

# Methodology for the development of Management Plans for Urban World Heritage Sites

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# INDEX

<b>1. INTRODUCTION .....</b>	<b>7</b>
<b>2. THE UNESCO WORLD HERITAGE SITE .....</b>	<b>9</b>
2.1 CULTURAL HERITAGE .....	9
2.2 STATEMENT OF OUTSTANDING UNIVERSAL VALUE .....	10
2.3 THE WORLD HERITAGE AREA .....	11
2.4 THE BUFFER ZONE.....	12
2.5 THE WORLD HERITAGE ASSET: PROTECTION, CONSERVATION AND CHALLENGES .....	13
<b>3. BASIC PRINCIPLES FOR PLANNING AND ACTION .....</b>	<b>17</b>
<b>4. MAIN STRATEGIC FIELDS AND GUIDELINES FOR ACTION .....</b>	<b>21</b>
4.1. TANGIBLE CULTURAL HERITAGE .....	23
4.2. PLANNING AND LEGISLATIVE INSTRUMENTS.....	37
4.3. POPULATION AND HOUSING.....	47
4.4. TOURISM, CULTURE AND ECONOMY .....	56
4.4.1. <i>Tourism</i> .....	56
4.4.2. <i>Culture and Economy</i> .....	67
4.5. COMMUNITY ENGAGEMENT AND CAPACITY BUILDING.....	73
<b>5. MANAGEMENT SYSTEM .....</b>	<b>95</b>
5.1. INSTITUTIONAL CONTEXT AND ORGANIZATION .....	96
5.1.1. <i>Institutional Complexity</i> .....	96
5.1.2. <i>Participatory Governance</i> .....	103
5.1.3. <i>Mediation and Conflict Management</i> .....	105
5.2. MONITORING AND EVALUATION .....	109
5.2.1. <i>Methodologies and indicators</i> .....	109
5.2.2. <i>Impact Assessment</i> .....	112
<b>6. ELABORATION PROCESS .....</b>	<b>117</b>
<b>REFERENCES .....</b>	<b>119</b>



# 1. INTRODUCTION

The present document is integrated on the “AtlaS-WH - Heritage in the Atlantic Area: Sustainability of the Urban World Heritage Sites” project (INTERREG Atlantic Area 2014-2020), led by the Municipality of Oporto, corresponding to the works associated to Work Package 6\_ Methodology referent to the definition of common referential for the development of “Management and Sustainability Plans for Urban World Heritage Sites” in the various cities involved in the project.

It is, therefore, a document of methodological nature that gives continuity to previous work packages from this project: the ‘Diagnosis study of urban World Heritage Sites in the Atlantic Area’, developed by Santiago de Compostela in 2018, and the ‘Thematic Study on Common Challenges’, developed by Florence and presented in May 2019.

The methodological proposal that is exposed in this document is supported on the results presented in both previous studies. Furthermore, attention was given to the general methodological orientations and recommendations expressed in different studies and guideline reports related to management plans for World Heritage Sites, as Grgurević (2016), Makuvaza (2018), Ringbeck (2008, 2018), Ripp et al. (2011) and Scheffler et al. (2010). Other relevant analysis and findings will also be referred in specific parts of this document.

The main goals of the methodological proposal are to establish a set of common principles, strategic options and operational orientations that are inclusive towards the main values and inherent challenges to Urban World Heritage Sites.

For that end, the document is organized around four fundamental chapters. Chapter 2, entitled “The UNESCO World Heritage Site”, is dedicated to the introduction of the basic dimensions for the comprehension of the World Heritage Site, and it includes the systematization of concepts and specific requirements that must integrate the Management Plans. Chapter 3, “Basic Principles for Planning and Action”, addresses questions of methodological order and underlines the importance of reference principles for the framing of strategic goals. The next two chapters focus on the strategic and operational conditions and on the management and evaluation model. Chapter 4, “Main Strategic Fields and Guidelines for Action”, presents the main strategic guidelines to be elaborated within the scope of the five strategic fields seen as fundamental. Chapter 5 addresses the “Management System” and explores the relationship of the management system with the institutional complexity conditions and participatory governance, tackling, also, the relevant issues related with monitoring and evaluation. It is also important to point out that this document incorporates a final chapter dedicated to the visual systematization of the elaboration process of the “Management and Sustainability Plans for Urban World Heritage Sites”.





## 2. THE UNESCO WORLD HERITAGE SITE

The UNESCO World Heritage Site chapter gives a description of some technical definitions that characterize the WHS area and help to present its inherent value, challenged by the complexity of current times (climate change, tourism, etc.) that affect heritage sites on different fields.

This chapter starts with Section 2.1, “Cultural Heritage”, that will present the definition and introduce the question of Heritage, while outlining its importance to society and to the broader urban space.

Section 2.2, “Statement of Outstanding Universal Value” (SOUV), presents the definition of the SOUV, along with the goal of this statement and the benefits of this instrument for the protection of heritage sites and its OUV status.

Then Section 2.3, “World Heritage Area”, focuses on how present-day reality affects the WHS, characterizing it, challenging it, and imposing actions of management and ethical behaviour by all stakeholders towards the protection of heritage sites and the maintenance of its OUV in the face of changing paradigms.

Additionally, Section 2.4, “The Buffer Zone”, presents a tool used for the protection of WHS and its OUV status, defining the meaning of Buffer Zone and presenting its importance and benefits to WHS.

Finally, section 2.5, “The World Heritage Asset – protecting, conserving and challenging”, will focus on the need for protection and conservation towards the challenges that characterize WHS.

### 2.1 Cultural Heritage

#### INTRODUCTION TO HERITAGE AND ITS IMPORTANCE

UNESCO (1972) considers to be cultural heritage all monuments, group of buildings and sites that present a set of elements with a value from an historical, scientific, artistic, ethnological or anthropological point of view.

Since the 1972 Convention, the List has broadened to include increasingly complex types of property with correspondingly more demanding management requirements, such as urban centres, archaeological sites, industrial heritage, cultural landscapes and heritage routes (UNESCO et al. 2013).

Heritage must be understood as a discursive, social, political, and economic construction and practice of global reach, as well as a concern with engagement, empowerment, and equity for less powerful stakeholders. This means that heritage efforts must be made by involving everyone who holds an interest in it and avoid as much as possible different senses of ownership over cultural heritage (American Anthropological Association 2017).

One of the major goals of the World Heritage System is to disseminate knowledge and respect for the cultural heritage of all people – for this reason, there must always be a balance between the social and the material fabrics (UNESCO 2011a).

The communication process is an important step in ensuring this knowledge dissemination. It should be designed to convey the significance of a heritage site to visitors and local communities in order to increase public awareness, enhance understanding of a heritage site and acquire public support in the activities directed as its management and preservation. A proper communication process will ensure fewer degrading actions towards heritage sites (Shalaginova 2008).

### **CULTURAL HERITAGE – A CONCERTED DEFINITION**

According to ICOMOS, Cultural Heritage is an expression of the ways of living developed by a community and passed on from generation to generation, including customs, practices, places, objects, artistic expressions and values. Cultural Heritage is often expressed as either Intangible or Tangible Cultural Heritage (ICOMOS 2002). Considering its material part, the tangible one, Cultural Heritage Site “(...) refers to a place, locality, natural landscape, settlement area, architectural complex, archaeological site, or standing structure that is recognized and often legally protected as a place of historical and cultural significance” (ICOMOS 2008, p. 2). From 2003 UNESCO Convention, intangible cultural heritage “(...) means the practices, representations, expressions, knowledge, skills – as well as the instruments, objects, artefacts and cultural spaces associated therewith – that communities, groups and, in some cases, individuals recognize as part of their cultural heritage” (Jokilehto 2005, p. 43), which are transmitted from generation to generation and recreated by communities and groups providing them “(...) with a sense of identity and continuity, thus promoting respect for cultural diversity and human creativity” (Jokilehto 2005, p. 43).

Cultural heritage should be considered both in time and in space: “(...) landscapes are an integral part of heritage as they are the living memory of past generations and can provide tangible and intangible connections to future generations. Cultural heritage and landscape are fundamental for community identity and should be preserved through traditional practices and knowledge that also guarantees that biodiversity is safeguarded” (ICOMOS 2014, p. 2). In terms of conservation, there needs to be more than just the physical, when talking about cultural heritage. This alone will not help preserve a community’s sense of place. On the other side, the promotion and development of creative livelihood-related activities removed from the context related with the conservation of heritage sites is also not enough. Therefore, conservation and development must be approached in a complex and multidisciplinary way to embrace the goals of conserving heritage value while integrating them with inclusive social and economic development (Hosagrahar et al. 2016).

## 2.2 Statement of Outstanding Universal Value

The SOUV – Statement of Outstanding Universal Value – is an official statement adopted by the World Heritage Committee at the time of inscription of a site on the World Heritage List. According to UNESCO et al. (2011) a Statement of Outstanding Universal Value must be drawn up, based on the Outstanding Universal Value (OUV) and conditions of authenticity and integrity. This will be the key

reference for the effective protection, management and monitoring of the Site in the future (UNESCO et al. 2011).

The SOUV is of great benefit to State Parties and stakeholders as it allows for a clear understanding of the site, giving direction to management and indication of attributes that need to be maintained to sustain the OUV.

The goal of the SOUV is to raise awareness regarding the value of a property, guide the assessment of its state of conservation and inform protection and management bodies, while contributing to the recognition of attributes related with the WH sites. All World Heritage Sites have an associated Statement of Outstanding Universal Value, under the terms of UNESCO 1972 Convention concerning the Protection of the World Cultural and Natural Heritage (LOCUS 2017). The SOUV explains the importance of the Site and gives UNESCO the detailed description of what is unique about the Site (Martin & Piatti 2008).

The Statement of OUV, itself, can be a powerful tool for planning if adopted as part of the normal site/urban planning instruments. State Parties are expected to inform UNESCO of their intention to authorise or undertake any major restorations or constructions which may affect the Outstanding Universal Value of the World Heritage Site, with the purpose of allowing UNESCO's World Heritage Committee to assist in seeking appropriate solutions to ensure that OUV is fully preserved (City of Edinburgh Council 2017).

UNESCO (2015a, p. 1) defends that by "(...) identifying, protecting, conserving, presenting and transmitting to present and future generations irreplaceable cultural and natural heritage properties of (OUV), the World Heritage Convention, in itself, contributes significantly to sustainable development and the wellbeing of people."

It is important to bear in mind that, to achieve or maintain the World Heritage status, each management plan needs to include in the beginning of their document a clear description of its OUV attributes based on the different criteria listed by UNESCO (2019), since they are a key component of the site management system.

## 2.3 The World Heritage Area

### HERITAGE SITES – A NEW PARADIGM

Today, heritage sites are characterized by a new paradigm:

- Demographic changes – Heritage sites are characterized by a decreasing population;
- Structural Changes – The impact of modern globalization and fast pacing urbanisation;
- Environmental Changes – Climate change, pollution.

In this new paradigm, cultural heritage has a crucial role in building social capital and in contributing to social cohesion providing a framework for participation and engagement (Girard & Nocca 2018). Taking this new paradigm into account, the evaluations made concerning heritage sites must be 'fit-for-purpose'. This means that the assessments must be suitable for the World Heritage property and

the changes proposed, and for the local environment. After the assessment of the heritage site is made, decisions related to the heritage project should be every stakeholder concern, and it should be made in a clear, transparent and practicable way. And proper evidence for the decisions taken must be provided (ICOMOS 2011).

## HERITAGE AND ETHICS

Due to the importance already demonstrated above related to heritage and management, there is major ethic component that should always be present when dealing with heritage sites. Heritage professionals should hold a ethical responsibility to present a World Heritage Site that it can be equally enjoyed by people regardless of their cultural background.

Ethics is important and should be integrated into heritage and management trough:

- The measurement of values at a personal and professional level;
- The definition of a set of guidelines for personnel behaviour;
- The decision-making process on an ethic basis.

Ethics should also be present in every option (what we choose to do and what we choose not to do), duties (what we must do) and constraint (what we cannot do) (Shalaginova 2008).

## 2.4 The Buffer Zone

The Buffer Zone is an important tool for the conservation of properties inscribed on the World Heritage List, intended to protect World Heritage Sites from harmful influences. It represents a zone that, in itself, is neither of outstanding universal value nor a formal component of World Heritage Sites, but that may influence a World Heritage Site. This tool needs “(...) to be understood not only as added layers of protection but also as planning tools to enhance mutual benefits for local and other concerned communities and for the heritage itself” (UNESCO 2015a, p. 3).

Recognizing the importance of the environment surrounding the heritage sites is an important measure which allows the definition of a suitable perimeter as well as the listing of required protective procedures for the buffer zone (Martin & Piatti 2008). It should be recognised by States Parties that achieving a model of sustainable development in World Heritage Sites will require acting at a scale that is much larger than the site itself. For that reason, the potential of buffer zones (and other similar tools) should be fully harnessed (UNESCO 2015a).

The definition of a Buffer Zone must be intrinsically related with the need to regulate undesired influences that might affect the OUV of a heritage site. The existence of a Buffer Zone will help State Parties protect the nominated property from unwelcomed development pressures planned for adjacent territories which might have a negative effect on the OUV of an inscribed site. The discussion on the purpose of a buffer zone should be made in accordance and directly linked with site management. And it also needs to be linked to practical and well rooted measures of heritage protection (Martin & Piatti 2008).

The area constituting the Buffer Zone should be determined in each case through technical studies, detailing the size and the characteristics of the area, and maps indicating its precise boundaries should be provided in the nomination files of a site.

For this tool to be effective, it is important to have a well formulated Statement of Outstanding Universal Value (concept developed above on 2.2). The authenticity of the attributes listed by UNESCO and the integrity of the site and its surroundings must be well understood and the fact that the Outstanding Universal Values are extended into the heritage site surrounding areas should be acknowledged, along with the fact that the Buffer Zone will only enhance the OUV status (Martin & Piatti 2008).

## 2.5 The World Heritage Asset: Protection, Conservation and Challenges

### **HERITAGE PROTECTION, CONSERVATION AND REQUALIFICATION**

As Wang (2012, p. 40) states historical “(...) urban areas are the memory of a city, and the overall landscape they constitute displays the typical scene of a city in a certain historical period. Thus, they are of value for protection.”

Adopting proper methods for protecting historical urban areas is of the utmost concern, since historical urban areas are key elements in the protection of the history and culture of a city. Their protection does not only involve proper planning, but also an equally complex endeavour. For this reason, the methods and policies for the protection of historical urban areas should be given special attention.

The protection of historical urban areas includes protecting the exterior appearance, transforming the interior of buildings to meet modern people’s needs, and improving local infrastructure and environment by taking gradual steps. In this process, the local government should play a leading role and involve the participation of residents. The protection of historical urban areas should not be confused with the development of real estate, and the profits of investments should not be the major concern.

Aside from the physical structures, the culture and cultural diversity in historical urban areas should be protected as well. In other words, their functions should not be undermined, and the living environment should be improved, since it is an essential part of historical urban areas (Wang 2012).

Conservation is a major concern when talking about Heritage and Management. It may be seen as the retention of existing buildings without altering or destroying character or detail, even though repairs or changes may be necessary (Azizi et al. 2016). Conservation of historic buildings is simultaneously vulnerable to the preservation of as much original fabric as possible, and to distinguish new additions and changes from the originally existing structure. Conservation allows considerable interventions to be made, on the condition that changes done are of architectural and historic interest that enhance and respect the existing building character. It is a process that leads to prolonging the life of the

buildings and its utilisation (Azizi et al. 2016). Conservation is the only way future generations will enjoy heritage resources.

Requalification entails all actions that prevent decay. It includes management of change and presentation of the object. A proper requalification process must have its objective properly defined before it is made into action, and a set of values (social, cultural, emotional, etc.) must be settled in advance.

For a sustainable approach to heritage requalification it is important to:

- Use non-destructive techniques when making an analysis of the structure since they enable broad overview to be taken relatively quickly and limit the need for opening up. Examples of these techniques include radar, thermography, radiography, and ultrasound;
- Minimize the scale of unforeseen works as the more problems unknown, the more costs there is probably to exist;
- Base decisions of repair or alteration of old structures on an understanding of its original form, its construction and subsequent evolution;
- Examine geological maps, construction drawings and records of any work carried out to a heritage structure since the more that the advisory engineers know the basic structural systems in the existing building, the earlier decisions about such issues can be addressed in the design process;
- Search for elegant solutions to the constructive and structural problems caused by changes in use, changes in architectural design, or changes in the mechanical plan;
- Carefully examine the building can determine the most effective locations of any necessary opening-up, which has to be sufficient to enable the professional advisors to: (i) have sufficient information to proceed with the work with minimal cost risks as a result of unforeseen problems; (ii) and to ensure that they do not expose themselves to legal risk upon the work has been completed (e.g. damp-stained patch on a ceiling, mould growth behind a downpipe, significant cracks, etc.);
- Study the effects of vibrations (such as cars passing by) and the danger of fire is a major priority because fire means the loss of authentic fabric and content of a building.

Figure 1 shows the main participants and requirements to fulfil the steps of a conservation process

When talking about the requalification of a building, it is important to bear in mind that actions of ‘filling the gaps’ are always a more sustainable alternative, rather than a ‘removal approach’. This last approach is mostly irreversible and will damage the original beauty of the building, its ‘historicity’. On the other hands, the process of filling the gap may be reversible, re-workable or even removable, allowing for an intervention work to be corrected or perfected later on. Therefore, the removal approach is viewed as an ‘exceptional’ and potentially risky operation to the sustainability of built heritage sites (Carbonara 2012).

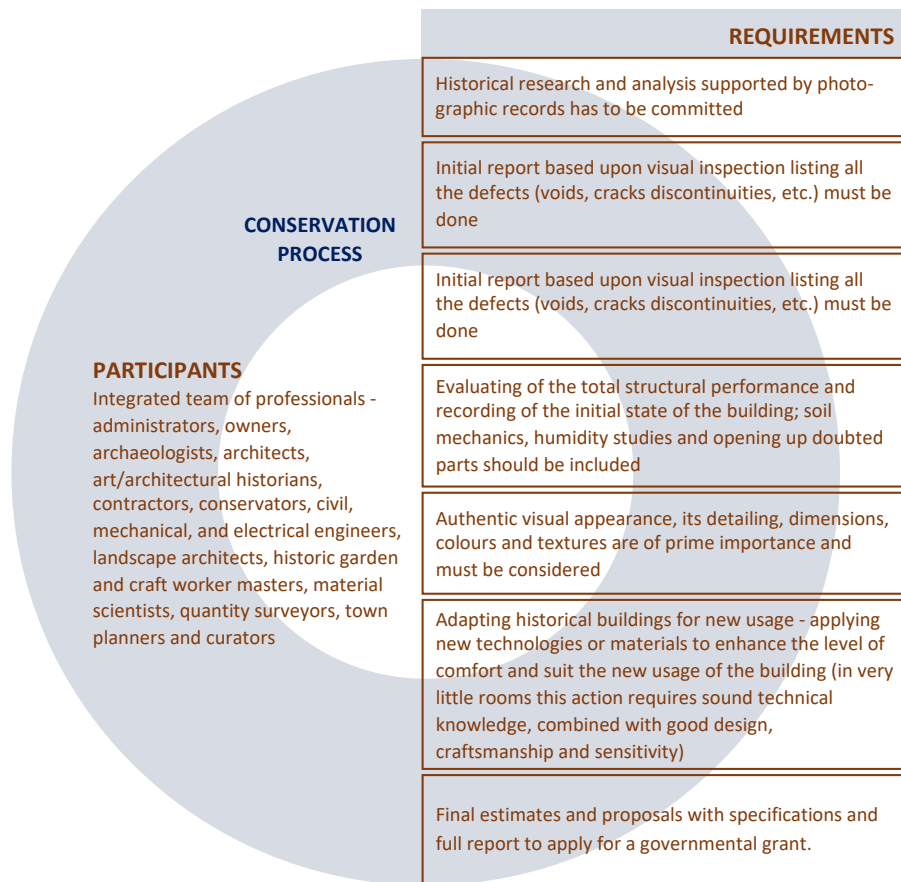


Figure 1. Conservation process: main participants and requirements | Adapted from: Hegazy (2014)

### CHALLENGES TO HERITAGE AND MANAGEMENT

It is the community members who live, work or visit the site on a daily basis that are the most responsible for the Heritage regular maintenance. Local communities are the key-actors that enable sustainable grassroots conservation against disruptive activities (Miyazaki 2018).

ICOMOS (2011) presents the reasons for some of these disruptive activities towards historical landscapes in Figure 2.



Figure 2. Reason for disruptive activities | Adapted from ICOMOS (2011)

Inadequate public education translates into a lack of awareness of the population to the importance of protecting World Heritage Sites, which in turn facilitates destructive development activities and, consequently, facilitated impacts. These facilitated impacts correspond to further destructive actions which are made possible or facilitated by previous inadequate development (ICOMOS 2011).

It is also very important to avoid direct or indirect impacts made by the construction of services or infrastructure with the aim of modernizing historical centres. In a sustainable approach to heritage and management, Heritage Management should be made considering the constant balance between the need for development and the need for preservation (ICOMOS 2011). Various approaches to conservation are applied in the contest of different cultural and social groups, with opposing philosophies. On one side the developer views a property as an opportunity to be exploited. On the other side, the preserver views the building as an inheritance to be safeguarded. This results in a balance of subjective judgment that must be handed carefully (Azizi et al. 2016).

Climate Change is another major challenge whose impact in the Heritage can create irreparable consequences. With the growth of natural disaster events, buildings will be more exposed to extreme climatic incidents such as drought, floods and fires, which can translate into severe damage (Gulotta & Toriolo 2019).

The lack of personnel trained in preventive conservation, as well as educational training for new expertise and skills are among other problems associated with historic buildings. As a result, conservation of such historic buildings is discouraged by the lack of manpower to facilitate good maintenance.

One of the strategies for dealing with all these risks is the elaboration of a juridical and legislative framework that can be used as a form of protection of the Cultural and Material Patrimony (Shalaginova 2008).



### 3. BASIC PRINCIPLES FOR PLANNING AND ACTION

One of the first tasks of the elaboration of Management and Sustainability Plans for Urban World Heritage Sites is the definition of its general methodological context.

Looking at the literature on planning, the need to an integrated, sustainable and participatory approach, based on the construction of a Vision for the World Heritage Site must be stressed.

In this sense, incorporating a strategic perspective of planning is about constructing “challenging, coherent, and coordinated visions, to frame an integrated long-term spatial logic (for land-use regulation, resource protection, sustainable development and spatial quality)” (Albrechts & Balducci 2013).

It is meant, by **basic principles for planning and action**, both a set of values and agendas that can inspire the plans and the institutional and implementational frameworks to be put in place at the same time (Watson 2016). In a very general way, it can be said that the definition of a Vision for the World Heritage Site (WHS) must integrate the following concerns:

1. Protecting Outstanding Universal Value, adopting a ‘value-led’ approach to conservation;
2. Taking into account a Sustainable Development Perspective;
3. Developing an integrated approach.

As it was developed in the previous chapter, the first objective of management plans for WHS is to protect their Outstanding Universal Value (OUV). “Managing Cultural World Heritage” (2013), a resource manual by UNESCO, ICCROM, ICOMOS, and IUCN, distinguishes between ‘conventional’ and ‘value-led’ approaches to conservation. The former, streaming from the Venice Charter (ICOMOS 1964), focuses on “conserving the physical fabric and materials of a monument or site, usually under the leadership of conservation experts”; while the latter “promotes conservation and management based on values ascribed to the property by all stakeholders, not just experts” (Cameron & Rössler 2018, p. 10).

Although OUV was highlighted from the very beginning, it was during the 1990s that general guidelines settled unequivocally on a value-based approach to the management of heritage sites (see UNESCO 2013a, p. 2). UNESCO’s Operational Guidelines determine that plans and management systems must explain how OUV should be preserved, underline the need for an integrated approach characterized by flexibility, and the need to look beyond OUV to include other (local, regional, national) values and dimensions, and an understanding of the broader context of a management plan.

Accordingly, a **Vision** for the World Heritage Site must establish a clear link between the definition and protection of the universal value of the WHS and its specific context of development. This very general idea is proposed in a policy document (UNESCO, 2015a) aiming at ensuring policy coherence with the UN sustainable development agenda. It states that in “the current context of changing

demographics and climate, growing inequalities, diminishing resources, and growing threats to heritage, the need has become apparent to view conservation objectives, including those promoted by the World Heritage Convention, within a broader range of economic, social and environmental values and needs encompassed in the sustainable development concept.” (UNESCO, 2015a, p. 1)

The document identifies four main dimensions of sustainable development, as follows:

- Environmental Sustainability
- Protecting biological and cultural diversity and ecosystem services and benefits
- Strengthening resilience to natural hazards and climate change
- Inclusive Social Development
- Contributing to inclusion and equity
- Enhancing quality of life and well-being
- Respecting, protecting and promoting human rights
- Respecting, consulting and involving indigenous peoples and local communities
- Achieving gender equality
- Inclusive Economic Development
- Ensuring growth, employment, income and livelihoods
- Promoting economic investment and quality tourism
- Strengthening capacity-building, innovation and local entrepreneurship
- Fostering Security and Peace
- The acknowledgement of different cultural identities, cultural diversity, within and around World Heritage Sites

There are close links between the UNESCO’s document and the debate UN Sustainable Development Goals and on the UN Habitat’s New Urban Agenda. UN Habitat’s New Urban Agenda (United Nations 2017) defines a “shared vision of cities and human settlements” that:

- a) Fulfil their social function, including the social and ecological function of land;
- b) Are participatory, promote civic engagement, engender a sense of belonging and ownership among all their inhabitants;
- c) Achieve gender equality;
- d) Meet the challenges and opportunities of present and future sustained, inclusive and sustainable economic growth;
- e) Fulfil their territorial functions across administrative boundaries;
- f) Promote age and gender-responsive planning and investment for sustainable, safe and accessible urban mobility for all;
- g) Adopt and implement disaster risk reduction and management, reduce vulnerability;
- h) Protect, conserve, restore and promote their ecosystems, water, natural habitats and biodiversity.

This perspective follows the 2030 Agenda for Sustainable Development Goals, stressing the importance of cities in sustainable development and the importance of planning in achieving those goals.

Sustainable Development Goal 11 is titled Sustainable Cities and Communities. It aims at making “cities and human settlements inclusive, safe, resilient and sustainable”, defining specific targets to be reached by 2030, including a specific target to “protect and safeguard the world’s cultural and natural heritage”.

Those targets refer to different topics to be addressed (for example, “adequate, safe and affordable housing and basic services”; “safe, affordable, accessible and sustainable transport systems”; “inclusive and accessible, green and public spaces”, “integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters”).

UN targets refer also to general principles to be adopted in dealing with those proposed topics. Formulating principles of cities for all, they also refer to distributional issues: the special attention to be given to the needs of specific social groups (the poor, those in vulnerable situations, women, children, persons with disabilities, older persons). It is about the recognition of the values and criteria that must guide the action: for example, inclusion, diversity, or justice.

The consideration of values and the recognition of the different social groups involved can bridge the various development topics. In this sense, an integrated development perspective not only considers the different dimensions of sustainable development as is able to perceive the main (critical) links between them.

In conclusion, the methodology of Management and Sustainability Plans, based on a Vision for the World Heritage Site, must:

- Place heritage and protection concern in a broader development framework (see, for example, the UNESCO Recommendation on the Historic Urban Landscape),
- Specify the main qualities of place to be developed and understand the main topics and dimension to be addressed in order to safeguard or build those qualities; and
- Affirm the general criteria/values to be adopted in action.

As mentioned before, this task also requires an adequate institutional and implementational framework. UNESCO provides an extensive list of recommendations regarding the purpose, role, and content of management plans (UNESCO et al. 2013, p.122-145). Key elements of an effective management plan according to UNESCO Operational Guidelines (UNESCO 2005, p.26) are:

- a) A thorough shared understanding of the property by all stakeholders;
- b) A cycle of planning, implementation, monitoring, evaluation and feedback;
- c) The involvement of partners and stakeholders;
- d) The allocation of necessary resources;
- e) Capacity building; and
- f) An accountable, transparent description of how the management system functions.



## 4. MAIN STRATEGIC FIELDS AND GUIDELINES FOR ACTION

This chapter will present the main strategic orientations to be developed in relation with the following main strategic fields: (i) Tangible Cultural Heritage, (ii) Planning and Legislative Instruments, (iii) Population and Housing, (iv) Tourism, Culture and Economy, and (v) Capacity Building and Community Engagement. For each topic, the main problematics are explored, and a set of strategic objectives is proposed (see a synthesis at the end of this introduction in Table 1), along with the respective measures and potential actions. For each strategic field, some examples of best practices and of monitoring indicators, related with specific strategic objectives, are also presented.

The choice for these five main strategic fields has, as a starting point, the results of the previous studies developed by Santiago de Compostela in 2018, and the City of Florence in 2019. Respectively, the “Diagnosis study of urban World Heritage Sites in the Atlantic Common Challenges” (AtlaS-WH 2018), and the “Thematic Study on Common Challenges” (AtlaS-WH 2019). These studies pay special attention to the importance of issues related to governance, tourism and population, which serve as an evidence for the need to answer to the strategic challenges explored in the “Capacity Building and Community Engagement”, “Tourism, Culture and Economy” and “Population and Housing” strategic fields.

The selection of the main strategic fields looks to answer to a group of principles and fundamental options in accordance with the foregoing chapter. In first place, it highlights the need to secure a value-based and integrated approach, for the protection and the development of World Heritage Sites, which has direct implications in strategic options related both with the importance of the heritage values (Strategic Field “Tangible Cultural Heritage”), and with the potential relevance of local dynamics with cultural and economic character (Strategic Field “Tourism, Culture and Economy”), or, yet, with a demographic and housing character (Strategic Field “Population and Housing”).

