

**Managing the landscape values of urban heritage:
a critical analysis of the UNESCO's Recommendation on
the Historic Urban Landscape in Valparaíso, Chile**

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Submitted in total fulfilment of the requirements of the degree of
Doctor of Philosophy

May 2020

Faculty of Architecture, Building and Planning
University of Melbourne

Abstract

This thesis critically analyses the approach proposed by the Recommendation on the Historic Urban Landscape (herein the HUL Recommendation) for managing the landscape values of urban heritage. The HUL Recommendation was adopted by the United Nations Educational, Scientific and Cultural Organization (UNESCO) in 2011. The HUL approach is a significant step forward in the management of heritage because integrates a diversity of values and it considers the increasingly changing dynamics of urban areas. The implications of implementing the HUL in Latin America, namely Chile, are investigated through a case study of the World Heritage Site (WHS) of the city of Valparaíso.

The “Historic Quarter of the Seaport City of Valparaíso” was inscribed as WHS in 2003. In the justification for Valparaíso’s WHS inscription, its statement of outstanding universal significance is largely founded on the relationships between the natural and the built environment which have shaped this unique city. In 2013, the UNESCO and the International Council on Monuments and Sites (ICOMOS) conducted an Advisory Mission that critiqued the existing management plan for Valparaíso’s WHS. The Advisory Mission criticised that Valparaíso’s management approach lacks important issues related to the Outstanding Universal Values (OUV) beyond the boundaries of the WHS. Therefore, the Advisory Mission considered the HUL approach as a good starting point to improve the management of the outstanding landscape values of Valparaíso’s urban heritage.

The main research question is focused on how the approach proposed by the HUL Recommendation can manage the outstanding landscape values of the city of Valparaíso. To address this question, mixed methods and triangulation were used. The methods included policy analysis, key stakeholder interviews, community focus groups and mapping exercises to explore the applicability of the HUL to Valparaíso. By assessing the alignment of Valparaíso’s current policies of heritage conservation and urban planning, the views of key stakeholders and the expectations of local communities are critically analysed through the management approach proposed by the HUL Recommendation. The results reveal barriers and facilitators for the HUL approach to be implemented in Valparaíso, as well as practical implications for improving the content of the HUL Recommendation.

The thesis finds that implementing the HUL approach in Valparaíso and Chile is not straightforward. Firstly, the WHS has boundaries that are not consistent with broader Valparaíso’s outstanding landscape values. That reflects that the definition of Valparaíso’s WHS has not well accounted for its OUV. Secondly, there is a significant conflict between the HUL approach, Chile’s legislative framework on heritage conservation, the conceptions of heritage of national level authorities and the perspectives of local communities. Beyond the case study of Valparaíso and Chile, the thesis undertakes a critical analysis of the HUL Recommendation in the Hispanophone context. This thesis finds that the HUL approach remains rooted in European and English-Speaking ideals of heritage which makes its implementation in Latin American cities problematic. This critique of the HUL approach has implications in how the view of local communities is considered and how the boundaries of WHS are defined. Thus, this thesis contributes in reflecting on the applicability of the HUL approach Latin American cities and the potential implications at a global level.

Declaration

This is to certify that

- i) the thesis comprises only my original work towards the degree of PhD,
- ii) due acknowledgement has been made in the text to all other material used,
- iii) the thesis is less than 100,000 words in length, exclusive of tables, maps, bibliographies and appendices.

A. Andrea Ortega Esquivel
May, 2020.

Preface

'Valparaíso lives in my memory for the cordiality of its people, its joy that seems like a grace received from the sea. If I lived in Chile, and this could happen one day because I have never forgotten it, I would not need to be happy but with that playful air, and the marine presence, which everywhere makes me happy and heals my ills.'

(Gabriela Mistral, 1954)

I am a Chilean woman. I was born in Santiago, which is the capital of Chile. However, I am not a pure *santiaguina*. I was born in San Bernardo, an old and quiet place in the southern periphery of the capital, which was absorbed by the metropolis. For 10 years, I lived by the northern Chilean coast. Now when I need to heal, I immerse myself in the Pacific Ocean. My internal landscape was shaped by the massive hills and cliffs of The Andes. I am one of those brave Chilean women who can happily swim through the violent waves of the Chilean coast. I learned how to endure the freezing Humboldt current, like a good austral penguin. My favourite dish is quinoa with grilled octopus, or any meal cooked by my grandmothers. Every meal should be accompanied with a good red wine; a *Carmenere*, of course. I am a typical Chilean *mestiza*. My family is a typical middle-class Chilean family, which emerged because of their work in industrial urban centres. I am an authentic Native American and European mixture of Spanish and *Mapuche* (on both sides), Italian, Basque (on my mother's side), *Chango*, French and African (on my father's side). From the late-nineteenth century, my ancestors began to migrate from the north and the south to the centre of the Chilean territory. They settled in Santiago and Valparaíso. From both branches of my family tree, I have ancestors from Valparaíso. My father was born in Valparaíso region and my great-grandfather was a typical *porteño*. My mother was born in Santiago, but my great-great-grandmother was a *porteña* who raised my grandmother. My two grandmothers now live in Santiago and they transmitted to me the cultural layers developed in Valparaíso from the first half of the twentieth century.

Any sensitive Chilean person would understand why I choose Valparaíso as a case study for my research. Although I was not born in Valparaíso, my cultural values are related to the roots of being *porteño*. Nevertheless, this thesis was not only written for those who understand the unique cultural heritage developed in one of the most important industrial urban centres between the Andes and the Pacific Ocean. This thesis was shaped in Melbourne, Australia and is written in English. I decided to migrate to the other side of the world and to communicate why my land and my cultural values are significant. My intuition told me that Valparaíso's heritage was beyond the WHS. Therefore, doing my PhD on this topic was a wonderful opportunity to corroborate my vital hypothesis.

My first approach to the hills of Valparaíso was when I finished high school. I was fascinated by the bohemian culture, so I began to frequent Valparaíso before commencing my architecture studies. Once, I went to Valparaíso with a group of urban sketchers and I became lost. That experience inspired me to study architecture. While being lost, I realised the landscape values of Valparaíso and it was easy to find inspiration to expand my artistic skills. That is why every student of architecture in Chile is required to visit the city of Valparaíso at least once. I realised the significance of the creative process of an architect. Drawing from the viewpoints and becoming lost in the city was significant training for me as architect, urbanist and heritage researcher. What processes were involved in the development of this bizarre city? Why did informality and a lack of planning shelter such rare cultural values? Why do these 'bunch of crazy houses' not collapse? These were some of the personal questions I had prior to commencing this thesis. My personal need to understand the landscape values of this Chilean city arose from these experiences and questions.

While I was finishing this thesis during October 2019, I experienced the massive civil protests throughout Chile. Protests and riots began in Santiago and expanded to other cities, including Valparaíso. From my perspective, these protests emerged because Chile is one of the most unequal countries in Latin America. According to the Economic Commission for Latin America and the Caribbean (ECLAC), 1% of the population in Chile controls 26.5% of the nation's wealth, whereas 50% of low-income households access 2.1% of the nation's wealth. These inequalities are reflected in the urban landscapes of Chilean cities, particularly in Valparaíso. Therefore, my intention in this thesis is not only to contribute to a field of knowledge, but to also reclaim recognition of the cultural values of a southern land that has been constantly ignored, oppressed and exploited by private interests. Beyond the outstanding landscape values recognised by UNESCO in Valparaíso, Chilean urban landscapes reflect intangible values. Today, Chilean communities are united in demanding social justice, without following a political leader or party. This was reflected in the large protest held in Santiago on Friday 25 October. One million Chileans peacefully marched in the biggest protest since the citizens movement began on Friday 18 October. Part of the social demands were transmitted to me while I was conducting fieldwork in 2017. Throughout the focus groups, I realised that people in Valparaíso were demanding compassion and empathy from national level authorities. Chilean communities need to feel that they are important and need to enhance their self-esteem, given that the value of their work and their dreams have been underestimated by governmental authorities. In some way, I attempted to transmit their emotions and concerns in my critical analysis.

My faith is on that this 2019 Spring Revolution is beneficial for Chile, for Latin America and all the countries that are still trying to find justice and peace.

Publications arising from the thesis include:

Peer-reviewed journal article:

- Ortega, Andrea (2018). “Nápoles en la declaratoria de Sitio de Patrimonio Mundial de Valparaíso: un análisis crítico y exploratorio desde el enfoque de Paisaje Urbano Histórico”. Revista Planeo nº37, Territorios y Paisaje, septiembre 2018. Publicado online: <http://revistaplano.cl/2018/10/28/napoles-en-la-declaratoria-de-sitio-de-patrimonio-mundial-de-valparaiso-un-analisis-critico-y-exploratorio-desde-el-enfoque-de-paisaje-urbano-historico/> (Published in Spanish)

Peer-reviewed conference paper:

- Ortega, Andrea (2018). An evaluation on how to implement the Historic Urban Landscape (HUL) approach in a critical case study: the city of Valparaíso, Chile. XVI International Forum of Studies 'Le Vie dei Mercanti' World Heritage and Knowledge. June 114-16, Naples and Capri, Italy [Published online]. Available on: <http://www.leviedeimercanti.it/proceedings-xvi-forum>

Acknowledgements

More than a PhD degree, this thesis represents a significant contribution to my vital experience. During the process of my candidature, I have been blessed by the persistent support of two amazing women: my supervisor, Dr Anna Hurlimann and co-supervisor, Dr Cristina Garduño-Freeman. Thank you Anna for supporting me from the beginning of this processes, for your kindness and wise guidance. Beyond academic issues, Anna was a key emotional support and inspired me to be a sensitive woman in academia, to be resilient and to stay on track in this career. Thank you Cristina for your close support and for sharing your knowledge with me in both English and Spanish. As an Australian Latin–American researcher, Cristina was able to decipher the essence of my research problem. She helped me to realise the contribution of my thesis beyond the research question and the critical issues related to the transfers between two languages and idiosyncrasies.

During these years, I was privileged to have wonderful women as part of my advisory committee. Thank you Professor Gini Lee for your kind support and critical perspective on the landscape approach, for being always available to talk and for being so accurate in your recommendations. Thank you Professor Hanna Lewi for your encouragement and for helping me to understand the complexity of defining boundaries of a heritage area. The last discussion in my completion seminar was fundamental to develop the final stage of my thesis. I acknowledge your enthusiasm for my thesis and your friendship.

The challenge of completing this PhD was made possible due to the unconditional love, commitment and patience of my husband Benjamín. Being far away from home for so long was tough, but thanks to Benja I could continue until achieving our goal. He patiently listened to me each day and helped me to clear my mind when I was anxious. Further, thanks to his analytical mind, I could improve my graphs and present my findings in the best way possible. *Mi amor*, everything we laughed and cried together these years has made us stronger and resilient. This PhD degree is not mine, but ours.

I must also express my heartfelt thanks to the people I met during fieldwork in Valparaíso and Santiago. This thesis would not be possible without your time and knowledge. Thank you for responding to my emails, opening many doors, being so kind to me, ensuring my safe visits and for sharing your unique experiences around the hills of Valparaíso. Special thanks to the Institute of Urban and Territorial Studies and the Center of Cultural Heritage of the Pontifical University of Chile and to the Research Center of Territorial Vulnerabilities and Informalities of the Universidad de Valparaíso. These academic institutions supported my fieldwork in Chile and provided a space to work and shared devices to develop the focus groups in Valparaíso.

I must thank my new friends in Australia. Ale and Mari, or *Comunidad de Haines Street*, thank you for being more than the best neighbours; you are the best new family that we could find. Julia, thank you for sharing many laughs and tears throughout our research journeys and for encouraging me when I needed it. José and Constanza, thank you for being supportive and for all the lunches and deep conversations on how to help the development of our country. Lian, thank you for the relaxing walks and for sharing nice

moments with me. Andrés, thank you for being the friendliest person of the third floor and for sharing that last coffee with me. Alessandro, thank you for making the best Italian pizza in Melbourne and for liking our *completo italiano*. Iki, thank you for our deep conversations, teaching me how to be resilient and sharing with my family in Chile. Karim, Nicole, Isadora, we shared beautiful moments and of course I will see you back in Chile. Sandra, Clare, Adam, Kaling, Kate, Victor, Camilo and all the colleagues who in some way helped me to keep on track, thank you.

I would also like to acknowledge the support of Jane Trewin and Ceira Barr. Thank you for being so supportive and comprehensive from the beginning of this process. I would like to thank my teachers and classmates at the IELTS Hawthorn English course prior to commencing the PhD. We spend three beautiful and difficult months learning academic English to start our degrees in the University of Melbourne. Thank you Ana, Mohammed, Bamby and Lissete. I really hope to see you again.

Finally, I give infinite thanks to my family for always being by my side, even though I was 11,285 km. from home: Yayo, Mamá, Papá, Mami, Tata, Abuelita Elba, María Inés, Mauri, Patty, Caro and, of course, Lupita. I love you and I am even more proud of our tribe because of the road I have travelled.

This PhD thesis was funded by the CONICYT PFCHA/DOCTORADO BECAS CHILE/2015 - 72160202

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List of acronyms and abbreviations¹

AHD	Authorized Heritage Discourse
CANHA	Chilean Association of Neighborhoods and Heritage Areas (<i>Asociación Chilena de Barrios y Zonas Patrimoniales</i>)
CDA	Critical Discourse Analysis
CIAM	International Congresses of Modern Architecture (<i>Congrès Internationaux d'architecture Moderne – CIAM</i>)
RCVTI	Research Centre on Vulnerabilities and Territorial Informalities (<i>Centro de Investigación de Vulnerabilidades e Informalidades Territoriales - CINVIT</i>)
CNM	Council of National Monuments (<i>Consejo de Monumentos Nacionales – CMN</i>)
CRP	Communal Regulatory Plan (<i>Plan Regulador Comunal - PRC</i>)
DLAM	Department of Libraries, Archives and Museums (<i>Dirección de Bibliotecas, Archivos y Museos - DIBAM</i>)
DCD	Direction of Communal Development (<i>Dirección de Desarrollo Comunal - DIDECO</i>)
EBP	Evidence-Based Policy
ECLAC	Economic Commission for Latin America and the Caribbean
EIA	Environmental Impact Assessment
EPV	Port Company of Valparaíso (<i>Empresa Portuaria de Valparaíso – EPV</i>)
FG	Focus Group
NFCDA	National Fund for Cultural Development and the Arts (<i>Fondo Nacional para el Desarrollo Cultural y las Artes - FONDART</i>)
GIS	Geographic Information System
GLUC	General Law of Urbanism and Constructions (<i>Ley General de Urbanismo y Construcciones - LGUC</i>)
GO-HUL	Global Observatory on the Historic Urban Landscape
GOUC	General Ordinance of Urbanism and Constructions (<i>Ordenanza General de Urbanismo y Construcciones - OGUC</i>)

¹ The Chilean institutional acronyms used in the argument of the thesis were translated to English for a better understanding of reader. However, the Chilean institutional acronyms included in the references were not translated from Spanish to English, given those were titled in Spanish.

