CHAPTER 17

Heritage Conservation and Community Empowerment

Tools for Living Labs

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17.1. Introduction

In the last decades, heritage management has been evolving from an object-based towards an all-inclusive landscape-based approach, characterised by a greater consideration of the social and economic function of heritage in a perspective of sustainable development [1]. Framework for landscape-level decisions, whether urban, rural or ru-urban, this approach should support heritage conservation in a more integrative and trans-disciplinary way, to counter the tendency of dealing with heritage in disciplinary silos [2]. By initially including only 'historic areas', as defined in the 1976 UNESCO *Recommendation concerning Safeguarding and Contemporary Role of Historic Areas* [3], the landscape-based approach found its main evolution in the 2011 UNESCO *Recommendation on the Historic Urban Landscape* (HUL). The Recommendation goes beyond the notion of "historic centre" or "ensemble" to include the broader urban context and its geographical setting as widely presented by Genovese in Chapter 11 [4].

With the official scope to settle "a balanced and sustainable relationship between urban and natural environment, between the needs of present and future generations and the legacy from the past" [5], HUL offers guidance to support the integration of heritage conservation and management with policies and practices for sustainable development at national and local level. It settles a flexible and general conceptual framework, based on a range of traditional and innovative tools, such as civic engagement tools, knowledge and planning tools, regulatory systems, and financial tools, to adapt to different local contexts and built heritage [5] [6] (Fig.17.1). Not detailed and integrated in one scheme, these tools portray a sort of "soft-law" package that countries can implement and adapt to their specific contexts on a voluntary basis [5].

HUL advances as a learning-by-doing process, with feedbacks from countries on the critical steps to implement it, such as comprehensive surveys and mapping, participatory planning and stakeholder consultations, vulnerability assessments, appro-

priate partnerships and local management frameworks, and mechanisms for the coordination of the various activities between different actors [5]. Nonetheless, in terms of sustainability these tools, addressed to different target groups, have not the same priority level. Especially the civic engagement tools have priority, because the implementation of regulatory systems, as well as participatory planning tools, assessments measuring the community development or innovative financial tools could be unnecessary without engaged communities.

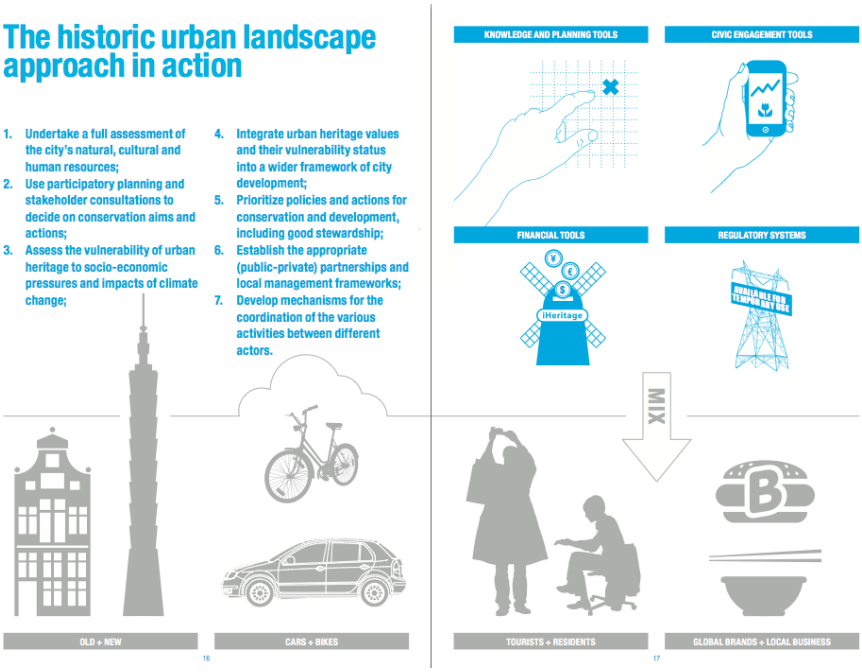

Figure 17.1: The historic urban landscape approach in action [7]

Evidently, the implementation of this landscape-based approach is not an easy task for neither national and local governments nor UNESCO [1] [8], and calls for "academic and university institutions and other centres of research to develop scientific research on aspects of the historic urban landscape approach and cooperate at the local, national, regional and international level" [6, p. 6]. In 2014, this appeal is also emphasised by ICOMOS, which in the *Florence Declaration on Heritage and Landscape as Human Values* exhorted organisations, authorities and specialists to link heritage conservation and sustainable local socio-economic development and ensure that heritage conservation contributes to sustainable development objectives [9].

Resulting studies focused on the general HUL vision and specific topics, by introducing new economic approaches, or developing the necessary assessment tools [1] [10] [11] [12] [13]. However, few of them touched the core of HUL challenge, that is, moving the focus from built heritage to people and their human environment, integrating local and global sustainability, and establishing a relationship between

expert-led and community-led approaches (Fig. 17.2). Without facing these challenges, the effectiveness of the participatory approach would be greatly weakened, as well as its integration in the local governance dynamics [6].

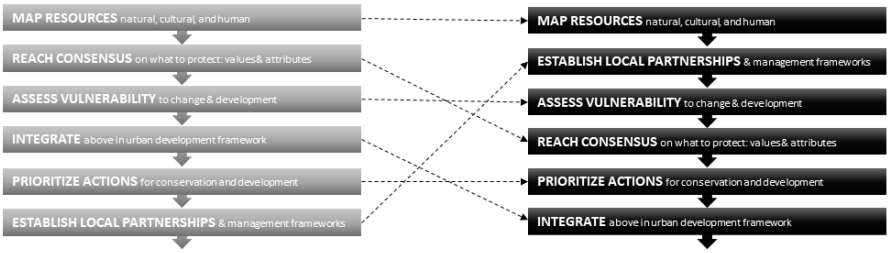

Figure 17.2: Critical steps of HUL: expert-led vs community-led
Source: Expert-led taken from [1]

With the scope of placing communities-led initiatives at the centre of HUL approach, this chapter introduces concepts, methodologies, and tools in a multi-disciplinary way, to provide sound theoretical references, for building a coherent operational framework in the field of civic engagement tools, and experimenting HUL tools in real community-led initiatives. It is only a first effort for assisting planners, decision-makers, promoters, and local development facilitators to move from theory to practice, also through a living lab approach. Only through real-life experiments, we consider possible to develop local capacity for transforming the Underground Built Heritage (UBH) into "a powerful economic, social and environmental catalyst for regeneration, sustainable development, economic growth and improvement of people's well-being and living environments" [14].

By using HUL as starting point, this chapter leads the reader to examine the potential connections between heritage and sustainability, and to initiate cutting-edge approaches for empowering communities and helping them to collaborate in an integrated heritage-led development. Particularly, this chapter defines an initial taxonomy for the civic engagement operational tools, by outlining stakeholders and community (who), their empowerment process (what), and the sustainability challenge (why). Finally, it introduces an innovative approach based on the development of living labs (how), for supporting local communities and integrating UBH values and their vulnerability status into a wider framework of local development.

Finally, this chapter, as the underground4value COST Action, is still in evolution. We do not pretend, therefore, to be all-inclusive: formal definitions, although essentials, connote different things to different people, particularly in a realm in which many professions and academic disciplines converge and compete, and in which language tends to be imprecise.

17.2. **From heritage conservation to sustainability transitions**

HUL is a product of and addressed to the so-called *global heritage community*, "a professional community dedicated to the values associated with a cosmopolitan approach to heritage conservation" [15]. Its operational principles - "able to ensure urban conservation models that respect the values, traditions and environments of

different cultural contexts, as well as to help redefine urban heritage as the centre of the spatial development process" [6] – are based on that global community's interest to both reassess "practices adopted over the past half-century in the field of conservation" [6], and affirm the heritage embedded as "living history incorporating social processes of both continuity and change" [15]. Therefore, HUL's tools, as introduced in Fig. 17.1 [7], converge to urban (in a broad sense) heritage conservation, supporting full assessment of the city's natural, cultural, and human resources, and specifically signalling the vulnerability of urban heritage to socio-economic pressures and impacts of climate change. They integrate urban heritage values and their vulnerability status into a wider framework of city development. However, instead of facing new *integrated development* perspectives, as preliminary suggested by Jokilehto [3], HUL approach still focuses on *integrated conservation* and places urban heritage at the centre of the spatial development process, with "urban conservation" models ensured by respecting values, traditions, and environments of different cultural contexts [6]. It does not replace existing doctrines or conservation approaches, but calls for integrating them in a new generation of public policies for managing the built environment. Without formally entering in contrast with existing national regulations and planning arrangements, it opens the door to intercultural and interdisciplinary dialogues, promoting a transition towards sustainability [5].

In this last perspective, tools like participatory planning and stakeholder consultations, more than supporting decisions on conservation aims and actions, could become primary elements for changing communities' behaviours and values, by encouraging dialogue and engaging stakeholders across society "to determine where we need to go and how we are going to get there" [16]. In other words, heritage could change the cultural approach on how planning and managing our common future.

According Bianchini, these tools should stimulate and facilitate local communities' empowerment and connect natural, social, cultural, political and economic environments, gauging impacts across different spheres of life, and grasping the importance not only of 'hard' but also of 'soft' infrastructures" [17].

These processes bring us to another HUL's keyword, the sustainability concept, used to reinforce the heritage conservation's role in the development context. In particular, urban heritage conservation is perceived as a primary approach for the sustainable development, by leading to poverty reduction through economic growth, tourism and job creation [18]. HUL mentions the sustainability as follow:

> "…the active protection of urban heritage and its sustainable management is a condition *sine qua non* of development" [6, p.1].
>
> "…the heritage conservation is a strategy to achieve a balance between urban growth and quality of life on a sustainable basis" [6, p.3].
>
> HUL "…provides the basis for a comprehensive and integrated approach for the identification, assessment, conservation and management of historic urban landscapes within an overall sustainable development framework" [6, p.3].
>
> HUL "… is rooted in a balanced and sustainable relationship between the urban and natural environment, between the needs of present and future generations and the legacy from the past" [6, p.4].

