



# SoPHIA

Social Platform  
for Holistic Heritage  
Impact Assessment

Type of action:  
CSA

## D3.1 TOOLKIT FOR STAKEHOLDERS

PUBLIC

*This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 870954*



EC Grant Agreement number	GA n°870954	Lead beneficiary of this deliverable	IRMO
Start date of Project	1 January 2020	Due date of deliverable:	25 February 2022
Duration:	24 months	Actual submission date:	25 February 2022
Version #			R10

Project funded by the Program of the European Union for Research and Innovation Horizon 2020		
Type		
R	Document, report excluding the periodic and final reports	x
DEM	Demonstrator, pilot, prototype, plan designs	
DEC	Websites, patents filing, press & media actions, videos etc.	
OTHER	Software, technical diagram, etc.	
Dissemination level		
PU	PUBLIC, fully open, e.g., web	x
CO	CONFIDENTIAL, restricted under conditions set out in Model Grant Agreement	
CI	CLASSIFIED information as referred to the Commission Decision 2001/844/EC	

Revision History			
R#	Date	Description / Reason of change	Author
R0.1	10/29/2021	First incomplete draft	IRMO
R0.2	11/05/2021	Second draft after comments received from SoPHIA consortium	IRMO
R0.3	11/10/2021	Final draft	IRMO
R0.4	11/23/2021	Revision and comments	Roma Tre
R0.5	12/03/2021	New version of chapter 5	Roma Tre
R0.6	12/20/2021	Revision draft after Consortium comments	IRMO
R0.7	01/13/2022	Final revision	Roma Tre
R0.8	01/17/2022	Final revision and formatting	IRMO
R0.9	01/31/2022	Final version after language editing	IRMO
R10	02/11/2022	Final layout	INTERARTS

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## List of Abbreviations

- CH – Cultural heritage
- CHCfE – Cultural Heritage Counts for Europe
- EC – European Commission
- ECoC – European Capital of Culture
- EP – European Parliament
- EU – European Union
- EYCH – European Year of Cultural Heritage
- H2020 – Horizon 2020
- IA – Impact assessment
- ICLEI – Local Governments for Sustainability
- ICOM – International Council of Museums
- ICOMOS – International Council on Monuments and Sites
- ICT – Information and communications technology
- IPCC – Intergovernmental Panel on Climate Change
- IRMO – Institute for Development and International Relations
- NGO – Non-governmental organisation
- OECD – Organisation for Economic Co-operation and Development
- SDGs – Sustainable Development Goals
- SoPHIA – Social Platform for Holistic Heritage Impact Assessment
- SoPHIA model – Holistic Impact Assessment Model proposed by the SoPHIA project
- UN – United Nations
- UNESCO – United Nations Educational, Scientific and Cultural Organisation

## I. INTRODUCTION

The Horizon 2020 project ‘SoPHIA – Social Platform for Holistic Heritage Impact Assessment’ (2020-2021), funded through the H2020 – TRANSFORMATIONS-16-2019 work program call “Social platform on the impact assessment and the quality of interventions in European historical environment and cultural heritage sites”, aims to contribute to the discussion on the adequacy of the standing models of impact assessment in cultural heritage and contribute to the introduction of more advanced and coherent models that will foster sustainability based on holistic and multi-domain approaches.

The D3.1 TOOLKIT FOR STAKEHOLDERS presents results of the work done within the SoPHIA project concerning the development of the holistic impact assessment model for interventions on cultural heritage that encompasses four interconnected domains – social, cultural, economic, and environmental –, and is based on the three-axis model: Time-People-Domains. The toolkit provides a concise summary of the research outcomes of the SoPHIA project and presents and explains the SoPHIA model and its underlying logic.

The European Union (EU) recognises cultural heritage as a strategic resource for a sustainable Europe. Accordingly, cultural heritage is currently being mainstreamed beyond cultural policy into national and European policies for regional development, cohesion, agriculture, environment, energy and climate change, education, research, and innovation, thus aiming at creating added value. In the practice of governing, managing, and dealing with cultural heritage, there are contested approaches in place - on the one hand, high-quality interventions in cultural heritage and cultural landscapes can contribute to local communities’ well-being, increasing social inclusion, intercultural dialogue, mutual understanding and integration, and development of sustainable cultural tourism, etc. On the other hand, low-quality and ill-considered interventions may damage irreplaceable historical elements, their environment and related intangible heritage, identities, and social practices, leaving detrimental effects on the whole communities. One of the factors hampering the positive outcomes of interventions and the effectiveness of the EU support actions is the lack of shared standards for the holistic impact assessment.

Since 2018, the European Year of Cultural Heritage, the European Commission (EC) has re-evaluated the assessment of impacts related to interventions on cultural heritage by focusing on the concept of “quality of intervention”. Instead of prioritising formal accountability, the EC has started to consider a wider perspective to give a full account of outputs, results, and outcomes related to cultural interventions and stresses upon the importance of a deeper

reflection on the desired, expected, and non-casual impact(s) of the interventions on cultural heritage supported by EU funds.

Considering the lack of shared standards for the holistic impact assessment, the SoPHIA - Social Platform for Holistic Heritage Impact Assessment project has set its objectives:

- To make an extensive review of the impact assessments, research, policies, and best practices related to interventions undertaken in the European historical environment and cultural heritage and identify gaps and main issues related to the impact assessment of interventions on cultural heritage.
- To develop a model for holistic impact assessment of interventions on cultural heritage encompassing four interconnected domains - social, cultural, economic, and environmental.
- To produce a toolkit for heritage practitioners and professionals, useful for implementing the SoPHIA model.
- To draw guidelines for operational programmes and public policies and policy briefs with recommendations to support the EU's future action for implementing and disseminating a shared standard for holistic impact assessment (in the European historical environment and cultural heritage).

**This Toolkit presents and explains the SoPHIA model and its underlying logic.** The Toolkit is intended for a variety of experts in the cultural heritage sector to assess the holistic footprint and success of their heritage projects. It unpacks the concept of impact assessment (IA) and its application in the field of cultural heritage, along with practical and methodological issues related to IA. The toolkit serves as a “manual” for introducing a holistic approach to IA. It aims to support cultural heritage practitioners in assessing the impact of their interventions, specifically considering the sustainability and resilience of cultural heritage. As such, the toolkit provides a new approach for evaluating the multidimensional and holistic impacts that cultural heritage interventions have on their communities. It is a useful instrument for facilitating the implementation of the SoPHIA impact assessment adaptable to different contexts, considering both the users’ perspectives/points of view and the interventions to be evaluated.

The SoPHIA project did not aim to create a “ready to use” model but rather to provide an adaptable conceptual and practical framework that can be implemented by different users and that can grasp the characteristics of different cultural interventions’ impacts under a holistic perspective. Thus, the proposed SoPHIA model seeks to open the debate on the holistic assessment of cultural heritage interventions among heritage professionals and policymakers, build consensus, and support the European Commission in defining guidelines for the next generation of structural funds for cultural heritage.

The proposed SoPHIA model brings about important benefits for various actors involved in cultural interventions (decision-makers and financiers, managers, and operators of culture, users, and citizens). Thus, this Toolkit is intended for all actors interested in applying the proposed model, in particular:

- For *heritage managers and practitioners*, the assessment promoted by SoPHIA helps plan the expected impacts and monitor the results achieved consistently and efficiently. In the case of adverse effects, it offers the possibility to adjust the intervention accordingly. Moreover, the SoPHIA model may be used to report the intervention's social and environmental effects.
- For *institutional observers and independent researchers* that promote third-party evaluations and provide citizens, operators, and institutions with information on policies, regulations and projects (also in terms of advocacy) on the quality of cultural heritage interventions, the SoPHIA model can also be used in a longitudinal perspective to detect and assess ex-post impacts, as some impacts can only be analysed over time, and a longitudinal perspective represents the only possibility to detect possible counter effects.
- For *policymakers* (at the local, national, and international level, including the EU), whom the SoPHIA model may assist in drafting calls and policies on quality of interventions and choosing the criteria to grant funding and launch tender bids for high-quality cultural interventions.

This toolkit consists of 7 main chapters and the Annex.

- Chapter 1 introduces the SoPHIA project and the aim of the toolkit.
- Chapter 2 presents the key references on which the SoPHIA project has been based and some relevant concepts used throughout the research process. Readers interested in practically using the Toolkit can skip Chapter 2 and refer directly to Chapter 3.
- Chapters 3-5 provide information about the meaning of impact assessment in the cultural heritage sector, explain the purpose, underlying logic, and conceptual framework of the SoPHIA model, and describe and explain its implementation phases.
- Chapter 6 presents the benefits and risks of implementing the SoPHIA Model.
- Chapter 7 brings recommendations on quality standards for the impact assessment of cultural heritage interventions.
- For the convenience of the readers, the detailed Multi-Domain Assessment Framework elaborated in D2.3 (SoPHIA, 2021c) has been presented in the Annex.

## II. BEFORE SoPHIA MODEL: KEY REFERENCES AND RELEVANT CONCEPTS

This chapter aims to help readers familiarise themselves with the approach taken by the SoPHIA project and with the relevant concepts stemming from the research on this subject that the SoPHIA researchers have considered in the process of developing the SoPHIA model for heritage interventions that are presented in this Toolkit.

### The SoPHIA approach to cultural heritage and impact assessment practices: beyond the mainstream approaches

Cultural heritage (CH) is a complex concept that encompasses the significant experiences of various types of human existence. It has been perceived both as a common asset and a shared responsibility (EC, 2014), as well as a cornerstone of sustainable development and a way to improve people's lives and living environments (Council of the European Union, 2014; Council of Europe, 2017; CHCfE, 2015). Recognising that CH represents a capital of cultural, social, environmental, and economic value and that heritage projects have an impact on those four sustainable development domains, Cultural Heritage Counts for Europe Report (CHCfE, 2015) proposed a 'holistic four pillars approach' to assess the impact(s) connected to CH intervention(s) (Figure 1).

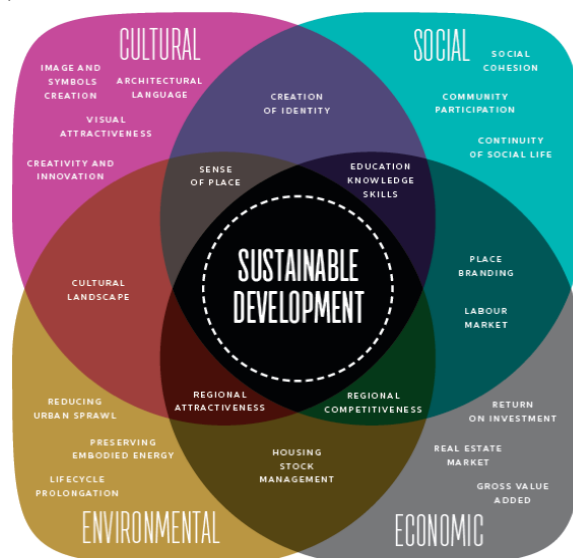


Figure 1. The holistic four pillars approach. Source: *The Cultural Heritage Counts for Europe (CHCfE) Project Report*. (2015). The different subdomains identified in the collected studies are mapped in the holistic four-domain approach diagram.



The CHCfE report (2015) mapped the situation in the heritage sector concerning IA and has reported that among identified cases of IA in the heritage sector, only 6% apply a holistic approach. Following upon this, the SoPHIA project undertook an extensive literature review on assessing the impact of cultural heritage interventions across the cultural, social, economic, and environmental domains, drawing on references from academic sources and current policies and regulations, through which the gaps and opportunities of the current level of impact assessment have been identified.

During its first phase, SoPHIA made an exploration of the current situation in deliverables D1.1 and D1.2 as regards to policies, assessment practices and quality of interventions where a broad scope of the academic and policy literature available on economic, social, cultural and environmental impact assessment of cultural heritage sites has been examined (SoPHIA, 2020a; SoPHIA, 2020b) and, afterwards, proceeded to design the first draft of a holistic impact assessment model, the deliverable D1.3 (SoPHIA, 2020c). The results of this first phase were discussed with SoPHIA's community of stakeholders at the *"Athens Virtual Workshop: Towards a Holistic Heritage Impact Assessment Model"*, and its outcomes have been published in D4.3 (SoPHIA, 2020d).

During its second phase, the literature review findings have been followed up by mapping the existing good and bad practices for impact assessment, that is, the deliverable D2.1 (SoPHIA, 2021a), after which in the deliverable D2.2 SoPHIA applied the draft model (D1.3) to 12 case studies across Europe to identify possible gaps and needs, redundancies or inconsistencies of the proposed model (SoPHIA, 2021b), in view of its revision and finalisation – the deliverable D2.3 (SoPHIA, 2021c). *"The Vienna Stakeholders' Virtual Conference: Cultural Heritage – Rethinking Impact Assessments"* provided for the opportunity to further discuss the model and, also, to tackle the cross-cutting issues and counter effects that had been identified through the conducted study cases. Its outcomes have been published in D4.6 (SoPHIA, 2021h).

A third and final phase of the SoPHIA project aims to enable mainstreaming of the insights gained through analyses done in the previous phases to a broader scope of heritage and policy stakeholders, in the appropriate format, by drafting recommendations for both practitioners and policymakers for the future of good quality interventions in cultural heritage. To serve this purpose, a number of public deliverables have been prepared: Toolkit for practitioners and other stakeholders (D3.1), Guidelines for an action plan on the EU future action regarding operational programmes and public policies (D3.7); a Future need and research agenda (D3.9); and a series of Policy Briefs (D3.3-D3.6). In addition, the *"SoPHIA Stakeholders' Workshop - Towards Policy Recommendations for Holistic Heritage Impact Assessment"* provided the opportunity to foster exchange and debate with the project stakeholders group on the recommendations to be put forward in the Policy Briefs and other deliverables. Its outcomes have been published in D4.7 (SoPHIA, 2021i).

One of the main aims of SoPHIA's work in the first phase (deliverable D1.1) was to examine the Impact Assessment (IA) processes that are currently employed in the four domains (Cultural; Social; Economic & Environmental) regarding their ability to incorporate policy objectives and to address each domain's imperatives in relevance to cultural heritage interventions. In its second deliverable – D1.2, the aim was to highlight the existing main IA methods pertinent to each domain and a few cross-domain IA methods identified by D1.1 and considered benchmarks regarding SoPHIA's key objective to create a holistic IA model. For each of the domains that constitute the analytical lenses of the SoPHIA project, their essential characteristics, and their ability to assess specific impacts, as well as their relevance to all domains and their benefits and shortcomings, have been identified.

The literature review performed within the SoPHIA project showed that the academic discourse on cultural heritage has increasingly questioned the very notion of what cultural heritage is in recent decades. However, the heritage discourse in current policies has shifted from a conservation-oriented approach to a value-oriented one and is aligned with the overall EU's strategic goals for smart, sustainable, and inclusive growth. The academic debate and critique support the view that quality assessment processes are essential for ensuring that impacts on cultural heritage are monitored and evaluated within the policymaking process and that they all contribute to sustainability (and resilience).

The four main analytical dimensions – social, cultural, economic, and environmental impact - constituted SoPHIA's lenses to identify the most important challenges and opportunities linked to cultural heritage interventions in Europe. They provide a framework in which holistic impact assessment has been further conceptualised, considering the impact particular projects have made by measuring their economic worth and weighing the socio-cultural benefits of the projects and whether they contribute to achieving new sustainable practices.

In considering cultural impact, the focus in literature is on cultural heritage having diverse socio-cultural impacts on communities and on identity constructions (Gibson et al., 2010; Yu, 2018), thus considering how cultural heritage can support citizens' well-being and cultural memory work and on what contribution heritage makes in expanding the understanding of the relation between people and heritage, as well as in assisting them in dealing with conflict. The increasingly important interrelation of cultural and social domains has been recognised, particularly when considering matters of accessibility and participation. Interventions on cultural heritage sites and landscapes should guarantee the integration of local communities' values and the inclusion of specific themes and population groups that are sometimes excluded.

In considering **social impact**, the trends identified through the literature review focus on social responsibility and socially responsible heritage management, heritage literacy, as well as the overall well-being of the society (Carrà, 2016). Cultural heritage social management is considered equally important to economic management and sustainable growth. It is, therefore, vital to strive for partnerships, new management schemes, and innovative business models that holistically handle cultural heritage. Heritage derives its meaning through its interaction with people; this results in a wide range of values that need to be integrated into planning policies and practices. The reviewed literature recognises that communities need to maintain a primary role in preserving heritage and be better acquainted with it. In practice, however, local perspectives often differ from the viewpoints of experts on cultural heritage. Thus, employing suitable methodologies in cultural heritage social impact assessment and helping create a dialogue between the community and governmental agencies is considered essential.

When considering the **economic impact**, examining current impact assessment methods has identified a series of shortcomings: the indeterminacy of the concept of value, the imbalance among impact evaluation domains, and the fact that adverse effects are usually underrated. The discourse focuses on the issues of preserving and enhancing cultural heritage values and promoting more sustainable use of heritage. Determining the value of cultural heritage interventions has become a rather complex task. Two complementary perspectives of cultural capital emerge: one focuses on heritage values associated with culture and conservationist practices, and another focuses on societal values related to a cross-domain integration of heritage (Avrami et al., 2019). Their comparative worth became even more relevant in light of the recent recession and the reduction of resources channelled into cultural heritage interventions.

Some of the most recurring themes in the literature dealing with **environmental impact** refer to sustainability, overcoming the repercussions of aggravating phenomena such as climate change, over-tourism, and the growing urbanisation globally (Gruber, 2008), and adopting circular economy principles as a means of instrumentally integrating built heritage in urban planning (Fusco-Girard & Gravagnuolo, 2017). The literature review points to a lack of quality criteria to be applied in cultural heritage interventions specifically, as well as the cumulative effects this indeterminacy has on its management. Furthermore, there are concerns related to the limited role of public consultation and the obscurity of the process of determining the stakeholders in each project, a tendency that undermines public consensus. In this light, strategic policymaking needs to address both the environmental challenges as well as the urgency of reducing inequality phenomena towards a more transparent and open governance model. Finally, the literature stresses the need for a holistic approach to IA as it has become

strategically important to understand the role of heritage in relation to sustainable development.

Through the literature researched, some gaps and opportunities in present IA models used in all the researched domains have been identified (SoPHIA, 2020a; SoPHIA, 2020b).

- There seems to be a lack of consistency in the methods employed for IA, a lack of clarity as to which method should be used or even a lack of data comparability. In all the researched domains, gaps manifest mostly as innate weaknesses of the impact assessment methods used. For example, the Environmental Impact Assessments (EIAs), despite having been regulated for over four decades and being amended many times over that period, are still lacking a clear set of quality criteria for cultural heritage interventions (SoPHIA, 2021e).
- The indeterminacy of a solid and widely accepted definition for cultural heritage represents another gap. Heritage's elusive character creates uncertainty that results in heritage being undervalued. In addition, the value of culture differs among domains. Therefore, it becomes increasingly more difficult to employ tools and/or methods to quantitatively or qualitatively measure changes in value in impact assessments in a comprehensive manner.
- During impact assessments, stakeholders' public engagement and active involvement are often missing, and IAs seem to have failed so far to integrate the public in a consistent and meaningful manner. Such a situation may lead to a lack of consensus and even contention, thus jeopardising the sustainability of projects after their implementation. Community needs to have an important role in the preservation of historic urban heritage, for there is a gap between taught appreciation and the more personal emotional bonds towards CH, and a sense of collective ownership and belonging from which an authentic need for taking care of heritage arises (SoPHIA, 2021d).

In addition to the identified gaps, there are some opportunities to create a consistent base for IA in the future.

Cultural impact - The potential of heritage in relation to cultural memory work opens the path of empowerment for communities of inheritance around the globe. Expanding the understanding of relations between people and heritage seems to be the way to create a firm base for CH in the future. Thus, linking culture and education more decisively represents a long-term goal (SoPHIA, 2021g). In addition, if CH assessment becomes more centre-stage in cultural and other related policies, this may lead to re-establishing the importance of Cultural

Statistics, allowing us to have a better system of data for evaluations of the desired and undesired impacts (SoPHIA, 2021f).

Social impact - Cultural heritage clearly presents a strategic cross-sectoral resource for Europe if implemented at local level governance as key to integrated urban planning policy and practice. Cultural institutions could play an enlightening role with opportunities for the development of a more community-oriented value system. There is the opportunity for volunteerism promotion in terms of CH programs and the greater use of technology and smart specialisation.

Economic impact – Economic impact appears to be gradually related to overall regional development. Innovative methods for measuring impact continue to emerge, while new qualitative methods are employed for understanding how and why assessment is important for establishing CH interventions.

Environmental impact - The enhancement of the EIA and SEA relationship and the integration of HIA to EIA can facilitate the development of EIA as a holistic model. In addition, creating educational programs and innovative narratives, bottom-up public movements, and new governance models can foster assessment. Last but not least, networking is key for creating awareness in the field.

The issues identified through the survey of existing IA methods employed in the heritage sector have been analysed in detail in the SoPHIA report D1.2 (SoPHIA, 2020b). Even though they were not holistic models in most cases, they have informed the SoPHIA consortium's work in conceptualising, designing, and developing the SoPHIA model. Although scarce examples of successful impact assessment exist, current assessment models so far lacked a comprehensive framework that could consolidate the extent of cultural heritage interventions impact in all domains. The literature review did not point to many examples of models that have demonstrated success in assessing CH within a wider cross-domain holistic approach. However, several initiatives need to be mentioned here, as they represent a base from which the SoPHIA project tried to go a step further.

The previously mentioned Europa Nostra “*Cultural Heritage Counts for Europe*” report (CHCfE, 2015) has played an important role in the assessment of the impact(s) related to CH interventions, as it underlines the importance of using a holistic approach based on the four domains: social, economic, cultural, and environmental (CHCfE, 2015); it also analyses interventions in terms of positive and negative impacts; and it sheds light on how to scrutinise the link between (policies, projects, initiatives) objectives and impact.

ICOMOS “European Quality Principles for EU-Funded Interventions with Potential Impacts on Cultural Heritage” report (ICOMOS, 2019, 2020) is another document that deserves our attention. It was prepared by a group of experts assembled by ICOMOS, under the mandate of the European Commission and in the framework of the European Year of Cultural Heritage 2018, providing guidance on quality principles for all stakeholders directly or indirectly engaged in EU-funded interventions with potential impact on CH. The adoption of quality measures is proposed by raising awareness and strengthening the implementation of conservation principles and standards at every stage of a project, from conception to completion. The recommendations and the criteria proposed in the Quality Principles concern the whole spectrum of activities connected to interventions on CH (planning, project briefs and tenders, design, implementation, monitoring and ex-post evaluation).

The importance of this document for SoPHIA is that it introduces a new perspective for the analysis of the relationship between the objectives of the interventions and the desired or expected impacts by focusing attention not only on the outcome of the interventions but mainly on the quality requirements of the interventions’ process that must be respected to guarantee the achievement of the desired impacts. In doing so, the report sums up “quality principles and selection criteria for interventions” formulated as “key questions” that decision-makers should ask themselves to assess the quality of proposed interventions with a potential impact on cultural heritage. How the SoPHIA model builds upon the ICOMOS approach and complement it is further discussed in Chapter 7.

The Impacts 08 report (Garcia et al., 2010) presents the outcomes of a research program that developed a model for evaluating the multiple impacts related to Liverpool’s ECoC 2008 on the city and its people. It first introduced a longitudinal technique by measuring impact before, during and after any given intervention. It is relevant for the SoPHIA project since it presents a rare holistic approach by including cross-domain indicators of impacts. In addition, it has created an approach that goes beyond quantitative indicators and encompasses the ‘soft indicators,’ such as media and the more personal narratives of representatives of cultural/political/business groups that many assessments leave out. Such an approach ensures that desirable and non-desirable effects are taken into account. Some shortcomings of this model that the SoPHIA model tried to overcome are better dealing with the time dimension as Impacts 08 analysis cannot foresee how the situation will develop in the following years and, thus, if the ECoC’s benefits were only temporary. Equally, Impacts 08 does not place attention to sustainable development - it lacks direct mention of environmental repercussions, dwelling mostly on notions of well-being but omitting more environmentally related key issues.

## Key definitions and concepts informing the SoPHIA assessment model

The literature review process has focused on certain issues that have informed the SoPHIA consortium's work in conceptualising, designing, and developing the SoPHIA Model. This chapter provides definitions of key concepts so that their meaning within the context of SoPHIA's work, and this Toolkit, is made clear to the readers.

### Cultural heritage intervention

Investments in culture, such as interventions in the historical environment and cultural heritage sites, encompass actions to preserve and enhance cultural heritage, thus preserving and possibly enhancing its cultural value. (Crossick & Kaszynska, 2016). The SoPHIA project proposes that well-implemented cultural heritage interventions should understand their impact on various domains and be inclusive and generative.

- a. well-implemented cultural interventions spread outcomes and benefits in a wide spectrum of domains/fields;
- b. a well-implemented cultural heritage intervention should be accessible for diverse categories of stakeholders;
- c. cultural heritage interventions should produce impacts over time, and ensure, on the one hand, the transmission of a shared definition of "heritage" and, on the other, the dynamism that derives from the active participation of people.

### Impact and (holistic) impact assessment (IA)

The theory of change (Rogers, 2014) defines 'impact' as those social changes reached and maintained in the long-term through the interaction of a given programme or project (i.e., heritage intervention) and the changes they have generated with other factors and conditions. In this context, the impact is a dynamic concept that presupposes a cause-and-effect relationship. It can be measured by evaluating the outcomes of particular actions, be that an initiative, "a set of initiatives forming a policy or set of policies which form a strategy" (Landry et al., 1993).

It is necessary to ensure that interventions in cultural heritage have positive impacts on all dimensions of society. Lingayah et al. (1996) suggest that the starting point for measuring outcomes should be a definition of the purpose of cultural activities, against which their effectiveness or impact can be evaluated. Consequently, cultural operators, practitioners, academics, and policymakers need to identify the most effective instruments and tools to



measure the impacts of such interventions and establish shared quality standards that address both the creation of policies and the direct interventions.

Impact assessment is a tool to foster understanding of how strategic decisions about heritage resources may bring change to people and their environment. For the purpose of the SoPHIA project, IA could be defined as a process of identifying a measurable outcome (a degree) in which some heritage intervention affects certain changes in the life of a community. Thus, the impact should assume that there is a certain form of intervention introducing some kind of change and that the effects of the intervention are measured against the purpose of the intervention and the potential needs of benefiting the stakeholders. It represents a difference between what would happen anyway and what happened as a consequence of a certain action or intervention (ForHeritage, 2021).

The changes in the perception of the value of culture have called for a multidimensional (holistic) assessment that also considers the consequences of cultural interventions on the social, cultural, economic, and environmental dimensions of public life and societies. The SoPHIA project has applied such a holistic approach.

### Sustainability and Resilience

The sustainability and resilience of heritage interventions/projects are important considerations for the SoPHIA project.

Sustainability is an overarching principle that should guide interventions in cultural heritage. Defined as “meeting the needs of the present without compromising the ability of future generations to meet their own needs” (the UN Brundtland Commission, 1987), it reminds us that cultural heritage is our inheritance from previous generations and our legacy for those to come. In 2013, the UNESCO Hangzhou Declaration placed culture at the very heart of sustainable development policies. In 2016, the UN 2030 Agenda integrated, for the first time, the role of cultural heritage and creativity within the Sustainable Development Goals (SDGs), which are a universal call to action to end poverty, protect the planet and ensure that all people enjoy peace and prosperity. Articulating the value of our heritage by providing quantitative and qualitative evidence of its impacts related to the SDGs dimensions gives more strength to the relevance of interventions in cultural heritage in Europe.

In recent years, EU policies and programmes have been oriented toward the preservation and sustainable management of these valuable assets to increase their overall resilience. Thus, sustainability can also be defined as *‘a product, service or a process that can be maintained and developed over an extended period, especially after the external grant money disappear and*



*that is beneficial to stakeholders and the host institution.*’ (Tanner, 2020) Resilience can be defined as the capability of a system or process to absorb disturbance (Folke et al., 2010). More specifically, cultural resilience is defined as the capability of a cultural system to absorb adversity, deal with change, and continue to develop. Cultural resilience thus implies both continuity and change (Holtorf, 2018).

Sustainability and resilience are two overarching concepts that should be considered when assessing the impact of interventions in cultural heritage. The concept of sustainability is relevant in shaping our conceptual framework for two main reasons: First, it reminds us of and addresses the multifaceted aspects of the concept of “impact” (cultural, social, economic, and environmental), which can be aligned to the SDGs. Secondly, it calls for an intergenerational balance of needs in relation to SDGs and thus requires a multi time frame analysis to assess the impacts of cultural heritage interventions. The concept of resilience is equally relevant when considering the quality of intervention in cultural heritage. Research in system thinking and resilience suggests that future conditions may be different, more extreme, and rapidly changing than previously experienced, requiring very different approaches to assessment that take into account complex interactions and interdependencies between resources and stakeholders (Sirakaya et al., 2010; Strickland Munro et al., 2010). Resilience thinking provides a management approach that recognises human and natural systems as complex systems that continually adapt (Allison and Hobbs, 2004) and thus require a dynamic model of indicators to be evaluated and monitored.

Drawing on these two principles that state that cultural heritage should be both enriched in line with sustainable development and preserved following the concept of resilience, the SoPHIA project has directed its research activities towards establishing a holistic model for the impact assessment of interventions undertaken in European cultural heritage, as appropriately selecting, rigorously measuring, and adequately articulating the value and impact of heritage interventions can be considered one of the key prerequisites for sustainability.

