by the communities to which they belong, but it is for the State to 'take all necessary measures to ensure the safeguarding of intangible cultural heritage', as expressed in the *General Provisions of the Convention for the Safeguarding of Intangible Cultural Heritage* in Article 11, which implies the creation of regulatory bodies of both the recording and the handling of such goods, as well as the establishment of laws to ensure their preservation (UNESCO, 2003). In this South American country, the Ministry of Popular Power for Culture contains the Cultural Heritage Institute (CPI), which holds the General Register of Cultural Heritage of the country bounded by the Protection Act and Cultural Heritage Protection and Regulation (2005, p. 49), with the objective to "identify all that is distinctive and significant to the cultural identity of Venezuelans, corresponding to its artistic, historical, plastic, environmental, archaeological, paleontological or social aspects."

In the instructions governing the General Register of Cultural Heritage and the Venezuelan assets comprising it, included in the law (2005, p. 49), Article 5, Chapter 1 speaks of the form to be used for tangible and intangible cultural heritage by applicants, which must provide the following items:

1. Name

2. Location: region, state, county, city or town centre, parish and direction

3. Owner, trustee, custody or charge

4. Category to which it belongs

5. Description

6. Assessment of the applicant

7. Technical assessment

8. Condition

9. Photographic or audiovisual record

10. Registration date of its declaration and its publication in the Official Gazette

11. Legal documents in evidence

12. Public input or administrative actions undertaken to safeguard the asset

13. Revitalizations and other interventions

The registration form includes the 'description' as a reference summary of the event postulated, while terminology points to a simple sketch that can not delve into a qualitative analysis concerning the intrinsic content from the point of view of social value or cultural expression. Despite this, the law says that what is relevant is community support to achieve institutional recognition of a particular manifestation of cultural heritage that enhances its true social salience.

Beyond the register, the CPI-edited catalogues of Venezuelan cultural heritage, consisting of 336 books, are a source of equity census results from 2004-2007; enumerated as targeted municipalities in each of the entities' federal counties: 24 compact disks that show some of the demonstrations (singing, dancing, ceremonies, objects, etc.); and an atlas with 1,700 maps that allow the consultant to locate the demonstrations geographically. No doubt these efforts are valuable, though, it is worth noting that in such cases we can only speak of registration and not documentation, since reading the catalogues we realized that the focus has been on location and the name of the cultural expression, leaving very few lines of description (no content analysis) which is necessary to explain the relevance of the terms for being 'intangible'. There are also significant errors and omissions in these records. For example, in Trujillo state there is a traditional dance called 'the Doll Calendar' dating from precolonial times associated with Momoy culture-group heritage, who were once settled there. Its significance is huge because it contains the ancestral Andean world view of singing to the moon (represented by the giant doll) who is adored by the 'dwarves' that dance around accompanied by a music unique to this demonstration. On the CPI catalogue for the state of Trujillo, Urdaneta municipality, there is an entry for a 'Dance of the Dwarfs' (the popular but incorrect name), as follows:

> "The dwarf party calendar is part of the Christmas celebrations and is celebrated every 24 December. The simulated character is a grotesque face painted on a belly dancer. A parade accompanies singers of carols around the streets and houses in the region" (CPI Catalogue, p.73).

As shown, the summary description is so incorrect that it is impossible to know and understand the symbolic significance of the dance, its history, or the true meaning of that which has been considered to be the intangible cultural heritage of Venezuela. We usually find these examples when we study how to record and document this heritage as it continues to provide tools for cataloguing objects but not sustained expression in the oral tradition.

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In addition to the CPI, the same entity is assigned to the ministerial Centre for Cultural Diversity, an organization created in 2006, with the mission "to interact with the multiplicity of ways in which cultural diversity is expressed in Venezuelan society, valuing the benefit of Latin American and Caribbean integration" (http://www.diversidadcultural.gob.ve). Within this organization is a Collections Management department, which holds the documentation, records and archives of intangible cultural heritage contained in the photographic, audio-visual, literary and ethnographic compilations that correspond to 28 countries in Latin America and the Caribbean.

2. DOCUMENTATION: A PATH TO THE PRESERVATION OF CULTURES

When we refer to the cultural heritage of a region, we are talking about a wealth of knowledge and action that encompasses elements which the collective believes are there for life and, therefore lay hold of them to face their problems and project their collective improvement models (Bonfil, 1991). All of this has to do with the sense of identity, which is regarded not as an identity factor, but as an element that leads to identification, hence the feeling of belonging and consequently of ownership, as illustrated by Nietzsche:

"The history of his city becomes for him the history of his own self. He understands the walls, the turreted gate, the dictate of the city council, and the folk festival like an illustrated diary of his youth, and he rediscovers for himself in all this his force, his purpose, his passion, his opinion, his foolishness, and his bad habits." (Nietzsche, 2005, p. 17).

The nature of intangible cultural events and their continued dynamism, makes any attempt to record them complex. This adds the powerful ability of adaptability (for example, religious ceremonies and potions) that approximates survival or permanence time (e.g. myths, stories, music). The tangible hardly does because if one destroys the building, to cite one factor, the only vestige that remains is the ethnohistorical memory; it is the immaterial, the oral tradition, as well of technical support that remains.

To document, record and archive intangible cultural heritage one should make use of media (photos, videos, audio tapes, bibliographies), but keep in mind that they are nothing but instruments of support, because what is truly significant is the event itself, hence the transcendent nature of the documentation.

According to Guzman and Verstappen (2002) the term 'documentation' in some places:

"…leads directly to the idea of a collection of documents. This meaning tends to give more importance to the proper collection of documents you have. 'While other' means first, the act of recording the results of an investigation [...] during this process creates documents" (Guzman and Verstappen, 2002, p. 6).

It then establishes two types of documentation: a reference and a variety of library and other information organized in records not fully processed. Here the accurate identification of events is crucial, as well as not making mistakes or providing false information to researchers and other users.

In Venezuela the institutions working on the basis of the revitalization, preservation and dissemination of intangible cultural heritage tend to focus on the classification and collection of items such product demonstrations, tending to leave the optimal background documentation of research conducted by specialists of each type of knowledge. This minimizes enhancement that can be given by the traditional knowledge that should actually be the primary focus. In these cases, the record is confused with the creation of catalogues, inventories and accumulation of media as well as with a de-virtualization of the initial task, as it continues to give precedence to the objects placed in collections and not to strengthen the investigation of cultural knowledge being monitored effectively, or supplies of audio-visual media and that its importance lies in keeping alive the diversity of cultures.

The lack of systematic procedures based on specific tools coupled with processes emerging from the activities of contemporary social scientists, has made the recording process set aside instrumental sources such as the ethnohistorical reconstruction of memory based on things such as rites, ceremonies, empirical knowledge, artistic creations and other activities in the community.

Collections Management Centre Cultural Diversity in Venezuela (CDC) uses archival methodologies appropriate to the wealth of their records of intangible cultural expressions, also attempting best practice with infrastructure and conservation of materials (see Figure 3 and Figure 4, next page).

To maximize both the registration file, i.e. cataloguing and organizing the media, and documentation

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Figure 3. Audiovisual archive.

Figure 4. Photo archive.

of cultural events collected there, we made use of DocuManager, a document information system that users helps offer access to different audiences under the supervision and guidance of assigned specialists. It provides technical information (format of photography, for example), a detailed placeholder, the name of librarian, the researcher name, date of registration as well as other information. In performing our work *in situ* to determine the current status of registration of countries included in the photographic database we realized the deficient state of the database used. There is a clear case where using a good systematization tool fails because the data input or the content analysis is shallow or absent. In many cases it seems to have been more relevant to include technical data, repeating patterns of documentation, recording and archiving consonant with manifestations of material nature, but not successfully adaptable to the characteristics of intangible heritage as referred to in this text.

Upon entering DocuManager, windows are deployed that allow users to easily search either by country, name of archivist, reference code, city, etc., and to see how many items are in the registered collections. But when accessing the files the information provided in the content analysis is in most cases is minimal. Technical details that are not

a user researcher's interest are ignored, and greater attention is instead given to explanations of clothing depicted, reference to oral tradition, social relevance and other relevant data elements.

Registration tasks must be forged from equity research, where the contents of the analysis are more than a cursory amount of words, such as in the case of media which is immaterial and unlikely to leave a record conserved in time, beyond oral tradition. Without proper documentation, it becomes a mere object of the collection.

The registration and inventory work should be supplemented with their own specialized tasks files, noting that a good safeguard policy should include both the strengthening of community practices that give life and sustainability to intangible heritage including public outreach and education by organizing collections documented and possible services
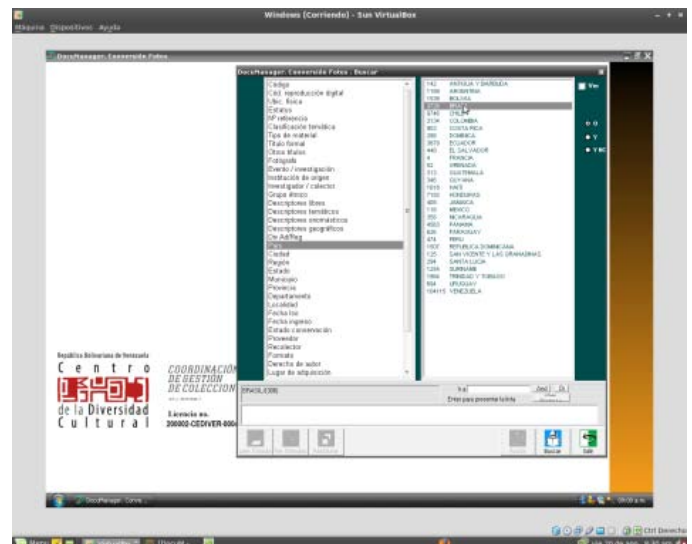
Figure 5. Access seeker.

Figure 6. Documented model information users.

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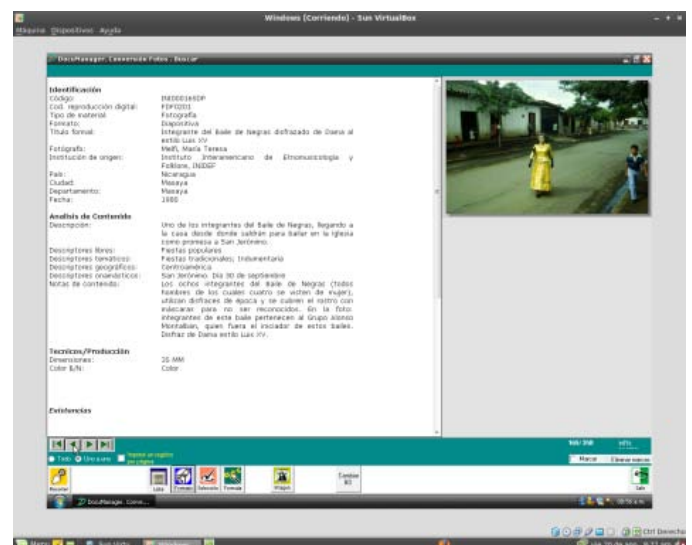
that promote knowledge management. (Consejo Nacional de la Cultura y de las Artes, 2009, p. 37)

By strengthening the documentation of these 'community practices' as mentioned above, one is also conducting conservation or safeguarding work as a means to preserve against negligence, destruction or misuse of the performances, demonstrations and cultural performances of villages. These all provide for the adoption of a series of measures aimed at identifying optimal factual knowledge, protecting (which is part of the role of documentation), promoting as an approach to other areas, revitalizing to avoid extinction or misuse and diffusion in terms of transmission of the various economic aspects. This means, therefore, its protection and conservation. The statement in Article 2 of the *General Provisions, of the Convention for the Safeguarding of the Intangible Cultural Heritage* reflects this:

> "'Safeguarding' means measures aimed at ensuring the viability of the intangible cultural heritage, including the identification, documentation, research, preservation, protection, promotion, enhancement, transmission, particularly through formal and non-formal education, as well as the revitalization of the various aspects of such heritage."(UNESCO, 2003).

Life can be inferred from each and every one of these issues highlighted because they are concatenated to the extent they are adding to the identification and ownership of communities with respect to the terms arising from their own culture, resulting in elements of national identity, regarded from the most specific to the general. In this sense, the role of education is vital for the construction of new consciences guided by respect for cultural diversity and its generators.

The institutions carrying out public policies based on intangible cultural heritage should be ready to support the furtherance of research works not only with the stock they have in their collections, but on the changes that traditions have experienced over time. It is not enough to comply with registration rules and file appropriate forms for the conservation, or in many cases, the revitalization of these cultures, even if excellent documentation is held. In this sense, the preparation of publications, websites and IT systems should emphasize the analysis of cultural content owned by them, and open the door to knowledge through educational strategies that promote respect and appreciation as well as building increased dialogue between cultures.

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Conservation of urban architectural heritage in Rosario: inventory, regulation and evaluation instruments

Carolina Rainero[1]

Abstract

Conservation of built heritage must be considered as an identity and local development factor that plays a positive role in building the urban landscape. However, urban dynamics themselves jeopardize built heritage, since building a city on an existing one implies substitutions that, in many cases, act against urban memory. This paper intends to reflect upon urban policies' follow-up and monitoring strategies of urban architectural heritage protection and conservation in Rosario.

The *Urban and Architectural Heritage Conservation and Rehabilitation Municipal Program*, which depends on Rosario Municipality's Planning Office, has implemented an extensive property protection program. The first actions were focused on control of demolition files which involved heritage buildings, on elaboration of an inventory of property in the city's central area – highly exposed to substitution given its high real estate value – and on participating in the elaboration of the new urban code (2008) that has used urban indicators to attempt to discourage indiscriminate substitution in heritage areas as a measure to complement direct property conservation. The state action proposes regulatory instruments that, on the one hand, regulate or limit actions on heritage and, on the other, prioritize the incorporation of heritage in the definition of urban landscape. Heritage protection is not feasible with just the elaboration of property inventories or protective regulation. These represent the reference framework and the starting point of continuous and permanent follow-up and monitoring of the actions that public conservation policies must address in relation to urban heritage interventions.

