

**PROMOTING INTEGRATED HERITAGE CONSERVATION AND  
MANAGEMENT IN IRAQI KURDISTAN REGION**

**APPLICABILITY OF VALUES-BASED APPROACH;  
THE CASE STUDY OF AKRE AND AMEDY CITY IN DUHOK PROVINCE**

Dissertation submitted

By:

Shireen Y. Ismael

To the Faculty of Spatial Planning of Technical University of Dortmund (TU Dortmund) in  
fulfilment of the requirements of the degree of Doctor of Engineering (Dr.-Ing.)

**January, 2015**

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Technical University of Dortmund, Germany*

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**Date of Disputation: December 19, 2014**

## **Declaration**

I, hereby declare that all information in this document has been obtained and presented in accordance with academic rules and ethical conduct. I also declare that, as required by these rules and conduct, I have fully cited and referenced all materials and results that are original to this work.

Dortmund, Germany

September, 2014

Shireen Y. Ismael

## **Dedication**

*..... To My Lovely Family*

## **Acknowledgements**

I am grateful to my supervisors: Prof. Christa Reicher and Prof. Dietwald Gruehn. Also, I am indebted to Dr. Asmat Khalid, my external examiner from Kurdistan Region. This work would never have been accomplished without their help and supervision.

I was privileged to participate in the project of ‘Spatial Planning through Intercultural Dialogue’ funded by the DAAD and coordinated by the Faculty of Spatial Planning at TU Dortmund University. I am thankful for this opportunity that motivated me to pursue my doctoral research. I was lucky to interact and develop networks of knowledge exchange with many colleagues from German and Middle East-based Universities.

I would like to acknowledge the colleagues and mentors at Duhok University, especially Prof. Nizar, Dr. Khalil, Dr. Zebari, Dr. Aboush, and Dr. Heja for their continuous support to fulfil my doctoral research.

I was fortunate to cooperate with engaged participants from governmental and non-governmental organisations in the context of my research, especially in Akre and Amedy cities.

I would like to thank all my PhD fellows at the Faculty of Spatial Planning, including: Genet, Ismael, Aqeel, and Ahmad. Also, I would like to thank my friends who supported me technically and emotionally, especially: Farsat, Viktoria, Jambali, and Saman.

Finally, a special acknowledgment is due to the Ministry of Higher Education and Scientific Research in the Iraqi Kurdistan Region for their financial support to carry out my doctoral research.

## Abstract

Nowadays, heritage is perceived as an invaluable asset that can preserve peoples' identity and generate wealth. The role of heritage conservation in promoting sustainable development has been widely acknowledged. Yet, it is a cross-disciplinary issue, which should be integrated into urban and regional planning and related policies. To facilitate the integration process, it is necessary to understand and consider all the values that are attributed to heritage sites along with an active involvement of all relevant stakeholders as a first step in the conservation process. These are the basic principles of what is known as "values-based approach" to heritage conservation and management. This approach is fundamentally supported in theoretical discussions as a recent robust mode of integrated approaches, while its effectiveness in practice is constantly debated, a problem this study is dealing with.

Historically, Iraq was pioneer in setting laws and regulations and adopting international guidelines and conventions regarding heritage including specific standards for sites that possess a unique value. Nonetheless, the rich urban heritage that represents different ethnics and religions in Iraqi Kurdistan Region has long been suffering from deterioration due to various processes.

This thesis describes the current condition of heritage sites and the extent to which it has been treated in an integrated manner. In addition, it identifies the relationship among the involved stakeholders and analyses the perceptions of local residents toward the interventions and performance of the government in relation to conservation of heritage. At the end, the study explores the applicability of values-based approach in the context of Kurdistan Region.

The methodological approach adopted in this thesis follows a case study design. Based on a series of criteria, the study has selected the cities Akre and Amedy in Kurdistan Region. The study uses both quantitative and qualitative research techniques, including: document and archive analysis, observation, semi-structured interviews, and questionnaires. It also uses workshops to investigate the applicability of values-based approach in real contextual condition.

Based on these two cities, i.e. Akre and Amedy, the research finds out that heritage in Kurdistan Region is threatened due to the rapid changes of heritage sites, which are caused by on-going private and governmental projects in the absence of clear conservation plans and adequate legal instruments. Moreover, land use planning and tourism related activities are taking place without integration of conservation plans especially those related to cultural heritage sites, and adequate coordination, cooperation and communication among relevant stakeholders. At the same time, local residents perceive heritage conservation as an important task and demand active involvement in the conservation process.

The research findings confirm that one of the main factors in applying values-based approach is stakeholders' willingness to participate in the process. Moreover, the practice of selecting sites and identifying their values represents an appropriate procedure to enhance stakeholders understanding of the conservation needs and their different perspectives. It also encourages stakeholders to think more holistically of the site's potentials, facilitates evolvement of many ideas for the site management, and builds trust especially between residents and government staff. Further, the process opens an opportunity for diverse groups to reinforce their identity.

In conclusion, values-based approach is convenient for the current context of Kurdistan as this region is in the process of making political changes and identity-building phase. However, the extent of success is situational depending on the characteristics of stakeholders, institutional arrangements and other changes which might develop in the future.

**Keywords:** urban heritage, sustainable development, values-based approach, Iraqi Kurdistan Region, stakeholders, identity building.

## Kurzfassung

In heutiger Zeit wird das ‚Urbane Erbe‘ als ein immenser Wert eingeschätzt, der nicht nur die Identität eines Volkes bewahren hilft, sondern auch zum nationalen Wohlstand beitragen kann. Ebenso ist der Beitrag zur nachhaltigen Entwicklung, der mit der Erhaltung dieses Erbes einhergeht, weitgehend anerkannt. Außerdem ist unbestritten, dass es sich bei der Erhaltung des Urbanen Erbes um ein Disziplin übergreifendes Thema handelt, das unbedingt in die Stadt- und Regionalplanung sowie in entsprechende Politikfelder integriert werden muss. Um diesen Integrationsprozess zu erleichtern ist es vor allem notwendig, die Werte der Standorte des Urbanen Erbes zu verstehen und als solche zu berücksichtigen und gleichzeitig und vom ersten Schritt des Erhaltungsprozesses an alle Schlüsselpersonen aktiv einzubeziehen. Dies sind die grundlegenden Prinzipien der sogenannten wertebasierenden Herangehensweise bei Erhaltung und Management des Urbanen Erbes. Dieses Vorgehen wird auch in der grundlegenden theoretischen Auseinandersetzung gestützt und nach jüngstem Verständnis als eine gute Methode eines integrierten Ansatzes angesehen, während der praktische Erfolg noch zur Diskussion steht, ein Problem, das durch diese Untersuchung erstmals aufgegriffen wird.

Historisch gesehen hat der Irak Pionierleistungen bei der Formulierung von Gesetzen und Regelungen, sowie bei der Übernahme von internationalen Leitlinien und Konventionen zum Urbanen Erbe erbracht, was darüber hinaus die Formulierung besonderer Standards für Standorte von einzigartigem Wert einschloss. Nichtsdestoweniger hat das reiche Urbane Erbe in der Irakischen Region Kurdistan, das verschiedene Ethnien und Religionen widerspiegelt, wegen verschiedener Umstände stark unter Verfall und Werteverlust gelitten.

Die vorliegende Doktorarbeit beschreibt die gegenwärtigen Umstände und Bedingungen der Stätten des Urbanen Erbes und untersucht, bis zu welchem Grad diese in einer integrierten Art und Weise behandelt worden sind. Außerdem wird die Beziehung zwischen den beteiligten Akteuren herausgearbeitet sowie aufgezeigt, wie die örtlichen Bewohner Eingriffe und Darstellungen der Regierung bezüglich der Erhaltung des Urbanen Erbes wahrnehmen. Abschließend wird in der Untersuchung die Anwendbarkeit des wertorientierten Ansatzes unter realen Bedingungen der Irakischen Region Kurdistan überprüft.

Die methodische Herangehensweise dieser Arbeit folgt dem Ansatz der Fallstudie. Nach verschiedensten Kriterien wurden die Städte Akre und Amedy in der Region Kurdistan ausgewählt. Es wurden sowohl quantitative als auch qualitative Untersuchungsmethoden verwendet, darunter: Dokumenten- und Archivanalysen, Raumbesichtigung, halbstrukturierte Interviews und Fragebögen. Darüber hinaus wurden Workshops durchgeführt, um die Anwendbarkeit des wertorientierten Ansatzes unter realen Bedingungen zu überprüfen.

Auf der Basis dieser beiden Städte, nämlich Akre und Amedy, kommt die Untersuchung zunächst zu dem Ergebnis, dass das Urbane Erbe der Region Kurdistan von raschen Veränderungen der Standorte durch fortlaufende private und öffentliche Projekte bedroht ist, weil klare Erhaltungspläne und adäquate legale Instrumente fehlen. Darüber hinaus treten Flächennutzungspläne und Tourismusprojekte in Kraft ohne Integration der Erhaltungspläne, besonders an den Standorten des Urbanen Erbes, und ohne entsprechende Koordination, Kooperation oder Kommunikation zwischen den relevanten Schlüsselpersonen. Gleichmaßen kommt die Studie zu dem Ergebnis, dass die örtlichen Bewohner die Erhaltung des Urbanen Erbes als eine wichtige Aufgabe anerkennen und eine aktive Beteiligung am Erhaltungsprozess einfordern.

Die Ergebnisse der Forschung bestätigen außerdem, dass die Bereitschaft der Schlüsselpersonen zu aktiver Beteiligung an dem Prozess eine der wichtigsten Voraussetzungen für die Anwendung des wertebasierten Ansatzes darstellt.

Ferner stellt die praktisch durchgeführte Auswahl der Standorte und die Erforschung ihres Wertes eine erfolgreiche Vorgehensweise dar, um bei den Schlüsselpersonen das Verständnis für die Notwendigkeit der Erhaltung und seine verschiedenen Perspektiven zu erweitern. Solch ein Vorgehen ermutigt die beteiligten Schlüsselpersonen, ganzheitlich über die Potentiale dieser Standorte nachzudenken, befördert die Entwicklung vielseitiger Ideen für das Management und wirkt vertrauensbildend zwischen den Bewohnern und den staatlichen Fachleuten. Schließlich öffnet dieser Prozess die Chance für diverse Gruppen, sich ihrer Identität bestärkt zu versichern.

Abschließend wird festgestellt, dass der wertebasierte Ansatz auf die heutige Lage in Kurdistan genauestens zugeschnitten ist, weil diese Region sich aktuell in einem Prozess politischer Veränderungen und neuer Identitätsbildung befindet. Grundsätzlich bleibt aber der Grad des Erfolges situationsbedingt abhängig von den Voraussetzungen der Schlüsselpersonen, den institutionellen Bedingungen und anderen Veränderungen, die die Zukunft bestimmen.

**Keywords:** Urbanes Erbe, nachhaltige Entwicklung, wertebasierende Herangehensweise, Irakische Region Kurdistan, Schlüsselpersonen, Identitätsbildung



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## **List of Abbreviations**

DDC	Duhok Development Centre
FAO	Food and Agriculture Organisation
GDP	Gross Domestic Product
GIS	Geographical Information System
HUL	Historic Urban Landscape
IAU	Inter-Agency Information and Analysis Unit
ICCROM	International Centre for the Study of the Preservation & Restoration of Cultural Property
IDP	Internally Displaced Person
KRG	Kurdistan Regional Government
KRSO	Kurdistan Regional Statistics Office
MoP	Ministry of Planning
PC	Provincial Council
RTI	Research Triangle International
SBAH	State Board of Antiquities and Heritage
UNAMI	United Nations Assistance Mission for Iraq
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UN-Habitat	United Nations Human Settlements Programme
UNHCR	United Nations High Commissioner for Refugees
USAID	United States Agency for International Development
WB	World Bank
WFP	World Food Programme

## Chapter 1: Background of the Research

### 1.1. Research Motivation:

My motivation to undertake this research dated back to mid-90s. At that time, I was working as engineer for the Presidency of Duhok Municipality and was in charge of master plan implementation process. During that period I found out that heritage conservation issues were totally neglected. The historic centre of Duhok city, consisted of the Jewish, Christian, and Shele quarters, was destroyed by the new high-rise buildings.

In my position as the head of Master plan Implementation Department of Duhok Municipality, it was difficult to change the status of heritage conservation. Even though I tried to inform and make the responsible directory, i.e. Directorate of Antiquities and Traditions, aware of the danger that heritage conservation is facing. One of the challenges was that the responsibilities related to heritage conservation matters are fragmented between different agencies. In particular, the design of detailed heritage conservation strategy is rather complex, as different government agencies prepare different plans depending on their institutional interests for a particular site. In addition, at that time, the environment for information exchange between different agencies was not conducive. One of the reasons for the weak information exchange was the working culture of the agencies, affected by the former centralised system. Also, decisions on matters related to urban development were done at the national level, and often supported the state's political and security interests, and rarely took into consideration the views of local government and people (United Nations Development Group/World Bank (UNDG/WB), 2003). The other key challenge is that the main planning tool is master planning. Hence, such type of technocratic planning practice remains confined to a handful of architects and town planners, which usually ignore social, economic, and ecological aspects of urban development (ibid.). Consequently, heritage conservation remained isolated planning issue. Moreover, Iraqi Kurdistan lacks the comprehensive inventories and even a proper documentation system (hard or electronic copies) of heritage sites (Research Triangle Institute-International (RTI-International), 2008). Indeed, the inventories and proper documentation of the same are the basic step in the heritage conservation process (Hutagalung & Sawe, 1982 p.12).

*"any conservation measures presuppose knowledge of what is to be conserved, it follows that the existence of an inventory of resources is essential to the formulation of effective policies and measures concerning conservation and management of heritage. Inventories also have a role to play in relation to the safeguarding of heritage, whether natural or cultural" (ibid.).*

Heritage conservation and management is also a subject which is not taken care of in the academics (i.e. archaeology and architectural studies). This fact was evident at the time I was looking for supporting methods and approach for practicing heritage conservation planning. The other important departure point in getting motivated to undertake this research was the workshop program 'spatial planning through intercultural dialogue' program (2007-2009). This program was a cooperation of TU Dortmund University with several Middle East Universities. My active participation in this program gave me an opportunity to think about the challenges facing heritage conservation planning in Iraqi Kurdistan from an academic perspective. Through those workshops, I was introduced to several analysis methods necessary for planning heritage conservation for cities in the Middle East and Europe. One of the methods, with which I get acquainted was strategic and integrated approach.

Moreover, visiting UNESCO's heritage sites in Germany motivated me to learn more about the management plans of the sites. Indeed, I begin asking questions such as, how do these plans functioning and how can one transfer such knowledge to our context.

The projects were concerning: Madaba from Jordan, Birzeit from Palestine Maaloula from Syria, Hattingen from Germany, and finally Amedy from Iraqi Kurdistan Region it was a good chance for me to be one of the partners in this program. More experience was acquired in heritage conservation from the elaboration of these case studies through lectures, exchange in knowledge and skills from different background and various planning philosophies from different countries (For more information see Reicher et al., 2010). It becomes clear the planner has to cope with the great influence of heritage conservation on urban development. Through this program I realised the need of an integrated approach in planning with respect to urban structure, economy, culture, society and the image of the city.

During the analysis of the potentials and challenges facing historic centres of the case studies, the participants had the chance to be engaged with the residents living in these historic centres, and consequently their needs and perceptions have been discussed. For me, the knowledge and information that these residents have, especially in the case of Madaba city in Jordan was a real motivation to learn from this method, and include the knowledge and information of residents in the planning process. Generally, people involvement in the planning process has been adopted in developed countries. However, this approach of planning cannot be genuinely generalised in the developing countries, because of the differences in urban problems, development status, and socio-political circumstances (Zhang, 2006).

In the context of research, Kurdistan region went through many devastating incidents and attacks on its urban heritage sites in terms of different strategies. And now it is characterised by complex conditions of high urbanisation rates. The question raised here is, would the inherited legacy of ill-structured urban heritage conservation and management in the context of research, be one of the motivations for the different concerned actors to propel the process of urban heritage conservation and management, and make the slated process of collaborative action a success story?. From another perspective, and generally speaking, planning theory, which has been the craftship of western countries, was always contingent to the time, space, and society indices. In the research context, the modern society has chosen to adopt the concepts of democracy, decentralisation, and public participation in decision making as practices of good governance. To that end, the prominent question also remains relevant and maybe more pressing, whether the adoption of collaborative practices in heritage conservation and management would be still welcomed?

## 1.2. Knowledge Gap

Heritage is a crucial and complex urban issue. It has multi-disciplinary dimensions: social, cultural, economic, and political. Many researches underscored the role that heritage has in sustainable development. Due to the complexity of tasks and relationships of actors related to heritage conservation matters, it cannot be treated in isolated manner. It should be integrated with other policies, plans and development projects (Ripp & Regensburg World Heritage, 2011). Although, Iraq as a country and Kurdistan as a region have a rich and significant heritage (culture and natural), much of the heritage has been severely deteriorated.

The Kurdish historic, archaeological and natural heritage elements are represented in architecture, natural landscape and other disciplines. They all had their share of destruction and deterioration. Many of the witnessed changes have been done by the residents and others by the government agencies through their policies and reconstruction projects.

Many valuable historical houses were demolished and replaced with new ones. Many sites are affected by construction of infrastructure. Many special landscape areas, such as agriculture lands, are destroyed by the rapid and uncontrolled urban expansion. Consequently, the image and identity of the city have been undermined. The heritage conservation efforts are not yet integrated within the urban planning apparatus.

Planning authorities in Kurdistan lack the skilled multi-disciplinary expertise required for planning (United Nations Human Settlements Programme (UN-HABITAT), 2006). Such multidisciplinary skill is essential to be able to integrate heritage conservation with the current urban planning practice. Furthermore, the inadequate coordination, cooperation, and communication among the stakeholders involved in heritage conservation; the inadequate institutional set up, overlapping responsibilities, and lacks of public participation are some of the symptoms of the prevailing problems of the planning practice in Kurdistan. Apparently, the lack of sufficient understanding about heritage and conservation issues increases the conflicts between residents and government agencies, as well as within the agencies.

These challenges have been tackled in developed countries by the adoption of collaborative and communicative practices. These practices are well linked with the approach of integrated conservation and management, since the collaborative and communicative practices promote for the integrated approach as a vehicle towards heritage sustainability (Ripp & Regensburg World Heritage, 2011). It can be concluded that collaborative practice as a governing process assists stakeholders to tackle problems and direct decisions that generally endorse new visions, and offers opportunities to implement strategies for change and leads to knowledge sharing and mutual learning. It also addresses the capacity building inside and outside organisations by enrolment of different profiles and skills or development of networks (Wanna, 2008). The preceded benefits are well evidenced in urban heritage management, resource management, tourism management, urban planning and management (Margerum 1999; Frame, 2002). Worldwide, collaborative approach is advocated as a way to make policies instead of confrontation or top-down decision-making (Innes & Booher, 2003).

Nonetheless, the emergence of collaborative planning for resource management may be a response to changing conditions of an increasingly informed society where information is widely distributed (Innes & Booher, 1999), and as a result of public interest groups discontent with unilateral decision making by government (Innes & Booher, 1999; Yaffee & Wondolleck, 2003). On the other hand, the emergence of such a prudent approach may be due to the result of the continuous existence of complex urban problems, which are mainly due to the difficulties quantifying social, economic and environmental values of an area, and not involving or incorporating the range of stakeholders and their beliefs and interests while preparing plans (Herath, 2004 cited in Ronmark, 2005).

Nevertheless, the collaborative and communicative approach was criticised for not deeply addressing issues of power, context, and characteristics of stakeholders, etc. Therefore, many researchers have developed criteria to evaluate and compare theory and practice. While, in some developing countries, collaborative and communicative approach is adopted in the field of tourism planning and management that reached in certain places some advanced stages (Nyaupane & Timothy, 2009; Jamal & Getz, 1995; Aas et al., 2005). However, there is still a crucial need for more research to explore these theories in real-world situations (Ladkin & Bertramini, 2002).

In the field of heritage conservation, one of the approaches that join both the principles of collaborative and integrated theories is the values-based approach. This approach has shifted heritage conservation and management decisions from professional arena to local community through giving right to everyone to be involved in the discussion and decision-making processes regarding what to conserve, why and how.

This will facilitate heritage conservation to be integrated with other plans (land-use, transportation, etc.). Since values-based approach to heritage conservation and management is based on the 'right to decide', agreement between groups and power to acts, and joint inputs and opinions from specialists, residents and professionals from other fields (i.e. democratisation process) (de la Torre, 2002), such principles are often not present in practice in developing countries.

This approach has been applied to a limited extent in developing countries, despite the fact that majority of heritage sites in most of these countries are owned and used by residents (Brooks, 2005). Keeping in mind, that knowledge of locals in developing countries about resources is great, and is often better than that of government officials (Vanda Alterelli, 1997 cited in Ingles et al., 1999). This sort of knowledge can be of particular importance for charting the future through collaborative process. It becomes evident that in addition to the expertise and planners knowledge, which classified as a scientific knowledge, people's knowledge who are in contact with their environment are valuable which by far made planning theory to take the above mentioned new approach (Rydin, 2007). It can be concluded that this engagement of stakeholders presumes that their voices will be heard and will seek to achieve a planning consensus, especially for those who are directly attached to urban heritage. This could be contributed to the fact that they hold historical knowledge and have political claims and emotional attachment to the locality. Such rich knowledge can contribute to the planning practice to generalise the community's claims that direct the future of its area (Alexander, 2008). This type of knowledge is of particular importance for planners who are engaged in an integrated approach of tackling complex problems, as the scientific knowledge and instruments do not always suffice alone to get the complete package of answers for their questions. The effectiveness of such a collaborative approach depends on the ability of stakeholders to create conditions favourable for its continuation (Grefe, 2004; Ashworth & Tunbridge, 1996), and make the process as an arena for co-production of knowledge between experts and users (Roux et al., 2006).

In developing countries, most of historic houses are normally concentrated in the inner parts of the city that are often in a state of physical deterioration, overcrowding and lacking services, in addition to the lack of infrastructure and poor-quality construction around these sites. Typically, most of them are dwelled by poor people, and with the clear inability of existing institutions (and finance) to provide new housing on the scale desired (Steinberg, 1996). The value and the information that these heritage sites contain is lost forever when they are destroyed (Berstein, 1994 cited in Amarilla & Conti, 2012). This indicates how important the engagement of residents is in heritage conservation and management efforts, especially in the context of Iraqi Kurdistan that lack detailed survey and documentations of sites, or any identification of site's values. Moreover, a contested period in the history of a society could be attributed to the political dimension, which causes struggle over not only the socio-economic factors, but including space, identity, and memory (Svensson, 2006). Consequently, this could generate conflict and disagreement about identification, interpretation, conservation and the use of heritage sites among various actors, especially in a multi-ethnic and multi-religious society such as Iraqi Kurdistan context.

In the context of Iraqi Kurdistan, some efforts have been exerted to engage the residents in the process of heritage conservation. Within the Oil for Food Programme of the year 1997, the UN started strengthening the institutional capacity at the local level and the involvement of residents in the decision-making of the urban development process (UNDG/WB, 2003). In the Iraqi constitution of the year 2005 these methods are represented in the notions of democracy and decentralisation. Despite these political developments, it appears that the field of heritage conservation is not yet able to tap the potentials from the constitutional provisions.

For instance, the updates in the local master plans did not include issues of heritage conservation except for some points in the recommendation. This is the same as in the government led reconstruction projects began in across Iraq.

In light of these developments and conditions, the researcher is interested in answering the question is whether the values-based approach be applicable and helps invest in the current political developments or not? In other words, would the collaborative approach help in promoting an integrated conservation and management in Iraqi Kurdistan?

### 1.3. Key Research Questions

The research problem discussed above, mainly changes within heritage site and its surroundings, stresses on the need to promote an integrated heritage conservation and management. Thus the research questions are formulated in such a way that the responses facilitate further understanding of values-based applicability as a preferred method for integrated heritage conservation and management. Consequently, following research questions could be raised:

1. What is the current condition of urban heritage in the light of factors such as population growth, urbanism and migration?
2. How do the people and government agencies recognise urban heritage (cultural and natural) as a resource in the planning and management system?
3. What are the elements that impede or assist the practice of values-based approach?
4. What are the requests for promoting integrated heritage conservation and management in the study area?

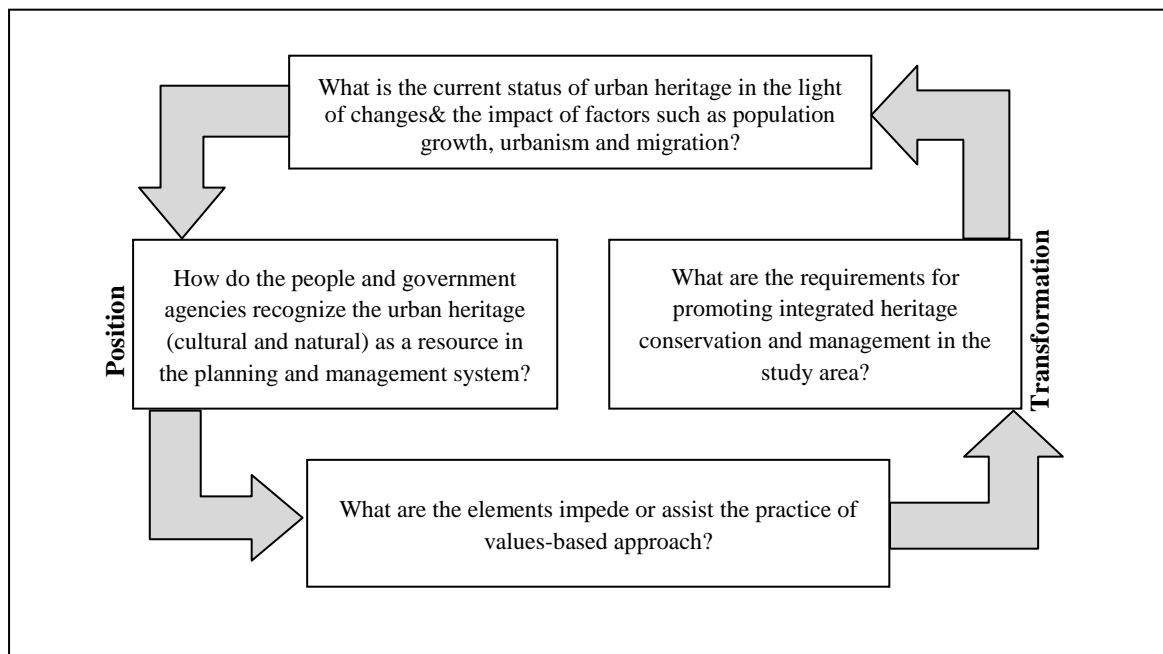


Figure 1-1: Formulation of key research questions  
Source: Own Constructed, 2012

## 1.4. Research Aims and Objectives

This research analyses the driving forces affecting heritage conservation, current level of awareness and understanding of heritage among local and related institutions staff, and the prevailing related policies. This analysis will serve as the base for the envisaged strategizing process, and implicitly for the assessment of the efficacy of such collaborative discussions. Tellingly, this research offers insights into the feasibility of using collaborative planning theory, more specifically through using values-based approach as a guide for heritage conservation and management. The values-based approach is based on adjoining between integrated approach and collaborative practices. However, this research will start with investigating urban heritage, integrated urban heritage conservation and management, and details about values-based approach for heritage conservation. Furthermore, this research investigates the role of heritage in sustainable development and the contribution of collaborative planning theory in operationalising an integrated approach. To achieve the aim of this research, four research objectives are proposed, as follows:

1. To analyse the conceptual amalgamation between integrated heritage and management and collaborative planning theories as formulated in the values-based approach.
2. To identify the level of integrated conservation and management of the urban heritage in the context of Kurdistan.
3. To explore the applicability/effectiveness of values-based approach in the real life practices.
4. To formulate guidelines towards integrated conservation and management.
5. To discuss the theory of collaborative planning and practice in the view of values- based approach.

## 1.5. Study Area

The study area is Kurdistan region. However, the whole of Iraq can benefit from it because it has the same policies, regulation, urban planning system, and agencies structure. The researcher takes two of the historic cities in Kurdistan, namely: Akre and Amedy city as the case study area (See Figure 1-2). These cities characterised by rich urban heritage (culture heritage and natural elements) (For more details see Section 8.6; 9.7; 9.8).

Kurdistan Region encompasses three governorates, namely: Duhok, Erbil and Sulaimaniyah under the jurisdiction of Kurdistan Region Government (KRG). Each of these governorates is divided into districts with a total of 26 districts. Each district is divided into sub-districts. Governorates have a capital city, while districts and sub-districts have district centres. Amedy and Akre cities are both centres of the two largest districts in Duhok Governorate

Amedy is one of the historic cities within Kurdistan Region, it is considered to be one of the oldest cities in the world. The city goes back to over 3000 years according to the oldest written records belonging to 9th century B.C., namely in the reign of the Assyrian Emperor "Adid the fifth" who ruled between 858-824 B.C. (Baqr & Sefer, 1966). The long history of Amedy city, like other cities in Mesopotamia with different civilizations, has left behind huge and valuable antiquities returning to different ages in which the city has undergone. Amedy has a unique landscape, with its location on a top of a hill plateau with its elliptical shape covering an area less than 1 km<sup>2</sup> (Ismael, 2010), surrounded by mountains. In addition, the city has an outstanding urban structure elements illustrated in its gates, walls and temple.

There are two ancient gates dating to the period of Amedy castle, the eastern Zebar Gate and the western Mosul or Saqava Gate, which is directed toward Mosul city. The city has also some other important historical remains, e.g. Zoroastrian temple, Parthian engravings, the Minaret, and Bahdinan Emirate's symbol (Baqr & Sefer, 1966). The current research will be the second step in line and build upon, the first accomplished efforts of putting Amedy on the Tentative List for the Kurdistan - Iraq according to the order of the Ministry of Culture No. 1/17/8968, data 12/11/2008.

Similarly, Akre city is considered one of the cities that has a long history that goes back to 700 B.C. Akre means “fire” in Kurdish language. The city was founded in lieu of many factors: natural, social, and the past living needs. Akre has many rich heritage elements (culture heritage and natural elements), many living historic houses in a special form distributed on a mountain hill side making a special fabric with all others urban elements, old market, mosque, large agricultural areas, and with the Akre castle, which is built at the first appearance of Akre as a centre of settlement on the hand of the Prince (Zend). All together give a significant natural and cultural landscape.

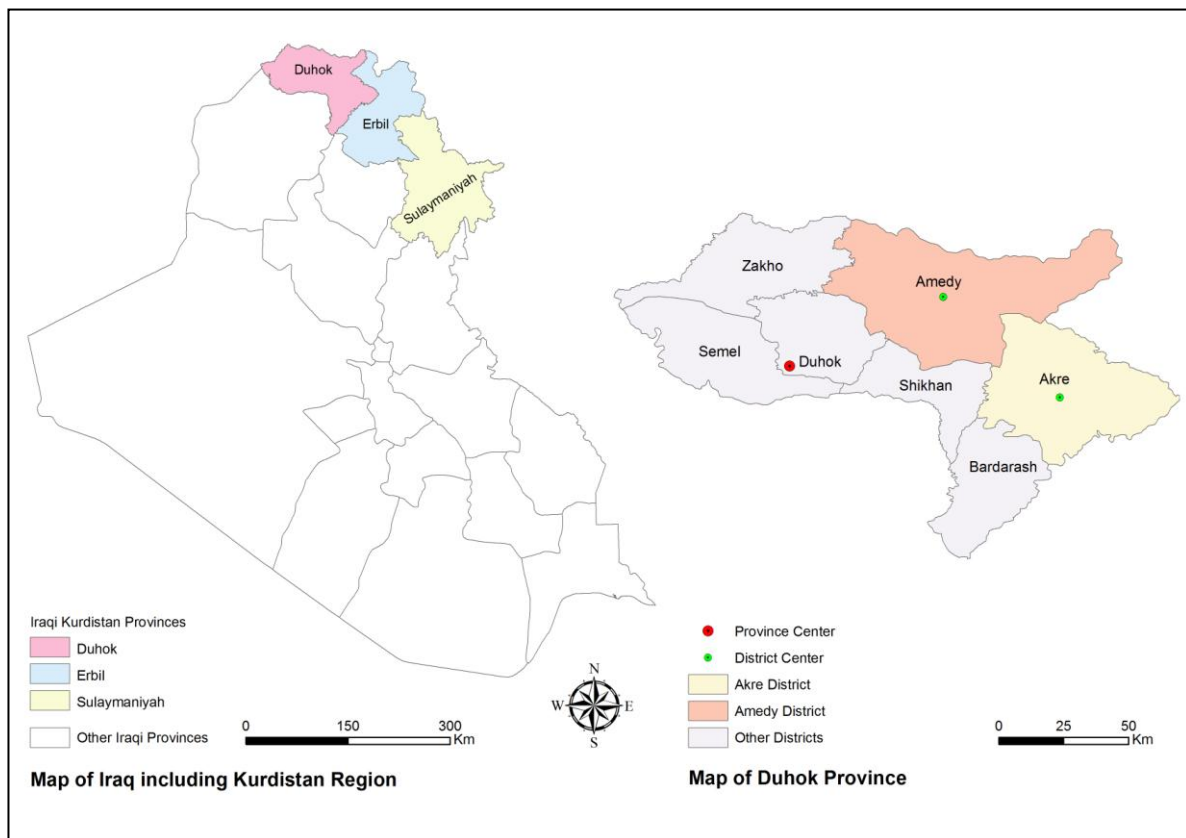


Figure 1-2: Akre & Amedy City in the Context of Duhok Province  
Source: Own Constructed, 2013

## 1.6. Significance of the Study

Iraqis have their right to be proud of their heritage and their unique position as guardians of the cradle of civilization. Also, it is their duty, to protect and conserve this heritage since it stands as their identity. The growth and development of the population and urbanisation are a major issue affecting the conservation of heritage resources in Iraq. Furthermore, the sequence of several military confrontations which engulfed the country, and the reconstruction efforts in Iraq after the 2003 war, led to many fast changes in terms of economic growth and physical transformation. Such changes were not coped with the



adequate understanding of the heritage and its conservation, also with efficient institutional arrangement. These factors had contributed negatively in the deterioration of the heritage sites both cultural and natural.

To this end, this research evolves to address the above mentioned transformations in Iraq including Kurdistan region. This research tends to raise awareness/understanding among different stakeholders on the importance of heritage conservation and it tries to enabling the environment for its strategizing and integrating through collaborative discussion and negotiation before it becomes too late. This research is designed to support, enrich, and demonstrate the applicability of values-based approach, in other words it is to explore the efficacy of the collaborative planning theory model in bridging the gap among different stakeholders in a nascent democratic-developing context.

## **1.7. Statement of Limitations**

The researcher is from the context of research and has a working experience in the city planning in Kurdistan at large. Therefore, the researcher deployed several methods to extract information and validate findings. Also, the researcher has worked in close cooperation with many stakeholders from the context of research.

Access to official documents, reports and strategies encountered multiple barriers due to the fragmented nature of organisations responsible for urban heritage management and nascent planning systems with limited number of experts, professionals and research centres, in particular information related to projects and maps further complicated the access to research related documents, especially the master-plans. It is worth mentioning that some documents used for this research are considered as classified documents by officials such as unpublished local government bylaws and master plans. However, the secrecy and confidentiality of such reports have been firmly secured in this study.

The other factor which might have influenced the result of the research is the professional background and experience of the researcher in the study area. Even though this is used in most of the research process as an advantage, it was a problem to keep up the objectivity. Hence, the fact that the researcher was investigating in area where she was working for several years, should be also seen a limitation affecting the objectivity of data interpretation and analysis.

## **1.8. Research Design and Organisation**

### **1.8.1. Research Design**

A proper research design is an instrument to facilitate research process and attaining the aim and objective of the research. For that matter, a careful organisation of ideas and procedures necessary to run the PhD research were taken into consideration. The most important links between major parts of the research are principally the major research questions, conceptual framework and the detailed research questions. Based on this, the research is conceptual designed and there after amended following changes in the research process.

The research was initiated as a result of academic and practical experience ([mentioned in Section 1.1. and Section 1.2.](#)). Following that the first draft of the design was developed dividing the process in different parts ([See Figure 1-3](#)). The first part is the background of the research problem and the context. In this part, the ideas obtained from academic and practical experience are complemented by the literature review. Hence, the literature review is

essential to develop and precise the research topic and problem. To link this part to the next one, the main research questions were formulated based on the research problem.

Extended literature review to conceptualise the research problem and research strategy and methods are the second part of the research document. In this part, the conceptual framework based on the discussion on relevant theories is developed and based on the conceptual framework and detailed research questions using the variables identified within the conceptual framework elaborated. The research strategy and methods are selected using the conceptual framework and the detailed questions derived from the same.

The third part of the research is the empirical study guided by the strategy and methods developed in the former part. The findings in this part are interpreted in the fourth part of the research.

### 1.8.2. Research Organisation

This section presents the dissertation structure. The dissertation is structured into four parts which fall into eleven chapters (See Figure 1-3).

Part one is an introduction composed of two chapters. These Chapters are:

- **Chapter 1 (Background of the Research)** introduces the research scope and context. The related planning problems are also briefly elaborated, with a special focus to the research theme of urban heritage conservation and management merely to provide a context for the reader. Furthermore, this chapter presents the overarching goal and specific objectives of research as guided by the research questions and the associated propositions.
- **Chapter 2 (Context of the Study Area)** presents the wealth state of urban heritage in the context of research and its presumed significance to the development process, highlighting the associated negative effects resulted from the prolonged state of military occupation. Furthermore, this chapter pays attention to the negative contribution of the recent reconstruction efforts on the urban heritage, despite the successful initiatives of listing pilot sites in the UNESCO programme for World Heritage Sites. Also, it briefly discusses the hierarchy of planning system at the national, regional, governorate, and local level from an urban heritage perspective.

The following part, i.e. Part two, discusses the theoretical context and applied methods. Part two is composed of four different chapters:

- **Chapter 3 (Integrated Urban Heritage Conservation and Management)** provides a theoretical discussion to the related concepts, definitions, and strategies of urban heritage and its conservation as a complex process, along with its need to be integrated with the fields of urban planning and management.
- **Chapter 4 (The Collaborative Theory and Practice)** digs in deeply into the founding principles of collaborative planning in theory and practice. Also, this chapter aims at identifying the initial necessary steps for the actualisation of a collaborative model, along with the needed steps to enable for an effective collaborative practice. Said differently, the main characteristics for a collaborative approach are defined to help operationalise an integrated conservation (values-based approach).

- **Chapter 5 (Values-Based Approach)** introduces values-based approach as a mode of integrated planning and as a prudent tool within the context of research. Furthermore, it discusses the principles of the values-based approach represents the amalgamation between the integrated conservation and management and collaborative theory, and the preferred approach to sustainable development.
- **Chapter 6 (Methodology)** this chapter presents the methodological framework that governs the course of research. First, the process of generating research questions and propositions are presented as resulted from the conducted archived research and initial empirical observations. Second, the used case-study approach is discussed. Third, the data collection methods are presented, as the first level of analysis focused on the status of urban conservation management using key informants interviews, designated questionnaires, and passive observations to capture the perception within the policy community. Needless to say, this phase helped identifying the relevant stakeholders for the second phase of analysis that seeks to test the efficacy of applying collaborative planning in urban heritage conservation practices in the context of research by using participant observations and semi-structured interviews within designated stakeholder workshops.

Part three is composed of four different chapters discussing the context of urban heritage conservation and management in Kurdistan in chapter seven and a detail analysis of the cases in three chapters:

- **Chapter 7 (Setting the Context of Urban Heritage Conservation and Management in Iraqi Kurdistan)** presents the institutional arrangements related to heritage conservation and national and regional strategic plans in the context of Kurdistan, ultimately looking at its relation with urban planning interventions. Furthermore, the chapter discusses the responsibilities related to heritage conservation at the federal (state and regional) and provincial level. Challenges facing heritage protection in terms of demography change and booming of reconstruction efforts carried out in Kurdistan region are also discussed. Finally, this chapter generally presents and discusses the current situation of the urban heritage in Kurdistan, at large.
- **Chapter 8 (Analysing the Current Condition and Recognition of Urban Heritage in Akre City)** City presents the case study of Akre in terms of location, geography, spatial evolution, and analyses the potentials in terms of its cultural heritage and natural elements, along with the challenges in terms of high population growth and uncontrolled urbanisation. This part of the chapter aims at analysing the level of integrated approach in conservation and management of cultural heritage and natural elements, through analysing the current status of sites in term of its physical/functional condition; recognition of these sites by the government agencies (i.e. planning interventions) while developing conservation plan and integrating the site with its surrounding, visually and functionally; accessibility of the sites and do the sites have been integrated with tourism activates, along with the recognition of heritage sites by the residents through analysing their perception towards heritage and its conservation. Finally, the chapter discusses the institutional arrangements in terms of process, responsibilities, and the relationships among the related agencies, as resulted from thorough semi-structured interviews with experts coupled with a field observation by the author.

- **Chapter 9 (Analysing the Current Condition and Recognition of Urban Heritage in Amedy City)** addresses the valuable cultural and natural potential of Amedy city, along with the many characteristics that shape the city in terms of physical, socio-cultural, economic, and environmental dimensions, to understand the level of integration of these potentials in the daily practices of the residents in Amedy. This part of the chapter aims at analysing the level of integrated approach in conservation and management of cultural heritage and natural elements, through analysing the current status of sites in term of its physical/functional condition; recognition of these sites by the government agencies (i.e. planning interventions) while developing conservation plan; integrating the site with its surrounding, visually and functionally; the availability of access and do the sites have been integrated with tourism activates. In the same token, the main challenges that face the city in terms of population growth and the changing character of the socio-economic dynamics, along with the overall weak planning capacity to preserve the natural and cultural heritage in the city and its environs are all discussed and analysed within the framework of this chapter. Also, this chapter analyses the local perception towards cultural heritage and natural elements conservation in the context of Amedy. Finally, the chapter at hand addresses the institutional arrangements of heritage conservation in Amedy.
- **Chapter 10 (Applicability of Values-Based Approach in Akre and Amedy City)** examines the collaborative practice in the context of research, more specifically the participation process, in which residents meet and interact face-to-face with the decision-makers at different levels to participate in the discussion (particularly the residents who feel that they have been excluded from the process of decision making). The chapter also examines the readiness of stakeholders to participate in the development of a conservation and management plan, in other words, the chapter aims at analysing and exploring elements that impedes and/or assess the collaborative practice/values-based approach to heritage management. The chapter aims at presenting the prerequisite conditions to enable the environment for rolling wheels of change towards integrated and sustainable heritage form within the Akre and Amedy cities. The findings are separately presented for the two units of analysis.

The last part of the research is compiled under part four and discusses Applicability of values-based approach in Kurdistan Region. This part is composed of one chapter and three different sections:

- **Chapter 11 (Results, Conclusion and Main Recommendations)** presents the theoretical reflections as empirically attained from the undertaken research for Akre and Amedy units of analysis to help make generalisations at Kurdistan level. Also, it provides recommendations and guidelines for how to promote and actualise the integrated approach for heritage conservation within the research context.

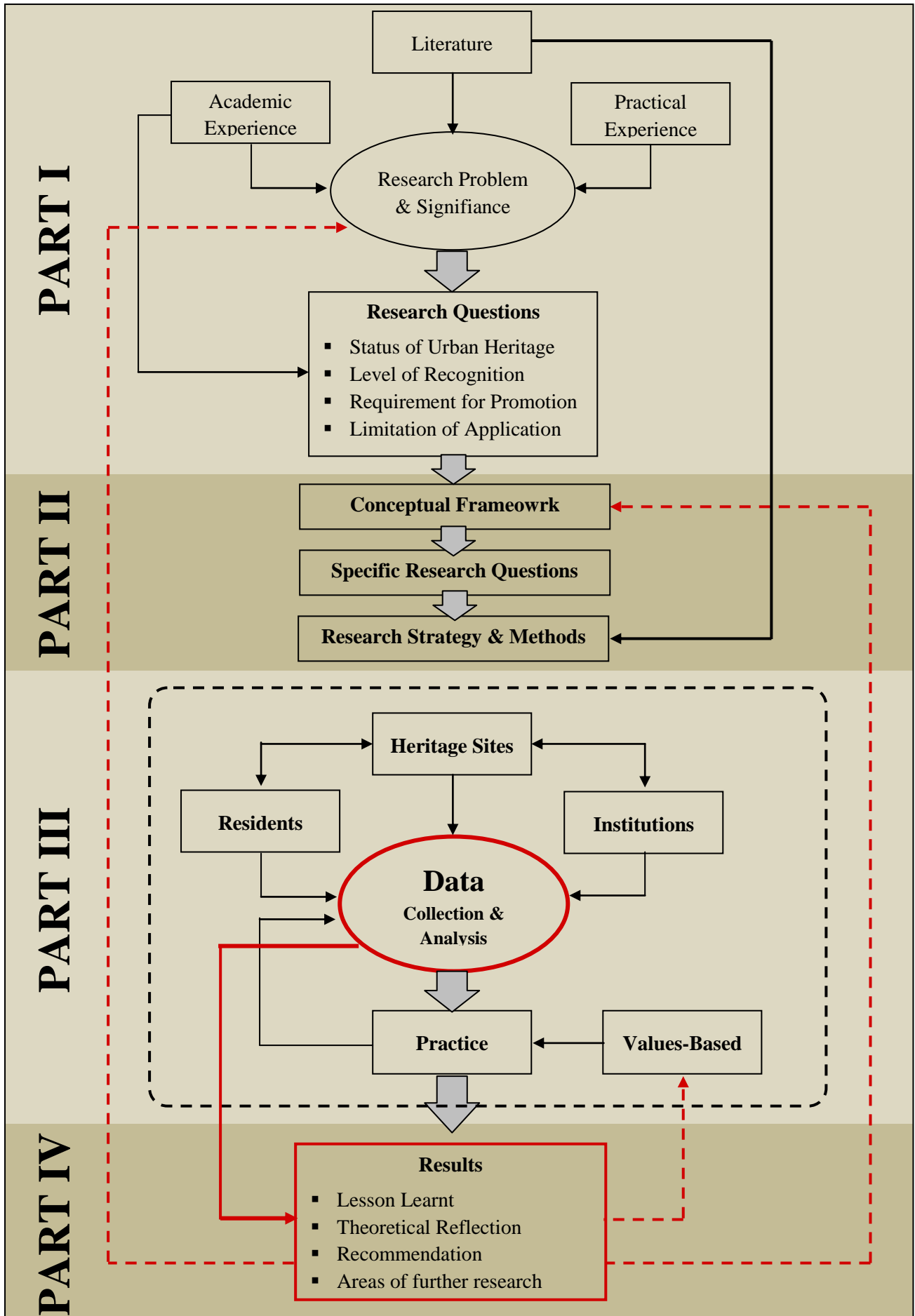


Figure 1-3: Research Design

## Chapter 2: Context of the Study Area

### 2.1. Case Study Definition

#### 2.1.1. Defining Kurdistan

Kurdistan has been the homeland for the Kurdish people since the dawn of history (Mella, 2005). In terms of geography, Kurdistan is a land without defined borders. The people of Kurdistan inhabit a territory of approximately 192,000 km<sup>2</sup>. The land of Kurdistan is situated in the heart of Asia and occupies the greater part of the mountainous region which extends between the Black sea and steppes of Mesopotamia on one side and Anti-Taurus range on the other side (See Bois, 1966; Yildiz, 2004) (See Figure 2-1). This makes it occupying a vast territory in the Middle East. The land of Kurdistan is characterised by spacious landscapes, natural beauty, and fertile soil and wealthy of natural resources. Kurdistan's plateaus and mountains are characterised by heavy rain and snow fall and act as a water reservoir for the Near and Middle East in addition to that, forming the source of rivers, Tigris and Euphrates as well as many others numerous smaller rivers.



Figure 2-1: Kurdistan within the Regional Context  
Source: Agence France-Presse (2013)

The term Kurdistan means ‘the land of the Kurds’. The terms first appeared in the 12<sup>th</sup> century. William Wigram & Edgar Wigram (1922) defined Kurdistan as the cradle of mankind; this is because of the many existing valuable archaeological sites which belong to different ancient civilizations that inhabited the area. As known, the human settlements began to develop in the northern Tigris and Euphrates region and preceded south ward into the delta formed by the two rivers. Those initial communities in the northern Mesopotamia region resembled the earlier settlement of the up lands in social organisation; economic quality and environmental impact. However, the settlement in the Tigris and Euphrates landscape that appeared in Mesopotamia was unique in their eventual impact on the region (Pregill & Volkman, 1999). The cities in the alluvial plains of Mesopotamia, had to cave in to their daily needs like the provision of water for irrigation works and flood control, also the defence of the exposed landscape necessitated a great deal of bureaucratic organisation and a standing military force.

In contrary, in the upward, the ease of defending the mountainous landscape did not call for such bureaucracies and army forces to defend the cities. This made the cities in the alluvial area more popular than those in Kurdistan (Izady, 1992). In terms of ethnicity, it's believed that the Kurds (or Kurt) are the result of the evolution of many tribes such as: Kurti, Mede, Mard, Carduchi, Gordyene, Adianbene, Zila and Khald, which evolved over thousands of years (Yildiz, 2004; Yassin, 1995). Most of these tribes trace back to the distinct culture of *Halaf* that emerged from 6000 B.C. to 5400 B.C (Izady 1992; Russell-Johnston, 2006). This culture is shared by the people inhabiting the Zagros-Taurus Mountains. The name has been derived from the ancient mound of Tel Halaf which is at present in Syria and is best known for its style of exquisitely painted (Russell-Johnston, 2006). Regarding their language, it is an Indo-European origin. Many religions spread in Kurdistan such as: Mithraic, Zoroastrianism, Judaism, and Christianity at the beginning of the 2<sup>nd</sup> century A.D., and Maniism, in the 4<sup>th</sup> century A.D. Nevertheless, Zoroastrianism remained the main religion of the Kurdish people from the 6<sup>th</sup> century B.C. up to the arrival of Islam (Mella, 2005).

The land of Kurdistan has been a disputed area throughout the history. For instance, Assyrian state ultimately collapsed under the pressure of attacks from an alliance of the Medes from the north and Babylonians to the south in 609 B.C. Then later and since the fall of the Median Empire “*Kurdistan has been subjected to attacks by countless peoples and governments who have tried to colonise and conquer it. Some of these conquerors were Akheminians, Alexander the Macedonian, the ten thousand Greeks, the Akshanians, the Sassanians, the Armenians, the Romans, the Arabs, Khawarzmis, the Seljuks, the Tatars, Holako, the Mongols, Timourlenk, Khazr, the Ottomans, the Russians, the English and the French. Throughout all this, the Kurdish tribes have been able to preserve their internal independence during the different phases of history. In addition to these invasions, most of the wars between the Roman and Persian Empires and between the Ottoman and Saffawid Persian Empires, or the wars between the Tatars, the Mongols and the Seljuks from one side and the Abbasids, the Ayyoubids and the Memlouks from the other, have taken place on the lands of Kurdistan*” (Mella, 2005 p.58). Tellingly, in the modern history of Kurdistan the area was divided into four main parts, in Iran, Syria, Iraq, and Turkey. The Kurds were dealt with as an artificial minority, thus they were oppressed and they have been since after denied from fully practicing their Kurdish culture.

### 2.1.2. Defining Iraq and Iraqi Kurdistan

Iraq is the homeland of many great civilizations and the birthplace to some of mankind's earliest settlements in the world. “*The state of Iraq is a new, twentieth-century creation, brought into being by politicians and statesmen, but the area included within its borders is home to several of humankind's oldest and most creative civilizations. All have shaped Iraq's current identity.*” (Marr, 2012 p.3). The Sumerian (around 3500 B.C), the Akkadian, Assyrians and Babylon Empire civilization are among these civilizations that had left a rich legacy. Said differently, Iraq holds the patent for the invention of great human achievements that mushroomed across the world including agriculture and irrigation systems, the code of writing, chart of law, namely Hammurabi, town planning and the concepts of planned cities and city-state specifically Sumerian (Frankfort, 1950; Schmidt, 2012). Historically, Babylon was the capital city of two of the most famous kings of antiquity, Hammurabi (1792-1750 BC), who introduced one of the world's first law codes, and Nebuchadnezzar (604-562 BC), who built the famous Hanging Gardens of Babylon. The history of this territory represented a seminal world civilization and witnessed a major rise in human settlement and urban development. Babylon was much more representative of Ur and Assur cities.

Frankfort (1950) described the town planning in ancient Mesopotamia, and acknowledged Babylon's city structure that was built in the plain. Babylon's city structure presents a concentration of all main buildings along the Euphrates and a Royal Palace forming as a citadel at the north corner, bordered by the great street through the famous Ishtar Gate in the North decorated with a covering of glazed bricks with sacred animals. Tellingly, Babylon is seen as an example of sophisticated built-up environment, which form the backbone of the city building.

Iraq is also characterised by a rich oeuvre of natural resources and unique landscape especially in the northern part (Iraqi Kurdistan), including: valleys, mountains, rivers, green lands, forests, marshlands and deserts, all of which provide Iraq with distinctive potentials. Since Iraq has always been the incubator for human development since the dawn of human civilization, a rich legacy of heritage sites in Iraq at large exists. Unfortunately, the prolonged cycle of war, violence, and conflict had its devastating effects on the rich natural and cultural heritage of Iraq, which was once a victim, and remains always a victim, particularly in modern history. After 1991 events and the inception of KRG, the issue of defining Iraqi Kurdistan has flow to the surface. KRG constitute of Erbil, Duhok and Sulaimaniyah. The government also controls parts of Kirkuk and Mosul where Kurdish people live. For the purpose of this research Iraqi Kurdistan refers to the area where Kurdish people live while KRG is the identification of the areas currently governed by its agencies (See Figure 2-2).



Figure 2-2: Autonomous Kurdistan Region  
Source: KRSO, 2013a

The Kurdistan Region consists of three governorates that include 34 Districts and 136 Sub districts (See Table 2-1) (See Appendix 1).

Governorate	Area (Sq. Km.)	% (Iraq)	No. Of districts	No. Of sub-districts
Erbil	15074	3.5	11	46
Sulaimaniyah	17023	3.9	16	61
Duhok	6553	1.5	7	29

Source: Iraqi Central Organisation for Statistics, 2009



It is important to mention that for the Kurds in Iraq, the civilisations of the Zagros and Taurus mountain ranges are of more relevance in terms of legacies than those of Mesopotamia. Meanwhile, it is necessary when considering the legacies of ancient civilisations, to add to the regular canon of Sumer, Babylon, and Assyria, the Medes legacy.

## 2.2. Analysing the Context of Iraqi Kurdistan

### 2.2.1. A Brief Review of Modern History

Following World War I (1914-1918), the British and French mandates started sketching boundaries in the places ruled by them in West Asia. Prior to that what is now called Iraq was equivalent to “Mesopotamia” which means the “Land between the rivers” in Greek (Kleiner, 2009). The modern Iraq republic formed subsequent to Hashemite Monarchy in 1958 in a revolution known as 14 July Revolution which brought General Abdul Karim Qassim to the power followed by Abdul Salam Arif and Abdul Rahman Arif. Ahmed Hasan Al-Bakir in 1968 and Saddam Hussein in 1979 afterwards (Dawisha, 1986). Under this partition plan, Iraq has borders with Turkey, Iran, Syria, Jordan, Saudi Arabia and Kuwait and historically it is documented as a place of first settlements of human beings and considered as an origin and birthplace of writing.

The main International treaties in which Kurds have been included are mainly three: (1) The **Treaty of Sèvres** signed in France post World War I on 10 August 1920 between the Ottoman Empire and Allies. The Kurds were promised a homeland including Mosul province but the treaty was never approved by the Ottoman Empire and Greek. Eventually, the Allies didn't carried out their obligations. (2) The **Lausanne Treaty** replaced the Sèvres Treaty. It was signed in Switzerland on 24 July 1923 and approved by the Greek, Turkey, Great Britain, Italy and Japan. The treaty also led to the acknowledgment of the Republic of Turkey and sketched the current Iraq-Turkey border. The Treaty of Lausanne ignored the Kurdish dream of independence and divided the Kurds among Turkey, Iraq, and Syria. The Kurds in Iran, with Soviet support, thrived to establish the first independent Kurdish state (the Kurdish Republic of Mahabad), but this was quickly crushed by Iranian troops in 1946 (Windowministries, 2004). Thereafter the Kurds have been suppressed in their countries of resident. (3) **Algiers Accord** 1975, after Iraq achieved it's independency from Britain in 1932, Saddam Hussein as a vice president of Iraq at that time and Shah of Iran reached an agreement known as Algiers Accord in 1975 by which Iraq and Iran repressed and restrained Iraqi and Iranian Kurds and disabled the Kurdish rights as a nation.

In Iraqi Kurdistan, Kurds are estimated to be around 5 million constituting about 20% of Iraq population. As a repercussion of World War I, many governments carried out policies which made the Kurds to be the minorities in different countries. In Iraq, Kurds have suffered from lack of communal services since 1960s, but ever since 1992 Iraqi Kurdistan has enjoyed a protected freedom and democracy led by US and the UN.

The chronology and major events in the history of Iraqi Kurdistan could be summarised as follows:

**Autonomy agreement 1970:** After the military force failed to suppress Kurdish rebels, Iraqi government offered a near total autonomy on March 11, 1970 but Iraq failed to fulfil their obligations under the treaty especially a dispute over Kirkuk demography, hence, these issues augmented the awareness of the United States and Russia, the Iraqi government acknowledged the Autonomy Law of 1974 unilaterally (Dahlman, 2002). **Iraq-Iran war 1980s:** Loads of villages in northern Iraq were destroyed and thousands of Kurds were deported as a consequence of the Iraq-Iran war. The war began in 1980 and ended in 1988

was one of longest, bloodiest and costliest armed conflicts in the twentieth century; however, after a direct confrontation in 1974 which weakened both countries' economy, as a result both countries reached Algiers Agreement of March 1975 (Karsh, 2002).

**Anfal campaigns:** these are genocide operations in the form of serial military actions carried out against Kurds in Iraq, it is documented to be 8 campaigns accomplished between 1978 to 1989 in different places of Iraqi Kurdistan such as Sergalou, Bergalou, Qara Dag, Germian, the valley of the Lesser Zab, Shaqlawa, Rawanduz and villages in Gizeh, Amedy, the operations targeted mainly men (Human Rights Watch, 1993) which deported thousands, killed more than 182,000 people and devastate more than 2,000 villages. Meanwhile, despite mass executions and disappearance of dozens of people including children and women and extensive use of chemical weapons, the neighbouring countries and the world didn't brought the issue to the attention.

**Chemical attacks:** after forced displacement of villagers and demolition of their homes during Anfal campaigns, on March 16 1988, the Iraqi government launched extensive chemical attacks on Halabja near the Iranian border against 60,000 to 80,000 residents of Halabja, where more than 5,000 civilians were killed in 45 minutes.

**Gulf war and 1991 uprising:** when Iraq invaded Kuwait in 1990 thus igniting the Gulf War in which Iraqi troops pushed back to Iraq by Allied coalition forces led by US, in the intervening time, in March 1991, the Kurds commenced an uprising against Iraqi government but soon the Iraqi troops drove back an attack in which around half million Kurds were forced to escape to Turkey and Iran as refugees. Subsequently, the coalition forces then declared a No Fly Zone in northern Iraq and the Kurdish forces (*Peshmergah*) continue to fought Iraqi army which finally left Iraqi Kurdistan in October 1991. After that the Kurdish parties performed elections in Kurdish region on 19 May 1992 and established a local authority governing three cities of Erbil, Sulaimaniyah and Duhok. Though, none of the Kurdish parties (especially the two major parties: Kurdistan Democratic Party led by Barzani and Patriotic Union of Kurdistan led by Talabani) acknowledged independence from Iraq, this election which resulted in the formation of Kurdistan National Assembly and KRG were decided to be held every four years. The last two terms were in 2005 and 2010.

**Iraq freedom operation:** the 2003 (March 20 – May 1) invasion of Iraq by US led coalition supported by the Iraqi oppositions including Kurdish forces, resulted in the meltdown of Saddam's power and the successive political changes resulted in creating a new constitution for Iraq in 2005 which recognise Iraqi Kurdistan as a federal region in Article 117 of the constitution. Needless to say, Iraqi Kurdistan is considered as federal region within the federal state of Iraq. Kurdistan provincial authorities' include the three northern-most governorates or provinces of Iraq: Erbil, Sulaimaniyah and Duhok, each governorate has a democratically elected 41-seat Governing Council (KRG, 2008).

### 2.2.2. Political Dynamics

Since 2003, Iraqi Kurdistan Region is functioning as a *de facto* state. The KRG seeks a democratic federal system in Iraq, based on an agreement and respect for all nationalities and religions. Its main institutions are the KRG, the Kurdistan Region Presidency, and the Kurdistan National Assembly (Parliament) (KRG, 2008). The 2005 Iraqi constitution states that the federal system in the Republic of Iraq is made up of a decentralised capital, regions, and governorates, as well as local administrations. Since 19 May 1992, the KRG parliament is elected by popular vote where voters are given one vote and may choose a single party from the list. Moreover, the president of the Kurdistan Region is directly elected by the residents of the region. Elections for the Kurdistan Parliament are held at least every four calendar years as stipulated in Article 8 of the Kurdistan Electoral Law (KRG, 2008).

The security situation in Kurdistan Region is very different from the rest of Iraq (AKA, “Other Iraq”). The official Regional guard, the *Peshmerga* forces, are responsible for the security through working in close cooperation with the Regional Guard “the *Asayish* (the Security Police)” and the regular Police, who provide comprehensive protection against threats and help with routine police matters (KRG, 2010). Additionally, after March 2003, the KRG is recognised as the official administration of the territories that were administered by that government on parts of Kirkuk, Diyala and Nineveh (International Crisis Group, 2008). However, the unresolved status of the disputed internal boundaries remains an issue of major contention and is the principal reason for increasing tensions between the regional and the central government, a process foreseen in Article 140 of the Iraqi Constitution to reverse the previous ‘Arabization’ policy and decide based on public referendum the status of the so-called ‘disputed areas’ has remained stalled as two deadlines were missed” (United Nations High Commissioner for Refugees (UNHCR), 2009).

In 2005, both the Iraqi Constitution and Kurdistan Region Constitution called for the adoption of notions of democracy, decentralisation, and civic participation by supporting the non-governmental organisations. Furthermore, the public-private-partnership has been emphasised. Later on all these notions have been translated in the National and Regional Development Strategies and Province Strategic Plans (See Appendix 2). In order to support and mainstream the new adoptions of decentralisation and democracy concepts in Iraq (including Kurdistan Region), many international and national initiatives have been developed. One of the Non-Governmental Organisations (NGOs) in the United States known as Research Triangle Institute (RTI) International with the mandate to improving the human condition by turning knowledge into practice was among the leading institutes that helped the Iraqi government at the national, regional, provincial, and local level. RTI-International started working in Iraq with United States Agency for International Development (USAID) after the war in 2003. The main goals were building local government policy and capacity and promoting residents participation and strengthening provincial and local governance through workshops. For instance, between 2007 and 2009, around 37 workshops have been conducted in Duhok Governorate on governance, democracy, human right, social change and gender equality.

Additionally, two conferences have been held in this regard, to support decentralisation and local governance in Iraq. The first one was the International Conference on *Decentralisation, Local Governance and Service Delivery: Sharing Experience and Sustaining Progress in Urban Iraq*, held in Amman, Jordan in May 2011, while the second one was held in June 2011, the *National Conference on Decentralisation and Local Governance in Iraq Instigating an Evidence-based and Home-Grown National Strategy for the Promotion of Decentralisation and Local Governance in Iraq* in Erbil, Iraq. They conclude that: “the experience of decentralised governance in Iraq is minimal. It is only since 2003, .....,The 2005 Constitution advanced the reform process by establishing a model of decentralised political and administrative government through devolution of authority to the governorates (provinces). In March 2008, the Provincial Powers Law defined the roles and responsibilities of both the elected local bodies and the associated administrative units at governorate, district and sub-district levels. This Law indeed provides a strong basis for the empowerment of local governments. But it does not provide a comprehensive insight to establish an effective and efficient decentralised system in the country” (Karna, 2011 p. 1).

Also, these conferences have discussed the urban governance system in Iraq, and they have indicated that among the paramount factors that influence the development of effective decentralised local governance system in Iraq is the resistance to increased decision-making authority at the local level amongst central ministries, and the absence of systematic and institutionalised approach to local participatory planning process (See Box 2-1).

**Box 2-1: Factors influencing development of effective decentralised local governance system in Iraq**

- Resistance to increased decision-making authority at the local level amongst central ministries.
- Ethnic and sectarian divides have plunged the country in an internal civil strife.
- Lack of initiative at the local level.
- A disempowered citizenry and limited or non-existent opportunities for local initiatives and local empowerment.
- Limited political will to consider alternative forms of service delivery through local administrations.
- Absence of local government systems to establish revenue collections, budgeting and planning.
- Limited financial autonomy to local governments.
- Weak connection between monitoring of service delivery and government capacity to deliver.
- Absence of systematic and institutionalised approach to local participatory planning process.

Source:Karna, 2011

Kurdistan Region exhibits a more decentralised and democratic mode of governance than other Iraq since the competent authority that sets priorities is primarily the municipal council, it's also shown that contribution of local governorates in decision-making process is rather good in some governorates where the highest rate was in Sulaimaniyah.

### 2.2.3. Geography and Climate

Iraqi Kurdistan is located in the northern mountainous part of Iraq. It occupies 40, 643 km<sup>2</sup> of mass land in one of Iraq's most important crossroads that borders Syria to the west, Iran to the east, and Turkey to the north, where fertile plains meet the Zagros Mountains. The region is traversed by the Sirwan River and the Tigris and its tributaries (the Great Zab and the Lesser Zab). The region is distinguished by its topographic variability where a variety of geographic landforms, natural scenery, waterfalls, natural water springs, and varieties of flora and fauna exist. Mountains are one of the leading survival key of the Kurdish community. The Mountains have an average height of about 2,400 meters and the highest peak is *Helgurd* near the border with Iran which measures 3,660 meters. Other well-known mountains are: Shireen, Gara, Maqlob, Shingar, Qendil, Hamrin. Kurdistan is also well-known for the abundance of rivers such as: Khazer, Bahdinan Zehy, Khabour (See Figure 2-3; Table 2-2).



Figure 2-3: Kurdistan Region in Iraq Context

Source: KRG, 2008

<b>Rivers</b>	<b>Length of the river (km)</b>	<b>Annual water capacity billion cubic mater</b>	<b>River flowing percentage inside the region</b>	<b>River flowing percentage outside the region</b>
Khapoor	160	2.2	42	58
Great Zab	392	14.32	58	42
Lesser Zab	400	7.07	64	36
Awa Spee	230	0.7	100	00
Sirwan	384	5.86	41	59
	1566	30.15	59.8	40.2

Source: Ministry of Agriculture and Water Resources-KRG, 2007

The climate of Iraqi Kurdistan Region is characterised by having the four distinct seasons of the year. A maximum temperature could be recorded in summer is as high as nearly 50 degree Celsius, and the lowest is in winter around minus 2-7 degree Celsius with an annual rainfall of 375-724 mm. Spring and autumn are the most pleasant seasons in Kurdistan. For Kurds, spring is the season when the Kurds celebrate the sad and blissful events at the same time such as Newroz (the Kurdish New Year on March 21 as the first day of spring in Kurdish calendar. Additionally, most of Iraqi Kurdistan is mountainous; it supports a wide range of diverse habitats, thus making it full with incredibly bio-diversity. A great variety of animal and plants exists in the region. The domestic and national bird is the Kaw (Partridge in English). This type of bird is the most numerous and almost exclusive to Kurdistan than other part of the world.

## **2.3. Socio-cultural and Economic Background**

### **2.3.1. Socio-cultural Aspects**

Iraqi Kurdistan is a multi-ethnic, multi-religious, multi-lingual and multi-cultural region. It embraces Kurds, Arabs, Assyrians and Turkomans. Most of the Kurds are Sunni Muslims. However, there are Shiite, Yezidy, and Christian Kurds.

More than six languages are spoken within its different areas, namely: Kurdish (Kurmanji, Sorani and Zaza-Gorani dialects), Arabic, South Azeri (Turkmen), Neo-Aramaic, Mandaic Shabaki, and Persian. Kurdish and Arabic are constitutionally recognised as the official language. A vital aspect of identity for Kurds is their linguistic characteristics (Stansfield, 2003). Kurmanji and Gurani are the two major dialects in Kurdish language. It has its roots in the Indo-European group of languages (Hamil & Broadaway, 2006). However, the history and culture of Kurdish people, has been majorly transferred orally. Story-telling is a highly valued form of communication within the Kurdish culture (ibid.).

### **2.3.2. Economic Aspects**

The consecutive wars and military events led to purposeful and deliberate modifications of historically developed economic structures of the Kurdish community. The result was extensive resettlements, primarily of the rural Kurdish population. Since 1992, Kurdistan has made a shift from a highly centralised planned economy to a market based mixed economy. Over that period and in particular after launching National Development Strategy and enacting Investment Law in 2006, the economy has experienced a rapid growth.

Nowadays, Kurdistan is in a period of being integrated into the global economy. According to the figures of the Kurdistan Company Registration Directorate, there are currently 1,602 foreign companies operating in the region and 10,100 local companies working jointly or side by side with the foreign companies.

The Kurdistan Region's economy is broadly dominated by three main resources: agriculture, petrol and gas industry, and tourism (heritage). Figures reveal a remarkable rise in economic development of Kurdistan Region of Iraq. Since late 2003 an increase in the Gross Domestic Product (GDP) from ID 2,419.6 billion to in 2004, and to ID 20,954 billion in 2008 has been witnessed. This climaxed to a total increase rate of 110% per capita GDP, thus making the region to be an attractive point for businesses and investors.

Figures from Kurdistan Regional Development Strategy (2012-2016) reveal that agriculture contributes 10% of the GDP, while industry 6.6% and tourism stand at 4.9%. For the fiscal year 2012, the KRG's total budget stands at 13 billion USD. Only 10.7% of which has been allotted for Kurdistan Region from central government. This figure 'and figures prior to 2003' reaffirms that the region is chronically underfunded by the central government despite the fact that Kurdistan Region contributes to about 30% of Iraq's economy income (MoP-KRG, 2011). Notwithstanding, the [Article 121 of Iraqi Constitution 2005](#), states that "*Regions and governorates shall be allocated an equitable share of the national revenues sufficient to discharge their responsibilities and duties, but having regard to their resources, needs, and the percentage of their population*". Prior to this, Kurdistan Region did not received more than 13% of the revenues from Iraq' oil-for-food program before the fall of Saddam's regime.

### 2.3.3. Agriculture Sector

Agriculture has been the backbone of the traditional Kurdish economy since ancient times due to abundant of agricultural lands and water resources. This is evident from the archaeological remnants of early farming tools, like Jarmo, as well as the scripts of historians and travellers who wrote about the area.

The highly productive agricultural region of Iraqi Kurdistan was the victim of the political agenda of former Iraqi governments. [Ali \(2012\)](#) argues that the imports and food subsidisation policy adopted by Iraqi government has caused the decline in the agricultural production and the wheat's production declined to 30% after 1970s and further reduced after Ba'ath party took the power which has been consider to be the end of socio-economic society of Kurdistan, particularly in terms of its agriculture, especially after destroying more than 2000 villages in the rural area of Kurdistan. However, after 2003, agriculture has gained again its potential, and maintained to be a dynamic contributor to the economy of Kurdistan Region mainly with the aids from international organisations such as FAO and the World Bank.

Kurdistan's Ministry of Agriculture has given dozens of occupied agricultural lands back to Kurdish farmers under a temporary contract until Article 140 of the related administrative boundaries of the Iraqi Constitution for the year 2005 is implemented. This has paved the way for the original owners to regain lands that have been occupied for more than 30 years. In 2009, Kurdistan Ministry of Agriculture and Water Resource drafted Agriculture Sector Strategic Plan (2009-2013) with a vision to achieve food security, continuous improvement, and provide excellent service to the residents ([Ministry of Agriculture and Water Resources-KRG, 2007](#)). The ministry pledges to follow up the management system to improve quality and standards.

According to, [Ministry of Agriculture and Water Resources-KRG \(2007\)](#), the size of the agricultural land is set to be 2,134,819 ha compared to 4,617,291 ha of the mass area of Kurdistan (Orchards: 1,358,388 ha, irrigated land: 177,406 ha, forests: 1,280,267 ha, meadows: 1,739,000 ha, and dry land farming: 82,230 ha). This make around 45-50% of Kurdistan land to be a green area and helped to create agricultural security and diversity in productions ([For more details see Table 2-3](#)).

Area	Erbil	Duhok	Sulaimaniyah
Artificial forest	3625	3164	6931
Natural forest	326092	442597	417604
Irrigated orchard	5713	7891	12985
Rain fed orchard	5932	6433	22432
Natural rangeland	351000	263135	57617
Artificial rangeland	2828	1910	70

Source: Ministry of Agriculture and Water Resources, 2007

In Kurdistan, there are two agricultural seasons: (1) summer agricultural season (the products are Tomato, Cucumber, Eggplant, Water melon, Melon, Onion, Garlic, Sesame, Tobacco, Sunflower, Haricot, Squash, etc.), and (2) winter agricultural season (the products are Wheat, Barley, Lentil, Chickpea, Legumes, etc.) ([Ministry of Agriculture and Water Resources-KRG, 2007](#)). The Economic Development Assessment Report (EDA) on Iraqi Kurdistan Region in 2008 states that "*the agriculture sector's contribution to the national economy is second only to that of the oil sector....,Agriculture can serve as the cornerstone to poverty reduction and economic stability*" ([RTI-International, 2008 p. 5](#)). [Sajjadi \(1992 cited in Stansfield, 2003\)](#) articulates that until the late 1970s, more than half of the population was dependent on the agriculture and that Iraqi Kurdistan produced as much as 45 % of Iraq's wheat and a third of its barley in 1980.

#### **2.3.4. Petrol and Gas Industry**

In 2012, Iraq ranked 9 in world for oil production ([CIA World Factbook, 2012](#)). KRG controls about 6% of northern oil revenue ([Revenue Watch Institute, 2012](#)). The controlled parts are estimated to contain around 45 billion barrels of oil making it the sixth largest reserve in the world ([Ibp Usa, International Business Publications, 2009](#)).

Extraction of oil started in 2007. The late investment and contracts between KRG and oil companies (more than 25 companies currently are present in the region) have resulted in an economic boom in the region. Nonetheless, these oil revenues is one of central issue in the prolonged tension between regional and central government, although the Articles 112, 113, and 114 of Iraqi Constitution refers to areas where federal and central government shares power, these include oil and gas development, antiquities, customs enforcement, water resources, education, environmental policy, electric energy distribution and health policy ([Kelly, 2010](#)). The most recent extraction projects are carried out now in Duhok Governorate such as: Tawke, Sumel and Zakho oil fields.

### 2.3.5. Tourism Sector

Iraqi Kurdistan Region is endowed with rich natural and cultural diversity (RTI-International, 2008). As such, the region is well qualified for providing various types of tourism heritage such as natural, cultural, historical, therapeutic, and eco-tourism. This is evident from the growing contribution of tourism to the GDP. However, tourism in the Region is still in the developmental stage, and existing problems, including infrastructure and site restoration and protection, must be resolved before tourism can become a more prominent contributor to the economy (ibid.).

The Kurdistan Regional Statistics Office (KRSO) (2012) estimates the known archaeological sites in Kurdistan Region to be 1,307 sites. Among the most famous archaeological sites in Erbil Governorate is the Erbil citadel, the oldest continuously inhabitation settlement in the world since 2500 B.C. and the Shanidar cave, where nine Neanderthal skeletons were found dating between 60-80000 years. Duhok has rich ancient heritage and historical ruins which date back to 705-681 B.C., with more than 288 archaeological sites (Erbil General Directorate of Antiquities and Traditions, 2003). The Grand Mosque, Old Bazar in the city centre, Saint Ith Ilaha church, and Charstin cave, Shindokha and Hallamat Caves and Delal Bridge from the Roman Era in Zakho are among the most famous archaeological sites in Duhok Governorate (See Table 2-4).

Governorate and districts		Number of archaeological sites
<b>Erbil</b>	Erbil city	169
	Makhmour	208
	Koya	63
	Rawanduz and Mergasur	52
	Shaqlawa	96
<b>Total in Erbil</b>		<b>588</b>
<b>Duhok</b>	Duhok city	42
	Atrush sub district	1
	Dosky sub district	36
	Zakho	115
	Shingar	94
<b>Total in Duhok</b>		<b>288</b>
<b>Sulaimaniyah</b>	Sulaimaniyah city	151
	Pishdar	48
	Penjwin	18
	Halabja	124
	Sharbazher	27
	Rania	63
<b>Total in Sulaimaniyah</b>		<b>431</b>
<b>Total in Kurdistan Region</b>		<b>1307</b>
Source: Erbil General Directorate of Antiquities and Traditions, 2003		

However, Duhok Strategic Plan (2009-2013) estimates that the archaeological sites to be more than 650 sites. According to official data from Duhok General Directorate of Antiquities and Traditions, more than 200 sites in Duhok have not been listed in the Iraqi Archaeological List. In the same token, Sulaimaniyah embraces many important sites such as Tell Shemshara, excavated between 1957 and 1959.



There is no formal, well-organised inventory of heritage sites in terms of recent understanding of heritage either in hard or electronic copy, except a large written listing of cultural and archaeological sites that was prepared in Baghdad in the 1970s. Many potential tourism attractions, which are the basis for tourism development and promotion, exist upon which to build a viable tourism industry. A detailed inventory of the attractions, especially the approximately 1,300 cultural, archaeological sites in the Kurdistan Region is needed (RTI-International, 2008).

The KRG Minister of Municipalities and Tourism clearly points out that tourism can bring the Region substantial economic and socio-cultural benefits through appropriate planning, management, and investment, and is attempting to bring to fruition as many of these efforts as possible. For example, such efforts are currently being made by the KRG's Ministry of Municipalities and Tourism to attract foreign investment to help develop additional attractions and hospitality facilities. According to the KRG in its National Development Strategy, they estimate the increasing in the tourist's number by 7% in 2016 (MoP-KRG, 2011) (See Figure 2-4). However, modern international tourism is still underdeveloped, and the difficulty of the Kurdish language is an obstacle to international communications, although English is widely spoken in the towns. In addition, the multitude of checkpoints and security issues, including most buildings and hotels, restrict normal tourist flows (RTI-International, 2008).

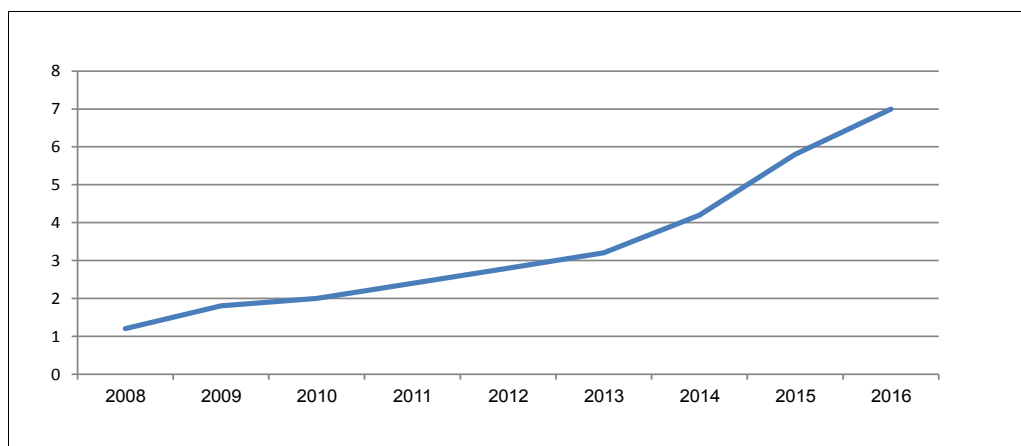


Figure 2-4: Tourism contribution to the GDP

Source: MoP-KRG, 2010

According to Iraq Household Socio-Economic Survey in 2007, it has been estimated that 40.45 % of Iraqis (including Kurdistan Region) are in the labour force (Iraqi Central Statistical Organisation, 2009). In Kurdistan Region, the government provides 51.1% of jobs; the remainder is in the private sector (KRSO, 2012) (Table 2-5).

Table 2-5: Employment of working-age population by economic sector/governorate			
Governorate	Employment Rate %		
	Public Sector	Private Sector	Joint Sector& Others
Iraqi Kurdistan	51.1	45.4	3.5

Source: KRSO, 2012

In 2009, the unemployment rate in Kurdistan Region was estimated to be 14% (MoP-KRG, 2009) (See Table 2-6). This rate is lower in urban area compared with rural area (KRSO, 2012) (See Table 2-6).

<b>Table 2-6: Unemployment rate of working-age population per Governorate, 2009</b>				
Governorate	Unemployment Rate %			
	Centre	Outskirts	Rural areas	Average
Erbil	7.24	16.03	23.9	13.22
Duhok	14.26	18.2	17.51	16.91
Sulaimaniyah	10.45	13.36	11.26	11.88
Average	10.65	15.86	17.55	14

Source: MoP-KRG, 2010

If we classify the unemployed at the Governorate level in 2009, the highest level belongs to Duhok Governorate which is estimated to be 16.91% (KRSO, 2012). This can explain the highest ratio of poverty among Duhok population (MoP-KRG, 2011). The highest unemployment rate was witnessed among the female youth (Table 2-7).

<b>Table 2-7: Unemployment rate of working age population per age and sex, 2012</b>			
Population by age group	Unemployment rate %		
	Male	Female	Total
15-29	6.7	21.4	9.3
30-44	2.9	8.3	3.91
45+	4.3	3.8	4.2
Average	4.6	15.86	6

Source: KRSO, 2009

Nonetheless, in 2007, Iraqi government (including Kurdistan Region) has launched local area development plans to improve the environment for small businesses and enhance employment (UN-HABITAT, 2009). This initiative aimed at reducing the rate of unemployment in Kurdistan Region. Consequently, in 2011 the average unemployment rate has reached 10.3% in Kurdistan Region comparing to national rate which is 11.3% (Information Analysis Unit (IAU), 2011). In terms of refined economic rate in Kurdistan Region, Sulaimaniyah Governorate records the highest level in 2011 by 44.96%, followed by Erbil 43.58% and Duhok 38.96% (See Table 2-8).

<b>Table 2-8: Refined economic rate activity by governorate 2011</b>	
Governorate	The Rate%
Erbil	43.58
Duhok	38.96
Sulaimaniyah	44.96

Source: MoP-KRG, 2010

Though the unemployment rates became less nowadays, but most of the economic forces in Kurdistan are dependent on the governmental jobs, which is not sustainable. We can conclude also that Duhok Governorate is the least contributor in terms of economic activities compared with Erbil and Sulaimaniyah Governorates, which means that the potentials are not efficiently used yet.

## 2.4. Brief Review of Urban Planning System and Policies in Iraqi Kurdistan

Iraq (including Iraqi Kurdistan) has always exhibited a rigid hierarchical governance system and a highly centralised planning structure in the past, where decisions were centrally made without public participation. In the past, planning for all sectors in Iraq was highly centralised and the Ministry of Planning was playing a key role both in the co-ordination of the planning process and, in consultation with the Ministry of Finance, in the allocation of resources to the respective ministries. Physical and sector plans were prepared by the corresponding Ministries and Departments in Baghdad, based on information provided by the respective departments at the governorate level. Five-year sector plans were normally prepared for the entire country and funding for plan implementation was provided through the annual budget process, which was managed by the Ministry of Finance in Baghdad.

Conventional master plans were the main instrument for zoning and physical planning for the development of a city or town. The highly centralised nature of the planning process meant that there was only limited involvement of local governments with respect to planning – their role was limited to the implementation of central government plans. Furthermore, most of the master plans were prepared by the Ministry of Planning in the 1980s, when Iraq was engaged in a war with Iran, and adopted by the central government in Baghdad with only limited updates made to meet the necessary demands. Said differently, the master plans had not been subject to a rigorous revision based on the changing socio-economic trends.

The nature of the former Iraqi Government presents a significant challenge to the establishment of good governance at the local level. Governance was based on a single party system, a command economy, a nationalist-socialist ideology, and tight control of the media and security forces. An added feature was the oil economy – an economy that depends on oil revenues, not taxes paid by the residents. Command economies destroy the relative autonomy of the social and economic spheres from political power. An oil economy provides a vast resource that makes the state independent from social power relations. Equipped with such powerful financial and economic tools, the Iraqi state built massive coercive army and security forces – and provided almost free education and medical care- a means of achieving consent from the population. One of the results was the growth of the modern middle class mostly dependent on government salaries and making up more than half of urban dwellers.

The same urban policies have been applied to Kurdistan Region. The Iraqi Ministry of Interior had a leading role in the fine details of urban planning and design. The regime allocated security specialists and national intelligence staff across the region to control urban plans. Furthermore, special designs have been created for some quarters in Kurdish governorate and many plots have distributed among those who have locality to serve the agenda of Iraq government mainly from middle and southern governorates of Iraq.

Until 1990s when the light of the second gulf war ignited, the urban planning was virtually deficient in the whole Iraq including Baghdad which made the municipalities in all Iraq including Kurdistan manages a weak spatial planning system that lack updated urban plans. After 1992 uprising and after UN-no-fly zone resolution in 1991, the law no 15 of KRG on 1992 established the Ministry of Municipalities and Tourism. The ministry took over urban planning responsibilities through General Directorate of Constructive Planning, despite the huge lack of trained staff and experience in the field of urban planning. The planning system remains a top-down manifested; only the centre has been shifted from Baghdad to Erbil, with non-participatory processes for civil society groups and local governments. However, little intervention to urban planning and management, through public and residents' comments and objections have only been allowed during the advertisement period (for only 2 months), which is after the plans have been prepared (UN-HABITAT, 2006).

Consequently, the plans did not reflect the aspiration of residents. Since 2003, the planning system in Iraq has changed dramatically in adapting plans covering the entire country and in investing in infrastructure, particularly after the establishment of the Ministry of Planning in Baghdad and Erbil. For instance, the Ministry of Planning, KRG has been established in accordance to the Act issued by the Kurdistan National Assembly in 2005. The Ministry aims at developing plans for promoting regional economic, social, humanitarian and cultural aspects and promote cooperation with other institutions and the public, as well as the private sectors, and develop investment schemes. The ministry also cooperates with the Federal Government of Iraq.

In June, 2005, the Iraqi Strategic Board Review of the Ministry of Planning and Development Cooperation presented Iraq's National Development Strategy 2005-2007 for the country's reconstruction and development. The strategy is the first to be produced by a democratically elected government in Iraq. It is organised around four key points: (1) Strengthening the foundations of economic growth, (2) Revitalizing the private sector, (3) Improving the quality of life, and (4) Strengthening good governance and security. As a part of the strategy, several new ministries and departments have been established including: Regional Development Authorities to urge reconstruction and development at regional level, and State Board of Antiquities and Heritage at the Ministry of Culture has been re-established to ensure that the priceless heritage being taken care of.

Thereafter, it becomes evident that short-term planning processes provides only solutions and approaches to emergency situations and does not address the actual and complex problems or endorse the ambitions of the nation and society, as the cultural heritage sites have been faced with a long period of neglect, and therefore more synergic efforts and initiatives are desperately needed. In 2010, the Ministry of Planning in response to the ineffective intervention of the National Development Strategy 2005-2007, had took the overriding responsibility of launching a new five-year initiative for the years 2010–2014 to upgrade the state of urban heritage in Iraq. The Council of Ministers adopted the initiative following a governmental decree.

The 2010-2014 National Development Plan addresses many concepts that have been partially addressed by previous plans, such as: (1) adoption of a participatory approach to diagnose the reality and capabilities to ensure participation by all involved parties (2) direct coordination between institutions at national and regional levels such as all ministries, KRG, and provinces, (3) the plan calls for strengthening decentralised administration in order to improve the effectiveness of provinces' roles in developing and managing their resources and the development process, and addresses the issue of institutional reform and good governance, and (4) the focus on spatial (regional) dimension to development. The latter has been added for the first time in such a national plan. Thus, the plan promises to address the serious interrelated urban challenges that face Iraqi, along Kurdish cities. It is argued that the Iraqi heritage would be satisfactorily upgraded through the adoption of designated plans to protect, redevelop, or renew the urban heritage sites.

In Kurdistan Federal level, The First Article of Act (1) of Year 2005 of the Iraqi Kurdistan Presidential Order known as the [Mandate of the Ministry of Planning \(2005\)](#) created the framework for the planning system in Kurdistan Region. The system has essentially repealed several previous legislations including the centralised method of governance and called for cooperation between ministries and public agencies with the private sector in preparing comprehensive economic, social, humanitarian, and cultural policies that meet the current and anticipated requirements of the people of Kurdistan ([See the Mandate of the Ministry of Planning-KRG, 2005](#)).

Three Regional Development Strategies have been prepared for Kurdistan Region; each is prepared for five years (2010-2014, 2012-2016, 2013-2017) by the Ministry of Planning incorporation with local and international agencies, in March 2011, the Ministry of Planning, KRG in cooperation with the Iraqi government released the Regional Development Strategy 2012-2016, in an attempt to reconstruct the region and start a sustainable development process. It was for the first time that KRG prepared a multi-years strategic plan for the future development of the region. The strategy addresses the urban challenges and heritage potentials. In urban heritage context, the shortage of lands available for housing, and absence of sustainable system for the management of land designated for housing, form the major challenges for urban planning. On the other hand, the strategy stresses on the future trends and visions for urban system and heritage conservation and management through developing systems of urban land management in a more systematic and transparent ways.

The Regional Development Strategy is a strategy for the development of Kurdistan Region. It contains a spatial development strategy and related strategic planning guidelines and visions which provide the planning context for:

- Strengthening the regional economy;
- Promoting good governance, residents participation, transparency and accountability;
- Enhancing the capabilities of private sector, devote responsibilities to local governorates,
- Protecting and enhancing the physical, natural and man-made assets of the Region;
- Housing, public transport, water quality, energy and solid waste management, land management, agriculture sector, education, health, environmental sustainability; and
- Development plans and for guiding public and private investment
- A process to translate to local level the guiding principles and objectives of the Regional Development Strategy;
- A framework for positive coordination between government agencies;
- General and specific land allocations for the full range of land uses needed to support the life of the local community and social and economic progress and;
- A framework for investment by public, private and community sectors; [\(For more details, See Regional Development Strategies 2012-2016; 2013-2017\).](#)

In line with the Regional Development Strategy, which allows local governorate to apply their own provincial policies at the appropriate local level, the three governorates; Sulaimaniyah, Erbil and Duhok have their own local Strategic Plan for Development and Improvement. These plans also guide the master-plans at the local level and the budget allocation of the government.

## **2.5. Geopolitics of Heritage**

In Kurdish cities, the geopolitical implications of Saddam's regime were concretely visible through the urban built environment such as conquest of land, displacement, and even destruction of portions of the city. This process has recently been theorised as urbicide (the destruction of urban) [\(Riley, 2011\)](#). Demolition of villages has also took place in Kurdistan aims to impede or prevent a group from their right to return to their land, while the deliberate neglect of places of heritage and belonging, serves to physically remove identity to a minority population and serve the political agenda of the regime (this is known as geo-politics).

The political patronage has been an important factor undermining the implementation of urban plans. In 1990s, the regime has given plots of land in the peripheral subdivisions to soldiers, member of Baath Party, or other supports of the Saddam administration being rewarded for their support of the government. Additionally, politically well-connected individuals were permitted to purchase from the state large tracts of land that had been set aside for parks, school, and other public amenities. This use of urban land for patronage directly undermined the implementation of master plan.

During the last four decades, Iraqi heritage, both cultural and natural, have been facing huge threats and challenges facing its existence, especially in lieu with the lack of a related appropriate conservation and management programs. To elaborate more, the urban heritage have been always weighed less when it comes to the political-centred decisions that in most cases neglected this invaluable resource in addition to that, it is used as a tool to practice power and control more than ensuring sustainable development. Following is a couple of examples on the consequences of political decisions on heritage sites.

The archaeological site of Babylon, known as Eden Paradise, which dates back to thousands of years has come under huge distortion and irreplaceable damage. [Iraq Heritage Watch \(2012\)](#) denotes that in 1983, Saddam Hussein, the former Iraqi president, decided to rebuild the city on the top of the old ruins. He inscribed his name on many bricks, among the inscriptions; one of them reads "*This was built by Saddam Hussein, son of Nebuchadnezzar, to glorify Iraq.*" These outrageous acts resulted in the removal of Babylon from the World Heritage sites. Moreover, during the American invasion in 2003, the site has been used as a military base ([Iraq Heritage Watch, 2012](#)). Additional damage occurred even after the collapse of Saddam's regime when people were forced to settle in this archaeological site due to poverty and violence ([UNESCO, 2009](#)). Till now, the government still lacks an actual plan to solve this issue and stop the damage.

One of the most devastative man-made environmental disasters has been carried by Saddam's regime between 1991-1997 in an attempt to dry-out the marshlands from Euphrates and Tigris water in southern Iraq. The regime instigated many embankments and constructed six massive canals along a distance of 5000 km to divert water from marshes to Shatt al-Arab. Consequently, over 9000 km<sup>2</sup> of area have been destroyed, as well as resulted in changing the demography of the areas, it was figured that the total population lived there estimated to be 400,000 but reduced to just 200,000 in 1993 ([Vinez & Leonard, 2011](#)).

Similarly, the cultural heritage management experienced a severe setback in Kurdistan, where many historic and heritage sites with immense touristic value were left with no management. Additionally, there was a considerable lack of excavation procedures of archaeological sites. The main reason for this policy was to relegate attention or even destroy Kurdish cultural heritage sites to demolish their potential for identity building. This was evident at all levels of government through consecutive military campaigns against Kurds, which exposed the natural landscape and historic ruins and relics to bombardments. The attack on urban heritage sites was also carried out using strategies such as programmed massive displacements of the population and what is known "arabization" of Kurdish cities, as well as destruction of thousands of villages and natural resources. Iraqi government during 1980s launched extensive chemical attacks in many parts of Kurdistan particularly the city of Halabja near the Iranian border that caused the destruction of the urban life and natural landscape. The bottom line is that the Iraqi heritage (including Iraqi Kurdistan) has always been under political influence and pressure.

Nevertheless, the new Iraqi Constitution considers cultural heritage as a national treasure that need to be managed in cooperation with Kurdistan Region and governorates according to the relevant laws and regulations.

Kurdistan Constitution refers to the responsibility of Regional Authorities to protect the natural environment and enact law that regulate the establishment of protected areas, natural parks, public gardens, etc.. Nevertheless, currently a positive attitude to improve the status of heritage sites could be witnessed due to recent initiatives of adopting designated plans and strategies at the national, regional, province and local level that foresee the urban heritage as an indispensable part of any sustainable development process (For more details, See Appendix 1).

## **2.6. Conclusion**

Kurdistan in Iraq has a long history. Since the ancient time, the region has been a site for the interaction of several civilizations. The region has also experienced turbulences in modern times, which has ultimately changed the political dynamics of the region. Nevertheless, the region has significant potentials emanating from its' abundant natural resources (e.g. petrol), ancient cultural and natural heritage sites, and diverse socio-culture set-ups as well as significant potentials for tourism-related development. These potentials have been affected by the previous urban planning system. The system has intentionally neglected these heritage sites to diminish the Kurdish identity. Yet, recently there is an attempt to address the potential of heritage sites through democratic planning approach, decentralisation and good governance.

## Chapter 3: Integrated Urban Heritage Conservation and Management

*"...heritage is a dynamic concept, the values attached to it, as well as the way it is appreciated changes over time" Schouten (2004)*

### 3.1. Introduction

This chapter provides a theoretical discussion to the related concepts, definitions, and strategies of urban heritage and its conservation as a complex process, along with its need to be integrated within the fields of urban planning and management. The values-based approach as a mode of integrated planning that is in vogue is introduced as a prudent tool within the context of research. Furthermore, it discusses its contribution to the sustainable development process.

### 3.2. The Definition of (Urban) Heritage

#### 3.2.1. What is Heritage?

To know what is heritage is to know the whole humanity. Heritage in its broad denotation and potentials means different things to different people. Indisputably, it represents the community's shared sense of belonging and individual's sense of value for culture, power, politics, science, identity, and place, where all meet and interact as a mode of a non-renewable shared resources that is contributing to the socio-economic and environmental milieu. In the past, the notion of what is heritage was centred mainly on archaeological monuments, which possess historical background and provide valuable information (to understand human, social, and technological development) and experience for professionals, academics and publics, which are necessary to be handed to future generations (Mason & Avrami, 2002). This explains how the pedigree of the fundamental concept of heritage is related to the discipline of archaeology (Donaghey, 2006). Theorists such as (Clark, 2006) justified the study of archaeology as a method to explain the relevance to modern society.

UNESCO defines heritage in a universal context as *"our legacy from the past, what we live with today, and what we pass on to future generations"*. Heritage is, therefore, an inherit from past generations that carries valuable potentials for contemporary societal purposes, but need to be passed on, hand in hand, to future generations. Thus, the definition of heritage is complex and continually changing but often emphasises on the value embodied in its character-defining elements<sup>1</sup>, which helps understanding the interaction between people and place over time. Consequently, heritage is not restricted to time or objects, it could be a creation of present (Donaghey, 2006), it could be tangible or intangible, natural or cultural, personal or collective; moreover, it includes a vast network of diverse interrelated elements. Tangible heritage include artefacts, eco-facts, buildings, gardens, landscape, historic places, whereas intangible heritage include folklore, language, music, dance, manners, memories, customs, traditions, histories and notions of identity.

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<sup>1</sup> Character-defining elements can be define as "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" (Parks Canada, Historic Places Initiative (Canada), 2010, p. 5).



The UNESCO Operational Guidelines for the Implementation of the World Heritage Convention (2005, pp. 13-14) consider natural heritage among the priceless and irreplaceable assets of the whole humanity. Articles 1 and 2 of the World Heritage Convention outlined natural heritage as:

(1) **Natural features** consisting of physical and biological formations or groups of such formations, which are of outstanding universal value from the aesthetic or scientific point of view; geological and physiographical formations and precisely delineated areas, which constitute the habitat of threatened species of animals and plants of outstanding universal value from the point of view of science or conservation; and **Natural sites** or precisely delineated natural areas of outstanding universal value from the point of view of science, conservation or natural beauty.

Whereas, (2) **Cultural heritage** is described as:

- i. **Monuments:** architectural works, works of monumental sculpture and painting, elements or structures of an archaeological nature, inscriptions, cave dwellings and combinations of features;
- ii. **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, and
- iii. **Sites:** works of man or the combined works of nature and man, and. These sites defined as a cultural landscape works of nature and humankind, they express a long and intimate relationship between peoples and their natural environment, it could be a landscape designed and created intentionally by man (garden, parkland, gardens related to monumental buildings and/or ensembles), or organically evolved landscapes (relict or fossil landscape, continuing evolving landscape), or associative cultural landscape: connected with religious/ cultural/ natural elements.

The guidelines also referred to some sites as mixed of natural and cultural heritage: (3) **Mixed cultural and natural heritage sites:** these are natural places that are associated with human activity and that have cultural significance. A cave, a lake or a hill may be important because it is linked to a particular group's ancestors or past. They contain both the elements of cultural and natural heritage (See Figure 3-1).

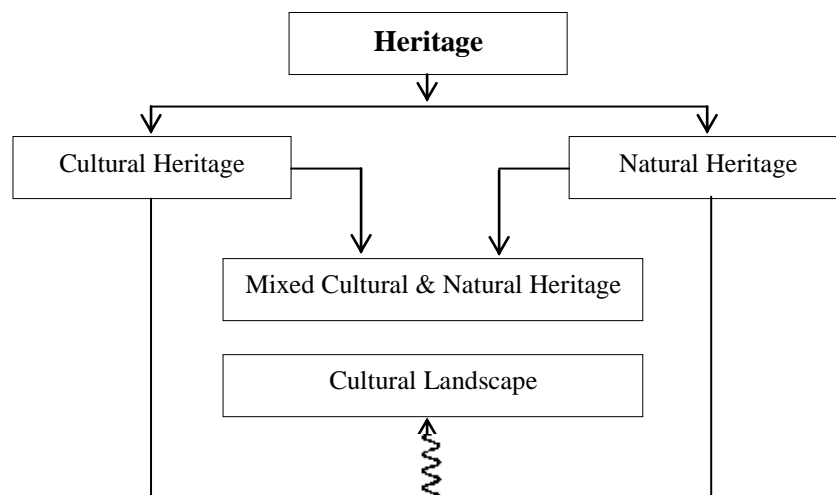


Figure 3-1: Types of heritage sites

Source: Own Constructed based on UNESCO, 2005

In generic terms, heritage is possessive, implying ownership, both individual and communal "at first yours or mine" (Lowenthal, 1998, p. 55 cited in Donaghey, 2006). Thereafter, it soon becomes inherently collective; as a result it can be concluded that heritage represents both a shared legacy and a singular concept.

For example, a person may own a historic building or possesses a personal emotion or meaning to a culturally significant building, though, at the meantime the heritage value of this building can have a collective perception for the whole community such as a sense of national identity.

Heritage symbolises a process of "*where we come from, and who we are, and who we want to be*" (Mason & Avrami, 2002, p.13). Heritage can be thought of as accumulation of culture that requires centuries to be established through interaction between different people at different times and different generations (Ching, 2005). Therefore, heritage embodies ideas and believes of earlier societies and their living processes, and can be viewed as a product of society and cultural vehicle for social identity at all levels for different cultures, nations, communities, groups and individuals (Harvey, 2001; Donaghey, 2006). This implies that heritage has the potential to bring the conflicted parties or the different strata of the society together, to foster tolerance among them, and ultimately, to make better residents through participation in its protection.

Nevertheless, heritage at the same time has the potential to divide people (Mason & Avrami, 2002), and used as a political instrument. Donaghey (2006) argues that in addition to the political dimension, heritage poses a psychological relevance, which denotes that the psychology of people's relationship with heritage places which encourage a greater understanding and appreciation of the history of places. However, the relationship that people have with their environment is complex and indeed personal, and if one wants to understand her/his interests in places, one needs to understand the nature of this psychological relevance. Millar (1995:120 cited in Orbasli, 2000, p.12) contends that "*heritage is about a special sense of belonging and of continuity that is different for each person*".

### 3.2.2. What is Urban Heritage?

In an urban context, heritage has turned into an important entity carrying vast potentials for long term prosperity. A copious of international standards setting documents, including charters and recommendations exists on the management of historic cities, which are useful to guide policies and practices worldwide. These initiatives clearly define the concept of heritage, bearing in mind that most of them have been derived from the experiences of different countries and nations to manage their heritage. The initial international charters have focused mainly on the scale of group of buildings (Jokilehto, 2007). Over time, the concept has expanded to include a historic urban area (quarters and city centres) and historic urban landscape<sup>2</sup> which represents a complex process of social, economic, political and environmental development. However, the main focus has been on city centre, which reflects the cultural diversity and embody a universal value (Cohen, 1999).

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<sup>2</sup> The 1976 "UNESCO Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas" considers the historic urban landscape as "*ensembles of any group of buildings, structures and open spaces, in their natural and ecological context, including archaeological and paleontological sites, constituting human settlements in an urban environment over a relevant period of time, the cohesion and value of which are recognized from the archaeological, architectural, prehistoric, historic, scientific, aesthetic, socio-cultural or ecological point of view. This landscape has shaped modern sociality and has great value for our understanding of how we live today*", as part of the practical measures, the 1976 recommendation proposes that "*a list of historic areas and their surroundings (buffer zone) to be protected should be drawn up at national, regional or local level*" (UNESCO, 2005, p. 2). The international conference of Vienna in 2005 (Vienna Memorandum on World Heritage and Contemporary Architecture - Managing the Historic Urban Landscape) brought up a new concept known as historic urban landscape (Jokilehto, 2010). This concept has its pedigree in Mesopotamia and Egypt. For instance, the attendant relics (dating back to more than 11,000 years ago) obtained informal conservationist agenda in Mesopotamia's city-states, Egypt's pyramid era, and gradually spread to Greece, Rome, and the rest of Europe (World Bank, 1994; Jokilehto, 2002 cited in Birabi, 2007).

Orbasli (2000, p. 13) argues that “urban heritage cannot be narrowed down to individual buildings or monuments of historic interest, nor it can be interpreted simply as a totality of built parts, it exists in the physical attributes of buildings, public spaces and urban morphology; it is experienced by users (inheritors) in the present and it is concurrently in the making of the next generation of heritage”. Thomas (1995) highlights that heritage sites play an irreplaceable role in enhancing the character of urban structure. The value is not confined to the archaeological structure, but also lies within its historical value of the community’s collective memory, which can be regarded as the sense of identity and belonging to the designated area. This means that heritage represents memory of the city, and any living space without sense of belonging and relationship is known as “placeless-ness” (Seamon & Sowers, 2008).

