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International Principles and Local Practice of Cultural Heritage Conservation

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**Review of ten years' application of the China Principles and
study on its future directions**

International Principles and Local Practices of Cultural Heritage Conservation

Conference Proceedings

National Heritage Center of Tsinghua University

ICOMOS China

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Preface

LU Zhou

Director of THU-NHC

As more attention is paid to cultural diversity, living heritage and community participation are rising in prominence in cultural heritage conservation. The constant amalgamation of basic conservation principles from international charters, declarations, and guidelines with experience from different countries, regions, or even individual cases has generated various new ideas and approaches that reflect the diversity of cultural heritage conservation and add to the intellectual wealth of humanity.

Cultural heritage is the product or physical remains of the creative activity of humans, including their creative thinking and processes. Creative thinking constitutes the fundamental values of cultural heritage as it represents specific cultural and philosophical backgrounds and our instinctive exploration and understanding of the world. Creative processes can last as long as hundreds or thousands of years, shaped by social, cultural, and other influences. They are the source of more diverse historical and cultural values of heritage sites. Such an understanding of the diversity of cultural heritage has resulted in more values-based conservation philosophies and more diversified conservation practices.

At the beginning of the 21st century, China's cultural heritage conservation entered a stage of rapid growth. The *Principles for the Conservation of Heritage Sites in China* (or the *China Principles*), which was adopted in 2000, has played a significant role in improving China's cultural heritage conservation. The *China Principles* itself was born out of China's own conservation practices and can be considered a combination of Chinese conservation philosophy and international principles based on the *Venice Charter*. It is ultimately a system of principles that reflects the unique character of Chinese heritage conservation. Since 2000, China has been transitioning from cultural relics protection to cultural heritage conservation. The targets of conservation have changed, and more emphasis has been placed on the social benefits of conservation, the links between conservation and social and economic progress, and the connections between conservation and urban and rural development. China's cultural heritage conservation has become more dynamic and far-reaching. Therefore, it is imperative to rethink how to understand the current need for cultural heritage conservation and how to refine conservation theories and identify appropriate conservation methods according to the latest developments in this field.

In 2012, we obtained funding from the National Natural Science Foundation of China and started to review the implementation of the *China Principles*. That project was later combined with ICOMOS China's revision of the document. In May 2014, we invited cultural heritage conservation experts and practitioners from around the world to discuss international conservation principles and local conservation practices. These proceedings are a collection of papers and presentations from that conference.

These inspiring papers examine the ways principles for cultural heritage conservation are interpreted by major international conservation organizations, the conservation methods and systems in various countries and regions, and China's conservation practices for different categories of heritage sites.

2014 is the 50th anniversary of the *Venice Charter* and 20th anniversary of the *Nara Document on Authenticity*. As conservation philosophies and practices have become more diversified, cultural heritage conservation itself has also been undergoing a process of creative development.

Theory discussion

Evolution of Cultural Heritage Conservation Philosophy

Through the Lens of the Revised China Principles

Lu Zhou

Director of THU-NHC

The *Principles for the Conservation of Heritage Sites in China* (the *China Principles*) was adopted by the Chinese Commission for the International Council on Monuments and Sites (ICOMOS China) in 2000. As an important underlying document in the field of cultural heritage conservation in China, its release marked the establishment of the country's own conservation system and connected the Chinese system to international principles. During the past 13 years, the *China Principles* has been playing a prominent role in the evolution of China's cultural heritage conservation.

The Principles are a set of professional guidelines for heritage conservation. All those who work in heritage conservation, including public servants and persons involved in management, research, survey, design, construction, education, and the media, are bound by the Principles in matters of professional practice and ethics.

The Principles specify criteria for the evaluation of all conservation work. Conservation practice must conform strictly with relevant legal regulations and provisions.

The Principles also provide the basis for evaluating all professional plans and the results of their implementation.

Since the 1990s, new ideas and trends have been emerging in the international conservation community. China's cultural heritage conservation has made significant progress and encountered a new set of challenges in the 21st century. Therefore, ICOMOS China initiated the revision of the *China Principles* in 2010, which is now nearly complete. The revised *China Principles* further reveals the relationship between Chinese and international cultural heritage conservation. It also reflects the connections between the universal principles for conservation and regional practices in the context of cultural diversity.

1. The Conservation of Cultural Value

The 1972 *Convention Concerning the Protection of the World Cultural and Natural Heritage* (the World

Heritage Convention) explains the value of cultural heritage:

Article 1

For the purposes of this Convention, the following shall be considered as “cultural heritage:”

Monuments: architectural works, works of monumental sculpture and painting, elements or structures of an archaeological nature, inscriptions, cave dwellings and combinations of features, which are of outstanding universal value from the point of view of history, art, or science.

Groups of buildings: groups of separate or connected buildings which, because of their architecture, their homogeneity or their place in the landscape, are of outstanding universal value from the point of view of history, art, or science.

Sites: works of man or the combined works of nature and man, and areas including archaeological sites which are of outstanding universal value from the historical, aesthetic, ethnological or anthropological point of view.

The above explanation is consistent with the spirit of China’s conservation laws and regulations, especially the *Law of the People's Republic of China on Protection of Cultural Relics* (the *Law on Protection of Cultural Relics*): “The State places under its protection the following cultural relics within the boundaries of the People's Republic of China: (1) Sites of ancient culture, ancient tombs, ancient architectural structures, cave temples, stone carvings and murals that are of historical, artistic or scientific value.”

Sharing an understanding of the values of cultural heritage with the international conservation community, China ratified the *World Heritage Convention* in 1985, and six Chinese sites, the Forbidden City, the Great Wall, the Mogao Grottoes, the Mausoleum of the First Qin Emperor, the Peking man site at Zhoukoudian, and Mount Tai, were inscribed on the World Heritage List in 1987. China’s ratification of the *World Heritage Convention* helped the Chinese system of cultural relics protection to better preserve and manage China’s World Heritage Sites and assimilate into the international system of cultural heritage conservation. It also facilitated the exchange of ideas between China and other countries.

After the 1980s, the world started to tackle the challenges posed by economic globalization, and the protection of cultural diversity became a significant topic. As a guardian of cultural diversity, the United Nations Educational, Scientific and Cultural Organization (UNESCO) launched the World Decade for Cultural Development (1988-1997) program and proposed four themes: acknowledging the cultural dimension of development, affirming and enriching cultural identities, broadening participation in culture, and promoting international cultural cooperation.

In its medium-term plan for 1990-1995, UNESCO says,

The cultural heritage may be defined as the entire corpus of material signs – either artistic or symbolic – handed on by the past to each culture and, therefore, to the whole of humankind. As a constituent part of the affirmation and enrichment of cultural identities, as a legacy belonging to all humankind, the cultural heritage gives each particular place its recognizable features and is the storehouse of human experience. The preservation and presentation of the cultural heritage are therefore a corner-stone of any cultural policy.

The issue of the imbalance of World Heritage Sites was raised in the 1990s. It is believed that there are imbalances between cultural and natural heritage sites, between different categories of sites, and between different regions, in terms of their number of sites and conservation capacity. When it comes to cultural heritage, the core issue is the imbalance of cultural expression. To address this issue, the World Heritage Committee and the international consulting agencies proposed new types of cultural heritage, including cultural landscapes and cultural routes. It used to be difficult for certain heritage sites to be inscribed on the World Heritage List according to the traditional evaluation system based on historical value. However, the values of those sites have started to be recognized as people embracing the cultural landscape concept. These new types of cultural heritage are generating a new evaluation framework in which cultural value plays a central role.

Cultural value is not mentioned in the Chinese legal framework but is nevertheless an important concern in reality. The third national survey of cultural relics completed an inventory of existing cultural heritage in mainland China. According to the survey, there were 766,722 immovable cultural relics in mainland China, more than twice the number of the second national survey. The increase itself reflected a change in the understanding of immovable cultural relics. The Ancient Tea Horse Road, the Grand Canal, the Ancient Jujube Garden in Juguan, and many groups of traditional buildings in villages are included in the National Lists of Major Officially Protected Sites, which demonstrates that cultural value has been incorporated into heritage conservation and evaluation system in mainland China.

Mainland China is experienced in using the concept of cultural value to protect cultural heritage. For example, when submitting nominations to the World Heritage Committee, China described Mount Wutai as a Buddhist sanctuary, the historic monuments of Dengfeng as being in “the center of heaven and earth,” and the West Lake and the Honghe Hani Rice Terraces as cultural landscapes.

Therefore, it is appropriate for the revised *China Principles* to recognize cultural value as an important type of value for heritage sites.

Considering the trend in the international conservation community and China’s own practices of cultural heritage conservation in recent years, the inclusion of cultural value in the *China Principles* is justifiable. In fact, it is consistent with the reality of conservation in China. For example, cultural value was an important factor during the relocation project for a heritage site in the 1990s. At that time, the Zhang Fei Temple in Yunyang would be inundated by the Three Gorges Dam. Experts analysed its cultural and social value and decided to move the temple 30 kilometres upstream and continue to maintain the temple and Yunyang County on opposite sides of the river.

The concept of cultural value in the revised *China Principles* is more about the protection of the cultural diversity of different ethnic groups, regions and of the vernacular cultural heritage with unique local features. It emphasizes the value interpretation and conservation of Chinese cultural landscapes that have been recognized as World Heritage Sites, including Mount Lu, Mount Wutai, the West Lake, and the Honghe Hani Rice Terraces. It also addresses the issue of cultural interpretation and protection for China’s cultural routes such as the Silk Road, the Grand Canal, the Ancient Tea Horse Road, the Shu Roads, and the route of the Long March. To some extent, China’s conservation of its World Heritage Sites has facilitated its understanding of the cultural value concept.

The concept of cultural value is reflected in some international documents similar to the *China Principles*, the

best-known of which is the *Burra Charter*. The *Burra Charter* was adopted by ICOMOS Australia in 1979 and revised in 1981, 1988, and 1999. As part of the international conservation system based on the *Venice Charter*, the *Burra Charter* established a set of conservation principles targeted at the character of Australia's heritage sites. Taking into account the unique composition of Australia's heritage sites, the *Burra Charter* integrated the concept of cultural significance, which is also mentioned in the *Venice Charter*, with the Australian reality. In the Australian document, cultural significance is seen as an overarching concept that incorporates historical, artistic, and many other values.

Australia's understanding of cultural value is vastly different from that of China. Historical value will remain the focus of mainland China in many years to come. Ignoring or diminishing historical value would cause confusion and might undermine China's conservation efforts. Therefore, the revised *China Principles* regard cultural value as something parallel with historical, artistic, and scientific value and on equal footing with social value.

The understanding of cultural value, in the revised *China Principles*, is consistent with the reality and need of China's mainland cultural heritage conservation. It will guide the development of China's mainland conservation efforts and contribute to the establishment of a new evaluation system for the protection of cultural diversity and living heritage.

2. The Principle of Authenticity

Authenticity is an important criterion for the evaluation of cultural heritage in the *Operational Guidelines for the Implementation of the World Heritage Convention* (the *Operational Guidelines*). The evolution of this criterion reflects the development of the theories and practices of international cultural heritage conservation. The concept of authenticity originated from the protection of works of art, especially during 18th and 19th century Europe, where art history was flourishing as a subject, and the collection and protection of artworks were emerging. Today, it is widely believed that the concept of authenticity first appeared in the *Venice Charter*:

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

...

The intention in conserving and restoring monuments is to safeguard them no less as works of art than as historical evidence.

...

The process of restoration is a highly specialized operation. Its aim is to preserve and reveal the aesthetic and historic value of the monument and is based on respect for original material and authentic documents. It must stop at the point where conjecture begins, and in this case, moreover any extra work which is indispensable, must be distinct from the architectural composition and must

bear a contemporary stamp. The restoration, in any case, must be preceded and followed by an archaeological and historical study of the monument.

...

Replacements of missing parts must integrate harmoniously with the whole, but at the same time must be distinguishable from the original so that restoration does not falsify the artistic or historic evidence.

The concept of authenticity in the *Venice Charter* is further explained in the *Operational Guidelines*, which was passed by the World Heritage Committee in 1977: “In addition, property should meet the test of authenticity in design, materials, workmanship and setting; authenticity does not limit consideration to original form and structure but includes all subsequent modifications and additions, over the course of time, which in themselves possess artistic or historical values.”

The *Nara Document on Authenticity*, adopted at the Nara Conference in 1994, sparked a discussion on authenticity in mainland China. Different schools of thought have been clashing over the interpretation of authenticity. Some translate the word “authenticity” as *yuanzhenxing* (原真性, literally “original and true character”) thus claiming that authenticity is associated with the original state of heritage sites. They try to invoke the notion of “restoring the original state,” which once existed in the discourse of cultural relic protection in mainland China. These people emphasize the importance of restoration and even argue, “Damaged relics and structures will still have scientific, artistic, and historical values as long as their original shapes and structures are carefully repaired and scientifically restored with the aid of original materials and building techniques. Traditional structures that have been scientifically restored according to the principle of ‘not changing the original state’ should not be seen as ‘fake antiques’.” Some people believe that they can preserve the authenticity of a traditional building by repairing it with materials collected from another building from the same period. There are even people who put authenticity in opposition to the *Venice Charter*, hoping to rely on the former to compromise the principles in the latter.

The *Nara Document* enlarged the scope of authenticity to provide holistic protection for all types of cultural significance associated with cultural heritage in the context of cultural diversity. The 1977 *Operational Guidelines* prescribes that all cultural heritage sites should meet the test of authenticity in design, materials, workmanship, and setting while the *Nara Document* says that the aspects of authenticity include form and design, material and substance, use and function, tradition and technique, location and setting, spirit and feeling, and other internal and external factors. The *Nara Document* emphasizes an integrated understanding and conservation of cultural heritage, considering tangible and intangible cultural heritage as a whole. Unfortunately, it was not until 2005, ten years after the *Nara Document* was adopted and two years after the *Convention for the Safeguarding of Intangible Cultural Heritage* was passed, that UNESCO added this interpretation of authenticity into the *Operational Guidelines* (2005 edition). The world had lost the opportunity to build on its original framework of heritage conservation and establish a more inclusive system incorporating both tangible and intangible cultural heritage.

In one of his essays, Knut Einar Larsen asserts,

The *Nara Document on Authenticity* reflects the fact that international preservation doctrine has moved from a Euro-centric approach to a post-modern position, characterized by recognition of cultural relativism. This is not to say that international debate on cultural heritage authenticity lacks

meaning after the *Nara Document*. In this situation, preservation experts are forced to clarify the use of the concept of authenticity within their own countries and cultural spheres.

Nobuko Inaba calls the Nara Conference on Authenticity a milestone in the history of heritage conservation. According to Inaba, the most important result of the conference was the expansion of the concept of cultural heritage, which mainly refers to physical remains in the *Venice Charter*, and the discussion on cultural and heritage diversity. She observes that the Nara Conference, in some people's eyes, was a re-examination or critique of Euro-centrism, echoing the frequent debates over stone and brick versus wooden structures (Japanese cultural heritage sites are mostly made of the fragile organic material of timber) or over European versus non-European cultural heritage. But she believes that such an interpretation underestimates the true value of the conference. In Inaba's opinion, the Nara Conference expanded the concept of authenticity from the physical materials to the spirit and feeling behind the cultural heritage. Yet she also says that, as people use the word "authenticity" to discuss many expanded concepts, the term itself can cause confusion.

In fact, despite the postmodernist perspective offered by the *Nara Document*, many people and organizations in the community of cultural heritage conservation, including ICOMOS itself, apply the principle of authenticity with a modernist mind set. Thus, the word "authenticity" can indeed be baffling. This problem also exists when discussing authenticity in mainland China.

Nevertheless, in recent years, the Chinese have realized the importance of authenticity in their conservation work. The revised *China Principles* places some of the principles proposed in the older edition under the umbrella of authenticity. It also considers the cultural value of heritage and attempts to address China's unique issues using the principle of authenticity.

Some principles in the 2000 edition of the *China Principles* have been widely embraced in mainland China, including "conservation must be undertaken in situ," "physical remains should be conserved in their historic condition without loss of evidence," "appropriate aesthetic criteria should be observed," "the setting of a heritage site must be conserved," and "a building that no longer survives should not be reconstructed." They largely correspond to the conservation of tangible aspect of cultural heritage under the principle of authenticity. The revised *China Principles* thus combines these into the "authenticity" principle and also advocates the conservation of cultural traditions associated with the tangible heritage. Therefore, it seeks to address the situation in which the conservation of tangible heritage alters the original social structure and traditional lifestyle of local communities.

The principle of authenticity in the revised *China Principles* is not only based on the original principles for cultural relic's protection in mainland China but targeted at existing issues in the field of heritage conservation. The principle of authenticity highlights the integrity of cultural heritage and reflects the integrated view of cultural heritage conservation in mainland China.

3. The Appropriate Use of Cultural Heritage

Appropriate use is a widely accepted approach to cultural heritage conservation. The *European Charter of the Architectural Heritage*, which was passed by the European Council in 1975, says,

The architectural heritage is a capital of irreplaceable spiritual, cultural, social and economic value. Each generation places a different interpretation on the past and derives new inspiration from it. This

capital has been built up over the centuries; the destruction of any part of it leaves us poorer since nothing new that we create, however fine, will make good the loss. Our society now has to husband its resources. Far from being a luxury, this heritage is an economic asset which can be used to save community resources ... Integrated conservation is achieved by the application of sensitive restoration techniques and the correct choice of appropriate functions.

The European Union intends to ensure that its architectural heritage can fulfil appropriate functions and remain active in contemporary society, as evidenced by many cases of conservation in different European countries.

The Third General Assembly of ICOMOS met in Budapest in 1972 and passed the *Resolutions of the Symposium on the Introduction of Contemporary Architecture into Ancient Groups of Buildings*. The document states, “The revitalization of monuments and groups of buildings, by the finding of new uses for them, is legitimate and recommendable provided such uses affect, whether externally or internally, neither their structure nor their character as complete entities.” ICOMOS further explains in the *Washington Charter* the relationship between the conservation, use of cultural heritage and social development:

“The conservation of historic towns and urban areas” is understood to mean those steps necessary for the protection, conservation, and restoration of such towns and areas as well as their development and harmonious adaptation to contemporary life.

...

8. New functions and activities should be compatible with the character of the historic town or urban area. Adaptation of these areas to contemporary life requires the careful installation or improvement of public service facilities.

9. The improvement of housing should be one of the basic objectives of conservation.

10. When it is necessary to construct new buildings or adapt existing ones, the existing spatial layout should be respected, especially in terms of scale and lot size.

The introduction of contemporary elements in harmony with the surroundings should not be discouraged since such features can contribute to the enrichment of an area.

Article 33 of the *Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas* of UNESCO says,

Protection and restoration should be accompanied by revitalization activities. It would thus be essential to maintain appropriate existing functions, in particular trades and crafts, and establish new ones, which, if they are to be viable in the long term, should be compatible with the economic and social context of the town, region, or country where they are introduced. The cost of safeguarding operations should be evaluated not only in terms of the cultural value of the buildings but also in relation to the value they acquire through the use made of them. The social problems of safeguarding cannot be seen correctly unless reference is made to both these value scales. These functions should answer the social, cultural and economic needs of the inhabitants without harming the specific nature of the area concerned. A cultural revitalization policy should make historic areas centers of cultural activities and give them a central role to play in the cultural development of the

communities around them.

The appropriate use of cultural heritage is an important element in the basic conservation policy of mainland China and is mentioned in the *Law on Protection of Cultural Relics*. Since the officially protected sites in mainland China are deemed as public properties, most of them are being used as museums or tourist attractions. Some of them, such as temples, schools, and public buildings, are still performing their original functions.

In order to boost the economy, some local governments in mainland China authorized travel agencies to operate officially protected sites in the late 1980s and early 1990s. Due to their lack of basic conservation knowledge and skills, some travel agencies damaged the sites they managed. This problem drew considerable public attention and criticism, prompting the authorities to revise the *Law on Protection of Cultural Relics*. Article 24 of the revised law stipulates, “*No immovable cultural relics owned by the State may be transferred or mortgaged. State-owned cultural relics which are established as museums or cultural relic’s preservation institutes or used as tourist sites should not be made enterprise assets for business operation.*” After the revision came into force, fewer travel agencies were involved in the operation of officially protected sites.

The use of early modern buildings is a prominent issue in the conservation of officially protected sites in mainland China. The Chinese concept of modern buildings is similar to the international definition of 20th century architectural heritage. The schools, banks, hotels, theatres, and other public buildings, that have been announced as major, national-level sites, are considered modern buildings in mainland China. Most of them are being used for their original purposes but may not be up to current building safety standards. Therefore, they need to be reinforced and renovated to maintain their original functions, values, and main features and meet contemporary needs. The biggest challenge for this type of cultural heritage site is to preserve its original structure and strike a balance between effective conservation and compliance with current standards and needs.

Mainland China’s industrialization began in the late 1970s and has been going on for more than 30 years. In recent years, some cities have adjusted their economic structure, and large industrial enterprises, such as the Jiangnan Shipyard of Shanghai, the Shougang Corporation of Beijing, and many companies in the Tiexi District of Shenyang, have been moved out of cities. The relocated industrial enterprises left a large number of plants and buildings behind, which has an important bearing on the historical conservation and future development of Chinese cities. People are discussing the conservation of industrial heritage in mainland China, and some cities are attempting to protect and use these old industrial sites. Beijing formulated a redevelopment plan for the former site of the Shougang Corporation, emphasizing that conservation and utilization should be equally important. After the Jiangnan Shipyard was relocated, the local government set about protecting its old buildings and used some of its former factories for the World Expo. In the Tiexi District of Shenyang, an old foundry was transformed into the China Industry Museum, and some residential buildings meant for factory workers became exhibition halls for the public to learn about the everyday life of the past. In other cities, old factories and industrial buildings are now used as art and design studios, commercial properties, and restaurants. These efforts have not only preserved the original urban architectural environment but revitalized the urban districts that had slipped into decline due to the relocation of industrial enterprises.

After the third national survey of cultural relics and the release of the seventh National List of Major Officially Protected Sites, the use of heritage sites attracted more public attention in mainland China. Once

more, the numbers of immovable cultural relics and major national-level sites both doubled. The newly added sites represented a wider variety of cultural heritage and ownership types. The demand for the appropriate use of cultural heritage also became stronger.

Since 2000, mainland China has been seeking to integrate cultural heritage conservation with social and urban-rural development, especially the cultural development of urban and rural areas. The construction of national archaeological site parks, which has received support from local governments in recent years, is yet another example of the use of cultural heritage in mainland China.

In 2005, the State Administration of Cultural Heritage (SACH) of China initiated a project for the conservation of the traditional wooden architecture in southern Shanxi Province. The purpose of the project was to repair and protect the 152 wooden structures built before the Yuan Dynasty that are located at 105 major national-level cultural heritage in the south of Shanxi. As the repair work is being completed, an urgent problem has arisen: most of these wooden structures are located in remote areas, thus making them difficult to properly manage and maintain; extra care needs to be taken to avoid abandoning and damaging these newly repaired cultural heritage sites.

In 2013, SACH gathered cultural heritage officials, non-governmental organizations, and experts from Taiwan, Hong Kong, Macau, and mainland China to exchange ideas about the use of cultural heritage. In the same year, the Wuxi Forum, cultural heritage conservation's most important forum in mainland China, also discussed the use of cultural heritage. The issue of utilization is highlighted in the repair and conservation projects for the groups of traditional buildings in Chengkan and Huangtian, two Anhui villages that are major, national-level cultural heritage sites. Specific plans have been devised to appropriately use the buildings.

The appropriate use of cultural heritage is of special concern in the revised *China Principles*. Not only is it mentioned in the general principles but there are articles that specifically discuss appropriate use, presentation and interpretation, reconstruction, and original function.

In order to address existing problems in practice, the revised edition emphasizes that usage should take into consideration a site's value and attributes and not diminish its value. It argues that use must consider the capacity of a site and prohibits any use of a site that exceeds its capacity. According to the revised *China Principles*, when considering the appropriate use of a site, a selection of options needs to be provided and compared. It says that there must be no change to original forms, structures, techniques, materials, decorations, and settings that reflect a site's attributes simply for the needs of use. Moreover, the revised *China Principles* points out that all the measures adopted to use a site should be reversible. Considering the situation in mainland China and drawing from the experience of Hong Kong and Macau, the new edition also states that appropriate use should incorporate necessary procedures to ensure that a site is used equitably as a public resource with priority given to its use for public benefit.

According to the conservation principle for living heritage, sites that still retain their original functions, particularly those whose functions have become an integral part of their value, should be encouraged to maintain their original mode of use. The revised *China Principles* considers the continuation of a site's original function to be an aspect of conservation mainly because physical remains are overemphasized during the conservation of historic Chinese districts, villages, and towns, whose original function, social structure, and cultural tradition tend to be neglected. In this case, the preservation of original function is not only about the use of cultural heritage but about authenticity principle as well.

Conclusion

The revised *China Principles* proposes guidelines on the value and use of cultural heritage and conservation principles that are based on the reality in mainland China and the prevailing trends in the international conservation community. It also emphasizes the sharing of benefits from conservation, the importance of management, and the protection of living heritage, incorporating new categories of cultural heritage such as cultural landscapes, cultural routes, historic canals, industrial heritage, and technological heritage. The new edition lays down specific requirements for the conservation of these new types of cultural heritage and other categories as well, including architectural paintings, murals, polychrome sculptures, stone carvings, commemorative places, and historically and culturally famous cities, villages, and towns.

The protection of as well as the respect for cultural diversity are increasingly embraced by the international community. Local principles and methods are being devised in different cultural contexts. A new challenge for countries around the world is to generate momentum for heritage conservation and establish effective conservation mechanisms within their own cultures. When addressing conservation issues, mainland China needs to consider the character of Chinese culture and the continuity of its policy. The revision of the *China Principles* is such an attempt to conduct effective conservation of China's cultural heritage.

The Development of the China Principles: a Review to Date

Neville Agnew, Martha Demas and Sharon Sullivan

ABSTRACT

There is a long history of heritage conservation in modern China and by the late 20th century a comprehensive national legislation for the protection of cultural heritage had been developed. The development of heritage conservation drew upon new approaches from the West, and their appropriate adaptation to Chinese conditions. The *Principles for the Conservation of Heritage Sites in China*, (the “China Principles”) were a continuation of this process. They are the first set of professional, non-regulatory guidelines, for heritage site conservation in China. Promulgated in 2000 by ICOMOS China and authorised by the State Administration for Cultural Heritage (SACH), and translated into English by the Getty Conservation Institute (GCI) (see www.getty.edu/conservation) they constitute a significant step towards a consistent and deliberate values based management approach to conservation and towards the development of professionalism in the practice of conservation broadly conceived, whilst being explicit for heritage sites.

This paper briefly describes the drafting of the China Principles through a collaboration of the SACH, the GCI, and the then Australian Heritage Commission (AHC), and goes on to analyse the international reception of the Principles, including their general acceptance as an important addition to developing theory and practice, critiques of their status in international practice, and discussion of their content and effectiveness.

Application of the China Principles, through development and implementation of master plans at two Chinese World Heritage Sites was the next phase of the project. Key Chinese professionals and site managers, along with experts from the GCI and the AHC, developed and implemented aspects) of the China Principles (e.g., site master planning, visitor capacity and management, and conservation) at the Mogao Grottoes and at Chengde’s Shuxiang Temple.

At the same time, the China Principles continued to gain acceptance nationally and recognition internationally and after 10 years a revision and enlargement of the heritage categories of the Principles was undertaken, now finalized. The authors discuss the review, from a number of perspectives – response to experience in implementation, further adaption of the Principles to Chinese conditions, and the relationship of the revision to international developments in conservation, especially in values-based management

The paper concludes with a discussion of needs and prospects for the future.

Introduction

The Principles for the Conservation of Heritage Sites in China - the 'China Principles' –were developed as comprehensive guidelines for the conservation and management of immovable cultural heritage (Agnew and Demas 2002). The China Principles exhibit strong continuity with past conservation practice in China as it has developed internally over the last 70 years, while accepting new approaches to conservation and management planning developed in the West. Although there is well-developed national legislation (Law of the People's Republic of China (PRC) on the Protection of Cultural Relics, 2002) for the protection of cultural heritage and many regulations and ordinances detailing conservation procedures, the Principles were the first set of professional, non-regulatory guidelines for the People's Republic.

In content and formulation the Principles incorporate legal and professional approaches to the conservation and management of cultural heritage that have their roots in the early part of the twentieth century. Legislation on the protection of cultural heritage goes back to the very end of the Qing Dynasty with the promulgation of the 1909 ordinance (Lai, Demas and Agnew 2004), while certain practices and legal formulations go back even further.

The beginnings of modern professional practice came out of the innovative and formative period of the 1920s and 1930s in tandem with the development of the disciplines of archaeology and architectural history. Preeminent in the development of architectural history and conservation was Liang Sicheng (1901-1972) who recognized the value of ancient architecture and the need for its preservation, as well as the importance of raising social awareness as a means to achieving its survival. Liang's ideas parallel those of the Athens and Venice Charters in rejecting restoration to splendid and new condition and advocating a respect for ancient architecture as an authentic record of the past feudalism. Liang remains a figure of great stature in Chinese architectural history and his seminal ideas and emphasis on physical fabric permeate conservation practice and theory to the present day including a strong influence on the China Principles (Lai, Demas, and Agnew 2004). What Liang and his successors could not have foreseen was the explosion of development and social change that would hit China in the 1980s and have a profound impact on the cultural heritage. It was in response to these changes and subsequent modern challenges to heritage conservation that the Chinese authorities decided to develop a set of conservation and management guidelines.

Development of the China Principles

The China Principles were collaboratively developed over a period of three years (1997-2000) by a core group of 10 Chinese professionals who, with the GCI (Getty Conservation Institute) and the AHC (Australian Heritage Commission), drafted the document. This group included senior professionals from architecture, archaeology, conservation, and site management and a larger group of 30 experts who vetted the drafts and provided input at various points in the process. Leading the team was the then deputy director-general Zhang Bai of SACH who was also Chairman of ICOMOS China.

The Chinese leadership of the China Principles initiative recognized that the process would benefit by having an outside, international perspective; hence the tripartite partnership and involvement of outside organizations. The process agreed upon comprised a series of workshops and meetings in Australia, China and the US over a 3-year period (1997-2000).

During the two workshops in Australia, the main focus was on the Burra Charter: how it was developed, adopted, and used in everyday practice. Particular attention was paid to what the Burra Charter does best: significance assessment and planning. Visits were made to a number of key sites which demonstrated a range of conservation and management issues and methodologies. Other concepts which were particularly significant were adaptive reuse, and the use of the Burra Charter as a common language in Australian practice. Meetings with heritage practitioners demonstrated the interaction between official heritage agencies and the private sector. The Burra Charter was translated into Chinese for this purpose, which was the beginning of what became a major sub-initiative of the project, the development of a glossary of professional concepts and terms to ensure consistent usage and common understanding between the Chinese and English languages. Meetings with Australia ICOMOS members were also built into the workshops in order to assist ICOMOS China in the development of its membership.

Interspersed with the Australian workshops, a series of meetings in China was held over the three years, with visits to a range of cultural sites in Hebei, Liaoning, Yunnan, Fujian and Gansu provinces and discussions were held with site managers and practitioners. The experience gained on-site stimulated debate and led to frequent re-writing of the developing Principles.

A final study tour to the United States focused on archaeological and Native American sites in the Southwest US, where issues of conservation of archaeological sites and the relationship of indigenous communities with their past were brought forth; and on the east coast, on historic districts, an inside look at the management of Colonial Williamsburg, and the roles and responsibilities of governmental and non-governmental agencies, such as the US National Park Service, US ICOMOS, the Advisory Council, and other organizations in Washington, DC.

The workshops, site visits, and discussions with professionals in three countries provided a way to work through difficult concepts and test the legitimacy of the developing Principles against international norms and real site issues. The Principles were reviewed by the committee of some 30 Chinese experts convened by SACH, and finalised and formally launched at a conference in Beijing in the autumn of 2000.

English translation of the China Principles followed in 2002 (Agnew and Demas eds. 2002). The China Principles was always seen as a living document to be revised in due course. It was anticipated that it would undoubtedly change as practitioners confronted and responded to the many challenges they faced in conserving the cultural heritage of China today.

Application Phase

The next stage of the project was that the GCI and the Australian Department of the Environment and Heritage, (DEH) with the encouragement and assistance of SACH worked in cooperation with relevant site staff, to carry out projects which tested and applied various elements of the Principles, at the Mogao Grottoes and the Chengde Mountain Resort and Outlying Temples World Heritage Sites.

Another speaker at this conference, the Executive Director of the Dunhuang Academy (DA), Wang Xudong, will discuss elements of the application of the China Principles at Mogao. We will therefore only briefly discuss them here.

Master planning

As a leader in conservation in China, the DA was involved in both the development and application of the China Principles. In 1999 the DA, the GCI, and the AHC began work on the Mogao Conservation Master Plan using the methodology outlined in the China Principles. The idea was to work simultaneously on both practice and principles so that each would inform the other. The Dunhuang Academy was the first cultural heritage organization to apply the formal planning methodology of the China Principles to the drafting of a master plan (Fan 2010; Agnew et al. 2004). Throughout 2000-2002, several workshops were held to develop the plan, working with senior staff from the various departments of the DA who contributed information and research for the assessments and developed the objectives and strategies.

The China Principles planning process begins with investigation and identification of a site and its components. For Mogao, such investigation has been underway for over 50 years. Nevertheless, the planning process was an opportunity to assimilate and synthesize existing information on the art, history, geology, and environment, to undertake new surveys to better document the resource, and to identify gaps in knowledge about the site. Some of the results from this process have been new digital photography and condition surveys of all the grottoes, a new photogrammetric survey of the cliff face, and better integration of archival documentation.

Assessment is the key to the conservation planning process and more than 2 years were spent in carrying out research, assessment, and analysis of all aspects of Mogao prior to determining the objectives of the plan. Although there was already extensive information and knowledge about the values, condition and management context of the site, additional research and compilation of this information was needed. In order to assess condition and management context, the planning team also undertook an analysis of the site's strengths, weakness, opportunities and threats and organized these in a table for each of the main programmatic areas of the plan (Conservation, Use, Research, and Management)

The exceptional historic, artistic and research values of the Mogao grottoes have long been recognized and are the bedrock of Mogao's significance. The social and natural values, however, had not been explicitly recognized in the past and were brought forth during the planning process. The assessment of condition identified areas of greatest concern that would need to be addressed. Identifying these problems involved discussion among the conservation department staff who have long experience with the site. It also meant undertaking new surveys of condition in order to categorize and visually map the existing state of the grottoes and prioritize future work.

The explicit assessment of management context was a new element in the assessment process in China and was a new experience for Mogao staff. Many problems confronting the site emerged during the assessment of strengths, weaknesses, opportunities and threats. These related to visitor management, such as the need for surveys to understand visitor behaviour and expectations, for determining the carrying capacity, and for enhancing visitor experience, operational and infrastructure needs, improvements in staff housing, and the need to consult and dialogue with stakeholders, especially the local tourism authorities.

The China Principles planning process involves establishing or re-assessing the 'Four Legal Prerequisites,' which pertain to site boundaries and buffer zones, official public notification of the site's legal status, archival records and a site management organization At Mogao, these were established in 1961 when the site

was first designated a nationally protected site. Nevertheless, the planning process was an opportunity to review the state of the buffer and development control zones at Mogao and take actions to enlarge them and strengthen their legal protection. This resulted in extension of the buffer zone to protect the approach to Mogao, historic resources such as an ancient cemetery, and the site's view sheds to the east (Sanwei Mts).

The conservation and management decisions made about the future of Mogao followed from the assessments of significance, condition, and management context. These decisions are formulated in the plan as Goals, Policies, and Objectives. Long-term Goals for Mogao encapsulated the core mission of the site in the areas of conservation, research, and education. The Principles identified the most appropriate ways of preserving Mogao's significance and guiding its future care and development. Of particular importance at Mogao were general principles of conserving authenticity and integrity and implementation principles of minimal intervention, not changing the historic condition, and using tried and proven technologies. The Objectives stated what would be done to preserve the values, in accordance with the Goals and Principles, and are grouped under the main programmatic areas of Conservation, Use, Research and Management.

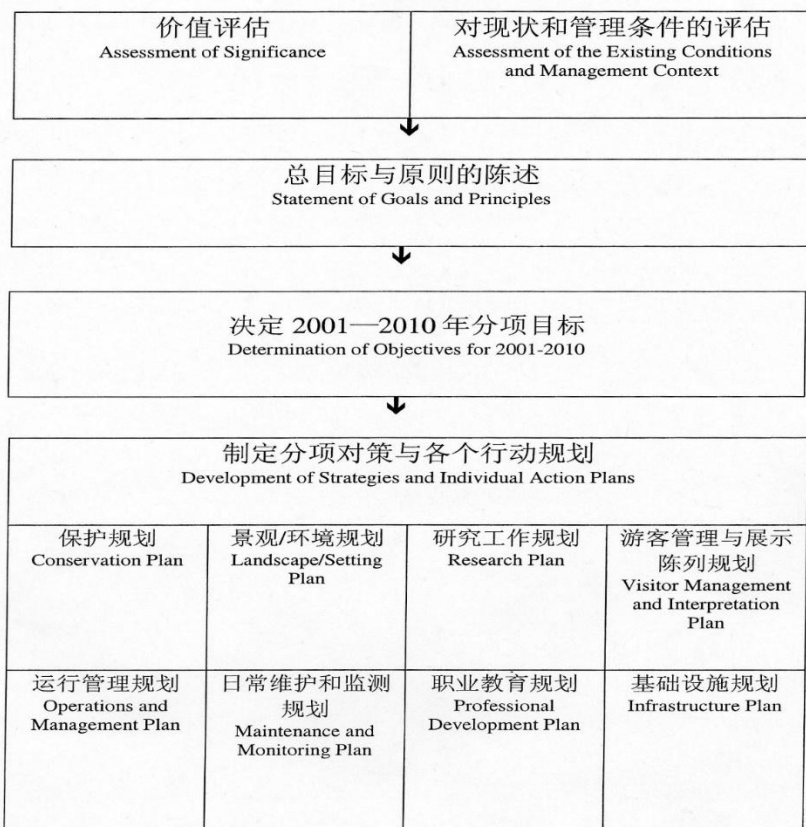
The Conservation Objectives addressed not only the grottoes, but also the setting and natural environment, the maintenance needs, and improvements in the quality of conservation work and in science and technology capabilities. The Use Objectives focused on enhancing the quality and diversity of the visitor's experience at the site, while managing the negative impacts of too many visitors. Research Objectives are considered a separate programmatic activity at Mogao because of the importance of Dunhuang Studies since the founding of the Dunhuang Academy. Management Objectives were targeted at a broad range of issues such as enhancing staff motivation and professional capacity, establishing a partnership with Lanzhou University to create a master's program in wall paintings conservation, enhancing international collaborations, developing infrastructure both for tourism and staff needs, and exploring repatriation of the contents of the Library Cave.

Implementation of the plan required the development of strategy or action sub-plans. Strategy plans are the most detailed level of planning, specifying how the objective will be achieved and establishing resources required, and time-frames and responsibilities to get the work done. Many of these detailed plans were developed later in the course of the life of the plan, but all of the plan's objectives included some degree of detail about how the objective was to be achieved.

In 2003 the DA contracted with a nationally certified planning organization (the Architectural Design Institute of China, Beijing) to finalize the Master Plan and undertake physical planning, which included condition, values (significance and integrity), geology, vegetation, setting, historic architecture, modern infrastructure, and use zones (China Academy et al. 2010).

As a certified planning organization, the Architectural Design Institute also ensured that the plan complied with the format of the newly issued regulations for master planning at national level heritage sites.

莫高窟总体规划过程
MOGAO MASTER PLANNING PROCESS



The DA and the GCI also developed a visitor impact and carrying capacity study for the control of visitors, and developed and implemented a detailed conservation methodology for one of the painted and decorated caves at Mogao, Cave 85 (Wong and Agnew, eds. 2013.)

The Mogao Visitor Impact and Carrying Capacity Study arose out of issues and needs identified as part of the master planning process. The fragile state of the caves, the increasing numbers of visitors, and hence the impending threat to both heritage values and visitor satisfaction led to a multi-year study, including the development of a research and assessment strategy, detailed analytical investigations, environmental research monitoring, deterioration monitoring and a wide range of research into visitor characteristics and behaviour. This in turn led to an assessment of the physical conditions of visited caves and the management environment, and the development of measures and strategies which would allow a quality visitor experience to the site while at the same time ensuring the protection of values (Demas, Agnew and Fan, in press, 2014.)

The Cave 85 Project, developed as an example of the Master Plan's conservation strategies was a detailed physical conservation strategy for a cave within the Mogao complex, which contains very significant paintings and sculptures, and which was threatened by a range of environmental factors. The project followed China Principles processes: research resulting in an assessment of significance, of the conservation status, and of the management environment, followed by diagnosis of physical problems, testing and development of potential physical and management solutions, and implementation, monitoring and maintenance. This

methodology was able to be used subsequently as a model for the development of solutions for other caves, including Cave 98.

The opportunity to work at the complex and well managed World Heritage Site of Mogao over a number of years to develop the China Principles in action provided a great testing ground for the methodology. The work led to the recognition and definition of the site's social values in the Master Plan, allowed a comprehensive assessment of management issues including visitor management for the first time and enabled members of the Academy to develop new approaches to a range of conservation and management issues.

Planning for the Conservation of Shuxiang Temple

At Chengde a master planning process led to work on the development of a draft Conservation and Management Master Plan for the Imperial Summer Resort and Outlying Temples. As at Mogao, a detailed analysis of visitor characteristics, needs and management issues was conducted for the first time. As part of the implementation of the Master Plan began in 2012 by the Chengde Cultural Heritage Bureau and the Hebei Cultural Heritage Bureau, work was undertaken to plan for the conservation of Shuxiang Temple in accordance with Objective 5 of the Master Plan. This objective was a deliberate departure from the traditional style of conservation at Chengde to that date. Objective 5 was to develop alternative approaches to the conservation of heritage - buildings conservation rather than the more traditional restoration - in order to preserve and reveal as far as possible the historic traces or patina of age and the original building techniques and materials used in their construction and decoration. This work resulted in a detailed plan for Shuxiang Temple aimed at achieving this objective

A two-volume Assessment Report for Shuxiang Temple was completed in 2006 (Chengde Cultural Heritage Bureau, Hebei Cultural Heritage Bureau, Getty Conservation Institute 2006). Following the China Principles methodology, these volumes covered the background to the project, description of the temple and its history of previous interventions and options for conservation and use, assessments of significance, management, visitor management and interpretation, and physical condition (including architecture and architectural elements, painted architectural surfaces, sculpture, furnishings and objects). Subsequently, in 2007 a detailed concept plan for Shuxiang Temple was developed including recommendations for emergency treatments, architecture, painted architectural surface, sculpture, furnishings and objects, ruins, landscape, site features and drainage, site infrastructure and modern interventions, exterior setting, interpretation and use and management (Chengde Cultural Heritage Bureau, Getty Conservation Institute 2007). Currently, the work is being implemented by Chengde Cultural Heritage Bureau.

Overall, the application phase of the China Principles proved very valuable, both in allowing a testing of the methodology, and in demonstrating their use for the development of a number of innovative conservation and management solutions.

Dissemination of the China Principles within China

Though the Principles were issued by ICOMOS China they were drawn up under the auspices of and were authorized by SACH. SACH also had a strong interest in promoting their dissemination, acceptance and use and the GCI and AHC, as already mentioned, participated in this process, not only through the application projects at Mogao and Chnegde, but also through training courses (at Dazu) and funding from training

through the Getty Grant Program.

China Principles and Values Based Management

Values Based Management (VBM) is a well-established approach in many heritage systems, including the World Heritage Convention. Since 1979 in Australia, this approach has been promoted by Australia ICOMOS via the use of the Burra Charter. The key characteristics of values based management could be described as follows:

A management system for heritage places in which planning, decisions and actions rest on an understanding of all the cultural heritage values. The appropriate involvement of all associated communities and stakeholders is essential for the success of this approach since this is the only means of ensuring that all the values and issues are identified and form the basis of management solutions.

Values based management typically involves the following steps:

- Identifying, and recognizing all the heritage values of the place – including not only the more traditionally recognised values-aesthetic, historic and scientific but their tangible and intangible dimensions, their contemporary or social value to the community or sections of it, their natural values and the links between and interdependence of natural and cultural values.
- Researching and assessing conservation and management issues and opportunities which have the potential to affect or enhance these values.
- Exercising problem solving skills and initiative to address the issues and utilise the opportunities, to produce policies, strategies and actions that will support the conservation of all the place's heritage values.
- Success or failure of a values based heritage management process can be measured by the extent to which the management regime facilitates the long-term conservation and presentation of all of a place's heritage values in a dynamic and integrated way.

VBM methodology is based on the Venice Charter but adds two significant elements. Social value is added to the more generally accepted suite of historic, aesthetic and scientific values. And VBM prescribes a logically sequenced process for heritage place planning which aims to identify all the values of a heritage site and to conserve them. The solution to conservation and management problems is defined as the solution which respects and conserves these values. Such solutions may include extensive community involvement, visitor management and conservation of the natural setting as well as physical conservation of the fabric.

The China Principles, as developed, included a significant codification of existing practice, and goes back to basic concepts established by Liang Sicheng 70 years ago. The Principles were also forward-looking in including many elements of values-based management which more recently has been adopted very widely. Most important, perhaps, is the explicit recognition that the assessment of significance (understanding why the site is valued and by whom) is the highest priority. Formal recognition of the importance of significance assessment prior to management decisions was potentially the most important new element of the Principles.

The Principles also recognize intangible and tangible values, and the need for consultation with all interested parties (i.e. stakeholders). They also make explicit a planning and decision-making process, which follows a

logical progression from investigation and research to assessment, and leads to the development of master plans for cultural sites that are integrated and holistic (Agnew et al 2004).

Another important innovation in the China Principles was its emphasis on management, which was not well recognised in international heritage conservation charters at that time (Sullivan, 2001). The Principles acknowledged the crucial role of maintenance and management in the long-term conservation of sites and contained a number of articles that relate to this important area. This was recognised early as an urgent need in China and the Principles went further than other VBM documents of their time in defining and prescribing the need for good general site management. Once again, this emphasis is also reflected in the application phase of the Principles.

The final version of the China Principles did not embrace the idea of social value as a new category of value, as many of the international reviewers cited below point out. Here it varied from the generally accepted tenets of values-based management. This was in part because social value was not listed in the law at the time (nor was it included in the revision of 2002). Also, there was fear that economic value (or benefit) of a site, if identified, might be used to justify inappropriate development. However, social value is mentioned in the Commentary.

International Reviews and Perspectives on the China Principles

Since the promulgation of the China Principles by ICOMOS China and the publication of the bilingual edition by the GCI, a number of international reviews of the China Principles have appeared in western journals. They attest to the interest in the Principles among professionals outside China and are themselves a means of disseminating the existence of the document abroad. The reviews often compare the China Principles with other well-known international and national charters and bring forth both the strengths and the weaknesses of the Principles in relation to current international thinking. Just because a particular comment is in a review does not make it 'correct', and there are misperceptions among some reviewers of the situation in China, but there is a consensus that emerges about certain aspects of the China Principles which are summarized at the end. Note: The Illustrated China Principles have not been translated into English and thus no reviews have appeared. The reviews are abstracted in chronological order below:

Brian Egloff reviewed the China Principles in *Principles for the Conservation of Heritage Sites in China, Historic Environment* (Australia ICOMOS, 2003, Vol. 17, No. 2, pp. 46-47).

Egloff points out that because China has a cultural heritage of such overwhelming significance with complex conservation and management challenges, there is an obvious need for a set of principles to guide conservation actions. The China Principles provide the most up-to-date and extensive heritage philosophy yet drafted according to this reviewer. Egloff states that while social and economic values are not dealt with in the Principles themselves, they are in the Commentary, and realizes that, in order to conform to China's national legislation, the Commentary was a way to introduce new concepts. He states that some of the principles go further than the Burra Charter (but does not elucidate). Other points he makes are that the recommendation of an on-site archive is important. Not having an on-site archive weakens the authority of site managers. As far as Egloff is aware, the China Principles is the only heritage charter that makes this point. Another novel idea is a review panel comprising professionals not directly involved in the

conservation process. Finally, Egloff points out that the China Principles benefited from the series of workshops (in China, Australia, and the US) during the writing process that extended over years.

Lisa Rogers, *Historic Environment* (2004, Vol. 17, Issue 3, pp. 38-43). This author does not explicitly review the China Principles, but attempts an overview of the development historically of heritage law in China and comments on threats to the heritage today. She cites the China Principles and states as follows: “Little guidance is enshrined in legislation prescribing a philosophical basis for decision making. This is increasingly provided in policy documents, such as the China Principles endorsed by ICOMOS China”. She comments further that the Cultural Relics Law of 2002 establishes the principle that “work concerning cultural relics protection shall abide by the principles of focusing on protection, taking priority in rescue, reasonable utilization, and strengthening the management”.

William Logan, *Historic Environment* (2004, Vol. 18, Issue 1, pp. 2-8). Professor Bill Logan of Deakin University reviews a number of charters, including the Burra Charter in the context of the Venice Charter, the Nara Document on Authenticity, the Hoi An Protocols, and the China Principles.

Regarding the China Principles, Logan points out that the restriction of heritage values to historic, artistic, and scientific (Article 3), compared with the Burra Charters five values (aesthetic, historic, scientific, social, and spiritual) is an important difference. He believes that this difference diminishes the ability of the China Principles to represent the heritage of minority groups, for whom significance may lie in associative meanings.

Logan cites Article 18 on relocation, where the justification is “in the face of uncontrollable natural threats, or where a major development project of national importance is undertaken”. He states that since CHINA ICOMOS is not independent of national government in the way that Australia ICOMOS is, then it is likely that decisions on heritage sites threatened by national development projects will not be a public process.

Logan believes that implementation of the China Principles will be difficult: The Chinese people are unsympathetic to the minimal intervention approach, and that Chinese, Japanese and Korean societies show little popular sympathy for the patina of time; in other words, he believes that these peoples like “well kept, clean and tidy places”. Finally, Logan states that there is a widespread lack of knowledge about the China Principles and skepticism about their applicability and implementability. In this regard he says that local level decisions, made by municipal officials, under pressure to achieve municipal goals will subvert the effectiveness of the China Principles as a heritage tool. In this context, he says the challenge for China ICOMOS is to ensure that all levels of government accept the China Principles as the way to proceed, and that site management plans translate then into practice.

The next review is by Ken Taylor. It is entitled “Cultural Heritage Management: A Possible Role for Charters and Principles in Asia” in *The International Journal of Heritage Studies* (2004, Vol. 10, No. 5, pp. 417-433). Ken Taylor is with the Humanities Research Center at the Australian National University in Canberra.

Like Logan, Taylor reviews various charters (Venice, Burra Charter, China Principles, Nara, and Hoi An). In general, his comments on the China Principles are brief, but he points out that they take the Burra Charter approach to identification and conservation of values, and merge it with the American experience to create a coherent set of guidelines for China within the framework of laws. He points out that the China Principles is a comprehensive document with a helpful glossary. He cites two words in the China Principles that express fundamental cultural heritage values: “authenticity” and “setting”, and states that it is notable that

authenticity is included in the China Principles. He infers that the use of the word “setting” includes the notion of cultural landscape, and comments that in the Burra Charter, “setting,” means area around a place, and may include visual catchment.

Taylor states that authenticity connects with the Asian approach to renewal of physical fabric, which is acceptable because significance resides primarily in its continued spiritual meaning and symbolic value, rather than the preeminence of fabric. And he cites the well-known article by Wei and Aass in this context.

The next reviewer, Jean-Louis Luxen., a former secretary-general of ICOMOS, presented the remarks below at the 2004 Second Silk Road Conference at Dunhuang. His comments have not appeared in print as yet. Luxen makes a number of pertinent points regarding the China Principles.

The first is that the China Principles are, in fact, a response to a recommendation of the 1964 Charter of Venice: “...people are becoming more and more conscious of the unity of human values, and regard ancient monuments as a common heritage... therefore, it is essential that the principles guiding the preservation and conservation of ancient buildings should be agreed and laid down on an international basis, with each country being responsible for applying them within the framework of its own culture and traditions”.

Luxen then cites the publication of the China Principles as a major event in the writing of charters and guidelines. He believes that from a formal point of view the China Principles is innovative in that it consists of two distinct and complementary parts: the text setting forth the general principles, conservation process and conservation guidelines, and second the detailed Commentary explaining the principles explicitly. This part is an original initiative that is extremely enlightening and useful.

Overall, he believes that the document is comprehensive and it can serve as a basic reference and toolbox, which all conservation professionals in China should have within reach for regular consultation. Importantly, however, he says that it requires attentive study and even systematic training, in order to acquire a full understanding and expertise in using its content.

Luxen’s other comments are generally favorable, with exceptions noted below: for example, he says that the China Principles provides a remarkable overview of current major practices in conservation at an international level, with a contribution that derives from the wealth and diversity of Chinese heritage and its long traditions of preservation and restoration. Furthermore, the CPs are in line with the major guidelines of the Charter of Venice, and the principal international conventions. He goes on to cite the major preoccupations of the last few years – authenticity, emphasis on the setting, recognition of commemorative sites, etc. He compliments the document on the decision-making process, participation of inhabitants, recognition of the heritage of ethnic groups and religions, importance of a master plan and a management plan, as required by the World Heritage Convention, risk preparedness, etc.

In terms of critique, Luxen points out the social dimension of heritage is not affirmed in the document, but only through its historic dimension, and that the social factor should be accepted as a value in its own right.

He mentions that cultural routes are not defined nor analyzed, despite the fact that China has some remarkable examples starting with the Silk Road.

Another deficiency he sees is that while urban and rural ensembles are mentioned, not enough attention is drawn to this problem, even though China is experiencing spectacular economic development that affects them directly and seriously. Finally, he sees cultural landscapes as being duly treated, but no mention of the

natural heritage, even though in many regions of the world there is a fertile relationship between culture and nature that deserves to be highlighted.

Regarding approach and implementation, Luxen says that the drawing up of the China Principles has been a top-down approach, and this is reflected in its exhaustive and rational character, but now is the time for Chinese conservation professionals, including the local level, to appropriate the principles, apply them to concrete situations, and play a role as advocates vis-à-vis public and private decision-makers. He recommends the preparation of the Illustrated China Principles wholeheartedly.

Luxen points out that the China Principles have general relevance for the entire country, that given the speed of social and economic change in China, serious dangers threaten cultural heritage, and to avoid the kind of damage that has been observed in many countries, firm measures should be taken to protect the setting around cultural properties, to respect the identity and life-style of inhabitants around heritage places.

In conclusion, Luxen's review praises the excellent overview of heritage conservation practice as a fine illustration of the fertility of exchange between different cultures (referring to the participation of the GCI and the AHC) and as an invaluable contribution to mutual understanding.

A last observation by Luxen mentions that the Principles are not restricted to Chinese heritage sites, but the heritage sites of China, which he sees as a good example of the sense of common responsibility towards the heritage of different cultures.

It is understood that Luxen has also translated the China Principles into French, and made them available at the ICOMOS congress at Xi'an in 2005.

Sharif Shams Imon in *Conservation and Management of Archaeological Sites*, (2005, Vol. 7, pp. 68-77). This reviewer, who is at the University of Hong Kong, states that the China Principles bridge the gap between legislation on the one hand, pointing out that the legislation is often too distant and abstract, and guidance for practitioners on the other hand. He states that the China Principles are a great achievement, with possibility for revision in the future, and mentions the important point of integration of master plans with local development plans.

The reviewer, however, sees areas for development: He believes that in the document, the conservation principles following after the conservation process is illogical. As in the Burra Charter, principles should be before the process, to guide the process. Likewise, in the Commentary, he sees the mention of targeted readers as being better placed within the preface. Furthermore, the depth of coverage is inconsistent across issues: for example, while the articles on intervention, significance, techniques, and materials, and reconstruction are thorough, those dealing with setting, archaeological excavation, disaster prevention, and preparedness lack depth and breadth.

This reviewer believes that the most significant weakness in the China Principles is the absence of social values, and points out that this is in almost all other conservation doctrines. The fact that it is included in the Commentary diminishes its importance.

A further area, the complicated one of historic precincts, needs development, and the four categories of interventions (regular maintenance, physical protection, and strengthening, minor restoration, major restoration) are inadequate for sustained protection of a heritage precinct.

The reviewer points out that public involvement in the conservation process is important for effective conservation practice. He states that it is not clear from the China Principles when and how this public involvement could happen, although mention of the need to consult the public, and public education as a prerequisite for support and participation as mentioned.

Donna Strahan, *Journal of American Institute for Conservation* (2005, Vol. 44, pp. 143-152). Ms. Strahan is head of conservation at the Asian Art Museum in San Francisco. Her brief review mentions the legal code in China, the 1982 law, etc. She states that the China Principles will help China provide a holistic approach to the preservation of the huge number and variety of sites. She points out that the China Principles should provide a model for other countries to develop their own principles. The reviewer mentions that the Commentary is similar to the code of ethics of the AIC, but that it does not align directly with the principles, and rather than amplifying the principles, it provides a methodology and serve for evaluating conservation work. She further states that the glossary is excellent. She mentions that the English language edition of the China Principles will be extremely useful for all who work in China in the heritage field.

Two final points made by the reviewer: a copy of the PRC law should have been included for reference; and the reviewer would be interested to know how the China Principles is being distributed, and who is responsible for seeing that they are adhered to.

Dina D'Ayala & Hui Wang, *Journal of Architectural Conservation* (2006, Vol. 12-1, pp. 53-70). This paper, relevant to Chinese architectural heritage, attempts a critical appraisal of the China Principles (as well as a comparison with the so-called "Structures Principles"). The authors state that the "China Principles integrates traditional intervention philosophy with up-to-date international concepts on conservation, and provides a practical guidance for preservation activities in China". An overview of continuous Chinese historical architectural construction, records and practice, draws attention to the great time depth to the Zhou dynasty (1046-202 BCE) through the Qing dynasty (1644 – 1911 CE). The documents all highlight the standardization and control exercised by authority on the built environment. Regular maintenance was practiced and budgeted at least since the Ming dynasty (1368 – 1644 CE). After summarizing preservation concepts and the important role of Liang Sicheng in architectural conservation in the early 20th century, the authors conclude that the China Principles is the "first professional guidance on conservation practice and... an important supplementary document for the enforcement of preservation laws!"

Dina D'Ayala & Hui Wang, *Journal of Architectural Conservation* (2006, Vol.12-2, pp. 7–26). This second paper, concerned with conservation of Chinese timber structures, emphasizes the legal requirement: "the original state cannot be changed during intervention" and highlights the attribution of "authority" and "value" to the original state. Authors point to retention of original fabric as encouraged in international charters as a consequence of predominance of masonry in the West. They comment that while a retention policy in timber buildings has been promoted through the China Principles in some cases "the integrity or retention of the original construction is more important than the fabric itself", and that "no simple reconciliation of the two positions seems to be at hand".

In conclusion the authors say "conserve as found, as far as possible" is sensible and the use of replacement or reintegration should be considered only when required by safety or the preservation of the integrity of the structure.

Fengqi Qian, *International Journal of Heritage Studies* (2007, Vol. 13:3, pp. 255-264). This author acknowledges the influence of international trends on Chinese heritage preservation and the Chinese

characteristics of the China Principles by comparing the document with the Burra Charter, but raises issues about the application of the Principles. Commenting that the Principles is the first Asian charter for professionals, regarded as consonant with the Venice and Burra Charters, the author observes that in the 1930s Liang Sicheng (a graduate of the University of Pennsylvania) essentially founded (architectural) conservation practice in China and that the essence of his approach was to “repair the old as it is”. That is to say, the China Principles’ emphasis on minimal intervention espoused by Liang aligns with both the Venice and Burra Charters. The author sees a number of political biases in the Principles: for example, subservience to the national heritage law and interrelated legislation and “focus more on the bureaucratic framework”, unlike the Burra Charter; a compromise of the principle of minimum intervention in relation to governmental priorities (economic development and government-backed projects); and reconstruction of historic monuments and sites in Beijing. Additionally, the author states “At least two key issues remain unresolved. The first is the independence of the heritage profession in China, and the second is the applicability of the China Principles”, pointing out that ICOMOS China acts as an affiliate of SACH, which reports to the Ministry of Culture.

Generally critical of the China Principles, in conclusion the author believes “the universal application of Eurocentric philosophy and approaches is problematic, but contradictorily also sees the Principles as “one of the spin-offs from the Nara Document, joined by other regional/national conservation charters such as the Hoi An Protocols and the Indonesia Charter”.

Tracey L-D Lu, *Conservation and Management of Archaeological Sites* (2008, Vol. 10-4, pp. 353-366). This author, at the Chinese University of Hong Kong, comments on the China Principles from the perspective of archaeological sites, pointing out that it is widely agreed today that archaeology as a discipline was introduced into China by Western scholars in the 1920s. The next significant events in heritage conservation occurred after China opened her doors in 1978 when the People’s Congress ratified the UNESCO Convention (1985), and SACH began to submit sites to the World Heritage List. The author sees the influence of UNESCO and other international organizations as subsequently increasing, including the collaboration with the Getty Conservation Institute and the Australian Heritage Commission to produce the China Principles, compliant with legislation in 2000. The author states that “This was the first guideline to address conservation and management of archaeological sites before, during and after excavation, instead of solely focusing on the excavation process”.

A list of five problems is presented. These are that archaeological materials and structures in the West often differ from those in China, e.g., earthen remains; furthermore, “climate and environment in China also differ”. Second, many sites have been reconstructed for tourism; third, some local governments are destroying sites for economic development. Fourth, conflict between conservation of archaeological sites, economic development, and natural resource management. Lastly, communities do not have much say in site conservation. The author is not explicit about how these problems bear on the Principles other than purported differences between China and other countries.

Hilary du Cros, *Journal of Current Chinese Affairs*, (2009, vol. 38-1, pp.73-99). In writing about cultural tourism in Macau this author touches upon the China Principles (described as “the PRC’s recent conservation code”) and states that it is “Of more relevance to Macau than mainland legislation”, but exactly how this is discerned is not made clear.

Tim Winter, *Journal of Heritage Tourism* (2009, vol. 4-2, pp.105-115). Writing about heritage and tourism

in Asia, Winter points out that regional-based charters, the Nara Declaration, China Principles, Hoi An Protocols and Seoul Declaration all attempt to develop frameworks that are in tune with “the complexities and socio-cultural specificities of the Asian region”. Winter approves of the China Principles in that the document attempts to “overcome many of the Eurocentric biases in today’s globally roaming discourse of heritage” but that many of the field’s ideas and assumptions continue to be “deployed in universalist, global ways”.

Key points that emerge from the reviews are:

- The China Principles were timely and fulfil a need for methodological guidelines within the law in China.
- They are comprehensive and thorough and align with international charters.
- In some respects they are more advanced than other charters.
- The Commentary and Glossary are innovative and valuable elements of the China Principles.
- Systematic training in the understanding and use of the China Principles is needed for widespread adoption.
- The China Principles can serve to inspire other countries to draw up their own principles.
- Areas of weakness are identified as: the absence of social value (even though discussed in the Commentary); historic urban precincts; no clear role for public involvement; no link with natural heritage.
- There is scepticism that the China Principles will realize their potential because: CHINA ICOMOS is not independent of government; the Chinese people do not accept minimal intervention; there is lack of knowledge about the Principles

Revision of the China Principles

After 10 years of practice, CHINA ICOMOS has undertaken a revision of the Principles and an enlargement of the heritage categories they cover. This revision was undertaken by a group of Chinese cultural heritage experts, with the involvement of the GCI. GCI experts took part in discussions and arranged for a study tour to the US for members of the expert panel to view a range of modern heritage sites with contemporary social value, and ongoing or adapted re-use. Sites visited included Pearl Harbor Memorial Site in Hawaii including the USS Arizona Memorial, Angel Island Immigration Station in San Francisco, the Mt Wilson Observatory Scientific Site, and the Ford Assembly Plant in San Francisco, now rehabilitated and adapted for mixed use including as an events and performance arts Centre.

The revised China Principles is now essentially completed and translation into English is well advanced. It is being undertaken by the GCI and CHINA ICOMOS and should be finalized in the near future. As with the original version, the revised translation will need to be checked thoroughly for accuracy of meaning. The Glossary, an especially valuable (and novel) component of the Principles, in that it seeks to provide

standardized and exact meaning of terms (in both Chinese and English) is yet to be updated. Likewise, the Illustrated China Principles, akin to the Illustrated Burra Charter, which provides brief, visual examples of best practice from the various categories of cultural heritage sites in China should be updated. This document will aid in dissemination, communication, and adoption of the new Principles, and in our view, together with the Articles themselves and accompanying Commentary and Glossary, comprise the fourth pillar of China Principles.

Key changes in the revised China Principles. The revision of the China Principles has not yet been promulgated and it is not appropriate to review it here in any detail, but there are a number of key additions in the revision which respond to some of the reviewers' comments and which further align the China Principles with internationally developing methodology, especially in the area of values-based management, of which the first version of the Principles was an early international example.

These changes include:

- The scope of the types of site to which the Principles apply is expanded to cover for example, modern heritage places-including industrial sites and commemorative sites and cultural landscapes and heritage routes
- Social value is clearly defined and identified as one of the major heritage values
- A greater emphasis is placed on intangible heritage and more attention is given to its conservation. Continued traditional uses and their ongoing adaptation to the needs of contemporary life are seen as elements of significance which should be conserved. The maintenance of cultural traditions, and intangible values are seen as part of a site's authenticity.
- There is more emphasis on the inclusion of relevant stakeholders in the planning process, more exposure of the draft plan to the general public, and encouragement of their involvement in its implementation. Public involvement is described as the most fundamental means of ensuring ongoing site conservation.
- The achievement of heritage conservation is identified as one of the criteria for assessing the performance of government.

Conclusion:

What about the future? The revision of the China Principles align it with more with international best practice, including VBM. Meanwhile however, VBM has itself been critiqued ,because it is said to still adhere too closely to traditional methodologies which privilege current heritage power structures and hence does not fully address the living and contemporary values of sites and their importance to the community, (See for instance Smith, L. 2006,. Waterton, et al 2006, Zanchetti,et al. 2009, Poullos,. 2010' Araoz, G.F. 2011, Baillie, 2013)

This criticism is simplistic and is not fully justified for a number of reasons . After all it was VBM which first introduced community/social values and the need for stakeholder involvement into the site conservation paradigm. (for discussion of critiques see for instance Buckley and Sullivan in press and Hall, Mackay and Sullivan in press.) However this may be there is certainly a move to reposition experts such as archaeologists, conservators and site managers as facilitators in a community-based system of heritage

planning, rather than as the final arbiters of a site's heritage values and its conservation. The role of stakeholders, especially previously neglected community stakeholder groups in the identification of values and in planning for the future of the site is seen as increasingly important (see for instance *Stepwise Heritage and Tourism* nd). Effective community empowerment and involvement, and conservation of places as part of a living heritage landscape will be an important challenge in the future implementation of the China Principles.

All things connect, as we well know. Heritage sites exist in and are part of a landscape, whether it be natural or urban, agricultural or wilderness. The values of the landscape are also those of the heritage site and these include the environment, ecology, topography, geology and geomorphology. We have seen over recent decades a steady expansion and inclusion of wider and a wider range of values within the orbit of heritage preservation from tangible to intangible, from historic cultural to contemporary societal values. Inclusiveness and interconnectivity has taken hold to the good of preservation. Yet, how often do we see cooperation across the culture-nature divide? How often do ICOMOS and IUCN collaborate or share viewpoints? Is it not time for professionals of all kinds to reach across this divide to create a true synthesis aimed at safeguarding what is valued by humanity as expressed in the UNESCO Convention's criteria, natural and cultural, for inclusion of places on the World Heritage List?

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Brief biographies of reviewers : (as of date of published article)

Brian Egloff is Associate Professor of Cultural Heritage Studies and a Member of the Cultural Heritage Research Centre at the University of Canberra. He is president of the ICOMOS International Committee for Archaeological Heritage Management (ICAHM) and is drafting ICAHM Charter Guidelines: A Theoretical Review and Applied Process.

Lisa Rogers is Project Officer – Heritage Conservation with the heritage team at Sydney Water Corporation, preparing conservation management plans for Sydney Water’s State significant heritage assets. She was previously Heritage Officer with the NSW Heritage Office and has qualifications in planning, heritage conservation and a Masters of Environmental Law (MEL) from the University of Sydney.

William Logan is Director of the Cultural Heritage Centre for Asia and the Pacific in the Faculty of Arts at Deakin University, Melbourne, where he holds the UNESCO Chair of Heritage and Urbanism. His research and publications focus on heritage and development in Asian cities, especially in Southeast Asia. He has been a consultant to UNESCO, the Australian Heritage Commission and AusAID, President of Australia ICOMOS and a member of ICOM and Planning Institute Australia.