Keywords: urban conservation, architectural heritage, inventory, regulations instruments

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Introduction

Experiences in historic cities cannot be taken as referents since they differ in nature, whether for historical, constitution or growth dynamics reasons. On the other hand, the population fails to see in heritage a wealth factor, and tends to consider heritage a load rather than an alternative for development. The city grows and is transformed and, unfortunately, irreplaceable buildings and property can be substituted in this process, giving rise to an evident contradiction. From the physical perspective, the city is being built on the existing city, but this could take place without destroying the several layers that overlap in space-time. Its unique buildings, streets and landscape as a whole make up a rich tangible heritage which, like landmarks or anchorage, account for historical continuity, provoking reflections of urban heritage and culture as regards identity, forms of evocation and memory. Therefore, it is necessary to reflect upon management, from the indirect control of urban shapes to the instruments that permit anticipating architecture – city projects.

Figure 1. Rosario Central Area (Source: Arq. Carolina Rainero).

1. City characterization

Towards 1852, Rosario, a village of 9,785 inhabitants, became a town (Figure 1).[1] By that time, the village had extended spontaneously following the Hispanic checkerboard orthogonal tradition, from the core of the settlement made up of the chapel and

the square outwards. In 1866 the first section of the Argentine Central Railway (*Ferrocarril Central Argentino*) opened, and this determined a new element in the spatial structuring of the city and the region. The rise in the number of inhabitants contributed by immigration, the expansion of the port activity, and the growing agricultural exports trade helped the city grow by founding new villages, incorporating hamlets or adding rural territory. Thus, a city with varied hues, a mosaic of landscapes with a distinct identity, was formed.

In the first decade of the 20th century the works that would change the city's appearance were built: the port, the first urban park (Independence Park), the hospital, the racecourse and the Saladillo baths,[2] among others. Rosario became a booming 'metropolis', where the modern age has left unique fingerprints, especially in the downtown area. Until 1930, while there were substitutions of the original buildings, the city grew on new land. However, from then on, the city was built on the existing town. From 1930 to 1966, the country underwent a social and economic crisis, presided over by military administrations. The city could not elude the national reality and experienced scant transformations. Towards 1968, when the economy and urban transformations were booming, the Rosario Regulating Plan was enacted. Its Code stipulated the division of the urban area into Districts, which arise from reordering and streamlining the city zones, and indexes were established to anticipate changes in the urban landscape.

The city is still growing fast but has to face the consequences of unattended regulations regarding urban land 'qualification'. The lack of appreciation of the existing city needs to be emphasized. The indexes suppose an empty lot and no pre-existing structures are recognized. Therefore, the city heritage and its urban landscape are left unprotected. The aforementioned indicates that, for the purposes

of considering urban heritage, Rosario presents a complex reality (Figure 2).

2. THE CITY AND ITS URBAN HERITAGE

Despite having a unique natural coastal landscape and a wide variety of built heritage, this richness is not openly recognized by the inhabitants. Some of the reasons for this are: lack of sensitivity to a common past,[3] a mercantile nature, and property developers' speculation, which has pervaded almost all of the city's development actions, motivating the urban heritage devastation for decades, and even unto the present, due to the current economic boom.

The central area is the most affected area. This presents paradigmatic works linked to the city's urban history where the progress paradigm, understood as upward development, has caused irreplaceable losses and generated a change in the landscape scale. However, if society does not claim protection of the city heritage, public regulations are left with little margin to be applied. Unfortunately, in my view, urban regulations, which have regulated the city since its inception until the elaboration of the 2007 Urban Plan, did not reconcile appreciation of the urban land with heritage. The regulating instruments have always considered the urban land as empty, with no precursors. This causes vulnerability in the local urban cultural heritage.**[4]**

3. HERITAGE REGULATIONS

The city's distribution and construction regulating instruments have contributed to destruction rather than protection. As mentioned above, the 1968 Urban Code has been partly responsible for substitutions, due to the indiscriminate treatment the urban land has received. However, the first precedent regarding the intention to conserve and value the urban heritage dates from 1984, when Decree No. 0998 was issued and the Evaluating Committee was formed[5] to evaluate and advise regarding any intervention on real estate property whose building permits dated from before 1953. In 1987 the Evaluating Committee became the Urban and Architectural Heritage Conservation Committee. By Ordinance No. 5278, the Urban Conservation Fund of Rosario was created, which represents 3% of municipal taxes. Also, demolition permit and approval procedures were amended.[6] In 1996 the Urban and Architectural Heritage Conservation and Rehabilitation Program[7] was established, under the Planning Office of the Municipality of Rosario.

Figure 2. Paradigmatic Buildings. Rosario. Central Area (Source: Arq, Carolina Rainero).

Until 2007 heritage protection and conservation was realized through proposals created by ordinances and decrees including:

• Action programs: Revitalization of the Downtown[8] and the Program of Preservation, Conservation and Publication of Rosario's Industrial Heritage.[9]

• Special plans for quarters declared of urban interest, in order to restore buildings that are representative of the quarter's urban history, preserve urban morphology, and encourage private investment[10] and the **historic, urban and architectural area** of Oroño Boulevard.[11]

• Declarations of Historical and Cultural Interest, such as the urban complex made up of the Central Argentino Railway Repair Shops.[12]

• Elaboration of the *Central Area Inventory* ([Figure 3](#))[13] listing heritage buildings and sites declared of municipal interest to create a catalogue. Categories of heritage buildings, rides and urban sites are established, as well as their different degrees of protection.

4. PLANNING OFFICE'S CONSERVATION PROGRAM

Conservation of built heritage must be considered as a factor in identity and local development that plays a positive role in building the urban landscape. However, urban dynamics themselves jeopardize built heritage, since building a city on an existing one implies substitutions that, in many cases, act against urban memory. The introductory section of the Urban and Architectural Heritage Conservation and Rehabilitation Program in the local government's website indicates the nature of the urban heritage conservation policy:

"[…] this Program encourages a city project where urban interventions, whether private or public, introduce restoration and enhancement of urban and architectural heritage as a driving force to promote public spaces, and recreate diminished, messy or 'vague' areas […] The project points to restore heritage buildings and sites, in order to highlight those features that go unnoticed to the average person, to strengthen the local identity and to boost the sector's economy [development factor]."

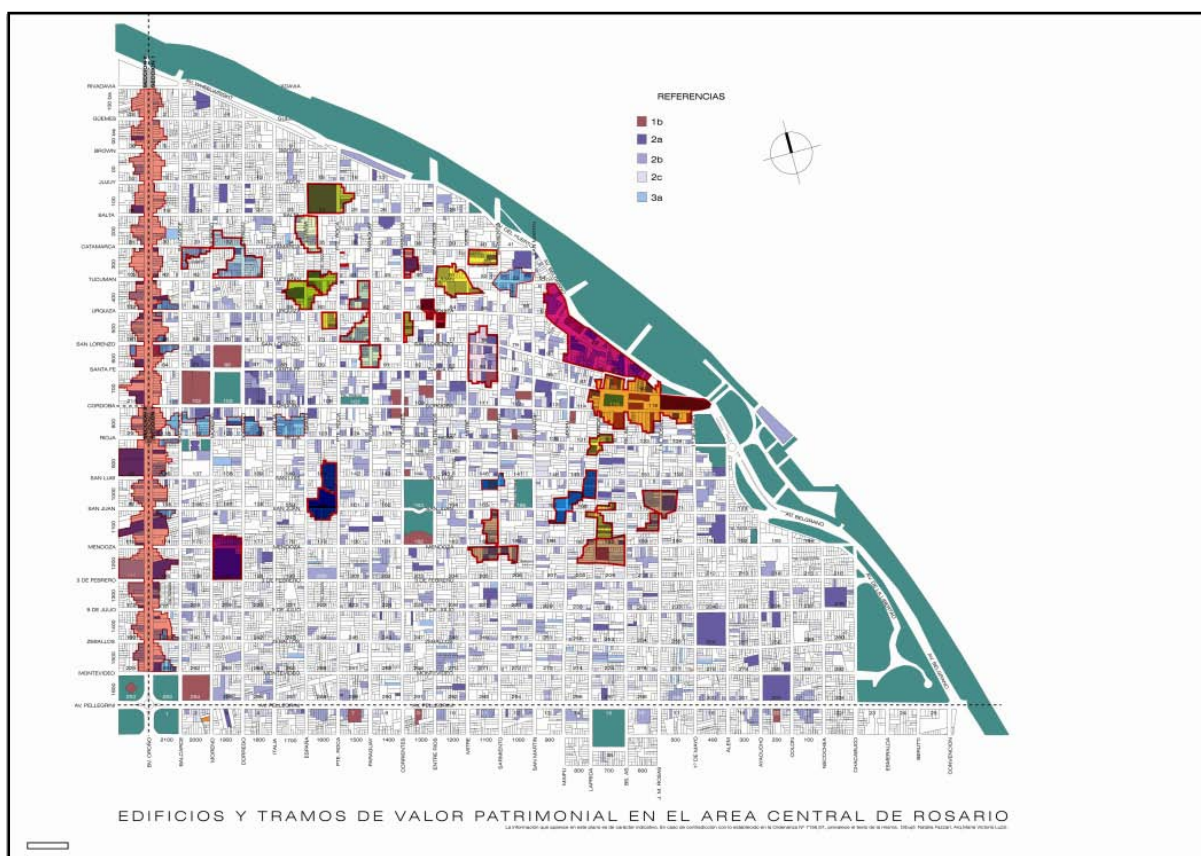**Figure 3. Central Area Inventory (Source: Historical, Urban and Architectural Conservation Program; Planning Office of the Municipality of Rosario).**

Rainero, C. 2012. How to register memory? Documentation, recording, archiving and preservation of intangible cultural heritage in Venezuela. *In* Zancheti, S. M. & K. Similä, eds. *Measuring heritage conservation performance,* pp. 59-66. Rome, ICCROM.

As mentioned above, heritage is considered a key factor and an identity resource in urban planning. Therefore, four action lines are defined:

- Elaboration and instrumentation of a legal framework, developing specific guidelines to rule action in heritage areas and sites.

- Restoration of heritage buildings, through interventions in both public and private buildings, technical and management counselling; urban subsidies and agreements.

- Survey, indexing and inventory.

- Disclosure and awareness, through campaigns and publications.

At present, the state action proposes regulatory instruments that, on the one hand, regulate or limit actions on heritage and, on the other, prioritize the incorporation of heritage in the definition of urban landscape.

5. ROSARIO'S URBAN CODE AND CONSERVATION OF URBAN ARCHITECTURAL HERITAGE

The recent introduction into the Urban Code of built heritage conservation issues creates a radical change in heritage policies. Rather than considering heritage as an isolated issue, heritage policies now give heritage a key role in the configuration of the urban landscape. In 2006 The Planning Office and *Universidad Nacional de Rosario* agreed to propose urban heritage protection criteria to meet Rosario's special needs, to update and re-formulate the inventory of heritage buildings of all urban areas — the central area, first and second rings and city limits — and to create measures to protect not only heritage buildings but also urban landscape.

The studies indicate that some homogeneous areas are recognized which, despite having a low rate of heritage buildings,[14] determine urban landscape feasible to be conserved. This particular aspect of what can be defined as *scattered heritage* motivates a regulating proposal to address protection of the landscape or its surroundings beyond the property protected by the inventory.[15]

Historical, architectural and urban heritage protection should consider the following criteria:

- Promoting uses and activities to ensure the life of the heritage property.

- Defining ability to build and height rates to discourage introducing substitution processes in heritage property sites.

- Expanding the protection area of a heritage property to the neighbouring lots, in order to highlight it or to ensure a good view of the protected property.

- Encouraging public-private agreements (urban agreements).

5.1. Instruments and regulations

The following examples help to introduce some considerations regarding the Central Area Urban Reordering Plan in relation to the heritage issue: Urban Code — Ordinance 8243/08. These include the 'indirect' heritage protection instruments in the Urban Ordering Plan: General Urban Regulations, Particular Urban Regulations and the protection instruments and realization of special sites of municipal land.

These instruments might be applied to special interest areas in a single or combined way, in the form of statements, and they are classified into: historical protection areas, ecological and environmental protection areas, natural reserve areas and social interest areas.

Moreover, the concept of urban and construction agreements is introduced. These legal instruments formalize the agreement between Rosario Municipality and public, private or joint venture entities for urbanization, reconversion, urban reformation and protection, conservation and urban rehabilitation actions.

Regarding general urban regulations, expiration of construction indexes is proposed, and these are substituted by the sections category — or significant fragments — which correspond to completion, renewal and heritage.[16]

Finally, protection of the heritage surrounding property is introduced, and this leads to higher appreciation, giving these maximum construction heights to match the conservation sections.

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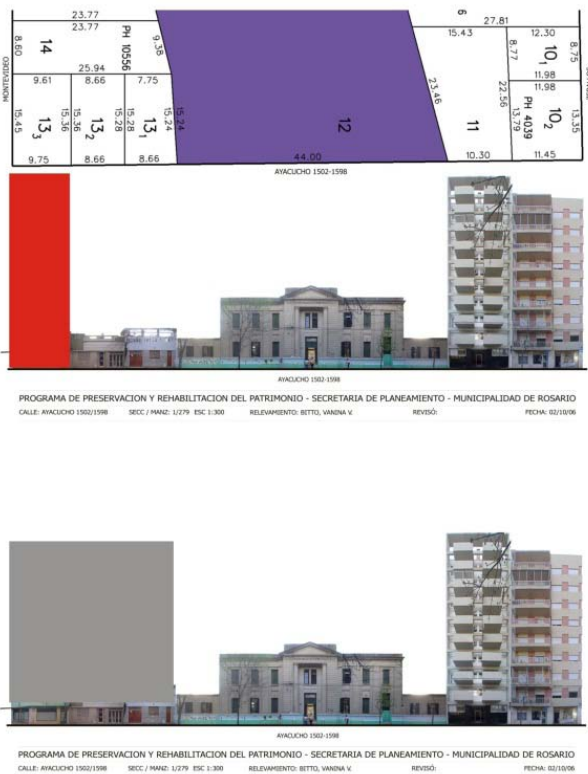
Figure 4. Central Area Inventory Detail (Source: Historical, Urban and Architectural Conservation Program is established, under the Planning Office of the Municipality of Rosario).