GPHUS	Guide of the Historic Urban Landscape of Seville (<i>Guía del Paisaje Historico Urbano de Sevilla</i>)
HCB	Historic Conservation Building (<i>Inmueble de Conservación Histórica – ICH</i>)
HCZ	Historic Conservation Zone (<i>Zona de Conservación Histórica – ZCH</i>)
HIA	Heritage Impact Assessment
HUL	Historic Urban Landscape (<i>Paisaje Urbano Histórico – PUH / Paisaje Histórico Urbano - PHU</i>)
ICOMOS	International Council on Monuments and Sites
ICCROM	International Centre for the Study of the Preservation and Restoration of Cultural Property
IDB	Inter-American Development Bank
IGO	Intergovernmental Organisation
ISHM	Information System for Heritage Management (<i>SIGPA - Sistema de Información para la Gestión Patrimonial</i>)
IUCN	International Union for Conservation of Nature
IUTS	Institute of Urban and Territorial Studies (<i>Instituto de Estudios Urbanos y Territoriales - IEUT</i>)
MHU	Ministry of Housing and Urbanism (<i>Ministerio de Vivienda y Urbanismo - MINVU</i>)
MINEDUC	Ministry of Education (<i>Ministerio de Educación - MINEDUC</i>)
MPHM	Master Plan of Heritage Management of Valparaíso (<i>Plan Director de Gestión Patrimonial de Valparaíso – PDGPV</i>)
MPW	Ministry of Public Works (<i>Ministerio de Obras Públicas - MOP</i>)
NAUM	National Autonomous University of Mexico (<i>Universidad Nacional Autónoma de México - UNAM</i>)
NCCA	National Council for Culture and the Arts (<i>Consejo Nacional de la Cultura y las Artes - CNCA</i>)
NGO	Non-profit organization
NIS	National Institute of Statistics (<i>Instituto Nacional de Estadísticas - INE</i>)
NPUD	National Policy of Urban Development (<i>Política Nacional de Desarrollo Urbano - PNDU</i>)
OAS	Organization of American States (<i>Organización de Estados Americanos - OEA</i>)

OECD	Organization for Economic Co-operation and Development
OUV	Outstanding Universal Value
PLS	Plain Language Statement
PUC	Pontifical Catholic University of Chile (<i>Pontificia Universidad Católica de Chile - PUC</i>)
SCP	Secretary of Communal Planning (<i>Secretaría de Planificación Comunal - SECPLA</i>)
SHU	Service of Housing and Urbanisation (<i>Servicio de Vivienda y Urbanización - SERVIU</i>)
SNS	Social Network Sites
T2	Terminal 2 Port Expansion Project (<i>Terminal Cerros de Valparaíso - TCVAL</i>)
TPI	Territorial Planning Instrument
TZ	Typical Zone (<i>Zona Tipica – ZT</i>)
UN	United Nations
UNESCO	United Nations Educational, Scientific and Cultural Organization
UN-UMP	United Nations Urban Management Program
UNWTO	United Nations World Tourism Organization
VLIR-CPM	<i>Vlaamse Interuniversitaire Raad – Proyecto Ciudad Patrimonio Mundial</i> (World Heritage City Preservation Management of Cuenca)
WHITRAP	World Heritage Institute of Training and Research for the Asia and the Pacific Region
WHL	World Heritage List
WHS	World Heritage Site

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Chapter 4 includes digitalized heritage photographs requested from the Collection of the Historic National Museum of Chile and the National Library of Chile, 'Memoria Chilena'.

The photographs from the Collection of the Historic National Museum of Chile are available online at <http://www.fotografiapatrimonial.cl> to all users, for private or research purposes, respecting copyright (© *Colección Museo Histórico Nacional*). Appendix 1 shows the signed permission to include the above-mentioned photographs in the thesis.

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Glossary

1. Concepts in Spanish that are not possible to translate in English:

Mestizo: is referred to a person of combined European and Native American ancestry. In Latin America *mestizo* has become a cultural term, more than just an ethnical characteristic. The term *mestizaje* is the Spanish word for miscegenation, or the general process of mixing ancestries.

2. Chilean Spanish idioms:

Porteño: "port person". It is used to refer to a person who is from or lives in a port city, as Valparaíso, but it can also be used as an adjective for anything related to those port cities.

Conventillos: is referred to collective house where a family or a group of single men rented rooms. Services (such as dining room and bathrooms) used to be common for all tenants.

Curado (cura'o, curao): in Chilean slang, it refers to be drunk or being an alcoholic. It also refers to a typical Chilean character of the homeless alcoholic that drink box wine in the street.

Curaditos: in Chilean slang, it is referred to alcoholic people, but with an affective connotation (diminutive of 'curado').

Choro: in Chilean slang, it usually refers to a person of low social and economic status, linked to crime or aggression. It also has the connotation of loyal, authentic and committed to others

Cueca chora: is a kind of Chilean folk dance from the marginal urban areas of Valparaíso.

3. Significant places in Valparaíso mentioned by focus group participants:

Comedor 421: is a community center and a collective dining room that was born as an emergency for those who did not have anything to eat at the beginning of the twentieth century during the decline of the port activity. It is supported by La Matriz Corporation, an NGO linked to the old La Matriz Church in the Port Neighbourhood. It is located inside the WHS.

Chapter 1. Introduction

1.1 Research Context and Problem

This thesis explores the approach proposed by the Historic Urban Landscape (HUL) Recommendation to manage the landscape values of urban heritage. The HUL Recommendation was adopted by UNESCO in 2011 as a framework that reflects major progress on the management of urban heritage (Bandarin & van Oers, 2012; UNESCO, 2011c; Veldpaus, 2015). The HUL Recommendation considers urban heritage to be a historic layering of heritage values beyond the notion of the historic centre (UNESCO, 2011c). It recognises the landscape attributes of historic urban areas by considering a diversity of values and broad geographical contexts (UNESCO, 2011c). The HUL encourages a landscape approach for managing urban heritage by recognising the interrelationships between the built and the natural environment (UNESCO, 2011c). The landscape approach comprised in the HUL Recommendation was developed by the International Union for Conservation of Nature (IUCN), which protects the relationships between humans and the environment and endorses the custody of local communities (Brown, Mitchell & Beresford 2005). In this context, the HUL Recommendation defines the HUL as:

The urban area understood as the result of a historic layering of cultural and natural values and attributes, extending beyond the notion of 'historic centre' or 'ensemble' to include the broader urban context and its geographical setting. This wider context includes notably the site's topography, geomorphology, hydrology and natural features... It also includes social and cultural practices and values, economic processes and the intangible dimensions of heritage as related to diversity and identity (UNESCO, 2011b, p. 52).

The management approach proposed by the HUL Recommendation is the result of increasing awareness of the landscape values of urban heritage during the twentieth century. This thesis examines the emergence of the HUL Recommendation and provides a review of the evolution of heritage values during the twentieth century. The evolution of heritage values under the HUL Recommendation is analysed using standard-setting documents adopted by the UNESCO WHC and ICOMOS. The HUL Recommendation was designed to be applied as a standard-setting instrument, which UNESCO Member States are invited to apply and that could be adapted to local contexts (UNESCO, 2011b, 2011c). The UNESCO General Conference endorsed that Member States take appropriate measures to adapt the HUL Recommendation to their specific contexts (UNESCO, 2011b). This implies that Members States facilitate the implementation of the HUL Recommendation by adopting appropriate policies, legal frameworks and planning tools for the management of historic urban areas.

Beyond the boundaries of a WHS or historic centre, the HUL Recommendation encourages a management approach that is aligned with the principles of sustainable development (Aves, 2016; Bandarin & van Oers, 2012; Rey-Perez & Siguencia, 2017; Veldpaus & Roders, 2014). The HUL approach aims to respond to the increasing urban dynamics of the twenty-first century (van Oers, 2014). In 2017, the UNESCO Expert Workshop on Measuring Culture in the Sustainable Development Goals (SDG) highlighted that the HUL Recommendation reinforced the relationship between culture and sustainable development (UNESCO,

2017b). In 2018 the UNESCO report on 'Culture for the 2030 Agenda', emphasised the HUL Recommendation as being an innovative tool to better integrate urban heritage conservation within the broader goals of sustainable development (UNESCO, 2018a). Consequently, the HUL approach advocates the safeguarding of urban heritage by following a sustainable development framework.

The HUL Recommendation endorses that Member States and local authorities identify the critical steps to implement the HUL approach (UNESCO, 2011b). It also specifies that urban heritage conservation should be integrated into policies and practices related to the broader urban context (UNESCO, 2011b). These policies should endorse procedures for harmonising 'conservation and sustainability in the short- and long-term' (UNESCO, 2011b, p.53). According to Veldpaus and Pereira (2017), urban heritage conservation can be understood as a "process that contributes to sustainable development" (p.63). Heritage can be considered an urban resource as well as a cultural contribution to the human environment and to quality of life (Veldpaus and Pereira, 2017). In this context, in order to harmonise conservation and sustainability the participation of communities is required through a process of integral management (Bandarin & van Oers, 2012; Veldpaus and Pereira, 2017). Considering that each case study should identify the critical steps to implement the HUL approach, this thesis is focused on one of the critical steps proposed to implement the HUL Recommendation (see section 2.2.3 for the six critical steps):

To reach consensus using participatory planning and stakeholder consultations on what values to protect for transmission to future generations and to determine the attributes that bear these values (UNESCO, 2011b, p. 50).

The HUL Recommendation also states that governments should contribute to the implementation and assessment of urban heritage policies (UNESCO, 2011b). These policies should be based on a participatory approach, including stakeholders, local communities and institutional perspectives (UNESCO, 2011b). As such, another concern of this thesis is that:

The historic urban landscape approach learns from the traditions and perceptions of local communities, while respecting the values of the national and international communities (UNESCO, 2011b, p. 52).

In this context, the research problem is focused on how the landscape values of urban heritage can be managed by following the approach proposed by the HUL Recommendation. This is addressed through a critical analysis of the HUL approach in the city of Valparaíso, Chile (see Figure 1.1). The HUL approach appears to be appropriate for improving the management of the WHS 'Historic Quarter of the Seaport City of Valparaíso', which was listed in 2003 (UNESCO, 2003d). Valparaíso's WHS nomination file highlights that its OUV includes the significant relationships between its natural and built environments, which shaped a unique urban landscape (UNESCO, 2003d). Nevertheless, 10 years after its WHS nomination, an ICOMOS advisory mission identified several issues that affected the management of Valparaíso's WHS (ICOMOS, 2013). The *Report on the advisory mission to Historic Quarter of the Seaport City of Valparaíso* requested that the planning approach of Valparaíso's WHS be adjusted together with its conservation management plan (ICOMOS, 2013) and recommended that these adjustments consider the landscape attributes of the city. The HUL approach was considered to be 'an important starting point for this revision' (ICOMOS, 2013, p. 5). From the nomination of Valparaíso's WHS, the UNESCO World Heritage Committee (WHC) encouraged the State of Chile to protect the infrastructure of the historic harbour and transport

systems and to develop management plans for the port area (UNESCO, 2003d). It was also asked to clarify the norms and guidelines in areas that were next to the WHS (UNESCO, 2003d), which implied that the adjustments requested by the advisory mission involved planning and management issues beyond the boundaries of the WHS.

Figure 1.1. Location of the city of Valparaíso, Chile



To be included on the World Heritage List (WHL), WHS reflect OUV and meet at least one of 10 selection criteria (UNESCO, 2019d). Valparaíso's WHS meets criterion (iii), which is 'to bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living, or which has disappeared' (UNESCO, 2019d, p. 1). The nomination file of Valparaíso's WHS stated in response to criterion (iii):

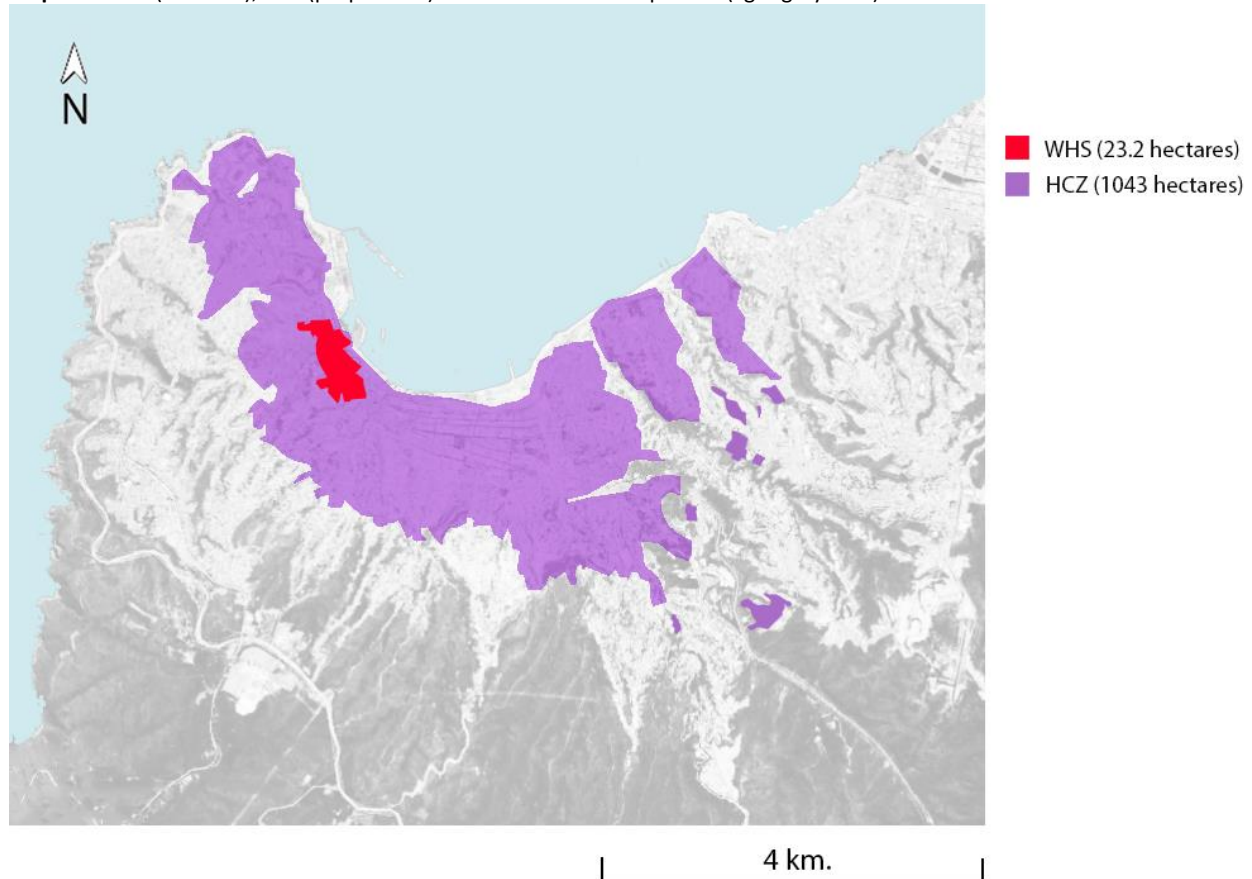
Valparaíso is an exceptional testimony to the early phase of globalisation in the late-nineteenth century when it became the leading merchant port on the sea routes of the Pacific coast of South America (UNESCO, 2003d, p. 1).