Nonetheless, by leaving heritage conservation as the focal point, HUL misses to explain how its operational tools can contribute to the creation of more sustainable societies [5]. It does not appear to be enough to recommend prioritising good stewardship, establishing the appropriate (public-private) partnerships and local management frameworks, and developing mechanisms for the coordination of the various activities between different actors. The transition towards sustainability implies complex and uncertain processes, mainly depending on experimentation, learning, and sharing ideas, not guaranteed by the heritage conservation alone [5]. In its holistic approach, HUL does not stress this uncertainty, which demands for further changes in interdependent societal systems and across multiple scales – from the supply chains to the behaviours and values of communities and individual citizens – and goes far beyond the integration of urban heritage conservation strategies within the larger goals of the overall sustainable development [5].

In addition, a too sketchily description of the operational tools can give birth to mistaken interpretations of the overall process from the one side, but can also give opportunities for a wider and dynamic trans-disciplinary participation in their definition and implementation. In the underground4value project[1], we clearly opted for the second and opened to a general reflection on the challenges addressed and their dynamic character. Factors as global economic process, new information technology, climatic and environmental changes have relevant impacts on human settlements, their communities and heritage sites. The adaptation to these challenges should be specific and dynamic, depending on cultural diversity on values and approaches, heritage perceptions of inhabitants and stakeholders, social and economic changes, availability of innovations, or even on sudden disasters and armed conflicts [5]. HUL fosters the communities' awareness that built heritage cannot be protected "without reinforcing pride in the locality and mutual responsibilities" [17], as well as that heritage management cannot be sustainable without addressing "how people mix and connect, their motivations, and whether they own where they live and change their lifestyle appropriately" [17].

Nonetheless, by recognising to cultural heritage, and specifically to the built heritage, the role of catalyser for sustainability and local community development, we make an implicit change of focal point, moving it from the heritage sites to the people and their human environment. This change demands to move from an object-centred to a people-centred approach, capable to stimulate interaction and cross-fertilisation among the *global heritage community*, the other disciplines, and the local communities [15]. This approach goes beyond the ones based on context-driven design strategies addressed to improve the quality of urban design. These lasts ignore community needs of people and do not involve community in decision-making.

17.3. **Civic engagement explained**

The tools dedicated to support this change of focal point are the so-called civic engagement tools. For them, HUL proposes the following definition:

> "Civic engagement tools should involve a diverse cross-section of stakeholders and empower them to identify key values in their urban areas, develop visions that reflect their

> diversity, set goals, and agree on actions to safeguard their heritage and promote sustainable development. These tools, which constitute an integral part of urban governance dynamics, should facilitate intercultural dialogue by learning from communities about their histories, traditions, values, needs, and aspirations and by facilitating the mediation and negotiation between conflicting interests and groups" [6, p. 6].

According HUL, the tools have to perform two essential tasks. First, to facilitate the dialogue with the communities and to learn about their "values, needs, and aspirations". Second, to support "the mediation and negotiation between conflicting interests and groups". These tasks involve experts, decision-makers, communities, and groups, defined as "a diverse cross-section of stakeholders", which should be empowered to make their voices listened. In the section III on policies, HUL specifies a taxonomy of the stakeholders involved and their responsibilities, classifying them as follows [6, p. 5]:

a. *Member States*, which integrate urban heritage conservation strategies into national development policies and agendas according to the historic urban landscape approach
b. *Local authorities*, which should prepare urban development plans considering the area's values, including landscape and other heritage values, and their associated features
c. *Public and private stakeholders*, which should cooperate *inter alia* through partnerships to ensure the successful application of the historic urban landscape approach
d. *International organisations dealing with sustainable development processes*, which should integrate the historic urban landscape approach into their strategies, plans and operations
e. *National and international non-governmental organisations*, which should participate in developing and disseminating tools and best practices for the implementation of the historic urban landscape approach.

However, this classification is not enough specific for supporting civic engagement tools. It offers a traditional model of the State with the main responsibility for heritage conservation, supported by the *global heritage community*, in form of non-governmental organisations. Being a *soft law*, HUL lets undefined public and private stakeholders to empower, and considers them significant once they cooperate through partnerships. In addition, it does not mention from what communities we should learn about their histories, traditions, values, needs, and aspirations, and gives an unclear indication for an intercultural dialogue.

To make the tools operational, experimenting them in real-life cases and moving towards an inclusive landscape-based approach focused on people, there is a need for a taxonomy, which unambiguously defines for HUL the meaning of 'community', empowerment, and partnership.

17.3.1. **Defining communities**

The first challenge comes from the term 'community', which belongs to the current glossary and the lexicon of several scientific disciplines, such as anthropology,

sociology, philosophy, geography, and political science. Although the term's variety in meanings makes it conceptually unclear, 'community' represents an important interpretative bridge between sociology and the other social sciences [19]. To use HUL tools in a proper way, we should consider community in two different meanings: one referred to social relationships and the other to territorial organisations.

The first meaning, *a specific type of social relationships at the basis of collectivities that contain the individual in his totality*, comes from classic sociology and mainly from Ferdinand Tönnies, which introduced the dichotomy *Gemeinschaft/Gesellschaft*, that is, community/society [19].

Gemeinschaft refers to groupings based on a feeling of togetherness, comprised of personal social ties and in-person interactions, defined by traditional social rules and driven by emotions and sentiments (*Wesenwille*) and by a sense of moral obligation to others, common to rural, peasant, and small-scale homogenous societies [20]. *Gemeinschaft* may be exemplified by a family, household, neighbourhood, or a small village. On the other side, *Gesellschaft* indicates groups that are sustained by an instrumental goal, characterised by *Kürwille* (rational will) and impersonal and indirect human relations, built on efficiency or other economic and political considerations, typified by modern, cosmopolitan societies with their government bureaucracies and large industrial organisations, such as the State, a public body, or a joint-stock company [20]. Tönnies defines community and society as part of a unique scheme, based on the contraposition between real and ideal, organic and mechanic life [19].

Further developments of this meaning brought to the light three keywords, such as identity, reciprocity, and trust, which characterise the modern perspective of social relationships, where individuals, members of the society, find their way of being collective, placing them inside specific groups and giving continuity to their social being [19].

The second meaning, *a type of collectivity the members of which share a common territorial area as their base of operations for daily activities*, as defined by contemporary sociologist Talcott Parsons [21, p.60], is used as synonymous of 'local community'. According Bagnasco, the term serves to indicate a society organised in space, linking the abstractions of sociology to the spatial dimension [19]. In addition, the local seems the proper dimension for the previously mentioned social phenomena of identity, reciprocity, and trust. Therefore, this second meaning, integrated by the social relationships, could well describe the existence of more or less structured social interactions centred in a specific territorial area.

However, as previously pointed out, community is not separate from society, and every local community is programmatically a *local society*, within which to observe also relations of a community type [19, p. 37]. A typical mistake is to pretend of always locating these relationships in local communities, which could exist or not, or being present at lower territorial level (household or neighbourhood), or even mixed to corporate relations. In a modern society, stakeholders, members of a local community, can also be members of external networks (economic, political,

and cultural), with significant interactions and conditioning potential [19]. In addition, new communication technologies have contributed to develop *virtual communities* and to reinforce trends to territorial fragmentation of community ties.

Despite this proliferation of communities, in developing our civic engagement tools, we must always remember that *community* has been a word used by utopians, philosophers, and politicians, born in modern times to contrast the utilitarian approach. Therefore, the tools must support alternative developments also where the community is unexpressed, by catalysing its emergence or re-emergence, and empowering it.

Finally, a possible community definition could be as follow: *a collectivity of members sharing common territorial areas, identities and values, which actively and freely participate to the construction of specific accomplishments within the framework of public action.*

17.3.2. **Empowering communities**

To make sense of the civic engagement tools addressed to empower "cross-section of stakeholders", possibly aggregated in a community, we should know something more about the *empowerment* concept. Used in different fields (e.g. community psychology, health education and health promotion, liberatory adult education, community organising, rural and community development, and social work), its meaning seems vague, unclear, and diversely communicated, from the extreme broad (i.e., power to the people) to the specific (i.e., improving the assertive skills of young people with disadvantaged backgrounds). Clearly, that depends on the empowerment characteristic to manifest itself in a different way according to the context in which is placed, the people involved, and the disciplines that consider it [22].

Mainly rooted in community psychology, empowerment is a social action process by which "individuals, organisations and communities gain mastery over their lives in the context of changing their social and political environment to improve equity and quality of life" [23]. Based on the assumption that community cultural assets can be strengthened through dialogue and action, the concept is action-oriented, focused on the removal of formal or informal barriers, and on transforming power relations among communities, institutions, and government [24]. Therefore, empowerment hinges on two basic concepts: *power*, which constitutes its etymological root, and *participation*, which underlines its practical aspect [22, 109].

17.3.2.1 Power

Power is not a simple concept and usually, in social science field too, identifies the capacity of influence and control that we can have over others, and which refers to concepts of strength and prevarication (*power over*). However, referred to the community empowerment, power has not that negative meaning but represents a resource for those who own it and for those around them. It is not static and exclusive, but can be changeable, fluid, in the making, conquerable by everybody. Even if not always formalised, power is a fundamental element of the community action [25]. According Weber, it implies a relational context among people and resources. Relations can change, so the power, its sharing and usage for the common resources [26]. The type of power connected to empowerment is positive, characterised by

collaboration, sharing, and mutuality, and could be defined as *power-with* [27], integrative power [27], or relational power [28].

Helpful to understand how the power is exercised is the model proposed by Lukes [29], which defines three dimensions (three faces) of power: decision-making power, non-decision-making power, and ideological power. The first one refers to the real and concrete decision-making in the society or in the grouping taken into consideration. It is the public face of the power, focusing on policy preferences revealed through political action. It should answer to how decisions are taken and conflicts solved [22]. In case of *power-with*, decisions are necessarily shared, able to comprise and adjust different groups' needs and opinions.

The second dimension, the non-decision-making power, refers to what aspects or options are presented to the final decision-makers. The way final agenda's topics are chosen could exclude some groups from presenting their needs. On the contrary, the *power-with* should be inclusive of every group, individual, organisation inside the community. Therefore, mapping groups, also minoritarians, is a *conditio sine qua non* to agree on the priorities.

