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University of
Kent

Doctoral Dissertation

Doctoral Program in Architectural and Landscape Heritage (29th Cycle), Politecnico di Torino
Doctoral Program in Classical and Archaeological Studies, SECL, University of Kent

Linking Theory with Practice:

**Assessing the Integration of a 21st Century Approach to Urban
Heritage Conservation, Management and Development in the
World Heritage Cities of Florence and Edinburgh**

By

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2018

Declaration

I hereby declare that, the contents and organisation of this dissertation constitute my own original work and does not compromise in any way the rights of third parties, including those relating to the security of personal data.

Francesca Giliberto

2018

* This dissertation is presented in partial fulfilment of the requirements for **Ph.D. degree** in the Graduate School of Politecnico di Torino (ScuDo) and in the School of European Culture and Languages of the University of Kent.

*I would like to dedicate this thesis to the HULish community and to all people
who contribute every day to making our cities more sustainable*

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Abstract

Reconciling heritage conservation and development within the management of historic urban environments is recognised as one of the most challenging issues in the field of heritage conservation and urban management by academics and practitioners. Existing urban heritage conservation policies, regulatory frameworks and tools operating around the world proved to be inadequate or insufficient in regulating urban transformations in historic urban environments. The “heritage versus development dilemma” has been a central argument in the 21st international discourse on urban heritage conservation management and development. UNESCO, the United Nations, ICOMOS and the Council of Europe have tried to overcome this persisting dichotomy through the adoption of a series of international texts. The evolution of a 21st century international discourse represents the international recognition that a “new paradigm for urban heritage conservation and management” has gradually taken shape since the beginning of the century. From this moment, urban heritage conservation can be seen as an all-encompassing, integrated urban management strategy, which incorporates the perspectives of urban planning and socio-economic development.

The contemporary approach suggests moving beyond existing regulatory and management frameworks, recommending a revision of local practices so that they are consistent with the key principles of the new paradigm. However, there is still a need to carry out further research in order to understand how existing and consolidated urban management systems currently operate. This is a fundamental step towards effectively implementing the new paradigm into local practices. This interdisciplinary study aims to advance knowledge in the field of urban heritage conservation and management through a detailed assessment of the level of consistency of existing policies with the key principles of the 21st century approach. To the knowledge of the author, this is the first comprehensive and comparative assessment of multi-scalar (at national, regional, provincial and local levels) and multi-sectorial (including heritage conservation, urban planning and socio-economic development) urban management policies that has been carried

out so far. To conduct this study, an original assessment framework was developed by the author with the objective of providing a qualitative evaluation tool which was able to link the international theory with local practices.

The thesis focused on the two World Heritage cities of Florence (Italy) and Edinburgh (UK). It systematically demonstrated how some of the key principles of the new paradigm are already integrated into local urban management policies of these two historic urban environments. The study was first conducted by testing the assessment framework on the two case studies. Subsequently, a critical analysis of the two urban management systems was carried out, integrating the assessment results with data collected through semi-structured interviews with local stakeholders involved in the definition and implementation of the assessed policies. Finally, a comparison of Florence and Edinburgh's approaches to urban heritage conservation, management and development were illustrated and discussed. In this way, it was possible to discuss the strengths and weaknesses, opportunities and threats of different urban management systems in incorporating a 21st century international approach. Moreover, the study identified existing similarities and discrepancies between different approaches and to highlight good practices and critical aspects. The research findings constitute a step towards understanding whether a revision of existing policies and tools is necessary and how this could be done. The assessment results could be used by national and local governments to revise their current urban management policies according to the contemporary international approach to urban heritage conservation, management and development.

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List of Acronyms

ANCSA: Italian Association of Historic-Artistic Centre

CIAM: International Congress of Modern Architecture

EIA: Environmental Impact Assessment

DPSIR: Driving forces, Pressures, States, Impacts, Responses

GIS: Geographic Informatic System

HIA: Heritage Impact Assessment

HUL: Historic Urban Landscape

ICCROM: International Centre for the Study of the Preservation and Restoration of Cultural property

ICOMOS: International Council on Monuments and Sites

IUCN: International Union for Conservation of Nature

LDP: Local Development Plan

MIBACT: Italian Ministry for Cultural Heritage and Activities and Tourism

NPF3: Scotland's Third National Planning Framework

OUV: Outstanding Universal Value

PIT: Regional Orientation Plan of the Tuscany Region

PRS: Regional Development Plan 2011-2015 of the Tuscany Region

PRSE: Regional Plan for Economic Development 2011-2015 of the Tuscany Region

PTCP: Territorial Coordination Plan of the Province of Florence

RQ: Research Question

SDG: Sustainable Development Goal

SIA: Social Impact Assessment

SPAB: Society for the Protection of Ancient Buildings

SPP: Scottish Planning Policy

UK: United Kingdom

UN: United Nations

UNEP: United Nations Environment Programme

UNESCO: United Nations Educational, Scientific and Cultural Organization

UN-HABITAT: United Nations Human Settlements Programme

WH: World Heritage

WHITRAP: World Heritage Institute of Training and Research for the Asia and the Pacific Region

WHL: World Heritage List

WWII: Second World War

Introduction

Toward a 21st Century International Approach to Urban Heritage Conservation, Management and Development

The reconciliation of urban heritage conservation and development in historic urban environments is recognised as a challenging issue by academics and practitioners in both the field of heritage conservation and urban management (The Getty Conservation Institute, 2010; Pereira Roders and Van Oers, 2011b; Veldpaus *et al.*, 2013; Khalaf, 2015: 77). The presence of an urban heritage embodies the cultural expression and identity of a place, which increases the appeal of historic urban environments (Torres, 2004: 60-70; Ryberg-Webster and Kinhan, 2014: 127-128). However, this may also cause tensions over land use and conflicts of interests between different social actors, such as citizens, students, tourists, developers, enterprises and city managers (Warren, 1998; Carley *et al.*, 2001; Rojas, 2016). Moreover, increasing pressures are currently or potentially affecting this urban heritage, which is constantly evolving over time. Examples include rapid urbanisation, commercial and industrial development, climate change, socio-functional changes and mass tourism. Nevertheless, existing urban heritage conservation policies, regulatory frameworks and tools available around the world have proved to be inadequate and insufficient responses to the challenges posed (Van Oers, 2006; Van Oers, 2007: 44; Rodwell, 2008: 104; UNESCO, 2010: 1; Pons *et al.*, 2011; Van Oers and Pereira Roders, 2012; Turner *et al.*, 2012; Bandarin and Van Oers, 2012; Martini, 2013; Damen *et al.*, 2013: 87-88).

The “heritage versus development dilemma” (Labadi and Logan, 2016: 1) has been central to the international debate of the 21st century about urban heritage conservation, management and development. International organisations such as UNESCO, the United Nations, ICOMOS and the Council of Europe have taken

the lead in the evolution of a 21st century international approach in this field through the adoption of a series of international texts (Council of Europe, 2000; United Nations, 2001; UNESCO, 2002; United Nations, 2002; Council of Europe, 2005; UNESCO, 2005d; ICOMOS, 2005; United Nations, 2007; ICOMOS, 2008; UNESCO, 2011b; ICOMOS, 2011a; ICOMOS, 2014; United Nations, 2015; UNESCO, 2015b; United Nations, 2016). The approach promoted by these international bodies - also called the “21st century international approach” or the “contemporary international approach” in this dissertation - reconceptualised the principle of harmonious development and integrated conservation conceived during the 20th century (Van Oers, 2006; Whitehand and Gu, 2007; Araoz, 2011: 59; Siravo, 2011; Bandarin and Van Oers, 2012: 2-36; Veldpaus *et al.*, 2013; Bianca, 2015). Some scholars describe this approach as a “paradigm shift” in relation to the conventional attitude to urban heritage conservation and management developed in the international discourse over the 20th century (Engelhardt, 2004: 36; Ripp and Rodwell, 2015: 246; Khalaf, 2015: 77, 82; Buckley *et al.*, 2016: 96, Hill and Tanaka, 2016: 216). Therefore, the evolution of a 21st century international approach incorporates the principles of a “new paradigm for urban heritage conservation and management”, which has gradually taken shape (Engelhardt, 2004: 33; Araoz, 2011; Bandarin and Van Oers, 2012: 65). From the first decade of the 21st century, urban heritage conservation can be seen as a “truly integrated view of urban management”, able to integrate the three dimensions of sustainable development (environmental, economic and social) as a way for reconciling urban heritage conservation and development in historic urban environments (Bandarin and Van Oers, 2012: xiii).

Linking Theory with Practice: the Need to Carry Out Further Research

National and local governments are now called on to adapt, disseminate, and facilitate the implementation of this 21st century international approach in their territorial jurisdiction, as well as to monitor its impact on the conservation and management of local historic urban environments (Council of Europe, 2000; UNESCO, 2002; UNESCO, 2011b; United Nations, 2015; UNESCO, 2015b; United Nations, 2016). In this sense, the contemporary international approach recommends a revision of local policies, practices and tools. Practical examples for executing the new paradigm for urban conservation and management focused on the European Programme *URBACT* (Ripp *et al.*, 2011a; Ripp *et al.*, 2011b;

Ripp, 2013; Ripp, 2014) and on the implementation of the Historic Urban Landscape (HUL) approach, as suggested in the *Historic Urban Landscape Recommendation* (UNESCO, 2010; UNESCO 2011; Van Oers and Pereira Roders, 2012; Fayad *et al.*, 2016).

Different pioneering attempts have been enacted around the world and recent research has positively contributed to the advancement of knowledge in this field (Ripp *et al.*, 2011b; De Rosa and Di Palma, 2013; Abis *et al.*, 2013; De Rosa, 2014; Bandarin and Van Oers, 2015; Kudumović, 2015; Juma, 2016; Re, 2016; Buckley *et al.*, 2016; Widodo *et al.*, 2017). Nevertheless, there is still a need to carry out further research in order to investigate how the new paradigm for urban heritage conservation and management can be implemented into existing and consolidated urban management systems and regulatory frameworks (Ripp and Rodwell, 2016: 85). In this context, several authors highlight the urgent need to assess how existing local urban management practices currently operate, as the implementation of the new paradigm necessarily needs to relate to them (Bennik *et al.*, 2013; Veldpaus *et al.*, 2013; Pereira Roders and Veldpaus, 2013; World Heritage Centre, 2013; Tanguay *et al.*, 2014: 19; Bandarin and Van Oers, 2015; Veldpaus, 2015; Pereira Roders and Van Oers, 2014; Ripp and Rodwell, 2016). Moreover, recent research also underlines the need to carry out comparative studies in order to understand how local approaches to urban heritage conservation and management work in different contexts (Van Oers and Pereira Roders, 2014: 127; Veldpaus, 2015: 151).

Research Purpose and Design

This doctoral research aimed to advance knowledge on how existing urban management systems, policies and regulatory frameworks currently operate in different historic urban environments, underlining their limits and strengths in dealing with contemporary pressures and challenges.¹ With this scope, this study evaluated the level of consistency of existing urban management policies with the key principles of the new paradigm for urban heritage conservation and management, linking international theory with local practices. The assessment engaged with a multidisciplinary perspective, taking into consideration the three sectors of heritage conservation, urban and territorial planning and socio-

¹ This PhD dissertation is the result of a European Jointly Supervised PhD programme (*cotutelle*), between Politecnico di Torino, Department of Architecture and Design (Torino, Italy) and the University of Kent, School of Architecture and Design, School of European Culture and Languages (Canterbury, UK). For more information please see *Annex 1* "A European Jointly Supervised PhD (*cotutelle*)".

economic development in a comprehensive manner as well as different scales of urban management policies. Furthermore, the investigation had the objective to highlight the possible opportunities and threats of integrating a 21st century international approach within existing systems. Moreover, it compared the results obtained in different case studies, providing further original knowledge. This understanding is essential to evaluating if a revision of existing urban management policies is necessary and how such revisions should be implemented, opening the field for additional studies and practical experiments. For this reason, the research purposely aimed to have an impact both in theory and in practice. The research results could be used by national and local governments to revise their current urban management policies toward a better integration between urban heritage conservation, management and development.

The research focused on the national contexts of Italy and the United Kingdom (UK). They are considered as relevant cases for understanding the level of consistency of their urban management systems with the 21st century approach and how it could be integrated within local practices. They are two countries that have strongly contributed to the definition of the principles of the contemporary international approach through the experiences and ideas of some of their theorists and practitioners in the field of urban heritage conservation. They include names such as John Ruskin, William Morris, Patrick Geddes, Gordon Cullen, Michael Conzen and John Turner in the UK as well as Gustavo Giovannoni, Gianfranco Caniggia, Giancarlo de Carlo and Leonardo Benevolo in Italy. After more than a century of conceptualisations and experiments, Italy and the UK have now consolidated practices for urban heritage conservation and management. This thesis started from the hypothesis that some of the key principles of the international approach might have already been integrated into their local urban management policies (Rodwell and Ripp, 2015).

This research could have been extended to non-European contexts. However, a European context was chosen because of the financial, linguistic, and time-based limits that affected this investigation. The comparison between two European contexts allowed me to carry out a detailed interrogation of how the 21st century international approach was already integrated into the urban management systems of Florence (Italy) and Edinburgh (UK). The research findings highlight good practices and critical aspects that could be relevant for other countries that share similar socio-economic and cultural profiles. Moreover, the research methodology developed could be tested on other countries/case studies. Further research would allow for an investigation into how other historic urban

environments (not necessarily World Heritage cities) currently incorporate the key principles of the 21st century international approach. Additional findings could be compared with those obtained with this research, increasing the theoretical understanding.

Among all Italian and British historic urban environments, Florence and Edinburgh were selected as case studies for conducting the research according to specific criteria. A large portion of their historic urban environments (including their whole historic centres) are inscribed in the World Heritage List (WHL) and have been preserved over time through adequate regulatory frameworks and conservation tools. Nevertheless, both cities are under UNESCO observation because of current development projects that may negatively affect their Outstanding Universal Value (OUV). Moreover, the description of their urban heritage as well as their condition of authenticity and integrity are clearly indicated in a *Statement of Outstanding Universal Value*. This helps the researcher in identifying the urban heritage attributes and values that constitute the historic urban environment of the two cities' according to an independent evaluation made by international bodies of experts (UNESCO, ICOMOS and ICCROM) at the time of their inscription in the WHL. Moreover, WH cities were chosen as they are subject to a higher level of protection than other historic urban environments (UNESCO, 1972). Finally, the challenges that WH cities have been facing for harmonizing city development with the safeguarding and enhancement of their exceptional urban heritage may reveal effective practices and critical aspects to be aware of for other historic urban environments of similar socio-economic context (Rodwell, 2014; UNESCO, 2015b).

Research Questions

This research aimed to address the following research questions:

- **Research Question 1 (RQ1):** *“Has a 21st century international approach to urban heritage conservation, management and development already been incorporated into existing urban management policies in WH cities and how?” How far do local practices depart from international theory?*
- **Research Question 2 (RQ2):** *“What are the key principles of a 21st century international approach to urban heritage conservation, management and development?”*

- **Research Question 3 (RQ3):** *“How can urban management policies be assessed in relation to a 21st century international approach to urban heritage conservation, management and development?”*
- **Research Question 4 (RQ4):** *“What are the strengths and limits of existing urban management systems in reconciling urban heritage conservation with development in WH cities? What are the possible opportunities and threats of integrating a 21st century international approach into existing systems?”*

Research Methodology

Starting from the analysis of existing analytical frameworks for evaluating urban management policies, I developed an original assessment framework to conduct this study (Simpson, 2001; Ruhanen, 2004; Landorf, 2009; World Heritage Centre, 2008a; Re, 2012; Veldpauw, 2015). The framework aims to systematically assess the consistency of urban management policies in relation to the 21st century international approach, linking theory with practice. I tested this qualitative assessment tool on the two case studies through a qualitative content analysis of the urban management policies. The use of the assessment framework allowed me to compare its application on diverse urban management policies as well as between policies operating in different cities. Therefore, it provides an original methodological tool for conducting this study that can be used by other researchers, practitioners or city managers for increasing the understanding of current, former and future urban management policies. The assessment framework is tested on a sample of policies for each case study. The sample includes multi-scalar (national, regional, provincial, local and World Heritage levels) and multi-sectorial (heritage conservation, urban and territorial planning and socio-economic development) urban management policies adopted from 2000 to 2016 in Florence and Edinburgh. The comprehensive assessment of this variety of urban management policies constitutes an original aspect of the research: to the knowledge of the author this is the first time that urban policies related to all these levels and sectors have been evaluated and compared at the same time.

The recognition of urban heritage attributes and values conveying the OUV of these two WH cities as well as of current factors affecting them, was a fundamental step in this investigation. It allowed me to evaluate if these factors, attributes and values were adequately considered by policy measures. For this

reason, attributes and values of the two WH properties were identified through the means of an analysis of official documents resulting from their nomination process (Nomination dossier by the State Party, ICOMOS Advisory Body Evaluation and Retrospective Statement of OUV) for the inscription in the WHL. Moreover, current pressures and other factors that are (currently or potentially) affecting Florence's and Edinburgh's urban heritage were identified analysing UNESCO State of Conservations Reports, monitoring documents and WH management plans. Notably, urban heritage attributes and values were classified according to the categories of the assessment methodology developed by Veldpau (Veldpau, 2015: 55-76). The identification of the WH attributes and values allowed for the examination of how the measures provided by local urban management policies in the two case studies are currently addressing them. This allowed me to understand the effectiveness of these policies in preserving and transmitting the WH properties' OUV over time, and to identify the main critical issues existing in the two case studies.

The application of the assessment framework does not allow for the evaluation of the strengths of urban management policies in integrating the key principles of the new paradigm for urban heritage conservation and management, nor their effectiveness in dealing with contemporary challenges in WH cities. Therefore, the research findings obtained testing the framework on the two case studies were supplemented and validated by data collected through semi-structured interviews conducted with local stakeholders (policy makers, officers, academics and professional experts) involved in the definition and implementation of the assessed documents. Finally, a comparative analysis of the two urban management systems contributed to avoiding the limits of a research project based on a single case study (Hantrais, 2007: 7). Similarities and discrepancies between different urban management systems were identified comparing the two case studies in a systematic way. Moreover, testing the assessment framework I developed in more than one case improves its validity and replicability on other historic urban environments.

Thesis Structure

The dissertation is divided into seven main chapters. *Chapter 1* frames the comparative scene of this research and illustrates the main contributions that Italian and British theorists and practitioners had in combining urban heritage conservation with development over the 20th century. Moreover, the chapter frames the creation and evolution of an international and “conventional” approach to urban heritage conservation and development from the 1960s to the end of the 20th century. *Chapter 2* retraces the evolution of a 21st century international approach to urban heritage conservation, management and development, highlighting the contribution that Italian and British theories and experience had in this context. It also outlines the key principles of a new paradigm on urban heritage conservation and management that has taken shape since the beginning of the 21st century, and which constitutes the theoretical basis of this research.

Chapter 3 explains the research methodology that is used to answer the identified research questions. It illustrates the criteria for the selection of the case studies and describes the materials and methods used for conducting this investigation. Starting from a review of existing assessment frameworks, it illustrates the assessment framework developed by the author to evaluate local urban management policies in relation to the 21st century approach. Moreover, it describes how it was tested on a selected sample of policies in Florence and Edinburgh. *Chapter 4* discusses the urban heritage attributes and values conveying the Outstanding Universal Value (OUV) of Florence’s and Edinburgh’s WH properties through an analysis of the official documents for their inscription in the WHL. Moreover, it highlights the contemporary pressures and factors currently or potentially affecting the properties’ OUV.

Chapter 5 and *Chapter 6* discuss the assessment results of the urban management policies, focusing on Florence and Edinburgh respectively. They critically analyse how the two existing urban management systems have already incorporated a 21st century international approach to urban heritage conservation, management and development. *Chapter 7* compares the results obtained in the two case studies and illustrates the strengths and weaknesses of Florence and Edinburgh’s urban management policies in dealing with the contemporary pressures and factors affecting their urban heritage. Moreover, the chapter considers how the measures provided by the selected urban management policies in the two case studies currently address the protection, conservation,

management and enhancement of the attributes and values of their WH properties. Additionally, it discusses the possible opportunities and threats of integrating a 21st century international approach into existing urban management systems for a better management of urban heritage conservation and development. Finally, the *Conclusion* outlines how I addressed the research questions, the key findings and the thesis contribution to theory and practice. Furthermore, it also represents the limits of this investigation and outlines possible future research areas.

Chapter 1

Urban Heritage Conservation in the 20th Century: Approaches in Italy and in the UK and the Evolution of an International Doctrine

Introduction

The 19th century was characterised by important urban, structural, economic and social transformations, which radically changed the urban appearance and the socio-economic structure of existing cities. This process implicated the loss of entire urban areas as the practice was to preserve only isolated monuments. In this context, many intellectuals of the time tried to find a way to balance heritage conservation with development, and laid the ground work for the development of the disciplines of urban heritage conservation and modern town planning. Moreover, the destruction, caused by the Second World War (1939-145) and by the unregulated planning processes of the reconstruction period (1945-1970), often caused the loss of urban heritage and raised awareness of a need to develop an international doctrine on urban heritage conservation, management and development. This chapter is divided into five main sections. By focusing on the

early approaches to urban heritage conservation in Italy and in the United Kingdom (UK), *Section 1.1* sets the comparative scene of this research. *Section 1.2* underlines the importance that the advent of the Modern Movement (1920s-1930s), the Second World War and the reconstruction period had in the evolution of the urban heritage conservation discourse. *Section 1.3* illustrates the contribution that the works and thinking of selected key British and Italian authors had in the development of a theory and practice of urban heritage conservation between 1945 and 1970. *Section 1.4* retraces the evolution of an international approach to urban heritage conservation, management and development that had been theorised through the adoption of charters, conventions, declaration and recommendations by relevant international organisations during the second half of the 20th century. Finally, *Section 1.5* highlights the key aspects that emerged in this chapter.

1.1 Setting the Comparative Scene: Early Approaches to Urban Heritage Conservation in Italy and in the UK

1.1.1 The 19th Century: Toward the Urban Dimension of Heritage

The Industrial Revolution started in Britain in the late 18th century and gradually spread across the Europe throughout the 19th century, generating unforeseen problems in urban areas (Castronovo, 1973; Wringley, 1992). European cities became distinguished by massive urban and economic development pressures, as the industrial revolution implied an incredible urbanisation process, an abandonment of the countryside and a rapid demographic growth (Lees and Lees, 2007; Clark, 2009: 225-229). The so-called ‘pre-industrial city’, with its historically layered structures, its limited extension and its huge density, was not adequate to accommodate the contemporary requirements, like renovated urban functions, new workers’ housing and hygiene necessities (Choay, 1992: 133; Rodwell, 2007: 23; Rodwell, 2010: 6). For this reason, extraordinary efforts for urban renovation and expansion were considered indispensable as well as the “appreciation of the necessity for interfering with market forces and private property rights in the interest of social well-being” (Hart *et al.*, 2015: 17).

The formation of the new industrial society - also defined as “urban society” (Choay, 1965: 3) - constituted an essential moment in the definition of what is claimed to be the contemporary “urban age”, which started in the early 21st

century (Brenner and Schmid, 2014: 1).² In the name of urban development, new industries, arterial roads, urban suburbs, train stations, shopping centres, cafés, and other urban services were created, involving important urban transformations and enlargement processes. Sometimes the urban renovations implicated a political dimension as “the wide avenues were supposed to be more secure, to prevent, among other things, the construction of barricades (easier to erect in small streets) and to facilitate the movement of army troops”, such as the urban transformations of Paris under Napoleon III between 1852 and 1870 (Labadi and Logan, 2016: 3). These changes were destined to radically alter the appearance and socio-functional configuration of existing cities, involving a period of dramatic rupture with the past. Cities were impacted and urban dwellers were challenged by the speed and the brutality of change, as modern industry, the advent of rapid urbanisation processes, urban alterations and expansions transformed urban landscapes as well as their socio-functional roles. Delimited physical urban areas, sometimes referred to as the “historic city” in opposition to more modern districts, came under threat, as the gradual and historical layering of structures, meanings and values that had shaped the pre-industrial city over time became less “relevant” in an Industrial age (Ashworth and Tunbridge, 2000: 42).

In this context, a dilemma between heritage conservation and urban development started to rise. The urban, structural, economic and social transformations of the time, as well as the rapid and negative effects of the industrialisation, were the starting point for many intellectuals and artists of the period to reflect about the future of existing cities and their heritage (Rocchi and La Regina, 1974: 82-97). In the case of new urban developments, the practice was only to preserve isolated monuments, involving the loss of a heritage, which was still not considered as worthy of conservation such as domestic and vernacular architecture, thereby destroying entire urban areas. However, this destruction increased the consciousness that historic, social and cultural sites were intrinsically linked to a society’s cultural identity and memory, and would be completely lost if adequate conservation measures were not taken.

A group of intellectuals of the time - from theorists to practitioners in the field - proposed possible ways of finding a balance between heritage conservation and development in urban environments. Their thinking brought different approaches

² See *Section 2.1.1* “Turning to the 21st Century: Historic Urban Environments between Conservation and Development”.

and a foundation for both urban heritage conservation and modern town-planning (Benevolo, 1981; Relph, 1987; Delafons, 1997; Calabi, 2000; Ashworth and Tunbridge, 2000: 22-23; Gianbruno, 2002: 15-16; Rodwell, 2007; Siravo, 2011: 45; Tewdwr-Jones, 2011: 51). On one side, there was a refusal of the past and of the historic city with its irrational configuration, with a need to conform to functionality and contemporary needs in name of progress, like new urban systems and spatial organisations based on geometry and rationalisation (e.g. the utopian Owen and Richardson). On the other, there was a respect for historic urban areas, their singularity and their structural and socio-functional coherent units in opposition to the modern and destructive industrialisation pressures (Choay, 1965: 11-22). Even if a theory on urban heritage conservation was not developed during the 19th century, the following paragraphs aim to point out how its premises were built under this second approach through the ideas of John Ruskin and William Morris, who are its main representatives.

John Ruskin (1819-1900) and William Morris (1834-1896)

John Ruskin - English art critic, social thinker and philanthropist - is considered, together with the French intellectual Victor Hugo (1802-1885), one of the founders of the principles of heritage conservation (Jokilehto, 1999: 174-175; Gianbruno, 2002: 15; Viñas, 2005: 3-7; Orbasli, 2008: 17-20). In his seminal book *The Seven Lamps of Architecture* - first published in 1849 - he developed an alternative approach to conservation (Delafons, 1997: 14). He asserted “take good care of your monuments, and you will not need to restore them” (Ruskin, 1849: 181), stressing the importance of buildings’ maintenance rather than restoration, sustaining that “we have no right whatever to touch them” (*ibid.*). In this way, he promoted a ‘non-interventionist approach’ to heritage conservation.

Ruskin firmly believed that the historic city, in clear contrast with the modern city, was going to disappear as an effect of rapid contemporary transformations. For this reason, he strongly fought for the preservation of the pre-industrial city with its human scale, its mixed socio-functional structure, its long historical stratification and its homogeneous urban environment, stating that it was representative of the local identity and sense of place. In this context, Ruskin developed a pioneering conception of the historic monument, enlarged to an urban dimension that makes him a precursor in the evolution of the urban conservation discourse (Choay, 1992: 125; Bandarin and Van Oers, 2012: 6). His thinking was in line with the Romanticism Movement - a form of opposition to the modern

industrial era with a “nostalgic wish to re-live the past as present” (Jokilehto, 1999: 101) - and was influenced by the earlier reflections of the English architect Augustus Pugin (1812-1852), who counterposed the modern mechanism to the homogeneity of the past (Pugin, 1895; Pugin, 1898).



Figure 1: John Ruskin’s drawing of the Casa Contarini-Fasan in Venice, which shows “how much beauty and dignity may be bestowed on a very small and unimportant dwelling-house by gothic sculpture”. Source: Ruskin, J. and Morris, J. (1981). *The Stones of Venice (Edited and Introduced by Jan Morris)*. London: Faber and Faber Limited, p. 141.

With Ruskin, the concept of the historic monument was extended to include an urban dimension (Choay, 1992: 9-24). He considered heritage not only the “isolated richness of palaces”, but also domestic and vernacular architecture (Ruskin, 1849: 167). Therefore, the continuity of the urban tissue formed by

modest houses reached the same importance of single monumental buildings. Moreover, it stressed the importance of the memorial value of architecture, considering architectural heritage as the representation and the cultural testimony of the present society. It stated that “we may live without [architecture], and worship without her, but we cannot remember without her” (Ruskin, 1849: 164). In his book *The Stones of Venice* firstly published in 1849, Ruskin envisaged the preservation of architectural heritage as it is the ‘stone book’ where it is possible to read the history of the society that had produced it (Ruskin and Morris, 1981). He considered the preservation of heritage as a moral duty for humanity, as he was convinced that the past represented the cultural foundation of the present society. This precursory thinking led Ruskin to propose the pioneering concept of ‘European Heritage’ and the creation of a specific international association destined to its protection in 1854 (Ruskin, 1885: 19-20). Although he did not develop a specific theory on urban heritage conservation, he certainly contributed to the enlargement of heritage conservation from individual monuments to an urban heritage whilst also influencing the Italian urban planning culture of the 1920s and 1940s (Rostagno, 2006).

William Morris - English artist and writer - was a direct follower of Ruskin’s ideas and heritage conception, before becoming a social activist later in life. In 1877, he founded the *Society for the Protection of Ancient Buildings* (SPAB) that is still active in Britain and has remained a “particularly vociferous influence in British thinking on conservation since Morris’s death” (Larkham, 1996: 33). The SPAB Manifesto had had a major role in the promotion of a modern approach to conservation in Europe (Rocchi and La Regina, 1974: 117; Nasser, 2003). Like Ruskin, Morris personally fought to protect historic monuments and historic urban areas (Morris, 1985; Morris, 1996), wanting to “integrate the city with the country, the present with the past, the public and the personal moralities” (MacCarthy, 1994: vii).

Ruskin’s and Morris’ thinking was in opposition with the conception promoted by the French architect Eugène-Emmanuel Viollet-Le-Duc (1814-1879), who – in its *Dictionnaire raisonné de l’architecture Française* - defined restoration as “the reconstitution of a ‘complete’ or ‘ideal’ state that may have perhaps never existed” (Viollet-Le-Duc, 1854: 247). Therefore, Viollet-Le-Duc strongly promoted an interventionist approach to the restoration of monuments, buildings as well as entire urban complexes. While the interventionist approach

was broadly applied in France and was also widespread in Europe at that time, the thinking of Ruskin and Morris had a great influence in Italy and in other countries such as Germany, Greece and India (Pane, 1974; Vassallo, 1996; Jokilehto, 1999: 186-187). Moreover, their ideas were embraced during the adoption of international restorations charters like the *Athens Charter for the Restoration of Historic Monuments* in 1931 and the *International Charter for the Conservation and Restoration of Monuments and Sites* in 1964 (Rocchi and La Regina, 1974: 141).³

In Italy, the thinking of Ruskin and Morris influenced the Italian architect Camillo Boito (1836-1914). While taking an intermediate position between the interventionist and the non-interventionist approach, Boito based his conception of authenticity on their conservative approach. Boito advocated that contemporary interventions could be added to a building, whilst highlighting the need to preserve all its subsequent historical layers. He considered buildings as “historical document[s]”, made from the juxtaposition of layers from different periods, which all had to be respected (Boito, 1893). Furthermore, he stressed that all new additions had to be easily recognisable from the authentic and historically stratified building: a concept that will be later applied, especially in the second half of the 20th century, in contemporary architectural interventions in historic urban environments. Together with Ruskin, Boito made a significant contribution to modern European conservation. Their conception of historic monuments included minor urban tissue as they recognised that ‘minor’ heritage, such as houses, can represent the universal and collective values of local cultures and their identities. As such, buildings are to be maintained, rather than restored, copied or reconstructed. Nevertheless, they did not consider historic urban areas in a temporal or evolutionary perspective, confining them into an ancient, nostalgic and picturesque past (Jokilehto, 1999: 178-180).

1.1.2 Early 20th Century: Harmonising Urban Heritage Conservation with Development

The first half of the 20th century was distinguished by a shift from the preservation of single monuments to an historical, evolutionary and holistic perspective applied to the historic urban environment, in an attempt to reconcile the conservation of

³ See *Section 1.4* “Framing the Evolution of an International Urban Heritage Conservation Doctrine in the 20th Century”.

its heritage with contemporary urban dynamics. Building on the pioneering ideas of Ruskin and Morris, the Austrian architect, Camillo Sitte (1843-1903), and his followers such as the Belgian, Charles Buls (1837-1914), fought for the preservation of historic centres, as many European capitals faced extensive urban demolition. Sitte promoted an aesthetical approach to the historic city, recognised to have a greater ‘aesthetic’ value than the modern urban districts (Sitte and Wiczórek, 1981). Moreover, he considered the city as an historical continuum that had to be morphologically and typologically analysed to carefully understand its subsequent developments. He lay the foundation for both urban heritage conservation and modern town planning, having a great influence in urban construction planning both in Germany and abroad (Collins and Collins, 1965: 85-102).

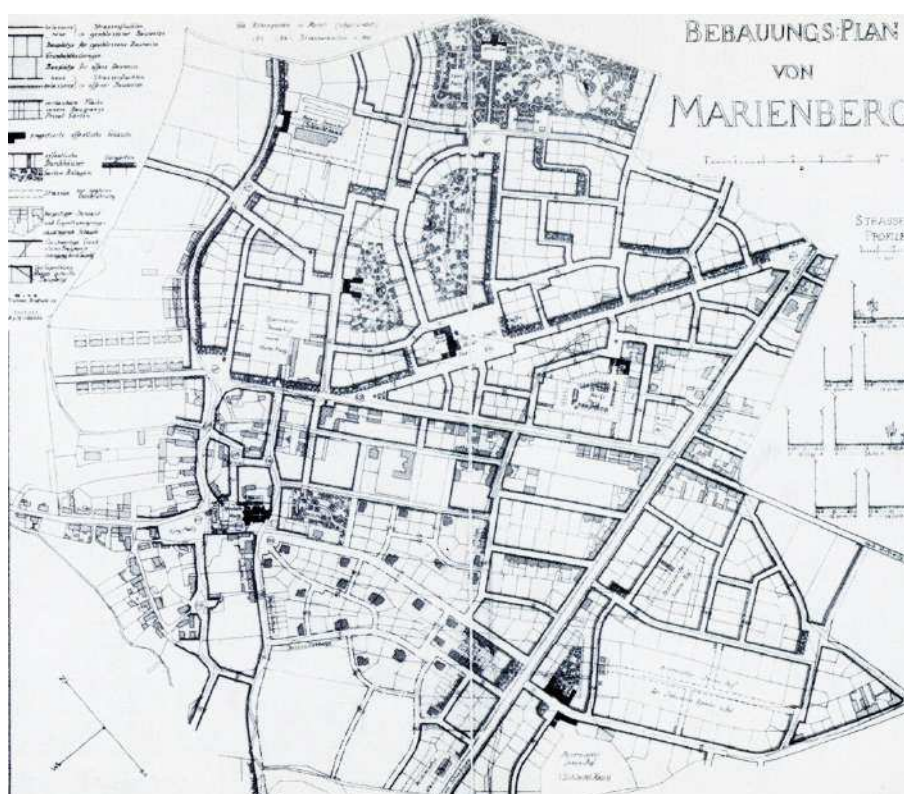


Figure 2: Camillo Sitte’s Plan for the extension of Marienberg in Silesia. Source: Collins, G. R. and Collins, C. C. (1965). *Camillo Sitte and the Birth of Modern City Planning*. London: Phaidon Press Ltd., Figure II.

Buls continued to develop Sitte’s thinking, focusing on the relation between historic centres and modern urban developments. His work had a significant

impact abroad, especially in the Italian context and in the subsequent work of Gustavo Giovannoni (Smets, 1999: 22-29; Pane, 1996: 298). In *L'esthétique des villes*, Buls contrasted the rules of modern urban planning, which proposed urban development models, applicable in all environments, regardless of specific, unique contexts (Buls, 1893). He affirmed that “the architecture is the tangible testimony of the society in which it is developed”, and, consequently, that historic centres must be preserved as they represent the cultural testimony of a given civilisation (*ibid.*: 34). However, both Sitte's and Buls' consideration of the historic city were limited to an historical and aesthetical perspective, in line with the ‘picturesque’ approach of the 19th century (Gianbruno, 2002: 32). More holistic, harmonious and organic approaches to the conservation of historic urban environments and their relationship with contemporary urban transformations, can only be found in the thinking of the Scotsman Patrick Geddes and of the Italian Gustavo Giovannoni, which are discussed in the following paragraphs.

Patrick Geddes (1854-1932)

In Britain, and in Scotland in particular, the thinking of Patrick Geddes - biologist, sociologist and town planner - looked at the city from a wider and multidisciplinary perspective if compared to the other thinkers and urban planners of the time. He is considered a “forefather of the modern urban planning movement” (Hysler-Rubin, 2011: i). Geddes pioneered an holistic approach to heritage conservation and urban development, introducing “before his time, the idea of a sustainable approach to development that should take into account the existing urban landscape in all its complexities” (Labadi and Logan, 2016: 4). Influenced by Darwin's theories on evolution, in his book *Cities in evolution: An introduction to the Town Planning Movement and to the Study of Civics*, Geddes considered the city as an organism in constant evolution and change, where all its physical and social elements are strictly interconnected to the whole environment (Geddes, 1915: 1-24). In this framework, he looked at the city as an ‘urban ecosystem’, interconnected with its broader context, including the surrounding countryside. He tried to understand the city with a comprehensive view and was able to synthesise “so many apparently unrelated fields” involved in the urban environment (Boardman, 1978: 1). He understood this to be a preliminary step to any development or urban intervention. This wider and multidisciplinary vision,

precursor of the times, acquired a great resonance especially with the enlargement of the sustainability discourse to historic cities during the 1990s.⁴

One of Geddes' greatest merits was his recognition of the importance of historic heritage as well as the originality of the present, which is considered the "development and transformation of the past, not its repetition" (Choay, 1965: 57). Moreover, Geddes moved the existing methodological approach for the study of historic urban areas forward from the one theorised by Camillo Sitte, which was mainly based on the analysis of urban morphology. Geddes achieved this by including urban intangible components, enlarging the disciplines involved and the city interpretation layers. Following Ruskin theories, he applied a sociological approach to urban planning, integrating the human condition in the process and believing that the urban spatial form is strictly interconnected with social processes (Meller, 1990: 111-114). In this way, he encouraged the use of surveys and mapping processes to understand a city which need to be applied, not only to urban physical structures, but also to a city's economic, social and cultural components (Geddes, 1915: 339-358).

Finally, Geddes "is celebrated for being sensitive to both the environment and the community" and his work is studied as "a tool for raising public awareness for the built environment" (Hysler-Rubin, 2011: 2). In fact, in *Cities in evolution*, Geddes emphasised the importance of the involvement of local communities in urban conservation and development strategies, as he considered their memories, values and associations with a place as being of fundamental importance for any urban transformation. Moreover, this would have allowed a "better relationship between planner and community" (Reilly, 1972: 49). His pioneering conception of the conservation of the historic urban environment was implemented both in Europe - for example with the renovation of the old town of Edinburgh and with social experiments in London - as well as in the rest of the world in countries such as India and Palestine (Meller, 1990: 142-145). In India, he was called to advise on emerging planning issues, such as how to mediate "between the need for public improvement and respect for existing social standards", in several cities including Madras and Bombai (Tyrwhitt, 1947: 16). In Palestine, he worked on a number of projects, such as the preparation of a scheme for the Hebrew University of Jerusalem and the preparation of a report on town planning in Tel

⁴ See Section 1.4.4 "The 1990s: A Landscape Approach for Sustainable Urban Conservation, Management and Development".

Aviv, which was subsequently adopted by the local municipality (Geddes, 1919). Geddes' work greatly influenced the American historian and urban thinker Lewis Mumford (1895-1990), who criticised "the process of urban sprawl and linked the social problems to the structure of their cities" (Bandarin and Van Oers, 2012: 13).

Gustavo Giovannoni (1873-1943)

Like Geddes, the Italian urban theorist and practitioner Gustavo Giovannoni is considered one of the most relevant figures in the urban conservation discipline and assumed an important role in the debate concerning the conservation of the historic city in the first half of the 20th century (Choay, 1992: 145-151; Pane, 1996: 299; Gianbruno, 2002: 71; Rodwell, 2010: 33-36; Bandarin and Van Oers, 2012: 14-15). Even though heritage was now conceived with an urban dimension, as devised by Ruskin, it was still framed around the concept of safeguarding historic monuments and isolated urban elements without recognising the urban heritage in a comprehensive manner. Directly influenced by the theories and works of Charles Buls, Giovannoni enlarged the concept of heritage and its conservation to comprehensively include the whole city, with its domestic and 'minor' architecture (*architettura minore*) (Gianbruno, 2002: 3; Siravo, 2011). According to this conception, he was the first author that formally defined the notion of 'urban heritage' in his seminal book *Vecchie città ed edilizia nuova* (Giovannoni, 1931; Choay, 1992: 145). In this sense, Giovannoni considered the 'old' city as the result of an historical layering and argued that not only monumental buildings, but also their surrounding 'environment' should be conserved for preserving the urban integrity over time.⁵

Giovannoni considered the dense, physical and functional structure of historic centres to be the central core of modern cities and a place of housing, living and social exchange. Giovannoni understood that these centres gave relevance to social and cultural values and believed that the different urban districts were mutually interdependent. However, recognising the requirements of modern town planning and the need for locating new buildings, infrastructures and functions, Giovannoni defined the operational tools for urban heritage conservation and for guiding interventions in the historic urban areas (Giovannoni, 1931: 156). He conceived his theories as a response to the so-called *sventramenti edilizi*

⁵ In the original work, Giovannoni used the Italian word "*ambiente*", destined to have a great resonance in the Italian urban conservation discourse.

(destruction and removal of ancient buildings or entire districts of the urban tissue) in name of modernism and hygiene. In terms of architectural restoration he took an intermediate position between Viollet Le Duc and Camillo Boito, believing that it is necessary to intervene on monuments and renovate them without losing their integrity (Curuni, 1996: 283-284): these same principles were applied to urban heritage conservation through the development of the theory of *diradamento* (de-densification) as a way of responding to the challenges imposed by the hygienic renewal in historic urban environments (Giovannoni, 1931: 248-280).

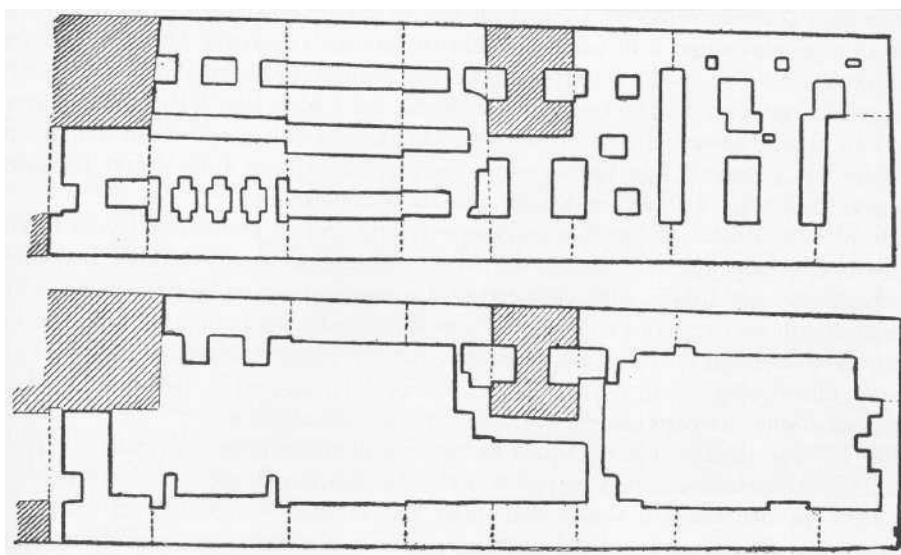


Figure 3: Internal re-organisation of a group of buildings in via Emanuele Filiberto in Rome. It was obtained demolishing internal buildings' units and merging the internal courts, creating big garden spaces. Plans before (top) and after (bottom) of the re-organisation. Source: Giovannoni, G. (1931). *Vecchie Città Ed Edilizia Nuova*. Torino: Unione tipografico-editrice torinese, p. 255.

Diradamento consists in “the demolition of small disconnected urban portions, leaving free areas without reconstruction or only reconstructing small elements, reducing to a minimum any introduction of new elements incongruous with the historic fabric” (*ibid.*: 249).⁶ Giovannoni affirmed that “all this should be done with ‘love and patience’, without exaggerating, changing the typology or the

⁶ Free translation carried out by the author. The original sentence is: “demolire in piccoli tratti staccati, lasciando aree libere e ricostruendo poco o nulla, riducendo così al minimo l'introduzione di nuovi elementi quasi sempre inarmonici col vecchio”.

order of the district, seeking diffusion and not linear organisation, through small local provisions and through big tools, realising without adding, improving without radically transforming” (*ibid.*: 248).⁷ With his theory, the “hygienic advantages [such as sufficient lighting and aeration for buildings and urban settings] go hand in hand with the artistic ones and the reasons of future development do not exceed or threaten those of the present” (*ibid.*: 249),⁸ promoting the maintenance of a functional balance, without compromising hygiene requirements. In this way, he argued that respecting the urban morphology and the building typology, it was possible to reintegrate portions of city that were missing due to the *sventramenti* as well as expanding the existing urban fabric, “improving the general conditions without radically changing the economic order, without transforming the urban area into something it can never be” (*ibid.*).⁹ With this conception, new urban developments were a natural continuum with historic centres, which could not be reduced to special districts with functions disconnected from citizens’ ordinary life. Finally, one of Giovannoni’s most original contributions was the fact that, in his view, the guidance of urban transformations must be done by the public administration in order to overcome the diverging interests of the private owners and to guarantee that interventions maintained the collective interest.

As a practitioner, he attempted to apply his theories to concrete interventions (e.g. Siena, Bari Vecchia, Spalato and Bergamo Alta). However, the advent of fascism and of the Second World War (1939-1945) made it difficult for him to apply his methodological and scientific principles in a consistent manner and the practical implementation of his theoretical principles was sometimes controversial. In order to implement his theory of *diradamento* at least in part, Giovannoni often had to support fascist urban extensions and enlargements not so different from those promoted in the second half of the 19th century (Pane, 1996: 307-312). As a result, the implementation of his urban heritage conservation approach was ambivalent (Gianbruno, 2002: 71): on one hand he fought against

⁷ Free translation carried out by the author. The original sentence is: “*tutto questo va fatto con «pazienza e amore», non volendo far troppo né mutare essenzialmente il tipo, l’ordine del quartiere, per diffusione e non per sistemazione lineare, con spiccioli provvedimenti locali e non con grandi mezzi, liberando senza aggiungere, migliorando senza trasformare radicalmente*”.

⁸ Free translation carried out by the author. The original sentence is: “*i vantaggi igienici e gli artistici camminano così di pari passo e le ragioni dello sviluppo avvenire non esorbitano e non minacciano quelle dello sviluppo attuale*”.

⁹ Free translation carried out by the author. The original sentence is: “*si migliorano le condizioni generali senza mutare radicalmente l’ordine economico, senza cioè voler trasformare il quartiere in quello che non potrà mai essere...*”.

operations dedicated to demolishing and removing ancient buildings in historic urban areas; and on the other, he corroborated contemporary interventions in contrast with his own principles, but in line with the Fascist ideology of the time that promoted celebrative and aggressive public works, such as the plan for the isolation of the Arc of Augustus in Rimini (Cederna, 2006; Nicoloso, 2008). Nevertheless, Giovannoni made major contributions to urban conservation in his attempts to reconcile the conservation of the urban historic fabric with the modern development needs (e.g. new constructions and infrastructure systems). He aimed to preserve social functions and the physical structures within city centres and to promote their mixed uses. These contributions constituted an essential theoretical advancement that has acquired a lot of influence both in Italy and abroad.¹⁰

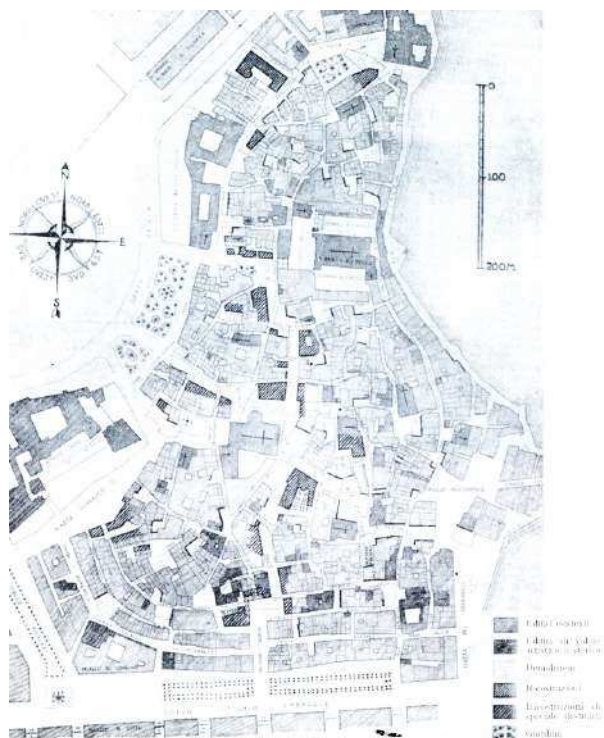


Figure 4: Map of the plan for the re-organisation of old Bari (Italy) with the application of the theory of *diradamento*. Source: Giovannoni, G. (1931). *Vecchie Città Ed Edilizia Nuova*. Torino: Unione tipografico-editrice torinese, p. 272.

¹⁰ See Section 1.3 “The Post-War Period and the Reconstruction (1945-1970): Practical Experiments and Approaches to Urban Heritage Conservation in Italy and in the UK” and Section 1.4 “Framing the Evolution of an International Urban Heritage Conservation Doctrine in the 20th Century”.

1.2 The Advent of The Modern Movement (1920s-1930s): From Holistic Approaches to the Fragmentation of Disciplines

In 1933, the fourth *International Congress of Modern Architecture* (CIAM) was held in Athens, setting the principles for an urban planning charter (Le Corbusier, 1960). The CIAM promoted a completely different approach to transforming historic urban areas, as the first half of the 20th century was heavily influenced by integrated and comprehensive theoretical visions that tried to balance urban heritage conservation and development. The implementation of the Modern Movement principles determined a big fracture between the conception and practice of heritage conservation and that of urban planning, destined to have relevant consequences in the urban conservation and town planning approaches of the second half of the 20th century (Bandarin and Van Oers, 2012: 15-23). The integrated approaches to urban heritage conservation and development that had been previously theorised, were replaced by sectorial, fragmented and limited approaches towards historic urban environments, causing a bifurcation between the disciplines of heritage conservation and of modern urban planning.

The charter adopted during the CIAM – called the *Charter of Athens* – represents the Manifesto of the Modern Movement: an international architectural, planning and design movement developed during the 1920s and the 1930s, which defined a doctrine to respond to the needs of modern society (De Seta, 1980). The *Charter of Athens* proposed a radical attitude to historic urban areas in case of urban development. While it stated that “fine architecture, whether individual buildings or groups of buildings, should be protected from demolition” (CIAM, 1933: Art. 65), it also incentivised the introduction of radical measures (e.g. altering major circulation routes or shifting central districts) for improving health conditions through urban development (*ibid.*: Art. 67-68) as well as the demolition of slums in the surroundings of historic monuments, which constitutes and opportunity for the creation of new urban spaces (*ibid.*: Art. 69).

Based on the principles of functional urban development and of new aesthetic concepts developed during a series of CIAM congresses, the Modern Movement had a major impact on 20th century architectural and planning history. However, its foundation and evolution seriously challenged the conservation of historic urban areas. In fact, the Modern Movement proposed a radical approach to urban

transformations considering historic urban areas as an impediment for urban functional development due to the high density of its historically stratified urban fabric. They judged that historic centres often lacked light and sufficient aeration with services far away from residential districts. The answer to these issues was the demolition of entire quarters and the substitution with new, high-density public housing and green areas. The *Plan Voisin* designed by Le Corbusier (1887-1965), one of the most important exponents of the Modern Movement in 1925, is a prime example of this radical approach and its repulsion for the historic urban environment. With this plan, he proposed to demolish the entire historic district of the Marais in Paris to build 18 skyscrapers (Le Corbusier, 1925: 265-279). Moreover, the movement introduced the concept of zoning; the division of areas that were then subjected to particular planning restrictions and use, which had been the most important tool for urban planning in the 20th century (MacLean Lewis, 1949: 254; William, 1966; Relph, 1987: 65-67).



Figure 5: Le Corbusier, model of the *Plan Voisin* for Paris, 1925. Source: Arts Council of Great Britain, Foundation Le Corbusier, P. and Le Corbusier eds. (1987). *Le Corbusier Architect of the Century: Hayward Gallery, London 5 March- 7 June 1987* (Organised by the Arts Council of Great Britain in Collaboration with the Foundation Le Corbusier). London: Arts Council of Great Britain, p. 211.

1.3 The Post-War Period and the Reconstruction (1945-1970): Practical Experiments and Approaches to Urban Heritage Conservation in Italy and in the UK

Many old city centres were brutally destroyed during the Second World War (1939-1945) leading to extensive reconstruction efforts during the post-war period (1945-1960) and the promotion of economic development, especially in Germany and Eastern Europe (Orbasli, 2008: 20-21). The 1940s and early 1950s were characterised by the reconstruction of bombed cities, the building of massive public housing and plans for the physical development of cities to respond to the intense migration flows from rural to urban areas, especially with the use of public resources (Appleyard, 1979b; Clark, 2009: 235-253). The 1960s, instead, were distinguished by an economic boom, massive private developments, construction of commercial and shopping centres, as well as offices and public infrastructures, which often prompted huge urban demolitions (Ward, 1968). These conditions enabled a “golden age” where architects and planners of the Modern Movement renovated existing cities which were considered to be “cramped, dirty, congested and oppressive” (Appleyard, 1979b: 11; Taylor, 1998: 38). However, in this context, urban heritage conservation, and the architectural conservation in general, was not seen as a priority by policy-makers.

The lack of regulatory protection of historic urban areas often caused the damage and the destruction of entire districts, incentivised by Modern planning interventions, both before and after the Second World War. In fact, while the principles for the protection of monuments were already defined in this period and embedded in several national legislations adopted in the 19th and early 20th century in the European context,¹¹ the same cannot be said for those related urban heritage conservation, which only started to be adopted in the 1960s (Iamandi, 1997: 24; Orbasli, 2008: 25). Even if the theoretical principles for urban heritage conservation had already been partially defined in the first half of the 20th century, they were more open to change and interpretation making their regulation more

¹¹ For example the *Ancient Monuments Protection Act (1882)* and the *Ancient Monument Act (1931)* adopted in the United Kingdom as well as the *Law n. 778 of 1922 for the protection of natural beauties and of buildings of particular historical interest*, then substituted by the *Law 1st June 1039, n° 1089 (Tutela delle cose di interesse artistico e storico)* for the protection of cultural heritage and the *Law 29 June 1939 n°1497 (Protezione delle bellezze naturali)* for the protection of natural heritage, adopted in Italy.

difficult in terms of conservation, particularly when compared to those related to monument protection and preservation (Bandarin and Van Oers, 2012: 4). The fact that existing legislations did not provide specific protection measures to historic urban areas, as they were not considered as a heritage category, had negative consequences on the preservation of the urban heritage, especially during the reconstruction period (1945-1965).

As a reaction to the reconstruction interventions of the period, which often failed to safeguard urban heritage, an intense and rich debate was initiated among architects, planners and other professionals involved in urban heritage conservation and management. These discussions brought about the creation of an international discourse on urban heritage conservation, described in *Section 1.4*, and to the development of a series of experiments and tools for urban heritage conservation, trying to find an “alternative to the (...) post-liberalism urban mechanism” (Benevolo, 1984: 100). Focusing on the two national contexts of Italy and of the UK, this section aims to present the different kinds of experiments and approaches (typo-morphological approach, visual impact approach and participatory approach) to urban heritage conservation that had been developed in the second half of the 20th century. However, it does not aim to provide a representation of the entirety of the approaches of that time, but to present several key urban conservation models through the work and thinking of their most important exponents.

1.3.1 Typo-Morphological Approach: M.R.G. Conzen (1907-2000), Saverio Muratori (1910-1973), Gianfranco Caniggia (1933-1987) and Leonardo Benevolo (1923-2017)

The period after the Second World War (1945-1970s) had seen the development of the typo-morphological approach, which first originated in the field of European geography, and developed through the British and Italian Schools of morphological analysis (Whitehand, 1992: 1). The British and Italian approaches, even if they originated independently and with different objectives, both contributed to the definition of a theoretical as well as concrete approach, which is considered to be effective and largely used in guiding decisions in terms of heritage conservation and urban planning in historic urban environments (Bandarin and Van Oers, 2012: 30). An interdisciplinary field of study on the historic and present urban forms emerged from the two schools and practical

application can be found on different international realities, such as China, Austria, Switzerland and Afghanistan (Whitehand and Gu, 2003; Bianca, 2015).

The British School of Urban Morphology

The British urban geographer M.R.G. Conzen was the first to conceive of a morphological approach: the analysis of the physical structure of the city, which is historically layered and, namely, the “one that focused on the townscape” (Conzen, 2004: 29). He defined the city’s townscape as “the morphological (physiognomic) expression of a spatial individual (region), that is, a spatial functional system within a larger functional and historic-cultural context” (*ibid.*: 263). Therefore, he recognised the “social, economic, and cultural impulses in the past and present, resulting in morphological changes (accumulation, transformation, replacement)” (*ibid.*). With his seminal work on Alnwick, Conzen addressed some fundamental issues on urban morphology (Conzen, 2012).

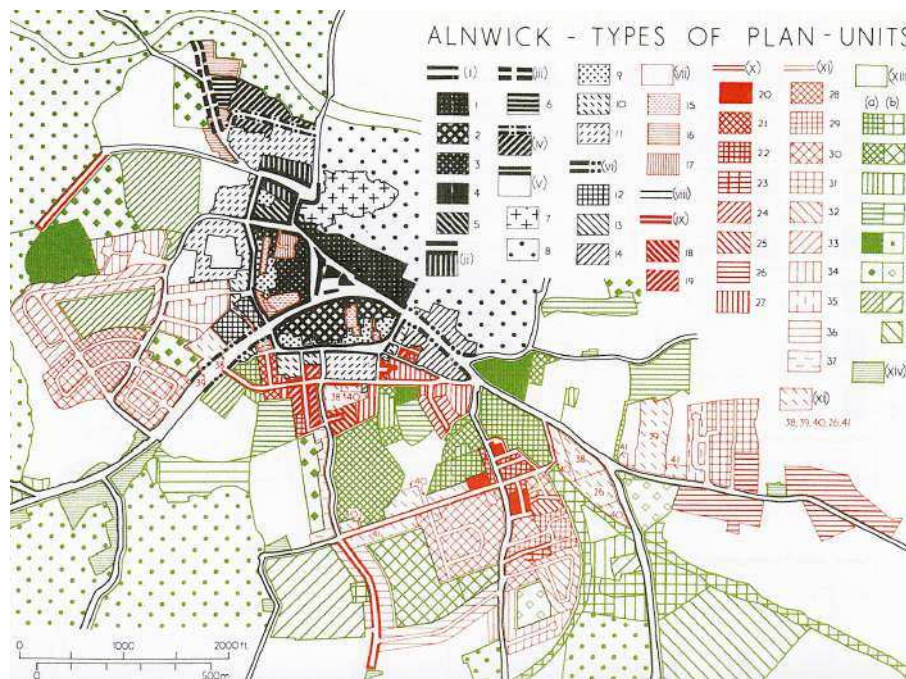


Figure 6: Type of plan-units in the Conzen’s study for Alnwick. Source: Conzen, M. R. G. (2012). *L’Analisi Della Forma Urbana: Alnwick, Northumberland* (Italian Edition by Giancarlo Cataldi, Gian Luca Maffei, Marco Maretto, Nicola Marzot, Giuseppe Strappa). Milano: FrancoAngeli s.r.l., Plate 20.

Considering the townscape as historically layered, Conzen's approach was not intended to be descriptive, but morphological and morphogenetic, focusing on the understanding of the transformation dynamics and formative processes, through an analytical study of the geographical result on the townscape over time. Conzen believed that "every form (territory, city or building) is the result of a process, of the progressive and organic association of parts, and that it makes sense to decompose it and to investigate the single components only if its substantial unit and inseparability is taken into account" (Cataldi *et al.*, 2012: 13).¹² In this sense, Conzen considered the townscape as formed by three elements, which should be carefully investigated: the town plan, or ground plan (including streets, plots and block plans of buildings), the building fabric and the land and building utilisation (Conzen, 2012: 3-4). One of the most original elements of his approach was the focus on urban plots, very detailed and micro-scale elements of the city. His approach analysed their boundaries, dimensions and relation with the block plan of buildings, demonstrating "how the metrological analysis could be used to reconstruct the histories of plot boundaries" (Whitehand, 2001: 105).

At a larger scale, the variability of the historical stratification for the different parts of the town led Conzen to conceptualise morphological regions within an urban area, trying to understand urban physical development. A morphological region is an area with a sense of unity with respect to its form and is characterised in relation to its surroundings (Conzen, 2004: 73): this map should provide "a basis for rooting the future management of the urban landscape in its historical development" and it is particularly relevant with reference to historic centres (Whitehand, 2001: 106). The most important aspect of Conzen's approach is the recognition and understanding of the process of urban development and the historicity of townscapes, conceived as a "palimpsest" that stimulate the continuation of his thinking in the British school of urban morphology (Conzen, 2004: 50-51). Conzen's approach had a central role in urban morphology during the 1980s and 1990s, with an international and interdisciplinary impact among researchers from all over the world and especially in the work of his followers, such as J.W.R. Whitehand, T.R. Slater, P. Larkham, K. Kropf and its son M. Conzen (Cataldi *et al.*, 2012: 13). However, its practical application remained

¹² Free translation carried out by the author. The original sentence is: "*ogni forma (del territorio, della città, degli edifici) è il risultato di un processo, della progressiva associazione organica di parti, e che ha senso solo se si tiene conto della sua sostanziale unità e indivisibilità*".

very limited as it has been largely overlooked outside the academe (Whitehand, 1992: 172; Bandarin and Van Oers, 2012: 28).

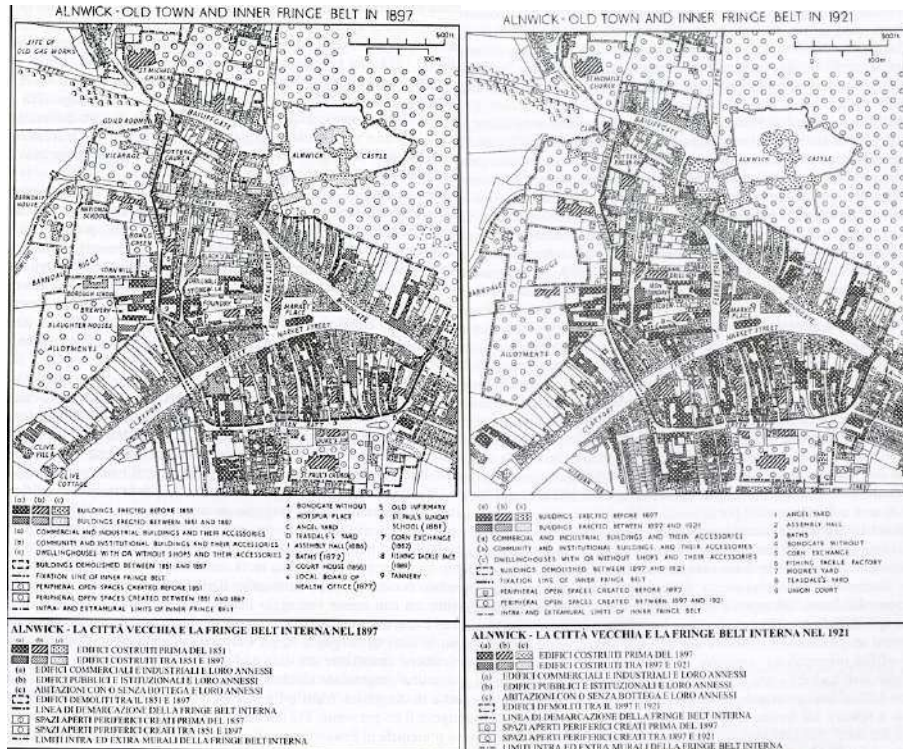


Figure 7: Conzen’s morphological studies of the city of Alnwick: the old city and its internal fringe belt in 1897 (on the left) and in 1921 (on the right). Source: Conzen, M. R. G. (2012). *L’Analisi Della Forma Urbana: Alnwick, Northumberland* (Italian Edition by Giancarlo Cataldi, Gian Luca Maffei, Marco Maretto, Nicola Marzot, Giuseppe Strappa). Milano: FrancoAngeli s.r.l., Plate 16 (left) and 17 (right).

The Italian School of Urban Morphology

In the Italian context, the 1950s and the 1960s were characterised by the development of the Italian school of architectural typological and morphological studies, which greatly influenced the definition of planning tools, legislation for heritage protection and other management practices (Bandarin and Van Oers, 2012: 29). The first exponent of this school was the architect Saverio Muratori, who built on Giovannoni’s work, diverged from the Modern Movement and pioneered the discipline of urban morphology in the Italian context (De Carli and Scatà, 1991: 47). He developed a method to ‘read the city’ and to understand urban structures by analysing the building types as depicted on the cadastral

cartography. He believed that “identifying a building type and its basic characters in the jumble of the reality of the urban structure, means being able to read the evolution of the context and its historical stratification through the study of the style and technique of single urban circumstances, which need to be considered in an historical irreversible and impacting sense” (Muratori, 1960: 5).¹³ He thought that it was possible to study the building type only in practical application on the urban tissue. He judged that urban tissue could only be truly appreciated if considered within the context of an urban environment as a whole, and understood in a historical dimension of continuity (*ibid.*). Muratori’s analytical approach was applied in Venice and Rome (Muratori, 1960; Muratori, 1963). His approach did not intend to provide a theoretical understanding of the evolution of urban forms, but to be a prescriptive and ‘operational’ tool to guide urban conservation and planning (Muratori, 1960: 8).

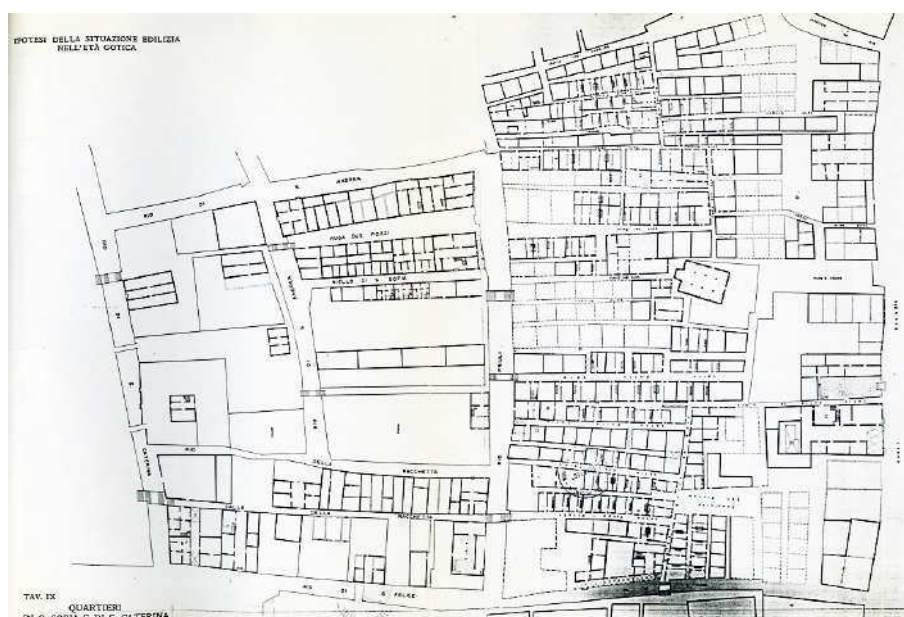


Figure 8: Saverio Muratori’s typological studies of S. Sophia and S. Caterina neighbourhoods in Venice: hypothetical building texture in the Gothic age. Source: Muratori, S. (1960). *Studi Per Una Operante Storia Urbana Di Venezia. I: Quadro Generale Dalle Origini Agli Sviluppi Attuali*. Roma: Istituto Poligrafico dello Stato, Plate IX.

¹³ Free translation carried out by the author. The original sentence is: “l’individuazione del tipo edilizio e dei suoi caratteri base nella congerie della realtà dell’edilizia urbana, significa saperne leggere il contesto nella sua linea di sviluppo e stratificazione storica, nel linguaggio e nella tecnica dei singoli momenti, nel senso irreversibile e condizionante della storia”.

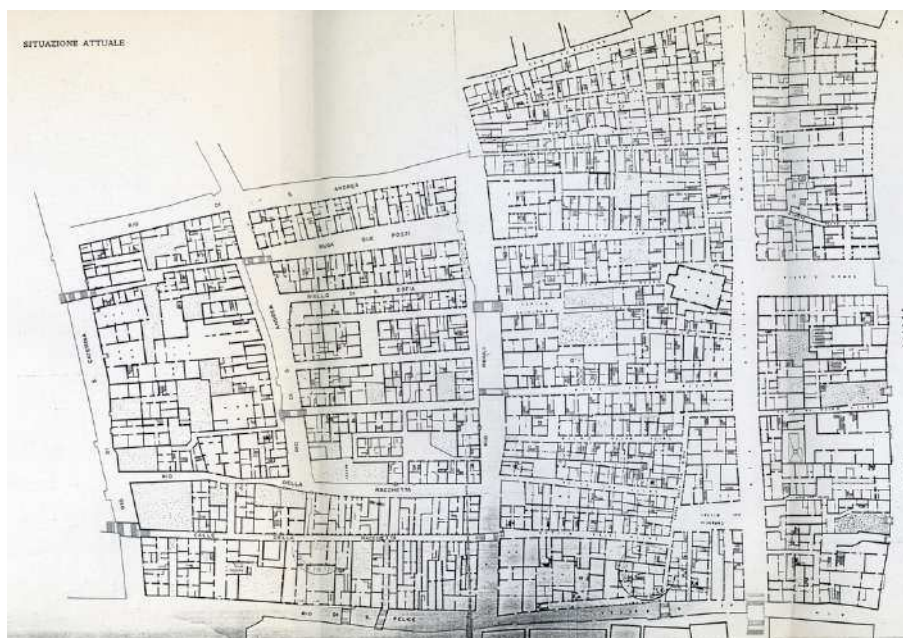


Figure 9: Saverio Muratori’s typological studies of S. Sophia and S. Caterina neighbourhoods in Venice: building texture in 1960. Source: Muratori, S. (1960). *Studi Per Una Operante Storia Urbana Di Venezia. I: Quadro Generale Dalle Origini Agli Sviluppi Attuali*. Roma: Istituto Poligrafico dello Stato, Plate IX.

The same reflections were embraced in Gianfranco Caniggia’s (1933-1987) books and theories, a scholar of Muratori from Rome, who developed a typomorphological approach of analysing urban structures, and expanding the understanding of the ‘evolutionary’ process of typological transformation (Gianbruno, 2002: 126). He defined a limited number of basic spatial configurations – the *Basic Elements* – to which all the building types need to be related. The principle guiding this approach was the “recognition of one structure in the multiplicity”,¹⁴ which is made by different interrelated entities, but admitting a unique “harmonic and homogeneous world” (Caniggia, 1963: 11).¹⁵ With this view, he defined a unitary method to describe urban structures, including both the physical and man-made elements, through the analysis of building types and their relation with the whole urban structure (Caniggia and Maffei, 2001). These are represented through the use of “usual urban

¹⁴ Free translation carried out by the author. The original sentence is: “*riconoscere una struttura in una molteplicità*”.

¹⁵ Free translation carried out by the author. The original sentence is: “*mondo armonico ed unitario*”.

representations tools: maps” (Caniggia, 1963: 29). Using this approach, he carried an interpretation of the city of Como as well as Florence, Rome and Genoa (Caniggia and Maffei, 1979).

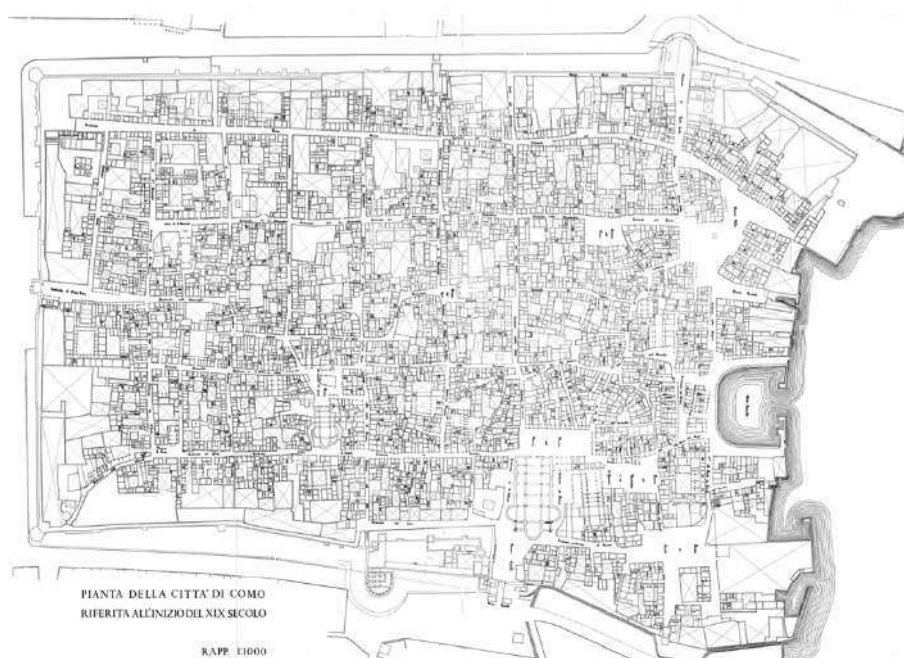


Figure 10: Caniggia’s typological study of the city of Como, Italy. Source: Caniggia, G. (1963). *Lettura Di Una Città: Como*. Roma: Centro studi di storia urbanistica.

The most important concrete application of the typo-morphological principles defined by Muratori, and expanded by Caniggia, was implemented by the architect and planner Leonardo Benevolo (1923-2017) who devised the conservation plan for Bologna, the New Urban Plan of Venice amongst other historic cities (Cervellati and Scannavini, 1973; Benevolo, 1996). The conservation plan, which aimed to preserve and renovate Bologna’s historic centre, represents a concrete application of a comprehensive policy towards historic centres. Moreover, it is a contemporary of the “new urban policy” which appeared during the 1950s (Bandarin, 1979: 192). Benevolo was called in from 1962 to 1965 to carry out an inventory of Bologna’s historic heritage, which faced many physical and economic problems inflicted by war and extensive demolitions. The study was based on the understanding of buildings’ architectural typologies, with the objective of safeguarding original architectural features, while allowing them to adapt to contemporary needs. The concept of typology

helped to understand the principles of building formations and how they can be used. Typology also helps to identify homogenous typological features and the relationships between the residential tissue and important architectural structures (e.g. palaces and churches). The analysis was officially adopted in 1960 and informed the urban plan for the historic centre, which was approved in 1973.



Figure 11: Map of the historic building types in Bologna carried out by Leonardo Benevolo. Source: Cervellati, P. L. and Scannavini, R. eds. (1973). *Bologna: Politica e Metodologia Del Restauro Nei Centri Storici*. Bologna: Il Mulino, p. 126.

1.3.2 Visual Impact Approach: Gordon Cullen (1914-1994)

However, whilst the typo-morphological approach developed in both the British and Italian contexts was a useful tool for guiding urban conservation and planning in the analysis of urban structures, the approach was considered “too deterministic and its application excessively mechanistic” to many of those involved in the preservation of historic urban areas (Bandarin and Van Oers, 2012: 32). Some of these architects and planners decided to focus on another approach for interpreting the city and designing urban space based on “perception”. Among them, the thinking of Gordon Cullen (1914-1994) in the UK stands out for its relevance.

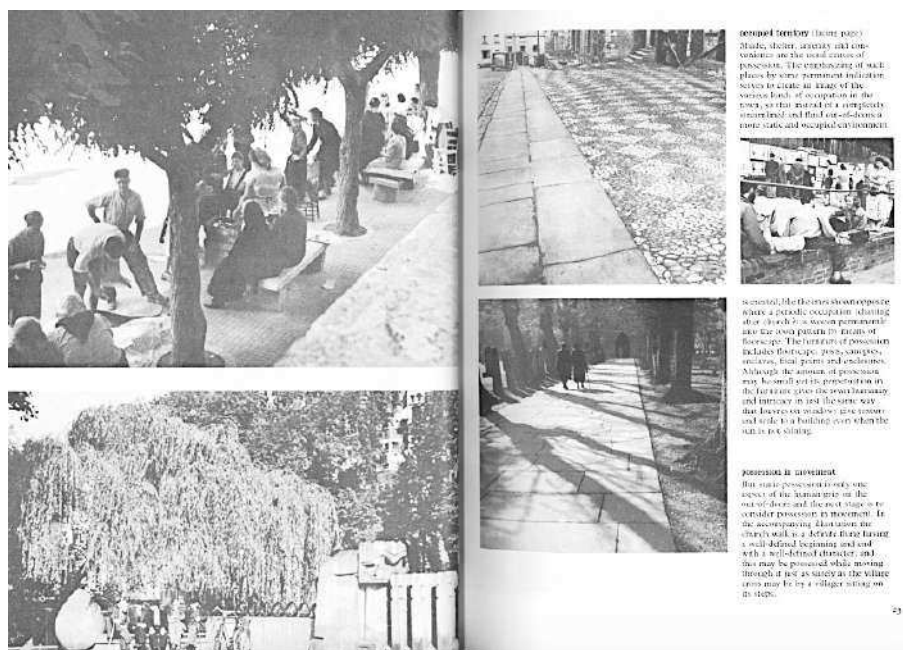


Figure 12: Example of urban elements (occupied territory and possession in movement) identified by Cullen in its *Townscape*. Source: Cullen, G. (1961). *The Concise Townscape*. The Architectural Press, p. 22-23.

Referring to the city’s visual impact on its townscape, Gordon Cullen considered the city a “dramatic event in the environment”, made of different tangible (e.g. buildings, trees, nature, water, traffic, advertisements elements, etc.) and intangible elements (e.g. urban continuity, juxtaposition, narrowness, intricacy, exposure, place possession, etc.) that, together, create the environment (Cullen, 1961: 8). In his popular book *The Concise Townscape*, published for the first time in 1961 under the name of *Townscape*, he thought that there was an “art of relationship” as well as an “art of architecture” which had to be considered alongside each other (*ibid.*: 7). Sight became the primary tool used to understand the environment. This vision cannot be a scientific tool, as it is strictly related to “our memories and experiences, those responsive emotions inside us which have the power to disturb the mind when aroused” (*ibid.*: 8). In this sense, the emotional reaction is a fundamental and original aspect of this approach in the understanding and appreciation of the environment.

According to Bandarin and Van Oers, Cullen proposed an “innovative vision of integrating city planning and conservation”, even if it is only related to an aesthetic perspective of the city, in line with Sitte’s thinking (Bandarin and Van

Oers, 2012: 31). Cullen's theory obtained particular resonance in academic circles and his book, *The Concise Townscape*, remains a standard textbook in the faculties of architecture today (Gosling, 1996: 69). However, the visual impact approach promoted by Cullen may serve as "the main basis in the urban design category of visual analysis and its identification of the visual qualities of the urban landscape which is deeply rooted in the topological experience of the moving observer" (*ibid.*: 71). Therefore, this approach can be applied to carry out a visual analysis of the city, helping to inform the design of urban plans and projects. Cullen's work has continued to inspire designers and architects worldwide and applications of his theories can be found in the later works of Rapoport and Lozano, Trieb and Kohlsorf as well as Barthes, Jencks and Venturi (Gosling, 1996: 71; Engler, 2016: 208-251).

1.3.3 The Participatory Approach: Giancarlo De Carlo (1919-2005) and John Turner (1927-)

The Italian Giancarlo De Carlo (1919-2005), the youngest member of the CIAM and one of the founding members of a secession from CIAM called "Team 10" in 1956, criticised the Modern Movement's top down approach and originally contributed to defining a new approach to planning and architectural design tools, which favoured citizen participation and consensus (De Carlo, 1965; De Carlo, 1973; Romano, 2001: 11-14). He was one of the first to promote and apply local community engagement in architectural design phases. Moreover, he gave relevance to the nature of the context, with its cultural, physical and historical components. He believed that the context had to be carefully understood before designing new planning tools or contemporary architectures. According to De Carlo, the preliminary analyses of a context should include socio-economic, spatial and visual studies of the existing town and landscape, as they constitute the basis of any design for future urban development with respect to the pre-existent urban structure.

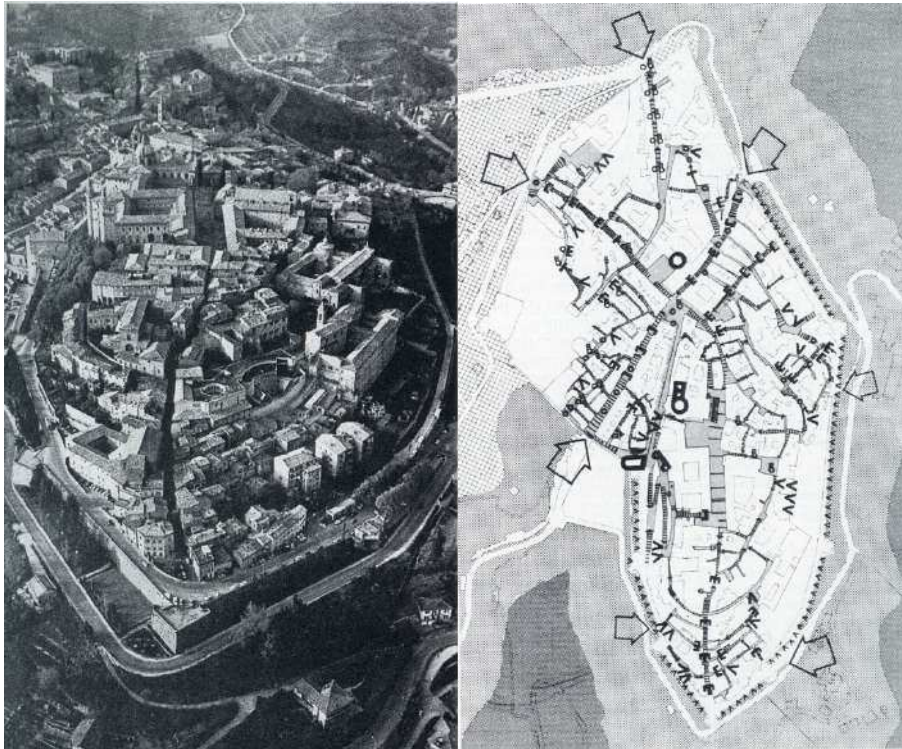


Figure 13: Aerial view of Urbino on the left and map of the view points from the city to the country landscape as identified in the Master Plan for the Italian Town of Urbino designed by De Carlo and adopted in 1964. Source: Bartocci, G. (2014). *L'Architettura Della Città Di Urbino Da Francesco Di Giorgio a Giancarlo De Carlo*. Parma: Diabasis, pp. 62-63.

This participatory approach is particularly evident in the *Master Plan for the Italian Town of Urbino* adopted in 1964, which constitutes his major contribution and “represents a milestone in the history of town planning in Italy and elsewhere” (De Carlo, 1966; Martini, 2013: 147). In this urban plan, he tried to preserve the historic fabric as well as its surrounding territory, allowing the design of new contemporary buildings (university buildings) in harmony with the landscape, respecting “a balance of characters and images which does not allow for heterogeneous interventions” (De Carlo, 1966: 105). In this way, he enlarged the concept of the preservation from the historic centre to the entire historic city of Urbino and its surrounding landscape. The plan involved a continuous and direct dialogue with local politicians and administrators, representatives of cultural and professional associations, different social categories as well as the local community. The external and bottom-up contributions obtained during these consultations helped to better inform the plan as well as creating a collective

planning awareness, which helped to define the plan during the initial stages due to a constant process of contestation (De Carlo, 1966: 7-8).

In the British context, the architect John Turner (1927-), inspired by De Carlo, continued to develop reflections on local community involvement in the design process. The importance of his writings has been widely recognised by both academics and practitioners, as well as bilateral and multilateral funding agencies (Hamdi, 1991: 38). He promoted a participatory design for restoring the linkage between people and place: according to Hamdi, Turner was able to “articulate for the 1960s what Patrick Geddes had done in the first decade of the 20th century” in terms of relationships with people, professionals and public authorities looking for flexible connections between these actors (*ibid.*: 39). After experiencing conditions in squatter settlements in Peru (1957-1965), Turner strongly believed that housing was best managed by those who were directly dwelling in them, rather than by central state administrators (*ibid.*: 47). Therefore, he emphasised the principles of self-building and self-management of housing and neighbourhoods as a means of preserving social connections within a city (Turner, 1967; Turner, 1976). In this way, he promoted a bottom-up approach to housing design, planning and management rather than “the technocratic approach of traditional planning”, rediscovering local values, experiences and traditions as a means of preserving the social and physical integrity of places (Bandarin and Van Oers, 2012: 27).

1.4 Framing the Evolution of an International Urban Heritage Conservation Doctrine in the 20th Century

Adopted at the beginning of the 1930s, the *Athens Charter for the Restoration of Historic Monuments*, from this moment called *Athens Charter (Restoration)*,¹⁶ is considered the starting point of the modern approach to heritage conservation (Iamandi, 1997: 18; Orbasli, 2008: 21; Bandarin and Van Oers, 2012: 22). The charter was adopted in 1931 during *the First International Congress of Architects and Technicians of Historic Monuments* (including the presence of Giovannoni amongst other architects, archaeologists and conservators of the time), an

¹⁶ The *Athens Charter for the Restoration of Historic Monuments* (1931). The First International Congress of Architects and Technicians of Historic Monuments, Athens. [Online]. Available from: <http://www.icomos.org/en/charters-and-texts/179-articles-en-francais/ressources/charters-and-standards/167-the-athens-charter-for-the-restoration-of-historic-monuments> [Accessed 06/03/2016].

international, mainly European, conference, where different national conservation approaches, legislations and disciplines were compared. While it mainly focused on the preservation and restoration of the single monument, the text stated that “attention should be given to the protection of areas surrounding historic sites” (Art. 7), enlarging the focus of heritage conservation from the single monument to its nearby surroundings. While adopting a limited European and aesthetical approach to historic urban areas, it tried to reconcile heritage conservation and development only in the sense that, in case of new constructions, “the character and external aspect of the cities in which they are to be erected should be respected, especially in the neighbourhood of ancient monuments, where the surroundings should be given special consideration”,¹⁷ influenced by the theories of Gustavo Giovannoni in relation to the necessity to safeguard the environment of historic monuments (Romeo, 2004: 42). However, his ideas regarding urban conservation and planning were not reflected in the charter that mainly focused on the restoration of monuments and archaeological sites (Iamandi, 1997: 19).

The advent of the Modern Movement and of the Second World War delayed the evolution of the international debate on urban heritage conservation until the beginning of the second half of the 20th century. During the post-war period, an international conservation discourse developed in relation to the effects of change due to the post-war urban changes taking place with vertiginous speed. These changes were a reaction to the lack of urban conservation strategies and to the poor cultural and social quality of the new functional districts. As a result they threatened cultural heritage, and stood in opposition to the principles of Modern Movement (Council of Europe, 1963: 7-9; Daifuku, 1975). In this period, major governmental and non-governmental organisations, such as the United Nations, UNESCO,¹⁸ UN-HABITAT,¹⁹ ICOMOS²⁰ and the Council of Europe, had an important role in the development of an international urban heritage conservation doctrine, promoting discussions and framing a series of international conventions, charters and recommendations. Starting from the post-war period to the end of the 20th century, this section aims to underline the evolution in the attitude to urban heritage conservation and development as reflected in the international discourse developed in this period by the organisations mentioned above.

¹⁷ *Athens Charter for the Restoration of Historic Monuments*, Part III, Aesthetic Enhancement of Ancient Monuments.

¹⁸ United Nations Education Scientific and Cultural Organisation, Paris, France.

¹⁹ United Nations Human Settlements Programme, Nairobi, Kenya.

²⁰ International Council on Monuments and Sites, Paris, France.

1.4.1 The 1960s: A Conventional and Aesthetical Approach to Urban Heritage Conservation

The first document adopted at an international level on the safeguarding of urban areas, even if indirectly, was the *Recommendation for the Safeguarding of the Beauty and Character of Landscapes and Sites* adopted by the UNESCO General Conference in 1962 (UNESCO, 1962). It identified the typical threats of the reconstruction period, such as the speed of urban transformation due to “ill-regulated development in urban centres”, land speculation and “extensive works and vast plans for industrial and commercial development”, that could potentially damage the “aesthetic value of landscapes and sites, natural or man-made” (*ibid.*: Preamble).²¹ When referring to the urban context, the Recommendation defined the landscape as “urban landscape”, using this concept for the first time in an international standard-setting document (*ibid.*: Art. 1). Nevertheless, the recommendation suggested a conventional and aesthetical approach to conservation as the landscape is considered a “static object (...) to be preserved as if it were a monument” (World Heritage Centre, 2010: 16).

The Recommendation urgently encouraged States to adopt, into “the form of a national law” or in other manner, the appropriate heritage protection measures “into urban development plans and planning” at regional, rural and urban levels (*ibid.*: Part III). An example of these measures included the schedule of extensive landscapes and isolated sites in rural and urban contexts (including sites, areas and buildings) “by zone” subjected to special administration measures. Therefore, the Recommendation supported the integration of the conservation of landscapes and sites into the overall development framework and the creation of special urban planning and heritage conservation areas in order to preserve the urban landscape. However, in this way, urban changes and modifications were “still planned and carried out without considering cities holistically”, confining the safeguarding of heritage to special districts subjected to specific protection measures and mainly focusing on the tangible attributes and on the historical and aesthetical value of the urban heritage (Daifuku, 1975: 9).

²¹ With this definition of landscapes and sites and the combination of cultural and natural aspect in the definition of heritage, the recommendation anticipated the definition of ‘cultural landscapes’ developed during the 1990s. For more information see *Section 1.4.4* “The 1990s: A Landscape Approach for Sustainable Urban Conservation, Management and Development”.

Two years later, the *International Charter for the Conservation and Restoration of Monuments and Sites* (ICOMOS, 1964) - also known as the *Venice Charter* - was approved and adopted by the *International Council on Monuments and Sites* (ICOMOS) in 1965, the date of its foundation. It is considered “the culminating point of a long debate on heritage conservation” developed over the first half of the 20th century (Bandarin and Van Oers, 2012: 39). The *Venice Charter* does not conceive of historic monuments in isolation as a historic monument can be a “single architectural work but also the urban or rural setting”, if indicated in the supporting evidence (ICOMOS, 1964: Art. 1).²² This underlines the importance that such monuments are not only defined as “great works of art” but also as “more modest works of the past”, giving relevance to vernacular architecture (*ibid.*). However, although the *Venice Charter* has had a huge influence on architectural conservation and restoration with its conservative approach, together with the *Athens Charter (Restoration)*, the document did not provide a significant contribution in the sphere of urban heritage conservation nor its relation with urban planning and development.

A greater emphasis was placed on urban areas in the UNESCO *Recommendation concerning the Preservation of Cultural Property endangered by Public or Private Works* (UNESCO, 1968). This Recommendation focused on the threats to cultural heritage due to “public and private works resulting from industrial development and urbanization” (*ibid.*: Preamble). It affirmed that governments have the responsibility to harmonise heritage conservation, including “groups of traditional structures” and “historic quarters in urban (...) areas”, with social and economic development (*ibid.*: Art. 1). The preservation measures proposed included appropriate planning that should also be extended from the local to national level. The Recommendation reaffirmed the importance of zoning and the application of specific regulation for the preservation of the “setting and character” of historic quarters (*ibid.*: Art. 24b). Moreover, it stated that regulations should also define the “type and design of new structures” to be introduced (*ibid.*). In this way, the text attempted to find a balance between urban heritage preservation and contemporary urban transformations.