After the evolution of the concept of Historic Urban Landscape (HUL), UNESCO (2012, p. 52) has defined it as “the urban area understood as the result of a historic layering of cultural and natural values and attributes, extending beyond the notion of “historic centre” or “ensemble” to include the broader urban context and its geographical setting”. This definition acknowledges that the entire city is considered as a deposit of many layers accumulated over time into that setting and viewed as one entity.

Notwithstanding, the concept of heritage continues to develop and remain as a point of debate as argued by Howard and Ashworth (1999, p. 11) “heritage is whatever people want to conserve, preserve, protect, or collect” and it varies among people, communities, nations and countries and endures in a dynamic state. Consequently, heritage as an urban form “is not only something we want to hand down to future generations, it is also something we want to appreciate and experience to the fullest extent” (Masser et al. 1994:31 cited in Orbasli, 2000, p.12). In parallel, McLoughlin, Sodagar, and Kaminski (2007) A copious of international standards setting documents, including charters and recommendations exists on the management of historic cities, which are useful to guide policies and practices worldwide In scientific terms: heritage is also important in terms of its educational values; it teaches us something about ourselves, and the environment that surround us (Hall & McArthur, 1996).

*Socially*, heritage is important in determining the sense of place and identity not only for individuals, but also for the nation through enhancing a sense of belonging and cohesion for societies (Mason & Avrami, 2002).

*Economically*, heritage industry comprises, directly or indirectly, a big fiscal sector for the survival of many states, regions and municipalities, especially in developing countries and represents a tool for securing future through tourism activities (Uskokovic, 2006). This explains the multidisciplinary feature of heritage as (Howard & Ashworth, 1999) considers heritage as an important resource for development.

*Environmentally*, heritage encompasses natural landscape, historic built environment and biodiversity (species and habitat condition) (Hambrey Consulting, 2007). Qureshi (1994) argues that built heritage is an insight into the social, political, economic and cultural circumstances which create a built environment.

*Politically*, heritage has always been used by politics to enhance history, national identity or to promote certain political values (Hall & McArthur, 1996).

To conclude, the *definition* of urban heritage is dynamic and constantly changing due to people's inputs and political aspirations, and is characterised by having multidisciplinary dimensions (social, economic, environmental and political). To match the continuous change and broadening in heritage definition, international institutions ask governments to consider broadening and changes in, and adapt the emergent concepts in urban heritage, in their legislation and planning system concerning urban heritage.

For the purpose of this research, the focus will be mainly on the UNESCO description of immovable and tangible cultural heritage (more specifically, archaeological and historical sites, historic urban area) taking into consideration the intangible meanings attached to these sites. Natural heritage (essentially, landscape elements such as topography, forest, springs, waterfalls, natural sites that possess heritage extension) in the urban context has also been studied. However, the important aspect that this research focuses on is how to protect this urban heritage?

### 3.3. The Synergistic Relations Between Conservation and Sustainability

#### 3.3.1. The Articulation of Conservation in Urban Heritage

The concept of conservation can be defined in many ways addressing its evolution. It can be often seen as a dynamic and complex process subjected to continual changes in heritage definition, which closely relies on time and context in which heritage survive. The Merriam-Webster dictionary defines conservation as a careful preservation and protection of something; it is first known use dates back to 14<sup>th</sup> century.

Jokilehto (2002 cited in Birabi, 2007) argues that traditional (informal) concept of conservation has its pedigree in Mesopotamia and Egypt. This is evident in the traced clay tablets, which have been discovered in the palaces of the earliest kings and rulers who lived in Iraq such as Asarhadon (660-669 B.C), Ashurbanibal (668-627 B.C.), and Nebuchadnezzar (604-562 B.C.), which reflect the passionate of the earliest civilizations for reserving the sources of knowledge of their time about the past events.

Tunprawat (2009) contends that the earliest traditional conservation concept usually fall under renewal or repair of religious sites, which demonstrates the respect of people to the places (spiritual value) of worship to guarantee the continuous use of these places. However, western literature claims that modern practice of conservation roots in Europe as a reaction to the destructive effects of industrialisation movements at the end of 18<sup>th</sup> century (Esposito & Inès, 2010).

Nevertheless, a political and psychological aspect could be important to conservation practice. Hubbard (1993 cited in Larkham, 1996) explores the psychological motives behind conservation and suggests that it is familiar and of value in, for example, stabilizing individual and group identities, particularly, in times of stress (in multicultural society context). Holzner (1970 cited in Larkham, 1996) gave an interesting description of conservation in practice in post war Germany, he noticed that after wartime destruction of over one million buildings, every effort was made to repair as many of the old buildings as possible and to reconstruct them in the inherited manner. The concept of conservation has been internationally defined in many charters mainly the Athens Charter (1931), the Venice Charter (1964), the World Heritage Convention (1972), the Nairobi recommendations on safeguarding historic areas (1976), the Washington Charter (1987), and the Vienna memorandum on managing the historic urban landscape (2005), to name a few. In western countries, the modern conservation process focuses on single monument protection as an early form of conservation practice. After the World War II, remarkable expansion in the goals of conservation process has been accomplished, by shifting from protecting single monument to groups of buildings (historic urban area as introduced in the majority of international charters). However, the main focus was still on architecture and not the urban fabric (different strategies have been adopted to extend physical life of historic building (For more details see Box 3-1).

Thereafter, conservation process started to include historic urban areas and its surroundings and settings as described by [Bhatta \(2008\)](#) as area-based conservation or district regeneration. Further broadening in the scope of urban heritage conservation was introduced in the Vienna Memorandum in 2005, which calls for the concept of historic urban landscape conservation. This was based on the knowledge of our heritage resources, and the critical assessment of associated assets and merits ([Jokilehto, 2010](#)).

#### Box 3-1: Strategies to Building Conservations

- **Conservation** encompasses a range of strategies or treatment to retain (and enhance) the historic places' heritage value and to extend their physical life, and include: **Preservation** involves protecting, maintaining and stabilizing the form, material and integrity of a historic place while protecting its character-defining elements. It is the primary treatment when the character defining elements are relatively intact and have sufficient integrity to convey significance without extensive repair or replacement. Conservation is the most cautious or conservation intervention and is the foundation of all conservation activity, including the additional treatments of rehabilitation and restoration.
- **Rehabilitation** involves the sensitive adaptation of a historic place, or a component of it, for a continuing or compatible contemporary use while protecting its character-defining elements. Rehabilitation can include repairs, alterations and additions. It is the primary treatment when use is important to the conservation of the historic place and heritage value lies principally in the relationship with its context.
- **Restoration** involves accurately revealing, recovering or representing the state of a historic place, or a component of it, as it appeared at a particular period in its history, while protecting its character-defining elements. Restoration may be the primary conservation treatment when the significance of the historic place significantly outweighs the potential loss of existing materials or features from other periods. Restoration must always be based on substantial physical and documentary or oral evidence, and never on conjecture. It is the most extensive intervention into historic place and potentially the most damaging.

**Source:** Adapted from Standards and Guidelines for the Conservation of Historic Places in Canada (2010, p. 16)

To this point, a contentious relationship between conservation and changes due to development has been accentuated in the related literature. In other words, the continuous development in the concept of heritage and its inclusion to the historic urban area and its surroundings complicated the process of conservation to struggle with changes (physically and spatially) due to social, economic, demographic, and political tasks of urban development. The success of heritage conservation becomes dependent on reconciling conservation with revitalisation process ([Tiesdell, Oc, & Heath, 1996](#)). This has also been pointed out by [Ashworth \(1994\)](#) who argued that conservation in the 1960s was "preserving purposefully" as precisely argued by [Burke \(1976\)](#) aimed at regeneration and rehabilitation of areas through sensible land use management plan and protective designations.

Changes and conservation both belong to urbanism (Global Theory), which is essential in terms of long term prosperity of people's life. Consequently the process of conservation is defined as *careful management of changes* to ensure that their special qualities are protected, enhanced, enjoyed and understood by present and future generations ([Cadw, 2011, p. 6](#); [Johansson, 2010](#)). This means that conservation has moved from a prescriptive to a more operative framework.

Nonetheless, the question which continues to express itself here is: how much change can be perceived in historic urban area? why? and who should decide?

This consequently propelled the on-going debate about the emergent concept of value in conservation process. Apparently, *The Burra Charter: The Australia ICOMOS Charter for Places of Cultural Significance* (1999, p. 2) focuses on the concept of value in defining conservation and argues that “*conservation is all the process of looking after a place so as to retain its cultural significance*”, which constitutes the different values: aesthetic, historic, scientific, social and spiritual for past, present, or future generations. Ashworth and Tunbridge (1990, p.24 cited in (Nasser, 2003, p. 471) denote that heritage is the concept that “*link between the preservation of the past for its intrinsic value, and as a resource for the modern community as a commercial activity*”. The wide use of heritage as an asset in tourism, for instance, generates an economic value which is known as “heritage industry” that has gained an important role in economic development. This justifies the process of conservation and provides a fiscal source despite the fact that the conflict relation of economic value with site significance (other values) has further complicated the process of conservation. It explains the paradoxical (interrelated and interdependent) relation between heritage and tourism.

### 3.3.2. The Articulation of Urban Heritage Conservation in Sustainability

Sustainability means the capacity to continue. It is a process that aims for sustainable development as an outcome. At the beginning, the concept of sustainability emphasised ecological concerns, thereafter the concept extended to the arena of heritage development (Kausar, 2012).

The term 'sustainable development' was first introduced at the United Nations Conference on Human Environment in 1972, and has been adopted by the *United Nations Environment and Development in its report 'Our Common Future'* (1987, p. 15) which defines sustainable development as a “*development that meets the needs of the present without compromising the ability of future generations to meet their own needs*”, which is reflected in the aim of the heritage conservation, which is to pass on maximum significance to future generations.

The process of urban heritage conservation is strongly concerned with the wise and beneficial use of resources (See Section 3.3.1), and since heritage as an inherited legacy implies "both receiving and giving" (Thomas, 1995, p. 206), thus one could conclude that conservation and sustainability of heritage can be brought together in a common philosophy and practice that is mutually supportive (Bizzarro & Nijkamp, 1996).

Sustainability to heritage conservation and management means "*ensuring the continuing contribution of heritage to the present through the thoughtful management of change responsive to the historic environment and to the social and cultural processes that created it. By shifting the focus to perception and valuation, conservation becomes a dynamic process involving public participation, dialogue and consensus, and an understanding of the associated traditions and meanings in the creation, use, and re-creation of heritage*" (Matero, 2003, p. 8). Throsby (2005, pp. 4-6) outlines the principles of sustainable heritage conservation as:

- Intergenerational and intragenerational equity: reflects fair use of resources which have inherited from our forebears and which we hand on to future generations.
- Maintenance of diversity.
- Generate tangible and intangible benefits.
- Wise use of resources.
- Observance of precautionary principle.
- Holistic consideration of heritage and its values.

As such, heritage sustainability meets the process of sustainable development to manage resources illustrated by World Tourism Organisation (WTO) and United Nations Environment Programme (UNEP) (2005, p. 9), which provides a list with the three main principles:

1. Environmental sustainability, to ensure that development is compatible with the maintenance and preservation of the environment (this encompasses both the natural and built environment).
2. Social and cultural sustainability ensures that development increases people's control over their lives, is compatible with the culture and values of people affected by it, and maintains and strengthens community identity.
3. Economic sustainability ensures that development is economically efficient and that resources are managed so that they can support the future generations.

Finally, it can be concluded that the role of heritage in sustainable development has been acknowledged. However, the question which arises here is about the approach required to carry out heritage to sustainability.

### 3.4. Conservation Plan and Integrated Conservation

The notion of the city is acknowledged as an *endless changing process* (Gonçalves, 2007, p. 78) to adapt the needs and aspirations of their inhabitants. These changes are inevitable due to urbanism and population growth, which demands more consolidated infrastructure and economic activities. Pressures from these driving forces have direct impacts on historic districts, thereby creating conflict, or mismatch, between the capability of the built environment and its surroundings, which make them unable to accommodate with the development needs and expectations, this phenomenon is named as obsolescence<sup>3</sup> (Snyder, 2008).

Obsolescence occurs in a building or an area, it could be physical/structural, functional, or economic/locational. It is directly related to the urban development dynamics, which could be static, declining and high. Nevertheless, a dynamic state of economic development causes more burdens on old buildings that would be eventually demolished (Doratli, 2000) (See Box 3-2).

This has been translated in the recent construction of high rise buildings making use of the new building materials (mainly in city centre and nearby areas) to allow a new spirit in the city (Ranelluci, 2003:69 cited in Gonçalves, 2007).

Some of the changes often lead to considerable increase in the scale and density of buildings and causes loss of the traditionally established visual integrity of historic built environment. Other changes affected the landscape and resulted in a state of hectic development, the phenomenon is known as urban sprawl. As a result, the environmentalists and public officials in North America adopted the concept of “Smart Growth” that became as a new fad of spatial development to control city expansion and curb urban sprawl in a planned fashion and to protect objects valued by society (Al Rabady, 2006). Moreover, in addition to the pressure of urbanisation, the blurred recognition of heritage in different contexts and obsolete of heritage sites pose further threats to the process of heritage conservation (Mohan, 2010). Ultimately, urban heritage conservation can be genuinely considered as a reaction to urban sprawl (Mason, 2006) and became as a land-use decision making process (Heritage Branch British Columbia, 2011).

<sup>3</sup> The obsolescence of building and areas is expressed in mismatch between the services offered by the fabric and the needs see through contemporary eye” (Lichfield, 1988, p. 25).

### Box 3-2: Patterns of Obsolescence

- **Functional obsolescence** of buildings and public spaces arises when these structures become inadequate for the functions for which they were originally designed. Examples of this problem are the traditional houses of high-income families in the historic centres, which were abandoned by their wealthy occupants when changes in fashion and the desire for modern amenities made suburban dwellings more desirable. The houses were turned into slum dwellings occupied by low-income families, a change of use that although destructive of the asset, is welcomed by the poor families who benefit from the central location of the housing and by the landlords who extract rental income from otherwise useless real estate. A similar pattern of obsolescence affects other types of historic buildings, such as old hospital buildings that become obsolete as a result of new medical technologies, old libraries that are incapable of accommodating modern sized book stocks or new information technologies, railway stations no longer used, or convents or churches that communities can no longer support.
- **Physical obsolescence** refers to the deterioration of the structure, installations, or façade of buildings to the point of turning them incapable of accommodating the functions they house. Usually the outcome of poor maintenance, physical obsolescence may also result from natural disasters (earthquakes or floods) or the sustained effect of the weather or urban activities (for instance, vibrations generated by vehicles)
- **Economic obsolescence** occurs when it is no longer profitable to continue using a building for its original purposes because the land on which it sits has increased in value, resulting in increasing pressures to tear it down and put the land to the market's "best and highest use." This process affects historic districts, particularly in large cities that continue to experience pressure for commercial development and service

Source: (Rojas & de Moura Castro, 1999, p. 5)

In order to protect heritage sites (cultural and natural) and its significance, each site needs a dedicated conservation plan. Clark (1999) describes a conservation plan to be *"simply a document which explains why a place is significant and how you will sustain that significance in any new use, alteration, repair or management. It is based on a very simple thinking process which starts with describing what is there, why it matters, what is happening to it and the principles by which you will manage it and then sets more detailed work programmes for maintenance, management, access, use or other issues. A plan helps you care for a site by making sure you understand what matters and why [before] you take major decisions"*.

Accordingly, a conservation plan is comprised of three main components: (1) understanding heritage significance, (2) developing objectives to retain significant values, and (3) manage to achieve objectives (Australian Heritage Commission, 2000) (See Figure 3-2).

- Identification of heritage items is the initial step in conservation plan, which is carried out through understanding the significance of the site such as historic, architectural, aesthetic, cultural, and educational. However, identification and categorizing require an inventory through a detailed survey, research and documentation within the framework of laws and well defined criteria (Bhatta, 2008).
- In settings the objectives of a conservation plan, physical, spatial and social needs should to be taken into consideration. These entails that urban conservation is considered as a complex process that demands physical conservation, internal equilibrium and functioning. Additionally, it needs to deal with two fragmented tasks, which are the preservation of the urban and architectural heritage, and the developmental of the social and economic life of the city (Serageldin, Shluger, & Martin-Brow quoting Levi Strauss, 2001, p. 334).



Said differently, conservation plan needs to consider all values in order to sustain the integrity<sup>4</sup> and authenticity<sup>5</sup> of heritage site, which is rather a complex process that requires an integrated approach (Feilden & Jokilehto, 1998; Zancheti et al, 2004; Bizzarro & Nijkamp, 1996; Mohan, 2010).

- **Managing to achieve objectives (management plan):** This step include implementation, monitoring and review to ensure effective conservation of a site. Furthermore, this step emphasises more on the managerial aspects than physical conservation and aims to establish clear institutional arrangements that include defining responsibilities, structure, government policies, and laws for site management (Kammeier, 2008). It requires, nevertheless cooperation and coordination between different governmental agencies (Bhatta, 2008). World heritage site need to have a management plan for each site, where institutional arrangement should be clearly defined , in order to cope with the jurisdiction with overlapping patterns of (1) property ownership, (2) local administration, and (3) state responsibilities for any site , buffer zone , including finance.

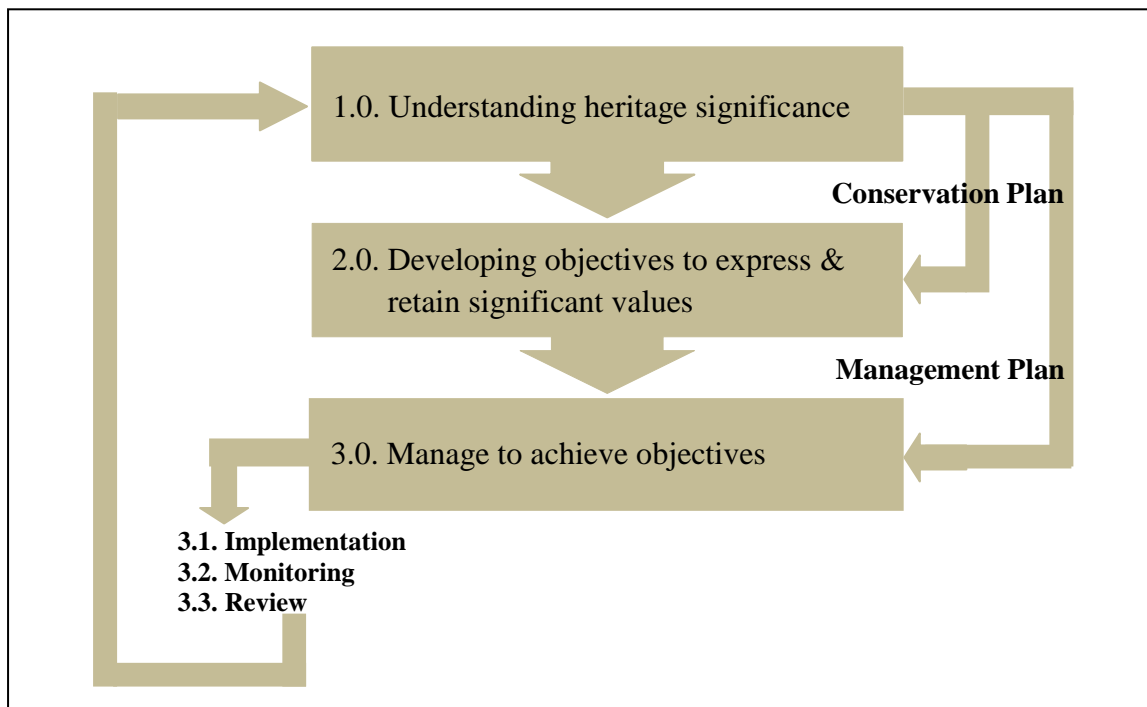


Figure 3-2: General Process of Conservation and Management of a Heritage Site  
Source: Imon & Ee, 2008 (Adapted from Australian Heritage Commission)

The conservation and management plan are considered to be important activities, and in order to be effective, they need to be integrated with overall plans and management efforts (See UNESCO Recommendation on the Historic Urban Landscape, 2012; Standards and Guidelines for the Conservation of Historic Places in Canada, 2010).

Integrated conservation as defined by (Feilden & Jokilehto, 1998, p. 80) is the "reconciling conservation requirements and town planning objectives, i.e. considering the values and interests of the existing historic fabric as equal in status to other factors in the general planning process".

<sup>4</sup> Integrity refers to completeness or intactness of a site and its attributes (Imon, Dioko, Ong, & Kane, 2007)

<sup>5</sup> Authenticity refers to the genuineness or originality of a site (Imon, Dioko, Ong, & Kane, 2007)

Such an endeavour is not new to urban heritage, nor is it confined to the resource management arena, it can be traced back to Giuseppe Campos Venuti and Pierluigi Cervellati with their 1969 plan for Bologna centre in Italy. It has been a mainstay to introduce an integrated and socially conscious approach to conservation with sustainable development vision not just to historic urban areas but also to towns, villages, and surrounding regions that inspired the Declaration of Amsterdam and the European Charter of the Architectural Heritage issued by the Council of Europe in 1975 (Siravo, 2011).

Currently, the idea of integrated approach to urban heritage conservation and management has gained a widespread acceptance among planning scholars and conservation practitioners, as well as national and international organisations (Bizzarro & Nijkamp, 1996). Zancheti et al. (2004, p. 1) contend that integrated heritage conservation is a vehicle to sustainable development and defines the concept as:

*“a part of the general process of the planning and management of cities and territories in accordance with a multi-referential perspective (economic, political, social, cultural, environmental and spatial);  
it centres on (but does not limit itself to) the physical and spatial aspects of the consolidated urban areas that are socially recognised as of cultural value and seeks to maintain the integrity, authenticity and continuity of urban areas of cultural value for present and future generations;  
it emphasises the conservation of the physical and spatial aspects within the development/transformation process of the city, while seeking sustainable development by transforming the cultural values of the city into assets that add value to all dimensions of the development process (economic, political, social, cultural, environmental and spatial)”.*

At the policy level, conservation need to be incorporated in governmental development strategies by promoting conservation as one of the means to achieve economic and socio-cultural development (Bhatta, 2008). This means that conservation policies have to be integrated with land-use, tourism, transportation, urban design policies. Literature indicates that integrated approach has been widely advocated to complex issues such as land use and resource planning (See Margerum, 1997; Mitchell, 2005; Mahjabeen, Shrestha, & Dee, 2009; Nyaupane, 2009; Aas et al., 2005; Jamal & Getz, 1995; Ladkin & Bertramini, 2002). At present, the complexity of urban and territorial transformation processes, where heritage management addresses a multiplicity of actors, interests, and issues, calls for a more integrated and goal-oriented approach (Garrod and Fyall, 1998 cited in Al Rabady, 2006; European Urban Charter (1992); Lisitzin (2005); Zancheti et al, 2004; Bhatta, (2008); Scheffler, Ripp, and Bühler (2009); Bizikova, Swanson, & Roy (2011); Imon & Ee (2008); Imon (2003).

### **3.4.1. Characteristics of Integrated Planning Approach**

Between 1960 and 1970, many urban problems in the USA and western countries appeared concerning social justice, spatial segregation based on the socioeconomic stratification of population, inequitable distribution of resources, traffic congestion, low serviceability, rise of unemployment rates, urban sprawl and human settlements fragmentation, environmental pollution and degradation, resource depletion. All of all has resulted into an unsustainable nature of urban form (Abukhater, 2009). The aspiration was to achieve 'comprehensiveness' in relation to the management and guidance of such forces which were seen to require interdisciplinary work to secure horizontal or 'inter-sectoral' coordination between different policies (Ferreira et al., 2009).

This requisite justifies the drive towards integrated approach to manage such interrelated problems within urban complex and urban heritage, which by far fed this complexity, and explains why the recognition of the requirements for an integrated approach in land use and transport planning was one of the most salient examples, and why the urban heritage policies and plans were integrated with urban development policies and plans.

### ***Holistic (inclusive) and Interconnected***

Integrated conservation, as referred to in the Declaration of Amsterdam, is defined as “*a systemised method of managing heritage that considers the possible elements involved, such as cultural, social, and economic values*” (Vieira, 2007 cited in Johnson, 2009, p. 6). This means, as argued by Scheffler et al., (2009) actions are not only concerned with the physical dimension, but also involve new sustainable uses to historic buildings and structures. It gives a priority to cultural heritage as a future-oriented value, which makes cultural heritage part of residents’ daily life, by targeting the economic, environmental and social needs of the community “holistic approach” This is the same also to natural sites. Accordingly, heritage planning need to be linked with all levels of urban and regional planning in general (Washington Charter, 1987; Zancheti et al, 2004; Bhatta, 2008; Scheffler et al, 2009; Murray, 2006).

Evidently, it seems to be a complex and inevitable task. To reduce the complexity surrounding the process of heritage conservation, the elements of social, economic, cultural, spatial, politic and environmental systems need to be interconnected while their diversity maintain through balancing different needs of society (Garrod and Fyall, 1998 cited in Al Rabady, 2006; Scheffler et al., 2009; Carlson and Stelfox, 2009; Margerum, 1999; Bizikova et al, 2011). This process demands diverse array of knowledge and information to be included to realise holistic and interconnected characteristics of integrated approach (Margerum, 1999; Carlson and Stelfox, 2009; Imon & Ee, 2008).

### ***Strategic and Goal Oriented***

Integrated approach need to be strategic and goal oriented focuses on the key elements of the system of concern and proactively plans for the desired goals and precautionary limit the risk of unanticipated and undesirable impacts (Carlson & Stelfox, 2009). The approach determines and establishes the appropriate vision, goals, objectives, strategy, actions and management structure based on comprehensive analysis of current situation and the main field of action to balance different needs and interests of stakeholders and to use heritage as a development asset (Scheffler et al, 2009).

For the integrated approach to be strategic, its vision need to be based on physical analysis (including morphological development of history, urban pattern, architectural evaluation and infrastructure); functional analysis (the current use of the site, determining land use information about the distribution of functions in the heritage area and its surroundings, the sit accessibility, traffic circulation, all modes of movement and land use survey); and socio-economic (covers the demographic changes, economic activities and employment patterns, regional plans and institutional arrangements including laws and bylaws) (Hoskara & Doratli, 2003).

Considering opinions and interests and understanding problems of all disciplines through involvement of diverse stakeholders help to identify commons goals and provide clear direction for resolving obstacles, which subsequently provide clear guide for management decisions (Hall, McArthur, 1998 cited in Al Rabady, 2006; Mason, MacLean, & de la Torre, 2003; Murray, 2006).

This consequently renders the integrated approach a dynamic (enables a dynamic planning process and better adapt to changes) and effective approach (represents the diverse opinion, needs and attitudes of the stakeholders) (Justice & Jamieson, 2012).

To this end, it can be concluded that an integrated approach is not an easy task, since it means acknowledging all disciplines related to social, economic and environmental values into consideration when deriving plans to determine the most appropriate solutions for interrelated and messy complex problems. This is done generally through active involvement of diverse experiences. The challenge which appears here is that, although a single problem has its roots in a single field (i.e. mono-rational dimension) it also stems from its cross-disciplinary nature (poly-rational dimension) (Abukhater, 2009). But, as Bizzarro & Nijkamp (1996) contend the integrated conservation incorporates both the principles of protection and management of historical and cultural heritage, and therefore it is trapped within all decision-making processes. At the end, what remains of great importance is to figure out the most suitable way to operationalise the integrated approach in urban heritage, this approach need to be framed by supportive institutional arrangement for heritage planning and management in country.

The next section further compartmentalises the complexity of the integrated approach as a fragmented nature that needs an integrated management as a method to retain successful.

### 3.5. Integrated Management

The complexity surrounding heritage conservation process, which has been thoroughly discussed above in (See Section 3.4) is thought to be related to the multidisciplinary and multi-interventional nature of heritage that demands the conservation process to deal with and balance the different needs of multiple disciplines. Evidently, this wide and complex task cannot be dealt with by a single government agency since none has the entire knowledge, skills, and resources to competently integrate heritage with urban development dynamics that is characterised by cyclic waves of changes. Therefore, it is anticipated for this task to be fragmented<sup>6</sup> among various agencies at both horizontal and vertical levels. The notion of complexity is further complicated and fragmented, when heritage is recognised in legal frameworks as an object rather than being trapped merely in its spatial concept. This increases the ambiguity over different heritage aspects, which in turn lead to multiple interventions by multiple stakeholders (Mohan, 2010). The complex nature of urban heritage, thus, makes it a must to fragment the conflicted complexities.

Another source of augmenting complexity and expanding fragmentation is the paradoxical relationship between heritage and tourism. Though, tourism is the key to potentially preserve heritage (Garrod & Fyall, 2000; Tunbridge & Ashworth, 1996), but this interrelated and interdependent relation, which result from the differences in values, interests, expectations and priorities among stakeholders, create conflicts challenging the process of heritage preservation and management (Nyaupane, 2009), particularly when conversationalists perceive heritage tourism as compromising goals for profit (Nuryanti 1996 cited in Aas et al., 2005). The degree of conflict between heritage and tourism management depends on the differences in consumption of heritage by tourists and residents (Tunbridge & Ashworth, 1996 cited in Nyaupane, 2009).

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<sup>6</sup> The fragmentation here is two-dimensional; vertical and horizontal. The presence of fragmented problems at different levels, such as governmental from local to provincial/state, national or international is referred as to vertical fragmentation, but the fragmentation between different agencies of a government is referred to as horizontal fragmentation. Both, the vertical and horizontal fragmentation occur simultaneously (Mitchell, 2005).

To recap, the issue of complex problems and for integrated conservation to be successful, integrated management is necessary which demands cooperation, coordination, networking, communication, partnership, and active participation as ways to achieve a fully integrated management (See UNESCO Recommendation on the Historic Urban Landscape, 2012;. Standards and Guidelines for the Conservation of Historic Places in Canada, 2010; Mitchell, 2005). Below is a brief exposition to these terms.

- **Cooperation** means "working together to some end" (Fowler, 1964, p. 269). However, as a process it refers to mechanisms through which organisations share information and space through networking integrated structure on a short term base to establish common objectives informally without losing their autonomy and/or adjusting their individual goals (Brown & Keast, 2003).
- **Coordination** refers to mechanisms that link different components of a system together tightly and formally (Mulford & Rogers 1982; Peters 1998 cited in Brown & Keast 2003) through sharing information and making initial compromises (Forest, 2003). The process aims at implementing strategies to achieve predetermined goal and mission through information sharing, transparency, joint planning, and decision making, which are carried out through networks of integrated structures.
- **Networking:** Murray (2006) outlines the levels of coordination across horizontal and vertical dimensions of policy and institutional systems and structures to achieve a holistic (integrated) approach to resource management:
  - *Horizontally: across administrative boundaries; between agencies and departments within the same level of government; and between government and non-government stakeholders.*
  - *Vertically: across multi-agents and multi levels within and outside the competent authorities.*
- Another level of networking among actors is shaped through what is known as **partnership**. Partnership is worth to be mentioned here, as a structured cooperation between two or more parties possessing rights and responsibilities in planning, with construction and/or exploitation of facilities in which they share or reallocate equal risks, costs and benefits, and provide more access to resources especially financial wise (Van Rij, 2007). It also implies informal or formal relationships where participants may represent a single constituency and retain their authority, but has a commitment to an individual mission, and understand their partner's mission (Aarons, 2012)
- Integrated approach requires **communication** channels for better understanding of stakeholders needs within administrative bodies and people through which community involvement can be motivated (Kim, 2001). The presence of networks at horizontal and vertical levels of administrative bodies' particularly local agencies and residents allows opening up of communication lines (Hall, 1999; Bramwell, 2006 cited in Al Rabady, 2006; Kim, 2001).
- The notion of **participation** as defined by (Perkins, Florin, Wandersman, & Chavis, 1990) means a process in which individuals take part in decision making in the institutions, programs and environments that affect them. Participation has taken many forms starting from traditional modes of public hearings ending to normative modes that seek public engagement and empowerment in decision making processes.

As evident, traditional participatory processes depend on public hearings and comments without granting publics a real power to take part in the process of decision making. This is what Arnstein (1969) referred to as "manipulation" and "therapy" as modes of non-participation in her famous ladder of participation.

Apparently, these appear to be insufficient in addressing complex urban problems because it restricts information sharing; reinforce stereotypes; limit public involvement in plan development, and promote win-lose solutions (Blahna & Yonts-Shepard 1989; Friedmann 1973; Maser 1996; Susskind & Cruiskshank 1987; Wondolleck & Yaffee 1994 cited in Bentrup, 2001).

Integrated approach requires active or real participation of all related stakeholders, including residents, in early stages of the planning process, which in turn increases skills, knowledge, confidence and self-reliance, and needless to say this is considered as a principle to achieve sustainable development. Thus, participation could be considered as an end rather than a mean to achieve other things. However, it can be a mean to achieve specific goals such as building a better management structure. In either case, participation as a mean or an end ultimately aims at improving management processes (Ingles, Musch, & Qwist-Hoffmann, 1999) since it is all about negotiating goals (Patrizio Warren, 1997 cited in Ingles et al., 1999). Nevertheless, participation has a political connotation, which implies that it is a mean to reduce power differences (Ann, 1983). Therefore, people participation need to have a place in the ideology of the state (Ingles et al., 1999). The interests of relevant stakeholders have to be legitimate in participation process (Kim, 2001; Scheffler et al, 2009; Catacutan and Tanui, 2007). Stakeholders legitimates should be equal in integrated approach with claims to knowing the proper problem definition and its most desirable solution (Larsen, 2011). The more legitimate the stakeholder, the better chances for problem solving (Scheffran, 2006). This requires stakeholder involvement in early stage of planning (Kim, 2001; Scheffler et al, 2009). Furthermore, stakeholders require empowering to seek reconciling and integrating their divergent interests in order to reach an agreement or consensus (Scheffran, 2006). Local communities need to empower their encouragement to participate in integrated heritage conservation (ICOMOS: *The Paris Declaration*, 2011). Thus, the social capital is indeed necessary to put integrated approach into operation (Margerum, 1999).

The governance model of a state should be based on transparency and accountability (UNDP, 1996). For heritage management, the process should follow a transparent system so that the local community would be beneficial through heritage conservation (Bhatta, 2008). Transparency is based on free flow of information so that the process, institutions and information are directly accessible to those concerns with them (UNDP, 1996). To facilitate integrated implementation, accountability of governmental agencies is required for development (Carlson & Stelfox, 2009).

To sum up, cooperation, coordination, traditional participation, and partnership appear to be inadequate to produce an enduring integrated management particularly in fields with fragmented nature (Ladkin & Bertramini, 2002; Bentrup, 2001). This is because in these mechanisms, more focus is placed on narrow sectoral interests than on broader public interests (Hall, 1999). However, they are still considered as important initial steps for enabling environment in supporting a collaborative doctrine (Forest, 2003) that encloses network structure as fully integrated system (Figure 3-3).

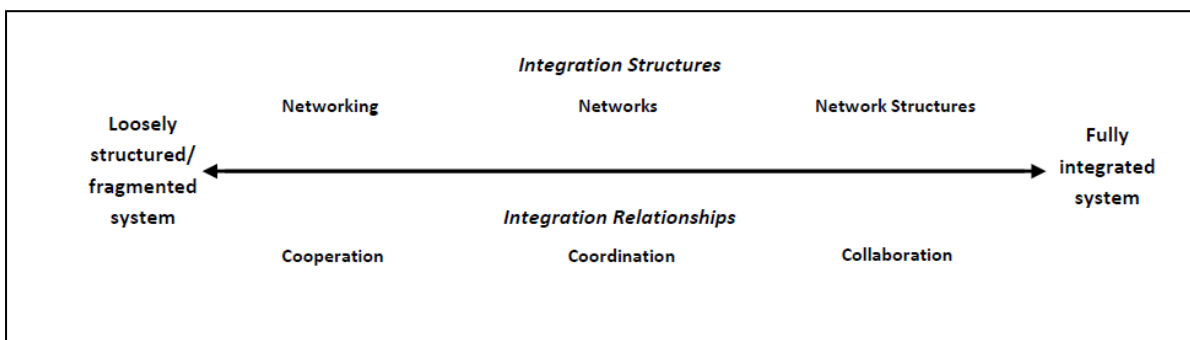


Figure 3-3: 3 C's Relations: cooperation, coordination, and collaboration  
Source: Brown & Keast, 2003

**Box 3-3: Characteristics of an integrated planning and management****How should the plan be?*****Holistic (inclusive) and Interconnected***

- **Holistic:** Holistic approach is required in order for an integrated conservation to be achieved. Different social, economic, cultural, spatial, politic and environmental systems has to be considered when linking the concept of heritage with all levels of urban and regional planning (Zancheti et al, 2004; Bhatta, 2008; Scheffler et al., 2009; Murray, 2006).
- **Interconnected:** Elements of social, economic, cultural, spatial, politic and environmental systems need to be interconnected to reduce the complexity surrounding the process of heritage conservation. Such an approach should maintain the diversity of these systems through balancing different needs of society (Garrod and Fyall, 1998 cited in Al Rabady, 2006; Scheffler et al., 2009; Carlson and Stelfox, 2009; Margerum, 1999; Bizikova et al, 2011).
- **Requirements:** Diverse array of knowledge and information need to be included to realise holistic and interconnected characteristics of integrated approach (Imon & Ee, 2008; Margerum, 1999; Carlson & Stelfox, 2009).

***Strategic and goal oriented***

- **Scope:** For a strategic approach to be dynamic it should determine and establish an appropriate vision, goals, objectives, strategy, actions and management structure based on comprehensive analysis of current situation and the main field of action to balance different needs and interests of stakeholders and to use heritage as development assets (Scheffler et al, 2009).
- **Level of Intervention:** Hence, considering all opinions (including values) and understanding the problems of all disciplines help to identify common goals and provide clear direction for resolving obstacles which subsequently provide clear guide for management decision (Murray, 2006). The approach bridges conservation activities within different actions of urban and regional planning. Integration at policy level, planning level and project level as a key to achieve sustainable development in historic towns (Imon, 2003).

**How to carry the plan?*****Coordination***

- **Two-dimensional:** A coordinated framework across horizontal and vertical levels of policy and institutional systems and structures is necessary to achieve integrated approach (Murray, 2006).
- **Transparent and accountable:** the governance model of a state should be based on transparency and accountability. The process of heritage conservation should follow a transparent system so that the local community would be beneficial through heritage conservation (Bhatta, 2008). To facilitate integrated implementation, accountability of governmental agencies is required for development (Carlson & Stelfox, 2009).

***Cooperation and partnership***

- **Start point at the local level:** When integrated approach is foreseen, cooperation from various sectors is essential together with developing a good relationship with other stakeholders through partnership (Imon & Ee, 2008). An integrated approach requires cooperation and partnership which should begin at the local level (Bramwell & Lane, 2000).

***Communication***

- Integrated approach requires communication channels for better understanding of stakeholders' needs within administrative bodies and people through which community involvement can be motivated (Kim, 2001). The presence of networks at horizontal and vertical between administrative bodies particularly local agencies and residents allows opening up of communication lines (Kim, 2001 and Hall, 1999; Bramwell, 2006 cited in Al Rabady, 2006).

**Participation (Legitimacy, Empowerment)**

- An integrated approach requires the involvement of all related stakeholders including residents in early stage. A social capital is necessary to put integrated approach into operation (Margerum, 1999).
- Legitimizing the interests of all stakeholders is mandatory in integrated heritage management (Kim, 2001; Scheffler et al, 2009; Catacutan and Tanui, 2007).
- Stakeholders in integrated approach require equal legitimate claims to knowing the proper problem definition and its most desirable solution (Larsen, 2011). The more legitimate the stakeholder, the better chances for problem solving (Scheffran, 2006). This requires stakeholder involvement in early stage of planning (Kim, 2001; Scheffler et al, 2009).
- Stakeholders involved in an integrated approach require empowerment to seek reconcile and integrate divergent interests to reach agreement or consensus (Scheffran, 2006). Local communities need to be empowered and encouraged to participate in integrated heritage conservation (Paris Declaration, 2011). This would ensure accountability for carrying out actions.

To this end, an examination to the evolution of heritage and urban heritage in planning theory and its relation to conservation efforts has been done. It was concluded that there is a need for an integrated approach to conservation and management in order to achieve sustainable outcomes.

### 3.6. Conclusion

By revisiting the notions of heritage and urban heritage in the context of planning theory, it is concluded that they are in a state of dynamic and complex relation with the conservation efforts. The more the scope of urban heritage is examined within the conservation efforts, the more complex the result is when considering the possible multi-disciplinary changes that it should face. Therefore, this acknowledges urban heritage as a multi-disciplinary concept interacting with socio-economic, environmental, and political aspects of sustainability, and thus it becomes related to the vision of sustainable development.

A worthwhile approach to consider achieving sustainable development is the integrated conservation (i.e. holistic interconnected and strategic goal oriented process) grounded on a comprehensive analysis of site (including physical, functional, socio-economic and institutional arrangements), due to the complex nature of the process. This becomes more realistic when acknowledging the fragmented tasks of conservation that needs integrated management itself (cooperation, coordination, communication, and partnership among different stakeholders). In addition, the integrated approach should be supported by the institutional arrangements. The way to promote/operationalise the integrated conservation and management is of great stake here, and it is advanced through real participation of different stakeholders' effort.

The next chapter presents in details the collaborative theory and practice and the rationales behind being a preferred approach in resource/heritage management, exploring the collaborative practice potentials and challenges as a step in adopting an integrated approach to heritage conservation and management.



## Chapter 4: Collaborative Theory and Practice

*“The question is not whether the conditions are ideal for collaborative planning, but whether the conditions have reached the point where it is opportune to commence a collaborative planning process” (Gunton & Day, 2003, p. 9)*

### 4.1. Introduction

This chapter aims to dig in deeply into the founding principles of collaborative planning in theory and practice. It also, aims at identifying the initial necessary steps for the actualisation of a collaborative model, along with the needed steps to enable for an effective collaborative practice. Said differently, the main characteristics for a collaborative approach will be defined to help operationalise an integrated conservation.

At the outset, it is important to note that delegating the responsibilities of preparing plans and decision making processes directly to the affected stakeholders who seek diverse interests has become a mandate, especially after the democratically driven goals and social values and norms begin to influence planning theory, by concentrating on the process as well as the outcome.

Furthermore, this chapter addresses the evaluation of the collaborative theory in practice, by learning from experience and outlining the assisting and impeding factors. But before that, why it still needs evaluation in the first place, and what are the criteria for such an evaluation? Lastly, this chapter examines the potentials for collaborative approaches in developing countries.

### 4.2. The Emergence of Collaborative Planning Theory

Historically, prior to 1960s, technical approach was the dominant style in setting actions for resource management planning in which plans were often prepared without political interference or public consultation (Day & Gunton, 2003). This approach focused widely on analyses, regulations, and implementation of stated objectives, and ignored the diversity and interdependence of interests (Innes & Booher, 2003).

Nevertheless, the adoption of public beliefs and social norms has caused a diversion in the orientation of planning theory. In addition, the appearance of complex urban problems as translated for instance in the sectors of land use, transportation and resource management have compelled planning theory to confront with these issues at different spatio-temporal contexts (Zhang, 2006).

Consequently and in order to cope with these problems, integrated approaches and participation mechanisms unveiled thereafter. Collaborative theory began to emerge in the 1980s and early 1990s and has been advocated as an alternative approach for solving conflicts (Ronmark, 2005; Mahjabeen et al, 2009) and augmenting the levels of coordination, which are essential for producing an integrated approach through engaging different interests in negotiation process to seek mutual acceptable outcomes.

Collaborative practice has been mentioned under different nomenclatures in literatures<sup>7</sup>. In general, Gray (1989, p. 5) defines collaboration as a “*process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible*”. This means all parties need to be involved in the process in order to reach solution which is beyond the ability of one single party. In this research, Healey’s thesis is adopted and compartmentalised. In 1997, Healey started advocating for a “Collaborative Planning Theory”, which primarily relies on two strands of thought, Giddensean institutional sociology “Structuration Theory”<sup>8</sup> and Habermasean communicative action<sup>9</sup> (Gaffikin, et al., 2005), as an attempt to foster inclusiveness in planning processes in multicultural political communities (Salmons, 2007). She also referred to Foucauldian theory of power to address power relation in collaborative theory (Flyvbjerg & Richardson, 2002; Healey, 2003). Habermas (1981) who tracked Weber’s traditions of sociology and human actions and interactions argues that communicative action and rationality are important to understand collaborative dialogue. He describes that if communicative processes meet certain conditions then what emerges can be said as rational. Flyvbjerg (1998 p. 213) articulates the requirements of Habermas ideal speech conditions through predicting the validity and truth of participants in a given discourse through five key requirements of discourse ethics:

- No party affected by what is being discussed should be excluded from the discourse (the requirement of generality);
- All participants should have equal possibility to present and criticise validity claims<sup>10</sup> in the process of discourse (autonomy);
- Participants must be willing and able to emphasise with each other’s validity claims (ideal role taking);
- Existing power difference between participants must be neutralised such that these differences have no effect on the creation of consensus (power neutrality); and
- Participants must openly explain their goals and intentions and in this connection desist from strategic action (transparence).

<sup>7</sup> Murray (2006), and Gunton and Day (2006) state that collaboration has been mentioned under different nomenclatures in literatures based on each particular characteristics such as: transactive planning (Friedmann, 1973); communicative planning (Healey, 1997; McGuirk, 2001); mediation (Susskind et al. 2000); consensus building (Innes, 1995; Innes and Booher, 1999); community-based planning (Moote et al. 2000); shared decision-making (Gunton and Day 2003); co-management (Paulson, 1998, Rao and Geisler 1990); cooperation (Yaffee, 1998), coordination (Margerum, 1999); and partnerships (Mitchell, 1997, Selin and Chavez 1993, Moote, McClaran, & Chickering 1997, Wondolleck and Yaffee 1994), in which all of them need sharing of power between stakeholders (Selin & Chavez, 1995, p. 190), which means that they are incapable of solving problems separately (Gray, 1985; p. 912). In addition, it has been known as: discursive democracy (Dryzek, 1990); argumentative planning (Forester, 1993); planning through debate (Healey, 1992); inclusionary discourse (Healey, 1994); and deliberative planning (Forester, 1999 cited in Kim, 2001).

<sup>8</sup> The Anthony Giddens (1984) “Structuration Theory” has been the most primary influence for Healey (1997) for the foundation of “Collaborative Planning Theory” (Healey, 2003). In his theory of structuration, Giddens tries to identify the relationship between the individuals and the social forces, and distinguish the differences between systems of interaction and structures. Giddens philosophy fed into her thesis by accentuating on the importance of collectiveness, as a single actor or “agency” cannot induce a change within the “structure” (formulated as complex problems) alone, but the collective action by many agents could produce the momentum or the capability for change (Healey, 2003). Giddens also stresses on the importance of knowledgeable human actors, in reproducing ‘structures’ which are the medium and outcome of actions (Fuchs, 2003). For this to happen, Healey recourse the Habermasean ‘communicative action’ for reconstituting the actors interests through open debates.

<sup>9</sup> Therefore, much attention has been focused on communicative planning theory which is grounded in the communicative rationality by Habermas and appeared to be an apt process through which collaborative model of decision making can be used as a tool to achieve social democracy (Murray, 2006). Consequently, and for the reason that communicative theory is placed as a procedural theory for collaborative model, the performance of collaboration depends on the well-functioning of communicative procedure (Mannberg, 2006).

<sup>10</sup> (Heath, 1998, p. 1) argues that “even though the concept of a ‘validity claim’ is central to Habermas’s theory of communicative action, he has never given a precise definition of the term. He has stated only that truth is a type of validity claim, and that rightness and sincerity are analogous to truth”.

This signifies the view that participants have to compromise some of their interests in order to reach a consensus, and it shows that validity claims and consensus stand at the centre of Habermas's theory in which power is neglected or removed (Flyvbjerg, 1998; Shakeri, 2011). Bond (2011 cited in Shakeri, 2011) argues that validity claims of reasons in the argumentation are either accepted or rejected in the communicative action theory and alternative claims put forth, until agreement is reached. To this effect, Flyvbjerg (1998) sees that 'unlimited time' frame can be added as the sixth requirement.

Healey (1997 p. 52-53) states that *communicative rationality means that what is rationale what constitute truth to individual stakeholders. It is determined not by objective reasoning and references to absolutes existing outside of social contexts, but rather by the social interaction of these stakeholders in public forums. Knowledge is constituted through debate and the multiple forms of reasoning that stakeholders bring into debate, rather by any single form of reasoning, especially instrumental rationality and its claim to objective truth.* Healey (1997, p. 326) acknowledges that in “encounters between actors in institutional sites of collective action” knowledge and beliefs are transformed through the process of “social learning” that takes place in such encounter-ship, and would lead for increasing the social capital<sup>11</sup> and consequently induce radical changes in community (Stein & Harper, 2003; Healey, 1997) towards societal sustainability.

To put it simply, Healey sees that through communicative action, participants exchange ideas, sort out what is valid, work out what is important, and assess proposed courses of action (Curwell et al., 2005) (See Figure 4-1).

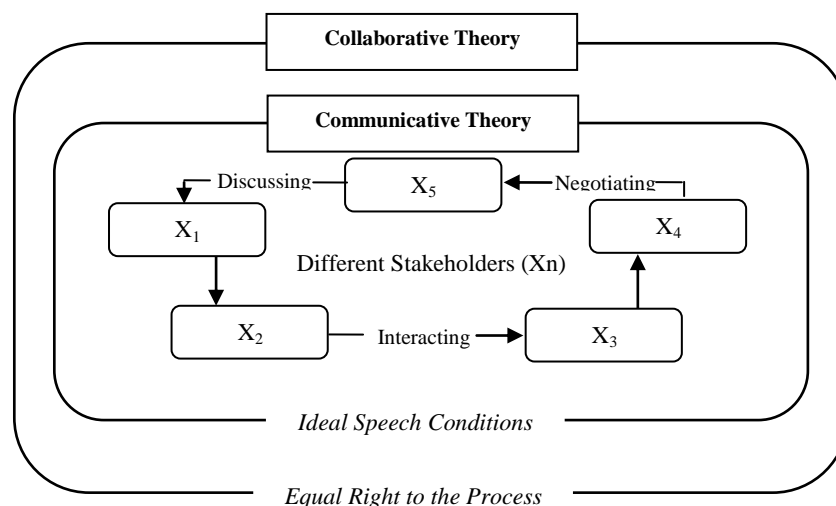


Figure 4-1: Circulation of knowledge in a communicative action  
Source: Own Constructed, 2011

Allmendinger (2001, p. 124) and Mohammadi (2010, p. 22) have summarised the main components of communicative rationality in planning by Healey (1992, p. 154-155) under the following conditions:

- (1) Planning is an interactive and interpretative process.
- (2) Planning is undertaken among diverse and fluid discourse communities.
- (3) The methods require respectful interpersonal and intercultural discussion.

<sup>11</sup> Social capital from an organisational perspective is central to enhance the quality of relations (Nahapiet & Ghoshal, 1998), which has utilisation dimensions in terms of trust, norms, cooperation, information, and power (Adler and Kwon, 2002 cited in Bhandar, 2010), which all of all would influence the behavior of the members (Bhandar, 2010).

- (4) Points of focus are the 'arenas of struggle' (Healey, 1993) where public discussion occurs and where problems, strategies, tactics, and values are identified, discussed, evaluated, and where conflicts are mediated.
- (5) There are multifarious claims for different forms and types of policy development.
- (6) A reflective capacity is developed that enables participants to evaluate and re-evaluate.
- (7) Strategic discourses are opened up to be inclusionary of all interested parties which, in turn, generate new planning discourses.
- (8) Participants in the discourse gain knowledge of other participants in addition to learning<sup>12</sup> new relations, values, and understandings.
- (9) Participants are able to collaborate to change the existing conditions.
- (10) Participants are encouraged to find ways of achieving practically their planning desires, not simply to agree and list their objectives.

Consequently, collaborative planning can be thought of as an innovative platform for holders of knowledge, interests and power, where knowledge and skills are exchange fluently. Thus, participants develop more knowledge (i.e. take part in a learning process) to understand and solve problems more efficiently (such as heritage complexities). This planning model has transformed the potential of decision making from hierarchical structures to flat network level9s (Kim, 2001) based on the fact that all stakeholders hold the equal right in the process of decision-making (multi-stakeholder) (Mannberg, 2005). Collaborative approach is also considered as an optimal style of governance that has emerged to replace adversarial and managerial modes of policy making, and brings public and private stakeholders together in collective forums to engage in consensus-oriented decision making (Ansell & Gash, 2007).

Power in contemporary network is particularly critical and gives collaborative approach a great importance because traditionally powerful players are unable to accomplish their objectives alone, consequently, planners have gained many roles in such networks as designers, supports of dialogue creating and maintaining linkages and as facilitators and mediators and as nodes connecting various smaller networks (Innes & Booher, 2000). There is evidence that where networks exist, broadly based collaborative planning forms can develop rapidly (Healey et al. 1997 cited in Healey, 1998), and this is helpful to handle complex and fragmented problems, which is in turn a superior way to achieve integration (Mitchell, 2005).

Healey (1997) describes the concept of stakeholders very broadly as a net to "capture" the articulate and the silent, the powerful and the powerless, and those within a territorial political community and those beyond its boundary". While Gray (1985 cited in Jamal and Getz, 1995, p.194) defines stakeholders as "one who has the right and capacity to participate in the process; a stakeholder who is impacted by the action of other stakeholders has a right to be involved". Stakeholders are ought to take collective responsibility for their actions and outcomes of problem solving process (Selin and Chavez, 1995) sharing inclusiveness, transparency, negotiation based, consensual based and problem solving (Yaffee and Wondolleck, 2003 p.62), and participate as resident and not as a representative in negotiation process where membership is open to all (Allmendinger, 2009; Bender, 2004).

<sup>12</sup> Based upon public deliberation and social learning literature, d'Estree, Kaufman and Elliott (2003) define social learning as the process which occurs when people engage with each other, share diverse perspectives and experiences to develop a common framework of understanding and a base for joint action. Whereby deliberation is proposed as a mechanism through which social learning takes place, it further refers to communication or education through which agencies interact with public through different formats starting from public meetings to dispute resolution techniques. Furthermore, deliberation enables individuals and groups to understand issues, relevant facts, problems and opportunities, areas of agreement and disagreement, and their own value. Innes and Booher (1999) categorise the results of authentic dialogue between diverse and interdependent stakeholders into reciprocity, relationships, learning, and creativity. For more information, See (d'Estree, Kaufman, & Elliott, 2003).

Effective involvement of multi stakeholders lead to high quality land use and resource/heritage management decisions because such judgments are better informed and reflect a range of public interests (Yaffee and Wondolleck, 2003). In addition, planners can become aware and early informed by local knowledge (Burby 2003) where the more people are involved, the better is the achieved creative capacity (Innes 1996; Brenneis and M.Gonigle 1992; Gunton and Flynn 1996 cited in Ronmark, 2005). Therefore, successful processes can result in feelings of collective, personal and political efficacy and empowerment for participants (Innes 1996 cited in Ronmark, 2005; Perkins et al., 1990). This concept gained popularity in theory after wide range of practices, and due to its characteristic benefits (Murray, 2006), which is pluralistic in terms of outcome (Allmendinger, 2009). Murray (2006), break down some of the characteristic benefits of collaborative planning based on its ability to:

- Combine information, knowledge and skills from multiple stakeholders (Mitchell, 1997; Margerun, 1999);
- Generate agreement over solutions (Innes & Booher, 1999);
- Create a sense of ownership over the outcomes (Mitchell, 1997);
- Increase support for implementation (Mitchell & Hollick, 1993);
- Open communication channels between participants (Buchy & Race, 2001);
- Achieve mutual learning and personal growth from participants (Healey, 1997; Sagar, 1994; Buchy & Race, 2001); and
- Bring about increased democratisation of the decision making process (Forester, 1989; Sagar, 1994; Healey, 1997).

In addition one could add to this list,

- Shared understanding and building trust among stakeholders (Alexander, Comfort, and Weiner 1998; Beierle and Konisky 2001; Brinkerhoff 1999; Glasbergen and Driessen 2005; Imperial 2005; Murdock, Wiessner, and Sexton 2005; Short and Winter 1999; Tett, Crowther, and O'Hara 2003; Vangen and Huxham 2003 cited Ansell & Gash, 2007).

These characteristics have been the main reason behind adopting collaborative planning to operationalise integrated approach to resource/heritage management. Consequently, the last two decades have witnessed a mounting global use of collaborative planning. This could be attributed to three arguments, as elaborated by Murray (2006), namely: philosophical, practical and political ideology. In general, these arguments give this concept some characteristic indicators to confirm the pluralistic orientation of collaborative theory epistemology (Allmendinger, 2009). Such pluralistic orientation is trapped in the enhancement of democracy and social justice (Bond, 2011), and give legitimacy to the governance process (Bingham, Nabatchi, & O'Leary, 2005), through collective decision making and bringing together diverse groups of stakeholders to work on solving complex public problems where there are potentials for controversy (Howell, Postalenko, & Rabkine, 2011),

To this end, Understanding the complex relations, mechanisms, dynamics and outcomes between knowledge, learning, and societal change is central in guiding optimal policies and societal development towards more sustainable system. These connections occur at all levels and scales of society: individual, agency (that stands here for organisation), community, regional and global, which influences the drivers and barriers to social change in relation to knowledge and learning. However, social change is needed to direct the development of society, also, knowledge, learning and social change are bound to notions of sustainability which is considered as the key measure of success (Chabay, et al., 2011).

Collaborative dialogue, thus represents an arena for generating the above processes, i.e. collaborative is a key for sustainability. In the same token, learning<sup>13</sup> is needed to enhance the development of collaborative practices and enhance the cultivation of process implementation at the long run. Nevertheless, a prominent question that needs to be further studied in the research context is related to whether the prevailing conditions would enable the environment for collaborative practice.

### 4.3. Collaborative Planning and Integrated Heritage Management

Collaborative planning, integrated heritage management, are interrelated and interdependence. The following section would provide an overview on these relations.

#### 4.3.1. Collaborative Planning to Integrated Heritage Management

The concept of stakeholder collaboration is now widely advocated for integrated heritage management (UNESCO Guidelines 2012; Aas et al., 2005; Gonçalves, 2007; Zancheti, 2004; Mason and Avrami, 2000; Lisitzin; 2005; Bell and Elley, 2012; Greffe, 2004) and other integrated resource management (Kim, 2001; Mitchell, 2005; Bentrup 2001).

Heritage is considered as an engine for social, economic and environmental development (Ashworth & Tunbridge, 1990; Greffe, 2004). Therefore, attaching heritage to its spatial context with an appropriate conservation and management framework is considered the appropriate approach to maximise the usufruct of the inherited potentials. Nonetheless, like other resources, heritage conservation and management is quite complex and cannot be tackled in a mono-rational mode (Mohan, 2010). this required an integrated approach and more interaction (See Section 3.5), to cope with the complex processes and fragmented tasks of heritage conservation and management (See Section 3.6), This calls for multi stakeholders involvement, in order to achieve the inspired goals of integration, arguably through collaborative planning where a wide range of stakeholders are engaged.

Collaborative planning approach is seen as a mean to overcome such a fragmented nature of heritage management (Aas et al., 2005), especially because the traditional participatory approach failed to enhance the public interests in planning and resource management, and also due to lack of capabilities to meet the demanded level of coordination and cooperation among networks (i.e. different stakeholders) to reach an integrated approach for urban heritage management. Therefore, adoption of a collaborative approach seems essential among various stakeholders as an alternative tool. This approach has been validated for planning and resource management in developed countries since 1980s and adapted in some developing countries lately despite that the prospects to emplace collaborative theory in planning and resource management is not comprehensible due to political and social landscape in many of these countries.

Nevertheless, collaborative planning has specific potentials (See Box 4-1) as outlined in the literature that would support the operationalisation of an integrated approach. The potentials include: preparing holistic plan; make sure that the plan is interconnected; the plan being strategic oriented; the plan has clear goals; increase coordination, communication and partnership; promotes transparency and accountability and increase legitimacy; increase mutual learning; empower the participants in the planning process.

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<sup>13</sup> Schusler, Decker, and Pfeffer (2003) identifies eight processes to enhance social learning, namely: open communication; diverse participation; unrestrained thinking; constructive conflict; democratic structure; multiple sources of knowledge; extended engagement; and facilitation.

**Box 4-1: Potentials of Collaborative Planning**

- Collaborative planning is a knowledge-based process that takes scientific and local knowledge into management arena through involving diverse skill sets and perspectives (Carlson & Stelfox, 2009). Said differently, it is a system that increases distribution of knowledge among actors to work, communicate and learn about each other's needs and capabilities (Innes and Booher, 2003; 2000). Alexander (2008) claims that knowledge generated through collaborative planning could contribute to the planning practice to generalise the community's claims that direct the future of its area. Stakeholder participation encouraged to create, as a result **holistic plan** (Bentrup, 2001). Collaboration between different sectors, institutions and actors is needed with an aim to combine and integrally treat different issues of economic, social, environmental development (Brković, (1997) quoting *The European Urban Charter*, 1992).
- Pluralistic inputs to policy making and planning is encouraged through collaborative planning and engage stakeholders in a structured framework for defining problems and identifying consensus solution (Kim, 2001). This is of particular importance for complex issues of heritage conservation. Therefore, collaborative planning encourage a "co-generative learning process" based on "joint fact finding" and "joint problem solving" in relevance to all society's perspectives (Forester, 1999, p.260; Innes and Booher, 2004, p. 426 cited in Sokol, 2012). To put it simple, collaborative planning would **interconnect** the systems factors.
- Collaborative planning is a "process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible" (Margerum, 1999, p.181 and Gray, 1989, p.5). Visions and goals can be fruitfully defined through negotiation in a dynamic interaction and consensus decision rule (Gunton & Day, 2003). Collaborative planning is, therefore sometimes referred to as interest-based negotiation. It implies a shift from 'competitive interest bargaining' to 'negotiative consensus building' for a mutually beneficial agenda for a certain vision (Brand and Gaffikin, 2007). Therefore, collaborative planning has a **strategic** orientation, which means that it could satisfy different concerns (i.e., responsiveness) (Innes & Booher, 2000).
- The **goal setting** process of collaborative approach fosters a proactive perspective and an inclusive and broad ownership in planning outcome (Carlson & Stelfox, 2009)
- Adoption of decentralisation means "transfer of power and/or authority to plan, make decision and/or manage public function from a higher level government to a lower one" (Coneys, 1986). It allows different stakeholders engagement through multiple levels interactions and provides an ample scope for integration, negotiation and collaboration (Catacutan & Tanui, 2007). Collaborative approach ensures, thus **coordination** between different government agencies and between government and other stakeholders (Murray, 2006).
- Collaborative model promotes **transparency and accountability** (Sokol, 2012; Sibayi, 2009). Transparency of the process increases the confidence and public acceptability (Kim, 2001). Collaborative planning diffuses power among participants and make all of the leaders, staff, lead agencies formally accountable to the decision making body (Lasker and Weiss, 2003, p. 32).
- **Partnership and cooperation** within collaborative planning process can be realised through participation and interaction between various levels of an organisation or unit of government and stakeholders (Hall, 1999).
- Collaborative planning is based upon open **communication** channels between participants (Buchy and Race, 2001 cited in Murray, 2006). Individuals achieve their preference interests and their views in social contexts and through interaction (Healey, 1993; and 1997).
- Collaborative planning is based on all stakeholder involvement in decision making process on equal bases. Based on democratic **legitimacy**, which emphasise that those who are influenced by management decisions should be given the opportunity to actively **participate** in the decision making process (Pahl-Wosti, Sendzimir, Jeffrey, Berkamp, & Cross, 2007). Equity among participants is an important factor to a successful collaborative planning (Ronmark, 2005, p. 10). Stakeholders has the right to defend their legitimate interests. Collaborative planning is a style of leadership which necessarily inspires those in power, stakeholders, and individuals to overcome their preoccupation with narrow minded interest (Chilima, 2011).
- Collaborative planning lead to mutual learning and shared experiences and addresses the capacity building inside and outside organisations by enrollment of different profiles and skills or development of networks (Wanna, 2008). Practice of collaborative planning generate shared capital including social capital (trust, networks), intellectual capital (common knowledge, mutual understanding) and political capital (alliances and agreements) which increases the chances for successful implementation (Margerum, 1999 cited in Ronmark, 2005, p. 10). Further, collaborative planning enhances and maintains shared capital (Healey, 1997). This would eventually **empower** the participants in the planning process.

To this end, the above outlined potentials for collaborative planning could be easily considered as the elements that would enable the environment for an integrated approach to be successful (See Box 3), and thus leading to sustainable development. Therefore, it is quite common in the planning literature to find the concurrency of both “collaborative” and “integrated” to sustain the resources in general, and those related to heritage, in specific. It has been adopted in some developing countries after the successful implementation in developed countries.

This does not entail that obtaining a consensus as an outcome of decision making process is mandatory. For this reason, collaborative approach is occasionally known as a consensus-oriented process (Ansell & Gash, 2007) because of challenges that appears while pursuing consensus. Healey (1997, 2000, 2006 cited (Schroth, 2010) comments on this issue that consensus is not the most important outcome of collaborative planning but only a mean to an end, and the overall objective is that people learn through interaction with each other and that they use their new knowledge to change things.

Recently, in an era distinguished by rapid change, social and political fragmentation, rapid high volume information flow, global interdependence, and conflicting believes (Innes & Booher, 2002), literatures cite collaborative approach in practice as a way of achieving results more than as a theory, and armrest planners with required tools to cope with these situations.

The power distributions in collaborative networks give planners many roles to effectively mediate and facilitate three conditions which govern the relationship of agents in a collaborative network, namely: diversity, interdependence, and authentic dialogue (Innes & Booher, 2008). As a result planning decisions have impacts over the all involved parties in a positive way (i.e. win-win collaborative approach) (Lehoux et al., 2008; Murray, 2006).

Collaborative planning now is formally adopted in the United States, Canada, and Australia as a preferred planning paradigm in forest and land use planning, watershed planning, regulatory rule-making, and urban planning (Margerum 1999; Leach et al. 2002; Frame et al. 2002; Wondolleck & Yaffee 2000 cited in Gunton and Day, 2003). Kim (2001) outlines many motivations behind practicing a collaborative model: *First, pursuing common purpose is a widespread motivator influencing inter-organisational collaboration. Second, resource dependency induces organisations to seek out or be receptive to inter-organisational collaborations (Schermerhorn, 1975; and Weiss, 1987). Third, organisations sometimes co-operate in order to meet necessary legal or regulatory requirements that are mandates from higher authorities (Oliver, 1990; and Weiss, 1987). Finally, organisations seek to increase their legitimacy to improve their reputation, image, prestige, or to justify their activities or outputs in their institutional environment.* However, this doesn't mean that collaborative planning is a workable approach in all contexts (Mahjabeen et al., 2009) especially when there are diverse socio-economic believes (Burby, 2003). This is relevant also in the case of the researching the efficacy of collaborative planning theory in urban heritage conservation and management within research context.

It can be concluded that heritage is in the heart of community development and need to be integrated with urban development dynamics and plans, in order to get the full advantages of this resource. Meanwhile, collaborative theory is considered as the enabling framework for an integrated approach to sustain such a non-renewable resource.



#### 4.4. Practice of Collaborative Approach in Developing Countries

The modern world is changing at a rapid pace, and the adoption of such concepts as democracy, decentralisation, and collaborative practice (good governance) is at different levels for different countries. In developing countries, the adoption of these notions is still nascent especially at the governmental level. Bearing in mind, that some of these countries already pursue an acceptable level of collaborative approach, especially in resource management. Such approaches could be considered as a paradigmatic shift from traditional and conservative nature of organisations, and legal standards and restrictions over public participations and inequity in sharing interests to more prudent approaches, where all stakeholders co-operate mutually to make plans for their future.

Generally speaking, developing countries enclose rich resources such as heritage (cultural and natural). For instance, developing countries host majority of the earth's wondrous, archaeological sites, and important historic relics, and as per 2007 announcement of seven new wonders of the world, six out of seven of them are located in less developed countries. This made less developed countries to get advantages of this resource and as important destinations for tourists, where tourism sector is growing at rapid rate exceeding developed countries. The advantages mentioned above are motives for some developing countries to bring collaborative approach in exercise and in fact some of them have reached advanced stages of exercising collaborative approach in different sectors, especially tourism planning and management (Nyaupane & Timothy, 2009; Jamal & Getz, 1995; Aas et al., 2005).

Ladkin and Bertramini (2002) claim that democratic participation is a new concept which is less perceptible in many developing countries. Even though, there are successful trials of adopting collaboration and partnerships in tourism planning, for instance (Reed, 2000; Roberts & Simpson, 1999; Timothy, 1998, 1999; cited in Ladkin & Bertramini, 2002). Collaboration has also been used to resolve conflicts raised from the interrelated, interdependent, and contradicted relationships between heritage management and tourism development Aas et al., (2005). However, there are still crucial needs for more researches to explore these theories in real-world situations (Ladkin & Bertramini, 2002).

In developing countries, collaborative planning to natural resource management has been applied considerably and has become a tool to change the relation between the government and local communities from one of conflict to one of participation, and then to partnership and collaboration involving all the major stakeholders, including agencies, local residents, resource users, etc. (ICEM, 2003). In the majority of developing countries, collaboration refers to partnership between private and public actors which is often implemented at diverse strength in resource management, for example heritage tourism. However, *the sustainability of collaborative approaches in some developing countries are somewhat prevalent, where a lack of responsiveness to the needs of the poor and citizens' growing disillusionment with their governments have encouraged more formal arenas, in which civil society works with the state in jointly planning, managing, and implementing public services. In these cases, legal frameworks for participation have legitimized and strengthened citizen participation* (Henton et al., 2005, p. 23)

The centralised and hierarchical structure of governance in developing countries prevents collaboration to occur and thus block people inputs, and overwhelming social, economic, environmental and political problems in developing countries, leave the process of urban heritage conservation not to be seen as a priority. Unfortunately, heritage in these countries is under variety of threats and challenges, which include, in addition to war, political conflict, urbanisation, human vandalism and agricultural pressures, a lack of planning and proper management (Nyaupane & Timothy, 2009).

Timothy and Nyaupane (2009) outline numerous challenges facing heritage conservation in less developed countries, including: (1) lack of political will; (2) modernisation, development and the pressures of urban growth; (3) lack of cooperation and holistic management; (4) looting and illegal digging; (5) colonialism; (6) improper conservation; (7) war and conflict; (8); private ownership and human habitation (9); agriculture pressures (10) lack of social well with poverty and unawareness; (11) rich array of heritage places and traditions; and (12) financial constraints.

The complex nature of urban heritage, thus, makes it a must to fragment the conflicted complexities. Sibayi (2009, p. 17) contends that fragmentation emanates from and are exacerbated by: (i) *Absence of coherent policy*; (ii) *Absence of an institutional framework with clear responsibilities*; (iii) *Overlapping of institutional boundaries and exclusion of many areas of great need*; (iv) *The failure to make resources available where they are most needed*; (v) *Fragmented authority, inefficient alignment and unclear signalling and interpretation of national objectives and priorities*; (vi) *Insufficient capacity at provincial and local levels to plan effectively*; and (vii) *Lack of adequate funding*. Consequently, the deterioration or destruction of heritage sites continues in developing countries.

Based on the aforementioned, the researcher tries to explore the applicability of collaborative planning in the context of Kurdistan Region in the light of current political, and socio-economic circumstances, keeping in mind the readiness to adopt collaborative planning for heritage conservation and management as (Gunton & Day, 2003, p. 9) bring about in their query “*the question is not whether the conditions are ideal for collaborative planning, but whether the conditions have reached the point where it is opportune to commence a collaborative planning process*”. This remains a relevant question that the researcher thinks is important to address, since the conditions are not perceived to be nowadays idle, but the question is whether the condition has reached the level that enables the environment for collaborative practice through values-based approach.

#### 4.5. Critical View on 'Collaborative Planning Theory'

Scholars have deeply investigated the collaborative approach in theory and practice. This investigation included pointing out the advantages and barriers to its full operation. Many challenges have been brought up during the practice of collaboration, especially the notion of power, despite its importance. Other challenges are skill differences, interest diversity, institutional background, etc. This had led many of scholars to conclude that the theory of communicative rationality is problematic due to its fluidity and non-decisiveness of meaning. These challenges are decisive to the effectiveness of collaboration in any context, and act as constraints in face of collaborative planning. This section covers the various challenges facing collaborative practice and their impacts. The first challenge is power which manifests as a multifaceted concept in literature concerning planning theory and practice. It has been defined and explored by philosophers and social scientists for centuries and many scholars used different definitions. All those challenges are discussed in details in the next chapter.

For the notion of power, many definitions have been proposed by many scholars. For example, Habermas (1984) in his theory 'Communicative Action' defines power as “*the ability to prevent other individuals or groups from realizing their interests*”. Whereas, Foucault (1998), on the other hand sees power as a 'matrix' of intentional force relation which is diffused and difficult to be located (Klewer, 2009) and (Flyvbjerg & Richardson, 2002). However, in reality “*there is of lack of clarity to whether power is a process or the ability to influence policy outcome*” as articulated by Maginn (2004, p. 6).

Consequently, from these different perspectives which surround the issue of power, collaborative theory has been criticised for not considering it adequately. Based on communicative rationality, [Healey \(1997, p. 263\)](#) suggests that "*social learning processes which engage in consensus-building thus have to build up trust and confidence across these fractures and chasms, to create new relations of collaboration and trust, and shift power bases. The approach thus focuses on transformative work, and the mobilisation of power through communicative work*". Nonetheless, the researcher believes that all of all this appears to be a challenging task when it comes to the practice of collaborative theory.

In addition to the critique on power, there are other limitations. To conceive a competent collaborative process, different skill sets are needed, such as: communication skills, social skills, influence skills, analytic skills, technical skills, and continual learning ([Van Wart, 2010](#)). This would help conceiving the needs, opportunities, priorities and dynamics of the collaborative process and to engage effectively in the processes of problem solving and decision making. The acquisition of all of these factors at a balanced level is considered challenging. If there are differences in the characteristics related to the stakeholders, including: interests, skills, knowledge, behaviours, emotions, etc., the process and outcome of the collaborative practice will be negatively affected. Another impressive challenge is that some stakeholders do not have the time, cost, energy, or liberty to engage in time-intensive collaborative ([Morton, 2009](#)).

#### 4.6. Stages of Collaborative Practice

The following is a presentation for three inter-linked process stages of pre-negotiation, negotiation, and post-negotiation (See [Table 4-1](#)), that would guarantee successful collaborative practice (See more details in [Appendix 2](#)).

<b>Table 4-1: Stages and steps of collaborative process</b>	
<b>Stages</b>	<b>Steps per each stage</b>
<b>Pre-negotiation</b>	<ul style="list-style-type: none"> <li>➤ Background preparation, which consists of forming professional team, identifies potential stakeholders, and completing a conflict assessment that evaluates the nature of the conflict and options for resolution.</li> <li>➤ Identify the stakeholder groups that will participate in the collaborative process and appoint representatives for each group. The size of stakeholder tables can vary widely from about 6 to 75 depending on the process. Stakeholders can be chosen on the basis of existing organisations, sectoral coalitions, beliefs orientation, and geographical region.</li> <li>➤ Prepare draft ground rules, or terms of reference that outline objectives, rules of procedure, roles and responsibilities, timelines and logistics.</li> <li>➤ The terms of reference need to be reviewed and approved by a stakeholder table.</li> <li>➤ Identify relevant facts and information required by table.</li> </ul>
<b>Negotiation</b>	<ul style="list-style-type: none"> <li>➤ Identify interests of stakeholders and use procedures such as brainstorming and idea mapping to identify a broad range of options. Often subgroups are used to help identify options and resolve information deficiencies through joint fact finding.</li> <li>➤ Packing options and encourage principled negotiation around a single text document that records the status of discussions. The more contentious issues are often deferred and delegated to subgroup to allow the main stakeholders table to make progress on less contentious issues to build momentum.</li> <li>➤ Bind the parties to an agreement and ensure that the both the representatives at the stakeholder table and the organisations that they represent ratify the agreement.</li> </ul>
<b>Post-negotiation</b>	<ul style="list-style-type: none"> <li>➤ Achieve required approvals of the agreement necessary to commence implementation. Stakeholder agreements, for example, often need to be ratified by the legally designated approval authority.</li> <li>➤ Create a monitoring process to evaluate implementation followed by renegotiation of components of the agreement that may be necessary due to changing circumstances.</li> </ul>

**Source:** Adapted from [Gunton and Day \(2003\)](#)

## 4.7. Evaluation of Collaborative Practice

Collaborative planning practice has been advocated by theorists, practitioners and governmental agents as a more democratic approach in decision-making and more effective way of governance (Murray, 2006). And since collaborative planning has its weaknesses and challenges in practice, this has led advocates, proponents, and critics alike to evaluate the theory in different practice contexts.

Literature provide a plethora of criteria to evaluate process and outcome of collaborative planning (See Morton (2009); Murray (2006); Gunton & Day (2003); Frame (2002); Margerum (2002); Ronmark (2000); Innes & Booher (1999); Moote et al (1997); and Gray (1985). One could deduct a main thread of common principles for evaluation. The following is a scant brief of these principles, keeping in mind that these principles are designated to the evaluation of collaborative planning in resources management in general.

### 4.7.1. The Need to Evaluate Collaborative Practice Process

Despite the claims that collaborative planning lacks an adequate base in social theory and neglects the power and context, and focuses too much on the process (Healey, 2003), collaborative planning theory has abundant potential characteristics that benefit different contexts. This makes collaborative planning popular and superior to other theories as described in previous sections. To prove this, advocates and critics alike constantly seek evaluation of collaborative planning (Gunton, Peter, & Day, 2007). This motivates academia to formulate evaluation frameworks that endorse both process and outcome that make the need to evaluate collaborative theory in practice in any given context indispensable.

Nonetheless, in practice, there is a need to evaluate case studies against the claims of collaborative planning proponents and critics (Morton, 2009).

Meanwhile, Murray (2006) alleges that during the process of evaluation, there is a pressing need to, determine how decisions are made within collaborative approaches, the factors that impact the decision-making, and how collaboration promotes management.

Apparently, the main purpose of the above formulated need statements is to ensure that collaboration, as well as communication across governmental organisations and public sectors is well coordinated, effectively managed, and respond cooperatively to the diverse information and services anticipated by various stakeholders. However, questions by Conley & Moote (2003): ‘Why evaluate?’ ‘Who should evaluate?’ and ‘What is evaluated?’ form the backbone of the evaluation process.

The answer to the question **Why evaluate?** lies largely within the needs to evaluate collaborative planning as has been discussed. However, the motivations for evaluation cover many disciplines, which include participants in collaborative efforts, facilitators, resource managers, policy makers, funders, interest groups, advocates of collaboration and academia (Conley & Moote, 2003) (For more details, see Box 4-2). Whereas the question “**Who should evaluate?**” is disputed among academia. Conley & Moote (2003) conclude that collaborative planning is under a continual evaluation (formally and informally) by participants. They argue drawings from Innes (1999) that neutral, third party evaluators are necessary to obtain reliable results, while on the other drawing from (Jackson & Kassam 1999; Moote et al. 2003), they argue that groups conduct self-evaluations, and/or the evaluator works closely with those involved in and affected by the project or process can have crucial role in evaluation. Additionally, Moote et al (2003) contend that evaluators in collaborative process must be intimately familiar with the process, its history, and its context, and initiate evaluation from a distance. Overall, whether researcher involved in the collaborative process, neutral, or is a third party, there is a contribution of valuable information and understanding in the process of evaluation (Murray, 2006).

**Box 4-2: Why evaluate collaborative practice**

- Evaluation processes help identify best practice guidelines for effective use of collaborative model and more elaboration and understanding of both potentials and limits of collaborative processes in different context (Gunton & Day, 2003).
- Evaluation provides useful information that helps practitioners to consider improvements required in drawing future process design Morton (2009).
- Evaluation provides useful information that contributes to the growing body of literature on strengths and challenges facing collaborative planning Morton (2009)
- The need for a critical evaluative framework for assessing the interactive qualities Of processes became increasingly urgent as governments come under pressure to restructure their systems and practices Healey (2003)
- Evaluation is important to: (1) identify the strengths and weaknesses of participatory democracy approaches to public participation, and (2) examine the applicability of the theoretical premises that underlie such approaches Moote et al., (1997).
- Comparing practice to theory, comparing efforts of involved stakeholders, and comparing outcome against goals are essential when evaluating collaborative planning practice Conley and Moote (2003)
- Evaluation of collaborative practice process help practitioners to learn from previous examples (Innes & Booher, 1999) and assess its effectiveness (Conley & Moote, 2003),
- Evaluation process helps to identify ways to manage difficulties facing practitioners (Yaffee & Wondolleck, 2003).
- Evaluation process determines whether the conditions have reached the point where it is opportune to commence a collaborative planning process (Gunton & Day, 2003, p. 9).

On answering the question **What to evaluate** Many things need to be discussed, because both procedural aspects and tangible outcomes are identified as focuses of evaluation (Innes & Booher, 1999; Chess, 2000). A broad analysis of institutional and political structures is also required (McGuirk, 2001 cited Murray 2006). Conley & Moote (2003) argue that what to evaluate mainly depends on the evaluator's interests. Typically, they focus on either characteristics of the process or outcomes. Examples on the characteristics of the process include: inclusiveness, representation, and decision-making methods. Nonetheless, based on literature review, the procedural aspect of communicative practice, which include decision-making process and stakeholder collaboration contribute to the process (Ronmark, 2005). This procedural aspect represents indicators of what shapes the outcome, thus such an approach represents the most appropriate method to evaluate collaborative planning practice (Murray, 2006), acknowledging that process and outcome of evaluation cannot be separated as they are highly interrelated (Innes & Booher, 1999).

**When to evaluate** is another important question that needs to be considered while framing evaluation process. (Murray, 2006) states that evaluations can occur at different time. It may be on-going, occurring in an iterative adaptive fashion; or they may occur at specific points in times. He also referred to Innes's (1999) distinction of midcourse, end-of-process, and retrospective evaluations.

#### 4.7.2. Evaluation Criteria of Collaborative Theory

By reviewing literature, it is evident that researchers are buildings on each other's in upgrading designated frameworks to deriving criteria for process and outcome evaluation. Meanwhile, everyone tries deriving questions that suite her/his research context. In order to conduct a comprehensive evaluation and select appropriate evaluation criteria and guide data collection, the goals behind evaluation process must be clearly defined (Conley & Moote, 2003).

However, criteria may differ from one context to another. Conley & Moote (2003) exhaustively list evaluation frameworks for several contexts such as: evaluating environmental conflict resolution (d'Estree & Colby 2000), consensus-building efforts (Innes 1999), participatory processes (Poisner 1996), watershed groups (Born & Genskow 2000; Leach 2000), integrated resource management (Bellamy et al. 1999), for assisting foundations in evaluating which collaborative efforts to fund (Ken Cairn, 1998), and for helping environmental activists decide whether to support a given effort (Blumberg 1999). Nonetheless, criteria depend on several principles. Gunton & Day (2003, cited in Peter, 2007) outline four key evaluation criteria: (1) Reaching acceptable agreements for all involved and affected parties; (2) Quality and durability of the collaborative process; (3) Stakeholders' overall satisfaction with the collaborative process and the outcome; and (4) Building of social capital, improved relationships, development of negotiation skills, and increased knowledge.

Adapted from Conley & Moote (2003); Blumberg (1999), Born & Genskow (2000), d'Estree & Colby (2000), Innes (1999), KenCairn (1998), and Lead Partnership Group (2000) Peter (2007) and Frame (2002) who alleged that evaluating collaborative practice can be challenging for many reasons. First, Evaluation process often takes long time to complete. Therefore, evaluation planning must be long-term to be accurate (Bingham et al, 2003; Cornick & Innes, 2003 cited in Peter, 2007). Second, the difficulty in combining a process in time and space to socio-political context, when to commence, when to finish, and which outcomes affect the process (Frame, 2002). However, on one hand, it is impossible to isolate the effects of collaborative planning on planning outcomes (Peter, 2007), and on the other hand if a process meets the criteria summoned for process evaluation, then it is likely to meet the outcome criteria too (Frame, 2002). Third, the process of evaluation is equally important as the agreement resulted from it. Therefore, no matter how good the agreement is, if the process is not perceived to be fair, open, inclusive and accountable (Innes & Booher 1999 cited in Frame, 2002) most likely the evaluation is undermined.

The evaluative framework, which consists of process and outcome criteria adopted in this research has been introduced based upon reviewing many recent literature, particularly Morton (2009); Gunton & Day (2007); Peter (2007); Frame (2002); and Ronmark (2005). The next section further touches on this aspect.

### 4.7.3. Selected Process and Outcome Criteria

The following criteria have been deducted from the review of the literature on the collaborative planning in terms of potentials and challenges. Providing access to participate and participant' willingness to partake in the collaborative practices are among the decisive criteria to be acknowledged on this regard. These are pre-requisites criteria for any sound collaborative practice.

The literature on this regard include the work of Ronmark, 2005; Innes & Booher 1999; Frame, 2002; Peter, 2007 & Gunton and Day, 2003; amongst others.

The list of process-oriented criteria include: mutual respect; personality; capability; representativeness; time-limit; self-design; clear ground rules; and accountability (See Table 4-2). As per the outcome-oriented criteria they include: agreement; consensus; gain knowledge and understanding each other; conflict reduced; creativity; superior to other methods; and understanding and support of collaborative planning (See Table 4-3).

Overall, such criteria will be used to evaluate collaborative process to heritage management and conservation through values-based approach practice in Iraqi Kurdistan Region.

Despite the fact that Iraqi Kurdistan Region is in its beginning phases of adopting democracy and decentralisation for decision making and promoting public participation, the research at hand, more specifically the proposed evaluation criteria, is considered the first of its kind in this region. Tellingly, Akre and Amedy districts in Kurdistan, which are the focus of this research, are for the first time to be included in social researches about managing and conserving their rich cultural and natural heritage. Also, the research has another significance as it deploys values-based approach in the identification and valuing of the heritage sites in the context of research. This makes the research a promising one, but at the same time very challenging due to the limited available resources.

**Table 4-2: Process criteria for evaluating collaborative planning practice**

<b>Process Criteria</b>	<b>Description</b>
<b>Purpose and Incentives</b>	Process is driven by a shared purpose and provides incentives for participants to participate and work toward a consensus outcome.
<b>Inclusive Representation</b>	All parties (including publics and government) with an interest in the issues and outcomes of the process are involved throughout the process.
<b>Voluntary Participation and Commitment</b>	Parties who are affected or interested in the process participate voluntarily.
<b>Equal Opportunities and Resources</b>	The process provides for equal and balanced opportunities for all parties to participate effectively (e.g. funding and training).
<b>Self-Design</b>	Participants were adequately involved in the design of the process and were able to influence the process on an on-going basis.
<b>Principled Negotiation and Respect</b>	Participants demonstrated respect and understanding of other stakeholders' interests and were able to communicate and negotiate effectively.
<b>Accountability</b>	The process and participants represent and effectively communicate with the broader public.
<b>Commitment to Implementation</b>	The process and final agreement include clear commitments to implementation and monitoring.
<b>Clear Ground Rules</b>	Procedural ground rules and roles of the participants were clearly defined.
<b>Time Limits</b>	Realistic milestones and deadlines are managed throughout the process.
<b>Effective Process Management</b>	The process is structured and managed in an effective and neutral manner.
<b>Independent Facilitation</b>	The process uses a trained, independent facilitator throughout the process.

<b>Table 4-3: Outcome criteria for evaluating collaborative planning practice</b>	
<b>Outcome Criteria</b>	<b>Description</b>
<b>Perceived as Successful</b>	The process and outcomes are perceived as successful by participants.
<b>Agreement</b>	The process reached an agreement that is endorsed by all parties.
<b>Clear Objectives</b>	The plan produced clearly defined purpose and objectives.
<b>Conflict Reduced</b>	As a result of the process, conflicts were reduced.
<b>Creative and Innovative</b>	Process produced creative and innovative ideas and outcomes.
<b>Knowledge Understanding and Skills</b>	Stakeholders gained knowledge, understanding and skills as a result of their participation in the process.
<b>Relationships and Social Capital</b>	The process created new working relationships and social capital among participants.
<b>Information</b>	The process produced new and improved information through joint fact-finding that stakeholders understand and accept as accurate.
<b>Public Interest</b>	Plan outcomes serve the common good or general public interest.
<b>Understanding and Support of Collaborative Planning</b>	The process resulted in increased understanding and support of collaborative approaches to planning.

#### 4.8. Conclusion

This chapter has reviewed the evolution of collaborative planning theory as resulted from the practice and adoption of the notions of democracy and decentralisation. It is conceived that collaborative practices are the result of deep articulation of democracy, where different actors are engaged in a deliberative process that make legitimacy of decision-making stronger through consensus building. This paradigm of planning became more relevant, as the planning practice in the 21<sup>st</sup> century is facing greater challenges characterised by complexity of the problems and the elusiveness of solutions to those problems. In the contemporary context of growing complexity and rapid change, a new conceptualisation of participatory approaches emerged as ways to improve multi-organisational and multi-actors interaction in decision making (Healey, 1997; Wondolleck & Yaffee, 2000; Innes & Booher, 2004), where civic leaders, interest groups, residents and even government itself are creating new venues for dialogue and pulling together stakeholders through exploiting the local wisdom of actors to address complex problems (Bryson & Crosby, 1993; Hajer, 2004; Innes & Booher, 2003 cited in Innes & Booher, 2004).

Collaborative planning theory is not only action-oriented, but also knowledge-based as resulted from experiences of negotiation and interaction, where a group of actors with different stakes in a certain decision-making practice would find the room for undermining the many conflicting aims that each have, and would make use of the available resources that other possess without compromising the collective interest of all.

Nevertheless, this process of social learning for recognizing the legitimate interest that stems from the inherited beliefs of others is produced and reproduced through gaining meaning to the common practices, which are culturally and politically structured within the



system. This would increase the social capital, as networks between actors are strengthened through building trust. Ultimately, this will lead to sustaining the development process. It is anticipated that the collaborative practice with all its potentials could be the appropriate tool to operationalise and promote the needed integrated approach for heritage conservation and management. But the question remains to what degree this could be efficient in the context of research?

Basically, for an efficient adoption of collaborative practices, a set of prerequisites are needed, including: coordination, cooperation, and partnership among governmental and non-governmental actors, all of all deeply articulated with a socially and administratively accepted system of participation. It is anticipated that with the practice of collaborative theory, these prerequisites would be further activated, though the success of collaborative process is constrained by some factors such as willingness to participate, stakeholder characteristics, etc.

It is important now to discuss one of the modes of integrated approach: the values-based approach which is adopted by many international institutions as it based on the principles of collaborative planning. The following section addresses this mode in terms of rational, usefulness, and significance.

## Chapter 5: Values-Based Approach

*“a typology of heritage values would be an effective guide to characterisation and would move conservation stakeholders closer to having a lingua franca [language] in which all parties’ values can be expressed and discussed.”* Mason (2002a, p. 9)

### 5.1. Introduction

This chapter presents principles and characteristics of values-based approach as a widely acceptable mode of an integrated approach to heritage conservation and management and address how values-based approach realises the amalgamation of integrated and collaborative approach principle.

When conservation process in its earliest period was confined to monuments, the conventional approach was the dominant system of management where decision making process was a professional based process (Tunprawat, 2009). This mode of decision making was determinant through historic research, archaeological investigations and architectural analysis and aimed to produce a process of longevity that would ensure material integrity (Kerr, 2007). This approach was characterised by limited or no community communication and lack of people rights and inputs in decisions. Consequently, it has produced a gap between man and heritage (Tunprawat, 2009), made the manager's tasks more complex (Uskokovic, 2006), and consequently made heritage conservation an unsustainable process.

Since 1980s, the broadening in heritage meanings with more recognition of values attributed to it by people rather than fabric led to a shift in the approaches adopted to its conservation from conventional to a more holistic model (Infield & Mugisha, 2010; Mason, 2006) that provides clearer guidance for decisions and practicing integrated conservation and management. The approaches most often favoured are those called values-based (UNESCO, 2012; Mason et al, 2003; de la Torre, MacLean, & Myers, 2003; MacLean & Myers, 2003; Johnston, 2006; Vacharopoulou, 2005; Jopela, 2011). This approach has been mentioned under different nomenclatures in literature<sup>14</sup>.

### 5.2. Values-Based Approach, Principles, and Characteristics

Mason (2006, p. 37) defines values-based approach as *“a logical process for considering all aspects of a place’s value as a precursor to undertaking any conservation (or other) decision or action”*. Here, values refer to the characteristics of things or objects as qualities of the places (sites, buildings, artefacts, and landscapes) (Mason & Avrami, 2002). This approach justifies the notion that value has always been the reason underlying heritage conservation (Palmer, 2009). Furthermore, it is the heritage value that makes a historic place significant to a community of people (Canada Historic Places Program Branch, 2006). Furthermore, (Hetherington, 2006) argues if the decision is to be successful for long run it should be based on the recognition of values. Therefore, values-based conservation has hallmarks of sustainability through encompassing all types of values associated with the core resources and their contexts, and its implementation is based on partnerships (Mason et al, 2003).

<sup>14</sup> In literature, values-based approach has been mentioned as “values-based conservation” (Mason, 2002, p. 5), “values-based management” (Mason, 2002, p. 27), “values-led conservation” (Viñas, 2005, p. 171), “values-centered preservation” (Mason, 2006, p. 21), “values-based approach” (Demas, 2002, p. 27), “values-based participatory planning” (Mackay & Sullivan, 2008, p.5), “values-based assessment of cultural heritage” (Satterfield, 2002, p. 77) or “significance-driven approach” (Stovel, 1997).

Values-based approach considers all values (Mason et al, 2003). It supports a broad view of heritage, recognizing many layers of heritage values (tangible and intangible), and not necessarily just physical aspects (Canada Heritage Task Force, 2010). Hence, values are 'ascribed' on heritage by people, not as 'inherit' in the fabrics of heritage (Tunprawat, 2009) and determined by the community at early stages of valorisation process and throughout the planning process (Mason & Avrami, 2002; Jokilehto, 1999; Vacharopoulou, 2005). Accordingly, Johnston (2006) emphasise on the importance of values-based method to assess understanding of values of communities and stakeholders in each locality.

A review of worldwide adoption of values-based approach and its underlying rationales and justifications indicates early implementation interest and success, huge scope for improving conservation performance, and an opportunity (indeed, a necessity) to achieve the full potential of this approach to conservation (Infield & Mugisha, 2010). Values-based approach is the current most preferred approach to heritage conservation, which has been adopted, and advocated by major conservation authorities, both at national level (e.g., USA, Canada, Australia, and UK) and at international level (e.g., UNESCO World Heritage Centre), and by major research and educational institutions (e.g., Getty Conservation Institute) (Poulios, 2010).

The Joint World Heritage Centre/ICOMOS/ICCROM in 2004 focused on integrating a heritage values-sensitive approach to management, at the meantime, the World Heritage Conservation Monitoring (2010) offers a set of innovative approaches to heritage conservation, including (1) Values-based management approach examining the significance of the properties to be conserved; (2) The fusion of cultural and natural heritage management; (3) The recognition of both the tangible and intangible aspects of heritage values; and (4) Conservation for peace. Consequently, values-based planning is increasingly becoming a benchmark for best practice of heritage management (Burra Charter, 1999, de la Torres 2003 cited in Mackay & Sullivan, 2008) and considered to be most appropriate method for sustainability (Demas & Agnew, 2006).

Demas (2002) outlines a three stage planning process methodology of values-based approach which is subjected to periodic review and revision. The process could be summarised as follows (See Figure 5-1):

### **1. Identification and Description: Collecting information**

The process begins with preparation of background knowledge of the site and identification of its stakeholders. Lim (2005) comments on Demas's planning process that a significant component for the first process is that stakeholders can offer resources, knowledge, different perspectives, and a concern for different values, all needed in order to make decisions about the site.

### **2. Assessment and Analysis: taking stock**

The second stage is divided into three phases; firstly: assessment of values and significance, taking into account the interests of stakeholders; secondly: assessment of physical condition of the site and causes of deterioration, and finally: assessment of the context in which the site has and will be managed, used, and protected (Demas, 2002).

### **3. Response: making decisions**

The last step includes making the decisions that establish the policies and determine objectives, then develop strategies to put objective into practice.

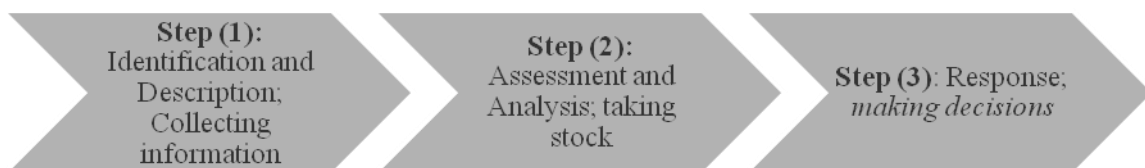


Figure 5-1: Values-based approach (after Demas (2002))

Ruedig (2007) argues that Demas in her planning methodology of values-based approach believes that the process of planning is vital to understanding the site and providing for its future and emphasises that the process is critical for evaluating the values of the site, making decisions along the way, setting priorities, and thinking holistically to create a strategic plan.

Communicating the main elements of Statement of Significance of heritage sites (including its description, values and character defining elements) essentially help to understand site values. Thus, this understanding creates a foundation for conservation plan and guides and facilitates the process of integrating sites values within land-use planning (Jonker, 2011).

One can suggest that the categories are further defined in response to the characteristics of the particular place and that for any given place the typology should be used to engage with the site and define its particular characteristics and attributes (See Table 5-1). The *Burra Charter* (1999, p. 12) categorises values into four headings: aesthetic, historic, scientific, and social (See Box 5-1).

<b>Table 5-1: Various value typologies of heritage sites</b>		
<b>Riegl (1902)</b>	<b>Feilden and Jokilehto (1993)</b>	<b>English Heritage (1997)</b>
<ul style="list-style-type: none"> <li>• Age</li> <li>• Commemorative</li> <li>• Use</li> <li>• Newness</li> </ul>	Cultural values: <ul style="list-style-type: none"> <li>• Relative artistic or technical</li> <li>• Rarity</li> </ul> Contemporary socioeconomic values: <ul style="list-style-type: none"> <li>• Economic</li> <li>• Functional</li> <li>• Educational</li> <li>• Social</li> <li>• Political</li> </ul>	<ul style="list-style-type: none"> <li>• Cultural value</li> <li>• Aesthetic value</li> <li>• Recreational value</li> <li>• Resource value</li> <li>• Economic importance</li> </ul>
<b>Mason (2002a, p.10)</b>	<b>Feilden (2003, p.6)</b>	<b>Throsby (2006, p.43)</b>
Sociocultural values: <ul style="list-style-type: none"> <li>• Historical</li> <li>• Cultural/symbolic</li> <li>• Social</li> <li>• Spiritual/religious</li> <li>• Aesthetic</li> </ul> Economic values: <ul style="list-style-type: none"> <li>• Use (market) value</li> <li>• Nonuse (non market) values:               <ul style="list-style-type: none"> <li>- existence</li> <li>- option</li> <li>- bequest</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Emotional</li> <li>• Cultural</li> <li>• Use</li> </ul>	<ul style="list-style-type: none"> <li>• Aesthetic</li> <li>• Spiritual</li> <li>• Social</li> <li>• Historical</li> <li>• Symbolic</li> <li>• Authenticity</li> </ul>
Source: Worthing and Bond, 2008, p. 60		

#### **Box 5-1: Value category according to Burra Charter**

##### **Aesthetic:**

*Aesthetic value includes aspects of sensory perception for which criteria can and should be stated. Such criteria may include consideration of the form, scale, colour, texture and material of the fabric; the smells and sounds associated with the place and its use.*

##### **Historic:**

*Historic value encompasses the history of aesthetics, science and society, and therefore to a large extent underlies all of the terms set out in this section. A place may have historic value because it has influenced, or has been influenced by, an historic figure, event, phase or activity. It may also have historic value as the site of an important event. For any given place the significance will be greater where evidence of the association or event survives in situ, or where the settings are substantially intact, than where it has been changed or evidence does not survive. However, some events or associations may be so important that the place retains significance regardless of subsequent treatment.*

**Scientific:**

*The scientific or research value of a place will depend on the importance of the data involved, on its rarity, quality or representativeness, and on the degree to which the place may contribute further substantial information.*

**Social:**

*Social value embraces the qualities for which a place has become a focus of spiritual, political, national or other cultural sentiment to a majority or minority group.*

Source: Australia ICOMOS, 1999, p.12

It is assumed that a historic building or site could possess several different kinds of values all at once (Mason & Avrami, 2002), because all values cannot be maximised simultaneously (Mason, 2006). This further complicates the process of heritage valorisation (van der Aa, 2005) (Hetherington, 2006) and because resources available to preservation are limited, trade-off are necessary and priorities must be made (Mason, 2006). Furthermore, assessment of values can differ greatly depending on who is doing the valuation, which requires different knowledge and information from planners, architects and environmentalists, amongst others. In the same token, conservation approach often lacks an assessment tool of values and other contextual issues, which are imperative and professional tools and methods to analyse and record condition, such tools can only be developed through on-going dialogue between empirical implementation of planning processes and the continued research and methodological approaches (Mason & Avrami, 2002).

Nevertheless, values-based approach has two other facets of assumptions, namely: reference to context aspect, and reference to time aspect. An important setting point is the assumptions and principles that guide values as characteristics of heritage as articulated by (Mason & Avrami, 2002) that values are subjective, context-bond (shaped by contextual factors such as social forces, economic opportunities and cultural trends), changeable, and malleable. Even within the same context each individual perceive heritage in a different way, the perception of heritage and, thus its value also differ between ethnic groups, socio-economic classes, age group and from region to region, i.e., reference to context aspect (Poulios, 2010). Reference to a time aspect, a place may not be significant at present, but this does not preclude its potential to be significant in the future according to changes in context and time in the light of new knowledge that are sufficient to influence judgment and thus change the ranking that are assigned to a site. Despite the fact that values change over time and seen as a process, they "*remains to be at the centre of all heritage practice; it is what justifies legal protection, funding or regulation; it is what inspires people to get involved with heritage*" (Kelly, Mulgan, & Muers, 2002, p. 4). Furthermore, though people have knowledge of heritage and express values but they utilise these as part of the way individuals and social groups to construct their identity (Byrne et al, 2001, p.143 cited in Donaghey, 2006).

Hence it is further considered as a way of capacity building<sup>15</sup> for all participants (Mackay & Sullivan, 2008), or might be the basis for the next cultural shift within the preservation field (Mason, 2006). UNITAR (2007) states that full spectrum of relevant values through interaction with all concerned stakeholders need to be appreciated. Castellanos & Descamps (2008) argue that understanding the significance of a site (the series of features and characteristics that make that site important) in values-driven conservation (i.e., values-based approach) is more important than categorizing values, since significance is not only the sum

<sup>15</sup> Capacity building in the community is a concept in which the community residents work together for social order, setting goals and carrying through with these goals this reflect the notion of capacity development which is the "*process by which individuals, organisations, institutions and societies develop abilities (individually and collectively) to perform functions, solve problems and set and achieve objective*" (McGinty, 2002, p. 2).

of values, but also a reconciled group of values that change over time and in specific social contexts. Therefore, to date guidelines for value assessments tend to be more conceptual than practical, though, conservation of values and significance can be considered as a driving force for decisions in its management with a vision that integrates heritage with sustainable development. The holistic understanding of the site needs multiple stakeholders involvement in this process, which serves not only to identify all of the values of a place, but also to establish a well-founded sustainable model for their on-going conservation (Mackay & Sullivan, 2008; Meskell & Peter, 2005; Avrami, Mason, & de la Torre, 2000; Vacharopoulou, 2005). It foregrounds the issues of value and aims to integrate values with other contextual considerations, such as available resources, legislative environment, and so forth, as well as the more technical issues of physical condition which paves the way for clearer conservation policy that is sustainable in the long term (Mason & Avrami, 2002).

The process of identification of significance (eliciting values) should be kept separate from values prioritisation process (Mason, 2008 cited in Vakhitova and Guthrie, 2010), since values have unequal weight, depending on the priorities of a particular site for allocation of limited resources and hence trade-offs are inevitable (Vakhitova & Guthrie, 2010). This process requires community support and effort to implement government policy at the local level, and where conflict over values can have significant impacts on community cohesiveness (Johnston, 2006).

Another challenge in every day practice of values-based approach is bringing contemporary values (social, economic), as well as heritage values (narrative, associational, aesthetic) into the framework of decision-making, since it requires different methods and partners to build knowledge of the various value types. Therefore, the importance of multi-disciplinary teamwork and mutual respect for and understanding of different disciplinary discourses, cannot be overstressed—it will be the basis for the next cultural shift within the preservation field (Mason, 2006).