### Stakeholders and a multi-stakeholder perspective

A stakeholder refers to an individual, group, or organisation that has a direct or indirect interest or stake in a particular initiative or organisation (i.e., governments, non-governmental organisations, communities of interests, professionals and in general, citizens, etc.). Cultural heritage “sustainability + resilience” is a question that calls for stakeholders to participate in both dialogue and decision-making processes and in the implementation of solutions to common problems or goals.

The principle behind a multi-stakeholder perspective on a holistic model for cultural heritage impact assessment is that it offers more legitimacy and, therefore, better reflects a set of interests rather than a single source of validation. Thus, policymakers at different levels (regional, national, EU); local communities (to guarantee the construction of a shared heritage under an inclusive and participatory perspective); youth and future generations (to take into account our legacy and responsibility); civil society organisations and networks; etc., all represent relevant actors that should be considered in a holistic model for cultural heritage impact assessment.

### Time perspective

Matarasso and Landry (1999) pointed out that the project's impact is the sum of the outputs and outcomes. Unlike the outcomes - an overall analysis of its results - the project's impact may change over time as subsequent events unfold. A planned impact should be measured ex-ante, while an unplanned impact can be reconstructed only ex-post. This poses additional questions about the appropriate time horizons for such evaluation. Often, impacts are conceived as unexpected, i.e., unrelated to any targeted planning activities. Positive or negative impacts alike tend to be treated as surprises rather than the expected effects or regrettable consequences of specific actions taken on specific impact areas expressly to introduce a specific change.

Therefore, when referring to time, we are talking about developing an evaluation tool that improves upon existing IAs. Initially, this occurs at the planning stage of new developments that may impact heritage. Then, the post-development evaluation assesses the impact of heritage-related infrastructural development on the local area. Moreover, there is the long-term impact of such developments long after the investment has been carried out.

### Strategy / strategic planning

A strategy is a plan of action designed to achieve a certain aim. Strategies are 'about maintaining a balance between ends, ways and means; about identifying objectives; and about the resources and methods available for meeting such objectives' (Freedman, 2013 in Tanner, 2020, p. 77). Achieving sustainability and resilience will not happen accidentally; thus, heritage professionals should focus on strategic planning towards such aims.

### Evidence-based decision-making

Evidence-based approaches try to optimise the decision-making processes related to the cultural heritage interventions by gathering and interpreting useful and actionable information

needed for informed decision-making. As a frequent source of actionable evidence, in recent years, IA has come into the focus due to the desire of the cultural managers and policymakers to be able to evaluate the success of the particular program or project, as this allows them to revisit and review the strategic status quo. Thus, evidence-based management aims to reduce uncertainty and mitigate risks but also enables evaluating if the new strategic directions should be taken to ensure the success of the project/programme (Tanner, 2020). For this, the sources of relevant data and statistics are very relevant but often lacking.

### III. SoPHIA APPROACH: TOWARDS A HOLISTIC IMPACT ASSESSMENT MODEL

This chapter provides information about the meaning of impact assessment in the heritage sector, and it explains the purpose, underlying logic, and conceptual framework of the SoPHIA Model.

#### What is an Impact Assessment in the heritage sector?

Impact assessment (IA) is a tool to foster understanding of how strategic decisions about (heritage) resources may bring change to people and their environments. In other words, IA is a process of identifying a measurable outcome (a degree) in which some heritage intervention affects certain changes in the life of the community. It aims to connect special projects to the people most affected by the change by determining how widely the benefits were felt and what significance they had for beneficiaries. Tanner (2020) suggests that to do it adequately, the evaluators must determine and understand what to assess, why to assess it, how to use the results, and know the worth of this information.

Measuring impact fits into an evidence-based approach to managing heritage interventions, given that, through the IA evaluation process, heritage institutions collect actionable evidence that should serve them in reviewing their status quo. Thus, IA includes both quantitative and qualitative methods and can be applied before, during and after the project. Some of the relevant and suitable analytical methods for quantitative analyses include cost-benefit analysis, cost-effectiveness analyses, or for example, the contingent valuation method. In qualitative production, the in-depth method or the focus group method, the structured interview, expert analysis (e.g., Delphi method), policy analysis, impact value chain, social impact analysis, etc., are often used.<sup>1</sup>

IA is bringing sounder knowledge of the relationship between actions and effects of heritage interventions by attempting to answer the questions such as: What has happened/will happen as a result of the cultural heritage intervention? What real difference has the activity made/will it make to the beneficiaries? How many people have been/will be affected? However,

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<sup>1</sup> For the overview of the relevant IA methods, please see the D1.2 report (Sophia, 2020b).

envisioning the effects of heritage interventions is not a simple and straightforward task. The impact of a certain intervention can be positive or negative, intended, or unintended, direct or indirect. As an intervention in question is not the only factor contributing to the change, when evaluating its impact, it is necessary to establish the cause of the observed changes and how the intervention has contributed to it.

In the impact assessment, the effects of the intervention should be measured against 1) the purpose of the intervention; 2) the potential needs of benefiting stakeholders. In the holistic impact assessment, the consequences of cultural interventions on the social, cultural, economic, and environmental dimensions of public life and policies should also be considered. This is done by analysing, monitoring, and managing the intended and unintended consequences (social, cultural, economic, and environmental) of a particular intervention and identifying social change processes triggered by those interventions.

The process of conducting an impact assessment should allow for a systematic and completely impartial assessment of cultural heritage interventions that primarily support effective and timely governance, decision-making, stakeholder education, and accountability for resource use and achievement.

The most commonly recognised purposes of impact assessments are:

- Planning/efficiency - ensuring that there is a justification for intervention and that resources are efficiently deployed.
- Accountability - demonstrating how far an intervention has achieved its objectives, how well it has used its resources and what has been its impact.
- Implementation - improving the performance of intervention and the effectiveness of how it is delivered and managed.
- Knowledge production - understanding what works (for whom) and why (and in what contexts).
- Institutional strengthening - improving and developing capacity among project developers/investors or their networks and institutions.

A number of principles should be followed in implementing impact assessment models, such as the SoPHIA model. These are:

- **Transparency** implies that the information/findings/recommendations obtained by the evaluation process should be shared with stakeholders who are directly affected by the expected results of the planning document, as well as with groups that can learn something new based on the results of the evaluation process.
- **Clear methodology** - The evaluation should follow a clear methodology designed to allow the collection of all relevant data to evaluate the success of the intervention. The combination of quantitative and qualitative methods is most often used.
- **Assessment planning** implies that each assessment is planned, with the obligation to prepare a job description for the implementation of assessment, define the purpose and scope of assessment, describe the methods to be used, determine resources, the time required for assessment, etc.
- **Impartiality and independence** - Impartiality contributes to the credibility of the evaluation, and independence gives legitimacy to decision-makers and limits possible conflicts of interest where decision-makers and intervention providers would be simultaneously responsible for evaluating their activities.
- **Visibility and dissemination of results** - Visibility is a feature that ensures that public policy includes in its measures information activities and systematic dissemination of information on the results necessary to improve the planning and implementation of activities.

Applying these principles should ensure that our society's present and future needs of are considered, corruption is minimised, the views of minorities are taken into account, and the most vulnerable in society are included in decision-making.

## Purpose and underlying logic of the SoPHIA Model

As explained in the previous chapters, the SoPHIA project seeks to open the debate on the holistic assessment of cultural heritage interventions, to build consensus on it, to support the European Commission in the definition of guidelines for the next generation of structural funds for cultural heritage and to support stakeholders in cultural heritage in assessing the impact of their interventions, in view of the sustainability and resilience of cultural heritage. Its approach is based on the underlying understanding of cultural heritage as a potential contributor and resource for sustainable development. A holistic understanding of sustainable development, as highlighted in the 2030 Agenda for Sustainable Development (United Nations, 2015), has

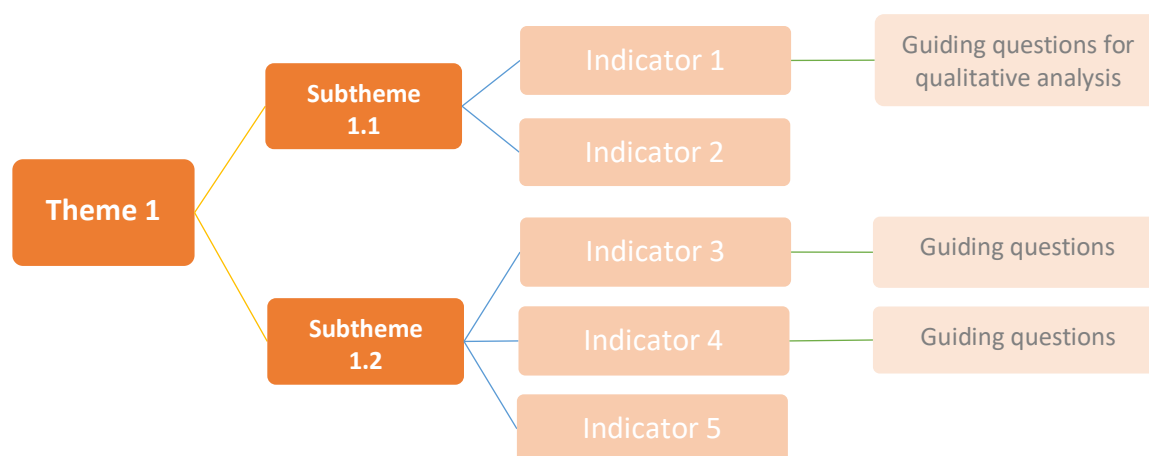
informed the SoPHIA project's work and thereby emphasis has been put on the need to understand the potential impact of cultural heritage in a holistic manner that encompasses the notion of the resilience of cultural heritage. This notion is not understood solely as resilience to climate change or human-related risks. Instead, it conceptualises resilience of cultural heritage as the capability to absorb adversity, deal with change, and continue to develop (Holtorf, 2018; Strickland-Munro et al., 2010).

Operationally, the SoPHIA model is based on the three-axis: Time-People-Domains. The proposed SoPHIA model aims to define an evaluation approach to assess the impact of cultural heritage interventions. The goal was to develop a flexible model that can be adapted to any type of intervention, starting from the specific characteristics of the contexts and resources available for evaluation. SoPHIA model focuses on themes, cross-cutting issues and counter effects that highlight the main features related to the specific intervention and detects cultural interventions' impacts holistically. Its Multi-Domain Assessment Framework includes six themes and 28 subthemes. Within each specific implementation of the model, assessors and stakeholders will assess the proposed themes and choose which subthemes are relevant to their particular case study. In the SoPHIA model, defining indicators is considered the final step of the assessment process; they are selected according to the expected or identified impacts, connected to the meanings attributed to the specific subthemes, and their counter effects are taken into account.

Indicators are "measures" capable of grasping these important phenomena (themes and related subthemes); nevertheless, no data is already /readily available for most of these topics. Thus, the assessors should create indicators that are coherent with the underpinnings of the SoPHIA model. On the other hand, grasping people's judgments or perceptions about a subject – their opinions, beliefs, or ways of thinking - should be reported with respect to different groups of stakeholders of the given cultural intervention, as this will complement insights provided by quantitative indicators.

The SoPHIA project has faced the traditional scarcity of high-quality data on culture due to the lack of harmonised and targeted data collection on culture, as observed in the deliverable D3.5 (SoPHIA, 2021f). For this reason, a data-driven approach reduces the available instruments and results in a limited capacity for generating evidence. Although indicators are important to compare different situations, a broader analysis needs to be implemented to evaluate a particular intervention's holistic impact clearly.

Therefore, the SoPHIA model proposes an assessment scheme in which indicators are complemented by applying qualitative methods of gathering stakeholders' perceptions with respect to the impact of a given cultural intervention (*Figure 2*).



*Figure 2. Building up the SoPHIA Model.*

## Conceptual framework of the SoPHIA Model

This subchapter deals with the main features of the conceptual framework of the SoPHIA Model, reported in the SoPHIA report D 2.3 (SoPHIA, 2021c).

### Time-People-Domains: the three-axis model

Departing from the question of sustainability and resilience of cultural heritage interventions, the SoPHIA model adopts a three-axis approach that highlights the quality of interventions in cultural heritage and implements the link between high-quality interventions and their impact (*Figure 3*): - PEOPLE: the multi-stakeholder perspective depicting the complex interactions and interdependencies between resources and stakeholders; DOMAINS: the multi-domain view that takes into account the positive and negative externalities that occur within and between the four domains (cultural, social, environmental and economics) and points towards the multifaceted aspects of sustainability and resilience via a holistic (multi-domain) concept of impact; and TIME: the longitudinal perspective, which takes into account the ex-ante and ex-post impact assessment and provides a balance between current needs and the legacy towards the next generations.



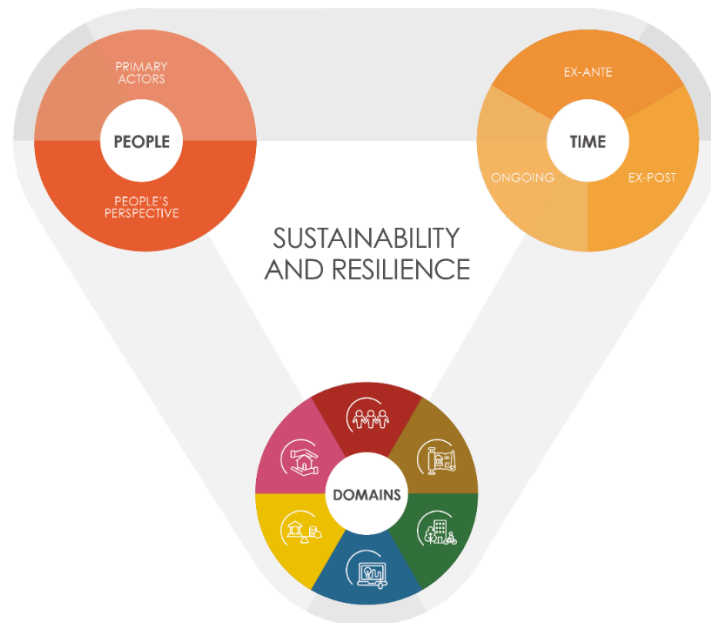


Figure 3. Time-People-Domains: the three-axis model.

### Time axis

The time axis defines at which moment of an intervention the assessment takes place, based on three relevant stages (Figure 4).



Figure 4. The stages of heritage intervention assessment

**Ex-ante impact assessments** are carried out before the intervention while drawing up investments in cultural heritage and developing an investment study. During the implementation of ex-ante evaluation, a number of criteria are used. The purpose is to provide the evaluators with basic information and knowledge to understand the situation and determine further action. The critical phase in its implementation is the assessment of strategic

determinants of future development - vision, goals, development priorities and measures. At this stage, omissions of the plan makers can create serious difficulties for those who will implement the plan and thus the results of the implementation will be limited. In addition, this evaluation determines the legality and coherence of the planned intervention, in particular: whether the intervention is in accordance with spatial plans, strategies and policies of local, regional, and national development, and whether the planned intervention is in accordance with conservation requirements and specific regulations related to cultural heritage.

Ex-ante assessments also refer to tenders and funding of cultural interventions. Therefore, the SoPHIA model provides an overview of the spectrum of criteria that can be considered in governance and thus supports an informed design of tenders and funding as well as the allocation of funds.

***In itinere (on-going/mid-term) impact assessments*** focus on monitoring the implementation of an intervention and its management (internal governance). It is mainly aimed at verifying that all the prerequisites for achieving the goals have been met, and it serves as a tool for decision-makers to identify possible limitations and shortcomings during its implementation and, consequently, to take the necessary steps if changes are needed. Applied at this moment of assessment, the SoPHIA model ensures proper monitoring of the actions to detect positive and negative impacts. The latter is particularly important to modify the intervention's implementation accordingly and thereby strengthen the intervention.

***Ex-post impact assessments*** are carried out after the completion of the intervention when it is possible to measure the medium-term and long-term effects of interventions. It summarises and evaluates the overall impact of the intervention, its effectiveness and efficiency. The time lag is necessary for the sustainability of the impact to be objectively assessed. Based on the assessment's results, they provide information (to citizens and institutions) for updating, adapting, re-proposing, or introducing policies, norms, and projects.

Thus, the time axis defines when the evaluation should be implemented, which objectives should be achieved, and which actors should be engaged in the process.

Time itself is also an element to be considered within the IA process, as certain issues have to be considered in advance of the IA process to provide the context for the IA. For example, such issues pose the following questions: Does the evaluation in question attempts to measure impact over a short or long period?; Are the envisioned measures expected to deliver quickly

(in a few months) or over several years?; What is a baseline for comparing current/future performance to a historical metric of the intervention?

### People axis

To assess the impact of a cultural heritage intervention, it is important to understand the positions of different stakeholders towards the intervention. Lack of public involvement is a major problem regarding current cultural heritage impact assessment practices recurrent in the different domains. It is often difficult to determine who should be involved in an IA process and identify the stakeholders of a project. Despite the numerous related policy imperatives advocating for public opinion integration, formal IA processes have failed so far to integrate the public in the decision-making or assessment processes in a consistent manner. Inclusion, engagement, and active participation have yet to be properly achieved as they are usually dealt with as a contractual obligation rather than an indispensable process for ensuring longevity. As a result, the public is called upon very late in the decision-making process when the margin for change has become quite limited. At the same time, the information shared with the public is often too technical, and those who have no relevant scientific expertise are inevitably left out.

In addition, the literature reviewed within the SoPHIA project pointed out that the experts' perspective mostly overrides the expertise of those who are more likely to be affected by the intervention (local stakeholders) (Mälkki & Schmidt-Thomé, 2010; de la Torre, 2002). All the while, the heritage community interested in a project may not necessarily be local, which often leads to a lack of consensus. Heritage can also be dissonant at the elementary level of the community, and conflicts can potentially manifest even between different social groups of the same community. The currently applied IA processes make no clear provision for incorporating divergent perspectives or establishing a dialogical process of negotiation. This, in turn, jeopardises the sustainability of projects and increases the gap between taught appreciation and the more personal emotional bonds of the local community. It also fails to efficiently relate CH interventions projects to a local or regional scale, making decisions look discontinuous or fragmentary.

In the SoPHIA Model, the people axis includes both the actors who promote the evaluation and the stakeholders who participate in the assessment process (*Figure 5*). People are fundamental in the assessment process since they define the objectives of the intervention and choice of the evaluation criteria. Stakeholders' expectations toward the intervention should be taken into account and can be transformed into objectives if stakeholders are

actively involved in the decision-making process. The choice of criteria to evaluate the objectives is often defined unilaterally by the actors who promote the evaluation. To assess the intervention holistically, it is important to understand the positions and objectives of different stakeholders toward the intervention. As follows, it is preferable to use a participatory approach that engages all relevant stakeholders during the IA process in a participatory evaluation, allowing the stakeholders to actively contribute as such participatory evaluation considers detecting their needs and points of view. For this reason, The SoPHIA multi-domain framework, therefore, includes a “people perspective” aspect to detect people’s perceptions of the impact of cultural heritage intervention.

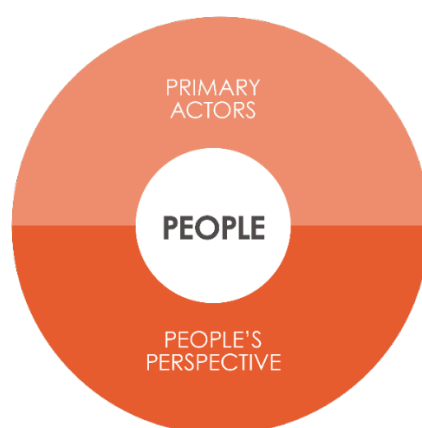


Figure 5. The people axis

### Multi-Domain Axis

The Multi-Domain Assessment Framework is the main segment of the SoPHIA model, divided into six main areas of impact, i.e., themes of assessment that need to be considered when assessing a cultural heritage intervention. These are: 1) Social Capital and Governance, 2) Identity of Place, 3) Quality of Life, 4) Education, Creativity, and Innovation, 5) Work and Prosperity, and 6) Protection (*Figure 6*). Each of them is further divided into a number of subthemes for each of which a list of possible indicators that support the IA analysis and a list of guiding questions for qualitative analysis and stakeholders’ inputs have been proposed.

The SoPHIA assessment framework consists of seven elements in the grid through which the impact analysis should be applied (*Table 1*).

The SoPHIA Multi-Domain Assessment Framework	
<b>Theme</b>	Six areas of impact are included in the framework that covers cultural, social, economic, and environmental issues.
<b>Subtheme</b>	Each theme is evaluated through a number of subthemes for which a list of possible indicators and guiding questions have been provided.
<b>Description</b>	In the description, the aim of the IA is highlighted for each subtheme that provides a focus for the user when adapting the framework. E.g., <i>the aim is to assess whether intervention ensures accessibility of CH resources to all groups of society.</i>
<b>Quantitative indicators</b>	List of possible indicators that support the IA analysis (pointing to the information to be collected).
<b>People's perspective and Quality of intervention</b>	List of proposed guiding questions aiming at collecting stakeholders' inputs.
<b>Cross-cutting issues</b>	Cross-cutting issues and counter-effects show the relevant interconnections between themes and subthemes and the potential counter-effects. As the themes are highly interconnected, it is possible to provide a holistic impact assessment only by understanding the cross-cutting issues and counter-effects between the themes.
<b>Counter effects</b>	

Table 1. The SoPHIA Multi-Domain Assessment Framework

The proposed framework illustrates the multidimensional approach by listing the assessment themes and subthemes, linking them with the indicators and guiding questions for the analysis, and also emphasising the importance of recognising cross-cutting issues and counter effects that all together highlight the main features related to the specific intervention and identifies cultural interventions' impacts in a holistic manner. Thus, the distinct themes and subthemes are not to be considered as completely separate entities, as, in fact, many of them interrelate in numerous ways. Understanding the cross-cutting issues and counter effects between the themes makes it possible to provide a holistic impact assessment that considers the various areas that are crucial in supporting the sustainability and resilience of an intervention.

The proposed SoPHIA Multi-Domain Assessment Framework should be seen as a theoretical reference model to be adapted in the context of each heritage intervention. Thus, users should use this as a starting example for elaborating their own framework that consists of the provided themes and subthemes, while the other elements may be broadened or replaced with more suitable ones for the particular project being evaluated for its impact<sup>2</sup>. This represents the first

<sup>2</sup> The SoPHIA multi-domain assessment framework has been tested on 12 selected and diverse case studies that informed the 'content' included in the framework. Even though we tried to be as comprehensive as possible, there may be some aspects that have not been identified in the course of the 12 case studies through which

proposal of the SoPHIA consortium capturing the relevant elements discussed in the reviewed literature. Still, these can be the subject of continuous renegotiations in meaning and further adaptations in the future.

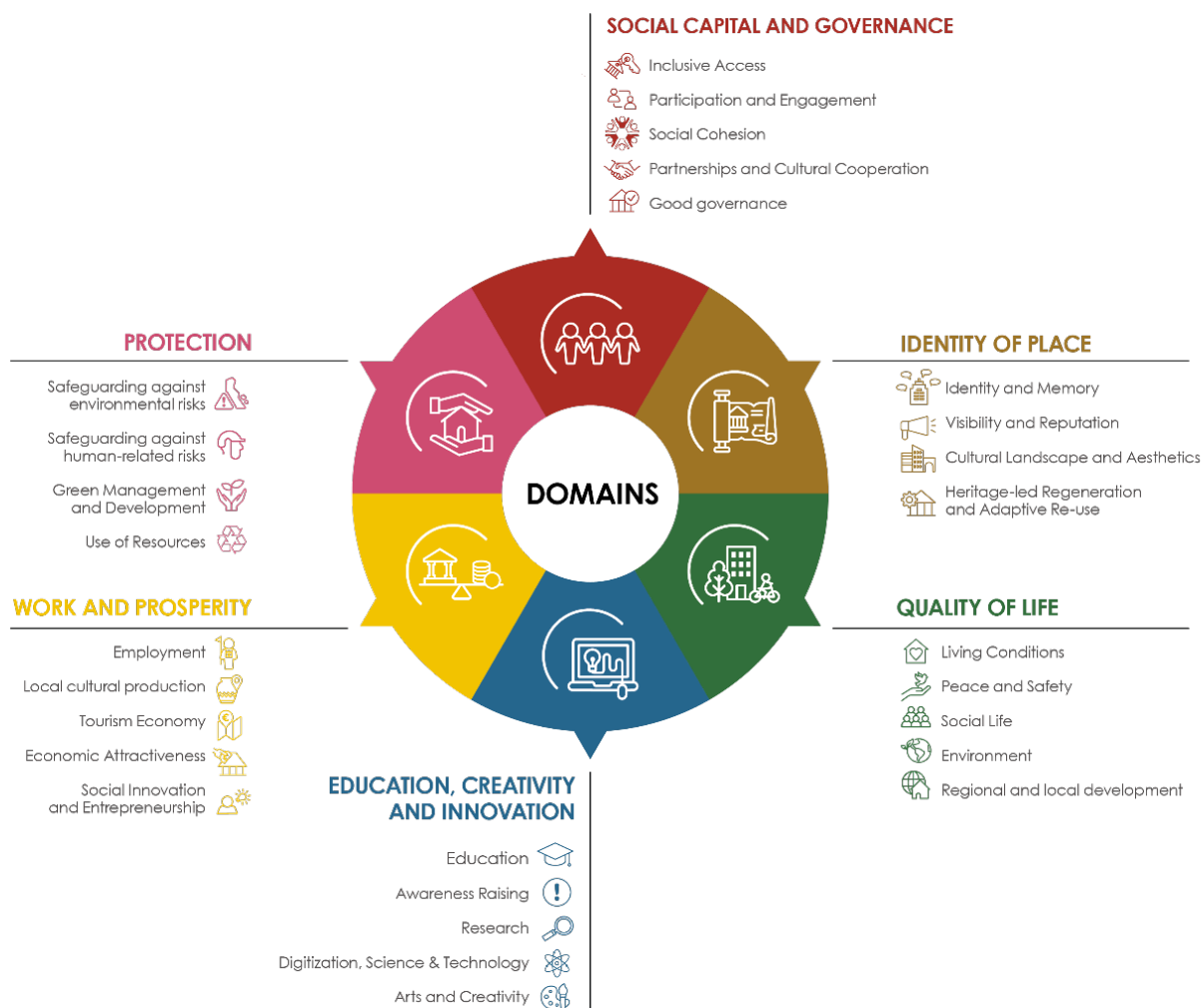


Figure 6. Themes and subthemes of the SoPHIA Multi-Domain Assessment Framework.

Below is a short overview of the six topics of the SoPHIA Model. At the same time, Annex 2 of this toolkit presents the detailed overview of the SoPHIA Multi-Domain Assessment Framework elaborated in D2.3 (SoPHIA, 2021c).

the framework has been developed and tested. Therefore, when adapting the framework to a particular IA case, assessors should tailor it to their particular needs by reducing or adding elements that might be missing.



SUBTHEMES	ISSUES AND INDICATORS			
	Quantitative indicators ↓	People's perspective ↓	Cross-cutting issues with other themes ↓	Counter-effects on other themes ↓
<b>INCLUSIVE ACCESS</b>	Assess the accessibility of cultural heritage resources to all groups of society.			
<b>PARTICIPATION AND ENGAGEMENT</b>	Assess the level of participation in cultural heritage.			
<b>SOCIAL COHESION</b>	Assess whether the gap between different societal groups and stakeholders is bridged.			
<b>PARTNERSHIPS AND CULTURAL COOPERATION</b>	Assess the quantity and quality of alliances and collaborations in the heritage and cultural sector, across disciplines and/or policy areas.			
<b>GOOD GOVERNANCE</b>	Assess good governance and participation processes in the intervention.			

**EXAMPLE:**

SUBTHEMES	Quantitative indicators	People's perspective	Cross-cutting issues with other themes	Counter-effects on other themes
<b>INCLUSIVE ACCESS</b>	Number of Visitors (before and after the intervention in 5, 10, 20 years) in terms of age, gender, educational level, income...	What are the experiences of different visitor groups accessing cultural heritage? ...	Education Creativity & Innovation; Identity of Place; Quality of life; Work & Prosperity.	Protection; Quality of life; Work & Prosperity.



SUBTHEMES	ISSUES AND INDICATORS			
	Quantitative indicators ↓	People's perspective ↓	Cross-cutting issues with other themes ↓	Counter-effects on other themes ↓
<b>IDENTITY AND MEMORY</b>	Assess the acknowledgement and appreciation of different contemporary, potentially historic, symbolic and cultural meanings.			
<b>VISIBILITY AND REPUTATION</b>	Assess whether the image of intervention is balanced against diverse contemporary discourses.			
<b>CULTURAL LANDSCAPE AND AESTHETICS</b>	Assess the relationship between the space designed/offered and local cultural identity.			
<b>HERITAGE-LED REGENERATION AND ADAPTIVE RE-USE</b>	Assess the contemporary usage of cultural heritage and whether the revitalization and creation of new social, cultural or economic activities is in accordance with the needs of local communities.			

**EXAMPLE:**

SUBTHEMES	Quantitative indicators	People's perspective	Cross-cutting issues with other themes	Counter-effects on other themes
<b>IDENTITY AND MEMORY</b>	Number and form of actions taken to safeguard the diverse historic, cultural meaning and activities of remembrance.	What is the historic value of the intervention; i.e. to which historic events does the intervention relate? ...	Social Capital & Governance; Education, Creativity & Innovation.	Social Capital & Governance; Quality of Life.



