Participatory Heritage Practices in, for, as Sustainable Urban Development

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PhD thesis submitted for the degree of Heritage Studies at the University of Antwerp to be defended by Ilaria Rosetti

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Summary

Participatory Heritage Practices in, for, as Sustainable Urban Development

Urban heritage in all its forms and its management processes are widely advocated for fostering sustainable urban development, and people are considered key actors of change towards more sustainability-oriented heritage practices. The participation of multiple stakeholders is considered fundamental for a sustainable heritage conservation, safeguarding, and good governance, for inclusive societies, as well as social, environmental, and economic development. In the past two decades, participatory heritage practices have been widely investigated across regions, however, research has mainly focused on specific case studies, while little attempts have been made to compare and theorize the wide spectrum of participatory heritage practices' contributions to sustainable development objectives.

This research addresses that gap by theorizing the different roles that participatory heritage practices can play in addressing sustainable urban development. To do so, participation is regarded as a *wicked social problem* and its investigation is approached through a Soft System Methodology (SSM), which unfolds into three phases: the mapping of the complexity of current practices, theories, and regulations of participation in heritage processes, the modelling of its ideal system, and the comparison and discussion of the elements and dynamics of this model with current practices. First, the systematic analysis of the latest literature (chapter 1), and international heritage regulations (chapter 2) revealed three main roles of participation – as a *right*, as a *driver*, and as an *enabler* of sustainable development – and nine subcategories, as well as trends of their acknowledgement and promotion by researchers, practitioners, and international heritage organizations and institutions. It also identified determining factors of these roles, such as the *quality* of participatory heritage practices, as defined by their inclusiveness, forms, and timing; *empowerment* processes, as fostered by education, training, and capacity-strengthening activities; and *integrated long-term planning*, which entails the allocation of adequate resources and the adoption of specific regulation of participatory heritage processes. Second, the analysis of the assessment frameworks of existing international heritage regulatory documents inspired the use of a logical model for the modelling of the identified roles of participation and their determining factors (chapter 3). Third, a collaboration with the Organization of World Heritage Cities and the City of Antwerp enabled the comparison of the elements and dynamics of this model with current participatory heritage practices, on the one hand, in WH Cities worldwide through an international online survey (chapter 4) and a SWOT analysis workshop (chapter 5), and on the other hand, in Antwerp within the Stuivenberg Program through a mixed-methods workshop and a one-and-a-half-year observation (chapter 6).

This thesis contributes to the advancement of the knowledge of the relationship between heritage, participation, and sustainable development through the modelling of the roles of participatory heritage practices. By doing so, it offers an awareness-raising framework (the model) that highlights the common ground among relevant existing theories and tools, and it proposes a mixed-methods approach for the strategy, implementation, monitoring, and evaluation of sustainability-oriented participatory heritage practices. As such, it offers guidance to heritage practitioners – cultural brokers – particularly, public officers and policymakers, on how to align regulations, strategies, and practices to sustainable development objectives for the benefits of heritage, the living urban environment, and society.

Dutch summary

Participatieve erfgoedpraktijken in, voor en als duurzame stedelijke ontwikkeling

Stedelijk erfgoed in al zijn vormen en de processen van erfgoedmanagement worden in brede kringen aangeraden om duurzame stadsontwikkeling te bevorderen. Mensen spelen een sleutelrol om de verandering te realiseren in de richting van meer op duurzaamheid gerichte erfgoedpraktijken. De participatie van meerdere belanghebbenden ("stakeholders") wordt van fundamenteel belang geacht voor een duurzame instandhouding en borging van het erfgoed en voor goed bestuur, voor inclusieve samenlevingen en voor sociale, ecologische en economische ontwikkeling. In de voorbije twee decennia werden participatieve erfgoedpraktijken op grote schaal onderzocht in verschillende regio's, maar het onderzoek was vooral gericht op specifieke casestudies, terwijl er weinig pogingen werden ondernomen om het brede spectrum van participatieve erfgoedpraktijken te vergelijken en te theoretiseren op het vlak van hun bijdrage tot duurzame ontwikkelingsdoelstellingen.

Dit onderzoek voorziet in die leemte door de verschillende rollen te theoretiseren die participatieve erfgoedpraktijken kunnen spelen bij het streven naar duurzame stedelijke ontwikkeling. Om dit te doen wordt participatie beschouwd als een *'wicked social problem'*. Dat wordt benaderd via een *Soft System Methodology* (SSM), die zich ontvouwt in drie fasen: 1) het in kaart brengen van de complexiteit van de huidige praktijken, theorieën en regelgevingen van participatie in erfgoedprocessen, 2) het modelleren van het ideale systeem, en 3) de vergelijking en bespreking van de elementen en dynamiek van dit model met de huidige praktijken.

Eerst bracht de systematische analyse van de meest recente literatuur (hoofdstuk 1) en van de internationale erfgoedreglementering (hoofdstuk 2) drie belangrijke rollen van participatie aan het licht - als een recht, als een motor ('driver') en als een 'mogelijk maker' (in het Engels: 'enabler') van duurzame ontwikkeling - en negen subcategorieën, evenals trends in de erkenning en promotie ervan door onderzoekers, beoefenaars en internationale erfgoedorganisaties en -instellingen. Het onderzoek identificeerde ook bepalende factoren van deze rollen. Denk hierbij aan de *kwaliteit* van participatieve erfgoedpraktijken, zoals gedefinieerd door hun inclusiviteit, vormen en timing; aan processen van '*empowerment*', bevorderd door educatie, training en capaciteitsversterkende activiteiten; en aan *geïntegreerde langetermijnplanning*, wat de toewijzing van adequate middelen en de goedkeuring van specifieke regelgeving voor participatieve erfgoedprocessen met zich meebrengt.

Ten tweede heeft de analyse van de beoordelingskaders van bestaande internationale documenten over erfgoedregelgeving inspiratie geboden voor het gebruiken van een logisch model voor het modelleren van de geïdentificeerde rollen van participatie en hun bepalende factoren (hoofdstuk 3).

Ten derde maakte een samenwerking met de Organisatie van Werelderfgoedsteden en de Stad Antwerpen het mogelijk om de elementen en de dynamiek van dit model te vergelijken met de huidige participatieve erfgoedpraktijken, enerzijds in werelderfgoedsteden wereldwijd via een internationale online-enquête (hoofdstuk 4) en een SWOT-analyseworkshop (hoofdstuk 5), en anderzijds in Antwerpen binnen het Stuivenbergprogramma via een mixed-methods workshop en een observatie gedurende anderhalf jaar (hoofdstuk 6).

Deze thesis draagt bij tot de vooruitgang van de kennis over de relatie tussen erfgoed, participatie en duurzame ontwikkeling door het modelleren van de rol van participatieve erfgoedpraktijken. Op die manier biedt het een bewustwordingskader (het model) dat de gemeenschappelijke basis benadrukt tussen relevante bestaande theorieën en instrumenten, en het stelt een gemengde methodologische aanpak voor van de strategie, de implementatie, de controle en de evaluatie van duurzaam georiënteerde participatieve erfgoedpraktijken. Als dusdanig biedt het een leidraad voor erfgoedwerkers – culturele makelaars – in het bijzonder, openbare ambtenaren en beleidsmakers, over hoe regelgeving, strategieën en praktijken af te stemmen op duurzame ontwikkelingsdoelstellingen ten voordele van het erfgoed, de levende stedelijke omgeving en de samenleving.

Introduction Heritage, Sustainability, and Participation: Unstructured Complexity

This introductory chapter is partially based on the following conference paper and journal articles:

Rosetti, I., Jacobs, M., & Pereira Roders, A. (2020). Heritage and Sustainability: a Reflection on the Role of Participatory Heritage Practices in Sustainable Development. In U. Pottgieser, S. Fatoric, C. Hein, E. de Maaker, & A. Pereira Roders (Eds.), *LDE HERITAGE CONFERENCE on Heritage and Sustainable Development Goals PROCEEDINGS*. 26-28 November 2019, pp. 509–521.

Rosetti, I., Jacobs, M. & Pereira Roders, A. (2020). Erfgoed en duurzaamheid. Een literatuuronderzoek en reflectie over de rol van participatieve erfgoedpraktijken in duurzame ontwikkeling, *Volkskunde. Tijdschrift over de cultuur van het dagelijks leven*, 121:2, pp. 105-121.

0.1 Heritage and sustainability

The terms *heritage* and *sustainability* connote two complex multidimensional systems, and their interactions – as well as their interdependencies – have been theorized and analyzed across disciplines (Albert, Bandarin, & Pereira Roders, 2017). On the one hand, the concept of *heritage* highly evolved over time. It moved from a mid-nineteenth-century idea of monuments and buildings towards the inclusion of objects (artifacts and collections) and landscapes (cultural, natural, mixed, urban, and rural) in the second half of the twentieth century until the acknowledgment of the importance of intangible heritage – besides tangible assets – uses and performances, and therefore users: people (Gentry & Smith, 2019; Smith, 2006). Over the past decades, academics and national, regional, and international cultural institutions, such as the UN and its agencies – UNESCO and international organizations like ICOMOS and ICCROM – and the Council of Europe, among others, have worked on the broadening of the heritage definition. Nowadays, heritage is inclusively acknowledged as tangible or intangible, natural, cultural or mixed, digital or analog, and so on, including what is generated by the process of interaction between people and places in time, and therefore it is in constant evolution (Council of the European Union, 2014, sec. art.2).

Heritage's evolving definition is connected to the evolution of the notion of conservation due to the mutually reinforcing nature of their interrelation: as we conserve what we value, conserving generates values in itself and makes us care more for some things over others (Holtorf, 2001). Contextually, heritage conservation observed a shift from a material-based

approach, focusing on the physical integrity of assets, to a values-based approach, aiming for the integration of multiple voices in the conservation process. This emerging people-based approach challenges past expert-led practices, identifying and safeguarding networks of interactions among heritage and communities, understanding and enhancing their mutual impact (Gentry & Smith, 2019; Smith, 2006; Sully, 2015). In this perspective, heritage can be seen as a cultural practice and its conservation becomes a management of change that requires the involvement of multiple actors to safeguard the living cultural significance of heritage, prioritizing the wellbeing and well-fare of heritage communities (Smith, 2006; Sully, 2015; Veldpaus, Pereira Roders, & Colenbrander, 2013).

On the other hand, *sustainability* is also an evolving concept. In 1987, the United Nations Commission on Environment and Development defined 'sustainable' the development that uses resources without compromising their future availability (Brundtland, 1987). Sustainability can be regarded as the objective, and sustainable development as the path to reach it. This intergenerational concept evolved into a more holistic approach, linking three dimensions – or pillars – of sustainability: environmental responsibility, economic prosperity, and social equity (Sachs, 2015). This triple-dimensional framework has been drawn by different disciplines, which have all adopted *sustainability* as a common language, by developing other models to express views on intersections and interdependencies between dimensions, priorities and interests (Purvis, Mao, & Robinson, 2018).

Figure 0.1: Visualization of three pillars of sustainability, intersecting circles of sustainability, and concentric circles of sustainability (Purvis et al., 2018)

Among the most common representations of the relationship between these dimensions are the three pillars structure, the intersecting circles model, and the concentric circles model (see Figure 0.1). The first considers the environmental, societal, and economic dimensions as three independent columns bearing sustainability together (Purvis et al., 2018). The second makes use of a Venn diagram to highlight how environmental protection, social equity, and economic viability are equally important and interconnected, and only when in balance they can generate a development that is sustainable, socio-economically bearable, socio-environmentally equitable, economic, and environmentally viable (Barbier & Burgess, 2017; Guzmán, Pereira Roders, & Colenbrander, 2017). The third model reacts to the political tendency to focus on economic aspects of development by

prioritizing the environment over society and economy (Giddings, Hopwood, & Geoff, 2002; Khan, 1995).

Many considered these models incomplete because they missed to include dimensions related to culture and aesthetics, religion and spirituality, institutions and politics, which deeply affect the environment where development occurs (Burford et al., 2013, in Nunes, Soderstrom, & Hipke, 2017). Consequently, in the past decade, research focused on advancing knowledge about the role played by culture[1] in the sustainability discourse. Already in the 1990s, The United Nations' World Commission on Culture and Development published the report *Our Creative Diversity* in an attempt to generate awareness around culture's position in the sustainability debate, stating that a '*development divorced from its human or cultural context is development without a soul*' (p. 17). Since then, and more broadly as a result of the World Decade for Cultural Development (1988–1997), there has been a progressive tendency to consider culture as a self-standing dimension, to be distinguished from the social aspect of development (Soini & Birkeland, 2014; Throsby, 2005). In line with this discourse, in 2010 the United Cities and Local Governments (UCLG) network published its policy statement *Culture: Fourth Pillar of Sustainable Development* (UCLG, 2010).

0.2 Heritage and sustainable urban development

Despite UN bodies' increasing association of culture and heritage with sustainable development (Labadi, 2018, p. 45), including the intensification of the work of UNESCO on the topic since 2010 (Unesco, 2012), the United Nations' 2030 Agenda issued in 2015 still presents limited mentions of culture across its 17 Sustainable Development Goals (SDGs), 169 targets, and 230 indicators (Labadi, Giliberto, Rosetti, Shetabi, & Yildirim, 2021; UN, 2015). Heritage explicitly appears once in the text, in Goal 11 '*make cities inclusive, safe, resilient and sustainable*', namely in target 4 '*strengthen efforts to protect and safeguard the world's cultural and natural heritage*', which only partially acknowledges the potential role of culture and heritage practices in the sustainable development agenda (Labadi et al., 2021).

There are four theorized main typologies of the intersection between heritage and sustainable development. The first – *sustainable heritage* – is inward-looking and refers to the conservation of heritage for the next generations, in line with SDG 11.4. The second one – *heritage vs. sustainable development* – builds on the supposed conflict between development and heritage processes, perceived as a threat to each other. The third –

[1] Definition of culture see Going Beyond, Cultural Sustainability and Cultural Heritage and Human Rights (Janet Blake, 2015)

sustainable development for heritage – is based on the integration of heritage conservation's needs into development practices and policies. Finally, the fourth – *heritage for sustainable development* – includes the idea of conserving heritage for future generations and moves beyond it by exploring the potential contribution of heritage and its practices to broader sustainability challenges (Larsen & Logan, 2018, p. 7; Rockman, 2019). Latest developments in the field see an increasing advocacy work in support of the latter approach, on the one hand, through the collection of case studies that testify to the broad links between heritage projects and sustainable development (Agenda21culture, n.d.; "PANORAMA solutions for a healthy planet," n.d.; Unesco, n.d.), and on the other hand, through the publication of principles, reports, and guidelines (British Council, 2020; IUCN, 2017; UNESCO, 2017).

In this perspective, heritage can play multiple important roles in fostering sustainable urban development. More than 50% of the global population worldwide lives in cities, which is a trend that is expected to grow in the upcoming decades (Labadi et al., 2021); and while different social, economic, and environmental factors affect trends of urbanization, multiple challenges arise for urban governance, development processes, society, the environment, and urban heritage conservation (Guzmán & Pereira Roders, 2014; Pereira Roders, 2013). Heritage and its practices can represent a resource in fast-changing cities. For instance, heritage can offer opportunities for adaptive reuse of buildings and infrastructures, reducing waste and the carbon footprint of the construction sectors (Pintossi, Ikiz Kaya, & Pereira Roders, 2021); traditions, public spaces, and multi-diversity can stimulate creativity, sense of identity, and wellbeing (Giglitto, Ciolfi, & Bosswick, 2021; UNESCO, 2016); furthermore, the living heritage of historic areas can shape the character of a city, enhancing its attractiveness for dwellers and tourists, improving liveability, and offering opportunities for economic growth (UNESCO, 2016; Veldpaus & Pereira Roders, 2017). However, if heritage processes and urban planning are not well integrated into a participatory governance system, clashes of interests can bring conflicts among citizens, increasing inequalities, abandonment of historic centers, and gentrification, among many challenges (Labadi et al., 2021). These challenges can be place-specific; however, similarities can be observed among cities with common traits, such as similar governmental structures or the presence of World Heritage in their urban area (Galla, 2012). Particularly, World Heritage Cities deal with peculiar local contexts, characterized by a multitude of listed and non-listed heritage attributes and values and related stakeholders, but are also exposed and subjected to regulations, actors, and politics at multiple scales (Jacobs, 2020, p.342; Labadi, 2017, p.53-57). Therefore, it is fundamental that local, national, and international urban agendas align with sustainability strategies and integrate culture to ensure that its potential for sustainable urban development is fully leveraged (Labadi et al., 2021; UN-HABITAT III, 2016; UNESCO, 2016).

0.3 Participatory heritage practices

Heritage practices can be various and emerge from a great variety of different fields. They include activities deriving from technical disciplines, such as scientific research, conservation, designation, maintenance, restoration, digitalization, design, management, and planning; activities from social disciplines, such as the preservation and transmission of knowledge, the performance of cultural traditions, interpretation, marketing, exhibition, and community engagement among others; and business activities, such as entrepreneurship, income generation, reuse, and organizational leadership (Clark, 2019, p. XVII). They can be *formal* or *authorized*, when carried out by heritage organizations and institutions, and *informal*, when non-heritage professionals, individuals, groups, and communities look after heritage, indirectly as part of their jobs or in their daily life (Clark, 2019, p. XVIII; Smith, 2006). Each field attributes meanings to these terms and performs different activities, which can all be summarized in the inclusive and more general term "practices". Participatory approaches to these practices are an integrated part of research on Heritage and Sustainability.

In the past decade, research on Heritage and Sustainability has greatly increased, seeing the establishment of specialized scientific journals, such as the Journal of Cultural Heritage Management and Sustainable Development, to facilitate debates on related interdisciplinary topics, develop the knowledge and skills of professionals working in the field, and disseminate innovative practices and research (Pereira Roders & Van Oers, 2011). Across this vast body of literature, participation emerges as one of the most addressed topics (Roders & van Oers, 2014, p. 5).

The investigation of models of engagement, aimed at evaluating stakeholders' involvement and defining their roles and responsibilities, heads back to the sixties of the twentieth century. It was inspired by Arnstein's "ladder of participation" (Arnstein, 1969) and the evolution of democracy and development theories and practices (Floridia, 2013; Pateman, 2012; Roberts, 2004; Alivizatou, 2022), continuing nowadays with the formulation and adaptation of models at local, national, and international levels (FARO, 2018; IAP2, 2020). In line with the evolution of the field and in response to the development of international policies over the past 15 years, multi-stakeholders' participation has been more and more advocated for the sustainability of heritage and its practices, ranging from material conservation to decision-making for management and policy. Many publications testify the increasing attempt to raise awareness among different stakeholders on the shared benefits achievable through more inclusive practices in different heritage subfields, such as conservation (Court & Wijesuriya, 2015), urban development (Göttler & Ripp, 2017; UNESCO, 2011), governance (*OMC*, 2018), museums (Simon, 2010), archives (Roued-Cunliffe & Copeland, 2017) and public archaeology (Moshenska, 2017) among others.

Current research addresses people-centered heritage practices as part of a *living heritage approach*, which considers them as necessary to ensure the continuity of heritage attributes and values by preserving the connection with their bearer communities and embracing changes as part of their living environment (Court & Wijesuriya, 2015; Dormaels, 2016; Poulios, 2014). Also, participatory practices in the management of heritage as commons are considered fundamental to ensure the inclusion of all affected stakeholders in decision-making processes, sharing responsibilities for and benefit from heritage practices (Bertacchini, Bravo, Marrelli, & Santagata, 2012; P. G. Gould, 2017). It emerges that different subfields and research lines regard participation as a critical success factor of heritage conservation, societal wellbeing, and effective heritage management that is righteously inclusive and equitable.

On the other hand, preserving heritage in all its forms, ensuring everyone's right to access, practice, share, and enjoy their culture, and therefore promoting cultural diversity, can empower people to play a pivotal role in contributing to social, economic, and environmental sustainability challenges (UNESCO, 2016, p. 238). In this perspective, participatory heritage practices are also advocated for their capacity to address multiple sustainable development objectives, touching upon all sustainability dimensions; however, the social nature of participation makes it difficult to measure its impact and assess cause-effect correlations (Landorf, 2009). Consequently, within the research strand dedicated to the identification and formulation of indicators to measure the contribution of culture and heritage to sustainable development, participation often figures as an indicator of social sustainability (CHCfE, 2015). Latest developments in the field at an international level see a more transversal approach in measuring inclusion and participation in heritage practices against sustainable development goals (UNESCO, 2019), in the attempt to overcome related challenges in collecting or retrieving both quantitative and qualitative data in different contexts.

0.3.1 Research gap

Empirical research conducted on case studies worldwide hints in many ways at the contribution of participatory heritage practices to the achievement of broad goals of sustainable development, as in opposition to the lack of participation or to unsustainable participatory heritage practices (Dupin-Meynard & Négrier, 2020; "Going Beyond," 2017; Keitumetse, 2011; Landorf, 2009; Mogomotsi, Mogomotsi, Gondo, & Madigele, 2018; UNESCO, 2016; Zhong & Leung, 2019; among others). Despite the various and potentially controversial nature of participatory practices, participation is often considered the common ground between sustainable development and cultural heritage management, regarding inclusive practices as the necessary starting point for integrating sustainability objectives into heritage processes (Keitumetse, 2011). However, studies have mainly focused on the peculiarity of singular cases, while little attempts have been made to theorize the overall spectrum of possible contributions of these practices to sustainable development. Moreover, little research has explored the factors that affect participatory

heritage practices, their quality, and their outputs in ways that determine such contributions (Zhong & Leung, 2019, p. 4). This research aims to address this gap by exploring and theorizing multiple possible contributions of participatory heritage practices to sustainable development and the dynamics that affect them.

0.4 Research goals

This research aims to further the knowledge of the role that participatory heritage practices can play in contributing to sustainable development in order to support a sustained transformation towards sustainability-oriented participatory heritage practices. Particularly, it aims to explore practices and dynamics of participation in World Heritage cities, leveraging the existing partnership between the research team[2] and the Organization of World Heritage Cities (OWHC). This collaboration offers the opportunity to look at participatory heritage practices in complex urban environments characterized by multilayered heritage attributes and values, both listed and non-listed, affected by regulations, actors, and politics at multiple scales. Moreover, it facilitates the investigation of participatory heritage practices in multiple cities with identifiable common traits across regions worldwide, enabling both a global and a local more in-depth approach. Finally, the aim is to shorten the path from practice to theory and from theory to practice, hoping that the research outcomes could offer direct support to cities in the network and beyond.

The main hypothesis of this research, based on former research and professional experiences[3], is that participatory heritage practices can play different roles in addressing multiple sustainable development objectives and that, under diverse circumstances, they might also hinder progress towards their achievement. Moreover, at the origin of this project lays the belief that a *glocal* approach that combines international comparative analysis and case-specific investigations can contribute to the development of a wide perspective that is fundamental to managing the change of complex systems, such as those of participatory heritage practices framed into a sustainable development perspective. Such investigation requires a holistic approach to heritage studies, setting research

[2] See 'research setting' and reference to the collaboration of Prof. Ana Pereira Roders, Ilaria Rosetti, and the Eindhoven University of Technology with the Asia-Pacific Regional Secretariat of the Organization of World Heritage Cities (2017-2018).

[3] 'Marche Centro D'Arte' program development, Piceno Province, Italy (2011-2014); Gordon Gallery co-curated exhibition 'Irish Art in Cambridge', Derry-Cambridge, United Kingdom (2014); Gemeente Maastricht funded research project 'Innovatie Agenda Cultuur: Learning from Community Engagement Practice in Maastricht and the Maas-Rijn Euregion', Maastricht, The Netherlands (2016); field work project 'Engaging Local Communities in Heritage Management through Archaeological Ethnography', Gonies, Greece (2016). US/ICOMOS International Exchange Program funded project at the World Heritage Office of the City of San Antonio 'San Antonio Sustainable City 2030' (2018).

boundaries across disciplines and sectors, with an inclusive approach towards heritage attributes and values, stakeholders, and practices.

0.4.1 Research questions

Previous research has theorized participation as a link between heritage management and sustainable development through the analysis of local cases (Keitumetse, 2011); however, to develop a theoretical framework that can relate to different practices and local contexts it is necessary to follow different paths of investigation. Therefore, the leading question of this research is:

'How do participatory heritage practices play a role in sustainable urban development?'

To answer the main question, the research is guided by the following sub-questions:

1. What role(s) can participatory heritage practices play in sustainable development?
   1.1 What roles are addressed in literature?
   1.2 What roles are promoted by international heritage regulatory documents?
   1.3 How can the roles of participation be modeled?

2. What determines the roles of participatory heritage practices?
   2.1 Which determining factors are addressed in literature?
   2.2 Which determining factors are addressed by international heritage regulatory documents and monitored through their assessment frameworks?
   2.3 How can these determining factors be modeled?

3. How do participatory heritage practices play a role in the sustainable development of World Heritage cities?
   3.1 What are current participatory heritage practices in WHC?
   3.2 What are the perceived opportunities and challenges of participatory heritage practices in WHC?
   3.3 How do participatory heritage practices play a role in the sustainable development of Antwerp?

0.4.2 Research setting

This is an articles-based doctoral dissertation[4]. A few chapters have been completely or partially published as journal articles (introduction, chapters 1 and 2), book chapters

[4] See section 4 article 22 of the General Regulations on Obtaining the Academic Degree of Doctor at the University of Antwerp

(chapter 5), and reports (chapters 4 and 5), while other parts of the research have been presented at international conferences and in guest lectures at the University of Antwerp and international institutions. For this reason, the chapters in the thesis have an introduction and a methodology section that guide the reader into the different sub-topics. Various research activities have generated opportunities to deepen the knowledge on broader topics related to heritage, sustainable development, and participation, beyond the direct scope of this research, offering the chance to collaborate with external researchers, institutions, and organizations on additional publications, which nevertheless have significantly contributed to shaping and further developing this doctoral thesis. A full list of publications is added at the end of the manuscript.

This research is the result of the integration of two projects. The first one was a one-year research commissioned by the Asia-Pacific Regional Secretariat of the Organization of World Heritage Cities to investigate current participatory heritage practices in World Heritage Cities and the perception that mayors and other cities' representatives have of those practices. The project revolved around the organization of the OWHC XIV World Congress 'Heritage and Communities: Tools to Engage with Local Communities' and comprised an international online survey and an in-person mayors' workshop. This project inspired the application for a doctoral grant at the University of Antwerp the following year to continue the investigation on the topic. The grant funded the fundamental research that allowed the extraction of broader knowledge from the results of the first project, to address an existing gap in literature, taking steps toward the theorization of the role of participatory heritage practices in sustainable urban development, and explore current practices in Antwerp, taking in analysis the Stuivenberg Program case. The resulting project is a close collaboration between the Antwerp Cultural Heritage Sciences (ARCHES) group at the University of Antwerp and the UNESCO Chair in Heritage and Values: Heritage and the Reshaping of Urban Conservation for Sustainability at the Delft University of Technology (former Heritage and Sustainability group at the Eindhoven University of Technology), and benefits from a joint supervision and periodical inputs from both research groups.

As a result of this articulated research setting that saw over the period of five years the influence of multiple research groups and institutions, international organizations, and local governments, it is possible to observe the evolution of the perspective on the subject throughout the chapters, as well as the development of the research skills, and the progressive deeper integration of the topic into the fast-evolving international Heritage and Sustainability field. Despite the not-so-linear path that led to the drafting of this thesis, each step is believed to have represented an important contribution to the full development of its final version.

Lastly, halfway through the doctoral research trajectory, the COVID-19 pandemic heavily affected the research environment and possibilities in cities worldwide (de Waal, Rosetti, Jinadasa, & de Groot, 2022). The necessity to work from home, the difficulty – or even

temporary impossibility – to travel across borders between The Netherlands (where I live) and Belgium, and the limitations to the organization of group activities, due to the national safety measures, required the adaptation of the research approach and design. The original plan entailed the implementation of participatory data collection methodologies that are inclusive of multiple stakeholders' perspectives, ranging from governmental actors, practitioners, communities, groups, and individuals (Clark, 2020). However, the persistent limitations brought by the COVID-19 pandemic required flexibility in changing plans and a pragmatic approach to carry out the research within the given timeframe. The process that led to the research design presented in this thesis was characterized by multiple attempts at engaging with a broader spectrum of stakeholders. For instance, a serious boardgame was developed in collaboration with gamification specialist Bruno de Andrade at the Delft University of Technology to facilitate the informal and inclusive participation of multiple communities' representatives in the strategy, monitoring, and implementation of the Stuivenberg Program in Antwerp. The tool was tested with the program coordinator and an artist leading a subproject, but a new lockdown prevented the integration of the boardgame in the program's development plan, which also was repeatedly modified, postponing the subprojects' timeline of almost two years.

Nevertheless, beyond posing limitations, these challenges created opportunities for the analysis of different perspectives on participatory heritage practices. Existing research showed that a variety of studies investigated the perception that heritage practitioners, communities, groups, and individuals have of participatory practices in cities worldwide, while fewer studies explore governmental actors' perspectives (Snis, Olsson, & Bernhard, 2021; Yang & Wall, 2021). Still, politicians, policymakers and public officers appear to have great decision-making power throughout key steps of the heritage management process in multiple contexts (Veldpaus, 2015). These actors have the possibility to directly influence through their work both practices and policies that regulate participation and sustainable urban development strategies. Therefore, the path of enquiry that was eventually chosen for this research focuses on participatory heritage practices from a management and governmental perspective, investigating the point of view of representatives of World Heritage Cities, such as public officers, policymakers, and mayors. On the one hand, this choice allowed to work with governmental actors representing the City of Antwerp, overcoming the limitations brought by the COVID-19 pandemic in working with a bigger groups of people; and on the other hand, it maintained a strong link and continuity between the first and the second project, enabling comparisons between international and local trends in the governmental actors' perception of participatory heritage practices and their potential implications for sustainable urban development. Finally, this choice positions this study into an emerging research strand that looks at the role of governmental actors and policymaking beyond the traditional dynamics of the authorized heritage discourse and critically explores the system of forces in place that affect their actions, comparing perceptions, practices, policies, and collaborations with other stakeholders at *glocal* scales (Dragounia, Fouseki, & Georgantzis, 2018; Cabral, Pereira Roders, & Albuquerque, 2021; Ripp, 2021).

0.4.3 Research approach and roadmap

In the context of this research, to guide the path to answer the research questions, participatory heritage practices are regarded as a wicked problem. In this perspective, they are considered complex, as affected by interrelated challenges, disciplines' and sectors' dynamics, and conflicting, as subject to the different views that each stakeholder has of them (Vandenbroeck, 2012, p. 9). Other characteristics of a wicked problem are:

- The lack of a unique definition and the consequent possibility to contest each one; therefore, the way chosen to represent it determines the attempted solution to solve it.
- Its solutions are not right or wrong; instead, they can be better or worse than others, and can't aim to solve but to improve, or not, the current situation from a particular point of view. For this reason, there is not a quantifiable set of possible solutions.
- Every intervention affects and alters the original problem, making "every trial count" (Rittel & Webber, 1973, p. 163). Therefore, a wicked problem is everchanging and unique by nature.

Wicked problems can be considered a management, planning, and policy issue, and as such, they are also political and institutional (Perry, 2015, p. 3; Rittel & Webber, 1973). In the heritage field, this framework has been used to investigate multiple practices. For instance, existing research frames as a wicked problem the interdisciplinary management of underwater cultural heritage (Argyropoulos & Stratigea, 2019), the management of the challenges posed by climate change in World Heritage Sites (Perry, 2015), or the perceptions of environmental changes and their effects on local heritage (Jetoo & Kouri, 2021). Among the recommended approaches to adopt when facing wicked problems, there are the embracement of different perspectives; the facilitation of multiple stakeholders' participation to foster cooperation and a shared sense of responsibility towards the chosen interventions and the resulting change; and the use of iterative approaches to learn and adapt solutions. Moreover, it is recommended the use of visualizations tools to represent the complexity of the problem and identify viable lines of intervention, and scenarios to support an adaptive approach to planning (Perry, 2015, p. 4).

Acknowledging participatory heritage practices as a wicked problem allows one to regard them as a social construct subject to multiple unique situational perspectives and to frame its challenges in ways that acknowledge their interconnection with collateral issues, such as their contribution to sustainable development objectives and their systems. On the other hand, one risk of thinking in terms of wicked problems could be the fact that highlighting complexity can sometimes complicate the process of finding solutions, whereas, in some particular cases, simpler and more pragmatic solutions might be possible (Vandenbroeck, 2012, pp. 11–12). Nevertheless, to grasp the nature of the problem taken in analysis, the first step always entails understanding the issue before developing

strategies to intervene, experiment in practice, and assess the impact of the chosen intervention.

Several system thinking approaches work best with complexity and conflict (Van Gigch, 1991; Vandenbroeck, 2012), some of which have already been explored and experimented with in the heritage field. For example, system theory and modeling methods have been employed to investigate and represent the meta-system of heritage-based urban development (Ripp, 2021), the constituent elements of social sustainability in the historic urban environment (Izadi, Mohammadi, Nasekhian, & Memar, 2020), the dynamics of abandonment of terraced agroecosystems to support the safeguarding of heritage and contribute to food security (Boselli et al., 2020), the relationship between heritage and the environment (Österlin, Schlyter, & Stjernquist, 2020; Richards, Orr, & Viles, 2020), and the impact of tourism on the historic urban landscape (Sharma & Sehrawat, 2019). It emerges that heritage and its processes are increasingly being approached as complex systems, which cannot be isolated from their environment and related sub-systems and can't be managed without dealing with the consequent dynamics of mutual impacts, such as when confronted with sustainable development needs.

Among the possible system approaches, the Soft-System Methodology (SSM) has been identified as a suitable tool to further explore and frame the role of participatory heritage practices in sustainable development. The SSM is an inclusive approach that can be used to bring change and innovation in a complex and conflicting environment (Hindle, 2012). It is based on a zoom-out-zoom-in process that allows to understand the complexity of a problematic situation, take distance and make a model of its system in an ideal realm, to then confront it again with the real world and seek possible interventions (Vandenbroeck, 2012, p. 23). As a methodology, it represents a reiterative learning process that includes different perspectives on a social issue with the aim to find an accommodation between them and generate activity models that can guide purposeful actions, which are desirable and feasible in a given context to improve the situation (Checkland & Poulter, 2010, p. 192). The activity models can't describe the situation but a perspective on it; therefore they can be considered as '*intellectual devices*' that guide which questions to ask to explore the real situation (Checkland & Poulter, 2010, p. 204).

The logic of the SSM develops along exploring the situation in the real world ('*situation mapping*'), conceptually modeling it in an idealized realm ('*system thinking/design mmodeling*) and comparing the first two to guide a feasible and desirable intervention ('*action planning'*) (Hindle, 2012, p. 3; Vandenbroeck, 2012, p. 24). Its reiterative learning cycle can be represented as composed of five stages (Checkland & Poulter, 2010, p. 235):

1) Mapping the complexity of the problematic situation in the real world.
2) Building models of the system and of purposeful activities based on different world views in the idealized world.

3) Discussing and comparing the models with the situation to find an accommodation among them.
4) Defining and taking action to improve the situation.
5) Monitoring and evaluating changes and critically reflecting on the process.

As a system experiences changes after an intervention, communication and control processes are needed to understand the change and restart the process of adaptive response to it in order to identify new desirable and feasible solutions (Checkland & Poulter, 2010, pp. 202–203).

Approaching the investigation of participatory heritage practices as a wicked problem using the SSM allows to look at the diversity of existing perspectives on them that originate from the different sub-heritage fields, stakeholders, contexts, and practices, and regard them as a source of insight on their system. Also, by taking distance from specific cases, it allows to reach a level of abstraction that can help investigate common characteristics and dynamics that affect the role played by participatory heritage practices in sustainable development. Moreover, it allows to focus on activities rather than specific organizations and institutions, lowering power-related barriers in the system modeling process, while encouraging a reflection on types of interventions, stakeholders' roles, responsibilities, and power relations in the definition of an action plan. Indeed, it is an action-oriented methodology that furthers the knowledge of participatory heritage practices and informs their implementation. Furthermore, the SSM requires to adopt a controlled lexicon that refrains from a prior judgment of the problematic situation (instead of problem), leaving space for the investigation of participatory heritage practices, their dynamics, and implications for sustainable development, and seek an accommodation (instead of consensus) on the system of the roles of participation (Checkland & Poulter, 2010, p. 201; Vandenbroeck, 2012, p. 26). On the other hand, the use of the SSM to investigate participatory heritage practices as a wicked problem can have its weaknesses, like proposing the adoption of a logic that might be hard to embrace by different stakeholders or limiting actions to what is considered politically and culturally feasible, excluding visionary interventions that transcend the existing dynamics of the problematic situation.

The Soft-System Methodology has been adopted and adapted in the context of this thesis, reflecting its logic and stages into the research design and chapters' structure (see figure 2). This choice implies that each chapter builds on the previous ones through a combination of methodological rigor in the systematic approaches employed to model the system and flexibility in collaborating with multiple local governments (Vandenbroeck, 2012, p. 40). Accordingly, the thesis can be divided into two parts: one that builds the theoretical framework through desk research and the second one in which such framework is confronted with current practices. Furthermore, using a theoretical lens as an overarching framework within a mixed-methods research design sets in place a *transformative*

procedure in which qualitative and quantitative methods are concurrently employed throughout and within each step of the Soft-System Methodology (Creswell, 2003, p. 16).

Chapter 1 ('Heritage, Sustainability, and Participation: Mapping Complexity') presents the systematic analysis of peer-reviewed academic publications from different heritage-related disciplines to explore multiple perspectives on the complexity of participatory heritage practices in sustainable development and make a first attempt at expressing it and organizing it into a preliminary model of their role(s). Chapter 2 ('Heritage and Sustainability: Regulating Participation') presents the systematic analysis of international heritage regulatory documents to integrate the previously obtained pool of perspectives on participation with the roles that are currently acknowledged and promoted by international organizations. Chapter 3 ('Heritage and Sustainability: Modelling Participation') is a more essayistic contribution to the thesis, which proposes a possible accommodation for a model of the system of participatory heritage practices in addressing sustainable development by further developing the theoretical framework and methodological approach that shape part 2 of the thesis.

Chapter 4 ('Perceived Participatory Heritage Practices in World Heritage Cities') confronts the part of the model dealing with participation activities with current participatory heritage practices in World Heritage cities internationally through an online survey based on the six critical steps of the heritage management process proposed by the UNESCO Recommendation on the Historic Urban Landscape (HUL), which was made available to the participants in the XIV World Congress of the Organization of World Heritage Cities (OWHC). Chapter 5 ('Perceived Challenges and Opportunities in World Heritage Cities') confronts the part of the model exploring the perceived factors that affect participatory heritage practices and their possible results – the opportunities and challenges – through a SWOT analysis workshop, offering the perspective of governmental actors that represent the cities in the OWHC network, such as mayors and public officers. Chapter 6 ('Participatory Heritage Practices in Antwerp: The Stuivenberg Program') explores more in detail the relation between the factors affecting participation, current activities, their outputs, and their implications for sustainable development in Antwerp, at a neighborhood scale, within the case study of the Stuivenberg Program. It does so through the analysis of the program's administrative and regulatory context via a content analysis of the latest Policy Plan and an interview with the head of the Museums and Heritage Department of Antwerp, and a multi-exercise workshop with the program coordinator, which includes, adapts, and further develops the methodologies adopted in chapter 4 and 5.

Finally, the Conclusions ('Participatory Heritage Practices in, for, as Sustainable Urban Development') reflects on the theory of the roles of participatory heritage practices in sustainable development that emerges from the modeling of their system, addresses the research questions, and proposes recommendations for action and further research.

<table>
<tr><td colspan="3">INTRODUCTION: Heritage, Sustainability, and Participation: Unstructured Complexity</td></tr>
<tr><td colspan="2">MAPPING COMPLEXITY</td><td>MODEL BUILDING</td></tr>
<tr><td>CHAPTER 1: Heritage, Sustainability, and Participation: Mapping Complexity

RQ: 1.1 , 2.1
What roles are addressed in literature and what are their determining factors?

Methodology: Systematic literature review</td><td>CHAPTER 2: Heritage and Sustainability: Regulating Participation

RQ: 1.2. , 2.2
What roles and determining factors are promoted by international heritage regulatory documents?

Methodology: Systematic review of international heritage regulatory documents</td><td>CHAPTER 3: Heritage and Sustainability: Modelling Participation

RQ: 1.3. , 2.3
How can the roles of participation and their determining factors be modelled?

Methodology: Modelling</td></tr>
<tr><td colspan="3">DISCUSSING AND IMPROVING</td></tr>
<tr><td>CHAPTER 4: Heritage, Sustainability, and Participation: Mapping Complexity

RQ: 3.1
What are current participatory heritage practices in WHC? (WHO/HOW/WHEN/WHAT)

Methodology: HUL semi-structured online survey</td><td>CHAPTER 5: Heritage, Sustainability, and Participation: Mapping Complexity

RQ: 3.2
What are the perceived opportunities and challenges of participatory heritage practices in WHC? (WHY)

Methodology: SWOT analysis workshop</td><td>CHAPTER 6: Heritage, Sustainability, and Participation: Mapping Complexity

RQ: 3.3
How do participatory heritage practices play a role in the sustainable development of the Stuivenberg neighborhood in Antwerp?

Methodology: Ethnographic observation + mixed methods workshop</td></tr>
<tr><td colspan="3">CONCLUSIONS: Participatory Heritage Practices in, for, as Sustainable Urban Development</td></tr>
</table>

Table 0.1: Intersection of Soft-System Methodology steps and research questions in the thesis structure

0.5 Scientific and societal relevance

A sustainability turn is happening in the heritage field and participatory practices are a required part of it. Understanding their role in contributing, or not, to sustainable development objectives is important to maximize the opportunities and tackle the challenges they bring, informing sustainability-oriented heritage strategies and guiding their implementation, monitoring, and evaluation to foster learning and their improvement. This research aims to contribute to this knowledge advancement and offer a tool for change-makers who want to foster a sustained transformation towards sustainability-oriented participatory heritage practices. The use, adaptation, and further development of this tool at multiple scales has the potential to support the safeguarding

of living heritage, particularly in cities, and guide the path to leveraging the potential of heritage and its practices in fostering a sustainable urban development that is inclusive, equitable, respectful of diversities and of the environment.

Chapter 1 Heritage, Sustainability, and Participation: Mapping Complexity

This chapter is based on the following conference paper and journal article:

Rosetti, I., Jacobs, M., & Pereira Roders, A. (2020). Heritage and Sustainability: A Reflection on the Role of Participatory Heritage Practices in Sustainable Development. In U. Pottgieser, S. Fatoric, C. Hein, E. de Maaker, & A. Pereira Roders (Eds.), *LDE HERITAGE CONFERENCE on Heritage and Sustainable Development Goals PROCEEDINGS*. 26-28 November 2019, pp. 509–521.

Rosetti, I., Jacobs, M. & Pereira Roders, A. (2020). Erfgoed en duurzaamheid. Een literatuuronderzoek en reflectie over de rol van participatieve erfgoedpraktijken in duurzame ontwikkeling, *Volkskunde. Tijdschrift over de cultuur van het dagelijks leven*, 121:2, pp. 105-121.

1.1 Culture in, for, as sustainable development

As part of the movement to advocate for the acknowledgment of a more prominent role of culture in the field of sustainable development, academics, research networks, and international organizations are further investigating the binomial *culture & sustainable development*, developing guidelines for the integration of culture in sustainability frameworks. Among them, the European Cooperation in Science and Technology (COST) Action research network funded a five years research project called "Investigating Cultural Sustainability", which resulted in the identification of three roles of culture *in*, *for*, *as* sustainable development (see figure 1.1) (Nunes, Soderstrom, & Hipke, 2017).

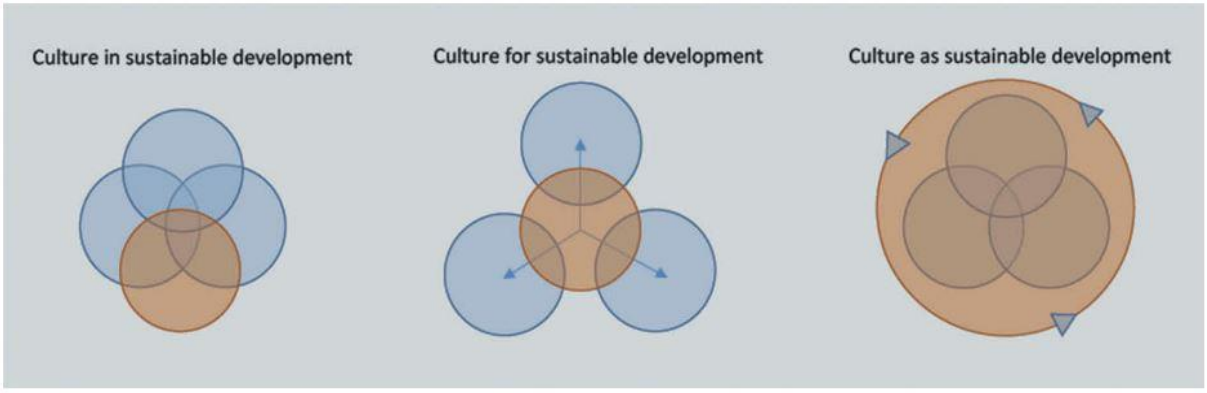

Figure 1.1: Culture in, for and as sustainable development (Skrede & Berg, 2019; Soini et al., 2015)

Culture *in* sustainable development considers culture as an independent dimension called "cultural vitality", characterized by innovation, creativity, diversity, and wellbeing. It is distinguished by social equity, which in turn is defined by welfare, engagement, justice, and cohesion (Hawkes, 2001 in Nunes et al., 2017). In this perspective, culture is considered as an object of development: the conservation of culture's tangible and intangible expressions aims to their continuity and, therefore, to cultural sustainability. By conserving and revitalizing culture, broader social goals can be tackled by fostering groups' and individuals' sense of identity, wellbeing, and sense of belonging to a place and a community. Contextually, the conservation of cultural expressions also presents potential economic and environmental implications that need to be balanced, positioning culture as a fourth interlinked dimension in the Venn diagram of sustainable development (Soini & Birkeland, 2014). This approach reflects the spirit of the UN Sustainable Development Goal 11.4 – *Strengthen efforts to protect and safeguard the world's cultural and natural heritage* – which addresses only one possible role of culture *in* sustainable development (UN, 2015).