Ken Taylor has degrees in Geography, Town Planning and Landscape Architecture and is former Professor of Landscape Architecture and Co-Director, Cultural Heritage Research Centre, University of Canberra. He has had a research interest in cultural landscapes since the mid-1980s and published on their intangible values, meanings and conservation management. His current work involves the application of this to Asia-Pacific region countries, including Australia, as the social and economic role of cultural heritage expands, and particularly through the understanding of authenticity in Asian cultures. He has been a consultant to UNESCO and the World Heritage Centre, particularly in relation to cultural landscape values.

Jean-Louis Luxen is the former secretary-general of ICOMOS. He is currently president of Culture, Heritage and Development International ASBL (CHEDI), which is based in Brussels, Belgium.

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Tim Winter was formerly in the Department of Sociology, University of Sydney, Australia.

Viewing the *China Principles* in the International Context

Guo Zhan

Vice Chairman of the International Council on Monuments and Sites

An important thing is about to happen to the cultural heritage conservation community in China – the finalization and release of the revised *Principles for the Conservation of Heritage Sites in China* (or the *China Principles*). The revised *China Principles* will exert a significant influence in the international arena.

Mr. Augusto Villalon, from the Philippines, said to me, “Congratulations on an excellent document. I have reviewed the principles and found each one, not only appropriate for heritage sites in China, but applicable for other countries and cultures as well.”

Having read the revised *China Principles* in the past two days, I feel greatly encouraged although there are indeed questions that have not been answered by the document. One of them is what the role, legal status, nature, purpose, and function of the revised *China Principles* are. Is it a set of guidelines for specialized concepts and technologies, or is it intended to be used for managing conservation? If the latter is true, how is it different from the *Law of the People’s Republic of China on Protection of Cultural Relics* (or the *Law on Protection of Cultural Relics*)? Can documents adopted by ICOMOS China assume responsibility for management? For instance, Article 47 of the *China Principles* states, “These Principles were drafted and adopted by ICOMOS China and approved for public announcement by the State Administration of Cultural Heritage. ICOMOS China shall be responsible for the interpretation of these Principles and attachments.” Assuming responsibility for management would require adding certain articles and reviewing the appropriateness of the existing wording and requirements. Other unanswered questions include: Is the structure of the entire document coherent and comprehensive? Are the articles and sub-articles logically structured? Do some parts of the text appear redundant or overly complex? Are key concepts, such as “original state,” “present state,” and “value” clearly and properly explained? Is the translation accurate and consistent with the international context so that it can be easily understood by and communicated to Chinese and non-Chinese audiences? For example, are the terms “protection” and “conservation” interpreted and used in the revised *China Principles* in the same way as in the *Operational Guidelines for the Implementation of the World Heritage Convention*?

The document can be improved in the following areas: its concepts could be better defined, elaborated, and refined, and its structure and wording could be further polished. The *China Principles* should build on its existing theories and technological guidelines and draw from the *Beijing Document* as well as the carefully prepared “*Coloured Painting Document*,” in order to be further reinforced and supplemented. Nevertheless, the revision of the *China Principles* is an achievement that deserves celebration and acclaim.

The latest version of the *China Principles* is comprised of 47 articles. Its basic concepts, principles, and overall requirements are valuable, and I believe that this revised document is worthy of support. The purpose of my presentation is to offer some suggestions on how to better understand and implement the *China Principles*.

First of all, I would like to present some suggestions for and comments on the revised *China Principles*, from outside China.

Mr. Michael Petzet, former president of ICOMOS, says,

From my point of view, the introduction of the China Principles could go more into China's laws and regulations on the protection of cultural heritage; also more into the World Heritage Convention (1972) and the UNESCO Recommendation Concerning the Protection, at National Level, of the Cultural and Natural Heritage of the same year. Finally, the introduction could dwell more on the role of ICOMOS as an advisor in all matters of monument protection and care as well as "preventive monitoring," which all ICOMOS national committees are expected to pursue. Also, a new introduction would perhaps make Paragraph 1, of the commentary "On the Significance of Principles," superfluous.

Professor Nobuo Ito, from Japan says,

I would suggest you check the consistency of meaning between the Chinese and English versions. No gap should exist between them.

Jean-Louis Luxen, former Secretary General of ICOMOS, argues,

For some time now, voices have been raised to warn against the proliferation of charters, conventions, and other doctrinal texts addressing the conservation of cultural heritage. Admittedly, they all agree that discussions among conservation professionals have made it possible to outline the major principles covering the conservation of cultural heritage. However, the large number and unequal character of these charters undermine their credibility. In particular, they are criticised for having too broad a scope, thus giving rise to various and even divergent interpretations.

Mr. Michael Brammah, from the United Kingdom says,

I always liked the Venice Charter because its brevity, but it more or less covers everything, and (particularly important) it strikes a good balance between what to do with archaeological sites and what to do with historic buildings ...

The above could be seen as contradicting Article 19 of the existing *China Principles*, but I suggest that Article 19 only need to apply to smaller sites or only to those parts of a large site, such as Liangzhu, which are actually being excavated.

Some suggestions come from Taiwan. Professor Fu Chao-Ching says,

The conservation procedure in Article 9 is divided into six steps. Perhaps monitoring, management, and maintenance could be added to make the entire procedure more complete. These three steps are integral to heritage conservation and are actually mentioned in Article 17 and 20.

The purpose of presenting suggestions and comments is to encourage discussion and communication in regards to conservation concepts between different countries and regions, and to facilitate the further interpretation, promotion, and improvement of the *China Principles*.

Next, I would like to discuss some relevant issues that seem off topic at first glance.

In the early 1990s, when I was the head of the Cultural Heritage Division, under the State Administration of Cultural Heritage, I organized meetings with colleagues around the country to discuss the definitions of “original state,” “present state,” and related policies. In the *Law on Protection of Cultural Relics*, the first and foremost concept and principle for the protection of cultural heritage is summarized in merely one sentence: “Article 21 ... In repairing, maintaining and removing immovable cultural relics, the principle of keeping the cultural relics in their original state shall be adhered to.”

But what exactly is the meaning of “original state?” The Chinese law adopted this compromising term after many unsettled debates among the older generation of cultural heritage specialists. Debates over the definitions of “original state” and “present state” have been going on for many years, with both sides supported by highly revered experts. People’s understanding of these two terms is directly related to the authenticity and integrity of cultural heritage. This issue is also discussed at length in the revised *China Principles*.

In the early 2000s, the dispute over whether to recreate the splendour of Beijing’s Forbidden City brought this fundamental issue to the attention of Chinese conservation professionals and the public. I had the opportunity to participate in the review of this unprecedented restoration project, which was already in full swing when I got involved. However, I had doubts about the necessity of such restoration as well as the degree of intervention and reasonableness. So, during the review meeting, I suggested the project be put to an “emergency halt.” But my suggestion was rejected by the officer-in-charge and drowned out by the laughter of my colleagues. The experts and good friends of mine, who adamantly supported the senior officials’ instructions to recreate the splendour of the Forbidden City, gave me a blunt reply. They told me that under no circumstances would they agree to the principle of minimum intervention. Moreover, they emphasized that the Forbidden City should be restored to its most majestic historical state. This method of restoration was only applicable to the Imperial Palace or its central axis but not to other historical sites. I was baffled and surprised, unable to understand or accept their argument. Another expert told me that an important concern in cultural heritage conservation was “the original true state” or *yuanzhenxing* (原真性) of historical sites. The “original true state” refers to the authentic condition of a historical site when it was created or when it looked the most splendid.

I realized that, although the *China Principles* had been established as an important document and cited by many people, a large number of Chinese conservation specialists did not fully comprehend the concepts and principles within it. Once more, they did not follow or implement them. I was prompted to consider the Chinese translations of a significant term: “authenticity.” At first, it was an ambiguous term to me, and then I considered that the “original true state” was a purer, more revolutionary, and more endearing translation. But I finally decided to err on the side of caution and translate it as “true state” or *zhenshixing* (真实性). There is also the Korean translation of “proper, true state” or *benzhenxing* (本真性). But, again, that translation cannot avoid the ambiguity caused by the polysemy of the Chinese characters. Does “original” or “proper” mean the condition of a historical site when it was created or looked the best, or its overall condition during the course

of history? I also reconsidered the definition of “original state” in the *Law on Protection of Cultural Relics*. I suggested that in China, except under special circumstances, the original state of a historical site should be defined by its condition at the time it is recognized and designated as a protected cultural site. My suggestion was endorsed by Mr. Xie Chensheng, who had participated in the entire process of cultural heritage legislation in China.

Direct intervention in the original condition of a historical site should only be carried out when is the site is obviously at risk or already in danger. The objective, approach, and extent of intervention should be aimed at eliminating dangerous factors or stopping deterioration. Lastly, it should be consistent with the minimum intervention principle.

Former President of the Netherlands Board of Tourism and Conventions made the most poignant remark about the Forbidden City restoration project for the. He was shocked that China, in treating the valuable Imperial Palace, had acted like an ignorant parvenu intent on making priceless, shabby-looking treasures, passed down by his ancestors, look brand new again. He concluded that China was no longer a country attractive to tourists. The Forbidden City project, along with major restoration projects for other World Heritage Sites in Beijing that were being implemented at the time, caught the attention of the World Heritage Committee. Consequently, the International Symposium on the Concepts and Practices of Conservation and Restoration of Historic Buildings in East Asia was held in 2007. Major international organizations and conservation professionals were invited to the symposium.

The symposium adopted the *Beijing Document*, which virtually reiterates the articles of the 2004 version of *China Principles* and provides further explanation based on the latest international consensus as well as the condition of heritage sites in China and other East Asian countries. This document put an end to the dispute over whether to recreate the historical splendour of historical sites and ended any similar efforts to restore the Forbidden City.

Although China’s concepts, theories, and practices of cultural heritage conservation are based on internationally agreed principles and the realities of China and East Asia, they are still controversial and have unresolved issues. Therefore, the revision of the *China Principles*, which is now almost complete, is timely. There are good reasons to be hopeful about it.

A discussion of authenticity would be impossible without touching upon “living” or dynamic heritage in addition to heritage that is still in use or evolving. The “cultural” component of cultural heritage is always changing, while the “heritage” part must be linked with a particular legacy and historical context. Heritage inevitably involves the concept and principle of authenticity. We need to discuss how authenticity is reflected and what elements, rules, patterns, objectives, and criteria it incorporates. These elements can be wildly diverse, but that does not mean authenticity does not exist or is a negligible concept. Authenticity is still a vigorously debated, controversial, and complex topic, so I will not provide a more detailed discussion of this concept at this time.

As for the historical context of the first *China Principles* and the way it was prepared, Professor Herb Stovel once said, “It is not a set of Chinese principles but a westernized document produced in a Western context.” We agreed to discuss what he considered to be a true *China Principles* at a later time to help revise the document. Unfortunately, Professor Stovel passed away before we had the opportunity to have such a

discussion. His presence is deeply missed.

Translation, especially the translation of important terms, is another issue that seems unrelated to the *China Principles* itself. But the translation of specialized terms is not simply an issue of language. It also reflects the cultural backgrounds, historical changes, ways of thinking, language uses, and social customs of different ethnic groups.

To comprehend specialized English terms, a non-English speaking person needs to first accurately understand the meanings of the specialized terms in English, and then look for appropriate words in his own language that express those exact same meanings. He should not simply use the English language to comprehend foreign terms. This process of translation is one of mutual understanding and an amalgamation of a country's reality within the international context. If we look at other countries in the Chinese character cultural sphere, we will realize that their translation of specialized terms also reflects the accuracy and depth of their understanding of those concepts.

Take the most problematic word “authenticity” for example. In Japan, the original kanji translation of the term literally means “original true state.” The Korean translation is “proper true state” while the Chinese translation prefers “true state” or “truthfulness.” China and Japan have agreed to use “true state” in order to respect the preference of Chinese professionals. As mentioned above, this has proved to be a good decision in later practices. The subtle differences between all of these translations might be difficult to understand from the point of view of an English speaker. I once discussed the original meaning of “authenticity” with Professor Jukka Jokilehto— whether it implies “initial state” or “a certain stage in the past.” He said that, from an etymological point of view, “authenticity” should be interpreted as being related to the whole process of historical evolution. But I found it extremely difficult to explain to him the exact meanings of the Chinese words for “original,” “proper,” and “authentic.”

Translations of the same English terms in different parts of China also reflect different interpretations of international concepts. The *China Principles*, which was edited by ICOMOS China, is a product of the socio-cultural environment in mainland China, where Simplified Chinese is the predominant writing system. In Taiwan, Hong Kong, and Macau scholars who are well-versed in Chinese culture are also searching for different approaches to merging Chinese practices with the international context. These different parts of China share the same language yet have distinctly different social systems as well as different ways of thinking. We should carefully compare their different interpretations of the same international concepts. In so doing, we might end up with a better and deeper understanding of those concepts, or we may even re-examine the translation of some terms in the *China Principles*. The following are some examples:

English	Taiwan	Hong Kong	Macau
monument	古蹟	紀念物	古蹟
heritage	資產	遺產	遺產
conservation	維護	維護	維護
protection	保育	保護	保護

Professor Fu Chao-Ching says,

Is it necessary to review the Chinese term *guji* (古迹, monument)? The term is increasingly inconsistent with the contemporary concept of cultural heritage conservation. More and more modern architectural sites and industrial historical sites around the world are being included in the scope of heritage conservation. It would be inappropriate to call them *guji*. In fact, scholars in Taiwan have started to discuss the appropriateness of this term and the possibility of replacing it with the term *yichan* (遗产 or heritage, as in World Heritage).

There are gaps in meaning between the Chinese and English texts of Article 19 of the *China Principles*. For example, the word “management” is included in the last sentence of the English text but not in the Chinese text. Similarly, the Chinese and English versions of Article 23 are not exactly the same.

There is a lack of consistency. The word “intervention” in the English text of Chapter 4 – both its title and content – is used to translate the Chinese word *gongcheng* (工程, project). But the same English word corresponds to *ganyu* (干预, intervention) in other articles.

Article 30 has a similar problem. The English phrase “new protective structure” corresponds to both *xinzenjia de jianzhu* (新增加的建筑, newly added structure) and *baohuxing jianzhu* (保护性建筑, protective structure). The lack of consistency could affect the idea this article advocates.

This is an issue involving language itself in addition to the story behind language. When we view the *China Principles* in the international context, the goal is to check if the two are consistent and compatible. I believe that they share the same universal values and, by embracing cultural diversity and resolving differences, they can harmoniously coexist and benefit from bringing out the best in each other. However, some Chinese specialists have a different opinion. They lament about and even criticize the introduction of international concepts and terms, arguing that the traditional Chinese system of heritage conservation is losing its way. Is that true? In my opinion, the answer is no.

In fact, to answer the question, we need to consider three issues. The first issue lies in defining the traditional Chinese system of heritage conservation. What are the concepts, quotes, figures, and historical developments that can represent this system? Does it share a common approach with the international conservation community? The second issue is the theoretical knowledge of traditional craftsmen. Finally, the third issue is the training of “craftsman-like” scholars, theoreticians, and historians.

Any discussion about Chinese conservation traditions inevitably involves the theories of Liang Sicheng, China’s cultural heritage conservation mover and shaker and a leader in Chinese architectural conservation. Many of Mr. Liang's quotes, epigrams, and witty sayings are still considered to be mottos for Chinese conservation professionals. One of Mr. Liang’s best-known works is his “Restoration and Maintenance of Architectural Heritage” (*Cultural Relics*, Vol. 7, 1964). Many points and theories in that article are still frequently cited today:

Two concepts in restoration and maintenance are mentioned in the article – “restoring old as old,” which was later changed to “repairing old as old” by conservation professionals and “restoring old to new.”

Restored structures should be “old but healthy and vigorous,” not “rejuvenated” or “youthful;” the focus

should be “transfusing blood and giving injections,” not “putting on makeup.”

Intervention measures should “seem to be non-existent but actually exist, seem to have nothing to offer but have valuable use, and seem sagely and appear slow-witted”.

A historical architectural site should be preserved together with its historic setting because “a red flower needs to be complemented by the green leaves around it.”

Aren't there striking similarities between these views and internationally agreed upon principles? If we compare Mr. Liang's article with the *Venice Charter*, which was adopted in the same year as Mr. Liang's article was published, and the principle of minimum intervention, which was later derived from the *Venice Charter*, we will notice that Mr. Liang was using the Chinese language to interpret universal conservation approaches and concepts. His emphasis on the authenticity of cultural heritage and the principle of minimum intervention paralleled the evolution of international conservation standards.

Some Chinese professionals believe that Mr. Liang proposed minimum intervention (preventing buildings from collapsing and leaking) as an expedient and temporary measure when conservation funding was scarce in China. But they paid no attention to the spirit inside Mr. Liang's proposal, the spirit of authenticity or thought about using minimum intervention as a way to preserve authenticity as much as possible. Mr. Liang later said, “This is a fundamental question involving the concept, conservation, and restoration of cultural architectural heritage.” He even reflected on his experience of participating in the restoration of some cultural historical sites in Beijing more than three decades ago. These sites may include the Shou Huang Gate in the northern part of Jingshan Park. Those projects had adopted methods to restore traditional structures to new condition. Considering the Chinese traditional cultural heritage conservation system represented by Mr. Liang, it would be inappropriate to argue that foreign concepts contradict the traditional Chinese approach and leave Chinese specialists confused.

That leads to the second issue. Traditional craftsmen and their skills are a type of priceless treasure and part of China's cultural heritage and legacy. We should pay our utmost tribute to this legacy, yet we must admit that traditional skills and techniques are not equivalent to modern science and technology, in the field of cultural heritage conservation. Traditional skills and crafts should be used for preserving and restoring the original fabrics and features of historical sites to the maximum extent feasible, as an attempt to guarantee the quality of necessary minimum intervention and safeguard the legacy of tangible and intangible cultural heritage. Craftsmen should also learn and understand modern principles for conservation.

Unfortunately, due to a lack of theoretical knowledge and the ambiguity of Chinese words, Mr. Liang's principle of “restoring old as old,” though revered as a supreme, inviolable rule, tends to be misinterpreted. The word “as” in the phrase is sometimes understood as “like” or “similar to,” and the whole principle is thus interpreted as allowing the use of fake elements to pass as genuine. This is contradictory to the intent behind the principles of authenticity and minimal intervention. A typical and distressful example is the restoration of a massive imperial hall from the Qing Dynasty. A large patch of the tiled roof was removed and broken in order to limit the leakage of rain to a very small area. The concern was to check whether the size of the new tiles was the same as that of the original ones, and whether the colour of the new tiles would “look like” that of the old ones. Another example is the Chengde Imperial Summer Mountain Resort in Hebei and the surrounding architectural complex of temples and monasteries. Many people are impressed by their authentic historical feel and beauty because the resort and temples have not been “replaced” or “restored.” In other words, they have not received excessive modern intervention.

The third issue is related to the second one. Without practical experience, theories alone cannot preserve the authenticity of cultural heritage to its maximum extent, no matter how “correct” the theories are. We must have practical experience in order to be persuasive and convincing in promoting conservation. Scholars and experts need to become “craftsmen” in that sense by acquiring skills, abilities, and experience.

The second and third issues are actually two sides of the same coin. In other words, heritage conservation is a field that requires cooperation among diverse disciplines. A heritage conservation specialist should be equipped with rigorous scientific thinking, respect and observe the principles of authenticity, integrity and minimum intervention, and understand how to use traditional skills and modern technology. He or she should be knowledgeable about architectural technology, have strong practical skills, and be able to operate complex conservation projects. He or she should not think excessively about personal interests and able to work under pressure.

These requirements may be too idealistic, and it might be difficult to find such a person. But we should work toward that; otherwise the *China Principles* would become a meticulously prepared yet useless document. To be more precise, team leaders, users of critical technology, and qualified specialists working on heritage conservation projects should be multidisciplinary professionals. They must be traditional craftsmen or engineers that are knowledgeable about conservation theories or equipped with modern engineering knowledge, or they must be heritage conservation specialists, scholars, or theoreticians armed with practical skills. They are superior to traditional or modern technicians who are only conversant with technology and theoreticians who only talk about empty concepts. Multidisciplinary professionals possess both conceptual knowledge and practical skills. They can apply correct principles, technology, and traditional craftsmanship relevant to their jobs. They perform better than engineering graduates, PhD holders, and technicians specializing in only one field. They understand philosophical concepts and have the ability to use theoretical principles in their work. They are also familiar with engineering drawing and design and able to oversee and monitor projects and solve technical issues. Moreover, they support and promote cooperation between different disciplines. Today, cultural heritage conservation increasingly calls for accuracy, so it is difficult to find competent professionals with the necessary technical knowledge and skills required in this field.

Talent is the most important element in conservation. We need to build a competent team, provide incentives, and select qualified people to join the team. We should create a system that rewards the best performers and penalizes those who fall short of required standards. We should also set up a mechanism to recruit new talent to replace dismissed and retired staff. Besides technology, other aspects of cultural heritage conservation should not be ignored, such as project organization, management, and monitoring. Cultural heritage conservation is about safeguarding the common interests of human beings by preserving the authenticity and integrity of cultural heritage and passing it down to future generations. However, conservation tends to be a secondary concern, as far as reality is concerned, that is often constrained by the short-term, local interests of the current generation. In addition, protecting cultural heritage requires sound judgment, proper understanding of authenticity and necessary intervention, control over the quality of preservation, and consistency of decisions. But in reality this process, which is often subjected to insufficient scrutiny, is not transparent, open, or easily understood by outsiders. Conservation needs to incorporate morality, professional ethics, supervision, and an accountability system.

The principles and criteria of authenticity must be integrated into the entire conservation process, from design to implementation to monitoring – related professional capacity and standards have not been established yet – and instilled into the minds of all those involved in conservation. Since perfect multidisciplinary talent is

difficult to find, it is important for all craftsmen, experts, managers, and workers from different fields to work together. This is a feasible solution. Managers and organizers should shoulder the main responsibility, while experts should become more proactive and committed as well as focus on communication.

Traditionally, Chinese craftsmen and experts worked together on conservation practices and theories. More than a decade ago, when a Chinese cultural heritage expert worked on a conservation project, he or she would always stay at the site day and night and work alongside the craftsmen and workers. Few experts worked on multiple projects at the same time or returned home at night during conservation projects.

The success of a conservation project and the preservation of a historical site's authenticity and values depend on the skills and knowledge of those involved in the project as well as the quality of their work. The quality of a restoration project can be considered "very good" if it receives a score of 70 or 80 on a scale of 0 to 100. However, every lost point means that some authenticity slipped through the fingers of those involved in the project. A score under 60 means some serious mistakes were made. We must work harder to ensure the quality of our work despite any difficulties. Any lost or damaged cultural heritage will be forever irrecoverable, and history cannot be recreated or reproduced.

Mr. Liang Sicheng once used a character in a puppet show to illustrate the philosophy of cultural heritage conservation. He said that there might be gaps between what he wanted to do and what he actually did. We dare not compare ourselves with Mr. Liang, but we should assume his responsibility and continue to integrate theory with practice when protecting cultural heritage.

Conclusion

I have not talked much about the *China Principles* itself although it is part of my topic. I know that our colleagues have done their best to contribute to its revision, drawing from their past experience and using information collected from different channels. Thus, I do not believe that there are any serious flaws in the revised *China Principles*. My only suggestion for our colleagues is to listen to various comments and opinions before supplementing and fine-tuning this document.

In my opinion, we should obtain a deeper and more accurate understanding of international concepts and principles. We should integrate universal values with cultural diversity, examine the *China Principles* in the international context, and seek to connect China with the rest of the world. The *China Principles* should be properly implemented in conservation work. Traditional craftsmen should understand conservation theories, while scholars should roll up their sleeves and learn to work like real craftsmen. We should place equal emphasis on theory and practice and pursue the perfect integration of the two. Everyone engaged in heritage conservation should follow the *China Principles* in terms of practices and professional ethics.

Much remains to be done. We should work hard to connect the past with the present and the present with the future.

Comparison of Heritage Conservation Philosophies in China and Other Countries

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ABSTRACT

This paper briefly reviews the development of Chinese philosophies of cultural heritage conservation and summarizes the features of different stages during the evolution of heritage conservation in China and other countries. It also analyses the relationship between mainstream conservation philosophies in China and other countries – today, the predominant conservation philosophy in China is exemplified by the *Principles for the Conservation of Heritage Sites in China*. The development of conservation philosophies in China has followed the same trajectory as that in other countries. In fact, some Chinese and international conservation concepts even coincide. The author believes that these similarities are derived from the shared needs of all countries and ethnic groups for heritage conservation, while differences between China's conservation philosophies as well as other countries are due to different understandings of heritage values in distinct cultures.

Keywords: cultural heritage, conservation philosophy, development, evolution, comparative studies

For the sake of this paper, the term “heritage site” is defined in the same manner as in the *Principles for the Conservation of Heritage Sites in China* (the *China Principles*): “the immovable physical remains that were created during the history of humankind and that have significance.” Also, a conservation philosophy includes the basic views and principles regarding a heritage site and how they sites should be protected.

Such philosophies are usually reflected in individual cases of conservation before gradually moving into the mainstream. Most mainstream conservation philosophies are represented by consensus documents, such as international conventions and charters, national laws, regulations, policies, and guidelines. Therefore, this paper reviews and compares mainstream conservation philosophies in China and other countries by examining international and national documents.

After discussing the evolution of conservation philosophies outside China, this paper explains the history of heritage conservation in China and compares it with that in other countries.

The emergence, development, and evolution of different conservation philosophies are always intertwined

and interactional. They do not abruptly come into being or cease existing because of a regime or historical change. This paper is structured around historical periods simply for the convenience of description. It is impossible to do justice to the diversity and complexity of conservation philosophies around the world in such a short space. Therefore, this paper only highlights the major milestones in their evolution.

1. Evolution of Conservation Philosophies outside China

The evolution of heritage conservation philosophies outside China has gone through six stages: (1) from the Classical Antiquity to the Enlightenment¹; (2) from the Enlightenment to 1830²; (3) from 1830 to the First World War; (4) in between the two World Wars; (5) from 1945 to the 1980s; and (6) from the 1980s to the present.

1.1 From the Classical Antiquity to the Enlightenment

The concepts of cultural heritage and heritage sites were not clearly defined during this period. Cultural heritage was mainly associated with the patriotism of the ruling class or the ideology of a country or ethnic group since physical remains could prove the historical legitimacy or past glory of those in power.³ It was believed that the major values of ancient buildings or infrastructure projects lay in their functionality and reuse. Theodoric the Great (493-526) ordered the municipalities under his rule “not to mourn for past glory, but to revive ancient monuments to new splendour; not to let fallen columns and useless fragments make cities look ugly, but to clean them and give them new use in his palaces.”⁴ His order reflected how people viewed the value of heritage sites and they type of conservation philosophy they held at that time. Many conservation projects were intended to protect religious buildings and preserve their functions.

1.2 From the Enlightenment to 1830

In this period, conservation philosophies made an enormous leap as people’s understanding of the ownership of cultural heritage evolved. The French Revolution transformed France from a monarchy to a democracy. Cultural heritage was no longer exclusively owned by the aristocracy and royalty of a country. Instead it was considered as a kind of wealth belonging to all of its citizens. Countries established specialized institutions and promulgated laws to protect their people’s cultural heritage.⁵ For example, France created an organization dedicated to heritage conservation and compiled a list of its own heritage sites.⁶ Finally, most of today’s conservation systems are modelled after the system created in France.

¹ The Classical Antiquity refers to the period of ancient Greece and Rome. The Enlightenment was “the cultural movement that occurred between the early 18th century and the 1789 French Revolution. It witnessed the development of many new ideas, such as rationalism, and shaped various fields of studies, including natural science, philosophy, ethics, political science, economics, history, literature, and education.” <http://baike.baidu.com/view/2052.htm>. Accessed on June 6, 2014.

² The French Revolution (1789-1830) refers to when the French monarchy was overthrown and a democratic regime was established. <http://baike.baidu.com/view/7189.htm>. Accessed on June 6, 2014.

³ Kristainsen 1989, Smith 2004.

⁴ Translated into Chinese by Guo Zhan 2011.

⁵ Ibid.

⁶ Ibid.

This change later provided a political and legal basis for the public to engage in cultural heritage conservation and share the benefits it may bring.

1.3 From 1830 to the First World War

During this period, a variety of conservation philosophies emerged in Europe. Europeans had already gained a radically new understanding of the value of historical sites and, more broadly, history itself when the Renaissance had dethroned medieval religion. Now they believed that history was an academic subject and heritage sites were physical evidence for the reconstruction and re-examination of history. Thus, heritage sites were valued not only for their functionality but research use. Since any change to a heritage site could change the reconstruction of history, conservation practices changed accordingly. The traditional, function-based philosophy of heritage conservation was challenged, and a debate on heritage site protection was ignited and reached its climax during the second half of the 19th century.

In the mid to late 19th century, Europe rapidly progressed in culture, science, and technology after a series of cultural movements, including the Renaissance, the Enlightenment, the Industrial Revolution, and the spread of democracy. Technological advances led to the expansion of colonies, and industrialized production while colonization provided sufficient funding for the conservation of historical European sites. Europeans made unprecedented efforts to protect these sites and vigorously debated which philosophy should be used to guide heritage conservation.

Stylistic restoration was an influential conservation philosophy in this period. It was developed by a Frenchman named Eugène-Emmanuel Viollet-le-Duc (1814-1879) and others. Stylistic restoration refers to the means in which a heritage site should be restored according to its style during its greatest time. It was widely embraced by many countries, including the UK, Italy, Germany, and Austria, because it was virtually a continuation of the traditional function-based philosophy.⁷ In this period, British conservation philosophies included the stylistic restoration and faithful (or conservative) restoration of George Gilbert Scott (1811-1878), the preservation (anti-restoration movement) of John Ruskin (1819-1900) and William Morris (1834-1896), and the eclectic restoration of Edward Augustus Freeman (1823-1892). Freeman believed that buildings, with valuable functions, should be restored as well as those lacking practical use ought to be preserved.⁸ In Italy, Camillo Boito (1836-1914) advocated philological restoration, comparing heritage sites to historical records of human activity. In his opinion, any change to a heritage site could be misleading.⁹ Meanwhile, the Gothic revival movement in Germany sought to restore churches in a purely Gothic style.¹⁰

The 6th International Congress of Architects adopted the *Recommendations of the Madrid Conference* and divided monuments into two classes: living and non-living. According to the document, living monuments, defined as monuments in use, should have their functions restored while non-living monuments, i.e. relics and archaeological sites, should be preserved in their existing state. The release of the *Recommendations of the Madrid Conference* marked the first consensus among different conservation philosophies around the

⁷ Translated into Chinese by Guo Zhan 2011.

⁸ Mason & Shacklock 1995.

⁹ Translated into Chinese by Guo Zhan 2011.

¹⁰ Ibid.

world and ended the fifty plus year debate. Moreover, it influenced two later documents: the *Athens Charter* of 1931 and the *International Charter for the Conservation and Restoration of Monuments and Sites* (the *Venice Charter*) of 1964. The result of the debate indicated that the forms and materials of heritage sites, in addition to their functions, started to be recognized as an integral part of heritage conservation.

1.4 Between the Two World Wars

This period was characterized by the protection of historical sites during the post-war rebuilding efforts. Having been severely damaged in the First World War, historical European sites were again endangered by post-war reconstruction. In order to address that issue, the 1st International Congress of Architects and Technicians of Historic Monuments met in Athens and approved the *Athens Charter*. The *Athens Charter* includes seven main resolutions and seven general conclusions. Most noteworthy is the fact that it was the first ever document to mention the protection of the settings of heritage sites. The *Athens Charter* states that new buildings built around ancient monuments should respect their surroundings.¹¹ It also states that each case of conservation is open to a different solution and new materials should be distinguishable from original ones.

1.5 From 1945 to the 1980s

This period had three major features: the internationalization of heritage conservation, the global acceptance of the principles in the *Venice Charter*, and the emergence of value-based conservation.

(1) Internationalization of heritage conservation

The Second World War inflicted unprecedented damage on heritage sites, and the threat from post-war reconstruction was equally dangerous. Between 1945 and 1995, on average, England lost one heritage site every day.¹² In response, some international organizations were established to mobilize resources and launch conservation projects around the world, including the United Nations Educational, Scientific and Cultural Organization (UNESCO, founded in 1945), the International Council of Museums (ICOM, founded in 1946), the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM, founded in 1959), and the International Council on Monuments and Sites (ICOMOS, founded in 1965). A number of international conservation projects were undertaken around the world, and the most well-known projects included the salvage of the Abu Simbel temples, which was at risk of being inundated by Egypt's Aswan Dam, the cultural heritage sites in flooded Venice, and the archaeological ruins in Mohenjo-Daro, Pakistan. Those projects were coordinated and carried by international organizations. As a result, UNESCO adopted the *Convention Concerning the Protection of World Cultural and Natural Heritage* in 1972, which is also known as the *World Heritage Convention*. These international efforts not only facilitated the exchange of conservation technology but promoted conservation philosophies internationally and paved the way for countries to embrace the ideas advocated by the *World Heritage Convention*.

¹¹ Athens Charter 1931. "The Conference recommended that, during the construction of buildings, the character and external aspect of the cities in which they are to be erected should be respected, especially in the neighbourhood of ancient monuments, where the surroundings should be given special consideration."

¹² Chamberlin 1979.

(2) Global acceptance of the *Venice Charter*

In 1964, the 2nd International Congress of Architects and Technicians of Historic Monuments met in Venice and adopted the well-known *Venice Charter* to provide guidelines for heritage conservation. Many ideas proposed in the *Venice Charter* are still valuable today, such as the principle of authenticity, the protection of the setting of a heritage site, and the importance of passing down cultural heritage. Yet the *Venice Charter* was mainly adopted to solve the problems associated with the conservation of monuments themselves. Its static view of conservation suggests that the value of heritage sites is internal and inherent. With the *Venice Charter* as its mission statement, ICOMOS promoted conservation around the world. Many countries and regions created their own conservation guidelines that were modelled after the *Venice Charter* and were adapted to their own realities, for example, the *Norms of Quito* (adopted by the Organization of American States in 1967), the *Burra Charter* (adopted by ICOMOS Australia in 1979), the *Charter for the Preservation of Quebec's Heritage*, the *Charter for the Protection and Enhancement of the Built Environment* (adopted by ICOMOS Canada in 1982 and 1983 respectively; the latter is also known as the *Appleton Charter*), and the *Declaration of Tlaxcala* (adopted by ICOMOS Mexico in 1982).

(3) Emergence of value-based conservation

After the Second World War, extensive construction and rapid globalization, industrialization, and urbanization presented many challenges and prompted people to reflect upon the significance of cultural heritage as a whole, in contemporary society. Thus, people gained a radically new understanding of two fundamental attributes of cultural heritage: the scope of cultural heritage's value enlarged, and it was realized that value was not inherent or constant but recognized by people, making it changeable. This new understanding of cultural heritage contributed to the formation of value-based conservation philosophy.

The expansion of the scope of heritage values was exemplified by the UNESCO document adopted in 1962 – *Recommendation Concerning the Safeguarding of the Beauty and Character of Landscapes and Sites*. This recommendation states that landscapes not only have artistic, cultural, and scientific values, bear witness to the past, and shelter wild animals and plants but provide physical, moral, and spiritual regeneration – and are thus critical to human health and happiness. In many countries, landscapes are even important elements in economic and social life.¹³

A large number of international, regional, and national documents released in the 1960s and 1970s identified of the values associated with heritage sites, arguing that historical value should not be limited to the historical, the artistic, or the scientific. According to these documents, heritage sites represent different cultures, lifestyles, religions, and social activities, and can help people recover their individual and national identities as globalization diminishes cultural diversity and individuality. These documents say that heritage sites prompt people to learn about their shared history as well as the future of human beings. Furthermore, they establish links between the past and modern life, and offer a sense of security in the midst of rapid changes;¹⁴ heritage sites help to create an appropriate and inspiring living environment in which human health and happiness depends.¹⁵ These documents also state that heritage sites are not only a source of national pride but

¹³ UNESCO 1962.

¹⁴ ICOMOS 1967, UNESCO 1968, COE 1975a, COE 1975b, UNESCO 1976, ICOMOS & IFLA 1981.

¹⁵ UNESCO 1968, COE 1975b.

contribute to establishing mutual understanding, friendly rapport, and spiritual communication between countries that disagree over politics.¹⁶ In this respect, heritage sites are beneficial to social balance as well as social interaction, integration, and cohesion.¹⁷ Additionally, heritage sites are not only conducive to human happiness, communication, relaxation, and education but also economic growth – a source of wealth creation and harmonious development.¹⁸ These documents represent a wider variety of heritage values than traditional historical, artistic, and scientific ones.

Moreover, the understanding of the nature of heritage values also evolved. People used to believe the value of heritage sites were fixated in their materials and forms – the amount of historical information they could provide (materials), the way they could inspire design and artistic creation (forms), and their function and use (value of practical use) – regardless of individual or institutional evaluators' views. However, as the scope of heritage values was enlarged, people realized that value was constantly changing and, more importantly, because of humans' influence, other values such as spiritual, emotional, religious, social, etc. existed. The values of a heritage site may vary from person to person, and the same person may see different values in a site at different times. Therefore, value is not absolute or fixed but relative and changing; it's related to individuals or institutional evaluators.¹⁹

As people's understanding of heritage values changed, they also understood that the traditional conservation methodology that focused on the forms and materials of heritage sites was inadequate, and proper conservation methodology based on the comprehensive assessment of value would be needed. Thus came into being the value-based conservation philosophy. It was believed that, since value is related to humans, the comprehensive assessment of value and the development of science-based conservation policy would require the involvement of stakeholders. In 1975, the European Council adopted the *European Charter of the Architectural Heritage* or the *Amsterdam Charter*, which recognized, for the first time in history, the right of the public to engage in conservation decision-making.²⁰ The involvement of stakeholders thus became an international consensus. The *Burra Charter*, adopted by ICOMOS Australia in 1979, proposed value-based decision-making as a conservation procedure requirement.

1.6 From the 1980s to the Present

This period has three main features: the emphasis put on the role of cultural heritage during sustainable development, the advancement of the World Heritage cause, and the prevalence of conservation planning.

(1) Emphasis on the role of cultural heritage during sustainable development

In the 1980s, the concept of sustainable development was widely embraced by the international community. *Our Common Future*, which was passed during the 42nd session of the United Nations General Assembly,

¹⁶ ICOMOS 1967, UNESCO 1968.

¹⁷ COE 1975b.

¹⁸ ICOMOS 1967, UNESCO 1968, UNESCO 1972, COE 1975b, ICOMOS & IFLA 1981.

¹⁹ See Lipe 1984, Lowenthal 1985, Pearson & Sullivan 1995, Cleere 1996, Titchen 1996, Feilden & Jokilehto 1998, Avrami et al 2000, Kerr 2000, Mason 2002, Clark 2006.

²⁰ COE 1975b.

established the principle of intergenerational equity, which states that the current generation should not exclusively own cultural heritage, deprive future generations of cultural heritage, or undermine their right and opportunity to use this development resource. The *Declaration on Sustainable Development* (1989) of the United Nations Environment Programme and the *Universal Declaration on Cultural Diversity* (2001) and the *Convention for the Safeguarding of the Intangible Heritage* (2003) of UNESCO state that cultural heritage should contribute to sustainable development. ICOMOS chose “Heritage, driver of development” as the theme of its 2011 general assembly and passed the *Paris Declaration on Heritage as a Driver of Development*. These documents provided a theoretical basis for heritage conservation and laid down principles for the appropriate use of heritage sites.

(2) Advancement of the World Heritage cause

Although the *World Heritage Convention* has only existed for less than half a century, it has been ratified by 191 countries, making it the most inclusive UNESCO convention. As of June 27, 2014, there were 1,007 World Heritage Sites in the world: 779 cultural, heritage sites, 197 natural sites, and 31 mixed sites. New categories of heritage sites, such as cultural landscapes, historic routes, and historic canals, have been widely recognized.²¹ The annually updated *Operational Guidelines for the Implementation of the World Heritage Convention* incorporates the latest international conservation philosophies and practices while Periodic Reporting reveals the common problems associated with the conservation and management of different World Heritage Sites and enables more targeted conservation efforts. In addition, four sets of guidelines have been published to assist countries in the nomination, conservation, and management of World Heritage Sites.²²

The value-based conservation philosophy is embodied by World Heritage Sites since all requirements for its conservation and management revolve around their universal value.

Since World Heritage Sites have universal value to human beings, most countries consider them their most important cultural resources, and the nomination, conservation, and management of these sites tend to attract considerable attention. Therefore, the advancement of the World Heritage cause has been profoundly shaping the evolution of conservation philosophies. Countries with World Heritage Sites determine their value through comparative analysis, protect their authenticity and integrity, and pay attention to their routine management and monitoring. These ideas and practices provide valuable experience for the conservation of other types of heritage sites in those countries.

(3) Prevalence of conservation planning

Conservation planning has become a widely adopted practice in many countries. Governments encourage the development and implementation of conservation plans through laws,²³ regulations,²⁴ policies and guidelines, public financial support,²⁵ and other types of funding.²⁶ International organizations also use different

²¹ Whc.unesco.org/list. Accessed June 27, 2014.

²² They are *Managing Disaster Risks for World Heritage* (June 2010), *Preparing World Heritage Nominations* (second edition, November 2011), *Managing Natural World Heritage* (June 2012), and *Managing Cultural World Heritage* (November 2013).

²³ E.g. National Parks of Canada. Parks Canada 2003, Cameron 2006.

²⁴ E.g. US National Parks. Pochter 1986, NPS 1998a, NPS 1998b, NPS 1998c, NPS 2001.

²⁵ In Australia, historical sites, with conservation plans, will take priority when governmental conservation funds are allocated: James 1996. In China, projects included in the conservation plans of officially protected sites enjoy a similar priority.

approaches to promote conservation planning.²⁷ Many universities, research institutes, and non-governmental organizations offer conservation planning courses or training programs on.²⁸

The prevalence of conservation planning is the result and embodiment of the value-based conservation philosophy. The process of conservation planning entails a comprehensive assessment of the value of a heritage site. Finally, all follow-up strategies and measures are designed and implemented to protect value.

1.7 Summary

The development of conservation philosophies outside of China progressed through three phases: the preservation and maintenance of function, the protection of form and material, and the conservation of value.

2. Evolution of Conservation Philosophies in China

The evolution of conservation philosophies in China can be divided into five stages: (1) before 1912; (2) from 1912 to 1949; (3) from 1949 to 1979; (4) from 1980 to 2000; and (5) from 2000 to the present.

2.1 Before 1912

During this period, the conservation of heritage sites mainly focused on royal mausoleums, sites of sacrifice and worship (either located in well-known mountains or along major rivers or designated for eminent historical figures), civil engineering projects built by the state, religious sites, and cultural landscapes. The predominant conservation philosophy was to maintain the normal functions of heritage sites through different means, such as replacing broken, rotten, or dysfunctional components, repainting decorated architectural surfaces, restoring functions, and making heritage sites look new again. Royal families used national resources for conservation in order to consolidate their power. By contrast, social elites sought to protect monuments as a cultural activity, and ordinary people mainly engaged in conservation for religious and spiritual reasons.

The *Tang Code*, which was promulgated in 653 by the Tang Dynasty, was the first written law in East and South Asia and the first criminal law in China.²⁹ According to the *Tang Code*, damaging a royal mausoleum was considered the second gravest crime, following conspiring against the state: “The second major crime is plotting high treason, which means damaging ancestral temples, ‘great mountains’, and royal palaces.”³⁰ The

²⁶ Between 1994 and 2004, the Heritage Lottery Fund in the United Kingdom provided £620,000 for 28 heritage sites in London to develop conservation plans. HLF 2005.

²⁷ The World Heritage Committee encourages countries to include conservation plans in their nomination applications: WHC 2013. The World Bank requires conservation plans in its funding programs: World Bank 1986. The Getty Conservation Institute offers financial support for the development of conservation plans and requires conservation plans to be included in grant proposals: GF 2006.

²⁸ Conservation planning is an important component in ICCROM’s training program on the management of World Heritage Sites.

²⁹

<http://baike.baidu.com/view/58711.htm?fromtitle=%E6%B0%B8%E5%BE%BD%E5%BE%8B%E7%96%8F&fromid=4653831&ty pe=syn>. Accessed on June 5, 2014.

³⁰ See the *Tang Code*: “Royal mausoleums are called great mountains because ancient emperors and kings were buried in mountains. An example is the resting place of the Yellow Emperor, which is located on Qiao Mountain. Some people say that the term ‘great

emperors of the Ming Dynasty required local governments to provide basic necessities for custodians of the royal mausoleum.³¹ Lastly, the *Ming Code* listed the punishments for damaging the royal mausoleum.³²

In ancient China, it was believed that “the most important concerns of a state are sacrifice and warfare.”³³ Throughout the Chinese dynasties, sacrifice and worship sites were built in renowned mountains, along major rivers, or at the birthplaces and burial sites of revered sages and scholars. While the repair of these important sites was financed by the state, the public was responsible for providing most of the funds required for the maintenance of ordinary religious sites. When a Chinese citizen made a wish in a temple, he would promise to renovate the temple or the statue of a deity, such as Buddha, enshrined there in return. Once his wish was fulfilled, he would donate money on improvement of the temple and statue. Thus, the buildings and decorations in the temple complex would look new again.

The conservation of cultural landscapes was part of the cultural life of royal families and social elites. The first decree to protect a cultural landscape in the world was issued by Emperor Xuanzong of Tang in 748.³⁴ It prohibited fishing and logging in the Jiuqu Stream, located in the Wuyi Mountains of Fujian. Only religious buildings were allowed to be built in that area. Even today, the conservation of the Wuyi Mountains follows similar rules, which is why the mountains have been inscribed on the World Heritage List as a mixed site. The West Lake of Hangzhou was protected and managed by social elites for around 2,000 years, as the spiritual home of the Chinese literati. Besides, the Slender West Lake of Yangzhou is a unique cultural landscape created after local scholars and wealthy businesspeople built private gardens along the Baozhang River.³⁵ As in the Picturesque Movement in the West, cultural landscapes in China were appreciated, managed, and transformed according to the aesthetic standards of social elites as part of their spiritual pursuits.

The Grand Canal, the Dujiangyan Irrigation System, and other civil engineering projects were mainly financed and protected by the government, ensuring their normal function..³⁶

mountains’ came into being because imperial mausoleums are as great as towering mountains.”

³¹ See *Records of the Ming Xiaoling Mausoleum*: “Every year, the Board of Revenue of Nanjing and Yingtian Prefecture provided the Directorate of the Xiaoling Mausoleum with 60 *dan* of polished fine round-grained rice, 66 *dan* of half-polished round-grained rice, 500 *dan* of unpolished round-grained rice, 50 *dan* of sesame, 300 *dan* of soybeans, 50 *dan* of mung beans, 40 *dan* of long-grained rice, 600 *dan* of unhusked rice, 60 *dan* of wheat, 10,000 bags of straw, and 3,000 *jin* of salt.”

³² “Any person that damages the royal mausoleum shall be punished for high treason. His body shall be slowly sliced to death, whether he is a principal or accessory to the crime concerned. Anyone that is the perpetrator’s paternal grandfather, father, son, grandson, brother, or nephew and is over 16 years old shall be beheaded. His young child or children, mother, wife, and concubine or concubines shall become servants or maids of government officials. Any person that steals any tool, curtain, jade object, piece of silk, livestock, piece of dishware, or other object used in any major sacrificial ceremony held by the emperor shall be deemed as having committed the crime of great disrespect and shall thus be beheaded. Both the above offenses are among the ten gravest crimes for which no pardon shall be granted. Any person that steals any tree from the royal burial site shall be beaten with a club and sent into penal servitude. He may be beheaded if his violation is serious. Any person that collects any earth or stone, builds any kiln to make pottery, uses fire to clear land, kills any of the deer belonging to the royal burial site, or commits any other offense within 20 *li* from the external walls of the site shall be beaten with a club, pilloried, or transported to a distant place for penal servitude. Any person that trespasses on the royal mausoleum shall be beaten with 100 strokes.”

³³ Zuozhuan.

³⁴ WHC 2009.

³⁵ Yangzhou Municipal People’s Government 2012.

³⁶ State Administration of Cultural Heritage 2013: Section 2B of the *Documents on the Nomination of the Grand Canal of China as a World Heritage Site* lists the repair projects implemented for different sections of the Grand Canal in history. Ministry of Construction 2000: *The Documents on the Nomination of Mount Qingcheng and the Dujiangyan Irrigation System as a World Heritage Site* lists the detailed information about how governments of different dynasties financed the routine maintenance of the site to ensure that it could function normally.

After the First Opium War in 1840, colonization began in China, with many historical relics leaving its borders. The Chinese public became aware of the importance of heritage conservation and initiated many efforts to protect historical relics.³⁷ China's modern conservation philosophies were still in their infancy during this period.

2.2 From 1912 to 1949

Rudimentary conservation philosophies appeared in China, and foreign conservation philosophies started to be introduced into the country as well.

The year 1912 marked the end of imperial Chinese society and the birth of a democracy. In 1931, the Republic of China promulgated the *Law on the Protection of Historical Relics* and established a conservation committee whose main responsibility was to prevent historical relics from leaving China. But as a full-blown war with Japan broke out in 1937, the cash-strapped committee dissolved, leading to falling apart of the fledgling Chinese conservation system.

A large number of young people who had left China to study abroad in the late Qing Dynasty returned to China, eager to contribute their knowledge and skills to their homeland. They brought back with them new ideas from other countries. Among these young people was a prestigious figure in the field of cultural heritage conservation – Liang Sicheng (1901-1972). He returned to China from the United States in 1928, founded the Department of Architecture at the North-eastern University and Tsinghua University, and joined the Society for Research in Chinese Architecture. Liang's conservation philosophy is explained in his 1935 work, *Architecture of the Temple of Confucius in Qufu and Its Repair Plan*: “In the past, rebuilding efforts were solely intended to restore the splendour and sturdiness of dilapidated temples. Removing old structures and building new ones was considered one of the greatest achievements or virtues. But we have a different mission today. We have the responsibility to preserve or restore ancient monuments from different ages ... Unlike ancient people, we should seek to lengthen the lifespan of existing structures as much as possible.”³⁸ In this paragraph, Liang reviews the past conservation philosophy and explains a new one. And that new idea would later serve as the basis for China's modern conservation philosophies.

2.3 From 1949 to 1979

China established a national system for the protection of cultural relics and began to conduct “rescue protection” in the process of economic reconstruction and agricultural production. Its conservation philosophy mainly involve preserving the existing conditions of heritage sites.

The People's Republic of China (PRC) was founded on October 1, 1949. In its early days, the New China carried out extensive economic reconstruction and land reform, which made the salvage of cultural heritage an urgent priority. Ten months following the founding of the PRC, the central government issued five directives³⁹ to prohibit the export of valuable cultural relics and books, to protect heritage sites, valuable

³⁷ E.g. Local people in Dunhuang launched a project to protect the historical relics in the Mogao Grottoes.

³⁸ Liang Sicheng 1935.

³⁹ They are the *Directive on the Interim Measures for the Prohibition of Export of Valuable Cultural Relics and Books* (May 24, 1950) of the Government Administration Council of the Central People's Government, the *Directive on the Protection Measures for*

cultural relics, books, rare animals and plants, historical monuments and buildings, to collect revolutionary relics, and to order land reform cadres to learn about laws and regulations on cultural relics. The release of those directives demonstrated the government's concern and determination for heritage conservation.

In fact, some of the concepts incorporated in the directives were ahead of the curve, compared with conservation philosophies in other countries at that time:

- For the first time in China, a policy proposed the definition and scope of cultural heritage: “All scenic spots of historical significance and all cultural books and relics detailing the revolution, history, and art that are hidden underground in different places in China are the cultural heritage of our nation.” The term “scenic spots of historical significance” is equivalent to the current notion of cultural landscape.
- Natural heritage, such as the traces, remains, and fossils of ancient animals and plants, was listed as a category of heritage, and, in the directives, rare animals and plants were juxtaposed with valuable cultural relics.
- The “lower bound” of the conservation time frame was extended: “[Heritage conservation] should revolve around the New Democratic Revolution after the May Fourth Movement and incorporate the historical records of the Opium War, the Taiping Heavenly Kingdom Movement, the 1911 Revolution, and other revolutions and movements that took place during those periods.” Compared with many countries in today's world, China adopted a longer time frame for determining what constituted cultural heritage.

Although these concepts are similar to many contemporary ones, China did not yet have a systematic view of conservation.

On May 7, 1951, the Ministry of Culture and Ministry of Internal Affairs of the central government released the Rules on the Division of Powers and Responsibilities for the Management of Scenic Spots of Historical Significance and the Management Measures for the Protection of Local Scenic Spots of Historical Significance, which marked the establishment of the governmental system of cultural heritage conservation. Provinces and cities set up Cultural Relics Management Committees within their own local governments in order to protect and manage historical buildings, archaeological sites, and revolutionary sites as well as to collect valuable cultural books, relics, and revolutionary relics from around the country.

As the whole country carried out extensive reconstruction, some cultural relics and monuments were damaged. Therefore, the central government issued the *Instructions on the Protection of Historical and Revolutionary Relics in Basic Construction Projects* and the *Notice on the Protection of Cultural Relics in Agricultural Production* in 1953 and 1956 respectively. These two documents include some noteworthy points:

Monuments, Valuable Cultural Relics, Books, and Rare Animals and Plants and on the Interim Measures for the Investigation and Excavation of Archaeological Sites and Ancient Tombs (May 24, 1950) of the Central People's Government, the *Directive on the Collection of Revolutionary Relics* (June 16, 1950) of the Government Administration Council of the Central People's Government, the *Instructions on the Protection of Historical Monuments and Buildings* (July 6, 1950) of the Government Administration Council of the Central People's Government, and the *Notice on the Use of Relevant Laws and Regulations on Cultural Relics as Reference Materials in the Training of Land Reform Cadres* (August 1, 1950) of the General Office of the Ministry of Culture of the Central People's Government.

- Provincial governments were required to publish lists of important, well-known cultural relics and monuments, put up official plaques to protect them, and file the lists with the Ministry of Culture. The lists should then be submitted to the State Council, which would decide whether to place the cultural relics and monuments on the central government's protection list. That paved the way for the release of the First National List of Major Officially Protected Sites.
- According to the two documents, various public education campaigns should be launched to raise people's awareness of cultural heritage and common conservation techniques (similar to today's capacity building measures), and mass conservation activities should be conducted (similar to the current concept of public or community participation).
- The documents also say that natural heritage should be protected, which reflects a balanced view of cultural and natural heritage.

The year 1961 was a very important year for China's cultural heritage conservation because the State Council issued the *Instructions of the State Council on Enhancing the Protection and Management of Cultural Relics* (or the *Instructions*), the *Interim Regulation on the Protection and Management of Cultural Relics*, and the First National List of Major Officially Protected Sites (including 180 sites). They established the basic principles for the conservation and management of Chinese cultural heritage and improved the national conservation and management system for cultural relics.

The following lists important points in the *Instructions*:

- China's revolutionary and historical relics are "valuable heritage of the progressive cultures of human beings." The *Instructions* was the first Chinese policy to consider cultural heritage as the wealth of human beings.
- Cultural relics have "historical, artistic, and scientific values." This classification of value has been in use up until today.
- The purpose of protecting cultural relics is "to promote scientific research and cultural construction and conduct public education," (i.e. heritage conservation should benefit contemporary society).
- The principle for conservation is "to protect the original condition of heritage sites and avoid damage ... instead of demolishing or significantly changing the sites or their surroundings." China intended to protect, not only heritage sites themselves, but their settings.
- "Providing proper protection for cultural relics is the common responsibility of all departments concerned." This principle is similar to the current stakeholder consultation mechanism.

The *Interim Regulation on the Protection and Management of Cultural Relics* served as the foundation for and predecessor of the *Law of the People's Republic China on Protection of Cultural Relics* (or the *Law on Protection of Cultural Relics*). The regulation, comprised of 18 articles, addresses the following issues:

- All cultural relics in China shall be protected by the state, and underground remains belong to the state.
- Physical remains are what the state shall protect.
- Officially protected sites should be made known to the public.

- Four legal prerequisites: demarcation of the boundaries, erection of an official plaque declaring a site a protected entity, creation of record archive, and designation of an organization or person dedicated to management.
- Conservation should be integrated into urban planning.
- Efforts should be made to balance conservation needs and stakeholder interests in construction projects. Prior to any construction work, the construction site must be searched for any underground historical relic.
- The principle for repair and maintenance is to restore the original condition or maintain the present condition. Also, the principle for use is to avoid changing the original condition.
- The export of important cultural relics is prohibited.

In 1963, the Ministry of Culture issued two important documents. One of them was the *Interim Measures for the Protection and Management of Officially Protected Sites*. It required all officially protected sites to develop conservation plans that would be included in urban or rural construction plans, in order to resolve the conflict between conservation and economic development and to better leverage the benefits of cultural relics. The importance of conservation planning, especially the use of planning to coordinate conservation and development, was largely unknown to the rest of the world. The other document was the *Interim Management Measures for the Repair and Maintenance of Revolutionary Buildings, Historical Buildings, Ancient Buildings, and Grotto Temples*. According to the document, a general principle for such repair and maintenance work is to preserve the present condition or restore the original condition. In the document, repair and maintenance work is divided into three categories, i.e. routine maintenance, emergency reinforcement, and important repair and restoration. Regarding the second category, the document says, “This type of work is intended to reinforce a structure and lengthen its lifespan, but should not affect any thorough repair and restoration to be conducted in the future.” This basically means that “rescued” heritage sites should be able to receive further treatment later. The document also mentions the importance of keeping an archive of restoration records.

In 1966, the Cultural Revolution started, halting conservation in China. After the transition period following the end of the Cultural Revolution in 1976, China began to implement a reform and opening up policy in 1979. Thus, China’s heritage conservation entered a stage of rapid development.

2.4 From 1980 to 2000

This period was characterized by four features: the establishment of a legal framework for conservation, a national discussion on heritage conservation, China’s involvement in international cooperation, and the release of the first edition of the *Principles for the Conservation of Heritage Sites in China* (the *China Principles*), which marked the convergence of conservation philosophies inside and outside China.

(1) Establishment of a legal conservation framework

In 1982, the Standing Committee of the 5th National People’s Congress promulgated the *Law on Protection of Cultural Relics*, which initiated the establishment of a legal conservation framework in China. In the same year, the State Council issued the *Notice on the Approval and Release of the Request of the National*

Construction Commission and Other Government Departments for the Protection of Historically and Culturally Famous Cities in China and the *Notice on the Approval and Release of the Request of the Ministry of Urban-rural Development and Environmental Protection and Other Government Departments for the Review of the First National List of Major Scenic Spots in China*. The State Council also published the First List of Historically and Culturally Famous Cities in China in addition to the First National List of Major Scenic Spots in China. Thus, the scope of China's heritage conservation was expanded to include, not only single structures, but groups of buildings as well as historic cities, villages, and towns. Furthermore, not only heritage sites themselves but their settings, and not only historical relics and monuments but cultural landscapes were included in heritage conservation. In this way, China developed a relatively comprehensive conservation philosophy.

(2) National discussion on heritage conservation

China built many new buildings during this period, and their damage to heritage sites drew more public attention than ever.⁴⁰ Within the Chinese conservation community, opinions were divided over what "original condition" meant, how principles for conservation should be implemented, and other issues. These controversies sparked a national discussion on conservation principles. The discussion went on for almost ten years before the State Council proposed a set of guidelines for heritage conservation in 1992: to focus on conservation, to give priority to "rescue protection," to appropriately using heritage sites, and to enhance management. The guidelines ended the debate and were codified into the revised *Law on Protection of Cultural Relics* in 2002.

(3) Involvement in international cooperation

After China started to implement its reform and opening up policy in 1979, it became increasingly involved in international collaboration. Some milestones during this period include China's ratification of the *World Heritage Convention* in 1985 and the inscription of the first six Chinese sites on the World Heritage List in 1987. China collaborated with the Getty Conservation Institute (GCI) on conservation projects for the Yungang Grottoes and the Mogao Grottoes (started in 1989), and China collaborated with the GCI and the Australian Heritage Commission to develop the *China Principles* (started in 1998). International cooperation paved the way for the convergence of conservation philosophies inside and outside of China.

(4) Development of the first edition of the *China Principles*

The *China Principles* was the first set of systematic guidelines of heritage conservation principles. It not only settled some long-standing controversies, such as the meaning of "original condition," but introduced the concept of conservation procedure. According to the *China Principles*, scientific procedures should be followed to ensure the comprehensive protection of heritage values. The release of the *China Principles* marked the convergence of conservation philosophies inside and outside of China.

⁴⁰ The State Council issued the *Notice on the Approval and Release of the Request of the State Bureau of Cultural Relics and the National Basic Construction Committee for Enhancing the Protection and Management of Historical Buildings, Cultural Relics, and Monuments* in 1980. The document discusses the damage inflicted by the new buildings built after the Cultural Revolution on heritage sites and criticizes the replacement of traditional structures with new ones and the tendency of excessive construction.

2.5 From 2000 to the Present

During this period, China's conservation efforts have six major characteristics: the emergence of new categories of heritage sites, progress in World Heritage protection, more active involvement in international cooperation, more emphasis on cultural tradition, benefit sharing and public interest, efforts to tackle tourism challenges, and the revision of the *China Principles*.

(1) Identification of new categories of heritage sites

In order to address the issue of protecting new categories of cultural heritage, the State Administration of Cultural Heritage (SACH) and ICOMOS China have been working with the Wuxi Municipal Government to hold the annual Wuxi Forum since 2006. Every year, experts and scholars, from China and abroad, are invited to discuss the conservation and management of new categories of cultural heritage. So far, seven types of cultural heritage have been discussed: industrial heritage, vernacular heritage, 20th century heritage, cultural routes, cultural landscapes, historic canals, and World Heritage Sites. A document entitled the *Wuxi Initiative* or the *Wuxi Declaration* is implemented at every Wuxi Forum to provide guidance for the conservation of new types of cultural heritage.

(2) Progress in World Heritage protection

The 38th session of the World Heritage Committee just ended, and 28 years have passed since the first Chinese sites were inscribed on the World Heritage List in 1987. Now China has 33 cultural World Heritage Sites, 10 natural ones, and 4 mixed ones. There are also 47 heritage sites on China's Tentative List.⁴¹ Moreover, the nomination of mega-sites, such as the Grand Canal and the Silk Road, the updating of the Tentative List, the completion of the second cycle of the Periodic Reporting exercise, the preparation of retrospective Statements of Outstanding Universal Value, and ICOMOS China's various training programs on World Heritage Sites have raised the Chinese people's awareness of the concept, conservation, and management of World Heritage Sites. In addition to all of this, the protection of other types of sites in China was shaped.

(3) More active involvement in international cooperation

China has hosted the 28th session of the World Heritage Committee (2004), the 15th General Assembly of ICOMOS (2005), the International Seminar on Conservation of Painted Surfaces on Wooden Structures in East Asia (2008), and ICOMOS Advisory Committee and Scientific Council meetings (2012). ICOMOS China has organized international seminars with the central government and local governments. Seminars have included Land and Water: Perception of the Beauty of Landscapes, the Forum on Royal Gardens and Urban Development, and the Seminar on the Conservation and Management of Serial Heritage. Members of ICOMOS China also hold ICOMOS and ICCROM positions and participate in World Heritage Sites consultation as experts for written evaluations. Additionally, they participate in field visits as members of the World Heritage working group of ICOMOS. China received international acclaim when it assisted Cambodia and Mongolia with the Angkor Wat and Bogda Khan Palace projects, respectively.

⁴¹ whc.unesco.org/list. Retrieved on August 27, 2014.

(4) More emphasis on cultural traditions, benefit sharing, and public interest

In April 2013, the SACH decided that the theme for that year's Wuxi Forum would be "Conservation and Use of Cultural Heritage – Balance in Development." It was an unusual decision due to each of the previous Wuxi Forums focusing on a particular new type of heritage and mainly discussed conservation. The 2013 Wuxi Forum discussed appropriate use of cultural heritage and made it a driving force for social development. In June 2013, distinguished scholars from Hong Kong, Macau, Taiwan, and mainland China attended the Seminar on the Reuse of Architectural Heritage in Mainland China, Taiwan, Hong Kong, and Macau, which was organized by the SACH and local cultural heritage authorities in those three regions. They discussed theories and practices for revitalizing or reusing architectural history. Moreover, the conservation of cultural traditions as well as the public benefits of conservation were important forum topics regarding heritage parks and many were related academic seminars. In 2013, the central government issued a directive prohibiting the establishment of private clubs at heritage sites and parks and opened such spaces to the public in order to preserve heritage sites for the public.⁴²

(5) Efforts to tackle tourism challenges

According to the China National Tourism Administration (CNTA), 2.957 billion Chinese people travelled within China during 2012, which generated 2.27 trillion Yuan in revenue. In the same year, 132 million foreign tourists visited China, and that brought about a US\$48.5 billion increase in China's foreign exchange income. It was predicted that 3.25 billion Chinese people would travel within China in 2013 and domestic tourism revenue would rise to 2.55 trillion Yuan accordingly. It was also estimated that tourism would account for more than 4% of China's GDP and create 76 million jobs directly or indirectly related to tourism.⁴³

In order to address the challenges created by the rapidly growing tourism industry to heritage conservation, the State Council released the *Opinions on Improving the Conservation of Cultural Relics in Tourism and Other Development and Construction Activities* in 2012, and the SACH and the CNTA jointly issued the *Notice on the Implementation of the Opinions on Improving the Conservation of Cultural Relics in Tourism and Other Development and Construction Activities* in February 2013. In May 2013, the Dunhuang Research Academy, the Getty Conservation Institute (GCI), and ICOMOS China co-organized the International Seminar on Visitor Carrying Capacity Research and Tourism Management of China's World Heritage Sites to discuss the purpose of visitor carrying capacity and management of visitors at heritage sites. On October 1, 2013, the *Tourism Law of the People's Republic of China* came into force. Article 45 of the law says, "It [a scenic spot] shall make public its maximum capacity as approved by the tourism authority, develop and implement a tourist flow control plan, and control the number of tourists in ways such as ticket reservation." It was perhaps the first law in the world to codify rules on the visitor carrying capacity of heritage sites.

(6) Revision of the *China Principles*

The revision of the *China Principles* started in 2009. It was the continuation of China's previous

⁴² Ministry of Housing and Urban-rural Development 2013.

⁴³ <http://www.cnta.gov.cn/html/tjy/index.html>. Retrieved on May 31, 2014.

collaboration with the GCI. Yet the project was mainly led by Chinese experts and based on China's own conservation experience. After five years of discussion and consultation, experts decided to add new heritage categories into the *China Principles*: the conservation of cultural and social values, the principles of authenticity and integrity, and a chapter on appropriate use. The revised *China Principles* can help to resolve most of the problems related to China's current conservation efforts, and it has placed China at the forefront of international conservation philosophies.

2.6 Summary

The development of China's conservation philosophies has followed the same trajectory as that in other countries: from the preservation and maintenance of functions, to the protection of forms and materials, and to the conservation of values.

3. Conclusion

1. Despite the similar trajectory, China has undergone a process that differs from other countries, in terms of conservation philosophies.

China lagged behind other countries in terms of conservation philosophies before the imperial Chinese society collapsed in 1912. The 1930s, saw the initial inception of foreign conservation philosophies into China, but, because of war, effective conservation was not carried out. After the PRC was founded in 1949, the guiding principle in China's conservation work was to preserve the original condition of heritage sites, but some conservation concepts were ahead of their time in China. Specifically, the concept of cultural landscape, the determination of the "lower bound" of the conservation time frame, the development of conservation plans for officially protected sites, the mechanism of multi-department conservation, and the practice of involving the public in conservation. Between the late 1960s and the 1970s, the Cultural Revolution suspended China's conservation efforts. However, the 1980s witnessed China start to pull alongside the rest of the world. The 2000s saw the convergence of conservation philosophies inside and outside of China. Currently, with the release of the revised *China Principles*, China has moved to the forefront of international conservation philosophies.

2. Conservation philosophies are determined by the understanding of heritage values.

The history of conservation philosophies in China and other countries shows that they are always related to people's understanding of heritage values. A debate over conservation philosophies essentially involves prioritizing the many values of heritage sites. Therefore, conservation philosophies are determined by the understanding of heritage value.

3. The evolution of conservation philosophies inside and outside of China has gone through the following stages:

In terms of conservation methodology, heritage conservation first focused on function, then on form and material, and finally on value. In terms of conservation participants, heritage conservation used to rely on royal families and social elites but later saw more public participation. Meanwhile, conservation concepts have also evolved: static conservation was gradually replaced by dynamic conservation, i.e. the management of change, and then by the sustainable use of heritage sites. Moreover, it was heritage sites themselves that

were initially protected, but the scope of conservation was later enlarged to include the protection of their settings and even intangible heritage such as traditional cultures.