SUBTHEMES	ISSUES AND INDICATORS			
	Quantitative indicators ↓	People's perspective ↓	Cross-cutting issues with other themes ↓	Counter-effects on other themes ↓
LIVING CONDITIONS	Assess whether the cultural heritage intervention contributes positively towards living conditions for the people living, working or staying in the surrounding neighbourhoods.			
PEACE AND SAFETY	Assess whether the intervention promotes and ensures peace building, personal safety, and security of community.			
SOCIAL LIFE	Assess whether participation of community groups and civic engagement is encouraged.			
ENVIRONMENT	Assess whether the intervention provides recreational opportunities while also maintaining the integrity of the intervention/heritage.			
REGIONAL AND LOCAL DEVELOPMENT	Assess whether the intervention promotes the regional/local development through cultural investments.			

**EXAMPLE:**

SUBTHEMES	Quantitative indicators	People's perspective	Cross-cutting issues with other themes	Counter-effects on other themes
LIVING CONDITIONS	Numbers of people living, working and socialising in the area (in order to measure change/development /variation) ...	What are the objectives of the intervention in terms of living conditions for residents and people working in the area? ...	Identity of place; Work & Prosperity and Social Capital & Governance; Education, Creativity & Innovation.	Identity of Place and Protection; Quality of Life; Work & Prosperity and Identity of Place.

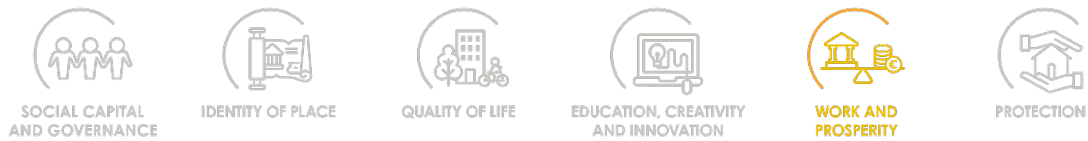


SUBTHEMES	ISSUES AND INDICATORS			
	Quantitative indicators ↓	People's perspective ↓	Cross-cutting issues with other themes ↓	Counter-effects on other themes ↓
EDUCATION	Assess the diversity of educational offers, outreach activities and learning opportunities.			
AWARENESS RAISING	Assess whether the intervention supports awareness-raising on sustainable development.			
RESEARCH	Assess whether the intervention supports broad research in relation to the intervention.			
DIGITIZATION, SCIENCE & TECHNOLOGY	Assess the development of ICT tools for management and interpretation of the intervention.			
ARTS AND CREATIVITY	Assess whether the intervention enables creative/arts activities.			

**EXAMPLE:**

SUBTHEMES	Quantitative indicators	People's perspective	Cross-cutting issues with other themes	Counter-effects on other themes
EDUCATION	Number of educational/outreach programs and activities provided to a diverse range of audiences (by age, gender, education level ...)	Expectations and experience of different stakeholders and communities with the educational offer, outreach activities and learning opportunities ...	Work and Prosperity; Social Capital & Governance; Quality of Life; Identity of Place.	

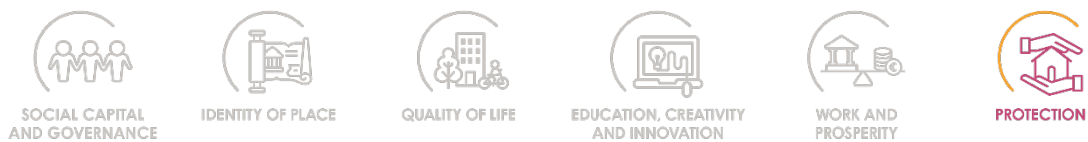




SUBTHEMES	ISSUES AND INDICATORS			
	Quantitative indicators ↓	People's perspective ↓	Cross-cutting issues with other themes ↓	Counter-effects on other themes ↓
<b>EMPLOYMENT</b>	Assess the quantity and quality of employment related directly to the intervention/site or indirectly/induced in the context.			
<b>LOCAL CULTURAL PRODUCTION</b>	Assess whether the intervention promotes local cultural production.			
<b>TOURISM ECONOMY</b>	Assess the quantity and quality of the surrounding tourism economy.			
<b>ECONOMIC ATTRACTIVENESS</b>	Assess whether the intervention attracts further economic flows, generating a multiplier effect and attracts investments/funding through the cooperation between the private, public and third sectors..			
<b>SOCIAL INNOVATION AND ENTREPRENEURSHIP</b>	Assess the innovation in terms of social change and growth.			

**EXAMPLE:**

SUBTHEMES	Quantitative indicators	People's perspective	Cross-cutting issues with other themes	Counter-effects on other themes
<b>EMPLOYMENT</b>	Number of workplaces at the intervention and in the context (before and after the intervention in 5, 10, 20 years) ...	What is the perception of workers? What are the working conditions at the site / practice disaggregated by typology ...	Social Capital & Governance and Identity of Place and Quality of Life; Education, Creativity & Innovation; Protection.	Social Capital & Governance.



SUBTHEMES	ISSUES AND INDICATORS			
	Quantitative indicators ↓	People's perspective ↓	Cross-cutting issues with other themes ↓	Counter-effects on other themes ↓
<b>SAFEGUARDING AGAINST ENVIRONMENTAL RISKS</b>	Assess the quantity and quality of actions to safeguard against environmental factors, in order to retain the objectives/integrity of the intervention.			
<b>SAFEGUARDING AGAINST HUMAN-RELATED RISKS</b>	Assess the quantity and quality of actions to safeguard against damage caused by humans.			
<b>GREEN MANAGEMENT AND DEVELOPMENT</b>	Assess the quantity and quality of actions for ecological sustainability and countering climate change.			
<b>USE OF RESOURCES</b>	Assess the usage of resources through the intervention in an efficient and sustainable manner.			

**EXAMPLE:**

SUBTHEMES	Quantitative indicators	People's perspective	Cross-cutting issues with other themes	Counter-effects on other themes
<b>SAFEGUARDING AGAINST ENVIRONMENTAL RISKS</b>	Funds dedicated per year to preservation, maintenance, and disaster risk management; Total expenditure and actions taken towards protection of biodiversity and cultural eco-systems due to environmental risks.	Vacant building stock What kind of initiatives are employed by local authorities and the community to manage and utilise the vacant building stock? ...	Education, Creativity & Innovation; Social Capital & Governance; Identity of Place.	Social Capital & Governance; Work & Prosperity.

## IV. TAILORING THE ASSESSMENT – THE PHASES IN IMPLEMENTING THE SoPHIA MODEL

Based on the concepts described in Chapter 3, the SoPHIA model foresees three main phases through which a holistic impact assessment would be performed, enabling the reflection on findings concerning sustainability and resilience via cross-cutting issues and counter effects:

- **Phase 1** – Defining the context for IA analysis
- **Phase 2** – Implementing Multi-Domain Assessment Framework
- **Phase 3** - Analysis and Outcomes

The SoPHIA model is a “conceptual model” that should be tailored towards the particular intervention’s logic and needs to be transformed into the concrete operational framework for performing IA of a particular heritage intervention. In doing this, the above-mentioned aspects of the three axes of the model should be considered as reference, but additional factors of the implementation process need to be taken into account as well. Particularly, the process of tailoring the assessment needs to consider those contextual factors that are related both to the intervention and the assessment process (*Figure 7*). Therefore, the logic of tailoring the impact assessment is briefly presented here, while a more detailed step-by-step process is described in Chapter 5.

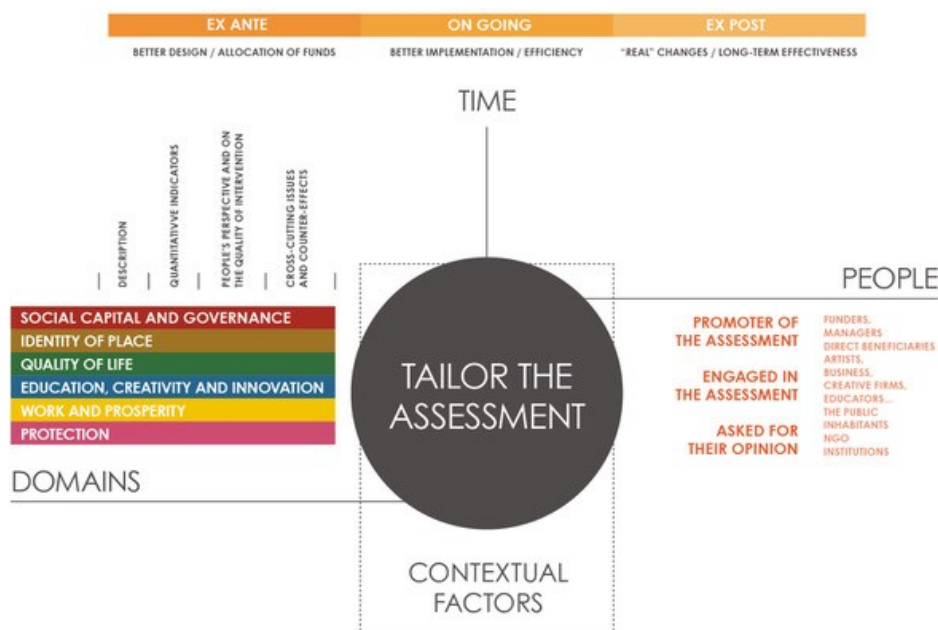


Figure 7. Tailoring the assessment.

## Phase 1 – Defining the context for IA analysis

Developing and testing the SoPHIA model in the course of this project has highlighted the relevance of contextual factors in an evaluation and assessment process. While mapping good and poorly done practices of impact assessment in cultural heritage (D2.1) and analysing case studies (D2.2), the exchange with stakeholders has shown the need for an assessment process always to be tailored to the needs of the particular IA case. Thus, in this phase, the focus is placed on two interrelated aspects: on describing the political and historical environment of an intervention and the positions that different stakeholders had towards the intervention (contextual factors related to the intervention), as well as on transparently defining the objectives and resources of the assessment (contextual factors related to the assessment process).

The situation and stakeholder analysis need to be performed in this phase (see Chapter 5). To set the baseline for assessing the case, it is relevant to clearly state the aims of the heritage intervention that is being evaluated for its impact and describe the context in which the intervention operates; the processes preceding an intervention, the historic and political context and environment of an intervention, the positions that different stakeholders had towards the intervention, etc.

The objectives of the intervention provide the framework for understanding what the intervention is aiming at and if the objective of the intervention is at all participatory and holistic in its approach. Understanding the positions and objectives of different stakeholders towards the intervention is equally relevant for assessing the case because the roles and (power) positions of the stakeholders in the intervention and the assessment need to be taken into account and explicitly stated. When tailoring the SoPHIA model to the needs of a particular intervention, the network of stakeholders needs to be identified to give evidence if and how their voice is considered in the assessment. Stakeholders may include funders, managers, beneficiaries, artists, business and creative firms, educators, visitors/beneficiaries of the interventions, inhabitants, NGOs, institutions, and the broader public.

Clarifying the context of the assessment itself and being transparent about it is also a necessary step. Questions such as who is commissioning the assessment, at what stage of the project it is being performed and why, and according to which resources will the assessment be implemented should be clarified at this stage.

Context of the intervention	Objectives of the assessment
<ul style="list-style-type: none"> <li>What are the intervention's objectives and strategy in delivering impact in cultural, social, economic, and ecological domains?</li> <li>Who are the main stakeholders?</li> <li>What are/were the objectives/positions towards the intervention from the perspective of different stakeholders?</li> <li>How did objectives/positions towards the intervention change over time?</li> <li>Are there any conflictual positions concerning the intervention?</li> <li>How did these positions influence the conceptualisation and realisation of the intervention?</li> </ul>	<ul style="list-style-type: none"> <li>What are the objectives of the assessment?</li> <li>Who commissioned the assessment and why?</li> <li>What role do the stakeholders take in the various stages of assessment?</li> <li>How is a participatory approach of all main stakeholders ensured throughout the assessment?</li> <li>What is the time horizon of the assessment? (ex-ante, on-going, ex-post)</li> <li>What are the financial resources of the assessment?</li> <li>What data is available?</li> <li>Are there official data sources that can be used, or is it necessary to plan collecting the data within the project?</li> </ul>

Table 2. The context of the intervention and the objectives of the assessment.

This phase defines the context of the intervention and the assessment and functions as orientation and reference when implementing the Multi-Domain Assessment Framework in the next phase of the SoPHIA model.

## Phase 2 – Implementing the Multi-Domain Assessment Framework

The Multi-Domain Assessment Framework is the central segment of the SoPHIA model that has been divided into six highly interconnected main areas of impact that covers cultural, social, economic, and environmental domains (*Figure 6*). As stated earlier, the SoPHIA project does not aim to create a “ready to use” model; rather, it provides users with an adaptable framework that can grasp the characteristics of different cultural interventions’ impacts under a holistic perspective. Thus, the multidimensional character of the SoPHIA model can be considered an “open” panel. While the six themes are considered a “reference spectrum” for the quality of the assessment, the 28 subthemes are not a mandatory requirement for the assessment, i.e., not all of them need to be considered for each case for which IA is being performed. Instead, they aim to show the whole spectrum of issues with their interconnections and relevant measures. In each assessment process, the content of the grid needs to be chosen, weighted, and adapted with respect to the context and the type of intervention. Nevertheless, if only a few aspects are considered, if people’s perspective is not detected, if relevant counter-effects are not considered, the assessment process will not adequately grasp

the quality of the intervention. The framework should allow users to ask relevant questions in a structured way and gather the responses to be further analysed.

Hence, **the first step** in this phase is about **designing the framework** suitable for the needs of a concrete intervention. Considering the information collected during the first phase described above, and after clearly stating the objectives of IA in question, the user/assessor should analyse and adapt the SoPHIA's multi-domain assessment framework to a particular project's/intervention's needs, **selecting the subthemes relevant for the particular IA case**.

**The second step refers to implementing the framework** so that the actual IA analysis can be carried out based on the adjusted grid. This step includes deciding what data sources are relevant and available (**defining the indicators to be used and ensuring their availability**), what will be monitored and how. In addition, it entails deciding on the relevant questions for qualitative analysis and stakeholders' inputs and deciding the methods to be used, e.g., desk research, surveys, interviews, focus groups, testimonials, etc. (see Chapter 5). In this phase, to ensure the feasibility of the IA exercise, a certain IA plan should be prepared, defining the time frame, the budget, the roles of project leaders and participating stakeholders. As Tanner (2020) proposes, to effectively measure the change, defining mini-plans within the overall impact plan is an effective way of resolving measuring impact over an extended period.

### Phase 3 – Analysis and Outcomes

In this phase, collected data must be analysed, and results should be turned into an impact narrative that is substantiated with the clear evidence of change in terms of what has happened as a result of the cultural heritage intervention; what real difference has the activity made to the beneficiaries; how many people have been affected, etc. The result of this phase should provide decision-makers with relevant, actionable evidence, useful for considering future steps.

For the analysis to deliver actionable evidence, it should be adequately applied. The numerical indicators do not paint the entire picture, so quantitative and qualitative evidence must be balanced when interpreting the project's outputs and outcomes. In consequence, the quality and suitability of collected information should be assessed.

- Does the collected data reflect the impact assessment goal set during the second phase?

- Is the data collected complete or fragmented? Are the indicators used the most appropriate ones? Were there limitations to what data it was possible to collect, and have the missing data been acknowledged?
- Have the methods used been appropriate and rigorous, and has any kind of external validation process been employed?
- Have all relevant stakeholders been involved in the assessment process? Has any possibly existing bias in the findings been noted?
- Do the findings correlate with other research in the same field?

If the collected data is of low quality and cannot support reliable conclusions, they may have to be discarded, or a way must be found to fill the gaps in evidence. For these reasons, inputs received from the stakeholders are very relevant.

When narrating the analysed evidence, it is important to consider whether the impact registered through the collected evidence can be attributed to the particular heritage intervention and its activities, or are there other factors contributing to the change? Can the collected evidence show the logical reason why the intervention had an impact on benefits that occurred? In other words, what would have happened without those activities? Different aspects should be considered in the analysis when considering the impact objectives. These include the significance of impact (was the change that happened small or significant) and the impact on stakeholders; have the intervention's activities benefited particular groups of stakeholders, who benefitted from the project and who did not, have the marginal groups had any benefits from the project. Collected feedback (surveys, testimonials, etc.) from the stakeholders may provide insights for these questions.

The SoPHIA model emphasises the interconnectedness of the various levels of impact. In the model, this interconnectedness is operationalised via cross-cutting issues and counter-effects between various levels of impact being considered. Thus, after the findings from all six themes/areas of impact are collected and triangulated, focus on cross-cutting issues and counter-effects in the interpretation of findings provides a holistic approach of analysis and ensures detecting imbalances.

The questions for the interpretation of findings via cross-cutting issues and counter-effect include:

- What are the cross-cutting issues and counter-effects that are (strongly) recognisable between the levels of impact, i.e., themes of the SoPHIA model?

- Based on these findings, is there an imbalance between the levels of impact recognisable, and how does this imbalance potentially challenge the sustainability and resilience of the intervention?

The final results of the assessment should provide useful, actionable evidence that serves as an input for:

- potential changes in the intervention (especially in tenders, criteria of assessment address the contents of the proposal).
- potential improvement of the management, including the on-going adaptation of the interventions.
- potential refinements/changes in strategies/policies if long-term results do not ensure the desired impacts in terms of resilience and sustainability.

## V. IMPLEMENTING THE SoPHIA MODEL - A ROADMAP FOR THE PRACTITIONERS

After tailoring the model to fit a particular intervention's logic, this chapter provides a roadmap for practitioners to implement the SoPHIA model. As described in Chapter 4 - *Tailoring the assessment - Phases in implementing the SoPHIA model*, the SoPHIA model foresees three main phases through which a holistic impact assessment would be performed: Phase 1 – Defining the context for IA analysis; Phase 2 – Implementing the Multi-Domain Assessment Framework; Phase 3 - Analysis and Outcomes. Complementing the information provided in Chapter 4 concerning the implementation of the model and following the basic concepts of the SoPHIA model, this chapter provides readers with a more pragmatic approach through a series of basic steps to be taken during the three phases of the SoPHIA IA implementation process. Their further elaboration has a thematic, time and people perspective. The benefits and risks of using the SoPHIA model are described in Chapter 6.

### Phase 1 - Defining the context for IA analysis

To start any impact assessment, in-depth insights into the key characteristics of the intervention, types of activities, location and timing, financing, organisational structure, management system, and other characteristics of the intervention need to be identified.

The assessment should analyse the scope, location, and time and focus on the stakeholders of each intervention and its relevance in achieving the intervention's general and specific objectives.

At this initial stage of the assessment, a spatial and temporal map of the implementation of key intervention activities can be created to determine the target groups and the precise implementation time of individual sections of the field research.

This activity is crucial for later targeted research in communities, neighbourhoods and key locations, audience measurements, and later access and direct communication with different stakeholders of the intervention.



At this stage, the focus is placed on two interrelated aspects: describing the intervention's environment and objectives as well as transparently defining the objectives and resources of the assessment (see Chapter 4). It defines the competencies and skills needed to fulfil the assessment with the SoPHIA model.

Some of the key issues to be addressed are:

- Description of cultural heritage intervention which is the subject of SoPHIA model analysis and definition of key assessment objectives,
- What is the environment related to CH intervention – existing policies at the EU, national and local level related to the CH intervention?
- Choice of perspective from which the CH intervention is evaluated, and at what stage the SoPHIA model is implemented and who are the stakeholders involved in the assessment (time and people perspective),
- What is to be measured - which goal and objectives are important to us in multi-sectoral perspective assessment

Each concrete IA can be carried out through **ex-ante, mid-term or ex-post** assessment interventions in cultural heritage. It is necessary to **involve different stakeholders** in the analysis of each of them. The table below indicates the challenges related to each analysis and who should be involved in their development.

Intervention's outline			
	Timing: Ex-ante	Mid-term	Ex-post
Challenges	<ul style="list-style-type: none"> <li>• Definition of expected impacts to be evaluated, which enable decision-makers to decide whether to get involved in the project</li> </ul>	<ul style="list-style-type: none"> <li>• Reporting on whether the CH intervention is proceeding according to plan</li> <li>• Whether anything has changed in the policy framework</li> <li>• What can be corrected by the end of the project</li> </ul>	<ul style="list-style-type: none"> <li>• Which impacts have been achieved</li> <li>• Whether CH intervention have produced unexpected impacts</li> <li>• Which are quality, efficiency, relevance, sustainability, long-term effects of the intervention</li> </ul>

Stakeholders	<ul style="list-style-type: none"> <li>Funders, financial institutions</li> <li>Managers</li> <li>Policymakers</li> </ul>	<ul style="list-style-type: none"> <li>Designers</li> <li>Investors</li> <li>Contractors</li> <li>Beneficiaries of the interventions</li> <li>Managers</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiaries of the interventions</li> <li>Business and creative firms</li> <li>Educators</li> <li>Artists</li> <li>Inhabitants</li> <li>NGOs</li> <li>Institutions</li> <li>Broader public</li> <li>Managers</li> </ul>
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Table 3. Ex-ante, mid-term, and ex-post assessment interventions.

## Situation Analysis

### Analysis of the intervention

The initial step in assessing the intervention is a preliminary analysis of its compliance with key EU documents (if relevant), followed by its compliance with national and regional/local strategic development documents and linking to all six themes, relevant subthemes, and indicators to assess the intervention's contribution in more detail. For the purposes of this analysis, an evaluation questionnaire can be used as a tool to determine the level of compliance.

This sub-activity needs to be implemented at the beginning of the assessment and can be used to make recommendations related to the compliance of the intervention with the relevant program, strategic and policy documents, and recommendations for possible improvement and optimisation of resources for intervention.

#### Example: analysis of the situation – what is the objective of the intervention - Jamtli Museum, Sweden

Assessment of intervention starts with the analysis of the strategic framework and vision for the future development of the intervention.

The objectives of the planned intervention were assessed in line with the vision:

*“The National Museum is present and visible in another part of Sweden outside Stockholm, and the strengthening of attraction at Jamtli Museum.”*

This vision was co-produced by the two museums, the Jamtli Museum and the National Museum. It included thoughts on wider access to national treasures, developing and exploiting the renowned

educational competencies at Jamtli Museum, and furthering the attractiveness of the Jämtland region through high-class cultural activities that could attract higher income and higher educated people to settle there (16th November 2010 Popular presentation).

The formal objectives of the intervention were:

- to establish a satellite art gallery at Jamtli Museum for the National Museum.
- to widen access to the national collections of the National Museum.
- to further strengthen the attraction of the Jamtli Museum complex, the city of Östersund, and the Jämtland region.
- to exploit the pedagogical methods of Jamtli Museum to reach new audiences for fine art.

*Source: Social Platform for Holistic Heritage Impact Assessment (SoPHIA) Consortium. (2021). Deliverable D2.2: Case Studies Report.*

## Internal organisational analysis

It is necessary to analyse the managerial and organisational capacity of the intervention implementation team. To get a better insight into the way of working, it is essential to verify whether the principles and tools of project management have been implemented or not.

### Analyses of existing databases and previous research

The assessment process of the intervention's impacts must rely, as far as possible, on existing research and data collected by different organisations.

In fact, various state and local administration bodies, state and local agencies, institutions and organisations collect data from their area of activity that may be relevant for assessing the impacts of the intervention. This ensures the possibility of monitoring changes over a longer period after the intervention (ex-post assessment).

Key sources and databases of existing data for monitoring purposes can be:

- State bureau of statistics
- Ministries and state administration bodies
- Chambers of commerce and crafts
- Administrative bodies of local self-governments
- Cultural institutions such as archives, museums, and theatres
- Art groups and civil society organisations in culture
- Local associations and stakeholders of public life
- Eurobarometer reports and studies
- UNESCO reports and studies
- ICOMOS reports and studies
- Evaluations and research of similar intervention projects
- Databases, indicators, and data collection methodologies of different stakeholders designed to measure their priorities
- Relevant domestic and foreign research studies and policy recommendations.

Research and data collection require constant consultation with local stakeholders to ensure insight into existing local databases and establish partnerships.

Also, it is necessary to carry out an analysis of the current framework and data collection methods to make recommendations for refining the collection and recording system.

Doing so enables considering the experiences of previous related interventions, recommendations, and best practices in the field of impact assessment of cultural projects.

### Determining the Time Dimension of Holistic Impact Assessment

As explained in detail in Chapter 3 and deliverable D2.3 (SoPHIA, 2021c), there are three starting points for a holistic impact assessment: ex-ante, mid-term (on-going), and ex-post, depending on which the key issues in conducting the assessment need to be defined:

- **Ex-ante** mainly refers to tenders and funding of cultural interventions. As it is well known, when tenders are defined, the choice of impact to be assessed directly influences the proposals applying for funding. At the moment of assessment, the

SoPHIA model provides an overview of the spectrum of criteria that can be considered in designing tenders as well as the allocation of funds.

- **Mid-term:** In itinere (or ongoing) assessments monitor the implementation of an intervention. Applied at this moment of assessment, the SoPHIA model ensures proper monitoring of actions to verify if outputs are being delivered according to the project timetable and to detect positive and negative impacts. The latter is particularly important to modify the intervention's implementation accordingly and thereby strengthen the intervention.
- **Ex-post:** Ex-post assessments have a crucial role in detecting interventions' medium and long-term impact. Based on the assessment's results, they provide citizens and institutions with information on updating, adapting, proposing or introducing policies, norms, and projects.

### Defining and Analysing Key Stakeholders

Stakeholders have to be defined, and the stakeholder analysis needs to be performed in the first phase. A stakeholder is a person or group of persons, institutions, associations, or companies that can be directly or indirectly, positively or negatively involved in an intervention.

#### Stakeholder identification

The following categories of stakeholders are considered relevant since they could have a role in influencing the assessment of cultural heritage intervention:

- **main parties to the intervention:** these are usually assessors' contact persons that are prepared to co-define the objectives of the impact assessment and reflect on the course of the impact assessment. They provide relevant documents and information concerning the intervention, and they may help establish contacts with other stakeholders for interviews, etc.
- **other relevant stakeholders to the intervention:** stakeholders such as managers, investment advisors and funding representatives of the intervention, cultural associations, beneficiaries involved in the intervention, artists, business and creative firms, educators, program visitors, inhabitants, NGOs, etc.

This means that these groups of stakeholders are involved in:

- discussing the expectations of the assessment (could only be done with the main party to the intervention that has the time resources to be involved)
- testing of the course of the assessment (main party and other relevant stakeholders)
- reflecting on the relevance of the assessment (main party and other relevant stakeholders).

This describes an ideal situation, but the actual level of participation may vary from case to case, depending on the possible time resources of stakeholders and researchers. Every assessor using the SoPHIA model is free to define and apply different forms of engagement/consultation, such as:

- Workshops (meetings) with the main party (defining the objectives of the impact assessment and reflecting on the impact assessment)
- Qualitative interviews
- Focus groups
- Media and/or discourse analysis
- Surveys, etc.

**Example: Stakeholder identification timeline according to values and threats of intervention:**

1. List your cultural heritage site's values and threats in detail.
2. Identify stakeholders linked to/interested in each of the values.

To identify the relations/links between different stakeholders and the cultural heritage values, we should consider the following criteria: (1) ownership/use/customary rights, (2) management responsibilities and (3) direct and indirect (e.g., economic, cultural, recreational, etc.) interest.

3. Identify stakeholders who are threatening/might threaten these values in the near future.
4. Identify the stakeholders responsible for managing cultural heritage in broader terms.
5. Develop the final list of stakeholders by compiling the results of the previous steps.
6. Identify those affected by the cultural heritage management restrictions.
7. Estimate the impact of restrictions on the interests of the affected ones.

## Stakeholder analysis

An important step in the SoPHIA model is the stakeholder analysis which helps better understand local interest groups and their relevance and role related to the intervention. This analysis can help evaluate their possible impact on cultural heritage management, avoid, resolve or mitigate conflicts, identify potential partners and involve them in future work to a larger extent. This analysis always reflects the current situation; therefore, it must be periodically repeated or adapted to fit the specific purposes.

This process helps observe the relative importance of each stakeholder. The stakeholders can also be further classified according to their importance.

Stakeholders' inputs, particularly those obtained in direct interviews, represent a relevant source of evidence. This is why it is important to collect as much primary evidence as possible from a broad range of project stakeholders, such as:

- the intervention beneficiary/project manager;
- the infrastructure operator and/or service supplier;
- the contractor(s) in charge of building the infrastructure;
- the local and/or national regulatory authority (if any);
- policymakers;
- representatives/associations of users and/or citizens;
- independent experts;
- representatives of the financing institutions;
- journalists;
- other relevant actors involved or informed about the project design /implementation/effects.

To cooperate with stakeholders, it is possible to establish long-term platforms, such as local support groups, multi-stakeholder platforms, networks, and social platforms.

### **Example: Stakeholder analysis in the assessment of the intervention "Medvedgrad Visitor Center", Medvednica Nature Park near Zagreb in Croatia**

In 2021, the Medvednica Nature Park near Zagreb, Croatia, has completed a big cultural heritage intervention, the "Medvedgrad Visitor Center" that improved its visitors' infrastructure. Emphasis was placed on the careful development of tourism in the Park, i.e., on visitor management through

the development of the Visitor Management Action Plan in the Medvednica Nature Park and its medieval fortress Medvedgrad. The stakeholders' involvement has been identified as a good practice in impact assessment, as the impact assessment included a multi-stakeholder perspective, with the following stakeholders being consulted and involved in the analysis:

local authorities;  
local tourism representatives and event industry representatives;  
educational institutions;  
other main stakeholders, such as representatives from the Croatian Forests, Zagreb Roads, the Police, and the Croatian Mountain Rescue Service.

