OPEN HERITAGE

People. Places. Potential.

OpenHeritage: Deliverable 3.7

Transferability Matrix

	CLT (see 2.2.1)	Cooperative (see 2.2.2)	NPO (see 2.2.3)	Private (see 2.2.4)	Commons (see 2.2.5)	Municipal Ownership (see 2.2.6)
Stakeholder Integration						
Governance						
Project Management						
Contract Options						
Funding						

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 776766

Project Full Title	Organizing, Promoting and Enabling Heritage Re-use through Inclusion, Technology, Access, Governance and Empowerment	
Project Acronym	OpenHeritage	
Grant Agreement No.	776766	
Coordinator	Metropolitan Research Institute (MRI)	
Project duration	June 2018 – September 2022 (52 months)	
Project website	www.openheritage.eu	
Work Package	WP3	
Deliverable	Transferability matrix	
Delivery Date	30.11.2021 (month 42)	
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Dissemination level:	Public (PU)	**X**
	Confidential, only for members of the consortium (CO)	

This document has been prepared in the framework of the European project OpenHeritage – Organizing, Promoting and Enabling Heritage Re-use through Inclusion, Technology, Access, Governance and Empowerment. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 776766.

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Executive summary

The project **OpenHeritage** (2018-2022, www.openheritage.eu) identifies and tests best practice of adaptive heritage reuse in Europe. OpenHeritage is developing inclusive governance and management models for overlooked heritage sites using its six Living Labs and its study of good practices of adaptive heritage reuse implemented across Europe (Observatory Cases). The project collaborates with municipalities, residents, local businesses, and higher education organizations. OpenHeritage includes 16 partner teams from across Europe.

This report is intended for anyone whose academic background inspires them to engage with practical and conceptual issues of heritage and planning. The report presents the **transferability matrix**, which serves as a systematized overview of OpenHeritage's findings. The report provides a concise view of the heritage cases examined by OpenHeritage and can help structure and evaluate strategies that target adaptive heritage reuse.

The Transferability Matrix is mainly based on four concepts.

1. **Adaptive heritage reuse** (AHR)

When buildings lose their primary use, one of the ways to save them from falling into ruin or being torn down is to reuse them, through adaptive reuse. Although the reuse of buildings and sites brings many benefits, it also creates challenges, and OpenHeritage has dealt with both in depth.

In OpenHeritage we argue that reusing buildings, sites, ruins, and materials should be considered as a more sustainable alternative to the wasteful process of demolition. But we should not forget that these assets are not just materials, buildings, or sites. They bring about different (positive and negative) stories, meanings, and feelings for people. They are often significant for local communities, through their histories as well as their potential.

2. **Models**

Models have a medium degree of abstractness. In the context of OpenHeritage, models represent typical combinations of good practices and policies for adaptive heritage reuse (AHR). Therefore, models are sufficiently abstract to be applied in different places. At the same time, they can be represented by concrete examples, thus, they are sufficiently concrete. This is well illustrated by ownership models, which play a major role in OpenHeritage. Cooperatives are one such AHR ownership model. On the one hand, cooperatives can be represented abstractly, i.e. legally and organizationally, and on the other hand, they can be illustrated with concrete examples from different countries.

In the context of OpenHeritage, we can distinguish at least three types of models:
1. thematic models (e.g., ownership models),
2. a model of good practices (e.g., policy strategies for AHR),
3. model cases (e.g., Stará Tržnica, Bratislava, a good practice case for AHR).
The following table contains the OpenHeritage models sorted by two groups: first, ownership models and second, general strategies or specific cases as models. The large number of

ownership models demonstrates the great importance of the ownership issue for AHR.

Ownership models					
CTL: Community Land Trust	**Cooperative**	**NPO: Non-profit organization**	**Private**	**Commons**	**Municipal Ownership**
Strategies and Cases					
Heritage strategies	**Governance of inclusion**	**Flexibility**	**AHR Tactics**	**Cases as models**	**Disintegrated models**

3. **Mechanisms**

Mechanisms represent basically the conditions of application of the OpenHeritage models: Under which conditions can a model of adaptive heritage reuse be applied, or not? In OpenHeritage, we have identified five mechanisms.

Stakeholder Integration stands for the social function. This is about conditions of community building and communication in a community, in short, the local cooperation of people (focus on the micro view).

Governance stands for the political function. This is about social framework conditions (focus on the macro view). These can be formally regulated in a political system but can also consist of the (informal) exercise of power or corruption.

Project management refers to the specific organization and management of a specific AHR project (tasks, time, people, resources...).

Contract options stand for the range and effectiveness of legal arrangements to contract appropriately for a specific AHR case.

Funding stands for financing and securing resources for an AHR project.

MECHANISM	FUNCTION	
		highly recommended to do / to have / to use
		necessary to do / to have / to use
		to avoid (a hindering mechanism)
		! important constraint (to take into account)
Stakeholder integration	Social	early engagement of key stakeholders
		community integration/building
		lack of social trust
		! shared values
Governance	Political	support by local authorities
		multi-level governance
		lack of transparency
		! power relations
Project Management	Managerial	(social) entrepreneurship
		team building & timing
		incompetence
		! intermediaries, the potential of the place
Contract Options	Legal	long-term contract security
		ownership/partnership model
		an insufficient legal system
		! contract options limit funding options
Funding	Financial	business model
		sustainable funding
		corruption
		! non-financial resources (resource integration)

Mechanisms, functions and mechanism-specific conditions (more details in Chapter 3)

The Transferability Matrix is a matrix of the models mentioned above and the five mechanisms that can promote or hinder the transferability of the models. The following graphs show the resulting Transferability Matrix. The gray color is meant to indicate whether mechanisms become relevant here (dark gray = highly relevant). In the case of ownership models, funding is particularly relevant. Project management plays a major role in the strategies and cases models. The "Governance of Inclusion" model is the only model with an exclusive policy focus. However, the mechanisms can be not only beneficial but also a hindrance, e.g. in the case of corruption.

Transferability Matrix with ownership models

	CLT (see 2.2.1)	**Cooperative** (see 2.2.2)	**NPO** (see 2.2.3)	**Private** (see 2.2.4)	**Commons** (see 2.2.5)	**Municipal Ownership** (see 2.2.6)
Stakeholder Integration						
Governance						
Project Management						
Contract Options						
Funding						

Transferability Matrix with stategies and cases

	Heritage Strategies (see 2.3)	**Governance of inclusion** (see 2.4)	**Flexibility** ↑↓ : Diversification (2.5)	**AHR Tactics** (see 2.6)	**Cases as models** (see 2.7)	**Disintegrated models** (see 2.8)
Stakeholder Integration			Creation of ecosystems			recommended action!
Governance			↑		Lisbon	
Project Management			Adaptability		Szimpla Kert Stará Tržnica	
Contract Options			↓		Naples	
Funding			Creation of ecosystems			main focus

4. **The 4M model of transferability**

We often gain a strong experience of transferability when we meet with people with similar professional backgrounds and personally share concrete cases with them. This is also true for OpenHeritage. Beyond personal exchange, there are other means of transfer (e.g., texts, programs, tools), and there can be different goals of transfer (e.g., informing vs. co-creation). These different aspects of transfer are to be put into context with the 4M model. The model consists of four elements: meaning (of transfer), models, mechanisms and means (of transfer). The 4M model aims to clarify: What is the purpose of the transfer (**meaning**), what exactly is being

transferred (**models**), under what conditions (**mechanisms**) and through which channels (**means**)?

Meaning: What is transfer? Usually, we distinguish transfers according to what effect we want to achieve, e.g. inform someone, or enable someone to do what we have achieved. Or does transfer mean to export some technology or methods? Accordingly, we can distinguish at least five forms of transfer: information; capacity building (training/education); inspiration; co-creation; implementation.

Means: We can distinguish three forms in which knowledge can be embodied and thus transferred in our societies: people ("experts," …); materials / utilities / tools (texts, guidelines, programs,…); organization (organized networks, UNESCO/ICOMOS,…).

While the Transferability Matrix represents OpenHeritage's findings, the table below shows which means make which meaning of transfer possible. If it is only about information, then materials (reports, guidelines etc.) are sufficient. However, if it is about capacity building (e.g., training), then organizations that can offer training are helpful. The table also gives examples of means that have been developed or used in OpenHeritage.

Means →	**Materials / utilities / tools**	**Experts / People**	**Organization**
Meaning ↓	Reports Guidelines Videos ...	Professionals Academics Expert activists ...	Networks Associations Curriculum/Training ...
1. Information			
2. Capacity building			
3. Inspiration			
4. Co-creation			
5. Implementation			
Examples from OpenHeritage (as of Nov 2021)	Policy briefs; Toolbox; Database; Financial guidelines; Homepage; Video clips;...	Financial experts; Digital experts;	Trainings; Curriculum; City Networks; Consultancies; Webinars; ...

4M model. Gray: might suffice/seems necessary (in general, all means can be used for any type of transfer)

Short overview of this report

This report consists mainly of four chapters. Chapter 1 provides an introduction to the objectives, target audiences and methodology of the transferability matrix. Chapter 2 introduces the specific transferable AHR models. They represent the condensate of the findings of OpenHeritage. Chapter 3 describes the mechanisms on which the transferability of the models depends. Chapter 4 concludes by discussing how the Transferability Matrix can be used to communicate OpenHeritage and introduces the 4M model of transferability. Finally, the annex biefly presents theories as used in OpenHeritage.

List of abbreviations

4P	Public-Private-People Partnership
5H	Quintuple helix
AHD	Authorised heritage discourse
AHR	Adaptive heritage reuse
ANT	Actor-network theory
CHL	Cooperative Heritage Lab
DoA	Description of Action
Dx.y	Deliverable (e.g., D2.2)
OC	Observatory case
OH	OpenHeritage
TM	Transferability Matrix
WP	Work Package

List of deliverables

The list also includes additional documents from OpenHeritage that were used for this report. All these documents can usually be found on the OpenHeritage website for download (www.openheritage.eu).

D1.2	Mapping of current heritage re-use policies and regulations in Europe
D1.3	Typology of current adaptive heritage reuse policies
D2.2	Observatory Cases Report
D2.4	Report on the comparative analysis of Observatory Cases
D2.6	Transferability Report about the Observatory Cases
D3.1	Detailed work plan for WP3
D3.2	Evaluation Framework of WP3
D3.3	Interim report on the community involvement and governance evaluation
D3.4	Interim report on the evaluation of resource integration
D3.5	Interim report on the regional and territorial integration evaluation
D3.6	Finalized report on the European adaptive reuse management practices
D4.6	Interim Progress Report of the Cooperative Heritage Labs
D5.4	Guidelines for public private-people partnerships in adaptive heritage re-use [pre-version]
D6.1	Dissemination and knowledge sharing strategy
Policy Brief 1	Adaptive heritage reuse: Learning from policy and governance frameworks across Europe
Policy Brief 2	Collaborative heritage reuse: Enabling strong partnerships
Financial Guidelines	How to build a project-plan, project-structure and financial plan for community-led adaptive re-use projects.

1 Introduction

1.1 Aims, Context within OpenHeritage

The aims associated with the transferability matrix are both systematic and practical:

1) The transferability matrix should primarily serve as a **systematic overview** of the mechanisms, good practices, and policies in adaptive heritage reuse, based on the findings of OpenHeritage.
2) As a systematic overview, the transferability matrix is intended to **support** those who professionally accompany adaptive heritage reuse ("AHR professionals" etc.) and are interested in the findings of OpenHeritage.
3) The transferability matrix should provide some basic **explanation** (**why**?) and thus complements the toolbox (how?).

The transferability matrix (TM) has been defined in the DoA of the Grant Agreement as deliverable D3.7 of Work Package 3 (WP3):

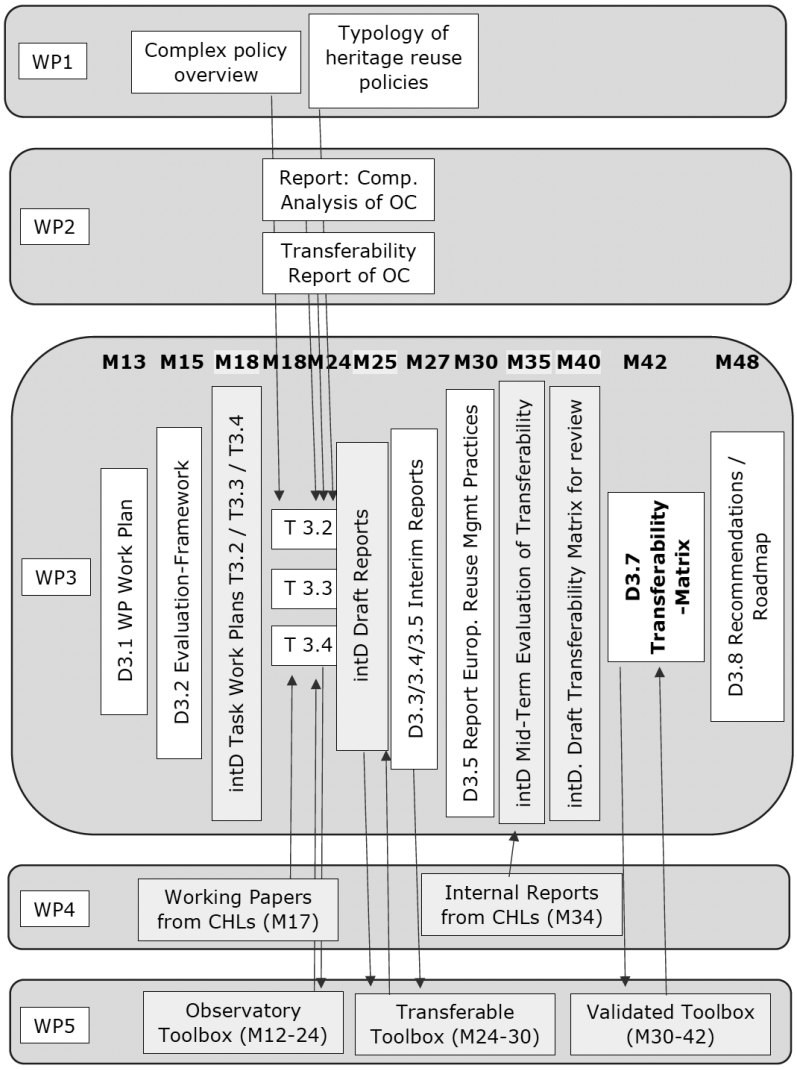
> ***The transferability matrix outlines the mechanisms that promote and hinder the adaptation and upscaling of good practices****; It is linked to task 3.1 and is a key deliverable* (Amendment p. 19, the emphasis in bold is added).