Valparaíso's WHS was selected by UNESCO because of a specific historic layer of its urban development: the peak of its industrialisation at end of the nineteenth century. Valparaíso's WHS nomination file also indicated that its natural conditions determined the development of the city–port (UNESCO, 2003d). These geographical conditions of Valparaíso's landscape were part of its OUV:

The bay which, due the nearby hills, formed a natural amphitheatre; a narrow plain standing between the coastline and the foothills; the hills themselves, which are linked by a network of sea-oriented ravines and, the plateaus at uneven heights, the ever-changing light and the prevailing winds (UNESCO, 2003d, p. 9).

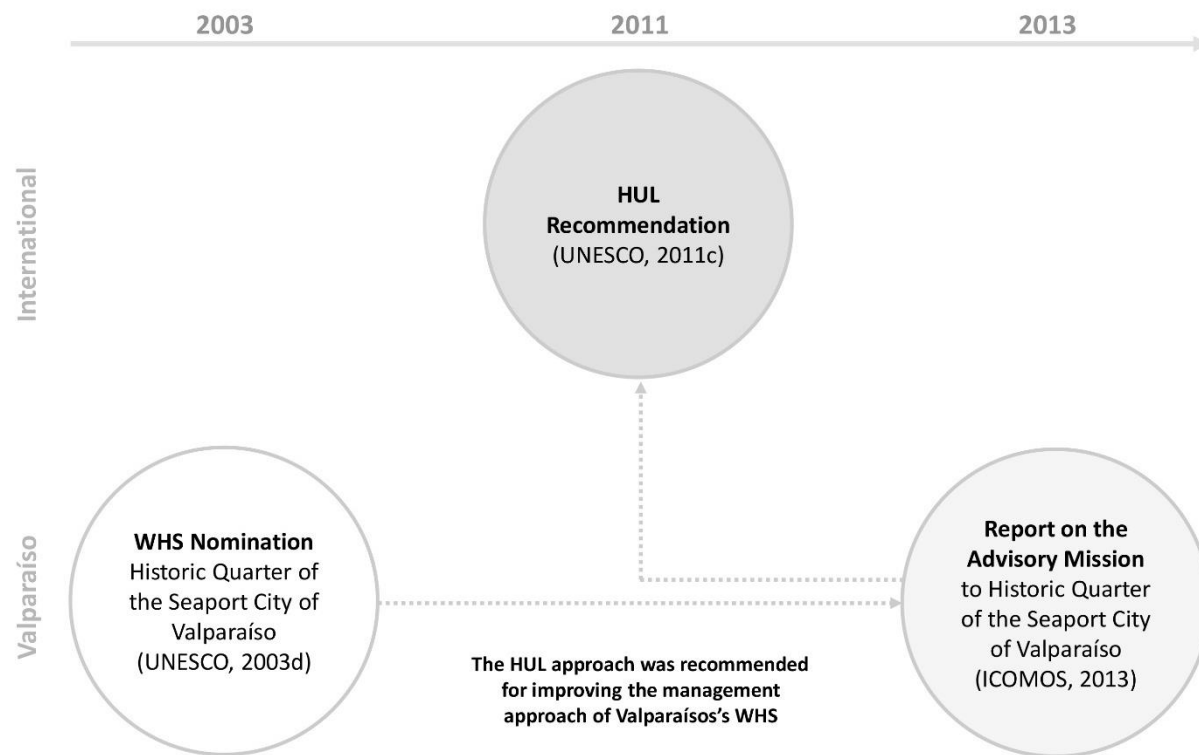
Nevertheless, these landscape attributes detailed in the WHS nomination file were not all contained within the WHS. As displayed in Map 1.1, the WHS is very small compared with the protected area of the Historic Conservation Zone (HCZ) defined in the Communal Regulatory Plan (CRP) of Valparaíso. The WHS is 23.2 hectares, whereas the HCZ or ‘Amphitheatre Hills’ is 1043 hectares and the communal area of Valparaíso is 40,160 hectares (Municipalidad de Valparaíso, 2018c; NIS, 2017). As the heritage values of Valparaíso are not all contained within the WHS, the HUL approach was considered suitable to facilitate a broader scale and range of heritage values.

Map 1.1. WHS (red area), HCZ (purple area) and urban area of Valparaíso (light grey area)



The Valparaíso case study reflects a critical context in which the HUL Recommendation was adopted. As shown in Figure 1.2, the core of the research problem can be synthesised in the content of three UNESCO and ICOMOS documents: the HUL Recommendation (UNESCO, 2011c), the nomination file of the Historic Quarter of the Seaport City of Valparaíso (UNESCO, 2003d) and the *Report on the advisory mission to Historic Quarter of the Seaport City of Valparaíso* (ICOMOS, 2013). This thesis presents a critical analysis of the management of the landscape values of Valparaíso's urban heritage through the approach proposed by the HUL Recommendation.

Figure 1.2. UNESCO and ICOMOS documents involved in the research problem



Through an analysis of the HUL approach in Valparaíso, the implications for implementing the HUL Recommendation in other cities in Latin America is critically discussed. Although the HUL has been considered to be an appropriate approach to manage global urban heritage, it has been widely criticised in the Hispanophone context (e.g., Conti, 2005; Lalana, 2011; Rey-Pérez and González-Martínez, 2018). Since the 2005 *Vienna Memorandum on World Heritage and Contemporary Architecture—Managing the Historic Urban Landscape*, the notion of the HUL in Spanish has been transformed over time (UNESCO, 2005b; Zetina Nava, 2005, 2016). Different interpretations of the HUL have caused its comprehension and implementation to be criticised in the Hispanophone context. Consequently, the approach proposed by the HUL Recommendation has significant implications for Latin American cities.

The next section details the aim and scope of the research, together with the research questions and objectives.

1.2 Aim and Scope of the Research

The research questions focused on whether the HUL approach was appropriate to manage the outstanding landscape values of Valparaíso and whether the critical analysis revealed broader implications for the HUL Recommendation. To respond to the research questions, four research objectives were defined. The research methods arose from the objectives, which were focused on evaluating the alignment of Valparaíso's heritage conservation and urban planning policies and assessing the views of

key stakeholders and local communities. From these results, the barriers and facilitators to the implementation of the HUL approach in Valparaíso were established.

In this context, given that the HUL approach was considered to be a useful starting point to improve the planning approach of Valparaíso's WHS by the 2013 advisory mission (ICOMOS, 2013), the main research question of this thesis was posed:

- How can the approach proposed by the HUL Recommendation manage the outstanding landscape values of the city of Valparaíso?

An additional question arose from the results of the critical analysis of the Valparaíso case study:

- How can the HUL Recommendation be enhanced for its implementation in Valparaíso and other cities?

To respond to the research questions, four main objectives were defined, which were related to the research methods:

- 1) To evaluate whether the current policy framework, laws and plans of heritage conservation and urban planning in Valparaíso were aligned with the HUL Recommendation.
- 2) To assess whether the key stakeholders involved in the management of Valparaíso's WHS had perceptions that were consistent with the HUL approach.
- 3) To assess what local community leaders and other community members valued from Valparaíso's urban heritage and whether their perceptions were consistent with the definition of the HUL.
- 4) To establish the barriers and facilitators to the implementation of the management approach proposed by the HUL Recommendation in Valparaíso.

The knowledge gaps addressed in this research are related to the theory and practice of urban heritage management. The HUL approach addresses these gaps through its potential to adequately consider a broader range of heritage values in changing urban contexts. The HUL Recommendation has been adopted to complement and update the existing policies on the conservation of historic urban landscapes (Veldpaus, 2015). This approach implies interdisciplinarity, although this thesis is focused on the fields of heritage conservation and urban planning. From this perspective, the landscape approach proposed by the HUL Recommendation addresses the gaps between both disciplines. Given the growing interest of professionals and institutions in the application of practical conservation tools, an increasing concern regarding management issues can be found in heritage studies (e.g., Blake, 2000; Lusiani & Zan, 2013; Zan & Bonini, 2013).

The challenge of implementing the HUL approach lies in comprehending and developing the governance framework in the specific context, which requires a critical analysis of the political and institutional processes involved in urban heritage management (Veldpaus, 2015; Zan & Bonini, 2013). Additionally, the improvement of tools and legislation should be supported by long-term collaborations with stakeholders involved in policies and practices (Bandarin & van Oers, 2012; Veldpaus, 2015). Many stakeholders could play a role, but it is essential to define to what extent they have influence and responsibility (Veldpaus, 2015). In this context, the HUL approach advocates a similar role for experts and communities, whereas government stakeholders should make decisions based on consultations (Veldpaus, 2015). Consequently, the methods used in this research included policy evaluation, in-depth interviews to key stakeholders, including experts and governmental stakeholders, and focus groups with community leaders and other members of the city of Valparaíso.

An additional concern of this research was how the approach proposed by the HUL Recommendation had been interpreted in the Hispanophone context. As part of the United Nations (UN), the UNESCO WHC has six official languages: Arabic, Chinese, English, French, Russian and Spanish (UN, 2019), which means that all official WHC documents are translated in those languages. In this thesis, the HUL Recommendation has been analysed in its English and Spanish versions. Given that the city of Valparaíso is in Chile, where the official language is Spanish, the policy evaluation included a comparison of the HUL Recommendation in English and the *Recomendación sobre el Paisaje Urbano Histórico* in Spanish (UNESCO, 2011a, 2011b). While conducting the analysis, different meanings and emphases were found in the English and Spanish texts. Additionally, the analysis comprised Valparaíso's WHS nomination file, which included texts in English and Spanish and six national documents (e.g., policies, laws and plans) that were written in Spanish. Moreover, the interviews and the focus groups conducted in Valparaíso were in Spanish and the results were translated into English. The mother tongue of the PhD researcher is Chilean Spanish, which meant that the results included in-depth interpretations of the Chilean idioms expressed by participants.

1.3 Significance of the Research

The knowledge gaps addressed in this research relate to the theory and practice of urban heritage management by following the HUL approach. One of the most important contributions of this thesis regards the critical analysis of the evolution of urban heritage conservation and the integration of the landscape values into the standard documents of UNESCO and ICOMOS until the HUL Recommendation. The HUL approach was a paradigm change, which defined heritage conservation for planning urban areas under a sustainable development framework (Aves, 2016; Bandarin & van Oers, 2012). The accurate interpretation of the HUL approach is important because it enables clear communication regarding the issues involved in the management process. Thus, this research contributes to the understanding of the HUL Recommendation in the Valparaíso case study and the broader Hispanophone context.

This thesis also contributes to the integration of the disciplines of heritage conservation and urban planning. In the field of heritage conservation, a consensus has been revealed on the need to renew the traditional approach to heritage, including a diversity of values (e.g., Labadi & Logan, 2016; Munjeri, 2004;

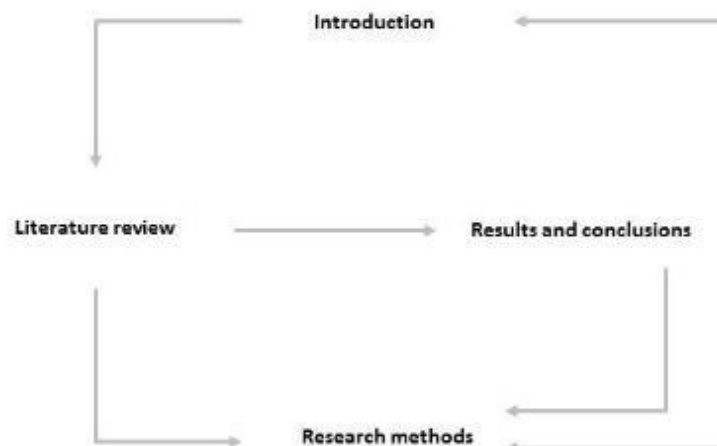
Smith, 2006). In the face of increasing urban pressures and environmental changes, it is essential to critically analyse established approaches to heritage conservation by broadening the scale and considering management and planning issues (Baarveld, Smit & Dewulf, 2013; Fredheim & Khalaf, 2016; Veldpaus, Pereira & Colenbrander, 2013). Through the critical analysis of established conservation approaches, new approaches to integrating heritage conservation and urban planning can be developed in response to the changing dynamics of the twenty-first century.

By using the case study of the city of Valparaíso, this research contributes to the practice of urban heritage conservation in Chile and Latin America, which is important because of the increasing development of urban areas, in which more than 87 per cent of Chile's population lives in urban areas (MHU, 2014). The planning practice in Chile reflects a paradox of strict building rules and permissive urban growth, which has undermined heritage conservation (Sabatini & Soler, 1995). Additionally, gentrification has rapidly increased in historic urban areas in Chile and Latin America. Policies have been frequently implemented to restore architectural heritage for tourists and local elites (Casgrain & Janoschka, 2013). A consequence of gentrification concerns the expulsion of informal merchants, craftspeople and street artists, which resulted in the marginalisation of local manifestations of intangible heritage, including ways of life, beliefs and transmitted knowledge (Munjeri, 2012). Due to these negative impacts, national governments in Latin America, including Chile, agreed on the need to develop more holistic approaches to urban heritage management (MHU, 2014). However, there is a lack of research that evaluates the alignment of national policies and legislation with contemporary approaches to heritage conservation. As such, this research addresses this gap.

1.4 Thesis Structure

This thesis has a four-part structure (see Figure 1.3): introduction; background, which is focused on the literature review; core, which is focused on the research methods; and synthesis, which includes presentation and discussion of the results and conclusions following Evans et al. (2011). The conclusion responds directly to the research question and objectives.