5.2. 'Direct' heritage protection instruments

5.2.1. Inventory - Indexing

Review of the Central Area Heritage Buildings and Sites Inventory and Catalogue (Figure 4) was proposed, to substitute the Inventory enacted by ordinance 7.156/01. Moreover, Decree 28148 stipulated that the Heritage Conservation and Rehabilitation Program would send the Council an updated Inventory of Central Area Heritage works and sites, would study the particular cases of protection by section and protection of the vicinity, and would include new buildings in the inventory and/or remove those buildings that no longer retain the special nature which first helped to include them in the inventory.

5.2.2. Inventory and indexing of Rosario's Central Area Architectural and Urban Historical Heritage Property

This instrument helps define regulations for architectural heritage protection and conservation in the city as a whole. It stipulates the following elements:

- Regulations regarding preservation criteria, intervention modes, conservation and rehabilitation of buildings, and management mechanisms must be in place.

- The owners of heritage buildings must keep them in good order, and make the necessary works to conserve or rehabilitate them.

- An ordinance compliance control mechanism is to follow up conservation and rehabilitation actions, in association with the Private Works General Office and using the guidelines determined by the Planning Office, through the Urban and Architectural Heritage Conservation and Rehabilitation Program.

- **Categories**: grouped according to how an indexed building is capable of constituting a place. The city contains unique buildings, and other buildings that make up sections (sections and section-corners) which contribute to the definition of urban fabric.

- **Degrees of protection:** establish the restrictions enforced.

- **Comprehensive protection of the property**: achieved through assessment of its distinctive parts, preservation of its surroundings and/or conservation of ornamental components and their corresponding record or documentary conservation.

There are two types of protection of the inventoried property: direct or indirect.[17] The first type highlights two gradients: comprehensive and partial. Scientific restoration criteria determine the interventions. Also, specific protection is introduced to keep a documentary record of the ornamental elements, and environmental protection is introduced to protect public spaces. *Intervention levels* describe the intervention modes for conservation and/or rehabilitation and the possibility of reforms and/or extension of the inventoried property according to its heritage value. Each degree of building protection admits a different level of intervention. The Urban and Architectural Heritage Conservation and Rehabilitation Program plans to update the Heritage Buildings and Sites Inventory and Catalogue on a regular basis, to include buildings from different areas of the city, and to change the degree

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of protection of the buildings which might reach the status of ruin.

5.2.3. Historical Protection Areas - APH

Historical protected areas were defined and demarcated as a protective regulating instrument. Among the instruments devised to protect and/or realize the city's built, environmental and landscape heritage, the Historical Protection Areas (APH) and the Ecological and Environmental Protection Areas (APEA) are worth focusing on. These, added to the urban indexes proposed by the new urban code, deal with the conservation of the property and preservation of the landscape in a comprehensive way. Those sectors in the urban fabric containing historically and/or architecturally valuable buildings or particular conditions in their construction, in the morphology of the whole building and in the composition and/or character of their public spaces need to be protected.

Several management instruments are articulated to ensure urban landscape conservation:

- Inventory and indexing of heritage property.

- Degrees of construction protection for inventoried property.

- Construction conservation measures and potential transformations of use.

- Specific urban indicators for the lots involved.

- Conditions for design, materials and installation of elements on the façade.

Numerous APHs have been established in the central areas – Pichincha, Oroño, Paseo del Siglo – and in the once neighboring towns, today residential districts: Pueblo Alberdi, Saladillo and Fisherton (currently in progress) to enable the protection of the whole complex beyond the individual works.

Disclosure strategies and citizens' participation.

Disclosure is an instrument that permits the average person to get acquainted with heritage protection actions. The following disclosure strategies of the direct protection instruments described – inventories and APH – intend to involve the average person in heritage conservation:

- Urban rides related to the heritage property that originates the APH.

- Publication of a catalogue containing the urban routes.

The specialist group I belong to, representing Universidad Nacional de Rosario in the Agreement with the Municipality of Rosario, has just elaborated a project called 'Agreed – Shared-Heritage', which permits the active participation of the average person in the appraisal of heritage.

Once the inventory of the city areas is proposed, mechanisms are established to disclose its progress so that the citizens can to voice their opinion. New heritage elements which are especially meaningful to the inhabitants, and which after the initial historical/architectural/documentary appraisal contributed by the specialists were not included in the inventory, may be incorporated. Including the directly involved social actors' opinion helps to verify inventory relevance.

This project's particular objectives:

- To communicate to the citizens the catalogue of weighted works as city heritage corresponding to the districts.

- To encourage rediscovery of significant works in the area which determine the identity of the urban landscape.

- To enable the contribution of the citizens in the recognition and appraisal of urban cultural heritage.

- To establish a space of citizen participation in the actions involving local heritage.

This initiative becomes an inventory validation tool. This will permit appreciation and rightsizing of the Heritage surveyed as a group elaboration by all the actors, specialists and general public, who determine the urban fact, from a new qualitative interpretation that includes the appraisal arising from symbolic heritage (intangible heritage) contributed to by the experiences that create urban culture in time. This project encourages citizens to discover and appraise the heritage that characterizes, defines, and identifies the place where they live. We consider that feeling a part of it all involves citizens in its conservation.

Instruments for Monitoring and Assessment.

A strategy must be formulated to assess the new code actions' effectiveness, especially in the central area, in relation to the substitution of heritage property (for example, by discouraging tall buildings),

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that can be measured by following up the filing of demolition and new work forms. Regarding the statements of Environmental Protection Areas and Historical Protection Areas, a plan is being devised to permit monitoring (identification, recording, and assessment tasks) in those areas, as an evaluation tool to measure effectiveness of the proposed conservation measures.

Last but equally important are the supervision actions that must be proposed in relation to the interventions in the buildings included in the inventory.18 Establishing protection degrees to limit and define the permitted actions on the property becomes worthless if compliance is not supervised. It is also necessary to have a comprehensive preventive conservation program of that unique property in order to ensure its conservation conditions once intervention has been made.19 It is worth remembering that one of the primary dimensions of heritage is its documentary nature, and each intervention damages the property to a higher or lower degree. Therefore, the actions must be anticipated in order for harm to be minimized.

Conclusion

From the mid-20th century until the enactment of the Rosario Urban Plan, the instruments responsible for preserving and conserving urban cultural heritage proved to be inadequate and insufficient. Isolated efforts, an elaboration of the inventory or an approximation to the definition of Historical Protection Areas, cannot be managed in a sustainable way. Heritage management policies must cease to be restrictive and must permit city transformations through the effective inclusion of the heritage property in urban planning.

In the recent years the Conservation Program has developed a sustained action in relation to urban heritage, eliminating the dissociated interpretation of heritage and urban development, and including it as an inseparable factor in the constitution of the city landscape. While cultural heritage refers to the inhabitants' identity and the city memory – the identity dimension – its potential cannot be wasted in relation to its capacity to promote urban transformations and local development. So far, actions have focused on the identity dimension rather than on the transformation potential, economic appraisal, sustainability and participation of citizens.

As I see it, however, guidelines or instruments have to be devised to evaluate the effectiveness of the proposed actions and to monitor their effect in the long term. Imbalances must be noticed, and the instruments that directly or indirectly act on complex heritage property must be self-regulated or adjusted. Preventive conservation has contributed a new commitment to follow up and control actions on cultural property, struggling for minimal interventions, potential to reverse actions and supported by scientific knowledge. Urban heritage conservation policies should be ruled in the same way, introducing conservation and intervention evaluation and monitoring tools.

From the aforesaid, several questions arise:

- Which indicators account for the effectiveness of the conservation policies implemented?

- Is monitoring a key tool?

- Who must execute it?

- Does citizens' participation have the highest potential to follow up the actions that compromise urban heritage?

If the citizens are uninterested in conservation, nothing can be sustained. Heritage protection is not feasible just with the elaboration of property inventories or protective regulations. These represent the reference framework and the starting point of a continuous and permanent follow-up and monitoring of actions, which public conservation policies elaborate in relation to urban landscape transformations.

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Endnotes

[1] Provincial Law of August 3, 1852 – Section 1: The village of Rosario becomes a town called 'Ciudad de Rosario de Santa Fe'.

[2] Swimming pool complex and recreational areas on the outskirts.

[3] The city experiences considerable immigration from the mid 19th century to the first decades of the 20th century.

[4] Urban cultural heritage considered as urban landscape.

[5] Decree 2791. Evaluating Committee of demolition permits for buildings built earlier than 1953.

[6] The occupied land with existing buildings in all the districts of the Urban Code will file their demolition dockets in the Architectural and Urban Heritage Conservation Committee.

[7] Honorable City Council. Ordinance Nº 6171. 1996.

[8] Honorable City Council. Ordinance Nº 7675. 2004.

[9] Honorable City Council. Ordinance Nº 7065. 2002.

[10] Decree Nº 25662 – 2005. Special plan for Pichincha quarter. Brothel quarter, linked to development of the city of the late 19th century.

[11] City Council. Ordinance 7910. Boulevard dating from 1886 which makes up a unique urban ride due to its morphological features. 2005.

[12] Rosario Repair Shops. Designed by Architect Boyd Walker (1886).Steam locomotives hub, power substation, technical offices and sawmill.

[13] City Council. Ordinance Nº 7156 / 2001.

[14] Over a total of 35 blocks, there are:

1 b protection-degree buildings: 1

2 a protection-degree buildings: 14

2 b protection-degree buildings: 50, some have been demolished.

[15] Ordinance 7156/01.

[16] These are permitted a maximum construction height matching the neighbouring building height of 21 meters and 12 meters respectively.

[17] Reference, environment, landscape.

[18] Any conservation strategy –regardless of the scale of the heritage property- demands a maintenance commitment to ensure its proper conservation. This is so expressed back in 1964, in the Venice Letter, Section 4, which reads: …monument preservation requires, first and foremost, a great deal of permanent care of the monument…

[19] In 1997, within the Framework of the Urban Heritage Conservation Municipal Program, the Heritage Buildings Sponsorship Plan was proposed, to include restoration of paradigmatic buildings in the central area.

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Assessing the cultural significance of world heritage cities: Zanzibar as a case study

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Abstract

This paper focuses on the World Heritage property 'the Stone Town of Zanzibar', located on the island Zanzibar, in the United Republic of Tanzania. The Stone Town is a case study that is part of a larger research program called: 'Outstanding Universal Value, World Heritage cities and Sustainability: Surveying the relationship between the Outstanding Universal Value assessment practices and the sustainable development of World Heritage cities' lead by the Eindhoven University of Technology, the Netherlands; and UNESCO World Heritage Centre, France.

The aim of the research is to help stakeholders involved in policy, management, and development of the Stone Town determine the adequacy of their current strategies towards sustainable development of the Stone Town, without damaging its Outstanding Universal Value (OUV) as defined by the World Heritage Centre. By assessing the OUV as stated in the official documents as well as the authenticity and integrity of the attributes representing the OUV apparent in the core zone, a comparison can be made.

The policy documents (the Decision Text, Recommendation File and the Nomination File) will be assessed by means of revealing the dimensions of the cultural significance of the Stone Town in terms of cultural values. To complement this, the cultural values represented by the attributes of the Stone Town as well as its authenticity and integrity will be surveyed. This leads to a better insight into the (in-) consistencies between the ascribed cultural values represented in the policy documents on the one hand and the physical attributes on the other.

Keywords: Stone Town, Zanzibar, World Heritage, UNESCO, sustainable development

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Introduction

This paper focuses on the World Heritage (WH) property 'the Stone Town of Zanzibar', located on the island Zanzibar, United Republic of Tanzania. The case study of the Stone Town is part of a larger research program called: 'Outstanding Universal Value, World Heritage cities and Sustainability: Surveying the relationship between the Outstanding Universal Value assessment practices and the sustainable development of World Heritage cities' lead by the Eindhoven University of Technology, the Netherlands; and UNESCO World Heritage Centre, France (Pereira Roders and Van Oers, 2010). It is an innovative, collaborative and comparative research program that aims to make a significant contribution to both research and practice on World Heritage management and sustainable development (*ibid*.).

The main question of this case study is: how can the Stone Town develop sustainably, without damaging its Outstanding Universal Value (OUV)? This paper, however, will cover only part of this question. The research presented in this paper consists of a systematic analysis of the following policy documents containing information on the cultural significance of the Stone Town: the Decision Text (DT), the Recommendation File (RF) and the Nomination File (NF). This in order to find out in what way the original justification for inscription – as adopted by the World Heritage Committee (WHC) under criteria (ii)[1], (iii)[2] and (vi)[3] (ICOMOS, 1999) is to be found echoed along the subsequent policy documents and in the physical attributes that make up the Stone Town.