Finally, the third dimension, called ideological power, refers to how people needs and preferences are shapes. Ideological power could "prevent people, to whatever degree, from having grievances by shaping their perceptions, cognitions, and preferences in such a way that they accept their role in the existing order of things" [29, p. 24]. A *power-with* should support individuals to develop cognitive capacity, self-interest, and perception of the context within people live. Although widely criticised for a certain weakness in its concrete usage, Lukes' model proposes keywords as co-decision, groups' mapping, and capacity building, to ensure that each individual or group could develop competencies and affect the choices that concern them [22].

Nonetheless, Lukes' model does not separate the different types of power related to our societies, and does not relate them to the local context. In that respect, the conceptual map of the domains of social practice, as defined by Friedmann, can be useful to understand power and conflicts in territorial communities [30].

As Fig. 17.3 shows, Friedmann considers four overlapping domains, "inscribed within a bounded territory or *life space"* [30, p.29], such as state, civil society, corporate economy, and political community. For each of these domains, an autonomous core of institutions governing its respective sphere can be schematised – the executive and judicial for the State, the household for the civil society, the corporation for the economy, and the political organisation for the political community [30]. To each of them is associated a distinctive power– state power, social power, economic power, and political power – which can be used "according to the resources that actors in the domain can mobilise" [30].

As mentioned above, Friedmann's map is located in the *life space*, "a physical space over which both the political community and the State claim sovereign power" [30]. Life spaces exist at different territorial scales – nation, region, province, district, and city – with boundaries that mark the extent of different powers. However, life space is penetrated and overlapped by "economic space, whose reach is global" [30]. This overlapping creates conflict areas between the two spaces, with

the territorially bounded communities seeking to protect their interests, such as environmental resources, quality of life, and social cohesion [30].

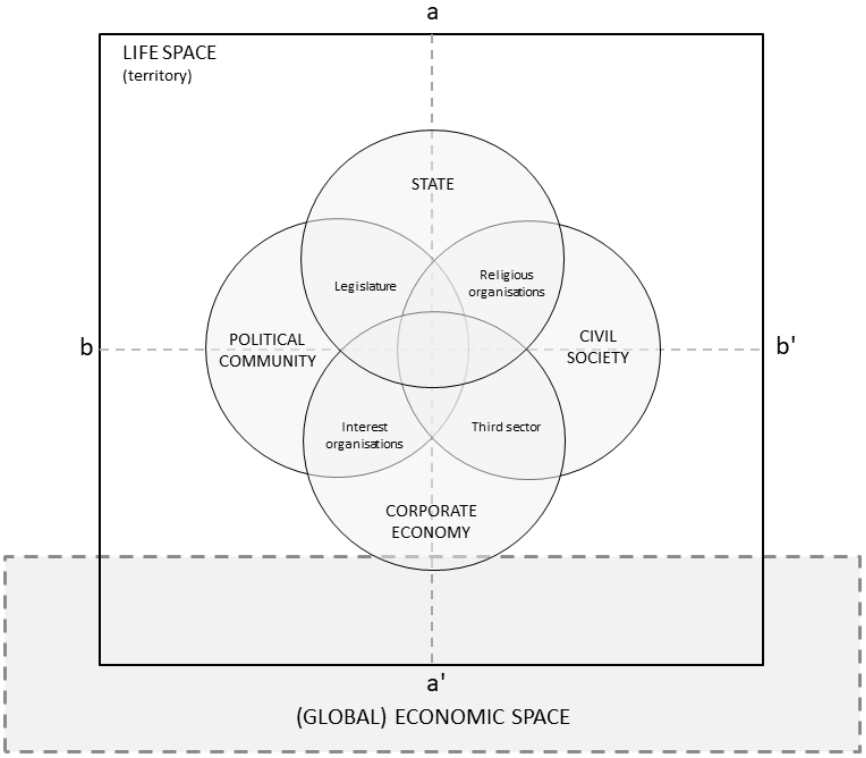

Figure 17.3: The four domains of social practice [30]

Structured by market relations and defined by the location of productive activities and the intersecting flows of capital, commodities, labour, and information, *economic space* is articulated through global centres of capital accumulation and control [31]. A weakness of civil society and political community can bring to accumulate power along the vertical axis a-a', "linking state with corporate economy" [30] (Fig. 17.3). This trend produces a virtual exclusion from economic and political power, which in extreme cases takes the form of a dictatorship, and undermines collective social action.

To neutralise local communities' virtual exclusion from economic and political power, Friedmann suggests an alternative development, which:

> "…involves a process of social and political empowerment whose objective is to rebalance the structure of power in society by making state action more accountable, strengthening the powers of civil society in the management of its own affairs, and making corporate business more socially responsible" [30, p. 31].

Although its long-term aim is to transform the whole society at national and international level, Friedmann approaches the question from the perspective of households, composed of natural persons, "moral human beings who, from birth,

stand in dynamic interaction with others" [30, p. 32]. Households dispose over three kind of power: social, political, and psychological [30]. Social power implies the access to sources of household production (e.g., information, knowledge, skills, participation in social organisations, and financial resources). Political power implies the access "to the process by which decisions, particularly those that affect their own future, are made" [30, p. 33]. Finally, psychological power is the individual sense of potency, demonstrated in self-confident behaviours and result of successful action in the social and political domains [30].

If for Friedmann the starting point is represented by the household, "a residential group of persons who live under the same roof and eat out of the same pot" [30, p. 32], the reflection can be extended to local communities, characterised by identity, reciprocity, and trust, as previously defined, where people behave productively and pro-actively, by articulating market and nonmarket relations from the one side, and struggling over the allocation of local resources to particular ends, and over particular rights, such as property claims on the other side [30].

17.3.2.2 Participation

Several disciplines addressed the concept of participation, especially political sciences, sociology, psychology, and social sciences, with different meanings and distinctive terminologies. Defined as public or citizen participation, political participation, stakeholder engagement, and participative decision-making, participation can be defined as an individual/community commitment and responsibility within an action, aimed at achieving a collectively determined goal [32]. Definitely, participation is a community-based process to share decisions, in which stakeholders actively participate in the institutions, programmes and environments that affect them [33].

However, the correlation between participation and community must be considered on two separate levels. Firstly, on a subjective level there is not sense of community (SoC) without involvement in the collective action. Sharing of an identity and common purposes presuppose a certain degree of social presence, an *active citizenship*. The community cannot be grieved or imposed, and the participation cannot be passive [22, p. 113]. Secondly, on an objective level, the community, being a social system, has to respect the rules governing representation processes, public decisions and, more generally, the targeted interaction of institutions, networks, regulations, rules and political uses contributing to the territorial governance [22]. This level focuses on the participation forms defined by conditions, constraints and resources of each context. If active citizenship is mainly related to psychological processes of participation, the second is strictly related to collective decisions. Therefore, although both levels are relevant for HUL civic engagement tools, we introduce very briefly the subjective level to then deepen our description to the objective one, and to the participation forms.

According Cicognani [34], there are four types of subjective participation. The first, *de facto participation*, is the basic form of participation (*be part of*), not chosen

by the person but related to her/his belonging to a group (i.e., gender, origin, religion, and profession). The second, *spontaneous participation*, is bottom-up, where the person searches for membership to satisfy her/his individual needs (i.e., friendship, affiliation, social support, etc…). The third, *voluntary participation*, also bottom-up, represents the transition from individual to collective goals. The person joining an association or a group shares its mission and values. The fourth, *activated participation*, or participation top-down, implies the creation of *ad hoc* groups answering to contingent needs of communities or contexts where people live (i.e., citizens' committees, focus groups, 'district contracts', etc…). This last demands for facilitators, which must strategically define how to activate a participation's need in the community, how to engage the most potentially effective persons, how to go ahead, and how to facilitate shared decisions [22].

Looking at the objective levels of participation, a good starting point is the well-know and provocative "Ladder of Citizen Participation", a model developed by Sherry Arnstein, which conceives public (citizen) participation in terms of eight rungs of a ladder, ranging from least to most public influence [35].

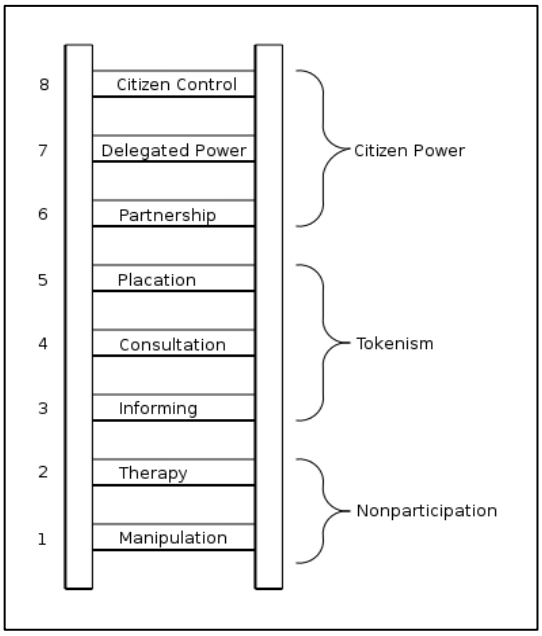

Figure 17.4: Arnstein's Ladder of Citizen Participation [35]

As schematised in Fig. 17.4, the bottom-level rungs (non-participation and tokenism) represent little to no citizen power in the participation process, whereas the higher rungs (degrees of citizen power) have higher levels of citizen participation.

The first rung of non-participation, *manipulation*, can be easily interrelated to the *ideological power*, with citizens involved when decisions are already taken. Its "real objective is not to enable people to participate in planning or conducting programs, but to enable powerholders to 'educate' or 'cure' the participants" [35]. Manipulation is almost typical of what has been rhetorically perpetrated in the name of heritage conservation, based on 'grassroots participation'. Going up the ladder, there are three rungs, defined of *tokenism*, that allow the citizens to hear (information), be heard (consultation), and advice (placation), but not to take part to the decisions. Under these conditions, citizens "lack the power to ensure that their views will be heeded by the powerful", and there is "no assurance of changing the

status quo" [35]. At this level, we can find the place-making of the urban design, whereas citizens are informed about the design (information), or interviewed (consultation) on their needs and values, or they can even express their appreciation about results (advice).

Finally, further up the ladder there are the three rungs of citizen power, that is, partnership, delegate power, and citizen power, with increasing weight of the participation process in the decision-making [35].