Culture *for* sustainable development looks at culture as an instrument to achieve ecological, social, and economic sustainability goals (Pereira Roders, 2013; Portolés Baltà, Torggler, Murphy, & France, 2015; Soini & Birkeland, 2014). Culture acts as a *driver* of sustainable development by affecting and mediating relations between societies and the environment in particular times and places (Soini et al., 2015, p. 31). In the last five years, the cultural and heritage fields have prolifically focused on the advancement of this concept. An interesting example is offered by "Culture Urban Future. Global Report on Culture for Sustainable Urban Development", which looks at culture and heritage's contribution to sustainable urban development on a global scale (UNESCO, 2016).

Eventually, culture *as* sustainable development defines culture as an *enabler* of sustainable development (Portolés Baltà et al., 2015). In this perspective, culture – understood as a system of beliefs, values, and behaviors – is considered a fundamental component of change, having the transformative power to foster sustainability in the long term. The idea of a cultural change towards sustainability looks at sustainable development as a participatory process and a *co-thinking* action carried out by individuals, organizations, and institutions at multiple scales (Soini et al., 2015, p. 32). In the book "A Sustainist Lexicon" Michiel Schwarz theorizes a shift in culture from the 20th century's *modernism* to a 21st century's *sustainism* stating that "*what distinguishes the new sustainist era from its modernist predecessor most is an altogether different mindset and ethos, one that is creating a collective culture which is more connected, locally-rooted, collaborative, respectful of the human scale, and altogether more environmentally and socially sustainable*" (Schwarz, Knoop, & Elffers, 2016, p. 11).

In this perspective, "*culture can be both the model of sustainability and the map to reach it*", and cultural heritage emerges as a constituent element of the discourse on culture and sustainability (Nunes et al., 2017, p. 37). Much research has expanded the understanding

of the role of heritage and its practices in sustainable development, starting from the conservation of its attributes and values and moving beyond towards the acknowledgment of the potential impact that they have on broader goals of sustainability (Labadi, Giliberto, Rosetti, Shetabi, & Yildirim, 2021). In these times of change, where people are more and more empowered in and in-power of shaping their living environment, heritage-making and heritage processes in broader terms become a conscious action of *co*(collective/collaborative)-*design* (Schwarz et al., 2016, p. 127). According to Schwarz, and in line with the field's latest conceptual developments, heritage becomes a *social design process*, which requires engaging, participatory, inclusive, and collaborative practices (van Asseldonk et al., 2019, Manifest 4). As such, people-centered approaches are more and more advocated as a fundamental component of sustainability-oriented heritage practices, and increasing case study-based research worldwide explores their contribution to sustainable development (Dupin-Meynard & Négrier, 2020; Keitumetse, 2011; Kloos, 2017; Landorf, 2009; Mogomotsi, Mogomotsi, Gondo, & Madigele, 2018; UNESCO, 2016; Zhong & Leung, 2019; among others). However, few attempts are being made to compare and theorize the wide spectrum of their contributions, posing challenges to the understanding and assessment of their different practices, outcomes, and impact. To address this gap and go beyond the peculiarity of each case study, this chapter presents the first attempt to explore the complexity of participatory heritage practices and theorize their contribution to sustainable development through the analysis of the academic discourse on the relationship between *participation*, *heritage*, and *sustainability*.

1.2 Methodological approach

Investigating the relation between *participation*, *heritage*, and *sustainability* requires an understanding of complex interdisciplinary concepts characterized by constant change, different languages and lexicons, with political implications and therefore potential instrumentalizations (Asikainen, Sari, Brites, Plebańczyk, Katarzyna, & Soini, 2017). In order to minimize biases that can derive from this complexity and capture the full diversity of such discourse, a systematic literature review methodology was chosen to define the state of the art of current research on the role of participatory heritage practices in achieving sustainable development (Boland, Cherry, & Dickson, 2017).

The adopted leading research question is: how do participatory heritage practices play a role in achieving sustainable development? – and it articulates in the following sub-research questions:

- Do participatory heritage practices play a role in achieving sustainable development?

Furthermore, hypothesizing that participatory heritage practices do play multiple roles in achieving sustainable development:

- What role(s) do participatory heritage practices play in achieving sustainable development?
- What are the research trends on the role(s) played by participatory heritage practices in achieving sustainable development?

Both academic and grey literature have largely addressed such topics, offering a wide range of case studies from all around the world. This research aims to take distance from specific geo-located practices and explore the latest development in research on the relationship between participatory heritage practices and sustainable development. For this reason, while acknowledging that grey literature significantly contributes to the advancement of the field and needs to be a fundamental integrated part of further research, the decision to first explore the academic discourse has been made.

Using the terms "participation", "heritage", and "sustainability" as keywords, a scoping search was carried out on Web of Science, looking at the 10 most relevant articles with the aim of refining the set of keywords for a more in-depth investigation (Boland et al., 2017, p. 10). The scoping search highlighted the use of multiple apparent synonyms and the existence of numerous sub-fields within the pool of selected articles. On this premises, a more inclusive combination of keywords[5] was used to search for peer-reviewed articles, book chapters, and proceedings published in the last 15 years (2004-2019) in English in two of the most interdisciplinary citation databases: Scopus and Web of Science. The combined search gave 179 results, of which 100 were in Scopus and 79 in Web of Science. 44 duplicates were excluded. *Relevance* and *accessibility* were adopted as criteria for an initial quantitative selection of documents. A quantitative analysis of keywords' incidence in the *title*, *author keywords*, *index keywords,* and *abstracts,* was carried out for the remaining 135 documents (see Figure 1.2).

POOL of publications					heritage				stakeholder				actor				community				participat*				engag*				involv*				management				policy				sustainab*				
#ID	Title	Author keywords	Index keywords	Abstract	T	AK	IK	A	T	AK	IK	A	T	AK	IK	A	T	AK	IK	A	T	AK	IK	A	T	AK	IK	A	T	AK	IK	A	T	AK	IK	A	T	AK	IK	A	T	AK	IK	A	TOT

Figure 1.2: Spreadsheet structure for quantitative analysis based on keywords' incidence

Given the lowest incidence of 4 and the highest incidence of 44, and according to the distribution of documents along the scale, a mid-scale barrier was set at 22 incidences to select the most relevant literature (36). 33 extra documents common to both databases were added as representative of the most accessible literature on the topic. All the documents were retrievable. Subsequently, a qualitative screening of the resulting 69 documents looked at the *relevance* and *quality* of the selected literature. Inclusion and

[5] TITLE ("**heritage**") AND TITLE-ABS-KEY (("**stakeholder***" OR "**actor***" OR "**communit***") AND ("**participat***" OR "**engag***" OR "**involv***") AND ("**management**" OR "**policy**") AND **sustainab*** AND NOT rural) AND (LIMIT-TO (DOCTYPE "**ar**") OR LIMIT-TO (DOCTYPE "**cp**") OR LIMIT-TO (DOCTYPE "**ch**") OR LIMIT-TO (DOCTYPE "**bk**")) AND (LIMIT-TO (LANGUAGE "**English**")

exclusion criteria were defined according to SPIDER, a search tool for qualitative and mixed-method systematic reviews adapted from the health research field (see table 1.1) (Cooke, Smith, & Booth, 2012).

Review Question	How do participatory heritage practices play a role in achieving sustainable development?
Sample	All "stakeholders", "actors" or "communities" related to heritage processes
Phenomenon of Interest	All practices of "participation", "engagement" or "involvement" across heritage fields and processes, including any level (active to passive) and initiative (bottom-up, top-down, joint) of participation, with positive or negative outcomes.
Design	Theoretical framework addressing participatory practices, participatory methods, on-topic policy analysis, or development of tools entailing participation. Any reference to participatory practices along the research design process.
Evaluation	Any type of outcome, with attention to coherent and transparent argumentation in discussion and conclusion. Pre-assessed quality through selection of peer-reviewed literature.
Research type	Qualitative, quantitative, and mixed methods.

Table 1.1: SPIDER table of selecting criteria for the records to include in the systematic literature review

Through this process, 2 documents were excluded because non-relevant. In order to deepen the understanding of specific concepts that emerged from the thematic analysis of the pool of literature, 3 extra documents were added through snowball methodology, and 1 article was outsourced in Google Scholar. 71 articles, book chapters, and proceedings constituted the final pool of documents selected for the analysis (see Figure 1.3).

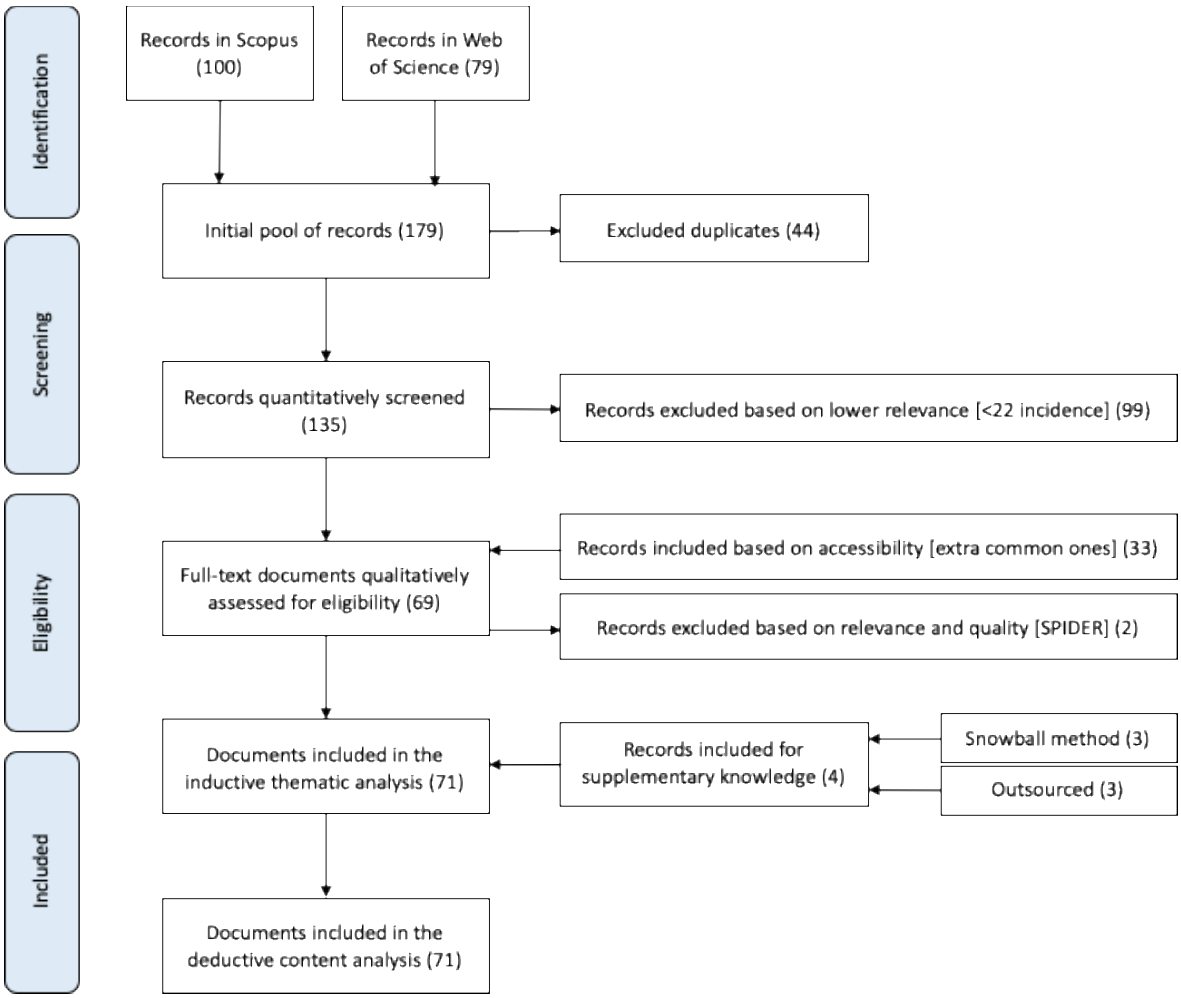

Figure 1.3: PRISMA Flow diagram of included records for the systematic literature review

A narrative synthesis of findings has been chosen to present the results. First, through an inductive thematic analysis, the roles of participatory heritage practices in achieving sustainable development have been identified. Then, the latest research trends on those roles and their evolution in the past 15 years have been highlighted through a deductive content analysis (Popay et al., 2006, p. 18).

1.3 Participation

Participation is a broadly used term in literature but a seldomly defined one, which can be observed through different lenses. Participation can be defined by its *quality*, which is determined by *inclusivity*, *forms of engagement,* and *timing of involvement*. Inclusivity refers to the broadening of the stakeholders' spectrum in order to include all communities, groups, and individuals that either affect or are affected by heritage processes (Ababneh, Darabseh, & Aloudat, 2016; Arthur & Mensah, 2006; Blake, 2018; Goh, Saw, Shahidan, Saidin, & Curnoe, 2019; S Lekakis, Shakya, & Kostakis, 2018; Paddison & Biggins, 2017;

Paskaleva-Shapira, Azoŕin, & Chiabai, 2008a; P Riganti, 2017; Wang, Liu, Zhou, & Wang, 2019). Levels of engagement of these different stakeholders are generally identified on a scale, where classifications range between different degrees of active, neutral, and passive participation, often with references to ladder models (Della Lucia & Franch, 2017; Halim, Liu, Yussof, & Sian, 2011; Halim & Ishak, 2017; Liu, 2017; O'Brien, O'Keefe, Jayawickrama, & Jigyasu, 2015; Terzić, Jovičić, & Simeunović-Bajić, 2014). Moreover, the timing of involvement brings attention to the participation of all relevant stakeholders from the beginning of a project and throughout all steps of heritage processes (Chami, 2018; Dragouni, Fouseki, & Georgantzis, 2018; Halim & Ishak, 2017; Halim et al., 2011; Loulanski & Loulanski, 2011; Mogomotsi, Mogomotsi, Gondo, & Madigele, 2018; Olya, Alipour, & Gavilyan, 2018; Paddison & Biggins, 2017; Paskaleva-Shapira et al., 2008a; Terzić et al., 2014).

Participation can also be observed in terms of *dynamics*. Participatory processes, with different levels of engagement, can be promoted by a variety of *stakeholders* at different scales, with different roles and responsibilities (Ababneh et al., 2016; Dormaels, 2016; Ifko, 2016; Wang et al., 2019), which can be acknowledged, included, or excluded, depending on the social, political, cultural, and economic context (Chan & Cheng, 2016; Della Lucia & Franch, 2015). Initiatives can come from governmental and heritage institutions, generating *top-down* guided processes, which are often referred to as "authorized" (Battilani, Bernini, & Mariotti, 2018; Chan & Cheng, 2016; Goh et al., 2019; O'Brien et al., 2015; Paddison & Biggins, 2017; Paskaleva-Shapira, Azoŕin, & Chiabai, 2008b; Allan Sande, 2015; Svensson, 2015). They can be driven by citizens, local associations ,or NGOs in so-called *bottom-up* initiatives (Goh et al., 2019; Heras, Moscoso Cordero, Wijffels, Tenze, & Jaramillo Paredes, 2019; Jelinčić & Mansfeld, 2019; Paddison & Biggins, 2017; Paskaleva-Shapira et al., 2008b). They can be induced or spontaneous, but they can also represent joint ownership initiatives fostered by public-private partnerships and collaborations (Arthur & Mensah, 2006; Della Lucia & Franch, 2015; Ensten, 2018; Zhong & Leung, 2019, p. 3).

Participation can refer to the engagement in different *activities*, such as conservation, interpretation, promotion, management, strategy, and policy making, among others. In some contexts, participation can refer to the contribution – direct or indirect through representatives – to decision-making over heritage governance and management or the drafting of public policies (Arthur & Mensah, 2006; Magi & Nzama, 2009; Paskaleva-Shapira et al., 2008a). In other cases, participation is considered the contribution to the identification of heritage attributes and values (Achig-Balarezo, Vázquez, Barsallo, Briones, & Amaya, 2017; Han, Yang, Shi, Liu, & Wall, 2016; Pino, 2018), having tourist and locals visiting the site and attending events (Magi & Nzama, 2009), or the engagement of groups and individuals in conservation practices (Goh et al., 2019; Halim & Ishak, 2017). Occasionally, participation also stands for the involvement of community members in the development of services and products for tourists, and eventually in the ownership and

power-sharing among different stakeholders in heritage-related enterprises (Arthur & Mensah, 2006; Chami, 2018; Halim & Ishak, 2017; Jamhawi & Hajahjah, 2016; Magi & Nzama, 2009, p. 97; Munjal & Munjal, 2017).

All these multiple layers of analysis make participation a complex, place and time-specific matter (Bertacchini, Bravo, Marrelli, & Santagata, 2012, p. 1). Among the multitude of claimed participatory practices, it is widely argued that the active high-quality engagement of multiple stakeholders eventually leads to sustainable heritage management processes, fostering sustainable development (Landorf, 2009; Magi & Nzama, 2009; Zhong & Leung, 2019). The following analysis investigates three identified roles that participation – in its multiple nuances – can play in addressing goals of sustainable development: participation as a *right*, a *driver*, and an *enabler*.

1.3.1 As a right

Since the adoption of the United Nations Universal Declaration of Human Rights in 1948, everyone's right to freely participate in the cultural life of a community has been widely acknowledged (UN, 1948, art.27, in Zhong & Leung, 2019, p. 3). Particularly, the *right of access and enjoyment of cultural heritage* was reaffirmed in a UN report based on the work of independent expert Farida Shaheed in 2011, including the right to visit, understand, use, perform and create cultural heritage as well as participate in its definition (OHCHR, 2011). Many studies explore how Information and Communication Technology (ICT) tools can be means to enforce this right by supporting accessibility to historic buildings and heritage sites via online maps, making knowledge available to a broader public, increasing transparency of governance processes, and facilitating the collaboration of different stakeholders in decision-making on heritage management (Ariffin, Dodo, Nafida, & Kamarulzaman, 2015; Ifko, 2016; Jamhawi & Hajahjah, 2016; Marconcini, 2018; Paskaleva-Shapira et al., 2008a; Riganti, 2017).

Stakeholders' right to take part in decision-making on heritage processes represents another key point of discussion. Whenever communities, groups, and individuals are affected by development and conservation initiatives, it is their right to take part in decisional processes that will impact their daily life, culture, wellbeing, sense of belonging and identity (Chan & Cheng, 2016; S. Halim et al., 2011; Heras et al., 2019; Liu, 2017; Terzić et al., 2014). With this right come collective responsibilities for future developments, which can be shared and distributed among stakeholders to generate common objectives, balanced interests, and coordinated actions (Halim et al., 2011; Su, Wall, Wang, & Jin, 2017). In this perspective, heritage is considered a "common good" and a shared resource

among stakeholders (Sande, 2015). A strand of literature focuses on heritage as *commons*[6], exploring its implications for more inclusive governance systems, rights, and the shared entitlement to benefit from them (Bertacchini et al., 2012; Giovene di Girasole, Daldanise, & Clemente, 2019; Gould, 2017; Lekakis et al., 2018).

Looking at heritage as a commons and advocating for more participatory and inclusive governance processes is broadly considered to be an expression of democratic values (Blake, 2018; Keitumetse, 2011; Lekakis et al., 2018; S Marschall, 2012; Paskaleva-Shapira et al., 2008a; Pino, 2018; Patrizia Riganti, 2017; Sande, 2015; Zhong & Leung, 2019). The "Delhi Declaration on Heritage and Democracy", drafted on the occasion of the 19th ICOMOS General Assembly in 2017, reiterates the importance of promoting "*inclusive democratic community engagement processes - of all the people, by all the people, for all the people*", acknowledging everybody's right to define their cultural heritage and take part to the decision-making process over its management for the benefit of all as a fundamental democratic right (Pino, 2018, p. 4). While the political environment remains one of the factors affecting the context where participatory heritage governance takes place, the concept of democratic governance goes beyond its political connotations, indicating deeper democratic values. They include the engagement of multiple stakeholders, both public and private, their empowerment in the definition of rules and actions for heritage management, their collaboration based on dialogue, conflict resolution, and reaching consensus through deliberative processes in transparent democratic arenas (Dragouni et al., 2018; Giovene di Girasole et al., 2019; Lekakis et al., 2018; Mogomotsi et al., 2018; O'Brien et al., 2015; Sande, 2015).

1.3.2 As a driver

Acknowledging participation as a human right by integrating it into heritage policies contributes to fostering participation, generating a great variety of practices. Although, it is increasingly argued that participation of multiple stakeholders in heritage practices in itself is not enough. Instead, high-quality participation is needed for it to be a driver of the sustainable development of natural and cultural heritage conservation, its governance and

[6] Commons are shared resources, which need management and protection to ensure their sustainment, are accessible to everyone to be used without compromising others' fruition and are vulnerable to privatization and overuse (P. G. Gould, 2017). The concept of cultural commons is an evolution from Elinor Ostrom's work on shared natural resources, and includes human-made goods (Bertacchini et al., 2012; Lekakis et al., 2018).

management, the living environment at large, and society (Halim et al., 2011; Magi & Nzama, 2009; Zhong & Leung, 2019).

Active and inclusive multi-stakeholders' participation, directly in conservation activities as well as broadly in heritage processes, is widely considered of great importance for the preservation of cultural and natural resources (Dauvin et al., 2004; Goh et al., 2019; Nakamura, 2013; Wang et al., 2019; Wiesmann, Liechti, & Rist, 2005). Extensive research focuses on the important roles that both core communities, understood as heritage bearers, and broader communities, stakeholders groups, and individuals with a legitimate interest in and involved in the life of heritage assets can have in their conservation, by either actively using, accessing, transmitting or practicing them, or holding essential power or knowledge for their understanding and maintenance (Han et al. 2016; Heras et al. 2019; Keitumetse 2011; Lekakis et al. 2018; Terzić, Jovičić, and Simeunović-Bajić 2014; Poulios 2014; Blake 2018; Liu 2017; Pultrone 2016; Keitumetse 2006). Moreover, a participated management approach and collective action are considered important for safeguarding heritage and preserving cultural diversities in the context of armed conflicts and war (Riganti 2017).

More inclusive approaches can be supported by a variety of online and offline participatory tools that offer opportunities to co-build more resilient, liveable, smart, and sustainable cities. For instance, participation tools – such as *cultural heritage adaptation forums* (O'Brien et al., 2015, p. 100), *social praxis* (Heras et al., 2019, p. 3), *action arenas* (Giovene di Girasole et al., 2019, p. 363), *online intelligent environments* (Riganti, 2017, p. 20), *focus groups* and *e-Governance* (Paskaleva-Shapira et al., 2008a, p. 398) among others – can help to gather the knowledge to co-formulate heritage's climate change risks mitigation strategies, co-develop context-based sustainable urban regeneration strategies rooted in local cultural identities, improve accessibility to urban heritage, and integrate public preferences in decision-making over heritage management and policies.

Participatory practices are also considered important for the sustainability of heritage governance and management, particularly when integrated from the early steps and throughout heritage processes (Chami, 2018; Dragouni et al., 2018; Halim et al., 2011; Loulanskia & Loulanski, 2011; Olya, Alipour, & Gavilyan, 2018b; Paddison & Biggins, 2017; Paskaleva-Shapira et al., 2008a; Terzić et al., 2014). In fact, they can play a considerable role in building consensus for decision-making, incrementing commitment to the implementation of identified solutions (Dauvin et al., 2004; Han et al., 2016; Landorf, 2009; Nakamura, 2013), and giving legitimacy to policy-making, by increasing the adoption and enforcement rate of newly made regulations (Mogomotsi et al., 2018). However, the effectiveness of such participation is often associated with the previous identification of all relevant stakeholders, with their rights and responsibilities, for the definition of their role and a facilitated cooperation among parties across scales (Ababneh et al., 2016; Arthur &

Mensah, 2006; Dragouni et al., 2018; Su et al., 2017; Van Wymeersch, Oosterlynck, & Vanoutrive, 2018).

Participatory heritage practices can impact the social, cultural, ecologic, and economic sustainable development of communities. Participation can positively or negatively define the social status of an elected representative community member (Keitumetse, 2006), foster a collective sense of identity and belonging to a place (Giovene di Girasole et al., 2019; Olya et al., 2018b; Pultrone, 2016), and enhance pride and cohesion in a community (Zhong & Leung, 2019). Extensive research has been published in the last years on the contribution of stakeholders' participation to sustainable tourism practices. Particularly, research focuses on the economic benefits that capacity-building programs, the increase in employment opportunities and entrepreneurial initiatives can bring to local communities without putting heritage in danger (Badang, Ali, Komoo, & Leman, 2017; Battilani et al., 2018; Chami, 2018; Maria Della Lucia & Franch, 2017; Imon, 2017; Jamhawi & Hajahjah, 2016; Jordan-Palomar, Tzortzopoulos, García-Valldecabres, & Pellicer, 2018; Keitumetse, 2006; Magi & Nzama, 2009; Marschall, 2012; Sakdiyakorn & Sivarak, 2016; Terzić et al., 2014).

Eventually, participation as a driver of sustainable development can contribute to peacebuilding, conflict resolution, mutual understanding, and tolerance in multi-diverse contexts and complex governance systems. For instance, volunteering in heritage activities is considered an opportunity to take part in public life at a community level, facilitating the integration of groups and individuals through exchanges that foster mutual understanding and tolerance (Murzyn-Kupisz & Działek, 2013). Also participatory tourism practices can bring visitors, local communities, and individuals closer, promoting interchange and intercultural dialogues that facilitate communication, understanding, and respect, for the development of more sustainable and equitable practices (Carbone, Oosterbeek, & Costa, 2012). Communication, mediation, and negotiation are fundamental in conflict resolutions among communities with conflicting interests, stakeholder groups, and national governments, especially in case of power imbalances and challenging consensus processes (Sande, 2015; Zhong & Leung, 2019). Therefore, co-management solutions are recommended for common-pool resources in case of conflicts among different levels of management, for example, when dealing with World Heritage nomination processes (Sande, 2015, pp. 793–794).

1.3.3 As an enabler

Over two thirds of the documents (22 out of 29) address ***participation as an enabler of a sustained transformation towards sustainability-oriented participatory heritage practices*** (see Figure 6 in yellow) (COE, 2005a, 2017; ICOM, 2019; ICOMOS-ICAHM, 2017; ICOMOS, 2003, 2005, 2011, 2017b, 2017a; IUCN, 2019b; Ministers of Culture-Swiss Confederation, 2018; UN, 2015b; UN HABITAT III, 2016; UNESCO, 2002b, 2003, 2005a, 2011, 2015, 2016b, 2018a, 2018b, 2019b).

Two factors are indicated as crucial to ensuring the continuity of sustainability-oriented heritage practices: the empowerment of all relevant stakeholders and the inclusion of participatory processes in long-term planning. Empowering all urban stakeholders to participate in urban development plans by setting inclusive and sound governance mechanisms in place is deemed important to enabling sustainable and inclusive economic growth, social inclusion, and environmental protection (UN-HABITAT III, 2016, sec. art.15.c.ii). Empowering processes are considered fundamental to ensure not only that communities maintain a central role in heritage management (UNESCO, 2002b, sec. art.4) but also that society as a whole can equally participate in imagining, designing, and creating a sustainable future for all (ICOM, 2019, sec. r.1). Empowerment can be built through participation in heritage processes itself and through building the capacity of organizations, institutions, cross-sectoral stakeholders, and civil society for the implementation of more inclusive practices (ICOM, 2019, sec. r.1, r.5; ICOMOS, 2005, sec. art.13; UN, 2015b, sec. target 17.9, 17.17; UNESCO, 2011, sec. 24.a, 2019b, sec. art.15.g, 11.g) and, for instance, for the effective preparedness in case of risks of man-made or natural hazards (ICOMOS, 2003, sec. art.4; UNESCO, 2018b, sec. Resilience, capacities, and sustainability). Knowledge sharing, inter-regional exchanges, and awareness-raising initiatives at both international and local levels can also contribute to enabling a broader involvement in heritage processes through the activation of networks and the organization of forums of discussion (COE, 2017, secs. S9, K10; ICOMOS, 2003, sec. art.6; UN, 2015b, sec. target 17.16). Formal training and educational activities in schools and informal intergenerational knowledge transfer can foster youth engagement in the preservation of the living heritage (COE, 2017, sec. K5; ICOMOS, 2011, sec. art.3.h, 4.j, 2017a, sec. art.4). All forms of education are considered an important part of raising awareness to enable the common identification of values, development of visions, setting of goals, and agreement of actions to safeguard heritage and promote sustainable development (COE, 2017, sec. Scope, K1, K4; IUCN, 2019b, sec. art.5.vi; Ministers of Culture-Swiss Confederation, 2018, sec. art.17; UN, 2015b, sec. target 4.7; UNESCO, 2011, sec. art.24.a, 2018b, sec. Education and awareness raising). Therefore, they represent the necessary basis for sustainable conservation practices, participatory policy-making, and inclusive and transparent monitoring and evaluation processes (ICOMOS-ICAHM, 2017, sec. art.2.2; ICOMOS, 2017b, sec. art.35).

Consequently, it is important to integrate these values, visions, goals, and actions into medium- and long-term plans by including all relevant stakeholders from the initial phases in the spirit of *good governance*[7] (COE, 2017, p. 8; IUCN, 2019b, sec. art.5; UN-HABITAT III, 2016, sec. art.72; UNESCO, 2011, sec. art.24.a, 2018b, sec. Governance, 2019b, sec. art.111.e). Moreover, it is important to regulate participatory processes and integrate them into those plans to allow sustained inclusive practices, the adoption of long-term perspectives in decision-making over the conservation, presentation, and safeguarding of

[7] See note 16

heritage, and to foster their potential positive contribution to development processes and societies (ICOMOS-ICAHM, 2017, sec. art.1.9; UNESCO, 2015, sec. art.7.iii, 2019b, sec. art.214bis). In these processes, it is important to acknowledge and support the role of communities in carrying for heritage and its continuity (COE, 2017, sec. S8; ICOMOS, 2017a, sec. art.4), and to set the right environment for participation to flourish through the development of regulation at different scales and the creation of the necessary space and time for multiple stakeholders to contribute to heritage and development processes (COE, 2017, sec. S6; IUCN, 2019b, sec. art.4). Finally, none of the above could be done without the allocation of the necessary resources to plan, implement, and sustain sustainability-oriented participatory heritage practices (COE, 2017, sec. Aim and objectives, S2, S10, D9; ICOMOS-ICAHM, 2017, sec. Antecedents; IUCN, 2019b, sec. 22.iii).

1.3.4 Trends

The inductive thematic analysis highlighted multiple subcategories for each role (see table 1.2), namely:

- participation as the right to access, visit, understand, use and perform cultural heritage (R1);
- participation as the right to participate in decision-making on/benefit from management of heritage as a common good (R2);
- participation as a democratic right (R3);
- participation as a driver of the conservation, preservation, and safeguarding of natural and cultural resources (D1);
- participation as a driver of a resilient, liveable, smart, and sustainable living environment (D2);
- participation as a driver of effective heritage governance and management (D3);
- participation as a driver of the sustainable development of local communities (D4);
- participation as a driver of peacebuilding, conflict resolution, mutual understanding, and tolerance (D5);
- participation as an enabler of the sustained transformation towards sustainability-oriented participatory heritage practices (E1).

These subcategories were used to undertake a deductive content analysis of the same documents to spot research trends.

ROLES	Participation as a								
	RIGHT			DRIVER					ENABLER
Subcategories / References	Right to access, visit, understand, use, and perform cultural heritage	Right to participate in decision-making on and benefit from management of heritage as a common good	Democratic right to participate	Conservation, preservation, and safeguarding of natural and cultural resources	Resilient, liveable, smart, and sustainable living environment	Effective heritage strategies, governance, and management	Sustainable development of local communities	Peace building, conflict resolution, mutual understanding of cultural diversity, and tolerance	Sustained transformation towards sustainability-oriented participatory heritage practices
Jelinčić and Mansfeld, 2019				x	x	x	x		x
Goh et al, 2019				x		x	x		x
Zhong and Leung, 2019	x		x				x	x	
Heras et al, 2019	x	x		x	x	x			
Wang et al, 2019				x					
Giovene di Girasole et al, 2019	x	x			x	x	x		
Lekakis et al, 2018		x	x	x		x	x		
Chami, 2018		x		x		x	x		x
Mogomotsi et al, 2018	x	x	x	x		x	x		x
Dragouni et al, 2018			x	x	x	x	x		x
Olya et al, 2018				x	x	x	x		
Battilani et al, 2018				x		x	x		
Marconcini, 2018	x					x			
Blake, 2018	x		x	x		x			x
Ozcakir et al, 2018		x							
Jordan-Palomar et al, 2018							x		
Kohe, 2018				x					
Enongene and Griffin, 2018				x		x		x	x
Rodwell, 2018				x		x			
Pino, 2018		x	x	x	x	x	x		x
Paddison and Biggins, 2017			x		x	x	x		x
Ichumbaki and Mapunda, 2017				x		x	x		
Liu, 2017		x		x	x	x	x		
Gould, 2017	x	x		x		x	x		
Imon, 2017					x		x		x
Halim and Ishak, 2017				x	x	x			x
Munjal and Munjal, 2017							x		
Calabrò, 2017						x	x		x
Ensten, 2017			x			x			
Su et al, 2017		x		x		x			x
Burgos-Vigna, 2017	x				x				
Riganti, 2017				x	x	x	x	x	
Achig-Balarezo et al, 2017				x		x	x		x
Badang et al, 2017							x		
Della Lucia and Franch, 2017						x	x		
Chan and Cheng, 2016	x	x				x	x		
Ifko, 2016				x		x			
Han et al, 2016				x		x	x		
Sakdiyakorn and Sivarak, 2016							x		
Jamhawi andHajahjah, 2016							x		
Dormaels, 2016	x	x		x	x		x		
Pultrone, 2016				x	x		x		
Ababneh et al, 2016						x			
Alazaizeh et al, 2016						x			
Ariffin et al, 2015				x		x	x		
Ferretti and Comino, 2015			x			x			
O'Brien et al, 2015				x	x	x			
Della Lucia and Franch, 2015					x	x			x
Svensson, 2015							x		
Sande, 2015	x	x	x	x		x		x	
Vakhitova, 2015	x			x	x	x	x		
Bitsani and Aliki, 2015			x	x		x			
Terzic et al, 2014		x	x	x		x	x		
Poulios, 2014				x		x			x
Bushozi, 2014	x	x		x		x	x		
Murzyn-Kupisz and Działek, 2013				x		x	x	x	
Nakamura, 2013	x	x		x		x	x		
Huibin and Marzuki, 2012			x	x		x			
Bertacchini et al, 2012		x							
Marschall, 2012			x				x		
Carbone et al, 2012							x	x	
Halim et al, 2011		x		x		x			x
Keitumetse, 2011		x	x	x			x		x
Loulanski and Loulanski, 2011				x	x				x
Landorf, 2009						x			x
Magi and Nzama, 2009						x	x		
Paskaleva-Shapira et al, 2008	x	x	x	x	x	x	x		x
Keitumetse, 2006				x		x	x		
Arthur and Mensah, 2006						x	x		x
Wiesmann et al, 2005				x	x	x			
Dauvin et al, 2004				x		x			
Number of documents addessing each subcategorie	15	20	16	44	20	52	43	6	22
Number of documents addressing each role	31			69					21

Table 1.2: Content analysis of the systematic literature review

The results reveal that almost the totality of the aanalyzeddocuments (69) addresses the role of participation as a driver of sustainable development. Particularly, there is a higher incidence of references to participation as a driver of effective heritage governance and management (52), its conservation (44), and the sustainable development of local communities (43). Almost half of the documents mention participation as a right (31), particularly as everyone's right to take part in decision-making and benefit from the management of heritage as a common good (20), while less than a third explores the potential of participatory heritage practices as an enabler of the sustained transformation towards sustainability-oriented participatory heritage practices (21). Only a minority of documents addresses all the identified roles of participation (10) and no one touches upon all of the roles' subcategories.

In the considered timeframe, all roles are generally addressed, but only participation as a driver is present across all years, particularly referencing its impact on the management and governance of heritage resources (D3). From 2015 onwards, a significant increase in the number of relevant publications can be observed together with the acknowledgment of certain subcategories previously mostly unaddressed, such as R1 and D5, and a more common reference to E1.

1.4 Participatory heritage practices *in, for, as* sustainable development

By contextualizing the analysis of participatory heritage practices in the Culture and Sustainability discourse, a parallelism can be made between the three roles of culture *in*, *for*, *as* sustainable development and the three roles of participation as a *right*, a *driver*, and an *enabler* (see figure 1.4).

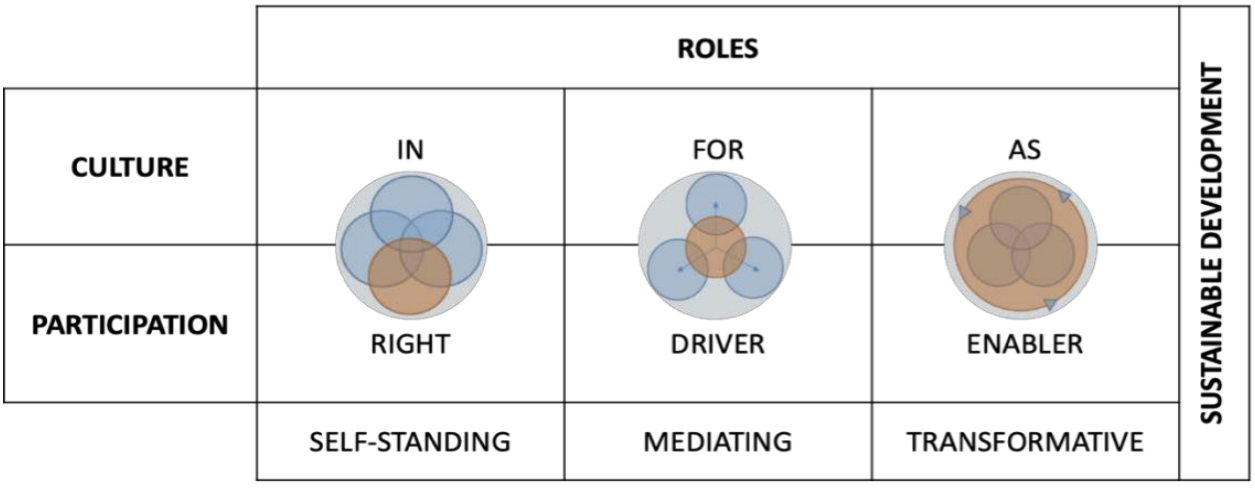

Figure 1.4: Parallelism between the roles of culture and participation in the sustainability discourse. Author's adaptation of 'Culture in, for, as sustainable development' model (Dessein et al., 2015; Skrede & Berg, 2019)

Firstly, participation as a human *right* is considered as a self-standing goal of sustainable development. In fact, enforcing everyone's right to freely participate in cultural life, access heritage, and take part in decision-making on its governance and management contributes to achieving more just and equitable societies. As an expression of justice and equity, the opportunity for everyone to participate in heritage processes is therefore an indicator of social sustainability.

Secondly, participation as a *driver* of different sustainable development objectives moves beyond the social sustainability dimension by mediating the impact of participatory heritage practices on the environment, society, culture, and the economy. To fulfill this role, it is widely advocated for participation to be of high quality and therefore be inclusive, active, and integrated throughout the whole management process. Under these conditions, high-quality participation can positively contribute to the preservation of natural and cultural heritage, to the effectiveness of their governance and management processes, as well as to building resilient, peaceful, and sustainable cities and communities.

Lastly, participation as an *enabler* of a sustained transformation towards sustainability-oriented participatory heritage practices can set the necessary conditions for the sustainable development objectives addressed today through heritage practices to continue being addressed in the future. The factors that determine such sustained transformation can be divided into empowerment tools and integrated planning tools. On the one hand, stakeholders can be empowered through active participation, education, capacity-strengthening and -building activities, and inclusive opportunities for everyone to participate need to be created. On the other hand, participation needs to be well integrated into long-term planning through the adequate regulation of its processes and the allocation of the necessary resources for its development and implementation by means of negotiation among all stakeholders. In this perspective, participation can enable a transformative collective commitment to change towards a culture of sustainability in heritage management.

The three roles of participation are non-exclusive and strongly interlinked. However, it emerges that different *quality* of participatory heritage practices and multiple factors affecting their *sustained transformation* can determine which role(s) they play in contributing – or not – to diverse sustainable development objectives (see figure 1.5).

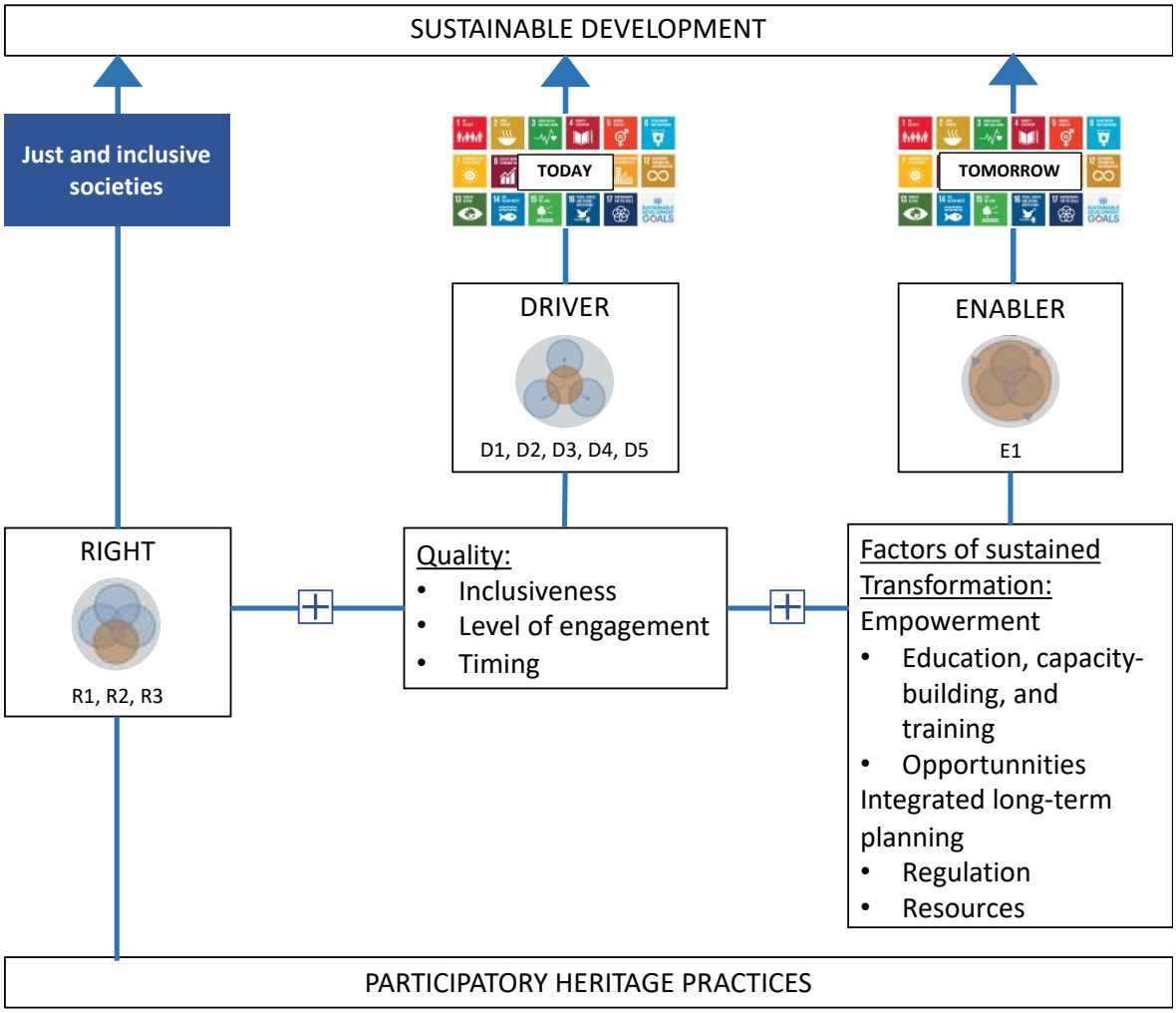

Figure 1.5: Draft elements of the system of the roles of participatory heritage practices in, for, as sustainable development

1.5 Conclusions

This first step into the exploration of the relation between heritage, participation, and sustainable development has unveiled a great complexity of participatory heritage practices presented from different perspectives that are discipline-, sectoral-, and case-specific. However, in the attempt to identify commonalities in the way different practices contribute to sustainable development, a thematic analysis suggested three main roles of participation: as a *right*, as a *driver* of multiple sustainable development objectives, and as an *enabler* of the sustained transformation towards sustainability-oriented participatory heritage practices, while nine subcategories of these roles define their specific contribution. A possible parallelism was identified with the theory on the role of culture *in*, *for*, *as* sustainable development (Skrede & Berg, 2019; Soini et al., 2015), which offers a

framework for the conceptualization of the *self-standing*, *mediating*, and *transformative* role of participatory practices.

In the past 15 years, research has mainly focused on participation as a *driver* and as a *right*, while less attention seems to be given to the transformative potential that integrated participatory practices have as *enablers*. The reasons could be found in the challenges presented by the monitoring and evaluation of the impact of participation due to its social nature, to its multiple complex implications beyond its cultural and social impact, and to the lack of resources to undertake reiterative monitoring and evaluation processes at the end of projects (Landorf, 2009). Therefore, this identified trend might shed light on common processes in heritage-related projects that represent barriers to the exploration and assessment of the role of participation as an enabler, rather than revealing a real trend of the most commonly implemented roles.

These results emerge from the analysis of a controlled number of publications. The selected pool of literature partly represents the discourse within the extensive body of literature produced on participatory heritage practices. Further research should investigate literature, regulations, and practices to better understand the identified roles of participation, their interrelations, and their system. The following chapter will explore them from the perspective of international heritage regulatory frameworks.