This research continues the work of previous studies into the Stone Town regarding its OUV and its development. The first study was the UNCHS/Habit report (LaNeir and McQuillan, 1983); its purpose was "to assist the government of Zanzibar which is deeply concerned about the potential loss of this valuable national patrimony to outline a development and conservation strategy for the Stone Town and to determine the magnitude of the effort required" (*ibid.*, p. 1). This report included a record of the current situation of the Stone Town as well as recommendations for the future management and conservation of the Stone Town. In 1992 the First International Conference on the History & Culture of Zanzibar was held. The major focus of this conference was the history and conservation of Zanzibar Town. A publication of proceedings (Sheriff, 1995) and the preceding conference raised the awareness of the condition, and subsequently, the conservation of the heritage that is known as the Stone Town. This led to the 1996 Aga Khan Trust for Culture publication (Aga Khan Trust, 1996) containing the conservation Master Plan for Stone Town, conducted between 1992-1994. In 1999, based on the latter publication, the Application File for the inclusion on the World Heritage List (WHL) was made (URT, 2010). After inscription in 2000 the Aga Khan Trust for Culture published a report that includes "an explanation of how to design new buildings in compliance with the law, an analysis of traditional stone structures and common causes of failure, detailed descriptions of traditional building technologies and up-to-date conservation techniques, and advice on how to plan and execute repairs to traditional buildings" (Steel and Battle, 2001). Recently there has been a mission to Stone Town of Zanzibar (May 2008) from both UNESCO and ICOMOS. The report shows the discrepancies between interpretation and presentation of the criteria of OUV. Other threats mentioned are: the current management, which endangers the OUV of the attributes; and physical disturbances such as traffic congestion, telecom masts, waste management, damage from rainwater, etc. (Bakker and Elondou, 2008).

1. AIM AND PROBLEM DEFINITION

The aim of this research is to help stakeholders involved in policy, management, and development of the Stone Town determine the adequacy of their current strategies towards the sustainable development of the Stone Town, without damaging its Outstanding Universal Value as defined by the World Heritage Centre.

The Stone Town of Zanzibar, United Republic of Tanzania, has the broadest level of cultural significance as it was considered to be of Outstanding Universal Value to all of mankind when listed as WH in 2000, under criteria (ii), (iii) and (vi). According to the WHC, Stone Town "is an outstanding material manifestation of cultural fusion and harmonization" (UNESCO, 2000). Moreover, "for many centuries there was intense sea bourne trading activity between Asia and Africa, and this is illustrated in an exceptional manner by the architecture and urban structure of the Stone Town" (*ibid.*). Lastly, "Zanzibar has great symbolic importance in the suppression of slavery, since it was one of the main slave-trading ports in East Africa and also the base from which its opponents such as David Livingstone conducted their campaign" (*ibid.*).

Due to the inscription of the Stone Town in UNESCO's WHL, the State Party (SP) has agreed that "legislative and regulatory measures at national and local levels should assure the survival of the property and its protection against development and change that might negatively impact the outstanding universal value, or the integrity and/or authenticity of the property" (UNESCO, 2008). In other words: international inscription comes with local responsibilities.

These responsibilities could conflict with the fact that just like other World Heritage (WH) cities, the Stone Town continues to function as a living settlement. These urban settlements need to evolve and meet the needs of their citizens, preferably in a sustainable way. Evolving requires transformation and development. Although many development projects are labelled today as 'sustainable', there is a substantial risk that these developments have an adverse impact on the cultural significance of WH cities. On the other hand, there is also the risk that the quality of OUV assessment practices influences the sustainable development of an urban settlement.

Ever since the inscription of the Stone Town on the WHL, pursuit of development has resulted in conflicting interests that endanger the OUV of the property. These issues, though, were already apparent before the inscription (Bakker and Elondou, 2008, p. 15). At the time of inscription on the WHL, developmental pressures were mentioned, including environmental pressures – visitors/tourists pressures; as well as natural disaster preparedness and the number of inhabitants within the property and buffer zone. During the mission to Stone Town in 2008 of Karel A. Bakker (ICOMOS) and L.

Assomo Eloundou (UNESCO WHC), the issue of development was still regarded as a threat (*ibid.*). These developmental pressures are jeopardizing the OUV of the Stone Town. As stated above, the main question of this research is: how can the Stone Town develop sustainably, without damaging its Outstanding Universal Value? The content of this question has been divided in three sub-questions: 1) what is the current level of authenticity and integrity of the OUV of the Stone Town? 2) who are the stakeholders involved in the managing of the OUV of the Stone Town and what are their roles? and finally, 3) what are the development-related threats and respective causes found affecting the OUV of the Stone Town? Since this article presents the initial results of the research, it will focus mainly on the first sub-question.

2. BACKGROUND

The WHC defines OUV as the "cultural significance which is so exceptional as to transcend national boundaries and to be of common importance for present and future generations of all humanity" (UNESCO, 2008, p. 14). The WHC considers a property as having OUV whenever a property meets one or more of the ten selection criteria.[4] The carriers of the OUV are coined as 'attributes'. These attributes "are a direct tangible expression of the outstanding universal value of the property" (ICCROM *et al.*, 2010). In addition the Guidance on the preparation of Retrospective Statements of Outstanding Universal Value for World Heritage Properties, states that attributes "include the physical elements of the property and may include the relationships between physical elements, essence, meaning, and at times related processes, that need to be protected and managed in order to sustain OUV" (*ibid.*). In the case of the attributes, which convey the OUV, both the 'authenticity' and 'integrity' are of importance.

They are determined by means of the following definitions. 'Authenticity' is defined as "the degree to which information sources about this value may be understood as credible or truthful" (UNESCO, 2008, p. 21). To question the authenticity of a property the following aspects are mentioned in the Operational Guidelines (OG's) 2008: "form and design, materials and substance, use and function, traditions, techniques and management systems, location and setting, language, and other forms of intangible heritage, spirit and feeling and other internal and external factors" (UNESCO, 2008, p. 22). By assessing the attributes on these points,

the authenticity can be determined. 'Integrity' "is a measure of the wholeness and intactness of the natural and/or cultural heritage and its attributes" (UNESCO, 2008, p. 23). "Examining the conditions of integrity therefore requires assessing the extent to which the property: includes all elements necessary to express its outstanding universal value; is of adequate size to ensure the complete representation of the features and processes which convey the property's significance; suffers from adverse effects of development and/or neglect" (*ibid.*). Based on section 89 of the OG's 2008, the Retrospective statement mentions assessment criteria which will have to be taken into account, regarding cultural properties: "Wholeness = whether a significant portion of all the attributes that express OUV are within the property, rather than beyond the boundaries; Intactness = whether a significant portion of all the attributes are still present, none are eroded*, and dynamic functions between them are maintained. [*in the case of ruins, this means that they should still be capable of expressing OUV]; Degree of threats = the degree to which the attributes are threatened by the development of neglect" (ICCROM *et al.*, 2010).

The research is conducted from the perspective of the necessity of sustainable development of WH cities. Therefore the notion of sustainability has to be elaborated on because sustainable development and sustainable use are widespread terms that have constantly differing definitions. The definition of sustainability used here is: WH properties are developing sustainably whenever developments prove they are meeting the economic, social, ecological and cultural needs of the present generations, "without compromising the ability of future generations to meet their own needs" (Brundtland, 1987) nor "adversely impact the Outstanding Universal Value, integrity and/or authenticity of the property" (UNESCO, 2008).

3. METHODOLOGY

This case study is supposed to assist stakeholders involved in policy, management, and development of the Stone Town to determine the adequacy of their current strategies towards the protection and sustainable development of the Stone Town, without damaging its OUV as defined by the WHC. The first step is to assess the OUV. By assessing the OUV as stated in the official documents as well as the authenticity and integrity of the attributes representing the OUV apparent in the core zone, a comparison can be made.

The policy documents (the DT, RF and the NF, as stated in the introduction) have been assessed by means of revealing the dimensions of the cultural significance of the Stone Town in terms of cultural values. The attributes and cultural values have been retrieved from the data by coding, using the Cultural Value Survey Method (Pereira Roders, 2007) which proposes eight main cultural values: social, economic, political, historic, aesthetical, scientific, age and ecological. Additionally, the cultural values represented by the attributes of the Stone Town as well as its authenticity and integrity are being surveyed. This leads to a better insight of the discrepancies between the ascribed cultural values found represented in the policy documents on the one hand and the physical attributes on the other. This may result in the identification of discrepancies in the documented research of the attributes of the Stone Town that will have to be endorsed.

By revealing the dimensions of the cultural significance of the Stone Town in terms of cultural values it will be possible to compare the values found represented in the policy documents and in the physical attributes. Therefore it is necessary to identify the cultural values found in the DT, RF and the NF, while simultaneously ascribing cultural values to the attributes by means of background literature on the specific attributes and/or cultures that incorporate them.

In order to obtain the required information a physical survey is fundamental. Data collection for the survey consists of photographs, drawings, and textual descriptions. To obtain information, for example about the programme, function and the materiality (authenticity and integrity) of the attributes, both oral and documentary inventories are being conducted. Documents about the specific building periods and styles have an additive function in the endorsement of the findings, as well as a complementary function where the findings from the physical inventory lack the required information.

4. Cultural significance survey

The assessment of cultural significance – by means of the cultural values – the mentioned criteria in the DT, RF, NF and the attributes has been quantified and provided in Table 1. The table illustrates how often the values are present in the respective statements.

The SP, United Republic of Tanzania, has mentioned three criteria under which they regarded the importance of the Stone Town, these being criteria (iii), (iv) and (vi). These criteria have been assessed in the column NF. Remarkably, the Advisory Body (AB) ICOMOS has adapted these criteria within their RF under the heading 'Justification by the State Party', which are assessed in the column RF, under the double asterisk. Subsequently ICOMOS formulated three new criteria that were later adopted by the WHC in the DT. The cultural values of the latter two documents are filed in the column under the single asterisk and the DT.

In case of the attributes the table indicates whether the attribute represents the cultural value or not. This assessment is based on the knowledge derived from the available literature (Sheriff, 2008). It is possible therefore, that an expansion of the cultural values will follow.

The described the approach is illustrated by the analysis of the Kiponda ward, in the eastern part of

Cultural Values	DT	RF		NF	Attributes					
		*	**		Carved doors				*Barazas*	
					Swahili	Arab	Indian domestic	Indian merchant	Arab	Indian
Social	2	2	3	4	x	x	x	x	x	x
Economic	2	2	2	2	-	x	-	x	x	x
Political	1	1	-	-	-	x	-	-	-	-
Historic	2	2	4	4	x	x	x	x	-	-
Aesthetic	2	2	2	2	x	x	x	x	x	x
Scientific	-	-	2	3	x	x	x	-	-	-
Age	-	-	1	1	x	x	x	x	-	-
Ecological	-	-	-	-	-	-	-	-	-	-

Table 1. Quantification of cultural values.

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the Stone Town adjacent to the former creek, with a focus on one specific street: Khod Bazaar (a bazaar street, where from historic times onwards mainly Indian shops were to be found, Figure 1). The Stone Town consists of eight wards (*mitaa*), which each have their distinctive character.

In the DT, RF and the NF, several attributes that convey the OUV of the Stone Town can be distinguished. In these documents 26 attributes are found both on the urban scale and on level of the individual building.[5] For the research represented in this paper, there were two attributes that were highlighted: the *baraza* and the carved door. As stated in the NF: "The Stone Town is an agglomeration of various architectural traditions from the East African coast and the world of the Indian Ocean" (URT, 1999, p. 12). Both the *barazas* and the carved doors are two attributes in which this cultural fusion can be seen very explicitly. "[…] the different quarters of the town were not segregated but bound together by an intricate network of intimate narrow lanes and a great series of social nodes, such as mosques, coffee places and *barazas* i.e. meeting points that have created a cosmopolitan whole" (URT, 1999, p. 13). The *barazas* can be ascribed to two groups of people in Zanzibar, Arab and Indian, but each of them gives form to the *barazas* in a different way. The carved doors are an even broader example, for there are four types of carved doors:[6] Swahili, Arab, Indian domestic and Indian merchant doors.

Figure 1. The Kiponda *mita* and the Khod Bazaar (red) relative to the Stone Town.

These attributes are analysed by dividing them into these different groups and subsequently authenticity and integrity will be determined as stated Section 1.

In order to assess the authenticity and integrity of the carved doors and the *barazas*, physical research has been conducted, which resulted in the maps seen in Figure 2 and Figure 3. Figure 2 indicates the buildings that contain carved doors. The doors have been specified to their distinctive origin, being Swahili (orange brown), Arab (darkish brown), Indian domestic (brown), Indian merchant (light brown) and other (beige). The four photographs included in the figure show the Swahili (left), Arab (middle left), Indian domestic (middle right) and the Indian merchant door (right) and clearly depict the distinctive typology.

Authenticity is about form and design, materials and substance, use and function, traditions and location as well as setting, as has been stated in the Background section, above. Swahili doors are rectangular and are made up from local timber. The doors are very simplistic and lack elaborate carvings. The centre post and/or the lintel are the only places where one may find carvings, indicating the status, profession or symbolism associated with the inhabitant. These doors were the first to be found in Stone Town and are associated with a domestic function.

Save the centre post, the respective door does not clearly suffer from adverse effects of development and/or neglect. Moreover, all the features that convey the property's significance are present. It is therefore safe to say that the door is intact.

Like the Swahili door, the Arab door is rectangular and shows right angles in both posts and lintel. The construction is easily read from the rivets on the door. The stout rivets — typical of early Arab doors — are very plain and minimalist, unlike the extrovert bosses of the Indian domestic doors. The door is probably made from local wood since the Indian people imported teak wooden doors, which endure the Zanzibari climate better. The function — often elaborately depicted by the carvings on the door frame — is most likely to be domestic, due to a lack of a distinct trade made visible in the carvings. However, the carvings depict the usual carvings of the Arab doors of Zanzibar; the chain that frames the door is meant to keep evil spirits out and protect the inhabitants of the house. Moreover, the chain illustrates the occupancy of a slave trader. The abstract image of the fishes at the bottom of the outer post is

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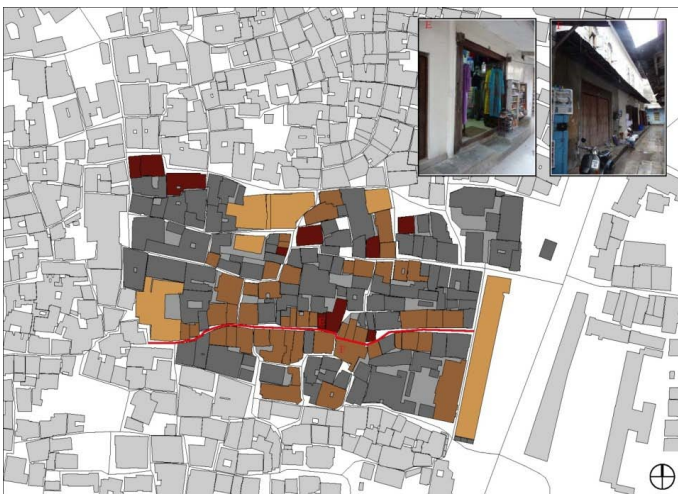
Figure 2. Carved doors in Kiponda.