Another point that generates conflicts in values-based approach is the tension between conservation of existing values and potential values (creation of new values) in decision making and management process (Linde, 2004). Therefore, the plan should be dynamic with strategic design in order to deal with complex characteristics of reality (Hall & McArthur, 1998), and taking into account the needs of the future generation (promote intergenerational equity) (Throsby, 2006). This entails that the appropriateness of decision making that accords with principles of sustainability demands involvement of participants with creative intervention in the valorisation process (Galla, 2002). Keeping in mind that creativity<sup>16</sup> is necessary to deal appropriately with the need for immediate decision-making (Cossons 1994 cited in Linde 2004). Nevertheless, along with empowerment which plays a crucial role in the process of decision making and dealing with conflicts, the notions of training, education and capacity building can be seen as an integral part of an application of sustainable development within management planning (Linde, 2004).

Notwithstanding, Mason (2002a, p. 9) contends that “*a typology of heritage values would be an effective guide to characterisation and would move conservation stakeholders closer to having a lingua franca [language] in which all parties’ values can be expressed and discussed.*” By use of such a typology—a framework that breaks down significance into constituent kinds of heritage value—the views of experts, residents, communities, governments, and other stakeholders can be voiced and compared more effectively.

<sup>16</sup> Albrechts (2005, p. 249) defines creativity as an “*individual - or preferably social - process that stimulates the ability to view problems, situations and challenges in new and different ways and to invent and develop original, imaginative futures in response to these problems, situations and challenges. ‘Ability’ focuses more on ‘how’ one thinks rather than on ‘what’ one thinks.*”

Mason (2006, p. 35) articulates four major characteristics of values-based approach:

- (1) It enables the **holistic understanding** of sites through acknowledging and addressing the reality that heritage places have a whole range of values (historic, social, aesthetic, spiritual, natural).
- (2) It leads to an acknowledgement and **inclusion of a greater range of legitimate stakeholders** which provides a framework for establishment of effective management and monitoring systems.
- (3) It is based on **comprehensive knowledge and strategic vision** about a site's values for the protection and management especially those heritage sites that possess different values which are in a conflict relationship, which is essential to support the long view of stewardship that is one of the most basic contributions of historic preservation thinking
- (4) It **reveals serious gaps in knowledge about the historic environment** and how the historic environment is used.

To this end, the key principles and guidelines for values-based approach can be summarised, as follow:

- It is based on the notion that 'all are owners of heritage' and aims to democratise the process of heritage conservation and management (Tunprawat, 2009).
- Values-based approach considers all values (tangible and intangible), understanding and reconciling them before any conservation decision.
- No one particular value category should be assumed to be more worthy or important than another.
- Understanding the site significance is more important than categorizing its values.
- The process of identifying values should be separated from prioritizing them.
- Values-based approach considers all current and potential values.
- Understanding values creates a foundation for planning (Jonker, 2011).
- Allowing the community to have a voice about their heritage builds awareness and ownership (ibid.)
- Articulating the character defining elements, guide integration of heritage values into land-use planning (ibid.).

Nevertheless, the prominent question that the researcher is interested to address is would such an approach becomes more practical in the conservation and management of heritage in the context of Kurdistan?. In other words, could the values-based process be a tool to articulate, foster and build collaborative endeavors between stakeholders? (See Castellanos & Dascampas (2008); Mason & Avrami (2002); Mason (2006); Worthing & Bond (2008)).

### 5.3. Integrated Conservation, Collaborative Planning and Values-based Approach

The preceded section elaborates on the multiple values of social, aesthetic, historical, and scientific, along with the economic and political values, which are attached to heritage. The values-based approach has been identified as a favourable approach if the intention is to reach a fully integrated approach to heritage conservation and management.

Therefore, such arrays of diverse values necessarily demand new ways of seeing and thinking, which enquires various systems of knowledge (including local knowledge), disciplines, technical expertise and management regimes to engage in formulating management plan and to learn from each other (Bell & Elley, 2012).

Such understanding of the ways these places are valued for non-heritage reasons has been essential to connecting our arguments for preservation to other, non-heritage plans for the place (Mason, 2006). The values-based approach can be best achieved when different stakeholder who have various perspectives and hold a stake or interest in the heritage site in terms of use, conservation or development are given voice (Mason & Avrami, 2002).

Collaborative planning is seen as an apt base to which values-based heritage conservation can rely on (Castellanos & Dascampas, 2008; Mason & Avrami, 2002; Mason, 2006; Worthing & Bond, 2008). Mason (2006, p. 39-40) argues that “*characterisation and assessment of values are critical and particularly difficult because they require potentially many different methods and many collaborating professionals. For epistemological reasons, different types of value are susceptible to different methods: Quantitative methods are ill-suited for articulating a place’s historic value, for instance and it is difficult to imagine representing a place’s social or economic value adequately by drawing, painting, or photographing it. Fully understanding the values of a site is likely to involve some methods beyond the normal capabilities of preservation and planning professionals (for instance, contingent valuation studies, or ethnographic documentation and analysis). Thus, collaboration across disciplines is essential.*” This means that listening to people’s stories about heritage places are essential in order to actualise different values attached to a place. Thus, Mason (2006 p. 28) sees collaboration as a means toward objective studies, where “right” or “best” solutions can be clearly identified”.

Randall Mason, Margaret G. H. MacLean, and Marta de la Torre in their paper, *Hadrian’s Wall World Heritage Site: English Heritage, A Case Study*, define values-based approach as a “*Coordinated and structured operation of a heritage site with the primary purpose of protecting the significance of the place as defined by designation criteria, government authorities or other owners, experts of various stripes, and other citizens with legitimate interests in the place*” (2003, p.1). This definition stresses on two important items. First, determining the significance means all values have been taken into consideration. Second, understanding all relevant parties about what they are protecting should be clearly stated and communicated (Imon, Dioko, Ong, & Kane, 2007).

Sullivan (2010, p. 15) articulates that those who might have a legitimate connection to the site are the following:

- **local residents**, or those who live around the site or in associated local or regional centres;
- **people with traditional links to the site**, for example, traditional owners, relatives of historic figures associated with the site, people whose personal histories are connected to the site, members of a religion or society for which the site is significant;
- **people with particular knowledge about the site**, for example, long-term residents, local scholars, and custodians of information;
- **those who visit the site** to explore its cultural heritage or for relaxation or recreation; and
- **those with a statutory, political, or pecuniary interest in the site**, such as department officials, politicians, local leaders, businesspeople and developers, those in the tourism and accommodation industry.

All these groups are considered stakeholders. Successful management involves dealing effectively with all of these people (Sullivan, 2010, p. 15), because there is always the potential for learning something substantially different and new from a new stakeholder or interest. Communication between engaged stakeholders in values-based approach can be empowering tool for providing fresh perspectives and opportunities for new ways of doing things (Linde, 2004). Such “*communication can also trigger political support for heritage management schemes by local communities as their confidence in such systems increases due to opening channels of communication*” (Hall & McArthur 1998: 221 cited Linde, 2004).



### 5.3.1. Collaborative Planning to Integrated Approach and Values-based Approach in the Framework of Institutional Arrangements

Based on the aforementioned, it can be concluded that values-based approach is an essential approach for heritage conservation and management. However, a key question that arises here is to what *extent* integrated approach and values-based approach are embedded within the heritage institutional arrangements? Lane (2001, p. 1) articulates that “as Friedmann (1973) observed, the character of institutional arrangements and the distribution of power in a planning context is a crucial determinant of the style of planning and the possible implementation strategies that may be employed.”

Ewert, Baker, and Bissix (2004, p. 186) defines institutional arrangements as “processes, structures, policies, scale and other arrangements that influences decision making and affect the behaviour of individuals, groups or agencies”.

Mitchell (1989) stresses that institutional arrangements include:

- Legislation and regulations
- Policies and guidelines
- Administrative structures
- Economic and financial arrangements
- Political structures and processes
- Key participants or actors.
- Historical and traditional customs and values

Institutional arrangements, thus, identify stakeholder responsibilities and behaviours, and determine their interaction in decision-making. Healey (1997) on the other hand, expresses institutions as ‘hard’ and ‘soft’ infrastructure, where the soft infrastructure, which includes the social relations, informal networks, administrative routines, professional cultures and social worlds, can facilitate the re-formulation/re-designation of hard infrastructure, which represents formal organisational structures, departments, formal committees, laws, taxes and subsidies, through discourse among actors (firms and residents) to invent new ways of thinking and organising.

The essential nature of heritage, which is characterised by extraordinary rich and very diverse values, needs to be recognised and dealt with collectively through productive arrangements in planning system (Mason et al, 2003). By institutionalizing the connection between the values and stakeholder's interests, institutional arrangements need to acknowledge actors who are considered to be the primary stakeholders in values-based management; these institutions often have a privileged relationship with these stakeholders who need to be directly consulted before important management decisions are made, this is often the case when the economic benefits of tourism emerge, whether real or potential (Myers, Smith, & Shaer, 2010). Said differently, it needs to identify those who are affecting and affected by any decision in heritage site’s management to participate.

Despite the fact that there are some common procedural aspects for heritage conservation, the legal, administrative and institutional mechanisms may varies from country to country (Bhatta, 2008). This variation is often due to the economic, political and institutional reasons that render governments to be non-homogenous in their perspectives. Additionally some heritage sites, for instance, world heritage sites, demands countries to develop some specific institutional arrangements to prepare and implement management plan according to the principles of World Heritage Convention.

#### 5.4. Challenges Facing Values-Based Approach

Values-based approach to heritage conservation and management is characterised by democratisation of actual decision making power, and considers power relationships to be a crucial element to the ultimate success of management planning and must be dealt with as systematically and as openly as possible (Mason, 2002a).

Heritage touches upon different issues and is regarded as an important resource (See Chapter 3), different *actors* and powers are engaged in a struggle to identify, interpret and manage heritage (Svensson, 2006), to achieve political, economic, cultural, and social purposes (Noh, 2009). In other words, stakeholders use their power to achieve their interests. For instance, economists often focus on the economic aspects of heritage. The economics of heritage may conflict with other aspects (i.e. significance of heritage) in particular when heritage is considered as a stock of assets for those who concern with the economic value of heritage; as a result, it can create an opposition between an “economic rationality” and a “cultural rationality” (Grefe, 1998). From another perspective, the main interest for politicians is the political values of heritage assets. whereas, professionals often focus on the architectural value, authenticity and age of heritage sites, and fabric (Tunprawat, 2009; Poullos, 2010), nonetheless, residents demands more access to heritage sites especially the religious and social value laden sites. As a result, different people are concerned with different priorities.

Important to mention is that heritage might embody pejorative experiences from the past which can affect how people feel and perceive in the present. For instance, a place may be aesthetically and *architecturally* fascinating, but people have bad memory due to wars and therefore want to demolish the site. For instance, when people are given the right to contribute in the decision making process some people may wish to hide or erase the difficult past due to political or social transformations. This often generates *conflicts* between residents and with the expertise and government (Svensson, 2006).

Moreover, power struggle may also happen between the owners of heritage (e.g. houses) and the government regarding the designation and management of a heritage (Newton, 2010). This means that the underprivileged strata of the society if engaged in the decision making regarding heritage management might jeopardise the process since they are not interested in the associated values as their priorities differ. This reveals that the influence of economic and political values of heritage sites relies on the context and become more evident when decisions have to be taken for conservation (Cho, 2007).

However, power exhibits itself in the early stages of values-based approach practice, i.e. identification of stakeholders, and due to lack of prioritisation guidelines in values-based approach (Poullos, 2010). The powerful groups, mainly the authority include public officials, bureaucrats, policy makers (Mason, 2002a). These powerful groups, often influence the conservation professionals and might dominate the process (Worthing & Bond, 2008), and who identifies the stakeholder groups, records, measures, and prioritises their values, decides what stakeholders and values to protect, and how to involve the stakeholders in the implementation phase Poullos (2010, p. 173). This means, those powerful groups focus on achieving their own interests rather than identifying and working toward a collective good. Also, this power struggle makes conflicts among stakeholders to continue. This entails that it eventually affects the outcome. However, Poullos (2010) and Tunprawat (2009) conclude that values-based approach is impractical approach, lacks the ability to satisfy all stakeholder groups and protect their values equally.

The character and the capacity of stakeholders are also among the important issues that might influence the process. More specifically, lack of adequate skill for participants may lead to marginalise an important group from the process and decision (Mason, 2002a).

Values-based approach would remain a debatable approach among scholars (Rudolf 2006), nevertheless the important issue is to identify the key actors, and since there is no magic formula for group process or analytic method has been suggested for integrating the value assessments for a site, the success of the process will be contingent on the willingness and the available resources: time, and money (Worthing & Bond, 2008, p. 131). However, the way that different knowledge is brought together in the process depends on many factors: the personalities, capabilities, mind-sets, mandates, expertise and training, the complexity of the site. This entails that the method for integrating assessments is situational in the sense that certain situation might help conceiving a success for the process, while other might impede the process Mason (2006, p. 40).

To conclude, values-based approach is not free from pitfalls and the conflicts between different stakeholders is inevitable since, it is difficult to bring all values into the process, along with issue of power, stakeholder's characteristics, and the influence of the context.

## 5.5. Conclusion

The values-based approach is the new mode that replaced the conventional process for heritage conservation and management, which is considered nowadays as a benchmark for best practice of heritage management that would lead to sustainability. The values-based approach depends on the idea that heritage is collectively owned, and all values should be considered. The main characteristics of this approach are: enabling the holistic understanding of heritage sites, since it considers all values (tangible and intangible) as defined by the local community at an early stage of the conservation process; providing comprehensive knowledge and strategic vision; and revealing the gaps in knowledge about the historic environment, and how to be used. Through this approach, stakeholders can articulate the character defining elements of the sites, which would guide the integration of heritage values in land use planning. Nevertheless, the approach is not ideal and contains many challenges (mainly power, stakeholder's characteristics, and the context), since it is difficult to take into consideration, all values and all points of views. Many driving factors would minimise the pitfalls of this approach, and getting start with the approach, including: willingness, support in the institutional arrangements, etc.

The success of the process of this approach depends on the personalities of the actors, capabilities, experts, training, mutual respect, time work spirit, and money. Also, the context-socially, economically, politically, etc. affects the process.

## 5.6. Conceptual Framework

Collaborative practices became very common as a strategy of resource management including heritage in developed countries and recently in many developing countries, due to the accumulated knowledge resulted from many successful experiences that oriented planning practices towards integration and sustainability. This could be attributed to the tangible and intangible outcomes of collaborative practices. As we have addressed earlier, the principles of the values-based approach represents the amalgamation between the integrated conservation and management and collaborative theory, and the preferred approach to sustainable development. Nevertheless, literature has proven that many critics are evident in the practice of collaborative planning theory, including: the power allocation, the diversity of skills and knowledge, the context. Also, among the challenging factors are the high cost and excessive time associated with collaborative practices. The practice of collaborative planning is contingent to the context, which challenged many scholars to formulate a set of criteria for

evaluating the process and outcome of collaborative practices. This research will try to evaluate the collaborative practice through the values-based approach based on the criteria defined by the relevant scholars. The research will address the related criteria in a comprehensive way to investigate on the applicability of this approach in the context of Kurdistan. More specifically, the question remains could such an approach be practice-oriented. Also, could values-based process be a tool to articulate, foster and build collaborative endeavours between stakeholders.

Accordingly, different concepts related to the practice of collaborative planning theory have been discussed. The relation between these concepts will be elucidated in the form of a conceptual framework, which is understood as a web of linked concepts that collectively help understand a certain phenomenon (Jabareen, 2009). The proposed conceptual framework is the result of extensive literature review compounded with practical experience in the field of heritage management in the context of Kurdistan, as recent initiatives have been proposed and adopted in the field. This entails that there is a pressing need to analyse the context in terms of potential opportunities and pertinent challenges for collaborative practices of urban heritage management, and holistically evaluate the collaborative process and outcome.

Nevertheless, this research is keen to evaluate the values-based approach which is an axiom or a progeny of collaborative practice in the management of heritage sites in Kurdistan. This means that the evaluation (process and outcome) is for the collaborative practice in management of heritage sites in Kurdistan towards sustainability through the evaluation of the values-based approach. Therefore, in the context of this doctorate research the evaluation of collaborative practices and the evaluation of the values-based approach will be used interchangeably.

The conceptual framework for this research could be read as three dependent phases, namely: input evaluation, process evaluation, and outcome evaluation, as seen below.

**Input evaluation:** This initial phase will analyse the level of integrated conservation in the Kurdistan context of Akre and Amedy case study, which includes: current status of heritage sites (physical/functional conditions of the sites and infrastructure) in light of current challenges in terms of population growth, urbanism, and impacts of reconstruction efforts. Likewise, this phase will analyse the recognition of urban heritage by the residents through analysing their perceptions toward heritage and its conservation. Also, the recognition of urban heritage by the government agencies, this can be addressed through analysing the planning interventions (i.e. the sites' significance considered while developing conservation plans, sites have been integrated with other plans such as land-use and tourism plans and the accessibility of the sites). Finally, this phase will analyse the preconditions needed for the application of values-based approach in terms of institutional arrangements (current related laws, bylaws and policies, and to what extent they are supporting integrated conservation and management and the relationship among the involved agencies in terms of coordination, cooperation, communication, partnership and participation level); willingness of the stakeholders to participate and provide an open forum (access) and facilitate stakeholder identification and participation. The political conditions and changes in the planning system will be addressed. This phase is organically linked to the process evaluation phase.

**Process evaluation:** This phase itself consists also of three interrelated sub-phases of pre-negotiation, negotiation, and post negotiation. This is the core of the collaborative process, where a communicative approach between different stakeholders and based on ideal speech conditions would discuss, negotiate, and interact to reach a consensus, where each of the stakeholders has an equal right to the process. Nonetheless, this learning process is challenged by many variables: power relations and positions of the different stakeholders, diversity of skills and knowledge between stakeholders, information, trust, availability of

self-design, and the needed time to finish this task. The discussion will be focused on the identification of heritage sites as a first step, and significance/ values. The research will take into consideration the value that represents the significance of the sites, whereas the political and economic values will be implicitly considered in the participants views. This phase transcends to the third phase of outcome evaluation.

**Outcome evaluation:** This phase includes the output of the negotiation process, where intangible outcome of social networks, conflict reduce, knowledge increase, and reach agreements about the sites considered as heritage and their values that would lead at the long-run of achieving tangible outcomes such as sites identification and valuation and new policies. Ultimately, an actualisation of integrated planning is foreseen. Nevertheless, this phase is opened for evaluation practices, explicitly for the “process” and “outcome” by linking it to the original quality of the context, to investigate whether the accumulation of collaborative practices have been well articulated within the system, arguing that urban heritage would be the best and first example that would lead to other practices.

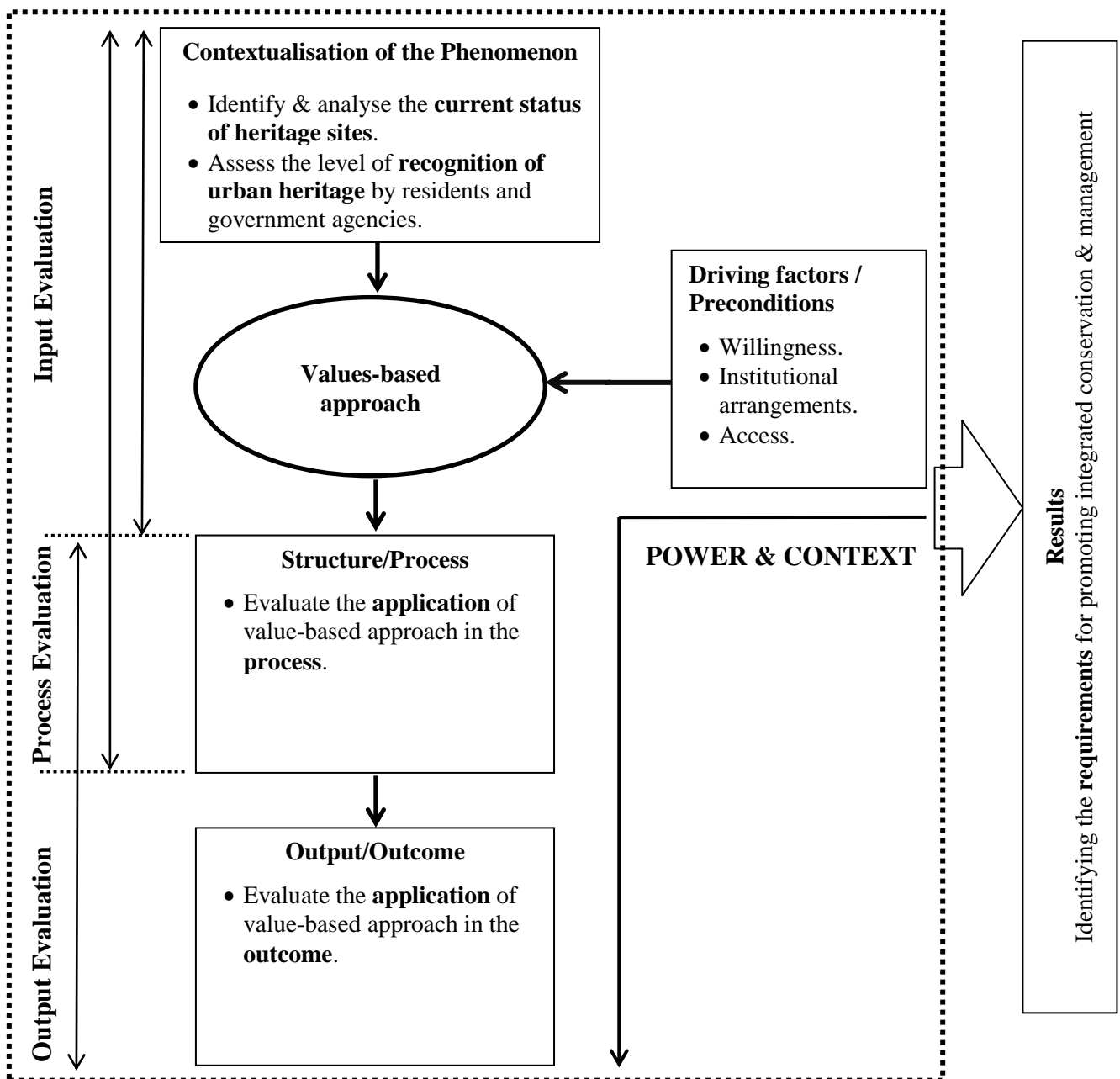


Figure 5-2: Conceptual Framework

## 5.7. Specific Research Questions

Having constructed theoretical and conceptual frameworks which facilitate bring up of the specific research questions to evaluate the three levels (input, process and outcome) in the conceptual framework.

<b>Key Research Issues</b>	<b>Specific Research Questions</b>
<ul style="list-style-type: none"> <li>▪ The current status of heritage sites in the light of factors such as urbanism, populations growth, etc.</li> </ul>	<ul style="list-style-type: none"> <li>➤ What is the physical/functional condition of urban heritage sites along with the accessibility of the sites?</li> <li>➤ How factors such as population growth, urbanisation trend and migration affect heritage sites?</li> <li>➤ How does urban morphology changed?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Recognition of urban heritage by residents and government agencies.</li> </ul> <p style="margin-left: 20px;">People's perception Planning intervention Institutional arrangements</p>	<ul style="list-style-type: none"> <li>➤ How is the people's perception toward urban heritage and its conservation?</li> <li>➤ How is the people's perception toward government performance with regards to heritage conservation issues?</li> <li>➤ Does the site's significance is respected by the residents / government while changes done? In the conservation area and buffer zone.</li> <li>➤ Does the site's significance is considered while developing the conservation plans?</li> <li>➤ What is the procedure of selecting sites and identifying their values in conservation plan?</li> <li>➤ At what level urban heritage sites integrated with land-use planning, while the sites have been considered in the distribution of functions in the buffer zone of sites, and the accessibility of the sites?</li> <li>➤ At what level the urban heritage sites are integrated with tourism activities in terms of socio-cultural and economic development?</li> <li>➤ What are the current institutional arrangements related to urban heritage conservation and management in term of laws, bylaws, policies, and initiatives, legal instruments used to control changes in the site's surrounding and distribution of responsibilities? Do these institutional arrangements support integrated conservation and management?</li> <li>➤ How is the relationship among the responsible agencies in term of coordination, cooperation, communication and partnership?</li> <li>➤ What is the mode of people's participation in heritage conservation decisions?</li> <li>➤ Do heritage conservation recognised in reconstruction efforts? What are the consequences of reconstruction projects on the heritage sites in term of respecting its value while building infrastructures or fund allocation?</li> </ul>
<ul style="list-style-type: none"> <li>▪ Application of value-based approach.</li> </ul> <p style="margin-left: 20px;">Elements impede or assist the practice of values-based approach. The process and outcome criteria mentioned in <a href="#">Section 4.7.3</a>, will be used for evaluation (See the questions in <a href="#">Appendix 8</a>).</p>	<ul style="list-style-type: none"> <li>➤ How is the value-based approach applied in the process of heritage conservation management?</li> <li>➤ How does the application of value-based approach affect the outcome of heritage conservation management process?</li> </ul>

## Chapter 6: Methodology

### 6.1. Introduction

After having presented an overview on Iraqi Kurdistan Region context in terms of social, economic, and political changes including issues related to heritage and addressed theoretical discussions of integrated approach, and theoretical and practical debates on collaborative and values-based approach to heritage conservation and management, it becomes evident that this research revolves around one important question as to what extent would the collaborative practice promote or operationalise an integrated conservation and management in Iraqi Kurdistan context? In other words would the values-based approach be applicable in research context? Therefore, it is time now to advance the research context into a solid research design and methods that facilitates the development of practical descriptions to find out answers to the main and specific questions of this research.

### 6.2. Research Strategy

The conceptualisation of the research problem facilitated to breakdown the main research questions into various and clearly formulated variables. These variables are essential to link the theoretical / conceptual level (main research questions and conceptual framework) to the practical level (empirical). Hence, the variables within the specific research questions indicate the type of data needed to be able to answer each question. Consequently, the questions, in particular the variables within the questions are used to decide on the research strategy as well as the methods and tools for data collection and analysis.

As it is illustrated in [Figure \(6-1\)](#) the main variables are: the morphology of heritage sites and its transformation in history, socio-economic contexts affecting heritage sites, perceptions and opinions toward heritage sites and components from the perspective of residents as well as officials who are direct and indirectly engage in heritage conservation and management assignments, and the level of recognition of heritage conservation within the legal framework. The character of these variables require in first place qualitative data and qualitative analysis. In addition, for data related to historical transformation, recognition of heritage sites and socio-economic context, it is clear to make use of both primary and secondary data. For instance, secondary data sources such as photos, maps, other historical documents, statistics, official documents and reports are essential to obtain data on variables related to morphology, socio-economic context, and recognition level of heritage sites. At the same time, primary data are required to understand the perception and opinion of residents, to measure the understanding of experts on the heritage conservation management and to analyse the morphology of historical settlements within the present socio-economic context and the influence of the daily life on the management of heritage conservation. Further, the aim of the research is also to find out the way in which values-based approach could be applied in the context of the study area. For that matter, a simulation of real life situation is necessary to analyse the potentials and the extent to which the factors of context, the characteristics of stakeholders and power are affecting the application the mentioned approach.

Therefore, the research strategy will be combining case study and archival study with a workshop. The case study permits to describe and explain the status and recognition of heritage conservation management in a particular context. Indeed, case study is the best alternative to first to be able to understand a certain phenomenon in a real life situation ([Yin, 1994](#)). Secondly, case study permits combining both qualitative and quantitative methods

which are required to obtain and analyse data (Robson, 2002; Bryman, 2011). At the same time, the archival study complements it by bringing the missing data and to corroborate data obtained through methods within case study. On the other hand, the workshop creates a condition for exploring the application of values based approach. The workshop is also a source of data on the dynamics of participation of stakeholders with different background, interests and opinions. .

Meanwhile, the internal validity of the collected data has been ensured through comparing data collected by using different methods. Integration of different research methods justified by (Mason, 2002b, p.33) to:

1. Explore different parts of a phenomenon.
2. Answer different research question with different methods and sources.
3. Answer the same research question but in different ways or from different angles.
4. Analyse something in greater and lesser depth or breadth,
5. Enhance the quality of data, and
6. Test different analysis, explanation of theories against each other.

This complementary approach has been further supported by the researcher's knowledge and experience in the subject and in the context of study area.

Farther, in order to anchor the external validity, it is decided to use two case studies to be a representative of the context which offers an ability to make generalisations from the research findings at the conceptual level.

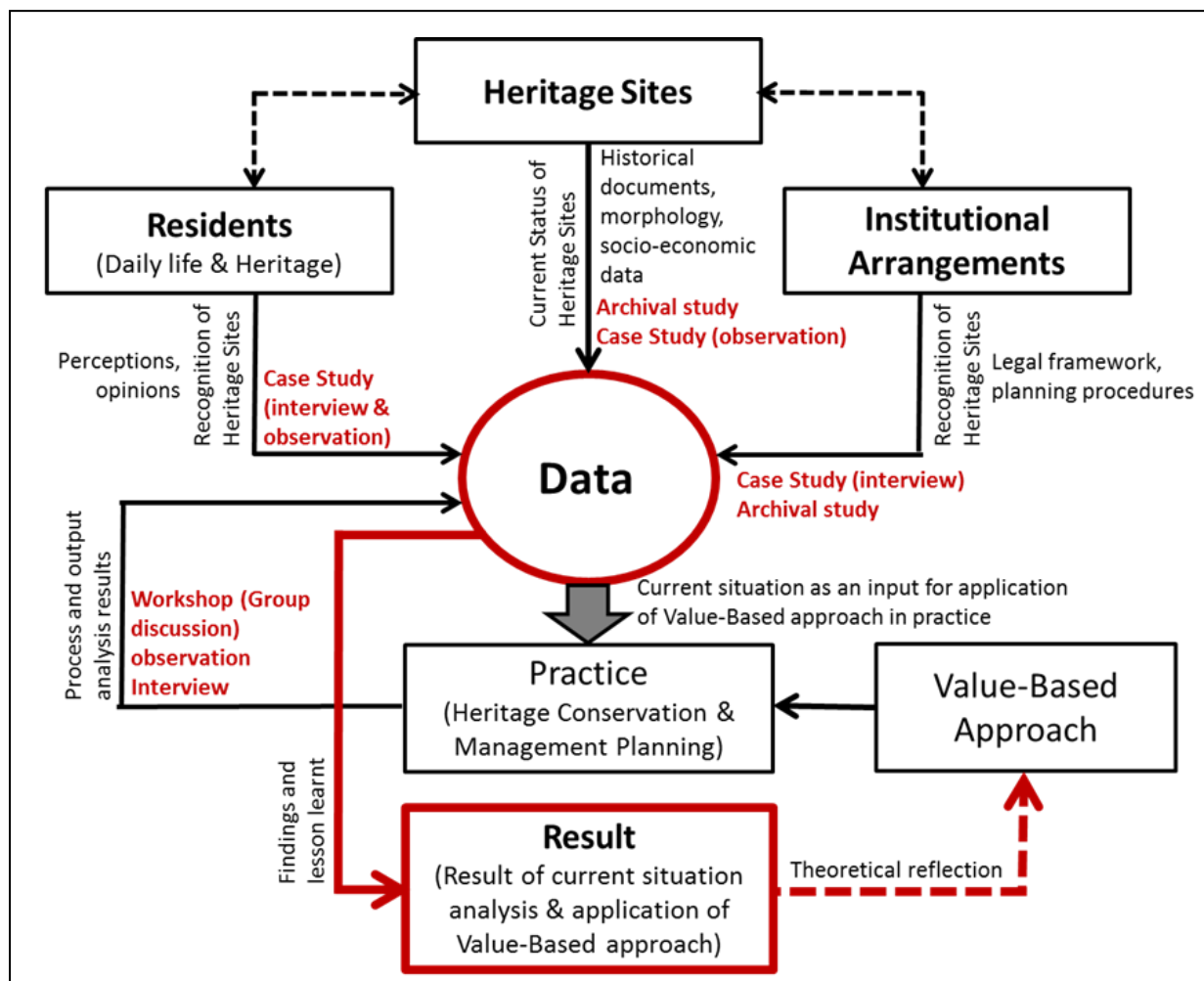


Figure 6-1: Research Strategy



### 6.2.1. Rationale for Selection of the Case Study Areas

One of the challenges of the research was identifying two adequate cases in Kurdistan Region. There are various cities in the region with similar characteristics, i.e. a rich legacy of cultural natural heritage) and challenges, such as urbanism, population growth, transformation of planning system, reconstruction projects, etc.). Based on the revised document on heritage conservations such as, National List of heritage sites and laws related to heritage conservation, the criteria listed below are developed. Hence, the criteria guide identifying cases with different heritage aspects and situations.

1. Availability of different natural and cultural elements of heritage.
2. Many and different sites listed on National List for heritage sites (area, single building, archaeological deposits, etc.)
3. Listed on the UNESCO's Tentative List (two examples present in the region: Erbil Citadel nominated based on cultural criteria and Amedy city nominated based on cultural and natural criteria of UNESCO).
4. Different ranks of municipalities.
5. Available touristic activities, low economic conditions (Figure 8-7; Figure 9-13).
6. Ongoing different conservation projects of heritage sites.

Notwithstanding, the researcher was interested to work on cities of Amedy and Akre that satisfy the abovementioned criteria (Table 6-1).

Criteria	Akre Case	Amedy Case
Criteria 1	X	X
Criteria 2	X	X
Criteria 3	NA	X
Criteria 4	X (rank 1)	X (rank 2)
Criteria 5	X	X
Criteria 6	X	NA

Notes: X indicate the presence, NA indicate not applicable

### 6.3. Data Collection Methods

The research incorporated a mixed-method approach, including both qualitative and quantitative research techniques and methods. Data collection and analysis took two phases: the first phase aimed at input evaluation as has been described in conceptual framework (See Section 5.6), to answer the specific research questions related to this level. This aims at describe and explain the extent of current integrated heritage conservation and management of heritage through identifying the nature of influencing factors such as population growth, urbanism, people's perception, related institutional arrangements, relationship among stakeholders (See Table 6-2). For this phase, document analysis, non-participant observation, semi-structure interviews with expert and structured interview with residents have been used. The second phase aimed at exploring the applicability of values-based approach in practice as a preferred method of integrated heritage conservation and management. Semi-structured interview with stakeholders and participant observation methods have been used for data collection in this phase.

The following section elaborates on the deployed data collection methods; the associated strength and weakness of each method, along with the researcher experience in dealing with methods are briefly presented. The following section elaborates on the deployed data collection methods; the associated strength and weakness of each method, along with the researcher experience in dealing with methods are briefly presented.

**Table 6-2: Research Questions and Methods**

Key Research Question	Specific Research Questions	Information/Data	Data Collection Methods
<b>What is the current condition of urban heritage sites? and to what extend factors such as population growth, urbanisation trend and migration affect urban heritage sites?</b>	What is the physical/functional condition of urban heritage sites along with the accessibility of the sites?	<ul style="list-style-type: none"> <li>- Physical and functional condition of heritage sites (buildings, historic houses, historic quarters, open spaces, old Bazar, etc.</li> <li>- Current condition of the landscape and natural sites, and transportation system.</li> </ul>	<ul style="list-style-type: none"> <li>- Non-participant observation.</li> <li>- Semi-Structured interview with experts.</li> <li>- Archived research (analysis of maps, photos and reports).</li> </ul>
	How do factors such as population growth, urbanisation trend and migration affect heritage sites?	<ul style="list-style-type: none"> <li>- Demographic composition (i.e. population growth rate and migration), its impact on the physical/functional condition of heritage sites such as historic houses.</li> </ul>	<ul style="list-style-type: none"> <li>- Document and archival analysis (master plans and government reports).</li> <li>- Non-participant observation.</li> <li>- Semi-structured interview with experts.</li> </ul>
	How does the urban morphology change?	<ul style="list-style-type: none"> <li>- City development stages with regards to social, economic and political changes.</li> <li>- Description of the urban patterns (streets, open spaces, relation of building to each other) and architectural description of building (doors, windows, roof, building materials, height).</li> <li>- Land-use classifications and infrastructure (roads, sewerage system, etc.).</li> <li>- Traditional socio-cultural and economic activities such as handcrafts and employment patterns.</li> </ul>	<ul style="list-style-type: none"> <li>- Non-participant observation.</li> <li>- Semi-structured interview with experts.</li> <li>- Archived analysis.</li> </ul>
<b>How do the people and government agencies recognise urban heritage (cultural and natural) as a resource in the planning and management system?</b>	What is the people's perception toward urban heritage sites and their conservation?	<ul style="list-style-type: none"> <li>- Which sites are considered as heritage? Is the process of conservation an important task?</li> </ul>	<ul style="list-style-type: none"> <li>- Structure interview with residents.</li> <li>- Semi structured interview with expert.</li> </ul>
	Is the site's significance respected by the residents/government while changes take place at these sites?	<ul style="list-style-type: none"> <li>- Assessment of current changes carried out by both residents and government agencies.</li> </ul>	<ul style="list-style-type: none"> <li>- Non-participant observation.</li> <li>- (In)formal reports.</li> <li>- Semi-structured interviews</li> </ul>
	What is the people's perception toward government performance with regards to heritage conservation issues?	<ul style="list-style-type: none"> <li>- Resident's satisfaction of the government performance, for example, considering heritage in the fund allocation, involving the residents in conservation activities, professionally implementing the conservation plan.</li> </ul>	<ul style="list-style-type: none"> <li>- Structured interview with residents.</li> <li>- Non-participant observation</li> </ul>
	Is the site's significance considered while developing conservation plans?	<ul style="list-style-type: none"> <li>- The capacity of the responsible staff in developing and implementing conservation plans.</li> </ul>	<ul style="list-style-type: none"> <li>- Semi-structured interviews with experts.</li> <li>- Document analysis (related standards).</li> </ul>
	At what level urban heritage sites are integrated with land-use planning?	<ul style="list-style-type: none"> <li>- Staff capacity in the related agencies to develop conservation plan and to integrate site's value with the land- use planning,</li> <li>- Does the buffer zone of heritage sites is taken into consideration to satisfy the integrity (visual and functional). Does the accessibility of the site has been considered.</li> </ul>	<ul style="list-style-type: none"> <li>- Non participant observation;</li> <li>- Semi structure interview</li> <li>- Document analysis</li> </ul>
	Is heritage conservation recognised in reconstruction efforts?	<ul style="list-style-type: none"> <li>- Do the current efforts of reconstruction in Kurdistan Region has taken heritage conservation into consideration in term of fund allocation and respecting site's value while proposing or implementing reconstruction projects.</li> <li>- The level of coordination and cooperation and communication among the related agencies.</li> </ul>	<ul style="list-style-type: none"> <li>- Non participant observation;</li> <li>- Semi structure interview</li> <li>- Document analysis</li> </ul>

	At what level are urban heritage sites integrated with socio-cultural and economic activities (touristic activities)?	<ul style="list-style-type: none"> <li>- Do the heritage sites has been integrated with tourism planning, if there is tourism activities around the sites</li> <li>- If there is an encouragement to the traditional and local products, for example the (handcrafts)</li> </ul>	<ul style="list-style-type: none"> <li>- Non participant observation;</li> <li>- Semi structure interview</li> </ul>
	What is the procedure of selecting sites and identifying their values?	<ul style="list-style-type: none"> <li>- The details about the process of developing conservation plan, do they consider the residents opinion regarding the site's value or its future use. Or what value do they consider. The level of cooperation, coordination and communication among the related agencies</li> </ul>	<ul style="list-style-type: none"> <li>- Structure interview</li> <li>- Document analysis</li> </ul>
	What are the current institutional arrangements in relation to urban heritage conservation and management such as laws, bylaws, policies, and initiatives, what about the legal instruments used to control changes in the site's surrounding and how are responsibilities distributed? Do these institutional arrangements support integrated heritage conservation and management?	<ul style="list-style-type: none"> <li>- Hierarchy of planning process, identification of the engaged actors and their responsibilities, related laws, policies especially in dealing with owners, analysing master plans in term of recognition of heritage conservation, available building code.</li> <li>- How the integrity (visual and functional) is being supported by laws and bylaws? Are the coordination and cooperation and communication and participation have been supported? Is the institutional arrangement supporting the owners interest?</li> </ul>	<ul style="list-style-type: none"> <li>- Semi-structured interviews with experts.</li> <li>- Document and archived researches.</li> </ul>
	What is the nature of relationship among the responsible agencies in term of coordination, cooperation, communication and partnership?	<ul style="list-style-type: none"> <li>- Level of interaction among stakeholders and the challenges facing them.</li> <li>- The conflict issues among them, the mode of their interaction.</li> <li>- The initiatives (programs &amp; projects) and future plans.</li> </ul>	<ul style="list-style-type: none"> <li>- Semi-structured interviews with experts.</li> <li>- Documents analysis such as reports.</li> <li>- Municipalities report.</li> </ul>
	What is the mode of people's participation in heritage conservation decisions?	<ul style="list-style-type: none"> <li>- Level of considering residents opinion while making decisions.</li> <li>- Level of accessibility to the information.</li> </ul>	
	Do all stakeholders have the willingness to collaborate, and what is the access for them to get start?	<ul style="list-style-type: none"> <li>- Willingness to participate and collaborate in heritage conservation activities such as identification and valorisation of urban heritage sites.</li> </ul>	<ul style="list-style-type: none"> <li>- Semi-structured interview with experts.</li> <li>- Structured interview.</li> <li>- Seminars.</li> </ul>
	What is the unemployment and poverty rate?	<ul style="list-style-type: none"> <li>- Whether heritage conservation has been considered as a tool for reducing the unemployment rate or solving the poverty problem.</li> </ul>	<ul style="list-style-type: none"> <li>- Non participant observation</li> <li>- Document analysis</li> </ul>
<b>Main Research Question</b>	<b>Sub-Main Research Question</b>	<b>Needed Information</b>	<b>Data Collection Technique</b>
<b>What are the elements that impede or assist the practice of values-based approach?</b>	How was the process of collaborative practice in terms of representativeness, self-design, commitment, mutual respect, amongst other criteria?	<ul style="list-style-type: none"> <li>- Whether the discussion fulfilled the ideal speech conditions.</li> </ul>	<ul style="list-style-type: none"> <li>- Participant observation</li> <li>- Semi-structured interviews with stakeholders</li> </ul>
	How was the outcome of collaborative practice in terms of reducing conflict, achieving agreement, acquiring knowledge and understanding?	<ul style="list-style-type: none"> <li>- (In)tangible outcome, plans, conflict reduced knowledge gained, support to values- based approach, etc.</li> </ul>	<ul style="list-style-type: none"> <li>- Participant observation</li> <li>- Semi-structured interviews with stakeholders</li> </ul>

### 6.3.1. Document and Archival Analysis

Document analysis is considered as a valid research strategy with considerable merit as a methodology for policy evaluation and reform (Blundell, 2010). It includes the ability to read between lines to ascertain hidden meanings (Dooley, 2002). Document analysis is also helpful in assessing institutional processes. Very often, examination of documents provides confirmatory evidence of the information obtained from other research techniques such as interviews, questionnaires and observations.

Accordingly, the process of gathering information through document analysis for this research demanded the ability to search and obtain relevant documents from local, regional, national and international sources. National and regional strategy documents and initiatives published by Iraqi Central Government and KRG concerning heritage conservation, urban development, governance, decentralisation and practice of participation have been thoroughly analysed. Additionally, province and local policy statements, strategies, reconstruction and investment reports, laws and bylaws and fact sheets produced by municipalities and districts administrations also have been analysed (For more details, see a sample of documents, Table 6-3). To maximise the quality of data used for this study, archival analysis of records and visual materials were also been collected such as photos at different time frame, maps, gazette, and aerial photographs. They were useful tools to analyse the morphology of city and to observe the changes on the heritage sites and its surrounding, land-use distribution.

**Table 6-3: List of analysed documents and archives**

Document title	The issued body	Year
Regional Development Strategy for Kurdistan Region (2012-2016)	Ministry of Planning – KRG	2011
Regional Development Strategy for Kurdistan Region (2013-2017)	Ministry of Planning – KRG	2012
National Development Plan – Iraq (2010-2014)	Ministry of Planning – Iraq	2010
National Development Plan – Iraq (2012-2016)	Ministry of Planning – Iraq	2012
National Development Plan – Iraq (2013-2017)	Ministry of Planning – Iraq	2013
Master plan Akre (Urban Development, Sewerage and WWTP, Traffic).	Municipality of Duhok	2011
Master plan Amedy, Qadesh, Sarsink (Urban Development).	Duhok Directorate of Municipalities	2011
Master plan Duhok City (Urban Development, Sewerage and WWTP, Traffic)	Municipality of Duhok	2008
Erbil City Centre Master plan	Municipality of Erbil	2006
Sulaimaniyah Master plan, Final Report	Municipality of Sulaimaniyah	2009
Iraq National Housing Policy	Ministry of Construction and Housing, Iraq, and UN-HABITAT	2010
Governance in Iraq	United Nations Development Programme	2009
Fact Sheet: Housing and Shelter in Iraq	UN-HABITAT	2009
Kurdistan Region Economic Development Assessment	RTI-International, United States Agency for International Development	2008
Fact Sheet: Iraq Cultural Heritage Project	Department of State, United States	2008
Duhok Strategic Plan for Development (2009-2013)	Duhok Governorate	2009
Erbil Strategic Plan for Development and Improvement (2008-2012)	Erbil Governorate	2008

Sulaimaniyah Strategic Plan for Development and Improvement (2008-2012)	Sulaimaniyah Governorate	2008
Iraq Urban Sector Strengthening Project	UN-HABITAT Iraq	2006
Investment Law (No. 4, 2006)	Kurdistan Region Presidency	2006
Housing and Urban Management Sector Report	United Nations Development Group/World Bank	2005
The World Heritage Convention	UNESCO	1972
General Directorate of Heritage Law (No. 40)	Iraqi Ministry of Education	1958
Antiques and Traditions Law (No.55, 2002)	Ministry of Culture, Iraq	2002
The Law of Environmental Protection and Improvement Board - KRG	Kurdistan Region Presidency	2010
Old Archaeological Site legislation (1924)	Ministry of Transportation	1924
Old Archaeological Site legislation Law No.59 (1936)	Ministry of Knowledge	1936
Heritage Charter Law No. 39 (1958)	Ministry of Education	1958
Heritage law No.120 (1974)	Ministry of Culture	1974
Iraqi State Board of Antiquities and Heritage Law no.45 (2000)	Council of Ministers-Iraq	2000

### 6.3.2. Observation

Observation techniques are an important method in qualitative research. It involves looking and listening carefully. [CEET \(2012\)](#) states the main advantages of observational techniques, (1) produce information which cannot be collected in any other way, indeed, detailed physical task performance, social interactions, surrounding influences can be recorded; (2) allow the observer to become more familiar with the task. So they are very appropriate for exploratory studies because they allow the investigator to decide what to look for, (3) can be used to identify and develop explanations of individual differences in task performance, and (4) provide data which can be compared and contrasted with information by another method. Two degree of participations has been employed in this research, namely: non-participant observation and participant observation.

#### Non-Participant Observation

In the first phase of the analysis, the researcher used non-participant observation, to gather the data mainly by looking carefully. This has been done by purposeful walking in and around the city especially in the historic part, to help understanding the style, the physical and functional conditions of the cultural heritage sites and the condition of the natural landscape elements, their sitting and surrounding, the current integration of those sites with the surrounding activities, the current status of the on-going projects related to the conservation issues or other reconstruction road system, traffic congestion etc. Furthermore, the non-participant observation tries to grasp the socio-economic activities, especially related to tourism activities in the commercial Bazar and the touristic paths.

Nonetheless, the non-participant observation is compounded with a study of the city history and the urban morphology. In other words, this would help in understanding the changes and modes of developments and urbanisation in the city. Furthermore, the spatial layout of new implemented projects is studied to link it with the current land uses and the ownerships patterns (private, public (governmental), or mix). This is intended to serve as absorbing the city as an integral unit. This has been done by taking short writings and comments, and visual notes, photographs were particularly very useful here.

All of all, this helped us in interpreting the current condition of urban heritage conservation, to have better understanding of the level of heritage conservation integration with the daily life, or awareness and recognition of heritage aspects among the people and the related agencies staff as a resource and sense the apparent conflicts and problems in the historic part of the city. All of all, there is a need to compare these observations with what the interviewees (experts) and the residents perceive and think about the current status of urban heritage to better understand the phenomenon.

### **Participant Observation**

This method has been used in the second phase of analysis. Langley (1988) argues that "we all watch other people sometimes, but we don't usually watch them in order to discover their behavior, this is what observation in social research involves". The purpose of this method is to develop an understanding of complex social settings and complex social relationships by seeing them holistically (Bogdan, 1973).

Mack et al. (2005) argue that "data obtained through participant observation serve as a check against participants' subjective reporting of what they believe and do. Participant observation is also useful for gaining an understanding of the physical, social, cultural, and economic contexts in which study participants live; the relationships among and between people, contexts, ideas, norms, and events; and people's behaviors and activities – what they do, how frequently, and with whom."

Those who advocate the use of participant observation point out that in many situations what is important is not known (Bogdan, 1973). Data gained through this method have evident validity since participant observation does not prejudge issues and events (in the way a questionnaire may, for example) and, for these reasons it is possible to argue that such a method provides data that has a high level of validity (UK Sociology, 2003).

Observations made by participant observers are important since the participant/evaluator is actively engaged in the process and would understand the conflict resolution process and better describe the process in details. Observation also provides the evaluator with a more open and inductive process of exploration that is more likely to lead to discoveries because it is less bound by preconceptions imbedded in evaluation protocols. In participant observation data can be considered broadly reliable if the same results can be gained by different researchers asking the same questions to the same people. Nevertheless, in this research this was not the case, therefore the researcher have deployed other research methods, especially semi-structured interviews with stakeholders to increase the reliability of the attained findings.

To keep the objectivity of the observation process, the researcher took a role of simple participant and did not take role of moderator or rapporteur within the workshop. Even in the stakeholder's analysis and identification that was done in close consultation with experts, officials, and residents. This was done with the conducted videotaped recorded workshops and seminars. On the other hand, the researcher was trying to raise the main issues attained from her provisional analysis in the first phase in order to guide the discussion to the main research aim. As an example, the researcher tried to steer discussions over the disputed heritage sites in the identification and valuing of the heritage sites. It is worthy to mention that even the side discussion that have been done outside of the meetings were included in the analysis.

### 6.3.3. Interviews

Interviews have long been the dominant technique in the field of research and particularly useful for getting the story behind interviewee's experiences. Generally, interviews range from those that are structured to those that are open ended. Interview seems to be a suitable method for data collection in this thesis because they allowed exploring individual experiences or opinions regarding the researched phenomenon. Two interview techniques have been used; structured and semi-structured interview, both offers a complimentary understanding of the context of the study area.

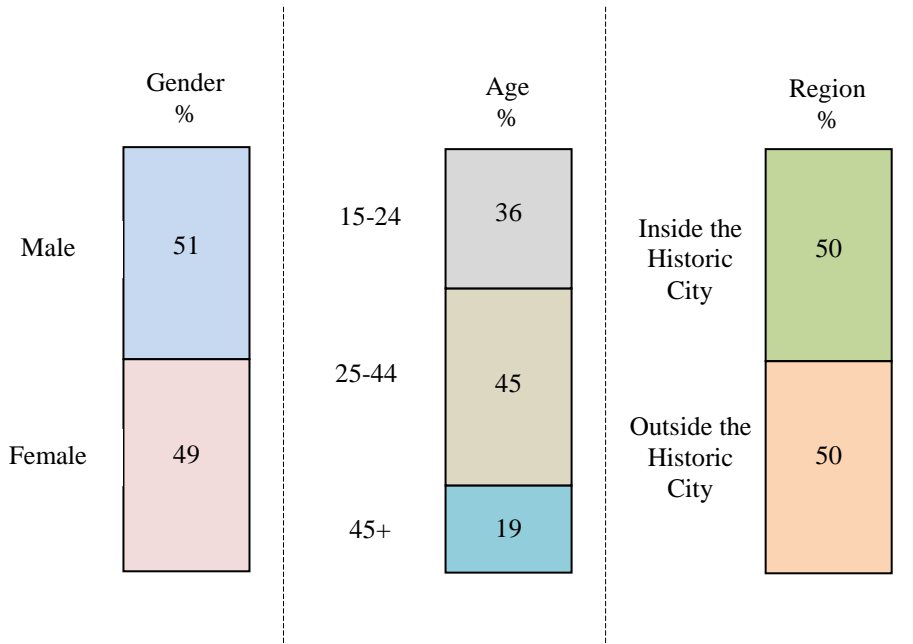
Structured interview enables the researcher to examine the level of understanding and feeling a respondent has about a particular topic, and can be a powerful tool of formative assessment; this makes it easy to repeat the interview (standardise) to contact a large number of people quickly, easily and efficiently (UK Sociology, 2003). This explains the recognised advantage of structured interview which is a high validity and reliability (Bryman, 2011). Based on aforementioned features, structured interview with residents has been selected to determine their perception toward heritage in this research.

Semi-structured interview is a series of open-ended questions based on the topic areas the researcher wants to cover; the open-ended nature of the question defines the topic under investigation and provides opportunities for both interviewer and interviewee to discuss some topics in more detail (Mathers et al., 2002). Needless to say; "The interview method is a conversation with a purpose" (Woods, 2011). This type of interviews are conducted with a fairly open framework which allow for focused, conversational, two-way communication, and can be used to give and receive information, obtain general information relevant to specific issues, (i.e. to probe for what is not known), gain a range of insights on specific issues, and discuss the overall results of the analysis with community members so that they can challenge the perceptions of the interviewer, this can make the process even more participatory (FAO, 1990). An important advantage of semi-structured interviews is that it can ensure a representative sample and control the content to address areas of interest and address past, present issues and confer knowledge and experience in the future. For this research, semi-structured interviews is found to be the most appropriate method for data collection regarding the process of heritage conservation and management because it defines the relations between the stakeholders and identify the nature of communication between the concerned governmental agencies.

#### Structured Interview

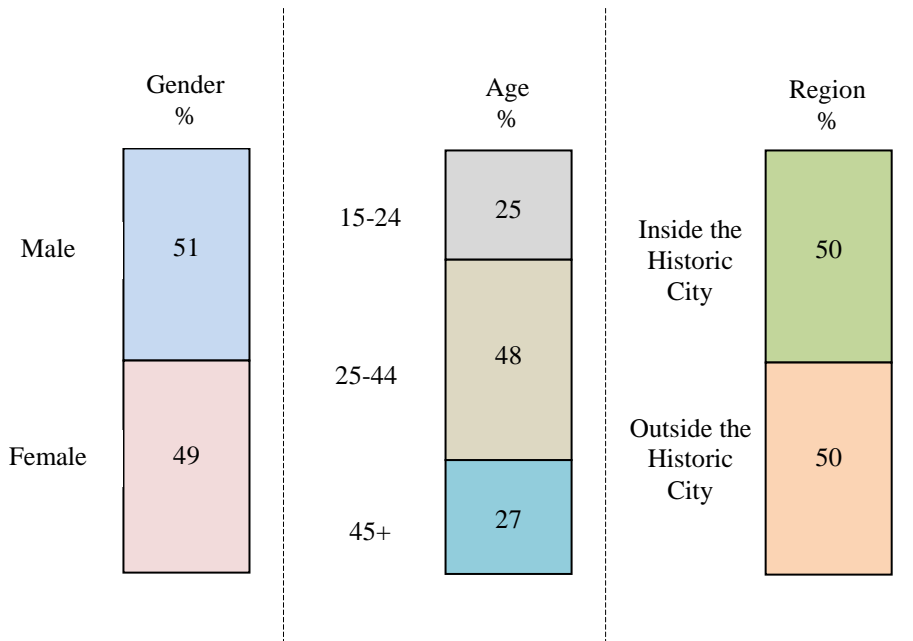
Structured interview has been carried out to gather data from the residents in both case studies to identify people's perceptions towards heritage and its conservation and the government performance in heritage conservation and management (See Questionnaire Example in Appendix 4).

A stratified sample procedure was used for interviewing. Population within cities was broken down by age, gender and region (inside/outside historic city). Quota controls being set to ensure representation of the population at large (See Figure 6-2; Figure 6-3).



Total Population: 66405 Target Population: 40830 Sample Size: 120

Figure 6-2: Sample Profile of Akre City (Structured Interview)



Total Population: 8821 Target Population: 6120 Sample Size: 80

Figure 6-3: Sample Profile of Amedy City (Structured Interview)

Two group samples have been surveyed aged 15+years, 120 in Akre city and 80 in Amedy city. The sample has been equally taken from inside and outside historic city in both Akre and Amedy cities. The design of sample size in both cities takes into consideration the population in both cities and each stratum was set not to be less than 10 subjects (See Table 6-4; Table 6-5).



Age Group	Inside Historic City	Outside Historic City	Total
15 - 24 year	11 male	11 male	22
	10 female	11 female	21
25 - 44 year	13 male	14 male	27
	14 female	13 female	27
45 and above	6 male	5 male	11
	6 female	6 female	12

Age Group	Inside Historic City	Outside Historic City	Total
15 - 24 year	5 Male	5 Male	10
	5 Female	6 Female	11
25 - 44 year	9 Male	9 Male	18
	10 Female	9 Female	19
45 and above	5 Male	6 Male	11
	6 Female	5 Female	11

### Semi-structured Interview:

In this research, semi-structured interviews have been used to interview experts and stakeholders, who are interested in, concerned about, affected by, or are involved in some way with, the heritage conservation and management. To identify the experts, a purposive sampling method has been used as a tool for informant selection. Literature indicate that purposive sampling is more efficient in gathering data than random sampling in practical field circumstances (Tangco, 2007) and provide evidence for the validity of another sampling approach since a random member of a community may not be as knowledgeable and observant as an expert (Tremblay 1957 cited in Tangco, 2007). The main aim of interview with experts was to understand the relationship among the related agencies and the level of people participations among others (See Appendix 5). The interviews with experts focused on a sample of individuals with different levels of decision-making power (federal, province, local) based on their involvement with the management of heritage sites (natural and cultural), professions in government, academics, investors etc. the interviews are carried out between 6<sup>th</sup> June, 2012 to 20<sup>th</sup> September, included 23 initial interviews. Some of the experts interviewed are at two levels of decision making process (See Appendix 6 and 7).

All interviews and discussions were carried out verbally and face-to-face and questions that prompt discussion in the form of checklists of main and sub-issues related to the major interview topics were prepared and used to guide flexible discussions. Interview questions were open-ended and discussion of the main issues raised and sub-issues relevant to the study themes were made. In all interviews, tape recording and shorthand notes were used. Each interview took 30-90 minutes. The interview preparation included also the personal details of the interviewees such as current position, scope of involvement in heritage management, and former employee records. These helped the researcher to conduct wide-ranging interviews covering all aspects of activities in which the individual interviewee has been involved. Afterwards, the analysis of the interviews was made based on a recurrence process of answer analysis, and then these answers were grouped together into thematic categories.

The aim of stakeholder interview was to evaluate the process, result and outcome development (See Appendix 8). Stakeholder interviewees have been selected based on group discussion classification taking into consideration representatives from government (federal, province and local levels), residents, NGOs and academics. The face-to-face interviews conducted with 14 and have been carried out between 12<sup>th</sup> October, 2012 to 11<sup>th</sup> November, 2012, were specifically focused on stakeholders attended the participatory workshop for both case study Akre and Amedy (See Stakeholders Details in Appendix 9).

## **Chapter 7: Setting the Context of Urban Heritage Conservation and Management in Iraqi Kurdistan**

### **7.1. Introduction**

This chapter presents the institutional arrangements related to heritage conservation and national and regional strategic plans in the context of Kurdistan, ultimately looking at its relation with urban planning interventions. Furthermore, the chapter discusses the responsibilities related to heritage conservation at the federal, province and local levels. Challenges facing heritage protection in terms of demography change and booming of reconstruction efforts carried out in Kurdistan Region are also discussed. Finally, this chapter generally presents and discusses the current condition of urban heritage in Kurdistan at large.

### **7.2. Institutional Arrangement for Urban Heritage Conservation and Management**

#### **7.2.1. Legal Framework and Pertinent Laws**

The federal governmental system of Iraq determines how and who creates legislations, regulations, policies and guidelines. The government is composed of three main and independent authorities: the legislative authority which enacts and amends laws; the judicial authority which applies these laws and the executive authority which enforces the laws, regulations, policies and guidelines. In Kurdistan Region, the responsibility for the conservation and management of the heritage is realised at all levels, national, province and local levels.

Nevertheless, at the national level, currently the Iraqi State Board for Antiquities and Heritage (SBAH) is the entitled governmental agency responsible for heritage conservation and management. The board was reinvented in 2000 by the Council of Ministers in Baghdad which has been allocated within the Ministry of Culture and Information. The Iraqi constitution granted mandates to the federal level to protect and manage the heritage sites.

However, heritage conservation and management in Kurdistan Region has a multi-ministerial related organisational structure involving two ministries and one board in KRG. The conservation task is mainly the responsibility of the Ministry of Municipalities and Tourism (See the Structure of Ministry of Municipalities and Tourism in Appendix 10). However, it is partially shared by the Ministry of Culture and Environmental Protection and Improvement Board in KRG. Following the decentralisation policy adopted after 2003, each of these competent authorities now includes general directorates at province level, which in turn include directorates at local (district) level, i.e. each general directorate has one directorate at local level (See Figure 7-1). An exception to this structure is the General Directorate of Constructive Planning and the department of environment, which are only available at province level and assume the overall coverage of all locations within the province. The Ministry of Municipalities and Tourism of Kurdistan was established according to Law no. 15 of 1992. The ministry is responsible for tangible cultural heritage management including archaeological sites, historical buildings, historic urban area and its buffer zone, and touristic site as stipulated in Law no. 15 of 1992 and Law no. 2 of 2007 which identified the ministry duties also to administer public and civil municipal services, sewerage and water supply and expand and develop tourism in Kurdistan.

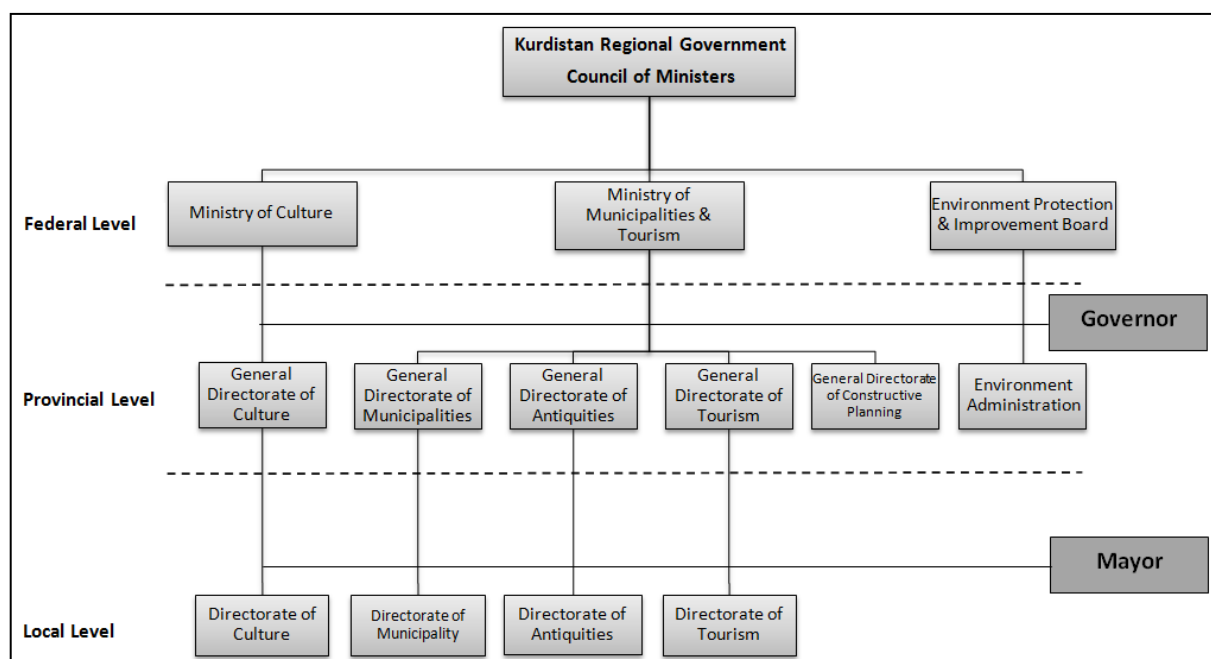


Figure 7-1: Heritage conservation within hierarchy of planning system in Kurdistan Region

Source: Own Constructed Based on Document Analysis and Fieldwork, 2012

The ministry also deployed Law no. 3 for Land Separation and Transformation of 1998, and Law no. 4 of 2006 for investment purposes and Law no. 6 of 1993 for directorates of municipalities. However, in 2007, the government enforced Law no. 2 that divided the Ministry of Municipalities and Tourism into two separated bodies: Ministry of Municipalities and General Board of Tourism. In 2012, the related tourism functions have joined the Ministry of Municipalities again.

The Ministry of Culture is responsible for intangible cultural heritage. It has been established according to Law no. 11 of 1992. The law defines tasks and responsibilities of the different authorities and outlines intangible heritage as customs, traditions, arts, social practices, rituals, festival events, knowledge and practices concerning the production of traditional crafts. The ministry is responsible for the conservation and promotion of Kurdish cultural originality, media, dissemination, art, and Kurdish festivals. In 2008 and according to Law no. 8, natural aspects have been partially merged within the task and responsibilities of the Ministry of Environment of Kurdistan. While according to Law no.3 of 2010, Ministry of Environment, along with its related departments became an independent board under the name "Environmental Protection and Improvement Board in the Kurdistan Region". The board has a council with the many representatives<sup>17</sup> with different related responsibilities.

Within this framework, one of the main goals of the board is *"Raising the level of environmental awareness, and establishing individual and community responsibility to environmental protection and improvement, activating the role of Organisations of civil societies and encouraging the voluntary efforts in this field."* (Article 3, Law no. 3; The Law of Environmental Protection and Improvement Board in Iraqi Kurdistan Region-2010) (Environment Protection and Improvement Board, 2012).

<sup>17</sup> Representatives of the following ministries with the degree of no less than general Director: Ministry of interior, Ministry of Municipalities and Tourism, Ministry of Higher Education & Scientific Research, Ministry of Planning, Ministry of Agriculture and Water Resources, Ministry of Health, Ministry of Trade and Industry, Ministry of Natural Resources, Ministry of Electricity, Ministry of Transport and Communications, Ministry of Education, Ministry of Peshmerga Affairs, Ministry of Culture and Youth, Ministry of Endowment & Religious Affairs, and (2) Two specialized expert members in environmental protection by a decision from the chairman of the board (2) representative in the environmental protection and improvement committee in the regional governorates (Environment Protection and Improvement Board, 2012) and its directorates in the province level (Erbil, Sulaimaniyah and Duhok).

As a proof for delegating more authorities to the provinces and local areas, the general directorates work under the supervision of the elected Provincial Council (PC) and the governor at province level. Conducted surveys show that the PC and the governor have received more authorities. Nevertheless, there are still additional authorities that have not been approved and linked to the ongoing discussions on the Iraqi constitution. Although they belong to and report directly to their higher authorities (directorates) in the province centre, the directorates at local level work under the supervision of the district mayor who is the head of administrative unit in the local area.

It became evident from available documents and the interviews made with the experts in heritage conservation that the General Directorate of Archaeology and its subordinate agencies are the main responsible authority for developing the conservation plan for each site, setting conservation standards, reviewing and updating conservation laws, and nominating new sites for the National List. Important to mention is that these competent authority should work according to the law with other agencies that would facilitate their work. Changing the subordination of this directorate has always been the subject of discussion during the establishment of consecutive ministerial cabinets after 1991. The involved directorates (federal, province, and local) wanted this directorate to remain under the authority of the Ministry of Municipalities and Tourism as conservation tasks require involvement of various departments of that directorate such as urban planning and tourism. Some others wanted to separate tourism and archaeology from ministry of municipalities and establish a new ministry titled “Ministry of Tourism and Archaeology”. The remaining competent authorities preferred that it become an independent board that is directly related to the Council of Ministers. They justified this suggestion as the General Directorate of Archaeology, if changed to a board would perform better as it will receive more funds. In addition, its archaeological tasks will not be traded off with other infrastructure delivery tasks of the Ministry of Municipalities and Tourism as the case now. This overall discussion is embedded at different levels, mainly the federal, province, and local levels. This also was one of the main topics of Heritage Conference at University of Duhok in May, 2012.

As regards the internal structure of the general directorates of the Ministry of Municipalities and Tourism, the officials see that there is a need for an update to cope with the current needs and challenges. For example, the General Directorate of Constructive Planning in Duhok has recently introduced two more sections – Geographic Information System (GIS) and rural area development. The remaining of this section is dedicated to identify the responsibilities in law and practice in these competent authorities.

### **7.2.2. Legislations and Regulations of Cultural Heritage and Natural Aspects Protection**

The first known legislation dates back to 1917. The chronological order of heritage legislation in Iraq and Kurdistan could be presented ([Iraqi Legal Database, 2011](#); [Kurdistan Legal Service, 2011](#)), as follows:

#### ***Old Archaeological Site legislation (1924):***

This legislation mandated the Ministry of Transportation with the responsibility of managing the heritage. In this legislation heritage has been restricted to the old archaeological sites and it was defined as all sites built in Iraq before 1700 AC which included buildings, structures and ruins with art, science, religion, tradition, history, or man-made work. The primary focus of this legislation has been a preservation of archaeological sites. The legislation has been replaced by the Amendment Law no. 19 1926 which mandated Ministry of Knowledge with the responsibilities of heritage preservation. Currently, both legislations are not present. It is worthy to mention that the SBAH was created in 1923,

### ***Old Archaeological Site legislation Law No.59 (1936)***

This legislation added the General Directorate of Antiquities to the Ministry of Knowledge which has the responsibility for preservation and repair of heritage. Any building built since 200 years is considered to be a heritage site within this legislation. The legislation which is still valid till now, identifies the public interests and historical, religious, artistic, and social (national) values of heritage to be the main motivation for the preservation process. Thereafter, in 1958 another legislation came to effect that assigned the responsibility of heritage to the Ministry of Culture.

### ***Heritage Charter Law No. 39 (1958)***

In 1958, the Iraqi Ministry of Education developed a charter to establish the General Directorate of Heritage to manage the country's rich heritage. This charter represents an ambitious program, which is aimed at ensuring proper heritage management. Accordingly, this directorate was assigned with the following tasks: (1) identification and preservation of heritage sites, and management of museums, monuments and artefacts; (2) the creation of networks to facilitate coordination among government institutions; (3) carrying out required engineering works and excavations on heritage sites; (4) setting up laboratories to monitor heritage sites and monuments on a regular basis, and repairing and restoring the damaged sites and pieces; and (5) the establishment of a media department and library for safekeeping documents and records ([See UNESCO's Cultural Heritage Law Database](#)).

### ***Heritage law No.120 (1974)***

This law has amended, but did not replace all the preceded valid legislations, and removed the word 'old' in the legislation and used instead the term 'heritage'. It gave the Ministry of Culture the responsibility of heritage preservation and mandated its directorates to register the archaeological sites and manuscripts in Iraq. The Heritage Law (1974) is the current applicable and valid legislation in Iraq and Kurdistan Region. It has potentially paved the way for Iraq to join the World Heritage Convention which was adopted by the UNESCO General Conference at its 17<sup>th</sup> session in Paris on 16 November 1972. In March 1974, Iraq became a signatory state to the World Heritage Convention. Currently, Iraq has three properties inscribed on the World Heritage List and eleven properties on the Tentative List. Iraq was among few Asian countries which attended the conference and became one of the first countries to ratify the Convention at national level on 30 October 1977, and accordingly adopted a general policy that aims to (1) give heritage an important role in community's future and to integrated heritage in planning process, (2) undertake appropriate legal, scientific, technical, administrative and financial measures for the identification, registration, protection, conservation, presentation and rehabilitation of heritage, and (3) avoid any deliberate measures which might damage directly or indirectly the cultural and natural heritage. Importantly to mention is that this Convention and for the first time worked towards increasing the public awareness about heritage as well as, stresses the importance of contributing heritage as a resource to sustainable development processes ([UNESCO, 1972](#)).

According to Heritage Law no. 120 for the year 1974 that was legalised in the year 1977 defined cultural and natural heritage. Two years after ratifying the Convention (in 1977), Iraq founded the General Institute of Heritage and Antiquities within the Ministry of Culture and Arts, which included many departments such as Archaeological Maintenance Department; Investigations and Excavations Department; Training Department; Central Scientific Documentation Department; and Iraq Museum Department.

Nevertheless, in 1996 Iraqi Council of Ministers in Baghdad established the Board of Tourism which embraced the General Directorate of Antiquities and Tradition as a responsible body for heritage conservation and management.

### ***Iraqi State Board of Antiquities and Heritage Law no.45 (2000)***

In response to the political and socio-economic situation in Iraq that threatens the rich heritage of Iraq, the Council of Ministers in 2000 founded the Iraqi SBAH allocated within the Ministry of Culture and Information. The board took the initiative to identify and address priorities for the conservation and management of heritage in Iraq and developed long-term strategies. Thereafter, many laws have been issued by the Iraqi government such as Antiquities and Traditions Law (2001) and (2002), until 2009 when Iraq joined the UNESCO convention of conservation of intangible cultural heritage. However, it was until 2004, when the UNESCO office in Iraq was established but in Amman, Jordan due to security reasons (UNESCO-Iraq Office, 2011). Iraq is committed to the articles of this Convention and recognises its duty of ensuring *identification, protection, conservation, presentation* and the *transmission* of the heritage (cultural and natural) to future generations.

In 2002, the Iraqi government issued Law no.55 "The Antiquities and Heritage of Iraq". The law calls for: (1) addressing antiquity and tradition as a national wealth, and it needs to be demonstrated to Iraqi people and international community, and signify its contribution to the human civilization, (2) Locating the antiquity, tradition buildings and historical sites and undertaking archaeological excavations by latest scientific and technical methods, as well as their restoration to prevent any deterioration in their structures, and (3) Promoting studies, research, conferences and symposiums, which would contribute to the presentation of the Iraq's antiquity and Tradition, and formulating national surveying teams. Article 4 of the Law identifies the SBAH, as the Participating Authority "to run and restore the Traditional buildings."

The Iraqi Heritage Law no. 55 of 2002 is the most recent law about cultural heritage in Iraq. This law is based on the national inventory known as ***Atlas of Archaeological Sites in Iraq*** which has been published in 1970 by the Directorate of Antiquities at Ministry of Culture and Information of the Republic of Iraq. This law considers every building or deposits of more than 200 years old, as an archaeological site, whereas any other site with less than 200 years old is considered as a traditional one. Also, the historical sites are considered within this law as heritage sites. This law deals with both the archaeological and traditional sites based on the same articles. These articles provide important guidelines for the integration of heritage within the land use and physical plans; it asks to conduct surveys, documentation and registration for the archaeological sites and historical urban areas (centres or quarters), along with identifying their buffer zones (not less than 1 km) and securing the accessibility to those sites. Also, these articles emphasises on the integrity of physical and functional aspects of the sites and the buffer zone. In terms of ownership, the law calls for the acquisition when it comes to archaeological sites, whereas for the traditional buildings, the owners are entitled to use these buildings under the condition to preserve the proposed functions of the building by the conservation plan; with continuous monitoring of these sites to guarantee the visual and functional integrity. In return, the government exempts the owner from the related taxes. This law, furthermore calls that the conservation plan should be based on the preservation of the significance (architectural, social/religious, historic, scientific and aesthetic values) of the site. Also this law asks all the related governmental agencies to cooperate and coordinate in all steps of the conservation process (For more elaboration, see Box 7-1).

**Box 7-1: Antiquity and Tradition Law Iraq no. 55, 2002**

**Article 5:**

1.
  - The Antiquity Authority shall be entitled to hold its own registrations,
  - To register the Archaeological Monuments (Buildings and Sites),
  - Besides inserting the data, documents and the attachment rights related to the neighbouring real estate
  - Publishing it in the official Gazette to secure permanent protection and restoration.
2. If a monument has already been registered, while the attachment rights of the neighboring real estate were not determined, this shall be done in accordance with the law.
3. The attachment rights should
  - Determined for a prohibited zone (no man's land) around the archaeological areas
  - Securing roads and pathways to reach them.
4. In coordination with the Antiquity Authority and the Participation Authority.
  - The Stylistic Character of the modern buildings adjacent to the Archaeological sites should be determined,
  - The new or renewed buildings, their heights, frontispiece and colours
  - All those to keep them in harmonious to the neighbouring antiquity buildings,

**Article 8:** In coordination with the State Directorates, the Antiquity Authority is obliged to,

- Prepare a comprehensive survey for the whole Archaic and Heritage sites in Iraq,
- Documenting them on the maps, the survey documents shall be provided with standard scales,
- Inserting them within the basic designation of which as well as referring to their usages whether they were merely lands or Antiquity buildings.
- The Real Estate Registration Office, Municipality of Baghdad or any other Municipalities concerned, shall be notified.

**Article 9:**

1. In case of confiscating, allocating or clearing a real estate within the limits of the basic designation of a city or out of it:
  - The state directorates and the (Socialist Sector) shall be committed to avoid constituting or using the Antiquity (Sites, Buildings);
  - It is necessary to determine their prohibited zone in coordinating with the Antiquity Authority.
2. After possessing the written permission from the Antiquity Authority,
  - The concerned authorities shall be committed to rent or sell (Farming Lands) those possess antiquities in or under their soil, after being reformed.
  - The concerned authorities shall be committed to
    - Conserve the Antiquity, Heritage and Historical Sites when the mentioned authorities are about to making state industrial, agricultural or residential projects
    - In city and the village planning project
    - Beautification, expansion, irrigation canals and the road paving projects.
  - The written permission from the Antiquity Authority shall be acquired before or at changing the plans of these projects.
3. The building license, shall not be granted in,
  - The antiquity locations
  - The adjacent(buffer zone) to which with about one kilometre
  - The except for the cases when a permission is to be granted by the Antiquity Authority within a time not exceeding 30 days from the date of handing in a license application .
4. The Antiquity Authority is entitled to coordinate with Amanat Baghdad or any other concerned municipality for Granting a license that concerns an erected monument inside the limits of Baghdad or the Governorates (Provinces).

**Article 10:** Mosques, Masjids, Holy Shrines, Monasteries, Convents, Tombs, Takaya, Churches, Inns and other ancient buildings , owned or constituted in Waqf, in the occupation of persons de facto or de jure whether they own or run such buildings,

- To be used for the purpose for which they have been built,
- Taking into consideration development and expansion works in accordance with the contemporary demands.

**Article 23: The Traditional building Property:**

1. The Antiquity Authority shall be committed to document the traditional buildings
2. and areas, in the purpose of, accomplishing its scientific
3. The participant authority shall make a registration which includes information of the traditional buildings and the residential quarters , those possess specific traditional or historical importance or for their architectural or Islamic heritage significance..
4. The participant authority shall
  - Declare that the buildings, areas and the residential Quarters those were prescribed in item 2 of this article are: a preservation zone
  - It shall be committed to prepare maps and issuing decisions to protect it, for being an architectural heritage
  - Determining how it shall be used and its prohibited zones and the attachment rights imposed on the neighbouring estates, within 90 days from the date of declaration in the official Gazette.
5. The Antiquity Authority shall
  - Notify the concerned real estate registration office to mark it with non – disposal sign on the documented historic buildings
  - Issuing decision of protection or not, within 90 days from the date of fixing the sign.

**Article 24:**

- The participant authority shall be entitled to possess the traditional buildings, according to the rules prescribed in the ownership Law.
- In case of a hazardous situation, which may threat the lives and the historic buildings, the participant authority, in accordance with the rules it issues, shall evacuate persons and property from the historical and traditional buildings and its prohibited zones.

**Article 27:** The owner of the historic building which is covered with conservation and documentation, shall possess the following privileges:

- Possessing a donation or prepayment, which shall be paid by participant authority in accordance with certain rules, for the purposes of the preservation of the historic building.
- Discharge from the real estate taxation.
- Renting the historic building, except from the rules of the rent Law No. 87 of the year 1979.

**Article 28:** It is not allowed:

- Contravene on the buildings or traditional quarters(historic urban area) those were declared in the official Gazette,
  - tearing them down or rendering the professions practiced in the shops, markets and the heritage streets
  - cancellation of their major functions that granted them the character.
- Cancellation the character HERITAGE of an erected heritage structure, upon the property of the others, by evacuation, and in the case of disagreement between the owner and the hiring individuals, and in the aim of preserving the structure as well as preventing its demolition, the state board of taxation shall evaluate the rental.
- No person shall, without a permission granted by the Antiquity Authority and a license from the participant authority that shall secure homogeneity with the architectural specifications and the general standards of the conservation area, the documented and preserved buildings; pull down, reconstruct or change the use of such building in a wrong manner. The permission license shall be decided within 30 days from the date of presenting the application.

**Source: UNESCO Database of National Cultural Heritage Laws, 2011**

In the other hand, Law no.8 2008 for Environmental Protection and Improvement has not clearly considered natural aspects as heritage sites, despite the fact that these laws make it clear that the natural aspects should be protected from any changes that might adversely affect them. The related laws call to protect the natural beauty, encompass the construction of gardens, and the natural areas that include the cultural extensions.



In addition, this law emphasise on the importance of the coordination and the cooperation among all related government and external agencies (See Box 7-2).

**Box 7-2: Law no. 8 of Environmental Protection and Improvement in Iraqi Kurdistan Region 2008**

**Article 32:** The Ministry in coordination with related agencies and related external agencies must

- Encompass the construction of gardens,
- Natural protectorates,
- General parks,
- Maintain natural sites which have an extensive heritage.

**Article 33:** It is prohibited for any person or agency performing of any work, behavior or activity leads to impair or affect

- The natural, beautiful,
- The cultural extensions of the natural protectorates or general gardens, or parks.

**Source: Board of Environmental Protection and Improvement, 2012**

### 7.2.3. Planning Hierarchy in Kurdistan Region

Kurdistan has a hierarchy of different planning levels (See Box 7-3). The highest level is the national level. The National or State Development Plan set-out the fundamental framework for the whole country. The Regional Development Strategy, discussed in Section 2.4. and The Province Strategic plan guide the region and the province development plans. These plans are developed through involving all relevant line ministries, academics, representatives of the unions concerned, and experts from international organisations such as RTI and the United Nations Assistance Program for Iraq (For more elaborations, see the National Development Plan of Iraq 2010-2014). The next lower (or more detailed) level is the Master plan. The Master plan controls the development of a municipality, not only the physical extension, but also an improvement of existing structures, based on planning recommendations. While, the lowest level is the detail zoning and design plan. It describes exactly the use, size and kind of buildings which are allowed on the various plots.

**Box 7-3: Examples of plan categories in Kurdistan Region**

- Kurdistan Regional Government Regional Development Plan
- Governments (Province) Strategic Plan for Development and Improvement
- Cities Master plan
- Tourism Master plan
- Archaeology Master plan
- Erbil Citadel Revitalisation Master plan
- Other plans: Sub Districts Master plan, Master plan for Transportation and, and Master plan for Water Resource, Solid Waste Management Master plan.

It is important to note that the development of all master plans is the duty of Ministry of Municipality and Tourism, based on the hierarchy shown in Table (7-1).

<b>Table 7-1: The hierarchy of master-planning in Kurdistan (as per 2012)</b>	
<b>Federal Level</b>	Ministry of Municipalities and Tourism
<b>Province Level</b>	General Directorate of Constructive Planning
<b>Local Level</b>	Directorate of Municipality (for plans implementation)
Source: Own Constructed based on Law of Municipalities, 1996	

In Kurdistan Region, the process of preparing urban master plan has four stages:

Stage 1: the development of up-to-date maps, including: population, socio-economic, and environmental profiles for the cities, by involving all the related agencies, often with the assistance of international expertise. This task is done at the local level by the General Directorate of Planning, and then the proposal is discussed at the federal level with the Ministry of Municipalities and Tourism.

Stage 2: after discussion, the Ministry of Municipalities and Tourism recommend based on the Municipalities Law to announce the proposed plan, and send it back to the local level to the General Directorate of Planning, which forward it to the Directorate of Municipality, in order to announce it for a period of 2 months, and to include the people input in written, as well.

Stage 3: the plan is addressed by a group of experts interactively based on the people input at both the federal and local levels, and then the plan is prepared to be finally published and approved.

Stage 4: the plan is sent to the Directorate of Municipality for implementation at the local level (See Figure 7-2).

The above-mentioned stages are only considered for municipalities ranked as “special”, “excellent”, and “first”. This ranking is based on the population size in the cities. For other ranking of municipalities, the province level (General Directorate of Municipalities) is introduced as an intermediate player between the federal and local levels.

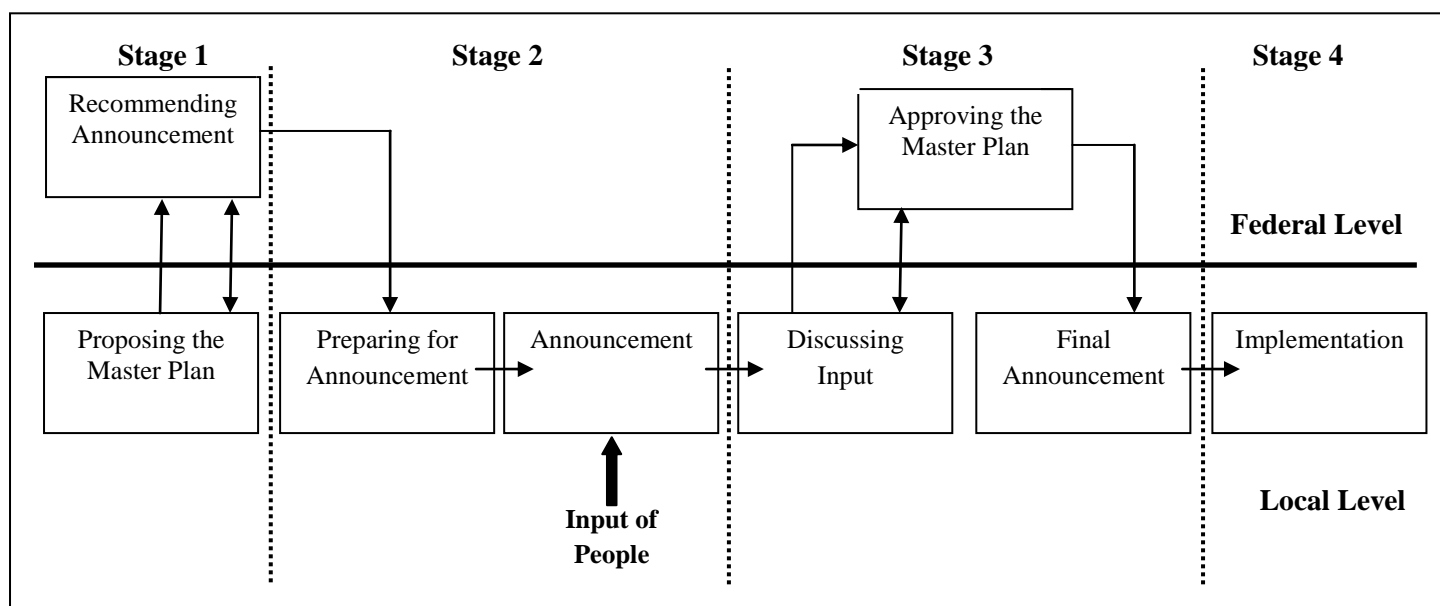


Figure 7-2: Stages of master plan preparation  
Source: Own constructed, 2012

Sulaimaniyah (Province) Strategic Plan (2008-2012) has been prepared by the Planning Committee of Sulaimaniyah Provincial Council. The plan aims at improving government institutions and promoting good governance. To achieve their objectives, the council encouraged coordination and communication among governments and administrations, as well as building capacity, allocating resources, and evaluation of outcome and revision and monitoring. The plan addresses the role of real partnership among the key role players and stakeholders to effectively manage their resources and addressing their development needs. For urban heritage, the plan proposed expropriation and refurbishing archaeological houses in and around the Sulaimaniyah city. The plan also outlined the main obstacles in urban heritage conservation and management as lack of any arrangement in the regional budget for the Directorate of Archaeology, as well as lack of laws and rules concerning the archaeological houses, and shortage of experts and skilled people.

Nevertheless, Erbil (Province) Strategic Plan (2008-2012) addresses the prerequisites of transitioning towards local governance and decentralisation. The plan thrives to promote enhancing integrated development of the planning process with the government at the province level with the cooperation of the government and municipal councils and the need for effective combination among the local and the national government. For urban heritage, the plan proposed conducting a comprehensive survey of the archaeological sites and natural locations in Kurdistan and encouraged international and domestic investments in tourism.

Finally, Duhok (Province) Strategic Plan (2009-2013) identifies transparency, commitment, accountability, and preserving identity within their objective. For urban heritage, the plan proposed operationalising conservation processes of archaeological sites through encouraging tourism and cultural activities.

Initially, during 2005-2008 master-plans have been prepared for large cities such as Sulaimaniyah, Duhok, and Erbil. Thereafter, master-plans for large districts such as Akre, Amedy, Zakho, and Soran, amongst others have been launched. Currently, preparations to commence with plans for sub districts such as Bardarash, Rovia, Qasrok, Karachi, etc. are scheduled ([Duhok General Directorate of Municipalities, 2013](#)).

An initiative was made by the Ministry of Municipalities and Tourism to develop a tourism master plan for the three provinces in Kurdistan Region. Focus has been made on the provision of tourist services and facilities for 56 sites (18 in Erbil, 20 in Sulaimaniyah, and 18 in Duhok.). Nevertheless, private sector, including international companies is not involved in conservation activities although the ministry of municipalities and tourism has recently shown, such as agreed in 2011 that the conservation activities for monuments and single buildings shall be outsourced to international companies. Accordingly, conservation of 30 sites in Kurdistan Region has been outsourced for international companies. In addition to that, the Ministry proposed to develop an archaeology master plan in 2012.

### **7.3. Factors Affecting Urban Heritage Conservation in Kurdistan Region**

#### **7.3.1. Demographic Changes and Urbanisation Trends**

The [UN Agenda 21, 1992](#) stressed on understanding the relationships between demographic dynamics and resource management, and incorporating demographic concerns in the sustainable development. Towards achieving [Agenda 21, the UN HABITAT in 2002](#), denoted that the demographic growth of urban centres should take place within an environmental, social and political framework conducive to the more equitable distribution of resources, both within the present generation and between present and future generations.

UN-HABITAT (2002 p. ) brought forward the issue that "without sustainable urbanisation<sup>18</sup>, sustainable development cannot be achieved."

The Iraqi population has increased constantly over the last half century, from about 8 million people in 1965 to 12 million people in 1977, to 16 million people in 1987, to 22 million people in 1997, to 26 million people in 2003 to 30.5 million people in 2008, with an estimated population growth rate of 3.1% during the period of 1970 and 1980. The population growth rate has remained high, and is expected to remain at 3% because of increased birth rates and decreased death rates, which mean that the population is expected to reach 35 million by the year 2014, despite the ravages resulted from wars and the fact that to present one-fifth of Iraq's population has emigrated outside the country (MoP-Iraq, 2010).

The recent estimations by the Iraq Central Organisation of Statistics at the end of 2011, count the total population of Iraq to be 33.330.000. It comprises different ethnic groups, the majority is Arab (75%-80%); the remaining includes Kurd (20%), Assyrian, Yezidy, Turkoman and others (5%) (Conservapedia, 2013). Based on these estimations, Kurds are estimated to be about 6.700.000. The KRSO (2013) estimates the annual growth population rate by governorate to be 3.2% in Erbil, 3.1% in Sulaimaniyah and 2.6% in Duhok, with an overall annual growth rate of 3% (Figure 7-3; Table 7-2).

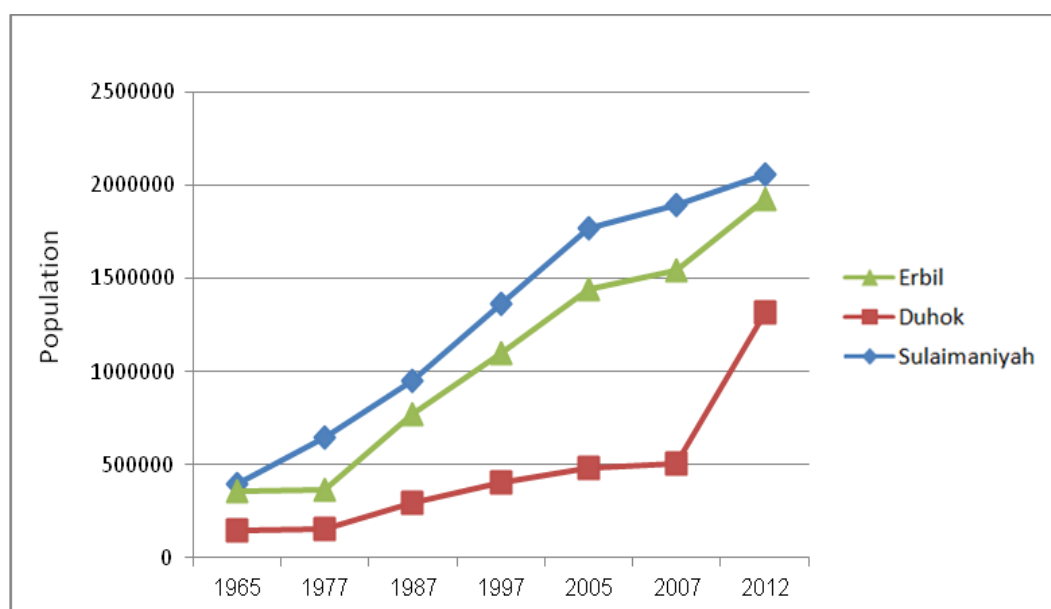


Figure 7-3: Population development in Kurdistan Region  
Source: KRSO, 2013b

Governorate	Male	Female
Erbil	50.45	49.54
Duhok	51	49
Sulaimaniyah	49.43	50.46
Average	50.3	49.7

Source: KRSO, 2011

<sup>18</sup> Sustainable urbanisation is a dynamic, multi-dimensional process, it embraces relationships between all human settlements, from small towns to metropolises, as well as between urban centres and their surrounding rural areas, most crucially, it includes not only environmental but also social, economic and political-institutional sustainability".

The demographic configuration of Iraq has changed significantly as a result of Iraq-Iran war from 1980 to 1988, gulf war in 1990 and Iraqi freedom operation in 2003. Consequently, the patterns of urban settlements have been influenced greatly by the economic growth, security status, and improvements in the educational and health system and the access to public facilities and governmental institutes. This is reflected by continuous shifting of population from rural toward cities. Tellingly, as a result of consequent wars data shows that between 1950 and 1995 the urban population doubled from 35.1% to around 70%, based on an annual population increase of 3.1%. Many parts of Iraq, in particular Kurdistan, have faced a rapid pace in the shifting of people from rural to urban areas as a consequence of the Iraqi government's policies of the 1980s that lead to the demolishing of 2,000 villages. Today more than 80% of the population of the Kurdistan Region lives in small and major cities (See Table 7-3).

Governorate	Population %		
	Governorate's centre	Districts and sub districts	Rural areas
Erbil	50.9	30.7	18.4
Duhok	25.9	46.5	27.6
Sulaimaniyah	33.4	45.4	21.2
Average	36.7	40.9	22.4

Source: KRSO, 2011

Iraq also faces a series of population displacements. By 2001, at least 600,000 people were internally displaced mainly because of the previous Iraqi regime policies since the 1970s. According to UNDP survey, 66% of people who are living in Duhok province have been forced to change their residence due to war at any point in their lives, while the figures in Sulaimaniyah and Erbil are 31% and 7% respectively (Ibp Usa, International Business Publications, 2009). This caused many challenges that should be dealt with, especially the housing shortages. However, United Nations World Food Programme (2008 p. 27) estimates that “between February 2006 and March 2008, an estimated 1.5 million people were displaced inside Iraq,<sup>19</sup> including Kurdistan Region, changing in the place are mostly due to the security, ethnic conflict”. In the consequence of demographic change and urbanisation, problems of social, physical and environmental destabilisation have become typical for many inner-city residential areas, especially in old city centres, thus increasing the pressure on the cultural and natural heritage in Kurdistan Region, at large. Therefore, their traditional functions - as built cultural heritage on the one hand and crucial material and symbolic link between city centre and periphery - are threatened. Additionally, throughout Iraq, cities have encroached onto agricultural land where the urban suburbs have grown faster than the cities themselves and spontaneous or squatter settlements tend to grow in the poorest parts of urban areas where local governments are short of the resources needed to provide basic services such as road networks, health care, sanitation and wastewater treatment plants (UN-HABITAT, 2004). These changes will further increase the social and spatial polarisation processes and affects the land use policy. For instance in Erbil Governorate it is estimated that approximately 57.5 km<sup>2</sup> of land have been converted from agriculture land for built up purposes between 2006 and 2010 (Ministry of Agriculture and Water Resources-KRG, 2007).

<sup>19</sup> Which means that around 3.5% of the population in Iraq are currently displaced and changed their place of residence. The prevalence of movement varies by district and governorate, with the areas most affected by conflict (Baghdad) having the highest percentage of movement. Around 8 percent of household members in Baghdad reported changing their place of residence followed by around 5 percent in Kurdistan Region. Reasons of changing the place of residence vary among governorate with the highest reported reason being security (48%) followed by ethnic conflict (30%). Political conflict was negligent with less than 1 percent of household members reporting it as a reason of movement”.

While, in Duhok Governorate 48.5 km<sup>2</sup> between 1991 and 2011 also has been converted (Duhok General Directorate of Agriculture, 2013). Meanwhile, the phenomenon of informal houses has risen particularly during 1990s. For instance, there are 4,573 informal houses in Duhok Governorate (2,937 in Duhok city and 1,646 in districts and sub districts), in Erbil city there are 7,351 buildings and 4,880 in districts and sub districts. As a result, it is now the norm to find residential zones next to industrial sites, with all the potential risks this implies for human health and safety (UN-HABITAT, 2004). Not surprisingly, according to these trends, Iraqi Kurdistan faces many urban, environment and socio-economic problems in concurrent to the rapid urbanisation and population growth, which places more challenges on resources such as urban heritage.

### 7.3.2. Governmental Reconstruction Initiatives

The Iraq Reconstruction Plan (2004) highlights the following operational objectives: (a) Achieving sustainable forms of housing and urban development, based on a vision of government playing an enabling role for the private sector, local authorities and civil society; (b) Revitalising Iraqi institutions, based on equitable participatory decision-making processes; and (c) Reducing urban poverty. These objectives are to be achieved through the promotion of revised policies for:

- Renewing housing delivery and upgrading
- Improving urban planning and management;
- Encouraging good local governance; and
- Addressing specific urban sub-sectors such as water supply, sanitation, solid waste management, land management and public transport (UN-HABITAT, 2004).

Most the cities in Kurdistan Region have been developed through limited land-use planning and zoning. However, this has not always prevented unplanned physical growth. Recently, a considerable number of reconstruction activities, especially those involving of housing, road, and other infrastructure, have been undertaken in Kurdistan.

Based on the population distribution, and due to the fact that most of population which were in desperate need for services have been accommodated not only in the urban suburbs but also inside the urban areas, therefore most of the reconstruction efforts have been channelled to these urban areas (including suburbs), neglecting the neighbouring rural areas. These efforts included a new vision for the regions that dealt with governorates (provinces) as administrative regions where financial resources have been allocated mainly on the basis of population distribution.

The objectives of the plan have been treated by central Iraqi government and federal government through developing many strategies such as:

- Land distribution strategy and informal settlement law;
- Responsibilities devoted to local governorate to update master plan, mainly to develop new area for expansion;
- Encouraging people participation in decision making;
- Promoting public private partnership; and
- Developing investment law.

Since Kurdistan Region like in entire Iraq suffers from housing shortages (See Figure 7-4), the reconstruction efforts started addressing this particular need.

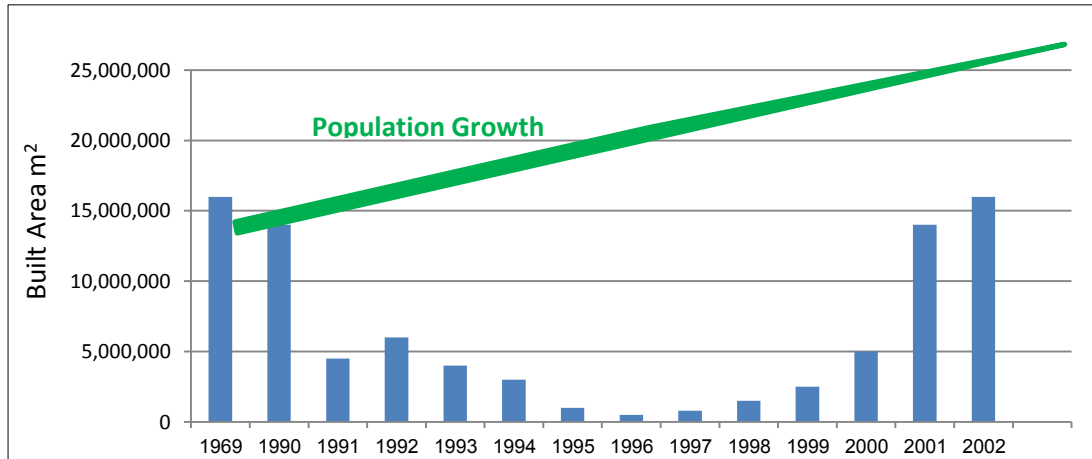


Figure 7-4: Residential built area and population growth in Iraq 1989-2002  
Source: UNDG/WB, 2008

Nevertheless, the related government policy in respect to housing have negatively affected the urban heritage in Iraq at large, since the Iraqi National Housing Policy that was adopted to solve the housing crisis in Iraq, particularly Kurdistan was based on the social preference of Iraqi families to live in single-family housing units, not in vertical housing buildings (apartments) (see UN-HABITAT, 2004; MoP-Iraq, 2010). This was represented in the government’s decision to provide plots of land and financial loans for housing purpose to the residents, keeping in mind that 79.0% of the addressed houses were privately owned in Kurdistan Region (See Figure 7-5).

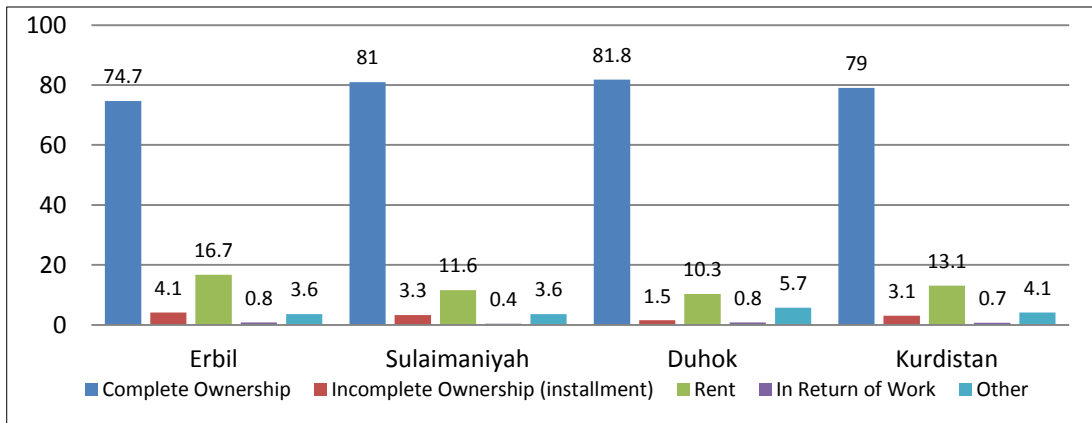


Figure 7-5: Distribution of household by type of dwelling ownership governorate level (%)  
Source: KRSO, 2012

The results of these reconstruction efforts were negative on the prime agricultural areas, since many of the housing projects were developed on agricultural areas. It is important to mention that the reconstruction efforts in Kurdistan Region have started after 1991 through the help of the related UN organisations (oil-food program) that concentrated on the housing and related infrastructural lines projects (water, sewage, roads, etc.) mainly in the rural areas unlike the reconstruction efforts that started in Iraq at large after 2003 and concentrated mainly on the housing needs in the urban areas. In 2000, when the UN related organisations started to scale down their level and scope of interventions, the KRG started to take the overriding responsibility and began to distribute the remaining of materials from the UN related projects including essential building materials to those who owned a plot of land and had building permits. Ultimately, such governmental strategies have resulted in the constructing of considerable numbers of building as shown in (See Figure 7-6).

In addition, government issued Municipalities Law no. 5, 2000 that rendered all informal houses as licensed with the condition that they should have built before the year 2000, considering the difficult situation (political, economic, social) experienced by the people in Kurdistan before 2000.