Chapter 2 Heritage and Sustainability: Regulating Participation

This chapter is partially based on the following journal article:

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2.1 Sustainability turns in international regulation

In the past two decades, sustainable development agendas progressively integrated culture, as a result of increasing advocacy since the early 1990s (Labadi, 2018, p. 45; *Our Creative Diversity*, 1995). However, for broad and effective integration of heritage in sustainable development agendas and processes, sustainability also needs to permeate into heritage policies and practices. Even though references to principles related to sustainable development objectives can be found in international heritage regulatory documents since the mid-1990s (ICOMOS, 1996, 1998; UNESCO, 1998), it was only from 2002, with the Budapest Declaration, that the UNESCO World Heritage processes became explicitly linked to the term *sustainability* (Labadi, 2018; Labadi & Logan, 2016; UNESCO, 2002a, pt. art.6, 8). A decade later, other documents adopted a similar approach, advocating for a good balance between urban development and heritage conservation (COE, 2005a; UNESCO, 2003, 2005a) – particularly in the management of the historic urban landscape (ICOMOS, 2011; UNESCO, 2005b, 2011) – looking inward at the sustainability of heritage attributes and values. Contextually, a second trend emerged that looked outward at heritage practices as impacting and contributing to the sustainable development of societies, cultures, and the environment (Larsen & Logan, 2018, p. 5).

In 2015, a new Policy on the Integration of a Sustainable Development Perspective into Processes of the World Heritage Convention was published to align all World Heritage processes to the post-2015 UN Sustainable Development agenda, influencing future revision of the World Heritage Operational Guidelines (Labadi & Logan, 2016; Larsen & Logan, 2018; UNESCO, 2015). The United Nations Educational, Scientific and Cultural Organization (UNESCO) further investigated, regulated, and attempted to measure the impact of culture and heritage on selected SDGs and sustainability dimensions (UNESCO, 2016a, 2017b, 2017a, 2019a). Other organizations like the International Council of Monuments and Sites (ICOMOS), the International Union for Conservation of Nature (IUCN), United Cities and Local Governments (UCLG), and the British Council also explored the links between heritage and the SDGs in the context of cultural (Labadi, Giliberto,

Rosetti, Shetabi, & Yildirim, 2021) and natural heritage (IUCN, 2017) management and governance, specifically in urban contexts both at the international (UCLG, 2018) and national level (British Council, 2020).

2.1.1 Participation turns

As part of this trend, different organizations promoted rights-based approaches to heritage management, through declarations, reports, and guidelines (COE, 2005a; Court & Wijesuriya, 2015; ICOMOS, IUCN, & ICCROM, 2014; Larsen & Logan, 2018; OHCHR, 2011, 2016), attributing greater importance to the role of communities' engagement and stakeholders' collaboration in heritage processes. Participatory practices have been promoted by the United Nations since the 1950s (UN, 1855), following the Universal Declaration of Human Rights (UN, 1948, sec. art.27.1), as a way of making development programs more efficient and effective (UN, 1969, 1970, 1973, 1975). As a result, participation in one's cultural life was progressively advocated as a human right by international organizations (IIEDH, 2007; Sinding-larsen & Larsen, 2017; UNESCO, 1976), acknowledging it as fundamental to a sustainable urban development that is respectful of societies' needs and values (Lyons, Smuts, & Stephens, 2001; Macnaghten & Jacobs, 1997; UNESCO, 2016a). Inspired by urban participatory experiences of the 1960–1970s (Bandarin, Francesco, van Oers, 2015; Sanoff, 2000), the dissemination of the Brundtland report in the 1980s (Brundtland, 1987), and the development of democracy theories (Bohman & Rehg, 1997; Floridia, 2013; Pateman, 2012), in the early 1990s participatory processes were increasingly integrated into policies for the inclusive and effective protection and safeguarding of cultural heritage (Chitty, 2017; Reestorff, Fabian, Fritsch, Stage, & Stephensen, 2014).

Nowadays, on the one hand, participatory heritage practices are advocated for better safeguarding of heritage attributes and values, and on the other hand, inclusive people-centered and rights-based approaches to heritage management are recommended to link heritage practices to broader sustainable development objectives (see chapter 1). The integration of principles of participation in heritage international regulation is fundamental to fostering the sustained implementation of sustainability-oriented participatory heritage practices. Therefore, following up on the investigation that identified the different roles of participatory heritage practices in contributing to sustainable development (see chapter 1), this chapter seeks to explore what roles of participation are acknowledged and promoted by international heritage regulatory documents, and are monitored through their assessment frameworks.

2.2 Methodological approach

For this investigation, 29 regulatory documents were taken into analysis. The sample was selected in two steps. First, 37 regulatory frameworks were identified as referenced by the documents analyzed in the systematic literature review carried out in the first chapter. Second, the sample was complemented with 13 more regulatory documents published post-2015 by leading organizations in the field[8], after the issue and adoption of the UN 2030 Agenda for sustainable development (UN, 2015a).

The 50 identified regulatory frameworks were screened for eligibility both qualitatively, by looking for the expressed relations among heritage, sustainability, and participation, and quantitatively, by counting the incidence of mentions of these terms. A first qualitative analysis identified the UNESCO 2002's Budapest Declaration on World Heritage as the first document explicitly mentioning both the term *heritage* and *sustainability*, addressing the need for solutions that balance heritage practices, sustainability, and development (Labadi & Logan, 2016), as well as for cross-sectoral and intergenerational participation. For this reason, the Budapest Declaration was adopted as a watershed for the refinement of the pool of documents, excluding 17 antecedent records. A consequent quantitative analysis aimed to ensure that all the selected documents mentioned at least once both the word *heritage* and *sustainab** (-ility, -le), to ensure that – whenever addressed – participation would be potentially put in relation to both concepts. 4 records have been excluded based on this criterion (see appendix 1). The remaining 29 records were included in the final pool of documents, to be further analyzed in-depth.

An inductive thematic content analysis was performed to check the correspondences of addressed themes with the roles of participation that emerged from the systematic literature review (Bengtsson, 2016, p. 9). Consequently, a reiterative deductive quantitative and qualitative content analysis enabled the identification of trends in the acknowledgement of the roles of participation in international heritage regulatory documents (Bengtsson, 2016; Popay et al., 2006). Furthermore, a network analysis of the system of reference reveals the most referenced and influential documents and organization in the promotion of particular roles of participation that lead the international discourse (Borgatti et al., 2009, p. 894).

[8] Council of Europe (COE), Ministers of Culture of the G7, International Council of Monuments and Sites (ICOMOS), United Nations, United Nations Educational, Scientific and Cultural Organization (UNESCO), UN-HABITAT, International Council of Museums (ICOM) and the International Union for Conservation of Nature (IUCN).

2.3 Profiling the sample

The 29 selected international heritage regulatory frameworks are analyzed in relation to their year of publication, issuing institution, and document typology (see table 2.1).

ID	Policy document	Year	Organization / Institution	Typology
1	Resolutions adopted by ICOM's 34th general Assembly	2019	ICOM	Resolution
2	Environmental & Social Management System (ESMS) - Standard on Cultural Heritage	2019	IUCN	Standards
3	Environmental & Social Management System (ESMS) - Standard on Indigenous Peoples	2019	IUCN	Standards
4	Operational Guidelines for the Implementation of the World Heritage Convention	2019	UNESCO	Operational Guidelines
5	Davos Declaration Towards a high-quality Baukultur for Europe	2018	Ministers of Culture-Swiss Confederation	Declaration
6	Operational Directives for the implementation of the convention for the saveguarding of the intangible cultural heritage	2018	UNESCO	Operational Directives
7	Warsaw Recommendation on Recovery and Reconstruction of Cultural Heritage	2018	UNESCO-Polish Ministry	Recommendation
8	Recommendation of the Committee of Ministers to member States on the European Cultural Heritage Strategy for the 21st century	2017	COE	Recommendation
9	Joint Declaration of the Ministries of Culture of G& on the occasion of the meeting "Culture as an Instrument for Dialogue among Pe	2017	G7	Declaration
10	Delhi Declaration on Heritage and Democracy	2017	ICOMOS	Declaration
11	Principles for the conservation of wooden built heritage	2017	ICOMOS	Principles
12	Salalah guidelines for the management of public archaeological sites	2017	ICOMOS	Guidelines
13	Quito Declaration. New Urban Agenda	2016	UN HABITAT III	Declaration
14	The Ngorongoro Declaration on Safeguarding African World Heritage as a Driver of Sustainable Development	2016	UNESCO	Declaration
15	Transforming our world. The 2030 Agenda for Sustainable Development	2015	UN	Agenda
16	Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention	2015	UNESCO	Policy Document
17	The Valletta Principles for the Safeguarding and Management of Historic Cities, Towns and Urban Areas	2011	ICOMOS	Principles
18	Recommendation on the Historic Urban Landscape	2011	UNESCO	Recommendation
19	Ljubljana Declaration on Cultural Heritage Research in a Strengthened Partnership with End-Users	2008	CHRESP	Declaration
20	Québec Declaration on the Preservation of the Spirit of Place	2008	ICOMOS	Declaration
21	Declaration on the Rights of Indigenous Peoples	2007	UN	Declaration
22	Framework Convention on the Value of Cultural Heritage for Society	2005	COE	Convention
23	Xi'an Declaration on the Conservation of the Setting or Heritage Structures, Sites and Areas	2005	ICOMOS	Declaration
24	Convention on the protection and promotion of the diversity of cultural expressions	2005	UNESCO	Convention
25	Vienna Memorandum. World Heritage and Contemporary Architecture - Managing the historic Urban Landscape	2005	UNESCO	Memorandum
26	The Hoi An Declaration on Conservation of Historic Districts of Asia	2003	ICOMOS	Declaration
27	Convention for the Safeguarding of the Intangible Cultural Heritage	2003	UNESCO	Convention
28	The Budapest Declaration on World Heritage	2002	UNESCO	Declaration
29	The Johannesburg Declaration on World Heritage in Africa and Sustainable Development	2002	UNESCO	Declaration

Table 2.1: A selected pool of records for the systematic review of international heritage regulatory documents

In the observed timeframe, the selected documents were issued discontinuously until 2015, the year of the drafting of the UN Agenda 2030, with a peak in 2005 (4). After 2015, topics related to heritage and sustainability were yearly addressed in international heritage regulatory frameworks with continuity, observing an increase of issued documents, with peaks in 2017 (6) and 2019 (4) (see Figure 2).

11 organizations and institutions worked individually or collectively on publishing the documents, resulting in 8 main issuing organizations and clusters considered for the analysis: COE, Ministers of Culture of the G7, ICOM, ICOMOS, IUCN, UN, UN-HABITAT and

UNESCO. Among the represented organisations, there are both Intergovernmental organisations (IGOs), which are made up and mainly funded by the Member States, and Non-Governmental Organisations (NGOs), which are membership-based networks of experts, civil society, associations, and governmental institutions. Among the IGOs there is the group of Ministers of Culture of the G7[9], an informal political forum bringing together the leaders of the world's leading industrial nations; the Council of Europe[10], an international organisation whose 47 member states aim to uphold human rights, democracy and the rule of law; the United Nations[11], an international organisation founded in 1945 made up of 193 member nations taking actions on the issues confronting humanity in the 21st century; UN-HABITAT[12], a specific UN working program working towards socially and environmentally urban settlements development (UN HABITAT III, 2016); and UNESCO[13], a UN specialised agency that seeks to build peace through international cooperation in education, science and culture. Among the NGOs there are IUCN[14] and ICOMOS[15], two of the advisory bodies of UNESCO, specifically of the World Heritage Committee (UNESCO, 2019b, sec. I.E, Annex 6). The first is composed of both governmental and non-governmental organisations and experts working on the safeguarding of the natural world, while the latter is a network of practitioners working on the conservation and protection of cultural heritage. Eventually, ICOM[16] is constituted by a network of museums and professionals committed to the research, conservation, continuations and communication to society of the world's natural and cultural heritage. These organisations and institutions are all international, except for the Council of Europe, and are connected to each other through direct collaborations, partnerships or dialogue processes. Most of the documents are issued by UNESCO (10), alone or in collaboration with national institutions, followed by ICOMOS (7).

Twelve different typologies of documents are represented, such as agendas, conventions, declarations, guidelines, memorandums, operational directives, operational guidelines, policy documents, principles, recommendations, resolutions, and standards. They can be divided in two groups: those that are legally binding and those that are not. To the first category belong conventions[17], which are formal agreements that need to be signed and ratified by member states, integrating the new principles into national frameworks and

[9] https://ec.europa.eu/info/food-farming-fisheries/farming/international-cooperation/international-organisations/g7_en

[10] https://www.coe.int/en/web/about-us/who-we-are

[11] https://www.un.org/en/sections/about-un/overview/index.html

[12] https://unhabitat.org/about-us/learn-more

[13] https://en.unesco.org/about-us/introducing-unesco

[14] https://www.iucn.org/about

[15] https://www.icomos.org/en/about-icomos/mission-and-vision/icomos-mission

[16] https://icom.museum/en/about-us/missions-and-objectives/

[17] http://dagdok.org/un-by-subject/international-law/conventions-and-declarations/ , http://portal.unesco.org/en/ev.php-URL_ID=23772&URL_DO=DO_TOPIC&URL_SECTION=201.html

reporting on signs of progress. However, differences in the degree of strength of this kind of document exist, according to the issuing institutions and their implementation power (e.g. between UNESCO and the Council of). Operational Guidelines and Operational Directives indicate the procedures to be followed to facilitate and strengthen the implementation of the conventions while minimizing interpretation disputes; by reflection, they also fit this first category, although they are not legally binding documents themselves (UNESCO, 2003, 2018a, 2019b). To the second category belong all the other typologies. No clear definition is provided in the context of international heritage regulatory documents, however, few characteristics can distinguish them. For instance, agendas[18], such as the UN Agenda 2030, can be adopted by member nations and implemented by all sorts of organizations and institutions at a national and sub-national level, encouraging the submission of an annual voluntary progress report as part of their review mechanisms. Despite not being legally binding, declarations[19] are considered to have a strong moral force, indicating a firm commitment to principles of lasting importance, e.g. the UN Declaration of Human Rights. Sometimes, particularly in the UN system, declarations originate from resolutions[20], or are adopted through them, and can later become conventions. Recommendations[21] are less-formal instruments used to invite the Member States to the implementation of new frameworks at a national and organizational level and can be associated with standards, guidelines, principles, and memorandums. These typologies of regulatory documents are not to be considered different in importance, but as covering different functions, being potentially complementary to each other[22].

Looking at these typologies in relation to the issuing organizations, it can be observed that legally binding documents with a reporting system are published by UNESCO and COE, while those entailing voluntary forms of reporting also include the UN General Assembly and working programs. These organizations are all IGOs and directly interact with the national governments of Member States. Formal expressions of commitment are widely used by both IGOs and NGOs, while less-formal regulatory documents are more common in NGOs, which are constituted by networks of professionals and organizations.

[18] https://sustainabledevelopment.un.org/vnrs/

[19] http://dagdok.org/un-by-subject/international-law/conventions-and-declarations/ , http://portal.unesco.org/en/ev.php-URL_ID=23772&URL_DO=DO_TOPIC&URL_SECTION=201.html

[20] https://www.refworld.org/publisher,COEPACE,,,,,0.html , https://www.refworld.org/publisher,COEPACE,,,,,0.html

[21] https://www.coe.int/en/web/enter/the-recommendation , http://portal.unesco.org/en/ev.php-URL_ID=23772&URL_DO=DO_TOPIC&URL_SECTION=201.html

[22] http://portal.unesco.org/en/ev.php-URL_ID=23772&URL_DO=DO_TOPIC&URL_SECTION=201.html

2.4 Regulated roles of participation

The qualitative inductive analysis of the 29 records reveals a correspondence of the addressed topics between academic literature and regulatory documents, with an exact match of the coding structure to the one developed through the previously undertaken systematic literature review (see chapter 1). Participation is addressed as a right, a driver of sustainable development, and as an enabler of the sustained transformation towards sustainability-oriented participatory heritage practices (see table 2.2).

2.4.1 As a right

Over half of the documents (18 out of 29) acknowledge ***participation as a right*** (COE, 2005a, 2017; ICOM, 2019; ICOMOS, 2011, 2017a; IUCN, 2019b, 2019a; Ministers of Culture-Swiss Confederation, 2018; UN, 2007, 2015b; UN HABITAT III, 2016; UNESCO, 2003, 2005a, 2015, 2016b, 2018b, 2018a, 2019b).

Almost all of them (16 out of 18) refer to the ***right to access, understand, choose, use, and perform culture and heritage***. Specifically, it is stressed the right to freely participate in and enjoy cultural life (COE, 2005a, sec. I art.1.a; IUCN, 2019b, sec. art.4; UN, 2007, sec. preamble, art.5, 2015b, sec. art.8, 10, 19; UN HABITAT III, 2016, sec. art.12, 26; UNESCO, 2003, sec. art.2, 2018b, sec. Communities, 2018a, sec. art.104, 197.b, 2019b), having access to heritage properties and cultural communities (Ministers of Culture-Swiss Confederation, 2018, sec. preamble; UN, 2007, sec. art. 36.1; UNESCO, 2018b, sec. Communities), as well as to a diversified cultural offer in line with and in respect of cultural diversity (UNESCO, 2005, art. 5, 7). The broadest possible participation is advocated in respect of human rights (UN HABITAT III, 2016, sec. art.26; UNESCO, 2015, sec. art.9, 2018a, sec. art.197.b) for all stakeholders and right-holders, with no discrimination of age, gender and minority (UNESCO, 2015, sec. art. 9, 23.iv, 2019b, sec. art. 12). Although, it is acknowledged that rights can be conflicting and therefore can be restricted – such as in the case of the right to access – in order to ensure everyone's right to perform and conserve their legacy, in line with spiritual practices, cultural uses, and conservation measures (COE, 2005a, sec. I art.4.a, 2017, sec. VI. I. S1, S5; ICOMOS, 2017a, sec. preamble; IUCN, 2019a, sec. C art. 6.i, D art. 8.ii).

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Policy document	Organization	Year	Document type	**R1** Participation as the right to access, visit, understand, use and perform cultural heritage	**R2** Participation as the right to participate in decision-making on/benefit from management of heritage as a common good	**R3** Participation as the democratic right to participate	**D1** Participation as a driver of conservation, preservation and safeguarding of natural and cultural resources	**D2** Participation as a driver of resilient, liveable, smart, and sustainable living environment	**D3** Participation as a driver of sustainable heritage strategies, governance, and management	**D4** Participation a driver of sustainable development of local communities	**D5** Participation as a driver of peace building, conflict resolution, mutual understanding of cultural diversity, and tolerance	**E1** Participation as an enabler of the sustainained transformation towards sustainability-oriented participatory heritage practices	Number of addressed roles	Number of addressed subcategories
Ljubljana Declaration on Cultural Heritage Research in a Strengthened Partnership with End-Users	CHRESP	2008	Declaration						Integration of multi- and inter-disciplinary research into practice. Involvement of all key research, education				1	1
Framework Convention on the Value of Cultural Heritage for Society	COE	2005	Convention	sec. I art.1.a	sec. I art.1.b, 4.a, 12.a	art.4.c	art.4.b, sec. III art.12d	art.8.c	art.11.c,d,e	art.5.d	art.7.a,b,c	art.7.b,d	3	9
Recommendation of the Committee of Ministers to member States on the European Cultural Heritage Strategy for the 21st century	COE	2017	Recommendation	prologue	Scope, S6	prologue, VI.I, S1, S5	Scope, S7, S10, K2, K7	S4, S7, D7, K1	art.1.b, Scope,VI.I, S1, S10	S7, D2, D7	S4, S9, D7, K1	Scope; Aim and objectives; S2, S6, S8, S9, S10, D9, K1, K4, K5, K10	3	0
Joint Declaration of the Ministries of Culture of G7 on the occasion of the meeting "Culture as an Instrument for Dialogue among People"	G7	2017	Declaration				We also affirm that effective international cooperation facilitates widely accepted solutions for securing				We express our strong support for UNESCO's role in promoting the protection and preservation of		1	2
Resolutions adopted by ICOM's 34th general Assembly	ICOM	2019	Resolution	res.5			res.5	res5	res5	res.5	res.5	art.r.1, r.5	3	7
The Hoi An Declaration on Conservation of Historic Districts of Asia	ICOMOS	2003	Declaration				art.2, 6	art.2	art.2, 6			art.4, 6	2	4
Xi'an Declaration on the Conservation of the Setting or Heritage Structures, Sites and Areas	ICOMOS	2005	Declaration				art.12		art.12			art.13	2	3
Québec Declaration on the Preservation of the Spirit of Place	ICOMOS	2008	Declaration				art.8, 9		art.10	art.9			1	3
The Valletta Principles for the Safeguarding and Management of Historic Cities, Towns and Urban Areas	ICOMOS	2011	Principles			art.3.h	art.3.h, i, 4.j	art.3.g, h	art.4.j, i			art.3.h, 4.j	3	5
Delhi Declaration on Heritage and Democracy	ICOMOS	2017	Declaration	preamble		preamble, art.3	art.2,4		preamble, art.3,4	preamble, art.1	art.1	art.4	3	7
Principles for the conservation of wooden built heritage	ICOMOS	2017	Principles				preamble, art.34, 35	preamble	art.7, 35	preamble		art.35	2	5
Salalah guidelines for the management of public archaeological sites	ICOMOS-ICAHM	2017	Guidelines						Antecedents			Antecedents, 1.9, 2.2	2	2
Environmental & Social Management System (ESMS) - Standard on Cultural Heritage	IUCN	2019	Standards	art.6, 8.ii			art.14		art.16				2	3
Environmental & Social Management System (ESMS) - Standard on Indigenous Peoples	IUCN	2019	Standards	art.4	art.4, 8.viii.d		art.5.iii, 8.viii		art.22.ii, 23	art.4		art.4, art.5.vi, 22.iii	3	6
Davos Declaration Towards a high-quality Baukultur for Europe	Ministers of Culture-Swiss Confederation	2018	Declaration	preamble				art.16				art.17	2	2

Declaration on the Rights of Indigenous Peoples	UN	2007	Declaration	preamble, art.5, 36.1	art.5, 18, 39	preamble			art.38		art.15.2		2	5
Transforming our world. The 2030 Agenda for Sustainable Development	UN	2015	Agenda	art.8, 10, 19			target 11.4	target 11.3	target 5.5, 11.3, 16.7			target 4.7, 11.3, 17.9, 17.16, 17.17	3	5
Quito Declaration. New Urban Agenda	UN HABITAT III	2016	Declaration	art.12, 26			art.38, 125	art.13.b, 15.c, 15.c.ii	art.15.c.i,ii, 41, 81	art.13.b, 15.c.ii	art.13.b, art.26	art.15.c.ii, 26, 72	3	7
The Budapest Declaration on World Heritage	UNESCO	2002	Declaration				preamble section IV.5, art.6, 7		art.6, 7	art.6			1	3
The Johannesburg Declaration on World Heritage in Africa and Sustainable Development	UNESCO	2002	Declaration				art.4		art.2, 4			art.4	2	3
Convention for the Safeguarding of the Intangible Cultural Heritage	UNESCO	2003	Convention	art.2			art.2, 11, 15		art.15	art.2	art.2	art.19	3	6
Convention on the protection and promotion of the diversity of cultural expressions	UNESCO	2005	Convention	art.2.1, 2.5, 2.7			art.1.i, 11		art.12.a, 12.c, 12.e, 23.7	preamble, art.14	art.2.7	art.1.i, 10.c, 12.b, 12.d, 14.a.i.ii, 14.b, 14.d.ii, 15, 19.4	3	6
Vienna Memorandum. World Heritage and Contemporary Architecture - Managing the historic Urban Landscape	UNESCO	2005	Memorandum						art.13, 28				1	1
Recommendation on the Historic Urban Landscape	UNESCO	2011	Recommendation				art.23, 24.a.b, 27	art.24.b	art.6, 22.b, 23, 24.a.b.c.d, 25	art.24.b	art.24.a	art.24.a.c.d, 25, 28	2	6
Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention	UNESCO	2015	Policy Document	art.9	art.20.iii, 21, 23.iv, 25.iii		art.9, 11, 26.ii, 33.iii		art.20.iii, 21, 22.iv, 33.ii	art.7.ii, 17, 26.ii	art.29	art.11, 20.iv	3	7
The Ngorongoro Declaration on Safeguarding African World Heritage as a Driver of Sustainable Development	UNESCO	2016	Declaration		preamble		preamble, art.5, 6, 7, 13	art.7	art.6	art.5, 6, 7	art.7	art.5	3	7
Operational Directives for the implementation of the convention for the saveguarding of the intangible cultural heritage	UNESCO	2018	Operational Directives	art.104, 197.b	art.81, 101.d, 178.b, 186.b.i	art.197.b	art.79, 80.a.b, 90, 101.b, 107.f, 152, 171.a, 179.b, 180.c, 189.a, 191.a	art.191.c.ii, 170	art.80.c, 88, 109, 157, 170, 171.d, 177, 181.e, 191.c.ii	art.109.e, 170, 177, 178.a, 179.a, 180.b, 181.a, 182.a, 184, 185.a, 186.a	art.91, 170, 193, 194, 197.c	art.67, 107, 173.b, 178.c, 179.b, 180.b.d, 185.b.i, 186.b.i, 189.c	3	9
Operational Guidelines for the Implementation of the World Heritage Convention	UNESCO	2019	Operational Guidelines	art.12			art.15, 31.a.b.d, 40, 56, 64, 211.b.d, 217, 218		art.26.5, 31.e, 38, 108, 117,119, 123	art.214bis	art.73	art.15.g, 111.e.g, 214bis	3	6
Warsaw Recommendation on Recovery and Reconstruction of Cultural Heritage	UNESCO-Polish Ministry	2018	Recommendation	Communities	art.9		Resilience, Capacities and sustainability	Planning	Communities, Governance	Communities	Memory and reconciliation; Education and awareness raising	Resilience, capacities and sustainability; Governance; Education and awareness raising	3	8
Number of documents addressing sub-categories				16	8	6	24	13	27	17	15	22		
Number of documents addressing each roles				18			29					22		

Table 2.2: Roles of participation and subcategories promoted by international heritage regulatory documents

Almost half of these documents (8 out of 18) address participation as a ***right to participate in decision-making and benefit from the management of heritage as a common good***. This stance is based on the belief that people's rights can only be observed when people themselves are involved in decision-making processes that affect the respect of their own rights (UN, 2007, sec. art. 18). This concept is particularly stressed in the case of indigenous communities, which should participate in an informed way in the impact assessment, development of mitigation measures and monitoring of projects that affect both their activities and lands (IUCN, 2019b, sec. F, art. 22, 23), but not exclusively. The free, informed and timely prior consent of all cultural rightsholders is increasingly considered crucial (UNESCO, 2018b, sec. Communities) to appropriately identify, interpret, present, conserve, and protect cultural heritage (COE, 2005a, sec. art. 12.a), advocating for rights-based approaches in decision making (UNESCO, 2018b, sec. Communities) and participatory heritage governance (COE, 2017, sec. VI.I.S6, S10). The right to benefit from culture and development processes is considered as being aligned with the right to more inclusive heritage practices (COE, 2005a, secs. 1, 4.a; ICOM, 2019, sec. r.5; IUCN, 2019b, sec. A.4, C.8.viii). This is specifically remarked in the case of the management of World Heritage properties, stressing the importance of sharing the benefits generated from the activities carried out within and around designated areas (UNESCO, 2015, sec. art. 25.iii). Especially in the African continent, strong concerns are raised over people's right to their heritage after a past of colonization and centralization of heritage practices, as well as present and future generations' right to economically benefit from heritage activities both in the short and in the long term (UNESCO, 2016b, sec. preamble).

One-third of these documents (6 out of 18) acknowledge participation as a ***democratic right***. In this perspective, people-centered approaches are considered an expression of democratic values shared in a society (COE, 2017, sec. VI.I; UN, 2007, sec. preamble), which are essential to the implementation of democratic heritage practices (COE, 2005a, sec. III art.12; ICOMOS, 2017a, sec. preamble, art.3) and governance (ICOMOS, 2011, sec. art.3.h; UNESCO, 2018a, sec. art.101.d, 171.b, 185.b.ii, 186.b.ii, 187.b.i). Participatory democratic heritage practices are not only considered the reflection of a political will but also the result of a common civic spirit, inevitably entailing shared responsibilities over the preservation and management of cultural resources (COE, 2017, sec. VI.I.S1, S.5). To enable such democratic heritage governance systems, authorities at multiple scales need to set adequate regulatory frameworks to enable public and civic action at a local level (COE, 2017, sec. VI.I.S.6).

2.4.2 As a driver

All the documents promote ***participation as a driver of sustainable development*** explicitly referring to the importance of inclusion and people-centered approaches to achieve sustainable development objectives (ICOMOS, 2017b, 2017a; UNESCO, 2005a, 2011, 2015, 2018a), specifically the SDGs (UN, 2015a, sec. SDG 17.16, 17.17), and to ensure a balance

between all pillars of sustainability (ICOMOS, 2017a, sec. art. 3; UN HABITAT III, 2016, sec. art. 15.c.ii).

Almost the totality of these documents (27 out of 29) refers to participation as a ***driver of sustainable heritage strategies, governance, and management***. The widest possible and active participation of communities, groups, and individuals – when appropriate – is considered crucial to heritage management and a fundamental component of management planning (ICOMOS-ICAHM, 2017, sec. 1.9; IUCN, 2019a, sec. E.14; UNESCO, 2003, sec. art. 15). Intergenerational and interdisciplinary engagement makes the integration of traditional heritage management systems with new ones possible by welcoming new stakeholders to the process (ICOMOS, 2008, sec. art. 10; UNESCO, 2002b, sec. art. 4). The participation of a wide spectrum of stakeholders is advocated to foster a shared sense of responsibility and communal care towards heritage resources, which facilitates reaching consensus through the development of shared objectives and culturally-sensitive solutions (ICOMOS, 2003, sec. art. 2, 2011, sec. art. 4.j, 2017a, sec. art. 3; UNESCO, 2015, sec. art. 22.4). Moreover, the development of innovative public-private cooperation, leveraging the knowledge of professionals and communities as complementary to the role of public authorities, allows the integration of inter- and multi-disciplinary research into practice and policies, along with a more sustainable implementation of management plans (CHRESP, 2008; COE, 2005a, sec. art. 11.c.d.e; ICOMOS, 2005, sec. art. 12; UNESCO, 2005a, sec. art.12.c.e).

The important role of communities, groups and individuals is acknowledged also in the implementation of the World Heritage Convention and other UNESCO Conventions, requesting the adoption of participatory processes not only in the implementation, but also in the development of management plans (UNESCO, 2002a, sec. art.6, 2003, sec. art.15, 2005a, sec. art.13.7, 2015, sec. art. 22.4, 2019b, sec. art. 26.5, 108). Collaborative management systems are intended to contribute to more equitable, inclusive and effective heritage *good governance*[23] at all scales, by establishing a clear operational strategy and communication policy, with the deployment of appropriate mechanisms and resources for inclusive decision-making and the timely coordination of actions (CHRESP, 2008; COE, 2017, p. 8; ICOMOS, 2011, sec. art. 3.h, 4.j; UN, 2015b, sec. target 5.5, 16.7; UNESCO, 2005b, sec. art. 27, 2018b, 2019b, sec. art. 117, 119). To achieve this, a prior and informed joint impact assessment needs to be made, the effective partnerships and collaborations of

[23] "*Good governance is a concept that inspires the conduct of public policies and the way those who hold public offices perform their tasks. It includes such principles as – see as a reference the Council of Europe Strategy for Innovation and Good Governance at Local Level, adopted by the Committee of Ministers on 8 March 2008 – holding of fair and free elections, respect for diversity, transparency and ethical behaviour, accountability, openness and participation in the management of public affairs, sustainability and long-term vision, sound and responsible use of public funds, etc.*" (COE, 2017, p. 8)

governments at all levels need to be strengthened, and broad participation in inclusive heritage policy-making, development, implementation, and assessment of strategies, regulations, management plans, and monitoring frameworks needs to be established (COE, 2017; ICOMOS, 2008, sec. art. 10, 2017b, sec. art. 7, 35; IUCN, 2019b, sec. art.22.ii, 23; UN, 2007, sec. art.38; UN HABITAT III, 2016, sec. art. 15.c.i.ii, 41, 81; UNESCO, 2011, sec. art. 23, 25)(UNESCO, 2002a, sec. art.7, 2005a, sec. art.12.a).

Most of these documents (24 out of 29) refer to participation as a ***driver of conservation, preservation and safeguarding of natural and cultural resources***. The timely involvement of all actors, through intersectoral and interdisciplinary collaborations, is considered fundamental to allow the coordination of stakeholders' actions and knowledge sharing for the preservation of heritage and the achievement of sustainable development goals, within historic sites, areas, cities and towns (ICOMOS, 2003, sec. art.2, 6, 2011, sec. j; UN, 2015a, sec. target 17.16, 17.17 concerning 11.4; UNESCO, 2011, sec. 24.a). Particularly in the case of World Heritage management systems, the inclusion of non-traditional decision-makers is advocated for the preservation, evolution, and transmission of cultural practices, as well as for the successful conservation of World Heritage properties, the OUV, and associated local values (UNESCO, 2002a, sec. art. 6, 2015, sec. art. 9, 2016b, 2019b, sec. art. 40, 64, 119). More specifically, locally driven sustainable tourism – powered by the cooperation among stakeholders and the active involvement of local communities, including Indigenous people – is considered fundamental to the conservation of all heritage values and attributes (UNESCO, 2002a, sec. art. 6, 2015, sec. art. 26.ii). The importance of engaging Indigenous people in the preservation and transmission of the *spirit of place*[24], in all its tangible and intangible forms, is directly stressed by different institutions, recommending the use of both formal and non-formal means of communication, with the aid of new techniques and technologies (ICOMOS, 2008, sec. art. 9, 10; IUCN, 2019b; UN HABITAT III, 2016, sec. art. 38, 125).

When talking about heritage conservation, as well as the management of the historic urban landscape and World Heritage properties, taking into consideration *Nature-Culture* linkages is deemed necessary (Larsen & Wijesuriya, 2017). Although, in the examined documents it can be noticed more explicit attention to cultural rather than natural heritage (COE, 2005a, 2017; ICOMOS, 2005; IUCN, 2019a; UNESCO, 2003, 2018b, 2018a). Within the cultural heritage realm, no explicit sharp distinction is made between tangible and intangible heritage when promoting participatory practice, supposedly entailing that they can have implications for the preservation of heritage in general. This is the case of the

[24] "*[…] the spirit of place is made up of tangible (sites, buildings, landscapes, routes, objects) as well as intangible elements (memories, narratives, written documents, festivals, commemorations, rituals, traditional knowledge, values, textures, colors, odors, etc.), which all significantly contribute to making place and to giving it spirit […]*" (ICOMOS, 2008, sec. art.1)

preservation of cultural diversity and cultural expressions, which is enhanced by the active contribution of those involved in the creative processes that generate them (UNESCO, 2005a, sec. art. 7.2, 11) and by international and intersectoral cooperation (Ministers of Culture of G7, 2017). Although, above all, inclusion and active participation in heritage processes are advocated for the preservation and transmission of knowledge and skills (COE, 2017, sec. K.2; ICOMOS, 2017a, sec. art. 4; IUCN, 2019b, sec. art. 5.vi). On the one hand, it refers to the participatory efforts to preserve and transmit collective memories and oral history (COE, 2017, sec. S8), healing knowledge and practices (UNESCO, 2018a), and intangible cultural heritage at large (UNESCO, 2003, sec. art. 11, 15). On the other hand, beyond the inclusive preservation and transmission of conservation knowledge and techniques, there are implications for the preservation of heritage attributes, for example wooden structures, which creates opportunities for establishing educational programs and professional training, setting the basis for sustainable conservation practices (ICOMOS, 2005, sec. art. 13, 2017b, sec. art. 35). However, the full adoption of inclusive approaches to (cultural) heritage conservation can be also challenged by restrictions related to the preservation of specific (natural) resources (IUCN, 2019a, sec. D. 8.ii).

Over half of the documents (17 out of 29) refer to participation as a ***driver of sustainable development of local communities***. Transcultural, intergenerational, and gender-equal participation in decision-making over heritage conservation and management, through the adoption of policies and the development of inclusive initiatives, such as through community-based museums, has not only a positive impact on heritage preservation, but also on the sustainable development of communities (ICOM, 2019, sec. r.5; ICOMOS, 2008, sec. art. 9, 10; UNESCO, 2015, sec. art. 17, 2016b, sec. art. 5). This acknowledgment remarks the potential of sustainability-oriented heritage practices in generating mutual benefits for heritage and society (UNESCO, 2002a, sec. art. 6, 2015, sec. art. 7.iii). First, inclusive heritage governance is considered to contribute to communities' social sustainability (UNESCO, 2015, sec. art.17, 2018a, sec. art.177). People-centered approaches in democratic heritage practices are indicated as crucial to the achievement of an equitable, meaningful, diverse, and just society for all (ICOMOS, 2017a, sec. preamble, art.1; UNESCO, 2015, sec. art.7.ii). Particularly, civic engagement in the identification of heritage can strengthen local identities, foster a sense of belonging and ownership, improving people's quality of life (COE, 2017, sec. VI.I.S7; UN HABITAT III, 2016, sec. art. 13.b; UNESCO, 2002a, sec. art. 6, 2003, sec. art.2, 2011, sec. 24.b, 2018b, sec. Communities). Moreover, the participation of communities, groups, and individuals through cooperation in research, legal, technical, administrative and financial activities, is fundamental in the identification, preservation, and development of practices and knowledge that positively contribute to local food security, quality health care and education for all, gender equality, and access to clean and safe water (IUCN, 2019b, sec. art.4; UNESCO, 2005a, sec. art.14, 2018a, sec. art.178.a, 179.a, 180.b, 181.a, 182.a).

Second, the inclusive management, conservation, and use of biodiversity contribute to more sustainable ecosystems, mutually beneficial for communities and the environment (UNESCO, 2018a, sec. art.170). Particularly, strengthening inclusive and participatory urban governance can enable a more sustainable environmental protection and transformation (ICOMOS, 2017b, sec. preamble; UN HABITAT III, 2016, sec. art. 15.c.ii). Engaging with communities, groups and individuals in research and knowledge sharing over traditional and new solutions for the sustainable development and management of the environment where they live is crucial to balanced ecosystems, and improves communities' resilience to climate change and natural disasters (IUCN, 2019b, sec. art.4; UNESCO, 2018a, sec. art.178.a).

Third, communities' participation in heritage management is important for achieving a more inclusive economic development (UNESCO, 2018a, sec. art. 184, 185.a). Particularly, promoting and strengthening a coherent participatory urban governance enables a more sustainable and inclusive economic growth (UN HABITAT III, 2016, sec. art. 15.c.ii). Also, the participation of different communities, groups and individuals in the management of their heritage, and most importantly the respect for their choices, is necessary to promote ethical economic relations and fair trade (UNESCO, 2018a, sec. art.184). Moreover, through their engagement in research and their access to appropriate technical, administrative, legal, and financial measures, more opportunities could be created for income generation, sustainable livelihood, decent work, productive employment, and responsible tourism, to strengthen the socio-economic resilience of communities and groups, such as in the case of Indigenous people (IUCN, 2019b, sec. art.4; UNESCO, 2002a, sec. art.6, 2015, sec. art.26.ii, 2018a, sec. art.186.a, 2019b, sec. art.214bis).

Half of the documents (15 out of 29) refer to participation as a ***driver of peace building, conflict resolution, mutual understanding, and tolerance***. Opening heritage sites and practices to multiple stakeholders, favoring civic engagement and participation, is considered important to encourage intercultural and intergenerational dialogue, better communication and cooperation, welcoming contrasting values and alternative narratives (COE, 2017, sec. VI.I.S4; Ministers of Culture of G7, 2017; UN HABITAT III, 2016, sec. art.13.b; UNESCO, 2011, sec. art.24.a, 2018b, sec. Memory and Reconciliation). Dialogues can offer the opportunity to acknowledge cultural diversities and learn more about them (ICOMOS, 2017a, sec. art.1; UNESCO, 2015, sec. art.29), fostering their respect, and allowing their enhancement and inclusion in society (COE, 2017; UN HABITAT III, 2016; UNESCO, 2003, sec. art.2, 2005a, 2018a). Once cultural diversities are identified, understood and respected, it's then considered fundamental for their enhancement to include them in the development of shared visions, goals, and actions (UNESCO, 2011, sec. art.24.a). The active engagement of different stakeholders and the establishment of a dialogue among them is further advocated to foster social cohesion (COE, 2017, sec. VI.I.S8; ICOMOS, 2017a, sec. art.1; UN HABITAT III, 2016, sec. art.13.b), mutual understanding, and tolerance (COE, 2005a, sec. art.7, 2017, sec. VI.I.S4; ICOMOS, 2017a, sec. art.1; UN, 2007,

sec. art.15.2; UNESCO, 2005a, sec. art.7, 2011, sec. tool.a), which can then lead to a more balanced UNESCO World Heritage Tentative List and representation (UNESCO, 2019b, sec. art.73). This can contribute to the reduction or prevention of conflicts (COE, 2005a, sec. art.7; ICOMOS, 2017a, sec. art.1), to the end of discriminations and violent extremisms (Ministers of Culture of G7, 2017; UN HABITAT III, 2016, sec. art.26), and to the successful negotiation and mediation between conflicting groups (UNESCO, 2011, sec. art.24.a). Eventually, dialogue and engagement processes can improve security in and around World Heritage sites and foster safety, while building and strengthening peace and peaceful societies (COE, 2005a, 2017; ICOM, 2019; ICOMOS, 2017a; UN HABITAT III, 2016; UNESCO, 2015, 2018a).

Almost half of the documents (13 out of 29) refers to participation as a ***driver of resilient, smart, and sustainable living environment***. Promoting civic engagement in heritage and development processes is considered to support the development of a sense of identity and belonging, enhancing a shared sense of responsibility for the living environment (COE, 2005a, sec. art. 8.c, 2017, sec. S7; UN HABITAT III, 2016, sec. art. 13.b). Interdisciplinary and cross-sectoral collaboration among all relevant public and private stakeholders in urban planning, management, and monitoring is acknowledged as key to the successful development of a quality urban environment (Ministers of Culture-Swiss Confederation, 2018, sec. art. 16; UN, 2015a, sec. SDG 11.3; UNESCO, 2011, sec. art. 24.b). A participatory people-centered urban governance, which is age- and gender-inclusive, is deemed essential to the effective safeguarding, rehabilitation, and sustainable development of cities, to social transformation, economic growth, and environmental protection (ICOMOS, 2011, sec. h-governance, 2017b; UN HABITAT III, 2016, sec. art. 15.c, 15.c.ii). Also community-based museums can hold a great responsibility in developing transformative approaches for the local territorial development, by creating opportunities for more inclusive decision-making processes in shaping the future of cities (ICOM, 2019; UNESCO, 2018b). At last, integrating communities, groups, and individuals in climate change mitigation and adaptation, as well as in disaster risk management and reduction, allows to make use of traditional and local knowledge to develop tailor-made preventive measures in collaboration with various professionals, governmental, and non-governmental actors (ICOMOS, 2003; UNESCO, 2018a).

2.4.3 As an enabler

Over two thirds of the documents (22 out of 29) address ***participation as an enabler of a sustained transformation towards sustainability-oriented participatory heritage practices*** (see Figure 6 in yellow) (COE, 2005a, 2017; ICOM, 2019; ICOMOS-ICAHM, 2017; ICOMOS, 2003, 2005, 2011, 2017b, 2017a; IUCN, 2019b; Ministers of Culture-Swiss Confederation, 2018; UN, 2015b; UN HABITAT III, 2016; UNESCO, 2002b, 2003, 2005a, 2011, 2015, 2016b, 2018a, 2018b, 2019b).

Two factors are indicated as crucial to ensuring the continuity of sustainability-oriented heritage practices: the empowerment of all relevant stakeholders and the inclusion of participatory processes in long-term planning. Empowering all urban stakeholders to participate in urban development plans by setting in place inclusive and sound governance mechanisms, is deemed important to enable sustainable and inclusive economic growth, social inclusion, and environmental protection (UN HABITAT III, 2016, sec. art.15.c.ii). Empowering processes are considered fundamental to ensure not only that communities maintain a central role in heritage management (UNESCO, 2002b, sec. art.4), but also that society as a whole can equally participate in imagining, designing and creating a sustainable future for all (ICOM, 2019, sec. r.1). Empowerment can be built through participation in heritage processes itself and through building the capacity of organizations, institutions, cross-sectoral stakeholders, and civil society for the implementation of more inclusive practices (ICOM, 2019, sec. r.1, r.5; ICOMOS, 2005, sec. art.13; UN, 2015b, sec. target 17.9, 17.17; UNESCO, 2011, sec. 24.a, 2019b, sec. art.15.g, 11.g) and, for instance, for the effective preparedness in case of risks of man-made or natural hazards (ICOMOS, 2003, sec. art.4; UNESCO, 2018b, sec. Resilience, capacities and sustainability). Knowledge sharing, inter-regional exchanges, and awareness raising initiatives at both an international and local level, can also contribute to enabling a broader involvement in heritage processes through the activation of networks and the organization of forums of discussion (COE, 2017, secs. S9, K10; ICOMOS, 2003, sec. art.6; UN, 2015b, sec. target 17.16). Formal training and educational activities in schools and informal intergenerational knowledge transfer can foster youth engagement in the preservation of the living heritage (COE, 2017, sec. K5; ICOMOS, 2011, sec. art.3.h, 4.j, 2017a, sec. art.4). All forms of education are considered an important part of raising awareness to enable the common identification of values, development of visions, setting of goals, and agreement of actions to safeguard heritage and promote sustainable development (COE, 2017, sec. Scope, K1, K4; IUCN, 2019b, sec. art.5.vi; Ministers of Culture-Swiss Confederation, 2018, sec. art.17; UN, 2015b, sec. target 4.7; UNESCO, 2011, sec. art.24.a, 2018b, sec. Education and awareness raising). Therefore, they represent the necessary basis for sustainable conservation practices, participatory policies making, inclusive and transparent monitoring and evaluation processes (ICOMOS-ICAHM, 2017, sec. art.2.2; ICOMOS, 2017b, sec. art.35).