Figure 3. Map of *barazas* in Kiponda.

used symbolically for fertility in Arab door carving. Next to the chain a date palm is depicted, this stands for plenty. The abundant lotus flowers, seen both in front and on the top on the centre post are a sign of royalty: a sign of a ruler of power, according to John da Silva.[7] The rosettes that decorate the lintel are derivative from the lotus flower. In all, the depicted Arab door illustrates the required authenticity. Since this door does not clearly suffer from adverse effects of development and/or neglect, and all the features that convey the property's significance are present, it is safe to say that the door is also intact.

The Indian domestic doors are the most elaborate doors to be found in coastal Swahili cities along the East African coast. They have a rectangular frames with an arched lintel. The doors are often made from local wood or teak, if affordable. Like the Arab doors (which followed the Indian doors in style) the Indian doors are elaborately carved and bear telltale signs of the profession of the inhabitant and their status. The carvings on the depicted door show plants and flowers, which are derivatives of the Arab designs. The bosses and the brass knockers on the door are typical for this type of door. The integrity of the respective door seems to be affected; while the door frame seems authentic, the doors themselves show signs of replacement in the colour and type of the wood used.

The Indian merchant door is of Gujerati origin and typical for the Indian merchants who settled down in the Stone Town in streets like the Khod Bazaar. Gujerati doors are broad and have a rectangular geometry. The material used is teak. The Gujerati doors were used as shop fronts. The double doors made it possible to expose the entirety of their trade to the street without customers having to enter the shop physically. These doors were seldom decorated, save the centre post and the corbels. Like the Arab doors, the rivets clearly show the construction of the door. The Gujerati doors, unlike the more elaborately carved and ornamented Indian domestic doors, do not have the bosses that made the Indian domestic doors so famous. Similar to the Arab door, the integrity of the Indian merchant door does not seem to be diminished in any way.

The map shown in Figure 3 indicates the buildings that contain the *barazas*. The origin of the *barazas* is specified by colour: Arab (darkish brown), Indian (light brown), or other (beige). The two photographs of the Arab *baraza* (upper left) and the Indian *baraza* (upper right), clearly depict the distinctive typology. The Indian *baraza*, according to John da Silva,[8] is not a real *baraza*, but more a pavement, meant to keep the water from coming into the shops and to display wares.

The Arab *barazas* are constructed from stones and mortar, with a plaster finish. Original Arab *barazas*, or benches, are about 40 cm in height and have curved armrests. The *barazas* were mostly used as a social meeting place, a place for interaction and communication as well as the reception area for the visitors. The Arab *baraza* does not suffer from obvious adverse effects of development and/or neglect. Moreover all the features that convey the property's significance are present. It is, therefore, safe to say that the *baraza* is intact.

The Indian *baraza*, or pavement, is much lower than the Arab *baraza* and generally lacks the armrest. The armrest, when present, is not similar to those on the the Arab benches. The diminished height is directly dependent on the respective function. The Indian *baraza* is meant to prevent water from coming into the shops and to display goods outside of the floor area of the inside of the shop. The photograph

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depicting the Indian *baraza* clearly shows this function. Similar to the Arab *baraza*, the integrity of the Indian pavement does not seem to be diminished in any way.

CONCLUSIONS

By combining the results from the cultural significance survey of the policy documents and the attributes with the authenticity and integrity of the carved doors and *barazas*, it becomes possible to assess the impact of the documents on the built environment.

The most striking difference between the DT and the NF is the absence of the political value in the NF and the absence of the scientific and age values in the DT compared to the NF. Also the stressing of the social and historical value in the NF regarding the DT stands out. When comparing the cultural values ascribed to the carved doors with the DT, it is apparent that both the scientific and age value are not represented in the DT, even though the carved doors themselves do represent these values. A comparison between the DT and the cultural values ascribed to the *barazas* makes visible that the DT stresses the political and historic value, which is not to be found among the *barazas*.

There is a discrepancy between the values of the DT and the attributes. The described Indian domestic door seems to represent a loss of authenticity and integrity. From this it can be concluded that the discrepancy does have a negative influence on the attribute. It is probable that due to the discrepancy between the cultural values, there is no systematic approach or even consensus between the parties involved. The conservation and maintenance of the OUV of the respective attribute could therefore be significantly harmed. This assumption will have to be tested by the careful analysis of the policy documents regarding the management and development of the Stone Town.

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[2] (iii) "For many centuries there was intense sea bourne trading activity between Asia and Africa, and this is illustrated in an exceptional manner by the architecture and urban structure of the Stone Town.", in *ibid.*

[3] (vi) "Zanzibar has great symbolic importance in the suppression of slavery, since it was one of the main slave-trading ports in East Africa and also the base from which its opponents such as David Livingstone conducted their campaign.", in *ibid.*

[4] Criteria for inscription on the World Heritage List. http: // www.unescoworldheritagesites.com/world-heritage-site-inscription-criteria.htm

[5] Attributes on urban level: urban structure, old tombs, fountains, trees, vistas, graveyards, parks, other green areas, monuments and significant buildings. Attributes on building level: carved doors, balconies, fenestrations, fascia boards, decorative plasterworks, doorways, covered passages, tile work, timber staircases, arches/niches, *barazas*, pillars, verandas, courtyards and crenellations.

[6] Interview with John da Silva, 6-12-2010.
[7] Interview with John da Silva, 29-11-2010.
[8] Interview with John da Silva, 6-12-2010.

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Assessing the cultural significance of world heritage cities: the historic centre of Galle as a case study

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Abstract

This article presents the first results of a survey on the historic centre of Galle. Galle is one of the many World Heritage cities as acknowledged by the World Heritage Committee (WHC), UNESCO. The Historic centre of Galle is a case study that is part of a larger research program called 'Outstanding Universal Value, World Heritage cities and Sustainability: Surveying the relationship between the Outstanding Universal Value assessment practices and the sustainable development of World Heritage Cities' led by the Eindhoven University of Technology, the Netherlands; and UNESCO World Heritage Centre, France.

The aim of the research is to determine the adequacy of the current strategies of the stakeholders involved with the policy and management of sustainable development of the historic town of Galle. The main question therefore is: how can the historic centre of Galle develop sustainably, without damaging its Outstanding Universal Value? This paper will focus on the results of the literature study and the survey of official UNESCO documents undertaken to assess the cultural significance of the historic centre of Galle, by means of revealing the dimensions of its cultural significance in terms of cultural values. The paper will conclude with an illustrative test case where the study of documents and literature are complemented by the preliminary results of our fieldwork.

Keywords: UNESCO, World Heritage cities, sustainable development, cultural significance assessment, cultural values, historic centre of Galle

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Introduction

This article presents the first results of a survey on the historic centre of Galle. Galle is one of the many World Heritage cities as acknowledged by the World Heritage Committee (WHC), UNESCO.

Galle as a case study is part of a research program called 'Outstanding Universal Value, World Heritage cities and Sustainability: Surveying the relationship between the Outstanding Universal Value assessment practices and the sustainable development of World Heritage Cities' led by the Eindhoven University of Technology, the Netherlands; and UNESCO World Heritage Centre, France (Pereira Roders and Van Oers, 2010).

The main question asked in this case study is: how can the historic centre of Galle develop sustainably, without damaging its Outstanding Universal Value? This paper however, will focus on the results of the literature study and the survey of official UNESCO documents undertaken to assess the cultural significance of the historic centre of Galle, by means of revealing the dimensions of its cultural significance in terms of cultural values. The paper will conclude with an illustrative test case where the study of documents and literature is complemented with preliminary results of fieldwork.

Because this is a case study the surveys are very site-specific. However, at the same time, it is part of a global comparative research. At the moment similar studies are being conducted in the Stone Town, Zanzibar, Tanzania and Willemstad, Curacao.

1. World Heritage

Galle is a World Heritage city. World Heritage cities are urban settlements that include "cultural heritage with the broadest level of cultural significance, which is acknowledged by the World Heritage Committee (WHC), in UNESCO, as of Outstanding Universal Value (OUV) for the whole mankind. This cultural heritage is known worldwide as World Heritage (WH)" (Pereira Roders *et al.*, 2010). The World Heritage Committee defines Outstanding Universal Value (OUV) as the "cultural significance which is so exceptional as to transcend national boundaries and to be of common importance for present and future generations of all humanity" (UNESCO, 2008, p. 14). A property then is considered as having OUV whenever it meets one or more of the ten selection criteria, as defined by the WHC.[1]

The OUV of World Heritage property is expressed through a variety of attributes. These attributes "are a direct tangible expression of the outstanding universal value of the property" (UNESCO, 2008, p. 26); "and may include the relationships between physical elements, essence, meaning, and at times related processes, that need to be protected and managed in order to sustain OUV" (ICCROM *et al.*, 2010). Additionally, one has to assure authenticity and integrity, as well as the implementation of an adequate protection and management system to ensure that safeguarding standards have been met (UNESCO, 2008, pp. 20-29). Authenticity is to be understood as the requirement to be genuine, i.e. the WH property should be truly what it is claimed to be" (*ibid*.), and integrity is a "measure of the wholeness and intactness of the cultural heritage and its attributes"(*ibid*.).

1. World Heritage city of Galle

The historic centre of Galle (Figure 1), best known as Galle Fort, is situated on the southwest coast of Sri Lanka and is considered to be the best example of a fortified city built by Europeans in south and Southeast Asia (ICOMOS, 1988). It was listed as World Heritage in 1988, under criterion (iv), meaning the historic city is "an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history" (UNESCO, 2008). However, the Decision Text (DT) did not include any justification for inscription besides this selection criterion, so there is no Statement of Significance for Galle already approved by the WH Committee. The reasons behind this remain unclear for the time being. After the Decision Text, the second most important document concerning the cultural significance of the historic centre of Galle is the Advisory Body Evaluation (ABE) by UNESCO's Advisory Body ICOMOS (International Council on Monuments and Sites), which was used for the listing of the property as World Heritage (WH).

Figure 1. The Galle Fort (http://wajiragalle.com**)"**

Boxem, R.; Fuhren, R.; Pereira Roders, A.; Veldpaus, L. & B. Colenbrander. 2012. Assessing the cultural significance of World Heritage cities: the historic centre of Galle as a case study. *In* Zancheti, S. M. & K. Similä, eds. *Measuring heritage conservation performance*, pp. 75-81. Rome, ICCROM.

When recommending its inscription for the World Heritage List (WHL), ICOMOS stated:

"Galle provides an outstanding example of an urban ensemble which illustrates the interaction of European architecture and South Asian traditions from the 16th to the 19th centuries. Among the characteristics which make this an urban group of exceptional value is the original sewer system from the 17th century, flushed with sea water controlled by a pumping station formerly activated by a windmill on the Triton bastion. However, the most salient fact is the use of European models adapted by local manpower to the geological, climatic, historic and cultural conditions of Sri Lanka. In the structure of the ramparts, coral is frequently used along with granite. In the ground layout all the measures of length, width and height conform to the regional metrology. The wide streets, planted with grass and shaded by suriyas, are lined with houses, each with its own garden and an open veranda supported by columns – another sign of the acculturation of an architecture which is European only in its basic design" (ICOMOS, 1998).

The ICOMOS statement already shows it is indeed "an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates [a] significant stage[s] in human history." What does this mean in the reality of a living settlement?

2. Problem and aim

The aim of the research is to determine the adequacy of the current strategies of the stakeholders involved with the policy and management regarding developments towards a sustainable development of the historic town of Galle.

By inscription of the historic centre of Galle on UNESCO's World Heritage List (WHL), the State Party of Sri Lanka has agreed that "legislative and regulatory measures at national and local levels should assure the survival of the property and its protection against development and change that might negatively impact the outstanding universal value, or the integrity and/or authenticity of the property" (UNESCO, 2008, p. 25). In other words: international inscription comes with local responsibilities. At the same time the historic centre of Galle has, and must continue to, function as a living settlement. The need to evolve and meet the needs of citizens, preferably in a sustainable way, requires

development. The lack of fine tuning between transformation due to development needs and maintaining OUV may result in irreversible damage to the Outstanding Universal Value of the property, and consequently, raising the risk of having the historic centre of Galle removed from the WHL, as recently happened to Dresden, Germany. Eventually this could also be the case for Galle Fort, if impact on OUV by development plans is not properly assessed by the State Party of Sri Lanka (SP).

The need for development already jeopardizes the historic centre of Galle. As the society has changed over time, pressure for development and upgrading within the fort is being felt, in order to address evolving needs of its inhabitants in their day-to-day pursuits. (UNESCO and SP, 2003). Existing problems regarding these development and upgrade pressures within the historic centre are (i) the difficulty for stakeholders concerned with policies and management within the fort to remove existing unauthorized building activity; (ii) an inadequate sewage and solid waste management; (iii) noise pollution and fumes caused by increasing traffic and inadequate vehicle management within the fort; (iv) overhead wires, cables, TV antennae and water tanks marring the roof-scapes of the fort; (v) closing-in of verandas for domestic security reasons, altering the street-scapes; and (vi) "unauthorized change of use" of houses (UNESCO, 2003). These developments to meet the needs of the local community living and working within the fort all threaten the outstanding universal value of the historic centre of Galle, and sustainable solutions are a necessity.