The evolution of the international doctrine presented above had an impact on national urban heritage conservation debates and on the establishment of national

²² The charter states that evidence could be “a particular civilization, a significant development or a historic event” (ICOMOS, 1964: Art. 1).

legislative frameworks. For instance, this includes the creation of urban districts destined to have special protection, such as the *Secteurs Sauvegardés* (protected areas) in France with the *Loi Malraux* (1962), the *Conservation Areas* with the *Civic Amenities Act* (1967) in the UK and the *Zone A* of the Italian urban planning tools with the Italian *D.M. n°1444 of 1968* (Delafons, 1997: 92-95; Ashworth and Tunbridge, 2000: 27-31; Rodwell, 2007: 15-20, 39; Toppetti, 2011b: 176-179). Moreover, a conference on the *Safeguarding and renewal of historic-artistic centres* held in Gubbio (Italy) brought about the adoption of the *Carta di Gubbio* (1960), which promoted the preservation, not only of single monuments, but of entire historic centres. It recognised the complexity of the contemporary city as a palimpsest, which was rather innovative if compared to contemporary international urban heritage conservation discourse (Toppetti, 2011b). The conference also brought about the creation of the *Italian Association of Historic-Artistic Centres* (ANCSA) in 1961, still active today, which has made important contributions to the Italian debate on urban heritage conservation and planning. At the same time, the urban heritage conservation debate in the UK tried to reconcile heritage conservation with modern town planning as reflected with the Ministerial publication of *Traffic in Towns* known as the *Buchanan Report*, in 1963 and the development of *Four studies in conservation* for the cities of Bath, Chester, Chichester and York, which were published in 1968 (Buchanan, 1964; Delafons, 1997: 92-100; Rodwell, 2007: 36).

1.4.2 The 1970s: Toward an Integrated Environmental, Social and Economic Conservation of Historic Towns

The 1970s were particularly important for reconciling urban heritage conservation with development. In 1972, the *United Nations* (UN) organised, through their specialised Environmental agency (UNEP, *United Nations Environment Programme*), a *Conference on the Human Environment* also known as the *Stockholm Conference*. This conference introduced the human sphere and the environment in the heritage preservation discourse; and, in the same year, UNESCO adopted the *Convention concerning the Protection of the World Cultural and Natural Heritage* (from now on called the *World Heritage Convention*), which represents a ‘keystone’ in the system of international law as it encompasses the conservation of cultural and natural heritage in a single document (Bandarin and Labadi, 2007: 19).

The *Stockholm Conference* declaration agreed on the need to find a balance between (urban) environment conservation and development (United Nations, 1972). However, it does not consider this issue from a heritage conservation perspective, but it places a greater focus on the preservation and enhancement of the human environment. The text brought the human component to the centre and underlined the “benefits of development and the opportunity to enhance the quality of life”, whilst highlighting potential threats to human environments (*ibid.*: Art.3). It suggested the adoption of “adequate policies and measures (...) to face these problems” (*ibid.*: Art. 5) and accepted “rational planning (...) as an essential tool for reconciling any conflict between the needs of development and the need to protect and improve the environment” (*ibid.*: Principle 14) maximising “social, economic and environmental benefits for all” (*ibid.*: Principle 15).

The *World Heritage Convention* is the first legal international document on heritage conservation as object of an international legal system (UNESCO, 1972). It incorporated “principles that had been debated among experts for nearly a century” (Bandarin and Van Oers, 2012: 41), involving “drafts, counter-drafts, dramatic debates and institutional rivalries” (Cameron and Rössler, 2013: 1). Focusing on both cultural and natural heritage, it brought together concepts that were previously separated (*ibid.*: 27), and it also acquired an important role within the broader UN system, leading to on-going collaborations with the other specialised agencies and programmes, such as UNEP and UNDP²³ (Bandarin and Labadi, 2007: 19). Underlining the necessity of adopting “a general policy which aims to give the cultural and natural heritage a function in the life of the community” and the need to “integrate the protection of that heritage into comprehensive planning programmes”, it is in line with the principles of the Declaration of the *Stockholm Conference* (UNESCO, 1972: Art. 5).

Moreover, the *World Heritage Convention* introduced for the first time the concept of World Heritage (WH), that each Member State in cooperation with the international community, has the duty to preserve and transmit to future generations as it represents the “heritage of mankind as a whole” (*ibid.*: Preamble). It favoured a worldwide adoption of an enlarged methodological approach toward heritage conservation and management (Bandarin and Van Oers, 2012: 42-44) and it ensures that “effective and active measures are taken for the

²³ United Nations Development Programme.

protection, conservation and presentation of the cultural and natural heritage” by each Member State (UNESCO, 1972: Art. 5). However, the *WH Convention* looked at historic urban areas as “groups of separate or connected buildings, which, because of their architecture, their homogeneity or their place in the landscape, are of outstanding universal value from the point of view of history, art or science”, thereby distinguishing cultural heritage into three main categories: monuments,²⁴ groups of buildings,²⁵ and sites (*ibid.*: Art. 1).²⁶ In this sense, the document did not produce any conceptual innovation related to the urban heritage conservation discipline.

While only relevant in Europe, the year 1975 was declared as the *European Architectural Heritage Year* by the Council of Europe, marked a “high point” in the post-war history of conservation and constituted an important phase in the evolution of an international doctrine on urban heritage conservation (Delafons, 1997: 107; Orbasli, 2008: 26; Bandarin and Van Oers, 2012: 44). Two fundamental documents were adopted: the *European Charter of the Architectural Heritage* (Council of Europe, 1975a) and the *Declaration of Amsterdam* (Council of Europe, 1975b). Although regional texts, the two documents enlarged the concept of urban heritage. With the adoption of the first document, this notion comprised “not only individual buildings (...) and their surroundings but all areas of towns and villages of historic or cultural interest” (Council of Europe, 1975a). Incorporating “groups of lesser buildings” (Council of Europe, 1975a: Art. 1), the *Declaration of Amsterdam* increased the importance of vernacular architecture as an element of preservation. The two documents focused on the relationship between historic urban environments, the design of contemporary architecture and socio-economic development. The introduction of modern architecture in historic contexts was only allowed while respecting the “existing context, proportions, forms, sizes and scale”, balancing heritage conservation with urban transformations (*ibid.*: Art 7).

²⁴ Defined as “architectural works, works of monumental sculpture and painting, elements or structures of an archaeological nature, inscriptions, cave dwellings and combinations of features, which are of outstanding universal value from the point of view of history, art or science” (UNESCO, 1972: Art. 1).

²⁵ Defined as “groups of separate or connected buildings which, because of their architecture, their homogeneity or their place in the landscape, are of outstanding universal value from the point of view of history, art or science” (*ibid.*).

²⁶ Defined as “works of man or the combined works of nature and man, and areas including archaeological sites which are of outstanding universal value from the historical, aesthetic, ethnological or anthropological point of view” (*ibid.*).

Moreover, recognising the spiritual, cultural, social and economic components of architectural heritage, the two European documents expanded the conception of heritage conservation, which has now become known as “integrated conservation”. From having a passive role as an ‘object’ of preservation, heritage has now acquired an active role as a cultural and economic asset. According to the integrated conservation approach, a social balance and continuity between human and physical realities was considered necessary in historic towns (Council of Europe, 1975a). Furthermore, conservation “must be one of the first considerations in all urban and regional planning” as the level of integration in regional town-planning and development plans will determine the extent of heritage preservation over time (Council of Europe, 1975b: Art. 7). In this context, a dialogue between conservators and those responsible for planning was considered fundamental, as well as the involvement of experts and the local population.

The concept of social balance and the need to integrate heritage preservation in development strategies was re-affirmed in the *Vancouver Declaration on Human Settlement*, adopted by the United Nations the following year (UN-HABITAT, 1976). The mutual support between cultural preservation and development policies was recognised as necessary for the “progressive improvement in well-being of all mankind” (*ibid.*: Art. 2). Moreover, in the same year, UNESCO adopted the *Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas* that is considered a fundamental document in urban heritage conservation (UNESCO, 1976; Bandarin and Van Oers, 2012: 45). In line with the doctrinal texts adopted at a European level, the document enlarged the concept of urban heritage to include entire historic towns, recognising their importance in contemporary life. Incorporating urban conservation theories of the first half of the 20th century (e.g. Geddes’ and Giovannoni’s ideas) historic towns and their surroundings should be considered “in their totality as a coherent whole” and all the urban elements - including human activities, physical and spatial structures - as interconnected to the entire urban environment (UNESCO, 1976: Part. II, Art. 3). The Recommendation associated the physical safeguarding of heritage to the concept of “revitalisation”, which was previously introduced by two ICOMOS resolutions dedicated to historic towns (ICOMOS, 1972; ICOMOS, 1975).

Therefore, the UNESCO Recommendation of 1976 reiterated the necessity of integrating policies for the “protection and revitalisation of historic areas and their surroundings” into different levels of local planning, while underlining the general lack of an “effective” and “flexible” legislation in dealing with this interrelation (UNESCO, 1976: Preamble). Moreover, it promoted an interdisciplinary approach and a series of “technical, economic and social measures”, including continuous surveying and providing analyses (of architectural heritage and development/transformation trends) to allow heritage safeguarding in a context of change (*ibid.*: Art. 7). Moreover, it stated that the introduction of contemporary architecture in historic areas needs to be carefully adapted to the existing context. In this way, the UNESCO Recommendation of 1976 summarised some of the concepts expressed in previous standard-setting documents, introduced a shift in scale in the definition of urban heritage, accepted its “human component” and recognised inner dynamics of change. Nevertheless, while UNESCO Recommendation of 1976 makes a strong contribution to the conservation and development dilemma that can exist in urban environments, at this time urban environments were considered historic on the basis of their “immovable” and material features (*ibid.*: Preamble). Consequently, the measures related to social and economic aspects appear rather “weak” and “static” (Bandarin and Van Oers, 2012: 48).

1.4.3 The 1980s: Conserving and Managing Urban Heritage Values in Historic Urban Environments

During the 1980s, the international discourse on urban heritage conservation had evolved, giving a greater relevance to the cultural and social aspects of heritage in historic urban environments. This evolution is confirmed by the adoption of the *Convention for the Protection of the Architectural Heritage of Europe* in Granada in 1985 (Council of Europe, 1985). Whilst it did not directly contribute to the definition of urban heritage, it accentuated the need to reconcile the preservation of architectural heritage with “the needs of contemporary economic, social and cultural activities” (*ibid.*: Art. 17) and it emphasised that conservation should have a greater role in “cultural, environmental and planning policies” (*ibid.*: Art. 13). However, its contribution in the urban heritage conservation discourse was minimal and the 1980s were mainly characterised by ICOMOS’ discussions.

In 1979, ICOMOS Australia adopted the *Charter for Places of Cultural Significance* (ICOMOS Australia, 1979, 1981, 1988, 1999, 2013) - also called the *Burra Charter*. The charter was based on a preliminary draft document on urban areas prepared by ICOMOS in the early 1980s, which was then abandoned when “the robustness of the *Burra Charter* principles and their applicability to all types of places became clear” (Truscott and Young, 2013: 102). The *Burra Charter* was later revised in 1981, 1988, 1999 and 2013 and its importance increased significantly during the 1990s. Its major contribution to heritage conservation and management is the introduction of the notion of “places of cultural significance” as a concept for guiding change broadening conventional conceptions of heritage (ICOMOS Australia, 2013: Art. 15). In this broadened vision, the cultural significance, which means “aesthetic, historic, scientific, social or spiritual value for past, present or future generations” is distinguished from the place itself, intended as “site, area, building or other works of cultural significance together with pertinent contents and surroundings” (ICOMOS Australia, 1979: Art. 1). The *Burra Charter* proposed a radical approach to heritage conservation and management as it introduced a set of intangible values not existent in conventional “western” charters, which were strongly focused on heritage physical assets. Moreover, the document encouraged the participation of local communities in recognising these intangible values as they should be involved in the “conservation, interpretation and management of a place” (ICOMOS Australia, 1999: Art. 12).

Moreover, two ICOMOS charters were approved in 1987 as discourse on urban heritage conservation had evolved since the 1960s. By the 1980s there was a general consensus to update the 1964 *Venice Charter* to reflect contemporary urban issues and the updated international doctrine. Moving on from previous ICOMOS documents (ICOMOS, 1975; ICOMOS Mexico, 1982), the international *Charter for the Conservation of Historic Towns and Urban Areas* - also called *Washington charter* - is the first charter entirely dedicated to “large and small” historic towns and urban areas (ICOMOS, 1987). While reaffirming the importance of integrating the conservation of historic towns and urban areas into planning policies at every level, it stressed the need to incorporate them into in “economic and social development”. It placed a particular emphasis on the social and economic aspects of historic towns and urban areas as they formed integral parts of contemporary dynamics. Moreover, it proposed a local plan for conservation called the *conservation plan*, which accepted principles of integrated

conservation, and encouraged the inclusion of heritage's social and economic aspects and the support of the local population (Council of Europe, 1979a, Council of Europe, 1979b). However, the “new functions and activities” to be included in the *conservation plan* “should be compatible with the character of the historic town or urban area” (ICOMOS, 1987: Art. 8). Finally, the charter extended the concept of authenticity from single monuments to historic towns, urban areas and their surroundings in relation to their “material and spiritual elements” that convey their historical character and that may be compromised by potential risks. However, the cited spiritual values are not otherwise defined in the text, leaving this definition ambiguous.

Furthermore, even if it was a regional document, the Charter adopted during the *ICOMOS First Brazilian Seminar about the Preservation and Revitalization of Historic Centres* - also known as *Itaipava Charter* - is significant because it considered “urban historical sites” as composed of “natural and built environment[s] and the everyday living experience of their dwellers as well” (ICOMOS Brazil, 1987: Art. I). Cities are places of cultural production and of “socially produced cultural expression”, with values that face “a dynamic process of successive transformations” (*ibid.*: Art. II). In order deal with change, preservation “must be” a “continuous and permanent process” (*ibid.*: Art. VI). Moreover, in this Charter the “social value of urban property” acquires a greater importance than the “market value” (*ibid.*: Art. X) and “evaluation standards for replacement convenience should take into account the socio-cultural costs of the new environment” (*ibid.*: Art. III).

1.4.4 The 1990s: A Landscape Approach for Sustainable Urban Conservation, Management and Development

The evolution of the international doctrine over the 1990s saw a “rise of cultural landscapes” and the application of a “landscape approach” to heritage management (Jacques, 1995; Fairclough, 2008; Veldpaus, 2015: 19). The notion of landscape encompasses the concepts of intangible and tangible heritage attributes and settings as well as between cultural and natural assets, thereby broadening the definition of heritage (Guzmán *et al.*, 2014; Veldpaus and Pereira Roders, 2014). In this context, the relationships between the different components of the landscape acquire a fundamental importance as well as the recognition of values and the guidance of processes associated with it. Since values and

processes characterising the landscape are constantly changing over time, greater attention should be given to the guidance of transformation (Veldpaus, 2015: 22). From this moment, the changing and evolutionary component of this kind of heritage has acquired a greater significance in the urban heritage discourse: the conservation approach applied to urban areas has seen a shift in terms from architectural and physical protection, to the preservation and management of heritage meanings and values, enlarging its influencing sphere to include more aspects of intangible heritage.

Even if the notion of landscape was already introduced into international discourse with the adoption of the Recommendation for the *Safeguarding of the Beauty and Character of Landscapes and Sites* by UNESCO in 1962, it was only during the 1990s that there was an expansion of interest and an enlargement of understanding of cultural landscapes, popularising these terms within the international community (Taylor, 2012: 30-31). The concept of “cultural landscape” was first used in 1993 as a category for the inscription of the Tongariro National Park (New Zealand) on the World Heritage List (Rodwell, 2007: 68) where it was defined as the “combined works of nature and of man” in the *UNESCO Operational Guidelines for the Implementation of the WH Convention* (UNESCO, 1994a: Art. 36). The landscape approach, based on the recognition of heritage conservation and management values and dynamic character, was therefore applied to heritage. This posed new challenges in both theory and practice in urban heritage conservation as cities are, in fact, an urban cultural landscape (Araoz, 2011). However, it is necessary to wait until the beginning of the 21st century for their recognition as historically stratified urban landscapes.²⁷ The intangible aspects of urban heritage, which until then had remained in the background, became central to the contemporary urban heritage conservation approach. The dynamic and intangible character of urban heritage posed a great challenge for legal convention theories, for the notion of authenticity and for the definition of management models (Araoz, 2011; Taylor, 2015).

The *Nara Document on Authenticity* (ICOMOS, 1994) emphasised the importance of the linkage between conservation and heritage values, stating that “conservation of cultural heritage in all its forms and historical periods is rooted

²⁷ See Chapter 2 “A 21st Century International Approach to Urban Heritage Conservation, Management and Development”.

in the values attributed to the heritage” (*ibid.*: Art. 9). The document was the result of a confrontation between the European and non-European approach to conservation (Araoz, 2011) and it underlined the importance of subjective judgements attributed to heritage values, which may differ from culture to culture (ICOMOS, 1994: Art. 11). In this context, it stated that “our ability to understand these values depends, in part, on the degree to which information sources about these values may be understood as credible or truthful” (*ibid.*: Art. 9) and that is not possible to “base judgements of values and authenticity within fixed criteria” as they depend on the “cultural contexts to which they belong to” (*ibid.*: Art.11). The document provided a key paradigmatic shift in the definition of authenticity, however its influence in the World Heritage discourse was very limited until 2005 (Labadi, 2013: 48), when the old concept of authenticity defined in the first version of the *Operational Guidelines for the Implementation of the World Heritage Convention* (UNESCO, 1977: Art. 9) was enlarged to include “form and design, materials and substance, use and function, traditions and techniques, location and setting, and spirit and feeling, and other internal and external factors” (UNESCO, 2005c: Paragraph 82).²⁸

The conservation of tangible and intangible attributes identified in the operational guidelines is particularly relevant when referring to historic towns as they are urban, living environments in constant evolution. The evolutionary component of urban heritage was included in the *ICOMOS Charter on the Built Vernacular Heritage*, the only charter entirely dedicated to vernacular heritage, often considered the most vulnerable and threatened heritage (ICOMOS, 1999). Dynamics of change, urban transformation and “forces of economic, cultural and architectural homogenisation” were considered the main factors affecting this heritage. The charter recognised the dynamics of change as a component of heritage and promoted the adaptation of heritage to contemporary needs with respect to its integrity, form and character. Moreover, it underlines that in the preservation and management actions, all the urban heritage components (tangible and intangible) should be carefully considered.

²⁸ From the first version of the *Operational Guidelines for the Implementation of the World Heritage Convention* adopted in 1977, other 18 versions of the operational guidelines have been published so far. In 1977, authenticity “in design, materials, workmanship and setting” was not limited to “form and structure but included all subsequent modifications and additions over the course of time, which in themselves possess artistic or historical value”.

Finally, during the 1990s the international discourse on urban heritage conservation also involved a development perspective. In 1992, the *United Nations Conference on Environment and Development* took place in Rio de Janeiro, building upon the *Declaration of the UN Conference on Human Environment* which was adopted in Rio de Janeiro in 1972. This represents a turning point in the protection of “the integrity of the global environmental and developmental system” (United Nations, 1972: Preamble). Sustainable development was defined in 1987 as a “development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (World Commission on Environment and Development, 1987: Chapter 2, IV). The *Rio Declaration on Environment and Development* is based on this definition yet it goes further, providing 27 principles which outline a way to achieve sustainable development. Finally, at the end of the century, with the *UN Istanbul Declaration on Human Settlements*, the promotion of the “conservation, rehabilitation and maintenance of buildings, monuments, open spaces, landscapes and settlement patterns of historical, cultural, architectural, natural, religious and spiritual value” was included in the Habitat Agenda (UN-HABITAT, 1996). Therefore, the reconciliation between conservation and development became closer and closer in the evolution of the international discourse.

At a European level, the adoption of the *Charter of European Cities and Towns Towards Sustainability* in 1994, known as *Aalborg charter*, is a direct consequence of this new approach to historic towns.²⁹ The *Aalborg Charter* accentuated the importance of integrating sustainability principles into all policies related to cities and towns, defining sustainability as “a creative, local, balance-seeking process, extending into all areas of local decision-making” (Art. I.4). Citizens were recognised as key actors and their involvement would have been a priority. Defining the city as a “urban ecosystem (...) and an organic whole” (*ibid.*), an analogy from Geddes’ precursory vision, the *Aalborg Charter* suggested to apply a holistic approach to urban management strategies, considering the lack of global resources and the contemporary threats to the environment. It also proposed practical tools for an “ecosystem approach to urban management”, including environmental planning, monitoring and impact

²⁹ *Charter of European Cities & Towns Towards Sustainability* (1994). [Online]. Approved by the Participants at the European Conference on Sustainable Cities & Towns in Aalborg, Denmark. Available from: http://www.sustainablecities.eu/fileadmin/content/JOIN/Aalborg_Charter_english_1_.pdf [Accessed 06/03/2016].

assessments through a series of indicators (Art. I.14). The use of *Local Agendas 21* - long-term local action plans - was also encouraged. Moreover, the importance of “effective land-use and development planning policies by our local authorities” as well as the importance of strategic environmental assessment of all plans was acknowledged (Art I.8). While the heritage preservation was not cited in this document, its contribution was crucial in the development of the 21st international approach to urban heritage conservation, management and development (discussed in *Chapter 2*).³⁰

1.5 Conclusion

This chapter showed how the two countries involved in this study had strongly contributed to the evolution of the urban heritage conservation theory and practice over the 20th century, setting the framework of the comparative scene of this research. However, it did not pretend to be an exhaustive appraisal of all the views that contributed to the building of the urban heritage conservation theory, but to underline the most relevant contributions that Italy and the UK provided for its definition. With this objective, the experiences of some of their main theorists and practitioners in the field of urban heritage conservation of the first half of the 20th century (Gustavo Giovannoni, in Italy and John Ruskin, William Morris, Patrick Geddes in the UK) as well as of the second half of the 20th century (Saverio Muratori, Gianfranco Caniggia, Leonardo Benevolo and Giancarlo De Carlo in Italy and M.R.G. Conzen, Gordon Cullen and John Turner in the UK) were discussed, focusing on their contribution to the integration of urban heritage conservation and development. While not representing the entirety of the approaches of the time, some of the concepts theorised and implemented by these main ground-breaking exponents were destined to have a huge impact and to guide the definition of a 21st century international approach to urban heritage conservation, management and development (Bandarin and Van Oers, 2012; Veldpaus *et al.*, 2013).

Moreover, this chapter underlined how, with the advent of the Modern Movement and of the Second World War, from the holistic and the integrated approaches to urban heritage conservation and development developed over the first half of the 20th century, the urban heritage conservation discourse saw a shift

³⁰ See *Chapter 2* “A 21st Century International Approach to Urban Heritage Conservation, Management and Development”.

toward a fragmentation between the disciplines of heritage conservation and to the development of more sectorial urban conservation experiments over the second half of the century. This fragmentation is well represented by the adoption of the *Athens Charter (Restoration)* in 1931 and the *Charter of Athens* in 1933, which stated the principles of modern urbanism. Both charters tried to face the contemporary issues affecting the cities and their heritage, following the two different, yet linked, perspectives of heritage conservation and urban planning. Furthermore, this chapter demonstrated how the post-war reconstruction period laid the foundation for the definition of an international urban heritage conservation doctrine, which evolved over the second half of the 20th century.

Finally, the chapter discussed how the international discourse evolved from a conventional and aesthetical approach to urban heritage conservation (1960s) to an integrated social and economic conservation model (1970s), to the preservation of heritage values in a context of change (1980s) and, finally, to a landscape approach for sustainable urban heritage conservation and management (1990s). It also underlined how the notion of urban heritage was enlarged from monuments (1960s) to group of buildings (1970s), urban areas and historic towns (1980s) and, ultimately, to entire landscapes (1990s), giving a greater relevance to heritage intangible attributes and values as elements of urban heritage conservation over time. Understanding this shift in the definition of heritage, as well as the evolution of the international approach to urban heritage conservation, management and development over the 20th century, is essential for understanding how the evolution of a 21st century international approach in this field was able to adapt and to respond to contemporary challenges in historic urban environments. The evolution of this approach to urban heritage conservation, management and development over the 21st century is presented and discussed in *Chapter 2*.

Chapter 2

A 21st century international approach to urban heritage conservation, management and development³¹

Introduction

The beginning of the 21st century has seen a significant increase in pressures and factors that affect the urban heritage of historic urban environments. Aware that current urban heritage conservation tools were no longer sufficient to deal with

³¹ This chapter was partially discussed during: the International Conference *HERITAGE 2016, 5th International Conference on Heritage and Sustainable Development*, organised by the Green Lines Institute and held in Lisbon (Portugal) on 12-15th July 2016; the International Conference *Civil Society and Sustainable Development in World Heritage*, organised by the World Heritage Watch and held in Istanbul (Turkey) on 8-9th July 2016; and the International and Interdisciplinary Conference *Managing Change: Urban Heritage between conservation and development*, organised by the Centre for Heritage of the University of Kent and held in Canterbury (UK) on 21-22nd June 2016. The papers presented during these conferences resulted in the following publications: Giliberto F., *Managing historic cities under a new paradigm for urban conservation*, in Conference Proceedings of “HERITAGE 2016. 5th Conference on Heritage and Sustainable Development”, Green Lines Institute, Lisbon, 12-15th July 2016, pp. 707-716; and Giliberto F., *Assessing current state of urban management systems in World Heritage cities: toward an integrated approach to urban heritage conservation*, paper presented at the conference “Civil Society and Sustainable Development in World Heritage”, World Heritage Watch, Istanbul, Turkey, 8-9th July 2016 (publication forthcoming). A full list of author’s publications is available in *Annex 2* “List of Author’s Publications”.

contemporary challenges, the main international organisations in this field (UNESCO, United Nations, UN-HABITAT, ICOMOS and the Council of Europe) tried to provide a way to overcome the persisting dichotomy between heritage conservation and development. This chapter will underline the evolution of an international discourse on urban heritage conservation, management and development over the 21st century. It aims to address the **Research Question 2 (RQ2)** “*What are the key principles of a 21st century international approach to urban heritage conservation, management and development?*” It is divided into six main sections. *Section 2.1* identifies current challenges for urban heritage conservation in the 21st century. It highlights the main pressures and factors affecting historic urban environments in the 21st century and identifies the limits of current urban heritage conservation practices in order to adequately safeguard the cities’ urban heritage over time. *Section 2.2* illustrates the evolution of a 21st century international discourse toward an integration between urban heritage conservation, management and development, through a literature review of relevant international documents adopted between 2000 and 2016 by the main international organisation in this field. *Section 2.3* underlines the key principles of “a new paradigm for urban heritage conservation and management” which has taken shape since the beginning of the 21st century and constitutes the theoretical basis of this research. *Section 2.4* presents the early experiments of implementing the 21st century international approach into local systems and discusses their outcomes and challenges. *Section 2.5* identifies a research gap in the existing literature which tried to bridge the theorisation of the new paradigm for urban heritage conservation and management with its practical implementation into local practices. Finally, *Section 2.6* summarises the key issues that emerged in this chapter.

2.1 Challenges for Urban Heritage Conservation in the 21st Century

2.1.1 Turning to the 21st Century: Historic Urban Environments between Conservation and Development

The twenty-first century oversaw an important phase in human history: for the first time, the majority of the world’s population currently lives in cities and is estimated to nearly double by 2050 (UN-HABITAT, 2008: x; United Nations, 2016). This urban migration trend has brought many to conceive of our time as

“the urban age” (Thorns, 2002: 1; UN-HABITAT, 2008: xi; Brenner and Schmid, 2014: 1). Cities have acquired a fundamental role in contemporary life, providing opportunities for employment, infrastructure and services, accelerating the mobility of people, capitals and information, favouring innovation and creativity (Florida, 2005, 2011). From the 1980s, cities started to be strategic economic spaces in an increasingly globalised context, being the preferred location for intermediate services such as information technology and finance (Sassen, 1991, 2011). Moreover, their heritage is acknowledged by scholars in cultural economics as “cultural capital”, constituting a fundamental resource in the promotion of socio-economic development of the city (Throsby, 1999; Scott, 2000; Throsby, 2001; Santagata, 2002). Their urban attractiveness stimulates the process of urbanisation, contributing to socio-economic development and urban growth. Nevertheless, while some cities are growing exponentially, others are shrinking and being restructured as an effect of globalisation and the consequent movement of economic processes and people (Thorns, 2002: 41-67).

Throughout the 20th century, the inner cultural value of historic urban environments was steadily recognised thereby increasing their attractiveness and acquiring an important status in modern life (Torres, 2004: 60-70; Ryberg-Webster and Kinahan, 2014: 127-128). Historic urban environments have become increasingly important in the economic market as icons of global cultural tourism and as the embodiment of cultural expression, identity and memory. These places represent a physical legacy generally characterised by high levels of urbanisation (Bandarin and Van Oers, 2012). Competition for land use in urban areas can be intense, particularly where there are plans for housing, infrastructure and services (Sassen, 1999: 152). Moreover, these coveted spaces have become a main focus of urban development and regeneration processes around the world. For this reason, historic inner cities are often characterised by tensions over land use, gentrification and real estate pressures, causing conflicts between stakeholders’ diverging interests (e.g. economic development vs heritage conservation) in the recognition of urban heritage values to be preserved and enhanced (Strange, 1997; Lees *et al.*, 2008; Van Oers, 2009; Brown-Saracino, 2010; Van Oers, 2010; Bandarin and Van Oers, 2012; Maschaykh, 2015: 11-28; Rojas, 2016). Therefore, historic urban environments are places where conflicts of interest among different social actors are particularly intense and city managers, developers, local and national decision-makers often see heritage protection as a factor against development (Warren, 1998; Carley *et al.*, 2001; Turner *et al.*, 2012).

According to recent research, conflicts between heritage conservation and development have been ranked as one of the greatest concern among practitioners and researchers, from both the fields of conservation and urban management (Veldpaus *et al.*, 2013; Khalaf, 2015: 77; The Getty Conservation Institute, 2010). Even if there is an apparent paradox between the needs of heritage conservation and those of urban and socio-economic development (Nasser, 2003; Ashworth, 2014), a new perspective has emerged in recent years which reconciles the notions of conservation and development and promotes them as complementary factors (Rypkema, 2005: 5; Bandarin *et al.*, 2011; Araoz, 2013; Pereira Roders and Van Oers, 2014: 128). While admitting that change is an inner component of cities, urban heritage preservation is often regarded as an ally of development in urban contexts (Rypkema, 2005; The Getty Conservation Institute, 2010; Veldpaus *et al.*, 2013), so that some scholars argue that they are “two faces of the same coin” (Bandarin *et al.*, 2011: 23; Leitão, 2011: 60; Van Oers and Pereira Roders, 2013: 10). Moreover, the conventional perceptions that view cultural heritage as an impediment to urban development are currently changing, as heritage has recently been considered as a driver and a source for city sustainable development by some scholars as well as international organisations, such as UNESCO, United Nations and ICOMOS (Van Oers, 2006; Landorf, 2009; United Nations, 2010; United Nations, 2011; Pereira Roders and Van Oers, 2011b: 277; ICOMOS, 2011b; Felicori, 2014; ICOMOS, 2014; United Nations, 2014; UNESCO, 2014a; Duxbury *et al.*, 2016).

2.1.2 A Need to Move Beyond Current Urban Conservation Practices

Today, reconciling heritage conservation and development is considered a major challenge within urban heritage conservation (The Getty Conservation Institute, 2010; Bandarin and Van Oers, 2012; Colletta, 2013; Bandarin and Van Oers, 2015). Historic urban environments are “critical sites where forces of change and continuity collide” (Pendlebury and Strange, 2011: 361). Evolution and continuity may be intrinsic features of urban landscapes, but urban heritage is challenged by increasing pressures, which may have irreversible impacts on a city’s distinctive historic character and on its socio-economic context. Pressures like rapid urbanisation, commercial and industrial development, contemporary interventions (e.g. new housing and high-rise iconic buildings), functional changes, unsustainable tourism, new infrastructures, energy resources and environmental changes are growing in number and scale (Bandarin and Van Oers, 2012: 74-11).

In this dynamic context, the transformation of historic urban environments is unavoidable and their need to evolve and adapt to modern requirements has been broadly recognised (The Getty Conservation Institute, 2010). However, urban heritage must be preserved both as a testimony of the past, but also as a “key resource in enhancing the liveability of urban areas, and fosters economic development and social cohesion in a changing global environment” (UNESCO, 2011b: Art. 3).

Many historic urban environments around the world benefit from some form of protection in order to preserve their distinctive characters (in whole or in part) a series of good urban conservation practices and experiences, and regulatory and planning frameworks, which are available in certain contexts, such as France, Germany and China (Rodwell, 2007; Bandarin and Van Oers, 2012: 145-154). However, international urban conservation charters do not exert enough influence in urban conservation practices in developing countries, some of which do not have regulatory frameworks or other conservation systems in place for the preservation of their cultural heritage (Birabi, 2007). Moreover, conventional approaches to urban heritage conservation have frequently contributed to the protection of urban heritage as separated elements - often as special districts - from the rest of the city.³² As a consequence, the major problems of uncontrolled development commonly occurred outside the boundaries of the protected areas, in their adjacent districts, which are often not sufficiently regulated by urban planning tools, being attractive locations for real estate interests and for urban development projects (Leitão, 2011).

Moreover, pre-21st century approaches to heritage conservation – characterised by a “material-based” (Araoz, 2008: 34, 2011: 59; Poulios, 2014: 17) and “object-based” (Veldpaus *et al.*, 2013: 3), expert-driven and top-down approach (Smith, 2006) – give a larger consideration to the protection of heritage’s physical structures, neglecting the more intangible attributes that convey cultural significance (Damen *et al.*, 2013: 82). Being conceived and implemented primarily by experts, often related to the disciplines of conservation, restoration, archaeology and art history, without consulting local communities in the definition of heritage values, conservation frequently allocated major importance to heritage’s aesthetic, historical and scientific values, thereby underestimating heritage’s symbolic, social and economic values (Araoz, 2011:

³² See Section 1.4 “Framing the Evolution of an International Heritage Conservation Doctrine in the 20th Century”.

57; Smith, 2006). In this way, conventional approaches have often guaranteed the physical conservation of historic urban environments, yet they fail, in many cases, to preserve their socio-functional structure. This often causes the original population to leave or be replaced as many new development projects are tailored towards accommodating tourism requirements (Ashworth and Tunbridge, 2000; Rodwell, 2010: 16-17; Bandarin and Van Oers, 2012; Rojas, 2016).

Furthermore, the conventional approach to conservation interprets heritage as static and fixed over time, which implies a general attitude of “prevention of change” (Araoz, 2008: 35) or “intolerance to change” concerning heritage preservation (Veldpaus and Pereira Roders, 2014). This is reflected in urban conservation processes that generally attempt to maintain the historical integrity and authenticity of the urban fabric, without recognising the urban dynamics of change and neglecting the preservation of its intangible aspects (Whitehand and Gu, 2007; Araoz, 2013: 152). All of these factors have generally caused urban fragmentation and the deterioration of urban values and meanings (Van Oers, 2007; Zancheti and Loretto, 2015). Current urban conservation tools (e.g. town planning instruments, special zoning, density regulation, intervention restrictions on buildings, etc.) proved to be inadequate or insufficient in regulating urban transformations and development (Van Oers, 2007: 44; Rodwell, 2008: 104; Pons *et al.*, 2011; Bandarin and Van Oers, 2012; Van Oers and Pereira Roders, 2012; Martini, 2013; Damen *et al.*, 2013: 87-88). They are deemed too “weak and powerless” to handle contemporary challenges and pressures on historic urban environments (Van Oers, 2006; UNESCO, 2010: 1; Turner *et al.*, 2012). Since the 21st century, much has been learnt about the limits of existing urban conservation tools by merely recognising the dynamic nature of historic cities and the rise of the contemporary pressures that affect the meaning and values of these environments. Such realisations also brought about the need to find new approaches and tools for dealing with contemporary challenges (Avgerinou Kolonias, 2013), often considered “one of the most daunting tasks of our time” (Van Oers, 2007: 44).

2.2 Integrating Urban Heritage Conservation and Development in the 21st Century International Discourse

The “heritage versus development dilemma” has been a central argument in the evolution of the 21st century discourse on urban heritage conservation (Labadi and Logan, 2016: 1). This section highlights how the first two decades of the 21st

century were distinguished by attempts from international organisations, such as UNESCO, ICOMOS, United Nations and the Council of Europe, to overcome this persisting dichotomy by building a holistic and integrated approach to urban heritage conservation, management and development. In particular, this section underlines how a “truly integrated view of urban management”, able to integrate the three dimensions of sustainable development (environmental, economic and social) started to be considered as a possible way for reconciling urban heritage conservation with development in historic urban environments (Bandarin and Van Oers, 2012: xiii). Urban planning and heritage conservation - considered two separate disciplines in the second half of the 20th century - were now considered as a viable means of meeting what is “commonly understood as the process that focuses on strategic and operational concerns of urban development” (Geurts and Corten, 2014: 38). From this moment, urban heritage conservation could be seen as a paradigm for an overall urban management strategy, integrating the three different perspectives of heritage conservation, urban planning and socio-economic development, which have generally operated independently.

2.2.1 The Budapest Declaration on World Heritage (2002)

The 21st century international discourse on urban heritage conservation and development has been strongly influenced by the discussions of the World Heritage (WH) Committee. It can be considered an “international policy-making arena” where “decisions and positions taken therein arise from the convergence and interplay between various expert domains”, coming from worldwide cultural contexts (James and Winter, 2017: 49). One of the most important outcomes was the adoption of the *Budapest Declaration on World Heritage* during the 26th session of the WH Committee held in Budapest in 2002 (UNESCO, 2002). After the adoption of the *Rio Declaration on Environment and Development* in 1992,³³ the commitment to sustainable development was reaffirmed by the *Johannesburg Declaration of Sustainable Development* adopted in 2002 during the *World Summit on Sustainable Development*, stressing the fact that “sustainable development requires a long-term perspective and broad-based participation in policy formulation, decision-making and implementation at all levels” (United Nations, 2002: Art. 26). With the adoption of the *Budapest Declaration*, the concept of sustainable development was applied to heritage, recognised “as an

³³ See *Section 1.4.4* “The 1990s: A Landscape Approach for Sustainable Urban Conservation, Management and Development”.

instrument for the sustainable development of all societies” (UNESCO, 2002: Art. 1).

Therefore, the Declaration promotes the protection of WH properties while contributing to the social and economic development of the respective communities, seeking “to ensure an appropriate and equitable balance between conservation, sustainability and development” (*ibid.*: Art. 3). Furthermore, it attempts “to ensure the active involvement of (...) local communities at all levels in the identification, protection and management of WH properties” (*ibid.*), providing them a primary role in urban heritage conservation and management. As a consequence, the notion of sustainable development was included in the introductory part of the *Operational Guidelines for the Implementation of the WH Convention* adopted in 2005. They state that “the protection and conservation of the natural and cultural heritage are a significant contribution to sustainable development” (UNESCO, 2005d: Paragraph 6) and that WH properties “may support a variety of on-going and proposed uses that are ecologically and culturally sustainable” (*ibid.*: Paragraph 119). Moreover, the WH Committee during its 31st Session held in Christchurch in 2007 added “Communities” to the four strategic objectives identified in the *Budapest Declaration* in order “to enhance the role of communities in the implementation of the WH Convention” (World Heritage Centre, 2007a: 193, Decision 31 COM 13B).³⁴

2.2.2 The Vienna Memorandum on World Heritage and Contemporary Architecture - Managing the Historic Urban Landscape (2005)

At the beginning of the 21st century, the WH Centre admitted the necessity to revise current conservation policies that were considered inadequate for meeting the contemporary challenges affecting historic urban environments (Van Oers, 2007: 44; Araoz, 2011: 56). During its 27th session, the WH Committee requested the organisation of an international conference on “*World Heritage and Contemporary Architecture*” under the patronage of UNESCO in order to discuss

³⁴ The strategic objectives identified in the article 4 of the *Budapest Declaration* are: strengthen the *Credibility* of the WHL, as a representative and geographically balanced testimony of cultural and natural properties of outstanding universal value; ensure the effective *Conservation* of WH properties; promote the development of effective *Capacity-building* measures, including assistance for preparing the nomination of properties to the WHL, for the understanding and implementation of the WH Convention and related instruments; increase *public awareness, involvement and support for WH through Communication*. With the inclusion of fifth objective, “*Communities*”, in 2007, these strategic objectives are also known as the 5Cs.

current challenges as an initial step towards revising current urban conservation policies. It mostly focused on the dramatic increase in cases of contemporary interventions, including high-rise constructions in historic cities or town centres that were threatening WH properties all over the world (Van Oers, 2010; Van Oers and Pereira Roders, 2012: 5). An example was the Wien-Mitte project that planned the construction of four high-rise towers in Wien (Austria), but also other urban development projects that were threatening the urban heritage of Beijing, Kathmandu, Saint Petersburg, Cologne, Riga, Seville, Potsdam, Liverpool, London, Avila, Macau, George Town and Guatemala City, just to mention some examples (Van Oers, 2006; Araoz, 2008: 33; Rowell, 2010; Pereira Roders and Van Oers, 2011a). In this way, UNESCO, along with other conservation and professional organisations, opened the discussion on the conservation principles established during the 20th century, trying to overcome their limits and aiming to adapt them to face 21st century challenges.

The conference was held in Vienna in 2005 and constituted the first global effort to discuss and update the “modern urban conservation paradigm” (Bandarin and Van Oers, 2012: 62). As a result, the *Vienna Memorandum on World Heritage and Contemporary Architecture - Managing the Historic Urban Landscape* was defined (UNESCO, 2005d). It was thought to be a “key statement for an integrated approach linking contemporary architecture, sustainable urban development and landscape integrity based on existing historic patterns, building stock and context” (*ibid.*: Art. 5). It articulates a set of guidelines for the conservation of historic urban landscapes directed at cities already inscribed or proposed for inscription on the World Heritage List (WHL). The *Vienna Memorandum*, an unofficial document, was followed by a formal *Declaration on the Conservation of Historic Urban Landscape* adopted by the UNESCO 15th General Assembly on State Parties in 2005 (UNESCO, 2005b).

Moving beyond the *UNESCO Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas*,³⁵ which considered historic areas (including entire historic towns) and their surroundings as objects of urban heritage conservation, the *Vienna Memorandum* introduced the ‘working definition’ of ‘Historic Urban Landscape’ (Van Oers, 2006: 6) that refers to:

³⁵ See *Section 1.4.2* “The 1970s: Toward an Integrated Environmental, Social and Economic Conservation of Historic Towns”.

ensembles of any group of buildings, structures and open spaces, in their natural and ecological context, including archaeological and paleontological sites, constituting human settlements in an urban environment over a relevant period of time, the cohesion and value of which are recognised from the archaeological, architectural, prehistoric, historic, scientific, aesthetic, socio-cultural or ecological point of view. (UNESCO, 2005d: Art. 7)

Acknowledging the expansion of the notion of cultural heritage over the second half of the 20th century and in particular over the 1990s³⁶ - including “a broader interpretation leading to recognition of human coexistence with the land and human beings in society” (*ibid.*: Art. 10) - this definition incorporates a broader interpretation of urban heritage’s intangible attributes and values, giving more relevance to social and ecological values associated with heritage. Furthermore, it underlines the necessity of taking into account “the emotional connection between human beings and their environment, their sense of place” (*ibid.*: Art. 16), recalling Cullen’s emotional approach to the understanding and appreciation of the environment.³⁷ However, while cultural landscapes were introduced as a WH category during the 1990s,³⁸ historic urban landscapes were not intended as a new WH category (Bandarin and Van Oers, 2012: 215).

The *Vienna Memorandum* recognises that the concept of historic urban landscape, which is applied to urban heritage conservation, implicates the recognition of its evolutionary component and the acceptance of its transformation dynamics, thereby incorporating change as part of urban conservation and management strategies. The Memorandum states that the acceptance of this notion “requires new approaches to and methodologies for urban conservation and development in a territorial context” (UNESCO, 2005d: Art. 10). These measures should comprise “the individual monuments to be found in protection registers, as well as ensembles and their significant connections, physical, functional and visual, material and associative, with the historic typologies and morphologies” (*ibid.*: Art. 12). This suggests the incorporation of the typo-morphological approach to urban heritage developed in the second half of the 20th century.³⁹ Moreover, it stresses the necessity of a deeper understanding

³⁶ See *Section 1.4.4* “The 1990s: A Landscape Approach for Sustainable Urban Conservation, Management and Development”.

³⁷ See *Section 1.3.2* “Visual Impact Approach: Gordon Cullen (1914-1994)”.

³⁸ See *Section 1.4.4* “The 1990s: A Landscape Approach for Sustainable Urban Conservation, Management and Development”.

³⁹ See *Section 1.3.1* “Typo-Morphological Approach: M.R.G. Conzen (1907-2000), Saverio Muratori (1910-1973), Gianfranco Caniggia (1933-1987) and Leonardo Benevolo (1923-2017)”.

of ‘place’ as opposed to ‘objects as buildings’ and of the importance of management plans for dealing with dynamic changes and developments.

Nevertheless, while the *Vienna Memorandum* constitutes an important advancement in the attempt to find a balance between conservation and development, it limits the problem of urban development to contemporary structural interventions in historic urban environments, as well as to their influence in terms of buildings’ volume and visual integrity, and on the physical aspects of the built environment. At the end of the document, three recommendations were directed to the WH Committee and UNESCO: one of them was a request to adopt a new recommendation “to complement and update the existing ones on the subject of historic urban landscapes” (UNESCO, 2005d: 5). This request gave rise to a 6-year process to define the *Historic Urban Landscape* (HUL) *approach* and to adopt its related *UNESCO Recommendation*, which are discussed in the following paragraphs.

2.2.3 The UNESCO Recommendation on the Historic Urban Landscape (2011)

Adoption of a global Recommendation on the Historic Urban Landscape

One year after the adoption of the *Vienna Memorandum*, UNESCO created a working group on historic urban landscapes in collaboration with its advisory bodies (IUCN,⁴⁰ ICOMOS and ICCROM⁴¹). The creation of this group was followed by three planning meetings organised at UNESCO Headquarters in September 2006, in November 2008 and in February 2010 to revise the existing documentations and to evaluate the relevance of adopting a new recommendation dedicated to the HUL (Van Oers, 2007). Moreover, five regional expert meetings were held in Jerusalem (Israel)⁴² in 2006, Saint Petersburg (Russian Federation)⁴³ and Olinda (Brazil)⁴⁴ in 2007, Zanzibar (Tanzania)⁴⁵ and Rio de Janeiro (Brazil)

⁴⁰ International Union for Conservation of Nature.

⁴¹ International Centre for the Study of the Preservation and Restoration of Cultural Property. More information at: <http://www.icrom.org/>

⁴² For more information see: *Jerusalem Statement on the Workshop "New approaches to urban conservation", 4-6th June 2006* (2006). Available from: <http://whc.unesco.org/document/115810>

⁴³ For more information see: *St. Petersburg Summary Report of the Regional Conference of Countries of Eastern and Central Europe on Management and Preservation of Historic Centres of Cities Inscribed on the World Heritage List*. Available from: <http://whc.unesco.org/uploads/activities/documents/activity-666-5.pdf>

⁴⁴ For more information see: World Heritage Centre (2007), *Historic urban landscapes in the Americas, Olinda Report of the Regional Conference, Olinda, 12-14th November 2007*, Paris: UNESCO. Available from: <http://whc.unesco.org/uploads/activities/documents/activity-47-9.pdf>

in 2009 in order to receive inputs from experts with different cultural backgrounds, involving several geo-cultural regions of the world (Latin America, Europe, the Arab States and in the Sub-Saharan Africa). The objective was to make the Recommendation relevant at the global scale. These discussions confirmed the need to define new principles and approaches that are able to embrace tangible and intangible heritage attributes and values, urban and natural elements, and to guide and balance acceptable change and development, as well as tools (e.g. cultural mapping and visual, social and economic impact assessments) for urban heritage conservation and management to adequately cope with contemporary challenges in historic urban environments (UNESCO, 2010: 1-2).

After 6 years of extensive experts' discussions, a first draft of the *Recommendation on the Historic Urban Landscape* was presented in 2010 (UNESCO, 2010). The official *Recommendation on the Historic Urban Landscape* (UNESCO, 2011b) - also called *HUL Recommendation* - was finally adopted at the 36th General Conference of UNESCO in November 2011 to address challenges for historic urban environments and guiding the management of their urban heritage (UNESCO, 2008b; UNESCO, 2009; UNESCO, 2010). Evolving from the definition given in the *Vienna Memorandum*, the *HUL Recommendation* defines the historic urban landscape as “the urban area understood as the result of a historic layering of cultural and natural values and attributes, extending beyond the notion of ‘historic centre’ or ‘ensemble’ to include the broader urban context and its geographical setting” (UNESCO, 2011b: Art. 8). Furthermore, it specifies that

this wider context includes notably the site's topography, geomorphology, hydrology and natural features, its built environment, both historic and contemporary, its infrastructures above and below ground, its open spaces and gardens, its land use patterns and spatial organization, perceptions and visual relationships, as well as all other elements of the urban structure. It also includes social and cultural practices and values, economic processes and the intangible dimensions of heritage as related to diversity and identity.

(*ibid.*: Art. 9)

With this definition, urban heritage conservation was further enlarged, both in terms of territorial extension and in terms of the attributes (tangible and

⁴⁵ For more information see: *Zanzibar Recommendations on the Application of the Concept of the Historic Urban Landscape in the African Context*. Workshop on the Application of the Concept of the Historic Urban Landscape (HUL) in the African Context, Zanzibar, 30th November-3rd December 2009. Available from: <http://whc.unesco.org/document/115807>

intangible, cultural and natural) and values to be considered. The introduction of the notion of historic urban landscape - firstly with the *Vienna Memorandum* and then with the *HUL Recommendation* - was influenced by two other important charters adopted by ICOMOS in 2005 and 2008 in response to current challenges: the *Xi'an Declaration on the Conservation of the Setting of Heritage Structures, Sites and Areas* (ICOMOS, 2005); and the *Quebec Declaration on the Preservation of the Spirit of Place* (ICOMOS, 2008). The *Xi'an Declaration* focused on the importance and significance of settings with regard to the character of a heritage structure, site or area, whereas the *Quebec Declaration* stressed the importance of preserving the spirit of place with its meanings and values, through the safeguarding of tangible and intangible heritage, with an inclusive vision of cultural heritage, for ensuring social and sustainable development. Moreover, the *Vienna Memorandum* and the *HUL Recommendation* were also influenced by the adoption of the *European Landscape Convention* in 2000, even if this document was only adopted at the European regional scale (Council of Europe, 2000).⁴⁶ In fact, the European document promotes the landscape protection, management and planning (*ibid.*: Art. 3), defining landscape as an “area, as perceived by people, whose character is the result of the action and interaction of natural and/or human factors” (*ibid.*: Art.1a). Moreover, it stresses the importance of taking into account the values assigned to landscapes by the interested parties and the population concerned, particularly when assessing the landscapes on the basis of their characteristics and the dynamic forces transforming them (*ibid.*: Art. 6c).

The *HUL Recommendation* embodies the international institutional attempt to overcome the persisting dichotomy between urban heritage conservation and development, formalising it into a specific international recommendation that “addresses the need to better integrate and frame urban heritage conservation strategies within the larger goals of overall sustainable development” (UNESCO, 2011b: Art. 5). For this reason, it represents a turning point in urban heritage conservation (Van Oers and Pereira Roders, 2014: 127). Moreover, it raises new perspectives for the proper understanding and safeguarding of historic urban landscapes over time, giving greater relevance to urban heritage’s intangible dimensions and values, as well as to the dynamic features of historic urban environments. In this framework, the notion of historic urban landscape can be intended as a “definition” for understanding of the historic environment or as “an approach” (Wang, 2014: 17; Fayad *et al.*, 2016: 11). In fact, the *HUL*

⁴⁶ The *European Landscape Convention* was ratified by 32 European Member States.

Recommendation “provides the basis for a comprehensive and integrated approach for the identification, assessment, conservation and management of historic urban landscapes within an overall sustainable development framework” (UNESCO, 2011b: Art. 10).

The “HUL approach” (UNESCO, 2011b: Art. 11) suggests “a landscape approach for identifying, conserving and managing historic areas within their broader urban contexts, by considering the interrelationships of their physical forms, their spatial organization and connection, their natural features and settings, their social, cultural and economic values” (*ibid.*: Art. 5). Recognising the dynamic nature of cities and the need to carefully consider social, cultural and economic processes in the conservation of urban values, the *HUL Recommendation* encourages a more holistic, “flexible, open-ended and people driven approach to conservation”, under a long-term and sustainable perspective (Bandarin and Van Oers, 2015: 14). In line with the *Budapest Declaration* and the fifth strategic objective “communities”,⁴⁷ the HUL approach “learns from the traditions and perceptions of local communities” (UNESCO, 2011b: Art. 13) and “supports communities in their quest for development and adaptation, while retaining the characteristics and values linked to their history and collective memory, and to the environment” (*ibid.*: Art. 15). However, the HUL approach is not intended to substitute existing doctrines or conservation strategies, which are still recognised as valid and as an essential contribution to current urban conservation practice. Wherever possible, it supports the integration between tools that already exist or the development of innovative tools (civic engagement tools, knowledge and planning tools, regulatory systems and financial tools) if needed (*ibid.*: Art. 24). The HUL approach is considered as an overall framework to guide urban management through the integration of different policies and practices, disciplines, urban sectors and actors involved in the management of historic urban environments, both in terms of scale (local, national, regional, international) and typology (public and private).

Looking toward the HUL practical implementation

The HUL approach was conceived to minimize the existing gap “between the ideal world of the charters and the practical realities” (UNESCO, 2010: 1-2). For this reason, the *HUL Recommendation* encourages UNESCO Member States (195 countries) to “adopt the appropriate legislative institutional framework and

⁴⁷ See Section 2.2.1 “The Budapest Declaration on World Heritage (2002)”.

measures” (UNESCO, 2011b: Art. 2) to implement the proposed approach and to bring it “to the attention of the local, national and regional authorities, and of institutions, services or bodies and associations concerned with the safeguarding, conservation and management of historic urban areas and their wider geographical settings” (*ibid.*: Art. 3). Considering its worldwide audience, the *HUL Recommendation* was conceived as a global document, encompassing “the variety of existing approaches and value systems of the different cultures” (UNESCO, 2010: 3). However, its implementation should be necessarily adapted to the specificity of local contexts, giving a great responsibility to national and local governments. They should define an appropriate and tailored strategy case by case: a process that requires a great level of cultural awareness in the careful consideration of the diversity of various environments.

While adopted by UNESCO, the *HUL Recommendation* was thought to be implemented, not only in WH cities, but in historic urban environments in general (from small villages to large metropolis). In order to help national and local governments with its practical implementation, Resolution n°41 adopted by the UNESCO 36th General Conference in 2011 requested Member States to “identify within their specific contexts the critical steps to implement the HUL approach, which may include the following” (UNESCO, 2011b: 50):

- (1) to undertake comprehensive surveys and mapping of the city’s natural, cultural and human resources (a full resource assessment);
- (2) to reach consensus using participatory planning and stakeholder consultations on what values to protect for transmission to future generations and to determine the attributes that carry these values, as part of good stewardship;
- (3) to assess the vulnerability of these attributes to socio-economic pressures and impacts of climate change;
- (4) to integrate urban heritage values and their vulnerability status into a wider framework of city development, which shall provide indications of areas of heritage sensitivity that require careful attention to planning, design and implementation of development projects;
- (5) to prioritize policies and actions for conservation and development, including good stewardship;
- (6) to establish the appropriate partnerships and local management frameworks for each of the identified projects for conservation and development, as well as to develop mechanisms for the coordination of the various activities between different actors, both public and private.

(*ibid.*)

The six steps suggested for the implementation of the *HUL Recommendation* were included in the first proposal presented in 2010, which comprised a practical action plan as a methodology for its implementation. The action plan was designed in a way that was applicable, in principle, to most, if not all, cities situated in the different geo-cultural regions of the world. While the final draft of the Recommendation was being elaborated, this assumption was tested through a series of workshops held around the world, which also aimed to test the global relevance of the recommendation (Van Oers and Pereira Roders, 2012: 7). They were held in Baku (Azerbaijan) in 2010, and in the Swahili Coast in Eastern Africa in the historic towns of Lamu (Kenya), Stone Town of Zanzibar (Tanzania) and the Island of Mozambique in 2011 (Van Oers, 2013). However, while the HUL approach “proved to be of critical importance in all four cases”, the official Recommendation was adopted the following year without the annex action plan for guiding its implementation (Van Oers and Pereira Roders, 2012: 8). However, to date, the six critical steps have remained the main reference used in the first experiments of implementation of this approach.⁴⁸

2.2.4 The Valletta Principles for the Safeguarding and Management of Historic Cities, Towns and Urban Areas (2011)

In parallel with the adoption of the *HUL Recommendation*, the 17th ICOMOS General Assembly adopted *The Valletta Principles for the Safeguarding and Management of Historic cities, Towns and Urban Areas* in November 2011. Like UNESCO, ICOMOS recognised the need to update existing doctrinal documents related to urban heritage conservation, integrating them with the “significant evolution in definitions and methodologies concerning the safeguarding and management of historic towns and urban areas” (ICOMOS, 2011b: Preamble). The document defines historic towns and urban areas as:

historic towns and urban areas are made up of tangible and intangible elements. The tangible elements include, in addition to the urban structure, architectural elements, the landscapes within and around the town, archaeological remains, panoramas, skylines, view-lines and landmark sites. Intangible elements include activities, symbolic and historic functions, cultural practices, traditions, memories, and cultural references that constitute the substance of their historic value. Historic towns and urban

⁴⁸ See *Section 2.4* “From International Theory to Local Practice: Early Implementation Experiments”.

areas are spatial structures that express the evolution of a society and of its cultural identity. They are an integral part of a broader natural or man-made context and the two must be considered inseparable.

(*ibid.*: Art. 1a)

With this definition, the document broadens the extension of urban heritage conservation, considering the urban heritage as part of an urban ecosystem in order to ensure the harmonious development of historic towns and their settings (*ibid.*: Preamble). In doing so, it recalls the holistic approach to urban heritage conservation and development defined by Geddes in the first half of the 20th century.⁴⁹ Moreover, similarly to the *HUL Recommendation*, it recognises the importance of enlarging the territorial extension of this approach to a regional scale as well as taking tangible and intangible attributes and values into consideration as a means of continuity and identity. It also recognises the strict interconnection between natural and cultural elements of urban heritage.

Furthermore, historic towns and urban areas possess evolutionary components, as they are considered as “living organisms”, subjected to continual changes that can affect all elements of urban heritage, whether they be natural and cultural, tangible and intangible. *The Valletta Principles for the Safeguarding and Management of Historic cities, Towns and Urban Areas* stresses the importance of managing this change to guarantee an adequate safeguarding of the urban heritage and for its “coherent development and (...) harmonious adaption to contemporary life” (*ibid.*: 1c). Change (in terms of transformation of built and natural environment as well as in use and social environment), if adequately managed, could be an opportunity “to improve the quality of historic towns and urban areas on the basis of their historical characteristics” (*ibid.*: Art. 2). The document also states the importance of “good governance” and, like the *HUL Recommendation*, of the involvement of a great variety of local stakeholders (elected authorities, municipal services, public administrations, experts, professional organisations, voluntary bodies, universities, residents, etc.), with multi-disciplinary backgrounds (*ibid.*: Art. 3g). It also encourages collaborations between private and public actors in order to successfully safeguard and ensure the sustainable development of urban heritage. Furthermore, it also highlights the importance of planning as a participatory process, involving all relevant stakeholders (*ibid.*: Art. 4j).

⁴⁹ See *Section 1.1.2* “Early 20th Century: Harmonising Urban Heritage Conservation with Development”.

2.2.5 The 2030 Agenda for Sustainable Development (2015) and the New Urban Agenda (2016)

In 2001 the *Declaration on Cities and Other Human Settlements in the New Millennium*, adopted by the UN General Assembly during its 25th special session, reaffirmed that “human beings are at the centre of our concern for sustainable development and they are the basis for our actions taken in the implementation of the Habitat Agenda” (United Nations, 2001: Art. 1). Moreover, it promoted “the development of integrated and participatory approaches to urban environmental planning and management in relation to the implementation of Agenda 21” (*ibid.*: Art. 10). It stresses that cities need “specific approaches and methodologies to improve governance” (*ibid.*: Art. 51) and that integrated approaches should address social, economic and environmental issues at all levels (*ibid.*: Art. 60). The same concepts were stressed in the *2030 Agenda for Sustainable Development*, adopted by the United Nations in 2015, in order to define global Sustainable Development Goals (United Nations, 2015: Art. 1).

The Agenda underlines the importance of sustainable urban development and management as they are “crucial to the quality of life of our people” (*ibid.*: Art. 34). In particular, among the 17 Sustainable Development Goals (SDGs) proposed, the Goal 11 “make cities and human settlements inclusive, safe, resilient and sustainable” is specifically conceived for cities. The Agenda highlights that efforts must be done “to strengthen the protection and safeguarding of the world’s cultural and natural heritage” (Goal 11.4), to enhance “capacity for participatory, integrated and sustainable human settlements planning and management” (Goal 11.3) and to support “economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning” (Goals 11.a). Therefore, it emphasises the need, already identified in previous international documents, of participatory and integrated approaches to the planning and management of cities (United Nations, 2001; UNESCO, 2011b; ICOMOS 2011). In this way, over the 21st century it was possible to assist in promoting a human rights-based approach by the United Nations, which has also since been applied to urban heritage management.

One year later, the *Quito Declaration on Sustainable Cities and Human Settlements for all* - also known as the *New Urban Agenda* - was adopted during the United Nations Conference on Housing and Sustainable Urban Development (HABITAT III) held in Quito in October 2016. Grounded in the *Universal*

Declaration of Human Rights (United Nations, 2016: Art. 12), the conference involved “the participation of sub-national and local governments, parliamentarians, civil society, indigenous people and local communities, the private sector, professionals and practitioners, the scientific and academic community and other relevant stakeholders” (*ibid.*: Art. 1). The adoption of the *New Urban Agenda* reaffirmed the “global commitment to sustainable urban development as a critical step for realising sustainable development in an integrated and coordinated manner at global, regional, national, sub-national and local levels, with the participation of all relevant actors” (United Nations, 2016: Art. 9). It contributes to the implementation of the SDGs defined in the *2030 Agenda* and, in particular, of SDG 11 and it is committed to work toward an “urban paradigm shift”, which readdresses “the way we plan, finance, develop, govern, and manage cities and human settlements (*ibid.*: Art. 15a).

The *New Urban Agenda* looks at urban heritage from the perspective of urban sustainable development rather than of urban heritage conservation, and affirms its commitment “to sustainably leverage natural and cultural heritage in cities and human settlements, as appropriate, both tangible and intangible, through integrated urban and territorial policies” (*ibid.*: Art. 38). Moreover, it stresses how culture should be included “as a priority component of urban plans and strategies in the adoption of planning instruments, including master plans, zoning guidelines, building codes, coastal management policies, and strategic development policies that safeguard a diverse range of tangible and intangible cultural heritage and landscapes, and will protect them from potential disruptive impacts of urban development” (*ibid.*: Art. 124). Therefore, it strengthens the integration of urban heritage conservation and management into urban planning instruments and development strategies.

The *New Urban Agenda* stresses its global relevance and underlines the importance of national governments “in the definition and implementation of inclusive and effective urban policies and legislation for sustainable urban development, and the equally important contributions of sub-national and local governments as well as civil society and other relevant stakeholders” in order to implement these principles (*ibid.*: Art. 15b). Furthermore, it adopts a human rights-based approach, promoting the adoption of “sustainable, people-centred, age- and gender-responsive and integrated approaches to urban and territorial development by implementing policies, strategies, capacity development, and actions at all levels, based on fundamental drivers of change” (*ibid.*: Art. 15b).

Therefore, it strongly reaffirms the importance of strengthening urban governance, empowering and including urban local stakeholders, promoting multi-stakeholders' partnership and cooperation between all levels of government in order to achieve a sustainable, integrated urban development, including its social, economic, environmental as well as cultural components (*ibid.*, Art. 15c).

2.2.6 Policy on the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention (2015)

Two months after the adoption of the *2030 Agenda for Sustainable Development*, the 20th General Assembly of States Parties to the *WH Convention* adopted a *Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the WH Convention* on 19th November 2015 (UNESCO, 2015b). Even if the role of cultural heritage as an enabler of sustainable development was already stated in the *Budapest Declaration* (2002), this concept was only introduced into sustainable development policies with the adoption of the *2030 Agenda* and the definition of SDGs in 2015. However, while the “*WH Convention*, in itself, appears to contribute to sustainable development and the wellbeing of people” (*ibid.*: Art. 3), Boccardi argued that in 2007 “the current policies and procedures of the Convention do not yet integrate a concern for sustainability” (Boccardi, 2007: 2). He expressed his concern about the state of WH preservation as it could result in “conflicts between conservation objectives and development needs at WH sites” (*ibid.*). Therefore, the adoption of this *Policy Document* in 2015 aimed to ensure a UNESCO policy coherent with the UN sustainable development agenda. It aimed to strengthen the role of the *WH Convention* by encouraging sustainable development, in its three dimensions: environmental sustainability, inclusive social development and inclusive economic development, which are essential for ensuring peace and security (UNESCO, 2015b: Art. 3). Moreover, it also promotes its implementation at national and local levels.

The adoption of this policy further enlarges the modern paradigm for urban heritage conservation and management developed over the 21st century integrating the sustainable development perspective, in its three dimensions. It exemplifies an important shift in the implementation of the *WH Convention* and, while the policy is specifically directed at WH properties, its principles can be applied to cultural and natural heritage in general (*ibid.*: Art. 12). States Parties should recognise and

promote the potential of WH properties to contribute to sustainable development and ensure that they align the conservation and management strategies that protect their Outstanding Universal Value (OUV), with broader sustainable development objectives (*ibid.*: Art. 4) and contribute to “the wellbeing of present and future generations” (*ibid.*: Art. 6). Therefore, State Parties should “review and reinforce governance frameworks within management systems of WH properties” in order to implement the *WH Convention* integrating a sustainable development perspective (*ibid.*: Art. 9). It reiterates the fact that this should be done by integrating conservation and management frameworks with larger regional planning frameworks, adding that “buffer zones (and other similar tools) [...] need to be not only understood as added layers of protection, but also as planning tools to enhance mutual benefits for local and other concerned communities and for the heritage itself” (*ibid.*: Art. 10).

In line with the *New Urban Agenda*, the policy states that the review of current governance framework needs to include the “full respect and participation of all stakeholders and rights holders, including indigenous peoples and local communities” and “the setting up of effective inter-institutional coordination mechanisms”, reinforcing the importance of stakeholders’ engagement (*ibid.*: Art. 9). The policy adopts and reinforces a “human rights-based approach” according to the *UNESCO Constitution* (UNESCO, 1945: Art. 1), the *UNESCO Strategy on Human Rights* (UNESCO, 2003b) and the *UN Declaration on the Rights of Indigenous Peoples* (United Nations, 2007). Therefore, the State Parties should commit to the implementation of “human rights standards as a pre-requisite for effectively achieving sustainable development” (UNESCO, 2015b: Art. 20). Since the beginning of the century, this framework is responsible, in part, for the “growing awareness of the fundamental linkage between conserving cultural heritage, maintaining cultural diversity and enforcing human rights” (Logan, 2012: 231). This is also demonstrated by the adoption of the *Faro Convention* by the Council of Europe in 2005, which recognises the “need to put people and values at the centre of an enlarged and cross-disciplinary concept of cultural heritage” (Council of Europe, 2005: Preamble) and of the *Florence Declaration on Heritage and Landscape as Human Values* in 2014 (ICOMOS, 2014).

To conclude, the worldwide relevance of the *UNESCO Policy Document* and of the efforts made through the adoption of the *New Urban Agenda* and of the *HUL Recommendation* to move beyond the WH system and the developed West, are visible in the updating of the *Hoi An Declaration on Conservation of Historic*

District of Asia adopted by ICOMOS in 2003 (ICOMOS, 2003), which became the *Hoi An Declaration on Urban Heritage Conservation and Development in Asia* in 2017. It was adopted during a conference held in Hoi An (Vietnam), jointly organized by Quang Nam's Provincial People's Committee and Hoi An City, the Vietnam National Commission for UNESCO, UNESCO and UN-HABITAT, which provided the opportunity to exchange knowledge amongst institutional, academic and professional people from Algeria, Argentina, Australia, Cambodia, China, Costa Rica, France, Korea, Japan, Laos, Nicaragua, Paraguay, Senegal, Spain, Switzerland, Thailand, Trinidad and Tobago, and Vietnam. The updating of the declaration incorporated the evolution of the conceptual framework

for the safeguarding of historic urban districts, particularly the importance of the intangible cultural heritage dimension that increases the significance of urban environments, the broader contexts envisaged in the notion of the historic urban landscape and the clearer understanding of the interrelationship between heritage and sustainable development.⁵⁰

In doing so, the declaration explicitly referred to the key international documents that have been adopted since the beginning of the 21st century (UNESCO, 2011b; UNESCO, 2015b; United Nations, 2016), demonstrating an evolution in the international discourse of urban heritage conservation, management and development over the last two decades, which brought to “a new paradigm for urban heritage conservation and management”. The key principles of this new paradigm are discussed in the following section.

2.3 A New Paradigm for Urban Heritage Conservation and Management: Key Principles

The evolution of the 21st century international approach to urban heritage conservation, management and development presented in *Section 2.2* showed that a “new paradigm” for urban heritage conservation and management has gradually taken shape since the beginning of the 21st century (Engelhardt, 2004: 33; Araoz, 2008; Araoz, 2011: 55; Bandarin and Van Oers, 2012: 65; Araoz, 2013: 153). It represents a turning point in urban heritage conservation and the key principles at the basis of this paradigm have been stressed both by UNESCO and by many

⁵⁰ *Hoi An Declaration 2017 on Urban Heritage Conservation and Development in Asia* (2017). Adopted during the International Conference on Urban Heritage Conservation and Development, 13-14th June 2017, Hoi an, Vietnam.

scholars (UNESCO, 2009: Annex; UNESCO, 2010: 3). However, the principles at the basis of this paradigm are not completely innovative concepts as they have been strongly influenced by the ideas of harmonious development and integrated conservation already theorised in the first half of the 20th century,⁵¹ and by the practical experiments of urban heritage conservation conceived and implemented in the post-war period,⁵² as argued by several authors (Van Oers, 2006; Whitehand and Gu, 2007; Araoz, 2011: 59; Siravo, 2011; Bandarin and Van Oers, 2012: 2-36; Veldpaus *et al.*, 2013; Bianca, 2015). Moreover, other literature showed that they were conceived gradually, evolving from the urban conservation discipline developed in the international discourse over the second half of the 20th century (Rodwell, 2010: 8-9; Bandarin *et al.*, 2011: 22; Bandarin and Van Oers, 2012: 37-60; Wiener, 2013; Veldpaus *et al.*, 2013: 3; Veldpaus and Pereira Roders, 2014: 247-249).⁵³

However, the framing of this “paradigm shift” (Engelhardt, 2004: 36; Ripp and Rodwell, 2015: 246; Khalaf, 2015: 77; Buckley *et al.*, 2016: 96; Hill and Tanaka, 2016: 216) into a series of international documents adopted by UNESCO, ICOMOS, United Nations, UN-HABITAT and the Council of Europe constitutes an element of innovation. Involving people from all over the world and organising meetings, workshops and conferences in different geo-cultural regions, these organisations have strongly contributed to the creation of a 21st century international discourse on urban heritage conservation, management and development, aiming to promote its practical implementation into national and local policies and urban management systems in countries of all over the world. For this reason, from this moment this approach to urban heritage conservation, management development is also called the “21st century international approach” or “contemporary international approach” in this dissertation. The key principles of the new paradigm for urban heritage conservation and management that reassume its core aspects are discussed in the paragraphs below.

⁵¹ See *Section 1.1* “Setting the Comparative Scene: Early Approaches to Urban Heritage Conservation in Italy and in the UK”.

⁵² See *Section 1.3* “The Post-War Period and the Reconstruction (1945:1970): Practical Experiments and Approaches to Urban Heritage Conservation in Italy and in the UK”.

⁵³ See *Section 1.4* “Framing the Evolution of an International Urban Heritage Conservation Doctrine in the 20th Century”.

2.3.1 An Holistic and Comprehensive Approach

Recalling Geddes' and Giovannoni's principles,⁵⁴ the new paradigm is characterised by an holistic and comprehensive approach to living historic environments (Rodwell, 2003: 67). By recognising the physical and historical continuity of a city, as suggested by Geddes and Giovannoni, historic urban landscapes are able to contribute towards developing urban conservation strategies. Moreover, these strategies would not only limit themselves to aspects that are of perceived to have heritage value, as they would take into account the entire urban fabric of the city. They include the surrounding landscapes that link the urban and man-made environment with natural settings (UNESCO, 2005d; UNESCO, 2011; ICOMOS, 2011b), shifting from single objects and urban areas, to entire landscapes (Van Oers, 2007; Veldpaus *et al.*, 2013: 8; Veldpaus and Pereira Roders, 2014: 259). When considering entire historic urban landscapes, holistic and comprehensive urban management policies should play a predominant role in reconciling heritage conservation with urban development in historic urban environments.

Historic urban environments are understood to be complex living and evolving entities (Girard, 2013: 9; Veldpaus and Pereira Roders, 2014: 258; Poullos, 2014: 16; Van Oers, 2015: 317-318). Historic urban landscapes should therefore be conceived as spaces with multidimensional stratifications of meaning, made of historical layerings and interconnections of values that incorporate tangible and intangible attributes as elements of urban conservation. The perception of values attributed to urban heritage by the local communities gives a greater importance to intangible aspects and to its social components, often undervalued by a more conventional approach (Araoz, 2013: 150-151). As such, the 21st century approach is characterised by a growing complexity in the processes of understanding, preserving and managing heritage attributes and values: the interrelationships between old and modern, tangible and intangible, urban and natural, values and attributes should be carefully taken into consideration in the urban conservation process.

⁵⁴ See *Section 1.1* "Setting the Comparative Scene: Early Approaches to Urban Heritage Conservation in Italy and in the UK".

2.3.2 Urban Heritage Conservation as Management of Change

If a landscape approach to urban heritage conservation is applied, the new paradigm for urban heritage conservation and management accepts the dynamic and evolutionary components of the urban heritage. An historic urban landscape is not static as it continuously changes over time (Mitchell and Melnick, 2012: 235-237; Araoz, 2013: 152; Veldpaus and Pereira Roders, 2014: 258). Cities are constantly facing different kinds of change that need to be carefully understood and managed. Urban fabrics are often historically stratified, not fixed, yet constantly altered by contemporary requirements (e.g. new contemporary architectures, infrastructures, regeneration and requalification processes). Moreover, cities face socio-functional changes, such as urban and socio-economic development processes, which may change the distribution of services and functions within a city, altering their socio-functional composition and the number of stakeholders' groups and interests, which can often be a source of conflict. Finally, the system of values that serves as the basis of urban heritage is in a state of constant change as it depends on the relativist and social interpretations and perceptions of the values themselves (Zancheti and Jokilehto, 1997; Araoz, 2011: 58; Labadi, 2013).

Some scholars define urban heritage conservation as the “management of change”, as they acknowledge evolution and dynamism as inner components of historic urban environments, as opposed to more conventional approaches where change was prevented and avoided (Teutonico and Matero, 2003: 209; Nasser, 2003; Rodwell, 2010; Araoz, 2011; Liu, 2011: 3; Veldpaus *et al.*, 2013: 11; Araoz, 2013: 152; Pereira Roders and Veldpaus, 2013; Van Oers and Pereira Roders, 2013; Veldpaus and Pereira Roders, 2014; Veldpaus, 2015). However, scholars, such as Jokilehto, are critical of the definition of conservation as management of change, due to the variables of change obviously involved (Jokilehto, 2010). The new paradigm suggests that the preservation of urban heritage in a context of change requires careful management, for both its tangible and intangible attributes and values. This must allow for the conservation of historic layers so that there is continuity in urban identity over time. Therefore, the new paradigm implies a shift from a “material-based” approach to “values-based” strategies for urban conservation and management (Avrami *et al.*, 2000; De La Torre, 2002; Mason, 2004; De La Torre *et al.*, 2005; Orbasli, 2008: 38-50; Heras *et al.*, 2013), or a “living heritage” approach (Poulios, 2014). Moreover, in this dynamic perspective of urban heritage conservation, limits of acceptable

change should be prudently defined, as well as decisions on what to conserve and why (Rodwell, 2010; UNESCO, 2011b; ICOMOS, 2011b).

2.3.3 Integration of Urban Heritage Conservation, Urban Planning and Socio-Economic Development

It would appear that attitudes towards urban heritage conservation are changing as UNESCO, ICOMOS, United Nations and the Council of Europe encourage more comprehensive and integrated approaches to urban heritage conservation, management and development. By recognising that urban heritage evolves and changes with time and influenced by Geddes' theories, this approach looks at the city as an evolving organism that needs to find a balance between the needs of conservation with those of urban and socio-economic development (UNESCO, 2002; Morrica, 2009; UNESCO, 2011b; Colletta, 2013; UNESCO, 2015b). A coherent dialogue between urban heritage conservation, urban planning and socio-economic development is thus necessary, and the integration of urban heritage conservation and management with urban planning and development strategies, according to sustainability principles, is encouraged (UNESCO, 2011b; UNESCO, 2015b; United Nations, 2015; United Nations, 2016). To reach this scope, implementing this approach must deal with a city's different interpretation layers and with its complex system of relationships. A multidisciplinary perspective is needed as well as the involvement of heritage and non-heritage sectors, of private and public actors and of various levels of policy (international, national, regional, local) in order to promote integrated urban management strategies (Van Oers, 2009). Therefore, all levels should be integrated into a coherent strategy and conflicts among people (different local stakeholders as well as local communities), processes and practices directly or indirectly involved, need to be carefully considered in the management of the urban context (Zancheti and Hidaka, 2011; Veldpaus, 2015).

2.3.4 Participation, Dialogue and Community Involvement

Inheriting many of the principles introduced with the *Burra charter*,⁵⁵ the new paradigm for urban heritage conservation and management suggests that urban heritage should be understood based on a city's system of values and interpretations of a place, as this would highlight a city's cultural significance

⁵⁵ See Section 1.4.3 "The 1980s: Conserving and Managing Urban Heritage Values in Historic Urban Environments.

(Araoz, 2013: 149). It is the “outcome of the constant tension between two parts of a same process – permanence and change – of the cultural meanings of the material and physical world” (Zancheti and Loretto, 2015: 86). In this way, a central role is given to its social component as values should be socially recognised and validated (Zancheti and Jokilehto, 1997; Zancheti *et al.*, 2009; Labadi, 2013). The urban heritage can be considered as a cultural practice (Jokilehto, 2010: 51; Logan, 2012): it involves a conceptual change “from objects to subjects” implying a high degree of subjectivity in the interpretation of meanings and values (Muñoz Viñas, 2005: 147). The values attributed to heritage may change remarkably in relation to different stakeholders, bringing together diverging interests and needs in the process of urban conservation and management (Waterton and Smith, 2010). In this context, it is important to recognise the “inequities that often arise and the feeling people can have” when identifying urban heritage attributes and values (Logan, 2012: 241). It is therefore essential to apply a people-centred and human right-based approach to urban heritage conservation and management (Auclair and Fairclough, 2015: 6).

The new paradigm promotes participatory processes for identifying urban heritage attributes and values as well as urban heritage conservation, planning and management (UNESCO, 2011b; UNESCO, 2015b; United Nations, 2015; United Nations, 2016). Moreover, it enlarges the number of actors involved, both in terms of scale (local, national, regional, international) and of typology (public and private). Together with the use of a long-term and holistic planning process, the participation and empowerment of multiple stakeholders are acknowledged as essential factors for sustainable development (Landorf, 2009; Girard, 2013). Moreover, the shift from a material-based to a value-based approach requires going beyond the experts, professional elites and local administrations, giving a greater importance to local communities (Engelhardt, 2004; Smith, 2015). They should also be involved in the recognition of values, as it would empower them and help them to value urban conservation and management process. Moreover, heritage professionals and policy makers should understand the importance of local populations in the management of heritage sites, giving them a leading role in conservation, management and development policies (Engelhardt, 2004). To conclude, from a conventional bottom-up approach, the new paradigm moves towards a constant dialogue and negotiation between all the actors involved, including the local community, whose importance in the recognition, conservation and management of heritage is increasing important.

2.4 From International Theory to Local Practice: Early Implementation Experiments

The previous sections showed that “a new paradigm for urban heritage conservation and management” has gradually taken shape since the beginning of the 21st century. However, while the theoretical principles of this new paradigm have already been stressed in several international documents and in recent literature, the contemporary “challenge lies in practice” (Veldpaus, 2015: 51). In fact, this approach is recognized of “being of global concern” (Van Oers and Pereira Roders, 2012: 6) and it needs to be implemented into national regulatory frameworks as well as into local urban management systems (UNESCO, 2011b; UNESCO, 2015b; United Nations, 2015; United Nations, 2016). This section focuses on the early experiments of implementing the 21st century international approach into existing local urban management systems around the world, and underlines the critical issues that emerged during their practical realisation. These early experiments focused on the implementation of the HUL approach, which was strongly supported by the activities promoted by the WH Centre and the WH Institute of Training and Research for the Asia and the Pacific Region (WHITRAP)⁵⁶ located in Shanghai (China). The *European Programme URBACT*⁵⁷ provided another means of implementing the 21st century approach, as it financed two projects called the “*Heritage of Opportunity, HerO*” (Ripp *et al.*, 2011a, Ripp *et al.*, 2011b) and “*Moving from Conservation to Management: HerMan, Management of Cultural Heritage in the central Europe Area*” (Ripp, 2013, 2014). These early experiments are presented in *Section 2.4.1* and discussed in *Section 2.4.2*.

2.4.1 HUL Pilot Cities and the European Programme URBACT

In order to support the implementation of the HUL approach, WHITRAP organised a series of expert meetings and training programmes,⁵⁸ which aimed to stimulate global discussions around the HUL implementation (Pereira Roders and Van Oers, 2014: 4). Within this programme, five pilot cities - Ballarat (Australia),

⁵⁶ More information are available at: <http://www.whitr-ap.org/index.php?classid=1459>

⁵⁷ URBACT is a European Territorial Cooperation Programme aiming to foster sustainable integrated urban development in cities across Europe. It is an instrument of the Cohesion Policy, co-financed by the European Regional Development Fund, the 28 Member States, Norway & Switzerland. For more information see: <http://urbact.eu/>

⁵⁸ More information are available at: <http://www.historicurbanlandscape.com/>

Shanghai and Suzhou (China), Cuenca (Ecuador) and Rawalpindi (Pakistan) – tried to implement the HUL approach in different ways. They are presented in the *HUL Guidebook*, published in 2016 to “deliver a practical understanding of the HUL approach” and to assist stakeholders who wish to implement this approach (Fayad *et al.*, 2016: 5). The publication illustrates a variety of tools that can be used to implement this approach, particularly in relation to the different local contexts where it was applied. Some pilot cities tried to implement the HUL approach following the six critical steps for implementing this approach which were at least partly suggested in the 36th UNESCO General Conference Resolution (UNESCO, 2011b: 50).⁵⁹ Even if the six critical steps were excluded in the final text of the *HUL Recommendation*,⁶⁰ in 2011 they were the only guidance available to foster the practical realisation of the HUL approach.

For example, in the case of the old city of Rapalwindi, which “has never at any point in its history been planned, designed or conserved”, the development and the implementation of the HUL approach implicated the introduction of completely new tools for urban heritage conservation and management (Rogers, 2016: 40). In this case, where the city had no conservation system in place (*ibid.*: 18), the first three steps of the HUL action plan were implemented in the preparatory phase of the *Rawalpindi Historic Urban Landscape Project* (RHULP),⁶¹ supported by the local government “in order to lay the groundwork for future applications of the HUL approach in the historic city” (*ibid.*: 40). The city’s resources were mapped and their values recognised, and a consensus amongst stakeholders was finally reached after a series of meetings, seminars and consultations which assessed the vulnerability status of urban resources. The implementation of these three steps helped to increase the level of public awareness of local heritage, which was very low. The increased public awareness represents the first step in defining a future sustainable strategy for the protection and safeguarding of local heritage.

Conversely, in Ballarat, which already has well-established urban regulatory frameworks and conservation systems, the HUL approach was implemented

⁵⁹ See *Section 2.2.3* “The UNESCO Recommendation on the Historic Urban Landscape (2011)”.

⁶⁰ *Ibid.*

⁶¹ The first three critical steps included: 1) to undertake comprehensive surveys and mapping of the city’s natural, cultural and human resources (a full resource assessment); 2) to reach consensus using participatory planning and stakeholder consultations on what values to protect for transmission to future generations and to determine the attributes that carry these values, as part of good stewardship; 3) to assess the vulnerability of these attributes to socio-economic pressures and impacts of climate change.

building a values-based framework to ensure sustainable change (Fayad and Reeves, 2016: 23; Buckley *et al.*, 2016). The approach, promoted by the local authority (City of Ballarat) in collaboration with the WHITRAP and academic partners,⁶² was integrated into the *Ballarat Strategy – Our Vision for 2040*. This strategic document for long-term planning aims to balance heritage values and community identity with sustainable development. This strategy involved a local community engagement programme, a range of collaboration and events and several community forums. In the long-term, the implementation of *People, Culture and Place: a new heritage plan for Ballarat 2016-2030*, aims to integrate the HUL concepts into the local planning system through integrated and participatory Local Area Plans (Fayad and Reeves, 2016: 223). In Cuenca, instead, an interdisciplinary research team was established to improve the understanding of the urban heritage, which was officially formalised with an agreement between the Municipality of Cuenca, the University and WHITRAP (Fayad *et al.*, 2016: 37). The city's landscape units, as well as landscape quality objectives, were identified for guiding future interventions through sixteen workshops held with local citizens. A *Visionary Conference* was also held in 2015, which involved the University of Cuenca and municipal technicians as well as people exchanging their experiences with HUL from Edinburgh, Zanzibar, Ballarat and Cuenca.

In China, the implementation of the HUL approach was achieved by incorporating it into existing planning policies and regulatory frameworks in order to better integrate heritage conservation and urban development in case of huge development pressures (Van Oers and Pereira Roders, 2013: 5). In Shanghai, the local government incorporated the HUL approach into the management of the Hongkou River area, in order to find a balance between heritage conservation and the severe urban development pressures that were taking place in the Hongkou district. The implementation required a public participation process, which involved preparing a local plan, open discussions and other modifications in local plans and policies, as well as consultations with research institutes and social associations on local development (Zhou, 2016: 28). The local plan of the Hongkou River was edited and improved based on the results generated by public participation (*ibid.*: 29). Similarly, the Research Institute of Urbanisation at Xi'an Jiaotong-Liverpool University, in cooperation with the local government of

⁶² They included the Collaborative Research Centre in Australian History (CRAH) and the Centre for eResearch and Digital Innovation (CeRDI) at Federation University Australia as well as the Cultural Heritage Centre Asia and the Pacific (CHCAP) at Deakin University, Australia.

Shuang Wan, part of the Wujian district in Suzhou, implemented a development scheme based on the HUL approach, which envisaged “a future development of compatible rural tourism activities” to improve the public space, to preserve the historic built environment and to reintroduce new profitable cultivations (*ibid.*: 32). The development scheme identified the main internal north-south connections of Shuang Wan as “green roads” and aimed to renovate them with “suitable pavement and greenery for slow mobility” (*ibid.*). In doing so, the process was supported by the engagement of local communities and textile entrepreneurs and the final scheme was presented during a participatory session. In 2015, the preliminary scheme of development was submitted to the upper administrative level and the implementation of a part of the development scheme (the “green road” system) was almost completed (*ibid.*: 33).

However, implementing the HUL approach was not the only practical experiment involved in applying the new paradigm for urban heritage conservation and management (Van Oers and Pereira Roders, 2012; Pereira Roders, 2013). Another interesting example of the practical realisation took the form of the European project “*Heritage as Opportunity – HerO*” (Ripp *et al.*, 2011a). This project proposed the implementation of “a new approach to the management of historic towns” to integrate urban heritage conservation and development through integrated cultural heritage management plans for historic cities (*ibid.*:16).⁶³ The project was developed from 2008 to 2011 and proposed a “road map” for the development of an *Integrated Cultural Heritage Management Plan*,⁶⁴ which was applied to nine European cities: Regensburg (Germany), Graz (Austria), Naples (Italy), Vilnius, Sighisoara (Romania), Liverpool (UK), Lublin (Poland), Poitiers (France) and Valletta (Malta) allowing the comparison of challenges and experiences. Similarly, the other European project entitled “*Moving from Conservation to Management: HerMan, Management of Cultural*

⁶³ The project was developed from 2008 and 2011 and involved nine European cities (Regensburg, Graz, Naples, Vilnius, Sighisoara Liverpool, Lublin, Poitiers and Valletta) allowing the comparison of challenges and experiences.

⁶⁴ Similar to the HUL six critical steps, the road map includes the following phases:

- (1) Preparation of an Integrated Cultural Heritage Management Plan (Build up a local support group; Analyse the current situation; Develop a road map; Secure political and financial support)
- (2) Development of an Integrated Cultural Heritage Management Plan (Involve the local support group and further stakeholders; Develop vision, objectives and actions; Develop structures and procedures)
- (3) Implementation of an Integrated Cultural Heritage Management Plan (Implement actions, structures, procedures)
- (4) Review of an Integrated Cultural Heritage Management Plan (Monitor the safeguarding and development; Adapt the management plan)

Heritage in the central Europe Area” (Ripp, 2013, 2014) was developed from 2012 to 2014 in Nine Eastern European cities: Regensburg (Germany), Eger and Gyula (Hungary), Lublin and Krakow (Poland), Venice, Ravenna, Ferrara and Treviso (Italy). This project aimed to integrate heritage conservation into an urban management strategy, which promoted the sustainable use the cities’ cultural heritage in order to stimulate attractiveness and competitiveness. Moreover, it aimed to increase the knowledge and expertise in managing cultural heritage sites as well as improving and enhancing the management of the Eastern European region. As such, it developed and tested management models and strategies, focusing on the elaboration of cultural heritage management models (Ripp, 2014: 6). They were defined according to the specificity of each single context, evaluating the current situation in the management field through case studies and practices (*ibid.*).

2.4.2 Early Implementation Outcomes and Challenges

Although realised in different ways, the implementation of the new paradigm for urban heritage conservation and management (in whole or in part) is considered to be “successfully applied” in all HUL pilot cities (Fayad *et al.*, 2016: 5). In the same positive way, the implementation of the *HerO Project* is thought to have provided a “major step toward an improved urban governance focused on urban heritage” (Ripp and Rodwell, 2016: 93). The implementation of an integrated approach to urban heritage conservation, management and development in the cases presented in the previous section, allows for a better scrutiny of the cities’ existing resources, current challenges and requirements. Furthermore, it was an occasion to improve the understanding of the cities’ urban heritage and to reflect on the necessary actions to guarantee their conservation and management, whilst also allowing the promotion of socio-economic development. Moreover, the implementation of this approach increased the level of stakeholders’ engagement, so that it implicated the “largest ‘community conversation’ ever undertaken” in the case of Ballarat for example (Fayad and Reeves, 2016: 23). The participation of many actors working on these sites, in collaboration with international institutions, the private sector, academics, professionals as well as the local communities, enabled the creation of links and partnerships as well as the elaboration of common objectives. It also developed a city vision on how to implement this innovative approach.

However, these early implementation attempts revealed the following critical aspects and the challenges that emerged, especially when current heritage legislations and urban planning frameworks already exist and are well consolidated systems. One of these critical aspects is the need to examine the “interplay between heritage theory and practice in the HUL implementation”, improving the understanding of the relationship between heritage, place and community as well as on how to apply a cultural landscape approach in the management of cities and their broader contexts (Buckley *et al.*, 2016: 96). Moreover, the effectiveness of this approach’s implementation depends on its integration and/or complementarity with local and national regulatory frameworks, with heritage conservation and management policies, with the urban planning and development approval systems as well as with urban development plans. In fact, the introduction of new heritage concepts and innovative approaches for managing change into existing systems means challenging the status quo (Fayad and Reeves, 2016: 24). It requires “not only technical tools, but also a strong intellectual and critical process of interpretation and mediation between multiple conflicting forces, matching different stakeholders’ interests” (Girard, 2013: 10). Therefore, the political support of local governments and stakeholders is continuously required to incorporate this approach into practical policies and actions for urban heritage conservation, management and development, because existing urban management and planning systems and regulatory frameworks, which are often prescriptive elements, cannot be avoided by local urban managers (Buckely *et al.*, 2016: 104).