On the other side, the relationship of that perspective with sustainability challenges, due to the strong support of UNESCO to the 2030 Agenda for Sustainable Development (with its 17 Development Goals), reinforces the nature of the strategic fields previously presented and the responsibility of the various policy and planning instruments, as well as those with a legislative character (Strategic Field “Planning and Legislative Instruments”), and it implies the necessary and strong mobilization of concepts and instruments explored in the “Capacity Building and Community Engagement” strategic field.

Finally, it is important to enhance that the configuration and organization of the different strategic fields isn’t limited to the ones presented in here. The importance of incorporating additional strategic fields, properly adapted to the specific contexts and challenges present in the various World Heritage Sites is also considered. It is up to the Management Plan of each WHS to define the most appropriate composition.

**Table 1. Synthesis of the strategic objectives related to each Strategic Field.**

STRATEGIC FIELD		STRATEGIC OBJECTIVES
<b>4.1</b> Tangible Cultural Heritage (pp. 29 – 36)		Disseminate and retain knowledge and respect for the cultural heritage through activities that help avoid negative impacts in WHS.
		Promote an integrated approach to cultural heritage that build social capital and contribute to social cohesion in WHS.
		Protect, individually or collectively, through the use of proper methods, the components of the WHS, in conformity with the competence and the legal procedures of each country.
		Heritage management should be made considering the constant balance between the need for development and the need for preservation.
		Member states should cooperate regarding the protection, conservation and presentation of the cultural heritage.
<b>4.2</b> Planning and Legislative Instruments (pp. 41 – 44)		Strengthen the link between the strategies contained in different types of policy and planning instruments focusing on the WHS and surrounding areas, and the values of the WHS.
		Develop mechanisms for overcoming tensions/conflicts associated with the action of different types of strategies in the WHS.
		Promote and ensure the importance of legislative instruments in WHS and surrounding areas.
<b>4.3</b> Population and Housing (pp. 52 – 55)		Securing the residential function of WH sites.
		Maintaining local residents in place.
		Promoting differentiated housing forms.
		Promoting community and social development.
<b>4.4</b> Tourism, Culture and Economy	Tourism (pp. 62 – 66)	Managing visitor numbers and minimizing negative effects / impacts of tourism.
		Maximizing the benefits of tourism for local communities by developing a sustainable destination.
		Promoting an outstanding tourist experience.
		Stimulating the development of sustainable tourism products and services.
		Stakeholder engagement and participation.
	Culture and Economy (pp. 70 – 71)	Promote and expand cultural and creative activities.
		Promote culture and art.
		Encourage tradition, authenticity and integrity through research, innovation and sustainability.
<b>4.5</b> Community Engagement and Capacity Building	Participatory Governance (pp. 88 – 89)	Harness the perspective of local communities.
		Collaborate with local agents on a vision for the future.
	Local Adaptive Capacity (pp. 90 – 91)	Build local capacity for emergency response.
		Support citizen groups involved in community resilience.
	Heritage Nurtured by a Sense of Place (pp. 92 – 93)	Nurture local communities as stewards of local knowledge and heritage.
		Encourage local agents in the protection, determination, diffusion and generation of heritage values.

## 4.1. Tangible Cultural Heritage

### HERITAGE PRESENTATION

A more recent notion emerged from reflection on the link between heritage value and communities' knowledge – Heritage Presentation. It can be described as a communication process that aims at building a bridge between the significance of a heritage site and the local communities. The goal of promoting a proper Heritage Presentation is to increase public awareness, enhance understanding and acquire public support by the public in the activities aimed at the heritage management and preservation.

Heritage Presentation includes interpretative activities and public activities directed at raising awareness of a site and its significance – activities that will help disseminate knowledge about Heritage Importance and help avoid the negative destructive impacts described above (Shalaginova 2008).

The ICOMOS principles of Heritage Presentation are:

- Respect for the Audience – Information must be relevant, entertaining and diverse;
- Impartiality and Objectivity – Well-researched, contextualized;
- Duty of Care – Sustainable (use of materials and techniques);
- Avoiding potential or apparent conflict of interest – Inclusive, Sensitive (ICOMOS 2008).

### HERITAGE AND PARTICIPATION

The Heritage Sector should not produce benefits only from communities but should gain the support of this same communities in recognition of the meaningful contribution that heritage can play. There must be a shift in the way the heritage sector manages to become more significant.

The World Heritage Capacity Building Strategy (UNESCO 2011a) identifies specific groups of people that can better contribute if they see their capacities developed:

- Practitioners of heritage management and conservation (such as architects, scientists and conservationists, among others);
- Institutions (decisions and policy makers);
- Communities in already established networks.

All of these groups bring capacities and can gain benefits from their contribution to heritage conservation. A shift from the care of physical heritage alone to the pursuit of well-being of both heritage and society as a whole, taking into consideration aspects such as the environment, society and economy, translates into a sustainable way of managing heritage sites (Court & Wijesuriya 2015).

In terms of conservation, the engagement of the community members in the participatory conservation process of cultural heritage represents an interdisciplinary and blended approach of social science, art and scientific research (Spiridon & Sandu 2015).

Participatory conservation includes a series of activities such as informing, listening, understanding, consulting, involving, collaborating and empowering which help to:

- Facilitate dialogue between all actors;
- Mobilise and validate popular knowledge and skills;
- Apply and adapt the science; and
- Support communities and their institutions to manage and control resource use.

As well as this, it seeks to achieve sustainability, economic equity, social typology, justice and the preservation of cultural integrity (Bass et al. 1995; Brown 1999; Negri 2009).



Figure 3. The participatory conservation process | Adapted from: Court and Wijesuriya (2015)

### HERITAGE, SUSTAINABILITY AND EFFICIENCY

Sustainability in heritage cases means more than just preserving natural resources or saving energy towards safeguarding the future. The preservation of heritage values is an essential part of heritage sustainability, and it showcases per excellence the protection of human values and the meaning of life, by conserving models of life as proper examples of development. In relation with heritage, sustainability should be deeper than an economic, environmental and social balance. It means to conserve the connection of a place with its past and the values represented in a heritage site. A possible methodology for delivering this heritage value of connection with the past and a role model of development should have at its core the need to:

- Re-examine modernity in its obsession towards pointless growth (incentives to discourses of recycling, reusing and reducing);
- Re-consider degrowth as a sustainable solution for heritage sites;
- Re-assess a “glocality” (global + local) approach in favour of globalism (support of local businesses and materials).

Another question related with sustainability is the lack of resources available for heritage intervention and the consequent need for highly efficient approaches to conservation. A reassessment on the way



intervention and maintenance strategies are applied by the main actors involved in the safeguard, decision-making, management and planning phases of conservation should be made. Thus, a higher efficiency passes through the following considerations (Ganiatsas 2011):

- The use of cost-effective restoration materials;
- The use of procedures respectful of the environment and of the operators using them;
- The implementation of strategies to grant durability of the conservation solutions and the optimization of resource management;

Regarding efficiency on tangible heritage related processes, two key ideas must be settled down:

- a) A close collaboration on heritage projects;
- b) An efficient diagnostic of the heritage structures.

The close collaboration between all actors “(...) related with the heritage project (architects, conservators, and conservation scientists) are necessary to meet the conservation goals and contribute to the overall sustainability of the process” (Gulotta & Toriolo 2019). More, for the efficient diagnostic of the heritage structures, a setup of guidelines for the different conservation phases must be elaborated, concerning:

- Cleaning, consolidation, gluing, sealing and re-jointing, and protection;
- Thorough knowledge of the features of the site;
- Reliable evaluation of the materials and methodologies;
- Efficient control during execution;
- Assessment and monitoring.

## STRATEGIC OBJECTIVES, MEASURES AND GUIDELINES FOR ACTION

**Strategic Objective 1** | *Disseminate and retain knowledge and respect for the cultural heritage through activities that help avoid negative impacts in WHS.*

In WHS is essential to create bridges between all stakeholders, increasing the communication processes, reinforcing the public support and enhancing the diversity in place. This connection should be made in a sustainable way to promote the dissemination of knowledge, ensuring the mutual respect between all parties involved.

### **Architectural Prize João de Almada, Porto (Portugal)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 18.

### Heritage Conservation Projects, Serra da Capivara (Brazil)

“The development and implementation of educational programmes have been critical for promoting awareness of the symbolic value the site. Other programmes such as training for craftwork production (such as pottery) and the sites results is complex. Bringing together host communities and their heritage sites demands appropriate capacity building for ensuring economic or financial activities and community benefits. It includes developing tourism infrastructure, upskilling for integrated local area planning and investment in small-scale local enterprises that benefit both the heritage site conservation and local populations. Construction work related to heritage sites and its conservation has created jobs for a local population that had no income and allowed their integration into the conservation of heritage resources.”

(Galla 2012, p. 309)

### Strategic Objective 2 | *Promote an integrated approach to cultural heritage that build social capital and contribute to social cohesion in WHS.*

The conservation of WHS and its surroundings involves inclusive and sensitive approaches that promote a switch between the physical care alone to an integrated development along with the entire community and their activities. The integrated approach to WHS conservation must follow a sustainable mindset and promote the quality of life.

Specialized public services must be set to ensure an efficient conservation, sharing expert and traditional knowledge and promoting the collaboration and integration of multi-level entities. This collaboration should be achieved while avoiding any conflict of interests.

### Integrated Action Plan for Santa Clara, Porto (Portugal)

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 18.

### Renewable traditions: stories, skills, energy, provenance (Carlisle, England)

“We wanted in one project to demonstrate that historic buildings and traditional practices are socially relevant, economically viable and environmentally sustainable. Most surviving water-powered corn mills (if machinery survives) are museums but we wanted to show there is a market for traditional food and centuries-old production skills. We wanted to overcome ‘silo’ barriers that exist between mainstream business and food provenance as part of society’s conscience about environmental sustainability – to make the project ‘open access’ to education, learning, community engagement and renewable energy. The mill will be commissioned in the autumn and open for business later in 2019, creating much-valued employment and volunteering opportunities and will include stoneground flours, bread products, courses in traditional breadmaking, heritage and renewable energy engineering, and local history. All this has become possible because of the methodology: *take time to understand the heritage asset, formulate a well thought-through business plan, for people to be able to see what you see and feel involved rather than just informed, and to find ways in which the project happens with them, not for them.*”

(<https://www.coe.int/en/web/culture-and-heritage/-/renewable-traditions-stories-skills-energy-provenance>)

**Strategic Objective 3** | *Protect, individually or collectively, through the use of proper methods, the components of the WHS, in conformity with the competence and the legal procedures of each country.*

Integration of ethics is an essential part of WHS conservation, restauration and requalification measures. To reach these proposes suitable methodologies should be developed through efficient approaches with the aim of ensuring the constant adaptation of the WHS to current needs.

The protective measures should be enforced to all stakeholders, adapted to the capacity of each state and include all the responsible authorities.

**Fine Arts and Ethnographical trades and fairs Programme, Vilnius (Lithuania)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled 'Thematic study on common challenges', p. 87.

**Québec Heritage Building intervention and revitalization programme 'Maître D'oeuvre' (Canada)**

"Heritage Building Intervention and Revitalization Program 'Maître D'oeuvre' is an incentive cost-sharing programme aimed at private owners, which seeks to safeguard and enhance the architectural heritage of the city's historic areas. In addition to the World Heritage Site of Old Québec (the city's historic centre), the long-term programme also covers three heritage districts (Beauport, Charlesbourg and Sillery) and the Maison-Gomin and Côte- des-Érables heritage sites. The participation of private owners in the process promotes appropriation and respect of the city's architectural heritage by its day-to-day users. The programme has a positive impact by enabling citizens to be directly involved in safeguarding heritage and by strengthening their pride in their city, its built heritage and its history."

(AtlaS-WH 2019, p. 103)

**Strategic Objective 4** | *Heritage management should be made considering the constant balance between the need for development and the need for preservation.*

The integrated approach ensures the conservation of traditional aesthetic and historical values of built heritage while promoting and supporting the development of local populations. This approach should include sustainable procedures, using the local resources to involve the local population in heritage management.

**Tropa Verde Project, Santiago de Compostela (Spain)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled 'Thematic study on common challenges', p. 99.

**Bordeaux 'Negotiated Urbanism' (France)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled 'Thematic study on common challenges', p. 55.

### **Salt Valley of Añana, Basque Country (Spain)**

“The decline in production during the 20th century led to the deterioration of the cultural landscape. But the valley is now the centre of an ambitious comprehensive recovery project that includes not only the landscape, but also the architecture, and the salt industry and its traditions. The aims have been to *preserve the distinctive material culture of the landscape to ensure its sustainability; to continue producing high-quality Añana Salt, using traditional techniques, maintaining the ancient "know how" of the salt workers; and not least, making the project self-financing through an effective sales policy.*

This project affects not only the landscape of an entire valley but also the economic life of its inhabitants, signifying the recovery of an industry that has been in business from remote times until very recently. The export of the salt produced makes the Valley known in the most prestigious kitchens of not just the Basque Country but internationally. The skilled employment of restoration techniques, particularly in timber, was commented on.”

(<https://www.coe.int/en/web/culture-and-heritage/-/salt-valley-of-anana-basque-country>)

**Strategic Objective 5 | Member states should cooperate regarding the protection, conservation and presentation of the cultural heritage.**

The concept of WHS is transversal to every member state. Therefore, it is of the upmost concern to encourage and establish an international network that stimulates the sharing of information related to cultural heritage and its protection, conservation and presentation. The network should allow different member states to seek assistance for the solving of common challenges and disseminate the gathered knowledge between multi-actors from different institutional levels.

### **Developing Historic Cities: Keys for understanding and taking action (Coordinated by Lyon, France)**

“In light of the international community's responsibility on the protection of Heritage Sites, the Organization of World Heritage Cities and its partners has developed a process for exchanging and sharing information called ‘Developing historic cities, keys to understanding and taking action’. The Compilation of Case Studies (2008-2009 and 2010-2012) was conducted through a network of historic cities and actors involved in heritage preservation and management. It ends with a collection of data related to practices and concrete achievements and proposes both a method and a model for making the most of local experiences. The Compilation of Case Studies is ultimately intended to foster a dynamic of exchange and cooperation between cities, in order to assist the design and development of operational projects.”

(Tournoux 2014, p. 17-23)

The examples of the monitoring indicators of this strategic field were based on City Council of Porto (2010), City of Edinburgh Council (2017), Comune di Firenze (2016), Jerliu (2016) and UNESCO (2015b).

**STRATEGIC OBJECTIVE 1 | Disseminate and retain knowledge and respect for the cultural heritage through activities that help avoid negative impacts in WHS.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>I.</b> Increase public awareness and understanding of a heritage site and public support in the management and preservation activities.</p>	<p>a) Undertake educational and informative campaigns, by Member States, to arouse widespread public interest in cultural heritage, respecting and protecting it (e.g. World Heritage in Young Hands Kit).</p>	<p>a) Number of municipalities using the World Heritage in Young Hands Kit. b) Number of Youth Forums organised in WHS. c) Number of educational programmes or initiatives with young people.</p>
<p><b>II.</b> Increase communication processes.</p>	<p>a) Take decisions related to the heritage project in a clear, transparent and practicable way by every stakeholder. b) Provide proper evidence for the decisions taken. c) Collect the information obtained by surveys aiming the cultural heritage in a suitable form and regularly brought up to date.</p>	<p>a) Number of public stakeholder decisions taken in heritage projects. b) Number of participants in surveys aiming cultural heritage.</p>
<p><b>III.</b> Knowledge dissemination activities must have respect for the audience and its related research must consider the duty of care, by undertaking a sustainable approach.</p>	<p>a) Disseminate and maintain information in a relevant, entertaining and diverse way. b) Organize regular knowledge dissemination activities (e.g. courses, lectures, seminars) on heritage related thematic at multi-level educational establishments. c) Explain the work carried out on components of the cultural heritage scheduled for rehabilitation through cultural centres or museums. d) Emphasize, trough research made for knowledge dissemination activities, the importance of the use of local materials and local techniques in restoration processes.</p>	<p>a) Number of training programmes implemented and their participants.</p>
<p><b>IV.</b> Cultural diversity in WHS should be protected.</p>	<p>a) Set a body of values and reaffirm already existing ones (social, cultural, emotional...) associated with the heritage protection before any intervention.</p>	<p>a) Published works that set out the WHS values.</p>

KEYWORDS: TRANSPARENCY • RELEVANCE • INCLUSION

**STRATEGIC OBJECTIVE 2 | Promote an integrated approach to cultural heritage that build social capital and contribute to social cohesion in WHS.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>I.</b> Heritage conservation processes must be inclusive and sensitive to its surroundings, avoiding any potential or apparent conflict of interests.</p>	<p>a) Set-up voluntary organizations staffed by multi-level authorities and other tourism and heritage-oriented entities to encourage their interaction and make full use of their powers regarding heritage protection, affording them support and funds.</p> <p>b) Conduct visits to, and guided tours of different items of the cultural heritage for their members, by the organizations.</p>	<p>a) Number of voluntary organisations that have been set-up.</p> <p>b) Number of authorities and entities involved in the voluntary organisations.</p> <p>c) Variety of authorities and entities involved in the voluntary organisations.</p> <p>d) Frequency of the conducted visits.</p> <p>e) Number of participants on visits.</p> <p>f) Diversity of visitors' commitment with heritage.</p>
<p><b>II.</b> A shift from the care of physical heritage alone to the pursuit of well-being of both heritage and society as a whole, taking into consideration sustainability aspects and the sense of place.</p>	<p>a) Engage the representative residents and local authorities of the rehabilitation area under consideration.</p>	<p>a) Number of architectural complexes with historic parks and gardens.</p> <p>b) Quality of urban cleanliness.</p> <p>c) Number of elements of urban furniture and components.</p>
<p><b>III.</b> Member States should set up in their territory specialized public services and measures responsible for the efficient conservation of heritage sites, considering them as an active factor in the life of the community.</p>	<p>a) Compile an inventory of the cultural heritage and establishing appropriate documentation services.</p> <p>b) Train and recruit scientific, technical and administrative staff as required, responsible for working out identification, protection, conservation and integration programs and directing their execution.</p> <p>c) Organize close cooperation among specialists of various disciplines to study the technical conservation problems of the cultural heritage.</p> <p>d) Use or create laboratories for the study of the scientific problems arising in connection with the conservation of the cultural heritage.</p>	<p>a) Number of training programmes.</p> <p>b) Number of trainees concerning heritage programs and its focus.</p> <p>c) Number of cooperations among experts.</p> <p>d) Variety of disciplines integrated in technical conservation teams.</p> <p>e) Number of qualified laboratories available for the study of Cultural Heritage conservation.</p>

**KEYWORDS: COOPERATION • CONSULTATION • SUPPORT • ACCOUNTABILITY**

**STRATEGIC OBJECTIVE 2 (cont.) | Promote an integrated approach to cultural heritage that build social capital and contribute to social cohesion in WHS.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>IV.</b> The specialized services should work with bodies of experts, responsible for giving advice on the preparation of measures relating to the cultural heritage, as well as with traditional knowledge.</p>	<p>a) Carry out work by specialized services and authorities dealing with the protection, conservation and presentation of the cultural heritage, and local communities in liaison and on an equal footing with other public services, more particularly those responsible for sustainable urban development.</p> <p>b) Draw up tourism development programs involving cultural heritage so as not to impair the intrinsic character and importance of that heritage.</p>	<p>a) Number of works being carried out.</p> <p>b) Type of works being carried out.</p> <p>c) Number of community members involved.</p> <p>d) Number of specialized services and authorities dealing with cultural heritage.</p> <p>e) Variety of specialized services and authorities dealing with cultural heritage.</p> <p>f) Number of development programs involving cultural heritage.</p> <p>g) Number of cooperations between specialized services, bodies of experts and holders of traditional knowledge.</p>
<p><b>V.</b> Multi-level entities should provide for an integrated approach on planning from the start of the studies and develop strategies for the settlement of conflicts.</p>	<p>a) Organize a continued cooperation at all levels among the specialized services, whenever large-scale projects are involved.</p> <p>b) Make appropriate coordinating arrangements so that decisions may be taken in concert accounting for the various interests involved.</p> <p>c) Divide the responsibilities in all matters concerning the devising and execution of protective measures among the multi-level authorities on the basis of a judicious balance adapted to each State.</p>	<p>a) Scope of the cooperations among the specialized services in large scale projects.</p> <p>b) Entities' levels involved in the cooperation processes.</p>

**KEYWORDS: COOPERATION • CONSULTATION • SUPPORT • ACCOUNTABILITY**

**STRATEGIC OBJECTIVE 3 | Protect, individually or collectively, through the use of proper methods, the components of the WHS, in conformity with the competence and the legal procedures of each country.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>I.</b> Ethics should be present in every option (what we choose to do and what we choose not to do), duties (what we must do) and constraints (what we cannot do).</p>	<p>a) Integrate ethical values into heritage and its management through:</p> <ul style="list-style-type: none"> <li>– The measurement of values at a personal and professional level;</li> <li>– The definition of a set of guidelines for personnel behaviour;</li> <li>– The decision-making process on a predefined ethic basis.</li> <li>– The affirmation of already existing ethical values that present a benefit for WHSs.</li> </ul>	<p>a) Number of seminars conducted regarding ethic values in heritage and its management.</p> <p>b) Number of technicians and decision-makers attending seminars.</p> <p>c) Number of published works with guidelines for ethics and/or personnel behaviour.</p>
<p><b>II.</b> Develop suitable methodologies for the protecting, conserving, restoring and requalifying of WHS, through the use of highly efficient approaches and elaboration of guidelines to the different phases of conservation, restauration and requalification processes.</p>	<p>a) Protect the exterior appearance and improve local infrastructure and environment through gradual steps.</p> <p>b) Define proper requalification processes objectives before any action is made, considering and reporting the history, structure evolution, design characteristics and defects of the building; search for elegant solutions to the structural problems caused by use, architecture and mechanical changes; and examine geological maps, drawings of construction and records of any work carried out to a heritage structure to minimize the scale of unforeseen works and costs.</p> <p>c) Use non-destructive techniques (e.g. radar, thermography, radiography, ultrasound) allowing for a broad overview to be taken to a building without the need of opening it up, when making an analysis and evaluating the performance of the structure.</p> <p>d) Use of cost-effective restoration materials.</p> <p>e) Use procedures respectful of the environment and of the operators involved in the conservation processes.</p> <p>f) Implement strategies to grant durability to the conservation solutions and the optimization of resource management.</p> <p>g) Execute the conservation processes of cleaning, consolidation, gluing, sealing and re-jointing heritage in a sustainable way, ensuring there is a reliable evaluation of the materials and methodologies.</p>	<p>a) Number of buildings of special interest monitored.</p> <p>b) Number of restorations performed.</p> <p>c) Creation and approval of Regulations for Decorum.</p> <p>d) Number of rehabilitated buildings.</p> <p>e) State of conservation of the building ensemble.</p> <p>f) Percentage of area covered by protection mechanisms.</p> <p>g) Number of buildings at risk.</p>

KEYWORDS: ETHICS • PROTECTION • SUSTAINABILITY • ASSESSMENT • COLLABORATION • SUPPORT



**STRATEGIC OBJECTIVE 3 (cont.) | Protect, individually or collectively, through the use of proper methods, the components of the WHS, in conformity with the competence and the legal procedures of each country.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>II.</b> (cont.) Develop suitable methodologies for the protecting, conserving, restoring and requalifying of WHS, through the use of highly efficient approaches and elaboration of guidelines to the different phases of conservation, restauration and requalification processes.</p>	<p>h) Stimulate the collaboration of an integrated team of professionals.            i) Elaborate a full report with the suggested building or area improved conditions and the estimated costs, when dealing with grants for conservation and requalification processes.            j) Investigate effective methods of sustainability and financial support as another layer of protection of WHS against unusually serious dangers that threaten its OUV, such as climate change.</p>	<p>a) Number of buildings of special interest monitored.            b) Number of restorations performed.            c) Creation and approval of Regulations for Decorum.            d) Number of rehabilitated buildings.            e) State of conservation of the building ensemble.            f) Percentage of area covered by protection mechanisms.            g) Number of buildings at risk.</p>
<p><b>III.</b> Adapting urban complexes and historical buildings and transforming them to meet the modern needs.</p>	<p>a) Apply new technologies or materials to enhance the level of comfort and suit the buildings new usage.            b) Use, in small rooms, adaptive actions requiring sound technical knowledge, combined with good design, craftsmanship and sensitivity.            c) Allow for internal alterations to groups of buildings and the installation of modern conveniences provided they do not drastically alter the real characteristic features of ancient dwellings.</p>	<p>a) Inventory of new technologies used for historical buildings conversion.            b) Inventory of adapted buildings.            c) Number of renewed buildings with improved energy label of certification.</p>
<p><b>IV.</b> Enforcement of protective measures, based on integrity, should apply to individual owners and to public authorities when they are the owners of components of the cultural heritage.</p>	<p>a) Allow for the effects of the measures taken to protect any element of the cultural or natural heritage to continue regardless of changes of ownership. If a protected building or natural site is sold, the purchaser should be informed that it is under protection.            b) Apply penalties or administrative sanctions in accordance with the laws and constitutional competence of each State, to anyone who fully destroys, mutilates or defaces a protected monument, group of buildings or site, or one which is of archaeological, historical or artistic interest. In addition, equipment used in illicit excavation might be subject to confiscation.</p>	<p>a) Number of legal documents produced regarding protective measures.            b) Number of legislative instruments that ensure the perpetuation of protective measures as well as the application of penalties and sanctions.            c) Number of penalties and sanctions applied.</p>

KEYWORDS: ETHICS • PROTECTION • SUSTAINABILITY • ASSESSMENT • COLLABORATION • SUPPORT

**STRATEGIC OBJECTIVE 3 (cont.) | Protect, individually or collectively, through the use of proper methods, the components of the WHS, in conformity with the competence and the legal procedures of each country.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>V.</b> The authorities responsible for the protection of the cultural heritage might take steps to expedite the necessary conservation work and all necessary scientific, technical, administrative and financial measures should be taken to ensure the protection of the cultural heritage in their WHS, according to the capacity of each State.</p>	<p>a) Promote financial assistance to the owner of heritage property, by the authorities.</p> <p>b) Allow the authorities to act in the owners' place, executing the necessary works in heritage properties. Authorities should be able to obtain refund of a share of the costs the owner would normally have paid.</p> <p>c) Appropriate central and local authority budgets for the purposes of maintaining, conserving and requalifying heritage sites which are endangered by large-scale public or private works and they are owners.</p> <p>d) Carry out, preferably, the expenditure incurred in protecting, conserving and presenting items of the privately-owned cultural heritage by their owners or users, provided they apply the best artistic and technical conditions for the building upkeep.</p> <p>e) Grant tax concessions to private owners on condition that they carry out work for the protection, conservation, requalification and rehabilitation of their properties in accordance with approved standards.</p> <p>f) Compensate financially the owners of heritage sites that faced real estate losses of value because of protective programs.</p> <p>g) Award financial advantages to private owners that open their property to the general population.</p> <p>h) Set up, through Member States, public agencies, entitled to receive private gifts and donations. The donors should receive tax exemptions.</p> <p>i) Provide, through Member States, regular surveillance of the components of their heritage by means of periodic inspections.</p>	<p>a) Number and diversity of the building's that have been improved, supported by grants.</p> <p>b) Number of grants and repair programmes under review, published or updated.</p> <p>c) Number of agreements drawn up with sponsors.</p>

KEYWORDS: ETHICS • PROTECTION • SUSTAINABILITY • ASSESSMENT • COLLABORATION • SUPPORT

**STRATEGIC OBJECTIVE 4 | Heritage management should be made considering the constant balance between the need for development and the need for preservation.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>I.</b> The connection of a place with its past and the values represented in a heritage site must be conserved.</p>	<p>a) Foster and/ or preserve the sense of place of local communities by informing them of proposed changes, whether at a public or private level, whenever it affects the Heritage value of a site.</p> <p>b) Ensure the perpetuation of religious celebrations, cultural festivals, traditional events.</p>	<p>a) Number of information points about novelties and changes proposed for WHS.</p> <p>b) Updated inventory and programmes of religious celebrations, cultural festivals and traditional events in WHS.</p>
<p><b>II.</b> Stakeholders should re-examine modernity and consider (if necessary) a sustainable degrowth supporting a local approach to heritage sites, opposing globalism.</p>	<p>a) Give incentives to attitudes of recycling, re-using and reducing (3R's) through the availability of the proper infrastructures.</p> <p>b) Create incentives for the support of local businesses and the use of local materials.</p>	<p>a) Number of initiatives taken towards the 3R's promotion.</p> <p>b) Mapped inventory of recycling bins.</p> <p>c) Number of training programmes concerning good habits for recycling.</p> <p>d) Percentage of the municipality(ies) budget addressed to support local businesses.</p>
<p><b>III.</b> Any work done on the cultural heritage should aim at enhancing its appearance and form as well as at extending its functions or uses in the current society, safeguarding the OUV status.</p>	<p>a) Avoid the disturbance or destruction of a building with public interest and its surroundings.</p> <p>b) Avoid the isolation of a building with public interest, by demolishing its surroundings.</p> <p>c) Avoid the moving of a building with public interest unless there is exceptional means, justified by pressing considerations.</p> <p>d) Draw up, by Member States, as soon as possible, an inventory for the protection of its cultural and natural heritage, including items which, without being of outstanding importance, are inseparable from their environment and contribute to its character.</p> <p>e) Keep Member States abreast of technological advances (e.g. in transportation and communication), and of cultural and recreational trends, so that the best possible facilities and services can be provided for scientific study and the enjoyment of the public, appropriate to the purpose of each area, without deterioration of the natural resources.</p>	<p>a) Number of isolated buildings with public interest.</p> <p>b) Number of buildings with public interest destroyed or in risk of being destroyed.</p> <p>c) Existence of inventory(ies) for the protection of cultural heritage.</p> <p>d) Quality level of facilities and services adequate for scientific study and the enjoyment of the public.</p>

KEYWORDS: ADAPTATION • SUSTAINABILITY • SUPPORT • PROTECTION

**STRATEGIC OBJECTIVE 5 | Member states should cooperate regarding the protection, conservation and presentation of the cultural heritage.**

MEASURES	GUIDELINES FOR ACTION	MONITORING
<p>I. Seeking aid, if it seems desirable, from international organizations, both intergovernmental and non-governmental</p>	<p>a) Exchange of information and scientific and technical publications.                      b) Organization of international seminars between working parties.                      c) Provide and facilitate study and travel fellowships for scientific and technical training abroad of scientific, technical and administrative staff, and equipment exchange.                      d) Promote the coordination between Member States in heritage large-scale projects, ensuring the experience gained is available to all.</p>	<p>a) Number of research activities that brings together different Member States.                      b) Number of content contributions submitted to the World Heritage Centre.                      c) Published reflections on conservation practices in other WHSs.                      d) Membership in the regional and European networks.                      e) Membership in international organizations with a focus on UNESCO.</p>

KEYWORDS: INCLUSION • COLLABORATION • SUPPORT

## 4.2. Planning and Legislative Instruments

### OVERVIEW

A management and sustainability strategy have to take into consideration the substantial role of policy and planning instruments, as well as legislative tools and regulatory mechanisms, that affect the dynamics and the transformation of cities and which have a direct or indirect effect in the WHS (and in its pace of change).