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The relationship between national and international guidance: the English example

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ABSTRACT

In 2014, the 14th anniversary of the "China Principles" as well as the 50th anniversary of the Venice Charter or the 20th anniversary of the Nara Document on Authenticity are important opportunities to measure progress in the field of cultural heritage conservation. Often the measure of that progress is expressed in terms of ideas and concepts, and how the original texts, many of which came out of European discussions amongst archaeologists, architects and art historians, have broadened to connect with other disciplines and cultural contexts. This describe a much richer landscape of intellectual references to support the conservation of cultural heritage sites, structures or areas like cities or landscapes.

Yet, in 2014, that effervescence, enhanced in many places by a consultancy market to produce guidelines locally, nationally or thematically, is an opportunity to reflect on the nature of coming needs, in particular in the context of a new understanding of what heritage and its conservation are about. The purpose and players in international cooperation are changing. So is the conceptual basis which shifted from a vision of conservation as a cultural and scientific praxis towards a more abstract concept of "management". Also, the conservation ecosystem transforms to include economic players as well as communities in a renewed vision of heritage as part of development.

This calls for a reflection on what fundamentally defines - and unifies - the field of conservation. Taking a prospective view based on local, national and international experiences in Montréal, in Canada and through ICOMOS, this paper will examine the relevance, risks and need for reinventing charters, principles and other guiding documents in the current age of communications and rapid transformation of the physical, social and cultural landscape of the human habitat.

Introduction

National and international policy and practice on heritage has changed through time and will continue to change in the future. Such change reflects changing perceptions of heritage within society as well as among heritage professionals. It also reflects wider concerns and preoccupations within society and among decision makers. In Europe, for example, since 2007 there has been great preoccupation with the need for sustainable economic growth which has on occasion had an impact on conservation practice and on the services which oversee it.

As the world has become more globalised, national policy and practice on heritage has increasingly reflected what is being done in other parts of the world by other nations, sometimes mediated through formal government and non-government organisations, and sometimes through less formal channels. The Nara Document on Authenticity is an example of the former approach. It was developed internationally and has been formally endorsed by the UNESCO World Heritage Committee and incorporated into the Operational Guidelines for the World Heritage Convention (UNESCO 2013, Annex 4). The very influential Burra Charter on the other hand was written to deal with specific issues of heritage management in Australia (ICOMOS Australia 2013). Knowledge of it, and its consequent influence in many countries, has spread largely through professional networks and informal connections, and even through the movement of particular professionals from one part of the world to another.

Whatever policies and practices are adopted nationally for the management of the historic environment also reflect general philosophies of government, legislation and administration in each country. International practice and advice will be adopted, if at all, through a lens of how that country, generally, runs things. It is possible, too, that some conservation approaches work best within certain types of legal system. This is perhaps demonstrated by the Getty Conservation Institute case studies on values-led management in practice (Getty 2005). The four countries selected for the case studies (Australia, Canada, United Kingdom, United States) all have a common-law tradition deriving from English practice and this could be argued not to be a coincidence. Certainly the way in which conservation philosophy is implemented in each country will follow the normal administrative patterns of the state concerned. Examples of this are the devolved systems in many federal countries or the very directive approaches prior to 1990 in the countries of Eastern Europe.

Alongside this contextual situation it is important to remember that over time there have been general changes in the perception of what constitutes heritage. Two major trends can be seen over the last 50 to 100 years.

Firstly, recognition of what constitutes heritage has broadened and deepened. 100 years ago, or even 50 years ago, industrial heritage was not considered to be heritage, let alone significant. The same could be said about vernacular architecture and current interest in it represents a move away from preoccupation with the heritage of the elite, religion and of fortification, towards recognition of the heritage of the common man.

Another linked example is the growing recognition over the last two hundred years of the need to memorialise all those who died in wars, not just the generals. Two hundred years, the dead from the Battle of Waterloo ended up as fertiliser and a source of false teeth for the living. By one hundred years ago, it was recognised that all the dead should be commemorated and a notable feature of the battlefields of World War I is the careful commemoration of all dead of all nationalities, whether combatant or auxiliary (Fig. 1). Such memorialisation is now common practice.

The second major trend is one of scale. In most systems, conservation began with individual buildings or archaeological sites. There has been a general recognition that perceptions need to be much wider and that individual heritage places need to be seen within their wider context and that those wider areas themselves can have significance as landscapes or townscapes. One of the major developments of the last 20 years has been the recognition of landscape as heritage in its own right. Landscapes can be rural and picturesque. They can also be industrial and anything but picturesque.

Together these two trends mean that almost anything can be heritage of one sort or another. This brings the heritage manager into much more contact with the needs and concerns of society as a whole since much which is now regarded as heritage remains in every-day use. Many more decisions have to be made about what is so important that it has to be preserved and what can be adapted for new uses or even replaced altogether. Heritage in this way becomes part of everyday existence. Heritage management becomes a matter of choices between alternatives and of the handling of change.

These factors are now broadly applicable across most of the world and will affect the way in which heritage is managed in individual countries over and beyond any specific obligations through adherence to international conventions or other agreements. Examining how this has happened in particular countries can reflect insights back into the international scene and trends in conservation.

This paper examines the development of heritage management in one country and looks at the interaction between national and international practice. That country is England rather than the United Kingdom because each of the four parts has its own system. These are very similar to each other, but this paper focuses specifically on development of heritage protection in England.

Heritage Protection in England

Broadly there are two approaches to conservation in England. The first is the designation of specific assets with the consequent need to get consent for works to the asset before carrying them out. The second is through the general spatial planning system which allows local authorities, responsible for the development of spatial plans to set out policies for the protection of the historic environment, whether designated or not. The two approaches overlap since many of the consent systems are operated through the spatial planning system. In addition to these systems which are primarily about regulation, there are a number of sources of funding which are discussed further below.

Players

Two government departments are primarily involved with the management of heritage. The Department for Culture, Media and Sport (DCMS) has responsibility for heritage and funds and sponsors English Heritage. DCMS is responsible for designation of most heritage assets and for some consents. The Department for Communities and Local Government (CLG) is responsible for spatial planning and sets overall policies in this area. Other government departments can also be involved as owners of heritage assets. The Ministry of Defence, for example, owns a large numbers of historic buildings while their training areas include large numbers of archaeological sites.

The Department of Environment, Food and Rural Affairs (DEFRA) controls funds from the European Union

Common Agricultural Policy which can be used for agri-environmental schemes which can include the protection of archaeological sites in rural areas. DEFRA is also responsible for natural designations such as National Parks and Areas of Outstanding Natural Beauty which have cultural heritage aspects (see further below). Its advisor on natural heritage and the countryside is Natural England, a body similar in its official status to English Heritage. Natural England and English Heritage work closely together.

The government's principal advisor on the historic environment is the Historic Buildings and Monuments Commission, commonly known as English Heritage. It is what is known as a non-departmental public body, established by the 1983 National Heritage Act. Run by a body of Commissioners headed by a Chairman, it is not part of a government ministry. This gives it a degree of independence and it was created in 1984 to provide an independent voice to give official advice on the historic environment. It provides advice to national and local government as well as to private owners of historic places. It can provide limited financial assistance in some cases (currently £21 million annually), and carries out a range of research functions. It also manages more than 400 historic properties ranging from prehistoric standing stones through to a 20th century nuclear bunker. Much of its funding comes from government but it also retains the surplus from the operation of its properties.

English Heritage was initially formed out of the Directorate of Ancient Monuments and Historic Buildings, itself the amalgamation of parts of two government ministries, one of which, the Ministry (formerly Office) of Works had managed the government's historic buildings for centuries as part of the government estate (Thurley 1913). Since 1984 it has been merged with the Royal Commission of Historical Monuments for England which primarily carried out research and record functions, and also the Historic Buildings Division of the former Greater London Council. English Heritage therefore has a wide and varied range of functions. It is to be divided in 2015 into two bodies. One, a charity retaining the name English Heritage, will be responsible for managing the more-than-400 properties in its care under license from the Historic Buildings and Monuments Commission. The second, the remaining part of the Commission, working under the name of Historic England, will retain the advisory and grant-aid functions.

The final major official heritage body is the Heritage Lottery Fund which distributes funds raised through the UK National Lottery. The proceeds of the National Lottery, once prizes, administrative costs and government taxation have been taken into account, are divided between five good causes, one of which is heritage. A non-departmental body set up by Act of Parliament in 1994, the Heritage Lottery Fund's income in 2013/14 was over £300 million, most of which was distributed as grant aid to support various forms of heritage, cultural and natural.

Public opinion surveys show consistently high levels of interest in heritage from the English public at large. The UK has a vibrant culture of voluntary participation in heritage activities with many NGO's of various sizes and roles. The umbrella body for them is the Heritage Alliance, established in 2002. Its principal roles are advocacy and the influencing of decision makers inside government and the private sector. The biggest NGO involved with conservation is the National Trust, a charity with 3.7 million members, which owns more than 350 historic buildings, gardens and ancient monuments along with large areas of countryside to ensure their conservation.

As must be clear from the above account of the principal players involved in the protection of heritage, the system has evolved through time rather than been designed and introduced as a deliberate action at one time. To some extent it reflects the policies and objectives of successive governments over many decades, such as,

for example, the desire to reduce the number of civil servants by placing activities previously carried out by government outside government departments, and the perennial need to reduce government expenditure and to find other sources of income to support the conservation of heritage. The system of heritage protection administered and delivered by these bodies is also one that has developed over time through accretion and evolution.

Designation

Designation of heritage places to ensure their protection was introduced by the 1882 Ancient Monuments Act to which was attached a schedule of archaeological sites to be protected by the Act. The Act covered only prehistoric archaeological sites. Owners of a scheduled monument had to give notice to the Office of Works if they intended to carry out works to it. They could also, if they wished and if the government agreed, place scheduled monuments in the care of the state, either by outright gift or by making the government the guardian of the site. Guardianship preserved the Victorian shibboleth of private ownership while transferring actual control and responsibility for management to the government. A substantial proportion of the properties now managed by English Heritage on behalf of the government are in guardianship rather than owned outright by the state (Fig.2).

That original Act has been supplemented and amended several times to reach the current state of protection available for designated archaeological sites. Gradually the concept of ancient monuments has been extended from those of prehistory to any archaeological site up to the present day, including industrial heritage (Fig. 3). The 1913 Ancient Monuments Act introduced compulsory preservation orders through which the government could prevent inappropriate works of which it had been give notice. This was at the cost of compensation to the owner. The Act also made it easier for the Office of Works (then the responsible government department) to take ancient monuments into care.

The 1931 Ancient Monuments Act introduced the first area protection scheme. This was a response to the threat to quarry stone close to Hadrian's Wall (Fig.4). The Hadrian's Wall and Vallum Protection Scheme was finally completed in 1943 and protected not just the scheduled ancient monument but also its setting, giving a degree of control over developments close to the designated site (Leach, Whitworth 1911, 18 – 60 *passim* and Appendices 1 and 2). However, this was the only protection scheme ever introduced, presumably because of the complexity and cost of the process – it had been necessary to compensate the owner of the potential quarry for the loss of his commercial opportunity. Preservation orders, while more common, were also used sparingly, principally on cost grounds.

Until the 1979 Ancient Monuments and Archaeological Areas Act became law, therefore, the principal power available for the protection of scheduled ancient monuments was the need for the owner of one to give three months notice of intention to carry out works. The only responses available to the Ministry of Works (from 1970 the Department of the Environment) was to negotiate with the owner not to carry out or to modify the works, or, in extreme cases, to impose a preservation order or even to take the monument compulsorily into state guardianship, which again required compensation of the owner. This was not a satisfactory position, and the 1979 Ancient Monuments and Archaeological Areas Act introduced for the first time a consent procedure. Since then, the owner of an ancient monument has to apply to the Secretary of State for Culture, Media and Sport for scheduled monument consent to carry out works. The minister then decides whether or not to grant consent, which can be done conditionally, having sought the advice of English Heritage. This

brought ancient monuments into line with the system already applied to historic buildings, and placed their protection on a more satisfactory footing.

There are now about 20,000 scheduled ancient monuments in England. During 2012/13 (the last full year for which figures have been published) 987 decisions on scheduled monument consent applications were made. In most cases, consent was granted, often with attached conditions (English Heritage 2014, 30-33). Scheduling by law can only be applied to sites or buildings which are not occupied. Monuments are scheduled by the Secretary of State for Culture, Media and Sport and the preparatory work for scheduling is carried out by English Heritage, who take the lead in this process.

Protection for buildings in use was only introduced when the concept of listed buildings was included in the Town and Country Planning Acts of 1944 and 1947. Listing can be applied to all buildings more than thirty years old if they are of sufficient architectural or historical interest. There are now just over 374,000 entries on the list of historic buildings in three grades, I, II* and II. These represent more than that number of buildings since some list entries cover more than one structure. Grade I buildings are of exceptional interest, sometimes considered to be internationally important; only 2.5% of listed buildings are Grade I. Grade II* buildings are particularly important buildings of more than special interest; 5.5% of listed buildings are Grade II*. Grade II buildings are nationally important and of special interest; 92% of all listed buildings are in this class and it is the most likely grade of listing for a home owner. It is also possible for local authorities to develop local lists of buildings of local significance.

Buildings and structures proposed for listing are assessed to define their significance with the greatest care. Many old buildings and indeed recent buildings are interesting, but listing identifies only those which are of national 'special interest'. All buildings built before 1700 which survive in anything like their original condition are listed, as are most of those built between 1700 and 1840. The criteria become tighter with time, so that buildings built within the last 30 years have to be exceptionally important to be listed, and under threat too. A building has to be over 10 years old to be eligible for listing.

The two criteria for judging national 'special interest' are architectural interest and historic interest. Buildings of architectural interest are nationally important for the interest of their architectural design, decoration and craftsmanship; the definition also includes important examples of particular building types and techniques. Historic interest includes buildings which illustrate important aspects of the nation's social, economic, cultural or military history or have close historical association with nationally important people or events. Group value, especially where buildings are part of an important architectural or historic group or are a fine example of planning (such as squares, terraces and model villages) can also be a criterion for listing. English Heritage examines each proposal for listing and makes a recommendation to the Secretary of State for Culture, Media and Sport who actually makes the decision. DCMS have published *Principles of Selection for Listing Buildings* (DCMS 2010).

While the Secretary of State makes decisions on adding buildings to the List, he does not decide whether or not consent should be granted for alterations. That is the role of the local authorities. An owner wishing to make changes has to apply to his local authority for consent to carry out the work. If a national decision is necessary, that is taken by the Department for Communities and Local Government, which is responsible generally for spatial planning, not by DCMS.

Both scheduling and listing deal with individual or groups of buildings or archaeological sites. The importance of landscape and areas as historic environment came later in 1967 with the Civic Amenities Act

which created the concept of Conservation Areas. The importance of landscape with regard to heritage had in fact been recognised earlier in the development of National Parks and Areas of Outstanding Natural Beauty from 1951 following the passing of the National Parks and Access to the Countryside Act in 1949. While this is essentially legislation to protect natural heritage and natural beauty, UK National Parks are not like those of the USA. They all have populations, sometimes including towns, most land in them is privately owned, and they are used for various forms of agriculture, notably pastoralism. From the outset, therefore, there was recognition of their role in protecting the cultural heritage which gives them a large part of their character.

Conservation Areas added an area-based designation specifically related to cultural heritage. Introduced in response to public pressure for the protection of historic parts of towns and villages, they are designated for their historic and architectural interest. Owners and occupiers in Conservation Areas will need consent from their local authority to carry out certain changes and alterations to their property. There are now over 9,000 Conservation Areas in England.

Two further designations were introduced by English Heritage. These are non-statutory in that they are not backed by statute but planning authorities must have regard to them in deciding on planning applications and in developing spatial plans. The first is the Register of Parks and Gardens. Introduced in 1983, English Heritage places on the Register historic parks and gardens ranging from great parklands through to small gardens and London squares (Fig.5). There are now over 1600 entries on the Register which are graded at I, II* and II (English Heritage 2010). There is a similar register for battlefields which now has 43 entries. Again this is not a statutory designation but one that has to be taken into account by local authorities in making planning decisions.

Finally, England has, in whole or in part, 18 of the UK's 28 World Heritage properties. These are obviously inscribed by the UNESCO World Heritage Committee. They are recognised as designations of the highest importance and protected under the various systems outlined above. Relevant policies in their Management Plans have to be taken into account by local authorities in making spatial plans and taking decisions on planning applications.

Spatial Planning

For many years the key spatial planning document has been the Local Plan or its equivalent (the terminology used has changed frequently). As now structured, each local authority has to produce a spatial plan for its area. This sets out policies for development and allocates areas of land for different purposes. Once agreed, the plan should guide the local authority in how it makes decisions on planning applications for specific developments. The vast majority of planning decisions are taken locally. There is a special procedure managed by the government for major infrastructure projects when the decision is eventually taken by the Minister. There are also processes by which the Department for Communities and Local Government can 'call in' contentious cases for the Secretary of State's decision following a Public Inquiry held by the Planning Inspectorate. Disappointed applicants can also appeal against a local authority refusal of a planning application which leads to a public inquiry by a Planning Inspector who will either make the decision or make a recommendation to the Secretary of State for him to take the decision.

All Local Plans should contain policies for the protection and sustainable use of the historic environment.

These should cover not just designated assets but also other assets such as non-scheduled archaeological sites. All local authorities and developers should also have access to a local Historic Environment Record (HER) which provides the basic information necessary for decision-taking and the development of policy. Local authorities should also have access to specialist conservation staff and archaeologists, either on their own staff or provided in other ways, to advise them on heritage issues. Consents can be issued with conditions which require particular things to be done. For development sites with archaeological potential, the developer can be required to have carried out, and pay for, appropriate investigations as agreed with the local authority archaeologist.

Overall, the designation and spatial planning systems are complex because they have developed over time through a process of accretion and amendment. Attempts to reform the heritage protection system have so far failed because no government in the last 20 years has been prepared to give sufficient parliamentary time for the necessary legislation.

Guidance

The systems described above provide the basic structure for effective spatial planning and the protection of the historic environment. A sense of direction is provided by government guidance, and, for heritage, also by English Heritage. Over the years governments have issued large quantities of guidance documents. The current UK government decided in 2010 that the sheer quantity of guidance was confusing and off-putting to those who had to use it. They have therefore rationalised several thousand pages of guidance into two much shorter documents, the National Planning Policy Framework (NPPF) (CLG 2012), and Planning Practice Guidance (PPG) (CLG 2014).

The NPPF sets out policies while the PPG gives more practical advice on how to implement them in practice. The focus of the policy is the furtherance and support of sustainable development. In line with the Rio Declaration, sustainable development is defined as having three roles – economic, social and environmental. The last should contribute to protecting and enhancing our natural, built and historic environment.

The National Planning Policy Framework summarises previous guidance on the historic environment with an increased emphasis on the need to protect significance. Local authorities are advised to include a positive strategy for the historic environment in their Local Plans, recognising that heritage assets are an irreplaceable resource and aiming to conserve them in a manner appropriate to their significance (para 126).

Assessment of significance of a heritage asset is seen as a key element in coming to a decision on whether or not to permit a development. When considering the impact of a proposed development on the significance of a designated heritage asset, great weight should be given to the asset's conservation. The more important the asset, the greater the weight should be (para 130). Substantial harm to heritage assets of the highest significance, including World Heritage properties, should be wholly exceptional. In such cases, consent should be refused unless it can be demonstrated that the substantial harm or loss is necessary to achieve substantial public benefits that outweigh that harm or loss (para 133). Where a development proposal will lead to less than substantial harm to the significance of a designated heritage asset, this harm should be weighed against the public benefits of the proposal, including securing its optimum viable use (para 134). The Planning Practice Guidance contains more practical advice. Generally, the Guidance continues the emphasis on the need to manage the historic environment within the

planning system to protect significance.

English Heritage's basic approach to conservation of the historic environment is outlined in English Heritage's *Conservation Principles, Policies and Guidance for the sustainable management of the historic environment* (English Heritage 2008). This was developed primarily as guidance for English Heritage's own staff and to make clear to those with whom English Heritage works the principles on which its advice was based.

Central to the document is an emphasis on the management of the historic environment in general to protect significance. *Conservation Principles* set out six principles for the sustainable management of the historic environment, as a self-contained text under six headlines:

- 1) The historic environment is a shared resource
- 2) Everyone should be able to participate in sustaining the historic environment
- 3) Understanding the significance of places is vital
- 4) Significant places should be managed to sustain their values
- 5) Decisions about change must be reasonable, transparent and consistent
- 6) Recording and learning from decisions is essential

Key to this approach is the definition and understanding of the significance of historic places, and using that significance as the basis for their management. Conservation is defined as the process of managing change to a significant place in its setting in ways that will best sustain its heritage values, while recognising opportunities to reveal or reinforce those values for present and future generations.

Conservation Principles advise that assessment of significance should be based on the evaluation of four groups of heritage values:

- Evidential value: the potential of a place to yield evidence about past human activity.
- Historical value: the ways in which past people, events and aspects of life can be connected through a place to the present - it tends to be illustrative or associative.
- Aesthetic value: the ways in which people draw sensory and intellectual stimulation from a place.
- Communal value: the meanings of a place for the people who relate to it, and for whom it figures in their collective experience or memory.

This focus on the identification and protection of significance fits well with current approaches to the identification and protection of the Outstanding Universal Value of World Heritage properties.

Both national and international guidance note the need to protect historic places within their setting. This is defined in English Heritage's *The Setting of Heritage Assets* (English Heritage 2011) and in the NPPF as the surroundings in which a heritage asset is experienced. Its extent is not fixed and may change as the asset and its surroundings evolve. Setting is a well-established concept in the UK planning system. Essentially,

the English Heritage guidance elaborates and enlarges on existing government statements.

Finally *Conservation Principles* provided guidance on English Heritage's approach to specific issues which are frequently the subject of discussion:

- 1) Routine management and maintenance
- 2) Periodic renewal
- 3) Repair
- 4) Intervention to increase knowledge of the past
- 5) Restoration
- 6) New work and alteration
- 7) Integrating conservation with other public interests
- 8) Enabling development

English Heritage now plans its work through the National Heritage Protection Plan (NHPP) which provides a common framework to focus resources on the conservation of those aspects of the historic environment most cared for by English people and, within that, those areas which are most at risk (English Heritage 2013). The first Plan runs from 2011 to 2015 and work is now in hand with the heritage sector to develop the next plan for 2015 and 2020. It is hoped that each body active in the sector will plan its activities within the overall objectives of successive Plans. At the heart of the Plan is a clear set of priorities about what matters and what is in danger of being lost. These were identified following a widespread public consultation, which is repeated every year to ensure the Plan remains up-to-date and relevant to changing circumstances. English Heritage has developed its own Action Plan within the NHPP Framework. The Plan seeks to ensure that England's historic environment:

- is not needlessly at risk of damage, erosion or loss;
- is experienced, understood and enjoyed by local communities;
- contributes to sustainable and distinctive places to live and work;
- helps deliver positive and sustainable economic growth.

Assistance to owners of heritage places/ heritage at risk

A persistent problem within the heritage sector in England is the lack of resources for carrying out work. This applies particularly to buildings or archaeological sites which do not have a beneficial use or where the beneficial use does not generate sufficient income to support necessary capital investment in repairs and/or sustainable alteration to maintain a building in use. English Heritage's ability to provide grant aid has dwindled over the years. It is now focused very much on buildings and archaeological sites on the Heritage at Risk Register. This is published annually and identifies archaeological sites and buildings which are at risk of damage or destruction, generally through neglect. The Register covers all categories of designation

and is focused on raising awareness of these places and finding solutions to their problems. The number of historic buildings on the Register is currently at its lowest since 1999 (English Heritage 2014, 31-2).

Reducing the number of entries on the Register is one of English Heritage's key objectives and the main target of its grant aid to owners. In 2013/14 English Heritage made grants totalling around £18 million, £13 million of which went to items on the Heritage at Risk Register. Another major source of funding for the protection of archaeological sites in the countryside is the agri-environmental strand of the European Union's Common Agricultural Policy (see above, pxx). This pays, for example, for taking archaeological sites out of cultivation and placing them in permanent pasture. The biggest source of grant-aid is the Heritage Lottery Fund, as noted above, which provides in excess of £300 million annually for approved projects, mainly in the public and voluntary sector.

The influence of international guidance and practice

Having briefly described the heritage protection system in England and some of its key policy directions, it is now time to examine how far its development and present practice might have been influenced internationally and by what means. There is probably little point in discussing types of legislation or means of governance since these will very much reflect national systems in any country. The key area in which influence may have occurred is that of philosophy of conservation and consequent policy directions. There are a number of ways in which this can happen. A prerequisite for all of them is that heritage professionals and the relevant authorities have to be attuned to the idea that they can learn from experience of heritage management in other places. In many countries, this has not always been the case.

Assuming that there is some willingness to learn from international experience, there are various ways in which this can happen. These include:

1. Informal learning and information exchange among heritage professionals which leads to adoption of new practices by heritage agencies and others. Many professionals will of course be employed by the heritage agencies so that to some extent this process can be internalised.
2. formal study and adoption by heritage agencies and professionals of international guidance documents such as Charters.
3. Participation in the development of international Conventions for the protection of cultural heritage, and adoption of Conventions that already exist

Key policy areas in English approaches to conservation include recognition of the importance of areas as well as individual monuments as aspects of heritage, placing the identification and protection of significance at the heart of conservation practices, and the development of tools such as Conservation Management Plans and World Heritage Site Management Plans (an approach which could have application well outside properties on the World Heritage List) to enable this to happen. This section of this paper examines the ways in which international influence has influenced English practice and also touches on ways in which English practice has influenced others.

Formal adoption of international Charters has not figured strongly in UK practice. There has for example never been any formal endorsement of the 1964 Venice Charter by any heritage agency. The Charter and some others are reasonably well known but have not been adopted formally into official guidance.

A greater source of influence has been international legislation. This includes some examples not primarily aimed at conservation. A good example of this are regulations on Environmental Impact Assessment, which is mandatory for most major developments under a Directive of the European Union. This Directive says that impact on cultural heritage is one aspect which has to be evaluated in an Environmental Impact Assessment and this has been carried through to UK guidance on this matter. This has been a powerful and helpful tool. However, it is worth noting that inclusion of cultural heritage in the Directive itself was in part due to lobbying by the UK and particularly by English Heritage. This demonstrates that interaction between national and international practice is a two-way process. Very few ideas spring fully fledged from international bodies. Most are based on national experience somewhere.

The Council of Europe (a different body to the European Union with many more members and many fewer powers and resources but with a direct responsibility for cultural matters including heritage) has since 1969 agreed a series of conventions on the protection of cultural heritage. These include:

Table 1: Council of Europe Conventions on Cultural Heritage

1969 European Convention on the Protection of the Archaeological Heritage – the London Convention	Dealt mainly with archaeological excavations and the information they provide
1985 European Convention on Offences relating to Cultural Property – the Delphi Convention (<i>NB this never came into force as it was not ratified by any states</i>)	Prevention of illicit trade in cultural property
1985 European Convention for the Protection of the Architectural Heritage of Europe – the Granada Convention	Provides for the protection of architectural heritage, adoption of integrated conservation policies, consultation and cooperation
1992 European Convention on the Protection of the Archaeological Heritage (revised) – the Valletta Convention	Provides for the protection of archaeological sites, regulation of excavations, integrated conservation and developer funding of excavation
2000 European Landscape Convention – the Florence Convention	Provides for the integrated protection and management of all landscapes
2005 Council of Europe Framework Convention on the Value of Cultural Heritage for Society – the Faro Convention	Asserts that the knowledge and use of heritage are part of human rights

The UK has joined all of these Conventions except for the 1985 Delphi Convention which never came into force and the 2005 Faro Convention. In many cases, UK experts were involved in the drafting of these treaties and they contain examples of UK practice. The 1992 Valetta Convention, for example, says that developers should pay for archaeological work necessitated by their developments which carried into the

international dimension a practice already in force in the UK. The Conventions have also influenced UK practice, particularly the Florence Convention on the protection of landscapes which has a formal UK action plan. All these Conventions are very general in their provisions so detailed influence on English and UK practice is difficult to demonstrate.

The UK has also joined various UNESCO Conventions on cultural heritage, notably the 1972 World Heritage Convention. This is certainly the Convention which has had the most detailed impact on UK practice since it is one of the few international cultural heritage instruments which deals with the protection of specific places. The implementation of the Convention is noted for its focus on Outstanding Universal Value, which is a powerful driver for values-led management. It has also for some time had an emphasis on the use of management plans. The UK was relatively early in this field and started to develop its first World Heritage Management Plan, for Hadrian's Wall, in 1994, completing it in 1996 (Young 2014). The only available guidance that could be found was the book by Bernard Fielden and Jukka Jokilehto *Management Guidelines of World Cultural Heritage Sites* (Fielden, Jokilehto 1992). The draft went through two rounds of consultation before it was accepted by all stakeholders (Fig. 6). Subsequently management plans have been developed and are regularly revised for all UK World Heritage properties. Over the years, they have become closer to Conservation Management Plans but with more emphasis on implementation and regular review. Some have been influential internationally.

Some concepts from the World Heritage Convention have penetrated further into English conservation practice. The Convention itself is an early and useful examples of a values-led approach to management. *Conservation Principles* (English Heritage 2008, para 27) notes that they refer to many of the presumptions of the Convention, particularly the call to give heritage a function in the life of the community. The definition of authenticity in *Conservation Principles* is based on the Nara Declaration (para 91, and footnote 11). The permeability of the guidance to ideas such as these can be seen as the result of UK experience in implementation of the World Heritage Convention.

A key influence on English conservation practice in the last 20 years has been the Burra Charter, originally developed in 1979 for guidance on the conservation primarily of built heritage in Australia and subsequently developed and revised through a series of iterations to cover all cultural heritage (ICOMOS Australia 2013 for the latest revision). Alongside this, and as a result of it, there has developed the concept of the Conservation or Conservation Management Plan. Popularised originally through the publications of James Semple Kerr (eg Kerr 2000), Conservation Plans are now common practice in England. The Burra Charter was developed originally for Australian circumstances but the principles which it sets out are ones which apply equally well elsewhere and which fit well with the general approaches to conservation in the UK.

It is therefore not surprising that the Burra Charter should have resonance in the UK. This would however apply equally to the principles of the *ICOMOS New Zealand Charter for the Conservation of Places of Cultural Heritage Value* (ICOMOS 2010), originally adopted in 1993, or to other similar documents. The fact that the Australian document is the one that had the most influence reflects the extent to which UK professionals are aware of Australian practice and that some professionals have worked in both countries. Conservation Plans in particular were placed on the UK agenda first by a conference organised in 1999 by Kate Clark, then Head of Historic Environment Management at English Heritage (Clark 1999). She subsequently moved to the Heritage Lottery Fund which developed guidance on the development of Conservation Management Plans and insists on their preparation for many grant applications.

Conclusion

This survey has been brief and has only touched on certain aspects of conservation policy and guidance. Nonetheless it is clear that conservation practice in the UK in general and in England in particular has been influenced by international guidance and by practice in other countries. This has been particularly the case in the development of a values-led approach based on assessment of significance and the management of heritage places to protect that significance.

It is clear too that a mixture of mechanisms and attitudes has facilitated this. The fact that the UK participated in the development of the drafting of the Council of Europe Conventions (and also of UNESCO Conventions) shows that at some levels there was an official interest in learning about, and influencing, developments in conservation outside the UK. Once Conventions were ratified by the UK (and it has often been slow to do so), it is possible to trace the influence that they have had on conservation practice and particularly so in the case of the World Heritage Convention. It is also possible to see, for example in the 1992 Valletta Convention (Table 1), how UK practice has influenced international guidance.

It is clear too that more informal processes, such as contacts between professionals and heritage agencies, and even the movement of particular professionals from one country to another, has had a clear influence on practice in England and the UK as a whole. This is particularly so with the development of conservation planning. While it is probable that the focus on values-led management would have developed in any case, the particular way in which it has done so owes much to this network of informal contacts. More formal processes, such as the role of the national committees of international NGO's seems to have been less influential, though most of those involved in the informal processes will have been members of such bodies.

It should be noted also that influence and knowledge of the practice of others is greater for some parts of the world, such as Europe and the Pacific, than for others. Less is known about practice in other continents despite the number of UK conservation experts who work all over the world. A notable exception to this is the influence of the Nara Declaration on Authenticity, probably because it has been incorporated into guidance on the implementation of the World Heritage Convention.

Finally, it can be recognised that many British professionals are aware of conservation practice outside their own country and are prepared to learn from them. It is likely that in the future these exchanges of information and knowledge will continue and that practice in the UK will continue to develop in the light of international experience. It is likely too that this will be a two-way process since many experts from overseas are keen to explore UK approaches to conservation. The mechanisms for adoption of new practices into the UK are likely to continue as before, but possibly with more reliance on informal processes than on formal international agreements. Hopefully, too, a positive consequence of increasing globalisation will be that the UK looks much more widely around the world for examples of best practice.

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Fig. 1 Noyelles Sur Mer Chinese Cemetery, constructed by the Commonwealth War Graves Commission for the dead from the Chinese Labour Corps recruited by the British government during World War I (© Christopher Young)



Fig. 2 Silbury Hill, Avebury, Wiltshire, said to be the largest man-made mound in Europe; one of the prehistoric monuments included in the schedule of protected sites attached to the 1882 Ancient Monuments Act and subsequently placed in guardianship by its owner (© Christopher Young)



Fig. 3 The Iron Bridge in Ironbridge, Shropshire; scheduled ancient monument in the care of English Heritage. This was the first cast iron bridge in the world, built in 1779 (© Christopher Young)



Fig. 4 Hadrian's Wall west of Housesteads; this area would have been quarried away to within three metres of the Wall if it had not been for the 1931 Ancient Monuments Act (© Christopher Young)



Fig. 5 Studley Royal water Garden, on the Register of Parks and Gardens (© Christopher Young)

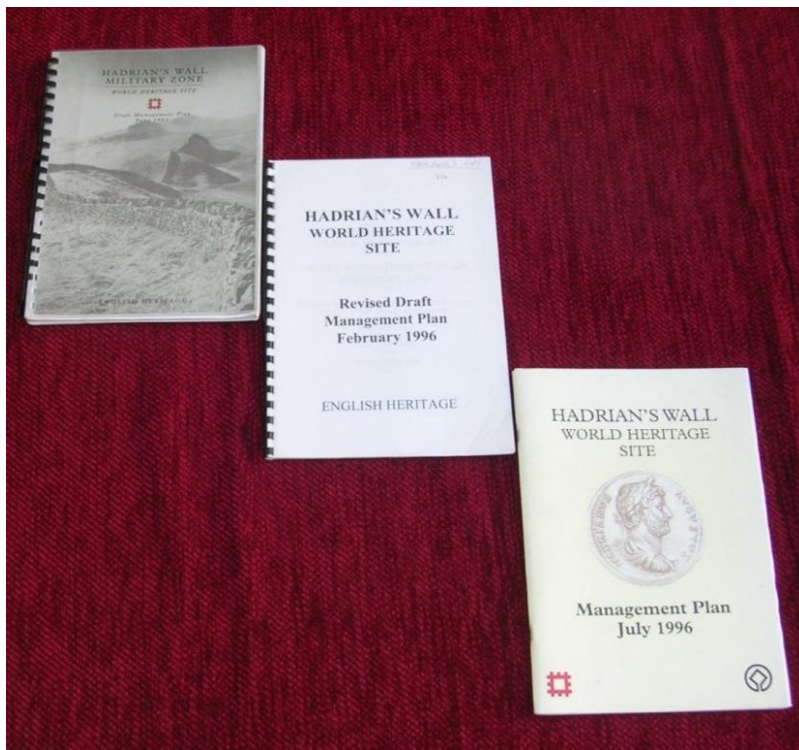


Fig. 6 Successive drafts and the final version of the 1996 Hadrian's Wall World Heritage Site Management Plan, the first one completed in the UK (© Christopher Young)

Global Inspiration + National Organization + Local Action = Conservation Ecosystem

Notes on the Relevance and Use of Charters, Principles and other Conservation Guidance Documents from a Canadian experience

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ABSTRACT

The definition of what forms cultural heritage develops through time. Over the last century understanding of the values of heritage have changed and developed, including the recognition of totally new categories such as industrial heritage or cultural landscapes. At the same time the perception of the scale of heritage has developed from focusing principally on individual monuments which can be managed in isolation from their environment to a more holistic approach to the historic environment as a whole.

Alongside this there have always been exchanges of practice between different national approaches and since the 1930's there has been an increasing amount of international guidance, beginning with the Athens Charter. This has been supplemented more recently by the development of international laws on conservation, develop principally by UNESCO but also regionally, for example, by the Council of Europe.

The links between national and international conservation practice are complex and multi-faceted. Influences can pass in both directions. This paper will examine the ways in which values-led management has developed in England and how it has emerged from a very different monument-centred approach dating back to the late nineteenth century.

In 1964, the adoption of the international charter for the restoration of monuments and sites - the Venice Charter – continued a sequence of such doctrinal texts going back at least to the 19th century and such landmark writings as those of Ruskin, Viollet-LeDuc or Riegl reflecting the questioning of the leading European nations facing rapid transformation of their physical and cultural landscape with the industrialisation. It also fits in the sequence of documents produced between the First and Second World Wars, namely the two Athens Charters – one by heritage specialists and one by leading Modernist architects. Yet, the Venice Charter brought something new which is worth acknowledging in that it was elaborated in a context which benefitted from an international arrangement that included solid international organisations like UNESCO, ICCROM and ICOM. It also acknowledges its limitations and encourages adaptations in national or thematic context, an early indication of what we would today equate with sensitivity to cultural

and disciplinary diversity.

The Venice Charter focuses on the treatment of «monuments and sites», a term which was then perceived as inclusive and is now perceived quite otherwise as the concept of immovable cultural heritage has broadened to include what is more generically describe nowadays as the heritage of the built or humanised environment. Beyond addressing some of the main doctrinal issues arising from the massive effort of reconstructing war damaged historic buildings, cities and ensembles in Europe, the Venice Charter gave strong credentials to a rather new instrument, distinct from the previous generations' manifestoes or writings – a set of principles articulating a philosophy into practical guidance, a document born of the collective brain of a set of experienced practitioners in the post-war years of reconstruction.

Also, the Venice Charter acknowledged the diverse nature of conservation in its disciplinary and legal / national realities, encouraging the development of complementary and specialised documents to address these particularities within the consistency of the intellectual framework of the 1964 text. The production of an International Charter on Cultural Tourism or one on Historic Gardens as well as the well-celebrated National Burra Charter for Australia, are illustrations of that deployment. In a way, the Venice Charter acknowledges or alludes to an international conservation ecosystem made up of different components which could be summarised as follows:

The **International level** is motivated by solidarity and a strong sense of heritage as part of humanity; it operates generally through inspiration and cooperation although some cases of destruction of cultural heritage brought tangible sanctions from International courts. This level is exemplified by organisations like ICOMOS and UNESCO, instruments like the World Heritage Convention as well as regional supra-national organisations and their treaties or programmes with growing interests in cultural heritage (e.g. European Institutions, ASEAN, OAS, Francophonie).

The **National level** is generally recognised as the level of organisation, legislative framework and governance of society within the agreed international concept of Nations. Even though the rise of autonomy within some countries like Canada has meant opening the international level and treaties to province-like sub-national levels of government, the national level remains the source of legislation and holds the authority to adhere to or actively participate in the implementation of international instruments like the World Heritage Convention.

The **Local level** is the level of local communities but equally important in the case of immovable cultural heritage we care for in ICOMOS, the level of action and conservation. Indeed, whereas national laws can be adopted to provide legal powers to designate and protect historic buildings, archaeological sites, urban ensembles or heritage landscapes, their actual protection and conservation can only be delivered on site, a major distinction from moveable or intangible heritage properties which could, at least in theory, be relocated to benefit from careful attention. The increasingly strong presence of metropolises around the world raises new conservation challenges and opportunities because of its position between the Local and National levels and often engaged in international cooperation through twinning programmes like the one between the cities of Montréal, Canada, and Port-au-Prince, Haïti through which Canadian heritage professionals provided assistance and advice to their Haitian colleagues especially after the 2010 devastating earthquake.

The **personal level** is one seldom considered in the conservation framework but this is changing through a number of evolutions such as a greater recognition of the role of communities – the 5th C of the World Heritage framework – in the conservation theory and practice, and the increase of tourism and, more specifically cultural tourism and its experiential dimension. The social role of heritage in the resilience and

post-disaster recovery of societies and the importance of individuals as bearers or carriers of knowledge and memory that are fundamental to the heritage values of heritage sites such as living cultural landscapes, villages or sacred places is another illustration of the importance of the personal level in this «Conservation Ecosystem» for cultural heritage.

The example and experience of Canada, a multi-tier / multi-cultural context

The purpose of this paper is to expose what has been the Canadian experience in that context both in relation to a document like the Venice Charter and the subsequent work of ICOMOS, and the broader Conservation Ecosystem. To start with, it is important to know that Canada is a confederation with a complex structure of shared responsibilities between the Federal, Provincial and Territorial governments and communities like those of the First Nations or Inuit peoples. This complexity is the result of European, North American and international history as it affected a geography which ancient indigenous cultures had defined in their own terms for centuries before. This complexity reflects in the Canadian formula for a conservation ecosystem with a reality different from its perception abroad.

The Federal government is the most visible expression of Canada abroad. It has the power and authorities to sign treaties and has been a State Party to the World Heritage Convention since 1976 and the first state to ratify the 2005 UNESCO convention on the protection of the diversity of cultural expressions. It enjoys a prestigious profile internationally through the excellent work of Parks Canada (see www.pc.gc.ca), one of its agencies under the Minister of Environment, and its involvement in the implementation of the World Heritage Convention, having hosted two sessions of the Committee and supported its intellectual development on themes like authenticity, modern heritage and the Global Strategy. Nationally, the Federal Government established in 1885 a national parks administration, the first in the world, which was later merged with the administration of historic battlefields and sites to form in 1911 what is now Parks Canada, an organisation with roots in wilderness and natural beauty as well as in the glorious history of memorable battles. Today and despite important cuts to its budget, Parks Canada manages a large national network of National and Marine Parks and National Historic Sites which offer visitors opportunity to celebrate the country's nature and history. In 1919, the Federal Government also established what became the Historical Monuments and Sites Board of Canada, a commission of experts from the different Provinces and Territories charged to designate sites of National commemorative values following nominations from scholarly research and from citizens or communities (in its 2003 report on the State of Cultural Heritage in Canada, the Auditor General noted that almost 95% of the 2 200 nominations received annually by Parks Canada for the Board came from the public.)

Yet, besides the care and conservation of sites owned by it or by Parks Canada, the Federal Government plays a relatively minor role in terms of actually protecting and conserving the cultural heritage buildings, sites, cities or landscapes of Canada. This results from its constitutional powers which do not include the control of private property that remains a jurisdiction of the Provinces enabling them to establish legislation to protect heritage buildings or sites in private ownership which constitute a large majority of the country's heritage. Even when the Federal Government wants to designate a property for its commemorative values – a status that does not carry any constraint to private property, it asks for the authorisation of the owners. Similarly, the

Federal Government which has an outstanding expertise in underwater archaeology through Parks Canada, cannot protect many of the heritage wrecks on river beds which are of Provincial jurisdiction, e.g. the *Empress of Ireland* which sank in the St. Lawrence River in 1914 with more casualties than the famous *Titanic* which was protected by the Government of Quebec.

There are a few exceptions to this situation regarding privately owned heritage sites. One is the heritage railway stations, a particular type of property owned by Federally-chartered railway companies which the Federal Government has the power to control because of their fundamental role in the creation of the Canadian Confederation in 1867. Following demolition, neglect or abandonment of these heritage buildings by these companies in the 1970s and 1980s, communities, citizens and heritage groups convinced the Federal leader to adopt a special act of Parliament to address this issue. Similar efforts from civil society brought the Parliament to adopt recently an act to protect the heritage values of decommissioned lighthouses.

With those rare exceptions, the Federal Government has no overall heritage legislation and operates very much in Canada through in a cooperation and incentive model rather than enforcement, in a way analogous to UNESCO's international role. This situation has encouraged the development of non-constraining tools like inventories, commemorative policies and programmes and conservation principles. Also, the Federal Government took resolve in making a standard-setting example of its work as caretaker and keeper of its own properties, which include some of Canada's most significant heritage buildings and sites through an internal process called the Federal Heritage Building Review Office (FHBRO). Under directives of the Treasury Board of Canada issued in 1978 and 1985, this process called for the various departments owning properties such as National Defense and Public Works to work with Parks Canada to assess and rank these properties as part of a joint commission and using a set of common criteria on its historical, artistic/architectural and contextual values. This process is compulsory for properties under direct ownership by the Federal Government – i.e. Crown property – with some exceptions like embassies and applies voluntarily to federal agencies like port administrations.

Under the constitutional sharing of powers in Canada, Provinces have the most opportunity to protect heritage and conserve it either directly through dedicated heritage legislation or indirectly through their jurisdiction over education, culture, planning or the creation and responsibilities of municipalities and local administrations. And every province has taken a different approach to address the issue. In 1922, the Province of Quebec was the first to adopt legislation on the subject, focusing it on the designation of *Monuments et Sites historiques* followed in 1923 by British Columbia with a particular attention on artefacts and sites of the indigenous people. Today, the degree of attention paid by Provinces and Territories to cultural heritage varies considerably in terms of their legislations, their definitions of heritage and the obligations they create for the various actors in the conservation ecosystem, from government to citizens, as well as their relations with other laws such as those that address urban planning and nature conservation issues. Nevertheless, despite this diversity and variation in substance, every Province and Territory acts in the field and participates in regular meetings of Ministers in charge of Heritage.

The absence of a centralised power in Canada and the overall interest and action by all levels of government and civil society has provided a fertile setting for the development of softer proactive instruments like common principles, standards and guidelines for the care and conservation of buildings, sites, ensembles and territories of heritage value. In that context, documents like the Venice Charter and other ICOMOS Charters, the World Heritage Convention and its Operational Guidelines or the United States Secretary of the Interior Standards provided very useful inspiration and references to work from.

ICOMOS Canada in particular, through its non-governmental network of professionals from various levels of government and private practice, academics and civic organisations, provided a valuable platform to discuss these concepts in a way that brought experiences together without the prejudice of divisions between jurisdictions. Its bilingual structure also helped address these taking into account the French legacy expressed through the distinct legal system in the Province of Quebec as well as through cultural concepts like heritage, and not be only exploring the Anglo / American approaches and concepts. This produced two distinctively Canadian deployments of the Venice Charter: *Charte de conservation du patrimoine qu'ébécois - Déclaration de Deschambault* (ICOMOS Canada Comité Francophone, 1982) written in French and inspired by the Venice Charter, the European Amsterdam Declaration and UNESCO's Nairobi Recommendation, and the *Appleton Charter for the Protection and Enhancement of the Built Environment* (ICOMOS Canada English-Speaking Committee, 1983) which refers to the Venice Charter, Australian ICOMOS' Burra Charter and the Déclaration de Deschambault adopted the year before. (Note: Since 2013, ICOMOS Canada has adopted a unified structure to replace the previous Comité francophone / English Speaking Committee duality to pursue this work while maintaining French and English bilingualism as a core value of the organisation.)

Heritage in Canada – the particular case of the Province of Quebec

Among the 10 Provinces and 3 Territories in Canada, the Province of Quebec stands distinct on many accounts including its approach to culture and heritage. Connected for long time before to all North America through the river systems which the indigenous people used extensively for communications and trade, the Province of Quebec has been the main historic core of European presence in North America, the successor of New France after the British took over in 1763 and, with Ontario, the driving force behind Confederation in the 19th Century. French is its official language and one of its most tangible distinction. The settlement of the St. Lawrence Valley under the seigniorial system in the 18th century has generated a distinct land pattern, physical and toponymical (place names) landscape.

Beyond these tangible evidences, the social and legal traditions rooted in the *Ancien Régime*, Catholic faith and Civil Code also generated a particular way of looking at cultural heritage, historic buildings and landscapes in terms of their role in defining the collective cultural identity of Quebec. Their identification, protection, care and promotion benefitted from a distinctly strong involvement of the Government, especially since the 1960s and what is called the «Quiet Revolution», when the structure of the State was modernised and the ministries of Cultural Affairs and Educations were created bringing new legislations, including a first Cultural Heritage Act in 1962 which allowed Government to classify and control heritage property without the owner's consent in the name of the collective interest.

In that context, Quebec's heritage legislation has evolved from one centered on scholarly defined historic sites to a broader range of types reflecting the more contemporary interests for cultural heritage. Two recent developments in its legislation illustrate that: the Sustainable Development Act (2006) and the Cultural Heritage Act (2012). The Sustainable Development Act stands as the only of such piece of legislation that affirms the protection of cultural heritage as a key principle of the sustainable development model, not a mere consideration in terms of impact assessment procedures. The principle itself (see below) adopts an inclusive definition of heritage in tune with contemporary thinking and some of the ICOMOS definitions.

“Protection of cultural heritage”: *The cultural heritage, made up of property, sites, landscapes, traditions and knowledge, reflects the identity of a society. It passes on the values of a society from generation to generation, and the preservation of this heritage fosters the sustainability of development. Cultural heritage components must be identified, protected and enhanced, taking their intrinsic rarity and fragility into account; (...)*

Assemblée nationale du Québec, 2006; Sustainable Development Act, article 6 – Principles

The implementation of this unique piece of legislation is based on creating an overall obligation on all branches of government to comply with these principles and a reporting mechanism under the responsibility of the Auditor General of the Province. So far, the implementation is happening but the innovative and humanistic nature of the Cultural Heritage principle, even though consistent with the values expressed in formal documents like the World Heritage Convention, seem to have been to its disadvantage as a lot of attention is put on implementing other more conventional principles such as the protection of the environment and securing air and water from pollution. This is still a young process but one that illustrates at a smaller scale, the current challenges of integrating the human and cultural dimensions in the concept of sustainable development which was born globally from a narrative of the confrontation between the economy and the bio-physical environment, and which is gradually being enriched by more human considerations such as heritage and culture as exposed forcefully at the 2012 UNESCO conference in Hangzhou, P.R. China, on placing Culture at the hearth of Sustainable Development and subsequent declarations from the UN Secretary General.

The 2006 Sustainable Development Act provided a new perspective for the reform of the 1972 Cultural Heritage Act by the Quebec Government, a reform that was completed in 2012 with adoption and implementation of the Cultural Heritage Act. Largely inspired from the French legislation, in particular the law for the protection of historic districts (*secteurs sauvegardés*), the 1972 piece of legislation, was centered on buildings and archaeological sites, their historic value under the authority of the Minister. The 2012 Act was developed after a long process of internal analysis and the review of external references like the various UNESCO conventions and recommendations and external legislations from other Canadian Provinces, Japan, United Kingdom, the United States and the State of Queensland in Australia. As a result, it addresses a broader range of properties including landscapes and the intangible, and heritage values and proposes a new sharing of responsibilities between the Government, local administrations (municipalities, Native community councils) and owners. The following table compares the categories defined in the two pieces of legislation:

Cultural Properties Act (Assemblée nationale du Québec, 1972)	Cultural Heritage Act (Assemblée nationale du Québec, 2012)
Categories covered and defined in the law :	Categories covered and defined in the law:
Cultural property	Archaeological property
Work of art	Archaeological site

Historic property	Heritage cultural landscape
Historic monument	Heritage document
Historic site	Heritage immovable
Archaeological property	Heritage object
Archaeological site	Heritage property
Historic district	Heritage site
Natural district	Intangible heritage
Protected area	Protected area
<p><i>“cultural property”</i>: a work of art, a historic property, a historic monument or site, an archaeological property or site or a cinematographic, audiovisual, photographic, radio or television work;</p> <p><i>“historic monument”</i>: an immovable which has historic interest because of its use or architecture;</p>	<p><i>The object of this Act is to promote, in the public interest and from a sustainable development perspective, the knowledge, protection, enhancement and transmission of cultural heritage, which is a reflection of a society’s identity. (...)</i></p> <p><i>Cultural heritage consists of deceased persons of historical importance, historic events and sites, heritage documents, immovables, objects and sites, heritage cultural landscapes, and intangible heritage.</i></p>

The evolution of the legislation in the Province of Quebec is not disconnected from that of society and its concern for heritage. Over the last 50 years, that interest has changed, amplified and diversified. This led to the adoption of legislation like the one just introduced as well as policies like the Cultural Policy of the Quebec Government of 1992. That Cultural Policy focuses a lot on fostering a broader access to culture in the spirit of Article 27 of the UN Declaration of Human Rights and encouraging the creative economy. It also provided a formal recognition by the Quebec Government of the Venice Charter and other ICOMOS Charters, in particular the cultural tourism and historic towns ones, and a commitment for their implementation.

In complement to the formal work by Government and the public sector in Quebec, the volunteer sector of various disciplinary allegiances gathered in the context of the parliamentary consultation on the Cultural Policy and developed a trans-disciplinary cooperation involving architects, archaeologists, historians, archivists, urban planners, ethnologists, museum specialists, folk culture organisers, academics and jurists. In 2000 after many meetings, the analysis of existing references including the Venice Charter and other ICOMOS documents, the UNESCO conventions and recommendations as well as public discussions and consultations, this process led to the formal proclamation of the Quebec Heritage Declaration at the School of Architecture in the historic center of Québec City, a World Heritage Site. The core concept of this Declaration is an inclusive definition of heritage as carrier of memory in its different tangible or intangible, movable or immovable expressions in relation to living culture and identity. Although non-governmental by birth, the Declaration’s concepts were echoed in legislation and in municipal cultural policies throughout the Province.

Our heritage is a wealth of tangible and intangible assets such as archives, objects, artworks, buildings, sites or landscapes as well as traditions, knowledge and skills, languages and institutions. (...)

We affirm our right to memory and our duty of respect for those people, places and objects that carry it.

We affirm the importance and meaning of our heritage for our whole society and for each person that is part of it. (...)

Exerts from the Déclaration québécoise du patrimoine / Quebec Heritage Declaration

15 April 2000

Heritage Conservation Principles in Canada – 3 levels / 3 experiences

The complex nature of the Canadian Conservation Ecosystem combined with a shared genuine interest in improving the efficiency of protection measures for heritage buildings and sites, has encouraged cooperative approaches in support of legislation or to compensate its shortfalls. The following are examples of such approaches, in particular in the shape of conservation principles, guidelines and methodologies, at the Federal, Provincial and municipal level.

Federal Level:

The Standards and Guidelines for the Conservation of Historic Places in Canada

In 2003, the Auditor General of Canada presented to the House of Commons (the Canadian Parliament) a Report on the Protection of Cultural Heritage in the Federal Government (see www.oag-bvg.gc.ca). This report examined the situation at Parks Canada as well as the National Museums, National Archives and National Library. The Report's highlight was alarming: «*Built heritage is threatened. Many of the national historic sites administered by the Parks Canada Agency are showing signs of deterioration. This issue will have to be addressed in the next two to five years to prevent the permanent loss of elements that show the sites' historical significance, closure to the public, or rapid deterioration of the sites.*» Yet, in parallel, Parks Canada was publishing in 2003 the first edition of the Standards and Guidelines for the Conservation of Historic Places in Canada (S&G), the result of a close collaboration with Provinces and Territories in the context of the Historic Places Initiative (HPI).

Created in the late 1990s, the Historic Places Initiative is a programme to improve the conservation of historic buildings, sites and landscapes across Canada. The programme is inspired by the United States programme of tax incentives for conservation projects complying with the US Secretary of the Interior's Standards. HPI comprised of three main components – a National Register of Historic Places, a set of Conservation Standards and Guidelines coupled with a certification system, and Tax Credits for the owners. The whole initiative is based on cooperation between the Federal, Provincial and Territorial. Parks Canada provided the secretariat for the initiative along with its specialised expertise in conservation acquired in managing National Historic Sites under its own stewardship or in cooperation with other branches of the Federal Government, in particular the Department of Public Works and its Heritage Conservation Programme.

The Standards and Guidelines are published in French and English. Following the first edition in 2003, a

second edition issued in 2010 incorporated further elements regarding maintenance and more recent materials and building systems. The S&G start with a 3-step «Understanding + Planning + Intervening» conservation decision-making process to identify the nature of the intervention – preservation, rehabilitation or restoration – on the basis of an appreciation of the heritage values of the historic place (see definitions below). This is followed by a set of 14 standards and guidelines on the appropriate conservation treatments (see below). The types of heritage sites covered in the S&G – landscapes including districts; archaeological sites; buildings; engineering works (industrial, civil and military) – are an interesting indicator of the broad ambition of this guiding tool and its consistency with contemporary concepts, e.g. in the World Heritage context, not limited to historic monuments.

Key definitions:

Historic Place: a structure, building, group of buildings, district, landscape, archaeological site or other place in Canada that has been formally recognized for its heritage value.

Heritage Value: the aesthetic, historic, scientific, cultural, social or spiritual importance or significance for past, present and future generations. The heritage value of an historic place is embodied in its character-defining materials, forms, location, spatial configurations, uses and cultural associations or meanings.

Character-defining Element: the materials, forms, location, spatial configurations, uses and cultural associations or meanings that contribute to the heritage value of an historic place, which must be retained to preserve its heritage value.

Conservation: all actions or processes that are aimed at safeguarding the character-defining elements of an historic place so as to retain its heritage value and extend its physical life. This may involve Preservation, Rehabilitation, Restoration, or a combination of these actions or processes.

Preservation: the action or process of protecting, maintaining, and/or stabilizing the existing materials, form, and integrity of an historic place, or of an individual component, while protecting its heritage value.

Rehabilitation: the action or process of making possible a continuing or compatible contemporary use of an historic place, or an individual component, while protecting its heritage value.

Restoration: the action or process of accurately revealing, recovering or representing the state of an historic place, or of an individual component, as it appeared at a particular period in its history, while protecting its heritage value.

The Standards

The Standards are not presented in a hierarchical order. All standards for any given type of treatment must be considered, and applied where appropriate, to any conservation project.

General Standards for Preservation, Rehabilitation and Restoration

1. Conserve the heritage value of an historic place. Do not remove, replace or substantially alter its intact or repairable character-defining elements. Do not move a part of an historic place if its current location is a character-defining element.

2. *Conserve changes to an historic place that, over time, have become character-defining elements in their own right.*
3. *Conserve heritage value by adopting an approach calling for minimal intervention.*
4. *Recognize each historic place as a physical record of its time, place and use. Do not create a false sense of historical development by adding elements from other historic places or other properties, or by combining features of the same property that never coexisted.*
5. *Find a use for an historic place that requires minimal or no change to its character-defining elements.*
6. *Protect and, if necessary, stabilize an historic place until any subsequent intervention is undertaken. Protect and preserve archaeological resources in place. Where there is potential for disturbing archaeological resources, take mitigation measures to limit damage and loss of information.*
7. *Evaluate the existing condition of character-defining elements to determine the appropriate intervention needed. Use the gentlest means possible for any intervention. Respect heritage value when undertaking an intervention.*
8. *Maintain character-defining elements on an ongoing basis. Repair character-defining elements by reinforcing their materials using recognized conservation methods. Replace in kind any extensively deteriorated or missing parts of character-defining elements, where there are surviving prototypes.*
9. *Make any intervention needed to preserve character-defining elements physically and visually compatible with the historic place and identifiable on close inspection. Document any intervention for future reference.*

Additional Standards Relating to Rehabilitation

10. *Repair rather than replace character-defining elements. Where character-defining elements are too severely deteriorated to repair, and where sufficient physical evidence exists, replace them with new elements that match the forms, materials and detailing of sound versions of the same elements. Where there is insufficient physical evidence, make the form, material and detailing of the new elements compatible with the character of the historic place.*
11. *Conserve the heritage value and character-defining elements when creating any new additions to an historic place or any related new construction. Make the new work physically and visually compatible with, subordinate to and distinguishable from the historic place.*
12. *Create any new additions or related new construction so that the essential form and integrity of an historic place will not be impaired if the new work is removed in the future.*

Additional Standards Relating to Restoration

13. *Repair rather than replace character-defining elements from the restoration period. Where character-defining elements are too severely deteriorated to repair and where sufficient physical evidence exists, replace them with new elements that match the forms, materials and detailing of sound versions of the same elements.*
14. *Replace missing features from the restoration period with new features whose forms, materials and detailing are based on sufficient physical, documentary and/or oral evidence.*

Standards and Guidelines for the conservation of Historic Places in Canada (2nd Edition, 2010)

The S&G are illustrated with examples and case studies from across Canada. One of these is the Rural District of Grand-Pré Nova Scotia, which was registered as a UNESCO World Heritage Site in 2012, thus acknowledging the quality of the coordinated expertise and management systems developed locally around the principles set forth in the S&G.

Provincial Level:

The Quebec Religious Heritage Conservation Programme

One of the largest conservation programme currently in place in Canada is the one developed in the Province of Quebec for its cultural heritage of religious origin. With over 3 000 places of worship province-wide, this is a very significant part of Quebec's built, artistic, archaeological, landscape and intangible cultural heritage.

The programme was born of an inter-denomination collaboration between the Catholic, Protestant and Jewish communities in Montreal where about 1000 places of worship reflect the specific nature of the social fabric and history of this cosmopolitan metropolis where the Franc-Catholic, Anglo-Protestant, Jewish and immigrant tradition met. After completing a consolidated evaluation of their respective pre-1945 places of worship of cultural heritage significance, the alliance of these organisations asked the Quebec Government for financial assistance in the form of tax relief for the conservation work on those buildings.

Instead of giving a tax relief to a Montreal group which would have been controversial in the Province on both accounts, the Government supported the constitution of a Religious Heritage Foundation for the whole of Quebec. The Foundation was created in 1995 and has generated an investment of over \$300 M in 1000 conservation projects funded jointly by the Provincial Government and local communities. The distribution of fund by the Foundation was based on regional inter-denominational panels (*tables de concertation*) under a set of criteria and the ICOMOS principles for conservation. (see www.patrimoine-religieux.qc.ca)

The promotion of conservation principles set by ICOMOS in this national project is in part the result of long-standing cooperation through ICOMOS Canada between heritage professionals and administrators of these religious buildings, many of which have benefitted from a special designation under the Quebec heritage laws. In particular, the ICOMOS Canada conference held in Ottawa in 1988 on the conservation challenges for sacred places and heritage buildings provided a useful inspiration which lead to the creation of this rather exceptional conservation programme and inter-faith collaboration.

Originally expressed in a general and generic way, the reference to ICOMOS principles for conservation was later complemented through a set of more explicit principles aimed at those people who are looking after these heritage buildings and their related heritage objects (artwork, organs, sacred books, archives, furniture, etc.) on a daily basis. This simplified version was the product of seminars and working sessions involving architects, art historians, managers, artisans, caretakers and members of ICOMOS Canada. It focuses on making appropriate choice of intervention on the basis of the heritage values, on the principles of minimal intervention, reversibility and respect for authenticity as well as the need for maintenance and continuous care after the restoration work is completed. Complementary sets of principles and recommendations for the conservation of artworks, heritage objects and organs have also been developed by the Foundation (now

renamed Council for Religious Heritage) with the Centre de Conservation du Québec and academics.

The Quebec religious heritage project is quite remarkable in a global context for its collaborative nature involving government, specialists and communities in a concerted effort to generate and coordinate the investment of very large sums of public and private moneys into conservation work under the guidance of international principles set by ICOMOS. This initiative has been acknowledged abroad for its innovative nature, including by the Vatican stressing its inter-denominational cooperation model and could hopefully serve as an experience in helping to develop an international strategy for the actual conservation of such heritage buildings or sites, even landscapes or routes, through ICOMOS and UNESCO.

Municipal Level:

City of Montreal's Heritage Significance Evaluation Process

As one of the oldest cities in North America and a major international trading and industrial metropolis since the later part of the 19th century, Montreal has accumulated an important and very distinctive built and urban heritage despite major losses to demolition and redevelopment phases, in particular in the industrial boom of the late 19th C. or the large public sector or speculative investments urban redevelopment projects in the 1960s and 1970s.

The later wave of demolition lead the civil society to regroup around universities and organisations like Heritage Montreal (www.heritagemontreal.org). This independent foundation was created in 1975 to encourage and promote the protection of the historical, architectural, natural and cultural heritage of communities in the metropolitan area through education, advocacy and the encouragement of better legislation, regulations and planning tools to support worthy owners and investors as well as prevent unnecessary demolitions or insensitive urban development. In 1995, for its 20th anniversary, Heritage Montreal held a public consultation on the place of heritage in the future Montreal which concluded by recommending greater attention to the living urban landscape instead of treating heritage properties in isolation. In 2001, Heritage Montreal proposed the creation of a Heritage Council which was incorporated in the City Charter. Linking local realities with international conservation principles expressed in the ICOMOS Charters and the UNESCO Conventions and Recommendations, Heritage Montreal published in 2008 in a major newspaper, a set of urban development principles integrating a 5-dimensions definition of cultural heritage : Built + Landscape + Memorial/Intangible + Archaeology + Nature. In addition to its own activities, Heritage Montreal built alliances with the economic, academic, environmental and artistic sectors, and fostered the development of university programmes in conservation and non-governmental organisation, for instance in the field of industrial heritage.

Yet, despite its reputation and prestige in society, an organisation like Heritage Montreal does not hold the legal powers necessary to actually protect heritage properties. These powers are constitutionally in the hands of the Government of Quebec which has chosen to share their use with municipalities back in 1985. In the case of Montreal, this has led to the creation in 1987 of an Advisory Committee on the Protection of Cultural Property (*Comité consultatif de Montréal sur la protection des biens culturels*) and its successor in 2002 the Heritage Council (*Conseil du patrimoine de Montréal*). It also lead to the development of dedicated and professionally staffed heritage units within the City's administrative structure and long standing grants and technical assistance programmes for owners and builders. The City of Montreal also participated in the development of the Federal / Provincial / Territorial Standards and Guidelines.

Since the 1960s, the City of Montreal puts attention on the conservation of heritage under its jurisdiction. Originally, this effort was concentrated on the safeguard and revitalisation of Old Montreal, the original quarter of the city which was designated an historic district in 1964 by the Government of Quebec, the largest such protected area in North America at the time, but gradually it expanded to address heritage issues in the city's many neighbourhoods. In 2005, it adopted a Heritage Policy, the first of its kind among North America's metropolitan cities, which aimed at enhancing the consistency and impacts of the various programmes to protect, promote and revitalise the City's built, archaeological, landscape and intangible heritage.

Part of that evolution includes the sophistication of the instruments and tools used by the City to address conservation issues. The development of a methodology to assess the heritage significance of a site and to register it formally in the shape of a Heritage Significance Statement (*énoncé d'intérêt patrimonial*) is an example illustrating how international principles and concepts can be translated into practical local instruments reflecting local conditions and formalised in a municipal ordinance. This methodology is openly inspired by concepts articulated by Austrian thinker and conservator Aloïs Riegl, by the ICOMOS Charters, the UNESCO and works of the Getty Conservation Institute on value-based conservation. Its goal is to provide a consensus-based statement which can be integrated in the decision-making process and used by the owner or developer and their architects as well as municipal professionals reviewing the projects before decision by elected officials.

The methodology rests on the two following principles:

The heritage significance of a place, whether it has a formal designation or simply contributes to the identity of Montreal, is present in a diversity of values expressed through features and character-defining elements;

The cultural significance of a place is based on a consensus of viewpoints which the process and methodology aims at articulating.

It is based on consensus within a pre-determined working group composed of a maximum of 10 persons including the owner of the property or its representative. The working group proceeds together through the various steps of the methodology. That way, each member of the group shares and develops a multi-dimensional common knowledge of the building or site through a sequence of presentation of background research (history, architecture, landscape, etc.), site visit, discussions and review of the draft statement. The site visit is a key component of the process, admittedly more feasible at the local level than at the scale of Canada, and echoes the inclusion by ICOMOS of systematic site visits as part of its evaluation of World Heritage nomination. The final version of the statement is tabled at the City's Executive Committee before posting on the web (www.ville.montreal.qc.ca/patrimoine) for the general public interest.

Lessons from Canada – Developing Common Principles for a Diverse Conservation Ecosystem

In terms of cultural heritage and its conservation, Canada is characterised by its diversity and a multi-level sharing of responsibility for conservation. Within its constitutional structure, the architecture of the Canadian Conservation Ecosystem is rooted in the coexistence of a diversity of traditions of governance and law. There are customary practices like the ones governing First Nations and Inuit people across the country and

particularly present in the Territories, or cultural perspectives such as those of 1st generate on immigrants, models which this paper could not expose in proper respect. There is the Civil Code inherited from France and still present in Quebec, maintaining a preference for hierarchical decision-making structure in the name of the Nation. There is the Common Law inherited from the British tradition and favouring a more decentralised decision-making for all Canada except Quebec.