Partnership is the first level of real, effective participation, with power "redistributed through negotiation between citizens and powerholders", which agree to share planning and decision-making responsibilities [35]. According Arnstein, partnership works effectively "when there is an organized power-base in the community to which the citizen leaders are accountable; when the citizens group has the financial resources to pay its leaders reasonable honoraria for their time-consuming efforts; and when the group has the resources to hire (and fire) its own technicians, lawyers, and community organisers" [35]. Negotiations between citizens and public officials can also result in citizens achieving dominant decision-making authority over a particular plan or program (*delegate power*). The last level of the ladder, *citizen control*, is a degree of power that "guarantees that participants or residents can govern a program or an institution, be in full charge of policy and managerial aspects, and be able to negotiate the conditions under which *outsiders* may change them" [35]. The Arnstein's ladder is one of the most widely referenced and influential models in the field of democratic public participation, with the merit to point out not only the existence of several level of participations, but also that situations commonly perceived as participation are rather "false participation" [22].

17.3.2.3 Partnership

Arnstein's vocation was improving the relationship between local governments and local community groups, with citizen participation as "the basis (for) creative, coordinated partnership between city governments and residents of Model Neighbourhoods" [36, p. 1]. If the last two rungs, of full citizens' empowerment, expect stakeholders as initiators and undertakers of activities, plans and programmes, partnership represents the real balance between local governments and organized citizen groups. Arnstein believed that citizens' empowerment was necessary to make partnership work, because:

> "A partnership in which one partner is ill-informed or lacks the knowledge to negotiate with the other partners is likely to contain within it the seeds of its own dissolution. The weaker partner will see nothing to be gained from remaining in the partnership if it lacks the capacity and, for all practical purposes, the opportunity to contribute to and participate in partnership decisions" [36, p. 18].

As described in Fig. 17.5, our elaboration of Arnstein's Ladder, we can have five different degrees of stakeholder participation, from the pure information to citizens up to empowering them. The diagram does not consider only the intensity of citizens' power, but also passive/active citizenship, and the increasing of responsibilities, interdependences, risks, gains, community-based activities, and horizontal accountability. Therefore, not necessarily the highest stakeholder participation level

is the most sustainable, especially in absence of adequate competencies. We can define partnership as a process of multi-stakeholder engagement to develop programmes and decision-making, which promotes broad collective commitment and ownership of quality programmes [37]. Edwards et Al. [38] distinguished between the principle of *partnership working* and *partnerships as organisations*. The former is a "governmental strategy which seeks to encourage integration, consultation and the sharing of responsibility in the process of governance" [38, p. 2]. It implies a close collaboration among public authorities, economic and social partners, and bodies representing civil society at national, regional, and local levels, throughout the whole action/programme/plan cycle. The latter is a specific organisational form. Commitments to follow the partnership principle by public bodies does not necessarily means to develop partnerships as organisations [38, p. 3], as well as does not necessarily require empowering communities (Fig. 17.5)

Informing	Consulting	Cooperating	Partnering	Empowering
Providing stakeholders with adequate information to enable them to understand and share decisions	Obtaining feedback from stakeholders to make decisions and take action, reducing conflicts	Involving individual stakeholders in decision-making processes and development of activities	Collaborating with stakeholders collectively to ensure that decisions and activities are appropriate	Decision-making and activities initiated and undertaken by stakeholders collectively

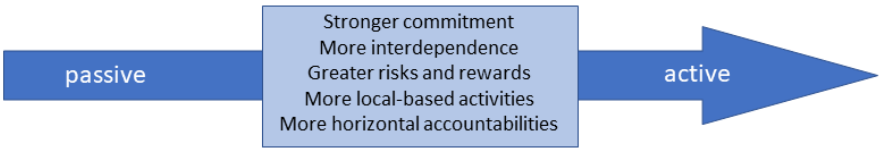

Figure 17.5: Degrees of stakeholder participation

HUL does specific reference to partnerships to ensure its successful application [6, p. 5], although it creates some confusion by mentioning cooperative (and not collaborative) actions. In fact, in the cooperation principle stakeholders participate in decision-making by exchanging information or resources and supporting one another in a relationship dependent on individual rather than collective efforts [39]. On the contrary, partnership involves diverse stakeholders collaborating as a group to achieve a common goal while sharing "mutual responsibility for their joint endeavour" [39]. Therefore, partners collaborate in decision-making processes and have the ownership of outcomes. Partnership is a dynamic and complementary relationship between diverse actors, in which they achieve value-added by working together rather than alone, enhance democratic governance, and ensure that public sector decisions are relevant and effective.

At EU level, the partnership approach is captured by the Community-Led Local Development (CLLD), defined as "a tool for involving citizens at local level in developing responses to the social, environmental and economic challenges we face today" [40]. Borrowed from the LEADER approach, CLLD was adopted across the

board of the EU Structural and Investment Funds in the 2010's. According the proposal of Common Provisions Regulation [41], in the next 2021-2028 member states must ensure that CLLD is:

a. focused on subregional areas
b. led by local action groups composed of representatives of public and private local socio-economic interests, in which no single interest group controls the decision-making
c. carried out through integrated strategies
d. supportive of networking, innovative features in the local context and, where appropriate, cooperation with other territorial actors [41, Art. 25].

CLLD is strictly dependent on the establishment of local action groups, which "…should be made up of representatives of local public and private socio-economic interests, such as entrepreneurs and their associations, local authorities, neighbourhood or rural associations, groups of citizens (such as minorities, senior citizens, women/men, youth, entrepreneurs, etc.), community and voluntary organisations, etc. At least 50 % of the votes in selection decisions should be cast by partners which are not public authorities and no single interest group should have more than 49 % of the votes" [42]. The reader can easily recognise the effort to apply a real partnership approach, as a way in which communities can attain their rights through collaborative decision-making.

As expressed by Arnstein, partnership does not imply transferring responsibilities from government or limiting its power, but it aims at enhancing and consolidating the legitimacy of public authorities. However, several partnership processes have been characterised by technocratic and scientific rationales, as opposed to the one rooted in stakeholder participation, or by a variable community involvement, with the local community being more commonly engaged in the initial identification of needs than in project implementation or feedback and monitoring. In some countries, partnership is deeply rooted in cultural and institutional behaviours through community development, as in Scandinavian countries, where such behaviours rely on traditions of civic participation. In other countries, partnership carried along a development pattern of citizenship and civic society initiatives, *économie solidaire*, third sector movement, and social entrepreneurship. Clearly, there is no '*one size fits all*' to the partnership approach and more consideration needs to be given to the process by which partnerships evolve and adapt through their lifecycles [43] [44].

17.3.2.4 Governance mechanisms

The participation can be reinforced by the occurrence of conditions such as SoC (the perception of being part of a community), tolerance of diversity and pluralism, common perception of needs and solutions, individual and collective self-efficacy, common and familiar community spaces, forms of tangible assistance, and continuity of collective work [22]. However, close to the local context's factors, an effective participation demands for a change of the so-called "governance dynamics" [6], especially at governmental level, in order to engage individuals and groups on specific local collective interests, as for the case of heritage conservation and management, and in which HUL tools should be integrated. We can define governance as:

> "…a heterogeneous set of methodologies and practices able to create multi-level models of collective decision-making based on interaction and flexibility" [46].

For developing partnerships, for example, the governance dynamics should include empowered local people in urban/rural areas and involve them in the planning process through 'bottom-up' approaches. EU Cohesion Policy has increasingly placed emphasis on this challenge, by enabling local people to take greater control over their own lives [45]. Based on the three keywords, local participation, capacity, and voice, EU programmes have given more and more voice to the local dimension, embedding the local perspective in the EU policy-making and promoting local ownership of actions and measures. EU initiated a cultural transition, by helping community-based partners to design and implement local development strategies, based on identified needs, and find the sources of finance for these. This transition shifts from hierarchical models, based on the principle of authority of the State, to interactive models, involving several actors situated at different levels, such as international, national, and local (*multi-level*). According to Hooghe and Marks [47], there are two types of *multilevel governance*. A first, labelled as Type I, "… conceives of dispersion of authority to a limited number of non-overlapping jurisdictions at a limited number of levels. Jurisdictions in this system of governance tend to bundle authority in quite large packages; they are usually non-overlapping, and are relatively stable" [47]. A second distinctive model, described as Type II governance, "…pictures a complex, fluid, patchwork of innumerable, overlapping jurisdictions. These jurisdictions are likely to have extremely fungible competencies, which can be merged into functionally specific jurisdictions; they are often overlapping; and they tend to be lean and flexible—they come and go as demands for governance change" [47]. Reviewing the *governance* proposed by HUL, different levels of government (national/federal, regional, and local), supported by sectoral experts, are responsible of the definition, elaboration, implementation and assessment of conservation policies, in a linear process that can be classified as Type I *governance*. Local partnerships are positioned at the end of the process, as graphically described in Fig. 17.2, once the design process has been almost completed, with mechanisms far from the ones imagined in the partnership participation. To make civic engagement tools useful and ensure a sustainable future to the heritage conservation, the HUL *governance* model should evolve to a *multilevel Type II*, based on circular and pluralistic schemes, open to unexpected stakeholders [46].

At local level, *governance* can be configured as an adaptation of planning and technical principles to the local political reality and the community's needs. Bargaining, consensus building, and consolidation of all factors necessary for sharing decision-making are finalised to achieve the same objective: to develop a local democratic environment.

One reflection could be advanced: perhaps, more than a function of theorisation and definition of models and processes, local governance dynamics can contribute through niches of experimentation to legitimise values, such as interaction, flexibility, adaptability, pragmatism, negotiation, partnership, effectiveness, and proximity, which could become a new grammar of *participation*.

17.4. **Transition processes for sustainable heritage**

This challenge calls for transitions to sustainability, in order to take into account new global phenomena such as climate change, the natural resources' exhaustion, financial crises, demographic dynamics, migrations, sanitary crisis, and mobility needs, and at the same time to face short-term or local place-based issues, such as environmental resources, quality of life, and social cohesion [48]. As previously pointed out, the current overlapping between life space and economic space demands "serious changes in the way humans do business with each other and with the earth, in the face of a fractured, inequal world" [48, p.2], and to link long-term and short-term priorities, place-based and global approaches, traditional institutional actors and local communities' interests.