Only limited research has been conducted on understanding how to integrate this approach into existing urban management frameworks. Martini (2013) carried out an investigation on the historic urban landscape of three Italian small historic towns (Assisi, Ferrara and Urbino). With her research, she defined “a new methodological approach regulating the possibility of conservation/development of historic urban landscapes” (Martini, 2013: 16). She used the six critical steps proposed for the HUL implementation as a basis and improved upon them to develop a more coherent methodological approach. However, while she stresses the need to “constantly integrate existing planning instruments and conservation strategies” and the importance of existing heritage conservation and urban planning tools in urban heritage conservation, management and development, she does not specify how the proposed approach could be integrated within existing policies (*ibid.*: 5, Vol. 2).

2.5 Identifying a Gap in the Existing Literature

The challenges identified during these early implementation experiments underline the necessity of finding ways of implementing the new paradigm for urban heritage conservation and management. The paradigm has already been theoretically defined in the 21st century international discourse, however it still need to be integrated into other local practices in historic urban environments, which must take “full account of the instruments already in place” (Ripp and Rodwell, 2016: 85). In order to help fill this gap, the book published in 2015 entitled *Reconnecting the city – The Historic Urban Landscape Approach and the Future of the Urban Heritage* tried to “assemble a range of professional practices and viewpoints related to urban management to broaden the scope and reach of the HUL as a conceptual framework and operational approach” (Bandarin and Van Oers, 2015: xiii). This book provided a “toolkit” with a great variety of instruments and approaches for the conservation and management of the urban heritage, and aimed to advance the methodology for implementing the HUL approach on the global scale, while advocating for local solutions to its management.

However, many of the tools proposed in the *HUL Recommendation* for the implementation of the new paradigm are already used by cities. Using the concept of the historic urban landscape as a basis, some studies were carried out in order to investigate how existing tools (e.g. knowledge tools like *Open Geodata*, *Volunteered Geographic Information* or other digital *platform*) can be used to safeguard and enhance urban heritage (Abis *et al.*, 2013; Widodo *et al.*, 2017). Conversely, other studies focused on the use of the holistic approach promoted by the *HUL Recommendation* for a revision of local urban planning, management or development tools and the revision of buffer zone boundaries in order to include parts of the city that were considered in separated or disconnected in previous plans and tools (De Rosa and Di Palma, 2013; Kudumović, 2015; Juma, 2016). There was also a call to include urban heritage’s intangible attributes and values that were not taken into consideration (Re, 2016), and/or to include a participatory process in their definition (Ripp *et al.*, 2011b; De Rosa, 2014).

However, the actual level of integration of heritage policies in urban development frameworks is largely understudied. There is a distinct need to develop systematic assessment methodologies to adequately assess the gap between cultural heritage management and sustainable urban development (Bond

et al., 2004; Nijkamp and Riganti, 2008; Pereira Roders and Van Oers, 2011a: 6; Bandarin and Van Oers, 2012; Veldpaus, 2015). Recent research tried to provide further clarification on this aspect. Landorf conducted a study that focused on the integration of principles of urban sustainable development into management plans of six WH industrial properties in the UK (Landorf, 2009; Landorf, 2011). She demonstrated that there is a gap between the theoretical discourse on sustainable development and its practical implementation into current urban management frameworks. Furthermore, Fraire investigated the relationship between management plans and urban planning tools in three Italian WH properties. He demonstrated how management plans for WH properties are not always integrated into urban planning tools, showing that the integration between different urban management tools is still a critical element (Fraire, 2011).

Moreover, assuming that in order to effectively implement the new paradigm for urban conservation and management into local urban management systems, an assessment on how existing urban management systems, policies and regulatory frameworks is urgently needed (Bennik *et al.*, 2013; Veldpaus *et al.*, 2013: 15; Pereira Roders and Veldpaus, 2013; World Heritage Centre, 2013; Tanguay, *et al.*, 2014: 19; Bandarin and Van Oers, 2015; Veldpaus, 2015). This is essential, as the successful implementation of the new paradigm needs to relate to these requirements. This is true both in case of integrating the paradigm into existing frameworks and in case of developing new policies and tools. Furthermore, considering that the new paradigm for urban heritage conservation and management evolved from previous urban heritage conservation theories and practices, some of its principles may already be incorporated into existing policies and practices. As underlined by Ripp and Rodwell, this is particularly relevant for countries where conventional top-down urban conservation policies are in place, such as in Europe, which has a long history in the urban heritage field (Ripp and Rodwell, 2016: 85).

In order to fill in this gap, Veldpaus developed a policy analysis tool in order to reveal and discuss the differences between supra- and subnational levels of governance, focusing on the integration of a landscape approach in urban and heritage planning (Veldpaus, 2015: 27).⁶⁵ The tool aimed to understand which urban heritage's attributes and values were taken into account by local policies and why, as well as what kind of actors are involved in the implementation of these policies. Moreover, it assessed how these policies were implemented

⁶⁵ See *Section 3.2.1* "Phase 1: A Review of Existing Analytical Frameworks".

according to the six critical steps proposed for the HUL implementation. The policy analysis tool was tested in Amsterdam (The Netherlands) through a series of three workshops. However, Veldpaus' policy tool was not able to assess the "appropriateness of subnational policies or rate their successfulness" (*ibid.*: 81), but helped to start a discussion on the HUL implementation with local policies officers in Amsterdam, which can now reconsider the policies on the basis of the obtained results (*ibid.*: 98). However, she looked at the overall heritage and urban planning system in Amsterdam, without carrying out a detail critical assessment of how the different heritage and urban planning policies currently operate and incorporate key principles of the new paradigm for urban heritage conservation and management. A critical analysis of existing policies was done with a preliminary version of the method (Pereira Roders and Veldpaus, 2013), previously tested in the city of Edinburgh and Amsterdam (Bennik *et al.*, 2013; Bruin *et al.*, 2013). In both cities, heritage and urban policies were assessed on how the first point of the HUL action plan was incorporated.⁶⁶ These studies were carried out through a content analysis of heritage and planning documents, with the help of semi-structured interviews in the case of Edinburgh (UK). However, the analyses concentrated on heritage and planning tools and only a limited number of urban management documents were evaluated (e.g. Periodic reports, Management and Local Development Plans were missed).

De Montis, instead, focusing on regional planning documents, assessed and compared six national landscape planning systems in order to understand the impact of the *European Landscape Convention* on them (De Montis, 2014).⁶⁷ He also assessed ten Italian landscape plans to evaluate their level of coherence with the principles of the *European Landscape Convention* (De Montis, 2016).⁶⁸ Other comparative studies have been conducted in this field by Pickard (Pickard, 2002a; Pickard, 2002b). They focused on a comparison of different European management policies and planning mechanisms in historic centres,⁶⁹ of European

⁶⁶ "To undertake comprehensive surveys and mapping of the city's natural, cultural and human resources" (UNESCO, 2011c: 50).

⁶⁷ They included the planning systems of the following countries: Catalonia (Spain), France, Italy, Switzerland, the Netherlands and the United Kingdom.

⁶⁸ They included the landscape plans of the Italian regions of Apulia, Calabria, Campania, Lazio, Lombardia, Piedmont, Sardinia, Tuscany, Trento, Umbria and Veneto.

⁶⁹ The comparison involved the following historic centres: Bruges (Belgium), Telč (Czech Republic), Ribe (Denmark), Rochefort (France), Erfurt (Germany), Old Tbilisi (Georgia), Dublin (Ireland), Venice (Italy), Riga (Latvia), Malta, Santiago de Compostela (Spain) and Newcastle upon Tyne (United Kingdom).

laws and policies on the protection of architectural and archaeological heritage,⁷⁰ and of European area-based protection mechanisms for heritage conservation.⁷¹ However, all these studies were incomplete, both in terms of the object of the evaluation (not all the key principles of the new paradigm for urban heritage conservation and management were taken into consideration) and in terms of the materials assessed (they did not take into consideration urban management policies belonging to the three sectors of urban heritage conservation, urban planning and socio-economic development), leaving the field open for additional studies.

In this context, recent research has positively contributed to the advancement of knowledge in this field, however, many authors stress the importance of carrying out further research to assess how urban management systems currently operate (Bennik *et al.*, 2013; Pereira Roders and Veldpaus, 2013; World Heritage Centre, 2013; Bandarin and Van Oers, 2015; Veldpaus, 2015). They also stressed that these urban management systems should be discussed in relation to their strengths and weaknesses, opportunities and threats (Pereira Roders and Van Oers, 2014: 9). Moreover, further research is needed to investigate how to integrate the new approach into existing and consolidated systems (Ripp and Rodwell, 2016). It is also necessary to carry out comparative studies to improve our understanding of how different kinds of approaches to urban heritage conservation, management and development work in different countries and to develop innovative methods for comparisons (Van Oers and Pereira Roders, 2014: 127; Veldpaus, 2015: 151). Therefore, carrying out further assessments and comparisons of current urban management policies that consider the three sectors of heritage conservation, urban planning and socio-economic development concomitantly, is an aspect of research that truly needs a further study. Without it, the current theory of urban conservation will struggle to develop into a real integration with development into urban management and planning strategies.

⁷⁰ The comparison involved the following countries: Belgium, the Czech Republic, Denmark, France, Germany, Georgia, Ireland, The Netherlands, Spain and the United Kingdom.

⁷¹ The comparison involved the following six European countries: Czech Republic, Denmark, France, Germany, Spain and the United Kingdom (England).

2.6 Conclusion

The need to balance urban heritage conservation and development in historic urban environments has been a central argument in international debate of the 21st century. By retracing the evolution of a 21st century international approach to urban heritage conservation, management and development, this chapter has illustrated how a “new paradigm for urban heritage conservation and management” has gradually taken shape since the beginning of the 21st century in order to respond to current challenges in historic urban environments (from small villages to large metropolis) around the world. While influenced by urban heritage conservation theories and approaches developed over the 20th century, as well as by the evolution of the international urban heritage conservation discourse over the second half of the 20th century, the development of this paradigm represents the most recent international contribution in the identification of a new holistic urban management framework for reconciling heritage conservation with sustainable urban development. It incorporates the three perspectives of heritage conservation and management, urban planning and socio-economic development, promoting a participatory and human rights-based approach.

The key principles of the new paradigm for urban heritage conservation and management are:

- the extension of the concept of urban heritage conservation from single monuments or urban areas to entire historic urban landscapes (from “isolated” to “holistic”);
- a greater importance given to the layering and interconnection of urban heritage tangible and intangible attributes and values (from “material-based” to “value-based”);
- the recognition of change and evolution as an integral part of urban conservation policies (from “intolerance to change” to “management of change”);
- the integration of urban heritage conservation within the larger goals of sustainable development and its incorporation into urban management, planning and development instruments and policies (from “separation” to “integration”);
- the encouragement of stakeholders’ dialogue and collaboration as well as the involvement of local communities in heritage conservation and

management (from “exclusive”, “top-down” and “expert-driven” to “inclusive”, “bottom-up” and “human rights-based”).

The implementation of this approach suggests a major shift from a traditional and mono-disciplinary vision of urban heritage conservation to an integrated and participatory management of change (De Rosa, 2014). However, this approach involves new challenges and a revision of conventional urban heritage conservation and management systems that proved to be inadequate in dealing with change in urban environments (UNESCO, 2010; Leitão, 2011; Van Oers and Pereira Roders, 2012; Martini, 2013; Bandarin and Van Oers, 2012). This chapter outlined some of the challenges for the practical implementation of the new paradigm for urban heritage conservation and management into local urban management systems, especially where consolidated practices and tools for urban heritage conservation, urban planning and socio-economic development are already in place. Finally, it showed that there is a need to develop further research in order to bridge the gap between defining the theoretical principles of the 21st century approach and their practical implementation. The following chapter “*Linking Theory with Practice: Methodological Approach*” explains how this research contributes in filling this gap.

Chapter 3

Linking Theory with Practice: Methodological Approach

Introduction

This chapter illustrates the aim of this research, which is to assess, compare and discuss how existing urban management systems in historic urban environments currently incorporate the key principles of a 21st century international approach to urban heritage conservation, management and development. It explains the methodology used to carry out the assessment and illustrates how it was possible to compare different kinds of urban management policies in the same case study or in different case studies. The chapter is divided into six main sections. *Section 3.1* briefly outlines the research purpose and how the study addressed to the main research question. *Section 3.2* explains how it was possible to assess urban management policies in relation to the 21st century international approach. This section presents the original assessment frameworks developed by the author to systematically assess the consistency of different types and levels of urban management policies in historic urban environments (local practices) in relation to the new paradigm for urban heritage conservation and management (international theory). *Section 3.3* illustrates the research setting and the criteria for the selection of the case studies - Florence (Italy) and Edinburgh (UK) - which worked also as pilot cases for testing the framework. *Section 3.4* explains how the assessment framework was tested on the two case studies and presents a list of urban management policies that were selected for carrying out the assessment. *Section*

3.5 explains how selected urban management policies, evaluated through the assessment framework, were integrated with qualitative data collected from semi-structured interviews carried out with local stakeholders. Moreover, it demonstrates how additional information, in relation to the WH properties, was necessary to improve the critical analysis of the two urban management systems and underlines the methodology used for this part of the assessment. Finally, *Section 3.6* highlights the key points that emerge in this chapter and critically discusses the assessment framework developed by the author in relation to its outcomes, whilst looking for future improvements.

3.1 Research Purpose and Methodology

The literature review in *Chapter 2* highlights the need for further research into how existing urban management systems, policies and regulatory frameworks work, and how they can contribute to implementing the 21st century international approach to urban heritage conservation, management and development. To improve existing policies and practices, it is essential to understand the level of consistency between current urban heritage policies and systems and the principles of the new paradigm for urban heritage conservation and management. However, there is a lack of comprehensive research or comparative studies on the three sectors of heritage conservation, urban and territorial planning, and socio-economic development. In order to fill in this gap, this research aims to address the **Research Question (RQ) 1**: “*Has a 21st century international approach to urban heritage conservation, management and development already been incorporated into existing urban management policies in WH cities and how? How far do local practices depart from international theory?*”

This study aims to assess whether key principles from the new paradigm for urban heritage conservation and management, identified in *Chapter 2*, have already been incorporated into existing urban management policies, and if so, how they were incorporated. The research reveals the level of consistency of existing urban management policies with the current status of the international theory (UNESCO, 2002; UNESCO, 2005d; UNESCO, 2011b; ICOMOS, 2011b; United Nations, 2015; UNESCO, 2015b; United Nations, 2016). This study advances knowledge in the field of urban heritage conservation and management, providing a systematic understanding of how current management systems operate in relation to the key principles of the 21st century international approach. It highlights existing discrepancies between local practices and the principles of

the new paradigm for urban heritage conservation and management, which could be the starting point for a reflection on future policies' improvements. Furthermore, this study identifies the strengths and weaknesses of existing urban management systems in dealing with the contemporary challenges, which often arise due to conflicting needs between urban heritage conservation and development in historic urban environments. Moreover, the research provides comparisons between different approaches to urban heritage conservation, management and development. Finally, this research intends to underline the opportunities and threats that could affect any improvement in existing urban management systems and how they can better integrate the 21st century international approach into local practices, thereby opening the field for additional academic studies and practical experiments. With these goals in mind, the author developed an original evaluation tool to systematically assess the consistency of different kinds and levels of urban management policies in relation to the international theory. This assessment framework serves as a research method that can compare the results obtained through its application on different urban management policies, as well as between urban management policies of different cities, thereby increasing the theoretical and practical understanding. This research aims to have an impact both in theory and in practice.

With the aim of answering the identified research question, the study was conducted according to the following methodology, which involved the following five methodological phases (explained in the following sections):

1. A review of existing analytical frameworks (*Section 3.2*)
2. Definition of an original policy assessment framework (*Section 3.2*)
3. Definition of the research design and selection of case studies (*Section 3.3*)
4. Testing the framework on the two case studies (*Section 3.4*)
 - a. Defining a sample of urban management policies which will be assessed for each case study
 - b. Testing the framework on case study 1
 - c. Testing the framework on case study 2
5. Integrating the results with semi-structured interviews with local stakeholders for each case study and with additional information related to WH properties (*Section 3.5*).

3.2 Evaluating Urban Management Policies: Building Up an Original Assessment Framework

3.2.1 Phase 1: A Review of Existing Analytical Frameworks

A fundamental aspect of this research was assessing the coherence level between urban management policies and key principles of the 21st century international approach. The first methodological step employed in this assessment consisted of exploring potentially useful existing analytical frameworks. This section aims to address the **Research Question 3 (RQ3)**: “*How can urban management policies be assessed in relation to a 21st century international approach to urban heritage conservation, management and development?*” A critical review of existing methods of assessing heritage and urban management documents was carried out to provide an overview to this question. After the literature review, six assessment frameworks related to policy document analysis in the field of tourism planning, WH site management and historic urban landscapes were considered (Simpson, 2001; Ruhanen, 2004; World Heritage Centre, 2008a; Landorf, 2009; Re, 2012; Veldpauw, 2015). Only the most relevant, in relation to the research scope and field, were considered in the assessment. These frameworks are critically discussed in the following paragraphs to understand why and how they could be applied to reach the research scope.

Landorf (2009) developed an analytical framework to carry out a descriptive qualitative content analysis of the management plans of six WH industrial sites in the UK. The framework consisted of a simplified version of a quantitative coding instrument developed by Simpson (2001). It enabled her to evaluate to what extent the principles of sustainable development had been incorporated into a sample of tourism management plans in New Zealand. Simpson’s instrument was later adapted by Ruhanen (2004) to her research scope and it was transformed into a qualitative instrument that allowed her to have a greater flexibility in the evaluation of a sample of 30 tourism plans in the state of Queensland, Australia. This choice was mainly due to a fundamental difference in the assessors’ designation: Simpson used three different evaluators to meet the quantitative requirements of his study, while the evaluation carried out by Ruhanen was conducted solely by the researcher. In turning the quantitative instrument into a qualitative tool, Ruhanen used a three-point Likert type scale (analogous to the more quantitative Likert scale) to evidence whether each coding element was

evident, somewhat evident or not evident in the documents assessed. Landorf retained the first four dimensions defined by Simpson,⁷² but further simplified the instrument by reducing the number of coding items and admitting only a forced evident/not evident coding response, rather than the three-point scale used by Ruhanen to make the analysis as objective as possible. These three assessment frameworks allow the policy documents to be assessed in relation to a theoretical framework based on the principles of sustainable development, which include a long-term and holistic planning process and the participation and empowerment of multiple stakeholders in that process (Landorf, 2009: 500). The assessment is carried out thanks to a series of coding items that, qualitatively or quantitatively, provide greater objectivity to the analysis (Simpson, 2001: 35-27; Ruhanen, 2004: 244-245; Landorf, 2009: 502). However, the coding items were built with a different research scope, as they only focused on how local policies incorporate the principles of sustainable development. Nevertheless, they did not consider all of the key principles of the new paradigm for urban conservation and management. Aspects, such as the comprehensiveness of urban management policies (in terms of territorial extension, attributes and values considered) and the recognition of urban dynamics, pressures and factors that affect the properties and the identification of limits of acceptable change, were excluded from the analysis.

The operational frameworks developed by SITI⁷³ and by the WH Centre provide a different kind of analytical framework to assess the effectiveness of WH site management (World Heritage Centre, 2008a: 19-67; Re, 2012: 45-90). The model developed by SITI was designed to evaluate the management effectiveness of Italian UNESCO sites. In particular, it looked at planned projects and at the impacts generated by such projects on heritage sites as well as on the local context (Bertini *et al.*, 2012: 206-207). The model was based on the preliminary experience of *Enhancing our Heritage Toolkit*, a model developed by the World Heritage Centre to evaluate and monitor natural WH sites (World Heritage Centre, 2008a). This model was tested on three natural sites as pilot projects (*ibid*: 69-85).⁷⁴ The model initially proposed by the WH Centre was further developed by incorporating the DPSIR (Driving forces, Pressures, States, Impacts, Responses) framework, which had already been adopted by the European Environment

⁷² Section A (stakeholder participation), Section B (vision and values), Section C (situation analysis), Section D (goals and objectives), Section E (implementation and review).

⁷³ The Higher Institute on Territorial System for Innovation, located in Turin (Italy). For more information see: www.siti.polito.it

⁷⁴ The model was tested on the following natural sites: Keoladeo National Park, India; Sangay National Park, Ecuador; Bwindi Impenetrable National Park, Uganda.

Agency in its reporting activities (Smeets and Weterings, 1999: 4). SITI applied the DPSIR framework to WH cultural properties.

The model developed by SITI is divided into four main sections (*A-Site identification; B- Management system; C-Impacts; D-Outputs*) and involves both quantitative and qualitative indicators. Considering the scope of this research, the indicators proposed for the section *B.1- Protection* are particularly relevant as they are strictly related to the evaluation of local tools and instruments for territorial governance, protection and planning (Re, 2012: 64-67). The indicators are formulated under the form of a question to which it is possible to answer with 4 possible options with an associated score from 4 (representative of an optimal situation) to 1 (critical situation). The assignment of scores was directly established by the researcher conducting the study and then verified by formal meetings held with local stakeholders. While the framework was specifically focused on WH site management, and in particular on WH management plans, some of the proposed indicators and the structure of the evaluation tool could be taken into account in the definition of an ad-hoc assessment framework to fit the purpose of this research. The four possible options allow a greater differentiation while carrying out an evaluation, particularly if compared to Landorf, Ruhanen and Simpson's examples, providing a more complex view of the urban management system under analysis.

Finally, the only policy analysis tool that entirely focused on the HUL approach, and therefore on a more holistic and comprehensive approach to the cities' urban management, is the framework developed by Veldpaus (2015). She developed a method, or better 'a taxonomy', to assess how subnational urban and heritage policies integrate supranational policies (HUL approach) and make a "comparison of heritage policies and projects to reveal trends and differences in time, place and scale" (Veldpaus, 2015: 26). This method was developed in order to overcome the limits of current literature on the HUL approach, which is mostly based on one or few case studies (Ripp *et al.*, 2011b; Abis *et al.*, 2013; De Rosa and Di Palma, 2013; De Rosa, 2014; Kudumović, 2015; Juma, 2016; Re, 2016; Widodo *et al.*, 2017). Based on the study of three theoretical frameworks which analysed supranational heritage policies developed by Pereira Roders, Van Oers and Landorf, she derived common denominators as illustrated in Figure 14

(Pereira Roders, 2007: 47-48; Van Oers, 2007: 49-50; Landorf, 2009: 502)⁷⁵. These denominators were turned into the following four main questions:

- What is to be defined as heritage?
- Why is something to be defined as heritage?
- How is heritage to be managed?
- Who is to be involved in heritage definition and management?

Pereira Roders (2007)	Object	Site	Aims, Values	Actions, Tools	Time	Actors
Van Oers (2007)	Definition		Principles, Threats	Tools, Strategies		—
Landorf (2009)	Situational analyses		Values, attitudes, objectives	Strategic orientation		Stakeholder participation
Common denominators	What	Where	Why	How	When	Who
	WHAT (and where) is heritage		WHY do we protect and WHY is something considered heritage	HOW is it managed, when, and with what (process & tools)		WHO is involved in heritage management

Figure 14: Comparative analysis of the theoretical frameworks analysed by Veldpaus in order to identify common denominators. Source: Veldpaus, L. (2015). *Historic Urban Landscapes: Framing the Integration of Urban and Heritage Planning in Multilevel Governance*. Vol. 207. Eindhoven: Eindhoven University of Technology, Eindhoven, The Netherlands, p. 61.

Considering these common denominators, she carried out a systematic in-depth comparative analysis of seven key doctrinal documents that show an evolution in heritage theory in urban environments (Veldpaus, 2015: 60). The results of the pre-coding questions were then transformed into a set of categories and subcategories, which built a domain-dependent descriptive taxonomy for heritage management that underlined what can be considered heritage, why it is considered heritage and who is involved in the context of heritage and urban policies.⁷⁶ These three categories (divided in sub-categories) were then related

⁷⁵ These three theoretical frameworks are not critically analysed in this section as they aim to underline main categories for analysing supranational heritage policies, but not a specific tool to assess local urban management policies.

⁷⁶ The seven key doctrinal documents were examined in relation to an analytical framework developed by Veldpaus, applying the same feature template to each document scrutinised.

through a Leopold Matrix to eight process steps defining how the heritage may be managed (Leopold *et al.*, 1971: 4-6; Veldpaus, 2015: 81).

The policy analysis tool developed by Veldpaus was tested in Amsterdam through the help of three workshops, which involved focus group interviews with local governmental stakeholders related to heritage and urban policies. These workshops intended to evaluate the validity of the designed tool. However, it can also be applied to the analysis of urban management documents, UNESCO nomination dossiers, periodic reports and other relevant materials. The taxonomy “can be understood as a way to ‘break down’ the concept of heritage, specifying attributes, values and stakeholders” through an evident/not evident answer (*ibid.*: 95). Therefore, it allows a researcher to identify urban heritage’s attributes, values and stakeholders involved in urban management policies and how they are managed. However, this policy analysis tool does not provide additional information on the level of integration of the HUL approach’s theoretical principles (or the new paradigm of urban conservation and management), but only identifies their presence through an evident/not evident answer.

This research aims to assess how existing urban management policies currently incorporate the key principles of the 21st century international approach. However, it became evident after revising the assessment frameworks presented in this section, that there was a need to build an innovative framework to achieve this objective. This evaluation tool was based upon the frameworks previously discussed in order to move forward. The following section describes how this innovative framework was developed and its original characteristics. Moreover, Table 1 shows a comparison between the main characteristic elements of the frameworks presented in this paragraph and the innovative framework developed by the author, pointing out their objectives, fields of application, typology, research samples, data sources, assessor(s) and type of rating.

Table 1: Comparison between the assessment frameworks presented in this paragraph and the innovative framework developed by the author (Giliberto, 2017) in relation to their objective, field of application, typology, research sample, data source, assessor(s) and type of rating.

	Simpson (2001)	Ruhanen (2004)	Landorf (2009)	World Heritage Centre (2008)	SITI (2012)	Veldpaus (2015)	Giliberto (2017)
Objective	To assess the extent of the integration of the principles of sustainable development into regional destination tourism approaches	To determine to what extent sustainability principles were integrated into the tourism planning process	To identify to what extent each management plan integrates the four key dimensions of sustainability	To assess the effectiveness of the management natural World Heritage sites	To evaluate the effectiveness of Italian cultural World Heritage sites' management	To reveal the disparities, similarities and complementarities between the HUL approach (supra-national policy) and subnational policies, and to monitor changes in urban policy	To assess the coherency of urban management policies, in relation to the 21 st century international approach to urban heritage conservation, management and development
Field of application	Tourism planning	Tourism planning	World Heritage management	World Heritage management	World Heritage management	Heritage and urban planning policies	Urban management policies
Typology	- Academic - Quantitative	- Academic - Qualitative	- Academic - Qualitative	- Operational - Qualitative	- Operational - Qualitative and quantitative (indicators)	- Academic - Qualitative	- Academic - Qualitative
Sample	19 New Zealand tourism planning documents	Tourism plans of 30 local tourism destinations in Queensland, Australia	Management plans of 6 World Heritage industrial sites in the UK	Natural World Heritage sites (it was tested on 3 sites as pilot projects)	Tested on 8 Italian World Heritage sites	Urban and heritage local policies. The framework was tested on Amsterdam (World Heritage site)	Heritage conservation, urban planning and socio-economic development policies. The framework was tested on the two WH cities of Florence (Italy) and Edinburgh (UK)
Data source	Evaluation given by three independent reviewers. At the end, the three evaluations were aggregated and resulted in a final score.	Directed content analysis of the tourism plans	Directed content analysis of the management plans	- Analysis of relevant management documents - Interviews with local stakeholders	- Document content analysis - Interviews with local stakeholders	Focus groups with Amsterdam's urban and heritage local stakeholders.	Document content analysis
Assessor(s)	Three independent reviewers	- The researcher	- The researcher	- Researchers - Workshops or meetings with local stakeholders to compile and verify the rating	- Researchers - At the end of the assessment, a meeting with local managers were organised to validate the assessment quality	Urban and heritage local stakeholders (through focus groups)	The researcher
Type of rating	A score from 0 to 3: 0 = The item was omitted/ignored as a component of the subject planning approach; 1 = The item was regarded as a peripheral/incidental component of the subject planning approach; 2 = The item was regarded as a valuable/useful component of the subject planning approach; 3 = The item was regarded as an essential/vital component of the subject planning approach.	A three-point Likert type scale: - Evident; - Somewhat evident; - Not evident.	Two possible answers: - Evident; - Not evident.	A 4-grades scale: - Poor; - Fair; - Good; - Very Good. The description of each grade is specifically defined for each coding item.	4 possible answers with a graduate scale of score: from 4 - <i>optimal situation</i> to 1 - <i>critical situation</i> .	Three possible answers: - No, don't know; - Yes, for heritage resources (designated); - Yes, for all urban resources.	5, 4 or 3 possible answers with a graduate scale of scores in relation to the different kind of qualitative indicators: - From 4 (highest coherence) to 0 (no coherence); - From 3 (highest coherence) to 0 (no coherence); - From 2 (highest coherence) to 0 (no coherence)

3.2.2 Phase 2: Definition of An Original Policy Assessment Framework

This section presents the original policy assessment framework developed by the author with the aim of addressing the **RQ3**. Its purpose is to provide a qualitative assessment tool to assess the coherence of urban management policies operating in historic urban environments, in relation to the international approach. It also aims to provide an original methodology for carrying out the study. The following paragraphs describe the construction process of the policy analysis tool; how it was defined based on frameworks presented in the previous section; and how it adopted some of their features in terms of typology, data source, assessor(s) and/or type of rating.

The literature review in *Chapter 2* demonstrated that the characteristic elements that form the new paradigm for urban conservation and management are based on four main principles. They include the extension of the concept of urban heritage conservation, taking into consideration the entire city and its surroundings as well as the greater importance given to the historical layering and the interconnection of tangible and intangible attributes and values; the recognition of change and evolution as an integral part of urban heritage conservation policies as well as of the urban heritage as a dynamic entity; the integration of urban heritage conservation and management with urban planning and development strategies, according to sustainability principles; finally, the encouragement of stakeholders' dialogue and the involvement of local communities in the identification, conservation and management of urban heritage attributes and values. Following the methodology used by Simpson (2001) and Landorf (2009) in the development of their analytical frameworks, the key concepts underlined in the international theory were transformed into four specific sections of the assessment framework developed by the author:

1. Comprehensiveness of the urban heritage;
2. Management of change;
3. Integration between policies, sectors and actors;
4. Participation, dialogue and community involvement.

Then, each section was divided into four or five qualitative coding items (indicators) under the form of a question (Sections 1, 2 and 4 are divided into four

and section 3 into 5). Similarly to Re's assessment framework (2012), for instance, it delineates specific operational parameters to be considered during the analysis. It is possible to answer to each question through an associated qualitative grade defined by a numerical score. Considering the qualitative nature of the selected coding items, the definition of scores varies in relation to the different kinds of coding items. This variation allows a certain degree of flexibility in the definition of the possible answers, in accordance with the model proposed by the WH Centre in 2008 (World Heritage Centre, 2008a). This model ranges as follows:

- From 4 (highest coherence with the international theory) to 0 (no coherence) for *coding items 1.A* and *1.B*;
- From 3 (highest coherence with the international theory) to 0 (no coherence) for *coding items 1.C, 1.D, 3.A, 3.C, 4.A, 4.B, 4.C* and *4.D*;
- From 2 highest coherence with the international theory) to 0 (no coherence) for *coding items 2.A, 2.B, 2.C, 2.D, 3.B, 3.D* and *3.E*.

The scores associated with each coding item help to provide a rapid comparison between the results obtained during the assessment of different kinds of urban management policies. The assessment process of each urban management policy, in relation to the coding items and related scores, is explained in *Section 3.4.2*. Furthermore, the coding notes of the assessment carried out in this research are available in *Annex 13*. The whole framework, divided in these main sections with their related coding items and rating scores, is presented in Table 2 and is described in the paragraphs below.

The first section "*Comprehensiveness of the urban heritage*" aims to understand to what degree these selected policies take into consideration urban heritage attributes and values in their policy actions and objectives. It aims to assess the distribution of the urban heritage attributes identified by each document in their urban environments (*coding item 1.A*), to underline if there is an interconnection between urban heritage's tangible and intangible values (*coding item 1.B*) and if urban heritage's values are linked to documents' objectives and actions (*coding item 1.C*). Finally, it highlights whether the document proposes actions for both natural and urban attributes (*coding item 1.D*). The second section "*Management of change*" aims to assess whether the dynamics of change (structural, social, functional) of the urban environment (*coding item 2.A*), as well as of the attributes and values of the urban heritage (*coding item 2.B*), are identified in the selected documents. Moreover, it underlines whether pressures

and factors affecting the urban heritage are highlighted and taken into consideration in the development of the proposed actions (*coding item 2.C*) and whether limits of acceptable change for urban heritage attributes and values are identified and regulated (*coding item 2.D*).

The third section “*Integration between policies, sectors and actors*” focuses on the degree of integration between the assessed documents and the other plans involved in the urban management (*coding item 3.A*). It underlines whether different urban management sectors are involved in the definition of the policy actions (*coding item 3.B*). Furthermore, it highlights whether the document envisages the cooperation between the different levels of stakeholders involved in the urban management system (*coding item 3.C*) or between public and private actors (*coding item 3.D*). It also assesses if the document provides specific measures for conservation, protection, management and enhancement of the attributes and values of the WH property (*coding item 3.E*). Lastly, the fourth section “*Participation, dialogue and community involvement*” evaluates whether different levels (*coding item 4.A*) or kinds (*coding item 4.B*) of stakeholders are involved in the definition of the document’s objectives and actions. Moreover, it highlights to what degree and how the local community is involved (actively participate, consulted, informed) in the definition of the policy actions (*coding item 4.C*) and in the definition of the values/attributes of the urban heritage (*coding item 4.D*).

Table 2: The policy assessment framework developed by the author divided in four main sections with related qualitative coding items and associated scores. Each coding item is formulated under the form of a question referred to the urban management policy (“document”) that is being assessed.

SECTION 1 – COMPREHENSIVENESS OF THE URBAN HERITAGE	
1.A Does the document comprehensively identify urban heritage attributes?	<ol style="list-style-type: none"> 4. The document identifies urban heritage attributes in the whole city and its surrounding landscape. 3. The document identifies urban heritage attributes in the whole city. 2. The document identifies urban heritage attributes in a portion of city. 1. The document identifies urban heritage attributes referring to single elements. 0. The document does not identify any urban heritage attribute.
1.B Does the document recognise the interconnection between urban heritage’s tangible and intangible attributes and values?	<ol style="list-style-type: none"> 4. The interconnection between tangible attributes, intangible attributes and values is explicitly identified. 3. The interconnection between tangible attributes, intangible attributes and values is implicitly identified. 2. The interconnection between tangible attributes and intangible attributes or values is explicitly identified. 1. The interconnection between tangible attributes and intangible attributes or values is implicitly identified. 0. The interconnection between tangible attributes and intangible attributes or values is not recognised.
1.C Does the document link urban heritage values to its objectives and actions?	<ol style="list-style-type: none"> 3. Urban heritage values are explicitly linked to the document’s norms/objectives/actions. 2. Urban heritage values are implicitly linked to the document’s norms/objectives/actions. 1. Urban heritage values are not linked to objectives and actions. 0. Urban heritage values are not identified.
1.D Does the document identify both urban and natural attributes?	<ol style="list-style-type: none"> 3. The document identifies urban and natural attributes as well as their relationships. 2. The document identifies urban and natural attributes, but not their relationships. 1. The document identifies only urban or natural attributes. 0. The document does not identify any urban or natural attribute.
SECTION 2 – MANAGEMENT OF CHANGE	
2.A Are general dynamics of change (structural, social, functional) identified?	<ol style="list-style-type: none"> 2. Dynamics of change are identified and taken into consideration in the definition of the document’s actions and objectives. 1. Dynamics of change are identified, but are not taken into consideration in the definition of the document’s actions and objectives. 0. Dynamics of change are not identified.
2.B Does the document recognise the dynamic and evolutionary component of heritage (attributes and values)?	<ol style="list-style-type: none"> 2. The dynamic and evolutionary component of urban heritage is identified and is taken into consideration in its actions and objectives. 1. The dynamic and evolutionary component of urban heritage is identified, but is not taken into consideration in its actions and objectives. 0. The dynamic and evolutionary component of urban heritage is not recognised.

<p>2.C Are pressures and factors affecting the urban heritage identified?</p>	<p>2. Pressures and factors affecting the urban heritage are identified and taken into consideration in the definition of the document’s actions and objectives. 1. Pressures and factors affecting the urban heritage are identified, but are not taken into consideration in the definition of the document’s actions and objectives. 0. Pressures and factors affecting the urban heritage are not identified.</p>
<p>2.D Are limits of acceptable change for urban heritage identified and regulated?</p>	<p>2. Limits of acceptable change are identified and regulated by the document. 1. Limits of acceptable change are identified and oriented by the document. 0. Limits of acceptable change are not identified.</p>
<p>SECTION 3 – INTEGRATION BETWEEN POLICIES, SECTORS AND ACTORS</p>	
<p>3.A Is the document integrated with other plans and/or tools involved in urban management?⁷⁷</p>	<p>3. Other plans and/or tools are identified and specific mechanisms are included to provide for integration or linkage now and in the future. 2. The document is coherent with other plans and/or tools. 1. Other plans and/or tools are identified but there is no attempt at integration. 0. Other plans and/or tools are not taken into account.</p>
<p>3.B Are different urban management sectors involved in the definition of the document’s objectives and actions?</p>	<p>2. Other urban management sectors are involved in the document’s definition of objectives and actions, and the specific mechanisms are included to provide for integration or linkage now and in the future. 1. Other urban management sectors are involved in the document’s definition of objectives and actions, but specific mechanisms are not included to provide for integration or linkage now and in the future. 0. Other urban management sectors are not taken into account.</p>
<p>3.C Does the document envisage cooperation between different levels of stakeholders in the implementation of its objectives and actions?</p>	<p>3. The document envisages cooperation between all levels of stakeholders (national, regional/provincial and local). 2. The document envisages cooperation between two levels of stakeholders. 1. The document envisages cooperation with one level of stakeholders. 0. The document does not envisage any kind of cooperation between stakeholders.</p>
<p>3.D Does the document envisage cooperation and partnership between private and public actors in the implementation of its objectives and actions?</p>	<p>2. The document envisages cooperation between private and public actors and the establishment of official partnerships. 1. The document envisages cooperation between private and public actors, but not the establishment of official partnerships. 0. The document does not envisage cooperation between private and public actors.</p>

⁷⁷ This indicator has been defined revisiting the indicator n°5 of the “Worksheet 5b: Adequacy of Primary Planning Document” of the *Enhancing Our Heritage Toolkit* (World Heritage Centre, 2008a: 36-39).

<p>3.E Does the document provide any specific objective and/or action related to the World Heritage (WH) property(ies)?</p>	<p>2. Reference to the WH property(ies) is clearly stated and it is subject to specific actions and objectives. 1. Reference to the WH property(ies) is clearly stated, but it is not subject to specific actions and objectives. 0. There is no reference to the fact that the city encloses a WH property.</p>
<p>SECTION 4 - PARTICIPATION, DIALOGUE AND COMMUNITY INVOLVEMENT</p>	
<p>4.A Does the document involve the participation of different levels of stakeholders in the definition of its objectives and actions?</p>	<p>3. The document envisages the participation of all levels of stakeholders (national, regional/provincial and local). 2. The document envisages the participation of two levels of stakeholders. 1. The document envisages the participation of one level of stakeholders. 0. The document does not envisage any kind of stakeholders' participation.</p>
<p>4.B Are different kind of stakeholders involved in the definition of document's objectives and actions?</p>	<p>3. The document involves the participation of all kinds of stakeholders (governmental stakeholders, experts and the local community) in the definition of its actions. 2. The document involves the participation of two kinds of stakeholders (governmental stakeholder and experts or the local community) in the definition of its actions. 1. The document involves the participation of only one kind of stakeholders (governmental stakeholders or experts or the local community) in the definition of its actions. 0. The document does not involve a participatory process in the definition of its actions.</p>
<p>4.C Is the local community involved in the document's definition of objectives and actions?</p>	<p>3. The local community actively participates (part of decision-making) in the definition of the document's actions. 2. The local community is consulted in the definition of the document's actions. 1. The local community is informed about the definition of the document's actions. 0. The local community is not involved in the definition of the document's actions.</p>
<p>4.D Is the local community involved in the definition of heritage values/attributes to be preserved and managed?</p>	<p>3. The local community actively participates (part of decision-making) in the definition of heritage values/attributes to be preserved and managed. 2. The local community is consulted in the definition of heritage values/attributes to be preserved and managed. 1. The local community is informed about the definition of heritage values/attributes to be preserved and managed. 0. The local community is not involved in the definition of heritage values/attributes to be preserved and managed.</p>

3.3 Phase 3: Definition of the Research Setting and Case Studies

Once the assessment framework for carrying out the analysis of urban management policies was defined, the third methodological phase consisted in defining the research setting in order to understand the level of coherence of urban management policies in relation to the international theory, and to test the assessment tool. Specific units of analysis (case studies) were chosen with the aim of providing in-depth research insights (Gerring, 2007: 7). Moreover, Veldpaus underlined that “comparative policy studies is an established research field (Benson and Jordan, 2011; Stone, 2012), though very limited research was found specifically in relation to heritage policy” (Veldpaus, 2015: 80). In order to move forward in the field of urban heritage conservation and management, a cross-national setting was selected to develop this study, as the comparison between different national and local approaches to urban heritage conservation, management and development provides additional original knowledge. The comparison is “made possible by the fact that each unit of observation has a systematic coherence and is part of a process, rooted in national specificity” (Hantrais, 2007: 7). Through the assessment and critical analysis of the urban management policies of a case study for each country, and with a comparison of the obtained results, the research aims to increase our understanding of the research subject. It also aims to develop robust explanations of similarities and/or differences, as well as to draw lessons about good practices (*ibid.*: 3) and critical aspects to be aware of, in order to properly implement the 21st century international approach in historic urban environments. The following paragraphs aim to explain the reasons behind the selection of the two case studies in relation to the research scope and originality.

3.3.1 World Heritage Cities as Case Studies

Among all the historic urban environments that exist around the world, World Heritage (WH) cities were chosen as an appropriate sample unit for conducting the study for the following reasons. Firstly, these cities are representative of an urban heritage of outstanding value for the whole of humanity, with a cultural significance recognised by an independent evaluation of international bodies of experts (UNESCO, ICOMOS and ICCROM). Moreover, the key elements (tangible and intangible attributes and values) that define their exceptional urban

heritage as well as their conditions of integrity⁷⁸ and authenticity⁷⁹ are clearly stated in a Statement of Outstanding Universal Value (OUV),⁸⁰ which is necessary for their inscription in the World Heritage List (WHL). This statement as well as other documents related to the nomination process, *State of Conservation* (SOC) reports as well as *Periodic Reports* of the nominated properties are easily accessible⁸¹ to the researcher as they are available online. This enables the identification of urban heritage assets that must be preserved to safeguard the cities' OUV over time, as well as their state of conservation. Secondly, their requirements of development and transformation need to comply with the safeguarding of their outstanding cultural significance, implicating a higher level of protection than in other historic urban environments, dealing with local, national and international protection requirements. In fact, they are regulated by a supplementary level of protection given by the international *Convention Concerning the Protection of World Cultural and Natural World Heritage* (UNESCO, 1972).

Thirdly, a greater international attention is given to them, because, according to Article 10 of the *WH Convention* (*ibid.*), a WH property can be inscribed on the List of World Heritage in Danger if its OUV is threatened by “serious and specific dangers”, including “large-scale public or private projects or rapid urban or tourism development projects” and “destruction caused by changes in the use or ownership of the land” (*ibid.*: Art. 10). In this case, local decision makers have to

⁷⁸ The *Operational Guidelines for the Implementation of the World Heritage Convention* defines integrity as “a measure of the wholeness and intactness of the natural and/or cultural heritage and its attributes. Examining the conditions of integrity, therefore requires assessing the extent to which the property:

a) includes all elements necessary to express its Outstanding Universal Value;
 b) is of adequate size to ensure the complete representation of the features and processes which convey the property's significance;
 c) suffers from adverse effects of development and/or neglect” (UNESCO, 2015a: 18, Art. 88).

⁷⁹ The *Operational Guidelines for the Implementation of the World Heritage Convention* states that “depending on the type of cultural heritage, and its cultural context, properties may be understood to meet the conditions of authenticity if their cultural values (as recognised in the nomination criteria proposed) are truthfully and credibly expressed through a variety of attributes including: form and design; materials and substance; use and function; traditions, techniques and management systems; location and setting; language, and other forms of intangible heritage; spirit and feeling; and other internal and external factors” (*ibid.*: 17, Art. 82).

⁸⁰ The *Operational Guidelines for the Implementation of the World Heritage Convention* states that the “Statement of Outstanding Universal Value should include a summary of the Committee's determination that the property has OUV, identifying the criteria under which the property was inscribed, including the assessments of the conditions of integrity, and, for cultural and mixed properties, authenticity. It should also include a statement on the protection and management in force and the requirements for protection and management for the future. The Statement of OUV shall be the basis for the future protection and management of the property” (*ibid.*: 31, Art. 155).

⁸¹ The Statement of OUV for each WH property and other related documents are available on the WH Centre's website: <http://whc.unesco.org/en/list/>

take important decisions about the realisation of development projects that may affect the OUV of the WH properties and that may cause the delisting of the WH property from the WHL. This makes the tensions between heritage preservation and urban development particularly intense and debated.⁸² Local decision makers are often engaged in dealing with diverging interests and the city management have become more complicated (Pendlebury *et al.*, 2009), often conflicting with contemporary community life in complex heritage sites (Landorf, 2009). Considering the international relevance of these properties, information related to current debates and conflicting interests between different stakeholders are largely covered in the media press, which made it possible to freely access information. Finally, their management can be considered as “exemplary” (Rodwell, 2002) and, according to the *Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the WH Convention*, the WH properties are considered as “global leader[s] and standard-setter[s] of best practice” (UNESCO, 2015b: Art. 6). In this context, WH cities were selected as the challenges that they face in harmonising city development with the safeguarding and enhancement of their outstanding urban heritage may underline good practices and critical aspects to be aware of for other historic urban environments that aim to preserve their urban heritage over time.

3.3.2 A Cross-National Research Setting: Florence (Italy) and Edinburgh (United Kingdom)

Today, more than two hundred heritage sites (207) are included on the WHL as entire or large portions of cities, with the majority of them located in the European context (127 sites). This study focuses on the assessment of current urban management policies operating in two WH cities belonging to two European countries, Italy and the UK. Through the experiences of some of the theorists and practitioners in the field of urban heritage conservation in the UK (John Ruskin, William Morris, Patrick Geddes, Gordon Cullen, Michael Conzen and John Turner) and in Italy (Gustavo Giovannoni, Gianfranco Caniggia, Giancarlo de Carlo and Leonardo Benevolo),⁸³ they have strongly contributed to the definition

⁸² An interesting example in this sense is represented by the case of Liverpool inscribed in the UNESCO WHL in danger in 2012 because the OUV of its WH property denominated “Liverpool-Maritime Mercantile City” is potentially damaged by the possible negative impacts of Liverpool Waters, a major urban redevelopment scheme extended both in the UNESCO site and in its buffer zone. For more information see: Rodwell (2015); Labadi (2016) and Appendino *et al.* (2016).

⁸³ These experiences are presented and discussed in *Chapter 1* “Urban Heritage Conservation in the 20th Century: Approaches in Italy and in the UK and the Evolution of an International Doctrine”.

of the principles of the 21st century international approach highlighted. This research setting was defined based on the hypothesis that, considering that these are two countries where the theory of urban conservation had been developed for over a century, the principles of the new paradigm for urban conservation and management will have probably been already integrated into their current urban management policies (Ripp and Rodwell, 2016: 85). Moreover, they may also constitute good practices and a reference model for other countries and cities around the world that share similar economic and socio-cultural profiles.

Considering the great variety of WH cities in Italy and in the UK,⁸⁴ the study focuses on the two case studies of Florence (Italy) and Edinburgh (UK) that also work as pilot cases for testing the assessment framework: this enables the framework to be tested on two different urban management systems which improves its validity and replicability. The research also provides an in-depth insight into their respective urban management policies and to compare their respective results with the objective of extrapolating more general conclusions (Yin, 1989: 38-39). The two cities were chosen according to the following criteria:

- They have a *large portion of their historic urban environments* (including their whole historic centres) *inscribed in the WHL*, constituting a living urban environment as well as a diffused and interconnected urban fabric which is not limited to isolated elements of urban heritage;
- They are of *medium size dimension* (between 350.00 and 500.000 inhabitants), an urban size that is manageable for an individual investigator and where large amounts of information related to the different layers involved in the multi-sectorial urban governance of WH cities can be acquired within the limited time frame of this research;
- According to the most recent WH Centre periodical reports, urban heritage, composed by exceptional historical layerings of attributes and values, has been preserved over time through adequate regulatory frameworks and conservation tools (World Heritage Centre, 2014a: 4-5; World Heritage Centre, 2014b: 5). The heritage management plans are considered appropriate and fully implemented. However, recent correspondence between local WH site managers and the WH centre, as well as the media

⁸⁴ See *Annex 3* “World Heritage Cities in Italy” and *Annex 4* “World Heritage Cities in the United Kingdom”.

press, show that in the last five years socio-economic pressures and development projects (potential and/or in construction) have threatened the OUV of the two WH properties.

Moreover, these cities show common similarities that can help the comparison between the urban management systems of Florence and Edinburgh:

- They are two metropolitan and commercial centres with approximately the same population;
- They are inscribed in the WHL because of their historic centres and they are among the most visited cities in their own countries;
- They are both under UNESCO observation because of the development projects that have been recently designed in their city centres.

While the analysis could have been extended to a larger number of countries and/or cities, it was decided that the study would focus on two Western European countries, as well as on two specific comparable case studies. Although a great number of cities could have been selected from either country to provide a deeper understanding of the status of local practices in Italy and in the UK, only two case studies were selected as they permitted a greater research accuracy in relation to the time and the financial resources available for carrying out this study. Nevertheless, this research will discuss its relevance by going beyond the two case studies and will discuss its limitations in the *Conclusion*.

3.4 Phase 4: Testing the Framework on the Two Case Studies

3.4.1 Definition of the Urban Management Policies to Be Assessed

After having defined the research setting and the case studies, the fourth methodological phase consisted in testing the assessment framework on each case study. To conduct this study, it was necessary to select and assess urban management policies that existed in both Florence and Edinburgh, with the aim of evaluating their level of coherence with the key principles of the new paradigm for urban heritage conservation and management. The selection of policies was done according to a multi-sectorial and multi-scalar perspective. Multi-sectorial because the research looked at the assessment of the urban management policies operating in the sectors of heritage conservation and management, urban and

territorial planning, economic and infrastructure development, social development as well as sustainability, in a comprehensive manner. Multi-scalar, because the research looked at all the administrative levels (national, regional, provincial, local and WH site) involved in the urban governance of the two case studies. Finally, considering that the new paradigm for urban heritage conservation and management was developed from the beginning of the 21st century, the selection of documents included plans, regulations and strategies adopted from 2000 to 2016. These documents are currently in force in the two urban management systems as they are supposed to be the urban management policies that have a greater level of coherence with the 21st century international approach. According to these criteria, the documents were selected as they recognised all the policies operating in the two case studies related to the years, urban management sectors and levels mentioned above. The full list of these urban management policies is shown in Table 3 (Florence) and Table 4 (Edinburgh).

However, not all of these policies were selected for the assessment. For both case studies, the two strategic plans (*Strategic Plan of Florence Metropolitan City*, Florence and *Strategic Development Plan*, Edinburgh) – while relevant for the research - were excluded from the assessment because their latest versions were still waiting for formal approval. Therefore, they are not in force at the moment of writing and, considering that they can be modified at a later stage, the significance of their evaluation might be reduced. Moreover, concerning the sector of social development, the *Regional Integrated Health and Social Plan*, 2015 (Florence) and the *Health and Social Care Partnership's Strategic Plan for 2016-2019*, 2016 (Edinburgh) were excluded from the analysis because, even though they tackle social issues, it is done by promoting an improvement in the health system and therefore have little or no pertinence with the aim of this research. Finally, in the case of Florence, the *Plan for Rural Development, 2014-2020* was not taken into consideration as it specifically focuses on rural environments, excluding urban environments, which are considered in all other territorial and development plans. Finally, the *Provincial Programme of Development*, 2006 (Florence) was left out from the analysis as it is currently being replaced by the *Strategic Plan of Florence Metropolitan City* and its policies were overcome by the *Territorial Coordination Plan of the Province of Florence* (2013), the *Regional Orientation Plan of the Tuscany Region* (2014), the *Regional Development Plan 2011-2015* (2012) and the *Regional Plan for Economic Development 2012-2015* (2012). The final list of the selected documents is presented in Table 5 (Florence) and Table 6 (Edinburgh).

Table 3: List of all the urban management policies currently operating in Florence (Italy) in the sectors of heritage conservation and management, urban and territorial planning, economic and infrastructure development, social development and sustainability.

Full List of Florence's Urban Management Policies in the Sectors of Study					
	Heritage Conservation and Management	Urban and Territorial Planning	Economic and Infrastructure Development	Social Development	Sustainability
WH Site	- Measures for the Protection and Decorum of the Cultural Heritage in the Historic Centre, 2016 - WH Management Plan, 2016	/	- Measures for the Protection and Decorum of the Cultural Heritage in the Historic Centre, 2016	- Measures for the Protection and Decorum of the Cultural Heritage in the Historic Centre, 2016	/
Local	- Building Regulation, 2015 - Structural Plan, 2010, 2014 - Town Planning Regulation, 2015	- Structural Plan, 2010, 2014 - Town Planning Regulation, 2015	- Town Planning Regulation, 2015	/	/
Provincial	- Territorial Coordination Plan (PTCP) of the Province of Florence, 2013	- Territorial Coordination Plan (PTCP) of the Province of Florence, 2013	- Territorial Coordination Plan (PTCP) of the Province of Florence, 2013 - Strategic Plan of Florence Metropolitan City, 2016 (waiting for approval)	- Provincial Programme of Development, 2006 - Strategic Plan of Florence Metropolitan City, 2016 (waiting for approval)	- Local Plan of Agenda 21, 2005
Regional	- Regional Plan of the Tuscany Region (PIT), 2014	- Regional Plan of the Tuscany Region (PIT), 2014	- Regional Orientation Plan of the Tuscany Region (PIT), 2014 - Regional Development Plan 2011-2015, 2011 - Regional Plan for Economic Development 2012-2015, 2012 - Plan for Culture, 2012-2015, 2012 - Plan for Rural Development, 2014-2020, 2014	- Regional Plan of the Tuscany Region (PIT), 2014 - Regional Development Plan 2011-2015, 2011 - Regional Plan for Economic Development 2012-2015, 2012 - Plan for Culture, 2012-2015, 2012 - Regional Integrated Health and Social Plan, 2015	- Regional Plan of the Tuscany Region (PIT), 2014
National	- Code of the Cultural and Landscape Heritage, 2004	/	/	/	/

Table 4: List of all urban management policies currently operating in Edinburgh (UK) in the sectors of heritage conservation and management, urban and territorial planning, economic and infrastructure development, social development and sustainability.

Full List of Edinburgh's Urban Management Policies in the Sectors of Study					
	Heritage Conservation and Management	Urban and Territorial Planning	Economic and Infrastructure Development	Social Development	Sustainability
WH Site	- <i>WH Management Plan 2011-2016</i> , 2011	/	/	/	/
Local	- <i>Local Development Plan</i> , 2016 - <i>WH Management Plan 2011-2016</i> , 2011	- <i>Local Development Plan</i> , 2016	- <i>Local Development Plan</i> , 2016 - <i>Edinburgh Economic Strategy 2012-2017</i> , 2012	- <i>Edinburgh Partnership, Community Plan 2015-2018</i> , 2015 - <i>Health and Social Care Partnership's Strategic Plan for 2016-2019</i> , 2016	- <i>Sustainable Edinburgh 2020 and Action Plan</i> , 2012
Provincial	/	/	- <i>Strategic Development Plan (SES)</i> , 2016 (waiting for approval)	/	/
Regional	- <i>The Historic Environment Strategy for Scotland</i> , 2014	- <i>Scottish 3rd National Planning Framework</i> , 2014 - <i>Scottish Planning Policy</i> , 2014	- <i>Scottish 3rd National Planning Framework</i> , 2014 - <i>Scottish Planning Policy</i> , 2014 - <i>Scotland's Economic Strategy</i> , 2015	/	/
National	/	/	/	/	- <i>UK's Shared Framework for Sustainable Development</i> , 2005

Table 5: List of the selected policies and their referral agency for the case study of Florence (Italy). They are classified in relation to their level, type of sector, kind of tool and level of approval.

List of Documents and Referral Agency	Level					Type of Sector					Kind of Tool				Level of Approval	
	National	Regional	Provincial	Local	WH site	Heritage conservation and management	Urban/territorial planning	Economic and infrastructure development	Social development	Sustainability	Civic engagement tool	Knowledge and planning tool	Regulatory system	Financial tool	Force of law	Approved but not a legal instrument
Code of the Cultural and Landscape Heritage, 2004, <i>MIBACT</i>	•					•						•		•		
Regional Orientation Plan of the Tuscany Region (PIT), 2014, <i>Tuscany Region</i>		•				•	•	•	•	•	•	•		•		
Regional Development Plan 2011-2015, 2011, <i>Tuscany Region</i>		•						•	•		•		•		•	
Regional Plan for Economic Development 2012-2015, 2012, <i>Tuscany Region</i>		•						•	•		•		•		•	
Plan for Culture 2012-2015, 2012, <i>Tuscany Region</i>		•							•		•		•		•	
Territorial Coordination Plan (PTCP) of the Province of Florence, 2013, <i>Province of Florence</i>			•				•				•	•		•		
Local Plan of Agenda 21, 2005 <i>Province of Florence</i>			•						•	•	•				•	
Structural Plan, 2010 (revised in 2014), <i>Florence Local Council</i>				•			•	•			•			•		
Town Planning Regulation, 2015, <i>Florence Local Council</i>				•		•	•	•			•			•		
Building Regulation, 2015 <i>Florence Local Council</i>				•		•						•		•		
World Heritage Management Plan, 2011 <i>UNESCO Office of the Municipality of Florence</i>					•	•					•				•	
Measures for the Protection and Decorum of the Cultural Heritage in the Historic Centre, 2016 <i>SUAP (Office for manufacturing activities) of the Florence Municipality</i>					•	•		•				•		•		

Table 6: List of the selected policies and their referral agency for the case study of Edinburgh. They are classified in relation to their level, type of sector, kind of tool and level of approval.

List of Documents and Referral Agency	Level					Type of Sector						Kind of Tool				Level of Approval	
	National	Regional	Provincial	Local	WH site	Heritage conservation and management	Urban/territorial planning	Economic and infrastructure development	Social development	Sustainability	Civic engagement tool	Knowledge and planning tool	Regulatory system	Financial tool	Force of law	Approved but not a legal instrument	
UK's Shared Framework for Sustainable Development, 2005 <i>Department for Environment, Food and Rural Affairs</i>	•									•		•				•	
Scottish 3rd National Planning Framework, 2014, <i>Scottish Government</i>		•					•	•				•	•		•		
Scottish Planning Policy, 2014, <i>Scottish Government</i>		•					•	•				•	•			•	
Scotland's Economic Strategy, 2015, <i>Scottish Government</i>		•						•				•				•	
The Historic Environment Strategy for Scotland, 2014, <i>Scottish Government</i>		•				•										•	
Edinburgh Economic Strategy 2012-2017, 2012, <i>Edinburgh City Council</i>				•				•				•				•	
Sustainable Edinburgh 2020 and Action Plan, 2012, <i>Edinburgh Local Council</i>				•					•			•				•	
Local Development Plan, 2016, <i>Edinburgh City Council</i>				•		•	•					•		•			
World Heritage Management Plan 2011-2016, 2011, <i>Edinburgh World Heritage, Edinburgh City Council, Historic Environment Scotland</i>					•	•						•				•	
Edinburgh Partnership, Community Plan 2015/18, 2015, <i>Edinburgh Local Council</i>				•					•			•				•	

3.4.2 Testing the Policy Assessment Framework

The policy assessment framework was firstly used to assess the selected urban management policies in Florence. It was initially tested on one document per sector of interest (heritage conservation, heritage management, town planning, territorial planning and socio-economic development). These documents constituted a pilot sample to check the validity and replicability of the assessment framework on different kinds of urban management policies (Yin, 1989: 80-82). The following urban management policies were randomly chosen to conduct this preliminary test, although to be considered, they had to represent the full variety of sectors, levels and kinds of tools involved in the urban management system:

- *WH Management Plan (2016)*, heritage management, WH level, knowledge and planning tool/civic engagement tool;
- *Building Regulation (2015)*, heritage conservation, local level, regulatory system;
- *Territorial Coordination Plan (PTCP) of the Province of Florence (2013)*, territorial planning, provincial level, knowledge and planning tool/regulatory system/civic engagement tool;
- *Regional Development Plan 2011-2015 (2011)*, socio-economic development, regional level, knowledge and planning tool/financial tool;
- *Code of the Cultural and Landscape Heritage (2004)*, heritage conservation and management, regulatory system.

After this preliminary test, it was possible to revise the coding items and scores, previously defined in the policy assessment framework, in a more accurate way. Then, the revised policy assessment framework was used to assess the entirety of the selected urban management policies showed. The assessment of the selected documents was carried out by the author to optimise the time and resources available to conduct this research. The analysis of the urban management policies can be framed as a qualitative study: the urban management policies were evaluated through a qualitative content analysis of the policies' documents, carried out according to the coding items of the assessment framework. However, future evaluations through the assessment framework can be also conducted

through interviews or focus groups with the policy-makers involved in the definition and implementation of these policies.

The assessment evaluates whether each policy currently integrates the principles of the new paradigm for urban conservation and management and how it achieves this. Moreover, it facilitates the comparison between different documents. In order to reach this goal, each urban management policy was qualitatively analysed in accordance with the coding items of the assessment framework. The appointment of the assessment scores, in relation to each coding item and their interpretation, was possible after a preliminary familiarisation with the documents and, in a second stage, thanks to a qualitative content analysis carried out for each document that constituted a fundamental phase of data organisation and examination. All documents' objectives, orientations, actions and directions were scrutinized with QSR NUD*IST Vivo (NVivo), a specific computer software for qualitative data analysis.⁸⁵ This software makes it possible to categorise collected data according to the coding items of the assessment framework. It also allowed the researcher to easily manage large amount of information.

As it can be seen in Figure 15 and Figure 16, the coding items of the assessment frameworks were transformed into specific “nodes” through the computer software. In NVivo, a node constitutes a “container for categories and coding” (Richards, 1999: 12). Therefore, ad-hoc nodes were used to categorise the data collected through the qualitative text analysis of the assessed document (Silverman, 2015). Moreover, the different scores related to each coding item were transformed into sub-nodes associated with the coding items that they belong to. Therefore, during the analysis of the urban management policies, every time that I found a sentence that could answer a specific coding item of the assessment framework, I coded that sentence according to the relevant node and sub-node (see Figure 15). The creation of indexing categories assisted me in creating a distance between me and “the immediacy of the elements (...) and gain a more measured view of the whole”, thus increasing the objectivity of the study (Mason, 2002: 152). Moreover, it helped to carry out a rapid comparison between the data collected from different urban management policies for the same coding item and/or score, “instead of struggling with negotiating multiple documents and manually searching for relevant sections” (Gibson, 2009: 178). To assure the

⁸⁵ The researcher was enabled to use NVivo free of charge with a software licence key provided by the University of Kent (UK).

reliability of the assessment, the digital file with the full coding notes used during the assessment process, carried out with NVivo, is available in *Annex 13* and two examples of coded documents are presented in *Annex 11* and *Annex 12*.

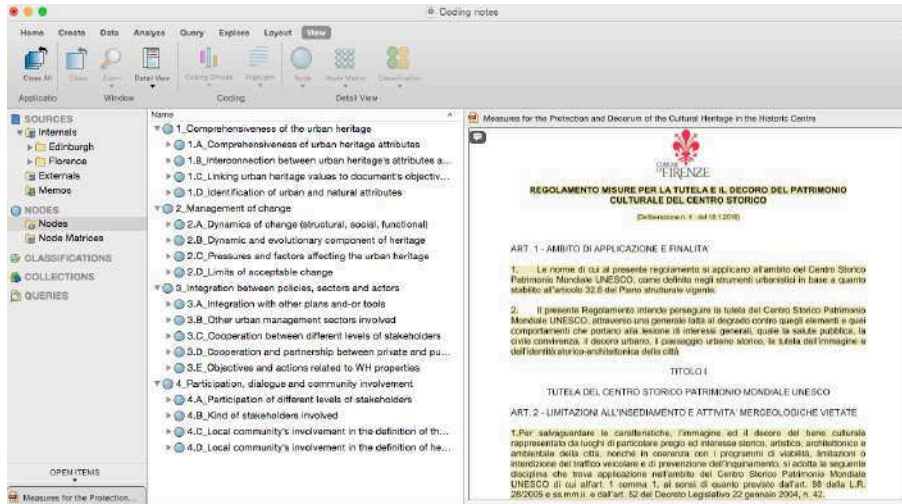


Figure 15: Example of coding process of the selected urban management policies with NVivo.

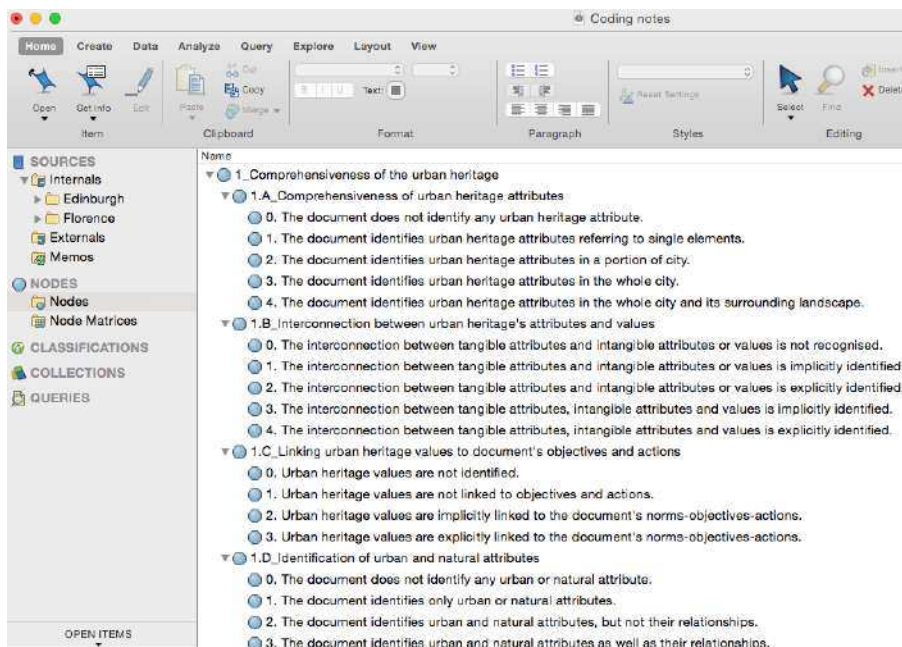


Figure 16: Examples of the nodes and sub-nodes used in NVivo in relation to the first section of the assessment framework (comprehensiveness of the urban heritage).

Table 7: Example of application of the assessment framework to different kind of urban management policies.

	Coding Items	Document 1	Document 2	Document 3	Document n
COMPREHENSIVENESS OF THE URBAN HERITAGE	<i>1.A Does the document comprehensively identify urban heritage attributes? (max 4)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>1.B Does the document recognise the interconnection between urban heritage's tangible and intangible attributes and values? (max 4)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>1.C Does the document link urban heritage values to its objectives and actions? (max 3)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>1.D Does the document identify both urban and natural attributes? (max 3)</i>	Score ₁	Score ₂	Score ₃	Score _n
MANAGEMENT OF CHANGE	<i>2.A Are general dynamics of change (structural, social, functional) identified? (max 2)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>2.B Does the document recognise the dynamic and evolutionary component of heritage (attributes and values)? (max 2)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>2.C Are pressures and factors affecting the urban heritage identified? (max 2)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>2.D Are limits of acceptable change for urban heritage identified and regulated? (max 2)</i>	Score ₁	Score ₂	Score ₃	Score _n
INTEGRATION BETWEEN POLICIES, SECTORS AND ACTORS	<i>3.A Is the document integrated with other plans and/or tools involved in urban management? (max 3)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>3.B Are different urban management sectors involved in the definition of the document's objectives and actions? (max 2)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>3.C Does the document envisage cooperation between different levels of stakeholders in the implementation of its objectives and actions? (max 3)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>3.D Does the document envisage cooperation and partnership between private and public actors in the implementation of its objectives and actions? (max 2)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>3.E Does the document provide any specific objective and/or action related to the World Heritage (WH) property(ies)? (max 2)</i>	Score ₁	Score ₂	Score ₃	Score _n

PARTICIPATION, DIALOGUE AND COMMUNITY INVOLVEMENT	<i>4.A Does the document involve the participation of different levels of stakeholders in the definition of its objectives and actions? (max 3)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>4.B Are different kind of stakeholders involved in the definition of document's objectives and actions? (max 3)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>4.C Is the local community involved in the document's definition of objectives and actions? (max 3)</i>	Score ₁	Score ₂	Score ₃	Score _n
	<i>4.D Is the local community involved in the definition of heritage values/attributes to be preserved and managed? (max 3)</i>	Score ₁	Score ₂	Score ₃	Score _n

Following the same methodology, the framework was tested for a second time in the case of Edinburgh. This second test helped to refine more appropriately the coding items' and the scores' definitions, as well as identifying possible ways to improve the assessment framework for its future application on other case studies. Nevertheless, having tested the framework on more than one case study, it demonstrated how it is possible to use it to assess and compare different kinds of documents, as well as documents referring to urban management systems of different cities.

3.5 Phase 5: Integrating the Results with Semi-Structured Interviews and Other Additional Information in Relation to World Heritage Properties

3.5.1 Semi-Structured Interviews with Local Stakeholders

Evaluating the selected urban management policies with the assessment framework constituted a valuable qualitative tool, as it allowed the researcher to link the contemporary international approach and the practical and operational realities of the urban management systems that operate in the two case studies. However, to conduct a more complete critical analysis of these urban management systems, a triangulation method (multiple source of evidence) was employed for greater research accuracy. The data collected from the text-based sources was then qualitatively evaluated through the assessment framework and consequently, the

data was supplemented and validated by semi-structured interviews.⁸⁶ These interviews were carried out with relevant local stakeholders (policy makers, officers, academics and professional experts), who were involved in defining and implementing these documents. Local stakeholders provided supplementary evidence from their practical experience in the field, providing in-depth insights into how they perceived and understood the effectiveness of the urban management policies, as well as the presence of critical issues related to their implementation. Moreover, they also suggested ways to improve existing policies and potential threats. Therefore, the interviews supported a better understanding of these particular issues that could not emerge solely from the analysis of the texts, making the study more complete. The interviews were guided by a set of predetermined questions in an unbiased manner, which are illustrated in *Annex 5*, and followed a natural conversation, driven by the interviewee's answers, allowing discourse continuity and flexibility (Silverman, 2015: 150). The data collected through the interviews underlined the strengths and weaknesses of current urban management policies in this study, as well as the opportunity to better integrate the principles of the key paradigm for urban heritage conservation and management into existing systems. The data also indicated the critical aspects that could emerge from this integration into existing urban management systems. Therefore, they supported efforts to elaborate a critical interpretation of the assessments carried out on the relevant documents.

Interviews were conducted on-site with local urban management stakeholders involved in defining and implementing at least one urban management policy per sector (heritage conservation, heritage management, town and territorial planning and socio-economic development), as well as per level of study (regional, provincial, local, WH) for each city. They included at least a policymaker, a public officer, an academic and a practitioner, as it provided a spectrum of views on each city's urban management system. A total of fourteen interviews were carried out in Florence and eight in Edinburgh, as highlighted in Table 8 and Table 9 respectively. The face-to-face interviews were recorded and integrally transcribed to facilitate the data analysis and interpretation. NVivo was used to manage these large amounts of information, following the same procedure explained in *Section*

⁸⁶ The semi-structured interviews obtained approval from the *Research Ethics Advisory Group of the University of Kent*. This assures that all research carried out by staff or students of the University is conducted to the highest level of ethical standards and in accordance with current legislation and policy requirements. For more information about the list of questions for the semi-structured interviews, the consent form and the participant information sheet please see *Annex 5* "Interviews Questions Form", *Annex 6* "Interviewee's Consent Form and *Annex 7* "Interviewee's Information Sheet".

3.4.2. The use of the software allowed the newly collected data to be classified according to the coding items identified in each section of the assessment framework, thereby integrating it with the previously coded data from the text analysis. The additional data was integrated into the findings that emerged in the evaluation of the urban management policies with the assessment framework. The research results are discussed in *Chapter 5* (Florence) and *Chapter 6* (Edinburgh). The two chapters aim to create a critical discourse on how current urban management systems incorporate the principles of the 21st century approach and the critical issues that exist in the two urban management systems analysed.

Table 8: List of people interviewed in Florence and their classification related to their professions, level, and sector type.

List of Interviewees and Interview's Date	Kind of Interviewee					Level				Type of Sector				
	Politician	Policy maker	Officer	Professional expert	Scientific expert	Regional	Provincial	Local	WH site	Heritage conservation	Heritage management	Urban planning	Territorial planning	Development
<i>Participant 1a</i> , Municipality of Florence, 07/06/2016		•	•					•	•		•			
<i>Participant 2a</i> , Municipality of Florence, 21/07/2016		•	•					•		•		•		•
<i>Participant 3a</i> , Municipality of Florence, 21/07/2016		•	•					•		•				•
<i>Participant 4a</i> , Municipality of Florence, 14/10/2016			•					•		•				
<i>Participant 5a</i> , Municipality of Florence, 18/10/2016		•						•						•
<i>Participant 6a</i> , Municipality of Florence, 03/11/2016		•	•					•						•
<i>Participant 7a</i> , Association of architects, landscapers, urban planners and conservators of the Province of Florence, 17/10/2016				•				•						•
<i>Participant 8a</i> , Superintendence of Province of Florence, Prato e Pistoia, 26/09/2016			•					•		•				
<i>Participant 9a</i> , University of Florence, 13/10/2016			•					•		•				
<i>Participant 10a</i> , University of Florence, 12/10/2016				•				•		•				
<i>Participant 11a</i> , Province of Florence, 18/10/2016				•				•		•			•	•
<i>Participant 12a</i> , Tuscany Region, 02/11/2016		•	•					•		•			•	•
<i>Participant 13a</i> , Tuscany Region, 02/11/2016		•	•				•			•			•	•
<i>Participant 14a</i> , Municipality of Florence, 16/01/2016	•							•						•

Table 9: List of people interviewed in Edinburgh and their classification related to their professions, level, and sector type.

List of Interviewees and Interview's Date	Kind of Interviewee					Level				Type of Sector				
	Politician	Policy maker	Officer	Professional expert	Scientific expert	Regional	Provincial	Local	WH site	Heritage conservation	Heritage management	Urban planning	Territorial planning	Development
<i>Participant 1b</i> , Edinburgh World Heritage, 21/11/2016		•	•						•		•			
<i>Participant 2b</i> , Edinburgh City Council, 28/11/2016		•	•					•	•	•				
<i>Participant 3b</i> , Hurdrolland Partnership, 31/11/2016				•				•						•
<i>Participant 4b</i> , Historic Environment Scotland, 25/11/2016			•			•				•				
<i>Participant 5b</i> , Expert in the field of cultural heritage, 23/11/2016					•			•		•	•			•
<i>Participant 6b</i> , Edinburgh City Council, 16/02/2017			•					•						•
<i>Participant 7b</i> , Edinburgh City Council, 13/02/2017		•	•				•	•						•
<i>Participant 8b</i> , Edinburgh City Council, 13/02/2017		•	•				•	•						•

3.5.2 Additional Information in the Relation to the World Heritage Properties

The presence of World Heritage (WH) properties in the historic urban environments of Florence and Edinburgh requires an additional layer of investigation in order to carry out a more complete critical analysis of the two urban management systems. As an extensive portion of the two case studies' urban heritage is inscribed on the WHL, understanding their Outstanding Universal Value (OUV), made of attributes and values to be transmitted to future generations, was a fundamental step of this study. Comparing Florence and Edinburgh's urban heritage attributes and values, as identified in their WH nomination documents, with those associated with the selected policies proposed (or not proposed) actions, is necessary as it helps to determine whether these attributes and values were taken into consideration and how they were considered in existing urban management systems. This part of the research aims to look at how the existing urban management systems safeguard the two cities' urban heritage over time and how they reveal the discrepancies that may exist between the attributes and values considered in the assessed documents and those constituting the two WH properties.

Attributes and values of the two WH properties were identified by conducting a qualitative text analysis of official documents from the nomination process for their inscription in the WHL (Nomination dossier by the State Party, ICOMOS Advisory Body Evaluation and Retrospective Statement of OUV). The complete analysis is illustrated in *Annex 8*, *Annex 9* and *Annex 10*, while the description and a critical discussion of the identified attributes and values is presented in *Chapter 4*. The text analysis was carried out on selected documents by classifying urban heritage attributes and values found in each sentence, according to the taxonomy categories developed by Veldpauw (Veldpauw, 2015: 55-76). In this way, the taxonomy helped "to 'break down' the concept of heritage", specifying the attributes and values involved (*ibid.*: 95). In particular, the attributes were identified and classified according to the WHAT categories (see Figures 17 and 18) and the values according to the HOW categories (see Figure 19) and their related definitions.⁸⁷ To the author's knowledge, this was the first time that the

⁸⁷ An application of this method was tested directly by the scholar Veldpauw herself during the workshop on "Value-based Heritage Management in Canterbury" organised by Centre for Heritage of the University of Kent, in collaboration with the author. The workshop was held on 5th May 2017 at The Beaney House of Art & Knowledge, Canterbury. More information at: <https://blogs.kent.ac.uk/linking-heritage/workshop/>.

taxonomy developed by Veldpaus was used to compare the attributes and values identified in different types of UNESCO nomination documents, constituting another original aspect of the research. All of the identified attributes and values were compared with the actions proposed by each urban policy to assess whether they were taken into consideration in terms of urban heritage protection, conservation, guidance of transformation, education and enhancement and how they were taken into consideration. The results of this comparison are illustrated in the *Annex 14* and *Annex 15*, and they are discussed in *Chapter 7*. Moreover, this chapter provides a critical comparison of the results obtained in the two case studies and underlines the most critical aspects that exist in the two urban management systems in relation to the safeguarding of urban heritage in a context of change.

	Category	Definition
Asset	<i>Building element</i>	Part, component, material, feature, or section of a building, which is constructive, constitutive, or decorative; adds value or functionality.
	<i>Building (noun)</i>	Result of the art of building a structure, construction, edifice, or remains that host(ed) human activities, storage, shelter or other purpose.
	<i>Urban element</i>	Component, part, aspect of/in the historic urban landscape, construction, structure, or space, which is constructive, constitutive, or decorative; adds value or functionality
	<i>Natural element</i>	Component, part, aspect of/in the historic urban landscape produced by nature, natural or designed, which is constructive, constitutive or decorative; adds value or functionality.
Area	<i>Ensemble</i>	Group, compilation, or configuration of urban and/or natural elements. The combination generates or represents specific history, coherence, variation, significance and has recognisable relations.
	<i>Context, setting</i>	Surrounding environment (or landscape), surrounding, supporting, contextualising the heritage assets. It is situating, adds understanding, often though not necessarily geographical proximity.
	<i>Area</i>	A conditionally defined place or space, district, urban fragment, structure, route; defined by geographical and/or cultural features.
Landscape	<i>Layering</i>	Evidence that exists for indicating accumulating phases (periods) of activity and/or value, and the phases; illustrative of the evolution or development of human society and settlement over time. Sometimes also referred to as stratigraphy.
	<i>Landscape</i>	Territory delimited subjectively and conditionally – as perceived, experienced by observer. It includes human/cultural/natural factors, is holistic.

Figure 17: List of tangible attributes and related definitions as identified in the taxonomy developed by Veldpaus and improved with academic definitions (Veldpaus, 2015: 73,117-118).

	Category	Definition
Asset related	<i>Concept, artistic trend</i>	The intended idea, norms, values, expression, style in arts/architecture – and the development (phase, evolution) thereof. Often related to, or represented by, a tangible heritage asset.
	<i>Relation(s) to context</i>	Attachment to/interaction between objects and/or places, the relation with another connected element, location, place, or environment; often though not necessarily geographical proximity (relation object – object).
	<i>Character</i>	Defining features, of a specific nature or quality. Can be relating to specific design (e.g. typology, morphology, layout, composition, proportion) or an atmosphere (e.g. tranquil, lively, urban, rural).
	<i>Use, function</i>	The purpose of object/landscape, intended or actual utilisation.
Societal	<i>Knowledge, traditions, customs</i>	Phenomena associated with a place or the understanding of the world by a group of people, which are transmitted and/or repeated and experienced and/or practiced; often linked to certain, mostly tangible, features.
	<i>Relation(s) to meaning, association</i>	The connotations, feelings and cognitive links people have, which contextualise the heritage asset, remembered or imagined, socially constructed (relation human–object).
	<i>Community, people(s)</i>	A group of people that shares characteristics, has common denominators, geographical (e.g. inhabiting, interacting with, connected to, or visiting a place) or cultural (e.g. identity, ethnicity, customs, beliefs, roots, actions, interests, practices). People can also refer to a specific person.
Process	<i>Planned processes/Development</i>	Action, change, or process that is intentional and planned, determined by strategies and policies (bureaucracy). Often a more short or medium term process.
	<i>Unplanned processes/evolution</i>	Action, change, or process (instead of the result) that is piecemeal, unintentional, spontaneous and natural, without intervention of policies or strategies. Often a long term, slow process.

Figure 18: List of intangible attributes and related definitions as identified in the taxonomy developed by Veldpaus and improved with academic definitions (*ibid.*).

	Category	Definition
Traditional values	<i>Aesthetic</i>	Artistic, original product of creativity and imagination; product of a creator, conceptual, authentic exemplar of a decade, part of the History of Art or Architecture.
	<i>Age</i>	Value oriented towards the production period; maturity, a piece of memory, reflecting the passage/lives of past generations; the marks of the time passage (patina) present on the attribute.
	<i>Historic</i>	A potential to gain knowledge about the past; a testimonial of historic stylistic or artistic movements, or to concepts which are now part of history; related to an important event in the past; archaeological connection with ancient civilisations.
	<i>Scientific</i>	An original result of human labour or craftsmanship; technical or traditional skills and/or connected materials; integral materialisation or knowledge of conceptual intentions.
Community values	<i>Social</i>	Spiritual, beliefs, myths, religions, legends, stories, testimonial of past generations; collective and/or personal memory or experience; cultural identity; motivation and pride; sense of place; communal value; representation of social hierarchy/status; anthropological or ethnological value.
	<i>Ecological</i>	The (spiritual or ecological) harmony between the building and its environment (natural and man-made); identification of ecological concepts on practices, design and construction; manufactured resources to be reused, reprocessed or recycled.
Process values	<i>Political</i>	Educational role for political targets (e.g. birth-nations myths, glorification of political leaders); part of management or strategies and policies (past or present) or for the dissemination of cultural awareness explored for political targets; representing emblematic, power, authority and prosperous perceptions.
	<i>Economic</i>	The function and utility of the heritage, expired, original or attributed; the option to use it and/or bequest value for future generations; the role it might have (had) for market or industry; property value.

Figure 19: List of values and related definitions as identified in the taxonomy developed by Veldpau (ibid.: 74).

3.6 Conclusion and Discussion

This chapter presented the methodology chosen to meet the research objective and, therefore, to address the identified research questions. Based on a review of existing methods for assessing plans, urban policies and WH management effectiveness, this chapter presented the original assessment framework I built to provide a better understanding of the levels of consistency of urban management policies with the principles of a the 21st century international approach identified in *Chapter 2*. The policy assessment framework I developed constituted an original methodological tool for carrying out the study, as I was able to link the international theory on urban heritage conservation, management and development with the assessment of multi-level (national, regional, provincial and local) and multi-sectorial (heritage conservation, urban planning and socio-economic development) urban management policies.

The assessment framework was built by dividing the key principles of the new paradigm for urban heritage conservation and management into four sections, each one focusing on a particular principle (comprehensiveness of the urban heritage; management of change; integration between policies, sectors and actors; participation, dialogue and community involvement). Specific qualitative coding items were associated with each of these sections under the form of a question, to which it is possible to answer through an associated qualitative grade defined by a numerical score. Therefore, the framework provided specific parameters to be considered during the qualitative analysis of urban management policies, permitting a systematic study, through the use of common categories and concepts (Kantor and Savitch, 2005). Moreover, it made it possible to compare different types and levels of urban management policies in relation to the same sub-themes (associated with specific coding items) of the key principles of the contemporary international approach to urban heritage conservation, management and development.

The assessment tool I developed enabled the evaluation of consistency levels between local urban management policies and the principles of a 21st century international approach. Similarly to the assessments carried out by Landorf and Veldpaus – while different in scope – it identified whether these principles were considered in the assessed policies or not (Landorf, 2009; Veldpaus, 2015). Moreover, the assessment framework increased our understanding of how the assessed policies currently integrate these principles through the use of the following qualitative graduate scale of scores illustrated in *Section 3.2.2*. The

introduction of this graduated scale of scores, following the examples of Simpson (Simpson, 2001), Ruhanen (Ruhanen, 2004), World Heritage Centre (World Heritage Centre, 2008a) and SITI (Re, 2012), provided additional knowledge by differentiating between the answers provided, rather than consenting only an evident/not evident answer.

However, the assessment framework was not intended to judge the appropriateness of urban management policies or to rate their effectiveness in relation to the integration and/or implementation of these principles, as in those developed by the WH Centre and SITI. It was intended as a tool which was able to relate multi-scalar and multi-level urban management policies that operate in the two case studies, along with the 21st century international approach, similarly to the framework developed by Veldpaus in her dissertation. In this way, the framework enabled a systematic comparison between the results of different types of urban management policies, which are presented in *Chapter 5* (Florence, Italy) and *Chapter 6* (Edinburgh, UK). Furthermore, this framework can compare urban management policies operating in different cities and countries as showed in *Chapter 7*. The assessment framework was tested on different kinds of policies and case studies to increase its validity and replicability. However, in order to improve the framework further, it should be tested at WH sites around the world as they will provide different case studies with very different urban management policies. Furthermore, it should not merely be tested by assessing policies' written documents, but also through the help of interviews or workshops, which should be carried out with local stakeholders. Then, the assessment framework can be revised according to the results obtained through these supplementary tests.

Nevertheless, while the assessment framework certainly constituted a useful assessment tool for carrying out this research project, the rating system made it difficult to rate the effectiveness of integrating the principles of the new paradigm for urban heritage conservation and management into the assessed management policies. In fact, while the implementation of the same principle of the new paradigm for urban heritage conservation and management could be found in several urban management policies, the effectiveness of implementing this principle into each policy may vary considerably based on the different policies. In fact, during the assessment, the same principle appeared more frequently and consistently in some policies rather than others. As a result, some policies may be more effective than others, while other policies may provide a “weak” but positive result. Moreover, there are more advantages in implementing certain policies than others, as some provide prescriptive measures, while others are not binding (e.g.

strategies and managements plans). However, the assessment framework proposed does not allow to differentiate the results obtained on each urban management policies in relation to these issues. Nevertheless, this is a key element to be considered for a critical analysis of existing urban management policies: this research tried to fill this gap by integrating the results of the assessment framework with a qualitative content analysis of the assessed documents and with semi-structured interviews carried out with local stakeholders. However, this is a crucial element that needs to be further improved in the assessment framework to provide a deeper understanding of the level of consistency of local urban management policies in relation to the 21st international discourse and to evaluate their effectiveness. It is important that the assessment is carried out with this tool in a systematic, objective and quantitative manner. To fill in this gap, further research should be done to define an appropriate “weighting and aggregation system”, associated with the qualitative content analysis, to increase the validity of the proposed evaluation tool.⁸⁸

⁸⁸ See “Research Limitations and Future Research Lines” in the *Conclusion*.

Chapter 4

Embracing the Past while Looking at the Future: Understanding Florence and Edinburgh's Urban Heritage

Introduction

This chapter aims to provide a preliminary understanding and description of the urban heritage of the two case studies, Florence (Italy) and Edinburgh (UK), and how they are currently challenged by contemporary transformations and development pressures. The chapter is composed of two main sections: the *Section 4.1* focuses on the case study of Florence and *Section 4.2* on the case study of Edinburgh. Each section describes the Outstanding Universal Value (OUV) of each city's World Heritage (WH) property by considering the results obtained from the first step of the data analysis,⁸⁹ according to the methodology explained in *Chapter 3*. Moreover, the sections discuss the current state of integrity and authenticity of the WH properties as well as their state of conservation and the factors and pressures that affect their OUV. This is done through a critical discourse analysis of the most recent *Periodic Reports* (World

⁸⁹ See *Section 3.5.2* "Additional Information in Relation to the World Heritage properties". The results of the analysis are fully available in *Annex 8*, *Annex 9* and *Annex 10*.

Heritage Centre, 2014a; World Heritage Centre, 2014b), *State of Conservation Reports* (World Heritage Centre, 2011; World Heritage Centre, 2008a), *WH Management Plans* (Firenze Patrimonio Mondiale, 2016; Edinburgh World Heritage *et al.*, 2011), technical reports (Florence Local Council 2015f, 2015; ICOMOS, 2015), correspondence between site managers and WH centre (Florence Local Council, 2015g; UNESCO Culture Sector, 2015), as well as press articles available online. In the context of these two living cities, this chapter underlines how important it is to take into consideration, not only their WH properties, but the whole historic urban landscape for an adequate protection and management of their urban heritage. Moreover, it illustrates the additional protection measures that exist in Florence (buffer zone) and Edinburgh (*Skyline Study* and protection of key views), which are specifically addressed to reach this scope. Finally, *Section 4.3* critically discusses the key elements emerged in the chapter.

4.1 Understanding Florence's Urban Heritage

4.1.1 Florence as a “World Heritage City”: the Inscription of its Historic Centre on the World Heritage List

Florence has continuously evolved over time, becoming an historical urban layering of extraordinary importance, with an incredible number of urban heritage attributes mostly concentrated in the historic centre (the portion of the city more historically stratified). As such, the Italian Government decided to propose its inscription on the World Heritage List (WHL) at the beginning of the 1980s. The nomination proposal of the “Historic centre of Florence” was submitted in 1981, according to the *Convention Concerning the Protection of the World Cultural and Natural Heritage* (UNESCO, 1972), justifying the candidacy because “the city of Florence, with its complex urban fabric and stratified pattern of archaeological remains that are manifest today, provides a unique example of human activity”.⁹⁰ Moreover, its “exceptionally rich heritage (...), which bears witness to immense artistic activity, stands for a unique model, both from the historical and the aesthetic points of view”.⁹¹ The Italian nomination was positively welcomed during the 6th Session of the WH Committee held at UNESCO Headquarters in Paris in 1982 (UNESCO, 1983: Decision CONF 015 VIII.20) and the property

⁹⁰ Italian Government, Nomination submitted by Italy to the World Heritage List: The Historic Centre of Florence, p. 4.

⁹¹ *Ibid.*, p. 5.

was inscribed on the WHL as a “group of buildings”.⁹² The nominated property (core zone) encompasses an area of 505 hectares enclosed by the former 15th century walls including the historic centre and the settled zone on the other side of the river Arno (Oltrarno) as shown in Figure 20.



Figure 20: Map of the boundary (in green) of the Historic Centre of Florence, WH property. Source: Florence Local Council (2005). *Map of the Historic Centre of Florence*, Scale 1:15.000.