A broad range of stakeholders has also been consulted in the preparation of the project itself via so-called multi-stakeholder forums. As a result, the project development and implementation and the impact assessment took into account various perspectives and positions from the above-mentioned stakeholders.

*Source: SoPHIA Consortium. (2021). Deliverable D2.1: Report on Good Practices of Cultural Heritage Impact Assessment.*

#### Identification and involvement of key stakeholders in the main phases of the assessment

	Timing: Ex-ante	Mid-term	Ex-post
<b>Key Stakeholders</b>	<ul style="list-style-type: none"> <li>Intervention proponents</li> <li>Representatives of the financing institutions</li> <li>Polymakers</li> <li>Sponsors, owners, investors</li> <li>The intervention beneficiary/project manager</li> <li>The local and/or national regulatory authority</li> <li>ICOMOS</li> <li>Government bodies</li> </ul>	<ul style="list-style-type: none"> <li>The intervention beneficiary /project manager</li> <li>The infrastructure operator and/or service supplier</li> <li>The contractor(s) in charge of building the infrastructure</li> <li>Consultants</li> <li>Vendors</li> <li>Workers</li> </ul>	<ul style="list-style-type: none"> <li>Target Users: the public</li> <li>environmental organisations</li> <li>research institutes, universities, experts</li> <li>representatives/ associations of users and /or citizens</li> <li>independent experts</li> <li>journalists</li> <li>tourists and travel agencies</li> </ul>



Stakeholders			
	<ul style="list-style-type: none"> <li>• Surveys, questionnaires</li> <li>• open meetings, face-to-face, formal or informal stakeholder meetings</li> <li>• Interviews</li> <li>• Presentations               <ul style="list-style-type: none"> <li>- interview by telephone</li> <li>- press releases</li> <li>- web portals</li> <li>- social networks</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Teammeetings</li> <li>• advisory meetings</li> <li>• thematic focus groups</li> <li>• presentations</li> <li>• bulletin boards</li> <li>• press releases</li> <li>• annual reports or pro-gress reports</li> <li>• Email or intranet</li> <li>• web portals</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• focus groups</li> <li>• public discussions</li> <li>• public presentations</li> <li>• storytelling</li> <li>• events</li> <li>• open meetings</li> <li>• newsletters, magazines, or e-magazines</li> <li>• press releases</li> <li>• social networks</li> </ul>

Table 4. Identification and involvement of key stakeholders in the main phases of the assessment.

## Phase 2 – Implementing the Multi-Domain Assessment Framework

The innovative approach proposed by SoPHIA model starts from analysing the complexity and multidimensionality of the impacts. The holistic approach implies the implementation of assessment of 6 themes in the model: Social Capital and Governance, Identity of Place, Quality of Life, Education, Creativity and Innovation, Work and Prosperity and Protection (see Annex 1). During the assessment process, subthemes and indicators of the grid may be chosen and tailored according to the context and the type and state of the cultural heritage intervention. The interconnectedness is operationalised via cross-cutting issues, and counter-effects between these various levels of impact are considered. Thus, implementing the assessment consists of two steps: designing the framework and implementing the framework.

### Designing the framework: Selection of relevant subthemes

Implementing the SoPHIA framework starts with adapting the SoPHIA's Multi-Domain Assessment Framework to a particular intervention's needs by selecting the themes and subthemes relevant for the specific IA case. The selection begins with a brief analysis of the purpose and meaning of the intervention in question, the strategic framework, and the stakeholders' needs. The themes that are considered less relevant for the objectives of the intervention in question should nevertheless be tackled on a general level to ensure holistic assessment, and their marginal significance for the intervention should be stated in the analysis and outcome phase.

### Implementing the framework: Selection of indicators

Following the adaptation of the SoPHIA framework, the next step refers to the concrete implementation of the framework so that the actual IA analysis can be carried out based on the adjusted grid. The selection of indicators for each intervention is directly related to the choice of subthemes that are defined and chosen as relevant for the implementation of the particular assessment. SoPHIA model proposes a large number of “quantitative indicators” and a wide spectrum of topics on which “people’s perspectives” should be detected for each of its themes and subthemes. Thus, it is necessary to define those that are crucial for the intervention, depending on the intervention’s goal and the needs of stakeholders, as well as the availability of relevant data sources. Based on this, the assessors should also decide the methods to be used, e.g., desk research, surveys, interviews, focus groups, testimonials, etc.).

#### **Example of data collection process:**

##### **how to choose indicators and collect the relevant data - Filopappou Hill case study**

*Due to the multiple functions and different aspects of CH, Filopappou Hill is characterised by scattered information. Consequently, there is a lack of an overall narrative to form a holistic point of view and construct its identity as a whole. However, on each aspect regarding Filopappou Hill, defined indicators’ data are available; quantitative/archival data were retrieved from questionnaires, statistics, analysis of documents and media analysis. In addition, qualitative/subjective data were retrieved from questionnaires, interviews, the focus group/workshop, and expert evaluation.*

*Comprehensive research regarding the existing literature was conducted before proceeding with the IA tool. As a result, there are several publications regarding Filopappou Hill, mainly products of archaeological/scientific publications or municipality research programs mostly unavailable to the wider public. However, two published doc-toral theses are available as sources: research on “Archaeology and Residential Activism: Reclaiming Philopappou Hill and Plato’s Academy” (Stefanopoulou, 2019), and “The question of origin in the work of Pikionis” (Κοτλώνης).*

*In situ visits to Filopappou Hill took place at different times of the day/week. Through observation and talking to people, new uses of the hill (some connected with COVID-19) were discovered, and valuable information on the visits’ frequency surfaced. Furthermore, during these walks, valuable information was gathered about themes and subthemes such as social capital and access, sense of place and identity, visibility, protection, attractiveness.*

*Source: SoPHIA Consortium. (2021). Deliverable D2.2: Case Studies Report.*

**Quantitative indicators** are measurable indicators obtained by documentary analysis and desk research from available sources. These are data that can be collected directly from companies involved in the project or from official data, i.e., existing statistical and other databases, strategic documents, projects. It is advisable to look at the data for specific quantitative indicators for one or more years before the intervention to draw correct conclusions about the intervention's positive (or negative) impacts concerning the observed indicator. Thus, ex-post evaluation allows the comparison of ex-ante forecasts and observed impacts to assess the CH interventions' effectiveness and long-term contribution. The analysis conducted in 12 case studies during the SoPHIA project revealed that collecting the data for quantitative indicators is difficult due to unavailable data sources.

Quantitative indicators			
Sources	Timing: Ex-ante	Mid-term	Ex-post
	<ul style="list-style-type: none"> <li>All data and documents prepared before the project implementation, such as feasibility studies, EU funds application forms, financing decisions, cost-benefit analysis, environmental impact assessments, economic impact assessments, etc.</li> </ul>	<ul style="list-style-type: none"> <li>All data and documents elaborated during the operational phase, such as monitoring data, construction logs, project financial reports, mid-term evaluation reports, etc.</li> </ul>	<ul style="list-style-type: none"> <li>All data and documents elaborated after the project completion and during the operational phase, such as monitoring data, environmental impact assessments, project financial reports, mid-term and final evaluation reports, studies, beneficiaries' surveys, polls, etc.</li> <li>Other non-institutional sources such as studies of independent experts, press releases, reports from NGOs and citizens' representatives</li> </ul>

Stakeholders (provide data)	<ul style="list-style-type: none"> <li>Intervention proponents</li> <li>Sponsors, owners, investors</li> <li>The intervention beneficiary /project manager</li> <li>The local and/or national regulatory authority</li> <li>Government bodies</li> </ul>	<ul style="list-style-type: none"> <li>The intervention beneficiary /project manager</li> <li>The infrastructure operator and/or service supplier</li> <li>The contractor(s) in charge of building the infrastructure</li> <li>Workers</li> </ul>	<ul style="list-style-type: none"> <li>Sponsors, owners, investors</li> <li>Target users: research institutes, universities, experts</li> <li>Representatives /associations of users and/or citizens</li> <li>Independent experts</li> </ul>
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Table 5. Quantitative indicators

**People's perspective on the quality of intervention** aims at gathering opinions and attitudes through stakeholder surveys and other tools (such as interviews, focus groups, public hearings, public insights). Trying to get a hold of them is an opportunity to involve relevant stakeholders. In addition, it is possible to collect additional information that sheds light on participants' satisfaction, the relevant mechanisms responsible for the impact of the intervention, and general feedback to adjust and improve the intervention through surveys, interviews, focus groups, and/or case studies.

Techniques and stakeholders engaged in people's perspectives detection			
	Timing: Ex-ante	Mid-term	Ex-post
Techniques	<ul style="list-style-type: none"> <li>Interview</li> <li>Focus group</li> <li>public debate</li> <li>Initial measurements of users/potential users: self-administered survey, face-to-face survey, online survey</li> </ul>	<ul style="list-style-type: none"> <li>Survey with a wider circle: users past and future</li> <li>Interview</li> <li>focus group</li> </ul>	<ul style="list-style-type: none"> <li>Focus groups to clarify ambiguities from ex-ante and mid-term assessments</li> <li>public debate</li> <li>qualitative evidence coming from interviews and related to perceptions, opinions, and anecdotes</li> <li>user measurements: self-administered survey, face-to-face survey, online survey</li> </ul>

Stakeholders	<ul style="list-style-type: none"> <li>Decision-makers, programming bodies</li> <li>Initiators of the intervention</li> <li>The contractor(s) in charge of building the infrastructure</li> <li>The local and/or national regulatory authority (if any)</li> <li>Representatives/associations of users and citizens</li> <li>Independent experts</li> <li>Representatives of the UNESCO/ICOMOS</li> <li>Representatives of local heritage conservation administration</li> <li>Representatives of the financing institutions</li> </ul>	<ul style="list-style-type: none"> <li>The project beneficiary /project manager</li> <li>The utility and infrastructure operator and/or service supplier</li> <li>Representatives /associations of users and/or citizens</li> </ul>	<ul style="list-style-type: none"> <li>Target users</li> <li>Representatives /associations of users and/or citizens</li> <li>independent experts</li> <li>journalists</li> <li>NGOs</li> </ul>
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Table 6. Techniques and stakeholders engaged in people's perspectives detection.

Analysing collected quantitative data - indicators, their interpretation and analysis, and processing information collected through interviews, questionnaires, focus groups or some other qualitative methods are an essential step of the impacts assessment.

Depending on the specificity of the intervention being assessed, there will be available data for some themes, while it will be necessary to start the data collection process for others.

Regardless of which approach is used, it is crucial to emphasise all these dilemmas and limitations and clearly indicate the approach used in the transparent assessment in the process of applying the SoPHIA model.

### Considering cross-cutting issues/avoiding counter-effects

The SoPHIA model focuses on themes, cross-cutting issues and counter effects that highlight the main features related to the specific intervention and holistically detects cultural interventions' impacts.

The SoPHIA model recognised some cross-cutting issues, considered relevant in covering all the six themes proposed in the model. In the following table, we highlighted in orange the intersections between subthemes and themes from which cross-cutting issues emerge, according to the SoPHIA research project. The description of cross-cutting issues can be found in Annex 1.

Cross-cutting issues should be evaluated by using indicators. In this paragraph, we propose seven indicators (highlighted in red in the following table) that can be useful to assess cross-cutting aspects. They should be considered a first suggestion: during the pilot period of implementation of the SoPHIA model, we encourage the testing of further indicators.

Themes	Social Capital & Governance	Identity of Place	Quality of Life	Education, Creativity & Innovation	Work & Prosperity	Protection
Subthemes						
<b>Inclusive access</b>				<i>Example of indicators n.1</i>		
<b>Participation, engagement</b>						
<b>Social cohesion</b>						
<b>Partnership</b>						
<b>Good governance</b>						
<b>Identity &amp; Memory</b>						
<b>Visibility &amp; reputation</b>						
<b>Cultural Landscape &amp; Aesthetics</b>			<i>Example n.2</i>			
<b>Heritage-led Regeneration &amp; Adaptive Re-use</b>						
<b>Living conditions</b>						
<b>Peace &amp; safety</b>						
<b>Social life</b>	<i>Example n.3</i>					
<b>Environment</b>						
<b>Regional &amp; local development</b>						
<b>Education</b>						
<b>Awareness-raising</b>						

<b>Research</b>						
<b>Digitisation, Science &amp; Technology</b>					Example n.4	
<b>Arts &amp; creativity</b>						
<b>Employment</b>	Example n.5					
<b>Local cultural production</b>						
<b>Tourism economy</b>						
<b>Economic attractiveness</b>						
<b>Social innovation &amp; entrepreneurship</b>						
<b>Safeguarding against environmental risks</b>						
<b>Safeguarding against human-related risks</b>		Example n. 6				
<b>Green Management and Development</b>						
<b>Use of Resources</b>						

Table 7. Overview of intersections between sub-themes and themes (i.e., cross-cutting issues).

In the following table, the above-mentioned seven examples are listed and explained. For each indicator, we provide:

- a description of the issues to be assessed,
- the main components to be considered,
- the wording of the proposed indicator.

#### Example n.1 - Intersection between:

	<b>Inclusive access</b>	<b>Education, creativity &amp; innovation</b>
<b>Description</b>	Inclusive access to CH also needs to be ensured in terms of the educational offer and learning opportunities of the intervention so that the cultural content and value of CH is fully disclosed to the widest possible audience.	

<b>Main components</b>	<p>The educational dimension of inclusive access to the cultural value of CH addresses the following aspects:</p> <ul style="list-style-type: none"> <li>• Access for people with physical limitations</li> <li>• Access for people with sensorial limitations</li> <li>• Access for people with cognitive limitations <ul style="list-style-type: none"> <li>• Access for non-native speakers</li> </ul> </li> </ul>
<b>The proposed indicators (Checklist)</b>	<p>After the completion of the intervention, the CH site offers regular educational activities to promote and communicate its cultural value, specifically addressing:</p> <ul style="list-style-type: none"> <li>• people with physical limitations</li> <li>• people with sensorial limitations</li> <li>• people with cognitive limitations</li> </ul> <p>non-native speakers belonging to the main migrant groups settled in the region.</p>

Example n.2 - Intersection between:

	<b>Cultural Landscape &amp; Aesthetics</b>	<b>Quality of Life</b>
<b>Description</b>	<p>The landscape is a reality in the making, whose changes can be traced back to the dimension of collective well-being: preservation of the historical memory and identity of territories, creation of wealth through tourism and the enhancement of typical products, environmental protection, and soil conservation. Protecting the landscape is also an important factor in social aggregation, strongly linked to the quality of life.</p>	
<b>Main components</b>	<p>Subjective satisfaction of the resident citizens with the state of the cultural landscape and their recognition of improvements due to the intervention represents the main dimension of this intersection.</p>	
<b>The proposed indicators (Checklist)</b>	<ul style="list-style-type: none"> <li>a) Percentage of local residents who declare themselves satisfied with the aesthetic quality of the cultural landscape;</li> <li>b) Percentage of local residents who think that the intervention has improved the aesthetic quality of the cultural landscape.</li> </ul>	



Example n.3 - Intersection between:

	Social Life	Social Capital & Governance
<b>Description</b>	Engagement in community (virtual and in presence) activities and events tied to the CH can lead to a stronger sense of belonging, increase social cohesion, and improve the quality of life.	
<b>Main components</b>	<p>This intersection has two relevant dimensions:</p> <ul style="list-style-type: none"> <li>The first refers to the capability of the CH site, after the intervention, to encourage and promote forms of community participation and engagement continued or occasional;</li> <li>The second refers to associations or citizens providing regular voluntary support by performing various activities (e.g., fundraising, assistance to visitors, surveillance of rooms, etc.).</li> </ul>	
<b>The proposed indicators (Checklist)</b>	<ul style="list-style-type: none"> <li>Regular presence of volunteers (friends of the museum, friends of the site) performing auxiliary functions for the management.</li> <li>Local, regional, or national associations supporting the site.</li> </ul>	

Example n.4 - Intersection between:

	Digitisation, Science & Technology	Work & Prosperity
<b>Description</b>	The digitisation process of cultural heritage is increasingly important, both for management and protection and for the production of cultural content and reaching new audiences. This process generates new professional skills and is a source of good new jobs but requires adequate investment and corresponding running costs. The sustainability of this process over time is tied both to sustained investment and the regular presence of an adequately skilled workforce.	
<b>Main components</b>	The observation of this intersection's phenomena focuses on the investments and financial resources dedicated to digitisation by the administration of the cultural site, both during the intervention and afterwards. This may address conservation and protection, management, and cultural production and services.	
<b>The proposed indicators (Checklist)</b>	<ul style="list-style-type: none"> <li>a) Percentage of employees in the CH site with digital tasks in various fields (e.g., video clips, management, etc.);</li> <li>b) Percentage of investment in digital resources and activities out of the total investment of the CH intervention;</li> <li>c) Percentage of expenditure for digital workers, resources, and activities on total current expenditure.</li> </ul>	

Example n.5 - Intersection between:

	Employment	Social Capital & Governance	Identity of Place	Quality of Life
<b>Description</b>	Good working conditions and workforce diversity in the CH sites support inclusive access and social cohesion, can improve living conditions in the local area, and may motivate a positive reputation for the CH site and its exemplary function.			
<b>Main components</b>	The intervention may improve the way a CH site manages its workforce and sets standards about inclusion and diversity. This reinforces the reputation of the CH sites and their demonstration effects. Gender policies represent a good proxy of such ability.			
<b>The proposed indicators (Checklist)</b>	<ul style="list-style-type: none"> <li>a) Percentage of top positions in the CH site held by women.</li> <li>b) The gender pay gap on the site.</li> </ul>			

Example n.6 - Intersection between:

	Local cultural production	Protection
<b>Description</b>	Local craft and creative industries as part of a circular economy and the production of local, sustainable products should be encouraged, supported, and reinforced by CH sites. This increases the CH site reputation and demonstration effect.	
<b>Main components</b>	This intersection addresses two forms of protection of local cultural production: the so called Zero km products and the Circular economy products. They should be the majority of the offer in the Museum Shops and Cafeterias.	
<b>The proposed indicators (Checklist)</b>	The site includes a Museum shop/ Cafeteria selling local products, such as: <ul style="list-style-type: none"> <li>• Local craft products</li> <li>• Circular economy products</li> <li>• Zero km products.</li> </ul>	

Example n.7 - Intersection between:

	Safeguarding against human-related risk	Identity of Place
<b>Description</b>	Safeguarding against human-related risks is required to maintain the surrounding cultural landscape; in terms of adaptive re-use/heritage-led regeneration: safeguarding against human-related risks may affect the manner in which new and sustainable economic opportunities are created. This may be facilitated if the local community expresses a strong sense of belonging and pride for their CH and if the intervention contributes to increasing such belonging and pride.	
<b>Main components</b>	<p>This intersection has three main components:</p> <ul style="list-style-type: none"> <li>Any history of human hazards in the area and at the CH site, to understand the present and possible risks;</li> <li>The set of measures adopted by the authorities to prevent and minimise human-related hazards and the severity of their impacts;</li> <li>Local communities' commitment to protecting and safeguarding these places.</li> </ul>	
<b>The proposed indicators (Checklist)</b>	<ul style="list-style-type: none"> <li>a) Percentage of local residents who feel proud of the CH site and its conservation/protection project; and</li> <li>b) Percentage of local residents who feel responsible for contributing to the protection of the site.</li> </ul>	

Table 8. Examples of indicators related to cross-cutting issues.

Regarding counter-effects, in Annex 1, we highlighted the ones identified in the SoPHIA model and here summarised in the intersections between theme and sub-themes. These counter-effects should be considered in the assessment as a checklist to be used as a mandatory requirement for assuring the quality of the assessment. The assessment should be aimed to verify if the intervention tackles these counter-effects:

- To avoid or minimise them (*ex-ante evaluation*)
- To look for a remedy in case the intervention has produced any damages (*on-going* and *ex-post evaluation*)

## Phase 3 – Analysis and Outcomes -reporting on results and lessons learned

As stated in D2.3 (SoPHIA, 2021c), reporting is the last (but not the least) aspect to be considered. After collecting and triangulating findings, the assessment results are interpreted along the lines of cross-cutting issues and counter-effects. The focus on these aspects supports a holistic approach of analysis as well as the formulation of a final narrative with regards to resilience and sustainability of the cultural heritage intervention. Leading questions for the interpretation of findings are:

- What cross-cutting issues are (strongly) recognisable between the themes?
- What are the counter-effects that are recognisable?
- Based on these findings, is there an imbalance between the areas of impact (themes) recognisable?
- How does this imbalance challenge the sustainability and resilience of the intervention?

Finally, this activity also includes recommendations for the intervention in terms of its sustainability and resilience.

As described in Chapter 4, the implementation of the SoPHIA model assessment ends with the Analysis and Outcomes phase that includes conclusions and recommendations, which allow decision-makers to identify and plan further steps.

By these means, the results of the assessment are useful evidence that serves as an input for:

- potential changes in the intervention (especially in tenders, criteria of assessment address the contents of the proposal),
- potential improvement of the management, including an on-going adaptation of the interventions,
- potential refinements/changes in strategies/policies if long-term results do not ensure the desired impacts in terms of resilience and sustainability.

Reporting on results and lessons learned			
	Timing: Ex-ante	Mid-term	Ex-post
Challenges	Whether to approve the proposed intervention	What should be corrected /improved by the end of the intervention	<ul style="list-style-type: none"> <li>How to react in similar projects; in other localities?</li> <li>How to create new competitions?</li> <li>How to formulate conservation requirements?</li> </ul>
Stakehold-	<ul style="list-style-type: none"> <li>Decision-makers</li> <li>Financiers</li> </ul>	<ul style="list-style-type: none"> <li>Experts involved</li> <li>Employees</li> <li>Financiers</li> </ul>	<ul style="list-style-type: none"> <li>Potential (new) investors</li> <li>Policymakers</li> <li>Local, regional, and state administration</li> </ul>

Table 9. Reporting on results and lessons learned.

## VI. BENEFITS AND RISKS OF USING THE SoPHIA MODEL

In the previous chapter, we described the implementation of the SoPHIA model, step by step. Here we provide information about some "open questions" not addressed by the model, which must be carefully considered (thus obtaining "benefits"). Next, since SoPHIA is de-manding in terms of capacity, resources, and time, we propose a risk analysis to calibrate the activities with respect to the actual possibility of carrying them out.

These "warnings" should be considered preliminary because they're not cut on the specificities of the holistic model. After an extended application phase, they could be specified. Some key benefits can be obtained in implementing the SoPHIA model, regarding the diversity of effects of assessment, the separation between the effects of cultural intervention from other impacts, the need to adapt to local and European relevance, and the assessment of long-term effects.

### Diversity of effects

Through a holistic approach with insight into all six themes, subthemes and key indicators, the SoPHIA model ensures the appreciation of the diversity of effects. It includes methodology and key indicators designed to include both quantitative and qualitative impacts, objective effects and perception of effects, or subjective changes in the values, identity and perception of citizens, individual groups, and social groups. In this sense, in those segments of measurement in which it will not be possible to quantify the effects through quantitative indicators, the impact assessments will be based on the different stakeholders' answers and inputs.

### Separating the effects of cultural heritage intervention from other impacts

Identifying the impact of interventions on cultural heritage and separating them from a wide range of other impacts is a special challenge which is generally a characteristic of monitoring and assessing the effects of different social interventions. The usual cultural and social processes and activities will not be suspended during the preparation and implementation of the intervention.

It is crucial to define the boundaries of the project's scope in terms of processes, stakeholders, activities, and temporal and spatial coverage. A clear definition of the scope will allow identifying and implementing measurements of key effects and project results. Also, it would be advisable to collect data through various surveys from the year preceding the year in which the cultural heritage intervention impact assessment has started to develop a starting point against which the project's impact will be assessed. For some areas, assessments will be made thanks to existing databases, and these data will be able to relate to several previous years, which will provide insights into broader trends.

### Local adaptation and European relevance

A common assessment framework and key indicators will enable comparability and assessment of the fulfilment of the general and specific objectives of the cultural heritage intervention. However, for a project to be successful, it must be the result of the involvement of a wide range of local stakeholders and local consensus, which means that it also has its own specific objectives. Often cities and local communities are the bearers of activities that should benefit primarily from the project results. For this reason, it is important to ensure an adequate balance between these objectives. This balance and diversity reflected in the project activities and cultural program must be considered in shaping the assessment, both by defining monitoring and impact assessment indicators and target groups.

### Fast realisation and long-term effects

Cultural heritage interventions have different effects in different areas, but the project's impacts also differ in terms of the time it takes for the effects to become visible. In certain areas, the results of project activities are manifested during the intervention, and in other areas, the effects will be visible over a longer period. For example, the Liverpool ECoC impact assessment covered a period of ten years, after which an additional cycle of research was conducted to assess the long-term effects.

The SoPHIA model allows the assessment to be sustainable and the process to be replicated and repeated at a later stage to monitor long-term effects that will not manifest immediately after the end of the intervention project, but also bears in mind the needs of different stakeholders to see and present project results in a relatively short period. It would be advisable to assess the reliance on existing research and take into account existing data collection capacities and systems to ensure the efficiency of measurement and the integration of existing external collection and measurement systems within the project. This will ensure

the possibility of monitoring changes over a longer period, i.e., the possibility of continuous monitoring of long-term effects after the end of the intervention as well as general monitoring of developments in various areas.

### Recognising and mitigating risks

Potential risks related to the implementation of the SoPHIA model as a holistic impact assessment of the interventions in cultural heritage can be strategic (related to reputation, finance, service delivery, policy issues) or operational (related to procurement, human resources, operational, financial and information technology, asset management). For each of such identified risk, the effect should be assessed and qualified as high (large financial losses, impact on the key goal of the intervention, significant impact on the environment, etc.), medium (serious violations of rights, significant financial losses, significant disruption of services to citizens, significant impact on the environment) and low (minor violations, minimal financial losses, etc.). In addition to the effect, the risk can be assessed according to the probability it might happen: high (high probability that the risk will materialise), medium (the probable possibility that the risk will materialise) and small (a relatively small chance that the risk will materialise).

Examples of potential risks of all three time domains (ex-ante, mid-term and ex-post) as well as the roles of key stakeholders in risk management are presented in the table below:

Analysis of risk			
	Timing: Ex-ante	Mid-term	Ex-post
An example of potential risks	<ul style="list-style-type: none"> <li>The initiators of the intervention did not analyse the strategic documents and the legislative framework well</li> <li>Stakeholders are not familiar with the intervention</li> <li>No initial quantitative indicators; no data</li> </ul>	<ul style="list-style-type: none"> <li>Insufficient project management capacity</li> <li>Contractors do not meet deadlines</li> <li>Labour shortage</li> </ul>	<ul style="list-style-type: none"> <li>Due to the lack of initial data, the intervention cannot be evaluated</li> <li>Stakeholders do not cooperate</li> </ul>



Stakeholders	<ul style="list-style-type: none"> <li>• Intervention proponents</li> <li>• Representatives of the financing institutions</li> <li>• Policymakers</li> <li>• sponsors, owners, investors</li> <li>• The local and/or national regulatory authority</li> <li>• Local community</li> </ul>	<ul style="list-style-type: none"> <li>• The project beneficiary /project manager</li> <li>• The utility and infrastructure operator and/or service supplier</li> <li>• Representatives/associations of users and/or citizens</li> </ul>	<ul style="list-style-type: none"> <li>• Local community</li> <li>• Regional, national level</li> <li>• Civil society, beneficiaries</li> <li>• Media</li> <li>• The public</li> </ul>
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Table 10. Risk analysis.



## VII. SoPHIA RECOMMENDATION ON QUALITY STANDARDS FOR THE IMPACT ASSESSMENT OF CH INTERVENTION

*Europe must know how to preserve its cultural treasure of universal value so that this treasure is useful to the rest of humanity at the right moment. (Edgar Morin, la Repubblica, 24.12.2021)*

In the previous paragraphs, we described the purpose, logic, and conceptual framework of the SoPHIA Model, and we outlined its implementation phases. In this final chapter, we will try to address the issues of the *quality standard*.

ICOMOS (2020) has identified “quality principles” that should inform the whole spectrum of activities (planning, project briefs and tenders, design, implementation, monitoring and ex-post evaluation)<sup>3</sup> along the life cycle of EU-funded interventions that could impact on cultural heritage, mainly built heritage and cultural landscapes. All stakeholders, directly or indirectly engaged (ICOMOS, 2019), should comply with the recommendations of the Quality principles document.

As stated by ICOMOS, *impact assessment* can be seen as a crucial means to ensure the quality of interventions of all EU-funded projects that directly or indirectly involve cultural heritage.

“In the case of programmes with objectives other than heritage preservation, but which have a potential impact on it, there should be a thorough Heritage Impact Assessment”. (ICOMOS, 2020, p. 33).

While ICOMOS focuses on the preservation of cultural assets, SoPHIA’s project shifts the attention on the impacts on society (i.e., the spectrum of potential benefits) produced by cultural heritage interventions and their management. In fact, these activities allow the *intergenerational transmission of heritage from the past to the future, through present*.

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<sup>3</sup> See “Main Recommendations” in ICOMOS. (2020). *European quality principles for EU-funded interventions with potential impact upon cultural heritage. Recommendations & Selection Criteria, Revised Edition*, pp. 6-29.

In line with the crucial switch *from a logic of spending* (“it is important to allocate funds for culture”) *to one of impact* (“it is important to give evidence of the impacts obtained from the interventions) proposed by the European Commission, SoPHIA moves forward by presenting an innovative approach.

In this perspective, the “quality of interventions” is strictly related to the *potential value* that can be generated.