There is a large spectrum of policy and planning instruments (e.g. plans, programmes, projects, etc.), defined at different spatial and institutional levels, and with different kinds of goals. It is important to take into account the local combined effect of more comprehensive or more sectoral policy and planning instruments (e.g. tourism or mobility plans). It should also be noted that this several and overlapping policy and planning instruments can be mandatory (or statutory), when supported by legal framework; or they can be non-binding, when they offer a set of guidelines.

World Heritage urban areas are thus subject to different types of challenges, strategies, interventions and regulations, arising from the various policy and planning instruments. This implies the need to pay significant attention to this **diversity** and their **specific interaction and application conditions**.

At the same time, it must be recognized that in these WH areas **new challenges and processes of change** co-exist, which shape their future transformation and **reinforce the leading role of the policy and planning tools**. Examples of such are the important strategic challenges associated with the international agenda for sustainability – 2030 Agenda for Sustainable Development and the related 17 Sustainable Development Goals (SDG). In particular, SDG 11 aims at making “cities and human settlements inclusive, safe, resilient and sustainable” (Dick 2016, Hosagrahar et al. 2016, Watson 2016), and advocates the necessity to “strengthen efforts to protect and safeguard the world’s cultural and natural heritage” (Dick 2016). To this end, ICOMOS highlights the key role played by policy and planning instruments in assisting the cities with the implementation of the SDGs and accomplishing their targets (Hosagrahar et al. 2016). Watson (2016) also recognises the crucial challenges associated to the New Urban Agenda (NUA) – concerning the urban sustainable development goal – defending the increasingly necessity to enhance, value and reinforce policy and planning instruments in order to achieve the previous goal.

In summary, in this changing context it is important to make policy and planning aware to WHS agendas. At the same time, they also need to be able to incorporate the new strategic challenges into management and sustainability plans.

Legislative instruments are also characterised by a high **diversity** and can be implemented at different institutional levels, in a similar way as planning instruments. Currently, the importance of the legislative instruments set at a national level is emphasised due to the arising challenges related to climate change and sustainability, as exposed in the New Urban Agenda (Ringbeck 2008, Satterthwaite 2016, Watson 2016).

According to UNESCO (2011b, p. 5), regulatory “(...) systems should reflect local conditions and may include legislative and regulatory measures aimed at the conservation and management of the

tangible and intangible attributes of the urban heritage, including their social, environmental and cultural values”. This highlights the need for specific legislative/regulatory instruments that enhance the unique value of WHS and protects its OUV status (UNESCO et al. 2013). In other hand, UNESCO (2011b) also states the need to reinforce and recognise the legislative instruments already in place.

### **AN EXAMPLE OF THE PLANNING AND LEGISLATIVE DIVERSITY – THE CASE OF ATLAS-WH PARTNERS**

The diversity of planning and legislative instruments underlined above can be demonstrated through the analysis made of AtlaS-WH Partners management plans in place, which culminated in a network and a graph. The first phase of the analysis was to make an inventory limited to the planning and legislative instruments found on this management plan. In the second phase, the planning instruments were classified as shown before: mandatory (when supported by legal framework) or non-binding (when they offer a set of suggestions or guidelines to do certain procedures). In the third and final phase, a set of networks and a graph were designed, compiling all the planning and legislative instruments of the AtlaS-WH Partners. The network bundles the instruments of all Partners, featuring in Figure 4. In turn, Figure 5 shows a graph with the number of planning and legislative instruments that each Partner lists in the management plan, organized by different institutional levels (local, metropolis, regional, national, supranational, Iberian Peninsula and EU).

### **STRATEGIC OBJECTIVES, MEASURES AND GUIDELINES FOR ACTION**

**Strategic Objective 1** | *Strengthen the link between the strategies contained in different types of policy and planning instruments focusing on the WHS and surrounding areas, and the values of the WHS.*

The great diversity in planning and legislative instruments, with direct and indirect influence in WHS, bounds the planning technicians to deepen their knowledge related to the existing challenges associated to the OUV status and the values represented by WHS. This knowledge must be shared through adequate processes between multi-level and multi-actor entities.

The connection between the different levels and instruments of planning will enhance the cohesion of the urban space, making WHS more integrated with its surroundings and its objectives. Therefore, it is important to articulate the different planning instruments and strengthen the links between them, protecting the WHS while enhancing its value in the face of constant change and the arising challenges, such as climate change, 2030 Agenda and SDG.

The measures and guidelines for action of this strategic objective were based on City of Edinburgh Council (2017), Housagrahar et al. (2016), Kotzebue (2016), Satterthwaite (2016), UNESCO et al. (2013), and Watson (2016).

#### **Policy ENV1, Edinburgh (Scotland)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 16.

### **Integrating sustainability: an example (United Kingdom)**

“The National Trust of England, Wales and Northern Ireland is a not-for-profit heritage organization with a remit for cultural, natural and mixed sites. It has decided to integrate sustainability concerns into its operations and decision-making processes.

The tool that it has developed addresses sustainable development concerns, comprehensively integrating its use into the heritage management system for managing change (planning) and for monitoring operations. The evaluation of the impact of decisions and approaches from three perspectives – people, finance and environment – has become an important check criterion for its heritage management processes. The tool, known as the Triple Bottom Line Tool, is modelled on the idea that there needs to be a balance between economic benefit, societal gain and the environment for an organization and the heritage in its care to be sustainable in the long term and for heritage benefits to be harnessed.”

(UNESCO et al. 2013, p. 22)

### **Strategic Objective 2 | *Develop mechanisms for overcoming tensions/conflicts associated with the action of different types of strategies in the WHS.***

Diversified and overlapping policies and planning instruments implemented at different levels can trigger conflicts and tensions between the various strategies and actions stipulated. Hence, it is important to develop proper mediation mechanisms and incorporate processes of monitoring and evaluation on the different planning instruments that affect WHS. Such mechanisms should bear in mind sustainability principles while community well-being should be first and foremost.

The measures and guidelines for action of this strategic objective were based on City of Edinburgh Council (2017), Comune di Firenze (2016), ICOM (2011), Kumar (2019), UNESCO et al. (2013) and Watson (2016).

### **World Heritage Master Plan for the Upper Middle Rhine Valley (Germany)**

For more information see the study made by the Atlas-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 77.

### **METHODOLOGICAL ISSUES - Methodologies for the development of mediation mechanisms**

There are several authors that developed a framework to mediate tensions and conflicts that emerge from the action of different strategies and institutions on WHS and surrounding areas. The follow articles demonstrate two examples of mediation frameworks:

- ‘The EU Integrated Development Policy: Managing Complex Processes in Dynamic Places’ (Kotzebue 2016) – Proposes a place scan evaluation for the action of different strategies and institutions.
- ‘Learning from Urban Policy Diversity and Complexity: Evaluation and Knowledge Sharing in Urban Policy’ (Breda-Vázquez et al. 2010) – Proposes a methodology for the evaluation of strategic policy

**Strategic Objective 3** | *Promote and ensure the importance of legislative instruments in WHS and surrounding areas.*

Regarding the uniqueness of WHS, legislation instruments should be transparent and reflect the singular characteristics of WHS, namely its OUV status and the unique values it represents. Therefore, the legislative instruments must be specific so as to ensure the protection, conservation and management of WHS. It is equally essential to attend to the already existing legislative instruments by reinforcing them, especially at the national level, ensuring that these instruments are not overlooked by the multi-actors.

The measures and guidelines for action of this strategic objective were based on Satterthwaite (2016), UNESCO et al. (2013) and Watson (2016).

#### **Law No. 77/2006, Florence (Italy)**

“Through the law no.77/2006 the Italian legal system recognises the adoption of the Management Plan by sites inscribed in the UNESCO World Heritage List and provides special measures for their conservation and valorisation (Italian Parliament, 2006). The law reaffirms that the sites and the elements registered in the lists provided by the two UNESCO Conventions (1972 UNESCO Convention on the Protection of World Cultural and Natural Heritage and 2003 UNESCO Convention for safeguarding intangible cultural heritage), are points of excellence for the Italian cultural, landscape and natural heritage and their uniqueness, as well as fundamental elements that represent the Country at an international level. The law has formally recognised the Management and Safeguard Plans required by UNESCO as tools to ensure the conservation of the sites and elements respectively and to create the conditions for their utilisation. It also provides for financial interventions to support the activities of communication and use of the sites and the elements themselves. The interventions and the amount allocated to them is established by a decree of the Ministry of Cultural Heritage and Activities and Tourism, in agreement with the Ministry of the Environment and the Protection of the Territory and the Sea, the Ministry of Agricultural Food Policy and Forestry and with the permanent conference for relations between the State, the regions and the autonomous provinces.”

(AtlaS-WH 2019, p. 71)

The examples of the monitoring indicators of this strategic field were based on Bath City Council (2016), City Council of Porto (2010), City of Edinburgh Council (2017), Comune di Firenze (2016), Jerliu (2016), LOCUS (2017), Ren and Han (2018) and UNESCO (2015b).



**STRATEGIC OBJECTIVE 1 | Strengthen the link between the strategies contained in different types of policy and planning instruments focusing on the WHS and surrounding areas, and the values of the WHS.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>I.</b> Enhance the in-depth knowledge, on the part of local planning technicians, of the issues associated with the WHS and the OUV concept that is inherent to it.</p>	<p>a) Provide training to all those involved in planning design.</p> <p>b) Create a forum for the discussion of good practices in terms of policy and planning instruments.</p> <p>c) Acknowledge the OUV associated with the WHS and the values that sites and communities attach to it when designing policy and planning instruments with an impact on the site.</p> <p>d) Ensure that the cultural heritage is effectively recognized and valued by multi-level entities, based on a “fit-for-purpose” approach, through an historical research and analysis supported by photographic records, use of maps and the fullest possible documentation covering the cultural property in question. This should be made, whenever appropriate, in cooperation with the local knowledge.</p> <p>e) Prohibit the construction of new buildings, and no demolition, transformation, modification or deforestation should be carried out, on any property situated on or in the vicinity of a protected site, if it is likely to affect its appearance, without authorization by the specialized services. Planning legislation to permit industrial development, or public and private works should take into account existing legislation on conservation.</p> <p>f) Establish regulations, through Member States, to control installed or to be installed equipment (e.g. publicity signs) and occupation of heritage sites.</p> <p>g) Twinning/mentoring at multi-level.</p>	<p>a) Number of training sessions.</p> <p>b) Number of participants in training sessions.</p> <p>c) Feedback on training sessions.</p> <p>d) Number of workshops and/or sensitisation activities.</p> <p>e) Number of public hearings and/or consultations.</p> <p>f) Number of national guidance materials on communication and participatory processes.</p> <p>g) Number of twinning/mentoring cooperation activities.</p>
<p><b>II.</b> Promote information, dissemination and knowledge sharing processes related to strategies contained between different types of policy and planning instruments (see 5.1.1.).</p>	<p>a) Foster and facilitate interaction between institutions/agents responsible for defining and implementing policy and planning instruments.</p> <p>b) Promote joint work between multiple actors at different levels of the planning system.</p>	<p>a) Published and accessible correspondence and information about policy and planning instruments.</p> <p>b) Number of multi-level institutions and agent meetings regarding the implementation of new policy and planning instruments.</p>

**KEYWORDS: KNOWLEDGE • INFORMATION • DISSEMINATION • INTERACTION**

**STRATEGIC OBJECTIVE 1 (cont.) | Strengthen the link between the strategies contained in different types of policy and planning instruments focusing on the WHS and surrounding areas, and the values of the WHS.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>II.</b> (cont.) Promote information, dissemination and knowledge sharing processes related to strategies contained between different types of policy and planning instruments (see 5.1.1.).</p>	<p>c) Design policies at the national level in partnership with regional and local institutions/agents.</p> <p>d) National and international non-governmental organizations should participate in developing and disseminating tools and best practices for implementation of the historical urban landscape approach.</p> <p>e) All levels of government should contribute to the definition, elaboration, implementation, assessment and monitoring of urban heritage conservation policies, based on a participatory approach by all stakeholders and considering the New Urban Agenda.</p>	<p>c) Number of links created between different types and levels of institutions and agents.</p> <p>d) Updated index of current research subjects related to heritage and the strategies contained between different types of policy and planning instruments.</p> <p>e) Number and variety of institutional level and organizations engaged in developing tools and best practices.</p> <p>f) Number and variety of institutional levels and organizations conservation policies.</p>
<p><b>III.</b> Promote the articulation of local plans and programmes with specific projects focusing on the WHS, in order to address and reinforce the importance of new challenges.</p>	<p>a) Legislative plans should develop strategies to conserve the OUV status of WHS.</p> <p>b) Develop mechanisms, tools, instruments and detailed guidelines that helps integrate the SDG.</p> <p>c) Stipulate measures and actions in local plans and programmes that address climate change issues.</p> <p>d) Incorporate in local plans and programs the objectives of New Urban Agenda, namely its relationship with the SDG 11.</p> <p>e) Design measures and actions that allow to respond to needs related to mobility.</p> <p>f) Develop short- and long-range plans, based on inventories of the heritage of Member States, to achieve a system of conservation that meets multi-level goals.</p> <p>g) Draw up, trough Member States, carefully planned programs of conservation work depending upon the cooperation of scientific, technical and financial resources at their disposal.</p> <p>h) Present and interpret Periodic Report results and take appropriate management actions at national and site levels.</p>	<p>a) Evidence that of WH and its OUV attributes have been taken into account in the preparation and final design of the plan/strategy.</p> <p>b) Number of mechanisms, tools, instruments and detailed guidelines where SDG and the New Urban Agenda objectives are integrated.</p> <p>c) Involvement of WHS concepts and programmes in local plans.</p> <p>d) Number of documents that address environmental and climate change indicators.</p> <p>e) Number of guidance documents on the management of World Heritage properties produced by the national and/or local authorities.</p> <p>f) Number of management actions that have been taken on the basis of the results of the Second Cycle of Periodic Reporting.</p>

**KEYWORDS: KNOWLEDGE • INFORMATION • DISSEMINATION • INTERACTION**

**STRATEGIC OBJECTIVE 2 | Develop mechanisms for overcoming tensions/conflicts associated with the action of different types of strategies in the WHS and surrounding areas.**

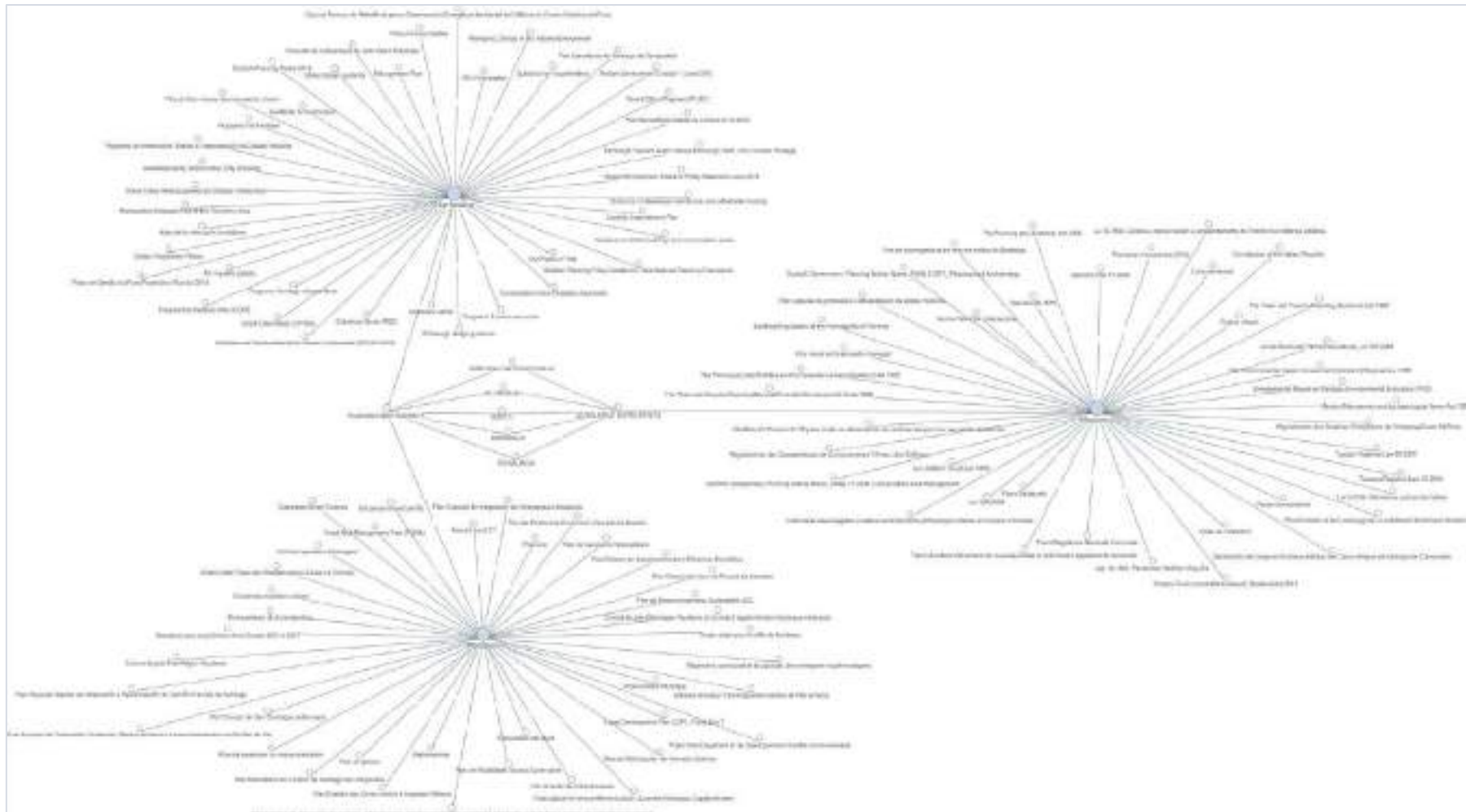
MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p>I. Comprise relevant mediation mechanisms in the planning instruments of WHS and surrounding areas (see 5.1.3.).</p>	<p>a) Develop mechanisms to manage, calibrate and mediate the interaction between strategies with different aims.                      b) Share projects that promotes good practices concerning mediation and conflict resolution among planning technicians.</p>	<p>a) Creation of mediation bodies.                      b) Use of mechanisms or frameworks for the management and mediation of different policy and planning instruments.                      c) Ratio between the existing conflicts and the solved ones (using the new mechanisms implemented).                      d) Published projects regarding mediation and conflict resolution.                      e) Number of projects that recognise best practices.</p>
<p>II. Incorporate monitoring and evaluation processes (see 5.2.).</p>	<p>a) Ensure that indicators are developed in monitoring processes to manage tensions that might emerge from distinct types of strategies.                      b) Create a regular base for monitoring and evaluation processes, namely EIA and HIA.</p>	<p>a) Number of identified monitoring indicators.                      b) Number of regular monitoring processes.                      c) Number of training activities that address Impact Assessments.</p>

KEYWORDS: CONFLICT MANAGEMENT • MEDIATION • MONITORING • EVALUATION

**STRATEGIC OBJECTIVE 3 | Promote and ensure the importance of legislative instruments in WHS and surrounding areas.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p>I. Enhance the specificity of legislation/regulation with implications for the management of the WHS and promote its reinforcement, if necessary.</p>	<ul style="list-style-type: none"> <li>a) Ensure the protection of OUV and avoid the negative impact changes on it through legislative instruments.</li> <li>b) Promote the articulation between different legislative instruments.</li> <li>c) Stimulate transparency and the sharing of knowledge concerning the existing legislative legislation of WHS.</li> <li>d) Facilitate operations for rehabilitation of the cultural heritage through legislation or regulation processes.</li> <li>e) Elaborate, through Member States, a juridical and legislative framework that can be used as a form of protection of the Cultural and Material Patrimony.</li> </ul>	<ul style="list-style-type: none"> <li>a) Existence of legal basis for heritage protection.</li> <li>b) Advancement of legislation on cultural heritage.</li> <li>c) Existence of statutory measures and regulations.</li> <li>d) Completion and systematic harmonization of legislation of cultural heritage.</li> <li>e) Completion and systematic harmonization of legalization of cultural heritage with those of the EU.</li> </ul>

**KEYWORDS: TRANSPARENCY • PROTECTION • DISSEMINATION OF KNOWLEDGE**



**Figure 4. Network analysis of the Atlas-WH Partners planning and legislative instruments mentioned in the management plans in place | Based on Mairie de Bordeaux (2007), City Council of Porto (2010), Comune di Firenze (2016), City of Edinburgh Council (2017), Concello de Santiago (2018)**

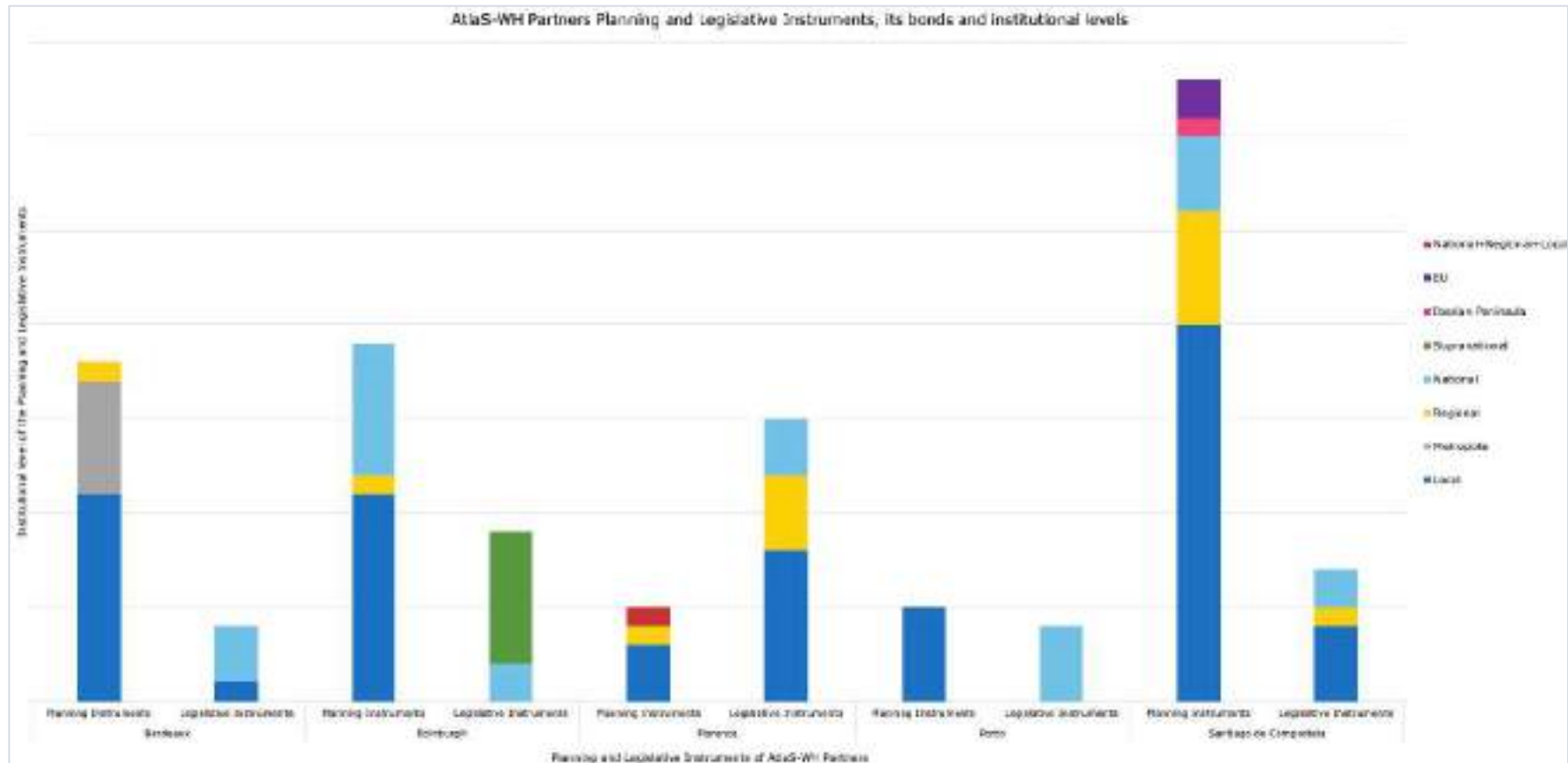


Figure 5. Atlas-WH Partners planning and legislative instruments, its bonds and institutional levels | Based on Mairie de Bordeaux (2007), City Council of Porto (2010), Comune di Firenze (2016), City of Edinburgh Council (2017), Concello de Santiago (2018)

### 4.3. Population and Housing

Population and local communities are at the heart of concerns about the management of World Heritage sites. According to ICCROM (Court & Wijesuriya 2015), a people-centred approach “is about addressing a core component of heritage management – the people who are connected to heritage – and ensuring that it is an integral element of conserving that heritage”.

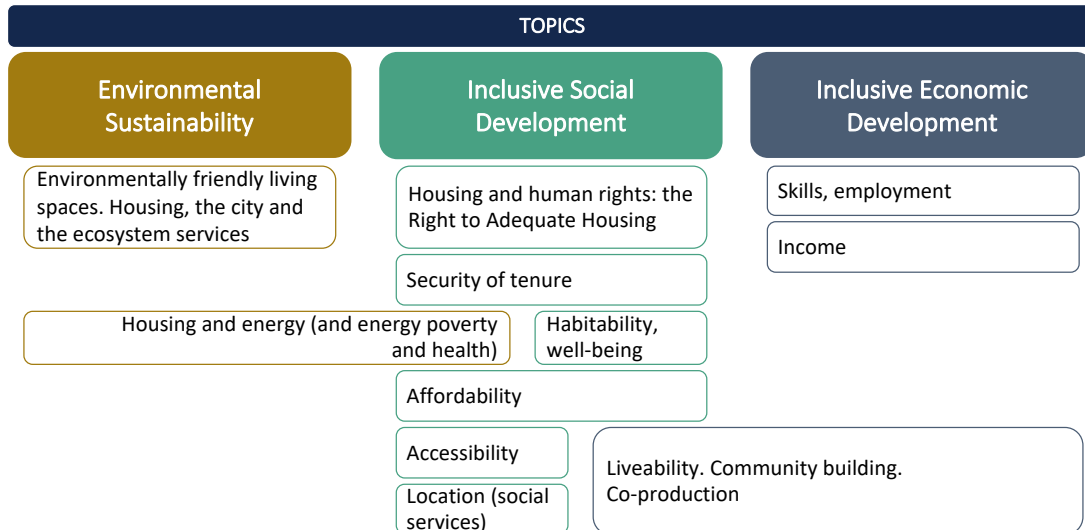
By understanding heritage sites as places of residence and of living communities, we are led to the broader issues of the city, its qualities and its development. The UN New Urban Agenda states: “We share a vision of cities for all, referring to the equal use and enjoyment of cities and human settlements, seeking to promote inclusivity and ensure that all inhabitants, of present and future generations, without discrimination of any kind, are able to inhabit and produce just, safe, healthy, accessible, affordable, resilient and sustainable cities and human settlements to foster prosperity and quality of life for all” (United Nations 2017). This normative horizon is also expressed in UN Sustainable Development Goal 11: “Make cities and human settlements inclusive, safe, resilient and sustainable”.

In order to operationalize those objectives, a general strategic framework can be organized, placing population and housing in a sustainable development perspective. The scheme proposed in Figure 6 results from the intersection of three main references:

- UNESCO Policy Document for the Integration of a Sustainable Development Perspective (UNESCO 2015a). It defines a sustainable development perspective considering four dimensions: environmental sustainability (biological and cultural diversity, resilience to natural hazards and climate change); inclusive social development (inclusion and equity, quality of life and well-being, human rights, local communities, gender equality), inclusive economic development (growth, employment, income, and livelihoods, economic investment, capacity building and innovation); and security and peace.
- UN Habitat definition of the Right to Adequate Housing (UNHABITAT 2015). It considers seven dimensions of the Right to Adequate Housing: security of tenure; availability of services, materials, facilities and infrastructure; affordability; habitability; accessibility; location; and cultural adequacy.
- Other references from the literature on population and housing. For example, Habitat for Humanity (2015) organises a review of the housing situation in Europe around three main principles: affordability (“getting people into housing and keeping them there”); sustainability (“building energy-efficient, environmentally friendly residential housing and living spaces”); and liveability (“creating communities of the future through social integration and community building”).

These three references have two aspects in common, which are worth underlining. Firstly, they share the concern with the identification of a variety of dimensions, which may constitute organizing themes for monitoring, evaluating and acting. Secondly, they use of a set of concepts that bridge those dimensions: for example, a broad concept of housing need that requires an integrated approach (“the development of integrated and age- and gender responsive housing policies and approaches across all sectors, in particular the employment, education, health-care and social integration sectors”,

according to United Nations (2017)); or the concept of liveability, which connects population and housing issues to the qualities and uses of residential spaces (and therefore to the sense of place) and to public or community services.



