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Collaborative communities: from Cultural Heritage to 360° resilient, innovative, and sustainable territories

The strategy of empowerment of vulnerable communities

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“…for nothing brings men close together than a common misfortune happily overcome.”

(„...јер ништа не везује људе тако као заједнички и срећно преживљена несрећа.“)

Ivo Andrić, The Bridge on the Drina

(Иво Андрић, На Дрини ћуприја)

Chapter I – Introduction to the study

Summary:

1. Introduction to the chapter.

2. Guiding research questions and hypothesis.

3. Methodology - Research tools and procedures.

4. The research design.

5. The structure of the study.

1. Introduction to the chapter

In December 2020 the European Commission approved "*The European Green Deal"*[1], a set of policies intentioned to render European Union climate neutral until 2050. The idea was to review all the existing laws on climate change, but also introduce new legislation on circular economy, building renovation, farming, and innovation. In order to achieve this objective, it needs to reduce regional and social inequalities in Europe by strengthening convergence and cohesion. A related issue is reducing inequality of wealth and income, both between and within European countries. For that reason, European Parliament President (at the time), David Sassoli said that the "*Green Deal must be an opportunity to fight inequality*"[2].

[1] European Commission , "Communication from the Commission to the European Parliament, the European Council, the Council, the European Economic and Social Committee and the Committee of the Regions – The European Green Deal" (COM(2019) 640 final), Brussels, 11/12/2019. Full text of the document available at: https://eur-lex.europa.eu/resource.html?uri=cellar:b828d165-1c22-11ea-8c1f-01aa75ed71a1.0002.02/DOC_1&format=PDF, with its Annex: https://eur-lex.europa.eu/resource.html?uri=cellar:b828d165-1c22-11ea-8c1f-01aa75ed71a1.0002.02/DOC_2&format=PDF. Last access: 28/05/2024.

[2] Cit., European Parliament, 2020, Full text of the speech available at: https://www.europarl.europa.eu/former_ep_presidents/president-sassoli/en/newsroom/sassoli-on-green-deal-reducing-inequality-is-essential-when-tackling-environmental-emergency.html. Last access:28/05/2024.

The European Green Deal goes beyond climate neutrality because it also fosters a renewal of the European innovation system. In this sense, the European Commission commits to reserving 35% of the budget of Horizon Europe funds to fund new solutions that are relevant for the implementation of the Green Deal. In this way it intends to support the research and innovation efforts needed.

The European Green Deal represents the EU's new growth strategy, which "*aims to transform the EU into a fair and prosperous society with (…) a competitive economy*"[3]. For that reason, the European Commission encourages new forms of collaborations and a full mobilization of industry. This transition towards growth must be just and inclusive in order to achieve a fair and prosperous society, with a competitive economy. This competitive economy can be reached through the implementation of the circular economy, which will expand sustainable and job-intensive economic activity.

The European Green Deal is a key component of the European Commission's strategy to implement the United Nations' 2030 Agenda and the Sustainable Development Goals (SDGs)[4]. The seventeen SDGs highlight the connection between the environment, social and economic aspects of sustainable development as a center of the SDGs. SDGs promote various objectives, among which in particular:

- SDG 1 – "End poverty in all its forms everywhere."
- SDG 8 – "Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all."
- SDG 10 – "Reduce inequality within and among countries."
- SDG 11 – "Make cities and human settlements inclusive, safe, resilient, and sustainable."

[3] European Commission, "Communication from the Commission to the European Parliament, the European Council, the Council, the European Economic and Social Committee and the Committee of the Regions – The European Green Deal" (COM(2019) 640 final), Brussels, 11/12/2019. p2.

[4] In 2015, the United Nations General Assembly (UNGA) created the Sustainable Development Goals as part of the Post-2015 Development Agenda. These goals were formally articulated and adopted in an UNGA resolution known as the "2030 Agenda" on 25 September 2015 in the UN General Assembly. Full text available at: https://sdgs.un.org/2030agenda. Last access:28/05/2024.

- SDG 16 – "Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels."

SDGs were a point of reference for the creation of the ESG principles which stand for Environmental, Social and Governance, the fundamental dimensions for assessing the level of sustainability[5]. ESGs became a global phenomenon and became the main criteria not only for assessing corporate investments but they found applications also in other spheres. This study has been conducted considering these principles.

Within these frameworks emerged the need for urban regeneration processes, as an answer for achieving high-quality and inclusive sustainable development. Urban regeneration is proven to be able to provide economic, social, and environmental benefits through the intensive and efficient land reutilization, the revival of cultural heritages, and the restoration of the natural environment by maintaining sustainable and inclusive urban development[6]. This study proposes cultural heritage as a driver for accomplishing and supporting the European Green Deal and UN SDGs' strategies through urban regeneration practices. Reuse of cultural heritage can be an entry point for sustainable growth as it has a rich perspective that intercepts, directly or indirectly, many of the goal and objectives of these plans. It can be the basis for circular economy but also a social and cultural foundation of the Green Deal and SDGs.

2. *Guiding research questions and hypothesis*

In the latest years there has been a strong tendency to redefine the notion of cultural heritage and give it a new role in society. This tendency can be seen both on the international and the European Union level. From 2013 United Nations issued different documents that treat the requalification of the cultural

[5] Originally, ESGs were created for the implementation, verification, and control of the sustainability inside of the companies and organizations. The term ESG first came to prominence in a 2004 report titled "*Who Cares Wins*", which was a joint initiative of financial institutions at the invitation of the UN.

[6] Marta Bottero, Giulio Mondini, Giulia Datola, *Decision-making tools for urban regeneration processes: from Stakeholders Analysis to Stated Preference Methods*, (TEMA 10, no. 2, 2017): 193-212.

heritage in various ways. The European Union recognizes that this area is primarily the responsibility of the Member States, regional and local authorities, but still, it commits to safeguard and enhance Europe's cultural heritage through different policies and programs. One of these policies (and the most important one) is the Faro Convention[7] which emphasizes the cross-disciplinary concept of the cultural heritage. It also recognizes the contribution of cultural heritage to society and human development, sustainability, and economic activities.

Taking these observations into account, this study will try to understand in what way the cultural heritage can enhance all of these aspects, employing the theoretical constructions of the c*ommons* [8] and *participatory governance models*[9].

More precisely, the questions that this work is aimed at answering are the following:

- Building on a cultural heritage-driven local regeneration process, can a local community in a city context be the key actor to activate multistakeholder cooperation for the regeneration and sustainability of vulnerable neighborhoods and territories?

- If yes, how difficult is it? What are the *obstacles*? What are the *conditions* to reach that goal? Which are the opportunities for a bottom-up collaborative regeneration process?

[7] Council of Europe, "Council of Europe Framework Convention on the Value of Cultural Heritage for Society" (Council of Europe Treaty Series – No. 199), Faro, 27/10/2005.
[8] Elinor Ostrom, *Governing the Commons: The Evolution of Institutions for Collective Action* (Cambridge University Press, 1990).
[9] Sheila R. Foster, Christian Iaione, *The City as a Commons*, (Yale Law & Policy Review 34, no.2, 2016-2015): 281–350.

- Which can be the innovative and appropriate governance models and legal tools that can activate sustainable development processes in a local community and territory, in order to overcome the vulnerability of communities?

Through these research questions this study will eventually try also to give an answer to the European Green Deal's and UN SDGs' needs and try to obtain their goals through the innovative concept of reuse of the cultural heritage.

The "unit" of a community has been chosen for the reason of being the key group in the complex configuration of the city. It is the most dynamic form inside of the urban context, which allows the application of these premises because of its features. The context is urban because cities generate about 85% of the European Union's gross domestic product and they have a central role in the technological and social innovations but still have negative impacts on social and environmental systems[10]. Because of its complexity, the city evidences even more the great social and economic distances between rich and poor[11].

3. *Methodology - Research tools and procedures*

The approach taken in this study is deeply shaped by the nature of the doctoral research, which is an industrial doctorate. This type of research focuses not only on theoretical exploration but also on practical application in real-world settings. As a result, many of the sources, data, and conclusions presented here are derived from the hands-on implementation of theoretical concepts within the concrete practices. This method bridges the gap between academic theory and practical solutions, allowing for a deeper understanding of how these concepts function in actual, operational environments. Therefore, the study's findings are strongly grounded in real-world case studies and practical experiences, which provide valuable insights into the effectiveness and

[10] Paola Clerici Maestosi, Maria Beatrice Andreucci, Paolo Civiero, *Sustainable Urban Areas for 2030 in a Post-COVID-19 Scenario: Focus on Innovative Research and Funding Frameworks to Boost Transition towards 100 Positive Energy Districts and 100 Climate-Neutral Cities*, (Energies 14, no. 1, 2021): 216.
[11] Bernardo Secchi, *La città dei ricchi e la città dei poveri,* (Gius.Laterza & Figli Spa, 2013).

challenges of applying theoretical knowledge in industry contexts. In that sense, the core of this study will be the Open Heritage project[12] and the examination of its results. The project started in 2019 and ended in 2022, which gave the opportunity to observe it from a certain perspective, not only actively during its duration, but also its eco two years after. In this way, the results are more robust as they have been proved to be sustainable for a longer period of time, not only during the project financing. It is also the occasion to understand how and in what direction the project case-studies evolved after it.

The first phase of this study will be dedicated to a comprehensive analysis of the fundamental concepts that form the foundation of the research question. Central to this exploration is the concept of vulnerability, which will not be examined as a universal human condition, but rather as a context-specific phenomenon shaped by social, economic, and political inequalities within a given community. However, the study will go beyond conventional understandings of vulnerability by introducing a new dimension: the vulnerability of cultural heritage itself. This perspective recognizes that cultural heritage, much like the communities that preserve and interact with it, can be at risk due to factors such as neglect, environmental degradation, socio-economic shifts, and exclusion from decision-making processes.

With this dual focus on community and cultural heritage vulnerability, the study will then explore pathways toward resilience and regeneration as the ultimate goal. This transition will be examined through the theoretical frameworks of the commons and participatory governance, both of which emphasize collective management, shared responsibility, and inclusive decision-making. These innovative approaches will serve as a lens through which to understand how communities can reclaim agency over their heritage, ensuring its sustainable preservation while fostering social and economic revitalization.

Furthermore, these conceptual frameworks will be systematically examined within legal and policy contexts. The study will conduct an in-depth mapping of international, EU, and national legislation, identifying the legal foundations that

[12] More detail on the project later on. The project's website is available at: OpenHeritage – People. Places. Potential. Last access:28/05/2024.

support or hinder the application of these models in case studies. By doing so, the research aims to bridge the gap between theory and practice, offering insights into how legal frameworks can be adapted or strengthened to facilitate heritage-based community resilience.

The case studies belonging to the Open Heritage project that will be examined are Rome (Italy), Pomaz (Hungary), Prädikow (Germany), Praga - Warsaw (Poland), Sunderland (United Kingdom) and Lisbon (Portugal). Besides that, as a supportive case studies the research expands on two communities belonging to the Faro Convention Network: Kaunas (Lithuania) and Novi Sad (Serbia). This will be a part of Chapter III.

Chapter IV will include a brief discussion of the Quarticciolo neighborhood in Rome, Italy, as a complementary case study that provides additional insights into the broader themes of the research, as energy communities. While this case will not be the primary focus, its inclusion serves to illustrate practical applications and prospective of the cultural heritage communities, community vulnerability, and participatory governance. More broadly, this chapter will aim to address the gaps and unresolved questions that emerge from the preceding analysis. The research will not only highlight the challenges faced by vulnerable communities and their heritage but will also propose potential solutions and strategic interventions to overcome them. These solutions will be grounded in the theoretical frameworks established in the study, drawing from concepts of resilience, commons-based governance, and legal frameworks for community empowerment. Ultimately, this chapter will serve as a conclusive synthesis, integrating theoretical insights with empirical observations to formulate recommendations and governance strategies that can contribute to sustainable, community-driven and urban regeneration.

The baseline of the study is urban regeneration, which covers not only broad fields of urban planning and design, sociology and engineering but also legal, policy and management sciences[13]. This gives the opportunity for the study to deploy interdisciplinary perspective integrating knowledge and methods from

[13] Wang, Hao, Yizhu Zhao, Xichen Gao, Boyang Gao, *Collaborative decision-making for urban regeneration: A literature review and bibliometric analysis*, (Land Use Policy 107, 2021).

multiple disciplines in order to gain deeper insights into the complex issues. However, the answers to the research question will be mostly given from the legal perspective. In that sense, the highlight will be on the legal research, relying both on doctrinal and empirical legal research methods. The hermeneutical characteristics of doctrinal legal research is reflected in the black-letter approach which will be used to identify the philosophical legal context and texts of primary and secondary sources. For this matter, the academic sources (books, publications etc.) will be use as well as non-academic material. On the other hand, by using the empirical legal research approach the study will obtain the multidimensional perspective which employes methods of other social sciences such as sociology and political sciences[14].

In the sense of the empirical research, the study is inspired by a mixed methodology [15], employing both quantitative and qualitative methods. It combines methodology from institutional analysis for the study of the commons[16] with the objectives of the Open Heritage project. It relies also on the analytical framework of the Co-City design principles[17].

Data has been collected, in an ethical way[18], through primary, secondary and meta research [19]. In the cases where data has been gathered through questionnaires the respondents have been protected, by a carefully designed section at the beginning of every questionnaire[20], through informed consent, privacy, confidentiality and anonymity clauses[21]. By filling in the questionnaires and sending them back through email, the respondents agreed to the clauses,

[14] Michael McConville and Wing Hong Chui, eds., *Research Methods for Law*, Second edition, Research Methods for the Arts and Humanities (Edinburgh: Edinburgh University Press, 2017).
[15] John W. Creswell, *Research Design : Qualitative, Quantitative, and Mixed Methods Approaches* / (SAGE Publications, 2014);
John W. Creswell, *A Concise Introduction to Mixed Methods Research* (SAGE Publications, 2021).
[16] Elinor Ostrom, *An Agenda for the Study of Institutions*, (Public Choice 48, no. 1, January 1, 1986): 3–25;
Amy R. Poteete, Marco A. Janssen, and Elinor Ostrom, *Working Together: Collective Action, the Commons, and Multiple Methods in Practice,* (Princeton University Press, 2010).
[17] Foster, Sheila R., and Christian Iaione, *Co-cities: Innovative transitions toward just and self-sustaining communities*, (MIT Press, 2022).
[18] Mark Israel and Iain Hay, *Research Ethics for Social Scientists,* (SAGE, 2006);
Rose Wiles, *What Are Qualitative Research Ethics?*, (Bloomsbury Academic, 2012).
[19] Gene V. Glass, *Primary, secondary, and meta-analysis of research*, (Educational researcher 5, no. 10, 1976): 3-8.
[20] The example of this document can be found in the section *Annexes*.
[21] Jennifer Mason, *Qualitative Researching*, (Sage Publications, 2017): 1–288.

unless explicitly disagreeing on one or more points. On the other hand, in the case of semi-structured interviews, interviewees have been informed at the beginning of the interview. In addition to that, they also signed informed consents individually[22].

The data collection has been carried out relying on the following sources:

- Direct observatory participation and site visits to some of the study cases.
- In desk research of study cases available data, mostly project documentation.
- Semi-structured interviews and questionnaires.
- Sources of indicators of the socio-economic and institutional profiles of the community in question, sources depending on the availability of data on national levels.
- Legislative acts, case law, and policy documents.

This study has been conducted in collaboration with CooperACTiva, the first Italian community cooperative established in an urban area. It operates in three neighborhoods in the eastern quadrant of Rome: Centocelle, Torre Spaccata, and Alessandrino. On these territories, it fosters social fabric and supports individual citizens' entrepreneurial initiatives. It aims at conducting eco-sustainable activities to enhance the area, revitalizing culture, and promoting the local economy. Its mission is to create jobs for residents through initiatives related to sustainable tourism, neighborhood digital services, creativity, reducing the digital divide, and fostering a circular economy. In doing so, it seeks to engage citizens as active participants in the management of urban commons and address the needs of the community. CooperACTiva was also representing the Italian case study in the Open Heritage project. The research on this case

[22] These materials are available at the end of the study as a part of *Annexes* section.

study derives from active involvement in CooperACTiva's activities. This involvement and the field research guaranteed direct access to the project documentation and experience and therefore – a higher level of reliability. For these reasons it is justified to dedicate a larger space to CooperACTiva in this study. Many of the theoretical structures elaborated will be observed through its lenses, which also gives an opportunity to directly test how they practically work, using CooperACTiva as a testing case-study.

The second important point of this study is a period of research at Eutropian[23] which is a non-profit organization made of urban policy experts and citizen initiative advocates, specialized in collaborative urban development processes, present in Rome (Italy), Vienna (Austria) and Budapest (Hungary). As an Open Heritage project partner too, Eutropian was a valuable source of data for the conclusion of this research. Besides that, Eutropian conducts many other projects from which further data could be extracted, in order to connect them to the results of Open Heritage and develop the research beyond. One of those cases is also Quarticciolo (Chapter IV).

4. *The research design*

The design of this research has been divided into:

1. Interdisciplinary review of the literature

This phase is based on review across the studies on vulnerability, studies on urban commons and participatory governance, which sets up fundamental concepts for further analysis.

2. Mapping of these concepts in the legal and policy acts

Examining these concepts within international, EU, and national policies and legal frameworks to establish the legal and policy foundations that facilitate the implementation of the proposed models.

[23] More information on Eutropian at: https://eutropian.org/. Last access:28/05/2024.

3. Setting the of the analytical framework

The framework is developed based on the previous theorical basis in combination with Open Heritage project indicators.

4. Case studies data collection

The data from the Open Heritage are collected. Two other case-studies from Faro Convention Network have been mapped and added to the data pool.

5. Coding of the data

Based on previously developed analytical framework data have been coded relying on meta and quali-quantitative analysis.

6. Analysis of the results

Case studies are described and analyzed in depth.

7. Identification of the issues in the initial hypothesis

The results of the case studies analysis showed some weaknesses, so the further developments are proposed.

5. The structure of the study

This chapter explains the relevance of this study and sets up the research questions that will further guide the study in the next chapters. It gives a methodological overview and step by step description of the research design and data collection.

Chapter II will give insight into the essential concepts underpinning the research hypothesis. This theoretical overview will start by exploring the vulnerability of heritage communities. Although vulnerability theory has broad applications across various disciplines, it is rarely associated with cultural heritage. The challenge will be to identify the theoretical and legal framework to construct a suitable model of vulnerability for application in case study analysis. This involves examining relevant aspects of vulnerability and related concepts such

as social justice, empowerment, and resilience, ultimately defining determinants and indicators for assessing community vulnerability. The second part of the chapter will investigate the theoretical construction of urban commons to justify the use of participatory governance in cultural heritage-driven regeneration and resilience processes. It introduces the concept of a heritage community, characterized by geographical and demographic bonds formed through cultural identity and heritage. Understanding these bonds requires a broad definition of heritage. The goal of heritage-driven initiatives is sustainability through a circular economy model, though initial investments are necessary to initiate the process. The chapter will conclude with an overview of the legislative foundations for these mechanisms, framed within international, European, Italian, and local policies. This theoretical analysis leads to the hypothesis that cultural heritage can serve as a sustainability model, forming the basis of the research question.

Building on the theoretical concepts and criteria established in Chapter II, Chapter III will conduct an empirical analysis of case studies to explore the relationship between local communities, cultural heritage, and sustainable development. This chapter will address the research questions in a practical manner, demonstrating the feasibility of bottom-up regeneration processes within heritage-driven communities in vulnerable contexts. Chapter III will provide a comprehensive overview of the selected case studies, presenting a rich narrative that captures the essence of each community's journey. It will delve into the contextual background of each case, highlighting the challenges and obstacles faced, along with the outcomes achieved. Through this analysis, practical insights will emerge to enhance the understanding of the delicate balance between cultural heritage preservation and sustainable development. Additionally, this Chapter will examine governance models and legal tools that can mitigate community vulnerabilities and promote sustainable development, focusing on innovative approaches beyond the traditional public-private partnership framework in cultural heritage management. Finally, the Chapter will give special attention to future initiatives and the further development of case studies.

Based on that in-depth analysis conducted on case studies, the conclusive Chapter IV will fit them into a certain level of sustainability, trying to reach the optimum transformative sustainability. To grasp transformative sustainability, a new concept will be proposed, the one in which sustainability depends on two elements: governance and resilience. This chapter will introduce the concept of innovation within heritage communities, exploring how these communities can transform, why transformation is necessary, and what they can become. The first section will examine energy communities and their connection to heritage communities, identifying points of intersection in their paths toward resilience. To do this, the concept of energy communities will be analyzed through both EU and national legal frameworks, focusing on how these regulations can meet the needs of heritage communities. The analysis will be as thorough and comprehensive as necessary to gain these insights. The second part will focus on digitalization and community, investigating whether digital platforms can foster local economic development and serve as tools for collective action and participation. Based on these conclusions, some directions for the future research will be proposed.

Chapter II – Defining vulnerable communities and the adding value of cultural identity

Summary:

1. Introduction to the chapter.

2. Defining vulnerable community. 2.1 Different theoretical aspects of vulnerability. 2.2. Social and economic inequality, vulnerability, and poverty. 2.3 Marginalization of vulnerable communities and the EU context. 2.4 The "vulnerability" of cultural heritage? 2.5 Social justice, community empowerment and resilience. 2.6 Tools for further analysis.

3. Participatory governance in the sector of cultural heritage. 3.1 Cultural heritage as a commons. Concepts and approaches to cultural heritage. 3.2 Governance of the cultural heritage: The models. 3.3 Cultural heritage as a facilitator and a necessary condition for the creation of a community: The heritage community. 3.4 Hypothesis of a cultural heritage as a tool towards resilience. 3.5 The role of financial resources: how can a community be financially sustainable and self-sufficient?

4. Protection and valorization of the cultural heritage through participatory governance in the multilevel legal framework. 4.1 International and level. 4.2 European Union level and Faro Convention. 4.3 National level and local policies (Italian case). 4.3.1 The Bologna Regulation. 4.3.2 The Turin Regulation. 4.3.4 The Reggio Emilia Regulation. 4.3.5 The Naples Resolution. 4.4 Through the lenses of CooperACTiva's statute

5. Conclusion: the foundations for the further analysis.

1. Introduction to the chapter

The study hypothesis follows two main threads. The first one is vulnerability, or better said, the striving from inequality to equality as a desired social state, on which the Green Deal is focused. The second one is a cultural heritage and its reuse, as a proposed tool for reaching the goal of social equality. This chapter will examine these indispensable notions and concepts on which the research hypothesis is based and explain the proposed mechanisms that are entwined

into them and between them. It is of crucial significance given that the study is built on the combination of these notions. The central concepts are vulnerability as a wider term than inequality, heritage community and its cultural heritage. At the first glance it might seem that the relation between them could be weak and limited. But at the end of this chapter there will be a solid foundation created for the further analysis of the case studies.

In fact, the theoretical overview will start with the examination of vulnerability of the heritage community, through the dichotomy between equality and inequality. Although it is a very broad concept rooted in many different disciplines, theory hardly connects it with the concept of cultural heritage (unless briefly in the context of natural hazards). Existing theorical premises are applicable to bioethics, climate change, social politics, and law, but in the terms of cultural heritage, its protection, regeneration, and heritage community theory is generally silent. The challenge of this first part will be to find the theoretical and legal background on which the suitable model of vulnerability can be built and bring it into relation to inequality, in order to then apply it in the analysis of the case studies and understand how it varied during the conduction of the project. The concept of vulnerability is universal but treated very differently in various disciplines. Relevant aspects of vulnerability will be examined, together with other notions with a straight connection to it, with the goal to arrive to what is its natural resolution: social justice, empowerment, and resilience. The ending result will be a setup of determinants and indicators that will be used to describe the community vulnerability during the empirical examination of case studies in Chapter III.

This in-depth exploration of vulnerability is crucial because the concept serves as a fundamental pillar of the research framework. In this study, vulnerability is not only analyzed in its conventional sense as it relates to social, economic, and political inequalities, but also in a new and interdisciplinary way, integrating cultural heritage and its role in community resilience. Given that vulnerability spans disciplines such as law, sociology, economics, and environmental studies, a robust theoretical foundation is essential to ensure clarity and precision in its application to case studies.

Furthermore, because vulnerability is closely tied to marginalization, social exclusion, and systemic inequalities, this research seeks to develop a comprehensive analytical model for assessing the conditions of vulnerable communities. By dedicating substantial space to defining and analyzing vulnerability, this study adopts a rigorous, interdisciplinary approach that underscores the role of cultural heritage as a tool for community empowerment, resilience, and sustainable development. This detailed examination also strengthens the study's capacity to propose participatory governance models and policy solutions that are specifically designed to address the needs and realities of vulnerable communities. In other words, a well defined vulnerability of a community offers a baseline and justification for active citizenship and collective civic actions towards the resilience.

The second part of the chapter will delve into the theoretical framework of urban commons, exploring how this concept can be leveraged to redefine cultural heritage in a way that justifies the application of participatory governance as a mechanism for regeneration and resilience. By positioning cultural heritage within the broader discourse on commons, the study will argue that heritage is not merely a passive asset to be preserved, but rather a dynamic and collectively managed resource that requires inclusive and community-driven approaches for its sustainability and revitalization.

Additionally, the chapter will introduce the concept of the heritage community as an inclusive and participatory entity, characterized by geographical and demographic connections and strengthened by a shared cultural identity and sense of belonging. Understanding these social and cultural bonds is crucial, as they define the way communities interact with their heritage, influencing their ability to mobilize resources, engage in governance processes, and advocate for sustainable preservation and reuse. To capture the full scope of these interactions, the study will adopt a broad and comprehensive definition of heritage, encompassing not only tangible assets such as historical sites and monuments but also intangible cultural expressions, traditions, and collective memories that shape a community's identity.

Furthermore, the chapter will examine heritage-driven initiatives as potential models of sustainability, emphasizing their alignment with the principles of the circular economy. These initiatives aim to transform heritage into a self-sustaining resource that generates economic, social, and cultural benefits for the community. However, achieving long-term sustainability requires an initial investment trigger—whether in the form of public funding, private investment, or community-led financial mechanisms—to catalyze the regeneration process. The analysis will thus explore the conditions necessary for these investments to be effective, ensuring that heritage-based projects do not merely serve as short-term interventions but rather evolve into enduring, community-driven solutions for urban resilience and sustainable development.

The examination of the legislative foundations underpinning these mechanisms will be conducted through an analysis of legal and policy frameworks at multiple governance levels, including international, European, national (Italian), and local regulations. This multi-layered approach will provide a structured and contextualized understanding of how different legal systems interact and influence the implementation of participatory governance and commons-based models in the field of cultural heritage.

At the international level, the study will explore key treaties, conventions, and declarations that establish principles for cultural heritage protection, sustainable development, and community participation. Particular attention will be given to instruments such as the Faro Convention, which emphasizes the role of communities in heritage management, as well as broader frameworks related to human rights, environmental sustainability, and urban regeneration.

At the European level, the analysis will focus on EU directives, policies, and funding programs that support heritage preservation, community-based governance, and sustainable urban development. The study will examine the legal obligations and policy incentives established by the European Union, assessing how they shape national and local decision-making processes and facilitate the integration of heritage-driven initiatives into broader sustainability goals.

At the national level, the research will provide an in-depth examination of Italian legislation, including constitutional provisions, cultural heritage laws, and administrative regulations that define the legal responsibilities of public and private actors in heritage governance. This analysis will highlight the role of municipalities and local governments in implementing these policies, ensuring that heritage communities are actively involved in decision-making processes.

Finally, at the local level, the study will investigate municipal regulations, participatory governance models, and case-specific legal frameworks that provide concrete examples of heritage-led urban regeneration. By examining city ordinances, cooperative agreements, and community-driven governance structures, this section will showcase how legal mechanisms are adapted to the specific needs of local heritage communities, fostering bottom-up innovation and sustainable development.

The conclusions drawn from this theoretical analysis will form the basis for the central hypothesis of this research: that cultural heritage can serve as a sustainability model capable of fostering community resilience, social cohesion, and long-term development. This hypothesis is not only the foundation of the research question but also the guiding principle for the analytical framework that will structure the case study analysis.

However, the significance of these theoretical concepts extends beyond merely shaping the analytical framework. They also underscore the broader relevance of this study, as they provide the key to answering the research questions. By positioning cultural heritage as a driver of sustainability, the study challenges traditional perspectives that view heritage solely as a passive asset to be preserved. Instead, it argues for its active role in shaping inclusive, participatory, and economically viable communities. Through this lens, the research aims to demonstrate how heritage-based approaches can address contemporary urban challenges, offering new models for governance, policy-making, and community-led regeneration.

2. *Defining vulnerable community*

Traditionally, vulnerability has been defined in terms of exposure to risk and risk management, encompassing aspects like insurance against shocks and threats, and diversification of income and assets. However, this study will have a more holistic approach, highlighting the strong connection between vulnerability and the development of an inclusive society.

Narrowly speaking, the notion of "vulnerability" could be understood as susceptibility to physical, emotional or material harm or loss. It derives from a latin word *vulnus* or *vulnerare*[24]*,* which means wounding, to wound or to hurt. The Oxford English Dictionary defines "vulnerability" as "the quality or state of being exposed to the possibility of being attacked or harmed, either physically or emotionally."[25] The concept has been widely used in many scientific fields. The word is commonly used in public health and medical studies. Sociology and psychology define susceptibility of both individuals and groups to harm. Disaster and humanitarian studies, and climate science, on the other hand, relate term "vulnerability" to the notion of "hazard"[26] and in that way manage to measure vulnerability within the *vulnerability as impact approach*, by quantifying the relationship between hazards and outcomes. There are many other specialized and context-specific applications of the term. Different disciplines treat the notion of vulnerability differently, hence different concepts and definitions emerge. It could be stated that there is no universal concept of vulnerability but a *sum of concepts,* given its vast fields of application.

It is appropriate to start discourse on vulnerability in the terms of law and politics by a brief overlook to the notions of equality and inequality. The terms of vulnerability and inequality are related as, in a way, they depict a certain condition of individuals and groups of being or possibly being exposed to a less

[24] First time the term *vulnerabilis* in the similar context to the modern one appeared in the Roman Empire, referring to wounded soldiers that are at a higher risk of losing life during the battle given their weak condition. See: Vulnerability and the Green New Deal: A Note of Caution (greeneuropeanjournal.eu) (last access on 29/11/2023).

[25] *Vulnerability* (definition), English Oxford Living Dictionaries; 2018. Available: https://en.oxforddictionaries.com/definition/vulnerability (last access: 28/11/2023).

[26] Patricia Romero-Lankao, Daniel M. Gnatz, and Joshua B. Sperling*, Examining urban inequality and vulnerability to enhance resilience: insights from Mumbai, India*, (Climatic Change 139, no. 3 , 2016): 351-365.

advantageous position. While the notion of vulnerability in legal context appears much later, the concept of equality and inequality has been discussed since the golden age of Greek philosophy. The modern idea of the concept which is still relevant nowadays was created by Jean-Jacques Rousseau in his Discourse on the *Origin and Basis of Inequality among Men*, often abbreviated to *Discourse on Inequality*. According to Rousseau, there are two kinds of inequality among the human species. He calls the first one natural or physical inequality, "because it is established by nature, and consists in a difference of age, health, bodily strength, and the qualities of the mind or of the soul." The other one, in which he is particularly interested, has been defined as moral or political inequality, "because it depends on a kind of convention, and is established, or at least authorized by the consent of men".[27] The natural inequality is self-explanatory. Hence, Rousseau focuses on the moral or political inequality. By examining the progress of things, he tries to understand in which moment nature became subject to law and how the strong one submitted the weak. Rousseau's answer is *the first property* and states that "from the moment one man began to stand in need of the help of another; from the moment it appeared advantageous to any one man to have enough provisions for two, equality disappeared, property was introduced, work became indispensable, and vast forests became smiling fields, which man had to water with the sweat of his brow, and where slavery and misery were soon seen to germinate and grow up with the crops"[28]. Rousseau's answer to inequality would be" the Social Contract" or, said in modern language, "a State of Law".[29]

On the other hand, equality is a value that took the highest position in the contemporary concepts of philosophy of law and political philosophy. Equality as a normative concept in modern sense emerged during the French revolution, with the *The Declaration of the Rights of Man and of the Citizen* (1789)[30]. Today,

[27] Jean-Jacques Rousseau, *On the Origin of Inequality, On the Origin and Foundation of the Inequality of the Mankind.* (Cosimo, Inc., 2005).

[28] Jean-Jacques Rousseau, *On the Origin of Inequality, The Second Part.* (Cosimo, Inc., 2005).

[29] Matteo Cervellati, Piergiuseppe Fortunato, Uwe Sunde, *Hobbes to Rousseau: Inequality, Institutions and Development*, (The Economic Journal, Volume 118, Issue 531, 1 August 2008): 1354–1384.

[30] The Article 5 of the Declaration considered distinctions between people based on hereditary privileges or inherent characteristics to be irrelevant. It created the idea of the submission to the same law as the main guarantee of the individuals as opposite from the Ancient Regime where inequality was natural and willed by

in almost all legal systems equality represents a dogmatic constitutional norm, as one of the fundamental legal values. As a principle that demands equal treatment and respect, it is attributed to all human beings. In that sense, it is interpreted as a necessary and indispensable human right. The principle of equality is one of the basic principles of justice, and justice is grounded in the freedom and dignity of individuals. There is a strong interdependence between equality and freedom as a traditional companion of equality in the human rights discourses[31]. Freedom as a fundamental human right defines the democratic political order. According to Stefano Rodotà[32] these rights feature the State of Constitution and create basis for democracy. But the mere proclamation of freedom by the constitutional acts is "a mere deception", as the experience of the 20th century shows[33], given the governments' "continuous attempts to consider these recognized freedoms and rights as too excessive comparing to the needs of social controlling or economic development". In that sense, references to freedom, besides being a presentation of democratic regime, are also a tool for analysis of the actual texture of political and social relations. These references are also a measure of injustice and an instrument to fight against it[34]. The sum of individual fights represents the fight of the citizenship, as an inclusive form and togetherness in this fight. In the moment in which the government fails to provide for these freedoms (as/and fundamental right) the citizenship becomes active. This is relatable to what Rodotà calls "the revolution of equality" and "revolution of dignity".

But what exactly is freedom? Freedom to what and freedom from what? It is such a porous term that it leaves not much space for interpretation. Here the work of Isaiah Berlin[35] (adopted by many authors) is useful, with his two

God. The composition of the feudal order has been rejected and privileges and all personal dominations over other persons were abolished.

[31] For a long time, the concept f equality has been associated to John Locke's philosophy of liberal individualism. According to Locke, equality in the liberal model is the expression of the idea that all human beings are by nature free and endowed with the same inalienable rights.

[32] Stefano Rodotà, *Libertà e diritti in Italia: dall'Unità ai giorni nostri* (Donzelli Editore, 1997).

[33] In this work Rodotà based his conclusions on the analysis of the Italian case, from the unification of the Republic to the modern times. He analyzes freedoms and rights of "four consistutions" that were present since the unification of Italy: the oligarchic, liberal-democratic, fascist and democrat-republican.

[34] Stefano Rodotà, *Il diritto di avere diritti* (Gius.Laterza & Figli Spa, 2012).

[35] Isaiah Berlin, *Two Concepts of Liberty, in Isaiah Berlin, Four Essays on Liberty* (Oxford University Press, 1969). He goes on to describe and criticize the way in which the idea of self-direction was equated by many thinkers with the potentially tyrannous idea of being a participant in collective coercion.

perspectives on positive and negative freedom. According to Berlin, positive freedom necessitates that an individual's actions are guided by their own ideas and purposes, rather than by external influences. This implies, if not directly stating, that positive freedom requires the individual to reject all inherited assumptions and begin anew, embracing only those ideas and purposes that they have critically evaluated and accepted[36]. On the other hand, negative freedom is characterized by the absence of external constraints on personal decision making[37]. Hence, positive freedom requires negative freedom. In other words, negative freedom is a lack of those continuous attempts to consider positive freedoms too excessive, as Rodotà said. On the contrary, positive freedoms could actually be a driver for an economic development. And in order to be so, these freedoms have to be equal for everyone: It can be agreed that the principle of freedom is applied equally so in that sense liberty and equality are two supreme and inseparable principles[38]. In this equality of freedom there could be words on collective freedom, positive and negative, as the overcoming of the individual ones. From the positive collective freedom that requires negative collective freedom derives *active citizenship*. Between freedom and equality there can be found dignity as a middle term in their relationship[39]. As such, it can be understood as a constitutional right - "a right to have rights"[40] or as a constitutional value, a concept that "ensures the normative unity of human rights[41]. Dignity has a strong emancipatory connotation, especially for strengthening social rights and amplifying autonomy of an individual and so create conditions for the construction of an identity[42]. But if it can work for an

[36] Isaiah Berlin*, Two Concepts of Liberty*: "I wish to be ... self-directed and not acted upon by external nature or by other men as if I were a thing, or an animal, or a slave incapable of playing a human role, that is, of conceiving goals and policies of my own and realizing them ... I wish, above all, to be conscious of myself as a thinking, willing, active being, bearing responsibility for my choices and able to explain them by reference to my own ideas and purposes." , cit.

[37] Isaiah Berlin*, Two Concepts of Liberty*: "I am normally said to be free to the degree to which no man or body of men interferes with my activity.", cit.

[38] Gaetano Silvestri, *Dal potere ai princìpi: Libertà ed eguaglianza nel costituzionalismo contemporaneo* (Gius.Laterza & Figli Spa, 2014).

[39] Angelo Schillaci, *Enjoy liberty as we learn its meaning. 'Obergefell v. Hodges' tra libertà, uguaglianza e pari dignità*, (Diritti umani e diritto internazionale 3, 2015), 639–54.

[40] Stefano Rodotà, *Il diritto di avere diritti,* (Gius. Laterza & Figli Spa, 2012);
Aharon Barak, *Human Dignity: The Constitutional Value and the Constitutional Right,* (Cambridge University Press, 2015).

[41] ibid.

[42] Giorgio Resta, *Dignità, persone, mercati,* (G Giappichelli Editore, 2014).

individual, why couldn't it be applied to a community? For the amplification of this autonomy, according to Gianfrancesco Zanetti[43], there are three conditions that need to be fulfilled: capacity for discernment, absence of coercion, availability of options, with a particular emphasis on the last one. But, while autonomy is not a norm at the constitutional level, equality is. So, to go a step back to equality, Zanetti emphasizes two types of complexities of the notion of equality. The first one highlights the basic equality and equality as an objective or normative. Basic equality refers to any doctrine, theory, notion, philosophical position that allows to affirm that all men are equal, no matter on the basis of what criterion we reach that conclusion. Normative equality states that one must pursue that kind of equality, achieve an equality that does not yet exist. So, it is a goal to be achieved. The second pivots on the distinction between equality before the law (formal) and equality in terms of distributive justice, and thus an economic equality (substantive)[44].

Every democratic constitution nowadays contains the principle of equality, not located in one specific part, but it can be found in different locations and in different forms. At the same time, it can be a value, an objective, a fundamental right, a positive duty and a legal competence[45]. In national constitutions it can always be found as an anti-discrimination norm and the protection of diversity, but also norms protecting human dignity.

As for the international and EU primary sources, the Charter of Fundamental Rights[46] in its chapter III named "*Equality*" explicitly claims that "*Everyone is equal before the law*" (Article 20). Besides that, the Charter recalls equality also in the Article 21 (Non-discrimination), Article 22 (Cultural, religious and linguistic diversity), Article 23 (Equality between men and women), Article 24 (The right of the child), Article 25 (The rights of the elderly), and Article 26 (Integration of the persons with disabilities). All of these articles belong to the Chapter III

[43] Gianfancesco Zanetti, *Eguaglianza come prassi. Teoria dell'argomentazione normativa*, (Il Mulino, 2015).
[44]Augusto Cerri, *L'eguaglianza*, (Laterza, 2005);
Antonio D'Aloia, *Eguaglianza sostanziale e diritto diseguale. Contributo allo studio delle azioni positive nella prospettiva costituzionale*, (Vol. 33. Padova: CEDAM,2002).
[45] Mark Bell, *Equality and the European Union Constitution*, (*Industrial Law Journal*, Volume 33, Issue 3, 2004): 242–260.
[46] European Union, "Charter of Fundamental Rights of the European Union." Official Journal of the European Union, (C83, vol. 53), 2010. Full text of the Charter available here: https://www.europarl.europa.eu/charter/pdf/text_en.pdf. Last access: 9/7/2024.

named "*Equality*". TEU[47] treats this argument in the Article 2, by saying that "*The Union is founded on the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities. These values are common to the Member States in a society in which pluralism, non-discrimination, tolerance, justice, solidarity and equality between women and men prevail*", for then taking the obligation in the Article 3(3) to "…*combat social exclusion and discrimination…*". TFEU[48], on the other hand, chooses to set up this provision differently in the Article 8: "*In all its activities, the Union shall aim to eliminate inequalities, and to promote equality, between men and women*". Next, Article 10 treats discrimination, which then repeats in the Articles 18 and 19. Social policies referring to the equality have been treated in Articles 153(1) and 157. The European Convention on Human Rights (hereinafter ECHR)[49] in its Article 14 prohibits discriminations, saying that "*the enjoyment of rights and freedoms set forth … shall be secured without discrimination on any grounds such as sex, race, colour, language, religion, political or other opinion, national or social origin, association with a national minority, property, birth or other status*." Primary sources of the European Union are pretty exhausting when it is about equality, but it does not stop there. There is a significant number of directives to treat this matter, directly or indirectly[50].

[47] European Union, "Consolidated Version of the Treaty on European Union" Official Journal of the European Union, (C 326/13), 2007. Full text of the Treaty available here: https://www.refworld.org/legal/agreements/eu/2007/en/71078. Last access: 9/7/2024.

[48] European Union, "Consolidated Version of the Treaty on the Functioning of the European Union" Official Journal of the European Union, (C 326/47), 2008. Full text of the Treaty available here: https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:12012E/TXT. Last access: 9/7/2024.

[49] Council of Europe, "Convention for the Protection of Human Rights and Fundamental Freedoms as amended by Protocols No. 11 and No. 14", European Treaty Series - No. 5, Rome, 4/11/1950. Full text of the Convention available here: https://rm.coe.int/1680063765. Last access: 9/7/2024.

[50] Some of those directives are:

- Directive 2000/43/EC against discrimination on grounds of race and ethnic origin.
- Directive 2000/78/EC against discrimination at work on grounds of religion or belief, disability, age or sexual orientation.
- Directive 2006/54/EC on equal treatment for men and women in matters of employment and occupation.
- Directive 2004/113/EC on equal treatment for men and women in the access to and supply of goods and services.
- Directive Proposal (COM(2008)462) against discrimination based on age, disability, sexual orientation and religion or belief beyond the workplace.

The contribution of the Court of Justice of the European Union has been fundamental in defining the interpretation and scope of application of the principles of equality and non-discrimination, clarifying their scope and determining the prerequisites for their evolution through the recognition of the need for them to find concrete implementation and effective protection even outside the sphere of rights and duties inherent in the employment sphere. Probably the most relevant is the sentence Defrenne v SABENA[51] on the principle of equal treatment and non-discrimination based in gender at work. The Court established that the EU is "*not merely an economic union, but is at the same time intended, by common action, to ensure social progress and seek the constant improvement of the living and working conditions of their people… held that article 119 of the Treaty of the European Community was of such a character as to have horizontal direct effect, and therefore enforceable not merely between individuals and the government, but also between private parties*".

On the international level, it is important to mention the work of the United Nations. In the Article 1 the United Nation Declaration of Human Rights states that "*All human beings are born free and equal in dignity and rights*"[52]. Equality is based on human rights, but also social, cultural, economic and civil[53]. Still, although it can be argued that human rights contributed a lot to the development of a more equal society, some others claim that it is still not enough for a deep social change. Besides that, there are many individual acts that treat equality, as an example: Declaration of the General Assembly from 1963 on the elimination of all forms of discrimination; Convention on the women political rights from 1953; Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities from 1992.

In regard to the Italian legal system, obviously the fundamental norm is the Article 3 of the Constitution, according to which "*All citizens have equal social*

[51]Judgement of 8 April 1976, *Defrenne v SABENA*, Case 43/75 , ECLI:EU:C:1976:56. The sentence is available here: https://curia.europa.eu/juris/showPdf.jsf?text=&docid=88931&pageIndex=0&doclang=IT&mode=lst&dir=&occ=first&part=1&cid=208220. Last access: 5/7/2024.

[52] United Nations General Assembly, "The Universal Declaration of Human Rights (UDHR)", New York: United Nations General Assembly, 1948. Text of the Declaration available at: udhr.pdf (un.org). Last access: 9/7/2024.

[53] Tomas Englund, Ann Quennerstedt, and Ninni Wahlström, *Education as a Human and a Citizenship Right — Parents' Rights, Children's Rights, Or…? The Necessity of Historical Contextualization*, (Journal of Human Rights 8, no. 2, June 12, 2009): 133–38.

dignity and are equal before the law, without distinction of sex, race, language, religion, political opinion, personal and social conditions. It is the duty of the Republic to remove those obstacles of an economic or social nature which constrain the freedom and equality of citizens, thereby impeding the full development of the human person and the effective participation of all workers in the political, economic and social organization of the country." There are also other norms that refer to the principle of equality. As an example, Article 8 treats equality of different religions; Article 37 treats equal status of women in the field of labor; Article 51 on equal opportunities between men and women etc.

The above-mentioned considerations represent formal equality, which demands that individuals in a similar situation should be treated equally. Case-law of the Court of Justice relies on this principle [54]. Legal theory [55] also distinguishes a substantive equality principle, which goes beyond the mere "sameness" and focuses on identifying the causes and symptoms of inequality. Also, the Italian Constitution was not content with establishing the formal principle of equality before the law but introduced the substantive principle of equality before the reality of *de facto* inequalities[56]. This revolutionary novelty is of extraordinary importance [57]. As already mentioned above, this concept suggests that it is not enough just to enact a prohibition of inequality, but it is also necessary to set up a positive action in order to protect the principle of equality. This positive action does not necessarily have to come from the top of the state, but it can also derive from a positive freedom of an individual and, why not, a community, through a bottom-up process.

So, how to strive from *de facto* inequalities to the state of equality? Already this question implies that there is a necessity for an action, a substantive principle of

[54] As an example, in the case *Caballero v Fogasa* the Court found the breach of the general principle of equality, when unfairly dismissed workers were not entitled to a benefit by the insolvent employer that was otherwise available for unfairly dismissed workers by employers who were not insolvent. See Case C-442/00 *Caballero v Fogasa* (2002) ECR I-11915, para 33.

[55] Klaartje Wentholt, *Formal and Substantive Equal Treatment: The Limitations and the Potential of the Legal Concept of Equality*, in *Non-Discrimination Law: Comparative Perspectives* (Brill Nijhoff, 1999), 53–64.

[56] The second paragraph of the Article 3 is about substantive equality: that is, it requires the state to actively engage politically, economically and socially to eliminate such discrimination. Thus, in addition to the point of view of law, Article 3 enshrines the de facto equality of citizens, and entrusts the state with the task of creating the conditions for it.

[57] Cassese Sabino, *L'eguaglianza sostanziale nella Costituzione: genesi di una norma rivoluzionaria*, (Le carte e la storia 23, no. 1 , 2017), 5–13.

equality. Anyhow, these considerations are only a superficial glance of the very profound topic on equality principle. There is rich literature on this matter which could be further examined on another occasion. But for this purpose, it is necessary to underline that the equality principle sets a fundamental constitutional basis for striving towards a just society, as an opposite to vulnerable and unequal society. As already mentioned, vulnerability is a wider term compared to inequality, which refers to the state of an individual person. Vulnerability recalls rather a collectivity. But not only that, while inequality can be a state only of a person as a human being, vulnerability goes beyond it and can refer also to a territory or a resource. This study will argue furthermore that even cultural heritage (as part of a territory and connected to a community through a sense of identity and belonging) can be vulnerable. Eventually, the vulnerability of one community could also be expressed in equality of the members of that community in the state of being vulnerable.

2.1 Different theoretical aspects of vulnerability

Vulnerability has been addressed through an expansive range of scientific fields. Because of that, the notion is vague and ununiform. More and more scholars are studying vulnerability to understand problems that people or groups face in the environment and society. But although the idea of universal definition of vulnerability has been tackled, not enough efforts have been put to bring different understandings of vulnerability together. This paragraph will try to provide an overview of some key theories in different professional areas.

Through the lenses of law, the doctrine of vulnerability is well-established in practice but still relatively new for legal science. It is strictly related to the field of human rights law or better said, it is a concept within human rights law. As such, the concept of vulnerable groups became visible to the European Court of Human Rights (hereinafter ECtHR). The Court protects equality through the Article 14 of the ECHR through the clause on Prohibition of discrimination and by that, directly treats vulnerability. As an example, the Court applied the concept in relation to the Roma minority stating that “the Roma have become a

specific type of disadvantaged and vulnerable minority"[58], but also when stated to regard people with mental disabilities as a "particularly vulnerable group in society, who have suffered considerable discrimination in the past"[59]. As can be noticed, the Court also relates the term with a group of people or a community, besides with only individuals. The emergence of vulnerability is a positive development in ECHR since it allows it to address different aspects of inequality in a more substantive way[60].

The legal and political theory is much richer regarding the concept of vulnerability than legal practice. The most widespread view of vulnerability is the radical one, given by critical legal studies. According to this view, offered by Martha Albertson Fineman, in the United States context but still the most prominent modern vulnerability scholar even worldwide, vulnerability is universal, and a constant human condition given that it is a susceptibility to change, which can be positive and negative. She considers that using vulnerability to single out particular groups implies victimhood, deprivation, dependency or pathology. Universality of the vulnerability is based on two facts: first is the natural fragility of a human body, and the second one comes from the differences among individuals and different ways in which we are societally and socially embedded. Hence, individuals and groups are dependent on the State and institutions, which must be responsive to vulnerability and must procure set of rules to guarantee equality and social justice[61]. In order to do so, the State places individuals and groups within a social context to provide resilience. In this context, resilience is offered as a solution for vulnerability[62]. This theory is in contrast with the above-mentioned formal equality approach, adopted by the governments, which fails to achieve substantive equality[63]. Fineman says that formal equality created discrimination, since it protects only individual that correspond to the criteria prescribed by the legal norm. That privilege belongs

[58] *D.H. and others v. the Czech Republic* (GC), App. No. 57325/00, 47 Eur. H.R. Rep. 3, 182 (2007). The case is available here: https://hudoc.echr.coe.int/fre#{%22itemid%22:[%22001-83256%22]}.

[59] *Alajos Kiss v. Hungary*, App. No. 38832/06, 20 May 2010. The case is available here: https://hudoc.echr.coe.int/eng#{%22itemid%22:[%22001-98800%22]}.

[60] Lourdes Peroni and Alexandra Timmer, *Vulnerable groups: The promise of an emerging concept in European Human Rights Convention law*, (International Journal of Constitutional Law, Volume 11, Issue 4, October 2013): 1056–1085.

[61] Martha Albertson Fineman, *Vulnerability and Inevitable Inequality*, (Oslo Law Review 4, no. 3, December 15, 2017): 133–49.

[62] Martha Albertson Fineman, *The Vulnerable Subject and the Responsive State*, (EmoRy lJ 60, 2010):251.

[63] Darren Rosenblum, *Unsex Cedaw, or What's Wrong with Women's Rights*, (Columbia Journal of Gender and Law 20, no. 2, 2011): 98–194;
Fionnuala Ni Aolain, *Women, Vulnerability, and Humanitarian Emergencies*, (Michigan Journal of Gender & Law 18, 2012 2011): 1–24.

to a broader society. For that reason, it is necessary to "*develop a more complex subject around which to build social policy and law*"[64]. Fineman's theory of vulnerability aims to tackle the disadvantage, inequality, and injustice obscured by notions of individual responsibility, autonomy, and the minimal state. She employs the unifying and bonding force of our shared human vulnerability as embodied, mortal beings to achieve this.

Building on the idea that vulnerability creates obligations, Robert E. Goodin[65] criticizes the notion that our moral responsibilities towards others are limited in scope, primarily owed to those closest to us, and assumed voluntarily or based on family relationships. Goodin instead advocates for social justice and a caring community, arguing that every individual is part of a broad network of moral obligations toward those who are more vulnerable. Taking a consequentialist approach, Goodin asserts that it is the dependency of the vulnerable itself, not charity or benevolence, that necessitates care.

On the other hand, Corina Heri[66] defines vulnerability in the context of the European Convention of Human Rights (hereinafter ECHR) and human rights protection[67]. In her work she tries to map reasons why a given group or individual may be considered vulnerable by the ECtHR and in that order, she creates a typology of sources of vulnerability. The first proposed typology categorizes sources of vulnerability into "etic" and "emic" types. An "etic" approach defines vulnerability based on the existence of a risk that warrants intervention, whereas an "emic" approach ties vulnerability to a person's psychosocial and cultural context. A distinction can also be made between vulnerable groups and vulnerable individuals, a differentiation also recognized by the ECtHR. According to the Court, under Article 14 ECHR's prohibition of discrimination, vulnerable groups are defined as those "historically subject to prejudice with lasting

[64] Martha Albertson Fineman, *The Vulnerable Subject: Anchoring Equality in the Human Condition, in Transcending the Boundaries of Law* (Routledge-Cavendish, 2010).
[65] Robert E. Goodin, *Protecting the Vulnerable: A Re-Analysis of Our Social Responsibilities* (University of Chicago Press, 1985).
[66] Corina Heri, *Responsive Human Rights: Vulnerability, Ill-Treatment and the ECtHR*, (Bloomsbury Academic, 2021).
[67] The author limits her detailed analysis of vulnerability to the study of the violation of Art. 3 (Prohibition of torture) and refers its definition to a specific type of group vulnerability.

consequences". This leads to social exclusion and legislative stereotyping, which prevents an individualized assessment of a person's capacities and needs[68].

In regard to other fields, in the social science literature, the premise is that some people are more vulnerable than the others. In this sense, vulnerability has been associated with childhood studies[69] or the disability studies[70]. It can also be referred to a situational vulnerability, where the term is employed to define or characterize specific negative experiences, violations, or groups of people facing social challenges[71]. Situational vulnerability is often invoked to underline personal or community experiences, that need considerations regarding the policy making approaches.

Environmental sciences discuss vulnerability in relation to harm and resilience. In the context of climate discourse, the notion of vulnerability is not as carefully examined as in other fields. Probably because in the human-environment interaction it is more a collective label of vulnerability that is of an interest here instead of the individual one. Communities can be found more often in a role of subject of vulnerability than individuals. When speaking of vulnerability in the climate context it is referred to vulnerability to climate/environmental change. It can be presented as a characteristic of social-environmental systems linked to resilience[72]. The central idea of vulnerability is the IPCC[73] definition. According to the IPCC's sixth report," vulnerability is a component of risk, but also an important focus independently. Vulnerability in this report is defined as the propensity or predisposition to be adversely affected. It encompasses a variety of concepts and elements, including sensitivity or susceptibility to harm and lack

[68]*Kiyutin v Russia* App no 2700/10,10 Judgment of 10 March 2011, ECHR Reports 2011, para 63;
Alajos Kiss v Hungary App no 38832/06, Judgment of 20 May 2010, para 42, with references;
Lourdes Peroni and Alexandra Timmer*, Vulnerable Groups: The Promise of an Emerging Concept in European Human Rights Convention Law*, (International Journal of Constitutional Law, 2013):1056–85.
[69]Adrian James and Allison James eds., *Changing Childhood in the UK: Reconstructing Discourses of "Risk" and "Protection in European Childhoods*, (London: Palgrave Macmillan UK, 2008):105–28;
.Graham Brotherton and Mark Cronin, eds., *Working with vulnerable children, young people and families. Abingdon*, (Routledge, 2013).
[70] Barnes, Colin, and Geoffrey Mercer, eds, *Exploring the divide: Illness and disability*, (Disability Press, 1996).
[71] Catriona Mackenzie, *Vulnerability: New Essays in Ethics and Feminist Philosophy,* (OUP USA, 2014).
[72]Adger W. Neil, *Vulnerability, Global Environmental Change*, (Volume 16, Issue 3, 2006), 268-281.
[73]IPPC United Nations.Report "*Climate Change 2023"*, Synthesis Report, The Intergovernmental Panel on Climate Change. Available at:: IPCC — Intergovernmental Panel on Climate Change.Last access: 1/12/2023.

of capacity to cope and adapt".[74] Together with *hazards* and *exposure* vulnerability represents key concept of understanding environmental risks. According to the earlier definitions used by IPCC, vulnerability (to climate change) is understood as an integrated measure of exposure and sensitivity, which together determine the potential impacts of climate change, and adaptive capacity. It is clear that the IPCC's definition of vulnerability is moving towards the *contextual vulnerability*.

On the other hand, the European Green Deal refers to the most vulnerable as "the most exposed to the harmful effects of climate change and environmental degradation", highlighting the need for a just energy transition to protect these communities[75]. It implies that climate changes will not affect everyone equally and sets the notion of vulnerability as criteria of determination of the level of that impact. Still, in the terms of definition or criteria of distinguishing what makes a community vulnerable, European Green Deal stays vague[76].

Regarding the theoretical perspectives on vulnerability to climate change, the most comprehensive definition is the one given by Clark, W.C. and Parson, E.[77] which defines vulnerability "as the risk of adverse outcomes to receptors or exposure units (human groups, ecosystems, and communities) in the face of relevant changes in climate, other environmental variables, and social conditions". according to them, vulnerability is a multidimensional concept encompassing (1) exposure - the degree to which a human group or ecosystem comes into contact with particular stresses, (2) sensitivity - the degree to which an exposure unit is affected by exposure to any set of stresses and (3) resilience

[74]H.-O. Pörtner, D.C. Roberts, M. Tignor, E.S. Poloczanska, K. Mintenbeck, A. Alegría, M. Craig, S. Langsdorf, S. Löschke, V. Möller, A. Okem, B. Rama, eds, *Climate Change 2022: Impacts, Adaptation and Vulnerability. Contribution of Working Group II to the Sixth*, (Cambridge University Press., 2022): 3056. . Available at: IPCC_AR6_WGII_FullReport.pdf.. Last access: 1/12/2023.

[75] European Commission , "Communication from the Commission to the European Parliament, the European Council, the Council, the European Economic and Social Committee and the Committee of the Regions – The European Green Deal" (COM(2019) 640 final), Brussels, 11/12/2019. Full text of the document available at: https://eur-lex.europa.eu/resource.html?uri=cellar:b828d165-1c22-11ea-8c1f-01aa75ed71a1.0002.02/DOC_1&format=PDF. Last access: 1/12/2023.

[76]Ibid.

[77]William Clark, Jill Jager, Robert Corell, Roger Kasperson, James Mccarthy, David Cash, Stewart J. Cohen et al., *Assessing vulnerability to global environmental risks*, (Environment and Natural Resources Program Discussion Paper, 2000).

- the ability of the exposure unit to resist or recover from the damage associated with the convergence of multiple stresses.

The notion of social vulnerability to climate change is only one prospective of vulnerability to climate change in general. There can be identified five theoretical perspectives: biophysical, human ecological, political economy, constructivist and political ecology[78]. In any case, in the field of environmental and climate sciences there is no substantial gap between the theoretical thought and international documents treating this matter.

We owe to a huge contribution on building the concept of vulnerability to the bioethics and biolegal literature. In the terms of national documents treating ethics, vulnerability appears for the first time with the US Belmont Report of 1978[79]. It is the first human research ethics guideline to identify vulnerable groups, specified that those identified as vulnerable need extra protections during research participation. In regard to the international documents, it is important to mention the third and most complete version of the International Ethical Guidelines for Biomedical Research Involving Human Subjects of the Council for International Organizations of Medical Sciences from 2022[80] and the Declaration of Helsinki from 2013[81], which makes specific reference to

[78]Paul McLaughlin, Thomas Dietz, *Structure, agency and environment: Toward an integrated perspective on vulnerability*, (Global Environmental Change, Volume 18, Issue 1, 2008): 99-111.

[79]US Department of Health and Human Services, *The Belmont Report (Ethical Principles and Guidelines for the Protection of Human Subjects of Research*). It was written by the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research in 1978 (USA). The Commission, created as a result of the National Research Act of 1974, was charged with identifying the basic ethical principles that should underlie the conduct of biomedical and behavioral research involving human subjects and developing guidelines to assure that such research is conducted in accordance with those principles. Full text of the report: Read the Belmont Report | HHS.gov (last access: 29/11/2023).

[80]Council for International Organizations of Medical Sciences (CIOMS) "International Ethical Guidelines for Biomedical Research Involving Human Subjects", In collaboration with the World Health Organization (WHO), (CIOMS Geneva 2002). This 2002 text is the third in the series of biomedical-research ethical guidelines issued by CIOMS since 1982. Its core consists of 21 guidelines with commentaries. The Guidelines relate mainly to ethical justification and scientific validity of research; ethical review; informed consent; vulnerability of individuals, groups, communities and populations; women as research subjects; equity regarding burdens and benefits; choice of control in clinical trials; confidentiality; compensation for injury; strengthening of national or local capacity for ethical review; and obligations of sponsors to provide health-care services. Full text available at: Microsoft Word - Document1 (cioms.ch). Last access: 30/11/2023.

[81]The World Medical Association, inc. "Declaration of Helsinki, Ethical Principles for Medical Research Involving Human Subjects, The World Medical Association", The first version was adopted in 1964 and has been amended seven times since, most recently at the General Assembly in October 2013. The current (2013) version is the only official one; all previous versions* have been replaced and should not be used or cited except for historical purposes. Full text available at: WMA Declaration of Helsinki – Ethical Principles for Medical Research Involving Human Subjects – WMA – The World Medical Association. Last access: 30/11/2023.

vulnerable groups and individuals in Articles 19 and 20. This revised version of declaration calls for special protection for groups and individuals who are "vulnerable and may have an increased likelihood of being wronged or of incurring additional harm"[82]. It then delineates three conditions for research with vulnerable groups: (1) the research must be responsive to their health needs; (2) it must be impossible to carry out with nonvulnerable groups; and (3) the group should stand to benefit from the knowledge, practices, or interventions that result from the research[83]. The UNESCO International Bioethics Committee (IBC) has focused on the notion of vulnerability in its Report on the Principle of Respect for Human Vulnerability and Personal Integrity[84], speaking of the special vulnerability, stating that human condition implies vulnerability a priori. Special vulnerability addresses individuals, groups and situations to which a greater attention must be paid. Then, it defines two determinants of a special vulnerability: (1) special (temporary or permanent) disabilities, disease and limitations imposed by the stages of human life and (2) social, political and environmental determinants as culture, economy, relations of power, natural disasters (Article 14, Report of IBC on the Principle of Respect for Human Vulnerability and Personal Integrity, IBC, 2011).