Figure 1.3. Structure of the thesis. Source: Own elaboration based on Evans et al., 2011



As shown in Table 1.1, there are 10 chapters in the thesis. Chapter 1 introduces the research problem, the scope and provides the thesis structure. Chapter 2 presents the emergence of the HUL Recommendation by UNESCO in 2011. The HUL is analysed from a notion to a management approach and UNESCO best-practice case studies are presented. Chapter 3 discusses the increasing awareness of the landscape values of urban heritage as a framework for the approach proposed by the HUL Recommendation. The content of this chapter is relevant to the thesis focus because it analyses how heritage values have expanded over time to consider urban heritage beyond a monumentalist approach. Chapter 4 introduces the Valparaíso case study by examining the traditional approach to urban heritage conservation in Latin America established by the Norms of Quito. The HUL approach in the Hispanophone context is discussed and a historical review of Valparaíso's urban development and its landscape values is presented. Chapter 5 presents the research methods and details the overall research design. Chapters 6, 7 and 8 present the results of the study. Chapter 6 addresses objective 1 through a systematic evaluation of Valparaíso's policies, laws and plans and its alignment with the HUL Recommendation. Chapter 7 presents the results of objective 2 by assessing whether the key stakeholders involved in Valparaíso's WHS held views that were consistent with the HUL approach. Chapter 8 presents an assessment of community values and their perceptions of Valparaíso's heritage management, which responds to objective 3. Chapter 9 develops the triangulation of the results presented in Chapters 6, 7 and 8, and provides a critical discussion of the Valparaíso case study and the HUL Recommendation. Chapter 10 presents the thesis conclusions. Table 1.1 displays the structure of the thesis:

Table 1.1. Structure of the thesis by chapter

Introduction	Chapter 1: Introduction
Literature review	Chapter 2: Emergence of the HUL Recommendation
	Chapter 3: Landscape Values of Urban Heritage: Background to the HUL Approach
	Chapter 4: Valparaíso's Landscape Values and the Need for a Broader Approach to Urban Heritage Management
Methods	Chapter 5: Research Methods
Results and conclusions	Chapter 6: Evaluating Valparaíso's Policy Framework and its Alignment with the HUL Recommendation
	Chapter 7: Key Stakeholders' Views on Urban Heritage Management in Valparaíso
	Chapter 8: Community Values and their Perceptions of Valparaíso's Heritage Management
	Chapter 9: Triangulation and Critical Discussion of Valparaíso and the HUL Recommendation
	Chapter 10: Conclusions

The next chapter details the adoption of the HUL Recommendation by UNESCO in 2011 and examines how its approach has been implemented in different case studies.

Chapter 2. Emergence of the HUL Recommendation

This chapter presents an examination of the emergence of the HUL Recommendation in 2011 and its implementation through best-practice case studies identified by UNESCO. To contextualise the HUL Recommendation, UNESCO's standards-setting documents, WHS and OUV are introduced. The HUL was based on the need to protect heritage under the increasingly changing dynamics of the twenty-first century. This shift required the integration of a diverse range of heritage values from a more integrative perspective. In 2005, UNESCO included the HUL concept in the Vienna Memorandum (UNESCO, 2005d). In 2011, the HUL was defined as an approach that was widely considered to be a safeguarding solution for global urban heritage. From the need to implement the HUL approach, a toolkit was proposed (UNESCO, 2016), which included different best-practice case studies that applied the HUL approach, such as the city of Cuenca, Ecuador. Analysis of this best-practice case study demonstrates that more research is needed regarding the practical implementation of the HUL approach into regulatory systems and planning tools.

2.1 Introduction to UNESCO and World Heritage Sites

2.1.1 The Emergence of UNESCO's Standards-setting Documents

To contextualise the HUL Recommendation (UNESCO, 2011b), it is important to understand that UNESCO is a specialised agency of the UN, which is based in Paris. UNESCO is a non-profit intergovernmental organisation that was founded in 1945 and its original purpose was to promote peace and security during the Second World War (Duedahl, 2016; UNESCO, 2019b). From the massive destruction of monuments and urban areas in Europe, tangible heritage was understood to be an element for reconciliation and the prevention of armed conflicts (Blake, 2000). In 1954, the *Convention for the Protection of Cultural Property in the Event of Armed Conflict*, known as the 'Hague Convention', was developed (Blake, 2000; UNESCO, 1954). This convention proposed a worldwide approach to the protection of cultural heritage during armed conflict (Blake, 2000). In this context, a body of international agreements for the protection of heritage has since been established by UNESCO (Blake, 2000). The origin of the UNESCO standard-setting documents is rooted in the loss of tangible heritage and in a context of strong conflicts of values. Additionally, the origin of UNESCO's worldwide approach to heritage conservation emerged from a European perspective.

UNESCO's symbolic weight became significant at a global level and the rise of heritage within UNESCO demonstrate a shifted orientation towards human diversity within the organisation (Meskell, 2015). In 1972, the World Heritage Convention (WH Convention) was adopted by UNESCO's General Conference at its 17th session in Paris. The WH Convention is an international policy that defines cultural and natural heritage (UNESCO, 1972) and notes that heritage is progressively threatened by deterioration over time and by changing local and global circumstances (UNESCO, 1972). The WH Convention defines cultural heritage as monuments, groups of buildings and sites (UNESCO, 1972). Sites are defined as being human

or combined works of nature and humans and areas including archaeological remnants with historical, aesthetic or anthropological OUV (UNESCO, 1972). The WH Convention represents significant changes in the perception of heritage values over time and in the practice field of heritage management (Hall & McArthur, 1996; Mason, 2006; Pendlebury, 2013). Together with the WHC, the WH Convention became a platform for debating conceptual approaches and the application of conservation policies at global and national levels (Pendlebury, 2013). The WH Convention is applied by the World Heritage Committee (WHC). The WHC through the implementation of the WH Convention defines the use of the World Heritage Fund and assigns financial assistance upon requests from States Parties (UNESCO, 2020). The HUL Recommendation (UNESCO, 2011b) recalled that the corpus of UNESCO standard-setting documents remained valid, which includes the WH Convention.

UNESCO Member States or State Parties, which are the countries that have ratified the WH Convention, recognise the duty of safeguarding WHS located within their territories (UNESCO, 1972). Therefore, WHS belong to States in the first place, which must do all they can with their resources, drawing upon international assistance and cooperation when required (UNESCO, 1972). State Parties should adopt policies for the appropriate legal, technical, administrative and financial actions of heritage management (UNESCO, 1972). Additionally, bearing in mind global cultural differences, UNESCO and its Member States agree to common rules through international standard-setting documents such as agreements or compulsory conventions, recommendations or declarations (UNESCO, 2019a). Conventions are subject to ratification or acceptance by States, whereas recommendations are instruments in which the principles for international regulation are defined and Member States are invited to undertake legislative measures (UNESCO, 2010). Therefore, recommendations are not subject to ratification, although Member States are invited to apply. Declarations also define norms, like recommendations, and they set principles that are not subject to ratification (UNESCO, 2010). The HUL Recommendation is a standard-setting document that defines principles to which UNESCO Member States are invited to apply.

The WH Committee has advisory bodies to guide them regarding the implementation of the WH Convention, including ICOMOS, IUCN and the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM) (UNESCO, 2017c). The roles of ICOMOS and IUCN as WH Committee advisory bodies are to assess areas nominated for inscription on the WHL and to develop evaluation reports (UNESCO, 2017c). ICOMOS is a global NGO comprised of an interdisciplinary network of experts. The organisation has its own agenda, which supports UNESCO on the application of methods and scientific techniques for the conservation of cultural heritage places (ICOMOS, 2004, 2019). The ICOMOS General Assembly adopts charters and other doctrinal texts on heritage conservation and provides technical assistance for assessing the OUV to outline the boundaries of a WHS (ICOMOS, 2004). This thesis examines UNESCO standard-setting documents and ICOMOS doctrinal texts that are relevant to understand the background of the HUL Recommendation.

2.1.2 World Heritage Sites and their Outstanding Universal Values

The process for a WHS to be included in the WHL is defined in the *Operational Guidelines for the Implementation of the WH Convention* (operational guidelines) (UNESCO, 2017c). The nomination process begins when a State Party lists its site, which is then included in the 'Tentative List'. From that list, sites are selected to be included in a nomination file, which is evaluated by professional experts from ICOMOS and IUCN. These institutions make recommendations to the WHC (UNESCO, 2017c). The operational guidelines are periodically revised to reflect the decisions of the WHC to facilitate the implementation of the WH Convention set out the procedure for the inscription on the WHL and the *List of World Heritage in Danger* (UNESCO, 2017c). State Parties are responsible for the conservation of WHS, but UNESCO provides international assistance under the World Heritage Fund for purposes that the WHC defines (UNESCO, 2017c). The WHC meets once a year to determine whether to inscribe WHS and from the assessment of OUVs, management plans and sustained funding are established.

The OUVs of WHS are defined by exceptional attributes of cultural and/or natural significance (UNESCO, 1972). The exceptional attributes of WHS transcend national boundaries and are necessary to be conserved and transmitted to future generations (UNESCO, 1972, 2017c). For the assessment of OUV, a cultural site should meet one or more of the six selection criteria (UNESCO, 2017c). In addition to meeting at least one of the six criteria, all cultural sites must meet the conditions of integrity and authenticity and prove an adequate management system to guarantee the safeguarding of the OUV (UNESCO, 2017c). A statement of integrity should be developed for defining the OUV of the site. This statement must indicate that its fabric and significant features are in good condition and the deterioration processes are under control (UNESCO, 2017c). The nomination should also reflect the statements of the ICOMOS *Nara Document on Authenticity*, which emphasises the assessment of values attributed to heritage from truthful sources to recognise its authenticity (ICOMOS, 1994). The sites considered to be cultural landscapes, historic towns 'or other living properties' should demonstrate how their relationships and dynamic functions are present and maintained (UNESCO, 2017c, p. 28). Therefore, when a WHS is inscribed in an urban area, its statement of significance should mention how the OUV will be managed, including consideration of current and future urban dynamics.

A thorough definition and assessment of the OUV is fundamental for the establishment of a consistent management plan for a WHS. The UNESCO criteria provide general guidelines to safeguard the heritage attributes to be conserved, but each State Party is responsible for the development of a comprehensive plan to protect and transmit the values identified in a WHS. The next section introduces the management approach proposed by the HUL Recommendation.

2.2 The HUL: From a Notion to a Management Approach

The notion of the HUL emerged from the need to protect heritage under the changing dynamics of the twenty-first century (Bandarin & van Oers, 2012). The increasing global economic, cultural and environmental transformations required the assimilation of a wide range of values to develop a holistic

approach to urban heritage conservation. Thus, the HUL integrates contemporary development together with the conservation of the heritage values beyond the traditional boundaries of historic centers. This notion required appropriate measures to adapt the HUL as a management approach to specific contexts and to facilitate its implementation by adopting new policies and instruments

2.2.1 The Notion: Managing Urban Heritage in a Changing Global Landscape

Progressively changing global dynamics have required that heritage management integrate a diverse range of values and disciplines for proper conservation (Bandarin & van Oers, 2012; Veldpaus et al., 2013). The notion of HUL emerged from the need to cope with the process of rapid urbanisation worldwide, consider the evolving nature of heritage values and to reconcile the conflicts that arose between conservation and development (Araoz, 2011; Rey-Perez & Siguencia, 2017; Veldpaus & Roders, 2014). From the end of the twentieth century, cities were places that contained a mixture of cultures and identities (Bandarin, 2011). However, environmental and economic changes adversely altered built environments and populated landscapes, which have become increasingly vulnerable (Aves, 2016; Bandarin & van Oers, 2012). Therefore, uncontrolled urbanisation is one of the major threats for urban heritage conservation (Aves, 2016; Bandarin & van Oers, 2012). The core of the HUL notion was that thoughtfully managed heritage values are a resource to develop sustainable and resilient cities (Bandarin & van Oers, 2012; Veldpaus et al., 2013; Veldpaus & Roders, 2014). Urban heritage management encourages ‘a positive driving force for environmental, economic, social and cultural development of cities’ (Aves, 2016, p. 3). Therefore, urban heritage conservation is about the management of change (Veldpaus & Roders, 2014). In this context, urban heritage conservation has shifted from the monumental approach developed at the beginning of the twentieth century to a landscape approach, which considers a broader scale and range of values.

2.2.2 The HUL from the Vienna Memorandum

The term HUL began to be used by the UNESCO WHC in 2005, following the *Vienna Memorandum on World Heritage and Contemporary Architecture—Managing the Historic Urban Landscape* (UNESCO, 2005d). The Vienna Memorandum was the result of a discussion regarding how contemporary development could be integrated with the conservation of the heritage values of historic areas, with the city of Vienna being a case study (Veldpaus, 2015). The Vienna Memorandum indicated that the notion of the HUL commenced in 1976 with the *UNESCO Recommendation Concerning the Safeguarding and Contemporary Role of Historic Areas*, which referred to ‘ensembles of any group of buildings, structures and open spaces, in their natural and ecological context... constituting human settlements in an urban environment over a relevant period of time’ (UNESCO, 2005d, p. 2). The HUL was considered to be a mechanism to understand how modern society was formed and how past place-based developments have shaped current urban contexts (UNESCO, 2005d). From the Vienna Memorandum, several workshops and debates were developed which discussed the concept and the approach proposed by the HUL, until the UNESCO General Assembly requested to adopt a *Declaration on the Conservation of the HUL* (UNESCO, 2005b).

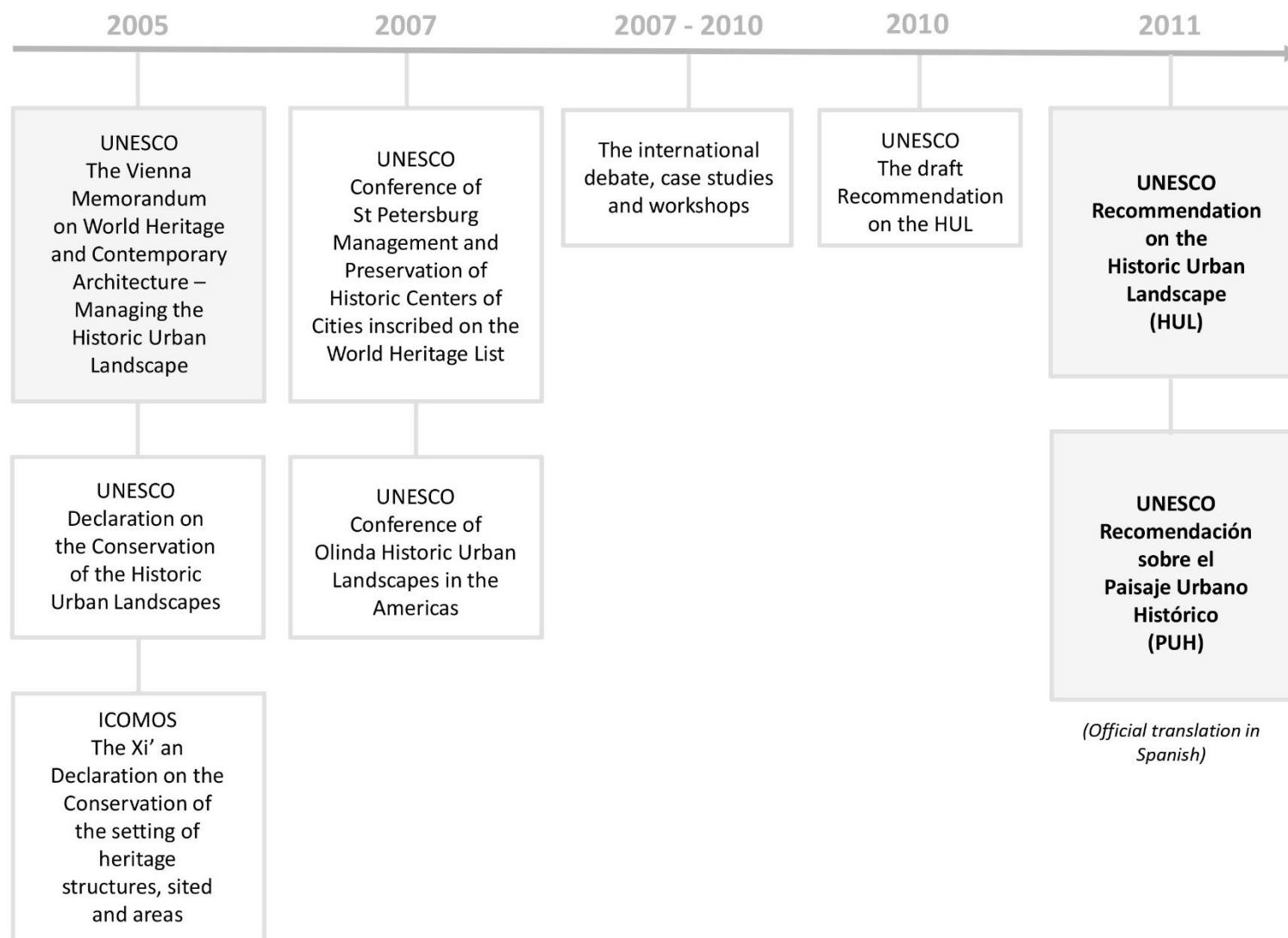
Moreover, in 2005 ICOMOS adopted the *Xi'an Declaration on the Conservation of the Setting of Heritage Structures, Sites and Areas* (ICOMOS, 2005). The Xi'an Declaration stated that the concept of setting in UNESCO conventions defined the need to establish buffer zones (ICOMOS, 2005). Further, it highlighted the cooperation between ICOMOS, UNESCO and other partners for the conservation and development of the HUL from the Vienna Memorandum (ICOMOS, 2005). From the Vienna Memorandum, the HUL focused on the value of historic areas and its natural context but did not focus on intangible heritage. However, the Xi'an Declaration included broader management issues that were related to the cooperation between international organisations and local communities.