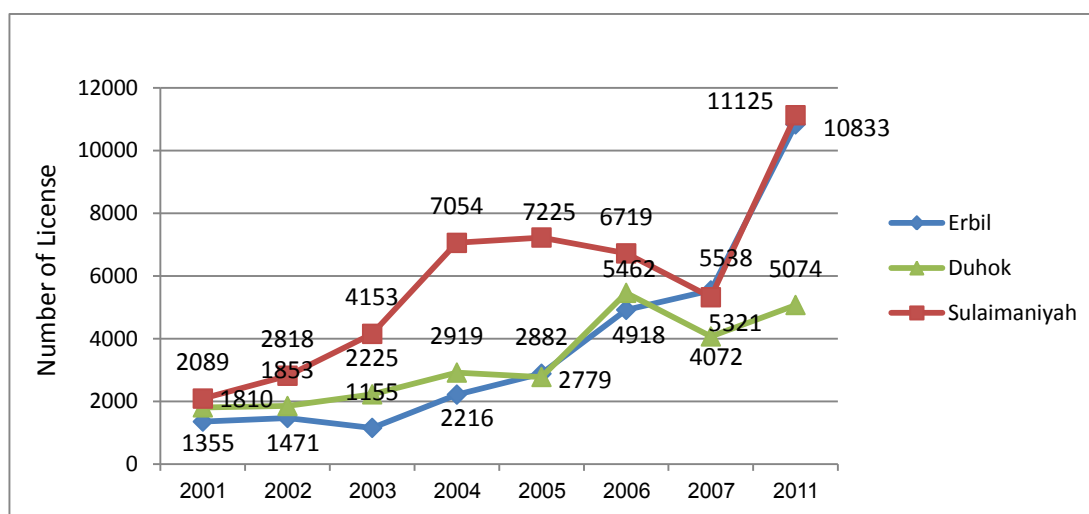


Figure 7-6: Building license in Kurdistan Region  
Source: KRSO, 2013c

Having analysed the governmental related expenditures, it is quite clear that the lion share is dedicated to the municipal services at 26.6%, followed by the related working and reconstruction efforts (including housing projects) at 13.8%. As indicated in Table (7-4), the tourism sector had little attention as only 0.8% of the expenditures were dedicated to this sector.

Sectors	Percentages
Municipal Services (water, sewage, roads, etc.)	26.6 %
Working& reconstruction	13.8 %
Electricity	8.6 %
Health	7.4 %
Education	4.0 %
Agriculture& irrigation	2.2 %
Tourism	0.8 %
Finance	0.8 %
Culture	0.7 %
Communication. & transportation	0.7 %
Social	0.7 %
Water resources	0.6 %
Industry	0.1 %

Source: Department of Statistics/Sulaimaniyah. Adapted from Mohammed, 2013



To this end, KRG through its strategies to cope with the housing shortage became a stimulant to generate the phenomena of urban sprawl. For this reason, urban sprawl which became an endemic problem in the growing cities of Kurdistan Region, poses a tremendous load on the government shoulder to provide infrastructures for the growing areas including tools to plan, design, build, and manage transportation, land, water, and energy infrastructure.

As the government begins to realise that the delivery of sufficient land for housing is not within its capability, it started to adopt strategies to promote shifting to vertical housing style as a means to alleviate the pressure on housing land and diversifying the size of housing plots to enable people with low-income to purchase them (MoP-KRG, 2012).

### 7.3.3. Investment and Developmental Urban Policies

The KRG started to sense the burden of meeting the multi-faceted needs of the people of Kurdistan by itself; therefore it adopted a public-private partnership policy. In 2006, the Government decreed the Investment Law no.4 that facilitated the ownership of land by private investors; nevertheless this excluded the ownership of land containing oil, gas or mineral resources (See Box 7-4). This has made the investors from all over world to seize the opportunities offered by the government, especially from the Gulf countries, like United Arab Emirate. Furthermore, the Government dealt with such related project income as tax exempted for ten years, with no possibility for extension.

In total, 333 all-sector licenses were awarded by Board of Investment in Kurdistan Region between August 2006 and June 2011. At the governorate level, Sulaimaniyah had 188 licenses, Erbil 92 licenses and Duhok 52 licenses, most of which were allocated to housing and tourism projects in terms of land and funds (Kurdistan Board of Investment, 2012) (See Figure 7-7). In Kurdistan Region 37 km<sup>2</sup> and 22 km<sup>2</sup> of land were dedicated for housing and tourism projects, respectively during 2006 to 2011.

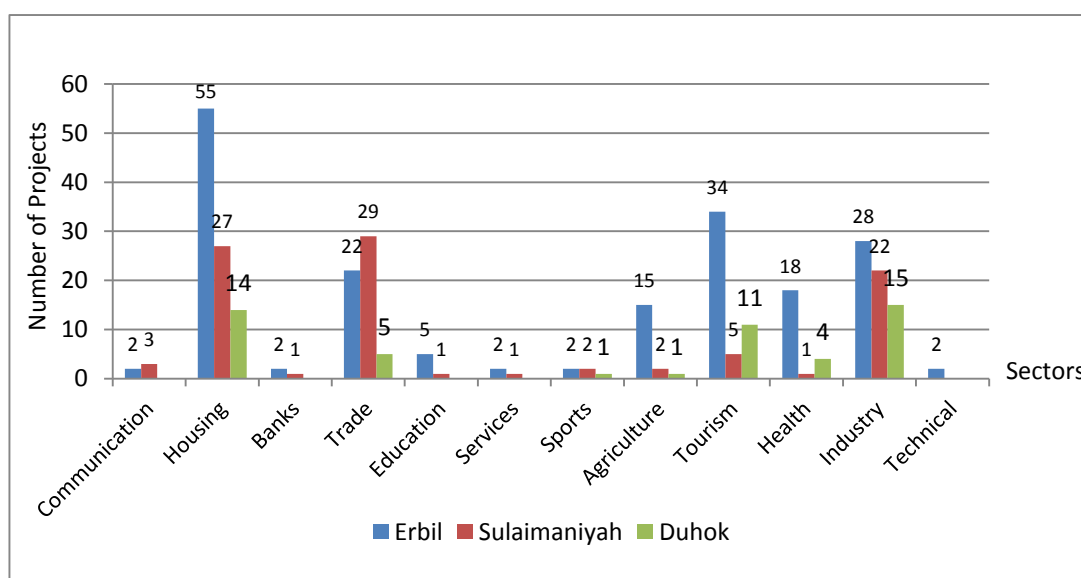


Figure 7-7: Number of license projects from August 2006 to June 2011  
Source: Kurdistan Board of Investment, 2012

Most of the related tourism projects were dedicated to provide only basic services, and failed to integrate a strategic vision for the investment and reconstruction efforts to deal with the conservation of heritage resources. For instance, the scope of the related tourism projects was restricted to hotels and recreational facilities.

As such, there still remains a huge criticism to the current plans for urban development and the designated reconstruction plans, which increase the burden on the urban heritage. More specifically, the implementation of Environmental Impact Assessment studies and other related sustainable development concepts have been touted recently after the oil related projects, but unfortunately these studies have not been taken seriously in the conservation of heritage resources.

**Box 7-4: Investment Law of Iraqi Kurdistan Region (Law no. 4, 2006)**

**Article (5):**

- The project shall be exempted of all non-customs taxes and duties for a period of 10 years as of the date on which the project begins offering its services or as of the day of actual production.
- The vehicles, machinery, equipment and imported machines for the project shall be exempted of taxes and duties and the condition to obtain import license, if they are used exclusively for the purposes of the project.
- The raw materials needed for production shall be exempted of customs duties for a period of five years, while giving priority to use of locally available raw materials that are suitable for the investment project in quantity and quality.

**Source: Kurdistan Board of Investment, 2012**

#### **7.4. Current Condition of the Cultural Heritage and Natural Aspects in the Urban Area in Kurdistan Region**

Abush (2004) argues that the Kurdish cities have evolved as residential communities of farmers that lack basic defence measures, such as: fences and gates. Afterwards, these communities developed into urban hubs which are rich with significant heritage assets. This transition has been the result of many factors such as political, social, economic and environmental factors. The inner structure of Kurdish cities is primarily based on political, cultural, religious, and economic functions (Abush, 2004). They are surrounded by large defensive walls protecting the old circular core like Erbil in Iraq. Till now many of the Kurdish cities, towns, urban quarters have kept their names as in early history such as Duhok, Malta, Kashe, Amedy and Akre.

Due to the many governmental agencies operating in Kurdistan Region in conservation and management of heritage, as well as due to the complexity of the subject matter and due the need to balance the conservation with the development policies, and because of the evidences gathered and observations made in the plans whether at regional, governorate or master plan level, one could see in general that the urban heritage in the Kurdish cities is in a desire need for upgrade and development, despite the wealth and richness of these cities with heritage sites.

For instance, Sulaimaniyah city has been founded in 1784 by the Kurdish prince Ibrahim Pasha Baban. During the Second World War it was the centre for Kurdish nationalism (Ham, 2009). Sulaimaniyah shares the border with Iran, with which it has a strong economic ties. The Governorate of Sulaimaniyah is composed of 16 districts. It has a population of 1,893,619 capita. Sulaimaniyah is a place of natural beauty, located at 883 m above mean sea level on a rolling plain at the foothills of the Zagros Mountains (ibid.). Since its foundation, Sulaimaniyah has been well known for its cultural activities. The city is known for its museum that is the second largest museum after the national museum in Baghdad, parks, and Grand Bazaar which is the largest traditional market in Kurdistan. In 2012, the KRG announced the city as the regional capital for culture.

One of the natural sites in Sulaimaniyah is Qaladiza, which is about 130 km west of Sulaimaniyah city, near the Iran borders. The topography of the land is mountainous. Qaladiza is a rich of its natural landscape, agriculture area. This district has witnessed many crises in the past twenty years, especially the Anfal campaign.

Sulaimaniyah's 2006 master-plan represents the result of a three year work. The master-plan is based on a very intensive inventory of the existing situation and many surveys. The 2006 Master-plan is the first update of 1958 plan which was the basis for all development planning. Mixed use of urban land has been adopted in the 2006 Master-plan based on the strong culture of walled cities in Kurdistan that has a mixed uses of residential, commerce and trade, employment, green open spaces and different forms of entertainment.

As a result, mixed land use has been preferred when two or more uses like retail, office, residential, hotel, entertainment, culture or recreation are located next to each other, and where a significant physical and functional integration of these components are exhibited and thus a relatively intensive use of land, including pedestrian connections. The master plan advocates that historical buildings should be protected as the origins of Kurdish culture, but no details about the methodologies of how to preserve it and integrate it with the new plans, or about the exact border of conservation area and its buffer zone have been identified. This area also includes the bazaar, which should be preserved in its character. To preserve the historic centre, the plan recommended that administrative and service units have to be relocated, from the centre of the city where they attract much traffic and contribute to the problems of the historic city centre (See Figure 7-8), to newly designed areas. Not only singular buildings should be preserved but also neighbourhoods with historical significance which have a touristic attraction. In addition, despite that the strategic plan at the province level and the master-plan at the local level have both recommended that the urban heritage should be conserved, unfortunately the year 2012 has witnessed the collapse of many of historic buildings due to neglect and natural and climatic incidents. Until 2012, Sulaimaniyah Governorate has expropriated only 16 out of the 160 historic houses as a part of its Strategic Plan (NRT Sulamaniyah Report, 2012). This low number is due to the fact that the government only use expropriation or acquisition as the only strategy for heritage conservation.



Figure 7-8: Decay in historic buildings in historic centre of Sulaimaniyah  
Source: NRT Sulaimaniyah Report, 2012

As per Erbil city, which is known in Kurdish as “Hawler”, it has been mentioned in the historic writings around the year 3000 B.C. (Erbil Governorate, 2013). The first written record of Erbil dates back to 2000 B.C. when it was called Arbilum. The city was consecutively invaded by Akkadians (called it: Urbil), Sumerians (Urbiliom), Assyrians (Arballo), Persians (Arballo) and Greeks (Arbella, Arbilis) (Ham, 2009). Erbil is known for its citadel which is one of the oldest urban inhabited entities, which was added to UNESCO Tentative List in 2010 as a cultural site meeting the Criteria (i)(ii)(iii)(iv)(v) of World Heritage Convention. Beside the citadel there are other archaeological sites such as: the Minaret, Dwen castle, Mount Qalnj Aqha, Shanidar cave, the fortress of Banaman, the old Bazar, and the Citadel Mosque and bath.

Erbil (province) landscape is dominated by mountains particularly in the north east of the governorate. It borders Turkey to the north and Iran to the east. Currently, Erbil covers a total area of around 3,234 km<sup>2</sup> and has a total population of 1,392,093 capita. One of the breath taking natural sites within Erbil Governorate is Rawanduz city. It is located south of Erbil city about 117 km. The city is close to the Iranian borders. About 60% of the Rawanduz district is mountains, 20% valleys and the remaining 20% is composed of hills. Rawanduz was once a capital of Orato (705-722 B.C.). It is well known for its historic houses and beautiful natural sites.

In 2005 the Ministry of Municipalities commissioned a German company to develop Erbil's Master plan. This master-plan did not take into consideration the historic urban areas (3 quarters) around the Castle, which was identified in the master-plan as a historic site (See Figure 7-9). One of these 3 quarters is the Tajan (Jewish) quarter that was used majorly to build the Sheraton Hotel. After, listing the Castle in the tentative List of UNESCO in 2010, the master-plan was revisited and accordingly the three quarters located at the buffer zone of the Castle were taken into consideration. This does not reflect a general planning practice to conserve all the heritage sites in Kurdistan; rather it has been dealt with as a special case because it was pinpointed on the World Heritage Tentative List.

The final master-plan was approved in 2006 by the Department of Research and Studies in the Directorate of Constructive Planning, which belongs to the Ministry of Municipalities. The study area was divided into five distinct Zones, with the main roads forming the boundaries of these zones. Each Zone was divided into a number of sub-zones to facilitate the survey work.

The master-plan considered some important concepts such as (1) strong heritage preservation within the new image; (2) creating new business district centre and cultural recreational strip; (3) integrating the historic city into a modern business district; and (4) providing properly designed residential clusters.

Erbil Master-plan has considered some changes in developing the overall goals such as (1) preserving maximum urban and heritage fabric; (2) enhancing landmarks, views and entrance corridors; (3) promoting historic Erbil as tourist destination; (4) exploring new opportunities for development; and (5) supporting current residents and businesses. It is worthy to mention that other archaeological sites even within Erbil city lack proper access and this prevents many tourists from visiting these sites. In the same token, many heritage sites such as the historic centre in Koye which are rich with significant Islamic architectural styles still suffer from many challenges, especially demolitions or replacement with new architectural styles.

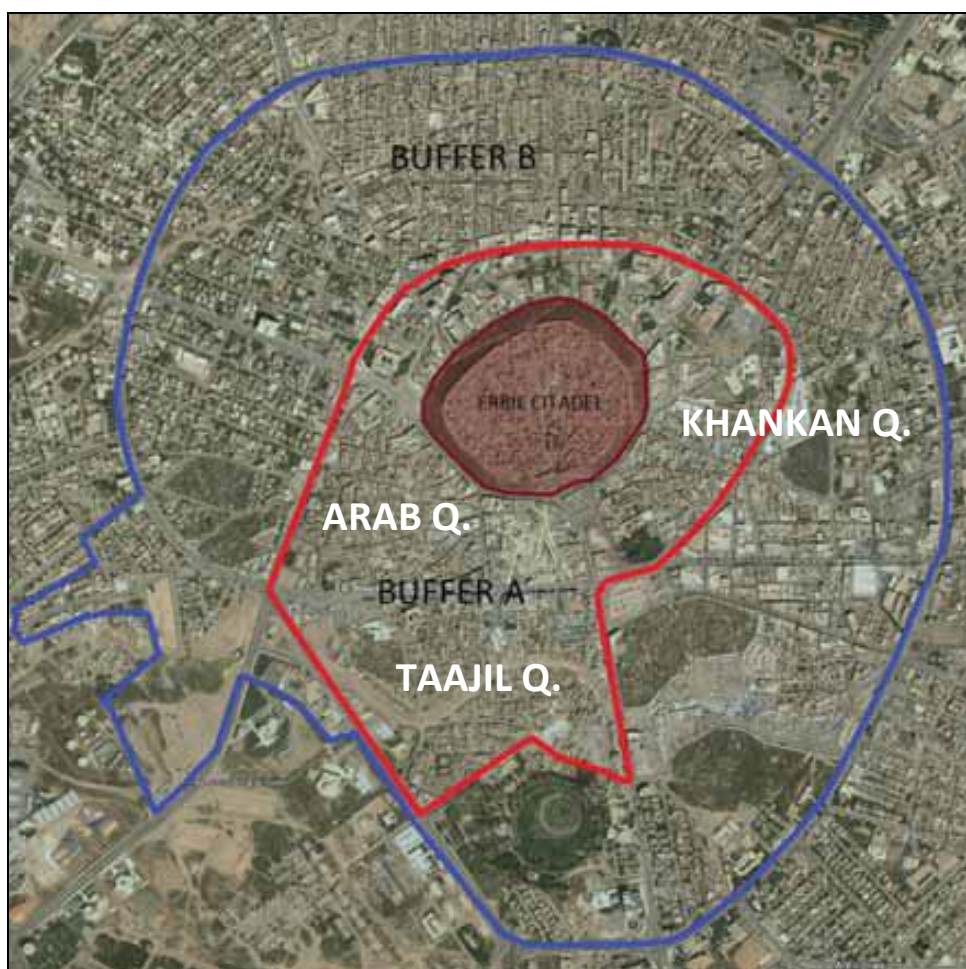


Figure 7-9: Proposed buffer zones of Erbil Citadel site  
 Source: High Commission For Erbil Citadel Revitalisation, 2012

As per, the smallest governorate of Kurdistan Region, Duhok it lies in the northwest of Iraq and in the western part of Kurdistan Region, about 470 km north of Baghdad and 430-450 m above mean sea level. It has five districts which covers 10,715 km<sup>2</sup>. There are two rivers passing through the city. The first one is called Duhok River, whilst the second one which is smaller and a seasonal one is called Heshkarow River. The name “Duhok” consists of two words: (Du) means (two) and (Hok) means (lump) in Kurdish language. According to the latest excavations in the city, some archaeological evidences and manuscripts have been founded, which dates to 3000 B.C (Duhok General Directorate of Antiquities and Traditions, 2013). Nevertheless, Duhok has rich ancient identified heritage and historical ruins which dates back to 705-681 B.C. There are more than 42 archaeological sites such as Grand Mosque, Old Bazar in the city centre, Saint Ith Ilaha church, and Charstin, Shindokha and Hallamat caves. Since February 2011, in addition, Amedy Castle has been included within the tentative list of UNESCO World Heritage Site.

Duhok area joined “Bahdinan Emirate” during 14<sup>th</sup>-18<sup>th</sup> Century under the reign of Sultan Hassan Beck Bin AL- Emir Saifadeen, and remained under the Emirate control until its collapse in 1842 A.C. Afterwards, Duhok city joined Mousl Brigade during which Duhok territory was formed in 1873 A.C when Mousl Brigade was overruled by the British army after the First World War. On 27<sup>th</sup> May 1969, Duhok Governorate was formed and the city became the centre of Duhok Governorate. It is known as the touristic governorate of Kurdistan Region because of its natural Landscape, and because of the many cultural fascinating places, such as Duhok Dam, Zaweta, Sarsank, Amedy, Akre, Zakho and Sulav.

In Duhok, man-made caves are founded in Khanis (Bavian) in the vicinity of Atrush. This site contains aqueduct built by King Sanharib (son of Sargon during the Assyrian period), they are constructed to transport water by gravity to the ancient palace of Nineveh. The ruin of Jirwan is one of the oldest aqueduct systems in the world. Similar man-made caves have also been found in Deralok valley (the right Great Zab tributary) and Betas Cave in near Zakho, the upper catchment of Khabour River, Spizah Mountain (Stevanovic et al, 2009).

Duhok's 2007 master plan presents a set of goals, objectives and strategies that chart the development in the city over the next 25 years. The Master plan has been discussed with certain groups, like the university. The plan emphasises on the need for urban planning and development decisions to be made in a way that encourage resident's involvement and respects the results of public consultations. The development plan is considered to be a base for the reservation of land for various uses. Nonetheless, the plan also serves as the basis for private and government infrastructure building agencies and other local bodies to chart their future projects.

The master plan's planning approach lead to seven goals that cause many challenges for Duhok, including: (1) high quality, diversified and complete living environments, (2) structuring, efficient transportation networks fully integrated, (3) a habited centre, (4) dynamic, accessible and diversified employment areas, (5) high quality architecture and urban landscapes, (6) an enhanced built, archaeological and natural heritage, and (7) a healthy environment.

Consequently, the city's actions will revolve around the following themes: (1) urban revitalisation, (2) the maintenance and adaptation of the building stock, (3) the development of public and private green spaces, (4) the consolidation of commercial streets, stripes and centres, and (5) the improvement of public services and facilities. In Duhok master-plan, no details about the historic centre, including its three urban quarters (Jewish, Christian, and Shele) have been referred to in details. These quarters were not identified as conservation areas, and thus most of buildings inside these quarters were replaced with new multi-storey commercial buildings, which are mostly public-privet partnership projects. Among the remaining buildings is the Mosque which has been hidden by the new high buildings for economic purposes.

Likewise, many of the distinguished historic sites, like Malta Hill became inaccessible due to the many informal houses that have been built during recent years (See Figure 7-10). Even though, the proposed master plan for the city does not consider those sites and their buffer zone for example; a new main street is proposed to go through the historic Malta hill as shown in Figure 7-11.



Figure 7-10: Informal houses around Malta Hill in Duhok city  
Source: Own photo, December 2011



Figure 7-11: Proposed main streets through Malta Hill in Duhok city  
Source: Master plan Duhok City, 2008

This is applicable also in natural areas that have been sabotaged by these informal houses, like in the case of Gali and Shindokha area (See Figure 7-12; 7-13).



Figure 7-12: Informal houses. Gali Area, Duhok City

Figure 7-13: Informal houses. Shindokha Area, Duhok City

Source: Own photos, Fieldwork, 2011

From another perspective, the tourism master plan focused mainly on the natural elements to reactivate the tourism sector in the region. While, the cultural sites were deferred to the long term plans. The tourism master-plan has focused also only on the provision of tourist services and facilities for 56 sites: 20 in Sulaimaniyah, 18 in Duhok, and 18 in Erbil. Each of these sites has been treated individually without integration into the buffer zone and without taking into consideration their values; some of these natural areas are possess the cultural extension. It is estimated that the number of tourists visiting Kurdistan would increase to 4 million by the 2015. This has forced KRG to propose many recreation areas in the three governorates, in Erbil, a touristic city is to be built on the Safin Mountain while in Sulaimaniyah the recreation area will be developed in Dokan Dam, and Duhok Dam and Zawa Mountain projects, they will be sourced out to private investors with a tender process (Kurdish Globe, 2012).

## 7.5. Conclusion

Heritage conservation and management is the duty of several ministries. The conservation of cultural heritage is mainly mandated to the General Directorate of Antiquities and Tradition in the Ministry of Municipalities and Tourism at the federal level and its agencies at the province and local levels. Nevertheless other concerned agencies should be incorporated in the efforts of cultural heritage conservation and management as codified by the pertinent laws. Within the same framework, the natural aspects are mandated to the Board of Environment at the federal level and its agencies at the province and local levels. As per the pertinent laws, it is important to mention that Iraq is a signatory to the related UNESCO's heritage conservation convention of 1972 since 1974, and therefore it incorporated all its concepts in its regulations. It is quite clear that the pertinent laws and regulations are elaborative in terms of describing the relation between the heritage sites and its surroundings in order to protect the site's significance. This includes as an example demarcating the buffer zone of the heritage sites, and its integration physically and functionally with its surroundings and insuring the accessibility of the site. Since 2000, the pertinent laws and regulations have been dealing with the archaeological and traditional sites including the historic urban area alike.

The consecutive laws and bylaws in Iraq in general concentrate on survey and documentation of heritage sites. It seems that in practice that the inventory of the year 1970 is still the only legal reference. It is to be acknowledged that for inventory capacities.

In the pertinent laws, the focuses are on the protection of the significance of heritage sites and market them as show-case models on the international arena. Nevertheless, the economic values are not specified and well taken into consideration as referred to in these laws. The underspecified economic benefit of sites is not a valid conclusion in the sequence of strategic plans in Kurdistan at the federal and province levels that took this aspect into consideration, especially since these strategic plans call for the involvement of the private sector and participation of the people in decision making.

Due to the rapid demographic changes and the anthropogenic developments due to conflict and wars, the rich heritage sites in Kurdistan have been facing many challenges. Unfortunately, even the reconstruction efforts exerted by the federal governments seem to fail in addressing the related heritage conservation of these sites as a potential. In the same token, the adopted governmental policies to address the housing shortages and build infrastructure were not efficient and exacerbated the conditions and challenges facing the heritage sites. Likewise, the developed master plans did not take into consideration in practical terms the conservation of heritage sites, and have dealt with these sites on an isolated way, and failed to integrate them with the city's future plans.

All of all, this have led to undermining the heritage resources in the cities of Kurdistan. Nevertheless, the important query here remains related to the details at the local level that led to these dismal results. The main and specific research questions will be dealt with through a detailed analysis of two case studies, namely: Akre and Amedy in Duhok Governorate.



## Chapter 8: Analysing the Current Condition and Recognition of Urban Heritage in Akre City

### 8.1. Introduction

This chapter presents the case study of Akre in terms of location, geography, spatial evolution, and analyses the potentials in terms of its cultural heritage and natural elements, along with the challenges in terms of high population growth and uncontrolled urbanisation. This part of the chapter has been concluded, as a result of literature review and document analysis including maps. Finally, the chapter discusses the institutional arrangements in terms of process, responsibilities, and the relationships among the related agencies, as resulted from thorough semi-structured interviews with experts coupled with a field observation by the researcher. This part of the chapter aims at analysing the level of integrated approach in conservation and management of cultural heritage and natural elements, along with the local perception on this regard.

### 8.2. Location of Akre: Geography and Physical Characteristics

Akre is a district in Duhok Governorate. Akre itself follows an administrative hierarchy, where it serves as a sub district to the district of Akre, along with another three sub districts, namely: Surchi (with Bejel as a centre); Gerdaseen (with Gerdaseen as a centre); and Nahla (with Dinarta as a centre). Akre district represents 16.64% from the Duhok province that has a mass area of 11,009.83 km<sup>2</sup> and it embraces 286 villages. Akre district is situated by Shireen Mountains and Zehy valley to its north, and Maqlub Mountains to its south, and sided by Khazer River from the west and Zehy River from east.

Akre city is geographically the centre of Akre district (See Figure 8-1). The city of Akre is located at a latitude of 36.7592° N and a longitude of 43.8939° E, about 80 km to the east of Duhok, 64 km to the north of Erbil, and 383 km to the north of Baghdad. The old part of the city is 745 m above mean sea level, while the new parts of Akre city is 645 m above the mean sea level. Akre district covers an area of 1704 km<sup>2</sup> (Duhok General Directorate of Agriculture, 2012).

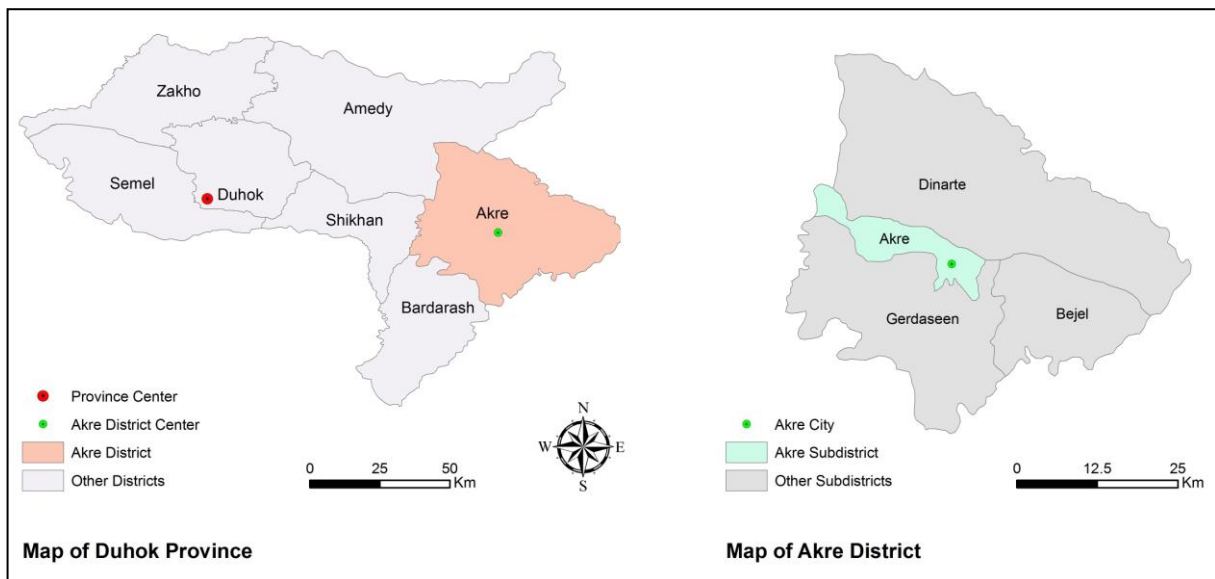


Figure 8-1: Akre in the context of Duhok Province  
Source: Own Constructed, 2013

This location of Akre city is significant as it lies in the middle of Duhok Bahdinan area (120 km) and Erbil Soran area (110 km) that stands as the two main Kurdish dialects from one side and the Arabic Mosel city (90 km) (See Figure 8-2 & Figure 8-3 ).

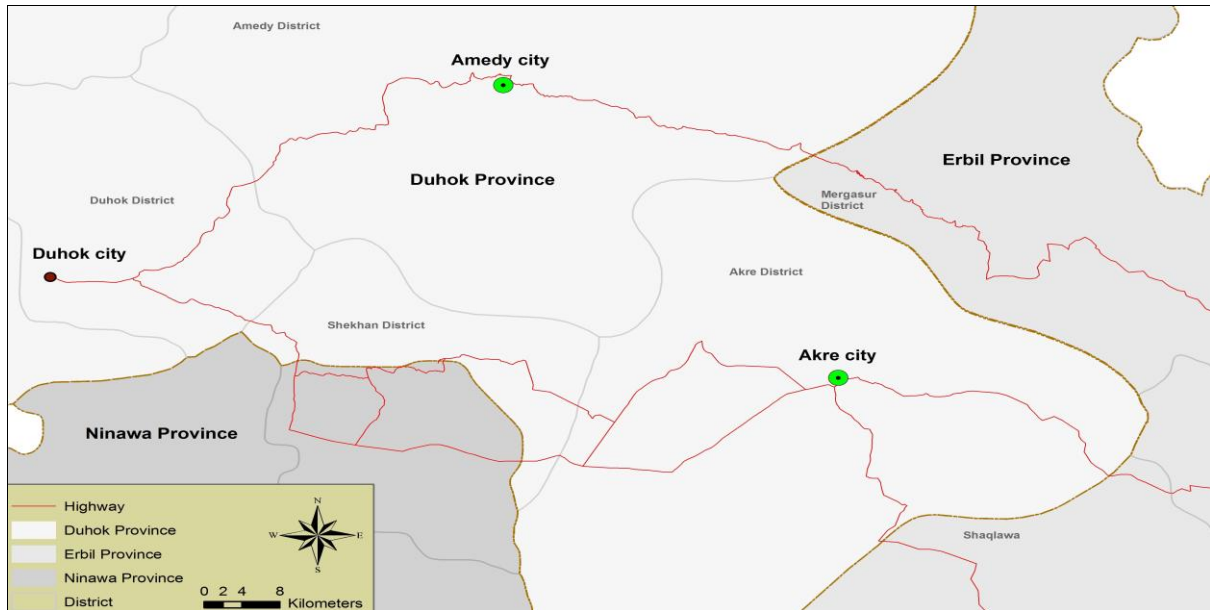


Figure 8-2: Akre in the context of Iraq  
Source: Own Constructed, 2013



Figure 8-3: Main roads in Akre  
Source: Own Constructed Based on Fieldwork, 2011 and Google Satellite Image of Akre, 2011

The city of Akre is well known as the city of four seasons, since it fully enjoys the four seasons. The climate is Mediterranean which is characterised by hot summer and rainy winter. The summer is characterised by a warm weather. The maximum temperature could reach 35 C°. While, the winter is relatively cold and the minimum temperature would reach below zero, i.e. the winter is often snowy. The effects of Mediterranean Sea and the mountainous nature of the region are considered to be the main source of rain for Akre. The average rain fall in Akre is 400 mm annually, in some high mountainous region the rain fall may reach 1200 mm annually.

The green environment of the area makes it an attraction point for national and international tourists alike. Rain is considered to be an important water resource for Akre and the whole region. They feed the rivers (mainly the Great Zab) (See Figure 8-4), and ground water which appears in the form of waterfalls, such as Sipa, and springs such as Kane Zarke, and wells on the mountains and in the plains, which are shallow. According to the Duhok Directorate of Water and Wells (2012), there are currently more than 100 wells in Akre. These water resources are of great importance for irrigation of the agricultural land.



Figure 8-4: Water catchment areas in Akre - Great Zab River  
Source: Municipality of Akre (Akre Master plan), 2011

Like most of the ancient cities in Kurdistan, Akre historic city (in Kurdish called Akra Kavın) is embraced among mountains. Along the mountains, several hills and valleys are pending downward to the plain land creating natural landscapes of significant value (See Figure 8-5). The height of Akre mountain ranges from 1200-1500 m. Hills are situated mainly in the east and south west of the city. Valleys and plains in Akre, which appeared as a result of climate and geographic erosion, are located alongside the city, which all feed in the riparian Tigris.

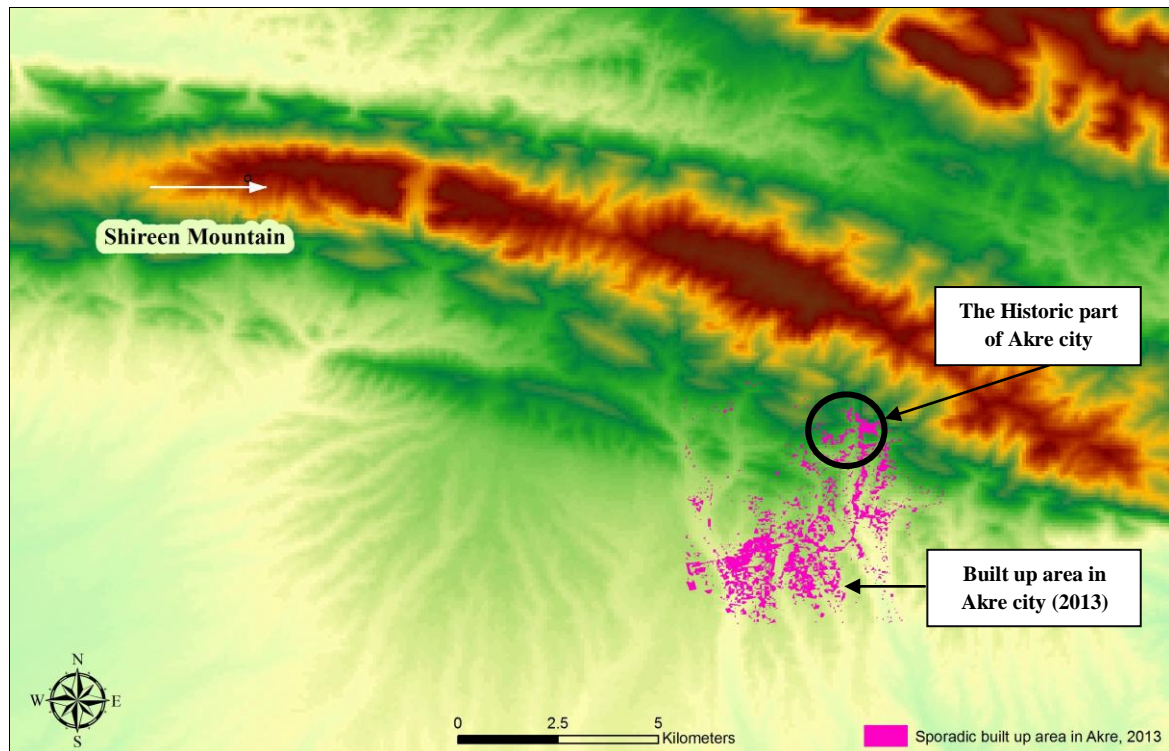


Figure 8-5: Landscape around Akre City  
Source: Own Constructed, 2013

Akre green area is mainly located on the east and west side of the city. The more north to go, the more green area on both sides to appear. The oak forests are mainly located in Sare Sada and Pires Mountains particularly in Nahla and Zebar regions. Forests are denser on hills that attract sun light and expose to rain. The trees in these forests are often used for industry, construction and heating purposes. Geologically, the land of Akre is made of different layers of rocks mainly limestone rocks cretaceous stones. Its soil is fertile and suitable for agriculture, and consists mainly from brown in the north and middle part while the soil in the south is mostly red.

### 8.3. Historical Epochs of Akre City

The history of Akre dates back to the 7<sup>th</sup> Century B.C.. Akre, over its long history, has been ruled by many empires and dynasties, including ancient Medes, Romans, Assyrians, British, and Islamic, each having its own culture and traditions which affected the urban structure of Akre remarkably. According to [William Wigram & Edgar Wigram \(1922\)](#) Akre is one of the oldest settled areas, the earliest settlers were the Medes who ruled the area in 612-550 B.C., this period was known as the "Golden Age" of Akre history, during which political, social and commercial activities of Akre city has grown. One of their well-known princes was the follower of Zoroastrian religion, Prince Zend ([Fatah, 1957](#)).

Akre is known as the city of castles; the two main castles of Akre and Shush are located at the north of the city, which have been inhabited since the early days of Akre. Additionally, many man-made caves are present in and around the city.

The name of Akre city has been known in literature under a large number of different meanings. The most notable meaning is the Kurdish name "Agir" which was named by Prince Zend and means "fire". It refers to Zoroastrian, the early inhabitants of Akre city who praised fire before Christianity ([Al-Dawoody, 1999](#)). The Arabic literature refers to Akre as "Aqrah".

The Arabic geographer Yaqot Al-Hamawi (1179-1229 AD) in his book, *The Glossary of Countries*, describes "Aqrah" as a crack or fracture between mountains referring to its topography and location. The Arabic historian Yassen Al-Omary (1820-1744 AD) in his book, *Wonders of Remnant*, simulates the city of Akre to Istanbul city in Turkey for its abundant rivers and beauty and he called it as "Little Istanbul" (Al-Omary, 1967). Akre Al-Hamidiya is another name given to Akre because of the settlement of Al-Hamidiya tribe in Akre city. Akre 'Al-Hayal' also is another name of the city. The word 'Hayal' in Arabic language means fertile land and abundance of fruits and vegetables. Nevertheless, the prevailing name to indigenous population is Akre, referring to its meaning as the city of fire.

In 115 AD, the city was taken by Roman under the command of the Emperor Trajan who knocked down the castle fence and set up a victory statue instead (Al-Saikh, 1928). Shortly thereafter, Akre people up-raised against his rule and destroyed the statue (Amin & Bak, 1936).

With the rapid expansion of Islamic empire, particularly in Egypt and Syria (638 A.D. - 1146 AD), Akre was annexed by the Islamic Empire and became a starting point to spread Islam (Shukri, 2008). In 1133, the Arab leader Imad Alddin Al-Zengi (1085-1146) who ruled Aleppo and Damascus, invaded Akre city and destroyed the defense wall of the castle. Al-Zengi appointed Essa Al-Hamidi ruler on Akre. After that Akre became part of Bahdinan Emirate (1376–1843) which was established by Baha-Addin. In 1534 Hussein Al-Wali began to rule Bahdinan Emirate. During his period, Akre has had one of the best records of culture, construction and economic developments. He rebuilt the defense wall of Akre castle and placed an alabaster stone on the gate, on which the date that the wall has been rebuilt has been engraved. The alabaster stone, which was taken by English army after the Second World War, is currently hosted in London museum. During 18<sup>th</sup> century, Akre suffered from consecutive military campaigns from the Mosul prince, Al-Zengi until the prince Muhamad Rawanduzi took control over Akre and Amedy in 1833.

Because of its strategic location, Akre was attractive to powerful rulers, including the Ottoman Turks. In 1842 the Ottoman army led by Hafiz Pasha invaded Akre city. It took him three months to take control over the entire city due to the strong resistance by Akre people. Finally, the Ottoman Empire took over Akre; that period has marked the fall of Bahdinan Emirate. Ottomans ruled Akre from 1842 to 1918.

Historically, Akre historic city was also the centre of the administrative district of Akre that was part of Mosul administrative unit that founded by the Ottoman Empire in 1877. The annual report of Mosul (1890-1912) referred also to the socio economic situations in Akre, and defined the related urban planning status in terms of built up developments. Bidlisi (1953) states that the number of families inhabited in Akre were 1,100 (Muslims and Jewish). In 1912, the Ottoman annual report states that there were 1,238 houses in Akre city. It also mentioned that administration in Akre was comprised of a Mayor, Judge, *Mufti*, Finance, and police officers, additionally the local council of the city consisted of four Muslims, one Christian, and one Jew.

William Wigram & Edgar Wigram (1922) state that in 1911, only few buildings existed in Akre (See Figure 8-6) and the mayor, finance, and administration officers were mainly Christians. One of the main administrative buildings at that time was called Qishla.

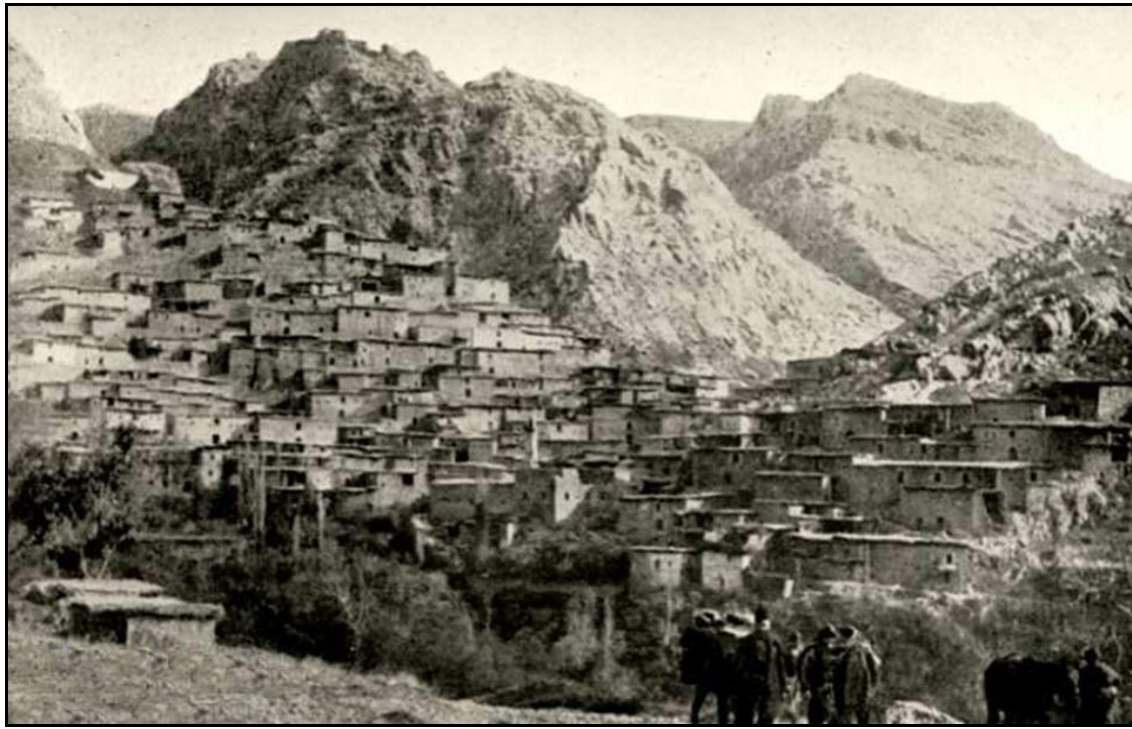


Figure 8-6: Akre Historic City in 1914

Source: William Wigram & Edgar Wigram, 1922

In 1914, when the land of Mesopotamia fell under British command, its army reached Akre city in 1919 and the mandate appointed Captain Scott as the ruler of Akre. As a result, Akre, particularly Zebar area, was one of the cities which stood against British command (Zebari, 2012). Following World War I (1914-1918), the British mandate formed the new Iraq in 1920 and Akre remained as part of Mosul. However, after the Gulf War in 1991, Akre became under the control of autonomous region of Kurdistan. After establishment of KRG in 1992, Akre joined Duhok Governorate on July 15<sup>th</sup>, 1992. In February 14<sup>th</sup>, 1993, the government appointed the first mayor of Akre.

Like other places in Kurdistan, Akre has a rich history and significant role in Kurds' existence based on the facts that the city embraces loads of heritage sites and monuments such as Akre city centre, Akre castle, Shush castle, Galy Zanta, Gindik and Bey cave as well as the presence of statues carved in rock which date back to thousands of years B.C. (Bois, 1966). Akre has often been considered an open air museum due to its historical architecture. The following sections will demonstrate how the natural characteristics and historic evolution of Akre have shaped the morphological developments of the historic city Akre.

#### 8.4. Socio-Cultural Context and Local Economy of Akre City

The long history of Akre that evolved from the many administrative powers that ruled over the city and the region at large has influenced the significant socio-cultural (e.g. Medes and Romans) and religious (e.g. Zoroastrians and Jews) attributes of the city, which by its own have affected the morphological developments, as will be discussed in the following section.

Although, at present, Akre is considered a Muslim city, with a Christian minority, it once had some Jewish population. This is evidenced in the remains of a synagogue on the top of Zarvia Dji (Land of Jews) where the Jewish community used to gather for their celebrations. Also, another Jewish neighborhood in the old part of Akre city known as Justay (Jewish City) is noticed. In addition, to its magnificent mountains and beautiful nature, Akre society is known for its great hospitality and rich noble traditions.

In Akre, buildings such as the castle, old city, Bazar, Qishla, and a number of mosques, church and social welfare buildings are acknowledged as key monuments, as will be discussed later on. The residential quarters with their historic fabric as a whole, through their environmental qualities, represent a living cultural heritage of great value.

The Akre city is known as a cosmopolitan city, where all religious worshippers (Mathrian, Zoroastrians, Jews, Christians and Muslims) have been living in a tolerant environment of coexistence. An example on this regard is that the customs of thousands of years are still practiced till today like the bonfires on Wednesday nights (Municipality of Akre, 2012). The presence of many traces such as the temples of Mathrian, Zoroastrianism, and Judaism, along with the continued existence of churches and monasteries and grand mosque, are a proof to coexistence nature of the city. Also, the people of this region who belongs to different clans and tripe have lived there throughout centuries in harmony. For instance, the people of the city are still partaking in the weddings and other social occasions and gatherings, and still share the same traditional folklore & customs. Nevertheless, it is important to mention that these tripe and clans are conservatives and they had some disputes before that during the end of the 18th century and the beginning of the 19th century.

Historically, the people of Akre district depend primarily on seasonal agriculture, along with local trade markets, hand crafting, and breeding livestock for their living in addition to the steady growing tourism sector. At present, the agriculture area stands at 15.3% of Duhok province agriculture area and it has the highest percentage of rural population in comparison to the other districts in Duhok province. And the percentage of farmers stands at 20.3% (50,333 farmers) out of the total number of farmers. Furthermore, Akre has 4.08% of Duhok's food and animal industry (e.g. dairy product). At the scale of Akre historic city, it is not difficult to witness the overabundance of trade related shops and vendors, along with Mosques in comparison to the needs of residential houses (See Table 8-1). This entails that the city exhibited religious activities throughout the modern history. The trade shops are still part of the workforce of the city and it includes many traditional professions that include honey production, and organic food industries, which are cultivated in the nearby orchards and farms owned by the locals. The region also produces many ancient traditional handicrafts including pottery, ironwork, copper work, leather, carpets, etc.

**Table 8-1: Ottoman Annual Report (1912)**

Type of building	Number	Type of building	Number
Houses	1,238	Mosque	8
Shop	134	Religious school	3
Khan	1	Hospital	2
Local shower	1	Public school	1
Bakery	5	Primary school	4
Goods storage	97	Church	2
Mill	14	Synagogue	1

Source: Zebari, 2012

It is important to mention that the people of the historic city of Akre fluently could speak the Bahdinan and Soran Kurdish dialectic along with Arabic language, which make the city at large more trade friendly for the different nearby groups of population. In the socio-economic context of Akre, it is important to bear in mind that there is an ever growing touristic visitors, who are officially estimated at 150,000 tourists annually (Municipality of Akre, 2012), keeping in mind that the actual number of visitors are much larger than the official estimations. Despite the wealth of natural and human made resources, the unemployment rate in Akre is 9% which is relatively high compared with the average unemployment rate of

Duhok province that reach 8.8% (IAU, 2011), keeping in mind that the majority of Akre people are economically dependent on the governmental posts and workforce. The poverty rate in Akre is between 30 and 34%, which is in the highest poverty zone in Kurdistan Region (See Figure 8-7).

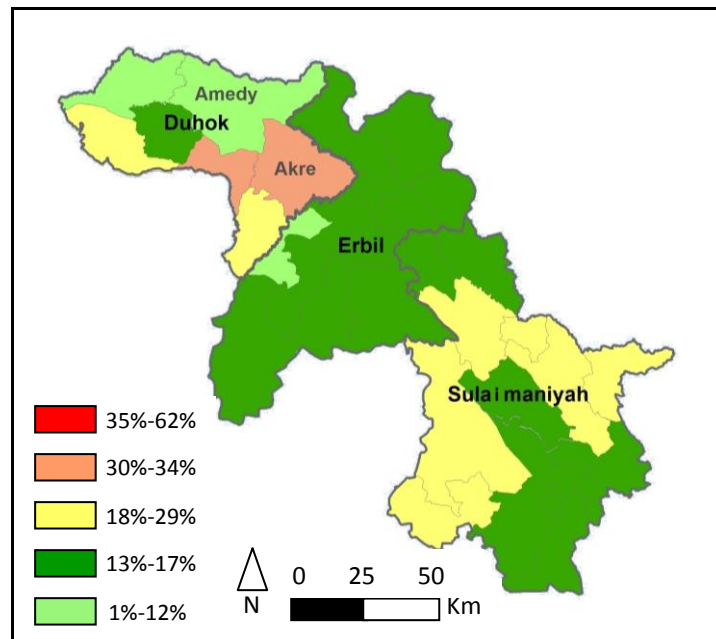


Figure 8-7: Poverty rates in districts of Kurdistan Region  
Source: IAU, 2009

### 8.5. Demographic Changes in Akre City

According to the 2011 census of Duhok Directorate of Statistics there are 152,072 residents in Akre district, which represents 13% of the total population of the province. The majority of populations are Kurds. However, several thousands of Arabs and Christians also live in the region. Over the last five decades, Akre witnessed rapid population growth. Internal displacement, rapid urban growth and proliferation of informal settlements are the main causes behind the ever changing demographic status in Akre. From 1977 to 1996, the growth rate in Akre has been stagnant with an average growth rate of 12%. From 1997 to 2007, the growth rate was 3.6%, and then exponentially rose to reach 16% (Municipality of Akre, 2011).

Forced displacement in Kurdistan is commonly considered to have taken place in one of three periods. The first under the former Ba'ath government; the second period from the 1991 until 2003; and the third period since 2003. Before 1991, forced displacement by former Iraqi government in the Kurdish region is considered to be one of the main causes of demographic changes. There are over 1.5 million internally displaced people in Iraq; many living in Kurdistan and the surrounding disputed areas. From 1991 to 2003, displacement has mainly taken place in the disputed area of Kirkuk and Mosul. After 2003, aerial and land bombardments by Turkey and Iran were the main reason for internal displacement, it is estimated that more than 1000 families have been displaced by these acts (Irvin, 2011). According to Global IDP Database (2004), the estimated number of displaced families in Duhok Governorate is 35,483 families. The majority of which are the victims of Arabization and Anfal operations that had occurred in the 1970s and 1980s. The majority of the displaced people are Kurds while Assyrians (mainly Christians) and Chaldeans have also been affected by displacement, they are found in all the districts of Duhok, concentrated mainly in area such as Amedy, Sumel, Zakho, Akre, and Sheikhan (See Figure 8-8).



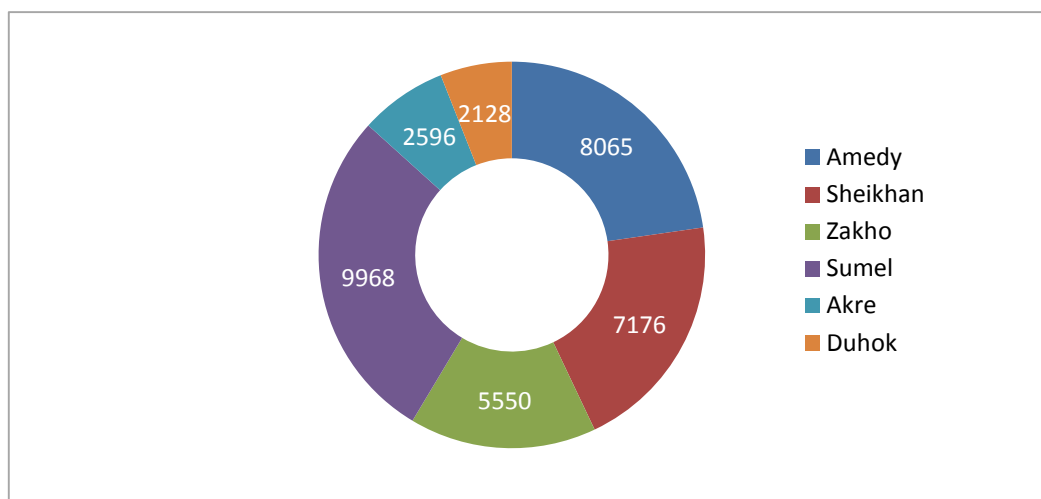


Figure 8-8: Internal displacements (in thousands) per district in Duhok Province  
Source: Adapted from Global IDP Database/Norwegian Refugee Council, 2004

The successive military operations during 1970s and 1980s by former Iraqi regime against Kurds and the eight years of Iraq-Iran war from 1980 to 1988 caused decline in the population growth and eventually ended with the death of several thousands of Kurds and the destruction of many villages and cities. In Akre district, the figures in seventies and eighties show population increase in the urban area from 16% to 46.0% and decrease in rural area from 83.9% to 54.0% due to the displacement and immigration from rural areas to seek security and stability and/or work in the main cities (See Table 8-2) (Mohammad, 2006).

Year	Urban %	Rural %
1957	16.1	83.9
1965	27.7	72.3
1970	16.6	83.4
1977	17.7	82.3
1987	23.0	77.0
1996	22.9	77.1
2012	46.0	54.0

Source: Mohammad, 2006

After 2003, the urbanisation rates increased rapidly, and the official data shows that currently there are 66404 individuals in the city, in comparison to 88096 individuals in the rural area (See Table 8-3). The main reason behind this trend is the better economic activities in the city in comparison with the rural areas.

Year	Urban		Rural	Total (District)
	District	Akre City		
1996	26837	20559	61705	88542
2010	69533	58307	82539	152072
2012	74191	66404	88096	162260

Source: Duhok Directorate of Statistics, 2012

In terms of gender distribution, according to official data by KRG, the ratio of males is 51.22% and female is 48.78% in Akre, in addition, like other parts of Kurdistan, more than 80% of Akre community is less than 45 years old (Duhok Directorate of Statistics, 2012) (See Tables 8-4).

Age Range	No. of Male	No. of Female	Sum
Less than 15 years	13226	12349	25575
15-24 years	7604	7054	14658
25-44 years	9263	9244	18507
Above 45 years	3656	4009	7665
Total	33749	32656	66405

Source: Municipality of Akre, 2011

UN Habitat defines crowding as more than three persons per room and less than three square meters per person in the dwelling. In 2004, the city of Akre was the home for 9,210 families in 8,359 residential buildings. Consequently, 851 families or 10% of all families live together in a house with another family (See Table 8-5).

	No. of households	People	Mean household size
Inhabitants centre	6.193	37.753	6.10
Urban	9.828	59.679	6.07
Rural	21.011	130.398	6.21
Total	30.839	190.977	6.16

Source: KRSO, 2004 Adapted from Akre Master plan, 2011

Nonetheless, the settlements in the areas surrounding Akre are the home to 1,394 families in 1,252 residential buildings; consequently 11% of all families live together with another family. As a result, 10-20% of residential buildings in Akre are crowded, especially in the historic residential quarters and in the old part (See Table 8-6). In 2008, 141,900 people lived in 24,280 families in the community of Akre, this corresponds to an average household size of 5.84 persons (See Akre Master plan, 2011).

Quarter	No. of Houses	No. of Families	Population
Justay	662	549	3496
Gorava	441	466	2579
Qapaki	683	662	4425
Total	1786	1677	10500

Source: Duhok Directorate of Statistics, 2012

Within the last few years the population of Akre increased considerably due to a surplus of births and immigration. One major socio-economic implication of this increase is indicated by the housing availability. In Kurdistan Region, owning a private residential building is the preferred thing to be. An average 200 to 300 m<sup>2</sup> are required per household. Because of the complicated topography and dense concentrated residential area, the local authority seeks to the alternative and built new residential area in Akre plains. For instance, during 1990 and 2011, about 7 km<sup>2</sup> of agricultural areas have been used for residential uses (Duhok General Directorate of Agriculture, 2012).

## 8.6. Urban Morphology of Akre City

Akre historic city is embraced among mountains, especially along the southern hillside of the former castle (in Kurdish: Kala Akre) (See Figure 8-9). The old city overlooks orchards from both the eastern and western wards. Within the eastern orchards, the well-known Sipa water fall is situated, whereas in the western valley there is an ancient worship Muslim place known as Mazar (Shikh Abdeul Khader Geylani).

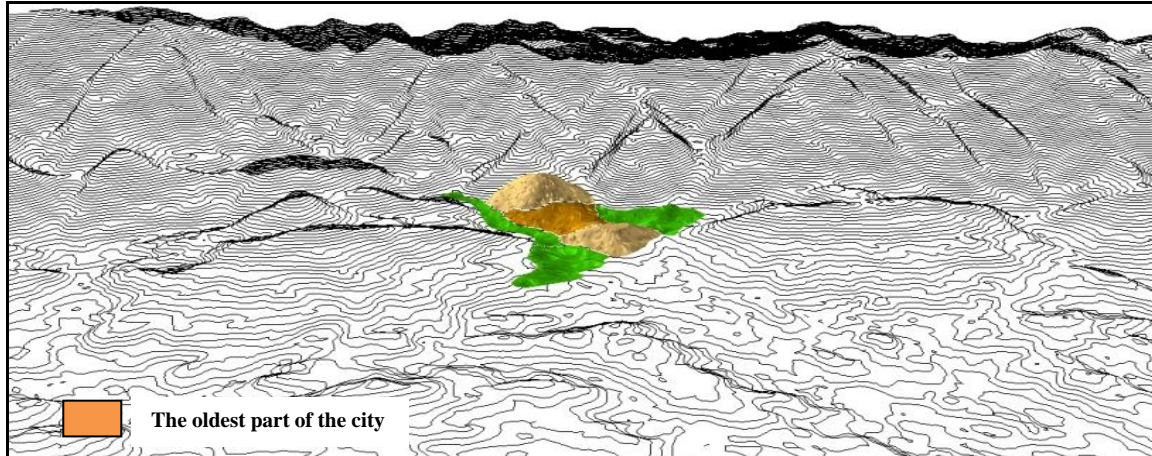


Figure 8-9: Land form around Akre City  
Source: Own Constructed, 2012

The historic part of Akre city consists of a group of buildings distributed in a liner form, along the hillside in the south of the Akre castle. The form could be described as terrace houses that are consistent with the contour line of the site, where most of the dwellers can use the roof of the neighboring buildings in everyday life activities (See Figure 8-10). This represents a unique utilisation of space, which is characterised by social cohesion and interaction among the residents. Furthermore, these terrace houses are connected by a network of narrow, open ended and zigzag shape roads that follow the difficult and steep topographic nature. These terrace houses comprises of one to two stories, and the building materials consists of natural stones, lime, and wood.

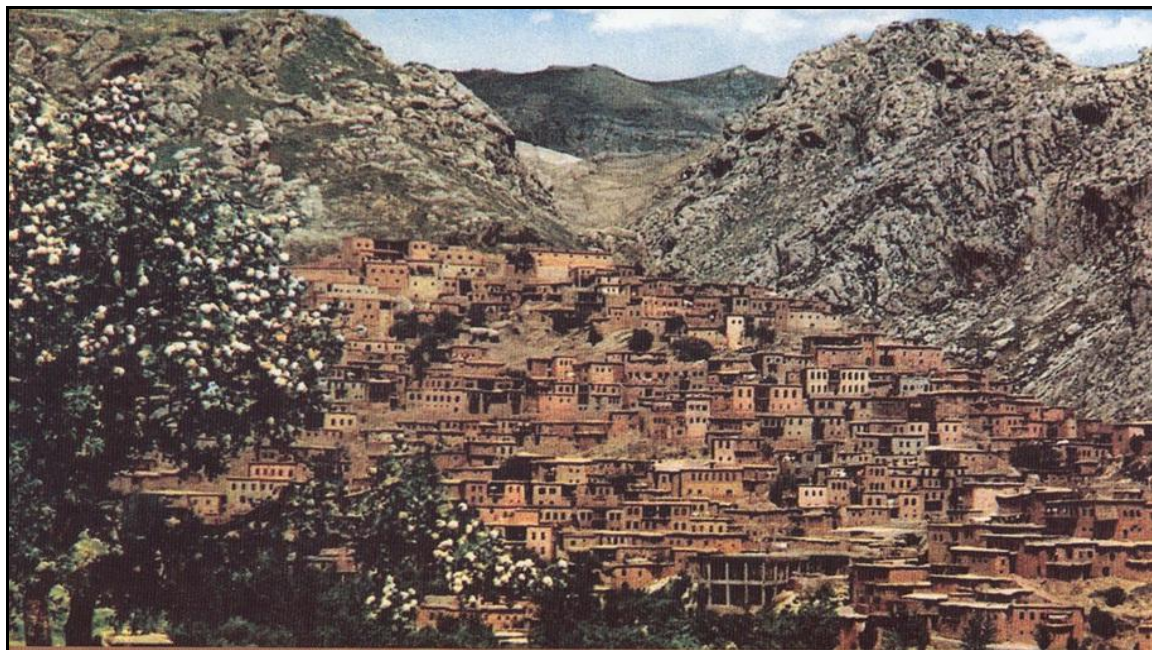


Figure 8-10: Old city of Akre  
Source: Akre Municipality, 2012

Among these terrace houses, there are also a historic Church at the top of the hillside and a refurbished grand Mosque on the lower point of the hillside. From the top of the hill, one can see down the old square (intersection) of the city (See Figure 8-11). The square is also the site of the other historic building known as Qishla, which dates back to the Ottoman Empire time. This building was used as an administrative unit at that time. This intersection which is in front of Qishla building links the (one way ) main road that comes from the down to the old city, with two narrow streets from the eastern side: one comes from Sipa side, and the other from the spring. Also from this square we can find staircases that led to the historic houses. While, in the west side there is a narrow way leading to the large commercial centre, (called Bazar) (See Figure 8-11). This is the highest point of the Bazar, which is only used for pedestrian purposes. There are many branches that intersect with this road, along with many small shops with arches in both sides. At the lower point, one would reach the grand Mosque at right side, along with other small shops. The old historic city of Akre consists of three main quarters, namely: Justay, Gorava, and Qapaki (See Figure 8-12). The traditional distribution of the population in the different quarters was determined at the beginning based on religious belief or cultural origin (tribe and clans)<sup>20</sup>. As previously mentioned, the heart of the old city is Bazar, established along the traditional south axis of residential historic houses, with the main mosque occupying centre of Bazar. Akre has a total length of approximately 3,000 m, stretching from the entrance of the old Akre city to the foot of the castle; it embraces at present 1,786 residential historic houses with a total population of 10,500 capita. Due to the hard topographic nature of this area, the residents still use donkeys to transport good through the narrow streets of Akre. The topography and the mountainous nature of Akre city make building roads and street extremely difficult. Until today, Akre city in the historic part depends on the old network of roads which have been made since early years of Akre. Most of the old roads still exist, although some have been widened and others, where old general/public buildings exist remain as footpaths to important destinations (landmark) such as castle, mosques, church, etc.

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<sup>20</sup>The name Justay (Jewish City) means city inhabited by Jews. While the name Gorava composed of two names: Gor in Kurdish language means cavity while the word ava means built. This part of the city had many cavities in the ground, and when this part has been built, the locals called it Gorava (cavities that has been built). The city historic part of Akre has been also inhabited by a famous family from a tribe called Qapaki, originally from Rawanduz, and the family has given the name Qapaki to their quarter.

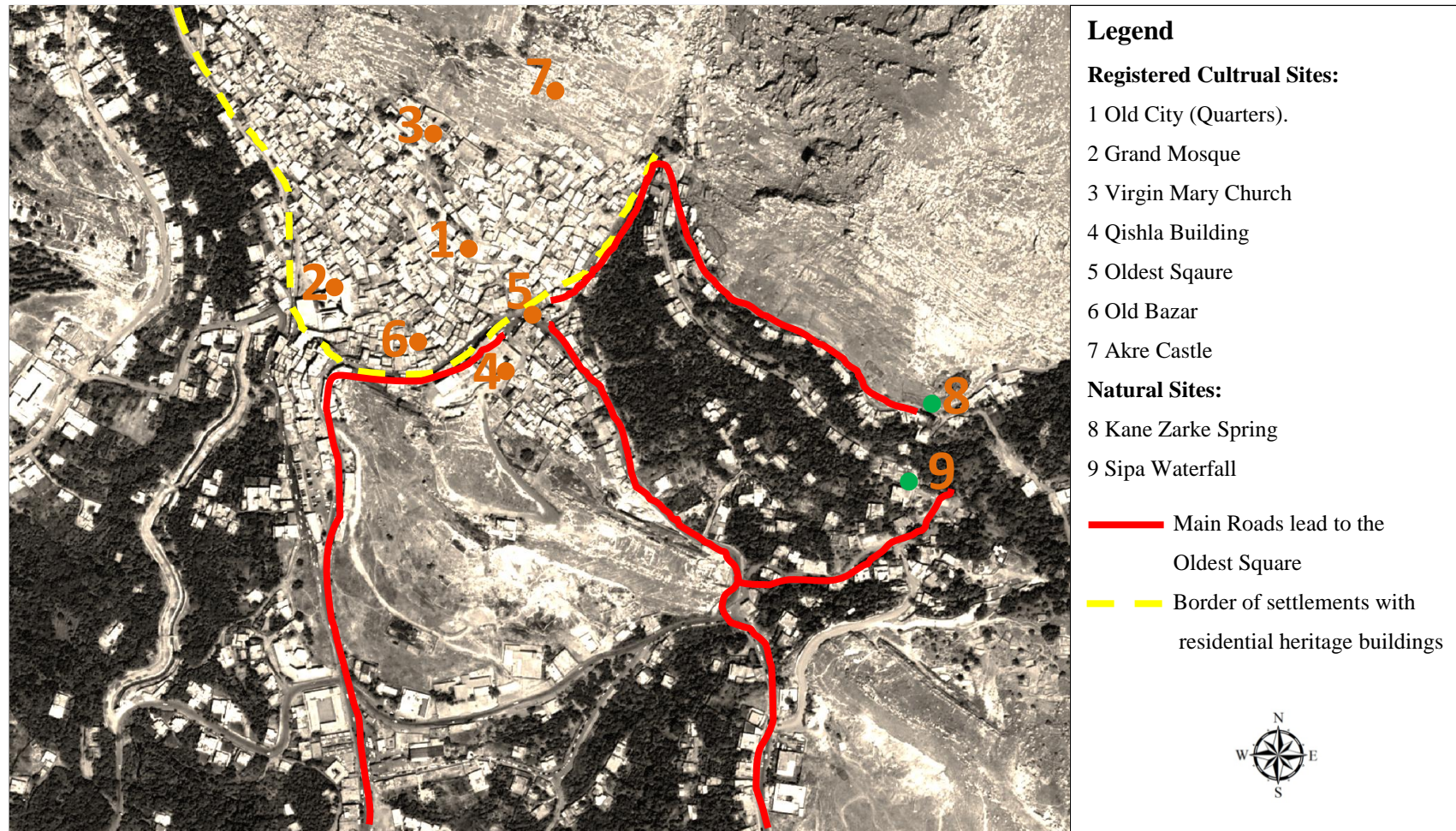


Figure 8-11: Registered cultural sites in the National List of Archaeological Sites with two main natural sites in Akre  
Source: Own Constructed, 2012

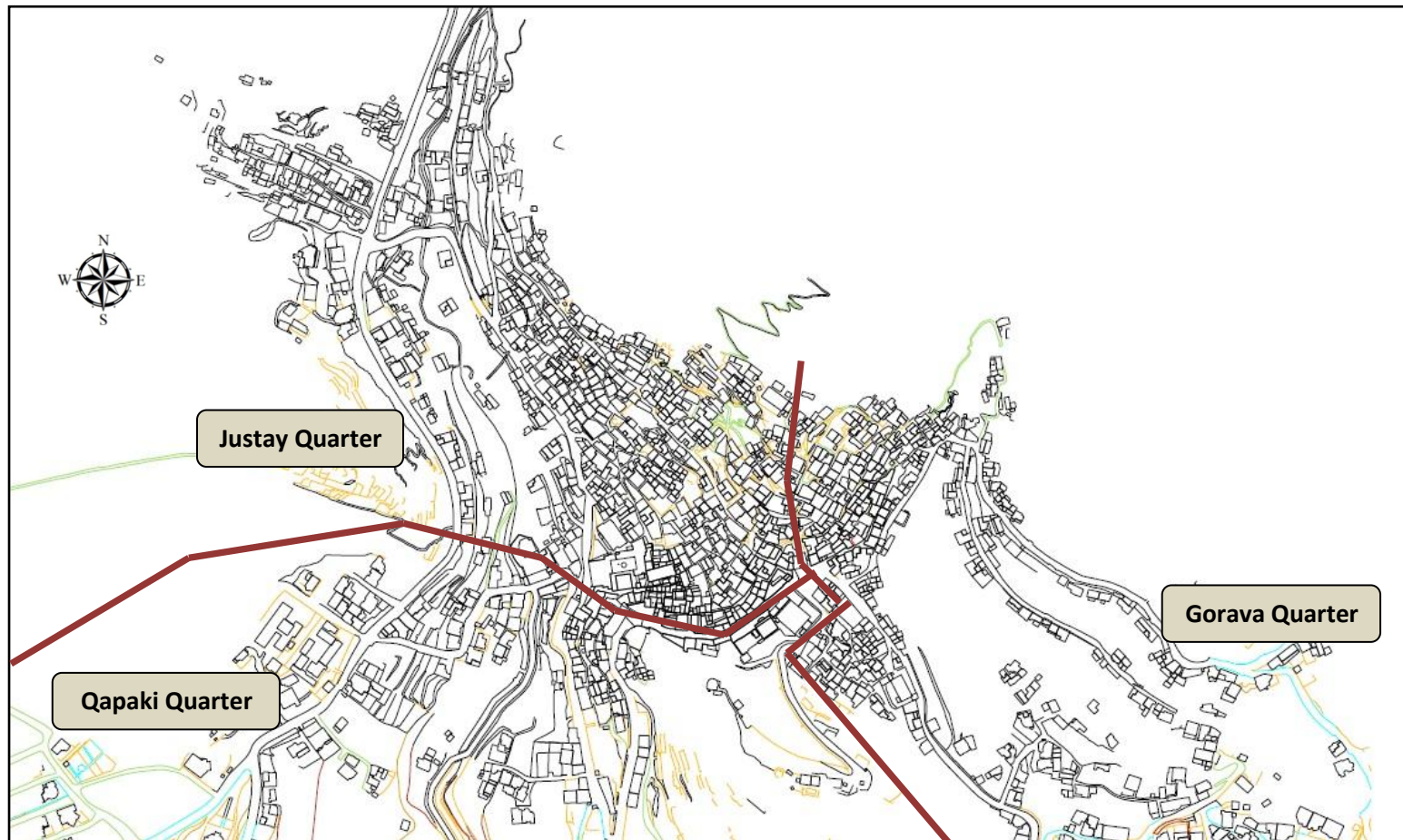


Figure 8-12: Historic quarters in Akre city  
Source: Own Constructed, 2012

During the 1960s the area of Akre city was 3 km<sup>2</sup>, and was increased to 5 km<sup>2</sup> in 1970s until it reached 10 km<sup>2</sup> in 1980s. The tangible expansion of the city was in the 1980's of the last century, where sprawl became the main characteristic of the urban form. At the beginning of 1990s the administrative area of Akre was increased from 12 km<sup>2</sup> in 1990 to 56 km<sup>2</sup> in 1998. Afterwards, the expansion continued without control (See Figure 8-13 and 8-14) since it was evident in the forestlands and agricultural areas, and along the water catchments areas and rivers, thus disrupting the natural landscape of the area. In the same token, the cultural heritage, including historic buildings were affected by this rapid expansion. Importantly, to notice is that these buildings mostly are informal and had new architectural style that does not go along and match the general motif of the city.

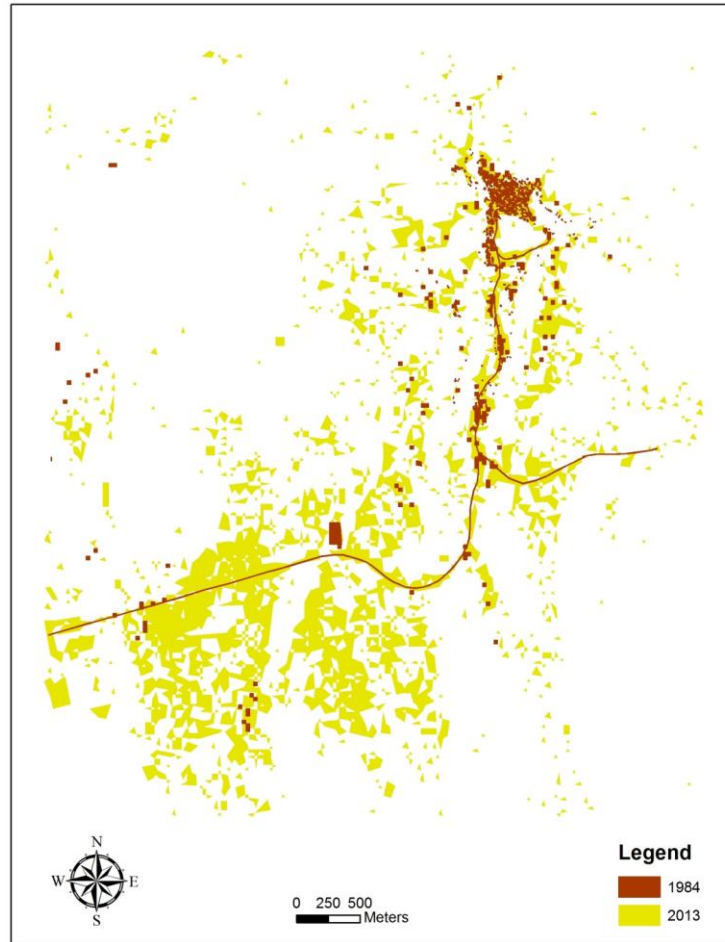


Figure 8-13: Changes in build up in Akre City (1984-2013)  
Source: Own constructed based on Akre Satatalit Image 1984 and 2013

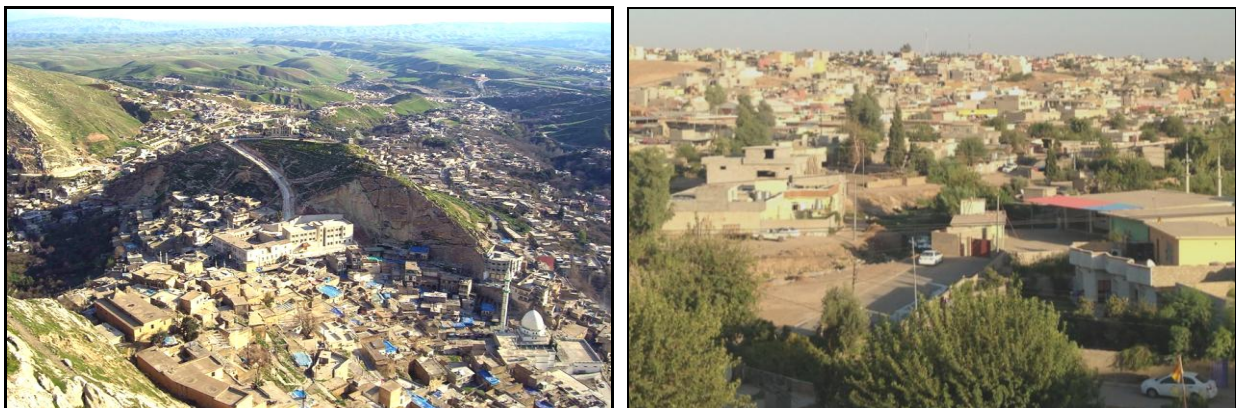


Figure 8-14: Akre City characterised by sprawl phenomena south of the Old City  
Source: Own photos, Fieldwork November, 2011

In 2008 the municipality of Akre has developed a new land use map for the city to address the informal building problem, where the total number of quarters within the municipal area became 29 quarters (7,899 houses and residential units, it has more than 1,700 shops and stores, 15 factories, 8 sports fields, 9 park gardens), including the old part of the city (See Figure 8-15).

In 2009, the municipality launched a new master-plan for the city, in cooperation with German consultants to respond to the increasing population growth and the alarming immigration rates from Iraq at large due to the political instability. Accordingly, the new master-plan area became 113 km<sup>2</sup> that would accommodate the future developments up to the year 2035 (Municipality of Akre, 2012) (See Figure 8-16).

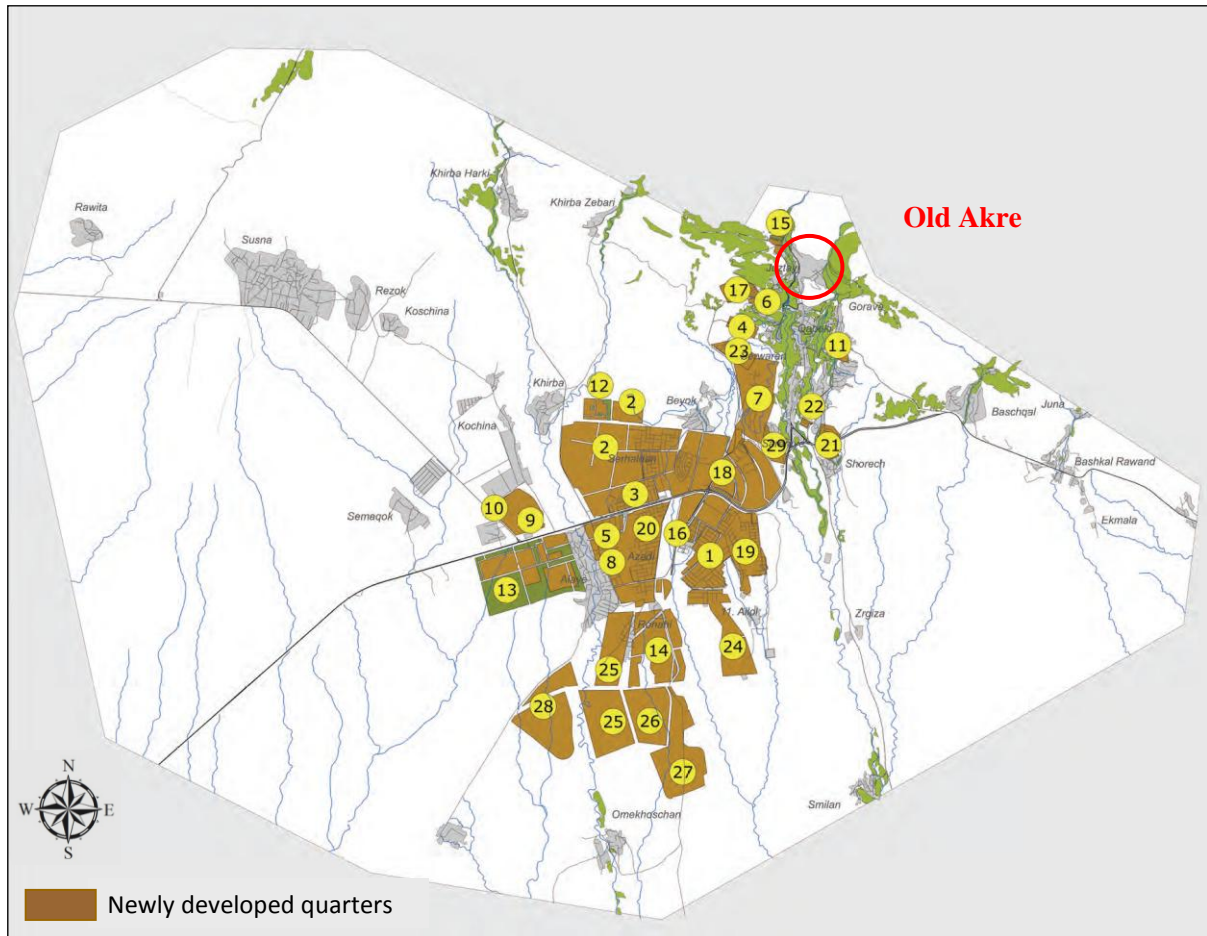


Figure 8-15: Akre Master plan, 2008  
Source: Municipality of Akre (Akre Master plan), 2011

A new amendment of the master plan has been prepared in 2011 and revised in early 2013. The master-plan has nonetheless provided the general layout of eventual urban growth. The main emphasis has been put on the direction the city shall expand and development of inner city sub areas, in addition to the construction of a new road network that was intended to form the backbone of the new part of Akre city. Due to the topographic constraints existing to the north and east of the city where old historic quarters exist, the main orientations of city growth are (1) western city area for further settlement and (2) central areas for local services. The plan suggested creating a hierarchical system of centres which include: (1) Old Akre, (2) Centre Akre City, and (3) Many sub central in the area of future expansion of Akre (See Figure 8-16). Furthermore, the plan designated the old historic centre as the area needed to be conserved. While this plan did not address how to include the values of the sites in the city planning of Akre (For more details see Akre Master plan, 2011).



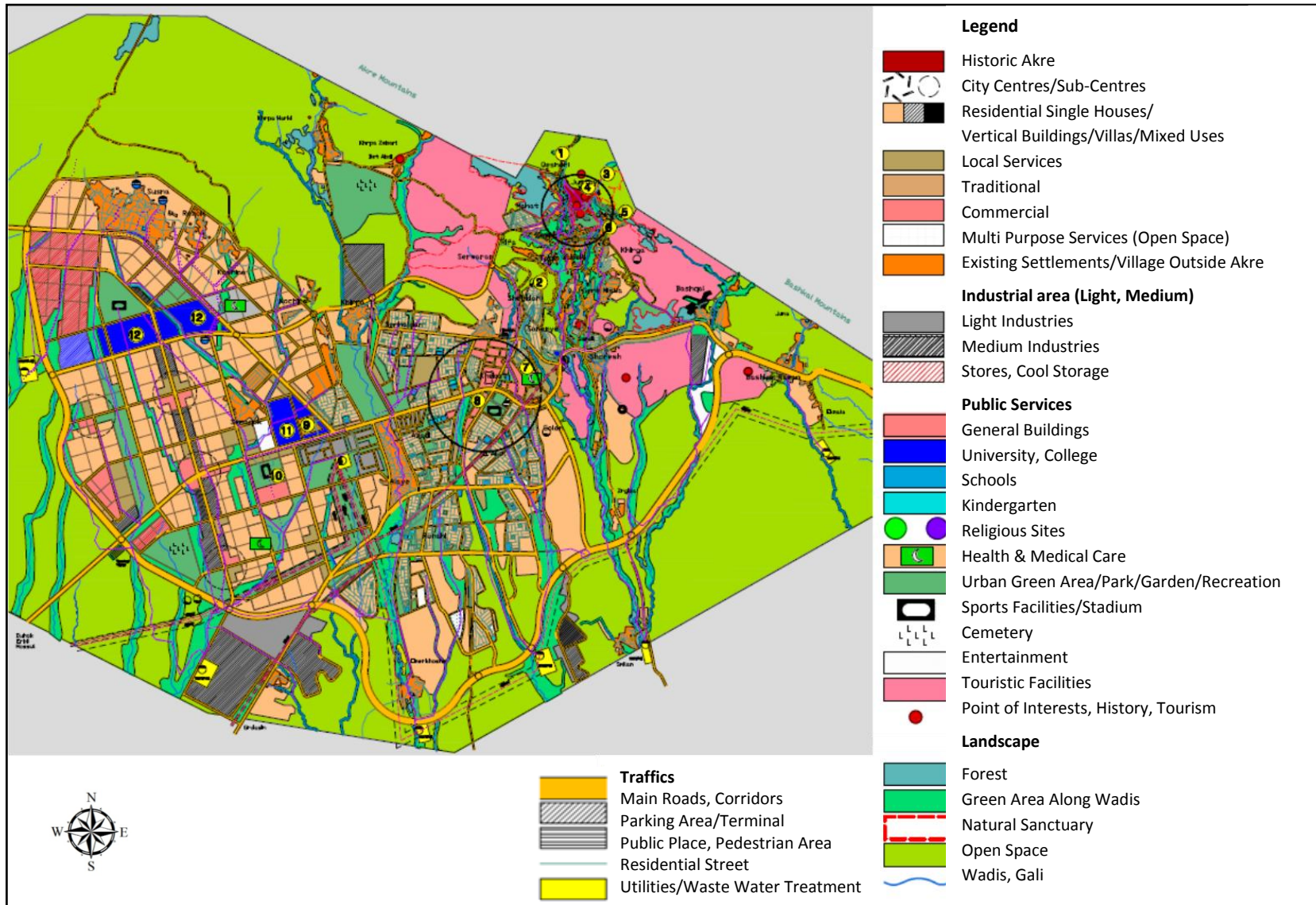


Figure 8-16: Proposed master plan for future development of Akre City, up to 2023  
 Source: Municipality of Akre (Akre Master plan), 2011

## 8.7. Cultural Heritage and Natural Aspects of Akre City

Akre was mentioned in the Iraqi National Archaeology List of 1970 (Ministry of Culture and Information, 1970). Three sites were pinpointed on this list as archaeological sites, namely: Old city, Qishla, and Grand Mosque. Despite the fact that some other archaeological sites have been added to the National Iraqi List of Archaeological Sites during 1980s, the 1970 list is considered to be the only record that included the archaeological sites in Kurdistan Region within the other sites in Iraq at large. Said differently, no excavation works have been carried out in Kurdistan Region till recently. More specifically, in Akre, no scientific archaeological investigations have been carried out. The Duhok General Directorate of Antiquities and Traditions in 2011 started a project on Akre castle but its results have not been officially published yet (G.D.A.T in Duhok).

The following sub-sections presents the main elements inside Akre, which have been listed on the National Iraqi List of Archaeological Sites.

### 8.7.1. Cultural Heritage of Akre City

The cultural heritage sites include three main elements, namely: Old City; Grand Mosque; and Qishla (Figure 8-17).

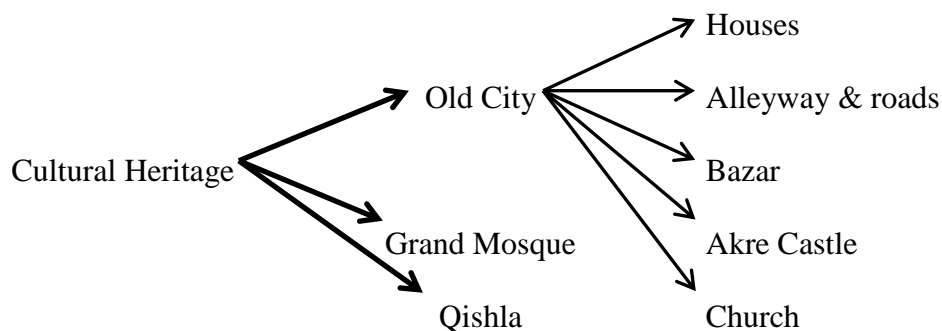


Figure 8-17: Akre registered sites in the Atlas of Archaeological Sites in Iraq 1970  
Source: Own Constructed, 2012

### Old City

The old city includes five main elements, namely: Residential Historic Houses & Open Spaces; Alleyways and Roads; Bazar; Akre Castle; and Church.

#### *Residential area (Houses & Open Spaces)*

The residential historic houses are densely stacked like steps on a staircase that do not block the view of other nearby houses. The physical appearance of these houses consists of modified masonry claddings, but the inner structure is majorly like a cave. This structure is very appealing for the users and convenient for the daily activities. These houses are mainly two stories in height. The number of stories depends entirely on the gradient of the slope. The entrances have direct access to the road, and are located on the lowest level. The houses occupy most of the plots, or some time two units combined together at the first floor. Different typology of the building, different designs of arches for windows and doors can be seen in those houses, reflecting the Roman to Islamic design motif that the city has experienced throughout the history (See Figure 8-18).

The roof of most of historic houses is flat, and certain places one could find that two houses are sharing the same roof, with some space in between (See Figure 8-18).

The previously used stones in the construction in the quarters are mainly stones, lime, along with wood elements. This represents the historic building materials in the Kurdistan Region, at large. A house often has anterooms used as a guest room. Traditionally, Akre houses face south across the Akre plain, the southern rooms and living areas in the front are more commonly used in the summer, while the protected areas at the rear of the house are used in the winter. In addition, most of houses have small underground rooms that stay breezy and cool during the hot summers, which are used for food storage. Another common feature of Akre historic houses is small square hall in the wall; with widened and thickened walls and small slated windows (See Figure 8-19 and 8-20) it serves a variety of functions. Importantly to mention is that all houses are privately owned.

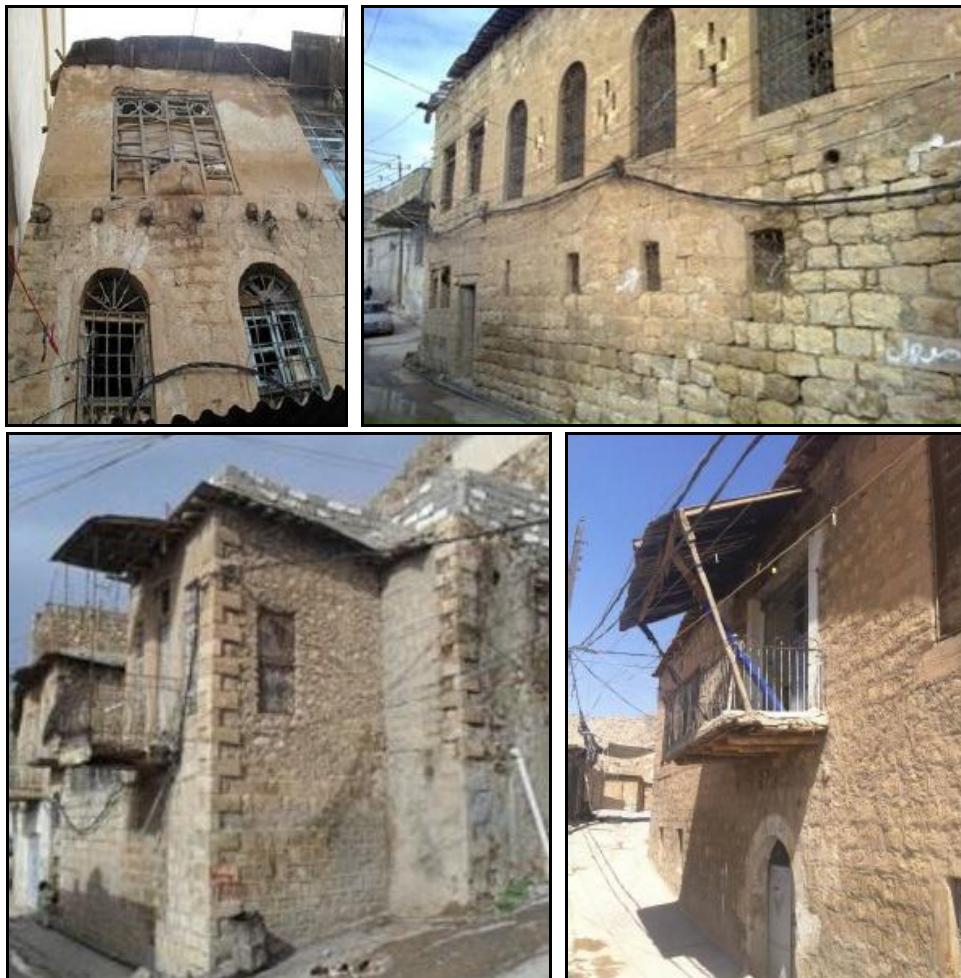


Figure 8-18: Different typology of the historic houses in Akre city  
Source: Own photo, Fieldwork, November 2011

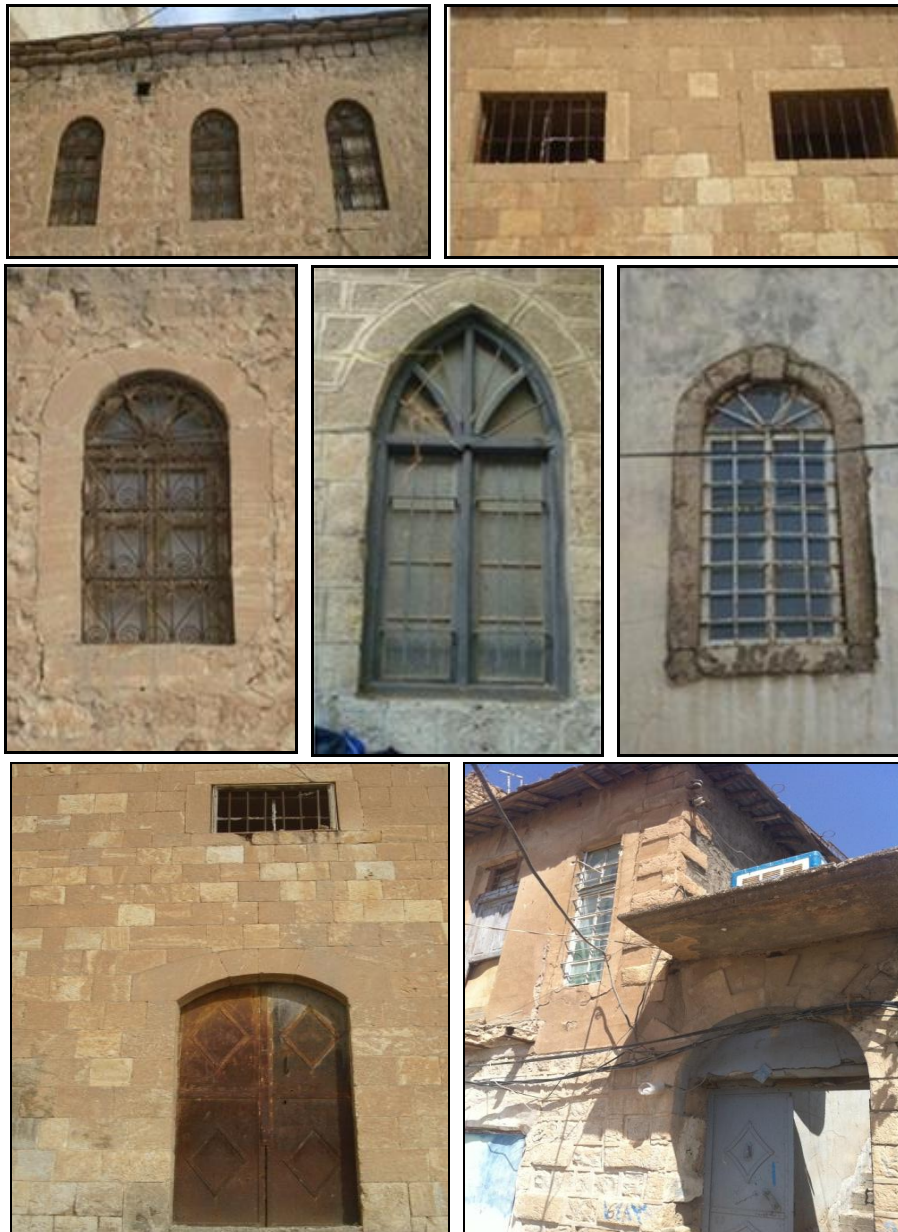


Figure 8-19: Different typology of the window in Old Akre  
Source: Own photo, Fieldwork, November 2011



Figure 8-20: Interior layout of residential historic houses in Akre city  
Source: Own photo, Fieldwork November 2011

A distinctive feature is that the space is shared in the sense that each historic house holder could use the roof of the neighbors down the hill (beneath) for day-to-day home activities. These houses are linked together by stairs that zigzag among the houses. These stairs work as the main arteries, where the daily activities are realised. One could use these stairs to get uphill in half an hour on foot. At the uphill, a plain surface that is full with archaeological sites including a castle are found, and used to get a panoramic view for the city. Nevertheless, a “third landscape” that is the area of set-backs among the neighboring houses are not sufficiently used, mainly because of the steep topography.

Lined with rows of historic houses, the streets of Akre are connected to each other via alleyways; they are a special feature of Akre architecture (See Figure 8-21). Only donkeys can navigate the old city’s narrow steep streets, and open ended (See Figure 8-22). Some people are still using donkeys as a mean of transportation and in particular transferring goods. The pedestrian network in the form of steps is based on a sophisticated system. They suddenly lead from more public to more private areas and from there often to blind alleys which reach the very heart of the residential quarters. Alleys within the residential area are mostly narrow (2-3 meters) and generally bordered by the wall of historic houses.



Figure 8-21: Different mode of historic houses connection and space sharing in Akre City

Source: Own photos, Fieldwork, November 2011

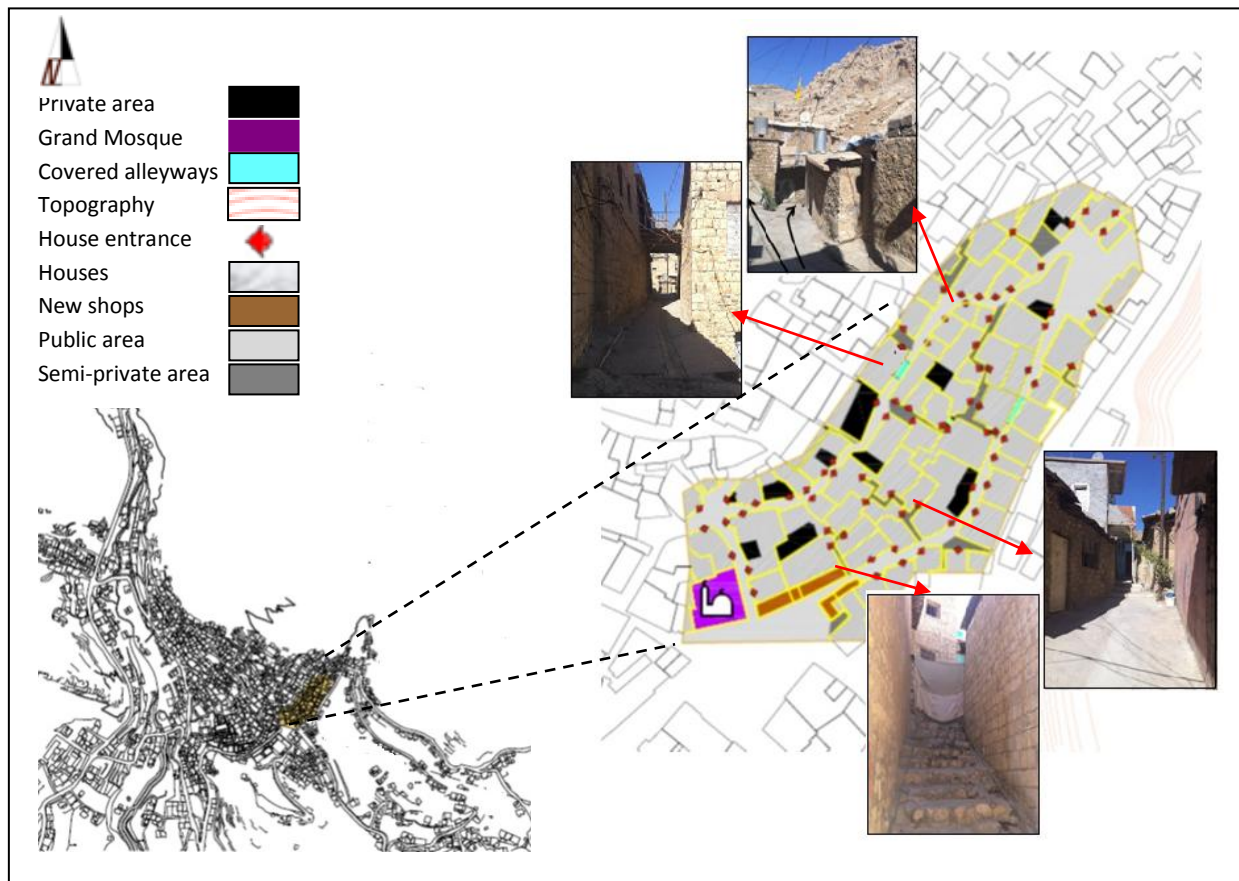


Figure 8-22: Residential area of Old Akre

Source: Own Constructed, 2012

**Bazar:**

Akre Bazar is a very old compartment of the city that is still full with life. Although, the buildings and public spaces have been repaired, restored and additional parts have been added, the area has a sense of anciently and a true mix of uses between residential and retail functions. It embraces fabric and textile shops, restaurants and small handcraft shops of utensils. The Bazar also has many *chaixanas* (tea offering places). Although the residential uses of Bazar have declined recently, the Bazar still has a considerable amount of residence. It is a place most suitable for people who want to live, work and shop easily in a convenient way. The Bazar is the first part to face when entering (from the south to the north) the old part of Akre city with a couple of narrow streets stretching and branching across road junctions. The physical environment around the market has historic architectural structures needs to be conserved, since many of the buildings are in very poor conditions. In order to reach upper parts of Akre city and Akre castle, the easiest accessible route is to head forward through the enclosed and newly refurbished section of the Bazar and follow the same course until rocky stairs to the uphill start.

The core of Bazar consists of a number of parallel rows of alleyways linked among each other. Between the shops are entrances to larger buildings behind them, such as storehouses and manufacturing units. The main alleys connected the Bazar with the old city, and continuing from there to Akre castle in the north and new suburb developments to the south. In the old city, the narrow channels of pedestrian flows to the houses on the hills and important places such as church. While, The Grand Mosques is placed at important crossings or at nodes, where the alleys of the residential quarters met the main thoroughfares (See Figure 8-23).

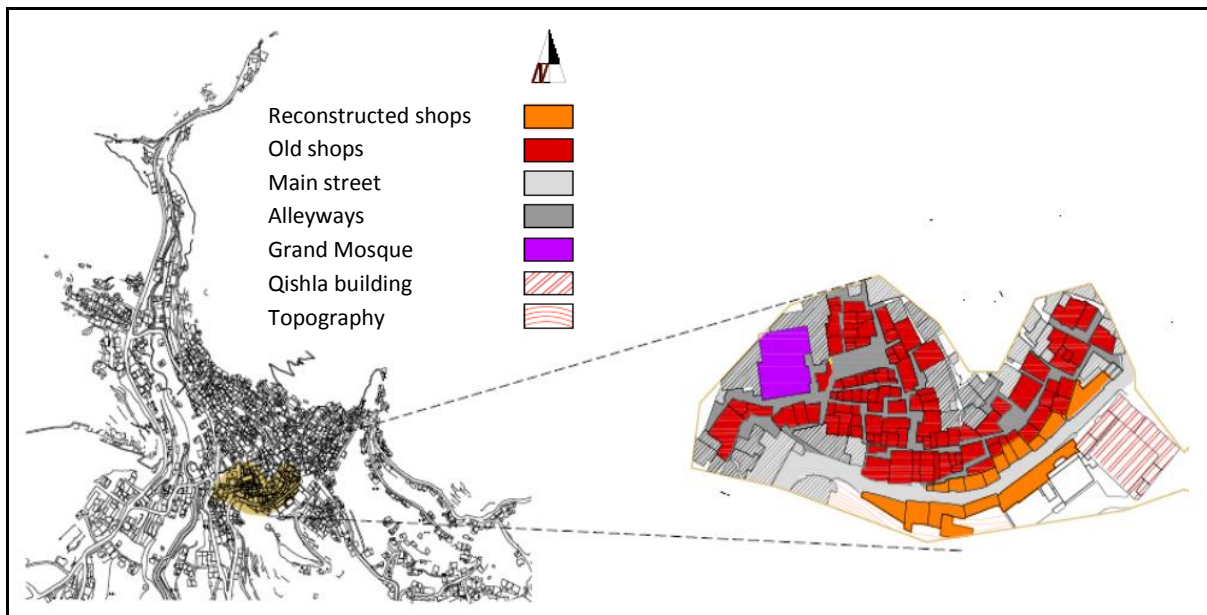


Figure 8-23: Historic Bazar in Akre city

Source: Own Constructed Based on Fieldwork, November 2012

### ***Akre Castle:***

Akre castle is located at the peak of the mountain. It has been first inhabited by noble Akre residents. The castle remains as a tourist location, where many come to explore the amazing caves and architecture from the past and also to get a view of the entire city. Akre castle rests on top of a rocky crag, and the narrow alleyways run down the crest of a ridge downward. The hilltop crag was the earliest part of the city to develop, becoming fortified and eventually developing into the castle. The rest of the city slowly grew down the tail of the mountain. This was an easily defended spot with orchards on the back side and a natural spring that would act as a natural defense element. Access up the main road to the castle was therefore restricted by means of various gates and the castle wall, of which unfortunately only fragmentary sections are still remaining at present.