The sustainable development of a city often seems to conflict with care for its cultural heritage. Although many development projects are today labelled as 'sustainable', there is a substantial risk that these developments have an adverse impact on the cultural significance of WH cities. On the other hand, there is also the risk that the quality of OUV assessment practices influences the sustainable development of an urban settlement. Therefore sustainable development in this research is defined as follows: sustainable developments should meet the social, economic and ecological needs of the present generations, 'without compromising the ability of future generations to meet their own needs' (Brundtland, 1987) nor 'adversely impact the Outstanding Universal Value, integrity and/or authenticity of the property' (UNESCO, 2008).

3. APPROACH AND METHODS

The aim of the research is to assess the adequacy of the current strategies of the stakeholders involved with the policy and management regarding developments towards a sustainable development of the historic town of Galle. Using the above-mentioned definition of sustainable development will be important and is therefore prominent in the main question of the research: how can the historic centre of Galle develop sustainably, without damaging its outstanding universal value?

In this study, first we consider the imperative of sustainable development of the historic centre of Galle shall be considered; to not "*adversely impact the Outstanding Universal Value, integrity and/or authenticity of the property*" (UNESCO, 2008, italics author's own), or in other words, to protect the OUV of the property. To be able to assess the adequacy of strategies concerned with the protection of the OUV in a later stage of the research, the exact nature of the OUV of the historic centre of Galle must be identified, as well as the attributes that are found to represent it. Finally, the state of the OUV at the time of inscription and its current state will be assessed, in order to make statements about the current level of authenticity and integrity of the OUV.

The first sub-question will be the following: what is the current level of authenticity and integrity of the OUV of the historic centre of Galle? Which are the attributes found representing the OUV? How much of these attributes still remain today?

Then, the second mentioned condition for sustainable development of the historic centre of Galle shall be considered; to meet the social, economic and ecological needs of the present generations, 'without compromising the ability of future generations to meet their own needs' (Brundtland, 1987), or in other words; to meet the evolving needs of the local community within the historic centre.

Assessing these evolving needs of the local community living in the historic centre of Galle would require sociological, economical and/or anthropological surveys. However, the scope of this research being mainly architectural, only the development pressures on the built environment caused by these evolving needs of the local community can be adequately assessed. Thus, these particular evolving needs of the local community causing development pressures can be considered as being the immediate threats to the OUV, which will be assessed. To be able to assess the adequacy of strategies concerned

Boxem, R.; Fuhren, R.; Pereira Roders, A.; Veldpaus, L. & B. Colenbrander. 2012. Assessing the cultural significance of World Heritage cities: the historic centre of Galle as a case study. *In* Zancheti, S. M. & K. Similä, eds. *Measuring heritage conservation performance,* pp. 75-81. Rome, ICCROM.

with dealing with these threats later on, first the threats caused by the (evolving) needs of the local community of the historic centre of Galle in their day-to-day pursuits, causing pressure for development, need to be identified. Moreover, the way in which these development threats affect the attributes expressing the OUV will be inventoried.

The second sub-question follows: what are the development-related threats caused by the evolving needs of the local community found affecting the OUV of the historic centre of Galle? What are the development-related threats? How do they affect the attributes expressing OUV?

In order to develop the historic centre sustainably, stakeholders concerned with policy and management regarding developments within the historic centre of Galle are responsible for adequate development strategies which take into account both conservation of the OUV as well as dealing with the particular needs of the local community causing development pressures which pose a threat to the OUV. Both of these conditions for sustainable development are discussed above.

Next these stakeholders will be identified and categorized according to their role in the management process. It is interesting to understand their roles, but also the level of communication and cooperation between them, if any. Furthermore, it is crucial to understand how these stakeholders manage developments within the historic centre of Galle with regard to both the conservation of the OUV as well as adequately dealing with the threats to the OUV posed by development needs. In other words, how far can their current development strategies be considered sustainable?

This leads to sub-question three: who are the stakeholders involved in the policy and management regarding developments within the historic centre of Galle and what is their current strategy towards sustainable development? Who are the stakeholders involved and what are their roles? How do these stakeholders currently manage conservation of the OUV as well as deal with development-related threats?

After the assessment of these inventories using the cultural significance survey (Pereira Roders, 2007), justified statements about the adequacy of the current strategies of the stakeholders involved with the policies and management regarding developments can be made. The assessment will also help move towards simultaneous protection and sustainable

development of the historic centre of Galle, meeting the evolving needs of the society living within the walls of the fortification, without representing a loss of its Outstanding Universal Value for mankind, as defined by the World Heritage Committee. In the following section the cultural significance survey used for the assessment of the inventories will be elaborated upon.

4. Cultural significance survey

Pereira Roders (2007) states that cultural significance is multidimensional and argues for the coexistence of other cultural values than the traditional historic, aesthetic, scientific and social values to justify the nomination of a property as cultural heritage. In addition to the four traditional cultural values she also distinguishes economic, political, age and ecological values. The ascription of these eight values to the inventories form the base for the literature survey carried out in this research.

As an original contribution on its own, this literature survey allows stakeholders involved with the management of the historic centre and its cultural significance to understand its varied natures and determine the adequacy of their current strategies, as well as to define further strategies towards better protection. Moreover, when complemented with field surveys and interviews, this survey can also help by determining where and/or by whom exactly the cultural significance is being kept alive, either in the city or by the community.

Systematic analysis of the inventories made to answer the three sub-questions were made by coding for the eight above-mentioned cultural values to make the results comparable and show discrepancies and/or similarities between the inventories, not only within the case study, but also among all of the case studies being carried out in the global research program. Additionally, the literature survey allows the identification and categorization of the attributes expressing the OUV of the property. These findings will also be complemented with those from fieldwork and interviews.

5. Preliminary results of the literature study

Since nomination in 1988, many official documents have been produced addressing where the cultural significance of the historic centre of Galle is to be found. The Advisory Body Evaluation by ICOMOS and the Nomination File (NF) by the SP have been

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used as data to carry out this literature survey. The NF was the original document of the SP of Sri Lanka to apply for inscription on the WHL with UNESCO. However, ICOMOS being the official Advisory Body of UNESCO, the ABE is the most important document available when it comes to the justification for inscription of the historic centre of Galle on the WHL, in the absence of an official Decision Text. It was the ABE that led to inscription by UNESCO. When **analysing these and other documents sys**-tematically, it is possible to conclude how far the original justification for inscription is echoed in the subsequent documents (the respective progress of each and/or the potential for conflict between arguments).

The WH Committee decided to inscribe the site on the basis of cultural criterion (iv), being "an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates [a] significant stage[s] in human history", which would mainly reflect historic values. (Pereira Roders and Van Oers, 2010).

However, as can be seen in Figure 2, besides the expected historic values a multitude of other values have been identified in the Advisory Body Evaluation and Nomination File. All but the age value are represented in expressing the OUV of the property as stated by ICOMOS and the SP, so inscription solely on the historic value of criterion (iv) seems to do the historic centre of Galle injustice. One reason for this discrepancy could be the general character of the historic aspect of criterion (iv). As the nomination concerns the historic centre of Galle dating to the period from the 16th to 19th century, this would make all its attributes of historic value, regardless of their aesthetic or economic nature. This could have left other cultural values unjustly undervalued in the process. In applying this insight, we can see that other cultural values become more prominent in both documents at the expense of the historic value; for example, the aesthetic and political value

in particular now seem to be highly represented in the documents.

Now, when comparing the cultural values of the ABE with those of the Nomination File (NF), we can see how far the original justification for inscription is echoed along the subsequent documents and if similarities or discrepancies exist between them. The following preliminary conclusions can be made about the individual cultural values identified in these documents:

> *Similarities:* Some small differences aside, both documents highly represent political and aesthetical values.

> *Discrepancies:* The NF seems to give considerably more importance to the social and economic values than the ABE does, whereas it considers the historic, scientific and ecological values of far less importance than does the ABE.

5.1. Attributes

Besides the ascription of cultural values in order to make different official documents comparable, by analysing the ABE and NF systematically it is also possible to identify implicit and explicit descriptions of the attributes that convey the Outstanding Universal Value in the historic centre of Galle. For instance, the ABE states: "Galle provides an outstanding example of an urban ensemble which illustrates the interaction of 'European architecture' and 'South Asian traditions' from the 16th to the 19th centuries".

Those are rather vague and general descriptions, so further elaboration on the terms 'European architecture' and 'South Asian traditions' is needed to find the features applicable to the attributes in Galle Fort, which express the interaction of the two terms stated above. Further in the ABE, more specific description is given of the interaction of the South
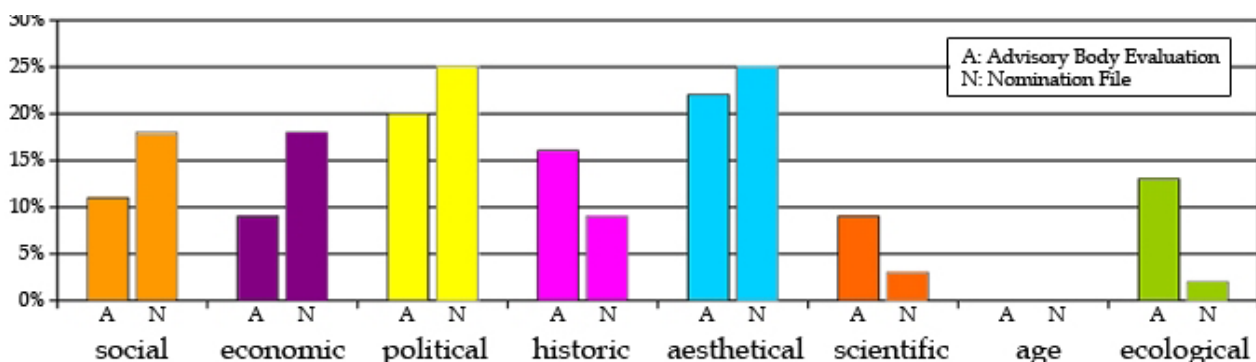

Figure 2. Cultural values identified in the Advisory Body Evaluation and the Nomination File (Boxem and Fuhren, November 2010).

Asian traditions: "[…] the use of European models adapted by local manpower to the geological, climatic, historic and cultural conditions of Sri Lanka."

However, this is still a general description, although it gives more insight into the 'South Asian traditions': the adaptations to geological, climatic, historic and cultural conditions of the environment. To see how those adaptations are expressed in the attributes of Galle, further (documentary) inventory is needed; this is also needed in order to understand the varied nature of the features in the attributes of Galle Fort.

In the book *The Architecture of an Island* (Lewcock *et al.*, 1998) a very thorough and extensive study of Sinhalese architecture and the emergence of the various (colonial) styles on the island, adaptations of the colonial buildings to the warm climate of Sri Lanka are mentioned:

"The great hall, or rear living room, which runs across the back half of the house, has no ceiling, but extends in height up to the sloping underside of the tile roof. The loosely jointed tiles allow hot air to escape to cool the room on hot days. Very large windows and doors open alternately into the wide shaded veranda which fronts the rear courtyard […] the arrangement of the plan allows continuous cross ventilation through the centre of the house from the front to the back." (Lewcock *et al.*, 1998).

By analysing such documents, one can find some of the elements that exemplify the features of the European models adapted to the 'climatic conditions of Sri Lanka' in Galle Fort. It is also possible to specify the general descriptions found in the ABE and the NF. However, the ABE and NF give some explicit descriptions of attributes as well, as the ABE states: "The wide streets, planted with grass and

Figure 3. An open veranda in Galle Fort (Boxem and Fuhren, December 2010).

shaded by *suriyas*, are lined with houses, each with its own garden and an open veranda supported by columns."

Therefore, one can consider a house with its own garden and an open veranda supported by columns as one of the attributes in Galle Fort, expressing its Outstanding Universal Value. This is confirmed by the Nomination File, which states:

"Long rows of single-storied houses with terra-cotta roofs sloping down from the central ridge towards the streets supported by rounded brick or timber columns bordered the tree lined streets. These columns created a veranda which separated the house from the street. […] The entrance door which is placed centrally in the façade is the main access into the house and the central courtyard" (UDA NF).

Thus, the Advisory Body Evaluation by ICOMOS and the Nomination File of the State Party (documentary inventory) includes several (implicit and explicit) attributes. One of the main attributes which is mentioned explicitly in both documents is the 'open veranda supported by columns' (Figure 3), on which we will elaborate in the following test case.

5.2. Test case

Since it is mentioned explicitly in both the ABE and the NF, and because it is one of the main attributes which determines the street-scape in Galle Fort, the previously identified attribute 'open veranda supported by columns' is used here as an example, in order to illustrate how fieldwork will complement the results found in the documents. The amount of 'open verandas supported by columns' existing at the time of inscription on the WHL, as well as the state in which they were at that time will be determined (Kuruppu and Gamini, 1992) and mapped. This map will contain all buildings within the Fort, in which the attribute is highlighted.

By means of assessing their presence and, if present, their integrity and authenticity the amount of 'open verandas supported by columns' still existing today has been inventoried. This physical inventory has taken by mapping, photography and sketching. This has resulted in another urban map in which the remaining amount of the attribute is highlighted. When both the maps are combined – the map containing the attributes at the time of inscription with the map containing the attributes still remaining today – into a third map, the difference in the amount of 'open verandas supported by columns' can be observed.

Figure 4. Closed veranda in Galle Fort (Boxem and Fuhren, December 2010).

From the first exploratory oral inventories with employees of the Department of Archaeology (DA) and the Galle Heritage Foundation (GHF), stakeholders concerned with the policy and management regarding developments within the fort, preliminary conclusions can be drawn that many of the verandas have been purposely shut by the private owners, in order to meet their social need of increased privacy (*ibid.*), Figure 4.

Besides that, the Periodic Report of 2003 by the State Party of Sri Lanka states as well that "an increase of unauthorized changes either in use or in its architectural appearance, [have been] altering the street-scapes within the Fort" (UNESCO and SP, 2003). This could very well be a reference to verandas, although it is not made specific.

Following further inventories, conclusions can be drawn on the authenticity and integrity of the 'open verandas supported by columns' in 2011. While this is still a work in progress, the preliminary statement that these unauthorized changes, the shutting of the verandas, have resulted in a decrease in authenticity and integrity of the attribute, negatively affecting the 'aesthetic value' and thus, the OUV of the historic centre of Galle.