Between 2007 and 2011, several expert meetings were held regarding the HUL (UNESCO, 2016). These expert meetings were organised along to UNESCO standards in which the representative of State Parties decide according to the regulations for the various categories meetings convened by UNESCO (UNESCO, 2019e). The representatives to UNESCO on behalf of ratified States interact between expert knowledge and politics "shaping process and decisions" (James and Winter, 2005, p.1). In 2007, the conference on *Management and Preservation of Historic Centers of Cities inscribed on the World Heritage List* was held in St. Petersburg, which aimed to refine the concept of HUL and 'to elaborate it as the basis for a toolkit to facilitate a holistic approach ... in a diversity of geo-cultural contexts' (UNESCO, 2007b, p. 2). In 2007, the conference on *Historic Urban Landscapes in the Americas* was held in Olinda, Brazil, which highlighted the importance of incorporating intangible attributes of the urban cultures (UNESCO, 2007a). Consequently, the HUL approach was broadened beyond the definition of the Vienna Memorandum.

In 2008, the *Recommendation Concerning the Safeguarding and Contemporary Role of Historic Areas* was published (UNESCO, 2008c), which formulated principles regarding dynamic urban processes in a globalised context (UNESCO, 2008c). In 2011, ICOMOS published the *Valletta Principles for the Safeguarding and Management of Historic Cities, Towns and Urban Areas*, which, together with the HUL Recommendation, is the most recent international document that addressed urban heritage management (ICOMOS, 2011). The Valletta Principles stated that heritage is an essential resource of urban ecosystems and that historic areas have tangible and intangible elements that express social development and cultural identities (ICOMOS, 2011). It also established that historic areas are an integral and inseparable part of the broader natural and human-made context, so when properly managed these can improve urban quality of life (ICOMOS, 2011). From the Vienna Memorandum to the Valletta Principles, UNESCO and ICOMOS have contextualised heritage conservation as being a major global challenge. Given that globalisation involves changes in population towards urban areas, national and international institutions in charge of the conservation of urban heritage and the enhancement of its values have been called upon to develop new tools for heritage conservation.

In 2010, a preliminary report was developed from the HUL Recommendation (UNESCO, 2010b) and the final *Recommendation on the Historic Urban Landscape* (UNESCO, 2011b) was published in 2011. Figure 2.1 shows a timeline of the HUL in ICOMOS and UNESCO standard-setting documents, from the Vienna Memorandum to the 2011 HUL Recommendation.

Figure 2.1. Timeline of the HUL from ICOMOS and UNESCO standard-setting documents until the 2011 HUL Recommendation. Source: own elaboration based on The HUL Guidebook (UNESCO, 2016)



2.2.3 UNESCO Recommendation on the HUL

Through several debates involving State Parties that were conducted by the UNESCO WHC and the General Assembly, it was decided that existing standard-setting policies that related to the management of global urban heritage should be complemented by a HUL Recommendation (UNESCO, 2011d). Therefore, the records of the 36th session of the General Conference included the HUL Recommendation, the *General Conference Resolution on the Historic Urban Landscape* (UNESCO, 2011b). In this resolution, the UNESCO General Conference endorsed that Member States take appropriate measures to adapt the HUL as a management approach to their specific contexts and to facilitate its implementation by adopting new policies for the management of historic cities (UNESCO, 2011b). For the implementation of the HUL, local authorities are encouraged to recognise the critical steps for its implementation within their contexts, which may comprise the following:

- (a) To undertake comprehensive surveys and mapping of the historic cities' natural, cultural and human resources.
- (b) To reach consensus using participatory planning and stakeholder consultations on what values to protect for transmission to future generations and to determine the attributes that bear these values.
- (c) To assess the vulnerability of such attributes to socioeconomic pressures and the impacts of climate change.
- (d) To integrate urban heritage values and their vulnerability status into a wider framework of city development, which shall provide indications of areas of heritage sensitivity which require careful attention to planning, design and implementation of development projects.
- (e) To prioritize actions for conservation and development.
- (f) To establish the appropriate partnerships and local management frameworks for each of the projects identified for conservation and development and to develop mechanisms for the coordination of the various activities between different actors, both public and private (UNESCO, 2011b, p. 50).

The six critical steps are broad and comprise different issues to reach sustainable development in urban contexts. As mentioned, section 1.1, this thesis is particularly focused on reaching consensus using participatory planning and stakeholder consultations on what values to protect. Besides, this thesis analyses the content of the HUL Recommendation in order to understand whether Valparaíso's policies are aligned with the HUL Recommendation. The HUL Recommendation was organised through the following structure:

- Preamble
- Introduction
- I. Definition
- II. Challenges and opportunities for the historic urban landscape
- III. Policies
- IV. Tools
- V. Capacity-building, research, information and communication
- VI. International cooperation
- APPENDIX—Glossary of definitions.

The preamble included the context in which the HUL Recommendation was developed and highlighted that a corpus of valid UNESCO standard-setting documents regarding the conservation of historic areas existed (UNESCO, 2011b). The introduction of the recommendation indicated that urban heritage includes both tangible and intangible attributes, which are key resources for developing urban areas in a changing global environment (UNESCO, 2011b). In the section '1. Definition', the HUL was defined as:

The result of a historic layering of cultural and natural values and attributes, extending beyond the notion of 'historic centre' or 'ensemble' to include the broader urban context and its geographical setting (UNESCO, 2011b, p. 52).

The HUL is a concept that has been defined in the HUL Recommendation, but this has evolved from the Vienna Memorandum (see section 2.2.2). Besides, the HUL approach refers to the management approach proposed by the HUL Recommendation. The HUL approach is a holistic, integrated and transdisciplinary management approach for heritage conservation with larger development frameworks (Veldpaus and Pereira, 2017). The critical steps to implement the HUL approach include broad planning policies and tools (UNESCO, 2011b). The range of activities to implement the HUL approach involve a comprehensive mapping of natural and cultural resources, assessing the impacts of climate change and establishing management agendas for each project (UNESCO, 2011b). This thesis presents an examination of the critical step (b), which is focused on reaching consensus from participatory planning activities and stakeholder consultations regarding what values to protect. The content of the HUL Recommendation is critically analysed throughout the thesis, particularly in Chapter 6.

The next section discusses the implementation of the HUL approach drawing upon the literature and case studies.

2.3 The Implementation of the Approach Proposed by the HUL Recommendation

2.3.1 The HUL As a Sustainable Approach to Safeguard Global Urban Heritage

Several authors affirmed that the HUL is a holistic approach, which is aligned with principles of sustainable development (e.g., Aves, 2016; Bandarin & van Oers, 2012; Rey-Perez & Siguencia, 2017; Rodwell, 2018; Veldpaus & Roders, 2014). The HUL approach seeks to respond effectively to the increasing urban dynamics of the twenty-first century, which are 'always in a state of flux and seemingly accelerating' (van Oers, 2014, p. 317). Nevertheless, holistic thinking requires the consideration of other important issues beyond heritage conservation (Aves, 2016; Rodwell, 2018). To safeguard global heritage in a sustainable manner, the HUL approach aims to integrate the management of historic areas, beyond those listed as WHS, together with urban development processes and the protection of the natural environment (Rodwell, 2018; van Oers, 2014; Pereira Roders & Bandarin, 2019). The HUL Recommendation can be applied to all historic urban landscapes and not just those identified by OUV. This implies the HUL Recommendation is a broad management approach in which each case study can adapt for its implementation. In 2017, UNESCO highlighted that the HUL Recommendation reinforces the relationship

between culture and sustainable development (UNESCO, 2017b). Moreover, UNESCO considered the HUL Recommendation to be an innovative tool that promotes a landscape approach to better integrate urban heritage within the broader goals of sustainable development (UNESCO, 2018a). As such, the HUL was considered to be a sustainable approach to safeguard global urban heritage.

From the efforts to broaden the traditional approach to urban heritage, contradictions have been revealed between the practices of conservation and development (Aves, 2016; Bandarin & van Oers, 2012). According to Bandarin and van Oers (2012), several issues need to be continuously re-examined by heritage conservation experts when implementing the HUL approach. For example, including the protection of natural resources has the potential to enhance the implementation of the HUL approach, but this requires the consideration of interdisciplinary studies (Aves, 2016; Bandarin & van Oers, 2012). From this perspective, the integrated professional work of heritage managers, urban planners and landscape architects could enhance the conservation of historic areas together with new developments (Aves, 2016). In this context, implementation of the HUL approach requires an understanding of the complex scenario in which urban heritage is contextualised and changing the ways of working from traditional unidisciplinary practices.

2.3.2 The HUL Toolkit and Best-Practice Case Studies

The first steps of an action plan to implement the HUL should include the comprehensive identification, mapping and assessment of the values of urban heritage (UNESCO, 2011b; van Oers, 2014). These values should reflect where they crystallise in places and practices, by prioritising and defining how much heritage these could change (van Oers, 2014). This requires comprehension through consultations with stakeholders and communities regarding what they consider essential to not lose, through a reasonable consensus (van Oers, 2014). Therefore, values need to be assessed in the HUL approach not just from the view of the experts, but from an agreement that considers the views of key stakeholders and local communities.

The HUL Recommendation has been considered to be an appropriate framework for the management of urban heritage and several professionals have demonstrated their enthusiasm to implement the HUL Recommendation by adapting its approach to different case studies (Buckley et al., 2016; Rey-Perez & Siguencia, 2017; Sanz et al., 2017). Most of the projects for the implementation of the HUL approach were developed from applied research on the management of WHS (Siguencia, 2018; Sanz et al., 2017). However, some cities that were not listed as WHS have also used the HUL approach to improve the management of their urban heritage, such as the Australian town of Ballarat (Buckley et al., 2016). This reveals that the HUL approach is not just considered to be appropriate for the management of WHS, but also for historic urban areas that have national level protections.

Given the need to develop practical tools to implement the HUL approach in different case studies at a global scale, *The HUL Guidebook Case Study* was published (UNESCO, 2016). The HUL Guidebook provides a practical understanding of the HUL approach, including an introduction to the theoretical framework (UNESCO, 2016). It also includes seven best-practice case studies of cities that have implemented the HUL

approach and a list of experts and resources to assist in its implementation. The seven best-practice case studies in which the HUL approach was applied are:

- Ballarat, Australia
- Shanghai, China
- Suzhou, China
- Cuenca, Ecuador
- Rawalpindi, Pakistan
- Zanzibar, Tanzania
- Naples, Italy
- Amsterdam, Netherlands (see Figure 2.2).

Figure 2.2. World map illustrating the location of the HUL best-practice case studies. Source: own elaboration based on The HUL Guidebook (UNESCO, 2016)



Five of these best-practice case studies—Ballarat, Cuenca, Shanghai, Suzhou and Rawalpindi—were pilot cases for the HUL Program, ‘World Heritage Institute of Training and Research for the Asia and the Pacific Region’ (WHITRAP) under the sponsorship of UNESCO in Shanghai, China. These cases demonstrate the application of different tools that were considered to be appropriate to each local context (UNESCO, 2016). The toolkit presented in the HUL Guidebook emphasised that the management of heritage in complex and changing environments requires ‘a robust and continually evolving toolkit’ (UNESCO, 2016, p. 14). Therefore, the successful application of the HUL approach requires an extended and robust set of tools, including a variety of interdisciplinary and innovative tools adapted to local contexts (UNESCO, 2011b). According to the HUL Recommendation, these tools may include:

- **Civic engagement tools**, which should comprise a variety of stakeholders to identify the key urban heritage values, reflect their diversity and agree on sustainable conservation measures. These tools,

which are part of the planning governance, should facilitate intercultural dialogue by learning from communities' values and by negotiating conflicting interests (UNESCO, 2011b).

- **Knowledge and planning tools**, which should safeguard of the integrity and authenticity of the urban heritage attributes and recognise its significance and diversity. These should include the documentation and mapping of cultural and natural resources, and heritage and environmental impact assessments to support the decision-making processes (UNESCO, 2011b).
- **Regulatory systems**, which should reflect local legislative and regulatory measures to conserve and manage the tangible and intangible attributes of the urban heritage. Additionally, traditional and customary systems should be recognised as required (UNESCO, 2011b).
- **Financial tools**, which should build capacities and innovative income-generating development, rooted in tradition. Financial tools should foster private investment at the local level and government and international funds, including a diversity of models of partnerships (UNESCO, 2011b).

In 2016, the HUL Guidebook proposed a HUL Toolkit, in which knowledge and planning tools were explained and the 'civic engagement tools' (UNESCO, 2011b, p. 53) were changed to 'community engagement tools' (UNESCO, 2016, p. 14) (see Figure 2.3).

Figure 2.3. Diagram of the HUL toolkit. Source: own elaboration based on The HUL Guidebook, 2016.