In the **objective of WP3**, the transferability matrix is introduced as follows (p. 17, the emphasis in bold is added):

> *The work package aims at evaluating current heritage management by contrasting the policies with the practices of adaptive re-use in Europe. It concentrates on the processes of transition between policy making and local implementation of policies in practice. Basis for the evaluation are the three main axes of the project: community involvement and multi-stakeholder governance; resource integration for financial and economic sustainability and territorial, regional integration. This work package connects the macro- and micro-scale analysis and using this knowledge creates* ***a complex transferability matrix, pointing to mechanisms that promote and also to those that hinder the transferability of good practices and policies****. Based on this knowledge it will create policy recommendations.*

Task 3.1, to which the TM is connected, is defined as follows (p. 17):

> *Evaluation and transferability framework (M13-M42): To structure the critical evaluation of the policies and regulations presented in WP1 and the OCs examined in WP2, the tasks creates an evaluation framework along the axes of: community involvement and multi-stakeholder governance; resource integration for financial and economic sustainability and territorial, regional integration. To do so it analyses professional standards based on literature review, collects criteria from OpenHeritage researchers and practitioners. It further identifies indicators using the work of WP1 and WP2, but also other data sources (such as community surveys, protocols etc.). Using the results of the detailed evaluation the task also oversees the creation of a transferability matrix.*



WP1 Mapping of current heritage re-use policies and regulations in Europe
WP2 Observatory Cases
WP3 Evaluation of adaptive re-use management: contrasting policies with practices
WP4 Cooperative Heritage Labs
WP5 Toolbox development

Figure 1.1: The transferability matrix (D3.7) assumes a key role in the OpenHeritage project. It brings together the experiences from the policy analyses (WP1), the sixteen Observatory Cases (OCs, WP2) and six Cooperative Heritage Labs (CHLs, WP4) into systematics, which will become an essential input for the development of the toolbox (WP5) as well as support the dissemination (WP6). Source: Deliverable D3.1 (p. 8). intD: internal deliverables (marked in light gray); M: month

1.2 Target audiences

OpenHeritage has numerous **audiences**. Figure 1.2 represents the first attempt at an overview of the target audiences. For some groups, specific measures or forms of transfer are being developed in OH, e.g. policy briefs (for policy makers) or trainings for AHR activists. In this context, the TM as a systematic overview has first and foremost an *internal* function in OpenHeritage. At the same time, the TM aims to support those who are *intermediaries* in the field of AHR, such as consultants, and could communicate the findings of OpenHeritage to the various other target audiences. In Figure 1.2, this group is identified as "Practitioners and researchers".

Local actors	Local administrations	Potential financial partners	Practitioners and researchers	Policymakers
Primary				
- Residents of CHLs and OC - Residents' associations in CHLs and OCs - Local NGOs focused on heritage management - Local businesses	Local administrations of CHLs and OCs, notably: - departments coordinating heritage management - departments responsible for sustainable development	- Project developers - Investors	- Heritage management professionals - Researchers interested in new approaches to heritage management	- National and European policymakers, dealing with heritage management, regional and urban development, social innovation and inclusion, entrepreneurship
Secondary				
- Residents' associations beyond the project scope	- Local administrations beyond the project scope - Networks and associations of local administrations	- Funding institutions -Businesses beyond CHLs	- Researchers interested in participatory governance, community empowerment, the role of culture in sustainable development	- International organisations curating topics of heritage management, urban planning, sustainable development
			- Civil society organisations focused on heritage use - Civil society organisations focused on community empowerment	

Figure 1.2: Primary and secondary target audiences of OpenHeritage's communications and dissemination activities. (Deliverable 6.1, *Dissemination and Knowledge Sharing Strategy*, August 2018, Table 2)

Table 1.2 shows a revised and condensed version that emerged during discussions on the TM. It is taken into account that there are always several levels of regulation for AHR in Europe (*multi-level governance*). The target audience of the TM falls under the categories "AHR professionals" and "Academia".

Table 1.2: Revised list of OH target audiences (August 2021)

Target audience	**Multi-level governance**	**OH transfer activities**
1. Policy makers	- EU policies - national policies	OH Policy briefs
2. Local activists/doers	local or regional	Trainings by EUTROPIAN
3. Funders	- transnational - national - local	Financial task force; Financial guidelines
4. AHR professionals (legal, financial, managerial)	- transnational - national - local	Trainings by EUTROPIAN
5. Local community	local	CHLs
6. Local businesses	local, regional	CHLs
7. Public administration	- national - regional - local	ICLEI conferences; CHLs
8. Academia (research, teaching)	- EU networks - national	Curriculum by CEU; scientific articles

1.3 The design of the Transferability Matrix

The transferability matrix (TM) presents the main findings of OpenHeritage are presented via transferable models (e.g. for funding) and mechanisms, i.e. conditions of applicability or goodness of models. The following section gives a brief insight into the derivation and design of the TM.

For a first, basic version of the TM, we can combine on the one hand **mechanisms** with on the other hand **transferability** of good practices and policies. The resulting matrix in Figure 1.3a represents a direct implementation of the definition of TM in the DoA ("a complex transferability matrix, pointing to mechanisms that promote and also to those that hinder the transferability of good practices and policies").

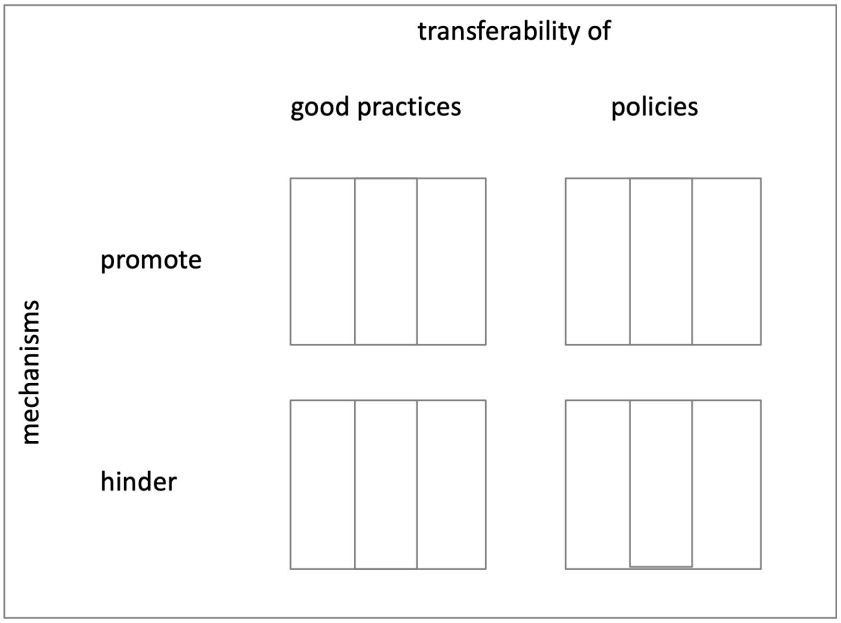


Figure 1.3a: Basic version of the transferability matrix. In principle, the matrix has two dimensions (mechanisms, transferability). Some definitions:
Good practices: qualified types of local AHR activities (can be adapted elsewhere, cannot be upscaled), e.g., involving key stakeholders in an early stage;
Policies: regulations with relevance for AHR (can be upscaled, downscaled, adapted; mostly political), e.g., regulations for historic preservation;
Mechanisms: a variable that, when changed, alters the transferability conditions of AHR good practices and policies (a measure, a factor…), e.g. stakeholder integration.

For an advanced version of the TM, we use models. **Models** are abstracted cases of AHR, they systematically describe combinations of good practices and policies. Models are abstract enough to be transferable, yet can be explained with concrete examples (from OpenHeritage). Models are represented in existing deliverables.

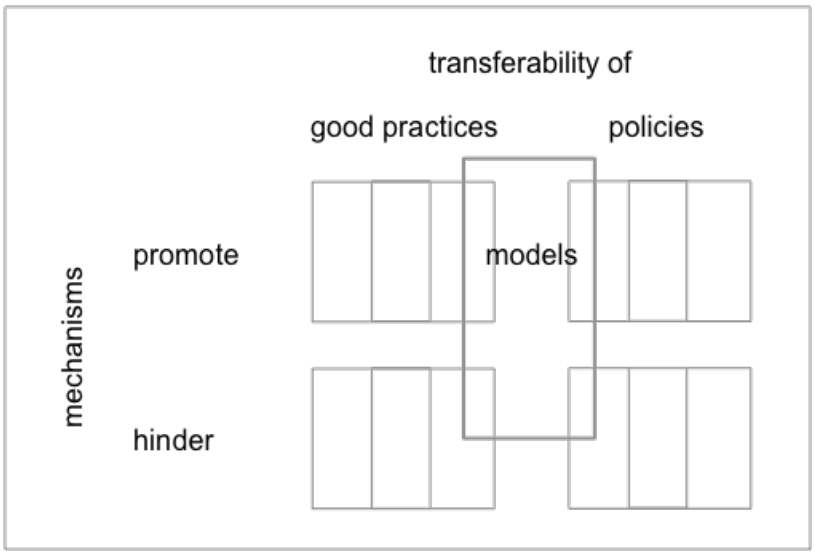


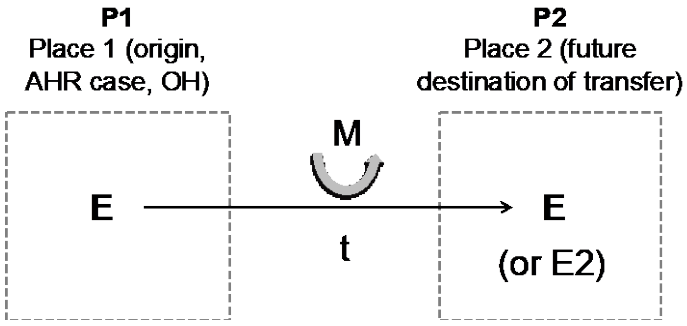
Figure 1.3b: Definite version of the transferability matrix (TM), including models.

The use of models is a solution to the problem mentioned at the beginning of case presentations that are either too abstract or too specific. In addition, models often include references to their conditions of use (e.g., regarding funding). This allows conclusions to be drawn about the **mechanisms** of application of these models.

Box 1.3: the tricky concept of transferability

Transferability is a tricky concept. It denotes a relational property of an entity **E**, located at an origin **P1** (and somehow connected there), to be transferable to a destination **P2**. Implicitly, there are other conditions associated with it besides entity (E) and places (P1, P2): A means of transfer **M** is necessary (a translation, a means of transportation, etc.). Moreover, transferability is also associated with a time component **t**: since transferability means a successful transfer, the question arises by when the success must occur, immediately or only after a while?

Figure 1.3c: General idea of transferability



E: entity to be transferred
P1: place 1, origin (includes context)
P2: place 2, destination (includes context)
M: means of transfer or transformation
t: Time it takes for the transfer to be considered successful
E2: functional equivalent of E at P2

Transfer **within** or **between**: It makes a big difference whether the transfer is to take place within the context (within a project, within a city, within a cluster of nations) or clearly leads into a new context (between projects, cities, nations). Generally, transferability is higher when the transfer occurs in the same context (within).

Last but not least, we must also consider that a transfer of E (e.g., funding by the city) can also happen using a replacement by another type of E (e.g., funding by the state lottery company), further referred to as **E2**. In this case, it is a transformation rather than a transfer. E2 must be **functionally equivalent** to E, i.e., fulfill the same function at P2 as E at P1 (e.g., as a repayment-free one-time payment). To be able to determine the functional equivalence, we have to analyze and compare the situation at P1 and P2.

Given the trickiness of the concept, it is easier to say when transferability is not given, for example, a **geographical** position is fixed and not transferable. The more the specific location reference is important, the less transferability occurs.
- no transferability: when focusing on the authenticity of the case
- low transferability: e.g., when national differences become important (D1.3)

1.4 National contexts

What role do national contexts play in the implementation of adaptive heritage reuse (AHR)? This question has preoccupied OpenHeritage from the beginning. The report D1.3 (*Typology of Current Adaptive Heritage Reuse Policies*) identified **three clusters** for AHR (p. 22):

1. AHR is common and facilitated: Austria, England, Germany, Netherlands, Sweden
2. AHR is somewhat established as a practice or coming up; there is a regulatory framework with some obstacles but trends towards more flexibilities: Flanders, France, Italy, Poland, Portugal, Spain
3. AHR is difficult: Hungary, Romania, Slovakia, Ukraine

These clusters result from the country assessment with respect to four AHR factors that characterize national AHR policies: flexibility, integration (vs. fragmentation), civic engagement, resources.

Thus, national differences could affect transferability in several ways:

a) AHR approaches may only be successfully transferable to countries from clusters with at least the same level of AHR policies.
b) In certain country clusters, the transferability of approaches from other countries may be limited (low levels of AHR policies).

However, this interpretation is not supported by the authors of D1.3, the main argument is that in some cases, single interventions - such as the appearance of a transnational funder - can always compensate for all other weaknesses.

The report D3.5 (*Interim Report on the Regional and Territorial Integration Evaluation*) describes governance by countries and distills **country-specific best practices**. In this way, countries represent types of governance and can be used like models, e.g., Germany for combating real-estate speculation.

Given this unconsolidated set of findings, the TM captures mechanisms (relevant to AHR) that can be regulated at the national level but does not include national differences or national clusters themselves.

1.5 Theory

The TM is intended to provide basic explanations. For this we need **theories**. Theories can make mechanisms understandable by presenting their effects in context, thus explaining the applicability of AHR models. Five **clusters of theories** became relevant to OpenHeritage. Table 1.5 provides an overview of the theory clusters and their implications for transferability. In the Annex, the theory clusters - as far as they are mentioned in the OpenHeritage texts - are presented in more detail.

Table 1.5: Theories as used in OpenHeritage (for details see the Annex)

Theory	Core idea	Relevance to the transferability of AHR practices/policies
Authorized Heritage Discourse (AHD)	Understanding the practice of conservation-planning as an 'assemblage' (actors, including organizations; laws/regulations; normalized practices/discourses), including an *Authorised Heritage Discourse* (AHD).	To be transferable, AHR models need to be embedded in the local conservation-planning discourse.
Theory and practice of the Commons	Governance of heritage as commons that relies on local collaboration, cooperativeness and co-ownership.	Transferability exists as soon as commons can be legally conceived.
Public-Private-People Partnerships / Quintuple Helix (4P/5H)	Sustainable urban projects require clear cooperation that includes not only public and private stakeholders (companies, local government) but also the public ("people").	Transferability exists when the relevant stakeholders are included.
Actor-network theory (ANT)	Understanding governance and local practices as the result of networks of actors continuously reassembling and organizing their network in a certain way to become more innovative and vigorous.	Transferability exists when similar actor networks become active.
Critical Heritage Studies	Analyzing heritage from a critical view, regarding processes (how does something become heritage?), the communities, values, intangible heritage involved, and the power relations implied.	Because of socio-cultural differences, transferability is viewed critically (e.g., due to power relations).

Note: These theories are presented here as used in the context of OpenHeritage. A presentation independent of OH might provide a different systematic. For example, PPP approaches (here 4P) and helix approaches (here 5H) do not normally belong together; Critical Heritage Studies would not be considered as a theory but as a field of approaches including AHD etc.

2 Models

The condensed transferable application knowledge of OpenHeritage is represented in the TM by models. This chapter first gives an introduction and an overview of the models. This is followed by a detailed presentation of twelve models or groups of models.

2.1 Introduction and overview

Models have a medium degree of abstractness: in our case, they represent typical combinations of good practices and policies for adaptive heritage reuse (AHR); thus, they are **sufficiently abstract**; at the same time, they can be represented by concrete examples, thus, they are **sufficiently concrete**.

As Table 2.1a shows, we can distinguish at least three types of models in the context of OpenHeritage:

I) **thematic models** (e.g., ownership models),
II) **a model of good practices** (e.g., governance of inclusion),
III) **model cases** (e.g., Stará Tržnica, an OC).

Depending on the context, each of the 16 OCs and 6 CHLs can be considered a model. The system of AHR support in one country can also be seen as a model, for instance, AHR-related measures in Germany, which also serve to curb real-estate speculation; then "Germany" would serve as a model. Table 2.1b shows all models sorted by two groups: first, ownership models and second, strategies or cases as models.