The complementarity between ICOMOS and SoPHIA’s approaches must be underlined. In both cases, the preservation and care of cultural heritage – tangible or intangible – is a priority. But, at the same time, the impact of cultural interventions in terms of *contribution for the society, in a perspective of sustainable development and increase of community resilience*, has to be explained, disseminated and, finally, supported.

In the latter perspective, how can we assess the *quality* of interventions, such as the examples analysed in the case-study report (SoPHIA, 2021b)<sup>4</sup>?

As pointed out in the deliverable D2.3 (SoPHIA, 2021c), the SoPHIA project introduces a multidimensional (holistic) assessment that considers the consequences of cultural interventions on the social, cultural, economic, and environmental dimensions of public life and societies.

The SoPHIA project offers a *framework* for assessing the quality of interventions *applicable in every context*.

The model adopts a multi-dimensional approach based on three axes (domain, people, and time) to:

- analyse all aspects (domains) of society in which a CH intervention may create an impact,
- advocate for all people engaged in the intervention and that may benefit from the intervention itself,

<sup>4</sup> See Social Platform for Holistic Heritage Impact Assessment (SoPHIA) Consortium. (2021b). *Deliverable D2.2: Case Studies Report*. Among the wide spectrum of cultural initiatives that have been analysed, we can mention as relevant examples: the strategic program of the Polo of the 900 in a big city, and the one of the Jamtli museum in a sparsely populated region; the enhancement of the Benedictine monastery in a difficult neighbourhood; the recovery of a Jewish cemetery, in a city at the heart of the conflicts of the twentieth century. The “Capital of Culture” program in a city in search of new development drivers.

- present a longitudinal perspective to measure the intervention's legacy over time.<sup>5</sup>

This holistic model for assessing the quality of interventions can be considered a "*process standard*" that can be used throughout Europe. The future implementation of the model that should be tested through an adequate number of future assessments could help detect a *standardised set of indicators* (that is, usable throughout Europe) capable of expressing a minimum requirement or a quality target.

#### RECOMMENDATION

To take change of the quality of an intervention, it is necessary:

- to consider several themes/aspects, individually and in their interrelationships
- to think about it throughout the life cycle of a program/intervention (at the beginning, during and after), through a formalized assessment
- to involve key players (promoters, managers, direct beneficiaries, audience) in making the judgment.

The SoPHIA Consortium tried to design a versatile model, to allow its adaptation to national regulatory systems and to the variety of interventions and organisations in terms of scale, resources, time, etc. At the same time, we believe that the adoption of the SoPHIA approach and its implementation through the steps of the assessment process described in this toolkit can support the delivery of the principles that the heritage community is claiming.

<sup>5</sup> Id.

## ANNEX 1: An overview of potential counter-effects identified in the SoPHIA Model

The table below highlights the counter-effects identified in the SoPHIA model, providing the intersections between theme and sub-themes. It should be used as a mandatory checklist for assuring the quality of the assessment to either avoid or minimise said counter-effects (ex-ante evaluation), or to look for a remedy if the intervention has produced any damages (on-going and ex-post evaluation).

Themes						
Subthemes	Social Capital & Governance	Identity of Place	Quality of Life	Education, Creativity & Innovation	Work & Prosperity	Protection
<b>Inclusive access</b>			<b>Quality of Life:</b> <i>Access for everybody can conflict with peace and safety ensured at cultural heritage.</i>		<b>Work &amp; Prosperity:</b> <i>Ensuring accessibility to everybody may be less profitable.</i>	<b>Protection:</b> <i>Access for everybody may conflict with the site's capacity and safeguarding cultural heritage against human related risks.</i>
<b>Partnership</b>		<b>Identity of Place:</b> <i>Values and narratives might conflict with the larger alliances.</i>				
<b>Identity &amp; Memory</b>	<b>Social Capital &amp; Governance:</b> <i>Danger of exclusion of different people &amp; communities if diverse historic and cultural meanings of intervention are not acknowledged.</i>		<b>Quality of Life:</b> <i>Exclusion of historic and cultural meanings will also undermine potential of intervention for livelihood and recreation for all. In terms of peace and security, the acknowledgment of only one/some historic and cultural meanings of intervention can provoke protest by communities whose histories, narratives, etc. are not acknowledged.</i>			

Themes	Social Capital & Governance	Identity of Place	Quality of Life	Education, Creativity & Innovation	Work & Prosperity	Protection
Subthemes						
Visibility & reputation	<b>Social Capital &amp; Governance:</b> <i>Danger of exclusive image reputation of intervention.</i>		<b>Quality of Life:</b> <i>Danger of exclusion from social life at the intervention/site if the reputation of the intervention is negative for certain groups.</i>			
Cultural Landscape & Aesthetics	<b>Social Capital &amp; Governance and Quality of Life:</b> (if negative) <i>Balance of ensuring built form and capacity of space might challenge inclusive access and quality of life the intervention offers.</i>				<b>Work &amp; Prosperity:</b> <i>Balance between sustainable planning and built form may reduce the economic attractiveness of the place due to less income generated.</i>	
Living conditions		<b>Identity of Place &amp; Protection:</b> <i>Modern amenities may not fit the identity of place or be in line with protection of cultural heritage (e.g. heating, double glassed windows, lifts).</i>			<b>Work &amp; Prosperity and Wellbeing:</b> <i>Use of housing for Airbnb and other short-term lettings can result in gentrification, with local inhabitants not being able to afford to rent or purchase housing.</i>	
Peace & safety		<b>Identity of Place and Protection:</b> <i>Security and safety measures (e.g. security cameras, presence of security personal or handrails) may not be in line with identity of place.</i>			<b>Work &amp; Prosperity:</b> <i>Over-tourism may lead to conflict with peace and safety.</i>	
Social life	<b>Social Capital &amp; Governance:</b> <i>Encouraging social life and participation may not achieve a balance among different interest groups.</i>				<b>Work &amp; Prosperity:</b> <i>Development for the tourism industry can disrupt the social life of locals.</i>	
Environment		<b>Identity of Place:</b> <i>Modern recreational facilities may not fit with the Identity of Place.</i>			<b>Work &amp; Prosperity:</b> <i>Green spaces and recreational facilities leave less space for commercial use or housing.</i>	<b>Protection:</b> <i>Built heritage may be endangered due to recreational infrastructure and activities.</i>

Themes	Social Capital & Governance	Identity of Place	Quality of Life	Education, Creativity & Innovation	Work & Prosperity	Protection
Subthemes						
<b>Awareness-raising</b>					<b>Work &amp; Prosperity:</b> Awareness raising on issues of sustainable development may conflict with the promotion of tourism economy, with regional and local development, etc.	
<b>Digitisation, Science &amp; Technology</b>	<b>Social Capital &amp; Governance:</b> Digitisation may harm access to cultural heritage if digital access is challenged through cost barrier or internet quality.	<b>Identity of Place:</b> Digitisation of intervention might change how it is (aesthetically) perceived	<b>Quality of Life:</b> Digitisation can harm social life and interaction between people and challenge access to the intervention for some groups.			
<b>Employment</b>	<b>Social Capital &amp; Governance:</b> In terms of "Participation and Engagement", volunteering as a tool for community engagement may function as replacement of regular work /decrease of public financed work; In terms of "inclusive access" women, low-income youth and minorities may be excluded by the job market.					
<b>Local cultural production</b>		<b>Identity of Place:</b> Innovation vs Tradition in the creative sector and cultural production should be carefully considered.	<b>Quality of Life:</b> The promotion of the cultural and creative industry in an area may also result in gentrification processes.			
<b>Tourism economy</b>	<b>Social Capital &amp; Governance:</b> Focus on tourism economy may conflict with access for other communities /people.	<b>Identity of Place:</b> Exploitation of an intervention as a place of commerce and consumption can conflict with the Identity of Place	<b>Quality of Life:</b> Profiling policies and programs on what tourism markets find "appealing" and "typical", instead of promoting local products and activities.			<b>Protection:</b> In terms of safe-guarding against human-related risks, the tourism economy may exert excess pressure on the environment and the society.

Themes	Social Capital & Governance	Identity of Place	Quality of Life	Education, Creativity & Innovation	Work & Prosperity	Protection
Subthemes						
<b>Economic attractiveness</b>	<b>Social Capital &amp; Governance:</b> <i>Gratuitousness may affect economic sustainability.</i>	<b>Identity of Place:</b> <i>In some cases, renovations made could lead to loss of authenticity at the expense of increasing the economic attractiveness of a place.</i>	<b>Quality of Life:</b> <i>Economic Attractiveness may lead to the reduction /suppression of unprofitable services.</i>			<b>Protection:</b> <i>Employment, real estate value, local and cultural production, and the tourism economy may all be driven by factors that are detrimental to the environment.</i>
<b>Safeguarding against environmental risks</b>	<b>Social Capital &amp; Governance:</b> <i>Inclusive access to and engagement with the intervention may be limited to avoid aggravating environmental risks.</i>				<b>Work &amp; Prosperity:</b> <i>Employment, real estate value, local and cultural production, and the tourism economy may all be driven by factors that are detrimental to the environment.</i>	
<b>Safeguarding against human-related risks</b>	<b>Social Capital &amp; Governance:</b> <i>Aspects of social capital such as inclusive access, good governance, social cohesion may be affected by efforts to safe-guard against human-related risks.</i>		<b>Quality of Life:</b> <i>Provision of facilities and fewer economic opportunities may be experienced.</i>		<b>Work &amp; Prosperity:</b> <i>Protection against human-related risks is likely to affect the economic attractiveness of a place/intervention to a variety of stakeholders.</i>	
<b>Green Management and Development</b>					<b>Work &amp; Prosperity:</b> <i>Green practices at or related to an intervention may affect employment opportunities; greener practices related to an intervention may also impact people's spending behaviour.</i>	



## ANNEX 2: The detailed overview of the SoPHIA Multi-Domain Assessment Framework

The final version of the SoPHIA Impact assessment Model has been elaborated in D2.3 (SoPHIA, 2021c) that is available online<sup>6</sup>. However, for the convenience of the Toolkit readers, the Multi-Domain Assessment Framework (Chapter 3 of D2.3), consisting of seven elements through which the impact analysis should be applied, is presented here in Annex 2 of the Toolkit.

As explained in Chapter 3 of the Toolkit, the multi-domain analytical framework for assessing cultural heritage interventions is divided into six themes that represent core areas of impact identified as essential when assessing cultural heritage interventions. These themes are further divided into a number of subthemes. The assessment themes and subthemes, together with the indicators and guiding questions for the analysis (people's perspectives emphasising the necessity to assess an intervention always from different perspectives), and cross-cutting issues and counter effects recognised by assessors, all together highlight the main features related to the specific intervention and identifies cultural interventions' impacts in a holistic manner.

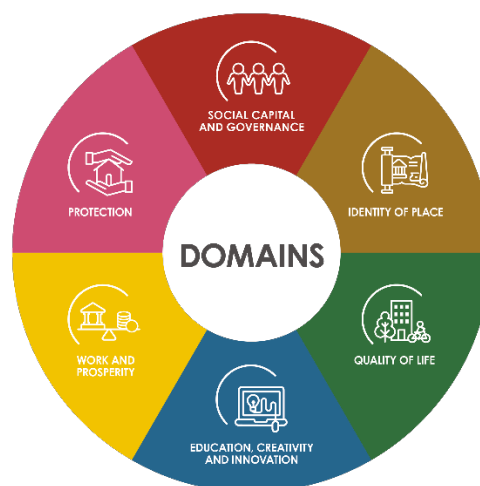


Figure 8. Themes of the SoPHIA Multi-Domain Assessment Framework.

<sup>6</sup> D2.3 is available online at <https://sophiaplatform.eu/uploads/sophiaplatform-eu/2021/11/04/aaccb1ae0b65909e6440d545882820c9.pdf>

The proposed SoPHIA Multi-Domain Assessment Framework should be adapted in the context of each heritage intervention. The users should use this as a starting example for elaborating their own framework, taking all the provided themes into account. In contrast, the other elements may be broadened or replaced with more suitable ones for the project evaluated for its impact. The following paragraphs explain each of the SoPHIA themes and subthemes, serving as an example for users in designing their particular assessment framework.

### a. SOCIAL CAPITAL & GOVERNANCE



The *Social Capital & Governance* theme is grounded in theories of social reproduction and symbolic power that emphasise structural constraints and unequal access to institutional resources based on social barriers - class, gender, and race (Bourdieu, 2018). The source of social capital stems from social, economic, and cultural structures that create power and status for certain individuals and not others. It is manifested through benefits derived from social networks, i.e., social advantages that derive from one's social network. In addition, social capital has been recognised as an important asset for local development as it relates to issues of trust. The strength of social capital is reflected in the density and quality of social links and networks in a given area that support the feeling of connectedness, trust and the existence of traditional ways of transmitting skills and traditional crafts. This provides a basis for the development of creative activities in certain historic regions (Murzyn-Kupisz & Działek, 2013). Cultural heritage sites and institutions play a role in the creation of identity and feeling of cohesion. They may function as community hubs – spaces where trust is built and social networks are created and they may help generate or enhance feelings of pride among the local community and develop intra-generational links. Thus, their ideas on how to build social capital include volunteering, creating, and participating in events and programmes at local heritage institutions; visiting historic sites (walking tours); initiating heritage-related community actions for public good; or learning about immaterial local traditions and crafts through participation in classes, workshops, and local folk festivals. Visiting museums with family/friends or participating in group events during visits can result in enhancing and initiating links between individuals. Visiting heritage institutions presents an opportunity to encounter friends, as well as other social groups, fostering interactions within the community. This perspective on institutions as an important factor of societal trust and cohesion is rooted in an understanding of social capital that goes beyond the social

capital of individuals (Putnam, 1993). Departing from the individual understanding of social capital as “capital” that people have or don’t have due to their networks, knowledge, social and cultural background it looks at the institutional level and asks what institutions can do to overcome difference in social capital that people have. It thereby highlights the importance of responsive, participatory, and transparent institutions. By these means the understanding of social capital here relates also to aspects of good governance as well as institutional and cross-sectoral cooperation and partnerships.



### ● Inclusive Access

Whether cultural heritage is able to contribute to building social capital inherently depends on how accessible cultural heritage is and who is able to access it. Only if cultural heritage is equally accessible to all members of society and if, consequently, the barriers of accessibility are reduced, may it support trust and understanding between members of society. Barriers of access to cultural heritage are manifold. They relate to financial, physical and architectural obstacles. Cultural and political barriers, languages used in cultural heritage education, dominant narratives of cultural heritage and the character of social life related to cultural heritage can be exclusive, not giving all members of society the ability to access cultural heritage. Therefore, the subtheme *Inclusive Access* overlaps via **cross-cutting issues** with other themes of the SoPHIA model such as *Education, Creativity and Innovation, Identity of Place, Quality of Life* as well as *Work and Prosperity*. The emphasis on the *inclusive* character of access to cultural heritage highlights the necessity to actively reduce barriers for marginalised societal groups, so that barriers in terms of age, gender, minority status, educational level, income, citizenship and spoken languages, as well as visible and non-visible disabilities are overcome. Therefore, the main **quantitative indicator** under this subtheme assesses the number of visitors of different characteristics whereas via the **people’s perspective** it is assessed how diverse visitors are reached and how barriers for diverse groups are reduced.

Subtheme	Inclusive Access
Description	<p><b>The aim is to assess the accessibility of cultural heritage resources to all groups of society.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Reducing the financial, physical, architectural and other barriers of access</li> <li>Efforts to provide access to societal groups with little access to intervention</li> <li>Efforts to increase access via digital means</li> </ul>

<p><b>Options for Quantitative Indicators</b></p>	<ul style="list-style-type: none"> <li>• <b>Number of Visitors</b> (before and after the intervention in 5, 10, 20 years) in terms of age, gender, educational level, income, citizenship and spoken languages, visible and non-visible disabilities, and social marginalisation</li> <li>• Cost and number of tickets available and used (per day/week/month), including tickets with subventions or discounts/free events/online events</li> <li>• Hours and days of accessibility</li> <li>• To what degree does information material reflect the languages spoken in the city/region?</li> <li>• Number of people accessing information activities in terms of age; gender; educational level; citizenship and mother tongues; visible and non-visible disabilities?</li> <li>• Number of people using digital access in terms of age; gender; educational level; citizenship and mother tongues; visible and non-visible disabilities</li> </ul>
<p><b>People's Perspective on the quality of intervention</b></p>	<ul style="list-style-type: none"> <li>• What are the experiences of different visitor groups accessing cultural heritage?</li> <li>• Who are the target groups and how are they reached?</li> <li>• What is the specific ticketing policy in terms of tickets with subventions or discounts/free events/online events?</li> <li>• How is barrier-free access/aid for people with disabilities ensured?</li> <li>• How are information activities customised to ensure access for different groups of society?</li> <li>• How and where is information &amp; outreach material about the site/practice distributed?</li> <li>• How is digital access ensured?</li> <li>• To what degree does information material reflect the languages spoken in the city/region?</li> </ul>
<p><b>Cross-Cutting Issues</b></p>	<p><b>Education, Creativity &amp; Innovation:</b> Inclusive access also needs to be ensured in terms of the educational offer and learning of opportunities of the intervention.</p> <p><b>Identity of Place,</b> i.e., inclusive access also needs to be ensured in terms of the inclusive meaning and narratives of the intervention.</p> <p><b>Quality of Life:</b> Inclusive access also needs to be ensured in terms of access to social life and recreation.</p> <p><b>Work &amp; Prosperity:</b> Inclusive access also needs to be ensured in terms of the economic potential cultural heritage offers (i.e., jobs).</p>
<p><b>Counter Effects</b></p>	<p><b>Protection:</b> Access for everybody may be in conflict with the site's capacity and safeguarding cultural heritage against human related risks.</p> <p><b>Quality of Life:</b> Access for everybody can be in conflict with peace and safety ensured at cultural heritage.</p> <p><b>Work &amp; Prosperity:</b> Ensuring accessibility to everybody may be less profitable.</p>



## ● Participation & Engagement

Accessibility is also a main precondition for ensuring cultural participation. But where access may be limited to visiting or consuming cultural heritage, the subtheme *Participation & Engagement* goes a step further. It emphasises the need to reflect on a level of participation in cultural heritage that goes beyond the mere visit and that empowers people to contribute to and accept cultural heritage as their own. In public policy and scientific debate on cultural heritage, a participatory turn (Bonet & Négrier, 2018) has been witnessed for quite some time now, focussing on encouraging civil participation in, and engagement with, the preservation and valorisation of heritage (Lähdesmäki & Mäkinen, 2019). Based on this understanding, the subtheme *Participation & Engagement* specifically assesses how participation is ensured via outreach activities, educational programme and volunteering opportunities. Thus, the core of the subtheme, as reflected in the column **people's perspective**, is to see what is done at which level to invite people to participate. Significant **quantitative indicators** here again relate to who is invited to participate and actively involved. By these means the subtheme obviously overlaps with other issues, specifically with participation in cultural heritage management as highlighted in the subtheme *Good Governance*. In terms of **cross-cutting issues** with other themes of the SoPHIA model, there is a strong and clear overlap with *Education, Creativity & Innovation* since educational activities are considered here as well as there.

Subtheme	Participation & Engagement
Description	<p><b>The aim is to assess the level of participation in cultural heritage.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Actions that go beyond the mere visit to the intervention, promoting participation in cultural heritage in terms of outreach, educational and volunteering opportunities</li> <li>• Actual participatory character of actions that aim at empowerment of participants.</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of people/groups</b> involved as participants and volunteers (before and after the intervention in 5, 10, 20 years) in terms of age, gender, educational level, income, citizenship and spoken languages, visible and non-visible disabilities, and social marginalisation.</li> <li>• Number of associations and NGOs involved at a site/practice (before and after the intervention in 5, 10, 20 years) differentiated according to sectors they work in</li> <li>• Number of occasions offered for participation in outreach, educational activities and other participatory projects</li> <li>• Time allocated for outreach, educational activities and other participatory projects</li> <li>• Time allocated for work with volunteers</li> </ul>

<p><b>People's Perspective on the quality of intervention</b></p>	<ul style="list-style-type: none"> <li>• How and at which level are people invited to participate in cultural heritage?</li> <li>• Who is invited to participate in terms of age, gender, educational level, income, citizenship and spoken languages, visible and non-visible disabilities and social marginalisation?</li> <li>• What is the motivation behind participating/volunteering?</li> <li>• What is the experience of participating/volunteering like? What is the process or methodology applied through which people participate? (i.e. a questionnaire, full-blown participatory workshop, etc.)</li> <li>• What trends of participation are recognizable during the last 5, 10, 20 years?</li> <li>• Do people feel their opinion counts?</li> <li>• How does volunteering at a specific site/practice affect visitors/participants perception of cultural heritage?</li> <li>• Do people feel the need/encouraged to participate?</li> <li>• In what ways can people participate virtually?</li> </ul>
<p><b>Cross-Cutting Issues</b></p>	<p><b>Education, Creativity &amp; Innovation:</b> Educational activities are a core activity to ensure engagement and participation; participation and engagement are also issues, in terms of research activities (citizens' science) and creativity that is promoted at the intervention.</p>



### • **Social Cohesion**

In a sequential understanding of the subthemes of *Social Capital & Governance*, one can argue that *Inclusive Access* is a first step of a cultural heritage intervention in strengthening social capital. *Participation and Engagement* goes a step further by emphasising the need to empower people and finally, *Social Cohesion* looks at the issue from a more collective perspective, highlighting the potential of cultural heritage in strengthening the understanding, solidarity and shared values between diverse societal groups and members of society. Therefore, the aim of this subtheme is to assess the potential of a cultural heritage intervention in bridging the gaps and distances between people. This understanding is grounded in a collective perspective on social capital and relevant theories of bridging divisions of class, race, religion, etc. among diverse groups of society (Putnam, 2000). In order to judge if an intervention has the potential for bridging at all, a meaningful **quantitative indicator** is to look at the demographics of participants in the intervention in terms of age, gender, educational level, income, citizenship and spoken languages, visible and non-visible disabilities and social marginalisation. The **people's perspective** complements these numbers by asking for example what the experience of visitors, participants and volunteers is in terms of knowledge and understanding of other people and other societal groups is? Similarly to other subthemes under *Social Capital & Governance*, cross-cutting issues here relate to

the question on how other bridging can also be fostered through other activities under themes such as *Education, Creativity & Innovation, Identity of Place* or *Work & Prosperity*.

Subtheme	Social Cohesion
Description	<p><b>The aim is to assess whether the gap between different societal groups and stakeholders is bridged.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Ensuring diversity and avoiding marginalisation in terms of stakeholders and societal groups reached</li> <li>Fostering exchange between different societal groups and stakeholders</li> <li>Supporting solidarity between different societal groups</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li><b>Ratio of participants of intervention</b> (before and after the intervention in 5, 10, 20 years) in terms of age, gender, educational level, income, citizenship and spoken languages, visible and non-visible disabilities, and social marginalisation.</li> <li>Ratio of different groups of society represented by partner organisations involved in the intervention (before and after the intervention in 5, 10, 20 years)</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>To what extent is the exchange between different stakeholder groups promoted?</li> <li>To what extent are shared/conflictual norms and values of CH communicated?</li> <li>How are socially excluded groups reached and motivated to visit/participate/volunteer?</li> <li>What is the experience of visitors/participants/volunteers in terms of acquaintance and perspective on other people, other societal groups?</li> <li>How does the visiting/participating/volunteering support solidarity between people?</li> <li>How does volunteering for a specific site/practice affect volunteers' relation with their/other communities?</li> <li>Percentage of people with a sense of pride in belonging to a city and region known for its cultural heritage</li> </ul>
Cross-Cutting Issues	<p><b>Education, Creativity &amp; Innovation:</b> Social cohesion fostered via educational activities.</p> <p><b>Identity of Place:</b> Social cohesion fostered via inclusive narratives and meanings communicated.</p> <p><b>Quality of Life:</b> Social cohesion fostered via social life at the intervention.</p> <p><b>Work &amp; Prosperity:</b> Social cohesion fostered via diversity of employees.</p>





## ● **Partnerships and Cultural Cooperation**

When understanding social capital as the density and quality of social links that support connectedness, trust and social cohesion in and via communities, then networks are a crucial part of ensuring exchange and communication between groups. Therefore, this subtheme specifically looks into how alliances and collaborations in the heritage and cultural sector are taking place. Here, networks in the sector are not the only relevant aspect, but also those across disciplines and policy areas need to be considered, exactly because cultural heritage can contribute to building social capital if networks between different stakeholders are established and working. As the SoPHIA case studies have shown, alliances and collaborations are relevant specifically in terms of knowledge sharing, support for advocacy and broadening one's own perspectives. A **quantitative indicator** provides insight into the number of cooperations across sectors and policy areas, whereas the **people's perspective is concerned with** the quality of the intervention, the experiences, but also the benefits these cooperations provide for the different stakeholders. The potential influence of established networks on other areas of impact is also manifold. Depending on the character of alliances and collaborations they can support the visibility and reputation of an intervention, support partnerships in services and peace and safety and through knowledge sharing and intellectual cooperation or foster the economic and ecological sustainability of an intervention. Therefore, **cross-cutting issues** with all other SoPHIA themes are obvious. A **counter effect** of larger alliances with regards to other SoPHIA subthemes may however be that values and narratives might come into conflict with larger alliances.

Subtheme	Partnership & Cultural Cooperation
Description	<p><b>The aim is to assess the quantity and quality of alliances and collaborations in the heritage and cultural sector, across disciplines and/or policy areas.</b></p> <p>Specific issues:</p> <ul style="list-style-type: none"> <li>• Intellectual cooperation and knowledge sharing</li> <li>• Advocacy through networks</li> <li>• Broadening of perspectives and interdisciplinary work</li> <li>• Local/national/international alliances and collaborations</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of collaborative initiatives within and cross sectors, policy/areas and geographical scope:</b> local/regional/national/transnational (before and after the intervention in 5, 10, 20 years)</li> <li>• Number of initiatives between public, private and third sectors</li> </ul>



<p><b>People's Perspective on the quality of intervention</b></p>	<ul style="list-style-type: none"> <li>• What are the objectives of the intervention in terms of partnerships?</li> <li>• What is the experience of stakeholders from partnerships and cooperations?</li> <li>• What are the subjects, range and benefits of networks and knowledge sharing within the sector?</li> <li>• What are the subjects, range and benefits of networks and knowledge sharing with other sectors?</li> <li>• What are the policy areas that co-operations take place in?</li> <li>• Are there also co-operations across policy areas?</li> </ul>
<p><b>Cross-Cutting Issues</b></p>	<p><b>Identity of Place:</b> In terms of “Visibility and Reputation”, partnerships and cultural cooperation may support greater outreach.</p> <p><b>Quality of Life:</b> In terms of “Peace and Safety”: partnerships with interventions/sites of similar contexts can enable shared narratives and know-how. In terms of “Living Conditions”: The effective use of resources can be ensured via partnerships in common services.</p> <p><b>Education, Creativity &amp; Innovation:</b> Partnerships can foster intellectual cooperation and know-how in the sector, result in greater ease fostering innovation based on the intervention/site, and can promote culture and cultural heritage as repositories of knowledge and innovation.</p> <p><b>Work &amp; Prosperity:</b> Intellectual cooperation and know-how in the sector and advocacy through networks can foster the economic potential of the intervention; furthermore, they may contribute to improving conditions of precarious jobs directly related to culture and cultural heritage. Finally, partnerships may also result in generation of new jobs based on creativity.</p> <p><b>Protection:</b> Intellectual cooperation and sharing of know-how in the sector can support the effective and sustainable use of resources.</p>
<p><b>Counter Effects</b></p>	<p><b>Identity of Place:</b> Values and narratives might conflict with the larger alliances.</p>



### ● **Good Governance**

The subtheme *Good Governance* takes into consideration processes of access, participation and partnerships but on the level of management and decision-making in cultural heritage. By these means this subtheme broaches the issues of transparency, responsiveness and accountability of cultural heritage planning and management while, at the same time emphasising the need of effectiveness and efficiency. The emphasis on these issues is based on the relevance of participatory governance in terms of sustainability of cultural heritage. Only by being responsive and accountable to local communities and relevant stakeholders may it be ensured that the intervention will not be negatively perceived and will not have negative effects in terms of the meaning and reputation of the intervention, the social life associated with it or social innovation and entrepreneurship processes that it may foster. The **cross-cutting issues** of this subtheme

with other SoPHIA themes are therefore manifold, particularly in relation to the *Protection* theme. Only by including and informing local stakeholders and the public, can ways be found to safeguard cultural heritage from human related risk, from environmental risk and ensure that the usage of resources and green management is sustainable due to the participation of stakeholders here. The number of people who are involved in decision-making process, as well as the number of documents and resources made public, function as **quantitative indicators** to inform about the level of transparency and participation in decision-making. Furthermore, the **people's perspective** on the issue highlights the necessity to reflect on the experience of the public and stakeholders with decision-making or representation.