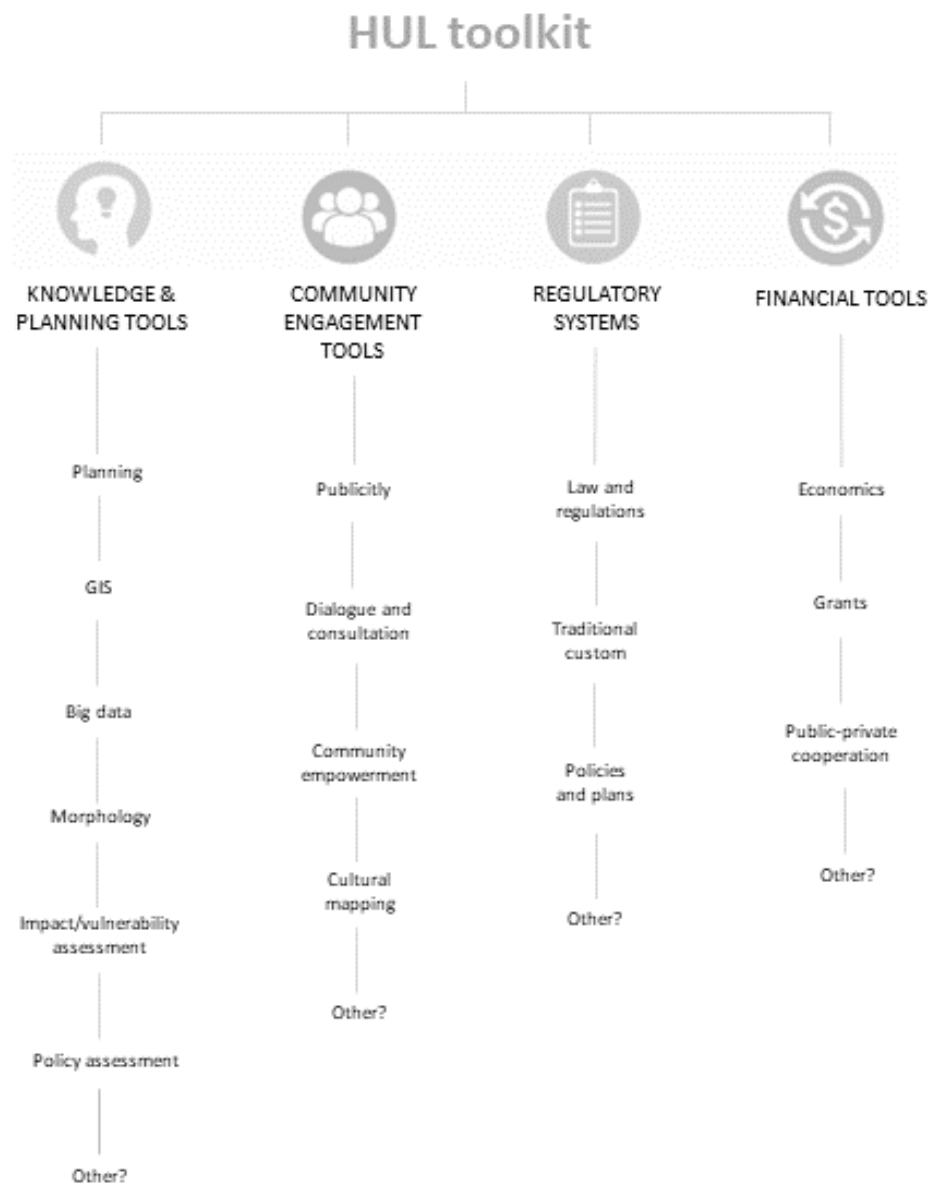


Table 2.1 synthesises the HUL Toolkit (UNESCO, 2016) and indicates the objectives and required tools.

Table 2.1. Synthesis of the HUL Toolkit, including objectives and tools

HUL TOOLKIT				
	Knowledge and planning tools	Community engagement tools	Regulatory systems	Financial tools
OBJECTIVES	- To protect the integrity and authenticity of attributes - To recognise cultural significance and diversity - To monitor and manage change - To bring continuity into planning and design.	- To empower a diverse cross-section of stakeholders - To identify key values - To develop visions - To agree on actions - To facilitate intercultural dialogue - To learn from communities - To negotiate between conflicting interests and groups.	- To manage tangible and intangible components of urban heritage - To identify social and environmental values - To recognise and reinforce traditional and customary systems.	- To improve urban areas, while safeguarding their heritage values. - To support and build capacity to innovative income-generating development rooted in tradition - To promote private investment at the local level.
TOOLS	- Mapping of cultural and natural features (GIS—big data) - Heritage, social and environmental impact assessments - Policy assessment.	- Publicity - Dialogue and consultation - Community empowerment - Cultural mapping.	- Ordinances - Acts - Decrees.	- Variety of models of public–private partnerships - Global funds from international agencies - Microcredit and other flexible financing mechanisms - Grants.

From this set of general tools, different case studies have adapted these into their local contexts. The 2016 HUL Toolkit defined more specific actions than the 2011 HUL Recommendation. Nevertheless, the practical application of the HUL Toolkit requires an understanding of the legislation and regulatory systems of the case study. Hence, the current challenge of each case study is how to consider the complex issues that involve the HUL approach into local tools and management practices.

Beyond the important contribution and intentions of the HUL Recommendation, there is little research that provided a critical perspective on its content and potential implementation (Aves, 2016; Rey-Pérez & González-Martínez, 2018; Siguencia, 2018). Most authors claimed the benefits of the HUL approach, displaying a clear conviction of its pertinence as UNESCO heritage experts (e.g., Bandarin & van Oers, 2012; Pereira Roders & Bandarin, 2019; Rodwell, 2015; Taylor, 2016; van Oers & Pereira Roders, 2012, 2013; Veldpaus & Roders, 2014). Given the relationship of these authors with the UNESCO WHC, their optimistic perspectives might imply a bias regarding the practical applicability of the HUL approach. In contrast, this thesis develops a critical analysis of the approach proposed by the HUL Recommendation and its potential implementation in a Valparaíso case study.

2.3.3 The HUL Best-Practice Case Study in Latin America: Cuenca, Ecuador

The HUL approach taken in the city of Cuenca, Ecuador, was considered to be the best-practice case study in Latin America by the HUL Guidebook (UNESCO, 2016). This case was relevant to this study because Ecuador has contributed to the theory and practice of urban heritage management in Latin–American cities (Carrión, 2001; Crespo-Toral, 2002; ICOMOS, 1967). Quito, the capital of Ecuador, was the first city

to be listed as WHS and in 1967 the “Meeting on the Conservation and Use of Monuments and Historic Sites” was organised by the Organisation of American States (OAS) (Crespo-Toral, 2002). In this meeting the most remarkable American specialists issued the Norms of Quito (ICOMOS, 1967). In this context, the Cuenca has learned from Quito by developing policies and legal frameworks on urban heritage conservation that have been and haven been considered as an example for other Latin American countries. Additionally, the implementation of the HUL in Cuenca is relevant for this thesis because its approach involved “managing complexity from academia” (Rey-Perez and González Martinez, 2018, p.108). As a WHS, Cuenca departed from an monumentalist approach to urban heritage protection. However, collaborative work of citizens and researchers allowed for the integration of other attributes which were considered as significant by the inhabitants (Rey-Perez and González Martinez, 2018).

Cuenca is the third most important city in Ecuador in terms of size, population and administration (Rey-Perez & Siguencia, 2017). The valley in which Cuenca is located is characterised by a mountain system and four rivers (Municipalidad de Cuenca, 2018). The ‘Historic Centre of Santa Ana de Los Ríos de Cuenca’ was nominated as a WHS in 1999 based on criteria ii, iv and v, which highlighted the integration of cultures and the Spanish colonial town planning (UNESCO, 1999). The OUV of Cuenca comprises landscape values of its urban heritage beyond the boundaries of its historic centre (Rey-Pérez, 2017). Landscape elements such as pre-Hispanic roads and terraces are present in the urban outskirts (Rey-Pérez, 2017). Therefore, the approach proposed by the HUL Recommendation was an essential starting point for the sustainable management of the landscape values of the city of Cuenca.

The intensification of tourism in Cuenca caused the diversification of the population, including both visitors and citizens (UNESCO, 2016). The arrival of overseas retirees enhanced the local economy, but it also raised the cost of living and the displacement of traditional inhabitants (UNESCO, 2016). Additionally, the management plan for its historic centre and the surrounding areas remains outdated (Idrovo et al., 2012; Rey-Perez & Siguencia, 2017). In this context, it was necessary to create an interdisciplinary research team, including a variety of specialists in environment, economy, anthropology, archaeology, geology, architecture and sociology. Table 2.2 synthesises the project for the implementation of the HUL in Cuenca.

Table 2.2. The implementation of the HUL in Cuenca. Source: own elaboration based on The HUL Guidebook, 2016

Program lead	University of Cuenca, Ecuador
Timeline	March 2014 – ongoing
Application	Historic city centre of Cuenca and surrounds
Funding	Dirección de Investigación de la Universidad de Cuenca (DIUC), Facultad de Arquitectura de la Universidad de Cuenca, Netherlands Funds-in-Trust (World Heritage Centre)
Program partners	Municipality of Cuenca; WHITRAP
Key challenges	Extreme urban development; socioeconomic changes (gentrification); emigration and immigration; heritage buildings threatened; tourism; modern heritage abandoned in El Ejido; real estate investment; mobility and traffic; and proliferation of poor contemporary architecture

A preliminary study of Cuenca’s WHS was conducted in 2012 by the Vlaamse Interuniversitaire Raad—Proyecto Ciudad Patrimonio Mundial (VLIR-CPM) research project ‘World Heritage City Preservation Management’ (Rey-Perez & Siguencia, 2017). This study justified the implementation of the HUL approach in Cuenca and established the research entitled, ‘Reassessment of the cultural and natural heritage of the

city of Cuenca, based on the sustainable development strategies backed by the Historic Urban Landscape approach' (PUH-C) (Rey-Perez & Siguencia, 2017). The research objectives included an assessment of the conservation of Cuenca's urban-cultural values, beyond those identified in the WHS nomination (Rey-Perez & Siguencia, 2017). The research followed four phases of the HUL approach being implemented in Cuenca. Phase 1 was focused on an interdisciplinary analysis, which included the key territorial and urban heritage elements of the city. Specialists provided 12 reports based on geo-referenced data collection, gathered into the Geographic Information System (GIS) (Rey-Perez & Siguencia, 2017). Phase 2 was focused on the identification of units through a mapping process that included levels of heritage protection and land usage regulation (Hosagrahar, 2015; Siguencia & Rey-Pérez, 2016). These units were analysed in Phase 3 through a value assessment. Collected data were recorded on a file sheet and recommendations for each unit were outlined (Rey-Perez & Siguencia, 2017). Finally, a more exhaustive analysis of each unit was undertaken in Phase 4, which included the identification of landscape attributes and visual perception to integrate these into intervention guidelines (Rey-Perez & Siguencia, 2017).

Given that Cuenca was identified as a HUL best-practice case study (UNESCO, 2016), the studies conducted in this city are relevant because it defined state-of-the-art implementation of the HUL approach in Latin America. To comprehend how Cuenca followed the HUL Recommendation (UNESCO, 2011b, 2016), its implementation is presented thorough the four tool categories proposed by the HUL approach:

- **Knowledge and planning—research phases I, II, III and IV.** The research phases were focused on the identification of units of analysis with an interdisciplinary approach (Rey-Perez & Siguencia, 2017). The research included a historical cartographic study of Cuenca's urban development (Albornoz, 2008; Rey-Perez & Siguencia, 2017), which was supported by overlapping historical maps of significant periods of the city (Albornoz, 2008). These periods were considered for a catalogue created in 2013 by the VLIR-CPM.
- **Community engagement—perception of the HUL in Cuenca.** From February to March 2015, 16 focus groups were conducted in Cuenca (Rey-Perez & Siguencia, 2017). These involved 148 participants, including community associations and neighbourhood leaders. Brainstorming and visual material supported each focus group to identify shared elements, heritage values and how to better protect Cuenca's urban heritage (Rey-Perez & Siguencia, 2017). The results revealed common tangible and intangible elements, such as the cathedral and the sound of the rivers (Rey-Perez & Siguencia, 2017). In May 2015, the 'Visionary Conference' was held by the University of Cuenca to provide feedback to the community regarding the HUL approach, which included the experiences of other cases such as Edinburgh, Zanzíbar and Ballarat (Rey-Perez et al., 2017; UNESCO, 2016). This process is available on the Global Observatory on the Historic Urban Landscape (GO-HUL) website (GO-HUL, 2016).
- **Regulatory system—analysis of the legislation.** A comparison of the regulatory bodies and the legislation in force was conducted in the historic centre and in the area of El Ejido (Rey-Perez & Siguencia, 2017). The study revealed several conflicts among the heritage elements identified by

specialists (Rey-Perez & Siguencia, 2017). Nevertheless, further research is required to develop a consistent legislation for the urban area beyond the historic centre and El Ejido.

- **Financial tools—national and international funding.** The research conducted on the implementation of the HUL approach in Cuenca was funded by the Research Direction of the University of Cuenca (*Dirección de Investigación de la Universidad de Cuenca—DIUC*), the Faculty of Architecture of the University of Cuenca and the Netherlands Funds-in-Trust (World Heritage Centre) (UNESCO, 2016). However, further funding is required to develop projects for the practical implementation of the HUL approach in Cuenca.

Table 2.3 synthesises the research activities conducted in Cuenca for the implementation of the HUL approach.

Table 2.3: Synthesis of the work conducted in Cuenca from the HUL approach

Cuenca's HUL approach				
TOOLS	Knowledge and planning tools	Community engagement tools	Regulatory systems	Financial tools
	Phase I— archaeological, territorial and historical studies. Phase II—identification of units. Phase III—units' value assessment. Phase IV—specific analysis per unit.	- Workshops with local communities - Development of a 'Visionary Conference'.	- Analysis of the legislation in force conducted by the University of Cuenca.	- Public funding: University of Cuenca. - International funding: Netherlands Funds-in-Trust (World Heritage Centre).

The implementation of the HUL approach in Cuenca was focused on the development of studies and knowledge tools from an interdisciplinary and academic perspective. More research is needed regarding the practical implementation of the HUL approach into regulatory systems and planning tools. Therefore, this thesis is focused on evaluating planning tools, regulatory systems and assessing community engagement from the HUL approach through the Valparaíso case study, which will contribute to the practice of urban heritage management from the HUL approach in Latin America.

The next chapter presents the theoretical background of the HUL Recommendation and frames the scope of its broad approach in the evolution of landscape values of urban heritage over time. This thesis presents a critique of the approach proposed by the HUL Recommendation. Therefore, to develop a thorough critical analysis, it is essential to discuss the origins and different perspectives of the theories behind the HUL approach.