Table 2.1a: Examples for models

Examples for AHR Models from OpenHeritage		
I **thematic models**	II **a model set of practices**	III **model cases**
Ownership models (D2.6) - Community Land Trust model - Cooperative ownership model - Heritable building right model - Private ownership model - Regulation of the Commons model	Governance of inclusion (D3.6/5) a.) Setting up an open participatory process b.) Making use of space accessible c.) Ensuring affordable housing d.) Empowering marginalized groups e.) Strategies of sharing power f.) Politics and Policies to support inclusive processes	- Stará Tržnica ("Bratislava model", D2.2) - Germany (AHR and curbing real-estate speculation, D3.5)

Table 2.1b: Selected OpenHeritage models

Ownership models					
CTL: Community Land Trust	**Cooperative**	**NPO: Non-profit organization**	**Private**	**Commons**	**Municipal Ownership**
Strategies and Cases					
Heritage strategies	**Governance of inclusion**	**Flexibility**	**AHR Tactics**	**Cases as models**	**Disintegrated models**

Figures 2.1a and 2.1b provide an overview of the models presented in the following subsections. This overview shows which mechanisms - conditions - must be effective for a model to be applied. In principle, all mechanisms are relevant to any model in some way. The mechanisms are presented in detail in chapter 3.

	CLT (see 2.2.1)	**Cooperative** (see 2.2.2)	**NPO** (see 2.2.3)	**Private** (see 2.2.4)	**Commons** (see 2.2.5)	**Municipal Ownership** (see 2.2.6)
Stakeholder Integration						
Governance						
Project Management						
Contract Options						
Funding						

Figure 2.1a: Ownership models (here funding is the most important mechanism in any model)
Dark gray: most important mechanism; light gray: further mechanism

	Heritage Strategies (see 2.3)	**Governance of inclusion** (see 2.4)	**Flexibility** ↑↓ : Diversi-fication (2.5)	**AHR Tactics** (see 2.6)	**Cases as models** (see 2.7)	**Disintegrated models** (see 2.8)
Stakeholder Integration			Creation of ecosystems			recommended action!
Governance			↑		Lisbon	
Project Management			Adaptability		Szimpla Kert Stará Tržnica	
Contract Options			↓		Naples	
Funding			Creation of ecosystems			main focus

Figure 2.1b: Models based on strategies and specific cases. Dark gray: most important mechanism; light gray: further mechanism

2.2 Ownership models

Includes text by Markus Kip (UBER), Hanne Van Gils (UGent), Bahanur Nasya & Levente Polyák (Eutropian), Dóra Mérai & Volodymyr Kulikov (CEU)
Key references: deliverables D2.6 (*Transferability Report about the Observatory Cases*) and D2.2 (*Observatory Cases Report*)

2.2.1 Community Land Trust model

Community Land Trusts are a model of *community-led development*, where *local nonprofit organizations hold land* and develop and manage homes and other assets important to their communities, such as community enterprises, food growing or workspaces. In the US and UK context, and spreading to the European continent through Belgium, France and the Netherlands, the format of Community Land Trusts (CLTs) has been instrumental in helping residents create inclusive economic ecosystems and sustainable development models. By owning land (or leasing it from public owners) and leasing apartments, entire buildings or other types of properties to individuals, families or community groups, CLTs can control the use and price of such properties. CLTs therefore can use this leverage to guarantee that spaces in their management remain affordable, based on the income level of the locals living in the area. Typically, these leases are long-term over several generations, up to 250 years. Each CLT has a different governance system but they all share some characteristics: they are controlled democratically by residents, representatives of the geographical area within which they are embedded, and experts. In England and Wales, CLTs are described in the *Housing Regeneration Act of 2008*: any legal format that complies with that act can be considered as a CLT.

The first CLTs were set up as companies limited by guarantee. Some other CLTs are set up as charities. Nowadays most CLTs are established as community benefit societies, a legal format updated in 2014 that refers to membership organizations open to anyone in the local community just for the benefit of that community and that matches best the CLTs' ethos. The National CLT Network has developed a set of rules: most CLTs use these rules and it is up to their own decisions to define how their board should function and how they should involve their members and residents.

Best practice for AHR: *CLT – St Clements Site,* London (OpenHeritage OC, see D2.2)

2.2.2 Cooperative ownership model

A cooperative is democratically owned by its members, it is autonomous and self-organized. Cooperatives have existed in Europe since the Middle Ages. Housing cooperatives have also existed for over 100 years. Cooperatives need an appropriate legal framework and organizational skills. For example, the Vienna-based Sargfabrik project adopted the "Wohnheim" regulation that was designed for student accommodation or homes for the elderly. By the Sargfabrik project this model has been adopted for the purpose of living collectively and turned into a sort of cooperative within the framework of Viennese housing provision. This specific organizational legal form provides resident group access to housing subsidies, yet only for the construction and not for housing allowances. Moreover, the Wohnheim offers several exclusions

from the general building regulations. These exceptions from several building codes contribute to lower building costs that could be re-invested into the social infrastructure of the project.

Best practice for AHR: *Sargfabrik*, Vienna (OpenHeritage OC, see D2.2)

2.2.3 Nonprofit organization ownership model

In this model, *a nonprofit organization acquires a property* and leases it on the condition that the project is used for nonprofit purposes. This can be done, for example, with the granting of a heritable building right. In Germany, *heritable building right* (Erbbaurecht) is a form of long-term lease established more than 100 years ago to lease land to cooperatives building affordable housing or to enable poor families to build a house. This instrument allows tenants to pay an annual interest or lease fee instead of buying the land with an initial capital. The long-term lease (often 99 years) enables tenants to invest significantly in the site, building new structures or renovating old ones, therefore in practice it equals ownership rights, except for the right of selling the properties. Heritable building right is frequently used today to keep land in public ownership but encourage tenants to invest in the properties, or to keep land out of the speculation market. The heritable building rights contract also includes restrictions for the use of the properties, thus creating a mandatory framework for the future.

Best practice for AHR: *ExRotaprint*, Berlin, with Stiftung TRIAS as nonprofit foundation (OpenHeritage OC, see D2.2); *Hof Präkow*, Brandenburg (CHL, see D4.3 and Figure 2.2.3).

Figure 2.2.3 (Photo from www.openheritage.eu; includes text by Christian Darr and Rolf Novy-Huy, TRIAS; cf. D4.3 and www.openheritage.eu): The **Hof Prädikow** site (Brandenburg, Germany, 60 km from Berlin, www.hof-praedikow.de) had been mentioned for the first time in the 14th century. The relics of the old castle are still visible in the cellar of the manor house. After German reunification in the 1990s, the Hof Prädikow site was used by a series of tenants but became more and more an abandoned complex. About 20 years later some young Berlin citizens discovered the site and began to develop ideas for revitalizing Hof Prädikow. **Model**: Non-profit foundation as the landowner; heritable building right for a cooperative. In 2016 Trias foundation purchased the site and concluded a building

lease contract with the Mietergenossenschaft Selbstbau e. G. In January 2017. Today, a group of 24 adults and 12 children organize activities at the manor and the development of the site. On a larger scale, the development of Hof Prädikow is meant to be an example, a best-practice project showing that downscaling of rural areas can be stopped and even turned to the opposite. This building ensemble is meant to be a core to develop new perspectives in abandoned rural settlements. Just living is not enough as it will generate new commuting streams between the center (Berlin) and the rural area. **The Village Barn**: To restore the former function of the Hof Prädikow site as the social center of the village, it is planned to begin renovating one central building, a former barn and convert it into the "village barn". This will be the central point of exchange between the Hof Prädikow site and the village. Therefore, different usage ideas had been developed and "fueled" the architectural concepts ("village living room", co-working space etc.). The question of financing the construction of the village barn was addressed in an OpenHeritage team meeting in October 2019. As a result, a mix of sources, including equity of the SelbstBau cooperative, private loans and public subsidies were identified to realize the construction. The estimated project costs are about 750.000 EUR.

2.2.4 Private ownership model

In this model, *a private investor with a social agenda* provides a property that they already own or have acquired. The type of use depends strongly on the interests of the investor and the initiative of the other actors involved (artists, non-profit institutions, monument protection, etc.). Private ownership is perhaps the most common form of ownership in Europe today. Private property rights are one of the pillars of capitalist economies. Private property is a system that allocates particular objects like pieces of land to particular individuals to use and manage as they please, to the exclusion of others and the exclusion of any detailed control by society. In legal terms, it's usually a designation for the ownership of property by non-governmental legal entities. Private property is distinguishable from a public property which is owned by a state entity and from a collective or cooperative property which is owned by a group of non-governmental entities.

Best practice for AHR: *Jam Factory*, Lviv, with investor Harald Binder (OpenHeritage OC, see D2.2)

2.2.5 Regulation of the commons model

In Italy, the ownership model of the commons is based on the constitutionally granted access to "common goods" for "civic use" (art. 43 of the Italian constitution). It refers to a collective and free use of (public or private) spaces and assets and allows communities of use to manage these resources. In recent years, this constitutional right has found its way into local acts, as in the case of Naples, that guarantees the local community's right "to benefit from (state, local or private) lands, water and forest … subject to construction and privatization restrictions" (Local act no. 458, 2017). In 2011, Naples included the legal notion of the common goods (art. 3., c.2) into its Municipality Statute and established a department of *Town Planning and Common Goods*, the first of its kind in Italy. In the case of Scugnizzo Liberato, Naples, we have three key conditions: first, the legal basis recognizing "common goods", a collaborative municipality that is willing to work with that framework; second, an active citizenry that is willing and capable to engage in such "informal" acts of collaboration; and finally, a condition for taking over the asset is that the Scugnizzo Liberato has been abandoned and unused for years.

Best practice for AHR: *Scugnizzo Liberato*, Naples (OpenHeritage OC, see D2.2 and Figure 3.5.)

2.2.6 Municipal ownership model

Municipal ownership is a very common model in the context of adaptive heritage reuse. Municipal ownership can be an element of a city's strategic land planning. The actual site management can vary greatly depending on the property, context and stakeholders. A variety of additional funding is conceivable, especially EU funding. For the local actors, the question of long-term security of use arises, since the interests of users can also change with political changes.

Three successful forms of this model are presented.
1. Neighborhood houses: Neighborhood Houses are crucial community assets in various Turin neighborhoods, co-governed and co-managed by public and civic organizations. They learn from each other, as well as to work together on issues at the scale of the whole city. Best practice for AHR: *Cascina Roccafranca*, Turin (OpenHeritage OC, see D2.2; see also Figure 2.4).
2. Private enterprises with social spirit: For instance, *Szimpla Kert*, Budapest, established a model for how to design a ruin bar, setting up the standards also for hospitality service (see 2.7.1 Szimpla Kert, Budapest; but also 2.7.2 Stará Tržnica, Bratislava).
3. Open, organic development: The basic idea is to always leave room for adjustments by future generations. By keeping the development "organic", the development project retains the flexibility to adapt to changing stakeholder interests. Best practice for AHR: *Marineterrein*, Amsterdam (OpenHeritage OC, see D2.2).

2.3 Heritage strategies

Includes text by Dóra Mérai (CEU), Karim van Knippenberg (UGent) and Loes Veldpaus (UNEW)
Key reference: deliverable D3.6/2

The Heritage Strategies model defines a set of loosely linked strategies that can be arranged sequentially. The strategies are aimed at individual activists and doers who lead an AHR project, as well as cities.

In general, it should be noted that heritage has the *capacity to integrate* (but then also by default to divide) a wide coalition of institutional stakeholders, education, skills, regeneration, culture, arts, music, academia, business etc. Therefore, heritage is important in narratives of local and regional identity.

a.) **Strategy: get a formal heritage status for a site**
Gaining a special protected heritage status (whether on local, national or World Heritage level) contributes to the "heritage status" of an object/neighborhood. This can increase the focus on heritage and make it part of an international discourse (WH) or a thematic one (e.g., on industrial heritage, religious heritage) and can help to share experiences about adaptive reuse for cultural purposes.

b.) **Strategy: preservation of heritage by using**
Finding a (new) use, and thus users for a building is seen as one of the most effective ways to take care of a heritage asset in the long run, whether these users come in post-renovation, or as part of the process. Developing a community around the site from an earlier moment in the process can be a way to make sure that the restored buildings are part of the community, and they are taken care of as such in the future.

c.) **Strategy: raise awareness about heritage**
In many cases, we see that raising awareness about heritage is a way to start the adaptive heritage reuse process. Temporary uses and events can raise interest and establish effective relationships with the site and enable people to explore the heritage and as such to raise awareness.

d.) **Strategy: connect heritage with people**
Going beyond awareness-raising, this strategy is about facilitating connections between people and places. Combining the material restoration of the building with its social reuse and reintegration into the community is a way to develop impact. Yet, the ways to connect people with place, and involve them in the related processes vary in different contexts and per stage of the process.

e.) **Strategy: align heritage values and socio-economic values for long term sustainability**
Both the generic "heritage designation" and specific selections of heritage values can be used as motivators in attracting people and resources to projects and areas. The way heritage is interpreted influences who or what is attracted. Different values and stories can be relevant for different sectors, levels of government, other governance and funding bodies. Heritage values aligned with broader socio-economic values can also help community-oriented development schemes to keep the focus on the social aspects, and not lose the project to speculation.

f.) **Strategy: amplify the heritage links**
Many of the projects in OpenHeritage use or benefit from partnerships to amplify and connect the very localized heritage assets and their values and link them into wider networks.

g.) **Strategy: platform heritage thematically**
Making heritage the main theme of a period by national, regional or local governments can be a smart strategy to mainstream heritage, and invest in its development as a sector as well as its integration in other sectors and policies.

h.) **Strategy: explore multiple layers and voices of heritage**
The aim to be more inclusive in heritage projects tends to focus on strategies around incorporating (immaterial) heritage and capturing local knowledge. Stories and intangible heritage can be very important in the inclusion of people in a project. Heritage can attract, create a sense of belonging, bring together, and be inclusive, but it can also divide and exclude. Both qualities may be used, sometimes strategically, sometimes with less awareness.

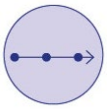
i.) **Strategy: explore and reflect on the different understandings of heritage**
When looking at a project, the issue of who is involved – e.g., who is seen as responsible for its maintenance – can tell something about how heritage is perceived.

2.4 Governance of inclusion

Includes text by Hanne van Gils (UGent) and Markus Kip (UBER); graphics by Hanne van Gils (UGent); key reference: deliverable D3.6/5

The Governance of Inclusion model encompasses a set of policies that can be understood as additively complementary. The model is normative and is intended to contribute to the UN Sustainability Goals in particular. Specific examples can be found in reference text D3.6/5.

a.) **Setting up an open participatory process**



Inclusion is about improving the terms of participation in the decision-making process in such a way that all types of stakeholders can be represented democratically. As we mentioned before a requirement for an inclusive process is 'active' involvement. We can distinguish several strategies that together form essential steps in the process: mapping stakeholders, collecting local knowledge, making a mission statement, integrating local knowledge in the design process and officializing the results and engagements.

b.) **Making use of space accessible**

Accessibility (physical or non-physical) is about removing barriers. When talking about accessibility often disability comes to mind. Across the world, it affects 15 percent of the population. While some forms of disability are permanent, many of us will acquire it through injury, illness or aging. Even more people face invisible barriers because of gender, religion, sexual orientation, or income - or simply while navigating the city with a stroller.

c.) **Ensuring affordable housing**

In an "ideal city", affordable housing is a priority striving to create neighborhoods with a mix of housing types for a mix of budgets, and with a variety of rental, ownership, and equity models. High land prices, restrictive regulations, and the interest of short-term investors often impact affordability. Therefore, the ideal city would unlock unoccupied and underused heritage buildings in public or private ownership.

d.) **Empowering minorities**

There are multiple ways to empower local communities, a particular focus being on education and job creation.

e.) **Strategies of sharing power**

Once an adaptive reuse project is set up and physical spaces are renovated and defined, an important and common strategy of civic initiatives is to include additional participants or members in the project by sharing decision-making power over the programming, use and management of the common space with newcomers.