Subtheme	Good Governance
Description	<p><b>The aim is to assess good governance and participation processes in the intervention.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• The participation of stakeholders in decision making</li> <li>• Transparency and responsiveness of cultural heritage planning and management</li> <li>• Accountability</li> <li>• Collaboration</li> <li>• Consciousness orientation</li> <li>• Responsiveness</li> <li>• Effectiveness</li> <li>• Efficiency</li> <li>• Rule of law</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of people/groups directly involved in decision-making concerning the intervention</b> (before and after the intervention in 5, 10, 20 years) in terms of age, gender, educational level, income, citizenship and spoken languages, visible and non-visible disabilities, and social marginalisation</li> <li>• <b>Number of documents/resources made available to the public</b> (for public consultation, before and after the intervention in 5, 10, 20 years)</li> <li>• Time allocated to participatory decision-making processes</li> <li>• Degree of stakeholder satisfaction with the chosen governance model</li> <li>• Number of public consultation processes, public meetings, and open calls</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What are the objectives of the intervention in terms of partnerships?</li> <li>• What is the structure of governance and decision-making in planning and managing the intervention?</li> <li>• Who is participating at which level of decision-making in planning and managing the intervention?</li> <li>• What is the experience of stakeholders in decision-making and public consultation processes?</li> <li>• Do people feel included and represented in decision-making processes?</li> <li>• Do people feel consultation processes are transparent?</li> </ul>

	<ul style="list-style-type: none"> <li>• How are the decisions in management and planning of the intervention responsive to the results of public consultation processes?</li> <li>• Are there feedback/monitoring/evaluation processes in place for planning and managing the intervention?</li> <li>• Are the international policies considered in decision-making processes?</li> </ul>
<b>Cross-Cutting Issues</b>	<p><b>Identity of Place:</b> Transparency and responsiveness in governing, as well as participation in decision-making will also support the identification with the intervention.</p> <p><b>Quality of Life:</b> Good governance has a potential positive effect on the quality of life, by potentially improving services offered.</p> <p><b>Work &amp; Prosperity:</b> Good governance in cultural heritage interventions will also support working conditions, working relations or potentially have also a spill over effect on social innovation and entrepreneurship, due to the transparency of and participation in processes.</p> <p><b>Protection:</b> Green management can be supported by responsiveness and transparency in governance.</p>

## b. IDENTITY OF PLACE



As a theme of the SoPHIA model, *Identity of Place* emphasises the importance of cultural heritage in defining and constructing identity and belonging. In a cultural anthropological tradition, it refers to the role of cultural heritage in the construction of imagined communities (Anderson, 2006) and as part of invented national traditions (Hobsbawm & Ranger, 2012). Emphasising this invented and constructed nature of cultural heritage and based on the well-known quote from Lowenthal, cultural heritage is hereby understood as what people make of history in order to feel better (Clout, 2018). From this perspective, the narratives built around cultural heritage are central in order to understand which aspects of cultural heritage are emphasised, and by whom, and which aspects are potentially overseen. While cultural heritage relates to identity, memory as well as sense of place, the theme highlights the need for being cognisant of conflicting interpretations of history and the effects of interventions on the identity and memory of diverse communities.

However, the contribution that cultural heritage can provide to identity-building of different communities does not only derive from the interpretation of historic narratives. It also derives from an understanding of cultural landscape and aesthetics as a central factor of identity. That can vary from feeling pride in one's association with their tangible or natural heritage or closely identifying with built form in the local, regional or even

national context. By these means identity of place is a concept closely related to the environment of cultural heritage and the relationship that people and communities have to this environment. This relationship obviously also depends on the reputation a place has. For instance, in the urban context cultural heritage can be an important touristic site, however by the inhabitants of the city the place is perceived only as a tourist site that does not have any relevance to them. It may furthermore have a reputation that may be of more interest to some communities but not others. Therefore, identity of place is largely about the discourses surrounding cultural heritage. Discourses in terms of historic narratives, but also in terms of contemporary discourses that define the reputation of a place.



### ● Identity & Memory

The subtheme *Identity & Memory* acknowledges the relevance of cultural heritage in identity building while emphasising the necessity to recognise and appreciate multiple perspectives from contemporary, potentially historic, symbolic and cultural meanings that cultural heritage can have for different people and communities. It hereby builds on the understanding that narratives of the same heritage may be dissonant and conflicting. In order to assess the impact of narratives and meanings of cultural heritage this diversity has to be acknowledged while, at the same time, specific attention needs to be paid to “authorised heritage discourses” (Smith, 2016) that are dominant adverse other marginalised discourses. In order to assess whether an intervention acknowledges and appreciates different meanings of heritage the SoPHIA model therefore emphasises the necessity to not only safeguard the historic value of the intervention but consider and acknowledge the diverse meanings and memory discourses related to the cultural heritage in cultural heritage management. Such acknowledgement may also support access of a diverse public to intervention and be a prerequisite to engagement and participation as well as social cohesion. Furthermore, the subtheme is **cross-cutting** towards the *Education, Creativity & Innovation* theme, since representation of different meanings must also be ensured via educational activities offered. **Quantitative indicators** such as the number and form of actions taken to safeguard diverse meanings have to be complemented by taking into account **people’s perspective that assesses** if and how people identify with the cultural heritage and what shared, dissonant or conflicting narratives are communicated.

Subtheme	Identity & Memory
Description	<p><b>The aim is to assess the acknowledgement and appreciation of different contemporary, potentially historic, symbolic and cultural meanings.</b></p> <p>Specific issues:</p> <ul style="list-style-type: none"> <li>• Safeguarding the various historic value of the intervention</li> <li>• Considering the diverse meanings/symbolic/memory values of intervention for different communities</li> <li>• (memory) discourses about the intervention</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number and form of actions taken to safeguard the diverse historic, cultural meaning and activities of remembrance</b></li> <li>• Number of activities to reflect the intervention's identity</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What is the historic value of the intervention, i.e. to which historic events does the intervention relate?</li> <li>• What symbolic value does this site have for different communities and in collective/local/regional/national identities?</li> <li>• What are main elements of policy-discourses about the intervention and how are dominant/official/policy discourses about the intervention challenged?</li> <li>• How are shared; dissonant; conflicting narratives about these historic values/events acknowledged and communicated on-site and off-site</li> </ul>
Cross-Cutting Issues	<p><b>Social Capital &amp; Governance:</b> Acknowledgement of different historic and cultural meanings will support access of diverse public to intervention and be a prerequisite to engagement and participation as well as social cohesion.</p> <p><b>Education, Creativity &amp; Innovation:</b> representation of different historic and cultural meanings must also be ensured in educational activities offered.</p>
Counter Effects	<p><b>Social Capital &amp; Governance:</b> Danger of exclusion of different people &amp; communities if diverse historic and cultural meanings of intervention are not acknowledged.</p> <p><b>Quality of Life:</b> Exclusion of historic and cultural meanings will also undermine potential of intervention for livelihood and recreation for all. In terms of peace and security, the acknowledgment of only one/some historic and cultural meanings of intervention can provoke protest by communities whose histories, narratives, etc. are not acknowledged.</p>



### ● **Visibility & Reputation**

The subtheme *Visibility & Reputation* does not look at meanings and memories about the past but rather takes into consideration the contemporary understanding of the intervention. Therefore, the aim of this subtheme is to assess how the image of the intervention is balanced against contemporary urban discourses. Urban communities are very diverse. In order for various communities to profit from, and participate in a cultural

heritage intervention, it is necessary for the intervention to have a good reputation and transparency regarding its management practices. The subtheme is thereby strongly linked to issues of *Social Capital & Governance* and *Quality of Life*, but also has clear **cross-cutting issues** with the theme *Work and Prosperity*, since economic profitability will also depend on the reputation and visibility of the intervention. Specific issues the subtheme looks at are communication activities implemented through the intervention, contemporary interpretations and discourses about the intervention as well as the public picture of the intervention. By these means, **people's perspective** is a main indicator of assessment under this subtheme, relating also to the image, media discourses and public discussions of the intervention. The number of positive, critical and negative reflections in the media can hereby also serve as a meaningful **quantitative indicator**. If the assessment of the case shows that the image of the intervention is not balanced this might lead to a negative image and reputation of the intervention, having a **counter effect** on *Social Capital & Governance* and *Quality of Life* offered.

Subtheme	Visibility & Reputation
Description	<p><b>The aim is to assess whether the image of intervention is balanced against diverse contemporary discourses.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Communication activities of the site</li> <li>• Contemporary understandings and discourses regarding the intervention</li> <li>• Communication and representation of intervention in public and media.</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of positive/critical/negative reactions/reflections</b> in the public, (social) media and (academic or/and specialised) publications about the intervention (before and after the intervention in 5, 10, 20 years)</li> <li>• Degree of diversity in the representation (representatives) of the site</li> <li>• Number of publicly recognized-prized / quality marks</li> <li>• Number of local people visiting the site</li> <li>• Number of locals that feel pride to belong to the area</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What image does the intervention have with different stakeholders /communities and what do main discussions about the intervention relate to?</li> <li>• What image does the intervention attempt to communicate to the public? How is this done?</li> <li>• How is the intervention represented and discussed in the media? (traditional and social)</li> <li>• What do main public discussions about the intervention relate to?</li> </ul>
Cross-Cutting Issues	<p><b>Social Capital &amp; Governance:</b> Visibility and Reputation is in close connection to ensuring an inclusive image and thereby, inclusive access to the intervention.</p> <p><b>Work &amp; Prosperity:</b> Ensuring tourism through attractiveness and visibility of the intervention.</p> <p><b>Education, Creativity &amp; Innovation:</b> The intervention's visibility in scientific journals would potentially have an impact on scientific studies and academic research.</p>

Counter  
Effects

**Social Capital & Governance:** Danger of exclusive image/reputation of intervention.  
**Quality of Life:** Danger of exclusion from social life at the intervention/site if the reputation of the intervention is negative for certain groups.



● **Cultural Landscape & Aesthetics**

This subtheme broaches the issue of how images and narratives around a place are created and thereby concerns itself with the intervention's spatial design. This is based on the consideration that cultural heritage is inherently linked with its surroundings and landscape. This is true both for intangible and built heritage in the urban context. The preamble of the European Landscape Convention from the Council of Europe highlights the holistic character and relevance of landscape for cultural heritage interventions, emphasising the contribution of landscape in the formation of local cultures. Similarly, the Bucharest Declaration recognised the interdependence of cultural heritage and built form and space in the urban context. How cultural heritage contributes to local identity formation is therefore also linked with its surrounding landscape and urban design. Going beyond these considerations, the subtheme looks at the issue of identity through the lens of the space created and offered. It aims to assess the relationship between the constructed landscape and local cultural identity. A specific issue to be considered is spatial planning and how its planning and management reflects, contributes to, and develops the identity of the place. Due to the importance of aesthetic values characterising the identity of as well as the identification with a place, balancing the aesthetic value vis-à-vis the socio-economic needs of the communities is also an issue for consideration. Although **quantitative indicators** such as the existence of spatial planning documents, the number of people involved and consulted during such processes can be valuable in judging the relationship between the created space and local cultural identity, the people's perspective are particularly meaningful here. Therefore, the subtheme has many **cross-cutting issues** since the question of creation and offer of space is consequently connected to the question of how the space is used in social, economic, or ecological terms.

Subtheme	Cultural Landscape & Aesthetics
Description	<p><b>The aim is to assess the relationship between the space designed/offered and local cultural identity.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Characteristics of urban design/planning/ development and its influence on the identity of place.</li> <li>• Participation in urban planning/development</li> <li>• Balancing aesthetic value and socio-economic needs of the local community.</li> </ul>



Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Existence of professional spatial planning documents</b> relating to the intervention (if relevant)</li> <li>• <b>Number of people/associations/stakeholders</b> involved and consulted during spatial planning processes</li> <li>• <b>Number of activities related to safeguarding</b> the aesthetic value, built form and cultural landscape</li> <li>• Number of measures taken to educate about the cultural landscape</li> <li>• Registration of heritage in national /international registers as a cultural landscape</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What is the main characteristic of the space/landscape?</li> <li>• What is the space offered by the intervention used for by locals?</li> <li>• What relevance does the intervention have in terms of spatial planning?</li> <li>• What is the aesthetic value of the intervention for locals/visitors/participants?</li> <li>• What is the relationship between the intervention and social, cultural and environmental activities carried out by the community and other people/groups/communities?</li> <li>• Is the visual attractiveness of an intervention an element of pride for people?</li> <li>• How do people relate with the aesthetic and spatial value of the intervention?</li> <li>• What is the connection of the cultural heritage intervention with the surrounding landscape?</li> <li>• How is the understanding and appreciation of the CH approached/encouraged through educational activities?</li> <li>• What is the aesthetic value and uniqueness of CH?</li> <li>• What form does safeguarding the aesthetic value of the CH take?</li> </ul>
Cross-Cutting Issues	<p><b>Quality of Life:</b> Impact on livelihood of locals, for instance in terms of recreation, events, cultural content, etc.</p> <p><b>Work &amp; Prosperity:</b> Balancing the elements of the cultural landscape also supports a balance between different users in terms of planning and usage of space.</p> <p><b>Protection:</b> Safeguarding built form related to the protection of built heritage and safeguarding against human and environmental risks; sustainable planning and usage of space considers also ecological aspects and green space and usage of resources.</p>
Counter Effects	<p><b>Social Capital &amp; Governance</b> and <b>Quality of Life:</b> (if negative) Balance of ensuring built form and capacity of space might challenge inclusive access and quality of life the intervention offers.</p> <p><b>Work &amp; Prosperity:</b> Balance between sustainable planning and built form may reduce the economic attractiveness of the place due to less income generated.</p>



## ● Heritage-led Regeneration & Adaptive Re-use

This subtheme on *Heritage-led Regeneration & Adaptive Re-use* looks at the relationship of cultural heritage and identity to the perspective of the usage of space. Many urban



places and spaces are characterised by a specific historic value that is re-interpreted in a new form today and thereby changes and co-shapes the cultural heritage as well as identification with it. The consideration of the future needs of the local community in adaptive design is important to sustainable development. Therefore, the aim of the subtheme is to assess contemporary usage of cultural heritage and whether the revitalisation and creation of new social, cultural, or economic activities are in accordance with the needs of local communities. Relevant **quantitative indicators** therefore relate to the number of reappropriated buildings and building extensions as well as area regeneration projects of adaptive re-use differentiated according to the usage of space like social housing, start-ups, etc. related to the intervention. Furthermore, **people's perspective** relates to the experiences and responses of people and stakeholders to the transformation of heritage and its integration in their lives as well as their participation and engagement in heritage-led regeneration projects. **Cross-cutting issues** links the subtheme with the *Social Capital & Governance* theme along with the question of how revitalisation and creation of new activities may support inclusive access, social inclusion, participation, and engagement.

Subtheme	Cultural Landscape & Aesthetics
Description	<p><b>The aim is to assess the contemporary usage of cultural heritage and whether the revitalisation and creation of new social, cultural or economic activities is in accordance with the needs of local communities.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Participation and community engagement in heritage-led regeneration</li> <li>• Ecological sustainability of re-generation</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of building</b> and assemblies recycled/projects of adaptive re-use according to usage of space like social housing, start-ups, etc. related to the intervention</li> <li>• <b>Amount of funds allocated to ensure sustainable adaptive re-use of buildings and assemblies</b> (re-fittings, alternate and renewable energy resources) related to the intervention</li> <li>• Number of preventive actions</li> <li>• Number of renovated public space areas</li> <li>• Number of jobs created</li> <li>• Total/sum percentage of investments <i>per year</i> on adaptive re-use</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What is people's response to the transformation of built heritage and its integration in their lives under a new use?</li> <li>• What is the purpose of re-use? Whose needs are being fulfilled through adaptive re-use?</li> <li>• How are communities/non-institutional and institutional groups engaged in heritage-led regeneration projects?</li> </ul>

	<ul style="list-style-type: none"> <li>• How inclusive is the planning and decision-making process of heritage-led regeneration?</li> <li>• What are the types of (public/private) sources of funding for adaptive re-use?</li> <li>• Is the site used for daily rituals, social engagements, festivals?</li> </ul>
Cross-Cutting Issues	<p><b>Social Capital &amp; Governance:</b> Revitalisation and creation of new activities with the needs of the local community may support inclusive access, social inclusion, participation and engagement, etc.</p> <p><b>Work &amp; Prosperity:</b> Heritage-led regeneration may support social innovation and entrepreneurship.</p> <p><b>Protection:</b> Revitalisation is in close connection to a sustainable usage of resources and green management at the intervention.</p> <p><b>Identity of Place:</b> Re-use of tangible heritage spaces may reflect positively on the reputation and image of the area</p>

### c. QUALITY OF LIFE



Cultural heritage plays an important role in the quality of life of groups as well as individuals living in the urban environment. On a basic level an intervention can improve quality of life by providing employment either directly or indirectly. More significantly, heritage can provide opportunities for social connections. It gives meaning to the natural and built environment, providing connections to our past and our ancestors. High quality interventions in heritage are recognised as contributing positively to local communities' quality of life through improved attractiveness of the area, improved connections between people and the built environment, as well as an increased sense of belonging. Cultural heritage can also support collective cultural memory and assist in dealing with conflict.

Conversely, cultural heritage interventions that over-emphasise the short-term economic benefits derived from tourism can severely impact the quality of life of the local resident through a lack of consideration of local service provision in the planning phase. Other negative impacts can include increased noise pollution, traffic, and high demand for parking. Additionally, gentrification is another risk which can disintegrate communities, or exclude local residents from connecting with their own heritage. This then negatively impacts the sustainability of the community. Due to the potential for immediate as well as long term positive and negative impacts of cultural heritage interventions described above, the measuring and monitoring of these impacts on quality of life is deemed crucial.

Sustainability of cities and communities is at the forefront of EU and international policy. The sustainability and improvement of the quality of life of people living in urban communities is emphasised as a key objective in EU policy (Council of the European Union, 2019). The Faro Convention of the Council of Europe focuses mainly on the value of heritage and the right of people to participate in heritage offers (Council of Europe, 2002). Article 8 specifically refers to the Environment, Heritage and Quality of Life (p4.). Goal 11 of UNESCO's Sustainable Development Goals aims to make cities and human settlements inclusive, safe, resilient and sustainable and thereby sketches issues that need to be considered when analysing the *Quality of Life* (UNESCO, 2018). Against this background, these issues include access to safe and affordable housing, investment in public transport, creating green public spaces, and improving urban planning and management in a transparent, participatory and inclusive manner.

COVID-19 and associated lockdowns have heightened our awareness of our local surroundings, including built as well as intangible heritage. This presents a challenge to the classical dichotomy between tourists and locals as well as an opportunity to reframe the values that inform future interventions.



### ● Living Conditions

Cultural interventions form an essential part of the environment surrounding them and have the potential to positively impact people's lives (Council of the European Union, 2014). Management of and activity surrounding the intervention may result in economic and social effects, including changing people's income levels, the availability of, and access to services such as transport, waste collection, and shops, as well as recreational facilities including parks and public spaces. The people's perspective is essential to understand the social impacts and looks for data that reflects their impressions regarding their well-being in relation to the intervention, both short term and long term, while an important **quantitative indicator** is the cost of living before, during and/or after the intervention, which will give an overview of its economic impact on the surrounding community. *Work & Prosperity* and *Social Capital & Governance* are therefore **cross-cutting issues**, as healthy economic activities related to the intervention may lead to enhanced living conditions and social cohesion. Having a similar effect on a community could be an improved offer of educational activities, thereby making **Education, Creativity & Innovation** another cross-cutting issue. Although increased tourism activity would generate economic activity, it would also need to be monitored, to ensure over-tourism or gentrification do not take place, and strategies to curtail the negative side effects of the intervention would also be needed. Changes in social and living

conditions would also impact the *Identity of Place*, which coupled with *Work & Prosperity* and *Protection* become counter effects for this subtheme.

Subtheme	Living Conditions
Description	<p><b>The aim is to assess whether the cultural heritage intervention contributes positively to-wards living conditions for the people living, working, or staying in the surrounding neighbourhoods.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Availability, affordability and quality of housing</li> <li>• Adequate living income</li> <li>• Access to, and quality of education and healthcare</li> <li>• Access to, and quality of services (e.g. transport, shops, WIFI/Internet access, waste collection)</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of people living, working and socialising in the area</b> (in order to measure change/development/variation) before and after the intervention in 5, 10, 20 years) in terms of age, gender educational level, in-come, citizenship and spoken languages, and disabilities for workers (by occupation), residents and local, national and international visitors.</li> <li>• <b>Cost of living</b> (before and after the intervention in 5, 10, 20 years) including average cost of rent in area, plus cost of services such as waste collection, transport, heating, electricity compared to average income levels.</li> <li>• <b>Availability of services (public and green transport, waste collection, internet access, infrastructure)</b> (before and after the intervention in 5, 10, 20 years).</li> <li>• Economic trends (increase/decrease/stable) impacted by intervention</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What are the objectives of the intervention in terms of living conditions for residents and people working in the area?</li> <li>• How is a balance between the needs of residents, workers and tourists achieved and maintained?</li> <li>• How do people view the quality of services in the area? How does the intervention impact this?</li> <li>• How do people view the quality of their built and natural environment? How does the intervention impact this?</li> <li>• Do people see the site/ practice for its economic potential?</li> <li>• How does the intervention integrate economic, ecological, physical and social development to improve the quality of life/well-being of people?</li> </ul>
Cross-Cutting Issues	<p><b>Identity of Place:</b> Living conditions are also affected by the image of the cultural heritage and thereby matter to workers and residents.</p> <p><b>Work &amp; Prosperity and Social Capital &amp; Governance:</b> Healthy economic activities can foster connections between workforce and residents and enhance living conditions.</p> <p><b>Education, Creativity &amp; Innovation:</b> Good access to education enhances living conditions.</p>

**Identity of Place** and **Protection**: Modern amenities may not fit the identity of place or be in line with protection of cultural heritage (e.g. heating, double glassed windows, lifts).

**Quality of Life**: Over-tourism especially may have negative impacts on living conditions and well-being for residents (e.g. noise level, pollution, traffic congestion).

**Work & Prosperity** and **Identity of Place**: Use of housing for Airbnb and other short-term lettings can result in gentrification, with local inhabitants not being able to afford to rent or purchase housing.



### ● Peace and Safety

Cultural heritage interventions are intertwined in the social life of the local community and all those who engage with it, and have the potential to impact their peace and security. Culture's potential to play an important role in peacebuilding (Crossick & Kaszynska, 2016) is recognised by UNESCO (UNESCO, n.d.) due to its strong connection with people's identity, which can be achieved through inter- and cross-cultural exchange and programming. The *Peace & Safety* subtheme analyses how and whether the intervention plays this role for the surrounding community. It explores issues related to the availability and possibility for communities to engage in cross cultural programming, which is crucial in building tolerance and understanding within society. The **quantitative indicator** on the number of on-/off-site activities on cross-cultural dialogue and conflict prevention explores this issue. Also recognised as an important factor contributing to peace and safety is a sense of ownership of the intervention within the community, which can be achieved through opening up participation in its overall management. The **people's perspective** explores their views on how the intervention has impacted their sense of security, and whether it contributes to peacebuilding in any manner. *Education, Creativity & Innovation* can play a role in promoting peace and safety, therefore it is a **cross-cutting issue** under this subtheme. Increased social cohesion can result in a decline in tension and possibilities for conflict, thereby contributing positively to peace and safety, as well as the *Identity of Place*.

Subtheme	Peace and Safety
Description	<p><b>The aim is to whether the intervention promotes and ensures peace building, personal safety, and security of community.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Availability and equal access to cross cultural programmes</li> <li>• Number of activities to engage local residents in the safeguarding of the intervention</li> <li>• Safety concerns of residents, visitors, and staff</li> </ul>

Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of security incidents reported per annum</b> (before and after the intervention in 5, 10, 20 years), including classification and impact measurement</li> <li>• <b>Number of on-site/off-site activities on cross-cultural dialogue and conflict prevention and resolution and total funds allocated to these activities</b> (before and after the intervention in 5, 10, 20 years)</li> <li>• Total amount of funds allocated for training of staff on conflict sensitivity and the role of heritage in conflict resolution</li> <li>• Number of interventions to engage local communities in management and safeguarding of site/practice</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What are the safety and security concerns of the local community?</li> <li>• Does the intervention play an active role in a current conflict?</li> <li>• What are the safety and security issues being faced by the intervention and how are they dealt with?</li> <li>• In what ways has the intervention played an active role in peacebuilding?</li> <li>• Does the intervention contribute to people's sense of security?</li> <li>• Will the intervention have a negative impact on the sense of security provided by the community solidarity if gentrification occurs?</li> </ul>
Cross-Cutting Issues	<p><b>Education, Creativity &amp; Innovation:</b> Education can help to promote peace and safety.</p> <p><b>Social Capital &amp; Governance:</b> Encouraging social cohesion between different stakeholders should result in a decrease in tension, and thus in enhanced peace and safety.</p> <p><b>Identity of Place:</b> An atmosphere of peace, safety, and security impacts positively on the identity of place.</p>
Counter Effects	<p><b>Identity of Place and Protection:</b> Security and safety measures (e.g. security cameras, presence of security personal or handrails) may not be in line with identity of place.</p> <p><b>Work &amp; Prosperity:</b> Over-tourism may lead to conflict with peace and safety.</p>



## ● Social Life

The role of communities and their engagement with cultural heritage interventions is highlighted as a key factor in measuring its success. Culture's role as a driver of enhanced quality of life is recognised by key policymakers such as the EU (Commission, Council of Europe, European Court of Auditors, EU funded programmes, ECOCs, EYCH), the United Nations, UNESCO, and ICOMOS, ICOM, Europa Nostra, OECD, ICLEI. The *Social Life* subtheme broaches this important impact and examines whether the participation of community groups and civic engagement is encouraged through the intervention under assessment. It addresses key factors required for social interactions over a range of time periods, such as actions taken through planned outreach activities, and availability of

spaces for civic engagement opportunities, ranging from parks and cinemas to facilities for sports and educational activities. The **people's perspective** is crucial to determine views on the quality of social interactions with or related to the intervention under assessment. These social interactions facilitated through the intervention, if implemented effectively, will encourage social cohesion and lead to a stronger sense of belonging and ownership, while also contributing positively to the character of the intervention, thus *Social Capital & Governance* and *Identity of Place* emerge as **cross-cutting issues** in this subtheme. *Work & Prosperity* can act as a counter effect here, as facilitating the tourism industry may impact the social life of locals in a negative manner and cause an imbalance between serving tourists and serving the local communities.

Subtheme	Social Life
Description	<p><b>The aim is to assess whether participation of community groups and civic engagement is encouraged.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Availability, of public space for community group activity</li> <li>• Number of outreach activities through intervention aimed local community groups, and local residents</li> <li>• Level of engagement in heritage by locals compared to local demographic breakdown</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of public spaces and social interactions</b> classified by type, for instance cinema, parks, places for education, sport and recreation (before and after the intervention in 5, 10, 20 years)</li> <li>• <b>Number of active community groups and number of activities and outreach events</b> (before and after the intervention in 5, 10, 20 years)</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What are people's perceptions of the quantity and quality of social activities /interactions related to the intervention?</li> <li>• Do people feel the area is welcoming and encourages social interaction?</li> <li>• What role does the intervention play in the social life of the surrounding community?</li> </ul>
Cross-Cutting Issues	<p><b>Education, Creativity &amp; Innovation:</b> Education and engagement through community groups may improve the quality of life incl. mental health and well-being.</p> <p><b>Social Capital &amp; Governance</b> and <b>Identity of Place:</b> Engagement in community activities and events (online and offline) can lead to a stronger sense of belonging and more social cohesion which improves quality of life.</p>
Counter Effects	<p><b>Social Capital &amp; Governance:</b> Encouraging social life and participation may not achieve a balance among different interest groups.</p> <p><b>Work &amp; Prosperity:</b> Development for the tourism industry can disrupt the social life of locals.</p>





## ● Environment

In an effort to maintain the balance between reaping the economic benefits of culture while also sustaining the quality of life of the surroundings, it is essential to analyse the relationship of a cultural heritage intervention to the surrounding environment. The *Environment* subtheme is formulated to address this, and through its quantitative indicators, it explores how the intervention serves its surroundings by providing outdoor and green spaces for recreation, while also maintaining the integrity of the intervention. The issues explored through the indicators include assessing the availability of outdoor and leisure opportunities, as well as efforts to protect and/or restore the green spaces and fauna surrounding the intervention, if any. The people's perspective seeks to evaluate views on the quality and quantity of recreational activities. The presence of green spaces may provide access to the intervention while also serving to foster exchange between people, therefore *Social Capital & Governance* become a cross-cutting issue for this subtheme. Additionally, they also contribute to the *Identity of Place*, and can lead to potential *Work & Prosperity*. However, creation of new recreational opportunities may not be in line with the existing *Identity of Place*, forming a counter effect within the *Environment* subtheme. Built heritage may also require protection against infrastructural development for such opportunities.

Subtheme	Environment
Description	<p><b>The aim is to assess whether the intervention provides recreational opportunities while also maintaining the integrity of the intervention/heritage.</b></p> <p>Specific issues:</p> <ul style="list-style-type: none"> <li>• Availability, of environmentally integrated outdoor seating, opportunities for leisure, etc.</li> <li>• Protection/restoration of green spaces and fauna in the area</li> <li>• Active contribution of the intervention to recreational opportunities</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number and size of green spaces, public parks with public sports and recreational facilities</b> (before and after the intervention in 5, 10, 20 years).</li> <li>• Number of people engaging in recreational activities connected to the intervention</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What kind of actions are taken to protect green spaces and fauna in the area and to educate people about it?</li> <li>• How are people involved in the protection/restoration of green spaces and fauna in the area?</li> <li>• What are people's perceptions of the quantity and quality recreational activities in the area?</li> </ul>



<p>Cross-Cutting Issues</p>	<p><b>Social Capital &amp; Governance</b> and <b>Identity of Place:</b> Green spaces and recreational facilities may contribute to the visibility and reputation of the place and can facilitate access to the intervention and foster exchange between different social groups.</p> <p><b>Work &amp; Prosperity:</b> Green spaces and recreational facilities offer work opportunities.</p> <p><b>Protection:</b> There is a close link between ensuring that the intervention does not negatively impact the built and natural environment while at the same time safe-guarding it against human-related risks.</p>
<p>Counter Effects</p>	<p><b>Identity of Place:</b> Modern recreational facilities may not fit with the Identity of Place.</p> <p><b>Work &amp; Prosperity:</b> Green spaces and recreational facilities leave less space for commercial use or housing.</p> <p><b>Protection:</b> Built heritage may be endangered due to recreational infrastructure and activities.</p>



### ● Regional & Local Development

The instrumental function of culture in enriching societies through development is evident through its inclusion in the Sustainable Development Goals. Studies from policymakers have determined many obstacles in realising this potential, however, and highlight the need for interventions to be planned, implemented and managed in a manner that encourage regional and local development, while also promoting inclusivity, and discouraging gentrification and social segregation (OECD, 2018). The *Regional & Local Development* subtheme explores the role of the intervention in the regional and local development of its surroundings. Reducing inequalities through territorial imbalances and gentrification, enabling urban regeneration, and contributing to the improvement of urban services such as water, electricity and heat, transport, and waste management are some of the issues explored through the indicators of this subtheme. The **quantitative indicators** seek overall demographic data about inhabitants, as well as the real estate market to identify potential issues described above. The **people's perspective** explores views on how the intervention may have had an impact on local and regional development from the perspective of varying stakeholders. This will bring to light whether the intervention has created opportunities for employment for the locals, which would strengthen their bond with the intervention, thereby contributing to its *Identity of Place* and *Work & Prosperity* as **cross-cutting issues**.