Their difference are reflected, for example, in the various definitions of cultural heritage expressed in the different Federal, Provincial and Territorial legislations, or the way they protect historic buildings from demolitions, archaeological sites from unregulated excavations or destructions, or how they address the issue of cultural landscapes and place-naming. Some show great interest while other are more vague. Another example is the way the Venice Charter is deployed through ICOMOS Canada's *Déclaration de Deschambault*, which focuses on the relation between heritage, values and community in the spirit of the Charter's preamble, and *Appleton Charter* which is more oriented towards actual building conservation projects, echoing Venice Charters' more prescriptive articles. Such diversity is evocative of the international level where both ICOMOS and UNESCO operate. Like the Federal Government in Canada, the power is decentralised internationally, adding to a fragmentation encouraged by the arborescence of disciplines.

Yet, internationally as in Canada, there is a growing need to bridge the gaps and develop common tools to address conservation issues increasingly complex in nature and in scale as the definitions of cultural heritage expand and with them, the list of sites to protect and conserve. To address these new challenges, a useful goal would be to develop a unified theory of conservation and complement it with a common methodology to support genuine interdisciplinary approach and community involvement as well as long-term safeguard and protection. The *Standards and Guidelines for the Conservation of Historic Places in Canada* illustrate that such unified work is feasible through strong cooperation and respect for each other's cultural and legal background. At the international level, only ICOMOS has the background, history and extended disciplinary and national / cultural network to carry this task. It must undertake it to consolidate existing Charters and the work of its National Committees, e.g. in Australia, Canada or China which have developed National charters or equivalent.

One useful element of this unified theory would be a clearer definition of protection, a term always used but very seldom defined. How about «*Protection is the act of the protector including all actions carried to maintain meaningful elements and characters by preventing effects of threats from natural or human origin to which the heritage is exposed*»? Other key elements like maintenance, appropriate use and respect for traditional and scientific knowledge should be addressed in this unified theory.

On the occasion of the 50th anniversary of the Venice Charter and the 20th of the Nara Document on Authenticity (which is not an ICOMOS doctrinal text and, unlike the Venice Charter, does not benefit from a ratification by resolution of the General Assembly leaving it unfairly exposed), the project for ICOMOS to animate its network to extract a contemporary consensus on what is conservation and its essential core principles, leaving aside the procedural considerations which are too often confused with ethos and principles, would be an act of unprecedented foresightedness and leadership. This can truly bring reconciliation and cooperation between theory, practice, science, decision-maker and society and foster a new collective energy for the heritage sector to demonstrate how conservation is creativity and development.

In the meantime, it is essential to convey a strong message of principles placing the action we do today in the name of conservation under the higher responsibility of reconciling the enjoyment and use the current

generation makes of the heritage with the benefit of the future ones. In the age of a dominant management culture and discourse, it is crucial that we, the conservation people, articulate clearly what conservation is about. *«Do as much as necessary, as little as possible!»* as our Australian colleagues say. This in one such principles – minimal and informed intervention. The rest is to be guidelines tailored to national, cultural, disciplinary or technical specificities. A dynamic version of the Canadian saying – Unity in Diversity!

Started in Montreal QC, Canada, and concluded in Johannesburg, South Africa – 2014.08.21

Recent Trends in the Development of National Principles for Cultural Heritage Conservation: With England and Canada as Examples

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ABSTRACT

At the beginning of the new millennium, many Western countries started to change their cultural heritage conservation systems and principles to address the on-going development of conservation theories and new challenges to conservation projects and management practices. English Heritage issued the *Conservation Principles: Policies and Guidance for the Sustainable Management of the Historic Environment* in 2008, and Canada's Historic Places revised the *Standards and Guidelines for the Conservation of Historic Places in Canada* in 2010. These two documents exemplify the recent efforts to establish cultural heritage conservation principles at the national or federal level. This paper examines the two documents, analyzes and compares their backgrounds and contents (including their definitions of heritage, conservation and their different understandings of conservation goals, heritage values, conservation principles, and intervention measures). In so doing, the paper discusses the recent trends in the development of cultural heritage conservation principles, reviews the limits of the current *Principles for the Conservation of Heritage Sites in China* (2000), and suggests the areas for its improvement.

1. Research Background and Objective

Under the guidance of the State Administration of Cultural Heritage, the *Principles for the Conservation of Heritage Sites in China* (or the *China Principles*) was completed and issued by ICOMOS China in 2000. The *China Principles* addresses a wide range of issues, including conservation principles, the conservation process, and conservation interventions. It provides both authoritative guidelines for the professional practice in cultural heritage conservation and important criteria for the evaluation of conservation projects. Since *China Principles* was adopted, China has made significant progress in theories and practices of cultural heritage conservation in the recent ten years. Therefore, ICOMOS China initiated the document revision in 2009. Meanwhile, the National Heritage Center of Tsinghua University also launched a research project funded by the National Natural Science Foundation of China in 2011 to review the implementation of *China Principles* and to discuss its future development. As part of the research, this paper focuses on cultural heritage conservation principles established by national and federal agencies. The purpose of this paper is to

compare and analyze the backgrounds, objectives, core concepts, conservation principles, and the implementation of guidelines around the world and examine how different countries apply international conservation concepts to their local practices without losing the sight of their unique cultural heritage, legal systems, and conservation mechanisms.

This paper examines the 2008 Conservation Principles: Policies and Guidance for the Sustainable Management of the Historic Environment of English Heritage (or the England Principles)¹ and the 2010 Standards and Guidelines for the Conservation of Historic Places in Canada of Canada's Historic Places (or the Canada Guidelines)². By comparing the two documents, this paper analyzes the current trends in the development of national principles for cultural heritage conservation.

2. Common Challenges and Various Solutions

The development of national principles for cultural heritage conservation needs to take into account not only the evolution of international conservation theories but a country's own cultural heritage characters, legal and regulatory systems, and management mechanisms. In other words, national principles can become the bridge between international theories and local practices. The 1979 *Burra Charter*³ is a set of professional guidelines that effectively combines international principles with local practices. The same can be said of the *England Principles* and the *Canada Guidelines*, which reflect influences from recent global and regional developments in this field, such as the *World Heritage Convention* and the *European Landscape Convention*.

The World Heritage system has helped to promote new categories of cultural heritage, such as cultural landscapes, heritage canals, and heritage routes. On the one hand, that has diversified the concept of cultural heritage and placed more emphasis on living and everyday heritage remains. On the other hand, the increased complexity and size of heritage sites have posed challenges to the existing conservation and management measures. In recent years, sustainable development has been integrated into the World Heritage conservation system, for example, Article 119 of the *Operational Guidelines for the Implementation of the World Heritage Convention*⁴ points out that the conservation of World Heritage Sites should support "sustainable use" in order to contribute to the living quality of communities and sustainable development. The 2000 *European Landscape Convention*⁵ offers a broad definition of landscape: "Landscape means an area, as perceived by people, whose character is the result of the action and interaction of natural and/or human factors." It emphasizes that landscapes are related to public interest in the cultural, ecological, environmental, and social fields.

¹ English Heritage. *Conservation Principles: Policies and Guidance for the Sustainable Management of the Historic Environment*. [EB/OL]. (2008) [2012-10-25]. <http://www.english-heritage.org.uk/professional/advice/conservation-principles/ConservationPrinciples/>

² *Standards and Guidelines for the Conservation of Historic Places in Canada*. Second Edition. [EB/OL]. (2010) [2014-10-25]. <http://www.historicplaces.ca/en/pages/standards-normes.aspx>

³ Australia ICOMOS. *Burra Charter*. [EB/OL]. (2013) [2014-10-25]. <http://australia.icomos.org/wp-content/uploads/The-Burra-Charter-2013-Adopted-31.10.2013.pdf>

⁴ World Heritage Centre. *Operational Guidelines for the Implementation of the World Heritage Convention*: 29. [EB/OL]. (2013) [2014-10-25]. <http://whc.unesco.org/en/guidelines/>

⁵ Council of Europe. *European Landscape Convention*. [EB/OL]. (2000) [2014-10-25]. <http://conventions.coe.int/Treaty/Commun/QueVoulezVous.asp?NT=176&CM=8&CL=ENG;>

It is in this context that the *England Principles* and the *Canada Guidelines* both discuss the complex composition of heritage sites, the relationship between intrinsic value and economic and public value, and the role of heritage conservation in local sustainable development. Yet the two documents also address issues that have arisen in local practices. The *England Principles* focuses on protecting and managing large, complex heritage sites and enhancing the links among previously independent heritage designation systems and planning approval mechanisms. The *Canada Guidelines* pays more attention to protecting natural features of historic places and sustaining living cultural traditions.

Examples of the application of the *England Principles* include Leicestershire's Foxton Locks and Inclined Plane. Built in the early 20th century, the site consists of ten locks of varying heights and an inclined plane. It has been recognized as an important component of British Waterways because of its tremendous technological and historical values. This complex heritage site is governed by several national designation systems, including the systems of scheduled ancient monuments, listed buildings, and conservation areas. Since different designation systems are involved in heritage conservation, those who protect and manage larger sites often lack an integrated view – they overemphasize the constituent parts and overlook the holistic whole. Since planning consent needs to be obtained from different departments and agencies, the management of such sites is inefficient in many cases.



Fig. 1 The heritage site Leicestershire's Foxton Locks and Inclined Plane

Canada's Grand-Pré Rural Historic District illustrates how new categories of cultural heritage can bring the challenges to the existing system of heritage conservation and management. Grand-Pré, one of the oldest settlements of European origin in Canada, exhibits the different land use patterns of Arcadians and New England Planters. The historic district is composed of abundant cultural and natural heritage sites, including historical villages, archaeological sites, marshland landscapes, traditional farming and water management systems, thus is considered an evolving cultural landscape. Although its values are recognized by the national conservation system, the complex living heritage still poses challenges to the existing conservation principles and management mechanism. People wonder about how to better protect and connect its natural and cultural features and how to handle the conflict between modern agriculture and landscape conservation.



Fig. 2 Canada's Grand-Pré Rural Historic District and the farming activity

In fact, such challenges are common in many other countries, including China. At the same time, England and Canada have responded to their challenges in different ways.

England started to undertake a cultural heritage reform in 1997. A multitude of conservation policies were modified, including those on heritage designation, consent system, planning policy, public participation, and documentation. The *England Principles* and the draft *Heritage Protection Bill* (2008) were introduced as leading guidance. As the government implemented its sustainable development strategy, the conservation reform was carried out to “protect and enhance the physical and natural environment and use resources and energy as efficiently as possible” and thus to “improve the quality of life”.⁶ In February 2000, English Heritage published the *Power of Place*⁷, a report based on an extensive public investigation. According to the report, most of the public considered the historic environment an integral whole that would evolve and grow, rather than be protected statically and fragmented. Based on that view, the *England Principles* advocates the inclusion of all categories of cultural heritage under the concept of “historic environment” and the inclusive, public-oriented decision-making process supported by the *European Landscape Convention*. It emphasizes the inevitable, constant change of the historic environment and encourages people to manage and control change more proactively. After publishing the *England Principles*, English Heritage, along with the Department for Culture, Media and Sport and the Department for Communities and Local Government, prepared a number of documents for different categories of heritage sites and conservation processes to provide more specific guidance.

The *Canada Guidelines*, unlike its English counterpart, does not call for an overhaul of the national heritage conservation policy but focuses on the development of coherent and operable standards and guidelines based on the unique character of Canada's cultural heritage. The *Canada Guidelines* was adopted in 2003 and revised in 2010. Structured around major categories of historic place character components, the revised version explains the relationship between Statements of Significance and intervention principles, includes updated guidelines for the conservation of cultural landscapes, especially emphasizes the protection of the

⁶ HM government. *Securing the Future – Delivering UK Sustainable Development Strategy: The UK Government Sustainable Development Strategy*. [EB/OL]. (2005) [2012-10-25]. <http://www.defra.gov.uk/publications/2011/03/25/securing-the-future-pb10589/>

⁷ English Heritage. *Power of Place: the future of the historic environment* [EB/OL].(2000) [2012-10-25]. <http://www.english-heritage.org.uk/publications/power-of-place/>

evidence of land use, ecological features, and traditional practices.

A comparison of the targets of conservation, definitions of conservation, understandings of values, conservation principles, and intervention measures in the two documents would reveal the following trends in the development of conservation theories.

3. Definition of Cultural Heritage: An Integrated View

Centered on the concept of historic environment, the *England Principles* emphasizes a holistic vision and an integrated way of thinking. It defines the historic environment as “*all aspects of the environment resulting from the interaction between people and places through time, including all surviving physical remains of past human activity, whether visible or buried, and deliberately planted or managed flora*”. Therefore, the historic environment is not a particular category of cultural heritage but an overarching concept, including the entire protected heritage in a heritage designation system. The *England Principles* uses the word “place” to refer to “*any part of the historic environment that can be perceived as having a distinct identity*”, as more specific objects of conservation – any historic environment is the product of multiple layered places. The term “place” represents an attempt to transcend the physical aspects of cultural heritage and to go beyond individual heritage sites of specific sizes or categories, advocating the conservation of all features that contribute to a sense of place. The concept of historic environment has been introduced to change the traditional understanding of cultural heritage. Heritage no longer means individual monuments but can be examined at two different levels: the wholeness and diversity of heritage sites as landscapes (macro-level) and the “living” features of heritage sites as living spaces (micro-level).

At the practical level, the English government has proposed three major reform measures for the integrated conservation of the historic environment: (1) to combine the original conservation systems into a single Register of Historic Sites and Buildings in England (RHSBE), (2) to implement a heritage consent system, and (3) to create legislation supported heritage partnership agreements.

The RHSBE, divided into only two subsystems (national and local)⁸, will integrate the original heritage registration and recording systems and introduce new criteria for the registration of heritage sites. Heritage sites that are under the protection of the original systems will be reclassified and managed according to their different values, categories, and conditions. That would help to enhance the links among the various designation systems and highlight the complexity and wholeness of the historic environment as a combination of many interconnected and complementary components or elements. Similarly, a unified heritage consent system will simplify the different planning permission requirements set out by the various designation systems. For example, the consent application for archaeological sites needs to meet more strict standards and requires a longer time to be approved. That kind of application process could not keep up with the pace of nowadays’ fast-changing historic environment. By contrast, the consent for listed buildings is more flexible and unpredictable. The reform of the consent system will streamline the review and approval process, improve the coherence of basic requirements for consent, and highlight the development of targeted conservation policies based on Statements of Significance. Heritage partnership agreements were first used

⁸ The national RHSBE will include all the existing designation systems for registered historic buildings, designated archaeological sites and monuments, registered historic parks and gardens, war sites, and World Heritage Sites. The local RHSBE will include conservation areas protected by local governments and historic buildings that are locally registered.

for the management of designated monuments and listed buildings and have proved to be helpful in clarifying the responsibilities of each party involved, reducing applications for planning permission, and contributing to constructive dialogues and collaboration among stakeholders. Such agreements are considered an effective way to manage complex historic environments.

In the *Canada Guidelines*, “historic place” is still a legal concept that refers to any physical place that the federal, provincial, or local governments or other organizations believe has heritage values. Historic places include buildings, engineering works, landscapes, archaeological sites, urban districts, villages and farms, and other individual cultural heritage sites or groups of such sites. The holistic view of heritage conservation in the *Canada Guidelines* is mainly reflected in its protection of character-defining elements, which include not only valuable physical elements such as materials and forms but also non-physical elements like locations, spatial organization, functions, and relevant cultural links or significance. The document further divides character-defining elements into five major categories: cultural landscapes (including heritage districts), archaeological sites, buildings, engineering works (including civil, industrial, and military works), and materials. It further defines some of the common features of each category.

Unlike its English counterpart, the *Canada Guidelines* discusses the character-defining elements of historic places by examining different heritage categories. Since historic places are combinations of all kinds of features, such an approach can make abstract heritage character more specific and concrete. When discussing cultural landscapes, the document focuses on structural, natural, and non-physical elements of the landscape, such as land use, spatial organization, vegetation, and water features. The guidelines on archaeological sites examine heritage categories and its environments, such as sites in urban environments, sites underwater, industrial sites, sites in protected natural areas, and sites in cultural landscapes. Therefore, this document, neither too vague nor too flexible, covers character-defining elements of all types and provides very specific guidance for conservation and intervention.

4. Conservation and Sustainability: Managing Change

In the World Heritage system, UNESCO is concerned about the inextricable links between heritage conservation and sustainable development, which has influenced some national conservation principles as well. Contemplating conservation and sustainability can help to introduce the concept of intergenerational and intra-generational equity into heritage conservation and encourage people to rethink the relationship between heritage conservation and utilization.

The sustainable management of the historic environment is a key concept in the *English Principles*. Efforts to enable conservation to contribute to sustainable development or, in other words, efforts to live within the limits of the environment, represent a new perspective on the relationships between the understanding, conservation, utilization, and innovation of cultural heritage. *Sustaining the Historic Environment: New Perspectives on the Future* says, “...our generation has a valid and understandable wish to leave its own mark on the environment. Just as we have inherited historic resources from previous generations, so future generations will inherit from us the ‘new’ assets we choose to conserve. We also have an obligation to pass on a better, and more widely spread, understanding of the historic environment...For this reason, there is a need

to use parts of the historic resource...”⁹ The *England Principles* expresses a similar view: “Each generation should therefore shape and sustain the historic environment in ways that allow people to use, enjoy and benefit from it, without compromising the ability of future generations to do the same ... Change in the historic environment is inevitable.”

Therefore, the *England Principles* defines conservation as “the process of managing change to a significant place in its setting in ways that will best sustain its heritage values, while recognizing opportunities to reveal or reinforce those values for present and future generations”. The conservation of the historic environment is a long-term, dynamic process of change management. Conservation is needed to preserve the values of the historic environment, and appropriate presentation and utilization are required to deepen our understanding of those values and enable us to see heritage as a public resource that can create opportunities for wide-ranging discussion and play a constructive role in society. Thus, a sustainable historic environment means efforts to sustain and strengthen heritage values and strike a balance between conservation/intervention and sustainable use.

A circular view of historic environment management is reflected in every aspect of cultural heritage conservation in England, from policies to guidelines. In 2005, English Heritage launched a general policy document titled *English Heritage Strategy 2005-2010: Making the Past Part of Our Future* and identified four priorities (understanding, valuing, caring, and enjoying) to “make the most effective use of the assets in our care”.¹⁰ In recent years, English Heritage has prepared a series of practical guidelines for different stages and objects of conservation (see Table. 1). Therefore, the *England Principles* is actually comprised of several sets of guidelines with different objectives and focuses. Building on the general conservation principles established in the 2008 *England Principles*, those new guidelines have created more detailed management requirements and more specific operational processes so that the various steps and technicalities of heritage conservation can be better regulated and controlled.

The emphasis of the *England Principles* on change management is also reflected in its flexible conservation and intervention measures. According to the document, an intervention measure will be acceptable if it increases people’s understanding of history, presents or enhances the values of a site, and generates more benefits than it causes harm. Apart from common intervention measures like routine management and maintenance, periodic renewal, intervention, repair, new work, and alteration, two flexible new measures are also included in the *England Principles*: integrating conservation with other public interests and enabling development. The latter applies to development projects that do not fulfil planning permission requirements but can be approved as exceptions because of the public benefits they can generate. Such a project can only be approved if it can deliver significant public benefits and meet all the following requirements:¹¹

⁹ English Heritage. *Sustaining the Historic Environment: New Perspectives on the Future*. [M]//The heritage reader, Edited by Graham Fairclough, Rodney Harrison, John H. Jameson Jnr., John Schofield, Routledge. 2008:317.

¹⁰ English heritage. *English Heritage Strategy 2005-2010: Making the Past Part of Our Future*. http://www.helm.org.uk/upload/pdf/final_strategy_doc_tagged.pdf

¹¹ English Heritage. *Conservation Principles: Policies and Guidance for the Sustainable Management of the Historic Environment*. [EB/OL]. (2008) [2012-10-25]. <http://www.english-heritage.org.uk/professional/advice/conservation-principles/ConservationPrinciples/:62>.

Table. 1 English Heritage's major guidelines for the conservation of the historic environment

Understanding	Valuing	Caring	Enjoying
		2006 Guidance on the management of conservation areas	
	2007 Listed Building Selection Guides		
		2008 Conservation Principles: Policies and Guidance for the Sustainable Management of the Historic Environment Enabling development and the Conservation of Significance Places 2009 The Protection & Management of World Heritage Sites in England	
2010 Understanding Place: Guidelines on assessing historic areas			
	2011 Seeing History in the View Analysing: the significance of heritage in views for planning		Introductions to Heritage assets overviews of different types of archaeological asset
	2012 Good Practice Guide for Local Heritage Listing	2012 The Setting of Heritage Assets: Guidance on managing change in the setting of buildings and archaeological sites	

- a. it will not materially harm the heritage values of the place or its setting;
- b. it avoids detrimental fragmentation of management of the place;
- c. it will secure the long-term future of the place and, where applicable, its continued use for a sympathetic purpose;
- d. it is necessary to resolve problems arising from the inherent needs of the place, rather than the circumstances of the present owner, or the purchase price paid;
- e. sufficient subsidy is not available from any other source;
- f. it is demonstrated that the amount of enabling development is the minimum necessary to secure the future of the place, and that its form minimizes harm to other public interests;
- g. the public benefit of securing the future of the significant place through such enabling development decisively outweighs the disbenefits of breaching other public policies.

It was not until 1999 that the first “enabling development” projects were launched. Only a limited number of such projects have been approved, so it remains to be seen whether enabling development will be truly effective in practice. Most of the approved projects are intended to address the damage of rapid urbanization to the historic environment or the lack of public funding for conservation. As their impact is properly managed and guided, they are encouraged to use heritage sites for different purposes.

An example of enabling development is the 29 new buildings near Henbury House in Dorset, a Grade II* Listed Building. They were built in an area where such construction activity would have otherwise been forbidden. The designs, heights, and materials of the new buildings show respect to the historic environment, and the economic benefits they have generated will be used for the repair and maintenance of the historic building in the long term.



Fig. 3 The new constructions and the historic buildings of Henbury House, Dorset

However, such projects, which might not be able to obtain planning permission without the “enabling development” provision, are bound to affect heritage values. The evaluation of their negative impact is largely dependent on the judgment of local governments, property owners, and management agencies as well as public participation and oversight. The procedure for reviewing and approving such projects can be very

flexible. Although the *England Principles* stipulates that an enabling development project should “not materially harm the heritage values of the place or its setting”, it is more difficult to evaluate its damage to the setting than its physical harm to the place itself. As the heritage conservation community is increasingly concerned about the settings of heritage sites, such principles seem not to be able to strengthen conservation requirements.

The *Canada Guidelines* also emphasizes the importance of scientific and rigorous decision-making. A proper decision-making process, according to the document, is composed of three steps: (1) to determine the values and character-defining elements of a heritage site, (2) to select an appropriate treatment (preservation, rehabilitation, or restoration), and (3) to establish operational guidelines using a “recommend” and “not recommend” format after taking into account the identified character-defining elements and treatment method.

The structure of the *Canada Guidelines*, like its English counterpart, highlights the relationship between heritage conservation and sustainable development. Incorporating the unique character of Canada’s heritage, the document pays extra attention to the combination of conservation systems for natural and cultural heritage as well as intangible cultural heritage such as the lifestyles, modes of production, customs, and folk arts of aboriginal peoples in Canada. This approach is also reflected in the character-defining elements framework for cultural landscapes in the document. The 2003 version lists the following elements for the conservation of cultural landscapes: land patterns, spatial organization, visual relationships, circulation, vegetation, landforms, water features, and built features. Apart from those elements, the revised *Canada Guidelines* includes three new ones: evidence of land use, evidence of traditional practices, and ecological features. It advocates efforts to strengthen protection for the character-defining elements of cultural landscapes through the integral conservation of regional ecosystems and the continuation of traditional cultures.

The Montmorency Falls Park, for instance, was first protected as a scenic spot for its natural beauty. Yet, in the 1990s, it started to be seen as a cultural landscape. The site bears evidence of agricultural and industrial activities from different periods, including 17th century agricultural settlements, 18th century farmhouses, 19th century industrial facilities, and archaeological sites. Viewed through the lens of the revised *Canada Guidelines*, the park is valuable because it boasts splendid scenery, bears evidence of human history, and serves as a tourist attraction. The document also points out that conservation needs to consider the preservation of the local ecosystems, the protection of built environments related to industrial and agricultural activities, and heritage features that need to be strengthened for better visitor experience (including transportation, important sightseeing spots, and views).

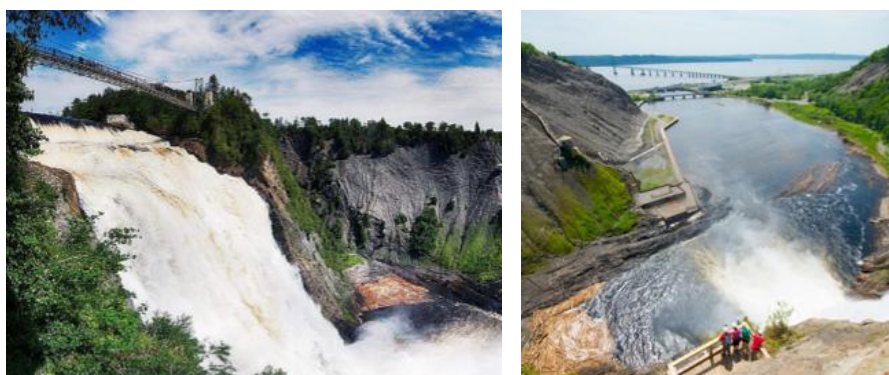


Fig. 4 The Montmorency Falls Park, Canada

5. Communal Value and Public Participation

When the historic environment contains numerous heritage sites and becomes unprecedentedly large, effective heritage conservation and management will largely depend on a sustainable, broad-based collaboration mechanism. The key to such a mechanism is to engage local governments, communities, private organizations, and individuals in conservation practices on a larger scale. Therefore, the *England Principles* proposes the concept of communal value – the fourth type of heritage value besides evidential, historical, and aesthetic value. Communal value comes from people who relate to a place and collective experience and memory. It can be divided into three categories: commemorative and symbolic value, social value, and spiritual value. Social value is connected with places that are perceived as a source of identity, distinctiveness, social interaction, and coherence.

The concept of communal value echoes the inclusive decision-making process advocated by the *European Landscape Convention*. It seeks to end the long-standing domination of cultural elites over heritage conservation, dispel the misconception that conservation is only a specialized technical endeavor, and promote conservation as a social activity that facilitates consensus and identity building. As a specific measure for enhanced multi-stakeholder participation, heritage partnership agreements are increasingly important and have been codified into the draft *Heritage Protection Bill*.

6. Direction of the Development of Heritage Conservation Principles and Implications for China

The *England Principles* and the *Canada Guidelines* both take into consideration the unique character of their countries' cultural heritage, draw on international conservation theories, rethink the values of cultural heritage sites, and examine how integral heritage protection and management can relate to sustainable development, public participation, and other issues. The *England Principles* adopts the concept of historic environment as it downplays England's complicated designation and categorization mechanisms and highlights the interconnectedness of the constituent parts of the integral conservation system. Emphasizing that cultural heritage is a public resource, it seeks to guide and control the whole conservation process through a series of principles and promote more dynamic management measures. However, as some experts point out, the *England Principles* provides overly diverse interpretations of some practical issues and is thus extremely flexible. By contrast, the more pragmatic *Canada Guidelines* recommends a standard procedure and takes full account of the different types of historic places. It also highlights the unique character of Canada's cultural heritage, balances natural and cultural heritage elements, and pays attention to the links between the physical dimensions of cultural heritage and the living cultural traditions, modes of production, and lifestyles of various localities.

The increasing diversity, size, and number of Chinese cultural heritage sites are forcefully propelling the transformation of the country's heritage conservation methods. The revision of the *China Principles* could draw on the *England Principles* and the *Canada Guidelines* in the following aspects:

- 1) Cultural heritage conservation should focus on the characteristics of different categories of heritage sites and take an integrated view emphasizing the links among separate components of cultural heritage.

- 2) The diversity of cultural heritage values should be respected, including not only historical, scientific, and artistic values but social, spiritual, and economic values. Cultural heritage conservation plays an important role in regional sustainable development as a prudent mode of development that can preserve cultural features.
- 3) Apart from appropriate engineering technologies, change management that is guided by processes and centered on control is also an important part of cultural heritage conservation. Building on the existing general principles, we should prepare more targeted guidelines based on the process of conservation and management and the unique characteristics of different heritage categories. Thus, cultural heritage conservation can be guided in a more systematic manner.
- 4) The decision-making process should be supported by more public participation and cross-organizational collaboration. A better-regulated operational environment can be created through the revision of national laws and regulations and conservation principles.

Expanding the Definition of the Cultural Heritage: Using International Instruments for Protection, Management, and Conservation

Joseph KING

ABSTRACT

Over the past 40 years, there has been a tendency to expand definitions of culture heritage to include an ever widening group of objects, places, and practices that are creations of human culture. This expanding definition of heritage comes from a better understanding of a variety of factors including: the diversity of heritage in regard to different cultures, regions, beliefs, and practices; the need to incorporate setting and context in order to fully understand heritage values; the need to involve more people and more communities in the heritage conservation process. As a result, the international community has developed a number of normative instruments to help countries better protect this ever expanding heritage. These include conventions (eg. the 2003 Convention for the Safeguarding of Intangible Cultural Heritage), recommendations (eg. the 2011 Recommendation on the Historic Urban Landscape), charters, (eg. the 2011 Joint ICOMOS – TICCIH Principles for the Conservation of Industrial Heritage Sites, Structures, Areas and Landscapes) and programmes (eg. ICCROM’s Living Heritage programme). This paper will attempt to look at a number of the international normative instruments that have been developed in the last 40 years, to better understand their implications for the protection of the cultural heritage at the international, national, local levels. The paper will look at how these instruments can be used to manage the growing corpus of cultural heritage, and perhaps more importantly, how they can be put into an integrated framework that helps rather than hinders management and conservation.



ICCRUM

Expanding the Definition of the Cultural Heritage:
Using International Instruments for Integrated
Protection, Management, and Conservation

Joseph King
Beijing, China – 4 May 2014



- the diversity of heritage in regard to different cultures, regions, beliefs, and practices;
- the need to incorporate setting and context in order to fully understand heritage values;
- the need to involve local communities in the heritage conservation process.

Expanding Categories of Heritage

For Cultural Heritage...




- **Monuments:** architectural works, works of monumental sculpture and painting, elements or structures of an archaeological nature, inscriptions, cave dwellings and combinations of features, which are of outstanding universal value from the point of view of history, art or science
- **Groups of buildings:** groups of separate or connected buildings which, because of their architecture, their homogeneity or their place in the landscape, are of outstanding universal value from the point of view of history, art or science
- **Sites:** works of man or the combined works of nature and man, and areas including archaeological sites which are of outstanding universal value from the historical, aesthetic, ethnological or anthropological point of view

Definition of the Heritage



- Represent a unique artistic or aesthetic achievement, a masterpiece of human creative genius, or
- have exerted considerable influence over a span of time or within a cultural area of the world, on subsequent developments in architecture, monumental sculpture, garden and landscape design, related arts or human settlements; or
- be unique, extremely rare, or of great antiquity; or
- be among the most characteristic examples of a type of structure, the type representing an important cultural, social, artistic, scientific, technological or industrial development; or
- be a characteristic example of a significant, traditional style of architecture, method of construction, or human settlement, that is fragile by nature or has become vulnerable under the impact of irreversible socio-cultural or economic change; or
- be most importantly associated with ideas or beliefs, with events or with persons, of outstanding historical importance or significance.

Criteria for Cultural Heritage in 1977




1977

(v) be a characteristic example of a significant, **traditional** style of architecture, method of construction, or human settlement, that is fragile by nature or has become vulnerable under the impact of irreversible socio-cultural or economic change; or


1978

(v) be a characteristic. example of a significant style of architecture, method of construction or form of town planning or **traditional** human settlement that is fragile by nature or has become vulnerable under the impact of irreversible socio-cultural or economic change; or

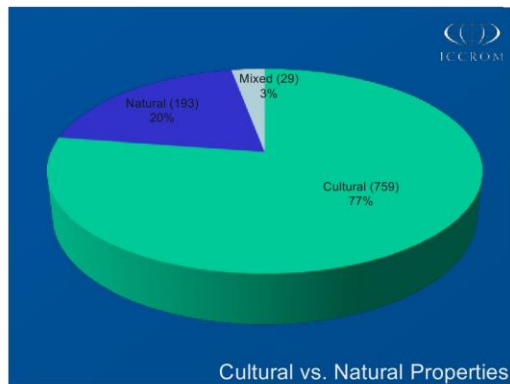
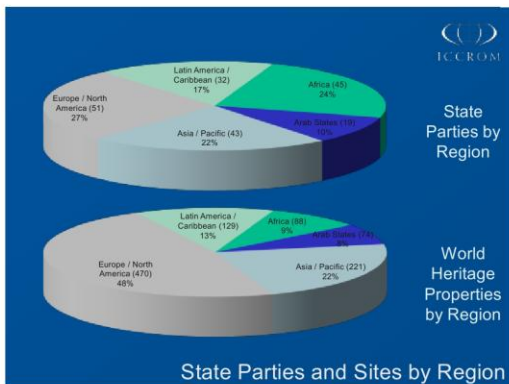
Criteria v in 1977 and 1978



- towns no longer inhabited
- inhabited towns
- new towns of the 20th century



1987 Addition of definition of Groups of Urban Buildings



1. Global Study / Global Strategy for a Balanced World Heritage List

1. Balance between culture and nature
2. Regional balance
3. Typological balance

2. Nara Document on Authenticity

3. Introduction of Cultural Landscapes into the Operational Guidelines



1994 Full Recognition of Cultural Diversity

- Historic Towns and Town Centres (meeting 1984 – 1987)
 - towns which are no longer inhabited
 - historic towns which are still inhabited
 - new towns of the twentieth century
- Cultural Landscapes (meeting 1992 – included 1994)
 - landscape designed and created intentionally by man
 - organically evolved landscape
 - associative cultural landscape
- Heritage Canals (meeting of 1994 – included 2005)
 - technological, economic, social, and landscape factors
- Heritage Routes (meeting of 1994 – included 2005)
 - exchanges, with continuity in space and time
 - exchange and dialogue between countries or between regions
 - multi-dimensional
 - refers to a whole, where the route has a worth over and above the sum of its elements

Additions to the Operational Guidelines

HUMAN COEXISTENCE WITH THE LAND

1. Movement of peoples (nomadism, migration)
2. Settlement Modes of subsistence
3. Technological evolution

HUMAN BEINGS IN SOCIETY

1. Human interaction
2. Cultural coexistence
3. Spirituality and creative expression

Global Strategy

1. Typologies
2. Historical/Cultural
3. Thematic
 - a. Cultural Associations (human interaction with society; cultural and symbolic associations; branches of knowledge)
 - b. Expressions of Creativity (monuments; groups of buildings; sites)
 - c. Spiritual Responses (spiritual and religious systems)
 - d. Utilization of Natural Resources (agricultural systems; mining; manufacturing)
 - e. Movements of People (migration; nomadism; slavery; routes)
 - f. Development of Technologies

The World Heritage List: Filling the Gaps (2004)

ICCR OM

- a. oral traditions and expressions including language
- b. performing arts
- c. social practices, rituals, festive events
- d. knowledge and practices concerning nature and the universe
- e. traditional crafts

1. the practices, representations, expressions, knowledge, skills
2. instruments, objects, artefacts
3. cultural spaces associated



Intangible Heritage 2003

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1. Improper use of the terminologies (tangible values/intangible values)
2. Non-use of authenticity in intangible heritage
3. The link (or lack thereof) to place and other tangible attributes
4. The lack of cooperation between the two conventions overall
5. Different reporting mechanisms (also true of other conventions and programmes)

Issues Related to the Divide between Tangible / Intangible

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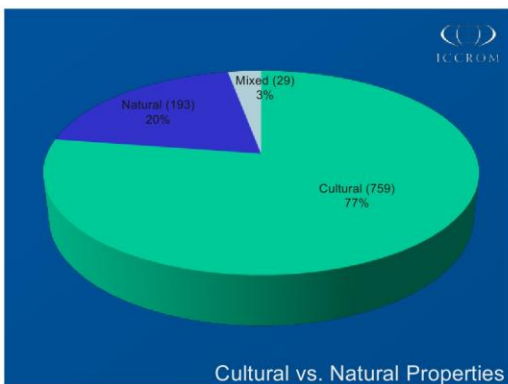


Integrated Approaches to Heritage Management

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1. Criteria separated into two lists from the first version of the Operational Guidelines
2. Joined in 2005, but with no change other than order
3. Potential lost opportunity

Lack of Integration within the WH Convention: The Culture / Nature Divide



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1. 1977 Operational Guidelines specifically invited States Parties to, "as far as possible..... include, in their submissions, properties which combine in a significant way cultural and natural features of outstanding universal value,"
2. First mixed property, Tikal National Park in Guatemala was inscribed in 1979, the second year of inscriptions.
3. 1978 – 1979 already an imbalance with 42 cultural sites and 12 natural sites
4. 1980 Operational Guidelines state "efforts will be made to avoid any disproportion between cultural heritage and natural heritage properties entered on the List."
5. Section added: Balance between the Cultural and the Natural Heritage in the Implementation of the Convention

Nature / Culture


 ICCROM


1. Cultural landscapes opportunity but not as effective as it might have been. IUCN is much less involved only commenting occasionally on CL nominations.
2. Now two new projects
3. Joining Practice (IUCN/ICOMOS)
4. Joint Capacity Building (ICCR OM/IUCN/ICOMOS/WHC)

Nature / Culture Opportunities


 ICCROM

1. Living Heritage Approach
2. Historic Urban Landscape Approach
3. Globally Important Agricultural Heritage Systems

Integrated Approaches to Heritage Management


 ICCROM

1. Based on ICCROM's ITUC programme
2. Not similar to UNESCO's use of the term as synonymous with Intangible Heritage
3. Not a typology of heritage, but rather an approach to thinking about the heritage, understanding it, managing it, and ensuring that it has ongoing use in the life of the community

Living Heritage Approach: Background


 ICCROM

As a philosophy, the Living Heritage approach emphasizes continuity as the primary driver for the definition, conservation and management of heritage. This continuity comes in four main areas:

1. continuity of use;
2. continuity of community connections;
3. continuity of cultural expressions (both tangible and intangible);
4. continuity of care (through traditional or established means).

Living Heritage Approach


 ICCROM

As a process, Living Heritage facilitates:

1. community-led (bottom-up), interactive approach to conservation,
2. emphasizing core community values (this however, recognizes the hierarchy of values, stakeholders),
3. recognizing changes and utilizing traditional or established management systems (in terms of practices, materials, knowledge)
4. deliver benefits to the community (e.g. spiritual, social, economic, developmental, etc.)
5. taking care of the fabric

Living Heritage Approach


 ICCROM

As a product, Living Heritage:

1. empowers the community (strong role in decision-making) to safeguard heritage with new decision-making mechanisms

Example of Living Religious Heritage





Living Heritage Approach





1. Based on the Vienna Memorandum
2. Problem of tall buildings near World Heritage properties
3. Problems of context
4. Problems of setting
5. Problems of including contemporary architecture in a heritage environment
6. Not a typology of heritage, but rather an approach to thinking about the historic urban environment, understanding it, managing it, and ensuring that it has ongoing use in the life of the community



Historic Urban Landscape Approach:
Background


The Vienna Memorandum
and the Historic Urban Landscape

Single Buildings in the Urban Environment





Large Urban Area



1. assessment of the city's natural, cultural, and human resources;
2. participatory planning and stakeholder consultations to decide on conservation aims and actions;
3. assessment the vulnerability of urban heritage to socio-economic pressures and impacts of climate change;
4. integration of urban heritage values and their vulnerability status into a wider framework of city development;
5. prioritization of policies and actions for conservation and development, including good stewardship;
6. establishment of the appropriate (public-private) partnerships and local management frameworks;
7. development of mechanisms for the coordination of the various activities between different actors.


Historic Urban Landscape Approach




The historic urban landscape is the urban area understood as the result of a historic layering of cultural and natural values and attributes, extending beyond the notion of "historic centre" or "ensemble" to include the broader urban context and its geographical setting.

- Topography
- Geomorphology
- Hydrology and natural features
- Built environment, both historic and contemporary
- Infrastructure
- Open spaces and gardens
- Land use patterns, spatial organization
- Perceptions and visual relationships
- Social and cultural practices, economic processes, and intangible dimensions
- Other elements of the urban structure


Recommendation on the Historic Urban Landscape



- Economic conditions
- Social conditions /organization
- Community and individual needs
- Educational needs
- Infrastructure
- Quality of life issues
- Environmental concerns



Look at the Whole of the Urban Context



1. Continued development of concepts
2. Development of case studies in different regions
 - a. Eastern Africa: Lamu, Kenya; Zanzibar, Tanzania; Island of Mozambique, Mozambique
 - b. China: development of a roadmap for HUL in the Chinese context as a result of a meeting in Shanghai in 2012
3. Evaluation will be needed to determine if it is an effective tool

Historic Urban Landscape Approach:
Future Directions




1. "Remarkable land use systems and landscapes which are rich in globally significant biological diversity evolving from the co-adaption of community with its environment and its needs and aspirations for sustainable development
2. Developed by the UN Food and Agricultural Organization (FAO) in 2002
3. UNESCO and ICCROM on the Steering Committee
4. Is considered a heritage typology within the initiative (related to cultural landscape) but not just a typology also an integrated way of looking at traditional agriculture systems (related to Living Heritage)

Globally Important Agricultural Heritage Systems (GIAHS): Background



1. Mountain rice terrace agroecosystems
2. Multiple cropping/polyculture farming systems
3. Understorey farming systems
4. Nomadic and semi-nomadic pastoral systems
5. Ancient irrigation, soil, and water management systems
6. Complex multi-layered home gardens
7. Below sea level systems
8. Tribal agricultural heritage systems
9. High-value crop and spice systems
10. Hunting-gathering systems




GIAHS: Systems Typologies



1. Natural capital (nature's goods and services such as waste assimilation, pollination, water supply, wildlife)
2. Social capital (cohesive people and societies, trust, reciprocity, rules and norms, networks and institutions)
3. Human capital (knowledge, skills, health, etc.)
4. Financial capital (money/savings)
5. Physical capital (infrastructure, roads, markets)

GIAHS: System Assets





1. High levels of biodiversity
2. Agroecosystems nurtured by traditional knowledge systems and farmers' innovations and technologies
3. Ingenious systems and technologies of biodiversity, land and water resource management and conservation
4. Diversified agricultural systems that contribute to food security
5. Farming systems that exhibit resiliency to cope with disturbances and changes/minimizing risks
6. Systems that provide local, regional, and global ecosystem services
7. Systems regulated by strong cultural values and collective forms of social organization including customary institutions for agro-ecological management, rituals, etc.

GIAHS: Systems Characteristics




1. 59 current and potential sites in all regions of the world with a heavier emphasis on Asia, Latin America, and Africa
2. World Heritage related sites include Rice Terraces of the Philippines, Hani Rice Terraces in China, Chiloé Agriculture in Chile, Engaresero Maasai Pastoralist Heritage Area, Tanzania
3. China has 10 current and potential sites
4. Japan has 5 current and potential sites
5. China has developed a Nationally Important Agricultural Heritage Systems programme (NIAHS) with 43 proposals, 33 evaluations, and 20 pilot sites

GIAHS: Systems Characteristics





GIAHS: Hani Rice Terraces



1. UNESCO should consider trying to bring more cooperation between the various heritage conventions and programmes at all levels
2. In order to achieve better integration in the management of the heritage, it will be necessary for there to be a more comprehensive identification of heritage values across international instruments for particular places. (Statement of Significance, not just Statements of OUV)
3. Within the World Heritage Convention, it would be worthwhile to consider reexamining the criteria for cultural and natural heritage in such a way as to better understand if there are it is possible that they be restructured to allow them to reinforce each other.

Final Recommendations



4. Approaches such as (but not limited to) the Living Heritage approach, the Historic Urban Landscape approach, and the GIAHS approach should continue to be developed. Case studies will need to be made in order to understand the strengths and weaknesses of each approach with the aim of improving and reinforcing them.
5. As China has done with the GIAHS initiative, at the national level countries should adopt national strategies and mechanisms that build on the international instruments, but allow for them to be fine-tuned and made more relevant at a national level. In this task, countries should be supported by international and national institutions with experience in the relevant areas.

Final Recommendations



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Conserving culture, promoting diversity
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The issues of material authenticity and intangible aspects of heritage value: Case study in Japan

Nobuko INABA

ABSTRACT

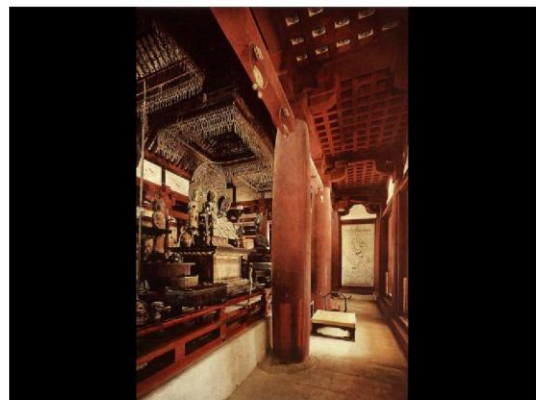
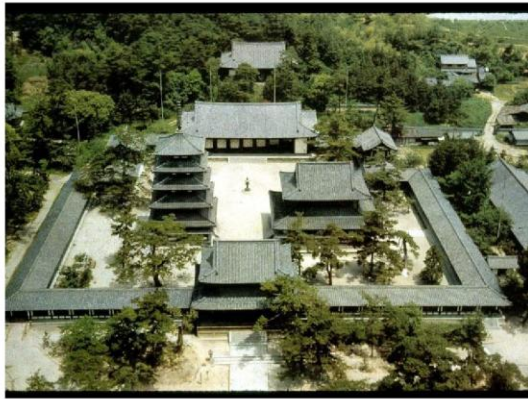
Observing the current trend of heritage concept discussions covering the new areas such as intangible heritage and cultural landscapes, modern heritage conservation practices and their supporting doctrines and legal systems that have been developed almost over two centuries since the 19th century are now in the stage to be revisited and reconfirmed if necessary. The experts at the conservation worksites or in the town offices for advice and permissions are now facing the situation to make difficult decisions to deal with the widened goals of heritage conservation. The international systems such as the World Heritage Convention, Intangible Cultural Heritage Convention as well as the Memory of the World program of UNESCO and others are accelerating these movements by the public which are celebrating these "brands", misunderstanding their systems and purposes (is this only in East Asia?). On the one hand while we are trying to respect material authenticity, reconstructions are to be permitted as spiritual expression of heritage or just as ways of presentations. Taking Japan as a case study from architectural conservation to intangible heritage promotion, the speaker would like to ask questions to the experts gathered here regarding the current understanding of our profession and its future.

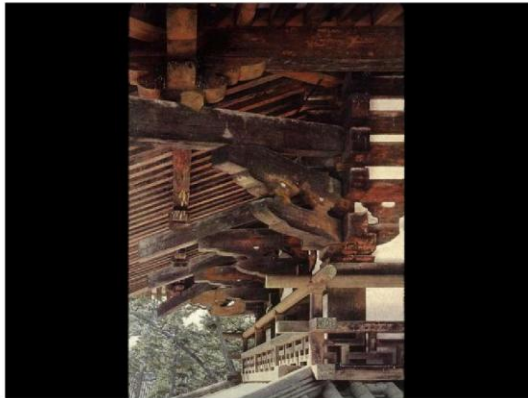
**The issues of material authenticity and intangible aspects of heritage value:
Case study in Japan**

Dr. Nobuko Inaba
Professor, World Heritage Studies
University of Tsukuba
May 2014



Architectural conservation for wooden buildings in Japan has been conducted based on material authenticity since the conservation practices on protected buildings started in the late 19th century.





"The constraints of the criterion of authenticity, sensitive in the European realm, are even more unwieldy in other regions of the world. In Japan, the oldest temples are periodically identically restored, authenticity being essentially attached to function, subsidiary to form, but by no means to material. This ceases to be academic with Japan having ratified the convention on 30 June 1992."

Leon Pressouyre. The World Heritage Convention - twenty years later. 1992



Architectural Conservation for Wooden Structures in Japan – Key Issues for Discussion

- Architectural conservation practices or repair systems developed for the post-and-beam wooden structures common in the East Asian countries
- Reconstruction of lost structures, often conducted at archaeological sites where no material evidence remains above the ground or after destruction by fire -- common to buildings of organic material
- Periodic-reconstruction rite (every twenty years) of the particular Japanese indigenous religion (currently only Ise Shrine carries out this rite) in which authenticity is inherent in the process instead of the material --- intangible heritage

An old debate: Ruskin and Viollet Le Duc
in Japan in the 19th century

Early history of the official architectural
conservation in Japan

Early history of the official architectural conservation in Japan
1868 Meiji Restoration

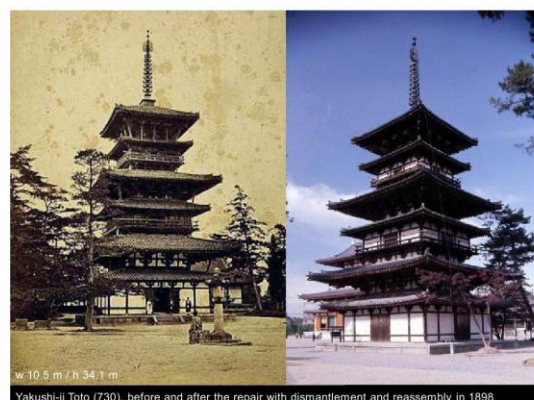
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1897	The Ancient Shrines and Temples Preservation Law
1898	Repair of Toshodai-ji Kondo / Yakushi-ji Toto / Shinyakushi-ji Hondo
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1905-12	Repair of Todai-ji Daibutsuden
1919	The Law for Historic Sites, Places of Scenic Beauty and Natural Monuments
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1930	Conservation project report of Todaiji Nandaimon published
1934-1955	Repair of Horyu-ji temple complex
1950	The Law for the Protection of Cultural Properties

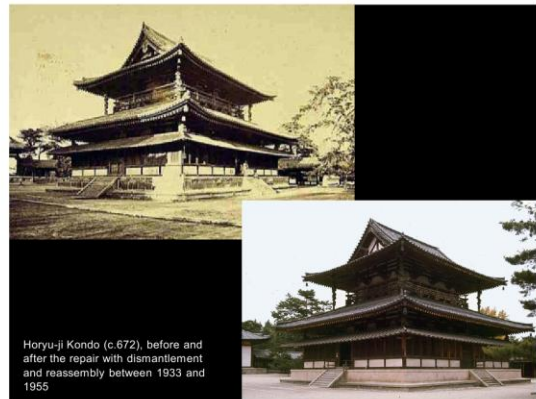
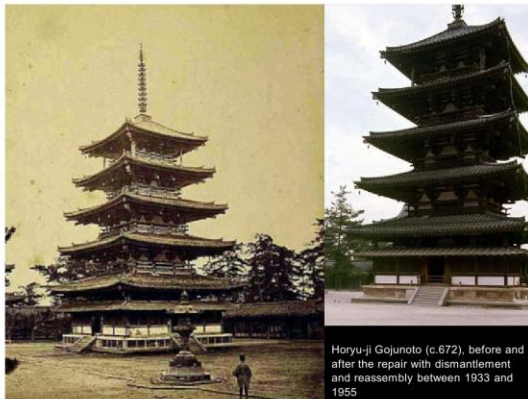
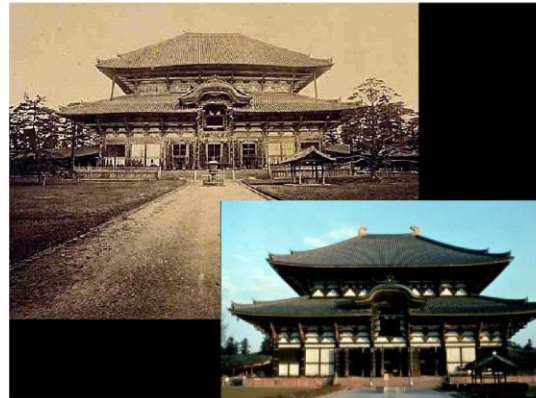
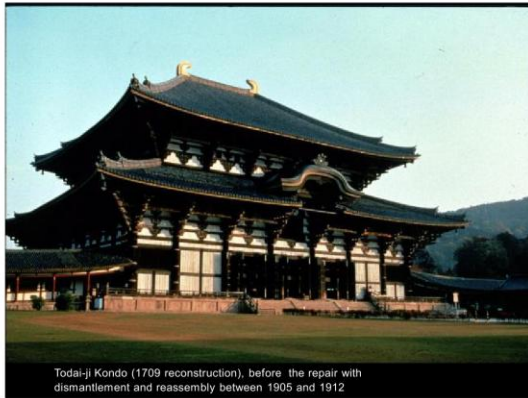
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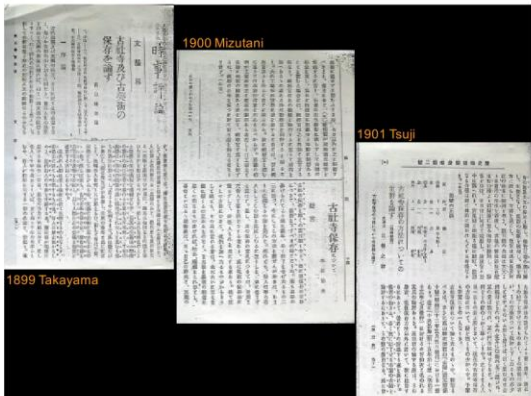


Shinyakushi-ji Hondo (8 C.), before (left) and after (right) the repair with dismantlement and reassembly in 1898



Shinyakushi-ji Hondo (8 C.), before (left) and after (right) the repair with dismantlement and reassembly in 1898

An old debate: Ruskin and Viollet-le-Duc in Japan in the 19th century



1899 Takayama

1900 Mizutani

1901 Tsuji



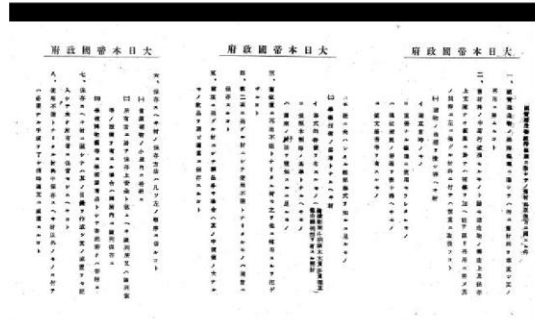
"Dealing with critiques on the policy of the conservation of historic shrines and temples" by Z. Tsuji, 1901

"Dealing with critiques on the policy of the conservation of historic shrines and temples" by Zennosuke TSUJI, 1901 (original in Japanese)

The policy of conservation is to faithfully keep the original state;

- later alterations and additions can be removed and restored to the original state only in cases in which the later alterations and additions are valueless and harmful to the architectural style and in which the original style is non-conjecturally identifiable;
- any parts which are not clearly identifiable either as originals or as later alterations and additions must be left as they are now, and must wait for future studies;
- restoration must be avoided if the original style is not clearly identifiable, even though later alterations and additions are unquestionable;
- later alterations and additions must be preserved if they possess historical and aesthetic value. However, structural systems or their parts which do not relate to the architectural style can be considered outside of this policy and can be altered to meet structural safety requirements. In general, the original materials must be reused and the original style must be preserved as much as possible.

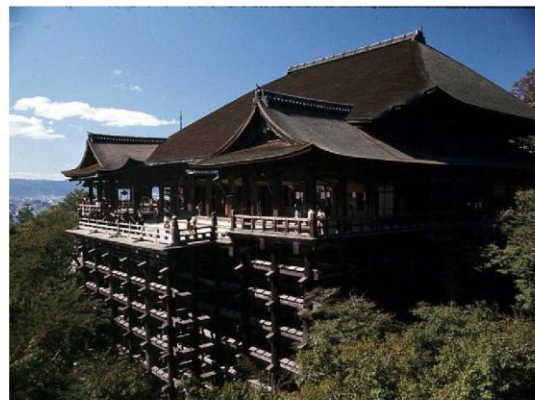
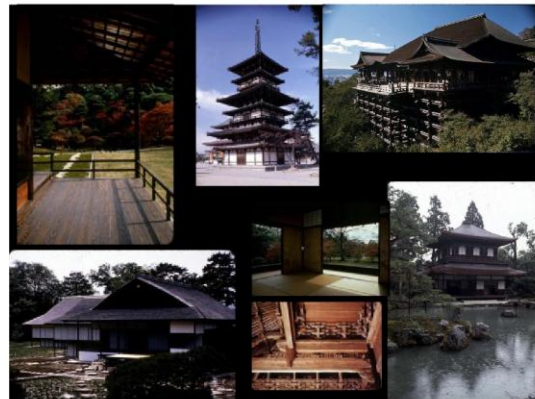
"The method for the preservation of historic shrines in Italy, limiting the conservation work only to a certain period of its history and destroying some parts that belonged to other periods, particularly of non-artistic periods, and the re-use of such materials for other buildings -- this approach to conservation is clearly not recommended. Even if such parts are not artistic, they contain high value as evidence of history, and can serve as historic resources contributing to future studies. ..."
(Tsuji, 1901)



Official guidelines for the handling of original materials/materials on the occasion of the maintenance repair of buildings designated as National Treasures (issued before the Second World War)

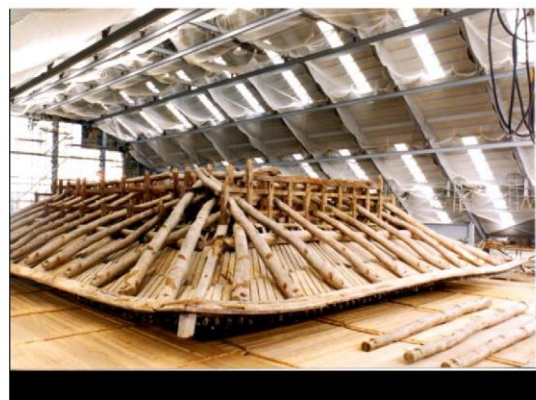
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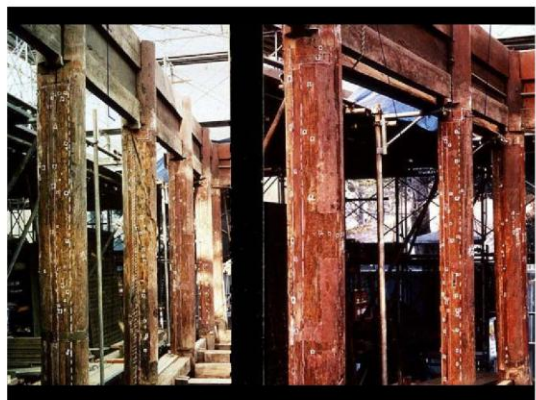
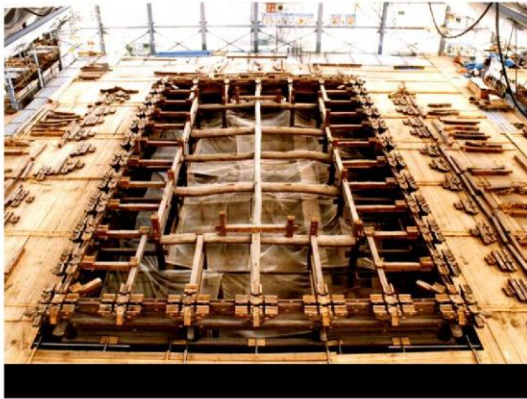
1. The original materials should be respected and should be re-used for the maintenance repair of buildings designated as National Treasures
2. Even materials that are severely damaged or decayed should be re-used as much as possible by repairing them - if this can be done without compromising the structural stability or inhibiting conservation purposes. In regard to the materials, the following are to be given special attention:
 - (1) Materials that bear testimony of the history of the building
 - i) Original materials from the initial construction
 - ii) Materials added at the time of major repairs in the past
 - iii) Materials remaining as proof of the change of the existing state (restoration)
 - iv) Materials on which inscriptions are found
 - v) Materials remaining as evidence of lost features
 - (2) Materials important for scientific studies
 - i) Materials that are interesting in design
 - ii) Materials that had functioned as guides for proportioning
 - iii) Materials that carry the features of traditional techniques
3. The materials should if possible be used at other locations even if they are not able to be re-used in the original positions
4. The materials indicated in article 2 that are not able to re-used should be preserved in a proper manner.
5. If the materials indicated in the previous article remain in certain quantities of the same types, only selected samples need to be preserved.
6. The methods of keeping the un-used materials are to be as follows, in the order of priority indicated:
 - (1) Keep them in the roof structures inside the concerned buildings
 - (2) Keep them in museums or similar facilities managed by and guaranteed by the owners as safe, if any such facilities are available
 - (3) Lend them to public schools or museums as scientific reference materials
7. The list of materials that were kept, with the description of the decisions regarding each item, should be prepared and kept by the owners.
8. The materials that are not able to be re-used and that are designated for disposal can be abandoned after all necessary procedures are followed.

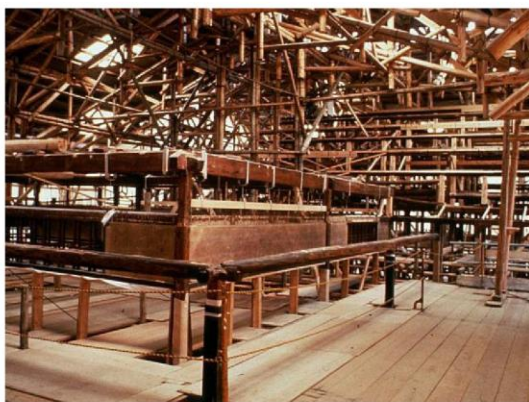


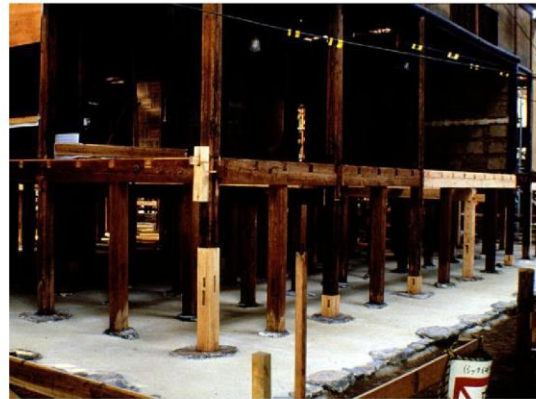


"Kaitai Shuri"
A repair system
dismantlement and reassembly
of original structures

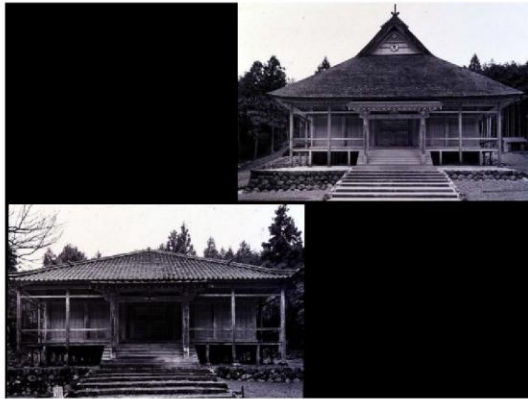








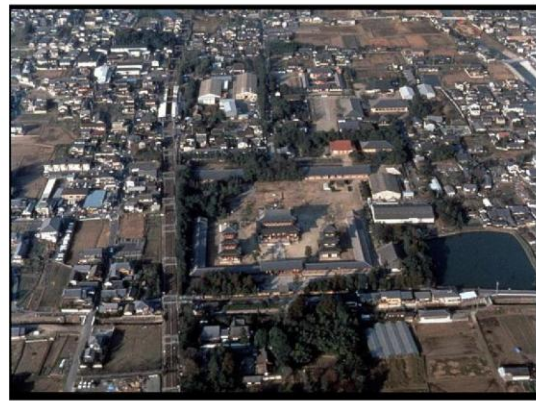




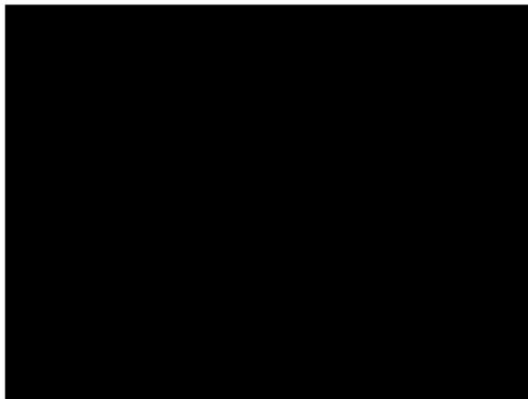
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- Reconstruction of lost structures, often conducted at archaeological sites where no material evidence remains above the ground or after destruction by fire -- common to buildings of organic material
- Periodic-reconstruction rite (every twenty years) of the particular Japanese indigenous religion (currently only Ise Shrine carries out this rite) in which authenticity is inherent in the process instead of the material --- intangible heritage

Reconstruction of lost structures

- Categories of cultural properties in the Law
- Arts and Crafts, Historical Materials, etc.
high historical, artistic and/or scientific value
 - Buildings and other structures
high historical and/or artistic value
 - Historic Sites
high historical and/or scientific value
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high value from the point of view of art or visual appreciation
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"Periodic Reconstruction rite"

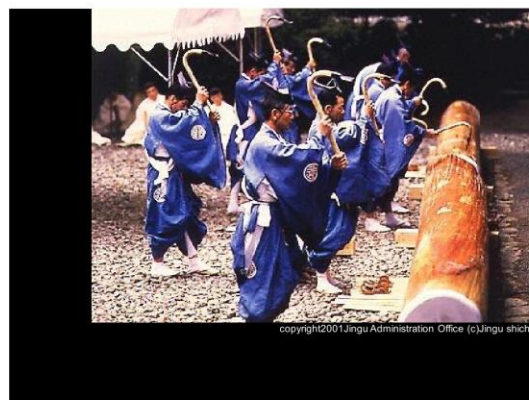
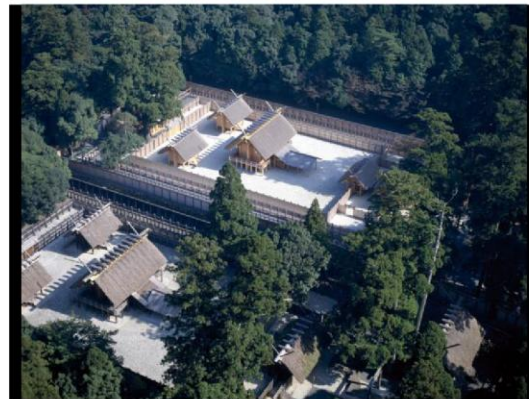
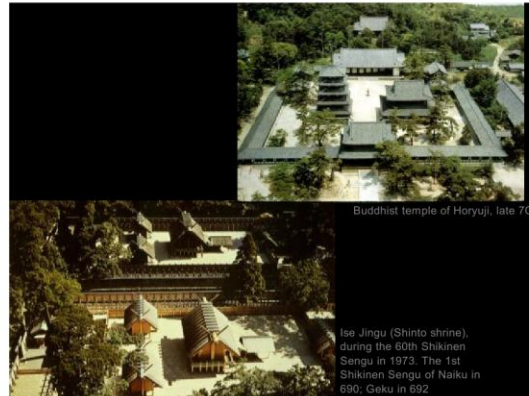
"Shikinen Zota"
a periodic rebuilding rite of
Japan's indigenous religion
"Shinto"

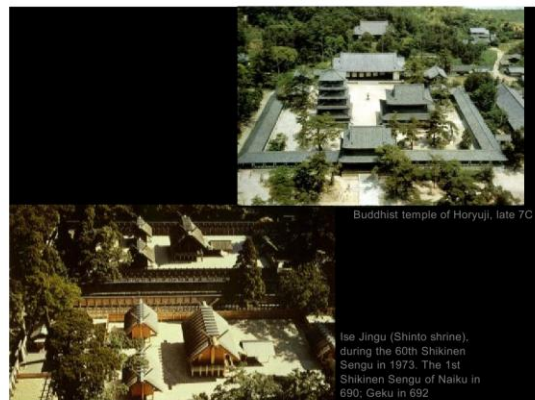
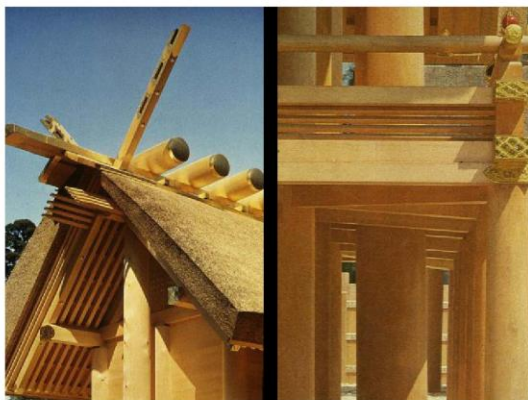
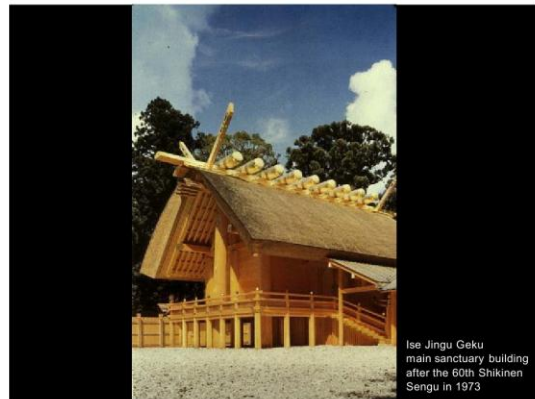
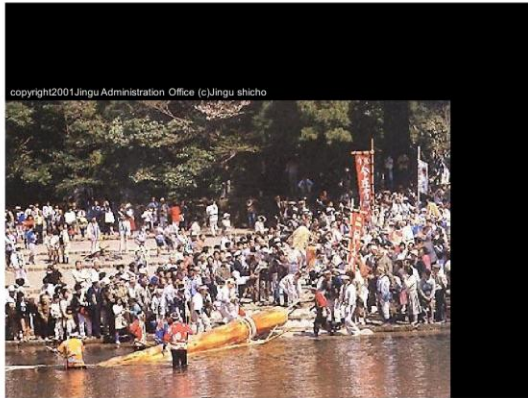
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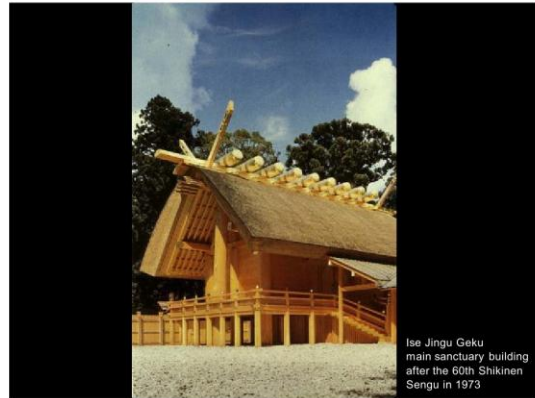
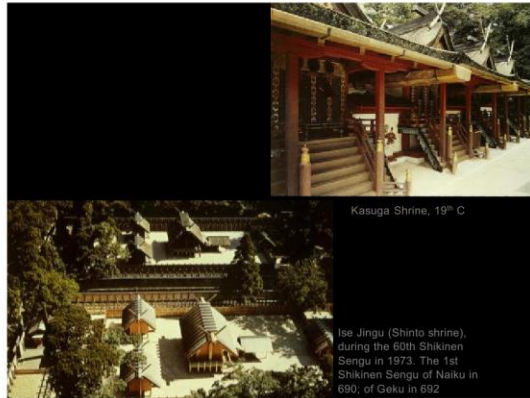
Japan's indigenous religion.