Figure 2.4: **Cascina Roccafranca, Turin, Italy** (photo: Eutropian; with text by Jorge Mosquera & Levente Polyák, Eutropian, and Hanna Szemző, MRI; see D2.2): Cascina Roccafranca is a multi-functional community center located in a former farmstead in Turin's outskirts. After 30 years of vacancy, Cascina Roccafranca was bought by the Municipality of Turin and requalified with the support of the European Union Urban II program. Today, Cascina Roccafranca is a public asset managed through cooperation between public and civic actors and it provides a wide range of social and cultural activities. Since 2012, Cascina Roccafranca has been part of a network of similar community centers in Turin which was formalized in 2017, and today collaborates with the City Council in the management and the regeneration of urban commons. Cascina Roccafranca served as a model to create similar **Neighborhood Houses** (*Case del Quartiere*) in other areas of Turin. Neighborhood Houses are crucial community assets in various Turin neighborhoods, co-governed and co-managed by public and civic organizations. The loose framework of Case del Quartiere allows spaces with different management and governance schemes to belong to a joint network, helping them to refine their models and learn from each other, as well as to work together on issues at the scale of the whole city. **International transfer**: Cascina Roccafranca inspired community spaces in Peja, Kosovo, and commons development in Durres, Albania (see also URBACT transfer network, https://urbact.eu/co4cities).

2.5 Flexibility strategies

Includes text by Jorge Mosquera & Levente Polyák (Eutropian) and Hanna Szemző (MRI)
Key reference: deliverable D3.6/5

A core theme of OpenHeritage is the role of *flexibility and adaptation* in the strategies of different *organizations* (public, private and civic) facing foreseen and unforeseen difficulties. OpenHeritage defines flexibility and adaptation as characteristics of the *resilience strategies* that different organizations can pursue, enabling them to face and overcome challenges of various kinds.

Conceived in itself as a process of change, adaptive heritage reuse requires simultaneously *physical* (focusing on the building and the site) and *organizational* (who runs it and what is the purpose) adaptation and flexibility. Many adaptive reuse projects are central components of urban redevelopment strategies, and they have become key in repurposing urban centers, co-producing public spaces, and helping the sustainability and the survival of lived heritage while providing opportunities for engagement for communities and bottom-up initiatives (Bonfantini, 2015).

We can distinguish three main strategies as variations or elements of the sought-after flexibility (specific examples can be found in D3.6/6):

1) **Adaptability**: the capacity of an initiative or organization to adapt to changing circumstances even without intensive exchange with others and carry it out mostly relying on its own resources;

The importance of adaptability is reflected by the *Milan 2020 Adaptation Strategy*, which builds on public-private partnerships and recovery measures to address the current health crisis as well as future urban challenges. It is aimed at supporting social innovation and social cohesion as a means to fight the effects of the Covid 19 crisis. One of its immediate actions was to have dual use of infrastructures with a temporary conversion of buildings to make a significant contribution to the emergency management: Milan school oasis, "Open Schools" turned school buildings, particularly during the summer months, into community areas and green spaces dedicated to educational activities; “Milano Abitare" transformed used vacant apartments as emergency housing; accommodation facilities or other public and private facilities (e.g. Hotel Michelangelo) were also used for emergency management. In Milan, adaptability is both a way to cope with the crisis and to prepare the city for future challenges.

2) **Diversification**: the ability of an initiative to establish new connections with its social, cultural, economic and territorial context and to provide new services;

One possible aspect of diversification regards the decision-making structure, as it was done in *Cascina Roccafranca in Turin* (see Figure 2.4). The initiative has diversified its governance structure to include a variety of organizations besides the municipality. This structure assures that a multiplicity of voices is heard in the decision-making process that concerns the future of the building complex. Such a diversity of voices helps the organization to remain open to a variety of opportunities and stay sensitive to changes that affect the organization.

3) **The creation of ecosystems**: activities focused on network building that enables individual organizations to join forces and complement each other by moving resources and capacities more efficiently according to emerging needs. One such example is the Fórum Urbano, Lisbon (see Figure 2.5a). For further examples see Polyák et al. (2021).

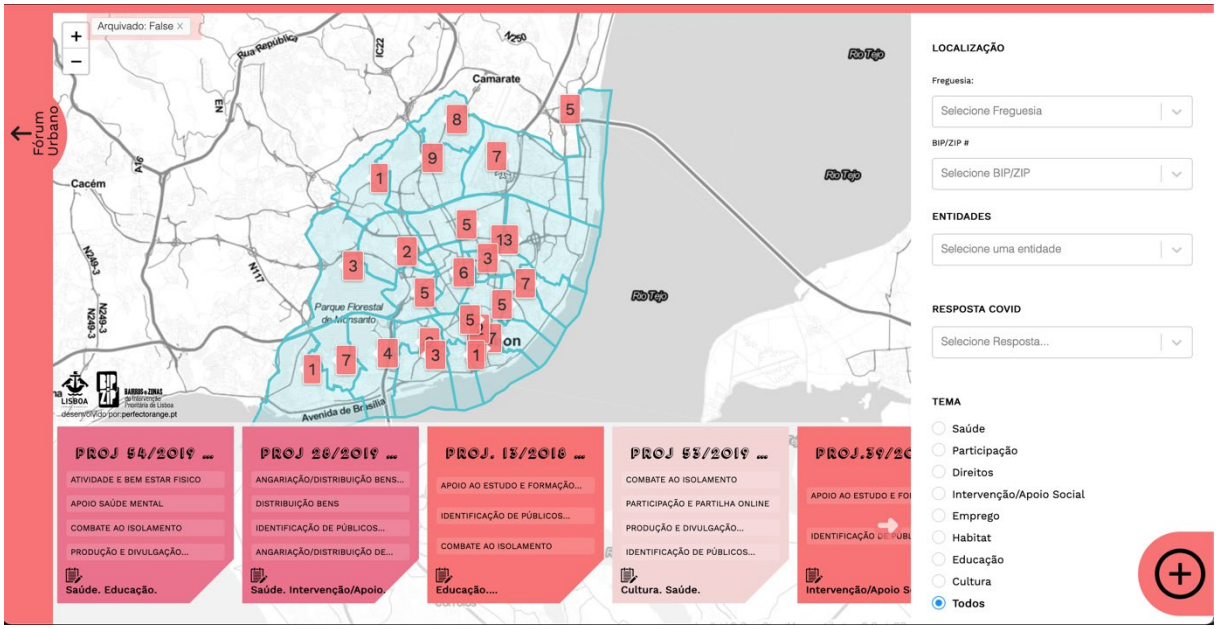


Figure 2.5a: **Lisbon, activating social initiatives** (Source: https://forumurbano.pt/covid19): A specific approach to ecosystem building is represented by the City of Lisbon, which has shown a strong institutional commitment to do so. Following the first effects of the Covid crisis *Local Development Department* together with the *Fórum Urbano* project promptly created an interactive online map with all the social initiatives of the "Energia BIP/ZIP" program. Initiatives were very different, from psychological help to hospital equipment, and from food support to cultural services. The message sent by the Municipality was clear: in such a moment of emergency crisis, projects from the BIP/ZIP program (for local development in different priority areas) were mobilized to demonstrate their social value.

The three strategies can be sequenced - as shown in Figure 2.5b on the left. In the context of TM (Fig. 2.5b on the right), it can be stated that adaptability as a strategy is initially a project management issue. Other mechanisms become relevant via diversification. Ecosystem building as a strategy must finally achieve both sustainable funding and clear community integration.

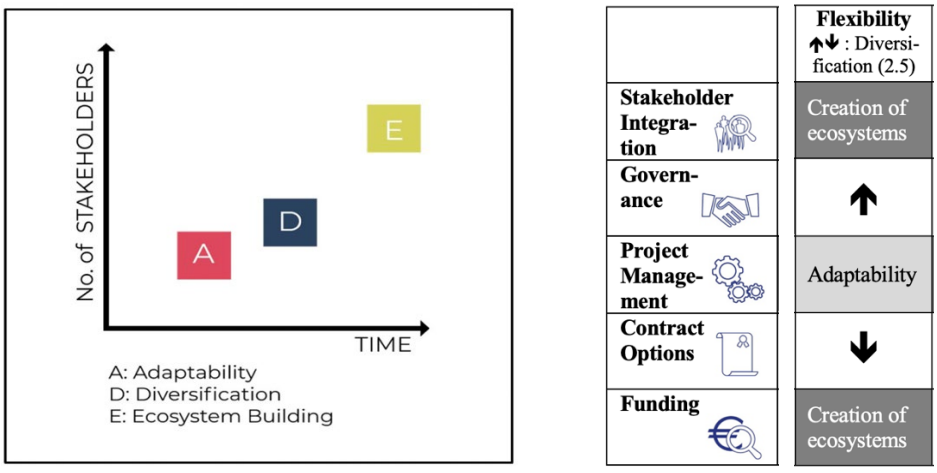


Figure 2.5b: Three interrelated strategies in pursuit of flexibility (left: as introduced in D3.6/5, p. 122; right: within the transferability matrix)

2.6 Transferable tactics for adaptive heritage reuse

Includes text by Hanne van Gils (UGent), Iryna Sklokina (CentUrbHist) and Levente Polyák (Eutropian)
Key reference: deliverable D3.3

Depending on the phase of an AHR project, specific "tactics" are available to project management. These are described below using an ANT-oriented 4-phase mode (actor-network theory, ANT, see 6.4).

A) Problematization: *Definition of a problem or idea by an initiator. The initiator makes other actors aware of this viewpoint. The actor tries to express the problem and the possible solutions. Here we can see tactics with a focus on creating awareness to get new people on board and create public backing*.

Process and participatory tactics
• **Informal meetings** with a group of people that have a shared ambition • **Formalizing the initial coalition** by registering as an association, alliance, … : This creates a better position in negotiations with other communities. • **A mission statement** as a starting point: defining a common missing in the initial phase gives a clear focus or goal to focus on. • **Public dialogue to define potential projects**: this can be interesting for public actors who feel the need for change on neighborhood level but lack specific local knowledge. • **Media tactics**: to mobilize the public opinion and to promote the tenants' vision. • **Strong articulation of agenda and alternative solutions**: not only criticism but a constructive proposal of alternative. • **Launching a call for engagement**: this is important in the case of public bidding. • **Formulating a pro-active proposal**: including a rental fee and detailed timing. This creates a feeling of trust on the side of the municipality. • **Hack classical coalitions**: for example, the public bidding for St Clements CLT (see 2.2.1), this was a classical development. But the CLT happened to offer a good and interesting alternative for affordable housing.
Design and technical tactics
• **Feasibility study**: this was done in the Stará Tržnica case (see 2.7.2), they did a feasibility study including an estimation of the renovation costs with the help of various experts before engaging in the contract with the municipality.

B) Interessment: *An actor or group of actors tries to involve new actors in a viewpoint. By this, old networks will gradually be replaced by new ones. The idea is communicated, through visualizations, media, … Here we see tactics that focus on participatory processes, programming and structuring coalitions.*

Process and participatory tactics
• **Capturing locale knowledge**: there are multiple tools for doing this depending on the aim of the project and the level of community involvement (see Arnstein, 1969); for example idea incubator, walking tours with locals, interviews, …This adds more meaning to the design and therefore public backing for proposals. • **Organization of co-design moments**: participatory design strategies can take on many forms, the format of the session should match the goal set in the initial phase. • **Organizing events**: to create momentum, awareness and to involve the local community. • **Using designers**: in multiple cases, the involvement of architects is crucial in translating the wishes from different actors and navigating the heritage policies. • **External moderators**: can design and moderate the participatory process, as mediators between the different actors. • **Making local historical memories accessible**: by archiving and showcasing. • **Temporary use on site**: Creates the opportunity to test different functions/ usages. • **Selecting tenants based on potential cooperation**: with other tenants as well as the social value that they can create. Some activities do not generate much income but contribute to tying together the community. • **Contracts with foundations with non-profit goals** and promotion of alternative (non-speculative) dealing with land and property. • **Activate supportive legislation**: like "asset of cultural value".
Design and technical tactics
• **Renovating the building step-by-step**: creates the opportunity to start using the project and spreading the investment depending on the revenues from renters and being sensitive to their opinions and needs. • **Research into architectural heritage values** of the building (with the publication of a book) makes the identity of the place more explicit and helps to reinforce the place attachment. • **Designing for the long term**: this of course is very specific for each project. • **Enabling shared use of space**: how can spaces be used in different ways by different types of users?
Management and governance tactics
• **Divided ownership structure**: this requires a specific governance model.

C) Enrollment: *The network stabilizes, coalitions and flows of money become structured. The project is being activated. Here we see tactics that focus on stabilizing the management structure, creating different structures for decision making and financial stability.*

Process and participatory tactics
• **Structuring the decision-making process:** this is linked with the choice for the governance structure of the project. • **An internal contract** between users and association with rights and obligations to structure the collaborations. • **Integrating public functions for social impact and as a resource:** if this is in line with the mission and possible (context). This can raise the quality of life for the users (internal) and local community (external), and become an important resource. • **Keeping an open agenda:** for example, in public spaces, the program or agenda can be organized in coalition with actors from different communities and therefore be more in line with local needs. • **Matchmaking between tenants**: through regular tenants' meetings coalitions are sparked. • **Investing in people:** It is not only about the project as a building structure but also about having the right people in the right place. • **Creating incentives for social impact:** For example, in the case of Stará Tržnica (see 2.7.2) the Alliance chose to work with 'stable businesses' and asked them to create social value in exchange for lower rent.
Management and governance tactics

• **Professionalizing the management structure**: create clear rules and responsibilities, perhaps paid when possible. But keeping other tasks open for volunteers (internal-external) this creates the possibility for people to take ownership.
• **Designing a governance model** that supports the mission and that allows for certain strategic coalitions to become structured.
  o Association with a cooperative model (see 2.2.2)
  o Starting a public-private foundation: this format simplifies Cascina's management (see Fig. 2.4) and it enables it to generate revenues through its spaces and activities (such as rents for events)
  o Nonprofit company
  o NGO alliance
• **Residents association**: to democratize the decision-making process between the different types of residents on site
• **Selection procedure for homes** to live up to the initial ambition: for example in London CLT (see 2.2.1) and Sargfabrik (see 2.2.2).
• **Creating a social fund:** only relevant if this is in line with the mission and governance structure.
• **Diversify in types of funding, with a common system of governance**: by including different types of resources (public, private, own resources, …) the project becomes more resilient in times of crisis, for example during a pandemic
• **Public funding**, as sponsorship or by joint functions
• **Private support** through self-financing events and fundraising activities
• **Community shares**: for example, in London CLT (see 2.2.1, D2.2) the structure allows for use of community shares. The term 'community shares' refers to withdrawable share capital; a form of share capital unique to co-operative and community benefit society legislation. This type of share capital can only be issued by cooperative societies, community benefit societies and charitable community benefit societies.