Since this is still work in progress, next steps are to find out whether there are additional reasons for private owners to close the veranda of their houses beyond the social need for more privacy. Also, we will examine whether stakeholders concerned with the policy and management regarding developments within the fort recognize this development as a threat to the OUV of Galle Fort and whether they have s sufficient and adequate regulations to stop those unauthorized changes.

Based upon this research, we expect that in the future it will become possible to draw conclusions on how heritage policies and management could better and more efficiently deal with this problem in order to meet the evolving needs of the local community as well as to avoid adversely impacting the OUV; in other words, to develop sustainably.

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The conservation assessment as a tool for cultural heritage identification, monitoring, and evaluation

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Abstract

 Preventive conservation has provided important tools for identifying, monitoring and evaluating the conditions of cultural property, and the impact of conservation actions upon them. One such tool is the conservation assessment, a methodology developed by the Getty Conservation Institute (GCI), which proposes an integrated analysis of macro-climate, building, collections and organizational aspects that impact preservation. The Fundação Oswaldo Cruz, a Brazilian Ministry of Health Insitution, through Casa de Oswaldo Cruz, one of the departments charged with the preservation of the Institution's cultural heritage, including historic buildings and archival, bibliographic, museological and biological collections, has been developed as the research project 'Preventive conservation of collections maintained by Casa de Oswaldo Cruz'. Selected by an internal edict of research support, it is based on conservation assessment methodology and the development of this research encompasses three main stages: environmental monitoring of areas of custody of the collections, elaborating the conservation assessment of buildings and collections and the establishment of conservation strategies. This article aims to present the development of this research, demonstrating the importance of using consistent tools to assess and record the various factors that may impact on the conservation of cultural property. The diagnoses of conservation tools are important not only for the definition of conservation strategies, but also for monitoring the effectiveness of those actions.

Keywords: preventive conservation, conservation assessment, monitoring

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Introduction

 The contemporary challenges faced by professionals working in the field of cultural heritage preservation have stimulated increasing development of scientific criteria on which to base the actions related to conservation of cultural property. The growing number of objects to be preserved, constant pressure against the use of historic buildings and collections and climate change are factors that highlight the urgent need to implement strategies for effective and sustainable action to preserve our heritage. Within the field of preservation, preventive conservation has provided important tools for identifying, monitoring and evaluating the conditions of cultural property, and the impact of conservation actions on them.

 The preventive attitude must be the basis for the protection of cultural heritage, and the preventive conservation central concept is described throughout preservation history and theory, since the 19th century. In the beginning of the 1990's the *New Orleans Charter for the Joint Preservation of Historic Structures and Artifacts* was written as the result of two symposiums on museums in historic buildings promoted by the American Institute for the Conservation of Historic And Artistic Works (AIC) and by the Association for Preservation Technology International (APTI). The document presents guidelines to be used in the preservation of historical buildings and the collections housed in them, pointing out that the specific preservation needs in each object should be defined after a detailed study of the situation and that those studies should happen through the interdisciplinary collaboration of qualified professionals. It also states that any preservation action should strive to balance the needs of the buildings and of the collections.

 In 2000 preventive conservation was declared, through the European preventive conservation strategy Project, the stepping-stone of all European heritage preservation policies. This project had several European countries involved and resulted in a meeting in Vantaa, Finland, where strategic lines of action were defined. During the SPRECOMAH (Seminars on PREventive COnservation and Monitoring of the Architectural Heritage) that took place in Europe in 2007 and 2008, preventive conservation definitions were discussed, and the guidelines of the events highlighted the importance of monitoring cultural heritage. According to the guidelines, the study and monitoring of cultural heritage is essential, and should be included in long-term planning.

Preventive conservation aims to identify risks and mitigate the causes of deterioration of cultural property, avoiding high-impact interventions. To reach these goals, it must be based on the development of sound assessments, technologies involved, the environment around them, and the causes of the deterioration processes by addressing in a holistic way sites, buildings and collections. The methodology for making integrated conservation assessments of buildings and collections was developed by the Getty Conservation Institute (GCI), and improved for the project 'Collection in hot and humid climates'. In the late 1990s it was consolidated in the manual *The Conservation Assessment: a Proposed Model for Evaluating Museum Environmental Management needs* (Dardes, 1998). Organized by Kathleen Dardes, GCI senior project specialist, this publication proposes the integrated analysis of macro-climate, building, collections and organizational aspects that impact on their preservation.

In Brazil, the first experience of performing this type of diagnosis occurred in the Sacred Art Museum of Federal University of Bahia in 1998 from a partnership between the Museum, the GCI, the Vitae Foundation and the Centre for Conservation and Furniture Restoration of Cultural Property, Federal University of Minas Gerais (UFMG-CECOR). One of the aims of this study was to test the adequacy of the methodology of the GCI in Brazilian institutions. The Sacred Art Museum comprises an important collection formed by 17th century buildings, which housed the former Convent of St. Teresa of Avila, and the collection of pieces of religious art from the 17th to the 19th century that originate from different religious brotherhoods. The project sought to identify the causes and agents of deterioration processes of the building and collections, and set guidelines for short, medium and long term improvement of storage conditions on the whole.

Since the work of the Museum of Sacred Art, some positive examples of applying this method of conservation assessment made by Brazilian institutions responsible for preservation of cultural artefacts have shown the effectiveness of this tool.

Fundação Casa de Rui Barbosa (FCRB), a public institution under the Ministry of Culture based in Rio de Janeiro, is responsible for preserving the memory of the life and work of Rui Barbosa through custody, preservation and dissemination of his patron legacy: his home, furniture, library and archive records. Since 1997 FCRB has been conducting a long-term study to develop preventive strategies for the conservation of movable and immovable property under its stewardship, adopting the methodology proposed by GCI as a base for the different stages of assessment, understood by the staff as a tool knowledge in the present and the future.

Fundação Oswaldo Cruz (Fiocruz), a public research institution linked to the Ministry of Health, also based in Rio de Janeiro, is responsible for the preservation of an important collection related to cultural heritage of health care, including historic buildings, archival collections, photographs, bibliographic material, and museum of biology. Given the enormous diversity of cultural property under its responsibility, the *Casa de Oswaldo Cruz* (COC), one of the departments responsible for the preservation of cultural heritage of this institution, in 2008 created a team of multiple professionals composed of experts from several departments whose goal is to design, organize and develop action plans for implementation of preventive conservation. As a result this group is developing the research project 'Preventive conservation of collections maintained by *Casa de Oswaldo Cruz*', selected by a research editor promoted by COC in 2009, and with estimated completion in first half of 2011. The development project has the support of FCRB, through a partnership established between the institutions.

This article aims to present the development of this research, demonstrating the importance of using consistent tools to assess and record the various factors that may impact on the conservation of cultural property. The conservation assessment tools are important not only for the definition of conservation strategies, but also for monitoring the effectiveness of those actions.

1. CHARACTERIZATION OF THE STUDY OBJECT

Fiocruz was created in 1900 with the goal of fighting the great problems present in the Brazilian public health care system. Currently, its purpose is to promote health and social development, to generate and spread scientific and technological knowledge and to be an agent for citizenship. Its headquarters are in the city of Rio de Janeiro, in the neighbourhood of Manguinhos, where the first buildings constructed to house the institution's activities remain preserved and where collections of great importance to Brazil's national heritage are gathered.

The *Casa de Oswaldo Cruz* (COC) is the technical-scientific unit of Fiocruz responsible for the preservation of the institution's memory. The heritage

preserved by COC is composed in the present day of a highly diversified range of buildings and collections related to the history of biomedical science and health care.

From these buildings we can highlight the diversity of styles and uses. In the Manguinhos campus, the collection of preserved buildings is composed of the *Núcleo Arquitetônico Histórico de Manguinhos*, which gathers the first constructions made to house Fiocruz activities (built between 1904 and 1922), and the modernist buildings that are representative of the institution's second stage of implementation (built between 1947 and 1955). The current utilization of these buildings is highly diverse, covering administrative, educational and laboratory facilities, a hospital and even an exposition of the institute's collection. With the creation of new Fiocruz campus, the heritage area preserved by COC is expanding and bringing new challenges to its body of technicians.

Because of the huge diversity of cultural heritage under direct or indirect responsibility of COC, the teams that work for the conservation of those objects have been searching, through an interdisciplinary effort, to establish criteria and methods to ensure the integrated preservation of historical buildings and collections in a sustainable and efficient manner, through the development of preventive conservation plans.

The research project 'Preventive conservation of collections maintained by House of Oswaldo Cruz' aims to identify the causes of degradation and potential risks to the collections preserved by the COC and to define preventive strategies to ensure the preservation of the buildings and collections, reducing the need for restorative interventions.

A pilot study was established, defining as objects of research study the Moorish Pavilion and Life Museum's Technical Reserve. In this article we will focus on research related to the Moorish Pavilion ([Figure 1](#)). As well as housing important collections, the Pavilion is a building of great artistic and historical importance, and has been protected by IPHAN since 1981. The combination of the building and the collections housed within makes an interesting example for reflection on how to act to improve conditions in a balanced manner, arising from a concern for the coexistence of historic structures and the artefacts within them as defined by the *New Orleans Charter* (1992).

Figure 1. Moorish Pavilion (Source: Departamento de Patrimônio Histórico/COC/Fiocruz).

Located on the main campus of Fiocruz in Manguinhos, the Pavilion is part of the first generation of buildings built to house the activities of the institution, formerly known as the Oswaldo Cruz Institute, and still is its greatest symbol. The Moorish Pavilion was designed by Portuguese architect Luís Moraes Junior and built between 1905 and 1918, high on the slopes of the terrain of the institution, with the main façade facing the sea. This follows the trend in architectural composition of the late 19th and early 20th century in Brazil for Eclecticism, revealing influences of Moorish architecture[1], especially in the rich ornamentation of the building. In 1981 the Pavilion, along with other buildings of historic architecture in Manguinhos, was listed by the Department of Historical and Artistic Heritage (SPHAN), now the Institute of Historical and Artistic Heritage (IPHAN). In 1986, the scope of listing was extended to a demarcated area of preservation into the environment around the buildings.

Designed to accommodate the laboratories and offices of the first scientists from Fiocruz, the building now houses collections of great importance, such as the Entomological Collection, the Rare Books Section of the Library of Biomedical Sciences and part of the museum collection from the Museum of Life. Besides these aspects of the collection, the Pavilion also houses the offices of the presidency and other administrative units of Fiocruz.

The Entomological Collection contains approximately five million insects collected since 1901 by the first scientists of the Oswaldo Cruz Institute. Since then it has grown to occupy rooms on the 2nd floor of the Moorish Pavilion. The solution adopted to ensure the conservation of the collection from the acquisition of the first specimens collected was to use mothballs in each of the drawers that store the

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Figure 2. View of the Enthomological Collection's storage (Source: Departamento de Patrimônio Histórico/ COC/Fiocruz).

collection. In 2008 the restoration work of the Moorish Pavilion's front wing was completed, including the construction of metal bookcases with sliding files suitable for storage of wooden drawers where the insects are stored in the collection (Figure 2). A system with rubber seals was provided in each module of the sliding files in order to ensure the tightness of the seal. There is no climate control system in the rooms occupied by the collection.

The Rare Books Section of the A. Overmeer Library for Biomedical Sciences still occupies the rooms originally designed to house the library of the Oswaldo Cruz Institute, located on the 3rd floor of the Moorish Pavilion (Figure 3). The collection is housed in a separate area of the lecture hall, and contains a set of steel shelves on four floors installed in 1913. Consisting of diverse publications (books, journals, theses and pamphlets), the collection comprises about 40,000 volumes of works in the areas of natural history, the biological sciences, medicine

Figure 3. View of the Rare Books Collection's storage (Source: Departamento de Patrimônio Histórico/COC/ Fiocruz).

and public health published between the 17th and 20th centuries. In the 1990s an air conditioning system with chilled water and a rechargeable battery, integrated with central air conditioning system of the building, was installed to control humidity in the collection area.

The museum collection housed in the exhibition rooms of the pavilion is composed of various objects related to the institution's history and to health in Brazil, including laboratory equipment, furniture and works of art. The exhibition rooms are also heated by the central air conditioning system. In this case, the heating system (fan-coil heating) was adopted to ensure human comfort in the space, rather than to present a solution for humidity control.

2. THE METHODOLOGY

Due to the great complexity involved in developing strategies relating to preventive conservation, interdisciplinarity is seen as one of the key to success in this type of work. According to May Cassar (2006), preventive conservation should be a shared responsibility, requiring a great deal of interaction between different types of professionals – conservators, architects, engineers, archivists, librarians, museum curators – who bring different experiences and perspectives to identifying problems and proposing solutions, avoiding duplication of efforts. For the development of this research a team of technicians from Fiocruz and from different units with different backgrounds was created, supported by the technical staff of the House of Rui Barbosa Foundation. To diagnose the collections a consultant specialist in collections conservation was also hired.

The current state of cultural heritage, whether movable or immovable, is the cumulative result of past and current environmental conditions, the intrinsic vulnerability of the materials, presence of factors that promote decay, use, and the history of interventions suffered. Thus, based on the methodology for making conservation assessments proposed by the GCI group, a work plan for the development of research was defined by the team, comprising three main stages: environmental monitoring of areas of custody of the collections, making the conservation assessments of collections and the building, and the establishment of conservation strategies.

The methodology proposed by the GCI is not specifically formatted for the evaluation of historic

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buildings, but for any type of building that might house collections. Given the specificity of the object of the research study, a deeper analysis of the history of the building, the interventions performed over the years and the state of conservation of the constructive elements was incorporated into the work.