The nomination was supported by ICOMOS, the UNESCO Advisory Body for cultural properties, which evaluated it positively, saying that “this unique cultural property should, with every good reason, have figured among the first

⁹² According to the *Operational Guidelines for the Implementation of the World Heritage Convention* (UNESCO, 1980: 4-5), a cultural property could be inscribed on the WHL as “monument”, “group of buildings” or “site”. Group of buildings are defined as “groups of separate or connected buildings which, because of their architecture, their homogeneity or their place in the landscape, are of outstanding universal value from the point of view of history, art of science” (UNESCO, 1980: 5).

lists of the WHL and any justification would be both impertinent and derisory” (ICOMOS, 1982: 1).



Figure 21: Panoramic view of the historic centre of Florence from Piazzale Michelangelo. © Francesca Giliberto

The very broad justification provided in the nomination by the Italian Government, was then developed by ICOMOS, converting it into specific criteria necessary for its inscription on the WHL, as it specified a series of associated tangible and intangible attributes conveying the OUV.⁹³ The property was inscribed according to criteria (i), (ii), (iii), (iv) and (vi),⁹⁴ a result of a “continuous artistic creation over more than six centuries” (criterion i), where the

⁹³ For the full list of attributes and associated values considered by the national government (1981) and by ICOMOS (1982) please see *Annex 8.1* “Justification by the State Party (1981)” and *Annex 8.2* “ICOMOS Advisory Body Evaluation (1982)”.

⁹⁴ A property can be included on the WHL only if it has an OUV and meets at list one of the ten selection criteria as explained in the *Operational Guidelines for the Implementation of the World Heritage Convention* (UNESCO, 1980: 16). Moreover, it must also meet the condition of integrity and/or authenticity and if its safeguarding is assured by an appropriate protection and management system. For cultural heritage, in 1982 a property could be inscribed according to the following criteria:

- (i) represent a unique artistic achievement, a masterpiece of the creative genius;
- (ii) have exerted great influence, over a span of time or within a cultural area of the world, on developments in architecture, monumental arts or town-planning and landscaping;
- (iii) bear a unique or at least exceptional testimony to a civilisation which has disappeared;
- (iv) be an outstanding example of a type of structure which illustrates a significant stage in history
- (v) be an outstanding example of a traditional human settlement which is representative of a culture and which has become vulnerable under the impact of irreversible change;
- (vi) be directly or tangibly associated with events or with ideas or beliefs of outstanding universal significance.

Neo-Platonic Academia and the modern humanism were born (criterion vi) and the “artistic principles of the Renaissance” were defined. These aspects obviously had a great influence first in Italy and then across Europe (criterion ii) from the beginning of the 15th century onwards. Moreover, its historic centre embodies the economic and political power of Florence as a “merchant-city of the Middle Ages and of the Renaissance” (criterion iii) and the palaces built between the XIV and XVII centuries reflected the “munificence of the bankers and the princes” (criterion iv). Therefore, the values⁹⁵ associated with the Italian nomination proposal of 1981 (historic⁹⁶, aesthetic⁹⁷, ecological⁹⁸ and social⁹⁹) were enlarged by ICOMOS to include also political¹⁰⁰, economic¹⁰¹, age¹⁰² and scientific¹⁰³ values (see Figure 26).

Thirty years later, the justification for the inscription of Florence on the WHL has been further developed when, in 2012, the Florence Local Council was requested to translate the nomination proposal into a *Retrospective Statement of Outstanding Universal Value*. This statement was introduced as a fundamental requirement for the inscription on the WHL only with the *Operational Guidelines* adopted in 2005 (UNESCO, 2005c). Evolving from ICOMOS’ inscription

⁹⁵ The meaning of the different values is defined in accordance with the definitions provided by Veldpaus (2015) in the taxonomy she developed in her dissertation as explained in *Chapter 3* “Linking Theory with Practice: Methodological Approach”.

⁹⁶ *Historic value* is defined as “a potential to gain knowledge about the past; a testimonial of historic stylistic or artistic movements, or concepts which are now part of history; related to an important event in the past; archaeological connection with ancient civilizations” (Veldpaus, 2015: 74).

⁹⁷ *Aesthetic value* is defined as “artistic, original product of creativity and imagination; product of a creator, conceptual, authentic exemplar of a decade, part of the History of Art or Architecture” (*ibid.*).

⁹⁸ *Ecological value* is defined as “the (spiritual or ecological) harmony between the building and its environment (natural and man-made); identification of ecological concepts on practices, design and construction; manufactured resources to be reused, reprocessed or recycled” (*ibid.*).

⁹⁹ *Social value* is defined as “spiritual, beliefs, myths, religions, legends, stories, testimonial of past generations; collective and/or personal memory or experience; cultural identity; motivation and pride; sense of place; communal value; representation of social hierarchy/status; anthropological or ethenological value” (*ibid.*).

¹⁰⁰ *Political value* is defined as “educational role for political targets (e.g. birth-nations myths, glorification of political leaders); part of management or strategies and policies (past or present) or for the dissemination of cultural awareness explored for political targets; representing emblematic, power, authority and prosperous perceptions” (*ibid.*).

¹⁰¹ *Economic value* is defined as “the function and utility of the heritage, expired, original or attributed; the option to use it and/or bequest value for future generations; the role it might have (had) for market or industry; property value” (*ibid.*).

¹⁰² *Age value* is defined as “value oriented towards the production period; maturity, a piece of memory, reflecting the passage/lives of past generations; the marks of the time passage (patina) present on the attribute” (*ibid.*).

¹⁰³ *Scientific value* is defined as “an original result of human labour or craftsmanship; technical or traditional skills and/or connected materials; integral materialization or knowledge of conceptual intentions” (*ibid.*).

justification, the *Retrospective Statement of OUV* adopted in 2014 (UNESCO, 2014b: Decision 38 COM 8E), further specified the attributes conveying the OUV,¹⁰⁴ introducing new urban attributes (14th century walls, gates, towers and two Medici's strongholds, Ponte Santa Trinita) and detailing those already defined by ICOMOS. Finally, it also gave importance to natural elements (Arno river and surrounding hills), giving a stronger importance to the ecological values associated with the property, as well as to its relation with the historic urban landscape as a whole.



Figure 22: Picture of the river Arno and the Ponte Vecchio taken from Ponte Santa Trinita. © Francesca Giliberto

4.1.2 Expanding Florence's OUV: the Inscription of Medici's Villas and Gardens on the World Heritage List

When the "Medici's Villas and Gardens in Tuscany", a site composed of twelve villas and related gardens built under the patronage of the Medici, and two additional gardens in the Tuscan countryside, was inscribed in the World Heritage List (WHL) during the 37th WH Committee held in Phnom Penh in 2013

¹⁰⁴ For the full list of attributes and associated values considered in the *Retrospective Statement of Outstanding Universal Value* (2014) please see *Annex 8.3*.

(UNESCO, 2013: Decision 27 COM 8B.34), the OUV of the city of Florence was further enlarged.

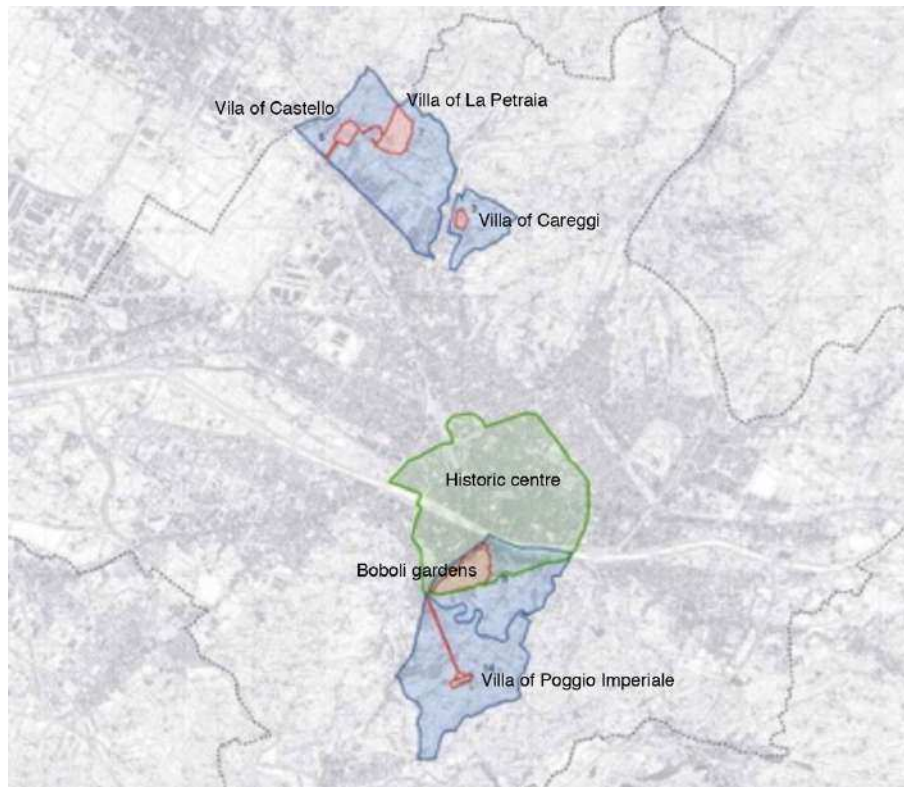


Figure 23: The “Medici’s Villas and Gardens” located in Florence (in red) and in its immediate surrounding. Source: Regione Toscana (2011), *Villas et Jardins des Médicis (nomination dossier)*, maps of inscribed property (original version edited by the author).

The newly inscribed site, the Medici’s Villas and Gardens, overlaps with the former WH property as the Boboli garden was included in the previous boundary. The new site (including the four villas of Careggi, Castello, La Petraia and Poggio Imperiale), however, is located in the city’s immediate surroundings (see Figure 23), and was inscribed according to criteria (ii), (iv) and (vi) because it represents an extraordinary example of “rural aristocratic villa dedicated to leisure, the arts and knowledge” designed at the end of the Middle Ages.¹⁰⁵ It also constitutes “a

¹⁰⁵ In 2013, a property could be inscribed according to the following criterias (UNESCO, 2011a: 20-21):

- (i) represents a masterpiece of human creative genius;
- (ii) exhibits an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design;
- (iii) bears a unique or at least exceptional testimony to a cultural tradition or to a civilisation which is living or which has disappeared;

testimony to the technical and aesthetic organisation of the gardens in association with their rural environment giving rise to a landscape taste specific to Humanism and the Renaissance” (criterion iv). The villas and related gardens embody the incredible cultural and artistic patronage that the Medici had in the Renaissance aesthetic and art of living (criterion vi). They also served as a model for other European villas and gardens of the Renaissance (criterion ii).



Figure 24: Panoramic view of the Tuscan countryside from the Boboli's garden.
© Francesca Giliberto

This inscription stresses the importance of the relation between the Medici's villas and gardens with the Tuscan landscape and becomes an integral part of the property's OUV. The attributes and values that convey the OUV of Florence's urban heritage have therefore been enlarged if compared to those identified in the historic centre's previous inscription (see Figures 25 and Figure 26). The WH attributes also include the new villas and gardens and their function (economic value), their innovative forms and technical organisation (scientific value), their rural environment and the broader Tuscan landscape of which they are part, as well as their immaterial relations with this landscape (ecological value).

(iv) be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history;

(v) be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;

(vi) be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance. (The Committee considers that this criterion should preferably be used in conjunction with other criteria).

Therefore, the inclusion of the Medici’s villas and gardens on the WHL has certainly enlarged the notion of urban heritage, giving a greater relevance to Florence’s surrounding landscape, as it is extremely interconnected, and there are existing relationships between different (urban and natural) attributes.

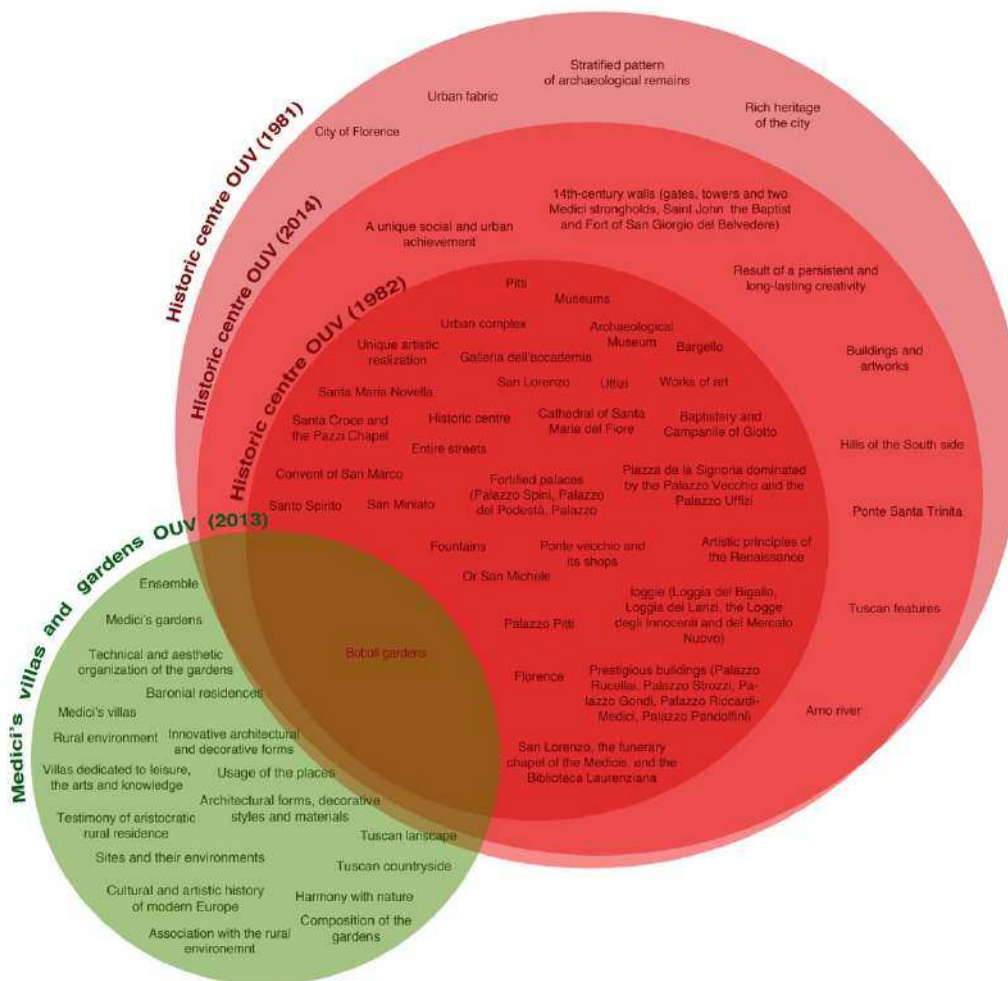


Figure 25: Attributes (tangible and intangibles) involved in the description of Florence’s OUV: in red those associated with the proposal of inscription of Florence’s historic centre in the WHL by the Italian Government in 1981, with the ICOMOS evaluation of 1982 and with the *Retrospective Statement of OUV* of 2014. In green those associated with the inscription of Medici’s Villas and Gardens of 2013.

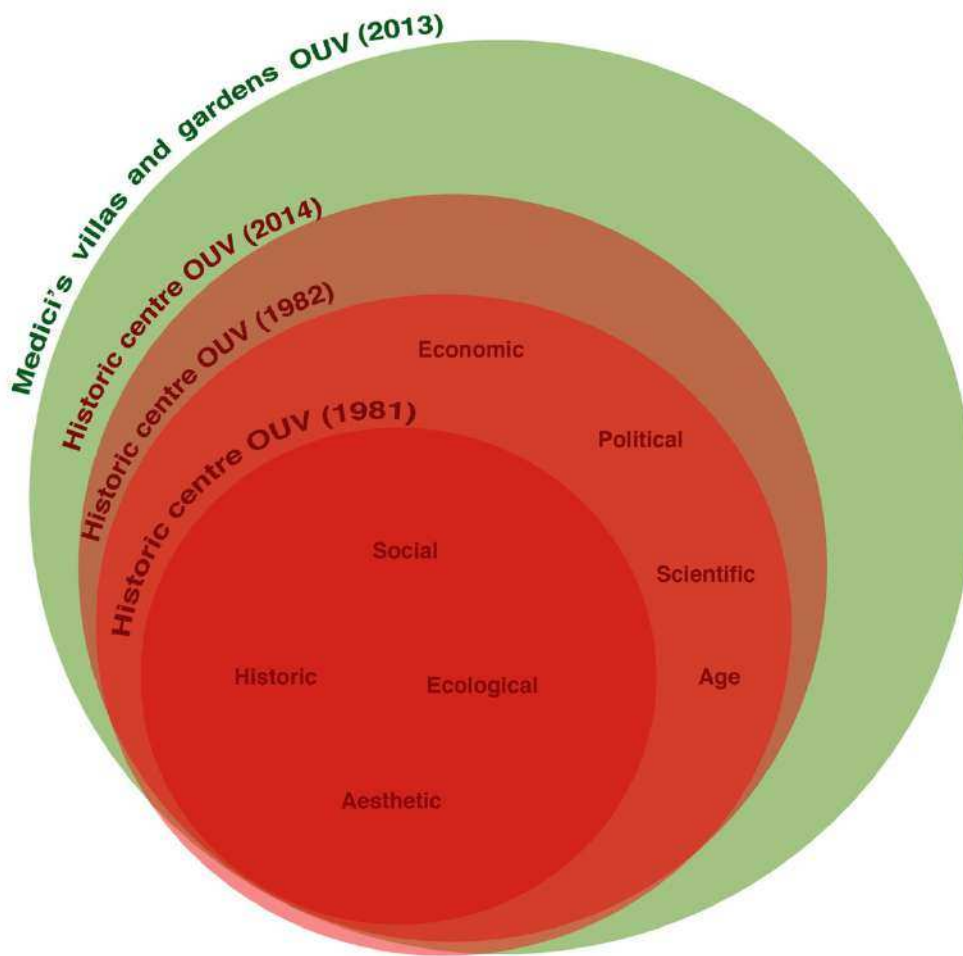


Figure 26: Values involved in Florence's OUV: in red those associated with the proposal of inscription of Florence's historic centre on the WHL by the Italian Government in 1981, with the ICOMOS evaluation of 1982 and with the *Retrospective Statement of OUV* of 2014. In green those associated with the inscription of Medici's Villas and Gardens of 2013.

4.1.3 Florence's Urban Heritage Today: from "Historic Centre" to "Historic Urban Landscape"

Current State of Integrity and Authenticity

The previous paragraphs demonstrated how the definition of the Historic Centre of Florence's OUV was enlarged over time to include landscapes and natural elements, as well as its relation to the surrounding hills. In addition, the statement of integrity of the WH property described in the *Retrospective Statement of OUV* says that "the urban environment of the historic centre remains almost untouched

and the surrounding hills provide a perfect harmonious backdrop” and that “this landscape maintains its Tuscan features, adding to its value” (UNESCO, 2014b: 93, Decision WHC-14/38.COM/8E). Moreover, the statement of authenticity of the WH property, included in the same document, further specifies how “the setting of Florence, surrounded by the Tuscan hills and bisected by the Arno River, has remained unchanged throughout the centuries” (*ibid.*: 94).



Figure 27: Panoramic view of the city of Florence and its surrounding hills from the Bardini’s gardens. © Francesca Giliberto

Florence is located at the centre of a wide valley that takes the form of an amphitheatre, which includes the cities of Florence, Prato and Pistoia. It is also surrounded by the hills of Cercina (North), the hills of Fiesole in (North-East), of Settignano (East) and of Arcetri, Poggio Imperiale, Bellosguardo (South). The hills are characterised by the historical cultivation of olive trees and by the presence of numerous rural buildings, suburban villas and historic settlements. These elements contribute significantly to a sense of identity due to their balanced relationship between urban and natural landscapes (Florence Local Council, 2011). Furthermore, the urban character of the city is enhanced by a series of minor historic villages and towns, which constitute a wider urban settlement system, historically layered over time. Their location in Florence’s broader urban and peri-urban context makes them an integral part of its urban heritage, as they link urban settlements and the open and rural landscape. This landscape, always represented in the historic iconography of the city (Bini *et al.*, 2015) as a natural backdrop, frames the urbanised and anthropic settlement systems. The presence of

important vistas and visual axes creates a series of visual and historical connections between Florence's surroundings with the inner city as well as with single relevant monuments. The river Arno crosses both the valley and the city, dividing them in two areas, northern Valdarno (*al di quà dell'Arno*) and southern Valdarno (*al di là dell'Arno*), and constitutes an important element of the historic urban landscape, as it is historically relevant and links the urban settlement with the open landscape.



Figure 28: Traditional shops on Ponte Vecchio. © Francesca Giliberto

In addition to Florence's setting and surrounding landscape, "original buildings with traditional building materials such as *pietra forte*, *pietra serena*, plasterwork, and frescoes", which local citizens with their own traditions have preserved over the centuries (UNESCO 2014: 94). They contributed to building volume and ornate decorations, which constitute other important elements of authenticity of the site. These elements, combined with an urban setting with medieval roots and narrow streets, creates a Renaissance identity. This identity has been preserved despite the 19th century urban transformations and now strongly characterises the particular features of Florence's OUV. In addition to these tangible attributes, "unique Florentine handicraft and traditional shops" offer a concrete connection and continuity with the local tradition and history (*ibid.*). Considering all of these elements, it is essential to underline that Florence's

historic centre cannot be considered in isolation from its setting. Its relationship with the surrounding landscape (urban and natural), its particular urban character (building volume, narrow streets, decorations, techniques and materials), and its immaterial continuity with the past are all still in use today thanks to the traditional commercial activities that still take place in the city.

Current State of Conservation and Factors Affecting the Property

According to the most recent *Periodic Report*, the current state of authenticity of the *Historic Centre of Florence* and of the *Medici’s Villas and Gardens* has been preserved, and their integrity is intact and their state of conservation is predominantly intact (World Heritage Centre, 2014a). However, the artistic heritage of the WH property might be seriously affected by the flooding of the river Arno, which is considered as its main threat (*ibid.*: 8). Moreover, current social and economic processes of change, as well as development pressures existing in the context of a living city like Florence, may affect its urban heritage and the WH property’s OUV. The following paragraphs aim to underline the most critical current challenges.

With its 381.037 inhabitants,¹⁰⁶ of which 59.574 foreigners, Florence is the capital of the Tuscany Region and the centre of the metropolitan area of the Provinces of Firenze, Prato and Pistoia. This area has a total of 618.991 inhabitants, and is considered a “Metropolitan City” with a new administrative body that substituted the Provinces as a territorial authority in 2014 (Florence Local Council, 2011: 23).¹⁰⁷ The entire Florentine area is considered one of the most important drivers of regional development, in terms of production capacity, dynamism of investments and foreign market penetration (*ibid.*). In recent years, this metropolitan area has been subjected to transformation dynamics that have changed its physical borders and social structure (*ibid.*). From the 1970s, Florence has faced a transformation in its manufacturing system and a de-industrialisation process. The technological evolution, improvements in systems of transportation and infrastructures and the appearance of growing economic disadvantages, have

¹⁰⁶ The data is referred to 1st January 2015. Source: http://statistica.fi.it/opencms/opencms/MenuPrincipale/Dati/Popolazione_Firenze/index.html?comune=firenze (Accessed 16/05/2016)

¹⁰⁷ According to the Law 7 April 2014, n. 54 “*Disposizioni sulle città metropolitane, sulle province, sulle unioni e fusioni di comuni*”, which disciplines the institution and substitution of the metropolitan cities to provinces as local authority of broad area, in region with ordinary statute.

brought about new types of production (e.g. business and personal services) and the territorial decentralisation of more traditional factories (*ibid.*). Therefore, the metropolitan area has faced a shift from a “monocentric city” model, where Florence and its factories had dominated over its minor neighbourhood municipalities, to a “diffused city” model where the connections between these municipalities, each with its own function, attract residential functions from Florence's inner city, creating a complex urban system.

Florence, however, continues to be the centre of some of the most innovative and qualified production systems in the country (chemical-pharmaceutical, mechanic and electronic sectors), which benefit from the proximity to businesses, research centres and services. The city is also characterised by growing commercial and tertiary activities. Moreover, since the 1950s, Florence has developed a prominent fashion sector, and has become one of the most important fashion districts of the Made in Italy. In addition to these commercial sectors, small historic shops located in the historic centre of Florence have a central role in the promotion and transmission of top-quality traditional handicrafts activities (processing of leather, ceramics and textiles). These activities take place especially in the Oltrarno district, where recently new handicraft and creative activities have spread into public urban space (Firenze Patrimonio Mondiale, 2016).



Figure 29: Traditional “trattoria” (local restaurant) in the historic centre of Florence.
© Francesca Giliberto

Florence’s outstanding heritage and traditional handicraft products undoubtedly make it an appealing city, however the presence of numerous cultural activities (museums, festivals and cultural institutions) and a strong culinary tradition available in local ‘trattorias’ and ‘osterias’ (typical restaurants) also greatly contribute to its appeal. Florence is visited every year by an enormous amount of tourists: according to the Florence Centre for the Study of Tourism, in 2014 there were around 3,5 millions of arrivals and more than 8,5 millions tourists’ overnights (*ibid.*: 41). Moreover, the most recent *Management Plan* underlined an increase in the number of visitors and tourists from 2004 (*ibid.*). This incredible tourism flow, concentrated especially in the historic centre, strongly contributes to the local economy. Commercial activities, as well as hotels and restaurants, cover 39,5% of the total economic activities (Florence Local Council, 2011). Tourists, however, are not the only visitors in the city: the presence of the university and of job opportunities, attract around 101.000 commuters every day, who come to the city to study or for professional reasons.



Figure 30: Tourists’ concentration in Piazza della Signoria, Florence. © Francesca Giliberto.

However, the high number of tourists only come for a limited amount of time (a few hours) and mainly visit the central area of the city (Firenze Patrimonio Mondiale, 2016; World Heritage Centre, 2014a).¹⁰⁸ This causes congestion within

¹⁰⁸ In particular the area that comprises “San Marco – Galleria dell’Accademia – Piazza del Duomo – Piazza della Signoria – Ponte Vecchio – Piazza Pitti”.

the historic centre, a condition that is also increased by the presence of an active nightlife, enjoyed essentially by tourists and students. These aspects threaten the urban liveability of the area, and stands in contrast with the needs of local residents. Furthermore, the presence of commercial activities destined for tourists, such as bars, restaurants and street vendors, contributes to the saturation of public space, affecting the free use of urban spaces (Firenze Patrimonio Mondiale, 2016).



Figure 31: Touristic commercial activities covering the panoramic view of the historic centre from Piazzale Michelangelo, Florence. © Francesca Giliberto

Moreover, there is a general trend towards gentrification in the city centre as houses and apartments are converted into bed & breakfasts and public buildings are sold to private investors to be transformed into luxury hotels. This growing trend towards accommodating tourists' needs over those of local residents has caused a reduction in the number of local citizens living in this area (Semboloni, 2009). They tend to move from the WH site toward the urban periphery and neighbouring municipalities, looking for a better quality of life and the presence of more services destined for local citizens (e.g. local retail segments). In fact, the official demographic data available on the Local Council of Florence website shows how the number of residents in the historic centre has decreased from 67.436 inhabitants in 2010 to 66.867 in 2017.¹⁰⁹ Moreover, it shows how the number of foreigners has increased from 12.911 in 2010 to 14.885 in 2017. This process has strongly compromised the social tissue and urban identity of the historic centre, where foreign visitors have changed urban and social dynamics,

¹⁰⁹ For more information please see:
http://statistica.fi.it/opencms/opencms/MenuPrincipale/Dati/Popolazione_Firenze/index.html?comune=firenze

being more willing to cover the higher costs of living in this portion of the urban environment (*ibid.*). In addition, the increase in new bars and restaurants destined for tourists has reduced the quality of local food and Tuscan culinary traditions, one of the city's most relevant intangible assets (Pieraccini, 2017).

Moreover, the impact of tourism and the intensive use of private modes of transport have caused problems in urban mobility (in-bound and out-bound traffic especially in working hours) and in air and noise pollution in the entire urban environment (Paolini, 2014: 311-323; World Heritage Centre, 2014a; Firenze Patrimonio Mondiale, 2016: 43). In order to reduce these negative effects, potential infrastructures and mobility development projects (train-lines, tram-lines, roads, urban underpasses and bypasses) and the cycle pedestrian paths envisaged in the Florence *Structural Plan* may damage, if not properly managed, the urban integrity and authenticity of the historic centre and its relation with the surrounding landscape over time (Florence Local Council, 2011).

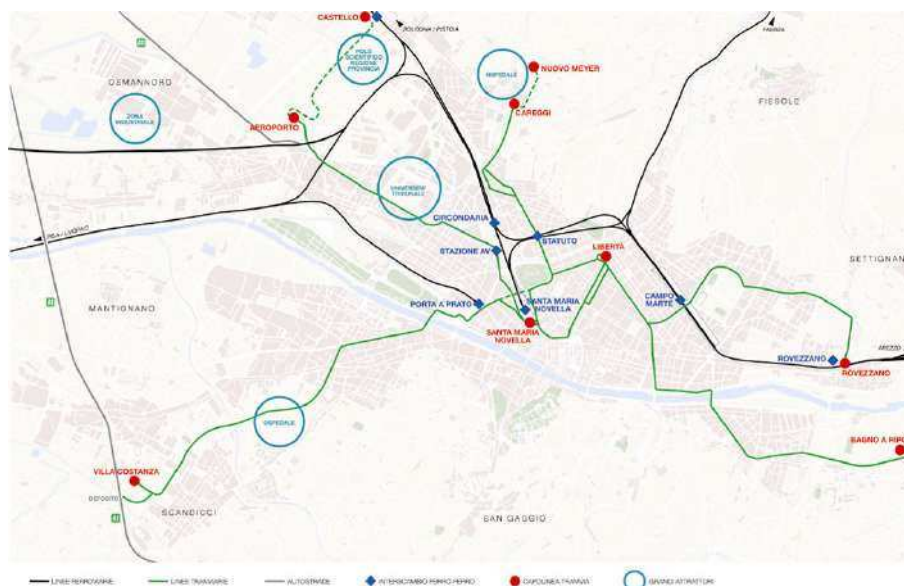


Figure 32: Proposed tramline network to be constructed in the city of Florence (part of the proposed infrastructures have already been built). Source: Florence Local Council (2015g). *Florence's tramway network and its UNESCO World Heritage site Historic Centre*. Firenze: Comune di Firenze, p. 3.

Notably, in 2015, the media press underlined major development issues raised by a group of local citizens, including architects, archaeologists, engineers, historians and academics (Lepore and Delbuono, 2016). In addition to the sale of

high-quality historic buildings (e.g. Rotonda Brunelleschi), they stressed the negative impacts that the new infrastructures (Tramline 2 and 3, new airport and under-ground parkings), which were under or soon to be under construction, may have an impact on the OUV of the WH property. On 10th March 2015, they sent a letter to the UNESCO WH Centre, which then started to “observe” the Historic Centre of Florence from 27th May 2015 and asked for a clarification on these development projects (Lepore and Delbuono, 2016; Redazione, 2015).

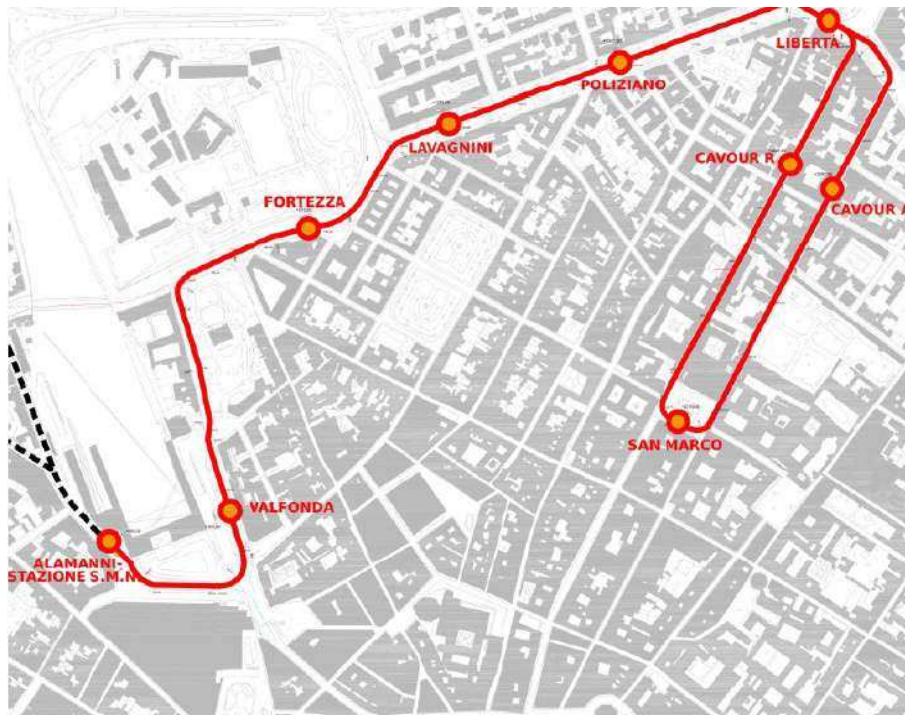


Figure 33: Map of the “Alternativa al centro storico”, with the route change to the tramline 2 proposed by the Municipality of Florence to reduce the impact of the new infrastructure on the WH property’s OUV. Source: Florence Local Council (2015g). *State of Conservation for UNESCO site n. 174 "Historic Centre of Florence". Site Manager Technical Note*. Florence: Comune di Firenze, p. 3

The most critical point was the route of Tramline 2, “which leaves from Peretola Airport, crosses the Novoli quarter, reaches Santa Maria Novella Railway Station and runs through the historic centre, running along the Battistero in Piazza del Duomo (...) until it reaches Piazza delle Libertà” (Florence Local Council, 2015g: 13). The vibrations caused by passing trams may have a detrimental impact on historical assets, such as the Battistero or the Palazzo Medici Ricciardi. Moreover, it might impact the visual integrity of the WH site because of the presence of tram system facilities and equipment (*ibid.*). Nevertheless, the *Site*

Manager Technical Note on the state of conservation of the Historic Centre of Florence sent to UNESCO on 28th January 2015, clarifies that the route of Tramline 2 was substantially changed in order to reduce its impact on the WH site, with the project “*Alternativa al centro storico*” (see Figure 33) approved by the Ministry of Infrastructure and Transport in 2007 (Florence Local Council, 2015g: 2). Therefore, the new infrastructure “is considered to all intentions and purposes an improvement towards the artistic and monumental heritage as it will result in a reduction of congestion and greenhouse gasses pollution in the area of the Historic Centre” (Florence Local Council, 2015g: 4).

An Additional Protection Layer: the Buffer Zone

Considering the contemporary pressures affecting the property and the need to manage contemporary transformations, a *buffer zone* was defined, in addition to the existing legislation and planning tools,¹¹⁰ as it would provide an additional layer of protection for Florence’s WH properties in relation to their broader urban context and geographical setting. The *buffer zone* was defined considering Florence as an “Historic Urban Landscape”, in accordance with the *HUL Recommendation* (UNESCO, 2011b; Bini *et al.*, 2015). It was approved by the 39th session of the WH Committee held in Bonn in 2015. The *buffer zone* has been extended over 10.480 hectares and is limited by northern, southern and eastern hills surrounding Florence and the north-west valley (see Figure 34). The boundary was defined through a joint study of the University of Florence and the Local Council on the basis of three levels: regional, as it considers the broader systems of historic centres which include Florence; provincial, as it takes into consideration the important public visual axes and vistas where the historic centre can be seen from the surrounding hills; local, as it is linked to the city skyline and to different historic layers and cultural relations between the core property and its urban environment (Bini *et al.*, 2015). The perimeter of the *buffer zone* is very broad if compared to the core zones of other WH sites, as it takes into consideration the whole historic urban landscape of Florence, extending beyond the urban municipal boundaries and also comprises the territories of four neighbouring municipalities (Florence, Fiesole, Bagno a Ripoli, Sesto Fiorentino).

¹¹⁰ For more information see *Chapter 5 “Assessing Local Urban Management Policies: Results of Case Study 1 (Florence, Italy)”*.

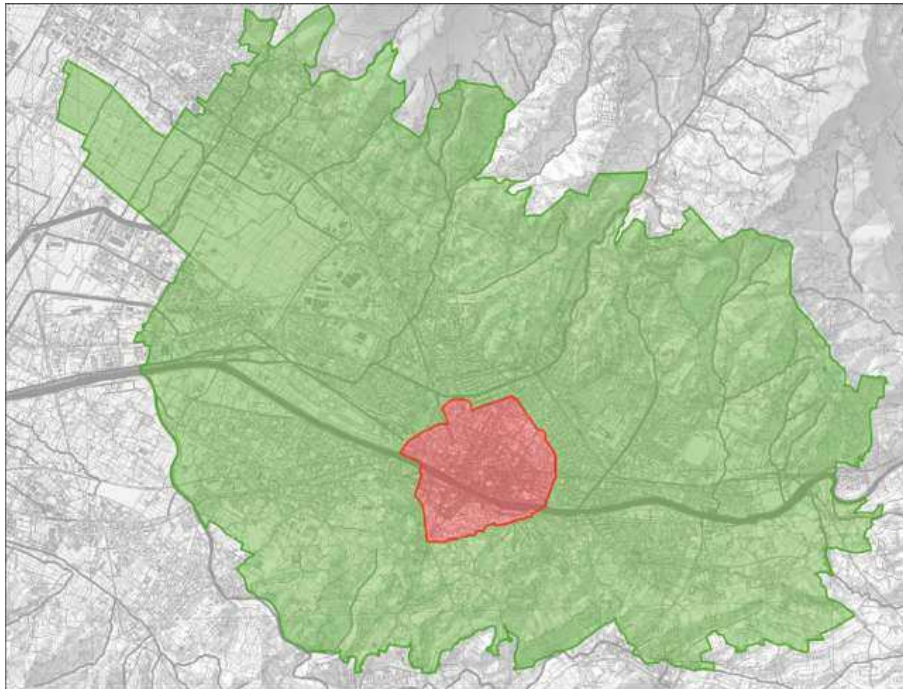


Figure 34: Map of the boundaries of the core zone (in red) and of the *buffer zone* (in green) of Historic Centre of Florence, WH property. Source: MIBACT (2015). *Maps of the inscribed minor boundary modification, Historic Centre of Florence.*

However, the “line” that indicates the portion of the historic urban landscape that deserves supplementary protection measures is problematic, as it excludes neighbouring areas from this safeguarding (Participant 10a, 12/10/2016). Moreover, even if historic and cultural layers were involved in the definition of its boundaries, the *buffer zone* is theoretically conceived and promotes a very aesthetic and perspective approach to the urban management of change, particularly if compared to the approach suggested in the *HUL Recommendation* or the *UNESCO Policy Document* (UNESCO, 2011b; UNESCO, 2015b). In fact, for the first time in the management of Italian WH sites, the *buffer zone* identifies 18 relevant views and visual axes that must be respected in case of contemporary urban transformations, encouraging a safeguarding based only on the city’s most important visual relationships between urban heritage attributes. Furthermore, the buffer zone is not a prescriptive tool and it works as a supplementary safeguarding tool for urban heritage. To be effective, it must be incorporated into local urban planning tools and regulations. In this case, these 18 relevant views were included as elements that require protection, with a revision of the *Structural Plan* approved by the Local Council in 2014 and with the *Town Planning Regulation* of 2015 (see *Chapter 5*).

4.2 Understanding Edinburgh’s Urban Heritage

4.2.1 Edinburgh as a “World Heritage City”: the Inscription of the “Old and New Towns of Edinburgh” in the World Heritage List

Considering the relevance of the cultural heritage of the city, the State Party decided to propose its inscription on the World Heritage List (WHL) in 1994. The main justification for its inclusion by the State Party was the architectural and historical importance of the city (historic, age, aesthetical values), as it is considered a unique European capital of the Renaissance period (ICOMOS, 1995: 78-81). Moreover, it represents the growth of Scottish civilisation, of its church, its law and its legal system (social and political values). Edinburgh’s architecture is indicative of national character and was the result of a “spectacular programme of civic expansion, driven by a desire for national prestige, and yet international in character”, which received a “brilliant and exciting” as well as pioneering civic response (social value) (*ibid.*). The city’s uniqueness is due to its “duality” between the Old Town, which contains two planned 12th century burghs, and the 18th century New Town, as well as their relationship with their contexts and the natural and urban landscape of the city (ecological value) (*ibid.*).



Figure 35: Panoramic view of the Old Town of Edinburgh from Calton hill.
© Francesca Giliberto

The most important features of the medieval Old Town are defined by a series of tangible and punctual elements (palaces, churches, residential buildings, castle, tenements, Royal mile, etc.) and the relationships between these different cultural and natural attributes (urban skyline, natural setting).¹¹¹ Whereas, the New Town offers a contrasting urban typology, which is distinguished by an atmosphere of “ordered classicism” made of an exceptional concentration of “neo-classical buildings of world-class distinction” (*ibid.*). Moreover, the relevance of the New Town is not only related to the high quality of its individual buildings, but mostly to its planned ensemble (scientific value), being an outstanding example of the development of urban architecture, and “amazing size of the area” covered by these “ashlar-faced architectures”, surviving almost intact (*ibid.*).



Figure 36: Map of the boundary of the Old and New Town of Edinburgh, World Heritage site. Source: Edinburgh World Heritage, Edinburgh City Council and Historic Environment Scotland (2011). *The Old and New Towns of Edinburgh World Heritage Site. Management Plan 2011-2016* (original version edited by the author).

In 1995, ICOMOS recommended the inscription of the property on the WHL because “The Old and New Towns of Edinburgh” represents a “remarkable blend of the urban phenomena of organic medieval growth and 18th and 19th century town planning (*ibid.*). The successive planned expansions of the New Town and the high quality of the architecture set standards for Scotland and beyond” (ICOMOS, 1995: 81). With this definition, it stressed the importance of the city’s

¹¹¹ For the full list of attributes and associated values considered please see *Annex 10*.

OUV due to the presence of two different urban districts, each of them with its peculiar features, but creating a unique urban environment, “of extraordinary richness and diversity, without parallel anywhere in the world” (*ibid.*).



Figure 37: Picture of the Royal Mile in the Old Town of Edinburgh. © Francesca Giliberto

The UK nomination was positively welcomed during the 19th Session of the World Heritage Committee held at in Berlin, Germany in 1995 (UNESCO, 1995: Decision CONF 203 VIII.C.1) and the “Old and New Towns of Edinburgh” were inscribed in the WHL in 1995, under the category of “group of buildings” (UNESCO, 1972: Art. 1), like in the case of Florence (see *Section 4.1*). The property, encompassing an area of 444.36 hectares, including the two areas of the Old and New Towns of Edinburgh (see Figure 36) and covering a huge area in the city centre, was inscribed according to criteria (ii) and (iv) as “it represents a

remarkable blend of the two urban phenomena: the organic medieval growth and 18th and 19th century town planning” (UNESCO, 1995: 49).¹¹²



Figure 38: Example of ashlar-faced architecture in the New Town of Edinburgh.
© Francesca Giliberto

The description of the two criteria was further specified with the adoption of the *Retrospective Statement of OUV* in 2013 elaborated by the State Party (UNESCO, 2013: Decision: 37 COM 8E). It stated that through the subsequent planning expansion of the New Town, composed of impressive architectural structures, the property had a fundamental role in influencing architecture and town planning throughout Europe over the XVIII and XIX centuries (criterion ii). The combination of the two different planning systems of the medieval Old Town and the 18th and 19th century New Town, testifies of the evolution of European urban planning (criterion iv). Moreover, with the adoption of the *Retrospective Statement of OUV*, the description of the OUV was further enlarged to include additional urban and landscape elements. The Old and the New Towns are now considered as “townscapes” and their juxtaposition defines an “urban structure unrivalled in Europe”, exemplifying two different urban planning phenomena.

¹¹² According to the *Operational Guidelines* adopted in 1994 (UNESCO, 1994a) the criteria were slightly modified in relation to the definition provided in 1982 when Florence was inscribed in the WHL. In 1994, the criteria (ii) and (iv) were defined as follows:

(ii) have exerted great influence, over a span of time or within a cultural area of the world, on developments in architecture, monumental arts or town-planning and landscape design;

(iv) be an outstanding example of a type of building or architectural ensemble or landscape which illustrates (a) significant stage(s) in human history.

Moreover, when considered alongside the Waverley Valley, the urban viaduct (North Bridge) and the Mound, the two towns become an “outstanding urban landscape”. Furthermore, the attributes that characterise the two urban townscapes have now been defined in more detail, as their definition now includes additional urban and natural elements, which were previously not explicit (see Figure 39).

The Old Town’s attributes now include the burgage plots of the Canongate, the location of the distinctive tenement buildings on the narrow ‘tofts’, or plots separated by lanes or ‘closes’, the medieval “fish-bone” street pattern of narrow closes, and wynds and courts forming the High Street. Whereas the New Town is now also defined by gardens, designed to take advantage of the site’s topography, the private and public open spaces as well as green spaces. Finally, the “spectacular views and panoramas” are a very important addition to the previous description and the “iconic skyline” is a result of the “dramatic topography of the Old Town combined with the planned alignments of key buildings in both the Old and the New Town”. In fact, these new elements not only implicate that single and punctual attributes spread over the city centre (old and new) have to be considered, but also the relationships between these different attributes, both in terms of visual perceptions and of connection between attributes and their (urban and natural) setting.

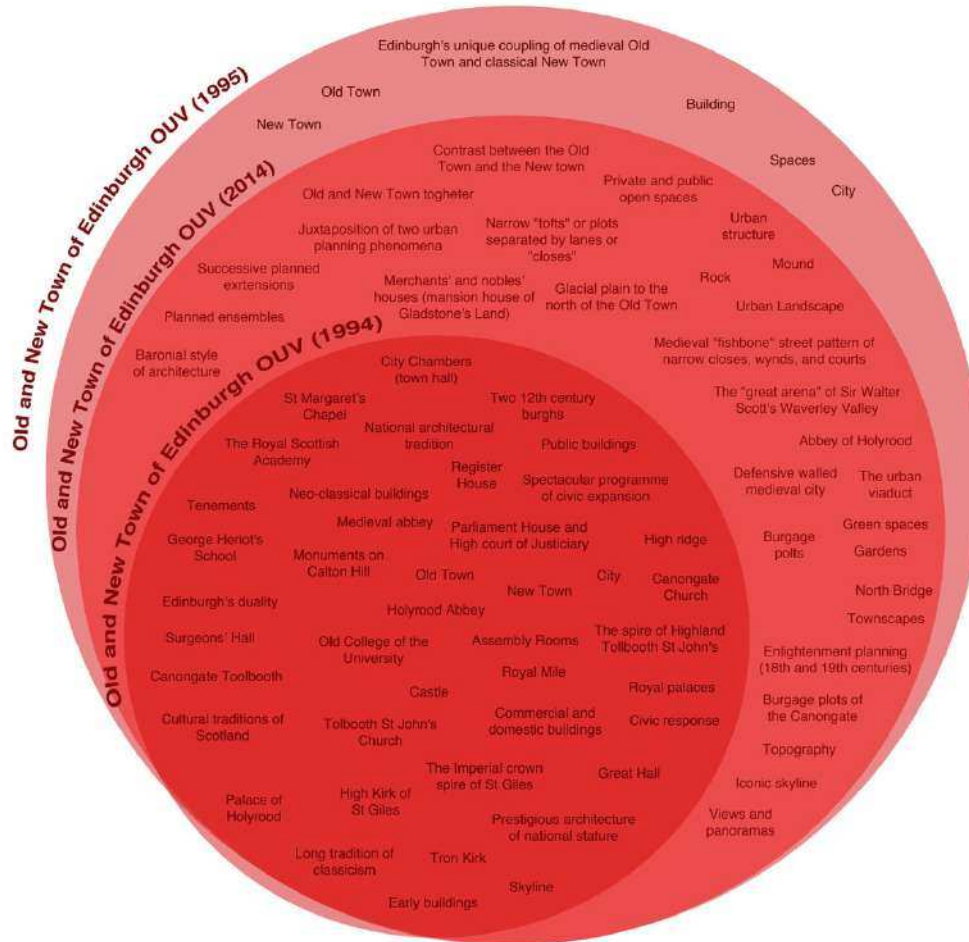


Figure 39: Attributes (tangible and intangible) involved in the description of Edinburgh's OUV: in red those associated with the proposal of inscription of the Old and New Town of Edinburgh on the WHL by the UK Government in 1994, with the ICOMOS evaluation of 1995 and with the *Retrospective Statement of OUV* of 2014.

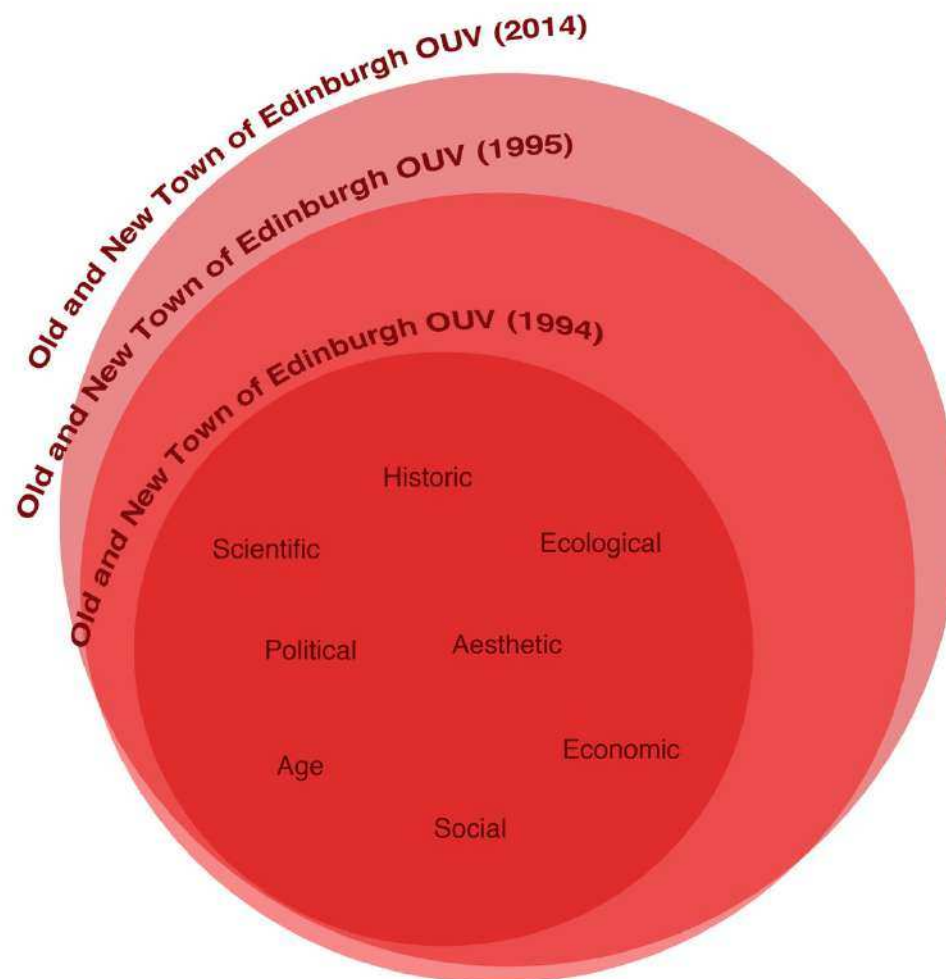


Figure 40: Values involved in Edinburgh’s OUV: in red those associated with the proposal of inscription of the Old and New Town of Edinburgh in the WHL by the UK Government in 1994, with the ICOMOS evaluation of 1995 and with the *Retrospective Statement of OUV* of 2014.

4.2.2 Edinburgh’s Urban Heritage Today: from the “Old and New Towns” to “Historic Urban Landscape”

Current State of Integrity and Authenticity

As in the previous case study, the definition of the OUV of the Old and New Town of Edinburgh were made in three different steps (1994, 1995 and 2014). This demonstrates how the attributes and values, associated with the WH property, were extended to include more urban elements (including layout,

buildings, open spaces, gardens and views, which are an integral component of Edinburgh's setting and townscape) and a broader and more relevant connection between the proper boundary of the site with its surrounding landscape. The property's setting and its townscape are composed of different types of spaces, gardens (e.g. Old Town gardens) and designed landscapes (e.g. Princes Street and Queen Street Gardens) that contribute to the definition of an historic urban landscape. In addition, "dramatic topographical features such as the Castle Rock, Calton Hill and Arthur's Seat (outwith the site), and the Water of Leith valley provide additional significant contribution to visual character and vistas", as it is in contrast with the "built elegance of the New Town" (Edinburgh World Heritage *et al.*, 2011: 53).



Figure 41: Tenement building in contrast with contemporary architecture (offices) in the Quatermile development district (south of the Old Town). © Francesca Giliberto

Moreover, the statement of integrity of the WH property, described in the *Retrospective Statement of OUV*, highlights that the "property forms a remarkably consistent and coherent entity which has developed and adapted over time" (UNESCO, 2013: 290). Although the city is a living and vibrant urban environment faced with constant change, it has preserved its skyline and key views within and outside of the WH site, which were fundamental attributes of the property's OUV. In addition, the authenticity of the property has been maintained to a high standard as many high-quality buildings of different ages and the layout of streets and squares have been preserved (*ibid.*). While conserving its outstanding heritage, the authenticity of the property is also made by the fact that

the city has also been able to retain “its historic role as the administrative and cultural capital of Scotland, while remaining a vibrant economic centre” (*ibid.*).

Current State of Conservation and Factors Affecting the Property

According to the most recent *Periodic Report*, the current state of authenticity of the WH property has been preserved. It states that its integrity is intact and that its state of conservation is also predominantly undamaged (World Heritage Centre, 2014a: 12). However, similarly to Florence, the conservation status of the WH property is not “immune to the effects of climate change, fire and flood risk”, or as a living and thriving city, to the pressures of development (Edinburgh World Heritage *et al.*, 2011: 64).

In a constant state of change and evolution since the 12th century, Edinburgh is today a capital city of 495.360 inhabitants, representing the political and economic centre of Scotland (Edwards and Jenkins, 2005). The city has an increasingly important financial and business services sector, as it is the second financial centre in the UK after London and provides 85.000 jobs in the WH site (Edinburgh City Council, 2010; Edinburgh World Heritage *et al.*, 2011: 51). It is also the centre of government administration, where the Scottish parliament was established in 1997. Moreover, the city is also a major centre for culture and leisure, hosting a variety of cultural events, notably the summer festival (Edinburgh City Council, 2010). It is also the second largest touristic destination in the UK for both holiday and business (Edinburgh World Heritage *et al.*, 2011). Since the 1580s, Edinburgh has been a research and university centre, attracting around 58,000 students a year as well as numerous companies active in the international markets (*ibid.*: 52; Edinburgh City Council, 2010). For all these reasons, the city of Edinburgh, however, is not only appealing as a touristic destination, but also offers a high-quality environment, being a vibrant place to live and work (Edinburgh City Council, 2010; Edinburgh World Heritage *et al.*, 2011). However, being a capital city and the centre of a high concentration of activities and sectors (financial, university, touristic, cultural centre, etc.), it also has similar needs to Florence; it requires an increase in personal mobility to connect the city centre with the periphery although it is likely to have “significant consequences for the environment, with the transport sector accounting for an increasing proportion of energy consumption, carbon emissions and other pollutants” (Edinburgh World Heritage *et al.*, 2011: 58-59).

In this context, the WH property, extended over the city centre, includes a number of government, commercial, educational, legal and residential uses (*ibid.*: 9). Being a cultural, economic and political centre, one of the top priorities of the Scottish Executive is sustaining the city's prosperity and growing the Scottish economy (Edinburgh City Council, 2010: 7). Considering the number of businesses located in the WH site, the historic centre of Edinburgh is a very attractive environment for the location of new activities while also being a critical area for urban heritage conservation (Edinburgh World Heritage *et al.*, 2011: 51-52).¹¹³ As a consequence, Edinburgh's historic urban environment and its WH property are continuously challenged by development pressures and transformations in terms of "office accommodation, shopping floor-space, hotels, leisure facilities, for much more housing of various types and tenures, and for better transportation facilities" (Edinburgh City Council, 2010: 8). These development pressures need to be carefully managed and guided to guarantee the preservation of the city's urban heritage.

The Heritage team at the UK Department for Culture, Media and Sport recognized seven development proposals in the WH property, "some already under construction, some approved and some still pending" (ICOMOS, 2015: 2):

Development project	Description	Current status
<i>Royal High School</i>	New luxury hotel, result of adapting of this iconic building, and construction of new built elements	Application pending
<i>Caltongate Development Site</i>	Proposed major mixed-use development; including, hotel, commercial, community and leisure use	Approved and under construction
<i>Former Donaldson's School, West Coates</i>	Residential conversion of 'A' listed building	On-going
<i>St James Quarter</i>	Major mixed-use development	Planning permission is already in place; approved
<i>Top Shop, Former Forsyth's building, Princes Street</i>	Unauthorised removal of significant architectural feature ('gold-leafed globe')	/
<i>42 St Andrew Square & West Register Street</i>	Current applications for major city developments	/
<i>1-6 India Buildings, 11-15 Victoria Street, 18-20 Cowgate</i>	Mixed-use development subject to a current Planning Application Notice	Planning Application Notice

¹¹³ For more information see *Chapter 6* "Assessing Local Urban Management Policies: Results of Case Study 2 (Edinburgh, UK)".

Some of these development projects were reported in the media which caught the attention of ICOMOS-UK.¹¹⁴ ICOMOS-UK then carried out an exploratory visit in the Edinburgh WH site on 13-14th October 2015 “with a view to assessing the impact of recent and pending planning decisions” (Edinburgh City Council, 2016: 3). They carried out a technical review that underlined that “there are also a range of other current projects and proposals within the buffer zone and in the vicinity of the WH property” (*ibid.*). Moreover, the media press reported that there “could be hundreds of applications considered over the coming years” (*ibid.*). On the basis of ICOMOS’ findings, UNESCO sent a letter on 18th December 2015 to the WH site managers, including the ICOMOS technical review, asking for a clarification of the current state of conservation of the “Old and New Towns of Edinburgh (UNESCO Culture Sector, 2015; ICOMOS, 2015). The letter highlights the major challenges to the conservation of the WH property’s OUV, including the impact of some current development projects on major buildings and on the visual integrity of the WH site. It also highlighted that local and national governance “lacks an integration of heritage values, and the process is weak as a result” (UNESCO Culture Sector, 2015: 1).

The ICOMOS technical review identified two development projects in particular that may seriously challenge the OUV of the WH property: the *Ribbon Hotel project* in St James Quarter (see Figure 42) and the *Royal High School* renovation (see Figure 43 and Figure 44). The potential negative impacts of these projects were also discussed by several press articles available online (Green, 2016; Kenwright, 2016; Taylor-Foster, 2015; Wilne, 2016; Witts, 2016). The contemporary design of the *Ribbon Hotel project* is considered “not consistent with the surrounding built form”, and if constructed, it could be “an intrusive element which will adversely impact on the visual integrity of the WH property” (ICOMOS, 2015: 2). The *Royal High School* instead is considered a “truly exceptional historic building in the WH property” and a “fundamental contribution to the OUV of the WH property” (*ibid.*). Closed from 1968 and now owned by the City of Edinburgh Council, the building is now the object of future use considerations. Current renovation proposals include interventions on both buildings and the setting, and are considered “inconsistent with the architectural majesty of the original design conception” and can therefore have an adverse impact on the property’s OUV (*ibid.*).

¹¹⁴ The UK National Committee of ICOMOS.



Figure 42: The *Ribbon Hotel project* in St James Quarter. Source : <https://www.bighospitality.co.uk/Article/2016/02/09/Could-this-hotel-cost-Edinburgh-its-World-Heritage-status>



Figure 43: View of the Royal High School from Calton in Hill, Edinburgh.
© Francesca Giliberto



Figure 44: View of the Royal High School from the Caltongate Church, Edinburgh.
© Francesca Giliberto

Additional protection measures for Edinburgh’s historic urban landscape

Considering these key elements of the WH site and recognising the need for adequate protection from development pressures, particularly within the boundaries of the WH property which may affect the OUV, it was suggested to create a *buffer zone* during a UNESCO monitoring mission carried out in 2008 (World Heritage Centre, 2008a). However, the city decided to adopt a different approach: the *buffer zone* was considered “not needed” (World Heritage Centre, 2014b: 4), as the Policy of Scottish and UK Governments is that “buffer zones are not always necessary, particularly where adequate layers of protection already exist” (Edinburgh World Heritage *et al.*, 2011: 45). This in line with the WH Centre’s *Operational Guidelines for the Implementation of the World Heritage Convention*, which allows this approach stating that an adequate *buffer zone* should be provided “whenever necessary for the proper conservation of the property” (UNESCO, 2015a: 20). There are eight different conservation areas that cover the entirety of the WH site (see Figure 45) and building designations

(around 75% of the building the WH site are listed buildings).¹¹⁵ A strategy to protect the key views is considered adequate protection for the WH property, as it goes beyond the protection layers that “a traditional buffer zone could offer” (*ibid.*: 4).

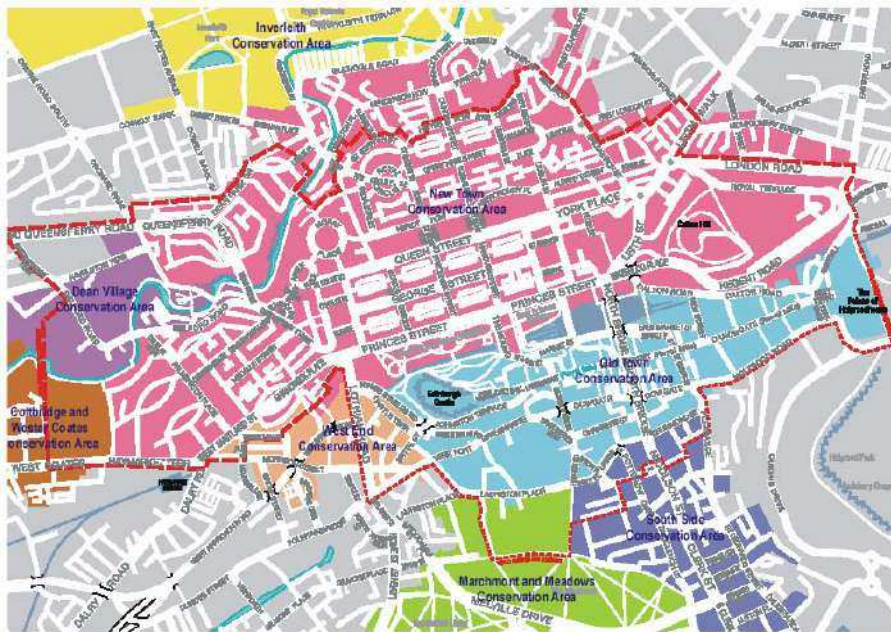


Figure 45: Identification of the eight conservation areas covering the Old and New Town of Edinburgh. The WH property's boundary is underlined with the red line. Source: <http://whc.unesco.org/en/list/728>

However, even without adopting a specific *buffer zone*, the City of Edinburgh Council has adopted a skyline policy specific to the protection of the WH property's setting. It is based on the Skyline Study carried out by Colvin and Moggridge Landscape Architects in 2008 which provides planning control for the safeguarding of key views (within and without the city as a whole, particularly focusing on the WH site), including silhouette and topographic features.¹¹⁶ It also regulates the impact that new tall buildings could have on the city centre. The skyline policy aims to protect and monitor the setting of the WH site, which is composed of the dramatic topography of Arthur's Seat, Calton Hill, the Firth of

¹¹⁵ Edinburgh has a total of 49 conservation areas, characterised by a special or historic interest, which must be protected by the Local Council through additional prescriptive measures and building control. More information about conservation areas in Edinburgh are available at:

http://www.edinburgh.gov.uk/info/20065/conservation/430/conservations_areas

¹¹⁶ For more information about the Skyline Policy please see:

http://www.edinburgh.gov.uk/info/20065/conservation/249/the_skyline_study

Forth and the surrounding hills (Edinburgh World Heritage *et al.*, 2011: 46). This policy, together with the presence of listed buildings and protected landscapes provides a “sophisticated tool to protect the OUV of the property” (World Heritage Centre, 2014b: 291) and therefore exemplifies a different kind of approach to the protection of the broader historic urban landscape than the one used in the case of Florence. The two approaches to urban heritage conservation, management and development are compared and critically discussed in *Chapter 7*.

4.3 Conclusion

Florence and Edinburgh constitute a particular kind of historic urban environment, as they have both large areas of their urban territory included on the WHL due to their OUV. Focusing on the urban heritage of the two case studies, this chapter aimed to understand what main attributes and values needed to be preserved over time, in order to transmit this exceptional heritage to future generations. The analysis of the official documents from the nomination process (*Nomination dossier* by the State Party, *ICOMOS Advisory Body Evaluation* and *Retrospective Statement of OUV*), indicate that the inscription of both sites exemplified a typical approach to the urban heritage of their time and was typical within their national contexts.¹¹⁷ Both properties were listed as a “group of buildings” and not as “sites”,¹¹⁸ a definition that would have better reflected the relation between their historic centres and the broader historic urban environments and surrounding landscape.

Moreover, the first nomination proposal for Florence reflects the Italian approach to heritage identification and protection throughout the 1980s (ANCSA, 1971; Guidicini, 1976; ANCSA, 1981; Gabrielli, 1993). While the nomination referred to the entire city of Florence, only its historic centre was proposed to be inscribed on the WHL, with its enormous concentration of cultural and natural attributes to convey the OUV of the entire city. Moreover, the first nomination essentially focused on the conventional values (aesthetic and historic) associated with cultural heritage. On the other side, the nomination of Edinburgh, proposed a

¹¹⁷ See *Section 1.4* “Framing the Evolution of an International Urban Heritage Conservation Doctrine in the 20th Century”.

¹¹⁸ According to the *Operational Guidelines for the Implementation of the World Heritage Convention* (UNESCO, 1980: 4-5), a cultural property could be inscribed on the WHL as a “monument”, a “group of buildings” or a “site”. Site are defined as “works of man or the combined works of nature and man, and areas including archaeological sites which are of outstanding universal value from the historical, aesthetic, ethnological or anthropological point of view” (*ibid.*: 5).

decade later, shows a different approach to the identification of the attributes and values composing the property's OUV. This reflects a different approach to the identification and management of heritage, although typical of the UK tradition on urban heritage conservation (Larkham, 1992; Delafons, 1997; Larkham, 1996; Rodwell, 2007: 86-106; Larkham, 2013). The UK tradition on urban heritage is based on the conception of the city as an evolving entity, and on the interconnection between natural and urban elements as well as to their relationship with the local community.¹¹⁹ This also places an importance on ecological and social values.¹²⁰ These two experiences also reflect the evolution of urban heritage conservation discourse, which developed during the late 1980s and 1990s.¹²¹

The impact that the evolution of international discourse on urban heritage conservation, management and development had on local nominations was also evident in the adoption of the *Retrospective Statements of OUV* for the WH properties of Florence and Edinburgh. Adopted in the second decade of the 21st century, they highlight how the attributes and values associated with the two WH properties were then enlarged to include a greater number of natural and urban elements, which were not specified in the previous nominations. The *Retrospective Statements of OUV* place a stronger relevance on the relationship between the two historic centres and the broader historic urban landscapes to which they belong. This is particularly true when looking at the statements of integrity and authenticity of the two properties, which consider urban heritage in a more integral and comprehensive manner, as they suggest a more holistic approach towards urban heritage conservation for both WH properties. Therefore, the whole historic urban environment and its relation with the surrounding landscapes, as well as the contemporary role of the city today (e.g. in terms of economic and commercial activities) should be carefully taken into consideration when safeguarding their integrity and authenticity over time.

The chapter underlined how the urban heritage of the two case studies, composed of exceptional historical stratifications of attributes and values, has been preserved over time through adequate regulatory frameworks and

¹¹⁹ See *Section 1.1* "Setting the Comparative Scene: Early Approaches to Urban Heritage Conservation in Italy and in the UK" and *Section 1.3* "The Post-War Period and the Reconstruction (1945-1970): Practical Experiments and Approaches to Urban Heritage Conservation in Italy and in the UK".

¹²⁰ *Ibid.*

¹²¹ See *Section 1.4* "Framing the Evolution of an International Urban Heritage Conservation Doctrine in the 20th Century".

conservation tools (World Heritage Centre, 2014a; World Heritage Centre, 2014b). It also highlighted that the heritage management plans at both WH properties were considered appropriate and fully implemented. However, whereas evolution and continuity are intrinsic features of living historic urban environments, it demonstrated how their urban heritage is challenged today by increasing pressures and development projects, which may have irreversible impacts on the cities’ distinctive historic character and on its socio-economic context. Therefore, it presented the most critical contemporary projects that may affect the two WH properties’ OUV. Current challenges and pressures that might affect urban heritage need to be carefully monitored and tackled by local urban management policies. They need to consider the whole historic urban landscape in order to assure adequate protection for the WH property, its setting and its surrounding landscape as well as for the relationships (visual, cultural, etc.) among different urban heritage’s attributes. This chapter briefly illustrated the existing additional protection tools for the whole historic urban landscape of the two cities, underling two different approaches (with and without a buffer zone).

Finally, the breaking down of the OUV through a list of attributes and values, categorised according to the taxonomy developed by Veldpaus (Veldpaus, 2015),¹²² constituted the starting point for the second step of the analysis, on the way to identifying how these attributes and values are currently being addressed by local urban management policies. In this way, it allows the identification of the differences (if any) “between what was nominated to be heritage and what was being protected by means of the heritage management framework” (*ibid.*: 107). While *Chapter 5* and *Chapter 6* discuss the results of the assessment of the selected urban management policies in relation with the 21st century international approach, a critical analysis of existing urban management policies, in relation to current challenges and the safeguarding of the OUV of the two WH properties, is presented in *Chapter 7*.

¹²² For the full list of attributes and associated values considered please see *Annex 8*, *Annex 9* and *Annex 10*.

Chapter 5

Assessing Local Urban Management Policies: Results of Case Study 1 (Florence, Italy)

Introduction

This chapter aims to underline whether the 21st century international approach to urban heritage conservation, management and development has already been incorporated into existing urban management policies in the World Heritage (WH) cities. With this objective in mind, it illustrates and discusses the assessment results of the selected urban management policies in case study 1 (Florence, Italy). The chapter is divided into four main sections. *Section 5.1* provides an overview of the Florence's urban management policies that were used to carry out the study, according to the methodology explained in *Chapter 3*. They are grouped in relation to their territorial jurisdiction (national, regional, provincial, local and World Heritage), which is graphically illustrated in Figure 46. *Section 5.2* presents the results of testing the assessment framework on each urban management policy through a comparative table. *Section 5.3* critically discusses how each urban management policy currently integrates the key principles of the new paradigm for urban heritage conservation and management. This section is based on the systematic results obtained by testing the assessment framework and integrating them with the collected data through semi-structured interviews, which were conducted with local stakeholders involved in defining or

implementing the assessed urban management policies. This section is divided into three sub-sections (identification of urban heritage attributes and values as well as their vulnerability status; managing change in Florence's historic urban environment; urban heritage governance) and includes diagrams, which illustrate the results of the assessment obtained for each of Florence's urban management policies. Finally, *Section 5.4* underlines the discrepancies that exist between the 21st century approach and the local practice in Florence's urban management system, summarising the main findings highlighted in this chapter.

5.1 Overview of Florence's Urban Management Policies

5.1.1. National Level

At the national level, the protection, conservation, management and enhancement of cultural and landscape heritage is guaranteed through Article 9 of the *Constitution of the Italian Republic* (Italian Senate, 1948),¹²³ and by the measures defined by the *Code of the Cultural and Landscape Heritage* emanated through *Legislative Decree n°42 of 22th January 2004* (Italian Government, 2004). The *Code of the Cultural and Landscape Heritage* is “an instrument to defend and promote Italian heritage which provides for the involvement of local authorities and irrevocably defines the alienation limits for public property” (World Heritage Centre, 2014a: 3). It includes provisions for cultural assets of historical, artistic and archaeological interests, as well as for the broader landscape. This document represents the main national regulatory framework for the protection, conservation, management and enhancement of Italian cultural heritage and landscape and its provisions must be transposed in territorial (e.g. *Territorial Coordination Plan* and *Regional Orientation Plan*) and local planning tools (e.g. *Structural Plan* and *Town Planning Regulation*) for their practical implementation at regional and local levels.

¹²³ Article 9 states that “the Republic promotes the development of culture and scientific and technical research. It safeguards the landscape and the historical and artistic heritage of the Nation”.

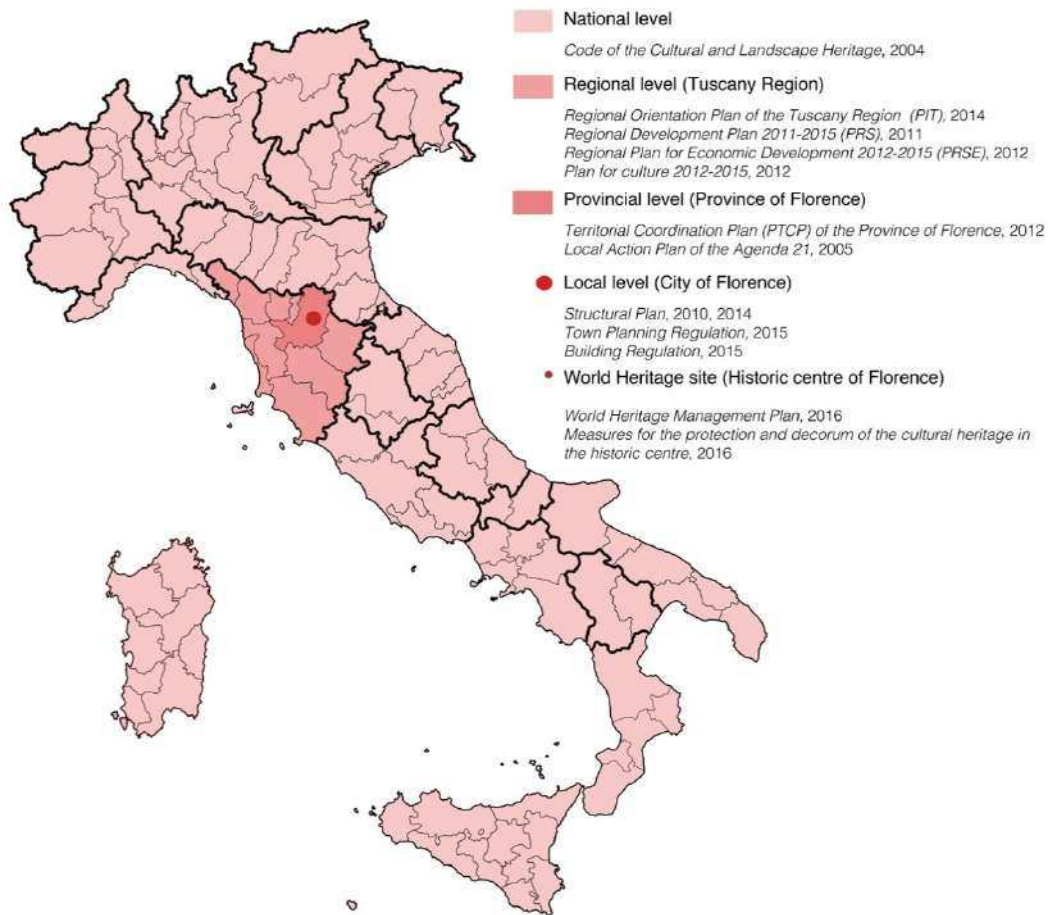


Figure 46: Jurisdiction's boundaries (national, regional, provincial, local and WH site) of each of the assessed Florence's urban management policies.

5.1.2 Regional Level

At the regional level, the *Regional Orientation Plan of the Tuscany Region (PIT)* was adopted by the Regional Council in 2014 in accordance with the *Regional Law on Territorial Government* adopted in 2005, also called *Regional Law 1/2005* (Tuscany Region, 2005). The *PIT* is a legal, administrative and planning tool extended over the whole Tuscany Region and operates as a *Landscape Plan* (Tuscany Region, 2015a). It aims to promote and realise a long-term plan for sustainable socio-economic development in this territory and to understand, manage, safeguard, enhance and enhance Tuscany's landscape. It aims to preserve its landscape assets and promote its values in relation to their environmental context. It is the most comprehensive planning and preservation tool available in

the Tuscany Region in relation to the historic urban landscape as a whole, providing provisions for both urban and natural landscapes, as well as their immaterial relationships.

In addition, three other programmatic plans are used by the Tuscany Region to define its policies and actions in relation to social, economic and cultural development. The *Regional Development Plan 2011-2015 (PRS)*, an instrument approved in 2011 to direct regional policies for the entire regional legislature, defines regional strategic choices in relation to culture, society, territory and environment of Tuscany (Tuscany Region, 2011a). Based on the *PRS* and approved in the same year, the *Regional Plan for Economic Development 2011-2015 (PRSE)* defines economic policies, including priorities and objectives, in relation to industry, handicrafts, commerce, tourism, cooperation and services (Tuscany Region, 2012b). Finally, linked to these documents, the *Plan for Culture (2012-2015)*, approved in 2012 by the Regional Council in accordance to the *Consolidated text of provisions in the field of cultural heritage, institutes and activities, modified by the Regional Law 20/11*, is the tool used by the Tuscany region to plan its cultural policies (Tuscany Region, 2012a).

5.1.3 Provincial Level

At a smaller territorial scale, Province of Florence's *Territorial Coordination Plan (PTCP)* was adopted in 1998 and updated in 2013, in accordance to the Regional Law 1/2005. It is a spatial planning tool for this territorial area and aims to preserve the territory and to promote sustainable development, as a general coordination framework between the regional-level and the local-level tools (Province of Florence, 1998, 2013a). The province of Florence promoted *Agenda 21*, which is linked to the theme of territorial sustainable development. This process brought about the elaboration of knowledge tools, such as a *Report on Environmental State* and a *Sustainability Report*. Moreover, from October 2003 a participative process called *Agenda 21 Forum*, strongly contributed to the adoption in 2005 of a strategic tool and participative planning document called the *Local Action Plan* for the Province of Florence (Province of Florence, 2005). It is an orientation plan for sectorial policies, but also for interdisciplinary actions related to environmental protection, education, renewable energies, communication and environmental information.

5.1.4 Local level

At a local level, the *Structural Plan* was approved in 2010 by the local council, and a revised version was adopted in 2014 (Florence Local Council, 2011; Florence Local Council, 2015b). The *Structural Plan* constitutes a long-term spatial and strategic planning tool,¹²⁴ which aims to preserve cultural and environmental resources while allowing urban, economic, social and cultural development. The plan makes strategic choices for urban development in the municipality of Florence and aims to preserve the physical and environmental integrity, as well as the cultural identity of the city. The *Town Planning Regulation*, adopted in 2015 by the Municipal Executive Committee, implemented the directions and contents of the *Structural Plan*, including constraints and restrictions on private properties, in an operational and localised way (Florence Local Council, 2015b).

These two plans are complemented by the Municipality of Florence's *Building Regulation*, approved in 2015, which regulates building activities on a different scale (Florence Local Council, 2015a). In particular, it controls buildings' technical-aesthetical, hygienic-sanitary, security and liveability requirements. Moreover, the last section of this regulation regulates the protection of the urban decorum and image of the city, focusing on building attributes (e.g. decorations, roofs, terraces, facades, chimneys) that contribute to the characterisation of Florence's urban image.

5.1.5 World Heritage Site

Specifically focused on WH properties, the national *Law 77 of 20th February 2006* entitled "*Special measures for the protection and the fruition of Italian cultural, landscape and natural sites, inscribed on the 'World Heritage List', under the protection of UNESCO*" establishes the compulsory adoption of a management plan for all Italian WH properties, as well as special measures for their conservation and enhancement (MIBACT, 2006). In accordance with this law, the City Council of Florence adopted a first management plan for the Historic Centre of Florence in 2006 with the objective of managing the WH property and safeguarding its OUV over time (Francini *et al.*, 2006). This was then updated

¹²⁴ In the case of Florence, the *Regional Law 1/2005* establishes the substitution of the General Urban Development Plan (P.R.G.) approved by the Regional Council in 1997 with two other complementary tools, with different degree of directions and measures to be applied to the entire Florence municipal area: the *Structural Plan* and the *Town Planning Regulation*.

with a second *WH Management Plan* approved in January 2016 (Firenze Patrimonio Mondiale, 2016). For the purpose of this study, only the second management plan was considered in the assessment as it represents the most recent urban management policy on the management of the WH property, in accordance with the research methodology presented in *Chapter 3*.¹²⁵

Moreover, the administrative provision *Measures for the Protection and Decorum of the Cultural Heritage in the Historic Centre* - from this moment called *Measures for the Protection and Decorum* - approved in 2016, is specifically dedicated to the regulation of commercial activities in the historic centre (Florence Local Council, 2016). The *Measures for the Protection and Decorum* aim to protect the WH property in the fight against urban degradation, and promote the preservation of urban decorum and image, the historic urban landscape and the city historical-architectural identity.

5.2 Assessing Florence’s Urban Management Policies: Testing the Framework on Case Study 1

This section illustrates the results of the assessment carried out for each urban management policy, testing the assessment framework developed by the author.¹²⁶ It aims to identify the level of consistency of each urban management policy in relation to the key principles of the 21st century international approach. The assessment results of case study 1 (Florence, Italy) are presented through a comparative table (Table 10), which highlights the scores assigned to each urban management policy in relation to the coding items established in the assessment framework. The coding notes used for assigning the scores to each document are available in the *Annex 13*. Moreover, *Annex 11* illustrates a practical example of the coding process carried out for the *Measures for the Protection and Decorum*. Therefore, Table 10 allows a rapid comparison between the results obtained for each urban management policy, and it enables a systematic understanding of whether there are existing similarities and discrepancies in the qualitative indicators.

¹²⁵ See *Section 3.4.1* “Definition of the Urban Management Policies to be Assessed”.

¹²⁶ See *Section 3.2* “Evaluating Urban Management Policies: Building Up an Original Assessment Framework”.

However, the results obtained while testing the assessment framework do not evaluate the strength of integration of key principles of the 21st century international approach in each urban management policy, nor do they assess the presence of potentially critical issues while implementing the measures provided by these policies. In order to provide a better understanding of these aspects, a critical analysis of Florence's urban management system is provided in the following section. The critical analysis was developed by integrating the results obtained through the systematic evaluation, carried out through the assessment framework, with supplementary evidence collected through a qualitative content analysis of the urban management policies' written documents and the transcription of semi-structured interviews carried out with local stakeholders.

Table 10: Results of the systematic assessment of urban management policies in case study 1 (Florence, Italy).

	Coding items	WORLD HERITAGE (Historic centre)		LOCAL (Florence)			PROVINCIAL (Province of Florence)		REGIONAL (Tuscany Region)				NATIONAL (Italy)
		Measures for the Protection and Decoram, 2016	WH Management Plan, 2016	Building regulation, 2015	Structural Plan 2010, 2014	Town Planning Regulation, 2015	Local Plan of Agenda 21, 2005	Territorial Coordination Plan (PTCP), 2012	Regional Orientation Plan of the Tuscany Region (PIT), 2014	Regional Development Plan 2011-2015	Regional Plan for Economic Development 2012-2015	Plan for Culture 2012-2015	Cultural Heritage and Landscape Code, 2004
COMPREHENSIVENESS OF THE URBAN HERITAGE	1.A Does the document comprehensively identify urban heritage attributes? (max 4)	2	2	4	4	4	4	4	4	4	4	4	4
	1.B Does the document recognise the interconnection between urban heritage's tangible and intangible attributes and values? (max 4)	3	3	4	4	4	4	4	4	3	1	3	4
	1.C Does the document link urban heritage values to its objectives and actions? (max 3)	2	2	3	3	3	2	3	3	2	2	2	3
	1.D Does the document identify urban and natural attributes? (max 3)	1	3	1	3	3	3	3	3	1	2	1	3
	Total (max 14)	9	10	12	14	14	13	14	14	10	9	10	14
MANAGEMENT OF CHANGE	2.A Are general dynamics of change (structural, social, functional) identified? (max 2)	0	2	0	2	2	2	2	2	2	2	2	0
	2.B Does the document recognise the dynamic and evolutionary component of heritage (attributes and values)? (max 2)	0	2	0	2	2	0	2	2	0	0	0	0
	2.C Are pressures and factors affecting the urban heritage identified? (max 2)	1	2	0	2	2	2	2	2	0	0	0	0
	2.D Are limits of acceptable change identified and regulated? (max 2)	2	0	2	2	2	0	1	1	0	0	0	2
	Total (max 8)	3	6	2	8	8	4	7	7	2	2	2	2
INTEGRATION BETWEEN POLICIES, SECTORS AND ACTORS	3.A Is the document integrated with other plans and/or tools involved in urban management? (max 3)	2	3	2	3	3	3	2	3	3	2	2	3
	3.B Are different urban management sectors involved in the definition of document's objectives and actions? (max 2)	0	2	0	2	2	2	2	2	0	0	0	0
	3.C Does the document envisage cooperation between different levels of stakeholders in the implementation of its objectives and actions? (max 3)	0	3	1	1	1	3	2	3	3	2	3	3
	3.D Does the document envisage cooperation and partnership between private and public actors in the implementation of its objectives and actions? (max 2)	0	2	0	2	0	2	1	1	1	1	2	2
	3.E Does the document provide any specific objective and/or action related to the World Heritage property(ies)? (max 2)	2	2	2	2	2	0	0	2	0	0	2	2
Total (max 12)	4	12	5	10	8	10	7	11	7	5	9	10	
PARTICIPATION, DIALOGUE AND COMMUNITY INVOLVEMENT	4.A Does the document involve the participation of different levels of stakeholders in the definition of its objectives and actions? (max 3)	1	3	1	1	3	3	2	3	3	2	3	0
	4.B Are different kind of stakeholders involved in the definition of document's objectives and actions? (max 3)	0	3	0	3	3	3	3	3	1	2	3	1
	4.C Is the local community involved in the definition of document's objectives and actions? (max 3)	0	2	0	2	2	2	1	2	0	0	2	0
	4.D Is the local community involved in the definition of heritage values/attributes to be preserved and managed? (max 3)	0	0	0	0	0	0	0	2	0	0	0	0
	Total (max 12)	1	8	1	6	6	6	5	10	4	4	8	1

5.3 Critical Analysis of Florence's Urban Management System

5.3.1 Identification of Urban Heritage Attributes and Values as well as their Vulnerability Status

The results of the assessment presented in Table 10 demonstrate that all documents envisage measures that take into consideration, not only WH attributes and values, but also broader urban heritage attributes and values located all over the city's municipal area (historic centre, 19th-20th century areas and more recent urban tissues) and their surrounding landscapes (both urban and rural). Therefore, the measures provided by the assessed documents cover the whole historic urban landscape and not limited portions of it (see *coding item 1.A*). Among them, the only exceptions are the *Measures for the Protection and Decorum* and the *WH Management Plan* that adopt specific measures for the preservation, management and enhancement of the historic centre of Florence. In fact, the historic centre is considered the most vulnerable urban area (Participant 4a, 14/10/2016) and its urban heritage deserves supplementary conservation and management measures to assure the adequate safeguarding of its OUV over time.¹²⁷ Figure 52 underlines the urban heritage attributes and values that are the object of specific policy measures as well as their territorial extension.

Moreover, the assessment illustrates that the interconnection between urban heritage's tangible and intangible attributes and values is recognised in eleven documents and explicitly expressed in seven of them (see *coding item 1.B*).¹²⁸ Furthermore, the results show that every document links its measures to urban heritage values, but only six of them express this link explicitly (see *coding item 1.C*). These results mean that, with their actions, the assessed documents recognise the reciprocal relationship between attributes and values (explicitly or implicitly) and take it into consideration in the definition of their measures. Therefore, they encourage a comprehensive approach in relation to these aspects. Nevertheless, the implicit recognition of urban heritage values demonstrates that Florence's urban heritage attributes (tangible and intangible) remain the main object of these urban management policies.

¹²⁷ The original sentence is: “centro storico come zona di massima vulnerabilità”.

¹²⁸ The only exception is the *Regional Plan for Economic Development 2011-2015 (PRSE)* that implicitly recognises only the relation between tangible attributes and values.

Finally, with the only exception of specific regulations for built heritage and commerce, as well as for the *Plan for Culture*, all other documents define measures and orientations for both urban and natural attributes, including their interconnections in most cases (see *coding item 1.D*). Moreover, in relation to older plans, it is possible to see an increasing attention to ecological themes and biodiversity (especially in territorial and urban planning tools and in *the Local Plan of Agenda 21*). This reflects the evolution of the international approach in relation to the ecological dimension of sustainable development (United Nations, 1972; World Commission on Environment and Development, 1987; United Nations, 2001; United Nations, 2015; United Nations, 2016). This is well demonstrated by the definition and requalification of an ecological network, which was envisaged by regional, provincial and local documents. The new ecological network is composed of green elements and areas with soft-mobility paths extended throughout the city of Florence that connect the city to the surroundings urban settlements and to open landscapes (see Figure 47). The design of this network aims to connect urban and natural attributes through safeguarding measures and contemporary interventions.

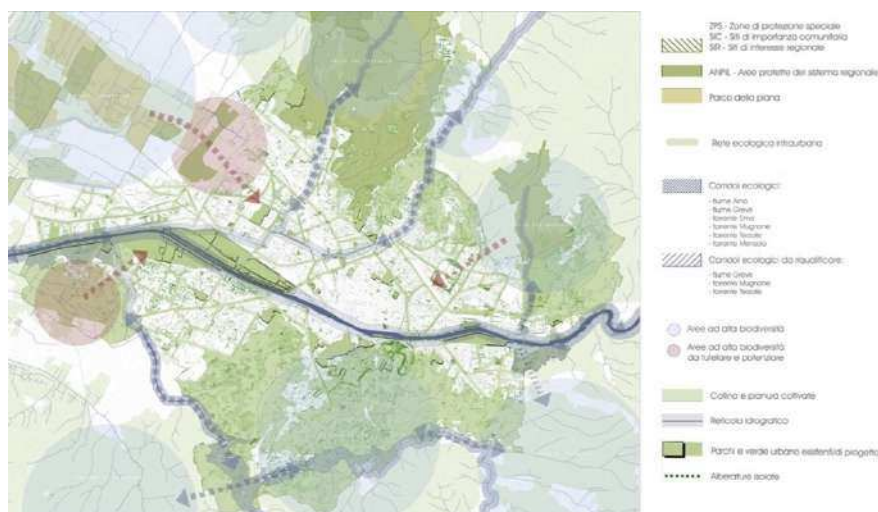


Figure 47: Ecological network envisaged by the *Structural Plan* of 2010. Source: Florence Local Council, 2011c, Table 8 (original version edited by the author).

At a national scale, the *Code of the Cultural and Landscape Heritage* is the national legislative tool for the protection, conservation, management and enhancement of both cultural and landscape heritage. Its measures take cultural heritage's tangible assets and aesthetic and historic values into account (Italian

Government, 2004: Art.10). They also define the entire landscape as “the territory which expresses identity and whose character originates from the actions of natural and human factors as well as from their interrelationships” (Italian Government, 2004: Art. 131). This implies that the values under consideration include also social and ecological aspects. Moreover, it also considers historic centres as landscapes, which includes the scenic beauty of the site and panoramic viewpoints to appreciate the heritage (*ibid.*: Art. 136). Therefore, it gives importance to the visual relationships between the historic centres and their surroundings. However, it associates only aesthetical values to this landscape, reflecting a very conventional approach to the urban landscape.¹²⁹ With the aim of protecting, safeguarding and enhancing national cultural and landscape heritage over time, the *Code of the Cultural and Landscape Heritage* establishes specific constraints for interventions on listed architectural heritage (*ibid.*: Art. 20),¹³⁰ as well as on landscape areas (*ibid.*: Art. 146).¹³¹ These compulsory and binding prescriptions must be incorporated into regional, provincial and local urban management policies and tools, which define limits of acceptable change in Florence's historic urban environment.¹³²

However, the *Code of the Cultural and Landscape Heritage* does not recognise general dynamics of change (structural, social, functional) within the definition of documents' actions and objectives, nor in the dynamic and evolutionary components of urban heritage. The assessment showed how of the *Building Regulation* and the *Measures for the Protection and Decorum* provided the same results (see *coding items 2.A* and *2.B*). The *Building Regulation* establishes measures to protect and manage change on building's tangible elements and on aesthetic and historic values. However, the *Measures for the Protection and Decorum* regulates the transformation of intangible assets (urban image and commercial activities) and aesthetic, historic, social and ecological values. These three documents are very detailed, regulatory tools that establish binding limits for interventions on cultural and landscape heritage, as well as on functions, single buildings and parts of buildings. However, these prescriptive

¹²⁹ See *Section 1.4.1* “The 1960s: A Conventional and Aesthetical Approach to Urban Heritage Conservation”.