Consequently, it is important to integrate these values, visions, goals, and actions into medium- and long-term plans, by including all relevant stakeholders from the initial phases in the spirit of *good governance*[25] (COE, 2017, p. 8; IUCN, 2019b, sec. art.5; UN HABITAT III, 2016, sec. art.72; UNESCO, 2011, sec. art.24.a, 2018b, sec. Governance, 2019b, sec. art.111.e). Moreover, it is important to regulated participatory processes and integrate them in those plans to allow sustained inclusive practices, the adoption of long-term perspectives in decision-making over the conservation, presentation, and safeguarding of

[25] See note 16

heritage, and to foster their potential positive contribution to development processes and societies (ICOMOS-ICAHM, 2017, sec. art.1.9; UNESCO, 2015, sec. art.7.iii, 2019b, sec. art.214bis). In these processes, it is important to acknowledge and support the role of communities in carrying for heritage and its continuity (COE, 2017, sec. S8; ICOMOS, 2017a, sec. art.4), and to set the right environment for participation to flourish through the development of regulation at different scales and the creation of the necessary space and time for multiple stakeholders to contribute to heritage and development processes (COE, 2017, sec. S6; IUCN, 2019b, sec. art.4). Finally, none of the above could be done without the allocation of the necessary resources to plan, implement, and sustain sustainability-oriented participatory heritage practices (COE, 2017, sec. Aim and objectives, S2, S10, D9; ICOMOS-ICAHM, 2017, sec. Antecedents; IUCN, 2019b, sec. 22.iii).

2.4.4 Trends and influences

The content analysis reveals some key trends in the way the latest regulatory documents address the roles of participation and, in combination with a network analysis of their references system, offers insights on which are the key documents and institutions promoting them (see figure 2.1).

Half of the documents (14 out of 29) address all three roles of participation (COE, 2005a, 2017; ICOM, 2019; ICOMOS, 2011, 2017a; IUCN, 2019b; UN, 2007, 2015b; UN HABITAT III, 2016; UNESCO, 2003, 2005a, 2015, 2016b, 2018a, 2019b), the majority of which (11) were issued from 2015 onwards, after the publication of the UN 2030 Agenda. Half of them (5 out of 11) mention it directly (ICOM, 2019; ICOMOS, 2017a; UN HABITAT III, 2016; UNESCO, 2015) or through a second-degree connection (UNESCO, 2016b). The 2030 Agenda for Sustainable Development has a general approach due to its global, interdisciplinary, and intersectoral character, therefore, it mainly promotes the roles of participatory heritage practices indirectly. Particularly, it advocates for the respect of human rights (R1) (UN, 2015b, pt. art.8, 10, 19), a participatory and inclusive sustainable urban management, planning, and decision-making processes (D2, D3) (UN, 2015b, sec. target 11.3, 5.5, 16.16), for equal opportunities, access to resources (E1) (UN, 2015b, sec. target 5.5, 4.7, 17.17) and capacity building initiatives (E1) (UN, 2015b, sec. target 11.3, 17.16), which together contribute to strengthening efforts to safeguard and protect the heritage of the world (D1) (UN, 2015b, sec. target 11.4). Despite these indirect references and the “softness” of agendas as documents’ typology, the 2030 Agenda emerges as an influential document for the integration and development of participatory heritage practices in international regulatory frameworks, which is referenced both directly (ICOM, 2019; ICOMOS, 2017a; UN HABITAT III, 2016; UNESCO, 2015) and indirectly through second degrees connections (UNESCO, 2016b, 2018b) by many post-2015 documents.

Only very few documents (3 out of 29) address all subcategories of the roles of participation (COE, 2005a, 2017; UNESCO, 2018a). The low number is mainly caused by the few mentions of participatory heritage practices as a democratic right (6 documents out of 29). In this

concern, it can be observed that two of these three documents were issued by the Council of Europe, which strongly advocates for participatory heritage governance and management that are respectful of human rights, and for a more participatory democracy and democratic heritage processes (COE, 2005a, sec. art.4.c, 2017, sec. prologue, VI.I, S1, S5), in line with its mission and objectives (COE, 2005b). Beyond their focus on democracy, both the 2005 Framework Convention on the Value of Cultural Heritage for Society and the 2017 European Cultural Heritage Strategy for the 21st century extensively advocate for all roles and subcategories of participatory heritage practices. However, while the former remains an influential document that is still signed and ratified by member States, and referenced also by other institutions after 2015 (COE, 2017; ICOMOS, 2017a), the latter maintains a regional relevance. Nevertheless, the fact that it is referenced in academic literature (which was one of the selection inclusion criteria for this analysis in the first place) already shows its influence on research and practices. The same applies for the more recent 2019 Operational Directives for the implementation of the convention for the safeguarding of the intangible cultural heritage, which leverages the strength of the 2003 convention and its ratification processes to integrate sustainable development objectives and all roles of participatory heritage practices as a right (UNESCO, 2018a, sec. art.81, 101.d, 104, 178.b, 186.b.i, 197.b), as a driver (UNESCO, 2018a, sec. art.79, 80.a.b.c, 88, 90, 91, 101.b, 107.f, 109.e, 152, 157, 170, 171.a.d, 177, 178.a, 179.a.b, 180.b.c, 181.a.e, 182.a, 184, 185.a, 186.a, 189.a, 191.a.c.ii, 193, 194, 197.c), and as an enabler (UNESCO, 2018a, sec. art.67, 107, 173.b, 178.c, 179.b, 180.b.d, 185.b.i, 186.b.i, 189.c) into national policies and local practices.

The most referenced document of all is the 1972 UNESCO World Heritage Convention (12 references). It plays an important part in the advancement of the integration of participatory heritage practices through the 2015 Policy on the Integration of a Sustainable Development Perspective into Processes of the World Heritage Convention, which was issued to align all World Heritage processes to the post-2015 UN Sustainable Development agenda, influencing future revision of the World Heritage Operational Guidelines (Labadi & Logan, 2016; Larsen & Logan, 2018; UNESCO, 2015, sec. art.7.ii, 9, 11, 17, 20.iii.iv, 21, 22.iv, 23.iv, 25.iii, 26.ii, 33.ii.iii,29, 2019b, sec. art.12, 15.g, 26.5, 31.a.b.d.e, 38, 40, 56, 64, 73, 108, 111.e.g, 117,119, 123, 211.b.d, 214bis, 217, 218). The 2015 UNESCO Policy document leverages the strength of the WH Convention and figures as another influencing document that is further referenced within and outside the organization (ICOMOS, 2017a; UNESCO, 2016b, 2018b).

The second most referenced document is the 1948 UN Declaration of Human Rights (6 references. Whenever participation is acknowledged as a right, it is addressed as the *right to access, understand, choose, use, and perform culture and heritage* (16 out of 18), which strongly echoes article 27.1 of the Declaration of Human Rights: "*everyone has the right freely to participate in the cultural life of the community, to enjoy the arts and to share in scientific advancement and its benefits*" (UN, 1948, sec. art. 27.1). The majority of the

documents addressing this first subcategory of participation as a right either references the UN 1948 Declaration directly (COE, 2005a; ICOMOS, 2017a; IUCN, 2019a; UNESCO, 2005a) or indirectly (COE, 2017; ICOM, 2019; UN HABITAT III, 2016; UNESCO, 2015, 2018a, 2019b), by mentioning documents which in their turn reference it (COE, 2005a; UN, 2015a; UNESCO, 2018a). Whenever there is no first or second-degree connection to the UN 1948 Declaration, the 1945 Charter of the UN is referenced, especially by those documents addressing the cultural rights of Indigenous people (IUCN, 2019b; UN, 2007), possibly in relation to its article 1.2 on the "*[…] respect for the principle of equal rights and self-determination of peoples, […]*" (UN, 1945, sec. art. 1.2). This trend stresses how the United Nations emerges as one of the main reference institutions for the promotion of the role of participatory heritage practices as a right and, specifically, as the *right to access, understand, choose, use, and perform culture and heritage.*

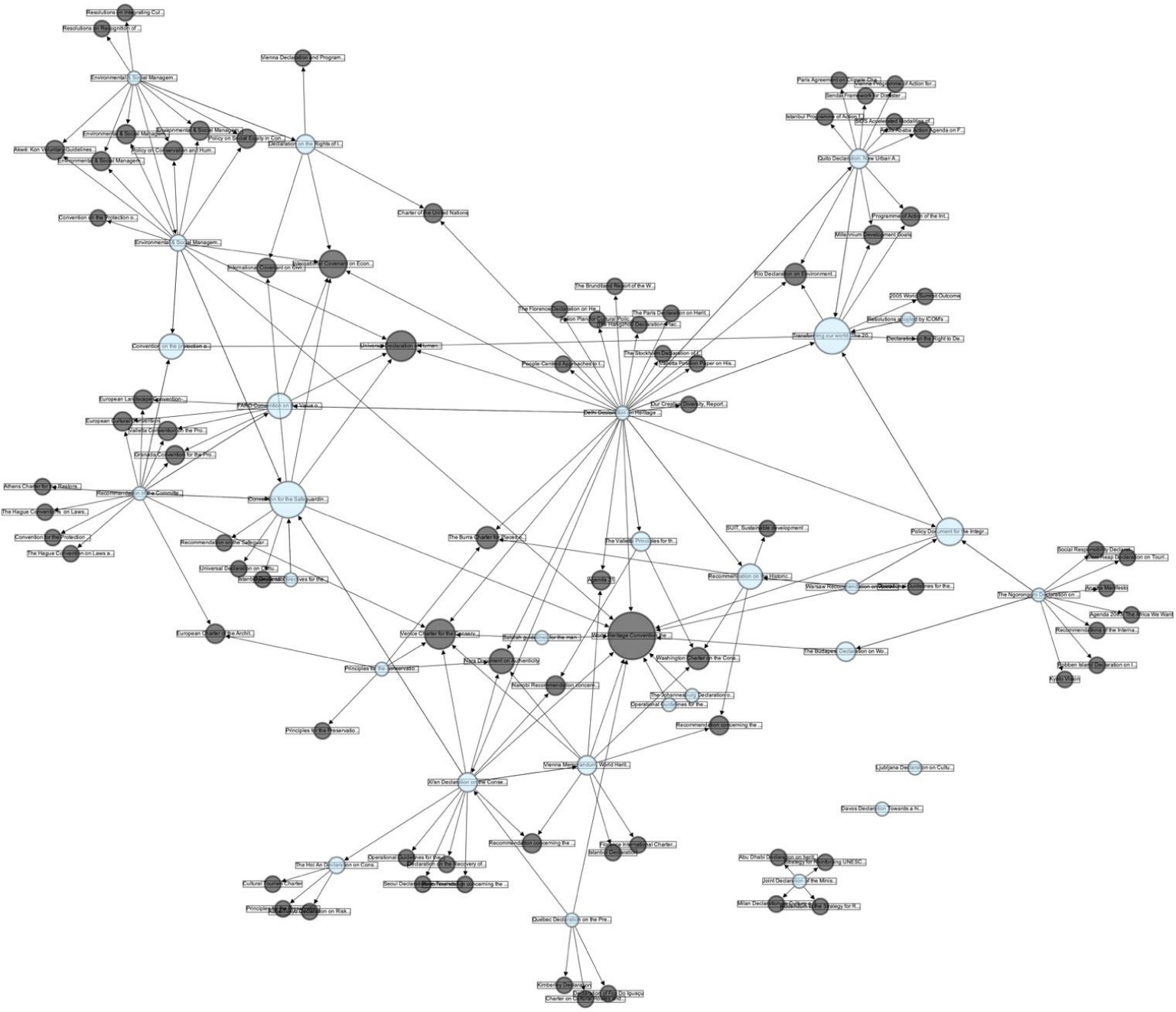

Figure 2.1: Network of the system of references of the analyzed international heritage regulatory documents

2.5 Conclusions

This chapter has provided a further exploration of the complexity of participatory heritage practices in relation to sustainable development by integrating the perspective of international heritage organization through the systematic review and content analysis of

regulatory documents. Results showed a correspondence between the roles of participation emerged from the review of academic literature and international regulations, validating the preliminary system of the different contributions of participatory heritage practices to sustainable development drafted in the previous chapter (see chapter 1). Participation is currently regulated as a right, as a driver, and as an enabler of sustainable development, often stressing the importance of ensuring a broad, active, and timely participation in heritage processes, providing the space for communities, groups, and individuals to participate, and supporting the development of relevant skills. Furthermore, many documents underling the need to adopt appropriate regulations and secure the necessary resources for the effective integration of participation in heritage management and planning.

Overall, participatory heritage practices are mainly promoted as a driver of multiple sustainable development objectives, particularly, of sustainable and effective heritage strategies, governance, and management, and of conservation, preservation, and safeguarding of natural and cultural heritage. Some organizations and documents emerge as most influential in the promotion of participation in general and of specific roles and subcategories. For example, the United Nations, through the 1948 Declaration of Human Rights, leads the advocacy of participatory heritage practices as a right, while the Council of Europe is the main promotor of participation as an expression of democratic values and governance; while UNESCO actively fosters the integration of sustainability objectives and participatory practices in (World) heritage processes, under the influence of the UN 2030 Agenda, through its 2015 Policy Document on Sustainable Development. These trends are in line with the sustainability and participatory turns that steered the latest developments of international heritage regulations and furthered the knowledge of the different roles played by participatory heritage practices in addressing sustainable development.

The pool of documents included most of the relevant documents issued on the topic of heritage and participation, with few notable omissions, such as the 2004 UCLG Agenda 21 and 2020 Roma Charter, the 2007 Fribourg Declaration on Cultural Rights, the UNESCO 2011 Paris Declaration on Heritage as a Driver of Development, and the 2013 Hangzhou Declaration: Placing Culture at the Heart of Sustainable Development Policies. As the first inclusion criterion required for the regulatory documents to be mentioned in the most recent academic literature, further research could explore more sources and investigate how other mentioned regulations acknowledge and promote the roles of participatory heritage practices.

A draft system of the contributions of participatory heritage practices to sustainable development has emerged in literature (see chapter 1) and has been validated in the analysis of regulatory documents in this chapter. The next chapter takes the distance from the different perspectives offered by the analyzed sources and further models such a system from a more abstract stance.

Chapter 3 Heritage and Sustainability: Modeling Participation

This is a transition chapter between part one and part two of the thesis. It elaborates on the data collected through the systematic review of literature (chapter 1) and international heritage regulatory documents (chapter 2) and builds up the discourse that guides the modeling of the roles of participatory heritage practices and their determining factors. It represents the second step of the Soft System Methodology adopted to structure the thesis, and as such it results into a shorter but key contribution to the advancement of this research.

3.1 Interconnected social problems

Participatory heritage practices have been introduced in the introduction as a wicked problem that is complex, as defined by multiple definitions and affected by interrelated challenges, disciplines, and dynamics, and conflicting, as subject to the different perspectives of multiple stakeholders (Vandenbroeck, 2012, p. 9). In turn, sustainable development has also been widely considered as a wicked, highly contested, political problem to work with, which is subject to multiple definitions, interpretations, and prioritizations (Pryshlakivsky & Searcy, 2013; Williams, 2006). A particular research strand considers it as a social problem that is characterized by dynamic and interdependent factors that blur their cause-effect relations; by diffused human, financial, regulatory, and technological resources that need to be negotiated with multiple stakeholders and incrementally allocated with a long-term and systematic perspective; and eventually by a mutable and undefined authority to guide and coordinate the process of intervention (Landorf, 2009, p. 496; Mccann, 1983, p. 177; Selsky & Parker, 2005). Two factors have been identified as fundamental in tackling sustainable development as a social problem: strategic planning that is holistic and long-term, and multi-stakeholders' empowerment and participation. On the one hand, holistic and long-term planning can entail the definition of the problem, the identification of the stakeholders and necessary resources, and the consideration of both the impact and collateral implications of the chosen interventions. On the other hand, stakeholders' participation can contribute to retrieving the necessary resources, their collaboration could provide for the necessary structure to coordinate interventions, while their empowerment could strengthen the commitment to a mutually agreed desired change (Landorf, 2009, p. 496).

By stressing their intrinsic social nature, participatory heritage practices can also be regarded as a social problem. As observed in previous chapters, their multiple and mutable practices, socio-economic, and environmental contexts, and political and regulatory frameworks might deem difficult the identification of clear cause-effect mechanisms that lead to their different outcomes (Bertacchini, Bravo, Marrelli, & Santagata, 2012, p. 1). Moreover, their sustained implementation requires a great combination of diffused financial, human, technological, and regulatory resources that indeed need to be negotiated with all the interdisciplinary and intersectoral stakeholders involved at multiple scales (Chami, 2018; Della Lucia & Franch, 2015; Dragouni, Fouseki, & Georgantzis, 2018; Halim, Liu, Yussof, & Sian, 2011; Loulanskia & Loulanski, 2011; Paskaleva-Shapira, Azoŕin, & Chiabai, 2008; Pino, 2018). Eventually, much research has investigated the authority structures that initiate and shape participatory heritage practices, revealing trends and changes in such structures and related power dynamics (Clark, 2019; Dragouni et al., 2018; Paddison & Biggins, 2017; Sande, 2015; Smith, 2006; Zhong & Leung, 2019). Furthermore, long-term and integrated planning and stakeholders' empowerment correspond to the factors that determine the sustained transformation of sustainability-oriented participatory heritage practices, as identified through the systematic review of the literature and regulatory documents in chapters 1 and 2. On the one hand, integrated and long-term planning can better structure the understanding of the context in which participatory practices take place, informing the adoption of adequate regulations, and the identification and allocation of the necessary human, technological, and financial resources, in the attempt to shape and control their dynamics (quality) and impact (see chapter 1). On the other hand, the empowerment of multiple stakeholders through education and capacity building/strengthening activities, and the provision of inclusive participation opportunities, could support the transformation of the authorized heritage discourse towards more co-creative processes, offering an inclusive structure for the coordination of participatory heritage practices and opportunities for the joint disposition of the necessary resources, in terms of regulation, funding, people, and technologies.

In the perspective of social problems, the participation of empowered stakeholders is therefore presented as a necessary condition of the path towards sustainability; at the same time, participation in heritage practices can also be considered as a social challenge itself, as well as a factor – at certain conditions – in its sustained transformation and implementation that contributes to sustainable development objectives. The high quality of participation and the setting in place of sustained transformation factors have been identified in previous chapters as the key conditions determining the impact of participatory heritage practices on sustainable development; how can this contribution and its determining factors' dynamics be modeled?

3.2 Participatory heritage practices as a wicked social system

Both in the broader case of wicked problems, and more specifically in the case of social problems, a problem-solving process is required to (1) include a deeper understanding of the challenging situation, (2) collaboratively set strategies and structure interventions, (3) implement, (4) monitor, and evaluate outcomes (Landorf, 2009, p. 503; Mccann, 1983, pp. 178, 179; Vandenbroeck, 2012, p. 15). In the context of this research, a soft-system approach has been chosen to guide this process (see introduction) (Hindle, 2012). It puts emphasis on the understanding and conceptualization of the problematic situation by first (1) mapping the real complexity of participatory heritage practices in literature (see chapter 1) and in international regulatory documents (see chapter 2), then (2) building an ideal model of their system, (3) comparing this model with current practices, and eventually (4) defining actions to improve their implementation and (5) monitoring and evaluating their outcomes and impact against sustainable development objectives for their iterative improvement (Checkland & Poulter, 2010, p. 235).

In this perspective, participatory heritage practices can be regarded as a system. As such, they manifest specific *emergent properties*, which are the set of actors and logical activities (the participatory practices), their dynamics of influence (the affecting factors), and their purposefulness (their outcomes and impact) that can be monitored against agreed standards (Checkland & Poulter, 2010, p. 202). Moreover, a system – as a wicked problem – is boundless and is connected to other sub- or over-systems in a layered network structure (Kennedy, Kapitan, Bajaj, Bakonyi, & Sands, 2017, p. 8). Therefore, the system taken in analysis can contain sub-systems or can be seen as a sub-system of a broader system by another observer (Checkland & Poulter, 2010; Hargreaves & Podems, 2012). This is important to acknowledge given that participatory practices are usually regarded as a sub-system of heritage management, particularly in the context of its relationship with sustainable development, and can be strongly affected by social, economic, cultural, political, and environmental dynamics that represent systems in themselves. This can be observed when analysing the frameworks currently used to monitor and assess signs of progress on the implementation of international heritage regulation.

A small group of the international heritage regulatory documents analyzed in chapter 2 (6 out of 29) has a defined assessment and monitoring framework process (see table 1) (COE, 2005, 2017a; UN, 2015; UN HABITAT III, 2016; UNESCO, 2003, 2005). They are:

- Convention for the Safeguarding of the Intangible Cultural Heritage / Operational Directives for the implementation of the convention for the safeguarding of the intangible cultural heritage (UNESCO, 2003) – Overall Results Framework for the Convention for the Safeguarding of the Intangible Cultural Heritage (UNESCO, 2018b);

- Recommendation of the Committee of Ministers to member States on the European Cultural Heritage Strategy for the 21st century – Leopold matrix of interfaces and the input-output matrix (COE, 2017a);
- Quito Declaration. New Urban Agenda (UN HABITAT III, 2016) – Action Framework for Implementation of the New Urban Agenda (UN Habitat, 2017);
- Transforming our world. The 2030 Agenda for Sustainable Development – Sustainable Development Goals targets and indicators (UN, 2015);
- Framework Convention on the Value of Cultural Heritage for Society (COE, 2005) – The Faro Convention Self-Assessment / Baseline Measure (COE, 2017b);
- Convention on the protection and promotion of the diversity of cultural expressions (UNESCO, 2005) – Monitoring Framework of the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions (UNESCO, 2018a).

They have different focuses, ranging from the conservation and management of intangible heritage, cultural diversity, heritage value for society, and sustainable urban development, but they all include participation in various forms, acknowledging the different roles of participatory heritage practices in addressing sustainable development (see table 3.1).

Policy document	Organization	Year	Document type	Assessment / Monitoring Framework	SDGs	**R1** Participation as the right to access, visit, understand, use and perform cultural heritage	**R2** Participation as the right to participate in decision-making on/benefit from management of heritage as a common good	**R3** Participation as the democratic right to participate	**D1** Participation as a driver of conservation, preservation and safeguarding of natural and cultural resources	**D2** Participation as a driver of resilient, liveable, smart, and sustainable living environment	**D3** Participation as a driver of sustainable heritage strategies, governance, and management	**D4** Participation a driver of sustainable development of local communities	**D5** Participation as a driver of peace building, conflict resolution, mutual understanding of cultural diversity, and tolerance	**E1** Participation as an enabler of the sustainained transformation towards sustainability-oriented participatory heritage	Number of addressed roles	Number of addressed subcategories	Logical model
Convention for the Safeguarding of the Intangible Cultural Heritage / Operational Directives for the implementation of the convention for the safeguarding of the intangible cultural heritage	UNESCO	2003 - 2018	Convention - Operational Directives	Overall Results Framework for the Convention for the Safeguarding of the Intangible Cultural Heritage	All 17 SDGs	art.13, 14, 17	art.13, 14, 17		art.1, 4, 5, 6, 8, 13, 17, 18, 21, 24, 26		art.8, 9, 11, 13, 16, 18, 19, 22, 23, 25	art.15, 16	art.5, 15, 16, 18, 19	art.2, 3, 4, 5, 6, 13, 16, 18, 19, 22, 26	3	7	x
Recommendation of the Committee of Ministers to member States on the European Cultural Heritage Strategy for the 21st century	COE	2017	Recommendation	European Cultural Heritage Strategy for the 21st century – Leopold matrix of interfaces and in input-output matrix	SDG 1, 4, 5, 8, 9, 1, 12, 13, 17	S2	S1		S7, S8, S9, S10, K2, K4				S4	S5, S6, D3, K1, K2, K5, K8, K10	3	5	x
Quito Declaration. New Urban Agenda	UN HABITAT	2016	Declaration - Agenda	Action Framework for Implementation of the New Urban Agenda	All 17 SDGs	art.1.2				art.4.1, 5.6	art.1.3, 3.1, 5.6			art.1.2, 1.3, 4.1, 5.6	3	4	
Transforming our world. The 2030 Agenda for Sustainable Development	UN	2015	Agenda	Sustainable Development Goals targets and indicators	-	art.8, 10, 19			target 11.4	target 11.3	target 5.5, 11.3, 16.7			target 4.7, 11.3, 17.9, 17.16, 17.17	3	5	
Framework Convention on the Value of Cultural Heritage for Society (Faro Convention)	COE	2005	Convention	The Faro Convention Self-Assessment / Baseline Measure	SDG 4, 5, 8, 9, 10, 11, 12, 13, 15, 16	What 3	The principles 3	The principles 3, What 2, 4	How 1, What 1		How 2	The principles 2	The principles 2	How 4			x
Convention on the protection and promotion of the diversity of cultural expressions	UNESCO	2005	Convention	Monitoring Framework of the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions	SDG 4, 5, 8, 10, 16, 17	Digital environment 2, Artistic freedom 1	Artistic freedom 2				Partnering with civil society 2			Digital environment 2; Partnering with civil society 1, 2; National sustainable development policies and plans 2; International cooperation for sustainable development 1, 2; Gneder equality 1, 2;	3	4	x

Table 3.1: Assessment frameworks' content analysis of the addressed, promoted, and measured roles of participatory heritage practices in addressing sustainable development, and their link with the SDGs

The majority of these assessment and monitoring tools (4 out of 6) are result-based frameworks and interaction matrixes (COE, 2017b, 2017a; UNESCO, 2018a, 2018b), which are classifiable as logical models. Logical models are approaches that can be used to present a problematic situation that needs to be addressed and to support the above-mentioned problem-solving process (Vandenbroeck, 2012, p. 11). They offer a way to organize information, visualize relations, and display a thinking process with different degrees of complexity and detail (Frechtling, 2015, p. 299; Funnell & Rogers, 2011, pp. 69–91; Knowlton & Phillips, 2013, pp. 39, 46). They include a flexible number of building blocks, which – with variations – can be *context*, *inputs*, *activities*, *outputs*, *outcomes*, *impacts*, and the connections between them. The *context* is the present and historical environment in which the problematic situation occurs and change happens; *inputs* are the different kinds of resources that are allocated to implement practices; *activities* are the core actions that are carried out by different stakeholders; *outputs* are the results of the activities; *outcomes* are the medium-term changes brought by the results of the activities, to be measured against the set objectives of the initiative; and finally, *impacts* are the broader long-term changes within and beyond the scope of the initiative (see figure 3.1) (Frechtling, 2015, p. 300; Funnell & Rogers, 2011, p. 87; Savaya & Waysman, 2005, pp. 87–88).

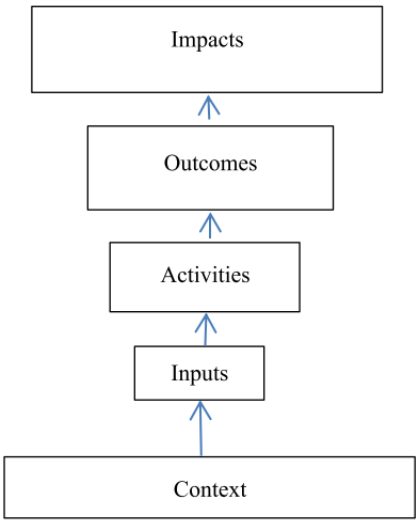

Figure 3.1: Vertical linear logic model (Frechtling, 2015, p. 302)

A basic logic model can be further developed into more complex models, such as a Theory of Change, a Theory of Action, and a Program Theory, using tools like the result-based framework and the logframe among others, for strategy-making, planning, implementation, monitoring, and evaluation, in multiple fields (Baxter et al., 2014; Brown et al., 2022; Cummings, 1997; Frechtling, 2015, p. 299; Funnell & Rogers, 2011; Hargreaves & Podems, 2012; Jordan, 2010; Knowlton & Phillips, 2013). For example, a research strand explores the use of logic models in support of different stages of systematic literature reviews (Kneale, Thomas, & Harris, 2015), such as in the synthesis of the results and in their communication (Baxter et al., 2014).

In the context of this research, a logical model can be used to further develop the organization and visualization of the results that emerged from the systematic review of the literature and international heritage regulatory documents in chapters 1 and 2, and support the modeling of participatory heritage practices (Knowlton & Phillips, 2013, p. 39), understood as wicked and social problems, as part of the modeling phase of the Soft System Methodology (SSM) adopted to structure this thesis (see introduction). As previously mentioned, the use of such models is various, and their adoption when dealing with complex and conflicting problematic situations has been criticized as a risky process of simplification, which requires flexibility and a careful assessment of the context and nature of the situation to adequately adapt their structure to their characteristics (Funnell & Rogers, 2011, pp. 69–91; Hargreaves & Podems, 2012, p. 467). However, being the modeling step of the SSM a simplification process that allows to make an ideal model of the complexity of a system (Checkland & Poulter, 2010, p. 235; Hindle, 2012, p. 3; Vandenbroeck, 2012, p. 24), a linear logic model is used in the following section to visualize an accommodation of different perspective on the elements and dynamics that constitute the system of the roles of participatory heritage practices in addressing sustainable development.

3.3 A logical model of the roles of participation

A set of draft elements of the system of the roles of participation emerged from the systematic review of literature, suggesting the importance of the quality of participatory heritage practices, as defined by their inclusiveness, form, and timing of participation, and of factors determining their sustained transformation towards sustainability-oriented practices, such as the empowerment of multiple stakeholders through education, capacity -building and -strengthening activities, and opportunities for participation, as well as the adoption of integrated long-term planning, ensuring the necessary resources and supported by adequate regulations (see chapter 1). From this starting point, the acknowledgement of participatory heritage practices as a wicked and social problem functioning as a system deems necessary to model the ideal relationship between these elements and the dynamics that connect them. To do so, a linear vertical logic model is used to build the model (see figure 3.2) (Frechtling, 2015, p. 302).

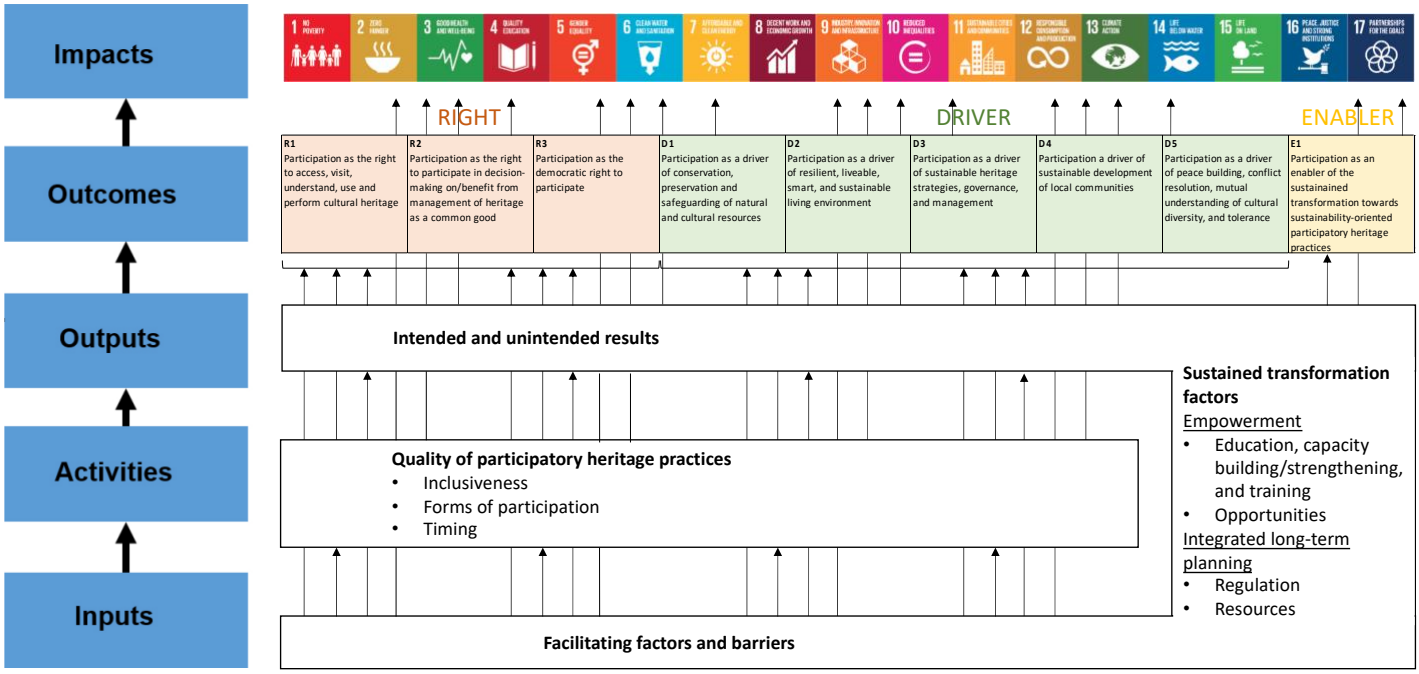

Figure 3.2: Vertical linear logic model of participation in, for, as sustainable development

Moving from the bottom up, the inputs or resources represent all the factors that facilitate or create barriers to the implementation of participatory heritage practices in an urban context. Those inputs are considered, on the one hand, to offer – or not – the necessary preconditions for participation to be acknowledged as a right (R1, R2, R3), and on the other hand, to affect the activities that are carried out. In this case, the activities are represented by the participatory heritage practices and their quality, which in turn can directly contribute to the fulfilment of the roles of participation as a right (R1, R2, R3), through the enforcement of such right in practice, and as a driver (D1, D2, D3, D4, D5), by contributing to multiple sustainability objectives. On the other hand, the different quality of participatory practices can determine the achievement of intended or less intended results, which can themselves differently contribute to the fulfilment of the roles of participation as a right (R1, R2, R3) and as a driver of sustainable development (D1, D2, D3, D4, D5). The sustained transformation factors can manifest across these three first blocks of the logic model, whether they are set in place as inputs to the implementation of the practices, or represent the participatory activity carried out, or are a result of participatory heritage practices. In any case, they are believed to create the necessary conditions for participation to fulfil its role as an enabler of a sustained transformation towards sustainability-oriented participatory heritage practices (E1). Finally, the characteristics of each specific block of the model and the relation among them can determine the nature of their contribution to the Sustainable Development Goals (SDGs).

The SDGs are chosen as a framework to represent sustainable development in the model due to the fact that the 2030 Agenda is the common set of objectives adopted by 193 countries worldwide (UN, 2015; United Nations. Department of Economic and Social Affairs, n.d.), to the extensive research and work done by international heritage organizations and institutions to explore the relation between heritage practices and the SDGs (Agenda21culture, n.d.; BritishCouncil, 2020; IUCN, 2017; Labadi, Giliberto, Rosetti, Shetabi, & Yildirim, 2021;

"PANORAMA solutions for an healthy planet," n.d.; UNESCO, 2017, 2019), and to the references made to them by that all the previously mentioned assessment frameworks used to monitor progresses on the implementation of international heritage regulatory documents (see table 3.1) (Steering Commeettee for Culture Heritage and Landscape (CDCPP), 2020; UN Habitat, 2017; Unesco, n.d.; UNESCO, 2018a).

3.4 Discussing the model in World Heritage Cities

The research underlining the first two chapters and the conceptualization of participatory heritage practices as a wicked and social system have set the basis for the modelling of the roles of participation and their contribution to sustainable development. As part of the SSM's learning cycle, the following step consists of confronting and discussing elements of this model and their dynamics of interaction with practices in the real world to improve the model, identify the wished changes, and accordingly find pathways of actions to work towards the improvement of the current situation. Nevertheless, usually a SSM is adopted for a specific real-life situation and produces as a result of the first two steps a 'purposeful activity model' that is complete of a situation analysis and a draft of ideal interventions to improve the problematic situation, which then is discussed, improved, and approved by multiple stakeholders (Checkland & Poulter, 2010, pp. 218–225). However, in the context of this research, the level of abstraction is higher and aims to create a model that can inspire the development of purposeful activity models in cities worldwide. For this reason, the following chapters will discuss the model of the system of the roles of participatory heritage practices in, for, as sustainable development by first comparing elements of this model with current practices in World Heritage Cities to understand how they can be investigated in a multitude of diverse real-life situations (see chapter 4 and 5), and then comparing their modeled dynamics within a case study in the city of Antwerp, in Belgium, to explore more in detail how a specific environment affects the relationships among these elements and their impact on sustainable development.

To do that, a few questions can be developed to guide the discussion when confronting the model with current practices (Checkland & Poulter, 2010, pp. 225–229). The starting point question is 'how can each element of the model and their relation be investigated?'. From there, more specific questions can be developed in relation to each element (see figure 3.3), which are:

- What are the opportunities and challenges for the implementation of participatory heritage practices?
- Who participates, how, when, and in what activities along the heritage management processes?
- What are the opportunities and challenges that result from participatory heritage practices?
- Are empowerment factors (education, capacity building/strengthening, training, and opportunities for participation) and integrated long-term planning factors (regulation, resources) mentioned among the opportunities and challenges of participatory heritage practices?

- What is the relation between opportunities and challenges of participatory heritage practices and their activities, and how do they and their relationships affect their outcomes and impact?

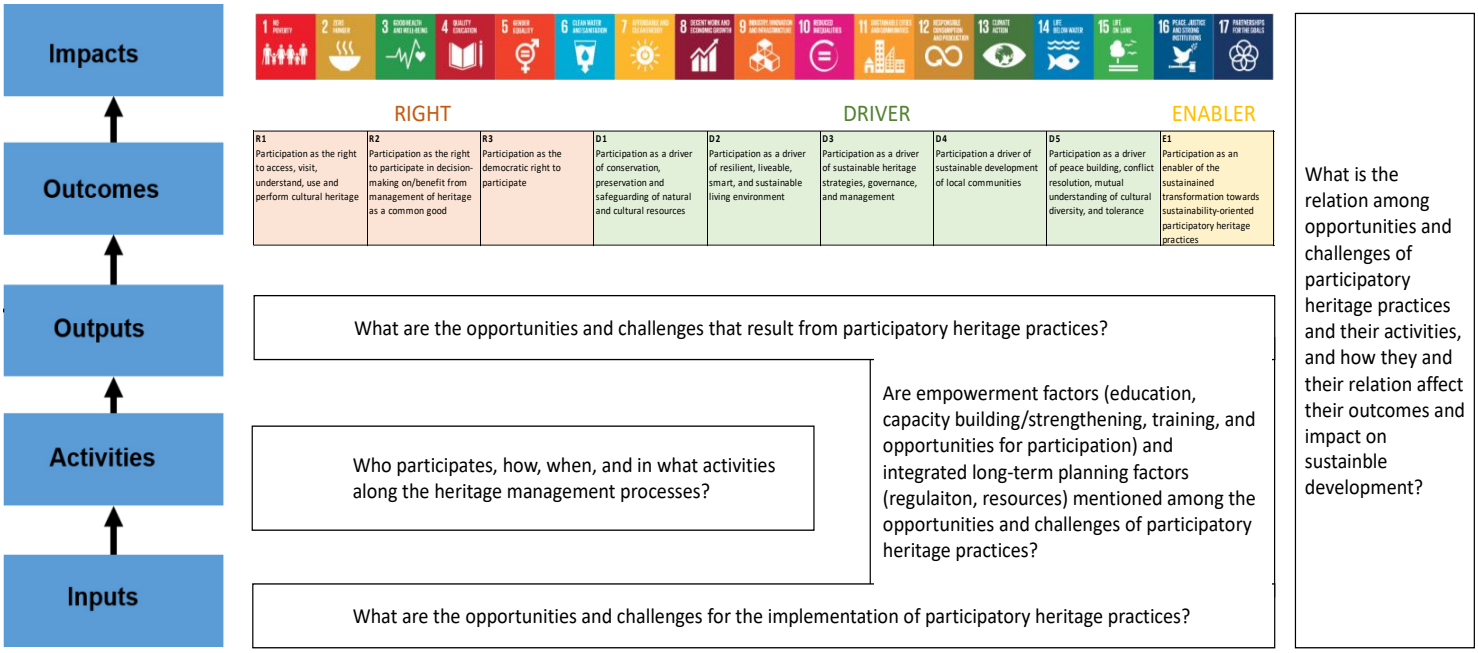

Figure 3.3: Questions developed to guide the discussion of the elements and dynamics of the model of the roles of participatory heritage practices

In the following chapters these questions are divided, clustered, and further developed as follows (see table 3.2). In chapter 4, current participatory heritage practices in World Heritage cities worldwide are explored using an international survey that investigate which stakeholders participate, how, in which activities, and at what step of heritage management processes, which will be available for stakeholders in the Organization of World Heritage Cities (OWHC) network. Chapter 5 explores both the opportunities and challenges for and of participatory heritage practices in World Heritage cities through a SWOT analysis workshop held with WH cities' representatives who attended the XIV OWHC World Congress, also investigating whether and how empowerment and integrated long-term planning factors are mentioned. Lastly, chapter 6 explores the relation among opportunities and challenges for and of participation and participatory heritage practices themselves in Antwerp, and how they and their relationships affect their role in addressing sustainable development and their impact within the context of the Stuivenberg Program, which deals with several heritage projects that support the redevelopment of an area as part of the relocation of a historic hospital. This is done through a one-year observation of the work of the city officer who coordinates the development and implementation of the Stuivenberg Program, and a multiple-exercises workshop with her, which replicates the investigation of the international survey on current participatory heritage practices, the SWOT analysis exercise, and moves one step further in the attempt to identify relations among these factors, practices, roles, and impact.

Questions developed from the model	Research questions
Who participates, how, when, and in what activities along the heritage management processes?	What are current participatory heritage practices in WHC?
What are the opportunities and challenges for the implementation of participatory heritage practices?	What are the perceived opportunities and challenges of participatory heritage practices in WHC?
What are the opportunities and challenges that result from participatory heritage practices?	
Are empowerment factors (education, capacity building/strengthening, training, and opportunities for participation) and integrated long-term planning factors (regulation, resources) mentioned among the opportunities and challenges of participatory heritage practices?	
What is the relation between opportunities and challenges of participatory heritage practices and their activities, and how do they and their relationships affect their outcomes and impact?	How do participatory heritage practices play a role in the sustainable development of Antwerp?

Table 3.2: Adaptation of the questions developed from the model into research questions

3.5 Conclusions

This transition chapter further elaborates on the framing of participatory heritage practices as both a social wicked problem and as an important approach to solving it. In line with this acknowledgement, a system approach was adopted to tackle this problem and look for solutions, elaborating on the previously selected Soft-System Methodology to conceptualize and model the system of participatory heritage practices and their relation to sustainable development. By using a linear logical model, a simplification of the ideal elements and dynamics of participatory heritage practices is visualized, informing the development of questions that can guide the comparison and discussion of these elements and dynamics with real-life practices.

In the second half of this thesis, a collaboration with the Organization of World Heritage Cities offers the opportunity to explore current participatory heritage practices in cities worldwide, while a collaboration with the City of Antwerp makes possible a more in-depth investigation of practices and dynamics at a local level.

The use of concepts like wicked problems, social problems, and system thinking, haven't been very common in the heritage field and are increasingly being adopted in research in multiple regions; however, it might introduce new logics and perspectives that can be difficult to integrate into the heritage management and governance. This research is an attempt at introducing these concepts in working with World Heritage Cities and aims to reflect on the experienced challenges that come with it.

Chapter 4 Perceived Participatory Heritage Practices in World Heritage Cities

This chapter is based on the following report:

Rosetti, I., Pereira Roders, A. (2018). Organization of World Heritage Cities XIV World Congress "Heritage and communities: tools to engage with local communities". International Survey "Participatory Heritage Practices in World Heritage Cities: unveiling current practices". OWHC Asia-Pacific Regional Secretariat: Gyeongju, South Korea.

4.1 Stakeholders, roles, and responsibilities

Dealing with very complex and conflicting situations, or wicked problems, as in the case of participatory heritage practices and sustainable urban development, a various multitude of stakeholders emerge, and their involvement in different forms has been researched and implemented in different related fields in the past three decades (Jacobs, 2014a, p. 290, 2020a, p. 278). Especially in cities, the relationship between urban development and democratic processes has been tightening as part of the activist movements on the 'right to the city', which adopt and further develop the principles of *urban commons* beyond the concept of state-controlled common goods, towards the idea of citizens' re-appropriation processes of resources owned by the state (Milan, 2021, pp. 2–6). In this perspective, the attention has shifted from the goods to the social dynamics that shape them through the actions of the citizens, as *commoners*, and the notion of community acquires a whole other relevance. It is acknowledged not anymore as a uniform group of people but as a heterogeneous network of actors defined by the quality of their relations, mutual responsibilities, and principles of cooperation (Milan, 2021, p. 6). Similarly, in the context of critical heritage studies, the term *community* has progressively been replaced by the idea of 'communities of practice', composed of different actors working together in systems, towards common goals, such as heritage management and conservation (Adell, Bendix, Bortolotto, & Tauschek, 2017; Ripp & Rodwell, 2016, p. 84), and the use of the formula 'communities, groups, and individuals (CGIs)' (Jacobs, 2020a). This plurality has been embraced by the latest evolution of the discourse on heritage conservation and has become central to the so-called Living Heritage Approach. It promotes the adoption of people-centered approaches to preserve the continuity of the connection between heritage and the communities that shape its values, for respectful management of the changes that naturally characterize our living environment (Court & Wijesuriya, 2015; Jamaludin, Seow, Mat Radzuan, Mohamed, & Abas, 2021; Poulios, 2014; Wijesuriya, Thompson, & Court, 2017). In this perspective, primary 'core' communities determine heritage and hold decision-making power and control over its conservation, managing those changes that keep heritage relevant to their life and development. On the other hand, secondary communities that have an interest in heritage

and its processes, share responsibilities towards heritage management and conservation in support of primary communities, translating and mediating their needs (de Waal, Rosetti, Jinadasa, & de Groot, 2022; Göttler & Ripp, 2017, pp. 18–21).

Laws and policies at different scales regulate heritage conservation standards, management processes, and resources, making governmental agencies key actors in heritage processes (Kohe, 2018; Ripp & Rodwell, 2017; Wang, Liu, Zhou, & Wang, 2019). Governmental bodies are organized at local, national, and regional levels, with place-specific characteristics but also with structural similarities, such as the commonly observed division into thematic offices with different working procedures, objectives, priorities, separated and sometimes competing budgets (Ripp & Rodwell, 2016, p. 84). Despite such divisions, these levels are interconnected, mutually influenced, and defined by complex, mutating, and politically charged power dynamics that affect policies and practices at multiple scales (Harvey, 2015, p. 590). However, scales are not only geographically bounded and comprise diverse sectorial, social, and cultural dynamics defined and affected by a multitude of (f)actors operating in an interconnected network (Jacobs, 2020b, p. 343; Lähdesmäki, Zhu, & Thomas, 2019, pp. 3–7). The management of the complex process of interaction of these (f)actors across the public and private sphere is defined as *governance*, which – in this perspective – requires collaborative and integrated approaches, transcending the traditional divides (Ripp & Rodwell, 2016, p. 83). Heritage governance is usually subject to national regulation, which is influenced by regional and international directives, but it is also often managed at a local level in the attempt to bring the decision-making process as close as possible to the citizens according to the principle of subsidiarity, particularly in a European context (Jacobs, 2020b, p. 343; Rosetti, Cabral, Roders, Jacobs, & Albuquerque, 2022, pp. 2–3). Therefore, a transversal and integrated communication across these scales is needed for an equitable negotiation of priorities and resources among the actors in the network. Furthermore, beyond the geographic and regulatory scales, heritage safeguarding is a highly interdisciplinary field with ramified implications for sustainable urban development that requires interdisciplinary and intersectoral collaborations, integrated planning, and a diversified set of skills that comprise technical expertise but also more 'horizontal' professionals with coordinating and mediating capacities across scales (Ripp & Rodwell, 2016, p. 84).