- The worship of *kami* ("divinity" or "numinous entity"), slowly emerged at the dawn of Japanese history, crystallized as an imperial religious system during the Nara (710–794) and Heian (794–1185) periods, and subsequently was in constant interaction with Buddhism and Confucianism, which were introduced from the Asian continent. This interaction gave birth to various syncretic cults that combined the worship of *kami* with the imported religions.
- Shinto is basically a pantheistic religion that believes in the *kami*'s existence in practically every natural object or phenomenon.
- Wetland agriculture necessitated stable communities, and agricultural rites that later played an important role in Shinto were developed.

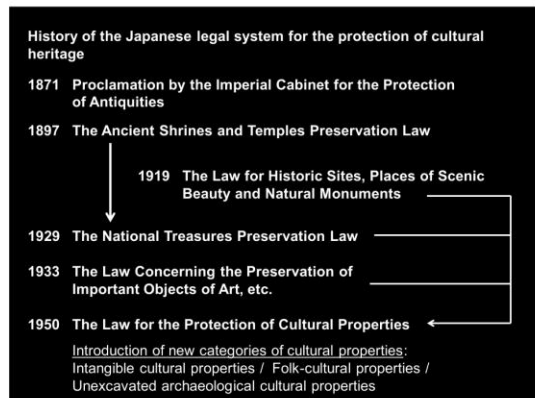
(Kodansha Encyclopedia of Japan)







ISE Shrine is not protected under any category of the Law



- tangible cultural properties: objects 1871
- tangible cultural properties: buildings and structures 1897
- historic sites (shell mounds, ancient tombs, site of palaces, sites of forts and castles, monumental dwelling houses, etc.) 1919
- places of scenic beauty (cultural landscape) 1919
- natural monuments (natural sites and living species) 1919
- intangible cultural properties (artistry and skills) 1950, 1954
- tangible folk-cultural properties 1950, 1954
- intangible folk-cultural properties 1954
- unexcavated archaeological sites (development control) 1954
- preservation districts (historic cities, towns and villages) 1975
- traditional techniques for conservation of cultural properties 1975
- cultural Landscapes (agricultural / industrial landscapes) 2004

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Authenticity of intangible value

Concepts of authenticity for intangible heritage -- experiences in Japan

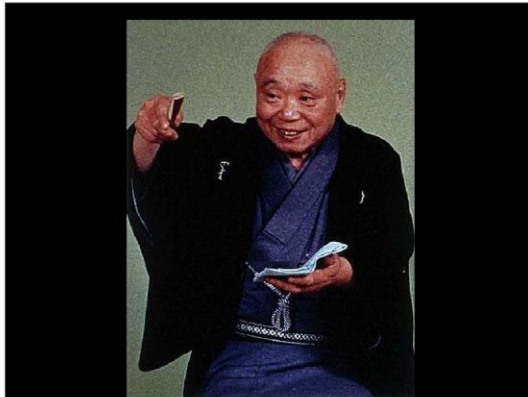
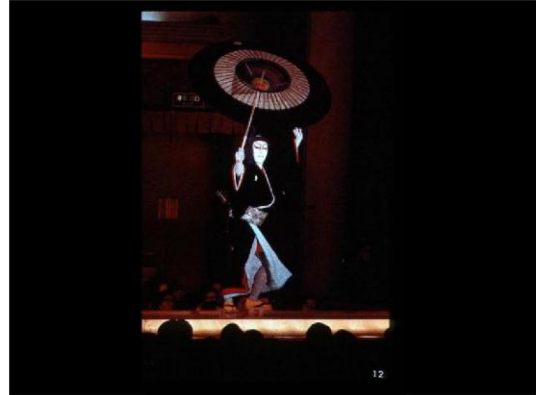
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1. intangible cultural properties which possess a high historical and/or artistic value for Japan
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3. traditional techniques or skills which are indispensable for the conservation of cultural properties and which require positive measures for their preservation.

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



What is the actual system for intangible heritage protection?

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

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

Recognition of people or groups:

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

Authenticity of intangible value ...

use and function,
traditions and techniques,
... and
spirit and feeling

At least...

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

It is difficult to find clear historical records of discussions that occurred among professionals talking about authenticity issues in this field similar to the cases that I introduced in the architectural conservation field.

However, in the case of collective recognitions for performing arts and group recognitions for craft techniques in which such skills are possessed and transmitted conjointly, at the time of designation the conditions of designation are identified by the authorities. I would like to take up those conditions here for the discussion on authenticity as they can be considered as the conditions of value assessment/authenticity issues as defined in the Japanese intangible heritage protection system.



Kabuki (theater)

Conditions of designation

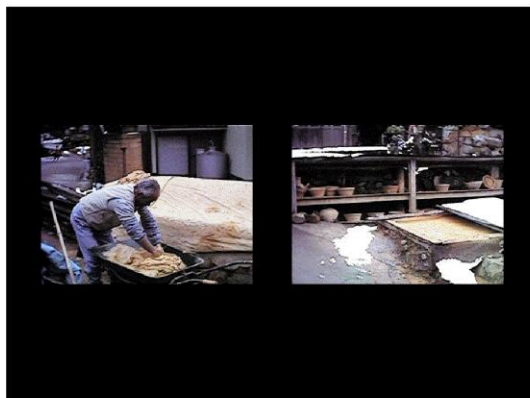
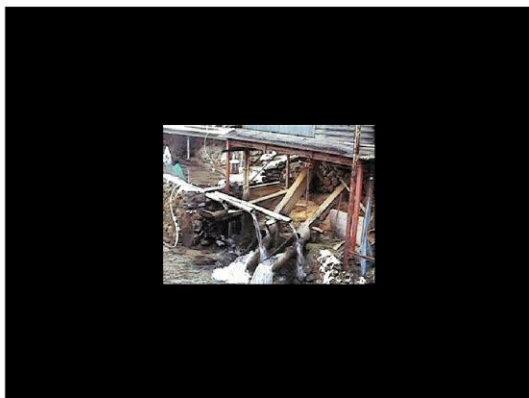
1. Performers: most of the performers who play important component roles of performance programs should be members of The Organization for the Preservation of Kabuki.
2. Programs: programs should be the traditional programs or conform to the traditional programs
3. Acting and directing: acting and directing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

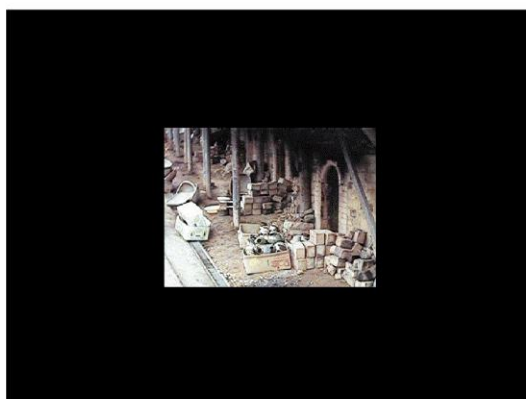
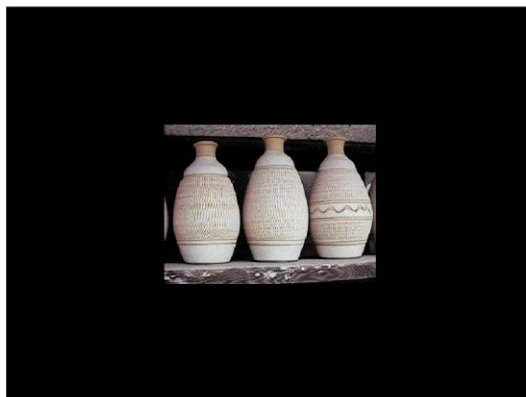


Onta-Yaki (pottery technique)

Conditions of designation

1. the pottery clay should be prepared by milling the original soil collected from the local Onta-Sarayama area, using water-powered piston-crusher mills and water-sifting techniques, then dried by traditional methods.
2. the pottery throwing should be done using traditional kick-wheels, and large-size pots should be made using the techniques of 'sokouchi', 'neritsuke', and 'koshitsugi'
3. the pattern application should follow the locally inherited methods of 'hakeme', 'tobiganna', 'kushime', 'yubigaki', 'uchigake', 'nagashikake', etc.
4. the glazing should be 'furashi' (transparent), 'jigusuri' (brown), 'seiji' (green), 'ususeiji' (light green), 'kokuyu' (black), or 'doke' (spotted brown). The materials for the glazes are to be wood ash, straw ash, feldspar, copper, granite, or 'sabi-ishi' stone; the glazes should be prepared in the inherited traditional method, and the application of the glaze should be done without bisque firing, following the 'namagake' tradition.
5. the kiln should be the family's inherited 'nobori-gama' (wood-fired climbing kiln)
6. the characteristics of the traditional Onta-Yaki style should be maintained





Kabuki (theater)

Conditions of designation

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

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Are these conditions of designation good examples that can be taken for our authenticity discussion?

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

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

Aren't there different words other than "traditional" or "joshiki (established form)" that can enable us to describe the conditions in a more detailed way for the intangible aspect of properties?

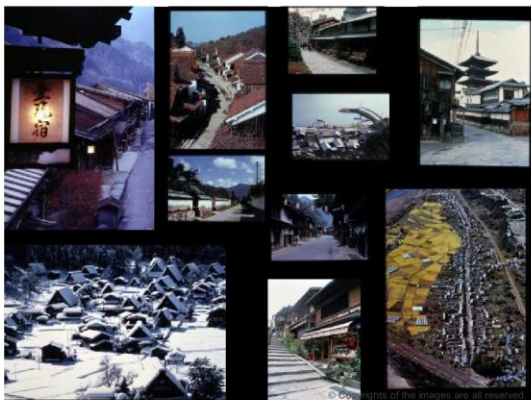
Are these conditions intended only for administrative requirements for the authorities for the purpose of the implementation of law?

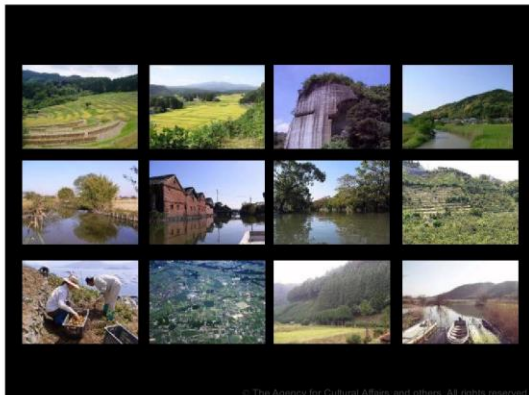
Or is it just that heritage professionals have simply not dealt with these questions?

Cultural Landscapes or Living Heritage

categories or approaches?

- Categories of cultural properties in the Law
- Arts and Crafts, Historical Materials, etc.
high historical, artistic and/or scientific value
 - Buildings and other structures
high historical and/or artistic value
 - Historic Sites
high historical and/or scientific value
 - Places of scenic beauty
high value from the point of view of art or visual appreciation
 - Natural Monuments
high scientific value
 - Intangible Cultural Properties (artistry and skills)
high historical and/or artistic value
 - Folk-Cultural Properties (tangible and intangible)
indispensable for the understanding of changes in the people's modes of life
 - Preservation Districts for Groups of Historic Buildings
form a certain historic beauty in combination with their environs
 - Cultural Landscapes (agricultural / industrial landscapes)
indispensable for the understanding of the people's modes of life and livelihoods
 - Traditional techniques for conservation of cultural properties





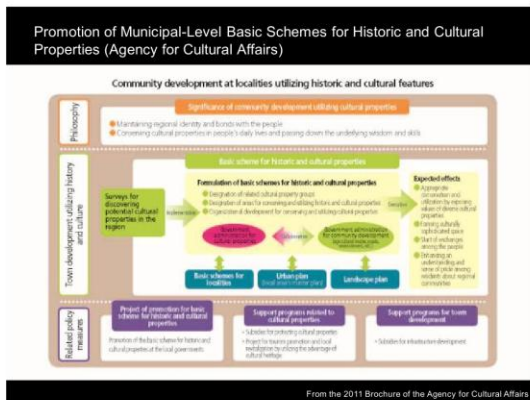
New programs and approaches

New laws and national programs for territorial / landscape conservation and local community revitalization jointly implemented both by cultural heritage and spatial/land-use control authorities

2007 Promotion of Municipal-Level "Basic Schemes for Historic and Cultural Properties"

- Promoted for a comprehensive understanding and approach to their local heritage
- 2008 – 2010 20 model municipal schemes established with support by the Agency

Agency for Cultural Affairs



2008 Historical Town Revitalization Law

Agency for Cultural Affairs
Ministry of Land and Infrastructure
Ministry of Agriculture, Forestry and Fisheries

35 historical scenery maintenance and enhancement district plans established as of Sep. 2012 歴史の風貌維持向上計画



歴史まちづくり法とは

歴史まちづくり法の概要

歴史街の風貌とは

地域団体の歴史及び伝統を反映した人々の自発的な努力

事業の概要

歴史まちづくり法の概要

「歴史的風貌維持向上計画」の認定事例

【金沢市歴史街の風貌維持向上計画】

【志賀町歴史街の風貌維持向上計画】

【高山市歴史街の風貌維持向上計画】

【敦賀市歴史街の風貌維持向上計画】

「歴史的風貌維持向上計画」の認定事例

【尾山町歴史街の風貌維持向上計画】

【小豆島町歴史街の風貌維持向上計画】

計画名称	計画実施主体	計画実施期間	認定年月
尾山町歴史街の風貌維持向上計画	尾山町歴史まちづくり委員会	2009年10月～	2012年12月
小豆島町歴史街の風貌維持向上計画	小豆島町歴史まちづくり委員会	2009年10月～	2012年12月



Local Practice

Protection and Revival of Traditional Villages in China's New-Type of Urbanization

Lu Qiong

ICOMOS China

1. Conservation of Traditional Villages in the Course of New Urbanization

As the most common kind of human settlement in rural areas, villages have long been providing space for habitation, work, and family and personal life. Many traditional Chinese villages have unique spatial and geographical features, deeply grounded in the local environment. For example, most villages in southern Anhui Province were built according to the principles of *feng shui*; they are backed by hills and face a river, ideally protected by a barrier of mounds in front. These beautifully located villages are all in harmony with their surroundings. The peaceful, traditional houses in the villages are decorated with horse-head gables of varying heights and complemented by finely carved wooden archways, labyrinth-like alleys, and winding canals with crystal clear water. The villagers are unpretentious and humble. Insulated from the hustle and bustle of the outside world, wandering visitors would feel at home in this land of tranquillity and peace.

According to preliminary statistics, there are more than 760,000 immovable heritage sites in China, and around 42% of them are located in rural areas. Most of the heritage sites in rural areas are vernacular architectures: 290,000 of them were built in ancient times, and nearly 90,000 are early modern structures. They represent a continuity of history and the extraordinarily diverse geographical areas and ethnic groups. Those vernacular structures constitute the spatial form and physical texture of traditional villages. Along with traditional villages, they connect the past and the future, serving as vivid reminders of the historical memories and past creations of the agrarian age, and are still writing the history of rural China in this era of modernization.

However, villages are increasingly associated with backwardness, filthiness, and poverty. Young people are flooding into cities, leaving their aged parents and young children at home, creating “empty nests” in rural areas. Today, migration from the countryside to the city is commonplace in China, and it has become a luxury for those left behind in rural areas to spend time with family members who work in cities. As urbanization continues to boom, traditional villages, which used to be the most important type of human settlement, are quickly falling apart under bulldozers in China's new “enclosure movement” as more and more people abandon their rural homes. According to an online report, Feng Jicai, Vice Chairman of the China Federation of Literary and Art Circles and Chairman of the Chinese Folk Literature and Art Society, said, at the Forum on Protection of Cultural Heritage in Northern Chinese Villages in May 2012: “Traditional Villages are

disappearing at an alarming rate. There were 3.6 million natural villages in China in 2000, but the number had dwindled to 2.7 million by 2010. We had lost 900,000 villages in ten years, that is, nearly 300 villages had disappeared every day.” Statistics show that, among the 2.3 million existing villages in China, the number of those that have preserved their traditional systems, architecture, and customs has dropped from 5,000 in 2005 to over 2,000 today. Meanwhile, memories of the traditional village culture, the source of people’s sense of belonging and shared emotional bonds, have also been fading.

On December 12th and 13th of 2013, the Central Urbanization Work Conference was held in Beijing. It was the first conference of its kind convened by the central government after China started its reform and opening up. Six major tasks were identified at the conference: the transformation of migrant workers into urban residents, more effective use of urban construction land, the establishment of a diversified and sustainable financial guarantee system, optimization of the form and layout of urbanization, enhancement of the urbanization quality, and the improvement of urbanization management. The conference marked a new starting point for China’s urbanization after years of rapid growth. In March 2014, the Central Committee of the Communist Party of China and the State Council released the *National New-type Urbanization Plan 2014-2020*, a comprehensive, strategic, and underlying plan to guide the healthy development of China’s urbanization in years to come. The purpose of the plan is to ensure that China will adopt a unique, people-oriented model of new urbanization that incorporates the coordinated development of industrialization, information technology, urbanization, and agricultural modernization, optimizes the layout of urbanization, promotes environmental protection, and preserves cultural heritage. Chapter Two (“Current Situation”) of the plan analyses some of China’s major urbanization problems: “Some rural areas are undergoing extensive demolition and construction. New neighbourhoods are being built in the countryside, modelling urban communities. Traditional homes and pastoral landscapes are being replaced by urban elements and styles. As a result, rural areas are losing their unique characteristics, customs, and culture.” Therefore, it is emphasized in Chapter Four (“Guidelines”) of the plan that China “should take into account the natural, historical, and cultural conditions of different regions and highlight regional differences, promote diversity, and avoid homogeneity; cities and towns should have distinctive historical memories, cultural contexts, and regional and ethnic features so that we can develop a new model of urbanization that reflects the reality and embraces diversity.”

The plan also describes this new model of urbanization in detail: historical and cultural heritage, ethnic cultures, and traditional cultures will be protected, and a balance will be struck between enhanced functionality and heritage conservation. More efforts will be made to tap into potential cultural resources, protect the overall cultural ecosystem, inherit and promote traditional cultural elements that are valuable, facilitate the development of unique local cultures, and preserve historical and cultural memories. Urban and rural areas will be further coordinated to inject dynamism into rural areas, narrow the urban-rural gap, and make progress in both urbanization and construction of a new socialist countryside. Also, the exchange of economic inputs and distribution of public resources between urban and rural areas will become more equitable and balanced so that rural residents can equally participate in the process of modernization and benefit from its results.

In order to implement the *National New-type Urbanization Plan 2014-2020* in the spirit of the Central Urbanization Work Conference, the Ministry of Housing and Urban-Rural Development (MOHURD), the Ministry of Culture (MOC), the State Administration of Cultural Heritage (SACH), and the Ministry of Finance (MOF) of China have been working together on using the new philosophy and methodology of

integrated conservation and utilization to better protect traditional villages and accelerate the integrated development of urban and rural areas. They have decided to take this opportunity to boost the integrated development of urban and rural areas while preserving historical and cultural heritage, ethnic cultures, and traditional cultures. The four ministries/administrations have also decided to integrate the protection of rural landscapes and the preservation of people's emotional attachment to their hometowns into the efforts to coordinate the infrastructure construction in urban and rural areas, enhance the interconnectivity between urban and rural infrastructure networks, and promote the sharing and integration of utilities and road systems between the city and the countryside. Moreover, the four government agencies intend to not only build infrastructure, offer public services, and improve people's livelihoods in rural areas but also maintain the public memory of rural China, revitalize the cultural heritage in rural areas, reveal the beauty of the countryside, and pass down the rural culture to our children. Therefore, the four ministries/administrations have designed a set of policies to involve all levels of government departments, citizens, and different agencies and sectors in the integrated conservation and utilization of traditional Chinese villages.

2. Multi-level, Multi-agency, and Cross-sector collaboration

On April 25, 2014, the four government agencies issued the *Guidelines on Enhancing the Conservation of Traditional Chinese Villages* (MOHURD 2014 No.61) after extensive research and discussion. The guidelines point out that traditional villages represent historical memories, wisdom gained from work and life, cultural and artistic creations, and distinctive ethnic and regional cultures of the Chinese people. Steeped in nostalgia, traditional villages are what hold Chinese civilization together. Therefore, the four ministries/administrations decided to conduct joint operations to prevent traditional villages from being destroyed. According to the guidelines, they should enhance the protection of traditional villages with methods adapted to the local reality and should avoid imposing uniformity. They are also required to formulate well-devised plans before taking action to prevent disorderly construction and to prioritize conservation while prohibiting overdevelopment.

The fundamental principle is to benefit the Chinese people, so political formalism must be avoided. Extra attention should be paid to details to prevent substandard work, and a democratic process, as opposed to centralized decision-making, needs to be promoted. In addition, four major tasks are identified in the guidelines: protecting cultural heritage (protecting the integrated spatial form and environment of villages, their historical relics and traditional buildings, and their historical contextual elements and intangible cultural heritage), improving infrastructure and public spaces (enhancing rural infrastructure, firefighting and disaster preparedness equipment, and public spaces), appropriately using cultural heritage (revealing its social, emotional, historical, scientific, artistic, and economic values, preserving and expanding its functions, and supporting the growth of commercial and tourism activities that are associated with unique traditional cultures), and establishing a system to manage conservation (introducing and improving relevant laws and regulations, formulating conservation and development plans, and launching supporting policies). The guidelines specify the requirements for the authenticity, integrity, and continuity of traditional villages as well as five conservation measures: continuing the compilation of the Lists of Traditional Chinese Villages, formulating conservation development plans, enhancing construction management, increasing financial investment, and providing sound technical guidance. Moreover, the guidelines explain the responsibilities and collaborations of the four government agencies at both the central and local levels, the establishment of a conservation management information system and an exit mechanism, and measures to enhance supervision and review.

On the morning of April 29, 2014, the MOHURD, the MOC, the SACH, and the MOF held a teleconference in Beijing for the conservation of traditional villages. Strategies were discussed to conduct the integrated conservation and utilization of traditional villages. The conference also confirmed the requirements for the survey and protection of traditional villages as well as the procedure for applying for central government grants. The heads of the four ministries/administrations explained what would be the requirements for going forward and raised six major points: the conservation of traditional villages is a historic project that should be taken seriously as an important component of the campaign to build a new socialist countryside; the conservation of traditional villages, together with the renovation of old and dilapidated buildings in rural areas, should be properly handled and supported by well-devised plans and cultural heritage archives; each traditional village should have its own archives, prioritize conservation over development, and establish an exit mechanism and a reward system; responsibilities should be clearly defined, especially the responsibilities of county-level authorities and the two village-level committees; the conservation of some villages needs to be integrated with transportation, sewage treatment, and building renovation projects; and all of the government departments and agencies involved should support and collaborate with each other.

Since 2013, the government has released two lists containing a total of 1,561 traditional Chinese villages. According to statistics, there are officially protected sites at the provincial or a higher level in 453 traditional villages, and there is one or more groups of major national-level sites or provincial-level sites in around 270 traditional villages. After more than a year of research, SACH has decided to initially work on the integrated conservation and utilization of the villages with one or more groups of officially protected sites. It plans to concentrate its limited human, financial, physical, and intellectual resources on those villages. SACH also intends to provide them with well-formulated plans, optimized resources, financial support, and technical guidance. Its goal is to enhance the integrated conservation and utilization of these villages within three years by implementing pilot projects, pooling together all the available resources, carrying out plans in phases, and promoting good practices. In order to meet that goal, SACH has chosen to conduct pilot projects in 50 traditional villages in 24 provinces/autonomous regions/direct-controlled municipalities.

On May 8th, SACH invited representatives from MOHURD, MOC, and MOF, heads from the departments of cultural heritage of the 24 provinces/autonomous regions/direct-controlled municipalities, and government leaders from counties where 11 of the chosen villages are located (such as Huailai County, Hebei Province) to attend a conference in Beijing. The purpose of the conference was to implement the *Guidelines on Enhancing the Conservation of Traditional Chinese Villages* and develop strategies for the integrated conservation and utilization of villages with one or more groups of officially protected sites. Li Xiaojie, Vice Minister of MOC and Minister of SACH, said that traditional villages had unique values among the various types of cultural heritage in China. He emphasized the importance of the conservation of traditional villages to the preservation of cultural heritage, the promotion of the traditional Chinese culture, environmental protection, and agricultural and rural modernization. Mr. Li urged the involved government departments and agencies to tackle existing challenges, such as the dramatic decline in the number of traditional villages and the gradual “hollowing” of villages. He asked all levels of the department of cultural heritage to broaden their horizon and change their mind set. They were asked to pay more attention to rural planning, the protection of natural and cultural landscapes, the improvement of villagers’ livelihoods, and the development of industries with unique local features so that traditional villages can be holistically protected and sustainably used.

Mr. Li said that cultural heritage officials should not only fulfil their responsibilities in accordance with the laws and preside over the conservation and repair of heritage sites but proactively seek to support other

government departments and agencies in accomplishing the tasks identified in the *Guidelines on Enhancing the Conservation of Traditional Chinese Villages*. Cultural heritage officials were also asked to focus on the following areas in their work: after wide consultation from all stakeholders, formulate complete, all-inclusive, and forward-looking conservation and development plans as soon as possible; confirm specific projects and file project plans with authorities of a higher level in a timely manner; relevant policies and management measures should be developed to meet the need of integrated conservation, and those policies and measures should clearly define the rights and obligations of property owners and establish both a compensation mechanism and a reward and punishment system; under the guidance of county-level governments, each village should consider the local conditions and decide which economic sectors to focus on; and there should be an overarching mechanism that defines responsibilities and provides organizational, financial, technological, and intellectual support.

On May 9th, SACH released the *Implementation Plan for the Integrated Conservation and Utilization of Traditional Villages with One or More Groups of Major Officially Protected Sites at the National Level and of Officially Protected Sites at the Provincial Level*. The plan set forth general objectives: use three years to comprehensively enhance the integrated conservation and utilization of traditional villages with major national-level sites and provincial-level sites, achieve sustainable development in those villages, and generate experience and models that can be shared and “replicated.” Furthermore, focus should be put on the officially protected sites at a provincial or a higher level and secure, repair, routinely maintain, as well as appropriate use of the important historical relics, structures, and houses in traditional villages. Additionally, proper identification and utilization of the intangible cultural heritage in traditional villages and establishment of a self-sustaining mechanism to maintain its viability are needed. In order to maintain and improve the style and layout as well as the ecosystems of traditional villages, all the necessary firefighting and disaster preparedness equipment, public utilities, and infrastructure (roads, telecommunications etc.) must be provided, the industries that have unique local features and reflect the historical and cultural values of traditional villages must be supported, the original inhabitants of traditional villages must be ensured a stable, decent life, and people’s livelihoods must continue to be improved. Finally, the efforts of the central government, local governments, and villages should be coordinated, farmers should play a crucial role in the conservation and utilization of traditional villages, a system for broad public participation should be established, supporting policies and legislation should be improved, and resources must be allocated more effectively. In order to fulfil those objectives, the plan proposed a guiding principle (i.e. pursuing integrated conservation and coordinated development, focusing on people’s livelihoods and public opinion, and emphasizing the local reality and uniqueness), assigned tasks to different departments and agencies, and established the procedure and schedule to follow.

Ever since then, cultural heritage provincial departments have been implementing that plan. On May 14th, the Hebei Provincial Department of Cultural Heritage convened the 2014 Conference on the Conservation of Cultural Heritage in Traditional Villages of Hebei. On May 15th, the Gansu Provincial Department of Cultural Heritage held a similar conference. On May 19th, the Guangxi Autonomous Regional Department of Cultural Heritage organized a training program for the integrated conservation and utilization of traditional villages in Guangxi. On May 22nd, the Qinghai Provincial Department of Cultural Heritage hosted a conference on the same topic. On May 28th, the Henan Provincial Department of Cultural Heritage and Department of Finance visited Luoyang City to learn about the local efforts to protect traditional villages. The departments of cultural heritage of Chongqing Municipality, Fujian Province, Hunan Province, and Hubei Province also visited traditional local villages, with one or more groups of major national-level sites and of provincial-level sites,

provided instructions on the work ahead, and discussed solutions to existing problems. In Fujian Province, the governments of Yong'an City and Liancheng County created steering committees for the integrated conservation and utilization of traditional villages. The mayor and the county chief were appointed as the directors of the committees, the deputy mayors/county chiefs were in charge of cultural heritage and urban-rural development, while the director of the provincial center of cultural heritage conservation were appointed as the deputy directors of the committees. The members of the committees included the heads of the culture departments, housing and urban-rural development, finance, land and resources, planning, environmental protection, transportation, firefighting, and tourism as well as those in charge of the neighbourhoods, townships, and villages.

Building on their past work, some local governments have been taking a path with unique local features. For example, the Huangshan Municipal Government launched a program in 2009 to protect and use traditional houses. It invested more than 6 billion Yuan to conduct integrated conservation and utilization of 101 traditional villages and 1,325 traditional houses. In the subsequent five years, the Huangshan government focused on the integration, and the targeted conservation of traditional villages, restored the local ecosystem and traditional structures, and initiated 964 new projects belonging to 19 categories, including cultural experience, rural experience, leisure and vacation, photography and painting, cultural creation, and eco-agriculture. While preserving the cultural context and natural environment of local villages, Huangshan's government was able to revitalize the local culture and help villages to transition from a model of heritage utilization, which was over-dependent on cultural tourism, to a more diversified approach. In 2014, Huangshan's government decided to enlarge the scope of conservation to include traditional villages and houses in addition to traditional ancestral halls, memorial archways, schools, theatres, structures along rivers, wells, pavilions, and roads. It also decided to focus more on scalability, intensity, and professionalism, enhance the quality and efficiency of the program, and bring the program to a higher level. The program in Huangshan can bring valuable experience to the national campaign for the integrated conservation and utilization of traditional villages.

3. Locally-adapted Strategies

The national campaign for the integrated conservation and utilization of traditional Chinese villages involves the collaboration between central and local authorities, between the government and villagers, and between different government departments and economic sectors. Centring on China's new urbanization, this campaign will take into account the emerging trends in the migration of rural residents and the evolution of rural areas, develop science-based plans for the development of traditional villages, and generate a diversity of beautiful villages. The unique features of traditional villages will be preserved, and the "hollowing" of villages will be reversed. This campaign will enhance the functions of villages while maintaining unique rural, ethnic, and regional cultures and protecting traditional and ethnic-minority villages with historical, artistic, and scientific values. Meanwhile, problems with rural infrastructure and living conditions must be addressed. Therefore, the conservation of traditional villages needs to incorporate the repair of historical buildings, the renovation of dilapidated houses, and better access to water, electricity, roads, clean energy, postal services, and broadband connection. It should also include environmental protection and pollution control. In this way, rural populations will be able to enjoy safe drinking water, enhanced power supply, convenient mobility, and better protection against fires and other safety hazards.

It is a race against time to rescue traditional villages. The first two Lists of Traditional Chinese Villages include 1,561 villages, and applications are being accepted for the third list. The more organized traditional approach may not work for this particular campaign, so we must develop locally-adapted solutions, strategies, and plans. I have recently visited some traditional villages, and the following details were my reflections regarding their conservation.

3.1 Villages in the Mountainous Regions of Fujian Province

(1) Jishan Village

Jishan Village is located in the southwest of Yongding City, Fujian Province, and surrounded by the Wenchuan River, which is shaped like the Chinese character 几. The village was built in 1500 (the 13th year of Hongzhi in the Ming Dynasty) and experienced an economic and cultural boom starting from the late Ming Dynasty, especially during the years of Kangxi and Qianlong in the Qing Dynasty. Jishan abounded with scholars' studios, a typical example being the Cuiyuan (or Green Garden), and produced many literary figures. During the Anti-Japanese War, the Fujian Provincial Government moved to Jishan and remained there between May 1938 and October 1945. During that period, provincial chairmen Chen Yi and Liu Jianxu, along with 40 organizations (including administrative and judicial organs and schools), were based in Jishan, leading the resistance against Japanese invasion in Southeast China. Thus, the small village of Jishan became one of the three most important cities/villages associated with the Anti-Japanese War. In 1999, the Fujian Provincial Government recognized Jishan as one of the province's first historically and culturally famous villages. In 2013, the State Council acknowledged ten local sites associated with the Anti-Japanese War as a group of major, national-level sites.

Today, there are more than 1,300 people in 340 families living in Jishan. The village has many traditional buildings built during the Ming and Qing Dynasties. Life is peaceful in Jishan, where old storefronts and marketplaces are largely intact. The spatial form of the village, the layout of the houses, and the composition of the villagers have not changed much over the centuries. The ten national-level sites are highly valuable and scattered across the village. Compounds such as the Cuiyuan or *chaipaicuo* (柴排厝 or raft-like houses) are beautifully designed and well maintained. The major problem is a lack of planning. The houses around the officially protected sites have been renovated and rebuilt in a disorderly way; most of them have been replaced by four-floor buildings that were built with modern materials in modern styles. In recent years, the inconsistency has become a more serious issue due to the newly built highway bridge that spans two mountains and passes near the village. The traditional landscape has lost its integrity.

Going forward, local authorities will need to design a plan for integrated conservation in order to better control and guide the construction of residential dwellings. They could consider altering the architectural style of the existing residential buildings. In 2014 and 2015, their focus should be to develop technical plans to repair and salvage the local officially protected sites, formulate plans for installing firefighting and lightning protection equipment, apply to the central government and local governments of higher levels for grants and subsidies, and coordinate the implementation of the above projects. Priority should be given to issues such as sewage treatment and the renovation of dilapidated houses. Local traditional buildings should be protected against rain leaks, humidity, rotting, pests, fires, and lightning.

(2) Peitian Village

Peitian Village is located in Liancheng County, Fujian Province. It is a village of Hakka people. Covering an area of 13.4 square kilometres, Peitian is home to 1,489 villagers in 389 families, who are divided into 14 village groups. It flourished as a courier station during the Ming and Qing Dynasties. Structures from those periods are well preserved. There are more than 30 Hakka courtyard houses, 21 ancestral halls, 6 traditional classical learning academies, five nunneries, and two memorial archways bestowed by emperors along the main street, which stretches about one kilometre. The traditional buildings in Peitian cover a total area of around 70,000 square meters. In 2005, the village was recognized as one of China's historically and culturally famous villages. In 2006, the traditional buildings of Peitian Village were announced as an important, national-level site.

The local government pays much attention to the integrated conservation and utilization of Peitian Village. Its planning and repairing are science-based and properly done. When I was there, I saw several construction teams from other provinces, whose bids had been accepted by the local government to repair the historical structures in the village. They were following the principles of minimal intervention, distinguishability, and the usage of original materials and building techniques. Moreover, the local government has been conducting cultural research, promoting education, cleaning up the environment, and building up the economy. The villagers have launched their own magazine, *The Traditional Village of Peitian*, and founded the Peitian Hakka Community College, the Liancheng Peitian Hakka Community College of Demography, and the Peitian Village Research Society. Plots of land have been designated outside the village to accommodate buildings whose style is inconsistent with that of the rest of Peitian as well as for villagers to build their own homes. The villagers can also build up bed and breakfast accommodations in addition to agricultural facilities there. These things not only meet visitors' demand for food and accommodation but grow the local economy and increase the villagers' income. The beautiful Heyuan River, lined by trees, is a natural barrier that separates the old and new villages. Peitian is becoming a new tourist attraction with a vibrant local economy.

The local government could consider focusing more on the high-quality repair and appropriate use of heritage sites. It should continue to implement its fire and lightning protection projects and improve the local environment. The government can further tap into and promote Peitian's unique history, traditional culture, and public memory while avoiding the overgrowth of tourism and commerce. The central government and provincial government should recommend the Peitian model to other parts of the country.

3.2 Villages of Tujia People in Hunan Province

(1) Shiyanning Village

Shiyanning Village is located in Wangjiaping Town, Yongding District, Zhangjiajie City, covering an area of 1,700 hectares. There are 982 Tujia people, 182 stilt houses, and 85 important protected zones in Shiyanning. Surrounded by green mountains, the village is shaded by giant old trees, with traditional stilt houses reflected in paddy fields. The ancient wells in the village are witnesses of the local history. In 2003, the traditional buildings in Shiyanning were included in China's seventh list of major national-level sites.

I was surprised to see that the village was so well preserved that there were no out-of-period buildings. Village committee director Mr. Quan (a common family name in Shiyanning) took me to a stilt house that

looked relatively new. In front of the house was parked a car. The owner of the house, another Mr. Quan, told me that his son was living in Guangdong Province as a successful entrepreneur. His son had intended to renovate their old house with sturdy, inexpensive modern materials, but the village committee director had been able to persuade Mr. Quan to spend more than 2 million Yuan to build a stilt house using traditional methods and wood material. The stilt house was consistent with the rest of the village in style and equipped with all modern necessities, including a refrigerator, a TV, and a sofa. The walls were elaborately decorated with carved wood, which also allowed sufficient light into the house.

The spatial form and traditional lifestyle of the village remained largely intact. When I was walking down a village road, I saw an elderly man leading a cow, with his wife following behind. Their smiles were relaxed and satisfied. There were farmers tilling paddy fields with cow-drawn ploughs, but they did not stop working to stare at me, a complete stranger, when I passed. I went into a family's kitchen and found it neat, tidy and, furnished with both a traditional fireplace and a modern stove. Delicious-looking Chinese bacon was hanging above the fireplace. Outside the house, there were ploughing and threshing tools leaning against the walls. Herbs gathered in the nearby mountains were hanging under the eaves to be dried. I saw man-made beehives in a corner of the courtyard and a hen wandering about with her chicks. Shiyanning struck me as an idyllic village with a perfect spatial form, a beautiful natural setting, and a simple yet fascinating lifestyle.

The economy of Shiyanning is underdeveloped. There are a large number of factories in the surrounding mountains that sell air bricks, which are less expensive than wood, to the local villagers, but the quality of the bricks is dubious. The extensive use of bricks is also affecting the preservation of Shiyanning's traditional wood architecture. The conservation of such a village should focus on helping the local people to repair their old houses using traditional methods. Shiyanning could draw from the experience of Huangshan. The local government could design policies to regulate the salvage and relocation of traditional houses, call on local people to claim those houses, and manage land transfer, property registration, financial support, and other procedures. The government could also consider launching special funds to provide interest subsidies and substitute other subsidies for rewards.

According to the Zhangjiajie Municipal Department of Cultural Heritage, the local government is seeking to establish "cultural cooperatives," leveraging both public funds and private capital, and formulating an overall plan for the integrated conservation and utilization of traditional villages. All 80 or so historical buildings in Shiyanning have been surveyed, and the village's first plan for repairing 24 of its stilt houses has been submitted to SACH. The central government is already considering subsidizing the repair project, and the project is expected to start before the end of 2014. Another problem faced by Shiyanning is its inconvenient transportation and lack of schools and clinics. Governments of all levels should take measures to provide better education, medical services, and elderly care for the village. For example, shuttle buses can be offered to get to schools and hospitals, and traditional trades should be supported to revitalize the local economy and finance elderly care.

(2) Shuangfeng Village

Shuangfeng Village is situated at the top of an 800-meter hill in Daba Township, Yongshun County, and Tujia-Miao Autonomous Prefecture of Xiangxi, Hunan Province. It is home to 325 people in 96 families. Most of the villagers are Tujia people, and the family names of Peng and Tian are predominant in the village. The language, customs, architecture, and culture of the Tujia people are well preserved in Shuangfeng, which

makes it one of the most authentic Tujia villages in China. In 1956, the existence of Shuangfeng was cited as proof that the Tujia people should be recognized as a separate ethnic group. Therefore, the village is also called “the first Tujia village.” In 2011, the traditional buildings in Shuangfeng were recognized as a provincial-level site in Hunan Province. Two years later, the village was included in Hunan’s fourth list of historically and culturally famous villages.

Shuangfeng is a small village with unique wooden architecture. No bricks were used in the construction of the local structures. The local village gate, covered bridges, stone paths, waterways, and stone walls with shrines of the Earth God remain intact. When I was there, I did not see any out-of-period structures in the village. Village head Peng Jiahai told me that the oldest existing building in Shuangfeng had been built 200 to 300 years before. Traditionally, the villagers of Shuangfeng engaged in farming, tea and medicinal herbs cultivation, and bee-keeping. Mr. Peng said that he hoped the local government could widen and improve the road connecting Yongshun and Shuangfeng without changing the original streets and alleys inside the village, supply tap water in Shuangfeng, and properly dispose of the villagers’ garbage.

The *baishouwu* (摆手舞, literally “hand-waving dance”) and *maogusiwu* (茅古斯舞, literally “hairy hunter dance”) are popular in Shuangfeng. The two dances have been officially recognized as China’s intangible cultural heritage, along with the Tujia people’s *daliuzi* (打溜子, a combination of singing, narrating, and instrument performing) and *kujia* (哭嫁歌, “Song of the Tearful Marriage”). The performances put on by Shuangfeng villagers tend to attract many tourists. Seeing tourists performing the *baishouwu* dance with locals around a bonfire, creates, in an individual, a feeling of vitality and renaissance of China’s traditional villages and culture.

Shuangfeng is a village with groups of provincial-level sites and is thus entitled, according to China’s national policy, to apply to the central government for grants to repair its heritage sites, and should seek advice and approval from the provincial department of cultural heritage for its repair projects and engineering plans. When repairing its traditional local houses, the village should completely remove any hazard to its traditional buildings and consider improving the local people’s livelihoods and living conditions, for example, by increasing the amount of natural light in their homes and renovating the villagers’ kitchens and bathrooms (without affecting their traditional lifestyle). The local authorities should not only maintain the village’s cultural tourism activities and performances but assist villagers to open traditional workshops, teahouses, restaurants, hostels, and herbal medicine shops. Thus, more tourists will visit Shuangfeng to gain an in-depth experience of the village and its ethnic culture. The local authorities could consider setting up a system to purchase and sell goods with unique local features. In this way, the prices of those goods will remain stable, and the villagers will have higher incomes.

Conclusion

May 2014 has been a crucial month for implementing the integrated conservation and utilization of traditional Chinese villages. Many local governments are taking action, and many villages are awakening. This campaign has attracted a great deal of public attention. At the same time, we are celebrating the 50th anniversary of the *Venice Charter*. As we study, discuss, and carry out the integrated conservation and utilization of traditional Chinese villages, we are also drawing from the experience of other countries. In doing so, we can design, explain, promote, and implement policies and guidelines that can truly reflect China’s condition, its traditional villages, and its people. We hope that we can preserve our cultural heritage

and memories, revitalize our hometowns, pass down traditional Chinese culture to our children, bring benefits to the Chinese people, and make progress as a society.

We believe that, as the world commemorates the 50th anniversary of such an important heritage conservation document on, what China is doing for the conservation of our beautiful homeland will go down in the history books.

This essay is written in honour of the 50th anniversary of the *Venice Charter*.

Conservation and Management Practices of the Mogao Grottoes Based on the Principles for the Conservation of Heritage sites in China

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ABSTRACT

The Mogao Grottoes in Dunhuang, which were constructed between the 4th and 14th centuries, include 735 caves, and 492 of them are decorated with wall paintings and polychrome sculptures. The Mogao Grottoes was inscribed on the World Heritage List by the United Nations Educational, Scientific and Cultural Organization (UNESCO) in 1987 because the site met all the six criteria for cultural heritage. However, due to environmental causes and human activity over the centuries, the paintings and sculptures have experienced various kinds of deterioration, such as the flaking of the paint layer, the detachment and cracking of the plaster layer, efflorescence caused by salt migration, mildew, soot, and the decay of the wooden armatures. With increasingly more visitors entering the caves, the micro-environment's balance has been changed, threatening the fragile wall paintings and sculptures.

Since the establishment of Dunhuang Research Academy (DHRA) in 1944, several generations of hard work has gradually changed the conservation of the Mogao Grottoes from “watch-over preservation” in the 1940s to “rescue protection” in the 1950s and 1960s, and then to scientific conservation in the 1980s and afterward. In the period of scientific conservation, the Mogao Grottoes benefited from many international partnerships, most notably was the collaboration between the DHRA and the Getty Conservation Institute (GCI) on the Cave 85 Project, the formulation of the *Master Plan for the Conservation and Management of the Mogao Grottoes* (the *Master Plan*), and the study of Mogao Grottoes' visitor carrying capacity. Those projects were conducted after the Mogao Grottoes were designated as a pilot site for the development of the *Principles for the Conservation of Heritage Sites in China* (the *China Principles*) in October 1997.

Guided by the *China Principles*, the Cave 85 Project established the first science-based procedure for the conservation of wall paintings in China. The *Master Plan*, designed in partnership with the China Architecture Design & Research Group and the Australian Heritage Commission, set an example for the conservation of cultural heritage sites in the country. In the study of visitor

carrying capacity, researchers conducted a risk evaluation of the caves, indoor experiments, on-site tests, and a comprehensive assessment. They concluded that the reasonable capacity of the site was 3,000 visitors per day. That study enabled a science-based procedure for the appropriate opening of the Mogao Grottoes to visitors, and paved the way for the construction of a Visitor Center.

Under the guidance of the *China Principles* the conservation and management of the Mogao Grottoes have been brought to to a higher level. As we embrace new practices and concepts, the Mogao Grottoes have entered the stage of preventive conservation. In fact, preventive conservation has been included into the newly revised *China Principles*. The author believes that the new *China Principles* will make the conservation and management of the Mogao Grottoes more scientific, systematic, and standardized.

Keywords: *Principles for the Conservation of Heritage Sites in China*; Mogao Grottoes; conservation and management

1. Introduction

Dunhuang is located at the western end of the Hexi Corridor in Gansu Province, China, with a typical arid, warm temperate climate. It is bound by the Sanwei Mountains to the east and the Mingsha Dunes to the south. Lop Nur lies in the deserts to the west of Dunhuang, and the Gobi Desert connects the city to the Tianshan mountain range to the north. Thanks to melted water and groundwater, the Dunhuang Basin contains an oasis that stretches across the alluvial fan of the Dang River and the floodplain of the Shule River.

After Zhang Qian's mission to Central Asia, Dunhuang soon became an important city on the ancient Silk Road as Chinese and Western influences entered this area. For a long time, it remained a major hub for interaction between Europe and Asia and integration between Han Chinese and other ethnic groups in this region. Dunhuang also played a significant role as Buddhism was introduced into China through the Silk Road. Between the 4th and 14th centuries, officials, monks, and artists built the Mogao Grottoes, a unique Buddhist art repository, in Dunhuang, leveraging the advantages provided by the local natural and cultural environments. The Mogao Grottoes, 25 kilometers from Dunhuang, were carved out of the cliffs on the western bank of the Daquan River at the eastern foot of the Mingsha Dunes. Currently, there are 735 caves, and 492 of them are still decorated with wall paintings and polychrome sculptures. Since the Mogao Grottoes fulfilled the six cultural criteria established by the United Nations Educational, Scientific and Cultural Organization (UNESCO), they were listed as a World Heritage Site in 1987.¹

2. Problems for the Conservation of the Mogao Grottoes

The cliffs where the Mogao Grottoes were constructed are part of the Jiuquan conglomerate layer formed by calcareous and argillaceous cementation in the Quaternary Period.² The wall paintings and polychrome sculptures are mainly made of wheat straw, mud, wood, and mineral pigments. Due to natural factors and human activity, they are exposed to a variety of complicated hazards.³ These hazards remain extensive, and the rock mass where the grottoes were carved are vulnerable to weathering, cracking, collapsing, and water

seepage.

2.1 Environmental Problems

(1) Natural environment

The grottoes have been preserved to this day because of the dry and stable climate in Dunhuang and surrounding areas. But due to wind erosion, seepage of precipitation, sunlight, water and salt migration, oxidation, exfoliation, decay, and other factors, the wall paintings and sculptures in the caves are facing all kinds of hazards. Moreover, the wind erosion, cracking, and weathering of the rock mass are also endangering the preservation of the site. The Mogao Grottoes can be immediately destroyed by a flood, an earthquake, or the collapse of a rock mass. Such natural factors have been severely threatening the conservation of the site.

(2) Social environment

Since the late 1970s, many people have been visiting the Mogao Grottoes thanks to the tourism boom in China and other countries, which brought unprecedented pressure and challenges to the conservation of the site. Scratching, graffiti, and wear have caused physical damage to the site. The moisture and carbon dioxide from the breath of visitors as well as temperature changes have disrupted the microenvironment and aggravated the existing hazards. During peak seasons, the number of visitors to the Mogao Grottoes spikes, especially the Golden Week and traditional Buddhist festivals. For example, more than 20,000 people visited the Mogao Grottoes within a single day during the National Day's Golden Week in 2012. Therefore, the conflict between display and conservation is a difficult problem for us to address.

2.2 Problems with the Rock Mass

In the harsh environment of Northwest China, the densely distributed grottoes have changed and redistributed the balance of stress in the rock mass, which consists of fragile sandy conglomerates. Stress-relief cracks and structural fissures make the rock very susceptible to collapsing. Since the sandy conglomerates are the product of calcareous and argillaceous cementation, the rock mass may easily fall apart when temperatures and humidity change dramatically.⁴ Severe wind erosion in this region has also significantly weathered the rock. In fact, the ceilings of some of the upper-level grottoes have become so thin that rainwater has seeped in and damaged the wall paintings inside.

2.3 Problems with the Wall Paintings and Polychrome Sculptures

The wall paintings and polychrome sculptures are affected by different hazards to varying degrees, including flaking, efflorescence, detachment, extensive exfoliation (wall paintings), soot, mould, and discoloration (Figs. 1 & 2). Some of the sculptures have broken limbs, decayed wooden armatures, or peeling paint. Research shows that most of the hazards are related to the migration of water and salts^{5 6}, i.e. the movement and concentration of salts caused by precipitation or moisture in the rock.



Fig. 1 Efflorescence (wall painting)

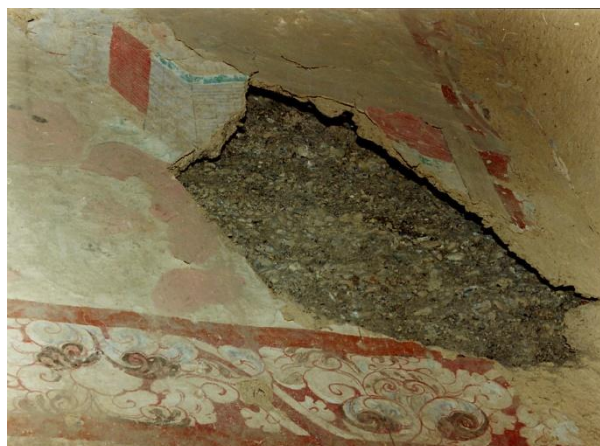


Fig. 2 Detachment (wall painting)

3. History of Conservation

Since the 1940s, the Dunhuang Research Academy (DHRA), formerly known as the Dunhuang Art Institute, has been committed to the conservation and research of the Mogao Grottoes. Its early work included excavating,⁷ numbering, and taking photos of the grottoes, producing facsimiles of the works of art, and conducting artistic and historical research.

In the 1950s and 1960s, the Chinese government launched special funds for the comprehensive repair and reinforcement of the wooden eaves, the walkways on the cliffs, and the rock mass itself (Figs. 3 & 4). Those projects were able to stop the caves from collapsing and prevent further cracking of the rock. The reinforced site could withstand a magnitude seven earthquake. Efforts were made to block the tunnels that Wang Yuanlu had built to connect different caves but had damaged many wall paintings. The projects also enabled people to move safely between the four levels of the site.



Fig.3 Reinforcement project in the 1950s

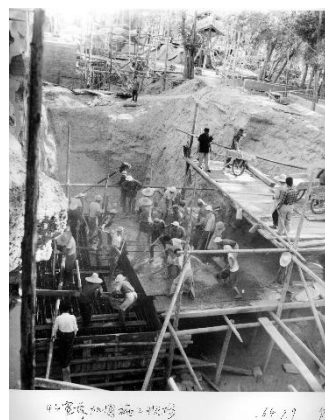


Fig. 4 Reinforcement project in the 1960s

In the 1980s, the Mogao Grottoes entered a new period of science-based conservation. Many domestic and international partnerships were established during this period, including those with universities and research institutes (such as Lanzhou University, Lanzhou Research Institute of Chemical Industry, and Lanzhou Institute of Desert Research of the Chinese Academy of Sciences) and foreign conservation organizations (such as Getty Conservation Institute, or GCI, and Tobunken),⁷ to analyse the materials used to create the

wall paintings and polychrome sculptures, study the mechanisms of the hazards, seek restoration materials and techniques, and conduct research on rock stability and reinforcement methods. In order to prevent wind and windblown sand from damaging the heritage site and the surrounding environment, the DHRA worked with the GCI and the Lanzhou Institute of Desert Research to undertake wind and sand control projects on the top of the cliffs. Thanks to modern sand fencing and stabilization methods as well as windbreaks, the amount of drifting sand in this area dropped by 70%⁸ (Figs. 5 & 6). More importantly, in October 1997, the Mogao Grottoes were designated as a pilot site for the drafting of the *Principles for the Conservation of Heritage Sites in China* (the *China Principles*), and the DHRA started to collaborate with the GCI for the restoration of the wall paintings in Cave 85, developed a master plan for the conservation and management of the Mogao Grottoes⁹, and studied the visitor carrying capacity of the site, among other things.



Fig. 5 Straw checkerboards on the cliff top



Fig. 6 Wind fences

We protect not only the Mogao Grottoes themselves but the surrounding cultural and natural landscapes. In the site's key protection zones, natural landscapes (such as mountains, rivers, deserts, and oases) and cultural landscapes (like temples, stupas, and memorial archways) should remain permanently unchanged. Buildings and structures in the general protection zones ought to be in harmony with the caves and their ambient environment.

Building on years of fruitful work, we have been applying the *China Principles* to the conservation and management of the Mogao Grottoes and have embraced a better conservation philosophy. Since the beginning of the 21st century, preventive conservation has been the focus of the DHRA. The protection of the Mogao Grottoes has thus entered another new stage.

4. About the *China Principles*

The *China Principles* was prepared in the name of the Chinese Commission for the International Council on Monuments and Sites (ICOMOS China). In October 1997, the State Administration of Cultural Heritage (SACH) put together a team of Chinese experts to draw up the *China Principles* with the GCI and the Australian Heritage Commission (AHC). In 1998, the SACH set up an advisory group headed by its Minister to provide guidance for the drafting of the *China Principles* and the revision of its draft. To develop the *China Principles*, Chinese, American, and Australian experts visited heritage sites in the three countries multiple times and learned about their conservation. They drew on the *Venice Charter* and the *Burra Charter* as well as China's own experience when formulating the Chinese guidelines on heritage site conservation. On October 10, 2000, the *China Principles* was adopted at the ICOMOS China conference in Chengde.¹⁰

The *China Principles* is composed of three parts: "Principles for the Conservation of Heritage Sites in China"

consists of a foreword and five chapters (38 articles); “Commentary on the Principles for the Conservation of Heritage Sites in China” further explains and elaborates on the articles; and “Case Studies of the Principles for the Conservation of Heritage Sites in China” illustrates the principles and the commentary with 86 cases of heritage site conservation.

As someone who has been working on conservation for many years, I believe that the core of the *China Principles* can be summarized by a few keywords: procedure, evaluation, research, monitoring, and maintenance.¹¹ If we can understand these concepts and put them into practice, our conservation work will become more effective, scientific, and standardized.

Article 6 of the *China Principles* points out that research is fundamental to every aspect of conservation and that each step in the conservation process should be based on the research results. Every procedure proposed by the *China Principles* should be supported by research. Research can also ensure adequate implementation of the *China Principles*.

Moreover, the *China Principles* suggests that routine management should be integrated into the entire conservation processes and that routine monitoring, as an important component of routine management, can provide a basis for scientific management and timely maintenance. The targets of routine monitoring include not only the natural environment and the stability of historical relics and their carriers but also the social environment, for example, the economy or the number and behaviour of visitors. None of these factors should be isolated. Instead, prudent decisions should be made on the basis of long-term monitoring, incorporating all kinds of factors that can influence conservation.

The *China Principles* gives first priority to routine maintenance as a preventive measure to avoid damage inflicted by external forces on any type of heritage site. Routine maintenance is usually the most practical, economical, and effective form of conservation. It also reflects the most important principle in conservation, minimal intervention. Ongoing documentation and monitoring should also be an integral part of routine maintenance, thus the *China Principles* always puts “routine monitoring” and “routine maintenance” together when explaining either of the two concepts.

5. Examples of the Conservation and Management of the Mogao Grottoes

5.1 Conservation of the Wall Paintings in Cave 85

The Cave 85 Project was a pilot project for the *China Principles*, aimed at applying the procedures and principles prescribed in the *China Principles* to investigation, assessment and research, finding appropriate science-based methods to protect ancient wall paintings, and testing the applicability of the *China Principles*.

The Mogao Grottoes were exposed to different hazards for centuries, including plaster detachment, paint flaking, efflorescence, and discoloration. In 1997, the DHRA and the GCI started the restoration project for Cave 85 in order to study and understand the different threats to the wall paintings and polychrome sculptures, and the implement protective measures. Cave 85 was chosen because it exemplified the artistic, historical, and religious heritage of the Mogao Grottoes. It was also suffering from those typical problems mentioned above. Several attempts had been made to remove the crystallized salts from the painted surfaces in Cave 85

and restore the affected wall paintings, but had failed to address the underlying cause of efflorescence, which is sometimes called the cancer of wall paintings.

Following the procedures and principles defined by the *China Principles*, the Chinese and American teams first assessed the value and condition of the wall paintings, and then learned about the materials and techniques used to create them as well as the patterns and severity of different hazards. Taking into account the structure of the rock, the composition and amount of salts, and the humidity in the rock and the cave, we analysed the causes of different hazards, especially plaster detachment and efflorescence.^{12 13} We discovered, in our research, that the salts in the plaster layer would deliquesce when the relative humidity of the air reached 62%, and then would crystallize when the humidity dropped. We realized that repetitions of that cycle could damage the plaster layer and result in efflorescence. Understanding the underlying causes, we tested many solutions and narrowed them down until we found the best grouting material and technique and, more importantly, the most appropriate desalination method. Then the Chinese and American teams invited experts to evaluate the initial research findings and their conservation and restoration plan. The plan was approved by the experts, and restoration was carried out accordingly. After nearly eight years of investigation, assessment, research, and implementation, the wall paintings in Cave 85 were effectively protected and restored, and we were able to fundamentally address the two major hazards to the wall paintings of the Mogao Grottoes¹⁴ (Figs. 7 & 8). However, our conservation efforts did not end, but have continued in the form of routine monitoring of the cave and its wall paintings. The monitoring has helped to evaluate the effectiveness of the restoration work and facilitate daily decision-making.

The Cave 85 Project not only resolved the typical problems associated with the protection and conservation of the wall paintings in the Mogao Grottoes but established a set of scientific conservation procedures for general use. Those procedures have been widely adopted during the conservation of other Mogao caves and other grotto sites afflicted by similar hazards. They have left a positive and lasting legacy for China's conservation of ancient murals.



Fig. 7 Experts discussing the Cave 85 Project

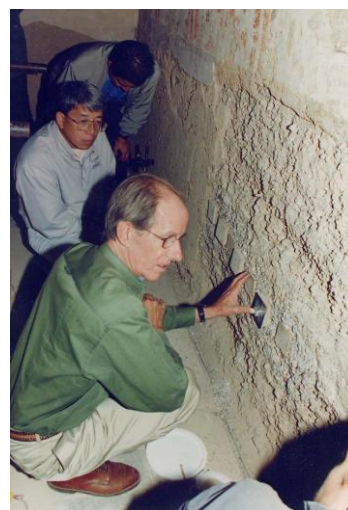


Fig. 8 Tests being conducted for the Cave 85 Project

5.2 Development of the Master Plan for the Mogao Grottoes

The *Master Plan for the Conservation and Management of the Mogao Grottoes* (the *Master Plan*) was another pilot project for the *China Principles*. Born out of the international collaboration between the DHRA,

the GCI, the AHC, and the China Architectural Design and Research Group (CAG), the *Master Plan* serves as a good example for China's conservation planning.

In 1999, the DHRA began working with the GCI and the AHC to conduct a systematic assessment of the value of the Mogao Grottoes, using the procedures recommended by the *China Principles*. The assessment covered not only the historical, artistic, and scientific values of the site but its social and emotional value as well. Extra attention was paid to the value of the Mogao Grottoes as a World Heritage Site. That was the first comprehensive evaluation of the site based on decades of research. It would facilitate the conservation of the Mogao Grottoes and the management of public access to the site and promote the culture of Dunhuang.

The central element in the development of the *Master Plan* was the evaluation of the condition of the conservation and management of the Mogao Grottoes. Having spent more than two years reviewing different aspects of the conservation and management of the site, Chinese, American, and Australian experts identified the good practices and areas that would require improvement and carried out an objective assessment. Then CAG's experts joined the collaboration and provided inputs based on the government's requirements for conservation planning. The final product was a set of objectives and measures built on the conclusions reached in the assessment. That *Master Plan* won unanimous praise from its reviewers. As we implement the *Master Plan*, we have realized that an objective and comprehensive assessment should be the basis for or even the core of conservation planning. Without an adequate assessment, conservation and management measures would not be targeted or feasible and might even cause damage to a heritage site. To truly understand what needs to be done, one must conduct an unbiased, all-inclusive, and in-depth evaluation of the value and current condition of a site and then set realistic goals.

We have met the *Master Plan's* short-term objectives for protection, management, research, and utilization and accomplished most of our objectives for conservation and management. This year, we will carry out an extensive evaluation of the effectiveness of our implementation and start revising the *Master Plan*.

5.3 Study on the Visitor Carrying Capacity of the Mogao Grottoes

With limited space inside, the Mogao Grottoes are seeing an ongoing rise in carbon dioxide levels and dramatic changes of temperature and humidity as more people visit the site and disrupt the caves' previously stable microclimate. According to our estimates in 2004, the number of visitors to the Mogao Grottoes would reach 670,000 to 1,730,000 per year in five to fifteen years, and the daily maximum would be between 9,000 and 18,000. In 2011, 670,000 people visited the Mogao Grottoes, and the site received 17,000 visitors on a single day during the Golden Week. The numbers rose to 800,000 and 20,000 respectively in 2012. While tourism boosts the local economy, it also poses potential threats to the preservation of the fragile wall paintings and polychrome sculptures.

Since 2001, the study of the visitor carrying capacity of Mogao Grottoes⁷ had analysed the conservation of the site and used data such as the space in the caves, the number of visitors, and the length of visits to calculate the maximum capacity of the caves. The study also designed indoor experiments and on-site tests to uncover how changes in the caves' microenvironment, such as those in temperature, relative humidity, and carbon dioxide levels, correlated with the hazards affecting the wall paintings. The 112 caves available for public access were evaluated and classified according to their risk levels. It was concluded that the dynamic visitor carrying capacity of the Mogao Grottoes was approximately 3,000 people. The research provided a solid foundation for the development of appropriate visitation policies and the implementation of effective

preventive conservation.

Conducted by the DHRA in partnership with the GCI, the project served as the basis for the establishment of the Mogao Grottoes Visitor Center. The SACH has recommended the methodology of the project to other World Heritage Sites and major officially protected sites in China.

5.4 Management of Public Access to the Mogao Grottoes

Maintaining the integrity, authenticity, and continuity of a heritage site is the paramount principle that should be integrated into every aspect of conservation, including the provision of public access. We need to enhance our management and properly handle the relationship between conservation and utilization. Our goal is to demonstrate to the public the cultural significance and values of the Mogao Grottoes, pursue the sustainable development of tourism, and minimize the potential damage caused by visitors while preserving the cultural legacy of the Mogao Grottoes. The booming tourism industry presents to us new challenges. Following the *China Principles* and drawing on its own experience, the DHRA has taken the following measures in opening the site to the public:

(1) Appropriate use

In order to utilize the site appropriately while focusing on its conservation, the DHRA has adopted a set of criteria and measures in opening the Mogao Grottoes to visitors: only those caves that cover an area of more than 20 square meters and are mostly hazard free, can be opened to public access; caves are opened to public access on a rotational basis; limits are imposed on the number of visitors, and no more than 25 visitors can be allowed into a cave at a time; priority is given to those caves that can give visitors a taste of different art genres and periods within a short time; high-quality guided tours are offered to Chinese and foreign visitors; and three new galleries have been added to relieve the pressure on the grottoes.

(2) Community Outreach

The local communities take pride in the Mogao Grottoes and have long been supportive of its conservation. We always encourage local people to participate in policy-making and help to promote the conservation and management of the site. Moreover, local people can enjoy discounts when visiting the Mogao Grottoes, and free admission is provided for groups of elementary, middle, and high school students. Admission to some caves is also free for local people on Buddha's Birthday (the eighth day of the fourth month in the lunar calendar) and China's Cultural Heritage Day. People can learn about the values of the Mogao Grottoes and the philosophy and methodology of their conservation through display panels, documents, materials, and pictures. They can even witness for themselves how wall paintings are restored.

(3) Multichannel promotion

The DHRA uses its own website, media, exhibitions in China and other countries, documentaries, and publications to promote the value of the Mogao Grottoes and their conservation. In recent years, we have allowed visitors to see for themselves: how wall paintings and sculptures are protected and restored as well as learn about the hazards to the grottoes and the conservation techniques we use. In this way, visitors can have a better understanding of conservation, support the protection of heritage sites, and better behaviour as tourists.

(4) Enhanced visitor management

In order to better protect our site and meet the need of visitors, we have taken the following measures to manage public access to the Mogao Grottoes: we have set up a department to receive visitors, organize their visits, and provide guided tours; we have designed multiple routes to avoid congestion and relieve the pressure on the caves; we offer prescheduled visits so that we can plan ahead of time for people to visit the site at different times of the day; and, thanks to the GCI and the AHC, we have also designed several surveys on the number, behaviour, educational level, satisfaction level, need, and visitor suggestions, which serve as the basis for improving visitor management and enhancing visitation quality (Fig. 9).