¹³⁰ Article 20 states that “*i beni culturali non possono essere distrutti, deteriorati, danneggiati o adibiti ad usi non compatibili con il loro carattere storico o artistico oppure tali da recare pregiudizio alla loro conservazione*”.

¹³¹ Article 146 states that “*i proprietari, possessori o detentori a qualsiasi titolo di immobili ed aree di interesse paesaggistico, tutelati dalla legge (...) non possono distruggerli, né introdurre modificazioni che rechino pregiudizio ai valori paesaggistici oggetto di protezione*”.

¹³² See *Section 5.3.2* “Managing Change in Florence's Historic Urban Environment”.

limits are established at the time of their adoption and remain static and fixed over time. They reflect a tendency to preserve urban heritage, based more on a conventional approach to heritage conservation, referring to the prevention of change rather than managing change (Carughi, 2013).

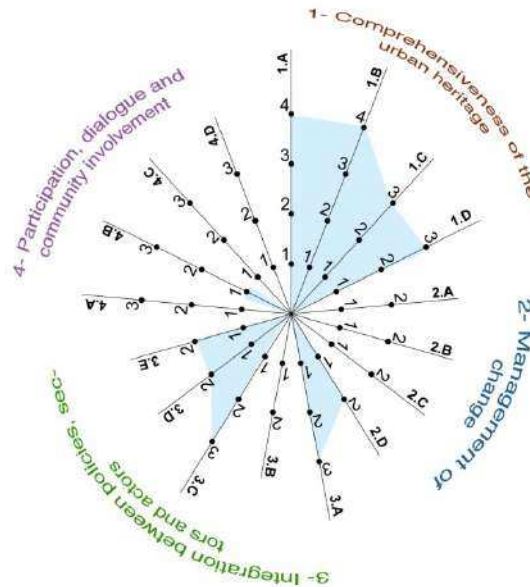


Figure 48: Assessment results of the *Code of the Cultural and Landscape Heritage*, 2004.

Conversely, the dynamic and evolutionary component of urban heritage and the pressures and factors that affect urban heritage influence the design of specific measures for all other documents (see *coding items 2.B* and *2.C*). They are considered in the *Local Action Plan of Agenda 21*, which provides measures to promote sustainable development, through the enhancement of buildings, urban areas and spaces, natural areas and landscape, as well as their material and immaterial connections. It gives attention to ecological functions and values, but also considers social and historic values. Moreover, the *WH Management Plan* provides measures for managing historic centres' tangible and intangible attributes, placing a particular focus on the OUV, with the aim of safeguarding, enhancing and transmitting it to future generations. It recognises the dynamic and evolutionary component of urban heritage, considering the historic centre of Florence as a living environment, in a constant state of change. For this reason, actions were proposed to define the *WH Management Plan* by taking into

consideration the pressures and factors that affect urban heritage. As such, it is more effective in safeguarding Florence's historic urban landscape than the former version of the plan (Francini *et al.*, 2006). Finally, it takes into account the dynamic and evolutionary component of urban heritage and the pressures and factors that affect urban heritage in all urban and territorial planning, notably the policies specifically dedicated to the management of change at regional, provincial and local scales.

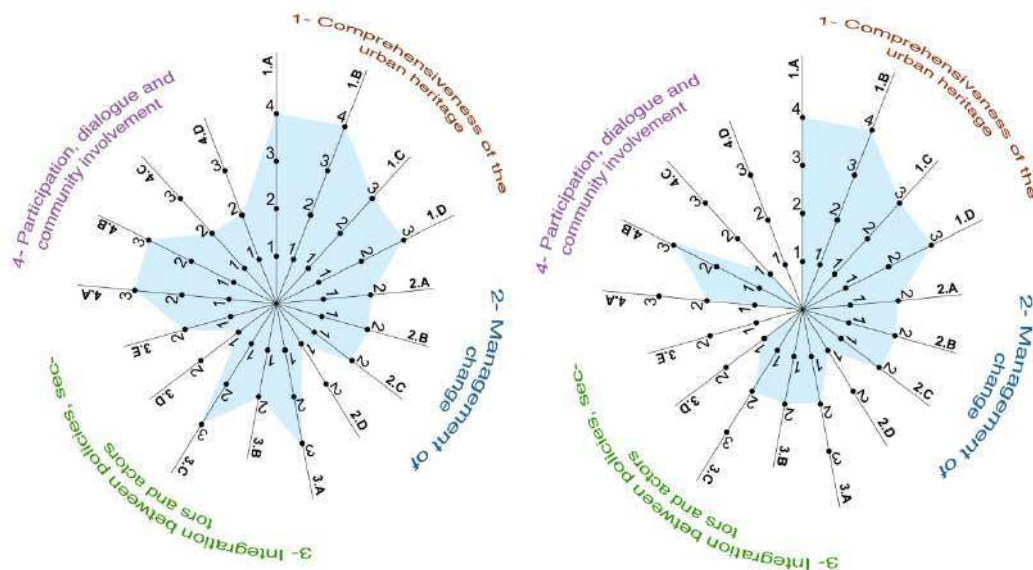


Figure 49: Assessment results of the *Regional Orientation Plan of the Tuscany Region (PIT)*, 2014 (on the left) and of the *Province of Florence's Territorial Coordination Plan (PTCP)*, 2012 (on the right).

In particular, the *Regional Law 1/2005* and the *Regional Law on Territorial Government 65/2014* establish that each urban planning and territorial tool (at regional, provincial and local levels) operating in the Tuscany Region needs to incorporate a “knowledge framework”, a “strategic framework” and a “statutory framework” as fundamental elements for the territorial governance (Tuscany Region, 2005: Artt. 3-5; Tuscany Region, 2014: Artt. 4-6). The knowledge framework aims to identify on-going transformation dynamics of the territory and the local resources called “structural invariants”, which can refer to both urban and natural elements (Tuscany Region, 2005: Art. 4; Tuscany Region, 2014: Art. 5).¹³³ The definition of the document's objectives and actions are based on the

¹³³ The “structural invariants” are defined as “*le risorse, i beni e le regole relative all'uso, individuati dallo statuto di cui all'articolo 5, nonché i livelli di qualità e le relative prestazioni minime, costituiscono*”

knowledge framework in order to provide measures to face the contemporary challenges defined in the “strategic framework”. The “Territorial Statute” identifies the territorial “invariants” as elements of territorial identity and it promotes sustainable development by recognising, conserving and enhancing these invariants (Tuscany Region, 2005: Art. 5; Tuscany Region, 2014: Art. 6).¹³⁴ Defined at every territorial scale in accordance with the documents’ scope, it also provides different territorial insights as explained in the paragraphs below, which need to be addressed with specific urban management measures. However, the fact that each territorial and urban planning policy defines its own knowledge framework and territory statute complicates the understanding of the urban heritage attributes and values as they are defined with different terms. This causes confusion, repetition and superimposition in the recognition of urban and landscape heritage elements, which are part of the same territory (even if considered at different territorial scales).

At a regional scale, the *PIT* embraces the whole Tuscany Region, defining, in the case of Florence, specific measures for protection, conservation and management of entire urban areas and settlements and their surrounding landscapes. This includes many intangible relations (historic, cultural, visual) between different attributes and landscape values, according to aesthetic, historic, social and ecological values. The Tuscan conventional approach to landscape conservation is based specifically on the protection of landscape areas, whereas the *PIT*, in an attempt to overcome the limits of this approach, identifies four “invariants”,¹³⁵ in accordance with the *Regional Law 1/2005* (see Figure 50). Understanding existing relationships between different landscape attributes and values is considered fundamental when managing landscape transformations

invarianti strutturali del territorio da sottoporre a tutela al fine di garantire lo sviluppo sostenibile” (Tuscany Region, 2005) and as “*i caratteri specifici, i principi generativi e le regole che assicurano la tutela e la riproduzione delle componenti identitarie qualificative del patrimonio territoriale*” (Tuscany Region, 2014).

¹³⁴ The “Territory Statute” is defined as “*lo statuto (...) assume e ricomprende, all’interno dello specifico strumento della pianificazione territoriale, le invarianti strutturali (...), quali elementi cardine dell’identità dei luoghi, consentendo in tal modo l’individuazione, ad ogni livello di pianificazione, dei percorsi di democrazia partecipata delle regole di insediamento e di trasformazione nel territorio interessato la cui tutela garantisce, nei processi evolutivi sanciti e promossi dallo strumento medesimo, lo sviluppo sostenibile ai sensi degli articoli 1 e 2*” (Tuscany Region, 2005) and as “*l’atto di riconoscimento identitario mediante il quale la comunità locale riconosce il proprio patrimonio territoriale e ne individua le regole di tutela, riproduzione e trasformazione*” (Tuscany Region, 2014).

¹³⁵ The definition of “invariants” in the Territory Statute of each territorial and urban planning document is established by Article 4 of the *Regional Law 1/2005*.

(Participant 12a, 02/11/2016).¹³⁶ Moreover, the *PIT* identifies 20 areas of interest (*Schede d'Ambito*) in the whole region and, for each of them, the document describes the invariants' structural features and recognises their transformation dynamics, their values and their critical issues.

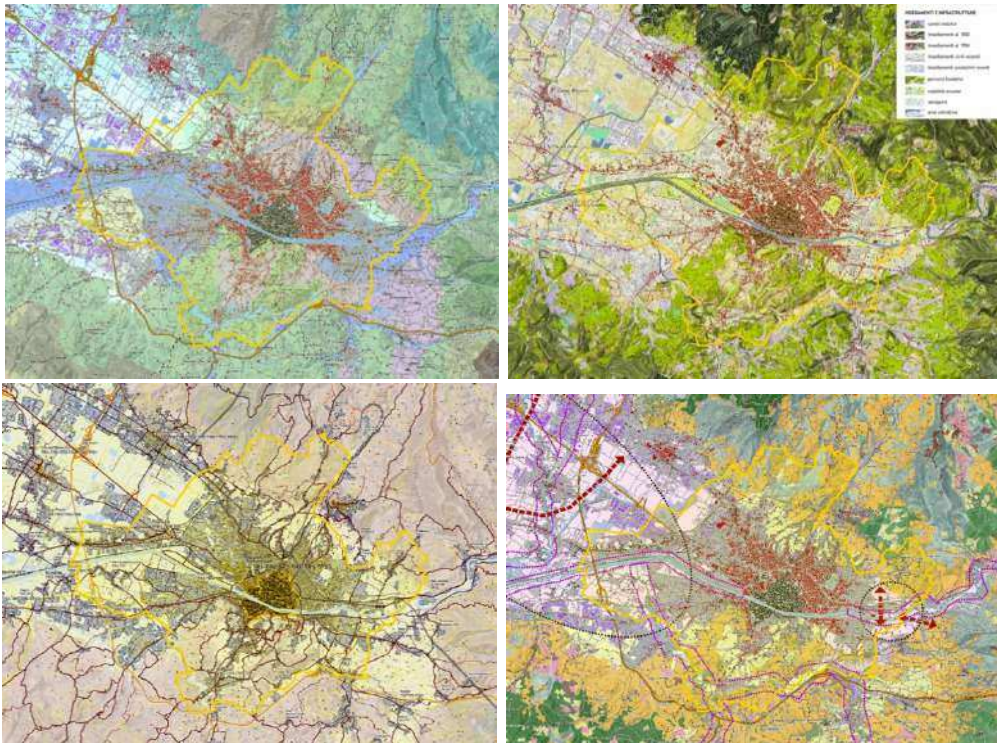


Figure 50: Invariants defined in the *PIT*: hydro-geomorphological character of the hydrographic basins and morpho-genetic systems (top-left); eco-systemic landscape characters (top-right); polycentric character of the settlement, urban and infrastructures systems (bottom-left); morpho-typological characters of the rural landscapes (bottom-right). Source: Tuscany Region (2015). *Regional Orientation Plan of the Tuscany Region (PIT)*, Invariants. Firenze: Tuscany Region.

The *PIT* best recognises the dynamic and evolutionary components of urban heritage and promotes a landscape-based approach towards historic urban environments, as suggested by the contemporary international approach (Council of Europe, 2000; UNESCO, 2011b; Veldpaus and Pereira Roders, 2014). The definition of this landscape plan was influenced by the adoption of the *European Landscape Convention* (ratified by Italy in 2006 in Florence), which was developed to interpret landscape transformations, both urban and rural (Participant

¹³⁶ The original sentence is: “*avere il controllo della trasformazione e dei suoi effetti implica capire tutte le relazioni fra le componenti rurali, fisiche, l'acqua, l'aria...*”

8a, 26/09/2016).¹³⁷ This European document suggests that national and local governments “take note of changes”, to assess landscape features in relation to the pressures that affect the landscapes. This is to improve knowledge about landscapes and to establish and implement “landscape policies aimed at landscape protection, management and planning through the adoption of the specific measures” (Council of Europe, 2000: Artt. 5b and 6c). Incorporating these principles, the *PIT* operates as a landscape plan for the whole Tuscany Region and was the only document that envisaged the participation of the local community in the recognition of the landscape attributes and values, as well as of their transformation dynamics and vulnerability status (see *coding item 4.D* and *Section 5.3*).

At a provincial scale, the Province of Florence’s *Territorial Coordination Plan (PTCP)* provides measures for the protection, conservation and enhancement of the entire urban settlement and for the relation between Florence and its surrounding historic towns and villages (Province of Florence, 1998, 2013a). Moreover, it provides specific measures to protect the relationship between them and the open landscape as well as the physical urban connections and infrastructures, which involve most urban heritage values (aesthetic, historic, social and ecological values). At an intermediate scale between the regional and the local levels, the *PTCP* defines the main territorial and functional systems that characterise the Province of Florence, as well as its specific “invariants” (vulnerable areas, territories of “high naturality” or soon to be protected areas, fragile areas, protected landscape areas). The Territory Statute of the *PTCP* identifies the territory’s attributes and values with a consistent corpus of documentation: a sort of “identity card of the territory”, based on the territorial invariants (Participant 11a, 18/10/2016).¹³⁸

The Territory Statute incorporates information related to urban heritage’s attributes and values that were collected from old provincial plans, as well as

¹³⁷ The original sentence is: “non ci dobbiamo dimenticare che dal 2000 abbiamo una Convenzione Europea del Paesaggio poi ratificata in Italia nel 2006 (...) questo ha portato e deve rappresentare un modo nuovo di interpretare le trasformazioni di un paesaggio, sia il paesaggio urbano, sia il paesaggio agrario, cioè tutto il territorio è paesaggio (...) ecco perché il piano di indirizzo territoriale ha valenza su tutto il territorio regionale indipendentemente dal fatto che all’interno del territorio regionale ci siano dei beni paesaggistici”.

¹³⁸ The original sentence is: “la differenza sostanziale è il rafforzamento, cioè sulla base della consapevolezza del valore che aveva assunto negli anni lo strumento dello statuto del territorio (...) lo strumento è stato rafforzato ancora di più e specificato meglio l’essenza delle invarianti strutturali del territorio quale elemento costitutivo dello statuto”.

integrating them with the contributions from local urban plans (*ibid.*).¹³⁹ The information was identified after consulting municipal council officers in the Province of Florence. In this way, the work carried out in collaboration with the local councils was “impressive” (*ibid.*). The Territory Statute integrated the information derived from different local urban planning tools operating in the Province of Florence into a single document (*ibid.*).¹⁴⁰ The Statute helped to revise and homogenise the different terms and local urban planning tools shared by different municipalities (*ibid.*). Moreover, the measures and actions envisaged by the *PTCP* for urban heritage attributes and values (e.g. limitations, prohibitions, directives, etc.) could be implemented into the local planning tools, which were being updated in parallel with the elaboration of the *PTCP*. However, the effectiveness of this implementation depends on the work carried out by the provincial administration, as it plays the role of facilitator in the revision of local planning tools made by the local administrations (*ibid.*).¹⁴¹ The *PTCP* provided very limited directions and prescriptions on how to implement its measures into local urban planning tools.

At the local scale, the two local urban planning tools - the *Structural Plan* and in the *Town Planning Regulation* - are the most comprehensive tools for managing change in Florence's historic urban environment, both in terms of attributes (tangible and intangible) and of values considered (aesthetic, historic, social, ecological and economic). They provide measures that take into account urban heritage's extended definition which embraces the whole urban area. The urban area is composed of the historic centre, but also by the urban fabric built between the XIX and XX centuries and their pattern scheme, as well as more recent urban tissues, located outside the ring of avenues that replaced the XIV century walls. Based on the mapping and analysis of existing resources, the *Structural Plan* identifies different territorial systems, subdivided in sub-systems and environments. It also establishes general guidelines which hope to maintain, consolidate and improve current conditions (Florence Local Council, 2011: 89). Moreover, it identifies 4 invariants as fundamental elements to be protected: rivers

¹³⁹ The original sentence is: “quindi l'operazione fondamentale tra il primo e l'ultimo *PTCP* è stato mettere un po' a sistema quelle che erano state le conoscenze del territorio, anche sulla base delle esperienze fatte con i comuni (...) è stato fatto un lavoro formidabile”.

¹⁴⁰ The original sentence is: “un comune nel predisporre il proprio piano conoscitivo aveva una sua legenda che dava valore ed importanza ad elementi che non erano in comune con le altre realtà vicine. Quindi una prima operazione è stata quella di rimettere a sistema tutte le conoscenze, il quadro conoscitivo, anche per offrire un supporto ai comuni che si avvicinavano alla seconda fase di pianificazione”.

¹⁴¹ The original sentence is: “purtroppo la cogenza era legata alla relazione che l'amministrazione provinciale riusciva ad intrattenere con l'amministrazione locale, facendo da facilitatore in queste operazioni di pianificazione, perché dall'altra parte le prescrizioni erano veramente poche”.

and valleys; the open landscape; the historic centre; and the historic urban tissues and their relation with the landscape (see Figure 51). Moreover, they provide measures for managing change on different types of buildings (e.g. listed buildings, other historic buildings, contemporary architectures) and their appurtenances, urban elements (e.g. bridges, walls) and public spaces (streets, squares) as well as their spatial relationships, which contribute to the characterisation of the urban tissue and skyline.

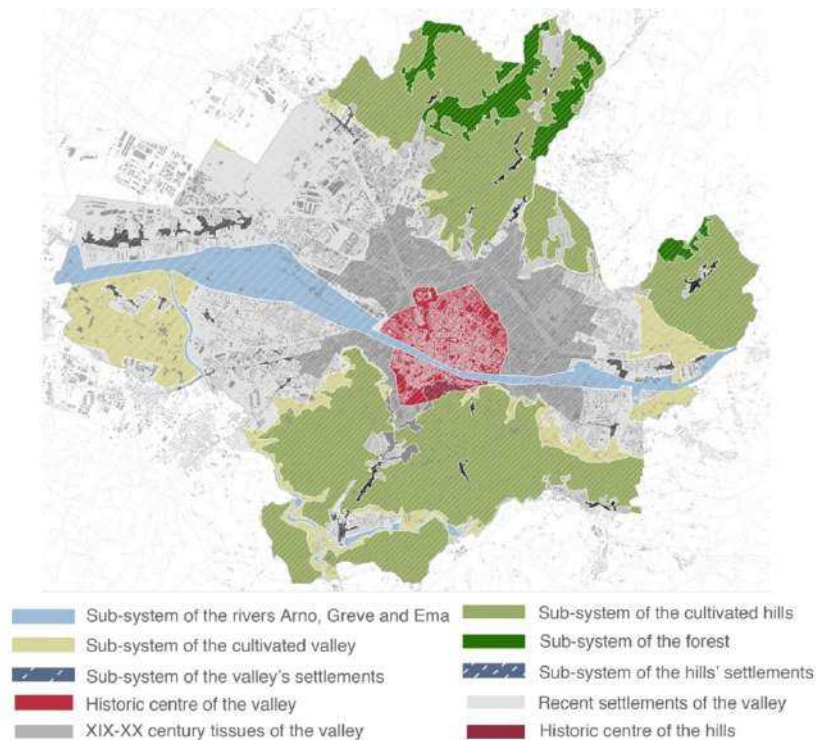
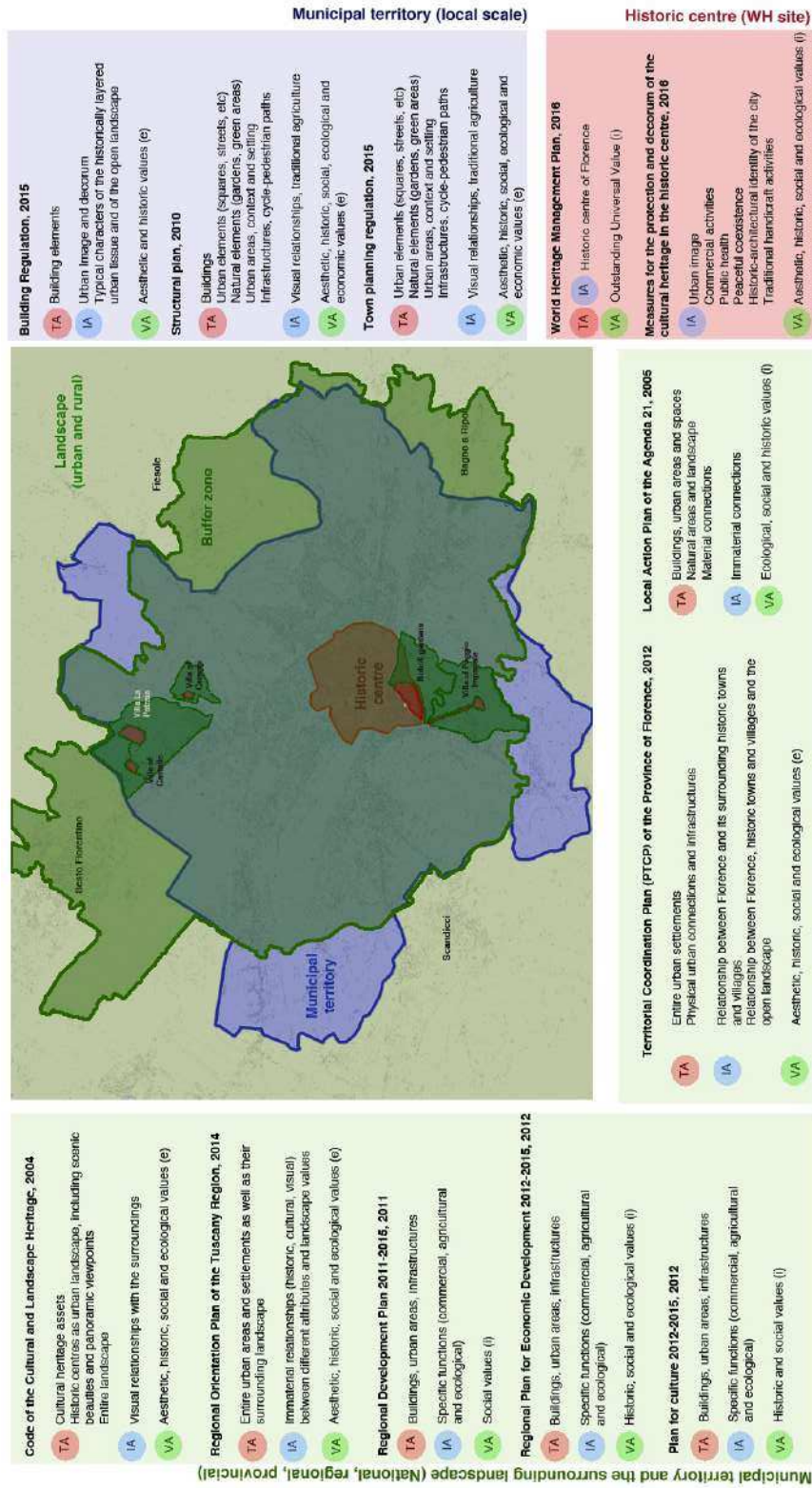


Figure 51: Different subsystems and environments identified by the *Structural Plan*. Source: Florence Local Council (2011). *Structural Plan 2010* (approved), Annex C, Tables. Firenze: Florence Local Council, Table 2.

Figure 52: [following page]: Definition of the attributes and values that are the object of specific policy's measures. They are divided into tangible attributes (TA), intangible attributes (IA) and values (VA). These categories identify whether the values identified are explicitly (e) or implicitly (i) linked to the related policy's measures. Florence's assessed urban management policies are grouped according to their territorial extension: in green the national, regional and provincial policies; in light blue the policies extended in the municipal territory; and in red the policies extended only over the WH site. The boundaries of the WH properties (in red), of their buffer zones (dark green), of Florence's municipal territory (in blue) and of broader surrounding landscape are indicated on the map at the centre of the figure.



5.3.2 Managing Change in Florence’s Historic Urban Environment

Defining limits of acceptable change represents the most important tool for safeguarding Florence’s urban heritage and for managing its transformation over time. These limits are prescribed by all territorial and urban planning documents as well as by regulatory tools analysed (see *coding item 2.D*). At the regional, provincial and local scale, the urban and territorial documents are defined according to the *Regional Law 1/2005* that states that “the Region (...) promotes and guarantees the protection of the essential resources of the territory as common goods and heritage of the community” (Tuscany Region, 2005: Art. 3).¹⁴² Furthermore, it establishes that none of these resources “can be reduced in a significant and irreversible way in relation to the ecosystems equilibrium of which is part”. In this sense, “new soil consumption destined for settlements and infrastructures are only permitted when it is not possible to re-use or re-organise existing settlements and infrastructures” (*ibid.*). These interventions must also “requalify the settlement systems and the territorial spatial planning in their entirety, as well as in the prevention and recovery of functional and environmental decay” (*ibid.*). In this way, the regional law discourages urban growth and encourages an urban development process that promotes urban regeneration, requalification and transformation of existing urban and territorial heritage. Therefore, the territorial and urban planning tools incorporate these prescriptions into their strategic and operational tools.

At the regional level, the *PIT* promotes a landscape-based approach towards the conservation, management and transformation of the Tuscan landscape. Based on the recognition of territorial heritage attributes and values and their transformation dynamics, the *PIT* establishes general directions that envisage a careful management of their transformations, while avoiding their immobilisation and museification. Moreover, the *PIT* provides a specific discipline for Tuscan WH properties (Tuscany Region, 2015a: 16-17). It highlights the importance of their territorial contexts and their morphological, historical, functional and perceptual relationships. The landscape plan provides an overall “orientation framework” to safeguard and manage landscape’s attributes and values. However,

¹⁴² They include: a) air, water, soil, flora and fauna ecosystems; b) cities and settlement systems; c) landscape and cultural testimonies; d) infrastructural and technological systems.

it is “very difficult to discipline such a variety of landscapes with a single tool”, because for its inner feature of being a regional tool the *PIT* comprises very different landscape areas, which include cost, mountains, countryside, hills, etc. (Participant 8a, 26/09/2016)¹⁴³. Although sometimes the directions defined in the *PIT* are so detailed that they resemble those provided by the urban management policies that operate at the local level (*ibid.*)¹⁴⁴. In other words, it does not sufficiently enhance the values and critical issues of a specific areas of interest (Participant 13a, 02/11/2016).¹⁴⁵ Moreover, its directive measures need to be implemented in all territorial, urban planning and sectorial tools in order to make an effective impact in reaching the plan's objectives (Participant 12a, 02/11/2016).¹⁴⁶

Therefore, even if the *PIT* represents a new territorial planning tool, it is not a substitute for the *Structural Plan*, the *Town Planning* or the *Building Regulation*, which continue to operate within the Municipality of Florence. Local plans and tools still need to define the prescriptive and operational measures that protect, safeguard and guide alterations within Florence's historic urban environment. This frustration is a critical element among local urban planners, who feel that the *PIT* takes no responsibility on how to practically protect, safeguard, manage and enhance the landscape and offers little in the decision-making processes (Participant 2a, 21/07/2016).¹⁴⁷ Taking final decisions in relation to these aspects

¹⁴³ The original sentence is: “*le criticità ci sono perché è un piano complesso, riguarda un territorio, quello della Regione Toscana che ha una varietà di sfaccettature anche di realtà, di valori identitari dei luoghi che sono veramente molto lontani l'uno dall'altra. Dalla costa alle alpi apuane, gli Appennini, la piana, insomma c'è una varietà del paesaggio all'interno della Regione Toscana che andare a disciplinarlo con un unico strumento non è semplice (...) una delle critiche più feroci che è stata fatta al Piano Paesaggistico Regionale è quello di essere di difficile lettura, perché è un documento molto consistente in termini sia di allegati, di elaborati e anche le norme stesse non sono di facile lettura*”.

¹⁴⁴ The original sentence is: “*il Piano Paesaggistico Regionale pur rappresentando uno strumento nuovo anche se previsto da molti decenni, non si sostituisce al Regolamento Urbanistico o addirittura al Regolamento Edilizio perché quella è una scala diversa, è un modo diverso di inquadrare le esigenze di cambiamento, di trasformazione o di mantenimento che possono anche avere dei dettagli talvolta apparentemente eccessivi (...) sono quelli che istituzionalmente sono in qualche maniera ascrivibili ad un Regolamento Edilizio ad esempio*”.

¹⁴⁵ The original sentence is: “*il limite secondo me è che il piano e delle sue grandi potenzialità, è quello di essere estremamente di dettaglio su alcuni aspetti - che va benissimo - ma di non valorizzare abbastanza quelli che sono in un ambito preciso, ad esempio quelli che sono i valori le criticità*”.

¹⁴⁶ The original sentence is: “*il concetto è un altro, il concetto è sulla base dei valori che il Piano Paesaggistico individua e di quelli che sono gli elementi di criticità, quali sono le condizioni che devo garantire e quali sono le condizioni che vengono poste perché ci sia uno sviluppo (...) perché questo consente nei diversi livelli, dal Piano Strutturale fino al Piano Attuativo, ed al progetto del singolo, di poter andare in caduta con elementi via via più stringenti, ma che ti danno un risultato (...) ma se tu rinunci alla parte iniziale dopo viene fuori una cosa monca*”.

¹⁴⁷ The original sentence is: “*l'impressione è che in realtà non si scelga, che si rimandino tutte le scelte al Comune. Invece se il Comune avesse un pochino più di forza legata allo strumento sovraordinato, avremmo*

often implicates finding a balance between diverging interests. This is often problematic as final decisions must be taken by the local administration although they are not really supported by the measures provided by the higher-level territorial planning tool and often face frequent protests from local stakeholders (Participant 2a, 21/07/2016;¹⁴⁸ Participant 11a, 18/10/2016;¹⁴⁹ Participant 2a, 21/07/2016).¹⁵⁰

At the provincial scale, the *PTCP* defines, in the case of Florence, the “Monography of the Florentine area”, which establishes specific measures for managing change in the city and surrounding landscape. The *PTCP* defines the limits of the urbanised territory with a line that cannot be built upon. This precautionary principle was already included in the first definition of the *PTCP* in 1998, anticipating its subsequent inclusion in the *Regional Law 1/2005*, then reinforced in the *Regional Law 65/2014* (Participant 11a, 18/10/2016).¹⁵¹ In fact, the two regional laws promote a “no-expansion” approach to urban development, called a “zero-volume” approach in Italian legislation. Considering the provincial scale of the plan, the *PTCP* regulates the open landscape (areas outside the urbanised territory, including agricultural and forest areas, minor historic or contemporary settlements), urban settlements margins and the polycentric character of the settlement system. It aims to prevent further soil consumption and to promote the safeguarding and enhancement of territories outside the urbanised area, which had been previously subjected to new uncontrolled functional uses (*ibid.*).¹⁵² However, the *PTCP* only promotes general guidelines for safeguarding

meno problematiche e potremmo essere un po' più decisi. Allora noi qui lo siamo stati, anche da un punto di vista di attenzione al paesaggio, alla tutela, però abbiamo avuto molte proteste da questo punto di vista”.

¹⁴⁸ *Ibid.*

¹⁴⁹ The original sentence is: “*il Comune non vuole essere lasciato solo, la Regione non vuole andare oltre alle sue competenze perché alla fine le scelte sul territorio sono comunali*”.

¹⁵⁰ The original sentence is: “*io dal Piano Paesaggistico (...) avrei preteso maggiori scelte, cioè scelte più decise. Perché poi noi ci troviamo il Piano Paesaggistico che fa tanti bei discorsi (...) per il resto è stato sempre molto blando, quindi io mi sarei aspettato/a una presa di posizione un po' più forte (...) che ci aiutasse poi a fare le nostre norme, in coerenza, in maniera un po' più dura in alcuni casi (...) per dire che certe cose non si fanno*”.

¹⁵¹ The original sentence is: “*oggi troverai tutto nella legge della Regione Toscana n°65 del 2014, noi l'abbiamo introdotta nel 1998 (...), il principio di non consumare nuovo suolo era già presente sulla prima legge del Governo del Territorio, ma era stato confinato nei primi articoli, era un principio, poi nella prassi era consentito andare oltre*”.

¹⁵² The original sentence is: “*con un livello provinciale abbiamo introdotto la necessità di delimitare un dentro e un fuori, un dentro rispetto al quale il Comune poteva agire attraverso norme urbanistiche, e un fuori che richiama un'identica attenzione. Perché prima di allora i territori esterni diciamo all'abitato, all'urbanizzato erano considerati un supporto disponibile per tutti gli usi. Noi abbiamo rivendicato nel primo piano la valorizzazione del territorio in sé rispetto all'insediamento*”.

and managing historic urban landscape's attributes and values. Moreover, it operates predominantly as an intermediary coordination tool between regional and local planning tools.

At the local scale, the *Structural Plan* promotes urban transformations at “zero volumes”, implementing the principles of the *Regional Law 1/2005*. It promotes the urban regeneration of dismissed areas and buildings, more than new soil consumption. The directions of the *Structural Plan* are then implemented by the *Town Planning Regulation* in an operational and localised manner, which includes constraints and restrictions on private properties. It is composed of two parts: one of limited duration (5 years) regulating the transformation (e.g. implementation plans and areas to be expropriated) for the period 2014-2019; and one of open-ended duration that governs the ordinary regulations for interventions in the city. They two tools incorporate the prescriptions established by the *Code of the Cultural and Landscape Heritage*, which define specific limits for interventions on listed architectural heritage (only restoration and extraordinary maintenance are permitted as listed buildings) as well as on landscape areas (see Figure 53).

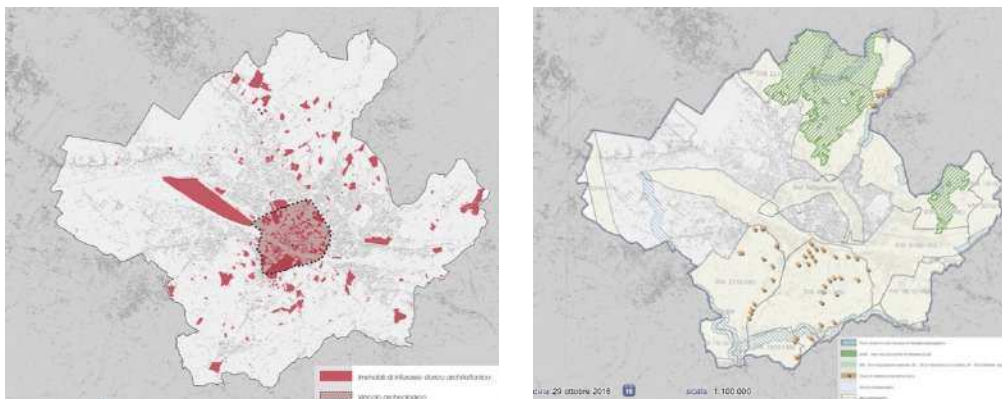


Figure 53: Listed buildings (on the left) and listed landscape areas (on the right) in Florence's municipal area. Source: Florence Local Council (2011). *Structural Plan 2010 (approved)*, Annex C, Tables. Firenze: Florence Local Council.

Every structural or functional change on listed buildings must be communicated to the *Superintendence for Architectural, Landscape, Historic, Artistic and Ethno-Anthropological Heritage of the Provinces of Florence, Prato and Pistoia*, a Peripheral body of the MIBACT,¹⁵³ which covers the territorial

¹⁵³ The Italian Ministry for Cultural Heritage and Activities and Tourism.

jurisdiction of Florence. The *Superintendence* authorises whether an intervention can take place, as it evaluates every case, while also respecting the prescriptions established in the *Code of the Cultural and Landscape Heritage* in order to protect and safeguard cultural and landscape heritage. In the same way, every building or urban transformation/development in listed landscape areas must be authorised by the *Superintendence*, which needs to approve a landscape authorisation before the realisation of the project (Italian Government, 2004: 80-82, Art. 146). Moreover, any intervention that may affect landscape and environmental values is evaluated and authorised by a *Municipal Landscape Commission* (composed of experts in the landscape field who are nominated by the Local Council).¹⁵⁴ However, whether the *Superintendence* authorises an intervention or not, is subject to its discretionary power. Such decisions are frequently based only on heritage historic, architectural and aesthetical values. This often stands in contrast with reasons given by developers, in the case of infrastructure projects for example, as they may give importance to other values of the urban heritage (e.g. social, ecological, economic). While protecting monumental heritage is an effective measure in most cases, it can also be particularly restrictive in the design of new urban development projects, such as a new tramline. In Florence, the protective measures for architectural and landscape heritage are extended over a large area of the urban territory (see Figure 53), and the respect of all these restrictions for the protection of heritage tangible attributes may implicate the loss other advantages (e.g. increase of urban quality, reduction of traffic, better connections between city centre and periphery).

Furthermore, with the aim of protecting the OUV of Florence's WH properties in relation to the city's overall historic urban landscape, the *Structural Plan* was updated in 2014 (then incorporated into the *Town Planning Regulation*). It included the 18 viewpoints and visual axes established for the definition of the buffer zone (see Figure 54).¹⁵⁵ However, the boundary of the buffer zone was not included in the *Structural Plan* update as, at that time, it was not approved by the WH Committee (Florence Local Council, 2015b: 11). The introduction of these 18 viewpoints and visual axes for managing change in Florence's urban landscape aim to protect the existing urban skyline and visual (but also historic and cultural)

¹⁵⁴ They can be university professors, researchers or professionals who may belong to professional associations or local administrators.

¹⁵⁵ See *Section 4.1.3* "Florence's Urban Heritage Today: from 'Historic Centre' to 'Historic Urban Landscape'".

relationships between the historic centre and the surrounding contexts. It also aims to protect the relationship between relevant buildings of historic and architectural value. It was thought to be a valid tool from a scientific point of view, as the tool is able to objectively orient contemporary architectural transformations and urban developments in Florence's historic urban environment (Participant 9a, 13/10/2016; Participant 8a, 26/09/2016).¹⁵⁶

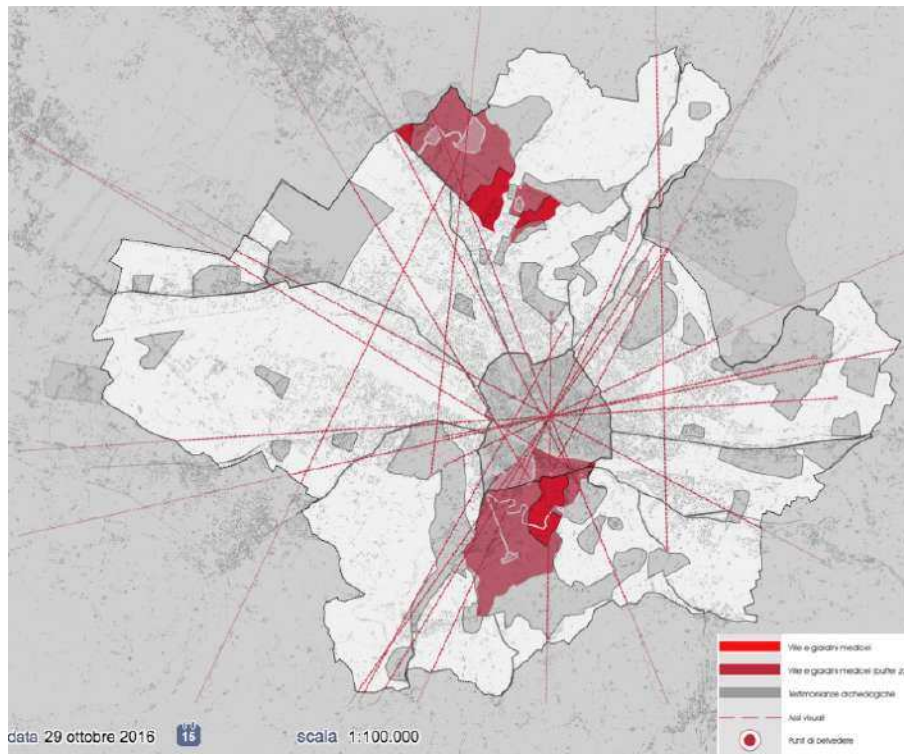


Figure 54: Viewpoints and 18 relevant visual axes offer protection to the historic urban landscape (implementation of the WH buffer zone). Source: Florence Local Council, *Structural Plan*, 2015b, Table 3.

However, while this tool might be beneficial for the protection of the main visual relationships (Participant, 1a, 07/06/2016), it is quite reductive in terms of protecting the entire urban landscape (Participant 8a, 26/09/2016;¹⁵⁷ Participant

¹⁵⁶ The original sentence is: “questa criticità è sicuramente controbilanciata dall’aver uno strumento per la prima volta importante che riesce a dare un indirizzo per quanto possibile oggettivo rispetto a una valutazione delle trasformazioni del paesaggio”.

¹⁵⁷ The original sentence is: “il resto sono vincoli che non rappresentano solo il valore di un paesaggio legato alla panoramicità dei luoghi da e verso, ma si portano dietro dei valori identitari che sono quelli del borgo storico, del tessuto edificato (...) no assolutamente legare il concetto di buffer zone esclusivamente alla panoramicità è un errore, specialmente in questo tipo di valore, di patrimonio che si è inteso inserire all’interno della lista”.

10a, 12/10/2016),¹⁵⁸ as it is composed of other attributes and values, such as cultural, historical, ecological and social values for instance. Moreover, it limits how transformations are managed, as they are restricted to the geometrical axes identified in Figure 54. This can make contemporary interventions and urban transformations problematic, as they are also subjected to specific coherency checks carried out by the local council administration (Landscape Commission) and the Superintendence. These checks are not always carried out in the rest of the urban areas, where contemporary interventions may affect other historic urban landscape's attributes. However, it is still a too recent a tool to manage change in Florence's historic urban environment, as it is too early to assess its effectiveness in evaluating future projects located within its boundaries (Participant 1a, 07/06/2016).¹⁵⁹

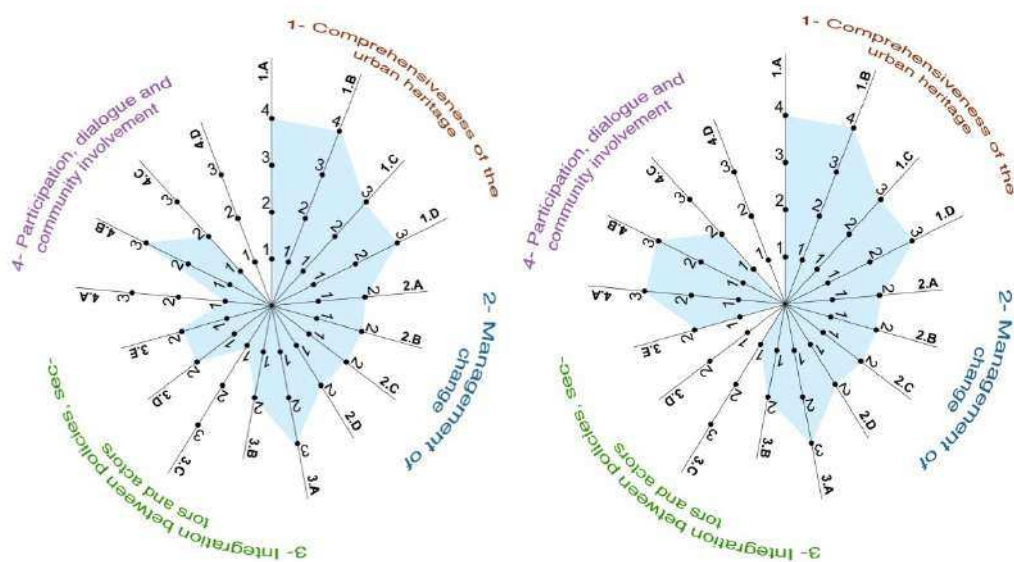


Figure 55: Assessment results of the *Structural Plan*, 2010, 2014 (on the left) and of the *Town Planning Regulation*, 2015 (on the right).

¹⁵⁸ The original sentence is: “ora io mi riferisco allo skyline, almeno nel nostro contesto diventa per quanto riguarda la l’OUV, una parte di peso importante. Ma ci sono altrettante cose importanti, non solo lo skyline ovviamente. Ci sono parti che riguardano il fiume Arno, le piene, le parte idro-geologica, ci sono tante componenti del paesaggio che forse in una Valutazione di Impatto Ambientale complessiva legata in particolar modo all’incidenza sul patrimonio storico-culturale potrebbe essere sicuramente utile”.

¹⁵⁹ The original sentence is: “la buffer zone è bella, è fatta bene, è stata approvata, però ora va resa concreta (...) bisognerà, attraverso la strumentazione urbanistica, capire come, anche con il Regolamento Urbanistico, fare un passo ulteriore (...) Ora dobbiamo cercare di capire quando si tratterà di fare interventi in un centro come entra la dinamica della buffer zone (...) come entra nel merito dell’intervento il fatto che quello è nella buffer zone o ha un impatto”.

Moreover, the *Structural Plan* and the *Town Planning Regulation* define additional limits of acceptable change allowing different degrees of admitted change in different urban areas of the city. By defining the provisions for managing change, the documents aim to regulate transformations within their jurisdiction. However, they are established taking into account that the local council has limited discretionary power in managing change in the historic environment if compared to the Superintendence. Different sub-systems were introduced to allow greater flexibility to control transformations in relation to the different features of the urban heritage (Participant 2a, 21/07/2016).¹⁶⁰ Therefore, limits of acceptable change are defined according to the peculiar characteristics of each urban district for a better safeguarding and management of urban heritage. In particular, they are defined according to the invariants, to the features of the sub-systems and environments identified in the *Structural Plan* as well as to the different kinds of buildings (of historical architectural significance, documentary of the XX century, recent buildings).

Invariants of rivers and valleys (including Arno, Greve, Ema and Mugnone torrents), often the subject of environmental vulnerabilities, are mostly characterised by hydrogeological risk prevention and rigid limits of acceptable change in relation to new building constructions in this area. Only agricultural annexes, equipment, services and infrastructures of public interest can be built and only if landscape compatibility is demonstrated. Limits of acceptable change in the open landscape, are addressed by safeguarding the historic and environmental features of the rural territory, both in terms of tangible attributes (buildings, agricultural patterns, historic viability schemes, historic elements), and intangible attributes such as traditional agricultural cultivations (olive trees and mixed cultivations). The objective is to maintain the balance between urban settlements and open landscape. New building projects are forbidden to maintain the visual relationships between relevant architectural and natural assets.

There is a need to maintain the balance between built heritage, road systems and public spaces, improving their quality conditions within the historic centre and the urban fabric in the surrounding historic towns and villages located in the Florence urban settlements system. It is important to note that safeguarding

¹⁶⁰ The original sentence is: “*il patrimonio è tutto da conservare, ma in realtà non è tutto da conservare. Il patrimonio, anche quello storico-monumentale, ha una sua evoluzione nel corso del tempo, è stato manomesso, è stato manipolato quando c'era meno attenzione, e quindi abbiamo cercato di costruire regole un po' più flessibili perché non tutto è da conservare, è questa la difficoltà perché non abbiamo, il Comune soprattutto, nel definire le regole non ha possibilità di discrezionalità*”.

measures are not only implemented in urban settlements of historic-architectural value, but also in minor settlements within the urban fabric, as they are an important element of the open landscape. It is possible to build a substitute building or renovate certain urban elements if the town regulation considers a building as an incongruous feature within its surroundings, therefore constituting an element of decay. While in the previous urban planning tool (*Piano Regolatore Generale*, 1998) those buildings could be demolished and reconstructed in a manner not always adequate to the context, the current *Structural Plan* does not permit these types of intervention, nor does it allow certain buildings to be converted into housing. The *Structural Plan* tries to transfer these functions to more suitable sections of the city.

In particular, the historic centre is considered an area “to be protected in each of its components” (Florence Local Council, 2011: 91). However, if architectural heritage is well protected in this area due to the national protection measures previously discussed, the same cannot be said of the preservation of urban heritage as a whole. The *Town Planning Regulation* is considered a “fresh tool” for managing transformations in relation to the historic urban landscape, which were included for the first time in the urban planning tool and not only in the *Building Regulation* (Participant 3a, 21/07/2016).¹⁶¹ Nevertheless, while the *Structural Plan* and the *Town Planning Regulation* have the merit of increasing measures to protect the “urban image” of the city (regulations concerning signages, advertisements, urban pavements and furniture, etc.), they still lack in adequate measures for transforming and managing urban fringes and connectivity spaces. They remain under-managed and under-preserved, which could affect the safeguarding of the entirety of the city’s urban heritage.

Furthermore, the prescriptions defined by the *Town Planning Regulation* are sometimes so strict concerning buildings’ architectural form and shape, that they limit possibilities for contemporary architectural and urban design, and constrain possibilities for positive transformation. They aim to protect the urban

¹⁶¹ The original sentence is: “*le norme ci assistono, si sono irrobustite grazie al Regolamento Urbanistico che ha elevato alla norma urbanistica l’attenzione al paesaggio urbano, cosa che nel vecchio Piano Regolatore non c’era (...). È uno strumento molto ‘fresco’ all’interno del quale ci sono apposite sezioni dedicate al paesaggio urbano e degli elementi che costituiscono l’immagine urbana (...) prescrizioni di tutela che vanno comunque garantite e che sono state portate al livello dello strumento urbanistico rispetto a quello dello strumento edilizio dove risiedevano già da molto tempo e da molto tempo operavano. Non erano state assorbite e non avevano la connotazione comunque di maggior livello che è quello della norma urbanistica*”.

landscape,¹⁶² but sometimes their practical implementation may cause a reduction in urban architectural quality (Participant 7a, 17/10/2016).¹⁶³ However, this is recognised as a critical element by local architects because there is an overlapping of responsibilities (*ibid.*).¹⁶⁴ The *Town Planning Regulation* moves beyond the urban planning sphere, as it also regulates transformations on specific buildings in a very rigid manner. These prescriptive regulations reduce an architect's freedom to design new contemporary architecture, which may implicate a lower degree of architectural quality (*ibid.*).¹⁶⁵

Moreover, the *Town Planning Regulation* also defines buildings' functional uses, regulating their transformations through 240 transformation sheets. However, this causes a greater rigidity in the urban management and planning, as according to Participant 2a, not all functions require the same degree of regulation (Participant 2a, 21/07/2016).¹⁶⁶ Moreover, these transformation sheets were defined without knowing the structural characteristics for each building or its context. As a result, sometimes the expected functions were incompatible with the building context (*ibid.*).¹⁶⁷ This fact has already caused many architects, surveyors and engineers working directly on building transformations to request changes to

¹⁶² The original sentence is: "su certi temi, se lei va a vedere le norme che abbiamo scritto, scendono abbastanza nel dettaglio sia a livello strutturale come principi generali che nel regolamento urbanistico che come norme specifiche che tutelano il paesaggio urbano".

¹⁶³ The original sentence is: "ci sono degli elementi che spesso vengono pensati in funzione giustamente di un obiettivo, ma che si riverberano da un'altra parte in tutt'altro modo (...) e non ottieni qualità diffusa".

¹⁶⁴ The original sentence is: "esatto, ma per quello esiste la Commissione Paesaggistica, per quello esiste la Commissione Edilizia, per quello esiste la Soprintendenza, qui c'è una sovrapposizione di ruoli".

¹⁶⁵ The original sentence is: "esercito la professione perché mi devo sentire dire che cosa devo fare da un'amministrazione fino a decidere la sagoma, la forma (...) ho la formazione adeguata per poter intervenire sul tessuto urbano, potrò farlo con le mie capacità? (...) ma pensare di fare, quello che dovrebbe fare la Commissione attraverso una regolamentazione così dettagliata è prima di tutto difficilissimo se non impossibile, e poi provoca dei danni dall'altra parte. Magari un professionista capace, che sarebbe anche in grado di inserire una perla nel territorio esistente sostituendo un edificio incongruo, non lo può fare perché è ingabbiato (...) Dall'altra però non nego che da parte dei professionisti c'è un continuo (...) spaesamento perché da una parte si vedono dare delle possibilità di trasformazioni importanti in immobili di prestigio e, nella pratica dell'ordinario, non si riesce neanche, pur volendo, fare un miglioramento di un tessuto urbano incongruo, non si riesce a farlo (...) da parte nostra è un po' costringerci a rinunciare ad esercitare la professione o ad esercitarla in maniera molto burocratica, per cui io mi attengo a determinati criteri ma non posso progettare".

¹⁶⁶ The original sentence is: "quindi regole un po' più ferree nella trasformazione (...) qui purtroppo secondo me la Regione è un po' dura da questo punto di vista, ci costringe a fare un lavoro molto puntuale di controllo delle trasformazioni e degli edifici esistenti da un punto di vista funzionale. Quindi noi abbiamo un sistema tutto fatto di schede in cui si definisce in maniera puntuale la destinazione d'uso che può accogliere un edificio piuttosto che un altro. Io trovo che questo sia un irrigidimento del sistema, della pianificazione, anche abbastanza inutile perché alla fine in determinati contesti, ci sono funzioni che richiedono maggiore attenzione, mentre altre sono indifferenti".

¹⁶⁷ The original sentence is: "noi siamo stati costretti a fare tutte queste schede di trasformazioni (...) non è che noi conosciamo l'edificio o il contesto in maniera così puntuale e dettagliata. Abbiamo 240 schede (...) non possiamo e non è nemmeno il compito del Regolamento Urbanistico".

the established prescriptions (Participant 7a, 17/10/2016).¹⁶⁸ Therefore, many variations are being made to the urban planning tool so that it will conform to practical realities, as some theoretical prescriptions cannot be implemented in a more detailed building design (Participant 2a, 21/07/2016).¹⁶⁹

The *Building Regulation* defines the limits of acceptable change for building structural transformations. It contains a section dedicated to the establishment of norms for the safeguarding of the city's urban image and decorum (Florence Local Council, 2015a: 64-71), as well as the typical character of the historically layered urban tissue and the open landscape (*ibid.*: 72-86). As such, it defines detailed prescriptions for managing the transformation of external building elements as well as external technological equipment. However, these prescriptions can be problematic when attempting to control or monitor building transformations due to frenetic changes in functional activities. Changes in functional activities are not regulated by the *Building Regulation*, which only provides measures for managing structural changes. However, certain functional transformations can have an impact on a building's physical structure and on the city's urban image. For instance, the modifications of shop signs or of the objects showed in a shop window may damage the urban image and decorum (Participant 3a, 21/07/2016).¹⁷⁰ This is often due to a lack of awareness amongst private owners and city inhabitants regarding the importance of preserving urban

¹⁶⁸ The original sentence is: “ora queste cose si aggiustano, perché noi siamo qui apposta, perché chiaramente sono osservazioni che chi fa i regolamenti non conosce, perché non esercitando la professione non si rende conto appieno di tutto”.

¹⁶⁹ The original sentence is: “stabilire la percentuale irrigidisce molto lo strumento perché chi opera si trova magari a dover fare degli aggiustamenti e quindi noi siamo sempre sollecitati a fare continue varianti e credo che questo non sia un buon metodo” and “noi siamo già a far varianti dopo un anno perché alcuni assetti non funzionano, ma non funzionano perché noi non è che quando progettiamo facciamo il progetto edilizio con le piante dell'edificio a tutti i piani. Facciamo un progetto di tipo urbanistico, decidiamo che quelle destinazioni UV possono essere compatibili, facciamo una prima verifica e una prima valutazione, dopo di che l'edificio lo conosce qualcun'altro, lo studia qualcun altro e quindi quando poi chi studia l'edificio si trova nella condizione di dire io qui questo non ce la posso far stare, non funziona da un punto di vista di mercato, morfologico”.

¹⁷⁰ The original sentence is: “quindi il limite purtroppo è nel rinnovarsi delle attività e quindi in un movimento abbastanza frenetico delle attività, specialmente nel centro storico e con il quale non si riesce ad intercettare la possibilità di farla applicare questa norma (...) il suo limite intrinseco va alla natura proprio di questi strumenti per cui quando c'è un intervento edilizio si cerca di controllare con queste norme, quando non c'è l'intervento edilizio la variazione degli usi comunque può comportare degli effetti sul decoro (...) quando si comincia a modificare una vetrina, oppure dietro la vetrina si mettono certe cose piuttosto che altre, o lavorare sull'insegna senza passare dai nostri uffici perché non si fa un intervento edilizio è ben difficile operare questi controlli”.

environments, notably within a WH property (*ibid.*)¹⁷¹. Moreover, the local council struggles to carry out timely controls on building transformations as it is subjected to a lack of human resources (*ibid.*)¹⁷². This can damage urban heritage before that appropriate safeguarding measures can be taken.

Finally, *Measures for the Protection and Decorum of the Cultural Heritage in the Historic Centre* is a very innovative regulatory tool (the first in the Italian national context) for managing change in the historic centre of Florence. If the urban management policies described above mainly focused on the regulation of structural changes, this tool aims to control more intangible aspects of the historic urban landscape. It aims to protect the WH property by “fighting urban decay and those elements and social behaviours that compromise public health, peaceful coexistence, urban decorum, the historic urban landscape, the urban image and the historic-architectural identity of the city” (Florence Local Council, 2016: 1).

The *Measures for the Protection and Decorum* recognises the historic centre of Florence as the most vulnerable urban area due to the commercial transformation that that were permitted by the *National Law 248/2006* (Italian Government, 2006). This law made it possible to open new commercial activities by merely sending a notification to the local council announcing the beginning of the commercial activity (Participant 5a, 18/10/2016).¹⁷³ This document aims to protect the historic centre as it establishes additional criteria for before starting new commercial activities in the area. It prohibits certain types of activities (money change, phone centre, internet point and money transfer, disco-clubs, etc.) and specific commercial activities (selling and preparation of food and drinks) if they do not respect particular conditions of habitability and hygiene (at least 40m² and with a toilet). At the same time, it promotes the selling and food supply of local and traditional products of Florence or the Tuscany Region in restaurants.

¹⁷¹ The original sentence is: “la scarsa consapevolezza di certi strumenti da parte del privato e poi in certi casi anche la leggerezza (...) i limiti degli effetti dipendono dalla consapevolezza degli operatori che esistono queste regole, la consapevolezza ancora di chi opera, di sapere che sta operando su un Patrimonio Mondiale e che se potrà avere un ritorno dalla sua attività e dal suo investimento, lo ha anche perché sta in questo posto. I primi limiti si trovano nei limiti più generali quali la scarsa comprensione dell'importanza della conservazione dell'ambiente in cui cominci a lavorare o vivere”.

¹⁷² The original sentence is: “dall'altra parte, dal versante di chi controlla, ci sono limitazioni dal punto di vista pratico (...) per noi c'è una carenza forte ora come ora di organico per riuscire a fare certi controlli in maniera tempestiva (...) perché poi il problema è che quando le cose cominciano ad essere lì o ad essersi manifestate da tanto tempo è difficile convincere qualcuno a migliorare il tutto”.

¹⁷³ The original sentence is: “dopo le norme Bersani si poteva aprire un'attività con una semplice Segnalazione di Inizio Attività (...) c'è stata una trasformazione dei centri storici in generale, in più il nostro ha avuto la fortuna di aver avuto la sua unicità riconosciuta dalla storia in qualche modo e dalla cultura europea, ma anche dall'istituzione dell'UNESCO, quindi questo ci ha aiutato anche a fare questa scelta”.

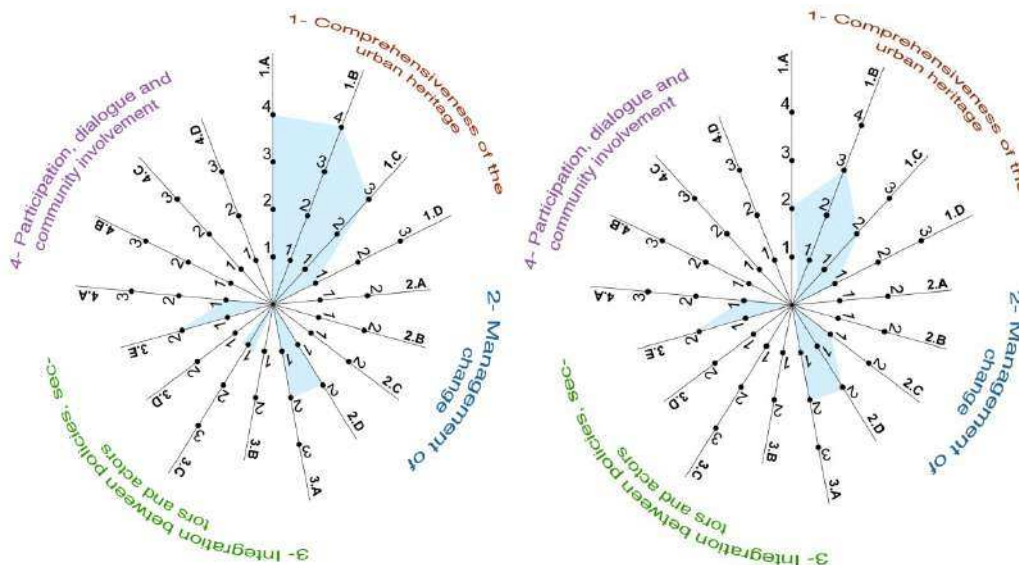


Figure 56: Assessment results of the *Building Regulation, 2015* (on the left) and of *Measures for the Protection and Decorum of the Cultural Heritage in the Historic Centre, 2016* (on the right).

Existing activities that do not respect these requirements have 3 years to meet them, if not, their title of work will be removed. Moreover, the *Measures for the Protection and Decorum* prohibits the selling of specific goods and establishes rigid measures for commercial and restoration activities (e.g. prohibits the selling of fast-foods or frozen foods) and the selling of take-away alcohol at night. With the aim of protecting the city’s urban image, it also establishes measures for store arrangements (e.g. not exposing alcohol in shop windows), as well as cleaning and maintenance measures. Moreover, it preserves the function of “historic shops” in line with the *Town Planning Regulation* (Florence Local Council, 2015e: 5, Art.5), so that they cannot be used for any other use. This is an attempt to safeguard historic commercial activities and Florence’s identity against globalisation and a homogenising process. It also provides security to shop owners, such as antique dealers, as it protects their trade from being replaced by more lucrative activities (Participant 5a, 18/10/2016).¹⁷⁴

¹⁷⁴ The original sentence is: “da una parte la logica è quella di tutelare l'affittuario, l'esercente storico che è lì, che poi magari tenderebbe allo sfratto in favore di una grande firma, un grande marchio, di qualcuno che paga di più e quindi si cerca di tutelarlo (...) dire anche al proprietario che da 25-30 anni che

However, the implementation of the *Measures for the Protection and Decorum* presents different criticisms. They establish very rigid measures for the regulation of commercial activities, which is a “volatile issue”, as commercial activities often change and should not be blocked in such an unquestioning manner (Participant 2a, 21/07/2016).¹⁷⁵ Moreover, the process of authorising the opening of new commercial activities is often not undisputed nor easy (Participant 5a, 18/10/2016;¹⁷⁶ Participant 14a, 16/01/2016).¹⁷⁷ Some businesses request an exception (*deroga*) to certain prescriptions although this can be the most difficult process to manage, as it frequently implicates complaints from the applicant (e.g. MacDonald's tried to open a new restaurant in the historic centre, but its proposal was rejected by the local council). Furthermore, another challenging task verifying that all commercial activities respect the measures prescribed (Participant 5a, 18/10/2016).¹⁷⁸ Other Italian WH cities (e.g. Verona and Venice) look at Florence as a reference model (*ibid.*),¹⁷⁹ but it is too early to make any judgement on its effectiveness or its long-term applicability, as it contrasts with free-market legislation.

The application of the *Measures for the Protection and Decorum* represents a “bet” made by the Local Administration as this regulation constitutes an urban policy, which tries to safeguard both urban decorum and manage social issues (*ibid.*).¹⁸⁰ However, for this innovative scope, it is still not framed in an existing legislative framework that completely enables the implementation of all measures (Participant 2a, 21/07/2016).¹⁸¹ Moreover, certain activities that this document

c'è questo tipo di attività, che è un'attività storica per la nostra città e che deve continuare a tenerci un'attività storica”.

¹⁷⁵ The original sentence is: “è una norma che non va bene perché il tessuto commerciale è un tessuto molto volatile, che cambia luogo, cambia funzione e quindi non puoi bloccarlo in maniera acritica, devi stare attento a dove e come si insedia”.

¹⁷⁶ The original sentence is: “e quindi noi a Firenze abbiamo cominciato a declinare, stiamo tentando perché poi non è così pacifico né così facile (...) stiamo cercando di riappropriarci di una programmazione commerciale”.

¹⁷⁷ The original sentence is: “noi abbiamo cercato di fare una cosa molto difficile che è quella di alzare il livello della qualità delle attività di vendita e di somministrazione alimentare nella città. È un percorso molto difficile, che ci ha portato ad una battaglia con Mac Donald che ci ha appena chiesto 18 milioni di euro”.

¹⁷⁸ The original sentence is: “la pratica di deroga non è semplice, soprattutto il controllo (...) noi abbiamo alcuni casi già andati sui giornali (...) prima hanno aperto saltando una parte di dichiarazione che abbiamo richiesto, ci hanno firmato che stanno alle regole, ma poi ovviamente non stanno alle regole (...) in un secondo momento hanno fatto la pratica di deroga e poi non hanno avuto la deroga”.

¹⁷⁹ The original sentence is: “da una parte siamo stati un po' il caso scuola e ora stanno tutti a vedere se resistiamo ai grandi ricorsi per poi seguirci” and “essendo una norma coraggiosa, quando poi si è tirata fuori eravamo cercati da tutte le città d'Italia”.

¹⁸⁰ The original sentence is: “quindi per noi è una scommessa faticosissima perché l'amministrazione rientra in un campo che aveva abbandonato, prima c'era l'autorizzazione”.

¹⁸¹ The original sentence is: “è un provvedimento nel mezzo tra un provvedimento di tipo sociale e di decoro urbano (...) non c'è una cornice legislativa che glielo permetta di fare. È un regolamento spinto da un

tries to control (e.g. selling of alcohol after specific hours) may be only enforced with surveillance and public force, as because certain behaviours are illegal (Participant 3a, 21/07/2016).¹⁸² Moreover, it is questionable whether the introduction of such prohibitionist measures, without educational campaigns to increase public awareness on urban and social themes of public interest, could be an effective tool for combatting urban decay and antisocial behaviour.

5.3.3 Urban Heritage Governance

Integration between Sectors, Disciplines and Tools

The assessment shows that the majority of urban management documents are integrated into other tools involved in the Florence's urban management systems. Seven policies are integrated through specific integration mechanisms, while the other four policies were planned in a coherent manner with other tools (see *coding item 3.A*). There is a high level of integration between territorial planning and regional planning policies at the regional scale. These policies define a coherent regional planning strategy that involves the three sectors of this study (heritage conservation and management, territorial and urban planning and socio-economic development). The *PIT* and the *PRS* are the main tools for regional development and territorial planning, and their strict interrelation is stated in the *Regional Law 4/1999* that establishes norms for regional planning (Tuscany Region, 1999).

punto di vista di cornice legislativa in cui ci si muove. È un po' azzardato, vediamo ora, un po' di ricorsi sono già arrivati".

¹⁸² The original sentence is: "il Regolamento si rivolge più che altro all'attività produttiva non tanto all'intervento edilizio in sé, quindi cerca di dare delle risposte per cercare di contenere certi fenomeni (...) però alcuni dei quali a mio avviso possono essere contenuti solo con la vigilanza. Chi vende oltre a certe ore, chi vende alcool e non può francamente (...) in questi casi ci vuole la forza pubblica, possiamo anche metterci molte norme, possiamo anche inventarcene di nuove, però alla fine la sostanza è che ci sono comportamenti che sono illeciti e basta e il Regolamento purtroppo può fare più di tanto, anche se comunque aiuta e porta l'intenzione a suo fine".

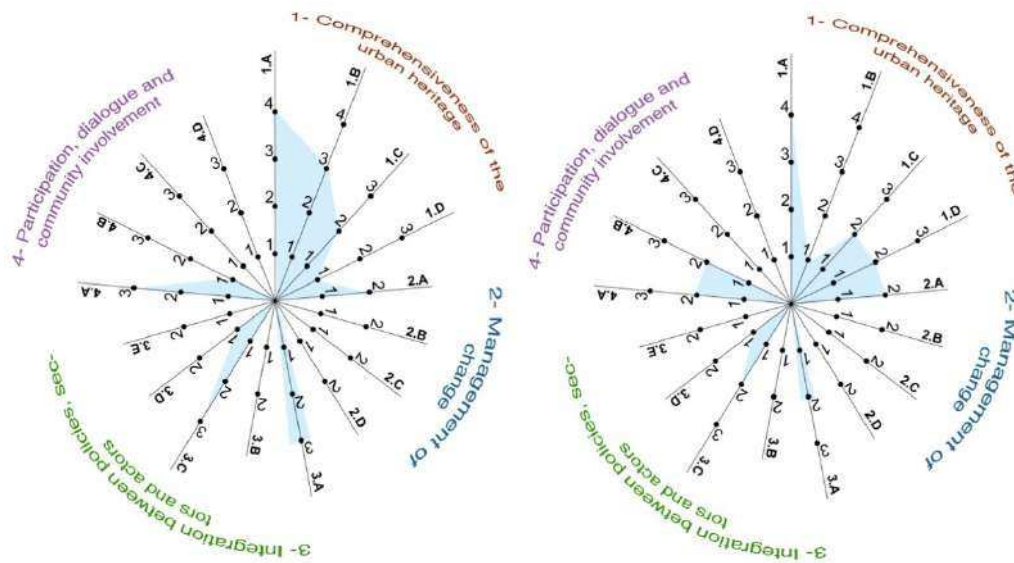


Figure 57: Assessment results of the *Regional Development Plan 2011-2015 (PRS)*, 2011 (on the left) and of the *Regional Plan for Economic Development 2012-2015 (PRSE)*, 2012 (on the right).

The *PRS* identifies the strategies for territorial development, respecting the Territory Statute as defined by the *PIT*. The *PIT* - the higher level of territorial planning - incorporates the strategies of the *PRS* into its territorial prescriptions and orientations (Tuscany Region, 2011a: 63). Moreover, the *PIT* itself is a very integrated tool as it incorporates the goal of two plans that are usually separated as they belong to two different sectors: the *Regional Orientation Plan* (strategic development) and the *Landscape Plan* (territorial planning). According to the Art. 135 Comma 1 of the *Code of the Cultural and Landscape Heritage*, the *PIT* was revised to include specific measures for the protection, safeguarding, enhancement and transformation of landscape attributes and values, including the prescriptions and measures established in the national legislation of cultural and landscape heritage. In this way, the *PIT* applies a landscape approach to the whole Tuscany Region, linking it to regional development strategies and territorial planning tools. Moreover, the definition of the *PIT* involved important interdisciplinary studies to understand the four invariants (see *Section 5.3.1*),¹⁸³ that belong to different urban management sectors and disciplines (Participant 12a, 02/11/2016).¹⁸⁴ However, the elaboration of a final synthesis, able to

¹⁸³ See *Section 5.3.1* “Identification of Urban Heritage Attributes and Values as well as their Vulnerability Status”.

¹⁸⁴ The original sentence is: “secondo me il piano pur avendo messo a sistema diverse discipline (...) e pur avendo dato una grande attenzione all’analisi in vari settori, non ha prodotto una sintesi che doveva

integrate the landscape's four components, was unsuccessful, as in the final version they were considered as separated elements (*ibid.*).¹⁸⁵ This is a critical issue as it is not possible to only consider single components of a landscape. It is necessary to take into consideration the continuous interactions between the components to ensure that the landscape is safeguarded over time (Participant 12a, 02/11/2016;¹⁸⁶ Participant 13a, 02/11/2016).¹⁸⁷ This is only possible by establishing a coherent dialogue between all the stakeholders involved and by defining comprehensive resource maps and agreed strategies between different urban management sectors and stakeholders, as suggested in the 21st century international approach (UNESCO, 2011b; United Nations, 2015, UNESCO, 2015b; United Nations 2016).

Nevertheless, the *PIT* is the most inter-sectorial tool of the Tuscany Region. The *PIT*'s prescriptions and directions incorporate the *PRS*' strategic objectives and overrule other integrated territorial and urban planning as well as regional planning policies (Tuscany Region, 2015a: 21, Art. 20). Therefore, the *Plan for Culture* and the *Regional Plan for Economic Development* (PRSE) must be coherent and conformed with it (Tuscany Region, 2012b: 78-83; Tuscany Region, 2012a: 119-123). In particular, the *PRSE* carries out operational the Integrated Development Projects (PSI), which are strategically defined by the *PRS*. While the conventional regional planning policy in Tuscany was very differed according to the different sectors, the integration between these tools and other local plans (not considered in this analysis), underlines that an integrated planning and management policy has taken shape in the Tuscany Region, especially in relation to landscape conservation and management and development (Tuscany Region, 2011a: 63).

The choice of integration between different urban management policies has also been incorporated into provincial and local planning tools. At the provincial level, the Province of Florence's *Territorial Coordination Plan* (PTCP), which is

venire fuori - non settore per settore - ma unica. È stata un po' una mancanza', ma perché era un esperimento nuovo, perché poi le persone man mano che vanno avanti si identificano sempre di più con quel lavoro (...) facciamo un bel dibattito e decidiamo insieme (...) il paesaggio (...) è legato a tutta una serie di condizioni che l'hanno creato e che è l'interazione tra le famose quattro invarianti".

¹⁸⁵ *Ibid.*

¹⁸⁶ *Ibid.*

¹⁸⁷ The original sentence is: "in qualsiasi procedimento, quando hai da dire qualcosa devi parlare come paesaggio (...) quindi non è che puoi far valere o giocare solo la carta di una componente, devi giocare una carta che si chiama carta di sintesi. Per noi questo intervento, oppure questa previsione, ha delle criticità dal punto di vista paesaggistico perché le tiene insieme tutte".

used in several municipalities, is the main reference tool for provincial planning and sectorial programs, as well as for urban planning municipal tools. The *PTCP* indicates the development strategies defined in the PRS for the Province of Florence on a territorial and cartographic plan (Participant 11a, 18/10/2016).¹⁸⁸ The *PTCP* was defined by a central planning office, composed of external technical experts, in collaboration with a Scientific Committee, which oriented its activities (*ibid.*).¹⁸⁹ The central planning office collaborated with territorial agencies located throughout the province, which worked together with local municipalities to elaborate the *PTCP*'s documents (Territory Statute, knowledge framework and cartographic maps). This choice gave rise to an important process which was beneficial for both the Province of Florence and the local municipalities (*ibid.*).¹⁹⁰ The centralised planning office integrated information from local municipalities to homogenise the provincial tool with local urban planning tools. This was an attempt to establish a standardised language which related to common themes (e.g. transports and pollution). Local municipalities could then incorporate the knowledge framework of the provincial tool into their urban planning tools.

At the local level, specific integration mechanisms exist between the *Structural Plan* and the *Town Planning Regulation*. The first document makes strategic choices for urban development and aims to preserve the physical and environmental integrity as well as the cultural identity of the city (long-term spatial and strategic planning tool). The second document implements these

¹⁸⁸ The original sentence is: “*il primo documento cartografico della Regione è stato l'integrazione paesaggistica del PIT (...) che è la traduzione territoriale delle strategie implicate nel Piano Regionale di Sviluppo. Lo stesso doveva avvenire per la Provincia: recepire a cascata dalla Regione quelle che erano gli indirizzi strategici e territorializzarli attraverso il PTCP*”.

¹⁸⁹ The original sentence is: “*era stato costituito un ufficio di piano, al quale partecipavano le professionalità esterne, diciamo personale incaricato per costituire l'ufficio di piano (...) a questo ufficio di piano strettamente tecnico che si relazionava però con piccole strutture all'interno della provincia, era associato un comitato scientifico che indirizzava le attività. Sul territorio erano stati individuati altri uffici di piano ai quali era affidata la redazione degli elaborati (...). In altri termini per essere più precisi, il territorio provinciale è stato suddiviso in sistemi territoriali riconoscibili rispetto a delle caratteristiche storico-geografiche del territorio e quindi il Mugello era un sistema territoriale, il Valdarno e il Polesine avevano la loro agenzia territoriale. È proprio sul territorio che venivano individuati i locali e le varie sedi per i vari uffici distaccati. Erano state nominate denominatele 'Agenzie Territoriali' che avevano il compito di relazionarsi anche con i comuni che sono stati la fonte più vicina di informazione. Le agenzie dovevano inoltre restituire le informazioni all'ufficio di piano centrale. L'ufficio di piano centrale coordinava le varie informazioni e ricomponeva il tutto, in affiancamento con i tecnici che erano dipendenti (...)*”.

¹⁹⁰ The original sentence is: “*grande è stata l'operazione di istituire le agenzie e gli uffici di piano, c'è stata una forte disponibilità. Anche perché è stata fatta una scelta importante: era la prima esperienza di relazione con i comuni e occorreva individuare anche un linguaggio comune con queste realtà. Condurre un'operazione anche dal punto di vista conoscitivo così capillare è stata il trade union con le realtà locali che hanno comunque partecipato, che hanno avuto anche loro un ritorno importante nella redazione dei loro strumenti urbanistici, in quanto tutta la parte preparatoria, conoscitiva, conferiva al PTCP*”.

choices in an operational and localised way, including constraints and restrictions on private properties. Moreover, the adoption of these two urban planning tools implicated a simplification of the urban planning system. It has reduced the number of sectorial plans previously involved in the urban management system and they are now complemented by the *Building Regulation* and the *Commercial Sectorial Plan* (see Figure 58).

Florence Local Council made this decision because it represents an important step forward in the revision of local plan and policies (Participant 2a, 21/07/2016).¹⁹¹ Previously, the sectorial plans (e.g. commercial plans) contained norms related to functional activities, but that often implied that buildings would undergo structural transformations during implementation process, particularly in the case of restaurants and bars (*ibid.*).¹⁹² This process could not be controlled by the urban planning office or the building permits office, and it would be seen to have negative impacts on Florence’s urban heritage (in particular on buildings’ internal structures and facades). In order to overcome this issue, the policies’ revision eliminated existing overlaps that created confusion in the application of the urban planning discipline (Florence Local Council, 2015b: 48), thereby integrating all the prescriptions and measures related to urban planning and buildings’ transformation into both the *Town Planning Regulation* and the *Building Regulation* (depending on the scale).

¹⁹¹ The original sentence is: “a livello comunale (...) una pletera di strumenti si sostituivano alla pianificazione o integravano la pianificazione in maniera assolutamente strabica (...) Abbiamo cercato di fare grande pulizia e quindi di riassorbire all'interno del Regolamento Urbanistico tutte le regole urbanistiche (...) quindi di non lasciare fuori niente. Abbiamo fatta piazza pulita di tutto quello che ruotava attorno al Piano Regolatore Generale e quindi tutto quello che era disciplina riconducibile alla disciplina urbanistica l'abbiamo reintrodotta, modificandola o all'interno del Regolamento Urbanistico o del Regolamento Edilizio a seconda della scala di intervento (...) quindi da questo punto di vista abbiamo fatto un grandissimo salto in avanti”.

¹⁹² The original sentence is: “l'esempio più tipico è quello della somministrazione, somministrazione vuol dire ristoranti, bar, etc, che all'interno della pianificazione di settore si era appropriata di una serie di norme di programmazione, di pianificazione, che ora dovrebbe espellere perché non ne ha più bisogno e fare quello che dovrebbe fare il piano di settore, ovvero gestire l'attività e non altro. Il regolamento dice dove si può insediare, come si può insediare, il piano di settore deve dire quanti tavoli, le mattonelle, gestire la parte igienico-sanitario dell'attività, non delle mura dell'attività”.



Figure 58: Urban planning tools before (on the left) and after (on the right) the approval of the *Town Planning Regulation* in 2015. Source: Florence Local Council, 2015e, p. 48.

However, while these tools were approved in 2007 and conform with the *PTCP* and the *PIT*, they also take into account the 2009 version of the *PIT* (when it was adopted as a landscape plan). However, they have not been adapted to the most recent revision *PIT*, approved in 2014, which also works as a landscape plan. Conforming and adapting current tools to the 2014 revision of the *PIT* will constitute a big challenge for the city as it has just revised its urban planning tools and will have to alter the *PIT* directions into prescriptive norms. Revising these tools may represent an opportunity to apply a landscape approach to urban conservation and management at the local scale. Moreover, the revision of local planning tools could also constitute a challenge for the *PIT*, as it may have to update information on Florence's urban heritage attributes and values, as well as on on-going transformation dynamics (structural and socio-functional changes) which are identified in revisions of the local planning tools. This adaptation and conformation process demonstrates the modernity and merit of the plan (Participant 13a, 02/11/2016),¹⁹³ and according to Participant 12a, it may bring about a new chapter in landscape planning, which is the one that is able to synthesise all of this information into one single document (Participant 12a, 02/11/2016).¹⁹⁴ It would provide a new perspective on the entirety of Florence's landscape without placing a focus on its four invariants in a separated manner.

¹⁹³ The original sentence is: "secondo me uno degli aspetti più interessanti del piano ed assolutamente innovativo è che il piano cresce via via che i comuni adeguano e conformano i propri strumenti (...) secondo me è un elemento di valore estremo e anche di modernità".

¹⁹⁴ The original sentence is: "se c'è una buona intesa con il territorio e va avanti questo processo di adeguamento e di conformazione si arriverà probabilmente ad un punto in cui si potrà riscrivere un altro capitolo del piano che è quello di sintesi. Per macro-aree, per macrosistemi che potrebbe dare una sintesi, semplificando tutte le informazioni in un capitolo unico".

Concerning the *WH Management Plan* and the *Local Plan of Agenda 21*, the mechanisms for integration are different: they both operate as tools for coordinating existing plans and other projects involved in the urban management systems. They collaborate to achieve document objectives and visions. The *WH Management Plan* and the *Local Plan* identify existing plans and projects that contribute to the realisation of each of their proposed actions, as the central coordinator and reference tools. They also stimulate participation on their related themes (World Heritage and environment/sustainability), through the consultation of different kinds of stakeholders, including the local community.¹⁹⁵ However, the actions promoted are not prescriptive and they need to be agreed upon by the different stakeholders that operate at the regional, provincial and local levels in order to be effective.

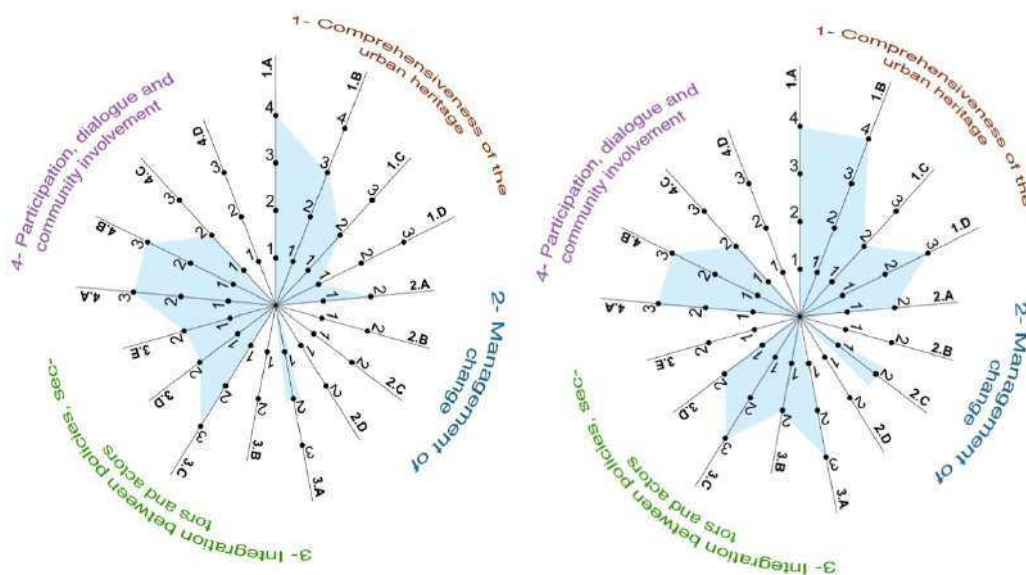


Figure 59: Assessment results of the *WH Management Plan for the Historic Centre of Florence*, 2016 (on the left) and of the *Local Action Plan of Agenda 21*, 2005 (on the right).

However, Participant 1a underlined how the UNESCO office of Florence, which guides the monitoring of the implementation of the *WH Management Plan*, is a “neutral place” where it is possible to soften the different institutional competences and interests, and to work toward common goals (Participant 1a,

¹⁹⁵ See the following section on “Stakeholders’ Engagement in Urban Heritage Conservation, Management and Development”.

07/06/2016).¹⁹⁶ The *Local Plan of Agenda 21* may have had a similar influence, however its implementation constituted a very short experiment as the plan was never revised or redefined after its adoption in 2005. Moreover, the *WH Management Plan* is a relatively new heritage management tool and, while important steps have been taken since its first adoption in 2005, there is still a lack of common consensus in defining and implementing its actions (*ibid.*).¹⁹⁷

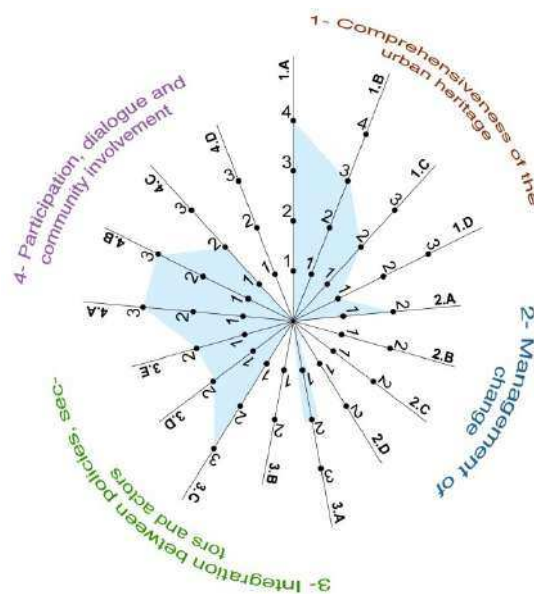


Figure 60: Assessment results of the *Plan for Culture*, 2012.

The integration between urban management policies is also reflected in the collaboration between different sectors and disciplines, which were involved in the definition of these documents. The results of the assessment show how the territorial and urban planning tools, as well as the *WH Management Plan* and the *Local Plan of Agenda 21*, envisage a multi-disciplinary approach (see *coding item 3.B*). This means that the local approach toward urban heritage conservation, management and development already involved different administrative sectors and expertise in defining planning and operational tools (see Table 11). However, the same cannot be said for the rest of the assessed policies, whose actions were

¹⁹⁶ The original sentence is: “siamo considerati un po' una sede neutrale dove riusciamo a smussare le competizioni istituzionali. E anzi riusciamo a mettere assieme le istituzioni su degli obiettivi”.

¹⁹⁷ The original sentence is: “i punti di debolezza si legano al fatto che comunque è ancora uno strumento troppo nuovo, e bisogna, ci vorrebbe uno sforzo enorme a livello centrale su questo argomento (...). Il piano di gestione ha tantissime debolezze, ne ha tante perché non c'è tradizione, non c'è forza, non c'è una forza esterna (...) non può essere solo quella del site manager dell'ufficio e del sindaco della città. Deve essere una cosa sentita da tutti”.

decided by politicians and policymakers who were only related to a specific urban management sector (heritage conservation or development). In particular, the three development plans of the Tuscany Region - the *Regional Development Plan 2011-2015 (PRS)*, the *PRSE* and the *Plan for culture (2012-2015)* - provide policy orientations for the enhancement of urban heritage, including buildings, urban areas, infrastructures and specific functions (commercial, agricultural and ecological). However, the measures established by these documents are very limited and generic, demonstrating the lack of importance given to urban heritage in current regional development strategies and its need to be better integrated into urban heritage conservation and management strategies.

Finally, the assessment shows how only eight documents clearly state that the territory contains WH properties and link them to specific actions and objectives (see *coding item 3.E*). The other four documents do not even mention the presence of WH properties. Notably, the *PRS*, an instrument approved in 2011 for orienting regional policies for the entire regional legislature, defines regional strategic choices in relation to culture, society, territory and environment of Tuscany. Moreover, the *PRSE*, another regional tool that defines economic policies, including priorities and objectives, in relation to industry, handicrafts, commerce, tourism, cooperation and services. However, these two strategic development documents do not take into consideration any WH property in their strategies. This underlines the limited role of urban heritage and WH properties have in regional development strategies. In the same way, the *Local Plan of Agenda 21* - an orientation plan for sectorial policies, promotes territorial sustainable development. However, it does not consider the WH property as an element of sustainable development. Therefore, the assessment demonstrates that these documents have a low consistency with the 21st century international approach that foster sustainable development in all its three dimensions through the conservation and management of WH properties (UNESCO, 2002; UNESCO, 2015b).

Table 11: Identification of the different types and levels of stakeholders involved in the implementation of policy objectives and actions, as well as the types of sector of other urban management policies which are integrated to the assessed documents.

		Level						Type		Type of sector				
		International	National	Regional	Provincial	Local	WH site	Public	Private	Heritage conservation	Heritage management	Urban planning	Territorial planning	Development
National	Code of the Cultural and Landscape Heritage, 2004, <i>MIBACT</i>		•	•	•	•	•	•	•	•	•	•	•	
Regional	Regional Orientation Plan of the Tuscany Region (PIT), 2014, <i>Regione Toscana</i>		•	•	•	•		•	•	•		•	•	•
	Regional Development Plan 2011-2015, 2011, <i>Regione Toscana</i>			•	•	•		•	•			•	•	•
	Regional Plan for Economic Development 2012-2015, 2012, <i>Regione Toscana</i>			•	•	•		•	•					•
	Plan for Culture 2012-2015, 2012, <i>Regione Toscana</i>			•	•	•		•	•					•
Provincial	Territorial Coordination Plan (PTCP) of the Province of Florence, 2013, <i>Provincia di Firenze</i>			•	•	•	•	•	•	•		•	•	•
	Local Plan of Agenda 21, 2005 <i>Province of Florence</i>			•	•	•		•	•		•	•	•	•
Local	Structural Plan, 2010 (revised in 2014), <i>Florence Local Council</i>			•	•	•	•	•	•	•		•	•	•
	Town Planning Regulation, 2015, <i>Florence Local Council</i>			•	•	•	•	•		•		•	•	•
	Building Regulation, 2015 <i>Florence Local Council</i>					•		•		•				
WH Site	World Heritage Management Plan, 2016 <i>UNESCO Office of the Municipality of Florence</i>	•	•	•	•	•	•	•	•	•	•	•	•	•
	Measures for the Protection and Decorum of the Cultural Heritage in the Historic Centre, 2016 <i>SUAP (Office for manufacturing activities) of the Florence Municipality</i>					•		•						•

Stakeholders' Engagement in Urban Heritage Conservation, Management and Development

The *Regional Law 1/2005* establishes that in the Tuscany Region, all administration levels (regional, provincial and local) collaborate in the territorial government, and are supported by the national regulatory and development framework (Italian Government, 2004: 11-12, Art. 5; Tuscany Region, 2005: 10, Art. 27). The assessment shows that the cooperation between different administration levels is envisaged by all documents to implement their actions, with the exception of the *Measures for the Protection and Decorum* (see *coding item 3.C*). For the other documents the number of subjects involved is also subject to the documents' scale: provincial and regional documents, as well as the *WH Management Plan*, necessarily envisage the cooperation of more levels of stakeholders than local urban planning documents and regulations. Furthermore, nine documents also envisage collaborations between public and private actors in the implementation of the documents' measures (see *coding item 3.D*) on the historic urban landscape. Five documents also promoted the establishment of official partnerships between private and public actors.