The so-called transition studies, referred to transitions in societal systems based on long-term and multilevel processes, develop approaches for a "radical transformation towards a sustainable society, as a response to a number of persistent problems confronting contemporary modern societies" [49]. Addressed to global environmental problems, these approaches deal with co-evolutionary processes, based on "profound changes in dominant practices, policies and thinking" [50], and "multi-dimensional interactions between industry, technology, markets, policy, culture, and civil society" [51].

Although strongly focused on technology, with a too much technocratic and mechanical orientation and little concern for society, exclusions, power, and participation, they help us to schematise an analytical framework based on non-linear processes and sensitive to the interaction of multiple dimensions, which can provide effective resources in the field of HUL civic engagement [51].

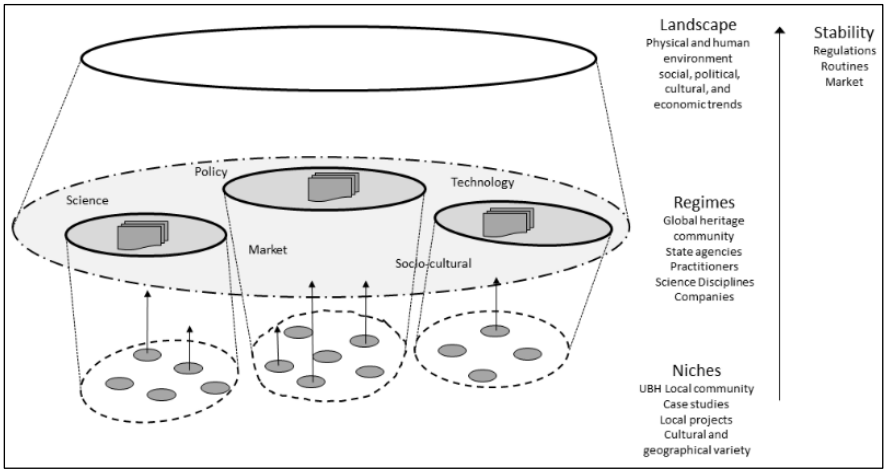

Figure 17.6: Community-led Heritage Valorisation in Multilevel Perspective, adapted from [51]

According Geels and Kemp, transition processes can be outlined as "result from the interplay of multiple developments at three analytical levels: niches (the locus for radical innovations), socio-technical regimes (the locus of established practices

and associated rules), and an exogenous socio-technical landscape" [51, p. 52]. These levels are characterised by increasing stability, from the niche to the landscape, which is the domain of long-term processes and realities. The regime level includes factors such as knowledge, investments, policies, institutions, skills and cultural values, and is characterised by a state of dynamic stability, where innovation takes place but in incremental and path dependent way. Transitions occur when changes or crises in the wider environmental, cultural, political and economic context (landscape level) create windows of opportunity for developing and diffusing innovations (niche level), which emerge and alter the dominant system (regime level).

In Fig. 17.6, the multilevel perspective model is translated for a community-led heritage management. Heritage-led initiatives are the *niches*, as such protected spaces supported by research groups, and animated by local communities, visionary stakeholders, and citizens, with adequate resources or subsidised. The literature on niche-innovation distinguishes three social processes, such as articulation of expectations or visions, building of social networks with enrolment of more stakeholders, and multi-dimensional learning processes [51]. The niches could be successful or unsuccessful stories, in any case they have a learning potential, in both 'hard' terms, considering the physical interventions and the needs of UBH conservation, and in 'soft' terms, considering matters of city planning and policymaking, societal involvement, business models, and financing. As *niches*, we can consider the U4V case-studies, whose living labs can allow local and global heritage communities to develop, nurture, experiment, and learn in real-life circumstances, without immediate or direct pressure from the regime [50]. The niches can gain momentum once the vision become precise and accepted, transition processes more stable, and networks bigger and legitimated by powerful stakeholders [51].

As Geels suggests [52], "a socio-technical regime is made up of alignments between regimes that refer to specific populations (e.g., policy-makers, academics, industries, civil society, users/consumers)". Therefore, we may distinguish different regimes, such as technological, policy, science, socio-cultural, and financial regimes. Each of these regimes has different rules, languages, and values, and their alignment can happen only in incremental way. The *global heritage community* could be considered a regime, with "shared beliefs, norms, standardised ways of doing things, heuristics, and rules of thumb", that is, "intangible rules on which actors draw in concrete actions" [51]. In the initial paragraphs, we proposed an interpretation of why and how HUL was promoted, that is, as a result of tensions coming from the so-called *landscape*. This last is the wider context of long-lasting structures and large-scale socio-economic, demographic, political and international trends, which influences dynamics of both niches and regimes. According Rip and Kemp, the *socio-technical landscape* is "something around us that we can travel through" and "something that we are part of, that sustains us" [53, p. 334], practically the *ecological landscape*, which includes physical aspects (cities, infrastructure, nature), political ideologies, societal values, beliefs, media, and macro-economic trends. Global megatrends or crises, such as the current covid-19 pandemics, can generate pressure on the socio-economic and cultural systems for conceiving alternative solutions, by encouraging collective creativity and activating circular processes of *governance*. Transitions are never produced by linear causality, but by

processes on multiple dimensions and at different levels, which link up and reinforce each other, through a circular causality [50].

Considering societies as complex adaptative systems, they integrate these transitions from individuals, communities, and *niches* to the whole system across scales [54]. To undertake a multi-level approach, therefore, we need to clarify at which spatial scale is necessary linking society and ecosystem.

This spatial heterogeneity reflects heterogeneity at territorial level and among people, culture, and institutions" [54, p. 109]. Macroscopic patterns emerge from interactions at much lower scale of organisation, the niche, but then feedback to influence the dynamics at those microscopic scales [55]. If locations matter, transitions require specific place-based and participatory approaches, to determine locally what is a sustainable place for the communities involved, the one where "the improvement of environmental conditions *stricto sensu* … will lead to improved living conditions", and where "technical devices and ecological processes … will lead to new lifestyles" [54, p. 110].

That means to carefully consider innovative heritage-led actions, especially the technological ones, often favoured to the detriment of more holistic approaches. To foster real sustainability, there is a need for contrasts, to meet and adapt to the different aspiration among the inhabitants, to focus more on the social process of decision-making and to consider that sustainability is an inclusive notion, which integrates environmental, social, cultural, and economic aspects of the concerned societies. There is a need for planning and managing these transitions.

17.5. **Planning and experts' role**

This chapter does not only spell out the role of the professional worker as enabler or facilitator of empowering processes, as well as catalysers of social priorities in face of the public interest for UBH conservation. Much has been written about power, participation, community decision-making, and the transitions processes, and very little about *how to think* about the planning issue. As introduced by Smaniotto Costa in Chapter 16 [56], the reader who would enhance the planning aspects must concern himself with the understanding of and organisation for both the rational undertaking and for the interpersonal, intergroup, and interorganisational process. Planning calls for strategic and deliberative practices to encourage and carry out practical and timely participatory processes. With the scope to develop community-led development, we explore alternative trajectories to statutory planning, which civic engagement tools could stimulate and support in an adaptive, forward-looking manner. With the scope to promote behavioural changes towards sustainability, we present a short vocabulary of approaches for stakeholder engagement and partnership, with the recognition that more than analysis and report writing, the planning process needs concepts, theories, and approaches to practice [57].

Whether at international, national, regional, local, or neighbourhood level, planning represents a constant shuttling between the holistic and the modest, from the comprehensive to the segmented, between systematic, logical, empirical activity and a decision-making that is in the broadest sense political.

Since 60s', *community organisation* and *interest groups* have been identified as the two main alternatives to statutory planning. Both have underplayed criteria and rational, raising more questions about power structure than about policy parameters [57]. In the 90s', *public participation* generated a new planning paradigm [58] [59], with many attempts to introduce people voice in the planning process and the result to often generate rhetoric and ineffective activities, in absence of local resources and community empowerment. Now, we can say that participation does not guarantee development and sustainability, nor does it automatically lead to either community empowerment or local development [5]. Moreover, it could incur significant costs due to extra administration, resolution of different or competing stakeholders' interest, or failure to develop sustainable projects. However, participation is a responsible exercise of citizenship, where people learn to defend one position and listen to another, to decide together, to divide the work to be done, to set objectives, and to discover new horizons.

In participatory interactions, emphasis is not on what architects, planners, or experts know, but on how they distribute their knowledge, not on their ability to solve problems but on opening up debate about them, not on public trust in their expertise but on individual trust in their integrity, not on consent to their plans but on consent to their mediating debate [60]. An evident dualism characterises planner's mandate, which public participation leaves halfway between the need "to press professionally ... for substantive goals" and "to bring about a participatory process" [61, p.100]. However, reaching *substantive goals* takes more time than planning and more than communicative action, even if the quality of the planning process partly determines the quality of the planning product.

Therefore, while planners attempt in empowering communities, by encouraging concern on the part of some people with the deliberative phases of the whole process, they must associate rationality and strategic thinking to the planning process. This is crucial to understand experts, architects, planners, enablers, facilitators and local stakeholders' roles in the whole process, who has the power to formulate the final project, and who the power to implement it [61]. These problems related to roles, power, parameters, forms of co-optation, activism and resistance within the community create practical ambiguities for both observers and participants. In his famous *Planning in the Face of Power*, Forester questions how to connect, in a deliberative and participatory practice, civic engagement and communities to the main planning metaphors, research process, and construction of meaning [61]. The first is based on the 'solution space', that is, the conceptual space where to find possible solutions. In the case of community participation is difficult to define their sentiments *a-priori*, and difficult to assess each solution without using judgment and interpretation, that is, the application of a general rule to a specific case. Once the planner/facilitator/expert applies her/his interpretation, the process is not research anymore, but creation of a new meaning, and loses its formal power [61, p. 202]. The expert, thanks to her/his practice, "knows how to research, play, amaze, and sometimes bring out a solution" [61]. On the contrary, an alternative approach

would be to develop participatory practices, as a collective construction of meaning, that leads to experimentation as well as to political, cultural, and ecological change.