D) Mobilization of allies: *Now that the project is up and running, how can it be made to last, and have an impact on the system? Here we see tactics that have an outward focus, expanding outside the boundaries of the project. With a focus on sharing knowledge, spin-offs and institutional change.*

Management and governance tactics
• **Creating a network of projects** to increase social impact and share experiences, knowledge, facilities. • **Creating spin-offs**: the model of Stara Trznica (see 2.7.2) and moreover type of contract between the Alliance and the city becomes a product or services that can be transferred to similar projects. • **Expanding focus**: when the project is successful, the attention can shift from the building to the public space. • **The Regulation of Urban Commons** (in Naples, see 2.7.3) provides tools for a formal collaboration between citizens and administration in running community venues. • **Cooperation with municipality** via providing space for important social organizations dealing with issues of employment, integration of migrants, work with youth. • **Consultancy and sharing experience** with similar initiatives.

2.7 Cases as models (stories)

In the context of OpenHeritage, it has been shown that individual AHR cases or even cities can become models. As a rule, at the center are committed actors from the private sector and the administration who possess organizational skills and also have or implement a social mission.

2.7.1 Szimpla Kert, Budapest: the potential of the place!

Includes text by Dóra Mérai and Volodymyr Kulikov (CEU)
Key reference: deliverable D2.2/6

Potential of the place: The so-called *Jewish District* is a historical neighborhood in the center of Budapest. Recently it has also been known as the "Party District" or "Ruin Bar District" referring to a phenomenon that emerged around 2000 when courtyards of dilapidated empty buildings signed for demolition were turned into combined hospitality and cultural venues. Ruin bars bringing life to the run-down district still in need of revitalization a decade after the fall of Socialism became very popular among locals and tourists, and since the 2010s grew into a mass phenomenon.

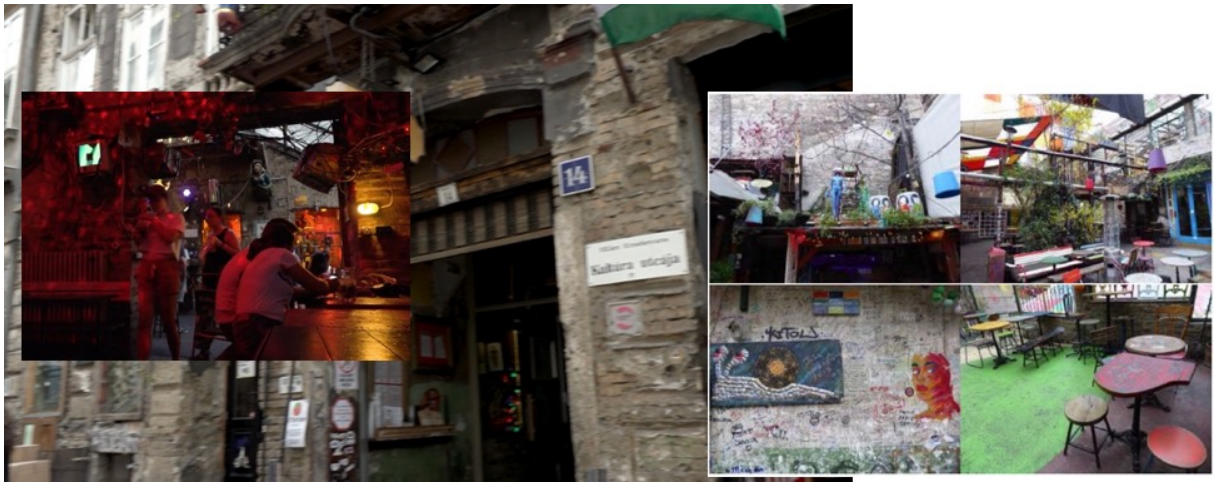
Szimpla Kert: The history of *Szimpla* started in 2001 when Gábor Bertényi, Márk Gauder, Attila Kiss, and Ábel Zsendovits established a small bar on Kertész Street in the 7th district of Budapest. The founders were not professionals in the hospitality industry; they had degrees in social sciences and art. This background brought new aspects to hospitality practices in Budapest: they aimed to establish a cultural and community center with a variety of cultural and social programs (Molnár, 2019). In 2002 they opened the first Szimpla Kert, an open-air venue in an

inner courtyard on Király Street, which in 2004 moved to 14 Kazinczy Street, a dilapidated nineteenth-century house that is now a protected monument (Somlyódy, 2007; Molnár, 2019). Step by step, they made their home in the building, which became an iconic feature of the world-famous bar.

The *vision* of Szimpla from the very beginning was to be an organization that gathers creative people, hosts cultural events, welcomes civil movements, and gives space to everyone to meet and share cultural experiences. Szimpla Kert is a *private* enterprise, owned by Szimplacity Ltd (SzimplaCity Szolgáltató Korlátolt Felelősségű Társaság). It is a financially successful enterprise that can sustain its core mission. The sites of the first two Szimpla were in *municipality* ownership.

Ruin bars: Ruin pubs multiplied in less than a year after the establishment of the first open air Szimpla in 2002. The managers of Szimpla organized free courses on how to run such bars (Somlyódy, 2007). Since then, Szimpla became a *role model* for similarly oriented cultural and hospitality innovators. With a few other pioneers, they established a phenomenon that is known now as ruin bars. The main characteristic features of ruin pubs are (based on Lugosi et al., 2010):

- Entrepreneurial and opportunistic character
- They relied on personal investment, networks, financing.
- They were temporary and flexible in their manifestation and space (but professionalized later).
- Importance of adaptive reuse of heritage, space, and objects. The reuse of unusual premises and objects adds to novelty and creativity.
- A strong relationship and organic cooperation between the commercial element and cultural character



Szimpla Kert, street view, interiors (photographs: Eutropian and Dóra Mérai)

Core message: activate **the potential of the place (its soul)**
Transfer: within the Jewish District, Europe-wide (ruin bars)
Similar OpenHeritage OCs (as to activating the potential of the place): Marineterrein, LaFábrika detodalavida

2.7.2 Stará Tržnica Bratislava: you need a business model

Includes text by Levente Polyák, Daniela Patti, & Bahanur Nasya (Eutropian)
Key reference: deliverable D2.2/8

Summary: Stará Tržnica (Old Market Hall) is a historical building in the center of Bratislava. The Old Market Hall of Bratislava, designed by the city engineer Gyula Laubner, was completed on 31 October 1910. The building, situated at the edge of Bratislava's historical center and built-in connection with the old town's wall, was operating as a municipal marketplace until 1960. The building closed down after years of unsuccessful attempts by the municipality to keep the market alive. Years later the market hall reopened with a redevelopment plan proposed by the *Alianca Stará Tržnica* (Old Market Hall Alliance), combining a food market every Saturday with cultural events on other days, as well as two cafés, a grocery shop, a cooking school and a soda water manufacture. Rethinking the opportunities of the Old Market Hall allows the organization to run the building in an economically sustainable way, while gradually renovating it and creating a new event venue and meeting space in the heart of the city.

Old Market Hall Alliance: The Old Market Hall Alliance, an NGO established to elaborate a special program for the building, was created by a team of experts, eleven people from different disciplines. The team was composed of people with real hands-on experience. One founding member of the Alliance had been running concerts for 20 years and knew everyone in the music field as well as all details related to running events; another member had been organizing markets for years and was ready to bring this experience into the market hall.

The food market: The food market is at the core of the Old Market Hall. The food market component of the Old Market Hall Alliance came through Illah van Oljen, a Dutch urbanist who began organizing local markets in Bratislava in 2011 by closing off streets, inviting producers and inviting neighbors. Together with Slow Food Bratislava, Illah wrote a plan on how to bring back the food market into the Old Market Hall and, emphasise the importance of gradual, organic growth.

Rent-to-investment scheme: The Alliance conceived the new market hall's model to be economically sustainable and financially separated from the Municipality, with no public subsidies involved. The 15-year (10 years + 5 years extension) contract signed between the Alliance and the Municipality states that the Alliance pays a symbolic 1 euro rent per year to the Municipality and has to invest 10.000 euros per month in the renovation of the market hall for the entire duration of the contract: this amounts to 120.000 euros per year and almost 2 million euros by the end of the contract. While the 10.000 euros monthly investment cannot include in-kind work, the investments of the tenants can be calculated as part of it. Each item of investment is overseen by a supervisory board that includes municipal officers and members of the association.

Stará Tržnica: exterior view, market hall (photographs: Eutropian)

Core message: you need a **business model**
Transfer, examples: Rožno Monastery (Slovenia), Nova Cvernovka in Bratislava (Slovakia), Lucerna terrace in Prague (Czechia), Cloister in Brno (Czechia).
Similar OpenHeritage OCs (role of the business model): Szimpla Kert; Largo Residenciâs

2.7.3 Naples: regulate commons

Includes text by Federica Fava, Fabrizia Cannella & Giovanni Caudo (UNIROMA3)
Key reference: deliverable D2.2/2

Summary: Naples has a noteworthy heritage strategy. The best example is the Scugnizzo Liberato, one of the bottom-up experiments formally recognized by the Municipality of Naples (see Figure 3.5). The focus of this strategy is to give value to common goods and reinterpret the traditional legal institute of "civic use" (uso civico).

Commons: The ongoing process happening in the Cappuccinelle complex is part of a broader strategy adopted by the Municipality of Naples, based on common goods and the notion of "civic uses" (usi civici) which are defined as the local community's right "to benefit from (state, local or private) lands, water and forest […] subject to construction and privatization restrictions" (Local act no. 458, 2017). Specifically, the Municipality has been experimenting with new urban governance tools to give back to the local community public and private abandoned properties. This term "civic use" (uso civico), thus, refers to a collective free use of public and private spaces, inspired by the constitutional principles of art. 43 of the Italian Constitution. It «focuses on the possibility to entrust the 'user communities' (along with public bodies) with the management of essential services or energy resources» (Ciancio, 2018, p. 287). The Neapolitan model has brought citizens to the core of the decision-making process, overcoming the dualism of the public-private regime based on new community relations (Masella, 2018).

Department of Town Planning and Common Goods / Naples Laboratory for the Constituent of Common Goods: Since 2011, the neo-elected Mayor Luigi De Magistris has been opening the way to a new shared and participatory system to identify and implement local policies inspired

by principles and concepts of the commons. The first act of 2011 was the modification of the Municipality Statute by including the legal notion of common goods (art.3, c.2), and establishing Italy's first department for this matter: *Department of Town Planning and Common Goods* (Assessorato ai beni comuni e all'urbanistica). In 2012, the *Naples Laboratory for the Constituent of Common Goods* (Laboratorio Napoli per una costituente dei beni comuni) was established. The laboratory is composed of thematic chambers accessible to citizens that can act as an advisory body and express citizens' concerns. The Laboratory, thus, is set to support the development of bottom-up initiatives meant for the care and regeneration of the urban commons.

Core message: **regulate commons**
Transfer: e.g., URBACT (2018)
Similar OpenHeritage OC (as to comnons): Cascina Roccafranca, Turin

2.7.4 Lisbon: an active, integrated strategy

Includes text by Federica Fava, Fabrizia Cannella & Giovanni Caudo (UNIROMA3), Loes Veldepaus & Miranda Iossifidis (UNEW), Hanne van Gils & Karim van Knippenberg (UGent)
Key reference: deliverable D2.2/2

Context: In Lisbon the *Urban rehabilitation areas* (ARU) and the following "priority intervention neighborhoods" defined through the BIP/ZIP programs (www.edcities.org/en/proyectosf/lisbon-bipzip-program/) depict innovative urban tools which opened rooms for experimentation for adaptive heritage reuse (see Sobral, 2018). While ARU mainly worked for integrating private investments within a specific urban context, the BIP/ZIP programs identify and prioritize actions in socially deprived (historical and not) districts; both experiences has worked to improve the quality and use of the built environment by relying on heritage policy that supports not only physical conservation but also its related social and intangible aspects, promoting social collaboration within a neighborhood. In respect of BIP/ZIPs, urban rehabilitation processes are supported by *Local Coordination Offices* (GABIP), local technical offices designed to support the municipality to move decision-making to the local scale and share it with local actors.

OpenHeritage CHL: The Lisbon Cooperative Heritage Lab (CHL) is located in Marques de Abrantes palace, an abandoned and unused heritage site in a peripheral area of Lisbon, the Marvila Vehlha district. This area was characterized by degraded buildings and a vulnerable and low-income population, while it was originally occupied by aristocrats' houses and in the 19th century by industrial compounds. In the 20th century, the area began to be affected by a process of gradual abandonment which severely affected the sense of belonging to the area by the local communities. Though, under the pressure of the rapid economic transformation of the city, the area became very attractive to private real-estate investors, leading to progressive eviction of its residents. In 2010, these circumstances have led to the inclusion of the neighborhood in the *Priority Intervention Area* in the BIP/ZIP municipality program.

Good governance: The Municipality of Lisbon has opted to keep the ownership of the site to implement a reuse model strategy to anchor the community's empowerment over the urban and economic transformation of the area. Since housing rents skyrocketed in Portugal, in 2019 the Lisbon Municipality has included the heritage site in the "Programa Lisboa Renda Accessivel" (*Affordable Rental Housing Program*) with the aim to primarily use the building for affordable

housing and experimenting with interim tools to engage with the community during that rehabilitation period.

Core message**: active, integrated strategy** within the municipal administration
Transfer: https://urbact.eu/comunitylab: "This Transfer network aims to replicate the Lisbon Local Development Strategy for areas of Priority Intervention which provides the city a range of integrated tools to tackle urban poverty and empower local communities."

2.8 Common, often disintegrated models

Key references: deliverables D3.6, D.3.5

Adaptive heritage reuse may lead to processes that impact entire neighborhoods. These processes include:

Touristification: a neighborhood is overused by tourism.
Gentrification: upgrading processes occur, which can lead to the replacement of previous residents.
Heritagization: the neighborhood becomes predominantly defined by the particular heritage.
Commodification: the heritage or parts thereof become the subject of purchase and remarketing (land, rights...)
Musealization: the heritage is appropriated for museum purposes.

Mayors or planning authorities may see these processes as economically interesting models and align themselves with them. However, to achieve an appropriate and sustainable development for the heritage as well as the neighborhood, further development mechanisms should urgently be included, in any case, community integration. Sometimes it is not the lack of options for action but the structure of the city administration that stands in the way of sustainable urban development (OECD, 1996; Mieg & Töpfer, 2013).

3 Mechanisms

Mechanisms represent basically the conditions of application of the OpenHeritage models: Under which conditions can a model of adaptive heritage reuse be applied, or not? After an introduction to the logic of the presentation of the mechanisms, individual presentations of five mechanisms will follow in this chapter. They are these five mechanisms

Stakeholder Integration stands for the social function. This is about conditions of community building and communication in a community, in short, the local cooperation of people (focus on the micro view).

Governance stands for the political function. This is about social framework conditions (focus on the macro view). These can be formally regulated in a political system but can also consist of the (informal) exercise of power or corruption.

Project management refers to the specific organization and management of a specific AHR project (tasks, time, people, resources...).

Contract options stand for the range and effectiveness of legal arrangements to contract appropriately for a specific AHR case.

Funding stands for financing and securing resources for an AHR project.

3.1 Introduction and overview

Table 3.1a presents the **5 types** of mechanisms. The first two types and the last one (Stakeholder Integration, Governance, Funding) reflect the three "pillars" of the OH project: stakeholder integration, regional integration, resource integration. Project Management and Contract Options are other types of mechanisms that have emerged as essential in the analysis and discussion of the previous findings.