**Figure 6. Placing population and housing in a sustainable development perspective: major themes.**

The major themes identified in Figure 6 must be developed taking into account the specificity of each context. Heritage sites have different population and housing characteristics, in what concerns, for example, age structure, types of ownership and tenure, housing qualities. They are, also, “dynamic and constantly changing environments” (UNESCO 2016). In different places, there are different processes of change, in some cases referred to, for example, as depopulation, ageing, migration and cosmopolitanism, gentrification, touristification and studentification (Carvalho et al. 2019). Those processes are in turn related to other changes in housing and real estate markets, which also must be taken into account, assessed and managed. Together, they constitute new types of problems, tensions and challenges (of inclusion, adaptation and diversity) to be addressed.

## STRATEGIC OBJECTIVES, MEASURES AND GUIDELINES FOR ACTION

### Strategic Objective 1 | *Securing the residential function of WH sites.*

This objective considers the need to recognize and enhance the role of heritage sites as (attractive) places of residence. It is about promoting liveability, environmentally friendly, safe, healthy and accessible living spaces. In a context of change, it is also about promoting an adequate functional mixture, and regulating and managing land use conversions and conflicts.

#### **Municipal regulation for local Accommodation (Lisbon, Portugal)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 29.



### **Protection of Ancient City and Residential Environment Improvement (Yangzhou, China)**

“The city implemented the project for improved living standards among its disadvantaged groups by applying several measures. In 2001, the municipality set up the Housing Improvement Leading Group, headed by the city’s mayor. With the participation of relevant government departments as well as the communities and representatives of the residents, the Group is charged with setting goals and guiding the implementation of projects aimed at achieving these objectives. Over the past five years, with government leadership and active public participation, Yangzhou has successfully renovated 3,050 residential units in the ancient city area and built 33,000 new low-cost homes for sale and for rent. This has solved the housing problems for 148,000 residents categorized into various disadvantaged groups. These groups are residents in old and dangerous homes in the ancient city area, those in shanty towns along the Ancient Canal, poor and the lowest-income families, urban villagers, and low-income migrant workers. Now they live in proper homes, a fact that has laid a good foundation for better lives.”

(United Nations Human Settlements Programme and UNESCO 2008, p. 25-29)

### **Strategic Objective 2 | *Maintaining local residents in place.***

This objective considers the importance of local residents and communities as a key element of cultural heritage. It is about providing adequate housing conditions in all its dimensions (included in the concept of the Right to Adequate Housing), in order to produce “just, safety, healthy, accessible, affordable” places. In a context of change, it is also about adapting housing (and housing environments) to the changing needs of the population and to prevent unwanted population displacements due to housing market transformations.

### **Compostela+Mais, Santiago de Compostela (Spain)**

For more information see the study made by the Atlas-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 19.

### **Protection and Rehabilitation of Historical World Heritage in Santiago de Compostela (Spain)**

“In 1994, the city’s Municipal Council approved the Special Plan of Historical City Protection and Rehabilitation. The objective was to revive the historical centre by taking a comprehensive approach to rehabilitation. In physical terms, this entailed the creation of green space, the development of a new traffic system to ease congestion and pollution, and the careful restoration of architectural heritage. In social terms, the plan recognized the need to provide affordable solutions for housing so that gentrification and social exclusion could be avoided. Resources to carry out the plan came from the state, regional and local administrations with those of residents and people working in the city. The main outcome of this initiative lies in the provision of improved housing at an affordable cost while improving the aesthetical value of the city. By 2002, more than 650 projects were completed with an 80 percent occupancy rate. The programme reversed the trend of systematic destruction of the wooden interiors of unique historical and architectural value. Because of the success of these projects, a further 400 projects were initiated exclusively by the private sector. Twenty-three hectares of new public parks were created and maintained by the city council. There has been a notable change in the resident’s attitude towards their natural and living environment as witnessed by the overwhelming level of financial and technical support from a wide range of stakeholders. New fields of specialization and employment have resulted from the projects as shown by the creation of new small and medium enterprises, as well as new professional and technical listings. The historical city has been reintegrated with its natural surroundings. Pedestrian lanes have been restored and an integrated network of walkways, parks and gardens provided.”

(United Nations Human Settlements Programme and UNESCO 2008, p. 67-70)

### **Strategic Objective 3 | Promoting differentiated housing forms.**

This objective, strongly related to the previous ones, considers the importance of Inclusion and diversity in community building. It considers the diversity of housing tenures and types as an important means of favouring such inclusion and diversity. In a context of change, it is also about exploring new forms of housing provision, such as, for example, collaborative forms of housing.

#### **The Affordable Rents for Housing Municipal Programme (Portugal)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled 'Thematic study on common challenges', p. 24.

#### **Plan de Mobilización de Vivienda Baleira de Santiago de Compostela AVIVA (Spain)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled 'Thematic study on common challenges', p. 113.

#### **From a wasteland to a triple-helix creative cluster at the heart of Nantes (France)**

"Mainstreaming culture across other development policies (urbanism, tourism, and ecology) has also contributed greatly to the project's success. However, a key challenge for Nantes throughout the implementation of the project is to make sure the creative vibe does not die out, so gentrification processes need to be closely monitored. The island's transformation involves heavy investment in transport and real estate, so the whole île de Nantes project ensures that social housing as well as student lodgings remains central to the island's redevelopment."

(Culture for Cities and Regions team 2015)

### **Strategic Objective 4 | Promoting community and social development.**

This objective, strongly linked to other strategic fields in this document, considers the importance of community building and the need to develop an integrated approach ("across all sectors"). In a context of socioeconomic and demographic change, issues related with employment, education, health and with the organization of public/community services and facilities tend to be of critical importance.

#### **Enhancement of murate complex: residential public housing project, Florence (Italy)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled 'Thematic study on common challenges', p. 93.

### **Sustainable city – open to the world (Sweden)**

“Sustainable city - open to the world’ is the vision for the city of Göteborg (Sweden) now facing its fastest expansion ever. 55.000 new homes will be built until 2035 - the inner city will grow to twice its size. The biggest challenge for the city is to counteract segregation and link the centre with areas in the northeast. Cultural heritage will be used to strengthen a common identity, create context and drive sustainable growth. The suburbs in northeast are the result of a large-scale building program from the 1960-70s. Today 95,000 people from many different nationalities live there. The area has many challenges but also great opportunities. For several years many bottom-up projects have started aiming at increasing residents’ involvement in sustainable urban development. The objective is to create new jobs through these ventures and to change the stigmatized image of these areas as problem areas. The aim is to use the area's cultural history to create a new identity and new jobs in green industries among others. LAB 190 is a development scheme with the objective to connect the multicultural suburbs of north-western Göteborg with surrounding municipalities. Today there is a strong common feeling among all partners in the suburbs of being outsiders in the process of ‘sustainability’ and hereby not playing a part of the strong urbanisation process. In LAB 190 the border between tangible and intangible cultural values will be used as a driving force for sustainable development based on the bottom up perspective as mentioned in the European Landscape convention.”

(Gustafsson & Mélar 2018, p. 14)

The examples of the monitoring indicators of this strategic field were based on City Council of Porto (2010), City of Edinburgh Council (2017), Comune di Firenze (2016), De Vettor and Basili (2012) and UNESCO (2015b).

**STRATEGIC OBJECTIVE 1 | Securing the residential function of WH sites (recognizing and enhancing WH sites as places of residence).**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>I.</b> Assessing and promoting liveability.</p>	<p>a) Develop tools for the involvement of residents and city users in the assessment of liveability.                      b) Assess social and technical infrastructure (under a transition perspective).                      c) Enhance accessible and safe public spaces.</p>	<p>a) Number of projects concerning social exclusion.                      b) Number of participants in projects of combat against social exclusion. (p. 53)                      c) Inclusion of accessibility and safety measures in policy and planning instruments.                      d) Inventory of social and technical infrastructures.                      e) Existence of a public spaces map.</p>
<p><b>II.</b> Controlling land use/housing conversions.</p>	<p>a) Regulate, through the planning system, land use and housing conversions.</p>	<p>a) Number of land/ properties converted to housing.                      b) Number of policy and planning instruments regarding land use and housing conversions.</p>
<p><b>III.</b> Managing conflicts between uses/users.</p>	<p>a) Identify and monitor conflicts between uses/users.                      b) Develop conflict mediation practices.                      c) Articulate specific regulations of the different activities (opening times; accessibility and parking requirements, etc.).</p>	<p>a) Number of conflicts between users.                      b) Number of times specific regulations have been broken.                      c) Complaints presented by residents.                      d) Ratio between existent conflicts and solve ones.</p>

KEYWORDS: LIVEABILITY • CONVERSION CONTROL

## STRATEGIC OBJECTIVE 2 | Maintaining local residents in place.

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p>I. Improving well-being and providing adequate housing conditions.</p>	<p>a) Develop proximity structures that can identify housing problems, in all its dimensions (security of tenure, habitability, affordability, accessibility, location).</p> <p>b) Assess the housing problems of specific groups (elderly, migrants, young people, women, etc.).</p> <p>c) Disseminate information about possible solutions (mediating needs and solutions).</p> <p>d) Monitor housing market changes.</p> <p>e) Systematize housing rehabilitation standards (taking into account the changing needs of the population and the specific characteristics of WH sites).</p> <p>f) Articulate energy efficiency solutions with energy poverty reduction measures.</p> <p>g) Provide financial and technical assistance to housing rehabilitation processes (self-help solutions, etc.).</p>	<p>a) Percentage variation of residents.</p> <p>b) Population social balance (immigrants - emigrants).</p> <p>c) Housing allocation figures.</p> <p>d) Number of existing proximity structures.</p> <p>e) Types and quantity of information spread/information tools and knowledge sharing.</p> <p>d) Existence of economic and social studies on market changes and social groups.</p> <p>e) Number of social programmes aiming at housing rehabilitation and energy efficiency</p>
<p>II. Preventing unwanted population displacements.</p>	<p>a) Develop proximity structures that can anticipate problems related to population displacement.</p> <p>b) Provide assistance to residents in risk of losing access to housing.</p>	<p>a) Ratio between proximity structures created and in use.</p> <p>b) Number of residents' assistance programmes.</p>

KEYWORDS: HOUSING CONDITIONS • POPULATION DISPLACEMENT

### STRATEGIC OBJECTIVE 3 | Promoting differentiated housing forms (tenures, types).

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p>I. Developing and/or strengthening an affordable housing sector.</p> <p>II. Mixing market and non-market actors (state, associations/cooperatives, etc.) in housing provision.</p>	<p>a) Create conditions, through the planning system, for the development of an affordable housing sector (“incentive zoning”, “inclusionary zoning” measures/programmes).</p> <p>b) Provide assistance to the organization of associative, or cooperative or collaborative forms of housing provision and management.</p> <p>c) Develop, through housing rehabilitation, social rented projects.</p>	<p>a) Number of affordable lodgings scheduled/built.</p> <p>b) Level of support and assistance given to collaborative forms of housing provision plans.</p>
<p>III. Developing new types of housing solutions.</p>	<p>a) Provide assistance to the organization of associative, or cooperative or collaborative forms of housing provision and management.</p> <p>b) Develop specific programmes (for example, forms of intergenerational co-residence; residential units with specific services/forms of support).</p>	<p>a) Number of developed programmes for the development of new housing solutions.</p> <p>b) Type/ Level of assistance provided to the organization, association.</p>

KEYWORDS: AFFORDABLE HOUSING • HOUSING SOLUTIONS

### STRATEGIC OBJECTIVE 4 | Promoting community and social development.

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
I. Developing integrated approaches of urban development.	<ul style="list-style-type: none"> <li>a) Develop technical skills for integrated urban development processes.</li> <li>b) Create coordination structures (across different sectors, for example, housing, health, education, culture).</li> <li>c) Involve residents and local associations in the preparation and management of urban interventions.</li> <li>d) Provide training programmes to local residents.</li> </ul>	<ul style="list-style-type: none"> <li>a) Number of technical skills developed.</li> <li>b) Number of developed skills integrated into urban development processes.</li> <li>c) Number and diversity of Coordination structures.</li> <li>d) Levels of residents and local associations in preparing and managing urban interventions.</li> <li>e) Number of training programmes.</li> <li>d) Number of participants in the training programmes.</li> </ul>
II. Securing public/community services.	<ul style="list-style-type: none"> <li>a) Develop new forms of service provision.</li> </ul>	<ul style="list-style-type: none"> <li>a) Number of community and public services.</li> <li>b) Number and level of reach of strategies to secure public and community services.</li> </ul>
III. Enhancing the role of public space and community facilities.	<ul style="list-style-type: none"> <li>a) Provide multifunctional public spaces and community facilities.</li> </ul>	<ul style="list-style-type: none"> <li>a) Number of public spaces and community facilities implemented in residential projects.</li> <li>b) Index of level of usage of the public space and the community facilities.</li> </ul>

KEYWORDS: INTEGRATED URBAN DEVELOPMENT • PUBLIC SPACES • COMMUNITY FACILITIES

## 4.4. Tourism, Culture and Economy

### 4.4.1. Tourism

The recent growth and impact of tourist flows in the historic centres of cities (García-Hernández et al. 2017) has been a driving force for urban transformation. As early as 1994, Mings and Chulikpongse were reporting that tourism is an agent of change, capable of transforming the economic conditions of recipient communities, social institutions and environmental quality (Mings & Chulikpongse 1994), while contributing to a sense of belonging to a certain cultural tradition. Thus, tourism growth is responsible for profound and significant (positive and negative) changes in recipient areas and local communities (Cunha 2011, Kesar et al. 2015), which may be physical, economic, social or environmental (García-Hernández et al. 2017; Hiernaux & González 2014).

The tourism sector has been growing steadily and sharply and is currently one of the most important economic sectors in the world. In order to ensure the sustainable growth of tourism, the United Nations have declared 2017 to be the International Year of Sustainable Tourism for Development, in line with the goals of the 2030 Agenda and the Sustainable Development Goals (SDG) (UNWTO 2015). Sustainable tourism is defined as “tourism that respects both local people and the traveller, cultural heritage and the environment” (Fien et al. 2010). Therefore, tourism should contribute for WHS sustainable development of cities through fair sharing of economic benefits, the development of just and decent working conditions, the promotion of social inclusion and gender equality, the conservation of natural and cultural heritage, and poverty reduction (González et al. 2018, UNWTO 2015). However, tourism is also responsible for increasing pressure on the territory and local communities (Wise 2016), mainly due to growing congestion and consequent environmental degradation (Kim et al. 2013), overcrowding and erosion of local culture (Richards 2009), and safety issues. It also causes changes in the commercial landscape, leading to trade gentrification (García-Hernández et al. 2017, Hiernaux & González 2014) as well as to processes of gentrification and residential displacement, due to the rising prices of goods and properties (Hiernaux & González 2014, Kim et al. 2013). In recent years, the rapid growth in the supply of tourist accommodation, especially short-term rentals, has led to increased protests by local communities over issues of overcrowding, noise and rising property values (Gottlieb 2013, Gutiérrez et al. 2017; Schäfer & Braun 2016).

Tourism in World Heritage Sites can contribute towards raising public awareness of the supranational significance and beauty of the site (Ringbeck 2008; UNWTO 2015). However, uncontrolled tourism can also undermine the authenticity and integrity of the World Heritage site. It is the responsibility of these sites to ensure and improve sustainability without neglecting to take into account while always targeting the potential of cultural tourism (Ringbeck 2008). A thorough understanding of the impacts and problems associated with tourism growth makes it possible to focus on more effective and sustainable management actions for both local communities and visitors, as well as on the development of monitoring indicators to analyse the success of the action objectives proposed (UNESCO 2015c). Programs, policies and practices aimed at sustainable tourism development should focus on working together with all stakeholders, as their participation in the planning and management process is important to avoid unnecessary conflicts (UNESCO 2012). Therefore, tourism



management goals and objectives should be defined taking into account its importance for local communities, but also the definition of necessary development limits while focusing on community engagement, seasonality reduction, product diversification, and respecting the specificities and limits of each destination (UNWTO et al. 2018). Undoubtedly the main challenge lies in defining the carrying capacity of each city, defined by UNWTO et al. (2018) as “the maximum number of people who may visit a tourist destination at the same time, without causing destruction of the physical, economic and sociocultural environment and an unacceptable decrease in the quality of visitors' satisfaction”. It is important to note that determining the carrying capacity of a tourist destination is quite difficult, because the negative impacts of tourism result not only from the amount of tourists visiting the place, but also from the unbalanced conjunction of various factors: incoming tourist flows, the varied activities being practiced, the specific times of the visits, and the existing tourism management and planning systems.

According to the World Tourism Organization, in order to ensure a comprehensive analysis of tourism impacts at a given destination, the use of qualitative and quantitative indicators is essential to define congestion management and monitoring mechanisms (UNWTO et al. 2018). According to the same body, the tourism sector needs clear and effective regulations, guidelines and actions, not growth limitations. Only then tourism will grow in a sustainable way (Rifai 2017).

## **STRATEGIC OBJECTIVES, MEASURES AND GUIDELINES FOR ACTION**

**Strategic Objective 1** | *Managing visitor numbers and minimizing negative effects / impacts of tourism.*

The growing number of visitors to World Heritage Sites requires tourism control and management measures to be implemented so that negative effects / impacts can be minimized. The development and implementation of a long-term strategic plan for sustainable tourism development is of clear importance, especially with regard to the definition of the city's carrying capacity and specific areas and attractions, dispersion / distribution strategies and segmentation of visitors in space and time, appropriate and respectful behaviour by visitors, and the review and adaptation of regulations essential to controlling the impacts of mass tourism.

### **Visit Amsterdam (Florence, Italy)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 127.

### **Historic Town of Vigan (Philippines)**

#### **What worked?**

“The city invested in a programme of research and education across the city. This focused on the city’s history, traditions, arts, culture, and industries through brochures, e-books, films, newsletters, coffee table books, postage stamps, children’s textbooks about the city, a website for local people and visitors, and support for community organisations.

Residents and property owners were given conservation guidelines (in a manual published every year) that set out the appropriate uses of ancestral houses and other built structures. Street signs in the historic quarter are now made from local clay, enhancing the local distinctiveness; properties and the public realm were restored; and administration set aside 1% of budget for arts, culture and tourism investment. There was a focus on community needs as a priority – these included measures to provide clean water to villages, solid waste systems, focus on health and sanitation, and developing roads to villages so that they could be accessible for tourism and other economic activities. Conservation craftspeople were trained and accredited; traditional industries, such as jar making and weaving, were also incorporated into the school curriculum.

A cultural mapping analysis study was carried out with the University of Santo Thomas to guide conservation efforts, and also to identify gaps in the offer for tourists. This led to identification of need for new products and experiences such as a river cruise, children’s museum, conservation complex (housing a training centre, conservation laboratory, research library, conservation materials depot, product development centre, and accommodation). The mappings also highlighted the need to find better ways to enable visitors to experience and understand the city’s heritage. The city created six festivals to enhance the visitor experience and benefit local people, and the local government created an environment in which the private sector could thrive and develop a range of other attractions and services.”

(UNESCO 2015c)

### **Strategic Objective 2 | *Maximizing the benefits of tourism for local communities by developing a sustainable destination.***

The benefits of tourism growth are not always shared with local communities and they do not have access to many of the economic opportunities arising from increased visitor numbers. Local communities and individuals are guardians, holders or stewards of heritage and cultural traditions; they play an important role in tourism and the dissemination of heritage values and information about the site and are more likely to conserve heritage when an improvement in quality of life is associated (Pedersen 2002). However, the growth in visitor numbers leads to increased concerns about inappropriate conduct by external agents and the general disconnect felt by members of the local community, as visitors increasingly dominate their spaces. The social, cultural and heritage values and practices of local communities must be preserved and respected, and the economic benefits resulting from tourism shared fairly and equitably.

### **Use of tourism tax (Porto, Portugal)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 141.

### **Angkor and The Tourism Development Strategic Plan 2012–2020**

#### **What did they do?**

“Managing heritage at Angkor requires managing tourism’ (Tourism Management Plan 2012-2020) The involved parties recognised that, unless management dramatically changed to meet the contemporary needs of Angkor and its population, the site would be damaged beyond recovery. It has also been recognised that tourism represents both an economic necessity and the biggest threat to the longevity of Angkor, so it was decided a comprehensive tourism strategy must be developed in order to minimise the threat and improve the long-term viability of Angkor as both a destination and a place for people to live. In response to this, the ‘Angkor World Heritage Area Tourism Management Plan, 2012–2020’ (TMP) under the Angkor Heritage Management Framework (HMF) project, was developed.

#### **Strategic Priorities**

- Dealing with the rapidly increasing numbers of tourists who visit Angkor
- Reducing negative impacts of tourism (previously understood primarily in terms of conservation at the expense of all else)
- Improving tourist understanding of the local uses of Angkor, both as an inhabited area and as a place of continued religious significance
- Creating a more cohesive tourism industry that adheres to best practices and standards
- Providing better opportunities and financial returns for local residents

#### **What worked?**

The final draft of the TMP is a long and detailed document comprised of six broader aims or ‘initiatives’ addressing the four strategic priorities– promoting positive visitor experiences, reducing site impacts, partnering with industry, providing benefits for local people, improving governance, and engaging with stakeholders. Initiative-specific strategies are defined to fulfil these aims, and each strategy is composed of individual steps (ranging from high to low priority) that are planned to take place in the approaching months and years. Although the broader strategies and steps involved concern different final goals, there are a number of common themes shared by the strategies – communication, collaboration, delegation, limitation, examination, diversification, and conservation – and these themes can provide a template for other World Heritage Site managers to consider in relation to their own sites, rather than the specific strategies and steps which have been defined with Angkor in mind.”

(UNESCO 2015c)

### **Strategic Objective 3 | *Promoting an outstanding tourist experience.***

Visitors should not only have a positive tourist experience but also an outstanding one in relation to the cultural heritage of the World Heritage site, by receiving all necessary information about the site, its main features and cultural traditions. In addition, it is important that the destination offers quality tourism services, appropriate facilities, and adequate infrastructure, without forgetting that visitor safety and accessibility, if possible, must be ensured.

The quality of the tourism experience also depends on the interaction between visitors and local residents / communities that can foster and promote mutual responsibility, creativity and self-esteem. Therefore, it is important to monitor and get visitor feedback as their opinions and suggestions will improve future site experiences and management.

#### **Control of tourist accommodation (Bordeaux, France)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 117.

### **Acropolis, Athens**

“Special attention has been given to the accessibility of the site, to pathways and to visitors’ facilities, especially for disabled people. The installation of a lift, in 2004, on the north slope of Acropolis hill, allowed, for the first time, access to people with disabilities up to the hill. Furthermore, emergency plans for visitors’ security and scientific studies for the protection of the site, such as monitoring of earthquake activity, are carried out. Moreover, a new Acropolis Museum was built outside the strict borders of the property, replacing the old one that was on the Acropolis hill. The operation of the new Museum reduces the visitor’s crowding on the hill and the waiting time needed. The visitors, having visual contact with the property, can now enjoy the permanent and temporary exhibitions as well as the facilities of a modern museum (including a virtual reality theatre) in their own time and at their own pace.”

(UNESCO 2012)

### **Strategic Objective 4 | Stimulating the development of sustainable tourism products and services.**

The development of sustainable tourism depends on preserving and respecting local cultural values. A commitment to improve the quality and diversity of tourism services and products based on local traditional values and cultures can contribute to raise awareness of these values - or preserve their continuity - among local communities. In addition, investing in authentic, traditional, locally produced experiences and products can help strengthen local roots, a sense of place, and pride in a shared identity that will help fuel the sustainability of the local community in the long-term, while creating a memorable experience for visitors.

### **UNESCO Regulation (Florence, Italy)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 137.

### **Røros Mining Town and the Circumference (Norway)**

#### **What did they do?**

“A combination of national and local policies, funding and support schemes, together with the efforts of very proactive and united local stakeholders and member of the civic community, led to the promotion of traditional small farming and locally made products, with a shared innovative vision and strategy that included tourism as a key component.

#### **What lessons can others take from this?**

The case of Røros is an example of key stakeholders understanding the fragile link between traditional economic systems and their historical landscape. It shows how effective it can be to have the local community taking advantage of established networks to achieve renewed objectives, as well as the importance of appropriate policies, frameworks, and funding support. It is also proof of how, by mixing a region’s unique traditional raw materials and identity with innovation, it is possible to create new high-quality products, economic opportunities, and tourism experiences that support traditional, local economic systems, identity, and welfare. Finally, it shows the potential of developing outstanding and inclusive tourism products using the local assets and unique features that already exist.”

(UNESCO 2015c)

### **Strategic Objective 5 | Stakeholder Engagement and participation.**

In order to ensure the sustainable management of tourism, it is important that all stakeholders are committed to actively and jointly working / collaborating with the goal of conserving local values. In addition, the engagement and participation of local communities and individuals in the tourism development process is necessary to the development of more sustainable tourism practices. As a baseline, it is fundamental to take into account local opinions, needs and concerns, while keeping an open mind to opportunities for local communities to be fully and actively engaged as stakeholders themselves, i.e. in decision-making.

#### **Tourism and City Council (Barcelona, Spain)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 49.

#### **Avebury World Heritage Site, Wiltshire (United Kingdom)**

##### **What worked?**

“The Residents’ Pack was a limited edition, available only to residents of Avebury, and designed to celebrate the World Heritage Site as a unique and special place to live. It included a book, Values and Voices, which compiled pieces of writing from a range of people, including archaeologists, residents, farmers, and pagans, both local and from as far away as Germany and America, expressing their personal and professional views of the World Heritage Site. Crucially, the Pack also contained information leaflets from the main organisations involved in the management of Avebury, removing the feeling of bureaucracy and identifying who was responsible for what in a much more transparent way. The Pack also indicated ways in which residents could be more involved in the day-to-day running of the site, primarily through voluntary duties such as tracking traffic and guiding visitor parking.

Parking congestion and visitor etiquette had been two key matters that created some tensions between residents and visitors. This was particularly the case at the busiest times of year, such as Solstice. Avebury, like Stonehenge, attracts contemporary pagans and druids from both the UK and further afield, and these visitors amass specifically around the seasonal Solstices and other pagan festivals. Due to the small size and limited infrastructure at Avebury, there are few places for visitors to stay; the resulting ‘improvisation’, in terms of camping and illegal parking, incited tension between residents and visitors. By presenting both visitors’ and residents’ impressions side by side, the Residents’ Pack gave equal weighting to everyone in an effort to facilitate understanding and tolerance in both this matter and other areas of the site.”

(UNESCO 2015c)

The examples of the monitoring indicators of this strategic field were based on Comune di Firenze (2016), GML et al. (2012), UNESCO (2012) and UNWTO et al. (2018).