Among all those stakeholders with different interests and priorities, heritage practitioners are progressively invested in a new key role in negotiating, mediating, and 'translating' the interaction among (f)actors across scales, *brokering* relations and representation (Clark, 2019, p. xx; Jacobs, 2014a, p. 267, 2014b, p. 314; Jacobs, Neyrinck, & Van Der Zeijden, 2014). The shift of responsibility from a traditional expert role to *brokers* in the context of participatory heritage practices is in line with a trend observed in other development-related fields. At the turn of the last century, many questioned the effectiveness, ethics, and power dynamics of participatory development tools and methodologies in international aid projects, riding a wave of ethnographic self-reflectivity that re-contextualized the non-neutral role of development actors, international consultants, specialists, and researchers in different disciplines, such as, for instance, anthropology (Alivizatou, 2022, pp. 15–19; Cooke & Kothari, 2001, pp. 4–8; Hickey & Mohan, 2004, p. 11; Jacobs, 2014b, pp. 314–317). Latest approaches to participation across sectors have attempted to move beyond this self-criticism and address systemic issues of power imbalances. First, they aim to promote the diversification and

adaptation of tools and methodologies to the different scales of intervention, being mindful of their complexity and mutual influence, and of their temporal unfolding, considering historical precedents, potential asynchronous institutional and organizational processes, and political dynamics. Second, they promote the acknowledgement of participatory processes as political actions, extending the field of intervention to the shaping of a more participatory governance that creates the space for citizens' empowerment in exercising their right to take part in public processes, and favours long-term transformative trajectories over one-off purposeful events and projects. Lastly, they further question models of participatory governance, seeking the theoretical and operational advancement of concepts of citizenship, democracy, and representation, exploring alternative pathways to development (Hickey & Mohan, 2004, pp. 9–20). In the past decade, these political and multi-scale relations have increasingly been explored through the lenses of Latour's Actor-Network Theory, integrating the agency of multiple actors and factors in affecting transformative processes (Arnaboldi & Spiller, 2011; Hjemdahl, 2022, p. 299; Jacobs, 2014b, p. 313, 2020b, p. 343). Such perspective further stresses the importance of "intermediary actors or brokers operating at the "interfaces" of different world-views and knowledge systems" to manage the collaboration and combination of different interests, references, and agendas (Mosse and Lewis, 2006, as cited in Jacobs, 2014, p.314), strengthening the parallelism between development and cultural brokers, and further informing new possible directions for heritage practitioners to pursue in the development of democratic heritage governance. However, heritage practitioners comprise a multitude of professionals and specializations, such as planners, architects, designers, ecologists, archaeologists, archivists, historians, conservators, curators, and museologists among others, which differently contribute to heritage processes (Clark, 2019, p. xix), and whose mediation work needs to be trained (Jacobs, 2014a, p. 271).

A great variety of stakeholders emerges from this overview, which have been differently addressed and categorized in research according to disciplines, sector, research context, and political environment (Gravagnuolo & Girard, 2017, p. 195; Österlin, Schlyter, & Stjernquist, 2020, p. 6; Pereira Roders, 2019, p. 43; Ripp, 2021, p. 6; Veldpaus, 2015, p. 74; Wang et al., 2019, p. 7). However, the main overarching distinction that widely applies to multiple contexts is between public and private stakeholders, generally further distinguished into different communities, groups, professionals, and governmental actors.

4.2 Forms of participation

Participation can be various and the interdisciplinary attempt to model its different forms heads back to the 1960s and the commonly referenced Arnstein's "ladder of participation", which introduced a simplified levels-system to differentiate communities' influence in development processes (Baarveld, Smit, & Dewulf, 2017; Dupin-Meynard & Villarroya, 2020; Floridia, 2013; Halim & Ishak, 2017; Halme, Mustonen, Taavitsainen, Thomas, & Weij, 2018; Sarvarzadeh & Abidin, 2012; Ummi Fadlilah, Maulidy Navastara, Karina Pradinie, & Hadi Kusuma, 2016). The rungs include forms of *non-participation*, *degrees of tokenism* and of *citizen's power*, to illustrate the various degrees of participation and better understand current power unbalances, with limitations. In fact, such simplification tends to homogenize powerholders and the have-nots, flattening diversities in capacity, knowledge, values, and

needs of groups and individuals both sides; it doesn't include an analysis of the context and systemic dynamics that might affect processes of participation; and reduces to a limited number of rugs what in reality happens in a myriad of forms (Arnstein, 1969, pp. 217–218; Pretty, Stewart, & Kon, 1995; White, 1996; Wilcox, 1994). More recently, variations of such models have been developed by international and local organizations to guide their planning and evaluation processes (FARO, 2018; IAP2, 2020), and by researchers theorizing participation forms and investigating cases worldwide (Veldpaus, 2015, p. 69, Cabral, Pereira Roders, & Albuquerque, 2021). Despite its limitations, the ladder model has created the basis for the further development of the advocacy for the empowerment of communities and the denouncement of "low" levels of participation, which fuelled the broader discourse on negotiation of ownership, power, politics, and values at the basis of the criticism of the so-called Authorized Heritage Discourse (AHD) (Del Mármol, Siniscalchi, & Estrada, 2016, pp. 341–354; Harrison, 2010; Harrison et al., 2020; Logan & Wijesuriya, 2015; Smith, 2006).

The empowerment of communities, groups, and individuals has become a central topic of investigation and, even though it is subject to different uses and definitions (McWhirter, 1991), it can generally be considered a process that is mainly constituted by two elements: the access to structures and processes of decision-making, and the building and strengthening of the capacities and knowledge necessary to take part in such processes, as well as of the awareness of one's power and right to influence them (Botchway, 2001; Rowlands, 1995). As such, it acquired a central role in the development of models and theories of democracy since the 1970s, and of the discourse on participatory heritage governance (Jelinčić & Mansfeld, 2019; Dragounia, Fouseki, & Georgantzis, 2018; Ripp & Rodwell, 2017; Zhong & Leung, 2019). For instance, theories of participatory democracy advocate for the right of every citizen to take part in governmental decision-making processes, sharing responsibilities towards other peers in society and power with institutions, while holding them accountable and fostering participation (Floridia, 2013; Pateman, 2012; Roberts, 2004). Furthermore, deliberative democracy theories introduce debates as a tool for citizens to discuss, dissent, ask for clarifications, and (ideally but not necessarily) find consensus on solutions, creating a formal structure of dialogue and negotiation on needs, interests, and perspectives, promoting mutual respect, influencing policies, and legitimizing democratic processes (Bohman et al., 2018; Bohman & Rehg, 1997; Floridia, 2013). Despite the development of theories and models that explore the relation between power-sharing and democratic processes, and the identification of pathways of empowerment, the term *empowerment* is increasingly used in the heritage and development fields but at times as an idealized and smoother concept, not always charged "of the important tensions, conflicts, and political strains that it entails" (Rosetti et al., 2022, p. 3).

Empowerment processes are generally associated with active forms of participation (Giglitto, Claisse, Ciolfi, & Lockley, 2019, p. 2; Hribar, Bole, & Pipan, 2015, p. 107; Li, 2021, pp. 36–50; Lynch, 2017, p. 14; Roders & van Oers, 2014, p. 10), which in turn are considered to be key to the implementation of practices that contribute to multiple sustainable development objectives (Zhong & Leung, 2019, pp. 3–4) (see chapter 1 and 2). However, other scholars argue that diverse forms of participation, ranging from more to less active – are functional for different purposes at different steps of heritage processes and complementary in fostering

sustainability-oriented heritage practices (Enongene & Griffin, 2018, p. 60; Rosetti et al., 2022, p. 19; Wilcox, 1994, p. 8).

4.3 Timing of participation

Within different governance systems, participatory heritage practices are embedded into a variety of heritage management processes. Despite this diversity, a common ground in research is often the advocacy for early-stage engagement of multiple stakeholders, particularly communities, and their involvement throughout the process to ensure the consideration of all needs and the sharing of benefits among them (Chami, 2018, pp. 1–2; Loulanskia & Loulanski, 2011, p. 13; Olya, Alipour, & Gavilyan, 2018, p. 1743; Paddison & Biggins, 2017, p. 838; Terzić, Jovičić, & Simeunović-Bajić, 2014, p. 184). These principles can be also found in multiple international heritage regulatory documents (COE, 2017; ICOMOS, 2011; UNESCO, 2005, 2011). Particularly, the UNESCO 2011 Recommendation on the Historic Urban Landscape invites the integration of tools for civic engagement, knowledge and planning, regulation, and financing, from the beginning and throughout the different stages of the heritage management process, modeling such process into six critical steps, ranging from identifying resources, heritage attributes and values, defining their vulnerabilities and strategies to balance change and conservation in an urban context, to prioritizing actions and building the necessary partnerships among stakeholders (Pereira Roders, 2019, p. 40; UNESCO, 2010; Van Oers, 2015, p. 326). HUL embeds these steps and its tools into a circular reiterative learning process that aims to favor a holistic approach to integrating heritage preservation and urban planning for a sustainable – social, cultural, ecological, and economic – urban development (Bandarin & van Oers, 2012, pp. 186–189; Erkan, 2018).

When adopting a sustainability perspective and according to the model developed within the context of this research (see chapter 3), it is argued that for participatory heritage practices to act as a driver and enabler of sustainable urban development, participation needs to be of high quality: inclusive, active, and timely. To discuss this argument and confront elements of the (ideal) model with reality, this chapter focuses on exploring who participates in heritage processes, how, when, and in what activities, by investigating current participatory heritage practices in World Heritage Cities. A one-year partnership with the Organization of World Heritage Cities, and specifically with its Asia-Pacific Regional Secretariat (funding partner), offered the framework for this investigation on occasion of the OWHC 14th World Congress on “Heritage and communities: tools to engage with local communities”, hosted in October 2017 in Gyeongju, in the Republic of South Korea.

4.4 Methodological approach

Data was collected through a semi-structured online survey (Adams, 2015, pp. 492–505), made available on the website of the OWHC 14th World Congress for interested participants, from June 2017 until the end of November 2017, in the three OWHC’s official languages – English, French and Spanish – with available eight extra translations – Arabic, Chinese, Dutch, German, Greek, Italian, Portuguese and Turkish. The expected sample of respondents

includes local governments' representatives and potentially stakeholders involved in urban heritage practices.

The questions were added to a broader survey designed in collaboration with the OWHC General Secretariat to serve multiple purposes in relation to the World Congress. The full survey was divided in three parts respectively named *introduction*, *participatory practices,* and *community engagement*. The *introduction* collected information about the city, the World Heritage property, the profession and the contact email of the respondent; the *participatory practices* section investigates which stakeholders take part in heritage practices, how and when they participate at each step of the heritage management process; the *community engagement* final part asks about past practices, current regulations and objectives, and future perspectives for the engagement of local communities in (World) heritage management. The part of the survey taken in analysis for this research are ten questions from the *introduction* and the *participatory practices* section.

Introduction

1. What's your city?
2. What's your profession?

Participatory practices

3. Who participates in heritage practices in your city?
4. How are these stakeholders engaged in mapping resources?
5. How are these stakeholders engaged in assessing values?
6. How are these stakeholders engaged in assessing vulnerability?
7. How are these stakeholders engaged in defining strategies?
8. How are these stakeholders engaged in prioritizing actions and policy?
9. How are these stakeholders engaged in building partnerships?
10. Give an example of a project or an activity that best represents participatory heritage practices in your city.

Questions 1, 2, and 11 are open, while questions 3 to 9 presented multiple-choice answers for stakeholders' categories, forms of participation, and steps of the management heritage process. Stakeholders are divided into public actors, encompassing politicians, policy makers, and public officers, and private ones, including practitioners, direct users, such as and indirect users. These categories are adapted from previous taxonomy-building research (Veldpaus, 2015, pp. 68–69) and simplified in line with the stakeholders' roles identified in literature and in collaboration with the OWHC General Secretariat to be as relatable as possible to a great variety of cities in their network (Pereira Roders, 2019, p. 46) (see table 4.1).

Main category	Stakeholders	Examples
Public	Politicians	Local, national, and regional
	Policy makers	Who draft tools and plans to mannage resources
	Public officers	Who carries out the implementation of policies through programs and projects
Private	Practitioners	A variety of interdisciplinary professionals working with heritage, such as academics, consultants, technitians, knowledge groups, volunteers, amateurs, etc.
	Direct users	Primary communities, groups, and individuals, e.g. residents, users, etc.
	Indirect users	Other communities, groups, individuals, and stakeholders, e.g. other citizens, tourists, etc.

Table 4.1: Stakeholders' categories

Furthermore, five forms of participation have been selected to summarize the variety of possible practices, ranging from very passive/not informed, passive/informed, and neutral/consulted, to active/enrolled, and very active/decision-making. A five-points scale has been adopted in line with previous and current research adopting a similar approach to measuring degrees of engagement, integrating forms of non-participation (Cabral et al., 2021; Rosetti et al., 2022; Veldpaus, 2015, p. 69) (see table 4.2).

Forms of participation	Description
Very passive / Not informed	Being affected by decisions but not being informed about them.
Passive / Informed	Being affected by decisions and being informed about them without the possibility discuss them.
Neutral / Consulted	Being affected by decisions and being consulted about them without knowing if and how the knowledge provided is used to inform decision-making.
Active / Enrolled	Taking part in defining, carrying out, and evaluating activities via collaborations or partnerships.
Very active / Decision-making	Being empowered and given the platform to take part in decision-making processes.

Table 4.2: Forms of participation

Finally, the HUL six critical steps have been adopted to categorize the stages of the heritage management process: *mapping resources*, human and financial; *assessing values*, to determine which attributes carry those values; *assessing vulnerabilities*, due to climate and socio-economic stresses; *prioritizing actions and policies* for preservation and development; *building partnerships* to enable change (Pereira Roders, 2019, p. 40; UNESCO, 2010; Van Oers, 2015, p. 326) (see table 4.3).

HUL 6 critical steps	Description
Mapping resources	Surveying existing cultural and natural attributes, human and financial resources.
Assessing values	Identifying existing values attributed by multiple communities, groups, and individuals, to determine which attributes carry those values and inform conservation and management strategies.
Assessing vulnerabilities	Understanding which socio-economic and environmental factors and dynamics - e.g. climate change, conflic, etc. - affect those attributes.
Defining strategies	Integrating knowledge on heritage values, attributes, and vulnerabilities into policies as well as urban planning, conservation, and development strategies.
Prioritizing actions	Prioritizing actions for development and conservation
Building partnerships	Building the necessary partnerships and coordination mechanisms among stakeholders for the implementation of policies, strategies, and actions.

Table 4.3: HUL six critical steps

The process of enquiry followed a linear logic from question 1 to 10. Questions 4 to 9 – how are these stakeholders engaged in [HUL steps]? – used pipe answers from questions 3 – who participates in heritage practices in your city? – and presented a matrix of drop-down menus with the forms of participation (see table 4.4).

1. Who participates in heritage practices in your city?	
Politicians	x
Policy makers	
Public officers	x
Practitioners	
Direct users	x
Indirect users	

2. How are these stakeholders engaged in mapping resources?

Steps \ Stakeholders	**Mapping resources**	**Assessing values**	**Assessing vulnerabilities**	**Defining strategies**	**Prioritizing actions**	**Building partnerships**
Politicians	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making
Public officers	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making
Direct users	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making	Very passive / Not informed Passive / Informed Neutral / Consulted Active / Enrolled Very active / Decision-making

Table 4.4: Example of survey's pipe answers and matrix of drop-down menus

Responses are analyzed by first geographically and professionally profiling respondents. Then, results are organized in sections exploring who (stakeholders' categories) is considered to take part in heritage practices in World Heritage Cities, how (forms of participation) and when (HUL steps) those stakeholders participate, and in what sort of projects or activities they are involved, presenting some examples offered by the respondents. Finally, a reflection is made on the perceived *quality* of current participatory heritage practice in World Heritage Cities, discussing their possible implications for sustainable development objectives, based on the examples provided.

4.5 Surveying World Heritage Cities

Two-hundred-twenty-five responses were collected. However, answers to each question were not mandatory per an explicit request of the OWHC General Secretariat and the responses resulted in a fragmented dataset. Eventually, incomplete answers were removed for a complete-case analysis (Briggs, Clark, Wolstenholme, & Clarke, 2003, p. 379), resulting in a set of sixty-three responses from fifty-four cities (see table 4.5), of which fourteen are not part of the OWHC (highlighted in grey below), twenty are not associated with any OWHC Regional Secretariat[26] (RS), and twenty-nine are members of one or multiple RS. Over one third of the responses came from the Europe and North America region[27] (23/63), of which most represented the Regional Secretariat (RS) of Southern Europe and the Mediterranean (9/23) and Northwest Europe and North America (8/23), followed by Eastern and Central Europe (4/23) and the Euro-Asia (2/23); the rest represented other regions such as Latin America and the Caribbean (13/63), Northern Africa and Western Asia (9/63), Eastern and South-Eastern Asia (9/63), Central and Southern Asia (4/63), Sub-Saharan Africa (4/63), and Oceania (1/63). Despite the divide of OWHC's regional organization and administrative structure, it is possible to observe that, following the Europe and North America numerous representations, there is an almost equal representation of cities from Asia and the Pacific, Africa and the Middle-East, and Central and South America, offering an international pool of perspective for this study.

Furthermore, most of the respondents indicated their profession (51 out of 63), better clarifying the perspective offered through their contribution to the survey. It reveals a majority of public officers (23 out of 51) and different practitioners, such as architects, planners, and consultants working for private studios, companies, and organizations (13 out

[26] The OWHC Regional Secretariats are Southern Europe and Mediterrean (SEM), North-West Europe and North America (NWENA), Latin America (LA), Asia-Pacific (AP), Euro-Asia (EA), Eastern and Central Europe (ECE). The indicated acronyms are non-official.

[27] The OWHC adopted regional categories are Sub-Saharan Africa (SSB), Europe and North America (ENA), Central and Southern Asia (CSA), Latin America and the Caribbean (LAC), Eastern and South-Eastern Asia (ESEA), Northern Africa and Western Asia (NAWA), Oceania (O). The indicated acronyms are non-official.

of 51), but also including academics (8 out of 51), and a few site managers (4 out of 51) and mayors (3 out of 51).

CITY	COUNTRY	REGION	REGIONAL SECRETARIAT
Agadez	Niger	SSA	
Angra do Heroísmo	Portugal	ENA	SEM
Angra do Heroísmo	Portugal	ENA	SEM
Anuradhapura	Sri Lanka	CSA	-
Arequipa	Peru	LAC	-
Berlin	Germany	ENA	NWENA
Busan	Republic of Korea	ESEA	
Cartagena	Colombia	LAC	LA
Comunidad de Madrid	Spain	ENA	-
Cuenca	Spain	ENA	SEM
Denpasar	Indonesia	ESEA	AP, EA
Djenné	Mali	SSA	
Dubrovnik	Croatia	ENA	ECE, SEM
Ejmiatsin	Armenia	NAWA	SEM
Erbil	Iraq	NAWA	
Erbil	Iraq	NAWA	
Ghardaia	Algeria	NAWA	-
Gianyar	Indonesia	ESEA	AP, EA
Gjirokastra	Albania	ENA	
Granada	Spain	ENA	SEM
Gyeongju	Republic of Korea	ESEA	AP
Gyeongju	Republic of Korea	ESEA	AP
Gyeongju	Republic of Korea	ESEA	AP
Havana	Cuba	LAC	-
Ho Chi Minh	Vietnam	ESEA	
Istanbul	Turkey	NAWA	-
Kashusha	Democratic Republic of the Congo	SSA	
Kathmandu	Nepal	CSA	-
Kathmandu	Nepal	CSA	-
Kilwa	Tanzania	SSA	
Krakow	Poland	ENA	ECE
La Antigua Guatemala	Guatemala	LAC	
Lalitpur	Nepal	CSA	-
Levuka	Fiji	O	-
Lunenburg	Canada	ENA	-
Marrakesh	Morocco	NAWA	AP
Melaka	Malaysia	ESEA	-

Morelia	**Mexico**	**LAC**	**LA**
Morelia	Mexico	LAC	LA
Mostar	Bosnia and Herzegovina	ENA	SEM
Mudurnu	Turkey	NAWA	
Oaxaca de Juarez	Mexico	LAC	LA
Olinda	Brazil	LAC	
Philadelphia	United States of America	ENA	NWENA
Porto	Portugal	ENA	
Québec	Canada	ENA	NWENA
Québec	Canada	ENA	NWENA
Quedlinburg	Germany	ENA	NWENA
Queretaro	Mexico	LAC	
Regensburg	Germany	ENA	NWENA
San Pedro de Macoris	República Dominicana	LAC	
Seoul	Republic of Korea	ESEA	
Split	Croatia	ENA	ECE, SEM
St. George	Bermuda	LAC	-
Tarragona	Spain	ENA	SEM
Tarragona	Spain	ENA	SEM
Tétouan	Morocco	NAWA	-
Tétouan	Morocco	NAWA	-
Torun	Poland	ENA	-
Valparaíso	Chile	LAC	-
Valparaíso	Chile	LAC	-
Vienna	Austria	ENA	SEM, NWENA, ECE
Vilnius	Lithuania	ENA	ECE, NWENA

Table 4.5: List of cities represented by respondents to the HUL survey

4.5.1 Who?

When asked who generally participates in heritage practices in their city, respondents indicated a balanced representation of public (52%) and private professionals (48%). Public officers emerge as those considered by the most to frequently take part in heritage processes in different regions (45 mentions), followed by private practitioners (40), making professionals, both public and private, appear as the most involved in heritage practices in World Heritage Cities. Politicians are also indicated by half of the respondents as often involved in these processes (35), together with direct users (34), and followed by policymakers (28). Indirect users (24), together with *other* unidentified stakeholders (16),

were the least represented, being mentioned by only a third of the participants in the survey (see figure 4.1).

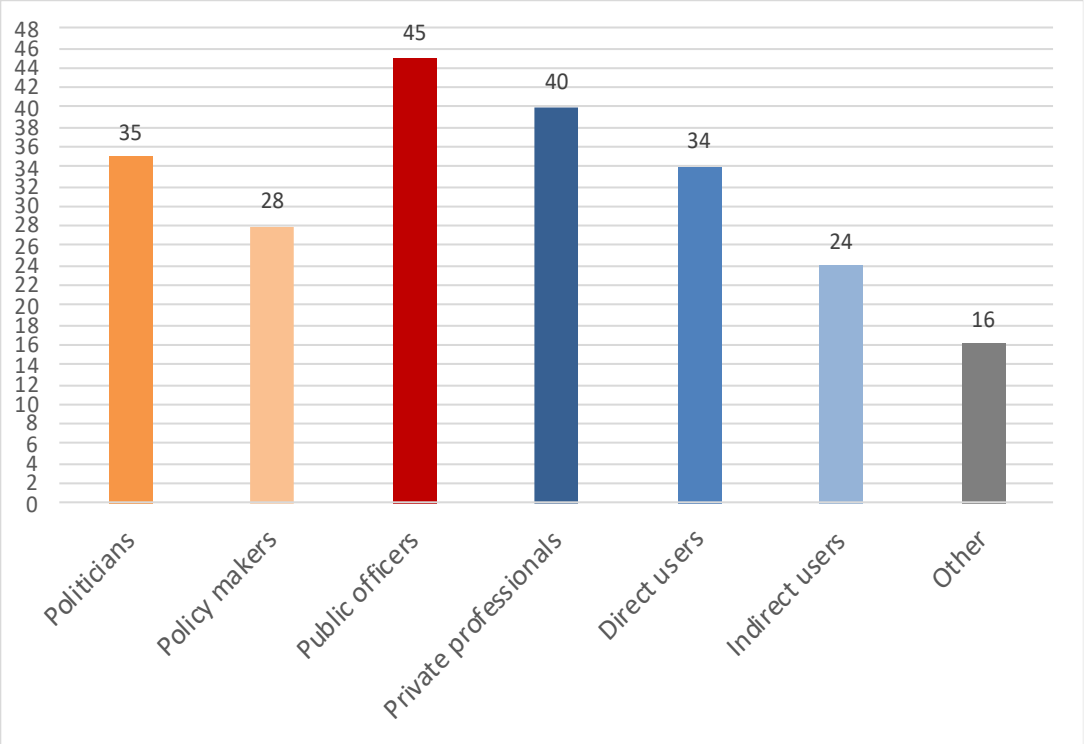

Figure 4.1: Stakeholders participating in heritage practices in World Heritage Cities in the perception of governmental actors

4.5.2 How and when

Looking closer at how these stakeholders participate along with the different steps of the heritage management process, trends emerge in their perceived power relations, roles, and responsibilities (see figure 4.2).

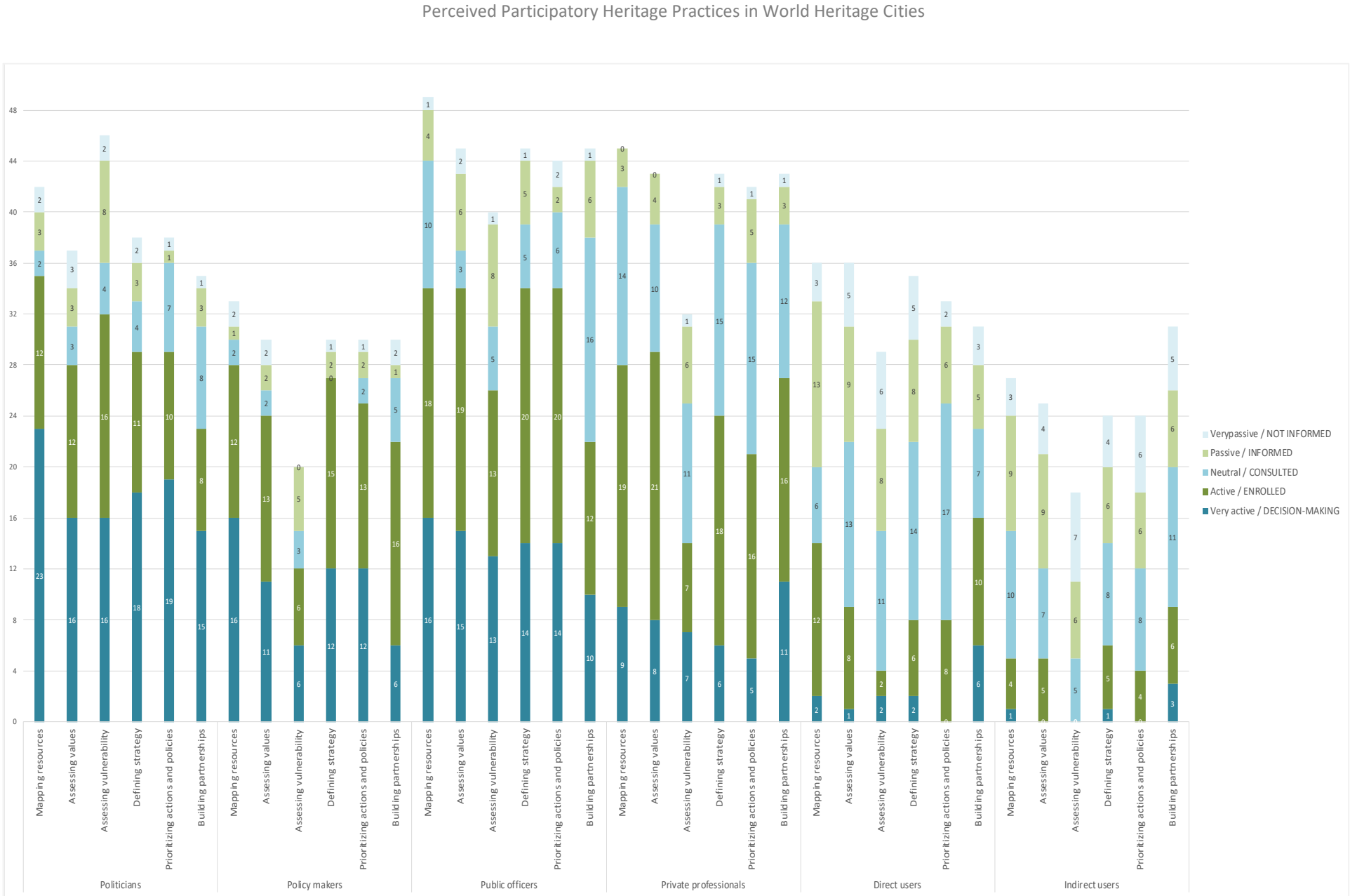

Figure 4.2: Forms of participation of stakeholders' categories along the HUL steps of the heritage management process in the perception of governmental actors

Politicians appear as the stakeholders with the highest decision-making power across the whole heritage management process. Particularly, they are indicated as holding the most power over others in identifying resources to be allocated, usually at the beginning of projects, and in activities finalized at mapping natural and cultural urban heritage attributes (18 mentions). Policy makers and public officers equally share this power with them (16); however, the latter are indicated as mainly enrolled into this identification and mapping practices (18), playing an important and active role without necessarily being in the power of the ultimate approvals. Private practitioners are equally active in this process as their public counterpart (19), however, holding less decision-making power (9). Direct users are also actively enrolled in identifying resources (12) and informed about decisions (13), while indirect users are rather consulted and informed at this stage, both however, holding little to no final decision-making power (2,1).

Public officers appear as the second category of stakeholders with the most decision-making power throughout the heritage management process after the politicians; particularly, they are both indicated as the most authoritative in taking decisions over the assessment of vulnerabilities (13,16). Overall, they are indicated as the most active stakeholders enrolled in activities at all stages. In fact, together with private professionals, they are particularly involved in assessing values (21,19), defining strategies (18,20), and prioritizing actions and policies (16,20), besides identifying resources as previously mentioned. Private practitioners are also indicated as highly involved in building partnerships (16), more compared to public officers (12) and in collaboration with policy makers (16), for which they also hold some decision-making power (11), together with politicians (15).

While direct users are mentioned as mainly being enrolled in identifying resources (12) and building partnerships (10) – the latter with some degrees of decision making (6) – they are considered the most consulted category of stakeholders together with private professionals. Particularly, they are asked about the needs informing the prioritization of actions and policies (17) and the definition of strategies (14), as well as the assessment of heritage values (13) and vulnerabilities (11). On the other hand, indirect stakeholders emerge as the least actively engaged stakeholders' category, being mainly consulted over the mapping of resources (10) and potential partnerships (11), informed over the identified resources (9) and values (9), and generally less informed about vulnerabilities (7).

Some trends can be identified in the way different stakeholders' categories participate more actively (see figure 3). For instance, all public actors detain more decision-making power of private ones, especially at the early stages of the heritage management process, when identifying and allocating resources, and at the moment of defining strategies and prioritizing actions and policies, showing a similar trend of engagement among them. The only exception is represented by the influence that private professionals have in determining decisions over partnerships, which matches and excides the one of public officers, being second only to politicians. Users do not appear to have much decision-making power throughout the different steps, but like the practitioners, they also show more influence in establishing partnerships, particularly the direct ones. Despite the perceived power distance between

practitioners and users, similarities in their trends of engagement can therefore be observed along the steps.

Furthermore, when observing the average of mentions of enrollment and consultation trends of different stakeholders along the stages of the heritage management process, a greater involvement of direct users and particularly of private professionals, together with public officers, can be observed also in identifying resources and values, and defining strategies and priorities for actions. This perspective still shows a similar trend of engagement among these two categories, while revealing a significantly lower engagement of politicians and policy makers, together with the least engaged indirect users (see figure 4.3).

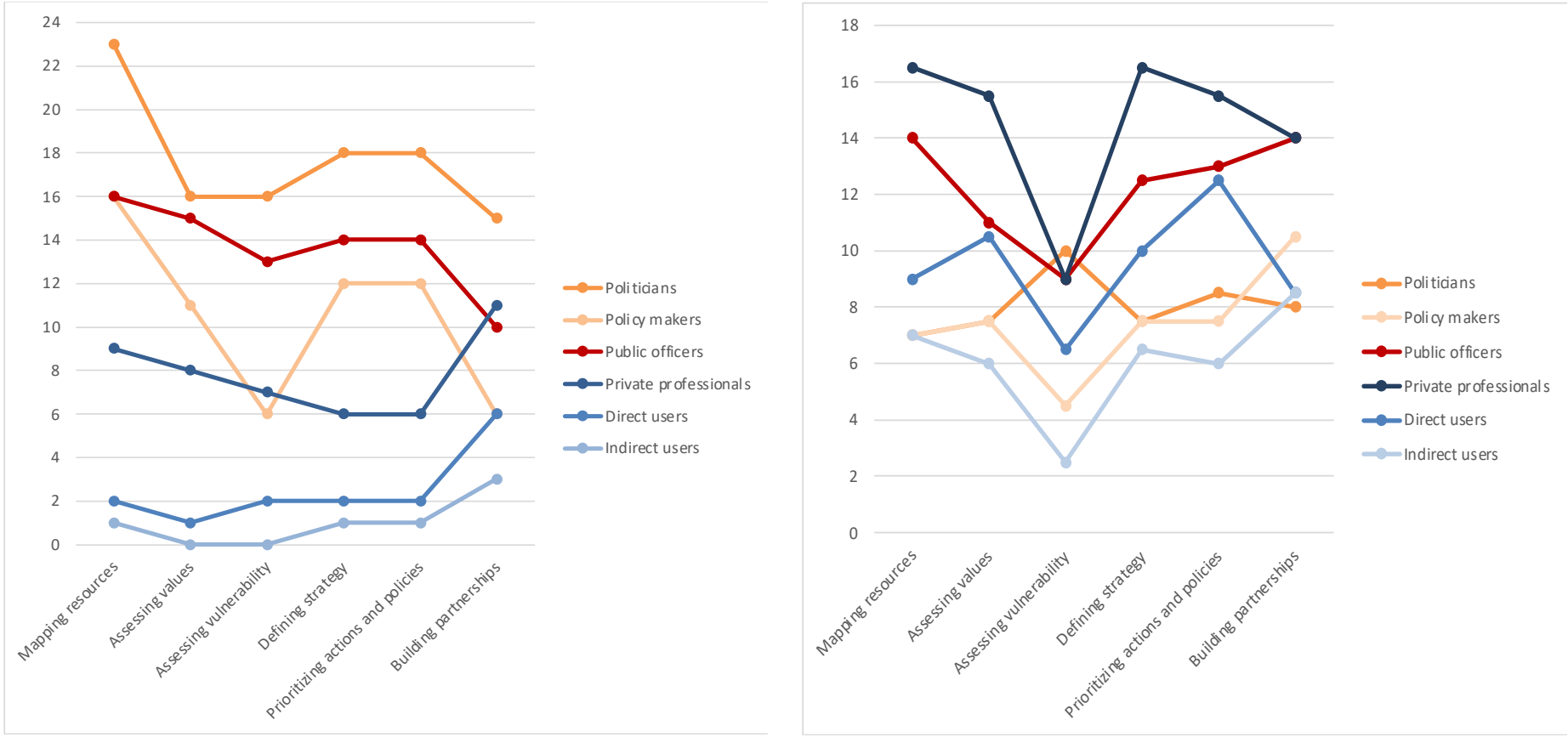

Figure 4.3: Mentions of decision-making forms of participation per stakeholders' category across the HUL steps of the heritage management process (left) and of the average of mentions of enrollment and consultation forms (right)

4.5.3 What

Few examples of participatory heritage practices have been provided by the participants. Some report the engagement of multiple stakeholders, including communities and groups, in the preservation, restoration, management, and maintenance of heritage attributes (Ghardaia, Torun, Tetouan). For instance, local craftsmen are employed in the restoration of historic buildings for the application and preservation of traditional methods and materials in case of maintenance or post-hazard reconstruction processes (Kathmandu, Angra do Heroismo). In other cases, cleaning activities involve groups and individuals as part of partnerships between local organizations and the municipality, or for charity campaigns (Melaka, Levuka, Agadez). Moreover, citizens also take initiatives in the preservation of historic areas to improve their livability, as independent projects or through the creation of citizens' committees (Quebec, Kashusha, La Antigua, Morelia, Arequipa, Tarragona), for instance by planting trees to mitigate temperatures and re-integrate green in densely urbanized neighborhoods, or by advocating for the preservation and upgrading of historic infrastructures (Oaxaca, Valparaiso).

Through committees, meetings, and workshops, stakeholders can also be informed (Istanbul), consulted (Gyaniar, St. George, Regensburg, Queretaro, Quebec, Town of Lunenburg), and engaged in debates (Vilnius) on development projects and management plans. In some cases, citizens are in direct dialogue with mayors concerning urban challenges (Dubrovnik), while in others, local authorities and stakeholders' representatives collaborate in management boards (Erbil, Olinda). Events and meetings, like the Open Monument days and public dialogues also contribute to raising awareness on local heritage and ongoing projects, reaching out to less engaged groups, like youth (Mostar), while also offering an opportunity for citizens owning historic buildings to open their properties to a wider public in specific occasions (Quedlinburg). As part of awareness-raising and engagement activities, exhibitions, archives, publications, workshops, and education programs are created and organized in different cities (Mudurnu, Porto, Erbil, Philadelphia, Djenne).

4.6 Are we talking *high-quality* participation?

These results can be further discussed and contextualized within the latest developments in the heritage and sustainability discourse on stakeholders' responsibilities, forms and timing of participation. From a sustainability perspective, the high quality of participatory heritage practices as determined by a wide inclusion of different stakeholders, an active degree of their participation, and their timely engagement since projects' early stages, are advocated as generating participatory heritage practices that can be the driver of multiple objectives of sustainable development (see chapters 1-3). Therefore, looking at the indicated stakeholders who participate in heritage practices and their diverse forms of participation at different steps of the heritage management process can inform a reflection

on the types of participatory heritage practices that constitute – or not – drivers of sustainable urban development.

The participatory heritage practices carried out in World Heritage cities as reported by respondents to the survey offer a perspective on the level of inclusivity of participatory processes. At a first look, there appears to be a balance between public and private stakeholders involved in heritage practices. However, looking closer at the subcategories of stakeholders involved and at how and when they participate, power imbalances emerge across the different steps of the heritage management process, revealing the stronger influence of public actors over private ones. In fact, despite not being the most involved, politicians emerge has holding the greatest ultimate decision-making power over practices that involve to different degrees other stakeholders, suggesting a traditionally hierarchical governance structure (Del Mármol et al., 2016, pp. 341–354; Harrison, 2010; Harrison et al., 2020; Logan & Wijesuriya, 2015; Smith, 2006). Reinforcing this idea, public officers are indicated as the most actively involved stakeholders' category, having also great decision-making power throughout heritage processes. However, in the provided examples no indication is given on how they use this power in working with other stakeholders, which doesn't exclude a potential mediating approach among others' perspectives, needs, priorities, and values (Jacobs, 2014a). In fact, the reported active enrolment and consultation of private actors, such as professionals and direct users, could indicate scenarios in which different forms of participation are coordinated and mediated as complementary along the heritage management process, positively affecting the process of urban development (Enongene & Griffin, 2018, p. 60; Rosetti et al., 2022, p. 19; Wilcox, 1994, p. 8). However, the provided examples of activities and projects don't provide sufficient information on their context and dynamics to consciously identify connections between those activities and potentially positive or less intended implications for multiple objectives of sustainable urban development.

Despite this possibility, the indicated trend of engagement of the different stakeholders still shows that, even though all categories are to some degree generally indicated as involved along the heritage process, significant decision-making power imbalances seem to be a diffused reality in World Heritage cities. This trend emerges from the analyzed practices despite the latest developments in the academic discourse and international heritage regulation to which WHC governments are exposed (see chapter 2) advocating for more participatory and deliberative democratic heritage governance (Bohman et al., 2018; Bohman & Rehg, 1997; Floridia, 2013; Pateman, 2012; Roberts, 2004), which are associated with dynamics of empowerment of multiple stakeholders and consequently considered key processes for the implementation of sustainability-oriented heritage practices (Zhong & Leung, 2019, pp. 3–4) (see chapters 1-3).

4.7 Conclusions

This chapter has explored current participatory heritage practices in World Heritage cities across regions, investigating which stakeholders' categories commonly participate along different steps of heritage management processes and how they take part in them. Results showed a balanced involvement of public and private actors, however pinpointing more and less engaged subcategories of stakeholders, revealing the predominant presence of heritage practitioners, both public officers and private professionals, and of politicians, along the whole heritage management process. Particularly, the latter emerge as the category holding the strongest ultimate decision-making power across all steps, followed by public officers, revealing governmental actors as the most influential stakeholders, and unveiling existing common power dynamics in heritage governance in World Heritage cities worldwide.

Therefore, the analysis offered points of reflection and contributed to advancing the knowledge of the authorized practices and power imbalances that still characterize participatory heritage practices in many WHCs (Del Mármol et al., 2016, pp. 341–354; R. Harrison, 2010; Rodney Harrison et al., 2020; Logan & Wijesuriya, 2015; Smith, 2006), also in relation to the implementation of more deliberative democratic heritage governance, as advocated in recent international regulation (see chapter 2) and literature (Bohman et al., 2018; Bohman & Rehg, 1997; Floridia, 2013; Pateman, 2012; Roberts, 2004). Contextually, it also raised doubts over the use of this decisional power in managing the relationship with other stakeholders, considering the possibility that different well-coordinated forms of participation can still be complementary in the implementation of participatory heritage practices, in line with other strands of research (Enongene & Griffin, 2018, p. 60; Rosetti et al., 2022, p. 19; Wilcox, 1994, p. 8). However, the reported examples of practices don't provide sufficient information to further clarify these dynamics, offering inspiration for further research.

Finally, considering the widely advocated key role of the empowerment of multiple stakeholders in the implementation of more equal and participatory processes in heritage management, and the acknowledgement that participation itself contributes to its development (Zhong & Leung, 2019, pp. 3–4) (see chapters 1-3), results don't exclude the possibility that these practices can have a positive impact on sustainable urban development objectives, however, they might more likely represent a one-off contribution with uncertain long-term effects.

This research represents a unique study of participatory heritage practices carried out in World Heritage cities across regions. Its global dimension required compromises in terms of depth of the investigation and the use of pre-established categories which could resonate with a very diverse set of practices and stakeholders. Despite this limitation, the chosen methodology allowed to get a high number of inputs, considered the total number

of cities in the OWHC network, and eventually allowed to advance the comparison of the model of the roles of participatory heritage practices in sustainable urban with real (perceived) practices, informing the next steps of this research.

More limitations were posed by such an international approach, which required to offer the survey in the OWHC three official languages – English, French, and Spanish – accompanied by its translation into additional languages to facilitate the accessibility and understanding of the instructions and the adopted categories. This was deemed necessary also in view of the complexity of the survey, which might have contributed to the resulting fragmented database and possibly affected the depth of the answers to the final question on examples of participatory practices.

The fact that most of the respondents were public actors reveal a certain degree of self-consciousness about the power roles that emerged from the survey. However, looking at the examples of participatory practices and the shallow description of their dynamics might indicate in turn less awareness of how factors affecting participatory practices and different activities can generate positive or less intended outcomes, reinforcing existing power structures (Del Mármol et al., 2016, pp. 341–354; Harrison, 2010; Harrison et al., 2020; Logan & Wijesuriya, 2015; Smith, 2006). Therefore, further research could engage with current powerholders in analyzing factors that influence the participation of multiple stakeholders, the resulting activities, and their results, reflecting on their implications for sustainable urban development.

Chapter 5 Perceived Challenges and Opportunities in World Heritage Cities

This chapter is based on the following book chapter and report:

Rosetti, I., Jacobs, M., Pereira Roders, A. (2022). Between opportunity and challenge: Mayors' Perspective on Participatory Heritage Practices in World Heritage Cities. In *Living (World) Heritage Cities. Values, uses, challenges, and opportunities on the path of resilience and sustainable development*; De Waal, M.S., Rosetti, I., de Groot, M., Jinadasa, U.N.; Leiden University Press (LUP): Leiden, The Netherlands (in press).

Rosetti, I., Pereira Roders, A. (2018). Organization of World Heritage Cities XIV World Congress "Heritage and communities: tools to engage with local communities". Day 3 Mayors' Workshop "Participatory Heritage Practices in World Heritage Cities: a SWOT analysis". OWHC Asia-Pacific Regional Secretariat: Gyeongju, South Korea.

5.1 Participation between opportunity and challenge

The complexity and variety of participatory heritage practices observed in previous chapters can bring opportunities and benefits for heritage, society, and the environment (see chapters 1 and 2), but can also come with challenges to their implementation. For instance, studies show how opening the dialogue on heritage regulation and management to new voices implies the need to rethink and negotiate roles and responsibilities, posing new challenges and opportunities for the facilitation of participatory processes (Giglitto, Ciolfi, & Bosswick, 2021; Jacobs, 2014; Simonsen & Robertson, 2013). Information and communication technologies (ITC) provide additional tools to support the work of facilitators and make decision-making processes more accessible; however, new skills are required to implement e-governance systems, generating new needs for education and training (Giglitto, Claisse, Ciolfi, & Lockley, 2019; Marconcini, 2018; Paskaleva-Shapira, Azoŕin, & Chiabai, 2008).

The engagement of multiple stakeholders in heritage practices can open interpretation to multiple values and narratives, creating more inclusive institutions, offering the chance to foster intercultural understanding and overcome prejudice, but also exposing discrimination, exclusion, and extremism (Battilani, Bernini, & Mariotti, 2018; Giglitto *et al*., 2021). Nevertheless, the establishment of intersectoral partnerships for the development

of projects, strategies, and management plans, can offer alternative perspectives, informing the development of common solutions and shared responsibilities (Dauvin *et al*., 2004; Han, Yang, Shi, Liu, & Wall, 2016; Landorf, 2009; Nakamura, 2013). However, the process of negotiation among a wide variety of interests could also potentially lead to further cultivating conflicts and exacerbating power imbalances (Paddison & Biggins, 2017).