(5) Visitor center

We believe that conservation and display are equally important, conservation and utilization are fundamentally compatible, and the combination of effective conservation and appropriate use can bring about win-win outcomes. The Mogao Grottoes were intended for religious purposes in the first place, so the original design and construction of the site do not necessarily make it a proper museum. The cramped, dark caves and the fragile wall paintings and sculptures are not suitable for extensive visitation. In order to solve that problem, we are building a multifunctional Visitor Center (Fig. 10) based on the experience of other countries as well as the study on the visitor carrying capacity of the site. The Visitor Center is expected to be opened in September, 2014. Digital and multimedia technologies will be used to introduce the historical and cultural backgrounds of the Mogao Grottoes to visitors and allow them to gain realistic experiences of appreciating the caves and culture of Dunhuang. In this way, visitors can obtain more and richer information about the site beforehand and spend less time in the caves.

Backed by the philosophy of responsible tourism, the above measures have contributed to effective conservation, demonstrated the cultural significance, exquisite arts, and unique values of the Mogao Grottoes, and promoted China's traditional cultural legacy and international cultural exchange.



Fig. 9 Visitor survey



Fig. 10 Visitor Center

5.5 Monitoring and Early Warning System for the Mogao Grottoes

The Mogao Grottoes have not always had a conservation and management monitoring system. Furthermore, the system has become more sophisticated and coordinated over the years. In the early 1990s, the DHRA worked with the GCI to establish a relatively comprehensive system to monitor the meteorological environment,¹⁵ which has been playing a constructive role in the conservation and management of the site.

But the current system cannot completely meet our need for early warnings. Therefore, we will develop a new monitoring and early warning system for the Mogao Grottoes.

This new system will create synergy between different monitoring departments by integrating and sharing information about the weather, the microenvironment inside the caves, the condition of the caves and the rock mass, the visitor carrying capacity of the site, and security surveillance. In addition, issues that arise during the conservation, management, and utilization of the site will be prioritized and trigger different early warnings and responses. In this way, we can attain the goals of preventive conservation: to better monitor change, forecast risk, avoid danger, and take conservation efforts in advance. This new system will enhance our management of the Mogao Grottoes and enable us to transition from “rescue protection” to preventive conservation.

6. Conclusion

(1) The Mogao Grottoes, like other heritage sites, are faced with all kinds of conservation and management problems. Thanks to the hard work of many generations, the DHRA has accumulated considerable experience of effective conservation and appropriate utilization and still has many lessons to learn from its past work.

(2) The Cave 85 Project, the development and implementation of the *Master Plan*, the study of visitor carrying capacity of the Mogao Grottoes, and the enhanced management of public access to the site have all been conducted under the guidance of the *China Principles*. Those examples demonstrate that the basic procedures, principles, and content of the *China Principles* are science-based and suitable for the conservation of grotto sites. Without following the procedures prescribed in the *China Principles*, conservation efforts might have an adverse influence on heritage sites or even cause irreparable harm to them. The *China Principles* has enabled the improvement of the conservation and management of the Mogao Grottoes, and that improvement in turn exemplifies the effectiveness of the *China Principles*.

(3) Despite their distinct characteristics, environments, building materials, and conservation issues, different heritage sites share the same basic conservation procedures. Our experience tells us that those procedures must be followed during conservation and that assessment serves as the basis for the other aspects of conservation. It also tells us that research should be integrated into every step of conservation and that routine maintenance and monitoring are very important preventive conservation measures.

(4) Under the guidance of the *China Principles*, the conservation and management of the Mogao Grottoes have been brought to a higher level. As we embrace new practices and concepts, the Mogao Grottoes have entered the stage of preventive conservation. In fact, the newly revised *China Principles* includes the articles on preventive conservation. I believe that the new *China Principles* will make the conservation and management of the Mogao Grottoes more scientific, systematic, and standardized.

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Research on the Theoretical and Practical Developments of New Categories of Cultural Heritage in China since 2000

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ABSTRACT

Since the beginning of the new century, China's cultural heritage conservation has been making significant progress. The most remarkable phenomenon has been the emergence of new categories of heritage sites. The scope of Chinese cultural heritage has expanded to include many new categories such as industrial heritage, cultural landscapes, cultural routes, and heritage canals. As these new categories are rapidly increasing in number and size, academics are discussing their definitions, concepts, and conservation methods. Focusing on statistical data, significant events, and case studies, this paper briefly reviews the evolution of these new heritage categories in the last decade. The purpose of this paper is to identify the factors that have been driving the conservation of these new categories of cultural heritage, map out an appropriate path for their conservation, and shed light on their potential opportunities and challenges in the future.

1. Background

The Chinese government has been leading the efforts to protect the country's cultural heritage since the early days of the People's Republic of China, when the State Administration of Cultural Heritage (SACH) compiled lists of officially protected sites at different administrative levels and conducted conservation through official recognition and management of heritage sites. For example, seven Lists of Major Officially Protected Sites at the National Level, the most important lists of cultural heritage sites at the national level, have been created since 1961, and two such lists have been released since the issuance of the Conservation and Management Principles for Cultural Heritage Sites in China (the China Principles) – the sixth list in 2006 (1,080 sites) and the seventh in 2013 (1,943 sites). Compared with the first five lists, the latest two have the following characteristics:

1.1 Rapid Growth in the Number of Heritage Sites

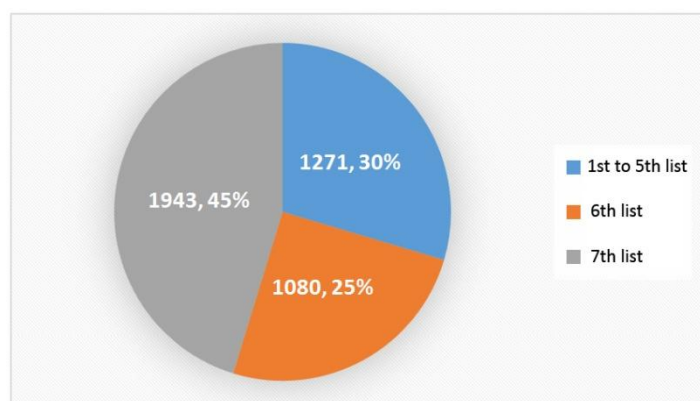


Fig. 1 Numbers and percentages of heritage sites on the Lists of Major Officially Protected Sites at the National Level

As shown in Fig. 1, the latest two lists have led to a spike in the number of officially protected sites in China. The sixth list includes almost as many sites as the previous five do in total, and the seventh list is longer than the first five combined. After nearly ten years of growth, China now has 4,717 major officially protected sites at the national level, and 3,023 or 70% of them are on the sixth and seventh lists. Therefore, China's changing conservation practices in the last ten years have exerted a considerable influence on the overall landscape of heritage conservation in China.

1.2 Changed and Unchanged Heritage Categories

The current Chinese system of cultural heritage conservation includes seven major heritage categories: ancient ruins, ancient tombs, traditional buildings, grotto temples and stone carvings, important modern heritage sites and representative buildings, other categories, and heritage sites that can be merged with others. Although the total number of officially protected sites surged significantly every time a new list was released, the percentages of the different categories have been relatively stable. Traditional buildings account for more than 40% of every list, followed by ancient ruins (20%-30%). The other categories have smaller shares, and their relative rankings are the same across the lists. That means that the internal structure of the Chinese system of officially protected sites has been largely unchanged. This might be a disappointing conclusion because it indicates that the increase of officially recognized sites has not transformed the Chinese view of heritage. With conventional categories like traditional buildings and ancient ruins holding sway, it is difficult for new types of heritage sites to flourish.

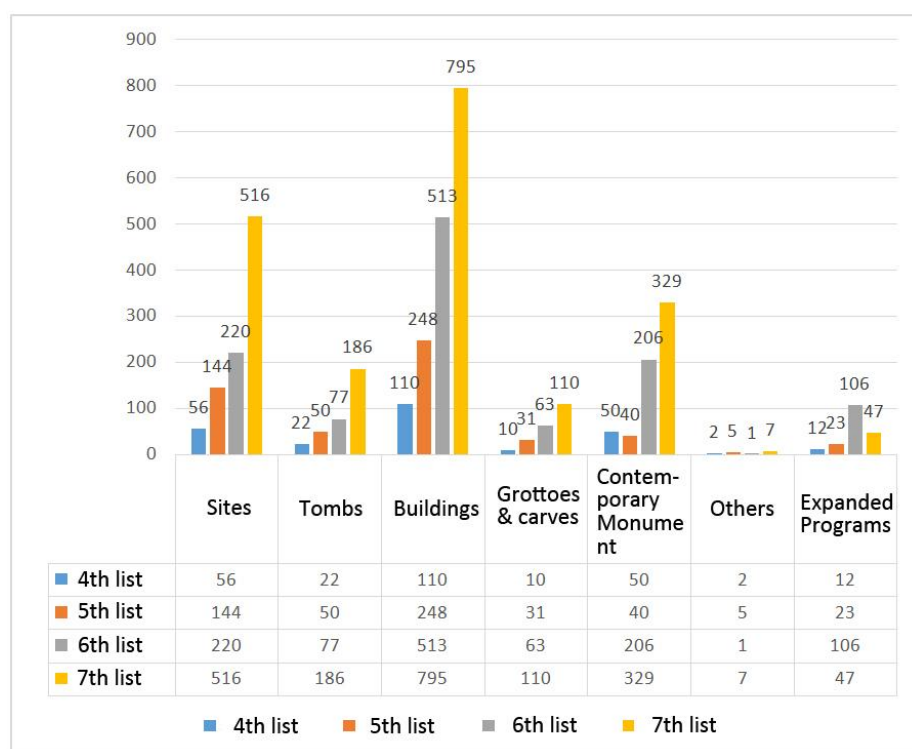


Fig. 2 Numbers of heritage sites on the fourth, fifth, sixth, and seventh Lists of Major Officially Protected Sites at the National Level (by category)⁵⁵

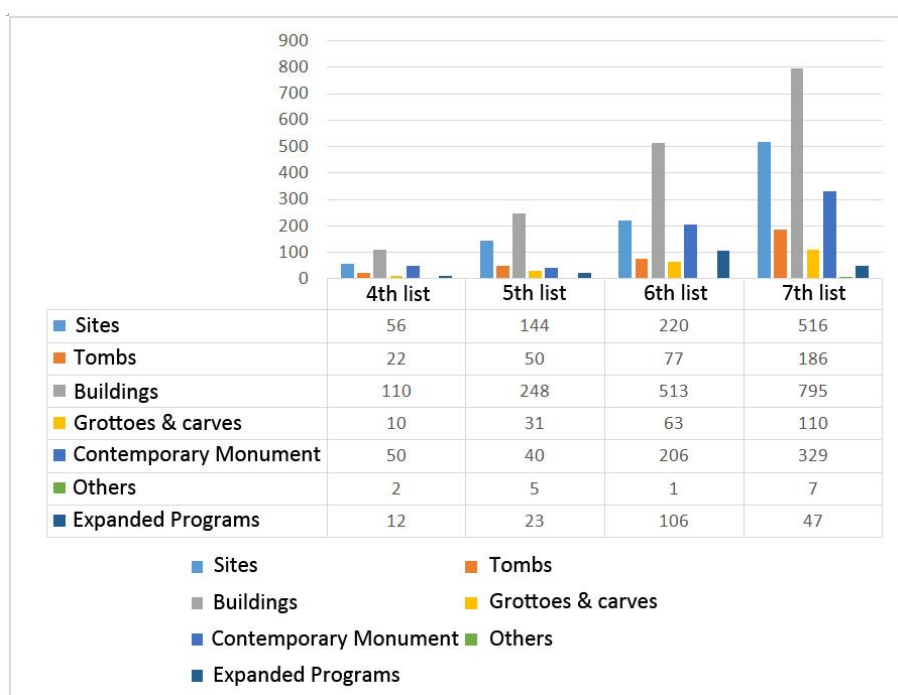


Fig. 3 Numbers of heritage sites on the fourth, fifth, sixth, and seventh Lists of Major Officially Protected Sites at the

⁵⁵ The fourth and fifth lists were released in 1996 and 2001 respectively. But the survey, nomination, and review of heritage sites for the fifth list were all completed before 2000, so the development of the fifth list did not adopt the conservation philosophy proposed by the *China Principles*. The fourth and fifth lists are compared with the sixth and seventh in a later section of this paper.

National Level (by list)

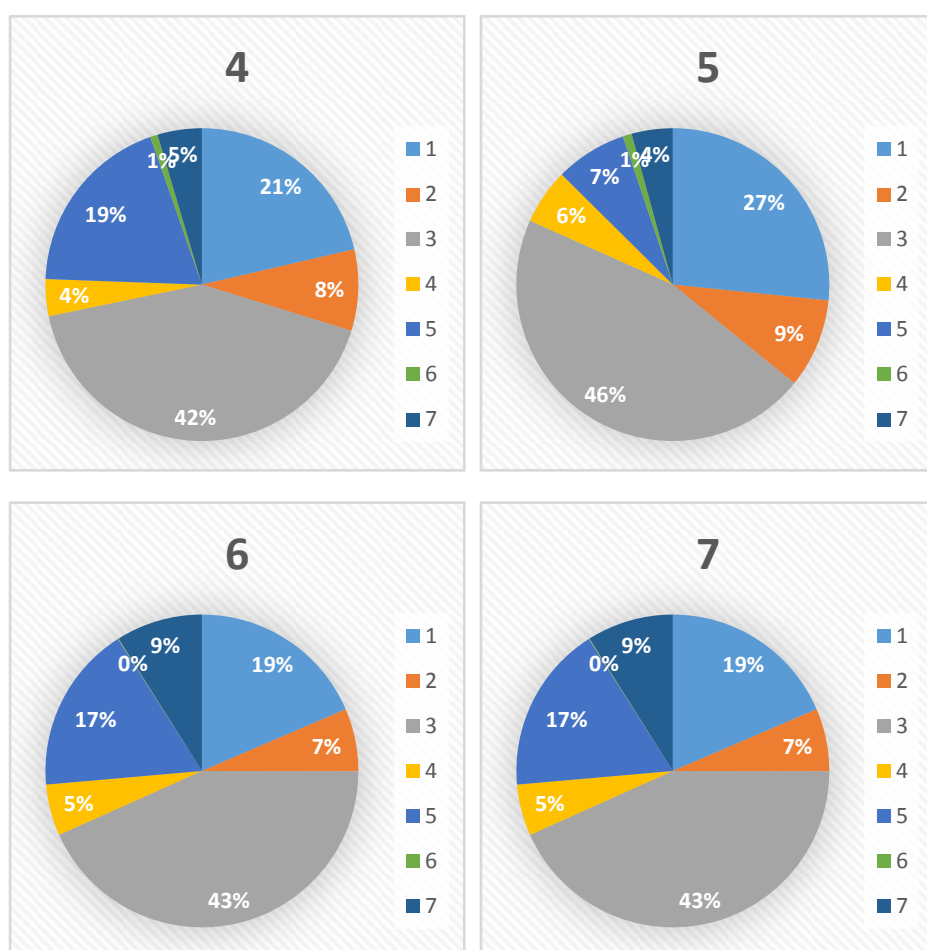


Fig. 4 Percentages of the seven categories of heritage sites on different lists (by category)

But a closer examination of the lists shows that sites that represent a new understanding of cultural heritage have increased though they are still categorized as traditional types of heritage. For example, some ancient mining sites, considered to be ancient ruins in the current categorization system, are included in the lists released after 2000 but are obviously different from ancient city ruins. In fact, mining sites are an important type of industrial heritage by international standards. This new trend is particularly apparent within the category of modern heritage: the latest two lists shifted their focus from revolutionary heritage and former residences of well-known people to modern industrial heritage. Moreover, certain cultural routes and cultural landscapes are now included in the category of traditional buildings or other categories. These examples demonstrate that China is gaining a new understanding of the notion and scope of cultural heritage.

1.3 Chinese World Heritage Sites that Belong to New Heritage Categories

New heritage concepts and categories are still a minority in the Chinese system of officially protected sites. But, according to the current list (and Tentative List) of China's World Heritage Sites, new heritage categories have been playing an important role in spearheading China's nomination efforts during the past five years. Since 2009, China has nominated seven cultural heritage sites to the World Heritage Committee (WHC), including three cultural landscapes, one canal, and one cultural route – only the historic monuments of

Dengfeng in “the center of heaven and earth” and the site of Xanadu belong to traditional types of heritage. There are even more sites that fit into new heritage categories on China’s Tentative List. Cultural landscapes, heritage canals, cultural routes, industrial heritage and other new categories are included in the second (2008) and third (2012) editions of the Tentative List. China’s cultural heritage is indeed becoming more diversified.

2. Practical Developments: Evolution of New Heritage Categories in the Past Decade

In the last ten years, the evolution of new heritage categories in China has gone through three stages: (1) before 2003, (2) between 2004 and 2010, and (3) between 2011 and 2014.

2.1 Before 2003

China joined the World Heritage Convention in 1985. In 2003, the World Heritage List contained 29 Chinese sites, including 21 cultural heritage sites and four mixed ones. But only one of them fits into the new heritage category (cultural landscape). Theories related to new heritage categories were first proposed in the international conservation community in the 1990s. For example, “cultural landscape” was officially recognized as a category of heritage site in the Operational Guidelines for the Implementation of the World Heritage Convention in 1992. The International Committee for the Conservation of the Industrial Heritage published the International Canal Monuments List in 1996 to provide guidance for the nomination of historic canals as World Heritage Sites. In 1994, the concept of cultural routes was promoted at the 18th Session of the WHC in Madrid. In the 1990s, many new types of heritage sites were inscribed on the World Heritage List, including the Route of Santiago de Compostela in Spain (1994), the Canal du Midi in France (1994), the Rice Terraces of the Philippine Cordilleras (1995), and the Ironbridge Gorge in the United Kingdom (1986). But such new categories of heritage sites were largely unknown to the cultural heritage conservation community in China, where focus was still on traditional architecture and ancient ruins. In addition, the nomination procedure for World Heritage Sites was relatively simple at that time, and there were not so many Chinese sites on the World Heritage List. Therefore, it was natural for China to nominate those sites that were thought to be more important.

However, it was in this period that a Chinese cultural landscape was inscribed as a World Heritage Site – the Lushan National Park (1996). China’s nomination of the Lushan National Park reflected the different perspectives from which the Chinese and international conservation communities viewed cultural heritage. Mount Lu was first nominated as both a natural and a cultural heritage site (Mount Tai and other well-known Chinese mountains had been nominated in the same way), but international consultancies believed that the grounds for inscribing Mount Lushan as a natural heritage site were insufficient. They argued that Mount Lushan met the definition of a cultural landscape because of its importance for interaction between humans and nature. The WHC agreed with the consultancies and recognized Mount Lushan as a cultural landscape. The inscription of the Lushan National Park was a turning point in the evolution of China’s understanding of new heritage categories. Previously, China had nominated Mount Tai, Mount Emei, and Mount Wuyi as mixed heritage sites because it had been unaware of the links between their natural and cultural values. After 1996, however, China started to consider such mountains to be cultural heritage or cultural landscapes, and the Chinese conservation community began to recognize their importance for interaction between humans

and nature. Nevertheless, the inscription of the Lushan National Park represented more of a blip in history as local authorities have never studied and evaluated Mount Lushan as a cultural landscape even after it was recognized as a World Heritage Site.

2.2 Between 2004 and 2010 (Initial Recognition of New Heritage Categories)

In 2004, China started to import, study, and digest international heritage conservation theories as it nominated and protected World Heritage Sites. In the following five years, China became more theoretically prepared for and practically competent in World Heritage nominations.

In the 1990s, the launch of the Global Strategy ushered in a new era dominated by the nomination of and research on new categories of heritage sites. In the last decade of the 20th century, the WHC recognized cultural landscapes, cultural routes, and historic canals as new types of World Heritage Sites, and 20th century heritage, industrial heritage, and agricultural heritage, among other things, emerged as new heritage themes. Unfortunately, China did not pay attention to these new heritage categories immediately. It was not until the early 2000s that China started to confront the impact of those new ideas and adjust its own conservation theories and practices.

The Cairns Decision, which was adopted in 2004, can be seen as a catalyst for the emergence of new types of cultural heritage in China. According to the document, every signatory of the World Heritage Convention is allowed to nominate a maximum of two heritage sites at a time. In order to fill the quota, China usually nominates a natural heritage site and a cultural heritage site (cross-border sites are not subject to this restriction). As a country with abundant heritage resources, China needed to develop an effective strategy to have more of its heritage sites inscribed on the World Heritage List. Since new types of heritage sites are generally larger in size and thus more inclusive, they started to play a more important role in China's cultural heritage conservation.

Moreover, as China became more involved in international collaboration, it gained a better understanding of new categories of heritage sites. In 2004, the Chinese Commission for the International Council on Monuments and Sites (ICOMOS China) was founded in Beijing as the first branch of a World Heritage consultancy in China. In 2005, ICOMOS convened its 15th General Assembly in Xi'an, which was the first major heritage conservation conference hosted by China, and adopted the Xi'an Declaration. The document defines the natural and socio-cultural settings of cultural heritage and incorporates traditional Chinese environmental ethics, including the unity of heaven and humans and the integration of nature and culture. For the first time in history, China's conservation philosophy started to integrate into the system of World Heritage theories.

In 2006, China compiled its first World Heritage Tentative List, which included many new types of heritage sites such as the Grand Canal, the Ling Canal, the Silk Road, the Honghe Hani Rice Terraces, and the West Lake. As World Heritage Sites attracted more public attention, the SACH started to organize the annual Wuxi Forum in 2006. The first few Wuxi Forums discussed industrial heritage (2006), vernacular heritage (2007), and cultural routes (2009).

Despite those extensive discussions and efforts, China still adopted a relatively conservative strategy as it nominated World Heritage Sites in this period – most of its nominations were well-known sites belonging to categories that had already been recognized by the international conservation community in the 1980s and

1990s.⁵⁶ It was not until 2009 that another Chinese cultural landscape (Mount Wutai) was inscribed on the World Heritage List.

2.3 Between 2011 and 2014 (Further Development of New Heritage Categories)

The inscription of Mount Wutai in 2009 opened the floodgates to the nomination of more new types of heritage sites. In the second decade of the 21st century, China started to focus on new heritage categories. In 2011, the SACH revised China's Tentative List for the second time by removing vaguely defined heritage sites and adding new ones, such as Traditional Sites for Liquor Making in China, the Ancient Tea Plantations of Jingmai Mountain in Pu'er, and the Huangshi Mining and Smelting Site.

Among all the new categories of heritage sites that have been nominated in recent years, cultural landscapes have taken a prominent place. That is partly because of the abundant cultural landscape resources in China and partly because of the fact that China has gained a deeper understanding of cultural landscapes after ten years of theoretical exploration. In 2011, the West Lake of Hangzhou was inscribed on the World Heritage List as a cultural landscape. The Honghe Hani Rice Terraces, which were listed as a World Heritage Site in 2013, are also a typical "organically evolved landscape". China has also been attempting to nominate cultural routes and heritage canals. In 2006, it started to prepare for the nomination of the Grand Canal and the Silk Road. After eight years of hard work, they were recognized as World Heritage Sites in 2014.

The West Lake was the first World Heritage Site in China that was nominated as a cultural landscape. Previously, it was international consultancies that had proposed in their evaluation reports to categorize Mount Lushan and Mount Wutai as cultural landscapes. The nomination document for the West Lake describes it as displaying the characteristics of three types of cultural landscapes: it is a cultural landscape that is intentionally designed by humans, organically evolved, and associative. In fact, the West Lake reflects a common feature of most Chinese cultural heritage sites – they are the embodiment of the long-term, multi-dimensional dialogue between humans and nature. In contrast to the dichotomous view in the West, Chinese philosophy believes in the unity of humans and nature. The inscription of the West Lake demonstrated that China had the ability to integrate international theories with its own conditions. It represented a significant achievement and paved the way for the Chinese conservation community to continue to study new categories of heritage sites such as cultural routes, historic canals, and industrial heritage.

3. Theoretical Developments: Research on New Heritage Categories in the Past Decade

3.1 Data and Methodology

The sheer volume of literature published and the great number of international conferences and other academic activities organized by the Chinese heritage conservation community make it difficult to conduct a

⁵⁶ These sites are the Historic Center of Macau (2006), the Kaiping *Diaolou* and Villages in Guangdong (2007), and the Fujian *Tulou* in Nanjing, Yongding, and Hua'an.

comprehensive, detailed, and accurate evaluation of the developments of theories on new heritage categories in the past decade. In order to maintain objectivity, the author examined and analyzed the topics of academic papers to identify patterns in the evolution of theories in this field.

This section is based on papers that have been published in China and included in electronic databases in the last decade. In August 2013, the author searched the website of the China National Knowledge Infrastructure (CNKI, www.cnki.net) for papers that were published between 2001 and 2013 and have titles containing keywords related to new heritage categories (cultural landscape, cultural route, heritage canal/canal, industrial heritage, vernacular heritage etc.), focusing on general and specialized journals, Chinese and international conferences, and Masters and PhD dissertations.⁵⁷

3.2 Percentages of Papers on Different New Heritage Categories

According to the collected data, variations exist across different new categories of heritage sites. The chart below (Fig. 5) demonstrates the numbers and percentages of papers on major new categories (categories on which little research has been conducted are not shown). The following conclusions can be drawn:

(1) Cultural landscapes and industrial heritage are the most studied topics. There are 834 papers on cultural landscapes (43%) and 725 on industrial heritage (37%). These two categories have received the most attention from researchers.

(2) Vernacular architecture is another popular topic and is discussed in 287 or 15% of all the collected papers. But the Chinese definition of the term “vernacular architecture” is different from its meaning in the context of World Heritage Sites because it is seen as a subcategory of traditional architecture.

(3) There are 91 papers on cultural routes (5%), but it should be noted that this is still a relatively new topic in China.

(4) Other new heritage categories, such as heritage canals and 20th century heritage, are only discussed in general terms in a limited number of papers. Yet specific cases of those categories are analyzed in many more articles.

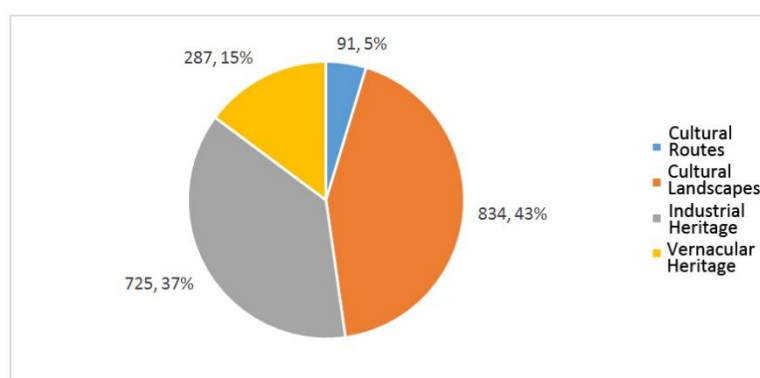


Fig. 5 Numbers and percentages of papers on different new heritage categories

⁵⁷ Since the CNKI database is constantly updated, the data collected by the author may not reflect the latest changes. This section is only based on data collected as of August 2013 without taking into account any new information added into the database since then.

3.3 Research on Cultural Landscapes

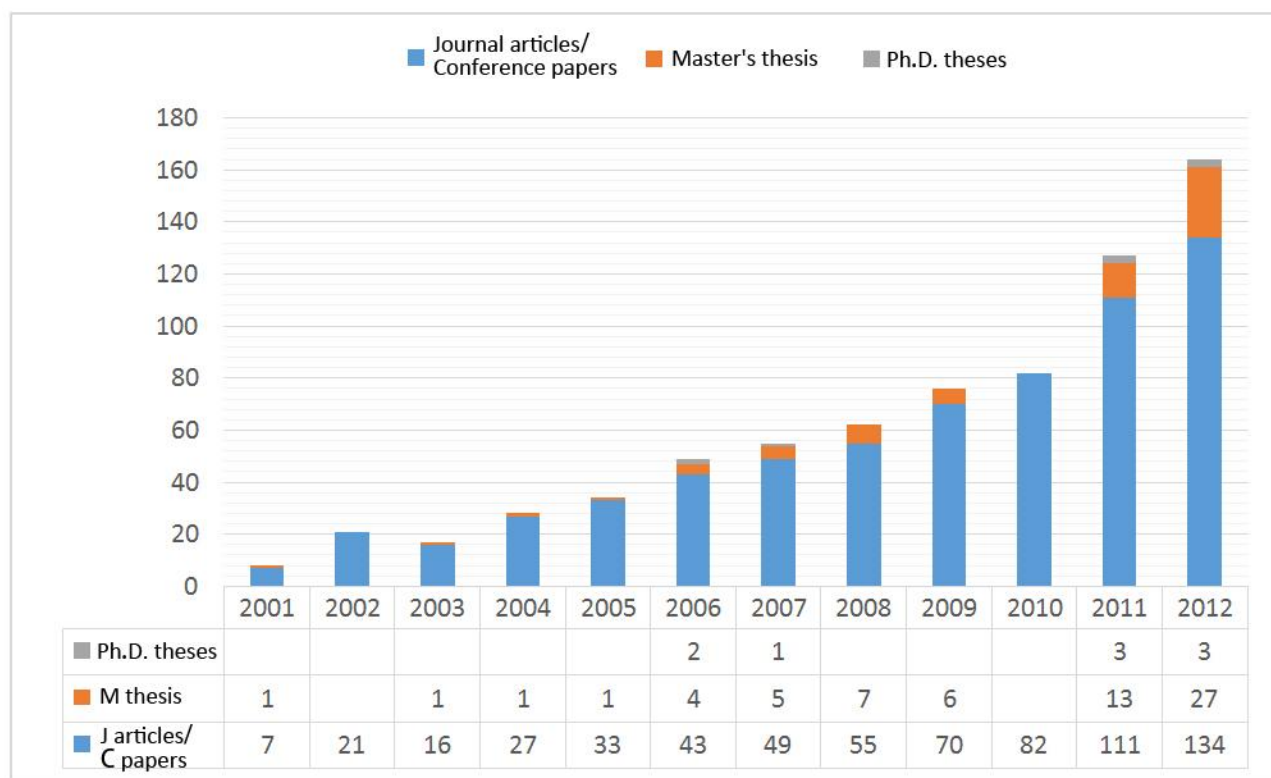


Fig. 6 Numbers of different types of papers on cultural landscapes (source: CNKI)

Cultural landscapes were the first new category of heritage sites to be studied by Chinese scholars. In the early 2000s, the concept of cultural landscapes appeared in cultural-geographical discussions in China. The Chinese heritage conservation community started to introduce theories on cultural landscapes in 2002. After 2002, more and more papers on this concept, mostly case studies, were published. It was not until 2006 that more researchers began to review theories on cultural landscapes, as evidenced by the numbers of Masters and PhD dissertations. After 2010, researchers shifted their focus to designing strategies for the nomination of cultural landscapes as World Heritage Sites. That change was related to the fact that cultural landscapes started to attract considerable public attention as potential World Heritage Sites in 2011. But, overall, theoretical studies only account for a small proportion of all the collected papers, and the meaning of cultural landscapes and their conservation methods in the context of Chinese traditions are still under discussion.

3.4 Research on Industrial Heritage

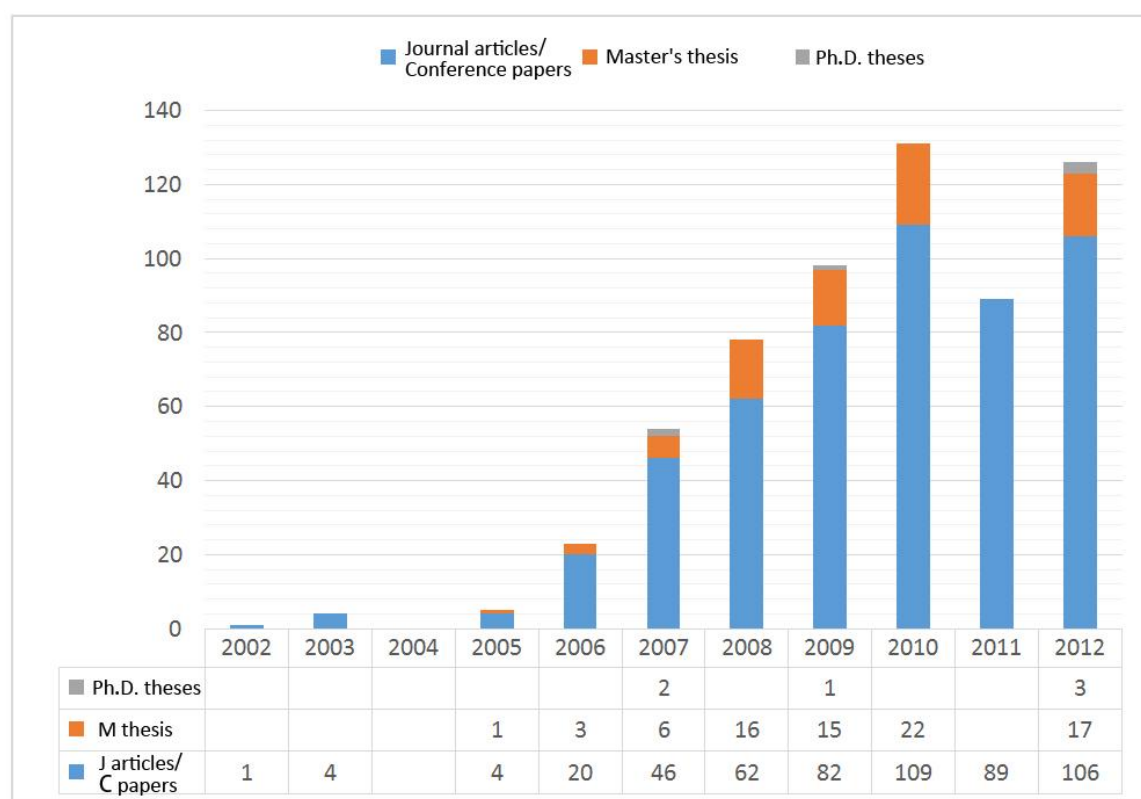


Fig. 7 Numbers of different types of papers on industrial heritage (source: CNKI)

The number of papers on industrial heritage, unlike the number of those on cultural landscapes, has not gone through a process of steady increase but experienced explosive growth. The concept of industrial heritage is only mentioned in a very small proportion of the papers published before 2006. But the number of papers on industrial heritage spiked up after 2006. The main reason for that change was that this concept gained much academic and public attention after the annual Wuxi Forum, an event organized by the SACH, chose industrial heritage as its theme in that year. That was the first time the Chinese government promoted a new category of heritage site. However, most papers on industrial heritage focus on the integration of its conservation and utilization instead of the nomination of industrial heritage sites as World Heritage. Another common type of research is regional surveys of industrial heritage sites, especially those in Beijing, Shenyang, Wuxi, Wuhan, and other cities and regions with an industrial history in modern times. Those cities and regions not only have many industrial heritage sites but need to tackle the challenge of protecting and using them in the process of construction and reconstruction. In other countries, industrial heritage research was first conducted by non-governmental entities or individuals and originated from industrial archaeology. In other words, it has public support and a long history. But China's industrial heritage research has adopted a top-down approach: the central and local governments play a leading role, and such research is intended to address urgent and practical issues like urban construction or housing demolition and resident resettlement. In fact, the Chinese heritage conservation community lacks a deep understanding of the historical, cultural, and technological values of industrial heritage and its importance to public memory. Therefore, despite the large volume of research on industrial heritage, few papers have been able to make a significant contribution to existing theories and deepen our understanding of this concept. That is also why industrial heritage has not

become a popular topic as more and more Chinese sites are nominated as World Heritage – the inscription of a heritage site is directly linked with the recognition of its values.

3.5 Research on Cultural Routes

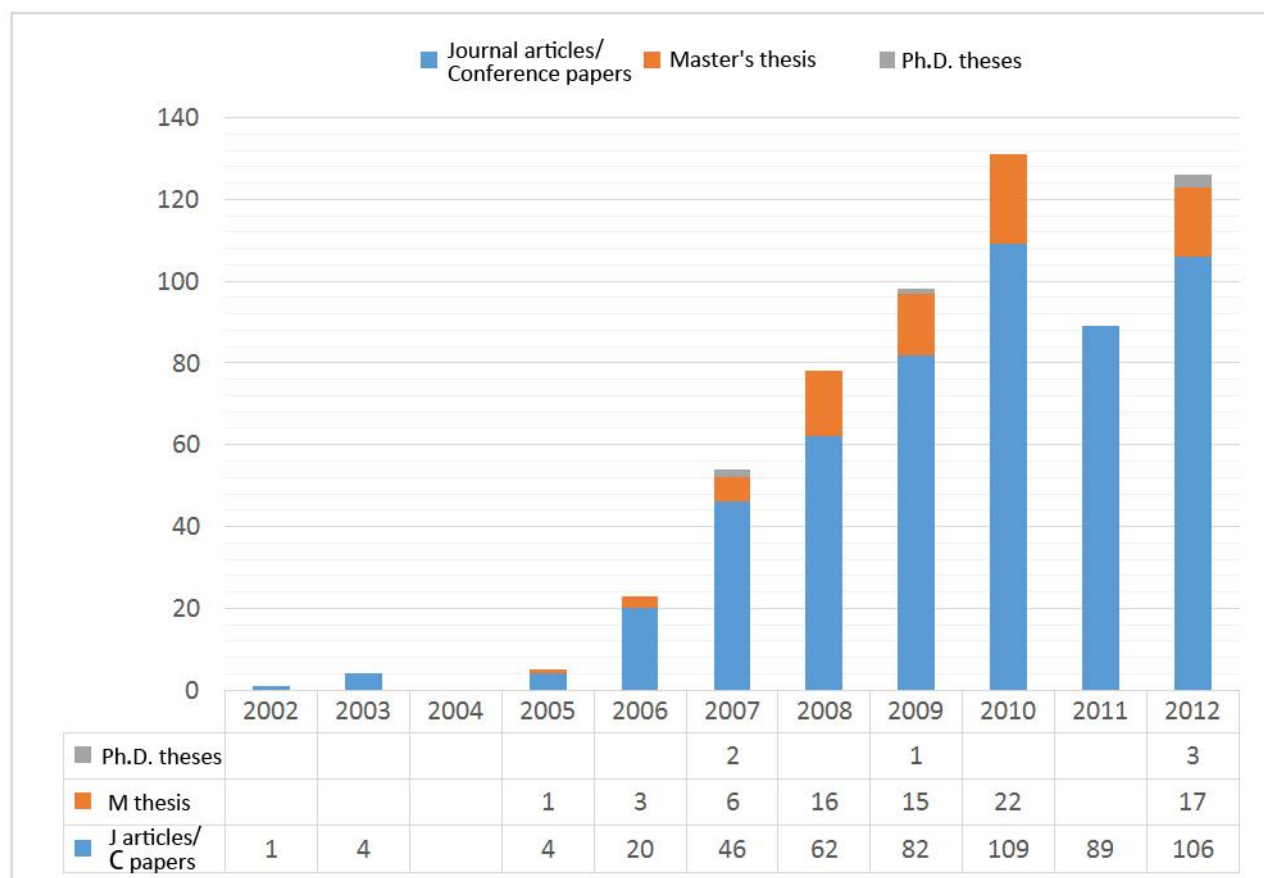


Fig. 8 Numbers of different types of papers on cultural routes (source: CNKI)

There are not as many papers on cultural routes as those on cultural landscapes and industrial heritage. But the evolution of research on cultural routes has exhibited a unique pattern. In China, the concept of cultural routes was first proposed by a handful of heritage conservation professionals familiar with the protection of World Heritage Sites, including Professor Yu Kongjian (2005) and Professor Lu Zhou (2006). With broad vision and intellectual acumen, those experts realized the potential impact of this concept on China's cultural heritage conservation and established an overall framework for China's cultural routes. In fact, the concept of cultural routes was not a well-defined one in the international heritage conservation community at that time, so those experts' efforts provided China with an opportunity to keep up with the pace of change in international conservation theories. For example, the ICOMOS Charter on Cultural Routes was translated into Chinese and published in China immediately after it was adopted in 2008. Many studies on cultural routes examined well-known examples of this category in China, including the Silk Road, the Grand Canal, the Tibetan-Yi Corridor, and the Ancient Tea Horse Road. In summary, China has many cultural routes, but its research on related theories is still in infancy and requires more cross-disciplinary collaboration to make the existing theoretical framework more systematic.

4. Opportunities and Challenges: Future Trends of New Heritage Categories

The following conclusion can be drawn from the above analysis:

(1) Although new heritage categories have been rapidly recognized and embraced in the last decade, they are new members of the Chinese system of cultural heritage and account for only a small proportion of the country's conservation efforts. Traditional categories of heritage sites, including traditional architecture, ancient ruins, and ancient tombs, will remain the focus of heritage conservation specialists for many years to come. New heritage categories now predominate in some Western countries (such as Spain) because those countries already have mature and sound conservation systems for traditional categories. By contrast, many sites included in the seventh national list are in imminent danger. We can only concentrate our limited human, physical, and financial resources on the salvage of those traditional sites for the time being.

(2) New heritage categories have two major advantages. They were first promoted and advocated by the WHC and other authoritative organizations in the international heritage conservation community to correct the imbalance of the World Heritage List. So they will become an important new factor to guide China's efforts to nominate more of its heritage sites as World Heritage. That is why theories and practices related to new heritage categories have been increasing in China in the last decade. But the importance of new heritage categories is not merely utilitarian: they have added new dimensions to and thus significantly changed our view of cultural heritage and have led to more innovative conservation attempts. This trend will not only shape China's conservation techniques but exert a profound influence on our conservation philosophy.

(3) New heritage categories are faced with daunting challenges from traditions. One of the biggest challenges lies in the fact that they are not yet recognized by the existing categorization system for cultural heritage in China. That problem could affect the identification and evaluation of new heritage categories and related research. Without appropriate identification and evaluation, the conservation of new heritage categories would be exposed to uncontrollable threats. Moreover, the development of research in this field has shown that the conservation of new heritage categories lacks a solid theoretical basis. In many cases, ambiguous and incomplete theories have caused the misunderstanding, misuse, and abuse of certain concepts. Therefore, fundamental research will still need to be conducted for a long time to come so that new heritage categories can play a more important role in China's cultural heritage conservation. Such research could include historical studies, the introduction and localization of international theories, and in-depth analyses of exemplar cases.

Appendices

Appendix 1: Sites Belonging to New Heritage Categories on the fifth List of Major Officially Protected Sites at the National Level

Number	Category Number	Name	Period	Location	New Category's Character
Category name in the List: Ancient ruins (144 in total)					
Category number: I					
17	I-17	Dajing Ancient Copper Mining and Smelting Site	Bronze Age	Linxi County, Inner Mongolia Autonomous Region	Industrial Heritage
32	I-32	Copper Smelting Sites of Baoshan and Liudaogou	Tang Dynasty and Five Dynasties Period	Linjiang City, Jilin Province	Industrial Heritage
49	I-49	Canal Wharf in Liuzi	Tang to Song Dynasties	Suixi County, Anhui Province	Element of Heritage Canal
56	I-56	Ancient Copper Mine in Tongling	Shang and Zhou Dynasties	Ruichang City, Jiangxi Province	Industrial Heritage
129	I-129	Nulasai Copper Mine Ruins	Bronze Age	Nilka County, Xinjiang Uyghur Autonomous Region	Industrial Heritage
Category name in the List: Important modern heritage sites and representative buildings (40 in total)					
Category number: V					
481	V-8	First oil well of Daqing	1959	Daqing City, Heilongjiang Province	Industrial Heritage
491	V-18	Fujian Chuanzheng Shipyard Buildings	Qing Dynasty	Fuzhou City, Fujian Province	Industrial Heritage

Number	Category Number	Name	Period	Location	New Category's Character
495	V-22	Dazhimen Railway Station	1903	Wuhan City, Hubei Province	Industrial Heritage
512	V-39	China's first research center for nuclear weapons	1957-1995	Haiyan County, Qinghai Province	Industrial Heritage

Appendix 2: Sites Belonging to New Heritage Categories on the sixth List of Major Officially Protected Sites at the National Level

Number	Category Number	Name	Period	Location	New Category's Character
Category name in the List: Ancient ruins (220 in total)					
Category number: I					
24	I-24	Road along the Yellow River	Han to Qing Dynasties	Pinglu County, Shanxi Province	Cultural Route
32	I-32	Qin Dynasty Roads	Qin Dynasty	Ordos City, Inner Mongolia Autonomous Region, and Xunyi County, Shaanxi Province	Cultural Route
81	I-81	Site of the Longjiang Shipyard	Ming Dynasty	Nanjing City, Jiangsu Province	Industrial Heritage
147	I-147	Iron Works of Xiahewan	Warring States Period to Han Dynasty	Biyang County, Henan Province	Industrial Heritage
148	I-148	Iron Works of Wangchenggang	Han Dynasty	Lushan County, Henan Province	Industrial Heritage
149	I-149	Iron Works of Wafangzhuang	Han Dynasty	Nanyang City, Henan Province	Industrial Heritage
181	I-181	Jianmen Shu Road	Warring States Period to Qing Dynasty	Guangyuan City and Jiange County, Sichuan Province	Cultural Route

Number	Category Number	Name	Period	Location	New Category's Character
183	I-183	Laojunshan Saltpeter Cave Site	Ming to Qing Dynasties	Jiangyou City, Sichuan Province	Industrial Heritage
186	I-186	Site of Wanshan Mercury Mine	Tang to Qing Dynasties	Tongren region, Guizhou Province	Industrial Heritage
215	I-215	Zhaobishan Copper Mine Site	Han Dynasty	Zhongwei City, Ningxia Hui Autonomous Region	Industrial Heritage
Category name in the List: Traditional buildings (513 in total)					
Category number: III					
330	III-33	Jingqing Courier Route	Ming to Qing Dynasties	Jingqing County, Hebei Province	Cultural Route
506	III-209	Hongze Lake Dike	Han to Qing Dynasties	Huai'an City and Hongze County, Jiangsu Province	Element of Heritage Canal
540	III-243	Dusong Pass and Old Courier Route	Song to Qing Dynasties	Anji County, Zhejiang Province	Cultural Route
541	III-244	Xinhe Bridges	Song to Qing Dynasties	Wenling City, Zhejiang Province	Element of Heritage Canal
610	III-313	Mei Pass and Old Courier Route	Ming Dynasty	Dayu County, Jiangxi Province	Cultural Route
810	III-513	The Grand Canal	Spring and Autumn Period to Qing Dynasty	Beijing Municipality, Tianjin Municipality, Hebei Province, Shandong Province, Jiangsu Province, and Zhejiang Province	Heritage Canal
Category name in the List: Important modern heritage sites and representative buildings (206 in total)					
Category number: V					

Number	Category Number	Name	Period	Location	New Category's Character
908	V-35	Former Site of the Huangyadong Arms Factory	1941	Licheng County, Shanxi Province	Industrial Heritage
923	V-50	Buildings of the Chinese Eastern Railway	Qing Dynasty	Hailin City, Heilongjiang Province	Industrial Heritage
950	V-77	Qiantang River Bridge	Republic of China	Hangzhou City, Zhejiang Province	Industrial Heritage
977	V-104	Early buildings of the Tsingtao Brewery	Qing Dynasty	Qingdao City, Shandong Province	Industrial Heritage
	V-117	Red Flag Canal	1969	Linzhou City, Henan Province	Heritage Canal
996	V-123	Former Site of the Hanyeping Coal and Iron Mines and Works	1890-1948	Huangshi City, Hubei Province	Industrial Heritage
1002	V-129	Jing River Sluice Gates	1953	Gong'an County, Hubei Province	Element of Heritage Canal
1053	V-180	Wujiashai Railway Bridge	Qing Dynasty	Pingbian Miao Autonomous County, Yunnan Province	Industrial Heritage
1055	V-182	Shilongba Hydropower Station	Qing Dynasty	Kunming City, Yunnan Province	Industrial Heritage
1057	V-184	Jijie Street Railway Station	Republic of China	Gejiu City, Yunnan Province	Industrial Heritage
1070	V-197	Yellow River Iron Bridge of Lanzhou	Qing Dynasty	Lanzhou City, Gansu Province	Industrial Heritage
1077	V-204	Karez Water System	Qing Dynasty	Turpan City, Xinjiang Uyghur Autonomous Region	Cultural Landscape

Category name in the List: Others (1 in total)

Category number: VI

Number	Category Number	Name	Period	Location	New Category's Character
1080	VI-1	Old Tribute Jujube Garden	Ming to Qing Dynasties	Huanghua City, Hebei Province	Cultural Landscape

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Influence of the *China Principles* on Archaeological Site Conservation in China

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ABSTRACT

Since the *Principles for the Conservation of Heritage Sites in China* (or the *China Principles*) was released fourteen years ago, China has made great advances in archaeological site conservation. Thanks to sustained economic growth and the government's increased investment in cultural heritage conservation, China has the ability to protect large archaeological sites that cover an area of dozens or hundreds of hectares or even span different provinces and cities. In the conservation of archaeological sites, people strictly follow the *China Principles* while seeking a balance between heritage conservation and local economic growth. Therefore, new concepts proposed by the State Administration of Cultural Heritage, such as the conservation of large archaeological sites and the construction of national archaeological parks, have been reinforced and implemented. This paper examines how the protection and presentation of archaeological sites have reflected people's understanding and application of the *China Principles* over the last decade and what challenges need to be tackled when the principles are applied to archaeological site conservation.

1. Introduction: A Bowl of Noodles and Challenges to the Conservation and Management of Chinese Archaeological Sites

China is known for its ancient civilization. It has a written history of nearly 3,500 years. In China, there are hundreds of thousands of archaeological sites, which are divided into two categories: ancient ruins and ancient tombs. More than 1,400 archaeological sites have been recognized as major officially protected sites at the national level.¹

¹ The seven Lists of Major Officially Protected Sites at the National Level include 4,295 sites in total, and around one third of them are archaeological sites, including 1,031 sites of ancient ruins and 381 ancient tombs.

As an academic discipline, archaeology has a history of nearly 100 years in China. It is generally believed that the excavations at Xiyin Village, Zhoukoudian, Yin Xu, and other major sites marked the beginning of Chinese archaeology. And China's conservation and management of archaeological sites started around the same time. Although archaeology grew rapidly in this country, regrettable incidents happened to many archaeological sites after data about those sites was collected for research purposes. The main reasons for that were the absence of coherent approaches to archaeology and the lack of technical support for conservation during and after excavation. That problem persisted for a long time and continued into the 21st century, as evidenced by the Lajia site.

The Lajia site is a large site of Neolithic settlements included in the fifth List of Major Officially Protected Sites at the National Level. It bears evidence of a disaster that occurred 4,000 years ago and is thus called the Pompeii of the East in the Chinese archaeological community. In 2002, noodles were found in the remains of House No. 20 at the Lajia site (Fig. 1). They had remained intact in a pottery bowl sealed by a sudden mudslide. Unfortunately, since no scientific conservation measures were available, the noodles soon broke down after they were unearthed. Today, people can only learn about them through photographs and data. It is natural to wonder about this regrettable incident: Was it technologically feasible to avoid such consequences? If not, what would have been the best solution? A further question would be whether similar problems can be avoided if heritage conservation is better regulated by guidelines.



Fig. 1 Noodles unearthed at the Lajia site (Source: Lajia Site Museum)

2. The China Principles and the Conservation of Archaeological Sites

In 2000, the Chinese Commission for the International Council on Monuments and Sites (ICOMOS China) adopted the Principles and Commentary sections of the *Principles for the Conservation of Heritage Sites in China* (or the *China Principles*) at its conference in Chengde. The *China Principles* started to be officially promoted in 2004 and has been widely recognized by the Chinese cultural heritage conservation community.

The *China Principles* answers many questions and serves as a necessary basis for the rapidly growing field of

archaeological site conservation. It defines standards for archaeological excavation and research and sets out requirements for the protection of historical relics and archaeological sites during and after excavation.

Article 6 of the *China Principles* says, “Research is fundamental to every aspect of conservation. Each step in the conservation process should be based on the results of research.” This article emphasizes that the conservation and presentation of archaeological sites should be based on authentic archaeological information and research findings instead of subjective assumptions.

Article 26 says, “During archaeological excavation care must be taken to conserve the physical remains. A practical plan for the conservation of a site – both during and after excavation – should be submitted for all sites programmed for excavation. Excavation and conservation plans should be submitted together. Once approved, both plans need to be implemented concurrently. Rescue excavation also requires a plan to deal with the materials and finds discovered.” According to this article, a targeted conservation plan should be developed before excavation to avoid any damage to archaeological sites and historical relics caused by inadequate protection.

Article 35 says, “Under normal circumstances, archaeological sites, ruins and tombs that have been excavated should be reburied – after the necessary research has been completed – in order to conserve the site and to deter theft. However, under special circumstances, approval may be given for an excavated site to remain exposed after conservation. In such cases, the existing condition of the site should be strictly preserved and, aside from routine maintenance, intervention should be kept to a minimum. Only components that cannot be conserved in situ may be removed and conserved at another location.” This article explains the importance of implementing on-site conservation after excavation to prevent further damage to archaeological sites. The above articles are elaborated in the Commentary section of the *China Principles* and provide useful guidance for archaeological excavation and conservation.

The *China Principles* is not a document specifically prepared for archaeological site conservation but still plays an important role in this field. That is partly because the *China Principles* helps to guide conservation and prevents people from making the same mistakes as before. Yet a more important reason is that, as China’s urbanization accelerates, more and more archaeological sites may be discovered in cities, which will make the *China Principles* ever more important. Besides, the efforts required for protecting archaeological sites, unlike those for protecting other categories of cultural heritage, such as traditional buildings, grotto temples, and traditional villages, can hardly be estimated without an in-depth examination. Therefore, guidelines like the *China Principles* are necessary to regulate the work procedure and professional judgment of conservation practitioners.

3. New Concepts and Attempts: Overview of the Conservation of Chinese Archaeological Sites in the Last Decade

In the late 20th century, the Chinese economy entered a stage of rapid growth, and China started to improve its cultural heritage conservation, which had fallen off the country’s priority list due to a lack of funding. Later, the official promotion of the *China Principles* coincided with another period of economic boom.² China

² In 2004, China’s GDP growth rate exceeded 10% for the fourth consecutive year.

already had the ability to protect large archaeological sites covering an area of dozens or hundreds of hectares and adopt new methods to advance archaeological conservation. Since then, a large amount of capital has flooded into this field, and the principles and procedures defined in the *China Principles* have been tested by reality and required to adapt to fast-changing new trends.

3.1 Urban Development and the Conservation of Large Archaeological Sites

In the early 2000s, as China witnessed faster economic growth and urbanization, large archaeological sites were threatened by the expansion of cities. It was imperative to conduct targeted and effective conservation for those sites.

In 2005, the Chinese government established a special fund for the conservation of large archaeological sites. In 2006, the State Administration of Cultural Heritage (SACH) released the *General Plan for the Conservation of Large Archaeological Sites during the Implementation of the Eleventh Five-year Plan* and initiated conservation projects for 100 large archaeological sites, including well-known ones like Yuanmingyuan (or the Old Summer Palace), the Niheliang site, and the Liangzhu site. In 2013, the SACH and the Ministry of Finance issued the *Special Plan for the Conservation of Large Archaeological Sites during the Implementation of the Twelfth Five-year Plan* and a list of 150 important large archaeological sites. Apart from the 100 sites previously recognized by the SACH, another 50 major archaeological sites were included in the list, including the Yuan Zhongdu (or Middle Capital) site, the Liao Zhongjing (or Central Capital) site, and the Northern Song Dongjing (or Eastern Capital) site.

Some questions have inevitably arisen regarding those sites: Since the *Law of the People's Republic of China on Protection of Cultural Relics* prohibits the construction of irrelevant projects within protected zones³, how should we carry out conservation and intervention for large archaeological sites that cover an area of dozens or hundreds of hectares? How can we raise people's awareness of and interest in archaeological sites through better presentation, services, and facilities? (Unlike their Western counterparts, Chinese archaeological sites are mostly remains of rammed earth structures and are thus more vulnerable to elements and less distinguishable above ground. The Chinese public is more accustomed to appreciating finely crafted artifacts in museums and learning about archaeological sites through photographs and texts than visiting the sites themselves, where they can actually access a greater diversity of information.) Will the protection of large archaeological sites intensify the conflict between heritage conservation and urban development? Will massive investments in archaeological site conservation truly inject dynamism into cities? Those are all valid questions that are worth discussing.

Some articles of the *China Principles* impose limitations on the conservation and presentation of archaeological sites: "A building that no longer survives should not be reconstructed" (Article 25). "Under normal circumstances, archaeological sites, ruins, and tombs that have been excavated should be reburied – after the necessary research has been completed – in order to conserve the site and to deter theft" (Article 35).

³ Article 17 of the *Law of the People's Republic of China on Protection of Cultural Relics* says, "No construction of additional projects or such operations as blasting, drilling, and digging may be conducted within the area of protection for a historical and cultural site. However, where under special circumstances it is necessary to conduct construction of additional projects or such operations as blasting, drilling, and digging within the area of protection for such a site, its safety shall be guaranteed, and the matter shall be subject to approval by the people's government which originally verified and announced the site and which, before giving approval, shall ask consent of the administrative department for cultural relics under the people's government at the next higher level ..."

Therefore, China's conservation of large archaeological sites was restricted to reburial and partial presentation for a long time. However, as archaeological sites are becoming increasingly larger and more new methods are called for to present such sites to the public, conservation practitioners urgently need to rethink their profession with a different perspective and approach.

3.2 Boom of Archaeological Parks

After years of exploration and practice, the SACH made more bold attempts in 2009, when the Liangzhu Consensus on the Construction of National Archaeological Parks was adopted at the Liangzhu Forum.⁴

The first list of national archaeological parks, which was released by the SACH in 2010, is composed of 12 officially recognized national archaeological parks and 23 tentative ones. Most of the 12 officially recognized ones are either located in ancient capital cities that have been engaged in the conservation and presentation of archaeological sites for many years (such as Beijing, Luoyang, and Xi'an) or already included in the World Heritage List (such as Yin Xu and the Capital Cities and Tombs of the Ancient Koguryo Kingdom).

Among those parks, the Jinsha National Archaeological Park (Fig. 2) is a typical example that reflects the aforementioned questions. The Jinsha site is considered an important Chinese archaeological discovery of the 21st century. It flourished as a center of the ancient Shu civilization between the late Shang Dynasty and the Western Zhou Dynasty. More elephant tusks were found at Jinsha than at any other site of the same period in the world. The largest collection of Chinese gold and jade objects of that period was also unearthed at Jinsha.



Fig. 2 Jinsha Site Museum (2013)

When the Jinsha site was first discovered, it was severely threatened by urban development because of its location on the outskirts of Chengdu City. In the following years, specialists not only looked for technological solutions to improve the conservation and presentation of the Jinsha site but sought to strike a balance

⁴ On June 12, 2009, the SACH and the Hangzhou Municipal Government co-organized the Liangzhu Forum on the Conservation of Large Archaeological Sites. The theme of the forum was the conservation of large archaeological sites and the construction of archaeological parks. The forum included a presentation by SACH Administrator Shan Jixiang (“To Make Large Archaeological Sites as Beautiful as Parks”) and adopted the *Liangzhu Consensus on the Construction of National Archaeological Parks*. It also discussed the background, function, and positioning of archaeological parks and other important matters.

between heritage conservation and urban development. Excavation sites from different periods were opened to public access so that people could learn about and experience archaeology in a more vivid way. Meanwhile, a covering structure was built to facilitate presentation and protect the excavation sites underneath. In 2007, the Jinsha Site Museum was officially opened to exhibit both excavation sites and unearthed artifacts.

Today, the Jinsha site is a cultural symbol and important tourist attraction of Chengdu. Local people can visit Jinsha to experience the beauty of archaeology at real excavation sites. The Jinsha site has generated favorable publicity, and the museum, as an important public space in Chengdu, has contributed to the improvement of the surrounding environment. Therefore, the district where Jinsha is located is now the fastest growing part of Chengdu. The Jinsha National Archaeological Park has produced considerable economic, cultural, and social benefits within a short time and offset the economic losses caused by previous restrictions on property development in this area.

It is worth noting that the success of the Jinsha National Archaeological Park is not only reflected in its operation. The park also plays a positive role in local community and urban life. After the Wenchuan earthquake in 2008, Sichuan people were in desperate need of spiritual comfort. So the park decided to organize an annual Sun Festival at the Jinsha site. It is celebrated during the Chinese New Year, when only a nominal admission fee is charged for entry into the park. During the Sun Festival, many local people visit the Jinsha site to pray for safety and peace. The decision to organize the Sun Festival was consistent with the *China Principles*, which advocates the use of heritage sites for social benefit.⁵

3.3 Second List of National Archaeological Parks

The success of the first list of national archaeological parks led to much broader participation in the compilation of the second list. Among nearly 150 candidate sites, only 12 were officially recognized as national archaeological parks, and 31 chosen as tentative ones (Fig. 3).⁶

⁵ Article 4 of the *China Principles* says, “Heritage sites should be used in a rational manner for the benefit of society. The values of the site should in no way be diminished by use for short-term gain.”

⁶ There are 26 Chinese provinces, autonomous regions, and direct-controlled municipalities that have officially recognized or tentative national archaeological parks. Henan Province is home to three officially recognized sites and five tentative ones, more than any other province, autonomous region, or direct-controlled municipality in China.

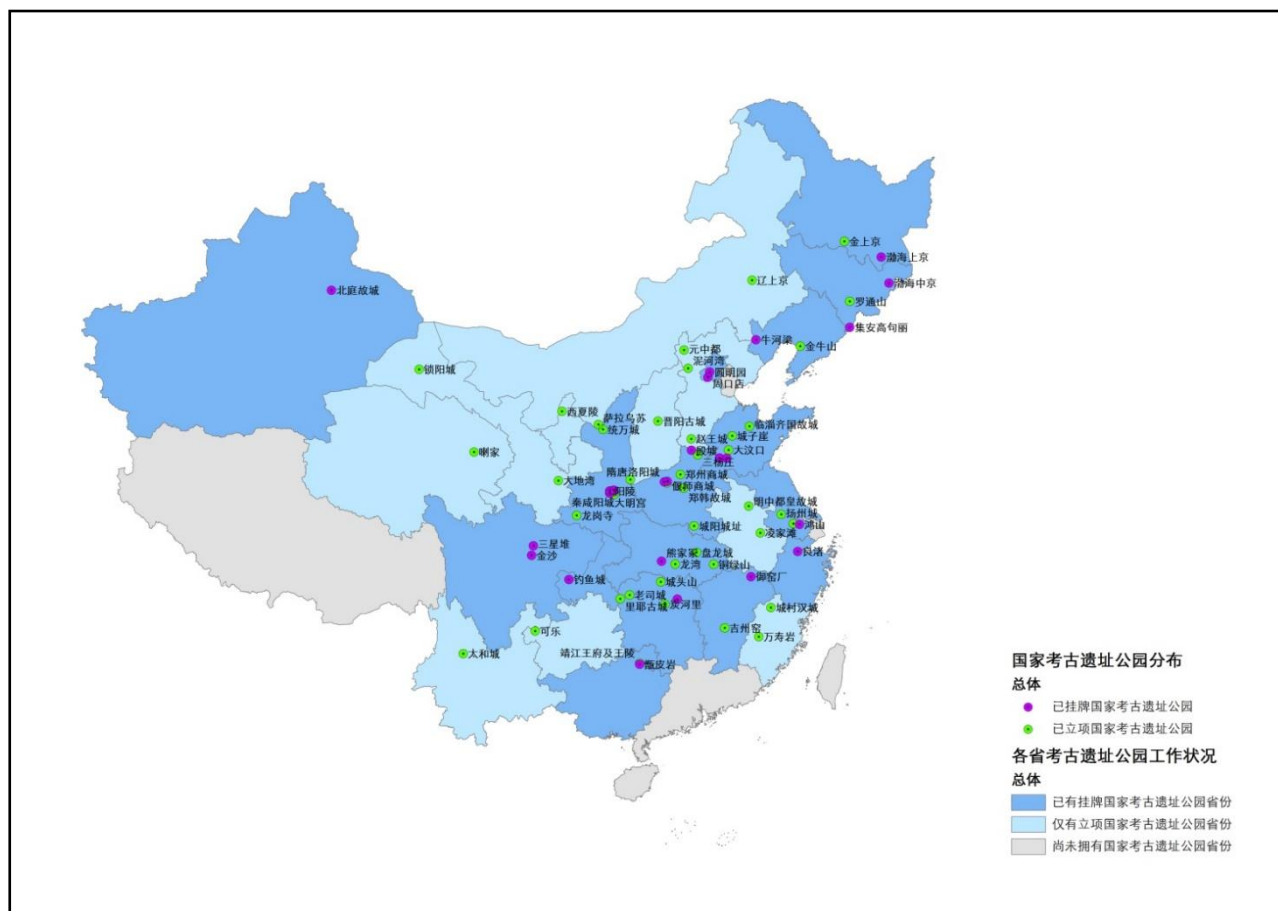


Fig. 3 Geographical distribution of national archaeological parks (prepared by the author)

The construction of an archaeological park requires the mobilization of significant human, physical, and financial resources and can cause a tremendous waste of such resources if not properly handled. Therefore, when preparing the second list of national archaeological parks, the SACH was both encouraged by the success of the first list and cautious about not making the same mistakes as before. For example, a design purely intended for landscaping purposes, even created on an appropriate scale, may not be attractive to visitors if its location is inconvenient or its presentation is not as effective as expected. A lack of routine maintenance or an inappropriate conservation and presentation plan may further damage an archaeological site and lead to ineffective presentation. Building a large archaeological park in a remote location can harm the local environment, and the modest revenue generated by the park may not be enough to recover the investment. And it is an undeniable fact that some Chinese cities do not have the money or policy to support the building of enormous national archaeological parks.

Some new categories of archaeological sites can be found on the second list, such as Paleolithic caves, ancient kiln sites, and ancient mining and smelting sites. Another positive sign is that many archaeological sites are not completely enclosed by the parks built around them because their designers were well aware of local economic conditions and the presentation capacity of those sites (Fig. 4). It is for a similar reason that some archaeological parks rely on surrounding heritage sites, such as traditional villages and old industrial sites, to complement their own presentation.



Fig. 4 Core area of the Taihe Town Archaeological Park (Source: CHCC)

4. New Requirements for the China Principles

4.1 Public Awareness in the Age of Information

In the age of information, as people's understanding of archaeological conservation changes, their need for information related to archaeological sites is becoming more diversified. Therefore, one of the challenges facing the *China Principles* is to stay relevant to the conservation and presentation of Chinese archaeological sites.

Article 6 of the *China Principles* says, "Research is fundamental to every aspect of conservation." In the case of archaeological sites, archaeological research should be integrated into every step of the conservation process. However, the *China Principles* does not mention whether and to what extent archaeological research findings should be made available to the public. On the one hand, the Chinese public is interested in many important archaeological sites. On the other hand, due to information asymmetry, the public has extremely limited access to information about archaeological sites. The public tends to find archaeological sites mysterious, and that perception may affect the dissemination of the values of those sites.

In April 2013, the grave of Emperor Yang of Sui was found at a building construction site in Xihu Town, Hanjiang District, Yangzhou City. It immediately caused a great sensation and was rated among the top ten Chinese archaeological discoveries of 2013. The site has tremendous values and has attracted considerable public attention. Since the grave was discovered, a great deal of work has been conducted to protect, manage, and study the site. And most of the work is going on in a closed environment – the grave is enclosed by two sets of walls and protected by a large shed – and is thus inaccessible to the public (Fig. 5). But local people and visitors swarmed into the Yangzhou Museum to see artifacts unearthed at the site. In fact, the exhibition made the museum one of the most popular tourist attractions in Yangzhou, only second to the Slender West Lake. This example illustrates the public's thirst for information about archaeological sites and excavations and knowledge of heritage conservation and demonstrates the necessity of the timely and effective release of archaeological research findings. Traditionally, such findings were made available to the public only when

they were supported by thorough research and published in an academic publication. Yet that does not seem to be the case today. Archaeological sites need to be made accessible to the public in a new and faster way so that the public can learn more about their values and understand and support their conservation.



Fig. 5 Inside the temporary shed for the grave of Emperor Yang of Sui (2014)

4.2 Role of Archaeologists in the Absence of Standards

The *China Principles* sets out requirements for the qualification of conservation practitioners. It says that practitioners should receive specialized training and be qualified to practice only after assessment. For a very long time, archaeological practitioners only meant archaeological excavators and researchers in China. The plans, layouts, and presentation of archaeological sites were usually designed by qualified organizations specialized in surveying and designing. Researchers were rarely involved in such work and only provided archaeological information. That undermined the conservation and presentation of many sites, where planning and design were unrelated to heritage values and historical information.