Moreover, the assessment results illustrate how all stakeholders' levels (national, regional, provincial, local), as well as different types of stakeholders (governmental, experts and local community), actively participate in Florence's urban management system (see *coding item 4.A*, *coding item 4.B* and Table 12). However, stakeholders' involvement varies consistently according to the different policies. Moreover, specific consultation mechanisms exist for the engagement of professional and non-professional experts, developers and the local community. However, the final wording and approval of policies' actions is always decided by relevant politicians and policy makers working within the governmental administration.

Defining territorial tools (*PIT* and *PTCP*) and the *Local Plan of Agenda 21*, considering their supra-municipal scale, benefit from dialogue and collaboration between different administration levels, as well as formal coordination meetings. Moreover, they all benefit from consulting different local councils, other public bodies (e.g. *Comunità Montane*), associations and specialised institutions (e.g. *ARPAT*), that operate at local and provincial levels. They also benefit from their collaboration with experts (professional and academics), not-professional associations, private bodies and local communities. Moreover, the *PIT*, was co-

planned with the MIBACT, thus cooperating with national authorities in the protection, safeguarding and transformation of cultural and landscape heritage. Furthermore, the planning of the *PIT* involved essential collaborative research with universities, as it was necessary to include an interdisciplinary team that was able to consider the different landscape components (Participant 12a, 02/11/2016;¹⁹⁸ Participant 13a, 02/11/2016).¹⁹⁹ The regional developments plans, instead, only envisaged the participation of politicians in defining planning measures, as they are political programmatic tools for the current regional legislation. At the local level, urban planning and regulatory documents only include the participation of local stakeholders. In this sense, the *WH Management Plan* is an exception because, even if it is a local plan, it involves the collaboration of international (UNESCO), national (MIBACT), regional (Tuscany Region), provincial (Metropolitan City) as well as local organisms, with the aim of promoting a shared management of the WH property.

Moreover, the *Regional Law 1/2005* establishes that local councils, Provinces, the Tuscany Region, other private and public subjects and citizens (single or in association) participate in defining urban and territorial planning tools at every level (Tuscany Region, 2005: 5, Art. 7, Comma 5). In accordance with this law, stakeholders from every level were consulted during the decision-making process that led to defining the territorial and urban planning documents.²⁰⁰ This participatory process is included in the *Integrated Intermediate Evaluation* that took place between the first adoption of the plan and its final approval.²⁰¹ A specific person, the “communication guarantor” (*Garante della Comunicazione*), assures the effective and prompt communication of the choices and materials provides support at throughout the definition and adoption of urban planning documents process, and promotes public awareness of the entire process.

¹⁹⁸ The original sentence is: “*quel lavoro del piano è un lavoro interessante perché era in copianificazione con il Ministero ed è stato fatto un rapporto di pianificazione con il centro inter-universitario*”.

¹⁹⁹ The original sentence is: “*c'è stata una collaborazione importante con le università perché avevamo bisogno di un gruppo interdisciplinare. Il concetto di paesaggio che sta dentro al piano va dietro al concetto della Convenzione Europea e del Codice dei Beni Culturali e del Paesaggio*”.

²⁰⁰ The *Regional Orientation Plan of the Tuscany Region (PIT)*, the *Territorial Coordination Plan of the Province of Florence (PTCP)*, the *Structural Plan* and the *Town Planning Regulation*.

²⁰¹ After the first adoption of the plan, the plan is publicly open so every person can make observations and ask for amendments or modifications. Then, the local council evaluate the received observations, possibly modify the plan and then proceed with its final approval.

Table 12: Identification of the stakeholders involved in the definition of policies' objectives and actions and the form of their involvement (d) decision making; (e) enrolled /executory; (c) consulted /dialogue; (i) informed / educated.²⁰²

	WH site		Local			Provincial		Regional				National
	Measures for the Protection and Decorum, 2016	WH Management Plan, 2016	Building Regulation, 2015	Structural Plan 2010, 2014	Town Planning Regulation, 2015	Local Plan of Agenda 21, 2005	Territorial Coordination Plan (PTCP), 2012	Regional Orientation Plan of the Tuscany Region (PIT), 2014	Regional Development Plan 2011-2015	Regional Plan for Economic Development 2012-2015	Plan for Culture 2012-2015	Cultural Heritage and Landscape Code, 2004
<i>Politicians</i>	(d)	(d)	(d)	(d)	(d)	(d)	(d)	(d)	(d)	(d,e,c)	(d)	(d)
<i>Policy makers</i>	(d)	(d)	(d)	(d)	(d)	(d)	(d)	(d)	(d)	(e,c)	(d)	(d)
<i>Officers</i>	(e)	(e)	(e)	(e)	(e)	(e)	(e)	(e)	(e)		(e)	(e)
<i>Scientific experts</i>		(c,e)		(c)	(c)	(c)	(c)	(c)	(e)		(e)	
<i>Professional experts</i>		(c,e)	(i)	(c)	(c)	(c)	(c)	(c)	(e)			
<i>Non-professional experts</i>		(c,e)		(c)	(c)	(c)	(c)	(c)	(e)		(c,e)	
<i>Developers/private sector</i>		(c)		(c)	(c)	(c)	(c)	(c)	(e)	(e,c)	(e)	
<i>Local community directly involved</i>	(i)	(i, c)	(i)	(c)	(c)	(i)	(c)	(c)				
<i>Local community indirectly involved</i>		(i, c)		(c)	(c)	(i)	(c)	(c)				

²⁰² The actors' kind of involvement has been defined according to the taxonomy defined by Veldpaus (see Chapter 3 "Linking Theory with Practice: Methodological Approach") in "Veldpaus, L. (2015). *Historic Urban Landscapes: Framing the Integration of Urban and Heritage Planning in Multilevel Governance*. Vol. 207. Eindhoven: Eindhoven University of Technology, Eindhoven, The Netherlands, p. 64".

Concerning the level of community involvement in the definition of the objectives and actions of the urban management policies, the results illustrate that the local community was consulted on six documents and only informed in the case of the *Local Plan of Agenda 21* (see coding item 4.C and Table 12). However, in the case of the *Measures for the Protection and Decorum*, the *Building Regulation* and the *Code of the Cultural and Landscape Heritage*, the local community was not involved at all in the definition of their objectives or actions. Considering the normative nature of these documents, a participatory process with stakeholders was not considered necessary or appropriate, as with the case of the *Measures for the Protection and Decorum* (Participant 5a, 18/10/2016)²⁰³. The prescriptive measures contained in these documents were established in name of the broader collective interest, although they could be strongly opposed by diverging interests, notably among local communities and professional or trade associations. Moreover, local community involvement did not take place while defining the objectives' and actions of the three development plans of the Tuscany Region (*PRS*, *PRSE* and the *Plan for Culture*). Considering the political nature of these documents, a participatory process is not a common practice as the objectives and actions defined in the plans often reflect the programme of regional politicians who were directly elected by the local community.

Focusing on territorial and urban planning documents, the *Integrated Intermediate Evaluation* of the *PTCP* involved a participatory process with primarily local bodies, institutions, associations and environmental authorities. However, for the processes concerning *PIT*, the *Structural Plans* and the *Town Planning Regulation*, also involved the local community, through the definition of appropriate consultation meetings. This participation process supports the decision-making process because the contributions, suggestions and criticisms collected from the institutional bodies, as well as from the local community and experts, must be taken into consideration by the local authorities. In particular, local citizens were consulted before, during and after the adoption of the urban planning tools through meetings in all urban districts, which are directly affected by the measures envisaged by the 240 transformation sheets of the *Town Planning*

²⁰³ The original sentence is: "il livello partecipativo non è necessario tutte le volte (...) c'è stata una condivisione con le categorie, ovviamente la parte del Regolamento che metteva le regole sugli esercizi era perché le categorie non lo volevano, le categorie degli esercenti sono quelli che vogliono fare tutto quello che vogliono (...) non è una prassi che richiede un percorso partecipativo, Giunta e Consiglio approvano (...) la partecipazione non è obbligatoria, non è codificata, né richiesta (...) non devi tenere in considerazione le opinioni degli altri".

Regulation (Participant 2a, 21/07/2016).²⁰⁴ In fact, from the first adoption of the plan to its final approval, the observations collected during the consultation process were analysed and evaluated by the local administration (local council, Province or Tuscany Region). The local administration modified the plan in relation to the consultations or defined rebuttal arguments to every observation, justifying their inclusion or absence in the approved plan. However, while the collection of observations is a prosperous moment for discussion and revision of the adopted plan, the final decisions are taken by the local administration in the name of collective interest and practical feasibility (*ibid.*).²⁰⁵

Furthermore, since 2014, the local council has organised the *Maratona dell'Ascolto* (“Listening Marathon”), an active information process where citizens and local stakeholders discuss a series of sub-themes related to a broader urban topic. Participants, through the help of external facilitators, are asked to discuss proposals and ideas on pre-defined topics. This participatory process aims to strengthen shared positions, and to stimulate debate on the diverging opinions. However, according to Participant 7a, they are not considered a constructive participatory process because they do not produce any concrete results. They are generally organised after decisions have already been taken by the local council (Participant 7a, 17/10/2016).²⁰⁶ This is confirmed by Participant 1a, who said that it would be “hypocritical” to say that all the suggestions that emerged during the *Maratona dell'Ascolto* organised for the definition of the *WH Management Plan* were included in the revision of the plan (Participant 1a, 07/06/2016).²⁰⁷ In fact, the *Maratona* was carried out on 15th November 2015, just two months before the

²⁰⁴ The original sentence is: “*le persone che vivono nei quartieri sono state consultate, sì, assolutamente, prima, durante e dopo. Consultazione totale e consideri che oltre la consultazione è stata fatta una campagna a tappeto lunghissima, di assemblee con i quartieri*”.

²⁰⁵ The original sentence is: “*devo dire che è stata fatta una lunga consultazione, abbiamo ricevuto circa 750 osservazioni, abbiamo aggiustato il tiro laddove era possibile aggiustarlo senza andare ovviamente contro i principi del Regolamento Urbanistico (...) quindi tra l'adozione e l'approvazione c'è stato un lavoro di riscrittura, sistemazione, aggiustamento, sensibilizzazione su alcuni temi (...) su alcuni abbiamo fatto marcia indietro, avevamo negato la possibilità di mettere le nuove antenne per le telefonia mobile in centro storico UNESCO ed abbiamo avuto l'assalto di tutti i gestori*”.

²⁰⁶ The original sentence is: “*L'Amministrazione fa un processo partecipativo che è chiamato Maratona dell'Ascolto ed è tutto fuorché un processo partecipativo (...) perché la Maratona dell'Ascolto viene indetta per sentire appunto cittadini e professionisti (...) idealmente è un bello strumento, solo che non produce niente, non produce dei risultati e soprattutto spesso viene fatto quando le decisioni sono già state prese*”.

²⁰⁷ The original sentence is: “*molte delle cose che sono emerse erano già molto presenti nelle nostre scelte, anche nei progetti del Piano di Azione. Eravamo molto contenti da questo punto di vista. Sarei ipocrita se ti dicessi che a un mese dalla chiusura del Piano di Gestione è stato preso tutto, no, certo (...) forse più dell'80%, forse anche del 90% delle cose che sono state suggerite in occasione della Maratona erano già perfettamente presenti nel piano di gestione. La Maratona è stata più una conferma che altro*”.

approval of the final *WH Management Plan* on 19th January 2016. This participatory moment confirmed the fact that the issues raised by the local citizens were already taken into consideration by the local administration in the drafting of the plan (*ibid.*). This is positive, as the local community's opinions were in line with those of the local administration, but, also negative, as the participatory process was, in effect, a mere formality. According to participant 1a, the involvement of the local community in decision-making is a new process that still needs to be improved so that participants do not feel that they are merely part of "political legitimization" process for decisions that have already been taken (*ibid.*).²⁰⁸

Nevertheless, Participant 4a underlines that if the local council organised a participatory event to discuss how to transform a particular urban area or building for example, it would often be because it had already decided to transform it and aimed to collect ideas, suggestions and expectations. However, this "does not mean that the process is useless as it is certainly effective" (Participant 4a, 14/10/2016).²⁰⁹ Nevertheless, other criticisms exist in relation to the engagement of the local community through consultations. Participant 14a highlights how, generally, the people who take part in the *Maratona dell'Ascolto* interact for their own interests, rather than for collective interests (Participant 14a, 16/01/2016).²¹⁰ This complicates and contaminates the participatory process. This is confirmed by Participant 2a who, based on his/her personal experience, affirmed that often public opinion is divided into several factions, which makes it impossible to take a shared and agreed decision. The ultimate decision needs to be taken by the public

²⁰⁸ The original sentence is: "*perché sai, questa cosa della partecipazione è un po' una novità, bisogna capire un po' come orientarla ed evitare che sia percepita solo come uno strumento di consenso che poi è questa la difficoltà che fanno molti Comitati*".

²⁰⁹ The original sentence is: "*questi altri sono su temi generici quindi possono e non possono dare un esito (...) è chiaro che il percorso di partecipazione su quel giardino, sulla riapertura di quella chiesa che è dismessa per altri usi, ha già di per sé ha in sé una volontà precisa dell'Amministrazione di fare quella cosa. Quindi si tratta a quel punto di raccogliere le suggestioni, i suggerimenti, le aspettative per orientare meglio quelle che sono le scelte già fatte dall'Amministrazione. Questo non vuol dire che il percorso partecipativo è inutile, perché è sicuramente efficace*".

²¹⁰ The original sentence is: "*è ovvio che bisogna stare attenti perché vengono coloro che sono interessati e, spesso, non è detto che l'interesse del singolo professionista o qualsiasi altra cosa sia, corrisponda all'interesse dello sviluppo pubblico collettivo. Però sono dei momenti interessanti perché mettendo insieme tutto questo poi con le restituzioni si riesce sempre ad avere degli stimoli (...) non di rado abbiamo cambiato idea (...). I processi partecipativi sono sempre i più complicati, perché sono difficili, sono inquinati dagli interessi di chi viene e vanno gestiti con grande attenzione*".

administration, which operates in name of the collective interest and often has to make difficult choices (Participant 2a, 21/07/2016).²¹¹

Furthermore, the public administration is often criticised by the public (Participant 1a, 07/06/2016;²¹² Participant 14a, 16/01/2016).²¹³ This is particularly evident during these participatory processes, where people use consultation meetings to fuel an argument rather than constructively debate toward finding a common agreement (Participant 1a, 07/06/2016).²¹⁴ Nevertheless, decisions taken by the public administration have political connotations, and they often view public opinion as a problematic issue. Frequently, in order to develop new urban development projects (e.g. the new tramline) in the name of collective interest, the local administration prefers to not involve the local community until formal decisions have already been taken when modifications are no longer possible (Participant 6a, 03/11/2016).²¹⁵ Moreover, decisions taken by local administrators might be characterised by strong political choices to improve their public approval ratings rather than concentrating on the collective benefit.

²¹¹ The original sentence is: *“io non sono tanto propenso/a a fare partecipazione (...) perché sì, tutto sommato informi, fai vedere che stai facendo ed i cittadini è giusto che sappiano ciò che succede. Però poi vedo i risultati che sono sempre 50% e 50%. 50 favorevoli a una soluzione e 50 contrari, è sempre così quindi alla fine poi è l'Amministrazione che deve decidere la strada da intraprendere. La può aggiustare strada facendo però, si elegge un sindaco e il sindaco deve assumersi poi la responsabilità di fare delle scelte. Perché poi tanto accontentare il 100% non è possibile, è umanamente impossibile, bisogna cercare di fare le scelte migliori (...). L'opinione pubblica viene parzialmente recepita (...) il problema è la scelta. Ovviamente spesso si assiste a delle situazioni dove vengono sollecitate alcune soluzioni - magari di dettaglio - a cui l'Amministrazione non aveva pensato e vengono ovviamente recepite. Però è evidente che non è scelta facile, purtroppo”*.

²¹² The original sentence is: *“lo scontro tra Comitati e tra Comitati e Amministrazione alla fine è puramente politico (...). Pensando sempre che ci sia qualcuno che ti vuol fregare, il complottismo ormai è dilagante”*.

²¹³ The original sentence is: *“per me è importante sempre far capire che l'amministratore cerca sempre di agire nell'interesse di tutti, non è banale, perché in questo momento l'attacco alla politica è sull'autorevolezza. Cioè il racconto dei detrattori della politica come luogo legittimo di decisione del luogo istituzionale, è un racconto fatto del mettere sempre un interesse diretto e non dichiarato. Questo ha inquinato molto le cose”*.

²¹⁴ The original sentence is: *“c'è da dire che alcuni Comitati che fanno polemica (...) nel momento in cui abbiamo voluto invitarli per sentire la loro e per avere anche un confronto, non hanno voluto partecipare (...). Sì, dicendo che è tutto una farsa. (...). Si parte molto prevenuti e nel momento in cui si cerca di avere apertura e di sentire l'opinione di tutti, anche di chi è contrario, soprattutto di chi è contrario, purtroppo non abbiamo un riscontro positivo. Anzi”*.

²¹⁵ The original sentence is: *“[talking about the new tramline] un po' non viene normato per legge, un po' siccome era fortemente osteggiato si è portato avanti il progetto, ma un pochino sottobanco (...). Perché questa cosa dell'opinione pubblica viene vista come un problema dall'Amministrazione, è vista come non costruttiva, come un ostacolo (...). Alla fine si rimanda tutto al momento in cui inizia l'opera e lì l'Amministrazione se la gioca, organizza gli incontri. Però a quel punto l'opera è decisa, è già stata appaltata. E poi spesso e volentieri modifiche al progetto a quel livello non si possono più fare, perché vuol dire rifare completamente il progetto”*.

Finally, the results of the assessment show that, with the only exception of the *PIT*, none of the other urban management policies envisage the participation of the local community in the definition of the urban heritage attributes and values to be protected, safeguarded, managed and enhanced by the plan (see *coding item 4.D*). This is the most critical result in terms of coherence with the 21st century international approach. In fact, the involvement of local communities in the processes of defining, conserving and managing urban heritage attributes and values was particularly stressed by the adoption of the *Budapest Declaration*, the *HUL Recommendation* and the *UNESCO Policy on the Integration of a Sustainable Development Perspective into the Processes of the WH Convention*.

Focusing on the *PIT*, the Tuscany Region organised a series of meeting with the local population in different areas to collect their contributions in relation to landscape values, needs, critical issues and on-going transformation dynamics. They also consulted them on the identification of urban heritage attributes and values that was carried out by scientific and professional experts and regional officers (Participant 13a, 02/11/2016).²¹⁶ This consultation process was conducted throughout the defining process until its adoption in 2014 (*ibid.*),²¹⁷ so as to incorporate local suggestions, particularly concerning identity values (Participant 12a, 02/11/2016).²¹⁸ Moreover, it linked urban heritage values to the measures envisaged for landscape conservation, transformation and enhancement, thereby promoting a value-based approach in line with the 21st international approach (UNESCO, 2011b). However, the participatory meetings did not have the same degree of involvement as some consultations and in some locations “the meetings involved only three people” (Participant 8a, 26/09/2016;²¹⁹ Participant 12a,

²¹⁶ The original sentence is: “noi abbiamo all'interno della normativa regionale anche l'obbligo di far partecipare, quindi la voce partecipazione è quell'aggancio per cercare di tirar fuori dal territorio - dalle persone che lo vivono - i valori, i bisogni, le criticità, dinamiche in atto e di trasformazione”.

²¹⁷ The original sentence is: “il lavoro di partecipazione è stato fatto di pari passo con la formazione dello strumento (...). La partecipazione di raccolta dalla comunità locale viene fatta prima dell'adozione, tra l'avvio e l'adozione, poi dopo l'adozione ci sono i 60 giorni di pubblicità del piano in cui poi dopo tutti i soggetti privati, pubblici, tutto il mondo è chiamato a pronunciarsi dopo la pubblicazione e a quel punto lì tutti possono fare osservazioni”.

²¹⁸ The original sentence is: “tutto questo richiede molto tempo per farlo e richiede anche un atteggiamento mentale molto libero nell'ascolto. Perché bisogna riuscire ad interpretare e a tradurre, a tirare fuori qual è il sentimento (...) perché quella è l'identità di quel luogo (...) bisogna riuscire a capire quali sono gli elementi identitari delle comunità, perché se non è elemento identitario è una battaglia persa e su quello devi costruire in prospettiva”.

²¹⁹ The original sentence is: “gli incontri con le comunità sono stati organizzati anche dalla Regione Toscana più che dal nostro Ministero devo dire, incontri in ambito locale, magari coinvolgendo 2/3 comuni, invitando anche la popolazione. Allora di sicuro quello che ti posso dire è che all'interno del PIT l'area che ha avuto una maggiore partecipazione a livello di laboratorio progettuale è quello del Parco della Piana. (...) Non tutti come dire gli ambiti di paesaggio della Regione Toscana hanno avuto le stesse trattazioni”.

02/11/2016).²²⁰ The identification of urban heritage attributes and values may have changed depending on the different kinds people involved and the presence of such a limited amount of people is not respectful of the human-rights based approach to urban heritage conservation and management promoted in the 21st century international approach (Waterton and Smith, 2010; UNESCO, 2015b).

5.4 Conclusion

Focusing on the case study of Florence, this chapter discussed whether Florence's urban management policies had already incorporated the 21st century international approach, and if so, how they achieved it. It started by presenting the results of the systematic assessment carried out for each urban management policy, testing the assessment framework developed by the author. This evaluation enabled the comparison of different types and levels of urban management policies in relation to the same sub-themes (associated with specific coding items). Subsequently, it critically discussed each sub-theme, integrating the results with the collected data with semi-interviews carried out with local stakeholders. In this way, it helped to increase the understanding about the level of consistency of each urban management policy with the key principles of the new paradigm for urban heritage conservation and management.

The results obtained showed how Florence's urban management system had already incorporated some of the key principles of the international approach, yet the results presented diverging results if only single urban management policies were taken into account (see Table 10 and Figure 61). This confirms the hypothesis that in a context where the theory and practice of urban heritage conservation and management were already consolidated over time, some of the principles are already integrated into existing plans, strategies and regulatory tools (Ripp and Rodwell, 2015). However, this chapter demonstrated how there are still some principles of the contemporary international approach have yet to be incorporated into Florentine policies and that there exist critical issues with implementing current policies.

The assessment presented in this chapter showed how urban attributes and values are taken into consideration in the selected urban management policies,

²²⁰ The original sentence is: *“si sono fatti incontri nei teatri la sera, nei posti più sperduti. In alcuni posti si era in tre”*.

which, in their entirety, cover the entire territorial extension of the historic urban landscape of Florence. However, it also highlighted how Florence’s urban management system places an emphasis on urban heritage’s tangible attributes as elements of specific policies’ measures aimed at their protection, conservation, management and enhancement, rather than to the intangible attributes and values.

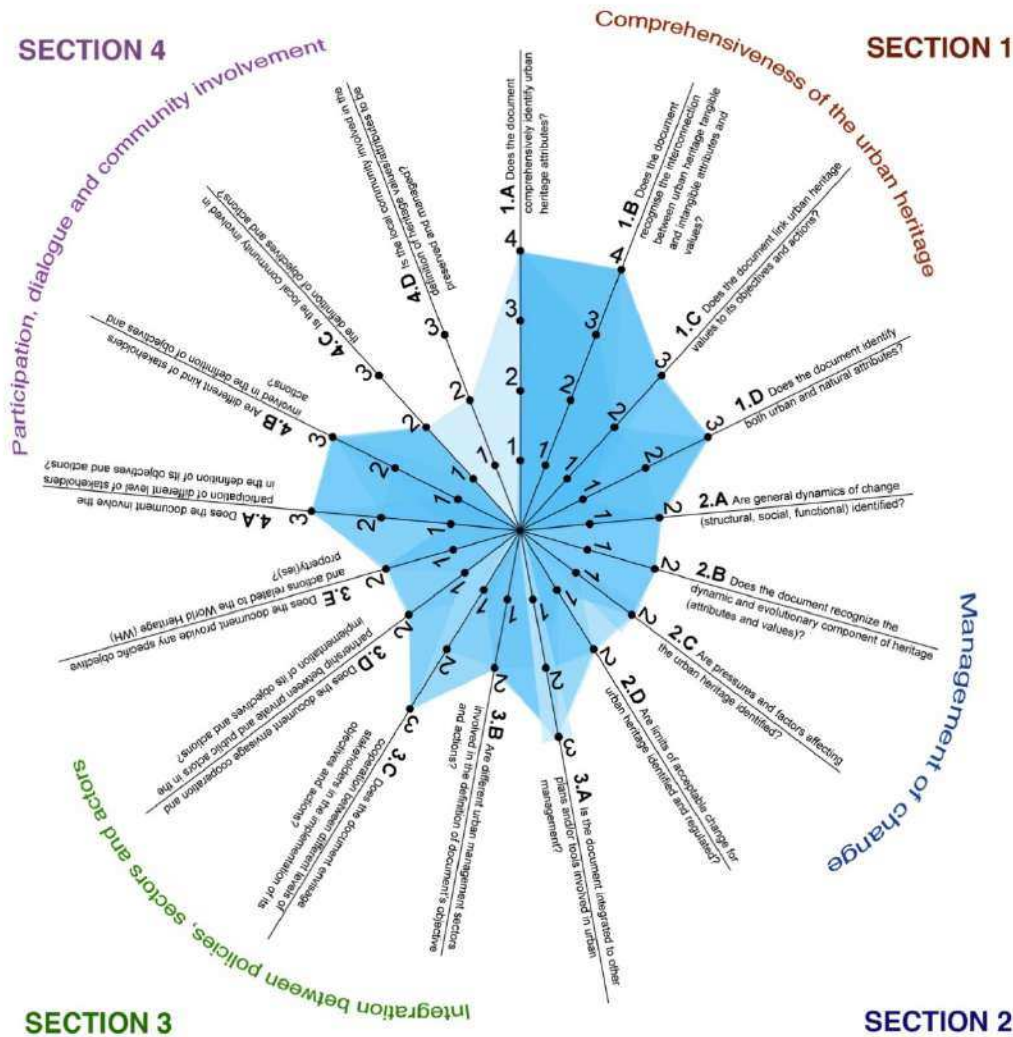


Figure 61: Graphic representation of the final results of the assessment carried out on Florence’s urban management policies. It exemplifies the summary of the results obtained for each urban management policy assessed.

This means that, even if the contemporary international approach suggests a “value-based” approach for urban conservation and management (Avrami *et al.*,

2000; De La Torre, 2002; Mason, 2004; De La Torre *et al.*, 2005; Orbasli, 2008: 38-50; Heras *et al.*, 2013), Florence's approach is still more linked to a conventional material-based approach (Poulios, 2014: 7; Araoz, 2008: 34; Araoz, 2011: 59).

Among Florence's intangible attributes, the elements mostly considered at the local scale are urban heritage functions/uses, image and skyline. Intangible relationships (historic, visual, ecological) between attributes, especially between urban settlements and open landscape, as well as landscape identity attributes, are more envisaged by the territorial planning documents. However, they still need to be transformed into prescriptive measures at the local level. At the local level, the assessment illustrated how specific provisions exist to guide transformations that take place in Florence's historic urban landscape through the protection of 18 viewpoints and visual axes. However, the protection of these visual relationships is limited to the protection of their aesthetical value, while the international approach promotes a more holistic and comprehensive approach, which includes many other layers (social, economic and ecological values for example) in the conservation of the historic urban landscape (UNESCO, 2011b; ICOMOS, 2011b).

In terms of managing change, the results demonstrated that the urban management documents generally recognise the urban dynamics of change, as well as the pressures and factors that affect Florence's historic urban landscape. The recognition and understanding of these on-going processes constitutes a fundamental basis for the definition of specific policies' actions in order to properly cope with them. The dynamic and evolutionary component of urban heritage is taken into consideration at all levels of the urban management policies involved. This is an important prerequisite for the adequate conservation of urban heritage over time and for the definition of limits of acceptable change in relation to the different kind of attributes involved. Moreover, the several policies analysed showed how different degrees of protection and conservation exist for different elements of the historic urban landscape: from a very limited possibility of transformation in the case of listed buildings and listed landscape areas, to a careful management of the transformation in the case of territorial invariants (Tuscany Region, 1998, 2013; Italian Government, 2004; Florence Local Council, 2011; Florence Local Council, 2015b; Tuscany Region, 2015a). Different degrees of change were permitted in certain distinctive urban and landscape areas

characterised by similar urban heritage and landscape features (Florence Local Council, 2011; Florence Local Council, 2015b; Florence Local Council, 2016). However, greater attention is given to the establishment of limits of acceptable change for specific tangible elements (building elements, buildings, urban elements and areas as well as physical connections/infrastructures), rather than for the urban tissue and marginal spaces.

In terms of integration, this assessment highlighted how these policies are integrated or linked to other policies and tools involved in Florence's urban management system, often through specific mechanisms for integration that involve different urban management sectors and disciplines in the definition of their objectives and actions. Such an integration process requires implementing a multi-disciplinary approach to urban heritage conservation and management. They also envisage the cooperation between different types (private and public) and levels (national, regional, local) of stakeholders in the implementation of the policies' objectives and actions. Moreover, the results demonstrated that the integration of different disciplines is easier to happen among different offices of the same institution, rather than external ones. The number of discussions between different institutions has increased and they have become larger in scale, however disciplinary boundaries and legislative frameworks must still progress, and joint decisions must be taken on which urban heritage attributes should be preserved or transformed. The collaboration between public and private sectors in Florence has proven to be effective according to local stakeholders, as they provide a positive strategy that attracts private resources that can be used for the collective enhancement of urban heritage attributes and values.

Nevertheless, the assessment also underlined that such strategies are not without criticism. The overlapping of different territorial and urban planning tools complicates the understanding of urban heritage attributes and values. However, the conformation or adaptation of local urban planning tools, in relation to supra-regional planning policy, is still far from being realised in an effective manner. Furthermore, it demonstrated how the majority of urban management policies provide specific measures for the protection, conservation, management and enhancement of WH properties, providing a supplementary level of protection for this outstanding and exceptional heritage. However, the assessment also underlined how WH property are still not recognised as a resource that can foster sustainable development (economic, ecological, social) as encouraged by the 21st century international approach (UNESCO, 2002; UNESCO, 2015b). Moreover,

while the Historic Centre of Florence was inscribed on the WHL in 1982, it only obtained specific management measures with the first *WH Management Plan*, adopted in 2006, and specific prescriptions in 2010 with the adoption of the *Structural Plan*. In terms of urban heritage management and conservation, this means that for almost 25 years, the property was subjected to the same protective (heritage conservation and urban planning tools) measures as other Tuscan historic centres that were not inscribed on the WHL, thus undervaluing the importance of being an exceptional urban heritage for the whole of humanity.

Finally, the section related to participation and community involvement is the most critical one in terms of consistency with the 21st century international approach. While different levels and types of stakeholders are involved in the definition of policy objectives and actions, Table 12 illustrates that politicians and policy makers always carry out the decision-making process, while the other stakeholders are only consulted (if consulted at all). With the exception of the *PIT* that applies a landscape approach to the conservation and management of the historic urban landscape, the assessment showed that the local community is not involved in the definition of urban heritage's attributes and values or how they can be safeguarded over time. These decisions were left to scientific and professional experts and local administrators. Considering the evolution of the international approach, which promotes a greater involvement of local communities in the definition of urban heritage attributes and values to be preserved, the results shows that in the case of Florence the level of consistency of local urban management policies is still very far from integrating this specific aspect (ICOMOS Australia, 1979, 1981, 1988, 1999, 2013; Council of Europe, 2000; UNESCO, 2002; UNESCO, 2011b; UNESCO, 2015b)

Chapter 6

Assessing Local Urban Management Policies: Results of Case Study 2 (Edinburgh, UK)

Introduction

This chapter aims to provide additional evidence in order to address the **Research Question 1 (RQ1)**: “*Has a 21st century international approach to urban heritage conservation, management and development already been incorporated into existing urban management policies in WH cities and how? How far do local practices depart from international theory?*” It focuses on a second case study (Edinburgh, UK), presenting and discussing Edinburgh’s urban management policies in relation to the 21st century international approach. It is divided into four main sections and follows the same structure as *Chapter 5* (Florence, Italy). *Section 6.1* shortly describes the urban management policies selected for carrying out the study, presenting them in relation to their territorial jurisdiction (national, regional, local, WH site), which is shown in Figure 62. *Section 6.2* illustrates the results of evaluating the selected documents through the assessment framework developed by the author, which was tested for a second time. *Section 6.3* critically discusses the results obtained with the systematic assessment (illustrated with diagrams all over the section), underlining possible discrepancies between Edinburgh’s urban management policies and the key principles of the new

paradigm for urban heritage conservation and management. This critical analysis incorporated supplementary data collected with semi-structured interviews carried out with local stakeholders involved in the definition or implementation of these documents.²²¹ This chapter is divided into three sub-sections: the identification of urban heritage attributes and values as well as their vulnerability status; managing change in Florence's historic urban environment; and urban heritage governance. Finally, *Section 6.4* summarises the key issues that emerged in this chapter with regard to the level of consistency of Edinburgh's local practices with the 21st century international approach.

6.1 Overview of Edinburgh's Urban Management Policies

6.1.1 National/UK Level

At national level, there is no spatial or other planning tool (Cullingworth *et al.*, 2015: 94). Since 1999, many powers were devolved from the UK central government to the new democratic bodies of Scotland, Wales and Northern Ireland and several national planning policies are implemented for each region in the UK in a different way. However, while specific strategies exist in order to implement sustainable development principles, the *UK's Shared Framework for Sustainable Development* was adopted in 2005 in order to sets out national common goals for a UK's approach to sustainable development. It establishes a shared definition of sustainable development, a common purpose, the priorities of actions and a list of indicators for monitoring their implementation (Department for Environment, Food and Rural Affairs, 2005: 3).

²²¹ More information about the interviews are available in *Chapter 3* "Linking Theory with Practice: Methodological Approach" and in *Annex 5* "Interview Questions Form", *Annex 6* "Interviewee's Consent Form" and *Annex 7* "Interviewee's Information Sheet".

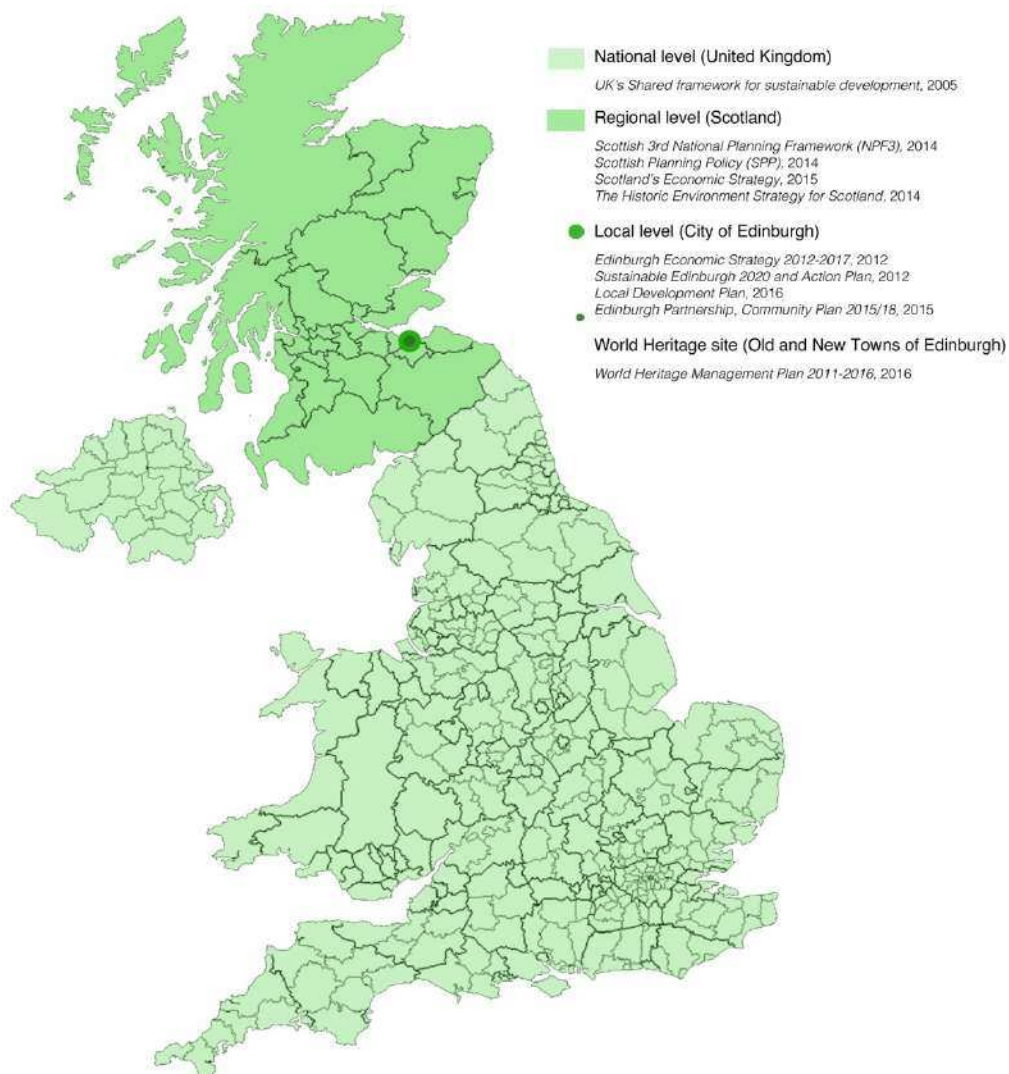


Figure 62: Jurisdiction's boundaries (national, regional, local and WH site) for each of the assessed Edinburgh's urban management policies.

6.1.2 Regional/Scottish Level

At regional level, *Scotland's Third National Planning Framework (NPF3)* is the highest level of statutory framework for the planning system in Scotland. It establishes a long-term strategy for Scotland (over the next 20 to 30 years) and represents the spatial expression of key national plans for economic development and investment in infrastructure (Scottish Government, 2014a: iv). While focusing on setting out national development priorities, it states that it is committed to the

protection of natural and cultural assets, which represent “a sustainable economic, environmental and social resource for the nation” (*ibid.*: 1). The *NPF3* is complemented by an *Action Programme*, which establishes how the national developments, proposed by the planning framework, will be implemented.

The *Scottish Planning Policy (SPP)*, adopted in 2014, is a non-statutory document, which sets out principles and measures for planning policies and for development and land use (Scottish Government 2014: 2). It aims to deliver the objectives of the *NPF3* and a specific section of this policy is dedicated to the Scottish historic environment (*ibid.*: 33, Artt. 135-151),²²² which is considered – in line with the *NPF3* – as a “key cultural and economic asset and a source of inspiration that should be seen as integral to creating successful places” and should therefore be protected, conserved and enhanced (*ibid.*: 33, Art. 136).

Finally, *Scotland’s Economic Strategy* was adopted in 2015 and establishes an overall framework for economic strategies to be implemented in order to “achieve a more productive, cohesive and fairer Scotland” (Scottish Government, 2015: 5). It consists of a strategic plan for existing and future Scottish government’s policies, aiming to deliver sustainable growth, to promote competitiveness and to increase internationalisation. Moreover, *Our Place in Time – The Historic Environment Strategy for Scotland* was adopted in 2014 and it is the first Scottish strategy that entirely focuses on the historic environment (Scottish Government, 2014c). It sets out “a common vision and ambition”, in collaboration with a broad range of organisations and professional and non-professional experts, focusing on how “to care collectively for this precious resource over the next ten years” (*ibid.*: 1). The Scottish strategy sets out specific measures to confront current challenges concerning conservation, management and enhancement of the Scottish historic environment.

6.1.3 Local Level

At local level, the *Edinburgh Local Development Plan (LDP)* was adopted in 2016 and it is the local urban planning tool. For the first time in more than thirty years it covers the whole municipal area of Edinburgh. Moreover, according to the

²²² The *Scottish Planning Policy* - together with the *Historic Environment Scotland Policy Statement June 2016*, the *Historic Environment Circular 1* and *Historic Environment Scotland’s Managing Change in the historic Environment guidance note series* - replace the *Scottish Historic Environment Policy (SHEP)* adopted in 2011.

NPF3 and *SPP*, it sets out policies and proposals to guide development and land use (Edinburgh City Council, 2016: 3). The *LDP* is used to determine future planning applications. It consists of two parts: Part 1 “Strategy and proposals” and Part 2 “Policies”. The first defines the “plan’s five core aims, the anticipated land use changes, the main development proposals and where they are expected to take place” over the next 5-10 years as well as the areas to be protected and enhanced (*ibid.*). The second establishes specific policies to ensure the implementation of the core aims defined in Part 1. They are divided into eight main sections and one of them specifically focuses on Edinburgh’s environment (historic-cultural and natural).²²³

The *City of Edinburgh Council’s Economic Strategy for 2012-2017* was adopted in 2012 to define a specific economic strategy to be developed in Edinburgh. It has the objective to provide a programme that aims to promote sustainable growth in jobs and investments in the local economy, in order to strengthen the prosperity of the city in a period of economic constraints and difficulties (Edinburgh City Council, 2012: 7). It promotes four investment programmes (one dedicated to the city’s development and regeneration), which includes several priorities of actions.²²⁴

Focusing on sustainable development, *Sustainable Edinburgh 2020* and its *Action Plan 2012-2014* were adopted in 2012 in order to embed sustainability principles in all Edinburgh’s new strategies, policies and plans (Edinburgh City Council, 2012: 9). They aim to address the social, economic and environmental issues covered by the *Aalborg Charter*,²²⁵ which was also signed by the city of Edinburgh, through the implementation of a series of specific actions in relation to ad-hoc themes, such as climate change, transport, partnerships, governance and raising awareness (Edinburgh City Council, 2012).

Finally, the *Edinburgh Partnership Community Plan 2015/2018* was adopted in 2015 by the Edinburgh Partnership and specifically focuses on community planning. It aims to “improve services and deliver better outcomes for service users, citizens and communities” (The Edinburgh Partnership, 2015: 4), tackling

²²³ The sections include: Delivering the strategy; Design Principles for New Development; Caring for the Environment; Employment and Economic Development; Housing and Community Facilities; Shopping and Leisure; Transport; Resources and Services (Edinburgh City Council, 2016: 3).

²²⁴ The four programmes are: invest in the city’s development and regeneration; support inward investment; support businesses; help unemployed people into work or learning (*ibid.*: 16).

²²⁵ See *Section 1.4.4* “The 1990s: A Landscape Approach for Sustainable Urban Conservation, Management and Development”.

deprivation and inequality. The document describes how the Edinburgh Partnership will deliver local community planning priorities. It is composed of 12 *Neighbourhood Partnership Local Community Plans* “firmly rooted in communities”, four strategic outcomes and twelve strategic priorities (*ibid.*: 6).

6.1.4 World Heritage Site

Specifically focusing on the World Heritage (WH) property, the *Management Plan 2011-2016* was adopted in 2011 to provide a framework for the management of Edinburgh’s Old and New Towns that “will sustain its Outstanding Universal Value” until 2016 (Edinburgh World Heritage *et al.*, 2011: xiii). This document is the second management plan for the WH property (the first one was adopted in 2005) and it was prepared by a partnership composed of Edinburgh World Heritage, Historic Environment Scotland and the City of Edinburgh Council.

6.2 Assessing Edinburgh’s Urban Management Policies: Testing the Framework on Case Study 2

This section presents the results of testing the assessment framework on the second case study for investigating the level of consistency of Edinburgh’s urban management policies with the key principles of the 21st century international approach. The systematic results obtained are displayed in Table 13, which allow for a comparison of the outcomes of the evaluations carried out for each urban management policy through the text analysis of their documental texts according to the methodology explained in *Chapter 3*. The full coding notes used for conducting the assessment are available in *Annex 13* and *Annex 12* illustrates a practical example of the coding process carried out for the *Scottish 3rd National Planning Framework*.

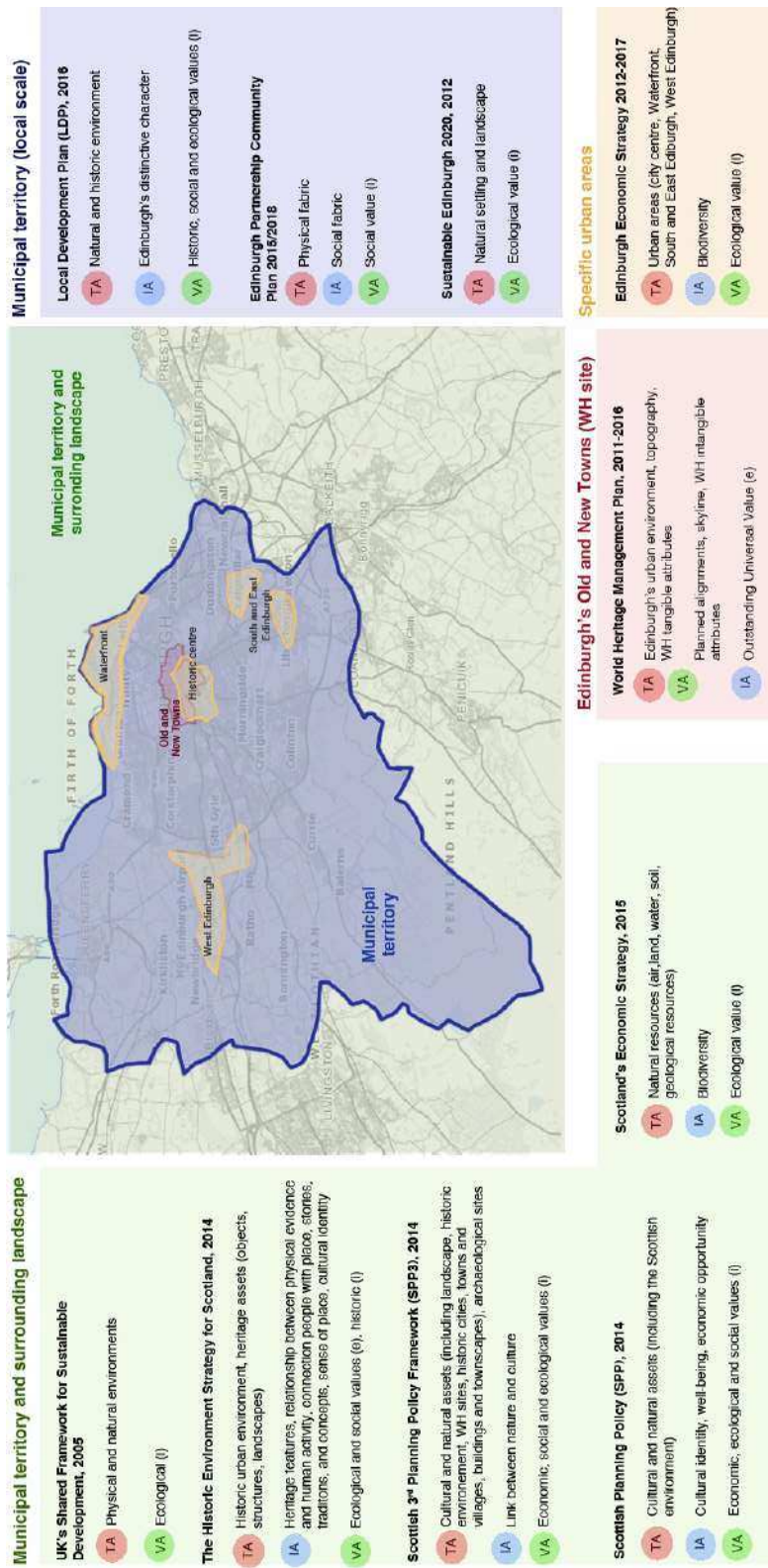
Testing the framework on a second case study enabled the refining of definitions and coding items used in the first version of the assessment framework. This helped to improve its applicability to different types of urban management policies that belong to different national contexts. Moreover, extending the investigation to how local practices integrate key principles of the 21st century approach on a second case study increased the understanding of the research subject. Furthermore, it allows for a comparison of the results obtained in the two case studies, which are discussed in *Chapter 7*.

6.3 Critical Analysis of Edinburgh’s Urban Management System

6.3.1 Identification of Urban Heritage Attributes and Values as well as their Vulnerability Status

The results of the assessment illustrated in Table 13 show how urban heritage attributes are comprehensively identified in the whole city and in its surrounding landscape (see *coding item 1.A*) in all urban planning documents (*Scottish 3rd National Planning Framework, Scottish Planning Policy, Local Development Plan*), as well as in the urban management policies that specifically focus on the historic urban environment (*WH Management Plan* and *The Historic Environment Strategy for Scotland*). These five documents are the most consistent with the 21st century international approach in relation to the level of territorial comprehensiveness of their policies’ actions (UNESCO, 2005d; UNESCO, 2011b; ICOMOS, 2011b). With a different scope, the *Edinburgh Partnership Community Plan 2015/2018* identifies urban heritage and natural attributes (built and natural environment) in the whole city (physical fabric) as well as their relationship with local communities, which is defined as “social fabric” (The Edinburgh Partnership, 2015: 17). However, the *Edinburgh Economic Strategy 2012-2017* only applies to specific areas of the city. Finally, there are urban management policies which do not identify any urban heritage attribute and only take natural ones into consideration, such as the *UK’s Shared Framework for Sustainable Development, Sustainable Edinburgh 2020* and related *Action Plan* as well as *Scotland’s Economic Strategy* (see Figure 63).

Figure 63 [following page]: Definition of the attributes and values that are the object of specific policy’s measures, divided into tangible attributes (TA), intangible attributes (IA) and values (VA). The figure also identifies whether the values are explicitly (e) or implicitly (i) linked to the related policy’s measures (see *coding item 1.C*). All Edinburgh’s urban management policies are grouped according to their territorial extension: in green national and regional policies; in light blue the policies extended in the municipal territory; in red the policies extended only over the WH site; and in orange those extended only over specific urban areas. The boundaries of the WH properties (in red), of specific urban areas (orange), of Edinburgh’s municipal territory (in blue) and of broader surrounding landscape (in green) are indicated in the map at the centre of the figure.



Nevertheless, there are also urban management policies which fail to identify any urban heritage attribute. At national level, the *UK's Shared Framework for Sustainable Development* includes the protection and enhancement of the physical and natural environment among its main goals to promote sustainable development.²²⁶ Therefore, the document incorporates the sustainability principles defined over the 1980s and the 1990s (World Commission on Environment and Development, 1987; United Nations, 1992), but the results show a discrepancy with the more recent approaches in urban sustainable development (UN-HABITAT, 1996; United Nations, 2001; United Nations, 2015; United Nations, 2016). In fact, the *UK's Shared Framework* does not take into consideration the importance of urban heritage in promoting sustainable development, as it only focuses on giving relevance to the natural environment (see *coding item 1.D*). Moreover, it establishes a specific indicator for environmental quality (Department for Environment, Food and Rural Affairs, 2005: 12), but without specifying the environmental measures to be implemented, or whether the protection and enhancement of the natural attributes would be included in the monitoring phase.

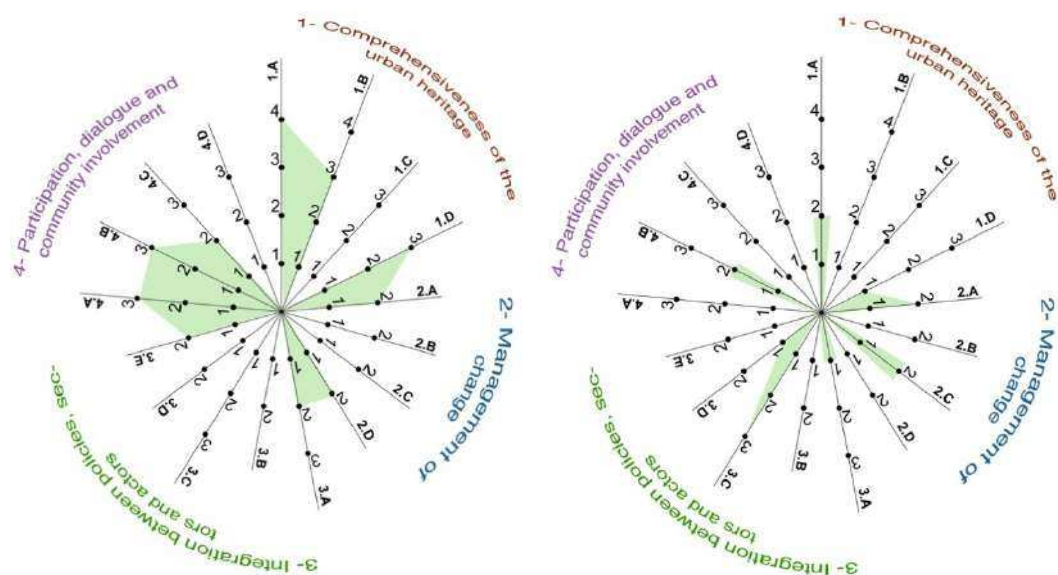


Figure 64: Assessment results of the *Local Development Plan (LDP) 2016* (on the left), and of *Edinburgh Economic Strategy 2012-2017, 2012* (on the right).

²²⁶ The document states “the goal of sustainable development is to enable all people throughout the world to satisfy their basic needs and enjoy a better quality of life without compromising the quality of life of future generations” (Department for Environment, Food and Rural Affairs, 2005: 7).

The Scottish Government established four principles in the NPF3 as a vision to create a more successful country.²²⁷ Among them, the third one - “a natural, resilient place” - establishes that “natural and cultural assets are respected, they are improving in condition and represent a sustainable economic, environmental and social resource for the nation” (Scottish Government, 2014a: 1). Moreover, it states that “nature and culture are inextricably linked” (*ibid.*: 42). It recognises the importance of Scotland's landscapes and historic environment for their contribution to the quality of life, cultural identity and economy. Therefore, it implicitly acknowledges the existing relationship between urban heritage's tangible and intangible attributes (see *coding item 1.B*). Furthermore, the identified urban heritage attributes include “five WH sites, and many historic cities, towns and villages with a rich variety of buildings and townscapes”, as well as archaeological sites. (*ibid.*: 43).

The four principles of the *NPF3* were reflected in the specific outcomes established in the *SPP*. In particular, one of these outcomes focuses on the protection and enhancement of Scottish natural and cultural assets and promotes their sustainable use (Scottish Government, 2014a: 7). It also defines how the principle stated in the *NPF3* in this regard should be implemented. Moreover, it stresses the importance of the Scottish environment as “part of our cultural identity, an essential contributor to well-being and an economic opportunity” (*ibid.*), acknowledging the interconnection between tangible and intangible attributes (see *coding item 1.B*). The document provides two specific policy sections dedicated to the historic environment (valuing the historic environment) and the natural environment (valuing the natural environment). In this sense, it recognises the relevance of both urban and natural attributes for the delivery of high-quality places and “a more successful country” (*ibid.*: 4), but not of their interconnections (see *coding item 1.D*).

At regional level, the *Historic Environment Strategy for Scotland* obtained the highest level of consistency with the 21st century international approach in relation to the first section of the assessment framework. In fact, the strategy focuses on the historic environment (Scottish Government, 2014c: 2-3) and comprehensively identifies urban heritage attributes in the whole city and in its surrounding landscape. It includes a variety of heritage assets (objects, structures, landscapes and features) and promotes a holistic and sustainable approach to their

²²⁷ The four principles include: a successful, sustainable place; a low carbon place; a natural, resilient place; a connected place (Scottish Government, 2014a: 1).

protection and management (UNESCO, 2005d; UNESCO, 2011b; ICOMOS, 2011b). Moreover, it defines the historic environment as “the physical evidence for human activity that connect people with place, linked with the associations we can see, feel and understand” and “a combination of physical things (tangible) and those aspects we cannot see – stories, traditions and concepts (intangible)” (Scottish Government, 2014c: 2). Therefore, it explicitly recognises the strict interconnection between heritage’s tangible attributes with intangible attributes and values (see *coding item 1.B*). It also underlines the importance of local communities’ attachment with their environment as well as the social values associated with it (Council of Europe, 2005; UNESCO, 2011b; ICOMOS, 2011b). Additionally, it gives relevance to the sense of place and to the cultural identity provided by it, as suggested by the *Burra Charter* in 1979 (ICOMOS Australia, 1979, 1981, 1988, 1999, 2013).

There is, however, a lack of correlation with the contemporary international approach in relation to economic strategies both at regional/Scottish and at local levels and for the *Sustainable Edinburgh 2020* policy and its related *Action Plan 2012-2014*. *Scotland’s Economic Strategy* aims to promote investment “to ensure that Scotland protects and nurtures its natural resources” (Scottish Government, 2015: 9). This “natural capital” includes only natural attributes, such as air, land, water, soil, biodiversity and geological resources (*ibid.*: 45), but does not consist of any urban heritage attribute or value. Therefore, they are not considered for the definition of the actions and measures proposed (see *coding items 1.A* and *1.D*). Furthermore, the strategies proposed for the protection of the natural environment mainly focus on energy efficiency and low-carbon measures, excluding other conservation, management, development and enhancement strategies.

At the local level, the *City of Edinburgh Council’s Economic Strategy for 2012-2017* identifies urban heritage attributes in four priorities investment zones in the city: the city centre (Princes Street and the Old and New Towns), South and East Edinburgh (Royal Infirmary and the Bioquarter), the Waterfront (Leith and Granton) and West Edinburgh (the airport and A8 corridor). They are seen as a catalyst for investment in development and regeneration programmes with the main goal of creating job opportunities and to improve Edinburgh’s appeal (Edinburgh City Council, 2012: 17). However, it only identifies these four areas as urban heritage assets, without recognising their relationship to other intangible attributes (*coding items 1.B*). Furthermore, it does not take into consideration any natural attribute as object of its policy measures (see *coding items 1.D*).

Conversely, *Sustainable Edinburgh 2020* and its *Action Plan 2012-2014* identifies only natural attributes, such as Edinburgh's natural setting and landscape, which aims to preserve and enhance (see *coding item 1.D*). This strategic document fosters sustainable development in planning and building design "by addressing social, economic, health and urban cultural heritage issues for the benefit of all" (Edinburgh City Council, 2012: 14). However, in the measures proposed in its action plan, it does not take into consideration Edinburgh's urban heritage as a way of promoting sustainable development. In the same way as *Scotland's Economic Strategy*, the only measures established for promoting sustainable development, based on Edinburgh's natural attributes, relate to the promotion of energy efficiency measures through the use of supplementary planning guidance. Therefore, it encourages a very limited approach to sustainable development if compared to the one suggested in the 21st century international approach (UNESCO, 2002; UNESCO, 2011b; United Nations, 2015; UNESCO, 2015b; United Nations, 2016).

Conversely, the *Local Development Plan (LDP)* comprehensively identifies urban heritage and natural attributes in the whole city and in its surrounding landscape. It replaces two old local separated plans (the *Edinburgh City Local Plan* and *Rural West Edinburgh Local Plan*), providing a more comprehensive planning tool in terms of territorial extension. Moreover, it states that "Edinburgh's natural and historic environment contributes to its distinctive character, local appeal and world-wide reputation" (*ibid.*: 8). It recognises the interconnections between tangible and intangible attributes as well as the relationships between urban and natural attributes and provides specific measures to address it (see *coding items 1.B* and *1.D*).

The *WH Management Plan* states that the protection and management of the WH property cannot be separated from the city as a whole and its surroundings. For this reason, it looks at the entire urban environment, while specifically focusing on the Old and New Towns of Edinburgh. It includes both natural and urban heritage attributes, as well as their interconnections (e.g. topography, planned alignments and skyline). It also provides a detailed description of the urban heritage attributes associated with the inscription of the property on the WHL.²²⁸ It expands upon the definition given in the *Retrospective Statement of*

²²⁸ See *Section 4.2* "Understanding Edinburgh's Urban Heritage".

OUV (UNESCO, 2013) and recognises the relationship between urban heritage’s tangible and intangible attributes (see *coding item 1.B*).

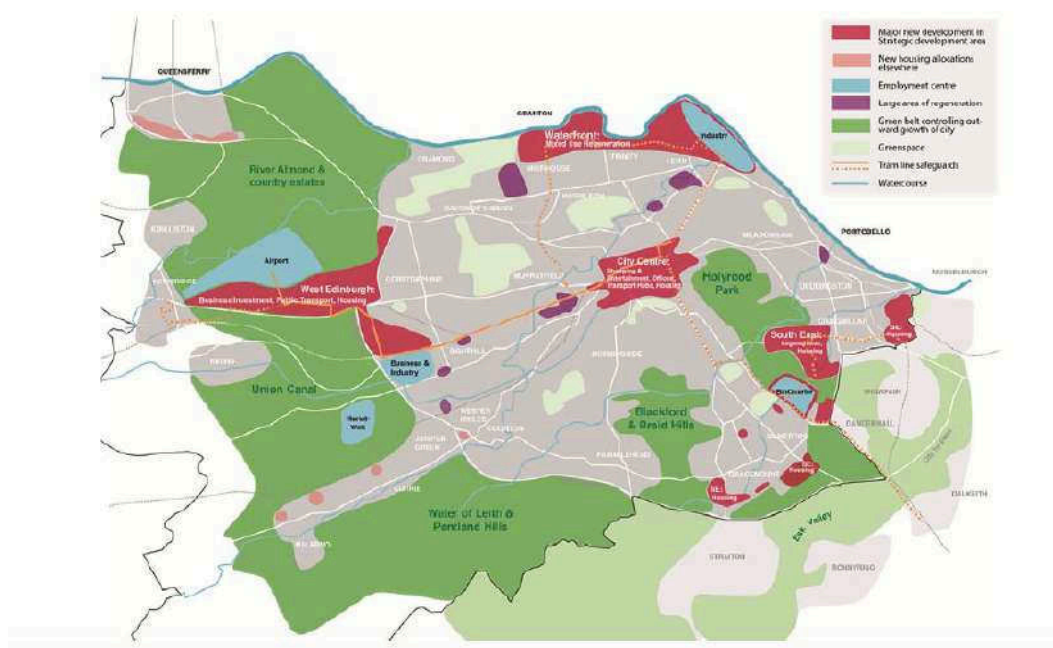


Figure 65: Spatial Strategy Summary Map of the *Local Development Plan*. Source: Edinburgh City Council (2016). *Local Development Plan (adopted)*. Edinburgh: Edinburgh City Council, p. 7.

The *Historic Environment Strategy for Scotland* and the *WH Management Plan* are the only two assessed urban management policies that link urban heritage values to their proposed actions (see *coding item 1.C*). In fact, the *Historic Environment Strategy for Scotland* “will help to ensure that the cultural, social, [and] environmental value” of heritage is safeguarded in order to contribute to national prosperity (Scottish Government, 2014c: 7). The *WH Management Plan* specifically aims to safeguard the WH property’s OUV over time through its appropriate management. However, the fact that urban heritage values are only linked to policy’s actions in these two urban management policies demonstrates how far local policies are from the 21st century international contemporary approach to urban heritage conservation, management and development. The local approach to urban heritage conservation and management of the majority of the assessed policies is more related to the conventional protection, conservation, management and enhancement of urban heritage’s

tangible attributes (if identified) than to a value-based approach as encouraged by the new paradigm for urban heritage conservation and management (Avrami *et al.*, 2000; De La Torre, 2002; Mason, 2004; De La Torre *et al.*, 2005; Orbasli, 2008; Heras *et al.*, 2013).

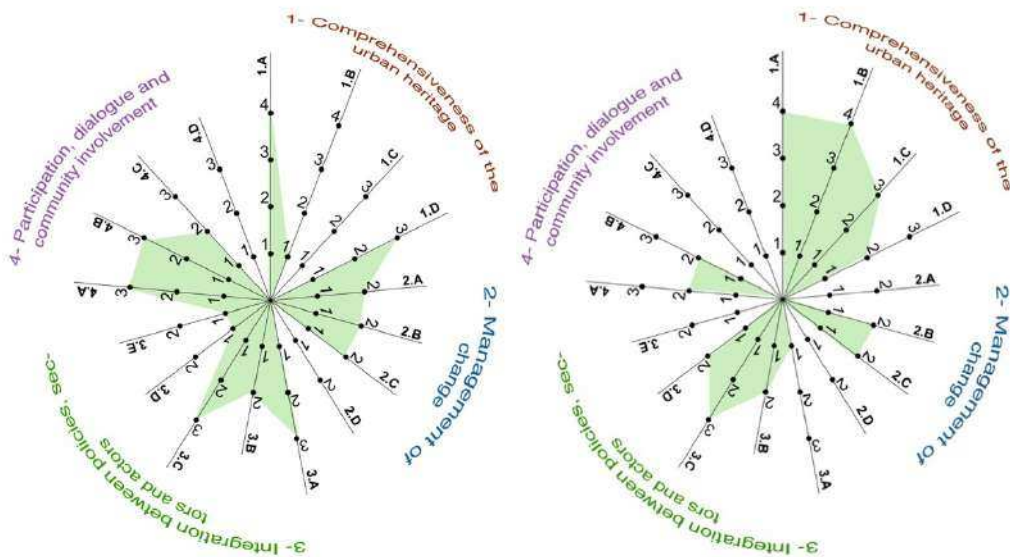


Figure 66: Assessment results of the *Scottish 3rd National Planning Framework (NPF3)*, 2014 (on the left) and of the *Historic Environment Strategy of Scotland*, 2014 (on the right).

The assessment presented demonstrated that the general dynamics of change (structural, social or functional) are recognised and taken into consideration in the definition of the policy's actions and objectives in all documents, except the *SPP* and the *Historic Environment Strategy for Scotland* (see coding item 2.A). Moreover, the dynamic and evolutionary component of heritage – considered in terms of the attributes and values associated with it - is only recognised in four out of six assessed documents that identify urban heritage attributes as the object of their urban management policies (see coding item 2.B). In particular, the *NPF3* describes Scotland's environment as a “dynamic resource rather than a fixed asset”, promoting “a more proactive and innovative environmental stewardship” (Scottish Government, 2014c: 43). The *Historic Environment Strategy for Scotland* clearly recognises the “dynamic and ever-changing” features of the historic environment and the need to define specific strategies to address it (Scottish Government, 2014c: 2). At the local level, the *WH Management Plan* recognises the urban heritage dynamics involved in a WH site, covering a large

portion of the urban area, as a living and capital city and not a static entity (Edinburgh World Heritage *et al.*, 2011: 9). Nevertheless, while the *LDP* recognises and describes different types of urban heritage assets (WH sites, listed buildings, conservation areas, gardens, natural areas and landscape), it does not identify their evolutionary dynamics or their vulnerable status (see *coding items 2.B* and *2.C*).

Pressures affecting the urban heritage are only recognised in four out of ten of the assessed documents, as only six of them identify urban heritage attributes as objects of their urban management policies and take them into consideration in the definition of their policies' objectives and actions. Among the main pressures affecting the urban heritage, more emphasis is placed on the effects of climate change (Scottish Government, 2015: 31; Scottish Government, 2014a: 43; Scottish Government, 2014c: 3 Edinburgh World Heritage *et al.*, 2011: 66) and to the difficulties due to the current economic recession (Scottish Government, 2014a: 3; Edinburgh City Council, 2012: 19-20; Edinburgh City Council, 2016: 6; Edinburgh World Heritage *et al.*, 2011: 65). Moreover, the *WH Management Plan* also recognises that “small changes may not directly affect the OUV, but the cumulative impact of such changes must be managed” (Edinburgh World Heritage *et al.*, 2011: 43). Focusing on the safeguarding of the WH property's OUV, the document identifies key issues affecting the management of the WH site and provides specific measures to address them. These measures were also identified through a consultation process with local stakeholders (see *Section 6.3.4*).

Nevertheless, none of the assessed documents identified the vulnerability status of Edinburgh's urban heritage attributes or values as a basis for defining adequate measures for its conservation and management, as suggested by the 21st century international approach (UNESCO, 2011b; ICOMOS, 2011b). None of the documents analysed presented a detailed “knowledge framework”, such as the ones discussed in relation to Florence's urban management system: Edinburgh's documents provide very concise information about current transformations (with a particular focus on the socio-economic context) occurring in the local territory. According to Participant 1b, Edinburgh's urban management policies are really “poorly informed and this issue represents a huge weakness” for urban heritage conservation and management over time (Participant 1b, 21/11/2016).

6.3.2 Managing Change in Edinburgh's Historic Urban Environment

At the national level, the protection of Scotland's historic environment is established by the following three legislative tools: the *Ancient Monuments and Archaeological Areas Act 1979* (UK Government, 1979); the *Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997* (Scottish Ministers, 1997a); and the *Town and Country Planning (Scotland) Act 1997*. The *Ancient Monuments and Archaeological Areas Act 1979* focuses on specific heritage assets and protects schedule monuments of national importance from "any works which will lead to damage or destruction, alteration or addition, repair or removal without prior written permission from the Scottish Minister (scheduled monument consent)" (World Heritage Centre, 2014b: 4). The *Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997* gives statutory protection to listed buildings²²⁹ and conservation areas²³⁰ (with regard to their architectural features, spaces and overall appearance). It advises on transformations that affect heritage assets (e.g. listed building consent) and "encourages developers to provide high quality in design, construction and materials that takes full account of any historic context" (*ibid.*). The *Town and Country Planning (Scotland) Act 1997* defines the Scottish framework in order to control planning and development, including those involved in the historic environment (Scottish Ministers, 1997b). Although it is fundamental in defining and regulating limits of acceptable change for Edinburgh's urban heritage, these legislative documents were not selected for the assessment as they were adopted before the beginning of the 21st century and therefore before the contemporary international approach was developed. However, the protection that these measures established for urban and natural heritage attributes are incorporated in the selected urban management policies and are thus included in the overall assessment.

At regional level, the importance of managing change in the historic environment is stressed by the *Historic Environment Strategy for Scotland*, which recognises it as a critical factor among its strategic priorities (Scottish

²²⁹ Listed buildings are buildings of special architectural or historic interest being included in a list compiled or approved by the Secretary of State according to the purposes of the *Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997 (Art.1)*.

²³⁰ Conservation areas are "areas of special architectural or historic interest the character or appearance of which it is desirable to preserve or enhance" for this reason designated as conservation areas in accordance with the *Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997 (Art.61)*.

Government, 2014c: 19).²³¹ The balance between the protection of the historic environment and its development is acknowledged as being of fundamental importance. Nevertheless, the establishment of appropriate measures for managing change is delegated to national legislation, to the planning system and to specific planning policy guidance notes.²³² The *Scottish 3rd National Planning Framework (NPF3)* suggests a planned approach to development in order to “strike the balance between safeguarding assets which are irreplaceable, and facilitating change in a sustainable way” (Scottish Government, 2014a: 43). This principle should be also applied to “urban edge”, where the quality of landscape settings of cities and towns needs to be improved and change managed (*ibid.*: 46). In this sense, it theoretically fits the new paradigm for urban heritage conservation and management in terms of managing change in historic urban environments (Teutonico and Matero, 2003; Nasser, 2003; Rodwell, 2010; Araoz, 2011; UNESCO, 2011b; ICOMOS, 2011b; Veldpaus *et al.*, 2013). However, the document does not provide any specific implementation measures in relation to this point (see *coding item 2.D*). In the case of Edinburgh, the assessment shows that limits of acceptable change are only identified in two of the assessed urban management policies: the *Scottish Planning Policy* and the *Local Development Plan* (see *coding item 2.D*).

The *Scottish Planning Policy (SPP)* identifies limits of acceptable change, which are set out by the document and should be delivered in a strategic and local development plan. The key principle at the basis of its policies is that there is “a presumption in favour of development that contributes to sustainable development”, in accordance with the *UK’s Shared Framework for Sustainable Development* (Scottish Government, 2014a: 9). Furthermore, it explains how “planning should take a positive approach to enabling high-quality development and making efficient use of land to deliver long-term benefits for the public while protecting and enhancing natural and cultural resources” (*ibid.*: 4). In this sense, it further specifies in its core values that it should maximize benefits and balance competing interests and impose conditions and obligations only if necessary (*ibid.*). Moreover, the *SPP* says that “planning should take every opportunity to

²³¹ They include: Understand- Investigate & Record (Knowledge development, accessible knowledge; Protect – Care & Protect (holistic and sustainable approach, effective and proportionate protection and regulation with controls and incentives, ensuring capacity); Value - Share & celebrate (enhancing participation, broad-ranging approach to learning, tourism).

²³² For more information see: <https://www.historicenvironment.scot/advice-and-support/planning-and-guidance/legislation-and-guidance/managing-change-in-the-historic-environment-guidance-notes/>

create high quality places by taking a design-led approach” (*ibid.*: 12), which should be applied at all levels (national, strategic and local). These measures outline the application of a holistic approach “that responds to and enhances the existing place with balancing the costs and benefits of potential opportunities over the long term” (*ibid.*). Furthermore, it indicates that development projects must “complement local features, for example landscapes, topography, ecology, skylines, spaces and scales, street and building forms, and materials to create places with a sense of identity” (*ibid.*: 13). In line with the *NPF3*, it promotes flexibility and pro-active measures in planning for town centres, incentivising the presence of different types of uses (*ibid.*: 18, Art. 60). However, the *SPP* also states that this does not mean to allow development at any cost (*ibid.*: 9, Art. 28). Policies and decisions should take into account a series of guiding principles, which include “protecting, enhancing and promoting access to cultural heritage, including the historic environment” and “to natural heritage, including green infrastructure, landscape and the wider environment” (*ibid.*: 10, Art. 29).

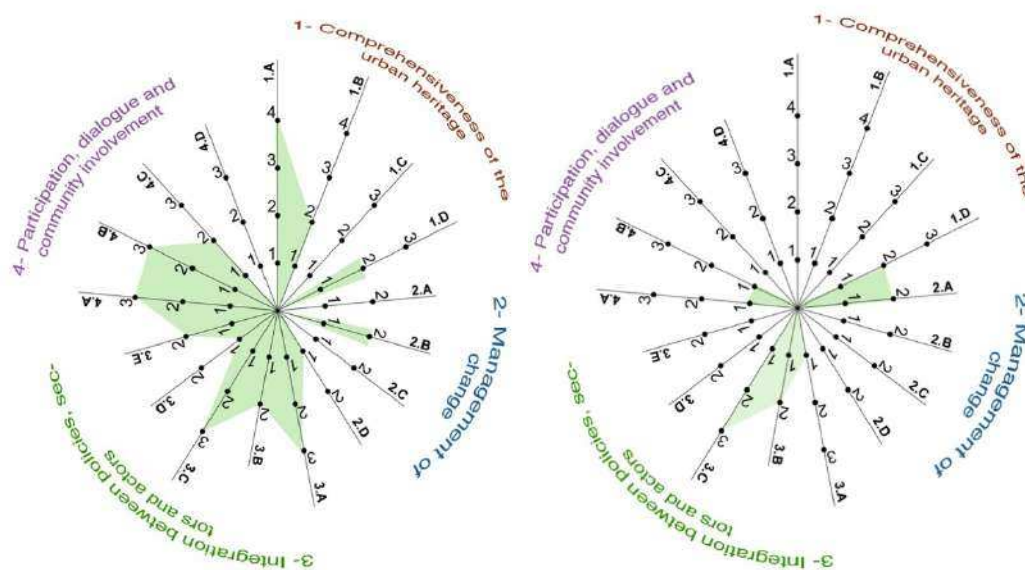


Figure 67: Assessment results of the assessment of the *Scottish Planning Policy (SPP)*, 2014 (on the left) and of *UK’s Shared Framework for Sustainable Development*, 2015 (on the right).

A specific section of the *NPP* - “Valuing the Historic Environment” - is precisely dedicated to planning in historic environments (*ibid.*: 33-35). The document recognises the fundamental role of planning in “maintaining and enhancing the distinctive and high-quality, irreplaceable historic places which

enrich our lives, contribute to our sense of identity and are an important resource for our tourism and leisure industry” (*ibid.*: 33). For this reason, it provides specific policy principles in relation to the historic environment. They state that the planning system should:

- promote the care and protection of the designated and non-designated historic environment (including individual assets, related settings and the wider cultural landscape) and its contribution to sense of place, cultural identity, social well-being, economic growth, civic participation and lifelong learning;
- enable positive change in the historic environment which is informed by a clear understanding of the importance of the heritage assets affected and ensure their future use. Change should be sensitively managed to avoid or minimise adverse impacts on the fabric and setting of the asset, and ensure that its special characteristics are protected, conserved or enhanced.

(*ibid.*: 33, Art. 137)

In doing so, the *SPP* is consistent with the contemporary international approach (UNESCO, 2005d; UNESCO, 2011b; ICOMOS, 2011b) and to the new paradigm for urban heritage conservation and management, as it promotes an approach that aims at managing change rather than preventing it (Teutonico and Matero, 2003; Nasser, 2003; Rodwell, 2010; Araoz, 2011; Araoz, 2013; Van Oers and Pereira Roders, 2013). It encourages finding a balance between the needs of conservation with those of modernity and development. In order to deliver this kind of policy, it establishes specific guidance for managing change involving heritage assets, including listed buildings (Art. 141-142), conservation areas (Art. 143-144), schedule monuments (Art. 145), WH sites (Art. 147), gardens and designed landscapes (Art. 148).

In the same way, the section on “Valuing the Natural Environment” specifies planning policy principles in relation to the protection and enhancement of the natural environment. Notably, the policy measures aim to:

- facilitate positive change while maintaining and enhancing distinctive landscape character;
- conserve and enhance protected sites and species, taking account of the need to maintain healthy ecosystems and work with the natural processes which provide important services to communities.

(*ibid.*: 45, Art. 194)

Moreover, a specific article of the policy states that “where a development proposal has the potential to affect a World Heritage Site, or its setting, the planning authority must protect and preserve its Outstanding Universal Value” (*ibid.*: 35, Art. 147), providing specific legislation for the management of development in the WH site (see *coding item 3.E*).

At the local scale, the *Local Development Plan (LDP)* provides specific policies to regulate change (development and use of land) in Edinburgh's urban environment. These directions and measures are defined according to the *SPP* and the *NPF3*, which states that “flexibility is required to allow for different approaches to housing provision that respond to varying local requirements” and that “planning should focus its efforts particularly on areas where the greatest level of change is expected and where there is pressure for development” (Scottish Government, 2014c: 5, Art. 2.10). In particular, it stresses the importance of city centres as “key assets for attracting investment and providing services”, which are considered as key areas for urban and economic development (Participant 7b, 13/02/2017). According to the same principle and to the *Edinburgh Council's Economic Strategy 2012-2017*, the *LDP* identifies, at the local level, four Strategic Development areas in Edinburgh in order to support the city's economic growth, sustainable transportations and environmental improvement as well as the creation of “sustainable and healthier” communities (Edinburgh City Council, 2016: 6). These are the biggest areas of change for the next 5-10 years, where significant development projects can take place (see Figure 68). They include “major redevelopment opportunities in the city centre, continuing regeneration at Edinburgh Waterfront, urban expansion with new tram and rail infrastructure at West Edinburgh and housing and business development on a range of sites in South East Edinburgh” (*ibid.*: 7). Moreover, the plan supports change in other areas of the city, including “regeneration opportunities, redevelopment of vacant sites, green network improvements, new uses for empty commercial units and increased densities in appropriate locations” (*ibid.*: 6).

Focusing on the city centre, the *LDP* identifies key areas for development with the aim of obtaining a proper balance between economic growth, the safeguarding of cultural and natural heritage and the promotion of Edinburgh as an attractive place to live. However, except for the Haymarket and the Fountainbridge areas, which are located just outside the boundary of the WH property, all the other development areas are included in the perimeter of the Old and New Town of Edinburgh (see Figure 68). The *LDP* states that “development

which lies within the area of the city centre [...] will be permitted [providing that it] retains and enhances its character, attractiveness, vitality and accessibility and contributes to its role as a strategic business and regional shopping centre and Edinburgh’s role as a capital city” (Edinburgh City Council, 2016: 105, Policy Del 2).

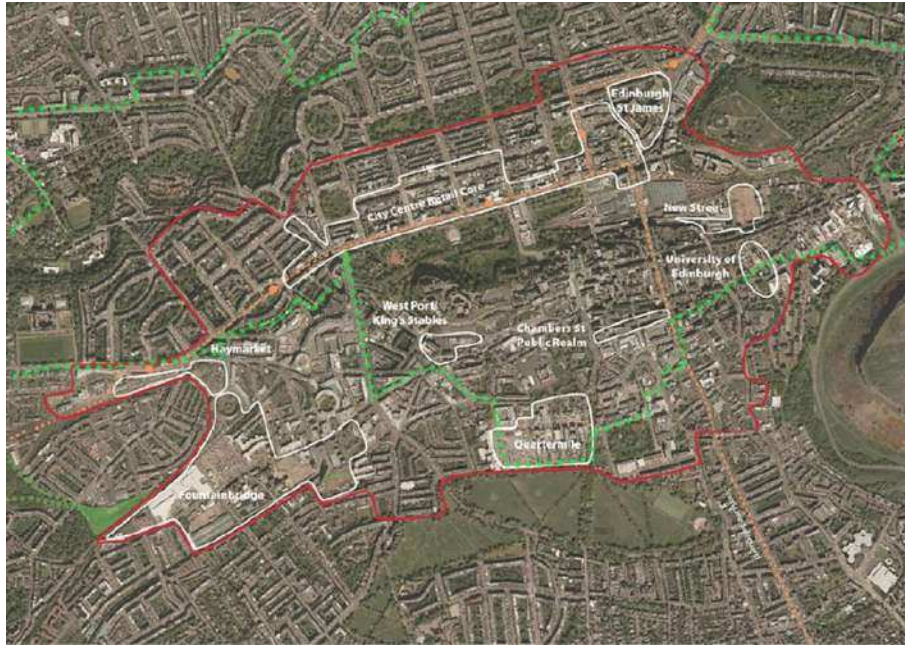


Figure 68: Development areas identified by the *Local Development Plan (LDP)* in the city centre (red perimeter). The green dotted line identifies the perimeter of the Old and New Towns of Edinburgh, WH property. Source: Edinburgh City Council (2016). *Local Development Plan (adopted)*. Edinburgh: Edinburgh City Council, p. 54 (Original version edited by the author).

Moreover, the *LDP* promotes a variety of uses as well as a contemporary design which takes into account the features of the historic environment. It also states that planning permission will be granted where it is demonstrated that:²³³

- “the proposal will create or contribute towards a sense of place” and that “draws upon positive characteristics of the surrounding area” (*ibid.*: 108, Policy Des 1);

²³³ Planning permission are granted according to *The Town and Country Planning (Development Management Procedure) (Scotland) Regulations 2013*, which defines procedures for planning permission applications that involve different kind of historic urban landscape’s attributes (scheduled monument or its setting, category A listed building or its setting, garden and designed landscape, WH site).

- “existing characteristics and features worthy of retention on the site and in the surrounding areas, have been identified, incorporated and enhanced through its design” (*ibid.*: 109, Policy Des 3);
- “it will have a positive impact on its surroundings, including the character of the wider townscape and landscape, and impact on existing views²³⁴,” (*ibid.*: 109, Policy Des 4).

It also specifies that planning permission will be granted for development that promotes a “comprehensive and integrated approach to the layout of buildings, streets, footpaths, cycle paths, public and private open spaces” (*ibid.*: 111, Policy Des 7), giving relevance to a more holistic approach to urban contemporary design. The *LDP* also outlines specifications for the protection of the historic environment.²³⁵ Focusing on the protection of Edinburgh's WH properties, it states that “development which would harm the qualities which justified the inscription of the Old and New Towns of Edinburgh and the Forth Bridge as WH sites or would have a detrimental impact on a Site's setting will not be permitted” (*ibid.*: 115, Policy Env 1).

Furthermore, the *LDP* allows a greater degree of transformation for listed buildings, which covers the 75% of buildings in the Old and New Towns of Edinburgh. The *LDP* allows a “the total or substantial demolition of a listed building (...) in exceptional circumstances”, which should be evaluated in relation to “the condition of the building and the cost of repairing and maintaining it in relation to its importance and to the value to be derived from its continued use”, “the adequacy of the efforts to retain the building in, or adapt it to, a use that will safeguard its future” and “the merits of alternative proposals for the site and whether the public benefits to be derived from allowing demolition outweigh the loss” (*ibid.*: 115, Policy Env 2). Therefore, it also allows alteration and extensions of listed building (if justified) when they do not damage the historical interest of the building. In the case of the demolition or alteration/extension of a listed building, the intervention is subject to the grant of a specific listed building consent.

²³⁴ This can be done in terms of: height and form; scale and proportions, including the spaces between buildings; position of buildings and other features on the site; materials and detailing (Edinburgh City Council, 2016: 109, Policy Del 4).

²³⁵ Section 3 – Caring for the environment.

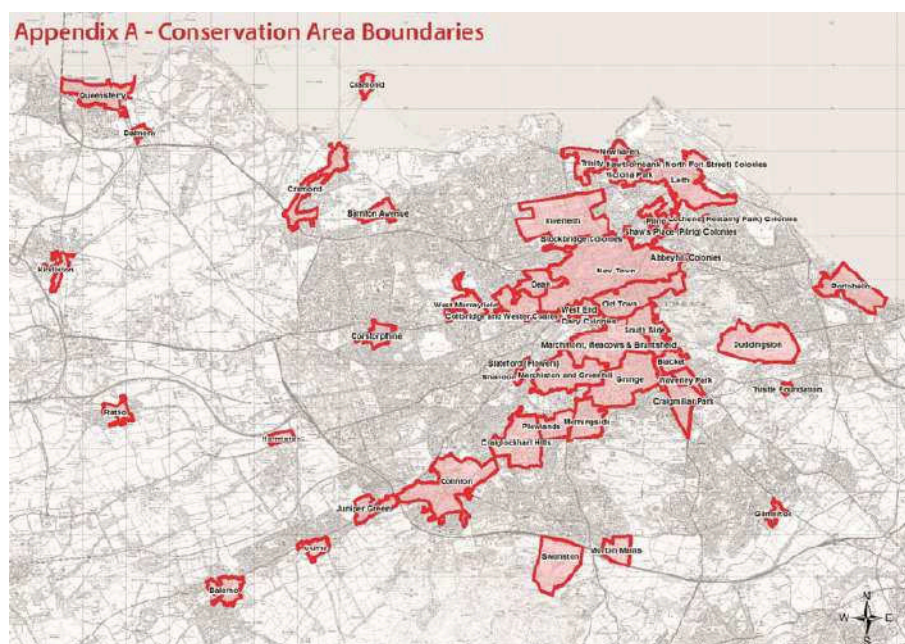


Figure 69: Identification of the 49 conservation areas covering Edinburgh's urban environment. Source: Edinburgh City Council (2016). *Local Development Plan (adopted)*. Edinburgh: Edinburgh City Council, p. 158.

Moreover, buildings can also be demolished in exceptional circumstances in conservation areas, if they can “make a contribution to the character of the area” and “landscaping of the site” (*ibid.*: 116, Policy Env 5). In the same way, development can be permitted in conservation areas if it “preserves or enhances the special character or appearance of the conservation area and it is consistent with the relevant conservation area character appraisal” (*ibid.*: 116, Policy Env 6). However, in conservation areas consent is required for changes like demolitions and windows alterations, which are not required in other districts of the city. This additional protective measure was defined because it “helps to ensure that small scale incremental changes do not damage the character of conservation areas” (*ibid.*: 11). The policy on listed buildings is considered a “strong policy”, which may allow developers to make a case for public benefits in their application proposal for a new development project (Participant 2b, 28/11/2016). Although there is a “presumption that listed buildings and heritage assets will be retained for future generations” (Participant 4b, 25/11/2016), they can be demolished or damaged if economic and social values are considered more important than those related to its historic, aesthetic, age, ecological and scientific values (Participant 5b, 23/11/2016).

Managing change in the historic centre is considered one of the biggest challenges for local urban managers (Participant 2b, 28/11/2016; Participant 4b, 25/11/2016). Participant 2b underlines that “more is happening, more is permissible within the city centre than within other suburban conservation areas” (Participant 2b, 28/11/2016). Moreover, according to participant 7b, heritage conservation and development can be conflicting in the city centre, as the tensions and diverging interests over land use often arise because “people, tourists, companies want to live and work there as it stimulates a sense of pride and identity” (Participant 7b, 13/02/2017). In this context, “where there are so many different activities owned in the development and are possible within the city centre, which is not frozen in time, (...) it is not possible to just say absolutely no to some new development” (Participant 2b, 28/11/2016). Nevertheless, participant 2b highlights how the “legislation and guidance often faces challenges when somebody is proposing a development that technically meets with the legislation or complies with the guidance, but it is not quite the right fact for the city context and so” (*ibid.*). This happened for example with controversial development proposals for the Royal High School, Caltongate and St James Quarter.²³⁶ Proposals were strongly debated during the consultation process regarding the approval of planning applications (Participant 4b, 25/11/2016), thereby illustrating that “it is often when a major project gets underway that citizens and other people come to realise its implications and what is at stake” (Healey, 2010: 67).

For a major development that could potentially impact Edinburgh's OUV, a development application starts with a pre-planning application discussion with the local authority (Hart, 2015: 153). At this stage, *World Heritage Trust* and *Historic Environment Scotland* are invited by the local authority to discuss the basic priorities and features of the scheme, giving advice to the developers on possible modifications in order to promote a project respectful of the historic urban landscape (Participant 4b, 25/11/2016). Once the formal application is made, the local council, *World Heritage Trust*, *Historic Environment Scotland* (members of the Steering Committee of the *WH Management Plan*), as well as other interested bodies and the local community, are invited to a formal consultation process. This process begins a “healthy” debate and a “democratic process”, as the British planning system is designed to provide ‘balance’ to ‘competing forces’

²³⁶ See Section 4.2.2 “Edinburgh's Urban Heritage Today: from the ‘Old and New Towns’ to ‘Historic Urban Landscape’”.

(Participant 1b, 21/11/2016; Participant 2b, 28/11/2016; Participant 4b, 25/11/2016). Then, on the basis of the result of the consultation, a planning officer will prepare a report to be considered by the Planning Committee, with a recommendation outcome (Hart, 2015: 153). Nevertheless, the final decision on development approval is taken by the Planning Committee, which is comprised of local councillors, who reflect the political front of the local council (Participant 4b, 25/11/2016). They are politicians and not experts in the field of urban heritage conservation and management. Although they are educated on the theme of World Heritage through workshops and training sessions organised by the local council with *Historic Environment Scotland*, they do not necessarily have a proper understanding of what Outstanding Universal Value means, “which is not an easy concept to understand” (*ibid.*). This could be a serious threat to its proper safeguarding and management over time as the local councillors have “quite a lot of responsibility in the kind of decision they have to make” (*ibid.*).

Since 2014, *Historic Environment Scotland* has taken the form of a Non-Departmental Public Body (as it was previously a governmental body), and has statutory functions in the planning system. It is formally engaged as a consultant body in planning applications and it has the power to object to a planning application if it does not meet the criteria of Edinburgh’s OUV (*ibid.*). In this way, it can strongly support the local council and the *World Heritage Trust*, which have the support *Historic Environment Scotland* (a national agency) in case of objection to an inappropriate development proposal (Participant 2b, 28/11/2016). In fact, in cases of official objection, the planning application will also be scrutinised by the Scottish Government, which may require a public inquiry and then decide on whether to grant consent for the planning application. According to Participant 4b, the reform of 2014 gave more autonomy and freedom to *Historic Environment Scotland* because it has “the power to disagree with government” in case of diverging positions for a new development (Participant 4b, 25/11/2016). However, *Historic Environment Scotland* is still fully funded by the government and it cannot “criticise too often governmental decisions” (*ibid.*). Furthermore, once an application is granted approval by the Planning Committee, it is very difficult to stop the realisation of the development project because the local council has to pay a “compensation to the developer that is hugely expensive” (*ibid.*). This might have a detrimental impact on the conservation of Edinburgh’s urban heritage, which may also bring about its removal from the World Heritage List if it is too late to stop the project’s realisation.

6.3.3 Urban Heritage Governance

Integration between Sectors, Disciplines and Tools

The results of the assessment show that the *WH Management Plan* (total score 12), the *Scottish Planning Policy (SPP)* (total score 11) and the *3rd National Planning Framework (NPF3)* (total score 10) are the policies most consistent with the 21st century international approach in terms of integration between policies, sectors and actors (UNESCO, 2011b; United Nations, 2015; United Nations, 2016). At the national level the *UK's Shared Framework for Sustainable Development* only identifies other plans and tools involved in the urban management system. Nevertheless, at the regional level, the *NPF3* and the *SPP* also provide specific mechanisms for integrating with other plans and tools (see coding item 3.A).