For each type of mechanism, **four categories of conditions** can be formulated (affecting AHR):

- Sufficient conditions (success factors): highly recommended to do / to have / to use
- Necessary conditions: necessary to do / to have / to use
- Knock-out conditions: to avoid (a hindering mechanism)
- Important constraints (to take into account)

Table 3.1a shows the condition categories in a traffic light system.

The mechanisms can overlap or are partly mutually dependent. To better separate the types of mechanisms, **functions** were defined (e.g., *social* or *financial*) to which the mechanisms contribute in the positive case. The definition of function also allows defining general **hindering mechanisms** (e.g., corruption), which are not specific for AHR but can hinder AHR enormously.

The types of mechanisms may overlap, as often multiple functions are fulfilled and conditions may depend on each other (e.g., financial and legal conditions; social and societal conditions, etc.). The following sections present the mechanisms in more detail. In addition, Table 3.1b shows which of the theoretical approaches (introduced in the Annex) allow us to understand which mechanism.

Table 3.1a: Mechanisms that promote and/or hinder transferability of AHR (graphics by Hanne van Gils, UGent)

MECHANISM	FUNCTION		
		🟢	highly recommended to do / to have / to use
		🟡	necessary to do / to have / to use
		🔴	to avoid (a hindering mechanism)
		!	important constraint (to take into account)
Stakeholder integration 	Social	🟢	early engagement of key stakeholders
		🟡	community integration/building
		🔴	lack of social trust
		!	shared values
Governance 	Political	🟢	support by local authorities
		🟡	multi-level governance
		🔴	lack of transparency
		!	power relations
Project Management 	Managerial	🟢	(social) entrepreneurship
		🟡	team building & timing
		🔴	incompetence
		!	intermediaries, the potential of the place
Contract Options 	Legal	🟢	long-term contract security
		🟡	ownership/partnership model
		🔴	an insufficient legal system
		!	contract options limit funding options
Funding 	Financial	🟢	business model
		🟡	sustainable funding
		🔴	corruption
		!	non-financial resources (resource integration)

Table 3.1b: Overviews of theories within OpenHeritage and their relevance to understanding AHR mechanisms (indicated is only the most relevant mechanism in comparison with the other theories; any theory usually illuminates several mechanisms)

	Authorized Heritage Discourse (AHD)	**Theory and practice of the Commons**	**Public-Private-People Partnerships / Quintuple Helix (4P/5H)**	**Actor-network theory (ANT)**	**Critical Heritage Studies**
Stakeholder Integration					
Governance					
Project Management					
Contract Options					
Funding					

3.2 Stakeholder integration

3.2.1 Specific conditions

1. Highly recommended to do / to have / to use: Early engagement of key stakeholders

The early involvement of key stakeholders is important on the one hand to obtain information and support for an AHR project, and on the other hand to prevent an AHR project from blocking key stakeholders at a later stage.

2. Necessary to do / to have / to use: Community integration/building

The AHR project must create a positive connection to the neighborhood. Sometimes it can be useful to use the AHR project as a catalyst for neighborhood development or community building. UNESCO now attaches great importance to ensuring that (listed) World Heritage sites clearly involve the local community (Oevermann, 2020).

3. To avoid (a hindering mechanism): Lack of social trust

Without trust, local cooperation cannot be developed.

4. Important constraint (to take into account): Shared values

Shared values provide a good basis for motivation and cooperation. Conflicting values can have an unfavorable effect on AHR.

5. Specific theory (Which stakeholders need to be involved? What does community integration mean for urban planning? etc.): AHD (see chapter 6.1) and 4P/5H (see chapter 6.3.)

3.2.2 Concepts and findings from OpenHeritage

Includes text by Hanne van Gils (UGent), Iryna Sklokina (CentUrbHist), Levente Polyák (Eutropian) and Markus Kip (UBER)
Key references: deliverables D3.3 & D3.6/5

Community: What is meant by the term *community*? Since the acceptance of a social reality that there is no (ideally better) one (as in classical Modernism), or binary opposing interests (as in Marxism), but a plurality of interests and voices in actual society (e.g., Marcuse, 1964; Habermas, 1962; Davidoff, 1965) there is no such thing as a community, but only *communities*. Due to the ongoing global and networked societies, they have turned into a myriad of possible and dynamic constellations of what Anderson (1983) called "imagined communities". In this sense communities are always dynamically socially constructed and refer to “a group of people with diverse characteristics who are linked by social ties, share common perspectives, and engage in joint action in geographical locations or settings.” (MacQueen et al., 2001). In this way we can perceive a community *as a group of actors that is based on (if necessary highly temporarily or opportunistic) networks of shared interests and therewith perspectives*.

Heritage community involvement and resilience: Within this realm of heritage and cultural preservation, one can distinguish between heritage as an object, heritage as a process and lived

heritage (Van Knippenberg, 2019): (i) Within the ideology of *heritage as an object*, in fact, the public sector, or stakeholders within the public society are the most important. Here cultural heritage is or should be preserved by law, legislation and its institutions. (ii) Concerning the ideology of *heritage as a process*, in fact, the stakeholders within the business society, also become dominant actors. (iii) The last strand, *lived heritage*, evolved from notions of self-organization, backed up by the understanding and acceptance of the multiple perceptions of what in fact preservable cultural heritage is and could mean within a networked plural society. The hypothesis is (cf. Van Knippenberg, Boonstra & Boelens, 2021) that *heritage becomes most resilient if all three strands, and therewith stakeholders are involved*.

Social Inclusion: Inclusion entails a normative orientation to equity and diversity. At a general level, inclusiveness or inclusivity can be understood as an outcome of social inclusion processes. Social inclusion describes proactive engagements that recognize diversity and equity as a value, that seeks to enable and encourage participation. Inclusion thus specifically addresses individuals or *groups who were previously excluded or discriminated* against from social contexts, given deliberation, decision-making, creation, leadership, management and use of collective goods, services or social spaces (Bourke & Titus, 2020; Bicchi, 2006; Reynal-Querol, 2005; Ibarra, 1993).

Co-governance: Co-governance defines a model of integration of multiple stakeholders within the decision-making process (Poteete, Janssen & Ostrom, 2010; Reese & Jackson-Elmoore, 2016; Plevoets & Van Cleempoel, 2019). In OpenHeritage, co-governance arrangements are envisaged to foster public administration cooperation among with the other types of actors: a) active citizens, commoners, social innovators, city makers, informal groups, local communities; b) private actors (national or local business enterprises); c) civil society organizations and NGOs; d) knowledge institutions (Iaione & Cannavò, 2015; Foster & Iaione, 2016, 2019; Hula et al., 2016). The players which are parts of the co-governance model oversee a participatory management style in which decisions, strategic and operational, are made equitably and considering all people affected by the activities.

3.3 Governance

3.3.1 Specific conditions

1. Highly recommended to do / to have / to use: Support from local authorities

The fact that support by local authorities can be helpful seems obvious but is sometimes taken into account too late when AHR projects are initiated with transnational funding or due to supra-regional policies.

2. Necessary to do / to have / to use: Multi-level governance

In Europe, multi-level governance is of paramount importance as both regulation and funding can come from very different levels (see Tasan-Kok & Vranken, 2011).

3. To avoid (a hindering mechanism): Lack of transparency

Too much transparency does not seem to be welcome by everyone, but AHR projects always touch on public interests - if only because of heritage - and must remain transparent for the sake of democratic community integration.

4. Important constraint (to take into account): Power relations

In AHR projects, formal processes (e.g., contracts), as well as informal processes (e.g., civic engagement), play an important role; therefore power relations sometimes become invisible, but can by no means be neglected.

5. Specific theory (How to get support from local authorities? How to take into account power relations? etc.): Critical heritage studies (see chapter 6.5) and ANT (see chapter 6.4)

3.3.2 Concepts and findings from OpenHeritage

Includes text by Federica Fava, Fabrizia Cannella & Giovanni Caudo (UNIROMA3); Loes Veldpaus & Miranda Iossifidis (UNEW); HanneVal Gils & Karim van Knippenberg (UGent); Christian Fernando Iaione, Maria Cristina Pangallozzi & Alessandro Piperno (LUISS); Markus Kip (UBER); Hanna Szemző & Andrea Tönkő (MRI)
Key references: deliverables D3.5, D3.6/3 and D3.4

Regional integration: Regional integration incorporates adaptive heritage reuse into a larger territorial framework, contributing to the environmental, social, and economic sustainability of the local development. It includes all mechanisms that encourage the integration of adaptive reuse practices within urban and regional governance. To shape more coordinated spatial development, regional integration thus engages with multi-actor collaborations by orienting different resources and divergent interests toward cross-cutting goals. It is a comprehensive process through which heritage-related values of a (cultural) site are up-scaled to a larger territory, by creating benefits and strengthening connections between people and their surrounding environment.

Spatial injustice: A spatial justice perspective allows us to consider within the planning policy discourse the inclusiveness of the adaptive heritage reuse process as a matter of territorial integration by introducing concepts and tools related to the “capability approach” by Sen and Nussbaum (cf. Robeyns, 2005), and thus pinpointing a more holistic view of heritage adaptive reuse. In general, spatial (in)justice involves the fair and equitable distribution in space of socially valued resources and the opportunities to use them." (Soja, 2009) As is largely recalled by urban planners, scholars and theorists in the formulation of the just spatial framework, the capability approach regards the quality and quantity of opportunities for people to act, determining the exclusiveness / inclusive-ness of a given environment (Israel & Frenkel, 2018). Moreover, some of this capability, for example related to housing, is strongly dependent on policy actions and social policy (Fainstein, 2010).

New localism: New localism, as described by Katz and Nowak (2018) emphasizes the horizontal shift of power locally, indicating changes in the execution of power. It is not held exclusively by public authorities anymore, rather by a network of public, private and civic actors. There are different methods, how local regulatory frameworks can benefit civic initiatives, which include:

(1) Enabling municipalities to offer *their own municipally-owned assets* for use of civic adaptive reuse initiatives, in a transparent and long-term planning outlook.
(2) Giving *discretionary power* to the local level to allow for adaptive reuse that both preserves the heritage and allows for flexible adaptations and new uses.
(3) Involving formal and informal tools and processes to *include civic initiatives* in the decision making and the shaping of plans according to their needs and to create an environment of co-creation.

(4) Enabling local communities to identify, use and manage their *heritage assets*.

Co-governance: see 3.3.2.

3.4 Project Management

3.4.1 Specific conditions

1. Highly recommended to do / to have / to use: (Social) entrepreneurship

In the context of OpenHeritage, it became clear how important the activity of capable social entrepreneurs (usually with a social mission) is for AHR. The activity of a social entrepreneur can compensate for many deficits on site.

2. Necessary to do / to have / to use: Team building & timing

For project management of AHR projects, most of the same advice applies as for project management in general. Time management and team building are particularly important.

Timing:
- Two stages: Very often, only a distinction according to two phases is found: initiation phase vs. operation phase. Example from OpenHeritage: Strategies for and of Co-Governance (D3.6/3, "for" standing for initiation, "of" for the operational phase).
- Four moments: Actor-network theory (see 6.4) describes four moments of "translation". They form the basis for transferable AHR tactics (see model 2.5). The four phases are: 1) Problematization; 2) Interessment; 3) Enrollment; 4) Mobilization of allies

To organize in teams (summary by the Financial Guidelines, 2020, p. 9):
- Look for different skills and characters in your group
- Search for missing skills, if necessary pay for it!
- Be courageous in decision-making and realizing things: “do it”!
- Look for external expertise – spend money, save time, get better results
- Who is going to run the business, once the consultants have left?
- Organize in workgroups with clear mandates and find an inner democratic model of decision-making.

3. To avoid (a hindering mechanism): Incompetence

Incompetence is, unfortunately, a not uncommon problem, not easy to recognize, even more difficult to deal with it.

4. Important constraint (to take into account): Intermediaries; the potential of the place

Two tips should also be kept in mind in AHR projects:
- Use intermediaries (professional and informal) with on-site knowledge. Intermediaries can bring stakeholders together in their own way under a specific goal (cf., e.g., Calzada, 2020).
- Explore and activate the potential of the place (see, e.g., model 2.7.1). The history and characteristics of a place provide a sustainable trajectory for development, including for AHR.

5. Specific theory: ANT (see chapter 6.4)

3.4.2 Concepts and findings from OpenHeritage

Project management was not perceived as an AHR transferability mechanism of its own until the TM discussion sessions. However, CHL focus group discussion also highlighted the role of project management. It became clear: In addition to targeted communication, it is important to take into account the different temporalities of the stakeholders involved.

3.5 Contract Options

3.5.1 Specific conditions

1. Highly recommended to do / to have / to use: Long-term contract security

Long-term contract security provides increased options for AHR.

2. Necessary to do / to have / to use: Ownership/partnership model

A clarified ownership model is needed (usually within the framework of a business model).

3. To avoid (a hindering mechanism): Insufficient legal system

An insufficient legal system also restricts the options for AHR.

4. Important constraint (to take into account): contract options limit funding options

5. Specific theory: Theory and practice of urban commons (see chapter 6.2)

3.5.2 Concepts and findings from OpenHeritage

The importance of contract options emerges from the comparative view of observatory cases in OpenHeritage (e.g., D2.6). Several of the models obtained from the OC are based on specific contract options such as Community Land Trusts (see 2.2.1), cooperatives (see 2.2.2) or regulating the commons (see 2.2.5). Naples and the Scugnizzo Liberato experiment are a perfect example. Naples revived the legal instrument of the *uso civico* (civic use) for adaptive heritage reuse (see Figure 3.5; Naples as a model: see 2.7.3).

Figure 3.5: **Scugnizzo Liberato, Neaples, Italy** (photo: Fabrizia Cannella; with text by Federica Fava, Fabrizia Cannella and Giovanni Caudo; DARC / Roma Tre; see D2.2): The Scugnizzo Liberato is a bottom-up experiment formally recognized by the Municipality of Naples as part of their broader strategy of heritage development (see above 2.7.3). The focus of this strategy is to give value to common goods and reinterpret the traditional legal institute of "civic use" (uso civico). Scugnizzo Liberato is located in the seventeenth-century complex of San Francesco delle Cappuccinelle in the heart of the historic city center of Naples. The Scugnizzo Liberato experiment started on 29 September 2015 when it was squatted by the Scacco Matto organization. **Model**: Recognized as a common good of the city, it is currently considered to be a place of congregation and socializing as well as an experiment of urban regeneration. **Transfer**: e.g., URBACT (2018).

3.6 Funding

3.6.1 Specific conditions

Highly recommended: Financial Guidelines (by Joep de Roo, Eurodite; Rolf Novy-Huy & Christian Darr, Stiftung TRIAS)

1. Highly recommended to do / to have / to use: Business model

A project, built on secure and regular income, like rent, is the best way to secure the heritage site and the projects within. (Financial Guidelines, 2020, p. 11)

2. Necessary to do / to have / to use: Sustainable funding

Towards inclusive business models, summary by the Financial Guidelines, 2020, p. 15:
- Fix the costs, if necessary by external support
- Work out the investment cost and running costs
- Analyse your financing tools
- Cover cost with reliable income
- Find your equity and external financing
- Your community is your advantage. Take care of it.
- Secure the property by ownership or long-term contracts
- Develop your own "inclusive business model" by connecting your financial needs with the potential of your community.