### ***Church:***

Akre embraces one of the most ancient Christian churches called Merriam church and it has an area of more than 200 m<sup>2</sup>. The early foundations of the Church date back to the earliest days of Christianity. The Church is located at the highest point within the historic part of the old city of Akre. The church is fortified, with a fence and an exterior wall that experience a very serious defect at present day (See Figure 8-24)

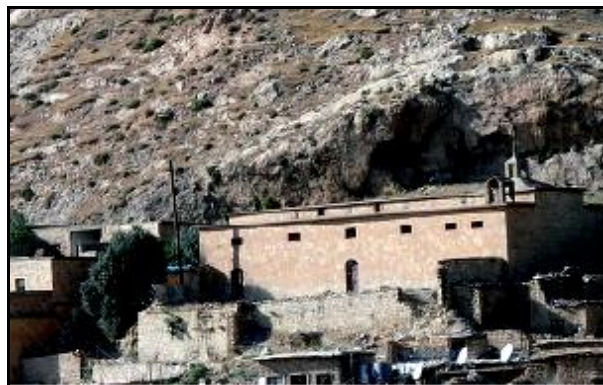


Figure 8-24: Old Church in Akre city

Source: Akre Municipality, 2012

### **Grand Mosque:**

Within the Bazar to the south of the main entrance in Akre city centre is the Grand Mosque. It is considered to be the largest mosque in the city built by Hassan Wali. The mosque contains a large prayer hall, and a book store which still exists until today. It also contains a dorm for pupil and scholars. The Grand Mosque has a beautiful ornamentation with different minarets, and other Islamic architecture elements. It has a door in front of the street and a view to the other side of the valley and the city. The Mosque is naturally supplied with water from the springs in the mountain. Near to the Mosque is the shrine that contains the tomb of Sheikh Abdulaziz Al-Gailany, who is a well-known Muslim figure. Opposite to the Mosque is an ancient Jewish synagogue.

### **Qishla:**

Qishla building dates back to the Ottoman Empire time as has been mentioned before. It has been built in 1780s. The building was full of activities as it was embracing the official departments such as city administration, police centre, prison, detention, attorney and mayor. Qishla was the most important official building during the Ottoman rule. The building is two stories and is characterised by small rooms and narrow corridors. The main door is made of wood which is a characteristic of the Islamic architecture. The Qishla is evident in the local Kurdish folklore of Akre, as the residents recite it in many of their traditional songs, especially in the weddings.

Qishla is currently undergoing restoration activates, which is not widely accepted by the people inhabiting the area. In front of the building an old square exists that has been throughout the history known for the activities that it embraces (See Figure 8-25).



A. Activities in the old square in front of Qishla building



B. Northern side of Qishla building

Figure 8-25: Qishla Building in Akre city  
Source: Akre Municipality, 2012



### 8.7.2. Natural Landscape in Akre City

Natural heritage sites in Akre include some of the Iraq and Kurdistan renowned sites such as Sipa waterfall. They are of great significance to the tourism sector and local community of Akre. The city of Akre is called "the city of springs and waterfalls". The area is crowded with orchards, trees (Oak, Chinar, Hawthorn, Tannins, Green bean, pear, and nuts), and forestlands. The forestlands calculate an area of 87.04 km<sup>2</sup> (See Table 8-7), most of which are located within the city of Akre. Akre has two main rivers, the Great Zab from the east which draws a boundary between Erbil and Akre, and Khazer from the west which draws the boundary between Akre and Sheikhan. Following is a brief presentation of the main natural landscape elements in Akre.

<b>Table 8-7: Green and build up area km<sup>2</sup> in Akre city</b>				
<b>District area</b>	<b>Suitable area for Agriculture</b>	<b>Natural Forest</b>	<b>Artificial Forest</b>	<b>Build up area</b>
<b>1703</b>	<b>454.32</b>	<b>67.26</b>	<b>19.78</b>	<b>67.17</b>
Source: Own construct Based on Database of Duhok General Directorate of Agriculture, 2012				

#### **Sipa Waterfall:**

Sipa waterfall is located at the east-south of the historic part of Akre city, about one kilometer distance from the historic part of the city centre. The place is always crowded with tourists from all over Iraq particularly during summer, spring and autumn. The height of the waterfall is about 30 meters. It has an attached cafe, restaurant and very small parking area.

#### **Kane Zarke Spring:**

This spring is located in the east of historic part of Akre city. It is 700 meter far from the historic part of city centre. Its water is known to be used for therapeutic purposes of jaundice disease particularly in summer. In addition to the aforementioned natural elements and landscape, there are many other natural sites with cultural extension that are familiar to residents but not included in the government registry neither at national level nor regional or local level such as Sheikh Abdul-Aziz Valley, Sare Giri, Raze Meri , Pishta Galey (the backside of valley), Mamiye, Galey Zanta Resort, Sare Sada, Amada Resort; Girbish Resort; Seley Waterfall; Gortika Waterfall, Khirka Park; Mahat Park; Bardarash Park; and Kalak Alaye park.

To conclude, the city of Akre, including its historic part is full with a rich natural and cultural heritage, which has been partially documented on the national list of archaeological sites in 1970, since it neglected the natural elements and pinpointed a handful of the cultural sites. The interaction among the main natural and cultural heritage sites is unfortunately weak, and this becomes more problematic since the national list did not fully elaborate on the details of these sites, including border of the old city, buffer zones of sites, and significance of the sites. In the absence of these main elements, the following sections will analyse the current situation in these main sites.

## 8.8. Current Condition and Planning Intervention in Heritage Sites in Akre City

This section discusses and analyses the current condition and planning intervention in the main sites of cultural heritage and natural elements. More specifically, the physical conditions; functions; and integration of these sites with other plans are analysed. Furthermore, a close look to the legal planning framework at the local level is provided. All of all, to help answering the question: how do the local and government staff recognise urban heritage as a resource? These aspects have been analysed using different methods using mainly field observation and semi-structure interviews along with people perception.

### 8.8.1. Current Condition and Planning Intervention in Cultural Heritage Sites

#### *Physical and Functional Condition and Planning Intervention in the Historic Quarters*

There are about 1,000 historic houses within the residential area of old Akre city. The physical conditions of these houses range from fair to poor (See Figure 8-26). Some new buildings have been built following the demolition of the old ones, using new and different materials and designs. Quite few of these old houses have been collapsed as a result of harsh winter conditions such as heavy rain. For instance, 15 houses have been collapsed in 2012 (Municipality of Akre, 2012). The owners of these historic houses have added new stories or partitions to some of the old houses such as living rooms, kitchens, etc. These new additions have sabotaged the skyline of the city, since it provided a physical obstruction and hid other houses (See Figure 8-27; Figure 8-28).



Figure 8-26: Poor condition of the historic houses in Akre city  
Source: Own photo, Fieldwork, October 2012



Figure 8-27: New houses and others covered with new material in old city of Akre  
Source: Own photos, Field work, October 2012

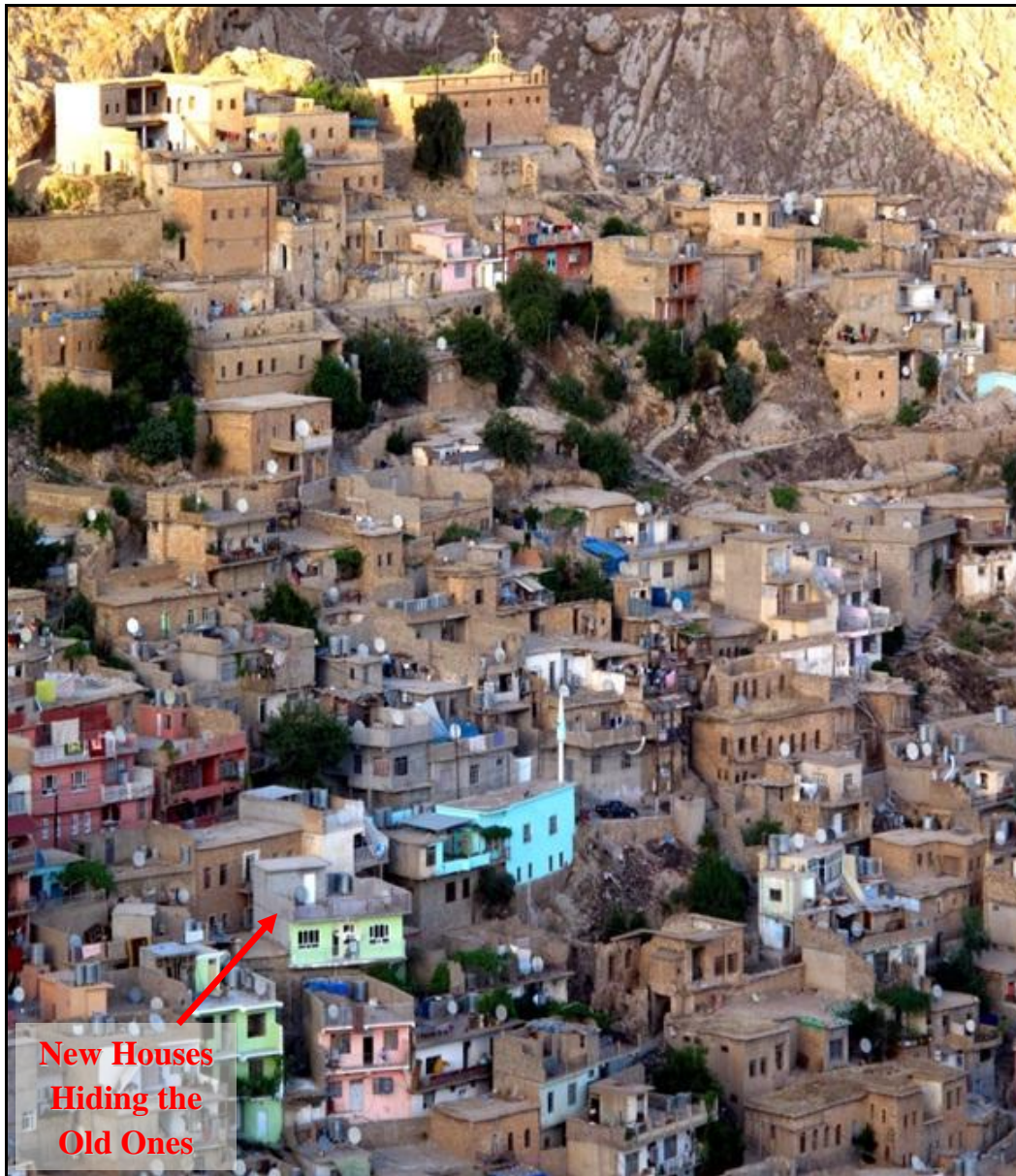


Figure 8-28: New houses affecting the traditional integrity of the historic houses in Akre city  
Source: Own photo, Field work, October 2012

The road network is in a poor condition, and some others are covered with cement (See Figure 8-29; 8-30). And since the people are using horses and donkeys that have been historically used for transporting people and goods and for other heavy tasks are not easy to be used anymore because, the stairs have been cemented instead the old ones that were tiled with stones. The pedestrian network is only known to the daily users or local inhabitants, but for the visitors and tourists commuting throughout this network might be tricky.



Figure 8-29: Alleyways covered with cement in Akre city      Figure 8-30: Poor Condition of the Alleyways in Akre city

Source: Own photos, Fieldwork, November 2011

In terms of open space, the percentage is relatively small “third landscape”, and generally most of the available open spaces are unorganised and become a place of waste and garbage collection (See Figure 8-31).



Figure 8-31: Unorganised third landscape area in Akre city

Source: Own photo, Fieldwork, November 2011

In the housing project led by the local government to conserve the residential historic houses, certain building standards have been used (See Figure 8-32), which are not based on a detailed and comprehensive surveys to identify the values of these houses alone or collectively together, such as the height, construction materials, methods, interior layout, etc. The local government adopted the reconstruction strategy to all old houses, though that many of these houses needed only secondary interventions. Overall, this has resulted in devaluing the old parts. As an example, see Figure 8-33, where the skyline has been affected and the gradual set-backs, which are considered as a collective value has been lost.

The lack of sufficient infrastructure such as sewage system and water network that are on the surface causes further deterioration of functional and aesthetic conditions of historic houses and considered to be another reason that made their owners to leave their houses.

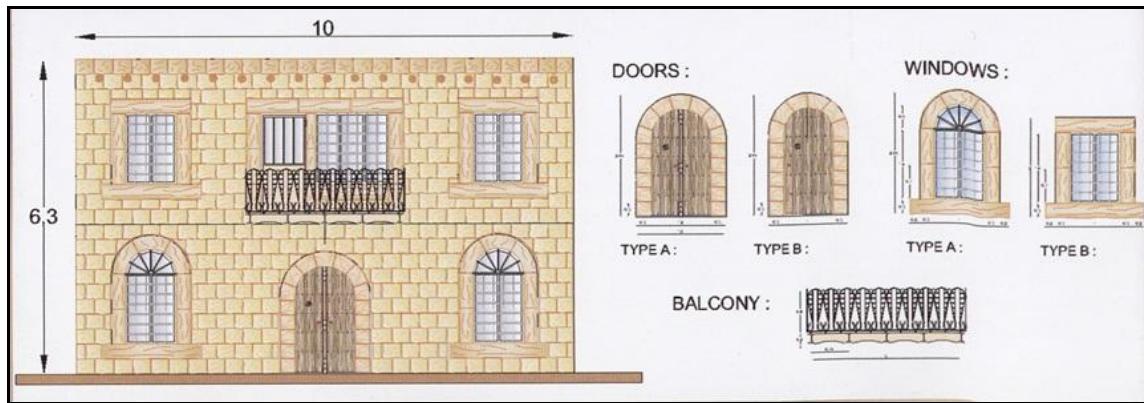


Figure 8-32: Building standards formalized by Akre Municipality

Source: Akre Municipality, 2012



Figure 8-33: Houses reconstructed by Akre Municipality

Sources: Own photo, Fieldwork, April 2012

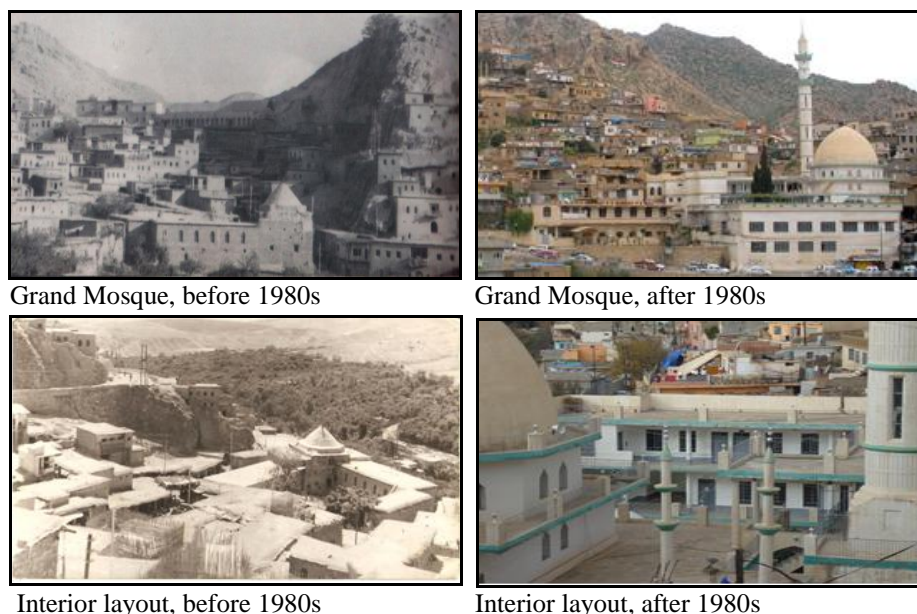
In terms of functions, some of the historic houses are unoccupied due to their poor physical conditions while others are rented out to other families. Most of the owners have moved or settled in the newly urbanised and developed part of the city. Historic houses that are in fair conditions are still in use by their original owners. The area is overcrowded with people, yet the people have no problem in space sharing, for instance, people carry out their domestic activities on the roof of preceded houses and in narrow alleyways, rendering these places as an active social hub for elderly and children alike.

Visitors to the city as well as the residence use these narrow alleyways to climb uphill to the castle and enjoy the nice panoramic view of the city. Almost all historic houses are owned by residents (Jewish, Christian and Muslim). A considerable number of the owners are not available now, such as the Jews who left the country in 1948.

Nearly all interviewed experts stated that the issue of historic house conservation has been neglected for a long time, and since the physical conditions are relatively poor, this had made many local residents to leave these houses. Nevertheless, it is important to notice that the monetary value of the historic houses is relatively lower than in other part of the city or in places where new houses are constructed. Therefore, these historic houses became the home of new comers, especially because the government decided to redistribute the land and give new shares to the governmental staff. About, 33% of the 60 interviewed locals from out the old historic part indicated that they have left their houses because it could not satisfy their current needs or as a result of partial collapse. Another 30% of the other 60 interviewed locals from inside the historic part of Akre city have indicated that they are renting these houses, since they are rural locals and migrants mainly from southern part of Iraq.

#### ***Physical and Functional Condition and Planning Intervention in the Public Buildings***

Synagogue is partially collapsed due to harsh winter conditions, but the building of the Church is in fair condition. The Grand Mosque of Akre has been reconstructed in 1980s, not reserving the old style of the mosque (See Figure 8-34; 8-35), and some new partitions have been added to the original building without considering the original setting, interior layout, built materials etc. The Grand Mosque is considered to be the largest one in the city. Qishla is the largest building among historic buildings in historic part of the city. Physically, Qishla building is in a poor condition. Currently, a restoration is taking place there.



Grand Mosque, before 1980s

Grand Mosque, after 1980s

Interior layout, before 1980s

Interior layout, after 1980s

Figure 8-34: Grand Mosque in Akre city

Source: Own photos, Fieldwork, November 2011



A. View of inside Qishla building from south



B. Outside Qishla building from north

Figure 8-35: Qishla Building in poor condition  
Source: Own photo, Fieldwork, November 2011

The Church is occupied by a family since the 1990s. The local government has issued a notice to evacuate the family by the end of 2012. The Grand Mosque is well functioning. Since the physical conditions are very poor in Qishla, the building is not used. The general buildings are owned by the government, as indicated by the interviewed experts. Therefore, the interviewed experts have indicated that it is more flexible to initiate conservation processes in the general buildings, since it is owned by the government. This is the reason why government started the process of restoration with Qishla building. The project is carried out by an Iranian company under the supervision of General Directorate of Antiquities and Traditions in Duhok Governorate and Directorate of Antiquities and Traditions Akre district.

### ***Physical and Functional Condition and Planning Intervention in the Old Market (Bazar)***

The buildings in Bazar are attached to each other. The majority of them are two stories height but some are only one. The ground floor of buildings consists of small shops while the first stories are either used to accommodate family or are used as a store. Most of these buildings are in poor physical conditions. Road pavement is very poor and it is made by cement with no water sewerage. Bazar accommodates two places for making traditional tea, one restaurant and one public shower. Some shops are built-in caves. Nowadays, the local government has initiated a conservation project to the old Bazar area, but eventually it only targeted a road of 150 m length to expand the road and renovate the adjacent shops within the Bazar area (See Figure 8-36). Also in this project a reconstruction strategy has been adopted, which has not been based on a comprehensive surveys and documentation. This new road is wide enough but has distorted the general image of the historic part of the city of Akre because they have used different design and construction materials (Carved Stones) instead of stones which are the trend in the old part.

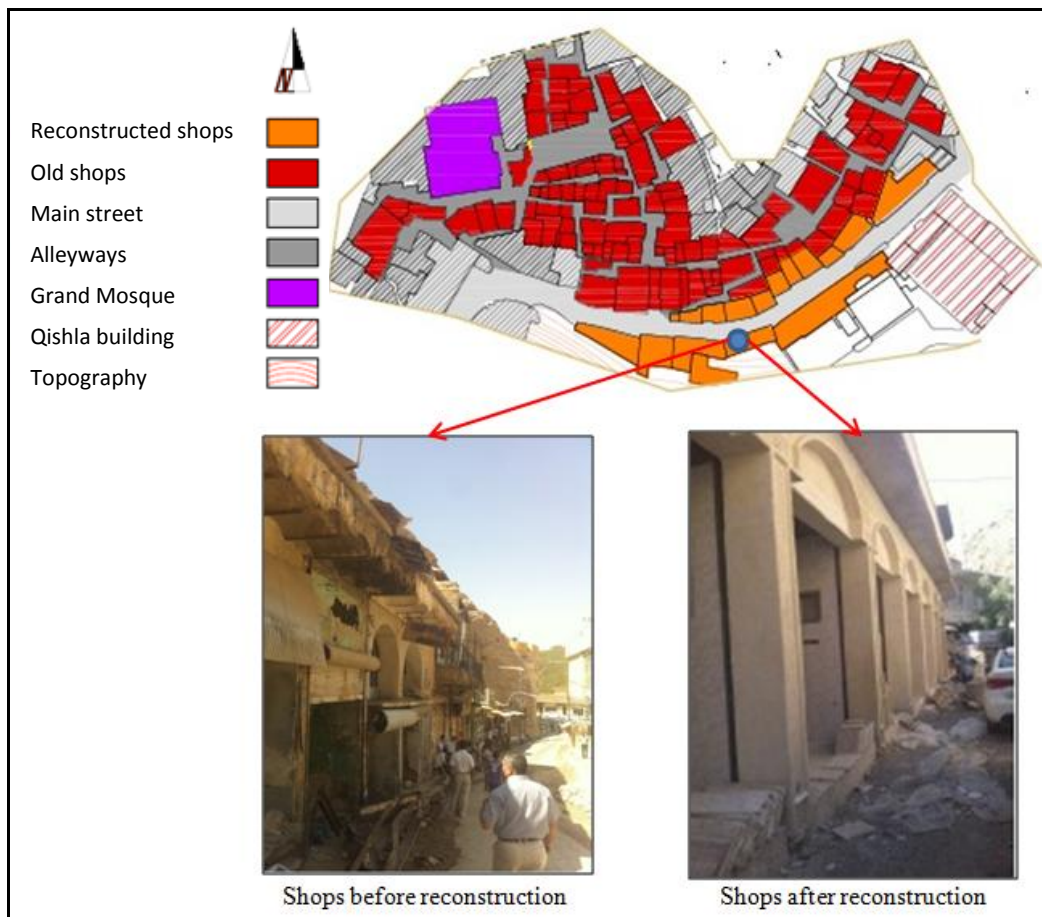


Figure 8-36: Government reconstruction project of 150m of old shops  
 Source: Own Constructed Based on Fieldwork in September 2012 and May 2013

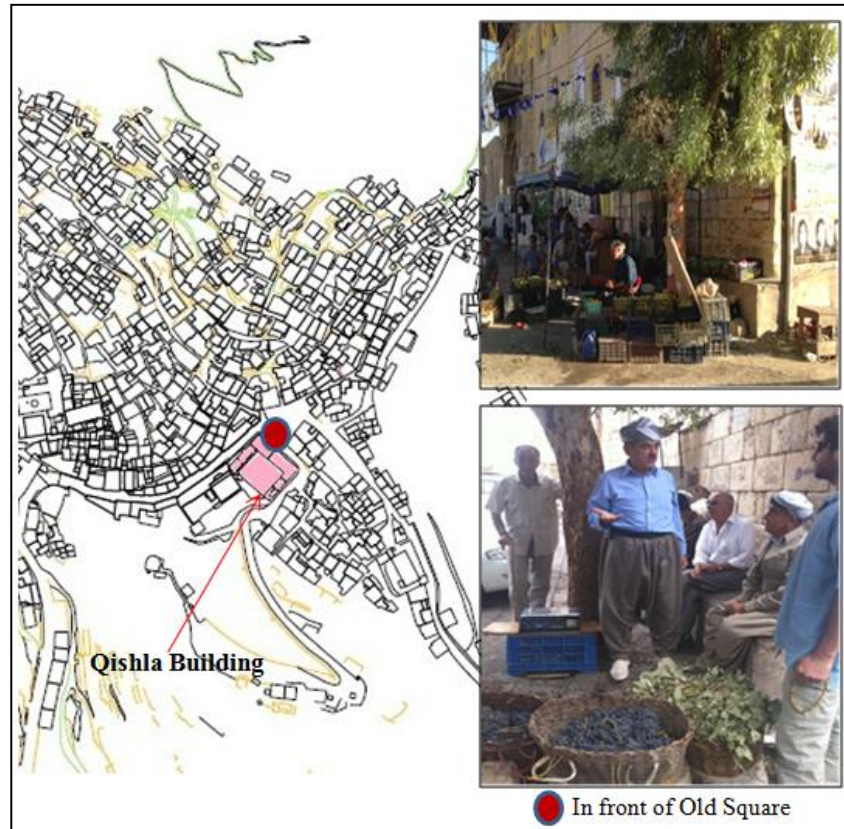
Despite the fact that the majority of the shops are in poor physical conditions, the Bazar is still considered a lively environment (See Figure 8-37), since most of the shops are specialised for selling local products which are mostly produced in the nearby orchards. It is important to notice that the fresh products are sold in the old square near the northern part of Qishla only in afternoon period (See Figure 8-38).



Figure 8-37: Different activities in the old Bazar  
 Sources: Own photos, Fieldwork, November 2011

Locals often gather in evenings around the Qishla building. The gathered people exercise different activities such as listening to music or making deals on the products of their orchards. Nevertheless, the less organised car parking is negatively affecting such social gatherings.





**Figure 8-38:** People gathered and selling the local products  
 Source: Own Constructed, Own photo, Fieldwork, September 2012

### ***Physical and Functional Condition in the Shrines, Castle, and other Archaeological Sites***

Currently, excavation work is taking place in the ruin of the castle. People use staircases and narrow alleyways for climbing the uphill and reach the castle. The castle provides a great view of the city and it is considered the largest gathering point in Kurdistan Region during the Newroz festivals. Most of the shrines are in fair conditions, but the access to them is very difficult. No facilities are in place for people who want to visit the shrines. Many other castles are located around the mountains such as: Shosh, Sharmin, and Gondik. The Tourism Department is currently planning to include the shrines in their future programs because many people are visiting these sites. Now, in cooperation with the archaeology staff in the city, private consultants have started an excavation project for Duhok, where Akre is included. The excavation area is 3,000 km<sup>2</sup>.

### **8.8.2. Current Condition and Planning Intervention in the Natural Landscape**

The natural landscape around the city, include the forests, orchards, waterfall (Sipa), and Therapeutic spring, along with the topography. Many new houses have been illegally built on the nearby hills, valleys, and orchards beyond the historic city. These houses are built using new building materials. Ultimately, these new houses negatively affect the historic image of the city. The illegal have been constructed near and around Sipa waterfall (See Figure 8-39). Most of the users of the illegal houses are trying to make benefit of the related governmental decision No.5 in 27-5-2002 to legalise the status of these houses.

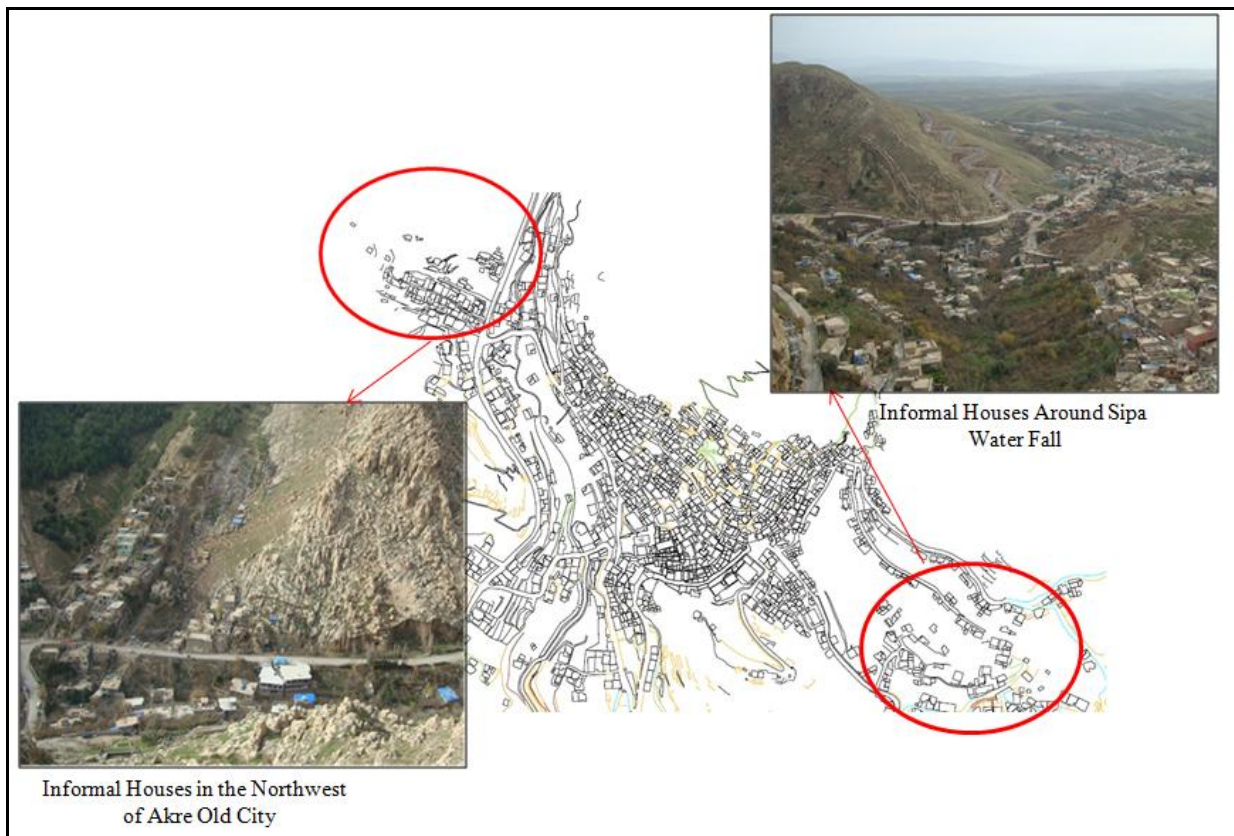


Figure 8-39: Informal houses around the Old City of Akre and Sipa Waterfall  
 Source: Own Constructed Based on Photos, Fieldwork, November 2011

### 8.8.3. Integration of Cultural Heritage and Natural Elements with Other Plans

At this level of analysis it is important to ask at what level are urban heritage sites integrated with the city-planning activities, in terms of socio-cultural, including touristic activities?

Many of the original families left their historic houses, but they are still taking care of their orchards around the historic part of the city. Nevertheless, these houses have not been effectively integrated with the tourism planning of the city at large, and they have not been linked to other touristic sites. The roads that lead to those historic houses are so crowded by cars. Also, no organised sidewalks for pedestrians are provided. In the old Bazar, the traffic in all the roads that lead to the historic part is organised by the police men, though many illegal car parking are recorded. Sipa is somehow the most organised site for tourism, but the access to it is not that easy. Many illegal houses are in the way to it, and there is no available parking place, and the tourist busses park in the main street (See Figure 8-40). Importantly to notice here, that the nearby functions at Sipa are not that harmony with it as a tourist place. Recently, in the vicinity of Sipa, a building designated for condolences have been used, which is not that favorable to be realised around such a touristic site. Sipa waterfall is a governmental property, and it is the only site included in the governmental tourism program, which is a public-private partnership initiative, since it is managed by the private sector. This new governmental program is crucially needed sine the Sipa waterfall is overcrowded by tourists, and the site has no capacity to accommodate a large number of visitors, especially because of the weak public infrastructure.

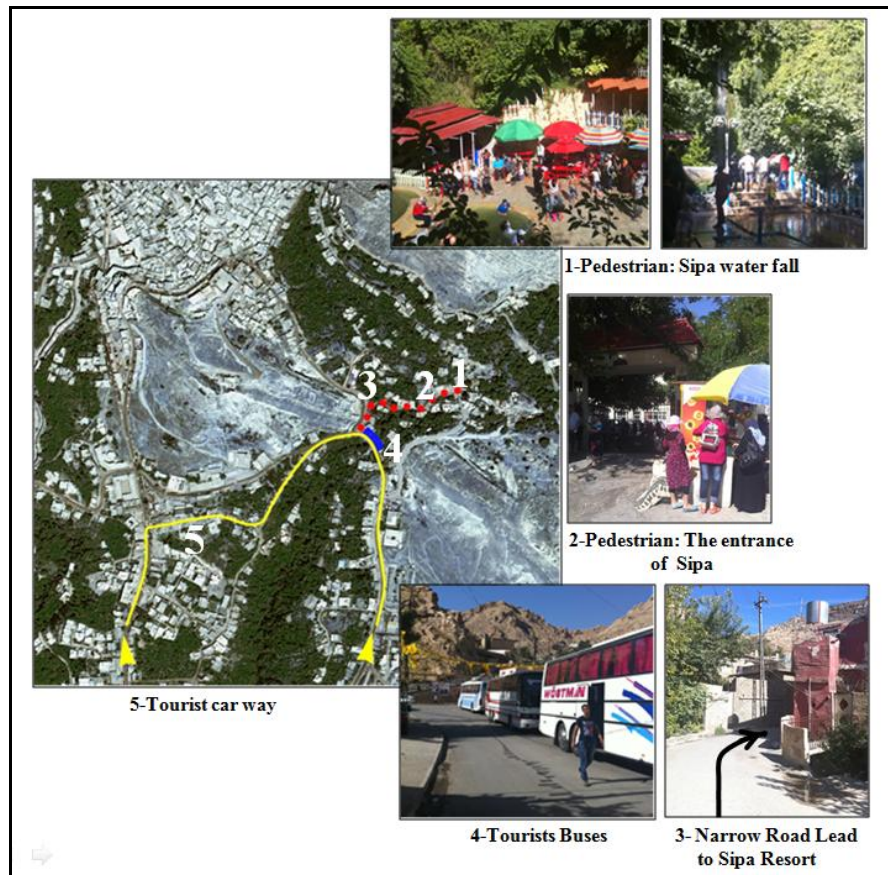


Figure 8-40: Touristic path in Akre city

Source: Own constructed Based on photos, Fieldwork & Aerial Photo, October 2012

To conclude, the physical and functional obsolescence of heritage sites is clearly evident. This is due to many reasons, including: the poor condition of the buildings, and many new houses with new building style and material have been built instead of the old one, affecting the traditional integrity of the old buildings. In addition, the socio-cultural dynamics leading some of the original families have left their historic houses for new dwellers. In the same token, the new master-plan amongst other governmental plans are dealing with the heritage sites as isolated places, which are not integrated with other planning activities or is not used as a valuable touristic resources.

### 8.9. Residents Perception Toward Cultural Heritage and Natural Elements and their Conservation in Akre City

This section discusses the residents perception about heritage as a resource, i.e. what they value and think is important to be protected in the city. Also, it investigates the willingness to partake in the conservation processes, along with their satisfaction about the governmental performance in the related conservation activities. This section is based on a series of structured (face-to-face) interviews with 120 respondents from the policy community of Akre conducted during September, 2011. The sample represents the population both geographically (inside the historic city and outside the historic city – in the newly developed city) and demographically (gender, age – above 15 years). A comparative analysis was conducted on the percentage of respondents' perceptions about the heritage sites in the city of Akre.

The majority of the respondents (94%) considered Akre Castle as a heritage element that needs to be protected. Then 82% and 80% of the respondents considered the Grand Mosque and Sipa Waterfall, respectively as cultural heritage that need to be conserved. Kane Zarke Spring and the historic market received an equal percentage (73%), followed by monuments (70%) and the religious sites of shrines (69%). Similarly, natural sites (mountains, forests, orchards, rivers, and lakes) and the group of historic buildings received the same percentage (63%). Qishla building received a lower percentage (52%), whereas the natural topographic areas and historic urban areas received the lowest percentages (42% and 39%, respectively) (See Figure 8-41).

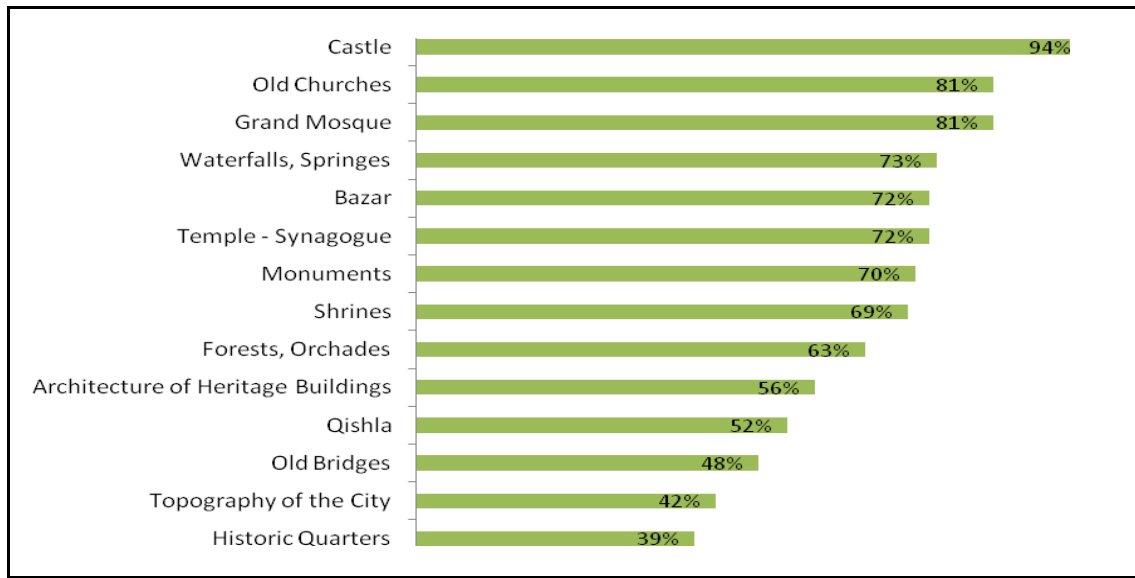


Figure 8-41: Q.: What do you understand/think of as an urban heritage of those listed?

It is evident that the respondents perceived some elements of cultural heritage such as the castle, the Grand Mosque, the shrines, and the old market as important sites because of a variety of reasons, whereas other aspects were perceived with less importance. The castle is an ancient site, mentioned in historical literature, and represents the identity of Akre. The mosque is the largest religious site in the city and is located in the old market area, and therefore is used on a daily basis.

Despite the fact that the Qishla is the largest historic building in the city, it received a low percentage of the respondents' perception as a heritage element. Some of the natural elements were also considered important sites, especially waterfalls, like Sipa, which is the only tourist site that received government attention and services within its interventions since 1980's. Because of that, the residents consider it as a major identity element for Akre. Other sites, namely historic houses and historic urban area were regarded as less important elements, although they are registered on the National List of Archaeological Sites in Iraq in 1970s, just as the case of Qishla. It is to be noted that there is a notable divergence in opinion on the importance of protecting the two sites of historic houses and historic urban areas within age groups. The higher interest in the protection of historic houses and historic urban areas was shown among older groups (above 45 years). This might be interpreted because this group has gained many experiences with these sites in comparison to the younger groups. The ultimate reason for this low interest could be attributed to the low attention paid by the government to these sites in terms of protection. It seems that there have been no adequate programs for raising the awareness of young people about importance of heritage as a resource. There has been lack of development strategies for cultural heritage sites, and of public awareness about the importance of the sites, especially through local media means.

These have negatively reflected on the people (owners of historic houses) interest to keep and protect these sites. These results fit with the findings attained from the author’s observation during the field visits, as it has been noticed that many historic houses were demolished and replaced by buildings of new architecture and materials. The same conclusion could be drawn to the natural topographical sites. Despite of the acknowledgment of the cultural elements as a heritage resource, it is evident that the natural elements are the catalyst for tourism in the city. Analysing the respondents’ answers about what attracts tourists to visit the city, the majority (52%) believed that it is natural heritage, 20% believed natural and cultural heritage, 19% believed cultural heritage, and 9% believed history and traditions (See Figure 8-42).

Most of the respondents emphasised on the importance of protecting the urban heritage as 68% of them thought that the protection is very important, while 26% thought that it is important. Only 3% thought that it is not important while 3% said that they have no idea. The majority of the respondents (92%) list heritage conservation as a priority regardless of the cost while 7% didn’t agree. 16% said that they have no idea (See Figure 8-43).

Regarding the opinion about the authority for protection of the urban heritage in Akre, 67% of the respondents considered this task as a joint responsibility of the relevant government institutions, community (residents), and NGOs. However, 23% considered it as a government responsibility, 7% as residents’ responsibility, 2% have no answer, while only 1% said that they have no idea. Importantly to notice that there are no NGOs specialised in the protection of heritage (See Figure 8-44). These results are supported by the fact that many respondents have already been engaged or expressed their willingness to participate in heritage conservation activities; 69% are ready to participate and 7% are already engaged in such activities, while 6% are not ready. The remaining 18%, who are from the youth age category (15-24 years) did not show time availability for this task (See Figure 8-45).

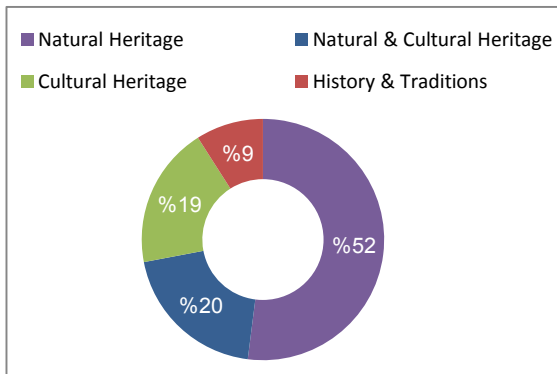


Figure 8-42: Q.: Which of the followings do you think attract tourists to visit your city?

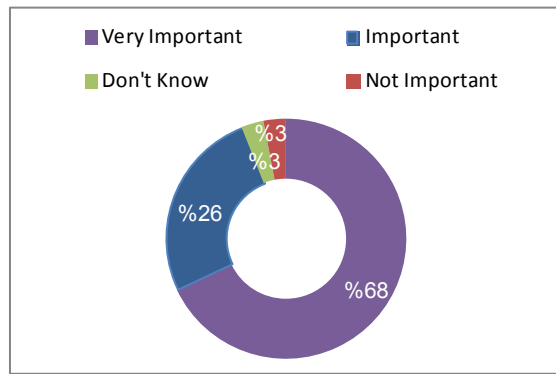


Figure 8-43: Q.: How much do you think protecting urban heritage is important?

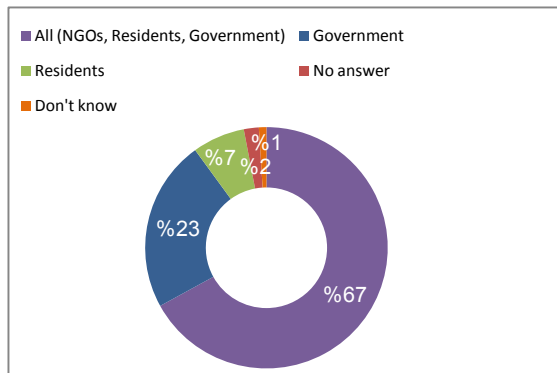


Figure 8-44: Q.: Which of the following actors do you think are most responsible for heritage conservation and management?

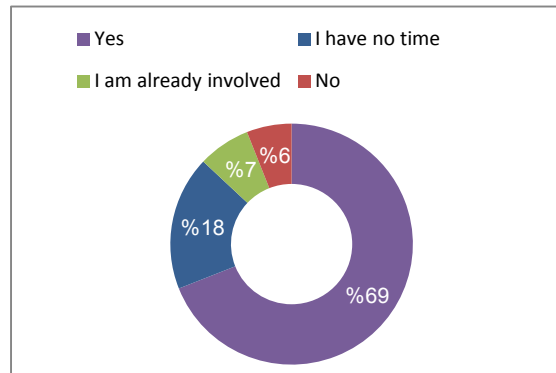


Figure 8-45: Q.: If you are called to participate in any activity that would protect any of heritage sites, would you participate?

### 8.9.1. Residents Perception about Government Performance in the Conservation of Cultural Heritage and Natural Elements

Almost 55% of the respondents said that the government spends a lot of money on heritage conservation, but 28% disagree, while the remaining 16% said that they have no idea. From another perspective, 60% think that the government didn't successfully manage heritage conservation, while 29% did not agree with them, and the remaining 11% were not able to formulate an opinion on this regard (See Table 8-8).

The author echoes the findings attained by the analysis of the respondent's perception about the government expenditure on heritage conservation. Also, it is quite evident that the respondents are not satisfied by the government performance because it started with the restoration of Qishla building, which is not even considered as a very important heritage site by the respondents, mainly because they have negative experiences about this place.

During an informal discussion, an informant who has been born and lived in Akre all his life said: "*Qishla building represents the former Ottoman Empire, a symbol of colonisation. At that place, many of our ancestors were imprisoned, tortured, and hanged. This is our memory with it. Therefore, why the government would like to conserve it? The new generations do not know anything about it because they do not hold bad memory and would never experience our feelings*".

To elaborate more, almost all interviewees admitted that residents are unhappy with the restoration of Qishla. A document from Directorate of Municipality of Akre city revealed that a petition dates to 2005 gathered more than 200 signatures from residents urging the Council of Ministers of KRG to remove the building. In late 2005, the government agreed upon the request, but later on particularly in 2007 the government amended the decision of demolition and started the restoration project. In findings of the conducted interviews with the locals reveal that 69% of which did not consider Qishla as a heritage resource, and accordingly it should not be conserved by the government.

Another reason about the resentment of Qishla's restoration is an economic reason. Many of the respondents think that the site is an obstacle for the economic revival in the city at large as it occupies an important location in the old market area, and therefore it should be eliminated to allow for expansion of the market.

The contradiction between the government stance and the people's attitude creates a conflict between the two sides and even among the people. A final reason is that the people do not think that the contractors who are working on the restoration of Qishla are not qualified enough, and they think that the site is not safe anymore.

In addition, 54% of the respondents believe that the government does not provide the people with access, to information sources about heritage conservation and management. About 37% believed the government is transparent on this regard, whereas the remaining 9% said that they have no idea. The highest percentage of respondents think that the main sources of information and knowledge about the heritage sites are "parents, family, and neighbors" and "indigenous people" at (67%) and (60%), respectively. Then, (38%) and (15%) said that the sources of information are books and TV, respectively (See Figure 8-46). This is an indicator to the fact that parents and indigenous people are the primary source of information on the heritage in Akre. This has been reflected in their answer to the question about the use of local information and knowledge by the government. More specifically, 80% of the respondents have indicated that the government should make benefit of the local knowledge, while another 7% disagreed with this statement, and another 12% said that they have no idea (See Table 8-8).

**Table 8-8: Residents perception toward the government performance in heritage issues**

Statements	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
Urban heritage need to be protected, no matter how much it will cost	55%	36%	7%	1%	1%
The government is already spending too much money to protect heritage	23%	31%	17%	10%	19%
In order to protect urban heritage, the government has to use the knowledge of residents.	34%	46%	6%	1%	12%
The government is successfully managing urban heritage	7%	22%	42%	15%	14%
People access to information resources of urban heritage conservation and management is well established by government	5%	32%	38%	16%	9%

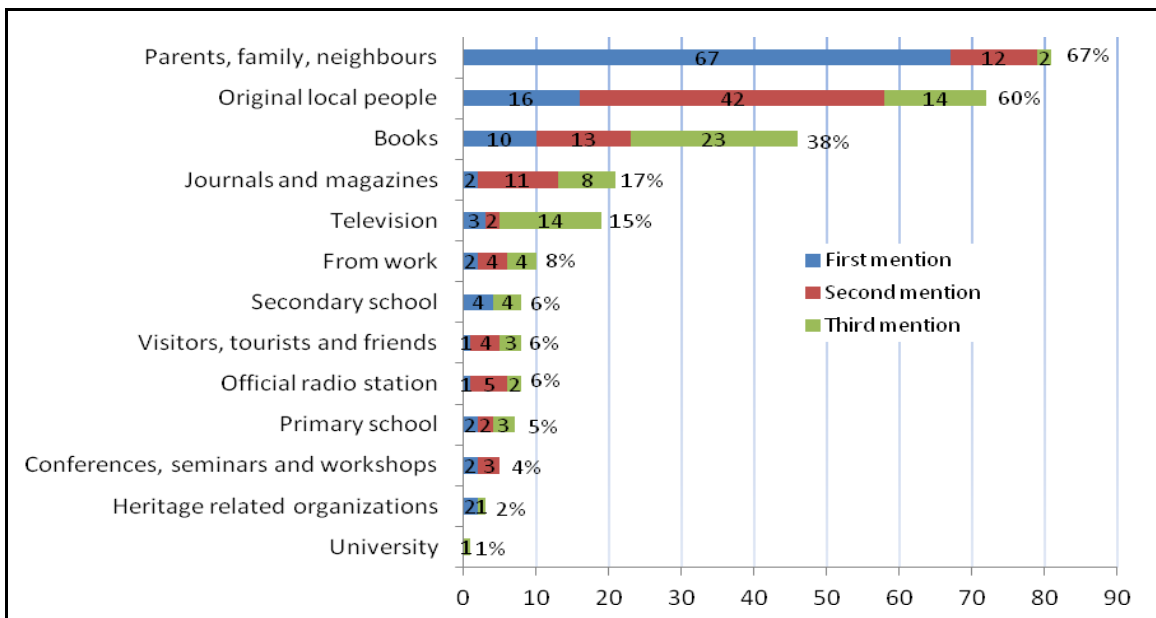


Figure 8-46: Q.: What is the source of your information about heritage?

Almost 84% of the respondents think that heritage conservation is important because it is “keeping our identity”, whereas 80% think it is important to “keeping in touch with the past for future generation” and 79% think it is important as a “pride for our cities/nationality/distinguishing us from other nations.” 77% think that heritage conservation is a source of income from the related tourism activities. Only 3% of the population felt that there is no benefit gained from the protection of the heritage sites (See Figure 8-47).

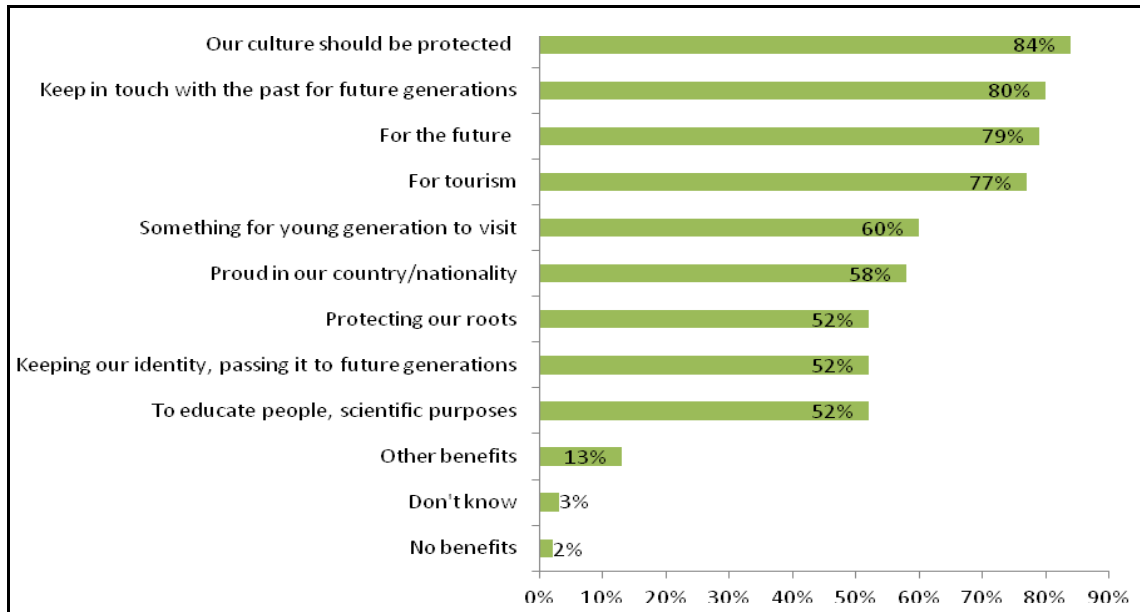


Figure 8-47: Q.: In your opinion why it's important to protect urban heritage?

To conclude, there is diversity in the perception of the residents about heritage aspects, and what should be considered as a heritage. The governmental intervention on this regard still affects the general perception of residents, and this create some contention and conflict between the residents who are not satisfied with the governmental interventions related to heritage conservation, and the government. This conflict is due to the site selection and the methodology (including local economy that excluded the local interest) used by the government, despite the fact that the majority are willing to partake in such conservation activities, who they consider as a priority. Nevertheless, it is important to note that the majority of the residents perceives the heritage sites as source to be proud of before being a source of income. The government also is not utilizing the mass public at large as a source of local knowledge and information.

### 8.10. Integrated Heritage Management in the Framework of Institutional Arrangements in Akre City

The Municipality of Akre city was established in 1877 ([Municipality of Akre, 2012](#)). From its establishment until 1962, the mayor was the head of municipality. While, in 1962 a state decree was issued to appoint the first municipal board for the city of Akre, with the task of providing comprehensive services to the people and ensure proper planning of the city. Based on the [Iraqi Municipalities Law of \(1992\)](#), the municipality of Akre has received rank “First” in 2009, since the population in Akre sub-district is over 75,000 capita. Keeping in mind that in 2003, the municipality has been linked with the Ministry of Municipalities and Tourism in Erbil.

Currently, the municipality council in Akre has eight members elected by people, and has three representative members in the PC at Duhok province level. Also, there are about 320 public officials working in Municipality of Akre in 11 departments. This section addresses the institutional arrangements at Akre level regarding the conservation of heritage resources. This includes the responsibilities, planning to conservation in the everyday practice, and the reconstruction efforts that started after 2003. This would help identifying the level of cooperation and responsibilities among key stakeholders at the horizontal and vertical levels of cooperation.



### 8.10.1. Entrusted Responsibilities

As mentioned earlier in [Chapter 7](#), the structure of heritage conservation and management in Kurdistan Region has a multi-ministerial related organisational structure involving two ministries and one board in KRG. The conservation task is mainly the responsibility of the Ministry of Municipalities and Tourism. However, it is partially shared by the Ministry of Culture and Environmental Protection and Improvement Board in KRG. Following the decentralisation policy adopted after 2003, each of these competent authorities now includes general directorates at province level, which in turn include directorates at local (district) level, i.e. each general directorate has one directorate at local level as the case in Akre.

An exception to this structure is the General Directorate of Constructive Planning and the Department of Environment, which are only available at province level and assume the overall coverage of all locations within the province. At the local level, local directories in Akre including municipality, tourism, archaeology and tradition, and culture are the agencies involved in the conservation tasks (See [Figure 8-48](#)).

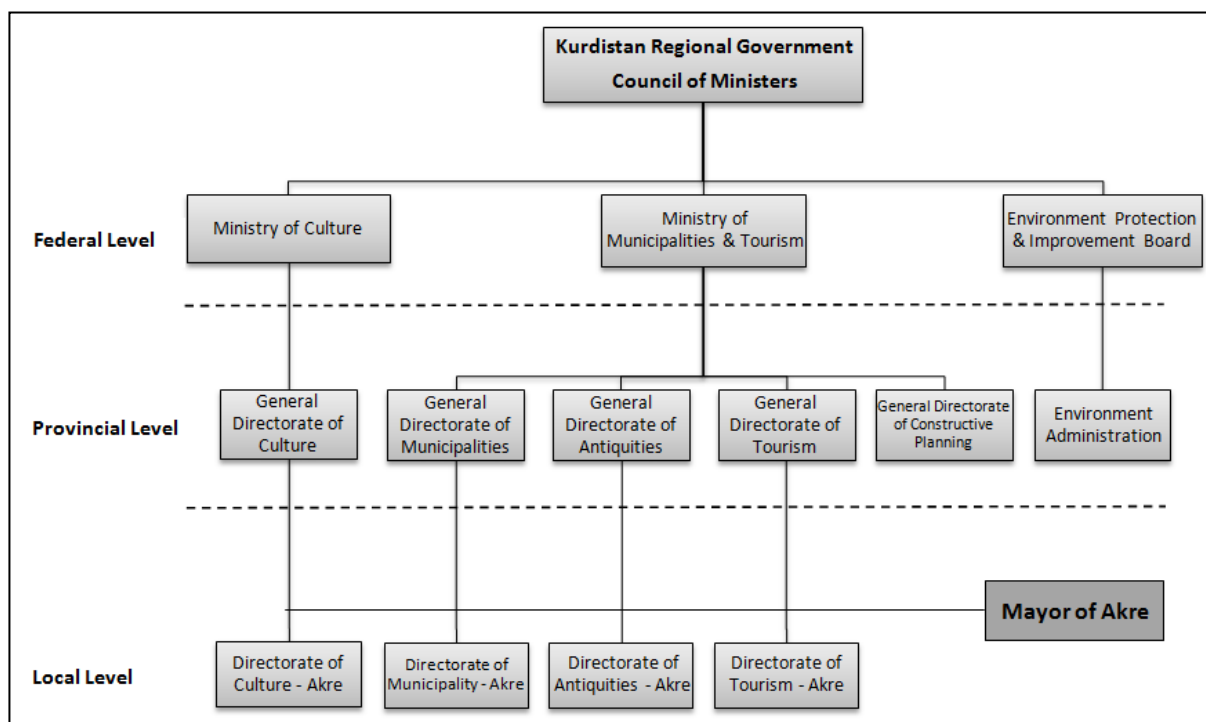


Figure 8-48: Government agencies responsible for heritage conservation and management

Source: Own Constructed, 2013

The activities of the local archaeology department in Akre became more visible in 2010 when funds were allocated for the conservation of many heritage sites in the city with a focus on the sites owned by the government such as the restoration of Qishla building, excavation in the Akre castle, etc. However, the interviews revealed that conservation is the overall responsibility of the General Directorate of Archaeology and its subordinate directorates. Identifying the sites, values, the size of the buffer zones and conservation strategies is usually determined by them. It is important to mention that the National Archaeological List established in 1970 is the main legal instrument that guides the conservation in the heritage sites. More specifically, the directorate uses this List on a daily basis to identify the associated scientific and historical values of these sites, and as indicated earlier, this List lacks any details about the abovementioned details. It seems also that there are no intended initiatives to conduct surveys and documentation for the heritage sites, which might answers why these sites are susceptible to trade off and this is shown in the example of reconstruction

of the Grand Mosque in Akre city in early 1980s, and in the current related examples such as reconstruction of the historic houses.

The involvement of the General Directorate of Constructive Planning at the province level (Duhok) in the heritage conservation is only limited to locating the sites in their plans. And since there are no details about the sites, they are only located in the form of isolated areas, without taking into consideration the sites values and buffer zone. Even in the new master plans, the re-zoning of the old parts of the city did not result in integration with the new development. Also, the General Directorate of Constructive Planning does not have building codes that would control the new developments within and around the old city.

In term of the Natural elements, it seems that the directorate of tourism is controlling the management of sites; this includes the provision of basic infrastructure for the sites, such as: restaurants and hotels, which might devalue the heritage site at the long run. It is evident that the heritage management in the General Directorate of Tourism has been influenced by the policies of the past governments. Since, the directorate of tourism is controlling the management of sites, more structures are built to cultivate the economic benefits, and ignoring the associated values. From another perspective, the role of the directorate of environment is restricted on the ecological aspects, despite the fact that [Articles 32 and 33 of the Environmental Law no. \(8\) 2008](#) dictates that the natural elements are the responsibility of the Directorate of Environment.

For the sites (lands, deposits, etc.) owned by the people, the Directorate of Municipality in Akre is legally responsible to start procedures for acquisition of sites before the archaeology directory embarks on with the conservation works. Usually a technical committee of experts (from different directories) would estimate the cost of the site, and the compensation is made in the form of money cash or in-kind (land). This means that the municipality is responsible for negotiating with the site (including its buffer zone) owners about the possibility and cost of the sites. In fact, this is a difficult and challenging task for the municipality because many sites are owned by more than one person (inherited from more than one generation) or the owners are absent. Mostly, the acquisition process is difficult and time-consuming, especially when the building is in the Bazar area that has high land values.

As per, the General Directorate of Culture in Duhok and its local department in Akre has not been involved in the tangible heritage conservation since they are only focusing on the intangible heritage by law with no integrated efforts to combine the tangible and intangible elements. Almost all interviewed experts have expressed their dissatisfaction with the current status of heritage conservation which has not been a success story so far in their opinion. Some attributed this weakness to the existing laws that restricts the work on heritage conservation. Dependence is only made on acquisition of private sites and that companies are not allowed to be involved in conservation activities although the ministry of municipalities and tourism has recently shown, per some regulations and need, some flexibility in this regard. This is evident in the conservation projects in Akre.

Some others attributed this weak intervention to the low funds allocated for the conservation in contrast to the perception of people; considerable number of interviewed agreed that a lot of funds are spent for heritage conservation, but the government did not successfully administer heritage conservation and management. Some experts attributed the weak intervention to the lack of specialised cadre in heritage conservation, mainly because the heritage conservation was a centralised task administered by the central government in Baghdad in the past. However, most of the interviewed experts attributed the weakness in heritage conservation to lack of awareness and understanding of the heritage values among the people. Nevertheless, most (94%) of the interviewed residents regarded heritage conservation as an important issue, and 69% expressed their willingness to participate in the conservation activities.

The cooperation and coordination among agencies involved in the heritage conservation have reached an acceptable level as viewed by some interviewed experts. The two aspects of cooperation and coordination include exchange of information and expertise, consultation, and joint supervision. Among the examples are the reconstruction project of the historic houses, where the involved governmental bodies, namely: archaeology, tourism, and municipality have set the pertained standards, and gave the mandate of implementation to the municipality for the first time. Importantly to mention is that during the implementation phase, the owners were complaining that there were no enough technically competent personnel to help in the reconstruct of their houses, they have asked the government to reconsider the list of prerequisites and conditions for having the fund, and consequently they tried to neglect some of the standards.

The municipality did not try to enforce the full implementation of the standards, and this has resulted in a conflict with the archaeology department. This indicates that there is a need for more communication among the stakeholders. In addition, many of the infrastructure projects have been amended on site when new heritage sites have been found. This also entails that there is a need for more cooperation and communication among the key stakeholders, especially at the horizontal level. The existing public-private partnership and Investment Law No. (4) 2006 majorly targeting the natural sites, like the construction of new restaurants and facilities. It is to be noted that 0.63 km<sup>2</sup> of land have been allocated in Akre for the recreation projects in support to the natural sites there. Yet, some interviewed persons believed that there is corruption in controlling such lands; one said “*partnership is a good approach but it is misused through corruption*”. The partnership is seen to be more feasible if it is between the government and the investors, but it is more difficult when the land is privately owned. This is because it is difficult to reach a level of understanding among the government, people, and investors, especially in the tax free context of Kurdistan.

### **8.10.2. Level of Participation and Potentials for Stakeholders’ Collaboration**

Participatory decision making has been practiced in Kurdistan Region with the freedom from the tyrannical control of the former central regime of Iraq and advent of international humanitarian organisations after 1991. For example, the agricultural program under UN Security Council Resolution 986 “Oil-for-Food”, implemented by Food and Agriculture Organisation of the United Nation had involved vulnerable groups in the rural areas in participatory decision making for the prioritisation of their needs and identification and selection of appropriate small-scale rural development projects, in early 2000s.

As regards the participation modes for the urban areas, the [Municipalities Law No. \(1992\)](#) stipulates that the directorates of municipality at local levels are required to publicise for a period of two months, through newspapers, the draft master plans developed for the respective cities by the General Directorate of Constructive Planning. During that period, any public objections or suggestions can be submitted in writing to the directorates of municipality. A joint technical committee comprised of members from the two directorates receives and reviews such objections or suggestions and considers those which deem valid and feasible. Most of the interviewed indicated that there is a sequence of discussion phases in cooperation between the federal and local levels in this regard. However, this mode of “participation” involves obstacles especially during the implementation of master plans, as it often receives objections from the public. It has happened sometimes that (some) people in the beneficiary cities claim that they have not been informed about such master plans through the newspapers. After the governmental reforms in 2005 in Kurdistan Region, the public participation in the decision making process in the urban areas has been enhanced and started to result in new modes, such as seminars and meetings. For example, within the project of the

conservation of historic houses in Akre many meetings have been conducted with the owners of sites, in addition to the involvement of some mediators like elder men to negotiate with the owners, for the purpose of reaching a mutual agreement. The discussion resulted in new solutions, else than the acquisition, like the possibility for the owners to keep their properties. Also, the discussion addressed the money installments and the ways they should be delivered by the government to the owners to reconstruct the properties by themselves within certain standards.

However, consultation about the master plan of Akre was limited to a series of meetings with representatives of the relevant directories. Nevertheless, the interviews with the experts revealed that not all directories were involved in this process. One of the main directorate representatives was not even formally invited for the related consultation meetings about the master plan development, but he was invited informally based on his relationship with one of the directors. Yet, almost all interviewed experts showed their willingness to participate in any heritage conservation initiative that could improve the performance of their departments. This interest is high when such initiative is carried out by a scientific authority such as a university or an NGO.

### 8.10.3. Reconstruction Efforts

Between the years 1998 to 2012, the Municipality of Akre distributed more than 6,900 piece of residential lands on the members of the families of the martyrs, and militants, governmental employees, refugee and those with special needs. Work is still ongoing in the city of Akre for implementing large number of projects by investors, most notably the construction of entertainment city on an area of 80 acres, in addition to the construction of a tourist village on the area of 40 acres, building a tourist hotel on an area of 15 acres, in addition to building a public park on an area of 20 acres. The municipality also allocated more than 250 acres of land for housing projects (government and private) which are under construction that include apartments and houses according to modern designs. Another 2000 residential houses were designated for displaced Christians. The municipality is also planning to allocate more land for these housing projects within its new urban construction plan. Akre municipality has a plan to build waste treatment factory which will be ended by late 2013 which has the capacity to treat around 400 tons of waste per day. The Ministry of Municipalities and Tourism of KRG allocates about 9 million USD annually for the Municipality of Akre. More educational institutes have been recently inaugurated such as Akre Technical Institute in 2000 and Basic Science and Education Department of the University of Duhok in 2009. Between the years 2007 to 2012, the following projects have been implemented in Akre City (See Table 8-9).

<b>Table 8-9: Reconstruction projects in Akre</b>	
<b>Project</b>	<b>Unit</b>
Paving the street (stabiliser and builder)	270 000 m <sup>2</sup>
Paving streets by reinforcing concrete	48 000 m <sup>2</sup>
Construction of prevalent walls of stone, cement, and sand	24 000 m <sup>3</sup>
Establishment of sewage	22 000 Meter L.
Open and furnishing street with mountainous gravel	60 000 m <sup>3</sup>
Lighting the main street	22500 m
Establishment of public parks and main street sidewalks	31 000 m <sup>2</sup>
Pavement of sidewalks	90 000 m <sup>2</sup>
Source: Municipality of Akre, 2012	

The number of buildings for governmental and non-governmental agencies is 112 buildings; 32 of which were built before 1991, and remaining 80 governmental buildings have been constructed by KRG. Surprisingly, most of them have been built on strategic places on the top of hills (in front of the old city), which should have been instead utilised for touristic purposes. As evident, the reconstruction efforts only focused on the basic infrastructure with little focus on the heritage conservation that had been considered only recently since 2010 in the government reconstruction efforts. Ministry of Municipalities and tourism in 2010 started allocating 200,000 USD per year for the process of protection and maintaining of the historic part of Akre.

The municipality recently urged residents to rebuild the historic houses and give them nonrefundable money. If we want to evaluate this initiative, we could conclude that it had negative impacts on the overall conservation efforts. Nevertheless, this initiative has helped the owners to keep living in their houses, without the need to use other more costly tools such as acquisition. Ultimately, the methodology used was not effective enough to make the conservation efforts a success story.

### **8.11. Conclusion**

The city of Akre is endowed with a rich natural and cultural heritage. These resources are partially documented on the national list of archaeological sites in 1970. Since then it has been neglected and only a handful of the cultural sites were pinpointed. The interaction among the main natural and cultural heritage sites is unfortunately weak, and this becomes more problematic since the national list did not fully elaborate on the details of these sites, including border of the old city, buffer zones of sites, and sites significance (values). The physical and functional obsolescence of many heritage sites is clearly evident. This is due to many reasons, including the poor conditions of the buildings, and the socio-cultural dynamics, where some of the original families have left their historic houses for new dwellers, also because of the demographic changes in the region at large. The governmental policies have also facilitated the legalisation of the violations on the cultural heritage and natural elements, such as redistribution of plots, and legalizing the informal houses. In the same vein, the new master plan for Akre city amongst other governmental plans are dealing with the heritage sites as isolated places without giving any guidelines for their integration, even in the rezoning of the old city. These governmental plans referred to the conservation only as a general policy or recommendation.

There are differences in the perception of the residents about heritage aspects, and what should be considered as a heritage. The governmental intervention on this regard still affects the general perception of residents, and this creates conflict between the residents who are not satisfied with the governmental interventions, and the government. This conflict is due to the site selection and the methodology that not considering the local economy, despite the fact that the majority are willing to partake in the conservation activities. Nevertheless, it is important to note that the majority of the residents identify themselves with the heritage sites and they are proud of it. Hence, their attachment to heritage site is more of emotional than simple economic significance as part of their identity. The government also is not utilizing the mass public at large as a source of knowledge and information.

The responsibilities related to heritage conservation are fragmented, and generally they are shared by different agencies. The law especially Antiquity and Traditions law No. 55, 2002 has identified significant role in integrated conservation, along to cooperation and coordination among the related agencies. On the other hand, in practice, integrated conservation method is facing many challenges and setbacks. For instance, there is lack of understanding sites values and inappropriate methodology used to identify collective values.

These challenges are affecting the overall success of the conservation plan and its integration with the other plans. For instance, the government might have been successful in initiating the reconstruction project to restore historical buildings in Akre without using costly tools such as acquisition. Still the methodology used was not effective enough to make the reconstruction project a success story, since it was not based on a detailed survey and understanding the sites significance. In conclusion, this means that it needs more enforcement of laws and more cooperation, coordination, and communication among all stakeholders.

Furthermore, in the preparation of the master plan there was no enough involvement of the residents and other stakeholders as has been clarified from the interviewed experts. As evident, the reconstruction efforts only focused on the basic infrastructure without giving due attention to the heritage conservation. Heritage conservation is considered only since 2010 and even the government policies do not provide an integrated approach in conservation and management of cultural heritage. Even though, the integrated approach is the key for sustainable development and conservation.

## Chapter 9: Analysing the Current Condition and Recognition of Urban Heritage in Amedy City

### 9.1. Introduction

This chapter addresses the second unit of analysis in this doctoral research that is the historic city of Amedy. The chapter addresses the valuable cultural and natural potential of Amedy city, along with the many characteristics that shape the city in terms of physical, socio-cultural, economic, and environmental dimensions, to understand the level of integration of these potentials in the daily practices of the residents in Amedy. In the same token, the main challenges that face the city in terms of population growth and the changing character of the socio-economic dynamics, along with the overall weak planning capacity to preserve the natural and cultural heritage in the city and its environs are all discussed and analysed within the framework of this chapter. Also, this chapter analyses the local perception towards cultural heritage and natural elements conservation in the context of Amedy. Finally, the chapter at hand addresses the institutional arrangements of heritage conservation in Amedy.

### 9.2. Location of Amedy, Geography and Other Physical Characteristics

Amedy district is another important district of Duhok province, and it covers a wide geographical area in the farthest north-western part of Iraq at the border with Turkey. It has an estimated area of 1413 km<sup>2</sup>. Before 2003, when no issue of the disputed areas between KRG and Iraqi central governorate present, Amedy was the largest district of Duhok province represented approximately 25% of Duhok province area. This district is comprised of six sub-districts: Amedy, Sarsink, Chamanke, Bamerne, Kanimase, and Deraluk, in addition to 286 villages. The historic city of Amedy functions as the administrative centre of Amedy district, as well as Amedy sub-district (See Figure 9-1).

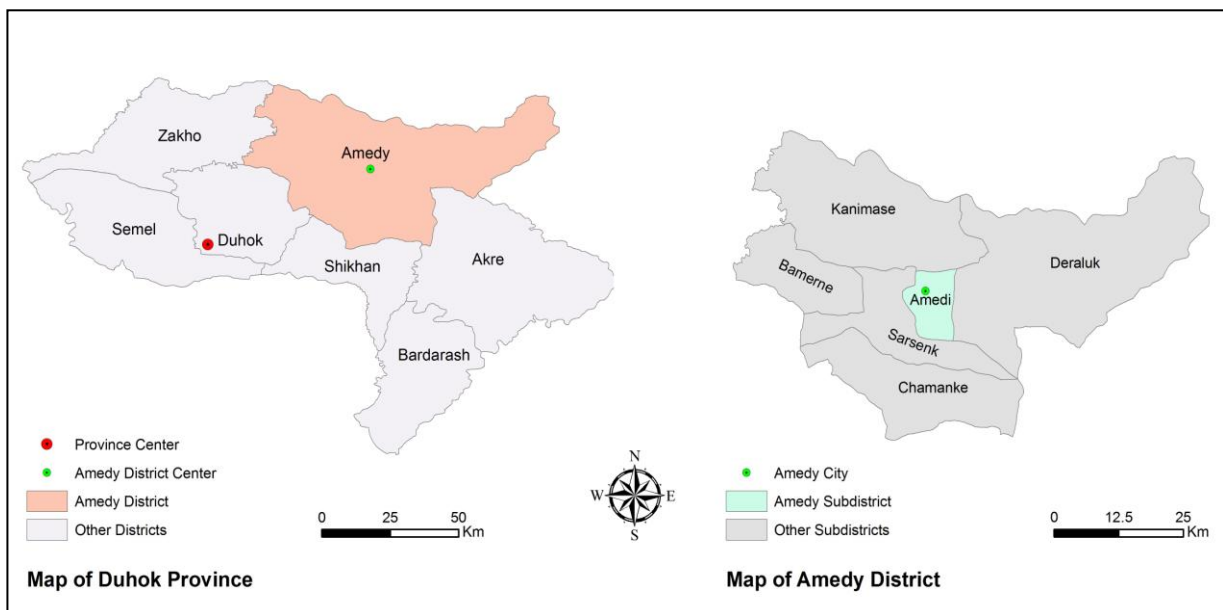


Figure 9-1: Amedy in the context of Duhok Province

Source: Own Constructed, 2013

The whole district, including the historical city, is located in the Tigris River plain in the Sepna and Gomel River valleys. Amedy city is located on latitude (37°5'36" N) and longitude (43°29'14" E) and about 381 m above mean sea level. It is situated about 17 km from the northern Turkish borders, 550 km north of Baghdad, and 70 km from the city of Duhok.

The city is embraced by two mountain series – Mateen from the north and Gara from the south. The northern Mateen range (about 3,200 m above mean sea level), and it extends to Rawanduz area and farther to the Iran Range towards the east. The southern Gara range (about 2000 m above mean sea level and 25 km in length extending to Zakho city) (See Figure 9-2).

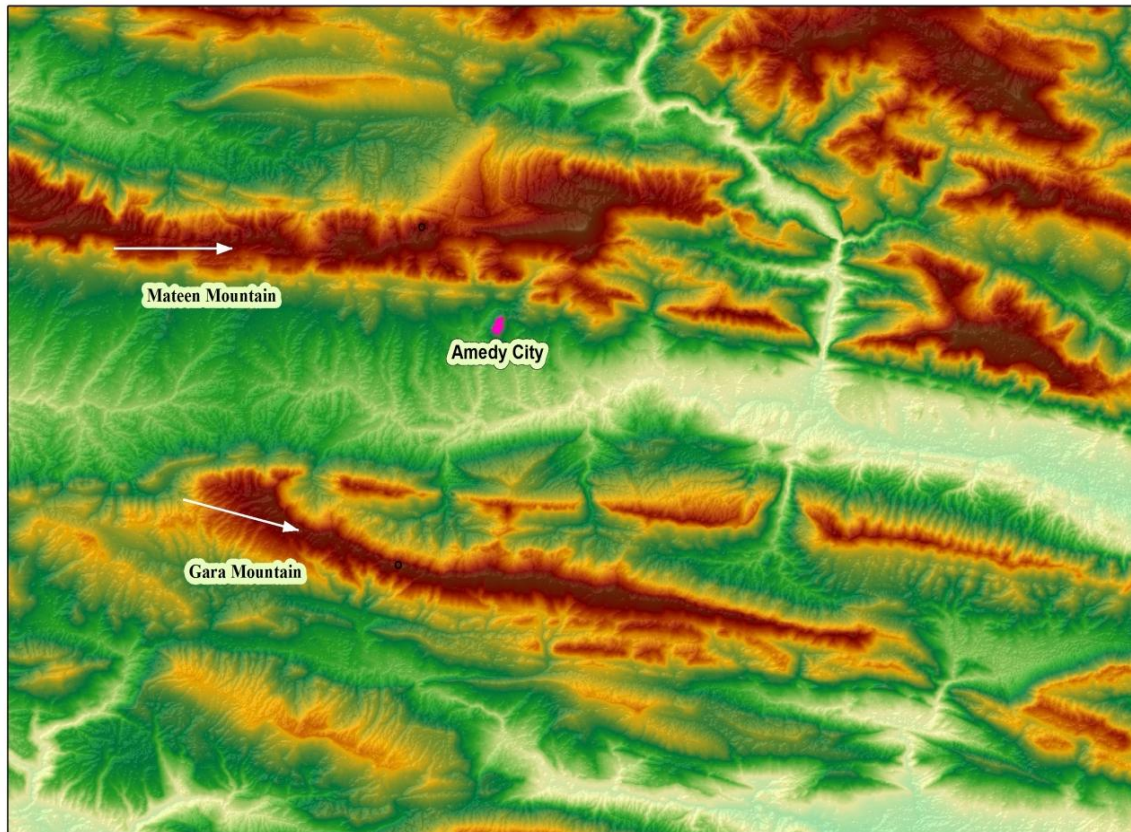


Figure 9-2: Landscape around Amedy City  
Source: Own Constructed, 2013

### 9.2.1. Natural Landscape of Amedy City

Amedy district has a special landscape that is composed of different land form elements such as: mountains, hills, valleys, in addition to small rivers and streams, along with forests, fruit orchards that stand at more than two-thirds of the total area of the district. These water courses drain into Great Zab, Khabour, Lesser Zab, and Serwan rivers, which are the main tributaries of the Tigris River.

Amedy historic city has an elliptical shape and spans over a hilltop plateau. It covers about 1 km<sup>2</sup> (500 m width and 1000 m length). The north-eastern edge of the city is oval in shape too and is slightly higher than the south-western edge by about 50 m. The city is higher than the surrounding areas by 90-100 m. The lower areas (hillsides) that surround the city are covered by forest trees and shrubs and the lowest farther areas (valleys especially in the north and the north-west) contain a heavy density of fruit orchards (See Figure 9-3).



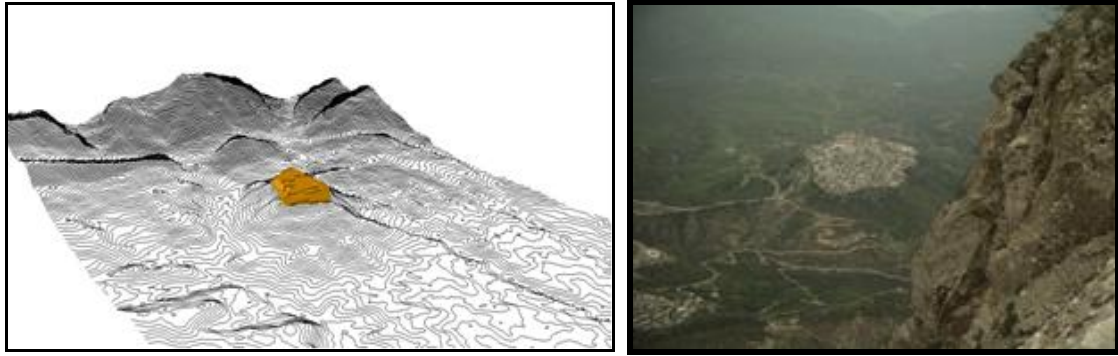


Figure 9-3: Land form around Amedy City

Source: Own Constructed, 2012, Photo from Amedy Culture Centre, 2007

These natural characteristics provide the city with a fascinating panoramic view that is visible from two sides – within a distance of 10 km along the road that leads to the city from Duhok city at the west and also within a less distance along the opposite portion of the road that leads to the city from Erbil city at the east see (See Figure 9-4). It is enclosed by valleys and plains surrounded by mountainous ranges that is heavily forested.

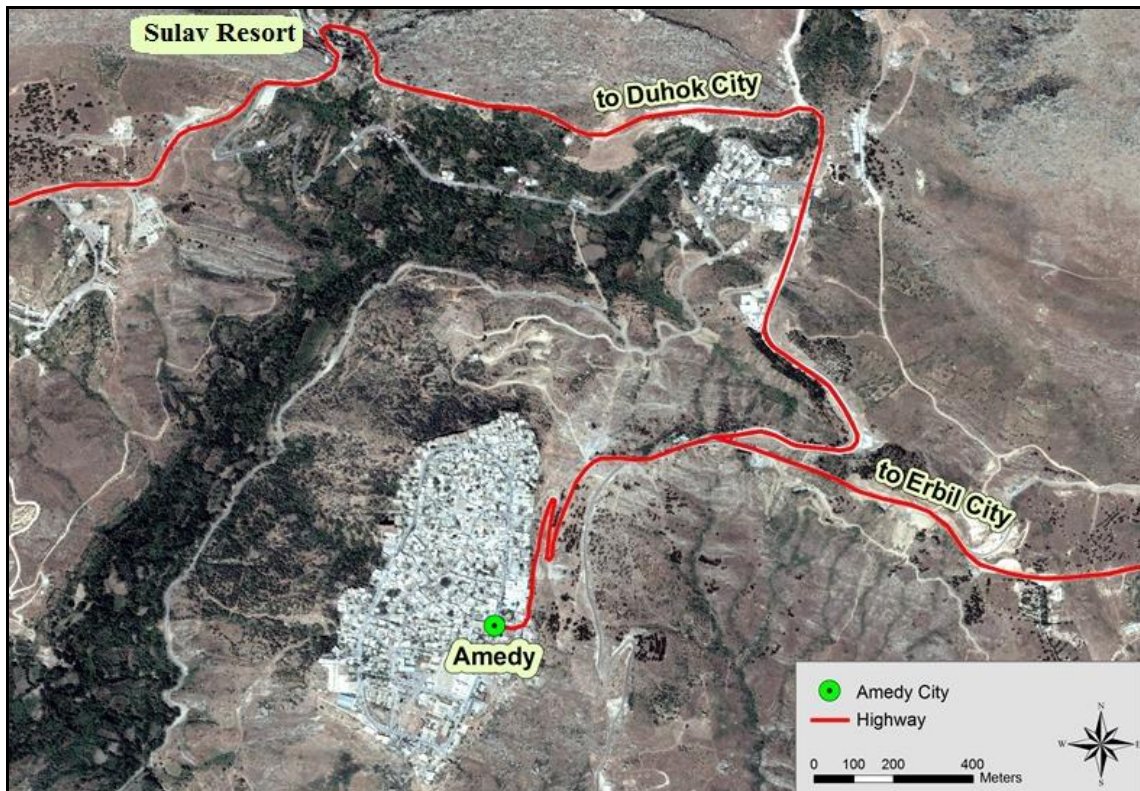


Figure 9-4: Main roads to Amedy city

Source: Own Constructed Based on Fieldwork, 2011 and Google Satellite Image of Amedy, 2011

Gara Mountain in the south is very difficult to access, and it separates Amedy district from Mizuri region. While, the northern range, Mateen Mountains which end in Rawanduz, separates the plain of Amedy from the extensive valley of Barwari and is regarded as a natural border with Kanimase region. Peaks within Mateen range rise to more than 3200 m. More than half of the district area is natural forest (See Table 9-1).

District area	Suitable Area for Agriculture	Natural Forest	Artificial Forest	Build up area
1413	218.5	729	3	23

Source: Own Construct Based on Database of Duhok General Directorate of Agriculture, 2012

Mateen range is closer to the city and is characterised by ridges that have valleys in between. Many water streams from rain and melt snow are main water sources that run through these ridges and valleys. Two streams flow from this mountain at the north and pass down the plateau on both eastern and western sides. The course of the stream at the east was diverted in 1936 when the car access road to Amedy was first constructed. It was extended to join the other stream that still flows as a waterfall through the higher Sulav valley irrigating the fruit orchards that stretch across the valley. The water of the two combined streams is also used to irrigate the fruit orchards along the northern and north-eastern external strips of the city. Sulav is among the cluster of distinguished resorts in Amedy District such as: Sarsink, Enishke, Swaratuka and Ashawa (See Figure 9-5) that have always been included in the development of tourism plans at the national level since the previous regime period. Therefore, this district was used as a resort with splendid mansions by successive Iraqi rulers such as palace of King Faisal in Sarsink and many other various palaces of Saddam.

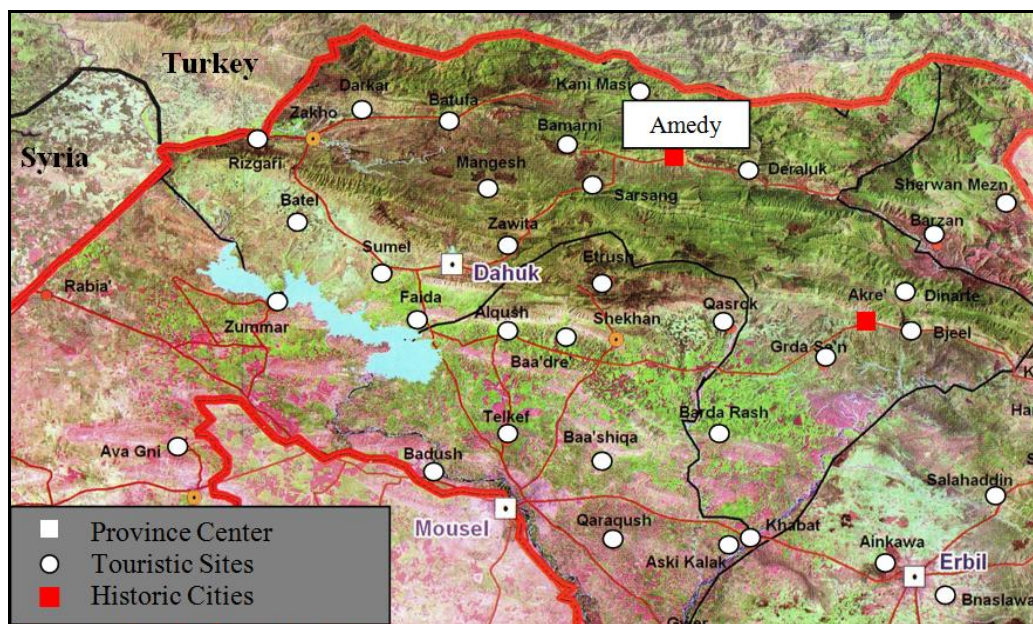


Figure 9-5: Touristic sites around Amedy historic city

Source: Ministry of Municipality and Tourism-KRG, November 2011

The waterfall and the heavy density of vegetation in Sulav make it a summer resort that is well known at national level attracting large numbers of tourists not only from the country but also from outside especially from the Gulf countries since mid-1980s.

The distinctive and impressive shape and location of the city together with the two surrounding mountains adds a fabulous and unique landscape that act as one of the criterion on which the city is nominated for inclusion in the World Heritage Tentative List (more specifically based on criteria (vii)). Another natural criterion that supported the nomination of Amedy in the World Heritage Tentative List (more specifically based on criteria (viii)) is the spectacular geological processes of the city formation (See Ismael, 2009) (See Figure 9-6).

Amedy city is located on a contiguous limestone bed of elliptical periphery that forms sharp cliffs on top of the high plateau. The limestone bed belongs to the Pilaspi limestone formation of the Eocene age. The city was originally part of Mateen Mountain that was separated and settled far away as a result of geological processes which formed an elliptical rocky hill (Numan, 1979) (See Figure 9-7)

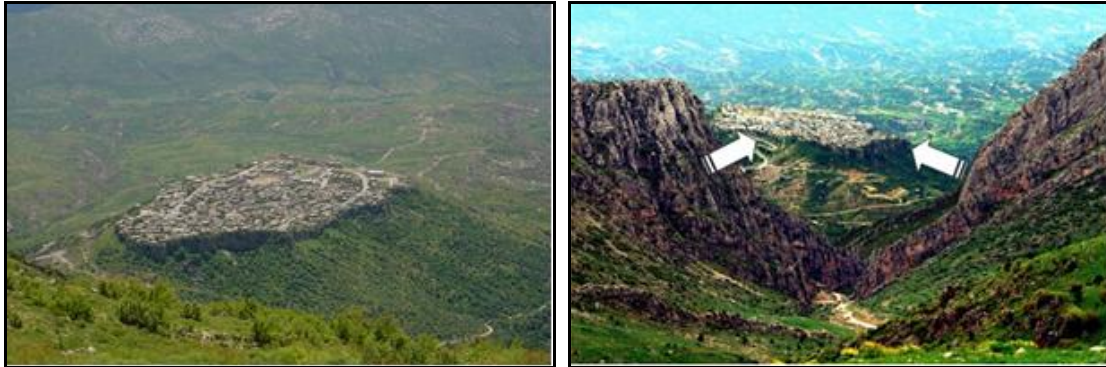


Figure 9-6: The impressive location of Amedy

Figure 9-7: Geological formation of Amedy City

Source: Amedy Culture Centre, 2007

This special shape gave the city a natural defensive position throughout its history (Sissakian & Fouad, 2011). Amedy plain is drained by the Gara River which flows eastward into the Great Zab. Likewise, the ground water is abundant in Amedy city and the surrounding areas, and there are some still exists.

### 9.2.2. Climatology of Amedy City

The mountainous nature of Amedy landscape and its location make its climate extremely pleasant compared to the rest of Duhok Governorate, the Kurdistan Region, and Iraq. The weather in Amedy fluctuates quickly. Nevertheless, Amedy's climate tends to be moderately hot in summer and cold in winter. The summer period (June, July and August) is dry; the temperature averages 17-22 °C at night and 34-38 °C during day time. The temperature in winter period (December, January and February) drops to 5 -7 °C at night and 5-12°C during the daytime. This period is often snowy and in some years the snow accumulations can exceed one meter, which provides the area with spectacular sceneries. The annual precipitation amounts to almost 800 mm. The spring season (March, April and May) and fall season (September, October and November) periods are short but more pleasant. However, snow still remains on top of mountains around the city during spring and it completely melts away by early May.

The local residents celebrate disappearance of snow through an annual festival (known as *Bare Sile*) at the beginning of May. The *Bare Sile* festival is a tradition which involves picnics, camping (for 1 night), and hunting in the extreme northern part of Amedy on the slopes of Mateen Mountains - 2 km from Amedy city (See Figure 9-8). Mineral water springs and beautiful scenery characterises this area. This tradition has been carried out since the Bahdinan Emirate (1300-1843). It is also enjoyed by people who visit the area from different parts of Kurdistan.



Figure 9-8: Bare Sile site in Mateen Mountains

Source: Own Constructed Based on Google Satellite Image of Amedy, 2011

It rains abundantly in winter, spring and fall. The climate of Amedy is characterised by higher precipitations in winter and abundant rainfalls and nourishing of large numbers of springs, in addition causing the rise in the water level of rivers and streams during spring season. While, spring and fall days are moderate and pleasant enough to explore the landscape. The summer days are longer and warmer but they more moderate compared to other areas of Iraq. This accounts for the attraction of large numbers of tourists to this district especially Sulav.

### 9.3. Historical Epochs of Amedy City

More light is needed to be shed on the most important historical stages through which Amedy city passed over. According to [Ismael \(2009\)](#) the main historical epochs of Amedy could be presented in the following 7 stages:

#### I. The First Stage

This stage covers Amedy history since the 8<sup>th</sup> millennia BC based on the archaeological borderlines between the components of the natural castle and the caves, which surround the city and in the mountains and villages of the region, and other remaining archaeological components in the rest of Iraqi- Kurdistan whether in Erbil or Sulaimaniyah Governorates. This is an early historic stage. Amedy is the nearest city to Shanidar cave ([Ahmed & Rashid, 1990](#)).

#### II. The Second Stage

This stage ranges between the 4<sup>th</sup> millennia BC and 1<sup>st</sup> millennia BC. This is the stage, which was characterised by early historic emigrations of people known as Indo-European from middle Asia. It seems that Amedy city and region were among the important early settlement centres for some of these nations. Some historians consider that Amedy city was well-known as a developed or backward political or administrative centre for Kurdish peoples like Gotty or Lullubi ([Ahmed & Rashid, 1990](#); [Ahmed, 2003](#)).

### III. The Third Stage

This stage starts in the first millennium BC and ends with the concentration of Medes in Amedy that was called as a capital for their kingdom or probably a base for financing their armies, which were sent into Nineveh. It was mainly characterised by the control of Assyrians over Bahdinan Region including Amedy and making it an early warning base and a fortified borderline city against their enemies in Iran and Annapolis (See Figure 9-9). The scientifically recorded early history of Amedy dates back to the 9<sup>th</sup> century BC when Assyrians led by Assur Daten Leli, brother of Assyrian King Shams Aded Nerary the Fifth (858-824 BC) and his son King Aded Nerary the third (805-782 BC) captured it, and wrote down its name as "Amadi and Amad". The word "Amad" is also mentioned in the writings of new Babylonian Period. Amedy was known with the same name used by the Kurds nowadays, and confirms what many historians and writers concluded. Taha Baqer, an archaeologist reassures the existence of this town by saying "*Amedy is the greatest and the most ancient stronghold with a rank rising to the level of Assyrian State period*" (Shaker, 2008). Lesterenge (1954) and others observes that Amedy is much ancient as indicated in the Assyrian scriptures, and yet it is much more ancient than Nineveh. Maye and Fattah explain that the word "Amedi" is derived from "Avahiya Medea", which means the capital of the Medes. The word converted to "Amedy" with practice (Al-Maiy, 1999). However, the Medes ruled Amedy, which became a subordinate for them after they overran Nineveh in (612 BC). Unfortunately, there are no historical signs or remains that refer to the settlement of the Medes in Amedy. This probably because those who took over the city might deliberately erased all the marks pointing out their state, and that all archaeologists did not set aside the connection of religious symbols engraved on the arch of Mosul Gate to the Medes (Al-Barwary, 2002).



Figure 9-9: Amedy City at top of hill

Source: Amadi. 2012

Amedy city is considered to be one of the oldest cities in the world. The oldest written record belongs to the 9<sup>th</sup> century B.C, namely in the region of the Assyrian Emperor "Adid the fifth" who ruled between 832-810 B.C. Amedy's name was "Matt" at that time. This city was occupied by the Assyrian Emperor's brother named "Ashur Datin Eily". Most of the historical accounts give the name "Amedi" to the city when it was transformed to an important military strategic centre of the Kurdish Medean Empire which extended its domain to the Bahdinan Region in the 8<sup>th</sup> century B.C. The Medeans collaborated with the Babylonian and Chaldean kings further south to put on end to the Assyrian domination in 612 B.C. Amedy become the second capital of the Medean Empire after the main capital "Alsabetana" in the Hamodan Region in Iran. The name Amedy is derived from the name of the Medean people. This name is still used today for the city and its inhabitants. Several religions revealed in Amedy, namely Mathrian, Zoroastrians, Judaism, Christianity, Islam.

#### **IV. The Fourth Stage**

This stage is directly related to the Parthian (148 BC – AD 226), and it starts with their appearance and control over Iran, and stretches into Bahdinan namely Amedy, which was considered a major military city for that state with the task of protecting the strategic roads, which passed through it into Iran and Arabian Iraq. These Parthians left behind archaeological sculptured statues on the western Amedy Wall, 10 meters from Mosul Gate. These statues represent sculptures of Parthian fighters bristling with arms and bearing signs of bravery and victory (Al-Barwary, 2002; Baqr & Sefer, 1966).

#### **V. The Fifth Stage**

This is the stage of the Sassanian occupation. It starts with the fall of the Parthians (AD 226), and ends with the advent of the Islamic armies and the collapse of the Sassanite state (AD 637). What characterised this era that extended for four centuries is that Amedy region in general and Amedy city in particular were given a Zoroastrian (the main religion of Sassanians) character. This is highly evident in the remains of the Fire Temples scattered in the region especially inside Amedy Castle itself where there are still remains of the Zoroastrian temple (Kora Serege) with an origin going back to that period of history. In addition, this stage witnessed a doctrinal and civilizational struggle between Zoroastrianism and Christianity in Amedy city and outskirts, and consequently this vital influence impacted the nature of social structure of Amedy for a prolonged long period (Baqr & Sefer, 1966) and (Al-Findy, 2001).

#### **VI. The Sixth Stage**

This stage was known by researchers as the "Medium Age". This stage was a relatively a long stage compared to other stages. It began with the fall of Amedy city and its inhabitants under the Islamic jurisdiction, which started in AD 641 / 20 AH when all the Kurdish cities situated to the north and north east of Mosul under the Islamic control and ended in AD 642 / 21 AH. Amedy was

Following the completion of the Islamic control, Amedy had a great share in the region events starting from the Ummawiyyed period (41-132 AH). It was a shelter for many opposition movements against Ummawis due to its well-fortified location and rugged roads that were hard to access by armies, which exerted a lot of efforts and capabilities to control this city. After the collapse of the Ummawiyyed state and rise of the Abbasid state (132-656 AH), it was natural that Amedy city joined the new political system, which made Baghdad as the new capital for the Caliphate in lieu of Damascus, Anbar or Kufa. Thus, Amedy was connected through its emirs and military leaders to the Abbasid Caliphate, which was directly ruled by Caliphs through their vicars until 4<sup>th</sup> century AH / 10<sup>th</sup> century AD. This is the era when Baghdad was occupied by the Buihhins in 334 AH. Some historical evidences point out that the Persian Buihhins had taken over almost all Kurdistan Region before their arrival in Baghdad. Amedy was one of the strategic cities occupied by them, and also was made as a military base for their forces in the region (Hrory, 2005). The Buihhins control over Amedy continued until they were defeated by the Seljukians who entered Baghdad in 447 AH. The Seljukians dispatched their armies to occupy other areas including Amedy and assigned deputies there.

With the appearance of the Seljukian Attabics System in that era, Imad Alddin Al-Zengi founded Mosul Attabic in 521 AH, and in an endeavour to expand the Attabic jurisdiction, he launched a wide-scale expansion movement in Kurdistan and controlled many Kurdish cities. Amedy was included in his capturing strategy in 537 AH, and he occupied it and assigned a deputy there, known as Nasiraaddin Ja'far (Ibn Al-Athir, 1982).

Some historians ascribed the name of the city as it is called "Al-Amadiyah" in Arabic to Imad Alddin Al-Zengi (Al- Damalogy, 1999). Under the mandate of this emir, many Amedy inhabitants stood against many of his aggressive aspirations and opposed the Seljukian rule in many events. Amedy became one of the cities over which the emirs of Attabics competed. However, whoever firmly controlled Amedy, it became easy for him to control the cities and roads leading to Zuzan Region, located to the north and north west of Amedy, inside Turkey currently (Huart, without date).

## VII. The Seventh stage

This is known as the golden stage in the history of Amedy. It represents the age of the foundation and prosperity of Bahdinan Emirate with Amedy city as its main capital and the leading city in the region. This stage ranges between the 14<sup>th</sup> century AD and 19<sup>th</sup> century AD, i.e. most probably between AD 1300-1843. Bahdinan emirate with Amedy as its capital also included Akre, Zakho, Zebar, Aensafn, and part of Mosul and Erbil Governorates. Bahdinan term belongs to the founder of the emirate, Bahaddin Shamzinin, who lived in Shamzina area, in Hakkari country, located at the south east of Turkey. This is also a name of a main Kurdish dialect (See Figure 9-10)

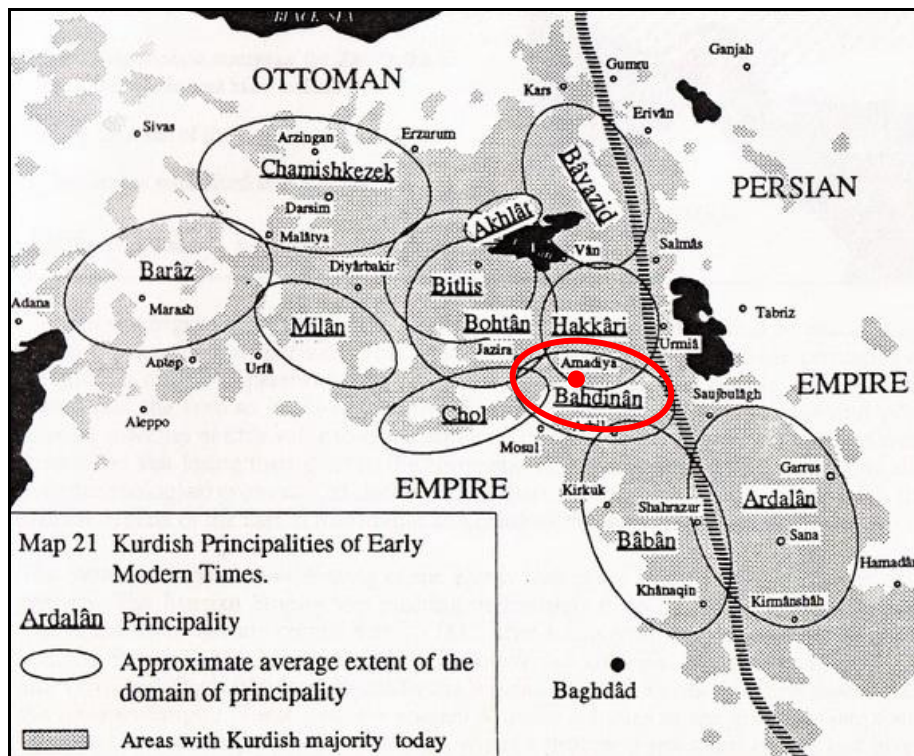


Figure 9-10: Amedy as a centre of Bahdinan Principality within Kurdish Principalities  
Source: Izady, 1992

Prior to the Ottoman reign, Amedy was the capital of Bahdinan Emirate until 1842. The city became a district part of Mosul Governorate when the Republic of Iraq was established in 1924 (Duhok Governorate, 2012). In 1969, when Duhok became a governorate, Amedy was annexed to Duhok and became its one district.

#### 9.4. Socio-Cultural Context and Local Economy of Amedy City

Throughout the history, Amedy experienced successive religions including Zoroastrianism, Mithraism, Judaism, Christianity, and Islam. One of Amedy's extraordinary features is the coexistence of its multi-religious population for hundreds of years - in the city and its surroundings. The fortified location of this city had been a safe haven for many personalities in their struggle or conflict with others. For example, the grandchildren of Abbas (uncle of Prophet Mohammed) fled the struggle with Umayyad and settled in Amedy. It had also been a destination for the followers of certain religions, such as: Yazidys or as a refuge for affiliates of political parties, such as: communist party. Until 1947, a total of 6,000 persons comprising 1,900 Jews, 1,600 Christians, and 2,500 Muslims used to live together peacefully in this city and occupying 1,200 houses. The Jews left for Israel in the 1950s making the city inhabited by a predominant population of Kurdish Sunni Muslims and a minority of Catholic and Protestant Christians. The language composition of the city is predominantly Kurdish (Bahdinani dialect) followed by Syriac and Arabic. The people of Amedy District are also classified on a tribal basis. There are many Kurdish tribes like Mizuri, Zibari, Rekani, Berwari, Oramari and Nirvei. The first four of these correspond with the tribes mentioned in the Sharaf-Naama, the famous historical work published by the Kurdish ruler of Bitlis (Ammann, 2006) at the end of the 16<sup>th</sup> century. Many people are known by their tribal names. However, those who live in Amedy city for a long period can have an additional surname referred to as Amedy although they originally belong to either of these tribes.

Another lower level of classification of people is based on the family name or a distinguished well-known character, for example a hero. The members of a family can acquire their family name from the name of the craftsmanship of their grandfather or after a distinguished personality or characteristic of the grandfather. Many historical events experienced by the inhabitants of the city have been transformed into stories and legends that are still narrated among the residents. Some of these events date back to the period of Medes. For example, a story narrates that the wife of King Nabuchnessar who was believed to be originally from Amedy city was honoured by the King as he built the Hanging Gardens of Babylon to remind her of her hometown and ancestors. In addition, many others belong to the Bahdinan Emirate time.