On the theoretical level of bioethics this concept has been thoroughly elaborated. Probably the most interesting view on vulnerability has been offered by Florencia Luna. As opposed to the traditional view of vulnerability as a label which conceptualizes it as a list of identifiable subpopulations, Luna proposes a contextual layered approach as a sufficiently rich understanding of vulnerability.[85] She offers a very dynamic concept of vulnerability prone to deconstructing with the application of layered strategy, adaptable to any

[82]Art.19: "Some groups and individuals are particularly vulnerable and may have an increased likelihood of being wronged or of incurring additional harm. All vulnerable groups and individuals should receive specifically considered protection."

[83]Art. 20: "Medical research with a vulnerable group is only justified if the research is responsive to the health needs or priorities of this group and the research cannot be carried out in a non-vulnerable group. In addition, this group should stand to benefit from the knowledge, practices or interventions that result from the research."

[84]United Nation Educational, Scientific and Cultural Organization, International Bioethics Committee (IBC), "Report of IBC on the Principle of Respect for Human Vulnerability and Personal Integrity", document code: SHS/EST/CIB-17/10/CONF.501/2 REV2, Paris, 22 June 2011. Available at: Report of IBC on the Principle of Respect for Human Vulnerability and Personal Integrity - UNESCO Digital Library. Last access: 30/11/2023.

[85]Luna Florencia*, Elucidating the Concept of Vulnerability: Layers Not Labels*, (International Journal of Feminist Approaches to Bioethics 2, no. 1, 2009): 121–39.

changes with time[86]. On a practical level, Luna identifies steps of layering: (1) identification of layers and (2) evaluations and obligations (ranking layers)[87]. The bioethics literature has widely embraced the ”layers thesis”. Labelling individuals or a group as vulnerable is putting an etiquette in virtue of the characteristics it possess and not taking into account the contexts and could be harmful *per se*[88].

For the purpose of this study the collective vulnerability will be taken into consideration. This vulnerability, understood in the universal manner, relies on legal definitions examined above, particularly ones offered by Martha Fineman and the practice of ECtHR. But it will not limit only to them. As vulnerability can be by nature and by law and the latter one reminds of the situational vulnerability, mentioned in sociological theories. The communities that will be examined in the next chapter will mostly be in the situational vulnerability. Also, the environmental theory with its concept of resilience will have its references, in a redacted way. In the end, the concept of vulnerability used in this study will not be one-dimensional but multidimensional (layered). There is not only one aspect constituting the vulnerability of a heritage community but a sum of them.

2.2 Social and economic inequality, vulnerability, and poverty

The term “inequality” inevitably suggests the idea of equality. Equal refers to the same quantity or the same size. Inequal is something that does not have the same features, they are inequal in quantity or size. Conversely, the concept of equality carries significant social implications, representing a benchmark that society is presumably capable of achieving. Respectively, inequal individuals are those who did not achieve that benchmark. But inequal in what? Inequality can allude to income, gender, distribution, in social relationships, or even opportunity and outcome. Overall, inequality can be defined as an unequal

[86]Luna Florencia, and Sheryl Vanderpoel, *Not the usual suspects: addressing layers of vulnerability*, (Bioethics 27, no. 6 , 2013): 325-332.
[87] Luna Florencia, *Identifying and evaluating layers of vulnerability–a way forward*, (Developing world bioethics 19, no. 2, 2019): 86-95.
[88]Adrian Kwek*, The indispensability of labelled groups to vulnerability in bioethic*s, (Bioethics, 2017): 674–682.

distribution of social and economic resources, opportunities, and outcomes among individuals or groups within a society. It encompasses disparities in income, wealth, education, access to healthcare, and other socio-economic factors. Essentially, inequality underscores the disparities in societal structures and systems, which are unjustified and unjust. Thomas Piketty [89] makes distinction between vertical dimension of inequality, referring to it as a mere difference between rich and poor, and horizontal inequality, defined as an inequal distribution between various groups. These groups can differ in types, and they can be racial, national, ethnic, religious etc. Piketty does not mention gender inequality though, but it represents a very important issue, as an inequal distribution between men and women are notable.

Vulnerability often serves as a starting point for examining various forms of inequalities, providing a framework to explore a range of interests and issues. Key among these are feelings of insecurity, relative economic or social disadvantage, restricted coping abilities, and unmet needs. The concept of vulnerability has emerged as a significant focal point in the environment of the contemporary society and social policy, where concerns regarding social injustices, structural and personal crises, and heightened stress on certain individuals are becoming more prevalent.

The notion of vulnerability manifests differently in individuals, often resulting in significant differences in position and circumstance[90]. To make reference to Rousseau's division of inequality to natural and moral/political, it can be said that individuals can be vulnerable by nature and by law, whereas vulnerability by nature depends on inherent individual situation, while vulnerability by law indicates a legal gap and requires a legal protection or restoration.

Although being conceptual cousins, between inequality and vulnerability, it can be argued that the latter one is a wider concept. Inequality implies discrimination and the protection of some groups and individuals. On the other

[89]Thomas Piketty, *Capital in the Twenty-First Century,* (Harvard University Press, 2014).
[90]Martha Albertson Fineman, *Vulnerability and Inevitable Inequality*, (Oslo Law Review 4, no. 3, December 15, 2017): 133–49.

hand, vulnerability covers also those falling outside of those groups[91]. The focus on equality and discrimination potentially divides ones who could be allies in the struggle for a more just society[92].

The notion of vulnerability can be understood as a presence of conditions or, better said, weaknesses that can bring an individual or a community into a state of defenselessness in case of some external event. Individuals or a community simply would not be able to cope with the effects of such an event for the reason of not having tools to do so. This lack of tools can be defined as a state of poverty. Vulnerability has often been related to poverty, although it can be said that vulnerability is a dynamic concept, related to change or a possible change, while poverty is static[93]. Some literature speaks about "vulnerability to poverty", which represents a risk of being poor[94]. For the purpose of this study vulnerability will be understood as a result of poverty, as a feature typical for poor individuals or communities which brings them into the above-mentioned state in which they cannot cope with some external shocks. In other words, poor individuals and communities underline vulnerability as a condition that exposes them to a risk of defenselessness and deprivation. In a certain sense, poverty can also be connected (or even identified) with inequality, as understood previously.

In this sense, a great contribution has been given by Thomas Piketty and Anthony Atkinson in locating inequality within the economic theory by managing to build a bridge between macro-economics and personal income distribution. Piketty[95] concentrates on reducing inequality by preventing extreme inequality[96] at the top of the income scale. As the central problem he puts "the persistence of poverty" as the reason for which countries haven't

[91] Martha Albertson Fineman, *Equality, Autonomy, and the Vulnerable Subject in Law and Politics, in Vulnerability*, (Routledge, 2013).
[92] Martha Albertson Fineman, *Vulnerability: Reflections on a New Ethical Foundation for Law and Politics,* (Ashgate Publishing, Ltd., 2013).
[93] Caroline O. N. Moser, *The Asset Vulnerability Framework: Reassessing Urban Poverty Reduction Strategies*, (World Development 26, no. 1, January 1, 1998): 1–19.
[94] Mauricio Gallardo, *Identifying Vulnerability to Poverty: A Critical Survey*, (Journal of Economic Surveys 32, no. 4, 2018): 1074–1105.
[95] Thomas Piketty, *Capital in the twenty-first century*, (Harvard University Press, 2014).
[96] Extreme inequality stands as opposed to a "relative" inequality of which a certain degree is necessary in order to rewardstalent, skills, willingness to innovate and take business risks. The extreme inequality undermines development and progress.

managed to abolish inequalities. Like this, he concentrates on the inequality of resources, rather than inequality of opportunity[97]. On the other hand, Atkinson[98] does not agree on this division between inequality of resources and inequality of opportunity. He believes that, by treating the inequality of resources, or outcome, the inequality of opportunity is tackled too. Differently from Piketty, he disagrees that technological progress and globalization could be the reason for the increasing inequality. On one thing they agree though: there is a growth of inequality that started since the 80s which is very worrying, and something should be done about it[99]. On the other hand, Joseph E. Stiglitz[100] says that the inequality is a limiting factor to growth, and therefore it should be seen both as a cause of the economic crisis and its result, but also as an outcome of institutional weaknesses. Understood like that, inequality is not just a moral issue, but also an economic one since we were paying a high price for our inequality. But what are the causes of inequality? Many authors answered this question, but the interesting solution has been given by Mario Pianta and Maurizio Franzini[101]. They propose four drivers of inequalities:

1. The increased weight of capital over labor has taken place in advanced industrial countries since the late 80s. This influences inability of the workers to appropriate gains of their productivity.
2. Development of the oligarchic capitalism which consists of the restriction of the access to the positions to a fortunate few. The most important barriers to access are social barriers.

[97]Inequality of opportunity can be understood as a lack of equal chances for everyone to reach a goal. In that sense, there could be words about non-competitive equality/inequality of opportunity, understood as an equal chance for everyone to achieve some independent projects. On the other hand, there is competitive equality/inequality of opportunity, which refers to the equal chances in a race, with inequal prizes.

[98]Anthony B. Atkinson, *Inequality: What Can Be Done?* (Harvard University Press, 2015).

[99] Based on their (separate) quantitative analysis, in which Gini coefficient is used to measure inequality (particularly by Atkinson) they both proposed a set of proposals for reducing inequalities. Piketty offered a set of twelve proposals in order to shift income and move towards less inequalities. Atkinson, on the other hand, gave fifthteen proposals for countering the growing inequalities. These proposals include a minimum inheritance for all, a global tax on wealth, and a governmental role in influencing the direction of technological progress away from the kind that exacerbates inequality.

[100]Joseph E. Stiglitz, *The price of inequality: How today's divided society endangers our future*, (WW Norton & Company, 2012).

[101]Mario Pianta and Maurizio Franzini, *Disuguaglianze: Quante sono, come combatterle* (Gius.Laterza & Figli Spa, 2016).

3. Individualization process as a fragmentation among the members of the same group (of workers).
4. Politics. Inequalities have also been developed thanks to some certain politics conducted, particularly in the sphere of privatization.

So, how could poverty be defined? In the terms of inequality, poverty is a result of extreme inequality. Also,in purely economical and simple sense, it can be said that poverty is a low-income level of an individual. Poverty is a failure to meet minimum standards in a given society[102]. It is based on a welfare approach, which refers to the microeconomic concept, very much advocated by the World Bank and IMF[103].

This view of poverty is limited to quantify the notion, but it misses many sociological aspects that also qualify it – a non-welfare approach. It is a multidimensional approach, which takes into account many socio-political (and non) conditions as, for example, education, age, gender, etc. Having that said, many different reasons can be a cause of poverty, starting from natural causes and hazards to social inequalities, illiteracy and so on.

This study will rely on the mixed idea of poverty and inequality, and vulnerability as the broadest term and/or its consequence and consider both low-income index and social-political aspects while analyzing community case studies in the next chapter. This approach has been chosen because of the nature of the analysis; strictly orienting to one of these aspects would not give a complete picture and understanding of the context of a study case in question.

2.3 Marginalization of vulnerable communities and the EU context

To summarize the above-said, vulnerability may arise from the challenges which the community is facing. What defines a community is, in the first place, the geographical area in which its members live. Besides that, a community can also

[102] Peter Townsend, "The Meaning of Poverty," *The British Journal of Sociology* 13, no. 3 (1962): 210–27, https://doi.org/10.2307/587266.
[103]Dorothee Boccanfuso and Samuel Kabore, *Macroeconomic growth, sectoral quality of growth and poverty in developing countries: measure and application to Burkina Faso*, (Cahiers de rechercheFebruary 1, 2004).

be defined with respect to demographic context as age, ethnic minority, or poor education[104] or environmental, as marginalized political status.

The question that naturally arises is what makes a community vulnerable? What defines a community could in fact be the starting point of community's vulnerability; concept of vulnerability is linked to the context to which it refers to. In other words, vulnerability of a community is a result of its particular spatial, socio-democratic, cultural and institutional contexts[105]. However, there is no defined set of factors that determine one community vulnerable. Some classical vulnerability indicators could be poor economy and high unemployment rates, low education and illiteracy, social, cultural, and linguistic barriers, some social groups that are typically considered to be more vulnerable than others (such as women, children, the elderly or people with disabilities and migrants), access to housing, air and water quality and energy poverty. Besides that, vulnerabilities can be different depending on context: in urban areas it could be a lack of access to basic needs, while in the rural areas it is more often related to, for example, aging population[106].

In this sense, vulnerability represents a state or a status of a community due to the above-mentioned factors. The concept of marginalization goes beyond that, it can be understood as a social process, a cause of vulnerability. In the case of marginalization, communities are excluded from society, for example because of discrimination or poverty, or upon some persisting historical or cultural reasons. Marginalization is an active side of vulnerability as a status. Marginalized communities have less access to services and opportunities for social participation [107] . But who "marginalizes" these communities? Marginalization could be an economic and political choice made by the local,

[104]Michael K. Lindell and David J. Whitney, *Correlates of Household Seismic Hazard Adjustment Adoption*, (Risk Analysis 20, no. 1, 2000): 13–26.
[105]Kuhlicke, Christian, Anna Scolobig, Sue Tapsell, Annett Steinführer, and Bruna De Marchi, *Contextualizing social vulnerability: findings from case studies across Europe, (*Natural hazards 58, 2011): 789-810.
[106]Jay Bhatt and Priya Bathija, *Ensuring Access to Quality Health Care in Vulnerable Communities*, (Academic Medicine 93, no. 9, September 2018): 1271.
[107]Heerde, Jessica A., Gabriel J. Merrin, Vi T. Le, John W. Toumbourou, and Jennifer A. Bailey, *Health of young adults experiencing social marginalization and vulnerability: A cross-national longitudinal study*, (International journal of environmental research and public health 20, no. 3, 2023): 1711.

national or global system. The result is, however, the exclusion due to inaccessibility and non-participation.

In line with these indicators, the European Union treats marginalization and vulnerability differently, depending on the field. As a directly marginalized and vulnerable group, the European Union recognizes migrants and asylum seekers to whom protection it dedicates much attention. Here, the European Court of Human Rights is actively giving answers whether domestic authorities give sufficient weight to applicants' vulnerability. Other examples would be women and children's rights. The European Union treats poverty, social exclusion and energy poverty on many occasions. The basis for addressing different types of vulnerability can be found in Article 3(3) of the Treaty on European Union (TEU)[108], Articles 19, 145-161 of the Treaty on the Functioning of the European Union (TFEU) [109] and Title III of the Charter of Fundamental Rights of the European Union (EUCFR)[110].

As for the recent actions, The Europe 2020 strategy [111] in 2010 unveiled a common target in combatting poverty and social exclusion aiming to decrease the population of Europeans residing below the national poverty threshold by 25% and elevating over 20 million individuals out of poverty by 2020. However, this target was not met. In March 2021, the Commission introduced a new primary goal within the European Pillar of Social Rights action plan[112], aiming to decrease the number of individuals living in poverty by a minimum of 15 million (including at least 5 million children) by 2030.

All the European Union's actions are addressed towards the contribution to the of the 2030 Agenda an implementation of the Sustainable Development Goals

[108]European Union, "Consolidated Version of the Treaty on European Union" Official Journal of the European Union, (C 326/13), 2007.
[109]European Union, "Consolidated Version of the Treaty on the Functioning of the European Union" Official Journal of the European Union, (C 326/47), 2008.
[110]European Union, "Charter of Fundamental Rights of the European Union." Official Journal of the European Union, (C83, vol. 53), 2010
[111]European Commission "Communication from the Commission, Europe 2020 A strategy for smart, sustainable and inclusive growth", (COM(2010) 2020 final), Brussels, 3.3.2010. The full text of the Communication available here: https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:2020:FIN:en:PDF.
[112] Available at: https://op.europa.eu/webpub/empl/european-pillar-of-social-rights/en/. Last access: 18/04/2024.

(hereinafter SDGs). All the 17 SDGs tackle some form of vulnerabilities[113]. Over the past 6 years, the European Union worked actively and obtained results on ensuring decent work and economic growth, reducing poverty, and improving gender equality, which fall under SDG 8, SDG 1 and SDG 5. It shows significant progresses also in the actions towards reducing inequalities and ensuring education (SDG 10 and SDG 4)[114].

One of the main instruments of the European Union's policy against vulnerability in general are EU fundings programs. For example, European Social Funds Plus (ESF+) as one of the European Structural and Investment Funds, are dedicated to improving social cohesion and economic well-being across the Union. The EU funding research and innovation programs, such as Horizon Europe, are highly committed to addressing marginalization and vulnerability related issues. It tackles climate change, helps to achieve the UN's Sustainable Development Goals and boosts the EU's competitiveness and growth. The Open Heritage project, which is a subject of this research, is also funded by the Horizon Europe funding research and innovation program.

2.4 The "vulnerability" of cultural heritage?

The vulnerability of individuals, groups and community has been elaborated, but what about cultural heritage vulnerability? This question comes naturally, bearing in mind that the study should give answers to the resilience of vulnerable communities in the heritage context, but also the re-use of the cultural heritage. Can a cultural heritage be vulnerable?

Vulnerability of cultural heritage is not a new notion; literature often examines vulnerability of heritage sites in the relation to climate changes and in practice institutions put much effort into protection of heritage that faces risks due to

[113]Available at: https://international-partnerships.ec.europa.eu/policies/sustainable-development-goals_en

[114] Available at : https://ec.europa.eu/eurostat/web/products-eurostat-news/w/WDN-20230524-1#:~:text=EU%20made%20significant%20progress%20toward,gender%20equality%20(SDG%205).

climate changes [115] . Natural hazards are not the only cause of heritage vulnerability, human induced damages such as terrorism and armed conflicts can also be a source of heritage destruction. In this sense, a risk for cultural heritage can be a sudden event or it can be a process of degradation. The end result is the same however – a loss of heritage values. These regard all the factual, material and technical fragility of the sites.

Can cultural heritage become vulnerable due to administrative negligence? Traditionally, the preservation, protection, and management of cultural heritage fall under the responsibility of the state and public administration. However, there are instances where the state or local authorities fail to fulfill their protective role, leading to the gradual deterioration or loss of heritage assets over time. This failure is not always the result of deliberate negligence or disregard for cultural heritage. Instead, several structural and systemic barriers may hinder effective intervention. One key challenge is private ownership. Many heritage assets are owned by individuals, private entities, or corporations, who ultimately control decisions regarding their use, maintenance, and conservation. In the absence of strong legal frameworks or regulatory oversight, public authorities may have limited capacity to intervene, even when private owners neglect or misuse heritage sites. Another major factor contributing to heritage vulnerability is the lack of financial resources allocated for its protection. Governments, particularly at the municipal and regional levels, often face budgetary constraints that limit their ability to fund restoration projects, maintenance efforts, and adaptive reuse initiatives. In such cases, heritage sites may be left to deteriorate due to the absence of public investment or private incentives to ensure their preservation. Beyond financial and ownership-related barriers, bureaucratic inefficiencies and fragmented governance structures can also exacerbate heritage vulnerability. The presence of overlapping responsibilities between multiple administrative bodies, unclear jurisdictional boundaries, and slow or ineffective decision-making processes can delay or prevent timely interventions. As a result, heritage sites may suffer from neglect,

[115]The Council of Europe, "Vulnerability of Cultural Heritage to Climate Change, Report", EUR-OPA Major Hazards Agreement, Strasbourg, 20 November 2008, Council of Europe (AP/CAT ,2008), Strasbourg, 20 November 2008. Full text of the Report available here: https://www.coe.int/t/dg4/majorhazards/activites/2009/Ravello15-16may09/Ravello_APCAT2008_44_Sabbioni-Jan09_EN.pdf

encroachment, or irreversible damage, further limiting public access to these cultural assets.

The consequences of administrative inaction or systemic barriers are profound: heritage degradation not only leads to the physical loss of historical and cultural assets but also restricts public access and diminishes the socio-cultural and economic value that these sites could otherwise generate for communities. Addressing this challenge requires a more integrated and proactive approach to heritage governance, including the development of stronger legal frameworks, increased public-private collaboration, and community-driven conservation initiatives to ensure that cultural heritage remains a living, accessible, and sustainable resource for future generations.

Eventually, if cultural heritage is observed through the lenses of the theory of *commons* (which will be elaborated later on), it is vulnerable to enclosure, overuse, and social dilemmas[116]. This view is concentrated on the conflict of individual interests which explains why people often tend to overexploit collective resources. In this sense, there can be words on the *tragedy of cultural heritage commons*, as a subcategory of urban commons according to which too much usage can result in a congestion or degradation[117]. More on this topic in the next part.

In any case, the protection of cultural heritage is pivotal not only due to the historical importance it has. This study will later show that heritage has a huge value for the community, and not only from the cultural aspect. Most of all because it plays an important role in reducing vulnerabilities of the heritage community, as it represents a tool of empowerment. Because of that it deserves to gain its own adjective of vulnerability.

2.5 Social justice, community empowerment and resilience

[116]Charlotte Hess, *Mapping the New Commons*, SSRN Scholarly Paper (Rochester, NY, July 1, 2008).
[117]Garrett Hardin, The Tragedy of the Commons, in Classic Papers in Natural Resource Economics Revisited (Routledge, 2016);
Sheila R. Foster and Christian Iaione. *The city as a commons*,(Yale L. & Pol'y Rev. 34, 2015): 281.

As already mentioned before, inequality and equality stand on opposite sides of each other. Equality is the highest value societies are striving to reach. Equal liberty and equal opportunities are something a rational person would choose over inequality. It is the basis of the idea of human rights. Equality operates as a normative and historical principle, stated in its most abstract form: all human beings must be treated as equal.

Equality also represents the basis of a just society. In that sense, social justice can be defined as an equal distribution of benefits and burdens (disadvantages) throughout society. The modern term of social justice emerged later than equality, with the industrialization in the 1840s in France and Britain, as an opposition to the unequal relations between employers and employees. Today, it represents the treatment of inequalities in every sense and a basic structure of society. John Rawls[118] theorized an alternative to utilitarianism that showed inequality and poverty to be irreconcilable with the greater good and identified the minimal structure of a morally just hypothetical society. To hypothesize a just polity, Rawls sought to determine the rules that future members of that polity would select if they were unaware of their own societal position. This approach aims to identify the societal structures individuals would design from behind a "veil of ignorance".

What is the key to the realization of social justice? Maybe Rawlsian example of the "veil of ignorance" would trigger a utopian society? Some literatures claim that the key to social justice might be institutions and their laws, on the first-place anti-discrimination ones[119]. This paragraph claims that it might not be enough, and the empowerment of vulnerable communities can be an element of importance when it comes to striving for a just society. Empowerment represents a shift of power to the vulnerable communities in order to increase control over what determines their life. It requires a proactive approach and behavior of a community to social policy and social change[120]. The tools for achieving community empowerment can be different, for example, collective

[118]John Rawls, *A theory of justice*, (Cambridge (Mass.), 1971),
John Rawls, *A Theory of Justice,* revd edn (Belknap Press, 1999).
[119]Brian Barry, *Why Social Justice Matters* (Polity, 2005).
[120] Julian Rappaport, *Terms of Empowerment/Exemplars of Prevention: Toward a Theory for Community Psychology*, (American Journal of Community Psychology 15, no. 2, April 1, 1987): 121–48.

decision making and shared leadership, collective actions to reach government and community resources. In other words, empowerment of a community implies participation in it, with the common goal to reach certain objectives.

The foundation of empowerment is the principle of subsidiarity which is expressed in the idea that the power should be shared with "the lowest practicable tier of social organization, public or private"[121]. It can also be found in Italian constitution as the principle of "horizontal subsidiarity" which was introduced with the reform from 2001[122] and it says that powers, where possible, are to be assigned on the basis of the local/nonlocal dimension of the collective interest and of the capability of the actors to fulfill such interest. It also promotes "the autonomous initiatives of citizens, both as individuals and as members of associations, relating to activities of general interest, on the basis of the principle of subsidiarity." This principle is the baseline for innovative, bottom-up initiatives[123].

Empowerment is not only a process, but it also includes an outcome: resilience. Resilience can be understood as a capacity of a community to transform and grow. A very complex definition of resilience has been given by Magis[124] saying that "… *the existence, development, and engagement of community resources by community members in order to thrive in an environment characterized by change, uncertainty, unpredictability, and surprise. Members of resilient communities intentionally develop personal and collective capacity that they engage to respond to and influence change, to sustain and renew the community, and to develop new trajectories for the communities' future*". This definition indicates that it is the community itself that has to develop these capacities. This must be done firstly on an individual basis and then on a collective and community level. In the end, a community must find its own way to sustainability through resilience and empowerment, and this study offers a possible model through the concept of heritage. On the other hand, in the city

[121]Roderick M. Jr. Hills, *Is Federalism Good for Localism - The Localist Case for Federal Regimes Democracy in Action: The Law & Politics of Local Governance*, (Journal of Law & Politics 21, no. Issues 2 & 3, 2005): 187–222.
[122]Italian Constitution at Article 118, paragraph 4. Art. 118, para. 4 Costituzione [Cost.] (It.).
[123]Sheila R. Foster and Christian Iaione. *The city as a commons*,(Yale L. & Pol'y Rev. 34, 2015).
[124] Kristen Magis, *Community Resilience: An Indicator of Social Sustainability*, (*Society & Natural Resources* 23, no. 5, April 5, 2010): 401–16.

arena the communities, as an integral part of socio-urban system, represent the most dynamic part. That is why it is justified that the general urban resilience starts from the community resilience.

2.6 Tools for further analysis

The multifaceted concept of vulnerability permeates various disciplines, as already mentioned above. But still, the literature does not define vulnerability in relation to cultural heritage or heritage communities in a general way[125]. So, what are the dimensions of vulnerability in this context? It is important to identify the framework for vulnerability assessment applicable to the cultural heritage, given that the interpretation of its fundamental terminology varies among researchers in different disciplinary traditions. Vulnerability can be expressed in a quantitative and qualitative manner. Quantitative vulnerability has always been related to the risk indicators in the dimension of climate change and natural hazards[126]. For the purpose of this study, the analysis will rely on the qualitative approach to the indicators. The descriptive way seems the most appropriate for this occasion, which does not exclude a potential future study on quantification of these indicators in relation to the cultural heritage and heritage communities.

It can be concluded that, when speaking of cultural heritage, there are two sides of vulnerability: one is a social vulnerability of the community itself, and the vulnerability of cultural heritage, in the widest sense of the term heritage[127]. The multidimensional social vulnerability arises partly from social inequalities which are, as mentioned above, the social elements that impact or shape the

[125] When speaking of cultural heritage and communities in the context of vulnerability, literature always refers to the field of natural disasters and hazards. While these disciplines do offer some useful perspectives for this study, the starting point is very different. First of all, natural disasters and hazards external events, caused by nature. Secondly, those events are sudden, and effects are usually immediate. The focus of this study is another kind of vulnerability, the one caused only by long-term inequality and marginalization as a social exclusion.

[126] The Social Vulnerability Index (SoVI), developed by Cutter et al. in 2003, stands as a significant method for measuring community susceptibility to hazards. This index operates on a hazards-of-place model, wherein it considers the amalgamation of biophysical and social vulnerabilities as the foundation of overall vulnerability. See: Cutter, Susan L., Bryan J. Boruff, and W. Lynn Shirley. *Social vulnerability to environmental hazards, Hazards vulnerability and environmental justice,(*Routledge, 2012)*:*143-160.

[127] The notion of cultural heritage will be examined in the next paragraph.

vulnerability of different groups to harm and dictate their capacity to resilience. These also include the inequalities of the place, such as the level of urbanization, growth rates, and economic vitality, that contribute to the total picture of community vulnerability. As a cause of vulnerability stands marginalization, which in the case of social vulnerability has already been discussed. Cultural heritage can also be marginalized, if marginalization is understood as "an exclusion" or a lack of consideration by the public administration or legislator.

The final goal is to increase resilience, and to do so it is necessary to find the right formula to reduce vulnerabilities. In the case of social vulnerability, the answer is the community empowerment, supported by the right social fabric[128]. This social fabric can be also understood as a community capacity - "the set of assets of strength that residents individually and collectively bring to the cause of improving local quality of life"[129]. Key factors among such community capacities are seen to include group ability, skills, knowledge, resources, leadership, participation, norms of trust and reciprocity, social networks, sense of community (including values and history), transparency, efficacy, critical reflection, and community "power"[130]. Empowerment and capacities create conditions for treating cultural heritage vulnerability in the direction of sustainable heritage reuse. In that way, community empowerment in combination with cultural heritage reuse strategy leads to resilience and economic growth.

[128]In the book "Cities and Creative Class" a sociologists Richard Florida proposes a creative capital theory as an answer to the urban growth. Creative people power regional economic growth and the critical factors necessary for this process are 3T: technology, talent and tolerance. Creative class's members engage in work whose function is to "create meaningful new forms." Creativity is seen as a class of highly qualified professionals including scientists and engineers, university professors, poets and novelists, artists, entertainers, actors, designers, and architects, but also involved in high-tech sectors, financial services, the legal and health-care professions, and business management. According to this author, this is the right social fabric for growth or resilience.

[129]Ronald Labonte, *Social Capital and Community Development: Practitioner Emptor*, (Australian and New Zealand Journal of Public Health 23, no. 4, August 1, 1999): 430–33.

[130]Goodman, Robert M., Marjorie A. Speers, Kenneth McLeroy, Stephen Fawcett, Michelle Kegler, Edith Parker, Steven Rathgeb Smith, Terrie D. Sterling, and Nina Wallerstein, *Identifying and defining the dimensions of community capacity to provide a basis for measurement, (*Health education & behavior 25, no. 3, 1998): 258-278.

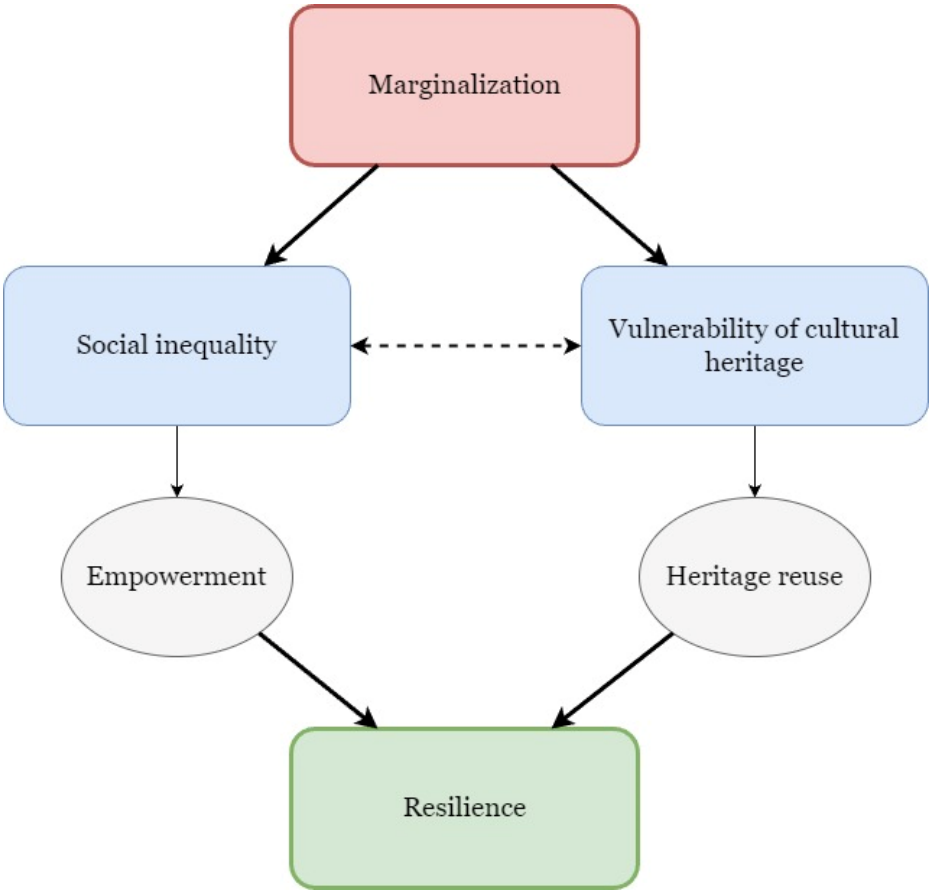

FIGURE 1: *THE SCHEME OF VULNERABILITY MODEL IN THE CONTEXT OF CULTURAL HERITAGE*

Describing the model of vulnerability in the context of cultural heritage requests naturally to define vulnerability in these communities by setting up the indicators that identify it. The factors that increase vulnerability can be grouped into three categories and are multidisciplinary: economic, social-demographic and political indicators.

1. Economic indicators. These indicators represent a purely economic approach to vulnerability. They indicate poverty/wealth, including asset ownership and the level of incomes.

2. Social-demographic indicators. They include demographic aspects as, for example, age, ethnic concentration, and level of education, but also unemployment rate, social cohesion, and social network access.

3. Political-institutional indicators. These indicate a marginalized political status, both community itself (social marginalization) or marginalization of cultural heritage. The central question here is the existence or awareness of public institutions of the need for public policy and laws targeting these aspects for improvement and resilience.

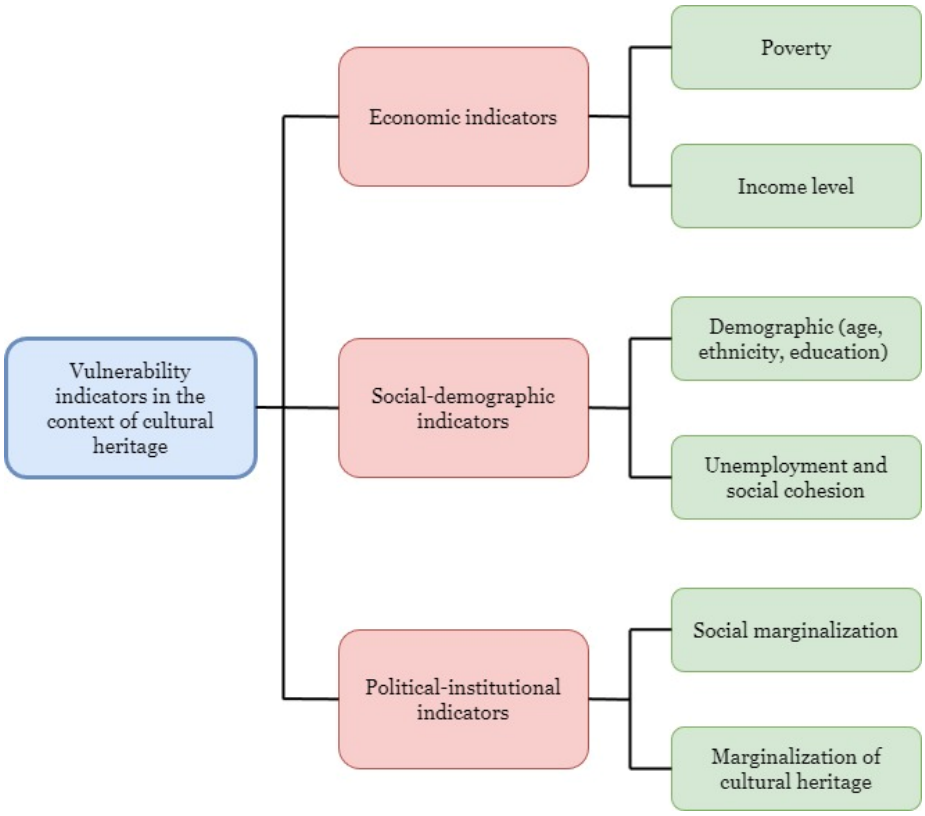

FIGURE 2: *THE CATEGORIZATION OF VULNERABILITY INDICATORS APPLICABLE IN THE CONTEXT OF CULTURAL HERITAGE*

Poverty indicates a condition in which an individual, household or a community lacks essential resources for a decent standard of living. This study will rely on a multidimensional approach to poverty, considering it as a relative poverty, meaning that a person cannot meet a minimum level of living standards, compared to others at the same time and space. It is a broader notion than an income level, as it represents a general wealth encompassing, for example, the housing situation.

Low-income level refers to the low amount of money or earnings that an individual or a household receives. Income is a complex notion to define, but roughly speaking it represents insufficient earnings to cover the cost of a decent living. It is a quantifying element of poverty.

Demographic indicators show population changes, immigration, structure and density, birth rate and mortality proportion, data about the sex and age distribution of the population, etc. They represent a preliminary overview to the vulnerability of a community and territory, as some groups like minorities, elderly population or women are vulnerable *a priori*.

Unemployment rate is measured based on people above a specified age (usually 15) not being in paid employment or self-employment but currently available for work during the reference period [131]. This definition offered by OECD (Organization for Economic Co-operation and Development) indicates unemployment as an unvoluntary state. It is connected to social cohesion as the unemployed are often somehow excluded from society on one side and create community bonds and create solidarity links with similar on the other side.

Social marginalization is defined, in the EU context, as "a situation whereby a person is prevented (or excluded) from contributing to and benefiting from economic and social progress" [132]. Word *social* is used on purpose, to differentiate this type of marginalization from the marginalization of the cultural heritage. For the purpose of this study, social marginalization will be mainly understood as a lack of public policy and laws protecting certain groups of people and communities.

Respective to social marginalization, marginalization of cultural heritage will be understood as lack of public policy and laws protecting cultural heritage.

These indicators cover all the aspects relevant to the community of cultural heritage, as they approach the concept of vulnerability from different perspectives. This pattern of six indicators will be followed during the further

[131] https://data.oecd.org/emp/employment-rate-by-age-group.htm. Last access:21/4/2024.
[132] https://home-affairs.ec.europa.eu/networks/european-migration-network-emn/emn-asylum-and-migration-glossary/glossary/social-exclusion_en. Last access:21/4/2024.

analysis of case studies in the next chapter, and data will be extracted from National population statistics whenever it is possible.

3. Participatory governance in the sector of cultural heritage

In the previous part there were words about the resilience of the community and territory as the ultimate goal towards the just society. The approach to resilience in this study is the empowerment of the citizens to shape this path together. But what tools would be the most appropriate to do so?

Empowerment supported by substantial freedoms lead to bottom-up initiatives and new forms of social movements and governance. These new forms of governance reimagine cities as spaces in which people govern together for the collective benefit. This alternative vision of economy stands on the opposite side of the idea that profit must be the prime motive of economic practice is captured in the idea of *homo economicus*[133] as a rational figure at the heart of classical economics. He is self-interested, focusing only on personal accumulation of commodities, work and leisure. This figure is personal outcome-oriented, valuing social interactions only as far as they influence his final consumption and wealth. Additionally, he possesses a rate of time preference that enables consistent allocation of consumption over time, reflecting both personal welfare and concern for the welfare of future generations. This self-interest is his primary motive in every transaction[134]. A sum of self-interests creates a conflict between individual interests, and between individual and collective interests. This is the bottom idea of the *tragedy of the commons* by Hardin[135], where he explains why people often tend to overexploit collective resources. In this scenario, individuals are primarily focused on the direct returns they gain from resource extraction rather than

[133]John Stuart Mill*, On the definition and method of political economy*, (The philosophy of economics: An anthology 2, 1994): 52-68.
[134]Joseph Persky, *The Ethology of Homo Economicus*, (Journal of Economic Perspectives 9, no. 2, June 1995): 221–31;
Dante A. Urbina and Alberto Ruiz-Villaverde, *A Critical Review of Homo Economicus from Five Approaches*, (The American Journal of Economics and Sociology 78, no. 1, 2019): 63–93.
[135]Hardin, Garrett, *The tragedy of the commons, In Environmental ethics*, (Routledge, 2013) pp. 185-196.

their marginal impact on the resource. This mindset leads to higher extraction rates, increasing the likelihood of resource depletion and ultimately resulting in economic overexploitation[136]. Hardin addresses a broad category of resources known in technical literature as "common-pool resources". These resources provide limited benefits, such as firewood, fish, and water, where excluding potential users is challenging and costly. The general implication of Hardin's analysis was that a centralized authority, such as a national government or an international agency, would need to intervene to regulate the commons and prevent the tragedy.

Many ideas emerged as the opposite of this self-maximizing and selfish individual. For example, there can be words about *homo sociologicus,* which "*conforms to social norms in the terms of the normativity of the norms, and grounds that normativity in the ways individuals see norms as meaningfully expressing their social identities, their relationships to other people, or shared intentions and values*"[137]. Hannah Arendt[138] elaborates the idea of *mulier activa,* a new economic agent as an opposite to the traditional masculine figure. She acts in the general interest and strives for the common good, rather than acting selfishly and for her own interests. Another attempt to substitute *homo economicus* is the idea of *homo curans,* which takes into account the dependency on the care of others, and it is common to all the individuals who are in connection with others. Those connections could be potential partnerships and collaborations, "in which more-than-human hybrid collectives are cultivated in and through practices of care"[139]. As such figure cannot be singular, there can be rather words about *homines curans*[140], caring people in plural, as the basis for a collective economic subject.

[136]G. A. Norton, *Resource Economics*,(Cabi Digital Library, Edward Arnold, January 1, 1984).
[137]Elizabeth Anderson, *Beyond Homo Economicus: New Developments in Theories of Social Norms,* (Philosophy & Public Affairs 29, no. 2,2000): 170–200.
[138]Hannah Arendt, *The Human Condition: Second Edition,* (University of Chicago Press, 2013).
[139]Jenny Cameron, Katherine Gibson, and Ann Hill, *Cultivating Hybrid Collectives: Research Methods for Enacting Community Food Economies in Australia and the Philippines*, (Local Environment 19, no. 1, January 2, 2014): 118–32.
[140]Joan Tronto, *There Is an Alternative: Homines Curans and the Limits of Neoliberalism*, (International Journal of Care and Caring 1, no. 1, March 1, 2017): 27–43.

As a critic to Hardin's analysis, a Nobel Prize winner Elinor Ostrom suggested, in her influential book "Governing the Commons"[141] that it is not applicable in general given that the local communities often had mechanisms for self-organizing and self-governing to prevent overexploitation of the commons. In the same work, she identified the design principles that characterize robust, long-lasting, institutional arrangements for the governance of common-pool resources[142]. This coincides with the idea of *homines curans*, which is based on care and collectiveness.

3.1 Cultural heritage as commons. Concepts and approaches to cultural heritage

Confusion around the concept of commons often stems from the terminology itself. The terms *commons* and *common-pool resource* (hereinafter CPR) are frequently conflated but warrant distinction. In economic analysis, "commons" refers to resources that are non-rivalrous and non-excludable, akin to public goods like national defense or large public parks. A central issue with public goods is managing social dilemmas, such as *free riding*, where individuals benefit from the resource without contributing to its maintenance. As

[141] Elinor Ostrom, *Governing the commons: The evolution of institutions for collective action*, (Cambridge university press, 1990).

[142] Ostrom summarized eight design principles that were present in the sustainable common pool resource institutions she studied:

1. Clearly defined boundaries - Individuals or households who have rights to withdraw resource units from the CPR must be clearly defined, as must the boundaries of the CPR itself.
2. Congruence between appropriation and provision rules and local conditions - Appropriation rules restricting time, place, technology, and/or quantity of resource units are related to local labor, material, and/or money.
3. Collective-choice arrangements - Most individuals affected by the operational rules can participate in modifying the operational rules.
4. Monitoring - Monitors, who actively audit CPR conditions and appropriator behavior, are accountable to the appropriators or are the appropriators.
5. Graduated sanctions - Appropriators who violate operational rules are likely to be assessed graduated sanctions (depending on the seriousness and context of the offense) by other appropriators, by officials accountable to these appropriators, or by both.
6. Conflict-resolution mechanisms - Appropriators and their officials have rapid access to low-cost local arenas to resolve conflicts among appropriators or between appropriators and officials.
7. Minimal recognition of rights to organize - The rights of appropriators to devise their own institutions are not challenged by external governmental authorities.
8. Nested enterprises (For CPRs that fire parts of larger systems) - Appropriation, provision, monitoring, enforcement, conflict resolution, and governance activities are organized in multiple layers of nested enterprises.

mentioned above, it is argued that without government regulation, public goods are either underprovided or overconsumed[143]. Hess[144], one of Ostrom's principal collaborators, differentiates between a commons, which are shared resources where each stakeholder has an equal interest, and CPRs, which are natural resources used by a well-defined community. Ostrom defines CPRs as resource systems that are costly but not impossible to exclude others from benefiting, and which are rivalrous—one person's use impacts another's. This scarcity drives the need for cooperative management to prevent overexploitation.

The discussion until here referred to commons as *natural commons*, better said what Ostrom considered commons, which would be for example grazing land, fisheries, forests, and irrigation water. Recent research on commons has expanded beyond traditional environmental resources to include man-made resources such as open-source software, intellectual property, and infrastructure like roads and the internet. In "The City as a Commons"[145] Sheila Foster and Christian Iaione explore the idea of the whole *city as a commons*, considering urban land itself as commons, but also include open spaces and infrastructure of the city, and its culture and the array of goods and services[146]. Hess's broad definition encompasses knowledge commons, cultural commons, digital commons etc.[147] According to the authors of "The City as a commons", the Ostrom's work is applicable to the urban environment, and it is possible to simply transpose it to the city[148]. The city functions as a commons due to its openness and potential for rivalry. This openness creates a paradoxical situation that often causes internal tension. On the one hand, the city's openness enables it to continually evolve, attracting people and resources that contribute to its growth and sustainability. On the other hand, the city's finite resources, exposed by this openness, are susceptible to congestion and depletion, making the city vulnerable to rivalry.

[143]Hardin, *The Tragedy of the Commons*.
[144]Charlotte Hess, *Mapping the new commons*, (Rochester, NY, SSRN Scholarly Paper ID 1356835, 2008).
[145]Foster and Iaione, *The City as a Commons*.
[146]David Harvey, *Rebel Cities: From the Right to the City to the Urban Revolution,* (Verso Books, 2012).
[147]Hess, *Mapping the New Commons*.
[148] Sheila R. Foster and Christian Iaione,*Co-cities: Innovative transitions toward just and self-sustaining communities, (*MIT Press, 2022).

Before finally fitting cultural heritage into a theoretical structure of the commons, it is necessary to firstly understand what is precisely considered by cultural heritage. Traditionally, heritage is understood as a physical object, a property, legacy, or a value which is handed from one generation to another. It is regarded as a property, site, object, or a structure "with identifiable boundaries that can be mapped, surveyed and recorded"[149]. This "tangible" concept of heritage has often been criticized for its inability to incorporate the more transitional character of the heritage[150]. It can distract from the contemporary and creative aspects of culture that could transform heritage. In that sense, the management of the heritage has been considered in limits of conservation or restoration of physical monuments. That kind of heritage management implies the top-bottom approach, where less attention is paid to the community during these processes. Community is considered a "passive audience" while official authorities play a pivotal role in the preservation of cultural heritage.

Nowadays, the understanding of cultural heritage has significantly changed. It is argued that lay discourses of heritage can emphasize a broader range of meaning[151]. For a start, the definition used by the European Commission for cultural heritage is sufficiently open and flexible to accommodate a variety of meanings, calling it "*a rich and diverse mosaic of cultural and creative expressions, our inheritance from previous generations of Europeans and our legacy for those to come*", which includes the implicit definition of heritage as something to be safeguarded for future generations[152]. The Faro Convention defines cultural heritage as an area of

"a group of resources inherited from the past which people identify, independently of ownership, as a reflection and expression of their constantly evolving values, beliefs, knowledge, and traditions. It includes all aspects of the

[149]Bella Dicks, *Laurajane Smith, The Uses of Heritage,* (Museum and Society 5, no. 1, 2007): 58–59.
[150]Radall Mason, *Fixing Historic Preservation: A Constructive Critique of Significance,*(Cambridge, Mass. 16, no. 1, 2004): 64–71.
[151] Carol Ludwig, *From Bricks and Mortar to Social Heritage: Planning Space for Diversities in the AHD*, (International Journal of Heritage Studies 22, no. 10, 2016): 811–27.
[152] European Commission, "Cultural Heritage, Culture and Creativity," European Commission on Supporting Cultural Heritage, 2017, Full text available here: https://culture.ec.europa.eu/node/235.

environment resulting from the interaction between people and places through time.[153]"

It is considered any "*expression of the way of life, developed by the community and handed down from generation to generation, including customs, practices, places, objects, artistic expressions, and values. Cultural heritage is often expressed as tangible or intangible*"[154].

These considerations show the transition of the concept of heritage from the object-oriented heritage approach to a more encompassing, reconceptualized and representational[155] approach to heritage. Heritage can be understood not only as tangible, intangible, and natural resource but also as a social and cultural process[156]. According to some literature, heritage can be anything that people attach value to[157]. This shift to a broad notion of cultural heritage is particularly visible in UNESCO's evolution of the definition. In its "Convention concerning the protection of the World Cultural and Natural Heritage"[158] from 1972 UNESCO defines cultural heritage as a list of categories (article 1) dividing it into monument, groups of buildings and sites. Such an initial definition of cultural heritage was motivated by the necessity to protect unique and clearly identifiable monuments or representations of the genius of humankind. As in this context, intangible cultural heritage forms such as dance, music, performing arts, and craft traditions are invaluable, in 2003 UNESCO decided to give a full recognition to an intangible component of the cultural heritage within its system. In the "Convention for the Safeguarding of the Intangible Cultural

[153]Council of Europe, "Council of Europe Framework Convention on the Value of Cultural Heritage for Society" (Council of Europe Treaty Series – No. 199), Faro, 27/10/2005., Art. 1 "Definitions".

[154] International Council on Monuments and Sites (ICOMOS), "International Cultural Tourism Charter -," International Tourism Committee, 2002, The full text of the Charter available here: https://www.icomos.org/en/newsletters-archives/179-articles-en-francais/ressources/charters-and-standards/162-international-cultural-tourism-charter.

[155]Karim van Knippenberg, Beitske Boonstra, and Luuk Boelens, *Communities, Heritage and Planning: Towards a Co-Evolutionary Heritage Approach*, (Planning Theory & Practice 23, no. 1, January 1, 2022): 26–42.

[156]Gregory Ashworth, *Preservation, Conservation and Heritage: Approaches to the Past in the Present through the Built Environment*, (Asian Anthropology 10, no. 1, January 1, 2011): 1–18.

[157]Graham, Brian, Greg Ashworth, and John Tunbridge, *A geography of heritage*, (Routledge, 2016).

[158]UNESCO, "The World Heritage Convention", formally the "Convention Concerning the Protection of the World Cultural and Natural Heritage", adopted on 16 November 1972 by The General Conference of the United Nations Educational, Scientific and Cultural Organization (UNESCO) meeting in Paris, at its seventeenth session. Text of the Convention available at: https://whc.unesco.org/en/conventiontext/. Last access: 20/05/2024.

Heritage" [159] UNESCO gave a broad "domains" in which intangible cultural heritage is manifested. Those are: oral traditions and expressions, including language as a vehicle of the intangible cultural heritage; performing arts; social practices, rituals and festive events; knowledge and practices concerning nature and the universe; and traditional craftsmanship.

After Elinor Ostrom won the Nobel Prize in 2009 the interest in the concept of cultural heritage commons rapidly increased among scholars. One of the most exhaustive definitions of cultural heritage commons has been given by Bertacchini, Bravo, Marrelli and Santagata [160]. According to them, cultural resources should be observed through three dimensions. Firstly, the characteristics of a cultural resource or, in other words, its tangible or intangible nature. Secondly, differences in cultural expression are attributed to spatial and environmental differences. The third dimension is the cultural heritage community, which should be further discussed in the upcoming paragraphs. Defined in this way, cultural heritage commons can cover a vast set of resources, such as landscapes, fashion and design, national gastronomy, World Heritage Sites, cultural heritage, and emergent "commons" such as social networks, virtual gaming, and crowdsourcing platforms[161].

Taking into consideration the above said, there is a deep interconnection between the tangible and intangible dimensions of the cultural heritage. It could be said that the key to defining heritage is the role of people giving it a value[162]. In basis of everything said, it is clear that the historic environment is an integral part of the heritage of a place, a city and in this case, it can be spoken of *historic urban landscape* legally protected at the international level[163].

[159]UNESCO, "Convention for the Safeguarding of the Intangible Cultural Heritage", adopted by the UNESCO General Conference on 17 October 2003 in Paris. Text of the Convention available at: https://ich.unesco.org/en/convention. Last access: 20/05/2024.

[160]Bertacchini, Enrico, Giangiacomo Bravo, Massimo Marrelli, and Walter Santagata, *Cultural commons: A new perspective on the production and evolution* of cultures, In Cultural Commons. (Edward Elgar Publishing, 2012).

[161]Bertacchini, Enrico, Giangiacomo Bravo, Massimo Marrelli, and Walter Santagata, *Defining cultural commons, In Cultural commons*. (Edward Elgar Publishing, 2012).

[162]Christian Iaione, Elena De Nictolis, and Maria Elena Santagati, *Participatory Governance of Culture and Cultural Heritage: Policy, Legal, Economic Insights From Italy,* (Frontiers in Sustainable Cities 4, 2022);
Graham, Brian, Greg Ashworth, and John Tunbridge, *A geography of heritage*, (Routledge, 2016).

[163]UNESCO World Heritage Centre, "Vienna Memorandum on 'World Heritage and Contemporary Architecture - Managing the Historic Urban Landscape,'" UNESCO World Heritage Centre, 2005, Full text available here: https://whc.unesco.org/en/documents/5965/.

As a part of the city and following Hess's wide approach it is justified to say that culture and cultural heritage, in its widest sense, fall into the concept of *urban commons*. As such, it should also be cared for and, to make a short return to the concept of *homines curans*, this care should be based on collectiveness and participation. Having said that and since the management of heritage and the historic environment is more and more seen as an integral part of cities, landscapes, and spatial planning[164] the whole approach is shifted towards the participatory discourse. Hence, the concept of care has been understood in a broader sense, encompassing socio-physical, socio-cultural, and environmental elements. Just caring is no longer sufficient, it is necessary to ensure that those places are experienced, that those assets are enjoyed and that the people who enjoy them can be a part of their protection, restoration, maintenance, and enhancement[165].

3.2 Governance of the cultural heritage: The models

If cultural heritage is understood as commons, it can be fit under two regimes of governance. The first one derives from Hardin's vision of the tragedy of the commons. In that sense, cultural commons as collective resources tend to involve social dilemmas. According to Bertacchini et al., there can be two social dilemmas related to cultural heritage as commons deriving from the collective nature of a cultural resource. The first issue is the classic public good problem, which arises from the costs associated with maintaining a given asset. Cultural heritage and cultural commons do not suffer from overuse, in the classical sense in which natural commons suffer. Still, they have to be maintained and protected from deprivation or disappearance. This issue can be interpreted also through the free riding dilemma. To contribute to the resource, or culture, individuals should invest in producing. However, some may free ride on an already established culture without any commitment to maintaining. The other

[164]Janssen, J., Luiten, E., Renes, H. and Stegmeijer, E., *Heritage as sector, factor and vector: conceptualizing the shifting relationship between heritage management and spatial planning*, (European Planning Studies, 25(9), 2017), pp.1654-1672.

[165]Oleg Grabar, *Why History: The Meanings and Uses of Tradition*, (Traditional Dwellings and Settlements Review 4, no. 2 , 1993): 19–26.

issue is related to the innovation discourse; according to the authors, this is a typical "battle of the sexes game" and implies a struggle between innovators and traditionalists inside a given culture. Innovators are guided by the process of cultural evolution, while traditionalists choose the opposite. If they fail to cooperate the result is the disappearance of their common culture. This whole situation depicts what we can call the *tragedy of the cultural commons*, already mentioned above as a vulnerability of the cultural heritage.

The other regime of governance follows Ostrom's approach. The cultural commons are valuable to its community and subject to effective governance to prevent overuse, disputes and to provide care[166]. As a type of urban resources, they are governed collaboratively by that same community. The approach on cultural heritage adopted by this study means opening up to community collaboration and engagement. It is completely consistent with Ostrom's work, which focuses on the concept of local empowerment: under certain conditions, local communities can independently establish and enforce rules for sharing and managing common pool resources, thereby developing, and sustaining self-governing institutions. Collaboration is a very important aspect, as it means the interaction and cooperation inside of the community and between interested stakeholders in order to manage assets that are important for the community[167].

This setup implies that the governance of the cultural heritage is completely in the hands of the community. This view is unrealistic since the public authorities cannot be ignored[168]. In the co-governance system, public authorities should have the role of an enabler, a facilitating actor providing resources and support. Anyhow, a community on one side and public authorities in the other represent two completely opposite poles of governance of the commons. In the between there are other models, including different actors and configurations. Iaione[169]

[166] In this context, care will be understood as conservation, preservation, management and valorization of cultural heritage assets, no matter tangible, intangible, natural or other kind.

[167] Collaboration as a norm has a root in constitutional and legal framework; as an example, in Italian Constitution it found its place under Article 2, where it says that "…The Republic requires that the fundamental duties of political, economic and social solidarity be fulfilled". This is not the only norm that implies collaboration; every clause that requires citizens to exercise responsibilities, prerogatives, or duties is a contribution to the principles of civic collaboration for the general interest and for the urban commons.

[168] Foster and Iaione, *Co-Cities*.

[169] Christian Iaione, *The Co-City: Sharing, Collaborating, Cooperating, and Commoning in the City*, (The American Journal of Economics and Sociology 75, no. 2, 2016): 415–55.

proposes six governance models of the commons, starting from the traditional going towards the most complex one:

1. Public Governance. This is the traditional, centralized structure. It portrays Hardin's vision of government of the commons, where a centralized authority, such as a national government or an international agency regulates the commons. As the it grows, so does the "complexity of its own hierarchical or bureaucratic structure"[170]. This situation leads to a decrease of the efficiency and increases the probability of failure.

2. Public-Private Governance/Partnerships (PPPs or P3s). OECD definition of PPPs is "and agreement between government and one or more private partners (which may include the operators and the financers) according to which the private partners deliver the service in such a manner that the service delivery objectives are aligned with the profit objectives of the private partners and where the effectiveness of the alignment depends on a sufficient transfer of risk to the private partner"[171]. As an alternative to strictly Public Governance, this dyad is designed to redistribute costs, risks, and resources. The author gives privatization as an example of the PPPs, but privatization is a situation where privatized business is one that was formerly owned by the public sector and is now owned by the private sector. Rather than that, PPPs would be a relationship between public and private sector where the business is defined by a long-term contract in which public services to be delivered by the PPP. It is more an equity joint venture between the public and private sectors.

3. Shared Governance. When two opposite poles are matched there is a shared governance. It connotes two concepts: giving a group of people a share in a decision-making process and allowing that same group to

[170]Vincent Ostrom, Charles M. Tiebout, and Robert Warren, *The Organization of Government in Metropolitan Areas: A Theoretical Inquiry*, (American Political Science Review 55, no. 4, December 1961): 831–42.
[171]Organisation for Economic Co-Operation and Development, *Public-private partnerships: In pursuit of risk sharing and value for money*, (Paris, France, 2008)

exercise primary responsibility for specific areas of decision making. These are short-term and small-scale bilateral pacts between the public administration and citizens. It is an attempt to decentralize governance towards the citizens. In this sense this is the first layer of co-governance. Foster and Iaione[172] differentiate two situations, one where public actor is in a relation to citizens, a Public-Citizen Partnership and where it is related to a community, in the Public-Community Partnership (PCPs). They can move in two directions and be Top-Down PCPs when they are initialized by the authorities and it is the authority that sets up a cooperative of the community, and Bottom-Up PCPs, when they come from a community which is already in a cooperative, followed by the authorities.

4. Collaborative Governance. This governance approach unites multiple stakeholders in common forums with public agencies to participate in consensus-driven decision-making. The characteristics of collaborative governance is openness of the partnership, differently from the shared governance. Ansell and Gash define Collaborative Governance as "*a governing arrangement where one or more public agencies directly engage non-state stakeholders in a collective decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage public programs or assets*"[173]. According to this definition, Collaborative Governance has a top-bottom nature and involves at least three actors of the quintuple helix.
   This is the layer of co-governance from which there can be words on other types of partnerships, beyond PPPs. If the formula of Public- Private Partnerships would be added an element of citizens, it would become Public-Private-People Partnership (P4). Here, the focus is on people or better said, city residents as the end users, and inclusion in the real meaning of the word. These are complex arrangement, hence, constituted from three categories of actors where, differently from PPPs

[172]Foster and Iaione, *Co-Cities*.
[173] Chris Ansell and Alison Gash, *Collaborative Governance in Theory and Practice*, (Journal of Public Administration Research and Theory 18, no. 4, October 1, 2008): 543–71.

where relationships are bilateral and simple, these relationships are reflected in the network (formal or informal) of private-public, private-people, and public people relations[174].

If dispersed citizens concentrate into the community, then there can be words on Community-Based Public-Private Partnerships (CBP3s). Comparing to the previous situation, there is an individuated leadership that acts for the account of the community. Previous formula can be substituted with private-public, private-community and public-community network of relations.

5. Cooperative Governance. Same stakeholders from the Collaborative Governance are also involved here, but the difference is the organizational structure of the collaboration/cooperation. It is institutionalized in a legal entity with a corporative board. According to some authors, it could also be called Corporate Governance[175].

6. Polycentric Governance. This system is characterized by a horizontally organized one in which the public administration, citizen organizations and other actors collaborate in order to governate common resources. It is an ecosystem of independent and autonomous actors, with their own decision-making centers.