3. To avoid (a hindering mechanism): Corruption

4. Important constraint (to take into account): non-financial resources (resource integration)

Often communities need to find collaborative solutions, integrate all available resources, and take advantage of innovative financial and managerial schemes, supplementing traditional financial instruments and public funding (see, e.g., Patti & Polyák 2017). This can include specific tools such as crowdsourcing, but also the use of volunteer work (cf. Güntert et al., forthcoming).

5. Specific theory: Public-Private-People Partnerships (see chapter 6.3)

3.6.2 Concepts and findings from OpenHeritage

Includes text by Volodymyr Kulikov (CEU); Christian Fernando Iaione, Maria Cristina Pangallozzi & Alessandro Piperno (LUISS); Markus Kip (UBER); Hanna Szemző & Andrea Tönkő (MRI)
Key references: deliverables D3.5 and D3.6/3

Resource integration: The collection and integration of resources are one of the main problems hampering the development of adaptive reuse projects carried out by bottom-up initiatives. The development and regeneration of underused spaces require significant financial and non-financial resources, which most of the civic formations are lacking, a difficulty sometimes further exacerbated by their lack of experience, credit history or financial skills. Resource integration presupposes a collective action, whereby different actors involved in the process exchange, and integrate resources with other actors to realize outcomes that they cannot achieve alone (Overkamp et al., 2018). It serves as an effective tool in cultural heritage management to improve awareness and involve citizens, organizations and other stakeholders in preservation, reuse and related activities (Barile-Saviano, 2014).

Core messages:
(1) desirable funding of adaptive-reuse project should be a combination of external and internal revenues (grants, loans, donations, own revenues, other funding streams)
(2) the optimal funding mix for each project varies according to countries, policies, governance structures and several other internal and external factors;
(3) even under favorable circumstances bottom-up initiatives need public finance to some extent;
(4) there is a back-and-forth process between available resources, revenue integration and governance models;
(5) when combined with an appropriate governance model, even the most traditional funding schemes can yield results in the area of community involvement and long-term sustainability based on self-financing;
(6) strong civic networks can play a key role in mobilizing and integrating external resources.

Sustainable funding: Sustainable funding is a holistic approach to resource integration aimed at long-term financial security without compromising the social and heritage values of a project or a program. It relies on a combination of external and internal financial and non-financial resources and minimizes the negative impact on society and nature. It is consistent with the

project's social mission; it mobilizes civil networks, facilitates self-financing, and maximizes values for the stakeholders in the present and future. Our analysis on the financing of OCs (3.6/4) supports the conclusion made by the previous studies showing that *the importance of early-stage support and funding is critical for thriving community-led projects* (Hughes & Luksetich 2004, p. 218, Lawson, 2020).

4 How to use the transferability matrix

This chapter essentially presents the 4M model on transferability to support the communication and transfer of adaptive heritage reuse (section 4.1). This is followed by considerations on how the transferability matrix can also support the SDGs (section 4.2). The report concludes with FAQs for city administrations (section 4.3). This is a project on communicating adaptive heritage reuse to cities that started with the creation of the transferability matrix and extends beyond this report.

4.1 The 4M model of transferability

We often gain a strong experience of **transferability** when we meet with people with similar professional backgrounds and personally share concrete cases with them. This is also true for OpenHeritage. Beyond personal exchange, there are other means of transfer (e.g., texts, programs, tools), and there can be different goals of transfer (e.g., informing vs. co-creation). These different aspects of transfer are to be put into context with the 4M model. The model consists of *four elements*: meaning (of transfer), models, mechanisms and means (of transfer). The 4M model aims to clarify: *What is the purpose of the transfer (meaning), what exactly is being transferred (models), under what conditions (mechanisms) and through which channels (means)?*

(1) **Meaning** of transfer

What is transfer? Usually, we distinguish transfers according to what effect we want to achieve, e.g. inform someone, or enable someone to do what we have achieved. Or does transfer mean to export (sell) some kind of technology? Accordingly, we can distinguish at least five forms of transfer:

(a) information (degree of abstraction?)
(b) capacity building (to empower the target group; training/education)
(c) inspiration (stimulation; appeal to ideals, e.g. sustainability)
(d) co-creation
(e) implementation ("export")

These different goals of transfer have correspondences in the different forms of participation in planning (Arnstein, 1969) or in transdisciplinary projects (Scholz, 2013).

(2) **Models**

Models are in our case systematic descriptions of combinations of good practices and policies. The models are abstracted but can be explained by concrete examples. The AHR models that can be formed from the findings of OpenHeritage were presented in detail in Chapter 2 (e.g., Figures 2.1a & 2.1b).

Transferability Matrix with ownership models

	CLT (see 2.2.1)	Cooperative (see 2.2.2)	NPO (see 2.2.3)	Private (see 2.2.4)	Commons (see 2.2.5)	Municipal Ownership (see 2.2.6)
Stakeholder Integration						
Governance						
Project Management						
Contract Options						
Funding						

Transferability Matrix with stategies and cases

	Heritage Strategies (see 2.3)	Governance of inclusion (see 2.4)	Flexibility ↑↓: Diversification (2.5)	AHR Tactics (see 2.6)	Cases as models (see 2.7)	Disintegrated models (see 2.8)
Stakeholder Integration			Creation of ecosystems			recommended action!
Governance			↑		Lisbon	
Project Management			Adaptability		Szimpla Kert Stará Tržnica	
Contract Options			↓		Naples	
Funding			Creation of ecosystems			main focus

(3) **Mechanisms**

Mechanisms are specific controllable variables that we can, in principle, change and that affect AHR. The mechanisms at work in the case of AHR models were presented in detail in Chapter 3 (e.g., Table 3.1a).

MECHANISM	FUNCTION	
Stakeholder integration	Social	early engagement of key stakeholders community integration/building lack of social trust shared values
Governance	Political	support by local authorities multi-level governance lack of transparency power relations
Project Management	Managerial	(social) entrepreneurship team building & timing incompetence intermediaries, potential of the place
Contract Options	Legal	long-term contract security ownership / partnership model insufficient legal system contract options limit funding options
Funding	Financial	business model sustainable funding corruption non-financial resources (resource integration)

(4) **Means** of transfer

We can distinguish three forms in which knowledge can be embodied and thus transferred in our societies (see, e.g., Abbott, 1991):

- People ("experts," …)
- Materials / utilities / commodities (texts, guidelines, tools, programs,…)
- Organization (organized networks, UNESCO/ICOMOS,…)

OpenHeritage is embedded in a network of heritage projects in Europe (incl. Urbact, CLIC, Interreg, ICLEI...). This involves an exchange and transfers by all means mentioned: 1. personally, 2. via materials that are created, and 3. organizations that endure beyond individual projects, e.g. ICLEI or Eutropian GmbH but also the participating universities (e.g. DARC at Roma Tre). Figure 4.1 shows transfer through a professional architectural network.

Figure 4.1: **LaFábrika detodalavida**, Los Santos de Maimona, Spain (photo: from a video by Platoniq; https://platoniq.net/; with text by Olivier Schulbaum, Platoniq, and Volodymyr Kulikov, CEU). LaFábrika detodalavida (The Factory of a Lifetime) is a participatory cultural space located in an abandoned cement factory in a small municipality in Extremadura, a rural region of western Spain. It is a place of experimentation with various economic, social and cultural processes that strive for inclusive selfmanagement in the region and expanded culture and opportunities in a rural context. The heritage site is the host to projects and programs such as Cine al Fresco, Pecha Kucha, Territorio Común and Fábrika Común as well as other entities such as La Fundación Maimona.rural / Architects. **Model**: By

keeping the development "organic," the development project retains the flexibility to adapt to changing stakeholder interests. **Transfer**: The architect network *Arquitecturas colectivas* uses LaFábrika as a model for similar projects in Spain (https://arquitecturascolectivas.net).

If we take into account that transfer has different meanings and can involve different means, we could examine for each target audience (see 1.2, above): What means of transfer are useful for transferring AHR-relevant results from OpenHeritage to what purpose (meaning of transfer)? An example would be *videos* on the observatory cases (=means of transfer), which can serve as *inspiration* (=meaning of transfer) for *local activists* (=target audience) in other cities. Table 4.1 provides an overview of the combination of meanings of transfer and means of transfer, as well as the means of transfer developed or used in OpenHeritage.

Table 4.1: Means of transfer and their usability for different transfer purposes (three types of means; five meanings of transfer)

Means →	**Materials/utilities/tools**	**Experts/People**	**Organization**
Meaning ↓	Reports / Guidelines Videos Digital support tools ...	Professionals Academics Expert activists ...	Networks Associations Curriculum/Trainings ...
1. Information			
2. Capacity building			
3. Inspiration			
4. Co-creation			
5. Implementation			
Examples from OpenHeritage (as of November 2021)	Policy briefs* Toolbox (coming) Database* Financial guidelines* Homepage* Video clips* Decidim (https://decidim.org; Platoniq) ...	Financial experts (Trias, Eurodite) Digital experts (Platonique)	Trainings (Eutropian) Curriculum (CEU) City Networks (ICLEI) ** Consultancies (Eutropian etc.) Professional networks Webinars ...

Gray: might suffice/seems necessary (in general, all means can be used for any type of transfer)

* via www.openheritage.eu

** further networks: URBACT; EUKN / European Urban Knowledge Network; ECOLISE / European Network for Community-led Initiatives on Climate Change and Sustainability; ACHS / Association of Critical Heritage Studies

4.2 How the TM can help AHR projects serve the SDGs

The Transferability Matrix (TM) as presented serves to provide systematic access to OpenHeritage results and to clarify transferability. The list of mechanisms included is limited by the cases considered in OpenHeritage (see Chapter 3). Additional mechanisms may be relevant.

For this reason, the TM can be extended by including and specifying additional mechanisms. This becomes necessary, for example, when we consider AHR projects in the context of sustainable development. Table 4.2 shows two examples for an extension of the list of mechanisms, one with regard to the Sustainable Development Goal #15 (*Life on Land: Reversing man-made deforestation and desertification to sustain all life on earth*), the second as socio-cultural dimension as Seduikyte et al. (2018) present them for a possible AHR knowledge transfer between Lithuania and Cyprus.

Table 4.2: Expand the list of AHR mechanisms to add sustainability aspects to the transferability matrix.

Mechanisms examples only!	Function		Conditions green: highly recommended to do / to have / to use yellow: necessary to do / to have / to use red: to avoid (a hindering mechanism) !: important constraint (to take into account)
SDG 15 **(life on land)**	environ-mental		green: new habitats yellow: respect biodiversity red: pollution/distortion of natural systems !: exchange with neighboring natural systems
Socio-cultural dimension (Seduikyte et al., 2018)	socially responsible		green: refunctioning of heritage buildings yellow: saving and presenting history red: (gentrification)* !: involve "all players"

* not explicitly mentioned

It is crucial to determine specific conditions for possible measures. This can be done, e.g., in an expert workshop. The conditions found may well differ from those mentioned here. The new TM can help test existing AHR models or develop new ones. In this way, TM could support place management (see Walsh, 2001). Place management has helped, for example in Berlin (see Kalandides, 2020), to avoid having to work with the disintegrated model of touristification (see above, 2.8).

4.3 Twelve FAQs (for city administrations)

The Transferability Matrix (TM) provides a systematic overview of OpenHeritage's findings as well as structured access to the relevant deliverables and products. However, this form of information on adaptive heritage reuse (AHR) is not suitable for all target audiences. Therefore, a **FAQs project** is to be launched at the same time as this TM report. The principles of the FAQ project are:

- The FAQs are provided for informational purposes. The target audience is city employees or civil servants who may somehow be involved with AHR (departments of conservation, urban development, social affairs, culture...).
- The FAQs are also intended to address reservations (legal, political, social risks and implications etc.).
- The answers should make it clear that AHR requires an integrative, comprehensive planning view.
- The answers to the FAQs should quickly navigate to appropriate material from OpenHeritage (e.g. video clips).
- Organizations should be sought which take up the FAQ project and make it theirs (e.g. professional networks of planners). This should firstly support the transfer into specific national and linguistic contexts and secondly contribute to the dissemination and durability of these FAQs on AHR.
- The development of the FAQs should be closely linked to the development of other OpenHeritage products (e.g. toolbox, homepage).

The set of questions should remain limited (10-15 questions). Currently, the following twelve questions are taken into consideration.

1) What is adaptive heritage reuse (AHR)? Is it always the same as monument protection or conservation?
2) Why is adaptive heritage reuse important?
3) What are the benefits of adaptive heritage reuse?
4) How do we apply adaptive heritage reuse?
5) To what kind of projects/areas can we apply adaptive heritage reuse?
6) Who should be involved (in the city administration, in the city...)?
7) Do I need to speak English? Do we need foreign expertise?
8) What are the risks of AHR projects (poor execution, discontinuity of projects, discovery of a "dark past"...)?
9) How can we minimize the risks by adaptive heritage reuse?
10) What are the common or creative ways of funding AHR projects?
11) How much does adaptive heritage reuse depend on politics?
12) What are good examples of adaptive heritage reuse?

The FAQs could appear on the OpenHeritage homepage. For about half of the questions, there is a clear mapping to OpenHeritage products. The TM is likely to be of particular interest in relation to the question of good examples (#12).

Question	**OpenHeritage product**
1) What is adaptive heritage reuse (AHR)?	Homepage, PolicyBrief1
4) How do we apply AHR?	Toolbox
5) To what kind of projects/areas can we apply AHR?	Database; D2.2
10) What are the ... ways of funding AHR projects?	Financial Guidelines
11) How much does AHR depend on politics?	PolicyBrief2
12) What are good examples of AHR?	Video clips (OCs, CHLs); TM; D2.2, D2.6

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6 ANNEX: Theory

This annex contains an account of the theory or theory clusters mentioned to introduce TM. The following individual presentations are based on the existing deliverables of OpenHeritage and reflect the theories and approaches from the perspective of their usage in OpenHeritage. For an independent presentation, please use the references mentioned in each case.

A note on **transdisciplinarity**: The 2019 Detailed Work Plan of WP3 (*Evaluation of adaptive re-use management: contrasting policies with practices*) proposed a transdisciplinary approach. Transdisciplinarity represents not a theory but a methodology based essentially on "mutual learning of science and society" (Scholz et al., 2000). Therefore, I refer at this point only to the literature (e.g., Lang et al., 2012; Scholz, 2013; Renn, 2021).

6.1 Authorised Heritage Discourse (AHD)

Includes text by Dora Mérai (CEU), Karim Van Knippenberg (UGent), Loes Veldpaus (UNEW), Federica Fava, Fabrizia Cannella & Giovanni Caudo (UNIROMA3)
Key reference: deliverable D3.6/2

The concept of AHD is closely associated with the works of Smith (2006) and based on the idea that the values and validated practice of conservation planning can be conceived in terms of an Authorised Heritage Discourse (AHD). Pendlebury (2013) suggested understanding the practice of conservation-planning as an ‘assemblage’; this consists of the "conservation-planning social entity of institutional organizations and other actors, combined with laws and regulations, together with normalized practices and discourses" (2020, p. 673), including the Authorised Heritage Discourse (AHD). Relationships "have developed between the policy spheres of conservation-planning, regeneration and economic development"; thus, in England "conservation has successfully repositioned itself from being regarded as a barrier to development to being regarded as an active agent of change." (2013, p. 709) The idea of an AHD has become an important theoretical lens in the study of heritage.