## STRATEGIC OBJECTIVE 1 | Managing visitor numbers and minimizing negative effects / impacts of tourism.

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
I. Determine the carrying capacity of the site and attraction centres and define innovative tools to manage tourist flows and sustainable tourism	<p>a) Determine acceptable levels of tourism impact on the city through a participatory process involving all relevant stakeholders (tourism and non-tourism administrations at different levels, private sector, local communities and tourists).</p> <p>b) Conduct site assessment studies, strengthening and applying World Heritage monitoring and evaluation systems.</p>	<p>a) Accommodation stock.</p> <p>b) Accommodation occupancy.</p> <p>c) Congestion at key sites: number of tourists or vehicles at key areas, number of tourists per square meter.</p> <p>d) Ratio of tourist to local (peak period and over time).</p>
II. Promote the dispersal of visitors (in time and space).	<p>a) Promote and diversify events, attractions, tourist facilities, innovative products and experiences (in time and space), and innovative types of tourism.</p> <p>b) Define new itineraries and tourist information centres and invest on guided tours to less visited parts of cities.</p> <p>c) Set time intervals and dynamic dispersion times at events or attractions, assisted by real-time monitoring (through the use of new technologies).</p> <p>d) Apply tourist taxes and promote dynamic prices.</p>	<p>a) Visitor flows at key attractions and other sites, based on census counts and sampling at different times of year.</p> <p>b) Use intensity of attractions and services (number of clients and visitors per month or year).</p> <p>c) Number of different attractions in or near destination (classified by type of attractions, e.g. cultural and natural heritage sites, events and festivities, leisure activities and sites, etc.).</p>
III. Guide visitor conduct.	<p>a) Provide visitors with site specific and useful information, certain restrictions and regulations (traffic, parking, fees) and invest in signs, points and information centres.</p> <p>b) Encourage the use of codes of conduct to allow a combination of education and regulation in the interpretation process that teach ways to protect sites.</p> <p>c) Promote an ever-closer link with private stakeholders, such as tour guides, tour operators and promoters, in order to make visitors more aware of the city they visit and all the heritage they own.</p>	<p>a) Availability and comprehensiveness of information on natural and cultural values of the sites in different media (brochures, guidebooks, Internet). Level of use, visitation (Internet).</p> <p>b) Number of guides (total, per number of tourists).</p> <p>c) Availability of interpretative programmes, number of tourists participating.</p> <p>d) Availability of interpretative trails, visitor centres, materials.</p>

KEYWORDS: CARRYING CAPACITY • LIMITATION • DIVERSIFICATION • SUSTAINABILITY

**STRATEGIC OBJECTIVE 1 (cont.) | Managing visitor numbers and minimizing negative effects / impacts of tourism.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p><b>IV.</b> Review and readjust the regulation.</p>	<p>a) Review traffic regulations in the busiest areas of the city and ensure visitors use parking on the outskirts of the city.</p> <p>b) Review hotel and other accommodation regulations and taxation, including short-term rentals.</p> <p>c) Prohibit certain activities through regulation and enforcement and limit the number of souvenir shops in order to maintain traditional commerce.</p>	<p>a) Percentage of housing affordable to local residents.</p> <p>b) Number of historic/traditional buildings used for tourism services (accommodation, restaurants, shops).</p> <p>c) Existence of land use planning and regulation.</p>
<p><b>V.</b> Manage environmental, social and physical impacts</p>	<p>a) Ensure the conservation of monuments and environment while tourism development occurs</p> <p>b) Encourage smooth transport modes and public transport</p> <p>c) Create and promote accessible and safe pedestrian zones</p> <p>d) Develop incentives and policies to reduce energy, water consumption and night noise</p> <p>e) Ensure adequate safety conditions</p>	<p>a) Energy use by type of tourism facility and per tourist</p> <p>b) Ratio of weight of waste to landfill in tourist season compared with non-tourist season.</p> <p>c) Tourist perception of cleanliness of the area and conservation of monuments (exit perception survey).</p> <p>d) Number of incidents (per month, per annum, per types of incidents) involving tourists.</p>

KEYWORDS: CARRYING CAPACITY • LIMITATION • DIVERSIFICATION • SUSTAINABILITY

**STRATEGIC OBJECTIVE 2 | Maximizing the benefits of tourism for local communities by developing a sustainable destination.**

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p>I. Ensure local communities benefit from tourism</p>	<p>a) Stimulate the creation of quality jobs, ensure equitable distribution of financial benefits, and improve the quality of infrastructure and services.</p> <p>b) Stimulate the development of deprived neighbourhoods through tourism.</p> <p>c) Involve local communities in the development of new tourism products, conservation of local heritage, and handicrafts.</p> <p>d) Empower local people as guardians and stewards in sustainable tourism management and protect the authenticity and integrity of the place and the community.</p>	<p>a) The poverty rate and quality of life in the local community.</p> <p>b) Number of qualified trainers (in schools).</p> <p>c) The number of local people who run a business.</p> <p>d) Total number employed in the tourism sector, by sub-sectors (e.g. accommodation, restaurants, transportation, guiding, etc.), by occupations and levels.</p>

KEYWORDS: TRADITION • INCLUSION • IDENTITY



### STRATEGIC OBJECTIVE 3 | Promoting an outstanding tourist experience.

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p>I. Stimulate urban experiences that are beneficial to residents and visitors.</p>	<p>a) Provide visitors with location information and quality service and promote good tourist reception.</p> <p>b) Develop innovative new products and services that include historical, traditional, heritage and landscape values.</p> <p>c) Encourage the exchange of experiences between residents and visitors, manage potential conflicts, and ensure mutual respect.</p>	<p>a) Regular visitor surveys and seeking feedback on residents' attitudes to tourism.</p> <p>b) Number of returning guests.</p> <p>c) Percentage of tourists satisfied with tourist information, presentation of sites and interpretative programmes.</p> <p>d) Monitor visitor experience after the visit by obtaining feedback from visitors.</p>
<p>II. Improve city infrastructure and facilities.</p>	<p>a) Create a municipal plan for balanced and sustainable traffic management.</p> <p>b) Improve urban infrastructure, signage, interpretation and warnings.</p> <p>c) Invest on specific means of transportation for visitors during peak periods.</p> <p>d) Create and promote accessible and safe pedestrian and cycling routes, especially for disabled or elderly visitors.</p> <p>e) Ensure the existence of cleaning schedules adjusted to tourist facilities and peak hours.</p>	<p>a) Number and percentage of attractions and facilities (by type) with special access for disabled visitors.</p> <p>b) Number of sites and tourism services accessible by public transport.</p> <p>c) Existence and implementation of plans to improve transport infrastructure and access.</p>

KEYWORDS: INFORMATION • INTERACTION • EXPERIENCES

### STRATEGIC OBJECTIVE 4 | Stimulating the development of sustainable tourism products and services.

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
I. Encourage the development of sustainable tourism products and services that respect local cultural values.	<ul style="list-style-type: none"> <li>a) Increase the quality and diversity of tourism products and services that respect and preserve local cultural values.</li> <li>b) Provide a taste of local identity through gastronomy and traditional culinary practices and recipes.</li> <li>c) Preserve endangered traditional skills and crafts.</li> <li>d) Promote intangible cultural heritage, i.e.: oral traditions, performing arts, social practices, rituals, festive events, knowledge and practices that the local community is willing to share with visitors.</li> </ul>	<ul style="list-style-type: none"> <li>a) Number of licenses for local products.</li> <li>b) Number and percentage of restaurants serving typical local dishes.</li> <li>c) Number of shops selling local products and crafts.</li> </ul>

KEYWORDS: TRADITION • INCLUSION • IDENTITY

### STRATEGIC OBJECTIVE 5 | Stakeholder Engagement and participation.

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
I. Increased engagement of local communities and stakeholders.	<ul style="list-style-type: none"> <li>a) Engage different demographic groups to talk about their own identity and importance through discussion groups and collaboration platforms, ensuring community participation in determining local identity and local cultural and heritage values.</li> <li>b) Engage all public, private and voluntary stakeholders and all tourism related suppliers for the development of sustainable tourism.</li> <li>c) Identify local leaders and capacitate facilitators who can influence, guide, strengthen and coordinate local talent / artisans to recognize the tangible and intangible traditional values of local communities.</li> <li>d) Support and capacitate local communities in decision-making, as stewards of intangible cultural heritage.</li> </ul>	<ul style="list-style-type: none"> <li>a) Existence of a participatory planning process.</li> <li>b) Existence of a multi-stakeholder coordination mechanism, types and number of stakeholders involved.</li> <li>c) Number of consultation events (meetings, forums) and level of participation.</li> <li>d) Existence and frequency of reporting and communication mechanisms on tourism issues and development results (using printed and electronic media).</li> <li>e) Existence of awareness raising, capacity building and training programs for local communities, level of participation.</li> <li>f) Regularly monitor local communities' perceptions of tourism impacts.</li> </ul>

KEYWORDS: ENGAGEMENT • COLLABORATION • PARTICIPATION

#### 4.4.2. Culture and Economy

*“There is an urgent need to find new development pathways that encourage creativity and innovation in the pursuit of inclusive, equitable and sustainable growth and development.”*

*“Culture ... is who we are  
shapes our identity  
is a means of fostering respect and tolerance among people  
is a way to create jobs and improve people’s lives  
is a way to include others and understand them  
helps preserve our heritage and make sense of our future empowers people  
...works for development.”*

(United Nations et al. 2013)

Culture, which contributes to local identity and knowledge exchange, is characterized by its ability to bring us closer to intangible heritage and the need to protect individual ideas and creativity from increasing massification and homogenization (UNESCO 2011c). It promotes regional development, led by the growth of the creative economy on a broader plane, and cultural and creative activities on a more particular plane (United Nations et al. 2013). These activities, focused on human capital (Petrić & Mikulić 2009) and specific local characteristics (Sepe & Di Trapani 2010), are considered driving forces of innovation and creativity as well as generators of local knowledge. In addition, they are the new engine of local and national economic growth (Flew & Cunningham 2010): since they promote and streamline wealth creation and local employment growth (Kostopoulou 2013, Sasaki 2010, Tavano Blessi et al. 2012), they contribute to strengthening the cohesion and social and territorial inclusion (Flew 2010) of local communities.

Creative activities are also important to the vitality of historic heritage sites – historic centres, cities and landscapes – and vice versa, because these sites have unique and unrepeatable cultural characteristics that are fundamental to the development of these activities and, in turn, these activities can find in historic sites the particularities and contexts that need and identify themselves (Fundação Serralves 2008). In addition, creative activities contribute to counteracting some of the problems that exist in historic sites, such as the lack of population and activities at certain times of the day, namely by focusing on night activities associated with leisure and commercial spaces. The feeling of comfort, safety and belonging to the place that develops turns out to be fundamental for attracting more residents, more activities and more investment to the centres making them more attractive (Raufast et al. 2015). Undoubtedly, it is increasingly important that culture, creativity, innovation and knowledge are central to economic activities.

## STRATEGIC OBJECTIVES, MEASURES AND GUIDELINES FOR ACTION

### Strategic Objective 1 | *Promote and expand cultural and creative activities.*

The contribution of knowledge, cultural and creative activities to wealth generation, local job creation and social inclusion is recognized. Thus, promoting cultural and creative activities and local crafts make it possible to preserve important cultural values, as well as boost the economy, tourism and local employment, while contributing to the image and uniqueness of World Heritage Sites.

#### **Urban Renewal Programme of Morro da Sé (Porto, Portugal)**

For more information see the study made by the Atlas-WH (2019) Florence team entitled 'Thematic study on common challenges', p. 83.

### Strategic Objective 2 | *Promote culture and art.*

Cultural actions, the arts, and artists play a fundamental role as promoters of creativity, knowledge sharing and diffusion, and cultural diversity. Promoting the dissemination of art and culture through educational workshops, art exhibitions, commercialization of artistic products and artistic / cultural events enables a more sustainable social, human and economic development to be successfully achieved while stimulating the development of potential. local citizens, artists and artisans.

#### **Bulgarian Chitalishte (Community Cultural Centre): practical experience in safeguarding the vitality of the Intangible Cultural Heritage**

"Bulgarian chitalishta (cultural community centres) are uniformly distributed across the whole territory of Bulgaria. They are established by communities themselves and are open to everyone irrespective of age, gender, political and religious views. The first chitalishta were established in 1856, and they have been recognized as a key organizational unit of Bulgarian society ever since. In accordance with the Chitalishta Act of 1996, chitalishta are non-governmental self-regulatory organizations. By law, they perform cultural and educational activities aimed at safeguarding the customs and traditions of Bulgarian people, ensuring access to information, distributing knowledge and familiarizing citizens with the values and achievements of science, arts and culture. Chitalishta are central to the process of transmitting intangible cultural heritage in the country, with elderly members playing a key role in encouraging young people to get involved. The efficiency of chitalishte is demonstrated by their increasing numbers over the years and the growing numbers of participants in their activities, representing all ages and population groups. With a view to popularizing and presenting intangible cultural heritage, chitalishta organize festivals, celebrations, gatherings, exhibitions and so on, and one innovative approach for developing chitalishta is the establishment of local centres for documenting, archiving and handing over knowledge and skills."

(Ministry of Culture of the Republic of Bulgaria 2013)

**Strategic Objective 3** | *Encourage tradition, authenticity and integrity through research, innovation and sustainability.*

The success and development of cultural and creative activities is highly dependent on universities and other higher education institutions generating creative capacity and capital, by supporting research and development initiatives and actively promoting innovative new businesses that respect traditions and local authenticity. Investing in practices that value knowledge, creating and developing targeted mechanisms to support entrepreneurship activities, and keeping local talents on World Heritage Sites are the keys to fostering creativity and innovation while contributing to economic development and social inclusion.

**Governance of the UNESCO Office of the Municipality of Florence: HeRe Lab and MUS.E Association (Italy)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled 'Thematic study on common challenges', p. 18.

**Regional Centres for Craftsmanship: a strategy for safeguarding the cultural heritage of traditional handicraft**

"The Werkraum Bregenzerwald, Hand.Werk.Haus Salzkammergut, and Textiles Zentrum Haslach are three centres in Austria run by local, traditional craftspeople who, for the past 15 years, have been collaborating with international artists, educational institutions, craft businesses and other entities to help safeguard their practices for future generations. The centres have been providing a range of public activities to help maintain the crafts that include woodworking, painting and textile practices, which provide communities with a sense of identity and continuity. Governed by associations in cooperation with craft businesses, as well as educational and scientific institutions, they offer training on traditional techniques, such as introductory courses for primary school students, weekend and summer schools, apprenticeship programmes, and postgraduate courses. Local and international experts help to run the classes, transmitting specialist knowledge and skills associated with the various practices. The centres on craftsmanship also host exhibitions and competitions to enhance visibility of the traditional crafts, attracting local and international designers and artists. Furthermore, they act as bridges between art and industry, providing platforms for the sharing of ideas and experiences on traditional craft practice and the development of cooperative networks. Partnerships between cultural, educational and economic fields are also created, further strengthening safeguarding efforts."

(Minister of Culture of the Republic of Bulgaria 2013)

The examples of the monitoring indicators of this strategic field were based on City Council of Porto (2010), City of Edinburgh Council (2017), City of Regensburg (2012), Comune di Firenze (2016), Concello de Santiago (2018) and United Nations et al. (2013).

### STRATEGIC OBJECTIVE 1 | Promote and expand cultural and creative activities.

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
<p>I. Promote and support local and regional crafts.</p>	<p>a) Implement policies to encourage and support the presence of traditional crafts, commercial activities, services and local collectivities.</p> <p>b) Regulate or encourage certification of authentic local and regional products.</p> <p>c) Encourage the creation of a local craft market, and develop a cultural map showing typical crafts and where they are located.</p> <p>d) Invest in training new local artisans in traditional crafts.</p>	<p>a) Existence of special (branded) local products (handicrafts, cuisine, produce).</p> <p>b) Percentage of products sold in shops produced locally.</p> <p>c) Number and percentage of shops selling local products and crafts.</p>
<p>II. Promote knowledge, cultural and creative activities.</p>	<p>a) Create incentive and funding programs for cultural and creative activities.</p> <p>b) Promote the creation and growth of small and medium-sized enterprises, associativism, and cooperatives.</p> <p>c) Promote closer links between tourism, culture, and creative activities.</p> <p>d) Generate creative infrastructures and spaces for cultural production, consumption, and attraction of young talents.</p>	<p>a) Number of start-ups dedicated to cultural and creative activities.</p> <p>b) Number of companies dedicated to cultural and creative industries, compared to the overall economy.</p> <p>c) Employment in the cultural and creative industries, compared to the overall economy.</p> <p>d) Contribution of the cultural and creative industries to gross value added, compared to other economic sectors.</p>

KEYWORDS: TRADITION • CULTURAL VALUES • PROTECTION

## STRATEGIC OBJECTIVE 2 | Promote culture and art.

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
I. Promote artistic and cultural activities.	<ul style="list-style-type: none"> <li>a) Promote cultural and artistic events.</li> <li>b) Preserve heritage and cultural diversity (authenticity and integrity).</li> <li>c) Encourage participation of local communities.</li> <li>d) Stimulate the development of art incubators.</li> </ul>	<ul style="list-style-type: none"> <li>a) Number of cultural events, and level of attendance (by locals and by tourists).</li> <li>b) Increase/decrease in cultural activities or traditional events (e.g. percentage of locals performing and/or attending ceremonies).</li> <li>c) Percentage of locals and tourist satisfied with the availability and quality of cultural programs.</li> </ul>

KEYWORDS: AUTHENTICITY • PROTECTION • PARTICIPATION

## STRATEGIC OBJECTIVE 3 | Encourage tradition, authenticity and integrity through research, innovation and sustainability.

MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
I. Bring together cultural and creative activity sector and Universities.	<ul style="list-style-type: none"> <li>a) Encourage closer ties between the public and private sector, so that their collaboration fosters innovation.</li> <li>b) Promote economic and social revitalization, supporting new activities related to universities, research and culture.</li> <li>c) Stimulate the offer of university incubation spaces for projects related to innovation and creativity.</li> <li>d) Promote university education, research, and development initiatives.</li> </ul>	<ul style="list-style-type: none"> <li>a) Explore R&amp;D partnerships with universities in the cultural and creative industries.</li> <li>b) Number of incubation spaces.</li> </ul>

KEYWORDS: COLLABORATION • EDUCATION • INNOVATION





## 4.5. Community Engagement and Capacity Building

Community engagement is at the very foundation of good governance and the dynamization of citizenship. It can contribute towards the sustainability of World Heritage Sites, the adaptability and flexibility of management plans, and their implementation. Additionally, local communities are positioned at the core of efforts for protecting, promoting, and ensuring the future of World Heritage Sites, by living in the physical space itself, embodying the sense of place that sets it apart, and perpetuating the culture associated to it.

Above all, by the very characteristic of being local, local communities are both the stewards of the site and its first responders, whether they have the capacity for it or not. Building the capacity of local agents to lend their (our) best efforts, and that of institutions to cooperate with them, depends on all parts of the network that looks after a World Heritage Site, most of all the institutions with the power and funds to initiate and support change.

“Acknowledging that heritage is now better understood as being both determined by and the responsibility of local communities, their participation from the outset is clearly essential to reach a common understanding of the objectives connected to it” (Ripp & Rodwell 2018, p. 18).

This thematic area is divided into four main parts. The first part provides an overview of fundamental concepts related to community engagement and capacity building. The second looks into the strategic fields of community engagement, proposing the most important moments and opportunities for supporting local communities in existing endeavours related to World Heritage Sites, as well as further engaging them and building local capacity. The third part focuses on critical issues, which are both recurrent in existing literature and in previous discussions with all involved partners pertaining to this thematic area and can be characterized by their transversal nature concerning the aforementioned proposed strategic fields. Finally, the fourth part proposes objectives, measures and specific objectives for each strategic field.

### **COMMUNITY ENGAGEMENT: AGENCY, POWER DYNAMICS AND PARTICIPATION LEVELS**

Participation has long been proposed as one of the principles of good governance for Protected Areas (Graham et al. 2003). The engagement of local communities in management processes can be a form of assuring the dynamics of recognition, encounter and redistribution, the three social logics of the social and participatory conception of justice proposed by Fincher and Iveson (2008) – justice and equity are central concepts to planning and management practices, in the determination of desirable outcomes but also just processes in which all involved voices are heard. Community support and engagement also has the potential to strengthen citizenship, to allow for greater balance between civil society and governmental agents (Gohn 2006), to safeguard transparency in interventions and the attribution of responsibility, by giving a voice to the people on the ground and involved on the daily happenings at the site, and to give local people access to sustainable development (Ripp & Rodwell 2018).

UNESCO’s World Heritage Program, and its Conventions, has suffered several transformations regarding public participation and local community engagement throughout its existence, gradually opening up and undergoing a process of democratization (see Figure 7). The 2002 Budapest

Declaration took an important step by promoting key strategic objectives known as the ‘Four C’s – “strengthening Credibility of the List, ensuring effective Conservation of World Heritage Sites, refine its Capacity-building measures, and increase Communication with the public”, with the last two pertaining “directly to non-expert, locally based communities: local or indigenous heritage managers who need expert training, as well as the broader public of whom the Program needs support: tourists who will consume the sites, and locals who will cooperate with UNESCO’s World Heritage initiatives” (Di Giovine 2015, p. 98). Two years later, after the ratification of the Intangible Heritage Convention, the word ‘community’ would be added to the new ‘Five C’s’ list; together with the 2003 UNESCO Convention for the Safeguarding of Intangible Cultural Heritage, which led to a full embracing of the participatory paradigm, the early 2000s were a turning point towards increasing public engagement and the pluralization of the concept of ‘community’ – which now holds that entities such as ‘individuals’ and ‘indigenous communities’ are primary stakeholders of their own cultural heritage (Di Giovine 2015, Adell et al. 2015).

DATE	INITIATIVE
1972	World Heritage Convention ratified
1978	First Operational Guidelines created to coordinate early additions to the WH List
1989	UNESCO issues its Recommendation on the Safeguarding of Traditional Culture and Folklore
1992	World Heritage Center created in Paris to oversee day-to-day organization
1992	Concept of “cultural landscapes” integrated by WH Committee
1992	Research leading to the Global Strategy begun
1993	Nara Document on Authenticity adopted
1994	Global Strategy adopted
1996	“Our Creative Diversity” – report on intangible cultural heritage – produced
1997	Proclamation of Masterpieces of the Oral and Intangible Heritage of Humanity program launched by UNESCO Research concerning a “standard-setting instrument” for ICH began
1998	WH Committee votes to change the operational guidelines to allow for inclusion of “traditionally” managed site
1999	UNESCO holds its first workshop at the International Tourism Exchange (ITB)
2001	Creation of the World Heritage Sustainable Tourism Programme
2001	Convention on the Protection of Underwater Cultural Heritage ratified
2002	Budapest Declaration (“4 C’s”)
2003	Intangible Heritage Convention ratified
2007	UNESCO adds “community” to the Budapest Declaration’s list of “c’s”
2008	World Heritage Convention’s 40 <sup>th</sup> anniversary celebrations: “Get involved- visit responsibly-volunteer”

Figure 7. Expanding audience participation and the reach of the World Heritage Program throughout the years | Retrieved from Di Giovine (2015, p. 95)

The model of the ‘participation ladder’ (Arnstein 1969) introduced different levels of citizen engagement to the concept of participation, with less agency and initiative on the bottom and more control and delegation of powers on top. Included in the categories of passive participation, indeed in what Arnstein designated as ‘tokenism’, is ‘consultation’, a tool often used in management plans (see Figure 8). Regarding this level of participation, Arnstein wrote: “when they are proffered by powerholders as the total extent of participation, citizens may indeed hear and be heard. But under these conditions they lack the power to ensure that their views will be heeded by the powerful. When participation is restricted to these levels, there is no follow through, no ‘muscle,’ hence no assurance of changing the status quo.”

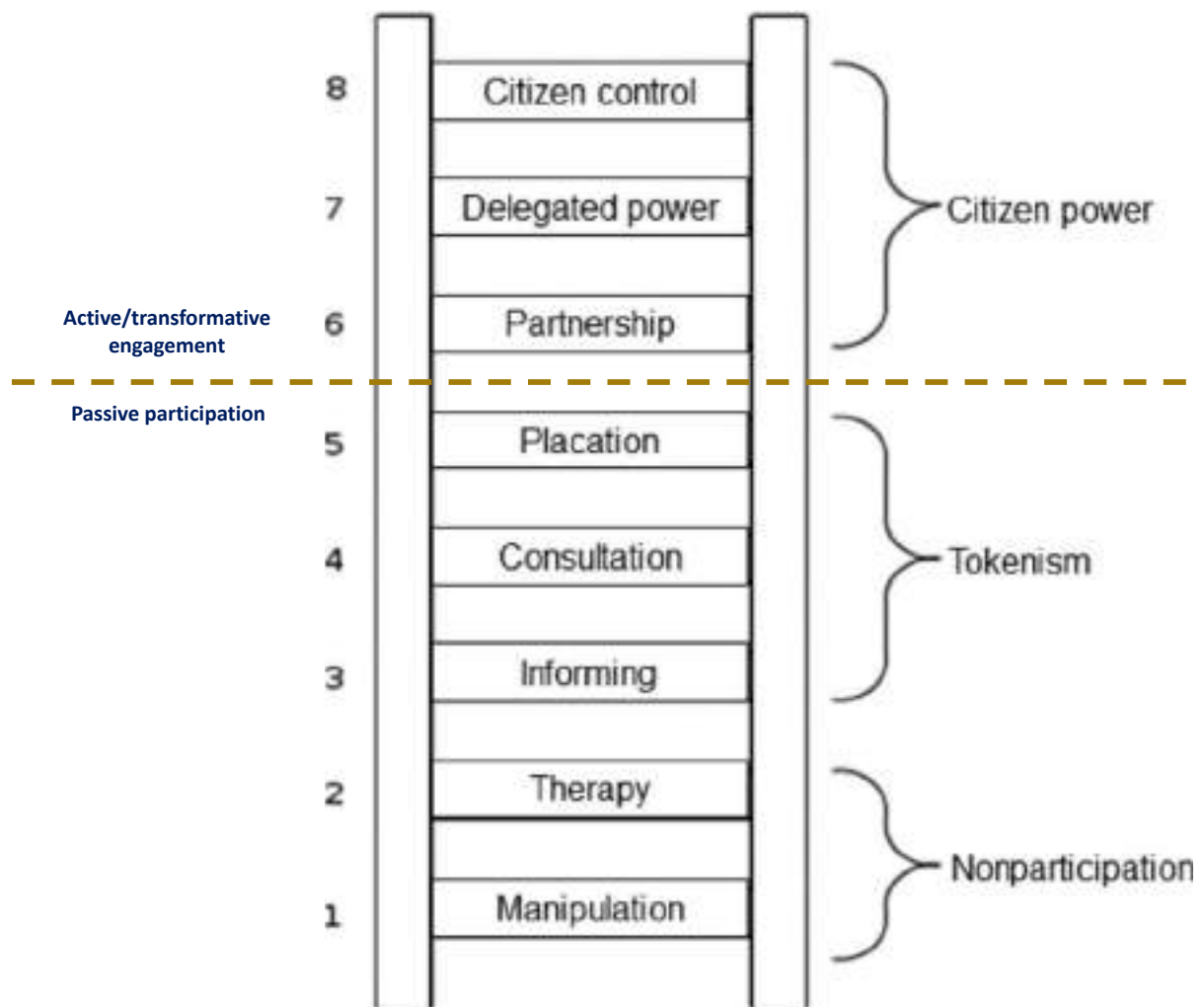


Figure 8. An example of a participation ladder | Based on Arnstein (1969)

Based on the work done by Arnstein (1969) and Hart (1992), Rudd et al. (2006) designed a more comprehensive participation ladder, as Figure 9 demonstrates.

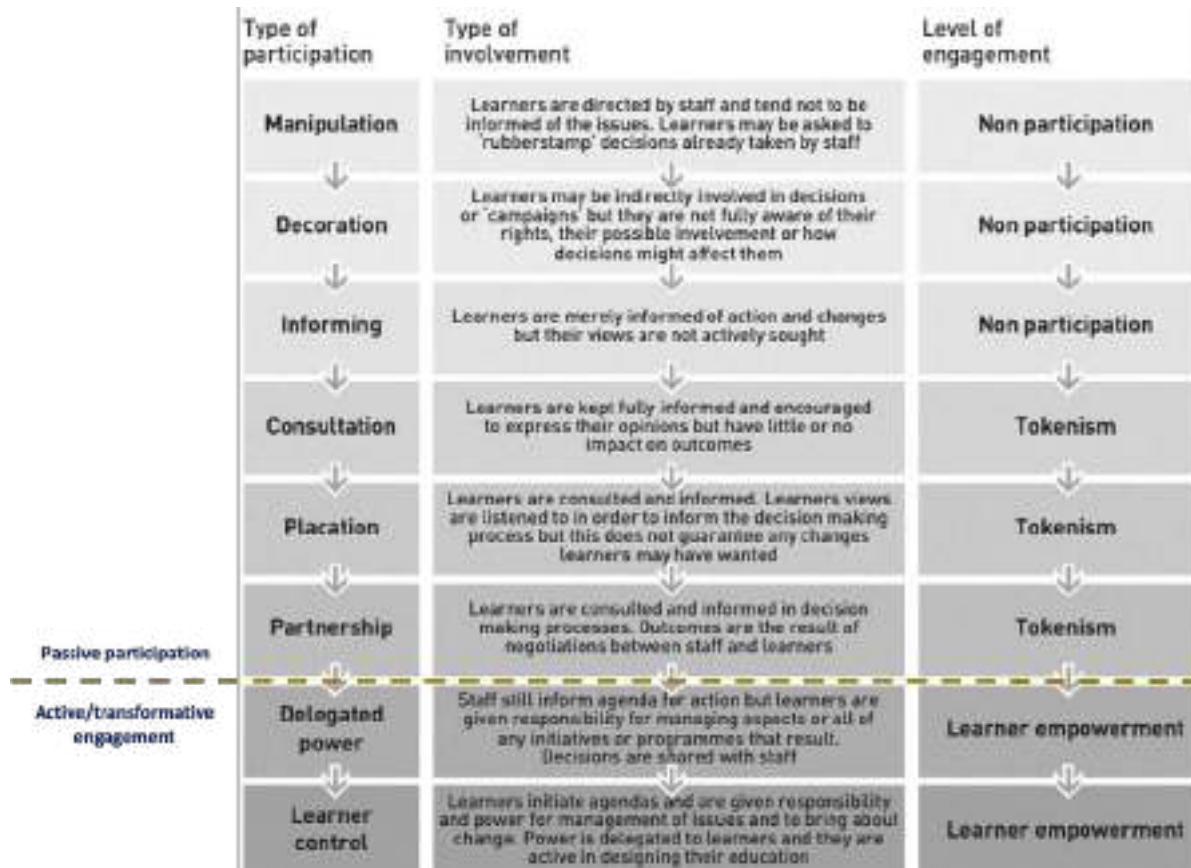


Figure 9. An example of a participation ladder | Based on Rudd et al. (2006)

Nevertheless, consultation can allow large groups of people to provide their input in a short amount of time. Although forms of passive participation do not possess much transformative weight - the assurance that they will be translated into policy, - the fact that not all groups of citizens will be engaged in transformative participation does not mean that they cannot be an invaluable part of participatory governance. Stewardship, and the simple act of conserving local knowledge and a sense of belonging, are also passive endeavours, but ones with much potential to harness and preserve cultural and heritage values. Lusiani et al. (2018), in their chapter “Community consultations”, describe various forms of participatory processes that fall under the label of passive participation, but are nevertheless designed to be as inclusive as possible and facilitate open and inclusive discussion.

Actual active participation, nevertheless, is one of the principles for which UNESCO strives. Active participation, which might lead to a partnership and collaboration between governmental and citizen entities – and ultimately to a full devolution of power and decision making, - involves much more investment and proactivity, but opens up the possibility of transformation. The UNESCO 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions explicitly encouraged the active participation of civil society, namely in protecting and promoting the diversity of cultural expressions and became a starting point in the calls for transformative engagement.

Another distinction should be made: from the lens of spatial planning and governance – indeed, from a project-based or institutional perspective, instead of a social movements perspective (as explained

by Tuftte and Mefalopoulos 2009, p. 4), – participation could also be seen as the engagement of the local community by entities with ‘official’ status; in other words, the ‘drafting’ of the community into a project that is not theirs, or initiated by them, even if it benefits them (Coimbra 2020). The term ‘participation’, when used to refer to the engagement of the general public in matters of plan implementation, management and monitoring, can be slightly murky and perhaps too pervasive, especially when referring to modes of grassroots co-production and self-management, as questioned by Albrechts and Balducci (2013, pp. 50-51).