Planners, as well as the *global heritage community*, should not contribute to define "What?", which is defined by the community, but support the "Why?" and "How?" questions, through a *strategic thinking* process [62]. Says Mintzberg that "strategic thinking … is about synthesis. It involves intuition and creativity" [62] and, differently by strategic planning, is a daily mindset. Experts and planners should guarantee analyses, not the vision. Their real task is to widen the understanding of issues rather than to discover the right solution. As in Fig. 17.6, strategic thinking should help people seeing ahead, behind, above, below, besides, beyond, and through [63].

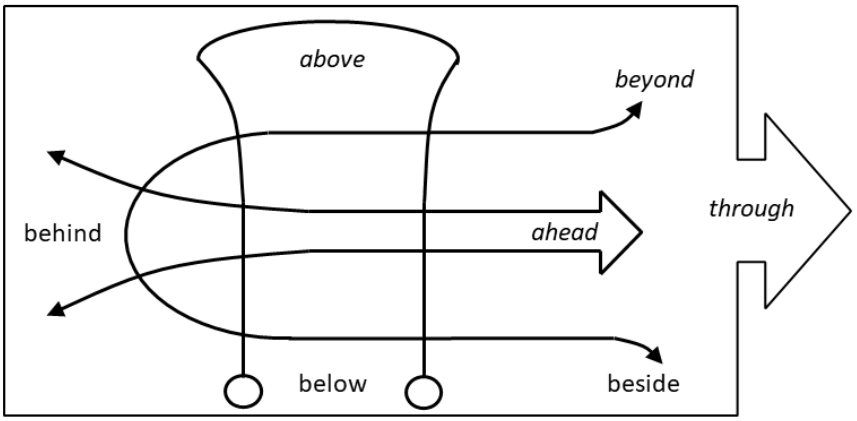

Figure 17.7: Strategic thinking as "seeing" [63]

Paraphrasing Mintzberg, we can imagine experts/planners/facilitators as catalysts who support strategy making by aiding and encouraging communities and stakeholders to think strategically. Empowering a community becomes part of a collective process of construction of meanings, visions, answers, and solutions.

Finally, the planner's profile takes shape and, at this point, we can better understand the applicability of Forester's deliberative and participatory practices, as "…inquiring and learning together in the face of difference and conflict, telling compelling stories and arguing together in negotiations, coming to see issues, relationships, and options in new ways, thus arguing *and* acting together" [64]. His description tells us of experimentation in practice, similar to the *niches* developed in the context of sustainability transitions, whose tools are defined and structured in the following paragraphs.

17.6. **Shaping civic engagement tools**

The previous paragraphs told us what the civic engagement tools should provide. Local communities should be empowered and organised in partnerships with place-based approaches, in order to share strategical thinking and experimenting

sustainability transitions, in processes that go far beyond the simple conservation, restoration, and physical rehabilitation or repurposing of a site. These processes are characterised by complexity, uncertainty and circularity, depending on experimentation, learning, and sharing ideas among previously undefined stakeholders.

As previously argued, most of the planning schemes place civic engagement in an enigmatic realm where participation is false or doomed to failure. Although an opportunity for cities and regions to perpetrate social innovation, the planners' toolkit is replenished by other disciplines' tools, without enriching planning science with studies of the role that planning plays in real-life situation. Such studies would support the integration of HUL civic engagement tools with the planning tools.

The reader should have now all the background for choosing the operational tools and adapting them to the specific project, community, or institutional context. However, in underground4value case-studies we experienced the application of some of them. In this Handbook, Smaniotto Costa introduced the Place Management tools [56], the only planning reference, on which no clear consensus has yet been developed. This chapter introduces other two participatory approaches, such as Strategic Stakeholders Dialogue (SSD), an integrated methodology of strategy formulation and implementation, typical of corporate management field, and Transition Management (TM), based on transition research, which draws a governance approach by involving participatory processes of visioning and experimenting. This tools' description brings us to reflect on how they could be integrated in a single empirical approach, such as the proposed Strategic Transition Practice (STP), based on local communities' experiments and empowerment, and a multi-level strategic dialogue (e.g. Living Labs) [5].

17.6.1. *Strategic Stakeholder Dialogue (SSD)*

Under the name of Strategic Stakeholder Dialogue (SSD) [65] [66] or Strategic Dialogue [67] are grouped a number of different approaches and models coming from corporate and business management, aiming at developing structured, interactive, and proactive processes, for facilitating a strategic communication between corporate companies with individual stakeholder groups, such as government, NGOs, science and other societal groups on the corporate social responsibility (CSR). It has the main scope of bridging two information gaps, such as the expectancy gap and the perception gap. The first is about knowing the "actual, diverse, and often conflicting expectancies of their different stakeholders" [65]. It means, in our case, that project facilitators are not preliminary aware of what stakeholders are really interested in. The second is about the stakeholders' perception of the organisation's behaviour and performance, such as project and public body behaviours in our case. Stakeholders are not always up-to-date with the extent to which the project, plan, or initiative meets their demands, or could potentially do. The dialogue is an open, two-way communication processes where conflicting interests and concerns are addressed [68, p. 51], enabling parties "to take away mutual distrust and misunderstanding, paving the way for discussions about chances and solutions" [65].

By shifting relations from confrontation and competition towards consultation and partnering, SSD develops mechanisms of collaboration in analysis, visioning, and planning with and among stakeholders. By stimulating partners to learn from each other in order to take collective action in a 'process-oriented' form, it also strengthens relationships [65]. In that way, the process builds not only temporary consensus and partnership on goals, strategies, and policies, but also long-term relationships based on mutual trust. Thanks to that, the dialogue combines different opinions, arguments, and preferences, as well as supports a mutual influencing from all parties, in a process where the initial 'trust me' and 'show me' are replaced by the call for 'involve me', 'join me' or 'engage me' (Fig. 17.8). To achieve this goal, however, the dialogue needs *voluntary participation* and engagement of the stakeholders.

Figure17.8: Dialogue and open dialogue

Main SSD potential objectives are:

– Achieving better solutions for complex problems by incorporating input from a wide variety of stakeholders, by seeking to incorporate new technologies, and by integrating different insights and generating new insights

- Bringing together the most important stakeholders and building mutual trust, preventing information asymmetry, sharing responsibilities, and creating commitment
- Creating effective win-win situations, by putting people first during the searching, selecting and the implementation of policy options.

The SSD methodology is a generic iterative process applicable to a multitude of situations and strategic issues [67]. However, it must be specified for each project, community, and context, according the principles identified in Tab. 17.1.

Table 17.1: SSD operational principles, adapted from [65]

Principle	***Activities***
Partnership	Working together and engaging in partnerships; creating networks; solving conflicts; working towards common goals; creating interesting options for all parties; sharing responsibilities
Effectiveness	Goal-oriented, driving to workable solutions & pro-active strategies in a systematic fashion
Flexibility	Ability to adapt own opinion, the process and/or (preliminary) results to new conditions and insights. Room for 'trial and error', tolerance towards each other
Inclusiveness	Involving a broad and diverse group of stakeholders with different values, points of view, expertise and expectations; involving 'winners' as well as (potential) 'losers'
Legitimacy	Transparent and honest dialogue process, guided by collective agreements ensuring all parties view the results as being legitimate
Learning	Reflective capabilities; new insights actually lead to new principles and new ways of thinking; mutual information transfer to prevent knowledge gaps on important subjects
Ownership	High level of involvedness, all parties involved self-identify in the dialogue and feel responsible for the implementation of the results
Participation	Stimulating active, informed and committed participation of everybody involved, on a voluntary basis without exerting pressure
Fairness	Equality, impartiality, without prejudice; striving for equal participation of all involved parties, combating power differences, power abuse and power manipulation
Accountability	Responsibility for the living up to agreements about dialogue process and results; complying with ethical and relational duties; making dialogue outcomes transparent to all of those involved, other not-participating stakeholders, and society in general
Transparency	Openness about points of view, opinions, assumptions and expectations; about relevant business interests; deliver to all relevant parties all relevant information
Voices, not votes	All parties involved have the opportunity to voice their opinion and all points of view are viewed as being legitimate. Opinions do not lose legitimacy when a majority is in favour something else. There is: 'separation of the problem from the people' and 'focus on the interests and not on positions'

To find a balance between collective values and the pragmatic approach of solving strategic problems, and enhance the capacity for interactive learning, transforming new knowledge into coordinated action, Van den Berg and Pietersma define an iterative operational model, structured in eight steps, as follow [67]:

- *Searchlight*: setting the process of strategy formulation and implementation, and defining shared ambitions and scopes

- *Outside-in* (scenarios): mapping potential strategic positions from the possibile future environment
- *Inside-out* (analysis): exploring strategic options based on partnering resorses and competencies
- *Options:* translating analytical information to insights and then generating dstrategic options
- *Choice*: estimating risks and feasibility of the various options and choosing the strategy
- *Operationalisation*: making an implementation plan, setting the implementation process in detail
- *Execution*: implementing plans, policies, and actions for change
- *Monitoring*: assessing ongoing developments at the community level, as well as the organisational performance in realtion to the strategy and goals.

This approach stresses on the dialogue, but allows a certain freedom to use other management models for analysis, design, implementation, and monitoring. Its success depends on the way in which the process is organize and results communicated to all parties [67]. In particular, critical factors are: mapping and selecting stakeholders and their roles, organising enthusiasm and buy-is for the project, assessing the quality of stakeholders input with regard to both analysis and visions, communicating with non-participants about and during the process, and finally ensuring that agreed procedures are observed by all involved stakeholders.

SSD has been seen as a reasonable tool for creating sustainable strategies, and adequate to deal with complex issues in which partnership and shared responsibility are important conditions for solving the problem. However, the SSD is about tangible issues and responsibilities, in which parties look for shared, suitable and realistic solutions that are translated into proactive and sustainable policy [65]. It is not focused on *governance* but more on relational management, therefore it demands for stakeholders firmly grounded in the reality, not necessary for collective, visionary, or not-empowered actors. In addition, the partnering, by producing internal trust, could evolve in a closed club of the most important stakeholders, which not easily welcomes external or small stakeholders, considered as free-riders. This approach is appropriate when there is at stake a specific realistic issue, a limited number of public and private stakeholders, or an existing empowered community. It is not able to put into discussion the current society's organisational patterns, behaviours and beliefs, that is, the actual 'socio-technical system' [5], and does not manage processes of co-evolution, involving alternative changes in needs, wants and of the institutions that coordinate choices. For these, different types of *governance* are needed: more open, oriented towards learning and innovation, with adaptive capacities to deal with surprises [69], such as the described multilevel governance Type II.