2.1. Environmental monitoring

Environmental monitoring includes the collection and recording of data on environmental parameters at a particular location, measured in a systematic, uniform and repetitive way. The collection of long-term data allows the identification of deterioration of relations between objects, and their causes, allowing also verification of the effectiveness of solutions adopted for the conservation of collections. In the case of humid tropical climates, one of the main agents of deterioration is water, whether through the percolation of moisture from humid soils, the infiltration of rainwater through the roof vents and unsealed or high relative humidity. The presence of moisture in the environment leads to biodegradation of the construction materials of the buildings and the matter that constitutes the mobile collections, especially those of organic character.

The Moorish Pavilion has five habitable floors, approximately 5,000 square metres of building area and more than 60 rooms. For the development of this research project, priority areas to be monitored were defined: the Entomological Collection, the Rare Books Library (room collection, room of duplicates and reading room) and the Exhibition Hall of the Museum of Life. An external monitoring point on the east balcony of the building was also set.

To conduct the monitoring, equipment, specifically data loggers that measure and register the data of temperature and humidity every hour in each of the defined points (Figure 4), were used. The minimum duration of such monitoring should be a year, so that they can evaluate the environmental characteristics of the areas in question during all four seasons, as each one represents changes in temperature, relative humidity, insulation and incidence of wind. Taking into account the duration of the study, the team established an 18 month period of monitoring, which began in October 2009.

The collected data were gathered monthly and organized into sheets, with monthly charts produced for each of the monitored points. From the analysis of data from relative humidity and temperature collected, and the issues raised by the conservation assessment of the collections, it will be possible to assess the conservation impact of environmental conditions where these collections are housed.

Despite that the evaluation stage of monitoring data is not yet complete, preliminary analysis of data already allows some considerations to be made. In the case of the Library, the evaluation of monitoring data indicated that the existing climate control system, although designed to ensure conditions for the conservation of the collection, has been unable to properly maintain the stability in relation to relative humidity in the environment of collection. At times, there is a variation of more than ten percentage points in 24 hours, and also some peaks above 65% RH, the value at which the materials, especially those of organic base, are more susceptible to biodegradation.
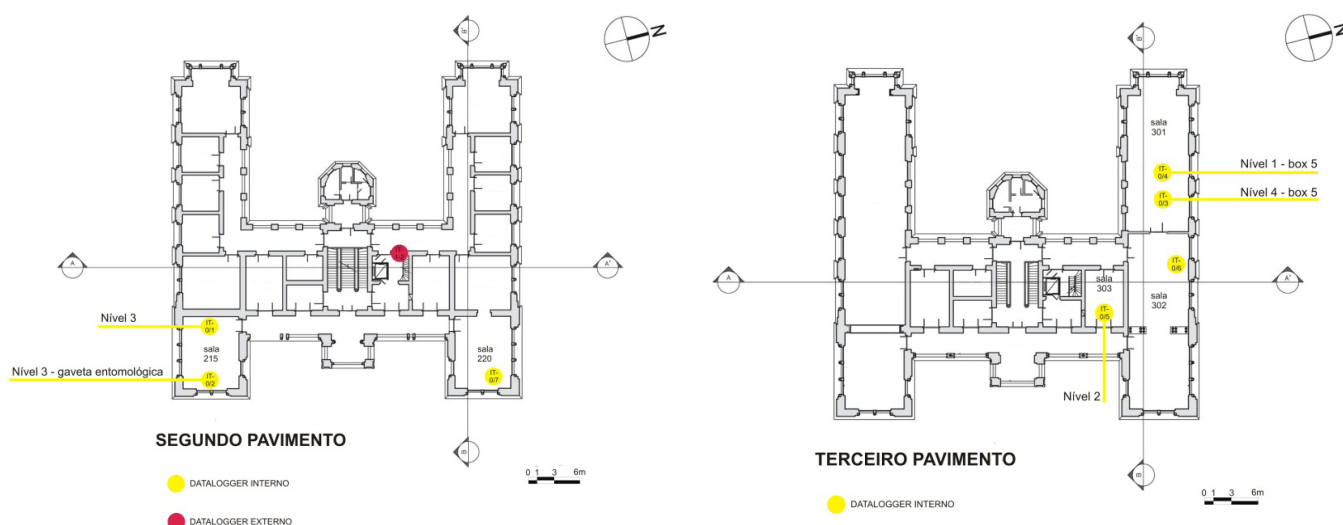

Figure 4. Monitoring equipment installed at Moorish Pavilion – 2nd and 3rd floors (Source: Departamento de Patrimônio Histórico/COC/Fiocruz).

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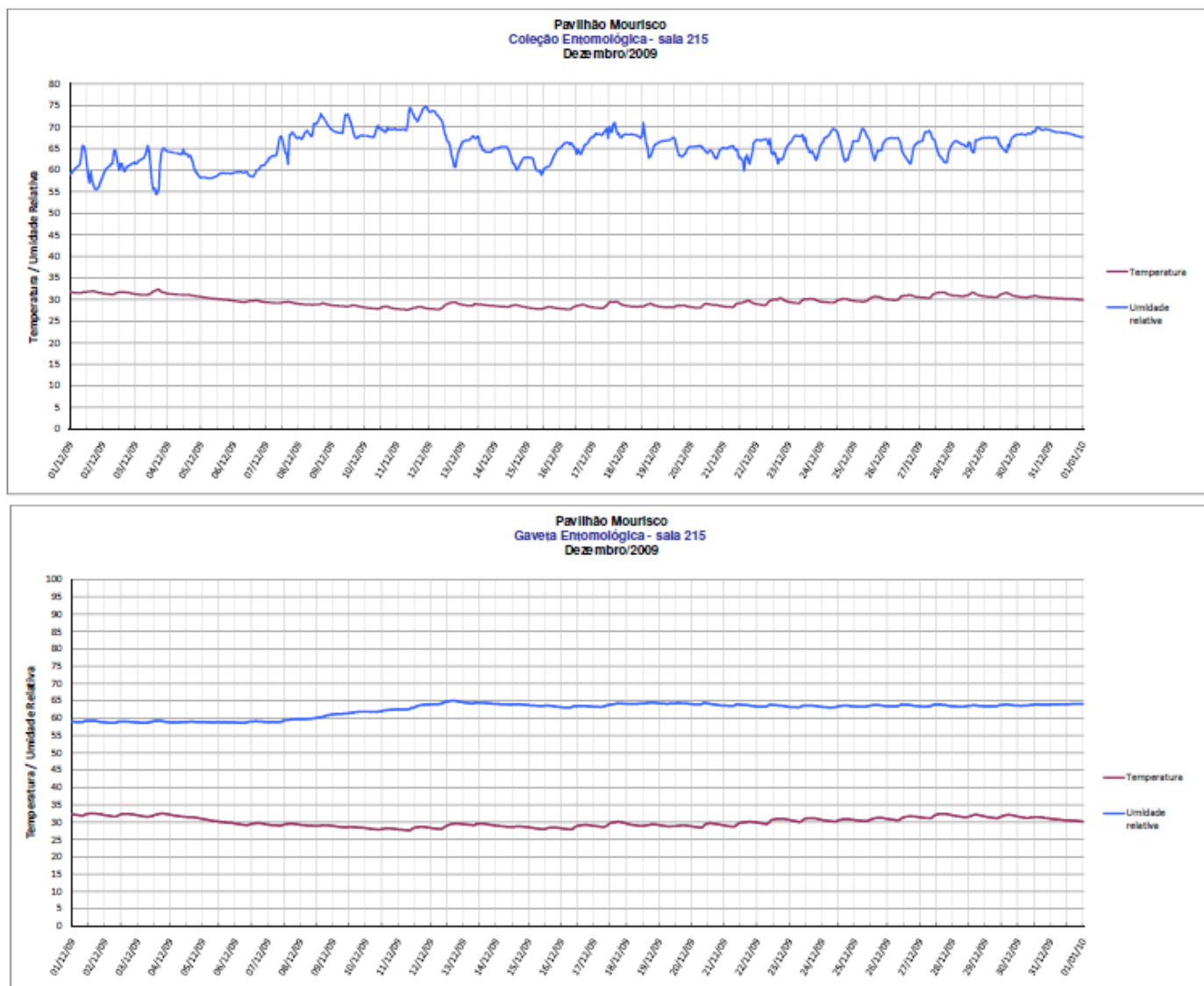
Figure 5. Temperature and Relative Humidity graphics of Entomological Collection – room and drawer (Source: Departamento de Patrimônio Histórico/COC/Fiocruz).

Regarding the Entomological Collection, monitoring data collected in the room indicates high levels of relative humidity and temperature (sometimes exceeding 75% RH and 30°C), though the environment does not possess any type of mechanical climate control system. The analysis of data collected in the drawers of the collection, however, indicate that the entomological drawers and the sliding file sealing system had been functioning as barriers to the conditions identified in the room, ensuring a more stable micro-environment with reduced values in relation to RH and temperature (Figure 5).

To complement the survey data related to temperature and relative humidity, data for rainfall and wind movement in Rio de Janeiro were collected through the site INMET (National Institute of Meteorology). The institution has a database of measurements that have been conducted since the 1930s, and provides consultation on the Climatological Standards; a selection of data from each of the indices

mentioned above were converted into monthly averages. For the study, the most recent standards (1961-1990) were raised. Data analysis will allow a deeper understanding of the macro-environment of the building and its impact on the conservation of the building and the collections housed there.

2.2. Diagnostics of the building and the collections

The diagnostic stage was divided into three phases: preliminary survey data, observations and interviews on the site, and analysing data and defining strategies. The diagnostic process should always be started with a review of all available information about the building and collections, given that the literature on a heritage may reveal information that cannot be obtained through direct observation. During the first phase of the diagnostic process, the existence of abundant technical documentation was identified relating to works undertaken in the Moorish

Figure 6. View of the Moorish Pavilion's flat roof and Tower (Source: Departamento de Patrimônio Histórico/ COC/Fiocruz).

Pavilion from the 1980s — the time of creation of the Department of Cultural Heritage of the COC. The form of organization and storage of such documentation, however, did not allow this information to be available for consultation.

With technical guidance from the Department of Archives and Documentation of COC, the organization of the documentation files for the project was carried out. A separation of the documents related to other buildings of the campus of Manguinhos was necessary. Each file created consists of plans, specifications, techniques, work diaries, reports and photographs. Through this exercise, it was possible to create a list of works carried out in the building, and analyze and compile data on cards for each of the interventions in the Pavilion.

Besides creating an database that can be updated and should be regularly supplied with information about new interventions, the preliminary data organization enabled the identification of some weak points of the building. The data analysis revealed, for example, that the towers north and south of the Pavilion underwent restoration works of large proportions in 1989 and 1990, respectively. In 2008, a map of damage done in order to support a new restoration project already indicated serious conservation problems and the need for further intervention (the project is currently awaiting release of funds).

As with the towers, the elements that compose the roof of the building were identified as vulnerable

(Figure 6). Between the late 1980s and early 2000s new waterproofing works were performed on the 5th and 7th floors (1988 and 1991), the battlements and turrets of the 5th and 7th floors were restored (1996 and 1997) and the rain ducts attended to (2000). In 2005, a new study to review the waterproofing of the roof was made.

At this stage of data collection, we researched existing bibliographic material about the building and the collections. The goal of this step is to consolidate the existing historical data, including issues related to the use and modifications in the building since its construction to the current day, and to organize information about materials and construction techniques for counting in the inventory of the building.

The second stage of the diagnostic included field trips for information gathering. Through direct observation and interviews with curators of collections and users of the building, information was collected about the conservation of the constructive materials of the building, existing facilities, and collections; and also on the methods of storage and display of collections, routine cleaning and maintenance and preservation policies. To develop the diagnostic of the collections the company *Papel e Natureza Assessoria em Preservação* has been contracted. The work was coordinated by the technical director of the company, the museologist Ingrid Beck.

In the Library, a survey was conducted by random sampling to quantify the frequency of damage to the collection. The diagnosis indicated as major problems those caused by insect damage, brittle paper and binding with the cover loose or lost. We also identified problems related to excessive ultraviolet radiation. The main room of the collection has large windows in iron and glass on the façades facing north, south and east. The survey conducted in the first phase of the diagnostic indicated that the windows of the north and south sides were fitted with curtains with UV protection in 2000, but the top (flag) remained unprotected until 2010. The windows of the east façade were protected by curtains only in 2008. The result of these conditions could be observed during the survey for the diagnostic stage, which indicated that the books housed in the bookcase facing east have been deteriorating much more rapidly than the others. The problems identified in the conservation of rare works, such as damaged bindings, can result in loss of value, both material and informational.

The diagnostic exercise of the conservation of the collection indicated that the conservation problems identified may be related to inadequate protection from conditions of humidity, temperature, light radiation and pollutants, confirming the information collected by environmental monitoring. The diagnostic exercise performed in the museum collection showed that the exhibition rooms are under suitable conditions. By the decision of the curators of the exhibition, the documents exhibited in these rooms are facsimiles, ensuring the preservation of the originals. Artificial light is controlled and natural light, coming through the windows, is filtered through curtains of special fabric that blocks ultraviolet radiation.

The assessment proposed in the larger research project is still in development, and the predicted time for the conclusion of the work is the first semester of 2011. As the expected results, we can highlight the identification of the causes of deterioration of buildings and collection, and the determination of environmental control guidelines for the areas that house the collections. As secondary results, the research will contribute to a reduction in need for restoration interventions in buildings and collections; to the improvement in team actions in the maintenance staff, and to the development of applied scientific research, promoting knowledge exchange between other institutions that deal with this issue.

The conservation assessment is an important tool not only for the definition of conservation strategies, but also for monitoring the effectiveness of those actions. Through this type of assessment, which must be periodically updated, it is possible to set a concrete picture of the situation and to establish conservation plans that will allow preventive actions that are sustainable in the long run.

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ENDNOTES

[1] Architectural style developed in the context of Islamic art from the second half of the 11th century to the end of the 15th. The architectural complex of the Alhambra, built in Granada (Spain) between 1238 and 1492 is the most significant example of Moorish architecture. The Alhambra palace served as citadel and fortress, as well as the residence of sultans, senior officials, servants of the court and elite soldiers.