Despite of the nationality, religious, tribal, and family differences, the people of Amedy are brought together by special events like Bare Sile festival which is held at the beginning of May and is stemmed from the period of Bahdinan Emirate. Currently, Amedy has a well-integrated community of Christians and Muslims that share the city, local social events and resources. There are ruins and archaeological sites from the Zoroastrian era and the ruins of a synagogue and a church in the city. These sites, of which there are 34 according to the registry office in Duhok have been rule by the Medes, Assyrians, and Kurdish in different time periods. The Zoroastrian were the dominant religion in Amedy before the appearance of Christianity, Judaism and Islam. Thereafter, the majority of people turned to Islam, some turned to Judaism and Christianity. Muslims are predominately Sunni. Christians are Catholic and Protestant (McDowall, 2007).

Amedy is one of the richest districts of Kurdistan Region due to its valuable natural resources. The farmland covers 218.5 km<sup>2</sup> (about 15.4% of its total land area), which is distributed mainly in the plain areas. Agriculture is a major occupation for Amedy's residents who are known as the major producers of wheat, rice, fruits particularly apple, and vegetables. Actually, the highest number of farmers in Duhok Governorate is located in Amedy representing 20.62% of the total numbers in Duhok Governorate (2007). Furthermore, Amedy has fairly rich animal resources including wildlife and domestic animals.



It has been documented that Amedy has deposits of various minerals; according to [Al-Barzanjy \(2008\)](#), the district has a rich reservoir of ferrum, lead, and zinc. With regard to water resources, Amedy has a high amount of rainfall. In addition to the political leadership that Amedy city has, the city becomes a symbol of rapid economic growth. It was the centre for trade and economics. This explains the abundant number of shops and markets in the city and the reason why Pashas, princesses and rich traders choice the city to live in because it was seen as a source of power, wealth and prosperity.

Since long time - before B.C., the city of Amedy became an important trade centre and fertile environment at the junction of important trade routes. Many major roads connect the city with its environs; the southern road led towards Mosul, the northern road led to Cholamark in Turkey ([Al-Iraqi, 2011](#)). It has also multiple road networks that connect the city with the surrounding villages. To foster the trade and economy, and to further encourage the trade and economic ties and to enhance the image of the city, Amedy rulers throughout its history kept on maintaining the external and internal roads for traders by paving them with stones and keeping the roads safe and clear from wild animals.

As such, the economy of the city is mainly based on trade and agriculture. Because of that many have preferred to invest and reside in Amedy, where the trade and economics are much more developed and flourished. More specifically, Amedy's local economy was based on the grain cultivation, such as: wheat, barley, rice, sesame, lentils, mash, etc. Nevertheless, nowadays, only 10% depends on agriculture cultivation, where more interest is paid to governmental related work. In addition to farming, the handcrafts have been another important economic resources especially sewing, goldsmith, shoe making etc. (See [Figure 9-11](#)).



Figure 9-11: Different hand-made and cultural activities

Source: Amedy Culture Centre, 2007

The movement of accelerated urbanisation that Kurdistan witnessed since 1992, combined with the demographic growth and the migration waves of the population have all structurally transformed the socio-spatial dynamics of the region. In almost all of the Kurdish communities, the urban morphology; the consumption patterns; and the socio-economic structures have been transformed. In this context, Amedy is facing a number of key issues affecting its social and economic development.

These key issues include the loss of commercial centrality; no space for city expansion and not including the city in any tourism development plans. In terms of economic developments of Amedy, one could easily notice that Amedy has been losing its rank in comparison to other cities in Duhok province (See Figure 9-12).

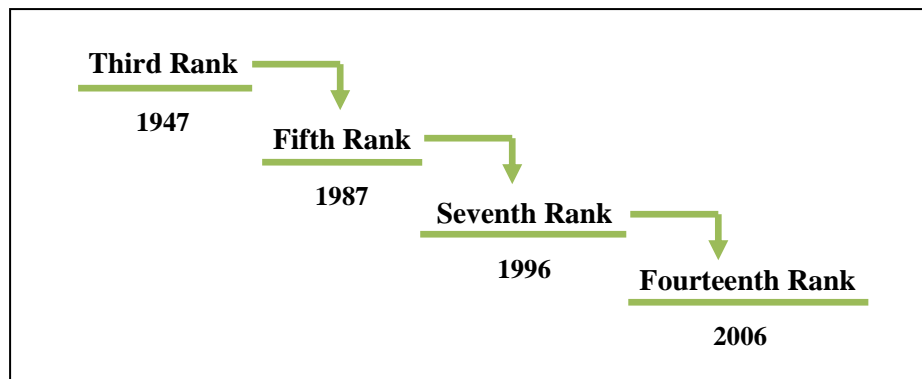


Figure 9-12: Economic development rank of Amedy  
Source: Own Constructed Based on Document Analysis, 2011

Though poverty in Amedy city has declined over time, the magnitude of poverty in Amedy city, in terms of both the percentage and absolute number of people below the poverty line still remains quite high. According to IAU (2011) about 13-17% of Amedy city's population are considered poor. The unemployment rate in Amedy district is 13%, which is higher than the average rate in Kurdistan Region and represent the highest rate at Duhok province level (See Figure 9-13). In addition to all the economic problems that the city have, Amedy city faces a serious shortage of housing facilities due to the scarcity of land dedicated for development in the city, along with other problems in almost all areas of its infrastructure, including electricity supply, gas and fuel supply, water supply, sewerage management, and solid waste management, etc. Despite these problems the land values are considered relatively high, keeping in mind that the related land and properties transaction for selling/buying is extremely low. It is important to indicate that 90% of the ownership in Amedy is privately owned, and only 10% is publically owned by the government (Municipality of Amedy, 2011). Nevertheless, renting out these properties is associated with low Monterey values (i.e. cheap).

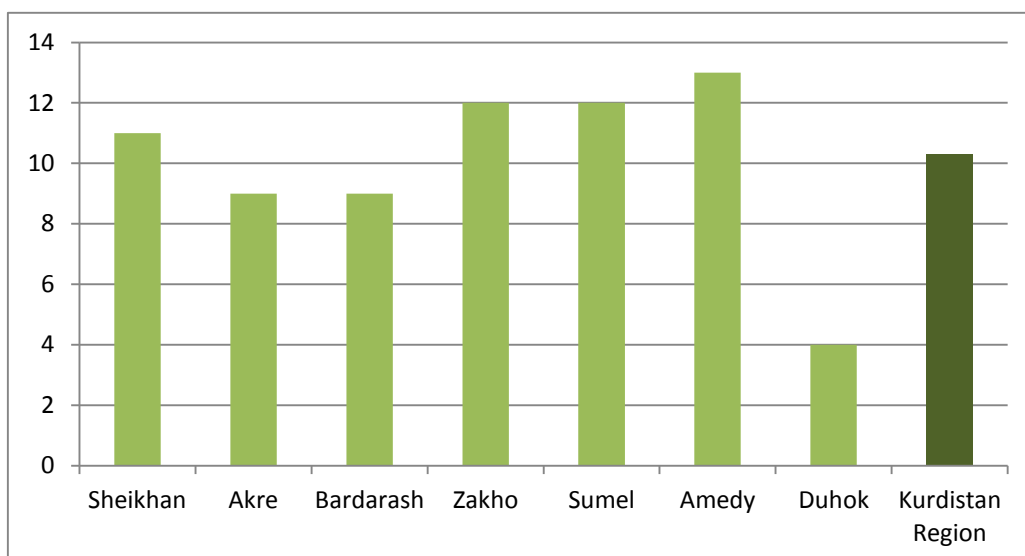


Figure 9-13: Unemployment Rate (%), People aged +15  
Source: IAU, 2011

## 9.5. Demographic Changes in Amedy City

In 1996, the population of Amedy district constituted around 11.4% of the total population of Duhok Governorate (Mohammed, 2006), while the population in the city calculated 5,470 inhabitants. The population of Amedy district stands at approximately 101,913 capita according to 2007 census of Duhok Directorate of Statistics. While, Amedy city was the home of 7,000 capita in 2007. More recently, the city's population has also grown that added more than a thousand people to the city, thus calculating 8,821 capita in 2012 (Duhok Directorate of Statistics, 2012) (See Table 9-2).

Table 9-2: Population growth in Amedy city							
Year	1960s	1977	1996	2000	2004	2007	2012
Population	6000	4845	5470	5678	6620	7300	8821
Source: Duhok Directorate of Statistics, 2012							

Within the last few years, the region of Amedy district particularly Amedy city, Qadesh and Sarsink sub-districts have witnessed a considerable increase in its population due to increase in immigration and birth rate. Statistics indicate that as time passes, there has been an increase in Amedy inhabitants calculating 1000 people during the Medes ruling (Amadi, 2005), and subsequently Amedy city became the capital for Medes. A surplus increase in the population to about the double has been recorded during Bahdinan Emirate era. At early 19<sup>th</sup> century, Amedy's population calculated 6,000 in 1200 houses, of which 2,500 were Kurds, 1,900 Jews and 1,600 Christian.

In early 1960s the inhabited land was only 50% of Amedy city as a residential land (*ibid.*). The rest of the land was used for shops, fields, public baths, cemeteries, etc. Currently, the city has grown far beyond its limit where no enough area is found for building for this population growth and the old city of Amedy is no longer able to absorb this expansion. In 2009 Household Survey in Amedy, the household size was 6.3 persons considering that more than one family live together in one third of the surveyed household (Municipality of Amedy, 2011). In Amedy, the median size of the dwelling is 2.76 rooms, average 2-3 persons live in one room (*ibid.*).

As such, there has been a notable increase in the population of Amedy city. The growth rate of population is expected to remain high. During 2010-2020 it is expected to grow at a 3.7% annual growth rate and reach a total population of 12,000 in 2020. This will put additional pressure on the city as this rapid growth of Amedy is not commensurate with its restricted land, shortage of housing, infrastructure and social services, poor quality of physical and social environment, and weak urban management (Municipality of Amedy, 2011).

Similar to the rest of Kurdistan Region, the ratio of male to female in Amedy district is very close; male constitute 50.96% and female 49.04% of the total population (*ibid.*). The population of Amedy has a high percentage of children and youth (age group less than 15 years) representing 40% of Amedy’s population (*Duhok Directorate of Food Supply, 2012*), associated with high fertility rates (*See Table 9-3*). The high percentage of the unproductive age groups (less than 15 years and over 60) indicates a high dependency and burden on the working age population. The high dependency ratio among the city’s population causes poverty, especially among the low income groups in the city.

**Table 9-3: Age distribution in Amedy District**

Age group	Male	Female	Total
Less than 15 years	1436	1265	2701
15-24 years	806	737	1543
25-44 years	1384	1499	2883
Above 45 years	826	868	1694
	4452	4369	8821

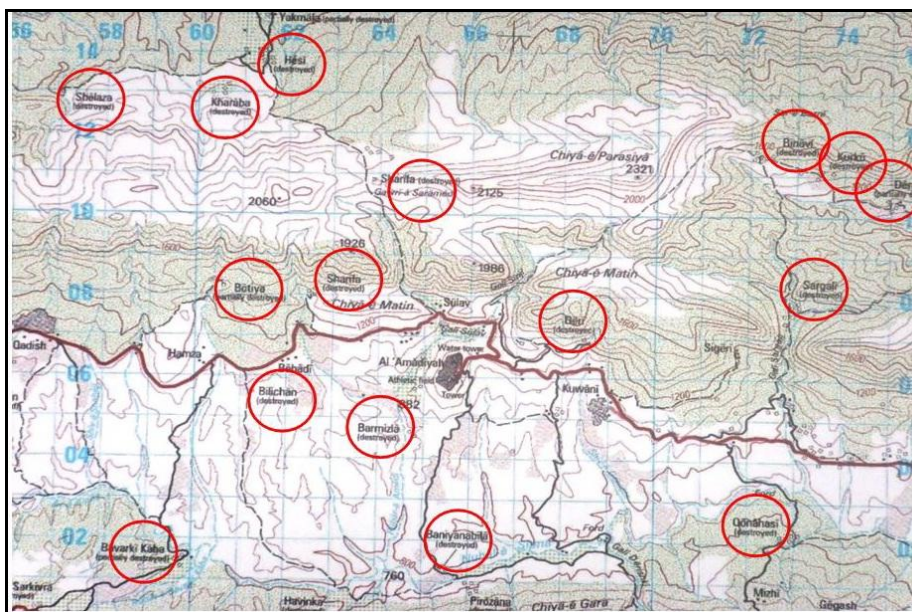
Source: Municipality of Amedy (Amedy Master plan), 2011

The urban-rural gulf is deepening with time, as in 1996 the rural community of Amedy was 45%, while it decreased to 31% in 2010 (*See Table 9-4*), despite the fact that the reconstruction efforts for the villages started after 1992, till now there are about 193 villages uninhabited in Amedy and its environs (*See Figure 9-14*). Needless to say, most of the job opportunities are available in the urban centres.

**Table 9-4: Urban vs. rural distribution in Amedy sub-district**

Year	Urban	Rural
1996	55%	45%
2000	65%	35%
2010	69%	31%

Source: Mohammed, 2006; KRSO, 2003



**Figure 9-14: De-populated villages around Amedy**  
Source: United Nations Security Council, 1991

## 9.6. Urban Morphology of Amedy City

Researchers have attributed the historical origins of cities to their defense functions; they assert that the first city recorded in history was military-based oriented. The fortification of a city involved the selection of the city site where there were fortresses surrounded the walls and trenches, established towers, pillars and gates and entrances designed in such a way that enhanced the protection of the city; defensive and offensive capability of standing against external raids was of crucial importance. Cities took the form of circles or ovals. The agricultural lands were usually located outside cities (Abush, 2004) and (Mcintosh, 2005). Elevated locations with difficult access were usually selected for the construction of citadels. The functions of many of these citadels were expanded politically and economically to become large cities. By comparing these unique historical criteria with the evolution of Amedy City, it is evident that the city was not founded accidentally; rather there were a number of factors that contributed to its establishment. Amedy is a unique city due to its location on the top of a hill plateau with its elliptical shape covering an area of less than 1 km<sup>2</sup>. In addition, the city has an outstanding urban structure and elements illustrated in its gates, walls and temple. Therefore, Amedy can be considered a masterpiece of human creative genius that reflects human thinking in a certain historic period using natural landscape as defense fortification. These were among the paramount reasons that supported the nomination of the city to be listed on the World Heritage, especially criterion (i) that conditions that the site should represent a masterpiece of human creative genius, just as in the case of Amedy.

Amedy had enjoyed a fortified location which together with its strategic geographical location had made it a focus for the ambitions of different struggling powers. According to historians and the residents, Amedy city had went through many morphological phases. Initially, this fortified location was developed into two urban sections – northwestern residential part still named as “*Serdebek*” and southeastern graveyards still named as “*Maidan*” where the dead persons especially those killed during the invasions were buried. During the third century – under the period of Bahdinan emirate - this part (*Serdebek*) included all important administrative facilities such as Emirate House, schools, houses of the ruling family emirs, one of which still exists, in addition to the grand mosque and the minaret. Many researchers believe that the mosque was built on the ruins of Mathrians temple which is also evident in the architecture style of the mosque).

Meanwhile, the majority of (*Maidan*) part has been developed into residential units, especially in the area between the Mosque and the southern edges of the city, with the Mosque in the centre, and at the beginning of the old commercial street ending at Mosel Gate from the west side and with the Zebar Gate from the east side (See Figure 9-15A). The remaining of (*Maidan*) part were replaced by government buildings. Only one graveyard – Sultan Graveyard – still remains; it includes the graves of Sultan Hussein and his family. The residential part included four smaller quarters; each was named after the religious affiliation of its dominant inhabitants. This division that still exists originally consists of Serdebek or Muslim quarter in the upper northern section of the city. This quarter is bordered by the Christian quarter (which includes Chaldean Archdiocese and a catholic church) to the west and the Jewish quarter (which includes a Jewish synagogue and the grave of Dawood Hazae) to the south. The last quarter - Hamam which is named so because of the public path “Hamam” that was located there - to the south of the Jewish quarter (See Figure 9-15B). In contrary, the area of graveyards to the southeast of the city had decreased to allow for the establishment of equestrian and celebration yards. Also, this part had gradually shrunk with the advancement of residential perimeter from the northwestern part.

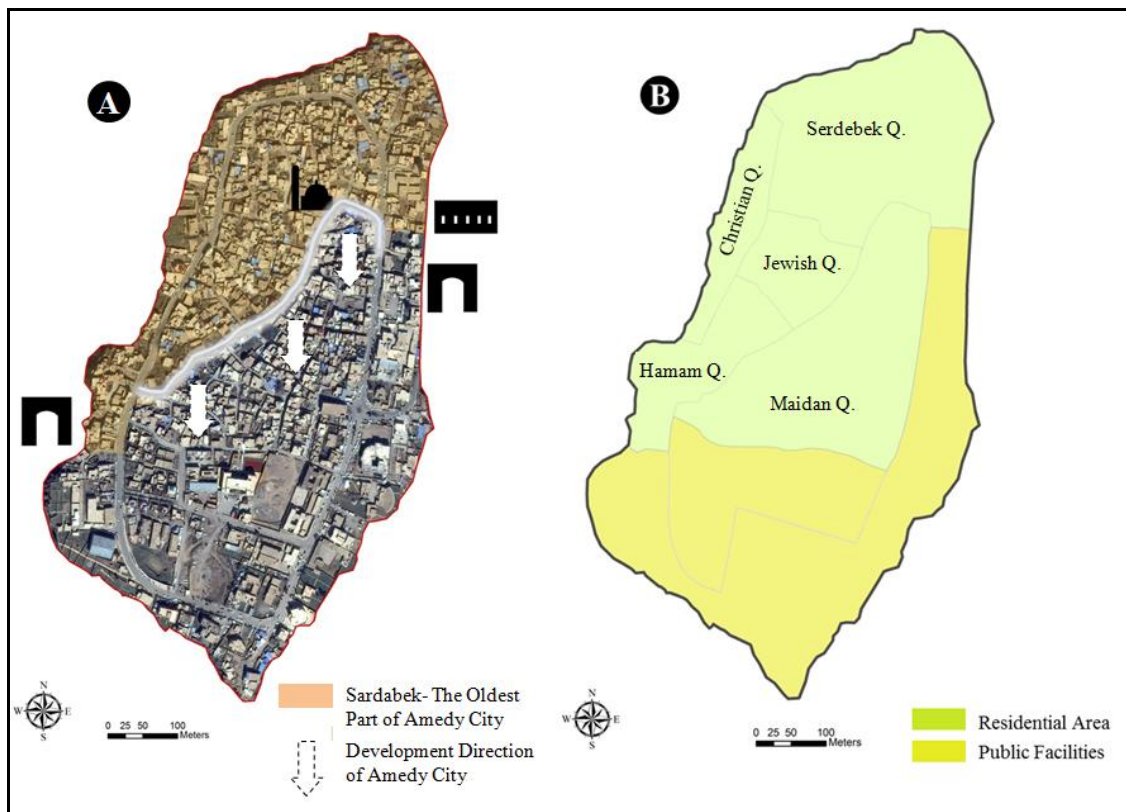
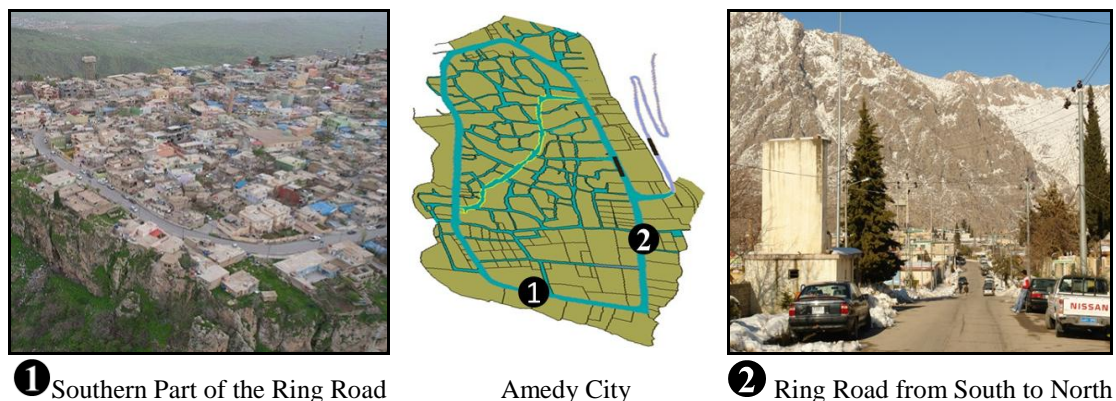


Figure 9-15: Morphological development of Amedy city

Source: Own Constructed, 2011

In the 1930's a paved road for vehicles was first constructed at the eastern part of the city. Because of this the Zebar gate was demolished. Afterwards, a circular road was constructed on the peripheries of the city with a width of 12 meters (See Figure 9-16). This road has changed the urban texture of the city. Nevertheless, the extended network of alleyways and small paths still exist inside the quarters.



1 Southern Part of the Ring Road

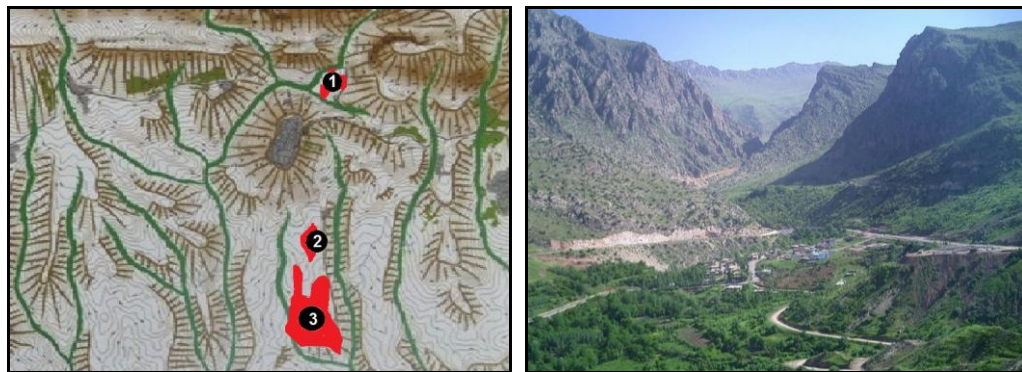
Amedy City

2 Ring Road from South to North

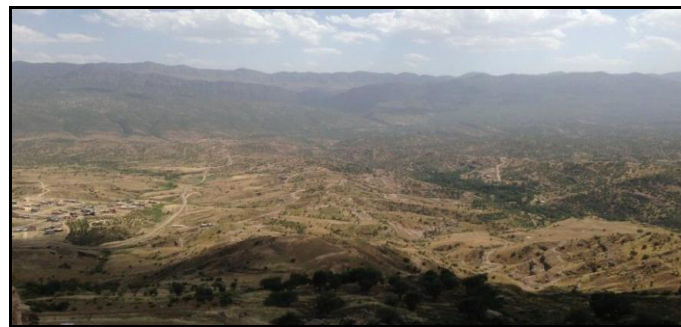
Figure 9-16: Ring road in Amedy city

Source: Own Constructed, 2012 and Photos from Amedy Culture Centre, 2007

At the beginning of 1990, and due to the lack of available space, a new expansion extended along the northern parts of the city, called (Kaniya Mala), where new 40-50 houses were built. In 2008, the local government started with a new proposal for a master plan, primarily in the southern part of the city (See Figure 9-17). These new expansions were on the expense of the available agricultural lands, where 1.1 km<sup>2</sup> of the agricultural lands were included in the master plan (Duhok General Directorate of Agriculture, 2012)



❶ Kaniya - Mala Northern of Amedy City



❷ & ❸ New Area for Expansion, Southern Amedy City

Figure 9-17: New expansions in Amedy city

Source: Own constructed based on Amedy Municipality Database, October 2011

## 9.7. Cultural Heritage in Amedy City

Within Amedy city there are many sites listed in the 1970 National List of Archaeological Sites, some of which were declared in the 1920, 1930, and 1950. This list includes the following sites in Amedy: Grant Mosque and Minaret, Qubahan School, Kora Serege temple, Mosul Gate, Sultan Shrines, and Bahdinan Emirate Symbol. Following is a presentation to these cultural heritage sites in Amedy:

### The Grand Mosque of Amedy City

The Mosque of Amedy, also known as the Great Mosque of Amedy is one of the most important in Amedy district. Built by the Sultan Hussein who died in 1576, the mosque is located in the city centre just close to Emirate House to ensure easy access for the prince and his companion.

The mosque is spread over a surface area of about 1,000 m<sup>2</sup> and it is one of the oldest places of worship in Kurdistan area. The walls of the mosque consist of regular layers of carefully cut limestone, thus giving the work a stylistically admirable homogeneity and unity. Phrases from Al-Quran have been engraved on the wooden door of the mosque which presently stands at Iraq National museum in Baghdad. However, as evidenced in the interior layout of the building (such as the mazes, low ceiling, and terraces), one can see that the Mosque was originally a temple (Duhok General Directorate of Agriculture, 2012).

## The Minaret of Amedy City

The minaret is located in the north-eastern part of the city, as the highest part of the city. It is 31 meters in height and is seated on a square base of 5 meters on each side to enhance its stability. It is now located inside the enclosure of the Great Amedy Mosque (See Figure 9-18). The minaret served as a watchtower, used for the call to prayer, and provides a visual focal point and border delineation because it is visible from a considerable distance.

The door giving the access to the minaret is framed by a lintel made of wood that bears inscriptions. Also, the minaret is made of dressed stone blocks, and it contains an inscription in a fine art. The stones have been arranged in a way that one can't notice the building material between the stones. In addition, the interior includes a staircase of 101 steps around a pile which extends from ground to the above end of the minaret. It is surmounted by a small dome which gives access to the terraces and the first tier of the minaret. The dome is pierced with four windows, each is faced toward a different direction, and they provide light and ventilation. Huge amount of inscriptions can be noticed on the interior wall of the minaret. The minaret is considered the oldest minaret in the Kurdistan Region.

It is widely believed that Sultan Hussien Alwali constructed this iconic feature from finely cut limestone blocks in (1534-1576). It can be noticed that the upper half of the minaret is whiter than the lower part since the upper part (about 5 meters) has been rebuilt by the residents after the collapse caused by the Iraqi army. According to residents those (5) meters of minaret has been re-built in 1962. Till the early eighties of the 20<sup>th</sup> century, the minaret was included to the mosque through a single fence. The historical stages that Amedy has undergone indicate that it has had a remarkable political, administrative, commercial and cultural role and influence on the neighboring areas throughout the different consecutive periods, especially between the 14<sup>th</sup> and 18<sup>th</sup> century (during the Bahdinan Emirate rule) (Al-Damalogy, 1999).

This influence has been a rich subject for many writers, travelers and researchers; the minaret of Amedy and its associated archaeological remains are symbols of that period. It can be concluded that the minaret of Amedy as an archaeological remains, constitutes an exceptional testimony to the period of Bahdinan Emirate civilization that dominated in the region in the 14 -18 centuries. This has supported the application to the UNESCO (based on criteria) to list on the Tentative List.



1. The Grand Mosque

2. The Minaret of Amedy

Figure 9-18: Grand Mosque and Minaret of Amedy city

Source: Own Constructed Based on Photos from Amedy Culture Centre, 2012



## Mosul Gate

It is named after Mosul City because of its close proximity to it and the fact that it leads travelers into the city. The majority of the people entering Amedy City were from Mosul, therefore it was crucial to take care of this gate; sculptures were even engraved in order to create fear in the passersby, forcing them to appreciate the power of the city's rulers and the sanctity of the city. This style corresponds to the designs used by Mesopotamia's inhabitants for the building of the gates of their cities (Al-Barwary, 2002; Alaey, 2008). The gate has other historic features, for example, the symbol of the God of Sun and the sculpture of the star. The symbols (God of sun, and the star) are surrounded by two snakes with fabulous animal heads, similar to a wolf with large ears and open jaws, fighting against warriors wearing brocaded clothes which represent the Parthian warriors' uniform 226-148 B.C. (Al-Barwary 2002, Alaey 2008) (See Figure 9-19). The innovative architectural design of Mosul Gate as well as the pictures and symbols that exist on it, represent ancient beliefs and expressions. For these entities and others that the city boasts, Amedy City may meet the UNESCO's Criteria (ii) to become a world heritage site (Ismael, 2009).

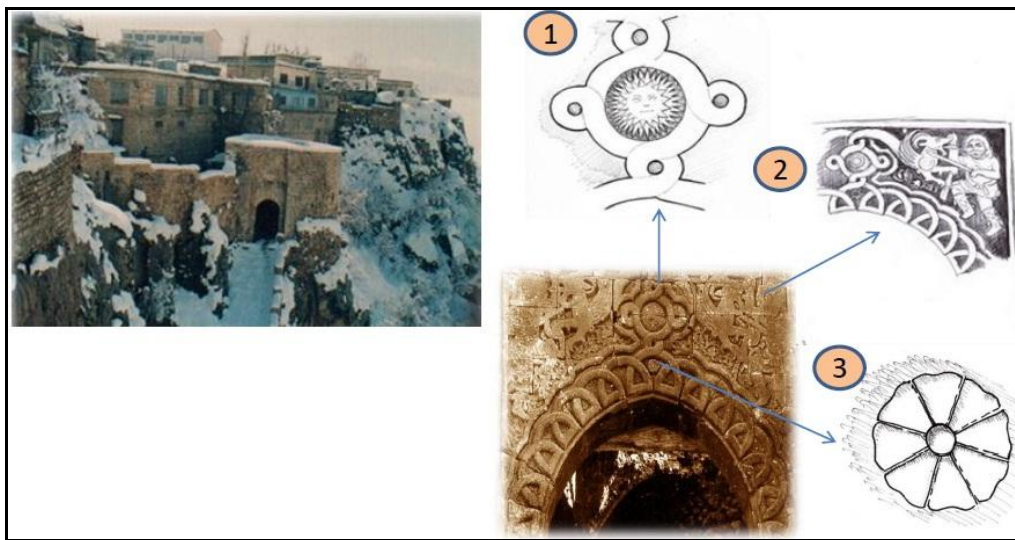


Figure 9-19: Mosul Gate in Amedy city

Source: Own Constructed Based on Photos from Amedy Culture Centre, 2012

## Zebar Gate

The eastern gate called Zebar Gate referring to the Zebar area. This gate has been demolished in the 1930s, while building the first road to the city. The only remains of the Zebar Gate are parts of its stairs and some other parts.



Figure 9-20: Zebar Gate in Amedy city

Source: Amedy Culture Centre, 2007

### Emirate House (or Palace of Governor)

It was a standard in the early Islamic architectural practice to build Emirate (prince) house in the main cities such as Baghdad, Kufa, Damascus, etc. The Emirate house represents the main administrative complex and political centre. In Amedy, the Emirate house was located to the northeast of the city. According to archaeological and historic sources, the building, which was constructed during Sultan Hussein ruling, had a square shape and composed of two floors. The first floor was made to accommodate the employees and servants, while the second floor was divided into two sections: the first one toward the west of the city was the Divan for the prince whereas the second section was toward the east of the city<sup>21</sup>. It was made to accommodate the female members of the prince's family.

The building exposed to destruction after the fall of Bahdinan Emirate in 1843. However, its ruin persisted until 1950s. Thereafter, the building was demolished except the main door, and a new governmental building was constructed. Until 1970s, the building was demolished again. Only parts of the main door have been left, which is engraved with a phoenix and two snakes. Different stories present for explaining the engrave, the most acceptable one by the majority of the residents is that the snakes refers to the wisdom and commitment of Amedy's ruler to serve the residents, while the phoenix represent the symbolism of sacrifice of the parent for their children (See Figure 9-21).

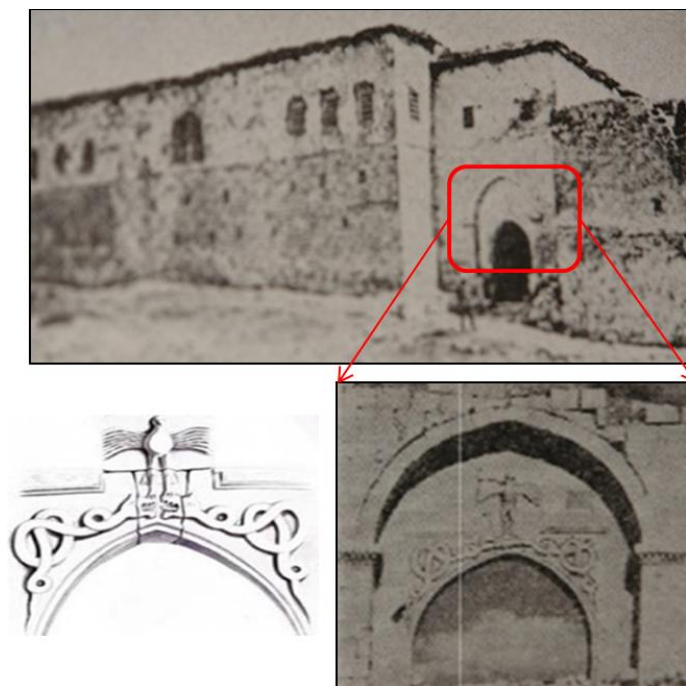


Figure 9-21: Emirate House and Symbol

Source: Own Constructed Based on Photos from Amedy Culture Centre, 2008

### Qubahan School

This school is one of the most famous schools in Kurdistan, especially in the Bahdinan Region. It is located in the north western part of Amedy on the Rebar River between Amedy and the Sulav summer resort. There has been a controversy with regards to its origin, Novacek & Muhammad Amin (2011) denote that it has been built during 12<sup>th</sup> Century by

<sup>21</sup> A cannon has been placed outside the main door of the building on the left site, it was the remnant property of Mohamad Pasha Al-Rawanduzi. The cannon was used as *Iftar* cannon in Ramadan until 1960s. The cannon was transferred to a National Museum in Baghdad after the destruction of the Emirate House building except its gate and (engraved) symbol in 1957.

Zengs. It is 33-45m long and 25.36 m in width. This school remained in service till 1961. The school provided knowledge in religious education, along with physical and medical studies. The school had strong ties with Al Azhar University in Egypt, as evidenced in the founded historical letters. This refers that the school had affected the entire region. All the architectural details, including arch, windows, and doors are elements of the Islamic architecture (See Figure 9-22).

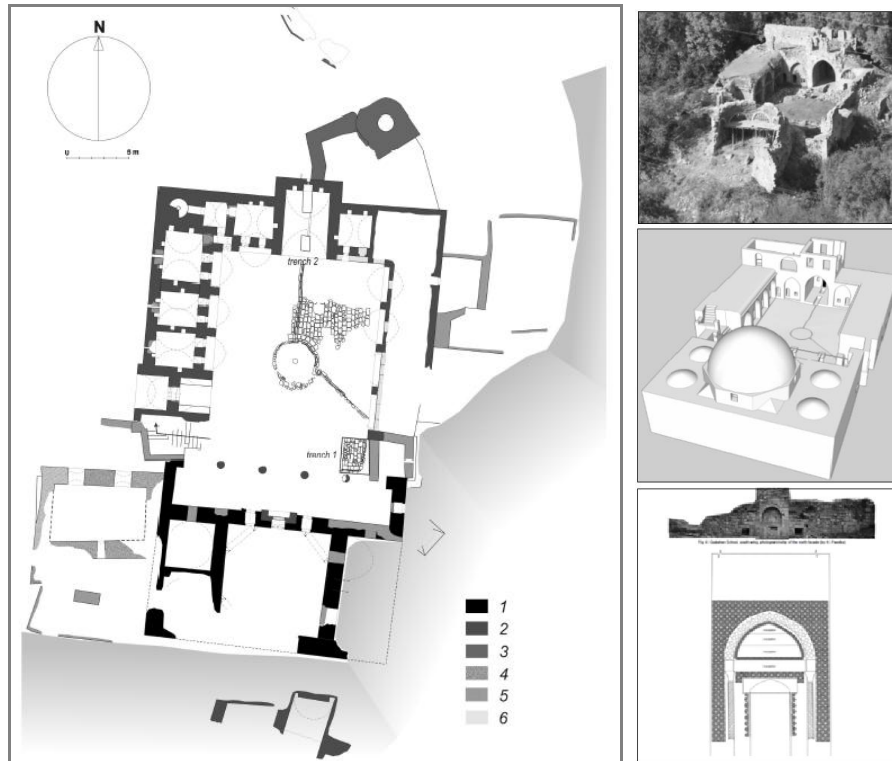
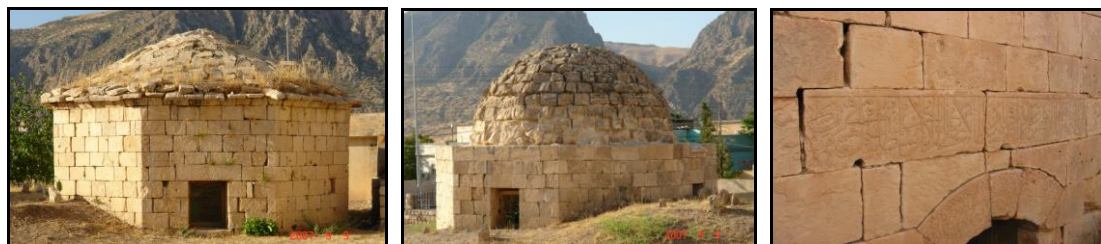


Figure 9-22: Qubahan School in Amedy City  
Source: Novacek & Muhammad Amin. 2011

### Sultan Graveyard

The Sultan Graveyard is the oldest existing cemetery in Amedy. It was designed to include Sultan and his family member's graves. It includes the shrine of Sultan Hussein and his wife Naela Khatoun. There is also the shrine of Ismael Pasha and his daughter Rawshan Khan, who died in 1787. The two shrines are built from limestone in a fine architecture style. In addition to the shrines, the cemetery also includes the graves of the siblings of Amedy's rulers. However, the cemetery which reveals information about historic events, religion, lifestyles, and genealogy of Amedy city, was subjected to removal in 1960s by the Iraqi government and used as a school. In 1970s, the Iraqi government tried again to remove the two shrines but its attempt faced failure in the second time also because of the residents resistance.



Sultan Hussein Graveyard  
(Died in 1576)

Rawshan Khan Graveyard  
(Died in 1787)

Verses of Quran Engraved at  
at the Entrance Sultan

Figure 9-23: Sultan Graveyard in Amedy city  
Source: Qadir, 2012

## Worship places

Kora Serege is one of the old worship places for Zoroastrians; it includes a temple and a reservoir for water and ice harvesting. The temple is 26 m long and 16 m wide. This icon belongs to the Sassanid times (See Figure 9-24).

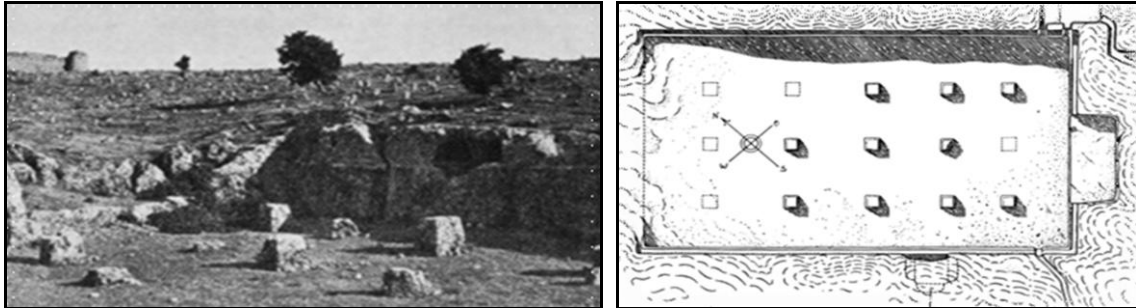


Figure 9-24: Kora Serege Temple in Amedy City  
Source: Amedy Culture Centre, 2007

## Eaj-Qala

This building includes three forts to the southeast of Kora Serege. It's a fairly modern architecture built by Ottomans after the fall of the Bahdinan Emirate in 1843. It was used for military purposes and as an observation tower (See Figure 9-25).



Figure 9-25: Eaj-Qala building in Amedy city  
Source: Amedy Culture Centre, 2007

## Amedy's Traditional quarters (Traditional houses, Alleyways, and Open spaces)

The traditional quarters and the old market in the city are not registered in any list as archaeological or traditional site, and has never been surveyed or documented till the end of 2012. This was the main reason for the rapid changes in these parts by replacing the old buildings with new ones, nevertheless keeping the same pattern.

The primary building material was stone and lime, of which Amedy had an infinite supply. Clay tempered was packed into moulds and simply left to dry in the sun. Wood was another important building material for roof, door, window's frame, stairs and furniture. Majority of traditional houses were consisting of one storey along with different windows and doors design (See Figure 9-26). Two storey houses were limited to rich families and they were often built close to the main roads were the commercial activities.



Figure 9-26: Examples of building style in Amedy city  
Source: Own Photos, 2011

The traditional houses essentially consisted of a central court or garden with living rooms, kitchen, bathroom and bathroom arranged around it, responding to both the climatology and the need for privacy in such a crowded urban environment. Roofs were made of mud over layers of matting laid on a framework of wooden rafters. The main access door was often made of wood; it has an arched design from the above. Doorway was a small corridor that led from the access door to inside the house, a small room used as storage or servant room was located within the corridor. Interiorly, the outer walls were thick and solid with good insulation to respond to the summer heat. All of the natural light and ventilation came from the courtyard. Larger traditional houses that had a second storey, was reached by stairs made from stones or wood. The storey often consist from three rooms, the main and larger room is often called diwan "or kochik" in Kurdish which was used to receive guests, and organise social events.

All these buildings are connected through a web of alleyways with 2-2.5 meters or less. The open spaces are very minimal. The zigzag alleyways have remained as same as before, but they have been covered with a new layer of cement. It is quite hard to distinguish between the public and semi-private spaces in the city, since most of the owners continue to create some kind of gated communities only restricted to the extended family members (See Figure 9-27). Some of these alleyways are like cul-de-sacs with a confusing network. In this way, these places could be treated as semi-private spaces. In the past the gates were made from stones, but now they are made from steel (See Figure 9-27)

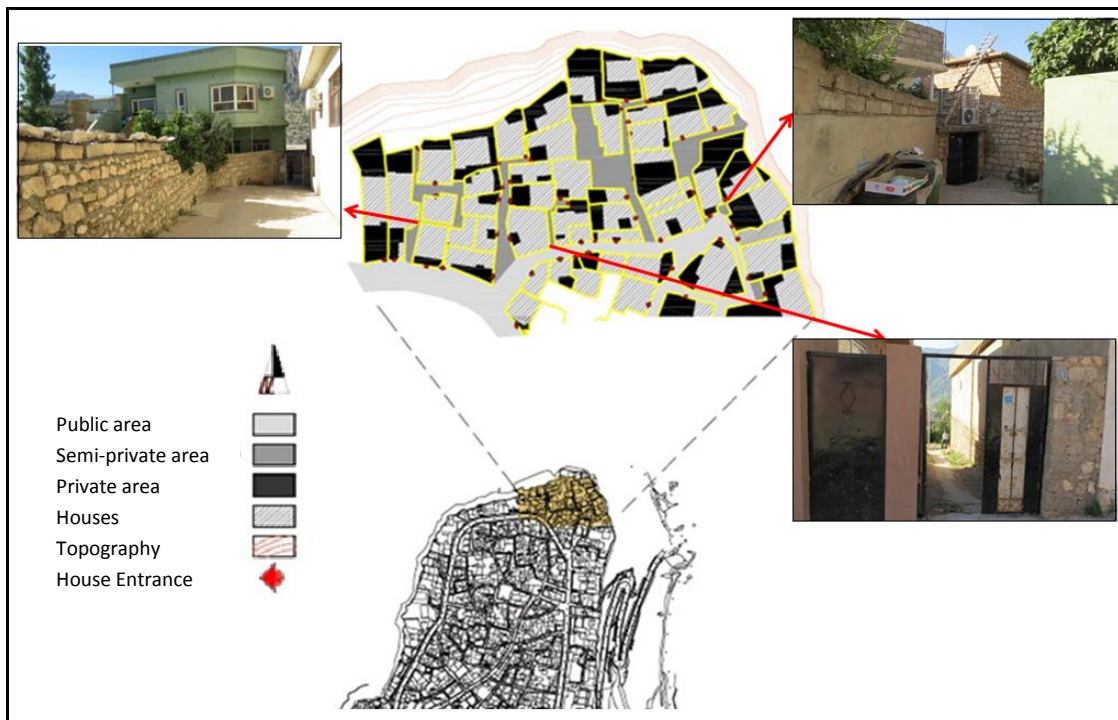


Figure 9-27: Urban pattern in Amedy city

Source: Own Constructed and Photos Based on Fieldwork, 2012

### Old Bazar in Amedy City

Geography literatures confirm that for more than 2000 year Amedy city was controlling the main trade road and has been an important centre for trade and business in the region. This is evident from the abundant number of shops inside the city which were more than the needs for the residents at that time (Al-Iraqi, 2011). Shops consist of one to two floors attached to each other and organised in an aligned manner across the main roads inside the city linking Mosul Gate to Zebar Gate crossing important places such as Grand Mosque and Emirate House (See Figure 9-28).

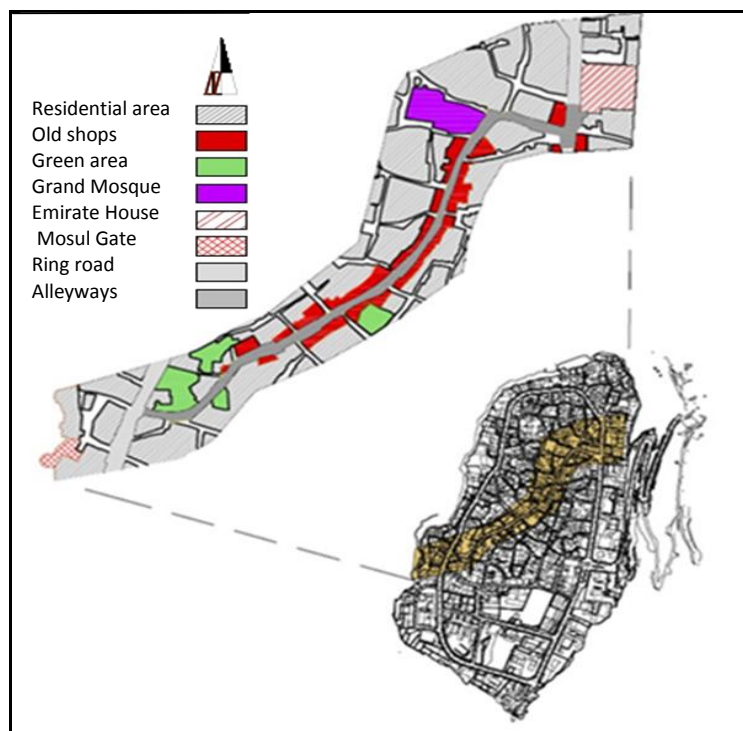


Figure 9-28: Old market in Amedy city

Source: Own Constructed, 2012

## 9.8. Current Condition and Planning Intervention in Heritage Sites in Amedy City

This section discusses and analyses the current condition and planning intervention in the main sites of cultural heritage and natural elements. More specifically, the physical conditions; functions; and integration of these sites with other plans are analysed. Furthermore, a close look to the legal planning framework at the local level is provided. All of all, to help answering the question: how do the local and government staff recognise urban heritage as a resource? These aspects have been analysed using different methods using mainly field observation and semi-structure interviews along with people perception.

### 9.8.1. Current Condition and Planning Intervention in Cultural Heritage Sites

#### *Physical and Functional Condition and Planning Intervention in the Traditional Quarters*

During the field visits to Amedy site, it has been observed that most of the traditional buildings have been demolished with only 40-50 of the traditional houses remaining in fair to poor conditions. Most of the demolished houses have been replaced by new ones using modern design and construction materials (See Figure 9-29). Some others have been externally renovated (i.e. covered) with cement and paint layers especially around the Mosul Gate. In addition, some of these traditional houses have been partially expanded with the addition of new partitions such as rooms or kitchens. The newly added rooms are now used for the family life activities while the older ones are used as storage rooms. A few other traditional houses which are in poor conditions have been transformed into garbage places (See Figure 9-30). Lack of sufficient infrastructure such as sewerage system and water supply causes further deterioration to the functional conditions of these traditional houses and thus affecting the historic image of the city.



Figure 9-29: Poor physical condition of traditional buildings in Amedy city, some are replaced by new buildings

Source: Own Photos, 2012



Figure 9-30: Traditional buildings transformed into garbage places in Amedy city  
Source: Own Photos, 2012

The traditional houses located on the northern and north-western edges of the elevated rocky surface of the city plateau (confronting Sulav resort) have been expanded towards the extreme ends encompassing spaces. The residents made use of the ancient remains of the foundations of the city defence wall to build on them the new structures or they have mostly been converted into gardens with trees to provide the residents with the pleasure of enjoying the landscape of the opposite Sulav resort and mountain (See Figure 9-31; 9-32).



Figure 9-31: Traditional houses confronting Sulav resort  
Source: Own Photos, 2012

The weak local economic activities, along with the overall lack of open spaces are among the paramount reasons that let the owners of the residential buildings in the traditional quarters to consider leaving their properties especially when the family became bigger. However, it is to be noted that summer is the period when family members and relatives come together in the city.

Despite the fact that a considerable number of the original owners of the historic houses are living abroad, i.e. in larger cities, they still possess a feeling of attachment to their properties because they want to preserve their family names as the houses are known by their family names (identity), as indicated earlier. Therefore, they do not want to sell their houses; some occupy them in summer and during holidays, considerable number of these houses are rented by families especially those displaced from the troubled areas of Iraq after 2006.



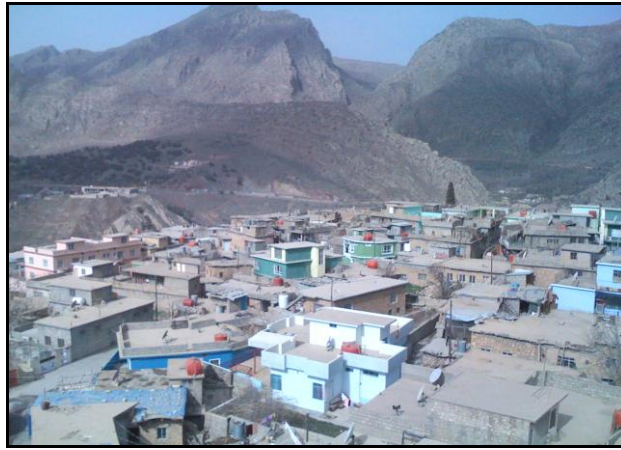


Figure 9-32: Replacement of traditional houses with new ones  
Source: Own Photos, 2012

### ***Physical and Functional Condition and Planning Intervention in the Public Buildings and Structures (Synagogue, Church, Mosque, Schools, Eij-Qala) and Gates***

Most of the public buildings in Amedy city and its environs are covered and diffused within the densely populated quarters. The Grand Mosque has also been totally covered with cement and paint. It has been rather overshadowed by new buildings and houses constructed around it, but its location can be identified from far because of its prominent minaret (See Figure 9-33). The capacity of this mosque is not proportionate to the population of the city. The mosque is still functional but because of its small area, the residents requested the government to expand the ground mosque. Nevertheless, the government did not respond to this request, which created dissatisfaction among the residents.



Figure 9-33: Mosque and Minaret overshadowed by new buildings  
Source: Amedy Culture Centre, 2007

Emirate House was almost demolished in early 1980's. The only remaining element of its structure is the gate that carries the emirate symbol. A school was unnecessarily built over its foundations at that time. There was enough space available on the city plateau for the construction of the school, as indicated by some residents and as evidenced from the old maps of the city. Currently, the symbol of the city is still affected by rapid changes (as seen in Figure 9-34).



Figure 9-34: Uncontrolled changes affecting Bahdinan Emirate Symbol  
Source: Own Photos, 2012

The Historic Hamam was also demolished and turned into a pile of stones. The demolition of Hamam and other buildings including houses was mostly because of the harsh weather conditions.

Nevertheless, the physical structure of the church is in fair conditions and it is well-functioning. As regards Zabar gate, some parts of the foundations, as well as the stairs have remained. Keeping in mind that part of this gate was demolished in early 1950s when the city expanded the road network there. Similarly, some parts of the city perimeter wall foundations have remained especially along the eastern edge of the plateau. As per, Mosul Gate it is in a fairly good structural conditions, but it was restored at the beginnings of 2000s improperly since some of the stones that have symbols of the gate were wrongly placed (See Picture 9-35).



Figure 9-35: Improper restoration of Mosul Gate in Amedy city  
Source: Amedy Culture Centre, 2007

As noticed from the field observations, the eternal appearances of the buildings that overlook the gate at both sides have constantly changed. Now they are covered with cement layers or with different paints, disturbing the traditional integrity among the gate and those houses. Because of lack of a sanitation system, grey water from the houses and buildings located in that part of the city usually flow through open channels that pour down through the gate stairs towards the nearby rocky side. This causes the growth of shrubs and plants on the stones and thus deteriorating the gate.

Eij-Qala building is also in fair structural conditions and is surrounded by new informal buildings. Its external walls still consist of original masonry stones. However, the interior of the building has received some maintenance work such as: cement plastering of the interior walls. It is occupied by government offices nowadays. However, the building is surrounded by 4-5 informal buildings.



Figure 9-36: Eaj-Qala surrounded by informal houses in Amedy city  
Source: Own Photo, 2012

In respect to Qubahan School, attempts were made in 2008 to connect the school site to the main road that connects Amedy city to Duhok city. An access road of concrete surface was constructed linking the site with the main road up to Sulav. However, this work stirred dissatisfaction among the residents for three main reasons: the slope of the road is not convenient, the road surface is made of concrete, and the road construction work caused destruction of a religious shrine which was located on its route. No prior studies or surveys were made prior to the construction of the road. In 2011, the Czech organisation for the first time documented the details related to Qubahan School. Afterward, a restoration project targeting the School was initiated. The building was undergoing restoration works as observed during earlier field visits of the researcher. However, there were no signs of any restoration works on the site during subsequent visits by the researcher. It was found that the General Directorate of Archaeology withdrew the contract from that Iranian company that worked there after two years due to lack of professional competency in restoration work. This has increased the feeling of dissatisfaction among the residents.



Figure 9-37: Poor conditions of Qubahan School in Amedy city  
Source: Own Photo, 2012

### ***Physical and Functional Condition in the Old Market (Bazar)***

The old market in the city contains several retail shops and two traditional tea shops with no restaurants. The market place is still covered with sheds of oak and gall oak leaved branches. Most of the shops in the old market are in poor structural conditions. Most of the shops have been covered with a layer of cement. Despite that the majority of the shops are in poor physical conditions, the Bazar is considered to be a lively environment. Some of these shops are used for selling the fruits and vegetables. A major portion of these crops are cultivated in the nearby orchards located in the northern and north-western outskirts of the city.

In Mosul Gate, most of these fruits are transported from the farms to the market using hands or horses. Some other shops sell home-made products like different types of jam as well as sesame oil, which is famous throughout the country because of its quality. This sesame oil factory that is located south-west of the city, more specifically in the orchards, is run by the water coming from Sulav valley and the mill is run by the gravity force of the water.

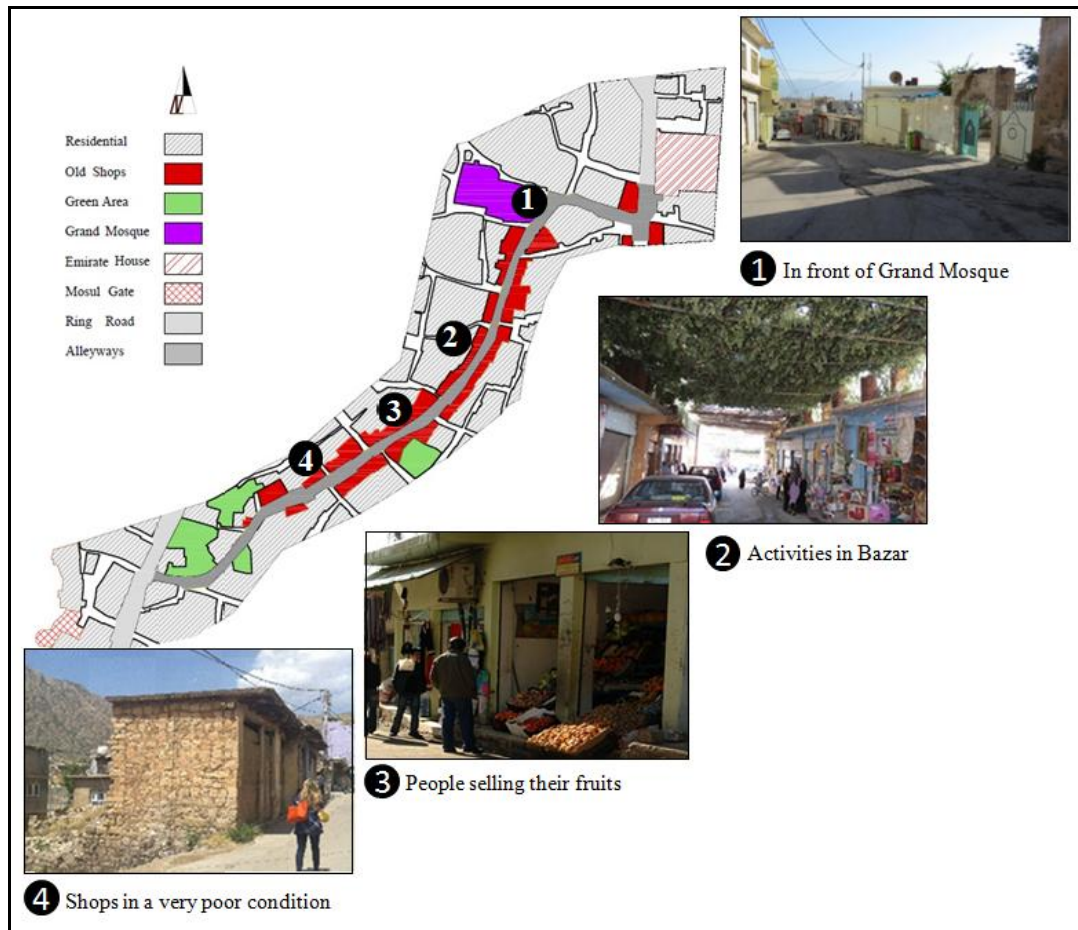


Figure 9-38: Physical and functional conditions in the old market in Amedy city  
Source: Own Constructed, 2012

**Physical and Functional Condition and Planning Intervention in the Shrines, Sultan Grave, and Other Archaeological Sites**

The religious shrines have been demolished and turned into piles of stones. The remains of the two Islamic and Jewish shrines on the plateau are covered with old oak trees. These sites are sacred and exhibit spiritual meanings for the people. The residents tie green ribbons on these trees for spiritual blessings, recovery from illnesses, and for women to become pregnant. Sultan Grave is in fair physical condition. Recently, the dome of the grave was restored through the General Directorate of Antiquities and Traditions. However, the residents were not satisfied with this work as it resulted in the deformation of the dome. At the eastern side of the grave, two new government buildings have been constructed using new design and construction materials without giving any respect to the historic image of the city (See Figure 9-39).



Figure 9-39: New government buildings using new building materials in Amedy city  
Source: Own Photos, 2012

### 9.8.2. Current Condition and Planning Intervention in the Natural Landscape

The natural landscape in Amedy and its surrounding has been one of the elements based on which the city has been listed on the Tentative List of World Heritage List in 2011. Nevertheless, it is easily witnessed that the natural landscape has been adversely affected by the rapid changes that disrupted the landscape in areas that should be declared as protected buffer zones. For example, 4-6 informal houses have been constructed using new materials, on the northern hills that are located opposite to Sulav. Also, there are some new buildings that are considered illegal near the orchards, along with some others in the eastern side of the city (See Figure 9-40).

Sulav resort is heavily crowded with tourists especially from other parts of Iraq during summer. It contains a hotel, some restaurants, in addition to a large number of sheds or shelters that are made of cut leaved branches of oak and gall oak trees that are used to provide shade from hot sun light. They are located on both sides of the water stream that flow down from the upper mountain. It has been observed that recently the proportion of buildings of concrete materials (mainly hotels and restaurants) increasingly exceeds that of traditional structures. It is worthy to mention that in the road to Sulav from the western side, one of the most prominent hotels during the 1980's called Sulav Hotel is occupied now by the people of the depopulated villages (See Figure 9-40).

Solving the associated problems with such a hotel (occupied by the people of the depopulated villages) is more important and calls for urgent intervention, in comparison to the current unneeded governmental interventions in Sulav resort that unfortunately disrupt the natural beauty. Importantly to mention is that there exists a big garage near the famous 1980's hotel used to park the buses that transfer the tourists.

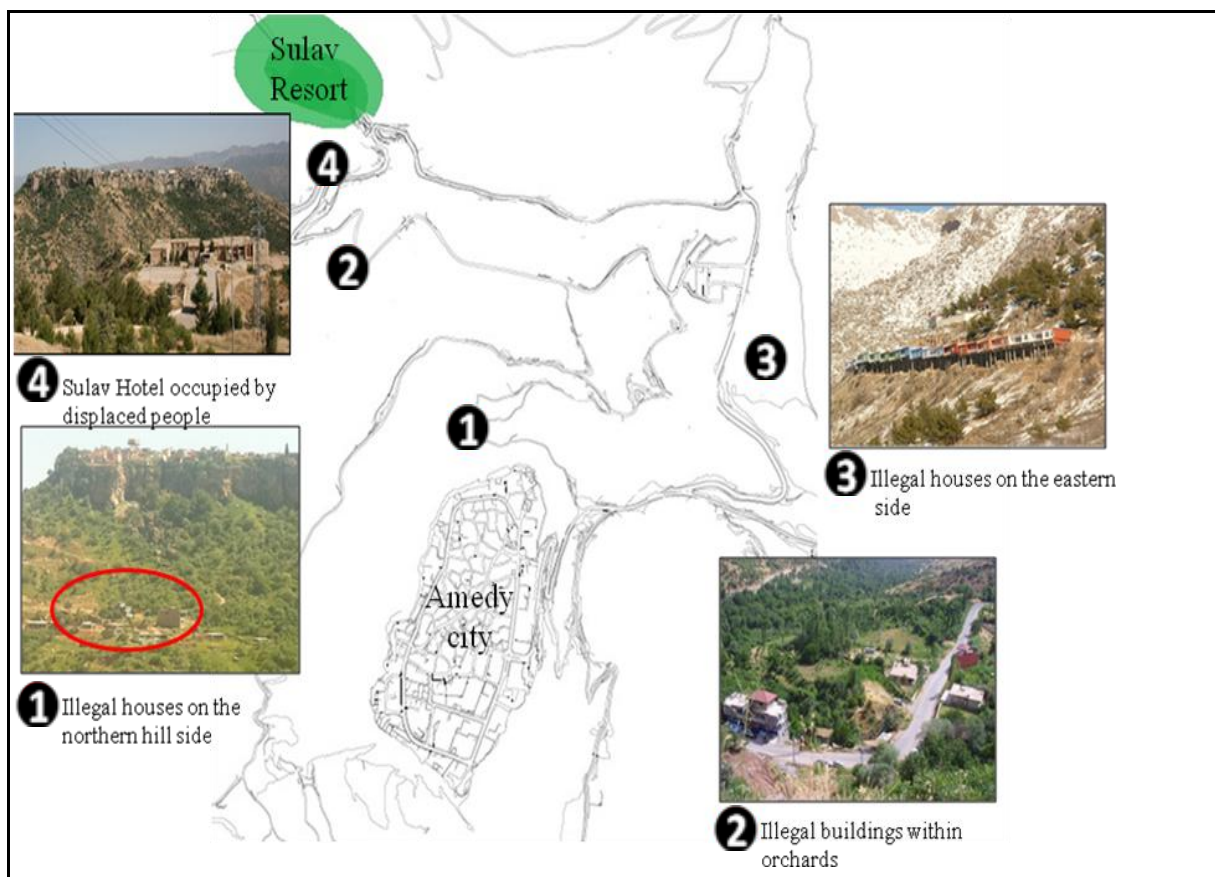


Figure 9-40: Illegal buildings disturbing the natural landscape of Amedy city  
Source: Own Constructed, Own Photos, 2012

Another example of negative governmental interventions was in 2008, where the government built a new statue at the entrance of “Sulav” Resort instead of the old one (See Figure 9-41). The new structure is not in harmony with the site and does not enjoy the resident’s satisfaction, since the old design was comprised of three arches as the ones existing in the old city. Also, the view to the old city from the resort was easier and not interrupted than in the current situation.



A. Entrance to Sulav Resort, Before 2008



B. A Statue in the Entrance to Sulav Resort, After 2008

Figure 9-41: Entrance of Sulav Resort  
Source: Own Photos, 2012

### 9.8.3. Integration of Cultural Heritage and Natural Elements with Other Plans

The extent to which the cultural heritage and natural elements is integrated in the socio-economic aspects of Amedy is mainly reflected in the touristic activities. In Amedy, the only place the tourists go to is Sulav resort, and they usually use the available facilities as recreation sources and hike the trail that runs upwards through the water stream. The tourists also wander through the main road that passes through Sulav, but they walk this route cautiously because it is packed with parked and passing vehicles that try to enjoy the beautiful landscapes of orchards down the valley as well as the view of opposite Amedy city. The tourists use about 2 km of this road for walking (See Figure 9-43).

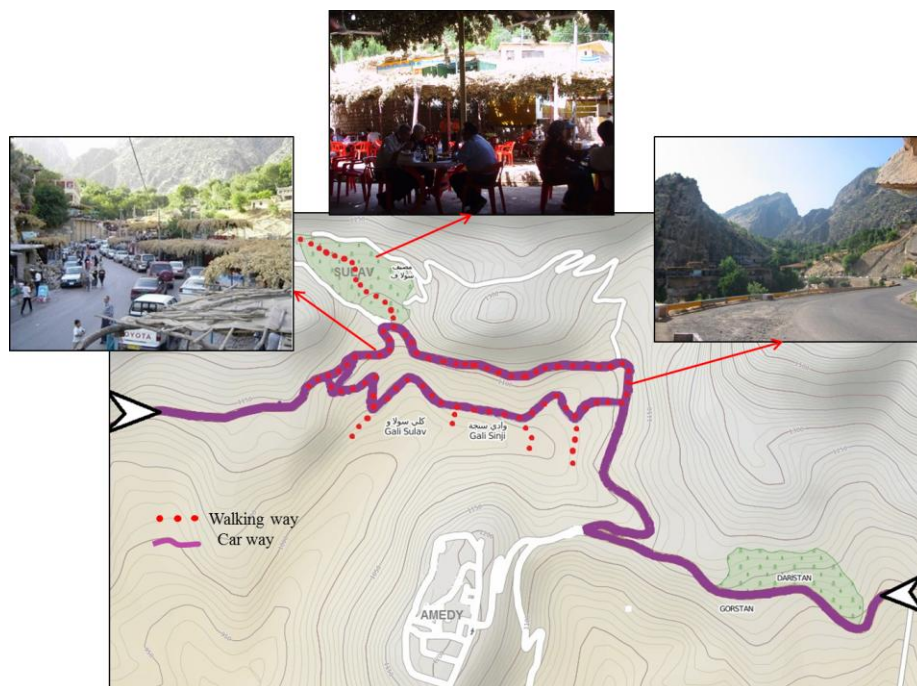


Figure 9-42: Tourist path in Amedy city

Source: Own Constructed Based on Photos from Fieldwork & Google Satellite Image of Amedy, 2011

However, only a small portion of them drive further to the east to tour Amedy city; less than 10% of the total number of visitors. Since there is a low percentage of tourists visit the old city of Amedy, many of the residents had to find their ways to Sulav to sell locally produced products, including hand-made products, and locally-grown vegetables and fruits. In other words, the city's potential has not been linked to the tourism activates plans. This was one of the reasons that led the people to leave the city to other nearby bigger cities, like Duhok, or abroad. The residents who own the orchards near Sulav strive to build new touristic facilities to cultivate the associated economic benefits. Nevertheless, since these areas are protected by the buffer zone, their plans are confronted by the local government. This creates an environment of conflict and exclusion in the perception of the residents.

In respect to the traditional quarters of the city, especially the traditional buildings in the periphery of the city (like in the northern and north-eastern parts to the opposite to Sulav) they lack any governmental plan for conservation or rehabilitation for new uses to attract tourism. An initiative was made by the Ministry of Municipalities and Tourism to develop a tourism master plan for the three provinces in Kurdistan Region. Following a review of this master plan, it was found that the focus has still been made on the natural elements for reactivation of tourism in the region, translation of this vision into reality is possible as it is supported by the investment law and public-private partnerships strategies. However, focus has been made on the provision of touristic services and facilities for the 56 sites owned by the government. They include modern designs and construction materials which are the same for the sites in the three provinces. In other words, the significance (values) of each site was not taken into consideration, since a unified form for all sites has been adopted. Each of these sites has been treated individually without integration into the surrounding environment in physical and functional aspects. Moreover, the people intervention in the plan even the owners of the surrounded land of the sites were restricted.

In Amedy city, the related tourism master plan included the Qubahan School, which is already in dire conditions. This plan proposed facilities like the museum, casino, parking place, and garden to be built around the School. However, if we look to the design, architectural elements and the material proposed for the museum for example, it is clear they have not considered the values of the School in terms of satisfying the physical integrity. Also, the architectural elements are not extracted from the surrounding built environment (See Figure 9-43). Moreover, the plan did not propose any conservation plan to the Qubahan School, including the future function of the School.

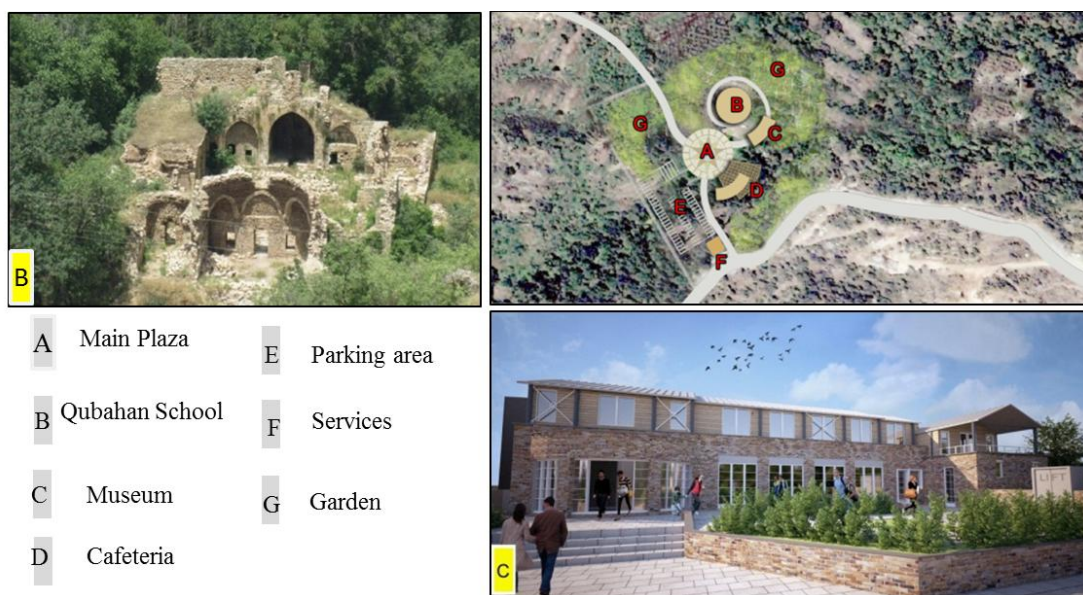


Figure 9-43: Proposed activities around Qubahan School in Amedy city  
Source: Tourism Master plan, 2012

In addition, the owners of the lands surrounded Qubahan School were surprised by this master-plan, as indicated by the Head of Engineering Unit in General Directorate of Tourism in Duhok, since most of the residents in Amedy are not willing to give up the use of their farm lands for the proposed touristic projects. It seems that these residents have not been involved in the planning process since its beginning, and no negotiations has been experience on this regard. Another example on lack of integration for conservation plans at the local level is Bare Sile project, which is a natural site that has the cultural extension as has been mentioned in Section 9.2.1. Since there is a lake of clear understanding of the site's values and how to formulate standards founded on the character defining elements of the site, today this site is used as an artificial park without respecting its cultural value (See Figure 9-44). However, this proposal has been developed through an involvement of Amedy people in the decision. Anyway, one can conclude that the issue is the lack of understanding of how to realise and integrate the values and the character defining elements to the conservation plan.

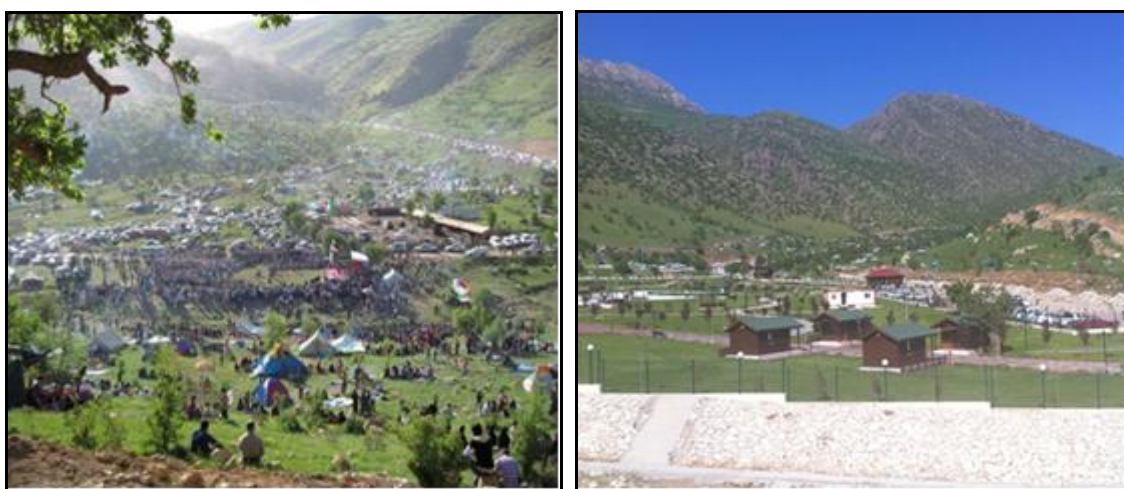


Figure 9-44: Bare Sile transformation to a modern complex in Amedy city  
Source: Amedy Culture Centre, 2007

### 9.9. Residents Perception Toward Cultural Heritage and Natural Elements and their Conservation in Amedy City

In Amedy city, individual (face-to-face) interviews were conducted with a representative sample of 80 persons (50% from the old city and 50% from outside the old city– in the new developed areas, to the north and south) during September 2012. The sample represents the population both geographically and demographically (gender, age – above 15 years).

The used questionnaire was intended to explore people's perception, attitudes, and understanding of Amedy's heritage, more specifically to identify the heritage elements which they value more and think they are important for protection, as well as their readiness for involvement in the heritage conservation and management activities, and their satisfaction with the government performance on this regard.

For example, in response to a question about which sites are most important to be protected in Amedy, 84% of the respondents mentioned "the Gates"; 79% mentioned the "Grand Mosque"; 63% mentioned the "churches"; while 63% mentioned to the "shrines"; and 61% the "monuments". A lower percentage 60% considered the natural elements. The lowest percentage 28% was given for the historic urban area. It seems that the people give more importance to the cultural elements than the natural elements. In other words, they more consider cultural elements and not natural elements as heritage. Despite their lower recognition of the natural environment in terms of heritage, it is evident from the responses of 58% of them that the natural elements are the one that attract almost all tourists to the city (See Figure 9-45).



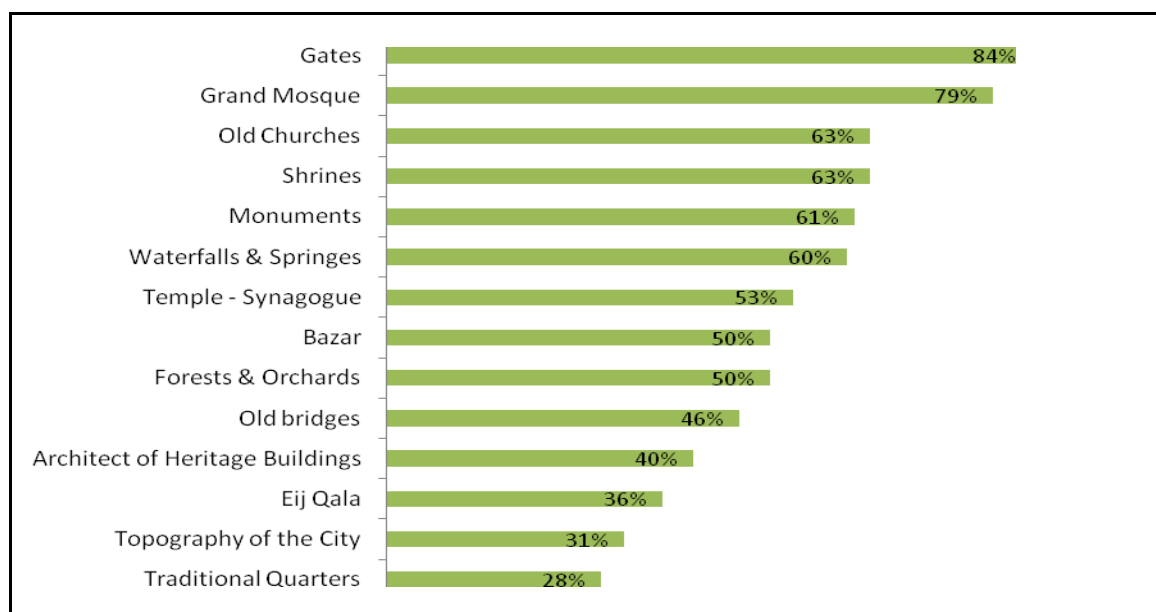


Figure 9-45: Q.: What do you understand/think of as an urban heritage of those listed?

The results showed that the historical events experienced by Amedy city and the policies and past performance of consecutive governments in dealing with the heritage conservation there over the last four decades have considerably affected the peoples' perceptions. The above-mentioned results might entail the following:

- (1) The government considers the cultural elements as a heritage for conservation purposes, and the government mainly adopt in their work, the national list of heritage sites for 1970 which only includes the cultural sites. However, this contradicts with the fact that the Iraqi government signed on UNESCO's convention of 1974, which regards both cultural elements and natural elements as heritage.
- (2) The current government and the residents are affected by the previous governmental policies related to heritage conservation and tourism activities. In the early 1980's, little attention was given to the natural sites such as "Sulav", through the construction of facilities. Meanwhile, cultural sites in the city had been continuously neglected and destroyed.
- (3) The respondents gave less importance to cultural elements ("group of buildings" and "historic urban area"/traditional quarters) because: (i) such sites – not only of Amedy but also of the most cities in Kurdistan Region have not been registered and included in the national list, and (ii) no list of registered sites have ever been developed to include important sites at the regional or local level. This means that such elements are not included in the government's conservation programs which render them subject for rapid elimination and replacement by new buildings. In addition, the people of Amedy are not motivated to have their traditional houses registered as heritage sites to keep the family identity, and due to the associated complexity of legal and acquisition procedures undertaken by the municipality directly together with the General Directorate of Antiquities and Traditions. For example, the procedures for acquisition of Prof. Kittani House have not been completed yet though it was started more than 10 years ago.

In terms of the Heritage importance, 90% of the respondents think that heritage protection is important. As per of the responsibility of protection of the urban heritage, 68% of the respondents considered this task as a joint responsibility of the relevant government agencies, NGOs, along with residents; whereas 19% thinks it is the responsibility of the governmental agencies. Moreover, 75% expressed their interest and willingness to be involved in the heritage conservation related activities. While, 11% said they do not have time to participate in the activities, most of which aged 25-44 years.

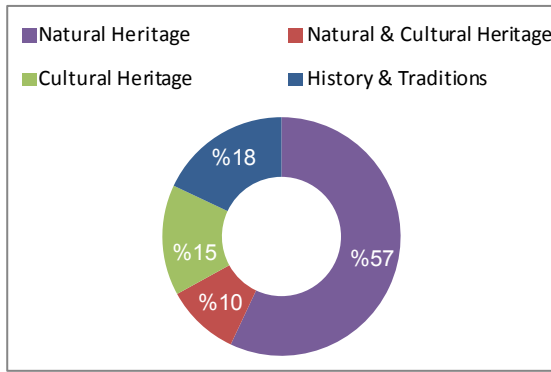


Figure 9-46: Q.: Which of the followings do you think attract tourists to visit your city?

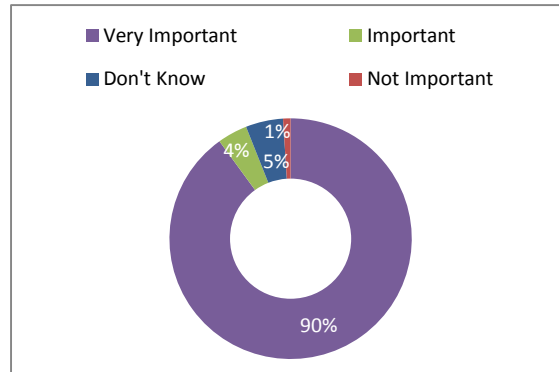


Figure 9-47: Q.: How much do you think protecting urban heritage is important?

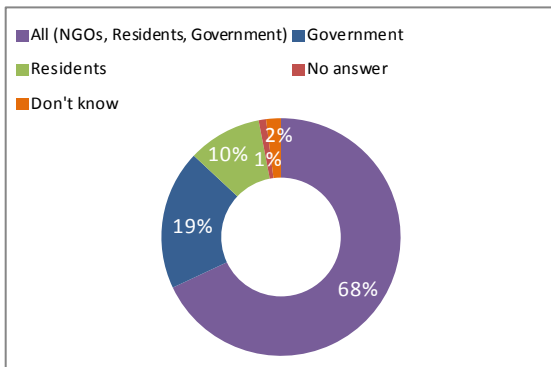


Figure 9-48: Q.: Which of the following actors do you think are most responsible for heritage conservation and management?

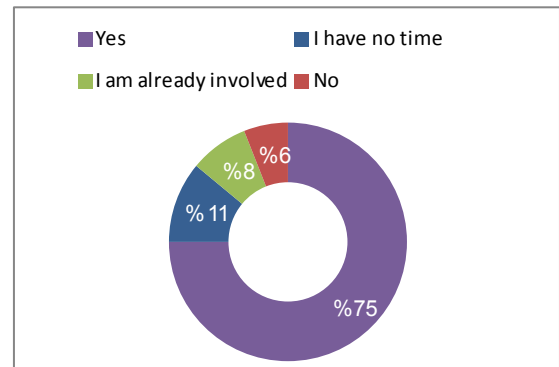


Figure 9-49: Q.: If you are called to participate in any activity that would protect any of heritage sites, would you participate?

The importance of heritage protection has been considered as a source to be proud of for many of respondents; 60% perceived that it is important to protect heritage sites to “keep in touch with the past for future generations”, 55% to “protect and preserve our culture”, 53% to “keep our identity for the future generations”, and 51% to be “proud with our cities, tradition, and nationality”. Nevertheless, 49% believed that it is important to protect heritage sites for tourist purposes and 26% for scientific purposes.

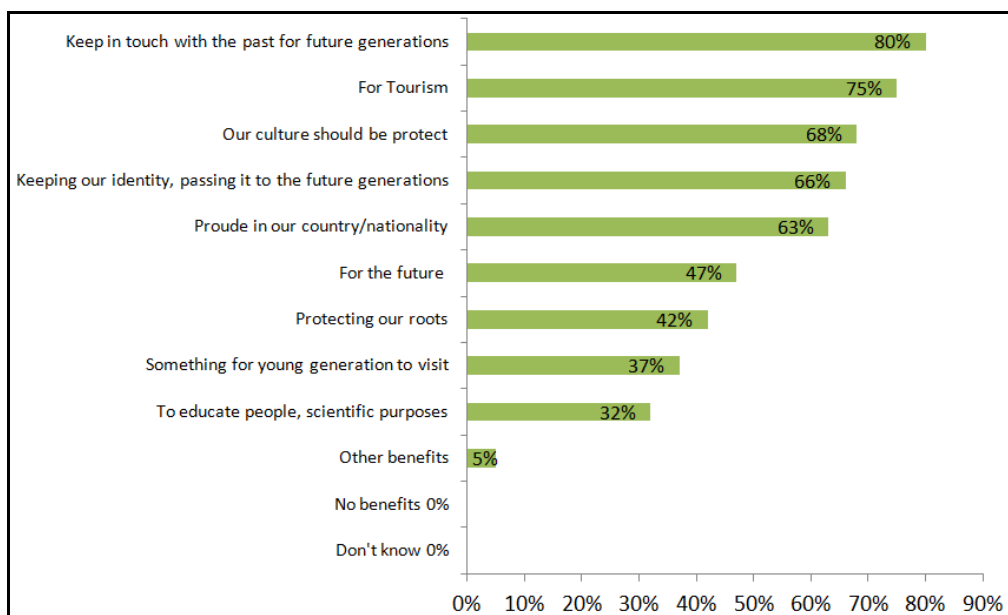


Figure 9-50: Q.: In your opinion why it's important to protect urban heritage?

The main source of information on heritage in Amedy is the “parents, family, and neighbours” as indicated by 95% of the respondents, while 72% of the respondents said that the main source of information is the “indigenous people”, and 36% of the respondents said that the main source of information is “books”. In light to the attained findings of people perception, more specifically about how important the heritage should be considered and conserved; about the people sources of information and knowledge; and about the people proudness of their heritage and willingness to participate in the related conservation aspects, it is important to know to what extent the above-mentioned points as perceived by the people of Amedy have been incorporated in the government’s legal framework, The following section addresses this aspect.

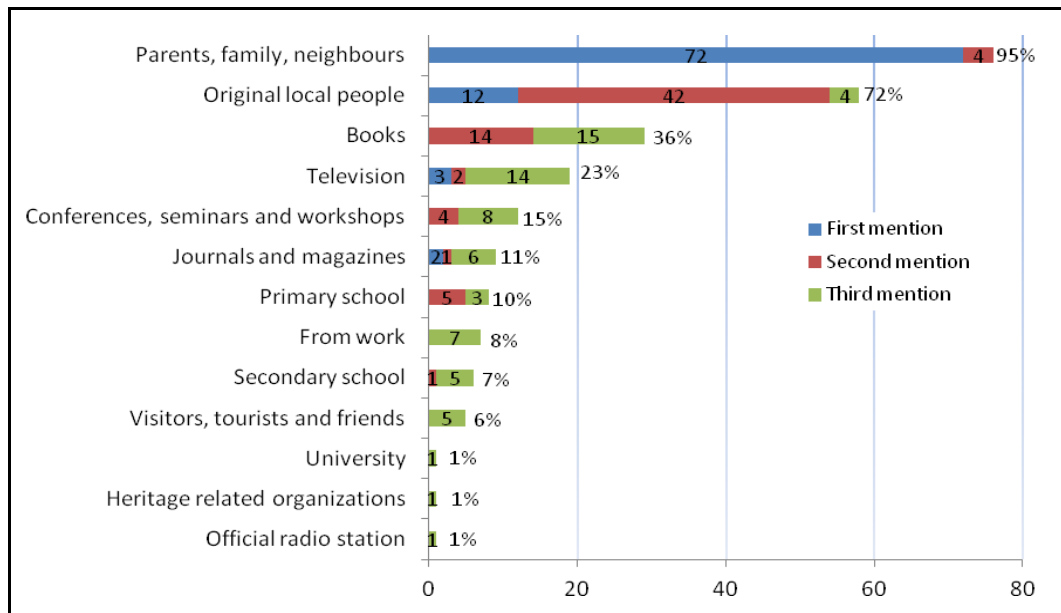


Figure 9-51: Q.: What is the source of your information about heritage?

### 9.10. Integrated Heritage Management in the Framework of Institutional Arrangements in Amedy City

It is worth mentioning that the Ottomans realised the historic and strategic importance of Amedy, therefore they administratively promoted it to a (administrative) district in AD 1862. The first mayor assigned for Amedy was Khendan Agha (Al Damalogy 1999). With the founding of the Iraqi state, Amedy became a district, part of the state of Mosul in 1924

According to the [Law of Municipalities and Tourism, 1992](#) no. 15 for the year 1992, the municipality of Amedy was granted a rank of 2, which is the second lowest rank in the Law, since its population in Amedy sub-district is less than 75,000 capita which consequently makes its authority more limited. This makes the municipality of Amedy directly connected to the General Directorate of Municipalities in Duhok province. It is to be noted that the Law of Municipalities and Tourism states that the cities which have a historical value or do not have enough space for expansion could be ranked higher, but this exception was not used in the case of Amedy, keeping in mind that Amedy is the largest district within the province area and contains most of the attractive elements natural (identified in the national tourism program) and the cultural ones since the area is 0.5 km<sup>2</sup>, becomes as the densest area with different cultural registered iconic sites in the Kurdistan Region.

As previously mentioned, the heritage conservation and management in whole Kurdistan Region is governed by a many ministries, including: Municipalities and Tourism and Culture and board of Environmental Protection and Improvement. These two ministries and board include different general directorates at province and local level. However, since Amedy is in the second rank of municipality, the municipalities and tourism general directorates in Duhok province have representative directorates in Amedy. in addition to the Directorate of Culture (See Figure 9-53). However, these directories are directly connected to and report to their higher authorities, or general directorates in Duhok province, all the government agencies are supervised by the mayor since he is the highest administrative authority in Amedy.

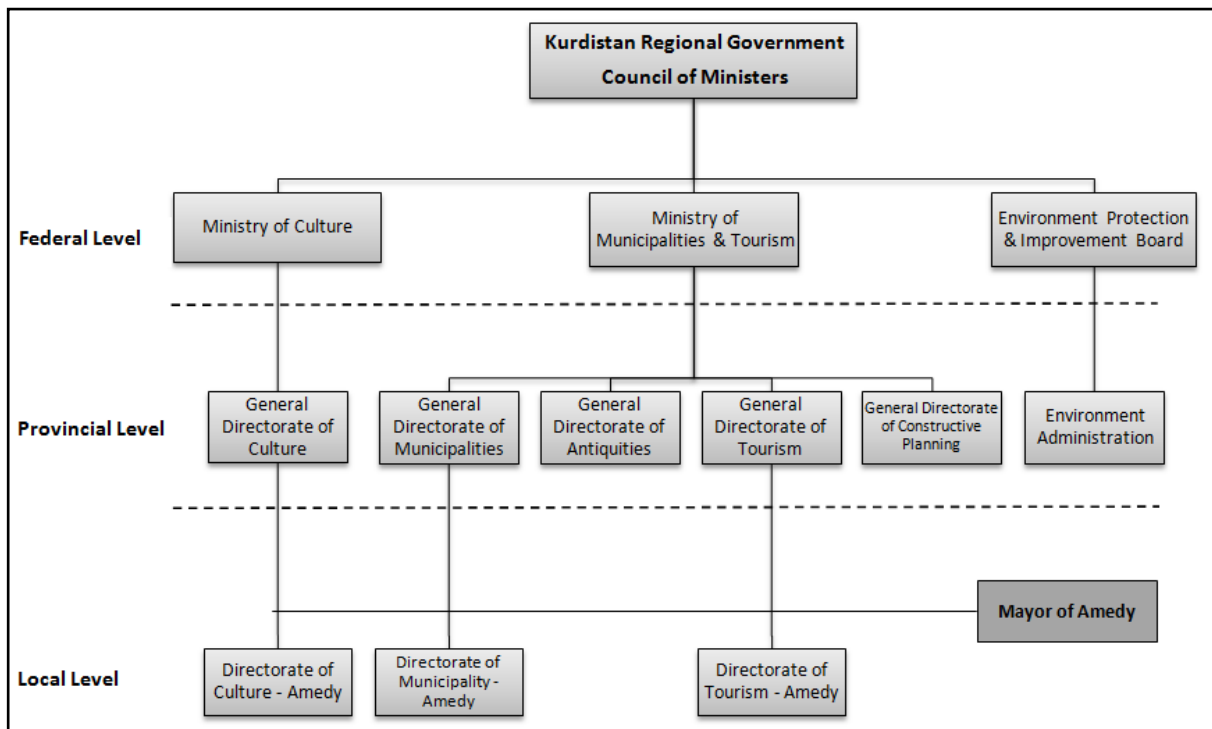


Figure 9-52: Government agencies responsible for heritage conservation and management  
Source: Own Constructed, 2012

However, the municipality of Amedy in coordination with the General Directorate of Municipalities in Duhok is the authoritative body responsible for making negotiations with the people over their historic buildings or land. Acquisition (which is not welcomed by the Amedy people) is the only option available for having full access to these sites for conservation purposes. Usually a technical committee of experts estimates the associated cost of the site. The compensation is usually made in the form of money cash. However, the local municipality may decide on another form of compensation as appropriate, like land swap with an equivalent value of the site. As such, other strategies such as partnership on buildings to transfer them into new economic uses (shops, restaurants, hotels, offices, or any intangible heritage activities place) in case they are rehabilitated are not available. It is important to say that the Directorate of Culture in Amedy which is responsible for cultural activities (intangible heritage) has no contribution on this regard. Overall, this made the situation on the ground of related heritage site worse. As per the natural elements, are not recognised as a heritage, the same as in Akre case there is no list for natural elements as heritage, they have been identify as a touristic sites only, neglecting the significance of them in terms of their natural value. The directory of environment in Duhok at the province level is mandated with the protection of national parks, natural beauty, and cultural landscape as specified in articles 32 and 33 in the Environmental Law no. 8 for the year 2008.

However, this agency practically focuses on the ecological aspects and does not even have a list for the sites to be protected on the basis of their natural landscape value. This can be easily observed from the evident violations on the landscape of Amedy, in terms of uncontrolled illegal buildings houses and for touristic purposes without any consideration to the site pertained value. However, these sites are mainly managed by the General Directorate of Tourism in Duhok through its field office in Amedy which is mainly concerned with management of related touristic activities. This office has no mandate in the prevailing chain of decision-making.

As per the existing public-private partnership as elaborated in the Investment Law no. 4 for the year 2006 for heritage conservation, it seems that only the natural sites have benefited from this, as construction of restaurants and hotels in the vicinity of natural sites have increased. The partnership is seen to be more feasible if it is between the government and the investors, but it is more difficult when the land is privately owned. This is because as it seems there is a lack of communication among the people and the decision makers within the related government. This is clear from the new tourism master plan, as the Director General of tourism says that they have many projects in these natural sites but they could not start since most of the lands are privately owned by the people.

In addition, private companies are not effectively involved in related conservation activities although the ministry of municipalities and tourism has recently decided in 2011 that the conservation activities for monuments and single buildings should be outsourced out to international companies.

Accordingly, conservation of 30 sites in Kurdistan Region including Qubahan School in Amedy was awarded to some international companies. Nevertheless, the work in most of these sites especially Qubahan School was suspended in 2012 as these companies were not specialised and competent enough in conservation work as has been mentioned earlier. *“We have observed that implementation of the restoration project of Qubahan School in Amedy is not properly made and there is delay or procrastination in implementation by the contractor. The contractor could be inefficient and not qualified for the job and that there is no body to monitor the contractor's works. This demonstrates lack of attention and knowledge or experience in conservation.” (NGO Expert, Pers. Comm.)*

However, 56% of the persons interviewed said that a lot of funds are spent for heritage conservation while 58% indicated that the government did not successfully administer heritage conservation and management. Though, the majority of the respondents strongly urge the government to protect the heritage no matter how much it will cost. More specifically, 78% of the respondents have indicated that the government should make benefit of the local knowledge, while another 22% disagreed with this statement (See Table 9-5). This contradicts with the results attained from the interviewed experts who attributed the shortcoming in the local heritage conservation to the overall low available funds allocated for the conservation activities. Some experts attributed the degraded conditions in urban heritage in Amedy to the lack of specialised cadre in heritage conservation since the heritage conservation was a centralised task administered by the central government in Baghdad in the past and conservation works has been done through them.

<b>Table 9-5: Residents perception toward the government performance in heritage issues</b>					
<b>Statement</b>	<b>Strongly Agree</b>	<b>Agree</b>	<b>Disagree</b>	<b>Strongly Disagree</b>	<b>Don't Know</b>
Urban heritage need to be protected, no matter how much it will cost	81%	13%	5%		1%
The government is already spending too much money to protect heritage	36%	20%	33%	8%	3%
In order to protect urban heritage, the government has to use the knowledge of residents	53%	25%	12%	10%	
The government is successfully managing urban heritage	5%	37%	36%	21%	1%
People access to information resources of urban heritage conservation and management is well established by government.	19%	28%	31%	11%	11%

Some attributed the current weaknesses in heritage conservation to the existing laws as there are limitations on heritage work. Acquisition is the only mean to have access to conservation of private sites which require a lot of funds for compensation to the owners of such sites. However, most of the interviewed experts attributed the weakness in heritage conservation also to lack of awareness and understanding of the heritage values among the people and government staff, as well, and the government has not taken the conservation issues seriously. With respect to the cooperation and coordination among agencies involved in the heritage conservation, almost all the experts assured that it is not up to the required level. For instance, a project for opening an access road to Qubahan School which was implemented by the ministry of municipalities in 2009 caused the demolitions of the remains of two historic shrines that were located in the path of the road. This action which seems to be caused by lack of coordination among responsible agencies increased the feeling of dissatisfaction among the residents.

Even in the new master plan of the city that enjoyed a series of discussions, not all the related agencies have been included in the discussion. One of the local experts affiliated to an NGO said: *"I am not aware if there is any conflict, I was present at discussions made about master plan of Amedy city, but the director of archaeology was not present at discussions about the master plan. It could be that he was not invited to these discussions, but what I am sure about is that there is no enough dialogue among government agencies."*

### 9.10.1. Level of Participation and Potentials for Stakeholders' Collaboration

As indicated in (Section 7.2.3), the people input in any related plan (e.g. master plan) is only restricted to specific period of time and only accepted in written form. Nevertheless, due to the associated complexity and the changes in the political system, the mode of public participation has been expanded since 2005 to include public hearings, seminars and some other methods to an extent of consultations with the people about the master plans or any other development plan. Also, a copy of the draft master plan is posted in public places in the target areas for public opinion solicitation before it is submitted to the ministry. This task might be carried out by the General Directorate of Municipality in Amedy. In Amedy, a considerable percentage of the interviewed people (47%) said that there is a good level of access to information in the plans including those related to heritage conservation activities (See Table 9-5). This strength is attributed to the good organisation of the people; an elected 5-member committee, called "Amedy Development Follow-up Committee" was established in Amedy and it is largely involved in the decision-makings that are related to the city development. This committee also had a considerable participation in a series of discussions made in 2011 for the development of the master plan of the city for the next 25 years. The draft of this plan was advertised through local media but it has not been finalised yet.

A technical committee established in the municipality in relation to the development of the master plan is still reviewing the objections raised by the people concerning details of the plan. Importantly to mention, efforts and consideration have been made to maintain the natural landscape of the city. In 2008, the master plan proposed by the General Directorate of Constructive Planning zoned the area surrounding Amedy as a residential area, and this came in contradiction with the proposed plan for the city to be included in the World Heritage Tentative List (Ismael, 2009). It is worth mentioning that the mass public supported the plan to list Amedy in the World Heritage Tentative List, and this has lead them to support the zoning of the surrounding area as green areas for the proposed master plan of Amedy up to the year 2035. Furthermore, the proposed master plan did not include the city of Amedy, but only focused on the surrounding landscape, since it was supposed that the city should be addressed in a separate management plan to support the application to the UNESCO's program. Nevertheless, public participation in heritage conservation is usually manifested through the conducted seminars and meetings with the owners of the sites in addition to some mediators such as elder men to negotiate with the owners, in order to reach an agreement on the phases of the conservation implementation plan, and methodology, amongst others. In addition, the follow-up committee of Amedy represents the residents in decision-makings related to the heritage conservation by conveying the residents' opinions to the decision-makers. This committee was also involved in the discussions about development of Bare Sile area. The results of these particular discussions were transformed into an action plan that is now under implementation. It has appeared that almost all of interviewed experts were not satisfied with the current status of the local heritage sites in Amedy. Nevertheless, almost all interviewed experts expressed willingness to participate in any heritage conservation initiative that could improve the performance of their departments. This interest is high when such initiative is carried out by scientific institutions such as a university or an NGO. However, most of the interviewed experts said that gathering them for such a discussion is the duty of the Duhok Development Centre in Duhok Governorate, which was responsible for many discussions regarding the development of the master-plans of Duhok, Zakho, Akre, and Amedy city. It is to be concluded that there is a considerable level of participation that could turns into a key stakeholders in the decision making process. Nevertheless, the participation process is still mainly dependent on the participant agencies and their belief in the importance of participation.

### 9.10.2. Reconstruction Efforts

Most of the implemented projects within the reconstruction efforts concentrated on the related infrastructural projects at the district level. At the city or sub-district level more focus has been paid to the basic services related projects. For instance in 2011 about 45 projects were implemented in Amedy city. None of these implemented projects focused on related conservation of cultural and natural sites. Nevertheless, in 2011 (See Table 9-6), 3 projects related to heritage conservation were implemented, namely: Kora Serege that became a dumping site, therefore the site was cleaned and fenced; restoration of a nearby bridge (5 km); and restoration of Sultan Grave.

<b>Project</b>	<b>Amedy City</b>	<b>Amedy District</b>
Construction	<b>6</b>	<b>25</b>
Road pavement	<b>10</b>	<b>29</b>
Municipality	<b>0</b>	<b>7</b>
Archaeology	<b>3</b>	<b>3</b>
Housing	<b>8</b>	<b>22</b>
Electricity	<b>11</b>	<b>41</b>
Water supply	<b>1</b>	<b>19</b>
Education	<b>3</b>	<b>9</b>
Higher education	<b>1</b>	<b>1</b>
Health sector	<b>1</b>	<b>3</b>
Agriculture	<b>0</b>	<b>2</b>
Religious affairs	<b>1</b>	<b>8</b>
Veterinary	<b>0</b>	<b>1</b>

Source: Amedy Municipality, 2011

Most of the related service-based projects in the urban area have negatively impacted the historic image of the city. For instance, most of the paved roads used cement to cover the historic stone-tiled in the alleyways. Also, many new governmental buildings (e.g. Bank, police offices) have been added, using new materials without respecting the historic image of the city.

### 9.11. Conclusion

The characteristics of Amedy are quite significant in terms of cultural heritage sites and natural elements. Since the history of Amedy has a complex background of incidents, where many religious, tribal, and civilizations have passed over the area. Most of the passed civilizations wanted to take advantage of the significant location of the city, due to its embedded natural fortification. Nevertheless, the city has grown from a fortified city to a commercial city due to its gained political significance, especially during the Bahdinan Emirate. The rich historical epochs of the city have resulted in rich cultural assets.

Amedy was nominated to be listed on the World Heritage Tentative List based on five main criteria; 3 of which are related to its significant cultural aspects (criteria(i),(ii)and (iii)), and 2 of which are natural related elements (criteria (vii) and (viii)). The nomination process was concluded in 2011.

The current condition of the cultural heritage and natural elements are confronted with many challenges that impede the development of the city. For instance the increasing population rates within the relatively small area of Amedy could be considered as a challenge



and a potential at the same time, since the shape of Amedy city is an attraction element, especially for the related touristic activities. It is worthy to keep in mind that the reconstruction efforts have failed to achieve its planned objectives, and have resulted in increasing the pace and scope of sudden spatial changes, especially around the registered sites and within the traditional quarters. As such, many of the residents left their properties due to the overall weak physical conditions. This had resulted in the decay of these properties in the physical and functional aspects. Furthermore, due to the lack of technical capacity, even the registered sites are suffering from deformations of engravings, such as in the example of the restoration of Mosul Gate, keeping in mind that the local government only consider the registered sites, especially their scientific and historical values. Also, the lack of surveys and documentation especially for the traditional quarters accelerate the changes on these sites, since that the acquisition is the only used strategy. This means that the public-private partnership in the case of rehabilitation of buildings is not a common practice.

The great potential in terms of cultural heritage and natural elements have not been cultivated and well integrated in the everyday life practices of the residents, especially in respect to the related touristic activities. Actually, there are many violations against the natural elements, since many of the new buildings were with new styles, which are not in harmony with the surrounding landscape and interrupting the view to the other sites.

Based on the conducted expert interviews, structured interview with residents, and from the field observations, it is quite clear that there is no comprehensive understanding to heritage aspects among residents and local government alike. For instance, most of the residents and local government officials regard part of the cultural aspects as a heritage, but not the natural aspects. Nevertheless, they consider the natural elements important for the related touristic activities. This is the result of consecutive governments that regards the natural elements as the only important elements for touristic activities. An example on lack of understanding of natural elements with cultural dimension is the Bar Sile site, which was converted into an artificial park, thus neglecting its cultural dimension. In the same token, some of the interviewed experts claim that there is lack of sufficient funds or entrusted responsibilities to help conserve the heritage sites.

In terms of institutional arrangements, despite the great heritage potential in Amedy, there is no representation to the related competent authorities (general directorates at the province) at the local level, since it is designated as rank 2. Said differently, all the related aspects of heritage conservation are regulated at the province level, with lack of cooperation, coordination and communication. This was evident from constructing new road for instance leading to Qubahan School that demolished two valuable shrines, which resulted in a conflict with the residents of that area.