For example, when archaeological parks first started to be built in China, international competitions were organized to find the best ideas for the presentation of some major sites, such as the Liangzhu site and the Epang Palace. Many designs that were submitted reflected an incomplete and unprofessional understanding of the values and constituent parts of archaeological sites. They either purely involved the use of landscaping methods or were only modeled on traditional Chinese gardens. Therefore, they tended to focus on visual representation rather than the interpretation of heritage values. Many archaeological parks built according to those designs lack unique features and resemble ordinary parks, which defeats the purpose of building archaeological parks. The *China Principles*, as a set of general standards for cultural heritage conservation, does not include specific requirements for the understanding and presentation of the values of archaeological sites.

In recent years, conservation practitioners have become increasingly aware of the roles of archaeology and archaeologists in different stages of conservation. The SACH has developed such policy documents as the

Requirements for the Conservation Planning of National Archaeological Parks (Tentative) and the *Requirements for Archaeological Work at Large Archaeological Sites* to explain what archaeology and archaeologists should do in heritage conservation, presentation, and utilization.⁷ These documents compensate for the lack of archaeological guidelines in the *China Principles*. In fact, the revised *China Principles* addresses this issue more explicitly and sets out specific requirements for different categories of cultural heritage.

4.3 Reproduction of Historical Scenes versus “Fake Antiquities”

The 2004 version of the *China Principles* emphasizes the authenticity of heritage sites. Its Article 33 says, “Reconstruction in situ is an exceptional measure undertaken only in special circumstances.” Therefore, the Chinese heritage conservation community has always been cautious about the reconstruction of traditional buildings, especially those recognized as major officially protected sites at the national level, which cannot be reconstructed without thorough examination and conclusive evidence. The prudence of Chinese conservation practitioners has helped to prevent the production of many “fake antiquities” but also makes people wonder how historical scenes should be reproduced in the presentation of archaeological sites. Most of the time, such questions are either evaded or answered in an ambiguous way. As a result, archaeological sites that truly need to reproduce historical scenes are often unwilling to try.

In fact, people should understand the difference between the reproduction of historical scenes and the reconstruction of heritage sites. The former is based on efforts to study and interpret the historical context of an archaeological site and can be conducted in other ways than simply by reconstructing its physical space. Today, when reproducing historical scenes, specialists can rely on a diversity of mediums and technological solutions like virtual or augmented reality to provide the public with a more intuitive and vivid learning experience and support site presentation, public education, and other experiential activities.

Yet the use of such new mediums and solutions should be guided and regulated by documents like the *China Principles*. For example, the procedure for using those new methods needs to be defined, and criteria should be established for choosing appropriate technologies. Reproduction or reconstruction should be supported by direct evidence instead of subjective assumptions. Technologies, mediums, and methods used for such purposes should not cause physical damage to archaeological sites.

5. Conclusion

The *China Principles* is intended to guide Chinese heritage conservation practitioners in improving and evaluating their work. It was not specifically developed for archaeological sites but has been playing an important role in archaeological conservation in the past decade.

⁷ Article 5 of the *Requirements for the Conservation Planning of National Archaeological Parks (Tentative)* (December 31, 2012) says, “The planning of a national archaeological park should be conducted by a qualified organization that has a Class A rating for the surveying and design of cultural heritage conservation projects (Planning Category) or for urban and rural planning, building design, landscaping, or a related area. The planning should be conducted in conjunction with a qualified organization that has carried out archaeological excavations at the site.” The *Requirements for Archaeological Work at Large Archaeological Sites* (January 8, 2013) says, “Archaeological work should be integrated into the whole process of planning, conservation and presentation, and park construction and management.”

However, as the economy continues to grow and new ideas keep emerging in the field of cultural heritage conservation, the philosophy, funding, and social context of archaeological site conservation have changed significantly. Therefore, the *China Principles* may not be able to address some of the issues facing this field. In the case of archaeological sites, such issues include the public awareness of archaeological conservation, the qualification requirements for practitioners, and the reproduction of historical scenes. As a result, practitioners tend to either rush headlong into decisions or find themselves undecided in many cases. If the revision of the *China Principles* takes into account those issues, it will inject new dynamism into the conservation of Chinese archaeological sites.

In fact, people need to examine not only what should be incorporated into the *China Principles* but also how the *China Principles* should be revised. An appropriate revision mechanism can address all kinds of issues facing the rapidly growing field of cultural heritage conservation and should include regular updating or the regular release of supplemental documents. In this way, the *China Principles* can evolve as an important set of guidelines as the environment changes, help practitioners to update their ideas about conservation, and contribute to the progress of Chinese cultural heritage conservation.

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Impact of the China Principles on Cultural Heritage Conservation: Case Studies of Stone Heritage Conservation

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ABSTRACT

The *Principles for the Conservation of Heritage Sites in China* (or the *China Principles*), which was released more than ten years ago, is an important set of professional standards for Chinese cultural heritage conservation. Stone heritage sites, including traditional buildings, cave temples, and stone carvings, are a major category of cultural heritage. Their conservation is complex, variable, and important. This paper discusses three typical examples of stone heritage conservation: the Mogao Grottoes in Dunhuang (including the conservation project in the 1960s and the conservation planning and wall painting protection project in 2000), the Dazu Rock Carvings (the Thousand-armed Avalokiteśvara statue), and Angkor (the temples of Chau Say Tevoda and Ta Keo). The conservation principles, strategies, and methods in those three examples are examined and compared to demonstrate their strengths and weaknesses. This paper also analyzes the role of the *China Principles* in those specific examples and China's cultural heritage conservation in general and suggests areas where the *China Principles* could be improved.

1. Introduction

Guided by the State Administration of Cultural Heritage (SACH), the development of the *Principles for the Conservation of Heritage Sites in China*¹ was completed in 2000. The document consists of principles, commentary, and case studies. Based on the 1964 Venice Charter² and other international guidelines for cultural heritage conservation, the China Principles incorporates local realities in China. Since it was first published more than ten years ago, China has undergone rapid social, economic, and cultural change. A review of China's conservation practices over the years would help to systematically assess the influence and limitations of the China Principles, evaluate its strengths and weaknesses, sort out facts about cultural heritage conservation, and pave the way for future improvement.

¹ It is hereinafter referred to as the *China Principles*.

² The *Venice Charter* is short for the *Venice Charter for the Conservation and Restoration of Monuments and Sites*.

Stone heritage conservation is one of the most important components of cultural heritage conservation. Most historic and religious sites on China’s World Heritage List and Tentative List were built with stone. Stone heritage sites, including traditional buildings, monuments, cave temples, and stone carvings (Fig. 2), account for about one eighth of all the major officially protected sites at the national level in China. Stone heritage conservation has always been a priority for China, and the diversity of stone heritage sites adds to the complexity of its conservation.

The evolution of China’s stone heritage conservation can be divided into four distinctive stages. The first stage started in the late 19th and early 20th centuries, when Western explorers arrived in China. During this period, the Society for Research in Chinese Architecture and early Chinese archaeologists studied a number of stone heritage sites, including the Mogao Grottoes, the Yungang Grottoes, and the Thousand-Buddha Cliff in Guangyuan. The first 30 years after the founding of the People’s Republic of China was the stage of “rescue protection”, when many severely damaged cultural sites were salvaged. The 1980s and 1990s saw the first attempts at science-based conservation. Since 2000, China’s heritage conservation, including the conservation of its stone heritage, has been making great strides forward. This paper focuses on the conservation of three stone heritage sites: the Mogao Grottoes in Dunhuang, the site of Angkor, and the Thousand-armed Avalokitesvara statue at the Dazu Rock Carvings. It examines the change of conservation principles in those examples and discusses the influence of the China Principles on the conservation of the three sites.

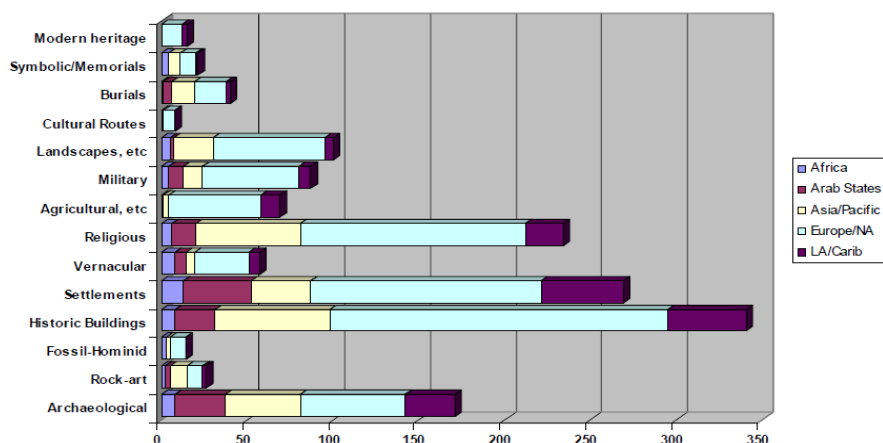


Fig. 1 Stone heritage sites on the World Heritage List

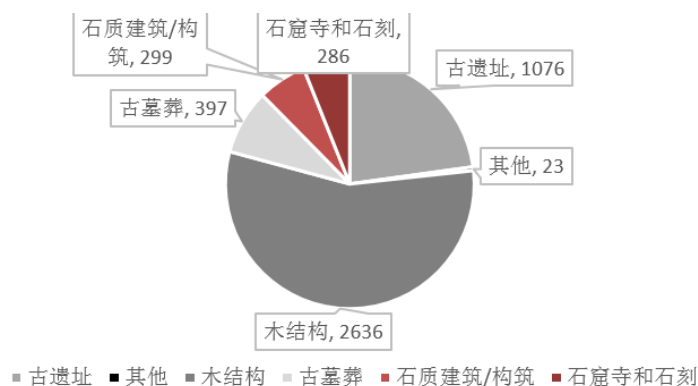


Fig. 2 Stone heritage sites on the List of Major Officially Protected Sites at the National Level

2. Examples of Stone Heritage Conservation

2.1 Mogao Grottoes

The Mogao Grottoes in Dunhuang, Gansu, constitute one of the most important cave temples in China. They are located in a strategically important area that used to be a trade, religious, cultural, and intellectual hub between the East and West. In 1987, the Mogao Grottoes were inscribed on the World Heritage List because the site met Criteria (i) to (vi). Their conservation started in the 1940s, when the Dunhuang Art Institute was founded as the first Chinese organization for cultural heritage conservation, and is exemplified by the protection and reinforcement project in the 1960s and the conservation planning and wall painting protection project in 2000, the latter being a pilot project for the *China Principles*.

(1) Protection and reinforcement project for the Mogao Grottoes

In August 1962, the Ministry of Culture received a report from Chang Shuhong, Director of the Dunhuang Research Academy (DHA), and decided to send a team of experts from different fields³ to Dunhuang. After a discussion, the experts agreed that the Mogao Grottoes needed to be reinforced. They decided that the reinforcement project should “refrain from merely emulating traditional architectural styles and avoid focusing excessively on engineering quality at the expense of conservation or artistic features”. They suggested, “Provided that the grottoes are in safe condition, special attention should be given to the artistic features of the site. The original appearance of the grottoes needs to be preserved. Additions should be so inconspicuous that people will not notice their existence.”⁴ The SACH said, “The project should be reversible, which means that the additions can be partially or completely removed if necessary. So the retaining walls will be built with sandstone, and other structures will be mostly composed of premade concrete lintels and other components. Those requirements should be strictly complied with in the design and construction processes.” According to Liang Sicheng’s article “Opinions on the Dunhuang Reinforcement Plan”, the project should start from the outside before moving to the inside, and extra attention should be given to the upper levels of the site. He also proposed that the reinforcement structures should be harmonious with the original proportions, features, and colors of the grottoes.

The Northwest Railway Engineering Division of the Ministry of Railways was in charge of the implementation of the project. Its engineers and workers started working on the project in 1963 but were forced to stop in 1966 due to the Cultural Revolution. The main method they used was to build retaining walls for fragile grottoes and cliffs. Mid- and lower-level grottoes were reinforced in three stages. It was the first large national-level conservation project in China, and its engineering quality was guaranteed by the state. A few conservation principles were adopted for the project. For example, the construction team first intended to build the retaining walls on the model of typical slope protection systems for railways. But, after

³ Headed by Vice Minister Xu Ping, the team was comprised of art experts (Wang Zhaowen and Liu Kaiqu), an archaeologist (Su Bai), an architectural history expert (Chen Mingda), a sand control expert (Li Minggang), a geographer (Zhao Songqiao), an expert from the Cultural Relics Press (Yu Xiaoliang), a conservation specialist that had studied in Poland (Hu Jigao), and experts from movie studios, the Ministry of Railways, and design institutes.

⁴ Liang Sicheng. *Collection of Essays by Liang Sicheng (Volume 4)*. Beijing: China Architecture and Building Press, 1986.

discussing and changing the plan, the team decided to spread a mixture of clay, mortar, and gravel on the walls so that they would appear similar to the surrounding environment.

However, it should be noted that, due to a lack of clearly defined conservation guidelines and competent professionals, some aspects of the project are open to question. For instance, the construction team dismissed the principle of reversibility, which had been laid down by the SACH, so the sandstone walls turned out to be too firmly built to be removed.

Moreover, the suggestions of Liang Sicheng were not properly adopted. Xiao Mo, Sun Ruxian, and other conservation specialists of the DHA believed that, when designing openings in the retaining walls, the construction team should consider the sizes of the grottoes and the shape of the rock mass and maintain the original appearance of the projecting eaves. They argued that such measures would help to keep the walls in harmony with the rock mass. But their idea was rejected by engineers from the Ministry of Railways. As a result, the walls undermined the aesthetic and historical values of the eaves.

Thirty years after the project was completed, the chief engineer realized that it had been inappropriate to build irreversible structures that had extensively changed the original condition of the grottoes. He said, “We were too young. We didn’t understand art or cultural heritage. What is done is done. The grottoes won’t collapse anyway.”⁵ Sun Ruxian, another person in charge of the project, reflected on his work at a deeper level:

As a cave temple, the site is inextricably linked with the atmospheric, geological, and hydrologic features of the surrounding environment. It has existed for thousands of years. That very fact suggests that it is largely compatible with its environment and their relationship has been slowly formed and gradually evolving. The reinforcement project covered the lower-level grottoes with a three-meter sandstone wall and the mid-level grottoes with a two-meter retaining wall. Some deep corridors were added, apart from the original ones. Those additions may have significantly changed the lighting, ventilation, and hydrologic features of the surrounding environment and thus the temperature, relative humidity, and air pressure levels inside the grottoes. I don’t know if these changes are good or bad for the conservation of the grottoes ... I hope that my worries are groundless. But, if those problems do exist, I would suggest today’s conservation specialists take them into consideration.⁶

In fact, Mr. Sun touched upon a fundamental principle in China’s heritage conservation – the principle of “not changing the original condition of cultural relics”. His words sparked a discussion on the meaning of “original condition” and “not changing”.

⁵ Chang Shuhong. A Soul Connected to Dunhuang: Selected Essays from the New Version of *90 Years of Life: 50 Years with Dunhuang* (3). *Silk Road*, 2009(5): 9-27.

⁶ Su Ruxian. My Experience of Conservation at the Mogao Grottoes: From the 1940s to 1960s. *Dunhuang Research*, 2006(06): 203-218.



Fig. 3 Sand being removed from cliff edge in preparation at the Mogao Grottoes before the reinforcement project⁷



Fig. 4 Repair project at the Mogao Grottoes in the 1960s⁸

(2) Conservation planning and wall painting protection project

Conservation organizations from China, the United States, and Australia were developing the *China*

⁷ Ai Shaoqiang. *Spectacular China: Timeless Dunhuang*. Beijing: China Workers Press, 2008. 206.

⁸ Dunhuang Research Academy. *History of the Mogao Grottoes*. Nanjing: Jiangsu Art Publishing Press, 2009. 38.

Principles in 1997, when they chose the Mogao Grottoes as one of the two pilot sites for the implementation of the guidelines.⁹ In 1999, the three countries started to prepare the *Master Plan for the Conservation and Management of the Mogao Grottoes* (or the *Master Plan*) and conduct research on Cave 85 according to the principles and procedures prescribed in the *China Principles*.

Based on research conducted at the World Heritage level (research on heritage composition and quantitative analysis) and Chinese laws, regulations, and management systems, the finalized version of the *Master Plan* was released in 2011. The *Master Plan*, along with the methodology of conservation planning it established, has been guiding the development of conservation plans for major officially protected sites around China. Cave 85¹⁰, where wall paintings were threatened by many typical hazards, was treated according to the procedure outlined in the *China Principles*: evaluation, research, monitoring, and maintenance. Following the *China Principles*, researchers also studied the three major values of Cave 85 and devised specific short- and medium-term conservation plans that included four categories of conservation interventions.

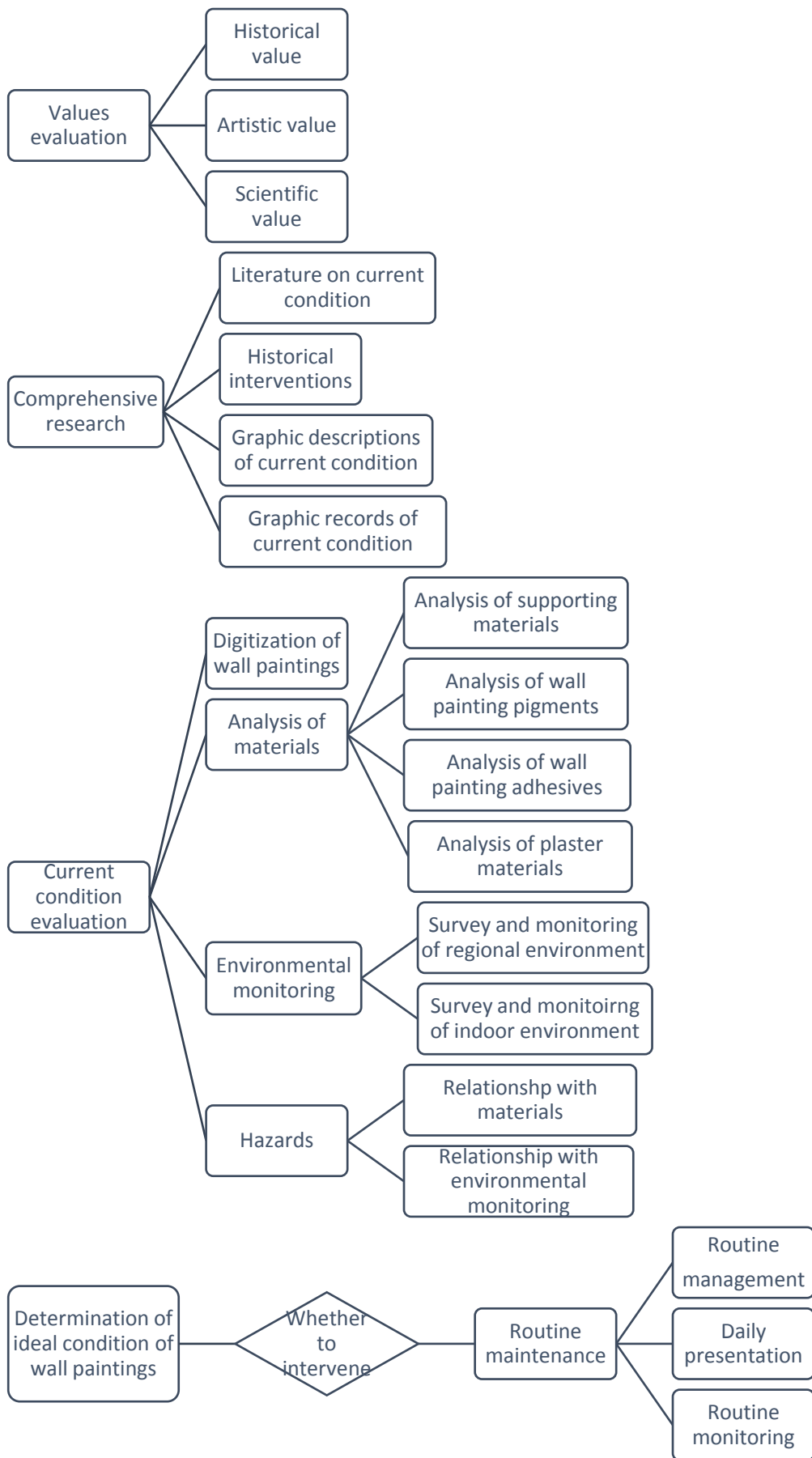


Fig. 5 Illustrations of Buddhist sutras in Cave 85

Considerable experience was gained from this project and later brought to other conservation practices, including the project launched in 2004 to protect the wall paintings in the Potala Palace, the Norbulingka Palace, and the Johang Temple in Tibet.

⁹ The other pilot site was the Mountain Resort in Chengde.

¹⁰ Cave 85 is a large grotto built in the late Tang Dynasty. Containing a diversity of magnificent paintings, it has tremendous historical and artistic values. The main chamber of Cave 85 is decorated with 17 artistic depictions of Buddhist sutras, more than any other Mogao grotto.



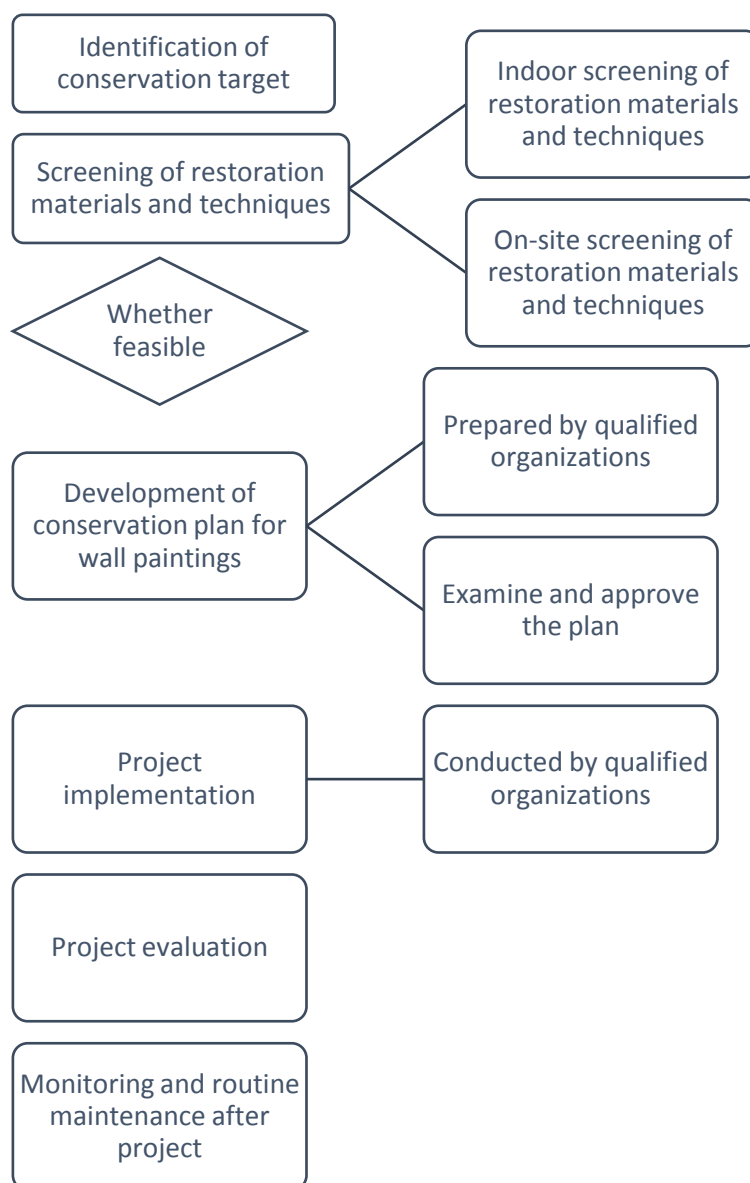


Fig. 6 Procedure for the Cave 85 Project

In fact, the success of the Cave 85 Project was not an accident but the result of an enormous amount of preparatory work and experience. Neville Agnew of the Getty Conservation Institute (GCI) told the author that the GCI had started to work with the DHA in 1989 to study the history and culture of the Mogao Grottoes, evaluate previous conservation work, and monitor and examine the visitor carrying capacity of the site. Dr. Agnew argued that the development of the *China Principles* and the formulation of the *Master Plan*, which both started in 1999, had paved the way for the Cave 85 Project. He said that, after identifying previous mistakes, researchers had formalized a set of universal conservation procedures at the textual (the *China Principles*) and practical (the *Master Plan* and the Cave 85 Project) levels. He also suggested that, without those procedures, conservation principles would not have been properly applied in the protection of the Mogao Grottoes.¹¹

¹¹ From the conversations and correspondences between the writer and Dr. Agnew.

The Cave 85 Project was successful in a number of ways: it established technical standards for the choice of materials and techniques, trained specialists in science-based conservation, and produced and disseminated important data for wall painting protection, such as the critical humidity level of 65%. Yet, as Dr. Agnew said, the project contributed to China's heritage conservation in two major ways: it helped to establish appropriate procedures in an age when the Chinese conservation community focused too much on engineering and tended to ignore research; it proved that research on heritage values, as suggested in the *China Principles*, should be the core and prerequisite of any conservation project. This pilot project showed that the *China Principles* was a set of authoritative, operational, and scientific guidelines. More importantly, it served as a concrete example that conservation specialists could follow in implementing the abstract *China Principles*.

2.2 Chau Say Tevoda and Ta Keo Temples at Angkor

Built around 1150, Angkor¹² is one of the most important archaeological sites in Southeast Asia and the heartland of Khmer culture. It was inscribed on the World Heritage List in 1992. Meanwhile, as a result of natural and human threats, Angkor was included in the List of World Heritage in Danger. Therefore, UNESCO developed an inclusive conservation plan and created an international coordinating committee to engage dozens of countries, including Italy, the United States, Japan, India, Germany, France, and China, in the safeguarding and development of Angkor.

In 1998, the Chinese government started to participate in this international project and took charge of the restoration of the temples of Chau Say Tevoda and Ta Keo. It was the first time that China offered free assistance to another country for cultural heritage conservation. It was also China's first international conservation project.

	Chau Say Tevoda	Ta Keo
Time	Repair plan approved in 2000; completed in 2008	Decision made in 2006; started in 2011; 11/21 completed in 2013
Investment	14.5 million yuan	40 million yuan
Organization in charge	The Chinese Government Team for Safeguarding Angkor (CSA) of the China National Institute of Cultural Property (CNICP)	The CSA of the CNICP
Conservation principles	Principles of major restoration and minor restoration from the <i>China Principles</i> ¹³	The <i>China Principles</i> and laws and regulations related to World Heritage conservation

¹² Heritage sites at Angkor include Angkor Thom, Bayon, Bapuon, Phineanakas, Elephant Terrac, Angkor Wat, Ta Prohm, Preah Khan, Ta Keo, Phnom Bakheng, Neak Pean, Chau Say Tevoda, and Banteay Sre.

¹³ Major restoration: "Major restoration through complete disassembly of a structure should be avoided as far as possible; instead, other types of intervention should be used to make the entire structure stable and safe ... Partial or complete disassembly is permitted only when the main structure is seriously deformed or its main components have

Conservation methods	<p>1. Major restoration for the front chamber of the central sanctuary, the southern and northern depositories of Buddhist sutras, and the southern, northern, and eastern entry towers: disassembled and reassembled toppled and collapsed structures and used previously scattered components to restore the original condition and stability of structures;</p> <p>2. Minor restoration for the main tower of the central sanctuary, the cross-shaped terrace, and the corridors: put displaced and scattered components back in place, repaired some deformed parts, added a small number of new components, and removed previously added steel and concrete structures</p>	<p>1. Removed unstable parts; 2. reassembled scattered components and restored their original condition; 3. repaired and reinforced damaged components; 4. studied and protected the carvings on stone parts</p> <p>Characteristics: 1. spent more time on evaluation; 2. deployed more scientific and technological methods; 3. placed greater emphasis on monitoring</p>
Evaluation	<p>“This project illustrates the integration of China’s heritage conservation philosophy with international standards and provides a platform for the international conservation community to understand China’s theories and practices of heritage conservation.”¹⁴</p>	<p>The ongoing and completed work has been recognized by Cambodia. Experts spoke highly of the project at the ICC¹⁵ meeting in December 2013.</p>
Comparison	<p>1. It was the first time that the <i>China Principles</i> was applied on an international platform. The project team put scattered components back in place and repaired some broken parts through major and minor restoration.</p> <p>2. The team did not conduct sufficient research on the archaeological, geographical, historical, and cultural features of the site. It focused more on interventions than on evaluation. Opinions are divided on the effectiveness of</p>	<p>1. The team conducted comprehensive research on the architectural, archaeological, structural, geotechnical, and conservation features of the site and produced 17 reports between 2007 and 2011. Those efforts were consistent with the <i>China Principles</i>, which emphasizes the importance of research and evaluation. The team also used limited data to simulate the structural condition of the site before and after restoration. Thus, it was able to identify an appropriate reinforcement method and conduct long-term monitoring of the</p>

been badly damaged and reinstatement to a safe and stable condition is not possible without disassembly.” Minor restoration: “Minor restoration of the historic condition of a site covers two categories of intervention: first, the return of endangered structures or components to a stable and safe historic condition; and second, the removal of later added structures and components assessed as having no value.”

¹⁴ CNICP Director Zhang Tinghao’s comment on China’s conservation work at Angkor.

¹⁵ ICC is short for the International Coordinating Committee for the Safeguarding and Development of the Historic Site of Angkor.

the project.

vulnerable parts of the site.

2. International partners, including the University of Cologne and Guangzhou Baiyun Cultural Heritage Conservation Company, were involved to compare and analyze materials at the microscopic level.

Publications *World Heritage – Angkor in Cambodia: Chau Say Tevoda*

Working Plan for the Second Phase of the Conservation and Restoration Project at Ta Keo, Design Plan for the Second Phase of the Conservation and Restoration Project at Ta Keo (Design Plan for Eight Rescue Protection Tasks), and General Research Report on the Conservation and Restoration Project at Ta Keo

Fig. 7 Conservation projects for Chau Say Tevoda and Ta Keo

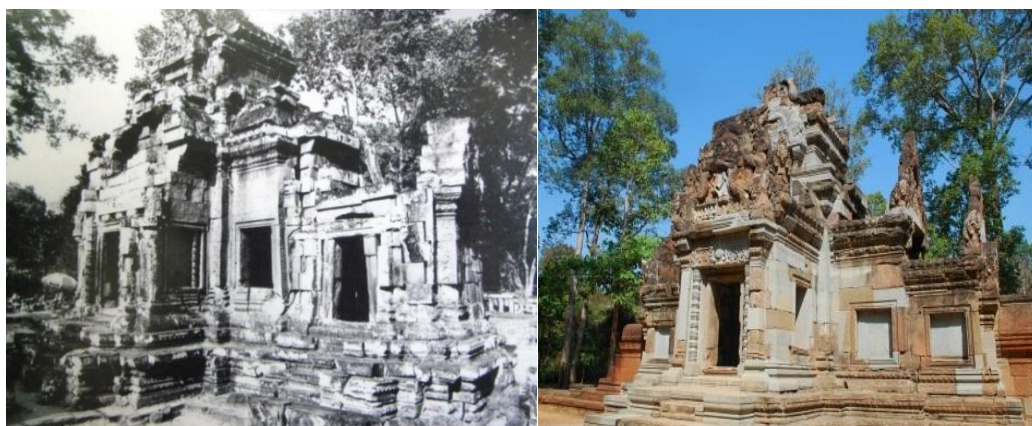


Fig. 8 Eastern entry tower of Chau Say Tevoda before and after restoration¹⁶

¹⁶ China National Institute of Cultural Property, *World Heritage – Angkor in Cambodia: Chau Say Tevoda*. Beijing: Cultural Relics Press, 2007. 252.



Fig. 9 Restored decoration on the southern entry tower of Chau Say Tevoda

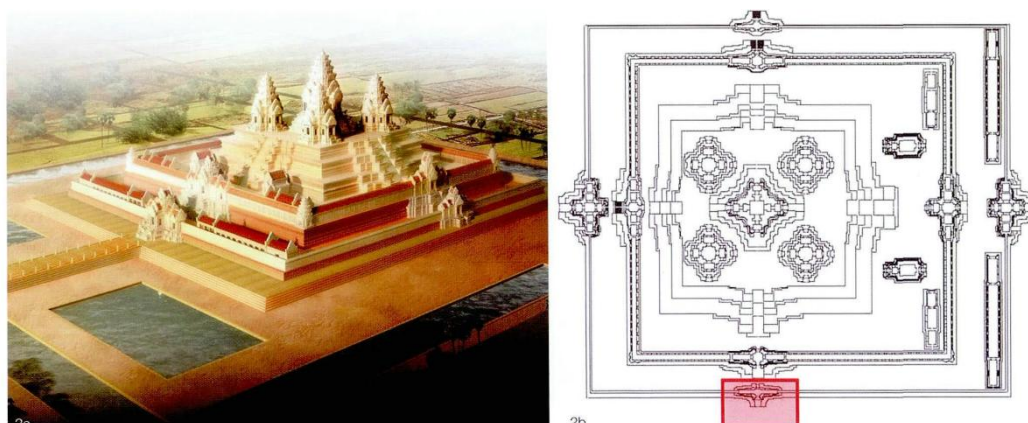


Fig. 10 Model and plan of Ta Keo

UNESCO called on countries to participate in the conservation of Angkor, which was also an opportunity to showcase their conservation capacity. Therefore, China's decision to assist Cambodia in restoring its temples made more people understand the *China Principles* and China's heritage conservation philosophy. The Chau Say Tevoda project focused more on interventions than on evaluation and only incorporated the two categories of restoration defined in the *China Principles*. But the Ta Keo project placed greater emphasis on research and evaluation and followed the rules laid down in the *China Principles* for conservation procedures, heritage values, and intervention measures. That change reflected the enhanced role of the *China Principles* in regulating and guiding conservation efforts.

2.3 Thousand-armed Avalokiteśvara Statue at the Dazu Rock Carvings

The Thousand-armed Avalokiteśvara Statue at the Dazu Rock Carvings has existed for more than 800 years. It was carved in the image of Avalokiteśvara described in the Mahakaruna Dharani Sutra of the Thousand-armed and Thousand-eyed Avalokiteśvaraya.¹⁷ The majestic and splendid statue has tremendous

¹⁷ According to the sutra, Avalokiteśvara was listening to the teachings of Buddha when she said, "If I can fulfill my

artistic and historical values, considered one of the best stone carvings in China. The statue was first carved out of a cliff and then painted and gilded. The gold leaf not only created a strong visual impact but protected the statue from weathering. As a final touch, sculptors adorned the bottom of the statue with cloud-shaped decorations made of clay. Although the statue remained intact for a long time, it was faced with a number of threats that might undermine its safety and values, such as the flaking of rock and the detachment and weathering of the gold leaf.

A conservation project was launched in November 2001 to restore the statue. It was officially started in June 2008 after thorough research and investigation. The conservation team first studied and evaluated the statue in accordance with the China Principles to obtain a good understanding of the threats to the rock mass, the gold leaf, and the paint layer. Building on those efforts, the team set up research groups to carry out ten specialized studies on the hydrologic, geological, environmental, chemical, physical, and biological features of the site.



Fig. 11 Thousand-armed Avalokiteśvara Statue in 2008

Based on its research and evaluation, the team decided on the goal and technical plan of the project. A seminar was organized in 2001 to discuss the conservation of the statue. It was agreed at the seminar that the project should proactively “protect the original appearance, technique, condition, and artistic value of the statue and preserve and enhance its appeal and vitality to bring it back to life”.¹⁸ Four principles were adopted for the project:

The principle of original condition. The historical information and values of the statue should be preserved in an authentic and comprehensive way.

wish to benefit all sentient beings one day, please let me have a thousand arms and a thousand eyes now.” After making the vow, she obtained a thousand arms and a thousand eyes.

¹⁸ Chen Huili, Duan Xiuye et al. Study on the Restoration of the Thousand-armed Avalokiteśvara Statue. *China Cultural Heritage Scientific Research*, 2013(9): 15-19.

The principle of minimal intervention. Additions should be kept at a minimum level and can only be made for the purpose of conservation.

The principle of safe and durable restoration materials.

The principle of aesthetics.

In 2008, the SACH recognized the project as the “number one project for stone heritage conservation in China”. More than 30 experts from the CNICP, the National Museum of China, the Palace Museum, the DHA, Tsinghua University, Peking University, and other research institutes worked with the Dazu Rock Carvings Museum to perform initial tests for the project under the guidance of the Survey and Design Plan for the Rescue Protection of the Thousand-armed Avalokiteśvara Statue on Mount Baoding of Dazu (2008), the General Conservation and Restoration Plan for the Rescue Protection of the Thousand-armed Avalokiteśvara Statue at Dazu Rock Carvings, the Detailed Geotechnical Engineering Survey Plan for the Rescue Protection of the Statue, and the Microenvironment Monitoring and Evaluation Design Plan for the Rescue Protection of the Statue.¹⁹

The technical plan for the restoration of the statue is as follows (see Fig. 12).

The project placed great emphasis on research, leveraged cross-disciplinary and inter-organizational collaboration, and produced a number of competent specialists and feasibility study reports. It complied with the requirements for research and evaluation in the China Principles. Its procedure was also consistent with the China Principles, and the principles established for the project reflected Articles 19, 21, and 23 in Chapter 3 (“Conservation Principles”) of the document.

By mid-June 2012, the project team had completed the restoration of 233 arms of Avalokiteśvara and 66 objects held in her hands and archived related records.²⁰ The environment monitoring station that the team had built was collecting and comparing data, and three-dimensional information was integrated into the implementation of the project. Experts spoke highly of the project at the evaluation meetings on April 7, 2009 (“The technical plan is reasonable, and the restoration techniques are rigorously designed. The project complies with requirements for cultural heritage conservation.”), June 27, 2010 (“Research is incorporated into the restoration. It has set an example to other conservation projects in China.”), and January 21, 2011 (“The techniques and technical plan are reliable, and the materials are useful. The project complies with requirements for conservation.”).²¹ The project was widely acclaimed in China.

¹⁹ They cover a wide variety of issues, including research on the pigments and gold on the statue, the techniques used to create it, and the hazards faced by the statue, research on protective materials and restoration techniques for weathered rock, tests for the monitoring and restoration of the microenvironment and condensed water, and the development of the plan for the restoration of the statue.

²⁰ Shan Xiaobing. Rescue Protection Project for the Thousand-armed Avalokiteśvara Statue at Dazu Rock Carvings Recognized by Experts. *The Chongqing Daily*, 2011-12-30.

²¹ These quotes are from the *Evaluation of the Tests for the Restoration Techniques in the Rescue Protection of the Thousand-armed Avalokiteśvara Statue at Dazu Rock Carvings*, the *Evaluation of the Technical Plan for the Midterm Restoration Tests in the Rescue Protection of the Thousand-armed Avalokiteśvara Statue at Dazu Rock Carvings*, and the *Evaluation of the Midterm Restoration Tests in the Rescue Protection of the Thousand-armed Avalokiteśvara Statue at Dazu Rock Carvings*.

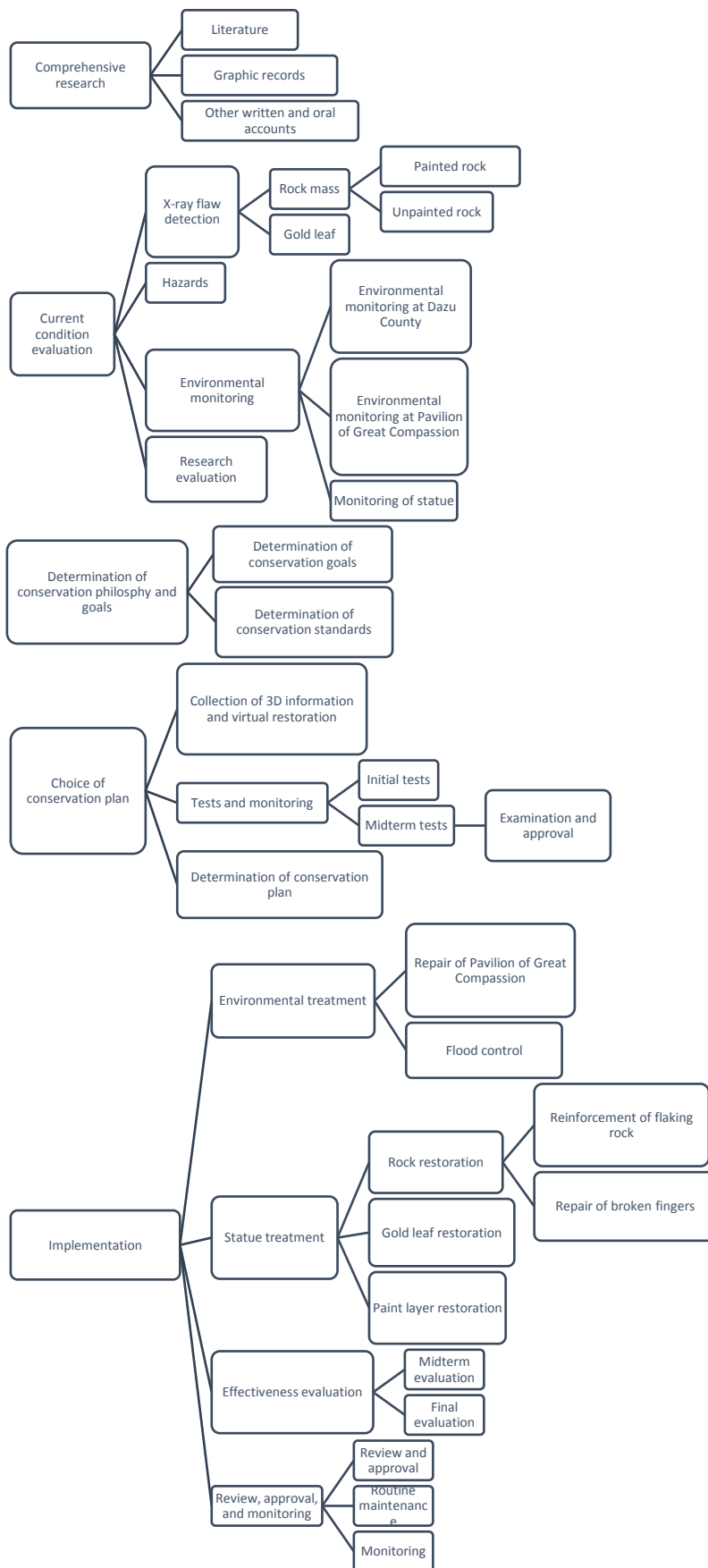


Fig. 12 Technical plan for the restoration of the Thousand-armed Avalokiteśvara Statue on Mount Baoding of Dazu

Some aspects of the project were inevitably controversial. One of them was the adhesive used for the reattachment of the gold leaf. The project team agreed that the original adhesive, which lacked durability and air permeability and was vulnerable to erosion, prevented moisture inside the statue from evaporating and exacerbated its deterioration. The CNICP compared a number of substances, including animal glues like gelatin²² and isinglass, and chose a traditional adhesive widely used in the Sichuan region: lacquer. Ten full-sized models of the statue's hands were made using the original materials and sent to the Lacquer Art Laboratory at Tsinghua University, where different formulations of adhesives would be tested. Another team led by DHA Director Su Bomin tested many traditional adhesives, including bovine gelatin and a mixture of lacquer and tung oil, and developed a new adhesive mainly composed of ethyl acetate and cellulose acetate.²³ Experiments showed that this new substance was not only more stable but had higher air permeability and thus was more durable and more resistant to moisture.

Both substances had strengths and weaknesses. After several rounds of review, the project team chose lacquer because it believed that, according to the Venice Charter and the China Principles, priority should be given to traditional materials and techniques. Therefore, the project team, along with graduate students working at the Lacquer Art Laboratory of Tsinghua University, visited Sichuan and Chongqing to learn from a number of highly experienced craftsmen how to use lacquer to attach gold leaf to surfaces. Their efforts saved this traditional skill from extinction. The project team also drew on the DHA's research and mixed lacquer with turpentine instead of tung oil.



Fig. 13 Comparison of adhesives and reattachment techniques in the laboratory

Choosing lacquer appeared to be consistent with the China Principles because the guidelines advocate the deployment of traditional techniques and skills and caution against the use of new materials. Indeed, traditional materials and techniques, which have been tested by time, are milder and more reassuring than untested new technologies. However, Article 22 of the China Principles (“Techniques and materials should be

²² Gelatin is a highly adhesive substance derived from bones and other connective tissues of animals. It is widely used, especially for books, paper boxes, and wooden objects.

²³ This adhesive is composed of 15 to 20 parts of cellulose acetate butyrate, 60 to 65 parts of ethyl acetate, 8 to 12 parts of acetone, 5 to 8 parts of butyl acetate, 1 to 3 parts of dimethylbenzene, 0.8 to 1.5 parts of anilino-methyl-triethoxysilane, and 0.1 to 0.3 part of defoamer. It is hereinafter referred to as cellulose acetate.

selected on the basis of conservation requirements.”) should be interpreted as choosing techniques and materials on a case-by-case basis. In this case, initial research showed that the gold leaf, along with the adhesive, which had tremendous historical, religious, and socio-cultural values, affected the evaporation of moisture inside the rock and threatened the protection of the statue. Since it was necessary to preserve the gold leaf, the team should have given priority to durability, stability, and air permeability when choosing a new adhesive. Cellulose acetate was specially developed for the reattachment of the gold leaf and would have better performance than lacquer. It was both tested and patented. Therefore, even though lacquer was chosen on the grounds that traditional techniques should be protected, cellulose acetate can still be used in the future to better preserve the statue. For example, researchers could apply cellulose acetate over a small area on the surface of the statue, and establish a long-term monitoring mechanism to compare the effectiveness of the two formulations.

3. Analysis of the Influence of the China Principles

The above examples demonstrate the role of the China Principles in China’s cultural heritage conservation. A top-down approach has been adopted to disseminate and implement the China Principles: from national experts, scholars, and government officials to local researchers and governments to practitioners of heritage conservation. It has not transformed this field overnight but has been gradually and subtly changing China’s conservation practices. Over the years, the China Principles has shaped China’s stone heritage conservation in the following ways.

First of all, it summarizes and explains China’s modern heritage conservation philosophy, especially principles like “not changing the original condition”. Thanks to the China Principles, China’s conservation philosophy no longer merely focuses on the physical dimension of heritage sites but strikes a balance between heritage sites themselves and their settings, which was reflected in the reinforcement project for the Mogao Grottoes. Secondly, the China Principles sets out requirements for the use of conservation technologies. Thirdly, it describes a scientific and complete conservation procedure and emphasizes the importance of evaluation. This document also contributes to standardized management.

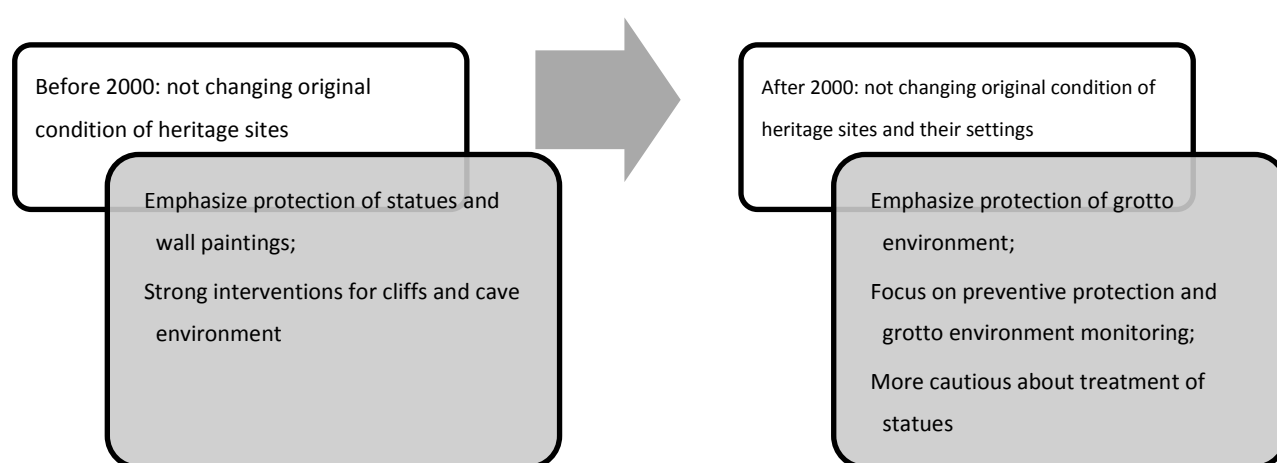


Fig. 14 Change in China’s conservation philosophy (20th century versus 21st century)

Conservation procedure before 2000

Conservation procedure after 2000

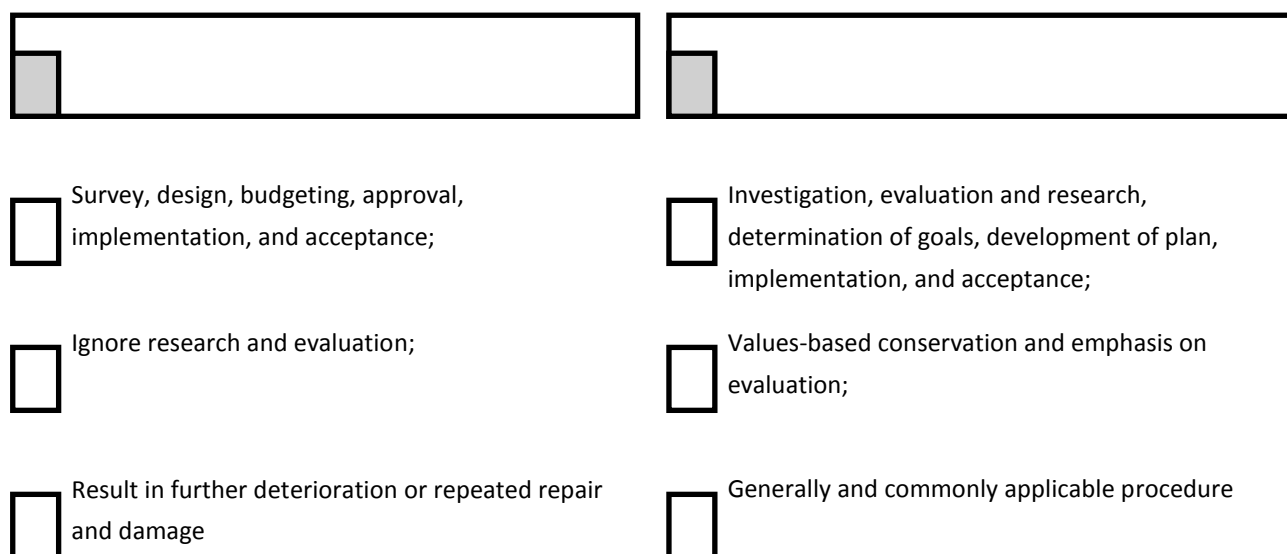


Fig. 15 Comparison of conservation procedures (20th century versus 21st century)

The positive effect of the China Principles can either be explicit and directly reflected in conservation planning, principles, and standards (as in the conservation planning and wall painting protection project at the Mogao Grottoes and the conservation project for Ta Keo, which was better conducted than the one for Chau Say Tevoda) or be implicit and indirectly reflected in the growing number of debates and discussions over conservation practices (such as the debate over the adhesive in the Dazu Rock Carvings project). These different understandings and interpretations of the China Principles and questions on its applicability and operability are exactly the embodiment of its subtle influence.

As a set of guidelines, the China Principles is not perfect. Aside from its historical limitations, the document is unable to answer all questions as conservation is becoming increasingly complex. Overall, the China Principles has three major limitations.

First of all, it does not have a comprehensive understanding of cultural heritage and their values. At the international level, some aspects of heritage conservation have evolved over the years:

The concept of heritage has shifted away from “monuments” to “sites”. Conservation used to merely focus on the physical dimension of cultural heritage but now strikes a balance between both tangible and intangible dimensions, which has given birth to the notion of living heritage.

Heritage values are no longer limited to inherent, intrinsic, and non-utilitarian values but inclusive of economic and utilitarian values.

Conservation used to be a static process based on preservation and continuation. Yet it now focuses more on renewal and reconstruction and represents a more dynamic and sustainable point of view, which has resulted in the emergence of participatory conservation.

Therefore, further discussion is needed to better understand the concept, conservation methodology, and diverse values of stone heritage sites. For example, the conservation community could think about how to understand the genius loci of a stone heritage site and its non-physical dimension or consider how to better present and utilize grotto sites in view of their utilitarian values.

Secondly, the China Principles is a set of general guidelines only and thus cannot offer specific recommendations to every category of heritage site. Conservation specialists could refer to documents like the Illustrated Glossary on Stone Deterioration Patterns (2010) and the Standards & Guidelines for the Conservation of Historic Places in Canada (2010) and create specific operational guidelines for stone heritage sites that include evaluation criteria (a glossary of common terms and the determination of evaluation factors) and possible conservation interventions.

Thirdly, although the China Principles was published in 2000, it did not start to be promoted until 2005. Therefore, it could exert a larger influence than it has. In this regard, a virtuous circle of establishment, promotion, application, and feedback could be established, as was done for the Burra Charter in Australia, so that the China Principles could play a more important role in China's heritage conservation.

New Trends and Challenges for the Conservation and Utilization of Modern Architectural Heritage

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ABSTRACT

China's modern architectural heritage mainly refers to heritage buildings built after 1840. As people obtain a better understanding of the values of modern architectural heritage, a large number of such buildings have been identified and registered. One sixth of the heritage sites on the seventh List of Major Officially Protected Sites at the National Level (2013) are modern ones. Due to their distinctive historical backgrounds, architectural structures, and building materials, modern Chinese buildings are significantly different from traditional ones and thus should be considered a separate category of cultural heritage. Most modern buildings are located in economically developed urban areas. Rapid economic growth and massive urbanization have brought the conservation of modern architectural heritage under relentless pressure and prompted people to contemplate its effective presentation and utilization.

Citing recent examples in Shanghai and Tianjin, this paper examines the applicability of the *Principles for the Conservation of Heritage Sites in China* (or the *China Principles*) to existing practices of protecting and using modern architectural heritage and analyzes new trends in this field.

1. Evolution of Modern Architectural Heritage: Understanding of Values and Pressure on Conservation

The Chinese definition of modern buildings is broader than the international term of 20th century architectural heritage. In China, modern buildings are those built after 1840, the year that marked the beginning of modern Chinese history. In this period, Chinese architecture was shaped by various influences – Chinese and Western, old and new – and experienced revolutionary changes. However, it was not until the mid-1990s, when the Chinese public and academia obtained a new understanding of modern history and adopted a different perspective on heritage values, that modern buildings were recognized as a category of major officially

protected sites at the national level.¹

In the early days of the People's Republic of China, the country suffered from economic hardships, and modern Chinese buildings, like other historical buildings at that time, were mostly used as economic assets. Only some former revolutionary sites and old residences of well-known people were placed under protection because they served as memorials for historical figures and evidence for past events. China focused on cultural heritage with historical value or, in other words, ancient historical remains in its conservation efforts, especially when the government identified officially protected sites. Modern buildings, which were mostly less than a century old, were not considered important or not even seen as a kind of cultural heritage. By the year 2001, five Lists of Major Officially Protected Sites at the National Level (or National Lists) had been released. But only 174 or 13.7% of the heritage sites under national-level protection were modern buildings. Such was the situation of modern architecture conservation in China around the time when the *Principles for the Conservation of Heritage Sites in China* (or the *China Principles*) was launched in late 2000.

Since the beginning of the 21st century, the values of modern buildings have risen to greater prominence as the society reflects on and rethinks modern Chinese history. Researchers have started to study the diverse architectural styles born out of cultural exchange between the East and the West, the experiments and innovations of modern Chinese industries, and the accomplishments in urban planning and construction during periods of drastic social change. That trend is best illustrated by the emergence of new heritage categories, including modern buildings, building groups, industrial heritage, and historic districts. Modern buildings that are officially recognized and protected have also been on the rise. The sixth and seventh National Lists, which were released after 2006, include 538 modern architectural sites. In other words, the total number of modern buildings protected by the central government has jumped to 712, which accounts for one sixth of all the sites on the National Lists.

¹ Major officially protected sites at the national level are the highest-ranking immovable sites in the hierarchy of heritage conservation in China.

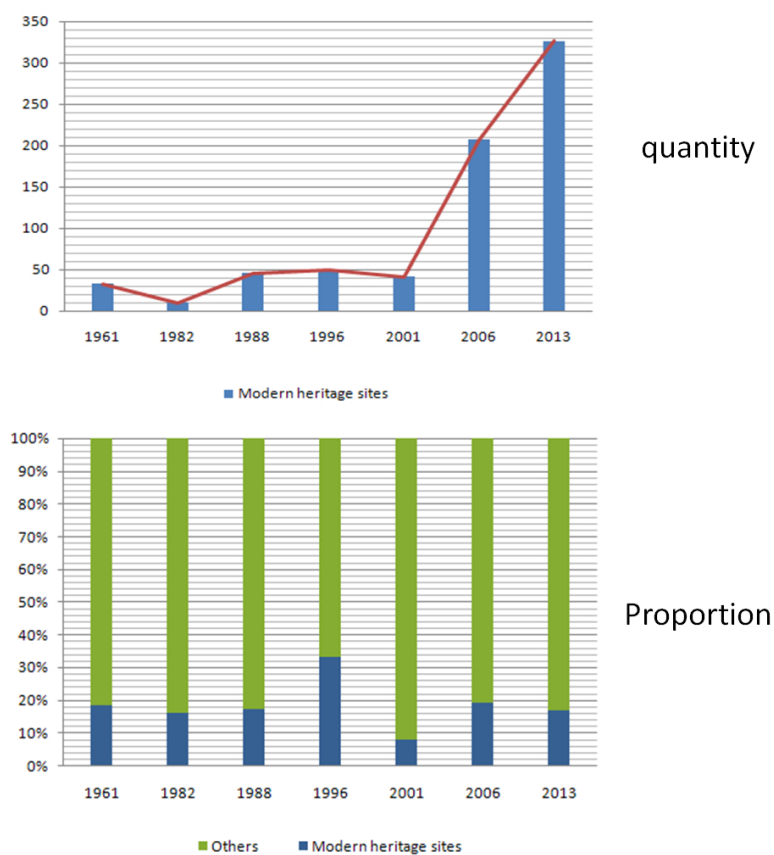


Fig. 1 Changes in the number and percentage of modern buildings on the Lists of Major Officially Protected Sites at the National Level

It is worth noting that the conservation of modern heritage sites is faced with daunting challenges despite their growth and diversification. Due to historical reasons, most of China's modern built heritage is located in former concessions. Those areas are now downtown urban districts experiencing fast economic growth and severe land shortages. Many modern heritage sites have also fallen into disrepair and are thus in danger of being demolished for short-term economic interests. As Chinese cities change rapidly, the conservation of modern architectural heritage is inextricably linked to its adaptation and reutilization. Appropriate use can enhance the practical and economic value of cultural heritage to contemporary urban construction and relieve the pressure on the government to make sizeable investments in heritage conservation. Besides, reutilization can improve the presentation and interpretation of heritage sites and bring them closer to the general public by offering people a richer cultural experience. In recent years, many efforts have been made to utilize modern architectural heritage, either guided by the State Administration of Cultural Heritage or initiated by non-governmental entities. Some of them have succeeded while others are very controversial.

The 2004 version of the *China Principles*, which defines general and specific principles for conservation, the conservation process, and conservation interventions, can be applied to modern architectural heritage to some extent. However, it was not specifically developed for the conservation of modern heritage sites. Modern heritage sites can be divided into a wide variety of categories and have features different from those of traditional architecture. Moreover, the *China Principles* fails to address the growing demands for the use of cultural heritage. The current *China Principles* only says, "Heritage sites should be used in a rational manner for the benefit of society. The values of the site should in no way be diminished by use for short-term gain."

But it does not elaborate on what constitutes rational use or suggest feasible methods of utilization. No example is presented in the document to illustrate the appropriate use of modern architectural heritage.

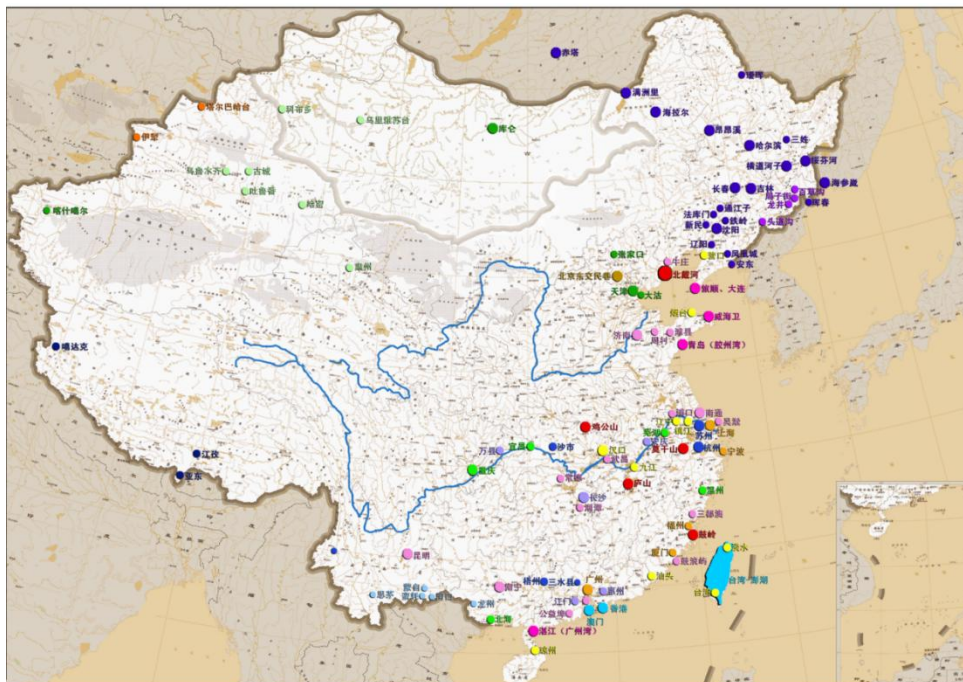


Fig. 2 Former concessions in China

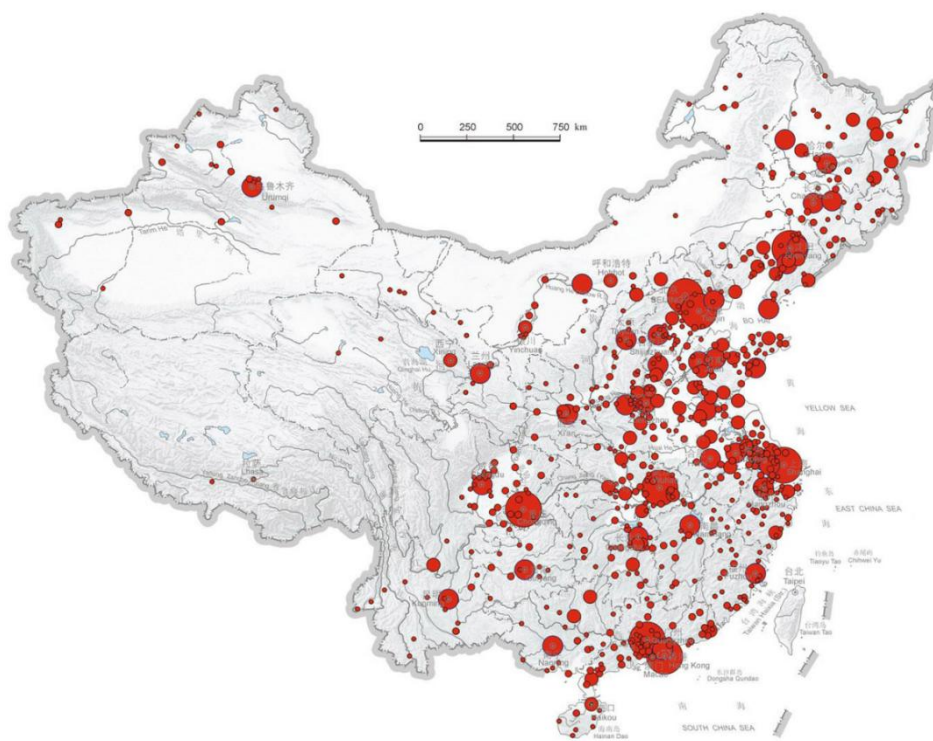


Fig. 3 Degree of urbanization in China

2. Conservation Practices for Modern Architectural Heritage

In the recent decade, as more and more modern architectural sites are identified, local conservation authorities and agencies have made a large number of attempts to protect and use modern built heritage. They have experimented with different approaches to the conservation and appropriate use of modern buildings, hoping to resolve the conflicts between urban development and heritage conservation. Some cities have even adopted regulations to protect modern architectural heritage. Those practices reflect new trends and challenges for the conservation and evolution of modern Chinese architectural heritage.

2.1 Adaptation and Utilization under Government Guidance: Prince Qing's Mansion

The former Prince Qing's Mansion is at 55 Chongqing Road, Heping District, Tianjin City. Located at the center of a historic district called the Five Avenues, it was included in the seventh National List in 2013. Chief Eunuch Zhang Lande started to build the mansion as a private residence in 1922. It was completed in 1923 and purchased by Zaichen or Prince Qing of the late Qing Dynasty in 1925. The mansion covers an area of 4,327 square meters and has a total floor space of 5,922 square meters. Its main building is a Classical-style masonry and timber structure with three floors and a basement. Its interior is decorated with terrazzo flooring, hardwood windows and doors, and stained glass. The garden to the east of the building contains rockeries, caves, and a hexagonal pavilion. The whole mansion is a combination of a Western villa and a Chinese courtyard house.



Fig. 4 Main building and garden of the former Prince Qing's Mansion (http://www.tjhha.com/view_tjhha.asp?mod=15)

Since the main structure, eaves, and roof of the old mansion were damaged to varying degrees, the Tianjin Historical Architecture Restoration and Development Co., Ltd. decided in May 2011 to restore the mansion

according to the 16-character guidelines for heritage conservation² and the *China Principles* (or, more specifically, the principles of authenticity, integrity, distinguishability, reversibility, and minimal intervention). The two-year restoration project preserved the building and its associated historical, cultural, and natural settings. Not only was the main structure, including the eaves and interior decoration, was restored and cleaned, but the furnishings and other historical elements were properly protected, such as the Chinese-style glazed poles, oil paintings, stained glass, grape cluster-shaped pendant lights, and filigree glass. The mansion became a model of heritage restoration in Tianjin.

While focusing on conservation, the local cultural heritage authorities have tried to use the mansion for new purposes to generate social benefits. Today, visitors can learn about the history, values, and restoration philosophy of the site in the exhibition room in one of the annexes. The main building offers a venue for conferences and meetings, and the annexes contain club suites. Shanyili and Runxingli, two other heritage sites nearby, have been turned into modern villa hotels that can host business functions. Meanwhile, the CCA Group, a globally renowned management company, is now in charge of the daily operation of the site, hoping to transform it into a community for cultural tourism, dining, recreation, accommodation, and business functions and thus revitalize the historic district of Five Avenues. As an important building complex in this district, Prince Qing's Mansion is infused with new dynamism and energy.

A government-regulated model of commercial development has been adopted for the conservation and utilization of Prince Qing's Mansion: the local cultural heritage authorities managed and guided the restoration of the mansion, and the business community is developing, using, and managing the restored site. The original condition of the heritage site has been preserved, and its values have been properly interpreted. Therefore, the mansion itself is an embodiment of a sound conservation philosophy. Moreover, the efforts to revitalize the historic district where the mansion is located are serving public interest.

2.2 Adaptation and Utilization under Government Supervision: 1933 Shanghai

The former Shanghai Municipal Council Slaughterhouse, which used to be considered the most important abattoir in the Far East, is located at 10 Shajing Road, Hongkou District, Shanghai. It was fully funded by the Shanghai Municipal Council, designed by a British architect named Balfours, and built by the Shanghai Yuhongji Construction Company. It started to be built in 1931 and was completed in November 1933. The building came into use in January 1934 and became abandoned after the slaughterhouse was relocated in the 1990s. This former slaughterhouse is an industrial building that covers an area of 30,000 square meters and blends the basilica style with British Classical architecture. Shaped like a circle in a square, the building exhibits great structural and spatial variations. The Shanghai government has recognized it as an outstanding historic building and a municipal-level protected site because of its typical early modernist design.