Polycentricity deserves to be dedicated to its own space. This is a system where knowledge institutions take their place in the governance arrangements, as actors who have roles in the technological and economic innovation processes.

[174] Wisa Majamaa, *The 4th P - People - in Urban Development Based on Public-Private-People Partnership* (Teknillinen korkeakoulu, 2008);
Patricia Marana, Leire Labaka, and Jose Mari Sarriegi, *A Framework for Public-Private-People Partnerships in the City Resilience-Building Process*, (Safety Science, Special Issue on societal safety, critical infrastructure reliability and related intersectoral governance., 110, December 1, 2018): 39–50;
Patricia Maraña, Leire Labaka, and Jose Mari Sarriegi, *We Need Them All: Development of a Public Private People Partnership to Support a City Resilience Building Process*, (Technological Forecasting and Social Change 154, May 1, 2020).

[175] Myriam Michaud and Luc K. Audebrand, *One Governance Theory to Rule Them All? The Case for a Paradoxical Approach to Co-Operative Governance*, (Journal of Co-Operative Organization and Management 10, no. 1, June 1, 2022).

The initial idea come from Etzkowitz and Leydesdorff[176] according to which the potential for innovation and economic development lies in the Triple Helix III[177] model, which represents the hybridization of elements from university, industry, and government, generating new institutional formats. This model fosters a strong and active role of universities and knowledge institutions in general in the technological and economic development processes. The further development of these ideas led to the creation of the Quadruple Helix[178] model, which encompasses a fourth actor which is a civil society, as an innovation user. The user involvement suggests an open innovation approach where knowledge from multiple stakeholders is exchanged throughout the UTT process rather than the more closed Triple Helix approach. In that sense, civil society is representative of societal need and thus can increase the relevance of innovation[179].

The most developed form in the evolution of the helix models of government is the Quintuple Helix. Iaione[180] defines five key actors involved in the quintuple helix in the context of the City:

1. City inhabitants: including commoners and activists on the urban commons, social and urban innovators, city makers, local communities.

[176]Henry Etzkowitz and Loet Leydesdorff, *The Dynamics of Innovation: From National Systems and 'Mode 2' to a Triple Helix of University–Industry–Government Relations*, (Research Policy 29, no. 2, February 1, 2000): 109–23.
[177] Triple Helix I is the configuration if which the nation state encompasses academia and industry and directs the relations between them, and Triple Helix II consists of separate institutional spheres with strong borders dividing them and highly circumscribed relations among the spheres. According to Etzkowitz and Leydesdorff, none of these proto-models of Triple Helix do not enhance innovation and increase knowledge and do not leave enough room for bottom-up initiatives.
[178] Etzkowitz and Leydesdorff, *The Dynamics of Innovation*;
Elias G. Carayannis and David FJ Campbell, *"Mode 3"and'Quadruple Helix: Toward a 21st Century Fractal Innovation Ecosystem*, (International Journal of Technology Management 46, no. 3–4, 2009): 201–34;
Elias G. Carayannis, Thorsten D. Barth, and David FJ Campbell, *The Quintuple Helix Innovation Model: Global Warming as a Challenge and Driver for Innovation*, (Journal of Innovation and Entrepreneurship 1, 2012): 1–12.
[179]Kristel Miller, Rodney McAdam, and Maura McAdam, *A Systematic Literature Review of University Technology Transfer from a Quadruple Helix Perspective: Toward a Research Agenda*, (R&D Management 48, no. 1, 2018): 7–24;
Huyghe, Annelore, Mirjam Knockaert, Mike Wright, and Evila Piva, *Technology transfer offices as boundary spanners in the pre-spin-off process: The case of a hybrid model*, (Small Business Economics 43, 2014): 289-307.1.
[180]Christan Iaione, *The Right to the Co-City*, (Italian Journal of Public Law 9, no. 1, 2017): 80–142;
Iaione, *The Co-City*;
Christian Iaione and Elena De Nictolis, *Urban Pooling Drone City*, (Fordham Urban Law Journal 44, no. 3, 2017): 665–702;
Sheila R. Foster and Christian Iaione, *Ostrom in the City: Design Principles and Practices for the Urban Commons*, in Routledge Handbook of the Study of the Commons (Routledge, 2019), 235–55;

2. Public authorities: local, regional, and national level.
3. Private economic actors: including national and local businesses, SMEs interested in sustainable development, social businesses, district-level businesses.
4. Civil society and NGOs.
5. Knowledge institutions: including universities, research centers, schools, cultural centers and public private, civil, libraries.

Carayannis, Barth and Campbell[181] frame the Quintuple Helix in the context of natural environment. According to them, the Quintuple Helix can be interpreted as an approach in line with sustainable development and social ecology. Tackling the issues of global warming, they add the fifth helix to the Quadruple helix which is the "Natural environment", as a component of knowledge production and innovation. Hence, the five helices necessary for the generation and promotion of sustainable development of society are: Accademia and Knowledge Institutions, Industry, Government, Societal element, and Natural Environment.

Following Carayannis', Barth's and Campebell's logic and pattern, the Quintuple Helix model could be imagined as a formula for sustainable development with four constant helices and one flexible. The four constant ones would be: Public Authorities (Government), Private Economic Actors (Industry), Knowledge Institutions (Accademia) and Societal element. If this idea is framed into the environment of cultural heritage, then the fifth and flexible helix could be the Cultural Heritage, as the component of innovation and sustainability. In the case of that hypothesis, the Quintuple Helix would look like this:

[181]Carayannis, Elias G., Thorsten D. Barth, and David FJ Campbell, *The Quintuple Helix innovation model: global warming as a challenge and driver for innovation, (*Journal of innovation and entrepreneurship 1, 2012): 1-12

FIGURE 3*: QUINTUPLE HELIX IN THE ENVIRONMENT OF THE CULTURAL HERITAGE AS A RESOURCE, INSPIRED BY CARAYANNIS, BARTH AND CAMPBELL*

This construction presents a fundamental challenge, which, more broadly, could serve as a critique of the quintuple helix model when structured in this manner. The fifth and most flexible helix, representing a key component of innovation and sustainability, is identified in this context as Cultural Heritage. However, a critical issue arises: Cultural Heritage, unlike other helices, cannot function as an independent actor in the same way that institutions, businesses, academia, civil society, or the environment can. One of the key limitations lies in the absence of legal subjectivity—cultural heritage, as a concept or entity, does not possess legal personhood and therefore cannot directly engage in governance, decision-making, or policy negotiations. This raises fundamental questions about how cultural heritage can be effectively integrated into the model, and whether its role should be reconsidered as a resource, a domain of governance, or an enabler of cross-sectoral collaboration, rather than as a standalone actor.

So, the question is how to attribute this subjectiveness in order to make it an actor of a quintuple helix. Here the institutional theory might solve this problem.

According to Santi Romano and Carl Schmitt[182], the crisis (of the modern state) could be overcome by recognizing the juridic character of non-state institutions. By institution Santi means "*any entity or social body…it must possess an objective and concrete existence, and its individuality, however immaterial, must be outward and visible… it is a manifestation of the social, not purely individual, nature of human beings… these go to the advantage of human beings, are administered and governed by human beings, and yet they are not composed of human beings.*[183]" In this way institutions have their individuality. For Romano, the most important characteristic of an institution is that it has "a firm and permanent unity", that is, it retains its identity even as its membership, orientation and norms might change over time[184]. Cultural heritage, with its capacity to create cultural identity and the sense of belonging is, in fact, a manifestation of the social nature of human beings. As that, it can be considered an institution and as an institution, it can be an actor in the quintuple helix as a government model.

From the other perspective, this model can be labeled as a Public-Private-Science-Community Partnership (PPPPP or P5). These partnerships refer to legal and economic arrangements[185] in which communities (in this case heritage communities) are the main partners as a holder of the right to govern cultural heritage commons. The value, resources and wealth are shared among the private and public actors, which makes them *shareholders*, not stakeholders anymore. This framework creates conditions for a new way of governing cultural heritage commons, but it assumes that public authorities allow certain assets or areas to be managed by authorized communities in an autonomous and self-managed manner, verifying the consistency of these activities with the more general public purposes[186].

[182]Santi Romano, *The Legal Order,* (Taylor & Francis, 2017);
Carl Schmitt, *Political Theology: Four Chapters on the Concept of Sovereignty* (University of Chicago Press, 2005).
[183]Santi Romano, *The Legal Order*.
[184]This is a completely opposite concept from the one in which the institution stands for a social organization that has reached a certain level of development, that an institution must have a constitutional and representative structure, and that law is a product of the institution. This view has been sustained by, for example, Maurice Hariou.
[185]Sheila R. Foster and Christian Iaione, *Co-Cities*.
[186]Christian Iaione, *The Co-City*;

3.3 Cultural heritage as a facilitator and a necessary condition for the creation of a community: The heritage community

The emphasis of this study is on the heritage community. It is about the vulnerability, resilience, and sustainability of a heritage community; it is the heritage community that represents the societal actor of the partnership in the co-governance narrative. But what is exactly a heritage community? For a start, it is important to understand what a community in general is, since it can have a wide range of meanings from the population as a whole to a section of the community, such as the residents of a particular area or a group of people. The reason to separate the notion of heritage community from a generic community is that in this way the emphasis will fall on the "heritage" part, which is a distinguishing element for the heritage community. Not only that, but it also highlights the importance of heritage for the community and its value, which has different aspects. Cultural heritage is a surplus that stays after separating community from a heritage community and that surplus is the adding value for reaching the community resilience.

The views on a generic community are different and many theoretical works have been provided, especially in social science to give a widely accepted definition on a community. According to some literature[187], a community tends to refer to rural contexts, villages, or if considering it in an urban context, a minority groups or working classes. It refers to relationships that have been existing "back in time" or within the strict parameter of the social hierarchy. Others see a community as an image of tradition that is characterized by nostalgia and can be applied to a range of marginalized groups[188]. However, it can be said that a common definition of community emerged as a group of people with diverse characteristics who are linked by social ties, share common

Christian Iaione, Elena De Nictolis, and Anna Berti Suman, *The Internet of Humans (IoH): Human Rights and Co-Governance to Achieve Tech Justice in the City Sharing Economy Markets and Human Rights*, (Law & Ethics of Human Rights 13, no. 2, 2019): 263–99.

[187]Brian Alleyne, *An Idea of Community and Its Discontents: Towards a More Reflexive Sense of Belonging in Multicultural Britain*, (Ethnic and Racial Studies 25, no. 4, January 1, 2002): 607–27.

[188]Laurajane Smith and Emma Waterton, *Heritage, Communities and Archaeology*, (A&C Black, 2013).

perspectives, and engage in joint action in geographical locations or settings[189]. Maybe the best way to define a community would be as a flexible concept which encapsulates different elements which at the same time allow different approaches to the notion of a community. In that way, a community can be defined based on the geographical proximity[190], or as a localized social system binding social groups and institutions[191], or even based on a common identity or set of beliefs and practices[192].

Delanty[193] identifies four ways in which communities can be identified:

1. Firstly, they can be defined by spatial and social formation. This view focuses on the relationship between community and space. Belonging to a community means being physically in, no matter one's identification as being a member of it. It refers to a specific area such as neighborhood, area, village, city etc. This approach has been shaped by numerous studies and policies focused on the conditions of specific disadvantaged areas, driven by political discourses such as "community empowerment" and "regeneration".
2. A second approach, used by those in cultural studies and anthropology, applies the term to concepts of belonging and difference, particularly around issues of cultural identity. The central idea here is sharing, referred to the existence of shared perspectives and common interests that contributed to a sense of community.
3. The third approach defines a community through its actions in order to oppose a social injustice. A community can emerge from joint action; it can be its source of cohesion and identity. Joint action does not mean a

[189]MacQueen, K.M., McLellan, E., Metzger, D.S., Kegeles, S., Strauss, R.P., Scotti, R., Blanchard, L. and Trotter, R.T., *What is community? An evidence-based definition for participatory public health*, American journal of public health, 91(12) 2001), pp.1929-1938.

[190] Lynn A. Staeheli and Albert Thompson, *Citizenship, Community, and Struggles for Public Space*, (The Professional Geographer 49, no. 1, February 1, 1997): 28–38;

Mackenzie, A. Fiona D., and Simon Dalby. *Moving mountains: community and resistance in the Isle of Harris, Scotland, and Cape Breton, Canada*, (Antipode 35, no. 2, 2003): 309-333.

[191]Allen, John, and Chris Hamnett, eds., *A shrinking world?: global unevenness and inequality*, (Oxford: Oxford University Press, 1995).

Matthew Gandy, *Between borinquen and the barrio: Environmental justice and new york city's puerto rican community*, 1969–1972, (Antipode 34, no. 4, 2002): 730-761.

[192]Radcliffe, Sarah A., *Reimagining the nation: community, difference, and national identities among indigenous and mestizo provincials in Ecuador*, (Environment and planning A 31, no. 1, 1999): 37-52.

[193]Gerard Delanty, *Community* (Routledge, 2003).

conscious intent to generate community, it is rather seen as a natural path towards its creation.

4. The final approach goes beyond the traditional approaches and is based on the rise of a global society and technological development.

The considerations above are also in line with other scholars. Patrick and Wickizer[194] define community through three conceptual approaches: those that define community as place, as social interaction, and as social and political responsibility. Community as a place is self-explanatory. Social interaction approach corresponds to Delanty's second approach, while political responsibility is similar to joint action concept.

The common denominator to all of these definitions is the term "belonging". Belonging represents a social tie that is characterized as interpersonal relationship that serves as the foundation for the community. Belonging and community are bidirectional in nature - individuals influence and are influenced by their community. This connection manifests as "belonging" at the individual level and as "community" at the group level. It binds a community together on the basis of interdependence and loyalty.

Built on these premises, combined or individual, a community can evolve, if added a specific element of bonding. In this case that specific element is cultural heritage. But how does a community become a heritage community[195]? The heritage community is not "given", since in many cases heritage is often less known and rarely recognized as an important element of the urban landscape by both citizens and local governments[196]. It is crucial to recognize heritage as cultural resource, identify its value, and engage relevant stakeholders in its valorization process. This approach can transform an unused asset into a living

[194]Patrick, Donald L., and Thomas M. Wickizer, *Community and health*, (Society and health, 1995): 46-92.
[195]Gravagnuolo, Antonia, Serena Micheletti, and Martina Bosone. 2021, *A Participatory Approach for "Circular" Adaptive Reuse of Cultural Heritage. Building a Heritage Community in Salerno, Italy*, (Sustainability 13, no. 9, 2021):4812.
[196]John Schofield, *Heritage Expertise and the Everyday: Citizens and Authority in the Twenty-First Century*, in Who Needs Experts? (Routledge, 2014).

heritage, capable of regenerating resources and generating positive impacts on the city or territory[197].

A recognition of a heritage community as a key element for the local sustainable development can be seen in Council of Europe's Faro Convention[198]. Specifically, the Convention defines a heritage community in article 2b:

"A heritage community consists of people who value specific aspects of cultural heritage which they wish, within the framework of public action, to sustain and transmit to future generations."

This definition can be interpreted in line with what has been previously said: it consists of *people*, a word that has been chosen to emphasize collectiveness. This has been confirmed by article 4[199], both by point *a* and *b*, in which the policy maker uses expressions: *everyone, alone or collectively*. The belonging to a community is based on free will. Next, the value that these people give to a specific aspects of cultural heritage they wish recall the recognition of the cultural heritage and its value. Again, it is confirmed that the key to defining cultural heritage (and as a consequence also heritage community) is the role of people giving it a value[200]. This consideration also confirms the broadest definition of cultural heritage, as tangible, intangible but also natural heritage. Finally, it can be deducted that a heritage community is characterized by awareness of the resource value of its cultural heritage, a sense of belonging, inclusiveness, collaboration, a common interest in heritage-led joint actions, shared civic responsibility towards cultural heritage.

[197]Luigi Fusco Girard, Francesca Nocca, and Antonia Gravagnuolo, *Matera: City of Nature, City of Culture, City of Regeneration. Towards a Landscape-Based and Culture-Based Urban Circular Economy*, (Aestimum, October 31, 2019):5–42;
Luigi Fusco Girard, *Implementing the circular economy: the role of cultural heritage as the entry point. which evaluation approaches?*, (BDC. Bollettino Del Centro Calza Bini 19, no. 2,December 31, 2019): 245–77.

[198] Council of Europe Framework Convention on the Value of Cultural Heritage for Society - Faro Convention (CETS No. 199). 2005.

[199] Article 4 – Rights and responsibilities relating to cultural heritage:
The Parties recognise that:

a) everyone, alone or collectively, has the right to benefit from the cultural heritage and to contribute towards its enrichment;
b) everyone, alone or collectively, has the responsibility to respect the cultural heritage of others as much as their own heritage, and consequently the common heritage of Europe.

[200] Iaione, De Nictolis, and Santagati, *Participatory Governance of Culture and Cultural Heritage*.

It seems appropriate to conclude this paragraph with the Article 4 of the Fribourg Declaration[201] which, dedicated to cultural communities, states:

"Everyone is free to choose to identify or not to identify with one or several cultural communities, regardless of frontiers, and to modify such a choice."

and

"No one shall have a cultural identity imposed or be assimilated into a cultural community against one's will."

3.4 Hypothesis of a cultural heritage as a tool towards resilience

It has already been mentioned before that a necessary element for the empowerment and resilience of a community is a community capacity. This capacity, in the case of a heritage community, derives from the freedom of the individuals to define heritage resources and choose to identify with them and eventually belong to the community of that heritage resource. Once a heritage community is established and it recognizes its resources and by that also itself, it is empowered to move towards resilience and sustainability.

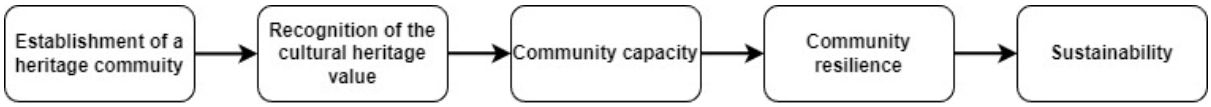

FIGURE 4*: EXPLANATION OF THE RELATIONSHIP BETWEEN CULTURAL HERITAGE AND COMMUNITY RESILIENCE FROM ESTABLISHMENT TO SUSTAINABILITY*

This answers the question of the relationship between cultural heritage of one community and its resilience. Cultural heritage is seen as a necessary tool towards resilience because of its ability to strengthen the community. In the

[201] The Fribourg Declaration on Cultural Rights was launched on May 7, 2007, at the University of Fribourg and on May 8, 2007, at the Palais des Nations in Geneva. The text was presented by the Observatory of Diversity and Cultural Rights, headquartered at the Interdisciplinary Institute of Ethics and Human Rights at the University of Fribourg, in collaboration with the Organisation Internationale de la Francophonie and UNESCO. The declaration is endorsed by over fifty prominent human rights figures and a platform of NGOs.

scientific literature, the debate on this relationship is still evolving but mostly the problem has been addressed through the lenses of safeguarding the cultural heritage, mostly in the context of risks and disasters[202].

This topic is, however, addressed in some global policy documents. For example, the value of cultural heritage and its transmission in creating inclusive, safe, resilient, and sustainable cities and human settlements is a core component of the UN Agenda 2030 and the new international policy for Disaster Risk Reduction 2015–2030. In the target 11.4 the Agenda explicitly calls for making cities and human settlements inclusive, safe, resilient and sustainable by strengthening efforts to protect and safeguard the world's cultural and natural heritage.

ICOMOS[203] is also committed to the promotion of tangible and intangible cultural heritage as a vital aspect of social development and sustainability. Of the particular importance is the Symposium held in Paris in 2011 that anticipated the UN Conference on Sustainable Development in Rio De Janeiro and resulted in the "Paris Declaration on Heritage as a Driver of Development"[204]. Besides that, in 2014, the ICOMOS General Assembly adopted a resolution[205] to ensure that culture and cultural heritage are acknowledged in the proposed Goals and Targets in SDGs and the Agenda 2030.

UNESCO policies also link Community Resilience to the strengthening of culture and cultural heritage. In 2013 [206] was the first time that an international

[202] Santangelo, Angela, Eleonora Melandri, Giulia Marzani, Simona Tondelli, and Andrea Ugolini, *Enhancing Resilience of Cultural Heritage in Historical Areas: A Collection of Good Practices*, (Sustainability 14, no. 9, 2022): 5171;
Katia Fabbricatti, Lucie Boissenin, and Michele Citoni, *Heritage Community Resilience: Towards New Approaches for Urban Resilience and Sustainability*, (City, Territory and Architecture 7, no. 1, November 11, 2020):17.

[203] International Council on Monuments and Sites. Official website available at: https://www.icomos.org/en. Last access: 20/05/2024.

[204] UNESCO, "The Paris Declaration On heritage as a driver of development", adopted at UNESCO Paris headquarters, on Thursday 1st December 2011. Full text of the declaration available at: https://www.icomos.org/images/DOCUMENTS/Charters/GA2011_Declaration_de_Paris_EN_20120109.pdf. Last access: 20/05/2024.

[205] ICOMOS, Resolution 18GA 2014/30. Text of the Resolution available at: https://www.usicomos.org/wp-content/uploads/2016/05/Resolution-18GA-2014-30.pdf. Last access: 20/05/2024.

[206] UNESCO (2013) The Hangzhou Declaration Placing Culture at the Heart of Sustainable Development Policies, Hangzhou, China. Full text available at: https://www.unesco.org/new/fileadmin/MULTIMEDIA/HQ/CLT/images/FinalHangzhouDeclaration20130517.pdf. Last access: 20/05/2024.

document cultural heritage has been recognized as playing a role in addressing global risks, especially for its ability to strengthen community resilience, claiming that “the appropriate conservation of the historic environment, including cultural landscapes, and the safeguarding of relevant traditional knowledge, values and practices, in synergy with other scientific knowledge, enhances the resilience of communities to disasters and climate change”. Later, at the Third United Nations World Conference on Disaster Risk Reduction (WCDRR), where the Sendai Framework for DRR 2015–2030 was adopted, it was acknowledged that "cultural heritage provides important insights and opportunities for enhancing Disaster Risk Reduction, post-disaster rehabilitation and recovery, building back better, and stimulating local economic and social development"[207]. The session on “Resilient Cultural Heritage” emphasized that for Disaster Risk Reduction policies and programs to be effective and sustainable, they must consider the cultural context, with cultural heritage as its most symbolic manifestation[208].

Lastly, the Faro Convention shifts attention from the cultural heritage in itself towards people and their active participation in the process of recognizing the values held in it and their transmission to future generations. In this sense, it recognizes the value of cultural heritage as an element that can “enrich the process of economic, political, social and cultural development…” [209], while parties undertake to “define and promote principles for sustainable management…”[210] and “raise awareness and utilize the economic potential of the cultural heritage”[211]. More about the Faro Convention later on.

[207] UNDRR (2015a) Sendai Frameworks 2015-2030. Sendai, Japan. Available at: https://www.preventionweb.net/fles/43291_sendaiframeworkfordrren.pdf. Last access: 20/05/2024.
[208] UNDRR (2015b) Proceedings: Third UN World Conference on Disaster Risk Reduction, 14-18 March 2015, Sendai, Japan. Available at: https://www.preventionweb.net/fles/45069_proceedingsthirdunitednationsworldc.pdf. Last access: 20/05/2024.
[209] Article 8(a), Council of Europe Framework Convention on the Value of Cultural Heritage for Society - Faro Convention (CETS No. 199). 2005.
[210] Article 9(b), Council of Europe Framework Convention on the Value of Cultural Heritage for Society - Faro Convention (CETS No. 199). 2005.
[211] Article 10(a), Council of Europe Framework Convention on the Value of Cultural Heritage for Society - Faro Convention (CETS No. 199). 2005.

4. Protection and valorization of the cultural heritage through participatory governance in the multilevel legal framework

The previous sections of this chapter have established the theoretical foundations necessary for further analysis. However, before proceeding, it is essential to examine how these theoretical frameworks are anchored in legislation and policy instruments. The legal dimension is particularly significant, as it provides the formal mechanisms, institutional frameworks, and regulatory structures that either facilitate or hinder the practical application of the commons-based governance of cultural heritage.

As will be demonstrated, participatory governance models align well with the principles of commons management, particularly in the case of cultural heritage commons. However, legal and policy documents do not always explicitly define or categorize cultural heritage as an object of participatory processes. Instead, many international, European, and national regulations refer more broadly to commons, urban commons, or shared resources. Given that cultural heritage inherently falls within the broader category of commons, it is evident that these legislative and policy frameworks can also be applied to heritage-related participatory governance, even when it is not explicitly mentioned.

Another key observation is the evolution of the legal and policy discourse surrounding cultural heritage. Traditionally regarded as an asset to be preserved and protected, cultural heritage has increasingly been reframed as a resource for urban regeneration, sustainability, and community resilience. This shift is reflected in recent international agreements and legal instruments, which not only emphasize heritage's economic and social value but also recognize its interconnection with contemporary global challenges, such as climate change and social inclusion.

Moreover, both international institutions and national legislators have increasingly acknowledged the importance of community engagement in cultural heritage management. This trend can be observed in progressive legal frameworks that incorporate co-governance principles, participatory decision-making, and multi-stakeholder collaboration in heritage preservation and

adaptive reuse. The Faro Convention, for example, explicitly promotes the role of heritage communities as active participants in decision-making processes, shifting away from a state-centered approach to one that empowers local actors in the stewardship of cultural heritage.

This evolution is even more evident in some local policies, where participatory governance models exhibit characteristics of the quintuple helix framework. At the municipal and regional levels, certain policies not only recognize cultural heritage as a commons but also incorporate multi-actor cooperation, including public institutions, private stakeholders, academia, civil society, and the environment. These policy innovations suggest that local governance models are experimenting with more flexible, inclusive, and dynamic approaches, reflecting a broader transition towards integrated, community-driven heritage management.

By mapping these legal and policy developments, the next section will examine how these principles are translated into practice through concrete case studies, assessing the extent to which legislation enables or restricts participatory governance in the management of cultural heritage commons.

4.1 International level

Participatory governance is not a new concept in the sector of cultural heritage management on the supranational level. Many authors like to recall the UN Human Rights Declaration from 1948[212] as a document that is the first to bring out the idea of collectiveness in the connection to the protection of cultural heritage. Indeed, the Article 27(1) says that:

[212]The Universal Declaration of Human Rights (UDHR) is a landmark document in the history of human rights. It was drafted by representatives from diverse legal and cultural backgrounds from across the globe and was proclaimed by the United Nations General Assembly in Paris on December 10, 1948 (General Assembly resolution 217 A). The Declaration serves as a common standard of achievements for all people and nations.The full text of the Declaration can be found here: https://www.un.org/en/about-us/universal-declaration-of-human-rights. Last access: 2/6/2024.

"Everyone has the right freely to participate in the cultural life of the community, to enjoy the arts and to share in scientific advancement and its benefits."

It invites to participation in the cultural life inside of the, implicitly, heritage community and binds the governments to secure this right for everyone. Emphasizing cultural participation within the context of human rights underlines that the "right to culture" should be a foundational and essential instrument of cultural policy. Since then, the issue of governance of cultural heritage has found its space in many documents of international and supranational organizations and has been one of the keys of cultural policy worldwide.

The United Nations Educational, Scientific and Cultural Organization (hereinafter UNESCO), as a specialized agency of the United Nations for promoting the world peace and security through international cooperation in education, arts, sciences and culture, gave a huge contribution in promoting these ideas. In fact, the development of UNESCO's conventions[213] over time reflect an evolution of the growing recognition that cultural heritage is not only a set of monuments and artifacts but also a dynamic and socially embedded resource which laid grounds for the acceptance of a broader term of cultural heritage, as already discussed above. This follows also a paradigm shift in the management of cultural heritage, moving from a state-centered preservationist approach to a more participatory and community-driven model. The early conventions largely positioned heritage protection as a responsibility of a state with limited recognition of local community involvement in heritage management. For example, the 1954 Hague Convention for the Protection of Cultural Property in the Event of Armed Conflict [214] focused primarily on safeguarding cultural heritage from destruction, particularly in times of war. This legal framework was expanded with the Convention on the Illicit Trafficking of Cultural Property[215], which addressed the growing concern over the illegal export and commercialization of heritage assets.

[213] Full list of UNESCO's Conventions available here: https://www.unesco.org/en/conventionslist. Last access: 2/6/2024.

[214] UNESCO, "Convention for the Protection of Cultural Property in the Event of Armed Conflict", adopted on the conference convened by UNESCO on 14 May 1954 in Hague, Netherlands. Entry into force on 7 August 1956. Full text of the Convention available here: https://www.unesco.org/en/legal-affairs/convention-protection-cultural-property-event-armed-conflict-regulations-execution-convention. Last access: 1/3/2025.

[215] UNESCO, "Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property", adopted on the conference convened by UNESCO on 14 November 1970 in Paris, France. Entry into force on 24 April 1972. Full text of the Convention available here: https://www.unesco.org/en/node/66148?hub=416. Last access: 1/3/2025.

The time between 1988 and 1997, known as the World Decade for Cultural Development[216], gave an important output: the 1995 report "Our Cultural Diversity"[217] aimed to place culture at the center of sustainability models. In its Chapter 7, named "Cultural Heritage for Development", it is underlined that the widest notion of cultural heritage should be "accepted as contributing to economic development". Besides that, the report sees culture as a tool of empowerment, and the "term culture should be restored to its original meaning, *to cultivate*".

A major turning point came with the 1972 World Heritage Convention[218], which introduced the World heritage List (Article 11) and required states to adopt legal and administrative frameworks for the site protection (Article 5). While this convention acknowledged the importance of national and local engagement, the emphasis remained on state-driven conservation models, with limited mechanisms for participatory governance. However, an important innovation of the 1972 Convention was the introduction of management plans as a key requirement for World Heritage Sites. These plans evolved over time into integrated, multi-actor strategies that balance heritage conservation with economic, social, and environmental sustainability[219].

The next step towards participation was UNESCO's Convention from 2003 on the Safeguarding of Intangible Cultural Heritage[220]. In its Article 15 named "Participation of communities, groups and individuals", the Convention says:

"Within the framework of its safeguarding activities of the intangible cultural heritage, each State Party shall endeavour to ensure the widest possible participation of communities, groups and, where appropriate, individuals that create, maintain and transmit such heritage, and to involve them actively in its management."

[216] The idea of proclaiming a Decade originated at the World Conference on Cultural Policies organized by UNESCO in 1982. It was then presented to the United Nations General Assembly, which decided to designate the period from 1988 to 1997 as the World Cultural Decade.

[217] "Our Creative Diversity, Report of the World Commission on Culture and Development", By the World Commission on Culture and Development. Paris: UNESCO.

[218] UNESCO, "Convention Concerning the Protection of the World Cultural and Natural Heritage", adopted by the General Conference at its 17th session, Paris 16 November 1972. Entry into force 17 December 1975. Full text of the Convention available here: https://whc.unesco.org/en/conventiontext/. Last access: 1/3/2025.

[219] Vaivade, Anita, and Harriet Deacon. *Culture and Heritage in Constitutional Law. (*In *The Routledge Handbook of Heritage and the Law*, Routledge, 2024).pp. 112-132.

[220] UNESCO, "Convention on the Safeguarding of Intangible Cultural Heritage", adopted by the UNESCO General Conference 32nd Session, Paris, 17 October 2003. Entry into force on 20 April 2006. Full text of the Convention available here: https://ich.unesco.org/en/convention. Last access: 2/6/2024.

Although the 2003 Convention does not implicitly address the relation between culture and sustainability, it can be found just two years later in the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions[221]. Again, in Article 11 the Convention acknowledges the role of civil society, which is in point 3 defined as "non-governmental organizations, non-profit organizations, professionals in the culture sector and associated sectors, groups that support the work of artists and cultural communities". This definition is in line with the theoretical construction of quintuple helix, added knowledge institutions. This setting also allows civil society to acquire the role of value-guardian and innovator, which further leads to sustainability. In that sense, Article 13, named "Integration of Culture in Sustainable Development" underlines the importance to "integrate culture in development policies at all levels for the creation of conditions conductive to sustainable development". Integration of culture in the policies should make possible to, among others, "realize the full potential and contribution of cultural industries to sustainable development, economic growth and the promotion of decent quality of life through the creation, production, distribution and dissemination of cultural expressions and maintain social cohesion". In the UNESCO's Report from 2022 named "Re|Shaping policies for creativity: addressing culture as a global public good" [222], which the third edition of a series designed to monitor the implementation of the 2005 Convention, it is confirmed that to this end the Convention has helped create a greater understanding of the role of culture in sustainable development.

As UNESCO conventions and recommendations evolved, so did the requirements for management plans, as the important practical tools that implement the principles and obligations outlined in UNESCO's framework. While early frameworks focused primarily on conservation and protection, newer approaches emphasize adaptive reuse, economic sustainability, and climate resilience. For example, the UNESCO Declaration on Ethical Principles in Relation to Climate Change [223] further underscored the need for heritage management to integrate climate adaptation strategies and promote environmentally sustainable practices. Other than that, the World Heritage

[221] UNESCO, "Convention on the Protection and Promotion of the Diversity of Cultural Expressions", adopted at the UNESCO General Conference at its 33rd session, Paris, 20 October 2005. Entry into force March 2007. Full text of the Convention available here: https://www.unesco.org/en/legal-affairs/convention-protection-and-promotion-diversity-cultural-expressions. Last access: 1/3/2025.

[222] Global Report 2022, Published in 2022 by the United Nations Educational, Scientific and Cultural Organization (UNESCO)7, Place de Fontenoy, 75352 Paris 07 SP, France. ISBN 978-92-3-100503-9.

[223] UNESCO, "Declaration of Ethical Principles in relation to Climate Change", adopted on the 39th session of the General Conference, Paris 13 November 2017. Full text available here: https://www.unesco.org/en/legal-affairs/declaration-ethical-principles-relation-climate-change?hub=387. Last access: 3/1/2025.

Committee, the primary body responsible for overseeing the implementation of the World Heritage Convention, has established specific criteria for the inscription of properties on the World Heritage List as well as for the allocation of international assistance through the World Heritage Fund. These guidelines are compiled in a document titled "Operational Guidelines for the Implementation of the World Heritage Convention". To ensure its relevance and effectiveness, the Committee regularly updates this document, incorporating new concepts, emerging knowledge, and practical experiences gained over time. According to these Guidelines every site inscribed on the World Heritage List must have a management plan explaining how the outstanding universal value of the site can be preserved. Management plans are the central planning instrument for the protection, use, conservation and the successful development of World Heritage sites[224]. The guidelines emphasize the significant role of communities, including local communities and indigenous peoples, as well as other stakeholders in various aspects of the World Heritage Convention. Also, the States Parties are encouraged to adopt a human-rights based approach and ensure gender-balanced participation of a wide variety of stakeholders and rights-holders, including site managers, local and regional governments, local communities, indigenous peoples, NGOs, and other interested parties and partners in the identification, nomination, management, and protection processes of World Heritage properties. A partnership approach, underpinned by inclusive, transparent, and accountable decision-making, is considered a significant contribution to the protection of World Heritage properties and the implementation of the Convention.

Outside of UNESCO's work, the sustainable development in agendas published in 1990s, 2000s and early 2010s by the United Nations did not reference culture and heritage. But it was exactly the intensification of UNESCO's work that brought mentions (still limited though) of cultural heritage in 2030 Agenda and its 17 Sustainable Development Goals. As already mentioned above, heritage has been referenced in the SDG 11, which aims to make cities and human settlements inclusive, safe, resilient, and sustainable. Specifically, target 4 focuses on "strengthening efforts to protect and safeguard the world's cultural and natural heritage." This, however, confines the role of culture and heritage practices within the broader sustainable development agenda, as an essential

[224] Last updated version of "Operational Guidelines for the Implementation of the World Heritage Convention" is from 31 July 2024. Together with all the previous versions it is available here: https://whc.unesco.org/en/guidelines/. Last access: 1/3/2025.

factor of sustainable development based on knowledge, the valorization of diversities and local economies[225]

Lastly, the International Law Association's Committee on Participation in Global Cultural Heritage Governance [226], which completed its mandate in 2022 recognized the right to participation in cultural heritage as fundamental, acknowledging that it enables the exercise of other human rights. Besides that, it involves also the right to the decision-making process with reference to the cultural life in a community.

4.2 European Union level and Faro Convention

Focused on Europe, the legal basis for the recognition of participation in cultural heritage can be traced through the work of Council of Europe (hereinafter CoE) and European Union (hereinafter EU). Since the Treaty of Lisbon in 2007, the EU has had interests in reinforcing three fundamental political principles: democracy, equality and representative democracy and participatory democracy[227]. But, within the European cultural policy and framework for a long time the regulation has been mainly connected to cultural heritage and museums as the institutions which preserve it.

In the same year of UNESCO's Convention on the Protection and Promotion of the Diversity of Cultural Expressions, CoE adopted the Convention on the Value of Cultural Heritage for Society, better known as Faro Convention[228], deeply aligned with UNESCO's evolving frameworks. Building on the previously

[225] Iacovone, Giovanna, *Trasversalità della cultura nell'Agenda 2030 e ruolo della cooperazione*, (GIUSTAMM. IT 17, no. 3, 2020).

[226] The ILA operates primarily through the work of its International Committees, and the focal point of its activities is the series of Biennial Conferences. The Conferences, of which 80 have so far been held in different locations throughout the world, provide a forum for the comprehensive discussion and endorsement of the work of the Committees. The Committee on Participation in Global Cultural Heritage Governance started on 11 November 2017 and closed on 24 June 2022, with Doctor Andrzej Jakubowski as its chairman.

[227] Lopez, Victor Cuesta, *The Lisbon Treaty's provisions on democratic principles: A legal framework for participatory democracy*, (European Public Law 16, no. 1, 2010).

[228] "The Council of Europe Framework Convention on the Value of Cultural Heritage for Society" (or the Faro Convention) is a multilateral Council of Europe treaty in which states agree to protect cultural heritage and the rights of citizens to access and participate in that heritage. Signed on 27 October 2005 in Faro, Portugal. It came into force on 1 June 2011 after being ratified by ten states.

mentioned right to cultural participation outlined in the 1948 Universal Declaration of Human Rights, the Faro Convention emphasizes an approach to cultural heritage that promotes democratic public participation and shared responsibility (Article 12). It introduced the concept of "heritage communities" which marked a departure from expert-driven and state-led heritage governance, encouraging local actors to take an active role in decision-making and management. It highlights the importance of developing legal, financial, and professional frameworks to facilitate joint action by public authorities, experts, owners, investors, businesses, non-governmental organizations, and civil society. This obviously stresses the need for a greater need for inclusion of different actors and stakeholders in defining cultural heritage, its management and its use as the resource of sustainable development and of cultural diversity affirmation. The Faro Convention emphasizes also the contribution of cultural heritage to society and human development in Section II. In particular, Article 9 refers to the sustainable use of cultural heritage by encouraging parties to "*define and promote principles for sustainable management and maintenance*". Article 10, on the other hand, promotes cultural heritage and economic activity; in the first place, the parties undertake to "*raise awareness and utilize the economic potential of the cultural heritage*". Regardless, the Faro Convention stays just a framework convention especially having in mind Article 6 titled "Effects of the Convention", which says that "no provision of this Convention shall be interpreted so as to…create enforceable rights".

The important aspect of the Convention is the introduction of participation as an innovative method of governance. Even the notion of "community" accepted in the Convention is totally detached from the strictly institutional notion of "citizenship" and takes on broadly inclusive characteristics[229] (Article 2 (b) "*a heritage community consists of people who value specific aspects of cultural heritage which they wish, within the framework of public action, to sustain and transmit to future generations.*"). This sense of belonging to a community based on the right to cultural heritage overcomes even the questions of ownership of

[229]Simonati, Anna. *Il ruolo della cittadinanza nella valorizzazione dei beni culturali alla luce della Convenzione di Faro: niente di nuovo sotto il sole?, (*Rivista giuridica di urbanistica 2021, no. 2, 2021): 248-273.

the asset, to which in fact, the Convention does not give any importance. Here, the right to the asset is based on proximity.

All in all, the Faro Convention advocates for an innovative approach to social, political, and economic issues through cultural heritage. It empowers citizens to develop heritage-based solutions, transforming heritage into a tool for achieving socioeconomic objectives. This model assigns the public the responsibility for heritage initiatives, with administration and expert bodies acting as mediators. To facilitate this shift, Faro introduces the concept of "heritage communities" and promotes participatory governance. However, the practice of participation by heritage communities can vary and yield different outcomes depending on local and national political contexts[230]. Faro Convention will be mentioned again in chapter III, paragraph 3.

In 2014 Commission released a conclusions on participatory governance of cultural heritage [231] with which it welcomed the Communication from the Commission "Towards an integrated approach to cultural heritage for Europe"[232] that recognized that cultural heritage is a shared resource and a common good and that therefore looking after heritage is a common responsibility. In that way the Commission set up the path for the cultural heritage to get on the EU Agenda. The Commission also pointed to the undervalued contribution of the cultural heritage to economic growth and social cohesion and saw it as a source of social innovation for smart, sustainable and inclusive growth.

[230]Laia Colomer, *Exploring Participatory Heritage Governance after the EU Faro Convention*, (Journal of Cultural Heritage Management and Sustainable Development 13, no. 4, January 1, 2021): 856–71.

[231] Council conclusions on participatory governance of cultural heritage, 2014/C 463/01, Official Journal of the European Union. In this document CoE recalled previous two documents: 1. the Council conclusions of 26 November 2012 on Cultural Governance that underlined the importance to make cultural governance more open, participatory, effective and coherent and invited Member States to promote a participatory approach to cultural policy-making; 2. the Council conclusions of 21 May 2014 on cultural heritage as a strategic resource for a sustainable Europe that recognized that cultural heritage has a cross-sectorial policy relevance and plays a specific role in achieving the Europe 2020 strategy goals for a smart, sustainable and inclusive growth, and called on Member States to promote long-term heritage policy models that are evidence-based and society- and citizen-driven.

[232] Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions; Towards an integrated approach to cultural heritage for Europe. European Commission, Brussels, 22.7.2014 COM(2014) 477 final.

Finally, in 2018 the Commission released a New European Agenda for Culture[233]. This document sees culture and participation as a tool of people brings people together, but also a empowerment, since culture is a "transformative force for community regeneration". It is something that fosters innovation, growth and job creation. Shortly, the Agenda reflected the evolution of the cultural sectors by setting three strategic objectives: 1. social dimension – harnessing the power of culture and cultural diversity for social cohesion and well-being, 2. economic dimension – supporting culture-based creativity in education and innovation, and for jobs and growth, 3. external dimension – strengthening international cultural relations.

Lastly, the CoE adopted the Resolution on the EU work plan for culture in the period 2023-2026[234]. This work plan sets out priorities to address the main challenges facing the cultural and creative sectors today and corresponding actions to address them. The resolution focuses on 4 different but complementary priorities: 1. artists and cultural professionals: empowering the cultural and creative sectors, 2. culture for the people: enhancing cultural participation and the role of culture in society, 3. culture for the planet: unleashing the power of culture, 4. culture for co-creative partnerships: strengthening the cultural dimension of the EU external relations. In relation to these priorities, the Resolution sets out also 21 actions covering specific issues, of which the most relevant are: access to culture cultural participation and democracy, the sectors' green and digital transitions, culture cultural heritage and climate change and quality-built environment.

This chronological overview of the main international and European legal framework highlights the increase of interest in innovative approaches during the decades and participatory governance is recognized in the sector of cultural heritage. Based on these flows, cultural heritage found its place also in Green Deal. Cultural heritage could offer green, sustainable solutions for the climate crisis by improving cultural heritage resilience[235]. It can also be noticed that there

[233] Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions; A New European Agenda for Culture. European Commission, Brussels, 22.5.2018 COM(2018) 267 final.

[234] Council Resolution on the EU work plan for culture 2023–2026, (2022/C 466/01), Official Journal of the European Union, Brussels, 29 November 2022.

[235] Strengthening cultural heritage resilience for climate change, Where the European Green Deal meets cultural heritage. This report summarizes the work of the EU Open Method of Coordination (OMC) group of Member States' experts on 'Strengthening cultural heritage resilience for climate change'. It is based on the discussions and information, provided and approved by the members of the OMC expert group in the meetings during 2021

is not a perspective of democracy and sustainability in cultural policy without citizen participation. Although international and EU law consistently led countries to adopt these approaches towards culture and cultural heritage, the competence to legislate these matters is left to countries or, in the EU case, Member States. Therefore, national policies should contribute to building participatory approaches in cultural context. One thing is certain: the goal can be achieved only if civil society plays a strong tole because civil society is a key for participation[236].

4.3 National level and local policies (Italian case)

The governance of cultural heritage operates within a complex legal landscape, where national and international regulations often intersect and, at times, come into conflict. This inherent tension arises due to the multifaceted nature of cultural heritage, which simultaneously holds local, national, and global significance. According to Lorenzo Casini[237] this complexity stems from the fact that cultural heritage attracts the interests of multiple stakeholders - both public and private, as well as national and international. The paradox is that many states aim to preserve their own property, while others adopt an approach of so-called "international multiculturalism". This legal tension brings into focus the broader theoretical debate between monism and dualism in administrative law. The fundamental question is whether international legal frameworks should be considered an integral part of national legal systems (monism), or whether they should remain distinct and operate in parallel with national regulations (dualism) [238], or better said, is the international regulation a part of national system or these two regimes are separate and parallel. In the context of cultural heritage protection, this debate has practical implications, influencing how states interpret and implement international conventions. In the case in which cultural heritage is understood as a driver for urban regeneration

– 2022 in addition to presentations given by the invited external experts. Luxembourg: Publications Office of the European Union, 2022.

[236]Žuvela, Ana, Davor Mišković, Dea Vidović, Leda Sutlović, and Mirko Petrić, *Do it Together: Practices and Tendencies of Participatory Governance in Culture in the Republic of Croatia*." (Kultura Nova Foundation, 2018).

[237]*Casini, Lorenzo, La globalizzazione giuridica dei beni culturali,)Aedon 3, 2012): 0-0.*

[238]Mario P. Chiti, *Monismo o dualismo in diritto amministrativo: vero o falso dilemma?, (*Mutazioni del diritto pubblico nello spazio giuridico europeo, Conferenze-seminari; 24 , 2003): 1000-1031.

tendency is the monist approach, particularly because, as mentioned above, the competence to legislate the matter of cultural heritage is mainly left to the national jurisdictions. Nevertheless, despite this growing convergence, the authority to legislate on cultural heritage matters remains primarily within the jurisdiction of national governments. This means that while international regulations provide guidance, financial mechanisms, and overarching legal principles, their implementation and enforcement largely depend on national legal frameworks and administrative structures. This underscores the delicate balance between state sovereignty and international cooperation in heritage protection—a balance that continues to evolve as cultural heritage becomes increasingly recognized as a shared global responsibility.

This paragraph examines how this has been done in the case of the Italian state and its legislation. Indeed, the Italian Constitution confirms its jurisdiction in the Article 117, by affirming that "*Legislative powers shall be vested in the State and the Regions in compliance with the Constitution and with the constraints deriving from EU legislation and international obligations. The State has exclusive legislative powers in the following matters… s) protection of the environment, the ecosystem and cultural heritage*". The same Constitution does not say much about cultural heritage, except the Article 9, which states that "*The Republic promotes the development of culture and of scientific and technical research. It safeguards natural landscape and the historical and artistic heritage of the Nation".*

In regard to cultural heritage, currently the ongoing regulation is the one from 2004, the *Code of Cultural Heritage and Landscape*, pursuant to Article 10 of law no. 137[239]. In the Article 6 named "Enhancement of the cultural heritage", point 3, the Decree points that "*The Republic encourages and supports the participation of private individuals or associations in the enhancement of the*

[239]This is a Legislative Decree No. 42/2004, pursuant to article 10 of law no. 137 (Codice dei beni culturali e del paesaggio, ai sensi dell'articolo 10 della legge 6 luglio 2002, n. 137). The article 10 of the law no. 137 refers to Delegation of authority for reorganization and codification in the areas of cultural and environmental heritage, entertainment, sports, literary property and copyright. The decree complies with the article 117 and 118 of the Constitution, adapts to the EU regulation and international agreements, and improves the effectiveness of the interventions concerning cultural goods and activities.

cultural heritage"[240]. Moreover, the Decree says that in accordance with the enhancement of the cultural heritage, the regions will exercise their legislative power in this matter. The decree also recalls the UNESCO Conventions from 2003 and 2005 in regard to the provisions related to the collective cultural identity. These are some of the principles of the current Decree which allow the conclusion that the Italian national legislation in the field of cultural heritage is in line with the international and EU regulation. Still, the Decree leaves a lot of power to regions to further elaborate the topic. Regarding the harmonization and transfer of competences, this is done through agreements with the regions. It is expressed mainly through the State-Regions Conference and the Unified Conference, which participate in the development of standards or agreements[241].

An important point of the above-mentioned Code of Cultural Heritage and Landscape is its Article 112 titled "The valorization of cultural heritage belonging to public entities", a crucial provision that outlines the framework for the valorization of cultural heritage, particularly focusing on activities initiated by public entities. While the title suggests it pertains to publicly owned cultural assets, Article 112 has a general validity for all publicly owned cultural assets, both internal and external to cultural institutions and places . It has a more limited scope for privately owned assets, requiring the consent of the interested parties. However, the sources suggest that the article's focus is broader, concerning valorization activities undertaken at the initiative of public entities, regardless of the ownership of the assets[242]. A significant aspect of Article 112 is its emphasis on consensual instruments, particularly "agreements," as a primary means for carrying out valorization activities. These significant legal and strategic instrument within the Italian framework for cultural heritage management and development represent a move towards collaborative governance, emphasizing shared strategic planning and the active participation

[240]Art. 6(3) La Repubblica favorisce e sostiene la partecipazione dei soggetti privati, singoli o associati, alla valorizzazione del patrimonio culturale.

[241]Angela Serra, Claudia Tubertini, and Leonardo Zanetti, *Autonomie Territoriali e Beni Culturali Dopo Il Codice Dei Beni Culturali e Del Paesaggio (Studio Commissionato Dalle Regioni Lombardia, Piemonte, Toscana, Umbria, Veneto)*, (Aedon, no. 2/2006, 2006).

[242] Zanetti, Leonardo, *La valorizzazione dei beni culturali di appartenenza pubblica (art. 112)*, (Aedon 1, 2004): 0-0.

of diverse stakeholders, including public entities and private actors. In other words, these agreements are fundamentally built on the principle of inter-institutional collaboration between the State, regions, local authorities and private actors. By emphasizing strategic planning, inter-institutional cooperation, and the active engagement of private stakeholders, these agreements provide a flexible and adaptable framework for promoting the knowledge, ensuring public access, and fostering the sustainable development. But there are some key criticisms to this arrangements; some authors find weak points in the way this institution is stipulated. Iacovone[243] criticizes the formal distinction, almost a conflict, drawn by the legislator between defining valorization strategies and the practical management of cultural assets. This division reflects a transition from a dominant public sector to a search for new balances with private entities and civil society, but the implementation of cooperative models like partnerships has limitations: despite advocating for a cooperative model, the existing regulations seem to retain ideological biases that exclude private entities from the definition of strategies. Another weak point lies in the lack of a clearly defined legal framework that outlines the scopes, roles, and types of interventions possible, especially concerning synergies and cooperation between different entities. Iacovone highlights the ongoing tension between the public interest that should guide valorization efforts, and the profit motive of private entrepreneurs involved. This manifests in the challenge of balancing the profitability of management with the social relevance of cultural heritage, considering constitutional principles. But overall, within the specific legal framework for cultural heritage, Article 112 represents a significant innovation, as prior to its introduction[244], the available mechanisms for the coordinated implementation of valorization initiatives were quite limited[245].

In regard to the mere participation and not limited only to the cultural heritage sector, its recognition can be found in the Constitution. The potential and

[243] Iacovone, Giovanna, *Pubblico e privato nella gestione dei beni e dei luoghi della cultura. Sussidiarietà e partecipazione, la forza dei legami deboli*. In *RIGENERAZIONE URBANA E CITTADINANZA ATTIVA. L'esperienza del progetto CAST*, Librìa, (2017), pp. 544-552.

[244] The previous Decree Law No. 112/1998 was limited focusing only on regional commissions and multi-year plans for inter-institutional collaboration.

[245] Zanetti, Leonardo, *La valorizzazione dei beni culturali di appartenenza pubblica (art. 112).*

diversity of actors in participation processes have its basis in the principle of collaboration (Article 2 of the Constitution) and the principle of horizontal subsidiarity (Article 118 of the Constitution). These principles are highly relevant and fully applicable within the cultural heritage context, as they emphasize multi-stakeholder collaboration. The quintuple helix model of governance aligns closely with these principles by promoting participatory governance, knowledge-sharing, and interdisciplinary approaches to the management of the urban commons, cultural heritage included. These ideas are further developed in regional laws, such as for example Umbria Region (Regional Law, 4 December 2006, No.16)[246], Tuscany Region (Regional Law 27 December 2007, No. 69)[247] and Emilia Romagna Region (Regional Law 4 February 2010. No. 3)[248].

Overall, Italian government is committed to promoting participation as a useful tool for public decision-making. With the 4th National Action Plan, in 2019, the government launched the open-source platform named ParteciPa[249], which is available to all central public administrations. One of the working groups on the Platform, which ended on 6 May 2023, is a Working Group for Culture and Sustainability.

These regulative dynamics at the national level created the basis for the emergence of many local operational tools for co-governance. Since 2014 with the Bologna Regulation many urban experimental regulations and policies have been established, in order to manage urban assets (commons). These policies refer to the urban commons in general, but since cultural heritage is an integral part of urban commons, they are applicable also in this context. The analysis

[246]Regional Law No. 16 of December 4, 2006 regulates the relations between the autonomous initiative of individual or associated citizens and social formations and the action of municipalities, provinces, the region, other local authorities and functional autonomies, in order to carry out activities of general interest, according to the principles of horizontal subsidiarity, simplification and for the promotion of the principles of social citizenship.

[247]Regional Law No. 69 on Participation, promulgated on Dec. 27, 2007, and published in the BURT on Jan. 3, 2008, is proposed as an innovative tool to incentivize and spread new forms and methods of participation, through the construction of new participatory institutions, paths and shared rulesto discuss large and small problems of a community, evaluate possible solutions through dialogue and confrontation, within defined time frames, in the preliminary stage that precedes the actual decision.

[248]With Legislative Resolution No. 115/2010 of Feb. 4, 2010, the Emilia Romagna Region approved the law " Norms for the definition, reorganization and promotion of consultation and participation procedures in the elaboration of regional and local policies. "The law aims to achieve greater involvement of citizens, economic operators, social partners and all expressions of civil society, in the strategic choices that affect the territory.

[249] The official link to the platform ParteciPa: https://partecipa.gov.it/?locale=en. Last access:4/6/2024.

showed that the best legal tools for co-governance are Collaboration Agreements (Pacts of Collaboration), Urban Civic Uses, Citizenship Agreements, Community Coops and Community Land Trusts[250]. Starting with the Bologna Regulation below will be given and overview of the Italian examples of local policies, which can be considered pioneers of such practices, as they are particularly innovative and inspiring.

4.3.1 The Bologna Regulation

In 2014 the City Council approved the "Regulation between Citizens and the City for the Care and Regeneration of the Urban Commons"[251] as a way to promote a new form of collaborative governance, as a part of the "Co-Bologna process". This is the first regulation in Italy but also at the international level, to introduce collaboration as a governance method of the city resources. The Regulation is addressed to a wide range of actors as residents and commercial businesses, encouraging them to collaborate. The toolkit of governance offered is a Collaboration Agreement (Pact of Collaboration) and it assists "active citizens", local entrepreneurs, knowledge institutions and other civil society organizations in co-designing a participatory, polycentric model of governing urban goods. These Collaboration Agreements could be long-term or short-term. It also tries to boost interactions between urban commons, the "collaborative economy," digital technologies and social innovation[252]. The Regulation also provides, in Title VI, different forms of support which can be monetary as financing or exemptions from levies and taxes, or technical, as assistance, access to municipal areas and forms of recognition. The objects of the Regulation are care and regeneration of urban commons (Title III) and care and regeneration of

[250]Christian Iaione, *Participatory governance in EU cities and its potential implementation in the cultural sector: the urban science and innovation partnerships as an enabling tool*, (Rivista Giuridica dell'Edilizia 66, no. 1, 2023): 37-93.

[251] "Regolamento sulla collaborazione tra cittadini e amministrazione per la cura e la rigenerazione dei beni comuni urbani", ODG n. 172, PG: 45010/2014, Data Seduta: 19/05/2014, Data inizio vigore: 16/06/2014, Comune di Bologna. The text of the Regulation translated in English is available, by the courtesy of LabGov - LABoratory for the GOVernance of commons at LUISS Guido Carli, here: http://www.comune.bologna.it/media/files/bolognaregulation.pdf. Last access: 5/6/2024.

[252]Foster and Iaione, *The City as a Commons*.

buildings (Title IV). Cultural heritage can be understood as both, especially as buildings[253]. Articles 14 and 17 address the co-governance of privately-owned or city-owned buildings that could serve a "social function". In this sense, the governance of these resources should be multi-stakeholder which should be further institutionalized through the creation of NGOs, Neighborhood Foundations, cooperatives, or other legal entities.

The Bologna Regulation has been put into practice and, over time, produced effects: the Foundation for Urban Innovation (FIU) has been formed, which is co-managed by the City of Bologna and University of Bologna. The foundation uses digital platforms, as well as live meetings, to promote collaborative decision-making methods and relational urban governance[254]. The FIU's role goes beyond simply facilitating participatory processes with non-institutional actors; its institutional nature and creative vocation drive it to design its own initiatives and govern those emerging from grassroots efforts. This collaborative governance model, inspired by traditional PCP models, targets citizen groups already formally organized as associations or committees. This continuity is formalized in the Regulation, which in Article 5 addresses the established "collaboration agreements" between the city and citizens' associations.

4.3.2 The Turin Regulation

Following the Bologna model, the Turin Regulation [255] was approved by resolution of the City Council on 2 December 2019, as an improvement of the previous Regulation dated 2016[256], after 4 years' implementation and on the

[253] In regard to UNESCO definitions, building are considered a cultural heritage. Indeed, in some of the case studies of Open Heritage project, the cultural heritage were buildings and premises.
[254] Antonio Vesco and Sandro Busso, *What Is 'Political' in Commons-Public Partnership? The Italian Cases of Bologna and Naples*, (International Journal of the Commons 18, no. 1, April 5, 2024): 246–59.
[255] Regulation on governing the urban commons in the city of Turin (Regolamento per il gpverno dei beni comuni urbani della città del Torino) , approved by resolution of the City Council on 2 December 2019, executive from 16 December 2019, in force from 16 January 2020, City of Turin. The text of the Regulation translated in English is available, by the courtesy of LabGov - LABoratory for the GOVernance of commons at LUISS Guido Carli, here: http://www.comune.torino.it/benicomuni/bm~doc/regulation-on-urban-commons.pdf. Last access:5/6/2024.
[256] Regulation on the collaboration between citizens and the city for the care, shared management and regeneration of the urban commons, 2016, Turin.

basis of the Co-City project experience. This is the adapted version of the Bologna Regulation which, differently from it, offers three new legal and institutional tools for the self-governance of the commons, besides the collaboration agreements. These option represent different levels and intensities of public-community collaboration. In fact, Title III of the Regulation, named "Self-governance of commons", under Article 14(1) says: "*The self-governance of urban commons takes the forms of civic and collective urban use, collective civic management, and the Commons Foundation*." This means that the Regulation offers two forms of urban commons co-governance: shared governance (collaboration agreement) and self-governance. Furthermore, the Regulation foresees an innovative model of self-sustainability of the urban commons expressed in the Article 3(e).

4.3.3 The Verona Regulation

The Verona Regulation[257] exists in its final version since 2019. Previously, it has been approved in 2021, by the full name of the "Regulation for the implementation of horizonal subsidiarity through intervention of active citizenship". The title of the regulation already implies that it relies directly on the principle of horizontal subsidiarity from Article 118 of the Constitution. The Regulation foresees the "Pacts of subsidiarity", a tool which allows individuals, associations, accompanies to choose to involve with the Municipality with projects or interventions in favor of the community. There are two ways of staring a pact, by publication of a call by the city to which actors can adhere or by citizens autonomous submission to the City Office responsible for the implementation of the Regulation.

[257] "Il Regolamento per l'attuazione della sussidiarietà orizzontale mediante interventi di cittadinanza attiva", approved by the City Counsil on the 2 Mach 2017 with deliberation n. 10, modified by the City Counsil with deliberation n. 47 on 16 September 2021.

4.3.4 The Reggio Emilia Regulation

The Regulation for Citizenship Agreements in Reggio Emilia adopts the "Collaboratory" as a tool for experimenting the agreements between local authorities and residents at the neighborhood level. The Regulation puts a strong focus on the valorization of the local know-how and the recognition of community rights as, for example, rights of use co-management and co-ownership. It strongly relies on the theoretical constructions of the city as commons[258] by applying to the idea of the "neighborhood as commons".

One of the particularities of the Reggio Emilia case is its relationship with the methodology of LUISS LabGov, not only through the "Reggio Emilia Collaboratory"[259] but also through the Horizon 2020 "EUARENAS – Cities as arenas of deliberative democracy"[260] project. In particular, the city is a pilot of the project through the strategy on Neighborhood Councils, applying also the "Tech and the City" approach to urban and climate justice goals[261]. The project applies different forms of citizen participation which will transform the governance culture of the city.

4.3.5 The Naples Resolution

Naples' journey toward urban commons began in 2012 with the informal management of a former convent known as 'Asilo Filangieri,' a historic building in the city center owned by the City of Naples. The community that initiated this informal management primarily consisted of artists protesting against high unemployment and precarious working conditions in the cultural sector. The building had been loaned to a foundation responsible for organizing UNESCO's

[258] Sheila R. Foster and Christian Iaione, *The City as a Commons*.
[259] Christian Iaione, *Participatory governance in EU cities and its potential implementation in the cultural sector: the urban science and innovation partnerships as an enabling tool*.
[260] The official website of the project: https://www.euarenas.eu/. Last access: 6/6/2024.
[261] "Reggio Emilia's Strategy: From Neighborhood Councils to Partnerships for Sustainable Development and Innovation | LabGov," accessed June 10, 2024, https://labgov.city/commonspress/reggio-emilias-strategy-from-neighborhood-councils-to-partnerships-for-sustainable-development-and-innovation/.