When focusing solely in the area of community engagement in WHS, it is necessary to think as much of supporting existing positive dynamics, actions, and networks, as of creating new ones. These existing dynamics might be solely grassroots; indeed, they might have no institutional link whatsoever. And although it would not be incorrect to call them participatory, it might be seen as a co-opting of the effort and initiative invested by local communities and individuals on the places which – before and beyond their identity as World Heritage Sites and alongside with it, - are their home, the ground where their identity takes root, and the physical space that holds their daily existence. Therefore, clarifying the power dynamics and levels of community engagement can be extremely relevant – by avoiding the participatory designation, or deepening it, we can question whether the dynamics in question are grassroots, in which local, non-institutional agents take initiative and are responsible for most, if not all actions. Or perhaps there are dynamics in place which can be classified as collaborative, in which institutional agents and local communities have been equal partners and invested on the management of the site from the beginning (Alatau 2012, Coimbra 2020).

#### **CAPACITY BUILDING: A SYSTEMIC APPROACH**

Local communities are extremely relevant to WHS, as stewards, knowledge holders, and first responders, in their role to help build capacity. Capacity building is “a development concept that takes the definition of capacity, ‘the ability to do something’ (applicable to individual, collective and systemic competencies), and seeks to extend and broaden it so that a given entity can endure change and perform over time”, in a “process of creation of public value and change which seeks to help people avoid disruptions to their lives” (Coimbra 2015, p. 62). By building the capacity of a system, resilience and empowerment are encouraged, and vulnerability is theoretically reduced.

Capacity building and the increased resilience of systems is of especial interest to adaptive management - which defends iterative learning, regards management actions as experiments (‘learning by doing’), and seeks the implementation of a multi-stakeholder cycle which includes objective definition, planning, action, monitoring of and reflection over outcomes, learning, and renewed action (Cundill et al. 2012, p. 14), - and to adaptive governance - which focuses on engagement and interaction with change, complexity and uncertainty, on fostering the capacity to cope and adapt, and on protecting, supporting and developing sources of innovation and renewal (Griffith et al. 2009). Adaptive governance positions the resilience of systems as a critical factor for their sustainability, recognizes the importance of incorporating voices other than expert ones and diversified knowledge, and makes use of complex knowledge systems - knowledge focused on system dynamics, instead of detailed knowledge about parts of the system; it has thus been suggested as an alternative to traditional governance, for providing some answers to complex problems such as disaster risk reduction (Coimbra 2015). As an example, capacity building for local governance and

monitoring centred on the local knowledge and action of communities can be a better management option in matching the diverse social and ecological contexts, and dynamics of different locations, as local knowledge can inform place-specific action in a way that centralized systems cannot (Lebel et al. 2006).

Capacity building is a complex matter, however. Simply focusing on training, skill development, technical assistance, or any other stand-alone measure based on supply-driven training programs or technical assistance seldom improves capacity. Initiatives must take into account the complex dynamics within countries and organizations, especially in regard to a multi-level and multi-stakeholder governance system such as the one presiding over any World Heritage Site. Blokland et al. (2009, p. 343) wrote that “the international development community has consistently overestimated its ability to build capacity in the absence of national commitment, local ownership and reasonably good governance.”

Thus, capacity building has become a multi-faceted process that acts over the enabling environment, as well as the norms and values affecting the conduct of the various entities and stakeholders involved in a system. Improved institutions, laws, incentives, transparency and leadership are expected to elevate performance and governance to a higher level (Blokland et al. 2009).

At the community level, greater engagement of key stakeholders and a strengthening of the ownership of activities is also expected (Baser 2009). Knowledge and skills are acquired and developed through education and training. Tacit knowledge, such as the local knowledge or traditional knowledge necessary to the determination and stewardship of heritage values, is essential (Blokland et al. 2009, p. 18). Networks also play an important role in improving existing knowledge and capacity, which means that information technology can be a powerful support.

Above all, it should be kept in mind that capacity building cannot be employed only on the community side. For a fully developed management system in which the local community’s engagement is active and, as a consequence, the heritage site is alive, vibrant, and sustainable in the long term, the capacity of the whole system must be built up. This includes, for instance, actions to strengthen ties between governmental agents and community agents, or the development of skills and sensibilities amongst governmental leaders and facilitators for establishing communication, managing public participation and mediating conflict (Ferguson 2018).

## STRATEGIC FIELDS

Which moments are the most crucial when accepting the role of civil society, and specifically local communities, in World Heritage management plans? Lusiani et al. (2018), in “Making Sense of Site Management”, highlight three distinct loci of participation: shaping the meanings of the site, governance of the site, and sharing the value generated by the site. Brown and Hay-Edie (2013) highlight the importance of engaging local communities in the nomination process – as ‘rights holders’ and uniquely positioned to contribute towards the determination of nominations, – but also in management planning, in the governance of World Heritage Sites, and in monitoring and reporting.

These systematizations run parallel to each other. For instance, the determination of nominations and shaping of meanings are two expressions of the same aspect, which is the fact that local communities

have a primary rapport with the place, a right of belonging, and as such are holders of local knowledge which might very well not exist anywhere else. The diffusion and generation of more value, both cultural and economic, is in part an extension of this characteristic of being present in the territory. Both works also mention in detail the different roles of local communities in the governance of World Heritage Sites, with possible intervention moments in planning, management, monitoring and reporting.

Furthermore, Brown and Hay-Edie (2013) mention the importance of local communities in the context of ensuring the adaptive management of World Heritage Sites. In adaptive governance, participation is seen as necessary to build trust, deliberation “leads to shared understanding needed to mobilise and self-organise”, polycentric and multi-layered institutions “improve the fit between knowledge, action and social-ecological contexts in ways that allow societies to respond more adaptively”, and accountable authorities “pursue just distributions of benefits and involuntary risks” in order to “enhance adaptive capacity of vulnerable groups and society as a whole” (Lebel et al. 2006, p. 16). This theme can be contextualized by UNESCO’s emergent and increasing concern with sustainable development and disaster risk preparedness. In the report “Managing Cultural World Heritage” (2013a), UNESCO highlighted as a major challenge - and one in which local communities are expected to play a significant role - the accommodation of changes imposed on World Heritage by major global phenomena, such as climate change, while promoting sustainable development.

Excluding the part pertaining to nomination processes, as this document refers to established WHS, relevant moments for community engagement in the management of World Heritage Sites have thus been grouped into the following three strategic fields.

**Strategic Field 1 | *Participatory governance*** – community engagement in the formulation of the World Heritage management plan and monitoring program, as well as in the monitoring of the implementation of the plan and its impact. Do non-institutional local agents (i.e. residents), as present future stewards of the WHS, also have an active role in the formulation of the plan? Are local communities, as the on-the-ground and most well-tuned entities available, engaged and capacitated to the monitoring of the management plan? How is the site status affecting local quality of life, and how are gains and opportunities distributed?

**Strategic Field 2 | *Local adaptive capacity*** – response capacity of local community and emergency decisions taken in the context of an adaptive management plan. Are local entities, agents and communities capacitated and prepared to provide flexible responses to uncertainty and climate change? Are there opportunities for new paths and suggestions? Are they involved in risk mitigation?

**Strategic Field 3 | *Heritage nurtured by a sense of place*** – community engagement in the determination and diffusion of heritage meaning and significance, as well as the diffusion of heritage values and opportunities. Is the local community’s viewpoint, local knowledge and manpower taken into consideration when determining and disseminating the authenticity, meaning and significance of places and heritage? Are communities being supported in the creation of new values and opportunities?

Furthermore, in order to provide a feel for what it means to have fully engaged communities, examples of what community engagement could look like at its best have been condensed into Table 2, based on the different references consulted.

The examples of the monitoring indicators of these strategic fields were based on Swain and Hollar (2003), Weaver et al. (2010) and Victorian Government Department of Human Services (2005).

*Table 2. What could community engagement look like? Examples for different moments and opportunities.*

**STRATEGIC FIELD 1 | Participatory Governance.**

ENGAGEMENT OPPORTUNITIES	<b>PASSIVE PARTICIPATION</b> STEWARDSHIP • SAFEGUARDING • CONSERVATION	<b>TRANSFORMATIVE ENGAGEMENT</b> ACTIVE LOCAL GOVERNANCE • TRANSFORMATION • PROACTIVITY
FORMULATING THE MANAGEMENT PLAN AND MONITORING PROGRAM	Local agents' perspectives are consulted and gauged.	Local agents are present and active from the onset, in debate and formulation of plans.
MONITORING THE IMPLEMENTATION OF THE PLAN	Local agents, as well-tuned sensors of their surroundings, provide insight on impacts and daily occurrences.	Local agents want the plan to be successful, and thus propose course corrections.
MONITORING THE IMPACT OF THE PLAN	Local agents provide feedback and evaluation.	The local community has a vision for the future and monitors the impact of the plan in accordance.

**STRATEGIC FIELD 2 | Local adaptive capacity.**

ENGAGEMENT OPPORTUNITIES	<b>PASSIVE PARTICIPATION</b> STEWARDSHIP • SAFEGUARDING • CONSERVATION	<b>TRANSFORMATIVE ENGAGEMENT</b> ACTIVE LOCAL GOVERNANCE • TRANSFORMATION • PROACTIVITY
RESPONSE CAPACITY	Local agents are capacitated for emergency response.	Local agents and entities invest energy and resources in improving the local community's resilience, i.e. through risk mapping.
EMERGENCY DECISIONS	Local agents, as well-tuned sensors of their surroundings, provide immediate insight into any changes.	Citizen groups are capable of making emergency decisions in the context of an adaptive heritage management plan.



Table 2. (cont.) What could community engagement look like? Examples for different moments and opportunities

**STRATEGIC FIELD 3 | Heritage nurtured by a sense of place.**

ENGAGEMENT OPPORTUNITIES	<b>PASSIVE PARTICIPATION</b> STEWARDSHIP • SAFEGUARDING • CONSERVATION	<b>TRANSFORMATIVE ENGAGEMENT</b> ACTIVE LOCAL GOVERNANCE • TRANSFORMATION • PROACTIVITY
DETERMINATION OF HERITAGE MEANING AND SIGNIFICANCE	Local agents safeguard their local knowledge and sense of place, thus preserving the authenticity and integrity of the place.	<p>Local entities develop a sense of ownership and responsibility, investing in heritage conservation and in the continuity of intangible heritage and cultural values.</p> <p>Local agents contribute towards determining heritage value and shaping the meaning of the site, along with expert opinions.</p>
DIFFUSION OF HERITAGE VALUES	Local agents are engaged in helping harness local knowledge for further diffusion.	<p>Local agents act as ambassadors, actively sharing local heritage values and knowledge.</p> <p>Local agents are involved in independent heritage value generation, and the creation of economic opportunities in the cultural, tourism, heritage and creative economy sectors.</p>

**CRITICAL ISSUES**

Investment for devolution

There are many reasons why institutions might want to involve civil society. However, the truth is that there remains a certain mistrust regarding community engagement (UNESCO 2018a). People-centred governance and participatory processes do not always guarantee desirable outcomes (Metzger 2011) and present specific obstacles, such as difficulties in obtaining input from all stakeholders, the tendency of less informed agents to try to identify the impacts of the process too early, or their lack of enough understanding of the situation (O’Brien et al. 2013).

Above all, furthering community engagement will hardly happen without investment; as Lusiani et al. (2018) explain, “not all types of participation are, in fact, always present or relevant. (...) In any case, participation in site governance does not just happen per se; it must be orchestrated: failing to do so leads to the problems of administrative fragmentation (...).” On the other hand, the results of such an investment can be rather intangible and delayed in time. But if the ultimate aim of engagement is the

devolution of some power into the hands of citizens and communities, one might wonder where that investment is going, exactly – doesn't that mean it is ultimately "lost"? The long-term benefits championed by UNESCO and socially driven literature might seem paltry to institutions and investors, as the results of such an investment can be rather intangible and delayed in time. Therefore, it is necessary to proceed rationally, and according to tested and structured methodologies and principles.

Existing frameworks and guidelines for community engagement vary according to each site and organization. COMPACT's community-driven approach, for example, relies on several principles relevant to initiatives at World Heritage Sites, which also illustrates the need for investment and its long-term returns (Brown & Hay-Edie 2013). It shows that investment is necessary, but also that it can be surgically planned and applied. Such principles include:

- The importance of ownership and responsibility – problems, and specifically sustainability problems, are better addressed if local people are involved;
- The crucial role of social capital – thoughtful investment in local institutions and individuals can help build the capacity of communities for stewardship of their surroundings;
- Sharing power – supporting community-led initiatives requires transparency, trust, flexibility and patience, but is key to strengthening civil society;
- The cost-effectiveness of small grants – with small amounts of funding, members of local communities can undertake activities that will make a significant difference in their lives and environments, with global benefits;
- Making a commitment over time – community-driven processes take time and require long-term support by local authorities.

### Power Differentials

Power differentials in representation and visibility are one of the main worries in community engagement, and in participatory processes in general. There is a danger that people-centred, participatory processes will be used as a cover to legitimize institutionally-led proposals, while actually having no power to change policy; and that power imbalances within the participatory processes - between institutions and citizens, but also between different citizen groups - will disproportionately shift power away from the most vulnerable stakeholders (Fainstein 2015). Governance is, after all, indivisible from "power, relationships and accountability: who has influence, who decides, and how decision-makers are held accountable" (Graham et al. 2003).

When discussing heritage, power differentials might start at a basic level: knowledge-holding. Local knowledge held by the community is often mistrusted by professionals, who favour positivist and scientific knowledge, but who also stand outside the community and have trouble grasping its views (Curry 2012). Access to knowledge, and the power derived from it, is neither equal nor easy for all individuals of a community, some of whom are more vulnerable than others. Inequality in distribution of knowledge means that the identity of key local players depends on the subject at hand (Dekens 2007).

When UNESCO declares that the knowledge, views and initiative – indeed, the very definition – of heritage possessed by local agents should be taken into account, when determining and disseminating

the authenticity and significance of places and heritage, dealing with the realities of power differentials becomes inescapable (UNESCO 2013b). It is possible to build guidelines and recommendations for the management of WHS that take into account power differentials.

For instance, one such recommendation dictates that, when implementing a process or project or action on the ground, it is important to have someone bridge the gap between institutions, communities, and diverse stakeholders. These local coordinators are key links, “chosen with an intimate knowledge of the local context”, playing “a critical role as ‘facilitators’ of community engagement: making connections between different stakeholders; coordinating learning exchanges among communities; and helping local groups find resources to further their (...) initiatives” (Brown & Hay-Edie 2013).

### Emphasis on belonging

Sometimes, it might just be the case that a World Heritage Site, or building, or any another aspect of a place’s heritage, is better known as ‘heritage’ globally than locally. Heritage is a continuously evolving concept, juxtaposing a diversity of often conflicting ‘epistemic communities’ “who struggle to stake their claim to, define, and ultimately utilize, the discourse of heritage or a particular crystallization of heritage in the form of tangible sites or intangible traditions” (Di Giovine 2015, pp. 87-88). Nevertheless, cultural heritage – both tangible and intangible – is essential to the identity of local communities, their sense of place and stability: “The identity of peoples and the cohesion of societies are deeply rooted in the symbolic tissue of the past. Or in other word, the conditions for peace reside, to a large extent, in each individual’s pride in their cultural roots” (Albert & Gauer-Lietz 2006, p. 30).

When trying to engage local communities in the stewardship of World Heritage Sites, with the protection of the sites in mind, the challenge goes beyond furthering the recognition of their OUV. As the COMPACT report explains, “While the World Heritage designation had brought ‘the eyes of the world’ to the site, the potential for the sustainable development of local populations was often poorly understood and applied” (Brown & Hay-Edie 2013).

Furthermore, amongst competing claims for the definitions of the value, significance, and discourse attached to heritage, there is great tension surrounding the principle of heritage self-determination. Local people, as knowledge and heritage holders, often possess operational understandings and uses of heritage sites that conflict with those of external experts’ and even UNESCO’s, making it necessary to achieve a balance in heritage-related processes – ideally, by having knowledge holders involved, initiating the processes and devising their own safeguards, while taking into account the formal structures of expertise (Bortolotto 2015).

The acknowledgement of the role of culture and heritage in determining people’s roots and identity brought with it a simultaneous acknowledgment that heritage holders and local communities have a role to play in the determination of heritage values themselves, the acceptance of participatory practices and processes, and, above all, that heritage and community are essential to each other, each fostered and nurtured along the other (Di Giovine 2015, Adell et al. 2015). Also, with the Nara document and the embracing of participation, UNESCO implicitly encourages the idea of a ‘cultural right to belong’, and of a ‘primacy of belonging’.

“In defining ICH [intangible cultural heritage] as the practices, representations, expressions, knowledge and skills that provide communities “with a sense of identity and continuity” (UNESCO 2003, art. 2.2; our emphasis), the 2003 Convention acknowledges the constructed nature of identity, resulting from a subjective process of identification. This entails a more profound shift, whereby the key actors in heritage legitimation are no longer the scientific heritage agents through their authenticating authority, but the communities that identify themselves with particular cultural elements. Communities are, therefore, supposed to have a key role in recognizing such traditions as “heritage” and in safeguarding them.” (Adell et al. 2015, p. 10)

Thus, the point of view of local communities is now considered important in determining the meaning and the authenticity of heritage, and the voice of local communities essential for the governance of the site (Lusiani et al. 2018). Furthermore, a sense of belonging is supposed to be fostered if missing or fading and supported so that it will continue to thrive in the future. For that purpose, before promoting community engagement initiatives specifically geared towards stewardship or a sense of place, it is important to revisit the pillars of belonging, which are the principles of sustainable development (Brown & Hay-Edie 2013). There can be no sense of stability or belonging until the following questions start receiving positive answers:

- Is the environmental sustainability of the place accounted for?
- Is inclusive social and economic development taking place?
- Does the community feel safe?

## STRATEGIC OBJECTIVES, MEASURES AND GUIDELINES FOR ACTION

### *Strategic Field 1. Participatory governance*

- **Strategic Objective 1.1** | Harness the perspective of local communities.

#### **Heritage Husting, Edinburgh (Scotland)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 15.

#### **Consultation Process for Management Plan, Edinburgh (Scotland)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 15.

### **Methodology for inventorying intangible cultural heritage in biosphere reserves: the experience of Montseny (Spain)**

“Initiated by the UNESCO Centre in Catalonia, a non-governmental organization, the project focuses on the identification of intangible cultural heritage in a biosphere reserve and the drawing up of inventories. The project was undertaken in an area covering the Montseny Biosphere Reserve and National Park in the Autonomous Community of Catalonia, in cooperation with local stakeholders and institutions working in the fields of ethnology and traditional and popular Catalan culture. Its main objectives and outcomes were threefold: to design a methodology for preparing inventories; to draw up an inventory; and to prepare a document on the contributions of intangible cultural heritage to sustainable development. Through its participation plan and fieldwork, the project has also encouraged the involvement of the local population in identifying its intangible cultural heritage. The methodology developed for this project could be reproduced at the regional and international levels and is suitable for developing countries. The observations on the contributions of intangible cultural heritage to sustainable development could also be useful for countries that have a rich natural and intangible heritage and are seeking ways to improve the conditions of their populations, without jeopardizing the opportunities for future generations.”

(<https://ich.unesco.org/en/BSP/methodology-for-inventorying-intangible-cultural-heritage-in-biosphere-reserves-the-experience-of-montseny-00648>)

- **Strategic Objective 1.2** | Collaborate with local agents on a vision for the future.

### **Elaboration process of Regensburg’s World Heritage Site Management Plan Public Consultation Process (Germany)**

“Early 2010 the City of Regensburg had invited interested citizens to discuss the future of the World Heritage site of Regensburg. More than 70 people attended the meeting. Forming small groups, each per field of action, the participants developed proposals for actions and at the end presented them to the plenum. All proposals were reviewed by the municipality. Those which can be implemented were added to the management plan. In the public discussion was also decided to include two citizen representatives to the management plan working group. Dr Rosa Micus, a specialist in German studies, Dr Peter Morsbach, an art historian, will participate in all working group meetings and contribute in particular the proposed actions of the citizenry to the process. The process has shown how important contribution of civil society for World Heritage is. This great potential should to be used in the future. It is planned to hold public discussion regularly in the future. By this, the public can be informed about the implementation of the management plan and can also take part in the updating of it.”

(<https://www.regensburg.de/welterbe/en/projects/completed-projects/management-plan>)

#### *Strategic Field 2. Local adaptative capacity.*

- **Strategic Objective 2.1** | Build local capacity for emergency response.

### **Health Department uses community approach to protect people against carbon monoxide poisoning (Washington, USA)**

“In January 2012, the region [King County, Washington] experienced a snow and ice storm that led to a similar power outage situation. However, with the strengthened resilience coalition in place, Public Health—Seattle and King County rapidly disseminated CO information to community partners using channels recommended by the community. Flyers in 25 languages blanketed hardware stores, grocery stores, language schools, apartments and businesses in identified neighbourhoods. Information was broadcast over ethnic media outlets, community webcasts, loudspeakers at Lunar New Year festivals, taxicab dispatchers, and through a robot-call from a local mosque. Most importantly, hundreds of community partners received CO warnings and relayed information to their constituents. As a result, the number of CO poisonings was a tenth of what they were 5 years prior, and there were no fatalities. This culturally sensitive, social network-driven response likely reduced poisoning incidents. At the same time, it built up relationships and goodwill between the health department and diverse community segments.”

(National Research Council 2012, p. 122)

- **Strategic Objective 2.2** | Support citizen groups involved in community resilience.

### **Role played by collective narratives in Simeulue Island (Indonesia)**

“Collective narratives can play a role in maintaining social memory, as they did on Simeulue Island in Indonesia, where residents orally passed down lessons learned from a devastating tsunami. When an earthquake occurred on December 26, 2004, these residents knew they had to evacuate to higher ground immediately and their island experienced far lower casualties than other neighbouring islands (Meyers and Watson, 2008). In New Orleans East, the older members of the Vietnamese community transferred what they had learned from previous adversities, such as how to pool resources and how to construct homes, sharing their experiences with the younger generations. Consequently, their community recovered more quickly than other devastated parts of the region.”

(National Research Council 2012, p. 139)

*Strategic Field 3. Heritage nurtured by a sense of place.*

- **Strategic Objective 3.1** | Nurture local communities as stewards of local knowledge and heritage.

### **Routes to Roots, Edinburgh (Scotland)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 107.

### **Cultural Heritage Education Programme: “Apprendisti Ciceroni” (Italy)**

“The Cultural Heritage Education Programme “Apprendisti Ciceroni®” is a well-established programme that instills in young people an awareness of the value of the artistic, cultural and natural heritage in Italy. Students aged 14-19 years old are given the opportunity to study one or more important heritage sites in their region and to present them as tour guides to the public during special events organised by the non-profit organisation FAI - Fondo Ambiente Italiano. In preparation, students engage in training activities which take place both in the classroom and outside in the field using a methodology which has been developed by FAI over many years. As a result, the students feel involved in the social, cultural and economic life of their communities. They also feel encouraged to attune their understanding and knowledge of local heritage. The participants emerge from the programme with a new set of valuable skills whereby they lead tours at FAI events as well as for private and public cultural institutions.”

(<https://www.coe.int/en/web/culture-and-heritage/-/cultural-heritage-education-programme-apprendisti-ciceroni->)

- **Strategic Objective 3.2** | Encourage local agents in the protection, determination, diffusion and generation of heritage values.

### **Compostela Capitalize, Santiago de Compostela (Spain)**

For more information see the study made by the AtlaS-WH (2019) Florence team entitled ‘Thematic study on common challenges’, p. 19.

## STRATEGIC OBJECTIVE 1.1 | Harness the perspective of local communities.

PARTICIPATORY GOVERNANCE		PASSIVE PARTICIPATION STEWARDSHIP • SAFEGUARDING • CONSERVATION	
ENGAGEMENT OPPORTUNITIES	MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
FORMULATING THE MANAGEMENT PLAN AND MONITORING PROGRAM	I. Consult and gauge the opinions and views of the local community.	<ul style="list-style-type: none"> <li>a) Capacitate facilitators to bridge the divide between institutional and non-institutional groups, as well as different local groups.</li> <li>b) Formulate a well-defined and physically accessible participatory cycle.</li> <li>c) Network with the local community, and specifically local groups and collectives, to generate interest.</li> <li>d) Anticipate how the results of the participatory process will be incorporated into the plan.</li> <li>e) Open avenues to later inform the local community of how their contribution was incorporated into the plan.</li> </ul>	<ul style="list-style-type: none"> <li>a) Sufficient and accurate information made available to community members and local stakeholders alike, enabling them to contribute to decision-making processes if they so choose.</li> <li>b) Communities and local stakeholders informed, involved and consulted about policy developments at the organisational and program levels.</li> </ul>
MONITORING THE IMPLEMENTATION OF THE PLAN	II. Capacitate the local community to monitor its surroundings.	<ul style="list-style-type: none"> <li>a) Capacitate facilitators and experts to bridge the 'language barrier' between formal and informal knowledge.</li> <li>b) Capacitate facilitators and local leaders to harness local knowledge for the purpose of monitoring processes.</li> <li>c) Formulate monitoring processes that double as capacity building processes for the community, such as community mapping or citizen science projects.</li> <li>d) Plan how the information gathered during the monitoring actions is to be transmitted and used for course correction, if necessary.</li> </ul>	<ul style="list-style-type: none"> <li>a) Development of mechanisms, by heritage services, for community engagement and participation in the monitoring process.</li> <li>b) Evidence of best practices being recorded and shared between agencies and communities.</li> </ul>
MONITORING THE IMPACT OF THE PLAN	III. Ensure that the local community can provide feedback and evaluation.	<ul style="list-style-type: none"> <li>a) Open permanent and accessible channels of communication (i.e. an office, a platform, etc.), weighting the choice between digital and traditional options, according to the capabilities of the community.</li> <li>b) Network with local groups to spread information regarding the existence of communication channels and how to use them.</li> <li>c) Conduct surveys, workshops, meetings or other forms of direct contact, to gather feedback on the opinions of the community regarding specific measures and actions of the management plan.</li> <li>d) Report back to the community periodically, to confirm the reception of their feedback and its impact on the governance of the World Heritage Site.</li> </ul>	<ul style="list-style-type: none"> <li>a) Existence of documents, reports and studies which acknowledge the community's feedback and its impact.</li> <li>b) Context dependent indicators to assess and measure community engagement in decision making.</li> </ul>



## STRATEGIC OBJECTIVE 1.2 | Collaborate with local agents on a vision for the future.

PARTICIPATORY GOVERNANCE		TRANSFORMATIVE ENGAGEMENT ACTIVE LOCAL GOVERNANCE • TRANSFORMATION • PROACTIVITY	
ENGAGEMENT OPPORTUNITIES	MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
FORMULATING THE MANAGEMENT PLAN AND MONITORING PROGRAM	I. Accept local agents as present and active partners from the onset, in the debate and formulation of plans.	<ul style="list-style-type: none"> <li>a) Identify and map the networks, leaders and stakeholders most relevant to the local community.</li> <li>b) Capacitate both institutional and/or governmental agents and community agents for collaboration and conflict mediation.</li> <li>c) Discuss cultural and heritage values, what constitutes a shared vision of the future, and a shared sense of place.</li> <li>d) Seek appropriate (physical or digital) avenues for meeting and/or building rapport.</li> <li>e) Plan cycles of meetings with the agreement of all parts.</li> <li>f) Elaborate collaborative documents and text sections with the approval of all stakeholders, including community representatives, to be shared with the wider local community.</li> </ul>	<ul style="list-style-type: none"> <li>a) Community members present on key governance structures who have taken over some responsibilities in formulating management plans and monitoring programs.</li> <li>b) Communities and local stakeholders informed and engaged in active debate, which contributes to policy developments at the organisational and program levels.</li> <li>c) Percentage of community members actively engaged and collaborating on heritage management projects at an organisational level.</li> <li>d) Number, impact and community approval of engaged community members with a leadership role on heritage management projects at an organisational level.</li> </ul>
MONITORING THE IMPLEMENTATION OF THE PLAN	II. Listen to local agents regarding proposed course corrections.	<ul style="list-style-type: none"> <li>a) Include citizen-led or mixed entities, such as citizen councils, and local community stakeholders, in the creation and support of any plan monitoring system.</li> <li>b) Seek the advice and suggestions of active community members regarding efficient reporting and daily monitoring tools.</li> <li>c) Hold regular meetings with active community stakeholders to evaluate the necessity of course corrections in the implementation of the plan.</li> <li>d) Ask for the help of active community members in interpreting information collected during passive participatory monitoring processes.</li> <li>e) Listen and intervene when alerts are raised by active community members.</li> </ul>	<ul style="list-style-type: none"> <li>a) Partnerships established between community groups, local stakeholders, institutions and practitioners of monitoring processes.</li> <li>b) Creation of a body of facilitators trained in mediation and interpretation of the differing needs and ontologies of community members, local stakeholders, and formal entities.</li> <li>c) Percentage of decisions made based on proposals from community members.</li> </ul>
MONITORING THE IMPACT OF THE PLAN	III. Debate with local agents who are already invested in the future of the WHS and monitoring its impact.	<ul style="list-style-type: none"> <li>a) Include citizen-led or mixed entities and local community stakeholders in the creation and support of any impact monitoring system.</li> <li>b) Hold regular discussions regarding the desired management plan outcomes for the community, how well its impacts match the outcomes and a shared vision for the future.</li> <li>c) Produce collaborative documents regarding the citizens' role in monitoring, to be shared with the wider local community (i.e., in evaluation reports, in websites, etc.).</li> <li>d) Collaborate with active local stakeholders to bring negative impacts to public discussion.</li> </ul>	<ul style="list-style-type: none"> <li>a) Community members and related agents involved and consulted on a range of quality improvement initiatives.</li> <li>b) Number, duration, turnout and participant's evaluation of the relevancy of meetings between community members, institutional agents, and other local stakeholders.</li> </ul>