The *NPF3* states that its vision must be integrated into strategic and development plans by local authorities (Scottish Government, 2014c: iii). In addition, the principles and delivery actions established in the *SPP*, together with those stated in the *NPF3*, must be applied at national, strategic and local levels of the Scottish planning system to deliver the Scottish Government's vision and planned outcomes. The *SPP* promotes the consistency of national planning policies in local contexts by defining development plans, determining planning applications and appeals (Scottish Government, 2014d: 2). Moreover, the *SPP* states that "all those involved with the system have a responsibility to engage and work together constructively and proportionately to achieve quality places for Scotland" (*ibid.*: 4). Its actions should be implemented at all levels (national, provincial and local) by "the Scottish Government and its agencies, public bodies, statutory consultees, elected members, communities, the general public, developers, applicants, agents, interest group and representative organizations" (*ibid.*). Moreover, it adds that "effective integration between land use planning and community planning is crucial and development plans should reflect close working with Community Planning Partnerships" (*ibid.*: 6, Art. 12).

Moreover, the *NPF3* states that national development projects should be delivered by public and private sector organisations, thereby promoting cooperation between private and public actors in the implementation of its proposed actions (Scottish Government, 2014a: 60). According to the vision outlined by *NPF3*, which is in line with the *UK's Shared Framework for Sustainable Development*, the *SPP* envisages the cooperation between different

levels of stakeholders in the implementation of its objectives and actions (see *coding item 3.C*). Moreover, while the *UK's Shared Framework* does not expressly promote cooperation between public and private actors, the *SPP* and the *NPF3* affirm the need to cooperation in order to achieve their objectives and actions (see *coding item 3.D*). Furthermore, different urban management sectors were involved in defining the proposed objectives and actions set out by these two documents (see *coding item 3.B*), which included consultation processes encompassing the sectors of urban and territorial planning, as well as socio-economic development (Scottish Government, 2014b: 2-3; Scottish Government, 2014e: 2-3).

At local level, such as in the case of Florence, the *WH Management Plan* focuses entirely on the management of the WH site. With the aim of finding a balance between heritage conservation, development and sustainability, it involves the cooperation between all levels involved in the management of Edinburgh's urban heritage (from international to WH site) in the implementation of its actions (see *coding item 3.C*). Moreover, its actions itself were defined through an ad-hoc partnership between Edinburgh World Heritage (independent charity), Historic Scotland (executive agency of the Scottish Government) and the City of Edinburgh Council (administrative body), involving the three different urban management sectors of study (heritage conservation and management, urban planning and development). The key principle is that a "partnership working amongst public agencies, institutions, private owners, business and third sector is considered one of the most effective ways of delivering results in Edinburgh" (Edinburgh World Heritage *et al.*, 2011: 62). Moreover, it supports not only the creation of partnerships between public and private actors, but also effective management of the WH property at local, national, European and global levels (*coding item 3.D*). Additionally, it integrates different kinds of urban management policies and objectives (see *coding item 3.B*) into a coherent framework, linking the international requirements for the safeguarding of Edinburgh's OUV over time with planning processes and management issues related to the historic urban environment (Edinburgh World Heritage *et al.*, 2011: 2). However, the effective implementation of the WH Management was "very difficult and challenging" as the proposed actions were quite ambitious and only partially implemented (Participant 1b, 21/11/2016; Participant 2b, 28/11/2016).

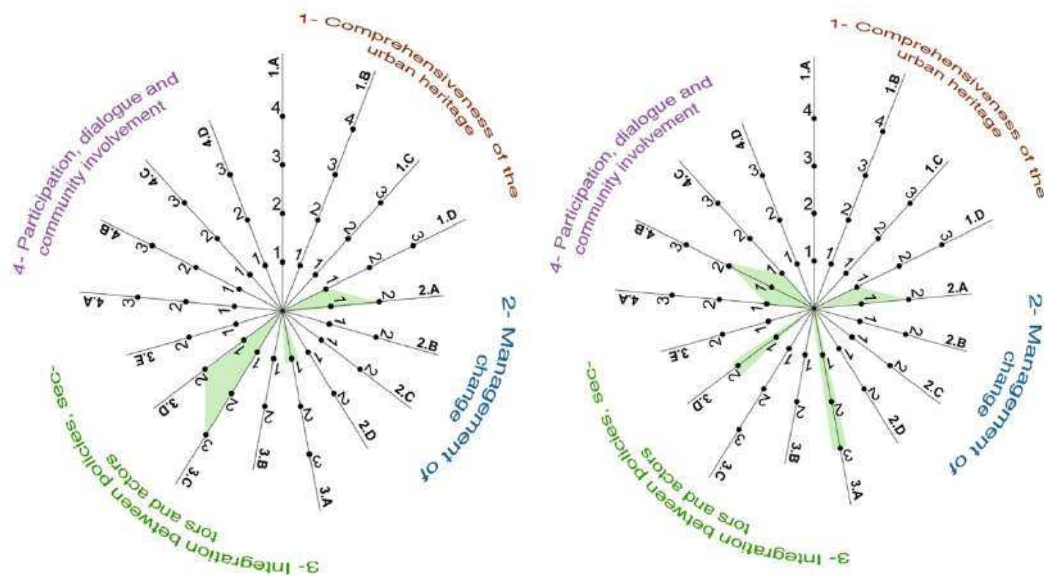


Figure 70: Assessment results of *Scotland's Economic Strategy, 2015* (on the left) and of *Sustainable Edinburgh 2020 and Action Plan, 2014* (on the right).

Specific mechanisms for the integration of the assessed documents with other policies and tools, as well as the cooperation between public and private actors (also through specific partnerships) are also envisaged by *Sustainable Edinburgh 2020* and its related *Action Plan*, but they are not linked to the protection, conservation management and the enhancement of Edinburgh's urban heritage. Finally, the other three policies (*Scotland's Economic Strategy*, the *Historic Environment Strategy for Scotland* and the *Edinburgh Partnership Community Plan 2015/2018*) identify other policies involved in the urban management system. However, they do not provide any specific mechanisms for integration, operating independently from the other existing policies and tools (see *coding item 3.A*). Moreover, among these documents, only the *Historic Environment Strategy for Scotland* included different urban management sectors in the definition of its objectives and actions (see *coding item 3.B*). The strategy was developed in collaboration with different organizations and experts belonging to various urban management sectors (Scottish Government, 2014c: 1). It recognised the need of more integrated and multi-disciplinary approaches for the protection, conservation, management and enhancement of the historic environment. Conversely, while *Scotland's Economic Strategy* promotes “a full integration of economic and social policies”, the other two documents focused on a very mono-disciplinary approach in the definition of their actions (Scottish Government, 2015: 8).

Both *Scotland's Economic Strategy* and the *Historic Environment Strategy for Scotland* envisage cooperation between all levels of stakeholders and between private and public actors in the implementation of their objective and actions (see coding items 3.C and 3.D). *Scotland's Economic Strategy* promotes cooperation between all levels of government in Scotland and with the public sector, the third sector, trade unions, businesses and communities (Scottish Government, 2015: 77-78). Moreover, it also encourages opportunities for partnerships between the Scottish Government and businesses in search of common goals, such as boosting competitiveness and tackling inequality (*ibid.*: 78). The same principles are envisaged at the local level by the *City of Edinburgh Council's Economic Strategy for 2012-2017*, which promotes cooperation between public and private actors. Cooperation between private and public actors was also involved in the definition of the policy's actions and objectives through the Edinburgh Business Forum (Edinburgh City Council, 2012: 7) where both types of actors were consulted. Considering the definition provided for the historic environment, the *Historic Environment Strategy for Scotland* supports the implementation of a series of coordinated actions, delivered through the cooperation of public, private and third sectors (also through particular partnerships) and by all stakeholders. Moreover, it affirms that regulation is important for protecting the historic environment, but also public and private investments, which are considered an essential requirement for its understanding, enjoyment and enhancement (*ibid.*: 21).

The *Edinburgh Partnership Community Plan 2015/2018* also recognises the necessity of promoting cooperation and partnerships with different stakeholders. Moreover, it incentivises an inclusive and integrated partnership by establishing twelve Neighbourhood Partnerships, which then establish an official platform for the development and implementation of *Local Community Plans* (The Edinburgh Partnership, 2015: 13). However, these objectives and actions are only stated for the local and neighbourhood levels. At the local level, the *LDP* is consistent with the *NP3* and the *SPP*, as well as with the *SES Plan (Strategic Development Plan)* that is currently being prepared,²³⁷ but it is not linked to other urban management policies with specific mechanisms of integration. Moreover, despite focusing on the urban and development planning and management in the city of Edinburgh

²³⁷ The vision of the *SES Plan* states that “by 2032, the Edinburgh City Region is a healthier, more prosperous and sustainable place which continues to be internationally recognised as an outstanding area in which to live, work and do business”. It includes eight aims and a spatial strategy with the objective of meeting the following challenges: climate change, demographic change and sustainable economic growth (Edinburgh City Council, 2016: 4).

and its surroundings, the definition of its objectives and actions only involved the specific urban management sector of urban planning (see *coding item 3.B*). Therefore, it does not really promote any cooperation with other levels of stakeholders or between private and public actors. According to Participant 7b, “Edinburgh is very good at creating strategies and producing plans that have a long-term view, but they are developed separately while all of them need to go in the same direction” (Participant 7b, 13/02/2017). This is particularly apparent when looking at urban heritage conservation and management of a living city such as Edinburgh. In this context, the promotion of a conventional mono-disciplinary approach to urban heritage conservation and management may support the safeguarding and enhancement of specific urban heritage values (e.g. economic or historic), rather than the promotion of an adequate overall balance between conservation and development.

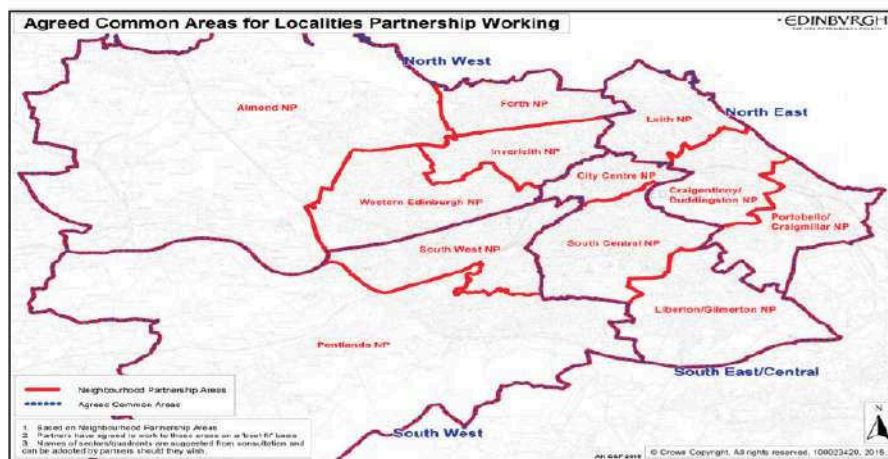


Figure 71: Agreed common areas for localities Partnership Working in Edinburgh. Sources: The Edinburgh Partnership (2015). *Edinburgh Partnership Community Plan 2015-2018*. Edinburgh: Edinburgh City Council, p. 16.

Finally, only four of the assessed urban management policies clearly refer to WH properties and only three of them provide specific actions for their protection, conservation, management and enhancement (see *coding item 3.E*). Except for the *WH Management Plan*, which was obviously conceived for the management of the WH property, at the regional level the *NPF3* only mentions the presence of WH properties and only the *SPP* provides a specific planning policy orientation for WH sites. It establishes that “where a development proposal has the potential to affect a WH site, or its setting, the planning authority must protect and preserve its OUV” (Scottish Government, 2014d: 35, Art. 147). This orientation is then

embedded in the *LDP*, which provides a specific policy for an additional level of protection for Edinburgh's WH sites (Edinburgh City Council, 2016: 115, Policy Env 1). The other documents do not even refer to the presence of WH properties and, therefore, do not recognise their importance as a key element for the implementation of their objectives and actions and as driver of sustainable development (UNESCO, 2002; UNESCO, 2011b; UNESCO, 2015b).

Stakeholders' Engagement in Urban Heritage Conservation, Management and Development

At the national level, the definition of the *UK's Shared Framework for Sustainable Development* involved the participation of the UK Government and of all national devolved administrations (Scotland, Wales and Northern Ireland) in the definitions of its principles and actions. The main objective was to agree a common strategic framework for sustainable development, while leaving local governments the freedom to develop their own approaches (Department for Environment, Food and Rural Affairs, 2005: 3). Moreover, the *UK's Shared Framework* promotes a good governance, "actively promoting effective, participative systems of governance in all level of society – engaging people's creativity, energy and diversity" in its guiding principles (*ibid.*: 8). Among its shared priorities, it states that in order to create sustainable communities, communities should be given "more power and say in the decisions that affect them and work" (*ibid.*: 9). Moreover, it adds that there is a need to "work in partnership at the right level to get things done" (*ibid.*). The *UK's Shared Framework* also defines a specific indicator of "active community participation", which involves civic participation through informal and formal volunteering at least once a month (*ibid.*: 12). However, considering the nature of the document, the *UK's Shared Framework* only involved the participation of national governmental bodies, delegating a wider participatory process to other policies promoted at all levels of governance.

The results of the assessment show how the Scottish and local planning tools (*NPF3*, *SPP* and *LDP*) are the most participatory tools of the assessed urban management policies. They embody the Scottish Government's commitment "to encourag[e] interest and wider public involvement" in reviewing these policies through a consultation process (Scottish government, 2014b; Scottish

government, 2014e).²³⁸ According to this commitment, they all involved the participation of different levels (national, regional and local) and types (governmental, experts and local community) of stakeholders in the definition of their objectives and actions (see *coding items 4.A* and *4.B*). Moreover, the *SPP* stresses the importance of the inclusion and stakeholders' engagement all levels among its core values, which is considered necessary to find a balance between conflicting interests. It affirms that, through the planning system, everyone should be engaged in development decisions that may affect them (Scottish Government, 2014d: 5). It also promotes the involvement of local communities "in the preparation of development plans, when development proposals are being formed and when applications for planning permission are made" (*ibid.*: 5, Art. 7).

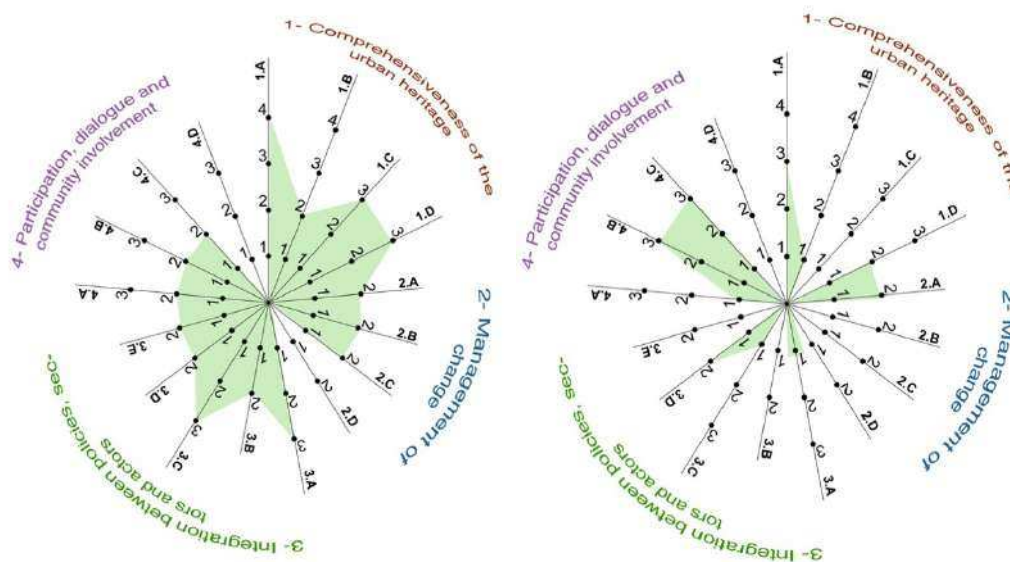


Figure 72: Assessment results of the *WH Management Plan 2011-2016*, 2016 (on the left) and of *Edinburgh Partnership Community Plan 2015-2018*, 2015 (on the right).

Additionally, the local community was consulted in the definition of the actions of the *WH Management Plan*, which involved a consultation process with

²³⁸ The consultation process was carried out according to the *Planning Advice Note 3/2010* (Scottish Government, 2010) that states that "Community Engagement and the National Standards on Community Engagement, the Government ensured that:

- stakeholders were involved in framing the consultation process;
- arrangements for participation were inclusive, open and transparent;
- information was available early and through a range of formats and locations to allow full consideration;
- and feedback was provided promptly on the conclusions drawn".

the people and organizations directly and indirectly involved with Edinburgh's urban heritage (see *coding item 4.B*). However, the consultation process involved only two types of stakeholders, with academic and professional experts working outside the excluded governmental offices (see Table 14). It also involved only two levels of stakeholders (local and national), including actors operating at the city level and at *Historic Environment Scotland*, the representative of the protection, conservation and enhancement of the urban heritage at the regional level. Specifically focusing on the safeguarding and promotion of the historic environment, the *Historic Environment Strategy for Scotland* aims to ensure that “decision-making is informed and that sound evidence-based information is available at all levels of decision making” (Scottish Government, 2014c: 10). The development of the *Historic Environment Strategy for Scotland* involved regional and local stakeholders as well as governmental and expert actors, but it did not include the local community in the definition of its objectives and actions (see *coding items 4.A, 4.B and 4.C*).

Table 14: Identification of the stakeholders involved in the definition of policies' objectives and actions and the form of their involvement (d) decision making; (e) enrolled /executory; (c) consulted /dialogue; (i) informed / educated.²³⁹

	WH site	Local				Regional				National
	WH Management Plan 2011-2016	Local Development Plan, 2016	Edinburgh Partnership, Community Plan 2015/18	Edinburgh Economic Strategy 2012-2017	Sustainable Edinburgh 2020 and Action Plan, 2012	The Historic Environment Strategy for Scotland, 2014	Scotland's Economic Strategy, 2015	Scottish Planning Policy, 2014	Scottish 3 rd National Planning Framework, 2014	UK's Shared Framework for Sustainable Development, 2005
<i>Politicians</i>	(d)	(d)	(d)	(d)	(d)	(d)	(d)	(d)	(d)	(d)
<i>Policy makers</i>	(d)	(d)	(d)	(d)	(d)	(d)				(d)
<i>Officers</i>	(e)	(e)	(e)					(e)	(e)	
<i>Scientific experts</i>		(c)	(d)			(d) Assumed, but not specified		(c)	(c)	
<i>Professional experts</i>		(c)	(d)			(d) Assumed, but not specified		(c)	(c)	
<i>Non-professional experts</i>		(c)	(d)			(d) Assumed, but not specified		(c)	(c)	
<i>Developers/private sector</i>		(c)	(d)	(c)		(d) Assumed, but not specified		(c)	(c)	
<i>Local community directly involved</i>	(c)	(c)	(d)					(c)	(c)	
<i>Local community indirectly involved</i>	(c)	(c)	(d)		(i)			(c)	(c)	

²³⁹ The actors' kind of involvement has been defined according to the taxonomy defined by Veldpaus (see Chapter 3 "Linking Theory with Practice: Methodological Approach") in "Veldpaus, L. (2015). *Historic Urban Landscapes: Framing the Integration of Urban and Heritage Planning in Multilevel Governance*. Vol. 207. Eindhoven: Eindhoven University of Technology, Eindhoven, The Netherlands, p. 64".

At the local level, the *Edinburgh Partnership Community Plan 2015/2018* - specifically dedicated to community planning in Edinburgh - is the only assessed policy that involved the local community as an active part of the decision-making process (see *coding item 4.C*). It is the most inclusive policy in terms of local engagement, which is at the core of its approach, empowering communities through their effective inclusion in the participatory process. According to Participant 6b, they tried “to engage also people that were usually not engaged or not able to be engaged”, promoting a “human-rights based” approach in the decision-making process (Participant 6b, 16/02/2017). Community engagement involved the participation of “active citizens and community leaders, community representative bodies, public, private and third sectors organisations, all of whom are gathered together in a range of strategic and neighbourhood partnerships to deliver a shared vision” (The Edinburgh Partnership, 2015: 5).²⁴⁰ It had the merit to shift from “an approach that reflected every partner’s priorities, to an approach which reflected shared priorities, and which aimed to tackle the truly ‘wicked’ issues in the city” (*ibid.*: 5). One of the four strategic priorities contained within the community plan focuses on “improving Edinburgh’s physical and social fabric” and states that “we value and enjoy our built and natural environment and protect it and enhance it for future generations” (*ibid.*: 54).²⁴¹ Nevertheless, the actions proposed by the document mostly focus on economic, health and social issues rather than on the protection, management and enhancement of urban heritage attributes and values.

However, the other assessed policies illustrate less consistent results. At regional level, although *Scotland’s Economic Strategy* is committed to “a one Scotland approach, where communities are empowered to drive change and deliver growth in the shared interest of the people of Scotland”, it did not involve a participatory process at all (Scottish Government, 2015: 14). The definition of its strategies of actions involved only politicians and policy makers in consultation with developers and private sectors. Moreover, it does not provide specific measures for community involvement, which is therefore left to other urban management policies and administrative levels, including Community Planning Partnerships (*ibid.*: 47). The lack of a participatory process while defining the policy actions is also evident in the *Sustainable Edinburgh 2020* and

²⁴⁰ For more information please see:

http://www.edinburgh.gov.uk/info/20133/community_planning/391/edinburgh_partnership

its related *Action Plan*, where the local population was only informed and did not have an active role in the decision-making process. Finally, the *Edinburgh Economic Strategy 2012-2017* promoted a participatory process at the local level, which involved the consultation of developers/private sector representatives in the definition of the policy's actions and objectives together with the local council.

Finally, the results of the assessment show very critical findings in relation to local community involvement in the definition of heritage values and attributes to be preserved and managed (see *coding item 4.D*). None of the assessed urban management policies provide mechanisms of local community involvement in defining urban heritage values and attributes. In the case of the *LDP* they are defined only by the planners (Participant 1b, 21/11/2016; Participant 2b, 28/11/2016) and then reviewed by the universities, local community and other bodies through a consultation process (Participant 2b, 28/11/2016). However, they were not co-produced with the local community. Moreover, all other documents are only defined by local administrators, failing therefore to meet expectations of the 21st century international approach (UNESCO, 2002; UNESCO, 2011b; UNESCO, 2015b). However, the lack of community involvement at the early stage of the decision-making process in defining urban heritage attributes and values to be preserved and managed suggests that “experts get stuck in the architectural and historical values, forgetting about most of the stories about people and relating to people” (Participant 1b, 21/11/2016). Moreover, the local community may feel a sense of exclusion from decisions about an urban heritage that belongs primarily to them and is experienced by them.

6.4 Conclusion

This chapter illustrated the results of testing the assessment framework developed by the author on case study 2 (Edinburgh, UK). It aimed to provide additional knowledge in order to understand whether the 21st century international approach had already been incorporated into Edinburgh's urban management policies. Therefore, the assessment framework was tested on an additional case study, allowing for a systematic understanding of the main similarities and differences existing between the selected urban management policies in relation to the key principles of the new paradigm for urban conservation and management. In doing so, it built upon information discussed in relation to the first case study, which was discussed in *Chapter 5*. Moreover, the application of the assessment framework on a second case study demonstrated its applicability to different kinds

of urban management policies (including for example a national policy framework and regional/Scottish strategies), belonging to another national context. The results of the assessment are graphically displayed in Figure 73, which illustrates the level of consistency of the entire Edinburgh's urban management system in relation to the 21st century international approach by overlapping the results obtained for each assessed urban management policy.

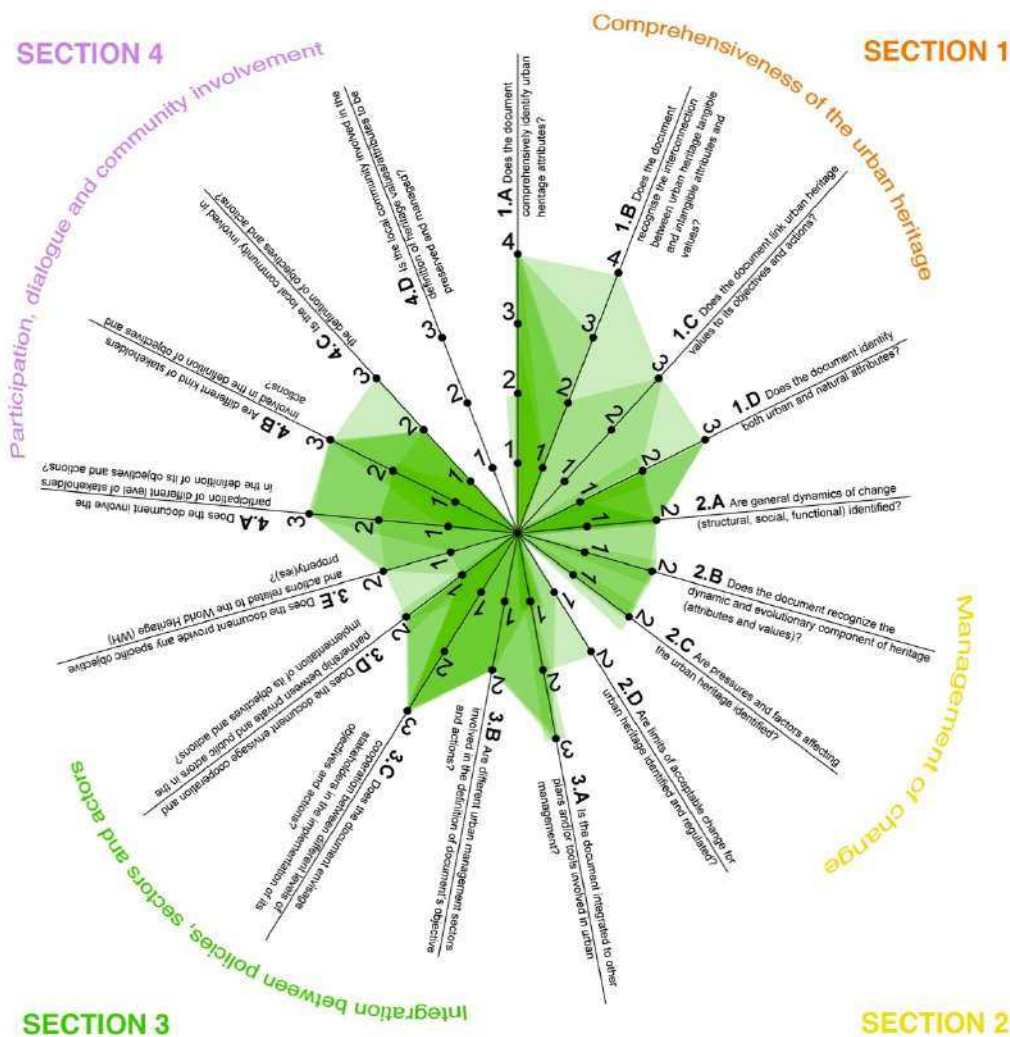


Figure 73: Graphic representation of the final results of the assessment carried out on Edinburgh's urban management system. It exemplifies the summary of the results obtained for each urban management policy assessed.

The evaluation highlighted how the assessed urban management policies, if considered as whole, generally provide specific measures for the protection, conservation, management and enhancement of Edinburgh's WH attributes and values. They define directions, actions and policies not only for the attributes and values located in the historic centre, but also for urban heritage assets located in the whole city and its surrounding landscape, including both natural and urban attributes. However, the evaluation also demonstrated that urban heritage (with its natural and cultural assets) is recognised as an essential condition for social, environmental and economic development as well as a factor for attracting investments by the majority of the analysed policies. Nevertheless, its protection, conservation and enhancement does not assume an important role in the promotion of actions and policies addressing economic growth, social inclusion and environmental sustainability. Therefore, the implementation of the policies' actions differs from what suggested by the 21st century international approach (UNESCO, 2002; UNESCO, 2011b; ICOMOS, 2011b; United Nations, 2015; UNESCO, 2015b; United Nations, 2016).

Moreover, as in the case of Florence, while the interconnection between urban heritage tangible and intangible attributes and values is recognised in seven out of ten of the assessed policies, the measures provided for the protection, conservation, management and enhancement of the intangible attributes are very scarce if compared with those intended for tangible attributes. Furthermore, the values that are associated with the measures defined by the assessed urban management policies are not clearly stated by the urban management policies themselves in the majority of cases and only implicitly linked to the related policy's measures (six out of eight policies). Therefore, Edinburgh's urban management policies show a low level of consistency with the 21st century international approach, which encourages not only the protection and management of urban heritage tangible attributes, but also intangible attributes and values (only two documents link their actions to urban heritage values). Moreover, it also demonstrated a lack of recognition in the values and meanings associated with these attributes in the urban management policies. Furthermore, it also demonstrated that there is a lack of recognition of urban heritage attributes and values (especially the OUV of the WH site) by the people who are responsible for taking decisions about the new development projects within the city.

This chapter underlined how Edinburgh's urban management system has heritage legislation, planning policies and a lot of guidance for managing change

within the historic urban environments, including specific policies for the safeguarding of the OUV of the Old and New Towns of Edinburgh. However, the results demonstrated that only four urban management documents recognise the urban dynamics of change as well as the pressures and factors affecting the urban heritage. The recognition and understanding of these on-going processes constitute a fundamental basis for the definition of specific policies' actions in order to properly cope with them, nevertheless the policies are acknowledged as being poorly informed in this regard. Moreover, the identification of the urban dynamics of change and the pressures affecting the property mostly focus on the effects of climate change and on the financial constraints of the present socio-economic context. Only the *WH Management Plan* recognises that small changes in the urban environment may damage the OUV of the WH property.

However, the results showed how the importance of finding a balance between the preservation of the historic environment and the need for development stressed by the 21st century international approach was also emphasised by the *Historic Environment Strategy for Scotland* as well as by the planning policies. This approach, based on flexibility rather than on prescriptive regulations, is in line with the contemporary approach based on managing change instead of avoiding change (Nasser, 2003; Teutonico and Matero, 2003; Araoz, 2011; Van Oers and Pereira Roders, 2013). Based on a positive debate and a democratic process between local administrators, communities, heritage agencies and other interested bodies, Scottish planning promotes the integration of new developments in historic urban environments, balancing the needs of different interests. Moreover, this is done according to flexible limits of acceptable change that need to be evaluated case by case through the granting of building and planning consent by public authorities. Limits of acceptable change are defined in accordance with both urban heritage's tangible and intangible attributes and their relationships with the surrounding context (skyline, views, topography, setting, urban spaces, etc.). The promotion of development projects is also allowed in the historic centre and within the perimeter of the WH site to permit the maintenance of the liveability and appeal of the area. Nevertheless, this is the most challenging area in relation to finding a balance between urban heritage conservation and development.

In terms of integration, this chapter highlighted how only four (*NPF3*, *SPP*, *WH Management Plan* and *Sustainable Edinburgh 2020*) of the assessed policies are integrated with other policies and tools involved in Edinburgh's urban

management system, while the *LDP* is consistent with them. Different urban management sectors and disciplines were also involved in the definition of objectives and actions of four policies. This involved a multi-disciplinary approach to urban heritage conservation and management. They also envisage the cooperation between different forms (private and public) and levels (national, regional, local) of stakeholders in the implementation of the policies' objectives and actions. Furthermore, the assessment showed how the majority of the urban management policies provide specific measures for the protection, conservation, management and enhancement of WH properties, providing a supplementary level of protection for this outstanding and exceptional heritage.

Finally, the section related to participation and community involvement illustrated that the definition of the policies' objectives and actions is carried out by politicians and policy makers in the majority of case, even if the *UK's Shared Framework for Sustainable Development* stresses the importance of empowering local communities in the decision-making process. Other types of stakeholders are sometimes consulted in order to find a balance between conflicting interests, and to promote wider public involvement. However, the local community is involved as an active part in the decision-making process in the *Edinburgh Partnership Community Plan 2015/2018*, which is the most inclusive and participatory of the documents assessed. However, the plan mostly focuses on economic, health and social issues rather than on the protection, management and enhancement of urban heritage attributes and values. Finally, as in the case of Florence, the assessment showed that the local community is not involved at all in the definition of urban heritage attributes and values to be safeguarded over time. This is one of the most critical aspect of Edinburgh's urban management system in relation to the 21st century international discourse. The next *Chapter 7* will provide a comparison between the results obtained in two case studies. It will also underline the strengths and weaknesses of current urban management systems in integrating the 21st century international approach, and proposes ways of moving towards a better reconciliation of urban heritage conservation, management and development.

Chapter 7

Comparing and Discussing Policy Measures in the World Heritage Cities of Florence and Edinburgh

Introduction

This chapter outlines the strengths and weaknesses of existing urban management systems in dealing with contemporary challenges and factors affecting the urban heritage of Florence and Edinburgh. Moreover, it discusses the opportunities and threats of integrating a 21st century international approach to urban heritage, conservation and management in these two case studies. This chapter is divided into four main sections. *Section 7.1* summarises the current factors and pressures affecting the Outstanding Universal Value (OUV) of Florence's and Edinburgh's World Heritage (WH) properties, focusing on the critical relationship between heritage conservation and development. It illustrates how existing policies currently provide specific measures for the protection, conservation, management and enhancement of the WH attributes and values identified in *Chapter 4*. *Section 7.2* provides a comparison between the results of the assessment carried out in the two case studies, including comparative diagrams and identifying the strengths and weaknesses of the two urban management systems. *Section 7.3* discusses two different local approaches to urban heritage conservation, management and development, integrating the data collected from the evaluation of the urban management policies with those obtained through interviews with local

stakeholders. Moreover, it illustrates the strengths and weaknesses of existing urban management systems in dealing with contemporary pressures and factors affecting the OUV of Florence's and Edinburgh's WH heritage properties. Finally, *Section 7.4* outlines the key findings from the investigation of the two case studies. It briefly underlines how it would be possible to improve existing urban management policies according to a 21st century international approach.

7.1 Safeguarding Florence's and Edinburgh's Urban Heritage in a Context of Change

Chapter 2 explored the most important challenges for historic urban environments in relation to conservation and development in the 21st century.²⁴² Focusing on the two case studies selected for carrying out this research, *Chapter 4* showed how Florence (Italy) and Edinburgh (UK) are not excluded from these pressures and dynamics of change. It illustrated how the authenticity and integrity of their urban heritage is being challenged by increasing pressures and other factors,²⁴³ which are summarised in Table 15 (Florence) and Table 16 (Edinburgh). These pressures and factors affecting the cities' urban heritage need to be carefully monitored and tackled by urban management policies as they may have irreversible impacts on the safeguarding of their WH properties over time. The safeguarding of the urban heritage of the two cities in the dynamic context of their historic urban environments is recognised as a great challenge (Participant 3a, 21/07/2016;²⁴⁴ Participant 2b, 28/11/2016²⁴⁵).

Chapter 4 demonstrated that the urban heritage of the two case studies is composed of exceptional attributes and values that include not only their historic centres, but the whole historic urban landscapes they are part of. The understanding of Florence's and Edinburgh's urban heritage attributes and values

²⁴² See *Section 2.1* "Challenges for Urban Heritage Conservation in the 21st century".

²⁴³ See *Section 4.1.3* "Florence's Urban Heritage Today: from 'Historic Centre' to 'Historic Urban Landscape'" and *Section 4.2.2* "Edinburgh's Urban Heritage: from the 'Old and New Towns' to 'Historic Urban Landscape'".

²⁴⁴ The original sentence is: "ci sono grosse difficoltà di gestione e che si concentrano in particolare laddove abbiamo questi grandi afflussi [di turisti ed immigrati] dall'esterno (...) viene meno quella che è la residenza (...) d'altro canto, una riflessione, non sempre la residenza è facile nel centro storico e molto spesso quello che può essere facile diventa di lusso per il fatto che comunque sia si gode di una certa posizione privilegiata".

²⁴⁵ The original sentence is: "our World Heritage site has happened to be a capital city centre with economic growth pressures, with a living population, with cultural activities (...) all sort of cities' activities happening there and this sometimes causes conflicts".

show the complexity of the many aspects (natural/urban, tangible/intangible, World Heritage/whole city, historic/contemporary) that need to be taken into consideration to properly conserve, manage and enhance outstanding heritage. The management of these processes is not easy and often leads to conflicts between diverging interests of different stakeholders, such as residents, tourists and businesses (Participant 1b, 21/11/2016).²⁴⁶ Consequently, contemporary development projects are frequently disputed by local communities. For example, the tramline project was heavily contested in both Florence and Edinburgh (Participant 1a, 07/06/2016; Participant 6a, 03/11/2016;²⁴⁷ Participant 1b, 21/11/2016²⁴⁸).

The assessment results of existing urban management policies in the two case studies demonstrated how current policies already incorporate some of the principles of the new paradigm for urban heritage conservation and management.²⁴⁹ Moreover, the most recent *Periodic Reports* of their WH properties state that their OUV has been preserved over time through adequate regulatory frameworks and conservation tools and that their management plans are considered appropriate and fully implemented (World Heritage Centre, 2014a; World Heritage Centre, 2014b). However, the fact that contemporary socio-economic dynamics and development projects are still threatening the conservation of Florence's and Edinburgh's OUV demonstrates the potential inadequacy of current policies and/or their implementation processes (ICOMOS, 2015: 3). This section highlights the existing policy measures that are in place to assure the protection, safeguarding, transformation, management and enhancement of the attributes (tangible and intangible) of the WH properties, which were discussed in

²⁴⁶ The original sentence is: "there are three key elements we are trying to manage. We have got tourism, then we have got residents and we have got business. These three are the basis of our triangle in terms of management (...) if you go too far in terms of tourism, it will arrive at a moment that the other two start to lose out (...) the residents feel very pressured by tourism (...) from the other side, tourism strategy wants more tourists (...) so that is a challenge for us".

²⁴⁷ The original sentence is: "*la tramvia è vero, è un'infrastruttura pesante, bisogna realizzarla bene, però prevede tutta una serie di interventi e si porta dietro anche tutta una serie di benefici*".

²⁴⁸ The original sentence is: "there was an enormous debate over the tramline construction (...) that project annoyed the whole city because it took many years longer than should have and costed more than it should have done (...) it did not deliver all it was meant to deliver (...) it was a nightmare project (...) it is not so useful as it should have been. It was meant to connect three development zones airport-city centre-docks and it did not get to the docks which is the area that needs it most, it did not achieve its key objectives".

²⁴⁹ See *Chapter 5* "Assessing Local Urban Management Policies: Results of Case Study 1 (Florence, Italy)" and *Chapter 6* "Assessing Local Urban Management Policies: Results of Case Study 2 (Edinburgh, UK)".

*Chapter 4.*²⁵⁰ A full list of the type of measures envisaged by each urban management policy for the WH attributes and as well as the values associated with these actions is available in *Annex 14* (Florence) and *Annex 15* (Edinburgh).

²⁵⁰ A full list of the WH attributes and values of the two case studies is available in *Annex 8* "Identification of World Heritage's Attributes and Values of the Historic Centre of Florence", *Annex 9* "Identification of World Heritage's Attributes and Values of the Medici's Villas and Gardens in Tuscany" and *Annex 10* "Identification of World Heritage's Attributes and Values of the Old and New Town of Edinburgh".

Table 15: Identification of current pressures and factors affecting the authenticity and integrity of Florence's urban heritage.

	Impacts on Urban Heritage's Authenticity					Impacts on Urban Heritage's Integrity		
	<i>Buildings' Form and Design</i>	<i>Materials and Substance</i>	<i>Use and Function</i>	<i>Traditions and Techniques</i>	<i>Location and Setting</i>	<i>Structural Integrity</i>	<i>Socio-Functional Integrity</i>	<i>Visual Integrity</i>
<i>Flooding of the River Arno</i>	- Damage to the artistic heritage of the WH property	- Damage to the artistic heritage of the WH property	/	- Damage to the artistic heritage of the WH property	/	- Damage to the artistic heritage of the WH property	/	/
<i>Socio-Economic Transformations (new economic productions and territorial decentralisation)</i>	/	/	- Sale of high-quality buildings to private actors and conversion of many apartments in tourist accommodations	- Decrease of the quality of local food and Tuscan culinary tradition	- Intensive use of private means of transport and increase of traffic, air and noise pollution	/	- Movement of local residents to more peripheral areas - Increase of the number of commuters - Decrease of services for local residents and urban quality of life - Increase of commercial activities related to tourists	/
<i>Increase of City's Appel by Growing Commercial and Tertiary Activities</i>	/	/	- Increase of the cost of buildings in the city centre	/	- Intensive use of private means of transport and increase of traffic, air and noise pollution	/	- Increase of the number of students and foreigners - Reduction of the number of local residents living in the historic centre	/
<i>Presence of Mass Tourism</i>	- Structural modifications of major buildings	- Deterioration of urban heritage's materials (e.g. street surface)	/	/	- Congestion of the historic centre - Saturation of public soil - Increase of traffic, air and noise pollution	- Structural modifications of major buildings	- Decrease of services for local residents and urban quality of life - Conflicts between the interests of local residents, tourists and students (e.g. night life)	/
<i>Infrastructures and Development Projects</i>	- Damage to the urban heritage due to construction vibrations	- Damage to the urban heritage due to construction vibrations	/	/	- Reduction of traffic, air and noise pollution - Improvement of the connections between periphery and city centre	- Damage to the urban heritage due to construction vibrations	/	- Damage to urban image and views

Pressures and Factors Affecting Florence's Urban Heritage

Table 16: Identification of current pressures and factors affecting the authenticity and integrity of Edinburgh's urban heritage.

		Impacts on Urban Heritage's Authenticity					Impacts on Urban Heritage's Integrity		
		<i>Buildings' Form and Design</i>	<i>Materials and Substance</i>	<i>Use and Function</i>	<i>Traditions and Techniques</i>	<i>Location and Setting</i>	<i>Structural Integrity</i>	<i>Socio-Functional Integrity</i>	<i>Visual Integrity</i>
		<i>Climate Change, Fire and Flood Risk</i>	- Structural damage to major buildings	- Damage to major buildings' materials	/	/	/	/	/
<i>Growing Importance of the City as Financial and Business Centre</i>	/	/	- The city centre attracts the location of new activities - Concentration of development proposals in the city centre	/	/	/	/	/	
<i>Presence of a High Concentration of Activities and Sectors (financial, touristic, cultural, university and administrative centre)</i>	/	/	/	/	- Increase of private transports and of traffic, air and noise pollution	/	/	/	
<i>Infrastructures and Other Development Projects (office accommodation, shopping floor-space, hotels, leisure facilities, housing)</i>	- Structural modifications of major buildings - Damage to the original design conception of historic building	/	- Functional modifications of major buildings	/	- Improvement of urban transportation	/	/	- Damage to the visual integrity, inconsistency of the new developments with the surrounding buildings	

Pressures and Factors Affecting Edinburgh's Urban Heritage

7.1.1 Identifying Policy Measures for Florence's and Edinburgh's WH Heritage Attributes and Values

Protecting, Safeguarding and Enhancing Florence's WH Attributes and Values

The assessment carried out illustrates how Florence's policies – considered in their entirety - provide measures directed toward the protection, management and enhancement of Florence's WH attributes (tangible and intangible) identified in the nomination documents. Figures 74 and Figure 75 present the type of actions envisaged by the policy makers in relation to each WH attribute. In particular, Figure 74 demonstrates how all Florence's WH tangible attributes are subject to protection,²⁵¹ conservation²⁵² and enhancement²⁵³ policies. Moreover, they are also subject to management measures,²⁵⁴ with the only exception of broader urban and natural landscapes (urban environment and Tuscan landscape). These however are taken into consideration in policy measures, which aim at guiding the transformation.²⁵⁵ Finally, among Florence's urban management policies, the *WH Management Plan* promotes an educational process directed to students starting

²⁵¹ Protection measures are provided by the *Code of the Cultural and Landscape Heritage* (building elements, buildings, urban and natural elements, context or setting, ensembles, areas, urban/natural layering), the *Regional Orientation Plan of the Tuscany Region* (natural elements, context or setting, areas), the *Territorial Coordination Plan of the Province of Florence Region* (natural elements, context or setting, areas, urban/natural layering), the *Structural Plan* (urban and natural elements, ensembles, context or setting, areas, urban/natural layering), the *Town Planning Regulation* (urban elements, areas, urban/natural layering) and the *Building Regulation* (buildings).

²⁵² Conservation measures are provided by the *Code of the Cultural and Landscape Heritage* (building elements, buildings, urban and natural elements, ensembles), the *Regional Orientation Plan of the Tuscany Region* and the *Territorial Coordination Plan of the Province of Florence Region* (natural elements, context or setting, areas, urban/natural layering), the *Structural Plan* (urban and natural elements, context or setting, areas, urban/natural layering), the *Town Planning Regulation* (natural elements, areas, urban/natural layering) and the *WH Management Plan* (buildings, urban elements, areas, urban/natural layering).

²⁵³ Enhancement measures are provided by the *Code of the Cultural and Landscape Heritage* (building elements, buildings, urban and natural elements, ensembles), the *Plan for Culture 2012-2015* and the *Regional Development Plan 2011-2015* (buildings), the *Regional Plan for Economic Development 2012-2015* (buildings, urban elements, areas, urban/natural layering), the *Regional Orientation Plan of the Tuscany Region* and the *Territorial Coordination Plan of the Province of Florence Region* (natural elements, context or setting, areas, urban/natural layering), the *Local Plan of the Agenda 21* (buildings, urban and natural elements, context or setting, areas, urban/natural layering) and the *WH Management Plan* (buildings, urban and natural elements, context or setting, areas).

²⁵⁴ Management measures are provided by the *Code of the Cultural and Landscape Heritage* (building elements, buildings, urban and natural elements, ensembles) and the *WH Management Plan* (buildings, urban elements, context or setting, areas, urban/natural layering).

²⁵⁵ Measures for guiding transformations are provided by the *Regional Orientation Plan of the Tuscany Region* (natural elements, context or setting, areas, urban/natural layering), and the *Territorial Coordination Plan of the Province of Florence Region* (natural elements, context or setting, areas), the *Structural Plan* (urban elements, areas, urban/natural layering), the *Town Planning Regulation* (buildings, natural elements, areas, urban/natural layering) and the *Building Regulation* (buildings, areas).

from the knowledge of the river Arno, of its environmental aspects and of the necessary interventions to make the river and its territory safer and more liveable (Firenze Patrimonio Mondiale, 2016: 101).²⁵⁶ The *WH Management Plan* also provides measures for increasing the awareness through education (educational measures) of Florence's intangible attributes, as illustrated in Figure 75. Among them, those related to the principles and history of the Renaissance are taken into consideration in enhancement actions.²⁵⁷ Therefore, none of Florence's attributes, tangible and intangible, from building elements to entire landscapes, is excluded from the actions envisaged by the selected urban management policies.

²⁵⁶ Educational measures for tangible (natural elements, historic center) and intangible attributes (concept or artistic trend) are provided by the *WH Management Plan*.

²⁵⁷ Enhancement measures for intangible attributes related to the principles of the Renaissance are provided by the *Plan for Culture 2012-2015*.

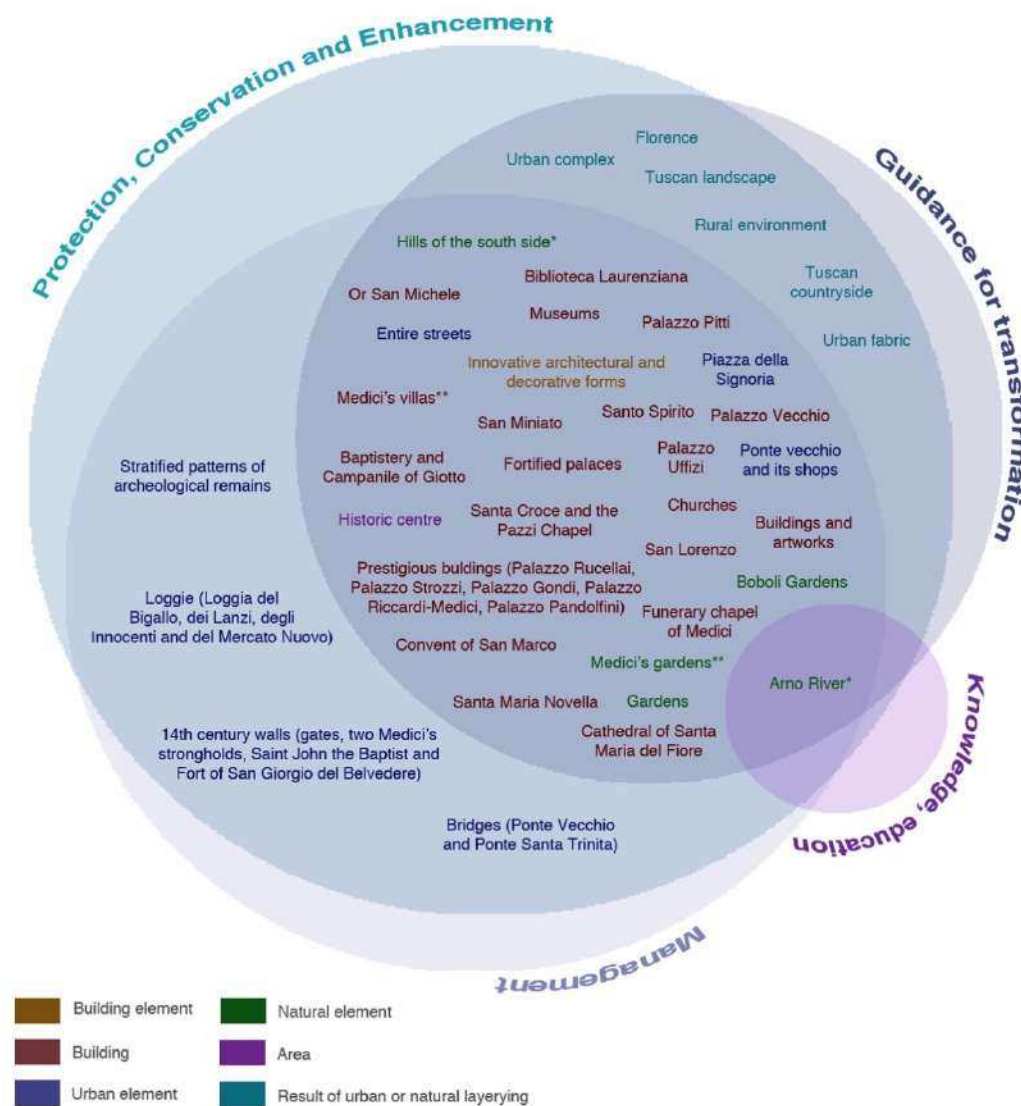


Figure 74: Policy measures (protection, guidance for transformation, management, enhancement and knowledge/education) envisaged by the selected urban management policies for each Florence's WH tangible attribute. The different colours of WH attributes identify the attribute categories classified in accordance with the taxonomy developed by Veldpau (Veldpau, 2015: 55-76).²⁵⁸

²⁵⁸ For more information please see *Section 3.5.2* "Additional Information in the Relation to the World Heritage Properties". See also *Annex 8* "Identification of World Heritage's Attributes and Values of the Historic Centre of Florence", *Annex 9* "Identification of World Heritage's Attributes and Values of the Medici's Villas and Gardens in Tuscany" and *Annex 10* "Identification of World Heritage's Attributes and Values of the Old and New Town of Edinburgh".

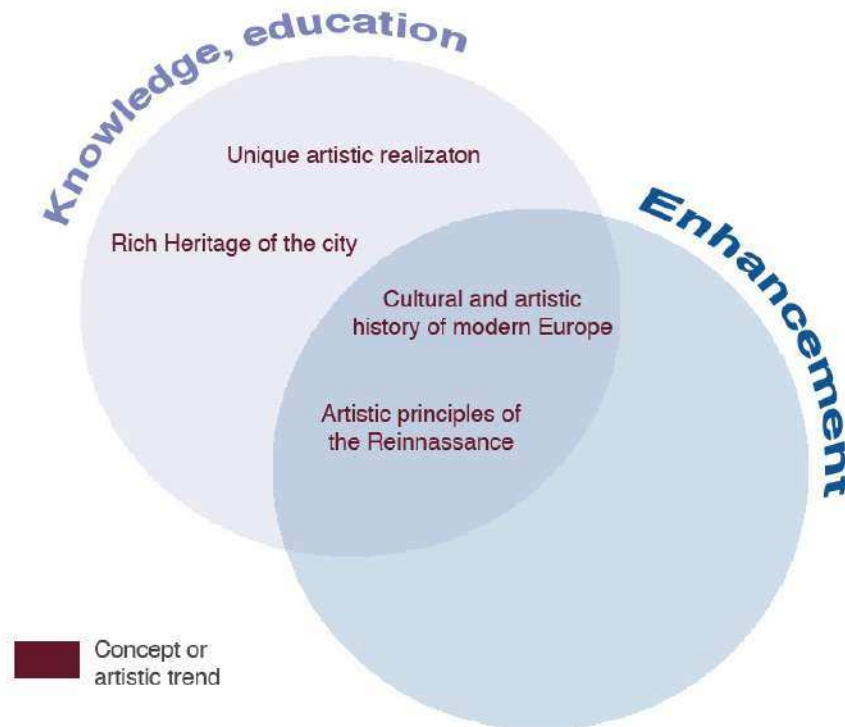


Figure 75: Policy measures (enhancement and knowledge/education) envisaged by the selected urban management policies for each Florence's WH intangible attribute. The colour of WH attributes identify the attribute categories classified in accordance with the taxonomy developed by Veldpaus (*ibid.*).²⁵⁹

Tables 17 and Table 18 show that some discrepancies exist when comparing the values associated with the WH attributes as a result of the analysis of their nomination documents and those associated with policies. Sometimes the measures envisaged in the urban management policies are related to additional values than those associated with the WH attributes in their nomination. Nevertheless, political and economic values are not considered in almost all the urban management measures provided for the same attributes, with the exception of the *WH Management Plan* which provides management measures for all WH attributes, aiming to safeguard the overall OUV of the WH property over time (Firenze Patrimonio Mondiale, 2016: 33). Moreover, the assessed urban management policies undervalue the importance of ecological values associated with the WH urban elements (e.g. Ponte Vecchio and other bridges, 14th century walls), whose OUV is defined because of their relation with the surrounding

²⁵⁹ *Ibid.*

context. Finally, the assessment illustrates how urban management policies also address specific measures for WH intangible attributes in relation to their social values or, more generally, for the overall OUV of the WH property.

Table 17: Identification of the values associated with Florence’s WH intangible attributes as identified in their nomination documents (tick symbol) and those associated with the measures provided by each urban management policy in relation to the protection, management and conservation of the same attributes (dark blue). The number in brackets associated with each attribute identifies the year of its related nomination document.

Intangible attributes		Aesthetic	Age	Historic	Scientific	Social	Ecological	Political	Economic	Overall OUV	Related tangible attribute category
<i>Concept or artistic trend</i>	Rich heritage of the city (1981)	✓		✓							/
	Unique artistic realization (1982, 2014)	✓									- Result of urban or natural layering
	Artistic principles of the Renaissance (1982, 2014)	✓		✓		✓					/
	Cultural and artistic history of modern Europe (2013)	✓		✓		✓		✓	✓		/

Table 18: Identification of the values associated with Florence's WH tangible attributes as identified in their nomination documents (tick symbol) and those associated with the measures provided by each urban management policy in relation to the protection, management and conservation of the same attributes (dark blue). The number in brackets associated with each attribute identifies the year of its related nomination document.

Tangible attributes		Aesthetic	Age	Historic	Scientific	Social	Ecological	Political	Economic	Overall OUV	Related intangible attribute category
<i>Building element</i>	Innovative architectural and decorative forms (2013)	✓			✓						/
<i>Building</i>	Museums (the Archaeological Museum, Uffizi, Bargello, Pitti, Galleria dell'Accademia, etc.) (1982, 2014)			✓		✓			✓		- Concept or artistic trend (2014) - Use, function - Knowledge, traditions, customs (2014) - Unplanned process, evolution (2014)
	Churches (2014)	✓		✓		✓					- Concept or artistic trend - Knowledge, traditions, customs - Unplanned process, evolution
	Cathedral of Santa Maria del Fiore (1982, 2014)	✓		✓		✓	✓				- Concept or artistic trend - Relation context/location
	Baptistry and Campanile of Giotto (1982, 2014)	✓				✓	✓				- Concept or artistic trend - Relation context/location
	Palazzo Vecchio (1982, 2014)	✓		✓			✓				- Concept or artistic trend - Relation context/location
	Palazzo Uffizi (1982, 2014)	✓		✓		✓	✓				- Concept or artistic trend - Relation context/location
	San Lorenzo (1982, 2014)	✓		✓		✓	✓	✓	✓		- Concept or artistic trend - Relation context/location
	The funerary chapel of the Medici (1982, 2014)			✓		✓		✓	✓		- Concept or artistic trend - Relation context/location
	Biblioteca Laurenziana (1982, 2014)			✓		✓		✓	✓		- Concept or artistic trend - Relation context/location
	Santa Maria Novella (1982, 2014)	✓				✓	✓				- Concept or artistic trend - Relation context/location
	Santa Croce and the Pazzi Chapel (1982, 2014)	✓		✓		✓	✓				- Concept or artistic trend - Relation context/location
	Convent of San Marco (1982, 2014)	✓				✓	✓				- Concept or artistic trend - Relation context/location
	Santo Spirito (1982)	✓				✓	✓				- Concept or artistic trend - Relation context/location
	San Miniato (1982)	✓				✓	✓				- Concept or artistic trend - Relation context/location
Fortified palaces (Palazzo Spini, Palazzo del Podestà, Palazzo della Signoria) (1982, 2014)			✓							/	
Or San Michele (1982, 2014)			✓							- Relation meaning/association	

		Aesthetic	Age	Historic	Scientific	Social	Ecological	Political	Economic	Overall OUV	Related intangible attribute category
Building	Prestigious buildings (Palazzo Rucellai, Palazzo Strozzi, Palazzo Gondi, Palazzo Riccardi-Medici, Palazzo Pandolfini) (1982, 2014)			✓		✓		✓	✓		- Relation meaning/association
	Palazzo Pitti (1982, 2014)			✓		✓	✓	✓	✓		- Concept or artistic trend (2014) - Relation context/location - Relation meaning/association (2014) - Unplanned process, evolution
	Buildings and artworks (2014)	✓		✓		✓	✓				- Concept or artistic trend - Relation context/location - Character - Knowledge, traditions, customs - Unplanned process, evolution
	Medici's villas (2013)	✓		✓		✓	✓	✓	✓		- Concept or artistic trend - Relation context/location - Use/function - Relation meaning/association
Urban element	Stratified pattern of archaeological remains (1981)			✓			✓				- Relation context/location
	Piazza della Signoria (1982, 2014)	✓				✓	✓				- Concept or artistic trend - Relation context/location
	Entire streets (1982, 2014)			✓							/
	Loggie (Loggia del Bigallo, Loggia dei Lanzi, the Logge degli Innocenti and del Mercato Nuovo) (1982, 2014)			✓							/
	Fountains (1982, 2014)			✓							/
	Ponte vecchio and its shops (1982, 2014)			✓			✓		✓		- Relation context/location - Use, function
	14 th - century walls (gates, towers and two Medici strongholds, Saint John the Baptist and Fort of San Giorgio del Belvedere) (2014)			✓			✓				- Relation context/location
	Bridges (Ponte Vecchio and Ponte Santa Trinita) (2014)						✓				- Relation context/location

		Aesthetic	Age	Historic	Scientific	Social	Ecological	Political	Economic	Overall OUY	Related intangible attribute category
Tangible attributes											Related intangible attribute category
Natural element	Boboli Gardens (1982, 2014)			✓		✓	✓	✓	✓		- Relation context/location - Relation meaning/association
	Hills of the south side (2014)						✓				/
	Arno River (2014)						✓				- Relation context/location
	Gardens (2013)						✓				- Relation context/location
	Medici's gardens (2013)	✓		✓			✓	✓	✓		- Concept or artistic trend - Relation context/location - Use/function - Relation meaning/association
Ensemble	Medici's villas and gardens (2013)	✓		✓	✓	✓					- Relation context/location
Context or setting	Hills of the south side (2014)						✓				/
	Arno River (2014)						✓				- Relation context/location
Area	Historic centre (1982, 2014)	✓		✓	✓		✓	✓			- Concept or artistic trend - Relation context/location - Character - Knowledge, traditions, customs - Unplanned process, evolution
Result of urban or natural layering	Florence (1981, 1982, 2014)			✓		✓	✓		✓		- Concept or artistic trend (1982, 2014) - Knowledge, traditions, customs (1982, 2014) - Relation meaning/association (1982, 2014) - Relation context/location (1981, 2014)
	Urban fabric (1981)						✓				- Relation context/location
	Urban complex (1982, 2014)			✓			✓				- Relation context/location - Use/function
	Rural environment (2013)						✓				- Relation context/location - Relation meaning/association
	Tuscan countryside (2013)						✓				- Relation context/location
	Tuscan landscapes (2013)						✓				- Relation context/location - Knowledge, traditions,

Protecting, Safeguarding and Enhancing Edinburgh's WH Attributes and Values

In the case of Edinburgh, Figure 76 shows how all WH tangible attributes are subject to protection,²⁶⁰ conservation,²⁶¹ enhancement²⁶² and guidance for transformation measures.²⁶³ Moreover, they are also taken into consideration in management measures,²⁶⁴ with the only exclusion that of urban layered attributes (skyline and townscapes), as in the case of Florence. Moreover, the *Historic Environment Strategy for Scotland* and the *WH Management plan* provide measures for increasing awareness through education for all urban heritage cultural attributes, but without considering natural attributes.²⁶⁵ Furthermore, Figure 77 illustrates how these two documents envisaged educational measures for all WH intangible attributes.²⁶⁶ Furthermore, the *Historic Environment Strategy for Scotland* also envisages protection, conservation and enhancement actions for the intangible attributes related to the architectural, historic and classic tradition of the WH property (Scottish Government, 2014c). Finally, the intangible attributes related to the WH context and setting (views, relationship between Old and New Towns) are taken into consideration in policy measures for

²⁶⁰ Protection measures are provided by the *UK's Shared Framework for Sustainable Development*, the *Scottish 3rd National Planning Framework*, the *Scottish Planning Policy* and the *WH Management Plan* (buildings, urban and natural elements, ensembles, areas, urban/natural layering), the *Scotland's Economic Strategy* (natural elements), The *Historic Environment Strategy for Scotland* (buildings, urban elements, ensembles, areas, urban/natural layering), the *Edinburgh Partnership Community Plan 2015/2018* (natural elements, urban natural layering), the *Local Development Plan* (buildings, urban and natural elements, ensembles, areas) and the *WH Management Plan* (urban/natural layering).

²⁶¹ Conservation measures are provided by the *Scottish 3rd National Planning Framework*, the *Scottish Planning Policy*, (buildings, urban and natural elements, ensembles, areas, urban/natural layering), the *Historic Environment Strategy for Scotland* (buildings, urban elements, ensembles, areas, urban/natural layering), the *Local Development Plan* (buildings, urban and natural elements, ensembles, areas) and the *WH Management Plan* (buildings, urban elements, ensembles, areas, urban/natural layering).

²⁶² Enhancement measures are provided by the *UK's Shared Framework for Sustainable Development*, the *Scottish 3rd National Planning Framework* and the *Scottish Planning Policy* (buildings, urban and natural elements, ensembles, areas, urban/natural layering), the *Scotland's Economic Strategy* (natural elements), The *Historic Environment Strategy for Scotland* (buildings, urban elements, ensembles, areas, urban/natural layering), the *Edinburgh Partnership Community Plan 2015/2018* (natural elements, urban natural layering) and the *WH Management Plan* (buildings, urban elements, ensembles, areas, urban/natural layering).

²⁶³ Measures for the guidance of transformation are provided by the *Scottish Planning Policy* and the *Local Development Plan* (buildings, urban and natural elements, ensembles, areas, urban/natural layering), the *Edinburgh Economic Strategy 2012-2017* (areas),

²⁶⁴ Management measures are provided by the *WH Management Plan* (buildings, urban and natural elements, ensembles, areas, urban/natural layering).

²⁶⁵ Educational measures for tangible attributes are provided by the *Historic Environment Strategy for Scotland* (buildings, urban elements, ensembles, areas, urban/natural layering) and the *WH Management Plan* (buildings, urban elements, ensembles, areas, urban/natural layering).

²⁶⁶ Educational measures for intangible attributes are provided by the *Historic Environment Strategy for Scotland* (concept or artistic trend, knowledge/traditions/customs) and the *WH Management Plan* (concept or artistic trend, relation to context, knowledge/traditions/customs, planned processes/development, un-planned processes/development).

the guidance of transformation.²⁶⁷ Therefore, all Edinburgh's WH attributes, both tangible and intangible and belonging to all the related categories (from single buildings to the entire urban landscape) are subject to the assessed urban management policies.

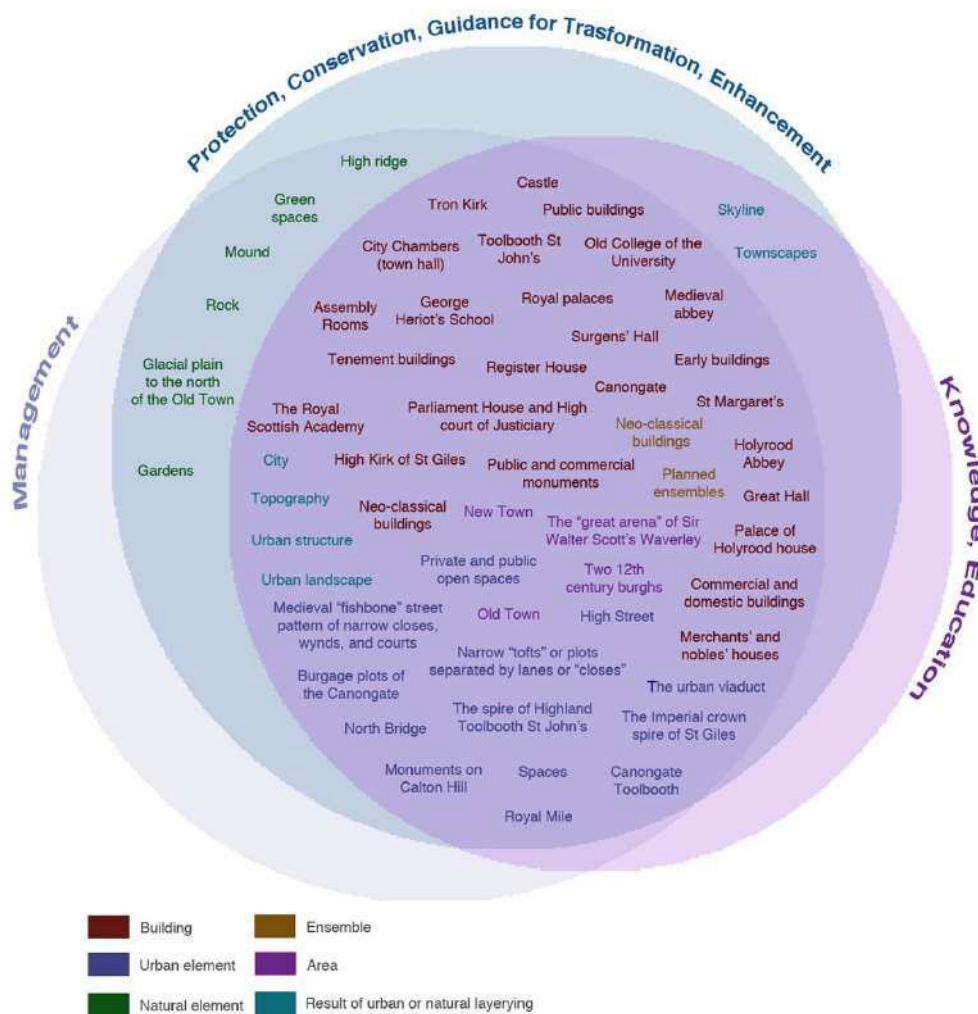


Figure 76: Policy measures (protection, guidance for transformation, management, enhancement and education) envisaged by the selected urban management policies for each Edinburgh's WH tangible attribute. The different colours of WH attributes identify

²⁶⁷ Measures for the guidance of transformation of intangible attributes (relation to context) are provided by the *Local Development Plan*.

the diversity of the attribute categories in accordance with the taxonomy developed by Veldpaus (Veldpaus, 2015: 55-76).²⁶⁸

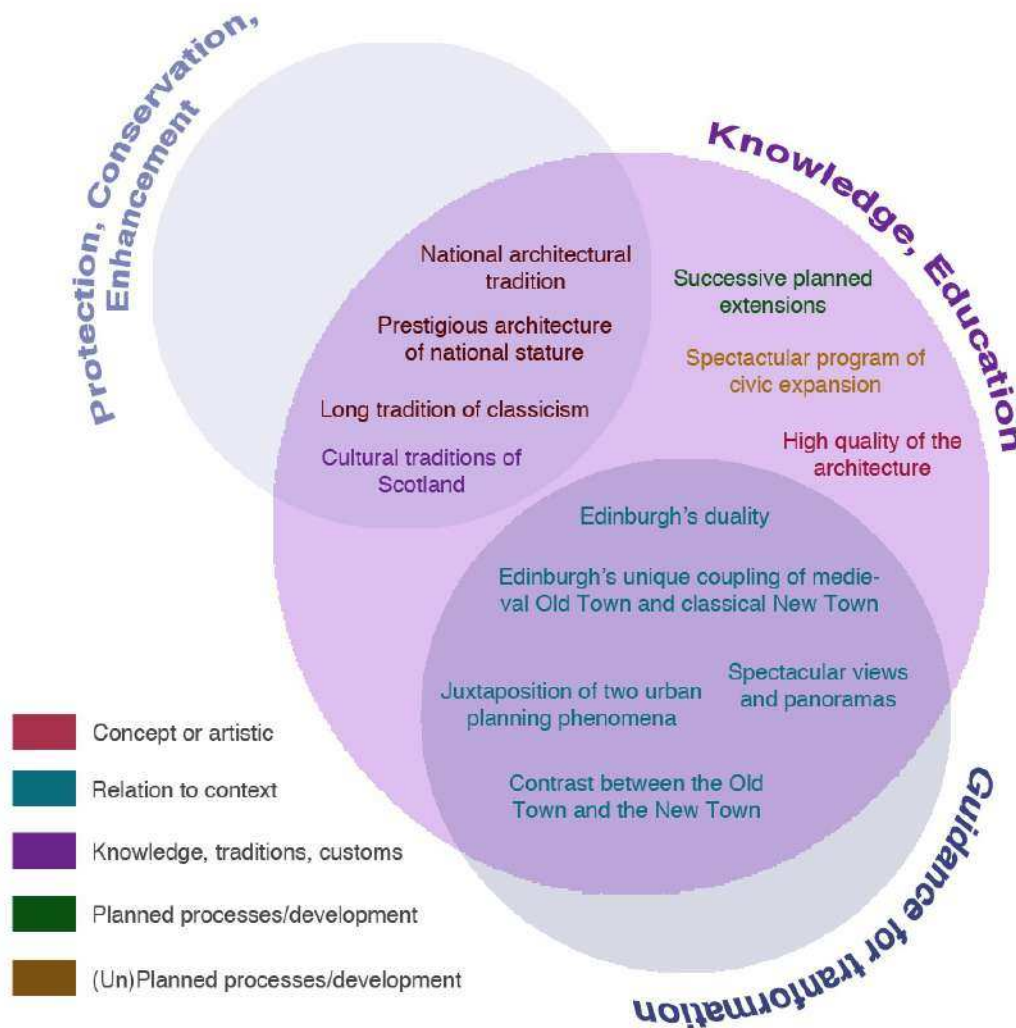


Figure 77: Policy measures (protection, conservation, guidance for transformation, management, enhancement and knowledge/education) envisaged by the selected urban management policies for each Edinburgh's WH intangible attribute. The different colours

²⁶⁸ For more information please see *Section 3.5.2* "Additional Information in the Relation to the World Heritage Properties". See also *Annex 8* "Identification of World Heritage's Attributes and Values of the Historic Centre of Florence", *Annex 9* "Identification of World Heritage's Attributes and Values of the Medici's Villas and Gardens in Tuscany" and *Annex 10* "Identification of World Heritage's Attributes and Values of the Old and New Town of Edinburgh".

of WH attributes identify the attribute categories classified in accordance with the taxonomy developed by Veldpaus (*ibid.*).²⁶⁹

Nevertheless, in line with the results of Florence's case study, discrepancies exist between the values associated with actions envisaged by the selected urban management policies and those related to the same WH attributes in their nomination documents. Table 19 and Table 20 allows for a clear identification of these incongruities. The assessed urban management policies provide measures which are mostly associated with World Heritage's aesthetic, historic, social, ecological and economic values. Therefore, they exclude World Heritage's age, scientific and political values, which contribute to the definition of the Old and New Towns of Edinburgh's OUV. Nevertheless, the *WH Management Plan* is the only urban management policy that provides measures and actions for all WH attributes (tangible and intangible), which aim to safeguard the overall OUV of the WH property over time (Edinburgh World Heritage *et al.*, 2011: xiii).

²⁶⁹ *Ibid.*

Table 19: Identification of the values associated with Edinburgh’s WH tangible attributes as identified in their nomination documents (tick symbol) and those associated with the measures provided by each urban management policy in relation to the protection, management and conservation of the same attributes (dark blue). The number in brackets associated with each attribute identifies the year of its related nomination document.

		Aesthetic	Age	Historic	Scientific	Social	Ecological	Political	Economic	Overall OUV	Related intangible attribute category
Building	Tangible attributes										
	Castle (1994, 2013)			√			√		√		- Relation to context - Character
	Royal palaces (1994)			√				√			- Relation to context
	Medieval abbey (1994)	√		√							- Concept, artistic trend
	Early buildings (1994)		√								
	Tenements (1994)		√		√	√					- Character
	St Margaret’s Chapel (1994)			√							
	Great Hall (1994)			√							
	Holyrood Abbey (1994, 2013)			√		√			√		- Use, function - Relation to context
	Palace of Holyrood house (1994, 2013)			√			√	√			- Relation to context
	Parliament House and High court of Justiciary (1994)	√		√				√			
	City Chambers (town hall) (1994)			√	√						
	George Heriot’s School (1994)			√							
	Surgeons’ Hall (1994)			√							
	Old College of the University (1994)			√							
	Toolbooth St John’s Church (1994)			√				√			- Relation to context
	High Kirk of St Giles (1994)			√							
	Tron Kirk (1994)			√					√		
	Canongate Church (1994)			√							
	Commercial and domestic buildings (1994)			√ -					√		
Public buildings (1994)			√ -		√			√ -			- Use, function

		Aesthetic	Age	Historic	Scientific	Social	Ecological	Political	Economic	Overall OUV	Related intangible attribute category
		Tangible attributes									
Building	Register House (1994)			√ -				√ -			- Use, function
	The Royal Scottish Academy (1994)			√ -				√ -			- Use, function
	Assembly Rooms (1994)			√ -				√ -			- Use, function
	Tenement buildings (2013)			√ -	√			-			- Relation to context - Character
	Merchants' and nobles' houses (mansion house of Gladstone's Land) (2013)			√ -	-	√		√ -			
	Public and commercial monuments (2013)	√		√ -	-	√ -		√ -			- Concept, artistic trend - Use/function - Knowledge, traditions, customs
Urban element	The spire of Highland Tollbooth St John's (1994)	√		√							
	The Imperial crown spire of St Giles (1994)					√		√			
	Neo-classical buildings (1994)	√			√		√				- Concept, artistic trend
	Royal Mile (1994)										- Relation to context
	Canongate Toolbooth (1994)	√		√							- Character
	Monuments on Calton Hill (1994)			√			√				- Relation to context
	Spaces (1995)										
	The urban viaduct (2013)						√				- Relation to context
	North Bridge (2013)						√	-			- Relation to context
	Burgage plots of the Canongate (2013)					√		-			- Relation to context
	Narrow "tofts" or plots separated by lanes or "closes" (2013)								-		- Relation to context - Character
	Medieval "fishbone" street pattern of narrow closes, wynds, and courts (2013)			√ -					-		- Relation to context - Character

		Aesthetic	Age	Historic	Scientific	Social	Ecological	Political	Economic	Overall OUV	Related intangible attribute category
		Tangible attributes									
Urban element	High Street (2013)			-		-	√ -	-			- Relation to context - Character
	Private and public open spaces (2013)			-		-	√ -	-			- Relation to context
	Public and commercial monuments (2013)	√		√ -		√ -	-	√ -			- Concept, artistic trend - Use/function - Knowledge, traditions, customs
Natural element	High ridge (1994)						√				- Relation to context
	Mound (2013)						√				- Relation to context
	Rock (2013)						√				- Relation to context
	Glacial plain to the north of the Old Town (2013)						√				
	Gardens (2013)						√				- Relation to context
	Green spaces (2013)						√ -				- Relation to context
Ensemble	Neo-classical buildings (1994)	√			√		√				- Concept, artistic trend - Character
	Planned ensembles (2013)	√ -		√	√ -		√ -				- Planned Processes/Development - Character
Area	Old Town (1994, 1995, 2013)		√	√	√		√				- Concept, artistic trend (1994) - Relation to context - Character (1995) - Unplanned processes/evolution (1995)
	New Town (1994, 1995, 2013)	√	√ -	√	√ -	√	√ -				- Concept, artistic trend - Relation to context - Character - Knowledge, traditions, customs (1994) - Planned processes/Development
	Two 12th century burghs	-	-	√	√ -		√ -				- Planned processes/Development - Relation to context
	The "great arena" of Sir Walter Scott's Waverley Valley	-	-	-	-		√ -				- Relation to context

		Tangible attributes									Related intangible attribute category
		Aesthetic	Age	Historic	Scientific	Social	Ecological	Political	Economic	Overall OUV	
<i>Result of urban or natural layering</i>	City (1994, 1995)	√	√	√	√	√					- Planned processes/Development (1995) - Knowledge, Tradition, Customs - Use, Function - Relation to Meaning, Association
	Urban structure (2013)										
	Townscapes (2013)	√		√			√				- Relation to context
	Skyline (1994, 2013)	-		-			√				
	Urban Landscape (2013)						√				- Relation to context
	Topography (2013)						√				- Relation to context

Table 20: Identification of the values associated with Edinburgh’s WH intangible attributes as identified in their nomination documents (tick symbol) and those associated with the measures provided by each urban management policy in relation to the protection, management and conservation of the same attributes (dark blue). The number in brackets associated with each attribute identifies the year of its related nomination document.

Intangible attributes		Aesthetic	Age	Historic	Scientific	Social	Ecological	Political	Economic	Overall OUV	Related tangible attribute category
<i>Concept or artistic trend</i>	National architectural tradition (1994)	√						√			
	Prestigious architecture of national stature (1994)										- Relation to meaning, association
	Long tradition of classicism (1994)	√			√	√		√			- Knowledge, traditions, customs
	High quality of the architecture (2013)	√ -			√ -	-		-			- Concept, artistic trend - Knowledge, traditions, customs
<i>Relation to context</i>	Edinburgh's duality (1994)						√				
	Edinburgh's unique coupling of medieval Old Town and classical New Town (1995)					√	√ -				- Character
	Juxtaposition of two urban planning phenomena					-	-				
	Spectacular views and panoramas (2013)							-			
	Contrast between the Old Town and the New town (2013)				√		√ -				- Character
<i>Knowledge, traditions, custom</i>	Cultural traditions of Scotland (1994)					√		√			- Relation to Meaning, Association
<i>Planned processes/development</i>	Successive planned extensions (2013)	√			√						- Concept, artistic trend - Knowledge, traditions, customs
<i>(Un)Planned processes/development</i>	Spectacular programme of civic expansion (1994)							√			

7.1.2 Discussing the Results

The assessment results demonstrate that both Florence's and Edinburgh's urban management policies provide measures for the protection, conservation, enhancement, management and guidance for transformation of all WH tangible attributes. Moreover, they also provide measures for WH intangible attributes. All the measures provided by Florence's and Edinburgh's urban management policies should therefore guarantee an adequate safeguarding of the OUV of the two WH properties as well as their state of integrity and authenticity. However, the results outlined that, in both cases, some discrepancies exist between the values associated with the measures envisaged by the selected urban management policies for each WH attribute and those associated with the same WH attributes in their nomination documents. Moreover, in the case of Edinburgh the values that are associated with the measures defined by the assessed urban management policies are, in the majority of cases (six out of eight policies), not clearly stated by the urban management policies themselves and only implicitly associated.

The discrepancies that exist between the measures provided by urban management policies and the values identified in the nomination documents reflect the Italian and UK approaches to WH protection, safeguarding, management and enhancement. When the WH properties of Florence and Edinburgh were inscribed in the World Heritage List (WHL), the two countries already had a long tradition of urban heritage conservation and management as well as a consolidated regulatory system in place.²⁷⁰ For this reason, there is no designated existing legal framework in either country for the recognition, protection, conservation, management and enhancement of WH attributes and values. The measures provided for WH attributes and values are included in the more general prescriptions related to cultural and natural heritage assets in general. Specific protection measures exist for listed buildings, conservation areas and listed-landscape areas. Moreover, in Italy the *Code of Cultural and Landscape Heritage* includes historic centres and their surroundings as landscape heritage to be protected and safeguarded over time. Conversely, Participant 5b underlines how in the UK there is “no national designation for historic areas or cities nor national recommendation or guidelines for managing historic cities (...)

²⁷⁰ See *Chapter 1* “Urban Heritage Conservation in the 20th Century: Approaches in Italy and in the UK and Evolution of an International Doctrine”.

which is a fundamental gap in the way that the UK runs things” (Participant 5b, 23/11/2016).

Participant 1a also highlights that Florence’s WH property was not even mentioned in any urban management policies until the beginning of the 21st century, despite its inscription in the WHL in 1982 (Participant 1a, 07/06/2016).²⁷¹ The only legislative document specifically designated for WH properties is the Italian *Law 77/2006* called “*Special Measures for the Protection and the Fruition of Italian Cultural, Landscape and Natural Sites Inscribed in the WHL, under the Protection of UNESCO*”. This establishes the compulsory adoption of management plans for the Italian WH properties and provides financial measures for their development (MIBACT, 2006). In fact, today the only two documents specifically designed for the management of Florence’s and Edinburgh’s OUV are two WH management plans. They certainly constitute a step forward in the safeguarding of WH properties over time, as they are neutral and interdisciplinary tools which consider the WH properties’ OUV in a comprehensive manner (Participant 1a, 07/06/2016).²⁷² However, they have been used mainly as coordination tools between other policies, projects and actions so far. The two management plans have no force of law, remaining only soft and non-binding tools in relation to other existing urban management policies, such as local urban planning and regulatory tools.²⁷³

Participant 1b asserts that the OUV is an artificial concept “and not real thing we had in the historic city before having WH status” (Participant 1b, 21/11/2016). This is why it is still so difficult to get it fully integrated in urban management policies, causing fragmentation in the overall safeguarding of the OUV of the two WH properties over time. Moreover, he/she added that “considering the OUV is quite helpful because it is a useful marker” able to cross boundaries within existing fixed heritage categories and looking at heritage in a more comprehensive manner (*ibid.*). However, the understanding of OUV and the attributes and values that convey it is subordinated to a subjective interpretation of it by local site

²⁷¹ The original sentence is: “*non c'era nessuna strumentazione sviluppata dal 1982 al 2000 che citasse mai una volta che Firenze era patrimonio dell'UNESCO. Mai (...) Quindi vuol dire che qualche progresso si è fatto ed è stato dovuto a noi, al piano di gestione, alle cose fatte, agli incontri. È sufficiente? No*”.

²⁷² The original sentence is: “*i punti di forza del piano di gestione è che un po' si libera dei concetti disciplinari (...) ed è uno strumento trasversale, semplice nei contenuti*”.

²⁷³ See *Chapter 5* “Assessing Local Urban Management Policies: Results of Case Study 1 (Florence, Italy)” and *Chapter 6* “Assessing Local Urban Management Policies: Results of Case Study 2 (Edinburgh, UK)”.

managers (*ibid.*).²⁷⁴ Moreover, Participant 4b and Participant 1b underline how it is often difficult to understand what OUV means, not only for WH site managers, but also for experts, local authorities, politicians and developers (Participant 4b, 25/11/2016; Participant 1b, 21/12/2016). This makes the OUV's safeguarding subject to interpretation and a real challenge.

7.2 Comparing Urban Management Systems in Different Cities

This section compares the assessment results of Florence's and Edinburgh's policies in integrating the key principles of the new paradigm for urban heritage conservation and management, which were discussed in *Chapter 5* and *Chapter 6*. It enables an understanding of the current state of these policies in integrating a 21st century international approach. This information recognise how to improve existing policies toward a better balance between urban heritage conservation and development in historic urban environments (Bennik *et al.*, 2013; Veldpaus *et al.*, 2013: 15; Pereira Roders and Veldpaus, 2013; World Heritage Centre, 2013; Tanguay *et al.*, 2014: 19; Bandarin and Van Oers, 2015; Veldpaus, 2015).

The following sections present a comparison of Florence's and Edinburgh's approaches to urban heritage conservation, management and development. The comparison between these different contexts, based on distinct approaches to the management of historic urban environments, shows how current management policies work in different settings, enabling the development of robust explanations of similarities or differences (Hantrais and Mangen, 2007). It provides additional knowledge for filling the gap identified in existing literature, therefore enhancing the theoretical understanding (Van Oers and Pereira Roders, 2014: 127; Veldpaus, 2015: 151).²⁷⁵ The following sections present diagrams which compare the obtained results testing the assessment framework on Florence's and Edinburgh's urban management policies. Moreover, they compare the strengths and weaknesses of the assessed urban management policies in relation to the four sections of the assessment framework, which are illustrated in Table 21, Table 22, Table 23 and Table 24.²⁷⁶ The results of the comparison are

²⁷⁴ The original sentence is: "our understanding of what OUV is, what it means and thinking about breaking it into attributes, tangible and intangible, becomes then our interpretation as managers of the site".

²⁷⁵ See *Section 2.5* "Identifying a Gap in the Existing Literature".

²⁷⁶ See *Section 3.2.2* "Phase 2: Definition of an Original Policy Assessment Framework".

critically discussed in *Section 7.3*, which include additional data collected with stakeholders involved in the definition and implementation of these policies.

7.2.1 Comprehensiveness of the Urban Heritage

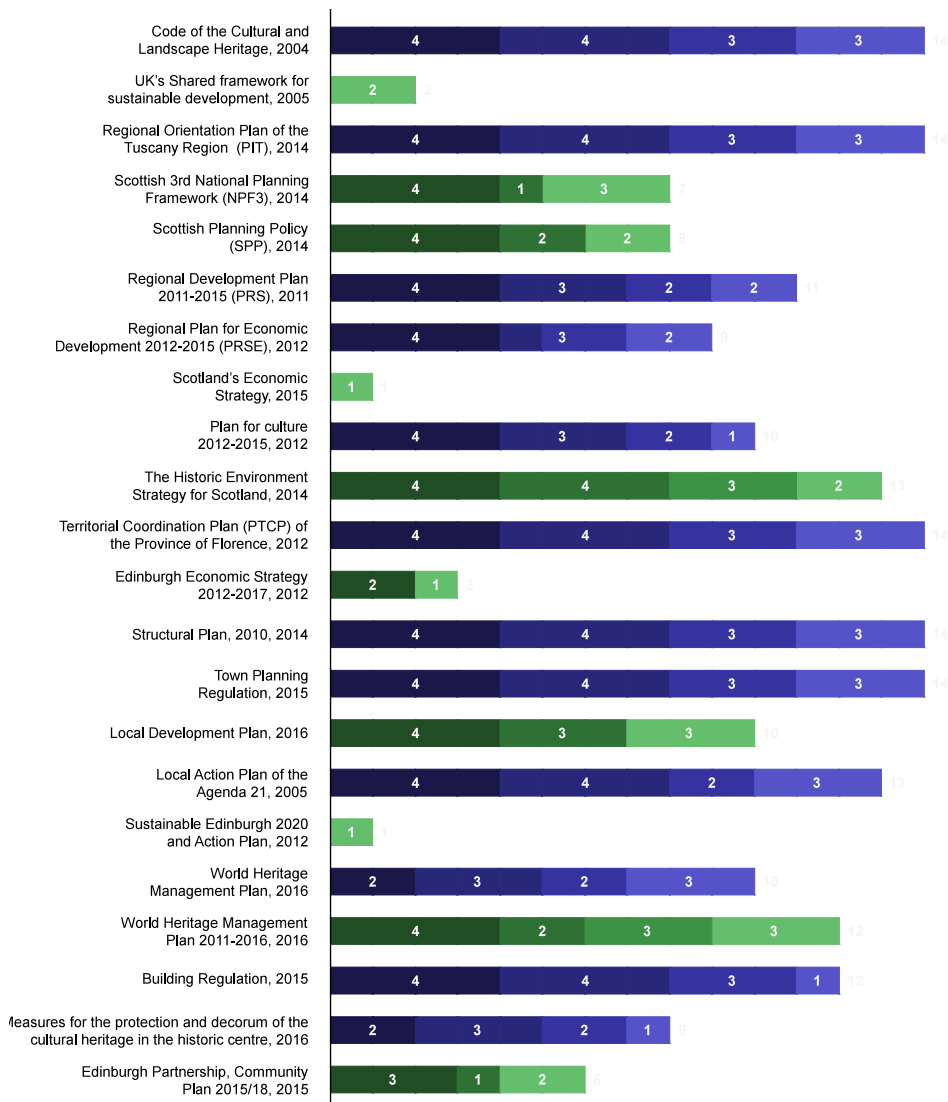
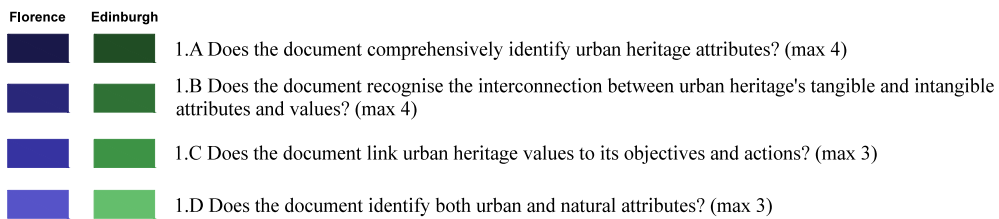


Table 21: Identification of the strengths and weaknesses of Florence's and Edinburgh's urban management systems in integrating the key principles of the 21st century international approach to urban heritage conservation, management and development (Comprehensiveness of the Urban Heritage).