Subtheme	Regional & Local Development
Description	<p><b>The aim is to assess whether the intervention promotes the regional/local development through cultural investments.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Reduction of territorial imbalances</li> <li>• Urban regeneration in deprived areas</li> <li>• Repopulation of abandoned territories/neighbourhoods</li> <li>• Improved provision of superior urban services</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Real estate market:</b> average price of properties (selling, renting) by typology (e.g. housing, commercial areas, infrastructures, industrial areas, etc.) (before and after the intervention in 5,10, 20 years)</li> <li>• <b>Demographics of inhabitants</b> in terms of income, educational level, background, etc. (before and after the intervention in 5,10, 20 years)</li> <li>• <b>Square meters of abandoned spaces reused</b> (before and after the intervention in 5,10, 20 years)</li> <li>• Number of services related to the intervention</li> <li>• Total amount of funds allocated for efficient trash collection and waste management system/development and upkeep of infrastructure related to the intervention</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• How did the intervention influence regional and local development?</li> <li>• What were the expectations different stakeholders had regarding regional and local development related to the intervention and how were they met?</li> <li>• How do people view the quality of the services offered? (including trash collection and waste management, overall upkeep, infrastructure, traffic management, healthcare programmes)</li> <li>• How do people perceive the quality of architecture and built projects</li> <li>• How is information about the intervention accessible digitally?</li> <li>• What is the perception of inhabitants on the real estate market trend? Do they have to move in other districts where real estate value is lower?</li> <li>• Are there any negative externalities related to the increase in the cost of living?</li> </ul>
Cross-Cutting Issues	<p><b>Identity of Place:</b> Regional and local development may support a deeper bond of the locals with the cultural heritage due to its economic attractiveness.</p> <p><b>Work &amp; Prosperity:</b> Regional and local development can be seen as the “economic environment” within the intervention produce direct effects on employment and business.</p>

#### d. EDUCATION, CREATIVITY & INNOVATION



Education is traditionally considered to consist of three dimensions and qualities of learning. Formal education is the deliberate and systematic transmission of knowledge, skills, and attitudes (with the stress on knowledge), within an explicit, defined, and structured format of space, time, and material, with set qualifications for teacher and learner. Nonformal education is the deliberate and systematic transmission of knowledge, attitudes, and skills (with the stress on skills). In terms of process, it avoids the technology of formal schooling, permitting a more diverse and flexible deployment of time and material, and accepting a relaxation of personal qualifications, in response to the structure of the workplace. The informal mode is the incidental transmission of attitudes, knowledge, and skills (with the stress on attitudes), with highly diverse and culturally relative patterns for the organisation of time, space and material, and also for personal roles and relationships, such as are implicit in varying configurations of the family, household and community (Coletta, 1994).

The overall question of what people learn from and within the context of cultural heritage – material and immaterial – is a manifold question which needs to be divided into several sub-issues. The common starting point is defining the group or the individual who is learning and understanding the prior knowledge, skills, and attitudes which the learner brings into the learning situation. At the other end of the learning experience through cultural heritage are the expectations of the learner and the learning provider of the intended outcome. In a lifelong and life wide learning perspective the participation in formal, nonformal and informal education meets specific needs of the learner and community (Ekholm & Hård, 2000). Engagement with cultural heritage can be a learning experience which is organised as all three forms of education. It may be directed towards a variety of learner backgrounds, gender, and age.

#### Education

The *Education* subtheme is developed with recognition of the potential of cultural heritage to play a role in the education of audiences and provide learning opportunities through both formal and informal means. This subtheme explores the diversity not only in terms of the educational offer, outreach activities and learning opportunities, but also in terms of the target groups and narratives explored through planned activities. In order to analyse whether the educational role of the intervention is being fulfilled to its full

potential, analysis of its demographic targeting is needed, and is explored through the **quantitative indicators** under this subtheme. The **people's perspective** examines this in further detail, asking important questions about the accessibility of educational material and outreach activities in terms of languages, age groups, and groups of society. The quality of these offers is assessed through exploration of the skills that are imparted, and the level of critical analysis they encourage. Enhanced educational opportunities is **cross-cutting** towards many other SoPHIA subthemes. It may contribute positively to *Work & Prosperity*, providing training and employment prospects. Diversity in the demographic groups being targeted also provides a possibility to promote and practice inclusive access through the intervention, and thus contributing to *Social Capital & Governance*, and an inclusive *Identity of Place*.

Subtheme	Education
Description	<p><b>The aim is to assess the diversity of educational offers, outreach activities and learning opportunities.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Reduction</li> <li>• Diverse (creative) forms of educational offers, outreach activities and learning opportunities</li> <li>• Diverse target groups for educational offers, outreach activities and learning opportunities</li> <li>• Exploration of varying and critical narratives in the educational offer and outreach activities</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of educational/outreach programs and activities</b> provided to a diverse range of audiences (by age, gender, education level, citizenship and spoken languages, visible and non-visible disabilities), and socially marginalised groups - over a number of years (baseline), developments in terms of these programs</li> <li>• Participants demographics (age; gender; educational level; citizenship and spoken languages; visible and non-visible disabilities; relative to local population)</li> <li>• Expenditure on educational/programs</li> <li>• Number of life-long programs related to the site/practice</li> <li>• Number of educational/outreach activities/partnerships with surrounding schools/colleges/universities</li> <li>• Number of professional training and development opportunities offered (residencies/traineeships/scholarship/etc.)</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• Expectations and experience of different stakeholders and communities with the educational offer, outreach activities and learning opportunities</li> <li>• Which groups of society are the programs open to?</li> <li>• Are people interested in learning more about an intervention? (intentionality)</li> <li>• What kinds of skills are imparted to the audiences of the educational programming?</li> </ul>

	<ul style="list-style-type: none"> <li>• Are the publications and educational resources open and accessible to people?</li> <li>• How balanced is the ratio between on-site and off-site educational activities?</li> <li>• What times of the day and week are the programs offered?</li> <li>• What is the nature of the content and narratives that are communicated on and off site?</li> <li>• How adequately are varying and critical aspects of the intervention's narratives explored through educational activities?</li> <li>• What is the background of personnel in education?</li> </ul>
Cross-Cutting Issues	<p><b>Work &amp; Prosperity:</b> Training opportunities and upskilling supports issues of work and prosperity, specifically it may support local and cultural production.</p> <p><b>Social Capital &amp; Governance:</b> Diversity in the educational offer may support inclusive access to cultural heritage</p> <p><b>Quality of Life:</b> Educational activities can support the area by raising level of intellectual social capital.</p> <p><b>Identity of Place:</b> Diverse narratives communicated in educational offer and out-reach activities strengthen an inclusive identity of place.</p>

## ! Awareness Raising

The role of cultural heritage as a source of resilience and knowledge for addressing key sustainable development and societal issues is recognised by key policymakers, such as UNESCO (UNESCO, 2018) in its Culture for the 2030 Agenda. Cultural heritage interventions can play an important role in knowledge sharing and awareness raising. Together with an educational role, they can also contribute to peace-building and identity formation. The *Awareness Raising* subtheme was formulated as a response to this aspect of the potential role of an intervention and assesses whether it supports awareness-raising on issues of sustainable development. The **quantitative indicators** seek information on the frequency of programs and educational initiatives related to issues of sustainable development, while the **people's perspective** delves deeper into the methods and modalities through which awareness-raising activities are conducted. Awareness-raising may also address the reduction of inequalities and become a voice for the marginalised, as well as varying levels of sustainability, therefore *Social Capital & Governance* and *Protection* form **cross-cutting issues** under this subtheme. Since awareness raising for sustainable development addresses many of the issues related to unsustainable management of tourism and local and regional development, *Work & Prosperity* in this context becomes a source of possible counter effect.

Subtheme	Awareness Raising
Description	<p><b>The aim is to assess whether the intervention supports awareness-raising on sustainable development.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Educational offer and representation of issues of sustainable development in the intervention</li> <li>• Reputation/Visibility as an intervention that (in its actions, program, etc.) is in accordance with sustainable development</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of (educational) programs/projects related to sustainable development and the SDGs</b> (per year)</li> <li>• Number of educational exhibits/initiatives about the unique CH characteristics of the intervention</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• Ways in which awareness was raised on sustainable development from the perspective of different stakeholders</li> <li>• How are issues of sustainable development relevant locally represented in the intervention?</li> <li>• How effective are the awareness raising initiatives on sustainable development for different stakeholders?</li> <li>• In what languages are the awareness raising activities taking place?</li> <li>• How does the intervention become a voice for the marginalised?</li> </ul>
Cross-Cutting Issues	<p><b>Social Capital &amp; Governance:</b> Raising awareness on sustainable development may include issues of the reduction of inequalities.</p> <p><b>Work &amp; Prosperity:</b> Awareness raising and actions taken to be in line with sustainable development may also consider social needs in the surrounding area and thereby support Social Innovation and Entrepreneurship.</p> <p><b>Protection:</b> Raising awareness on sustainable development may include issues of the sustainable usage of resources and green economy.</p> <p><b>Identity of Place:</b> Awareness raising will contribute to the construction of identity and memory.</p>
Counter Effects	<p><b>Work &amp; Prosperity:</b> Awareness raising on issues of sustainable development may be in conflict with promotion of tourism economy, with regional and local development, etc.</p>



## Research

The potential of research to utilise the role of cultural heritage in knowledge creation and innovation is immense. The *Research* subtheme explores whether the intervention supports research activities. Specific issues that are assessed through the indicators include the breadth of areas and topics of research as well as its interdisciplinarity, and the manner in which the intervention supports it. While the **quantitative indicators** primarily seek to analyse the financial commitment to enabling research through/about the intervention, the **people's perspective** delves deeper and considers accessibility to resources and the manner in which research is supported through possibility for

participation and funding. The potential of interdisciplinary research to support varying perspectives is recognised as a **cross-cutting issue** under *Social Capital & Governance* as it would promote participation and ownership, as well as inclusive access. *Work & Prosperity* also serves as another cross-cutting issue, as research may give way to new economic opportunities, while also contributing to developing methodologies for *Protection* against human or environmental risks.

Subtheme	Research
Description	<p><b>The aim is to assess whether the intervention supports broad research in relation to the intervention.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Areas and interdisciplinarity of research</li> <li>• Funding for research</li> <li>• Output from research</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of research projects</b> related to the intervention according to research focus/field</li> <li>• <b>Total amount of funds allocated to the intervention's research</b></li> <li>• Number and demographics of people actively participating in research</li> <li>• How many educational/research institutions are involved</li> <li>• Number of academic research programs</li> <li>• Number of publications related to the site/practice</li> <li>• Amount of funds allocated to research towards incorporating sustainable practices</li> <li>• Amount of funds allocated towards research to ensure longevity of intervention without compromising on CH values</li> <li>• Amount of funds allocated towards the exploration of local indigenous practices/traditional knowledge</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• Is the intervention open to research possibilities?</li> <li>• What is the perception of the diversity of research possibilities on offer, and to who (women, people of colour, ethnic minorities, differently abled people etc.)?</li> <li>• How accessible is archival material/the collection for researchers?</li> <li>• What are the sources of funding?</li> <li>• What are the affiliations of researchers?</li> <li>• To what extent is research towards incorporating sustainable practices (use of local/sustainable materials, renewable energy, circular models) supported</li> </ul>
Cross-Cutting Issues	<p><b>Social Capital &amp; Governance:</b> Through interdisciplinary research different perspectives on the intervention can be supported, thereby promoting participation, ownership, inclusive access, etc.</p> <p><b>Work &amp; Prosperity:</b> Research may enable new economic perspectives and developments.</p> <p><b>Protection:</b> Research may support the protection against human related risks, environment related risk, etc.</p>





## ● **Digitisation, Science & Technology**

A shift and renewed attention towards usage of information, communication and technology (ICT) tools is increasingly encouraged to move towards sustainable cultural heritage management. European and international level programmes and policies have for a long time been strongly stimulating and encouraging digital developments for cultural heritage aiming at developing access, participation, and enhancing commercial potential (SoPHIA, 2020a). Statistics by the European Commission also point towards increased cultural participation due to the increasing usage of ICT in the sector (Eurostat, 2021). The *Digitisation, Science & Technology* subtheme explores this topic by assessing the commitment to use, and actions taken for incorporating ICT tools in management and interpretation of the intervention. **People's perspective** on quality of the intervention is assessed through exploring the effects of digitisation on management practices and how it serves to become more inclusive and facilitate people with disabilities. ICT tools also encourage innovation, therefore the people's perspective also explores how digitisation is playing a role, if any, in revitalizing traditional culture and creative industries. It may also support innovation for ecological sustainability and contribute to *Protection* of cultural heritage as a **cross-cutting issue**. Additionally, digitisation may also enable an increase in employment opportunities and contribute to *Work & Prosperity*. At the same time, it may impact the way people socialise with each other and can be and may harm access to cultural heritage if digital access is challenged through a cost barrier or internet quality. Therefore, **counter effects** under this subtheme may become relevant with regard to the *Quality of Life* as well as *Social Capital & Governance*.

Subtheme	Digitisation, Science and Technology
Description	<p><b>The aim is to assess the development of ICT tools for management and interpretation of the intervention.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Increasing skills and competencies for employees as well external persons</li> <li>Effects of the usage of ICT tools in management</li> <li>Broadening inclusive access to intervention via ICT tools</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li><b>Number of innovative ICT tools used in interpretation and sustainable management</b> of the intervention</li> <li><b>Number of innovative ICT tools aiming at increasing access to intervention</b></li> <li>Number of initiatives for the digitisation of cultural heritage sites/practices</li> <li>Total amount of funds allocated for digitizing and technology to enhance the intervention for varying demographic groups</li> <li>Number of programs/trainings for increasing skills and competences</li> <li>People's views on the effects of digitisation</li> </ul>



	<ul style="list-style-type: none"> <li>How, and at which stages does the intervention aim to utilise digitisation, science and technology?</li> <li>Accessibility and willingness to using innovative technology in cultural heritage</li> <li>What role is digitisation, science and technology playing to become inclusive?</li> <li>How is digitisation serving to revitalise cultural and creative industries?</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>People's views on the effects of digitisation</li> <li>How, and at which stages does the intervention aim to utilise digitisation, science and technology?</li> <li>Accessibility and willingness to using innovative technology in cultural heritage</li> <li>What role is digitisation, science and technology playing to become inclusive?</li> <li>How is digitisation serving to revitalise cultural and creative industries?</li> </ul>
Cross-Cutting Issues	<p><b>Work &amp; Prosperity:</b> Digitisation may enable economic development and potentially create new working places.</p> <p><b>Protection:</b> Development of ICT tools for management and interpretation of intervention can support sustainable ecological development and usage of resources at the site.</p> <p><b>Quality of Life:</b> Digital tools may lower barriers to access intervention.</p>
Counter Effects	<p><b>Identity of Place:</b> Digitisation of intervention might change how it is (aesthetically) perceived.</p> <p><b>Quality of Life:</b> Digitisation can harm social life and interaction between people and challenge access to the intervention for some groups.</p> <p><b>Social Capital &amp; Governance:</b> Digitisation may harm access to cultural heritage if digital access is challenged through cost barrier or internet quality</p>



## ● Arts & Creativity

The importance of arts in the promotion of diversity and intercultural dialogue is ingrained in UNESCO's 2005 Convention on The Protection and Promotion of The Diversity of Cultural Expressions (UNESCO, 2005), which responds to the role of culture as a means of fostering peacebuilding and contributing positively to society. The *Arts and Creativity* subtheme explores the role of the intervention in facilitating creative and arts activities. It examines to what extent the intervention makes use of its tangible or intangible characteristics to serve as a source of creativity, thereby playing its role to foster inclusion. The **quantitative indicators** examine the frequency of programming focused on art and creativity, while the **people's perception** examines views of stakeholders on how the intervention achieves this. By engaging a range of social groups in creative and art activities, the intervention contributes to participation and inclusivity, making *Social Capital & Governance* a **cross-cutting issue**, while also contributing positively to the *Identity of Place*.

Subtheme	Arts & Creativity
Description	<p><b>The aim is to assess whether the intervention enables creative/arts activities.</b></p> <p><b>Specific issues.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Fostering creative activities for locals/visitors/volunteers</li> <li>Inclusion of creative/artistic stakeholders in the intervention</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li><b>Number of opportunities/programs fostering creativity</b> related to the intervention</li> <li><b>Number and demographics of people (artists/creators) involved</b></li> <li>Amount of funds allocated annually to innovation in activities enabling creativity</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>Perception of visitors and creative/artistic stakeholders on how the intervention creatively engages people</li> <li>Do people consider the site/ practice to be inspiring and a source of creativity? In what ways?</li> <li>How does the intervention creatively engage people?</li> </ul>
Cross-Cutting Issues	<p><b>Social Capital &amp; Governance:</b> Enabling creative activities may also support participation in intervention.</p>

## e. WORK & PROSPERITY



*Work & Prosperity* focuses on the economic impact of the intervention on cultural heritage. In the last ten years, international policy documents and reports promoted by international institutions (Europa Nostra, UNESCO) have recognised the wide spectrum of economic impacts related to cultural heritage interventions.

European cultural heritage is considered a valuable resource for economic growth (United Nations, 2015; Council of Europe, 2018; European Parliament, 2018) and employment and it can have crossover effects in other economic sectors like tourism (Council of Europe, 2005). Historic environments can also offer a high return on investment; and cities and regions that host them can turn into drivers of economic activity (Garcia et al., 2010). Interventions on Cultural heritage can be powerful driving forces of inclusive local and regional development, create considerable externalities, and generate diverse types of employment (European Council, 2014).

Indeed, investing in cultural heritage conservation and valorisation is conceived to be an integral element of territorial capital, capable to influence local economic dynamics since it represents an important component of local social and identitarian capital and

enhances creativity of the local intellectual and artistic milieu. The enhancement and regeneration of the historic city centres are an opportunity for sustainable economic development based on the spur of culture and creative industries, artistic craftsmanship and sustainable tourism (European Parliament, 2018; Europa Nostra, 2015).

The regeneration of the territory, initiated by public investments, activates a virtuous spiral of economic development, which is also able to attract private capital, both from small local entrepreneurs and from larger companies, attracted by the possibility of remunerative returns on the capital invested in the so-called culture-driven market economy. If on the one hand this can generate a multiplier effect on the economy of a territory, it should not be forgotten that it can also generate counter-effects in terms of exploitation of local heritage with negative impacts on the quality of life of residents.

At an early stage of the SoPHIA project, the theme “work and prosperity” was labelled as “competitiveness”, to underline the role of cultural heritage as an economic resource and its potential to facilitate investment. As a result of the interaction with the stakeholders, it was decided to use the term “prosperity”, considered by the UN Agenda 2030 as one of the five themes to measure progress (People, Planet, Prosperity, Peace, and Partnerships) (United Nations, 2015).

The contribution of cultural heritage to European economic respectfully has been recognised as a top priority (Council of Europe, 2015). Moreover, UNESCO supports the view that cultural heritage can be used to reduce economic inequalities (people-centered economy) and promotes economic diversification between tourism and non-tourism activities (UNESCO, 2015).

In the SoPHIA model, prosperity is assessed through the analysis of employment, local cultural production, tourism economy, economic attractiveness, social innovation, and entrepreneurship. The advantage of differentiating prosperity in this way is to enable aspects of a sustainable economic impact to be grasped in detail. In this perspective, all the subthemes can be interpreted in a more equitable way, considering the risks that come with economic development, such as low-quality employment or the process of gentrification.



A main lens through which the relationship between cultural heritage and economic development can be viewed, is cultural heritage as a creator of employment. Many

cultural heritage sites and interventions into cultural heritage can provide short-term as well as mid-term and long-term perspectives concerning the created job opportunities. This already necessitates a longitudinal perspective that goes beyond, for example, short-term projects and looks at job creation in cultural heritage as a potential lever for the reduction of economic weakness in the long run. Furthermore, the quality of employment broaches the issue of fair working conditions, relating to fair contractual conditions, job security and remuneration through the cultural heritage intervention/site under consideration. The aim is to assess whether working opportunities created are fair, whether they contribute to the reduction of gender (pay) gaps, whether jobs are created and offered equally to the disadvantaged, or people with disabilities, and if all of that can reinforce the local economy. Consequently, **quantitative indicators** to assess the impact in this area should grasp both the development of the number of workplaces at an intervention or site and the different working conditions in terms of gender gap, remuneration, skill, sector of employment.

In order to judge the fairness of the jobs creation it is however also meaningful to take the **people's perspective** and the quality of the intervention in this area into account, by assessing the perspective and satisfaction of workers with working conditions and working relations. This also highlights **cross-cutting issues** of the subtheme with many other themes of the SoPHIA model, since fair working conditions not only contribute to the *Social Capital & Governance* or *Quality of Life* an area but may also support an sustainable way of working at the intervention by setting standards in terms of working conditions.

Subtheme	Employment
Description	<p><b>The aim is to assess the quantity and quality of employment related directly to the intervention/site or indirectly/induced in the context.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Working conditions (fairer contractual conditions, job security and remuneration)</li> <li>Creative/knowledge base jobs vs. unskilled jobs</li> <li>Reduce gender gaps</li> <li>Jobs for disadvantaged people</li> <li>Reinforcing the local economy</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li><b>Number of workplaces</b> at/in relation to the intervention (before and after the intervention in 5, 10, 20 years) by: <ul style="list-style-type: none"> <li>sex, age and educational attainment</li> <li>typology (stable; temporary; skilled, unskilled)</li> <li>sector of activity (core sector, tourism)</li> </ul> </li> <li><b>Average income</b> of those employed at the intervention by: <ul style="list-style-type: none"> <li>sex, age and educational attainment</li> <li>typology (stable; temporary; skilled; unskilled)</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>● <b>Example of drill down indicator:</b></li> <li>● Number of workers in preservation at the site/ practice by typology (stable; temporary; skilled; unskilled) and by sex, age and educational attainment</li> <li>● Number of companies involved with the site/ practice (local, national; multinational)</li> <li>-</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>● What are the working conditions at the site/practice disaggregated by typology (stable; temporary; skilled; unskilled)</li> <li>● How do people rank changes in employment rates in relation to other social; cultural or environmental benefits?</li> </ul>
	<ul style="list-style-type: none"> <li>● What is the character of working relations at the site/practice?</li> <li>● Have there been any working conflicts at the site/practice and what did they relate to, and how were they resolved?</li> <li>● What is the employment policy in terms of diversity and equality of personnel?</li> </ul>
Cross-Cutting Issues	<p><b>Social Capital &amp; Governance</b> and <b>Identity of Place</b> and <b>Quality of Life:</b> Good working conditions and diversity of the workforce does support inclusive access and social cohesion, may support a positive reputation of cultural heritage and may also support living conditions in the local area.</p> <p><b>Education, Creativity &amp; Innovation:</b> Enhancing the quality and quantity of employment goes hand in hand with support skills development;</p> <p><b>Protection:</b> Standards in terms of working conditions may also support an ecologically sustainable way of working at the intervention.</p>
Counter Effects	<p><b>Social Capital &amp; Governance:</b> In terms of "Participation &amp; Engagement", volunteering as a tool for community engagement may function as replacement of regular work / decrease of public financed work;</p> <p>In terms of "inclusive access" women, low-income youth and minorities may be excluded by the job market.</p>



### ● Local Cultural Production

Cultural heritage interventions carry great potential to support local cultural production and traditional craft making. The aim of the subtheme is to assess the impact and support of a site or intervention to the sustainability over time of traditional cultural production. Therefore, quantitative indicators that may support the assessment under this domain include: demographics of cultural and creative entities in the local area by sector and from a short-, mid- and long-term perspective as well as the number of museums/art spaces, cinemas/theatres, cultural spaces and libraries which function as places of production of cultural and artistic activities, per number of local residents before, throughout and after the intervention. In order to strengthen the data on the impact of traditional cultural production it is strongly recommended here to support the assessment through the **people's perspective**, specifically through the perspective of

local artisans and artists on opportunities as well as challenges resulting from the intervention to the artistic scene and creative sector. **Cross-cutting issues** with other SoPHIA themes can be witnessed, similar to the subtheme *Employment*, through the contribution that the craft and creative industries can have to a circular sustainable local economy. Yet, at the same time the promotion of local cultural production may also have a **counter effect**. The obvious one is that the contribution to the local area may also result in gentrification processes.

Subtheme	Local Cultural Production
Description	<p><b>The aim is to assess whether the intervention promotes local cultural production.</b></p> <p>Specific issues:</p> <ul style="list-style-type: none"> <li>• Production related to creative sector/creative industry;</li> <li>• Preservation and support for sustainable traditional jobs, embedded in the local tradition.</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Demographics of cultural and creative entities</b> in the local area (including craftsmanship) (per year; size; sector of activity; before and after the intervention in 5, 10, 20 years)</li> <li>• <b>Number of museums/art spaces, cinemas/theatres, cultural spaces, libraries</b> per 100,000 local residents (before and after the intervention in 5, 10, 20 years)</li> <li>• Share of culture in GDP</li> <li>• Number of cultural businesses</li> <li>• Average household cultural expenditure</li> <li>• Total amount of trade in cultural goods and services</li> <li>• Average public expenditure on the intervention</li> <li>• Audience numbers in events Number of local companies involved with the intervention (in comparison to multinational companies)</li> <li>• Trend of local productivity in the surrounding area (in the last 5, 10, 20 years)</li> <li>• Number of companies that indirectly benefit of the CH intervention allocated on the basis of their economic activities</li> <li>• Total amount of profit of local companies involved with the site/ practice</li> <li>• Number of new initiatives between public, private and third sectors</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What is the perception of local artisans/artists on opportunities/challenges offered by the intervention to the artistic scene /creative sector?</li> <li>• What developments/conflicts/discussions are recognizable in the creative &amp; art scene in the surrounding area?</li> <li>• What is the local businesses opinion/ perception of attractiveness of the intervention?</li> <li>• What determines people's willingness to spend money on a site/ practice?</li> </ul>
Cross-Cutting Issues	<p><b>Education, Creativity &amp; Innovation:</b> Local cultural production may enable creative activities and learning opportunities</p> <p><b>Protection:</b> Craft and creative industries as part of a circular economy and the production of sustainable products.</p>

	<p><b>Identity of Place:</b> Local/cultural production as an alternative to global homogeneous low-profile markets.</p> <p><b>Quality of Life:</b> Local cultural production can be beneficial for regional and local development.</p>
Counter Effects	<p><b>Quality of Life:</b> The promotion of the cultural and creative industry in an area may also result in gentrification processes.</p> <p><b>Identity of Place:</b> Innovation vs Tradition in the creative sector and cultural production should be carefully considered.</p>



### ● **Tourism Economy**

Tourism and tourist economy are the main lens through which the relationship between cultural heritage and economic development is traditionally regarded. In fact, following six decades of consistent growth, tourism is one of the world's most important economic sectors (OECD, 2020). It generates income and foreign exchange, creating jobs, stimulating regional development, and supporting local communities. Thus, it is no wonder that it represents one of the most important factors that have been considered in the assessment processes on cultural heritage and in the policy makers' agenda. As highlighted by the Organisation for Economic Co-operation and Development - OECD (OECD, 2020), tourism growth is associated with important economic, social and environmental benefits. In fact, tourism financially contributes to acknowledging and preserving cultural heritage and landmarks which otherwise would not have been preserved.

In the last ten to twenty years, however, the need for more sustainable tourism in the context of cultural heritage has been highlighted repeatedly. This tourist economy may have severe counter effects that can affect the development of a local community in many ways. They range from the exploitation of a site or intervention as a place of commerce and consumption being in conflict with the Quality of Life and Identity of Place for locals and residents, to the barriers of access for diverse communities and people due to the focus on tourism. Furthermore, intangible cultural heritage may become endangered through over-tourism and, finally, the tourism economy may exert excess pressure on the environment and society.

This is why SoPHIA's subtheme *Tourism Economy* aims at assessing not only the quantity of the tourism economy but also its quality, by looking into its contribution to local economy and the resident workforce, the quality of the touristic offer and the attractiveness of the place. Therefore, not only tourist spending generated via the site and intervention has to be assessed as a quantitative indicator, but also the expenditure



to protect and maintain the heritage (for instance through safety systems and policies), may help evaluate the impact of the site or intervention in terms of tourism economy.