In August 2006, the Shanghai Creative Industry Investment Co., Ltd. started to repair and renovate the old slaughterhouse to transform it into a creative district called 1933 Shanghai, which would later be used for conferences, exhibitions, office space, events, banquets, tourism, and recreation. 1933 Shanghai was finally

² The 16-character guidelines for heritage conservation are from Article 4 of the General Provisions of the *Law of the People's Republic of China on Protection of Cultural Relics* (President's Order No. 84): "In the work concerning cultural relics, the principle of giving priority to the protection of cultural relics, attaching primary importance to their rescue, making rational use of them, and tightening control over them shall be carried out."

opened in 2007. This project has adopted a government-regulated model of commercial development: the government is merely a regulator, and it is the Shanghai Creative Industry Investment Co., Ltd. that hired professional designing, construction, and management companies to conduct the redesign, restoration, and daily operation of the site.



Fig. 5 1933 Shanghai (<http://www.hkqzx.gov.cn/buildeat.asp?id=87>)

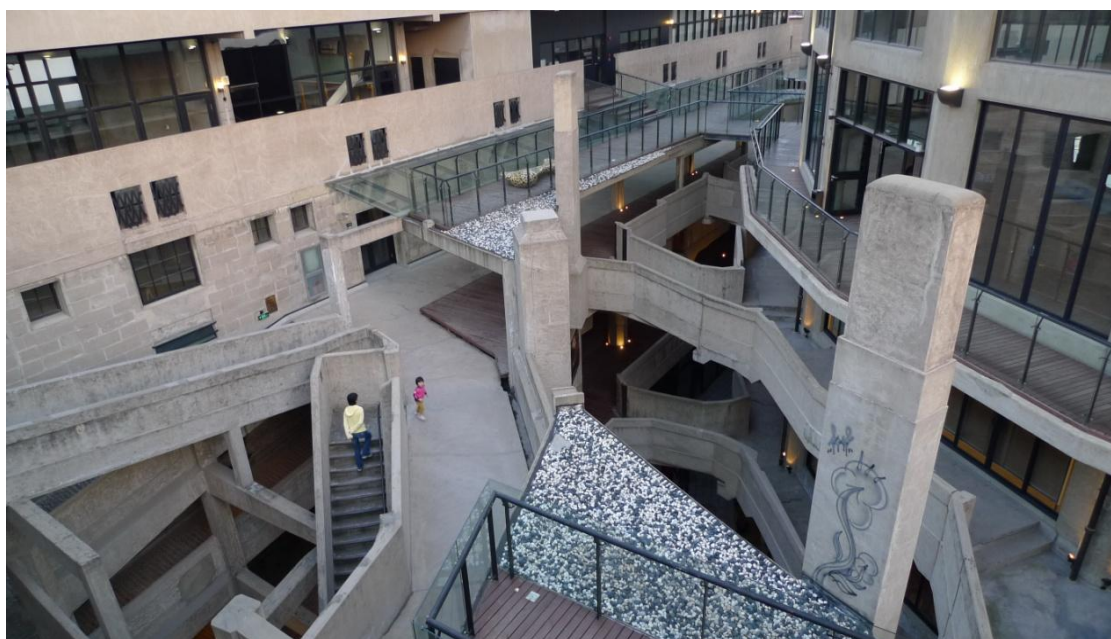


Fig. 6 Connected passages at 1933 Shanghai (<http://dysmj1944.blog.163.com/blog/static/227000073201392213535374/>)

The restoration of the slaughterhouse reflected the principles of authenticity and integrity in the China Principles. The historic condition of the building was properly restored: unique elements, such as the facades, ramps, connected passages, flat slabs, concrete decorations, and decorative vent covers made of cast iron,

were preserved and repaired; damaged or destroyed parts were restored to their original appearances with original materials and techniques. The designers tried to follow the principle of minimal intervention by utilizing and displaying the multiple renovations the building had gone through. Only those additions that had undermined the values of the building were removed. In order to meet contemporary needs, the restoration of the old slaughterhouse did not just focus on its original condition. Since the top floor of the central circular area no longer existed, the designers decided to change the fourth and fifth floors into a multifunctional hall to make up for the lack of large spaces within the building. They also increased the amount of natural light in that circular area and thus added more variations of light and shadow inside the whole structure. Elevators, stairways, modern restrooms, pipe shafts, and other necessary facilities were installed. Today, visitors can learn about the restoration philosophy of the project as they stroll through the building.

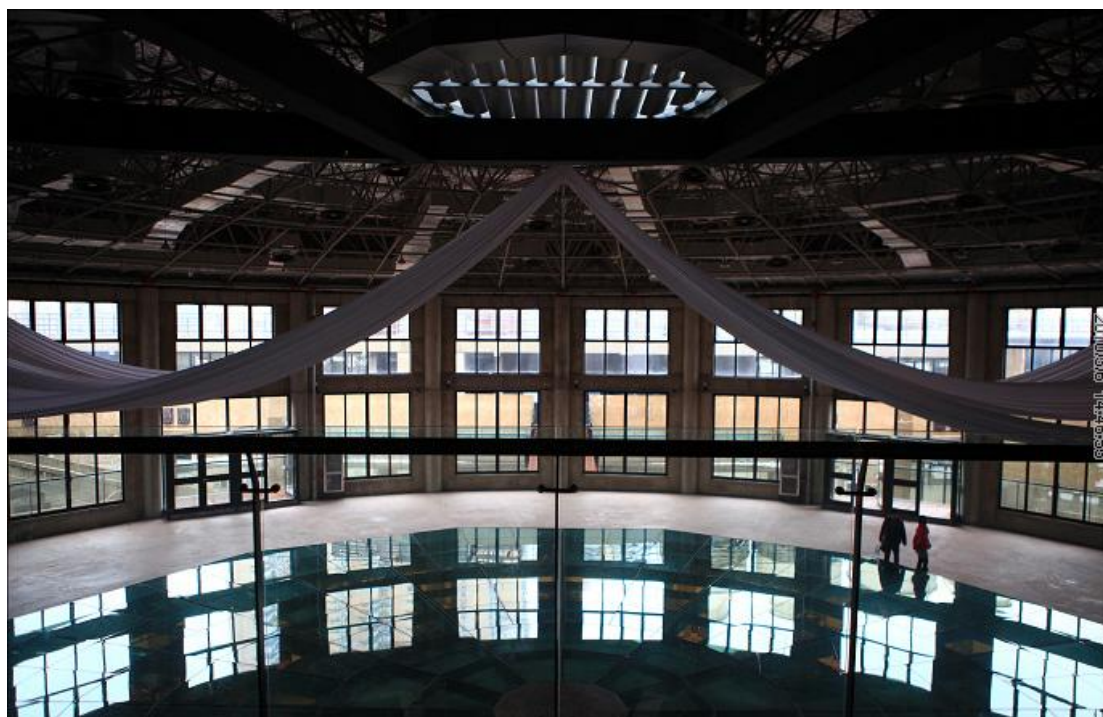


Fig. 7 Circular hall on the fifth floor in the central area (<http://www.blogbus.com>)

In order to revitalize the “dead” building, the designers made compromises with themselves as they tried to preserve its original condition – the newly added elevators, stairways, glass hall on the fifth floor, modern restrooms, and pipe shafts indeed changed the original structure of the building. After it was opened in 2007, 1933 Shanghai became a new landmark in Hongkou District, Shanghai. Many cultural and commercial events and art exhibitions have been held at 1933 Shanghai, making it a cluster of creative industries in the city.

The government allowed the Shanghai Creative Industry Investment Co., Ltd. to invest in the adaptation and development of the building under a long-term lease agreement. But the designated purpose and owner of the land and the scale of the building remained unchanged. Therefore, 1933 Shanghai represents a more commercialized approach to conservation and utilization than Prince Qing’s Mansion. By integrating the old slaughterhouse with creative industries, the designers not only preserved the heritage site but enabled it to perform new functions and become an innovative landmark in Shanghai. The designers followed the China Principles in preserving the main structure of the building and many historical details and information associated with it. Thanks to their efforts, the public can learn about the trajectory of the life of this former

abattoir. Meticulous conservation and presentation have helped the heritage site to generate both social and economic benefits.

2.3 Adaptation and Utilization by Designers: The WaterHouse at South Bund

The WaterHouse at South Bund is located in the Old Wharf District of South Bund, Shanghai. The building was built in the 1930s as a three-floor headquarters of the Japanese army. It is a unique historic building in this district but not an officially protected heritage site. After being abandoned for a long time, the building was renovated and adapted into a four-floor boutique hotel with only 19 rooms.



Fig. 8 The WaterHouse at South Bund (<http://www.befree.com.cn/Info/a/10010107>)

In 2010, Neri & Hu Design and Research Office (NHDRO) started to redesign the building. The designers took an architectural perspective and emphasized the contrast and juxtaposition of “new” and “old”. The original concrete structures were partially preserved as a symbol of the industrial history of the Huangpu River area. New supporting structures made of weathering steel were added, beautifully contrasting with the original concrete.

NHDRO adopted some conservation methods proposed in the China Principles. For example, the designers kept some of the original materials and made sure that new structures and facilities were distinguishable. But, in terms of utilization, they did not hesitate to dismiss the China Principles. The designers opened new windows for visual and aesthetic purposes. They also added a fourth floor and a roof terrace using weathering steel and glass to meet the need for new functional space. Nevertheless, the WaterHouse at South Bund is an architectural and aesthetic success. The enormous volume of reservations at the hotel demonstrates that the redesign has been well received.

Although the building is not an officially protected site, its adaptation incorporated certain principles and ideas from heritage conservation and injected creativity and dynamism into the old structure. More importantly, the designers intervened when the building was almost completely abandoned. When formal conservation is not yet available, such a “radical” approach may help to salvage modern heritage sites that are already on the brink of death and even generate considerable economic and social benefits.



Fig. 9 Old walls and distinguishable new structures in the WaterHouse at South Bund (see [4] in References)

3. Future Trends for the Conservation and Utilization of Modern Buildings

3.1 Comparison and Analysis

The following conclusions can be drawn from a comparison of the above examples in terms of their levels of protection, management models, compliance with the *China Principles*, interpretations of heritage values, social and economic benefits, and roles in revitalizing local districts:

- (1) A modern building that belongs to a higher level in the official heritage conservation system is usually more compliant with the *China Principles* and more reliant on the government in its management.
- (2) Respecting and presenting the values of a heritage site can help to generate social benefits and serve public interest.
- (3) The division of work and collaboration between cultural heritage authorities and businesses clearly have an influence on the conservation and management of a heritage site and the benefits it generates: conservation projects purely dominated by the government tend to lack dynamism; those that are completely commercial in nature often focus excessively on financial returns and turn heritage sites into “private collections”, which cannot serve public interest. A model of commercial development under the supervision and regulation of authorities can help modern architectural heritage to generate more economic and social benefits.

Fig. 10 Comparison of the three examples

Aspects for Comparison	Prince Qing's Mansion	1933 Shanghai	Water House at South Bund
Level of Protection	National level	Outstanding historic building	None
Management Model	Government-regulated	Collaboration between the government and the business community	Commercial
Compliance with the <i>China Principles</i>	Strict compliance	Taken into consideration	Not a priority
Interpretation of Heritage Values	Complete interpretation	Complete interpretation	None
Social Benefits Generated	Significant	Significant	Moderate
Economic Benefits Generated	Moderate	Significant	Significant
Vitality	High	High	High
Mechanism to Support Conservation with Economic Benefits Generated	None	None	None
Contribution to Local District	Injection of dynamism	Community cultural center	Injection of dynamism

3.2 Future Trends

(1) Private capital will be increasingly involved in the utilization of modern architectural heritage, so regulation and supervision will become more important. Proper regulation and supervision ensure that the adaptation of historic buildings is values-based and technical solutions used for that purpose comply with the government's requirements and technical standards for heritage conservation, including the *China Principles*.

(2) The utilization of heritage sites should take into account the proportional relationship between social and economic benefits. Experience shows that conservation projects that are purely conducted by the government tend to lack dynamism while excessively commercial projects may sacrifice the values of heritage sites for financial returns. A model of commercial development under the supervision of authorities can help to generate more social and economic benefits. The part of a modern building that can best represent its values should be used for presentation to generate social benefits. Less important parts and annexes can be used for other purposes to generate economic benefits. And those economic benefits should be used to support the conservation and daily management of the site so that a sustainable virtuous circle can be created.

(3) The above examples also demonstrate that most conservation projects for modern architectural heritage, whether conducted by a public or private entity, lack a well-established mechanism to use the revenues they generate to support conservation and routinely maintenance. That is one of the barriers to the operation and reutilization of architectural heritage.

(4) Modern architectural heritage needs to be placed into its broader historical context. Cultural heritage conservation should be integrated with cultural progress in urban and rural areas and play a constructive role in the revitalization of historic districts and communities. In recent years, the governments of some large cities have supported the efforts to build creative industry parks around modern architectural and industrial heritage sites. That represents a new trend for cultural heritage utilization in China and a new possibility for cultural heritage to merge with contemporary cultures and creative industries. It is necessary to understand that the methods to protect and use a heritage site are ultimately determined by the balance between its values, physical features, and utilization.

(5) New conservation philosophies and guidelines, including the *China Principles*, need to be promoted to raise people's awareness of heritage conservation and better protect cultural heritage. The new version of the *China Principles* or its commentary on specific examples should provide new ideas or case studies to guide the efforts to better integrate the presentation and utilization of modern architectural heritage into regional development.

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China's Current State and Future Challenges for the Practice of Public Participation in Cultural Heritage Conservation

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Abstract

In the last 15 years, as international principles have been introduced to China, increasing numbers of people have become aware of the importance of cultural heritage conservation. Hence more individuals and NGOs have taken part in various parts of the conservation process, including general investigation and documentation, assisting in the listing process of cultural heritage, participating in the policy making process and some attempts in creating an autonomous system in the community. Both diversity and depth of public participation in cultural heritage conservation have increased dramatically. The recent revision of *Principles for the Conservation of Heritage Sites in China* (ICOMOS, 2004) inserted public participation as one of the general principles. This essay attempts to shed a light on the current situation and the future development of public participation in the conservation process under the Chinese context. Discussion includes related legislation and practice cases in China, as well as a vision of possible solutions to the future challenges.

Introduction

Former Director-General of UNESCO Mr. Koichiro Matsuura once said, “Without the understanding and support of the public at large, without the respect and daily care of the local communities, which are the true custodians of World Heritage, no amount of funds or army of experts will suffice in protecting heritage sites.” With rising awareness of cultural heritage conservation and the continuous exploration of conservation theory, people realize the necessity of public participation in the conservation process. In the last 15 years, as international principles and the sense of citizenship has been disseminated across China, more and more individuals and social groups have taken part in heritage conservation. A significant growth of diversity and depth of public participation has been seen.

In a society, ‘public’ is the counterpart of the ‘government’, which means any non-governmental individual or

group can be considered as the public. In the mentioned quote from Mr. Koichiro Matsuura, the interpretation of ‘public’ includes two parts-‘the general public’ and ‘the true custodians of heritage- the local communities’. To rephrase, general public and the non-governmental stakeholders of the heritage sites are the two components of the ‘public’. These two components are not exclusive to each other. One can belong to either of the groups according to which heritage site is being addressed. Public participation should be the combination of the participation of both parties. And neither is necessarily more important than the other. They rather differ in terms of the form and depth of participation.

Models of Public Participation in Cultural Heritage Conservation

In 1969, in her essay, *Ladder of Citizen Participation*,³ American sociologist Sherry R. Arnstein introduced a theoretical model of the participation of citizens and local communities in the process of urban planning. The essay was an effort to critique the top-down process in urban planning and its background lies in an attempt pursued by APA (American Planning Association) to encourage communities’ participation in the decision-making process of urban planning in multiple American cities. Arnstein’s ‘ladder of citizen participation’ includes six rungs in three levels. The first level is ‘non-participation’, it includes the lowest rung of the ladder: Manipulation/Therapy. This level is a distortion of participation used as a public relations vehicle. The second level ‘degrees of tokenism’ contains the next two rungs of the ladder: Informing and Consultation. The former one is a one-way flow of information while the latter doesn’t assure that the concerns and ideas of the public will be taken into account. Citizens still have no participation in the decision-making process. The third level is ‘degrees of citizen power’ which represents the highest three rungs of the ladder: Partnership, Delegated Power and Citizen Control. In this level citizens have certain degrees of influence over the decision-making process. The three rungs differentiate whether the power is redistributed through negotiation or the citizens hold the significant cards or even a neighbourhood corporation is formed to take control.

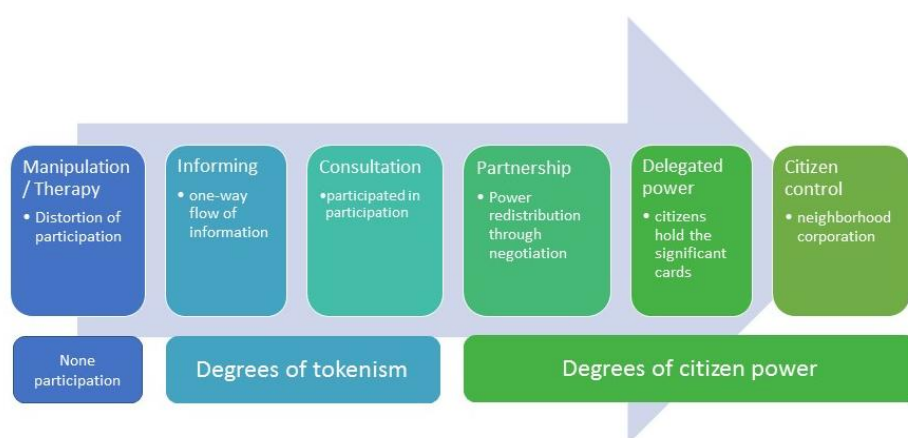


Fig. 1 6 rungs of the ladder of citizen participation

Arnstein’s theory has been vastly referred to and developed by scholars. Robert Mark Silverman expanded

³ Arnstein S.A, *Ladder of Citizen Participation* [J].Journal of the American Planning Association, 1969. The theory is later revised in 1977 from ‘eight rungs’ to ‘six rungs’.

the ladder into a ‘Citizen Participation Continuum’ in an essay published in 2005.⁴ The two ends of the continuum are ‘Grassroots Participation’ and ‘Instrumental Participation’. The former one emerges in response to neighbourhood threats while instrumental participation is task-oriented, with a focus on the completion of specific projects or programs in which a community-based organization is engaged. Silverman reckons a community development corporation should achieve a balance between the two extremes.

Such theoretical models can work as a ruler to determine which position the public occupies in the decision-making process of public policy and whether the participation has actual impact. It is noted that this situation is usually not static in an incident or a project, but rather dynamically changing.

Support from Legislation and Regional Principles

Public participation is an important component of existing international principles and regional standards documents. Among the five Strategic Objectives (also called the “5Cs”)⁵ that the World Heritage Committee defined in 2002, the fourth and fifth ones emphasize the importance of the public and communities in World Heritage conservation. Public participation has also been recognized as a critical element in the framework of World Heritage management by the recently published *Managing Cultural World Heritage*.⁶

Likewise, public participation in cultural heritage conservation is being increasingly discussed in China. Public participation has been incorporated into the revised *Principles for the Conservation of Heritage Sites in China*.⁷ The newly added articles and commentary on community participation in the *China Principles*

⁴ Robert Mark Silverman, *Caught in the Middle: Community Development Corporations (CDCs) and the Conflict between Grassroots and Instrumental Forms of Citizen Participation*, *Journal of the Community Development Society*, Vol. 36, No. 2, 2005

⁵ UNESCO WHC, Operational Guidelines for the Implementation of the World Heritage Convention, 2012.07. Para 26

1. Strengthen the Credibility of the World Heritage List;
2. Ensure the effective Conservation of World Heritage Properties;
3. Promote the development of effective Capacity-building in States Parties;
4. Increase public awareness, involvement and support for World Heritage through communication.
5. Enhance the role of Communities in the implementation of the World Heritage Convention.

⁶ UNESCO / ICCROM / ICOMOS / IUCN, *Managing Cultural World Heritage*. World Heritage Resource Manual Series, 2013

⁷ Revision of *Principles for the Conservation of Heritage Sites in China*, September 2014 draft, Article 8 and 20 and their commentary:

Article 8 Conservation of heritage sites is a social undertaking that requires broad community participation. The public should be able to benefit from the results of heritage conservation.

Commentary: A heritage site is an important component of today’s socio-material context and cultural and intangible context. The conservation of a heritage site is the conservation of history and culture, the collective memory of society and the public’s interests. It is also a means of keeping traditions alive. Conservation of a site preserves history, common cultural identity and keeps alive outstanding cultural traditions. Preservation is thus a public undertaking and is the responsibility of society. The public should be encouraged to actively support the conservation of heritage sites. Public involvement is the most fundamental means of ensuring good conservation of a site.....

Article 20Site management should participate in the writing of the plan and be familiar with its contents. Relevant stakeholders should take part in the planning process and should understand the plan’s contents. During the

encourages the Chinese public to not only directly engage in heritage conservation but participate in and supervise the enactment and implementation of conservation laws and regulations, such as local regulations and heritage conservation plans.

According to Chinese laws, Chinese citizens have both a right and an obligation to participate in cultural heritage conservation, and all individuals and organizations in China are encouraged to contribute to this cause. In addition, local regulations and ordinances also contain provisions on public participation in cultural heritage conservation. Currently, the Chinese legal system focuses more on the participation of the general public than on the involvement of stakeholders in decision-making, as evidenced by the following laws, administrative regulations, and local regulations:

● *Law of the People's Republic of China on Protection of Cultural Relics*

Public participation is mainly discussed in the General Provisions of the *Law of the People's Republic of China on Protection of Cultural Relics*. Those provisions outline general principles for public participation in cultural heritage conservation.⁸ The law provides for the obligations of individuals and organizations to participate in the protection of cultural relics, encourages and requires the involvement of Chinese citizens in

plan's drafting the public should be given the opportunity to provide feedback.....

Commentary:Heritage sites are a commonwealth of society. The public should have a basic understanding of the conservation of a site and has the right to scrutinize and comment on its conservation and management. The general public should be made aware of the main contents of the plan and their comments and recommendations should also be sought.....

⁸ *Law of the People's Republic of China on Protection of Cultural Relics*, 2007

General Provisions

Article 7 All government departments, public organizations, and individuals shall have the obligation to protect the cultural relics in accordance with laws.

Article 11 Cultural relics are non-renewable cultural resources. The State devotes great efforts to publicity and education in the need to protect cultural relics, enhances the awareness of the entire people of the need, and encourages scientific research in this field in order to raise the scientific and technological level for the protection of the cultural relics.

Article 12 The State gives moral encouragement or material rewards to units and individuals for any of the following deeds:

- (1) conscientiously implementing laws and regulations on the protection of cultural relics and making remarkable achievements in protecting cultural relics;
- (2) resolutely fighting against criminal acts, in the interest of protecting cultural relics;
- (3) donating important cultural relics in one's own collection to the State or making donations for the undertaking of protection of cultural relics;
- (4) immediately reporting or delivering to the authority when discovering cultural relics, which facilitates their protection;
- (5) making major contributions to the work of archaeological excavations;
- (6) making important inventions and innovations in the science and techniques for the protection of cultural relics, or other important contributions in this respect;
- (7) rendering meritorious service in rescuing cultural relics that are in danger of being destroyed; and
- (8) having been engaged in the work concerning cultural relics over long years and having made outstanding achievements in this field.

conservation, and safeguards the ownership rights of stakeholders (mainly property owners). But the law does not specifically mention the participation of stakeholders in decision-making.⁹

- *Interim Administrative Measures for the Listing of Cultural Relics*

The *Interim Administrative Measures for the Listing of Cultural Relics* (or the *Interim Measures*) is intended to regulate the nomination of new categories of cultural heritage and encourage the general public and related stakeholders to participate in surveys of cultural heritage and request for the official listing of heritage sites.¹⁰ It was issued in 2009 as the first specific regulation on such matter in China. Since then, Beijing, Jiangsu, and other municipalities and provinces have practiced and adopted similar local regulations. However, the effect of the *Interim Measures* has been limited. In most cases, individuals and organizations only apply to authorities when those sites are already in danger. Since the procedure for submitting listing requests is complicated, and the regulation does not specify a period in which authorities are liable to respond to such requests, it usually takes a long time for heritage sites to be officially listed by the government. Thus, it is not unusual for heritage sites to be damaged before they are even reviewed for eligibility for official listing and protection. Such problem has made it more difficult for the public to become involved in heritage conservation and dampened their enthusiasm for taking part.

- *Regulation for the Conservation of Historic and Cultural Districts and Outstanding Historic Buildings in Shanghai*

Public participation is also mentioned in provincial and municipal regulations, such as the Regulation for the Conservation of Historic and Cultural Districts and Outstanding Historic Buildings in Shanghai (or the Shanghai Regulation). The Shanghai Regulation is intended to regulate the involvement of the general public and stakeholders in the conservation of historic and cultural districts and historic buildings. In fact, Shanghai citizens were able to participate in the enactment of the regulation. The Shanghai Regulation was drafted in 2001, promulgated in 2002, and came into force in 2003. It was one of the first Chinese regulations to provide for the involvement of the public and stakeholders in heritage conservation.

In the two years after the release of the draft version, hearings and other activities were conducted to collect public opinions and suggestions. Thus, the finalized version of the *Shanghai Regulation*, unlike the 2001 draft, recognizes the rights of the public to report any conduct that damages historic buildings and to propose the

⁹ *Law of the People's Republic of China on Protection of Cultural Relics*, 2007

Article 6 Ownership of memorial buildings, ancient architectural structures, cultural relics handed down from ancestors, and other cultural relics obtained in accordance with laws, which belong to collectives or individuals, shall be protected by laws. Owners of the cultural relics shall abide by State laws and regulations on the protection of cultural relics.

¹⁰ *Interim Administrative Measures for the Listing of Cultural Relics*, 2009

Article 6 If a property owner wants to file for listing a property as a cultural heritage property, name or title, address, ID of the owner and introduction of the property should be provided to the county or upper level administrative department. The administrative department should respond with a decision.

Article 7 If any citizen, legal representative or organization wants to file listing a property as a cultural heritage property, his name or title, address, ID and introduction of the property should be provided to the county or upper level administrative department. The administrative department should respond with a decision.

Article 12 If any citizen, legal representative or organization wants to file for grading of a listed cultural heritage property, their names, address, ID and introduction of the properties should be provided to county or higher level administrative department. The administrative department should respond with a decision.

recognition of historic buildings and districts as officially protected sites, defines standards and rules for the repair of historic buildings at different levels, and offers property owners and tenants different options in regard to the conservation and utilization of historic buildings. In 2005, the *Shanghai Regulation* was revised. In addition, a survey was carried out a year later to examine the implementation and effectiveness of the regulation.

The revision of the draft and final versions of the *Shanghai Regulation* took into consideration the rights and roles of the public and stakeholders in heritage conservation and incorporated public opinion to the maximum possible extent. That facilitated the effective implementation and dissemination of the regulation. The *Shanghai Regulation* also set an example to other regions across China in terms of protecting historic districts and buildings. Similar regulations in other regions are somewhat modeled on the *Shanghai Regulation*, but none of them discusses the participation of the public and stakeholders in greater detail than the *Shanghai Regulation*.

- *Regulation for the Conservation of Historic Buildings and Districts in Guangzhou*

In November 2013, Guangzhou issued the *Regulation for the Conservation of Historic Buildings and Districts in Guangzhou* (or the *Guangzhou Regulation*) and introduced the mechanism of pre-protection to solve the problem of prolonged waiting periods for the official recognition of heritage sites. In 2013, a property developer's demolition of Jinlingtai and Miaogaotai, two modern heritage sites pending official recognition in Guangzhou, sparked a widespread public discussion. People raised doubts over the lengthy recognition process. The *Guangzhou Regulation* was drafted in August 2013 and launched three months later as the first regulation to introduce the pre-protection mechanism in mainland China. According to the regulation, after a citizen submits a request to authorities for the official listing of a historic building, the building will be placed under official protection immediately and examined and reviewed by a panel of experts within seven days, and any construction activity related to the site will be suspended. Pre-protection will be terminated if the experts agree that the building should not be recognized as an officially protected site. Otherwise, a period of pre-protection that is no longer than 12 months will be granted. The building cannot be demolished or damaged under pre-protection, and the official recognition of the site should be completed before the period expires. This regulation, if effectively implemented, will significantly facilitate public participation in the listing of historic buildings.



Fig. 2 Pre-protection system stated in Regulation for the Conservation of Historic Buildings and Historic District in Guangzhou

Current Situation of Public Participation in Cultural Heritage Conservation in China

A 2010 report of the *Investigation of the current state of public participation and awareness of cultural heritage conservation*¹¹ shows that the public's understanding of the concept of cultural heritage was limited. Their knowledge of legislation and public discussions remained low. On the other hand, the initiative and awareness of cultural heritage conservation was consistently on the rise.¹²

1. Participation of General Public

Today, the general public engages in the conservation of cultural heritage by reporting conducts that damage cultural heritage and assisting in the official listing of heritage sites in accordance with laws. Most public participation takes place at the grassroots level when heritage sites are already endangered. For example, *Heilongjiang Daily* journalist Zeng Yizhi investigated the situation of the China Eastern Railway buildings with a group of volunteers and wrote to the local and national cultural heritage authorities about the conservation of the site. Her efforts saved the buildings from being razed for the construction of a high-speed railway. In fact, thanks to Zeng, the buildings were later included as an extension in the 2012 List of Nationally Protected Cultural Heritage Sites.

However, such public participation is not without obstacles. First of all, citizens who participate in heritage conservation need to have knowledge of cultural heritage and related legal issues and a strong sense of social

¹¹ http://www.ccdy.cn/xinwen/content/2010-12/24/content_731238.html

<http://www.china-up.com/newsdisplay.php?id=1419756>

¹² a. 58.3% of the public recognized the positive aspects of cultural heritage conservation, apart from its own significance, including tourism development, improving cultural atmosphere and diversity of the community life, enhancing the image of the government and providing more jobs, etc.

b. Recognition of cultural heritage conservation is way lower than environmental protection, the ratio is 17.1%:57.6%

c. The public's cognition over headline stories is high, while it's low when it comes to most archaeological discoveries. Only 10% of the respondents know of the ongoing Third Survey on Cultural Relics. Only 30% of them know about the activities on Cultural Heritage Day of that year.

d. The public basically would like to take care of cultural heritage. More than 30% of the respondents have been to a museum. More than half of the public would not scribble or step on cultural relics. But the percentage of those who would take the initiative to study and promote knowledge of heritage, to participate in related activities, or to stand against criminal activities remains low.

e. The public have gradually learned to use legislation and public discussions to protect cultural heritage. The initiative to act has risen. The rate of public cognition over *Interim Administrative Measures for the Listing of Cultural Relics* is 21% higher than 2009. When a heritage site is damaged, people know better to use related legislation vehicles. The rate of taking up a negative attitude rather than acting dropped from last year's 20.7% to 10.6%. Over half of the respondents would report to the authorities and take action to stop the vandalism. People also have learned to use public discussion to stop vandalism from happening. The rate has risen from 2008's 10.8% to 20.7%. Most would take pictures to document destruction.

f. Youngsters' cognition over cultural heritage is rather high. When there's destruction of heritage sites, they are more willing to stand against it. They also take part in promotion of related knowledge and go to museums more often.

responsibility. But such people are still a minority in Chinese society. Moreover, decision-makers need to be willing to collect public opinions, invite local people to get involved, and accept public supervision. Yet, in reality, decision-making often lacks transparency, and people cannot voice their opinions through simple, clearly-defined procedures. When coordination among different authorities is required, the voices of the public will be even more difficult to be heard. Sometimes laws are not enforced, and wrongdoers are not punished. The complexity of cultural heritage conservation can be intimidating to most of the general public.

It is necessary to not only raise people's awareness of and interest in cultural heritage conservation but consider ways to enable simpler and more effective public participation.

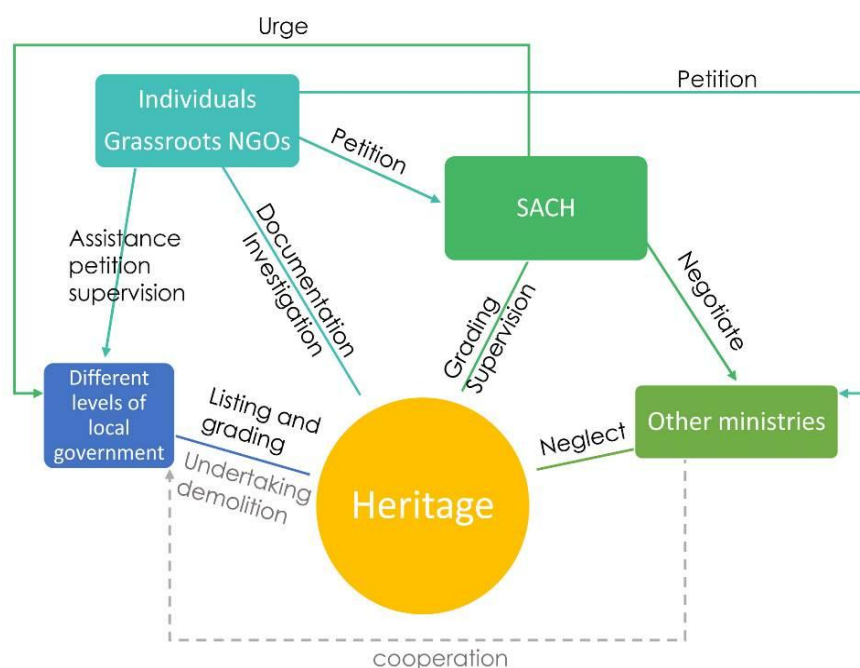


Fig. 3 Relationships between the public, heritage and different governmental departments

2. Participation of Social Groups¹³

In China, *Regulation of Registration of Social Groups* regulates the activities and founding of social groups. The registration process of social groups is very painstaking and the threshold is quite high. There are certain conditions including funding, group size and governmental organizations being its supervisor for founding a social group. Such conditions limited new groups to emerge tremendously. Chinese legislation of social groups puts them directly under government control. So NGOs aren't exactly non-governmental. Hence currently, there are barely a handful of registered NGOs for cultural heritage throughout China, one of which is Beijing Cultural Heritage Preservation Center (CHP). Last year, CHP celebrated its 10th. birthday.

¹³ It is defined in *Regulation of Registration of Social Groups*(1998) that, "Social groups are non-profit social organizations that are voluntarily formed by Chinese citizens to realize the common will of the members by holding activities according to this regulation."

However, CHP has been suffering from lack of financial support, which limited the projects they could do. They try to bridge between the decision makers and the public by organizing events as a non-governmental organization. But their work is only acknowledged by the decision makers on a very low level.

On the other hand, in the last decade, numerous grassroots NGOs for cultural heritage have emerged. They usually specialize in either a certain region or type of cultural heritage. Given that they are not registered, the number of the groups and their geographical distribution are difficult to grasp. According to a rough investigation¹⁴ by the author, the following table shows some of the most active groups:

¹⁴ By searching keywords such as ‘volunteer’ and ‘cultural heritage conservation’ on Weibo.com and other search engines and according to the author’s personal knowledge.

Region or Type	NGO
Great Wall	Small Stand of the Great Wall
Building techniques	Yingzao Tiandi Digitalization Center
Beijing	CHP
	Website of the Old Beijing
	Historical Urban Landscape Conservation Committee of the Shijiahutong Community
Liaoning	Volunteers Team of Cultural Heritage Conservation in Liaoning
	Volunteers Team of Cultural Heritage Conservation in Dalian
Jilin	Research Institute of the Urban Cultural of Changchun
Heilongjiang	Volunteers Team of Cultural Heritage Conservation in Heilongjiang
Shanxi	Volunteers Team of Cultural Heritage Conservation in Shanxi
Guangdong	Beauty of Ancient Yue
	Non-governmental Committee of Cultural Heritage Conservation in Guangzhou
	Scenery and Heritage of the City
	Society of Architecture in Lingnan area
	Group of Enning Road
	Local Culture of Xinhui
	Concern Group of Guangzhou's Old City
	Family Temples in Shenzhen
Fujian	Wikipedia of Fujian's Ancient Architecture
Shanghai	Committee of Volunteers for Cultural Heritage Conservation in Xuhui District
Tianjin	Team of Volunteers for Conservation of Tianjin's Architectural Heritage

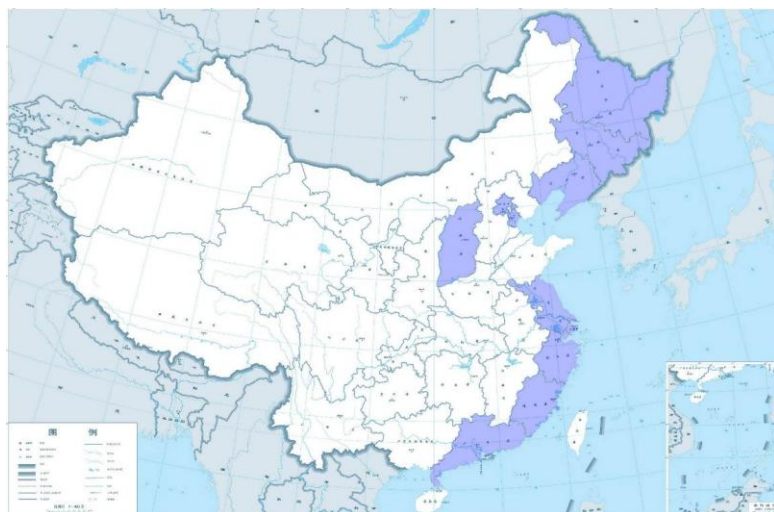


Fig. 4 Geographical location of the most active NGOs in China

The table above is only a snapshot from the window of the actual situation. But we can already see that grassroots NGOs scattered out in a lot of places, especially on the east coast. This is due to the more convenient communication, more diverse information and high sense of citizenship in this more developed area. Most of the grassroots NGOs have a very loose organization. Some of them only exist for a specific incident. Nevertheless, they have done lots of investigation, documentation and also increased their involvement in many conservation activities when the heritage in the area is threatened. However, members of these groups vary quite often. It is difficult for them to take it to a higher level of participation. Nevertheless, more and more people throughout the country indeed have stood up to protect their own heritage.

3. Participation of Stakeholders

Stakeholders are most directly related to cultural heritage conservation, and their involvement is consistent with the third level of the ladder of citizen participation. In today's China, stakeholders are rarely involved in the decision-making process for heritage conservation and seldom play a dominant role in the management of heritage sites. Meanwhile, it is difficult for China to draw on the experience of other countries and regions because of significant cultural and socio-structural differences. In China, stakeholders mainly participate in the management of and decision-making for heritage sites in traditional villages. Traditional Chinese villages have a self-sustained, close-knit social structure, and stakeholders' participation in their conservation and management can be seen as a continuation of the original systems of those villages.



Fig. 5 Zhuge Village (Source: <http://www.panoramio.com/photo/4869381>)



Fig. 6 Zhuge Village (Source: <http://www.panoramio.com/photo/4868735>)

A case in point is Zhuge Village in Lanxi City, Zhejiang Province. More than 3,000 descendants of Zhuge Liang, a chancellor of the State of Shu Han during the Three Kingdoms Period, live in this village held together by kinship ties.¹⁵

Property owners and users are the main managers of cultural heritage in Zhuge Village while specialists only provide consultancy services for the local villagers and government. The town government is in charge of coordinating different parties. Cultural heritage conservation brings financial returns to stakeholders through tourism and other sources of income. The extra income not only improves the villagers' living standards but helps the heritage managers to better protect the cultural heritage of the village. The model has been successful because of the following reasons:

- a) The government has delegated management authority to the village committee so that decision-making power can be shared and balanced among different parties.¹⁶

¹⁵ Zhuge Kunheng, Zhuge Village: Model of Conservation for Traditional Villages, *China Cultural Heritage*, Issue 2, 2007.

¹⁶ In the early 1990s, as a result of booming tourism, the local government disbanded the self-governance organization in Zhuge Village and founded a travel company under its own control. But, due to the mismanagement of the company and the low morale among villagers caused by the involvement of non-property owners, the surrounding environment and landscapes were severely damaged by tourist attractions built in the protected zone in violation of the local conservation and management plan. The local government later realized that it should return the management and operation powers to the villagers.

- b) The conservation of Zhuge Village is supported and guided by specialists, who serve as the medium for communication between the local villagers and government and play a constructive role in decision-making.¹⁷
- c) The local villagers have close ties with overseas Chinese of Zhuge descent. So the conservation of the village has received support from most villagers and resources from various channels. The village committee is composed of trustworthy people, and their leadership ensures the efficiency of conservation in Zhuge Village.¹⁸
- d) Management rules and procedures are adjusted in a timely manner according to the changing needs and conditions of property users and owners. When it comes to the balance between the protection of traditional homes and buildings and the improvement of living conditions, the villagers have different options: the village committee provides poorer villagers with living allowances; but a villager can also choose to allow the committee to repair, maintain, and use his or her house without a transfer of the property title, build a new house in the designated residential area outside the village, and still engages in the protection of his or her old house.
- e) Knowledge of cultural heritage conservation has been disseminated among the villagers, and a code of conduct has been developed for them. Villagers work alongside with a professional team to repair traditional homes and buildings. All of those factors have facilitated public participation in the operation and management of Zhuge Village.

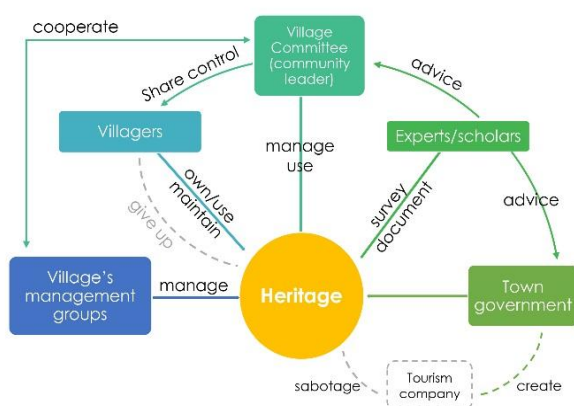


Fig. 7 Autonomy system of the conservation of Zhuge Village

¹⁷ The conservation of Zhuge Village is not only conducted through the self-governance of the villagers but supported by competent authorities and Tsinghua University. A number of organizations have been set up in the village, including the Zhuge Village Leading Group for Cultural Heritage Conservation, the Zhuge Village Management Office for Cultural Heritage and Tourism, and the Zhuge Village Management Office for Cultural Heritage Conservation. Lanxi City has awarded the village with the honorary titles of “Historically and Culturally Famous Village” and “Municipally Protected Cultural Heritage Site”. Surveys and records have been made for the cultural heritage in the village, and a conservation plan and a code of conduct for the villagers have been developed as well.

¹⁸ In the 1980s, some public buildings, such as ancestral halls, lost their original functions and fell into disrepair. The village chief and the village committee raised funds to repair some of the important public buildings in the village. Overseas Chinese of Zhuge descent also made financial contributions to the project.

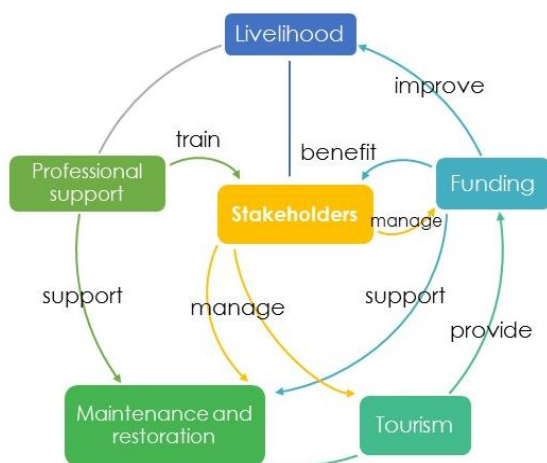


Fig. 8 Autonomy system of the conservation of Zhuge Village

The Zhuge Village model is also faced with a number of challenges. The villagers' degree of control over conservation is determined by decisions made at higher levels. For example, the village committee did not get to discuss with the decision-makers how to share control over tourist attractions to be built in the village. And the efficiency of the village committee and the support from the villagers are both based on the competency of the village chief. The villagers do not have the ability or channel to intervene in the construction and development projects surrounding the village.

Meanwhile, this model is easier to implement in a traditional village and may be exposed to more challenges in a different context. For instance, since urban communities are not as close-knit as rural ones, and not all historic districts or villages are suitable for tourism, conservation funding might be a problem. Therefore, this model needs to be adapted to individual cases as it is adopted on a larger scale.

As the British pioneer of historical buildings conservation William Morris reckoned, "If others can see it as I have seen it, then it may be called a vision rather than a dream." If a good model can be consistently practiced and adapted, the vision may one day come true.

In the historical center of Beijing, a project called 'Community Convention of Shijiahutong' is being carried out. The project originated from the Shijiahutong Community, which is located in the center of old Beijing and embraces a lot of former residences of celebrities and historical courtyards, being chosen by the Prince's Charities Foundation as one of their pilot projects to establish a community participation mechanism in historical districts. They helped open a Hutong Museum of Shijiahutong. One of the staffs from the street office of Shijiahutong sought the corporation with the museum to establish an autonomic community group, so as to guide the residents to better maintain their homes while preserving the historical values of the street. The system is rather similar to the one of Zhuge Village. The funding mainly depends on the district government and the foundation. The composition of stakeholders is much more complicated. Multiple governmental departments, property companies and other individual households are involved as property owners or users of the courtyards. A group of Hutong Planners/Architects were invited to provide professional advices. So far the stakeholders have formed the consensus and the Historical Urban Landscape Conservation Committee of the Shijiahutong Community has been registered. The committee consists of the residents, other main stakeholders and the Community Committee. While the renovation of a Hanging-lotus

gate, which works as a public building in a courtyard, would be one of the first pilot project.



Fig. 9 Elements of Shijia Hutong's autonomy system



Fig. 10 Lecture about Shijiahutong's history in the Hutong Museum (Photographer: HU Xinyu)



Fig. 11 Conversation between stakeholders (Photographer: HU Xinyu)



Fig. 12 Hanging-lotus Gate of No.45 Shijiahutong (Photographer: TAM Lui)

Conclusion

To round up, China's current state of public participation is at a critical moment. More and more heritage is being acknowledged. Heritage conservation cannot and should not be only a top-down movement anymore. On the other hand, public awareness is being aroused. More and more people are willing to take part in the process, both the stakeholders and the general public. Power should be handed down to the public. When it comes to public interest, for example, conservation of public monuments being one of them, there should be a channel for the public to express their opinions knowing that their opinions will be taken into account. Social groups have to be independent and encouraged by the decision makers. More importantly, the communities should be empowered and encouraged to manage their own heritage with professional guidance.

It's probably not possible to present a blueprint of the future of China's public participation in cultural heritage conservation. But maybe a few forward thinking steps would be more helpful and practical:

- Legislation support is essential to encouraging the public to take part in the conservation process. More detailed laws and regulations should be established. Specifically the right for the public to participate should be legislated and the necessity of public participation and supervision in the decision making process should be emphasized. More and better channels should be created for the public to express their opinions and to participate, and the channels should be kept clear and open.
- The community should be empowered to participate in the decision making process in the management of cultural heritage. Before this step, communities need to be reconstructed. Only when the tie within a community is strengthened, can they actually take part in the decision making process.
- Last but not least, public education about cultural heritage should be encouraged and promoted. Only when people get to know their own heritage, would they love and take action to protect their own heritage. And our vision may gradually become actuality.

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Conference Discussion

Discussion on May 5th , 2014

On the International Charter (the Venice Charter) and National Principles

Dinu Bumbaru: What I'd like to discuss is not about the future but about the disciplinary context in which the global principles were established. If we look at the Venice Charter, we will realize that it is obviously centered on technicians.

Christopher Young: From the Architectural background.

Dinu Bumbaru: So the question is who has the voice. Some of the principles in the Charter are biased. We tend to believe that the statements or principles are absolute but they are indeed biased to varying degrees. Although we can overcome those biases, we do need to be cautious with such biased messages. In fact, circumstances may vary from country to country. Architects may have a bigger voice in one country while archaeologists in another. In some countries, it may well be history, geography and other disciplines that predominate. That's why I hope we can address the issue of cultural heritage conservation from a disciplinary perspective.

The second question is based on what we touched upon earlier – the role of management in cultural heritage conservation. As we know, management is about breaking down larger tasks into smaller ones and making adjustments according to the characteristics of those subtasks. A potential consequence of such a model is that we may not see the forest for the trees, that is, we could pay too much attention to details and forget about the bigger picture. I'm talking about this as a point for discussion and would love to hear your opinions on this issue.

Zheng Jun: I wanted to talk about an issue – actually, it is more of an idea that I wanted to share. What we have been discussing are mainstream conservation concepts. But as we know, people in some parts of China and other countries have their own local traditions of conservation. These traditions have not been put down in words but local people have been able to pass them down from generation to generation. For example, some forests in Yunnan Province are thought to be the habitats of ancestors, which is exactly why those forests have been well protected. There is no need for national legislation or local government planning. The local people themselves can conduct voluntary, effective conservation. What I'm trying to say is that we shouldn't ignore those conservation concepts and methods that are seemingly insignificant or non-mainstream.

Nobuko Inaba: Thank you all for your discussion. I think our discussion is not just about cultural heritage conservation but can be extended to daily life. Of course, the Venice Charter is not an unchangeable, rigid document; rather, it is flexible. It discusses management at the global and community levels. I believe, with the Venice Charter in place, we need to think about the next step we should take. For example, what kind of charter do we need going forward? We may need one or more or a series of documents. We could even use cultural heritage conservation to inspire the public to reflect on how sustainable development is related to cultural traditions or daily life.

Joseph King: One of the points raised by Inaba which made me think of another issue. Twenty years ago, conservation was relatively easy. If we wanted to protect a heritage site, we would establish a control area around it. It was easy to decide what to protect at that time but now it's getting more complicated, especially for living heritage sites. I have a Sri Lankan colleague at ICCROM and we disagree with each other a lot. As a Buddhist, he is very open-minded. He told me that such Buddhist concepts as rebirth and reincarnation were incorporated into the conservation of local religious buildings in Sri Lanka. And I thought that was an incredible way of thinking. On the one hand, we can focus our attention on very small areas to look for clear solutions on cultural heritage conservation. On the other hand, we should also realize that we professionals are no longer the only participants in conservation; the public is increasingly engaged. We're seeing the politicization and socialization of heritage conservation— the process of conservation can bring social, economic and political benefits to the public. And those processes themselves will make conservation more complicated, which could be good or bad. Anyway, that is the reality we need to face.

Lu Zhou: Since we signed the Convention in 1954, a country's cultural heritage is now seen as belonging to the international community, which has served as the foundation for a series of principles and standards and guided our conservation efforts. Going back to the issue of cultural background or context, I believe that the value of a heritage site belongs to the local communities. The most important thing is to bring benefits to local people. There are many different opinions on cultural context and cultural diversity. For example, Sri Lankans accept that pagodas should be continually renewed because of their belief in reincarnation. And I'd like to share with you another example. Once we visited a village with a beautiful ancient tower, which served as a community center before being listed as a cultural heritage site. People used to light a fire in the tower to keep warm in winter. But then the tower became a heritage site and the government decided to protect it, forbidding people to enter the tower and to light fires inside. So the tower lost its original value. If we do everything by the book, such problems will arise again and again. In fact, we suggested the local government to restore the tower's function as a community center and they followed our advice.

Sharon Sullivan: I think those who drafted the Venice Charter were concerned about old, commemorative monuments and paid more attention to aesthetic value and historical value than to other values. Of course, that was appropriate for the conservation of monuments. But as the concept of "heritage site" enlarges, our understanding of value has also expanded. Sometimes we may not be able to see all the values of a site. Now governments encounter problems as they enforce cultural heritage conservation laws, as illustrated in the example mentioned by Professor Lu. We assess a site and accordingly decide how to conserve it. But its original values may not be protected because our assessment is problematic in the first place – we may only see certain values among a wide range of values. Speaking from my experience, I don't think we can please everyone or conserve every value of a site – of course, sometime that could be a result of funding issues. Now we are trying to encourage discussions for experts and communities together to talk about the values they care about. This is a more inclusive approach. In order for it to succeed, experts need to be good listeners, that is, they need to listen more to what others are saying while explaining to others their own opinions. My personal experience tells me that most of the people who are interested in cultural heritage would be happy to see experts get involved and offer proper conservation methods. And the "communities" we talk about are not simply local communities because those who are most relevant to a heritage site may not live next to the site. That is why we use the plural form of the word, "communities" – we need many groups of people to get involved. For example, experts are the best informed group and have always been tasked with assisting the society in truthfully expressing the values of heritage sites. We can say that experts engage in conservation in an "artificial" way. That means we need to rely on technical tools to do conservation. But it also means we

use our work to fill those gaps in the process of cultural tradition inheritance. Experts used to tell people what to do but now they can get useful information from other communities. And last but not least, I'd like to point out that the current value-based conservation model is the same as all the other models in that it may be abused and become dangerous.

Christopher Young: First, the Venice Charter is very flexible. An architect friend of mine once said that the Charter was a manifesto of constructing modern buildings with historical methods. The European Council has a framework document on heritage sites that says a place can be recognized as a heritage site as long as a community sees it as one. That is an idea that originated from Southeast Europe in the early 1990s.

An issue we need to consider is whether we need more charters. Some charters, for example the Venice Charter, have adapted and survived but others have been phased out by the international community like those species that have become extinct in evolution. Therefore, we need to think about whether we need new charters. Sometimes some simple, regional and more specific documents, like the China Principles, can better meet our current needs. We shouldn't blindly develop new charters.

Joseph King: I'd like to share with you some of my thoughts about the Venice Charter. Now many people see it as an international charter – that is something we need to think about. I'm from the United States, and American conservation approach is a very different way from the Charter. When I was studying for my master's degree at the University of Pennsylvania, I was told that we could replace a whole part of a building. But that would be totally unacceptable in Italy. So the Venice Charter is faced with different kinds of constraints when it is applied in different regions. The use of the term "international standards" could be dangerous because international standards may not exist. Modern technologies are allowed in some regions but not in others. So I don't think we should see the Charter as a set of completely international principles.

Nobuko Inaba: I believe all international principles should come from local experiences or common issues facing all countries. So I'm thinking about what some of the common issues are for the international community. And in the case of China, the country has its own principles and needs to consider what issues are facing all the different heritage sites across the country.

Dinu Bumbaru: It could be a good thing or a bad thing to designate a site as an official heritage site because many things may change after the designation. Before a site is designated as a heritage site, all of its values are at the same level. But once the designation is completed, some values may be deemed superior to others, which could lead to "less important" values being overlooked. In Canada, the government is required to ask the owner of a site for his/her permission before designation. So there is this issue of conflicts between public and private ownership. What we need to realize is that the utilization of a heritage site is an important value of the site. In fact, in many cases, land owners including developers do not want to see their properties designated as heritage sites. But in some countries, designation is considered an honor. People want their land to be listed as heritage sites.

Zheng Jun: Heritage sites are not renewable. We should keep that in mind when we conduct conservation.

Discussion on May 6th, 2014

On the Future Direction of Cultural Heritage Conservation

Lu Zhou: After two days' presentations, I think we can have a review and discussion on what we have talked about. We have talked about the Charter, principles and related conservation practices as well as the impact of the China Principles. Joseph, as someone who works for an international conservation organization, what do you think about the future of cultural heritage conservation?

Joseph King: That is a big question. In my opinion, the future direction of cultural heritage conservation will change as people expand their horizons and as the world becomes more complicated. The World Heritage Convention is losing its importance to some extent because the definition of cultural heritage is constantly expanding and cultural heritage conservation is becoming more local, community and public-oriented. Experts should help community members to better understand themselves at different levels and from different angles. I think that is where we are heading.

Lu Zhou: I'd like to ask Professor Inaba and Guo Zhan the same question because you both witnessed the birth of the Nara Document. What do you think of the Nara Document's objective? What role does the Document play in cultural heritage conservation today?

Nobuko Inaba: One of the things that Japan considered when drafting the Nara Document was how to display the characteristics of Japan's own conservation model and how to understand the connection between Japan's own model and the Venice Charter. The Nara Document enshrines the concept of authenticity, which stems from Japan's own research in conservation and demonstrates Japan's reflections on the Venice Charter. The Nara Document tries to promote a better understanding of cultural diversity in the field of conservation, that is, to value the input of not only the Italians but the Norwegians, the Japanese and people from the New World. I think, in the past twenty years, the Nara Document and the global strategy proposed by the UNESCO have been partially realized. We have seen some progress in the resolution of such issues as the relationship between local governments and conservation, the role of local governments in heritage conservation etc.

Guo Zhan: As a Chinese that participated in the establishment of the Nara Document in 1994, I have to say that was a hard task for me. The Document itself was drafted in 1994 but it is said that Japan had spent nearly 10 years preparing for it. In Japan's conservation community, the Venice Charter is believed to be borne out of the Western context. Many academics have argued that it would need to incorporate more universal values. When it comes to the Nara Document, opinions are divided among international scholars as well. Some think it's very good while others consider it unsatisfactory: the Document covers a wide range of ideas but seems to fail to address many issues except cultural diversity. When I talked about the Nara Document with Professor Herb Stovel from Canada, he said the cultural diversity of this document would allow for more varied approaches to conservation. Herb also shared with me his thoughts on the first China Principles. He said the China Principles was based on the Western context instead of the Chinese one.

And for the future of conservation, I believe some fundamental principles for conservation will persist, such as the value system composed of artistic value, historical value and others. Perhaps we will interpret those basic principles in more diverse ways but I don't think they will easily change as the foundation of

conservation research and practices. Meanwhile, I think there will be more ways to practice conservation.

Dinu Bumbaru: The ambiguity and accuracy of words are a noteworthy issue. For example, the English word “value” and the French word *valeur* have different meanings. In fact, since the end of the Cold War, we have been making a transition from a single set of universal values to a diversity of values. For example, some of the universal values proposed in the Venice charter were later adjusted in the Nara Document. Japan has been pushing for this kind of transition and the Nara Document is the result of such efforts. Of course, we also need to be aware that Japan has been trying to gain a bigger voice and express itself as a country with a distinct culture. But there are still many countries and regions around the world that do not have the power to be heard. I don’t think we can conclude that the Nara Document represents a set of international principles because I believe principles need to survive the test of time to be recognized as “international” – the Venice Charter, for example, has been tested by two generations. I think principles should be higher than guidelines. Principles need to be better understood by more people. They also need to be simpler and applicable at various levels.

Christopher Young: Speaking of heritage conservation, I think every generation has the right to define heritage in its own way regardless of what we now think of our cultural heritage. In the past twenty years, local communities have gained the power to define heritage and started to intervene in the management and conservation of cultural heritage. Thus, the management of heritage sites is now based on a wider range of values. Reaching out to local communities, experts are no longer decision-makers but organizers in heritage conservation. And communities have also started to participate in the decision-making process and public surveys have become important. A positive consequence of this trend is that people now care more about their local cultural heritage. And conservation has returned to the context or setting where it first emerged. For the World Heritage Convention, the nomination of World Heritage Sites has elicited widespread interest and imagination. We need to think about why. The World Heritage Convention also requires us to pay more attention to the needs of local communities.

Moreover, as a result of the recent economic crisis, governments have cut their financial support for heritage conservation. The British government has recently slashed its funding for English Heritage by 40%, which means we need to do more with less money.

Sharon Sullivan: Due to their dwindling interest in cultural heritage, governments sometimes adopt policies that ignore or even harm heritage conservation. It may not simply be a result of underfunding because governments (or government departments) have different priorities. Cultural heritage conservation should be based on understanding or communal and cultural consensus instead of constraints imposed by laws and regulations. So a key area for us to work on in the future will be to arouse communities’ interest and channel their willingness to conserve.

In addition, as global economic power shifts, Asia is becoming the dominant player in the world. In the near future, China will eventually become a global rule-maker, which is very exciting but also means that China will need to shoulder more responsibility. We’re seeing the same trend in the field of heritage conservation and that is leading the development and transformation of how we think of conservation. More power and influence will require more responsibility and bring more work to do. I hope China can shoulder more responsibility in heritage conservation going forward.

I believe national principles need to address the rationale behind conservation, that is, why we need to conserve. The old version of China Principles focuses more on physical materials so the new version needs to

cover a wider range of issues and pay more attention to the intangible aspects of heritage sites.

Joseph King: Many people used to believe that “universal values” could not change. But in fact, recent developments have shown that the principles for conservation are constantly evolving and renewing.

Some people see cultural diversity in the Nara Document. But I don’t think that’s the point. I believe the most important thing in the Nara Document is its discussion about authenticity, that is, to examine authenticity from different cultural backgrounds. You could do it from a physical and material angle or a spiritual and emotional perspective. I like discussing authenticity at a spiritual and emotional level. I often say in training programs that spirits and feelings cannot be clearly defined and managed but we do feel those things in a very real way.

And I agree with Sharon on the role of Asia. Actually, the focus of the world is shifting toward the East. And that shift is not just about power or economics but about innovative ways of thinking as well.

Nobuko Inaba: We now believe that natural heritage and cultural heritage are inseparable as a whole. We may continue to use the word “value” but not necessarily “authenticity”. We need to give it a better definition before deciding to continue to use “authenticity”.

Joseph King: “Value” is definitely here to stay and I think we can continue using “authenticity”.

Christopher Young: Value is about why a thing is important. Authenticity is about historical witnesses.

Sharon Sullivan: Authenticity also includes interpretation.

Lu Zhou: I’d like to direct this question to Wang Xudong. As the only person in this room that manages a World Heritage Site, could you share with us your thoughts and advice for the China Principles?

Wang Xudong: As the only one from a World Heritage Site, I have been working at the Mogao Grottoes for 23 years. It was through the Venice Charter that I first knew about heritage conservation – I read the Charter in the training session that Sharon offered for the Yungang Grottoes. The first article of the Venice Charter is about regular maintenance. We have always been doing regular maintenance at the Mogao Grottoes but didn’t see it as a very important part of our work. Many believe repair work is what really matters but ignore regular maintenance. If you look at the China Principles, you will see that it also emphasizes regular maintenance, which we now know is the most important and most effective method of conservation. Although we put great emphasis on regular maintenance in the Mogao Grottoes, many other heritage sites in China do not. Why? I believe that’s because the West has completed most of its rescue interventions – in fact, that was already the case when the Venice Charter was established. But in China many officially declared protected sites still have much rescue work to do and they don’t have the people to do regular maintenance. Regular maintenance, monitoring and smaller treatments can solve many problems, which is in line with the principle of minimal intervention. Many rescue projects in China have the problem of excessive intervention but that may be because people have no other choice. I have worked in several provinces across China. Speaking from my experience, I would say that many local management agencies of heritage sites tend to sit back and relax after their rescue projects are done, paying little attention to regular maintenance. But regular maintenance, in my opinion, should be a prerequisite for the implementation of such principles as authenticity and integrity.

Guo Zhan: When I was in Beijing in 2007 for the conference on the Beijing Document, a Japanese colleague also emphasized the importance of regular maintenance. He said there was an imperial edict in 6th-century Japan which mentioned that repair and maintenance should be done on a regular basis. We don’t have to wait

for a small problem to become something so big that an overhaul is needed.

Lu Zhou: We have talked about many issues, from the implementation of the principles to the tangible and intangible aspects of heritage. I think this kind of discussion is very important because heritage conservation is constantly evolving and is always closely related to our life. That means, as professionals working in this field, we are faced with significant challenges and have new responsibilities. I hope we will engage in and benefit from more discussions like this in the future.

Introduction of the organizations

National Heritage Center of Tsinghua University (THU-NHC)

The National Heritage Center of Tsinghua University was founded in 2008. THU-NHC serves as an important platform for experts to undertake national cultural and natural heritage research projects and to promote conservation practice in China. THU-NHC works on site, historic city, landscape heritage and natural heritage conservation. It takes part in key national projects, leading the forefront of this field.

Some of NHC's past projects include: The World Heritage nomination dossier of the Wutai Mountains, consultation and preparation work of world heritage application for Wudalianchi Scenic Area, Nihengliang Hongshan Cultural Heritage, Gulangyu Island, Lingqu canal and Beijing Central Axis; traditional architectural craftsmanship conservation project in the Palace Museum; Fuzhou *Three Alleys -Seven Lanes* historic district conservation and planning work. The last project won the Best Innovation Award from the Department of Culture in 2009. After the '5.12' Wenchuan earthquake in 2008, THU-NHC took on its shoulder in no time the rescue planning and restoration design of Dujiangyan Er'wang Temple and Fulong Temple, which are the most important parts of the cultural heritage rescue project. The project finished with honored award from UNESCO Asian-Pacific center. THU-NHC also participates in developing the application of UNESCO creative city network in China, in order to turn the heritage resources into a major driving force in the urban industrial structure adjustment and urban sustainable development.

GWY Cultural Heritage Conservation Center

GWY Cultural Heritage Conservation Center, formally known as the Cultural Heritage Conservation Center under the Architectural Design Institute and Urban Planning Institute of Tsinghua University, was founded in 2004.

In 2013, the center was renamed to GWY Cultural Heritage Conservation Center and reformed as an independent institute under the State Administration of Cultural Heritage. This change is an important measure for the State Administration of Cultural Heritage to better use the market mechanisms integrating resources and strength, thus to improve the quality of the protection of cultural heritage.

The center keeps its multi-disciplinary and international traditions from its university time, aims at spreading the up-to-date conservation thinking, improving the working methodologies in conservation practice, and introducing new technology into the field. The center's scope of work includes: conservation of tangible and intangible heritage, heritage site master planning, conservation survey and design, interpretation planning for site and museum, heritage related research.

The center's Department of Research and Development has long worked with NHC-THU on the innovation and dissemination of conservation theory, methodology and technology, as well as world heritage related theory and practice. It has undertaken research projects entrusted by the Ministry of Science and Technology, State Administration of Cultural Heritage, and other national foundations.

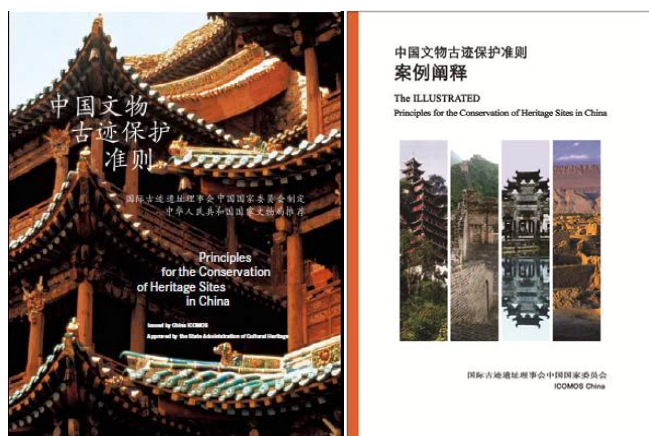
Introduction to the research

Research supported by the National Natural Science Foundation of China

Review of ten years' application of the China Principles and study on its future directions

The *Principles for the Conservation of Heritage Sites in China* (*China Principles* for short) is a national guidance on cultural heritage conservation issued by China ICOMOS and approved by the State Administration of Cultural Heritage of China in 2000. It is a professional interpretation of the national law and regulations on cultural heritage conservation, and an important assessment and guidance on conservation practices. The *China Principles* takes the international principles as a reference, considering the current situation of China heritage conservation in the new millennium, its content includes: the general principles, the conservation process, the conservation principles, the conservation interventions and other aspects.

With the rapid economic and social development in China, achievements have been made and great changes have taken place in the field of cultural heritage conservation since 2000. New challenges have arisen that have required a revision of the China Principles.



Right at the time of the China Principles' revision, the research project '*Review of Ten Years' Application of the China Principles and Study on Its Future Directions*' is launched in 2011. This research is supported by the National Natural Science Foundation of China. It intends to investigate the implementation and effect of the China Principles by actual cases, analysis the problems and challenges in the current context of heritage conservation in China, then compares the differences and similarities of worldwide national

conservation guidance (their aims, backgrounds, revision directions, best-practice cases and their management system), in order to explore the possible development directions of national cultural heritage conservation guidance in China.

The main contents of the research include:

- The implementation effect of the *China Principles*
- The practical challenges and theoretical development of cultural heritage conservation in China (from 2000 to present)
- The international cultural heritage conservation theory development (from 2000 to present)
- Comparative analysis on the national cultural heritage conservation guidance of foreign countries
- The discussion on the future development directions of cultural heritage conservation in China

List of past research projects

Some of these research reports are available in English and Chinese. Please contact us for further information.

- *The Illustrated Principles for the Conservation of Heritage Sites in China* (2004-2005)
- Study of the Conservation of China's World Heritage and Economic Development at World Heritage Sites (2009-2011)
- Study on the Nomination of Cultural Routes for the World Heritage List (2009-2010)
- Guidelines for Managing the Conservation and Use of Vernacular Architecture (2013-2014)
- Guidelines on Documentation During Wooden Architecture Restoration Projects (2005-present)

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