In terms of participation and the involvement of all stakeholders within the conservation process, it is quite clear that there are commendable efforts and initiatives to include the residents in the process of decision-making. This was evident in the development of the recent master-plan, in coordination between the General Directorate of Constructive Planning and the Directorate of Amedy Municipality at the local level. Nevertheless, this was not case in the development of the related Tourism master-plan that was developed by the General Directorate of Tourism. As such, the level and scope of inclusion of the related stakeholders remains a personal (character) rather an institutional decision. This aspect was echoed as well when the local perception was solicited, where many of the respondents assured that there is an attention to include the residents in the city planning at large, especially since there was a designated committee at the local level to follow-up the related planning initiatives.

## **Chapter 10: Applicability of Values-Based Approach in Akre and Amedy City**

### **10.1. Introduction**

The preceded two chapters identified and presented the associated weaknesses of the prevailing planning and management system for heritage in Akre and Amedy cities (in terms of integrated approach principles). The phenomenon of obsolescence is clear (physically and functionally) in heritage sites (houses, shops, general buildings, etc.). Furthermore, due to the rapid changes most of the historic sites are losing their visual traditional integrity, and attraction. These changes are the result of resident's needs, also due to the governmental related projects to heritage conservation inside the old cities. These projects did not take into consideration the significance of the sites, integrating the sites with its surrounding functionally and visually. Moreover, lack of access to the sites, due to many informal houses in the way and illegal car parking is among challenges facing heritage conservation and management in the context. Furthermore, the current infrastructure building projects, do not respect values of the sites. All of all, these changes affect the city image. In term of economic activities, heritage (especially cultural sites) has not been integrated with the tourism activities, except some of the natural sites that are only benefited from at the short term, and not in a sustainable way, keeping in mind that the strategic plans at the national and federal levels have emphasised on the importance of cultural and natural heritage sites as an economic resource to the people. These challenges are coupled with the lack of coordination, cooperation, communication between government agencies, which are part of the governmental duties, along with the lack of participation of the residents, which is part of the strategic plans.

As a result, heritage has not been taken holistically and has not been interconnected with the daily life of the people. It is clear that there is a lack of sufficient awareness and understanding for all heritage aspects and their significance. The deterioration of the sites which are listed or those deserves to be listed in the national list and, sets or groups of potential conflicts: (a) among government agencies concerned with conservation's strategies; and (b) between government agencies and residents on the sites selection for conservation as in Akre for example. In the same token, the total neglect of people economic benefit, especially from the cultural sites is among these set-backs. Such conflicts would progressively generate critical challenges to maintain an integrated and sustainable approach to heritage conservation and management in Akre and Amedy city. The previous chapters also have analysed and presented the increased concern and enthusiasm of residents and local experts to protect heritage and their willingness to participate in the heritage management and a conservation activity, keeping in mind that the collaborative theory dictates that willingness is one of the driving forces to involve all stakeholders in the decision-making. Nevertheless, the reluctance and failure of the related government agencies to invest in the local's willingness to participate in the related heritage conservation activities have deepened the gap between government and residents. Engaging all stakeholders (particularly residents) in the process of decision making to heritage conservation and management is highly recommended for management and conservation of heritage.

The theoretical review also have referred the provision of access to the stakeholders to participate in the process of decision making as a driving factor and an initial step to achieve a robust involvement of the all stakeholders in heritage conservation and management process.

This chapter examines the values-based approach practice in the context of research, more specifically the process and the outcome of the stakeholders discussion, in which residents meet and interact face-to-face with the decision-makers at different levels to participate in the discussion (particularly residents who feel that they have been excluded from the process of decision making). And will analyse and exploring elements that impedes and/or assist the practice of values-based approach to heritage management in the context of the research. This will be based on the criteria identified in the theory part that are the result of scholarly work related to the evaluation of collaborative theory for land use planning and resource planning, and from the literature related to the potential and challenges of values-based approach. Based on these techniques and their practice, many findings and outcomes have been presented and in order to present the findings in an organised and systematic way, the chapter has been divided into two parts, first one targeting Akre and the second targeting Amedy.

## 10.2. Enabling the Environment for Values- Based Approach Practice

The purpose of this participation framework is to provide and enable the environment for concerned stakeholders to undertake participation. Based on the findings from survey questionnaire, and experts interviews conducted with experts, concerned government agencies have been identified as key stakeholders. These agencies are those who are highly concerned in a strong position to support or impede the development of management plan for the safeguarding of heritage (agencies with high interest and power). Different categories of stakeholders have expressed their willingness to participate in the discussion.

The researcher as a participant observer has engaged in facilitating the access to all stakeholders to participate in the discussion both in Akre and Amedy seminars, since seminars are modes of establishing a designated forum for the heritage conservation in the context of research. The conducted seminars provided a clear access for many stakeholders, including: community NGOs and residents to elect their representatives to avoid “sectoral dominance” that may result from multiple participants representing the same interest group.

Seminars were arranged in consultation with the related official agencies at the local level in both cities and announced via local media (such as local television and radio). The aim, program, logistics, including time and location were discussed in details.

Also another two workshops were planned to take place. The workshop’s program, aim, and objectives, time and location have been discussed in consultation with the local and province related agencies, and in consultation with University of Duhok and Duhok Development Centre (DDC) at Duhok Governorate. The DDC had low level of motivation to attend since it considered heritage issues and the planned collaborative exercise beyond its mandate.

One month prior to the workshop, an official invitation was formulated by Duhok Governorate to the concerned regional ministries, provincial and local agencies and target stakeholders (See Table 10-1) with information about the workshop's justification, objectives, location, and logistics. Invitees received their invitations formally in written, email, or phone calls, one month before the workshop. They were asked to confirm their attendance one week before the workshop’s day. Overall, almost all agencies were positive in regards of their participation in the workshop. An independent workshop co-facilitator was employed to orchestrate the communication during the workshop mainly who has the experience with UN Organisations such as: FAO and HABITAT. Two workshops (one for Akre and another for Amedy) were held in Duhok city in which the different stakeholders took part. The University of Duhok and local government in both cities covered the cost of the venue and catering for the participatory planning workshop. All activities of the workshop were documented through videotaping, voice recording and photography.

The researcher inaugurated the workshop and outlined the research motivation and objectives, and delegates were given the opportunity to present their perspective on major participation and planning issues in their area of interest. These matters were brought together in thematic-group discussions to develop research directions and priorities. The workshop provided a platform for group discussions. It was targeted at decision makers, managers, academics, practitioners, and residents involved in the planning, design, management and implementation of heritage related activities in the region (See Appendix 13). The participants represented different age groups, and were representative in terms of gender and ethnic group.

The mayors of Amedy in consultation with the Director of Municipalities in both cities also identified some stakeholders according to their specialities in the government agencies and some non-government professions to represent residents. Meanwhile the researcher, based on the conducted field visit, expert interviews, perception questionnaires, document analysis, and heritage experts and professionals who attended the seminars, also identified some stakeholders to participate in the workshop.

<b>Table 10-1: Stakeholder's analysis of Akre and Amedy cities</b>		
<b>Type of stakeholder</b>	<b>Level of stakeholder</b>	<b>Scale of stakeholder</b>
Government	Federal	Ministry of Municipality Ministry of Planning
	Province	General Directorate of Duhok Municipalities General Directorate of Urban Planning General Directorate of Antiquities and Heritage General Directorate of Culture General Directorate of Tourism Representative from Governorate Council Directorate of Environment
	Local	Directorate of District Municipalities Directorate of Antiquities and Heritage Directorate of Culture Directorate of Tourism
Resident	Local	Nearby residents of heritage sites Property owners, businesses and investors Community organisations Ethnic groups
Catalyst	Federal, province and local	Representatives from High Commission for Erbil Citadel Revitalisation Professionals and experts from various disciplines such as archaeology, history, architecture, heritage conservation, tourism, social studies. Academics and researchers with sites or studies in or near the area

### 10.2.1. Workshop's Objectives

The overall objective of the workshop is to raise the awareness and understanding of all the relevant stakeholders about the heritage and conservation issues. Heritage is multi-dimensional: social, economic and environment. Its conservation ultimately will lead to sustainable development at the long run. This can be achieved by integrating it with the other development plans and programs. The first step in that way is to identifying the sites and values attached to it with its main features that should be preserved in order to sustain the site's significance.

Determination of heritage values and character-defining elements of the site in consultation with all stakeholders, would guide the development of a conservation plan, the intervention strategy, guides for land use planning and management plan. The participatory planning workshop can be considered as a preliminary step towards a robust integrated heritage management planning, which needs monitoring and evaluation on a regular basis aimed at developing an inclusive heritage and raise awareness of its values for both governmental agencies and local community.

The main objectives of the conducted workshop could be summarised, as follows:

#### **First Objective:**

Identifying places which are considered to be a heritage and worth to be conserved. The question asked was: Which place in the city you consider to be a heritage?

#### **Second Objective:**

Understanding the importance of these sites through identification of their values (historic, aesthetic and natural, social, and scientific and research) and character defining elements: What are the important elements within the site that deserve preservation?

#### **Third Objective:**

Determining the boundaries of the historic city were delineated according to the standards and criteria, the historic city centre/conservation area and aligning its borders.

Overall, these objectives aim to enhance the role of stakeholders, or participant's mobilisation - achieving higher rank on the ladder of participation. This has created a forum for discussing the current status of identifying and evaluating heritage sites. The second task portrayed an active role of all participants. Due of the intense and interactive roles perceived among the participants of the workshop, the best method identified to hear from them was the format of groups: in this way ideas and communication could flow more easily.

Participants were divided into groups according to the values of heritage sites in which a variety of specialties, along with gender and age variables were taken into consideration. This gave the participants the free well of speaking. They have been able to articulate and analyse the values and character defining elements of the sites and finally they have voted for their conservation. Also, they have identified the conservation area and the needed buffer zone.

The identification of heritage sites and the highlight of their values considered the aesthetic, historical, social, scientific, and natural that may be held by stakeholders. The key purpose of these steps is to ensure that all heritage values held by the people and government agencies are taken into consideration in the development of policies for the future management, site/land-use planning decision making related to the sites.

### 10.2.2. Workshop's Program

The workshop program was designed in a way that would help understanding heritage site and evaluating its significance (See Appendix 11, for workshop's agenda). It included a presentation delivered by the researcher and other participants that were tapped and recorded in the university's archive. The presentation aimed at motivating and enabling the participants to develop their critical thinking abilities to understand heritage aspects (cultural and natural) and values (scientific/research, historic, aesthetic, and social values) (See Appendix 12, for more details on value's description). The objective of understanding heritage values is not to focus on historic period or value alone, but to articulate a broader understanding of what this place means to residents in Akre and Amedy. This gave an opportunity to understand what site significance means. Workshop facilitators provided hand-outs of the presentations to the participants and provided further assistance and explanation in case needed. Therefore, it was necessary to create a framework of participation with these groups, where all their ideas concerning sites and their values were voiced, while enabling the construction of a common understanding between all stakeholders at the end of the workshop. After the stakeholders have been organised in those groups, they started to depend on their understanding to the values, then they have started selecting sites which deserve to be included in the conservation plan. Those sites have been presented by each group, and then unified in one list at the end.

Afterwards, the workshop enabled the discussion among the stakeholders to address the (character-defining elements) of the place that embody the heritage values. Each group concentrated on one value for the different sites. These two steps helped them to select and identify the conservation area. Despite the fact that these values and character defining elements of heritage sites have been the main components of discussion among the stakeholders during the workshop, the open forum of dialogue in the workshop included other issues of concern for the participants, especially related to the future uses of the sites.

### 10.2.3. Workshop's Procedures

The stakeholder's workshop outlined the process for using 4 procedures to assess various components of heritage site management and effectiveness that together would draw a picture of the values-based approach. The procedures are, as follows:

**Procedure 1:**

*Identifying heritage sites worthy to be protected:* this procedure examines all the different processes involved in identifying the heritage sites (cultural and natural). It highlights a building, site or area's special interest and the values associated with for the future generations.

**Procedure 2:**

*Placing the identified sites on a map:* this procedure involve identifying the geographic location of the sites.

**Procedure 3:**

*Identifying site value(s) and character-defining elements:* this procedure identifies and lists major site's values and character-defining elements, which help in the decision of what should be monitored and analysed during the assessment

**Procedure 4:**

*Reaching a consensus on the boundary of historic city among the groups and delineating it on a large map:* this is an important objective for the local authorities to develop the local development plans that provide information on the land use allocations and urban development policies.

### 10.3. Akre City

An important point that the researcher noticed in the analysis related to Akre city is the overall lack of any related governmental work focusing on raising the public awareness of urban heritage conservation and management. In the same token, there is no NGO dealing with the tangible heritage in the city. Nevertheless, some general seminars had been conducted on the history of Akre city. As the findings from the previous chapters indicate, the people of Akre city feel that they have always been excluded from the conservation processes and decision making processes concerning the heritage in their city. Therefore, seminars and workshops would be the venue for them to voice their aspirations and concerns and to take part in heritage management and conservation.

#### 10.3.1. Seminar for Akre City

The seminar has been prepared in coordination with the official governmental agencies in Akre city-Mayor and Directors of Directorates of Antiquities and Traditions, Municipality, and Tourism-and with NGOs. All these parties were supportive and gave a high profile to the seminar, and gave a hand in the logistical aspects related to the seminar (invitations, venue, etc.). The seminar has included residents and decision makers from the city. The seminar enjoyed extensive media coverage (local television, radio and magazine). The seminar has been held at Akre Technical Institute on the 13th of September 2012. The participants arrived on time, and no delays have been recorded. Importantly to mention is that the mayor of Akre selected this hall for the seminar as an indication on the interest in urban heritage conservation. The mayor wanted to have the first activity in this new hall in Akre Technical institute with this particular seminar. In addition to the Mayor of Akre, the seminar was attended by the heads of administrative agencies, residents, heritage professionals, concerned academics and specialist, local owners and privet sector, NGO related to intangible heritage (See Figure 10-1).

To facilitate attendants understanding of the urban heritage conservation, the seminar initially included two lectures presented by two professors from University of Duhok – Kurdish Cities and their Development (by Farhad Haji Aboush) and Historical Phases of Akre City (by Mohammad Salih Zebari). They were delivered to introduce and broaden the participants knowledge in the historical aspect related to heritage in Akre city. Then the two lectures were followed by a third lecture about Heritage and How to Plan for its sustainability presented by the researcher. The researcher outlined the concept of heritage conservation and how it has evolved over time. The presentation provided a deep insight on the importance of heritage in Akre in terms of sustainability. The researcher also outlined the heritage laws and legislations in Iraq since monarch (1917) till 2012. At the end, the researcher presented how conservation and development are complementary to each other towards achieving the sustainability of the heritage as a resource.



Figure 10-1: Akre Seminar, 2012  
Source: Own photos, Seminar 2012

At the end of the seminar a thriving discussion was made by the participants. The discussion quickly revealed that participation in the related heritage conservation activities is something new and that the management of heritage should be functioning on multiple levels including the local level. The participants believed that conservation is limited to archaeological sites and does not include other elements of urban heritage. Thus, the meeting offered an arena where the dynamics between conservation, management, and development could be analysed and viable solutions for heritage places would be outlined. The main findings of this seminar could be outlined, as follow:

1. The seminar was received with a great attention by the local government and it was attended by various departments and representatives of the civil society. It was attended by about 250 persons including men and women, youth, old-aged, local figures, directors of local departments, intellectuals, university professors and scholars, etc. The high number of participants in the seminar reflects the interest of stakeholders to collaborate and understand heritage. At first the majority of the participants from residents believed that the seminar is a local government initiative to convince the community through the help of academics and eventually seek their consent to maintaining and conserving the Qishla building in Akre. Actually, lack of trust between the local community and government could be easily observed from two perspectives: the inclusion of the sites in the restoration, or the failure of the government in the restorations projects. There was also a hesitation among the heads of some governmental departments about the involvement of residents. They were afraid that the involvement of residents would increase their demands that might not be satisfied, as in the example of the contested Qishla building.

However, their initial perception about the seminar objective was changed after the presentation of the three lecturers which indicated that the focus is not only on a single site but on the whole heritage aspect of the city and on public participation in the preservation of heritage sites in Akre at large. This also motivated more interventions from the attendants. Some representatives of local departments including director of Akre municipality indicated that heritage conservation in Akre is a nascent task; therefore it is quite normal to be characterised with many contentions now.

2. Participants expressed their belief that their city has been marginalised intentionally by previous Iraqi governments which aimed at erasing the identity of Kurds. Nevertheless, the task for managing urban heritage has also been fragmented and disintegrated by the Kurdish government. For instance, many agencies in Akre city claim the responsibility for heritage without actual or practical activities.

3. Some participants showed interest and enthusiasm in conservation of heritage sites in Akre as noticed in the questions and discussions held at the end of the seminar. As heritage conservation is mainly a government responsibility, the residents criticised the government for not paying much attention to Akre city particularly in the field of historical and archaeological studies and research. They indicated that there is lack of adequate studies and research about Akre on this regard. To fill this gap, they requested the civil society and academia to attend. Participants (mainly officials) urged the academic institutions (particularly University of Duhok) to carry out more scientific research and studies in conservation issues.

4. Almost all participants agreed that the historic part of Akre city has the potential to be a tool for development of the whole region for the benefit of its people. Participants (mainly residents) showed enthusiasm about proposed idea of preserving heritage in Akre. Participant at some point proposed that the details of conservation plan of old historic city have to be discussed at other governmental levels (provisional and regional) to inform them about the associated impacts.



5. Some others showed a huge interest in conservation. They criticised the government for ignoring and not paying enough attention to this important aspect of urban development, especially in terms of conservation projects.

For the researcher, the seminar acted as a tool to select the interested stakeholders. The participants agreed on the time for conducting a participatory workshop in Duhok city. Through an open voting at the end of the seminar, the participants elected their representatives to be involved in the workshop and also appointed who will represent residents taking into consideration the age, gender, and socio-economic background. This group of 20 stakeholders have cleared their participation in the workshop with the mayor office. The mayor of Akre in consultation with the Director of Municipalities also identified some stakeholders according to their specialities in the government agencies and some non-governmental professions such as local owners and investors. Meanwhile the researcher and based on the conducted field visits, expert interviews, residents perception survey, document analysis, proposed other potential stakeholders, in consultation with heritage experts and professionals who attended the seminars. Thus the seminar provided access for everyone who wants to participate in the process of decision making of heritage management in Akre city. To conclude, the government was willing to involve the stakeholders in the conservation issues at the province and local level.

### **10.3.2. Stakeholder's Workshop for Akre City**

The stakeholder's workshop for Akre was held at the Culture Centre of University of Duhok on the 10<sup>th</sup> October, 2012. The workshop was designed to suite the interests of most of stakeholders intending to identify and protect heritage and will help ensure that these choices are sound and suitable to the context of Akre (See workshop's agenda in Appendix 11A). The workshop was attended by 30 key stakeholders at federal, province and local who have contributed to constructive discussions with their active approach (See Appendix 13).

Important to mention that it was rather difficult to find the suitable time and satisfy the different parties on an agreeable venue (Duhok or Akre city), but taking the incurred cost of transportation into consideration, Duhok was chosen since most of the stakeholders were based in Duhok. Also, Duhok is characterised by the availability of adequate facilities.

The agenda of the workshop was designed to share information and to engage in facilitated discussions among attendees and experts (gathering local and regional experts). The agenda was divided in two parts. The first part consisted of a series of three expert presentations followed by a discussion that was moderated by a local expert in order to facilitate dialogue among government officials, professors, professionals and other attendees.

Afterwards, a presentation by the researcher entitled: Significance of the heritage sites and the character defining elements, which was delivered to explaining the types of the values (historical, scientific, natural landscape, and social values) in addition to, some guides to articulate the character defining elements of the site. In the second presentation, a member of the School of Engineering at University of Duhok, delivered a presentation entitled "Scientific intervention to historic buildings". To close the first part, Mayor of Akre presented the current and prospective projects regarding heritage in Akre city and counted on the presence of regional and local experts representing both public and private sector.



Figure 10-2: Academic proceedings-Introduction on site values and character defining elements in Akre Workshop  
Source: Own photos, Workshop 2012



Figure 10-3: Professional proceedings - Mayor presentation about current projects in Akre Workshop  
Source: Own photos, Workshop 2012

The second part of the workshop concentrated on formulating a new understanding and valorising heritage sites where the participants were divided into groups and asked to follow the procedures described previously in this chapter (See Section 10.3.2.).



Figure 10-4: Participants - Group selection in Akre Workshop  
Source: Own photos, Workshop October 2012

The participants identified 32 sites in Akre city as heritage sites (natural and cultural) worthy to be protected (See Appendix 14). The process of identification was based on their understanding and did not only focus on the material heritage but also on memories, stories, and legends of each place.



Figure 10-5: Researcher as a participant observer in one of the group discussion in Akre Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-6: Site selections by groups in Akre Workshop  
Source: Own photos, Workshop, October 2012

Finally, the discussion focused on the different values of each site, and the participants started to articulate the character defining elements for some of the selected sites because of the time limitations. This has helped the participants to draw the boundary of the historic centre (the conservation area) on a map.



Figure 10-7: Placing the identified sites on a map in Akre Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-8: Group discussion of values and character defining elements of sites in Akre Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-9: Presentation of values and character-defining elements by each group in Akre Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-10: Delineation of conservation area and buffer zone on map in Akre Workshop  
Source: Own photos, Workshop, October 2012

### 10.3.3. Results of Akre Workshop

In this section, parts of the results are presented. The identified sites have been gathered on Akre map (See Figure 10-11). Moreover, values of those sites are elaborated (See the list of the identified sites and their values in Appendix 14). This process helped to determine the conservation area and its buffer zone (See Figure 10-12). The description, values and character-defining elements of one of the identified sites are presented here as an example.



Figure 10-11: Gathering all the identified sites on a map in Akre Workshop  
Source: Own photos, Workshop, October 2012

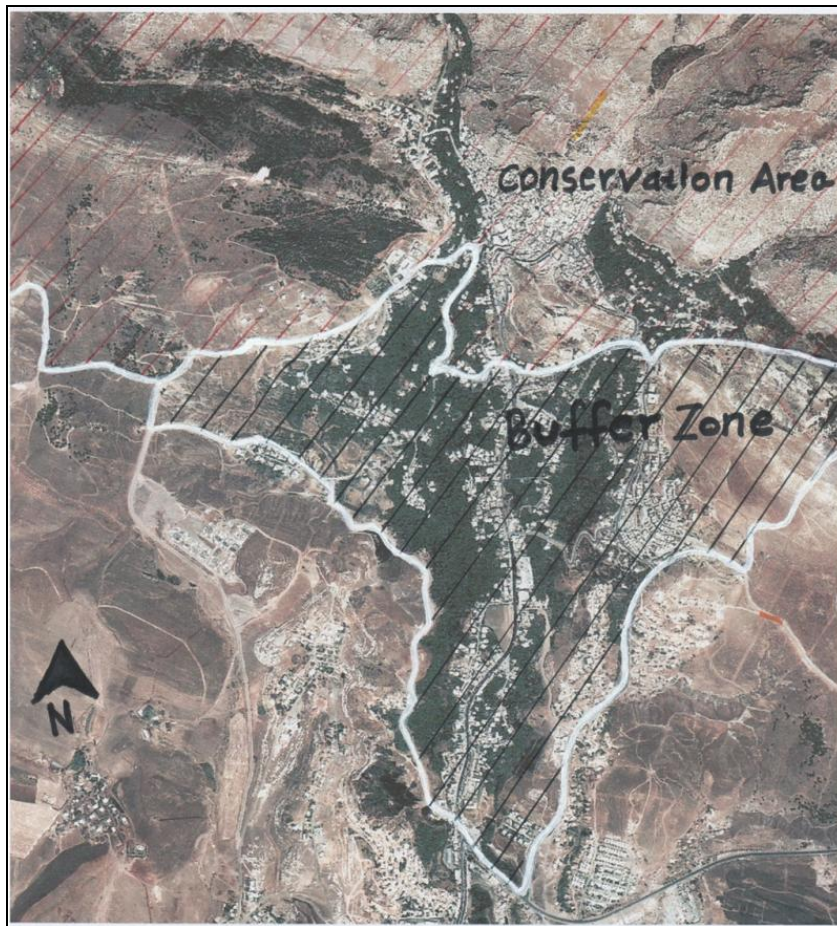


Figure 10-12: Proposed conservation area and buffer zone  
Source: Akre Workshop, 2012

## Church of Virgin Mary in Akre

### Description:

The Church of Virgin Mary, also known as Akre Parish Cathedral or Queen of Holy Rosary Church, is located at the northern part of Akre historic city. It was built in the fourth century AD by a small number of Christian families who habituated in old Akre city. Throughout its long history, the church has been an important centre of religious education for Christian in Akre and surrounding areas. The Church built on an area of about 250 m<sup>2</sup> with one storey height using stone, plaster and lime for its construction. The church is registered on the national list as a part of Akre old city.

### Heritage value:

The Church of Virgin Mary is one of the few surviving old churches in Kurdistan Region. Although it is not large in terms of size but it is one of the most important sites for Christians. The building is historically important because of its long historical associations with its role in Christianity religious education. The Church has an aesthetic value as represent a good example of 14th century buildings; the building is constructed with typical materials such as, carved stone and lime, with its simplicity and clarity of the design. Furthermore, the church has key visual characteristics, as it is basically crowns the old city, surrounded with many natural elements including the sites that have cultural dimensions. In addition, the church is a clear reference to the tolerance and strength of the social links between the residents of the city despite of different religions beliefs in the city.

### Character-defining elements:

Key elements which contribute to the heritage value of this site include:

- The nomenclature of the church reflects a period of early appearance of Christianity in the region.
- Its function as a religious educational centre.
- Its location recognised for being at the highest point within Akre old city (See Figure 10-13).
- A one storey height of the church building.
- The construction material with its carved stone and lime walls with a rectangular building form.
- The church has a small forecourt surrounded with low walls as a fence.
- The exterior elements related to original design such as the shape of its turret, doors and windows.
- A small inner courtyard with an only native palm tree in the city.
- The sitting of the church which compliment with its surrounding buildings that gives a terrace structure of the old city. This includes the alleys between buildings, the height and building materials.
- The continuing presence of the church within the old city (including the archaeological sites) and the natural sites, particularly those which are remembered and revealed in oral tradition.
- Its location provide the church with many different view angles (See Figure 10-14).
  - Uninterrupted view from Qishla square to the church
  - Uninterrupted view from the church to Akre old city
  - Uninterrupted view from orchards around the old city to the church
  - Uninterrupted view from Akre castle to the church
  - Uninterrupted view from Grand Mosque to the church
  - Uninterrupted view from the main streets that lead to Akre old city from east, west and south from many angles.
  - Uninterrupted view from the opposite hills to the church
  - Uninterrupted view from the church to the vast surrounding natural landscape.

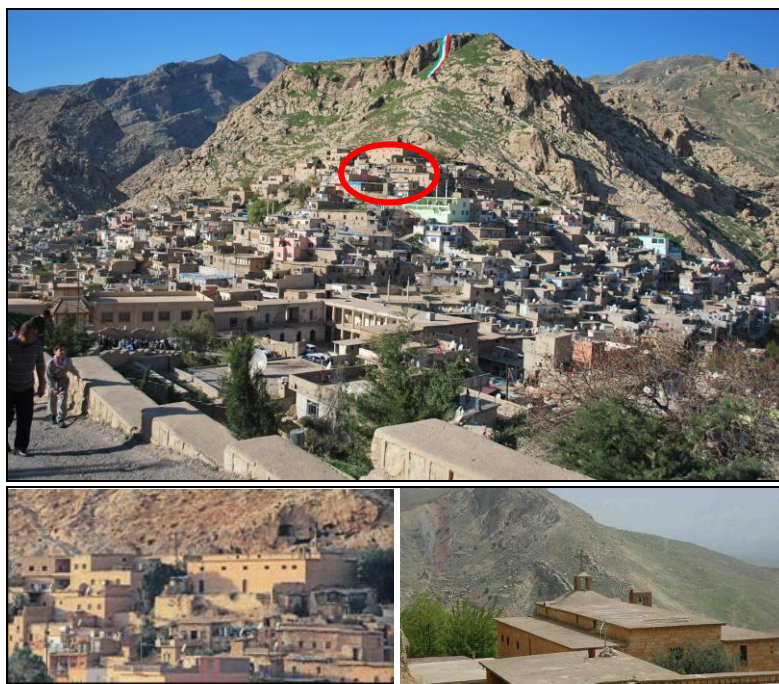


Figure 10-13: Virgin Mary Church crowning the old city of Akre  
Source: Akre Workshop, 2012



Figure 10-14: View from and to Virgin Mary Church within the old city of Akre  
 Source: Akre Workshop, 2012

### 10.3.4. Evaluation of Values-Based Approach “Process and Outcome” of Akre Workshop:

#### Process Criteria

#### 1. **Purpose and incentives:** Process is driven by a shared purpose and provides incentives for participants to participate and work toward a consensus outcome?

The process is best defined as being driven by a shared purpose and thoughtful goals and provides incentives to participate and to work towards a consensus. This process was driven by a common purpose shared by the participants with most of them having already clear goals in mind. The goals become clearer with the introduction of the participants’ responsibilities in the process. Participants unanimously shared an urgency to deal with the urban heritage conservation needs and a consensus that any further delay of this issue could not be accepted but still it requires discussion and negotiation. For the government agencies they already reached the conclusion that none of the agencies could perform the conservation related measures in a successful way alone. That is why most of them attended the workshop. Representation of the relevant government agencies in the process is a motive to encourage other stakeholders such as the owners to participate and advocate for their needs and interests, which could be undermined in case a decision is made without their involvement, as has been indicated by one of the residents:

*"We [residents] attended the workshop as we learned that the relevant government representatives will participate and could make some decisions which may not be in our interests". And from others "Today's forum is the best opportunity for us (residents) to advocate for our needs and interests since all were attendants (Resident Participant, Pers. Comm.)."*



**2. Inclusive representation: All parties (including publics and government) with an interest in the issues and outcomes of the process are involved throughout the process?**

All parties with a significant interest in the issues and outcomes are involved throughout the process. Majority of stakeholders were involved in the process. However, absence of the major stakeholder (General Directorate of Archaeology and Tradition in the province level) was a drawback for some interviewees, as heritage conservation is the sole responsibility of those government agencies. Most of the interviewees have expressed that this agency considers itself in the centre of direction of all stakeholders, thus neglecting the inter-dependency among agencies in the conservation work. Nevertheless, two of the government staff of those agencies participated on a voluntary bases to share their knowledge. Nevertheless, it has less effect on the process, for some other interviewees, considering that the participating stakeholders have the power to bring the process outcomes and decisions into effect, as has been indicate from one of the local government staff:

*"In my view, presence of the Mayor and representatives of the concerned agencies at the local level as well as residents is sufficient for active discussions and negotiations, and decision-making" (Province Level Participant, Pers. Comm.).*

One of the major key strengths of the process was its inclusiveness of almost all stakeholders. This is evident from some of the interviewees' remarks:

*"It is unusual ,this is the first time I see a gathering that brings together around the table people from different specialties–archaeologists, planners, engineers, etc., it is really a good start" (Province Level Participant, Pers. Comm.).*

However, the process seems not to provide an equal representation of all stakeholders. This is a claim raised by some residents on the basis of the number of persons involved in the process per stakeholder category:

*"The number of our representatives (as landlords) is less than those of other sectors" (Resident Participant, Pers. Comm.).* It seems that the local government is somehow now ready to discuss issue that it avoided before. Nevertheless, the absence of some of the governmental officials from the Worksop might indicate that they are still avoiding the discussion of inter-governmental tensions, for example what related to the reconstruction of the historic houses projects.

**3. Equal opportunity and resources: A process provides for equal and balanced opportunity for effective participation of all parties?**

The process was open and equitable in a balanced power manner, with consideration to have an effective management to the discussion. For some interviewees, the debates were not controlled by those who designed and oversaw the process, but power-sharing was maintained throughout the whole process:

*"Actually, power was – with all stakeholders, it is right that the others (government staff) are the government representative, but also we are the property's owners. In my opinion all have an equal level of influence at the table" (Resident Participant, Pers. Comm.).*

However, some resident participants initially felt some kind of powerless, but this misconception was gradually reversed with the progress of discussions. This has also been remarked by the participant from residents:

*"We, as residents, felt that we are powerless (and as guests) at the beginning of the process because we thought that the discussions could be purely technical requiring some level of some scientific knowledge. However, when the discussion addressed the daily life practices about heritage, we felt that we could participate effectively and share our knowledge including information on the heritage sites and our suggestions have been very effective and have influenced the outcomes. Nevertheless, the veto [final decision] is not in our hands" (Resident Participant, Pers. Comm.).*

Some of the stakeholders believe that because some of the government agencies mandated with heritage conservation did not participate in the discussion show that they have negatively exercised their power. In spite of a fact that each government agency is responsible for providing the resources needed for the participation of their representatives in such processes, consideration should be given to supporting the volunteer participants among the residents. Moreover, all stakeholders were able to effectively participate in a consensus process despite of a lack of negotiation skill among some of them especially residents. Likewise, there is lack of technical skills among local governmental staff. This entails that there is a need to have more training courses on this regard.

**4. Principled negotiation and respect: Participants were adequately involved in the design of the process and were able to influence the process on an on-going basis?**

The process provided an opportunity for an open communication about the stakeholders' interests and a mutual respect and understanding of views and needs of each other's, this has been identified by majority of the interviewees.

Furthermore, the whole process was a learning experiment for majority of the participants. For the majority of the interviewees, the process has enhanced trust among the stakeholders especially between the residents and the local government yet, it has not reached a level where the residents can be assured that the government would involve them in the next step. Moreover, for some of the interviewees the discussion was somehow dominated by the residents especially when the discussion come to analysing the social values, and by academic when it come to the architecture value. Consequently, the contribution of the governmental officials was diminished especially the local government.

**5. Accountability: The process and participants represent and effectively communicate with the broader public?**

The participants are accountable to the broader public, to their constituents, and to the process itself. The participants representing groups or agencies were accountable for their constituencies and spoke effectively for the interests they represented. Accountability of the process to the wider public was positive and the process helped to ensure this aspect.

The process outcomes were represented to the broader public as requested by the participating residents (owners of historic houses and land owners).

**6. High-Quality Information, Flexible, Adaptive, and Creative:** The process incorporates high-quality information that fed into the decision-making. Flexibility is designed into the process to allow for adaptation and creativity in problem solving. The process provided adequate high quality information from a diversity of resources (maps, pictures, statistics, reports, summaries of relevant researches); some of the information provided for the participants was part of the researcher's analysis to the city (from input evaluation stage).

The process was well prepared with the information needed and the process was designed in a flexible way to receive new information, especially social information, from the participants. The available information resources especially maps and photos were very effective in engaging the participants in negotiation and decision-making. With these, the process adopted an open, flexible and integrated approach for solving problems and provided a favourable environment for creative thinking and adaptive management.

**7. Commitment to a plan for Implementation: The process and final agreement include clear commitments to implementation and monitoring?**

The output of site's list including the values and character defining elements of the sites was very welcomed by the government staff mostly at the province level, and they have expressed their interest to defend such an approach. Important to mention that most stakeholders at the province level were keen to know the stages where these approvals reach.

They wanted to know if their opinion, needs and efforts will be considered. This is an indication that the sense of ownership among the participants became more evident. Likewise, the volunteer were very interested to get the report of the workshop to use it in the protection of these sites, using the media or other available tools. However, the government staff at the local level, especially the mayor had some reservations on the adoption of all these details, especially related to the issue of buffer zone, since it means the need to revise all the adopted policies from the federal level, such as building houses in the orchards, informal house, etc.

**8. Effective Process Management and Independent Facilitation: The process is structured and managed in an effective and neutral manner? The process uses a trained, independent facilitator throughout the process?**

A process is coordinated and managed effectively and in a neutral manner, and uses an independent, trained facilitator throughout the process. The process was managed effectively and discussions were focused in line with the topic. Besides of introductory lectures and presentations and public debates, group work was encouraged in all the process milestones to motivate the participants to work as a team and have more useful discussions and results. In addition, presentation of the group work to the larger audience demonstrated the participants' acceptable communication skills, eloquence, and articulation.

The process had an effective management structure that provided adequate and independent facilities and resources to secure an effective participation of the stakeholders and achieve the intended targets. Majority of interviewees felt the process was well structured and coordinated effectively and in a neutral manner.

The facilitators managed the process in a neutral manner, helping the participants feel comfortable, respected, and not marginalised, and ensuring that all parties participate and voice their concerns, needs and views on an equal basis, without being biased to any party against the other.

They demonstrated an acceptable level of skilled coordination and communication, information management, and unbiased facilitation. They were helpful for enabling the group to have active discussions and negotiations and reach a consensus and efficient results. While participants themselves may perform process management duties, neutral process staffs are helpful in ensuring effective process management while minimizing participant doubts.

**9. Time Limits: Realistic milestones and deadlines are managed throughout the process?**

Realistic milestones and deadlines are established and managed throughout the process. The time allocated for the whole process (preparation, designing the group work) was realistic, sufficient, and conforming to the process planned milestones. Clear and reasonable time limits for work completion and results reporting were established with sufficient flexibility provided to embrace shifts or changes in timing, as required.

Milestones were established throughout the process to focus and energise the parties, reach consensus, and provide participants with positive feedback. The process time was used to an optimum extent, as expressed by a participant:

*"Existence of academicians and specialists in the forum was a motive for me and my colleagues to use the workshop time ideally so as to gain and make use of their knowledge"*  
(Province Level Participant, Pers. Comm.).

## Outcome Criteria

### **1. Stakeholders perceive the process as successful. The process and outcomes are perceived as successful by participants?**

The process was successful and the participants were satisfied with its constructive discussion.

*"Presence of representatives from all sectors was simply a key success" (Province Level Participant, Pers. Comm.).*

For the majority it was an opportunity to better understand the conservation needs. Also, it was an opportunity to better understand the other stakeholders and their views. After the identification of the values and character defining elements of the sites, there has been an opportunity to meet the needs for the stakeholders. For example, using stones in the staircases that link the historic houses instead of cement would meet the preservation requirements (as an original material and complement to the historic houses materials. consequently, satisfying the visual integrity and become more attractive. Also, it will meet the local needs, who still use horses to transport goods. Moreover, there was more understanding for the natural sites as a heritage. It was the first time that the natural sites that possess the cultural values, along with other natural sites have been included in the discussion from the heritage point of view.

Nevertheless, the mayor was sceptical about the possible contradictions that might develop from the related conservation needs with other policies, which is not only adopted at the local level. Therefore, most of the stakeholders believe that the outcome was not concretised on the ground. The mayor had reservations on adopting the output, especially about the buffer zone, also he argued that the resulted details should only be restricted to the sites intended to be listed on the World Heritage Site, keeping in mind that all these details related to heritage sites are included in the laws.

After eight months, another point that might be considered as a success to the workshop is that the process outcome was indeed a key discussion point on the agenda of the visit of KRG's Prime Minister to the old city in Akre and his meeting with the local government on 12.06.2013. The KRG officially asked for a copy of the report to be discussed at the regional level, based on the request of the mayor who wanted to revisit the output. During the discussion and in the report issued at the federal level, the role of the university has been well emphasised in respect to any future work related to heritage conservation. The research considers this as a success.

### **2. Agreement: The process reached an agreement that is endorsed by all parties?**

The process achieved satisfactory agreements that meet the interests of all participants. There was no unanimous consensus on including the nominated sites that represent urban heritage in the conservation plan at the beginning of the process. However, a comprehension deliberation and analysis of these sites including the different values of each allowed the participants to reach a consensus on which sites should be included in the conservation plan.

*"At the beginning, our work group did not vote for including Qishla building and orchards around the city in the list of sites requiring conservation. However, the fruitful discussions and negotiations that we had about the values and the character defining elements of sites have convinced the group to recognise that this site has various values (such as acting as a land mark in the city and its architectural value) and needs to be included in the conservation list" (Province Level Participant, Pers. Comm.).*

As per the output, there was an agreement on some key issues, including the importance of conducting a detailed survey and documentation of the sites. Also, there is a need to maintaining a continuous communication on the all sites values, especially those which were not addressed so far.

### **3. Conflict Reduced: As a result of the process, conflicts were reduced?**

The process and its outcomes have reduced conflicts over the issues it addressed to a large extent, such as which sites represent heritage, what are their values as indicated by one of the residents:

*"In my view, the conflict between us, the residents and the local government has been reduced. I am an owner of a shop around Qishla and when I have heard about the local government possible decision to use Qishla as a governmental-related function, the conflict between us have climaxed. Nevertheless, after the discussion, and the possibility that the local government use Qishla as a touristic-related function, I was pleased as well as the other owners of the nearby shops, since this will magnet the tourists to the site, and eventually our shops will benefit from this" (Resident Participant, Pers. Comm.)*

For some other interviewees the failure of the Director General of Antiquities and Traditions or his designee to attend the process is a sign that conflicts will continue to exist. In their beliefs, he has the power to change or influence the process results and consider them illegitimate since he/his agency were not involved.

**4. Superior to other methods:** The process and its outcomes were viewed by the interviewees as superior to other planning and decision making methods especially that they perfectly fit to the survival needs of the current condition of the urban heritage. This is despite of difficulties encountered in setting an appropriate time schedule where all stakeholders can be brought together at a time that does not conflict with their other duties. Preparations for the process took a longer time than expected as more communications and negotiations with the stakeholders were required to identify and agree on a venue for the process that would incur lesser costs.

*"We [land owners] would have been better represented in the process if the workshop had been convened in Akre City" (Resident Participant, Pers. Comm.).*

*"In my view, the time and costs made for bringing all stakeholders on one table for collaborative discussions and decision making are much less than those made for having many processes that involve a few participants and non-collaborative decisions which do not represent the interests of all stakeholders and could cause conflicts. Therefore, this method was better than other processes" (Province Level Participant, Pers. Comm.).*

**5. Creative and innovative:** The process was creative and innovative in terms of used methods and available knowledge. Creative ideas were provided on how to deal with the owners making use of the experiences of the participants representing Erbil Citadel Project. The process provided an opportunity to learn from new ideas and approaches of analysing the different values of sites and their character defining elements. These helped changing the prevailing ways of thinking.

**6. Knowledge, Understanding and Skill:** The process has enhanced the stakeholder's awareness about the importance of heritage conservation and in understanding the needs and interests of each other. The participants newfound understanding of and respect for each other's views have helped them to find solutions for their common problems. For example, the government's plan to convert Qishla building (the largest historic building in that area) from a government office to touristic centre was amended in alignment with the public interests when the participants in the process has further discussed this issue with its implications. In fact, consensus was made to rehabilitate this building as a tourist reception centre was one of the major outcomes of the workshop.

Collective value and how from the character defining elements they can formulate such new standards regarding each site. The identification of the character defining elements could help in developing guidelines to integrate the heritage site with land use plans. The discussion

over these aspects was of great relevance to the work of the staff of the General Directorate of Constructive Planning. Residents and government staff gained more knowledge and understanding of the existing limited building standards and increased awareness in the need to have more standards in place for a successful conservation process. Also, more information about how the current illegal houses are affecting the access opportunity for tourism has been gained. Most importantly, the values of natural landscape have been included in such a discussion for the first time. It is also noticed that the level of local ownership has increased. In addition, the process has stimulated the social cohesion and sense of the place as has been indicated by one of the residents:

*"I and another three residents toured the old city narrating to each other the values and details of the heritage sites as discussed during the workshop. I have just realised how important is our city and how valuable is each stone here. Now, the relationship between me and the city has improved and I look at it in a different perspective" (Resident Participant, Pers. Comm.).*

The process built collective knowledge about the heritage sites and conservation that could not have been achieved individually. All the participants were experts in one topic or another. Some were archaeologists who have detailed information about site history, elements and values, some were architects/engineers who have information about the historic building structures and elements, others were planners who have a keen interest in the city planning and development, etc. Through group and open discussions and mapping exercises, each participant contributed to the process with his/her own expertise and collaboratively developed a more comprehensive and knowledgeable understanding of the heritage in their locality.

The local knowledge of residents about historical and social details of the sites, as well as the traditions and customs of the people living in their surroundings was a great source that enriched the discussion and helped the experts to analyse different values of the sites and their character defining elements. Consequently, this has turned the government staff view to the necessity of getting benefit from the resident's knowledge as has been indicated by one of the government staff:

*"It is no longer logical for us (government agencies) to ignore the knowledge and experiences of the residents and to dispense with it in our next steps for implementation. We should keep on involving them" (Local Level Participant, Pers. Comm.).*

Most interviews thought that they gained improved skills, through their participation in the process, such as communication, negotiation, data analysis and decision-making. However, large number of them says that there is still need to improve the technical skills especially the local government staff further in order to cope with the heritage conservation needs.

For some interviewees especially the government agencies, the weakness in heritage planning and management has been realised through the process of discussions and dialogue. They recognised that there is much need for more inter-government coordination and discussion. This has been clarified by one of the government staff at the province level:

*"At the beginning of our group work, the representative of General Directorate of Tourism indicated that the discussions are not directly related to his department. While, after a period of interaction and understanding, he added that the discussions are significantly related to his agency. However, the representative of Duhok Development Centre left the process sessions claiming that this work is not related to his department" (Province Level Participant, Pers. Comm.).*

As a result, there was adequate amount of information and understanding cumulated from the discussion that would help the stakeholders start with a more concrete proposal of integrated conservation and management.

**7. Relations and Social capital:** The process created new personal and working relationships, and built some kind of social capital among participants. At the early stages of the process, trivial interaction was initiated more between the government stakeholders and academics. The level of communication has improved and expanded to involve the residents as well in later stages. The process discussion and group work have increased interaction and generated more personal relationships among the stakeholders. These relationships have paved the road for dialogues to solve common problems. This positive aspect has also reflected the working relationships among the stakeholders/agencies.

The process developed a network of relationships among diverse parties especially between the local government staff and Erbil Citadel Project experts. This allows for continued information exchange, understanding, cooperation, and trust which have been realised with an invitation made by the latter group to the local government staff in Akre to visit Erbil Citadel Project on 28 March 2013 to gain an insight of the Citadel management and conservation details.

**8. Information:** High quality and useful information was presented, discussed, and analysed during the workshop and can be used as an efficient database by the agencies with heritage conservation as a major task, such as Directorate of Antiquities and Traditions and Directorate of Municipality in Akre. These information have also been used as basis for generating many research ideas by the academics. The land use planning in the historic part of the city, Water supply system in Akre Castle has been used as a topic by two researches. The process produced information that have been understood and accepted by all stakeholders.

**9. Second order effect:** The process has resulted in a change in the stakeholder's behaviours and actions and generated for them a sense of collaborative work for better results. This includes the participants' realisation of the necessity of directly involving two other agencies, as main stakeholders, in the conservation work, such as Directorate of Culture which is responsible for intangible heritage and Directorate of Environment.

*"The time has come if not late to include conservation in our reconstruction efforts and activate conservation activities within our committee" (Province Level Participant, Pers. Comm.).*

**10. Public interest:** All the interviewees don't have confidence in the government to bring into action the process outcomes or to involve them in the future related work, keeping in mind that they believe that the process outcomes serve the interests of all stakeholders and the public or the common good. Local stakeholders were able to address their fundamental interests, thus they let-go the past position-based mentality. A group-level solution was sought by the stakeholders through discussion, thus they let-go individual interests.

**11. Understanding and support collaborative approach:** Almost all interviewees are convinced and are supportive of the fact that collaborative work and consensus-based process are an effective approach for heritage management. Thus, they are willing to support this approach for any decision-making related to conservation. The residents are supportive of this approach as well, but they still believe that the government support is eventually required. They also believe that the people should be organised into community-based organisations that advocate for public participation and conservation, as have been indicated: *"In my opinion, it is true that the final say it is in the government hand, but we, as residents, we also need to organise ourselves" (Resident Participant, Pers. Comm.).*

## 10.4. Amedy City

Amedy city has been the subject of much research mainly about historic value and activities without being successfully integrating the city with the overall planning system. It is worth mentioning that the researcher's previous PG Diploma research (Strategic Plan on Heritage Conservation in Amedy, 2009) analysing the significance of the heritage in Amedy city, and finding out the elements that the city can employ to satisfy the UNESCO World Heritage criteria. The researcher has been engaged in conducting several seminars about Amedy heritage with the residents and government. One of the major outputs is the inclusion, by Iraqi government, of Amedy City in the UNESCO's Tentative List of World Heritage Site, on 2<sup>nd</sup> February 2011. This entails that the local community of Amedy has a broader base of knowledge with regard to heritage.

In addition, Amedy city is characterised by having a committee "Amedy Development Follow-up Committee". This made the process of meeting with residents easier. The committee includes five professional members in its board, who have been elected by the residents. The committee is responsible for participating in the decision of any development project in Amedy city through its different sub-branches.

Based on the fact that the residents in Amedy have the basic knowledge about heritage conservation and they have an active local committee, the researcher followed the methodology of conducting a seminar then a workshop, as will be illustrated below.

### 10.4.1. Seminar for Amedy City

Based on the fact that Amedy has been listed on the Tentative List of World Heritage Sites, a series of seminars have been conducted. The first conducted seminar was organised by the researcher on 21<sup>st</sup> November, 2011 entitled: Amedy – Worthy of Selection as UNESCO World Heritage Site in the Cultural Centre at Duhok University in Duhok. The seminar has been organised in consultation with the official agencies in Duhok (province) and in Amedy. It has been attended by the head of related agencies, politicians and decision makers in the city and the province level, along with the representative from the Amedy follow up development committee and concerned professors. The researcher focused on the UNESCO criteria based on which, Amedy applied to be listed on the List. The researcher opted to promote dialogue, collaboration and knowledge sharing between the decision makers and people, professional governmental staff, NGOs and international expertise, more specially to prepare the management plan as a prerequisite to the UNESCO bid. The fact that the researcher has been a member in the Higher Committee for Development of Management Plan for Amedy City, gave the opportunity for continuous engagement with local stakeholders on the theme of interest.

Since the high level officials at the province and local level have been suddenly changed, some kind of interruption occurred, and the new appointed officials did not have enough information about the Committee work and its goal to develop a management plan for the city. Because of that the researcher had to conduct another seminar on 12<sup>th</sup> April, 2012 targeting mainly the governmental staff to keep them acquainted with the updates. The seminar was entitled: "Amedy in the Tentative List of UNESCO's World Heritage Sites".

The seminar focused on the efforts made to list Amedy in the tentative list and subsequent future steps to develop a management plan as it is required for its nomination file, especially in light of the negative impacts of the current reconstruction projects, and the continuation of the destruction of the historic houses in the city. This seminar was conducted at the governorate premises in Duhok.



This was followed with a series of meetings on 20<sup>th</sup> June, 2012. Afterward, follow-up meetings have been conducted for Amedy in coordination with the researcher on 20<sup>th</sup>, 21<sup>st</sup> and 24<sup>th</sup> June, 2012 to elaborate more on the next steps required developing a management plan.

Ultimately, these seminars provided insight on the criteria and guidelines that will be used in evaluating and selecting sites for inclusion; the required next steps of developing management plan for Amedy city. Nevertheless, the mayor attended only one meeting. It seems that the local government especially the mayor is not that encouraged to the project of management plan, and they are avoiding the discussion with the residents, especially the owners of the orchards about the buffer zone of the city. Nevertheless, the local government was not against attending the workshop.

#### **10.4.2. Stakeholder's Workshop for Amedy City**

The stakeholder workshop in Amedy has been held immediately in the day after Akre stakeholder workshop in the Culture Centre of University of Duhok on the 11<sup>th</sup> October, 2012. The workshop was designed to understand the interests and concerns of each stakeholder keeping in mind the change in the staffs concerned with heritage heads of government departments in Amedy city in the last year.

The workshop was attended by 28 key stakeholders at local and regional levels gathering local and regional stakeholders (See Appendix 15). The agenda for Amedy workshop was divided into two parts followed by a discussion, which was moderated by an independent expert in order to facilitate dialogue.

Series of four presentations was given in the first part. The first presentation delivered by the researcher was entitled "Values-Based Approach", details about the site values and the character defining elements what does it mean, subsequent future steps to develop a management plan as it is required for its nomination file (See Appendix 11B).

After this presentation, two member of High Commission for Erbil Citadel Revitalisation delivered two presentations. The first one by Jihan Rasheed, the representative of Council of Ministers, KRG who focused on the administrative arrangement of High Commission for Erbil Citadel Revitalisation, followed by a presentation delivered by Dr. Abdullah Khorshid, the President of Iraqi Institute for the Conservation of Antiquities and Heritage in Erbil who elaborated more on the tasks and present projects by the High Commission for Erbil Citadel Revitalisation such as excavation in Erbil Citadel. To close the first series of presentations and based on the experiences and recent projects in Amedy city, the director of Municipality of Amedy city explored the opportunities and the needs in the context of existing cultural and natural heritage to a management plan.

After each presentation, the moderated discussion tackled the relevant topics in the field, such as how to foster involvement of residents in the revitalisation of heritage sites and how to transfer and adoption of best practices in Erbil Citadel. The second part of the workshop proceeded with more understanding about how to valorising heritage sites where the participants were divided into groups and asked to use the procedure described previously in this chapter. The participants in Amedy workshop identified 38 sites in Amedy city as heritage sites (natural and cultural) worthy to be protected (See Appendix 16).



Figure 10-15: Academic Proceedings - introduction on site values and character defining elements in Amedy Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-16: Academic and professional introduction about Erbil Citadel project in Amedy Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-17: Professional Proceedings - Vice Governor (Left) and Municipality's Director (Right) Presenting the current conservation projects in Amedy Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-18: Participants - Group Selection in Amedy Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-19: Site Selections by Groups in Amedy Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-20: Gathering All identified sites into one unified list in Amedy Workshop  
Source: Own photos, Workshop, October 2012



Figure 10-21: Placing the identified sites on a map in Amedy Workshop  
Source: Own photos, Workshop, October 2012

### 10.4.3. Results of Amedy Workshop

In this section, parts of the results are presented. The identified sites have been gathered on Amedy map (See Figure 10-22). Moreover, values of those sites are elaborated (See the list of the identified sites and their values in Appendix 16). This process helped to determine the conservation area and its buffer zone (See Figure 10-23). The description, values and character-defining elements of one of the identified sites are presented here as an example

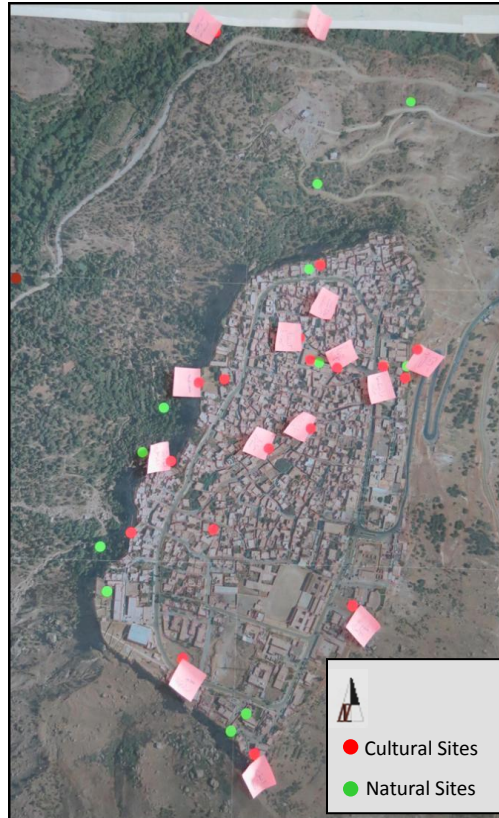


Figure 10-22: Gathering all the identified sites on a map in Amedy Workshop  
Source: Own photo, Amedy Workshop, 2012

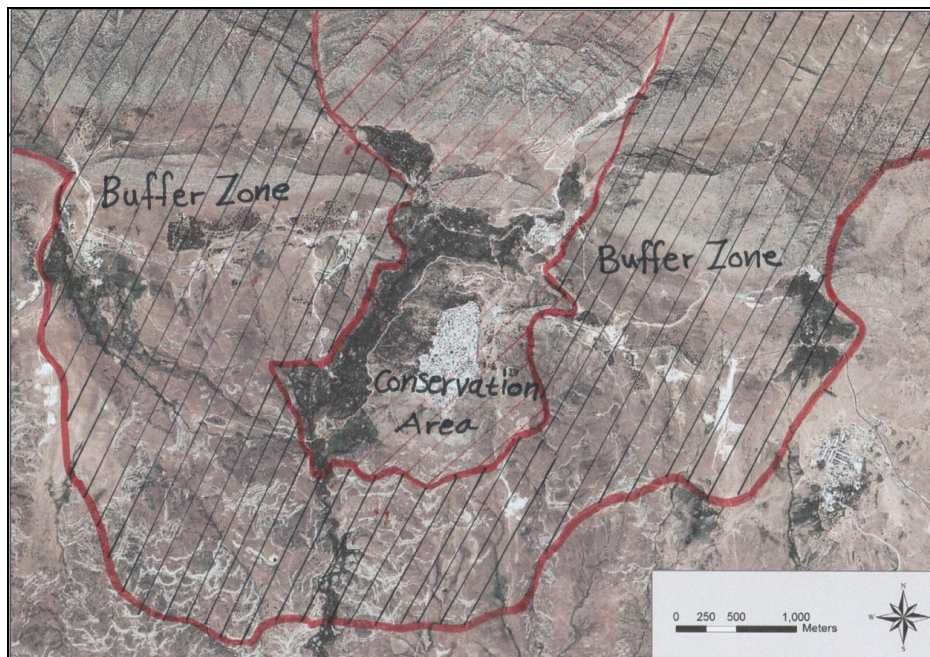


Figure 10-23: Proposed conservation area and buffer zone  
Source: Own photo, Amedy Workshop, 2012

## **Qubahan School**

### **Description:**

This school is one of the oldest schools in Kurdistan region. It is located in the north western part of Amedy city, on the Rebar River which flow from Sulav waterfall to west side of Amedy city. There has been a controversy with regards to its construction time. Most probably it was constructed in the 12<sup>th</sup> Century. This school remained in service till 1961. It is built on an area 848 m<sup>2</sup> with two stories. All the architectural details, including arch, windows, and doors are elements of the Islamic architecture.

### **Heritage value:**

Qubahan School is one of the well-known old schools in Kurdistan Region. The building is historically important because of its long historical associations with provide education and knowledge of religious studies, physics, medicine, etc. The school had strong ties with Al Azhar University in Egypt, as evident in the founded historical letters. In addition for being a historically valued place, the school has been constructed on the ruin of a building served as a place of recreation for traders visiting Amedy city via Mosul Gate, this reflects the important trading role that Amedy played throughout the history for more than two thousand years.

From a social perspective, Qubahan School is characterised by having significant social importance. For instance, the school had been contributed to the community's stories throughout various periods and is still remembered and recalled in many oral traditional stories. The school had influence on the entire region for long time, where many of the well-known Islamic scholars and poets had been graduated. Qubahan School had a specialised graveyard for burying its well-known figures who served the region. Additional a socially importance value is the spiritual role of the school as the site had spiritually blessing meanings to Amedy and the surrounding residents, for instance, residents placing green ribbons on the trees to hope blessing from the God.

Moreover, the school possesses research and aesthetic value, the school represents a very good example of Islamic architecture dating back to 12 century. The building delicately decorated with refined Islamic architectural details including arches, windows, and doors. The building consists of a two-story, with an inner courtyard surrounded by walls. The significance of the school also lies in its architectural form, features and decorations of Islamic style displaying the transformation of traditional Amedy buildings. For example, instead of using timber as major constructional material, reinforced stone and lime was employed for building the stairs to upper floor.

The school represents a hallmark from being the only building that has been built outside Amedy city hilltop, within an orchards area situated on the downhill though it's considered as part of Amedy city.

### **Character defining elements: Qubahan School:**

Key elements which contribute to the heritage value of this site include:

- Name of the school (Qubahan School): most probably refers (Domes)
- The school has been used for scientific issues especially religious.
- It is a hallmark.
- Viewscapes from Qubahan School to Sulav waterfalls, to the old city of Amedy and the natural landscape around.
- Spiritual tree,
- The Shrines around the school
- The architecture of the school is an example of 12 century Islamic architecture.
- The original building Materials used, stones, lime and wood

- Interior layout: design of classroom, principal room, clock room.
- The exterior elements that related to its original design: such as shape of windows and doors.
- The stone walkway link Sulav water with Qubahan School and Mosul Get
- Continuing presence of natural landscape, Qubahan School, Mosul Gate and the old city of Amedy will evoke a sense of stepping back in time, allowing visitors to readily imagine the experience of ancient people live in the area.
- Qubahan School along with other archaeological sites and the natural landscapes around exhibit an interplayed role of historical landscape of ancient Amedy.
- It is location provide the church with many different view angles (See Figure 10-24).
  - Uninterrupted view from Sulav waterfall to Qubahan School
  - Uninterrupted view from the northern main road, that lead to Amedy city, to Qubahan School
  - Uninterrupted view from Amedy old city to Qubahan School
  - Uninterrupted view from Mosul Gate to Qubahan School

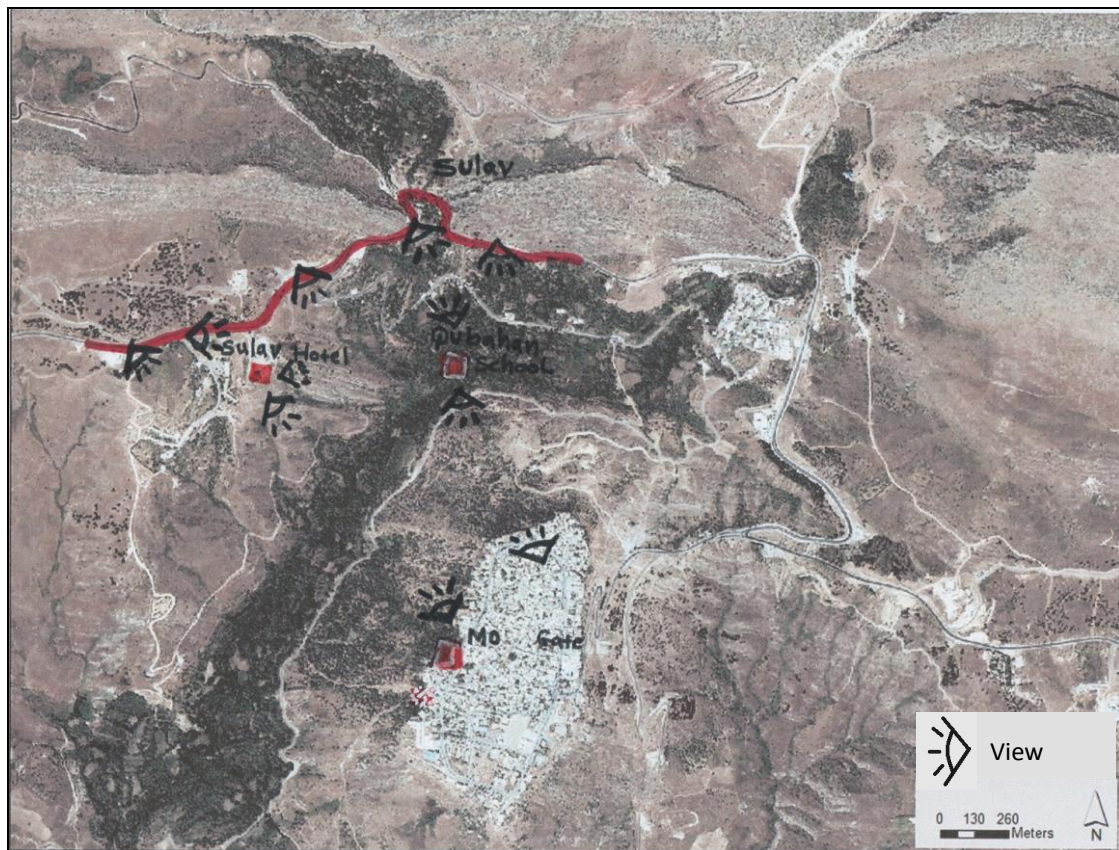


Figure 10-24: View from and to Qubahan School  
Source: Own photo, Workshop2012

#### 10.4.4. Evaluation of Values - Based Approach “process and outcome” of Amedy Workshop

##### Process Criteria

##### 1. **Purpose and incentives:** Process is driven by a shared purpose and provides incentives for participants to participate and work toward a consensus outcome?

The process was driven by a shared purpose and thoughtful goals and provided incentives to participate and to work towards achieving a consensus. This process was driven by a common purpose shared by the participants with most of them having already clear goals and interests in mind. This was clear from the participants who were representing the residents. The purpose and motive for them was to maintain their interests in the detailed following discussions such as acquisition and building regulations that could restrict their endeavours to construct their houses in the traditional quarters. The participation of the residents also meant to express their good intentions in respect to heritage conservation projects, but they wanted that their interests to be taken into consideration. Also, the residents attended the discussion to make sure that they will not be excluded from the participation in the process of decision-making in the next stages. For the government staff the motive was to improve the performance in respect of conservation issues, along with their strong believe in interdependency between the government agencies and the residents, especially that most of the cultural sites are owned by the residents. However, for some other government staff, they have participated to acquire an overview of the requirements needed to be provided such as fund. This can be seen from the remark of one of the government staff:

*“We wanted to know the number of sites requiring conservation to determine the volume of required work and also to know the needs or claims of the owners so that we can determine the amount and form of the required compensation” (Federal Level Participant, Pers. Comm.).*

Most of the participants were also recognised the urgency of having a shared goal and reaching a consensus about heritage conservation needs and that any further delay of this issue could not be accepted.

##### 2. **Inclusive representation:** All parties (including publics and government) with an interest in the issues and outcomes of the process are involved throughout the process?

All parties with a significant interest in the issues and outcomes are involved throughout the process. Most of the interviewees were disappointed with the absence of the major stakeholder (the mayor) as well as General Directorate of Antiquities and Traditions from the process. For them, this was a drawback to this process which was the first step in the heritage management plan; the mayor represents the highest government authority at the local level and his absence could influence the commitment to achieve the process outcome. However, some other interviewees felt that there was an adequate government representation in the process especially from the province level. The government’s representatives and Amedy local Committee could together turn the process outcome into real action.

##### 4. **Equal opportunity and resources:** The process provided an equal and balanced opportunity for effective participation for all parties. The process was open and equitable with a balanced level of power. Consideration was given to an effective management of the discussion. For some interviewees, the debates were not controlled by those who designed and oversaw the process. All stakeholders were able to effectively and equally participate in the consensus process – in roundtable discussions and group work. They demonstrated a good level of training and negotiation skills.

Maps and flip charts were used to display and pinpoint locations of the sites and identify their values. These resources were valuable in encouraging participants to express and present their opinions and interests. Most interviewees thought that the good negotiation skills possessed by the stakeholders were an active factor in reducing power imbalance among them. Almost all of them agreed that their participation had an influence on the process outcomes.

Resources needed for the engagement of the government representatives in the process, provided by the government. While consideration should be given to supporting the residents who participate on a voluntarily basis.

**5. Principled negotiation and respect:** The process operates according to the condition of principled negotiation including mutual respect, trust, and understanding. The process provided an opportunity for an open communication and a mutual respect and clear understanding of the stakeholders' views and interests during roundtable discussions and group work.

The participants showed mutual respect to their points of view particularly for selection of the sites that represent different sects or religions. As indicated by one of the government staff:

*"We were free in communicating our ideas when selecting the sites in relation to different historical periods and religious affiliation" (NGO Participant, Pers. Comm.)*

For example, although the old building of the church didn't remain (it is within the Christian quarter), small building has been built instead in a poor condition, but it has been selected as a heritage site. All participants voted for the need to conserve it due to its immaterial value for a minority in the city.

Another example, a shrine of the Jews who were living in the city in the past is listed as a site although they are not currently living there. It seems that the people in the city are respect and attached to the long history of the city and the communities that lived there.

Almost all interviewees perceived that open communication and good negotiation among the stakeholders have led them to demonstrate a clear and mutual understanding of each other's interests and have fostered team work and trust among them. Nevertheless, all these (for some interviewees) were not sufficient for having confidence in the government.

**6. Accountability:** The participants are accountable to the broader public, to their organisations, and to the process itself. The participants representing groups or agencies were accountable for their constituencies and spoke effectively for the interests they represented. Many interviewees agreed that Amedy Heritage Committee was accountable for the resident's interests and this was evident in the amount of information that the members of this committee had about the owners. Accountability of the process to the wider public was positive and the process helped to ensure this aspect. The process was open that allowed the stakeholders to defend for their interests.

**7. High-Quality Information:** Flexible, Adaptive, and Creative: The process incorporated high-quality information into decision-making. Flexibility is designed into the process to allow for adaptation and creativity in problem solving. The process provided adequate high quality information from a diversity of resources (maps, pictures, statistics, reports, summaries of relevant research). Most of the information provided for the participants was based on the analysis done by the researcher through input evaluation stage. The process was well prepared with the information needed and was flexible for receiving new information, especially social and historic information, from the participants. The available information resources especially maps and photos were very effective in encouraging the participants to involve in negotiation and decision-making and in presenting their ideas and views.



The photos and the maps about the morphological development, helped to convince the residents to the need and the importance of conserving the old quarters.

**8. Commitment to a plan for Implementation:** The process and final agreement included clear commitments to the result, including the list of the sites and their values and character defining elements, also urgently start detail surveying and documenting those sites, in addition to continues of discussion about the fixed another solution to deal with the owners, such as a type of partnership. The process fostered a sense of responsibility, ownership over the results, especially from the province staff. Even some were ready to use all possible means (media, political lobbying, etc.) and to sustain the development process of management plan. Nevertheless, for the governmental staff, including the head of municipality was supporting the process and the output, but it was clear that the final decision has to be taken by the mayor.

**9. Clear ground rules:** A comprehensive framework is established including clear ground rules and responsibilities. For most interviewees, the terms of reference and ground rules were clearly established; these include scope and mandate, roles and responsibilities, consensus building, and the importance of involvement in the process.

**10. Effective Process Management and Independent Facilitation:** The process was coordinated and managed effectively and in a neutral manner, and used an independent, trained facilitator throughout the process. The process was managed effectively and discussions were focused in line with the topic.

Group work was encouraged in all the process milestones to encourage team work and motivate the participants to have more useful discussions and results. In addition, presentation of the group work to the larger audience demonstrated the participants' good communication skills, eloquence, and articulation. The process had an effective management structure with adequate and independent facilities and resources to secure an effective participation of the stakeholders and achieve the intended targets. Majority of interviewees felt that the process was well structured and coordinated effectively and in a neutral manner.

The facilitators managed the process in a neutral manner so that the participants felt comfortable, respected, and not marginalised, and ensured that all participants concerns have been voiced, needs and views on an equal basis, without being biased to any party against the other. They also demonstrated an acceptable level of skilled coordination and communication, information management, and unbiased facilitation. They were helpful for enabling the group to have active discussions and negotiations and reach a consensus and efficient results within the time limit.

**11. Self-design and commitment:** The process allowed for flexibility and adaptation in terms of design and reference; the stakeholders were encouraged to contribute in the amendment of the design, whenever needed, and to establish their terms of reference during the group work. All the interviews were committed to making the process work.

**12. Time Limits:** Realistic milestones and deadlines were established and managed throughout the process. The time allocated for the whole process (preparation, designing and implementation) was realistic, sufficient, and conforming to the process plan milestones. Sufficient time was provided for discussing and negotiating the requirements of the first step in the heritage management plan (that has as the first step the identification of the sites, their values, and their character defining elements) and also for establishing a good basis of understanding for the next step. Clear and reasonable time limits for work completion and results reporting were established with sufficient flexibility provided to embrace shifts or changes in timing, as required. Milestones were established throughout the process to focus and energise the parties, reach consensus, and provide participants with positive feedback.

## Outcome Criteria

**1. Stakeholders perceive the process as successful:** The process was successful and the participants were satisfied with its positive outcomes. Most of the interviewees perceived the process as successful because of their active participation and perceivable outcome of the process. The level of communication can be a first step for building healthy relationships between the residents and the government especially at local level. This includes an improved level of trust. This also has been indicated by one of the owners:

*"In the past, we lost trust in the government, and this gathering was an encouraging step rebuilding the trust in the government" (Residents Participant, Pers. Comm.).*

More understanding the conservation needs, especially among the residents and also the government staff. The academics had an important role in the convergence of views especially in relation to convincing the people that conservation does not mean looking after the stones and taking houses from the people but it includes people and their lifestyles as well. This has totally changed their view toward considering and including the traditional quarters within the sites need to be conserved. However, some other interviewees did not perceive the process as a complete success because of the absence of the mayor that would affect the commitments to the process. This could be a drawback that would make the workshop outcome as rhetoric (i.e. without being translated into action).

**2. Agreement:** The process achieved satisfactory agreements that met the interests of many stakeholders to a considerable extent. Selection of the sites for inclusion in the conservation plan took into consideration interests and beliefs of all stakeholders, such as inclusion of archaeological sites, religious sites, etc. However, a difficulty was observed when Inclusion of some sites namely traditional quarters that was a subject of concern for the owners. This was an initial step to recognise these quarters as heritage sites which would generate new regulations such as building materials specifications that the owners should abide by, and letter on acquisition process.

**3. Conflict Reduced:** The process was an initial step for mitigating the conflicts among stakeholders. Yet, many interviewees predicted the rise of some conflicts in the next step when it comes to the issue of compensation and allowable uses of some sites in view of new regulations. Also, the interviewees expressed that the local government is still avoiding the discussion in ownerships issues of heritage sites with the residents. This means the continuity of the conflict among them. This has also been indicated by one of the local government staff:

*"In my view, non-presence of the (new) mayor in the process means his lack of interest in discussing the conflicted heritage issues. I think he originally has no interest in heritage as he focuses more on delivery of public services" (Local Level Participant, Pers. Comm.).*

*"Another local stakeholder said that the mayor does not wish to discuss the heritage issue, as he might believe that addressing these issues related to heritage would cause conflict with the residents, and the mayor does not wish this to happen during his tenure, especially the new elections are coming" (Resident Participant, Pers. Comm.).*

This last point raised by the local stakeholder was noticed by the researcher to be shared with the new appointed high ranking governmental officials at the province level.

**4. Superior to other methods:** The process and its outcomes were viewed by most of the interviewees as superior to other planning and decision making methods especially that they perfectly fit to the survival needs of the current condition of the urban heritage. However, the joint decision making method is not supported by the government as viewed by many stakeholders.

*"In my point of view and also in the point of view of my other colleagues in the committee and of many government representatives, we believe that the joint decision making is superior to other methods, but we also recognise that the government is not completely supportive to such approaches" (Amedy Heritage Committee Member, Pers. Comm.).*

However, for some other participant, the time is over for excluding the people from the decision especially when it comes to the heritage issue. As indicated by one of the residents: *"The time when the government took decisions without our involvement and imposed them on us has passed. For more than two decades, our lands were confiscated by the government and we could not utilise them. Now, I wonder how the new government (KRG), instead of compensating us for the losses we made in the past, is confining us with new regulations and controls. However, we are willing to value public interests on our personal interests, but we should be involved and be aware of any decisions to be taken. Our interests should be voiced and taken into account in any future discourse and decision-making processes" (Resident Participant, Pers. Comm.).*

Nevertheless, preparations for the process took a longer time than expected as more communications and negotiations with the stakeholders were required to identify and agree on a venue for the process that would incur less cost. It was rather difficult to satisfy the different parties on a unified and an agreeable venue – Amedy city or Duhok city.

**5. Creative and innovative:** The process was creative and innovative in terms of used methods and available knowledge. Creative ideas were presented following identification of values of sites and their character defining elements. Such ideas were especially concerned with the proposed land-uses of the areas around the heritage sites and they were most beneficial since the city does not have a developed master plan yet. For example, rehabilitating some of the traditional houses to the new use, mainly touristic facilities, with keeping the name of the family that they belong, it was very good strategy also to convince the residents.

**6. Knowledge, Understanding and Skill:** The process has enhanced the stakeholder's awareness in the importance of heritage conservation and in understanding the needs and interests of each other, as well as values of sites and the significant site elements that should be conserved to sustain these values. This has motivated the stakeholders especially government representatives to think of developing new regulations to sustain the site significance. This has established a basis of understanding and consequently negotiation with the residents.

Most of the local stakeholders thought that the concern should only be paid for the sites that the city wishes to include in the UNESCO program, such as: the Gate, the minaret, or the sites listed in the National List of 1970 (in isolated manner), and not an integrated manner that would target the city as a whole entity. Nevertheless, after articulating the values of other sites and their character defining elements, the local stakeholder understood the importance to see also the collective value of the city. Most of the interviewees thought that they gained improved skills, through their participations in the process, such as communication, negotiation, data analysis, and decision-making. They have understood that they still there is need for more improvement their skills to cope with the heritage conservation needs, especially the local government staff. All have share his/her knowledge, for example the archaeologists who have detailed information such as in the materials and history, and some were architects/engineers who have information about the historic building structures and elements, design, others were planners who have a keen interest in the guild lines for land-use planning, and the people who are full of the social information, etc.

Including all those different specialities in the group and open discussions and mapping exercises, each participant contributed to the process with his/her own expertise and collaboratively developed a more comprehensive and knowledgeable understanding of the heritage in their locality. Moreover, the local knowledge of residents about historical and social details of the sites, as well as the traditions and customs of the people living in their surroundings was a great source that enriched the discussion and helped the experts to analyse different values of the sites and their character defining elements.

For some interviewees especially the government agencies in the all levels, the weakness in heritage planning and management has been realised through the process discussions and dialogues. They recognised that there is much need for inter-government coordination and discussion. Most of the interviewees now realise that heritage is being dealt with in an isolated manner. The government now convinced that they should find other strategies than the acquisition of traditional houses or orchards to deal with the owners. Also, there is a need to enhance the technical skills of the staff of local government staff.

**7. Relations and Social capital:** The process has contributed to development of new personal and working relationships, and built some kind of social capital among participants. The process discussion and group work have increased interaction and generated more personal relationships among the stakeholders. This positive aspect has also reflected the working relationships among the stakeholders/agencies and could lead to more communications and coordination among them.

*“The discussions enabled us to build relations with others and I suggested to especially Erbil citadel Project team to arrange for hosting a visit by concerned individuals from Akre and Amedy to Erbil to get acquaintance with the site and detailed management plan so that we make use of them for management of sites in the two cities. We (together with a team from Akre indeed visited Erbil on 28<sup>th</sup> March 2013 and decided to keep our communications for mutual benefits” (Local Level Participant, Pers. Comm.).*

**8. Information:** The process provided a forum for exchange and analysis of high quality and useful information. Many interviewees believed that this information (historical, archaeological, natural, tradition, etc.) was important for all stakeholders. An example on the importance of this information was a research on the ancient water wells in Amedy city (conducted by University of Duhok).

*“We benefited from the knowledge of local academics about topics such architectural details of some sites for ex. Emirate House buildings, Hamam, and entrances to neighbourhoods. This was significant for us since these details have not been documented” (Province Level Participant, Pers. Comm.).*

**9. Second order effect:** The process has resulted in changes in the stakeholders' behaviours and actions and led to creation of a sense of collaborative work for better results. As indicated by one of the one of the government staff in the local level:

*Following the discussions and exchange of knowledge at the workshop, we need to strengthen our relationships with both General Directorate of Culture and General Directorate of Environment in Duhok province, especially the last one, as it is known we have a very distinctive landscape in our district. In fact, the discussions and dialogues we had in this workshop have made us to realise that it is important to conduct a similar process for all Kurdistan cities urgently” (Local Level Participant, Pers. Comm.).*

**10. Public interest:** Most interviewees believe that the process outcomes including selection of sites and identification of their values serve the interests of the stakeholders and the mass public. Nevertheless, some other interviewees found that there were some difficulties in satisfying the traditional houses owners.

This is because the owners did not want that their properties be included within the historic urban area as this was not in their interests. This means that the owners promoted their interests over the broader interests of all stakeholders. Ultimately, stakeholders were able to get beyond the position-based mentality of the past and look at what their fundamental interests were. Stakeholders transcend their individual interests in search of a group-level solution,

**11. Understanding and support collaborative approach:** Almost all interviewees were convinced and supportive of the fact that collaborative work and consensus-based process were an effective approach for heritage management. They were willing to support this approach for any decision-making related to conservation. The residents were supportive of this approach as well, but they still believe that the government support was eventually required. Although they have a community-based organisation, the interviewees still believe that it needs the government support.

It is worthy to mention that after the interviews were finished, the vice governor of the province level who participated in the workshop on a personal capacity called for a separate meeting with all stakeholders including the local committee, this was on 09.10.2013 and 17.10.2013. In this meeting it was decided that the management plan for Amedy city will be commenced. Accordingly, a project team was formed to start the detailed surveys and documentation in the city.

Also, a monthly meeting for the project committee should be conducted to discuss the details of the master and management plan. The local committee are considered among the main stakeholders for such a project. During these meetings, the researcher tried to ask the representative of the General Directorate of Antiquities and Traditions about the reason for not participating in the workshops, and the answer was that it was not clear enough which organisation will lead this work. He said that if his directorate would lead the work, he would be willing to participate, and this refers to the lack of understanding that heritage conservation needs the involvement of many agencies.

## 10.5. Conclusion

This chapter has discussed the findings attained from two separate workshops conducted in the multiple case studies of Akre and Amedy in the context of Kurdistan. It is important to mention that the provision of access to stakeholders was also provided.

In Akre, the provision of access has taken the format of a seminar with all related stakeholders, who mainly represent the residents. This step has been highly supported by the governmental agencies at the province and local levels. In Akre workshop, most of the interviewees have mentioned that the workshop was well prepared, and well-structured in terms of logistics, and in terms of the role anticipated from each participant. Also, they have mentioned that many secondary data sources were available and sufficient for this phase of discussion. In the same time, the workshop had clear objectives like sites identification and values. Also, they have appreciated the delivered presentations that helped them better understand the roles of the participants and the procedures of the workshop.

The interviewees think that the stakeholders were representative, despite that fact that the General Director of antiquities did not participate, which might entail that the attained results might not be implemented, as some of the interviewees have indicated. Nevertheless, the fact that General Director of antiquities did not participating, means that they are avoiding inter-governmental discussion of related conflicts, such as the project of reconstruction of historic houses.

However, they think that the government now is more willing to enhance its performance related to conservation and discuss issues with the residents that were avoided before.

The time available for discussion was enough for the participants to express their opinions and interest. Most of the participants also realised that there is a high level of interdependency among the government agencies themselves from one side, and between the government and residents, at the other side. Also, the participants do not think that any participant alone has influenced the final decision, and all of them had the chance to influence the selection and identification of sites significance or any future function for the sites. Nevertheless, some of the participants think that the non-participation of certain parts reflects their use the power that they have, and influence the implementation of the results. Also, there were mutual respect among the participants, and this was an important step to enhance the relation and build the trust between the residents and the government, and understanding the needs of each other. The interviewees think that the participants were accountable to the interests of the groups that they represent, especially the representatives of the house owners and orchards.

The implantation of the attained results still remain not concrete, especially related to the buffer zone around the old city, since it needs reconsidering the current adopted policies by the government, like legalizing the ownership of the informal houses, also related to the proposed infrastructure projects, which conservation needs are not in the vision. Furthermore, the master plan 2011, especially the proposed road network and the possibility that the owners of the orchards could build new houses in their properties remain problematic.

The result of the workshop for most of the participants was regarded as successful. A common understanding to the heritage conservation needs and opportunities became clearer, despite their concerns regarding the implementation of the results. The discussion has also increased the sense of local ownership over the result, social capital, stimulate the sense of place, empowering the people for more organisation and contribution, and acquired skills, despite that there is still a need for upgrading the negotiation skills for the residents, and the technical skills for the governmental employees especially in the local level. The knowledge about the natural sites became much better, along with other values than the historic and scientific types. More understanding to the importance of involving other agencies as main stakeholders in conservation issues such as the environment directory and culture directory.

Most of the participants were in favour of team work, and engaging the residents in the decision-making process, acknowledging that the final say is a political will. In light of the potentials available in the area, the residents need to reorganise themselves.

In Amedy, the provision of access has taken the format of a seminar mainly with the related governmental agencies (focusing in the supposed management plan of the city as it is in the tentative list of UNESCO World Heritage program). However, for the workshop it was easy to find who are representing the residents. Since the residents have a committee representing them in the any decision needed to be taken with the local government. This step was mainly supported by the governmental agencies at the province level, and with less support from the local level. In Amedy workshop, most of the participants were satisfied about the structure in terms of logistics, clear ground rules, identifications of the stakeholders rule, along with the role of the facilitator, and volunteers. Also they were satisfying the group design for such discussion. The participants were not representative to all parties, especially since the mayor did not participate in the workshop, who is not that interested in issues related to conservation, and more in favour of related infrastructural projects. Also, the local government mainly the mayor avoids discussion with the owners of the traditional houses and the surrounding orchards. The General Director of antiquities at the province level who does not have representative at the local level did not participate in the workshop.

The participants were also satisfied that they were given equal opportunities to express their opinions in a respectful and creative manner. The local committee had distinguished skills of negotiation that helped to go on with the workshop easily. However, the technical skill of the local government staff was poor. Nevertheless, there was also an opportunity to build different types of skills, knowledge transfer, and the understanding to the heritage and the conservation needs from one side, and the needs and interests of residents, in term of economic benefit and social cohesion and sense of place. The local government acknowledged the residents as key stakeholder, especially within the process of identifying the sites and their values and character defining elements.

There was almost a total consensus over some of the results, such as the identification of sites and their values and their character defining elements. Nevertheless, some times to reach the consensus were not easily, especially about including the traditional quarters as a site should be conserved and also the proposed buffer zone around the city.

All the participants were supportive to such an approach, and they were supportive for the importance of the inclusion of natural elements, since the district is full of distinctive natural sites. Inclusion of the directorates of environment and culture as main stakeholders is highly needed. Moreover, the discussion and negotiation among the participants has contributed in building a social capital, especially like in the relationships among local government and Erbil citadel group. Almost all participants were supportive to the results. However, the confidence among them that the result would be implemented was relatively low, since the mayor how are representing the higher level of authority in the city is not attending.

## Chapter 11: Summary of the Results and Conclusions, and Recommendations

### 11.1. Introduction

This chapter is inaugurated by a summary of the main attained results and conclusion in the previous chapters. Afterwards, the research objectives are revisited and the state of the research contribution and related theoretical reflections are also discussed. Finally, based on the conclusion, the research makes practical recommendations and areas of practical and further research.

### 11.2. Summary of the Results and Conclusions

This section is a summary of research that is organised in a way that tries to evaluate whether the conducted research has met the predefined research objectives, which are presented, below:

**Objective 1:** To analyse the conceptual amalgamation between integrated heritage and management and collaborative planning theories as formulated in the values-based approach (*Values-Based Approach, Integrated Approach and Collaborative Theory and Practice (Conceptualising)*).

**Objective 2:** To identify the level of integrated conservation and management in the context of Kurdistan (*Analysing how do the people and the government recognise heritage conservation and management*).

**Objective 3:** To explore the Values-Based Approach in real life practices (*Values-based Approach in Practice*).

**Objective 4:** To discuss the gap between theory of collaborative planning and practice (*Applicability of Values-Based Approach*).

**Objective 5:** To formulate framework towards integrated planning approach (*Recommendations*).

#### 11.2.1. Values-Based Approach and Collaborative Theory (Conceptualising)

From the theoretical part we came to the conclusion that heritage in urban areas has turned into important entity carrying vast potentials for long term prosperity. By definition, heritage will remain a dynamic concept (Schouten, 2004), especially if there is input from people. Now, the definition of heritage acknowledges the city as one historical entity, instead of previous times when the definition was focusing only on a single monument (Jokilehto, 2007).

Heritage role in sustainability has been well acknowledged, since it is multi-disciplinary in terms of socio-economic, environment, politics, etc. This entails that heritage means different things to different people. For example, for archaeologists and historians it is considered as a source for information; for architects it is a reference for beauty and design; for economists it is an asset; for the normal people (individual or groups) it is considered as symbol of identity. Therefore, many motivations are available to protect the heritage, including psychological motivations (Donaghey, 2006), especially for the group of people who wish to preserve their identity in societies of different ethnicities, religions, etc. (Poulios, 2010).



Many international institutes, such as: UNESCO provides guidelines and policies for heritage conservation. Moreover, it is cautiously encouraging governments to adopt those guidelines and policies, especially for those having a unique value. The conservation became more complex, with the expansion of the definition of heritage in urban areas. Consequently, it becomes impossible to deal with it in isolated manner, but it should be dealt in integration with other policies and plans related to urban development (Ripp, M. and Regensburg World Heritage, 2011). The ultimate aim of conservation is to preserve the significance of heritage sites, in order to sustain its integrity (visually and functionally) and authenticity, along with its attractiveness and to be integrated with the daily life of people. As a result, conservation is more understood as controlling the changes in the sites and their surroundings, depending on the reconciliation of conservation with revitalisation processes through responsive conservation plans and land use management plans (ibid.). The most important step in the conservation process is to understand the significance of the sites (Demas, 2002; Bhatta, 2008), which needs an array of knowledge and information in order to tackle issues holistic and interconnectedness manner. Since conservation contains huge tasks, it is usual to find the conservation responsibilities in a fragmented manner between many agencies. Conservation needs cooperation, coordination, and communication among different agencies and real participation that is considered the key factor for success of integrated management (Ripp, M. and Regensburg World Heritage, 2011).

Collaborative which is based on communicative theory is highly recommended to promote and operationalise integrated conservation and management, and this is due to the many associated potentials (See Section 4.3.1). Collaborative is based on the involvement of different stakeholders in the decision-making. Collaborative is also considered as a platform for the holders of different knowledge and interests, where knowledge and skills are exchanged fluidly. As such, it is considered as a learning process; creating the sense of ownership over the outcome; support the implementation; share understanding and build trust among stakeholders (See Section 4.2). All of these are needed to deal with such a complex issue like heritage conservation. This approach has gained popularity in developed countries, especially for land use planning and resources management, and it is considered a cornerstone in the practice of democracy. Nevertheless, this approach is still questioned in developing countries due to the political conflict and lack of proper planning and management. The important role that collaborative practice plays in integrated management led to its popularity more in the practice than in theory (Murray, 2006). However, this role is fraught with challenges that led scholars to devise certain criteria to organise evaluate this role.

Up till the 1980s, the approach adopted in conservation was a conventional one that is always led by archaeologists and architects mainly focusing on visual integrity. After the 1980s, a new approach known as values-based approach appeared (Poulios, 2010). This approach from one side is based on considering different types of values of sites, and from another side is based on the involvement of different stakeholders in the identification of the sites and their values, mainly giving the voice to residents, who always felt like excluded from conservation activities. This means that this approach deals with the reality around heritage that means different things to different people. Moreover, the values attached to the sites changes as time and context changes (Mason & Avrami, 2002). Consequently, the involvement of different stakeholders in the process means that all points of views are considered. This approach enables the holistic understanding of heritage sites, and having a strategic view to the site, especially those that have different types of values. Also this approach leads to an acknowledgment and inclusion of a great range of legitimate stakeholders (Mason, 2006).

The first step in this approach is based on having a common understanding of the site's values and the character defining elements among all the stakeholders (Demas, 2002). This will help identifying what should be monitored, also facilitate integrating the site values with the land-use planning (Jonker, 2011). Values-based approach is now adopted by different institutes such as UNESCO and Getty. This approach is considered as a benchmark for best practice of heritage conservation and management (Demas, 2002). Moreover, it is considered the most appropriate method for sustainability of heritage conservation (ibid.). Despite these potentials, this approach is challenged by contextual situations related to power, willingness, institutional arrangement, character and capacity of stakeholders, and availability of time and money (Mason, 2006; Poulios, 2010). These challenges make this approach a debatable one among scholars, and its success will remain situational. Nevertheless, we could conclude that the values-based approach is an approach representing amalgamation of integrated and collaborative principles. This approach brought conservation more inside the planning literature. Planners were engaged by taking the results of the assessment of heritage which is done by the specialist, and incorporate these results into planning decisions. Nevertheless, within the values-based approach it is quite clear that the methodology used in the identification of the sites and their values is in the heart of the planning framework. Furthermore, conservation is more based on understanding the needs and interests of each other, and reconciling these needs and putting them in line of conservation needs, this can be done through communication and learning process (Jokilehto, 2007).

### **11.2.2. Level of Integrated Heritage Conservation and Management (Analysing the Current Condition and Recognition of Heritage)**

Iraqi Kurdistan is a place where several civilizations have been interacting since ancient times. In modern times, the Kurdish people have experienced much turbulence. The Kurdistan region is not only rich with natural resources like petrol, but also with heritage resources (cultural and natural). The region is also a multi-ethnic, multi-religious, and multi-lingual. Kurdistan is known as cradle of civilization and is full with archaeological sites (now, 1307 sites) (Erbil General Directorate of Antiquities and Traditions, 2003). At the same time, the region has many distinctive natural sites, like forests, hills, waterfalls, etc. These potentials have been intentionally neglected in the planning system, especially the cultural heritage through the absence of conducted surveys and documentation, and it was purposely destroyed. The constitution considers cultural heritage as a national treasure, and consequently it is highly centralised, but there is a specific mandate at the federal level.

Currently, the constitution and the strategic plans of the federal government of Kurdistan have adopted the notions of democracy and decentralisation; have transferred more authority to the local government; have encouraged the private sector; have supported NGO; and have supported the involvement of the residents in the decision making process (MoP-KRG, 2011). Therefore, it became important to address heritage issues in light with the available potentials. With this respect, two examples have been studied: Akre and Amedy in Duhok province, in order to analyse the applicability of the values-based approach in the context of Kurdistan. As a first step, it was necessary to analyse the level of integrated conservation and management in both cities through the analysis of current situation of the sites (in terms of their physical and functional conditions, integrity with the surrounding, access to the sites, and integration with tourism activities) and the government performance (in terms of level of coordination, cooperation, communication, partnership, and participation), based on the principles of integrated approach (See Chapter 3).

The two cities Akre and Amedy showed that they are both rich with long history and full with natural and cultural heritage sites. In both cities the cultural heritage has been partially listed in the one and only national list of the antiquities 1970. However, the heritage sites in both cities are continuously deteriorating due to many factors. After heritage conservation has been neglected for long time especially the cultural one. In both cities we can see many of the historic residential use buildings are in poor conditions, some of them are empty and became places for dumping garbage. Some other buildings have new partition added to them, or covered with new layer to fulfill the needs of the owners, while others have been totally demolished and replaced by new ones using new styles and construction materials. This phenomenon became wide spread in both cities, but maybe more evident in Amedy traditional quarters which are not yet listed thoroughly in the national list. Moreover, since many of the houses are in poor conditions, the families have left their houses and lived in the new area of the city or have left to other cities.

The changes done by the residents are affecting the values and traditional visual integrity of the historical houses. Nevertheless, the changes done by the government projects are also negatively affecting the sites values. The government projects are regarded as conservation projects, but in reality they are not. An example in this regard is the conservation project of historic residential buildings in Akre. The conservation plan of these buildings was not formulated based on the understanding of the architectural values, neither at the individual level or collective value of the historic houses. Moreover, the plan was not based on detailed surveys and documentations. This has led to formulate a limited number of standards which are not enough for preserving the values of the sites. Also this has led to neglecting all architectural elements which reflect the historical stages that the city went through. As a result, reconstruction as a conservation strategy for all buildings is chosen, keeping in mind that many of these buildings need little interventions. This means that the authenticity was also not considered. In Amedy, the deformation of the engraved symbols on the Mosel gate which is resulted in the improper restoration process is another example on the government projects. Another example of the improper restoration is the interventions of government projects. For instance, the restoration of the public building such as Qishla building in Akre and Qubahan School in Amedy is interrupted due to lack of qualified staff. The view and access to most of the historic public buildings are blocked by the dense surrounding development, among others densely constructed buildings and also the illegal car parking practices on the road side of old city of Akre and within the Bazar area of Amedy.

There is lack of access to natural sites in both cities. In most cases, access roads and paths are occupied by informal constructions as it is the case in Sipa, Akre. In addition, most of informally constructed buildings on the area surrounding the old city of Akre are destroying the image quality of the historical city. Similarly in Amedy, the construction of new buildings in the north part of the city is deteriorating the natural landscape of the city. Furthermore, the increase in new buildings with new styles and construction materials used as touristic facilities is undermining the natural beauty and interrupting the views, for instance, Sulav in Amedy. Further, some projects are proposed within the supposedly buffer zones of the heritage sites without making impact assessment of the new project on the heritage site. For instance, the proposal of museum around Qubahan School in Amedy did not respect the visual integrity and neglect the future function of the school itself. At the same time, some other projects did not take into consideration of natural sites with cultural extension, such as Bare Sile project. Even the proposed master plan of both cities neglects the whole dimension of heritage conservation. In the master plans there are only few references to matters related to heritage conservation, for instance, there are some recommendations without any clear guidelines for the integration of the old part with the new development sites of the city as well as for the rezoning and land use.

It is important to mention that the share of the conservation related projects within the reconstruction initiatives in Kurdistan was tiny, since the reconstruction initiatives have been mainly infrastructural-led. Currently, the initiatives related to heritage conservation are stronger in Akre than in Amedy. The local Government in Akre has also assigned a budget on yearly basis for conservation related activities. The project of reconstruction of historic houses was successful in terms of giving the residents the opportunity to keep the ownership of their properties. This is made possible without the project need to use acquisition. Nevertheless, the methodology used for the development of the conservation plan was not successful, since it did not based on the understanding of the real significance of the site for instance, transformation of Bare Sile into artificial park without respecting its cultural extension value in Amedy.

Both cities lack adequate infrastructure in terms of among other things roads and sewerage system. This is also one of the reasons that made some of the residents to leave the old city. Even the new proposed infrastructure projects in both cities do not attempt to integrate heritage conservation in their visions, for instance, choice of construction materials for roads. One example is that cement layer is used as pavement instead of stones which are adequate to enhance harmony between the heritage site style and the new constructions.

In addition, several public buildings aimed to house different governmental offices are constructed within area considered buffer zone protecting the integrity of the heritage site. The buffer zone, in addition to protecting the heritage site from inadequate developments, it is reserved for touristic related facilities. The touristic related activities are also important to locate in the buffer zone so that they ensure the service provision for the heritage site without affecting the integrity of the same.

In regard to touristic activities, in both cities the natural sites that are under public ownership and operated by public-private partnership are getting more attention. On the other hand, the cultural heritage sites which are mostly owned by residents are totally neglected. This was one of the reasons that caused the conflict between the residents and local government. Yet, number of residents tries to obtain economic advantage from the touristic activities by providing local products to the tourists visiting the natural sites. This is for instance the case in Sulav in Amedy. It is worthy to notice that the natural sites are characterised by rapid changes and transformations resulted from economic motivations rather than from the consideration of the values of sites.

It is quite clear that the potentials in cultural and natural heritage conservation are not tapped in, and this is evident from the job opportunities and unemployment rates. For instance, the unemployment in both cities are high, especially in Amedy it reaches to 13 percent, which is the highest rate in the province of Duhok. Indeed, the rate is greater than the average unemployment rate in Kurdistan region (See Section 2.3.5; 8.3; 9.4).

The demography is changing rapidly in Kurdistan. Today more than 80 percent of people in the region are living in urban area (See Section 2.3.5). The reasons for this rapid urbanisation of the Kurdistan region are principally war which resulted in the destruction of rural villages and politically motivated forced eviction of inhabitants in the rural area. Still there is continuous movement of people from middle and south Iraq to Kurdistan region caused by the current political instability in the mentioned part of the country. Since then, the urban areas are rapidly urbanizing.

The governmental policies aimed to deal with the rapid urbanisation have focused then in redistributing plots and legalizing the informal houses built before year 2000. Consequently this has led to sprawl development. In addition, the construction of buildings within the orchards by the owners accelerated the sprawl developments.

This development has a direct impact on the image of the old city. In addition, residents are continuously abandoning their houses in the old city to settle in the new development sprawling area. Also this expansion has not respect the topography of the area and the historic image of the cities. Actually, these changes have not even been even controlled by a general building code.

We conclude that the heritage in both cities is threatened due to the changes done by both the residents and government projects. This conclusion is applicable for the sites listed or deserves to be listed; the heritage has not been treated in an integrated manner, in terms of preservation requirements, sites attraction, and resident's needs. Heritage conservation has not been integrated with other related urban policies, and with the land-use decisions and tourism plans, especially those concerned with cultural sites. Furthermore, heritage conservation has not been considered in the current reconstruction efforts, in respect to fund allocations and sites values. The only available legal instrument is the national list 1970, which has not been updated yet. Moreover, this list does not include identification of the site's values; character defining elements and buffer zone. Within the same framework, there is no general building code or specific codes for the conservation area (that is not yet determined) or its buffer zone. Importantly, there is a clear lack of surveys and documentations, and there is no available list for the sites which are less than 200 years old. The lack of availability for the above mentioned tools in the practice of heritage conservation has not facilitated its integration with other urban planning strategies.

Nevertheless, this conclusion is challenged by the related laws of heritage conservation. Through the revision of heritage and conservation laws since 1920, it is evident that Iraq was a pioneer compared to neighboring countries in signing and committing to the international conventions, such as: UNESCO's convention of 1972 signed by Iraq in 1974. Accordingly, Iraq legalised the articles of this convention in Law no. 137 in 1977. The laws provide important guidelines for integrated conservation and management, especially the laws no. 45 and 55 for the years 2000 and 2002 respectively (See Box 7-1). The laws states that the main aim of conservation is to preserve the significance of the heritage sites that possess (architecture, social, scientific, and historic values), and to present these sites as a national identity. Furthermore, these laws gave guidelines for a conservation plan including: the importance of considering visual and functional integrity and the authenticity of the sites; importance of buffer zones for each site, weather single monuments or area; and conducting continues surveys and documentation of the sites to be integrated in the land use planning. The related laws are valid for the sites, which are 200 years old (as an antiquity) or less than 200 years old (as a tradition). The laws deal with the owners of a building or land through acquisition, and give the opportunity for the owners to keep their properties with an exemption from property tax, with the condition to keep the function that make this property integrated with the surroundings. The laws also make it clear that there should always be an allocation of funds for the related conservation heritage issues, including: research, capacity building of staff, and implementation projects.

In practice, it is clear that these guidelines are not applied, which means that there is lack of commitment to the laws and regulation related to heritage conservation. This is coupled by the fact that there is lack of follow up and monitoring for the heritage conservation projects, along with the lack of technical skills for the local staff engaged in these issues.

Regarding the responsibilities of heritage conservation, many ministries are involved in heritage conservation issues, and these responsibilities are highly fragmented. The main responsibilities for heritage conservation are granted to Ministry of Municipalities and Tourism through the General Directorate of Antiquities and Tradition.

Since 1992, the remaining of this general directorate within the Ministry of Municipalities has been debated with the establishment of every new cabinet, as some perspectives call to establish an independent board to give higher concern to the related heritage conservation activities that have been long traded-off with the infrastructure projects. Keeping in mind that the main challenge is not only the available fund, but the current projects of heritage conservations are not in align with the related laws and standards. In addition, it is evident that the level of cooperation, coordination and communication is not adequate, especially in light of the reconstruction projects, where many sites are affected by these projects, like the material used for pavement or the widening of roads, or damaging two shrines while constructing the road to Qubahan School in Amedy. As for the values of the natural sites, which should be maintained by the ministry of environment they are in practice controlled by the General Directorate of Tourism.

In respect to partnership and participation, it is evident that the partnership is limited to the natural sites. In case of participation, it was possible to achieve some progress during the planning process, since it is encouraged by the strategic plans of the region. The limited success of the participation process is due to limited stakeholder participation. For instance, the discussion and development of the master plans for Amedy and Akre did not involve all the agencies linked to the development of both cities. The personality of the staff in charge plays a crucial role in this regard, as could be seen in Amedy case in comparison with Akre, despite the fact that the representations of the government agencies in Amedy is less than that in Akre (See Figure 8-47; Figure 9-53).

In matters related to the perception of residents, it has been influenced by the changes in the context and performances in the current and past government cabinets. From local perception, it clear that there is a lack of understanding to some aspects of heritage conservation. For example in both cities there is lack of understanding about natural aspects as a heritage, though that in both cities the natural sites are considered as the main attraction to tourism activities. It is evident that the perception is influenced by the previous and the government policies, and the current government practice. The old city in Akre and Amedy are not organised to welcome tourists; here is lack of access and facilities such as restaurants. Indeed, heritage sites are losing their attraction, for instance, historic houses in Akre and Emirate Symbol in Amedy. Another important perspective to keep in mind is that there is a conflict between the residents and government in respect to the values of the sites. For example, in Akre the people do not consider Qishla building as a heritage sites, although it is listed in the national list 1970. While, for the government this building has an architectural value that dated back to Ottoman Empire (1842 to 1918) and hence, it should be protected. Similarly, the traditional quarters in Amedy are not considered by the government as heritage; therefore, this created an ambiguity about what represent as heritage and this has influenced the perception of the residents toward the sites. In addition, residents are not also that much keen that their property to be part of the heritage as they fear of acquisition.