17.5.2. ***Transition Management (TM)***

An answer comes from the second tool, the Transition Management (TM) (Fig. 17.9). Based on complexity theory and governance studies, TM is a 'goal-oriented'

approach for shaping transitions, promoting participatory processes of visioning, and experimenting them in transition paths.

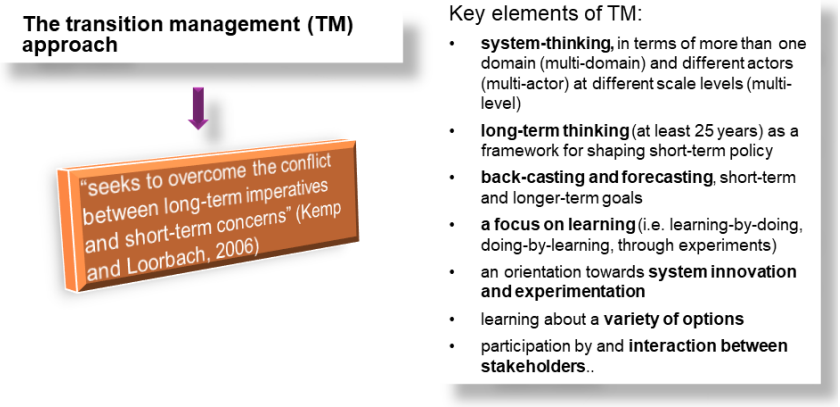

Figure 17.9: Transition Management approach [70]

With the main scope to "overcome the conflict between long-term imperatives and short-term concerns" [70], usual in sustainability policies, TM builds on co-evolutionary socio-technical systems, as previously presented, and is used for 'managing' transitions to sustainable energy, mobility, agriculture and the sustainable use and management of natural resources [5]. In particular, TM conceptual focal point is on the micro level, that is, on a confined transition arena that is expected to provide a protected breeding ground for new ideas and policy option. This focal point promoted its applicability to local initiatives, such as nature-based solutions (NBS) ones [71], and becomes the backbone of many living labs [5]. In addition, its reflexive process, on learning and change, stimulates bottom-up initiatives and a multi-level *governance* Type II, defined also as *mosaic governance* [71], whereas state actors can "rely upon non-state actors in the formulation and implementation of public policy" [72].

TM is concerned with positive goals, collectively chosen by the community or *niche,* following a process of problem structuring. However, what characterises TM is to have, together the content goals, also process goals, such as learning, maintaining variety, and institutional change, which are used as means for change. This means that, also in case of failure whereas the SSD does not survive, the process generates positive outcomes. That makes TM a dynamic process of social learning and network building, whose evaluation and adaptation, in terms of strategies, involved actors, and progress, brings flexibility without losing a long-term focus. Strategic are, therefore, bottom-up local initiatives for moving different levels of government to the dialogue, and to foster self-organisation through new types of interaction and cycles of learning and action.

Thanks to that, communities can explore alternative social trajectories in an adaptive, forward-looking manner, combining the capacity to adapt to change with

the capacity to shape change [73]. TM relies on the interaction between processes at three levels [70]:

- *Strategic*: processes of vision development, strategic discussions, long-term goal formulation, etc…
- *Tactical*: processes of agenda-building, negotiating, networking, coalition building, etc…
- *Operational*: processes of experimenting, project building, implementation, etc…

At each level, specific types of actors participate, specific instruments are used, and different competencies are needed. That brings to different clusters of activity and outputs at each level, which co-evolve throughout processes of alignment in a combination of network-governance and process management. We can identify four different clusters of activities [70]:

- *Strategic activities*, which deal primarily with the "culture" of a societal system as a whole (e.g., the so-called Strategic Transition Arena, problem structuring and vision development)
- *Tactical activities*, which are interest driven and relate to the dominant structures (regime) of a societal system (e.g., agenda-building, transition-paths)
- *Operational activities*, such as experiments and actions with a short-term horizon often carried out in the context of innovation projects and programs
- *Reflexive activities*, which are related to monitoring, assessments and evaluation of ongoing policies, and ongoing societal change.

Being concerned with the co-evolution of technology and society in a broader sense, TM creates various cycles of feedback among different regimes, usually poorly connected, opening space for innovation more long-term oriented. As affirmed by Kemp, Loorbach, and Rotmans [74], partial solutions are forgone for options offering a greater suite of benefits.

By promoting local community experiments, TM helps generating new insights regarding the experiment and its direct context, but also regarding the long-term goals and visions. From a co-evolutionary perspective, that activates a continuous reflexive learning cycle between experiments and innovations (learning-by-doing). The acquired knowledge, then, empowers the community, which develops long-term strategic visions and goals (doing-by-learning) and becomes pioneer and lighthouse for the external landscape. In terms of governance, being stemmed from a public Dutch initiative, it is not surprising that TM is not disruptive and, by relying of reflexivity, aims at a re-institutionalisation of the processes. It attributes the role of facilitator and mediator to the public bodies, in a heterarchical, centralised, and collaborative structuring form, oriented to produce controlled structural change [75, p. 109]. The changes that happen are based on self-confrontation and learning, such as the modification of structural links, and on the self-understanding of stakeholders in terms of identity, strategic capacities, individual and collective interests, and their preferred strategies and tactics [75, p. 110].

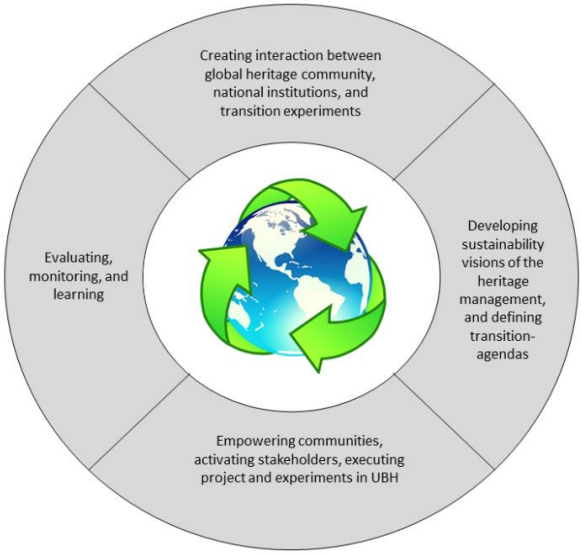

Figure 17.10: Activity clusters in transition management, adapted from [70]

TM activities can be illustrated only in general terms, and need to be adapted and individualised for every specific context or problem, "because they are largely dependent on the nature of the transition problem at hand and, because of the interactive nature of transition management, on the actors involved" [70]. In terms of UBH valorisation, a good exercise is starting to define the TM application potential benefits, such as:

- Exploring radical options, that fundamentally diverge from the status quo, which could be based on technology or social innovation
- Linking concrete local actions and broad societal challenges, such as the sustainable development goals, as well as HUL objectives
- Orientating towards feasibility in the short-term, for assisting community development, and balancing with long-term goals
- Acknowledging the central role of social learning for achieving a transition towards sustainability, and promote a reflexive attitude among the stakeholders
- Perceiving the communication and mobilisation of people as an integral ingredient of the process, by developing storytelling approaches and giving visibility to local success stories.

Being a dynamic and iterative process, TM promotes a continuous re-assessment of the formulated goals and policies to move closer to those goals. By systematically evaluating formulated goals, experiments and policy approaches can be adapted, which leads to a new round of learning-by-doing. The cyclical and iterative TM activity clusters for heritage goals are portrayed in Fig. 17.10.

This flexibility makes TM able to adapt to different social, economic and cultural regeneration contests, characterised by different underground space, local services

demand, touristic potential, legal frameworks, and stakeholders. In addition, by facilitating community participation and local capacity building, in forms of *transition arenas* or *living labs*, TM promotes transformative social innovations, that is, processes of changing social relations, involving challenging, altering or replacing the dominant institutions in a specific context [70].

17.5.3. *Towards a Strategic Transition Practice (STP)*

One of the main critics to the TM is related to its aim to re-institutionalise processes, mainly focused on technology, by necessarily attributing the role of facilitator to the public bodies, as well as to take into account the global networks. In this way, it neglects inequalities and questions of power, at the basis of community empowerment, such as who decides the kind of transition to pursue, or who wins and who loses with different transition paths, with a clear risk that public sector manipulates communities in doing what the public is not able to do at large scale. In addition, TM finds limits, as well as opportunities, to intervene in complex systems of culture (ways of thinking), practice (ways of doing, routines, habits) and structure (government, organisation) [76, p. 162]. Finally, TM puts in the same experiment technology supply and demand, which also could create distortions and mistrust.

In order to drive 'practice-oriented' local challenges in heritage management and overcome these weaknesses, the approach known as *Social Practice* [76] could be helpful. According Giddens, human activity and the social structures that shape it are recursively related, and, therefore, it is through practices that the "constitution of agents and structures are not two independent given sets of phenomena, a dualism, but represent a duality" [77, p. 25]. In substance, if we move our approach to practices, we do not any more focus of the individual, but on modes of social relation and on mutual actions. Going back to HUL engagement tools, this means that if we approach the tools from the social practice perspective, we could connect human activity (the agent) and social structure (rules and meanings), the informal behaviours to the rules, and then develop practice-oriented policies. This integrative approach, which tentatively we could name Strategic Transition Practices $(STP)^2$, would promote local communities' empowerment and action, based on shared social conventions, which not necessarily flow in a multi-level strategic dialogue. A practice of transition is not cause-and-effect, as for the TM goal-oriented process, but practice-oriented built on emergent ideas and projects that may undergo metamorphosis over time and change meaning, as in the case of Forester's planning construction of meaning. Each different practice is an outcome of complex and *emergent* processes "over which no single actor has control" [76, p. 144]. That clearly change the actual and potential role of public policies in the process, which become part of the patterns, systems and social arrangements they hope to govern. Citing Shove et al., "they do not intervene from the outside, nor do their action have effect in isolation" [76, p. 145]. Now, our framework is better defined, with the public deeply inside the process, as part of the living lab, at the same level of the other stakeholders, not facilitating the process any more. In this way, it is possible to imagine STP, with experiments in protected places, such as living labs, promoting any

local community's positive change, and building capacity in the involved regions, among public bodies, communities, private companies, practitioners, academics and any other stakeholder. This change is historically specific within a landscape of possibilities that is, in any case, always in transition [76]. To the question how can STP be transferable to external landscapes, we should consider that this practice-oriented approach draw attention to historical, cultural, and social specificities of the communities, which reflect distinctive accumulation of meaning, materiality and competences [76].