**STRATEGIC OBJECTIVE 2.1 | Build local capacity for emergency response.**

LOCAL ADAPTIVE CAPACITY		PASSIVE PARTICIPATION STEWARDSHIP • SAFEGUARDING • CONSERVATION	
ENGAGEMENT OPPORTUNITIES	MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
RESPONSE CAPACITY	I. Provide local communities with training for emergency response.	<p>a) Build the capacity of local systems for first response in case of emergency by providing joint training opportunities – adapted to the specific challenges (climatic, geographical, etc.) of each WHS – directed at the local community and the formal emergency responders who work with it.</p> <p>b) Create informative materials (booklets, websites, outdoors, etc.) to be distributed amongst the local community, focusing on emergency procedures, which should include contact options and hotlines, the fragilities of each heritage zone or building, and needs of the community itself, especially regarding its most vulnerable members (i.e. elderly people living alone, homeless people, disabled people, etc.).</p> <p>c) Create informative material focusing on risk mitigation on World Heritage Sites (i.e. reducing the risk of landslides due to inappropriate construction work).</p> <p>d) Devise public activities geared towards increasing awareness regarding emergency needs (i.e. risk of flooding), including both the permanent local community and temporary visitors.</p> <p>e) Develop programs focused on emergency response and risk mitigation aimed towards young people, for implementation in schools.</p> <p>f) Report back to the community periodically regarding the efforts and successes in improving the resilience and building the capacity of WHS systems, especially in what concerns all actions involving the community but also any formal entities aiming at growing closer to it and collaborating with it.</p>	<p>a) Percentage of the local community which has sought and received instruction and training in emergency response.</p> <p>b) Existing educational and training programs for key local agents and entities aimed at community emergency response.</p> <p>c) Number and quality of feedbacks regarding training programmes aimed at community emergency response.</p> <p>d) Number of initiatives aimed at improving systemic capacity and community resilience, by providing joint training and strengthening ties between multiple stakeholders, from local community members to formal agents.</p> <p>e) Existence and local community's knowledge of released studies, reports and evaluations regarding the situation, actions and progress in the areas of resilience and response capacity in the WHS area.</p>
EMERGENCY DECISIONS	II. Capacitate local communities to translate their atonement to their surroundings into early warnings.	<p>a) Capacitate mediators to bridge the gap between formal and informal knowledge, by helping interpret early signs of disaster and risk (i.e. flooding, landslides, etc.).</p> <p>b) Create early sign charts, warnings charts, and reporting systems that are accessible and can be easily understood by all people in the community, and provide training in their use.</p> <p>c) Divulge emergency contacts and reporting platforms through existing community networks, and encourage their use.</p>	<p>a) Number of mediators capacitated to fill the gap between formal and informal knowledge.</p> <p>b) Number of early sign and warning charts approved by the general population.</p>

**STRATEGIC OBJECTIVE 2.2 | Support citizen groups involved in community resilience.**

LOCAL ADAPTIVE CAPACITY		TRANSFORMATIVE ENGAGEMENT ACTIVE LOCAL GOVERNANCE • TRANSFORMATION • PROACTIVITY	
ENGAGEMENT OPPORTUNITIES	MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
RESPONSE CAPACITY	I. Support local agents and entities involved in projects that improve the local community's resilience, and incorporate these as best practices.	<ul style="list-style-type: none"> <li>a) Identify local agents and networks with an active role in improving local resilience and reducing vulnerability, in order to create a directory;</li> <li>b) Evaluate and support existing projects and actions, implemented by active community members, which aim to improve the community's and the WHS resilience;</li> <li>c) Provide training so that active stakeholders from different local groups can act as facilitators and mediators in emergencies;</li> <li>d) Develop emergency response programs and ludic activities in collaboration with schools and local collectives.</li> <li>e) Incorporate the successful resilience and capacity building actions and projects devised by active community members into the adaptive management of the WHS, as best practices or opportunities for course correction, as needed.</li> </ul>	a) Opportunities and mechanisms for government and other formal institutions to actively facilitate involvement by community groups and local agents in decision making, regarding heritage related response capacity and emergency decisions.
EMERGENCY DECISIONS	II. Support citizen collectives and individuals capable of making emergency decisions in the context of an adaptive heritage management plan.	<ul style="list-style-type: none"> <li>a) Identify community members that are both active stakeholders in the area and heritage stewards or knowledge holders;</li> <li>b) Encourage the inclusion of citizen-led or mixed collectives (groups, councils) into the management system of the World Heritage Site, for the specific purpose of adaptive management, risk reduction, resilience building and emergency response;</li> <li>c) Create avenues for reporting and incorporating the suggestions and decisions of active community stakeholders into the WHS management system;</li> <li>d) Open paths to enable decisions by citizen-led or mixed collectives, as well as local stewards, whenever the plan is not able to provide a response to emergency situations or new and changing scenarios.</li> </ul>	<ul style="list-style-type: none"> <li>a) Existence of citizen collectives and individuals responsible for adaptive management and related activities and integrated into the management system of WHS.</li> <li>b) Interviews to community stakeholders invested in adaptive heritage management plan and analysis of their motivations and objectives, for each community and site.</li> </ul>

### STRATEGIC OBJECTIVE 3.1 | Nurture local communities as stewards of local knowledge and heritage.

HERITAGE NURTURED BY A SENSE OF PLACE		PASSIVE PARTICIPATION STEWARDSHIP • SAFEGUARDING • CONSERVATION	
ENGAGEMENT OPPORTUNITIES	MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
DETERMINATION OF HERITAGE MEANING AND SIGNIFICANCE	I. Help local communities safeguard a sense of place and local knowledge, thus preserving the authenticity of the place.	<ul style="list-style-type: none"> <li>a) Promote programs that support or place community members as stewards of their shared heritage, creating steward or guardian networks (through digital or traditional platforms);</li> <li>b) Provide training opportunities regarding the heritage sector, its value and conservation;</li> <li>c) Provide avenues and activities to bring the lay community members and the institutional and/or governmental local agents closer together, so that a common vision for the future and a shared sense of place can be built;</li> <li>d) Develop programs focused on heritage value, identity, local knowledge and local roots aimed towards young people, for implementation in schools;</li> <li>e) Create events, or support existing events (such as festivals), rooted in local traditions and the communities' sense of place, ensuring the continuity of those traditions with respect and dignity, and portraying them with pride to the wider public.</li> </ul>	<ul style="list-style-type: none"> <li>a) Compilation of context-dependent checklists regarding the progress of community involvement in heritage activities.</li> <li>b) Number of, and amount of investment in, implemented local heritage programmes – identified as important and relatively consensual by the local community.</li> </ul>
DIFFUSION OF HERITAGE VALUES	II. Engage and support local communities in harnessing local and traditional knowledge for further diffusion.	<ul style="list-style-type: none"> <li>a) Identify and allocate supports or funds to existing activities and projects (i.e. community mapping) related to the harnessing of local and traditional knowledge and the diffusion of cultural and heritage values;</li> <li>b) Help promote new activities and projects of the same kind, led by community members or in collaboration with community members;</li> <li>c) Formulate participatory initiatives (workshops, meetings) to discover the views of the local community on how to ensure its own long-term cultural sustainability while preserving the authenticity and integrity of its tangible and intangible local heritage (for instance, what are the community's suggestions to best support the local creative and cultural economy?).</li> </ul>	<ul style="list-style-type: none"> <li>a) Relevant and accessible information provided to local heritage users, holders and stewards, in their own language, for the purpose of enabling them to make informed decisions about heritage.</li> <li>b) Relevant heritage-related objectives pertaining to the least engaged and motivated communities and local groups.</li> <li>c) Number, duration, turnout and participants' evaluation of activities related to the diffusion and conservation of heritage, as well as heritage-related cultural and economic activities.</li> </ul>

**STRATEGIC OBJECTIVE 3.2 | Encourage local agents in the protection, determination, diffusion and generation of heritage values.**

HERITAGE NURTURED BY A SENSE OF PLACE		TRANSFORMATIVE ENGAGEMENT ACTIVE LOCAL GOVERNANCE • TRANSFORMATION • PROACTIVITY	
ENGAGEMENT OPPORTUNITIES	MEASURES	GUIDELINES FOR ACTION	MONITORING INDICATORS (EXAMPLES)
DETERMINATION OF HERITAGE MEANING AND SIGNIFICANCE	I. Support local agents in the development of a sense of ownership and responsibility, as well as the determination of heritage value and the shaping the meaning of the site, in collaboration with expert opinions.	<p>a) Identify community guardians and knowledge holders - people who are responsible and feel responsible for different sites, buildings and traditions, - and incorporate their voices into decision-making regarding the value and meaning of local heritage;</p> <p>b) Discuss heritage values and meanings with active community stakeholders, harnessing their perspectives on the significance of the culture and values of the site, and provide regular reporting spaces (in formal documents, in the media) to make that significance known;</p> <p>c) Collaborate with active community stakeholders in identifying relevant actions and projects for the purpose of ensuring the protection, determination, diffusion and generation of heritage values;</p> <p>d) Support the path of local stewards and knowledge holders who have assumed the responsibility for preserving and upholding traditions, values, and even the physical upkeep of heritage spaces.</p>	<p>a) Identification and percentage of heritage programmes which are specifically sponsored by community-based organization or other non-governmental entities.</p> <p>b) Developments of a community engagement and participation plan with annual reports provided to the responsible bodies and the local community on the results achieved.</p>
DIFFUSION OF HERITAGE VALUES	II. Collaborate with local ambassadors, who actively share local heritage values and knowledge, as well as those involved in independent value generation and the creation of economic opportunities.	<p>a) Identify community ambassadors, who actively represent the World Heritage Site while simultaneously voicing the needs of the local community, and collaboratively study opportunities to further their action (grants, funds, awards, etc.);</p> <p>b) Meet with active community stakeholders and discuss relevant ways of supporting community members involved in independent value generation and the creation of creative economic opportunities rooted in local cultural heritage;</p> <p>c) Produce collaborative documents with suggestions and resolutions regarding the local creative economy, to be presented to the wider community for consideration and debate.</p>	<p>a) Intra-community approval and support of key community members involved in the determination and diffusion of heritage values.</p>



## 5. MANAGEMENT SYSTEM

The Management System is one of the key elements of the Management Plan. According to UNESCO et al. (2013, p. 23), the “(...) term ‘management system’ can be explained as a series of processes which together deliver a set of results, some of which feed back into the system to create an upward spiral of continuous improvement of the system, its actions and its achievements”. The feedback process of the Management System generates cycles of planning, implementation and monitoring that allows the Management Plan to be updated and guarantees the consistency of its objectives with the policies instituted.

The management system enables the effective and sustainable protection of the sites heritage values (Grgurević 2016), and it guarantees that the Management Plan operationalization stays focused on the defined objectives and allows the ongoing improvement of the Management Plan and its system, keeping in mind a broader agenda that includes the sustainable use and the benefit-sharing between the entities of the WHS and all the partners of different levels (UNESCO et al. 2013).

The development of a Management System that is efficient, effective and sustainable relies on its ability of implementing a “(...) values-led approach, deliver approaches that anticipate and manage change, and Invest in the relationship between heritage and society, constantly examining why and how cultural heritage should be conserved and for whom and with whom” (UNESCO et al. 2013, p. 24).

The values-led approach is acknowledged by UNESCO as the most suitable to maintain and manage heritage due to its capacity to recognize the rising complexity of heritage and its relations. This approach is more engaging with the society that is part of WHS since it “(...) adopts the premise that people in society ascribe various values to heritage” (UNESCO et al. 2013, p. 25). The methodology adopted by values-led approach is based on four stages: (i) collect data/information, (ii) evaluate significance and the importance that the WHS has on society (this engages a participatory process), (iii) assess the conditions of WHS and (iv) plan for WHS conservation/management (UNESCO et al. 2013).

Managing the WHS requires approaches that can handle the continuous change of the site as it evolves in accordance with human needs and other external factors, such as natural disaster risks, climate change and the pressure perpetrated by tourism activities and real estate speculation.

As UNESCO et al. (2013, p. 115) states “A management system benefits from assessing progress against targets (outputs) and broader objectives (outcomes), and then analysing discrepancies and their causes.”

Based on UNESCO et al. (2013), UNESCO (2016), and Makuvaza (2018), there are a number of objectives that must be pursued in order to create a management system more efficient with the ability of sustain the preservation of heritage sites and support the Management Plan.

Taking that into consideration and focusing in the complex institutional context and organization that characterizes Management Systems, these should aim to ensure, first and foremost, real accountability conditions and management transparency. This will help, on one side, institutions to

develop a much easier connection among themselves, while, on the other side, it will help to establish the roles that institutions must perform in relation with heritage sites.

Another main goal of the management system is to reach specific outcomes defined for each site and its stakeholders. This should pass by developing a thriving community around the heritage site, which enhances wider social, economic and environmental benefits beyond the boundaries of each site, embracing its buffer zone, as well as the larger urban area of the city.

Regarding the monitoring and evaluation process, a crucial part of the elaboration of a Management System, implementing monitoring and evaluating systems is an essential step.

Another intended goal is to assure that WHS play a role in sustainable development and securing heritage benefits for the site and its stakeholders. With that purpose, it is important to provide the adequate tools to review and update existing management plans, increasing their contribution to achieve the desired sustainable development goals and its regulation effectiveness.

## 5.1. Institutional Context and Organization

### 5.1.1. Institutional Complexity

#### OVERVIEW

A complex Management System generally characterizes historical centres where several institutions, with distinct goals and working practices, have a word to say in management and maintenance processes of heritage sites (Makuvasa 2018, UNESCO et al. 2013).

The institutions responsible for WHS management are diverse in their nature, having fixed delimitations when it comes to their area of jurisdiction and influence. However, that does not avoid overlapping situations among their duties, which leads, often, to situations of conflict and misunderstanding regarding the management of heritage sites (Makuvasa 2018). Moreover, these heritage sites are constantly influenced by several regulations at a local, regional, national and international levels (UNESCO et al. 2013). All this different management levels, along with the diverse number of institutions present within each level, triggers the institutional complexity context (Makuvasa 2018).

Establishing bridges and connections is essential as there are multiple voices, diverse interests, distinct opinions, and the need for a higher level of compromise between different institutions. Only with an open and fluid communication between institutions will be able to optimize the heritage site Management System (Makuvasa 2018).

It is important to have in mind that the stakeholders are even more diversified in more complex sites and continue to depend on a working legal and institutional system (UNESCO 2016).

#### UNDERSTANDING THE INSTITUTIONAL COMPLEXITY

The local level is the most affected by this institutional complexity. Specially, the responsible organisms for the daily heritage management, who must justify their actions to a panoply of superior institutions, such as ministries, while, simultaneously, have to oblige with the regulations presented



by international organizations. This complexity can be grounded on by an eventual conflict of interests between local, national and international organisms in relation with the goals and potentiality that each specific institution foresees for the heritage sites (Lusiani et al. 2018).

The large number of institutions justifies, in part, the complexity behind an heritage site, also because it is a common understanding that, the larger the administrative board becomes, with respect to the number of members and institutions it represents, more complex will become the management process of the heritage sites (UNESCO et al. 2013).

The institutions responsible for the conservation of the heritage site recognizes the need to create new ways of addressing the question related with heritage sites and their maintenance. This reality is also a factor for the increase of the complexity of the tasks performed by the specialists, along with the facilitation of a more positive interaction between the historical centre and its urban surroundings, especially with its associated Buffer Zone. This interaction between the historical centre and its surrounding environment goes beyond the material sense, extending also to the need of the historical centre to interact with the local community integrated in the maintenance and use of the heritage (UNESCO et al. 2013). The local community will be the one that will most benefit from the advantages and be armed by the negative consequences of any heritage site management plan (UNESCO et al. 2013).

All factors previously described, contribute to the institutional complexity and management of the historical centres, allowing the recognition of two distinct consequences, each with different impacts, but also with a relationship of conflicts among themselves:

- There is a necessity to elaborate new tools and strategies that help the interaction between stakeholders and management institutions with the main management challenges of the historical centres. Only when the proper institutions are aware of the existing challenges, they are able to act in conformity with the arising needs. This process will be further enhanced if there is a good communication process in place, whether through institutions, as well as between institutions and the local community (Lusiani et al. 2018, Ripp & Rodwell, 2018);
- The existence of a large number of institutions leads to a risk of overlapping and repetition of tasks. This risk can lead, consequently, to feelings of frustration, episodes of conflict and inefficiency in achieving established targets. On the contrary, the overlapping of tasks can have precisely the opposite effect. It can lead to a situation where the accountability of the institutions is lost. When there are many institutions with the same functions, it may happen that no institution ends up doing it, and essential tasks are not performed. All these situations are exacerbated by the lack of transparency and communication in the relationship between different institutions (UNESCO et al. 2013). In the cases where institutional levels are very high it is important to make stakeholder involvement manageable from the start of the process (UNESCO 2016).

The final goal of the management institutions and organizations is, therefore, and taking into consideration what was just presented, to certify that there is efficiency and sustainability in the way the decision-making processes are made, in order to ease, in every way possible, the positive management process of the historical centres. This optimized management is reached through a constant balance between the need for maintenance of the Patrimony and its OUV status, and the

need for flexibility as a way of making historical centres able to answer the challenges that defy, affect and change Human Cultural Heritage on a daily basis (UNESCO et al. 2013).

### THE CASE OF ATLAS-WH PARTNERS INSTITUTIONAL CONTEXT

A study was conducted concerning the institutional context of each ATLAS-WH partner in order to demonstrate the institutional complexity featured in WHSs as highlighted in the literature review above. This study produced two outcomes: a network analysis of the institutions involved in the management of WHS (Figure 10) and a graph that shows the number of existing institutions per level: supranational, national, regional, metropolis, intermunicipal and local (Figure 11).

The network analysis is a good demonstrator of the institutional complexity on heritage sites management and the relevance of the institutions of each ATLAS-WH partner. The institutions are represented by circles and the relevance is shown through the size of the circles. That means that the bigger the circles, the bigger the number of relations the institutions make and more important they become for the site management. Through the analysis, it is possible to acknowledge UNESCO as the key institution for the management of all WHS, and the institutions responsible for the day-to-day management in each site as playing an essential role.

### KEY CONSIDERATIONS

It was already seen that Management System is a key element of a proper Management Plan. It is characterized by its complexity regarding the institutional reality and the need for flexibility to accommodate the daily challenges presented. This is based on a values-led approach as the key for success.

With this in mind, four major considerations should be taken into account as a way to allow management systems to incorporate the institutional complexity that characterizes heritage sites. This concerns the capacity of (i) interaction between institutions, (ii) the improvement of transparency and institutional accountability, (iii) the encouragement of sharing platforms and networks and (iv) the increase in community roles and forms of participation.

**i. Interaction between institutions:** “The collaboration of organizations that operate at the different levels is very important.” (Grgurević 2016, pp. 70)

**Key consideration 1:** Establish mechanisms that stimulate at a local, regional, national, supranational and international levels, the capacity of interaction between institutions.

- Give due attention to the increasing number of institutional frameworks consisting of multiple organizations, promoting multi-level and multi-actor interaction (including potential collaboration with adjacent municipalities).
- Adequate stakeholder involvement to deal with issues of sustainability and enhance the contributions that heritage can make to sustainable development.
- Make the institutions that are responsible for a wider management flexible to create close relationships with a range of institutions linked to a particular site, and to accommodate new and emerging concepts in the World Heritage system, improving approaches to capacity-building, risk management and sustainable development and the impact of climate change.

- Guarantee enough resources (human, financial and intellectual) in the implementation and monitoring processes of the management plan - to enable good communication to third parties.
- Create an institutional framework which invests in the intellectual development of its teams and contributes to general conservation debate.

**ii. Improvement of transparency and institutional accountability:** “By facilitating transparency and dialogue, the benefits to society are widely recognized and stakeholder involvement and feedback is more effectively harnessed.” (UNESCO et al. 2013, pp. 116)

Key consideration 2: Improve the transparency and accountability between institutions in both their internal functioning, as well as in their interactions with one another.

- Establish mechanisms that monitor and act on any institutional capacities that are weakened, underutilized or absent and that compromise the efficiency and effectiveness of the management system.
- Constitute steering groups featuring top officials from the main management system institutions and other stakeholders who are engaged in the day-to-day management of the WHS, promoting progress and offering and requesting support.
- Design an institutional framework that distributes power and responsibility for decision-making across the organization in an effective manner, maintaining clear roles and accountability.
- Encourage hybrid institutional frameworks that brings together public authority organizations with private institutions and/or associations which can serve to address World Heritage obligations.

**iii. Encouragement of sharing platforms and networks:** “Ensuring that lessons learned at specific World Heritage properties are shared with the World Heritage system as a whole and with non-World Heritage cultural heritage.” (UNESCO et al. 2013, pp. 103)

Key considerations 3: Encourage the functioning of sharing platforms and networks when it comes to common problems and solutions, promoting mutual learning and diffusion of knowledge among WH national and international sites.

- Instigate a managerial culture that should be infiltrated in all the UNESCO heritage managers, beyond their specific skills and background.
- Create online discussion forums that brings together different multi-actor visions and that allows the sharing and development of knowledge.
- Integrate learning institutions on sharing platforms alongside different stakeholders and key actors.
- Encourage the engagement and interaction between all of those involved in the WHS in the elaboration, implementation, monitoring and evaluation of the management plan through formal hearings.

**iv. Increase in community roles and forms of participation:** “Increased participation is necessary to address such multiple objectives: greater complexity requires advances in management practice.” (UNESCO et al. 2013, pp. 15)

Key considerations 4: Increase the role of communities in the management of the WHS through community engagement in different fields of action.

The specific measures to implement this last key consideration is detailed in the following point - 'Participatory Governance'.

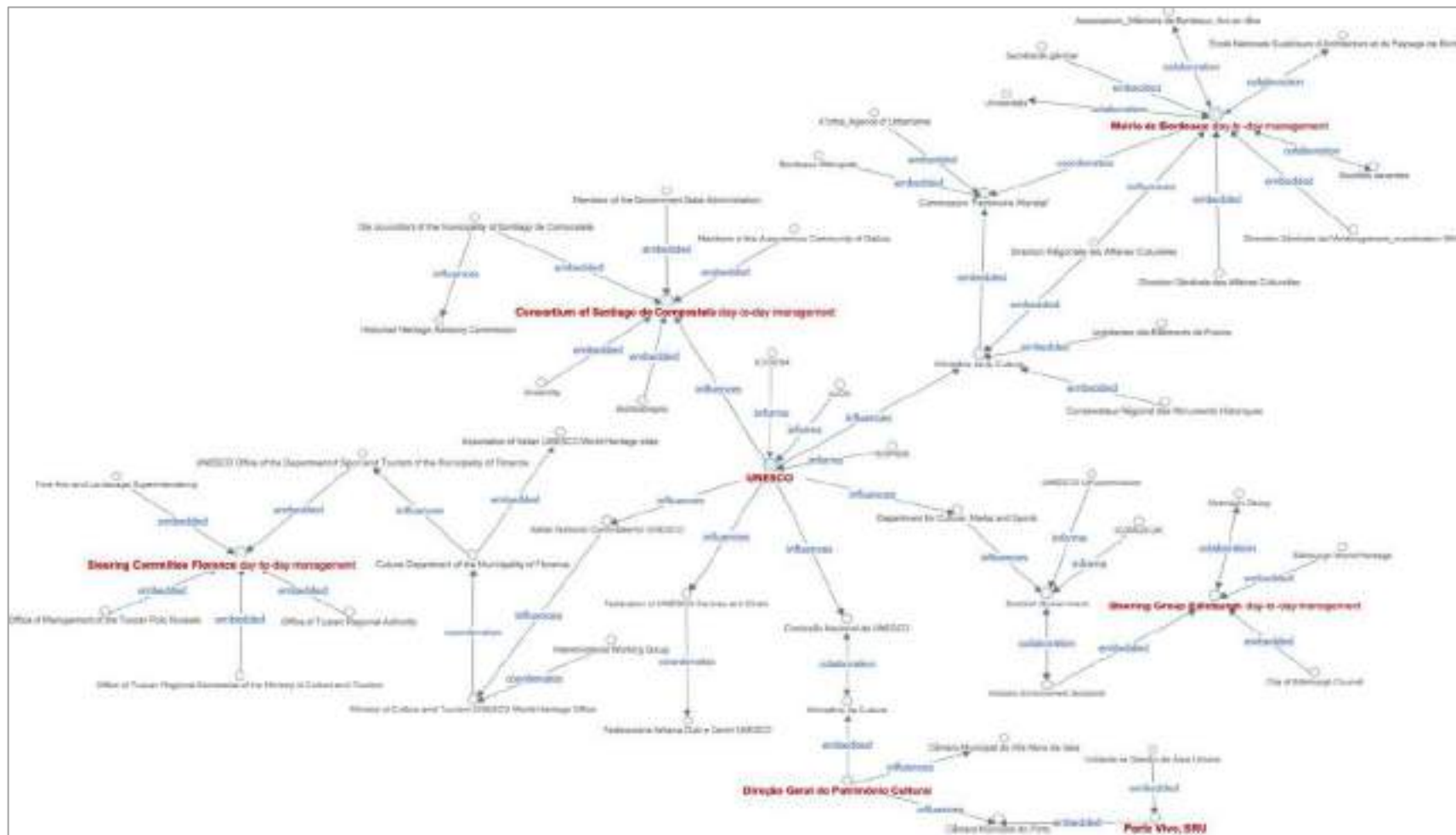


Figure 10. Network analysis of the institutions involved in the WHSs management of AtlaS-WH Partners | Based on Mairie de Bordeaux (2007), City Council of Porto (2010), Comune di Firenze (2016), City of Edinburgh Council (2017), Concello de Santiago (2018)

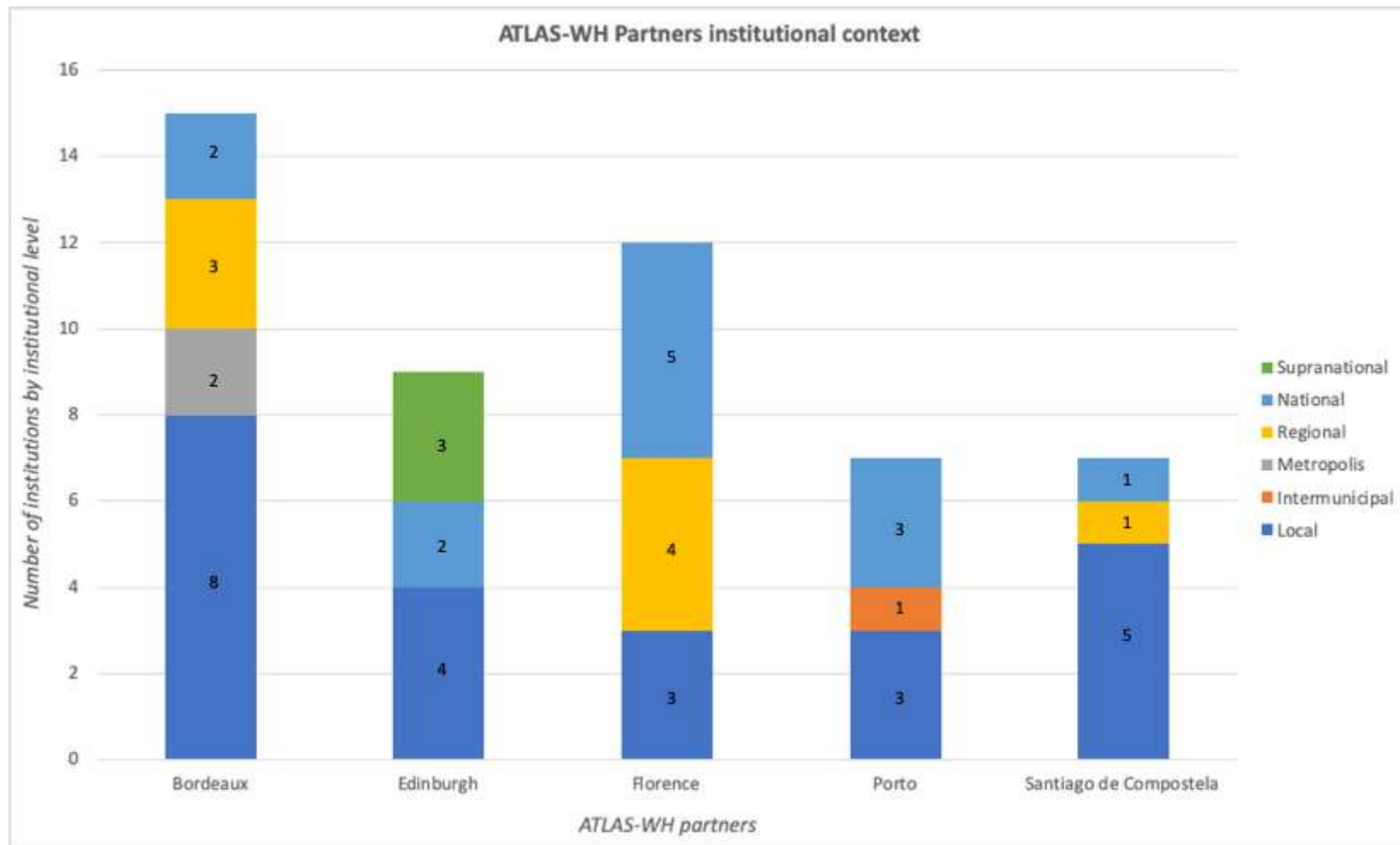


Figure 11. Institutional mechanisms of Atlas-WH Partners | Based on Mairie de Bordeaux (2007), City Council of Porto (2010), Comune di Firenze (2016), City of Edinburgh Council (2017), Concello de Santiago (2018)

## 5.1.2. Participatory Governance

### OVERVIEW

Participatory governance consists of horizontal interaction: the regular and guaranteed presence, when making binding decisions, of representatives of the collectivities affected by policies that are to be adopted. The term “local representatives” almost always means representatives from the midst of civil society, although this does not exclude local government authorities or other formal agents. In active and transformative forms of engagement, “these representatives of citizens and stakeholders will also be accorded a role in the implementation, as well as the taking of decisions” (Schmitter 2002, p. 56).

Why participatory governance? The shift towards governance has evidenced the importance of local communities and individuals in social regulation and integration, with participation being one of the principles of good governance for Protected Areas (Graham et al. 2003). Furthermore, participatory governance strengthens citizenship, promotes the engagement of local communities, and allows for greater balance between civil society and governmental agents (Gohn 2006). In heritage areas, local participatory governance can also safeguard transparency in interventions and the attribution of responsibility, as well as give a voice to communities – which are an essential part of cultural heritage – and give them access to sustainable development (Ripp & Rodwell 2018).