The residents understand heritage conservation as an important task and that they have to be part of the process similar to other stakeholders such as NGOs, and government agencies. In the case of both cities, the motivations for conservation of cultural and natural heritage are because of the significance of the sites for the identity of its residents and the need to pass on this legacy to the next generations. In the second place, tourism is the other important motivation of the residents to support and accept the aim of heritage conservation (See Table 8-46; Table 9-51). Moreover, the residents in both cities think that the information available about heritage conservation activities was restricted, with less percentage in Amedy compared with Akre (See Table 8-8; Table 9-5). In both case study areas, the knowledge of residents about heritage is obtained locally from their parents and native residents.

The majority of residents in both cities think that they should be involved in the decision making process concerning heritage conservation.

The residents perceive the government performance in respect to heritage conservation is not successful though the government has been spending money on some related projects (See Table 8-46; Table 9-51). Nevertheless, in both cities, there have been high levels of willingness to participate in heritage activities.

So, we can say that the main conflict lays on defining the site values, in the consideration of economic benefits for residents, the performance of government activities (e.g. using acquisition), and lack of real participation in the decision making process. To conclude, there is a lack of an integrated approach in terms of conservation and management and heritage. Heritage conservation is considered as a secondary objective in the reconstruction efforts.

### 11.2.3. The Values-Based Approach in Practice

The overall aim of this research is to find out if the values-based approach is applicable in the context of Iraqi Kurdistan. Further, it is also concerned with comparing the collaborative and communicative theory in practice. There is a set of preconditions needed to initiate values-based approach (Worthing & Bond; 2008; Mason, 2006). These preconditions include: willingness to participate; institutional arrangement; and access to involvement. This research finds the willingness as the most important driving factor to consider. Consequently, the provision of the strategic plans in encouraging public participation in decision making process is a basic element for application of values-based approach. Nevertheless, the mode of application is not yet well institutionalised. Yet, the willingness of residents and government to cooperate in heritage conservation activities provided the necessary access to bring all stakeholders together. However, the type of access for stakeholders' involvement is not the same in both case study areas. In Akre, the current practice is organisation of a seminar, which brings residents and governmental agencies together to select representatives of the residents, who will be working with the agencies in the heritage planning related activities. While, in Amedy, the process was quite formalised, as the residents have committee who are already working in the decision making process, since the residents already have a local committee involved in the decision-making, bearing in mind that Amedy municipality is classified as rank 2. Thus, the conclusion here is that the process of participation is more dependent on the political context, the changes at stake and how much the residents investing in it.

Other factors such as: power, characteristics of stakeholders, and context were witnessed in the process and most likely they are in way or another affecting the outcome. Such factors are not being addressed by collaborative theory (See Section 5.4). In the two case studies, the participants expressed their satisfaction on the success of the process in terms of achieving more understanding the needs and interests of each other, which might be in line with conservation requirements (See Chapter 10). Also, it was to some extent a success in terms of building trust between residents and government, as well as enhancing the sense of place and empowerment of the residents, so that they could contribute more and organise themselves. In the same framework, there was a knowledge transfer between the stakeholders, especially in respect to identifying the values of sites and conservations needs along with evolution of new ideas for site management. Power was shared among the participants, and most participants had the feeling that he/she is in power and influenced the outcome. Moreover, there has been mutual respect to needs and interests, and this was clear in the identification of sites that reflect the identity of certain groups, or in the discussion about the values of sites.

Furthermore, all the participants recognised the interdependence among the stakeholders. However, it seems that power has been exercised in another way through absence of some of the key stakeholders such as the Mayor of Amedy. This gave the impression to some participants that the result of the exercise will remain as rhetoric, and will not be implemented. Nevertheless, maybe the personality of the stakeholder or the political gains might have influenced the process of values-based approach, and this has been presented in an exercise of power.

It is believed that the context, particularly economic aspect, may have principal effects on a group of participant at some points which impede the development of values-based process. It was evident that the group of orchard owners in both cities (especially in Amedy) was unexcited to include their lands neither within conservation area nor with buffer zones. Quick financial profits were concluded to be the main reason since the owners doesn't prefer the burden of governmental conservation standards. Besides this, the local government also doesn't show enthusiasm towards solving the problem because historically these owners were deprived from their lands for long time during the former Iraqi regimen.

This research also finds there was a difference in the stakeholders in terms of skills. For instance, in Akre the negotiation skill was relatively weak at the beginning, and the residents felt powerless, and later on it was enhanced. Also, the technical skills of the local staff of two case studies were relatively weak. While, in terms of knowledge and information, the knowledge of the residents with respect to values of sites is found much better than the knowledge of the local government staffs'. Nevertheless, this did not stop the process, and this was clear from the stakeholder's commitment to the process, who kept learning from each other. In addition, the structure and procedures of the workshops facilitated to keep the discussion of the stakeholders within the aim and objective of the workshop. The tangible results of Akre and Amedy workshops were a list of heritage sites, their values, details of character-defining elements of some sites and identification of conservation areas and buffer zones in both cities.

In terms of implementation of results, in the two examples there was no concrete commitment to implementation. For instance, in Akre, the mayor was uncertain to implement the recommendations related to the buffer zone, as he think that will cause contradictions between conservation needs and other federal policies. In Amedy, the absence of the mayor to attend the workshops rendered the final decision undefined. The direct commitment of the mayors is crucial, as the decision on the implementation of the plan is mainly concentrated on the hand of the mayor, bearing in mind that the stakeholders especially at the province level have expressed their willingness to participate in the implementation.

This research has found that the tangible outcome might not be concertised during the process, and might need some time to prevail. In the two examples, the intangible outcome was associated with power connotations. This was related to the understanding of each other and the acknowledgments of the interdependence among majority of stakeholders. For instance, even if one of the stakeholders was thinking that he/she has the ultimate power, the understanding of a group of stakeholders over the results will prevail at the end. This was quite clear in the case of Amedy, since the final decision for adopting the results and starting preparations of management plan of Amedy city was issued at the province level. Nevertheless, in the case of Akre the results are still under discussion. Thus, we could conclude even in the same context, the range of success in term of tangible outcome for the values-based approach remains situational.



#### 11.2.4. Theoretical Reflections (Applicability)

In response to the main research aim of this doctoral research, it was important for the researcher to explore whether the level of collaborative practices would be leverage to the heritage conservation and management in Kurdistan region towards an integrated approach that would yield more sustainable outcomes. It is important to mention that this research does not intend to discuss whether collaborative and communicative theory is ideal or not, rather than to use it as destination and accordingly assess the current situation of conservation and management of heritage from this perspective. [Gunton & Day \(2003, p. 9\)](#) make it clear that *“the question is not whether the conditions are ideal for collaborative planning, but whether the conditions have reached the point where it is opportune to commence a collaborative planning process.”*

As evidenced from this doctoral research, it is quite clear that the values-based approach has increased the understanding among the stakeholders of their different perspectives, and the ability to reach a consensus over some points, or in other words it has favorably encouraged intangible outcomes in comparison to more tangible elements such as the development of action plan. The practice of values-based approach provided an arena of articulation that would help in the promotion and paving the road for a more effective practice of collaborative theory and sustainability principles in other issues not only related to heritage in the context of Kurdistan. In other words, through the articulation of significant values of different sites (cultural significance and natural value), the economic aspects even in the identification of sites for heritage conservation and future uses have been clearly present. This practice has encouraged the stakeholders to think holistically in the potentials of sites through the practice that could be acknowledged as a continuous learning process.

The success or failure of a theory is contingent to the time and context. The context of Kurdistan is characterised as a mosaic of different ethnicities and religions that suffered for many years from the hegemony of geo-politics and oppression to the identity of its inhabitants. The practice of values-based approach provides an opportunity to the residents to protect their identity, which suffered oppression for prolonged period of time. Hence, the approach tries to reconcile the different perspectives, needs, and aspirations of all groups, and this was evident in the willingness and enthusiasm of different stakeholders to participate in the related activities of research, especially the governmental agencies which provided the access to the different stakeholders to be engaged. This is coupled by the fact that the government of Kurdistan has already adopted notions of democracy, decentralisation, good governance, civil society engagement in the decision making process, which are all considered supportive measure for the practice of collaborative theory. This entails that the values-based approach which is the conceptual amalgamation between collaborative theory and integrated planning provide an efficient tool in the prevailing context and timing of identity-building. Accordingly, the use of this valuable tool could encourage collaborative practices and integrated planning in other sectors, else than heritage conservation, such as water, agricultural, and land-use planning.

### 11.3. Recommendations

Based on the analysis of current status of heritage sites in Iraqi Kurdistan, in terms of integrated conservation and management, and based on the identified challenges facing the practice of values-based approach, the following guidelines are recommended in order to promote an integrated heritage conservation and management:

- Conduct urgent detail surveys and documentations of heritage sites in every city in Kurdistan region; manage computerised-based data sets about heritage sites, and make it accessible to the mass public, and academia, amongst others.
- Revisit the national list for the year 1970, by adding new heritage sites including natural elements, with details about these new sites, along with old registered sites, including: statement of significance; character defining elements; buffer zones, conservation area through special surveys. This task should be done by involving different stakeholders including professionals from the government staff, the residents and many others specialists, like architects, land use planners, and landscape ecologists. Consider the development of a designated list for heritage sites at the federal level of Kurdistan, including the cultural and natural sites. Furthermore, these sites could be classified based on rareness and representativeness of sites.
- Capacity building of staffs in surveys and documentation skills, development of conservation plans, integrating this plan with the land use, infrastructures and other planning and projects. Furthermore, there is a need to enhance the negotiation skills among the government staff in order to enhance the management performance. This can be done through training courses for the staff in all levels especially in the local level. This will help supporting the inter-coordination between the related agencies and the department or office responsible for heritage conservation management.
- Formalise the public participation in the process of heritage conservation management to make sure that not only the technical knowledge, but also local knowhow related to details of heritage sites. It is recommended to use the designated article in the current law of municipalities related to the announcement of the master plan for a two months period. This period should be programmed to make sure that the residents are involved in the process.
- Support the inclusionary measures of integrating voluntary initiatives in public participation and heritage conservation. Within the same framework, support the work of related NGOs and coordinate with them at the local level of heritage conservation.
- Encourage the formulation of local committees to support the decision making process related to heritage conservation and management.
- Adopt impact assessment of projects on cultural and natural heritage and legalise its processes and policies. This means that any conducted project should be assessed in terms of impact on the heritage sites. The character defining elements would be an asset to this process. Also, heritage conservation should be considered among other urban polices, to ensure that they are not negatively affected by them. Such urban polices include: formalizing illegal buildings and distributing plots. Likewise, heritage conservation should be integrated in the different planning sectors and projects, such as housing, tourism, and infrastructure.

- Make sure to explicitly and clearly include the natural elements of landscape in the law as a heritage, to ensure that there is a reference in the law to help controlling the development and changes in the sites that overvalue the touristic activities in comparison to the significant values of the sites.
- Empowerment of residents of different religious, ethnic, and economic backgrounds. This could be done by a designated awareness raising activities, especially in cities of wealth heritage sites. It is advised to start with such activities in the schools and other extra-curriculum and social activities, which will increase the sense of ownership and ultimately creating a strong partner to back up the process of heritage conservation.
- Increase governmental funds, and give heritage a considerable weight in the trade-off of any developmental project, especially in the ongoing reconstruction efforts. The governmental funds to heritage conservation could also be benefited from the governmental program, known as ‘small projects’ dedicated to increase the employment opportunities at the local level.
- New governmental policies should ensure the continuous coordination, communication, and networking among the related stakeholders through a set of monitoring and evaluation measures. At the province level, the coordination, communication, and participation among the related stakeholders could be activated through the Development Centres in their respective governorates, which is mandated with such tasks.
- Enhancements of law enforcement through follow up of implementation and continuous monitoring and evaluation which could be done by the federal and province agencies. As we have seen in the analysis of the case study, there are many projects that violate the related laws of heritage conservation at the local level.
- Establish a designated department concerned with conservation issues at the General Directorate of Constructive Planning to make benefit of the strong relationships as evidenced in the analysis. This will facilitate and control the integration of heritage sites in the land use planning, along with coordination, cooperation, and continuous communication.
- Revisit the municipality’s law, especially the mechanism of municipalities ranking, which should take into consideration the associated (potentials) significance available in the municipal areas that would benefit the whole region not only the size of population being the determinant criteria in the municipalities ranking. This entails increasing the governmental representation of related agencies in these municipalities.
- Amendments of heritage conservation law should include the following:
  - Defining new tools of partnerships else than site’s acquisition, which in most of the time act as an impediment to the implementation, since the government find it costly, and the locals wish to keep the ownership.
  - Increase incentives related to heritage conservation and management initiatives, since the current incentives of property tax exemption is not efficient especially because it is trivial amounts of money in comparison with the high value of the properties, and in the governmental subsidised context for the main social services.
  - There is a need to specify the agencies involved in the development of conservation plans, to facilitate the continuous coordination and communication among these agencies, especially those related to intangible heritage and environment issues.

- There is a need to activate monitoring and evaluation measures related to heritage conservation and management, once a conservation initiative is started.
- Revisit the current roles and responsibilities of the related agencies in the field of heritage conservation and management through a continuous communication among the related staff of the involved agencies, especially at the local and province level to unpack the interdependent and interrelated role of each stakeholder and its contribution to the process.
- Encourage academic and research projects related to the heritage conservation and management. It is recommended to develop a designated study and research courses targeting post-graduate students.
- Pooling and networking with international experts through a set of capacity building and leadership making programs at several levels. This should include the encouragement of on-job training programs, especially at the local level, making benefit of the donor-related initiatives and the signed international agreements.
- Chart a national and subsequent federal and province strategic plans for heritage conservation based on unified vision that is sustainable development.
- Encourage public-related functions in some of the heritage sites to increase the daily activities in the urban area of these heritage sites, including the famous Newroz annual festival.
- Encourage economic-generation projects, especially touristic related functions to increase the economic fruitions of heritage conservation as a non-renewable resource, including small businesses of hand-made projects targeting youth and women.

#### **11.4. Research Contribution and Further Research**

Addressing the heritage conservation at this particular timing was important to draw attention to the different stakeholders, especially the government staff about the importance of this non-renewable resource in the current discussion about developmental plans that mainly consider concrete spatial development such as roads, bridges, etc. In parallel, the academic sector was instigated to consider this important issue and to be more involved in the planning and management of heritage, which is unfortunately under researched at present, despite the rich legacy of heritage sites (cultural, natural and mixed) in Iraqi Kurdistan.

The research design was a continuous learning process from the beginning of the conducted expert interviews, seminars, and workshops in which the participants have indicated that these activities were indeed a learning process to them, especially for the young professionals, who hopefully will be in charge later on. It is important to refer to the fact that the activities undertaken within this research has helped revisiting the development management plan of Amedy that was stopped since the beginnings of 2012. This management plan is among the prerequisites to list Amedy on the UNESCO's world heritage list.

Further research in this aspect should contain the investigation of values-based approach in other cities in Iraqi Kurdistan, along with the evaluation of the collaborative practice in other sectors, like water management. In other words, even if the practice of such theories would not result in with tangible outcomes, the gained intangible outcomes remain very important to consider, since we are still at the beginning in the adoption of notions of democracy and decentralisation.

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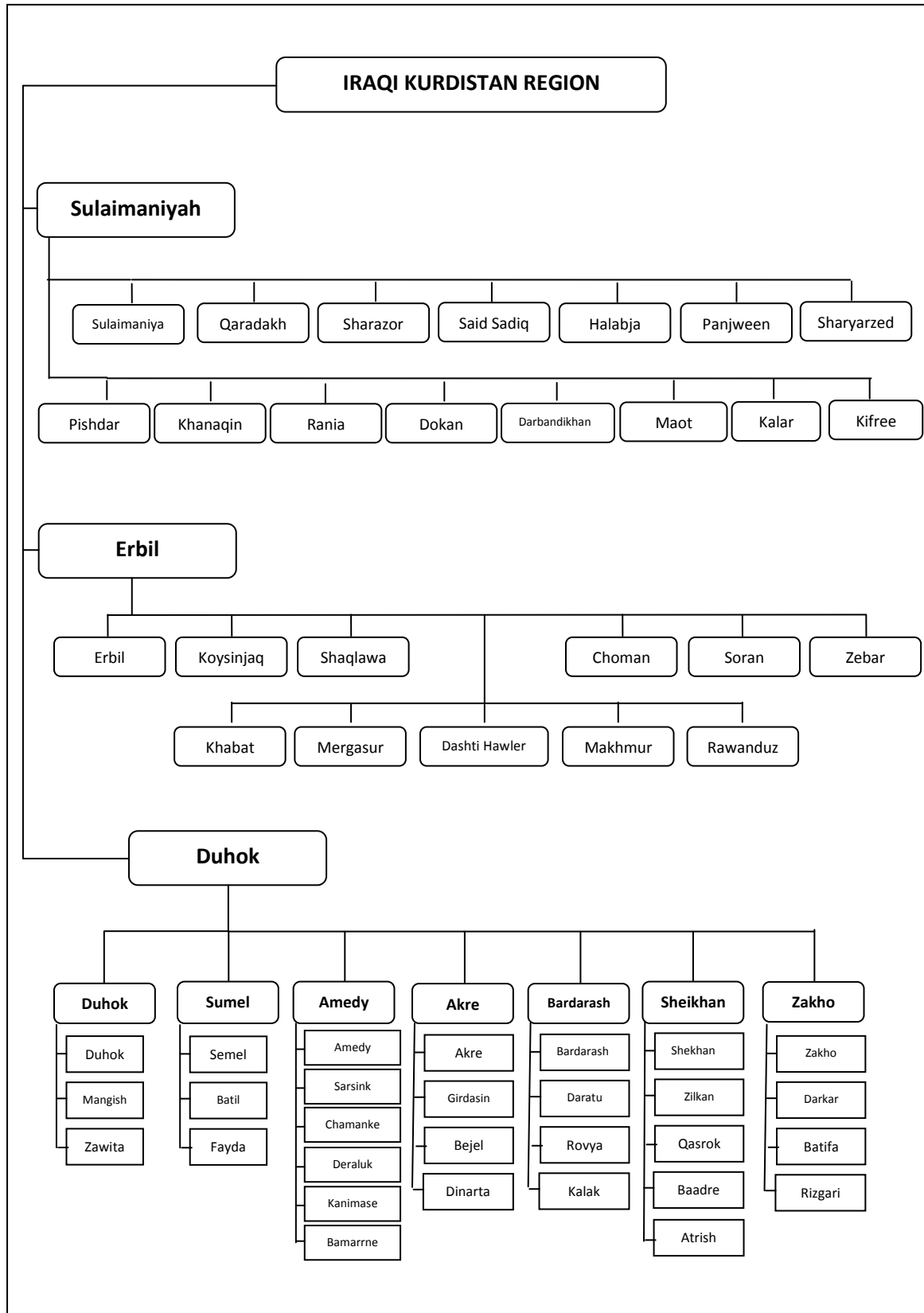
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**Appendix 1:  
Administrative composition of Kurdistan Regional Government**



## Appendix 2:

### Decentralisation/local governance, civil society/public participation, heritage, investment/public-private partnership in Iraq and Kurdistan Region Constitution, National Development plans and Regional Development Strategies.

Constitution of Iraq and Kurdistan Region			
Decentralisation/Local Governance	Civil Society/Public Participation	Heritage	Investment/Public Private Partnership
<p><b>Kurdistan Region: Article 103:</b> First: In order to achieve democracy, administrative decentralisation shall be applied, continuously developed and activated in running the administrative units of Kurdistan (governorates, districts, counties and villages), because it is one of the indispensable tools for the participation of the Region's citizens in running the administrative unit's general affairs. Each administrative unit shall have a local council, chosen by secret ballot in direct and general elections. The method in which these councils are elected, as well as their powers and duties, shall be clarified by law.</p> <p><b>Iraq: Article 116:</b> The federal system in the Republic of Iraq is made up of a decentralised capital, regions, and governorates, as well as local administrations.</p> <p><b>Iraq: Article 117:</b> First: This Constitution, upon coming into force, shall recognise the region of Kurdistan, along with its existing authorities, as a federal region</p> <p><b>Iraq: Article 122:</b> First: The governorates shall be made up of a number of districts, sub districts, and villages. Second: Governorates that are not incorporated in a region shall be granted broad administrative and financial authorities to enable them to manage their affairs in accordance with the principle of decentralised administration, and this shall be regulated by law.</p>	<p><b>Kurdistan Region: Article 19:</b> Seventeenth: The Regional authorities shall seek to strengthen the role and independence of civil society organisations.</p> <p><b>Kurdistan Region: Article 38 – Scope of Restrictions on Rights. First:</b> No restriction may be placed on the exercise of civil, political, social, economic and cultural rights, or on the rights of ethnic and religious groups recognised in this Constitution, unless such a restriction is imposed by law.</p> <p><b>Iraq: Article 45:</b> First: The State shall seek to strengthen the role of civil society institutions, and to support, develop and preserve their independence in a way that is consistent with peaceful means to achieve their legitimate goals, and this shall be regulated by law.</p>	<p><b>Tangible: Iraq: Article 113:</b> Antiquities, archaeological sites, cultural buildings, manuscripts, and coins shall be considered national treasures under the jurisdiction of the federal authorities, and shall be managed in cooperation with the regions and governorates, and this shall be regulated by law.</p> <p><b>Intangible: Iraq: Article 35:</b> The state shall promote cultural activities and institutions in a manner that befits the civilizational and cultural history of Iraq, and it shall seek to support indigenous Iraqi cultural orientations.</p> <p><b>Kurdistan Article 16: Natural Element:</b> In light of their responsibility to current and future generations, all Regional Authorities must protect the environment, the essential means of subsistence, and the natural and human environment in the Kurdistan Region. The law shall regulate the establishment of protected areas, wild areas, natural parks and public gardens, in order to protect nature, wildlife, wilderness and natural plants and animals, and to preserve them in their natural state. The law shall not permit the erection of buildings or any motorised activity in these zones.</p> <p><b>Iraq: Article 33:</b> Second: The State shall undertake the protection and preservation of the environment and its biological diversity.</p>	<p><b>Kurdistan Region: Article 15:</b> The Kurdistan Region shall adopt a competitive legal market economy, which encourages and embraces economic development on modern foundations, as well as public and private investment. Monopolies shall not be allowed, except as regulated by law.</p> <p><b>Iraq: Article 25:</b> The State shall guarantee the reform of the Iraqi economy in accordance with modern economic principles to insure the full investment of its resources, diversification of its sources, and the encouragement and development of the private sector.</p> <p><b>Iraq: Article 26:</b> The State shall guarantee the encouragement of investment in the various sectors, and this shall be regulated by law.</p>

National Development Plan of Iraq			
Decentralisation/Local Governance	Civil Society/Public Participation	Heritage	Investment/Public Private Partnership
<p><b>Good Governance: Orientation towards Decentralisation and Local Government and the Role of Local Government:</b> Promoting decentralisation in the management of development facilities. This trend is headed toward more decentralisation, on both the political and administrative fronts. This constitutes a profound shift in the government decision-making process. Decentralisation can foster greater accountability and responsiveness in service provision and can strengthen citizens' ability to participate in the decision-making process and claim their rights. Local government is responsible for realizing decentralisation and taking a principal role in using land, infrastructure, and housing production for deprived groups and those with special needs and in providing the flow of resources efficiently to secondary cities and rural areas.</p> <p><b>Guaranteeing "Good Governance"</b> Creating the proper environment to implement the strategy requires the government to set "good governance" as the top priority in governing, establishing organisations, managing the economy, improving the performance of public administration, The multiplicity of parties responsible for tourism, cultural, and archaeological activities. There is an overlap in the tasks and responsibilities of the Ministry of Culture, the State Department for Tourism and Archaeological Affairs, and the Department of Tourism in tourism activity. There is also an overlap in the authorities of the councils of the provinces and the Ministry of Culture in the field of archaeological and cultural activities. Reconstruct the organisations responsible for tourism and archaeological and heritage activity to guarantee the unity of taking decision and the non-distribution of responsibilities between more than one party in addition to solving the overlapping of authorities between the central and local parties.</p>	<p><b>Social Development:</b> The future social policy in Iraq should be based on the following rules on an active role for civil society organisations, stressing the role of local councils and municipalities in</p> <ol style="list-style-type: none"> <li>1. Identifying the needs of their local societies,</li> <li>2. Setting their plans, and financing their programs.</li> </ol> <p><b>Participation/Building Partnerships:</b> The plan will attempt to have all society members and institutions participate in the development process. They must be provided with the opportunity to effectively participate in planning, monitoring, and follow-up activities. Local authorities: The role of local authorities (province councils) must be activated along with that of civil society organisations to ensure participation by all parties involved in the development process via freedom of expression and active participation</p>	<p><b>Tourism and Heritage Capabilities:</b> The low interest level to date was not restricted only to tourism; it included the cultural and administrative sectors in general, as this side has not received the required attention, especially because it is one of the state's responsibilities.</p> <p><b>Vision:</b></p> <ol style="list-style-type: none"> <li>1. Developing and creating a competitive tourism industry that can participate in the diversification of Iraq's economic base.</li> <li>2. Maintaining the historical heritage of the country developing and utilizing it efficiently as a tool for developing national and international tourism, and advancing Iraq's position as important in the world's cultural and historical heritage</li> <li>3. Maintaining the cultural and artistic identity of Iraq, rebuilding it, developing its attractions and re-attracting Iraqi innovators to the country.</li> <li>4. Continue provision of financial allocations for infrastructure that supports tourism and cultural and archaeological activities e.g. roads, electricity and other fundamental services.</li> <li>5. Establishing and developing museums in all provinces, protecting and developing archaeological sites, performing preventive maintenance on the sites, establishing libraries, theaters, cultural, and artistic centres and rehabilitating damaged sites.</li> </ol> <p>Integrate tourism and archaeological and cultural activities by achieving balanced and coordinated growth of each and among all, as each complements the other. Inadequate protection of archaeological sites and their continuing vulnerability to vandalism. The lack of rehabilitation and reconstruction of most of these sites until now Absence of a specific, long-term strategy for developing tourism, heritage, and cultural activities Set long-term plans for tourism and heritage and cultural development on scientific bases Build a computerised database of tourism and heritage and archaeological activity</p>	<p><b>Strengthening the Private Sector's Role in Regional Development:</b> Means of Achieving the Objective</p> <ol style="list-style-type: none"> <li>1. Distributing roles between the state and province on the one hand, and the private sector on the other hand</li> <li>2. Promoting decentralisation in the management of development facilities, and involving the private sector in local and regional plan and program preparation</li> <li>3. Encouraging the private sector to participate in province development plans, particularly those stated in the plan, as well as good investment opportunities such as those indicated in the plan.</li> </ol> <p>The private sector is not expected to participate in this activity, especially in reviving heritage, developing historical and archaeological areas, maintaining them, and establishing cultural premises such as museums, theaters, libraries, and cultural centres. Support the private sector and stimulate it to take full responsibility for direct and indirect tourism activities, management of the archaeological and cultural sites, marketing them, and establishing funds to support the tourism investment Encourage foreign investment in tourism independently or through partnerships with the domestic private sector.</p>

Regional Development Strategy of Kurdistan Region			
Decentralisation/Local Governance	Civil Society/Public Participation	Heritage	Investment/Public Private Partnership
<p><b>Future Demand:</b> Enhancing the decentralisation in authority distribution on ministries and governorate administrations. It is necessary to activate the decentralisation; give local administrations a key role in managing land use, infrastructure and housing production. Systems of urban lands management must be developed in more systematic and transparent ways as there is a great need to increase the supply of affordable land in urban and surrounding areas. The demand for land for purpose of housing is beyond the capacity of suppliers in both the public and private sectors which creates a great challenge to local administrations.</p>	<p><b>Goals:</b> Developing the mechanisms for public participation in decision making process.</p> <p><b>Mission:</b> Improve the citizen's QOL, enhancing social welfare and security by further promoting the multifaceted development process aiming at increasing civil contribution to decision making processes; creating job opportunities; raising manpower employment rates; increasing citizen's income and QOL; achieving fairness, equity and opportunity equality; and consolidating the rule of law.</p>	<p><b>Cultural and Natural Elements:</b> The Region generally possesses sufficiently integrated elements to become a tourist attraction area. It is one of the few areas blessed with variety of tourist aspects and a mosaic cultural heritage, in addition to the natural sceneries. It also has essential complementary facilities which can be further developed and enhanced. Another advantage lies in the current economic and building revival, over and above the stability of security conditions and the increased number of tourists.</p> <p><b>Tourism and Heritage Potentials: Mission</b> Enable the Region to exploit its touristic features (diversity of tourist aspects, cultural and heritage combination and natural sources, as well as the assistant supplementary services) that match tourism countries worldwide, in order to make the Region a magnet for tourists. The Region has almost integrated tourism elements, is well qualified for providing various types of tourism such as natural, cultural, historical, therapeutic, treatment and eco-tourism, but only after securing supplementary requirements of tourism, such as luxury hotels, efficient and specialised hotel management and service, infrastructures, basic services and a banking system in line with the international standards. This is enhanced by the fact that most of these potentials are spread over different areas.</p>	<p><b>Private sector role and participation:</b> Increasing the private sector contribution to GDP and accumulation of fixed capital through mobilizing its investments, especially in the sectors of agriculture, industry and tourism. Promoting decentralisation with regard to management of development facilities and private sector involvement in plans and programs designing at the level of governorates, municipal councils of districts and sub-districts. Private sector will also be encouraged to participate in governorates' development projects which represent viable investment opportunities. Private sector investment in the field of tourism has shown a remarkable increase, reflected in the increased number of hotels from 64 hotels in 2007 to 167 hotels and 59 motels in 2009. This is also evident in BOR in hotels, which exceeded 66%. However, the distribution of these hotels and motels concentrates at the governorate centres, while such facilities, especially the luxurious hotels, are much less in number at the majority of districts and sub-districts</p>

### **Appendix 3: Successful Collaborative Practice Process**

Collaborative planning offers answers to Habermas' conditions for effective decision making between stakeholders in which no stakeholder is excluded; where is equal opportunity for stakeholders to present and criticise during face to face negotiation; power differences is neutralised in the process of decision making in a consensus build approach; there is transparency among stakeholders; and comprehensive understanding of other parties interests (Morton, 2009). Many studies (Gunton & Day, 2003; Gray, 1989; Selin & Chavez, 1995; Susskind & Cruikshank, 1987) describe three stages of collaborative planning process; each stage has several steps:

1. **The first stage is pre-negotiation**, where stakeholders will be identified and those who will participate in the collaborative process will be appointed as representatives. The mechanism of choosing stakeholders can be on the basis of existing organisations, sectoral coalitions, value orientation, and geographic region (Gunton & Day, 2003). This initial stage also include assessment of conflicts and prediction of the likelihood of an agreement, which is performed through meeting with stakeholders. Its output forms the base of negotiation. This stage often ends with identifying a planning team to design and guide the process and to collect and compile all the required relevant information to prepare terms of reference for negotiation (Morton, 2009).
2. **The second stage is negotiation**, which begins with sitting of all stakeholders on the table to identify and also share their interests. During this stage, planning team might be identified and rules of conduct will be sated, then any gaps in information are identified before moving to the next stage. Afterward, plans may also be negotiated for monitoring and evaluating of implementation outcomes (Gunton & Day, 2003). The next step is to bind the parties to an agreement to evaluate plans and build a consensus (Gunton & Day, 2003).
3. **The last and final stage is post-negotiation**, in which addressing any administrative problems and approval of the final agreement are necessary before starting implementation of the plan (Gunton & Day, 2003). Some outcomes may need to be legally approved or ratified (Morton, 2009).

When a consensus is reached, the plan is forwarded for review and clearance by government agencies and high country authorities. Once a plan is approved, it becomes a government policy that guides statutory decision makers. Afterward, the plan is forwarded for implementation and monitoring by all resource agencies in cooperation with public participation (Frame, 2002).

Frame (2002) alleged that because a diversity of interests are considered in consensus processes, the agreements produced can be more durable and feasible to implement. And as a result of dynamic process of discussion, such agreements are more innovative because they are based on widely accepted information. Additionally, trust and cooperation among participants as intangible outcomes will be augmented resulting in new partnerships, new practice, and new ideas (Innes and Booher, 1999 cited in Frame, 2002).

## Appendix 4:

### Residents Perception Toward Urban Heritage (Akre and Amedy)

This questionnaire aims to explore people's opinion and understanding of, and attitude towards Amedy and Akre heritage and identity, what people value and think is important to protect; as well as their motivations to participate in heritage conservation and management activities; the government performance; the main sources of their information regarding heritage.

#### Personal details:

Gender: Male  Female

Age:

Educational level:

Address: Inside the historic city

Outside the historic city

Do you own any of historic buildings?

Q1: What do you understand/think of as an urban heritage of those listed below?

1. Historic Quarters
2. Topography of the City
3. Old Bridges
4. Qishla
5. Architecture of Historic Buildings
6. Forests, Orchards
7. Shrines
8. Monuments
9. Temple - Synagogue
10. Bazar
11. Waterfalls, Springs
12. Grand Mosque
13. Old Churches
14. Castle
15. Gates

Q2: Which of the followings do you think attract tourists to visit your city?

1. Natural heritage
2. Culture heritage
3. Both natural and cultural
4. History and traditions

Q3: Which of the following actors do you think are most responsible for heritage conservation and management?

1. Governmental agencies
2. Residents
3. All (NGO's, Residents, government)
4. No answer
5. Don't know

Q4: How much do you think protecting urban heritage is important?

1. Very important
2. Important
3. Not important
4. Don't know



Q5: If you are called to participate in any activity that would protect any of heritage sites, would do you participate?

- 1. Yes
- 2. No
- 3. I am already involved
- 4. I have no time

Q 6: In your opinion why it's important to protect urban heritage

- 1. Keep in touch with the past for future generations, to know the past/let us know where we come from
- 2. For Tourism
- 3. Keeping our identity, passing it to the future generations
- 4. Our culture should be protect
- 5. Some things to the young generation to visit
- 6. Pride in our country/nationality /distinguish us from others
- 7. For the future
- 8. Protecting our roots
- 9. To educate people, scientific purposes
- 10. Other benefits
- 11. No benefits
- 12. Don't know

Q7: Do you agree or disagree with the following statements?

Statements	Strongly agree	agree	disagree	Strongly disagree	Don't know
Urban heritage need to be protected, no matter how much it will cost	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The government is already spending too much money to protect heritage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In order to protect urban heritage, the government has to use the knowledge of residents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The government is successfully managing urban heritage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
People access to information resources of urban heritage conservation and management is well established by government	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Question 8: What is the source of your information about heritage?

- 1. University
- 2. Heritage related organisations
- 3. Conferences, seminars and workshops
- 4. Primary school
- 5. Official radio station
- 6. Visitors, tourists and friends
- 7. Secondary school
- 8. From work
- 9. Television
- 10. Journals and magazines
- 11. Books
- 12. Original residents
- 13. Parents, family, neighbors

**Appendix 5:**  
**Interview questions to experts**

**(1) General Information:**

Name of organisation.....  
Date of establishment.....  
Geographic location.....  
How is the organisation classified?  
 Government       Non-Government       Private       Others.....

**(2) Mandate and Policy Settings of Organisation :**

Does the Organisation have an organisational structure?  Yes (provide copy)       No  
If the answer is yes, how many times has the org. chart been updated? and Why?.....  
And, when has it been updated last?.....

What does urban heritage include as officially outlined in your organisation (i.e. definition)?

How do you assess the current practices in the planning system related to protection of urban heritage sites? Can you justify your answer?  
.....

How do you perceive the current status of urban heritage? If bad; why is the current condition characterised with malfunctioning? i.e., what are the main driving forces for this status? (e.g. financial resources, political will, lack of coordination, lack of staff, property ownership, culture, etc.).

How does the Heritage Strategy support/link to your organisations strategic plans/aims and objectives?  
.....

Are issues of heritage conservation & management coordinated and discussed with issues of development and urban planning? What are the related policies?

Is there a plan to develop and protect such places?

Do you usually end up with an action plan? Who is responsible for supervising & monitoring the implementation of the action plan? Do you use certain procedures when a conflict arise?

How do you engage in a trade-off between protecting urban heritage sites and regulations intended to secure other public objectives? Please, provide examples, if existed.

Which department is directly responsible for urban heritage conservation & management? .....

If none, which department is indirectly related?.....

Does the Organisation have regular meetings regarding urban heritage issues (including all members)?  Yes  No

If yes, how often is a meeting held?  weekly  monthly  other .....

When was the last meeting?.....

If there are no regular meetings for the designated departments, what are the reasons for that?.....

Do technical teams provide organisation with progress reports during its periodical meetings?

Yes  No

Does the organisation encourage its employees to attend training and development courses related to urban heritage?  Yes (provide a list of organisations that provided training)  No

If the answer is yes, do these training courses cover the needs?.....

Which organisations set standards/provide guidance/provide training in facilitation skills in urban heritage related practices?

Does the central government provide training in 'facilitation skills' for its own heritage professionals?

Does the central government provide official guidance/ policy/a tool for understanding and prioritizing heritage values in conservation decisions?

What values are currently recognised and used in identifying and managing the heritage sites (buildings, spring, well, group of buildings, valley, forest, etc...)? how do you prioritise them?

What methods are used to understand values in the context of protecting and managing a particular heritage site, and when are they used?

What skills area available to facilitate the identification of the range of heritage values that different people attribute to different places, such as: historic, artistic, archaeological, social, scientific, technical, others....

### **(3) Laws and By-laws:**

When, was the last update of laws related to urban heritage conservation and management? What was changed in the new version? Is there any specification on how to settle down the conflict between owners and government organisation?

Is there any legal directions regarding the utilisation of privately owned urban heritage sites? Examples:.....

What are the legal provisions which are used to prioritise urban heritage sites, i.e. defining the valuing criteria and decisive parameters?

Is there a provision in the law for public participation? And if yes, how is this done, especially in the process of identifying heritage values?

Does the law or by laws provide guidelines for periodical update of urban heritage sites list?

Does the legal document issues the responsibilities and mandate of organisation on updating list of heritage sites?

#### **(4) Financial Policies:**

Does the current mechanism for the transfer of funds affect the efficiency of the projects?

Have you ever get any fund ((non)governmental/international/private) to execute such practices?

How much of your budget is allocated to this task?

On what basis does the agency distribute the budget for the various projects? Is there any improvement on this regard?

Do you utilise the taxes as an income for urban heritage conservation and management?

**Note: a copy of the latest budget.**

#### **(5) Public Participation:**

How do you perceive the importance of public participation?

high                                       moderate                                       low

To what extent do public have access to information available at the organisation's related interventions?

All types of information                       restricted information                       none

What are the mechanisms of information sharing with public? (meetings, media, websites, etc...)

.....

How would the organisation encouragement of local initiatives be evaluated?

Good                                       moderate                                       bad

Does the Organisation interact with and involve the public in decision making?

How do you select the involved stakeholders? Based on which criteria?

Does your organisation support the involvement of NGOs and mass public in the process of identification of urban heritage sites and in the valuing process?

If yes, in your opinion, what are the procedures to initiate such a process?

And, how?

If no, why?

If no, who are the actors that currently play a role in identifying and valuing urban heritage?

#### **(6) Public Awareness:**

Is there a need to raise awareness for the public on urban heritage conservation issues? Is there any plans?

What are the tools/means that the agency uses to implement a public awareness plan?

(e.g. meetings with the public; publications; media; formation of a heritage forum; organising meetings that are open to the public; monthly newsletter that includes the activities and achievements as well as the future plans; Involve religious figures and non-curriculum activities in schools to inform and promote such processes, etc....)

Please indicate the topics that should be included in a public awareness plan:

(e.g. what does the urban heritage sites include; the value of the urban heritage sites; how could the sites be utilised in the socio-economic development; how can the actors interact; benefits of coordination/cooperation/collaboration among actors; environmental issues; etc....)

Does your organisation undertake or support actions to improve the awareness of heritage values among other actors in sectors that influence management of urban heritage?

What is the suggested role for NGOs in public awareness ? (e.g. Coordination role; partnership role; monitoring role; technical role; etc....)

#### **(7) Partnership:**

Have you ever worked in a partnership with other actors (agencies, owners, investor, etc..) in a project dedicated to urban heritage conservation and management ? What types of projects did you implement?

How do you evaluate this partnership? Have you contributed in the conservation and management of the urban heritage? What were the obstacles and challenges? If you would do it again, what do you think should be done?

How does the current investment law in Kurdistan influence the related urban heritage conservation and management interventions, in terms of encouraging and enhancing partnership? What do you propose as amendments to the law?

Have you ever been engaged in an agreement with local owners of urban heritage sites? How do you evaluate such an agreement, if any? What were the main challenges?

What should be done to ensure a successful partnership in urban heritage integration?

**(8) Pre-requisites for Collaboration (Cooperation-Coordination):**

What are the tools used to exchange information between your organisation and other related organisations?

Have you ever exploited the resources available at other organisations to perform certain activities related to urban heritage conservation and management? (e.g. information sharing, training, expertise, consultation, planning together, acting together – engagement and commitment, decision-making , ensuring ownership, formation of a heritage forum, etc... )

How do you evaluate the level of information/resources exchange between your organisation and other related organisations in the field of urban heritage conservation and management? Can you provide examples, please?

In your opinion, what are the reasons behind lack of "interaction: cooperation/coordination"? (e.g. lack of financial resources, absence of legal directives, lack of motivation among the staff, lack of political will, ambiguity regarding the meaning of heritage, etc....)

Do you out-source any related tasks, or do you cooperate with any other international or national agencies on this regard (e.g. training courses)?

Are you aware of any previous conflict between the governmental agencies in related collaborative practices? For instance, a unilateral decision has been taken by an agency and the other had to follow? In case of existence of any kind of conflict, do you think there is a possibility to overcome such a situation? If yes, how?

**(9) Potentials for Collaboration:**

Do you have the motivation (interest) to participate in a decision-making practice?

Do you see your involvement in a decision-making practice concerning urban heritage conservation and management worthy? Do you perceive this task as a high priority?

Have you ever been involved in such a practice before? Was it helpful? When was that?

Do you evaluate such practices? If yes, How do you evaluate previous practices? How was that translated on the ground? Can you elaborate, please?

What are the main difficulties and challenges that impede the process?

Is there a monitoring body that oversees the work?

Do you see an improvement in the adopted mechanisms for decision-making practices in the recent ten years?

Would you participate in the process of urban heritage conservation and management if this was the initiative of non-competent authorities?

**Appendix 6:**  
**Interview with experts at different levels**

Name	Position/Profession	Date
<b>Federal Level</b>		
Shawkat Mohamad Amin	- Member of Kurdistan Region High Committee for Protection of Antiquities and Traditions/Duhok Province Representative. - President of Duhok City Municipality.	9 <sup>th</sup> July, 2012
Jihan Rasheen Sindi*	- Consultant at Council of Ministers-KRG for heritage related issues. - Member of High Commission for Erbil Citadel Revitalisation.	2 <sup>nd</sup> July, 2012
Dr. Sarbast Rashid	- Consultant at Ministry of Municipalities and Tourism for tourism related issues. - Former General Director of Duhok General Directorate of Tourism.	29 <sup>th</sup> June, 2012
<b>Province level</b>		
Bahzad Ali Adam*	- Vice Governor of Duhok Province for administrative issues - Former Vice Governor for NGO's related issues.	8 <sup>th</sup> July, 2012
Dr. Hassan Barwari	- General Director of Duhok General Directorate of Antiquities and Traditions. - Member of Duhok NGO for Protection of Antiquities.	25 <sup>th</sup> June, 2012
Adil Hasan	- General Director of Duhok General Directorate of Culture.	25 <sup>th</sup> June, 2012
Dr. Dilshad Abdulrahman	- Director of Duhok Directorate of Environment.	20 <sup>th</sup> September, 2012
Amina Ahmad Sadiq*	- Member of PC. - Member of Reconstruction Project Follow-up Committee PC. - Former General Director of Duhok General Directorate of Constructive Planning (1995-2007).	8 <sup>th</sup> July, 2012
Dilwar Abdula Zubair	- Head of Design Department at Duhok General Directorate of Constructive Planning. - Vice Director of Duhok General Directorate of Constructive Planning.	9 <sup>th</sup> July, 2012
Ilyas Shingali	- Head of the Master plan Implementation in Municipality of Duhok city.	9 <sup>th</sup> July, 2012
Bawar Ahmad Sadiq*	- Head of Projects Department at Duhok General Directorate of Tourism.	1 <sup>st</sup> July, 2012
Kuvan Ihsan Yasin*	- Technician at Duhok General Directorate of Antiquities and Traditions.	1 <sup>st</sup> July, 2012
<b>Local Level (Akre)</b>		
Jahwar Ali Aziz	- Mayor of Akre district.	2 <sup>nd</sup> September, 2012
Kamiran Qasim Abdul Rahman	- President of Municipality of Akre city	2 <sup>nd</sup> September, 2012
Omar Husain Sharif	- Director of Akre Directorate of Antiquities and Traditions.	7 <sup>th</sup> September, 2012
Mohamad Said Akrayi	- Director of Akre Directorate of Roads and Bridge. - Former President of Akre city Reconstruction Committee.	3 <sup>rd</sup> September, 2012
Didar Ramadan*	- Director of Directorate of Tourism of Akre city.	3 <sup>rd</sup> September, 2012
Jabali Akraiye*	- Investor	3 <sup>rd</sup> September, 2012
<b>Local Level (Amedy)</b>		
Hussien Khalid Saeed	- Mayor of Amedy of district	6 <sup>th</sup> June, 2012
Mohamad Mohsen	- Amedy Development Follow-up Committee - Investor	7 <sup>th</sup> June, 2012
Ramadan Hachi Asaaf*	- Director of Municipality of Amedy.	7 <sup>th</sup> June, 2012
Fahmi Salman*	- Member of Duhok NGO for Protection of Antiquities.	6 <sup>th</sup> June, 2012

\* Expert who has been interviewed in the second round as a stakeholder.

**Appendix 7:**

**Sample of semi-structured interview with expert at local, province and federal level:**

**(A) Semi-structured interview with expert at federal level:**

**(1) General Information:**

Name of organization: Consultant at Ministry of Municipalities and Tourism for tourism related issues. Former General Director of Duhok General Directorate of Tourism. Dr. Sarbast Rashid

Date of establishment: 29<sup>TH</sup> June, 2012

Geographic location: Duhok city

How is the organization classified?

Government                       Non-Government                       Private                       Others.....

**(2) Mandate and Policy Settings of Organization :**

Does the Organization have an organizational structure?  Yes (provide copy)                       No

If the answer is yes, how many times has the org. chart been updated? and Why?.....

And, when has it been updated last?.....

*Yes, Directorate of Tourism has an organizational structure but it is not stable. Sometimes, it is an independent entity directly related to the KRG's Council of Ministers and some other times it is under Ministry of Municipalities and Tourism.*

What does urban heritage include as officially outlined in your organization (i.e. definition)?

*It includes natural and cultural heritage.*

How do you assess the current practices in the planning system related to protection of urban heritage sites? Can you justify your answer?

*The current practices are not satisfactory because we do not have sufficient budget allocations and we suffer from lack of specialized staff in tourism planning for both cultural and natural sites.*

How do you perceive the current status of urban heritage? If bad; why is the current situation characterized with malfunctioning? i.e., what are the main driving forces for this status? (e.g. financial resources, political will, lack of coordination, lack of staff, property ownership, culture, etc.).

*The current status is not at a satisfactory level because of speedy urbanism, low funding, and inexperienced non-specialized staff members.*

How does the Heritage Strategy support/link to your organizations strategic plans/aims and objectives?

*Their aim is to make use of heritage for tourism development, which means economic development.*

Are issues of heritage conservation & management coordinated and discussed with issues of development and urban planning? What are the related policies?

Is there a plan to develop and protect such places?

*Our tasks focus more on natural sites themselves. But we do not focus on the surroundings of the sites because they are within the responsibility of Municipalities.*



How do you engage in a trade-off between protecting urban heritage sites and regulations intended to secure other public objectives? Please, provide examples, if existed.

*The regulations support protecting urban heritage sites. But lack of funds required to do that makes us unable to do anything.*

Which department is directly responsible for urban heritage conservation & management? .....

If none, which department is indirectly related?

*Urban heritage conservation & management is shared by many departments of the directorate of tourism.*

Does the Organization have regular meetings regarding urban heritage issues (including all members)?  Yes  No

If yes, how often is a meeting held?  weekly  monthly  other .....

Do technical teams provide organization with progress reports during its periodical meetings?

Yes  No

Does the organization encourage its employees to attend training and development courses related to urban heritage?  Yes (provide a list of organizations that provided training)  No

If the answer is yes, do these training courses cover the needs?

*No.*

Which organizations set standards/provide guidance/provide training in facilitation skills in urban heritage related practices?

*The Ministry provides trainings for tourism development, but they are not to the required level.*

Does the central government provide training in 'facilitation skills' for its own heritage professionals?

*Yes, but it limited.*

Does the central government provide official guidance/ policy/a tool for understanding and prioritizing heritage values in conservation decisions?

*We mostly follow natural value and aesthetics, then historical and archeological values.*

What values are currently recognized and used in identifying and managing the heritage sites (buildings, spring, well, group of buildings, valley, forest, etc...)? how do you prioritize them?

*We mostly follow natural values and aesthetics especially if the sites are waterfalls, mountain, and forests.*

What methods are used to understand values in the context of protecting and managing a particular heritage site, and when are they used?

*The number of visitors to the sites especially natural sites.*

What skills area available to facilitate the identification of the range of heritage values that different people attribute to different places, such as: historic, artistic, archaeological, social, scientific, technical, others....

*We depend on law of archeology for identification of cultural heritage values. However, identification of natural heritage values is our responsibility.*

### **(3) Laws and By-laws:**

When, was the last update of laws related to urban heritage conservation and management? What was changed in the new version? Is there any specification on how to settle down the conflict between owners and government organization?

*The laws enacted in 2002 are still in force. It specifies how to settle down conflicts between owners and government organization.*

Is there any legal directions regarding the utilization of privately owned urban heritage sites?  
Examples:

*There are legal direction concerning heritage buildings.*

What are the legal provisions which are used to prioritize urban heritage sites, i.e. defining the valuing criteria and decisive parameters?

*Prioritization is mostly based on age of site. But our directorate prioritizes heritage sites based on natural value and aesthetics.*

Is there a provision in the law for public participation? And if yes, how is this done, especially in the process of identifying heritage values?

*Most sites are owned by people and therefore their involvement is necessary.*

Does the law or by laws provide guidelines for periodical update of urban heritage sites list?

*No.*

Does the legal document issues the responsibilities and mandate of organization on updating list of heritage sites?

*No. it is necessary that all concerned agencies be involved and updating the list is made when needed.*

#### **(4) Financial Policies:**

Does the current mechanism for the transfer of funds affect the efficiency of the projects?

*The situation is better but not to the required level.*

Have you ever get any fund (non-governmental/international/private) to execute such practices?

*No.*

How much of your budget is allocated to this task?

*All the budget.*

On what basis does the agency distribute the budget for the various projects? Is there any improvement on this regard?

Do you utilize the taxes as an income for urban heritage conservation and management?

*No.*

**Note: a copy of the latest budget.**

#### **(5) Public Participation:**

How do you perceive the importance of public participation?

high

moderate

low

To what extent do public have access to information available at the organization's related interventions?

All types of information

restricted information

none

What are the mechanisms of information sharing with public? (meetings, media, websites, etc...)

*It is mostly mass media, conferences, and meetings with other agencies especially in joint committees.*

How would the organization encouragement of local initiatives be evaluated?

Good

moderate

bad

Does the Organization interact with and involve the public in decision making?

*Sure. Most buildings are owned by people.*

How do you select the involved stakeholders? Based on which criteria?

*Criteria is made on the agencies that benefit from protecting and operating the sites and using them for tourism development.*

Does your organization support the involvement of NGOs and mass public in the process of identification of urban heritage sites and in the valuing process?

*Yes, especially that many of our projects were abandoned while they were half implemented because the public was not involved in the identification process at the beginning. For example, Gali Duhuk.*

If yes, in your opinion, what are the procedures to initiate such a process?

And, how?

*The initiatives for gathering all stakeholders for dialogue can be made either by universities and government agencies.*

If no, why? -----

If no,

who are the actors that currently play a role in identifying and valuing urban heritage?

*Directorate of Archaeology is the main actor for the cultural sites and Directorate of Tourism for natural sites.*

#### **(6) Public Awareness:**

Is there a need to raise awareness for the public on urban heritage conservation issues? Is there any plans?

*Yes there is a need. But initiatives for raising awareness are limited.*

What are the tools/means that the agency uses to implement a public awareness plan?

*Mass media.*

(e.g. meetings with the public; publications; media; formation of a heritage forum; organizing meetings that are open to the public; monthly newsletter that includes the activities and achievements as well as the future plans; Involve religious figures and non-curriculum activities in schools to inform and promote such processes, etc....)

Please indicate the topics that should be included in a public awareness plan:

(e.g. what does the urban heritage sites include; the value of the urban heritage sites; how could the sites be utilized in the socio-economic development; how can the actors interact; benefits of coordination/cooperation/collaboration among actors; environmental issues; etc....)

*Awareness in importance of value of heritage and its role in tourism development, then coordination and cooperation.*

Does your organization undertake or support actions to improve the awareness of heritage values among other actors in sectors that influence management of urban heritage?

*Through mass media with an emphasis on meetings.*

What is the suggested role for NGOs in public awareness? (e.g. Coordination role; partnership role; monitoring role; technical role; etc....)

*Raising awareness in the importance of urban heritage.*

#### **(7) Partnership:**

Have you ever worked in a partnership with other actors (agencies, owners, investor, etc..) in a project dedicated to urban heritage conservation and management ? What types of projects did you implement?

*Most of our projects are implemented on a partnership basis.*

How do you evaluate this partnership? Have you contributed in the conservation and management of the urban heritage? What were the obstacles and challenges? If you would do it again, what do you think should be done?

*Partnership is mostly applied to sites owned by the government. Management of these sites is made by some parties. However, management of natural sites is difficult if there are many owners because it is difficult to deal with many of them as they are not unanimous in their opinion although many suggestions are made for partnership.*

How does the current investment law in Kurdistan influence the related urban heritage conservation and management interventions, in terms of encouraging and enhancing partnership? What do you propose as amendments to the law?

*There are some investment projects but they are not integrated. For example, many villas in Sarseng failed because of lack of infrastructure like roads and sewerage.*

Have you ever been engaged in an agreement with local owners of urban heritage sites? How do you evaluate such an agreement, if any? What were the main challenges?

*Yes, the challenge is that when the site has many owners who are difficult to be managed.*

What should be done to ensure a successful partnership in urban heritage integration?

*Clear related laws and authorities, and administrative structure to support coordination among the agencies.*

#### **(8) Pre-requisites for Collaboration (Cooperation-Coordination):**

What are the tools used to exchange information between your organization and other related organizations?

*Meetings and seminars on discussion of master plan (Duhuk, Akre, Amediye, Zakho).*

Have you ever exploited the resources available at other organizations to perform certain activities related to urban heritage conservation and management? (e.g. information sharing, training, expertise, consultation, planning together, acting together – engagement and commitment, decision-making , ensuring ownership, formation of a heritage forum, etc... )

*Information sharing, exchange of staff, and consultation.*

How do you evaluate the level of information/resources exchange between your organization and other related organizations in the field of urban heritage conservation and management? Can you provide examples, please?

*It is not at the satisfactory level.*

In your opinion, what are the reasons behind lack of "interaction: cooperation/coordination"? (e.g. lack of financial resources, absence of legal directives, lack of motivation among the staff, lack of political will, ambiguity regarding the meaning of heritage, etc....)

*All agencies channel their information to the governorate office, but seldom among themselves. This is attributed to the administrative structure of the governorate office, which needs to be efficient. There should be monitoring and evaluation of the coordination through the provincial council.*

Do you out-source any related tasks, or do you cooperate with any other international or national agencies on this regard (e.g. training courses)?

*No.*

Are you aware of any previous conflict between the governmental agencies in related collaborative practices? For instance, a unilateral decision has been taken by an agency and the other had to follow? In case of existence of any kind of conflict, do you think there is a possibility to overcome such a situation? If yes, how?

*No. there are fruitful discussions. The Municipality always impose their opinion.*

Do you usually end up with an action plan? Who is responsible for supervising & monitoring the implementation of the action plan? Do you use certain procedures when a conflict arise?  
*Yes, sometimes especially when it comes to natural sites. While for cultural sites conflicts often appear between government agencies and owners.*

**(9) Potentials for Collaboration:**

Do you have the motivation (interest) to participate in a decision-making practice?  
*Certainly I have.*

Do you see your involvement in a decision-making practice concerning urban heritage conservation and management worthy? Do you perceive this task as a high priority?  
*Yes.*

Have you ever been involved in such a practice before? Was it helpful? When was that?  
*Yes. In discussions about master plans for many cities and about reconstruction efforts.*

Do you evaluate such practices? If yes, How do you evaluate previous practices? How was that translated on the ground? Can you elaborate, please?  
*Yes. The discussions are fruitful and are used as an opportunity for information sharing.*

What are the main difficulties and challenges that impede the process?  
*All agencies are not invited for discussions.*

Is there a monitoring body that oversees the work?  
*Yes. Not effective*

Do you see an improvement in the adopted mechanisms for decision-making practices in the recent ten years?  
*Yes. Sure, but it still needs to involve people in the decision especially owners.*

Would you participate in the process of urban heritage conservation and management if this was the initiative of non-competent authorities?  
*Yes, especially if the initiative is from a university.*

**(B) Semi-structured interview with expert at province level:**

**(1) General Information:**

Name of organization: Head of Design Department at Duhok General Directorate of Constructive Planning. Vice Director of Duhok General Directorate of Constructive Planning. Ms. Dilwar Abdula Zubair

Date of establishment: 9<sup>th</sup> July, 2012

Geographic location: Duhok city

How is the organization classified?

Government       Non-Government       Private       Others.....

**(2) Mandate and Policy Settings of Organization :**

Does the Organization have an organizational structure?  Yes (provide copy)       No

If the answer is yes, how many times has the org. chart been updated? and Why?.....

And, when has it been updated last?.....

*The organizational structure has been continuously updated especially during the last 15 years. We have recently established two departments – GIS and rural areas design. The latter was introduced especially when the rural areas are included in the reconstruction projects.*

What does urban heritage include as officially outlined in your organization (i.e. definition)?

*We adopt the definition of the Directorate of Archeology, i.e. the cultural elements that it defines.*

How do you assess the current practices in the planning system related to protection of urban heritage sites? Can you justify your answer?

*I am not satisfied with the current planning system especially in urban areas.*

How do you perceive the current status of urban heritage? If bad; why is the current situation characterized with malfunctioning? i.e., what are the main driving forces for this status? (e.g. financial resources, political will, lack of coordination, lack of staff, property ownership, culture, etc.).

*Heritage sites have been disappeared in most areas because we do not have adequate expertise in the heritage conservation. Therefore, it was not integrated into urban development.*

How does the Heritage Strategy support/link to your organizations strategic plans/aims and objectives?

*Heritage conservation needs to be included in the strategies of the central government. We can include it within our strategy at Duhok province level but we do not have enough experiences to do that.*

Are issues of heritage conservation & management coordinated and discussed with issues of development and urban planning? What are the related policies?

Is there a plan to develop and protect such places?

*Our plans usually take into consideration protection of heritage sites, but they do not include preparation of these sites for tourist purposes.*

How do you engage in a trade-off between protecting urban heritage sites and regulations intended to secure other public objectives? Please, provide examples, if existed.

*There is a law. The heritage buildings in Duhuk city could not be saved from destruction because the prices of land are very high and that the government is not able to acquire (purchase) them from their owners (especially that most budgets are allocated for construction projects) or persuade them to agree on conserving them. The owners of historic houses usually seek after high financial gains from destruction of these buildings and replacing them with high rise commercial buildings.*

Which department is directly responsible for urban heritage conservation & management? .....

If none, which department is indirectly related?

*Our directorate does not have a specific department for heritage conservation. The work in this field is shared by many departments at the urban planning directorate. The directorate of archaeology needs to undertake the responsibility of heritage conservation and we can coordinate with them in that aspect. We usually classify the heritage sites and their zones (radius determined by the archaeology directorate) as green zones. While the heritage conservation work is mostly the task of architects, we suffer from lack of this kind of engineers. Because of lack of staff, our directorate does not have sub departments or offices in the districts or subdistricts and therefore our workload is heavy. Therefore, we cannot peruse or follow up heritage conservation works.*

Does the Organization have regular meetings regarding urban heritage issues (including all members)?  Yes  No

If yes, how often is a meeting held?  weekly  monthly  other .....

Do technical teams provide organization with progress reports during its periodical meetings?

Yes  No

Does the organization encourage its employees to attend training and development courses related to urban heritage?  Yes (provide a list of organizations that provided training)  No

If the answer is yes, do these training courses cover the needs?

*Yes, but there are no trainings in the field of urban heritage conservation. It is the responsibility of the university to provide our employees with trainings to improve our performance.*

Which organizations set standards/provide guidance/provide training in facilitation skills in urban heritage related practices?

*The Directorate of Archaeology does that.*

Does the central government provide training in 'facilitation skills' for its own heritage professionals? *Yes, but not in the field of heritage conservation.*

Does the central government provide official guidance/ policy/a tool for understanding and prioritizing heritage values in conservation decisions?

*There is no guidance. We only follow archaeological and historic values. There are some heritage conservation projects implemented at local (district/subdistrict) level, and we are informed about them. These projects do not deal with single houses but also with residential areas as whole. They also lack experience in the field of heritage conservation.*

What values are currently recognized and used in identifying and managing the heritage sites (buildings, spring, well, group of buildings, valley, forest, etc...)? how do you prioritize them?

*We follow archaeological and historic values.*

What methods are used to understand values in the context of protecting and managing a particular heritage site, and when are they used?

*We just follow the list of heritage sites of the Directorate of Archeology.*

What skills area available to facilitate the identification of the range of heritage values that different people attribute to different places, such as: historic, artistic, archaeological, social, scientific, technical, others....

*We do not have any skills.*

### **(3) Laws and By-laws:**

When, was the last update of laws related to urban heritage conservation and management? What was changed in the new version? Is there any specification on how to settle down the conflict between owners and government organization?

*There is a clear law, but the execution body is weak. There isn't any monitoring body.*

Is there any legal directions regarding the utilization of privately owned urban heritage sites?

Examples:

*There are details for the legal directions. Municipality and directorate of archaeology identify the type of partnership with owners of private heritage sites.*

What are the legal provisions which are used to prioritize urban heritage sites, i.e. defining the valuing criteria and decisive parameters?

*Archeological and historic values of the sites determine their prioritization.*

Is there a provision in the law for public participation? And if yes, how is this done, especially in the process of identifying heritage values?

*According to the municipal laws, there should be public participation for development of any plan. Development of plans especially for rural areas usually involve the public because we benefit from their knowledge. We also announce our plans, for example the master plans, which are in different stages of discussions with the public before being submitted to the ministry for approval.*

Does the law or by laws provide guidelines for periodical update of urban heritage sites list?

*We depend on the directorate of archaeology to provide us with the list. Sometimes, it happened (especially in Duhuk city) that after we developed our detailed master plans or classified lands into zones, that the existing archaeological sites were left out (not outlined). We are thus obliged to update our plans to also indicate locations of these sites or to relocate the projects.*

Does the legal document issues the responsibilities and mandate of organization on updating list of heritage sites?

*I have no information about that. We certainly needs that legal document.*

### **(4) Financial Policies:**

Does the current mechanism for the transfer of funds affect the efficiency of the projects?

*The current mechanism has improved.*

Have you ever get any fund ((non)governmental/international/private) to execute such practices?

*No.*

How much of your budget is allocated to this task?

*No budget. Almost all our budget is allocated for making surveys and designs. We do not have any budget for projects since we are a planning body.*

On what basis does the agency distribute the budget for the various projects? Is there any improvement on this regard?

*The distribution of budget is based on the actual need to conduct surveys and design plans.*



Do you utilize the taxes as an income for urban heritage conservation and management?  
*No.*

**Note: a copy of the latest budget.**

**(5) Public Participation:**

How do you perceive the importance of public participation?

high                                       moderate                                       low

To what extent do public have access to information available at the organization's related interventions?

All types of information                       restricted information                       none

What are the mechanisms of information sharing with public? (meetings, media, websites, etc...)

*We hold many seminars during the stages of master plan development.*

How would the organization encouragement of local initiatives be evaluated?

Good                                       moderate                                       bad

Does the Organization interact with and involve the public in decision making?

*Yes, especially in the new areas which are placed under the authority of the municipality.*

How do you select the involved stakeholders? Based on which criteria?

*Selection of stakeholders is based on the type of needed information. We do not have any criteria.*

Does your organization support the involvement of NGOs and mass public in the process of identification of urban heritage sites and in the valuing process?

*Yes, but NGOs specialized in this field are limited. We usually support the mass public because we obtain much information from them.*

If yes, in your opinion, what are the procedures to initiate such a process?

And, how?

If no, why? -----

If no, who are the actors that currently play a role in identifying and valuing urban heritage?

*Directorate of Archaeology.*

**(6) Public Awareness:**

Is there a need to raise awareness for the public on urban heritage conservation issues? Is there any plans?

*Yes. We as staff also need awareness on urban heritage conservation issues.*

What are the tools/means that the agency uses to implement a public awareness plan?

*Meetings, media, and university programs that are specific for this kind of work.*

(e.g. meetings with the public; publications; media; formation of a heritage forum; organizing meetings that are open to the public; monthly newsletter that includes the activities and achievements as well as the future plans; Involve religious figures and non-curriculum activities in schools to inform and promote such processes, etc....)

Please indicate the topics that should be included in a public awareness plan:

(e.g. what does the urban heritage sites include; the value of the urban heritage sites; how could the sites be utilized in the socio-economic development; how can the actors interact; benefits of coordination/cooperation/collaboration among actors; environmental issues; etc....)

*Understanding the values of sites.*

Does your organization undertake or support actions to improve the awareness of heritage values among other actors in sectors that influence management of urban heritage?

*Yes.*

What is the suggested role for NGOs in public awareness ? (e.g. Coordination role; partnership role; monitoring role; technical role; etc....)

*Awareness in identifying the value of sites.*

### **(7) Partnership:**

Have you ever worked in a partnership with other actors (agencies, owners, investor, etc..) in a project dedicated to urban heritage conservation and management ? What types of projects did you implement?

*No. In general, the government supports partnerships.*

How do you evaluate this partnership? Have you contributed in the conservation and management of the urban heritage? What were the obstacles and challenges? If you would do it again, what do you think should be done?

*No idea.*

How does the current investment law in Kurdistan influence the related urban heritage conservation and management interventions, in terms of encouraging and enhancing partnership? What do you propose as amendments to the law?

*The current investment law has a negative influence because there are no details which make it to be misused. In addition, lands provided according to this law for investment projects are not utilized for their intended purposes but eventually acquired by the investors for other purposes. Most investment projects are implemented on agricultural lands. The construction materials used in investment projects especially housing buildings are of quality, and this is attributed to weak follow up body.*

Have you ever been engaged in an agreement with local owners of urban heritage sites? How do you evaluate such an agreement, if any? What were the main challenges?

*It is not our task but the task of the municipality.*

What should be done to ensure a successful partnership in urban heritage integration?

*Beforehand the law should have details for partnerships in the field of urban heritage conservation. Legally, private companies should not be allowed to undertake restoration projects. Only the directorate of archaeology can implement these projects, but it does not have specialized staff in this field.*

### **(8) Pre-requisites for Collaboration (Cooperation-Coordination):**

What are the tools used to exchange information between your organization and other related organizations?

*We have many joint committees and often obtain information from other agencies for our urban planning and design works.*

Have you ever exploited the resources available at other organizations to perform certain activities related to urban heritage conservation and management? (e.g. information sharing, training, expertise, consultation, planning together, acting together – engagement and commitment, decision-making , ensuring ownership, formation of a heritage forum, etc... )

*Yes, especially with the municipality and tourism.*

How do you evaluate the level of information/resources exchange between your organization and other related organizations in the field of urban heritage conservation and management? Can you provide examples, please?

*The level of information exchange is generally good. The directorate of archaeology itself lacks adequate information or a database of information or data.*

In your opinion, what are the reasons behind lack of "interaction: cooperation/coordination"? (e.g. lack of financial resources, absence of legal directives, lack of motivation among the staff, lack of political will, ambiguity regarding the meaning of heritage, etc....)

*I am satisfied to an extent with the level of existing interaction and that this level is improving.*

Do you out-source any related tasks, or do you cooperate with any other international or national agencies on this regard (e.g. training courses)?

*Yes, but not in the field of heritage conservation. The city master plan does not consider heritage sites as a development element, and this is because of lack of specialized in the field of heritage conservation. The master plan was designed by an international company based on the information that we provided for them.*

Are you aware of any previous conflict between the governmental agencies in related collaborative practices? For instance, a unilateral decision has been taken by an agency and the other had to follow? In case of existence of any kind of conflict, do you think there is a possibility to overcome such a situation? If yes, how?

*No.*

Do you usually end up with an action plan? Who is responsible for supervising & monitoring the implementation of the action plan? Do you use certain procedures when a conflict arise?

*Yes, for many projects.*

### **(9) Potentials for Collaboration:**

Do you have the motivation (interest) to participate in a decision-making practice?

*Yes, most agencies prefer collaborative decision-making especially during the recent period. For me, it is a means for combating administrative corruption. It also protects an agency or the decision-makers from any criticism or pressure for not making a decision improperly.*

Do you see your involvement in a decision-making practice concerning urban heritage conservation and management worthy? Do you perceive this task as a high priority?

*No. we much scientific knowledge.*

Have you ever been involved in such a practice before? Was it helpful? When was that?

*Yes. It is very helpful.*

Do you evaluate such practices? If yes, How do you evaluate previous practices? How was that translated on the ground? Can you elaborate, please?

*Such practices – collaborative decision making are good, but not all agencies attend when making the decisions. The reason could be that the time of meetings might not be convenient.*

*Therefore, we are required to inform such absent agencies of the details of our decisions.*

What are the main difficulties and challenges that impede the process?

*There are no remarkable difficulties or challenges.*

Is there a monitoring body that oversees the work?

*No.*

Do you see an improvement in the adopted mechanisms for decision-making practices in the recent ten years?

*Yes, better improvement.*

Would you participate in the process of urban heritage conservation and management if this was the initiative of non-competent authorities?

*We really need that.*

**(C) Semi-structured interview with expert at local level:**

**(1) General Information:**

Name of organization: Directorate of Antiquities and Traditions in Akre city. Mr. Omar Husain Sharif

Date of establishment: 7<sup>th</sup> September, 2012

Geographic location: Akre city

How is the organization classified?

Government       Non-Government       Private       Others.....

**(2) Mandate and Policy Settings of Organization :**

Does the Organization have an organizational structure?  Yes (provide copy)       No

If the answer is yes, how many times has the org. chart been updated? and Why?.....

And, when has it been updated last?.....

*There has not been any update. Akre Municipality ranks # 1 in Duhok province.*

What does urban heritage include as officially outlined in your organization (i.e. definition)?

*Urban heritage includes all cultural elements.*

How do you assess the current practices in the planning system related to protection of urban heritage sites? Can you justify your answer?

*The current practices are improving.*

How do you perceive the current status of urban heritage? If bad; why is the current situation characterized with malfunctioning? i.e., what are the main driving forces for this status? (e.g. financial resources, political will, lack of coordination, lack of staff, property ownership, culture, etc.).

*Not good, especially for buildings , old, bridges, and the old market.*

How does the Heritage Strategy support/link to your organizations strategic plans/aims and objectives?

*There is no sufficient experience in revitalization field. A few steps have been taken towards restoration of buildings, which has initially been included in our strategies.*

Are issues of heritage conservation & management coordinated and discussed with issues of development and urban planning? What are the related policies?

Is there a plan to develop and protect such places?

*Yes, in the field of protection of heritage sites and not using them.*

How do you engage in a trade-off between protecting urban heritage sites and regulations intended to secure other public objectives? Please, provide examples, if existed.

*The existing law always support archeological sites.*

Which department is directly responsible for urban heritage conservation & management? .....

If none, which department is indirectly related?

*Designing and project implementation department of Akre Municipality is responsible for the urban heritage conservation and for authorizing and following up building permissions, and following up violations on heritage buildings.*

Does the Organization have regular meetings regarding urban heritage issues (including all members)?  Yes  No

If yes, how often is a meeting held?  weekly  monthly  other .....

Do technical teams provide organization with progress reports during its periodical meetings?  Yes  No

Does the organization encourage its employees to attend training and development courses related to urban heritage?  Yes (provide a list of organizations that provided training)  No

If the answer is yes, do these training courses cover the needs?

*Yes. It encourages its employees. But there are no trainings.*

Which organizations set standards/provide guidance/provide training in facilitation skills in urban heritage related practices?

*The Archaeology Directorate is responsible for carrying out archaeological laws, implementation and following up implementation such as negotiations, making partnerships, and acquisitions.*

Does the central government provide training in 'facilitation skills' for its own heritage professionals? *No.*

Does the central government provide official guidance/ policy/a tool for understanding and prioritizing heritage values in conservation decisions?

*No.*

What values are currently recognized and used in identifying and managing the heritage sites (buildings, spring, well, group of buildings, valley, forest, etc...)? how do you prioritize them?

*We follow archaeological, historic, and architectural values*

What methods are used to understand values in the context of protecting and managing a particular heritage site, and when are they used?

*We do not have our own list of archaeological sites that classifies the sites and outlines their values. The initiative of conservation of the existing heritage buildings was not made on a scientific basis, but on the fact that there are many of such buildings and that they represent the identity of the city. The values of these buildings have not been classified as the types of required interventions – conservation, restoration or reconstruction – have not been determined. For example, while the government wants to preserve the castle in Akre through restoration, the people request to demolish that building because it carries harmful tragedies of the past and they are not satisfied with current preservation works at the building. Seminars are still held to convince the people about the need not to demolish the castle.*

What skills area available to facilitate the identification of the range of heritage values that different people attribute to different places, such as: historic, artistic, archaeological, social, scientific, technical, others....

*They have a good level of administrative skills in that field but they do not have the required level of skills in the technical field and scientific knowledge. They are independent at the level of Akre district and can make decisions unilaterally.*

### **(3) Laws and By-laws:**

When, was the last update of laws related to urban heritage conservation and management? What was changed in the new version? Is there any specification on how to settle down the conflict between owners and government organization?

*No idea. We follow the regulations of the Archaeological Directorate.*

Is there any legal directions regarding the utilization of privately owned urban heritage sites?  
Examples:

*Yes. We have made agreements with the owners of private houses for preservation and restoration. The government is going to preserve, restore, or rehabilitate these houses according to designs and plans formulated by the government. But no final decision has been made about which house should to be preserved, restored, or rehabilitated.*

*We are in the process of including other historic quarters under the current preservation project.*

What are the legal provisions which are used to prioritize urban heritage sites, i.e. defining the valuing criteria and decisive parameters?

*Archeological and historic values are the preferable aspects in the existing laws to prioritize heritage sites.*

Is there a provision in the law for public participation? And if yes, how is this done, especially in the process of identifying heritage values?

*It is common that the public need to participate in the project because they are the stakeholders and residents of the project area. Inclusion of any heritage sites in the plan or making any amendments to the current plan is usually announced for the public.*

Does the law or by laws provide guidelines for periodical update of urban heritage sites list?

*We follow the list adopted by the Archeological Directorate. Although it is an old list, the buildings targeted under the current project are not included in that list.*

Does the legal document issues the responsibilities and mandate of organization on updating list of heritage sites?

*Yes. The Directorate of Archaeology often undertakes this task.*

#### **(4) Financial Policies:**

Does the current mechanism for the transfer of funds affect the efficiency of the projects?

*funds transfer has become better especially after 2003. An annual amount of \$250,000 has been allocated by the ministry for the protection of physical conditions of the buildings in Akre. This fund does not cover functioning aspects of the buildings.*

Have you ever get any fund ((non)governmental/international/private) to execute such practices?

*No.*

How much of your budget is allocated to this task?

*Our program started last year. We receive \$250,000 for the conservation program each year. This fund comes from the Ministry of Municipalities which has expanded its policies to not only focus on provision of basic services but also on heritage conservation programs.*

On what basis does the agency distribute the budget for the various projects? Is there any improvement on this regard?

*Yes. Focus of urban development has been gradually swayed from the provision of basic services to also include heritage conservation.*

Do you utilize the taxes as an income for urban heritage conservation and management?

*No.*

**Note: a copy of the latest budget.**

**(5) Public Participation:**

How do you perceive the importance of public participation?

high                                       moderate                                       low

To what extent do public have access to information available at the organization's related interventions?

All types of information                       restricted information                       none

What are the mechanisms of information sharing with public? (meetings, media, websites, etc...)

*We have meetings, seminars especially for discussing the master plan, and mass media. Although we have discussed the master plan many times, it has still not been approved.*

How would the organization encouragement of local initiatives be evaluated?

Good                                       moderate                                       bad

Does the Organization interact with and involve the public in decision making?

*yes, especially in the current heritage conservation. We have involved the public in determining the price of one square of building and the period of payments.*

*According to the new policies especially over the last three years, we are required to involve the public in discussions about the master plan so as to gain their agreement.*

How do you select the involved stakeholders? Based on which criteria?

*The criteria for selection of stakeholders for the conservation program is made on the basis of involvement of the concerned agencies and the public. Sometimes we sought the assistance of graduate students in heritage conservation for our work because we lack scientific skills in the conservation field.*

Does your organization support the involvement of NGOs and mass public in the process of identification of urban heritage sites and in the valuing process?

*NGOs are supposed to be involved, but their participation in this field is limited.*

If yes, in your opinion, what are the procedures to initiate such a process?

And, how?

If no, why? -----

If no, who are the actors that currently play a role in identifying and valuing urban heritage?

**(6) Public Awareness:**

Is there a need to raise awareness for the public on urban heritage conservation issues? Is there any plans?

*Public awareness is important.*

What are the tools/means that the agency uses to implement a public awareness plan?

*Seminars, conferences, media and involvement of public in discussions of conservation projects. Each year, we hold a festival about the historic stages of Akre, its aesthetics.*

*We also develop booklets about the history of Akre city to highlight its importance.*



(e.g. meetings with the public; publications; media; formation of a heritage forum; organizing meetings that are open to the public; monthly newsletter that includes the activities and achievements as well as the future plans; Involve religious figures and non-curriculum activities in schools to inform and promote such processes, etc....)

Please indicate the topics that should be included in a public awareness plan:

(e.g. what does the urban heritage sites include; the value of the urban heritage sites; how could the sites be utilized in the socio-economic development; how can the actors interact; benefits of coordination/cooperation/collaboration among actors; environmental issues; etc....)

*Value of urban heritage.*

Does your organization undertake or support actions to improve the awareness of heritage values among other actors in sectors that influence management of urban heritage?

*We support urban heritage conservation because our city is rich in natural and cultural heritage. We do not have adequate experience in successful integration.*

What is the suggested role for NGOs in public awareness ? (e.g. Coordination role; partnership role; monitoring role; technical role; etc....)

*Raising awareness.*

#### **(7) Partnership:**

Have you ever worked in a partnership with other actors (agencies, owners, investor, etc..) in a project dedicated to urban heritage conservation and management ? What types of projects did you implement?

*We have partnerships with the people through our conservation program. This program is funded by the government and the conservation process is made in accordance to the conditions set by the government.*

How do you evaluate this partnership? Have you contributed in the conservation and management of the urban heritage? What were the obstacles and challenges? If you would do it again, what do you think should be done?

*The partnership needs to include more details so that an agreement is made on them.*

How does the current investment law in Kurdistan influence the related urban heritage conservation and management interventions, in terms of encouraging and enhancing partnership? What do you propose as amendments to the law?

*The current investment law support solutions for built infrastructure but it less supports tourism projects. Although among the strategies of the central government is to develop tourism, yet no ground action has been taken in this regard. We lack comprehensive analysis of tourist potentials, which could attract investors.*

Have you ever been engaged in an agreement with local owners of urban heritage sites? How do you evaluate such an agreement, if any? What were the main challenges?

*Yes, in the building conservation project, which will be implemented on an annual basis.*

What should be done to ensure a successful partnership in urban heritage integration?

*We need to conduct comprehensive analysis of the existing potentials in tourism and to increase awareness in the importance of heritage to support that sector.*

### **(8) Pre-requisites for Collaboration (Cooperation-Coordination):**

What are the tools used to exchange information between your organization and other related organizations?

*Through meetings, circulation of regulations, and joint committees, mostly with the urban planning department.*

Have you ever exploited the resources available at other organizations to perform certain activities related to urban heritage conservation and management? (e.g. information sharing, training, expertise, consultation, planning together, acting together – engagement and commitment, decision-making , ensuring ownership, formation of a heritage forum, etc... )

*Yes, through joint committees.*

How do you evaluate the level of information/resources exchange between your organization and other related organizations in the field of urban heritage conservation and management? Can you provide examples, please?

*The level of exchange is acceptable but we have not made full benefit of each other.*

In your opinion, what are the reasons behind lack of "interaction: cooperation/coordination"? (e.g. lack of financial resources, absence of legal directives, lack of motivation among the staff, lack of political will, ambiguity regarding the meaning of heritage, etc....)

*Probably in the organizational culture.*

Do you out-source any related tasks, or do you cooperate with any other international or national agencies on this regard (e.g. training courses)?

*Yes, like the master plan, which also included trainings in GIS and uses of GIS.*

Are you aware of any previous conflict between the governmental agencies in related collaborative practices? For instance, a unilateral decision has been taken by an agency and the other had to follow? In case of existence of any kind of conflict, do you think there is a possibility to overcome such a situation? If yes, how?

*There is some kind of conflict between us and the Archaeological Directorate concerning implementation details of the conservation project. We will certainly eliminate such conflicts through discussions.*

Do you usually end up with an action plan? Who is responsible for supervising & monitoring the implementation of the action plan? Do you use certain procedures when a conflict arise?

*Yes. For example, our current conservation program, which was the output of an action plan resulted from discussions with the governorate office.*

### **(9) Potentials for Collaboration:**

Do you have the motivation (interest) to participate in a decision-making practice?

*Certainly, and it is also needed.*

Do you see your involvement in a decision-making practice concerning urban heritage conservation and management worthy? Do you perceive this task as a high priority?

*Sure.*

Have you ever been involved in such a practice before? Was it helpful? When was that?

*A lot. Collaborative decision was helpful especially over the last five years.*

Do you evaluate such practices? If yes, How do you evaluate previous practices? How was that translated on the ground? Can you elaborate, please?

*We need to involve more stakeholders especially a monitoring body for evaluating of our practices.*

What are the main difficulties and challenges that impede the process?

*We have some difficulties because we do not have sufficient information. We usually involve the public but we lack a technical stakeholder.*

Is there a monitoring body that oversees the work?

*No.*

Do you see an improvement in the adopted mechanisms for decision-making practices in the recent ten years?

*Yes.*

Would you participate in the process of urban heritage conservation and management if this was the initiative of non-competent authorities?

*Yes.*

## Appendix 8:

### Interview questions to stakeholders:

#### Process and outcome criteria for evaluating collaborative planning practice through values-based approach

##### Process Criteria

Criteria	Questions
Purpose and incentives	Do you think that the workshop involved a collaborative process that was driven by a shared purpose and provided an incentive to participate? Do you think that this process will provide best solution for urban heritage sites in your city?
Inclusive representation	Do you think that participation in the process (workshop) is inclusive? For example, it includes all stakeholders and relevant parties.
Voluntary participation and commitment	Did you voluntarily participate in the process? Are you committed to work in collaboration with others? Will you be committed to the workshop objectives/outcome/resulted decisions?
Self design	Were the participants adequately involved in the design of the workshop activities/output?
Clear ground rules	Did the workshop have clear terms of reference? Were the procedural ground rules and roles of the participants clearly defined?
Equal opportunities and resources	Did the process provide equal and balanced opportunities for all parties to participate effectively?
Principled negotiation and respect	Did the participants demonstrate respect and understanding of other stakeholders' interests and were able to communicate and negotiate effectively?
Accountability	Did the process include outcome/decisions that are representative of the interests of the broader public as well as of the participants?
Flexible, adaptive, creative	Was flexibility designed into the workshop to allow for adaptation and creativity in problem solving?
High quality information	Did the workshop provide adequate, clear, high quality information for effective decision-making? Did you gain from the workshop such information?
Time limits	Were time limits set for the groups to develop and prevent group works?
Commitment to implementation and monitoring	Did the workshop come out with clear commitments, by all involved, to implementation and monitoring?
Effective process management	Was the workshop structured and managed in an effective and neutral manner?
Independent facilitation	Were trained, independent facilitator(s) used throughout the workshop?

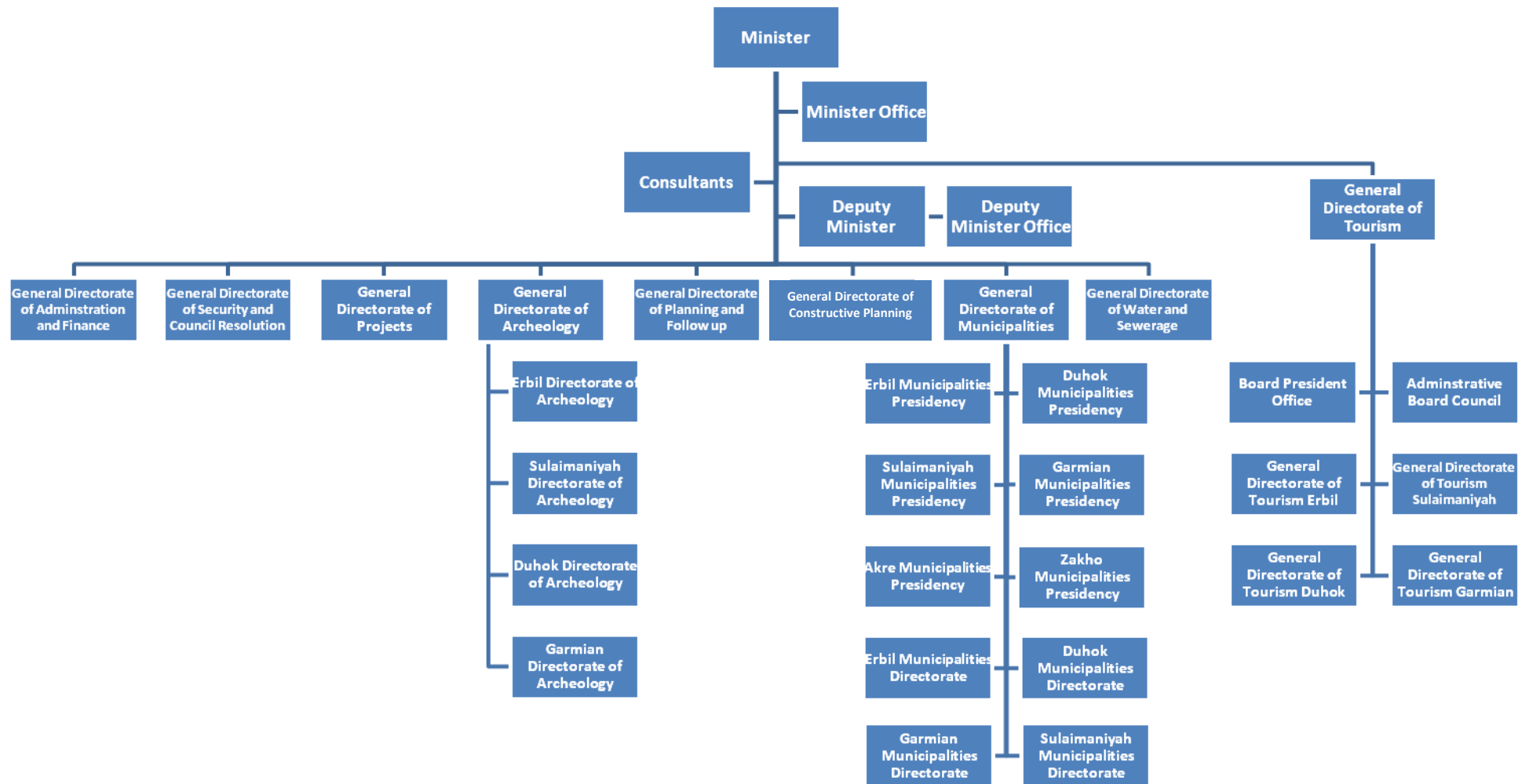
##### Outcome Criteria

Criteria	Description
Agreement	Was an agreement, if any, made during the process(workshop) and endorsed by all participants?
Perceived as successful	Do you perceive the process and its outcomes as successful?
Conflict reduced	Were existing conflicts over relevant issues, if any, reduced as a result of the process?
Superior to other methods	Do you think that the CP followed in the workshop as superior to alternative models of resource management and land use planning in terms of costs (time, money, resources) and benefits (tangible " final agreements " and intangible "increased trust and social capital" products)?
Innovation and creativity	Did the process produce creative and innovative ideas and outcomes (strategies and actions)?
Knowledge, understanding, and skills	Did you gain knowledge, understanding, and skills (communication, negotiation, decision-making) as a result of your participation in the workshop?
Relationships and social capital	Did the process create new working relationships and social capital among the participants?
Information	Did the process create new and improved information through joint fact-finding that stakeholders understand and accept as accurate?
Second-order effects	By working together on the process, did you reap second-order benefits (changes in behavior and actions, spin-off partnerships, collaborative activities, new practices, etc)?
Public interest	Do you consider the process outcomes will serve common good or greater public interest and more specific interests of the participants?
Understanding and support of CP	Did the process result in increased understanding and support of collaborative approaches to planning?

## Appendix 9: Interview with stakeholders (Akre and Amedy)

Stakeholders Interviews: Akre Workshop			
Name	Position/Profession	Group	Date
Dr. Abdullah Khorshid	- President of Iraqi Institute for the Conservation of Antiquities and Heritage in Erbil. - Member of High Commission for Erbil Citadel Revitalisation.	Scientific value	14 <sup>th</sup> November, 2012
Amina Ahmad Sadiq	- Member of PC. - Member of Reconstruction Project Follow-up Committee PC. - Former General Director of Duhok General Directorate of Constructive Planning (1995-2007).	Historic value	16 <sup>th</sup> October, 2012
Bawar Ahmad Sadiq	- Head of Projects Department at Duhok General Directorate of Tourism.	Historic value	3 <sup>rd</sup> November, 2012
Kuvan Ihsan Yasin	- Technician at Duhok General Directorate of Antiquities and Traditions.	Scientific value	11 <sup>th</sup> November, 2012
Dr. Zirak Aziz Khan	- Academic staff of Duhok University. - Owner of Orchards in Akre city	Scientific value	12 <sup>th</sup> November, 2012
Didar Ramadan	- Director of Directorate of Tourism of Akre city.	Aesthetic value	25 <sup>th</sup> October, 2012
Jabali Ismael Sadiq	- Investor	Historic value	25 <sup>th</sup> October, 2012
Hassan Hussain Maulod	- Writer. - Member of Youth NGO. - Owner of a historic house in Akre city.	Social value	23 <sup>rd</sup> October, 2012
Peris Tareq Khorshed	- Academic staff at Duhok University. - Owner of a historic house in Akre city.	Aesthetic value	23 <sup>rd</sup> October, 2012
Jambali Mohamed	- Academic staff at Duhok University (facilitator)	-	14 <sup>th</sup> November, 2012
Stakeholders Interviews: Amedy Workshop			
Name	Position/Profession	Group	Date
Jihan Rasheen Sindi	- Consultant at Council of Ministers-KRG for heritage related issues. - Member of High Commission for Erbil Citadel Revitalisation.	Historic value	12 <sup>th</sup> October, 2012
Dr. Abdullah Khorshid	- President of Iraqi Institute for the Conservation of Antiquities and Heritage in Erbil. - Member of High Commission for Erbil Citadel Revitalisation.	Scientific value	13 <sup>th</sup> October, 2012
Bahzad Ali Adam	- Vice Governor of Duhok Province for administrative issues - Former Vice Governor for NGO's related issues.	Historic value	14 <sup>th</sup> October, 2012
Kuvan Ihsan Yasin	- Technician at Duhok General Directorate of Antiquities and Traditions.	Scientific value	11 <sup>th</sup> November, 2012
Bawar Ahmad Sadiq	- Head of Projects Department at Duhok General Directorate of Tourism.	Historic value	3 <sup>rd</sup> November, 2012
Amina Ahmad Sadiq	- Member of PC. - Member of Reconstruction Project Follow-up Committee PC. - Former General Director of Duhok General Directorate of Constructive Planning (1995-2007).	Historic value	14 <sup>th</sup> October, 2012
Ramadan Hachi Asaaf	- Director of Municipality of Amedy.	Aesthetic value	25 <sup>th</sup> October, 2012
Fahmi Salman	- Member of Duhok NGO for Protection of Antiquities.	Social value	3 <sup>rd</sup> November, 2012
Kawa Mohamad Rashid	- Owner of a historic house and orchard in Amedy city.	Social value	17 <sup>th</sup> October, 2012
Anass Hassan Rasheed	- Owner of a historic house and orchard in Amedy city.	Social value	17 <sup>th</sup> October, 2012
Jambali Mohamed	- Academic staff at Duhok University (facilitator)	-	14 <sup>th</sup> November, 2012
<b>Moderator:</b> Nawzad Saeed Abdurahman, UNICEF Assistant Officer (Ministry of Education-KRG).			
<b>Facilitators</b>			
Jambali Mohamed, MSC in Community Planning (academic staff at University of Duhok).			
Ismael Ibrahim, Architecture (PhD Candidate) (academic staff at University of Duhok).			
Saman Fakhradin, Architect (MSC in Architecture) (academic staff at University of Duhok).			
Wasffi Haji Sulaiman, Planner, (academic staff at University of Zaxo)			

**Appendix 10:  
Structure of Ministry of Municipalities and Tourism-KRG**



## Appendix 11: Stakeholder's Workshop Agenda

### A. Akre Stakeholder's Workshop (10<sup>th</sup> October, 2012)

Time	Subject	Lecturer
9:30-9:40	Welcome and opening speech	Moderator
9:40- 9:50	Rationale and purpose of workshop	Researcher
9:50-10:15	Presentation: Significance of the heritage sites and the character defining elements	Researcher
10:15-10:35	Presentation: Scientific intervention to historic buildings	Saman Fakhradin
10:35-10:45	Overview of current and prospective projects regarding heritage in Akre city	Akre Mayor
10:45-11:00	Break	-
11:00-11:25	Group work – Selection/listing of heritage sites in Akre city for conservation - Development of a unified list of sites	4 groups All groups assisted by facilitator
11:25-11:50	Presentation of final sites list - Participant discussion and feedback	Facilitator
11:50-12:20	Group work - Mapping work of selected sites - Drawing border of historical part (conservation area and buffer zone). - Presentation of sites map with justifications for selection	4 groups 4 groups 4 groups
12:20-13:00	Selection of an acceptable border for historical part – with open discussions	All participants
13:00-14:00	Lunch Break	-
14:00-14:30	Group work – valuing of heritage sites with character of defining elements - Historic value - Social value - Aesthetic value - Scientific/Research value - Presentation and discussion of group work	4 groups (based on a template developed by the researcher) 4 groups
14:30-15:00	- Identification of paucity and representation of each site based on the four values - Identification of importance of each site based on paucity and representation	All participants
15:00-15:40	Final remarks	All participants

### B. Amedy Stakeholder's Workshop (11<sup>th</sup> October, 2012)

Time	Subject	Lecturer
9:30-9:40	Welcome and opening speech	Moderator
9:40- 9:50	Rationale and purpose of workshop	Researcher
9:50-10:15	Presentation: Significance of the heritage sites and the character defining elements	Researcher
10:15-10:35	Presentation: administrative arrangement of High Commission for Erbil Citadel Revitalisation	Jihan Rasheen Sindi
10:35-10:45	Presentation: Projects by the High Commission for Erbil Citadel Revitalisation	Dr. Abdullah Khorshid
10:45-11:00	Overview of current and prospective projects regarding heritage in Amedy city	Ramadan Asaaf
11:00-11:25	Break	-
11:25-11:50	Group work – Selection/listing of heritage sites in Akre city for conservation - Development of a unified list of sites.	4 groups All groups assisted by facilitator
11:50-12:20	Presentation of final sites list - Participant discussion and feedback	Facilitator
12:20-13:00	Group work - Mapping work of selected sites - Drawing border of historical part (conservation area and buffer zone) Presentation of sites map with justifications for selection	4 groups 4 groups 4 groups
13:00-14:00	Selection of an acceptable border for historical part – with open discussions	All participants
14:00-14:30	Lunch Break	-
14:30-15:00	Group work – valuing of heritage sites with character of defining elements - Historic value - Social value - Aesthetic value - Scientific/Research value - Presentation and discussion of group work	4 groups (based on a template developed by the researcher)
15:00-15:30	- Identification of paucity and representation of each site based on the four values - Identification of importance of each site based on paucity and representation	All participants
15:30:16:00	Final remarks	All participants

**Appendix 12:**  
**Guidance to identify heritage sites within Akre and Amedy cities**

Value	Criterion	Description
<b>Scientific/Research Value</b>	A: It has demonstrable potential to yield information that will contribute to understanding of the natural or cultural history of the local district.	A place included under this criterion should: <ul style="list-style-type: none"> <li>- be a standing structure or archaeological deposit;</li> <li>- be an important benchmark or reference site; or</li> <li>- demonstrate a likelihood of providing evidence about past activity.</li> </ul>
	B: It is significant in demonstrating a high degree of technical innovation or achievement.	A place included under this criterion should: <ul style="list-style-type: none"> <li>- show qualities of innovation or represent a new achievement for its time;</li> <li>- demonstrate breakthroughs in design or places that extend the limits of technology; or</li> <li>- show a high standard of design skill and originality, or innovative use of materials, in response to particular climatic or landform conditions, or a specific functional requirement, or to meet the challenge of a particular site.</li> </ul>
<b>Historic Value</b>	It is significant in the evolution or pattern of the history of the local district.	A place included under this criterion should: <ul style="list-style-type: none"> <li>- be closely associated with events, developments or cultural phases that have played an important part in a city's history;</li> <li>- have a special association with a person, group of people or organisation important in shaping the city (either as a product or workplace of a person or group, or the site of a particular event connected to them); or</li> <li>- be an example of technical or creative achievement from a particular period.</li> </ul>
<b>Aesthetic Value (cultural and natural features)</b>	It is significant in exhibiting particular aesthetic Characteristics.	A place included under this criterion should have characteristics of scale, composition, materials, texture, colour, material of the fabric or landscape, and the smell and sound associated with the place and its use that are considered to have value. This may encompass: <ul style="list-style-type: none"> <li>- creative or design excellence;</li> <li>- the contribution of a place to the quality of its setting;</li> <li>- landmark quality; or</li> <li>- a contribution to important vistas.</li> </ul>
<b>Social Value</b>	It is significant through association with a community or cultural group in the local district for social, cultural, educational or spiritual reasons.	A place included in this criterion should: <ul style="list-style-type: none"> <li>- a place in which the community or a significant part of the community has held in high regard for an extended period.</li> <li>- be a public place or a place of distinction in the local landscape which makes a positive contribution to the local 'sense of place' and local identity.</li> </ul>

*Adapted from City of Vincent Planning and Building Policy Manual Heritage (Policy No. 3.6.2.), Heritage Heritage-Assessment, 2012*



### Appendix 13:

#### Names of participants and group of work in Akre stakeholder's workshop

Group	Names and Job title
Scientific/Research value	Dr. Abdullah Khorshid (Archaeologist) Dr. Zedan Bradosty (Archaeologist) Mahdi Jalal (Architect) Kuvan Ihsan (Archaeologist) Hiwar Ihsan (Archaeologist) Mahmoud Abid (Civil Engineer) Dr. Zerak Aziz (Civil Engineer and Owners)
Historic value	Warqa Mohamad (Civil Engineer) Amina Ahmad (Civil Engineer & Planner) Jabali Ismael (Civil Engineer) Hilbeen Rafeeq (Historian) Younis Ameen (Native People) Bawar Ahmad (Civil Engineer)
Aesthetic value (cultural and natural features)	Mehvan Salam (Architect) Hasan Hussien (Historian) Kawar Tahseen (Architect) Mohamad Mitlab (Civil Engineer) Pirjeen Sabir (Civil Engineer) Dilven Kareem (Civil Engineer) Ahmad Salah (Civil Engineer) Didar Ramadan (Environmentalism) Pirs Tariq (Lecturer at Akre Technical Institute) Ismael Ibrahim (Architect & Planner)
Social value	Shireen Ismael (Planner) Jawhar Ali (Civil Engineer) Majid Ahmad (Native People & Historian) Sarbest Tawfeeq (Historian) Wasffi Haji (Environmentalism & Planner) Saman Mustafa (Civil Engineer)

## Appendix 14:

### Sites in Akre identified by the participants in Akre stakeholder's workshop

Site	Scientific/ Research value	Historic value	Aesthetic value (cultural & natural features)	Social value
Historic Quarters (Justay, Gorava, Qapaki)	×	×	×	×
Old Bazar	×	×	×	×
Akre Castle	×	×	×	
Church	×	×	×	×
Grand Mosque	×	×	×	
Qishla	×	×	×	×
Sipa Waterfall		×	×	×
Kane Zarke Spring			×	×
Old Hamam	×	×	×	
Bey Cave			×	×
Mam Grok Therapeutic Spring	×		×	×
Shush Castle	×	×	×	
Dera Kafra				×
Der Odesho			×	×
Zaradasht Temple	×	×	×	×
Synagogue		×		×
Ashe Ave	×	×		×
Meriam Cave	×		×	×
Sare Gree				×
Mahat		×		×
Jamsaq	×	×		×
Hajaj Mosque			×	×
Bercheb	×	×	×	
Raze Mere (Prince Orchard)	×		×	
Orchards around the Old City		×	×	×
Baroka Saida		×	×	
Mamiya		×		×
Tas o Manjal			×	×
Sheikh Abdulaziz Valley			×	×
Gre Maqbara				×
Bika Chiya				×
Sheikh Mav				×

**Appendix 15:**  
**Names of participants and group of work in Amedy stakeholder's workshop**

Group	Names
<b>Scientific/Research value</b>	Dr. Abdullah Khorshid (Archaeologist) Dr. Zedan Bradosty (Archaeologist) Mahdi Jalal (Architect) Kuvan Ihsan (Archaeologist) Hiwar Ihsan (Archaeologist) Dr. Zerk Aziz (Civil Engineer) Dr. Mohamad Taha (Civil Engineer) Jihan Rasheen (Politician)
<b>Historic value</b>	Bawar Ahmad (Historian) Amina Ahmad (Civil Engineer & Planner) Shukri Mohamad (Historian) Mohamad Abdulah (Historian) Mala Ali (Historian) Wasffi Haji (Environmentalism & Planner)
<b>Aesthetic value (cultural and natural features)</b>	Kawar Tahseen (Architect) Mehvan Salam (Architect) Ramadan Asaaf (Civil Engineer) Shakir Ramadan (Survey Specialist) Saman Fakhradin (Architect & Conversationalist) Najih Mohamad (Architect & Planner) Shamal Abdulhakeem (Architect)
<b>Social value</b>	Shireen Ismael (Planner) Anas Hasan (Original People) Kawa Mohamd (Sociologist) Fahmi Salman (Sociologist) Laila Mohamad (Architect & Planner) Jwan Bayeez (Architect) Ismael Ibrahim (Architect & Planner)

## Appendix 16:

### Sites in Amedy identified by the participants in Amedy stakeholder's workshop

Site	Scientific/ Research value	Historic value	Aesthetic value (cultural & natural features)	Social value
Kaniya Mala			×	×
Grand Mosque	×	×	×	
Minaret of Amedy	×	×	×	
Zebar Gate	×	×	×	
Emirate House	×	×	×	
Qubahan School	×	×	×	×
Sultan Graveyard	×	×	×	×
Kora Serege	×	×	×	×
Eaj-Qala	×	×	×	
Traditional Quarters	×	×	×	×
Old Bazar	×	×	×	×
Ali Chanka Bridge	×	×		
Esa Bridge	×		×	
Golana Qocha Bridge	×	×		
Pren Zebare	×	×		
Kaniya Senche		×		×
Qantara Hasan Amedy		×		×
Qantara Rasheed Numan			×	×
Old Amedy School			×	
Mar Odesho Church		×		×
Hazaye Grave				×
Saqava/Mosul Gate	×	×	×	×
Ashkani Monument	×	×	×	
Shape of the City/landscape	×	×	×	×
Traditional Houses	×		×	×
Ashe Ave	×		×	×
Laolab Spring	×			×
Sheikhke Kinchra				×
Murad Khan School		×		×
Bare Bahlawana				×
Takiya Amedy				×
Chanka Cave	×		×	
Bare Awcha				×
Amedy Hamam		×		×
Kotra Cave	×			
Sulav Resort			×	×
Gara Kara			×	×
Orchards around the City		×	×	×