Chapter 3. Landscape Values of Urban Heritage: Background to the HUL Approach

This chapter examines the increasing awareness of the landscape values of urban heritage as a framework for the management approach proposed by the HUL Recommendation. The content of this chapter is relevant to understand the focus of the thesis because it explains how heritage values have expanded over time to consider the values of urban heritage beyond a traditional monumental approach and to include broader landscape values. This chapter discusses the evolution of heritage values and their conservation. The theoretical discussion of the concept of heritage and the increasingly broad approaches to the practices of heritage conservation are critically analysed. The evolution of heritage values is organised thematically, together with the content of standard-setting documents developed by the UNESCO WHC and ICOMOS, which are presented chronologically. The emergence of the concept of urban heritage and the expansion and integration of the practices of heritage conservation and urban planning are analysed. This is followed by a discussion of landscapes values from an environmental approach because the HUL approach considers the landscape approach proposed by the IUCN. Further, the understanding of landscape values as heritage is analysed together with the evolution of the UNESCO category of cultural landscapes. Finally, the increasing awareness of the landscape values of urban heritage is synthesised in a visual timeline.

3.1 The Evolution of Heritage Values and Its Conservation Practice

This section examines the evolution of the concept of heritage and its conservation practice from a Eurocentric perspective in the Western world. The increasing consideration of the diversity of heritage values during the twentieth century is important because it has influenced the contemporary approach to urban heritage management. A value-based approach is considered the most appropriate way to assess the diversity of heritage values, in which the significance is placed on the attributes perceived by communities and stakeholders.

3.1.1 Heritage Values from a Western and Eurocentric Perspective

From the beginning of the twentieth century, the concept of heritage has progressively evolved from the Western culture (Smith, 2006). Western culture or Western world is the heritage of social norms, ethical values, traditional customs and political systems that originated in or are associated with Europe (Perry et al., 2015). The term ‘Western’ also applies beyond Europe to cultures whose development are linked to Europe by immigration, colonisation or influence. For instance, the Western world includes countries in the Americas and Australasia, whose language and ethnicity majorities are of European descent (Perry et al., 2015). Moreover, Eurocentrism is a worldview that is centred on Western European civilization. In this context, there has been a long debate concerning the Eurocentric or Western approaches to the heritage conservation in other parts of world (Winter, 2014a). Several Western scholars reflected on the semantic and rhetorical evolution of heritage and cultural heritage and emphasised that there are no

agreed definitions (e.g., Blake, 2000; Lafrenz-Samuels, 2015; Lorusso, 2014; Vecco, 2010). Regarding the Anglophone conception of heritage, Lowenthal (1997) related it to the French definition of patrimony (*patrimoine*)—‘goods inherited from parents’—to inheritances from ancestors and their cultural legacies (Lafrenz-Samuels, 2015, p. 6). According to Lafrenz-Samuels (2015), over the past century, there was a gradual refining of the practices and manners of talking about the past, which was encompassed by the concept of cultural heritage. The notion of cultural heritage has been varyingly invoked as something (e.g., object, site, building or traditional practice) with historical connections that must be appropriately cared for future generations (Lafrenz-Samuels, 2015). Heritage is something identified as valuable and significant about the past and is actively engaged in the present (Hart, 2011). Thus, the literature demonstrates that the terms heritage and cultural heritage are used indistinctly and interchangeably (e.g., Byrne, 2008; Cheape et al., 2009; Harvey, 2001). Although the concept of cultural heritage is commonly used as a synonym for heritage, its conceptual distinction is important for this thesis because of the increasing expansion and diversification of heritage values.

The Western approach to heritage conservation was shaped at the beginning of the nineteenth century in Europe (Jokilehto, 1995; Lowenthal, 1995; Smith, 2006). According to Poullos (2010), this approach had a sense of dissatisfaction with the present because of the rapid changes in society. The discontent with the changing present generated the need to experience traces of a past by recovering historical periods and cultures that were ‘untouched by the present’ (Poullos, 2010, p. 171). Thus, the objective of this traditional approach to heritage conservation was the preservation of the physical aspects of the past from loss and deterioration in the present (Poullos, 2010). From this nostalgic approach, ‘conservation... sees the past as divorced from the present and existing self-consciously outside tradition’ (Matero, 2004, p. 3). This Western approach to heritage conservation was transferred or imposed in other places, visualising non-Western cultures from a Western perspective as a broader form of colonialism (Byrne, 1991; Winter, 2014a). For instance, in the Kimberley area of Western Australia rockshelters contain paintings of Wandjina figures which are ancestral beings of the local Aboriginal tribes. Aborigines traditionally repaint the figures, but this practice was threatened after a local white landowner claimed that paintings which were “part of the heritage of all mankind” were being damaged by Aborigines (Byrne, 1991, p.274). This example shows that despite the diversity of non-Western cultures, the Western hegemony in the practice heritage conservation is present in most colonised countries, including in Australia and also Latin America.

The Western approach to heritage emerged from a monumental and romantic perspective during the industrial age in Europe (Choay, 2001b; Smith, 2006). However, from the fourteenth to the sixteenth century, the focus of progressive establishment European heritage was on the value of ancient vestiges and classical antiquities (Choay, 2001b). Antiques were considered by antiquarians to be objects of meticulous research and inventory; a kind of natural history of human productions (Choay, 2001b). The Eurocentric idea of heritage conservation was based on the tangible values of antiquities. The term ‘historic monument’, together with the value of ‘national heritage’, was justified by the need for inventory and the collection of different categories of inheritance (Choay, 2001b; Swenson, 2013). Consequently, national heritage emerged within nineteenth century nationalist discourses (Smith, 2006) and the institutionalisation of heritage within States and the conservation of historic monuments throughout

Europe was conducted by the establishment of jurisdiction for their protection (Choay, 2001b; Smith, 2006). During this process, a Eurocentric hierarchy of aesthetic values associated with heritage was established, which spread beyond Europe.

During the twentieth century, the practice of heritage conservation began to be redefined at a global level (Choay, 2001b; Nasser, 2003; Richards, 1996; Tosun, 2000). From the increasing development of cultural and tourism industries, heritage places and historic monuments have been increasingly understood as being cultural products for consumption (Chadha, 2006; Choay, 2001b). According to Richards (1996), modern society has been constructed in the rejection of traditions, which has meant that people have been forced to recreate new meanings and traditions. In this context, one of the most significant modern practices is tourism, in which cultural experiences are attractions that create meaning through consumption (Richards, 1996). Therefore, the contemporary Western understanding of heritage and its conservation practice remains between the traditional monumental approach and the modern understanding of cultural goods as commodities.

3.1.2 Towards a Broader Consideration of Heritage Values

To understand the increasing consideration of the diversity of urban heritage values, it is important to distinguish the concepts of values and heritage values. The term 'values' is generically used to describe the attributes perceived in things and moral obligations or principles that guide individual and collective action (Mason, 2002; Mason & Avrami, 2002). Thus, values are why these attributes are perceived as heritage. In the early twentieth century, the importance of monuments was associated with their historical and artistic values (Riegl, 1903). From the second half of the twentieth century, 'heritage values' has been understood as being dynamic and differently perceived, depending on the culture or historical period (Heras et al., 2013). In this context, the monumentalist approach to heritage conservation evolved to consider a broader range of values.

The traditional monumentalist approach to heritage conservation was focused on protecting tangible heritage values (Blake, 2000; Bouchenaki, 2004; Munjeri, 2004). Given that heritage was supposed to be stable and static, with the intrinsic values and qualities of authenticity, tangible values were dominant over the intangible (Munjeri, 2004). Tangible heritage included visible and concrete objects that were highly popular and worldwide symbolic cultural expressions, such as the Egyptian Pyramids or the Mona Lisa (Munjeri, 2004). However, it is not possible to understand tangible and intangible values separately, because both are fundamental to recognise heritage as being a social construction process (Munjeri, 2004; Dormaels, 2011). The shift in consideration of the importance of intangible heritage was related to increasing global cultural diversity, which is now considered to be a fundamental aspect of heritage values (Pendlebury, 2013). Therefore, the consideration of the intangible is associated with the increasing worldwide awareness of the diversity of heritage values.

The increasing consideration of the intangible values is reflected in the international standard-setting documents that were adopted by UNESCO and ICOMOS during the twentieth century. For example, the 1931 *Athens Charter for the Restoration of Historic Monuments* (Athens Charter) highlighted the historical

values of monuments for their restoration and aesthetic enhancement (ICOMOS, 1931). The Venice Charter focused on how ancient monuments represented human values, not just single architecture works, but also their cultural significance (ICOMOS, 1964). In 1972, the UNESCO WH Convention was adopted to safeguard unique and irreplaceable global cultural and natural heritage (UNESCO, 1972). Since the adoption of the WH Convention, several “‘crises’ of definition” have considerably changed the ways in which heritage is perceived, classified and managed (Harrison, 2013, p.1). From an increasing consideration of both tangible and intangible things defined as heritage, the emergence of heritage studies as an interdisciplinary field of study has led to a broader appreciation of values to be protected as heritage (Harrison, 2013). The broader appreciation of values was enhanced in the 1900s through the *Nara Document on Authenticity*, which recognised the diversity of heritage as being an essential feature of human development (ICOMOS, 1994). In 2003, UNESCO established the *Convention for the Safeguarding of Intangible Cultural Heritage*, from which specific strategies for the protection of intangible heritage were developed (UNESCO, 2003a). The 2003 Convention specified the importance of intangible heritage because of cultural diversity, which promoted the understanding among human beings to guarantee global sustainable development (UNESCO, 2003a). Following the 2003 Convention, intangible values were gradually more recognised as being an integral element of heritage and ‘transforming inert landscapes of objects and monuments... into living archives of cultural values’ (Munjeri, 2004, p. 19). Objects were recognised as heritage when they expressed the values of their society, so the tangible can only be comprehended and interpreted through the intangible (Araoz, 2011; Munjeri, 2004). In contrast to the traditional approach to heritage conservation, the values of the current heritage paradigm rest mostly on the intangible (Munjeri, 2004). The HUL approach considers both tangible and the intangible as being essential components of the urban heritage.

There has also been an increasingly broad scale of cultural heritage values since the second half of the twentieth century. For example, the Venice Charter highlighted the human values of monuments, including architecture works and their settings (ICOMOS, 1964). In 1967, the Norms of Quito indicated that the conservation of monuments should comprise the surrounding environment (ICOMOS, 1967). The Norms of Quito was important in its definition of the traditional approach to urban heritage conservation in Latin America during the twentieth century (Carrión, 2005). In 2010, the *ICOMOS New Zealand Charter for the Conservation of Places of Cultural Heritage Value* indicates that the purpose of conservation is to maintain places of cultural heritage value and to support their continuing meanings and functions for present and future generations (ICOMOS, 2010). Conservation of a place should be based on an understanding of all aspects of its cultural heritage value, both tangible and intangible (ICOMOS, 2010). Additionally, the *Burra Charter—the Australia ICOMOS Charter for Places of Cultural Significance* (Burra Charter) recognised places as being ‘geographically defined areas’, which included tangible elements, views and intangible cultural values (ICOMOS, 1979, p. 1). From the Burra Charter, ‘cultural significance’ was embodied in the place, its fabric, setting, uses and associations (ICOMOS, 2013, p. 2). The Burra Charter applied to Australia but has influenced thinking at a larger global level (Waterton et al., 2006). Therefore, beyond the narrow monumental approach established in Europe during the nineteenth century, heritage conservation has evolved during the twentieth century to recognise a broader scale and range of heritage values.

The HUL Recommendation advocated for an increased recognition of a diversity of heritage values, which were embedded and evolving in the local urban landscapes (UNESCO, 2011b; Rey-Pérez and Siguencia, 2017). The HUL Recommendation also assessed the values and attributes of urban heritage (UNESCO, 2011b; Veldpaus, 2015). In this context, the most preferred method to integrate a broader range of heritage values was the value-based approach to heritage conservation, which is detailed in the next section.

3.1.3 The Value-based Approach and Heritage Values Assessments

From the last decades of the twentieth century, the most prevalent approach to assess the values attributed to heritage has been the 'value-based approach' (Mason & Avrami, 2002; Mason, 2006; Poullos, 2010). According to Poullos (2010), the value-based approach is based on the Burra Charter, in which the significance of places is determined by the assessment of values or a set of attributes or positive qualities, which are recognised from key stakeholders (Poullos, 2010). The Burra Charter indicated that the management of heritage values should be conducted at all stages by 'people with appropriate knowledge and skills' (ICOMOS, 2013, p. 9). According to Fredheim and Khalaf (2016), a value-based approach identifies and enhances significance as the overall value of heritage or the sum of its fundamental values. In the early 1990s, the value-based approach dominated academic and professional discourses, which adopted a rising set of categories of heritage, such as archaeological sites, historic buildings and urban and rural landscapes (Clavir, 2002; Fredheim & Khalaf, 2016). Additionally, international institutions (e.g., UNESCO, ICOMOS and the Getty Conservation Institute) and national governments (e.g., Australia, United Kingdom, United States and Canada) commonly advocated the value-based approach (Poullos, 2010). From this perspective, the significance or fundamental values of heritage was defined by experts who had the knowledge and skills to encompass the views of key stakeholders and communities.

The assessment of values attributed to heritage has been an essential activity for conservation (Mason, 2002; Phillips, 2013). As values shape decisions, the value-based approach remains a systematic method that includes a step in which cultural significance is established (Mason, 2002; Phillips, 2013). However, the assessment of heritage values is still considered to be critical in terms of how these can be pragmatically measured for decision-making (Mason, 2002). For instance, Mason (2002) presented a method with the following steps: 'identifying all the values of the heritage in question; describing them; and integrating and ranking the different or conflicting values, so that they can inform the resolution of different or conflicting stakeholder interests' (p. 5). Nevertheless, the critical issue of this method is the development of continuous assessment to accurately implement planning actions. Therefore, a holistic approach for the assessment of heritage values might be a never-ending process.

Some scholars take a critical view of the narrow methods developed to assess heritage values. For example, Waterton and Smith (2010) argued that the universality of heritage values tended to be imposed and viewed as static. As such, the designation of heritage values tended to be unproblematised along with the idea that the identified set of values must be transmitted to future generations (Waterton & Smith, 2010). Following their critical perspective, the conventions and charters adopted by UNESCO and ICOMOS could be understood as authorising heritage, given that they define what heritage is, why it is significant

and how it should be managed (Smith, 2006). The critical perspective proposed by Smith (2006) is known as authorised heritage discourse (AHD), which encourages a consensus approach to heritage and smooths conflicts that marginalise or do not recognise the legitimacy of subaltern communities with different heritage conceptions (Smith, 2006). The AHD integrates Western conservative ideas, which have become omnipresent in the public understanding of heritage (Hanna, 2014; Smith, 2006; Waterton et al., 2006). Consequently, the AHD is means to regulate and legitimise the heritage values of a group with political power. For example, white British heritage has been prioritised over others, including black, indigenous and feminist heritages in the Western world (Waterton & Smith, 2010). In Latin America, the AHD is manifested through a Eurocentric approach in which the conservation practice is mostly focused on monuments and art works created during the colonial period (Hanna, 2014).