Participatory approaches: Heritage exists to the extent that people define and embrace it (Smith, 2006). *Participatory* approaches to heritage, therefore, emphasize the importance of raising awareness about the heritage in a dialogical manner (cf. Harrison, 2012) – recognizing the diversity of perspectives on heritage objects and enriching the understanding of that heritage in that fashion (Silberman, 2013). Critical education about local heritage means that such recognition of heritage is not the same as an unreflected appreciation of heritage as undifferentiated or about the “good old days”, but rather an understanding of the historical conditions in which that heritage has emerged, of the ethically problematic or uncomfortable aspects (MacDonald, 2013).

Analytical use of AHD in OpenHeritage: The heritage values represented in heritage reuse projects are often more or less fixed, single, and agreed-upon solutions, in which only some (and often dominant) values are incorporated. Conflicts may arise within a heritage reuse project, but also about the interaction between different communities, working with a fixed and limited understanding of heritage in some cases leads to conflicts on heritage ownership and values between different groups.

6.2 Theory and practice of urban commons

Includes text by Federica Fava, Fabrizia Cannella & Giovanni Caudo (UNIROMA3), Maria Cristina Pangallozzi & Alessandro Piperno (LUISS)
Key references: deliverable D3.6/3; glossary entry "Commons" (OH website)

Scholarly discussion of the **commons** is often associated with the "tragedy of commons" (Hardin, 1968) and the work of Elinor Ostrom (1990). Ostrom has defined a new way to imagine governance which relies on collaboration, cooperativeness and co-ownership. The notion of the commons in the context of OpenHeritage connects to a rich and ongoing set of debates. The starting point is the Italian adaptive heritage policy context, especially in the light of the Italian legal tradition of Commons. This is the basis for the concept of co-governance, which plays an essential role for the European "Co-City protocol".

Co-governance: At the core of the discussion on co-governance, there is the vision and application of the commons, its infrastructure and peer-to-peer production mechanisms. The commons promotes and supports co-governance as described by many authors, such as Carol Rose (1986), Yochai Benkler (2016), Michael Madison, Katherine Strandburg and Bratt M. Frischman (2016), and Brett Frischmann (2012), who have analyzed it from different sectors and perspectives.

Co-City protocol (Iaione, 2016; Co-Cities Report, 2020): The idea of the urban commons also has a strong influence in OpenHeritage through the Co-City protocol, which is a co-governance model drawing on commons design principles:

- collective governance,
- enabling state,
- pooling economies,
- experimentalism,
- technological justice.

The practice of urban commons in Italy: The most striking case of community empowerment through such policies is the *Regulation of the Urban Commons* and other municipal measures that were taken in cities such as Naples (in coordination with the Scugnizzo Liberato) and Turin (in development with the Cascina Roccafranca). In Italy, the ownership model of the commons is based on the constitutionally granted access to “common goods” for “civic use” (art. 43 of the Italian constitution). It refers to a collective and free use of (public or private) spaces and assets and allows communities of use to manage these resources. In recent years, this constitutional right has found its way into local acts, as in the case of Naples, that guarantees the local community’s right “to benefit from (state, local or private) lands, water and forest … subject to construction and privatization restrictions” (Local act no. 458, 2017).

Community integration through commons: The major strength of the Italian case of adaptive heritage in OpenmHeritage stems from the framework of the commons, enforced through the “civic use” device. If this confirms the Italian tendency to support adaptive reuse by other policies than heritage policies, the rediscovered/reinterpretation of civic uses is instrumental to generate new urban regulation at the local level bringing the people-public relation at the core of the (adaptive) urban strategy, based on *co-governance arrangements inclusive of different communities and stakeholders*. For an asset to be included among Neapolitan urban commons, the Municipality leverages the recognition of the *social* value created by the community

gathered around a specific *cultural* asset; this cultural value is "recorded" as part of the economic value of the good.

6.3 Public-Private-People Partnerships (4P) / Quintuple Helix (5H)

Includes text by Beitske Boonstra & Karim van Knippenberg (UGent), Markus Kip & Sandy Tsai (UBER), and Loes Veldpaus (UNEW)
Key reference: deliverable D5.4 (Guidelines for Public-Private-People Partnerships in Adaptive Heritage Reuse)

Public-Private-People Partnerships (4P) and the Quintuple Helix view (5H) are approaches from participatory governance. 4P is a further development of PPP approaches (Public-Private-Partnerships). For example, 5H is a further development of the triple helix model that serves as a model for innovative site development, being driven by private or public actors. 4P and 5H approaches are presented together here because their implication for OpenHeritage is similar: to involve specific stakeholders substantially in the planning process.

Public-Private-People Partnerships (4P)

Public-private partnerships PPP (or 3P) are cooperation between *public and private stakeholders* based on an equitable distribution of labor, costs and benefits (Buse & Walt, 2000). Dubini et al. (2012) presented three successful PPP cases of heritage management from Italy. Macdonald and Cheong (2014) reviewed American PPP projects in conserving heritage buildings, sites, and historic urban areas. This study highlighted the role of the third sector in PPP heritage projects: "Of increasing importance and particular relevance to PPPs used for heritage conservation is the third sector. In this document, the third sector is described as nongovernment, social, and community-based institutions, and it may also include people living near a heritage site. " (p. 2).

Generally, PPPs are criticized for being *insufficient* in bringing about desired and expected public outcomes, especially concerning wicked challenges that include many diverse actors, interests and perspectives (cf. eg. Song et al., 2018). Within PPPs, public sector actors often still focus overwhelmingly on serving and supporting the private interests *to the detriment of public interests*, and easily overlook the interests and needs that live within society, especially those of groups who are less well-represented or equipped with (legal, financial etc.) resources. Moreover, traditional urban development is sequential and hierarchical, moving from government to developers to end-users, and as PPPs usually focus on an a priori equal distribution of labor, costs and benefits lack, direct end-users or customers are relatively absent (Irazabal, 2016).

Clara Irazábal (2016), reflecting on cases from Latin America, opted for a 4P approach, including people as the 4th "P". The first aim of 4Ps is thus to make partnerships more people-oriented and inclusive towards the people's interest and citizen-driven innovations for complex and wicked urban challenges, and to turn "people" into a substantial partner within formal and informal partnerships for urban and spatial (re)development (UNECE, 2018). "People" in this case concerns communities, interest groups, NGOs, neighborhood associations, end-users, as well as rational consumers (Irazabal, 2016; Kuronen et al., 2010). 4Ps thus strive for a more horizontal approach, both incorporating formal and informal relationships between and among

public entities, private companies and citizens (Irazabal, 2016). Such formal and informal arrangements might include contracts, memoranda of understanding, mutual agreements, supply agreements etc. (Marana et al., 2018). The sequential aim of 4Ps is then to (re)consider the distribution of costs and benefits in urban partnerships and to include "people" much more substantially in collaborative planning (Irazabal, 2016). Last but not least, it is argued that 4Ps can create more desirable living environments and improve participation and communicative planning, as it grants the involvement of people both institutional, methodologically and financial back-up (Kuronen et al., 2010).

Quintuple Helix (5H)

The *Triple Helix* concept was developed by Henry Etzkowitz and Loet Leydesdorff in the 1990s (e.g. Etzkowitz & Leydesdorff, 1995, 2000). It is intended to be used for the establishment and development of innovative sites. In principle, it is about the cooperation of science institutes (universities) with companies and governments. Over time, the Triple Helix has been further developed to also explain socially innovative processes, e.g., related to sustainability. Thus, the approach of the *Quintuple Helix* was born (cf. Carayannis et al., 2009, 2012). The set of actors to be involved comprises:

1) the public,
2) public administration,
3) private (entrepreneurial) actors,
4) NGOs, and
5) knowledge institutions.

In the OpenHeritage context, 'community and stakeholder integration' can be considered a multi-stakeholder governance arrangement whereby communities emerge as key actors, and partner up with at least one of the other four actors of the "quintuple helix" governance scheme of urban innovation. So local communities are working with business, civic, public, and/or academic organizations, using a "co-governance" model by setting up a body or organizational structure specifically for the management and implementation of project activities. In other words, adaptive reuse projects benefit from the involvement of a wide range of actors – from national government to civil society groups, from bureaucrats to artists, from entrepreneurs to unemployed, marginalized social groups, and young people, to create an 'open heritage'. Communities are now an integrated part of dealing with heritage and we draw upon actor-network theory to conceptualise such connections.

6.4 Actor-network theory (ANT)

Includes text by Hanne Van Gils (UGent), Markus Kip (UBER) and Loes Veldpaus (UNEW)
Key references: deliverables D3.3 (section 1.4.1), D3.6 (Introduction), D2.6 (Introduction)

Actor-network theory (or ANT) is based on the general premise of actor-networks (Callon, 1986; Law & Hassard 1999; Latour, 2005). To understand something about the current and possible future situation, we therewith need to start with and go back to the *specific needs and interests of the actors* involved, and *how they (inter)relate towards new and resilient networks.* Therewith actor-networking is highly "*open*" and could move anywhere. These relations are not only between the humans themselves but also between humans and non-human actors (or in other words factors of importance, like for instance the geographic situation, the tools at

hand, the objects to cope with etc.). Both human and non-human actors influence how a certain reality is constructed. In turn, this reality would then also become a major actor or factor of importance. Therewith also cultural heritage itself – might it be material or immaterial – could also become a major actor within the (co)evolving actor-network; in doing so it would not only become 'a matter of fact' (as something that stands outside of us) but 'a matter of concern' (as something that becomes inherent to our actions).

As such ANT stresses that networks between actors are not necessarily stable or fixed between the heterogeneous actors (that is human and non-human actors alike). Rather, ANT assumes that *all actors are continuously reassembling and organizing their network in a certain way to become more innovative and vigorous* (Boelens, 2010). Since no one can oversee all of these changing actor networks, ANT proposes to penetrate into the smallest elements: to trace the actors, their routines, ambitions, and interests. It is hereby useful to distinguish business (focus on profit), civic (value-driven), public (reproduction of the given order), and academic actors (knowledge-driven), as it is argued that a mix of those sectors results in more robust actor networks (Boelens, 2010). What becomes pivotal within community involvement in relation to cultural heritage, is who or what is involved, how their interaction comes about and co-evolves, and what could become the future directions for more or better co-evolutionary resilience. Therewith following the networks (within communities and between communities and the cultural objective) in time is of the up-most importance.

ANT assumes that at the start all actants are on an equal footing; power becomes only apparent within and after actor-networking. It is only by interacting with each other that one gets more power or becomes more dominant than the other. This is determined by 'agency', which is the ability of an actor to change her or his environment. The change designates the ANT as 'translation' which is influenced by power relations. This translation exists in four phases.

<u>The four moments of translation</u>

1. *problematization*: the initiator makes other actors aware of a common viewpoint. The actor tries to express the problem and the possible solutions.
2. *interessment*: an actor or group of actors tries to involve new actors in a viewpoint. By this, old networks will gradually be replaced by new ones.
3. *enrollment*: a multilateral political process leads to a stable network with new supporting groups, new roles and definitions.
4. *mobilization of allies*: wider acceptance of the solution, which gained stability through institutionalization to become taken for granted. It becomes 'black-boxed'.

<u>Community and stakeholder integration</u>: The Actor-network theory (ANT) is used in OpenHeritage as a concept to grasp community and stakeholder integration. Adaptive reuse projects benefit from the involvement of a wide range of actors – from the national government to civil society groups, from bureaucrats to artists, from entrepreneurs to unemployed, marginalized social groups, young people, to create an 'open heritage'. Communities are an integrated part of dealing with heritage and use actor-network theory is used to conceptualize those connections. Communities do not only constitute the social ties amongst each other but also with the cultural objects or processes as the central intermediary within the actor-network. Moreover, following actor-network theory, we have to look not only at who or what is involved, but also at how their interaction came about and co-evolved, and at their future directions. Change in time has been highlighted as of the utmost importance.

6.5 Critical heritage studies

Includes text by David Amacher (UBER), Karim van Knippenberg & Hanne Van Gils (UGent), Federica Fava (UNIROMA3)
Key references: glossary entries "Heritage Community", "Immaterial Heritage" (OH website)

Critical Heritage Studies (CHS) is an umbrella term for approaches that seek to broaden the context in which heritage is considered. A journal Special Issue on CHS edited by Winter and Waterton (2013) is an important foundational moment for the field as is also the foundation of the Association of Critical Heritage Studies (ACHS). The ACHS 2012 Manifesto understands CHS as follows:

> Above all, we want you to critically engage with the proposition that heritage studies needs to be rebuilt from the ground up, which requires the 'ruthless criticism of everything existing'. Heritage is, as much as anything, a *political* act and we need to ask serious questions about the *power relations* that 'heritage' has all too often been invoked to sustain. Nationalism, imperialism, colonialism, cultural elitism, Western triumphalism, social exclusion based on class and ethnicity, and the fetishising of expert knowledge have all exerted strong influences on how heritage is used, defined and managed. We argue that a truly critical heritage studies will ask many uncomfortable questions of traditional ways of thinking about and doing heritage, and that the *interests of the marginalised and excluded* will be brought to the forefront when posing these questions. (Association of Critical Heritage Studies (ACHS), 2012 Manisfesto, https://www.criticalheritagestudies.org/history, emphasis added).

Thus, the focus of CHS is on three facets:

- *processes* (how does something become heritage?)
- the *communities, values, intangible heritage* involved
- the *power relations* implied

In OpenHeritage, scholars have used some of these ideas without explicitly using the term "Critical Heritage Studies". However, throughout the deliverables and the glossary we can find these ideas, especially regarding the contested character of what heritage is, who defines heritage, etc. Two examples:

Heritage Community: Following Howarth (2001, p. 233) *communities* are not simply groups to belong to. They may be imposed onto one; they may threaten one's self-esteem; they may be a source of empowerment. This is also particularly relevant for the field of heritage. Here too, a community can be defined in various ways. A *heritage community* can be defined as those groups of, for example, citizens or individuals, who value and define material and immaterial heritage in a specific spatial context. A heritage community can at the same time be defined as those being *subject to heritage management and preservation*. Waterton and Smith (2010, p. 11) explain this as follow: "community or group identity becomes the object of regulation through the heritage management process, not only reinforcing the power differentials in the community–expert relations but also ensuring the legitimacy of essentialist notions of 'community' and their continual misrecognition". Hence, many scholars in the field of heritage are studying issues of *community involvement* (e.g., Mydland & Grahn, 2012; Parkinson et al., 2016). These scholars note that communities' understanding of heritage can emphasize a broader range of meanings, including also immaterial aspects and that heritage becomes a *cultural tool* that communities and individuals use to express, facilitate, and construct a sense of identity, self, and belonging.

Immaterial Heritage: In addition to the definition of material cultural heritage, and in response to the criticism on the materiality of heritage, scholars starting to put attention to the immaterial values related to heritage. Moreover, the concept of *immaterial heritage* extends the conceptualization of material heritage as new parameters to define heritage are added. Indeed, non-material aspects of culture – such as language, literature, and cultural practices, that are important aspects for local communities' *identity* are now more highlighted (Harrison & Rose, 2010). Immaterial heritage is thus recognized within communities, groups, or individuals that create, maintain, and transmit it. Immaterial heritage is about practices, but it is also closely related to the production of both collective and individual memory and performs social work which helps to build community and identity (Harrison, 2010). Logan (2007) defines *intangible* heritage as "heritage that is embodied in people rather than in inanimate objects". *Taking immaterial and social aspects of heritage into account fits within the goal of OpenHeritage to not only focus on listed heritage assets but also to incorporate those places that have a symbolic or practical significance for local heritage communities.* By doing so the notion of immaterial and social aspects of heritage helps us to connect to local actors whose understanding of heritage can be recognized, in particular by incorporating practices of manifestations of social memory."