These examples show how, often, in different heritage-related fields, each opportunity offered by participatory practices presents its challenging counterpart. This acknowledgment is particularly important when observing participation from a sustainability perspective, both looking inward, thinking of the sustainability of participation as a right, and outward, considering participation as a driver and enabler of multiple sustainable development objectives, because different factors and dynamics could either foster or hinder progress towards the achievement of these objectives. For this reason, it is important to investigate what factors affect participatory heritage practices and their outputs, and therefore, what decisions could better foster opportunities, and resolve challenges.

In research, it's important to investigate these practices from the perspective of different stakeholders, whose perception can significantly affect their implementation. The perceived challenges and opportunities of participation in heritage processes have been largely researched, revealing the perspectives of researchers, practitioners, and communities. However, in the previous chapter, it has been discussed how key stakeholders in decision-making processes often remain governmental actors, particularly at key steps of heritage management processes, such as the allocation of resources and the prioritization of actions and policies (chapter 4; Veldpaus, 2015, pp. 93–94). Therefore, their perception of participatory heritage practices can significantly affect their success and sustainable implementation.

Fewer case study-based research has focused on investigating politicians' perspectives on opportunities and challenges of participation (Snis, Olsson, & Bernhard, 2021; Yang & Wall, 2021). However, little to no research was found exploring the perception of multiple governmental actors on a large international scale, looking at trends, commonalities, and differences among cities with common traits, such as those including World Heritage properties in their city. This chapter aims to address this gap and investigate the perceived opportunities and challenges of participatory heritage practices in World Heritage cities from mayors' perspectives.

5.2 A mayors' perspective in World Heritage Cities

Cities have historically been the cradle of democracy, where communities are strengthened, dwellers become citizens and can participate in urban life. In this perspective, they become important arenas to foster wide participation in (heritage)

governance processes, as part of an intertwined multi-scale system of power dynamics working across geographic and social boundaries (Harvey, 2015; Jacobs, 2020; Lähdesmäki, Zhu, & Thomas, 2019). With the rising number of people living in urban areas and globalized mobility, cities can offer the stage for a civic *"glocality"*, allowing local participation and global cooperation through national and international networks, which can be based on adapted solutions to common challenges (Barber, 2013, pp. 24–25).

In this scenario, mayors can play an important role in securing services and contributing to the creation of an urban environment where creative approaches to local problems can flourish (Barber, 2013, p.22). However, in the context of increasingly complex local politics and policies, a legitimate, inclusive, and effective urban governance requires the cooperation of multiple actors at different scales, and across sectors (Cabria, Magnier, & Pereira, 2018; Denters, Steyvers, Klok, & Cermak, 2018, p. 275). In these networks, on the one hand, Mayors can flagship democratic principles, implementing and shaping them to local cultural, economic, and social contexts, creating a political environment that allows strengthening participation at a city- and neighborhood-level, through effective communication processes and leadership (Barber, 2013, p.26; Denters, *et al*., 2018). On the other hand, their role comes with several challenges related to place-specific dynamics and leadership approaches, the management of internal and external networks of stakeholders, and conflicting political agendas at multiple scales and across sectors, among others (Denters *et al*., 2018, p. 276). Moreover, majors' agendas are populated with a variety of issues requiring attention, actions and coordination, but are also affected by mayors' policy priorities, both at a local and at an international level (Cabria *et al*., 2018, p. 252). In line with these priorities, the Mayors' role is increasingly expanding beyond the city boundaries, cultivating their political networks at a national level and reinforcing their global web of relationships (Stren & Friendly, 2019, p. 176). In this international arena, mayors can give voice to their city and citizens on a global scale by formally and informally interacting with mayors in leagues of cities, facilitating the sharing of best practices and fostering mutual learning (Barber, 2013, p. 47). In light of these changing roles, mayors have been associated with 'network managers' who build and maintain a coalition of actors, at a local level and beyond, that works together on key issues and priorities in line with their current policy agenda (Denters *et al*., 2018, pp. 278-279).

There are many international organizations curating the collaboration within networks of cities, *e.g*., URBACT networks (EU, n.d.); United Cities and Local Governments (UCLG, n.d.); UNESCO Creative Cities Network (UNESCO, n.d.); to mention just a few. Among those working on heritage-related topics, the Organization of World Heritage Cities-OWHC connects over three hundred cities worldwide that have World Heritage properties in their urban area, which are represented in the Organization by their major, with the active support and participation of public officers and heritage professionals (OWHC, n.d.). Therefore, through the organization of events on the topic of participation in heritage management, such as an Annual Meeting in 2016 and a World Congress in 2017, the OWHC

offers an important platform for mayors and public officers to contribute to the advancement of democratic governance worldwide by fostering participatory heritage practices in their city.

5.3 Methodological approach

During the third day of the XIV World Congress of the Organization of World Heritage Cities on "Heritage and communities: tools to engage with local communities" – held in 2017 in Gyeongju, Republic of South Korea – a workshop was organized to explore the Mayors' perceptions of challenges and opportunities of participatory heritage practices in World Heritage cities, through a SWOT analysis (Helms & Nixon, 2010). It was carried out as part of a 1-year project commissioned by the OWHC Asia-Pacific Regional Secretariat to a research team from the Eindhoven University of Technology, to foster the dialogue on communities' engagement in heritage projects among cities in the network. The participation in the workshop was voluntary, open to all the mayors of the cities which are part of the OWHC network, attending the World Congress, without any additional selection criteria. Thirty-seven cities' representatives – Mayors and city officers – from thirty-five cities, and twenty-four countries, from all the OWHC regional secretariats, joined (see table 5.1). The workshop was structured in four parts: an introduction given by the team, an individual exercise, a group discussion, and a presentation of the group's results.

After the introduction, participants were given ten minutes to independently do a SWOT evaluation of the current participatory heritage practices in their own World Heritage city. The semi-structured worksheet was completed in four sections: strengths/what are the gains, weaknesses/what does not work, opportunities/what helps, and threats/what are the obstacles. The worksheet was made available in all the three OWHC's official languages – English, French, and Spanish – and in Korean, to help participants to better understand and undertake the exercise. When the first exercise was completed, participants were divided into seven working tables, according to their language of preference, to encourage the discussion of their results with the help of facilitators. During the group discussion, a representative for each group was first asked to write on a whiteboard the main Strengths, Weaknesses, Opportunities and Threats discussed at the table, and then give a five-minute presentation of the results to the whole room. The whole process was photo-documented.

The working sheets were collected and translated with the aid of one peer translator member of the OWHC General Secretariat for the text in Spanish and French, while the documents in Korean were translated by two members of the OWHC Asian-Pacific Regional Secretariat, and the worksheets handwritten in English were interpreted and peer-reviewed by the organizers of the workshop (Janesick, 2015). The translations deemed a latent thematic analysis necessary to identify the main topics addressed beyond the (translated) wording of the text (Bengtsson, 2016, p. 9). Through reiterative inductive and deductive coding processes, the main clusters of SWOT elements were identified

(Bengtsson, 2016, p. 12; Popay et al., 2006, p. 18), and those mentioned by at least two participants were selected for quantitative analysis and a thematic synthesis (Thomas & Harden, 2008).

Data were processed adopting a global perspective to unveil international trends in the perception of the opportunities and challenges of and for participatory heritage practice in World Heritage cities part of the OWHC's network. A comparative analysis of the SWOT elements allows for overcoming geographical boundaries, spotting commonalities between unsuspected cities worldwide and creating new opportunities for mutual learning. Eventually, the observation of the mentioned factors across the SWOT inspires a discussion on the effect that these factors have on the implementation of participatory heritage practices, their outcomes, and their implications for sustainable development.

CITY	COUNTRY	REGION	REGIONAL SECRETARIAT
Vienna	Austria	Europe and North America	Eastern and Central Europe / Northwest Europe and North America / Southern Europe and Mediterranean
Icheri Sheher (Old City-Baku)	Azerbaijan	Arab States	other
Denpasar	Bali-Indonesia	Asia and the Pacific	Asia-Pacific / Euro-Asia
Olinda	Brazil	Latin America and Caribbean	other
Quebec	Canada	Europe and North America	Northwest Europe and North America
Cidade Velha	Cape Verde	Africa	Southern Europe and Mediterranean
Valparaiso	Chile	Latin America and Caribbean	other
Cuenca	Ecuador	Latin America and Caribbean	Southern Europe and Mediterranean
Levuka	Fiji	Asia and the Pacific	Asia-Pacific
Lamu	Kenya	Africa	other
Luang Prabang	Laos	Asia and the Pacific	Asia-Pacific
George Town	Malaysia	Asia and the Pacific	Asia-Pacific
Oaxaca	Mexico	Latin America and Caribbean	Central America, Caribbean and Mexico
Zacatecas	Mexico	Latin America and Caribbean	Central America, Caribbean and Mexico
Querétaro	Mexico	Latin America and Caribbean	Central America, Caribbean and Mexico
Morelia	Mexico	Latin America and Caribbean	Central America, Caribbean and Mexico
Tlacotalpan	Mexico	Latin America and Caribbean	Central America, Caribbean and Mexico
Mexico City	Mexico	Latin America and Caribbean	Central America, Caribbean and Mexico
Lalitpur	Nepal	Asia and the Pacific	other
Arequipa	Perú	Latin America and Caribbean	other
Rimac	Perú	Latin America and Caribbean	South America
Vigan	Philippines	Asia and the Pacific	other
Loboc	Philippines	Asia and the Pacific	other
Miagao	Philippines	Asia and the Pacific	Asia-Pacific
Krakov	Poland	Europe and North America	Eastern and Central Europe
Angra do Heroismo	Portugal	Europe and North America	Southern Europe and Mediterranean
Suwon	South Korea	Asia and the Pacific	Asia-Pacific
Gyeongju	South Korea	Asia and the Pacific	Asia-Pacific
Granada	Spain	Europe and North America	Southern Europe and Mediterranean
Córdoba	Spain	Europe and North America	Southern Europe and Mediterranean
Visby	Sweden	Europe and North America	Northwest Europe and North America
Tunis	Tunisia	Arab States	other
Colonia del Sacramento	Uruguay	Latin America and Caribbean	other
San Antonio	USA	Europe and North America	Northwest Europe and North America
Philadelphia	USA	Europe and North America	Northwest Europe and North America

Table 5.1: List of cities represented at the mayors' workshop

5.4 SWOT analysis

An initial inductive thematic analysis generated 158 unique mentioned themes, which were further clustered into 48 themes through a reiterative process. Eventually, a deductive analysis revealed the 25 most discussed themes during the workshop, which were mentioned by at least three or more participants (see figure 5.1). The chapter continues with a separate analysis of the main opportunities of (internal/strengths) and for participation (external/opportunities), and of the main challenges of (internal/weaknesses) and for participation (external/threats).

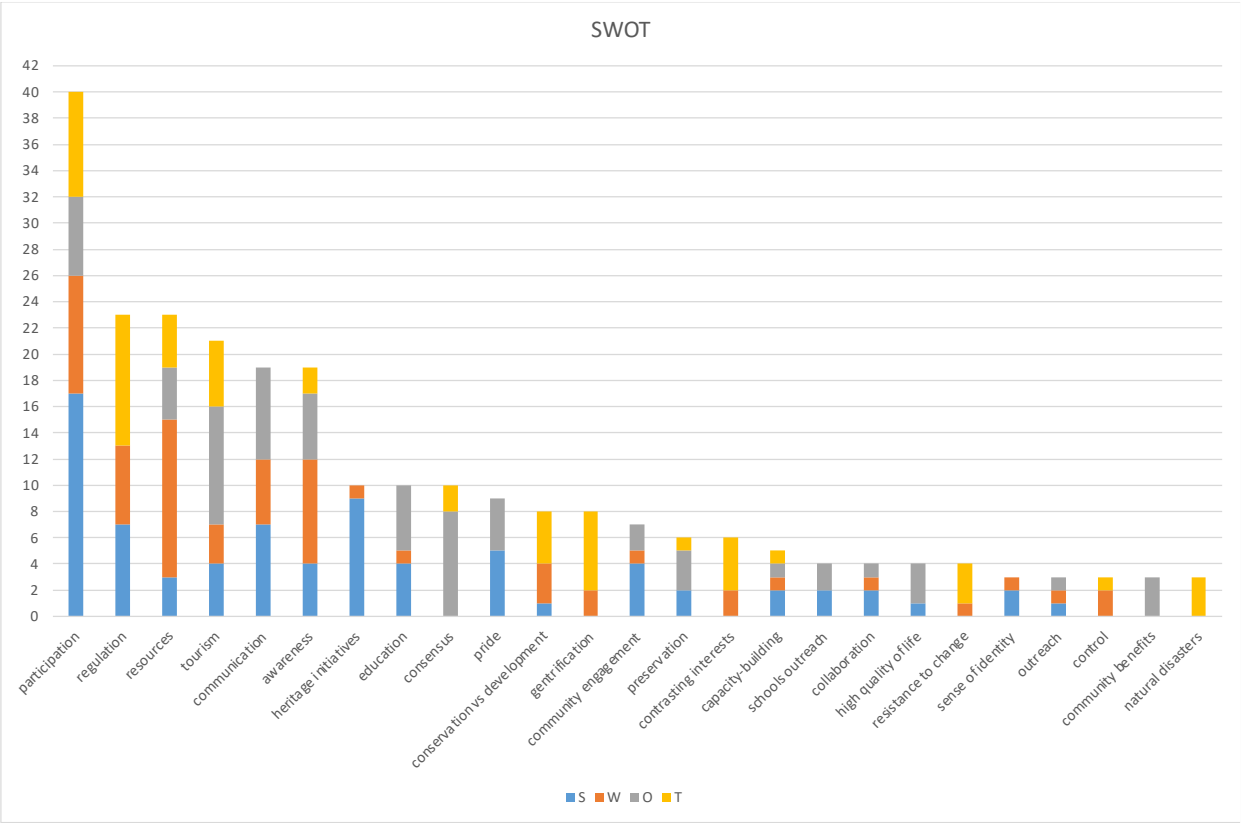

Figure 5.1: Most mentioned elements in the SWOT analysis

5.4.1 Opportunities

Participation, communication, tourism, pride, awareness, education, heritage initiatives, consensus, resources, regulation, community engagement, high quality of life, heritage preservation, and communities' benefits, are the most mentioned opportunities (see figure 5.2). Among them, *participation* (17), *heritage initiatives* (9), *regulation* (7), and *communication* (7) are considered by the most mayors the four main strengths of participatory heritage practices in World Heritage cities.

Participation of multiple stakeholders in heritage management can contribute to the preservation and promotion of cultural and natural properties in World Heritage cities (George Town, Arequipa). It can result in a high turnover at organized events and activities or in social initiatives (Rimac, Mexico City), and it allows for better understanding problems and needs of communities in relation to heritage processes, generating opportunities and shared solutions for future local developments (Cidade Velha, Cuenca). Citizens' participation can be structured through neighborhood's councils or left spontaneous (Quebec City), nevertheless, it is generally increasing due to raising awareness of the positive impact that heritage practices can have on people's quality of life (Cordoba). Educational programs and gaming activities can foster more youth participation (Morelia), which is crucial to the future conservation of cultural heritage properties and practices (Valparaiso).

Heritage initiatives gather communities around cultural heritage properties. They are diverse, ranging from religious festivities and public celebrations to cultural activities (Krakow, Zacatecas, Tlacotalpan). They can be organized by responsible public institutions (Morelia) and by communities themselves, which occasionally act independently, self-funding heritage activities in their city (Denpasar). All sorts of events attract and connect different people, such as concerts organized for music lovers in historic areas or heritage sites, workshops for the broader public, and conferences for academics and professionals. Cultural programs can include special activities for children, which aim to educate, explain, and create bonds between new generations and World Heritage (Angra do Heroismo).

The *regulation* of more inclusive management of cultural heritage already exists in some cities across the OWHC network (San Antonio, Granada, Quebec City), in other cities is under development (Oaxaca), while others adopted policies that specifically regulate participation processes in the conservation of cultural heritage and the historic urban landscape (Krakow, Luang Prabang). The participated development of public engagement policies can regulate inclusive processes and timing of engagement, making the involvement of communities at an early stage of the management process mandatory, before operating or planning any change in the area under development (Quebec City).

Communication between government bodies and communities is important for an effective and inclusive heritage management system. They enable discussions on individual or shared problems, needs, and interests of different stakeholders, offering opportunities for the formulation of new solutions, and allowing coordination among heritage actors in the field (Quebec City). Particularly, in the case of shared ownership and responsibilities over the conservation of heritage assets, as in the case of religious buildings, effective communication mechanisms between stakeholders facilitate interventions and preservation activities (Queretaro, San Antonio, Loboc, Miagao). Continuous communication over ongoing projects is necessary, but it is also important to start new conversations about upcoming projects at a very early stage (Colonia del Sacramento).

Participation, heritage initiatives, regulation, and communication are strongly interlinked. More organized and regulated participation can facilitate better communication and collaboration among stakeholders, fostering the organization and effective implementation of local initiatives, and potentially generating opportunities for new resources to be deployed for heritage management. While participation and heritage initiatives are the most mentioned strengths of participatory heritage practices – with positive implications for heritage uses and conservation, communities' development and wellbeing – on the other hand, communication and regulation seem to be essential tools to make inclusive management smoother and sustainable in time.

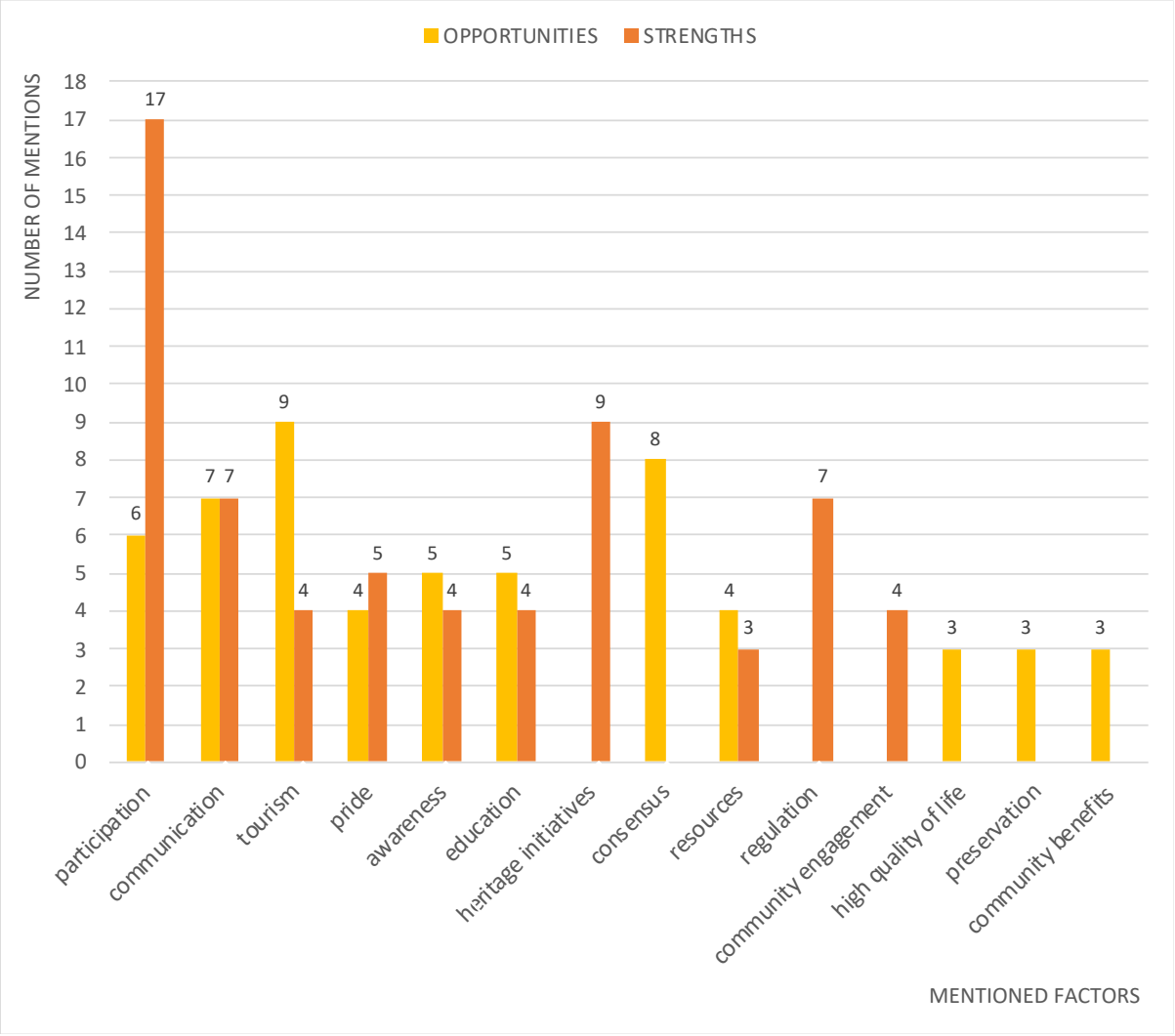

Figure 5.2: Most mentioned opportunities of participation (internal-strengths/external-opportunities)

Tourism (9), *consensus* (8), *communication* (7), and *participation* (6) are indicated as the four main opportunities for participation in heritage practices (see figure 5.2). At a local level, *tourism* can offer communities the chance to get involved in the promotion and development of touristic activities and businesses (Gyeongju, Vienna, George Town), unlocking potential economic benefits both for locals and for heritage itself, enabling the

deployment of new resources for conservation (Oaxaca, Agra do Heroismo, Icheri Sheher/Old City Baku, Lamu). Even when the pressure of tourism becomes too high, it invites cooperation among local stakeholders to redirect tourists' flows, and develop a more diffused, diversified, culturally sensitive, and responsible offer that involves multiple actors, distributing responsibilities and benefits (Krakow, Oaxaca, Philadelphia, Granada).

Reaching *consensus* among citizens and other actors over decisions on heritage management can further stimulate participation through the implementation of inclusive governance and effective communication mechanisms (Cidade Velha). Pre-obtained consensus can positively affect projects' results, contributing to good and sustainable preservation of cultural properties (Granada, Morelia, Philadelphia), and determine the successful collaborations among stakeholders, facilitating sharing responsibilities between public and private actors in heritage conservation (Arequipa, Rimac, Cuenca). Consensus can also legitimate decisions taken over heritage management by authorities in charge and stimulate the active involvement of citizens in heritage governance (Rimac).

Communication between private and public stakeholders can raise awareness of heritage significance, opening the dialogue on heritage values to all communities, groups, and individuals (Cidade Velha). It can also facilitate a better understanding of local needs for the development of important skills for heritage conservation, informing the organization of appropriate education, training, and capacity-building activities, and generating new opportunities for sustainable preservation initiatives (Queretaro). At the same time, ongoing communication between government and citizens over heritage management can facilitate broader participation (Tunis), empowering people in decision-making and unlocking the potential of inclusive heritage management for community and territorial development (Cidade Velha).

Participation in management processes is indeed considered an opportunity to foster more inclusive heritage governance systems (Córdoba, Gyeongju). Through people-centered approaches citizens can actively contribute to the identification, interpretation, presentation, and promotion of local heritage, and take an active role in its preservation (Morelia, George Town). Organized forms of participation through councils and forums enable communities' engagement from the early stages of projects, allowing the consideration of multiple values in developments and planning, and creating space and resources for citizens' initiatives (Quebec City).

Tourism, consensus, communication, and participation are interconnected with each other. Opportunities presented by the tourism sector for private businesses and communities' participation in developing the local offer can stimulate the collaboration between public and private stakeholders, initiating communication that can facilitate reaching consensus and strengthening inclusive governance systems.

5.4.2 Challenges

Participation, regulation, resources, awareness, tourism, conservation versus development, gentrification, communication, contrasting interests, resistance to change, and natural disasters are the most mentioned challenges (see figure 5.3). Among them, *resources* (12), *participation* (9), *awareness* (8), and *regulation* (6) are considered by the most the four main weaknesses of participatory heritage practices in World Heritage Cities. *Resources*, such as time, financial, and human – both personnel and volunteers – are fundamental for the good implementation of participatory heritage practices. However, many actors in the heritage field experience scarcity of resources, which negatively affects heritage preservation, the effective implementation of participation, and the investments of new resources (Tunis, Oaxaca, Morelia, Cidade Velha, Cuenca). The lack of allocated funding for projects shortens the available time for their development, limiting heritage processes and preventing the employment of specialized practitioners who might be better professionally trained to mediate the collaborations among stakeholders, weakening current and future participatory practices and their outputs (Queretaro, Morelia).

Participation of different communities and groups in heritage management and activities can be weak and discontinuous, leading to a significant decline in the number of activities or involved stakeholders (Luang Prabang, Gyeongju), excluding whole sectors of society (Rimac), if it is not regulated and therefore not facilitated by the institutions in charge (Colonia del Sacramento). Especially, when politics don't support inclusiveness (Oaxaca) or participation becomes politicized, new interests come into place and new processes get activated that can harm both heritage and local communities (George Town).

The lack of *awareness* of the existing heritage properties in a city, their values, communities, and state of conservation can cause the exclusion of portions of societies from the management of cultural and natural heritage resources, reinforcing the unawareness of the full spectrum of heritage values and attributes (Tunis, Oaxaca, Zacatecas). While many people in World Heritage cities lack this awareness, having difficulties to relate the values they attribute to their daily environment to the outstanding universal value internationally recognized, little inclusive awareness raising activities, educational initiatives, nor consistent communication attempt to connect these values and improve participatory practices (Queretaro, Rimac, Visby). Moreover, sometimes communities are not informed about current projects and planned interventions due to the time-consuming character of communication processes, which leave citizens unaware of heritage and development practices. Particularly, in historic urban areas lack of communication can have a negative impact on the preservation of cultural heritage properties and practices (Miagao).

Regulation on conservation, safeguarding, and participation processes is not always in place, causing lack of coordination and inconsistency in participatory practices (Morelia, Colonia del Sacramento, Olinda). Sometimes, regulations are included in local and national

policies, but might not have been drafted with the input of different actors, being insufficiently elaborated or clear, and missing to provide guidance for inclusive practices in the field (Arequipa). Despite the adoption of specific regulations, they might not be well communicated to the public, limiting its enforcement, weakening participation, and slowing down the implementation of international recommendations at the local level (Arequipa, Granada). Other times, regulation of participatory heritage practices is in place, but its enforcement can be considered to limit or obstruct urban development (Krakow).

Resources, participation, awareness, and regulation are interdependent. The absence, unclarity, miscommunication of specific regulations prevents the adequate and systematic allocation of resources – financial, human, and therefore time – weakening the participation of multiple stakeholders in heritage governance and management, with effects on heritage conservation, governance processes, sustainable urban development, and society.

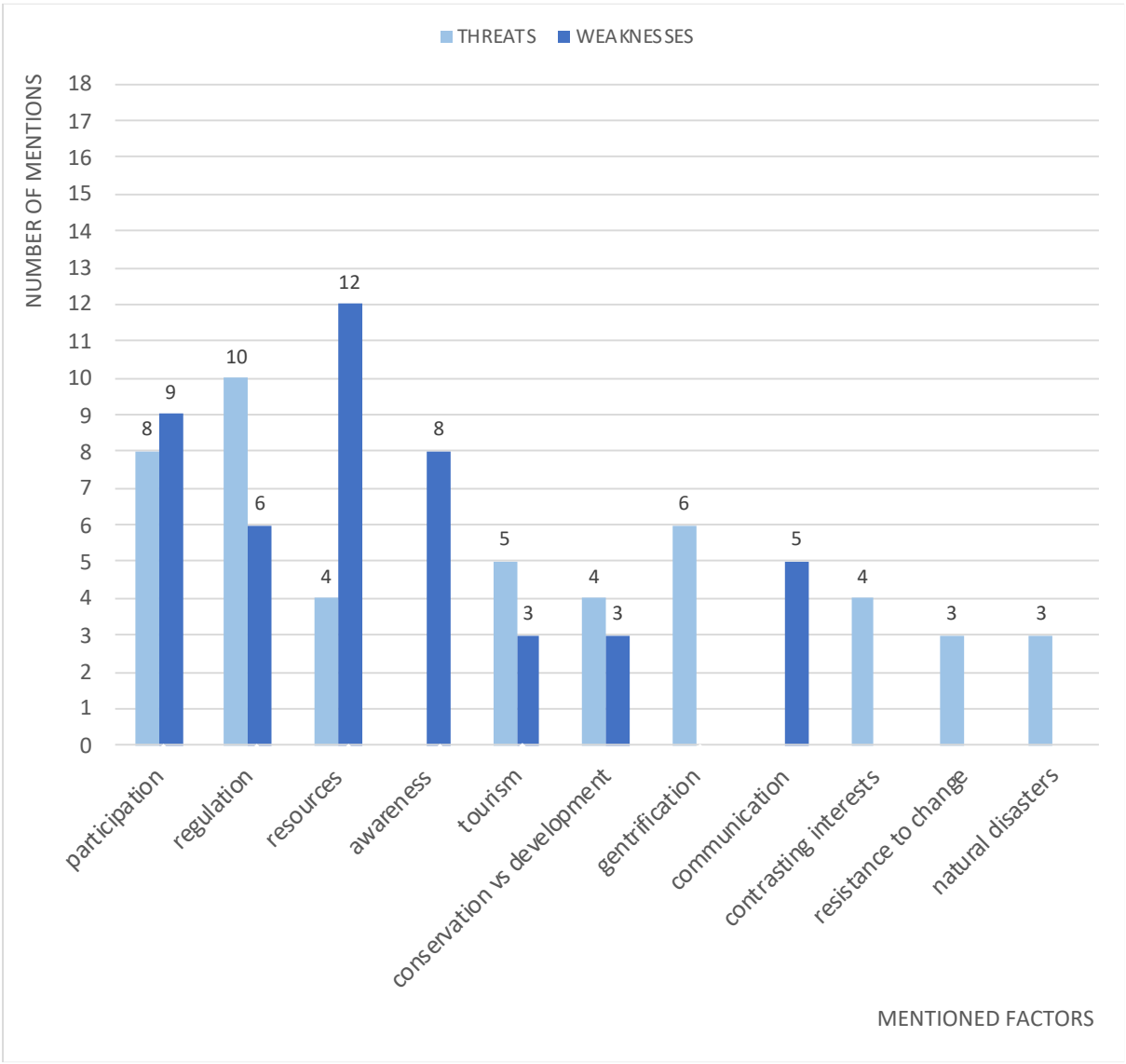

Figure 5.3: Most mentioned challenges of participation (internal-weaknesses/external-threats)

Regulation (10), *participation* (8), *gentrification* (6), and *tourism* (5) are indicated as the four main threats to participation in heritage practices (see figure 5.3). The lack of *regulation* of participation complicates getting control over processes from responsible institutions and organizations, leading to the inconsistency of practices and inadequate support to stakeholders (Arequipa). Also, the adoption of inadequate or non-specific laws can represent a threat to the participation of multiple actors, who can be excluded from cultural properties' management, endangering heritage conservation (Tunis, Oaxaca, Rimac, Olinda, Valparaiso, Morelia). Over-regulations can also pose challenges to participation by limiting heritage initiatives, especially in the rehabilitation of historic buildings and in urban development (Mexico City). Sometimes, useful regulation is not respected due to communication gaps between public and private stakeholders, which still limit participatory heritage practices (Arequipa).

Participation can be a threat to participatory heritage practices when it is politicized, especially when political actors intervene and use disinformation to manipulate the public, facilitating opposition, intransigence, and extremism (Queretaro, Colonia del Sacramento, Rimac, George Town, San Antonio). Moreover, participation can harm when it is not well managed (Colonia del Sacramento), for instance when it is superimposed at a late stage of a project, instead of being integrated from the beginning, excluding citizens from decision-making processes.

Tourism is a difficult phenomenon to control that has a strong impact on people's life and cities (Krakow). If badly managed, tourism can be intrusive and give a feeling of invasion to locals (Visby), who struggle to find a balance between visitors' flows and their daily life activities, discouraging them from getting involved in heritage activities (Icheri Sheher/Old City Baku). Moreover, uncontrolled tourism can cause the increasing demand for maintenance of the historic centers (Denpasar), discouraging local dwellers from participating in the development of the tourism offer and the management of cultural heritage. Moreover, the need to provide accommodations for the many short-stay visitors is progressively turning properties in the city centers into hotels and homestays, fostering gentrification processes that create physical distance between visitors and locals, and economic disparities that don’t facilitate participatory heritage practices (Visby).

Gentrification is an increasingly pressing phenomenon that sees local communities pushed out of historic neighborhoods due to the rise of living costs, distancing them from their heritage and disabling their participation in its management (Córdoba).

Regulation, participation, tourism, and gentrification are interconnected. The lack and/or inadequacy of specific regulations for participation in heritage management prevents a consistent development of and support for participatory heritage practices, endangering properties' conservation, and leaving room for the politicization of participation, stimulating extremism, opposition, and exclusion. The consequent lack of participation prevents locals from actively contributing to the development of more responsible and sustainable tourism offers and business, leaving tourism and gentrification processes uncontrolled.

5.5 Participation across opportunities and challenges

Five factors transversal to the SWOT have been identified, which mayors considered as a strength, weakness, opportunity, and threat of participation in heritage practices. They are respectively: *participation*, *resources*, *tourism*, awareness, and *capacity-building* (see figure 5.4).

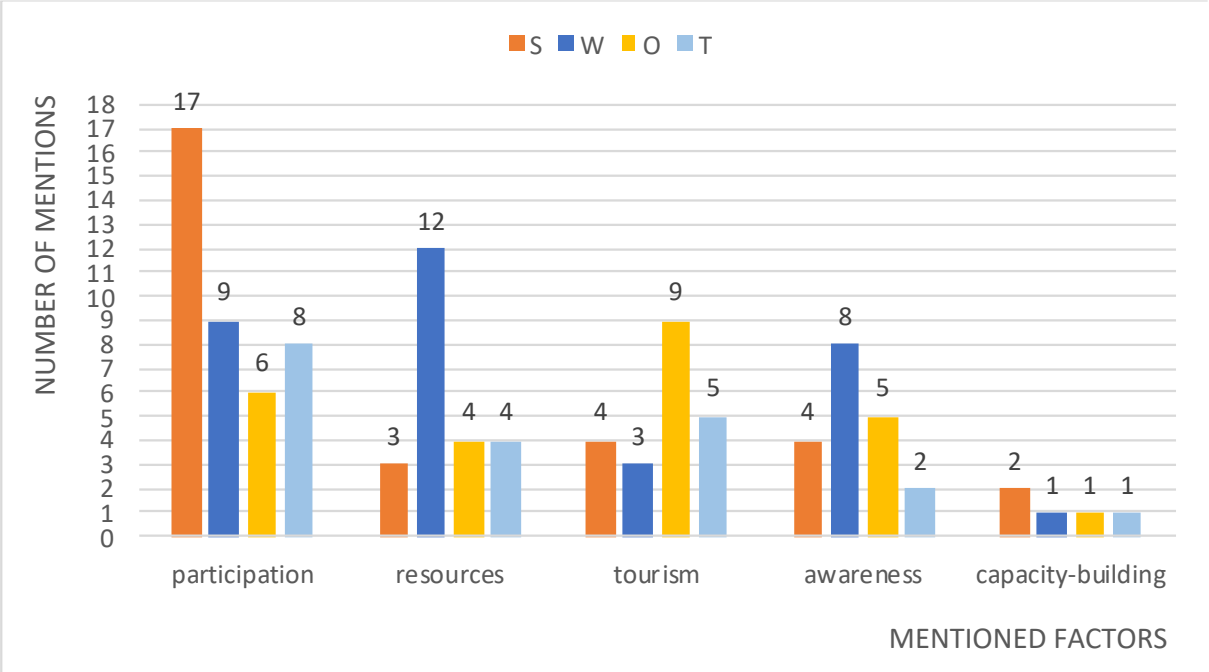

Figure 5.4: Transversal factors in the SWOT analysis

Curiously, *participation* itself is overall the most mentioned factor across the SWOT (40), and the most controversial one, considered to affect positively and negatively participatory practices, generating their best and worst outputs. Participation is mainly considered an opportunity (23), both as an external factor (6) that fosters the further development of participatory heritage practices, and as an internal strength (17) that reinforces participatory processes, empowering participants. Participation is considered a strengthening factor when the range of stakeholders taking part in heritage preservation grows (Córdoba) – including youth (Morelia, George Town, Valparaiso) – engaging with social initiatives, offered activities (Arequipa, Mexico City), and heritage promotion (Rimac). Participation is a strength when is organized, such as through neighborhoods' councils, and is systematically integrated in heritage management processes and policy-making (Quebec City), enabling a better understanding of local problems, needs, and opportunities, facilitating the formulation of shared solutions and giving the opportunity to communities' representatives to offer new perspectives (Cidade Velha, Cuenca). For some (6), participation represents an opportunity for the further development of participatory heritage practices when it is integrated from the beginning of projects, allowing stakeholders to agree on shared values and strategies (Quebec City). Moreover, it can contribute to a more inclusive promotion of heritage (Tunis), attract more tourists (George Town) and help develop a more sustainable and culturally sensitive offer that contributes to heritage preservation (Morelia). High rates of participation can encourage the institutionalization of new inclusive forms of heritage management within public administrations, creating new spaces for citizens to participate through forums and councils (Córdoba, Gyeongju). A broad, diverse, and intergenerational participation in

educational activities, such as through gaming, generates new opportunities to raise awareness of local heritage, stimulating citizens' engagement in urban heritage preservation and improving the livability of historic centers (Morelia, George Town, Valparaiso).

Participation is also considered a challenge (17), both as an internal weakness (9) of participatory processes, and as an external threat to them (8). If participation is not well organized and regulated, it can weaken participatory heritage practices (Colonia del Sacramento), resulting in exclusive and discontinuous processes (Rimac). Engaging people at a late stage of heritage management, with no room for their perspectives to be taken into consideration, can discourage them and disincentive their future participation (Tlacotalpan). In these cases, local governments and institutions might intervene in an attempt to stimulate participation facing citizens' lack of enthusiasm (Gyeongju, Luang Prabang). However, politicized participation and the lack of appropriate political support due to governmental discontinuity can also weaken participatory heritage processes (Oaxaca, George Town). Participation is mainly considered a threat to inclusive heritage practices when political actors intervene in heritage management and transform heritage activities into a political forum, using disinformation to manipulate public opinion, fostering oppositions and intransigence (Colonia del Sacramento, Queretaro, Rimac, George Town, San Antonio). This phenomenon is more prone to happen whereas participation is not well organized and happens at a late stage of the management process, excluding citizens from decision-making (Córdoba) (see figure 5).

5.6 Interconnectedness of factors

Looking at the results from a sustainability perspective it is interesting to observe the indicated interconnectedness of the SWOT elements. First, the factors indicated in each SWOT section have been revealed to have some degree of connection among each other, presenting directed or undirected chain-like and/or circular influences. At the same time, multiple elements have been mentioned both as opportunities and threats, indicating that the same factor with different characteristics, or simply in a different context, can represent a facilitator of or a barrier to participation, fostering different kinds of practices and results. Following the same trend, some elements have been indicated both as strength and weaknesses, suggesting that different kinds of practices can in turn produce similar results (outputs), which could have either intended or less intended implications for heritage conservation, the environments, and society, according to the processes that led to them, as inclusive of both the participatory practices (activities) and resources (inputs) allocated for their implementation (see chapter 3). In fact, opportunities and threats of participatory heritage practices are often indicated not only in relation to the way they affect participatory practices, but also referring to the potential results that those practices can have. In this way, participants to the workshop drew a thin line between what were considered external factors – or the inputs – to participation, such as opportunities and

threats, and internal ones – or outputs – such as strengths and weaknesses, as connected by participatory practices of different kinds. This can indicate difficulties in carrying out the SWOT exercise, but it can also show through the most commonly experienced action-reaction dynamics of participation in World Heritage cities.

This interconnectedness across the SWOT's elements offers opportunities to further explore what implications these relations have in the light of the model of system of the role of participation (see chapter 3). The first reflection goes to the quality of participation, which in the light of these results appears that can't be considered to independently determine the outputs of participatory heritage practices and their implication for sustainability, acting as exclusive determining factor of the role of participation as a driver of multiple sustainable development objectives. That is due to the strong influence that the received inputs have on the implementation of such practices, which shape them in ways that determine their results, and is in line with the evolution of the model of the system of the roles of participation as observed from chapter 1 and 2 to chapter 3.

The diverse contributions of the mayors during the exercise suggest that the inputs that are needed for positive participation processes that produce sustainability-oriented heritage practices can differ from place to place, revealing some regional trends and city-specific characteristics, as well as commonalities. Anyhow, these needed factors are also affected by their context, defined by specific cultural traits, governmental systems, societal and environmental conditions, and other sectors' priorities. An example could be the perception of the lack of appropriate regulation and political support as a threat to participation due to the discontinuity of local governments and contrasting interests, as specifically stressed by the delegation from the Latin America and Caribbean region (Mexico City, Morelia, Oaxaca, Queretaro, Tlacotalpan, Arequipa, Rimac, Olinda, Val Paraiso). Another example is offered by the mention of natural disasters as a threat to participation by cities in South-Est Asian countries (Miagao, George Town) and Central America (Tlacotalpan), and by the mention of a good quality of life as an important precondition and opportunity for participation in eastern and southern European cities (Krakow, Granada).

The transversal presence of participation itself across the SWOT is a clear example of these contextual dynamics affected by multiple factors. Participation is the challenge, but is also offered as the solution, in line with its theorization as a social problem (Landorf, 2009) (see chapter 3), which has the potential to trigger chain-like and circular dynamics that reinforce sustainability-oriented participatory heritage practices. For instance, participation is considered fundamental in raising awareness over heritage significance to different stakeholders, fostering an inclusive communication among them, which can generate a better understanding of the needs and the context in which heritage management and development processes occur, unlocking the potential of inclusive heritage management

for community and territorial development (Cidade Velha), and improving the livability of historic centers (Morelia, George Town, Valparaiso).

In short, when the relation between inputs, quality of participation, and its outputs is curated at a local level and shaped on local needs through inclusive processes, participatory heritage practices can become drivers of multiple sustainable development objectives. On the other hand, when such relation is not curated and monitored, participatory heritage practices risk to trigger dynamics that can hinder progresses towards sustainable development objectives, for instance, by causing exclusion (Rimac, Tunis, Oaxaca, Zacatecas, Córdoba) and heritage losses (Tunis, Oaxaca, Rimac, Olinda, Valparaiso, Morelia).

A second reflection goes to the factors that lead to a sustained transformation towards sustainability-oriented participatory heritage practices. While a curated, integrated, and monitored relation between inputs, quality of participation, and outputs can contribute to sustainable development objectives in the short term, other factors can affect the sustained transformation of sustainability-oriented heritage practices in the long-term (see chapter 1, 2, 3). Some of them have been directly mentioned by participants in the workshops, such as education (Krakow, Oaxaca, Cuenca, Morelia, Cordoba, Valparaiso, Visby, Agra do Heroismo, George Town), capacity-building (Queretaro, Miagao, Denpasar, Gyeongju), regulation (Krakow, Tunis, Oaxaca, Quebec, Queretaro, Morelia, Tlacotalpan, Colonia del Sacramento, Arequipa, Rimac, Olinda, Granada, Mexico City, San Antonio, Luang Prabang, Valparaiso, Visby, Loboc, George Town, San Antonio, Philadelphia, Luang Prabang, Icheri Sheher (Old City-Baku), Levuka, Gyeongju), and resources (Krakow, Tunis, Oaxaca, Zacatecas, Queretaro, Morelia, Cidade Velha, Arequipa, Cuenca, Morelia, Valparaiso); others have been mentioned indirectly, such as the importance to create forums (Quebec City, Córdoba, Gyeongju) and heritage initiatives (Krakow, Zacatecas, Tlacotalpan, Agra do Heroismo, Denpasar, Morelia, Valparaiso), and therefore opportunities for stakeholders to participate. The general awareness in all the regions and OWHC regional secretariats of the importance of these factors in steering the implementation of different kinds of participatory heritage practices is very positive. However, they haven't been commonly put in relation to the need for an integrated long-term planning (which nevertheless was mentioned during the discussion on political discontinuity and political support among mayors from the Latin America and Caribbean region) and for stakeholders to be empowered in and by taking part in heritage processes and decision making (only mentioned by the representative of Cidade Velha). The explicit acknowledgement of those factors and their important role in fostering not only positive outputs of participatory practices but also their sustained transformation, and the open discussion of these topics in international forums, such as OWHC event, could represent a key support to the consolidation of those factors in World Heritage cities internationally.

5.7 Conclusions

Results revealed a strong interconnection among the different elements of the SWOT, depicting a complex scenario of the interdependency of factors, in line with the conceptualization of participatory heritage practices as a wicked problem (see preamble and chapter 3). It emerged that few factors are per se positive or negative, but instead that different dynamics in each city can make them fail or succeed. This confirms what is observed in the literature, offering new insights on perceived challenges and opportunities of and for participatory heritage practices from the perspective of governmental actors.

Differences and similarities between cities have been identified among OWHC Regional Secretariats, but also within the same regions and states, creating dialogues on common challenges and opportunities that are crucial to generate and share new knowledge and stimulate mutual learning at a local, national, regional, and international level. This acknowledgment is in line with the idea that creating opportunities for mayors and their collaborators to discuss and share best practices in international arenas is important to support the fulfillment of mayors' role in advancing democratic governance at a '*glocal*' level (Barber, 2013), in this case, through participatory heritage practices in their cities, and therefore to enhance the *enabler* role of their participation. Future research can explore more in-depth some of these differences and similarities, monitoring the related knowledge exchange among cities, to assess the impact that such discussions in international forums can have on the development of participatory heritage practices at a local level, as well as the role that the mayors can play in it.

The mayors participating in the workshop generally showed awareness of the discourse developing around participation in heritage governance, showing previous knowledge and engagement with those practices. It is important to keep in mind that the participation of these mayors in the workshop stands for their previous political will to join, or remain, in the network of the OWHC (under proportional payment). Therefore, it implies that all these mayors chose to include heritage management in their political agenda and – to different degrees – in their policy priorities, both at an international and local level (Cabria *et al*., 2018; Denters *et al*., 2018; Stren & Friendly, 2019). Moreover, by being part of the OWHC network, they might have been previously exposed to the topic of participation in heritage practices before the XIV OWHC World Congress (*e.g*., during the 2016 OWHC Annual Meeting), which makes them more familiar – and arguably more sensitive – to participation related issues, independently from their policy priorities. This reflection further supports the idea that the international engagement of mayors can be a fundamental activity to address local issues, particularly when considering the decision-making power that they can have, as observed in the previous chapter (chapter 4), in the allocation of (limited) resources and prioritizations of actions and policies.