Universal Forum of Cultures, an event the occupants felt did not adequately utilize local cultural assets. Instead of viewing Asilo Filangieri as merely an “occupied space”, the occupants began to see it as a common asset. They transformed it into a cultural and arts center, making means of production, such as theater stages and craft materials, freely accessible to everyone. The Asilo commoners, working closely with civil servants from the Municipality’s Department for the Commons, collaboratively drafted a “Declaration of Urban Civic and Collective Use”. This declaration ensures the usability, inclusiveness, fairness, and accessibility of Asilo’s spaces and infrastructures. The Asilo experience was just the beginning of the Naples journey towards the commons which led to the implementation of the series of resolutions. The Declaration of the Asilo was officially recognized by Naples City Government Resolution No. 893/2015 as the public regulation of the building. This action by the local administration acknowledged not only the right to access but also the right to directly administer the building itself. The process culminated in 2016, with a new resolution (n.446) enabled other public spaces to adopt the civic use model of the Asilo and be declared as “emerging urban commons”. In addition to the Asilo Filangieri, in fact, seven public proprieties were recognised by the City Council of Naples as “relevant civic spaces to be ascribed to the category of urban commons”: Ex-Convento delle Teresiane; Giardino Liberato; Lido Pola; Villa Medusa; Ex-OPG di Materdei; Ex-Carcere Minorile – Scugnizzo Liberato; Ex Conservatorio S. Maria della Fede; Ex- Scuola Schipa.

In this way the city introduced innovative legal design principles, governance arrangements, and urban policy tools to support this initiative. This toolkit was later acknowledged by Urbact as a best practice in sustainable urban development and became the foundation of the URBACT transfer network, "Civic eState." The case of Naples focuses on transforming building complexes and urban welfare services into urban commons. Its innovative potential lies in facilitating the collective management of essential urban facilities through a public-community governance approach.

4.4 Through the lenses of CooperACTiva's statute

CooperACTiva was established[262] on the 19 December 2018 for the purpose of developing, producing and offering community services, and development of the territory. It defines itself as a neighborhood cooperative, which is a type of community cooperative, the latest step in the evolution of cooperatives. This type of cooperatives gradually emerged as a need to solve new collective problems, as an example, shortage of social services or poor quality of services offered by public administration. In other words, they developed with the need to regenerate the socioeconomic fabric and support local development.

Already in the Constitutional Act, in the Article 2 it says that the cooperative is "*not made for speculative purposes but intends for members to participate in cooperative activities and the benefits of mutuality derived from them."* This reflects Article 45 of the Constitution, saying that "*The Republic recognizes the social function of co-operation of a mutually supportive, non-speculative nature. The law promotes and encourages cooperation through appropriate means and ensures its character and purposes through appropriate checks. The law safeguards and promotes handicrafts*". It recalls participation and mutual support and benefits. The same Article of the Constitution Act further lists the objectives of CooperACTiva. Point 4 refers to cultural heritage and underlines as an objective:

"*The promotion of culture, urban creativity, including digital creativity, and the tangible and intangible cultural heritage of the neighborhoods and territories referred to in the preceding paragraph, in deference to the dictates of the Faro Convention on the value of heritage cultural heritage for society*".

The Constitutional Act immediately refers to the Faro Convention and obliges itself to adopt its values and to be in line with its provisions. In fact, since 2018 Co-Roma has been a member of the Faro Convention Network and by that, also

[262]CooperACTiva had its constitutional act and statute registered at Agenzia delle Entrate (National Revenue Agency) Albano Laziale on 2 January 2019 under number 34, Serie 1T.

CooperACTiva (being a part of Co-Roma project) benefited from that membership. In addition to that, point 8(l) provides that:

"*For the purpose of achieving the corporate purpose, the company may … restore cultural assets, regenerate urban commons, equip neighborhoods with spaces for the agriculture in the city, regenerate unused, underused or abandoned industrial spaces;"*

All of these consideration are then repeated in Article 5(4) of the Statute. Next, it is important to reflect on Title III, Article 6, which refers to the membership of the cooperative, as it is an indicator of the inclusiveness of society. Thus, for the admission to the cooperative the rule of "open door" applies. It means that anyone can submit the request for admission, "*natural and legal persons, public bodies, other private entities and companies*", as long as they *"have an interest in becoming users of the services rendered by the cooperative in accordance with the corporate purpose and who have their residence or domicile or operate in the area in which the social activity is carried out or express a specific interest in the area".*

It can finally be concluded that CooperACTiva, according to its statute, reflects – first of all – the national regulatory framework, respecting Articles 9, 45 and 117 of the Italian Constitution. Not only that, but the statute is also in line with and complementary to the international regulation observed above. Finally, it can be said that CooperACTiva is an adequate legal form for a heritage community as it is characterized by awareness of the resource value of its cultural heritage, a sense of belonging, inclusiveness, collaboration, a common interest in heritage-led joint actions, shared civic responsibility towards cultural heritage.

5. Conclusion: the foundations for the further analysis

This exhaustive analysis laid theoretical foundations which justifies the hypothesis of cultural heritage as a sustainability model for reaching an equal and just society, set up in the research question. It navigates the complex terrains of vulnerability and cultural identity, positioning cultural heritage not

merely as a static asset but as a potential catalyst for the empowerment of vulnerable communities. By exploring diverse theoretical perspectives on equality and multidimensionality of vulnerability, the chapter establishes a compelling and robust rationale for addressing social and economic inequalities that contribute to vulnerability of a heritage community and leans strongly on the substantive equality as a principle that justifies the collective bottom-up actions while exercising a right to positive freedom. The positive freedom of a community to strive towards regeneration and just society is conditioned by a negative freedom, or better said, a lack of obstacles to do so. These principles give validation to the bottom-up actions that lead to the urban regeneration. And urban regeneration is the tool to overcome inequalities and ensure urban security[263]. The chapter showed how precisely a new role of a cultural heritage can be a platform for opportunities, increasing social inequality and vulnerabilities and urban regeneration.

Now, the next step is to empirically prove that the heritage community can become resilient and sustainable relying on these concepts. But movement towards sustainable communities requires a new kind of "ecosystem" in which there is significant change in structures, attitudes, and values. Sustainable development of a community requires a shift of the capacities from individuals towards the community as a group of people bonded by the sense of belonging.

It is the human right of individuals and communities to engage in overcoming their own vulnerabilities. It is also a human right to overcome the tragedy of its own cultural commons. Having said that, this analysis opted without any hesitation to Ostrom's concept of commons which, applied to the concept of urban commons to which cultural heritage belongs, justifies the bottom-up initiatives of heritage communities to use what they have right to use and directly challenges traditional top-down approaches. Communities are also encouraged to use it, under present legal and policy arrangements. In that sense, commons are human rights as a locus of freedom and innovation. Collaborative approach chosen in this study is based on the principle of subsidiarity, civic autonomy and civic collaboration and the framework of the

[263] Giglioni, Fabio, and Francesca Di Lascio, *La rigenerazione di beni e spazi urbani. Contributo al diritto delle città*, (Stampa, 2017): 1-414.

urban co-governance of the cultural commons challenges the current understanding of how cultural heritage is governed.

The analysis of existing legal instruments reveals significant limitations in the capacity of current frameworks to fully support the transformative potential of cultural heritage. While it is evident that the cultural sector is gaining increasing recognition across multiple legislative levels - international, European, and national (referring to the Italian legal system), the practical application of these legal structures seems to remain inadequate in providing the necessary tools for cultural heritage to act as a catalyst for local economic revitalization and community resilience. Despite the growing integration of cultural policies into broader regulatory frameworks, there is still a lack of sufficiently developed legal mechanisms that can enable cultural heritage to function as a strategic tool for reducing community vulnerability and fostering socio-economic regeneration. The existing legal provisions on public-private partnerships (PPPs), which are often promoted as a means of enhancing heritage governance and management, do not always align effectively with the practical needs and challenges faced by heritage sites and local communities. The way these partnerships are structured within the regulatory framework often fails to reflect the complex, interdisciplinary nature of cultural heritage governance. Furthermore, while the legal framework acknowledges the role of multi-stakeholder governance, it does not always provide the necessary institutional support, financial incentives, or administrative flexibility to facilitate effective cooperation between public authorities, private entities, and civil society. The rigidity of some regulatory mechanisms may, in fact, hinder rather than encourage adaptive and innovative approaches to cultural heritage valorization. Further empirical analysis will determine whether the current legal and policy instruments are indeed insufficient or if they can, with proper implementation, effectively support the integration of cultural heritage into local economic strategies. in connection to that, the analysis will show if the cultural heritage reuse initiatives can be of a fully bottom-up nature or the intervention of the public sector is indispensable, and at what level.

In conclusion and based on everything said above, this study will further prove that cultural heritage as a community tool towards resilience and sustainability can be truly defined in several ways:

1. Cultural heritage as a driver for inclusive economic development;
2. Cultural heritage as an enabler for social cohesion, inclusion, and equity;
3. Cultural heritage and historic territories of cities as a driver for the improvement of livability, quality of life, sustainability of the urban area, and all-over urban regeneration.

Chapter III - Analysis of case studies: local communities, cultural heritage, and sustainable development

Summary:

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2. The H2020 Open Heritage project context.

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2.4 Case n. 4 – Sunderland (United Kingdom). 2.4.1 The vulnerability of the local community and cultural heritage. 2.4.2 The governance model: legal form and the stakeholders. 2.4.3 The Open heritage project: results until now.

2.5 Case n. 5 – Warsaw (Poland). 2.5.1 The vulnerability of the local community and cultural heritage. 2.5.2 The governance model: legal form and the stakeholders. 2.5.3 The Open heritage project: results until now.

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and results until now. 3.2 Novi Sad (Serbia) – Almaški Kraj. 3.2.1 The governance model and results until now. 3.3 Preliminary observations of the Faro Convention Network support cases.

4. Discussion and findings. 4.1 Study cases within the framework of Public-Private-Community Partnerships theory. 4.2 Study cases within the framework of the Co-City protocol. 4.3 Conditions for success and problems emerging from the analysis. 4.3.1 Enabling state condition and challenges. 4.3.2 Co-governance condition and challenges. 4.3.3 Financial condition and challenges. 4.4 Observations from the regulatory perspective.

5. Conclusion: what can be next?

1. Introduction to the chapter

Based on previously set theorical concepts and criteria (Chapter II) this chapter undertakes the empirical analysis of case studies that explores the relationship between local communities, cultural heritage and sustainable development. In other words, this chapter answers the research questions in practical way, showing the feasibility of bottom-up regeneration processes within the heritage-driven communities in vulnerable contexts.

This chapter is structured to provide a holistic overview of the selected case studies, offering a rich narrative that captures the essence of each community's journey. The subsequent sections will search through the contextual background of each case, highlighting the challenges and obstacles faced, together with the outcomes achieved. Through the analysis of these case studies practical insights are distilled that can contribute to understanding the delicate balance between cultural heritage preservation and sustainable development.

Furthermore, this chapter examines governance models and legal tools that can overcome community vulnerabilities and activate sustainable development. The emphasis is on exploring new paths beyond the traditional structure of public-private relations in cultural heritage management.

In the end, particular attention is given to the future initiatives of case studies and their further development.

1.1 Common structure for the analysis: descriptive and empirical approach – methodology of the chapter

As the main question behind this analysis is whether a multistakeholder cooperation can be built on a cultural heritage as a central concept in a local community in order to lead to urban regeneration, resilience, and financial sustainability of a vulnerable community, the study will be concentrated on the results of Open Heritage project[264] and the activities of its six Cultural Heritage Labs (hereinafter CHLs). All the cases are comparable in terms of circumstances and final expected results. To make this analysis more solid and to obtain further confirmation of its results, two other case studies will be briefly discussed. The subjects of this further analysis are two members of the Faro Convention Network (hereinafter FCN)[265], a pan-European network of heritage communities working in line with the principles and criteria of Faro Convention[266]. This seems appropriate, given that these two contexts are compatible for many reasons. Both in Open Heritage project and FCN cases the central actor is a heritage community, based on the same definition of the heritage. Their final objective is urban regeneration and improvement of the state of vulnerability, but also preservation of the heritage in their proximity. Participatory governance is an adopted model in both. The final confirmation of these statements is Rome CHL study case, which acts as an Open Heritage collaboratory but it is also a member of FCN. The difference between Open Heritage study cases and FCN study cases is the starting point: some of the Open Heritage communities did not constitute spontaneously but for the goal of the project, differently from FCN cases which are completely spontaneous and of a bottom-up nature. This furthermore implies also the initial financing model: Open Heritage cases departed with the Horizon 2020 fundings, while FCN cases did not have that opportunity. This

[264] Open Heritage project. This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 776766. See: OpenHeritage – People. Places. Potential. Last access 5 September 2023.
[265] See: Faro Convention Network (FCN) - Culture and Cultural Heritage (coe.int). Last access 5 September 2023.
[266] "The Council of Europe Framework Convention on the Value of Cultural Heritage for Society" (or the Faro Convention) is a multilateral Council of Europe treaty in which states agree to protect cultural heritage and the rights of citizens to access and participate in that heritage. Signed on 27 October 2005 in Faro, Portugal. It came into force on 1 June 2011 after being ratified by ten states.

might actually be benefitting for the analysis, since this can show more clearly the role of financial models in the very beginning of the community's life and how it could influence its further path.

A particular attention will be dedicated to the Open Heritage Case n.1 - Rome, Italy and CooperACTiva. The reason for this lies in the fact that during the research the Ph.D. candidate was actively involved in CooperACTiva's activities, particularly the ones regarding the Open Heritage project. This involvement and the field research guaranteed direct access to the project documentation and experience and therefore – a higher level of reliability. Another reason for this focus is that the national legal framework under more in-depth examination is the Italian legal system, which serves as the regulatory environment within which CooperACTiva operates.

Hence, the research design chosen for this chapter is case-oriented, using an empirical qualitative analysis strongly inspired by Institutional Analytical and Development Framework (hereinafter IAD)[267]. During the creation of the Analytical Frameworks also Ostrom's and Nagendra's SES[268] framework has been taken into consideration, as a framework that provides guidance on how to assess the social and ecological dimensions that contribute to sustainable resource use and management[269]. These methods is the most appropriate given the nature and quantity of data, but also because they have been designed by Ostrom and her collaborators in order to facilitate analysis of processes through which individual and collective choices occur. In that sense, the action arenas of the study cases in question fit perfectly Ostrom's framework on commons. Furthermore, the quantity and quality of data allows the conduction of an interdisciplinary examination, with variables merging from commons literature. This choice can also be justified in the literature; Bertacchini et al.[270] argue that

[267]Elinor Ostrom, *Background on the Institutional Analysis and Development Framework,* (Policy Studies Journal, 2011), 39: 7-27;
Michael D McGinnis, *An introduction to IAD and the language of the Ostrom workshop: a simple guide to a complex framework*, (Policy studies journal 39, no. 1, 2011): 169-183., 39: 169-183.

[268] This framework has been applied for the first time in the case of the assessing the urban lakes in India, Bangalore.

[269] Harini Nagendra and Elinor Ostrom, *Applying the Social-Ecological System Framework to the Diagnosis of Urban Lake Commons in Bangalore, India*, (Ecology and Society 19, no. 2, 2014).

[270] Bertacchini, Enrico, Giangiacomo Bravo, Massimo Marrelli, and Walter Santagata, *Cultural commons: A new perspective on the production and evolution of cultures In Cultural Commons*, (Edward Elgar Publishing, 2012).

this analytical approach has been adopted to analyze commons in different contexts, including those that fall under the category of humanly constructed commons, obviously including also cultural heritage commons.

The data from CHLs have been collected and inserted into the analytical grid which allowed further coding. The analytical framework areas from the grid reflect the Open Heritage project principles combined with the variables representing the Co-City principles[271] and at the same time derive from the theoretical fundaments analyzed in the previous chapter. The theory on the vulnerability of the heritage community is covered by the analytical area "Heritage Community" which describes the starting point of a community, the context of its vulnerabilities and its needs. Related to the community there is the vulnerability of the heritage asset which is described by the "Description of the heritage asset" analytical framework area and gives the information that help to better understand the circumstances in which that asset is. "Organizational / legal structure and governance" is an analytical area that refers to the theory of polycentricity of the governance model; these data indicate how many helices are present in a study case, and what actors are involved. It also shows the level of involvement of public administration and presence of top-down initiatives. "Financial and sustainability model" offers information regarding resilience as a final objective of urban regeneration processes. At the same time, it gives also information on the success of a study case. On the other hand, the concrete objectives of the Open Heritage project are reflected in the first four questions of some of "Success criteria" analytical framework area, together with the Co-City principles.

Analytical framework areas	Key elements
Description of the heritage asset	・Type and characteristics of the asset? (building, an area, an immaterial asset or a digital environment) ・Ownership model: to whom does the property over the asset belong?

[271] Sheila R. Foster and Christian Iaione, *Co-cities: Innovative transitions toward just and self-sustaining communities*, (MIT Press, 2022).

	・Adaptation program and objectives: what are the goals? ・Target group: Who will use the asset?
Organizational / legal structure and governance	・Is the community organized and is it commited to a legal structure? If yes, which? ・Are the private companies and NGOs involved? ・How are national and local authorities involved? ・Who are the decision makers and what is the decision-making process? ・Are universities and educational institutions involved? ・What challenges have emerged to achieve an effective co-governance of the asset, in both the short and long term?
Heritage Community	・Level of vulnerability of the local community? ・Type if district (urban or rural) ・Did the project contribute to the creation of a strong heritage bond in the community? ・What value and benefits are being delivered to the stakeholders (local community)?
Financial and sustainability model	・Can the community raise income to cover investments or daily activities (e.g. by selling products, volunteering)? ・Is there any income from the private sector? ・Is there any income from the public sector? ・Job creation? ・What is the economic sustainability strategy for the future period?
Success criteria = some of the project's objectives + Co-City design principles	・Successful implementation of the inclusive re-use model that strongly focuses on community engagement and community building? Did the project contribute to the creation/strengthening of the heritage community? ・Creation of the sustainable economic ecosystem on the local level? Did the project contribute to the creation of a sustainable microeconomy capable of surviving after the project ends?

	·Successful revitalization/renovation of the asset and making it accessible to local community? ·Did the project help overcoming the vulnerability issues? ·Co-governance? ·Enabling State? ·Urban experimentalism ·Poolism? ·Tech justice?

TABLE 1: *ANALYTICAL GRID FOR THE CODING OF THE OPENHERITAGE RESULTS*

The collection of data comes from the following sources:

a) Direct researcher's observations and participation in the field. Data were collected through fieldwork notes, meeting reports etc. This particularly applies to CooperACTiva (Rome CHL) case.

b) Examination of Open Heritage documentation produced during the project. Most of the documentation is available on project dissemination channels such as Open Heritage website [272] and websites of every individual CHL [273]. Furthermore, different documents and individual reports used for the preparation of deliverables during the project have been used.

c) Questionnaires. Questions prepared are regarding partnerships and community engagement, governance and legal aspect and financial

[272] OpenHeritage – People. Places. Potential. Last access: 28/12/2023.
[273] Rome CHL: Co-Roma. Last access: 28/12/2023.
Sunderland CHL: 170-175 High Street West Collaborative Lab - Sunderland (openheritage.eu). Last access: 28/12/2023.
Hof Pradikof CHL: Hof Prädikow - nicht nur ein Wohnprojekt in Brandenburg (hof-praedikow.de). Last access: 28/12/2023.
Lisboa CHL: Lisboa Heritage Lab Participatory Platform (openheritage.eu). Last access: 28/12/2023.
Pomaz CHL: Üveghegy Örökségműhely (openheritage.eu). Last access: 28/12/2023.
Praga CHL: Praga Lab (ohpraga.pl). Last access: 28/12/2023.

structure, and addressed to the labs. These questions follow the structure of the analytical grid. The interviews have been conducted in the period of six months in 2023/24. Because of the feasibility constraints not all the CHLs have been interviewed, for an example Pomaz CHL. In this case, the available project documentation has been used in order to reconstruct the case study in the best possible way.

d) Sources of indicators of the socio-economic and institutional profiles of the community in question, wherever it was possible.

Eventually, all of these data were codified[274] in the above-mentioned analytical grid[275] and observed horizontally and vertically. This allowed both descriptive and comparative approach to the eight cases. In fact, the first part of the analysis is purely descriptive, which allows to better understand the narrative of each case. Next, the analysis becomes comparative. In this way each element of the case is studied and compared to the elements of the other cases.

2. The H2020 Open Heritage project context

As already underlined, the management of heritage and cultural environment is more and more seen as an integral part of cities and neighborhood ecosystems[276]. Hence, the participatory governance of these aspects is an increasingly investigated topic. Participation in heritage management has often been heard in policy making on a national as well as international level[277]. In 2018 this has been recognized by the, at the time, future partners of the project. Open

[274] Jennifer Mason, *Qualitative Researching*, (Sage Publications, 2002);
Johnny Saldana, *The Coding Manual for Qualitative Researchers*, (Sage Publications, 2021, 1–440.
[275] Both of the analytical grids with accompanying material, relative to Open Heritage cases and FCN cases are available for the further consultation at the end of the study, in the section of Annexes.
[276]Christian Iaione, *Participatory governance in EU cities and its potential implementation in the cultural sector: the urban science and innovation partnerships as an enabling tool*, (Rivista Giuridica dell'Edilizia, 2022): 1-45.
[277] Parkinson, Arthur, Mark Scott, and Declan Redmond, *Competing discourses of built heritage: lay values in Irish conservation planning*, (International Journal of Heritage Studies 22, no. 3, 2016): 261-273.
David Harvey, *Heritage pasts and heritage presents: Temporality, meaning and the scope of heritage studies*, (International journal of heritage studies 7, no. 4, 2001): 319-338.

Heritage (**O**rganizing, **P**romoting and **En**abling **He**ritage **R**e-use through **I**nclusion, **T**echnology, **A**ccess, **G**overnance and **E**mpowerment) received funding from the European Union's Horizon 2020 research and innovation program under the Grant Agreement n. 776766. The project started in 2019 and successfully ended in 2022. The Covid pandemic in 2020 caused some of the CHLs to reconsider their initial action plans[278] and substitute some of the tasks with a series of webinars conducted in spring 2020. On the other hand, this situation also provided the opportunity to review and reflect on what was happening in CHLs[279].

The main premise of the project is the concept of *open heritage*, which refers to heritage as tangible and intangible value, as accessible as possible to everyone. These values are defined as commons by the project in the terms of Ostrom's ideas, and in that sense should be managed by complex partnerships in which the local community should have a pivotal role. The project, in the end, aims at creating, testing, and optimizing an inclusive governance model of adaptive heritage re-use. The point of departure is the possibility of empowering the community in the redevelopment process of cultural heritage sites, both locally and on a wider scale, based on the concepts of heritage community and participatory culture.

The six CHLs are adaptive re-use laboratories that relied on interdisciplinary knowledge to make use of the findings of the evaluation results as well as the analysis of the Observatory Cases[280]. These CHLs are strategically located in diverse geographical regions, encompassing various types of heritage, with the aim of formulating models that can be easily transferred and adapted across

[278] For example, the Rome CHL, whose activities were presence intensive, shifted to a virtual mode of work and collaboration and opted to put a higher focus on the digitalization. The Co-Roma platform, previously built, has been revised and rebuilt in order to make it suitable for co-design, collaboration and organization, financing through the tools of crowdfunding. It also made possible the promotion of local goods and services through the platforms e-shop. More o this topic in chapter IV. Chi Siamo – Co-Roma. Last access: 28/12/2023.

[279] See: Open Heritage project, Grant Greement No. 776766, Deliverable 4.6 - Updated Local Action Plans of the CHLs, delivery date: November 2020., Updated-Local-Action-Plans-of-the-Cooperative-Heritage-Labs.pdf (openheritage.eu). Last access: 28/12/2023.

[280] These are the cases that provided an important knowledge resource for the Open Heritage project. 16 Observatory Cases had been chosen to reflect different experiences around Europe prior to Open Heritage, both of top-bottom and bottom-up examples. More about Observatory Cases in Observatory Cases Report, Open Heritage Deliverable 2.2, November 2019. Available at: D2.2_Observatory_Cases_Report.pdf (openheritage.eu). Last access: 28/12/2023.

Europe. These initiatives span urban, peri-urban, and rural areas alike. From a once working-class neighborhood in Warsaw (Poland) to an industrial complex in Berlin (Germany), a peri-urban heritage site in Lisbon (Portugal), a historic peripheral neighborhood in Sunderland (UK), an archaeological park on the outskirts of Rome (Italy), and a natural heritage site in Pomáz, part of the Budapest agglomeration (Hungary), these CHLs cover a broad spectrum.

Heritage, as defined by the project, refers to buildings, complexes, spaces and intangible goods that hold symbolic or practical significance for local or trans-local communities. This definition aligns with the concept of cultural heritage as outlined by UNESCO (Chapter II), which emphasizes both tangible and intangible dimensions of heritage and underscores its role in shaping collective identity and fostering social cohesion. By integrating this perspective, the definition ensures consistency with internationally recognized heritage frameworks. The premise underlying these initiatives is that abandoned or underused sites, whether officially recognized or with untapped potential, present not only a considerable challenge for both the public and private sectors but also offer significant opportunities for fostering community cohesion, promoting social integration, initiating innovative bottom-up economic activities, and generating employment. Moreover, the overarching idea is to establish connections with broader regional development endeavors, emphasizing the potential application of heritage-related concepts and actions within larger revitalization programs. These heritage initiatives are envisioned as catalysts for social integration and economic development.

In practice, the project is fundamentally rooted in the concept of heritage vulnerability, even though it does not explicitly define it. The underlying approach focuses on the requalification and adaptive reuse of heritage sites as a means to enhance community resilience by fostering job creation and financial sustainability. By transforming heritage assets into economically and socially viable resources, the project seeks to mitigate their vulnerability and integrate them into the local socio-economic fabric. To achieve this, the initiative actively tests and implements participatory governance models, emphasizing collaborative decision-making and community engagement. By applying Ostrom’s principles, the project explores innovative governance structures that

empower local communities to take an active role in heritage preservation, management, and economic development.

2.1 Case n. 1 – Rome (Italy)

The Rome Cooperative Heritage Lab (hereinafter the "Rome CHL") project addresses communities located in South-East Rome living in the Alessandrino, Centocelle and Torre Spaccata neighborhoods (hereinafter the "ACT heritage district") and it aims at fostering the social, economic and cultural development of that area. Rome CHL is construed within the Co-Roma social partnership, and it builds on the results of the Co-Roma project[281].

Co-Roma project actually started in 2014 as a research initiative that aimed at implementing the principles of urban co-governance and the "Co-City protocol" toolkit (which will be later applied in the analysis), to experiment with urban cooperativism in Rome. The "Co-City protocol" is a methodological framework developed in order to define conditions which characterize city as a commons. The community mapping at the neighborhood level led to the conclusion that the most appropriate area to be selected for experimentation is precisely the "ACT heritage district" because of its low indicators in relation to the social and economic vulnerability[282].

In 2018 Co-Roma adhered to Faro Convention Network and it is also included in Open Heritage project as "Rome CHL". As a part of the project, it is experimenting the possibilities of economical sustainability of the area based on reuse of the cultural heritage.

2.1.1 The vulnerability of the local community and cultural heritage

[281] Official website of the project is: www.co-roma.it. Last access: 28/12/2023.
[282] "Co-City protocol" has been developed by LabGov as a result of field-experiments in several Italian cities and 200+ global case studies and in-depth investigations run in more than 100 cities from different geopolitical contexts. The complete study is available here: The Co-Cities Open Book | LabGov

Alessandrino, Centocelle and Torre Spaccata districts belong to municipalities V and VII of Rome and they are considered to be some of the city's most underdeveloped districts. These areas are also the most densely populated neighborhoods of the city with a fragile social-economic situation. According to the city statistics from 2022[283], these municipalities are characterized by low-income levels, foreign residents and migrants, school failures and high unemployment rate.

Beside the above-mentioned, this area has a strong heritage value, since several archaeological sites are sited with remains from Roman, Medieval and Post-industrial times. Unfortunately, for years they have been unexplored or abandoned. The tangible heritage of the area is mainly concentrated around the Park of Centocelle. It is rich in history, and it contains many archeological remains such as Roman villas, traces of the first Italian airport from 1909, catacombs etc. In addition to these tangible abundance, ACT area is also rich in intangible patrimonial goods as there are many artisans and small producers. A notable particularity of the area is also a natural and faunal heritage[284].

These resources represent a great potential for economic and social development of districts, but they are not accessible. Furthermore, some areas of the park are experiencing abusive occupations, or are simply closed for the safety reasons[285]. In the interview conducted on 30 November 2023, the president of CooperACTiva Mr. Urio Cini stated:

"... it was kind of a battle against the lifestyles and cultural levels because one of the goals was raising awareness of this kind of topics, but the problem was also a lack of interest from the side of public (administration) which should have been an important ally.[286]*"*

[283] City statistics refers to *Bolletino Statistico* from January-March 2022. It is a tool that the City of Rome adopted in 2021 in order to diffuse statistical data relevant for the city in the previous calendar year. Bolletino Statistico 2022 can be found here: https://www.comune.roma.it/web-resources/cms/documents/04_Bollettino_statistico_Marzo_2022.pdf. Last access: 28/12/2023.

[284] Christian Iaione, and Elena De Nictolis, *Heritage-based community economic development in vulnerable neighbourhoods*, (The Faro Convention work in Europe: selected examples. Council of Europe, 2022).

[285] Information based on insight research experience observation during the project.

[286] Original text: "... è stata un po' una battaglia sia contro di stili di vita e livelli culturali che poi uno dei obiettivi appunto era questa sensibilizzazione rispetto a questo tipo di temi culturalmente, però c'era anche un problema

FIGURE 5*: PICTURE FROM THE PRESENTATION OF NATURAL AND ARCHEOLOGICAL VALUE OF THE ACT AREA, ORGANIZED BY COOPERACTIVA AND COMITATO PRATONE DI TORRE SPACCATA, PIAZZA DELL'ACQUEDOTTO ALESSANDRINO, MARCH 31, 2023. SOURCE: STEFANIJA HRLE AIELLO*

2.1.2 The governance model: legal form and the stakeholders

The Rome CHL operates through the neighborhood-based cooperative called "CooperACTiva". It has become a common forum for dialogue among various stakeholders in the district, including the Heritage Community for Centocelle Archaeological Park, Fusolab 2.0. etc. which have been active for many years in the district. Since the community enterprise is a cooperative, it has a democratic structure and economic form. Its governance structure is modeled after modern hybrid organizations, which strive to achieve a social objective while retaining the structure and traits of a company.

The basis for the establishment of a cooperative can be found in the Article 45 of the Italian constitution:

> *"The Republic recognizes the social function of co-operation of a mutually supportive, non-speculative nature. The law promotes and encourages cooperation through appropriate means and ensures its character and*

diciamo di disattenzione da un punto di vista dal pubblico che invece dovrebbe essere un alleato importante." Citation, Urio Cini, president of CooperACTiva, interview conducted on the 30 November 2023. Author's translation. Available in the Annex of this study.

purposes through appropriate checks. The law safeguards and promotes the handicrafts.[287]*"*

Furthermore, the Italian Civil Code regulates cooperatives applying specific norms[288] on cooperatives and general norms on Joint Stock Companies[289] and Limited Liability Companies[290]. Last but not least, CooperACTiva is conducted in accordance with its Constitution Act and Statute which are in harmony with the above-mentioned Italian legislation[291]. Indeed, the Constitution Act states that CooperACTiva does not have speculative objectives but has an intention of allowing the members to participate in the cooperative activities based on mutuality[292].

CooperACTiva has another important peculiarity: it is a Neighborhood Cooperative, a type of a Community Cooperative which is the latest step in the evolution of cooperatives. As such, it is the first cooperative of that kind in the complex urban context. It represents a model of social innovation which started its development as a response to a need to regenerate the socio-economic layer of a local territory. Community Cooperative is oriented around human resource, in which citizen is a producer but also beneficiary of goods and services. Its goal is to produce advantages for the whole community. Up to this moment there is no any formal definition of a Community Cooperative although the legislator acknowledged its existence by making certain steps as, for example, Feasibility Study[293] made by Ministry of Economic Development in 2016.

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[287] The original text of this Article is: "La Repubblica riconosce la funzione sociale della cooperazione a carattere di mutualità e senza fini di speculazione privata. La legge ne promuove e favorisce l'incremento con i mezzi più idonei e ne assicura, con gli opportuni controlli, il carattere e le finalità. La legge provvede alla tutela e allo sviluppo dell'artigianato." Texts both in Italian and English can be found on the website of the Italian Senate.

[288] c.c. Book V, Title VI, Chapter I, arts. 2511-2545

[289] Co. or Joint Stock Company corresponds to S.p.A or Società per azioni, regulated by c.c. Title V, Chapter V, 2325-2451.

[290] LLC (USA)/Ltd (UK) or Limited Liability Company corresponds to S.r.l. or Società a responsabilità limitata, regulated by c.c. Title V, Chapter VII, arts. 2462-2483.

[291] Art. 3 (Norme Applicabili), Statute of CooperACTiva, n. 1875, Raccolta n. 1108, registered in Revenue Services Agency (Agenzia delle Entrate), Albano Laziale office, 02/01/2019, n. 34, 1T.

[292] Art. 2, Constitution Act of Cooperactiva, Repertorio n. 1875, Raccolta n. 1108, registered in Revenue Services Agency (Agenzia delle Entrate), Albano Laziale office, 02/01/2019, n. 34, 1T.

[293] Studio di fattibilità per lo sviluppo delle cooperative di comunità, Ministero dello Sviluppo Economico. Full text available at: https://www.mimit.gov.it/images/stories/documenti/STUDIO_DI_FATTIBILITA_PER_LO_SVILUPPO_DELLE_COOPERATIVE_DI_COMUNITA.pdf.pdf. Last access: 28/12/2023.

The legal form of community enterprise allows the Rome CHL to structure a financial and economic model in a way to act as a neighborhood-level multi-service or multi-utility company. Its aim is to revitalize the district heritage and finance community services through the proceeds of the revitalization process. The community enterprise structure fosters an economic and entrepreneurial attitude in the community, making them recognizable and enabling them to develop economic activities with local companies. The services implemented have two goals: to increase awareness of the heritage potential and support the construction of an economic and social solidarity neighborhood/district-level network. In fact, article 5(4) of the Statute refers to the promotion of culture and heritage, in accordance with Faro Convention [294]. The collaboratory's financial structures aim to establish a self-sufficient community enterprise that can sustain its activities without relying on external sources of capital. In addition to that, an innovative instrument of financing, crowdfunding, has been applied. Since local authorities have been involved in some projects (for example Living Memory Exhibition), the Rome CHL had the opportunity to benefit from the public subsidies and funds.

CooperACTiva shares same objectives as the Rome CHL (as these subjects coincide), and to ensure their continued overlap, the company's constitution explicitly mentions them [295]. The cooperative's open governance enables the community to be the main actor of the economic development of the area while ensuring that the heritage richness is valorized. In this way the district heritage is being revitalized by experimenting the principles of social and economic sustainability based on the theory and practice of the urban commons [296] and by implementing principles of Faro Convention. The mission of the Rome CHL is to revitalize the district heritage, with the community itself as the "owner" of the sustainability plan, proposing and implementing solutions. To achieve this, the

[294] Art. 5, Council of Europe Framework Convention on the Value of Cultural Heritage for Society - Faro Convention (CETS No. 199). 2005.
[295] Art. 5 (Oggeto) of Statute of CooperACTiva.
[296] Elinor Ostrom, *Governing the commons: The evolution of institutions for collective action*, (Cambridge university press, 1990).
Christian Iaione, *The CO-City: Sharing, collaborating, cooperating, and commoning in the city*, (American Journal of Economics and Sociology 75, no. 2, 2016): 415-455.

Laboratory promotes the development of "civic entrepreneurs" who are local entrepreneurs with a social objective.

2.1.3 The Open Heritage project: results until now

The initial plan at the beginning of the project was to transform the heritage district into a resource, through the action and services offered by a CooperACTiva, and to empower the community through the series of workshops, co-design and capacity-building processes[297]. The idea was that the Collaboratory would be a network of spaces, physical and digital, hosting community activities. The center of this network would have been the Community Hub. This implies a model based on an estate, and in the case of Rome CHL it would have regenerated the unused space on the territory to make it the center of the community enterprise activities. This model was supposed to put the property of that asset in the hands of the community. Unfortunately, due to the global COVID-19 emergency that affected the whole world, the idea of physical property as a headquarters of the hub had to be abandoned. Despite that, the CooperACTiva created a series of activities, experiences, and events as a strategy to change people's perception of the area, by showing the value of districts. An example of such actions are bike tours (2018) and heritage walks (2022) around the heritage sites[298]. These activities enabled CooperACTiva to generate some revenue, but only sufficient to cover basic operational expenses, falling short of the level needed to catalyze a more structured and sustainable local micro-economy.

In order to strengthen the sense of belonging to a community and secure the cultural identity of the place, with such a rich heritage potential, tangible and intangible, over the years many co-design activities have been held, with a goal to identify the cultural characteristics of the area. The result of these processes

[297] Open Heritage project, Grant Greement No. 776766, Deliverable 4.1 - Local Action Plans of the CHLs, delivery date: May 2019.
[298] Open Heritage project, Grant Greement No. 776766, Deliverable 4.6 - Updated Local Action Plans of the CHLs, delivery date: November 2020.

are four mural artworks across the ACT territory, which reflect the community's vision of its own heritage.

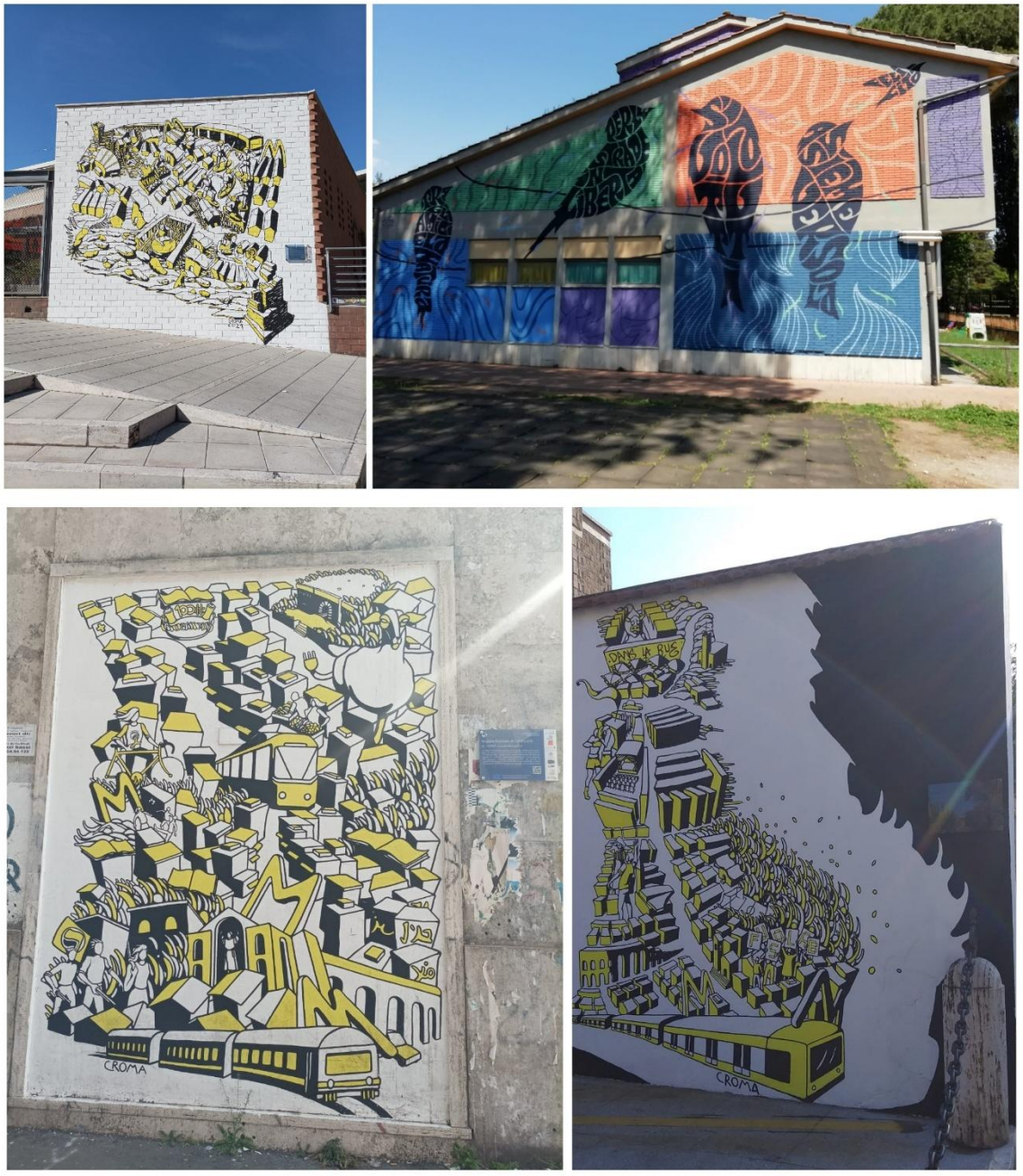

FIGURE 6: *ACT'S KPIS; ON THE TOP-LEFT: "THE MAP OF TORRE SPACCATA". AUTHOR: CROMA. LOCATION: WALL OF THE LOCAL MARKET OF TORRE SPACCATA. ON THE TOP-RIGHT: "TUTTI ASSIEME, THE GREAT MURAL ARTWORK". AUTHOR: DANIELE TOZZI. LOCATION: WALL OF THE SCHOOL "ANTONIO MONTANARO", VIA RUGANTINO. ON THE DOWN-LEFT: "THE MAP OF CENTOCELLE". AUTHOR: CROMA. LOCATION: CORNER VIA PRENESTINA/VIA TOR DE'SCHIAVI. ON THE DOWN-RIGHT: "THE MAP OF ALESSANDRINO". AUTHOR: CROMA. LOCATION: VIALE ALESSANDRINO 110. SOURCE: STEFANIJA HRLE AIELLO*

The artworks were very appreciated in the local community. Urio Cini says:

"It impresses me (…) that one of the choices was to let the children express their ideas through the artwork. The parents committee of Montinaro (Antonio Montinaro school) (…) it is a new committee, and it seems that they appreciate (…) this way to express their needs (children's)."[299]

The artworks created within the Open Heritage project were a success even beyond the local community. In March 2023 the CooperACTiva has been invited by the Tor Vergata University in Rome to present the four artworks within the event "Visual Geography and Street Art, for the requalification of the urban landscape". The event was held on the 14 April 2023 as a part of the project "International night of Geography"[300].

Besides the above-mentioned, the project introduced the collaboratory to the institutional actors of the neighborhood. Since the beginning, the lab has been working hard to involve local, city, regional and national institutions. Although there have been some positive outcomes from these efforts, the lab still needs stronger support, especially from the public administration, to fully integrate into the community. It is also important to underline that the City of Rome is afflicted by structural governance issues and the lab took place during the period of political instability. Ensuring sustained engagement of the political and institutional actors in Rome demands a strategic approach over an extended period of time. The public and local actors involved in the cooperation were:

a) Ministry of Culture and Cultural Activities of Italy: Recognition received for the "Uno, nessuno e Centocelle" project; integrating the active participants in the lab into the local network of knowledge actors, including schools and civic libraries;

[299] Original text:"...mi colpisce che (…) abbia scelto anche quello di far esprimere dei bambini e le loro idee tramite dei murales. Il comitato genitori della Montinaro (...) questo è un nuovo comitato genitori però sembra che apprezzino (…) questo modo di far esprimere i propri bisogni (di bambini)". Citation, Urio Cini, president of CooperACTiva, interview conducted on the 30 November 2023. Author's translation. Available in the Annex of this study.

[300] More about the project: https://web.uniroma2.it/it/contenuto/visual-geography-e-street-art-per-la-riqualificazione-del-paesaggio-urbano-levento-di-tor-vergata-per-la-notte-internazionale-della-geografia. Last access: 29/12/2023.

b) District level of government – Municipality V: Involvement of the District President and one member of the District Government in the co-design labs and workshops;

c) City of Rome: It secured sponsorship for the organization of the Public Art workshop in September 2021;

d) Legacoop national and Lazio - the biggest coalition of cooperatives in Italy: The objective of this cooperation was to provide professional support to the Constitution and first steps of the neighbourhood cooperative incubated by the lab as well as enable the lab actors to network with other communities transitioning from a volunteering-based organization to a structured, entrepreneurial organization;

e) Districts schools: Participation to the co-design workshops and CooperACTiva's activities; hosting the "Tutti Assieme, the great mural artwork";

f) Various other district actors: NGOs, community groups) volunteered their time and district-based social enterprises (i.e. Legambiente; Flyer) provided professional support, networking opportunities, various kinds of services. Fusolab, one of the founding members of CooperACTiva, provided co-working spaces free of charge.

The last observation regards the creation of job. CooperACTiva has one "employee", a member of the cooperative who provides occasional services in the administrative domain[301]. The commitment of this employee member is at

[301] See Title III of the CooperACTiva's Statute regulates cooperative members. Particularly, article 17 introduces a category of the employee member (*socio lavoratore*).

the minimal level. Besides that, CooperACTiva periodically hired different profile of workers based on occasional or one-time collaborations. The example are the artists involved in the creation of the four artworks.

2.1.4 A glimpse into the future: projects, indipendence, long-term sustainability.

Looking ahead, CooperACTiva is preparing for the future focused on practical projects despite several pivotal challenges that demand strategic attention and innovative solutions. The spotlight is always on projects and initiatives that would bring positive changes, drive community development and preserve local culture and identity. For CooperACTiva these are meaningful steps toward a thriving community. It strives to revive neglected spaces and support local economy.

For example, CooperACTiva is currently participating to the call organized by the City of Rome based on the Regulation on the use of the City of Rome's properties for the general interest purposes[302]. In the sense of the Article 11 of the Regulation, the City of Rome assigns the number of assets for a concession to the third subject under the certain conditions. For the submission of the request, it is necessary to deliver also a detailed project plan on the use of the asset. For now Cooperactiva applied for the following assets:

a) Building and green area in Francesco Tovaglieri Street, number 209. The asset is under the authority of Municipality V.

b) Premisses located on the Acquedotto Alessandrino Square. The asset is under the authority of Municipality V.

[302] Regolamento sull'utilizzo degli immobili di Roma Capitale per finalità d'interesse generale. Approvato con Deliberazione di Assemblea Capitolina n. 104 del 16 dicembre 2022. Protocollo RC n. 24274/2022. Seduta Pubblica del 16 dicembre 2022. See the complete regulation at: Prot (comune.roma.it). Last access: 30/12/2023.

Furthermore, in November 2022 Cooperactiva participated to the call organized by the City of Rome and House of the Emerging Technologies (Casa delle Tecnologie Emergenti)[303]. The purpose of this call was the selection of micro-enterprises, small enterprises, and medium-sized enterprises to be admitted to the Technology Transfer program within the House of the Emerging Technologies. Unfortunately, the CooperACTiva has not been selected due to an administrative omission.

In the end, CooperACTiva is expressing interest towards the Energy Communities. For this purpose, it collaborates with a local parish, which already installed solar panels on its rooftop. Other possible collaborators are Roman universities and an informal community of Quarticciolo, which already participates in an EC project and might be absorbed by CooperACTiva in the future. More on this topic in the next chapter.

2.2 Case n. 2 – Pomaz (Hungary)

Pomáz-Nagykovácsi-puszta (hereinafter Pomaz CHL) is a heritage site of archaeological and environmental significance, situated on the outskirts of Pomáz, a small town located 20 km north of the center of Budapest. The site was previously a manorial complex of a nearby Cistercian monastery during the Middle Ages, which was well-known for glass production. Today, there can be found partially excavated ruins of the former church and manorial buildings, as well as evidence of historical land-use and water systems, including medieval fishponds. The project of Pomaz CHL aims to transform the intricate environmental and cultural heritage site into a place that is easily accessible for a diverse audience drawn to its heritage value. In other words, it aims at creating a meeting place for traditional crafts, creative and digital economy.

The main goal of the project is to create economically and environmentally sustainable use of Pomaz wasteland by promoting reuse and revitalization of the

[303] See the details of the call: Roma Capitale | Sito Istituzionale | Dettaglio Bando Concorso (comune.roma.it). Last access: 30/12/2023.

space. The site is rich in tangible and intangible heritage and for that reason, the participation of local communities is particularly important because of the people's personal interpretation, needs and ideas about the site[304].

Reinterpretation and revitalization as new functions of the site started in 2010, taking environmental and cultural heritage into account. The initial idea was to divide the manor complex into several production and activity zones: welcome area and commercial activity, residential area, production zone, ruin area, medieval water system.

Since 2011, the site has been also used by the Medieval Studies Department of Central European University (hereinafter CEU) and its Cultural Heritage Studies program as a training site for its MA and PhD programs. It is considered a long-term educational site of the Program of CEU, which lays a great emphasis on combining theoretical education and practical knowledge and skills. Archaeology students from other Hungarian universities also worked at the site as a part of their field training program[305].

In 2015 the "Glasshill" project was launched, supported by the German Federal Environmental Foundation (DBU). The Association of Cultural Heritage Managements (KÖME) and the Cultural Heritage Studies Program of CEU in association with the Duna-Ipoly National Park and Fülöp Farm has been working on the establishment of a new training centre at the site. The unique feature of this centre is its holistic approach to the traditionally separated fields of nature conservation and cultural heritage, aiming to present the historical interaction between man and the landscape[306].

2.2.1 The vulnerability of the local community and cultural heritage

[304] Az Örökségműhely célja - Üveghegy Örökségműhely (openheritage.eu). Last access: 30/12/2023.
[305] Open Heritage project, Grant Greement No. 776766, Deliverable 4.1 - Local Action Plans of the CHLs, delivery date: May 2019.
[306] These data were extracted from different documents and individual reports used for the preparation of deliverables during the project.

The population of Pomaz traditionally displays a complex ethnic composition. Besides the Hungarian population, Serbs and Germans also have their own minority self-governments. Slovaks and Roma constitute further minority groups. The population is aging, characterized by decreasing number of children and a high number of old people. The education level of the population is above the average in the country and in the region[307]. In terms of geographical distribution, the northern part of the town composed of detached houses serves as the dwelling place of the "elite", mostly with higher education diploma, while there is a Roma Street in the western part of the town displaying characteristics of social segregation. A part of the town previously composed of gardens with service buildings is gradually being turned into a dwelling area, but even though people use the sheds for permanent living, there is no proper infrastructure, and the legal conditions are uncertain. The region of Hungary to which Pomaz is statistically characterized by the second highest income level in the country after the capital. Lately there have been new waves of urban immigrants into new residential parks on the edges of the town so there was a need to provide that continuously growing population with the necessary infrastructure (educational and healthcare institutions, etc.)[308].

As for the heritage site, the ruins were damaged by illegal treasure hunters during the years. Partially exposed archaeological remains were under a temporary roof but still not adequately protected. The site is located on the private land, so it could have been visited only by the community and small number of tourists prior the previous permission. Probably because of the above-mentioned urban migrations, one of the concerns during the project was identifying the heritage community of this site[309].

[307] According to Metropolitan Research Institute (MRI) these are the most recent data and they are from 2011 (Work Package 4, title: Cooperative Heritage Labs – status overview).
[308] The Pomáz site and its surroundings - Üveghegy Örökségműhely (openheritage.eu). Last access: 30/12/2023.
[309] Az Örökségműhely célja - Üveghegy Örökségműhely (openheritage.eu). Last access: 30/12/2023.

FIGURE 7: *ARCHEOLOGICAL SITE IN POMAZ. SOURCE: HTTPS://OPENHERITAGE.EU/POMAZ-NAGYKOVACSI-PUSZTA-POMAZ-HU/*

2.2.2 The governance model: legal form and the stakeholders

The Pomaz heritage site is located on Fülöp's Goat Farm – a farm which is under a private ownership. As such, the farm generates its own income. However, it cannot sustain itself on its own and must be combined with the owner's other ventures for financial stability. Although the owner of the farm is interested in the protection and promotion of the heritage located on his property, still he has an ultimate decision-making role, and nothing can be done without his previous consent and approval [310]. From the point of view of financial sustainability, it is difficult to find an appropriate model for private property.

The Lab operates through a flexible collaboration of stakeholders, who hold different roles and levels of influence. Because of its private nature, the owner has the central position in the stakeholder panorama. The Glasshill Foundation (full name of the foundation is The Glasshill Cultural, Heritage, Environment Protection, and Community Development Foundation) was established as a legal entity, to manage the site and promote ecological perspectives, environmental protection, and local identity by presenting and interpreting cultural and natural

[310] Open Heritage project, Grant Greement No. 776766, Deliverable 4.1 - Local Action Plans of the CHLs, delivery date: May 2019.

heritage. The foundation has established links with the “Friends of Pomáz” Association and the Community Archaeology Association[311].

The farm belongs to the area of competence of the local municipality of Pomaz. Some of the administrative issues belong to the competence of the district centre, the neighbouring town Szentendre (e.g., construction authorities, land registry). In certain spheres, Pomaz is served by Budapest (e.g., hospitals, secondary schools). On the other hand, Pomaz serves as a centre of the closer region, providing services for the nearby villages. The local administration does not affect directly the operation of the site, so the significance of their support lies in the regional integration element in the project which highly depends on the current political climate[312].

2.2.3 The Open Heritage project: results until now

The lab has played a pivotal role in enriching the cultural landscape of Pomáz, fostering stronger social cohesion among the groups actively engaged in heritage-related initiatives, and advancing the integration of cultural heritage policies into the agenda of the current local administration. Through its activities, it has helped elevate the visibility and significance of the farm and heritage site, firmly positioning them on the mental map of the local community while embedding them within the broader network of local and regional heritage sites. The involvement of civic initiatives and NGOs started to create a more solid basis for the long-term preservation of the vulnerable heritage site and for the sustainability of the site in a situation where the property is of a private nature and there is a high level of the independence from the state governance actors.

[311] Open Heritage project, Grant Greement No. 776766, Deliverable 4.1 - Local Action Plans of the CHLs, delivery date: May 2019.

[312] These data were extracted from different documents and individual reports used for the preparation of deliverables during the project.

2.3 Case n. 3 – Prädikow (Germany)

The manorial complex of Hof Prädikow (hereinafter Prädikow CHL) site (outside of Berlin) spans 9 hectares and includes multiple buildings with various structural conditions, providing numerous possibilities for usage. The Lab site's buildings consist of around 15,748 square meters of gross floor space and have the potential for approximately 6,880 square meters of living space. The estate was built on the remains of a castle from the 14th century. The only relict from this ancient construction is the intact basement vault on which the manor house was built later. During history the estate belonged to many different owners and was modified and extended various times. After the collapse of the German Democratic Republic in 1989 the estate soon became abandoned because the business could not be maintained anymore, so it lost its function as the socioeconomic center of the village.[313]

In 2004 an investor bought the premises and the project of revitalising Hof Prädikow was started. Unfortunately, none of the projects was realized until 2016, when the Trias Foundation bought the property.

The aim of the project is to establish a significant connection between the residents of the village and those living in the cohousing community, as they work together to revitalize the Hof Prädikow heritage site. This will involve overcoming past biases and socio-cultural disparities. The main goal is the development of sustainable structures, both financial and personnel terms. The intention behind the development of Hof Prädikow is to serve as a model or best-practice project that demonstrates how the decline of rural areas can not only be halted but even reversed. The building complex is intended to serve as a foundation for the creation of new, vibrant living perspectives in rural areas.[314]

[313] Historie - Hof Prädikow (hof-praedikow.de). Last access: 3/1/2024.

[314] These data were extracted from different documents and individual reports used for the preparation of deliverables during the project.

2.3.1 The vulnerability of the local community and cultural heritage

The central protagonist of this CHL is the community of the village of Prädikow. It numbers around 250 inhabitants.[315] As many similar small communities in Germany, the village struggles with a loss of young adults, cannot find adequate job possibilities or for any other reason decide to move away. There is no relevant infrastructure, but all daily requirements can be met in the near surrounding. It is expected that until 2030 the number of the residents under 15 years of age will decrease by 35 % and of the residents from 15-60 years by 30 %, while share of the ones that are 61 years and older will reach 40 % of the population. The unemployment rate and the lack of well-educated, skilled employees will intensify the social segregation between rich and poor in the district.[316] Despite those circumstances, some residents of Prädikow are engaged in a local association that promotes cultural activities in the village e.g. the annual firm each August, a choir and a theatre group.

Hof Prädikow represents a typical example of the traditional European "Vierseithof" farm structure, characterized by four buildings arranged around a central courtyard, a design historically optimized for agricultural efficiency, storage, and communal living. It is not only a remarkable architectural and historical site but also stands as the largest surviving Vierseithof in the state of Brandenburg, making it a significant cultural landmark within the region's rural heritage. Comprising fifteen individual yet partially interconnected buildings, the farm complex reflects centuries-old construction techniques and land-use practices, offering valuable insight into regional farming traditions and social organization. Its distinctive layout, featuring a spacious courtyard enclosed by residential, storage, and agricultural structures, exemplifies the functional unity typical of Vierseithof designs, which were prevalent across central Europe. Recognizing its architectural and historical value, Hof Prädikow was officially designated as a protected heritage site in 2003[317].

[315] Hof Prädikow - not just a housing project in Brandenburg (hof-praedikow.de). Last access: 30/12/2023.
[316] Sozialmonitoring 2011, Landkreis Märkisch-Oderland.
[317] These data were extracted from different documents and individual reports used for the preparation of deliverables during the project.

FIGURE 8: *THE MANORIAL COMPLEX OF HOF PRÄDIKOW. SOURCE:* HOF PRÄDIKOW, GERMANY | OPENHERITAGE

2.3.2 The governance model: legal form and the stakeholders

The whole initiative started in 2014 when a family moved to the village of Prädikow. Together with other members of the small group involved, they decided not to develop the estate as a private property but in cooperation with a non-profit institution. Soon, they got together with SelbstBau e.G.[318] and Trias Foundation as both organisations have successfully implemented other projects in the past already. After negotiations with the former owners the foundation bought the estate in 2016 and gave a building lease to the SelbstBau e.G.[319]

The objective of the Trias Foundation, as the landowner, is to provide long-term access to the site for the project group and secure the project goals. As a result, the foundation receives ground rent, as outlined in the contract of the heritable building lease between the foundation and the SelbstBau e.G. Since the SelbstBau e.G. is the owner and developer of the buildings and bears the

[318] e.G. or eingetragene Genossenschaft is a "registered cooperative society" under German Law.
[319] History - Hof Prädikow (hof-praedikow.de). Last access: 30/12/2023

financial risks, they are responsible for making decisions on the project. The Hof Prädikow association, which rents buildings and land from the cooperative, represents the users. The decision-making process is highly participatory, with a significant number of personal contributions from the project group members and future residents who are continuously engaged in the process. The project group has formed its own democratic structure, which allows for greater involvement and collaboration in decision-making. The SelbstBau is structured as a cooperative that allows for membership by individuals, private companies, and legal entities under both private and public law. The CHL is driven mainly by members of the project group association in coordination with the SelbstBau e.G. The association is open to anyone interested in joining and participating in the CHL process[320].

The legal structure of the project comprises a land-lease agreement between the foundation and cooperative, rental agreements for private tenants and companies, as well as contracts for fields and meadows intended for agricultural purposes. The rental income paid by the project group Hof Prädikow e. V. (an association) secures the return on investment.

2.3.3 The Open Heritage project: results until now

One of the main ideas of this project is to create a Heritage Community out of a local village community. The Hof Prädikow was once a nucleus for the development of the village and so it used to be the village's social and economic center for hundreds of years. A heritage community with a continuous exchange has been established, consisting of people from the project group, the monument protection authority, people with old connections to the site (in most cases former workers and inhabitants) and people who are interested in heritage aspects and the further revitalisation process. The CHL is a chance not only to preserve a historic monument but to fill it with new life[321]. As until now,

[320] Open Heritage project, Grant Greement No. 776766, Deliverable 4.1 - Local Action Plans of the CHLs, delivery date: May 2019.
[321] Open Heritage project, Grant Agreement No. 776766, Periodic Technical Report Part B, delivery date: February 2020.

in the future the CHL should generate its own equity through various means such as donated money, shares from the cooperative, and private loans. In some cases, subsidies from Ministries and a Lottery have also been accepted as equity by the banks. The foundation has utilized donated money for this purpose. There are plans for solar and wind energy generators nearby. As for the question of vulnerability overcoming and if the heritage bond became stronger, the respondent of the Prädikow CHL answered:

> *"Definitely Yes! The dwellers of the village of* Prädikow *consider the revitalization of the manor as an enrichment. There are many connections between ancestral inhabitants and the newcomers. The "village barn" in the entrance of the manor is a new and vital meeting place for all of them. The heritage image of the manor has been transformed in a modern attitude. This place is not only a question of restoring buildings but of revitalizing an agricultural working place with its immense role in the village to a more modern place of working and living."*[322]

2.4 Case n. 4 – Sunderland (United Kingdom)

The focus of this CHL is on the Tyne & Wear Building Preservation Trust (hereinafter TWBPT)[323] and their restauration of three buildings situated on the outskirts of Sunderland city center. Two of these buildings are listed monuments, while the other is not. This area, known as the "Sunderland Historic High Streets," is a part of a new initiative by Historic England and one of the ten areas in the country designated as a "Heritage Action Zone" (hereinafter HAZ). These three buildings were originally built in the late 18th century, for housing usage. Very soon after being built, the ground floor has become a commercial premises. The aim of the project is to get these buildings on the edge of Sunderland into long term sustainable socio-cultural use that is beneficial to the neighbours and the wider local community. Once restored, the buildings are

[322] Citation, Prädikow CHL questionnaire, completed and received on 28/4/2024. Available in the Annex of this study.
[323] TWBPT is a trust set up in the 1970s to restore heritage assets in the Tyne and Wear region, mainly by bringing them back into use.

expected to be a positive addition to the street and help the revitalisation of the area[324].