Adapting the methodological steps of SSD and TM, we can configure an integrative approach, the STP, based on the following elements:

- *Experiment-based*: experiments built on agile development and rapid prototyping of ideas, concepts, products, services, and processes in a highly decentralised and user-centric manner
- *Radical steps*: actions structured in a succession of short but radical steps, involving sequences of *trail-and-error* learning, in a long-term perspective
- *Social innovations:* activities promoting innovations that are social in their ends and means
- *Practice-oriented:* no single actor's action, but a process of practices in which the single individual participates
- *Community-oriented:* information, analysis and expertise oriented to support the community to a collective construction of meaning. Leading role assigned to the community
- *Co-design thinking*: going further, by actively engaging all stakeholders on an equal footing in all phases of development, encouraging creativity in problem solving and social innovation.
- *Collective learning*: through the focus on collective learning at the community scale, local action' freedom to more radical testing and searching, to establish a more lasting way forward for other communities to follow.

Through its use in living labs, this only sketched STP approach could support a relevant step forward to define new elements of practice, and provide a significant knowledge base for a sustainable use of the UBH. In particular, by empowering local communities, recognising, and respecting their cultural heritage, while supporting the co-development of adaptative, innovative, and traditional practices, it could favour a better governance of multi-functional landscapes and contributing to their resilience and adaptability.

17.6.4. *Living Lab phases for a case-study*

The living lab can be defined as "protected spaces for developing and experimenting new practices, and promoting external landscapes (i.e., local communities independent from vested interests and the lock-ins created by lobbying and regulatory capture)" [16]. It is a key component of the COST action CA18110 activities, being the backbone of its case-studies approach. Establishing and implementing living labs would support the regeneration of a sense of community, reinforce local identity, revitalise space and places, and enhance quality of life. However, their

success depends on several factors, external and internal to the action, such as the process followed, the facilitator capacity and independence, and the practices generated.

Based on the STP approach, it is possible to define a first tentative of operational model of UBH Living Lab in four phases. The first question is about who can initiate a STP process. Being *practice-oriented* and *community-oriented*, no excessive significance is attribute to who starts the process – public, private, or collective organisation – being an informal network within which a group process unfolds, often in an unplanned and unforeseen way. In terms of group dynamics, a group is much more than the sum of the individuals. In general, it takes a few iterations before a stable, diverse and representative constellation has been formed. A second question is about who is going to facilitate the process, which should be managed by an intermediate institution, without vested interests and strong ties with one or more of the main stakeholders, acting as a 'broker' [78] to avoid 'lock-ins', composed by a team of experienced people with a variety of complementary skills and backgrounds, able to guide in a flexible, but determined way, the process.

In the first phase, the *preparatory phase*, archaeologists, planners, and all other invited experts produce a knowledge base of the heritage site, including historical, ecological, regulatory, and legal frameworks, as well as social and economic analysis, as well as recovering local tradition, habits, and storytelling.

Facilitators map the stakeholders, both public and private, searching for community leaders, visionary, and the so-called frontrunners (pioneers, niche players), in order to define a preliminary potential partnership, and identify groups to empower with a TM approach (Fig. 17.11).

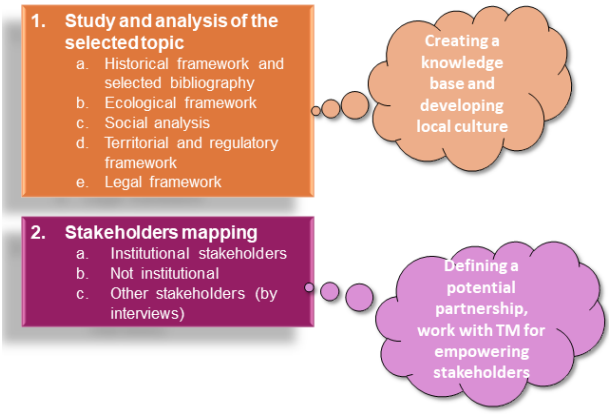

Figure 17.11: STP for UBH living labs: preparatory phase

The second phase, the *start-up phase*, deals with the living lab establishment and organisation, managed by the initiator and supported by a facilitator/moderator. In this phase, initial general goals are defined, the approach structured, and the rules of participation agreed. In particular, rules must help to create a protected environment (the *niche*), relatively safe and free, without any power hierarchy, able to guarantee transparency, develop trust and reciprocity, and stimulate the development of creative, innovative ideas. The knowledge base is made available and stakeholders

supported in their empowerment process and leaders selected. An Agenda is defined and relationships established with (parts of) the global heritage community, public bodies, and non-participating organisations (Fig. 17.12).

Figure 17.12: STP for UBH living labs: start-up phase

The third phase is the *operational phase*, where the knowledge is deepened and becomes interactive, new technologies for UBH conservation and monitoring experimented and applied, and Business and Management Models for public/private built heritage developed. In this phase, the goal is developing strategies for UBH valorisation, through processes of co-creation, co-development, or co-design, as well as define options based on data, technology, and sustainability, as well as developing a collective construction of meaning for the solution. This phase is strongly iterative and is directly connected to the subsequent phase (Fig. 17.13).

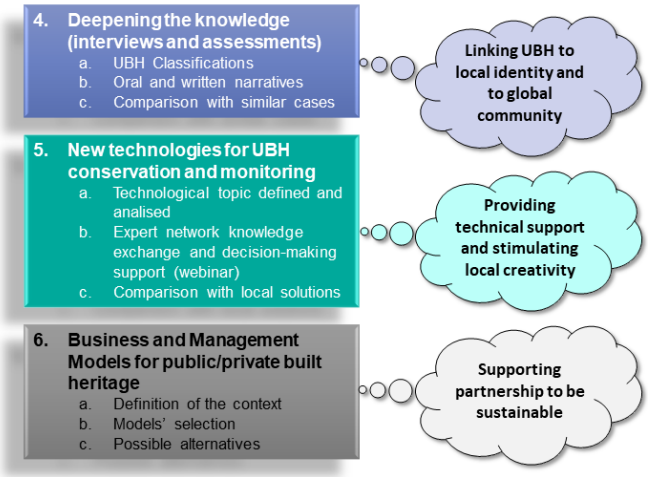

Figure 17.13: STP for UBH living labs: operational phase

Finally, the fourth phase is the *reflexive* one, with assessment and storytelling. This process activates a continuous reflexive learning cycle between experiments and innovations (learning-by-doing). The acquired knowledge, then, empowers the pioneering community, which is stimulated to develop long-term strategic visions and goals (doing-by-learning), as well as helps HUL approach improvement and

global heritage community transition. Finally, the storytelling aims at supporting a development of community sense of belonging and providing a positive attitude towards partnership (Fig. 17.14).

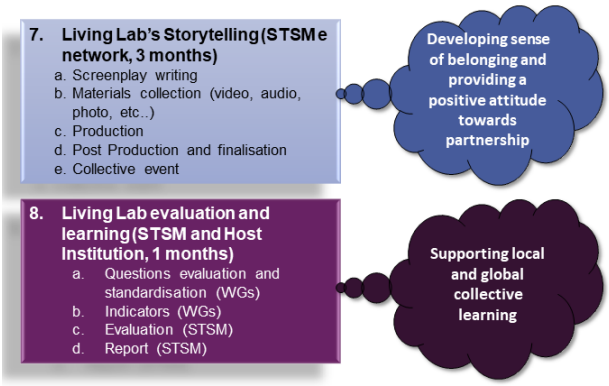

Figure 17.14: STP for UBH living labs: reflexive phase

It is hardly possible to specify the concrete results or impact of a process. In the short-term, indirect or intangible effects could be important as the direct effects, such as a new dialogue, a renewed trust, a shared perspective among participants. If well managed, the process could generate positive and self-sustaining 'natural' interdependencies, a place of identity and attractiveness, and activate a favourable environment from both social and economic point of view.

17.7. Some final remarks

This chapter has introduced both conceptual and operational contents, in order to develop specific tools for supporting communities in heritage valorisation from the one side, and to support capacity building both at theoretical and practical level, open the way for stimulating the development of new skills in the field of planning and decision-making, on the other side. Central in any civic engagement process is the role of facilitator/mediator, who really makes the living lab a protected space where dialogue is possible, try-and-error acceptable, and community can feel empowered.

In terms of approaches, we moved from 'process-oriented' (SSD), to 'goal-oriented' (TM), to finally 'practice-oriented' (STP) approach, in order to be closer to the cultural attitude at the basis of local communities. We started from the understanding that communities recognise heritage values in terms of culture and identity production, but often miss a clear cultural and technical background for releasing its potential and contributing to sustainable development. However, we are aware that, especially in the cultural heritage sector, changing the top-down approach is a challenge, which requires a fundamental shift in the development path and implies a social innovation, that is, new practices and behaviours that enable the society to meet its needs in a more sustainable way. We are also aware that the interaction

between local and expert knowledge in the field of community heritage is a prerequisite for implementing the UNESCO approach. That means designing a new role for the global heritage community, which could bring them to a real interactive participation in the construction of new meanings for abandoned and neglected UBHs, through cultural enhancement and targeted, concerted community strategies. We are even more aware that the main challenge for these alternative approaches is to guarantee the involvement of community members in formal decision-making processes. Only by succeeding to handle these questions in different contexts, we can open the way to new forms of collaboration among key actors (from science, policy, market/business and society), and to a more favourable environment for culture, talent, entrepreneurship, creativity and innovation. To face these general and seemingly unsurmountable challenges, we need, in addition to theories and methodologies, strong principles and adaptable tools, guiding us in this process of social practice, and translating it in experience, from both academic and professional point of view.

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NOTES

[1] See http://www.underground4value.eu

[2] Previously, in the CA18110 proposal and in the first period of activities, the tentative name was "Strategic Transition Management" (STM), which misses a clear separation from Transition Management (TM)