### HERITAGE AND IDENTITY

UNESCO considers a participatory approach to management essential in the heritage sector, given that heritage is the shared property of many different stakeholders, local communities included, and simultaneously ensures the sustainability of those communities:

“The ownership of a heritage property may be widely diverse, particularly in urban areas or cultural landscapes. This is even more important for World Heritage properties where the identification of OUV implies even broader obligations and ownership, with heritage perceived as the collective property of mankind as a whole, involving an international element in management” (UNESCO et al. 2013).

Simultaneously, cultural heritage – both tangible and intangible – is essential to the identity of local communities, their sense of place and their stability, as expressed by UNESCO secretary general Koichiro Matsuura in the excerpt below:

“The formation of identity occurs in the cultures of the world transferring the significance of their respective material and immaterial products from the past to the present and to the future generations. (...) The identity of peoples and the cohesion of societies are deeply rooted in the symbolic tissue of the past. Or in other word, the conditions for peace reside, to a large extent, in each individual’s pride in their cultural roots” (Albert & Gauer-Lietz 2006, p. 30).

### A MATTER OF JUSTICE

Justice and equity are central concepts in planning and management practices, especially in the determination of desirable outcomes but also in guaranteeing ‘just’ processes, in which all involved

voices are heard. Recognition claims within justice movements (Harley 2009) have shifted the concept of justice, from a redistributive-focused dimension to a multifaceted debate. When the subject at hand is heritage, this is especially apparent: local knowledge is a repository of collective memory (Dekens 2007), and a sense of place is seen as a base of stability. Therefore, local communities have something to say on the matter.

Fincher and Iveson (2008) have provided a referential which is useful for the contextualization of the social and participatory dimensions of justice. It focuses on three social logics:

- Redistribution, which takes into consideration responses to disadvantage in the allocation of resources;
- Recognition, which seeks to define the attributes of different groups to provide better answers to their necessities;
- Encounter, which is the notion that opportunities should be provided for interaction and socialization between individuals.

Nowadays, UNESCO's approach to participation is heavily focused on the recognition of non-institutional and informal agents, such as local communities, a stance which tentatively started in the 1990s and intensified with the 1994 Nara document on authenticity. For instance, increasing attention started being given to conservation and management based on values determined by all the stakeholders connected to heritage, not just experts (Lusiani et al. 2018, p. 228).

### **MOMENTS FOR PARTICIPATORY GOVERNANCE**

Not all participatory actions, and other forms of community and civil society engagement, constitute participatory governance. Involvement in decision-making, whether by being present (i.e. passive participation) or by collaborating in it (transformative engagement) will determine the difference. Management plans that allow for strong community involvement in decision-making can eventually lead to community-led development.

In Lusiani et al. (2018, p. 234), three moments for participation are proposed, which have already been taken into account in the field of action pertaining to capacity building and community engagement. These can also be useful for participatory engagement when decision-making is involved:

- Shaping the meanings of the site, by accepting the view and help of local agents in defining authenticity and developing representations of heritage, in consistency with the Nara Document;
- Direct governance of the site, namely involving a mix of institutional and non-institutional actors in directly making decisions related to the site, its organization, and its daily management;
- Sharing the value generated by the site, by deciding how gains and opportunities are distributed amongst local communities and how their sustainability is being safeguarded.

### **PATHS TO PARTICIPATORY GOVERNANCE: EXAMPLES**

There are many possible paths and measures to promote and strengthen participatory governance. A few examples are provided:



#### **i. Building capacity for co-management in cultural heritage areas.**

This measure pertains not only to citizens and local communities, but especially to leaders, both civic and governmental, and the facilitators (agents that move between the different groups and communities occupying the same place) which can be essential to bridge the gap between both (Ripp & Rodwell 2018). Capacitation and cooperation between diverse local agents are the basis for mixed modes of knowledge and management such as adaptive management, as well as a greater response capacity to complexity and uncertainty (Wyborn 2015).

#### **ii. Establishing or providing continuity for citizen institutions dedicated to the vigilance and evaluation of public management, thus balancing the representativity between governmental and civil society stakeholders.**

Transparency and accountability are essential in management plans (Badia 2018, Castro Alcântara et al. 2015), and the participation of citizens can have a regulatory role for this specific purpose (Gohn 2006). Simultaneously, the sharing of functions is a way of providing recognition of the importance of civil society in what concerns its cultural heritage.

#### **iii. Developing, with the input of citizen institutions and local communities, actions that meet the unique social, economic and cultural necessities of each area.**

Local agents are the first line of identification of community-specific problems. Hearing their voices, involving them in decision-making and providing tailored solutions is a step towards developing a sense of belonging and ownership, justice through recognition, and local flexibility and resilience (Griffith et al. 2009, Norris et al. 2008).

#### **KEY CONSIDERATIONS**

- Having local communities and individuals present in decision-making is important to good governance, particularly in protected areas such as WH Sites;
- Participatory governance contributes to citizenship and the safeguarding of heritage, is essential to the identity of local communities and their sense of place, and has become a matter of justice and equity;
- Some moments can be particularly relevant in models of participatory governance; for instance, local communities and individuals can be involved in shaping the meanings of the site, in the direct governance of the site, and in sharing the value generated by the site.

### **5.1.3. Mediation and Conflict Management**

#### **OVERVIEW**

Successfully mediating and resolving conflict is crucial to good governance and the implementation of a management plan. Unlike many contextual issues, control of these characteristics lies firmly with the actors of governance (Ferguson 2018, p. 42). But what does conflict look like, in this context?

When conflict escalates, it leads to non-cooperative or adversarial behaviour; this can include subterfuge, lies, passive resistance, ridicule, feigned misunderstanding or even violence.

Table 3 shows the contrast between cooperative and non-cooperative behaviour in governance. While some forms of it, such as ‘making threats’, are very visible, others can be subtle; a stakeholder that is ‘withholding information’ can make cooperation difficult, and yet such behaviour might remain undetected by other partners. In order to avoid such situations, it is important to develop a procedure for settling disputes, “not only once a concrete dispute has broken out, but also as far in advance as possible. It is therefore practical to anchor the conflict management mechanism securely in the management plan” (Ringbeck 2008, p. 42).

*Table 3. Adversarial and cooperative behaviour | Retrieved from: Pound (2015, in Ferguson 2018, p. 42)*

Adversarial Behaviour	Cooperative Behaviour
Withhold information	Share information
Make threats	Ask questions
Argue from positions	Explore interest and needs
Attack the others’ knowledge or them	Explore knowledge and perspectives
Defend position	Seek solutions
Work on each other	Work on the challenge
Actively seek win/lose	Actively seek win/win

### TYPES OF CONFLICT IN THE GOVERNANCE OF WHS

The types of conflict that can appear in the management of a WHS are as complex as the many institutions and actors involved, but special attention should be paid to the following three.

#### **i. Conflict between different levels of governance, one of the main concerns in World Heritage Sites.**

WHS governance takes the form of hierarchical governing, with rights and duties assigned according to the responsibilities at each level. The distance from which World Heritage governance operates and the way its global-local relationships are managed can cause difficulties, often conflicting with local priorities for the preservation and development of sites. Governance of WH sites is also governance directed explicitly towards a site in its capacity as a cultural object, in contrast to the broader sense of cultural governance, in which other conflicting fields of governance and societal interactions overlap and competing interests must be negotiated (Ferguson 2018, pp. 17-18).

In the past, the classification of an area as a World Heritage Site, or any other protected area, has often been seen by local stakeholders as an imposition. Moving away from a predominantly top-down system to a decentralised multi-level system often allows for stronger foundations and links at the local level, but it does not eliminate conflict (Ferguson 2018, p. 18).

#### **ii. Conflict in the daily management of WHS, due to the differing interests of multiple stakeholders and steering entities.**

It might be assumed that everyone working in a protected area has shared interests and will agree on matters of local conservation and development, which may not be true in practice. Issues often involve the use and control of resources and clashes between conservation and economics - it is seen in, for example, cases in which resources for tourism located in private property are allowed to degrade, instead of being protected (Ferguson 2018, pp. 23-42).

**iii. Conflict in the recognition and legitimacy of local communities and stakeholders, in what pertains to their knowledge of the WHS, their contribution to the determination of heritage values, and their right to a sense of place.**

Heritage is a continuously evolving concept, with its roots in the kinship-based concept of inheritance, which juxtaposes a diversity of often conflicting ‘epistemic communities’ “who struggle to stake their claim to, define, and ultimately utilize, the discourse of heritage or a particular crystallization of heritage in the form of tangible sites or intangible traditions” (Di Giovine 2015, pp. 87-88).

Amongst those competing claims for the definitions of the value, significance, and discourse attached to heritage, the tension surrounding the principle of heritage self-determination is perhaps the most visible. Local people, as knowledge and heritage holders, often possess operational understandings and uses of heritage sites that conflict with those of external experts’ and even UNESCO’s. With the cultural expressions of communities sometimes clashing against criteria seen as objective by heritage professionals, committees and facilitators try to achieve a balance in heritage-related processes – to have knowledge holders involved, instigating the processes and devising their own safeguards, while respecting the structures of expertise. Examples of the many difficulties and pitfalls in mediating participation in this context can be found in Bortolotto (2015).

## **MEDIATION**

Mediators attempting to uphold good governance principles moderate between conflicting interests and differing views, in order to reach a consensus on the optimum outcome for the group as a whole. Mediation is aided by establishing communication, making use of knowledge, and employing participatory action, incentives, or compensatory measures. It can be conducted by ballot or poll, through discussion and negotiation, or even through formalised procedures like conflict reports (Ferguson 2018, Ringbeck 2008). A mediation process includes:

- Solving disagreements and rebuilding trust;
- Helping institutional actors and stakeholders in exploring a multitude of options for agreements and subsequently selecting an option;
- Recognising and intervening in the underlying causes of the conflict, with a view to prevent them in the future.

Besides safeguarding mediation in case of conflict, a management plan needs to consider preventative measures, in order to mitigate conflict and increase avenues for cooperation well before most issues have the opportunity to become a problem. Preventative measures include:

- Capacity building for good communication and conflict management;
- Establishing network linkages to foster trust and cohesion;
- Promoting multi-level (horizontal and bottom-up) governance so that local roots can be preserved or fostered, particularly when knowledge and heritage holders are involved;
- Engaging local communities in context-appropriate processes;
- Upholding fairness and equity by consistently and impartially enforcing laws and rules without discrimination, improving transparency and accountability, respecting people linked to the area (‘rights-holders’, see IUCN 2013), and balancing objectives with the distribution of costs and benefits among concerned stakeholders;

- Encouraging the formation or continuity of (context-dependent) governance structures that focus on building cooperation, creating a shared vision for the future, and developing mechanisms for mediation and conflict-solving.

### **GOVERNANCE STRUCTURES: EXAMPLES**

Governance structures that focus on building cooperation, creating a shared vision for the future, and developing mechanisms for mediation and conflict-solving can be highly context-dependent. A few examples are provided:

#### **i. Local mediation with higher level enforcement.**

Mediation and conflict resolution mechanisms are chosen by local communities and stakeholders, as they will be more easily adhered to, but as part of a polycentric structure that is nested within state or other outside higher-level structures to operate more efficiently and for any necessary enforcement; otherwise, it will be difficult to hold individuals to account. “The involvement of the state in a nested system is to act as a neutral figure to impose solutions where conflict cannot be negotiated, provide neutral information, facilitate an arena for negotiation, and monitor use and enforce sanctions” (Ferguson 2018, p. 26).

#### **ii. Landscape partnerships for cooperation-building.**

Although this example pertains to the conservation of natural landscapes, it is interesting should the urban historical landscape be regarded as a whole entity: “governance of landscape partnerships is collaborative and cooperative and can have anything from a loose informal structure to a facilitated formalised structure with rules (...). Large partnerships typically have a steering group, made up of partnership members, to coordinate decision-making”; “(...) the focus of such governance networks is primarily upon forming visions and policies, creating meaning for them, resolving conflict, and developing links with agencies and other organisations for support. The cooperative approach brings local communities, private landlords, businesses and other organisations together to build on common interests on an equal basis” (Ferguson 2018, p. 24).

### **KEY CONSIDERATIONS**

- The escalation of conflict leads to non-cooperative or adversarial behaviour, which can assume many forms;
- Successfully mediating and resolving conflict is crucial to good governance and the implementation of a management plan;
- Conflict solving mechanisms should be implemented in advance, anchored to the management plan, so that most problems are solved before they have the opportunity to escalate;
- The types of conflict that can appear in the management of a WHS are as complex as the many institutions and actors involved, but special attention should be paid to interactions between different levels of governance, differing interests of stakeholders and steering entities in the daily management of WH Sites, and the recognition of local communities and stakeholders.

## 5.2. Monitoring and Evaluation

### 5.2.1. Methodologies and indicators

#### OVERVIEW

A management plan must ensure the protection of a World Heritage Site for present and future generations. Monitoring and evaluating its governance, in particular the implementation and impact of a management plan, is a necessary part of the process, ensuring that it is functioning as intended, conforming to agreed rules, and meeting external reporting requirements (Ferguson 2018, p. 57).

This requirement has been clear since UNESCO's 2005 Operational Guidelines for the Implementation of the World Heritage Convention, which stated that "Each nominated property should have an appropriate management plan or other documented management system which should specify how the outstanding universal value of a property should be preserved, preferably through participatory means" (UNESCO 2005, Para. 108, p. 26). This requirement was "in part necessitated by the need to implement real systems of monitoring on the management of World Heritage Sites" (Makuvaza 2018, p. xix). Currently, the UNESCO Guidelines clearly state some key elements to include in the management plan or system (UNESCO 2016, para. 111):

- "a cycle of planning, implementation, monitoring, evaluation, and feedback", and;
- "an assessment of the vulnerabilities of the property to social, economic, and other pressures and changes, as well as the monitoring of the impacts of trends and proposed interventions".

#### INDICATORS

A common way of monitoring implementation and impact, and indeed the effectiveness of the governance of the WHS, is through indicators, which need to be relevant, accurate and consistent for each specific purpose, and for a given moment (Ferguson 2018). One systematization of useful indicators is presented by Lockwood (2010), who groups general indicators into context indicators, planning indicators, input indicators, process indicators, output indicators and outcome indicators. While some of these types are not universal and must be generated for each site with the help of all stakeholders, others are exemplified in Table 4.

The selection of indicators for World Heritage Sites may also vary at different stages (Historic England 2016, p. 10). For instance, for the later assessment or monitoring of the effects of a plan, indicators which clearly demonstrate its impact on the historic environment are more likely to be useful. It is important to ensure that:

- The indicators are clearly related to the appraisal process, through its accompanying objectives and sub-objectives (decision-making criteria), the baseline for the historic environment, and any identified effects and mitigation measures;
- The indicators are appropriate and relevant to the scale of the plan;
- The indicators address both positive and negative effects;
- Consideration is given to cumulative, secondary and combined effects;
- Both qualitative and quantitative data is used;

- The indicators keep being reviewed as new data sets become available and/or new issues are identified;
- Accompanying targets are included.

*Table 4. Examples of questions leading to planning, input and process indicators | Retrieved from: Ferguson (2018, pp. 59-60)*

<b>Planning Indicators</b>
How does the SHA take into account the laws and regulations pertaining to the area?
How are plans linked with wider development and environmental goals?
How have alternative strategies been identified and analysed?
What measurable objectives are specified?
Has the vision been developed jointly?
How are planning processes made transparent?
What are the goals/targets for governance and how are they ranked?
How are plans regularly monitored and evaluated?
What types of information are needed for planning?
Is this information sufficiently available?
Are planning processes effectively implemented?
How are plans designed so that they can be adapted to unpredictable change?
<b>Input Indicators</b>
Are resources for management sufficient?
What is the balance between core funding and project funding?
How are resources distributed?
Do staff have the required knowledge and skills?
Are there readily available resources to use in instances of unpredictable change?
<b>Process Indicators</b>
How have stakeholders been involved in the drafting of strategic vision?
How have new strategies and challenges been incorporated into the existing vision?
How does performance reporting show clear identification of roles and responsibilities, and demonstrated acceptance of these?
What opportunities do stakeholders have to participate in decision-making and influence it?
How is the decision-making process made visible and clear with fair consideration for all?
How are conflicting views and interests moderated?
How is the governance system fully integrated, horizontally and vertically?
How are priorities, plans and activities aligned across the governance system?
How does communication work in the governance system?
What systems, plans, resources, skills, leadership, knowledge and experience are in place to produce effective outcomes?
How is the governance system able to absorb disruption and respond to change, maintaining a good balance between flexibility and security?
How is thorough evaluation and review of governance structures conducted?
Has the evaluation and review of governance been used to incorporate learning and adapt governance practices?

It is also important to select indicators linked to impact assessment objectives, as this will be a main tool for monitoring the effects of the plan in operation, thus shoring up a complex but robust monitoring framework for WH sites (Historic England 2016, p. 10). This includes:

- Identifying unforeseen adverse effects of implementing the plan and enabling appropriate remedial actions to be taken;
- Testing the accuracy of predictions made during appraisal and improving future practice;
- Determining whether the plan is contributing to the achievement of the desired objectives and targets for the historic environment;
- Checking the delivery and performance of mitigation measures;
- Identifying the criteria or thresholds for remedial action;
- Identifying the type of remedial actions that could be taken, for example reviewing the relevant policy or implementing additional mitigation measures;
- Assigning responsibility for taking remedial action.

Once indicators have been agreed on, several data sources can be used both to monitor the implementation of plans and the day-to-day governance of World Heritage sites, and to evaluate their impact. These can include (Ferguson 2018, p. 61):

- The routine collection and analysis of data;
- Surveys to the general public, which can be used to generate ratings for indicators based on public perceptions or experiences;
- Surveys to experts;
- Focus groups, bringing together structured samples of a range of social groups to gather perceptions in an interactive group setting;
- Observations gathered by researchers or field staff through in-depth case studies or systematic observations of a particular institution or settings;
- Documents and legislation, which can be used to verify the use of certain rules and procedures.

#### **TOOLS AND METHODS: EXAMPLES**

There are different tools and methods that can be applied in order to facilitate monitoring and evaluation. A few examples:

##### **i. Development of monitoring mechanisms as part of, or coordinating with, a wider strategic approach.**

In the wake of UNESCO's 2011 work of Recommendation on the Historical Urban Landscape, a new approach to urban planning focused on the historical landscape – the 'HUL' approach – was recently proposed. It has been suggested that monitoring mechanisms can be developed alongside regulatory governance tools and civic engagement tools for an area exceeding the boundaries of the WH Site, which would mean coordinating closely with existing or future management plans (WHITRAP 2019, pp. 190-192).

##### **ii. Development of context-specific assessment and reporting tools.**

The picture below summarizes the main elements of the Management Effectiveness Tracking Tool (METT), which is mainly used in assessing the effectiveness of management systems in protected areas in South Africa. It streamlines the indicator framework previously mentioned for identifying areas

requiring serious attention by the management authority of each site (Taruvinga 2018). It is an example of an adaptation of the existing indicator framework to a specific context.



Figure 12. Management effectiveness tracking tool | Retrieved from: Taruvinga, (2018, p. 18)

## KEY CONSIDERATIONS

- Monitoring and evaluating the implementation and the impact of a WHS management plan is a necessary part of ensuring its protection for present and future generations, with the management plan of each site detailing how such must be accomplished;
- A common way of monitoring and evaluating is through indicators, which need to be relevant, accurate and consistent for each specific purpose, and moment or stage of the management process;
- It is also important to select indicators linked to impact assessment.

### 5.2.2. Impact Assessment

As mentioned by UNESCO in the latest operational guidelines (UNESCO 2017, para. 110), “An effective management system depends on the type, characteristics and needs of the nominated property and its cultural and natural context.” and should include the particularities of each site regarding different cultural perspectives, traditional practices, resources availability and existing planning instruments. At the same time, it is stated “Impact assessments for proposed interventions are essential for all World Heritage properties”. Thus, policies, plans and individual interventions in World Heritage Sites should demonstrate, beforehand, their impact on the Outstanding Universal Value (OUV), by identifying, evaluating, avoiding and mitigating potential environmental and social impacts, in order to guarantee its full protection and sustainability.



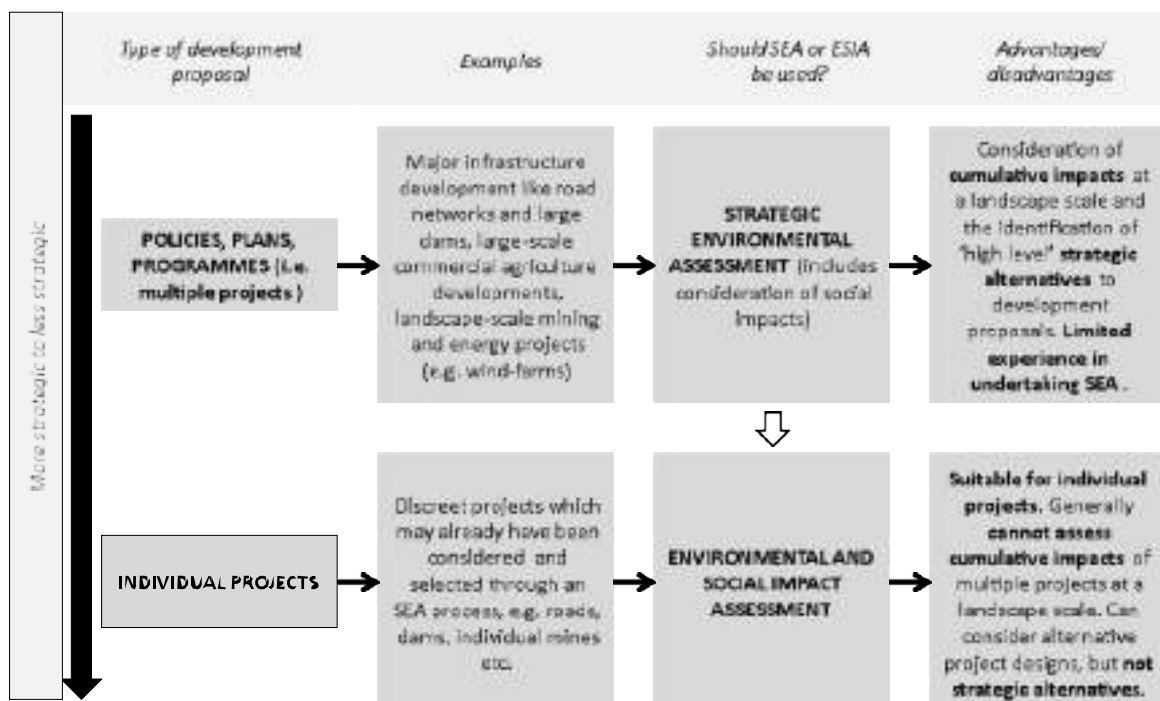
UNESCO (2018b) also stresses the need for HIA and EIA that must be proportionate to the scope and scale of projects (simpler assessments for smaller projects and comprehensive assessments, eventually using SEA, for large projects and development with broader context and interference, in accordance with the existing ICOMOS Guidance (2011) and IUCN Advice Note (2013)).

Considering the strategic nature of policies, plans and programs and the specific characteristics of individual projects, impact assessment, and in particular environmental assessment may assume the following types (IUCN 2013):

- (1) “Strategic Environmental Assessment (SEA) of policies, plans and programmes which have the advantage of assessing effects at a strategic level, can also help identify economic alternatives, and also allow to identify cumulative impacts of multiple projects (existing and planned) at a landscape scale or to identify strategic alternatives, so as to avoid unwanted impacts on a World Heritage Site; and
- (2) Environmental Impact Assessment (EIA) of individual projects, including Heritage Impact Assessment (HIA) and Social Impact Assessment (SIA), whose focus rely on the evaluation of different design options of discrete projects.

On Figure 13 one can see the relationship between SEA and EIA, together with the most relevant advantages and disadvantages.

Although most countries have specific national legislation for Environmental Assessments, they are based on similar principles and core steps (SEA (European Council 2001) and EIA (European Parliament 2014) directives) and integrate the national land use planning systems.



**Figure 13. Relationship between SEA and ESIA, some of their advantages/disadvantages and the implementation opportunity. SEA data and results are intended to support future ESIA, but do not replace their need the need for it | Adapted from IUCN (2013)**

As mentioned by IUCN (2013) and reinforced by UNESCO in several Decisions (2015d), there is a relevant benefit of systematically use environmental assessments (HIA, EIA and SEA) in the review of development projects, considering the following eight World Heritage Impact Assessment principles represented in Figure 14.

Presently and according to ICCROM (Jo 2017), there is a paradigm shift “From care of heritage to that of pursuing the wellbeing of both heritage and society as a whole”. In this line of thought, one needs to integrate the well-established conservation principles with the evolving principles of diversity and context, considering a balanced society driven by continuity and, at the same time, embracing future changes.

Consequently, there is a need to integrate the 2011 ICOMOS Guidelines with this new vision. Additionally, subjects like touristic pressure on WHS, eventual consequences of Climate Change on WHS and the integration of sustainable development objectives needs to be addressed (UNESCO 2015a). As referred by Patiwaël et al. (2019), HIA should go beyond the merely preservation of the WHS with a focus on a static understanding of the Outstanding Universal Value and finding a balance between protection and development improving heritage management in general.

#### **KEY CONSIDERATIONS**

- Higher-level plans, including Local Development Plans of WHS, defining policies and development strategies, should develop a Strategic Environmental Assessment (SEA);
- Management Plans and Action Plans of WHS should integrate the results of SEA and provide the basic principles for an environmental assessment of future interventions;
- Project developers should develop an EIA to assess the impact of the intended proposals on OUV, either large-scale developments or interventions in singular buildings
- Should be implemented a follow-up process to inform future revisions of management and action plans, to inform the public about the results of the implemented strategies, action and interventions, and to consider the outcomes of the implemented actions in future amendments to the management plan and/or action plan.

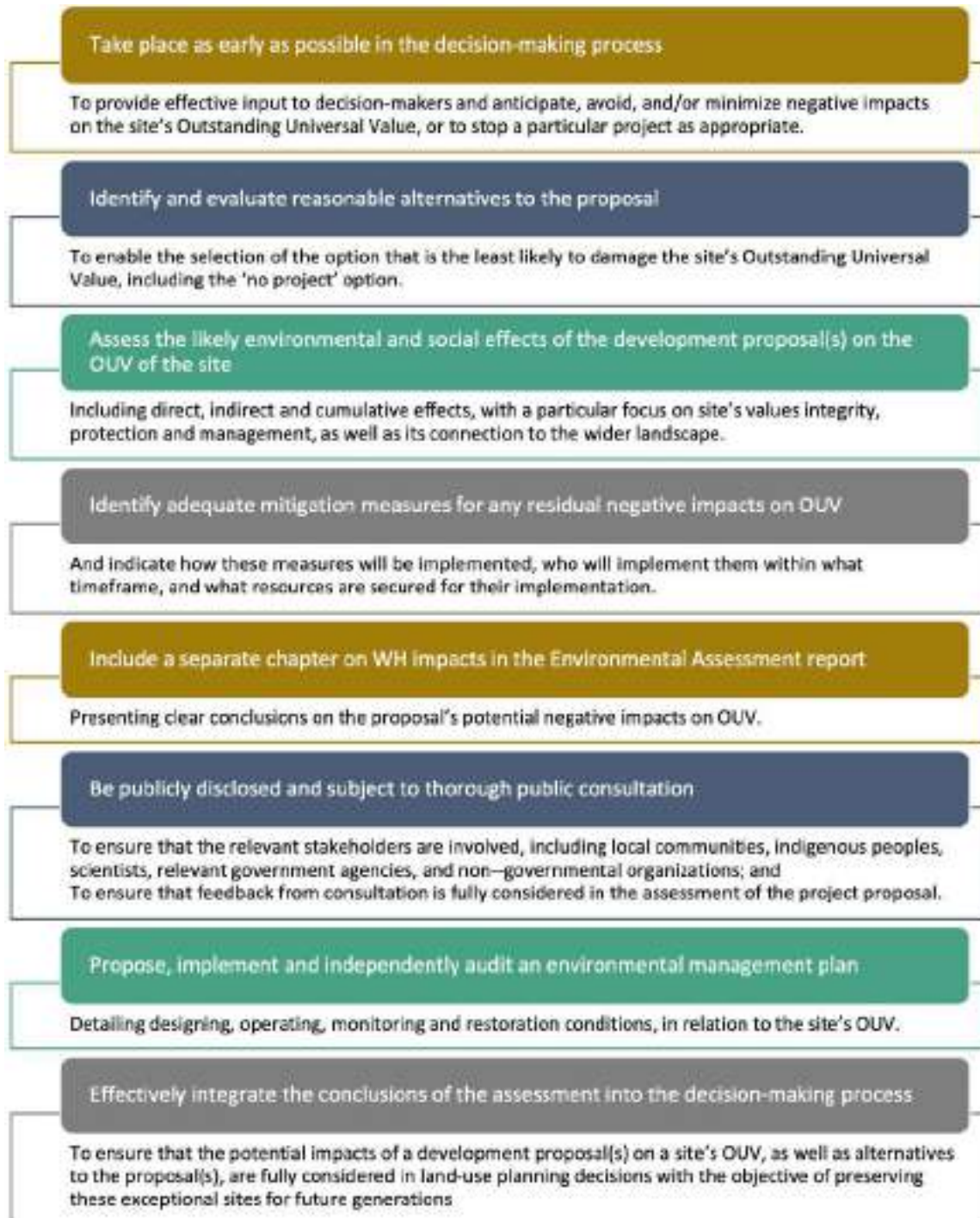


Figure 14. Eight World Heritage Impact Assessment principles | Adapted from: IUCN (2013) and UNESCO (2015c)



## 6. ELABORATION PROCESS



*Figure 15. A visual representation of the Management Plan Elaboration Process.*



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