The HAZ for this area is led by Sunderland City Council in partnership with TWBPT, Historic England, the Churches Conservation Trust, and the Sunderland Heritage Forum. Other stakeholders from the private and third-party sectors are also involved. The project is viewed as a crucial chance to expand the economic regeneration advancement of the City Centre Investment Corridor towards the east along High Street West and connect with other developments in the city. Additionally, the renovation of these historical buildings plays a central role in the Sunderland Strategy, which is the city's sustainable community strategy. The strategy emphasizes the significance of safeguarding and fostering the city's built heritage to create a strong culture of sustainability as one of its five strategic objectives[325].

The central figures in the project are PopRecs, a music venue and community hub in Sunderland and a Sunshine Coopertive, a zero waste organic fruits and vegetables grocery store. They are both Community Interest Companies (hereinafter CICs), and the main goal of the project is to readapt the buildings to make sure that they can be used by both, with Poprecs being a main user.

2.4.1 The vulnerability of the local community and cultural heritage

Although the population of Sunderland is relatively stable in number, compared to the rest of the England it has a higher proportion of older people who use health and social care services more intensively than any other population group. Early results from the 2021 Census data suggest a reduction in Sunderland's population, with decreases being in the younger population and increases focused in the older age groups. Sunderland has also seen an increase in the population of people from black and minority ethnic communities, though the city is less ethnically diverse than the England average. Households in

[324] High Street, Sunderland, Great Britain | OpenHeritage. Last access: 30/12/2023

[325] https://historicengland.org.uk/services-skills/heritage-action-zones/breathe-new-life-into-old-places-through-heritage-action-zones/#Complete. Last access: 30/12/2023

employment may still be in poverty, as income may not be sufficient to meet the costs of accommodation and daily living. Low income (in work and out of work) households are particularly vulnerable to changes in the cost of living and social exclusion and increased health risks of poverty. The average levels of education, skills and qualifications in Sunderland are lower than the regional and national average[326]. In conclusion, Sunderland experiences higher levels of deprivation than the national average.

Regarding the area in which the three buildings are located, in the past it has functioned as the City's main commercial streets but have all since declined as the City's commercial core has gradually moved west. This has left a legacy of economic deprivation in the Heritage Action Zone (HAZ) with high levels of vacancy, key historic buildings in derelict or poor condition with urgent and often vast repair/restoration needs[327].

FIGURE 9*: THE BUILDING COMPLEX OF SUNDERLAND. SOURCE:* HIGH STREET, SUNDERLAND, GREAT BRITAIN | OPENHERITAGE

[326] Data extracted from Joint Strategic Needs Assessment Summary 2022-23, September 2022 Review, Sunderland City Council. See: https://www.sunderland.gov.uk/media/28508/Sunderland-JSNA-2022-23-September-Review/pdf/oce22763_Sunderland_JSNA_202-23_Sept_Review_Web_A4.pdf?m=638122435472930000

[327] These data were extracted from different documents and individual reports used for the preparation of deliverables during the project.

2.4.2 The governance model: legal form and the stakeholders

The TWBPT holds the Freehold ownership of the three buildings, which were transferred from Sunderland City Council in February 2018 for a nominal fee of one pound. Although there is no legal obligation, the goal for these buildings is to be restored and repurposed for cultural use[328].

The primary formal decision-making structure is housed within the TWBPT, which is a registered charity no. 509133 and membership organization[329]. TWBPT is a partner in the Sunderland HAZ, which includes Sunderland City Council, Historic England, Sunderland Heritage Forum, the Churches Conservation Trust, Tyne and Wear Building Preservation Trust, and Sunderland Culture. This collaboration among the HAZ partners is crucial for achieving the wider goal of regenerating the area. It provides an excellent vehicle to communicate with public administration and other heritage and civic organizations[330].

The final user of the asset, PopRecs, is registered under UK law as a CIC (Community Interest Company), a limited company which operates to provide a benefit to the community. The purpose of a CIC is primarily one of community benefit, rather than private profit. CIC functions similarly to any standard company. It possesses all the familiar traits of a limited company, including a distinct legal identity, the capacity to engage in contracts and own assets under its own name, as well as the flexibility to borrow funds and raise capital. As the crucial figure of CIC is a community, it must demonstrate that an impartial observer could reasonably perceive its activities as being conducted for the benefit of the community. This assessment is referred to as the "community interest test"[331]. The particularity of CIC is to have a compulsory Asset Lock that cannot be removed. It is a mechanism designed to ensure that all the assets, including profits, are used for the benefit of the community. In the UK CICs are subject to Companies Act 2006 c.46 as a general legal source and their own

[328] See: 170-175 High Street West Collaborative Lab - Sunderland (openheritage.eu). Last access: 30/12/2023
[329] It is subject to Charities Act 2011, c 25.
[330] Open Heritage project, Grant Greement No. 776766, Deliverable 4.1 - Local Action Plans of the CHLs, delivery date: May 2019.
[331] See: Community Interest Companies Guidance - GOV.UK (www.gov.uk)/ Last access: 25/03/2024.

specific pieces of legislation, Companies (Audit, Investigations and Community Enterprise) Act 2004 c.27 and Community Interest Company Regulations, Statutory Instrument 2005, No. 1788.

The Sunshine Cooperative[332] joined later as a user of one building. Being a CIC as well, it is governed by the same legislation as PopRecs.

2.4.3 The Open Heritage project: results until now

The Sunderland CHL can be considered a successful example of urban regeneration through culture and heritage. In the first phase of the project the focus was mostly on financing and governance plans, with the majority of funding secured through grant funding obtained by TWBPT. This funding covered capital works, educational initiatives, and community-oriented projects. Additionally, internal works, business development, and community projects were funded through grants, crowd funding, events, and contributions from tenants. In the next phase, the CHL moved towards low-interest loans, rent income, and investments from tenants. Crowd funding has also been explored: various crowd funding campaigns, including a heritage-focused initiative by TWBPT and others by tenants, have been undertaken, showcasing community support and resilience.

Until the end of the project three buildings have been restored and been let to the users. The premises became a cultural hub accessible to all, where numerous local groups and organizations utilize the space, fostering collaboration and cultivating a vibrant and inclusive atmosphere. PopRecs is operational and currently employs approximately six individuals. The Sunshine Cooperative has a staff of two. Additionally, there are small businesses and freelancers occupying space upstairs from PopRecs. While these are not jobs directly generated by the

[332] More about Sunshine Cooperative at: Sunshine Co-operative | Sunderland | Facebook. Last access: 25/03/2024.

project, they represent independent organizations that have found a home within the building[333].

The sustainability of the project relies on the future financial independence of these buildings. The goal is for tenants to pay a service charge, which will cover all services, annual contracts, repairs, and future improvements through a sinking fund. This will ensure that any surplus generated will be reinvested into these buildings, without affecting other projects being undertaken by the TWBPT.

2.5 Case n. 5 – Warsaw (Poland)

The Warsaw Cooperative Heritage Lab (hereinafter the "Praga CHL") is situated in Praga neighborhood, which has historically served as Warsaw's industrial zone. It is the location that remained undestroyed during the Second World War so now it is one of the oldest neighborhoods in the city. Despite experiencing a highly stigmatized reputation, it has recently emerged as a location of intriguing cultural resurgence. Its contemporary identity is rooted in both intangible heritage and tangible heritage; the first focus of the project includes traditional craftwork and production, art, and blue-collar jobs. The second one is oriented on urbanity and authenticity. Unfortunately, heritage identity has been often exploited as a branding tool rather than used as an actual value for the local community[334].

At the beginning, Praga CHL was concentrated on an old, abandoned Bakery, which after detailed mapping resulted as a high potential for adaptive re-use. The Bakery is in public property, managed by the Department of Real Estate Management in the Praga-Polnoc District. The aim was to focus on developing the local economy, particularly through circular economy and sustainable development, and to strengthen grassroots initiatives that are connected to this

[333] Data extracted from Sunderland CHL OH Questionnaire. Available in the Annex of this study.

[334] See: Praga District Warsaw, Poland | OpenHeritage. Last access: 25/03/2024.

heritage[335]. After Covid-19, the project expanded its interest to a whole area, encompassing tangible assets but also intangible, as knowledge, skills and identity[336]. The final objective of the project was to establish networks, empower stakeholders representing the heritage community, and offer an adaptation model applicable to various sites.

FIGURE 10: *THE BAKERY IN PRAGA DISTRICT, WARSAW. SOURCE:* DESIGNING THE FUTURE OF THE BAKERY | OPENHERITAGE

The questionnaire respondent for the Praga CHL defined project goals in this way:

"As we worked with the broader area, the goal was to create networks, strengthen the stakeholders who embodied the heritage community and to

[335] Open Heritage project, Grant Greement No. 776766, Deliverable 4.6 - Updated Local Action Plans of the CHLs, delivery date: November 2020.
[336] Praga CHL Questionnaire, completed and received on 5/6/2024. Available in the Annex of this study.

provide the model of adaptation which could be used for various sites (adaptation of a specific site was not a main goal).”[337]

2.5.1 The vulnerability of the local community and cultural heritage

The Praga district is one of the smallest in size but the most problematic in terms of life quality areas in Warsaw. Being the part of the oldest and most densely populated core of the city it has been labelled as the poorest, less developed, most dangerous but at the same time the most genuine. The area is marked by numerous social and economic groups: a population called “natives” lived there for decades and many generations, former blue-collar workers. In many cases they represent the group with primary or medium level of education, very often unemployed and living of welfare. Antisocial behaviours and alcoholism are a frequent phenomenon, which duplicated by younger generations; on the other hand, the newcomers are representing the population on average between 25-45, coming to Praga from other districts of Warsaw or outside of city for various reasons. Sometimes it because of the reasonable prices on the housing markets, and sometimes they are attracted by history and culture of the district. all of this creates a vibrant environment with potential for social backlash[338].

As the heritage is mainly intangible, its vulnerability is expressed rather as the slow oblivion of local crafts, and also collective memory, knowledge and skills. Regarding the tangible asset, the old Bakery, it was in a state of deprivation, as it was abandoned for many years.

2.5.2 The governance model: legal form and the stakeholders

The area consists of sub-areas, located in two districts: Praga Północ (North) and

[337] Citation, Praga CHL questionnaire, completed and received on 5/6/2024. Available in the Annex of this study.

[338] These data were extracted from different documents and individual reports used for the preparation of deliverables during the project.

Praga Południe (South). The districts are semi-independent actors, with their own mayors (burmistrz, as in smallers towns, whereas the mayor of Warsaw is called prezydent). Mayor holds executive power and the District Council is the decision-making body.

The actors involved in the Praga CHL are those stakeholders who were already involved with Praga heritage and whose actions could directly impact the quality of the heritage adaptive re-use. Although Praga CHL does not have an official legal form, de facto it has traits of a cooperative. The network of involved stakeholders is broad, with a strong involvement of local associations and informal groups of craftsmen, SMEs and local authorities. The presence of authorities is very strong, since they were directly involved in creation of the feasible model of heritage reuse. Universities and knowledge institutions did not take part in this CHL.

Regarding the decision-making process, on the larger scale between the stakeholders it is organized very much *ad hoc*. This is due to the lack of a formal legal structure. As for the stakeholders, most of them are associations and small enterprises, and their internal decision-making process is regulated by their internal statutes, so the processes vary accordingly.

2.5.3 The Open Heritage project: results until now

Despite the challenges posed by the COVID-19 pandemic, the project strengthened the local heritage community by enhancing networking and introducing new approaches and values to their work. This applies to struggling art and craft SMEs and individuals. The project led to a stronger and more contemporary heritage-based identity for the place, resulting in a lasting impact on the practices of some stakeholders involved. Regarding the Bakery, its status significantly improved during the project, becoming a key element in public plans and investments.

The community still has to create its financial sustainability plan, given that it did not happen until now. The CHL did not receive any significant income either from the public or private sector, except for some help during the dissemination

of the results. The project did, although, contribute to strengthening the position of the existing jobs. The long-term goal was to help the development of heritage-driven practices and to inspire the interest by businesses and market, and that has been achieved.

The future plans of the Praga CHL include involving local entrepreneurs, artists, NGOs in the functioning of the Bakery, on a basis of a lease agreements or free-of-charge landing agreements between the district and organizations. These arrangements require a strong involvement and strict collaboration with the public bodies legally responsible for the Bakery.

2.6 Case n. 6 – Lisbon (Portugal)

The location of the Quinta Marques De Abrantes CHL (hereinafter Lisbon CHL), the district of Marvila Velha, is a multifaceted and marginalized region situated in Lisbon. Until the 19th century it was a home to the residences of aristocrats which later became an area for industrial compounds, and further led to the settlement of numerous workers. Over time, the area gradually became abandoned, resulting in numerous unused factories and warehouses[339].

The mission of Lisbon CHL entails the revitalization and adaptive reuse of the Marquês de Abrantes palace, which is owned by the Lisbon Municipality (hereinafter CML). This initiative aims to foster a housing, cultural, and social renaissance of the site, establishing it as a local facility to bolster community resilience amidst urban and economic transformations in the area[340]. The overarching goal is to position Lisbon CHL as a cornerstone for sustainable and participatory development within the Marvila territory. Its primary focus is on empowering and engaging the local community, ensuring their rights to the place and quality of life are upheld.

[339] See: Marquês de Abrantes, Portugal | OpenHeritage. Last access: 25/03/2024.
[340] Open Heritage project, Grant Greement No. 776766, Deliverable 4.1 - Local Action Plans of the CHLs, delivery date: May 2019.

FIGURE 11: *MARQUES DE ABRANTES PALACE, LISBON. SOURCE:* MARQUÊS DE ABRANTES, PORTUGAL | OPENHERITAGE

2.6.1 The vulnerability of the local community and cultural heritage

The area is characterized by rundown buildings and a vulnerable, elderly, low-income population. Moreover, it is geographically separated from the city by river and rail tracks, further adding to the perception of neglect and segregation. In 2010 the city of Lisbon launched a territorial mapping study to identify the areas of the city which were mostly affected by a higher level of urban, social and economic deprivation. The study is called "Bairros e Zonas de Intervenção Urbana (BIP/ZIP)"[341]. Based on economic, urban and environmental indicators combined with national census data the study identified 67 neighborhoods all over the city as the Priority Intervention Areas, both peripheral areas and historical center among which also the district of Marvila Velha. Many problems were identified, including those of cohesion and deprivation, education and

[341] More information about the study available in Portuguese language at: Energia BIP/ZIP : Programa BIP/ZIP (lisboa.pt). Last access: 25/03/2024.

employment, increase of elderly population compared to the young ones etc[342]. The Local Partnerships Program has been undertaking ongoing projects with the local community to encourage their social and economic participation and facilitate access to education. The goal of Lisbon CHL is to support and maintain housing, cultural, and social re-use of the site, while also establishing local infrastructure to strengthen the community's resilience during the area's urban and economic transformation.

Regarding the Marquês de Abrantes palace, the focal point of the Open Heritage project, the building was initially in a state of severe disrepair at the project's outset. While the interior decoration retained its original appearance from the 18th and 19th centuries, it was incomplete and damaged. Moreover, designated as a historical monument, the palace was notably disconnected from the surrounding neighborhood.

2.6.2 The governance model: legal form and the stakeholders

The central role belongs to CML as an Open Heritage project promoter, owner of the Marquês de Abrantes palace and responsible for the urban municipal legislation compliance in the city of Lisbon. It is also the main initiator of the Lab and one of the Open Heritage partners as well. The idea was to link CML as an owner of the premise and stakeholders: associations, organizations or cooperatives interested and willing to participate in CHL's management. In this way a high level of transparency is ensured and involvement of citizens and local partners. In that sense, as a decision-making and ownership dynamics, the respondent to the questionnaire for the Lisbon CHL says:

"It's municipal, and if it's use is not delegated to local based associations its actions will depend on the moods of municipality administrations."[343]

[342] BIP/ZIP - *Promoting partnership in sensitive urban areas* by Daniela Patti, Interview with Miguel Brito, Municipality of Lisbon, May 7, 2017. Source: BIP/ZIP - Promoting partnerships in sensitive urban areas - Cooperative City. Last access: 25/03/2024.

[343] Citation, Lisbon CHL questionnaire, completed and received on 24/2/2024. Available in the Annex of this study.

The Lisbon CHL operates as a cooperative, regulated by Portuguese law[344]. It is mostly made of associations, of which one is the *Sociedade 3 de Agosto*[345], the music society. The legal organization of CHL implies that the management of Lisbon CHL is supported by a strong co-governance model based on participatory processes. Several models of decision-making processes have been tested. Until COVID-19 those we meetings in the form of regular public assemblies, after which the in-person meetings stopped. The last decision-making process was an exhibition where people were called, in the end, to vote for the color of the future Palace[346].

All the stakeholders are a part of an Open Heritage Local Action Group (hereinafter: LAG) [347]. This approach recognizes the community and local partners as key players in every stage of the process. Although community is mostly organized as an informal group, some of the members are legally organized as associations. Speaking of public organizations involvement, in addition to Lisbon Municipality, the Marvila Library (municipal) and Marvila Local District are also involved in the process, and it is anticipated that they will utilize the facilities for their own activities, either occasionally or permanently.

2.6.3 The Open Heritage project: results until now

The CHL encountered some challenges during the project; the main problem was occasional lack of communication with local authorities. The challenge was to resist the long time needed to obtain feedback. Besides that, the project faced some resistance by a group of people without housing, which eventually were solved.

[344] The main source of cooprative law in Portugal is *Cooperative Code* approved by the Law No. 119/2015, published in 31.08.2015, as amended by Law No. 66/2017, published in 9.8.2017.
[345] More about *Sociedade 3 de Agosto* and their activities at: Sociedade Musical 3 d'Agosto de 1885 | Lisbon | Facebook. Last access: 25/03/2024.
[346] Data extracted from the Lisbon CHL OH Questionnaire. Available in the Annex of this study.
[347] Open Heritage project, Grant Greement No. 776766, Deliverable 4.1 - Local Action Plans of the CHLs, delivery date: May 2019.

Despite those circumstances, the project was successful. IT managed to create 3-4 workplaces. It also recieved some financial support from public institutions. But still, up to this date it is not possible to measure the level of financial sustainability achieved.

In the future, financial sustainability will be ensured by balancing public funds, crowdfunding, and crowdsourcing by the local stakeholders. There are some plans that indicate that the CHL might "overgrow" heritage and became a community-lead cooperative housing project[348].

2.7 A holistic overview of the Open Heritage Cultural Heritage Labs: the first impressions

The six cultural heritage labs described above had the same starting point in sense of the project conditions and the theoretical models of commons-oriented constructions suggested by the literature. The final objective of CHLs was to obtain economic and social sustainability by reusing and adapting heritage and applying inclusive governance models. As will be seen, some of them succeeded, in longer or shorter terms. What differs among these labs are the particular conditions of the context in which the lab acted. The project principles have been adopted with different intensities, but also the nature of heritage assets played a huge role in the final result.

The first glance at the analytical grid gives a significant preliminary insight into the aspects of the CHL cases. It can immediately be noticed that the grid can be observed in two ways: vertically, which offers a general overview of every singular CHL, summing up its general features. The horizontal way, on the other hand, offers a systematic method of comparing CHL cases between them, through each analytical framework area.

There has already been offered a vertical overview of cases above, in a descriptive narrative style. Horizontally, at the first sight there can be noticed that some framework areas result proportional to the other ones or can

[348] Data extracted from the Lisbon CHL OH Questionnaire. Available in the Annex of this study.

influence the success of the study case. There can be individuated three main aspects of comparation of the cases.

1. *The nature of the heritage asset*

It seems that the nature of the heritage asset plays an important role in the management of the project. By observing the grid, a very first impression is that the CHLs that had, as an object, a concrete tangible asset had less difficulties in carrying out the project. Furthermore, even better results have been shown in cases where the asset was in the ownership of one of the project partners. The Prädikow CHL is a good example of this situation. The Trias Foundation, as a landowner, has full control of the asset management which significantly simplifies the decision-making process. Sunderland CHL has a similar situation where TWBPT is the owner of the three buildings. Besides that, the project has been strongly supported by the Sunderland City Council, which sold the assets for a nominal fee of one pound. Furthermore, the project was supported by public policies, precisely by the Historic England initiative and HAZ, as already mentioned above. The last example is Lisbon CHL where the central role in the project belongs to the Lisbon Municipality as an Open Heritage promoter, initiator and partner of the project. Lisbon Municipality is also an owner of the asset in question and responsible for the legislation and policy making in the city of Lisbon. All of these conditions strongly facilitated the project in the abovementioned CHLs.

On the other side there are different examples of ownership models that cannot be described as the most facilitating situations; in the case of Pomaz CHL the asset is in the private ownership by a subject that did not directly take part in the Open Heritage project as a partner. This led to some difficulties such as, for example, the process of the decision-making. A similar situation has been encountered in Rome CHL with a very broad object of “the whole heritage area and intangible assets”. The ownership of tangible objects of the project was always public. A similar situation is in Praga CHL, where the only difference is the

fact that the object is a tangible asset, depicted in a single building of an old bakery. The questions that come naturally is why the private ownership in the case of Pomaz CHL created difficulties for the application of the decision-making process? Private ownership was also present in Sunderland CHL and Prädikow CHL. What made the difference? The answer could be access to the commons in question. The ownership of a commons can also be in private hands, but it must be characterized by the necessity of guaranteeing universal access and use and by the need to involve community members in their production and management[349]. In other words, the framework of collective ownership shows as the most successful one.

It can be said that the relationship between the nature of the heritage asset and the feasibility of the project is directly proportional.

2. *Organizational structure and governance*

At the organizational level, most of the CHLs adopted the formal form of organization. It can be noticed that even where the groups are informal collaborations, they are different among themselves; the Praga CHL, although officially a voluntary group has some traits and features of a cooperative. Could it be argued that a lack of organizational structure can be compensated for with the strong involvement of public administration? On the other hand, Rome CHL and Prädikow CHL opted for a formal structure, in both cases a cooperative. For sure it can be stated that such a form offers many benefits. The community cooperative, which is adopted in both cases, offers an adequate climate for employment conditions. A formal organization has an eased approach to various possibilities such as, for example, statal incentives, fundings and projects. Rome CHL, CooperACTiva, could have applied for the above-mentioned assets for a concession only as a formal organization. It implies that also the establishment of the relationship with authorities has a different dimension under these conditions; the authorities tend to react proactively when the other interlocutor

[349] Christian Iaione, *The Co-City*.

has a legal personality. However, all of this does not mean that a legal form is a *conditio sine qua non.* An informal group could also have an approach to various possibilities, probably supported by an organizational structure of a member (considering that a member has its own legal form), but it is clear that an organization as a cooperative, with its own legal personality and identity, renders the whole process more transparent, accurate and easy. It can be said that a legal structure is a tool that guarantees highly democratic procedures.

Further observation of the cases implies that the formal structure ensures also co-management and co-ownership in multi-actor collaborations. An institutional partnership seems most adequate for a realization of a model of public-private-community partnerships which, as suggested by the theory, encompasses a community, NGOs, University, and public administration. These examples, with different intensities, can be seen in the cases of Rome CHL and Prädikow CHL. Similar results have been obtained in Lisbon CHL with the difference that it is a top-down initiative.

It can be said that the relationship between the organizational structure and the level of presence of public administration is inversely proportional.

3. Financial and sustainability model

By observing the analytical grid horizontally, it can be noticed that the cases with the strongest financial model are Prädikow CHL, Sunderland CHL and Lisbon CHL. By a "strong financial model" it is intended a context in which a cultural heritage lab succeeded in creating a satisfactory level of financial sustainability at least for the duration of the project. What is common for these three cases is the strong presence of public administration. The public administration has been present for the whole duration of the project. In the case of Rome CHL, the public administration has been present occasionally, giving its support in the form of occasional subsidies and sponsorships. In fact, it resulted in that it was not enough, and a higher level of involvement was necessary. However, it is still to be seen the future of these CHLs and their survival in the next few years.

It can be said that the relationship between the financial and sustainability model and the involvement of public administration is directly proportional.

3. Beyond the Open Heritage: other case studies of cultural heritage communities – Faro Convention Network

Although the Faro Convention has already been elaborated in the Chapter II, there will be some words about it also in this place. The Council of Europe's Framework Convention [350] on the Value of Cultural Heritage for Society [351] (hereinafter Faro Convention) was adopted by the Committee of Ministers of the Council of Europe on 13 October 2005 and entered into force on 1 June 2011. Up to this date, the total number of signatures followed by ratifications is 24 and the total number of signatures without ratification is 4[352]. The particularity of Faro convention is its focus on society and citizens' role in defining, deciding, and managing the cultural environment they inhabit. On one hand, it proposes a solution for the preservation of cultural heritage through the mobilization of citizens and, on the other hand, offers a definition of the role of civil society in decision making processes related to the cultural heritage. The convention sees heritage as a "necessary step in the construction of a peaceful and democratic society, and in the processes of sustainable development and the promotion of cultural diversity" but also as a connective tissue "among all the public, institutional and private actors concerned" [353]. In this sense the Convention promotes coexistence, fortifies democracy, and all of that for a better quality of life.

[350] " Framework conventions define broad objectives and identify areas for action, as well as the directions in which the Parties agree to progress. Instruments of this type may identify generic activities but, unlike ordinary Conventions, do not create obligations to specific actions." CETS 199 - Explanatory Report to the Council of Europe Framework Convention on the Value of Cultural Heritage for Society (coe.int). Last access: 1/1/2024.
[351] Full text of the Convention available at: CETS 199 - Council of Europe Framework Convention on the Value of Cultural Heritage for Society (coe.int). Last access: 1/1/2024.
[352] See Chart of signatures and ratifications of Treaty 199: Full list - Treaty Office (coe.int). Last access: 1/1/2024.
[353] See Article 1 (Aims of the Convention), point *d* of the Faro Convention.

Another uniqueness of Faro convention is the definition of the cultural heritage it adopts. It establishes this concept in a broad sense, following the work of UNESCO. The Article 2(a) (Definitions) states:

*"...a **cultural heritage** is a group of resources inherited from the past which people identify, independently of ownership, as a reflection and expression of their constantly evolving values, beliefs, knowledge and traditions. It includes all aspects of the environment resulting from the interaction between people and places through time;"*

The definition specifically emphasizes the environmental aspect, acknowledging the interdependence of human and natural influences on the landscape, as well as the inherited context of the cultural environment. Consequently, it extends beyond the notion of the "historic environment," which typically focuses primarily on tangible aspects of the inherited environment.

The key idea of the convention is the right to cultural heritage. This idea creates the basis for the element of the innovation of the Convention. The concept of right is accompanied by responsibilities relating to cultural heritage. Right and responsibilities apply to everyone, alone or collectively. In this way the Convention underlines citizens and their relationship with their cultural heritage which results in strengthening the heritage community as a concept.

The important point of the Convention is its view of the heritage as a mean of development of a sustainable economic activity[354]. Hence, it is important to raise awareness of the economic potential of the heritage, take into account the specific feature of the heritage and ensure that the integrity and values of it hasn't been compromised. These considerations of heritage as a social, economic, and political resource lead towards the sustainable development, just and inclusive societies. As such, Faro Convention represents a golden standard for the co-governance arrangements in the culture and heritage – led urban regeneration initiatives.

As the number of heritage communities operating under the principles of the Convention grew, a Faro Convention Network emerged. The large

[354] Art. 10 of the Faro Convention.

implementation of the Faro Convention can be very much own to Faro Convention Network (hereinafter FCN), which "is a platform made up of heritage communities working together in line with the Faro Convention principles and criteria, and works towards identifying good practices and practicioner, conduicts workshops and supports members' efforts in addressing challenges related to field oh heritage. Furthermore, the Network aims to demonstrate the role of heritage in addressing the societal challenges faced today"[355]. Joining FCN is voluntary and based on Faro criteria and principles. the integration involves a self-assessment procedure always under the criteria and principles of the Faro Convention. After a heritage community affiliates with the network, its continuation relies on sustained engagement, ongoing dialogue, and active interest and collaboration among members, as well as with the Council of Europe Secretariat.

In this moment the FCN numbers 13 active members, among which is also Co-Roma social partnership and CooperACTiva, as a part of it (as already examined above). For the purpose of this study two cases have been chosen to be briefly analyzed. This choice has been made considering the availability of data, quantity, and language in which data is available. Besides that, these two heritage communities are one of the first ones to adhere to the Network. They represent solid and reliable examples of a Faro heritage community. The analysis will follow the pattern of the analytical grid used for the examination of Open Heritage CHLs.

3.1 Kaunas (Lithuania) - Šančiai district

The study case of Žemieji Šančiai (Lower Šančiai) is located Šančiai district in the city of Kaunas, Lithuania. The community is organized around the Žemųjų Šančių bendruomenė (hereinafter ZSb) which is an association and civil society group established in 2014. The objectives of ZSb encompass promoting local self-governance, engaging in decision-making concerning their environment,

[355] Council of Europe, Faro Convention Network (FCN). Available at: Faro Convention Network (FCN) - Culture and Cultural Heritage (coe.int). Last access: 1/1/2024.

mobilizing Šančiai residents to advocate for their interests, fostering equality, developing the sense of their cultural rights, advancing knowledge in the fields of culture and science, and supporting small businesses in the area[356]. From the 2014 ZSb is also a member of FCN. The district is rich of registered cultural assets which is complex, encompassing not only material heritage but also people, places, stories, and landscapes intertwined with them. It is about a community's ability to preserve its identity and sense of belonging[357].

It is important to mention *Genius Loci project*[358] that ended in 2023, a project about the engagement of residents in the development and preservation of the heritage assets of Šančiai[359]. The project has employed a diverse range of methods to involve and inform local residents in the urban planning process. These methods encompassed workshops, lectures, seminars, and tours, along with concerts, events, and demonstrations. The output of the project is a ”Memory map”, which allows to the users in an interactive way to register places of importance under the categories of ”memory”, ”present” or ”nature”. This provides a rich database of local stories, people, photos and memories linked to locations and buildings in the ”Memory” map.

[356] See: Community of Žemieji Šančiai - Šančių bendruomenė (sanciubendruomene.lt). Last access: 2/1/2024.
[357] Ed Carrol, Kaunas FCN Questionnaire. Available in the Annex of this study.
[358] See Genius Loci - Šančių bendruomenė (sanciubendruomene.lt). Last access: 2.1.2024.
[359] The project was funded under the EEA and Norway grants 2014-2021.

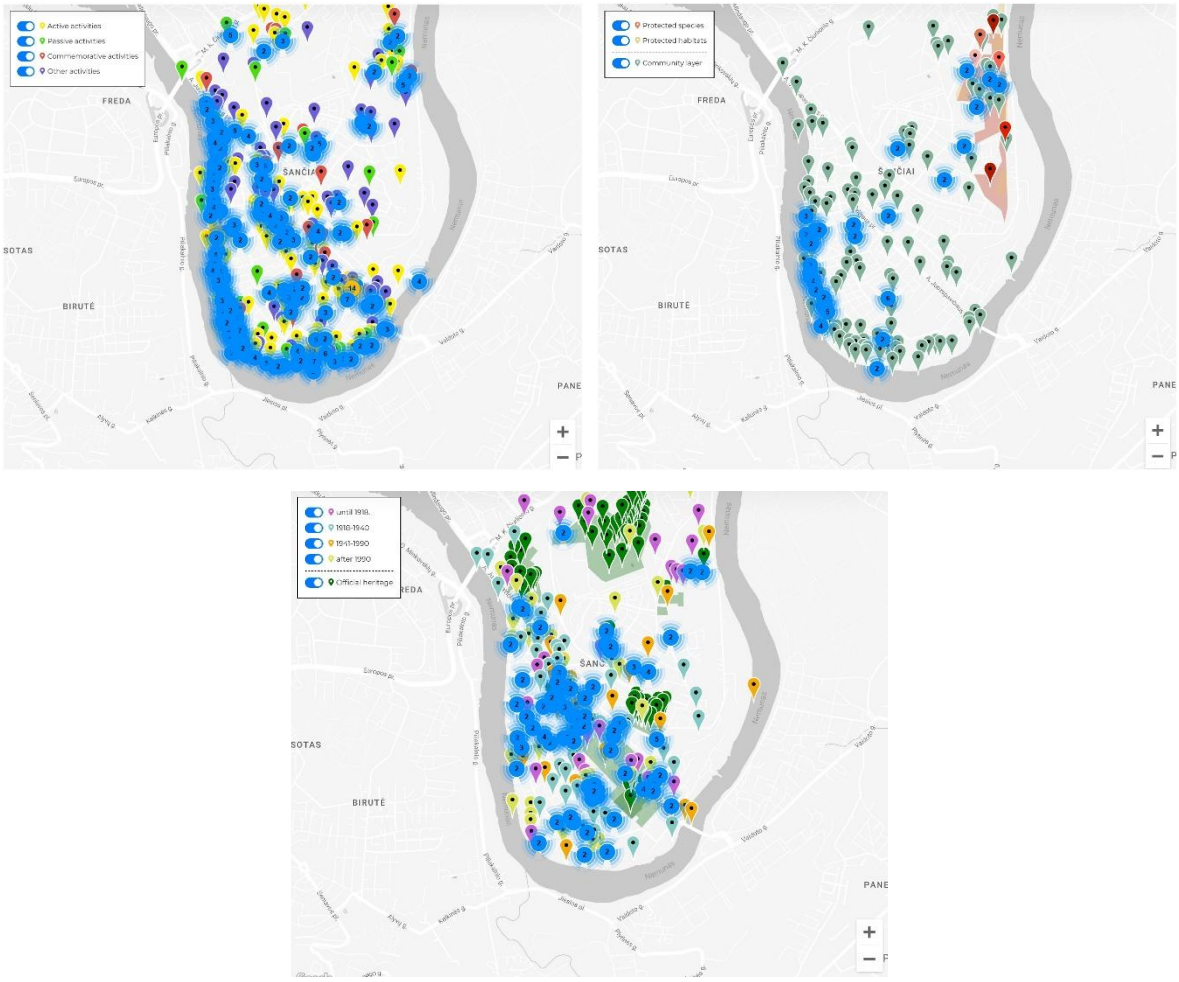

FIGURE 12: *UP-LEFT: PRESENT MAP. UP-RIGHT: NATURE MAP. DOWN: MEMORY MAP. SOURCE: SCREENSHOT FROM THE WEB PAGE OF THE PROJECT:* MAPS - ŠANČIAI COMMUNITY (SANCIUBENDRUOMENE.LT)

Regarding vulnerability, generally speaking in Lithuania the risk of poverty is one of the highest in the European Union and income inequality remains at critically high levels. A study conducted in 2021 for the purpose of preparing the city of Kaunas for the European Capital of Culture 2022 showed that the city suffers the age declination of its population. Besides that, the statistics show alarming percentage of highly qualified unemployed people [360]. As for the cultural heritage, since it is of a mixed nature, its vulnerability can be defined as a danger of oblivion and a loss of a cultural identity of the community, but also deprivation and negligence of the physical assets of a particular cultural significance, by the local authority. The community is addressing marginalization

[360] Data available at https://kaunas2022.eu/ and https://www.kaunas.lt/wp-content/uploads/sites/13/2023/01/2022-Kaunas-EN-1.pdf. Last access:2/1/2024.

and vulnerability by building the capacity of people whose knowledge and experience in the area of cultural heritage, civil rights and citizen participation increased. Specifically, citizens acquired knowledge on how to determine for themself what is tangible and intangible cultural heritage; how to co-create with others and to understand the needs of others while working collaboratively[361].

3.1.1 The governance model and results until now

The ownership model of tangible heritage assets can be private and public, depending on case to case. Therefore, the challenge is to find a governance model that treats these assets as collective and centered on commoning. There have been, however, cases in which assets have been given to the community on free loan for 10 years[362]. Still, the challenge of sustaining such infrastructure without state support is quite difficult and finding ways to repurpose historic buildings for community culture is never simple.

The community operated as a community association (ZSb), registered as a non-profit organization, and are incorporated into the Lithuanian constitution under the section pertaining to local self-governance. Decision-making processes are determined by the monthly meetings of the community association for the identification of issues and decisions. Day-to-day decisions are delegated to the Chair of the community association. Many of the legal details of the management and its decision making are laid down in the Articles of Community Associations[363].

During the Genius Loci project the Kaunas Technical University (KTU) was involved as one of the four project partners[364]. Based on their involvement on the Genius Loci project the team from the faculty of engineering and

[361] Data extracted from Kaunas FCN Questionnaire. Available in the Annex of this study.

[362] Data extracted from Kaunas FCN Questionnaire. Available in the Annex of this study.

[363] See the Law on Associations of Republic of Lithuania No IX-1969, as last amended on 23 April 2015 – No XI-1653: IX-1969 Republic of Lithuania Law on Associations (lrs.lt). Last access: 2/1/2024.

[364] See more at: GENIUS LOCI: urbanization and civil society - Kaunas University of Technology | KTU. Ast acces: 2/1/2024.

architecture produced a monograph with the name *Towards a New European Bauhaus—Challenges in Design Education*[365]. ZSb has in plans the future collaboration with KTU, particularly on preparing the application for the project funded by the program called ESPON[366].

The territory of ZSb has a significant number of local private companies, small entrepreneurs, and NGOs. Yet, ZSb still did not have the opportunity to collaborate with these entities in a concrete way. However, they do all fall under the umbrella of the city network of Kaunas Associations[367]. ZSb is highly supported by the NGO called Public Interest Advocacy Fund[368].

The relationships with local and national authorities are very contrasting. On the one hand, ZSb is not on good terms with the Kaunas Municipality. The Letter of Complaint addressed to the Municipality accuses the local administration of the alleged "failure to act to inform and engage citizens in decision-making... to ensure the legitimate right to participation...and to obscurate access to justice..."[369] On the other hand, the national authorities acted in a supportive way; the association has a strong pillar in the Ministry of Finance, Ministry of Environment and Ministry of Culture.

As for the results obtained until now, the local marginalization has been addressed by building the capacity of residents of the neighborhood. Citizens acquired knowledge in the area of cultural heritage, civil rights and citizen participation. Collaboration and co-creation were enhanced, enabling more innovative advocacy practices and the attainment of civic objectives. Moreover, improved communication skills fostered greater confidence in interacting with institutional representatives. Enhanced non-verbal communication skills facilitated more attentive observation and responsive interactions with the

[365] More details on: Towards a New European Bauhaus—Challenges in Design Education: EAAE Annual Conference—Madrid 2022 | SpringerLink. Last access: 2/1/2024.

[366] More on the ESPON program: https://www.espon.eu/participate/targeted-analysis-cutoff-march-2024. Last acces: 2/1/2024.

[367] See: www.kbca.lt. Last access: 2/1/2024.

[368] More at: Public Interest Advocacy Fund: VIG FOUNDATION | Public interest | human rights | public rights | public interest and its defence (vigfondas.lt). This NGO was founded by a local lawyer who handles all the cases against the local administration (Municipality). Last access: 2/1/2024.

[369] Partial citation from the Kaunas FCN Questionnaire. Available in the Annex of this study.

environment and individuals. Creativity boosted, which results in the creation of the community opera, as a:

"…device to nurture civil society and to find a fun way to overcome oppressive government structures..."[370]

It cannot be said that financial sustainability has been achieved. The community did not achieve practical knowledge on how to financially sustain its activities. However, the association did contribute to the creation of jobs although mostly part time and temporary contracts related to specific tasks, especially during the Genius Loci project.

3.2 Novi Sad (Serbia) – Almaški Kraj

One of the first settlements in modern Novi Sad (Serbia) is 300 years old Almaški Kraj (Almaš Quarter). It hosts some of the most significant institutions for the city of Novi Sad but also Serbia: the largest Orthodox church in Novi Sad, built in 1797 and the oldest cultural-scientific institution of Serbia, Matica Srpska. It is a unique part of the city, where tradition is preserved and witnesses to the appearance of the historical city and the life of its inhabitants. The feature of this neighborhood is that it has always been "bohemian" because mostly artists and poets lived in it. The district is urban with strong rural features, rich in tangible, but mostly intangible heritage.

The main protagonist of this case study is Almaš Citizen Association (The Association of Citizens for the Protection of Cultural Heritage "Almašani"[371]. The Association was founded in 2005 out of the need to protect the neighborhood from *urbicide*[372], a detailed redesign of the quarter. Thanks to the Association's actions, the urban plan has been withdrawn in 2005 with the argument that it would destroy the valuable cultural heritage. The aim of this endeavor is to

[370] Citation, Kaunas FCN Questionnaire, completed and received on 6/2/2024. Available in the Annex of this study.

[371] More about the Association at: Almašani | Home (almasani.rs). Last access: 15/2/2024.

[372] Citation, Novi Sad FCN Questionnaire, completed and received on 15/2/2024. Available in the Annex of this study.

preserve the soul of this quarter and to improve it by renewing some old traditions, as well as by introducing some new ones.[373] The objective of the association is the formal protection of the neighborhood which has been achieved in 2019 but also raising awareness about the importance of the heritage as well as the reinterpretation of it from different perspectives.

FIGURE 13: *THE MAP OF ALMAŠKI KRAJ. SOURCE: SCREENSHOT FROM THE WEB PAGE OF THE ASSOCIATION:* ALMAŠANI | ALMAŠKI KRAJ (ALMASANI.RS)

Novi Sad is the second biggest city of Serbia (with Belgrade being the biggest) and the administrative center of Vojvodina Autonomous Region. Vojvodina is

[373] As a response to the lack of understanding the importance of Almaški kraj, the Association published in 2013 a *Journal of Almaški Kraj* as an argument for its preservation. Experts from different fields - architecture, literature, sociology - participated in the creation of the Journal. It offers the theoretical basis and reasons for preserving the heritage of the Almaški kraj. The Journal is available here in Serbian and English language: Almašani | zbornik (almasani.rs). Last access: 15/2/2024.

generally a rural area of the state, so Novi Sad has a developed and concentrated agricultural activity. Even though, there are important processes of migrations happening, since many young people decide to move from villages to the city. These migrations have created big social disparities in recent years in the city of Novi Sad. Because of that, the level of poverty in unemployment is increasing[374]. Regarding the cultural heritage assets, generally they are neglected by the public authority, but not only that; as mentioned above reckless urban plans lead to *urbicides* and a loss of the cultural value.

3.2.1 The governance model and results until now

The Association is organized as NGO, founded under the national legislation regarding NGOs[375], covering topics of culture and urban infrastructure. Some of the outcome achieved through the activities of the Association are raising awareness about the significance of the Almaški Quarter, renovation of the local silk factory and its transformation into the cultural center, acquisition of Ambient Assemblage status at the state level in 2019, engagement of the local community and other citizens in urban planning processes, establishment of micro-businesses in cultural tourism and promoting community cohesion[376]. The decision-making process is being organized in the form of assembly.

During its journey it closely collaborated with different figures and institutions. Scientific community is involved in different ways: common research activities, publications and projects. There are three ongoing formal agreements with national and international universities. The private sector has not been involved

[374] Source: "Analiza ekonomskog i socijalnog statusa marginalizovanih naselja u pograničnim oblastima AP Vojvodine – Analysis of economic and social status of marginalized settlements in the areas of AP Vojvodina", CODEX Coordinated Development and Knowledge Exchange on Spatial Planning Methodology Project, Grant Agreement :HUSRB/1203/213/151, August 2013. Available at: https://www.zavurbvo.rs/images/codex/analiza_ekonomskog_i_socijalnog_statusa_marginalizovanih_obl.pdf. Last access: 15/2/2024.

[375] In Serbia, the law regulating NGOs is the Associations Act (Zakon o Udruženjima), Sl. glasnik RS, No. 51/2009, 99/2011 - dr. zakoni i 44/2018 - dr. zakon). Under Article 2 the law defines associations as a voluntary and non-governmental organization of natural and legal persons, founded for the realization of common goals and interests. The text of the act: Zakon o udruženjima (paragraf.rs). Last access: 15/02/2024.

[376] ALMAŠANI Association - Culture and Cultural Heritage (coe.int). Last access: 15/2/2024.

to a satisfying level, although cooperation with other NGOs is very fluent. The relationship with the authorities had been very dynamic: it is to be considered that it started as an activist movement to fight against the project initiated by a local government in 2005. After many years of raising awareness and advocating, the Association managed to get the authorities on its side. Currently, they are both partners in one of the biggest public projects on regeneration of cultural heritage in urban areas. The biggest challenge during the work of the Association is the period of misunderstanding with the authorities and the lack of funds.

The Association contributed to the creation of the strong heritage bond and establishment of the heritage community. The community's feature is the sense of belonging and pride, combined with a strong feeling that it is possible to further develop the neighborhood based on heritage.

It can be said that the community achieved a certain level of financial sustainability, but non total. It relies on small donations when it comes to private sources, but also some public funds, especially though different projects. Despite all that, the Association did not create new jobs, long or short term.

The association's plan for the future is to prioritize issues regarding marginalization and vulnerability.

3.3 Preliminary observations of the Faro Convention Network support cases

Drawing upon the insights gleaned from the Faro Convention Network support cases, initial observations underline the compatibility of FCN cases to the purpose of this analysis. The cases are qualified to follow the pattern of the analytical grid used for the examination of Open Heritage CHLs. Although the initiative for these projects comes from another source, they can fit the theoretical model of commons-oriented structure on which Open Heritage CHLs are based. The objectives of these case studies are more heritage oriented, like for example Novi Sad's raising awareness about the importance of the heritage and reinterpretation of heritage. Still in the end, obtaining economic and social

sustainability and heritage adaptation are a necessary conditions for the success and longevity of initiatives. Hence, this short overview simulates the horizontal comparison of the two FCN study cases.

Regarding the nature of the heritage asset, it is hard to draw concrete conclusions given that they are both oriented towards the mix of tangible and intangible heritage, a whole neighborhood, or a heritage zone. This is a particularity of Faro Convention Network cases, to not be oriented solely towards a premise or set of premises[377]. It is similar to the Rome CHL in this sense, as it also treats ”the whole heritage area and intangible assets”. Occasionally, the object of community's initiative can be a premise, as for example the historical buildings that Kaunas community got for 10 years use and try to re-purpose[378]. Besides these exceptions the ownership of assets that fall under the description of ”neighborhood” or ”heritage area” is always public and renders the decision-making process more complicated. This requires a stronger collaboration with the public administration competent for that area. This collaboration is not always easy to obtain, as the Faro Convention Network cases are always of a strong bottom-up nature, that tries to build up the ties with public administration competent for the relevant heritage asset.

As for the organizational level, both of these cases adopted a formal legal form. While Kaunas opted for an Association, Novi Sad chose NGO. At first glance the association might seem a more fortunate solution as it is more open to access than an NGO. In both cases many different actors are present, which implies the presence of some weaker forms of quintuple or quartuple helix.

Regarding the financial models, both cases rely mostly on the participation of different projects, small donations and voluntary involvement.

[377] The case of Marseille (France) FCN study has not been analyzed in depth, but it is one of the cases that confirms this statement as it is also neighborhood oriented. More about Marseille case and Cooperative Hotel du Nord in the article:
Prosper Wanner, *De l'exercise du droit au patrimoine culturel*, (Cultural Heritage. Scenarios 2015-2017 4, 2017): 53-68.

[378] Data extracted from Kaunas FCN Questionnaire. Available in the Annex of this study.

4. Discussion and findings:

Based on previous exploration of eight diverse case studies, this paragraph will try to deeper understand these cases and find patterns of success and challenges. To do so, the analysis will undertake two approaches. Firstly, the study cases will be examined through the optic of Public-Private-Community Partnerships theory. To make these results more robust and to obtain further verification, same cases will then be observed in the context of the Co-City protocol. It is opted for this solution, in the first place because it will give a view from a different perspective. The Co-City protocol is suitable also because it allows the expression of variables and data in numerical values, which should allow the almost mathematical precision of the final results.

4.1 Study cases within the framework of Public-Private-Community Partnerships theory

Understanding cultural heritage as an urban common and, by consequence, adopting a commons-oriented approach of governance model solves two problems related to the traditional public-private management of heritage. The first one is related to the concentration on the mere protection of the asset instead of the enhancement process. This approach limits the asset to a static and one-dimensional value. The second problem is connected to the exclusion of the local community from the decision-making processes regarding the dynamics that directly affect the quality of their life and places they live. These situations are traditionally related to the top-down initiatives, where these are seen exclusively as a public task at a different level, mostly because these heritage assets are often publicly owned.

The practice of adaptive reuse implies a long term social and economic sustainability. In order to ensure these dynamics, it is important to adopt a governance model that can enable these mechanisms. The model proposed is based on the theories of co-governance developed by the literature on urban

commons[379] and multiple helix governance[380], but also on the principles of Faro Convention on the Value of Cultural Heritage for Society[381].

The Open Heritage project and FCN study cases adopt these ideas, applying the horizontal governance model. These eight cases differ from many points of view, from the geographic contexts to pre-conditions of the cases, as for example the nature of heritage asset and the social-economic context in which the asset is. Taking that into account, different types of partnerships have been created which impacted differently the governance model of the asset. It is to take into consideration that, besides the governance model, there are other factors that affect the processes of adaptive heritage reuse as for example the commitment and entrepreneurial spirit of local communities etc. These factors are beyond the scope of this study since it focuses mainly on the feasibility of the governance models in the case studies.

So, which is the model that guarantees the highest level of sustainability in the short and long term and, consequently, overcoming the vulnerability issue? What are the necessary conditions that lead to such an outcome?

The literature on the governance of the urban commons suggests as an optimal model a Public-private-science-community partnership. It foresees community, innovators, commoners and in general unorganized public as key players. There are also included public authorities, businesses, civil society organizations and science or knowledge institutions – the "quintuple helix governance"[382]. It seems

[379]Sheila R. Foster and Christian Iaione, *The City as a Commons*;
Christian Iaione, *The Co-City*.

[380] Etzkowitz, Henry, and Loet Leydesdorff, *The Triple Helix--University-industry-government relations: A laboratory for knowledge based economic development*, (EASST review 14, no. 1, 1995): 14-19. ;
Poteete, Amy R., Marco A. Janssen, and Elinor Ostrom, *Working together: collective action, the commons, and multiple methods in practice, (*Princeton University Press, 2010);
Carayannis, Elias G., Thorsten D. Barth, and David FJ Campbell, *The Quintuple Helix innovation model: global warming as a challenge and driver for innovation*, (Journal of innovation and entrepreneurship 1, 2012): 1-12.

[381]Council of Europe Framework Convention on the Value of Cultural Heritage for Society, Council of Europe Treaty Series - No. 199, Faro, 27.X.2005 ;
Christian Iaione and Paola Cannavò, *The collaborative and polycentric governance of the urban and local commons*, (Urban Pamphleteer 5, 2015): 29-31.";
Carayannis, Elias G., Thorsten D. Barth, and David FJ Campbell, *The Quintuple Helix innovation model: global warming as a challenge and driver for innovation*, (Journal of innovation and entrepreneurship 1, 2012): 1-12.

[382]Christian Iaione and Paola Cannavò, *The collaborative and polycentric governance of the urban and local commons*";
Carayannis, Elias G., Thorsten D. Barth, and David FJ Campbell*, The Quintuple Helix innovation model: global warming as a challenge and driver for innovation* ."

that the closest results in this sense are related to Rome CHL, Sunderland CHL, Prädikow CHL and Novi Sad, with more or less success. As already mentioned above, by observing the analytical grid, it can be noticed that the most obvious difference between these two examples is the ownership model of the asset. The Rome CHL deals with publicly owned heritage property, which demands tight and constant communication with the public authorities. That kind of relationship is not always possible and depends on the current political climate on the territory. A situation like this risks falling under the "politization" phenomenon. The same worths for Novi Sad. On the other hand, the object of Prädikow CHL project is under the private property of cooperative, which facilitates the process and minimizes dependance on public administration. This situation can be overcome with a strong involvement of public administration, as in the example of Lisbon CHL, where the Municipality was actually a project initiator. This situation, though, falls under the top-down initiatives. Another example is Sunderland CHL where public administration is very involved and enabling. In this case a more horizontal effect has been achieved.

Having said that, it is important to identify conditions that lead to the quality application of the co-governance model based on public-private-community partnerships. By observing the Open Heritage CHLs and FCN study cases we can point out the following conditions:

1. Involvement and presence of the authorities
2. Polycentric governance
3. Solid economic sustainability strategy

This condition represents *conditio sine qua non* for the survival of the community. It can be understood as a connective tissue between the appropriate co-governance model and the effective long-term sustainability. Probably it is the best indicator of the success of the CHLs. If we take a glance to the case studies, today after almost two years since the project ended, the still active CHLs are those that had a stable financial strategy. Prädikow CHL turned its premises into a community farm, and in summer 2024 it will be ready to host new inhabitants into its free community accommodations. A stable strategy can

lead to generating new job opportunities which furthermore leads to the creation of a sustainable microeconomy.

4.2 Study cases within the framework of the Co-City protocol

The Co-City project[383] is deeply rooted in the conceptualization of the "City as Commons"[384] and theory of urban commons. The project is a result of five years experimentation which had as an outcome a protocol[385] that helps to make visible the conditions for a transition of a city to the city as commons. The Protocol outlines the essential requirements for establishing a polycentric governance system for networked urban assets. It consists of five design principles, the associated process, and the tools needed for implementation.

This protocol has been applied and tested in the *Co-Cities Report*[386]*,* a large-scale research project which represents a database of 500+ case studies in 100 cities around the world. Thanks to this report a Co-Cities Index has been created that serves as a tool to measure the implementation of the commons principle in the city.

The Report is an inspiration for the discussion in this paragraph. This study argues that OpenHeritage (and FCN) cases are eligible for the application of the Co-City protocol, first of all because of the similarity with the case studies elaborated in the Report. By similarity it is intended the scale of the sample (the cases in the Report have always been analyzed through the lenses of a concrete project or neighborhood) and the theoretical basis: both OpenHeritage and FCN cases have the urban commons theory integrated into their roots.

For the matter of simplicity but also for the needs of this analysis only design principles are applied to the coding of the data. Besides the design principles, four other variables have been added which reflect the specific objectives of the

[383]Christian Iaione, Elena De Nictolis, and Sheila Foster, *The Co-Cities Open Book for Just and Inclusive Cities*, (LUISS LabGov, 2019): 1-101.
[384]Foster, Sheila R., and Christian Iaione, *The city as a commons*, (Yale L. & Pol'y Rev. 34, 2015): 281.
[385]More about the Co-City protocol: Co-City Protocol | LabGov. Last access:1/4/2024.
[386]Available here: Co-Cities_report_2020.pdf (labgov.city). Last access: 2/4/2024.

case studies to better approach the particularity of the cases. The values, as in Report, have been expresses in *weak*, *medium* and *strong* units, and they have also been assigned numerical values where weak corresponds to 1, medium to 2, and strong to 3.

		OH CHL cases						FCN cases	
		Rome CHL, Rome (Italy)	Pomáz CHL, Pomáz (Hungary)	Prädikow CHL, Berlin (Germany)	Sunderland CHL, Sunderland (UK)	Praga CHL, Warsaw (Poland)	Lisbon CHL, Lisbon (Portugal)	Kaunas (Lithuania) - Šančiai district	Novi Sad - Serbia
Study case project objectives	Successful implementation of the inclusive re-use model that strongly focuses on community engagement and community building? Did the project contribute to the creation/streghtening of the heritage community?	3	2	3	3	2	3	3	3
	Creation of the sustainable economical ecosystem on the local level? Did the project contribute to the creation of a sustainable microeconomy capable of surviving after the project ends?	2	1	3	3	1	2	2	2
	Successful revitalization/renovation of the asset and making it accessible to local community?	2	2	3	3	2	3	2	2
	Did the project help overcoming the vulnerability issues?	2	1	3	3	2	2	3	2
Co-City design principles	Co-governance?	3	1	3	3	3	3	3	3
	Enabling State?	1	0	3	3	3	3	1	2
	Urban experimentalism	3	1	3	3	2	2	3	2
	Poolism?	2	0	3	2	2	2	2	1
	Tech justice?	3	1	1	1	2	1	3	1

TABLE 2:*THE PROJECT OBJECTIVES AND CO-CITY DESIGN PRINCIPLES' VALUES*

Observing the table above it can be noticed that, with different intensities, the majority of projects successfully implemented the inclusive re-use model and contributed to strengthening of the heritage community.[387] The ones that particularly stand out are Prädikow CHL, Sunderland CHL and Lisbon CHL. It is to be noticed that these are the cases where a strong Enabling State is present. This confirms the findings from the above about the necessity of a strong presence of the authorities. It is clear that this element is strictly connected to the Co-governance variable. Generally, where the Enabling State is strong there is also strong Co-governance.

Next, the value of the creation of a sustainable economic ecosystem follows the value of overcoming vulnerability. This is logical and needs no further

[387] To simplify the observation of these results, the numerical values have been summed and then divided by number of variables. This method allows to compare and observe results more comprehensively. It is not meant to be a ranking list of successful study cases. The score implies a higher application of the above-mentioned principles: Rome CHL = 2.4; Pomaz CHL = 1.0; Prädikow CHL = 2.7; Sunderland CHL = 2.6; Praga CHL = 2.0; Lisbon CHL = 2.5; Kaunas = 2.4; Novi Sad = 2.0.

explanation since the regeneration of community and territory is directly dependent on economic resilience.

It is also to be noticed the great disparity between the Tech-justice values. There are only two cases that decided to rely on technology, Rome CHL and Kaunas. It is still early to conclude but it can be sensed that a strong Tech justice can guarantee longevity and growth of a heritage community. More about this topic in the next chapter.

4.3 Conditions for success and problems emerging from the analysis

Based on the analysis above it can be concluded that there are three main conditions enabling the successful heritage-driven collective action. First of all, there is an enabling state as a foundation for the civic bottom-up actions. The indispensable role of a State and public administration creates an environment for the establishment of collective actions and active citizenship.

Starting from that premise, the second point will try to understand how the civic actions are embedded in the institutional environment and what legal instrument is the most appropriate, and how the entrepreneurship can compensate for the lack of legal form.

The third critical point that arises is the matter of financial sources. In order to achieve financial sustainability, the financial input is needed. This is the point of difference between two groups of study cases: while the Open Heritage CHLs had that input through the Horizon 2020 funds, FCN cases did not have anything like that. But, even with EU funds, very often it was not enough. This paragraph will also examine the possible financial arrangements and economic frameworks for the bottom-up actions.

The success of the study cases is reflected in the presence of some of these conditions. The most successful cases have all the three elements present, or the adequate configuration or combination of factors. As an example, where

there is no formal legal form it can (up to a certain point) be compensated with the strong entrepreneurial attitude.

4.3.1 Enabling state condition and challenges

Despite the innovative governance models, the application of bottom-up initiatives has restrictions: it is the public administration that hods the political and administrative responsibility. The results show that the cases where the State, both through its local or national institutions, is present are more prone to success. The State acts as an enabling element which in different ways puts communities into conditions to take initiatives. For example, in the case of Prädikow CHL the German development bank granted favorable loans to the community. Local authorities were fond of this project and supported by additional subsidies and assistance wherever necessary. The monument protection authorities at district and state level accompanied the revitalization of the buildings with instructions and requirements for historical reconstruction and possibilities for adaptation. Similarly, in Sunderland CHL the city council acted as a facilitator and a funding provider. The journey of Novi Sad is interesting, where from the battle against public administration's decisions they reached to the point of close cooperation for common goals and co-partnership in projects. Kaunas is also a particular and paradox example, where the community has support from national authorities, but a very poor and unfavorable relationship with local authorities.

Enabling state as an institutional capacity[388] serves as the foundation for the bottom-up actions, creating the favorable legal system. It refers to the formal rules[389] as regulative norms and legal instruments offered as tools for civic

[388] Alessandro Piperno, Christian Iaione, and Luna Kappler, *Institutional Collective Actions for Culture and Heritage-Led Urban Regeneration: A Qualitative Comparative Analysis*, (Sustainability 15, no. 11, January 2023): 8521.

[389] Douglass C. North, *Institutions, Institutional Change and Economic Performance* (Cambridge University Press, 1990).

actions[390]. In this way the entrepreneurial spirit is fostered, and this is the aspect that is fundamental for enabling bottom-up processes. In this way, public institutions become enablers and platforms of social changes.

The technical – legal tools that can be used as a foundation for civic actions are grounded, first of all, in the constitutional principles. In the example of the Italian case, the already mention Article 118 (4) of the Italian Constitution introduces the principle of horizontal subsidiarity into the system. Then, the relevant Article is also 43, which states that:

"For the purposes of the common good, the law may establish that an enterprise or a category thereof be, through a pre-emptive decision or compulsory purchase authority with provision of compensation, reserved to the Government, a public agency, a workers' or users' association, provided that such enterprise operates in the field of essential public services, energy sources or monopolies and are of general public interest[391]."

Next, Articles 41, 42 and 43 overall enshrine the prevalence of social function utility over private utility. These are the basis for the constitutional responsibility of the state for the strategic policy making. As an example, still staying in the Italian environment, there is as an example the Legislative Decree No. 117, from 3 July 2017, on Third Sector, with a scope to:

"…support the autonomous initiative of citizens who contribute, including in an associated form, to pursue the common good, to raise the levels of active citizenship, social cohesion and protection, fostering participation, inclusion and the full development of the person, to enhance the potential for growth and employment…"[392]

[390]There can be also words about the informal rules and institutions which refer to the long-standing behavioral norms, as traditions, customs, and moral values. They are also important since they can help shaping policies and influence economic empowerment.

[391] Original text of the Art. 43: "A fini di utilità generale la legge può riservare originariamente o trasferire, mediante espropriazione e salvo indennizzo, allo Stato, ad enti pubblici o a comunità di lavoratori o di utenti determinate imprese o categorie di imprese, che si riferiscano a servizi pubblici essenziali o a fonti di energia o a situazioni di monopolio ed abbiano carattere di preminente interesse generale." Texts, both in English and Italian available on the website of the Italian Senate: https://www.senato.it/home. Last access: 14/3/2025.