Hereby, a sustainable contribution to the diverse needs and interests of the local community is a benchmark against which tourist development needs to be analysed /considered, assessed via the people's perspective on experiences with tourism economy stemming from the intervention or site.

Subtheme	Tourism Economy
Description	<p><b>The aim is to assess the quantity and quality of the surrounding tourism economy.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Contribution to local economy/resident workforce</li> <li>Quality of the touristic offer</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li><b>Tourist spending</b> (by selected items, per year) (before and after the intervention in 5, 10, 20 years)</li> <li><b>Expenditure to protect/maintain sites/places</b> (i.e. safety systems; cleaning services, etc.) (before and after the intervention in 5, 10, 20 years)</li> <li>Number of tourists visiting the site/practice</li> <li>Income from tourism for the site/practice; local businesses; etc</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>What are main challenges stemming from tourism at the site/intervention for the local communities?</li> <li>What is the perception of inhabitants on tourism?</li> <li>In what ways have the local communities been impacted by the presence /absence of tourists? How are these impacts perceived?</li> </ul>
Cross-Cutting Issues	<p><b>Quality of life:</b> In urban peripheries and in deprived and marginal areas, tourism can be seen as a potential source of income that can contribute to a reduction of the economic/demographic imbalances and achieve new forms of sustainable economy.</p> <p><b>Identity of place:</b> Tourism expenditure can contribute to the maintenance of local cultural traditions and thereby contribute to its visibility and reputation.</p>
Counter Effects	<p><b>Quality of Life and Identity of Place:</b> Exploitation of an intervention as a place of commerce and consumption can be in conflict with the Identity of Place, the promotion of contemporary arts and culture and the plurality of cultural production. Profiling policies and programs on what tourism markets find "appealing" and "typical", instead of promoting local products and activities.</p> <p><b>Protection:</b> In terms of safeguarding against human-related risks, the tourism economy may exert excess pressure on the environment and the society.</p> <p><b>Social Capital &amp; Governance:</b> Focus on tourism economy may be in conflict with access for other communities/people.</p>





## ● Economic Attractiveness

The subtheme *Economic Attractiveness* looks into the issue from the perspective of investors and funding authorities to assess whether the intervention attracts further economic flows, generating a multiplier effect and attracts investments or funding also through the cooperation between the private, the public and third sectors. By these means an obvious and valuable **quantitative indicator** of this subtheme is the amount of funds generated. In order to judge the sustainability of attractiveness it is however also valuable to apply this indicator in terms of the diversity of funds and investments. The quality of the attractiveness can furthermore be judged through the lens of **the people's perspective** on it, specifically looking at the experiences in terms of cooperation and knowledge sharing between public and private actors. Sustainability of economic attractiveness, reflected in the diversity of funding and investment and its potential for co-operations and knowledge-sharing, has many **cross-cutting issues** with other themes of the SoPHIA model. For instance, funding or investment can foster new approaches with regard to education or research via the involvement of the private sector and if positive can provide greater ease to safeguarding cultural heritage, green management and fostering financial, economic and social returns of the intervention.

Subtheme	Economic Attractiveness
Description	<p><b>The aim is to assess whether the intervention attracts further economic flows, generating a multiplier effect and attracts investments/funding through the cooperation between the private, public and third sectors.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Attracting diverse investments and engaging business/firms in culture related activities</li> <li>Enhancement of "impact investments"</li> <li>Activate co-funding public-private / local-national-international</li> <li>Intellectual cooperation and knowledge sharing</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li><b>Public/private funds</b> (including sponsorship and crowdfunding) for the intervention</li> <li>Social return on investment from the intervention</li> <li>Tax revenues</li> <li>Income from sponsorships</li> <li>Number of new businesses promoted by local inhabitants</li> <li>Total sum of investments per year</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>What are the different sources of funding? (Government, donations, grants, subsidies etc.)</li> <li>Which aspects/features of the site/intervention attractive to investors?</li> <li>What are the experiences with cooperation and knowledge sharing between public and private actors?</li> </ul>

	<ul style="list-style-type: none"> <li>• What is the trend of investments for new cultural or other initiatives, and how are they related to the intervention/urban regeneration?</li> <li>• What is the local inhabitants' opinion/ perception on the intervention's economic attractiveness?</li> </ul>
Cross-Cutting Issues	<p><b>Education &amp; Innovation:</b> The involvement of the private sector might bring new approaches in regard to education, research, creative jobs and awareness raising.</p> <p><b>Social Capital &amp; Governance:</b> In terms of Partnerships and Cultural Cooperation a well-structured network may result in better investments; in terms of Inclusive Access diverse needs can be tackled by also involving the private sector.</p> <p><b>Identity of Place:</b> (if positive) Greater ease to safeguarding; (if positive) businesses win by attaching the investments on the intervention/site to their image and brands.</p> <p><b>Quality of Life:</b> Greater investments might foster the financial, economic, and social return of the intervention, improve quality of services, and increase areas for recreation.</p> <p><b>Protection:</b> Greater ease to safeguarding.</p>
Counter Effects	<p><b>Quality of Life:</b> Economic Attractiveness may lead to the reduction/suppression of unprofitable services.</p> <p><b>Social Capital &amp; Governance:</b> Gratuitousness vs. economic sustainability.</p> <p><b>Identity of Place:</b> In some cases, renovations made could lead to loss of authenticity at the expense of increasing the economic attractiveness of a place.</p>

### Social Innovation & Entrepreneurship

The fifth subtheme of the *Work & Prosperity* chapter aims to assess whether innovation processes that result out of the intervention also have a benefit for the local community in terms of social change and growth. Social innovation and entrepreneurship, often associated with the voluntary sector, typically attempts to achieve broad social, cultural, and environmental goals for the development of areas with problems of poverty, unemployment, low education and sometimes even crime. The involvement of social entrepreneurs in the intervention will be indicative in terms of the potential of the intervention to support social change and growth. Whereas the number and demographics of new social entrepreneurs and initiatives as well as the total amount of funds allocated for facilitating social innovation can be measured in **quantitative indicators**, the question to which extent such actions and numbers reflect the social needs of the area can only be answered through a **people's perspective** on the case, that asks how social needs of the area are identified and reflect the quality of actions taken to support social innovation. Due to this focus on the social aspects of innovation and entrepreneurship the **cross-cutting issues** with the SoPHIA theme of *Social Capital & Governance*, specifically in terms of inclusive access and social cohesion are evident. But

also, with regards to other areas of impact such as *Protection*, innovation processes and entrepreneurship that support processes of social change and growth can overlap with question of ecological sustainability, since the needs of the community might lie in issues, such as the usage of resources.

Subtheme	Social Innovation & Entrepreneurship
Description	<p><b>The aim is to assess the innovation in terms of social change and growth.</b></p> <p>Specific issues:</p> <ul style="list-style-type: none"> <li>• Identification of social needs in the surrounding area</li> <li>• Promotion of projects related to the needs</li> <li>• Support to and cooperation with social entrepreneurs</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number of new social entrepreneurs</b> (before and after the intervention in 5, 10, 20 years) <b>and start-up survival rate</b></li> <li>• <b>Total amount of funds allocated</b> for facilitating social innovation and entrepreneurship activities (before and after the intervention in 5, 10, 20 years).</li> <li>• <b>Demographics of social entrepreneurs</b> (age; gender; educational level; citizenship and spoken languages; visible and non-visible disabilities; social marginalisation)</li> <li>• Number of initiatives between public, private and third sectors</li> <li>• Quantity of collaborations with other sectors</li> <li>• Quantity of interdisciplinary cooperative activities and projects</li> <li>• Number of new jobs in creative industry</li> <li>• Knowledge networks</li> <li>• Number of educational programs on social innovation and entrepreneurship</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• How are social needs in the area identified in the context of the intervention?</li> <li>• What is the perspective of local stakeholders/inhabitants on social innovation and entrepreneurship processes and opportunities?</li> <li>• What actions are taken to support social innovation and entrepreneurs in the area?</li> <li>• What are the subjects of social innovation initiatives?</li> <li>• How strong are the connections with other sectors?</li> </ul>
Cross-Cutting Issues	<p><b>Social Capital &amp; Governance:</b> How to deal with social needs in the close area through social innovation and entrepreneurs is closely linked to issues of social capital and may support inclusive access, social cohesion, etc.</p> <p><b>Protection:</b> Projects of social needs can easily overlap with issues of ecological sustainability.</p>



## f. PROTECTION



The *Protection* theme largely refers to environmental protection, a term that is considered to be inherent to the concept of sustainable development (Okereke, 2008) and pertains to the protection of the environment from natural and human related risks. As environmental and climate issues affect both Natural and Cultural Heritage Sites, the term (von Schorlemer & Maus, 2014) expands to additionally include the protection and management of natural entities with a distinct cultural heritage value. *Protection* recognises the importance of strategizing against environmental disaster, as well as against slower shifts that can develop over time into irreversible damage, such as compromised biodiversity, violated cultural ecosystems, or deterioration of manmade cultural heritage sites due to exposure to the weather elements, or environmental pollution. Strategies towards such perils include focused protection actions that address specific topics, as well as wider pre-emptive measures that can reduce the likelihood of such issues to occur.

Complementary to environmental risks, human related factors burden existing imbalances and create additional ones. Being able to make rational, informed social decisions on climate change and cultural heritage related risks requires knowledge of a large number of interrelated processes, beginning with human activities (IPCC, 1996). Various harmful tourism practices are connected with cultural homogenisation in local communities. Defending against over-tourism, important baselines for all parties are the capacity of the site and the reproductive capacity of renewable natural resources, the everyday practices of the locals, and the intangible cultural heritage factors of the local community. Over-tourism is also related to the increasing carbon footprint mainly stemming from traveling. This direct case of pollution/ damage of ecosystems concerns not only communities, but larger entities that have the capacity to implement regulations and in-depth changes. Efficient communication between stakeholders, as well as mutual goals are important to be established.

On a local economy level, green management and circular economic practices forge a support system for ecological sustainability with support gained by partnerships, training programs and the proper usage of local resources. Cities have a vital role to play in the development of a circular economy as they act as enablers of potential measures by which they can influence both consumers and businesses (Jentoft, 2018). Depending on local materials, products, skills and labour, a circular bio economy is a sustainable practice that creates employment opportunities while also enhancing the inherent characteristics of the community.



## ● **Safeguarding against Environmental Risks**

The *Safeguarding against Environmental Risks* subtheme addresses the growing concerns regarding climate change and their potential impact on the intervention, by assessing how it is planned and managed through actions that ensure the integrity of the intervention is maintained while at the same time preventing negative contributions which aggravate environmental risks. Environmental factors in this context may include all the side effects of climate change, such as extreme weather conditions including torrential rains and flooding, erosion, rising sea levels, and extreme rise or drop in temperatures. This subtheme therefore explores not only issues related to Disaster Risk Reduction planning surrounding the intervention, but also steps taken to support biodiversity through its management, and associated activities, which may be at risk due to environmental factors. While the **quantitative indicators** explore this through financial commitments towards these issues, the people's perspective delves deeper, seeking data on measures taken through the intervention to decrease its carbon footprint and thus not contribute to environmental disasters. The question of management and usage of vacant building stock is also explored and ties in with the subtheme as a **cross-cutting issue**, as re-use of older buildings contributes to maintaining the *Identity of Place*. Research activities supporting innovation through exploration of new technologies as well as the use of ICT tools all support safeguarding against environmental risks, therefore forming another cross-cutting issue. Leadership and good governance play an important role in managing against environmental risks, therefore *Social Capital & Governance* is also a cross-cutting issue. At the same time, however, it is also a **counter effect** as access to all may be challenging to ensure, in order to minimise environmental risks. *Work & Prosperity* may also be impacted for similar reasons.

Subtheme	Safeguarding against Environmental Risks
Description	<p><b>The aim is to assess the quantity and quality of actions to safeguard against environmental factors, in order to retain the objectives/integrity of the intervention.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Disaster risk reduction</li> <li>Support of biodiversity</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li><b>Funds dedicated per year to preservation, maintenance, and disaster risk management</b></li> <li><b>Total expenditure and actions taken towards protection of biodiversity and cultural ecosystems</b> due to environmental risks</li> <li>Number of buildings that are vacant/can assume a new use</li> <li>Trend of expenditure on travel expenses</li> <li>Total expenditure for shift to green transport and management practices</li> </ul>

People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What kind of initiatives are employed by local authorities and the community to manage and utilise the vacant building stock?</li> <li>• What is the people's understanding of the vacant building stock potential?</li> <li>• What steps are taken through the intervention to ensure safeguarding against environmental risks?</li> <li>• What are the people's perceptions on climate change and their sense of accountability in dealing these issues?</li> <li>• What measures are taken to adapt to climate change?</li> <li>• What measures are taken to share resources with surrounding communities/stakeholders and decrease carbon footprint?</li> <li>• Which types of stakeholders/institutions are involved ex-ante/during/post-intervention in safeguarding against environmental risks?</li> <li>• What are the objectives/vision of the intervention in terms of protection?</li> <li>• What is the people's access to using the vacant building stock?</li> </ul>
Cross-Cutting Issues	<p><b>Education, Creativity &amp; Innovation:</b> In terms of research, safeguarding against environmental risk can be supported by the exploration of new technologies and methodologies; In terms of Digitisation, Science and Technology, the use of ICT tools can support safeguarding the intervention.</p> <p><b>Social Capital &amp; Governance:</b> Good Governance is crucial for effective management of the intervention against environmental risks, "Partnerships and Cultural Cooperation" can improve preparation and response to environmental risks.</p> <p><b>Identity of Place:</b> Safeguarding against environmental risks is required to maintain the surrounding cultural landscape.</p>
Counter Effects	<p><b>Social Capital &amp; Governance:</b> Inclusive access to and engagement with the intervention may be limited in order to avoid aggravating environmental risks.</p> <p><b>Work &amp; Prosperity:</b> Employment, real estate value, local and cultural production, and the tourism economy may all be driven by factors that are detrimental to the environment.</p>



### ● **Safeguarding against Human-Related Risks**

The impact of humans on the environment is undeniably large, with calls to monitor and manage all human activity in a sustainable manner, at both the European and global levels. A cultural heritage intervention of any nature is therefore bound to have an impact on the environment as well. The *Safeguarding against Human-Related Risks* subtheme explores this, by specifically assessing actions taken to prevent negative impacts caused by human activity and behaviour in relation to the intervention. These impacts may be observable over varying durations, and so indicators under this subtheme allow for a detailed assessment that could serve to guide management practices surrounding the intervention. Increased human activity may lead to an increased carbon footprint due to the need to facilitate tourists, and the cultural environment as well as ecosystem may be

in danger of being disturbed. Other issues explored are conflicts that may potentially arise due to increased human presence, as well as cultural homogenisation. While **quantitative indicators** analyse financial commitments to mitigating human-related risks, the **people's perspective** explores efforts and actions taken to minimise the effects of human activity and damage resulting from the intervention. This is essential also for maintaining the *Identity of Place*, which becomes a **cross-cutting issue**, along with *Education, Creativity & Innovation*, which may serve as key drivers to finding solutions to decrease the negative impact of human traffic at or around the intervention. In order to safeguard against human-related risks and manage traffic, however, inclusive access may be compromised, along with the economic attractiveness of the place to stakeholders.

Subtheme	Safeguarding against Human-Related Risks
Description	<p><b>The aim is to assess the quantity and quality of actions to safeguard against damage caused by humans.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Over-tourism</li> <li>Conflicts</li> <li>Homogenisation</li> <li>Increased carbon footprint</li> <li>Protection of cultural ecosystems (including preservation of heritage nature and values for the community)</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li><b>Total expenditure and actions taken to safeguard against human-related risks through the intervention</b> including over-tourism, conflicts, homogenisation, decreased carbon footprint.</li> <li><b>Total expenditure and actions taken towards protection of biodiversity, and cultural ecosystems</b> due to human-related risks.</li> <li>Number of initiatives to safeguard destruction/decay of monuments due to conflicts/neglect</li> <li>Total amount of funds allocated towards the protection of indigenous flora and fauna from human traffic</li> <li>Number of actions taken to assess and maintain site capacity</li> <li>Total amount of funds allocated to disaster resilience, a disaster risk management plan and related resources</li> <li>Number of initiatives undertaken to increase community engagement</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>What steps are taken through the intervention to ensure safeguarding against man-made risks?</li> <li>At what stages of the intervention and at what level are local communities consulted? (project design, data gathering and analysis, decision making, implementation, monitoring &amp; evaluation)</li> <li>What efforts are made through the intervention to avoid cultural homogenisation?</li> <li>What efforts are made to prevent the daily lives of locals from being affected negatively by the intervention?</li> </ul>



	<ul style="list-style-type: none"> <li>• In what ways (if any) does the intervention manage/prevent illicit trading and trafficking of cultural artefacts?</li> <li>• What efforts have been made towards establishing respectful modes of tourism?</li> </ul>
Cross-Cutting Issues	<p><b>Identity of Place:</b> Safeguarding against human-related risks is required to maintain the surrounding cultural landscape; in terms of adaptive re-use/heritage-led regeneration: safeguarding against human related risks may affect the manner in which new and sustainable economic opportunities are created.</p> <p><b>Education, Creativity &amp; Innovation</b> can serve as key drivers for finding ways to safeguard against man-made risks;</p> <p><b>Education and Awareness-raising</b> play an imperative role in sharing knowledge and finding ways to decrease the negative impact of human activity through the intervention.</p> <p><b>Quality of Life:</b> In terms of Peace and Safety factors that are directly influenced by human-related risks through an intervention, such as conflict and over-tourism.</p>
Counter Effects	<p><b>Social Capital &amp; Governance:</b> Aspects of social capital such as inclusive access, good governance, social cohesion may be affected by efforts to safeguard against human-related risks.</p> <p><b>Living Conditions:</b> Provision of facilities and fewer economic opportunities may be experienced.</p> <p><b>Work &amp; Prosperity:</b> Protection against human-related risks are likely to affect the economic attractiveness of a place/intervention to a variety of stakeholders.</p>



### ● Green Management & Development

For cultural heritage interventions to contribute positively to society and fulfil its role as an enabler for environmental sustainability, it is crucial that a move towards their sustainable management is encouraged and enabled. Environmental sustainability is deeply embedded in the European Commission's policies on culture (European Commission, 2021), while at the same time, economic sustainability of cultural interventions is equally important in order for them to thrive and support sustainable development. The *Green Management & Development* subtheme explores the efficiency of various levels of management related to an intervention that is responsible for its economic and environmental sustainability. The **people's perspective** is investigated through data regarding the measures taken for greener practices in management of the intervention, as well as actions taken to ensure the sustainability of its economic/financial model. This includes work done for job creation and supporting local businesses. Both ecological and economic sustainability will directly impact people's quality of life, thereby becoming a **cross-cutting issue**, however greener management practices may also impact the number of employment opportunities as a **counter effect**. Greener management of



the intervention will help to manage uncontrolled development and infrastructural changes, and so will contribute to maintaining the *Identity of Place*.

Subtheme	Green Management & Development
Description	<p><b>The aim is to assess the quantity and quality of actions for ecological sustainability and countering climate change.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>Economically and environmentally sustainable and efficient management practices</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li><b>Number and percentage of funding for projects/actions promoting green, circular and local economic practices</b></li> <li><b>Number of partnerships/agreements formed with local partners for tangible/other resources</b></li> <li>Total amount of funds dedicated to creating green infrastructure and to transitioning to sustainable management practices</li> <li>Number of initiatives for disseminating greener economy practices</li> <li>Total amount of funds allocated to training of staff on green management practices</li> <li>Total amount of funds allocated to preventive monitoring of the impact of intervention on the environment</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>What measures are taken for green management and development through the intervention?</li> <li>What is the level of people's willingness to engage in greener economic practices?</li> <li>What efforts are made through the intervention to support local sustainable businesses and increase local job openings?</li> <li>What efforts are made to ensure the sustainability and longevity of the economic/financial model of the intervention?</li> </ul>
Cross-Cutting Issues	<p><b>Quality of Life:</b> Sustainable practices through the intervention will have a direct impact on living conditions of people.</p> <p><b>Education, Creativity &amp; Innovation:</b> Managing an intervention in a sustainable manner will give rise to opportunities for research, education and employing digitisation, science and technology methodologies.</p> <p><b>Identity of Place:</b> Moving towards greener management of an intervention will contribute to maintaining the Identity of Place.</p>
Counter Effects	<p><b>Work &amp; Prosperity:</b> Green practices at or related to an intervention may affect employment opportunities; greener practices related to an intervention may also impact people's spending behaviour.</p>



### ● Use of Resources

An important practice in sustainable management of a cultural heritage intervention is the manner in which its resources are sourced, utilised and then discarded. The research

process for developing the SoPHIA model has revealed concerns regarding the manner in which resources required to manage interventions are handled and highlight the need to incorporate more efficient and sustainable management methodologies. The *Use of Resources* subtheme analyses this aspect of the intervention. It assesses the efficiency of the management of resources, by exploring issues related to re-use, sharing, re- and upcycling of resources, as well as waste management practices. Financial commitments to the efficient use of resources is explored through the **quantitative indicators**, while the people's perspective seeks insights into the modalities surrounding the management of resources, as well as steps taken to ensure circular bio-economy. The focus on efficient usage of resources also supports the usage of local and region resources and thereby represents a **cross-cutting issue** by contributing to local and regional development as an important aspect of the *Quality of Life*. Partnerships formed for efficient management of resources may also support local and cultural production and contribute positively to *Work & Prosperity*.

Subtheme	Use of Resources
Description	<p><b>The is to assess the usage of resources through the intervention in an efficient and sustainable manner.</b> Specific issues:</p> <ul style="list-style-type: none"> <li>• Re-use, sharing, re- and upcycling of resources</li> <li>• Partnerships for usage of resources</li> <li>• Waste management</li> </ul>
Options for Quantitative Indicators	<ul style="list-style-type: none"> <li>• <b>Number</b> of partnerships/agreements formed with local providers of tangible/other resources</li> <li>• Amount of funds allocated for waste management and re-use</li> </ul>
People's Perspective on the quality of intervention	<ul style="list-style-type: none"> <li>• What measures are taken to promote re-use, sharing, re- and upcycling of resources?</li> <li>• What measures are taken to employ/use local resources (food/skill-based; labour/materials)?</li> <li>• How are resources shared with other stakeholders/partners?</li> <li>• What steps are taken for circular bio-economy?</li> </ul>
Cross-Cutting Issues	<p><b>Quality of Life:</b> Partnerships in the usage of resources and can support regional and local development.</p> <p><b>Work &amp; Prosperity:</b> Partnerships in the usage of resources can support local and cultural production by reducing the expenditure of partners.</p>

## ANNEX 3: Further reading: Relevant SoPHIA deliverables

The SoPHIA Toolkit (D3.1) presents the SoPHIA model and explains it in detail. In it, the focus has been placed on providing information about the meaning of impact assessment in the cultural heritage sector, explaining the purpose, underlying logic, and conceptual framework of the SoPHIA model, and describing and explaining its implementation phases. In addition, Chapter 2 of the toolkit familiarises readers with the approach taken by the SoPHIA project and with the relevant concepts stemming from the research undertaken in previous research phases that the SoPHIA researchers have considered in the process of developing the SoPHIA model. If readers are interested in familiarising themselves with more details about the SoPHIA's research results, we recommend consulting other publicly available deliverables accessible at the SoPHIA website (<https://sophiaplatform.eu/en/archive>). In particular, we would like to draw our readers' attention to:

### **D1.1 Review of Research Literature, Policy Programmes and (good and bad) Practices**

This report features the recent literature on assessing the impact of cultural heritage interventions across the cultural, social, economic, and environmental domains. The research draws from academic resources, current policies and regulations, as well as social platforms. The content is structured around Trends, Policies, Gaps & Opportunities and Strategies.

### **D1.2 A concise essay mapping existing gaps, issues, and problems**

The essay builds upon the findings of the previous D1.1 by mapping gaps and shortcomings identified throughout the literature review and through collective reflection during the Athens' Virtual Workshop process. The D1.2 adopts a critical point of view to synthesise these findings towards formulating a holistic cultural heritage impact assessment.

### **D1.4 Towards a Digital Mapping Tool for SoPHIA**

The digital mapping tool (DMT) responds to SoPHIA's need to create tools that enable the visual representation and the graphical analysis of case studies regarding the application of the SoPHIA's holistic impact assessment model, also reflecting the three axes of SoPHIA's HIA framework: people, domains, and time. In particular, the DMT facilitates the collaboration between the Consortium, the stakeholders, and the local communities addressing the SoPHIA project by providing digital visual access to the current situation regarding cultural interventions and by reflecting relevant data of the case studies within an interactive digital mapping environment linked to the SoPHIA's website.

## **D2.1 Mapping of Impact Assessment Practices in Cultural Heritage**

This report is identifying and mapping existing impact assessment practices in cultural heritage, aiming to collect information on well and poorly done practices. SoPHIA's Advisory Board members and stakeholders were asked to share their thoughts and experiences via an open questionnaire. The mapping comprises the executive summary, aims and methodology, reflection on practices using Heritage Impact Assessment (HIA), examples of IA practices and conclusions. This review proves to be a crucial exercise in identifying key factors that will define the process of developing the SoPHIA model and others.

## **D2.2 Case Studies Report**

The report summarises the findings of the case studies in which the draft impact assessment model (SoPHIA model) has been applied. Testing the SoPHIA model along the lines of these cases was a crucial exercise for identifying necessary adaptations to the model. All case studies are included in the annex of D2.2, portraying rich insights into the impact of various interventions in Europe throughout the last 20 years.

## **D2.3 Impact Assessment Model**

The Model aims at assessing the impacts of cultural heritage interventions. The holistic/multi- and cross-domain Model is based on the three-axis time, people and domains, with sustainability and resilience as overarching concepts. The Model is intended for policymakers, managers and practitioners, institutional observers and independent researchers. The main features have been identified through the literature review (D1.1, D1.2) along with the analysis of best practices (D2.1), the case studies (D2.2), workshops and conferences (D4.3, D4.6, D4.7), and the continuous consultations with the project's stakeholders and advisory board members.

## **D3.3 – D3.6 A series of SoPHIA's policy briefs**

Based on the underlying understanding of cultural heritage as a potential contributor and resource for sustainable development and considering the lack of shared standards for the holistic impact assessment, the SoPHIA project has sought to open the debate on the holistic assessment of cultural heritage interventions, to build consensus on it, to support the European Commission in the definition of guidelines for the next generations of funds for cultural heritage and to support stakeholders in cultural heritage in assessing the impact of their interventions, in view of the sustainability and resilience of cultural heritage. The SoPHIA policy briefs represent research focused on specific policies and problems policymakers and implementers face within this framework. Their purpose is to convince policymakers to change the direction of a particular policy by changing their perception. For this to happen, the policy briefs aim to accurately present the problems that policy is facing and to propose a solution to these problems by providing clear recommendations to policymakers.

### **D3.7 Guidelines for an action plan on the EU future action regarding operational programmes and public policies**

This document primarily serves in providing guidelines to EU policymakers regarding heritage impact assessment with the recommendations to be possibly introduced in future operational programmes to ensure and monitor the quality of heritage interventions to be funded under the operational programmes. It may also serve as a reference for national and local policymakers seeking to introduce national/local policies supporting sustainable and resilient heritage interventions with a real quality impact. The SoPHIA project proposed a holistic impact assessment model that can serve policymakers in preparing calls for funding heritage projects and selecting the criteria to grant funding. Eventually, it is expected that funded projects will result in quality interventions leading to sustainability and resilience of heritage, which would justify the funding. Finally, the guidelines/recommendations provided in the document may also serve cultural heritage managers in planning the expected impacts of heritage intervention as well as in adjusting the intervention accordingly.

### **D3.9 Future need and research agenda**

In this document, EU programmes fostering research on cultural heritage are presented to provide grounds for advocating the holistic impact assessment of CH interventions as a priority in the European research agenda. The existing programmes specifically related to research (Horizon Europe) as well as those fostering other types of funding opportunities are put forward, the latter ones because they also provide opportunities for research actions. The described programmes and their priorities are directly related to the SoPHIA model to show complementarities. Finally, future research needs are detected in the form of different topics related to the SoPHIA model as further needed advancement.

Finally, after the extensive research that has been undertaken and the rather complex SoPHIA model that has been developed, the SoPHIA consortium has made an effort to explain it through a series of clear visualisation and digital narratives available at the SoPHIA website:

- **Digital Narratives:** <https://model.sophiaplatform.eu/digital-narrative/>
- **Digital SoPHIA model:** <https://model.sophiaplatform.eu/>

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## Project identity

**Project title:** ‘SoPHIA – Social Platform for Holistic Heritage Impact Assessment’

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**Funding scheme:** This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 870954.

**Duration:** 1 January 2020 – 31 December 2021

**Budget:** €1,511,070.00

**Website:** <https://sophiaplatform.eu/en>

The Horizon 2020 project ‘SoPHIA – Social Platform for Holistic Heritage Impact Assessment’ (2020-2021) is a research and innovation project that sought to open the debate on the holistic assessment of cultural heritage interventions, to build consensus on it, to support the European Commission in the definition of guidelines for the next generations of funds for cultural heritage and to support stakeholders in cultural heritage in assessing the impact of their interventions, in view of the sustainability and resilience of cultural heritage. During the two years of its activities, the consortium partners, together with a diverse community of stakeholders interested in interventions in cultural heritage sites in Europe, have worked together towards the definition of an effective holistic impact assessment model for cultural heritage interventions, quality standards and guidelines for future policies and programmes. The SoPHIA deliverables corresponding to these tasks are available at the project website, as well as on the H2020 portal.