COMPREHENSIVENESS OF THE URBAN HERITAGE		
	FLORENCE	EDINBURGH
STRENGTHS	<ul style="list-style-type: none"> - Urban heritage attributes are identified in the whole city and its surrounding landscape and are object of specific policy measures - Historic centres are recognised as “urban landscape” by national legislation and regional planning tools - Urban heritage attributes and values are recognised at different urban management levels in accordance to their territorial scale, providing a “zooming effect” from regional to building scale - Policy measures exist for all WH attributes - The interconnection between urban heritage tangible and intangible attributes and values is recognised in the majority of documents - Specific policy measures exist for protecting, conserving, managing and enhancing urban heritage values (especially in the case of <i>PIT</i>) - Urban heritage is included in the measures defined in regional development plans - The majority of documents recognise both urban and natural attributes as well as their interconnections, and provide specific measures for both of them - Specific measures exist for intangible assets (urban image, traditional commercial activities) - Urban management policies provide a detailed framework for the recognition of urban heritage attributes and values as well as their on-going dynamics of change 	<ul style="list-style-type: none"> - Urban heritage attributes are identified in the whole city and its surrounding landscape and are object of specific policy measures - The <i>LDP</i> comprehensively identifies urban heritage and natural attributes in the whole city and in its surrounding landscape and replaces the two old local plans (the <i>Edinburgh City Local Plan</i> and <i>Rural West Edinburgh Local Plan</i>), providing a more comprehensive planning tool in terms of territorial extension - The interconnection between urban heritage tangible and intangible attributes (cultural identity, well-being and economic opportunity) and values is recognised in the majority of documents - The <i>Historic Environment Strategy for Scotland</i> comprehensively identifies urban heritage attributes both in terms of territorial extension and tangible (objects, structures, landscapes and features) and intangible (people association with place, traditions, identity) attributes - The <i>WH Management Plan</i> and the <i>Historic Environment Strategy for Scotland</i> explicitly recognise urban heritage values and link them to their policy actions - The majority of documents identify both natural and urban heritage attributes and three of them also recognise their interconnections, providing measures for both of them - Policy measures exist for all WH attributes (tangible and intangible), including the existing relationship between the WH property and its surrounding context (views and panoramas, relationship between Old and New towns) as well as culture and traditions of Scotland
WEAKNESSES	<ul style="list-style-type: none"> - Additional protective measures for the safeguarding of the urban image and traditional commercial activities are provided only for the historic centre - World Heritage and urban heritage intangible attributes are undervalued by urban management policy measures, which mostly focus on tangible attributes - The recognition of historic centres as landscape is associated only with aesthetical and ecological (visual relationships) values - Regional development plans provide very few measures for urban heritage attributes, whose importance as a driver for sustainable development is poorly recognised - Discrepancies exist between the values associated with WH attributes as identified in their nomination documents and those associated with the measures provided by urban management policies for the same attributes - Policy measures mainly focus on aesthetic, historic and ecological values, underestimating the importance of economic and social values - The knowledge frameworks of different policies use a different vocabulary and identify diverse attributes and values at different scales: this creates confusion in the terminology used and in a shared recognition of urban heritage attributes and values 	<ul style="list-style-type: none"> - The <i>UK's Shared Framework for Sustainable Development</i> do not identify any urban heritage attribute for promoting sustainable development, giving relevance only to the natural environment - The actions proposed for natural attributes are mostly related to energy efficiency and low-carbon measures - Only two documents recognise urban heritage values and link them to their policy measures - Urban management policies mostly focus on tangible rather than intangible attributes - Values associated to urban management policy measures are implicitly recognised for the majority and are not clearly stated - WH and urban heritage intangible attributes are undervalued by urban management policy measures, which mostly focus on tangible attributes - Specific policy measures do not exist for the protection, conservation, management and enhancement of urban heritage values - The measures provided for WH attributes are mostly associated with aesthetic, historic, social, ecological and economic values, undervaluing the importance of age, scientific and political values - Discrepancies exist between the values associated with WH attributes as identified in their nomination documents and those associated with the measures provided by urban management policies for the same attributes - Urban heritage is not included in development plans' actions - Urban management plans do not properly account for urban heritage attributes and values nor the

7.2.2 Management of Change

Florence	Edinburgh	
		2.A Are general dynamics of change (structural, social, functional) identified? (max 2)
		2.B Does the document recognise the dynamic and evolutionary component of heritage (attributes and values)? (max 2)
		2.C Are pressures and factors affecting the urban heritage identified? (max 2)
		2.D Are limits of acceptable change for urban heritage identified and regulated? (max 2)

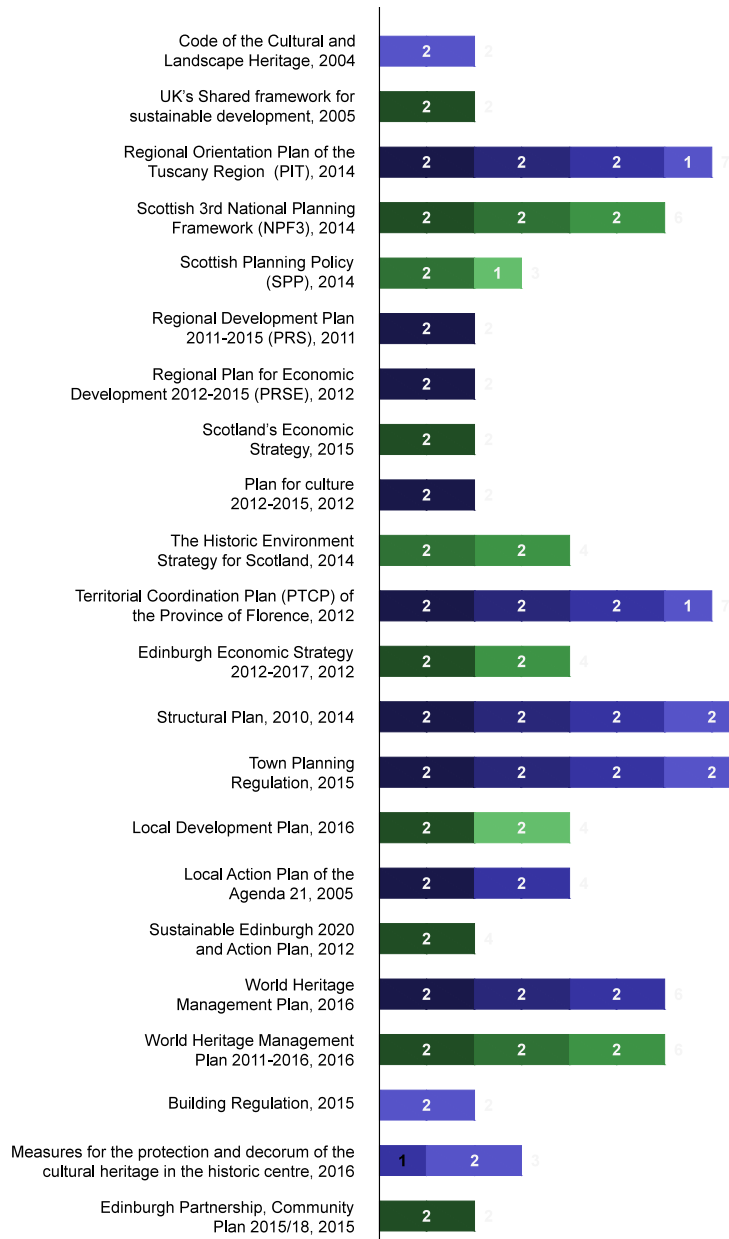


Table 22: Identification of the strengths and weaknesses of Florence's and Edinburgh's urban management systems in integrating the key principles of the 21st century international approach to urban heritage conservation, management and development (Management of Change).

		MANAGEMENT OF CHANGE	
		FLORENCE	EDINBURGH
STRENGTHS		<ul style="list-style-type: none"> - Additional protective and regulatory measures exist for the historic centre/WH property - General dynamics of change (structural, social, functional) are identified and taken into consideration in policy measures - The majority of documents provide a “knowledge framework” that describes the on-going transformation dynamics with different territorial perspectives and insights - The dynamic and evolutionary component of the urban heritage as well as the factors and pressures affecting the properties are recognised and were used for the definition of the policies’ actions - The historic centre of Florence is recognised as a living entity - Different degrees of protection and transformation (limits of acceptable change) exist for urban heritage attributes and values with similar features - The historic centre is the area with the highest degree of regulation, which aim to preserve its aesthetic, historic and ecological values - Protection exists for listed building and landscape areas - The Superintendence and the local Landscape Commission authorise interventions on listed buildings and landscape areas - Specific measures exist for the protection of the entire urban landscape and are integrated into local urban planning tools (18 viewpoints used for the creation of the <i>buffer zone</i>) - Urban regeneration, requalification and transformation of existing urban and territorial heritage are encouraged to prevent soil consumption (“zero volumes” approach) - The <i>PIT</i> promotes a landscape-approach toward urban heritage conservation, management and development - Regulatory measures exist also for intangible aspects of the historic centre (urban image and decorum, traditional historic shops, products and restaurants) 	<ul style="list-style-type: none"> - General dynamics of change (structural, social, functional) are identified and taken into consideration in the majority of policy measures - The dynamic and evolutionary component of the urban heritage as well as the factors and pressures affecting the properties are recognised and were used for the definition of policy measures - Edinburgh's historic centre is recognised as a living entity - Urban management policies promote a “flexible” approach that aims to manage change in the historic environment in order to achieve a proper balance between economic growth, the safeguarding of cultural and natural heritage and the promotion of Edinburgh as an attractive place for residence - National legislation provides protective measures for ancient monuments, listed buildings and conservation areas (regulated by monument consent, listed building consent and planning permission) - Limits of acceptable change are defined and regulated by the <i>SPP</i> and the <i>LDP</i> - Different degrees of protection and transformation (limits of acceptable change) exist for urban heritage attributes and values with similar features - Edinburgh's historic centre is the urban area with the highest degree of admitted change, allowing for the city to remain attractive to residents, businesses, and tourists. - There is a presumption in favour of development over regulation, which allows the city to evolve over time and for the construction of contemporary architecture in the historic urban environment - Planning permission for new developments in historic urban environments is granted only if they are designed after a clear understanding of the place and if they respect the urban character, identity, setting and other key features of the urban heritage - Development can be made only if developers prove that they will promote a positive change and enhance the distinctive character of the landscape - Specific regulation exists for the protection of WH properties
		<ul style="list-style-type: none"> - Different “knowledge frameworks” recognise dissimilar kind of urban heritage attributes, which are also described or grouped in different ways - Different documents identify dissimilar pressures affecting the urban heritage and do not always provide ad-hoc measures to face all of them - The construction of new building volumes and contemporary architectures are discouraged - The <i>PIT</i> only provides policy directions, which must be incorporated into urban planning and sectorial tools for their effective implementation - The regulatory measures provided by urban planning tools are very restrictive and limit the contemporary design of architectural interventions - Protection measures are envisaged essentially according to aesthetic, historic and ecological values (economic and social values are undervalued) - Policy measures mainly focus on the regulation of change of the urban physical structure rather than of public space - Guidance for transformation for the whole of Florence's historic urban landscape is only provided through the protection of 18 view points and visual axes, not considering other elements of the urban landscape (e.g. socio-economic features, intangible relationships) - Measures for the protection of the urban image and decorum, and the historic-architectural identity of the city represented by traditional historic shops, products and restaurants are very restrictive in allowing transformation and opposed to liberalisation processes (they focus on aesthetic, historic and social values more than economic values) 	<ul style="list-style-type: none"> - The <i>SPP</i> and the <i>Historic Environment Strategy</i> do not recognise general dynamics of change - None of the documents analysed present a detailed “knowledge framework” of urban heritage attributes and values considered and they provide very concise information about current transformations - Not all urban management policies identify urban heritage attributes, nor recognise their dynamic components as well as the pressures that are affecting them - Identified pressures focus only on climate change issues, on socio-economic constraints and on small changes to the urban fabric - The definition of appropriate measures for managing change is delegated only to the planning system and to specific planning policy guidance notes - Edinburgh's historic centre is the urban area with the highest degree of admitted change, attracting investments and development projects that may damage the urban integrity (setting, skyline, vistas, character, etc.) of Edinburgh's urban heritage - There is a presumption in favour of development more than on regulation, focusing mostly on economic and social values rather than on aesthetic, historic and ecological values - Listed building can be demolished under exceptional circumstances - Buildings can be demolished in conservation areas under exceptional circumstances
WEAKNESSES			

7.2.3 Integration between Policies, Sectors and Actors

Florence	Edinburgh	
		3.A Is the document integrated to other plans and/or tools involved in urban management? (max 3)
		3.B Are different urban management sectors involved in the definition of document's objectives and actions? (max 2)
		3.C Does the document envisage cooperation between different levels of stakeholders in the implementation of its objectives and actions? (max 3)
		3.D Does the document envisage cooperation and partnership between private and public actors in the implementation of its objectives and actions? (max 2)
		3.E Does the document provide any specific objective and/or action related to the World Heritage property(ies)? (max 2)

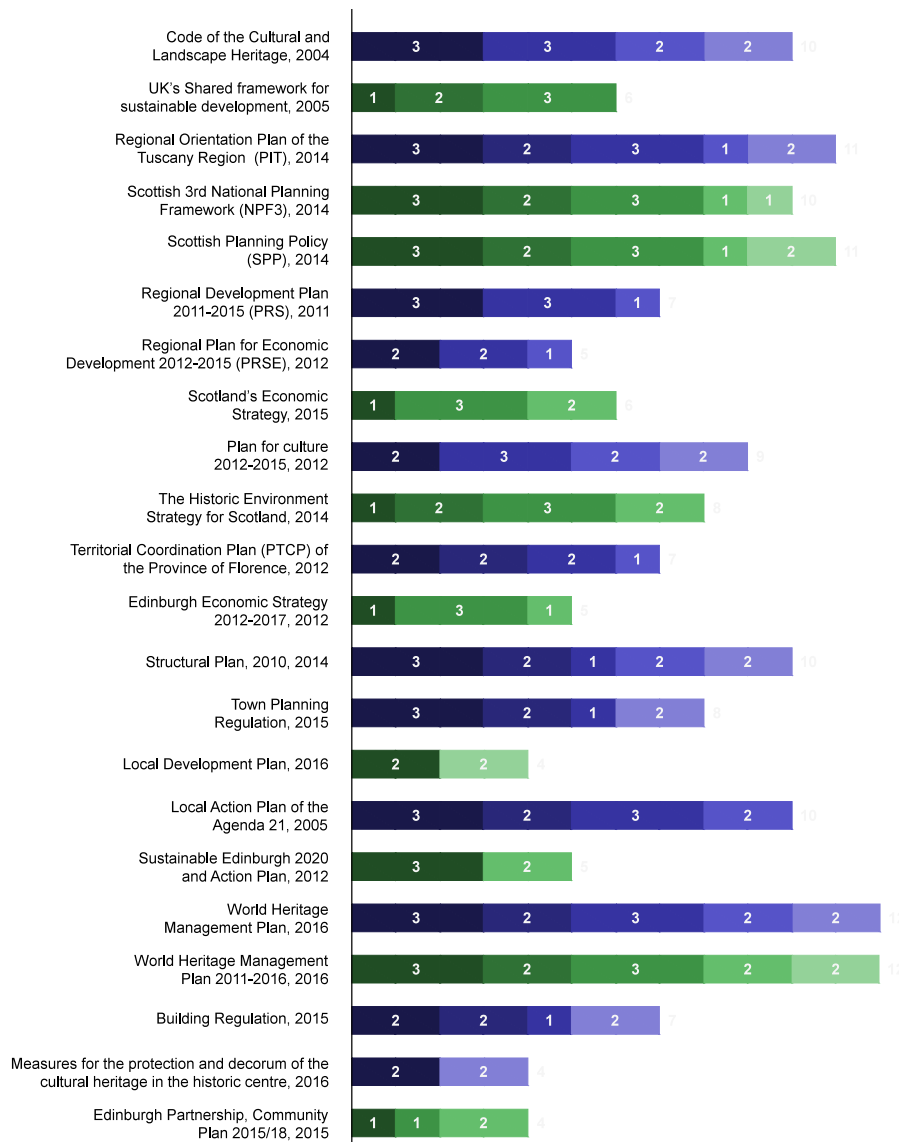


Table 23: Identification of the strengths and weaknesses of Florence's and Edinburgh's urban management systems in integrating the key principles of the 21st century international approach to urban heritage conservation, management and development (Integration between policies, sectors and actors).

INTEGRATION BETWEEN POLICIES, SECTORS AND ACTORS		
	FLORENCE	EDINBURGH
STRENGTHS	<ul style="list-style-type: none"> - The majority of urban management policies are integrated with the other assessed strategies and there are specific mechanisms in place for integration - The mechanisms for integration and for multi-level collaborations are established by regional legislation - A high level of integration exists between territorial and regional planning, defining a coherent regional planning strategy for heritage conservation, urban planning and socio-economic development - The most recent <i>PIT</i> integrated the former orientation plan and the landscape plan in one single document - The <i>WH Management Plan</i> and the <i>Local Plan of the Agenda 21</i> are the most integrated urban management policies as they work as coordination tool between different projects, involving a broad range of sectors and disciplines - All levels of administrations (regional, provincial and local) collaborate in a synergic way in territorial government - Cooperation between public and private actors is encouraged as well as the establishment of official partnerships - The majority of documents identify the presence of WH properties and provide specific measures to address them 	<ul style="list-style-type: none"> - The principles and delivery actions established in the <i>SPP</i>, together with those stated in the <i>NPF3</i>, must be applied at national, strategic and local levels of the Scottish planning system to deliver the Scottish Government vision and outcomes for Scotland - Effective integration between land use planning and community planning is promoted by the <i>SPP</i> - The <i>WH Management Plan</i> encourages cooperation between all levels involved in the management of Edinburgh's urban heritage (from international to WH site), and in the implementation of its actions, which were defined through an ad-hoc partnership between Edinburgh World Heritage (independent charity), Historic Scotland (executive agency of the Scottish Government) and the City of Edinburgh Council (administrative body) - Cooperation between different levels of stakeholders and of public and private actors is encouraged as well as the establishment of official partnerships - Cooperation between all levels of government in Scotland and with the public sector, the third sector, trade unions, businesses and communities, universities and colleges is encouraged
WEAKNESSES	<ul style="list-style-type: none"> - The presence of overlapping urban and territorial planning documents complicates the understanding of the urban and territorial resources - The <i>Structural Plan</i> and <i>Town Planning Regulation</i> have still not conformed to the most recent revision of the <i>PIT</i>, which is for the moment only an orientation document - While being very integrated documents, the <i>WH Management Plan</i> and the <i>Local Plan of the Agenda 21</i> are not prescriptive policies and their actions have limited "force" in the urban management system - Four urban management policies (especially the regional development plan <i>PRS</i> and <i>PRSE</i>) do not even mention the presence of WH properties, demonstrating the scarce role that they have in regional development strategies 	<ul style="list-style-type: none"> - The <i>Scotland's Economic Strategy</i>, the <i>Historic Environment Strategy for Scotland</i> and the <i>Edinburgh Partnership Community Plan 2015/2018</i> identify other policies involved in the urban management system, but they do not provide any specific mechanisms for integration, operating independently from other existing policies and tools - Specific mechanisms of integration as well as between public and private actors (also through specific partnerships) are envisaged by <i>Sustainable Edinburgh 2020</i> and related <i>Action Plan</i>, but they are not related to protection, conservation management and enhancement of Edinburgh's urban heritage - Only four documents identify the presence of WH properties and three of them provide specific measures to address them

7.2.4 Participation, Dialogue and Community Involvement

- | Florence | Edinburgh | |
|--|--|---|
| | | 4.A Does the document involve the participation of different levels of stakeholders in the definition of it objectives and actions? (max 3) |
| | | 4.B Are different kind f stakeholders involved in the definition of document's objectives and actions? (max 3) |
| | | 4.C Is the local community involved in the document's definition of objectives and actions? (max 3) |
| | | 4.D Is the local community involved in the definition of heritage values/attributes to be preserved and managed? (max 3) |

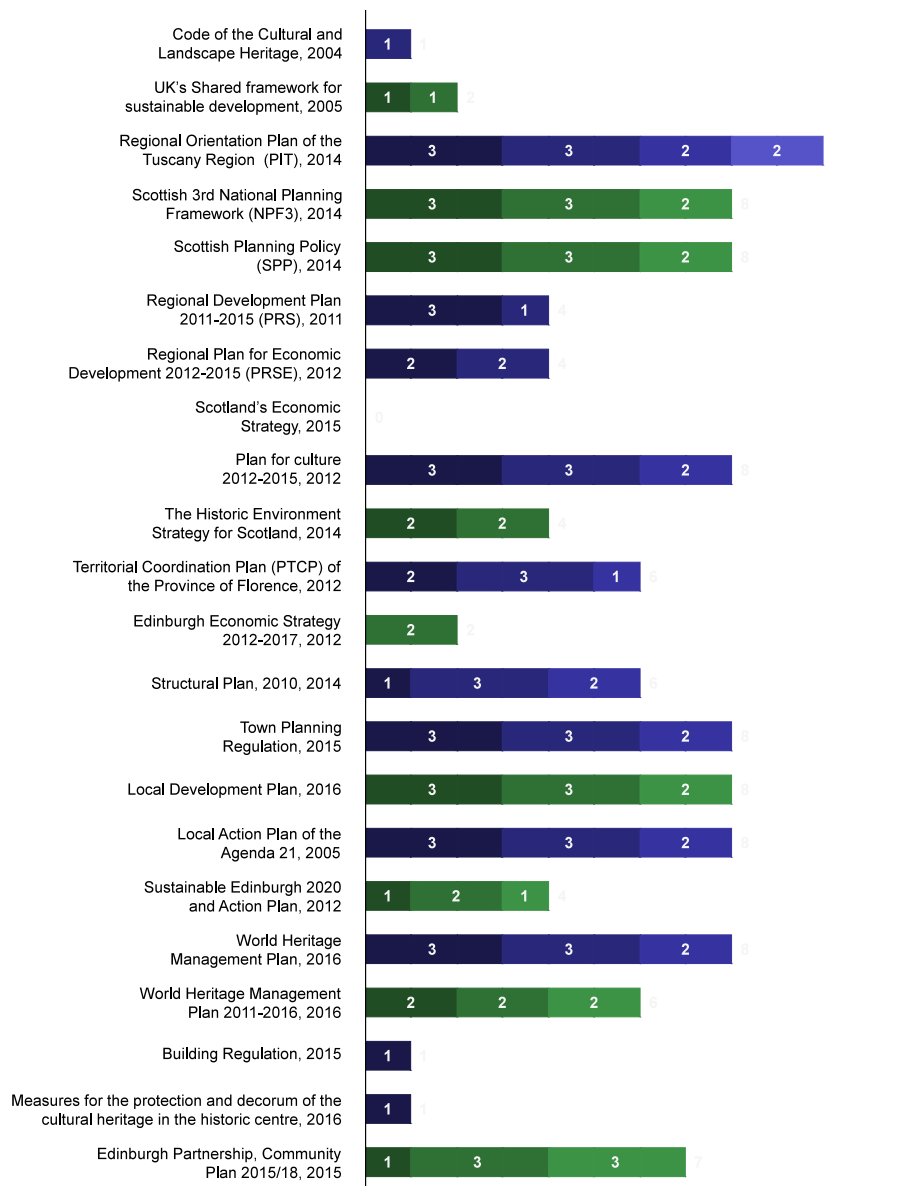


Table 24: Identification of the strengths and weaknesses of Florence's and Edinburgh's urban management systems in integrating the key principles of the 21st century international approach to urban heritage conservation, management and development (Participation, dialogue and community involvement).

PARTICIPATION, DIALOGUE AND COMMUNITY INVOLVEMENT		
	FLORENCE	EDINBURGH
STRENGTHS	<ul style="list-style-type: none"> - All stakeholders' levels (national, regional, provincial and local) as well as different kind of stakeholders (governmental, experts and local community) participate in the definition of urban management policies - The definition of objectives and actions of territorial tools, of the <i>Local Action Plan of Agenda 21</i> benefits from the dialogue between different administration levels - The definition of urban and territorial planning measures involved a participatory/consultation process with local stakeholders - The <i>WH Management Plan</i> involved the collaboration of all levels (from international to local), promoting a shared management of the WH property - The definition of the actions of the <i>WH Management Plan</i> included a participatory moment (<i>Maratona dell'Ascolto</i>) with the local community - During the elaboration of the <i>PIT</i>, the local community was involved in the definition of attributes and values 	<ul style="list-style-type: none"> - The active and effective promotion of participative systems of governance is encouraged in all level of society - All stakeholders' levels (national, regional, provincial and local) as well as different kinds of stakeholders (governmental, experts and local community) participate in the definition of urban management policies - The definition of urban and territorial planning measures involved a participatory/consultation process with local stakeholders - The <i>WH Management Plan</i> involved the collaboration of all levels (from international to local), promoting a shared management of the WH property - The local community was consulted in the definition of the actions of the <i>WH Management Plan</i>, which involved a consultation process with the people and organisations directly and indirectly involved with Edinburgh's urban heritage - The <i>Edinburgh Partnership Community Plan 2015/2018</i> involves local community in the decision-making process
WEAKNESSES	<ul style="list-style-type: none"> - Local urban planning tools are defined only with the collaboration of local stakeholders - The local community is not actively involved in taking final decisions about the actions and measures provided by the urban management policies - After consultation, not all contributions, suggestions and criticisms collected are included in the final decisions - Final decisions in the definition of urban management policy measures are taken by politicians and decision-makers in name of public interest - Regional development plans are defined only by politicians and policy makers - Local communities are only consulted and not primarily involved in decision-making in relation to urban heritage conservation, management and development - The local community was involved only in the definition of the attributes and values of the <i>PIT</i> and participation was very scarce - The participatory moment (<i>Maratona dell'Ascolto</i>) with the local community for the definition of the <i>WH Management plan</i> measures was organised just before its final approval, being more a formality than an effective participatory process 	<ul style="list-style-type: none"> - Local urban planning tools are defined only with the collaboration of local stakeholders - Economic strategies are defined only by politicians and policy makers in collaboration with the private sectors - Local communities are only consulted and not primarily involved in decision-making in relation to urban heritage conservation, management and development - The local community was not involved in the definition of the attributes and values

7.3 Discussing Different Approaches to Urban Heritage Conservation, Management and Development

7.3.1 Identification of Urban Heritage Attributes and Values: Exhaustiveness vs Conciseness

Florence's and Edinburgh's WH attributes and values cannot be considered in isolation from their broader urban landscape in order to safeguard their OUV and their integrity and authenticity over time.²⁷⁷ Therefore, it is important to also take into consideration their setting, their relationship with the surrounding landscape (urban and natural), their particular urban character, social and cultural practices, economic processes and all the other elements that define their own identity. The assessment carried out on Florence's and Edinburgh's urban management policies show that, considered in their entirety, these documents take into consideration urban heritage attributes and values extended all over the whole city and in their surrounding landscape. In terms of territorial extension, they are consistent with the contemporary international approach as they take into consideration not only the WH properties, but the whole historic urban landscape into their urban management policies (UNESCO, 2005d; UNESCO, 2011b; ICOMOS, 2011b).

In the case of Florence, urban heritage conservation extends to the whole of the Tuscan landscape, with a first attempt to apply a landscape approach to urban heritage conservation and management made with the adoption of the *Regional Plan of the Tuscany Region (PIT)*. In the case of Edinburgh, it is possible to see a more integrated approach to the guidance of transformation in the historic urban environment through the adoption of the *Local Development Plan (LDP)*, which replaces two plans (*Edinburgh City Local Plan* and *Rural West Edinburgh Local Plan*) that were previously separated. Furthermore, both urban management systems recognise urban and natural attributes as well as their interconnections and provide specific measures to address them. Furthermore, they recognise the interconnection between urban heritage's tangible and intangible attributes and values. Moreover, the results demonstrate that the urban management policies of both case studies generally recognise the urban dynamics of change as well as the pressures and factors affecting their historic urban landscapes. The recognition

²⁷⁷ See *Chapter 4* "Embracing the Past while Looking at the Future: Understanding Florence and Edinburgh's urban heritage".

and understanding of these on-going processes constitute a fundamental basis for the definition of specific policy's actions in order to properly cope with them. The dynamic and evolutionary component of the urban heritage is taken into consideration in all levels of the urban management policies involved. This is a prerequisite for the conservation of urban heritage over time and for the definition of limits of acceptable change in relation to the different kind of attributes involved. However, in the case of Edinburgh the identification of the urban dynamics of change and the pressures affecting the property mostly focused on the effects of climate change and on the financial constraints of the present socio-economic context. In Edinburgh, only the *WH Management Plan* recognises that small changes in the urban environment may damage the OUV of the WH property.

Nevertheless, Florence's and Edinburgh's urban management policies have very different approaches to the identification of urban heritage attributes and values, as well as in the recognition of the on-going dynamics of change and pressures affecting their urban heritage. *Chapter 5* illustrated how many layers of territorial and urban planning tools exist in Florence's urban management system, which are based on different 'knowledge frameworks'. These knowledge frameworks provide very detailed information about urban heritage attributes and values identified at different scales, as well as about current transformation dynamics and critical factors that are presently affecting or that may affect Florence's urban heritage in the future. However, according to Participant 2a, there are too many overlapping plans and different knowledge frameworks, each one using its own vocabulary for the definition of territorial and urban attributes. This complicates the understanding of the territory, and the various definitions are represented as bumbling and redundant by Participant 2a (Participant 2a, 21/07/2016).²⁷⁸ Participant 2a and Participant 13a underline how when looking at landscape, it is not possible to look at its single components (Participant 2a,

²⁷⁸ The original sentence is: "per quanto riguarda gli strumenti sovraordinati, diciamo sono troppi secondo me e soprattutto il territorio è uno (...) se affronti un tema lo devi affrontare a tutto tondo (...) il territorio è uno, la pericolosità idraulica non può essere diversa a seconda dell'ente (...) ora la Regione deve rifare il suo regolamento attuativo, sperando che parlino la stessa lingua, perché per un cittadino capire che le lingue sono differenti e che comunque nella differenza ci sono da rispettare tutte e due è una follia, è difficile pure per noi (...) Il territorio è uno, la problematica può essere affrontata da uno o anche più soggetti, ma deve essere affrontata da tutti nella stessa maniera (...) non è pensabile perché crea difficoltà oggettive di tipo gestionale, quindi da questo punto di vista mi piacerebbe molto che ci fosse un pensiero univoco in modo tale che poi noi che siamo sul territorio e ci interfacciamo con chi opera riuscissimo ad avere la vita più facile, perché ora è veramente difficile".

21/07/2016;²⁷⁹ Participant 13a, 02/11/2016²⁸⁰). Therefore, it is necessary to look at an overall synthesis of the landscape components. This synthesis would be able to comprehensively identify attributes and values as well as dynamics of change existing at different territorial scales (Participant 13a, 02/11/2016).²⁸¹ In this context, the creation of a homogeneous *Geographic Information System (GIS)* platform, which includes all this information at different scales, is considered “a dream of everybody’s” (Participant 12a, 02/11/2016). In this way, urban heritage attributes and on-going dynamics of change at different scales might be included into a single platform, which facilitates the data retrieval for urban managers and professionals.

From the other side, Edinburgh’s urban management policies provide very concise information related to the identification of these territorial and urban elements. In this way, they simplify the understanding of the urban management policies. Nevertheless, they poorly inform local managers, developers, architects and designers about the city’s urban heritage and its contemporary dynamics (Participant 1b, 21/11/2016). According to Participant 1b, in Britain practice and academia are often very separate but not involving the university in planning is a “huge weakness” and a “massive opportunity that is being missed”. For him/her this caused poor planning in Edinburgh (Participant 1b, 21/11/2016).²⁸² Therefore, there is a need to involve universities in consultation procedures, and in the process of developing urban management policies. Contrastingly, universities were involved in the design of territorial and urban planning tools in Florence. Moreover, the *buffer zone* was also the product of a collaborative project, which involved the UNESCO office in Florence and a research group at the University of Florence.

²⁷⁹ *Ibid.*

²⁸⁰ The original sentence is: “*in qualsiasi procedimento, quando hai da dire qualcosa devi parlare come paesaggio (...) quindi non è che puoi far valere o giocare solo la carta di una componente, devi giocare una carta che si chiama carta di sintesi. Per noi questo intervento, oppure questa previsione, ha delle criticità dal punto di vista paesaggistico perché le tiene insieme tutte*”.

²⁸¹ *Ibid.*

²⁸² The original sentence is: “in Britain practice and academia are often very separate and that is still the case certainly in city planning and local government (...) we also do not integrate the universities with our planning. We have five universities, [but] none of them inform how we planned the city as a whole (...) so if we have a right I would have academics coming to us to help shape their research proposals so we could use the outcomes of their students to inform how to plan the city (...) It is a massive opportunity that has been missed so we get poor planning in the city and you wonder why”.

7.3.2 Managing Change in Historic Urban Environments

A Material-Based Approach to Urban Heritage Conservation

The assessment illustrated that urban heritage values are (implicitly and explicitly) linked to policy's actions in only a few urban management policies in both case studies. This result demonstrates how Florence's and Edinburgh's urban management policies mostly focus on urban heritage attributes. Moreover, greater attention is given to the protection, conservation, management and enhancement of urban heritage tangible attributes rather than intangible attributes, demonstrating a very conventional and material-based approach to urban heritage conservation and management (Poulios, 2014). Therefore, both urban management systems show a very low level of consistency with the 21st century international approach, which suggests "value-based" strategies for urban conservation and management (Council of Europe, 2000; Avrami *et al.*, 2000; De La Torre, 2002; Mason, 2004; De La Torre *et al.*, 2005; Council of Europe, 2005; UNESCO, 2011b). The most outstanding exception among the urban management policies is the *Regional Orientation Plan of the Tuscany Region (PIT)*. Aiming to implement a landscape approach in the Tuscany region, it suggests a value-based approach for urban heritage conservation and management. However, it remains very generic in its directions, putting responsibility on local urban planning tools in the management of change in Florence's historic urban environment.

A Landscape Approach to Urban Heritage Conservation: With and Without a Buffer Zone

Chapter 4 underlined why it is necessary to consider Florence's and Edinburgh's entire historic urban landscapes and not only their WH properties in order to adequately safeguard their urban heritage over time. Therefore, there is a need to apply a landscape dimension to properly deal with contemporary pressures and factors affecting their urban heritage (Council of Europe, 2000; UNESCO, 2005d; UNESCO, 2011b; ICOMOS, 2011b). According to Participant 10a and Participant 2a, a landscape dimension to the conservation of urban heritage in Italy was only applied recently and was incorporated in UNESCO documentation in 2015 with the creation of the *buffer zone* (Participant 10a, 12/10/2016; Participant 2a, 21/07/2016). Moreover, the protection of a single monument isolated from its urban context is considered an old concept, as it is not possible to understand the value of the historic centre without considering its visual and historic-cultural relationships with its surrounding (Participant 9a, 13/10/2016).

Therefore, Florence's approach to urban heritage conservation and management has already incorporated the evolution of the 21st century international approach in relation to this aspect. In particular, in the Italian case study it was possible to notice “an extension of the concept of urban heritage over time, from the historic centre (zone A of the former *Regulatory Planning Tools*) to historic layered urban tissues” including the 20th century urban areas in the most recent *Structural Plan* and *Town Planning Regulation* (Participant 2a, 21/07/2016).

The creation of a *buffer zone* included the most important viewpoints and visual axes (18 in total) in Florence and in its surrounding landscape,²⁸³ which were those “linked to a real project of historic urban landscapes” (Participant 10a, 12/10/2016). According to Participant 10a, the creation of the *buffer zone* was necessary for the identification of the most sensitive areas in the historic urban landscape and that the management must be done through a system of networks (ecological, cultural, historical), with both the view points and itineraries. The *buffer zone* is thought to be a systematic tool for managing transformation in the historic urban environment, and is considered a movement “in the right direction” in the effective management of the historic urban landscape (Participant 10a, 12/10/2016).²⁸⁴ However, the *buffer zone* remains linked only to the evaluation of development projects affecting the identified viewpoints and panoramas, which are “the most significant for evaluating the possible transformations that may impact the urban skyline”. It is not able to deal with other contemporary pressures and factors affecting the WH property, such as the gentrification process happening in the city centre (Participant 10a, 12/10/2016).

Edinburgh's urban management system does not have a *buffer zone* in place, but adopts a similar policy for the protection of key views in addition to its *Local Development Plan (LDP)*.²⁸⁵ Edinburgh's skyline and setting with its “visual characteristics serve to create a uniquely visible landscape setting for the city”, yet these are more vulnerable to unsympathetic development (Edinburgh World Heritage *et al.*, 2011: 44). They include key views in the city centre and outside, landmark architectures, hillside in the urban environment and outside, the

²⁸³ See *Section 4.1* “Understanding Florence's Urban Heritage” and *Section 5.3.2* “Managing Change in Florence's Historic Urban Environment”.

²⁸⁴ The original sentence is: “*credo che Firenze sia abbastanza all'avanguardia su questa cosa perché inserendo questi strumenti di tutela e di controllo (...) va bene, è relativo rispetto allo skyline, poi ci sono altri sistemi di controllo (...) comunque a mio avviso siamo in una buona direzione*”.

²⁸⁵ See *Section 4.2.2* “Edinburgh's Urban Heritage: from the ‘Old and New Towns’ to ‘Historic Urban Landscape’”.

countryside and the Firth of Forth (World Heritage property from 2015).²⁸⁶ Pressures related to new developments in Edinburgh are addressed in terms of land use planning and regulation on developments that could affect the WH property and its setting, which are evaluated through this *skyline policy*. Edinburgh's urban management system encourages the integration of new developments in historic urban environments which respect this policy. New developments need to be evaluated case by case and are approved through the granting of building and planning consents by the public authorities. However, the presence of new developments currently being approved and/or realised in Edinburgh which may affect the OUV of the WH property demonstrate problems with this process (ICOMOS, 2015: 3).²⁸⁷ They are discussed in the following paragraphs.

Managing Change in Historic Urban Environments: Rigidity vs Flexibility

Both Florence's and Edinburgh's interviewees underline the fundamental importance of allowing change to happen in the city, in order to assure that the respective cities can evolve to respond to citizens' contemporary needs. This is true both for structural changes and socio-functional changes (Participant 1a, 07/06/2016).²⁸⁸ However, Participant 1a and Participant 6a highlight how allowing new developments in an historic urban environment such as Florence is always complicated (Participant 1a, 07/06/2016;²⁸⁹ Participant 6a, 03/11/2016²⁹⁰). The analysis demonstrated that the two case studies have very different approaches in relation to managing change in their historic urban environments. Florence has very regulatory and prescriptive tools in place, whereas Edinburgh promotes a more flexible approach which is in "favour of development".

In Florence, the analysis of several policies showed how different degrees of protection and conservation exist for diverse elements of the historic urban

²⁸⁶ More information is available at: <http://whc.unesco.org/en/list/1485>

²⁸⁷ See Section 4.2.2 "Edinburgh's Urban Heritage: from the 'Old and New Towns' to 'Historic Urban Landscape'".

²⁸⁸ The original sentence is: "*il tram è fondamentale (...) io l'avrei fatto passare in Piazza Duomo. Politicamente non si può dire, ma il tram è fondamentale. Noi vediamo dall'esperienza dell'asse Firenze-Scandicci, è cambiato totalmente l'approccio alla città. Questi di qualunque classe sociale siano, debole, alta, media, usano il tram, vengono in centro (...) ma la cosa più importante è che vengono a vivere anche la sera il centro con il tram, che è una cosa fondamentale*".

²⁸⁹ The original sentence is: "*Firenze sta indirizzando bene la mobilità anche se con grande fatica visto che fare i lavori in questi luoghi è sempre molto complicato, ma il tema è un tema vincente*".

²⁹⁰ The original sentence is: "*il principio di tutela assoluta in una città come Firenze vuol dire non fare niente, perché oggettivamente questa è la situazione*".

landscape. Limits of acceptable change vary from a very limited possibility of transformation for listed buildings and listed landscape areas to a careful management of the transformation for the territorial invariants.²⁹¹ Moreover, different degrees of limits of acceptable change are permitted for distinctive urban and landscape areas characterised by similar urban heritage and landscape features. However, greater attention is given to the establishment of limits of acceptable change for specific tangible elements (building elements, buildings, urban elements and areas as well as physical connections/infrastructures), rather than for urban fringes and connectivity spaces. Nevertheless, there is a need for rethinking existing conservation measures, which are excessively rigid at points and fail to preserve the heritage they were defined to protect (Participant 6a, 03/11/2016;²⁹² Participant 2a, 21/07/2016²⁹³).

The process of managing change in Florence reflects a very conventional and conservative approach. Priority is given to the preservation of the structural integrity of urban heritage and to its aesthetic and historic values rather than to its socio-functional integrity and its social, economic/functional and ecological values (Participant 3a, 21/07/2016).²⁹⁴ Participant 2a highlights the need for greater flexibility when managing change in the historic urban environment, based on a case by case system of control rather than on prescriptive measures (Participant 2a, 21/07/2016).²⁹⁵ Moreover, Participant 6a affirms that major

²⁹¹ See *Section 5.3.1* “Identification of Urban Heritage Attributes and Values as well as their Vulnerability Status” and *Section 5.3.2* “Managing Change in Florence’s Historic Urban Environment”.

²⁹² The original sentence is: “*alla fine quest'eccesso di tutela perché l'edificio di per sé ha questo vincolo. A mio avviso bisognerebbe che queste norme fossero cambiate nell'ottica di dare la possibilità anche di un ripensamento (...) perdiamo delle occasioni di sviluppo e anche di ammodernamento delle città (...) perché alla fine anche dal cittadino questi beni vincolati sono recepiti come una palla al piede, perché sono penalizzanti sotto tanti aspetti (...) Però imporre una norma rigida e poi pretendere l'applicazione fa più danni che benefici (...) perché il nostro è un contesto troppo particolare (...) quindi la ricetta che va bene dappertutto non esiste*”.

²⁹³ The original sentence is: “*nell'ultimo strumento urbanistico, non solo storico ma anche storicizzato (...) a questo punto la condivisione è totale, ovviamente abbiamo norme a mio avviso abbastanza rigide a tutto l'apparato normativo e talvolta si scontrano con il riuso di questi oggetti, particolarmente con quelli di interesse architettonico*”.

²⁹⁴ The original sentence is: “*la disciplina essendo molto legata al Regolamento Edilizio ed essendo molto conservativa francamente punta molto alla conservazione ed è sempre rimasta abbastanza ferma*”.

²⁹⁵ The original sentence is: “*se invece di fare tutte ste schede si creava una regola generale in grado di gestire i cambi ma senza questa rigidità di percentuale, secondo me si otteneva lo stesso risultato ma forse meglio, perché costringevi a fare controlli maggiori e non era necessario legarsi a una serie di norme (...) noi stiamo già facendo varianti dopo un anno perché alcuni assetti non funzionano, ma non funzionano perché noi non è che quando progettiamo facciamo il progetto edilizio con le piante dell'edificio a tutti i piani, facciamo un progetto di tipo urbanistico, decidiamo che quelle destinazioni possono essere compatibili, facciamo una prima verifica e una prima valutazione, dopo di che l'edificio lo conosce*”.

development projects should be allowed providing that they respond to contemporary needs, such as a new tramline able to reduce traffic and transportation issues. However, the existing overly prescriptive and normative approach limits the possibilities for new developments, and causes damage in terms of design quality of the contemporary project in both aesthetical and functional terms (Participant 6a, 03/11/2016).²⁹⁶ Nevertheless, increasing the freedom of the designer could cause problems too, as Participant 3a and Participant 2a argue, because there is a general lack of understanding and awareness of urban heritage values as well as of urban heritage's sensitiveness in contemporary design interventions (Participant 3a, 21/07/2016;²⁹⁷ Participant 2a, 21/07/2016²⁹⁸). Therefore, there is a need to incentivise sensitivity in the design of new contemporary architecture and development projects (Participant 2a, 21/07/2016).²⁹⁹

The more flexible approach encouraged by Edinburgh's urban management system also creates problems. In Edinburgh, limits of acceptable change are oriented by the *Scottish Planning Policy (SPP)* and regulated by the *Local Development Plan (LDP)*, in accordance with both urban heritage's tangible and intangible attributes and their relationships with the surrounding context. Development projects are also allowed in the historic centre and within the perimeter of the WH property to maintain the appeal and living stands of the

qualcun'altro, lo studia qualcun altro (...) e quindi quando poi chi studia l'edificio si trova nella condizione di dire io qui non ce lo posso far stare questo, non funziona da un punto di vista di mercato, morfologico".

²⁹⁶ The original sentence is: "putroppo la normativa italiana cerca di codificare tutto, si parte un po' dal principio storico che non viene valorizzata la capacità del singolo. Il singolo si tende a deresponsabilizzarlo con un'eccessiva presenza normativa (...) si tende a codificare tutto, e con questo si snatura poi la professionalità del singolo. Tu puoi avere anche il migliore esperto però la normativa gli lega le mani perché alla fine si tende a codificare tutto e si perde in quello che poi è il progetto".

²⁹⁷ The original sentence is: "i limiti degli effetti dipendono dalla consapevolezza degli operatori che esistono queste regole, la consapevolezza ancora di chi sta operando su un Patrimonio Mondiale e che se potrà avere un ristoro dalla sua attività e dal suo investimento ce l'ha anche perché sta in questo posto. I primi limiti si trovano nei limiti più generali quali la scarsa comprensione dell'importanza della conservazione dell'ambiente in cui cominci a lavorare o modifichi il tuo modo di lavorare o di vivere".

²⁹⁸ The original sentence is: "la lotta è costante perché a livello proprio di opera pubblica, per esempio, io trovo che ci sia ancora molto da lavorare (...) i nostri tecnici che lavorano in una città come questa, devono lavorare sulla sensibilità verso l'approccio ad alcuni spazi che a volte non c'è e si vedono dei risultati che sono assai discutibili (...) sulla consapevolezza e la condivisione sulla tutela del paesaggio urbano siamo ancora indietro".

²⁹⁹ The original sentence is: "migliorare la sensibilità nostra, di noi tecnici di approcciare il tema in maniera corretta e adeguata al luogo di intervento, questo sul tessuto connettivo della città. Secondo me su questa cosa noi abbiamo bisogno di lavorare di più, è meno consolidato il principio e la sensibilità dipende molto dalla professionalità di chi opera, perché c'è quello più sensibile che riesce a trovare soluzioni che mantengono la morfologia dell'edificio, che non lo stravolgono adattandola però alla nuova funzione, altre volte c'è da lottare perché invece si cerca di far man bassa perché si cerca di sfruttare al massimo l'esistente".

urban area. Furthermore, *Chapter 6* discussed how the historic centre is the area where the greatest degree of change is admitted, being the most vulnerable zone in relation to new development pressures as underlined in *Chapter 4*.³⁰⁰ In fact, Participant 1b underlines how “in the last few years the heritage and development dilemma has tended in favour of economic development and creating jobs” (Participant 1b, 21/11/2016). Moreover, he/she added that “this is good as [they] have been economically successful through the recession”, but “in spite of not being well-run and having policies which have been damaging [Edinburgh’s] historic environment” (*ibid.*). Nevertheless, he/she also underlines that is “a difficult balance to strike because if the economy collapses the buildings will not be supported either” (*ibid.*).

Florence and Edinburgh face the same critical issue in relation to the approval and realisation of a development project: once the development scheme obtains the formal authorisation(s) for its construction, it is very difficult to trigger the reverse process (Participant 1a, 07/06/2016).³⁰¹ Participant 6a underlines how authorisations are often granted from the appointed authorities at the preliminary stages of the project design without an in-depth understanding of the implications related to the project’s future implementation (Participant 6a, 03/11/2016).³⁰² This is a fundamental moment of the project design, as it is necessary to define the key principles that a project must respect in order to preserve the historical urban environment. However, from the preliminary project proposal to its final realisation the design details could change substantially, especially for large development schemes such as the tramline. This fact has important consequences in the safeguarding of the urban heritage as it is only after that a project obtained all the formal authorisations and it is being constructed that is possible to understand its real impact on the historic urban environment.

³⁰⁰ See *Section 4.2* “Understanding Edinburgh’s Urban Heritage”.

³⁰¹ The original sentence is: “quando sei arrivato a un certo punto ed hai tutte le autorizzazioni, le più alte autorizzazioni dello Stato come fai a dire che non funziona? Non si può tornare indietro”.

³⁰² The original sentence is: “(...) in Italia la decisione la si prende sempre con una certa sufficienza, cioè il progetto ha varie fasi, si parte dal preliminare, al definitivo alla realizzazione dell’opera (...) sul progetto preliminare si fa quella che viene chiamata conferenza dei servizi, si chiamano tutti i soggetti che poi dovranno autorizzare l’opera e si chiede un parere preliminare che non è vincolante, ma è un’anticipazione di quello che poi sarà il parere per capire se si sta andando nella direzione giusta. Quindi si fa questa conferenza dei servizi, vengono fatte tutte le procedure di verifica ambientale e vengono fatte delle scelte sul preliminare, poi si va al progetto definitivo, quello cioè con il quale si definiscono le scelte e vengono date tutte le autorizzazioni. Se uno ha fatto un preliminare e ha avuto degli input, ha fatto un definitivo in linea con gli input ricevuti, non dovrebbe riservare sorprese e invece spesso e volentieri riserva sorprese (...) cioè il parere dato sul preliminare era un parere molto generico”.

In Florence's and Edinburgh's urban management systems the granting of planning consent is a discretionary decision taken by the appointed authorities. Participant 4a discusses how in Florence there is an extremely lively debate, and frequently the appointed authorities disagree about conservation issues (Participant 4a, 14/10/2016).³⁰³ This is true even if there are economic and political interests in place (Participant 9a, 13/10/2016).³⁰⁴ From the other side, Participant 1b underlines how in Edinburgh there are "some politicians who are actively against heritage because it gets in the way of limiting economic development (...) and do not consider it as a driver of economic development" (Participant 1b, 21/11/2016). Furthermore, Participant 5b adds that this is a common trend in the UK, where heritage conservation and urban development continue to be considered as separate issues (Participant 2b, 28/11/2016).³⁰⁵ Several interviewees explain how *Heritage Impact Assessments (HIAs)* or *Environmental Impact Assessments (EIAs)* could, with a greater consideration of heritage assets, be a beneficial decision-making supporting tool (Participant 6a, 03/11/2016; Participant 2b, 28/11/2016; Participant 1a, 07/06/2016). These evaluation tools can help decision makers consider all the urban heritage assets that can be (positively or negatively) impacted by a new development project, and enable better-informed decisions (Jones and Slinn, 2008; ICOMOS, 2010; Lindblom, 2012; Pereira Roders and Van Oers, 2012; Appendino and Giliberto, 2016; Appendino *et al.*, 2016).

7.3.3 Urban Heritage Governance

A Need for a More Interdisciplinary Approach

The assessment results show that both Florence's and Edinburgh's urban management systems present a good level of consistency with the 21st century international approach in terms of integration between sectors, disciplines and tools. The analysis highlighted how the assessed policies are integrated with, or linked to, other plans and tools involved in the urban management system of the two case studies, often through specific mechanisms for integration. Moreover, different urban management sectors and disciplines were involved in the

³⁰³ The original sentence is: "*difficilmente ci sono discordanze con la Soprintendenza, c'è un confronto, un dibattito estremamente vivo, però è difficile che si sia discordanti sui temi della conservazione*".

³⁰⁴ The original sentence is: "*la commissione paesaggistica esiste però poi alla fine ci sono interessi economici e politici notevoli*".

³⁰⁵ The original sentence is: "this is a mainstream thinking in the UK because heritage conservation is in one little box and urban development is everything else".

definition of policy objectives and actions, implicating a multi-disciplinary approach to urban heritage conservation and management. Furthermore, cooperation between different types (private and public) and levels (national, regional, local) of stakeholders is envisaged in the implementation of policy objectives and actions. Moreover, the collaboration between public and private actors proved to be effective according to local stakeholders (Participant 1a, 07/06/2016;³⁰⁶ Participant 4a, 14/10/2016;³⁰⁷ Participant 6b, 16/02/2017). However, it is easier if the integration between different disciplines happens among diverse offices of the same institution, rather than with external ones. If discussions between different institutions are increasing in number and scale, there is still a need to move forward each disciplinary boundary for preserving, managing, guiding transformations of, and enhancing a complex urban heritage such as Florence's and Edinburgh's (Participant 1a, 07/06/2016;³⁰⁸ Participant 1b, 21/11/2016;³⁰⁹ Participant 8a, 26/09/2016³¹⁰).

Considering the assessment results, the *WH Management Plans* of Florence and Edinburgh are the urban management policies most consistent with the 21st century international approach. They coordinate different kind of projects and actions for safeguarding, managing and enhancing urban heritage, bringing

³⁰⁶ The original sentence is: “positivo il finanziamento dei privati (...) il valore intrinseco di una casa nel centro storico di Firenze è comunque alto e di per sé porta anche i proprietari a fare manutenzione”.

³⁰⁷ The original sentence is: “noi stiamo facendo tutto quello che è necessario in più rispetto alla programmazione ordinaria che presuppone risorse pubbliche con i privati (...) Sta funzionando, grazie alla legge Franceschini, grazie a tutta una serie di attività che abbiamo instaurato (...) Firenze ha fatto 8 milioni di euro in 6 anni con il privato, sono 8 milioni di risorse in più (...) c'è un po' una zona d'ombra, una polemica latente in ordine allo sfruttamento dell'immagine dei monumenti per promuovere quella del sostenitore (...) in entrambi i casi l'associare il nome di un privato a un monumento è una questione estremamente delicata ed è un po' l'unica zona d'ombra che noi possiamo individuare nei rapporti, ma è un costo a fronte di enormi benefici”.

³⁰⁸ The original sentence is: “si vede l'argomento soltanto da un punto di vista di culturale, non capendo che non basta più quell'approccio. Non basta essere solo dei professionisti della cultura per parlare di cultura e per la città. Bisogna essere un'altra cosa. Come non bisogna essere solo degli urbanisti, o soltanto trasportisti (...) bisogna mettere insieme tutte queste competenze per una visione diversa”.

³⁰⁹ The original sentence is: “experts have their way with architects, historians, who run city management, but in fact the urban heritage management involves such a wide range of disciplines (...) we need to have psychologists, geologists, geographers, mathematicians (...) we need every single kind of expert looking at the city through their lens rather than just with heritage lens and this is where we get stuck with the museological approach of looking at heritage as an object (...) but here there are around 4000 objects plus all memories built around them and you cannot manage it as one object”.

³¹⁰ The original sentence is: “(...) in questi ultimi tempi, il valore positivo è che queste distanze si sono notevolmente ridotte, perché si mettono a parlare preventivamente allo stesso tavolo le amministrazioni e le istituzioni coinvolte (...) quindi non c'è solo la conformità urbanistica-edilizia, ma c'è anche il rispetto di una disciplina che è anche paesaggistica (...) è assolutamente favorevole rispetto al fatto che il territorio, o comunque il paesaggio è uno, anche se poi le istituzioni che sono coinvolte sono più di una, però tutte queste istituzioni dovrebbero avere ben presenti i valori che siano essi paesaggistici, urbanistici, edilizi che devono essere rispettati ed eventualmente come dicevo prima anche valorizzati”.

together different groups of social actors. The two plans are written in a way that is supposed to be understood by different kinds of stakeholders and professionals in urban management sectors (Participant 1a, 07/06/2016).³¹¹ Moreover, the development of these plans and the role of the WH site managers influence the decision-making process in a “soft” and “neutral” manner. This is because WH Managers should, in theory, be working towards a common goal set out in policies, whilst accounting for the diverging interests of other parties involved. (Participant 1a, 07/06/2016; Participant 1b, 21/11/2016). Nevertheless, there is a need to create more integrated urban management tools, which can then be used by the management of these two historic urban environments. Therefore, there is a need to produce more integrated plans, such as integrated action plans, able to cross the different urban management disciplines and sectors, driving the overall urban management toward the same direction (Participant 1b, 21/11/2016).³¹² However, Participant 1a and Participant 1b underline that there is a lack of willingness to collaborate between the various institutions and sectors involved in urban management systems (Participant 1a, 07/06/2016;³¹³ Participant 1b, 21/11/2016³¹⁴).

A Lack of a “City’s Vision” and of World Heritage as a Driver for Sustainable Development

Participant 1a and Participant 4a argue that there is “the lack of a city’s vision” which takes into consideration different aspects involved in the urban management of the historic urban environment in a comprehensive and agreed manner (Participant 1a, 07/06/2016;³¹⁵ Participant 4a, 14/10/2016). It is necessary to include other related factors, such as urban liveability, as urban management issues need to be faced in a holistic and homogeneous way (Participant 4a, 14/10/2016). The assessment demonstrated that the urban heritage (with its natural and cultural assets) is recognised as an essential condition for social, environmental and economic development as well as a factor for attracting

³¹¹ The original sentence is: “*un punto di forza del piano di gestione è che è scritto in un italiano molto leggibile, e spero che questo sia utile per diffonderlo il più possibile a tutti quanti*”.

³¹² The original sentence is: “to drive everything towards having integrated action plans which is really what we need”.

³¹³ The original sentence is: “*manca la voglia di collaborare fra istituzioni diverse perché questo è il problema*”.

³¹⁴ The original sentence is: “in the UK context, they [ICOMOS] are not used to partnership working and they have a very strict view of the operational guidelines”.

³¹⁵ The original sentence is: “*mancano le visioni (...) non ci si può affidare soltanto al politico del momento, o al professore del momento, o all’urbanista del momento. C’è bisogno di pensare, perdere tempo. So che sembra banale, però perdere tempo per cominciare a creare delle visioni*”.

investments by the majority of the analysed policies. Nevertheless, its protection, conservation and enhancement does not assume an important role in the promotion of actions and policies fostering economic growth, social inclusion and environmental sustainability. The two urban management systems show a low level of consistency with the contemporary international approach in this regard (UNESCO, 2002; United Nations, 2010; UNESCO, 2011b; ICOMOS, 2011b; United Nations, 2011; UNESCO, 2015b; United Nations, 2015; United Nations, 2016). This is recognised as an important weakness by local urban stakeholders as heritage, and World Heritage in particular, could foster socio-economic development, as they are in a position to attract private resources and to act as a catalyst for promoting community involvement in the urban management of a city (Participant 1b, 21/11/2016; Participant 4a, 14/10/2016³¹⁶).

A Lack of Community Involvement in Defining, Conserving and Managing Urban Heritage Attributes and Values

Finally, the section related to participation and community involvement is the most critical one in terms of consistency with the international approach. While different levels and types of stakeholders are involved in the definition of policy objectives and actions in both case studies, the decision-making process is always carried out by politicians and policy makers, while the other stakeholders are only consulted (if consulted at all). The only positive exception is the *Edinburgh Partnership Community Plan 2015/2018*, which is the most inclusive and participatory tool from the documents assessed. It actively involves local communities as part of the decision-making process, promoting a “human-rights-based” approach in the definition and implementation of its measures.³¹⁷ However, it does not consider urban heritage conservation and management among its priorities for actions. Nevertheless, the assessment shows that in Florence and Edinburgh there has been an increase of the number of participatory processes in the last 15 years in relation to urban heritage conservation and management (Participant 8a, 26/09/2016;³¹⁸ Participant 6b, 16/02/2017).

³¹⁶ The original sentence is: “c’è sicuramente bisogno di più integrazione tra conservazione del patrimonio e sviluppo socio-economico, tra le caratteristiche socio-economiche del patrimonio e la sua valorizzazione culturale”.

³¹⁷ See Section 6.3.3 “Urban Heritage Governance”.

³¹⁸ The original sentence is: “in questi ultimi anni con queste definizioni, le amministrazioni pubbliche e di riflesso anche i cittadini, hanno iniziato a dialogare in maniera diciamo costruttiva, efficace, cosa che in passato era come si identificassero due schieramenti contrapposti, quelli che agivano in ambito locale e quelli ministeriali che talvolta con difficoltà riuscivano a dialogare o comunque a utilizzare un linguaggio comune e condiviso. Questo credo che si possa dire come esito positivo”.

However, these participatory processes are still very recent and they need to be understood and properly managed in order to become more effective and inclusive. Notably, Participant 5b underlines how this is particularly relevant for the British system, which does not promote adequate participatory processes in his/her opinion (Participant 5b, 23/11/2016).³¹⁹

With the only exception of the *Regional Orientation Plan of the Tuscany Region (PIT)*, the assessment showed that the local community is not involved at all in the definition of urban heritage attributes and values to be safeguarded over time. The lack of communities' involvement in urban heritage conservation and management is the most critical aspect of both Florence's and Edinburgh's urban management systems. Considering the evolution of the international approach, the results show that the urban management policies of the two case studies are still very far from integrating this aspect of the new paradigm (Council of Europe, 2000; UNESCO, 2002; UNESCO, 2011b; ICOMOS Australia, 2013; UNESCO, 2015b).

There is also a lack of community involvement at the early stage of the development design. Participant 6a underlines how in Florence the information about the different steps of a new development project are communicated through specific journals. These are not usually consulted by the local community, which remains unaware about the development project until the very last design stage when members are invited to participate (Participant 6a, 03/11/2016).³²⁰ However, at this stage different kind of approvals have already been obtained and the project is defined in its essential parts, limiting the effectiveness of the participatory process to detailed aspects rather than preliminary/early stage urban and design choices. Moreover, this causes a lack of trust in politicians and in the officials

³¹⁹ The original sentence is: "the UK context does not really have a system which encourages an adequate kind of dialogue (...) it is very bureaucratic and organised in a way which is directed at telling people what to do (...), so it is not fundamentally democratic".

³²⁰ The original sentence is: "*bisognerebbe avere una visione un po' più aperta ai principi della tutela del patrimonio e certe scelte vanno fatte contemperando tutte le soluzioni possibili, ma nel livello progettuale relativo (...) quando si fa un progetto preliminare, a quel punto si possono prendere in esame tante soluzioni, quella è la sede, poi però una volta fatta la scelta però non si può tornare indietro (...) quindi a mio avviso, le scelte vanno fatte nel momento opportuno, anche con una condivisione della cittadinanza (...) spesso e volentieri, la partecipazione nei livelli progettuali non c'è (...) la partecipazione del cittadino sa quando interviene? nel momento in cui si devono fare casomai degli espropri e si mandano delle lettere (...) tutta la partecipazione è sulla carta, avvisi sul giornale (...) non se ne accorge nessuno (...) è un adempimento meramente formale, questo tipo di partecipazione non va più bene (...) cioè pubblicare su tre quotidiani a livello nazionale, non ha senso (...) se un progetto non viene condiviso sulle televisioni, sugli emittenti locali, sui social, cioè alla fine la gente non lo conosce*".

because local communities feel a sense of exclusion from experts and local administrators' decisions (Participant 1b, 21/11/2016).³²¹ This is aggravated by the fact that there are a lot of discrepancies and frustrations about how urban transformations are allowed within the cities by different stakeholders. Participant 1b states that if local communities want to “make a small change in their house, this is not allowed; yet if developers come in and want to build something enormous this is allowed” (Participant 1b, 21/11/2016). In order to overcome these problems participatory processes should be used at the very beginning of the design phase and throughout every subsequent step until the final realisation of the project.

Participant 1b believes that a value-based approach is a good way of involving local communities in the decision-making about urban heritage conservation and management (Participant 1b, 21/11/2016).³²² The promotion of a value-based and “human-rights based” approach to heritage identification, conservation and enhancement could provide local communities with a sense of ownership, inclusion and involvement in urban heritage management. Moreover, there is still a need to involve communities that may not want to be listened or just cannot be listened, which might always remain excluded from the participatory process (Participant 5b, 23/11/2016).³²³ Nevertheless, Participant 1a underlines how a high degree of openness from each actor involved is needed to carry out

³²¹ The original sentence is: “the local community have no trust in politicians (...) there are some very good local politicians who are trusted, but in general there is a feeling that they have the interests of big businesses at heart rather than the interests of local people (...) but there is a lack of trust in the politicians but also in the officials as well (...) people do not trust that the city will do things efficiently”.

³²² The original sentence is: “there is a need of getting away from objects to talk about what makes a place special (...) this means not necessarily talking about heritage as an object, but as a means to achieve objectives (...) but it is still very difficult trying to incorporate community into the recognition of OUV and urban heritage attributes and values (...) the best we can do is to try through intangible cultural heritage and also through talking about how the city became World Heritage site and the role communities have to play in restoring the city”.

³²³ The original sentence is: “at the moment you have a situation where the experts are normally outsiders to a community (...) they often are not involved directly in the community whether telling people what their heritage is and what they should do with it (...) experts have not asked the communities what they consider to be important in their place (...) and when you are talking to a community and telling them what their heritage is, they do not necessarily understand what you mean by heritage (...) they do not want to be told what is important to them as community members because they know what is important to them (...) we do not have a mechanism for proper dialogue between so-called experts and citizens (...) this really is a major barrier which has to be overcome”.

effective participation processes: an aspect that makes this process particularly challenging (Participant 1a, 07/06/2016).³²⁴

7.4 Conclusion

This chapter tried to answer the **RQ4**: “*What are the strengths and limits of existing urban management systems in reconciling urban heritage conservation with development in World Heritage (WH) cities? What are the possible opportunities and threats of integrating a 21st century international approach into existing systems?*” In order to answer this research question, this chapter compared and discussed Florence’s and Edinburgh’s urban management systems

in relation to what suggested by the 21st century international approach. This critical analysis was executed by integrating the data obtained with the text-analysis of the urban management documents with semi-structured interviews carried out with local urban stakeholders involved in the definition and implementation of these policies. Interviews allowed me to identify the critical issues existing in these two urban management systems, as well as possible means for their implementation. The chapter outlined how current (and future) urban management policies in Florence and Edinburgh need to take into account not only their WH properties, but also their settings and surrounding landscapes as well as the existing relationships among different urban heritage attributes.

This chapter demonstrated how Florence’s and Edinburgh’s urban management systems already incorporate some principles of the 21st century international approach. In this way, the assessment confirmed the hypothesis made at the beginning of this thesis that some of the key principles of the new paradigm for urban heritage conservation and management were already integrated into these urban management systems.³²⁵ It also illustrated the similarities and discrepancies between two approaches to urban heritage conservation, management and development, and identified good practices and critical aspects that still need to be further improved. The chapter outlined the strengths of both urban management systems in integrating some of the principles of the 21st century international approach. Urban management policies in the two

³²⁴ The original sentence is: “*penso che anche noi siamo poco disponibili. Ci vuole un alto grado di disponibilità per fare partecipazione seria. Secondo me ancora la stiamo usando, tanto per dire, vabbè lo dobbiamo fare, facciamola (...)*”.

³²⁵ See *Introduction*.

case studies take into account not only the WH properties, but overall historic urban landscapes, promoting a holistic and integrated approach to urban heritage conservation. The pressures and factors affecting the urban heritage are identified and are the subject of specific policies measures, which aim to assure the safeguarding of urban heritage's authenticity and integrity over time. Moreover, the chapter illustrated how cooperation exists between different levels, kinds/forms and sectors of stakeholders, whilst participation strategies are already in place to involve local communities in urban heritage management.

The chapter also highlighted weaknesses in existing systems and the existing critical issues in terms of consistency with the international theory, as well as problems in dealing with pressures and factors affecting the WH properties' OUV. In the case of Florence, there are different descriptions and processes for recognising attributes and values, which are often contradictory in nature and may lead to confusion and implementation problems. In the case of Edinburgh, the documents fail to provide enough information, leading to urban management personnel being poorly informed. Moreover, both case studies give greater attention to material aspects of conservation rather than to the safeguarding of intangible attributes and values. This allows for the preservation of the urban heritage's structural integrity and the building's form, design, material and substance. However, it may affect the safeguarding of urban heritage's visual or socio-functional integrity because of the loss of traditional uses and functions as well as traditions and techniques. Additionally, a certain degree of discretion exists in the approval of new development projects, which may reflect a specific interest of a stakeholder or a group of stakeholders. Furthermore, communities are not involved in the definition, conservation and management of urban heritage and there is evidence that they feel a sense of exclusion from local decision-making processes. This constitutes a relevant critical aspect for urban heritage conservation as they are key actors in the safeguarding of the urban heritage over time.

This chapter outlined that Florence and Edinburgh belong to two consolidated contexts. It is not possible to change existing urban management systems without relevant changes in legislative and regulatory frameworks, which need to be made at national, regional and local levels (Participant 2b, 28/11/2016,³²⁶ Participant,

³²⁶ The original sentence is: "UNESCO letter is probably quite important to Edinburgh because we cannot respond to all the issues they suggested for safeguarding the OUV. Actually, the problems we are facing with

5b, 23/11/2016³²⁷). However, local stakeholders suggested possible ways for improving existing urban management strategies. The creation of a *GIS* platform including all the information related to urban heritage as well as the on-going dynamics of change will facilitate the recognition of urban heritage attributes and values at different scales. Local stakeholders suggested the promotion of value-based approaches to urban heritage conservation, management and development as well as more holistic and flexible approaches starting with the recognition of urban heritage's shared values. This will allow for the creation of a vision of a city shared by all local stakeholders, who can work together towards the same goals. In this, context the interviewed local stakeholders underlined the need for more interdisciplinary approaches in urban heritage management and of integrated plans for urban heritage management, urban planning and socio-economic development. Furthermore, they underlined the usefulness of *Heritage, Social and Environmental Impact Assessments* for supporting the decision-making process and the need to involve local communities and stakeholders from the early stages of planning and project design. Moreover, they also highlighted how World Heritage is an important driver for sustainable development. In this regard, the involvement of local communities in heritage identification, conservation, and management will help safeguard urban heritage over time and facilitate its transmission to future generations.

managing new development are an issue for all the UK, which means that it is not the individual site management, but it is the management system that we have in place (...) we manage our site through the planning system primarily, so the UK does it (...) therefore, it is quite difficult to stay away from that (...) I mean unless you ask the parliament to do so, it is really difficult".

³²⁷ The original sentence is: "(...) it is that you have the advantage outside Europe that they do not have a package of legislation and practice which is difficult to change (...) if you talk about a new paradigm for urban heritage you will get certainly responses in the UK, but we have got conservation areas, we have got listed buildings, we have been doing it for the last 50 years. Why do we need to change what we are doing?".

Conclusion

Research Relevance

National and local governments should implement the 21st century international approach to urban heritage conservation, management and development fostered by UNESCO, ICOMOS, United Nations and the Council of Europe into national, regional and local urban management policies (Council of Europe, 2000; UNESCO, 2002; UNESCO, 2005d; Council of Europe, 2005; UNESCO, 2011b; United Nations, 2015; UNESCO, 2015b; United Nations, 2016). The increasing number and scale of contemporary pressures and other factors affecting historic urban environments highlighted the limits of existing conservation policies and strategies for dealing with the safeguarding of the urban heritage in a dynamic context. The need to preserve urban heritage in cities whilst at the same time allowing for their change and development has been a central concern of the 21st century international debate (Nasser, 2003; Araoz, 2011; Bandarin and Van Oers, 2012). At the beginning of the 21st century integrated urban management strategies, which combine heritage conservation, urban planning and socio-economic development, started to be considered as a possible means of reconciling heritage preservation with development in historic urban environments. This approach was encouraged through the adoption of a series of international charters, recommendations and other doctrinal texts.

This thesis has illustrated how different attempts at implementing the 21st century approach have been achieved around the world.³²⁸ The thesis has also highlighted how recent research has provided further understanding about how to revise existing knowledge, urban planning, management and development

³²⁸ See *Section 2.4* “From International Theory to Local Practice: Early Implementation Experiments”.

strategies according to an historic urban landscape approach (Ripp *et al.*, 2011b; De Rosa and Di Palma, 2013; Abis *et al.*, 2013; De Rosa, 2014; Kudumović, 2015; Bandarin and Van Oers, 2015; Juma, 2016; Re, 2016; Widodo *et al.*, 2017). Nevertheless, it also underlined that there was a need to carry out further research to assess how existing urban management systems and regulatory frameworks currently operate in order to implement a 21st century international approach into local practices. Moreover, it highlighted the need to provide comparative studies of urban management systems in different contexts, whilst interrogating the strengths, weaknesses, opportunities and problems of integrating the 21st century international approach.

The study aimed to satisfy a research gap, advancing knowledge in the field of urban heritage conservation and management in the process. This thesis is based on the hypothesis set out by the literature review, which stated that it is necessary to assess how existing urban management policies operate in order to effectively implement the 21st century approach (Bennik *et al.*, 2013; Veldpaus *et al.*, 2013: 15; Pereira Roders and Veldpaus, 2013; World Heritage Centre, 2013; Tanguay, *et al.*, 2014: 19; Bandarin and Van Oers, 2015; Veldpaus, 2015). In fact, the implementation of the international approach necessarily needs to relate with urban management systems and regulatory frameworks as they are prescriptive and consolidated elements that local urban managers cannot avoid (Buckley *et al.*, 2016: 104). This is particularly important for urban management contexts with a long history of urban heritage conservation theory and practice, such as Italy and the United Kingdom (Ripp and Rodwell, 2015; Ripp and Rodwell, 2016: 85). This research focused on the two World Heritage (WH) cities of Florence (Italy) and Edinburgh (UK). These two case studies were selected starting from the hypothesis that some of the principles of the 21st century international approach might be already incorporated into their urban management systems. The critical analysis of these two case studies highlights good practices and weaknesses in how existing systems currently integrate the new paradigm for urban heritage conservation and management. Moreover, the selection of two Western-European case studies allowed for effective and targeted research and for a thorough interrogation of the implementation of the 21st century approach across comparable contexts.

This thesis provided a critical assessment of how Florence and Edinburgh's urban management systems integrate the key principles of the 21st century international approach. Moreover, it considered the strengths, weaknesses, opportunities and threats of existing policies in incorporating this approach and

provided a comparison between different approaches to urban heritage conservation, management and development. This is the first time that this form of assessment and comparison has been carried out on the urban management systems of Florence and Edinburgh. Additionally, the research findings could be relevant for other case studies where urban heritage conservation theory and practice were developed and might be already incorporated into their urban management systems. The following sections discuss the original contribution of this research to theory and practice, the limits of this study, as well as future research areas.

Original Contribution to Research

A New Paradigm for Urban Heritage Conservation and Management

Chapter 2 addressed the **Research Question (RQ) 2** “*What are the key principles of a 21st century international approach to urban heritage conservation, management and development?*” Through a literature review of the international texts adopted by UNESCO, ICOMOS, United Nations and the Council of Europe between 2000 and 2016, *Chapter 2* illustrated how it is possible to see a “paradigm shift” in the urban heritage conservation discourse (Engelhardt, 2004: 36; Ripp and Rodwell, 2015: 246; Khalaf, 2015: 77; Buckley *et al.*, 2016: 96). The thesis considered how the evolution of the international discourse about urban heritage conservation, management and development in the 21st century represented the international recognition that a “new paradigm for urban heritage conservation and management” has gradually taken shape. Although the first decades of the 20th century were characterised by several attempts to reconcile urban heritage conservation and development as demonstrated in *Chapter 1*, since the 1930s it was possible to discern a shift toward a separation between the disciplines of heritage conservation and urban planning. This had relevant impacts on the evolution of an international doctrine on urban heritage conservation developed over the second half of the 20th century and on local practices. The evolution of the international discourse over the 20th century was distinguished by a shift from the conventional preservation of single monuments or urban areas (1960s) to urban conservation of entire landscapes (1990s). Nevertheless, it was only with the beginning of the 21st century that a landscape approach was applied to the conservation of historic environments, considered in their whole historic urban landscapes and not only in limited urban areas of heritage value.

In this context, urban landscapes are defined as a complex layering of meaning and values (including tangible and intangible dimensions, urban and natural attributes), which need to be understood in an evolutionary perspective. For this reason, the 21st century international approach was characterised by a shift from “intolerance to change” toward the more flexible concept of “managing change”. Furthermore, it was possible to see a shift from the promotion of “material-based” to “value-based” approaches to urban heritage conservation and management. However, this approach had already been fostered since the adoption of the *Burra Charter* in 1979 (then updated in 1981, 1988, 1999, 2013), which also suggested the involvement of local communities in the identification, conservation and management of heritage attributes and values. Nevertheless, during the first decade of the 21st century this approach was incorporated into international doctrinal texts to be implemented on a worldwide scale. This inclusion demonstrated an increasing attention to the involvement of the local communities and a human rights-based approach to urban heritage conservation and management (Council of Europe, 2000; UNESCO, 2002; UNESCO, 2011b; UNESCO, 2015b).³²⁹ Moreover, *Chapter 2* illustrated how the integration between urban heritage conservation and socio-economic development has been stressed since the 1970s (Council of Europe 1975; Council of Europe, 1975; Council of Europe, 1985; ICOMOS, 1987).³³⁰ However, it was only in the 21st century that the integration of urban heritage conservation, territorial and urban planning and socio-economic development into an overall urban management strategy was fostered from both the perspective of urban heritage conservation (UNESCO, 2011b; ICOMOS, 2011b; UNESCO, 2015b) and sustainable urban development (United Nations, 2015; United Nations, 2016). For an effective implementation of this integrated approach, the new paradigm suggests multi-sectorial and multi-level stakeholders’ involvement and cooperation in urban management systems as well as the collaboration between private and public actors.

Chapter 4 demonstrated how this changing attitude toward a landscape-based approach to urban heritage conservation was incorporated in the revision of the Statement of Outstanding Universal Value (OUV) of the World Heritage (WH)

³²⁹ See *Section 2.2* “Integrating Urban Heritage Conservation and Development in the 21st Century International Discourse”.

³³⁰ See *Section 1.4.2* “The 1970s: Toward an Integrated Environmental, Social and Economic Conservation of Historic Towns”.

properties of both Florence and Edinburgh.³³¹ The two cities were inscribed in the World Heritage List (WHL) in 1982 (Florence) and 1995 (Edinburgh), and their nomination dossiers reflected the contemporaneous Italian and Scottish approaches to urban heritage conservation. Nevertheless, the two Statements of OUV, adopted in 2014, showed how the urban heritage attributes and values conveying the OUV of the two WH properties were enlarged to include a greater number of urban and natural attributes as well as a more holistic consideration of the whole cities and their surrounding landscapes (including attributes such as townscapes, views, panoramas, skylines, hills and landscape features). Therefore, the analysis revealed a theoretical shift in the recognition of urban heritage attributes to be safeguarded over time. Nevertheless, Florence's and Edinburgh's urban heritage is currently challenged by various pressures and factors which are affecting their OUVs, such as new contemporary architectures, infrastructural projects, mass tourism and socio-functional changes.³³² These pressures and factors particularly threaten the visual and socio-functional integrity of Florence's and Edinburgh's historic urban environments. Through the critical analysis of the two urban management frameworks, this thesis has illustrated that current urban management systems make it difficult to find an appropriate balance between urban heritage conservation and development. Moreover, this study made it possible to underline the strengths and weaknesses of the effective implementation of the 21st century international approach into these systems. The good practices and critical aspects emerged are summarised in the section "*How Far Do Local Practices Depart from International Theory?*".

Linking Theory with Practice: an Innovative Policy Assessment Framework

The thesis addressed the **RQ3** "*How can urban management policies be assessed in relation to a 21st century international approach to urban heritage conservation, management and development?*" Chapter 3 demonstrated why building an original assessment framework was considered necessary in order to assess the integration of the key principles of the 21st century international approach into urban management policies. The development of this policy assessment tool helped to move forward existing methods for assessing plans,

³³¹ See Chapter 4 "Embracing the Past while Looking at the Future: Understanding Florence and Edinburgh's Urban Heritage".

³³² See Section 4.1.3 "Florence's Urban Heritage Today: from 'Historic Centre' to 'Historic Urban Landscape'" and Section 4.2.2 "Edinburgh's Urban Heritage Today: from the 'Old and New Towns' to 'Historic Urban Landscape'".

urban policies and WH management effectiveness (Simpson, 2001; Ruhanen, 2004; World Heritage Centre, 2008a; Landorf, 2009; SITI, 2012; Veldpaus, 2015). Nevertheless, the assessment framework developed is not intended to substitute existing evaluation methods, which are considered suitable. However, the framework provided an original research methodology, which was tailored for evaluating the level of consistency of urban management policies in historic urban environments in relation to key principles of the 21st century international approach identified in *Chapter 2*.

The application of the assessment framework as a tool for the evaluation of the urban management policies in the two case studies allowed for the development of a systematic qualitative study. In this way, this evaluation tool facilitated the comparison of the results obtained through its application on different kinds/forms (multi-level and multi-sectorial) of urban management policies operating in the same city as well as in different cities, such as Florence and Edinburgh, belonging to different national contexts. Having tested the assessment framework on more than one case study improved its external validity and replicability in different European contexts with comparable socio-economic features. However, this innovative assessment framework constitutes an evaluation tool that can be used by academics and professionals to increase the understanding of how existing urban management policies diverge from the 21st century international approach. The assessment framework could be further tested on other case studies, improving its analytical effectiveness on historic urban environments with different dimensions, and socio-economic and cultural characteristics (Gerring, 2007: 43). In this way, the assessment framework can help provide additional findings, which can be compared with the results obtained in the study, increasing current knowledge in this field. Moreover, it can also be used by national, regional and local policy makers to assess the level of consistency of urban management policies (existing or to be defined) in relation to the contemporary international approach, working as a decision-making supporting tool. Finally, it can also be used to compare urban management policies adopted in different years in order to evaluate how the integration of the principles of the new paradigm for urban heritage conservation might have changed over time.

A Multi-Sectorial and Multi-Scalar Assessment of Florence and Edinburgh's Urban Management Policies

Focusing on the two WH cities of Florence and Edinburgh, *Chapter 5* and *Chapter 6* addressed the **RQ1** “*Has a 21st century international approach to urban heritage conservation, management and development already been incorporated into existing urban management policies in the WH cities and how? How far do local practices depart from international theory?*” A critical assessment of a sample of Florence and Edinburgh's urban management policies adopted between 2004 and 2016 was carried out with the aim to understand how these two urban management systems currently incorporate the key principles of the 21st century international approach. The assessed policies belong to different urban management sectors (heritage conservation, urban planning and socio-economic development) and operate at different territorial levels (national, regional, provincial, local and World Heritage). To the knowledge of the author this was the first time that urban management policies related to these three urban management sectors have been comprehensively assessed and compared at the same time. Therefore, the selected sample constituted another original aspect of the research, which represented an interdisciplinary study. Moreover, the integration of the data obtained through the analysis of the urban management policies with those collected from semi-structured interviews with local stakeholders allowed me to overcome the limits of a policy assessment based solely on the analysis of textual documents. The personal views, experiences and opinions of local stakeholders involved in the definition and implementation of these policies allowed me to identify their limits and strengths, enabling the development of a more thorough critical analysis of the two urban management systems.

This interdisciplinary study confirmed the hypothesis made at the beginning of the thesis. The research findings demonstrated how some of the principles of the 21st century international approach were already incorporated into the assessed urban management policies. *Chapter 1* demonstrated how the case studies belong to two countries which have strongly contributed to the evolution of an urban heritage conservation theory and practice. Moreover, *Chapter 2* highlighted the key contributions of the urban heritage conservation experiences developed in Italy and the UK on the evolution of a 21st century international approach to urban heritage conservation, management and development as already affirmed by several authors (Van Oers, 2006; Whitehand and Gu, 2007; Araoz, 2011: 59;

Siravo, 2011; Bandarin and Van Oers, 2012: 2-36; Veldpaus *et al.*, 2013; Bianca, 2015). However, not all the key principles of the new paradigm of urban heritage conservation and management were integrated into existing systems as underlined in section “*How Far Do Local Practices Depart from International Theory?*”. Moreover, having assessed a multi-sectorial and multi-level sample of urban management policies, I was able to identify how the results change in relation to the different kind of urban management policies assessed. In both case studies, the socio-economic development policies are those which were shown as less consistent with the 21st century international approach, while the WH management plans are those policies which revealed a greater level of consistency. These findings underline how the highest degree of integration of the new paradigm’s principles is presented in those policies related to urban heritage conservation and management, which might be more influenced by the international approach. Nevertheless, it also highlights how further efforts need to be made to better implement this approach into development policies in order to provide more sustainable and integrated urban heritage management systems.

A Comparison between Different Approaches to Urban Heritage Conservation, Management and Development

Finally, the comparison between two different approaches to urban heritage conservation, management and development discussed in *Chapter 7* provided additional understanding of the subject of study. It allowed me to address the **RQ4** “*What are the strengths and limits of existing urban management systems in reconciling urban heritage conservation with development in the WH cities? What are the possible opportunities and threats of integrating a 21st century international approach into existing systems?*” The comparison between two case studies allowed me to scale up from a single case and provide more general and transversal conclusions valid for both of them.³³³ Therefore, the research allowed me to increase the theoretical understanding, even if it also presents the limitations explained in the section “*Research Limitations and Future Research Lines*”. Nevertheless, this investigation allowed me to avoid the limits of a research project based on a single case study and provided a step forward in a research field in which there is still a lack of comparative studies (Van Oers and Pereira Roders, 2014: 127; Veldpaus, 2015: 151).

³³³ See *Section 7.4* “Conclusion”.

How Far Do Local Practices Depart from International Theory?

This research provided original knowledge in order to understand the existing discrepancies between local practices to urban heritage conservation and management and international theory. The thesis demonstrated that Florence and Edinburgh's urban management systems already incorporate some of the principles of the new paradigm for urban heritage conservation and management. However, they also revealed that a 21st century international approach is still far from being fully integrated into existing urban management policies. The research findings highlighted that the two urban management systems encourage urban heritage measures for the whole city and its surrounding landscape, and not only for their WH properties. Both systems also provide measures for the protection, conservation, management, guidance of transformation and enhancement of all WH attributes and values. Moreover, the evaluation showed that the two urban management systems recognise urban heritage attributes (tangible and intangible) and values, and the assessed policies provide measures for their conservation, management and enhancement. Nevertheless, the thesis underlined how urban heritage's tangible attributes remain the main object of Florence's policies, which still promote "a material-based approach" to urban heritage conservation. From the other side, the analysis of Edinburgh's urban management system demonstrated that, while promoting a more flexible approach, it is still far from encouraging a value-based approach to urban heritage conservation, management and development.

The two case studies showed that existing urban management policies proved to be consolidated frameworks for managing change in historic urban environments. Even if presenting some discrepancies in relation to the level of exhaustiveness of the information provided, both urban management systems identify current dynamics of change, the evolutionary and dynamic component of the urban heritage, as well as the pressures and factors that may affect their urban heritage. Moreover, they provide specific mechanisms which regulate limits of acceptable change. However, these mechanisms are mostly related to defining limits of acceptable change in relation to urban heritage's structural and visual integrity rather than socio-functional and economic aspects. However, *Chapter 5*, *Chapter 6* and *Chapter 7* identified the existing critical issues in relation to managing change in these two historic urban environments. Florence has a very prescriptive system in place, which allows for the preservation of historical and aesthetical values of the urban heritage, but which limits the possibility of

realising new contemporary interventions. Moreover, it negatively affects the quality of contemporary architecture. Contrastingly, Edinburgh aims to remain a vibrant and attractive city, promoting the growth of new economic activities and the emergence of new contemporary architectures, especially in the historic centre of the city. This allows progress, giving extra importance to social and economic values. Nevertheless, this approach risks rendering the visual and structural integrity of urban heritage vulnerable over time.

Furthermore, the thesis underlined how the two case studies present a good level of urban management governance, promoting the cooperation of all kinds and levels of stakeholders in urban heritage management. Moreover, the urban management policies encourage cooperation between private and public actors and the establishment of partnerships. However, the assessment illustrated the issues arising from a lack of cooperation between different urban management sections, and the importance of an inclusive approach which will facilitate the achievement of shared goals. Furthermore, the study demonstrated that there is still a lack of integration of urban heritage conservation and management into development policies. Conversely, policies related to urban heritage conservation and management incorporate a development dimension. Urban heritage, and World Heritage in particular, is still far from being considered as a driver of sustainable development (in its social, economic and ecological dimensions) in development strategies. Therefore, there is a very low level of consistency with the international theory in relation to this aspect.

Finally, the thesis made evident that the most critical point is related to community involvement in the definition of urban heritage attributes and values. The assessment demonstrated that this point showed the lowest level of consistency with the international approach. The research highlighted how local communities are consulted in the definition of territorial and urban planning documents, WH management plans, and urban management policies which promoted a sustainable development. Furthermore, these consultation processes are supported by national and regional legislative frameworks. Nevertheless, among all the assessed documents, only the *Regional Orientation Plan of the Tuscany Region* (Florence) involved the local community in the recognition of urban heritage attributes and values to be safeguarded over time. Therefore, the two case studies are still very far from promoting a human-rights based approach to urban heritage conservation and management as suggested by the international approach. This is an important critical issue that may seriously affect the safeguarding of urban heritage's attributes and values over time. Local

communities have a primary role in urban heritage conservation and management as they experience local heritage on a daily basis. However, if local communities feel a sense of exclusion they may not be willing to actively contribute to the safeguarding of the urban heritage, nor facilitate its transmission to future generations.

Research Limitations and Future Research Lines

The thesis is limited to a degree by its focus on a comparison on only two case studies. However, considering the complexity of the assessment based on multi-scalar and multi-sectorial urban management tools, these two case studies worked as pilot cases to critically understand the current level of integration of the principles of a 21st international approach into urban management systems operating in historic urban environments. Moreover, they worked as pilot cases for testing the assessment framework on different national settings. The research identified the existing gap between theory and practice in these two contexts and provided a comparison between the respective results. Moreover, the research findings underlined good practices and critical aspects to be aware of that could be a reference model for other countries and cities around the world that share similar economic and socio-cultural profiles.

Nevertheless, this study is limited by its narrow approach. The selection of the case studies is purposely not representative of the full variety of cities across the world. Cities may vary substantially in relation to the parameters considered, such as city's dimensions (from small villages to large metropolitan cities), economic contexts (from very poor cities to very developed ones), demographic and social context as well as geo-cultural contexts.³³⁴ The research project could not include too many various examples, because it would have diluted the content of this PhD investigation, which was affected by time, financial and linguistic constraints. The assessment results demonstrated that Florence and Edinburgh's already incorporate some of the key principles of the international approach and critically discussed how this is done. Nevertheless, the same investigation applied to other historic urban environments not inscribed in the WHL and without a long history of urban heritage conservation and management may highlight very different results. This is particularly true for developing countries, which often do not have

³³⁴ For example, Asian, African, North and South American and Australian cities as well as other European region were not considered for the analysis.

regulatory frameworks or other conservation systems in place for the preservation of their cultural heritage (Birabi, 2007; Rogers, 2016).

Nevertheless, this thesis provided an important step forward in the definition and testing of a methodology for critically analysing local practices in different contexts. Further research can apply the assessment framework on other kinds of historic urban environments (not necessarily WH cities), belonging to other geo-cultural regions of the world. Its application may allow for a better understanding of the current situations of other cities, facilitating further comparisons between different approaches and improving theoretical knowledge. In this way, it might be possible to better define and understand both good practices and bad practices in existing urban management systems. *Section 3.6* underlined and discussed the limits of the assessment framework developed. By testing the assessment framework on other case studies, it will be possible to further improve its external validity and replicability on other forms of urban management systems, making it applicable to every kind of urban management system. Moreover, the assessment framework could also be improved, increasing its use in evaluating the level of effectiveness of the integration of the key principles of the international approach into existing urban management systems through a “weighting and aggregation system”, as already used in multi-criteria quantitative assessment tools (Mondini, 2009: 29-30; Ferretti *et al.*, 2014; Oppio *et al.*, 2014; Fattinnanzi and Mondini, 2015; Ferretti and Comino, 2015).

Further studies could also develop these research findings and explore how existing urban management systems could better manage change in historic urban environments. This study underlined that often the most critical issues in finding an adequate balance between urban heritage conservation and management arise during the decision-making process. Decisions are usually taken only by local administrators and are inevitably characterised by a final discretionary judgment. This judgement could support sectorial and limited interests, or the safeguarding of particular urban heritage values (e.g. aesthetic and historic or social and economic values), rather than the collective interest and the preservation of the overall urban heritage. Therefore, another aspect that could be explored is how specific evaluation tools such as *Heritage, Environmental and Social Impact Assessments* could be improved in order to develop useful decision-making supporting tools in situations in which parties hold diverging interests. *Environmental Impact Assessments* (EIAs) are the most diffused impact assessment tools in the European context. However, the same cannot be said for *Heritage Impact Assessment* (HIAs) and *Social Impacts Assessments* (SIAs) that

are generally included as part of the *EIAs* and are still not well known and an under-used ad-hoc evaluation tool. Furthermore, there is still a need to improve the existing compulsory tools such as *EIAs* for a more detailed consideration of all dimensions involved in the urban environment (and cultural heritage in particular), as well as to strengthen the effectiveness of other discretionary tools that can be used by local administrators, such as *HIAs* and *SIAs* (Jones and Slinn, 2008; ICOMOS, 2010; Lindblom, 2012; Pereira Roders and Van Oers, 2012; Appendino and Giliberto, 2016; Appendino *et al.*, 2016).

The thesis also highlighted that existing strategies for protecting historic urban landscapes are mostly based on the protection of specific buildings or urban areas as well as on the protection of the visual urban integrity. However, this study demonstrated how this approach is quite reductive in relation to the more holistic approach promoted by the new paradigm for urban heritage conservation and management. There is still a need to further explore how additional layers (e.g. intangible attributes such as traditional activities, cultural and historical relationships between attributes or between people and place) can be included in regulatory frameworks and planning tools in order to safeguard urban heritage. The suggested research could be undertaken within academia or in other research centres if funding is available. Moreover, such research could also be explored by an independent researcher (or by a research team) on behalf of national, regional or local administrations. The interviews conducted with local stakeholders in Florence and Edinburgh have already highlighted the need to carry out additional studies in relation to these research themes. Therefore, local administrations from all over the world might be willing to finance further research that investigates these topics. To conclude, this thesis provided a step forward in the promotion of a better balance between urban heritage conservation and development in historic urban environments. However, there is still a need to reconsider and re-frame current approaches to development and to work together toward making our cities more inclusive and sustainable.

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