[392] Article 1 of the Legislative Decree No. 117, 3/7/2017. Full text of the Legislative Decree available in Italian language here: DECRETO LEGISLATIVO 3 luglio 2017, n. 117 - Normattiva. Last access: 10/7/2024.

Other initiatives targeting more a particular field could be enacted by the state institutions, ministries and departments. Such an example is already mentioned as HAZ (Heritage Action Zones), promoted by Historic England which is funded largely by the Department for Culture, Media and Sport. These are only a few of many examples where the State enters into its enabling role. But law and policy making is not the only way a State can be enabling; as can be seen in the cases of Lisbon CHL and Novi Sad, sometimes it can happen that the government takes direct action by involving in the action as one of the direct actors.

The challenge represents the lack of the enabling state element. It mostly represents in the unwillingness of the local administration to collaborate in the civic actions. That happened predominantly in Rome CHL, Kaunas and Pomaz CHL. Empirical evidences show that in those cases another two conditions have to be strong, in order to overcome this lack. On the other hand, the solution could also be to abandon the strict bottom-up idea of the initiatives and adopt a mixed and balanced bottom-up and top-down approach[393].

In the Italian case, this gap between local administration and enabling state is probably rooted in the *organizational principle*[394] of the public administration, which allows the possibility of the public administration to outline new partnership tools.

4.3.2 Co-governance condition and challenges

Governance can take different forms depending on the type of actors involved in the action and their level of involvement. The ultimate objective was to obtain a partnership where all of the five helices of the quintuple helix are present. Multiple helix kind of arrangements guarantee a high level of democratic governance – the more helices there are present, more democratic the governance is. In that sense the governance is a fundamental component. In

[393] Sareen, S., Albert-Seifried, V., Aelenei, L., Reda, F., Etminan, G., Andreucci, M.B., Kuzmic, M., Maas, N., Seco, O., Civiero, P. and Gohari, S.,*Ten questions concerning positive energy districts*, (Building and Environment, 216, 109017. 2022).

[394] This principle is defined by the Article 192 of the Legislative Decree No. 50 from 2016.

fact, better results showed the cases with as many actors of the quintuple helix present as possible. In that configuration the decisions and responsibilities are shared. It is clear that the commitment to a legal structure is an element that smooths the whole process. Precise legal form is very important as it facilitates the access to a set of legal and economic tools which further empowered the community to become more autonomous, but the most important, a defined, democratic and transparent structure guarantees a solid and successful decision-making process.

The legal form chosen most of the times is a form of a *cooperative*, which happened in the cases of Rome CHL, Prädikow CHL, and Lisbon CHL. Analyzing the Italian law on cooperatives, they find their roots in the Article 45 of the Constitution, stating that:

"The Republic recognizes the social function of co-operation of a mutually supportive, non-speculative nature. The law promotes and encourages cooperation through appropriate means and ensures its character and purposes through appropriate checks. The law safeguards and promotes the handicrafts.[395]*"*

This reflects the main characteristics of the cooperative: the *principle of mutuality* [396] . The mutualistic purpose is to provide goods or services or employment opportunities directly to members of the organization on terms more favorable than market terms, in the cases of labor cooperatives. Another particularity of cooperatives is the so-called principle of the *open door*[397] which is an expression of democratic principles adopted by this legal form. Cooperative is considered a type of company, so the general norms applied are those regarding company law, elaborated by the Book VI of the Italian Civil Code, in addition to the norms referring particularly to the cooperatives. Besides the general norms in the Civil Code, cooperatives are regulated also by specific norms on cooperatives, of which the most important are Law on social

[395] Original text of this Article is: "The Republic recognises the social function of co-operation of a mutually supportive, non-speculative nature. The law promotes and encourages cooperation through appropriate means and ensures its character and purposes through appropriate checks. The law safeguards and promotes the handicrafts". Available on the website of the Italian Senate.
[396] Article 2511 of the Italian Civil Code.
[397] Article 2528 of the Italian Civil Code.

cooperatives No. 381, 8 November 1991, Law No.142, 3 April 2001, regulating the position of the member employee, etc. Taking into consideration these features of cooperatives, it is clear that they can represent the public-community partner that together with the public- apparatus, regulates and enables relations among the five actors of the quintuple helix. The theoretical conviction that the Cooperative can be a public partner is rooted in practical tools that now emerge from the new public contract regulations, set forth in Legislative Decree No. 50/2016, the so-called Public Contracts Code, which transposed the three 2014 European directives (2014/23/EU, 2014/24/EU, 2014/25/EU). These considerations are related to the Italian legal system, but it is certain that in the systems of other countries a form of cooperative represents the most adequate model too. In the end, it is also a chosen model of the German and Portuguese case.

What about the civic actions that did not choose any form? According to the literature, the motivational driver for the collective action can be institutional framework[398] which has already been discussed, and on the other hand the social context[399] or, in other words, entrepreneurship.

Entrepreneurial spirit is something that brings new opportunities or simply creates them[400]. Entrepreneurs provide motivations to participants whose interests do not completely match with cooperating ones[401]. Entrepreneurialism influences society and favors collaborative actions. Relevance of the entrepreneurial attitude is high in the formal organization[402] but in the informal

[398] Elinor Ostrom, *Governing the commons: The evolution of institutions for collective action*, (Cambridge university press, 1990).
Mick G. Carney, *The strategy and structure of collective action*, (Organization studies 8, no. 4, 1987): 341-362
David Knoke, *Incentives in Collective Action Organizations*, (American Sociological Review 53, no. 3, 1988): 311–29.
[399] Gould, Roger V., *Collective action and network structure*, (American sociological review, 1993): 182-196.
Marwell, Gerald, Pamela E. Oliver, and Ralph Prahl, *Social networks and collective action: A theory of the critical mass. III*, (American journal of Sociology 94, no. 3, 1988): 502-534.
[400] Alvarez, Sharon A., and Jay B. Barney, *Discovery and creation: Alternative theories of entrepreneurial action*, (Strategic entrepreneurship journal 1, no. 1-2, 2007): 11-26.
[401] Douglas D. Heckathorn, *The Dynamics and Dilemmas of Collective Action*, (American Sociological Review 61, no. 2, 1996): 250–77.
[402] Christian Iaione, Elena De Nictolis, and Maria Elena Santagati, *Participatory governance of culture and cultural heritage: Policy, legal, economic insights from Italy*. (Frontiers in Sustainable Cities 4, 2022).

organization it is of the crucial significance as is can somehow compensate for the lack of a legal form.

4.3.3 Financial condition and challenges

This condition represents *conditio sine qua non* for the survival of the community. It can be understood as a connective tissue between the appropriate co-governance model and the effective long-term sustainability. Probably it is the most evident indicator of the success of the CHLs. If we take a glance at the case studies, today after almost two years since the project ended, the still active CHLs are those that had a stable financial strategy. Prädikow CHL turned its premises into a community farm, and in summer 2024 it will be ready to host new inhabitants into its free community accommodations. A stable strategy can lead to generating new job opportunities which furthermore leads to the creation of a sustainable microeconomy.

The way the concept of cultural heritage and heritage communities has been set implies community engagement towards community sustainability. A sustainable community can be understood as a community that uses its resources, in this case cultural heritage, to meet its needs while ensuring that resources will be available for future generations. This statement has two poles, meaning that on one side, cultural heritage serves to improve livability and quality of life of the community on the long term, while on the other side it does not exhaust, and it stays in the same form for the future. By prioritizing reuse system, sustainability supports circular economy practices. Although the boundaries and synergies between the circular economy and sustainability are not explored[403], this study is based on the reuse of the cultural heritage as an entry point to the circular economy. Sustainability itself is no longer enough; circularity is what mimics the nature and natural circles in the closest way[404]. At

[403] Pieroni, Marina PP, Tim C. McAloone, and Daniela CA Pigosso, *Business model innovation for circular economy and sustainability: A review of approaches*, (Journal of cleaner production 215, 2019): 198-216.
[404] Zelený, Milan, and Kevin D. Hufford, *The application of autopoiesis in systems analysis: Are autopoietic systems also social systems?*, (International Journal Of General System 21, no. 2, 1992): 145-160.

the community level, discussion moves towards the circular micro-economy, as a phase towards urban regeneration.

To reach the heritage reuse circular micro-economy there are two elements needed: the right governance model, and the financial arrangements and economic framework. Since the governance model has already been discussed, it is important to explore some financial structures able to trigger the creation of the circular micro-economy. In order to enter into the discourse of heritage reuse-driven circular micro economy and cover initial necessary investments, there is need to access the capital and stable models of economic sustainability.

There are cases across Europe that use structures, mechanisms of funding and experimental resources to finance their actions. Some of those resources are at the level of the European Union, like for example European funding, which are relatively new financial instruments that exist to respond to societal needs. One of those funding opportunities is Horizon Europe Research and Innovation program, from whose funds the Open Heritage project has been financed, based on which this empirical study has been conducted.

The common idea to access the initial capital for most of the organizations would be to ask for a bank loan. In order to avoid traditional funding through the classical bank for which the only priority is maximization of profit, organization refer to the alternative financial institutions, like ethical and cooperative banks. These banks have a distinct self-perception regarding their societal role, prioritizing the purpose and responsible use of money for social impacts as their primary goal. The example of such bank is *Banca Etica*[405] in Italy, founded in 1999 by a coalition of NGOs. The bank gathers savings from private individuals, organizations, companies, and institutions, and invests them in initiatives that have both social and economic goals, based on social, environmental, labor and governance standards. For this reason, also CooperACTiva opted to manage its economies through Banca Etica.

In addition to these type of banks, private foundations are also emerging across Europe as significant players in cooperative urban development. Few

[405] Details on Banca Etica are available on their website: https://www.bancaetica.it/. Last access: 22/05/2024.

foundations are specialized in the preservation of public good assets. An example of a foundation like this is *Stiftung Trias*[406], which is also a partner in the Open Heritage project on behalf of a German study case and, as such, applies its financial model to the study case. Basically, Trias acquires the property with its own funds and in that way removes the land from the market. After the restoration process, Trias keeps the land and gives the building on a long-term lease. The lease profit is going back to the foundation to be reinvested again into another project.

Another type of financing could be crowdfunding. In the last years this model became highly used by communities to finance their projects. It is defined as "a collective effort of many individuals who network and pool their resources to support efforts initiated by other people or organizations"[407]. This definition implies that this is an internet-enabled way of financing projects. The Co-Roma platform, which digitally supports the Italian Open Heritage case study, adopts crowdfunding as a financing model for one of its pillars.

Crowdsourcing would be another type of technology supported model. It is the practice of turning to a body of people to obtain needed knowledge, goods, or services. It is a different type of support from crowdfunding, since it is about sharing ideas, solutions, or services between a large and diverse group of people, also often through online communities. The Co-Roma's second pillar represents crowdsourcing. Also, Lithuanian study case's platform, Genius Loci, can be defined as a crowdsourcing platform.

These financial resources are some of the possibilities that communities have at their disposal. But, according to Patti and Polyak[408], the public administration should have a bigger role in the events on their territories. They should be in contact with the activities on their ground and to be aware of local needs. Public authorities can provide not only financial support, but also other kind of support like for example spaces, contacts, trainings, and guarantees with financial

[406] Details on Stiftung Trias available on their website: https://www.stiftung-trias.de/home/. Last access: 22/05/2024.
[407] De Buysere, Kristof, Oliver Gajda, Ronald Kleverlaan, Dan Marom, and Matthias Klaes, *A framework for European crowdfunding*." (sThi work is licensed under a Creative Commons Attribution-NonCommercial-ShareAlike 3.0 Unported License, 2012).
[408] Daniela Patti and Levente Polyak, *Funding the Cooperative City* (Cooperative City Books), 2017.

institutions. In that sense, besides the successful alternative funding models available, the role of public administration will still be important and indispensable for the heritage reuse-driven initiatives.

4.4 Observations from the regulatory perspective

The preceding analysis and findings provide a highly theoretical perspective on the practical realities of cultural heritage governance, highlighting the challenges, limitations, and emerging needs that arise within this framework. A fundamental question that emerges is whether these needs are acknowledged within the regulatory framework at any level. Additionally, do existing regulations provide robust legal mechanisms to effectively address and fulfill these objectives in a satisfactory way? In order to answer these questions, it is necessary to go back to the considerations from Chapter II regarding the regulatory framework at international, EU and national level. Do current available legal tools provide enough support for the realization of the multistakeholder governance of cultural heritage in the heritage community, in order to obtain regeneration and financial sustainability? For sure, significant progress has been made in ensuring effective protection, valorization, and participatory management of heritage sites, as evidenced by the analysis presented in Chapter II. But the previous analysis indicates some important gaps.

Primarily, with the exception of the Faro Convention, the concept of a heritage community has not been explicitly recognized or formally defined in any other national or supranational legal document. No other framework grants it a distinct status, despite its unique role in the connection to the heritage and the sense of belonging. The UNESCO Conventions, naturally, do mention communities but they do not have a central role but a rather lesser one[409]. The

[409] Some more space to the communities is given by the UNESCO Convention for the Safeguarding of Intangible Cultural Heritage of where the communities are closely associated to Intangible Cultural Heritage, and are also, as a consequence, inherently connected to identity. This relationship is often presented in an unquestioned and idealized manner, without acknowledging the complexities between these elements that may arise within and between them.

UNESCO does not give deserved space to the local communities[410] in the sense of the definition of the heritage community from the Article 2(b) of the Faro Convention. This can be seen also through the UNESCO Operational Guidelines, that do not give a lot of space to the communities in the management of their heritage [411]. As previously examined in the preceding chapter, the Italian regulatory framework delegates these matters to the jurisdiction of regional authorities. As previously noted, current regulations and policies do not explicitly address the concept of community in relation to its cultural heritage, leaving a gap in the legal recognition of heritage communities within governance structures.

In the terms of the three conditions previously analyzed, the enabling state, co-governance and financial condition, the regulatory framework does not enter into deep with offering some concrete tools and instruments. The enabling state appears to exist mostly as a constitutional principle, at least in the case of Italy. Existing legal mechanisms often fall short in providing adequate support for financial sustainability and community empowerment. The quintuple helix model, which advocates for multi-stakeholder governance, aligns with emerging legal trends emphasizing subsidiarity, participatory governance, and adaptive reuse. However, a stronger regulatory push is still needed to bridge the gap between heritage conservation and reuse policies and their practical implementation, ensuring that cultural heritage becomes a functional asset in sustainable urban development[412].

In the case of Italy, very often there is a constraint deriving from the fact that the exclusive competence of the State in matters of protection of the cultural heritage can reduce the autonomy of a managing entity, as there can be imposed limits and obligations on the use of cultural assets. Related to this there is also the fact that cultural heritage is primarily publicly owned means that the

[410] Brumann, Christoph, *Community as myth and reality in the UNESCO World Heritage Convention*, Between imagined communities and communities of practice: participation, territory and the making of heritage 8 (2015): 273-289.

[411] Deacon, Harriet, and Rieks Smeets, *Authenticity, value and community involvement in heritage management under the world heritage and intangible heritage conventions*, (Heritage & Society 6, no. 2, 2013): 129-143.
Jang, Hanbyeol, and Jeremy Mennis, *The role of local communities and well-being in Unesco world heritage site conservation: An analysis of the operational guidelines, 1994–2019*,(Sustainability 13, no. 13, 2021): 7144.

[412] Iacovone, Giovanna, *Pubblico e privato nella gestione dei beni e dei luoghi della cultura. Sussidiarietà e partecipazione, la forza dei legami deboli*.

asset is usually granted to the managing entity under concession rather than transferred in ownership (remaining in the State or local authority's public property). This has legal implications, such as the inability to build complex financial instruments based on the market value of the conceded asset[413]. The principle of co-governance has been largely adopted, but in the case of the cultural heritage the regulatory framework does not offer a concrete model or tool of management. The tools and mechanisms do exist, but they can be mapped (as it has been done) from a more general provisions.

5. Conclusion: what can be next?

The analysis of available data gave an insight into the relationship between different variables. Before the final conclusion it is important to set up the criteria for the success of the study cases. To do so, it is necessary to understand what success is for these study cases. As previously observed, the decisive factors are the enabling state, governance model and financial sustainability. But, besides these, there are other factors which can be summed up in the rest of the Co-City principles that play a significant role. Overall, it is useful to go back to the main research question of this study: could a multistakeholder cooperation be built on a cultural heritage as a central concept in a local community in order to lead to the regeneration and financial sustainability of a vulnerable territory? This question also gives an answer to which ultimate criteria should be applied to measure the success of a case: those are regeneration and financial sustainability. Which of these cases reached this goal?

In her book "Gloom to Boom"[414] Andrea Bonime-Blanc gives an answer to why sustainability matters by claiming that "it is all about surviving and thriving – not just surviving without creating a value or thriving without creating resilience

[413] CammellI, Marco, *Diritto e gestione dei beni culturali*, (Bologna, 2011): 175.
[414] Andrea Bonime-Blanc, *Gloom to boom: how leaders transform risk into resilience and value*. (Routledge, 2019).

because either of these two situations can lead to failure"[415]. In her opinion, sustainability represents a combination of leadership and resilience (Sustainability = Leadership + Resilience). Bonime-Blanc positions this concept in the context of organizations, so by leadership she considers individuals in charge of paramount decision-making in organizations or companies. But if the word "Leadership" would be substituted with the word "Governance", whereby governance is considered a model adopted in this study and applicable to communities, then the formula would look like this:

Sustainability = Governance + Resilience

In the analytical grid, the key elements of analytical framework areas that indicate resilience are *overcoming vulnerability issues, creation of the economical ecosystem, creation/strengthening of heritage community* and *revitalization of the heritage asset*. Following Bonime-Blanc's typology of resilience it can be said that, depending on quality and intensity, resilience can be *vicious, fragile, robust* and *virtuous*. If these elements are understood like this and then applied to the formula, visually it would look like this:

[415] This work does not have a scientific approach but rather corporative. Still, it gives interesting insights which can be an inspiration for a scientific construction.

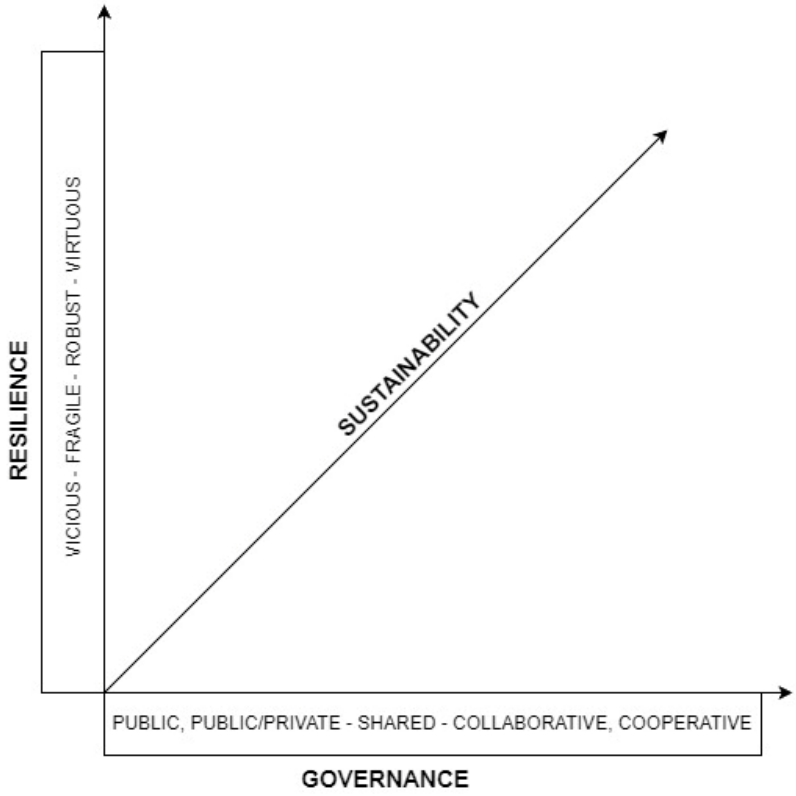

FIGURE 14*: SUSTAINABILITY GRAPH, WITH RESILIENCE AND GOVERNANCE TYPOLOGY. INSPIRED BY ANDREA BONIME-BLANC.*

Using the simple mathematical operation by summing up the values got applying the Co-City protocol methodology and dividing by their number, supported by the pattern above, following results come up, which can be understood as a sustainability index[416], for the purpose of distinguishing ultimate criteria for the success of case studies:

- Pomaz CHL = 1.25
- Praga CHL = 1.87
- Novi Sad = 2.12
- Rome CHL = 2.32
- Kaunas = 2.45
- Lisbon CHL = 2.50
- Sunderland CHL = 2.80
- Prädikow CHL = 2.85

[416] Where the maximum value is 3.0 while minimum is 0.

According to Bonime-Blanc, the highest level (or ”the top of evolutionary ladder”) of organizational resilience and sustainability is the transformative organization. Again, inspired by this statement, this study will replace word “organization” with “community” [417] , so there can be discussion on “transformative community” with the highest sustainability index. But transformative to what? What can be next?

[417] The author herself claims that these concepts can be applied to every type of organization, no matter transnational, national or local level.

Chapter IV – Conclusions: the extra enabling factors for the empowerment of vulnerable communities in cities. Innovation and smart services through the example of energy communities and digitalization

Summary:

1. Introduction to the chapter.

2. Growing a heritage community - the opportunities of energy communities for the resilience of heritage regeneration processes. 2.1 An energy community as a solution for a heritage community: sui generis forms of partnership. 2.2 A heritage community as a solution for the difficulties of the creation of energy communit 2.3 The prospective of CooperACTiva to become energy community.

3. Digital services, tech justice and heritage communities: a path towards resilience and innovation? 3.1. The principle of Tech Justice. 3.2. Contribution of the digitalization to the cultural heritage and its community.

4. Conclusions: A path towards resilience and innovation?

1. Introduction to the chapter

The previous chapter presented a detailed analysis of case studies, examining six Open Heritage Cultural Heritage Labs alongside two cases from the Faro Convention Network of support. The findings indicate that each of these initiatives has achieved a degree of sustainability, demonstrating varying levels of long-term viability and resilience. However, none of them reached a sustainability index of 3, which represents the highest level of sustainability - defined as "transformative" by Andrea Bonime-Blanc.

It is necessary to take some steps back in order to understand transformative sustainability. As already said in the previous chapter (always following the theoretical concept of Bonime-Blanc), sustainability depends proportionally on

two elements: governance and resilience. In the case of transformative community (the highest level of sustainability) the governance element implicates collaborative or cooperative governance, a multilateral partnership between several actors or, in the best case, a quintuple helix model[418].

In the case of resilience, on the other hand, the author claims that the highest level of sustainability corresponds to the *virtuous resilience lifecycle*. But to explain virtuous resilience it is necessary to start from the *generic* one first. The best way to do so is by breaking it into elements. The generic resilience lifecycle contains eight elements [419] of which the most relevant for this study are: governance, stakeholders, and improvement. The best possible virtuous resilience lifecycle consists of variations on the theme of these elements[420]: lean-in governance, stakeholder emotional intelligence, and innovation ethos. If this idea is applied to the context of a community, the lean-in governance can be understood completely differently, as a polycentric organization for the governance. Stakeholder emotional intelligence reminds of the discourse of capacities and entrepreneurship that community develops which, together with empowerment lead to resilience (Chapter II). The innovation ethos is the most interesting one; it is intended as "the idea of transforming risk into value". In the context of heritage communities, it could be understood as an element that transforms vulnerability into value, but reaching the highest level, not only improving. For this occasion, it will be understood literally and roughly – as an innovation towards transformation.

This conclusive chapter will propose the possible options for innovation that could help to overcome these problems. It will offer the basis of how the future research could develop in order for a heritage community to transform, why, and into what. Furthermore, it will propose a solution to some problems that emerged in the analysis from the previous chapter, regarding the gaps in the regulatory frameworks of cultural heritage and heritage communities.

[418] Carayannis, Barth, and Campbell, *The Quintuple Helix Innovation Model.*

[419] The full list of these elements is: governance, culture, stakeholders, risk, strategy, performance, crisis, and improvement. Not all of them are relevant for this study.

[420] The full list of these elements is: lean-in governance, a culture of empowered integrity, stakeholder emotional intelligence, risk intelligence, strategic ESGT, performance equilibrium, crisis readiness and innovation ethos, respectively relevant.

The first part of the chapter will propose the energy communities as an entity to which a heritage community could evolve. Are heritage communities connected to energy communities and if yes, how? What is the point of the intersection on their path to resilience? Put differently, this section will explore the reciprocal relationship between energy communities and heritage communities, illustrating how each can address the gaps and challenges of the other. It will demonstrate that while energy communities focus on sustainable energy production and self-sufficiency, and heritage communities center around the preservation and management of cultural assets, their distinct purposes are inherently complementary. This analysis will show how energy communities can provide heritage communities with innovative solutions for the gaps discussed in the previous Chapter, while heritage communities can offer energy communities a stronger sense of cultural heritage identity which can further boost the community engagement, necessary for the constitution of the energy community. Besides that, a heritage community can also offer a solution to the financial difficulties of constituting the energy community. Ultimately, this discussion will highlight the synergistic potential of integrating these two community models to foster greater resilience, long-term viability, and social cohesion. The second part of the chapter will focus on digitalization and heritage community. The idea that is behind this paragraph is that digital platform could foster the development of the local economy and become a tool for collective actions and participation.

2. Growing a heritage community - the opportunities of energy communities for the resilience of heritage regeneration processes

The research period with Eutropian organization brought some very fruitful insights into the future of the Open Heritage CHLs. Eutropian followed the project as a partner in charge of data collection, so it had approach to a large amount of information regarding every CHL. During this period of research, an interview[421] was conducted with dr. Daniela Patti, one of the co-founders of the

[421] This interview has been conducted on the 30/05/2024 at Eutropian's office in Rome. The recording, transcription, and accessory documentation is available on demand on in the Annex of this study.

organization. According to her, there are three CHLs that showed the best results. Those are Lisbon CHL given the strong commitment of the public administration, Prädikow CHL which had the strongest sustainability plan thanks to Trias Foundation with its ethical fundings, and Sunderland CHL which, on the other hand had a combination of these two conditions. There are many criteria to establish the success rate of a study case, but overall, these are the ones that have probably managed to have the most effective results. These statements confirm the findings from the previous chapter. But, as the final results showed in the conclusion, none of them reached transformative sustainability. So, what is the innovation ethos for these case studies?

In order to answer that question, the approach will change its direction: currently, Eutropian follows many projects of which some are concerning energy communities. One project in particular, *Energy4All* draws attention. Energy4All[422] is a project funded by the Driving Urban Transitions program (DUT)[423], and it explores the role of communities in designing and implementing Positive Energy Districts (PEDs) and Energy Communities (EC), by applying participatory governance practices. One of the study cases of the Energy4All project is Quarticciolo, a community in Rome located in the eastern part of the city, adjacent to CooperACTiva. Moreover, their "jurisdiction" often overlaps: they are participating together in some of the neighborhood initiatives, particularly those regarding the protection of natural resources of the easter part of Rome in Parco di Pratone and the abovementioned Archeological Park of Centocelle. Quarticciolo is an informal organization, so without any legal form, but acting as a cooperative. They are committed to some commercial activities like, for example, producing a local beer, branded as "made in Quarticciolo", or activities related to boxing, which became a historical tradition for the community. In every sense, Quarticciolo has traits of a heritage community. Dr. Patti says:

"Many of them (communities) sometimes probably don't even recognize themselves at first as a heritage community. I think that it might be interesting… sometimes they recognize the heritage and build the community

[422] More about the project on the project's website: https://energy4allproject.eu/. Last access: 30/05/2024.
[423] More about DUT: https://dutpartnership.eu/. Last access:29/05/2024.

around a heritage, but not necessarily have the self-consciousness of being a heritage community as such."[424]

Is Quarticciolo a heritage community that is reaching its innovation ethos? Everything indicates that the answer to this question is yes. The innovation ethos of Quarticciolo is its transformation path to the energy community. Again, dr. Patti says:

"…I think it is also because it entails an issue of proximity… if the people that are recognizing themselves around a building, a park, a public space, if they recognize themselves as a community because they live there, because they work there, because of whatever reason, they somehow are familiar with that place, it somehow means that you will have a proximity of going there, of knowing, and that allows them to build the connections with other people. So, I think there is a human physical element that goes in heritage that is very, very strong."[425]

On the other side, the question that could be asked is "what is needed for an energy community to constitute?" An answer can be found above: a community with a strong identity. According to dr. Patti, there are more conditions that lead to the creation of the energy community. Those would be, in the first place, a *collective struggle.* This collective struggle can be identified with the community vulnerability this study is based on. Then, a collective struggle necessarily leads to *solidarity.* The solidarity element indicates collectivity, an opportunity to "collectively get on board" and the necessity to "interact with the neighbor"[426].

Are there any indications of this innovation ethos in the Open Heritage and FCN study cases? Going back to the analytical grid and the questionnaires, it can be seen that some of the study cases have such ambitions. Examples of such cases would be Rome CHL and Prädikow CHL.

[424] Dr. Daniela Patti for Eutropian, Interview on the 30/05/2024. Transcription available in the Annex of this study.
[425] *Idem*
[426] Dr. Daniela Patti for Eutropian, Interview on the 30/05/2024. Transcription available in the Annex of this study.

2.1 An energy community as a solution for a heritage community: the sui generis forms of partnerships

Before finally "growing" the heritage community to the energy community, it is necessary to understand what kind of partnership an energy community is. The answer to that question can be found in the regulations on energy communities, in the first place the EU ones. Subsequently, the analysis will explore how this issue has been addressed within the Italian regulatory framework.

In order to understand where energy communities come from it is needed to go a few steps back, to the European Green Deal. As already mentioned in the introduction of this study, the European Green Deal is Europe's answer to the significant challenges posed by climate change, with the goal of making Europe the first climate-neutral continent by 2050. Aligned with the commitments of the Paris Agreement[427], it aims to transform the EU into a modern, resource-efficient, and competitive economy. The objectives include achieving zero net greenhouse gas emissions by 2050, decoupling economic growth from resource use, and ensuring that no person or place is left behind. The European Green Deal acts as an umbrella for many other documents issued by the European Union. One of those is "Clean Energy for All Europeans" package[428], which officially introduced the energy communities to the European Union. Adopted in 2019, this package introduced the concept into legislation, specifically defining them as citizen energy communities and renewable energy communities.

Another crucial document which enabled energy communities in the EU is the "Renewable Energy Directive" from 2009[429], which established the legal

[427] The Paris Agreement is a legally binding international treaty on climate change. It was adopted by 196 Parties at the UN Climate Change Conference (COP21) in Paris, France, on 12 December 2015. It entered into force on 4 November 2016. The full text of Paris Agreement available here: https://unfccc.int/files/meetings/paris_nov_2015/application/pdf/paris_agreement_english_.pdf?gad_source=1&gclid=CjwKCAjw7s20BhBFEiwABVIMrelF9wHZ4KchdS0-Pc4d5pGJ-GyEShxqKVBp72UEafsxRVMdPrQacRoCQLAQAvD_BwE. Last access: 11/6/2024.

[428] The whole package is available on the website of the European Commission here: https://energy.ec.europa.eu/topics/energy-strategy/clean-energy-all-europeans-package_en. Last access: 11/6/2024.

[429] Directive 2009/72/EC of the European Parliament and of the Council of 13 July 2009 concerning common rules for the internal market in electricity and repealing Directive 2003/54/EC. Official Journal of the European

framework for the development of renewable energy across all sectors in the EU economy. It promotes sources of "green energy" and sets a target of 20% renewable production and consumption by 2020. This directive was then revised in 2018. The new directive, known as RED II[430], set a binding target of 32% for the overall share of energy from renewable sources in the EU's gross final consumption of energy in 2030. This directive regulates renewable energy communities.

Lastly, considering EU context, there is the IEM directive from 2019[431] which sets legal framework to protect energy communities and give them equal treatment under EU law, allowing them to "…*operate on the market on a level playing field without distorting competition, and the rights and obligations applicable to the other electricity undertakings on the market should be applied to citizen energy communities in a non-discriminatory and proportionate manner*[432]." This directive regulates citizen energy communities.

In Italy, this discipline has been introduced through the Legislative Decree from 8 November 2021, No. 210[433], implementing IEM and regulating citizen energy communities, and Legislative Decree from 8 November 2021, No. 199[434], implementing RED II and regulating renewable energy communities.

It results from this overview on these documents that there are two types of energy communities. Further analysis will show that they are very similar but not completely compatible. RED II, in Article 2 titled "Definitions" under point 16 defines renewable energy communities (hereinafter REC) as "*a legal entity:*

Union. Full text of the Directive available here: https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2009:211:0055:0093:en:PDF. Last access: 11/6/2024.

[430] Directive (EU) 2018/2001 of the European Parliament and of the Council of 11 December 2018 on the promotion of the use of energy from renewable sources (recast). Official Journal of the European Union. Full text of the Directive available here: https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32018L2001. Last access: 11/6/2024.

[431] Directive (EU) 2019/944 of the European Parliament and of the Council of 5 June 2019 on common rules for the internal market for electricity and amending Directive 2012/27/EU (recast). Official Journal of the European Union. Full text of the Directive available here: https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32019L0944. Last access: 11/6/2024.

[432] Point 46 of the Preamble of the IEM directive.

[433] Decreto Legislativo 8 novembre 2021, n.210.

[434] Decreto Legislativo 8 novembre 2021, n.199.

a. *which, in accordance with the applicable national law, is based on open and voluntary participation, is autonomous, and is effectively controlled by shareholders or members that are located in the proximity of the renewable energy projects that are owned and developed by that legal entity;*
b. *the shareholders or members of which are natural persons, SMEs or local authorities, including municipalities;*
c. *the primary purpose of which is to provide environmental, economic or social community benefits for its shareholders or members or for the local areas where it operates, rather than financial profits.*"

According to this definition, the participants to REC are natural persons, local authorities, and micro-, small and medium sized enterprises are eligible to participate. The same members also control REC, with the condition to be "in proximity" to the project owned by the community. REC has to remain autonomous from individual members or shareholders, meaning that the decision-making power must not be disproportionate between members, following principles of democratic governance.

On the other hand, Article 2 (11) of the IEM defines citizen energy communities (hereinafter CEC) as "*a legal entity that:*

a. *is based on voluntary and open participation and is effectively controlled by members or shareholders that are natural persons, local authorities, including municipalities, or small enterprises;*
b. *has for its primary purpose to provide environmental, economic or social community benefits to its members or shareholders or to the local areas where it operates rather than to generate financial profits; and*
c. *may engage in generation, including from renewable sources, distribution, supply, consumption, aggregation, energy storage, energy efficiency services or charging services for electric vehicles or provide other energy services to its members or shareholders."*

Regarding the participation to CEC, IEM goes further stating in the point 44 of Preamble that "*membership of citizen energy communities should be open to all categories of entities*." This means that, beyond the participants of REC, large enterprises are also eligible to participate. But, as far as it regards control, large enterprises are excluded together with medium sized companies: effective control is limited to members that are natural persons, micro- and small enterprises, and local authorities. In addition, REC requires also the proximity of members, which means that in order to control members cannot be outside of this geographical proximity.

Besides these differences in participants and control, there are other differences that can be deducted from these directives. RED II contains, in its point 71 of Preamble, the principle of autonomy. It states that "*To avoid abuse and to ensure broad participation, renewable energy communities should be capable of remaining autonomous from individual members and other traditional market actors that participate in the community as members or shareholders, or who cooperate through other means such as investment*". This principle guarantees the democratic governance and adequate representation of all the members. IEM does not contain such a principle. Last but not least, the difference is, although it seems obvious, in the activities. While CEC are engaged across the electricity sector, REC focus only on renewable energy.

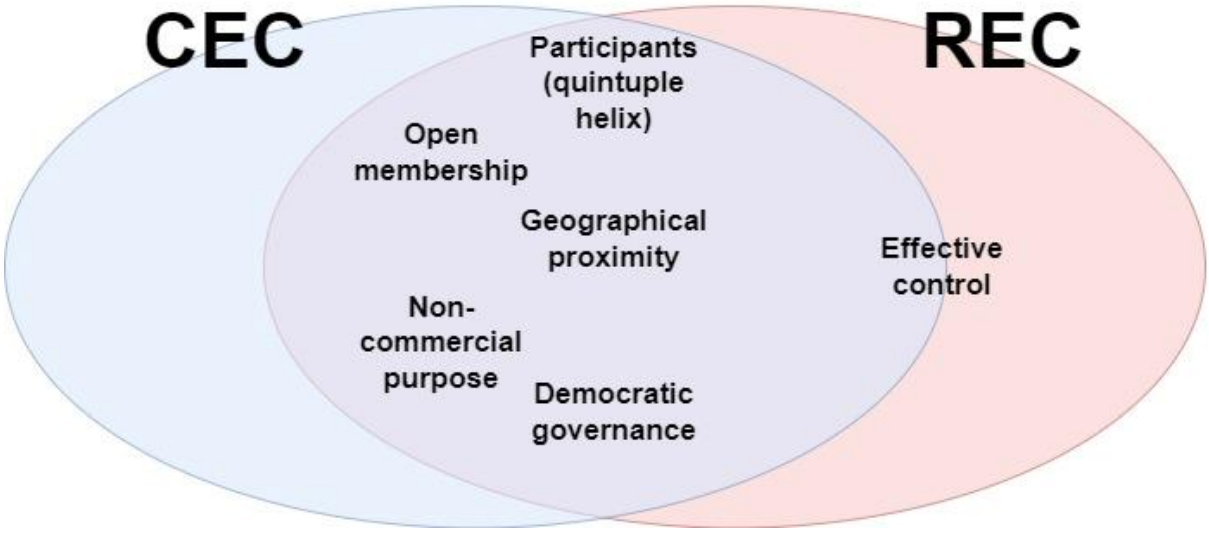

FIGURE 15: *THE ELEMENTS OF CITIZEN ENERGY COMMUNITY AND RENEWABLE ENERGY COMMUNITY.*

Differences aside, these two types of energy communities are also similar to each other. On the first place, the purpose both is to provide environmental, economic or social community benefits for its members or the local areas where it operates rather than financial profits. Next, the participation in both must be open and voluntary. Lastly, the control is in the hands of citizens, local authorities and smaller businesses that are not already active in the energy sector. As a conclusion, it can be said that REC can be seen as a type of a CEC. For the purpose of this study the general idea of an energy community will be adopted. In the cases in which the differences between them play an important role, the configuration of REC will be taken into account, in relation to the Green Deal and the renewable nature of the energy it deals with.

The general interest of the energy community is to produce energy. In this configuration of, citizens become *prosumers*[435], and collaborate with public administration and private subjects for the purpose of common interest. They reflect collaboration and solidarity as an element of collectivity, the "interaction with the neighbor" mentioned above. As such, they share the same principles as heritage communities. In the same way, they fall under the description of the principle of collaboration from Article 2 of the Italian Constitution[436] and the principle of horizontal subsidiarity from Article 118 of the Italian Constitution[437].

The RED II and IEM do not prescribe a legal form for the energy communities. They just set criteria that describe the model that should be adopted. Energy communities must be legal entities, separate from their members. Next, their main purpose must be non-profit. Naturally, this does not mean that energy communities cannot carry out commercial activities, but they must always have an accessory, instrumental or functional character to achieve their primary purpose. Lastly, participation must be open and voluntary for all subjects[438]. All

[435] A"prosumer" is an individual who both consumes and produces. The derives of the words "producer" and "consumer". The terms "prosumer" and "presumption" were coined in 1980 by Alvin Toffler, an American futurist.

[436] It is implicit and reflects the solidarity of the energy community.

[437] It reflects in the duty od the state and local authorities to promote autonomous initiative of citizens to acrry out the activities of general interest.

[438] Napolitano, Clara, and Alessandro Gorgoni*, Energy As A Common: New Paths Of Production. The Key-Role Of Energy Communities In The Italian Context*, (*Ius Publicum* 2, 2023): 1-38.

of this implies that the most suitable legal form in most legal systems for an energy community would be a cooperative or association, also taking into consideration that these forms provide the high level of democratic processes given their rule “one member, one vote”. This setting of an energy community is directly taken by the Article 31 of Legislative Decree 199/2021, which defines Renewable Energy Communities as an autonomous legal entity with an open and democratic structure, whose members may include natural persons, small enterprises, associations with private legal personality, local authorities, research and educational institutions, Third Sector entities and environmental protection organizations, religious entities, as well as local administrations included in the list of public administrations published by the National Institute of Statistics (ISTAT), in accordance with Article 1, paragraph 3, of Law No. 196 of December 31, 2009. These entities must be located within the same municipalities where the energy-sharing facilities are installed, ensuring that the community has both availability and control over them. Taking into account all these requirements, according to the Italian law adequate juridical forms for the constitution of an energy community could be: associations[439], cooperatives[440],

[439] Associations in Italy are governed by Articles 14-42 of the Civil Code. They are collective entities composed of natural or legal persons, established for non-profit purposes, typically pursuing altruistic or idealistic goals. While associations may engage in economic activities, these must be secondary to their primary institutional objectives, and profits cannot be distributed among members. Additionally, Legislative Decree 117/2017 (Third Sector Code) establishes a special legal framework for associations that register with the Unified Register of the Third Sector (RUNTS), granting them legal personality and ensuring full patrimonial autonomy. This means that the association itself—rather than its members—is solely responsible for its debts, protecting members from personal financial liability.

[440] Cooperatives have already been mentioned and elaborated in few places through this study. To sum up, a cooperative, governed by Articles 2511-2545-ter and 2519 of the Civil Code, operates with full patrimonial autonomy, meaning it is solely responsible for obligations with its assets. A minimum of 9 members is required, reduced to 3 if they are individuals and the cooperative adopts limited liability company rules. The cooperative is established through a public deed and registered with the business registry. Its primary goal is mutual assistance, providing goods or services to its members. While it can engage in profit-making activities, the mutual purpose must remain predominant. Cooperatives are defined by mutuality, solidarity, and democracy, in line with the principles of energy communities. The cooperative’s governance is democratic, where each member has one vote, regardless of capital contribution, although legal entities or sponsoring members may have additional voting rights. The capital is variable, and membership is flexible, with no need to amend the founding document when new members join.

participatory foundations[441], Third Sector Entities[442], social enterprises[443], consortia or consortium companies[444].

The energy community can be observed also through the paradigm of the commons[445]. Energy in that sense becomes commons[446], more precisely urban commons, which needs to be governed sustainably and democratically by community member that become commoners[447]. It becomes also the basis for the bottom-up initiatives and governance. Energy communities are not only venues for sharing renewable resources but also serve as emerging institutions, characterized by collective governance integrated into urban spaces[448]. As such, it perfectly fits the proposed models of polycentricity proposed for the cultural heritage in Chapter II and the Co-design principles from Chapter III. Energy communities are thus a practical realization of these theories and embody the Co-design principles. The concept of the enabling state refers to the role of

[441] A participatory foundation is a hybrid organizational model that blends characteristics of both traditional foundations and associations. It involves multiple stakeholders who share common objectives, but its structure is not explicitly defined in the Civil Code. The foundation may acquire legal personality by seeking recognition from regional or prefectural authorities. It operates with a dual focus on its assets: a reserve fund, which is untouchable, and an operational fund used for its activities, composed of donations, earnings, or public/private contributions. Governance is democratic but imperfect, as decision-making power may depend on the size of a participant's contribution or their role in representing collective interests.

[442] The discipline of Third Sector entities is outlined in the 2017 Third Sector Code (Legislative Decree No. 117), which establishes organizational and functional autonomy, ensuring democratic internal governance. The Code imposes requirements on internal democracy, transparency, labor relations, volunteer insurance, profit allocation, and fiscal benefits. Activities such as environmental protection, renewable energy production, and sharing for self-consumption are included as public interest activities, making Third Sector entities suitable for forming energy communities.

[443] These are private organizations conducting a stable, primary business activity for general public interest, without profit, and with civic, solidarity, and social utility goals. Social enterprises are governed by Legislative Decree No. 112/2017, which allows private entities, including those under the Civil Code, to qualify as social enterprises if they engage in a general public interest business activity with transparent management and involve workers and users. However, social enterprises cannot be formed by a sole shareholder or public administrations.

[444] Regulated by Articles 2602–2615 ter of the Civil Code, consortia involve two or more entrepreneurs creating a common organization to manage specific business activities for the benefit of the members (mutuality). Each participant maintains its identity, while some production stages are governed by the consortium. A consortium may have "internal" activities (focused on member relations) or "external" activities (involving third parties). Unlike corporations, consortia don't aim to generate profit, but help improve members' income.

[445] Acosta, C., Ortega, M., Bunsen, T., Koirala, B.P., Ghorbani, A., *Facilitating Energy Transition through Energy Commons: An Application of Socio-Ecological Systems Framework for Integrated Community Energy Systems*, (Sustainability, 10, 366, 2018).

[446] Sheila R. Foster and Christian Iaione, "The City as a Commons," *Yale Law & Policy Review* 34, no. 2 (2016 2015): 281–350.

[447] Ekhi Atutxa, Imanol Zubero, and Iñigo Calvo-Sotomayor, *Scalability of Low Carbon Energy Communities in Spain: An Empiric Approach from the Renewed Commons Paradigm*, (Energies 13, no. 19, January 2020): 5045.

[448] Marta Pappalardo, *Energy Communities and Commons: Rethinking Collective Action through Inhabited Spaces, in Local Energy Communities* (Routledge, 2022).

public authorities as facilitators that create platforms for cooperation with other urban actors. In fact, it has been highlighted that the role of the public administration is crucial in guaranteeing the development of energy communities[449]. If energy community is understood as commons, more precisely urban commons - in the same way as cultural heritage, it could be logical that the same type of governance model applies. What changes is the object (commons) of interest.

2.2 A heritage community as a solution for the difficulties of the creation of energy community

After this glance to the legal framework and configuration of energy communities, it is convenient to go back to the previous question: "what is needed for an energy community to constitute?" Going back to the interview with dr. Daniela Patti, it is concluded that one of the elements is the solidarity, which arises from the collective struggle. Solidarity and collectiveness indicate a community. So, the community is needed in order to create an energy community. It is already perceived that the social factors are one of the most important success factors and challenges for the implementation of energy communities[450]. Very often what is missing inside of a community to start its transformation towards the energy community is knowledge. According to dr. Patti, knowledge also means:

> *"…being able to look at energy as an opportunity also for bringing social, environmental, economic elements together.*[451]*"*

Dr. Patti sees capacity buildings as an important pre-condition for the creation of the energy community. This aspect has also been recognized as a barrier 3 by

[449] Lorenzo Cuocolo, *Il ruolo degli enti locali nella promozione e nella costituzione delle comunità energetiche rinnovabili*, (L. Cuocolo, PP Giampellegrini y O. Granato (coords.). Le comunità energetiche rinnovabili. Modelli, regole, profili applicativi, 2023): 45.

[450] Krangsås, Savis Gohari, Koen Steemers, Thaleia Konstantinou, Silvia Soutullo, Mingming Liu, Emanuela Giancola, Bahri Prebreza, Touraj Ashrafian, Lina Murauskaitė, and Nienke Maas, *Positive energy districts: identifying challenges and interdependencies*, (Sustainability 13, no. 19, 2021): 10551.

[451] Dr. Daniela Patti for Eutropian, Interview on the 30/05/2024. Transcription available in the Annex of this study.

European Commission in the Report for barriers and action drivers[452]. The Report says: "*In order for citizens, local authorities and other market actors to be able to exercise their new rights under the RED II and IEM, they need to be aware of the opportunities that exist. Furthermore, where energy communities are a new concept, trust needs to be built – otherwise, potential participants may be hesitant to engage or invest in an initiative. Energy communities often also need access to expertise, advice or assistance to realize different activities and initiatives"*[453]. The Report sees national and local governments as a solution to this barrier, directly or through non-profit organizations. There are many different solutions, starting from government advisory bodies to online tools and platforms.

Ultimately, this core issue in establishing an energy community can be understood as a challenge related to the very formation of a community, which involves fostering community engagement and raising awareness. In this context, a heritage community could provide a highly effective solution. When a community possesses a strong cultural identity and a deep sense of belonging, it becomes significantly easier to extend its involvement into energy-related issues and topics. Therefore, regarding the challenge of community engagement, an existing heritage community presents a robust foundation from a societal perspective, offering a natural starting point for the energy community's development. This pre-established engagement within the heritage community can serve as a valuable asset in addressing energy concerns and driving collective action.

Even if these problems are overcome, there is still a crucial difficulty for the creation of the energy community. According to dr. Patti, the greatest challenge, not only in the case of Quarticciolo but also in general, is finding the right source of financing to initiate the project. The Report foresees also that issue: under the Barrier 2, titled "Lack of certainty, predictability and accessibility of public

[452] Report: Barriers and action drivers for the development of different activities by renewable and citizen energy communities, ENERGY COMMUNITIES REPOSITORY, 29 January 2024. Full text of the Report available here: https://energy-communities-repository.ec.europa.eu/report-barriers-and-action-drivers-development-energy-communities-their-activities_en. Last access: 12/6/2024.

[453] Barrier 3 of the Report on Barriers and action drivers for the development of different activities by renewable and citizen energy communities.

and private financing" it is stated that "*energy community projects are likely not to have significant finance available during the early stages of project development*[454]*. This is influenced by their value-based business models, limited equity, and small project portfolios…. Energy communities typically do not have difficulties raising capital from citizens after a project has been defined and is already moving forward. However, this often leaves a financing gap for initial, up-front investments in these projects*." Dr. Patti claims that for the Quarticciolo project to start, it is needed a certain amount of money which excludes a fragile and vulnerable class of people. A project of that scale would be affordable for the middle class, which then becomes a paradox.

The solutions offered by the Report can be found in the Action Driver 1, titled "Dedicated finance arrangements to support investment". As possible solutions it mentions European funds and national, regional and local funds. Next, there are words about guarantees, equity financing[455], bank loans[456], crowd investments[457], and bonds[458]. On the other hand, dr. Patti would rather choose a non-speculative form of obtaining funds:

"I think the financial elements could be compensated to some extent if in a non-speculative way…. You could also combine other activities that are maybe supporting also the financial stream of the setup of the energy community. And heritage in that sense, has a lot of potential because, for instance, Quarticciolo is setting up the beer brand made in Quarticciolo, because there is a heritage element about the identity that they're playing a little bit also with the brand around it. But this also means that you can have tours... It could be a source of income. And this would also mean that a part of it could go, for instance, to put

[454] REScoop 20-20-20 Project (2013). Report on financial barriers and existing solutions.
[455] Equity financing implies providing an ownership stake in the energy community, through the issuing of shares to new and existing members. This funding strategy can be used to set up the community as an organisation (i.e. establish the legal entity), or as a way to fund projects.
[456] Banks are generally risk averse and require a lot of information, it can be difficult to communicate community initiatives as a safe investment to a bank.
[457] Crowd investment is a form of debt financing. However, instead of going through a bank or another financial institution, it is made up of small individual loans by different actors.
[458] Similar to crowd investment, bonds are a form of debt financing. In this case, an energy community, as a company, sells bonds to individual investors within a predefined fixed amount of time. At the end of the period, the bond is repaid by the energy community, with interest.

aside the money for paying for the solar panels. It means being able to make a business plan out of this model."

In the context of the case studies analyzed in this research, specifically the eight heritage communities, it has been observed that while they are able to generate some income and achieve a certain level of sustainability, this is not sufficient to reach transformative sustainability. What Patti's statement suggests is the creation of a circular economy, where the limited income generated could be reinvested into transforming the heritage community into an energy community. In this sense, heritage could serve as a potential source of financing for the initial launch of an energy community. These funds could be utilized to cover essential costs, such as conducting feasibility studies to assess the energy community's potential, establishing its legal entity, or even sourcing the necessary energy infrastructure, like photovoltaic panels. This approach could bridge the gap between the initial stages of the community's development and its long-term sustainability, while ensuring that the heritage assets continue to play a central role in the energy transition.

This section argues that the connection between heritage communities and energy communities lies in their shared strengths. The key point is that cultural heritage can help solve the challenges faced when setting up an energy community. Heritage communities have strong values, identities, and local involvement that can be used to overcome obstacles in creating energy communities. By building on these cultural aspects, energy communities can gain support and develop a sustainable, community-driven model. In conclusion, cultural heritage can play a crucial role in making it easier to establish energy communities and address the related challenges.

2.3 The prospective of CooperACTiva to become an energy community

It has been argued that, in the case of Quarticciolo, the energy community (on its innovation ethos path) can find solutions in the cultural heritage for its issues regarding financing models. But *vice versa* how does it look when a cultural heritage aspires to become an energy community? This question will be

answered from the point of view of CooperACTiva. For that matter, it is useful to go back to its Constitutional Act and Statute.

The first thing to consider, as already mentioned in Chapter II, is Title III, Article 6, which refers to the membership of the cooperative. The rule of the "open door" that CooperACTiva applies is in line with "open participation" proclaimed by RED II and IEM. The recitals to the RED II state that "*to ensure broad participation, participation in renewable energy communities should be open to all potential local members based on objective, transparent and non-discriminatory criteria.*" These "all potential local members" are obviously natural persons, local authorities and micro, small and medium enterprises from the definition of energy communities. The wording in CooperACTiva's statute is: "*natural and legal persons, public bodies, other private entities and companies*", as long as they *"have an interest in becoming users of the services rendered by the cooperative in accordance with the corporate purpose and who have their residence or domicile or operate in the area in which the social activity is carried out or express a specific interest in the area".* The main actors (prosumers) of the energy community have already been foreseen by the statute.

Next, the directives on the energy community, in order to avoid abuse, request the highest possible level of democracy in the decision-making process. CooperACTiva's statute guarantees that just by its own form of cooperative, which by definition implies the rule "one member – one vote".

Mostly important, the statue already foresees the activities typical for the energy community; under Title II, Article 4 named "Purpose" it is stated that "*the social purpose is directed toward … the responsible use of natural resources, the enhancement of energy-saving practices and reduction of ecological footprint in household management and production activities, and the production of energy from renewable sources*[459]." Same Title, Article 5 which deals with the object of the cooperative says in point 1 that one of the objects is "*the implementation, installation, management, even with its own budget - directly or with the help of specialized subjects - of plants for the production of energy from renewable or*

[459] Original text: "*Lo scopo sociale è indirizzato alla promozione ... dell'utilizzo responsabile delle risorse naturali, alla valorizzazione di pratiche di risparmio energetico e di riduzione dell'impronta ecologica nella gestione domestica e nelle attività produttive, nonché alla produzione di energia da fonti rinnovabili*".

alternative sources, saving of energy and energy efficiency, including taking care of their proper use and maintenance. Activities are to be carried out with the utmost care and attention to the environmental compatibility and the natural balance of the territory, giving priority to the implementation and diffusion of small families', businesses' and small communities' plants through the territory [460] ". Furthermore, point 2 of the same Article states that "*the production, purchase or import and subsequent supply to eligible customers, distribution, sale, export of electricity and thermal energy generated from renewable or assimilated or conventional sources, as well as services for energy saving and energy efficiency"* [461] are also the object of the statute and cooperative's activity.

It is also important to note that, as previously deducted from both European and national regulations, one specific characteristics of energy communities is that their primary objective cannot be the generation of financial profit. The legal nature of energy communities cannot be solely profit-driven; instead, they must pursue environmental and social objectives, as explicitly outlined in the relevant legislation. That does not mean that they cannot generate profit, it, however, must be pursued as a secondary objective [462]. Next, the fact that an energy community as an autonomous entity that has its own legal personality[463] in the combination with its requirement for open and democratic structure, makes it a perfect candidate for a juridical form of the cooperative[464].

[460] Original text: "*la realizzazione, l'installazione, la gestione, anche in proprio - direttamente ovvero con l'ausilio di soggetti specializzati - di impianti per la produzione di energia da fonti rinnovabili o alternative, il risparmio e l'efficientamento energetico curandone altresì la corretta utilizzazione e manutenzione, da effettuare con la massima cura ed attenzione alla compatibilità ambientale e all'equilibrio naturale del territorio, privilegiando la realizzazione e la diffusione sul territorio di piccoli impianti a carattere familiare, aziendale e comunque riferito a piccole comunità (cd. energy communities), curando anche la eventuale produzione dell'occorrente per la realizzazione dei progetti*."

[461] Original text: "*la produzione, l'acquisto o l'importazione e la successiva fornitura a clienti idonei, la distribuzione, la vendita, l'esportazione di energia elettrica e termica generata da fonti rinnovabili o assimilate o convenzionali, nonché servizi per il risparmio e l'efficientamento energetico*".

[462] E. Cusa, *Le incentivate comunità energetiche rinnovabili e il loro atto costitutivo*, Studio n.38/I, Consiglio del Notariato, 2024.

[463] S.A. Parente*, Le agevolazioni fiscali e gli incentivi a favore delle comunità energetiche*, in *La via italiana alle comunità energetiche*, (a cura di S. Monticelli e L. Ruggeri, Edizioni scientifiche italiane, Napoli, 2022).

[464] The lack of specification of a suitable legal model for energy communities was a deliberate choice to ensure that each of them can adopt the legal framework best suited to its specific context, based on the stakeholders involved and the objectives it aims to achieve.

In conclusion, CooperACTiva possesses all the necessary legal tools and structural elements to transition into a fully recognized energy community. At present, there are indications that it may integrate Quarticciolo[465], as current legal requirements necessitate Quarticciolo to establish itself as a formally recognized entity. Beyond legal considerations, the potential merger of these two initiatives appears highly logical and justified, given that they are geographically adjacent and frequently overlap in their activities, shared goals, and community engagement efforts. On the other hand, CooperACTiva could also independently pursue its own trajectory toward renewable energy development, leveraging its existing network, governance framework, and collaborative approach. Whether it follows a path of direct integration with Quarticciolo or forges an independent route in the renewable energy sector, its evolution will ultimately depend on strategic decisions, external support, and the ethos of innovation it chooses to embrace. Over time, its trajectory will reveal how it positions itself within the broader framework of energy transition and sustainability-driven community models.

3. Digital services, tech justice and heritage communities: a path towards resilience and innovation?

In the second year of the Open Heritage project, February 2020 the Covid-19 pandemic outbreak happened and dramatically changed social and professional relationships. The impact of the pandemic for the CHLs was devastating, given the imposed social distancing and lockdown measures. There was a constant uncertainty of imposing even more restrictive measures like total lockdowns. In that period emerged the strong need for CHLs to reshape and adapt the business model in a way to overcome limitations due to the restrictions imposed. The best way, according to some CHLs was to relocate the activities digitally, wherever possible. The importance of digital aspect existed also before, but during Covid-19 it has drastically grown, as it became the only way for the

[465] These conclusions come from the field observations, both following events in Quarticciolo and CooperACTiva.

community to interact and work together. Three of the CHLs took a "digital turn": Rome, Praga, and Pomaz[466].

There has already been few words about the Co-Roma platform above, vaguely[467]. Anyhow, the period of Covid-19 was when the CHL decided to focus more on the digitalization and start promoting digital tools for the social and networking activities. The platform has been built previously but it has been revised in order to make it suitable for co-design, collaboration and financing. This revised platform has been imagined, in the first place, as an interactive forum which stimulates engagement of a larger network of civic entrepreneurs, willing to improve the wellbeing of the community. Besides as a tool to attract people, the platform has also been imagined as a marketplace where users can offer and sell products and services online and, in general, exchange between suppliers and users. In addition, it foresees the possibility of crowdfunding and crowdsourcing as a way of collecting incomes. The platform connects all the activities of the Rome CHL through the implementation of a basic layers of an emerging technology such as blockchain. In this way the digital space increases the added value of the neighborhood-based community, its services and the whole territory. Anyhow, the Covid-19 was a crucial moment in which the benefits of digitalization crystallized for CHLs.

Co-Roma platform is not the only nor the first example of such a solution. In fact, it has been inspired by Decidim platform, a software for the participation created for civic organizations and institutions, public or private. It represents a contribution "to the democratization of society through the construction of technology, methodologies, practices, standards, actions, narratives, and values, in a free, open, collaborative and reflective way"[468]. Decidim allows the configuration of spaces for participation (initiatives, assemblies, processes or

[466] Open Heritage project, Grant Greement No. 776766, Deliverable 4.6 - Updated Local Action Plans of the CHLs, delivery date: November 2020., Updated-Local-Action-Plans-of-the-Cooperative-Heritage-Labs.pdf (openheritage.eu). Last access: 13/6/2024.

[467] The platform is available here: https://co-roma.it/. Last access:13/6/2024.

[468] Decidim has been launched in 2016 with its first version. It was developed by Platoniq, a team of social innovators and digital platform developers based in Barcelona, Palma and Madrid. It was also one of the project partners of the OpenHeritage project. In 2019 the platform received a prize in the category for the most open and innovative program through "Sharing & Reuse Awards (#SRawards2019). More about the platform available on its official website: https://decidim.org/. Last access: 13/6/2024.

consultations) and enriches them through multiple available components such as face-to face meetings, surveys, proposals, voting, follow-up results etc.

To go back for a moment to the interview with Eutropian, dr. Daniela Patti sees digital platforms as a tool to "*reach out to different member of the communities… it is a way to be more inclusive*" [469]. It can be a way for participation, but also collection of data, collection of funds, and capacity buildings. In order to understand better for digitalization can improve the sustainability and resilience of a community, it is important to understand the preconditions for its use and understand compatibility with a heritage community.

3.1 The principle of Tech Justice

Digitalization is not a new solution in the field of participatory processes, but its importance definitely increased after 2020 and Covid-19 pandemic. It is a fact that it has become a very relevant tool for the development and progress of the society. Digital tools transforms democracy to augmented democracy, in which the augmented aspect is related to the addition and benefits that digitalization gives to democracy[470]. But practically, in order for the digital tools to be useful, it is necessary for them to be applied in some context, in some community. This is where the utility of digitalization can be seen. It is challenging to harmonize the access to these technological advancements across the whole tissue of society, since it has not been equally distributed[471].