Also, the international engagement of public officers, in support or in place of mayors as cities' representatives in the OWHC network, can bring additional benefits to the improvement of participatory heritage practices at a local level, given their observed decision-making leverage along with all steps of heritage management processes (chapter 4; Veldpaus, 2015). However, questions on the affecting factors and necessary conditions that need to be in place for mayors and public officers to join the dialogue, be open to knowledge sharing, engage with identified solutions, and facilitate change at a local level need to be raised. Future research could investigate these factors and inform the role that international heritage networks can have in creating the optimal environment for governmental actors to embrace and fulfill their role as *glocal* network managers for the advancement of participatory heritage practices (Denters et al., 2018). In this perspective, the fact that *participation* itself emerged in the workshop as the most mentioned and controversial common SWOT factor seems emblematic of this emerging new role of mayors. It supports the idea that beyond all the possible differences among these mayors and these cities, the management of the participation of different stakeholders in their personal network is one of the perceived common challenges of their role (Denters *et al*., 2018, p.279).

While other studies investigated case-specific participatory dynamics, this research provides a first exploration of international trends, revealing the key connection between – sometimes unexpected – cities across the OWHC sectors, and informing future collaborations for the exchange of best practices and the formulation of innovative common solutions. This study has revealed the perception that governmental actors representing World Heritage cities have of participatory heritage practices, which – as such – is subjective and variable, but it's important to be investigated as it can significantly affect decision-making processes throughout heritage processes. Therefore, further research should continue investigating global trends, as well as looking deeper into common regional and local dynamics, to inform specific recommendations for the development and implementation of policies and programs, and create the basis for future work and collaborations, both globally and locally, both academic and practitioner-led, to better understand how these opportunities and challenges emerge in different contexts, how they are addressed, and what cities can learn from each other to make better use of strengths and opportunities of participatory heritage practices, overcoming weaknesses and threats.

This is particularly important when looking at these opportunities and challenges from a sustainability perspective, identifying them as the factors facilitating or creating barriers to participatory practices, and accordingly affecting their results. It emerges that the quality of participation alone can't be considered to independently affect the outputs of participatory heritage practices, and inputs are inseparable factors to consider when exploring the dynamics that lead participation to play different roles in contributing, or not, to sustainable development. This acknowledgment deems the understanding of what inputs are needed to foster a positive chain-like and/or circular relation with participatory

practices, their results, and their implications for sustainability, paramount to leverage opportunities and overcome challenges of participation. Such needs appear to differ regionally and locally, as affected by specific political, socio-cultural, economic, and environmental conditions; however, similarities among some World Heritage cities have been observed.

Overall, participation emerges as the commonly perceived most controversial transversal element across the SWOT. It is presented as a problematic situation, posing multiple challenges with omnifarious implications, however, it is also offered as the solutions, capable of triggering positive dynamics reinforcing the role(s) of participatory heritage practices in, for, as sustainable development. Multiple opportunities that could stimulate positive inputs and outcomes in the short term have been discussed during the workshop, and some key factors that could enable the sustained transformation of sustainability-oriented participatory heritage practices in the long term have been acknowledged. Further discussions are recommended to explore more in-depth these factors to facilitate their consolidation at a local and international level.

Results offered insights on participation at the time the research was carried out (2017), and despite much that has happened in the last five years, the latest studies suggest that while the COVID-19 pandemic posed new challenges to the management of our cities, it also exacerbated exiting ones (de Waal et al., 2022). Therefore, this research still offers relevant insights and inputs for a better understanding and improvement of participatory practices in World Heritage Cities nowadays.

Chapter 6 Participatory Heritage Practices in Antwerp: The Stuivenberg Program

6.1 Antwerp as a World Heritage City

While the term "World Heritage City" is commonly used in policies, research, and reports referring to specific World Heritage properties, seldom a definition is officially given (Pereira Roders, 2010, p. 245). According to the Organization of World Heritage Cities (OWHC), a member of its network must be "*the location of a living urban fabric of historic or contemporary interest whose outstanding universal value has been recognized by UNESCO, and is thus registered on the World Heritage List as required by the Convention concerning the Protection of the Cultural and Natural World Heri*tage"(OWHC, 2009, sec. art.15). No explicit exclusion criteria exist to limit this definition based on the different characteristics of enlisted properties, therefore, while the UNESCO World Heritage Cities Program mentions more than three-hundred cities (UNESCO, n.d.) and the OWHC currently counts for 156 active members (OWHC, n.d.), the potential number of WH cities can be considered much larger. Based on this acknowledgment, an attempt to categorize WH cities based on the nature of the listed "Outstanding Universal Value" (OUV) (UNESCO, 2019, para. 49; Labadi, 2017, pp. 46–47) has defined four typologies – singular (1), fragmented (2), concentrated (3), and absolute (4) – that can be found in an individual (A) or collective (B) context, whether the nomination refers to one urban settlement or connects multiple ones, resulting into eight categories (Pereira Roders, 2010, p. 250) (see figure 6.1). The visual representation of these categories further highlights the multilayered character of these cities and the interconnectedness of various attributes and values, listed and not-listed, at an urban level, locally, nationally, regionally, or internationally. Therefore, while the listed Outstanding Universal Value promotes one or multiple values and narratives associated with tangible or intangible attributes (Labadi, 2017, p.47), they also coexist and interact with other attributes and values, associated actors, politics, and regulation at multiple scales (Jacobs, 2020, p.342; Labadi, 2017, p.53-57). This acknowledgment makes World Heritage Cities particularly complex multilayered environments where the regulation and implementation of participatory heritage practices can face particular common challenges and opportunities.

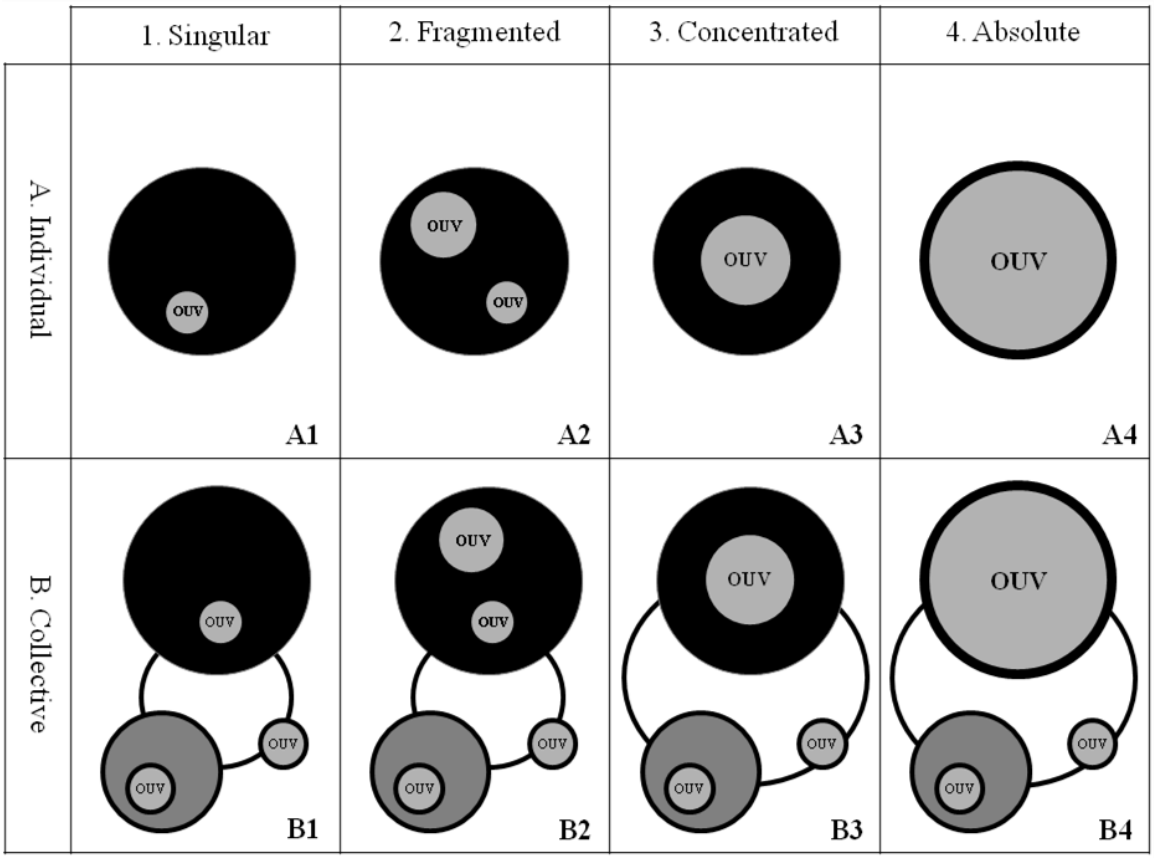

Figure 6.1: Typologies of WH cities (Pereira Roders, 2010, p. 250)

The city of Antwerp hosts three WH properties: the Plantin-Moretus House-Workshops-Museum Complex, the Antwerp Belfry and Stadhuis, and the Maison Guiette, respectively part of the two transboundary nominations "Belfries of Belgium and France" and "The Architectural Work of Le Corbusier" (*"L' Œuvre architectural de Le Corbusier. Une contribution exceptionnelle au mouvement moderne" nomination file*, 2015; *"Belfries of Belgium and France" nomination file*, 2005; *"Plantin-Moretus House-Workshops-Museum Complex" nomination file*, 2005). According to the classification mentioned above, it can therefore be considered as a WH city category B2, fragmented and collective, having in its urban area an independent property and two more connected to other conservation areas in Belgium and internationally.

Within the Flemish government administration (Vlaamse overheid), World Heritage management falls under the jurisdiction of the Flanders Heritage Agency, as the Agentschap Onroerend Erfgoed presents itself internationally, but in reality, the translation Flanders Immovable Heritage Agency would be more correct, as they are responsible for built, archaeological, landscape, and maritime (immovable) heritage (Agentschap Onroerend Erfgoed, 2018). On the other hand, the movable and intangible cultural heritage falls under the Culture, Youth, (Sport) and Media policy domain (Leenknegt, 2021; Vlaanderen Department Cultuur Jeugd and Media, n.d.), another agency, another minister

(at present) and another decree. This separation of responsibilities is mirrored sometimes at a municipal level, for instance, in the city of Antwerp – before 2020 – into the Department of Immovable Heritage (Afdeling Onroerend Erfgoed) and the Department of Museums and Heritage (Afdeling Musea en Erfgoed) (Stad Antwerpen, n.d.-b). The separation at the Flemish level has been connected since the 1980s to the recurrent state reforms in the federal state of Belgium, in which a region (like "het Vlaamse Gewest") is in principle competent for immovable heritage, while a community (like "de Vlaamse Gemeenschap") is responsible for "cultural heritage", a concept that was propagated by the successive Flemish ministers for culture (since Bert Anciaux) in the 21st century. This concept refers to, and brings together, the subfields of movable collections in museums, archives, and libraries, "popular culture", heritage volunteer organizations (like "heemkundige kringen" and other local history societies), and so on, leading to the crystallization of the "cultural heritage sector", organized via successive heritage decrees (2004, 2008, 2012, 2017, 2021, …). It is difficult to predict if and at what point the two policy domains – the immovable heritage and the movable, intangible, and digital cultural heritage – might be merged again into one heritage field, ministry, decree, and minister.

Despite the division of tasks between departments and agencies, the dynamics of the heritage field in Antwerp reveal a scenario in which the different institutions are interconnected and mutually influencing. Examples of these "cross-disciplinary" relations are offered by the Plantijn-Moretus Museum, which was presented as "the only museum" enlisted as World Heritage worldwide (*"Plantin-Moretus House-Workshops-Museum Complex" nomination file*, 2005: https://whc.unesco.org/en/list/1185/). A part of the archives in the Museum has been on the UNESCO Memory of the world list since 2001, emphasizing the importance of documentary heritage (https://museumplantinmoretus.be/en/content/archives). Also, the heritage of Antwerp as a port city, which creates strong bonds across sectors and borders (Authority, 2013), is another cross-boundaries example that can be mentioned. Such a complex and multi-diverse environment and a solid collaboration with multiple heritage-related research groups of the University of Antwerp and other Belgian Universities foster the exposure of the museums and heritage practitioners also to matters related to immovable heritage and related international heritage regulatory frameworks, as well as to the latest developments of the international heritage discourse. Therefore, beyond the formal administrative division of different heritage typologies and the boundaries created by the Flemish (and Antwerp) policy, we can consider the heritage practices taking place in a World Heritage city as inclusive of the management of their intangible and tangible, movable and immovable attributes, as well as influenced both formally and informally by the international heritage regulatory environment and discourse of all sub-fields.

6.2 Sustainability and Participation in the *Bustling* City of Antwerp

Since 2020, there has been a separate umbrella structure for heritage in the city, called "Autonoom Gemeentebedrijf Culturele Instellingen Antwerpen/Erfgoed", which translates as "autonomous municipal company of Cultural Institutions Antwerp/Heritage", abbreviated AGB in Dutch. It is a particular management structure for the immovable, movable and intangible heritage of the city of Antwerp (Stad Antwerpen, n.d.-a), which mission is to "enhance the local, Flemish and international appearance and appeal of Antwerp by realizing qualitative high-standing museum and heritage work/functioning", organizing an "artistically high-standing program" and creating "a surplus value for society, including in memory- and peace-education". These goals are spelt out in article 4 § 1 of the management agreement between the city of Antwerp and the AGB ("*beheersovereenkomst tussen de stad antwerpen en het autonoom gemeentebedrijf culturele instellingen Antwerpen/erfgoed*", 2020-2025). Particularly, they encourage the "facilitation [of] the basic functions of museums and heritage institutions" and the "increasing [of] the engagement of inhabitants, visitors, and other actors in Antwerp" (Autonoom Gemeentebedrijf Culturele Instellingen Antwerpen/Erfgoed, 2019, 4 § 1.1, 1.5).[28] The inclusion of these goals has to be partly understood as implementing the 2017 Flemish Cultural Heritage decree and the subsequent policy plans and management agreements with local heritage organizations, but also partly addressing a number of international heritage regulatory documents.

In the context of the dynamic strategic plan for 2020 of the AGB ("Autonoom Gemeentebedrijf Culturele Instellingen Antwerpen/Erfgoed Meerjarenplan 2020-2025), it is interesting to observe how heritage policy, and particularly participation, is framed. In the broader strategic plan of the city, the policy domain "07 Bruisende stad" ("bustling city") is proposed as an umbrella cluster covering several subdomains. They are "0700 Museums", which is presented as a Flemish policy domain category although regulated by the movable and intangible cultural heritage decree, "0709 Other cultural institutions", "0719 Other events", and others that are Flemish policy domain categories, such as "0720 Care for Monuments", "0721 Archaeology", "0729 Other policy concerning heritage" and "0730 Other art- and cultural policy". It emerges that, despite the original formal separation, monuments, museums, and participatory heritage initiatives are now addressed in the same structure at a municipal level, and World Heritage management is implicitly integrated into the category of monuments or heritage work.

[28] Translated in English by Ilaria Rosetti and Marc Jacobs.

The word “duurzaam” (sustainability) appears a few times in this plan. An example is offered by the action “2BRS0102 Investing in international art and cultural infrastructure”, which refers to the need for an urgent maintenance intervention to ensure a safe and polyvalent infrastructure that is accessible for every inhabitant, visitor, and (cultural) organization. It further specifies that the restoration, renovation, and development of new top infrastructures will take care of a sustainable cultural heritage that is shared and widely used (Autonoom Gemeentebedrijf Culturele Instellingen Antwerpen/Erfgoed, 2020, p. 32). The AGB policy plan doesn’t mention the SDGs, however sensitizing campaigns of the Province of Antwerp in collaboration with the University of Antwerp show increasing attention to the relation between heritage practices and the UN Agenda 2030 (Provincie Antwerpen, n.d.).

Moreover, several strategic actions in the plan refer to participation. An example is offered by the action 2BRS010301 for “Museums and heritage institutions”, which identifies the heritage cell of Antwerp as a learning platform responsible for working with a broad(ened) concept of heritage through participatory projects in neighborhoods (Autonoom Gemeentebedrijf Culturele Instellingen Antwerpen/Erfgoed, 2020, pp. 33–34), in line with what stated in the Faro Framework Convention on the Value of Cultural Heritage for Society (see chapter 2) (COE, 2005).

HeritageLab (ErfgoedLab), Antwerp’s heritage cell, is the municipal organization tasked with exploring and stimulating the dynamics and diversity of cultural heritage in the city by organizing projects and actions in the nine municipal districts to preserve, transfer, and share heritage, supporting, connecting, and collaborating with residents and local partners (Casteleyn, Janssens, & Neyrinck, 2014). After a period of transition and reorganization, in 2020, its new policy plan was approved under the 2017 Cultural Heritage Decree (Cultureelerfgoeddecreet), providing funding for its activities (ErfgoedLab Antwerpen, 2021; Vlaamse Overheid, 2017). Its work is based on the principles of *inclusivity* of multiple stakeholders in heritage processes, *relevance* of its heritage work within society, *engagement* of actors across sectors and disciplines, mutual and continuous *learning* and exchange of knowledge and skills with partners, and *viability* and flexibility in adapting to current challenges in the field, making participation a fundamental component of their daily work (ErfgoedLab Antwerpen, 2021). Therefore, while HeritageLab operates in a multi-diverse environment, it is exposed to and affected by local, regional, national, and international heritage discourses and regulatory documents, embracing and integrating their principles into its plan and practices. For this reason, the work of the HeritageLab makes an interesting case to observe to investigate how participatory heritage practices can play a role in the sustainable development of the city, furthering the discussion on the model of the roles of participation previously theorized, going beyond the investigation of each part of the model by exploring the relations among them (see previous chapters).

6.3 Methodological approach

The investigation adopted a case-study design frame and a mixed-methods approach (Creswell, 2003, p. 19; Thomas, 2011, p. 512). Using a case study allows real-life phenomena to be explored within their context, which is not controlled and becomes an integrated part of the investigation (Ridder, 2017, p. 282). Within the research continuum, it functions as a "gaps and holes" approach, which aims to further discuss, develop, and specify elements and dynamics of the constructed model of the system of the roles of participatory heritage practices in addressing sustainable development (Ridder, 2017, pp. 287, 295). In the context of the work of the HeritageLab, the Stuivenberg Program, called "Geheugen van Stuivenberg" (lit. Memory[29] of Stuivenberg), has been selected as the case study for this analysis (ErfgoedLab Antwerpen, n.d.), being it the first multi-project complex program developed under the framework of the new policy plan.

A mixed-methods approach has guided the investigation, integrating complementary methodologies that were progressively developed and adapted based on the obtained information (Bryman, 2006, p. 105; Creswell, 2003). First, the perception of the local heritage field is explored through a qualitative interview (Adams, 2015, pp. 492–493) with the coordinator of AGB Museums and Heritage. The recorded one-hour dialogue that took place on the 29th of July 2021 was structured into six open-ended questions:

- How is participation part of the Musea en Erfgoed's mission and vision?
- Is participation regulated in policies?
- Is the department working with the concept of sustainable development? If yes, what does sustainable development mean in the context of your work?
- Based on your experience, do you think participatory heritage practices can contribute to achieving sustainable development objectives in Antwerp? How?
- Are the UN Sustainable Development Goals used in the work of the department? (Labadi, Giliberto, Rosetti, Shetabi, & Yildirim, 2021; UN, 2015)

After a ten minutes presentation of the theory of the roles of participatory heritage practices in addressing sustainable development – as a right, a driver, and an enable (see chapters 1-3) – one last question was asked to guide the subsequent steps of the research:

- Which project(s) do you think could be suitable to assess the role(s) of participatory heritage practices in addressing sustainable development in Antwerp and could benefit from my research?

[29] Memory is the literal English translation of both *geheugen* and *herinnering*; however, the former indicates the capacity to remember, while the latter indicates what is remembered.

Second, a deductive quantitative and qualitative content analysis of the new Policy Plan[30] (Beleidsplan) of the HeritageLab aims to identify which roles of participatory heritage practices in addressing sustainable development are acknowledged and promoted through these documents (see chapters 1-3) and supports the further definition of the regulatory environment in which HeritageLab operates (Bengtsson, 2016; Popay et al., 2006).

Third, an online workshop was organized with the program coordinator using the virtual collaboration platform Miro[31] and the videoconferencing platform Zoom[32]. The aim was to explore in-depth the quality of current participatory heritage practices in the Stuivenberg Program, their intended and unintended results, the factors that affect them, their implications for sustainable development objectives, and the relational dynamics among these elements (Chisik et al., 2021; Phillips & Zimbatu, 2021; Tucker, Dancholvichit, & Liebenberg, 2021). The Miro board was designed for a multi-exercise session that included a description of the context and an adaptation of the formerly-tested SWOT analysis (Helms & Nixon, 2010) (see chapter 5) and multi-factor matrix (see chapter 4) (see figure 6.2)[33].

The work on the Miro board was divided into two parts: a first pre-session independently carried out by the program coordinator at her own pace within one month, across March and April 2022, and a subsequent interactive 2,5 hours online workshop with the researcher.

Part 1 – the independent pre-session – aimed to allow the program coordinator to:

- Make acquaintance with the board.
- Reflect on the program's stakeholders.
- Write the description of the 'Context of the Stuivenberg Program', composed of 'Goals of Stuivenberg Program', 'Situational Analysis', and 'Objectives of the Stuivenberg Program'.
- Draft the activities carried out by the different stakeholders throughout the steps of the heritage management process, both for the Stuivenberg Program and for the sub-project 'Kleurrijk Stuivenberg', using the provided framework of the six critical steps proposed by the UNESCO Recommendation on the Historic Urban Landscape and indicating the implemented forms of participation (Pereira

[30] The document is not publicly available, but HeritageLab has authorized its use for the analysis, providing that no direct quotes of the policy will be made.
[31] https://miro.com/app
[32] https://zoom.us
[33] The board can be seen at this link https://miro.com/app/board/uXjVO7BwA8s=/?share_link_id=593321218666

Roders, 2019, p. 40; Rosetti, Cabral, Roders, Jacobs, & Albuquerque, 2022; UNESCO, 2010; Van Oers, 2015, p. 326) (see chapter 4).

- Draft the inputs and outputs of participatory heritage practices, as composed of the opportunities and challenges for participation (inputs) and the opportunities and challenges resulting from participation (outputs), assigning them to the corresponding SWOT analysis elements – Strengths, Opportunities, Weakness, and Threats (see chapter 3 and 5).

Part 2 – the online Zoom/Miro session – aimed to allow the program coordinator to:

- Review and integrate the list of involved stakeholders, adding to which category they can be associated - politicians, policymakers, public officers, practitioners, direct users, or indirect users (Pereira Roders, 2019, p. 46) (see chapter 4)
- Review and integrate the stakeholders' activities throughout the HUL steps of the heritage management process, adding the forms in which they participate in those activities – not-informed, informed, consulted, enrolled, or decision-making (Cabral, Pereira Roders, & Albuquerque, 2021; Rosetti et al., 2022; Veldpaus, 2015, p. 69) (see chapter 4).
- Review and integrate the SWOT analysis, indicating (by drawing arrows) how the opportunities and challenges for participation (inputs) affect the activities, their results, and their implications for sustainable development; and how the opportunities and challenges of participation (outputs) affect the objectives of the program and their implications for sustainable development, by using the United Nations Sustainable Development Goals (UN, 2015) (see chapter 3).

Figure 6.2: Structure of the Miro board used in the online workshop with the Stuivenberg Program coordinator via Zoom, as inclusive of a context analysis, a multi- (HUL)steps and -stakeholders matrix of participatory activities, and a SWOT analysis

At last, a series of observations and dialogues during a one and a half year of monthly meetings with the program coordinator informed an ethnographic self-reflection on the research process, my role, and the mutual influence of the research and the program that integrates the discussion of the results emerged from the analysis (Davis, 2008, p. 58; Jacobs, 2014b, pp. 314–317; Lichterman, 2017; Wilson, 2001).

6.4 Perceived participation and sustainable development in the local heritage field

The interview with the coordinator of AGB Museums and Heritage helped to further contextualize the work of ErfgoedLab and to better understand how participation and sustainable development are perceived as promoted at a regional and municipal level within the heritage field from the perspective of a governmental actor.

The work of AGB Museums and Heritage focuses mainly on museums, which in turn work with communities, groups, and individuals, according to their policies, and on public art, working on topics of representation, gender, and decolonization, among others. At the same time, ErfgoedLab makes sure to reach out and collaborate with a greater variety of heritage players in the city, ranging from institutions and organizations to – most importantly – non-professionals. Participation is a significant part of their work and of the organizations they collaborate with, who interpret and implement it differently, according to their internal regulation and the heritage and stakeholders they work with (city officer, 2021, q.1).

Participation is widely practiced because it is considered necessary by the people working in the department, but its timing and processes are not regulated in detail in policies at a city level. Their approaches are inspired by international heritage regulatory documents that promote participation, such as the ICOM Resolutions (see chapter 2) (ICOM, 2019), and their work is regulated by the regional Cultureelerfgoeddecreet (Vlaamse Overheid, 2017), which includes participatory practices and requires a periodical report on their implementation. However, Antwerp is a very complex environment, administrated by ten different governmental bodies – nine districts and a central government – which have the right to develop policies and practices independently at a district level. Therefore, while some consider participation very important, others might regard it as less of a priority. This variety of approaches generates diverse contexts the central government needs to work with, occasionally requiring a direct collaboration with local organizations, communities, and groups (city officer, 2021, q.2).

The Cultureelerfgoeddecreet also includes topics related to sustainable development, but – in the interviewee's perspective – traditionally with a stronger focus on ecological sustainability. Despite that, many museums are working with the United Nations Agenda 2030 – the Sustainable Development Goals (SDGs) – with a more holistic approach. However, the absence of a common SDGs strategy makes it more complicated to find an agreement on common definitions and objectives that move beyond the scope of each individual department and team's vision, establishing a dialogue between departments and different actors in the city, using a cross-disciplinary common language and supporting collaborations that are crucial to bringing change and advance progresses on the Agenda 2030. Such a common language could help local heritage institutions collaborate with other organizations in international networks, such as ICOM and those working on intangible cultural heritage. Nevertheless, governmental bodies at a regional and municipal level haven't officially integrated this tool into their policies, despite the advocacy work of a coalition of professionals in the field, with key players active at a local, regional, and international level. The hope expressed by the coordinator of AGB Museums and Heritage is that by starting small, institution by institution, the coalition and its impact will grow, and the government will eventually integrate the SDGs into the regional and municipal policies (city officer, 2021, q.3,5).

During the interview, participation is indicated as contributing to the sustainable development of Antwerp. Adopting a participatory approach is considered by the interviewee to be the only way to implement heritage practices that are sustainable. It is more and more witnessed that citizens don't accept having exclusive institutions in Antwerp that only work with professionals. Moreover, communities and groups are part of the heritage definition the department works with, making collaborative approaches the only way to identify heritage attributes and values and decide how to work with them. Furthermore, cultural institutions are considered to have the potential to bring people together and talk about needs and aspirations, potentially playing an important role in society. For instance, in the past two decades, museums in Antwerp are increasingly working with society, not only those that address topics strongly connected to the city, like the MAS[34], but also others, like the Plantijn-Moretus[35]. However, working with participation and sustainability comes with several challenges, as they require a change of mindset and letting go of control. The Red Star Line Museum[36] offers an interesting example of practices that aim to move beyond the idea of participation within a pre-determined box, implementing participatory processes from the beginning of projects to

[34] https://mas.be/en
[35] https://museumplantinmoretus.be/en
[36] https://redstarline.be/en

co-define the areas of action with all the relevant stakeholders for the development of more sustainable and impactful practices (city officer, 2021, q.4).

During the interview, when presented with the model of the roles of participatory heritage practices in addressing sustainable development, the AGB Museums and Heritage coordinator considered participation as a right, a driver, and an enabler relevant to the department's work and brought examples of local practices. Thinking of participation as a right in a multi-diverse city like Antwerp, considerations were made over the need for people to safely practice their rituals and festivity, having access to their cultural communities and heritage places. Reflecting on the role of participation as a driver of sustainable development, the awareness of the existing diversities was remarked as equally important as the willingness to be inclusive. That was deemed essential to go beyond institutions' "open-doors approach", ensuring multi-perspectivity and preventing exclusion dynamics. Lastly, considering participation as an enabler of change and a sustained transformation toward sustainability-oriented heritage practices, representation emerged as an essential condition for the empowerment of communities, groups, and individuals, pointing out that issues of under-representation of parts of society and heritage in local institutions still require much work in Antwerp (city officer, 2021).

Based on these reflections, the city officer recommended three potential cases to explore in Antwerp and could benefit from the analysis of the roles of participation: the Red Star Line Museum, for its advanced work on topics of migration with communities and groups; the Middelheim Museum, for its methodological approach in dealing with heritage and its communities in the context of the museum's park and the public space of Antwerp; and HeritageLab, for its conceptual novelty and willingness to integrate participation since the beginning of its processes to co-design projects with multiple stakeholders (city officer, 2021, q.6).

Eventually, the latter was selected to further the investigation of the roles of participatory heritage practices in Antwerp, given that, at that time, HeritageLab had just adopted a new Policy Plan and was about to launch a new participatory multi-project program: the Stuivenberg Program "Geheugen van Stuivenberg".

6.5 The HeritageLab Policy Plan

The work of the HeritageLab is defined through a Policy Plan (ErfgoedLab Antwerpen, 2021). It comprises the mission, core values, vision, and strategic objectives of the heritage cell of Antwerp, including a draft plan of actions per goal along the timeline of the validity period of the policy. Participation figures throughout this document in various forms, revealing which roles and subcategories of participation in addressing sustainable development are promoted by the HeritageLab and were chosen to guide its practices in the field (see table 6.1).

Regulatory document	**R1** Participation as the right to access, visit, understand, use and perform cultural heritage	**R2** Participation as the right to participate in decision-making on/benefit from management of heritage as a common good	**R3** Participation as the democratic right to participate	**D1** Participation as a driver of conservation, preservation and safeguarding of natural and cultural resources	**D2** Participation as a driver of resilient, liveable, smart, and sustainable living environment	**D3** Participation as a driver of sustainable heritage strategies, governance, and management	**D4** Participation a driver of sustainable development of local communities	**D5** Participation as a driver of peace building, conflict resolution, mutual understanding of cultural diversity, and tolerance	**E1** Participation as an enabler of the sustainained transformation towards sustainability-oriented participatory heritage practices	Number of addressed roles	Number of addressed subcategories
ErfgoedLab Policy Plan				Mission; Vision par.1, 4; Stategic goal 1; SD1-OD3; SD2-OD1; SD2-OD3; SD2-OD4; SD3-OD1; SD3-OD2; SD3-OD3; Stategic goal 4; SD4-OD2; SD4-OD3	SD2-OD1	Vision par.1, 4; Stategic goal 2; Stategic goal 3; SD3-OD1; SD3-OD2; SD4-OD2; Stategic goal 5; SD5-OD2	Vision par. 4; SD2-OD1; Stategic goal 5	SD1-OD3; SD2-OD2	Mission; Vision par.1; SD1-OD1, OD2; Stategic goal 2; SD2-OD1; SD2-OD3; SD2-OD4; SD3-OD1; SD3-OD2; SD4-OD2; SD4-OD3; Stategic goal 5; SD5-OD1; SD5-OD2; SD5-OD3	2	6

Table 6.1: Roles of participation and subcategories promoted by the HeritageLab Policy Plan

Participation is not explicitly mentioned as a right, and it's prevalently indicated as a driver of sustainable development. Particularly, it is considered a way to support the effective identification, acknowledgment, safeguarding, research, and sharing of heritage in a multi-diverse environment that requires a continuous mapping process of local heritage and actors, stimulating awareness, dialogue, and reflection over attributes and values (D1). Moreover, understanding the existing heritage actors is considered key to creating a network at the urban, regional, and international levels. Such a network can facilitate the leveraging of existing knowledge and expertise, as well as the development of partnerships for effective collaboration processes and the sustainable management of heritage within and outside the heritage institutions through the creation of a city-wide agile hub and advisory bodies (D3). Furthermore, consultation and co-creation processes are considered a fundamental approach to embedding heritage in society's life in a sustainable way and advancing urban development (D4, D2), such as in the case of the Stuivenberg Program. Finally, participation can encourage the development of constructive public dialogue around dissonant heritage in the city, for instance, through multi-perspectives participatory programs on the management of colonial monuments (D5).

Participation is also often indicated as an enabler of a sustained transformation towards sustainability-oriented heritage practices. Great attention is given to the facilitating and mediating role that the HeritageLab wants to have in the heritage network, supporting and connecting all heritage actors through the development of participatory and inclusive projects, long-term programs, and policies, as well as the organization of professional training and educational activities, the allocation of funding, the creation of an

environment that encourages the participation of all actors and the exchange of knowledge, tools, methodologies, and guidance, in a constant learning process (E1).

The Policy Plan of the HeritageLab defines the terms and timing of the work carried out by the HeritageLab in Antwerp and therefore framed the development of the Stuivenberg Program, affecting the system of participatory heritage practices that are further analyzed in the following section.

6.6 The Stuivenberg Program

The Stuivenberg hospital was built in the 1860s as part of a development plan that affected the whole neighborhood, offering new social services and housing. In 1872, a special committee was formed to plan and implement the construction of a hospital with a capacity of over four hundred beds in the eight pavilions and forty beds in the maternity ward, also providing housing for the staff, a chapel, a pharmacy, an operating room, a mortuary, and a nursery, quarters for medicine students, nurses and service personnel, a kitchen and a refectory, warehouses, a laundry, and a bathhouse. At the beginning of the twentieth century, the whole complex was expanded to include a theater and new hospital wards and services, which saw the development of two pavilions dedicated to the mentally ill men and women, which set the basis for the current psychiatric hospital (ErfgoedLab Antwerpen, n.d.; Vlaanderen Onroerend Erfgoed, n.d.). This grand urban project shaped the character of the neighborhood over a century ago and continues to strongly affect the evolution of this historic urban landscape. For this reason, the Stuivenberg Program is an initiative that aims to explore the relationship between memory and heritage in the context of the relocation of part of the Stuivenberg General Hospital and the consequent transformation of the area with a potentially strong impact on the future development of the district (see figure 6.3).

As part of the redevelopment, the psychiatric hospital and nursing school will remain, and the concept of “care” will continue guiding the plans offering new health-related services, such as a dentist, a nursery school, and public spaces to the local population, while preserving and repurposing most of the existing historic structures and natural resources (AG Vespa, 2022).

The neighborhood offers a peculiar setting for the project because it is historically an area where newcomers arrive when moving into the country, generating a great ethnocultural diversity, high poverty rate, and a fast moving-out pattern to other areas of the city or the country (Schillebeeckx, Oosterlynck, & De Decke, 2016, p. 35). This multi-diverse environment sees a diversified use of the public space, with people experiencing different boundaries, sense of belonging, and attachment to shared places, which requires the adoption of a multi-perspective approach when working in the neighborhood (Alivizatou,

2022; Göttler & Ripp, 2017, pp. 30–31; Oosterlynck, Saeys, Albeda, Van Puymbroeck, & Verschraegen, 2017; Taşan-Kok, Bolt, Plüss, & Schenkel, 2017).

At times, such diversity and dynamism have been translated into a negative image in the media (Schillebeeckx et al., 2016, p. 34), while creativity and resilience also characterize the district as full of potential (Taşan-Kok & Vranken, 2008). An extensive network of local organizations works to leverage such potential and help communities, groups, and individuals with special needs who come to the neighborhood or move out of it. This frequent change of dwellers contributes to the shaping of the heritage and memory of Stuivenberg, which in turn can represent a great resource for the further development of the neighborhood and the shaping of its dwellers' wellbeing. Therefore, the relocation of the General Hospital is considered a good opportunity to work with multi-diverse communities and groups to identify the stories, objects, and customs that are valued, characterize the district, and are to be taken into consideration and managed in this process of change (Miro board, 2022[37]).

[37] https://miro.com/app/board/uXjVO7BwA8s=/?share_link_id=593321218666

Figure 6.3: Aerial image of the area of the Stuivenberg General Hospital (Vlaanderen Onroerend Erfgoed, n.d.) and its geolocation in the Stuivenberg neighborhood in Antwerp (Google, n.d.)

The program is expected to last two years, from 2021 to 2023, and is composed of multiple projects developed along different timelines, each one independently coordinated by a team member of the HeritageLab or a local partner, under the overarching management of the program coordinator (ErfgoedLab Antwerpen, 2021). Presently, there are five ongoing projects within the program:

- *Kleurrijk Stuivenberg* (Colorful Stuivenberg), which explores the heritage of colors by researching the making of natural dyes and their use in medicine, local cuisine, clothing making, interior design, and art with the patients of the Day Clinic of the Stuivenberg Psychiatric Hospital. A series of four sessions aim to

bridge the gap between patients and their living environment, the Stuivenberg district, and the city of Antwerp (Van de Vel, 2022).

- *Stuivenberg Vertelt* (Stuivenberg Tells), which collects stories about the hospital, its development since the late nineteenth century, and its workers, in collaboration with a group of students from the History Department of the University of Antwerp and of the Nursing Department of the Karel de Grote Hogeschool (ErfgoedLab Antwerpen, 2021).
- *Waardering van de Lambotte Collecties* (Significance Assessment of the Lambotte Collection), which aims to investigate the multiple perspectives and values of the collection of medical tools and devices from the nineteenth and twentieth century that is hosted in one of the round pavilions of the Stuivenberg General Hospital and is managed by an association through a team of volunteers (FARO. Vlaams steunpunt voor cultureel erfgoed, n.d.; Lambotte Museum, n.d.; Subwerkgroep Waardering: et al., 2017).
- *Au Fond Stuivenberg*, which looks for soup recipes and stories on the traditional local soup's production and consumption, and on their evolution, influences, and connection with other cultures and places (Zocchi, Fontefrancesco, Corvo, & Pieroni, 2021).
- *Van Herinneringskaart tot Geheugenkaart* (From Reminiscence to Memory Map), which collects knowledge on local habits and places of interest by making maps with different groups and individuals. Once collected, the maps are combined into a unified map of meaningful places that will inform an open call for local organizations and groups to propose and develop related activities or events, fostering the research and the transmission of *memories* (Antwerpen, 2022).

In addition, there is a parallel project on the local hammam culture called "Hammam. Steaming Stories", which is not officially part of the program but partly takes place in Stuivenberg and is financially and content-wise supported by the HeritageLab (Nokhla, n.d.).

Within this context, through the Stuivenberg Program and its sub-projects, HeritageLab expects to achieve a number of key outcomes and impacts, as outlined in the following table (see table 6.2).

ENVISIONED OUTCOMES	ENVISIONED IMPACT[1]
To know more about what people find meaningful, valuable, and typical in the city quarter of Stuivenberg.	SDG11, 10, 4
To identify communities, groups, and individuals that have valuable knowledge, experience or skills related to heritage.	SDG 10, 17
To raise locals' awareness over shared and conflicting heritage values within multi-diverse communities and groups, giving actions more chances of a durable effect (e.g. by increasing knowledge sharing, acknowledgement, empowerment, etc.)	SDG11, 10, 4
To try to facilitate collaborations with partners who become co-owners of the activities and projects that are developed, and facilitate learning processes for all involved, stressing the importance of processes besides results, and giving actions more chances of a durable effect.	SDG10, 17, 4
To aim for participation on different levels by developing strategies that include people in decision making and evaluation processes, sharing stories, and supporting own initiatives, acknowledging that participation is a two ways communication process that requires flexibility, adaptability, and constant learning and improvement cycle.	SDG 11, 10, 17, 4
To raise awareness of the diversity existing in Stuivenberg and encourage a multi-perspectives approach.	SDG 11, 10
To acquire more knowledge on the relationship between memory and heritage.	SDG 11, 4

Table 6.2: Envisioned outcomes and impact of the Stuivenberg Program stated by the program coordinator (Miro board)

6.6.1 Participatory heritage practices

6.6.1.1 Activities

According to the perception of the program coordinator, the main actors indicated in the Miro board as taking part in the development and implementation of the program are public officers and policymakers, followed by politicians, private professionals, and direct users (see stakeholders' categories in chapter 4). Public officers can be differentiated into the Stuivenberg Program coordinator, the project assistant, the project coordinator of AG Vespa (the independent municipal company for real estate and urban projects in Antwerp), and representatives of other city departments, such as communication liaisons, the financial team, and human resources (HR). Among them, but with policy-making responsibilities, there are also the coordinators of HeritageLab and AGB Museums and Heritage and the director of the Talent Development and Leisure Activities Company (bedrijfsdirecteur Talentontwikkeling en Vrijetijdsbesteding). The politicians involved in the process are the alderwoman of culture and the mayor, while the private professionals and

the direct users are represented by various partners, ranging from institutions to communities, groups, and individuals. All of them are indicated as actively participating in specific steps of the heritage management process, being either enrolled or in a decision-making position, according to particular roles and responsibilities.

The program coordinator emerges as the key actor facilitating the program's development from the initial phase of identifying resources. She carried out preliminary exploratory conversations in the neighborhood to detect stakeholders, their skills, and needs, which contribute to the development of the vision and outset of the program by informing the selection and implementation of projects, the identification of partners, and the allocation of budget. She designed and composed a feedback panel (klankbordgroep[38]) that monitors and supports her work, contributed to the drafting of the annual budget planning with the active specialized support of other public officers from different city departments working on communication, financial, and human resources, and is responsible for the selection of the support personnel, such as the project assistant. She has great decisional power at the initial stage of the process but is mainly just enrolled in budgetary matters. The same goes for the project assistant, who actively supports the work of the program coordinator, but also holds some decisional power over identifying and managing projects and strategic partners as a member of the feedback panel.

Once the main workstreams launched in this initial stage by the program coordinator and other public officers are identified, it is possible to define the complementary roles of the other actors involved. For instance, the coordinator of the HeritageLab supervises the work of the program coordinator and signs the agreements and contracts with partners, while also deciding on the allocation of the budget previously drafted with the input of the different public officers and approved by the coordinator of AGB Museums and Heritage and the Talent Development and Leisure Activities Company Director. In this initial stage, private professionals and direct users contribute as partners to the co-design of the sub-projects, directly carrying out or facilitating activities at the communities and groups levels, making their staff, expertise, time, communication channels, and networks available, and occasionally also financial resources. An example is offered by SAAMO[39], a social work organization active in the city of Antwerp and other Belgian cities and regions.

At the program level, no activity has been recorded for the identification of heritage attributes and values, which are instead explored at the level of the individual sub-projects.

[38] Literally “sounding board”.
[39] https://www.saamo.be/over-saamo/

The assessment of vulnerabilities, understood in this context as the monitoring and annual or mid-term evaluation and activities report, doesn't include the public officers working in other departments, who are either not informed (HR, financial team) or informed (communication liaisons) and consulted (AG Vespa, partners), but shows the hierarchical power structure of the municipal government. The project assistant starts drafting the report for the city council and the one for the Flemish authorities by filling the Erfgoed Canvas Models (heritage canvas model), an adaptation of the Business Model Canvas used to describe each sub-project and report on the mid-term internal evaluation (Sparviero, 2019), with the support and final editing of the program coordinator. The coordinator of HeritageLab reviews and edits both reports and sends them to the AGB Museums and Heritage coordinator for final review and approval. The Talent Development and Leisure Activities Company Director approves both reports and sends them to the alderwoman, who approves the reports and presents the annual activities to the city council. Finally, the mayor approves the report for the Flemish authorities, and its office files it.

The definition of the strategy is a process that originates from the exploration process started in the phase of identification of resources by the program coordinator, with the contribution of the project assistant, the feedback and input of the partners, and the support and supervision of the coordinators of the HeritageLab and AGB Museums and Heritage who creates space and provides resources within the working frame of the municipality. The program strategy takes shape through the decisions and enrolment of public actors and the enrolment and consultation of private stakeholders. While the coordinator of AG Vespa is informed or consulted throughout the process, the other representatives of supporting city departments (HR, financial team) are not informed after the initial stage of the management process.

The prioritization of actions and strategies happens through an ongoing communication and negotiation process with partners and the City of Antwerp at multiple scales by the project assistant, the program coordinator, and the coordinator of the HeritageLab, in consultation and collaboration with the partners, and with the support of the communication liaisons team. The AGB Museums and Heritage coordinator is informed, together with the coordinator of AG Vespa.

Lastly, building partnerships is an activity that is led very actively by the project assistant, program coordinator, and coordinator of the HeritageLab, with different responsibilities, and the support of the communication liaison team for the external and public sharing of information. The partners, including AG Vespa, are consulted or actively participate in the process by offering networks and resources. The intervention of the coordinator of AGB Museums and Heritage is required to provide guidance only in case of political questions or the need for information over the municipal management team, while the Talent Development and Leisure Activities Company Director is informed. In particular non-

desirable cases, the alderwoman and the mayor might intervene in case of political friction to mediate and solve issues.

6.6.1.1.1 Kleurrijk Stuivenberg

On the level of the sub-projects, adding another layer of collaborations causes the shifting of responsibilities and control over processes one step lower, giving more power to the project coordinator and further involving direct users throughout the steps of the heritage management process.

The subproject “Kleurrijk Stuivenberg” can offer an example of these dynamics happening in the neighborhood (ErfgoedLab Antwerpen, n.d.). It is a social heritage project in which a group of patients from the day clinic of the Stuivenberg Psychiatric Hospital participate in three color-themed series of six workshops led by the project coordinator, a social artist (private professional) specialized in natural dyes and the heritage of colors. The first series started with three paintings – the Potato Eaters, View on the back of houses of Antwerp, and the Sunflowers – by Vincent Van Gogh, who lived for a short period in the area (1885-86) and was also hospitalized here (Van Gogh Museum, n.d.). The aim was to explore themes relating to heritage and care, such as food, feeling at home, and personal wellbeing, through conversations, artistic expression, and intangible heritage activities (e.g., dying of fabric), in collaboration with local partners (see figure 6.4). An attempt is made to explore how these themes can bridge the gap between the patients and their environment, the Stuivenberg neighborhood, and the city of Antwerp. The aim of this heritage project is to connect and empower the participating patients (SDG10) by developing new skills and expanding their network outside the hospital in collaboration with partner organizations (SDG17), such as the Psychiatric Hospital, local shops, and organizations, contributing to socializing care (SDG3) and strengthening inclusive ties between people within the Stuivenberg district (SDG11)[40].