The Tech Justice is a variable that allows to highlight the potentiality of digital infrastructures and access to technology as an enabling factor for local development and social cohesion. It is "an empirical dimension that can steer the developments of smart city and sharing city policies toward a more just and

[469] Dr. Daniela Patti for Eutropian, Interview on the 30/05/2024.
[470] Paul Burgess, *Algorithmic Augmentation of Democracy: Considering Whether Technology Can Enhance the Concepts of Democracy and the Rule of Law through Four Hypotheticals*, (*AI & SOCIETY* 37, no. 1, March 1, 2022): 97–112.
[471] Suherlan Suherlan, *Digital Technology Transformation in Enhancing Public Participation in Democratic Processes*, (Technology and Society Perspectives (TACIT) 1, no. 1, August 31, 2023):10–17.

democratic city"[472]. As such, this variable has been used in the analysis of the study cases in the Chapter III, but its result showed low values for almost all labs. It is a paradox, since the 2020 showed the indispensable value of the use of technology. The answer could be the lack of tech justice, framed in terms of the *access* to the digital tools and infrastructures. It could also be defined as a *technological capacity* of the community, which stands opposite from growing ability of technology to improve community's life. It is where innovation meets justice, and it can maintain inequality or, on the other hand, foster transformative change. Transformative change is fostered by the openness of a digital structure which generates innovation and that attracts other actors, which brings more investments in technological infrastructure[473]. In this way the benefits are brought to the vulnerable communities. In the end, Tech Justice emerged as a tool that grants vulnerable communities access to the benefits that derive from technology.

The intersection between law, governance and technology leads to the equality of the distribution and access to the digital tools. In that sense there can be words on including equal access to digital infrastructure as a part of social justice. This leads to the realization of the *Internet of Humans* principle[474]. The question is, do current technologies respond to the needs of citizens? And more particularly, are vulnerable communities vulnerable also technologically? To which extent? How can that vulnerability be overcome? What is the role of policy making and civil society? There are still many concerns related to the use of technologies and the internet, such as for example questions regarding Fintech, Cybersecurity and Cybercrime, Privacy, Algorithms, Copyright, and general human rights issues.

One of these concerns is also digital illiteracy. For that reason, Europe recognized the necessity of bridging that digital divide and on May 19, 2010,

[472] Christian Iaione, Elena De Nictolis, and Anna Berti Suman, *The internet of humans (IoH): Human rights and co-governance to achieve tech justice in the city*, (The Law & Ethics of Human Rights 13, no. 2 (2019): 263-299.
[473] Christian Iaione, *Legal Infrastructure and Urban Networks for Just and Democratic Smart Cities*, (Italian J. Pub. L. 11, 2019):747.
[474] Christian Iaione, Elena De Nictolis, and Anna Berti Suman, *The internet of humans (IoH): Human rights and co-governance to achieve tech justice in the city*.

launched the European Digital Agenda[475]. This Agenda aims to enhance the digital skills of European citizens so they can fully participate in society and benefit from job opportunities in this sector, in order to grow the digital economy across EU member states, which are currently characterized by incompatible systems and inconsistent connectivity, and to create a unified European digital market. The Agenda identifies seven priority action areas:

1. Create a single digital market;
2. Improve the context for interoperability between ICT products and services;
3. Stimulate trust in the Internet and online security;
4. Ensure the provision of much faster Internet access;
5. Encourage investment in research and development;
6. Improve literacy, skills, and inclusion in the digital world;
7. Use ICT to face social issues such as climate change, increased healthcare spending, and an aging population

Since 2014, the European Commission has annually published the Digital Agenda Evaluation Framework, which measures the progress of key parameters such as the spread of high-speed broadband, the development of a single digital market, digital inclusion, and the digital interactions between public administration and citizens[476].

3.2 Contribution of the digitalization to the cultural heritage and its community

Emerging technologies have many ways to contribute to cultural heritage. In fact, the first thing that comes to mind is the digitalization of the culture and heritage, a mere merging of cultural heritage and digital technology. It is a

[475] European Commission, "Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, a Digital Agenda for Europe", (COM(2010)245 final), Brussels, 19.5.2010. Full text of the Agenda available here: https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52010DC0245R(01). Last access: 12/7/2024.

[476] The last Evaluation Framewok (from February 2024) can be found here: https://data.consilium.europa.eu/doc/document/ST-6527-2024-INIT/en/pdf. Last access: 12/7/2024.

process of converting analogue content into digital content, into its digital twin, the so-called digital heritage. A type of digital artwork that caused much controversy in the last years are NFTs (Non-Fungible Tokens). NFTs, based on a blockchain technology, were an object of many concerns, regarding mostly matters of intellectual property and ownership rights.

However, this kind of digitalization is not a subject of this study. What is of interest here is digitalization as a tool for facilitating participatory and democratic processes. Cultural heritage has proven to be a key factor in fostering social inclusion and this potential can be enhanced by combining it with digital platforms, contributing to wellbeing both to heritage communities and heritage itself. *"It is about technologically enhanced ability to transform environment and social practices in order to produce public value"* [477] . Digitalization of participatory processes refers to a large range of things as, for example, administration and government studies, urban planning, public service design, computer science, but this paragraph will concentrate on participatory processes in the sector of cultural heritage.

Digitalization is something that, as dr. Patti mentioned, extend the engagement to a wider and deeper community since it offers opportunities of access and dissemination as well as leading to frameworks for facilitating grassroots engagement. This also means that the community as a heritage gatekeepers can have more control over the cultural content that concerns it and can, with more ease, decide what, where and how. In this way digitalization can also contribute to the reinforcement of the cultural identity and sense of belonging which actually constitutes that community. This is the case with the Kaunas "Memory Map", a story-telling platform which allows the members of the community "tell" about the places of importance under the categories of "memory", "present" or "nature". In this way the community gets richer of a database full of local stories, people, photos and memories linked to locations and buildings in the "Memory" map (Chapter III, paragraph 3.1).

[477] Ari-Veikko Anttiroiko, *City-as-a-Platform: The Rise of Participatory Innovation Platforms in Finnish Cities*, (Sustainability 8, no. 9, September 2016): 922.

Another aspect in which the digitalization and digital participatory platforms might improve the community's life is related to the problem of financial resources (Chapter III, paragraph 4.3.3). Digitalization has given rise to crowdfunding, a method of raising capital from the large group of investors through a platform. It is done by using a small amount of capital from a large number of individuals to finance a new project. A related concept is crowdsourcing, obtaining information, ideas and opinions from a large number of individuals. Both of these concepts found their spot in Co-Roma platform, which, under sections "*Collabora*" (collaborate) and "*Finanzia*" (finance) offers these possibilities. Kaunas "Memory map" relies also on crowdsourcing.

Outside of the examples of case studies of this study, there are many other cases where digital platforms have been chosen as a tool of collaboration in the sector of cultural heritage. An example of such case is *Defi Collaboratif*[478], a platform that gathers energies of the internet users for the purpose of the project "1 Day - 1 Poilu" (1J1P), for transcribing the memoars of soldiers who died for France during the Great War on the Mémoire des Hommes website . It aimed to bring together a community of participants around this collective work that ultimately allows to better understand the victims of the conflict and the circumstances of their deaths.

The other interesting example is *Rete Faro Italia*[479] which gathers communities around Italy that adopted the principles of Faro Convention. It is not a community platform but rather communities' platform, which operated on the territory of Italy.

Lastly, an example of a large-scale platform would be *Europeana*[480]*,* a platform that shares and promotes Europe's digital cultural heritage to be "used and enjoyed by everyone". It provides access to Europe's digital cultural heritage in a form of image, text, sound, video or 3D. It relies on the thousands of European providing institutions, like galleries, libraries, archives, and museums to share

[478] See: https://www.1jour1poilu.com/. Last Access: 12/7/2024.
[479] See: https://faroitaliaplatform.it/. Last access: 12/7/2024.
[480] See: https://www.europeana.eu/en. Last access: 12/7/2024.

their resources because " the access to cultural heritage is transformational - it empowers people and benefits society as a whole".

These examples show that adopting technological solutions might be challenging. It might happen that the notion of cultural heritage community has to be reshaped: by employing digital platform as a tool a community might grow so much that it overgrows the proximity of its cultural heritage. Next, there might be an issue such as the lack of assessment of users' needs and expectations or, as already mentioned, digital illiteracy of participants, for which some of the members of the physical community would be excluded. Traditionally, elderly people or people with a low education do not possess knowledge on devices or software in order to actively participate. All of this might potentially create divisions inside of the community. For sure, this could be a topic for some future study.

4. Conclusions: A path towards resilience and innovation?

This study successfully addressed its central research questions, demonstrating that a local community, through heritage-driven processes in an urban context, can become an active agent in building resilience, sustainability, and regeneration to overcome vulnerabilities. The unique and binding power of cultural heritage lies in its ability to unite people—not through superficial or formal connections, but through deep, shared bonds rooted in a collective identity. The strongest sense of community emerges from a shared understanding of who we are and what we value together.

However, the research also highlights the challenges in building long-term community resilience and sustainability solely on cultural heritage. The eight case studies analyzed in this study encountered significant barriers, particularly financial constraints. How can a community thrive without the necessary economic input? Additionally, communities require meaningful support from public administration and government—not merely symbolic backing, but genuine engagement and active participation. While the case studies

demonstrate that this level of cooperation is possible, they also indicate that a fundamental transformation of public administration is required. This transformation can be driven by bottom-up initiatives, where communities lead the way in shaping policies rather than relying solely on top-down governance structures.

The indispensable element in this path to transformation is innovation. Sustainable progress cannot be achieved without integrating new approaches and technologies. As discussed in Chapter I, the ESG (Environmental, Social, and Governance) framework is increasingly evolving into ESGT[481], with Technology or even Transformation as an additional pillar.

This study explores two key future paths for heritage communities in their pursuit of resilience and sustainability:

1. Transformation Through Energy Communities. In this sense, study presents energy communities as a practical and innovative solution to the vulnerabilities faced by heritage communities. Energy communities, like heritage communities, are built on cooperative models, making them structurally and legally compatible. By integrating renewable energy production, heritage communities can become economically self-sufficient, reducing operational costs and reinvesting energy-generated profits into cultural and social projects. The synergy between heritage and energy communities offers a path toward financial sustainability, social resilience, and ecological responsibility.

2. Technology as a Tool for Heritage Regeneration. Emerging technologies, including blockchain, the Internet of Things (IoT), and digital platforms, present new possibilities for heritage management, community engagement, and financial sustainability. However, these technologies also raise ethical and regulatory questions: Can technology be a genuine tool for human rights and protection, or does it pose risks to privacy and inclusivity? Future research must explore the best ways to integrate technology into heritage communities, ensuring that it serves human-

[481] Andrea Bonime-Blanc, *Gloom to Boom: How Leaders Transform Risk into Resilience and Value*, 1st ed. (Routledge, 2019).

centered, participatory governance models rather than undermining them.

A central focus of this research has been CooperACTiva, a heritage community that remains in the early stages of implementing innovation through energy communities and technology. Alongside the other case studies, it demonstrates how shared entrepreneurship within a vulnerable community can drive urban regeneration, utilizing the commons theory and participatory governance models, all under the principles of the Faro Convention. Ultimately, this study reaffirms that cultural heritage is one of the most powerful drivers of community resilience, entrepreneurship, and regeneration. However, heritage alone is not enough - it must be leveraged through innovation, energy sustainability, and technological advancements. By merging cultural identity, participatory governance, and cooperative economic models, heritage communities can transition from vulnerability to self-sufficiency, ensuring their long-term survival and prosperity in an evolving world. However, while this synergy presents promising opportunities, significant challenges remain. One major issue is the regulatory gap that often fails to fully recognize heritage communities with all of their needs as such, thereby limiting their ability to access funding, enter contractual agreements, and establish long-term sustainability models in a more simplified and direct way.

To overcome these obstacles, several policy and governance solutions can be proposed:

1. Recognition of Heritage Communities and more space in legislation and policy-making: policies, especially national ones, should introduce a clear legal framework that allows heritage communities to formally establish themselves as recognized entities, facilitating access to funding and governance mechanisms.

2. Governance model: Public-private-community partnerships (PPCPs) should be further developed, integrating in the first place local administration and national authorities, but also other local realities into the governance structure of heritage communities to enforce the polycentricity of a quintuple helix.

3. Financial Incentives for Energy-Heritage Integration: Dedicated financial schemes, such as heritage sustainability funds or tax incentives for energy-producing heritage sites, should be introduced to encourage the fusion of energy and heritage communities.

4. Policy making in the direction of capacity building and participatory Governance: empower local stakeholders to take ownership of both their cultural and energy assets by strengthening community-led decision-making through education, training, and participatory mechanisms.

Ultimately, this study underscores that vulnerability is not a static condition but a challenge that can be addressed through innovative governance, legal adaptability, and strategic community empowerment. The intersection of heritage, energy communities, and technology presents a unique and underexplored avenue for resilience-building, one that, if properly supported by legal and policy frameworks, can contribute to a more sustainable, inclusive, and participatory approach to urban and rural development.

Annexes

Summary:

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Trascrizione intervista con la CooperACTiva

30/10/2023

Modalità online

Presenti:

Urio Cini (presidente) - U

Monica Comandini (socia) - M

Stefanija Hrle Aiello - S

S: L'obiettivo di questa intervista è capitalizzare i risultati del progetto OpenHeritage a cui voi avete partecipato e le conclusioni di intervista saranno utilizzate per due opere: per un articolo che sto scrivendo con Elena del quale siete già a conoscenza e per la mia tesi di dottorato, dal titolo "Collaborative communities, from heritage community to 360° resilient and sustainable territories". Questo questionario è indirizzato a tutti partner del progetto OpenHeritage che sono stati coinvolti sotto il WP4. Le risposte saranno trattate in modalità confidenziale. Magari qualche breve frase potrebbe essere citata e se desiderete l'intervista rimarrà anonima in senso che non utilizzerò i vostri nomi. Nessun dato personale sarà conservato e questa registrazione non sarà condivisa con nessuno al di fuori del team di ricerca. I dati sensibili ai sensi del GDPR non saranno trattati. Qualcosa sul questionario: è diviso in 5 gruppi di domande, 4 gruppi li tratteremo qua a voce, e il quinto gruppo sono le domande di autovalutazione con delle opzioni da scegliere tra debole-medio-forte, e questo gruppo ve lo mando tramite mail da compilare.

Il primo gruppo delle domande riguarda la risorsa patrimoniale. Anche se la risposta è ovvia vi chiederei di descrivermi la zona in questione come urbana, rurale o industriale?

M: è urbana.

S: il patrimonio culturale che è stato coinvolto nel progetto lo descrivereste come tangibile, intangibile o misto?

M: io direi misto.

S: quale è il modello di proprietà e come questo modello di proprietà ha influenzato la gestione di questo patrimonio? Qua stiamo parlando piuttosto di beni tangibili.

U: noi non abbiamo il patrimonio tangibile... come è condizionato? È condizionato... ora mi viene in mente la nostra origine, parco di Centocelle e poi diciamo territorio, quindi diciamo tutto il sociale e... tutta la cultura della nostra zona.. tutti i beni archeologici o anche naturali essendo curati dal pubblico c'è stato un problema nel senso che purtroppo il pubblico in particolare nelle nostre zone non è che riesce a intervenire in maniera tanto efficace. Quindi diciamo, è stata un po' una battaglia sia contro gli stili di vita e i livelli culturali, che poi uno degli obiettivi appunto era questa sensibilizzazione rispetto a questo tipo di temi culturalmente, però c'era anche un problema diciamo di disattenzione da un punto di vista del pubblico che invece dovrebbe essere un alleato importante.

S: Durante il progetto secondo voi (qualche esempio concreto) questo aspetto (problema) come ha influenzato il progetto?

U: un esempio banale può essere l'attenzione che noi abbiamo ....al verde, laddove, questo verde era pieno di storie, il primo aeroporto della storia e i beni come l'acquedotto Alessandrino, sono diciamo stati ambienti in cui noi avremmo dovuto operare con la cittadinanza ma non si è superato il problema del degrado che li circonda...ad esempio è profondissima, ormai è diventata esplosiva la questione dell' Acquedotto Alessandrino e di tutto il degrado che lo circonda, la mancanza di avvio di progetti di riqualificazione dove noi ci saremmo affiancati con una sensibilizzazione verso la popolazione. Anche un po' la mancanza diciamo di sostegno attivo nel promuovere delle iniziative dal parte del pubblico.

S: quindi sarebbe una mancanza di interesse dall' amministrazione pubblica e un degrado della zona? Sono collegati?

U: personalmente metterei la parola "incapacità". Mancanza di strumenti adeguati. Anche di visione.

S: Vorrei chiedervi, per quanto riguarda i gruppi target, nel senso degli utenti, chi utilizza e utilizzerà questo patrimonio culturale che era oggetto del progetto, e se progetto ha avuto successo in quei sensi?

U: Io ho osservato questo:credo che l'attenzione che noi abbiamo sollevato sui beni del nostro territorio, ad esempio, l'estensione naturale del parco di Centocelle, detto Pratone di Torre Spaccata, quello che oggi è una realtà civica conosciuta in tutta la Roma diciamo tra le piu vivaci di Roma, il comitato per la salvaguardia per patrimonio culturale che ha contenuto ... le ville, il vilaggio dell' epoca di bronzo i ... importanti del medioevo e quindi una attestazione di una vita che per oltre 3000 anni è esistita in questo territorio provata dalla sua vivibilità e dai suoi valori, questa sensibilità... Attuale rappresentante di questo importante comitato è un giovane che ha partecipato a una delle nostre passeggiate annuali per il patrimonio culturale, promosse dal Consiglio di Europa. E quindi non mi pare poco. Inoltre, tutta l'attività, e anche qui si può citare una sorta di aneddoto, tutta l'attività che oggi esiste e che da quello che si raccoglie diciamo nella città di Roma è un'esperienza non unica ma insomma, nella sua forma, forse anche addirittura unica, simile a non molte altre, che è la Rete Territoriale, che è una modalità di lavoro di tutto il mondo associativo con tutte le istituzioni che sono

presenti sul territorio, parto proprio dalle forze dell'ordine e la scuola. Non c'è ne stata ancora l'opportunità concreta per il servizio sanitario però servizi educativi e servizi di assistenza per emigranti, tutto ciò che esiste nell'arco della realtà di, ad esempio, Torre Spaccata, ha dato vita alla Rete Territoriale promossa da San Bonaventura (parrocchia). Insomma, ... di tutte queste esperienze in modi diversi, un po' la vita privata per quanto riguarda il volontariato al Pratone e poi invece come attività proprio sociale prevista dallo Statuto.. promozione per lo sviluppo territoriale siamo presenti nella Rete Territoriale, che sta dando vita a una progettualità vera e propria del quartiere. Quindi, da questo punto di vista, forse qualcuno vuole essere più avanti però non è poco.

M: Urio, quello che dicevi era Stefano? La persona di cui parlavi?

U: Sono due Stefani: uno è Stefano che è rappresentante del comitato, Stefano Becchetti, l'altro e Don Stefano Cascio.

M: Diciamo quello che è stato nella passeggiata patrimoniale è stato Stefano Becchetti?

U: Esatto. Da li è entrato in rapporto con quartiere.

M: Secondo me tutto ha origine alla fine dai rapporti umani che erano anche in parte preesistenti, tante iniziative magari hanno avuto il merito di portare e fare il networking, che altrimenti magari difficilmente si sarebbe arrivati a fare, però .... comunque delle attività di volontariato per cui le persone anche che poi fanno parte di CooperACTiva e anche della Comunità per Parco Pubblico di Centocelle erano già attive, non è che si è partiti da CooperACTiva o dalla comunità. E viceversa. Quindi, secondo me si sarebbero sviluppate comunque delle attività in sinergia e dei legami tra i soggetti diversi del territorio. La realtà associativa è comunque già... e ce ne sono altre e sono autonome e hanno vita propria e proseguono. La difficoltà è quella di continuare a crescere questa rete e con gli strumenti..siamo sempre meno ed è complicato mantenere aggregate e reclutare le persone.

S: Magari questo argomento lo trattiamo più in dettaglio adesso più avanti. Stiamo già entrando nell'ambito del secondo gruppo delle domande quindi magari andiamo avanti. Questo gruppo riguarda la struttura legale e la governance. Prima domanda, sappiamo tutti la risposta però vi faccio rispondere giusto per averla registrata qua. È una struttura legale oppure un gruppo informale il vostro?

U: Struttura legale.

S: Coinvolgimento delle università, durante il progetto ma anche oltre?

U: é stato molto rilevante. Mi farebbe piacere se Monica avesse più spazio in questa risposta o se parlasse per prima in questo caso di rapporto con le università.

S: Qua non intendo solo la LUISS. Qua intendo anche le opportunità con altre università che magari sono partite dal progetto OpenHeritage. Comunque, il progetto ha aperto certe porte alla CooperACTiva quindi in quel senso magari dopo tutto vorrei anche sentire una vostra opinione, sentimenti a riguardo etc.

M: meglio che parli Urio perche lui ha avuto rapporti con altre univerità. Con la LUISS già sappiamo, tutto ha avuto origine dalla LUISS e quindi quello è scontato.

U: Dunque, senz'altro diciamo la nostra esistenza e tipo di attività che abbiamo promosso, che è stato promosso, ha sollevato un certo interesse. Noi siamo stati contattati dalla realtà della Sapienza per momenti di scambio sulla realtà del territorio .. fine progettazione. Siamo stati interpellati sul quale è stata la nostra esperienza, su che significato davavamo alla CooperACTiva di Comunità di quartiere. Quindi, oltre un interessamento più occasionale e più informale della Sapienza. Poi c'è stato un interessamento di un'università che insiste particolarmente sul territorio che è Tor Vergata. In particolare ci veniva chiesto quali fossero i risultati di questa nostra esistenza, della creazione della CooperACTiva. Dico solo sinteticamente che noi abbiamo raccontato in realtà risultati che riguardano la prima parte, la vita dell'associazione, e poi che la CooperACTiva ha incontrato, come sappiamo, la realtà di epidemia e certo non solo questo ma insomma l'obiettivo che poi ci si è dati dopo tutta una serie di successi rilevanti da un punto di vista di vita associativa, come comunità la creazione di nuovi posti di lavoro questo rimane in un ambito di ricerca ancora. Richiede ancora creatività e opportunità.

S: Quindi il coinvolgimento delle altre università era più che altro al livello scientifico (oltre la LUISS)?

U: Si.

S: Vi vorrei chiedere qualcosa sul coinvolgimento delle autorità pubbliche, la pubblica amministrazione, e il livello del loro coinvolgimento?

U: Sono discendenti... si sono avvicendate nel municipio da cui noi abbiamo fatto .... tre amministrazioni. Queste tre amministrazioni evidentemente hanno voluto atteggiamenti diversi e soprattutto la prima amministrazione era al termine del suo mandato. L'intermedia è stata quella con cui abbiamo tentato maggiormente di mettere in piedi delle cose ma diciamo che l'amministrazione ha avuto proprio delle difficoltà in tutti i settori a raggiungere gli obiettivi che si è prefissa e questo include anche il rapporto con noi. Non è stato così colto il senso di concretezza che doveva avere il rapporto. Si sono tenuti molto in rapporto sul piano o ..politico di lungo periodo oppure al contrario si sono messe a disposizione .. sporadicamente, abbiamo avuto rapporti con gli uffici però non nel quadro di una visione, quella amministrazione era giovane o inesperta come composizione. Non ha accolto in pieno la potenzialità, secondo il mio punto di vista. Poi, diciamo, è arrivata una nuova amministrazione, ma questo da poco tempo e dobbiamo ancora capire nel concreto.

S: Si potrebbe dire secondo te che qua piuttosto c'è un problema di clima politico? In senso, che il clima politico attuale influenza molto quello che sta succedendo sul territorio?

U: Quello che vorrei dire io è che nell' arco di tempo che va da quando noi siamo nati ad oggi e nell'arco di tempo in cui noi abbiamo operato come associazione e poi come CooperACTiva, il fatto che siano cambiate tre amministrazioni e non ci sia stato qualche tipo di aggancio da parte di nessuna di queste amministrazioni con la realtà tecnico-burocratica, come la vogliamo chiamare, ammministrativa nel senso proprio tecnico la dice lunga. Noi abbiamo dovuto molto lavorare sul prendere contatti, poi questi contatti si sono dovuti riattivare per tre volte, quindi.... e questo tu non puoi, se la prima amministrazione non ci ha lasciato, che posso dire, una progettualità condivisa, concreta, contatti con uffici, chiaramente si sta sempre al livello di un nuovo inizio, prima attraverso l'area politica amministrativa e poi faticosamente ci si avvicina. Ora si sta cercando di stringere, per esempio, su nuovi bandi, su nuove regolamentazioni. Vediamo, però stiamo al primo anno di nuova amministrazione.

S: mi si pone adesso una domanda da sola, che non fa parte del questionario, però... una domanda molto astratta. Secondo voi, al livello laico, quale potrebbe essere la soluzione di questo problema?

U: Quello che potremmo fare è abbassare il livello di richieste rispetto alle istituzioni in modo da, come posso dire, rendere più semplice per loro trovare dei punti di aggancio, trovare il personale all'interno che sia in grado di seguire...grandi progettualità la pubblica amministrazione ce l'ha solo a determinati livelli. Su questi territori municipali è l'emergenza la padrona.. e anche il personale politico non è sempre così preparato di fronte a una progettualità più complessa. Quindi, potremmo cercare di semplificare il livello della progettualità, andare più su piano di concretezza, e quindi abbassando un po' gli obiettivi forse riusciremo a intavolare qualche tipo di collaborazione concreta, questo mi viene di rispondere.

S: La stessa domanda per le organizzazioni non-profit: il loro coinvolgimento durante il progetto e una vostra osservazione.

U: Quello che possiamo dire è che per quanto riguarda le associazioni non-profit con cui siamo entrati in contatto, le altre, prevalentemente quasi esclusivamente associazioni, noi abbiamo riscontato l'interesse per le attività che facevamo in senso più generale, e anche una notevole curiosità per la formula della cooperativa della comunità. Non abbiamo riscontrato, e un po' la crisi al livello di partecipazione e la polverizzazione, un po' delle realtà associative a Roma, ha fatto si che non ci sia stata poi l'aggregazione. Noi abbiamo tre soggetti che hanno fondato la CooperACTiva, non abbiamo, diciamo, aumentato il numero di strutture...non sono entrate le nuove associazioni nel CooperACTiva, non lo so, questo è difficile da atribuire... la visione impreditiva non è la più diffusa.

S: Vado avanti. Ultima domanda di questo gruppo di domande sarebbe una domanda generale, si tratta di difficoltà che avete riscontrato durante il progetto e le conseguenze di queste difficoltà a lungo termine e a breve termine.

U: Io sarò abbastanza breve. Allora la mia idea è questa: qual'è stato il problema? Il problema è stato avere una ricerca... dicevo che tornando all'esperienza, se si potesse lavorare più sulla composizione del gruppo, cioè, cerco di essere chiaro, magari anche un esempio semplice: noi abbiamo avuto un momento in quale il nostro gruppo aveva una sua consistenza. Abbiamo poi lavorato rispetto al territorio dividendoci in sottogruppi. Poi c'è stata la fase in cui il gruppo originario ha perso un pochino il collante, ha perso quello che era una via di ricerca d'identità. L'obiettivo forse era un obiettivo corretto, conoscere di più il territorio, lavorare in più direzioni, però, tornando sull'esperienza, lavorerei più sulle dinamiche all'interno del gruppo, il consolidare il gruppo e allineare il gruppo su determinati obiettivi anche li come istituzioni, semplificare un po' quello che era il quadro di obiettivi. Quello anche era il linguaggio e aumentare un pochino la concretezza di lavoro e le relazioni tra le persone con le persone non sono verso esterno ma anche all'interno, la cura di queste relazioni è qualcosa che non si può dare per scontata, quando poi già si erano messi insieme i soggetti che non avevano una precedente storia comune, salvo i membri di associazione da quale era una associazione che prevalentemente era caratterizzata da ricerca di attività di volontariato. Quindi, quando siamo passati all'attività, al lavoro il gruppo è diventato un nuovo gruppo.

S: Quindi, c'è un elemento umano che ritieni molto forte per il successo delle attività del progetto?

U: Sì, ritengo che il lavoro sulle dinamiche del gruppo, la composizione del gruppo, richiedesse strumenti più mirati che non... in generale quelli che si usano in ambito formativo. Semplicemente educativo. Un gruppo ha bisogno di una cura costante con una linea, e probabilmente anche di una relazione, qualcuno che lo deve facilitare etc però deve dare anche una continuità a questo perché già il gruppo ha una quantità di sue variabili. Un po' tornerei indietro e ci metterei le competenze. Non è stato poco, sto solo riflettendo sui limiti, però ci metterei le competenze sulla sociologia sociale e certi versi di antropologia. Cercherei di capire il territorio come uno... per la lettura del territorio più ampio. Non è solo economico, non è solo giuridico, non è solo istituzionale, sarebbe stato buono avere.... l'esperienza ce lo dice. Nonostante...poi io vorrei fare una osservazione a proposito del rapporto del territorio in merito che sorgeva.. non so se possiamo tornare all'osservazione che sorgeva prima, su quanto valga l'attività del progetto per promuovere, favorire determinate cose e quanto queste cose sarebbero nate comunque perché ci sono dinamiche del territorio sue e proprie. Su questo vorrei tornare un'attimo.

S: Questa in realtà è una delle prossime domande. Quindi, se Monica non ha nulla da aggiungere io passerei...

M: Aggiungerei una cosa al volo. Secondo me è stato fatto proprio un' errore da parte di LabGov, sia nel far avvicendare dei ricercatori e quindi nessuna persona di riferimento che sa appunto tenere coeso il gruppo attivo e anche aggregare, motivare, seguire nei progetti, invece che quei progetti estemporanei che, chiaramente, non hanno certo contribuito a mantenere la crescita di CooperACTiva anzi, vediamo come si sta svolgendo la cosa. Ci sono stati tre miliardi di interlocutori diversi che ,finito poi il periodo di ricerche, tanti saluti e grazie, la CooperACTiva si stava disgregando e appunto fra soci

dimessi etc, e anche la modalità di quelli workshop fatti per cercare di rendere partecipe le persone è stato l'unico.. uno di questi è stato uno in cui sono stata poi introdotta io alla CooperACTiva ma non perché avessi saputo da qualche divulgazione del fatto ma da una socia della CooperACTiva che conoscevo per vie traverse.

S: Con questa osservazione passerei sul gruppo, sulla comunità patrimoniale. Ci sono solo due domande. La domanda numero uno: il progetto ha portato qualche progresso nei termini di vulnerabilità e marginalizzazione della zona?

U: Gli effetti a cui io do la importanza sono.. posso dire una cosa: in questo periodo sta partendo una progettazione per dei murales nel quartiere. Anche lì... sono stati realizzati dei murales nell' ambito di questo progetto però credo anche che vedere queste opere possa avere stimolato un po ', no? Faccio l'osservazione che ..... e quindi seguono l'andamento....e poi per ogni attore mette energia in una certa direzione. La nostra non è stata determinante però qualcosa... mi colpisce che adesso proprio così tanto i genitori... oltre quello delle strade pedonali per i bambini davanti alle scuole abbia scelto anche quello di far esprimere dei bambini e le loro idee tramite dei murales. Il comitato genitori della Montinaro. Ci sono due istituti, quello di fronte al murales e un altro istituto è quello di Torre Maura.. però insomma, questo è un nuovo comitato genitori però sembra che apprezzino quel tipo di ... questo modo di far esprimere i propri bisogni.

S: questo probabilmente ha sollevato anche qualche questione che comunque riguarda la vulnerabilità e marginalizzazione che magari non erano così evidenti.

U: Non sento di poter dire che si potesse incidere in tre anni su qualcosa di questo tipo. Noi puntavamo a realizzare esperienze che fossero .... non so, per esempio, la possibilità concreta di nuova occupazione e un po' di apertura rispetto ad alcune tematiche come le comunità energetiche e tanti discorsi che sono stati fatti. Anche lì sono comunque processi che vanno avanti in grandissime linee al livello nazionale e altri livelli. Però, ...della realtà sociale causa conseguenze come risultato di attività mi sembra tanto. Sarebbe dire tanto. Non riesco a individuare un esempio di risultati di questa portata.

S: Collegato a questo discorso io chiederei, in generale, qual è secondo voi il valore aggiunto per la comunità che il progetto ha portato? Tu avevi detto una cosa bellissima, avevi parlato di valore aggiunto dopo il progetto e un valore aggiunto che comunque si sarebbe raggiunto anche senza il progetto, quindi una differenza tra questi due.

U: Quantificarlo non mi sembra possibile però di fatto è come se quello che abbiamo avviato se... continuando ora che non si fosse sulla giusta lunghezza d'onda di cambiamenti che erano un po' in arrivo, che ne so, la scuola che si apre al territorio maggiormente, la scelta della street art come strumento di esprimere la presenza di nuovi gruppi, nuovi progetti non oso dire che ci è stato ...tra il valore aggiunto e lo stimolo a fare cose aggregandosi, questo sicuramente. La nascita della Rete

Territoriale sicuramente è coincisa con il momento in qui noi tanto chiedevamo di incontrarci. Poi sai, noi non avevamo la possibilità, non avevamo già una rete di rapporti, ,noi la stiamo costruendo. Poi, un soggetto di quelli con cui ci interfacciamo ha fatto sua questa... però la parrocchia di Bonaventura non è una parrocchia qualsiasi. E parroco Don Stefano Cascio non è un parroco qualsiasi. È abbastanza particolare la sua capacità del suo intervento sociale. Lui ha accolto parecchie di queste cose, non è che si è basato solo sui nostri stimoli soltanto. Li sono partite due progettazioni della diocesi? E lui ha seguito quelle linee, però eravamo tre soggetti, quattro soggetti a dialogare per far nascere questa rete, voglio dire, no? Quindi, penso che noi abbiamo agito un po' al livello di testimoni del quartiere. Non credo che abbiamo inciso su gruppo, sul corpo sociale, però abbiamo inciso su importanti testimoni. Questo si, questo ci credo.

S: Ma in quel senso, secondo te, si potrebbe dire che magari il progetto ha contribuito a una creazione, oppure rafforzamento o identificazione di una comunità patrimoniale?

U: Sì certo, certo che si. Se nasce una rete territoriale che ha come scopo lo stesso scopo che noi tenevamo... noi avevamo come obiettivo la collaborazione civica e la promozione di stili di vita culturali di un certo tipo e volevamo anche promuovere il miglioramento di condizioni di vita. Del nostro specifico, poi però questa rete che ora è nata ha proprio questi obiettivi. Perché non dovremmo dire che puo aver inciso oppure ancora incide? Noi non abbiamo un...un servizio, una funzione, non siamo individuati come erogatore di un qualcosa e quindi abbiamo agito sulle reti però non siamo riusciti a individuare ... abbiamo avuto in mezzo anche la famosa epidemia però insomma, siamo riusciti all' interno del nostro gruppo a metterci d'accordo su quali potesse essere l'idea vincente rispetto a concretizzare questa attività anche economica.

S: Mi fa piacere che hai aperto questo discorso; quindi, lo utilizzerei a passare anche all' ultimo gruppo di domande, a meno che Monica non ha nulla da aggiungere, che riguarda proprio il modello di sostenibilità finanziario. Vado avanti. Apro con la domanda ovvia, mi rispondete solo con sì o no. La comunità è diventata abbastanza sostenibile per coprire costi e investimenti quotidiani?

U: No. La comunità è riuscita finora a resistere un po' a uno squibclkdejhfbldf... che è derivato dai problemi oggettivi, esterni e mancanza di questo risultato. Un qualcosa che chiedesse anche una capacità di produrre un'economia. Non abbiamo creato un'attività economica che ci garantisca che noi allo stato attuale potremmo esistere nel tempo. Siamo ancora alla ricerca. Adesso stiamo alla partecipazione o meno a un bando, piccolo bando però con buone potenzialità però la risposta è no, non abbiamo questa...

S: Per quanto riguarda qualche entrata, rendita dal settore privato?

U: Anche dal settore privato non abbiamo le risorse che ci diano stabilità di dire che possiamo esistere nel tempo.

S: Settore pubblico?

U: Il bando che ho appena citato è l'ennesimo tentativo e i precedenti diciamo sono mancate le occasioni e in parte un paio di tentativi c'è anche una concorrenza che è stata preferita, un concorrenza nell'ambito di non-profit. Un bel particolare di concorrenza.

S: Bisogna sicuramente menzionare un'attimo anche il Living Memory Exhibition e coinvolgimento della pubblica amministrazione. Comunque, hanno finanziato qualche attività?

M: L'evento del concerto così hanno dato il contributo. Stavo per dire che è stato l'unico evento per il quale c'è stato un contributo pubblico. Però, indirettamente anche il dottorato visto che una parte di soldi sono dalla regione, indirettamente proprio sì.

U: Avevo inteso male, pensavo qualcosa che avesse continuità nel tempo.

S: é chiaro che sul lungo termine non si è svolto ancora nulla di tangibile. Per quanto riguarda i posti di lavoro, sempre a lungo termine e a breve termine?

U: Abbiamo soltanto un socio lavoratore in maniera abbastanza minimale. È stata impegnata nella gestione basica della CooperACTiva.

M: Poi abbiamo avuto delle prestazioni occasionali di persone così estemporaneamente, per alcuni progetti, però alla fine a chiamarlo lavoro, non è che la CooperACTiva poi abbia in prospettiva, poi visto che non ha avviato poi qualche attività continuativa e precisa, con tutte le cose che sono nate morte...

U: Occasioni sporadiche, come posso dire. E poi finalizzate a quelle attività che noi consideravamo come di promozione, di introduzione della CooperACTiva al territorio ma non vere e proprie attività lavorative. Salvo naturalmente la realizzazione di queste... io credo che come CooperACTiva non possiamo considerare ciò che abbiamo fatto avendo un importante finanziamento come per la partenza, per lo start di questa situazione. Ho ritenuto che le domande significassero quali sono stati i risultati di tutto questo processo, perché poi, LME faceva parte del progetto ed era uno degli strumenti per lo rilancio della CooperACTiva. Questo lancio non ha portato, per i motivi che abbiamo già detto, alla creazione dell'oportunità di lavoro nuove. Quelle sono state opportunità di lavoro che erano implicite nell'avere un finanziamento per promuovere attività nel territorio di rilancio diciamo così, di avviamento.

S: l'ultima domanda, in realtà quella che mi interessa di più e riguarda le strategie e piani sulla sostenibilità finanziaria in futuro. Il laboratorio, la comunità patrimoniale secondo voi potrebbe crescere in qualcos'altro come per esempio, comunità energetiche?

U: Io non vorrei contraddirmi. La comunità energetica è quello che la CooperACTiva vuole. Allora, nella comunità energetica lo stato attuale la CooperACTiva ha diciamo un ruolo come, posso dire, di soci utenti. Lo sforzo che noi abbiamo sempre fatto è stato in questa direzione ma prevalentemente nella direzione della generazione del lavoro, quindi nell'avere soci lavoratori, oltre che soci utenti. Per il

momento per tutto quello, e non è stato poco, che si è fatto rispetto alle comunità energetiche, sembrerebbe che ci sia ben poco di lavoro che può uscire per soci lavoratori, può essere prodotto per soci lavoratori, e molto utile per soci utenti. Utenti della CooperACTiva stessa con un investimento per la creazione..per la implementazione degli strumenti di produzione.. però tutta la parte amministrativa e distribuzione, sbaglieremo, però non pare che dia questa grande opportunità di lavoro. È una grande opportunità se riusciamo a creare una rete per risparmio da parte di cui dovranno fare la parte, ma anche li diciamo c'è una fase di costruzione della parte operativa, quella si, richiederà il lavoro di soci lavoratori. Però poi, diciamo, il sopravvivere della realtà diciamo di autoproduzione, non mi sembra che questa cooperativa sia... noi non siamo dei montatori, non siamo dei progettisti.

S: Quindi, mi dici che è una questione di competenze?

U: No, è una questione di....

S: ...O è lo stato della giurisprudenza attuale?

U: é una questione dove prevale nelle CER il fatto che tu sei il consumatore. Dopodichè hai anche un eccesso di produzione, ma non è tu attiri la CER perché tu sei produttore e sulla produzione puoi pensare di attivare un tot di lavoro significativo. Per ora sembra poi questa è l'ipotesi del lavoro ... ci sono anche le normative di attuazione che non hanno ancora permesso di essere nella certezza assoluta .... Quindi , diciamo, dobbiamo ancora fare esperienza. Però diciamo io richiamo il fatto che se noi ci diamo, per esempio capissimo che nuovo bando che riguarda il quartiere Alessandrino da parte del Municipio V fosse tagliato in maniera non troppo, cioè se il progetto per loro..possono gradire, accettare, non è un progetto di complessità eccessiva che richiede una quantità di finanziamenti troppo elevata etc noi potremmo anche, diciamo, avere in questo nuovo bando che è in corso una nuova piattaforma di rilancio e perché questo bando sembra che possa essere interpretato anche diciamo come un qualcosa che può nascere con attività ridotte che poi possono man mano crescere in tempo. Se invece il Municipio, come capita con questo tipo di enti, comuni, municipio, mette a disposizione poco e si aspetta tantissimo, allora noi non siamo il soggetto forte economicamente che può fare investimenti iniziali enormi per lanciare le attività.

S: Quindi, mi vorresti dire che i bandi di pubblica amministrazione a volte sono esclusivi solo per i soggetti forti, escludono quelli più deboli che comunque hanno delle risorse umane?

U: ....applicazione del nuovo regolamento sui beni comuni, sì, stiamo parlando di quello, stiamo parlando di beni comuni. Noi stiamo a disposizione anche alle realtà civiche da parte del municipio e si capisce che, ad esempio, noi abbiamo fatto esperienza a via Tovaglieri. È molto più elevata di quello che il Municipio si poteva aspettare la richiesta di investimento iniziale, quindi questo nuovo regolamento che anche, diciamo sta in una fase di sperimentazione, non è sperimentale eh, però è i una fase iniziale, questo diciamo ora abbiamo constatato che Municipio stesso vede che la richiesta di investimento iniziale è molto alta rispetto a quello che loro stessi immaginavano. Però se noi

riuscissimo a ... che ci convince ..di qualità di una proposta progettuale .. lanciarsi in proposte che poi ci costerebbero troppe energie, competenze, ci richiederebbero ...troviamo una giusta misura. ...una volta partecipato... può piacere al Municipio e allora potremmo avere un'opportunità. Ho terminato.

S: Ho capito, grazie. Monica? Avresti qualcosa da aggiungere?

M: Questo bando scade il 16 novembre e ci vorrebbe un miracolo anche dalla parte di LabGov che almeno in questa occasione si rendesse utile per dare una mano concreta...

U: Io conto su di te e tu conti su LabGov!

M: Io conto su LabGov perche in questa occasione ... pensa a comunità energetiche che mi sembra comunque una cosa troppo grande per le nostre risorse attuali, insomma, troppo complessa. Non è una a breve periodo da sviluppare, invece in brevissimo periodo ci sarebbe questa opportunità che .....doveva essere un po la CooperACTiva e... Abbiamo finalmente l'opportunità però non abbiamo quelle risorse per riuscire da soli a concretizzare. Abbiamo un progetto però...

U: Vabbè, io sono un pochino più ottimista. E anche sulle CER credo che ci sia, si metteranno insieme molte energie. Quindi sulle CER se noi riusciamo a fare la nostra parte ci sono molte altre energie in movimento con cui possiamo collaborare, realtà con cui possiamo collaborare, realtà che possono scattare quindi diciamo che ci vuole fortuna, certamente ci vuole anche capacità ma non è impossibile. Certo è di lungo periodo quindi io sono d'accordo con Monica e questo taglio invece di questo più piccolo bando che sta uscendo è una cosa che ci servirebbe a breve tempo concretizzare.

M: si, ... modo di fare un po 'rete in maniera più sul territorio. Insomma, da cosa nasce cosa ma sennò, resta tutto un po '...

U: Secondo me questo aspetto che stai mettendo in luce sembra necessario c. Avere una rete sul territorio, e potremmo avercela, è fondamentale. Adesso non c'è tempo per approfondire qual è il ruolo di LabGov però insomma, sicuramente una rete importante ce l'abbiamo in seguito a nostra presenza in questi anni.

Va bene, io mi avvierei verso i prossimi impegni, e se tu Monica ci vuoi essere...

S: Io adesso interrompo la registrazione.

Fine dell'intervista.

OpenHeritage

Project Partners questionnaire

Name of the Cultural Heritage Lab:

Hof Praedikow

Respondent:

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QI – The heritage asset:

1. Would you rather describe your district as rural, urban or industrial?

Rural

2. How would you describe the heritage asset which is the object of your CHL? Is it tangible, intangible or mixed?

Hof Praedikow is a former manor and very tangible. An enormous amount of buildings had to be renovated. The spirit and role of this agricultural working place is needed a modern and new role for the villagers of Praedikow.

3. What is the ownership model of your heritage asset? Who is the owner? How does the ownership model affect the management?

The land is owned by Stiftung trias (trias foundation), Hattingen (Ruhr).

The buildings are owned by Mietergenossenschaft SelbstBau eG, Berlin (a "tenants' cooperative" from Berlin) by a heritable building right.

People living there are organized in Hof Praedikow e. V. (Hof Praedikow registered association).

- The management is handled by the cooperative as far as the buildings are concerned.

- Every-day-life is handled by the tenants organized in the association.

4. What was your final program and objective of adaptation?

Revitalizing the manor as a living, working place and at the same time finding a new role between the manor and its tenants and the dwellers of the village. This is definitely meant as rural development.

5. Who is the target group of your project? Who will use the heritage asset?

Families interested in a good place for their children and people who can manage to have their business in the rural surrounding of Praedikow. People who value the historical heritage of the estate and who, together with their personal endeavors, would like to carefully develop it further. People who are interested in living there, who are interested in jointly organizing such a large-scale project and who have mainly moved from Berlin.

QII – Legal structure and governance:

1. Is your CHL committed to a legal structure or it is an informal group? Under which national laws is it governed and how?

Please see item 3: The legal structure and ownership are clearly defined under German law. The foundation underlies laws regarding foundation and, together with the cooperative the law of heritable building rights to applied. Additionally, cooperative law and law regarding an association are to be mentioned.

2. Were there universities involved? Please, describe the level of involvement:

Yes, a cooperation with Humboldt University, Berlin.

3. How were private companies and NGOs involved? Please, describe the level of involvement:

We would not consider the cooperative as private company as they are oriented on the interest of their members, not on profit-making.

Stiftung trias and Hof Praedikow e.V. are non-profit-organizations.

Stiftung trias as owner of the land is safeguarding the aims of the project connecting it to a networking of similar projects.

Hof Praedikow e. V, the association, is non-profit in heritage protection, education and cultural activities.

4. Please describe the involvement and role of national and local authorities, if there is any:

The Federal Ministry of Family Affairs, Senior Citizens, Women and Youth supported by subsidies. The KfW (Kreditanstalt für Wiederaufbau, German development bank) granted favorable loans. Local authorities were fond of this project and supported by additional subsidies and assistance wherever necessary. The monument protection authorities at district and state level accompanied the revitalization of the buildings with instructions and requirements for historical reconstruction and possibilities for adaptation.

5. Please, describe shortly the decision-making process. Is it regulated by the constitution act of your organization?

After signing the heritable building right-contract the foundation would not interfere in the further daily processes.

The cooperative as owner of the building is run by its managers and general decisions are taken by the member assembly.

The statues of the association are basis for the building living and working on that place.

6. What challenges did you face during the project, particularly in achieving the effective co-governance? What are the short-term and long-term consequences?

Main challenges of course were the Covid pandemic, war in the Ukraine, followed by a massive increase of building costs.

Co-governance was complicated between the co-operative and future tenants as economic constraints were not always easy to explain and idealistic arguments and wishes from tenants were not always easy to understand by the cooperative managers.

QIII – Heritage community:

1. Did the project improve the community in terms of vulnerability and marginalization, if any (specify)? Did the heritage bond become stronger?

Definitely Yes! The dwellers of the village of Praedikow consider the revitalization of the manor as an enrichment. There are many connections between ancestral inhabitants and the newcomers. The "village barn" in the entrance of the manor is a new and vital meeting place for all of them.

The heritage image of the manor has been transformed in a modern attitude. This place is not only a question of restoring buildings but of revitalizing an agricultural working place with its immense role in the village to a more modern place of working and living.

2. What is the added value your community has been delivered at the end of the project?

That civil society is able to take over difficult projects and develop it to the good of society instead of the profit of shareholders.

QIV – Financial and sustainability model:

1. Did the community become financially sustainable enough to cover the costs of investments and daily activities?

Yes. The rents cover the cost of renovating the buildings. A lot of voluntary work will secure the maintenance of the place.

2. Any income from the private sector during the project? In what way?

Depends on what is meant by "income". There was a lot of voluntary work by the future tenants. The professionals working on Hof Praedikow pay rent and partly help with their professional knowledge.

3. Any income from the public sector during the project? In what way?

Subsidies and favorable loans.

4. Did the project contribute to the creation of jobs? If yes, how many? Are those mostly one-term jobs or on a longer period?

Two women run the restaurant in the village barn. The "Netzwerk Zukunftsorte" (network future places) developed out of the activities round about Hof Praedikow. There are another two jobs giving advice to projects developing in the wider area. There may by additional jobs caused by additional places in the kindergarten. The creation of age-appropriate housing will increase demand for local elderly care services. In addition, maybe stabilization of retail shops in the area.

5. What are the strategies and plans on financial sustainability for the future? Do you think your CHL might overgrow "heritage" and become something else (example: energy community)?

Hof Praedikow very quickly developed to a lighthouse-project showing what civic groups can develop if they are accepted as partners. The heritage aspect is valuable for attracting people and became a nucleus for developing a modern place of working and living.

There a plans for solar energy and wind energy nearby.

QV – Self-evaluation questions:

1. Successful implementation of the inclusive re-use model that strongly focuses on community engagement and community building? Did the project contribute to the creation/strengthening of the heritage community?

Weak Moderate **Strong**

2. Creation of the sustainable economic ecosystem on the local level? Did the project contribute to the creation of a sustainable microeconomy capable of surviving after the project ends?

Weak Moderate **Strong**

3. Successful revitalization/renovation of the asset and making it accessible to local community?

Weak Moderate **Strong**

4. Did the project help overcoming the vulnerability issues?

Weak Moderate **Strong**

5. The level of co-governance, understood as a presence or absence of a self-, shared, collaborative or polycentric organization for the governance of heritage goods. (Weak = public, public-private, multi-stakeholder; Moderate = small scale and shared governance; Strong = Collaborative, cooperative or polycentric governance)

Weak Moderate **Strong**

6. The level of enabling state, where it expresses the role of the state in the governance of the heritage commons and its tools that facilitate collective actions. (Weak = co-design; Moderate = collaborative; Strong = experimental or informal)

Weak Moderate **Strong**

7. The level of poolism, used to describe the process of different sectors or actors combining their efforts to share resources, collaborate, and cooperate to create and steward urban goods, services and infrastructure (the pooling of capacities and resources). (Weak = sharing; Moderate = collaborative economy; Strong = commoning economy)

Weak Moderate **Strong**

8. The level of urban experimentalism, which represents and adaptive, place-based, and interactive approach to the design of legal and policy innovations that enable urban commons. (Weak = iterative; Moderate = experimentalist methodology and adaptive; Strong = replicable/scalable/connectivity)

Weak Moderate **Strong**

9. The level of tech justice as realization of democratic platforms that enable collaboration between local actors and governments. (Weak = tech equality; Moderate = tech justice; Strong = tech sovereignty)

Weak Moderate Strong

OpenHeritage

Project Partners Questionnaire

Name of the Cultural Heritage Lab:

Sunderland CHL

Respondent:

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QI – The heritage asset:

1. Would you rather describe your district as rural, urban or industrial?

Urban

2. How would you describe the heritage asset which is the object of your CHL? Is it tangible, intangible or mixed?

Mixed – all heritage is mixed!

3. What is the ownership model of your heritage asset? Who is the owner? How does the ownership model affect the management?

Ownership by TWBPT,

4. What was your final program and objective of adaptation?

I am not sure I understand this correctly, but I guess to develop the buildings into a music venue and coffee shop, and a separately accessible one with a different function (now a green grocer)

5. Who is the target group of your project? Who will use the heritage asset?

PopRecs was always identified as the main used

QII – Legal structure and governance:

1. Is your CHL committed to a legal structure or it is an informal group? Under which national laws is it governed and how?

PopRecs is a CIC, TWBPT is a building preservation trust / UK law

2. Were there universities involved? Please, describe the level of involvement:

Yes, during OH, I was heavily involved, spending 1 day a week in Sunderland, and discussing options, restoration plans, and organizing events with local communities, in collaboration with both PopRecs and TWBPT

3. How were private companies and NGOs involved? Please, describe the level of involvement:

See chapter 19 here https://www-taylorfrancis-com.libproxy.ncl.ac.uk/books/oa-edit/10.4324/9781003031536/care-city-angelika-gabauer-sabine-knierbein-henrik-lebuhn-kim-trogal-nir-cohen-tigran-haas-tihomir-viderman

4. Please describe the involvement and role of national and local authorities, if there is any:

Historic England, and the Local authority – both (small) funders and facilitators of the project, in the Heritage Action Zone (a Historic England led national programme)

5. Please, describe shortly the decision-making process. Is it regulated by the constitution act of your organization?

I don't know the decision making process of PopRecs – as a CiC they would have a responsibility to report finances and have a board of directors, but I am not involved in it.

6. What challenges did you face during the project, particularly in achieving the effective co-governance? What are the short-term and long-term consequences?

I coorganised events, invited communities in, and built a trust relationship with PopRecs and the TWBPT, to aid the process – not formalized.

Many challenges as people had very different ideas and aims at times, but also, my time created to capacity to deal with them

QIII – Heritage community:

1. Did the project improve the community in terms of vulnerability and marginalization, if any (specify)? Did the heritage bond become stronger?

I am sure it did, but the project only opened late 2022, so within OH we didn't have time to find out. We have plans to measure impact, but I don't have numbers for you

2. What is the added value your community has been delivered at the end of the project?

A cultural complex for everyone, with many local groups and organizations using the space, coming together, and creating a more open an active environment

QIV – Financial and sustainability model:

1. Did the community become financially sustainable enough to cover the costs of investments and daily activities?

yes

2. Any income from the private sector during the project? In what way?

no

3. Any income from the public sector during the project? In what way?

Yes, the 'sold' the buildings (in a very bad state) to the TWBPT for a pound

They applied for the HAZ status, which created additional opportunities for funding

Time investment / support

4. Did the project contribute to the creation of jobs? If yes, how many? Are those mostly one-term jobs or on a longer period?

Yes -PopRecs is up and running and employ about 6 people now

The green grocer employs 2 people

Upstairs from PopRecs there are now small business and freelancers, these are not jobs created by the project, but starting organisations who found a space in the building.

5. What are the strategies and plans on financial sustainability for the future? Do you think your CHL might overgrow "heritage" and become something else (example: energy community)?

QV – Self-evaluation questions:

1. Successful implementation of the inclusive re-use model that strongly focuses on community engagement and community building? Did the project contribute to the creation/strengthening of the heritage community?

Weak Moderate **Strong**

2. Creation of the sustainable economic ecosystem on the local level? Did the project contribute to the creation of a sustainable microeconomy capable of surviving after the project ends?

Weak **Moderate** Strong

3. Successful revitalization/renovation of the asset and making it accessible to local community?

Weak Moderate **Strong**

4. Did the project help overcoming the vulnerability issues?

Weak **Moderate** Strong

5. The level of co-governance, understood as a presence or absence of a self-, shared, collaborative or polycentric organization for the governance of heritage goods. (Weak = public, public-private, multi-stakeholder; Moderate = small scale and shared governance; Strong = Collaborative, cooperative or polycentric governance)

Weak **Moderate** Strong

6. The level of enabling state, where it expresses the role of the state in the governance of the heritage commons and its tools that facilitate collective actions. (Weak = co-design; Moderate = collaborative; Strong = experimental or informal)

It was never seen as a commons so it is hard to review it against those terms / at the same time, a lot of experiment goes on in terms of making it work in the neighborhood

Weak Moderate Strong

7. The level of poolism, used to describe the process of different sectors or actors combining their efforts to share resources, collaborate, and cooperate to create and steward urban goods, services and infrastructure (the pooling of capacities and resources). (Weak = sharing; Moderate = collaborative economy; Strong = commoning economy)

Weak **Moderate** Strong

8. The level of urban experimentalism, which represents and adaptive, place-based, and interactive approach to the design of legal and policy innovations that enable urban commons. (Weak = iterative; Moderate = experimentalist methodology and adaptive; Strong = replicable/scalable/connectivity)

Weak Moderate Strong

9. The level of tech justice as realization of democratic platforms that enable collaboration between local actors and governments. (Weak = tech equality; Moderate = tech justice; Strong = tech sovereignty)

Not applicable

Weak Moderate Strong

OpenHeritage

Project Partners questionnaire

Name of the Cultural Heritage Lab:

Praga CHL

Respondent:

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QI – The heritage asset:

1. Would you rather describe your district as rural, urban or industrial?

Urban in a formerly industrial area.

2. How would you describe the heritage asset which is the object of your CHL? Is it tangible, intangible or mixed?

Mixed. The heritage we worked with encompassed tangible elements (space and place of work, especially manufacturing, repair and craft) and knowledge, skills and identity involved in such a work.

3. What is the ownership model of your heritage asset? Who is the owner? How does the ownership model affect the management?

As we worked with the broader area, ownership varies, and encompasses public and private sites/premises. As an example we used municipally-owned site.

4. What was your final program and objective of adaptation?

As we worked with the broader area, the goal was to create networks, strengthen the stakeholders who embodied the heritage community and to provide the model of adaptation which could be used for various sites (adaptation of a specific site was not a main goal).

5. Who is the target group of your project? Who will use the heritage asset?

Heritage community of work, especially those are involved in manufacturing, repair, craft and art, but also those who are stakeholders of the built heritage environment (municipality, specialists, users and inhabitants).

QII – Legal structure and governance:

1. Is your CHL committed to a legal structure or it is an informal group? Under which national laws is it governed and how?

As we worked with the broader area there is a network of stakeholders, with strong position of associations/informal groups of craft, SMEs and local authorities.

2. Were there universities involved? Please, describe the level of involvement:

N/A.

3. How were private companies and NGOs involved? Please, describe the level of involvement:

They were partners in networking of the heritage community, were involved in co-creation of model of heritage re-use and practices strengthening the intangible heritage of work.

4. Please describe the involvement and role of national and local authorities, if there is any:

Municipal and district authorities were directly involved in creation of the feasible model of heritage re-use.

5. Please, describe shortly the decision-making process. Is it regulated by the constitution act of your organization?

N/A in this specific case (see above). The CHL supported existing initiatives and organizations so the process varied accordingly.

6. What challenges did you face during the project, particularly in achieving the effective co-governance? What are the short-term and long-term consequences?

The main challenge was COVID-19 pandemic which stopped short the re-use of the chosen example (Bakery) by its at-the-time tenant. Further development of re-use was delayed, in part also due to the internal barriers within public administration, but the Bakery became a point of interest for the owner.

QIII – Heritage community:

1. Did the project improve the community in terms of vulnerability and marginalization, if any (specify)? Did the heritage bond become stronger?

The project, despite the drawbacks brought by the COVID-19 pandemic, strengthen the local heritage community, by providing better networking and new approaches/values in their own work, based on the heritage. It applies to struggling art and craft SMEs and individuals.

2. What is the added value your community has been delivered at the end of the project?

Stronger and more modern heritage-based identity of the place, lasting impact on practices of some stakeholders involved in the project. Regarding the Bakery, its status significantly changed during the project as in now an element of public plans and investments.

QIV – Financial and sustainability model:

1. Did the community become financially sustainable enough to cover the costs of investments and daily activities?

N/A

2. Any income from the private sector during the project? In what way?

Support for the dissemination.

3. Any income from the public sector during the project? In what way?

No (but I cannot see any formally proper way for such an "income").

4. Did the project contribute to the creation of jobs? If yes, how many? Are those mostly one-term jobs or on a longer period?

Rather strengthening the position of the existing jobs. In the long term the goal was to help in development of heritage-driven practices in business and adequate interest from the market.

5. What are the strategies and plans on financial sustainability for the future? Do you think your CHL might overgrow "heritage" and become something else (example: energy community)?

N/A, except the heritage is indeed a base for future-oriented circular practices, which do not have necessarily happen within a formal group – rather in a broader community.

QV – Self-evaluation questions:

1. Successful implementation of the inclusive re-use model that strongly focuses on community engagement and community building? Did the project contribute to the creation/strengthening of the heritage community?

Weak Moderate **Strong**

2. Creation of the sustainable economic ecosystem on the local level? Did the project contribute to the creation of a sustainable microeconomy capable of surviving after the project ends?

Weak **Moderate** Strong

3. Successful revitalization/renovation of the asset and making it accessible to local community?

Weak **Moderate** Strong

4. Did the project help overcoming the vulnerability issues?

Weak **Moderate** Strong

5. The level of co-governance, understood as a presence or absence of a self-, shared, collaborative or polycentric organization for the governance of heritage goods. (Weak = public, public-private, multi-stakeholder; Moderate = small scale and shared governance; Strong = Collaborative, cooperative or polycentric governance)

Weak Moderate **Strong**

6. The level of enabling state, where it expresses the role of the state in the governance of the heritage commons and its tools that facilitate collective actions. (Weak = co-design; Moderate = collaborative; Strong = experimental or informal)

Weak **Moderate** Strong

7. The level of poolism, used to describe the process of different sectors or actors combining their efforts to share resources, collaborate, and cooperate to create and steward urban goods, services and infrastructure (the pooling of capacities and resources). (Weak = sharing; Moderate = collaborative economy; Strong = commoning economy)

Weak **Moderate** Strong

8. The level of urban experimentalism, which represents and adaptive, place-based, and interactive approach to the design of legal and policy innovations that enable urban commons. (Weak = iterative; Moderate = experimentalist methodology and adaptive; Strong = replicable/scalable/connectivity)

Weak Moderate **Strong**

9. The level of tech justice as realization of democratic platforms that enable collaboration between local actors and governments. (Weak = tech equality; Moderate = tech justice; Strong = tech sovereignty)

Weak Moderate **Strong**

OpenHeritage

Project Partners questionnaire

Name of the Cultural Heritage Lab:

Lisbon CHL

Respondent:

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QI – The heritage asset:

1. Would you rather describe your district as rural, urban or industrial?

Marvila is urban, pós-industrial.

2. How would you describe the heritage asset which is the object of your CHL? Is it tangible, intangible or mixed?

Mixed

3. What is the ownership model of your heritage asset? Who is the owner? How does the ownership model affect the management?

It's municipal, and if it's use is not delegated to local based associations its actions will depend on the moods of municipality administrations.

4. What was your final program and objective of adaptation?

The final goal was always to produce houses. In 2017 to refugees that were arriving, then to short-medium term hosting and now for a cooperative development.

5. Who is the target group of your project? Who will use the heritage asset?

We still don't know, yet.

QII – Legal structure and governance:

1. Is your CHL committed to a legal structure or it is an informal group? Under which national laws is it governed and how?

We, Working with the 99%, are a cooperative. Sociedade 3 de Agosto, is one association. We both work according Portuguese laws

2. Were there universities involved? Please, describe the level of involvement:

No.

3. How were private companies and NGOs involved? Please, describe the level of involvement:

They were not involved.

4. Please describe the involvement and role of national and local authorities, if there is any:

The municipality has always been involved. Sometimes working closely with us, sometimes totally absent.

5. Please, describe shortly the decision-making process. Is it regulated by the constitution act of your organization?

We tested several ways of decision-making. In the beginning it was mostly thru public regular assemblies. After Covid19, we had to stop meetings. The last decision making process was an exhibition where people were called, in the end, to vote for the color of the future Palace.

6. What challenges did you face during the project, particularly in achieving the effective co-governance? What are the short-term and long-term consequences?

The main problem was the lack of feedbacks from local authorities. From one day to another, it can take years to have a Yes or a No. The main challenge is to resist to that.

QIII – Heritage community:

1. Did the project improve the community in terms of vulnerability and marginalization, if any (specify)? Did the heritage bond become stronger?

I don't think so. We manage to be part on solving/negotiating some tensions in the neighbourhood, but nothing really structural because of the precarious situation we were committed. Even the situation with a very aggressive homeless people that created physical tensions all around the neighbourhood was only solved when he was arrested after committed several crimes. We tried, and tried, that there was a municipal intervention of the social affairs, but Marvila is not in the city center.

2. What is the added value your community has been delivered at the end of the project?

QIV – Financial and sustainability model:

1. Did the community become financially sustainable enough to cover the costs of investments and daily activities?

The situation it's still not measurable

2. Any income from the private sector during the project? In what way?

No.

3. Any income from the public sector during the project? In what way?

Yes. Some financial support.

4. Did the project contribute to the creation of jobs? If yes, how many? Are those mostly one-term jobs or on a longer period?

Yes. 3-4 long term jobs

5. What are the strategies and plans on financial sustainability for the future? Do you think your CHL might overgrow "heritage" and become something else (example: energy community)?

Yes, it might became a community-lead cooperative housing project.

QV – Self-evaluation questions:

1. Successful implementation of the inclusive re-use model that strongly focuses on community engagement and community building? Did the project contribute to the creation/strengthening of the heritage community?

Weak **Moderate** Strong

2. Creation of the sustainable economic ecosystem on the local level? Did the project contribute to the creation of a sustainable microeconomy capable of surviving after the project ends?

Weak **Moderate** Strong

3. Successful revitalization/renovation of the asset and making it accessible to local community?

Weak Moderate **Strong**

4. Did the project help overcoming the vulnerability issues?

Weak **Moderate** Strong

5. The level of co-governance, understood as a presence or absence of a self-, shared, collaborative or polycentric organization for the governance of heritage goods. (Weak = public, public-private, multi-stakeholder; Moderate = small scale and shared governance; Strong = Collaborative, cooperative or polycentric governance)

Weak Moderate Strong

6. The level of enabling state, where it expresses the role of the state in the governance of the heritage commons and its tools that facilitate collective actions. (Weak = co-design; Moderate = collaborative; Strong = experimental or informal)

Weak **Moderate** Strong

7. The level of poolism, used to describe the process of different sectors or actors combining their efforts to share resources, collaborate, and cooperate to create and steward urban goods, services and infrastructure (the pooling of capacities and resources). (Weak = sharing; Moderate = collaborative economy; Strong = commoning economy)

Weak Moderate **Strong**

8. The level of urban experimentalism, which represents and adaptive, place-based, and interactive approach to the design of legal and policy innovations that enable urban commons. (Weak = iterative; Moderate = experimentalist methodology and adaptive; Strong = replicable/scalable/connectivity)

Weak Moderate **Strong**

9. The level of tech justice as realization of democratic platforms that enable collaboration between local actors and governments. (Weak = tech equality; Moderate = tech justice; Strong = tech sovereignty)

Weak Moderate Strong

Faro Convention Network

PhD dissertation questionnaire

Name of the heritage community:

Žemujų Šančių bendruomenė

Respondent:

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QI – The heritage asset:

1. Would you rather describe your district as rural, urban or industrial?

We are a neighborhood that grew up around the establishment of railway (1870s), Russian Empire military barracks (1890s) and factories (1920s). We have registered heritage which can be viewed by tapping 'registered heritage' here: Memory map - Šančių bendruomenė (sanciubendruomene.lt) In 2023, two new assets were listed under registered cultural and these are (i) the 1880s Cabbage Field cellars in the military complex and (ii) a 1900s wooden house developed for railway workers. So our heritage is (i) urban, (ii) industrial and (iii) dissonant military heritage.

2. How would you describe the heritage asset which is the object of your heritage community? Is it tangible, intangible or mixed?

We describe complexity (people, places, stories, landscape) rather than singular objects as heritage. It is the capacity of a community to holds (discover, create, share, enjoy, safeguard) its identity and sense of belonging that produces a heritage effect that includes both tangible, intangible and imaginative heritage assets. It is also its capability to transmit those 'assets' to new generations and new comers that describes the complexity of the heritage asset. It is a process that is about 'flow' between all the objects of heritage rather than singular items and the human persons interaction as a group with those assets. The biggest challenge we face in trying to make real the right to participation in identifying local heritage that should be given heritage status and being part of planning for the future management of those objects.

3. What is the ownership model of your heritage asset? Who is the owner? How does the ownership model affect the management?

The wicked problem we face is how do we share what we own? The heritage assets are 'owned' as a result of historical, economic and social forces and can sometimes be accounted as 'public' or 'private' ownership. Therefore, our challenge is to create an interface that answers the question, how do we share what we own (or what we do not own) in ways that are collective and centred on commoning. Recently, a local man can to us who owns a house owned by his family since 1900s and he wants to give it to the community for use as a community facility. He does not want to sell it but wants to enter into a protocol for 10 years by which the community will use it. In a neighbourhing area, the local parish gave its community house to the community organisation for 10 years too. However, the challenge of sustaining such infrastrucutre without state support is quite difficult and finding ways to repurpose historic buildings for community culture is never simple.

4. What was your final program and objective of adaptation?

We made a decision to develop a neighborhood plan in which 'heritage assets' would be part a wider process of territorial planning and visioning at neighborhood level. This is the 'genius loci project' that ended in December 2023. Genius Loci - Šančių bendruomenė (sanciubendruomene.lt) It resulted in the develop of a preferred vision for the neighbourhood that integrates heritage objects.

The Genius Loci Project in the neighborhood of Šančiai, a district of Kaunas city, is about the engagement of local residents in the creation of a future vision – the development and preservation of the heritage assets of their neighborhood of Šančiai. The project has used a wide variety of tools to engage and educate the local inhabitants in the urban planning process. These included workshops, lectures, seminars and tours, as well as concerts, events and demonstrations.

The project has employed the use of interactive maps which allows the user to register places of importance to them under the following categories: 'memory'; 'present'; and 'nature'. This provides a rich database of local stories, people, photos and memories linked to locations and buildings in the 'memory' map. Likewise, the 'nature' maps allow the user to register places with particular natural importance, habitats and trees. And as the map shows, particular emphasis on the importance of - and access to – the river Nemunas.

The data from the interactive maps have been used to generate analysis maps of the area under the categories of: 'emotions' (related to memory, public spaces and nature); 'space syntax' which shows patterns of movement through the city; and a 'cultural heritage' map based on the input from the inhabitants of Šančiai into the 'memory' map. The result is a rich tapestry of places and

areas of importance mapped out, not according to a top-down urban planning perspective, but from a grassroots-lead bottom-up approach.

The Genus Loci Project exemplifies the challenges that mets countless cities and neighbourhoods across the world namely, how to accommodate growth and development and at the same time preserve what is of real value to the local inhabitants in the face of urban development. The tools employed in the project have both educated and empowered the local residents to identify what is important to them as they strive to preserve the unique qualities of their neighbourhood. Under the 'proposals' map, suggestions for improvement are registered by local residents including suggestions on how to improve access to certain areas. Particular importance is given to public spaces, and these are presented under a new map created as a result of workshops with both children and adults.

A new Urban Vision Map is generated as a result of the analysis of the mappings, presented as an alternative plan to the current Kaunas masterplan for Šančiai. This alternative plan places greater emphasis on the qualities of the existing urban and natural fabric of Šančiai as it is generated from the data input recorded in the thematic maps of the Genus Loci Project. It represents a more democratic and sustainable way to inform the urban planning process.

What is discouraging is the lack of engagement from the representatives of the Kaunas municipality. It seems the local municipality does not take the local residents views into account when proposing and implementing development plans for Šančiai. There is clearly a need for a greater understanding of the importance of local participation in planning decisions. Urban planning mistakes (which we see examples of everywhere) are often the result of a lack of understanding of the local environment and sensitivity of the urban fabric and neighborhoods. There is clearly a need for a much greater understanding of how to incorporate local voices on the neighborhood level into the Kaunas municipality decision making processes – and a recognition of why this is important.

5. Who is the target group of your project? Who will use the heritage asset?

The mobilisation of local people and the development of civil society is key. For example, the community opera was a devise to nurture civil society and to find a fun way to overcome oppressive government structures and to enjoy its

1. Independence of purpose, independence of voice and independence of action. Niall Crowley sums it up like this: "Our voice, in pursuit of our ends, through our means."

2. Unleashing new civil society energy with civil society action taking new forms, giving vent to our values, and mobilising imagination for a new vision.

We wrote in more detail about the opera here: https://docs.google.com/document/d/1Pez0Ev8OwbK_JUHR57rLDNbREdB_xXWL9BrTA0wjw8k/edit?usp=sharing

QII – Legal structure and governance:

1. Is your heritage community committed to a legal structure or it is an informal group? Under which national laws is it governed and how?

We are established as a community association (not for profit) and which is integrated into the Lithuanian constitution under the articles to do with local self-governance. As a group there is a particular responsibility places on government to engage with associations in relation to urban planning and other social issues although the modes of implementation are very problematic. In this regard we will submit a Collective Complaint soon to the EU regarding the infringement by local government with regard to the right of citizens to participate in decision making. We just need to identify which directives we need to spotlight. Here is a draft of the letter: https://docs.google.com/document/d/1AnKUIC0jO42nvQoX-sXvgJrUPqaXvD_F1_zDUrwvrbc/edit?usp=sharing

2. Were there universities involved? Please, describe the level of involvement:

Yes, for the Genius Loci project the Kaunas Technical University was involved. One of its lecturers lives in our neighborhood (attached)Assumptions_of_the_Concept_of_Spatial_Justice_in_t.pdf

The team from the faculty of engineering and architecture also produced another monograph based on their work in the genius loci project here: See article in this edition: Towards a New European Bauhaus—Challenges in Design Education: EAAE Annual Conference—Madrid 2022 | SpringerLink

Their role is described here: GENIUS LOCI: urbanization and civil society - Kaunas University of Technology | KTU

Now we are preparing together an application for a territorial research to do with citizen participation under a programme called ESPON: https://www.espon.eu/participate/targeted-analysis-cutoff-march-2024

3. How were private companies and NGOs involved? Please, describe the level of involvement:

We have a significant number of private companies (business) in our neighborhood but our engagement with them has not been tested in any real way. The engagement with other NGOs is

quite confined to other community associations in our community (2) and we are members of the city network of Kaunas Associations. www.kbca.lt

At a legal level we are supported greatly by another NGO called Public Interest Advocacy Fund: VIG FOUNDATION | Public interest | human rights | public rights | public interest and its defence (vigfondas.lt) -use google translate. This was founded by a local lawyer who handles all our cases against the Municipality. After art/culture/heritage the legal avenue is the most important priority for us and one we have used since 2019 and continue to use in 2024.

4. Please describe the involvement and role of national and local authorities, if there is any:

The Letter of Complaint gives a flavor of the relationship with the Kaunas Municipality. In summary we highlight its infringements

1. Through its failure to act

- **to inform and engage citizens in decision making in relation to urban planning;**
- **to ensure the legitimate right to participation by civil society in decision making processes that in effect directly impacts upon the well-being of communities;**
- **To obscurate Access to justice refers to the public's right to review by a court or another independent body to ensure that public authorities respect the rights to access to information and public participation, and environmental law in general.**

2. Through practices that

- **exclude participation of citizens and civil society organisations in the territorial/urban planning processes;**
- **form barriers to local self-government and the role of civil society therein, in Lithuania and result in higher levels of a non-participatory culture in democratic processes in Lithuania. (Note 1. Trabucco, 2017, p. 258). These practices disregard directives related to territorial planning of the environment including the SEA Directive, EIA Directive; Birds Directive; Habitat Directive; Floods Directive and Environmental Noise Directive.**

In contrast we have found supportive advocates in other institutions: (i) the Minister of Finance in the national government is our local parliamentarian. She has been an advocate for the issues we highlight and has taken positive action. She helped disseminate the outcomes of the Genius Loci

project to the Ministry of Environment and has contacted the Ministry of Culture so that we can make a seminar during Lithuanian's Presidency of the Council of Europe Ministers later in 2024.

Also, we have submitted requests for registration as cultural heritage and these have been handled by the national Department of Cultural Heritage Registry Board. In both proceedings Committee members were very supportive of the community and its position even in the face of opposition by the Head of Heritage in Kaunas Municipality.

So too in confronting the lawyers of the shopping company, LIDL whose store opened in our neighbourhood in 2018. It hoped to demolish a wooden house with many owners located at 125, A. Juozapavičius Avenue. Four owners sold to Lidl but one refused! The exterior walls of the vacant rooms were covered by plastic hoarding with aerial photos of the Kaunas city. Over three years ago, our community wrote to request that this house be included on the Register of Cultural Value. On December 11, 2023 after three evaluation meetings it was decided to grant protection to the building of the Kaunas railway station employees' dormitory (unique code in the Cultural Values Register 46734), located on A. Juozapavičiaus Ave. 125, determining the regional level of significance of this property and defining the boundaries of the object's territory.

5. Please, describe shortly the decision-making process. Is it regulated by the constitution act of your organization?

Decision-making processes are determined by the monthly meetings of our community association which during COVID 19 were online. At these meetings we proceed to identify issues and make decisions. Day to day decision making is delegated to the Chair of our community association. Many of the legal details of the management and its decision making is laid down in the Articles of Community Associations. See IX-1969 Republic of Lithuania Law on Associations (lrs.lt)

6. What challenges did you face during your project, particularly in achieving the effective co-governance? What are the short-term and long-term consequences?

The legal structure for an association is an inadequate form for our work and we look to find more horizontal mechanism of management. Also, association is quite formal in its legal structure and our association is quite informal. We don't have employees or a building and people pay annual subscriptions (18 euro). So we look to a more cooperative legal structure but have not progressed this to any great extent.

QIII – Heritage community:

1. Did the project improve the community in terms of vulnerability and marginalization, if any (specify)? Did the heritage bond become stronger?

Addressing marginalisation by building the capacity of people whose knowledge and experience in the area of cultural heritage, civil rights and citizen participation increased. Specifically, citizens acquired knowledge on how to determine for yourself what is tangible and intangible cultural heritage; how to cocreate with others and to understand the needs of others while working collaboratively. There was Increased creativity, collaboration and co-creation to more creatively practice advocacy and achieve civic goals. Finally, there was Increased communication skills, allowing to communicate with representatives of institutions with greater confidence. Increased non-verbal communication skills allowing for more sensitive observation and response to the environment and people. Specifically, during the Genius Loci project the roll out of workshops for people with a disability produced new knowledge about how public space works that could not have been achieved without their input. Similarly, with children and young people through workshops in the schools.

2. What is the added value your community has been delivered since the beginning of your project?

The goal of our cultural heritage community is not cultural heritage but rather promoting active citizenship and strengthening direct democracy. For example, the actual participation of citizens in public presentations of urban planning projects and submission of proposals to do with new developments is a new phenomenon for community members and a direct result of the work.

The community website continues to archive and inform the public about urban changes in the Šanci district, and will support the involvement of citizens in decision-making related to the living environment. Cultural heritage issues continue to be publicized on the sanciubendruomene.lt website and presented as a good example showing how linking cultural heritage to imagination is a method of using civic powers in developing urban visions of the residential environment.

QIV – Financial and sustainability model:

1. Did the community become financially sustainable enough to cover the costs of investments and daily activities?

We don't term community activities as volunteering but 'investing' our own time and energy in making a flourishing community. We work to avoid getting trapped into the cycle of 'state' funding to keep our activities afloat so there is a lot of time when we do things from within our own resources. We do offer the Chair of our community organisation an annual stipend for her work but this amount never equals her input. All in all, financial sustainability is not something

we feel has been achieved and the environment for community budgeting by local government is completely underdeveloped. Our system still works along the lines that the Municipality is the manager of the territory and responsible for refuse, heating, water, schools, roads and it's job is to fund all such activities directly. There is no funding for community development or community management of heritage. We have not been successful in acquiring the methodological or practical knowledge on how to sustain our activities in a collective manner. Specifically, the position of artists living and practicing in the community contexts is extremely vulnerable in this regard as there is no tradition of support for this way of working outside the institutional context.

2. Any income from the private sector during the project? In what way?

Members Own Funds 1,611 € (2021) 2,539 € (2022) 4,677 € (2023)

3. Any income from the public sector during the project? In what way?

Our income from the public sector was 35,275 (2021); 57,084 (2022); and 72,498 (2023) which is mostly derived from the EEA Norwegian Funds. Also in 2022 we won 20,000euro from the New European Bauhaus Award and we paid 1,000 in tax to the state from this prizemoney.

4. Did the project contribute to the creation of jobs? If yes, how many? Are those mostly one-term jobs or on a longer period?

The association does contribute to job creation but it is mostly part time and temporary contracts related to delivery of specific tasks. We had three members employed part time for the three year project Genius Loci and these were a designer, programmer and graphic designer. We also employed a part time project manager. Every association must employ a bookkeeper which we do and this is a constant position but it is a minimum wage. In 2024 only the bookkeeper is employed and we don't foresee new employment opportunities until we win project funding.

5. What are the strategies and plans on financial sustainability for the future? Do you think your community might overgrow "heritage" and become something else (example: energy community)?

QV – Self-evaluation questions:

1. Creation of the sustainable economical ecosystem on the local level? Did the creation of the community contribute to the creation of a sustainable microeconomy capable of surviving in a long term?

Weak Moderate Strong

2. Successful revitalization/renovation of the asset and making it accessible to local community?

Weak Moderate **Strong**

3. Did the creation of a community help overcoming the vulnerability issues?

Weak Moderate **Strong**

4. The level of co-governance, understood as a presence or absence of a self-, shared, collaborative or polycentric organization for the governance of heritage goods. (Weak = public, public-private, multi-stakeholder; Moderate = small scale and shared governance; Strong = Collaborative, cooperative or polycentric governance)

Weak **Moderate** Strong

5. The level of enabling state, where it expresses the role of the state in the governance of the heritage commons and its tools that facilitate collective actions. (Weak = co-design; Moderate = collaborative; Strong = experimental or informal)

Weak Moderate Strong

6. The level of poolism, used to describe the process of different sectors or actors combining their efforts to share resources, collaborate, and cooperate to create and steward urban goods, services and infrastructure (the pooling of capacities and resources). (Weak = sharing; Moderate = collaborative economy; Strong = commoning economy)

Weak Moderate Strong

7. The level of urban experimentalism, which represents and adaptive, place-based, and interactive approach to the design of legal and policy innovations that enable urban commons. (Weak = iterative; Moderate = experimentalist methodology and adaptive; Strong = replicable/scalable/connectivity)

Weak Moderate **Strong**

8. The level of tech justice as realization of democratic platforms that enable collaboration between local actors and governments. (Weak = tech equality; Moderate = tech justice; Strong = tech sovereignty)

Weak Moderate **Strong**

Faro Convention Network

PhD dissertation questionnaire

Name of the heritage community:

Association of Almašani

Respondent:

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QI – The heritage asset:

1. Would you rather describe your district as rural, urban or industrial?

Urban

2. How would you describe the heritage asset which is the object of your heritage community? Is it tangible, intangible or mixed?

It's mixed, but we are more focused to intangible.

3. What is the ownership model of your heritage asset? Who is the owner? How does the ownership model affect the management?

It's public – private…But intangible heritage is more like public value and it's not a matter of copyright…Some parts od tangible heritage like historical buildings are mostly public, but partially private.

4. What was your final program and objective of adaptation?

It was formal protection of our neighborhood, and we achieved that in 2019. In parallel process, our goal was to raise awareness about the importance of our heritage, as well as motivate reinterpretation of our heritage from different perspectives.

5. Who is the target group of your project? Who will use the heritage asset?

In the field of raising awareness our targeted groups were locals, public in general and decision makers; in the field of reinterpretation of heritage it's a local community in a first place, scientific researchers, artists, young people…

QII – Legal structure and governance:

6. Is your heritage community committed to a legal structure or it is an informal group? Under which national laws is it governed and how?

We are NGO founded under the National legislation regarding NGO-s, but we deal a lot with topics covered by the law about culture and infrastructure and there is a little bit crossing path between them…

2. Were there universities involved? Please, describe the level of involvement:

We are closely collaborating with the scientific community in a different way: we do researchers together, we publish some publications and books together, we apply for projects together, ask them for help in some issues etc We have three formal agreements with national and international universities.

3. How were private companies and NGOs involved? Please, describe the level of involvement:

Unfortunately, private sector – private companies are not involved enough, and this is one of the biggest weaknesses. Cooperation with other NGO-a is of a high level, very fluent.

4. Please describe the involvement and role of national and local authorities, if there is any:

We were founded in 2005th as an activist project and group of people who fight against projects initiated by local government at the time. After a few years if fighting we won. After more years of raising awareness and advocating, we finally managed to get authorities on our side. Today, we can say that we are partners in one of the biggest public projects of regeneration of cultural heritage in some urban area.

5. Please, describe shortly the decision-making process. Is it regulated by the constitution act of your organization?

Yes, it is and it's public on the website of our public register of formal organizations – APR

6. What challenges did you face during your project, particularly in achieving the effective co-governance? What are the short-term and long-term consequences?

It was a long period of misunderstanding between us and authorities which wasn't constructive, also, all our activities were based on our private resources of any kind for a long time so we were tired but then it was like a culmination of accumulated activities which starts to flourish all together in a last few years; Also, challenge was a different level of participation on a personal lewel in a common activitie which resulted in leaving of some of the activists.

QIII – Heritage community:

1. Did the project improve the community in terms of vulnerability and marginalization, if any (specify)? Did the heritage bond become stronger?

The answer is yes, but in a small scale, in any case - not enough. This is one of our priorities for the next period.

2. What is the added value your community has been delivered since the beginning of your project?

Sense of belonging and pride in a local community and possibility to develop together our neighborhood based on heritage.

QIV – Financial and sustainability model:

5. Did the community become financially sustainable enough to cover the costs of investments and daily activities?

Now it's much better than before, but still not totally sustainable.

2. Any income from the private sector during the project? In what way?

Small donations like food for participants in some events, printing of some adverts, donations of some artistic equipment for the workshops ets.

3. Any income from the public sector during the project? In what way?

Yes. In 2017 – 2021. Based on our project in a Bidbook of Novi Sad application as European Capital of culture

4. Did the project contribute to the creation of jobs? If yes, how many? Are those mostly one-term jobs or on a longer period?

Unfortunarely no.

5. What are the strategies and plans on financial sustainability for the future? Do you think your community might overgrow “heritage” and become something else (example: energy community)?

I don’t think so.

QV – Self-evaluation questions:

1. Creation of the sustainable economic ecosystem on the local level? Did the creation of the community contribute to the creation of a sustainable microeconomy capable of surviving in a long term?

Weak Moderate **Strong**

2. Successful revitalization/renovation of the asset and making it accessible to local community?

Weak **Moderate** Strong

3. Did the creation of a community help overcoming the vulnerability issues?

Weak Moderate Strong

4. The level of co-governance, understood as a presence or absence of a self-, shared, collaborative or polycentric organization for the governance of heritage goods. (Weak = public, public-private, multi-stakeholder; Moderate = small scale and shared governance; Strong = Collaborative, cooperative or polycentric governance)

Weak Moderate **Strong**

5. The level of enabling state, where it expresses the role of the state in the governance of the heritage commons and its tools that facilitate collective actions. (Weak = co-design; Moderate = collaborative; Strong = experimental or informal)

Weak **Moderate** Strong

6. The level of poolism, used to describe the process of different sectors or actors combining their efforts to share resources, collaborate, and cooperate to create and steward urban goods, services and infrastructure (the pooling of capacities and resources). (Weak = sharing; Moderate = collaborative economy; Strong = commoning economy)

Weak **Moderate** Strong

7. The level of urban experimentalism, which represents and adaptive, place-based, and interactive approach to the design of legal and policy innovations that enable urban commons. (Weak = iterative; Moderate = experimentalist methodology and adaptive; Strong = replicable/scalable/connectivity)

Weak **Moderate** Strong

8. The level of tech justice as realization of democratic platforms that enable collaboration between local actors and governments. (Weak = tech equality; Moderate = tech justice; Strong = tech sovereignty)

Weak Moderate Stron

Analytical Grid, OH CHLs

Analytical framework areas	Key elements	Open Heritage CHL case studies					
		CPC - Rome CHL, Rome (Italy)	***SPC - Pomáz CHL, Pomáz (Hungary)***	***SPC - Prädikow CHL, Berlin (Germany)***	***PPP - Sunderland CHL, Sunderland (UK)***	***Praga CHL, Warsaw (Poland)***	***PCP - Lisbon CHL, Lisbon (Portugal)***
Description of the heritage asset	**Type and characteristics of the asset? (building, an area, an immaterial asset or a digital environment)**	Tangible and intangible. The whole "heritage" area, including archeological and environmental sites; craftmanship.	Tangible and intangible. Archeological and environmental site.	Tangible. Manorial complex, a set of buildings. Presence of the archeological site on the estate.	Tangible and intangible. Three building in the outskirts of the city.	Tangible and intangible. Building of an abandoned Bakery + a broader area.	Tangible and intangible. Heritage is mixed, with an accent on the building of Marquês de Abrantes palace.
	Ownership model: to whom does the property over the asset belong?	Public ownership. Managed by Municipalities V and VII.	Private ownership. Located on a farm. Owner - not a project partner.	Private ownership. Owner - a project partner. The land is owned by Stiftung trias (trias foundation), Hattingen (Ruhr). The buildings are owned by Mietergenossenschaft SelbstBau eG, Berlin (a "tenants' cooperative" from Berlin) by a heritable building right.	Private ownership (bought by TWBPT). Owner - a project partner.	Public ownereship (managed by the Department of Real Estate Management in the Praga-Polnoc District) and private, depending on the case.	Public ownership. Managed by Lisbon Municipality.
	Adaptation program and objectives: what are the goals?	Making heritage assets accesible to the public in order to achieve social and economic development of the area.	Promoting reuse and revitalization of the space in order to create economically and environmentally sustainable use of Pomaz wasteland. Open heritage for public.	Revitalizing the manor as a living, working place and at the same time finding a new role between the manor and its tenants and the dwellers of the village.	Renovation of buildings as a part of expansion of economic regeneration of the city through the culture of sustainability. Develop the buildings into a music venue and coffee shop, and a separately accessible one with a different function (now a green grocer).	The goal was to create networks, strengthen the stakeholders who embodied the heritage community and to provide the model of adaptation which could be used for various sites	Short-term: support and maintain housing, cultural, and social re-use of the site, while also establishing local infrastructure to strengthen the community's resilience during the area's urban and economic transformation. Long-term: cooperative development.
	Target group: Who will use the asset?	Local community and stakeholders, tourists.	Local community, tourists and universities.	Local community and stakeholders, cohousing community. People living there are organized in Hof Praedikow e. V. (Hof Praedikow registered association)	PopRecs was always identified as the main user. Various groups, including the music, arts, culture, and heritage communities in both local and wider area of the city; specific community of tenants and users of the buildings, as well as the broader neighborhood residents.	Stakeholders of the heritage environment. Local communities, both "natives" and "newcomers".	Short term local community, stakeholders and refugees. Long-term target group is open for future development.

Analytical framework areas	Key elements	Open Heritage CHL case studies					
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Organizational / legal structure and governance	**Type of partnership?**	Public-private-knowledge-community partnership (CPC). University; Informal community (city residents); NGOs; local start-ups; Neighbourhood-level city administration.	Social community partnership (SCP).	Public-private-knowledge-community partnership (CPC). NGOs, Local community composed of neighbourhood residents.	PPP - public-private partnership. Local community is excluded from the participation processes.	Public-private-community partnership (PCP). Bottom-up initative.	Public-private-community partnership (PCP). Top-down initative.
	Is the community organized and is it commited to a legal structure? If yes, which?	Yes, a cooperative.	No, it is a flexible collaboration.	Yes, a cooperative.	PopRecs is a CIC (commuity interest company), TWBPT is a building preservation trust.	No. It does not have an official legal form but de facto it has traits of a cooperative, with strong position of associations/informal groups of craft, SMEs and local authorities.	The community is mostly organized as an cooperative and association named Sociedade 3 De Agosto. Both are organized under the Portughese law.
	Are the private companies and NGOs involved?	Yes, CPPC, Fusolab a LabGov.	Yes, Glasshill Foundation, "Friends of Pomáz" Association and the Community Archaeology Association.	Yes, Trias Foundation, SelbstBau e.G., Hof Prädikow association. Stiftung trias an Hof Praedikow e.V. are non-profit-organizations. Stiftung trias as owner of the land is safeguarding the aims of the project connecting it to a networking of similar projects. Hof Praedikow e. V, the association, is non-profit in heritage protection, education and cultural activities.	Yes, TWBPT, Historic England, Sunderland Heritage Forum, the Churches Conservation Trust, Tyne and Wear Building Preservation Trust, and Sunderland Culture.	Yes. Association of Polish architects. other partners in networking in the heritage community.	The managment of Lisbon CHL is supported by a strong co-governance model based on participatory processes and stakeholders can be different types of organizations that become a part of a Open Heritage Local Action Group (LAG). No NGOs.
	How are national and local authorities involved?	Occasional sponsorships and participations to project milestones.	N/A. Local administration does not affect directly the decision-making process.	The Federal Ministry of Family Affairs, Senior Citizens, Women and Youth supported by subsidies. The KfW (Kreditanstalt für Wiederaufbau, German development bank) granted favorable loans. Local authorities were fond of this project and supported by additional subsidies and assistance wherever necessary. The monument protection authorities at district and state level accompanied the revitalization of the buildings with instructions and requirements for historical reconstruction and possibilities for adaptation.	Yes. Historic England, and an the Local authority – both (small) funders and facilitators of the project, in the Heritage Action Zone (a Historic England led national programme).	Municipal and district authorities were directly involved in creation of the feasible model of heritage re-use.	Yes. Lisbon municipality is a main actor of the project. Marvila Library (municipal) and Marvila Local District are also involved.
	Who are the decision makers and what is the decision-making process?	Board of directors, member assemblies.	Private owner has an ultimate decision-making role.	The cooperative as owner of the building is run by its managers and general decisions are taken by the member assembly. The statues of the association are basis for the building living and working on that place.	The primary formal decision-making structure is housed within the TWBPT. PopRecs – as a CiC they would have a responsanbility to report finances and have a board of directors.	The CHL supported existing initiatives and organizations so the process varied accordingly. No specific organization among them.	Members assemblies
	Are universities and knowledge/science institutions involved?	Yes, through LabGov (LUISS University spinoff).	Yes, Central European University.	Yes. Humboldt University.	Yes. Newcastle University	No.	No.
	What challenges have emerged to achieve an effective co-governance of the asset, in both the short and long term?	Continuity of the group, projects, disaggregation.	Private ownership of the asset.	Covid pandemic.	Many challenges as people had very different ideas and aims at times.	Covid pandemic.	The main problem was the lack of feedbacks from local authorities. From one day to another, it can take years to have a Yes or a No. The main challenge is to resist to that.

Analytical framework areas	Key elements	Open Heritage CHL case studies					
		CPC - Rome CHL, Rome (Italy)	***SPC - Pomáz CHL, Pomáz (Hungary)***	***SPC - Prädikow CHL, Berlin (Germany)***	***PPP - Sunderland CHL, Sunderland (UK)***	***Praga CHL, Warsaw (Poland)***	***PCP - Lisbon CHL, Lisbon (Portugal)***
Heritage Community	**Level of vulnerability of the local community?**	Low-income levels, foreign residents and migrants, school failures, high unemployment rate. Neglected heritage sites.	Ethnic minorities, school failures, aging population. Neglected and ruined heritage site.	Aging population, high unemployment rate. Neglected and abandoned heritage site.	Aging population, ethnic minorities, unemployment rate. Abandoned and ruinied heritage site.	Poverty, school failures. Oblivion of crafts, skills and abandonment of old Bakery.	Aging population, low-income levels, high unemployment rate, school failures. damaged and abandoned historical monument.
	Type if district (urban or rural)	Urban.	Rural.	Rural.	Urban.	Urban.	Urban/ Industrial
	Did the project contribute to the creation of a strong heritage bond in the community?	Yes.	N/A	Yes.	Yes. Impact measure planned.	Yes.	It contributed to the creation of a heritage bond which can be understood from the participatory processes (public assemblies) held during the project.
	What value and benefits are being delivered to the stakeholders (local community)?	Community bonding. Artistic outputs. Conditions for job creation.	Occasional access to the heritage asset.	Civil society is able to take over difficult projects and develop it to the good of society instead of the profit of shareholders.	Creating a dynamic anchor for revitalizing the wider area. A cultural complex for everyone, with many local groups and organizations using the space, coming together, and creating a more open and active environment.	Stronger and more modern heritage-based identity of the place, lasting impact on practices of some stakeholders involved in the project. Regarding the Bakery, its status significantly changed during the project as in now an element of public plans and investments.	Yes. The project initiated the resilience processes in the neighborhood.
Financial and sustainability model	**Can the community raise income to cover investments or daily activities (e.g. by selling products, volunteering)?**	Not enough to cover investments and daily costs	The farm creates its own income but still not enough to be sustainable. Because of the ownership model it is hard to find appropriate financial model.	Yes. The bussiness model is based on renting the space to users (Hof Prädikow association).	Yes.	No.	It seems yes, but the situation is still not measurable.
	Is there any income from the private sector?	Yes	N/A	A lot of voluntary work by the future tenants. The professionals working on Hof Praedikow pay rent and partly help with their professional knowledge.	No.	Support for the dissemination.	No.
	Is there any income from the public sector?	Yes	No	Subsidies and favorable loans.	Yes, they 'sold' the buildings (in a very bad state) to the TWBPT for a pound. They applied for the HAZ status, which created additional opportunities for funding . Time investment / support.	No.	Yes
	Job creation?	On a very small scale but still yes	On a small scale (touristic tours etc.)	Yes. Two women run the restaurant in the village barn. The "Netzwerk Zukunftsorte" (network future places) developed out of the activities round about Hof Praedikow. There are another two jobs giving advice to projects developing in the wider area. There may by additional jobs caused by additional places in the kindergarten. The creation of age-appropriate housing will increase demand for local elderly care services. In addition, maybe stabilization of retail shops in the area.	Yes -poprecs is up and running and emply about 6 people now; The green grocer employs 2 people;Upstairs from poprecs there are now small busnisses and freelancers, these are not jobs created by the project, but starting organisations who found a space in the building.	No, but it strengthened the position of the existing jobs.	Yes, 3-4 long term jobs.
	What is the economic sustainability strategy for the future period?	Hoping to be able to continue applying for similar project fundings (regional, national or international) + offering goods and services	No.	There a plans for solar energy and wind energy nearby.	The goal is for tenants to pay a service charge, which will cover all services, annual contracts, repairs, and future improvements through a sinking fund.	No.	Financial sustainability will be ensured by balancing public funds, crowdfunding, and crowdsourcing by the local stakeholders.

Analytical framework areas	Key elements	Open Heritage CHL case studies					
		CPC - Rome CHL, Rome (Italy)	*SPC - Pomáz CHL, Pomáz (Hungary)*	*SPC - Prädikow CHL, Berlin (Germany)*	*PPP - Sunderland CHL, Sunderland (UK)*	*Praga CHL, Warsaw (Poland)*	*PCP - Lisbon CHL, Lisbon (Portugal)*
Success criteria = some of the project's objectives + Co-City design principles	**Successful implementation of the inclusive re-use model that strongly focuses on community engagement and community building? Did the project contribute to the creation/streghtening of the heritage community?**	Organized community. **3 (strong)**	Informal group. **2 (moderate)**	Organized community. **3 (strong)**	Organized community. **3 (strong)**	Informal group. **2 (moderate)**	Organized community. **3 (strong)**
	Creation of the sustainable economical ecosystem on the local level? Did the project contribute to the creation of a sustainable microeconomy capable of surviving after the project ends?	Short term. **2 (moderate)**	No sustainability. **1(weak)**	Long term. **3 (strong)**	Long term. **3 (strong)**	No sustainability. **1(weak)**	Short term. **2 (moderate)**
	Successful revitalization/renovation of the asset and making it accessible to local community?	2 (moderate)	2 (moderate)	3 (strong)	3 (strong)	2 (moderate)	3 (strong)
	Did the project help overcoming the vulnerability issues?	2 (moderate)	1 (weak)	3 (strong)	3 (strong)	2 (moderate)	2 (moderate)
	Co-governance?	The process involvers all the actors of the quintuple helix. **3 (strong)**	Collaboration between an owner and volunteers in a flexible collaboration for the revitalization of the asset. **1 (weak)**	The process involvers all the actors of the quintuple helix. **3 (strong)**	The process involvers all the actors of the quintuple helix. **3 (strong)**	Collaborative governance of public administartion and organized active citizenship. **3 (strong)**	Collaborative governance of public administartion and organized active citizenship. **3 (strong)**
	Enabling State?	The state shares only administrative decisions and acts as a contractee.**1 (weak)**	0 (absent)	3 (strong)	3 (strong)	it can be said that the administration uses an experimental approach. **3 (strong)**	As a project partner, it can be said that the administration uses an experimental approach. **3 (strong)**
	Urban experimentalism	Innovative and experimental methodology. **3 (strong)**	1 (weak)	Innovative and experimental methodology. **3 (strong)**	Innovative and experimental methodology. **3 (strong)**	No presence of the knowledge institutions. **2 (moderate)**	No presence of the knowledge institutions. **2 (moderate)**
	Poolism?	Strong cooperation but lack of state's participation. **2 (moderate)**	0 (absent)	3 (strong)	Regeneration of community bonds and space revitalization. **2 (moderate)**	Regeneration of community bonds and space revitalization. **2 (moderate)**	Regeneration of community bonds and space revitalization. **2 (moderate)**
	Tech justice?	Co-Roma platfrom. **3 (strong)**	Low impact of tecnologies during the project. **1 (low)**	2 (Moderate)	Low impact of tecnologies during the project. **1 (low)**	2 (Moderate)	Low impact of tecnologies during the project. **1 (low)**

Analytical Grid, FCN Case Studies

Analytical framework areas	Key elements	FCN Case Studies	
		Kaunas (Lithuania) - Šančiai district	*Novi Sad (Serbia) - Almašani*
Description of the heritage asset	Type and characteristics of the asset? (building, an area, an immaterial asset or a digital environment)	Tangible and intangible. Complexity (people, places, stories, landscape) rather than singular objects as heritage.	Tangible and intangible.
	Ownership model: to whom does the property over the asset belong?	Public and private ownership.	Public and private ownership.
	Adaptation program and objectives: what are the goals?	The Genius Loci project.	Raising awareness about the importance of the heritage and reinterpretation of heritage.
	Target group: Who will use the asset?	Local community.	Local community, decision makers, researchers, artists.
Organizational / legal structure and governance	Type of partnership?	CPC	CPC
	Is the community organized and is it commited to a legal structure? If yes, which?	Community association (non profit).	NGO founded under the National legislation regarding NGO-s.
	Are the private companies and NGOs involved?	Yes. Partnerships have not been tested in any real way.	The private sector has not been involvent on the satisfying level, although cooperation with other NGOs is very fluent.
	How are national and local authorities involved?	National very supportive. Local the opposite.	Strong involvement. Currently, they are partners on a project regarding urban regenertion in heritage sphere.
	Who are the decision makers and what is the decision-making process?	Assembly of the community association. Monthly meetings.	Assembly.
	Are universities and knowledge/science institutions involved?	Yes. Kaunas Technical University.	Yes. Scientific community is involved in different ways.
	What challenges have emerged to achieve an effective co-governance of the asset, in both the short and long term?	Inadequate legal form. Lack of physical space for the association. Moving towards cooperative.	Period of lack of collabboration with authorities, lack of funds and different level of participation.
Heritage Community	Level of vulnerability of the local community?	General poverty, aging population, high unemployment rate of highly qualified workers. Deprivation and negligence of heritage assets.	Poverty and high unemployment rate. Urbicides and neglect.
	Type if district (urban or rural)	Urban/industrial	Urban.
	Did the project contribute to the creation of a strong heritage bond in the community?	Yes.	Yes.
	What value and benefits are being delivered to the stakeholders (local community)?	Promoting active citizenship and strengthening direct democracy.	Sense of belonging and pride in a local community and possibility to develop together our neighborhood based on heritage.

Analytical framework areas	Key elements	FCN Case Studies	
		Kaunas (Lithuania) - Šančiai district	*Novi Sad (Serbia) - Almašani*
Financial and sustainability model	**Can the community raise income to cover investments or daily activities (e.g. by selling products, volunteering)?**	The only source are members own funds.	Relatively yes. it still did not achieve full sustainability.
	Is there any income from the private sector?	No.	Small donations.
	Is there any income from the public sector?	yes, through EEA Norwegian Funds and New European Bauhaus Award.	Yes, through projects and funds.
	Job creation?	Mostly part time and temporary contracts.	No.
	What is the economic sustainability strategy for the future period?	N/A	Projects.
Success criteria = some of the project's objectives + Co-City design principles	**Successful implementation of the inclusive re-use model that strongly focuses on community engagement and community building? Did the project contribute to the creation/streghtening of the heritage community?**	Organized community. **3 (strong)**	Organized community. **3 (strong)**
	Creation of the sustainable economical ecosystem on the local level? Did the project contribute to the creation of a sustainable microeconomy capable of surviving after the project ends?	Short term. **2 (moderate)**	Short term. **2 (moderate)**
	Successful revitalization/renovation of the asset and making it accessible to local community?	2 (moderate)	2 (moderate)
	Did the project help overcoming the vulnerability issues?	3 (strong)	2 (moderate)
	Co-governance?	The process involvers all the actors of the quintuple helix. **3 (strong)**	The process involvers all the actors of the quintuple helix. **3 (strong)**
	Enabling State?	Relationship cannot overcome the hierarchical structure. **1 (weak)**	Support and investment by public administration. **2 (moderate)**
	Urban experimentalism	Process can be replicable in other circumstances. **3 (strong)**	Innovative methodology for the governance of heritage. **2 (moderate)**
	Poolism?	Strong cooperation but lack of state's participation. **2 (moderate)**	**1 (weak**)
	Tech justice?	Genius Loci project. **3 (strong)**	Low impact of tecnologies during the project. **1 (low)**

Coding Values and Methodology

Analytical framework areas	Key elements	Methods and values
Description of the heritage asset	Type and characteristics of the asset? (building, an area, an immaterial asset or a digital environment)	Descriptive (tangible, intangible, mixed)
	Ownership model: to whom does the property over the asset belong?	Private or Public
	Adaptation program and objectives: what are the goals?	Descriptive
	Target group: Who will use the asset?	Descriptive
Organizational / legal structure and governance	Is the community organized and is it commited to a legal structure? If yes, which?	Yes or no; Descriptive
	Are the private companies and NGOs involved?	Yes or no; Descriptive
	How are national and local authorities involved?	Yes or no; Descriptive
	Who are the decision makers and what is the decision-making process?	Descriptive
	Are universities and educational institutions involved?	Yes or no; Descriptive
	What challenges have emerged to achieve an effective co-governance of the asset, in both the short and long term?	Descriptive
Heritage Community	Level of vulnerability of the local community?	Descriptive, based on 6 indicators from Chapter II (poverty, income level, demographic, unemployment, social marginalization and marginalization of cultural heritage)
	Type if district (urban or rural)	Urban / Rural / Industrial
	Did the project contribute to the creation of a strong heritage bond in the community?	Yes or No
	What value and benefits are being delivered to the stakeholders (local community)?	Descriptive
Financial and sustainability model	Can the community raise income to cover investments or daily activities (e.g. by selling products, volunteering)?	Descriptive
	Is there any income from the private sector?	Yes or No
	Is there any income from the public sector?	Yes or No
	Job creation?	Yes or No
	What is the economic sustainability strategy for the future period?	Descriptive
Success criteria = some of the project's objectives + Co-City design principles	Successful implementation of the inclusive re-use model that strongly focuses on community engagement and community building? Did the project contribute to the creation/streghtening of the heritage community?	**Weak** = no community; **Moderate** = informalm groups; **Strong** = organized community
	Creation of the sustainable economical ecosystem on the local level? Did the project contribute to the creation of a sustainable microeconomy capable of surviving after the project ends?	**Weak** = no sustainability; **Moderate** = short term; **Strong** = long term
	Successful revitalization/renovation of the asset and making it accessible to local community?	**Weak** = no revitalization; **Moderate** = periodic access and projects (tours etc.); **Strong** = successful revitalization
	Did the project help overcoming the vulnerability issues?	**Weak** = no change; **Moderate** = empowerment phase; **Strong** = resilience phase
	Co-governance?	**Weak** = 1; **Moderate** = 2; **Strong** = 3
	Enabling State?	
	Urban experimentalism	
	Poolism?	
	Tech justice?	

Transcript of the interview with the Eutropian representative, Daniela Patti, Phd

30/05/2024

Participants:

Daniela Patti - D

Stefanija Hrle Aiello – S

S: Thank you for your time. I would like to ask you a few questions in order to conclude my PhD thesis. So, I have three sets of semi structured questions for you, which regard the Open Heritage project, energy communities, and a few questions about the implementation of new technologies in digitalization. So, I will start if you're ready. I would first start from the Open Heritage questions. So you were a project partner during the project, and you oversaw the collection of data and that database development. I would like to know if you think that overall project results met the expectations in terms of creating a sustainable, circular economy and enabling to survive on the long run.

D: So, in terms of the database, we were particularly involved in the development of the actual website. Then other partners were responsible for the scientific set up of the database. And for us, one of the things was very much connected to the sustainability of the website after the end of the project. So, the database is embedded within the project website. And this is thanks to the whole work of the partnership and the broader network. Despite the project having ended now, more than a year ago, two years ago, the website is actually still being used. And so this means that also the database is living. I think the issue is also the fact that the website allows to have different sources of information. So there is the database, but there is another part, for instance, we were involved in, which was the collection of good practices, and these were reports analyzing the heritage communities and the financial models and the governance models, etcetera, etcetera, of a number set of case studies across Europe, in a very detailed manner, but also with videos, also with more light pop type means of communication. So what happened is that the website of open heritage has various sets of information, which actually mean that they manage to reach different types of users, and this is meaning also that they're surviving.
So this is also impacting the database collection in that sense, because it's embedded and integrated with other means of information as well.

S: So the project by itself is still alive. And the data that you have an overview on the website goes beyond the open heritage. It's not only open heritage results, but also beyond. Right? If I understood well.

D: Yes, in the sense that the, for example, the best practices are a number of cases that were collected across Europe, and these are not partners of the Open Heritage, the observatory cases. And these observatory cases are cases that are good practices as such, in the sense that with all the difficulties they are examples that can inspire. They were very generous in giving us their time and their knowledge and also getting us also in their local networks. So this has allowed for the project to be more embedded in a broader. In a broader network than strictly the production project itself.

S: Okay, the next question I would like to ask you is, according to you, which of the cultural heritage labs, like the project labs, show the best results, in your opinion?

D: It always depends also on what you're looking as a good result, obviously. So it depends also on the criteria you will set. But overall, I would say the ones that one could generally consider as having achieved for a number of reasons due to actually their work, but also external conditions. The Lisbon case was a case that worked quite well because of the fact that up until. Well, there was at the beginning a very strong commitment of the public administration.
Then it a bit changed after the election, but still remained to some extent, and the local community was very engaged in the work that was being done. So this is definitely a case that has survived despite all, you know, it turned out to be very different to what it was originally planned to be, as often happens. But that's life, and I think that would allow it to be a good case. Another case is definitely Sunderland in the UK. Here again, probably we can see that there was a broader commitment of a wider range of stakeholders, which allowed for the project to be more structured and also more sustainable on the long run, because in a financial way, the variety of stakeholders allowed also for this to be more sustainable at an economic level, whilst Lisbon was very heavily dependent on public funding from the public administration. And I think the same case would be with Prädikow, because the case in Germany actually had one of the partners was this ethical foundation that deals with the ethical funding. So, the economic sustainability of the community was actually one of the main criteria being developed and as an asset, not as the goal, but as a means for the community to be sustainable. And I think that's a relevant element too, because it allowed for them to be autonomous out of a speculative approach. And I think so probably these would be the cases. I would say probably others have had more challenges also because of the political context, because of the, you know, the ownership model of the bit. So there's so many other criteria. But I would say that overall, these are the ones that have managed to probably have the results that have the most effective.

S: Thank you. So overall, do you think a heritage community, like any heritage community beyond this study cases, can overgrow heritage and maybe become something else?

D: I think most of them have. Many of them sometimes probably don't even recognize themselves at first as a heritage community. I think that it might be interesting. I don't know if all of them recognize themselves as a first thing, as a heritage community. Sometimes they recognize the heritage and build a community around a heritage, but not necessarily half the self-conscious of consciousness of being a heritage community as such.
And so it's very easy in that case, I think also to see that for the sustainability. Certain set of questions is related to the energy community. And we're seeing that once you have a community, it's not that they are only a community because of the heritage. They are a community that found themselves around the heritage very often, because that's a very strong identity element in an open way. But then based on that, you can have so many things that, you know, once you have a community, there's so many things that can happen that the community will heretics.

S: Probably a very good way to build a community, because exactly for that identity reason. Because identity is somehow a very strong foundation in which a community could be built, maybe.

D: And also because it's I think it's a part. I agree. And I think it also because it entails an issue of proximity. Usually, if it's because of a depends which heritage.
But if we're talking about a space, for instance, then you will automatically have that. If the people that are recognizing themselves around a building, a park, a public space, if they recognize themselves as a community because they live there, because they work there, because whatever reason, they somehow are familiar with that place, it somehow means that you will have a proximity of going there, of knowing, and that allows them to build the connections with other people. So, I think there is a human physical element that goes in heritage that is very, very strong.

S: Thank you so much. I would pass to the second set of questions, which is about exactly the energy communities. So, I know that Euthropian is currently obtaining some knowledge and experience with energy communities through the Energy4all project. So, do you maybe think there is a common point between heritage community and an energy community based on the experience with the roman case study?

D: Yes. For instance, the case study we're working on, energy community in Rome is a social housing estate that was built in the 1930s called Quarticciolo. And the inhabitants of the neighborhood recognize themselves very, very strongly in being people from that neighborhood. I must say also that

the buildings are very nice. There's a lot of green space. Obviously, they have a lot of social economic challenges. But it is a very nice space. And people also, because they were, over the decades, quite isolated, now less, but now the metro arrives practically there. But up until 20 years ago, they would have been quite isolated. This meant that they became quite a strong community that had the heritage of recognizing the importance, for instance, of the neighborhood itself, but also all the green spaces around that are very precious. So, for instance, there's a part of the community now that is involved in the Pratone, in the protection of an archaeological park nearby. So there's a lot of elements that are connected to the heritage recognition. And one of the elements when you get into also what is the possible economic sustainability of the energy community, especially after the ukrainian war, the uprise of the energy prices, there's an increasing awareness of the energy. It's not only for environmental issues, but also for latent economic things. And in social housing estates, for instance, the energy crisis was felt by, because the purchasing power is lower.
So there's a lot of energy poverty, so called. So, a lot of people that, you know, have difficulty in reaching the, you know, paying the bills for the electricity at the end of the month, because in Italy, social housing, you have a subsidized rent, but you pay your bills at the market price nevertheless. So if you're on a lower income, you're struggling, especially because the buildings are old and probably disperse a lot of energy, and so on and so on.

S: And the struggle is collective?

D: And the struggle is collective. Exactly. So this is the case that the heritage community that was built around the neighborhood that was also built. I think one of the things also that we see that I think, I don't know if it can be something also to be somehow delved in is also, in these contexts at least, of social housing, a lot of the binding is also done by sports activities. It brings a lot, especially the youth, together, and often it is connected to the heritage because it could be around the park, around there. So there's also an element of intangible heritage around. For example, a lot is boxing. Don't ask me why there is a historical tradition of boxing high level boxers in the. From the suburbs of Rome, back from the 1920s. So there's a lot of boxing culture in the suburbs of Rome. Don't ask me why this has started, but this is something that is somehow continuing. And anyway, one of the things that they're working on at the moment is the setup of an energy community to ensure for all the heritage and the community activities to continue.

S: So basically, as we mentioned before, it's a heritage community without knowing it, they recognized their heritage, but they didn't recognize themselves as a heritage community. Nice. Well, the question that is connected to that statement is, according to you, what are the necessary elements for the creation of the energy community?

D: You need a community. We've seen in other cases, we looked into that you have people that put solar panels on their roofs and become a network of people that lower their bills. But that's not an energy community. An energy community is not just lowering your energy bills, it's also that, and that's the starting point. And it's important, but it also means creating a community culture around sustainable practices. It means also being able to look at energy as an opportunity also for bringing also social, environmental, economic elements altogether. So it's not enough that you put a solar panel on your roof. You actually have to interact with your neighbors, and maybe do workshop with children, or involve and cater also for specific needs of some, some of the people.

S: In the career capacity buildings?

D: You need capacity building. And I think you need also solidarity element in it. You need to also think that this is an collective opportunity also for getting on board, also people who might be a little bit more fragile, because what we're seeing, and this is the fragile element, often energy communities at this stage are often more middle class, because you need a capital per person, usually of, I think it's approximately ten or 15,000 euro, which is not an incredible amount of money, but it's the sort of amount of money that either you have, but to spend on, because then you will be able to get it back from the energy bills on the long term, but it means that you don't desperately need it today, or that you're able to go to the bank and get a loan. And already, if you look into marginalized group, looking at the case of social housing, but it could be not just in social housing, people who might be, you know, with precarious contracts, or having had, you know, problems with justice, and so not, you know, but not being entitled for getting a mortgage, how would they buy the solar panels? And that's one of the issues that I think it's important that more middle-class energy communities also have a solidarity approach, so that they also support. You know, in a mutualistic way, people that are more fragile. But also, I think we need to develop models that are supporting also more fragile communities, because that's one of the problems we have in Quarticciolo. It's been a year and a half now. We're trying to get money, but it's impossible to get. It's so easy to get. It's not so difficult to get free money to.

S: Well, I guess that would be an answer to the next question. Question, which is, what could be the weak points of an energy community? So is that the answer to that question?

D: Yeah, I think it's the economic model for more fragile.

S: Do you think that this problem could be somehow compensated through the concept of heritage as a common sense?

D: I think the financial elements could be compensated to some extent if in a non-speculative way. You were able to look at the concept of the energy community as a neighborhood community. So if you were able to look at the neighborhood as a cooperative, then you would be able to say that the energy community is one of the elements within it. And then you could also combine other activities that are maybe supporting also the financial stream of the setup of the energy community. And heritage in that sense, has a lot of potential because, for instance, Quarticciolo is setting up the beer brand made in Quarticciolo, because there is a heritage element about the identity that they're playing a little bit also with the brand around it. But this also means that you can have tours, you know, you could have.

S: This is a source of an income?

D: It could be a source of income. And this would also mean that a part of it could go, for instance, to put aside the money for paying the solar panels. It means being able to make a business plan out of this model. And I think one of the challenges that a lot of communities might have is a community to be thinking in a business way that is not speculative. So, we're not asking communities to think as a for profit business, but we think asking them to think like a cooperative.

D: They have to be on the market, they have to be able to, you know, to be sustainable economically. But it's for the advantage of the collectivity. And a lot of people, I think they're still not a. A broad culture about this. A lot of people, if they hear that you're doing something like business, especially in like certain political context, they think that you're necessarily doing it as a speculation for profit and so on. So there's a big capacity building and cultural shift to be done.

S: To be done. Thank you. Well, that being said, I would switch to the last set of questions that regards the technologies in digital understood as a supporting element for sustainability and regeneration. So what is the Eutropian's experience with digitalization and regeneration processes?

D: In Open Heritage, we had a partner who was Platoniq who is the developer of the Decidim platform, and we used Decidim within the heritage labs. How well did it work? I think not all worked so well, because they were not designing the process, and this is a problem of how new projects are set up. They didn't have a chance to actually arrive at wishing to have a digital platform. It was already there for them when they started the work, and so they often felt that it was an extra burden of things that they had to do, rather than being able to really use it as a tool. Nevertheless, the use of the digital platform is the fact that you can reach out to different members of the communities, obviously less tech savvy. You might have a digital divide. So this is something to keep in mind, but it allows at the

same time to be reaching out to people who might not have a lot of time, who might not have a lot of, maybe also a lot of will, who might have language barriers. So it is a way for which you can actually be more inclusive, but you have to set which things and how you set up the process for that. But with this said, I think it can be a very useful thing.

S: Maybe it could also be a way for raising some funds through the crowdfunding. So maybe also, in that sense, digitalization could be useful. So, in that sense, do you think that new technologies could be a right tool for empowering the communities?

D: Yes. Then I'll give you the second example of the project that is, just as a partner, we have, as a partner we have Open Polis, who is a foundation that deals with open data. And so the idea there is to involve the we literally just starting. So it's more the idea than the implementation for the moment. But the idea is that we would be, first of all asking the inhabitants to share with us their bills and through this, anonymizing the data, but building up a platform in the neighborhood with the platform that open polys already has, but uploading the data from the neighborhood, so that we are able to analyze collectively what are the main challenges in terms of energy consumption that we have. And based on this, develop trainings on how to become more energy conscious and also find solution, very also low budget solutions, solutions for saving energy, which is the first step. This is all the activities that would be done while we're setting up, then the solar panel and the energy community itself. So, in this sense, I think for digital technologies can be very, very useful tool, but I think we're still, generally speaking, rather ignorant about the potential of the digital tool. So, I think we really have to work on getting people involved, participating in doing the capacity building for this.

S: Okay, thank you very much. This is very useful.

End of the interview.

Informative Consent Form

(example for the Open Heritage partners)

OpenHeritage

Project partners questionnaire

Project investigator:

PhD Candidate Stefanija Hrle Aiello, LUISS University, Faculty of Law

Purpose of the questionnaire:

The results of this interview will be used as a research material for the capitalization of outcomes of the OpenHeritage project (Grant Agreement n. 776766). The scientific conclusions will be embodied in two works: 1. Article on exploring public-private-community partnerships in governing cultural heritage adaptive reuse projects, co-edited by Stefanija Hrle Aiello and prof. Elena De Nictolis and 2. PhD thesis titled "Collaborative communities: from heritage communities to 360° resilient and sustainable territories" by Stefanija Hrle Aiello.

Participant eligibility:

This questionnaire is intended for those who were actively engaged as project partners in OpenHeritage project, under the Work Package 4.

Procedure:

1. You will be asked to complete this questionnaire;

2. This questionnaire will include a series of questions related to your Cultural Heritage Lab, experiences, outcomes and future prospective;

3. After processing the data and before publishing, our results will be sent back to you for your validation.

4. All the final outcomes will be made available in digital form and when possible, in open access format.

Informed consent and privacy protection:

Your responses will be treated with the utmost confidentiality. A maximum of 3-4 lines from the interviewer's answers might be used directly in the text. The interview can be kept anonymous, if the interviewer desire so, and the name nor the charge covered by the interviewer will be published. Please, do let us know if you want to keep the interview anonymous. In any case, no personally identifiable information will be collected, and your individual responses will not be shared with other project partners or anyone outside of the research team. Sensitive data of single persons, in terms of GDPR, won't be treated in this research.

Contact information:

If you have any questions, concerns or require further information about this questionnaire, please do not hesitate to contact:

Stefanija Hrle Aiello

shrleaiello@luiss.it

Guide to the questionnaire:

This questionnaire is made of 27 questions, divided into 5 groups according to the different analytical framework area. The first 4 groups of questions (QI, QII, QIII, QIV) are open-ended questions which will help us collect structured data. Please be concise and informative (maximum 3 lines per question). Feel free to attach any material that could be helpful in your opinion. If any of the data could be found in project documentation, please quote the document. The last set of questions (QV) is made of self-evaluation questions: we would like to know how you would describe some aspects of your CHL. Please choose one option between weak-moderate-strong. Some of the variables represent our Co-City principles: every one of them will be briefly explained in order to facilitate your way through the questionnaire. For any further information or questions feel free to contact us or simply check Co-Cities, Innovative Transitions towards Just and Self-Sustaining Communities, by Sheila R. Foster and Christian Iaione (2023).

Thank you

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