[40] The SDGs mapping was made by the team working on the project and was retrieved in the Kleurrijk Stuivenberg heritage canvas, which is a non-public document.

Figure 6.4: Project coordinator and patients working with natural dyes and fabrics. © Stad Antwerpen en Psychiatrisch Ziekenhuis ZNA Antwerpen – foto Ans Brys

In this context, the program coordinator is still responsible for carrying out the preliminary exploratory conversations to bring partners together and facilitate the design and communication of the project, allocating the budget, drawing up contracts in collaboration with the coordinator of the HeritageLab, co-assigning staff with the Psychiatric Hospital director (private institution-partner), and supporting the work of the project coordinator and Day Clinic (Dagklienik) representative in the further identification of resources. The project coordinator is enrolled at this initial step of the management process, curating the preparation and documentation of the sessions.

In the definition of heritage attributes and values, the project coordinator takes the lead in determining the project outline, co-designing the research questions with the program coordinator and the Day Clinic representative, who is responsible for providing input on effective and sensible methodologies for working with the patients, drafting an appropriate consent form with the technical support of the hospital's communication office. The participating patients (the direct users) are enrolled in the identification and connotation

of color-related experiences and practices by sharing their perspectives and knowledge during the sessions through the employment of visual thinking strategies[41].

The process of assessing vulnerabilities, understood here as the periodical evaluation of the project's activities with the enrolment of partners and the consultation of participants, is also led by the project coordinator. The Day Clinic representative and the program coordinator offer active support in this phase and inform the coordinator of HeritageLab, who provides feedback and recommendations if and as necessary.

The definition of the project strategy sees the specific input of the core team and partners, revealing expertise and priorities. While the program coordinator directs the focus on intangible heritage practices and documentation, the project coordinator focuses on colors-related practices and socio-artistic expressions for the well-being of participants, and the Day Clinic representatives stress the importance of the well-being and empowerment of the patients. The latter are consulted during the sessions and given decisional power over presenting the outputs and options for an exhibition.

The processes for building partnerships can be distinguished on a strategic and operational level. The strategic partnerships are managed by the Psychiatric hospital director, who focuses on the participants and local organizations, and by the program coordinator, who facilitates links with the heritage network at the neighborhood, municipal, and regional scale, establishing and curating linkages with other projects of the Stuivenberg Program and related relevant partners. The operational dimension of the identified partnerships is decided upon by the project coordinator and the Day Clinic representatives, who manage the relationships with the patients and local partners, respectively from the perspective of the HeritageLab and the psychiatric institute.

6.6.1.2 Affecting factors

Several opportunities and challenges for participatory heritage practices are perceived as affecting the implementation of the activities mentioned above. The perceived opportunities can be grouped into resources, such as available budget, spaces, time, and people, with their knowledge, skills, and network, positive communication, the COVID-19 pandemic, flexible and supportive administrative and management processes, and the political mandate and backing. Many of them are also perceived as representing a challenge, such as resources, time and people, inadequate communication, excessive flexibility of management choices, unsupportive administrative processes, and the

[41] https://www.ucc.ie/en/vts/about/

mutability of political support. An overview of how these perceived opportunities and challenges intertwine is provided below.

HeritageLab received the mandate to work on the Stuivenberg program through the approval of the Policy Plan, which ensures the necessary political backing to secure the allocation of financial and human resources throughout the regulated timeframe and program's timeline. However, the political backing can shift quickly, affecting the implementation of specific activities, also due to the previously mentioned different timeframes of the political elections (and therefore mandate) at the municipal and regional level (ErfgoedLab 2020 Policy Plan versus Flanders 2017 Cultureelerfgoeddecreet). This hasn't represented an issue for the program yet, but it is perceived as a threat that can be faced in case of political changes, which can be triggered by the challenges experienced in Stuivenberg as a complex and multi-diverse neighborhood.

Various professionals are considered to bring opportunities to the program and its subprojects. For instance, the project coordinator is key to their successful implementation, together with the project assistant, other public officers working on related projects, like the person in charge of the significance assessment of the Lambotte Museum collection, and the freelancers, such as other project coordinators and professionals offering technical and creative support, e.g., photographers and designers. Given the fundamental contribution that all these people provide through their skills and networks, the discontinuity of these positions might cause some challenges. For instance, the first project assistant hired within the framework of the Stuivenberg Program received another job offer a few months after joining the team and on short notice had to be replaced, affecting the development of the network and the advancement of the individual projects. On the one hand, the hiring process required preparation and extra resources, while on the other hand, it offered new networking opportunities and brought additional knowledge and skills to the team.

Social and organizational skills are indicated as necessary to the team. The formers are fundamental to any participatory project, adding quality to communication processes and fostering the building of trust among stakeholders. On the other hand, organizational skills are needed to ensure the progress and the monitoring of projects, meet deadlines, and manage expectations. In case of poor organizational skills or lack of experience, projects might not be well managed, and there's the risk of delays and discontent among partners. This aspect doesn't represent an active threat in the Stuivenberg Program but needs to be closely monitored due to the complex coordinating process of numerous subprojects. Moreover, knowledge of the heritage field and the capacity to look beyond the traditional disciplinary boundaries with open-mindedness, creativity, and proactivity, are considered essential skills to have in the team, which have guided the hiring process of colleagues and external collaborators leading the projects, and the relationship with partners.

The continuous development of a network to identify possible collaborations and look for common ground is another mentioned opportunity to implement participatory heritage practices effectively. As previously mentioned, it is strongly affected by the team's social skills, knowledge, attitude, and communication processes, potentially affecting, in turn, the political backing of the program and individual projects. Communication can be positive and support inclusive heritage processes, but it can also represent a challenge at multiple scales, especially in a complex and multi-diverse environment like Antwerp. For instance, the city has an effective marketing strategy, which presents a variety of selected urban narratives to a flourishing tourism industry (De Wilde, 2018); however, it presents some limitations in creating communication channels between communities, groups, and the wider urban audiences, especially when working with a variety of partners, including vulnerable groups and individuals, on contested narratives and personal stories. Anyhow, communication challenges, as well as could happen in case of lack of human and financial resources, can be turned into opportunities by building strategic and complementary partnerships, for instance, by making use of communication channels of partners and reaching out to an even broader and more diverse audience.

The only threat that can't generally be solved with a strategic partnership is considered to be the lack of time. Time is a key resource in support of networking, building trust and partnerships, which can be underestimated when carrying out participatory projects. Indeed, while it is important to scout people with the necessary skills and expertise, it still takes time to understand the context of a project and people's needs, allowing collaborations to grow and flourish. In the case of the Stuivenberg Program, the initial planning envisioned the completion of the projects by the end of 2021; however, partially due to the pandemic, it was postponed to mid-2023, which offered extra time to think, plan, and adapt the program to the evolving societal needs.

The COVID-19 pandemic can therefore be considered both a threat and an opportunity. On the one hand, it limited networking activities and meeting opportunities, slowing the projects' implementation and affecting the overall timeline of the program. On the other hand, besides providing additional time, it fostered innovation by stimulating the ideation of alternative solutions for collaborations (de Waal, Rosetti, Jinadasa, & de Groot, 2022, sec. 4). For instance, the team working on the significance assessment of the Lambotte collection experimented with online collaboration tools, enabling the advancement of the project during the lockdown and the consultation and involvement of specialists from other areas of the country. Moreover, while the pandemic brought challenges to most projects, conditioning their activities and initial planning, Kleurrijk Stuivenberg was less affected due to the uninterrupted possibility to meet partners from the psychiatric hospital and patients.

Having available meeting spaces in line with partners' and users' needs is also identified as an opportunity for participatory heritage practices. When facing the challenge of having the municipal offices on the other side of the city, providing a not-so-cozy and accessible

environment, opportunities were found in the strategic collaboration with SAAMO, which offered the Stuivenberg Program's team to use its coworking space located right into the neighborhood[42].

The collaboration with multiple stakeholders, the implementation of inclusive and participatory practices, and the evolving context in which the projects are planned and implemented require flexibility in the ideation and development of the activities. Such flexibility comes with the willingness to redesign original plans and can represent both an opportunity and a challenge. Sometimes, the required change is small, like adding people to a jury tasked with the evaluation of an exhibition displaying the results of the mapping of the memories of Stuivenberg. Other times, adjustments concern the alteration of participatory strategies and approaches, but it can also happen that too many changes eventually lead to failures; therefore, it is essential to establish a continuous dialogue with partners to ensure a balance between adopting a flexible approach and making progress for the delivery of outcomes.

Lastly, having the expertise and options to design different contracts and agreements and supportive administrative processes is considered another factor in between opportunities and challenges. All the procedures structuring the work of such a big and complex municipality contribute to the transparency of its operations and aim to ensure the equitable allocation of opportunities and resources. However, they can generate a complex bureaucratic environment that can work against the smooth implementation of projects and programs, causing frustration in the collaboration between public and private actors. For instance, in the case of the cooperation with SAAMO on the project "Van Herinneringskaart tot Geheugenkaart", in which both partners worked with groups and individuals to fill in Memory Maps of the neighborhood, the HeritageLab team and the local organizations had to work with different timings and processes, due to SAAMO's tendency and freedom to organize activities spontaneously last minute and the necessity of municipal actors to go through multiple procedures.

6.6.1.3 Outputs and impact

Many opportunities and challenges are perceived as originating from participatory heritage practices, which are affected both by the activities mentioned above, and facilitating and barrier factors.

One of the main perceived challenges is the super-diversity in the neighborhood that brings issues of representation, acknowledgment, and recognition. When the program coordinator and project assistant identify resources and choose what projects to

[42] https://www.saamo.be/antwerpen/

implement and facilitate, each choice becomes potentially exclusive due to the program's limited capacity. Moreover, perceived issues of representation potentially affect the work of the alderwoman by quickly turning into political discussions in case of exclusive practices and expressed discontent by communities and groups. In the case of Kleurrijk Stuivenberg, the representation of the patients of the Psychiatric Hospital through the project can contribute to connecting the group to the neighborhood and its network. Still, it also comes with the challenge of finding an appropriate documentation and communication channel that is respectful of their vulnerability and their wellbeing, and can facilitate – or not – the successful establishment of these connections.

The fragmentation of stories resulting from the extensive engagement processes and consultations among and within each project makes it hard to identify and communicate the heritage of Stuivenberg and the area of the General Hospital. This possible perceived ambiguity creates communication challenges with locals over what can be funded or not within the framework of the program. For instance, before the development of the program, when the focus on intangible heritage was promoted, some individuals reached out to ask for funding for private traditional wedding ceremonies. This sort of challenge can be managed through the mediation work of the HeritageLab team in supporting partners in investigating and defining heritage attributes and values, facilitating their accessibility, and building partnerships.

Building partnerships can also be seen as a selection process within existing networks, such as the care system, that excludes groups and individuals, affecting their participation and perception of the projects. However, the continuous mapping of stakeholders in the context of the Stuivenberg Program has been perceived as positively impacting processes of inclusion and participation by establishing new partnerships and optimizing existing ones through the definition of roles and responsibilities by contract.

Co-designed agreements can facilitate collaborations, enabling supporting administrative processes, but also limit the flexibility of governmental actors to adapt to the changing context of the program and individual projects, creating misalignments in timing and actions. As previously mentioned, these factors inevitably affect participatory heritage practices, which, in turn, can impact the perception of partnerships and the quality of collaborations, determining future practices and cooperation.

When looking at the Stuivenberg Program, the main expected opportunities resulting from participatory heritage practices concern the overarching objectives of the program and are considered to impact progress towards the achievement of sustainable development goals (see program coordinator’s SDGs mapping in table 6.2). For instance, the work of the program coordinator and the project assistant throughout the heritage management process is expected to successfully inform the identification of actors (communities, groups, and individuals) that have valuable knowledge, experience, and skills related to

heritage, which in the long term will contribute to furthering the work of HeritageLab that is aligned with SDG10 and 17. Moreover, the work of partner institutions, organizations, and individuals, especially in the identification of resources, is expected, firstly, to make them co-owners of the activities and projects that are developed, facilitating learning dynamics by focusing on their co-creation besides their outcomes, contributing to SDG4, 10, and 17. Secondly, it is expected to contribute to the implementation and further development of strategies that include multiple actors in decision-making and evaluation processes, in telling their stories, and in supporting their initiatives through a trial and error approach, with a focus on documentation and learning, contributing to SDG4, 10, 11, and 17.

When looking at specific projects, an additional layer of opportunities emerges from implementing participatory heritage practices. For instance, within the context of the project Kleurrijk Stuivenberg, the participation of the patients in the sessions is believed to raise awareness of the heritage of colors (D1), making it more accessible (R1); to stress the importance of their participation and empowerment in establishing a continuous communication and connection with external organizations and individuals (E1); to foster mutual understanding among patients and partners (D5); to build locals' resilience in a changing environment (D4); and to value everyone's contribution in shaping the project, its outcomes, and future developments (R2, R3, D3). Moreover, the collaboration with partners in the ideation, implementation, and monitoring of the project (D3) can offer insights into the opportunities for mutual learning through effective communication processes and agreements (D1, D3), and the added value of using heritage practices in their work – beyond this project – to connect with their target groups, create connections among people (D4, D5), and between people and the environment (D2, D4).

6.7 Implications for sustainable urban development of the neighborhood

The results results that emerged from the different investigations carried out to explore the participatory heritage practices in the Stuivenberg Program can be observed and discussed together to get further insights into the implications of these practices for the sustainable development of the neighborhood and the city.

The interview with the coordinator of AGB Museums and Heritage revealed a general understanding of the potential roles of participatory heritage practices in contributing to the sustainable development of Antwerp. In fact, despite the traditionally prioritized definition of (ecological) sustainability in regional regulation, it emerged from the conversation that multiple heritage actors associate their participatory work with broader sustainability objectives, with variations, and in some cases with the SDGs. The perception of participation and sustainable development in the local heritage field that emerged from the interview shows a good alignment with the newly adopted multi-year plan and hints at

the progressive work of key actors that inspired changes in regional and local regulation. Specifically, the content analysis of the HeritageLab Policy Plan document provides a more detailed idea of how these links are perceived and promoted in the work of Antwerp's heritage cell, showing a comprehensive acknowledgment of the potential role of participation as a driver and enabler of sustainable development, and all corresponding subcategories. Even though **participation as a right** is not explicitly promoted in this regulatory document, the analysis of the challenges and opportunities generated by participatory heritage practices in the projects Kleurrijk Stuivenberg (see SWOT analysis) and the coding of the related roles of participation done by the program coordinator in the Miro board, shows the awareness that participation, understood as the possibility to have access to heritage (R1) and related decisional processes (R2), is a matter of human rights and an expression of democratic values (R3). The choice of not making it explicit in the Policy Plan might indicate that, in the context of a democratic environment, like in Belgium, Flanders, and Antwerp, stressing people's right to freely participate in an empowered and informed way in public processes is too intrinsic or evident to be mentioned. However, the Faro Framework Convention on the Value of Cultural Heritage for Society, which is the key inspiring international heritage regulatory document of the 2017 heritage decree and the strategic 2020-2025 plan of the AGB (see above), explicitly underlines the importance of regulating participatory heritage practices that are free, informed, inclusive, and timely, ensuring the access, experience, and respect of cultural diversities, as an expression of democratic values and democratic heritage processes (see chapter 2). Working with multi diversity and with various coexisting narratives has been identified as a challenge by the program coordinator, and the explicit mention of participation as a right in local regulation could support and secure resources for the implementation of inclusive practices (Lelévrier et al., 2017; Taşan-Kok et al., 2017). On the other hand, this omission could represent a willingness to stress other objectives of the work of the HeritageLab, but it might also not have been a choice. In that case, the emergence of these topics in the analysis of the program implementation could show an effect of the ongoing dialogue over the past year and a half between the researcher and the program coordinator, with the consequent exposure to the distinction between multiple roles of participatory heritage practices (see chapters 1 and 2).

Participation as a driver of sustainable development is extensively addressed and promoted in the Policy Plan for the conservation and safeguarding of cultural and natural heritage, the development of a resilient living environment, more sustainable heritage management and governance, the wellbeing of communities, groups, and individuals, and the facilitation of integration and mutual understanding of diversities. In practice, looking at the perceived opportunities generated by participatory heritage practices, the participation of the patients of the psychiatric hospital in the sessions organized as part of the project Kleurrijk Stuivenberg and the cooperation with partners within and across projects are considered to contribute to raising awareness about the heritage of dyes and the relevance of heritage practices in development processes (D1), creating connections among people and with their environment, for a more inclusive (D4), tolerant (D5), and

resilient (D2) neighborhood, and the effective collaboration in the governance of heritage and management of heritage projects (D3). Looking further at the activities indicated along with the HUL critical steps of the heritage management process and the implemented forms of participation as described in the Miro board, it is possible to observe the indicated quality of the participatory practices that are perceived to lead to these outcomes (see chapter 4).

Concerning the inclusivity of these practices, it can be argued that the multi-diversity that characterizes the neighborhood and the boundaries of the program imposed by the available resources challenged the comprehensive engagement of communities, groups, and individuals, but pushed the team to collaborate with a local organization to expand their reach, experimenting flexibility and experiencing successful attempts of collaborations and failures along the process (Alivizatou, 2022; Göttler & Ripp, 2017, pp. 30–31; Lelévrier et al., 2017; Taşan-Kok et al., 2017). Concerning the timing of engagement of the different stakeholders, it can be observed that the definition of the field of action for the ideation and development of programs and projects is still a top-down process bound to the administrative procedures of governmental bodies at multiple scales (Lähdesmäki, Zhu, & Thomas, 2019). However, shaping the objectives, content, and dynamics of the program and individual projects emerges as a mediated process that creates space for multiple perspectives and inputs since the identification of resources and ideation phase (see chapter 4) (Jacobs, 2014a). Concerning the diverse forms of participation at all scales, it emerges how the decision-making power is distributed per specific actions along with the steps, in line with the rights and responsibilities of the stakeholders involved. For instance, at the program level, policymakers have the most decision-making power at the beginning of the process for the definition of operational resources, such as budget, staff, and time, which set the field of action for the work of public officers, who in turn cooperate with partners for the definition of project-based cultural and human resources. Going further through the steps, policymakers and politicians hierarchically control the ultimate approval of resources, in line with international trends (see chapter 4), and monitoring and evaluation reports. At the same time, the control of processes moves to the core team of public officers working on the Stuivenberg Program, which regularly enrolls partners and – directly or indirectly – consults communities, groups, and individuals in defining strategies and prioritizing actions. At the project level, the decisional power moves one level lower. While the public officer coordinating the program ensures the allocation of resources and facilitates and mediates the collaboration among stakeholders locally and at different scales, the project coordinator defines strategies and actions in cooperation with key partners, enrolling and consulting with groups and individuals who hold decisional power over actions that directly affect their wellbeing, privacy, experiences, and living environment.

Public actors still emerge as the most influential across the whole process, reconfirming politicians and policymakers as the stakeholders' categories holding the ultimate

(administrative) decision-making power, followed by public officers who are in charge of operations, in line with the previously identified international trends (see chapter 4). However, analyzing a specific case allowed the investigation of what couldn't be observed in chapter 4. It emerged that, within the Stuivenberg Program and even more within each subproject, public officers use their power to reach out to, enroll, and consult private professionals and direct users, such as partner organizations, communities, groups, and individuals, in processes of co-creation. It could be argued that different forms of participation might appear complementary at multiple steps of the heritage management process in line with stakeholders' roles and responsibilities, as proposed by a strand of research (see chapter 4) (Rosetti et al., 2022). However, it can also be argued that governmental procedures could be challenged to change in line with more deliberative processes. They could engage with a broader spectrum of stakeholders in defining the regulatory and administrative framework that defines the field of action for the ideation of programs and projects, radically sharing decision-making powers and reducing the level of dependency that political systems impose on sociocultural projects in many democratic governments, including Flanders.

After making observations on the outcomes, outputs, and activities of participatory heritage practices and their relations, considerations can be made now over the inputs they receive, reflecting on the acknowledgment of **participation as an enabler** of sustainable development. Looking at the previously-identified sustained transformation factors (see chapter 5), it can be observed that the Policy Plan extensively stresses the need for HeritageLab to facilitate cooperation by creating an environment that offers and invites opportunities for participation; strengthening stakeholders' capacities through educational activities and training; and fostering empowerment processes, in line with the latest innovative international heritage regulatory documents (see chapter 2). Moreover, it embodies and further promotes the need for specific regulation, which can facilitate the *ad hoc* allocation of resources and provide guidance for long-term planning (see chapter 2). In practice, the empowerment of groups and individuals, such as the patients of the psychiatric hospital in the project Kleurrijk Stuivenberg, is considered a high priority by the project coordinator and representative of the Day Clinic. It is fostered by promoting the acknowledgment of the importance of their participation and the establishment of ongoing communication and durable connections with external organizations and individuals. Moreover, In the description of the factors affecting participatory heritage practices (see the SWOT analysis), more explicit attention seems to be given to the empowerment through knowledge sharing and participation, as well as the allocation of resources, rather than to the long-term planning of participatory processes through the creation of trajectories. Partly, this is due to the very role of a heritage cell to facilitate local actors in the development of durable projects on their own, with its support, such as the continuation of the collaboration between the social artist coordinating Kleurrijk Stuivenberg and the Psychiatric hospital beyond the Stuivenberg Program (Casteleyn et al., 2014; Erfgoedcellen, n.d.). Nevertheless, this doesn't exclude the possibility of adopting longer-term views in developing initiatives. For instance, the Stuivenberg Program is a

version of a possible three-year trajectory comprising multiple subprojects, after which further opportunities for participation could be explored and matched with the different phases of the redevelopment plan for the General Hospital area. It would give groups and individuals, particularly vulnerable ones, the time, space, and resources to familiarize themselves with participatory processes and continuously contribute to shaping their living environment. On the other hand, the program coordinator expressed the existing challenge of setting up a long-term participatory project and creating stable conditions for its sustained transformative action due to too many affecting factors that are difficult to control, such as the allocation of budget, time, and staff to carry out a final participatory evaluation of the program and its subprojects.

Beyond what was observed in the discussion of the individual elements of the model of the roles of participation in chapters 4 and 5, the analysis of the case study offered the opportunity to establish informed links between the inputs, activities, outputs, and expected outcome and impact of participatory heritage practices. These elements appear strongly interconnected and ambivalent, as affected by their changing context, timing, and perceptions, mutually impacting each other in chain-like or circular dynamics (see chapter 5). However, it is important to remember that these results do not come from the final evaluation of practices but represent the outcome of a mid-term monitoring process, comprehensive of the inputs of several stakeholders consulted by the program coordinator. Moreover, no indicators were used to measure qualitatively nor quantitatively the progress towards achieving the goals set for the individual projects and the program at large. Also, no specific indicators were used in mapping these practices against the SDGs, exposing this exercise to the common criticism of the lack of mixed measurements of the actual impact of heritage projects on sustainable development objectives (see the introduction and chapter 3). Nevertheless, the use of the heritage canvas for each project supports the monitoring process and will inform the final evaluation.

6.8 Conclusions

To conclude, this chapter has adopted a mixed-method approach to investigate current participatory heritage practices carried out within the context of the Stuivenberg Program in Antwerp and their implications for the sustainable development of the neighborhood and the city from a management and governmental. The project is carried out by the HeritageLab, the municipal heritage cell, and offers the perspective of public officers and policymakers, such as the project coordinator and a representative of the AGB Museums and Heritage. It emerged that participatory heritage practices are widely considered to affect multiple goals of sustainable development at the regional and municipal level and are acknowledged and promoted as a driver and an enabler of sustainable development through the Policy Plan of the HeritageLab. Confronting the content analysis of the

interview and the regulatory document with the in-depth study of inputs, activities, outputs, outcomes, and impact of participatory heritage practices through the multi-exercise Miro board, it emerged a more detailed account of how these practices can play all three roles of participation as a right, as a driver, and as an enabler of sustainable development.

This investigation contributed to a further understanding of the system of participatory heritage practices, overcoming the methodological limitations encountered in chapters 4 and 5 in comparing and discussing individual elements of the model of this system of the roles of participation. On the one hand, the case study of the Stuivenberg Program offers additional insights on current participatory practices, the roles of stakeholders (see chapter 4), the factors that affect participatory activities, and their intended and less intended results (see chapter 5). On the other hand, the analysis of its peculiar context, including its regulatory environment and examples from its subprojects, particularly Kleurrijk Stuivenberg, enables the identification of current dynamics and their interdependencies, which affect the impact of the participatory heritage practices in the neighborhood.

The mixed-methods investigation aimed to unveil those dynamics that lay beneath the simple description of practices, not without challenges and limitations. For instance, the program coordinator expressed difficulties in doing the exercises, considering the requested level of information too detailed. In response to that, a flexible approach was adopted by both sides, adapting strategies, methodologies, and exercises in line with the feedback received, individual needs, and changing terms of collaboration affected by conflicting schedules and deadlines, the spreading of the COVID-19 pandemic and related safety measures, and the consequent timeline alterations of the different projects. Nevertheless, this long-lasting collaboration was mainly made possible by establishing a personal relationship between the researcher and the city officer, based on a periodical mutual exchange of feedback on ideas, progresses, and documents, and an attentive communication process.

This setting has inevitably affected the development of the research as well as the program. The research plan initially entailed the comparison of multiple cases, exploring the participatory work of museums in Antwerp and engaging with a broad spectrum of stakeholders, and the development of a gamified tool for the strategy, monitoring, and evaluation of participatory heritage practices. However, while discussing with the public officer, who in the meantime was tasked with coordinating the Stuivenberg Program, the plan evolved into the analysis of the development and implementation of the program and its subprojects from a management and governmental perspective, benefitting from the continuous feedback of its coordinator.

The influence brought by the collaboration between the research and coordinating teams can be observed in a variety of factors. Among them, there is the ultimate choice of the

program coordinator to avoid working with a pre-defined selection of communities and groups. It allowed to keep a flexible approach in developing the subprojects, which inevitably brought more uncertainty and less control of processes and outcomes. Still, it created the space for partners to develop their initiatives, leading to successful collaborations, such as the use of the Geheugenkaart by SAAMO within their network, but also less successful ones. Another result of this process of mutual feedback and exchange of ideas is the systematic integration of the SDGs into the heritage canvasses of each project using the ICOMOS Policy Guidance documents on Heritage and the Sustainable Development Goals (Labadi et al., 2021). Moreover, the exchange of documents and the ongoing discussion on the complex relationships between heritage, sustainable development, and the SDGs has supported the advocacy work of the program coordinator within the HeritageLab, the AGB Museums and Heritage, and her heritage network at multiple scales. Her work contributed to the progressive integration of the SDGs into the heritage discourse at a city and regional level and has led at the beginning of 2022 to the creation of a vacancy for a staff member within the museum group to work on the relationship between the municipal museums, audiences, and society at large, with an explicit reference to the use of the SDGs as a framework. Therefore, the results of the collaboration between the research team and governmental actors in Antwerp indirectly contributed to addressing the identified scarcity of detailed mapping of current practices against the SDGs by promoting the use of the 2030 Agenda for communication and awareness-raising purposes but also for the monitoring and evaluation of the work of AGB. Future practices and research could support this approach shift, particularly in monitoring and evaluating the Stuivenberg Program and its subprojects.

In response to the limitations brought by the COVID-19 pandemic, this study investigated the perspective of governmental actors on the current participatory heritage practices and their implication for the sustainable development of the neighborhood. Further research should explore the perception of other stakeholders involved along the different implementation phases of the Stuivenberg Program and future ones in the city. Bringing together multiple stakeholders and facilitating their participation and dialogue would require the refinement of the methodological approach proposed in this study to suit the engagement of stakeholders with different knowledge, capacities, and resources. Nevertheless, including these perspectives is essential for a full assessment of current participatory heritage practices in Stuivenberg that can inform the development of future sustainability-oriented participatory urban heritage programs in the city.

Conclusions Participatory Heritage Practices in, for, as Sustainable Urban Development

7.1 Reflections on the research

This research started from the thesis of a widespread association of participatory heritage practices with successful heritage management and conservation, societal wellbeing, and sustainable urban development. It reflected more in general about the common consideration of these practices as the necessary starting point for integrating sustainability objectives into heritage processes. The existing literature on the topic mainly supported these arguments using case studies, while few attempts to theorize the different natures of this contribution were found (see the introduction).

Based on (my) former professional experiences and research (see the introduction), this dissertation started from the assumption and the impression that participatory heritage practices can play multiple roles in addressing sustainable development. Therefore, it aimed to further the knowledge of the possible roles that participatory heritage practices can have in contributing – or not – to sustainable development, which could inform the sustained transformation towards sustainability-oriented participatory heritage practices.

The exploration of the complexity of participatory heritage practices and their multiple perspectives led to their identification as a wicked social problem and the adoption of a Soft-System Methodology to guide the further investigation of such complexity, mapping it, modeling it, and comparing its model with current practices. Despite the apparent rigid structure of this methodology, the research design balanced a combination of systematic approaches in the mapping and modeling process, and flexibility, in working with local governments' representatives. On the one hand, it enabled the reduction of personal biases and the inclusion of diverse sources in developing a general theoretical framework that emerged from academic literature and interdisciplinary international heritage regulation. On the other hand, it enabled exploring similarities and differences among participatory heritage practices and their systems in different World Heritage Cities from multiple regions, and using the same framework for a more in-depth investigation of current participatory heritage practices in the Stuivenberg neighborhood in Antwerp. However, flexibility and pragmatism were also necessary to adapt and develop the research plan to the changing research environments and conditions affected by the COVID-19 pandemic, available resources, and partnerships.

An overview of the sub-research questions and a research statement is provided in the following sections to build the argument that leads to answering the overarching research question of this thesis: **how do participatory heritage practices play a role in sustainable urban development?**

7.1.1 Overview of the sub-research questions

The first sub-question is: **what role(s) can participatory heritage practices play in sustainable development?**

The systematic review of academic literature confirmed the initial hypothesis revealing three main roles of participatory heritage practices in addressing sustainable development that can be further elaborated into nine subcategories. Participation is considered a *right*, a *driver* of multiple sustainable development objectives, and an *enabler* of a sustained transformation toward sustainability-oriented participatory heritage practices. A possible parallelism between these roles and those of culture in sustainability was identified, resulting in the definition of the roles of participation *in*, *for*, *as* sustainable development (Nunes, Soderstrom, & Hipke, 2017) (see chapter 1). These roles are strongly interconnected and mutually dependent and build on each other to increase their impact on different sustainable development objectives (see chapters 1-3).

This systematic review of international heritage regulatory documents confirmed and validated that classification, revealing an analogous acknowledgment of the roles of participatory heritage practices in grey literature and showing trends of their promotion by international organizations and institutions, in line with the participatory and sustainability shifts in the international heritage discourse (see chapter 2).

The second sub-question is: **what determines the roles of participatory heritage practices?**

A few factors determining which role is played by participation emerged from the systematic review of academic literature and international regulatory documents. First, participatory heritage practices are determined by their *quality*, as defined by their inclusiveness, forms and timing of participation; then, two main transformation factors are identified: on the one hand, the *empowerment* of all stakeholders to an informed, effective, and conscious participation through education, training, and capacity-strengthening activities, and the creation of opportunities to participate; on the other hand, the *integrated long-term planning* of participation through its regulation and the allocation of adequate resources (see chapters 1-2).

These factors affect the potential impact of each role on sustainable development objectives. For instance, acknowledging and regulating participation as a right can

contribute to more just and equal societies. However, not all participatory heritage practices are the same; therefore, high-quality inclusive, timely, and active engagement practices are advocated for addressing broader goals of sustainable development. These practices are usually implemented as part of a project and are limited in time, offering a one-off contribution to those goals. On the other hand, the empowerment of the relevant actors and the integrated long-term planning of participation could foster their continuity and change, bringing a sustained transformation towards sustainability-oriented participatory heritage practices (see chapters 1-3).

The third sub-question is: **how do participatory heritage practices play a role in the sustainable development of World Heritage cities (WHC)?**

The factors mentioned above have been compared with current participatory heritage practices in World Heritage cities at an international and local level. On the one hand, the collaboration with the Organization of World Heritage Cities (OWHC) facilitated the distribution of an online survey within its network and the organization of a SWOT analysis workshop with mayors and public officers representing the cities. On the other hand, working with the City of Antwerp enabled a more in-depth investigation of local dynamics of participation.

The global analysis revealed current trends in the quality of participatory heritage practices, with insights on common power distributions and the existing "authorized heritage discourse" (Del Mármol, Siniscalchi, & Estrada, 2016, pp. 341–354; Harrison, 2010; Harrison et al., 2020; Logan & Wijesuriya, 2015; Smith, 2006). As expected, public stakeholders appear as the most active across the steps of the heritage management process; particularly, politicians emerged as holding the greatest decisional power and public officers as the most active. These trends have been reconfirmed at the local level, showing policymakers as another key category of public actors in the decision-making chain. Furthermore, the in-depth analysis of practices in Antwerp revealed how public officers are using this power in co-designing projects with private stakeholders, such as professionals, organizations, groups, and individuals, and their awareness of the mediation work needed for the effective implementation of sustainability-oriented participatory heritage practices (Clark, 2019, p. xx; Jacobs, 2014a, p. 267, 2014b, p. 314; Jacobs, Neyrinck, & Van Der Zeijden, 2014). Therefore, current practices in World Heritage cities showed strong potential as drivers of multiple goals of sustainable development. Their potential contribution couldn't be quantified through the analysis of the data gathered via the international survey in the network of the Organization of World Heritage Cities, but it was mapped against the UN Sustainable Development Goals in Antwerp by the Stuivenberg Program coordinator. However, no specific qualitative and quantitative indicators were used, mainly due to the current stage of the program's implementation, therefore, making this mapping exercise fall into the widespread criticism of the lack of thoroughly measured

impact of heritage practices on sustainable development objectives (see the introduction and chapter 3).

Furthermore, the investigation of the challenges and opportunities of and for participatory heritage practices perceived by governmental actors at a global level revealed a complex scenario of interdependency of factors that are rarely per se positive or negative but are affected by their context and dynamics (see chapter 5). Unexpectedly, participation emerges as the most mentioned controversial factor, capable of fostering – or not – the further implementation of participatory heritage practices and contributing to – or hindering – multiple sustainable development objectives. At a local level, the analysis confirmed the potential of participation as a driver of sustainable development and showed a widespread awareness of participation as a right, the importance of a more inclusive, democratic, and equitable society, and people empowerment in participation for a more livable and resilient living environment. Nevertheless, despite the acknowledgment of most factors contributing to a sustained transformation towards sustainability-oriented participatory heritage practice, systemic challenges emerged that limit the role of participation as an enabler.

7.1.2 Research statement

This research shed light on the diverse implications for sustainable development that different participatory heritage practices can have, critically challenging the idea that they are *a priori* an effective approach to heritage conservation, management, and governance. This approach is in line with the latest developments in the field of participatory development and creates the basis to further reflect on what system of participation we want to create, what outcomes we want to achieve through it, and how to share responsibilities beyond just adopting participatory approaches (Alivizatou, 2022, pp. 15–19; Cooke & Kothari, 2001, pp. 4–8; Hickey & Mohan, 2004, p. 11; Jacobs, 2014b, pp. 314–317). Therefore, it stresses the idea that not all participatory heritage practices contribute to sustainable development, and when they do, they don't all contribute to the same objectives.

However, this research approach does not aim to judge whether a practice is better or worse than another. Instead, it attempts to model its elements, affecting factors, and dynamics to understand its outcomes and impact, as well as what facilitates rather than hinders its contribution to multiple sustainable development objectives. In turn, these contributions can be categorized into three roles that are strongly interconnected and build on each other, unfolding to potentially include a variety of methodologies, bridging existing theories and discourses on the relationship between heritage, participation, and sustainability.

In this perspective, the grouping and structuring of the complexity of these contributions into the modeled roles of participation in, for, as sustainable development can be regarded as a multi-level theoretical framework. At its basis, there is the acknowledgment of participation in cultural processes as a human right in policies and plans. It sets the premises for the allocation of resources, the creation of opportunities for people to participate, acting upon their right, and the implementation of inclusive, timely, and – as necessary – active participatory heritage practices, which can empower stakeholders and strengthen their capacities to drive change and enable long-term transformative processes.

It would be possible to talk about a theory of the roles of participatory heritage practices in, for, as sustainable development. Still, it is more accurate to look at it as a theoretical framework that contains and brings together existing theories, methodologies, and discourses, such as the people-centred, right-based, and living-heritage approaches, the commons, cultural brokerage, HUL, forms of participation and democratic governance, and the models of culture in sustainability, among others addressed in the previous chapters (see the introduction and chapter 4). As such, it contributes to raising awareness of their interconnectedness and complementarity and positions the participatory practices they promote into a system that reveals their potential role in impacting sustainable development objectives.

Besides developing an awareness-raising theoretical framework, this thesis also proposes the use of a combination of methodologies integrated into a linear logical model. On the one hand, in the context of this research, it supports the discussion of elements and dynamics of the model of the roles of participatory heritage practices in addressing sustainable development. On the other hand, in practice, it can also offer support to the assessment, strategy, monitoring, and evaluation of participatory heritage practices – as tested in the case of the Stuivenberg Program in Antwerp – to support iterative learning processes and accountability.

Therefore, this thesis addresses the identified research gap – the lack of comprehensive theorization attempts on the roles of participatory heritage practices – by creating a knowledge path from practice to theory and from theory back to practice. It does so through:

- the analysis of the different perspectives on the contribution of participatory heritage practices to sustainable development offered by case study-based literature and international heritage regulatory documents,
- their modeling into different roles providing a theoretical framework of their potential contribution,
- and the proposal of a mixed-method approach to assess, plan, monitor, and evaluate the elements and dynamics of the system of these roles and their

impact to inform change and support sustainability-oriented transformation processes.

This way, this thesis offers a theoretical framework and a methodological approach that are flexible and adaptable to different contexts, needs, and stages of intervention. For this reason, their utility goes beyond the temporal and physical boundaries of their development, with the possibility to be adopted and implemented in multiple cities – not only World Heritage cities – in the context of both linear progress or disruption, and be adapted to future sustainable development agendas, informing the work towards the achievement of the Agenda 2030 (UN, 2015), while maintaining its relevance for the upcoming Agenda 2045.

At last, such flexibility and inclusivity make the model of participation in, for, as sustainable development a valuable shared resource for heritage practitioners – the brokers – to support the implementation of sustainability-oriented participatory heritage practices that contribute to offering solutions to the wicked social problems of participation and sustainable development (see chapter 3), becoming a tool of the *sustainist* era (see chapter 1) (Schwarz, Knoop, & Elffers, 2016).

7.1.3 How do participatory heritage practices play a role in sustainable urban development?

This research developed a comprehensive theorization of the different roles that participatory heritage practices can have in addressing sustainable urban development as a right, a driver, and an enabler, offering the basis for its adaptation, further development, and use in future research and practices. Moreover, it highlighted the determining function that the quality of participation and factors of sustained transformation have in implementing these roles in different contexts and discussed the current authorized practices and the systemic challenges that affect their implementation. Lastly, it offers a theoretical framework and a methodological approach to support the assessment, strategies, monitoring, and evaluation of participation for the sustained transformation towards sustainability-oriented heritage practices.

Beyond the development of an ideal abstract model of the roles of participation and its system, participatory heritage practices are context-specific, and their affecting factors and dynamics change in different places and at different times. Therefore, while the model can inform their assessment, it can also in turn inform the further development of the model through its testing in multiple cities that face constantly evolving challenges to their sustainable urban development.

7.1.4 Research relevance

As part of the Heritage and Sustainability field, this research fits at the intersection between heritage, participation, and sustainable development, furthering the knowledge of the system of participatory heritage practices, as comprehensive of their context, elements, and dynamics, and their different implications for sustainable urban development. By doing so, it joins the discourse of existing theories, highlighting common ground among them by offering a holistic sustainable development perspective.

The resulting theoretical framework and methodological approach can support and guide the work of urban heritage practitioners – cultural brokers – particularly public officers and policymakers, in aligning strategies, regulations, and practices to sustainable development objectives for the benefits of heritage, the living urban environment, and society. Therefore, this research has both a scientific and societal value, which can be leveraged at multiple scales and contexts, by different actors, and at different stages of the heritage management process.

Finally, the theoretical framework can become a powerful resource for heritage education and professional training initiatives as a means to introduce multiple theories, discourses, and methodologies that are relevant to the conceptualization and fostering of the relation between heritage practices and sustainable development, stressing the fundamental role played by diverse participatory heritage practices.

7.2 Research limitations and recommendations

The theoretical foundation of the framework is based on a variety of existing theories and discourses that make it less accessible without previous knowledge of the relationship between heritage practices and sustainable development. Therefore, when proposed for its use in practice, it would benefit from a theoretical introduction to the topic and examples from cases. A similar observation could be made on the logic promoted by the methodological approach, which is uncommonly used in heritage management and governance and might be challenging to adopt by practitioners in different contexts. Therefore, its promotion would benefit from training and capacity-strengthening sessions. Consequently, while the theoretical framework and the methodological approach offered by this research can support the work of heritage practitioners in implementing sustainability-oriented heritage practices, its understanding, adoption, and adaptation need to be facilitated, posing challenges to its accessibility and transformational potential. Future research could test the adoption, adaptation, and use of the theoretical framework and methodological approach in other cities, in collaboration with different stakeholders, enabling comparability and mutual learning, exploring the challenges brought by their use, and designing a training module to facilitate their adoption and adaptation.

Moreover, the model of the roles of participatory heritage practices and their system has been constructed through the analysis and accommodation of the perspectives offered by a controlled number of literature, cases, and regulatory documents, offering a categorization of these roles, and particularly of their subcategories, that is affected by this selection. Despite the adoption of a systematic approach in selecting these sources, the resulting account of these roles still reflects a partial number of perspectives. Therefore, future research should continue monitoring and analyzing the latest research, practices, and regulatory documents, with the aim to review and improve the model in the spirit of continuous learning and to maintain its relevance.

Furthermore, the methodological approach tested in this thesis to discuss and investigate the quality, affecting factors, and dynamics of participatory heritage practices is just one of the possible methodologies and tools that can be developed from the theoretical framework of the roles of participatory heritage practices in sustainable urban development. Future research should identify existing tools and methodologies that are relevant to this theoretical framework and, as necessary, develop new ones that can support the different stages of intervention – assessment, strategy, monitoring, and evaluation. Some examples of useful tools can be a policy brief and checklist, serious games for the inclusive strategy and monitoring of practices, and participatory indicators-based evaluation frameworks, among others. The development, testing, adoption, adaptation, and dissemination of these tools is key to raising awareness of the multiple roles of participation and fostering a sustained transformation towards sustainability-oriented participatory heritage practices in World Heritage Cities and beyond, in multiple context and at different scales. Particularly, the continuous knowledge exchange on current practices leveraging international, regional, national, and local networks can offer valuable resources to those governments, institutions, organizations, and associations that are willing to experiment with participatory tools and methodologies, going beyond authorized practices and challenging systemic barriers to more deliberative participatory management and governmental approaches.

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Curriculum Vitae

Ilaria Rosetti (1990) graduated in 2016 from the master Arts and Heritage: Policy, Management, and Education of the Maastricht University in The Netherlands, with a thesis on the origins of the discourse on community engagement in heritage practices. In 2016 she worked on short-term research projects in collaboration with local governments and organizations which inspired the continuation of her research on topics of participation, heritage, and sustainable urban development. In the same year, she was awarded the Young Talents Development Fellowship at the CLUE+ interfaculty research centre of the Vrij Universiteit Amsterdam (VU) to work on a mapping of European funded heritage projects in preparation of the (awarded) HERILAND project funding application. In 2017 she started a one year-research project funded by the Organization of World Heritage Cities (OWHC) on participatory heritage practices at the Eindhoven University of Technology (TU/e). There, as part of the research group on Heritage and Sustainability, she worked part-time as teaching assistant for multiple courses and a graduation studio. In 2018 she continued her research starting a PhD project in Heritage Studies at the University of Antwerp (UA), as part of the Antwerp Cultural Heritage Sciences (ARCHES) research group, of which the results are presented in this dissertation. Her research focuses on the role(s) that participatory heritage practices can play in sustainable urban development, modelling their contribution by exploring the elements and dynamics of these practices to inform the development of greater sustainability-oriented participatory heritage practices.

During her PhD, she established collaborations both within and outside the University of Antwerp. Internally, she collaborated with multiple ARCHES members in education, co-developing courses, giving guest lectures, and participating to examinations. Moreover, she took part in the UA International Design Workshops week as member of the curatorial team representing ARCHES, contributing to the ideation and development of four editions of the event. Externally, through her research she developed a two years-collaboration with the HeritageLab of the City of Antwerp on the development and monitoring of the Stuivenberg Program. Moreover, she was a guest PhD candidate in the Heritage and Sustainability research group at TU/e (11/2018-10/2019) and in the UNESCO Chair in Heritage and Values: Heritage and the Reshaping of Urban Conservation for Sustainability at the Delft University of Technology (TUDelft) (09/2020-12/2022). As part of these collaborations, she published multiple articles exploring the potential intersections between her doctoral research and fellow researchers' projects for their mutual benefits and enrichment. Furthermore, through guest lectures, the co-coordination of courses, the co-organization of conferences, and publications, she contributed to the development and flourishing of the collaboration with partner universities, such as the Leiden University and the Erasmus University in Rotterdam, institutions, such as the Dutch National Heritage Agency – Rijkdienst voor het Cultureel Erfgoed (RCE) – and organizations, such as the OWHC,

ICOMOS, ICCROM, UNESCO Nederland, and the Centre for Global Heritage and Development.

Her working experience includes projects for public and private institutions, both in the academic and professional sphere, within fields of cultural policy, sustainable tourism, community engagement, and strategies for the UN Sustainable Development Goals (SDGs). As an academic and heritage practitioner, she supports the planning, monitoring, and evaluation of participatory heritage practices, with a focus on capacity building and resources generation, for achieving the UN 2030 Agenda. She's an active member of the ICOMOS SDGs Working Group and ICOMOS Nederland.

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