The HUL Recommendation can be considered as a response to the criticisms against the imposed AHD. The definition of the HUL extends beyond the monumental approach to heritage to include the broader urban context and a range of intangible values (UNESCO, 2011b). In addition, the HUL includes the view of local communities and a variety of stakeholders, encouraging consensus regarding what values to protect (UNESCO, 2011b). Nevertheless, the HUL Recommendation is still a global instrument in which consensus is controlled by political elites, namely experts and national authorities. Although institutionalised or authorised heritage policies can be criticised, they play a significant role in research and in heritage management around the world (Veldpaus, 2015). Therefore, the application of the HUL Recommendation is an opportunity to adapt its discourse and to consider the range heritage values that are present in each local context.

The significance of the evolution of understanding heritage values is in the attributes recognised from stakeholders (Ashworth & Graham, 2005; Poullos, 2010; Smith, 2006). In contrast to the Eurocentric monumental approach of the nineteenth century, the contemporary approach considers that heritage does not have inherent value and it is not immutable, but evolves over time and space (Araoz, 2011; Poullos, 2010). Given the persistent shifts and that stakeholders may attribute different values to the same place, any effort to 'freeze' heritage values is impossible (Araoz, 2011, p. 58), which explains the growing demand to integrate multiple values within heritage management (Raymond et al., 2009; Waterton & Smith, 2010). In this context, 'conservation-planning' or planning heritage conservation is essential, which embraces the constant evolution of institutions and practices (Pendlebury, 2013; Pendlebury et al., 2020). Conservation-planning includes statutory heritage protection by the central government, through designation and listing, and municipalities, through land-use planning (Pendlebury et al., 2020). Additionally, community participation and the inclusion of intangible values have enabled a more holistic understanding of heritage management and planning (Brown, 2005; Smith et al., 2003). Given that communities are constructed through a range of different values, experiences and complex interactions, it is important to consider that these are not always consensual (Heras et al., 2013; Waterton & Smith, 2010). Communities are not the only sources of heritage values, but governments, the market and experts are also sources of heritage values (Mason, 2002). Therefore, a values-based approach is used for the assessment of values conceived by a diversity of stakeholders concerned by the stewardship of heritage sites (Mason, 2002). For the accurate assessment of heritage values, it is necessary to engage with influential groups and to undertake a critical approach to the recognition of the power of politics

(Mason, 2002). In this context, this thesis develops a critical assessment of heritage values in Valparaíso by following a value-based approach (see Chapter 7 and 8). This approach considers how heritage values are perceived by stakeholders and communities, but also considers the conflicts of values embedded in the decision-making process.

The next section discusses how the practice of urban heritage management has evolved over time to consider a diverse range of values.

3.2 The Emergence of Urban Heritage and Management Practices

This section discusses the origin of the evolution of urban heritage management. The notion of urban heritage, which is included in the HUL Recommendation, emerged during the nineteenth century in Europe and arose from the recognition of historic and aesthetic values of the old urban fabric. However, during the twentieth century, an increasing awareness of the diversity of values held by heritage in urban contexts was established. The evolution has been reflected in the consideration of a diversity of values in the governance of urban heritage, which was also manifested in the approach proposed by the HUL Recommendation.

3.2.1 The Origin of Urban Heritage Conservation

The notion of urban heritage emerged during the nineteenth century during the industrial revolution, when European cities began to be radically transformed (Choay, 2001b; Loures, 2008). While the concept of historic monument emerged in fifteenth century Rome, the slow progress of the 'historic city' as heritage was explained by the complexity of the urban context and the lack of reliable cartographic documents until the nineteenth century (Choay, 2001a; Bandarin & van Oers, 2012). During the French Revolution (1789–1799), Napoleon III requested Baron Hausmann to renew the city of Paris and to develop new open spaces as avenues and boulevards (Choay, 2001b). Given the destruction of the urban fabric and massive renewal, the old city was considered to be an object of historical knowledge by the French romantics (Cesari, 1993; Choay, 2001a). In this context, the European industrial revolution meant a substantial historical fracture in the understanding of heritage and the value of the urban fabric (Loures, 2008). The destruction of old buildings and the political conflicts of this period were crucial for the emerging consideration of the historical value of the old urban fabric.

The first scholars who began to understand the city from a historical perspective were architects and engineers who created the discipline of 'urbanism' (Cerdá, 1867; García-Bellido, 2000). Idelfons Cerdá, who was the author of the urban renewal of Barcelona, proposed the first structured history of the city and proposed a critical approach to urban problems (Cerdá, 1867). His perspective contrasted against the cities of the past and the present and he did not advocate the conservation of the former (Choay, 2001a). Therefore, the history of urbanism as a discipline 'does not coincide with the invention of the historic urban heritage and its protection' (Choay, 2001a, p. 121). The notion of urban heritage was shaped in contraposition to the dominant process of urbanisation and the emerging discipline of urbanism.

At the beginning of the twentieth century, Gustavo Giovannoni was recognised as being the inventor of the term 'urban heritage' (Veldpaus et al., 2013). Giovannoni first used the term urban heritage in 1931 through the publication, *Old Cities and New Construction (Vecchie città ed edilizia nuova)*, but his ideas were presented in an article under the same title in 1913 (Choay, 2001a; Giovannoni, 1931). Giovannoni focused on heritage conservation from an urban scale along with consideration of the historic city as a monument (Choay, 2001a; Veldpaus et al., 2013). According to Giovannoni, urban heritage involved the living fabric and recognised the explosion and disintegration of cities together with a global urbanisation (Veldpaus et al., 2013). From this approach, mutual support and harmonious coexistence was promoted, which avoided conflict, respected diversity and gave the freedom to creatively evolve (Veldpaus et al., 2013). Hence, Giovannoni's concept of urban heritage comprised the integration of heritage conservation and urban development. This integrative approach to urban heritage was considered in almost every heritage-related international policy since the 1960s.

3.2.2 Management and Governance of Urban Heritage

Urban heritage management considers the practices of heritage management and urban planning (Lusiani & Zan, 2013; Veldpaus and Pendlebury, 2019). Therefore, to manage urban heritage more comprehensively it is important to better integrate heritage management and urban planning (Veldpaus and Pendlebury, 2019). These two disciplines have different trajectories, which involve diverse fields of study and different professions. The expanding global scope of heritage management and planning have required more broad and practical approaches to the definition of instruments (Blake, 2000). Management and planning have become progressively more important in the field of heritage conservation because of extensive changes at different institutional levels (Blake, 2000; Lusiani & Zan, 2013). The management of heritage sites within international organisations has been dominated by urban planners, who introduced its logics and practices, such as masterplans and participatory planning processes (Lusiani & Zan, 2013). However, ambiguity in heritage management plans has been identified, because these usually use similar tools and approaches as urban planning (Lusiani & Zan, 2013). The complex issues regarding the management of heritage values have created the risk of defining norms and instruments without clear comprehension of their significance (Blake, 2000), which implies that the assessment of heritage values has influenced the management and governance of urban heritage.

The management of heritage conservation and urban planning involves multiple levels of governance, laws, regulations, institutions and politics (King, 2011; Schofield, 2006; Veldpaus, 2015). At the international level, standard-setting documents are involved; at the regional level, agreements are considered; at the national level, governments apply legislation; and at the local level, governance should be guided 'by the enthusiasm and engagement of local communities' (Schofield, 2006, p. 20). Although national governments enact legislation for heritage conservation, King (2011) argued that these do not usually invest enough intellectual resources in coordination or plan for accurate implementation. Consequently, legal systems for managing urban heritage are often inaccurate and not generally conveyed in a systematised manner (King, 2011). Therefore, regulatory instruments should be holistically applied rather than focused on sectoral laws, including heritage conservation, urban planning and environmental

impact assessments (Gruber, 2011). Moreover, when decision-making is focused on a dialogue with specialists, the governance approach lacks local frameworks that are shaped by stakeholders who know those areas better (Schofield, 2006). Thus, the governance of urban heritage can be defined from a top-down or bottom-up approach (Schofield, 2006). A top-down approach may include the principles of ‘good practice cascade,’ from the national level to local governments and communities, which is supported by controls on implementation (Schofield, 2006). A bottom-up includes consideration of local community values, together with the needs and opinions of influential investors and decision-makers (Schofield, 2006). Given that stakeholders and communities interact at different governance levels, this thesis considers their perspectives to be fundamental sources of knowledge for the appropriate management of heritage values, which is also highlighted in the HUL approach.

Urban heritage management has been widely understood to be a ‘cultural resource’, which is mainly based on the business of tourism (Green, 2011; Hunter, 2011; King, 2011; Lipe, 1984). Accordingly, tourism is recognised as being one of the major growth markets in the world by the United Nations World Tourism Organization (UNWTO, 201). Cultural resources have economic value, which means that they are not exempt from the global tendency to reduce costs and benefits to monetary standards (Green, 2011; Lipe, 1984). As money is the standard instrument used to access cultural resources, when heritage values are understood as being cultural resources, this involves conflicts that may affect the proper conservation of authenticity (Lipe, 1984). WHS, which are considered to be cultural resources and tourist attractions, receive millions of visitors each year (Green, 2011; Li, 2015). The tourism developed from WHS is known as ‘cultural tourism’, which is defined as ‘visits by persons from outside the host community motivated... by interest in historical, artistic, scientific, lifestyle heritage’ (Silberberg, 1995, p. 361). WHS tourism has been studied by recognising the interactions among resident populations, the public or private managers of tourism development and the visitors (Merinero-Rodríguez & Pulido-Fernandez, 2016). In this context, local communities are the keystone, because without them urban heritage management would be both culturally and economically unsustainable (Li, 2015; Salazar, 2012). Therefore, the management of urban heritage values is more sustainable when local communities are involved in the decision-making process. This integrative framework is also considered in the approach proposed by the HUL Recommendation.

The next section discusses how the landscape values of urban heritage have been framed from theory to management practice.

3.3 Framing the Landscape Values of Urban Heritage Prior to the HUL Recommendation

This section examines the growing significance of the landscape values of urban heritage during the twentieth and twenty-first centuries prior to the HUL Recommendation (UNESCO, 2011b). The consideration of landscape values in urban contexts is reflected in the increasing awareness of the historic value of urban landscapes. Nevertheless, the concept of landscape values has been largely studied in the fields of geography and environmental studies. The theoretical trajectories of the landscape values of urban heritage are reflected from different perspectives by the UNESCO and ICOMOS international

policies. The UNESCO has developed a series of standard-setting documents as conventions and recommendations that are particularly framed in the implementation of the WH Convention, whereas the professional advisory body of ICOMOS has developed charters and doctrinal texts that support the implementation of the WH Convention. The approaches of these documents are part of the background to the HUL Recommendation, which is synthesised at the end of Section 3.3.2 into a timeline that reflects their evolution and integration.

3.3.1 The Notion of Landscape

To understand the landscape approach proposed by the HUL Recommendation, it is necessary to discuss the notion of 'landscape.' According to Sauer (1965), who considered the precursor of the term, 'cultural landscape' (Head, 2012), landscape denoted a 'peculiarly geographic association of facts' (Sauer, 1965, p. 300). Sauer claimed that landscape was the English equivalent of a term that German geographers used to refer to 'land-shape' (*Landschaft*), which was an 'area made up of a distinct association of forms, both physical and cultural' (Sauer, 1965, p. 300). In these associations, personal judgements were rooted in the selection of content from tangible or intangible forms (Sauer, 1965). Hence, values determined personal judgement of the content of landscape, so people selected its qualities (Sauer, 1965). Additionally, the attributes of landscapes were those that were present or had potential value (Sauer, 1965, p. 302). Accordingly, the notion of landscape had an implicit cultural content that was perceived in the attributes that were significant to humans, including how they perceived geographical areas.

The notion of landscape has been discussed by cultural geographers since the middle of the twentieth century, in paying attention to how human identity attached to different areas (Taylor & Lennon, 2012). According to Taylor (2016), it was possible to distinguish a shared approach concerning how humans related to landscapes. This approach was derived from the active engagement of humans with tangible objects (Cosgrove, 1984). Therefore, landscape is related to what is seen and is a construction and a way of perceiving the world (Cosgrove, 1984). In this context, a frequent topic in heritage studies has been the human attachment to landscapes, which is linked to the concepts of 'sense of place' and 'identity' (e.g., Cosgrove, 1984; Silva & Fernández, 2015; Taylor, 2016; Taylor & Lennon, 2012; Wylie, 2006). Landscape is also a term widely used in painting and literature, which has various layers of meanings (Cosgrove, 1984). Consequently, landscape is an ambiguous concept that encompasses a collection of valuable objects, which are 'defined by our vision but interpreted by our minds' (Meinig, 1979, p. 3). Acknowledging that landscape is not a univocal concept is important because the HUL approach is founded on this notion.

Given that landscape refers to parts of the surface of the earth, it is consequently related to geographical issues (Cosgrove, 1984). The relationship of landscape with 'territory' and 'place' has a tradition in the academic literature, although the emphasis has been commonly placed on the visual scene (Cosgrove, 1984; Roe, 2012). However, landscapes should be understood as multi-dimensional because these encompass more than the visual and functional arrangements that can be analysed by one discipline (Cosgrove, 1984). Landscapes involve a set of real concrete objects, which are arranged in a trans-temporal manner (Santos, 2008). Whereas a 'space' illustrates the present, a landscape represents both past and present (Barreto & Rodrigues, 2012; Santos, 2008). Moreover, given that the sense of place is

related to familiarity and memory, interpretations of landscapes might be divergent (Roe, 2012). Therefore, landscape can be considered to be a cultural construct in which a sense of place and memories are linked to a continuing process of inhabiting a changing setting (Taylor & Lennon, 2012). This implies tangible and spatial issues, alongside time and intangible elements (Taylor & Lennon, 2012). The HUL approach considers past and present historic layers, together with tangible and intangible heritage values.

3.3.2 The Historic Value of Urban Landscapes

From the field of heritage studies, the value of heritage in urban areas has been traditionally framed from the study of historic assets and the valorisation of Eurocentric aesthetical attributes (Buckley et al., 2016; Ginzarly et al., 2018). However, the diversification of heritage values has meant that the vernacular and other customary landscapes have been increasingly more significant (Bandarin & van Oers, 2012). In this context, landscape values have been linked to heritage in urban areas by using the term ‘urban landscape’ (Whitehand & Gu, 2010). Urban landscape as heritage has been referred to as significant values that are attached to the historicity or ‘historical expressiveness’ of cities (Whitehand & Gu, 2010, p. 6951). The urban landscape can be a source of past experiences because it is the predominant environment in which humans have lived (Whitehand & Gu, 2010). From this approach, the city is understood to be a long-term asset, which is significant beyond its current functional value (Whitehand & Gu, 2010). This is important because the historic value of urban landscapes is embedded within the HUL approach.

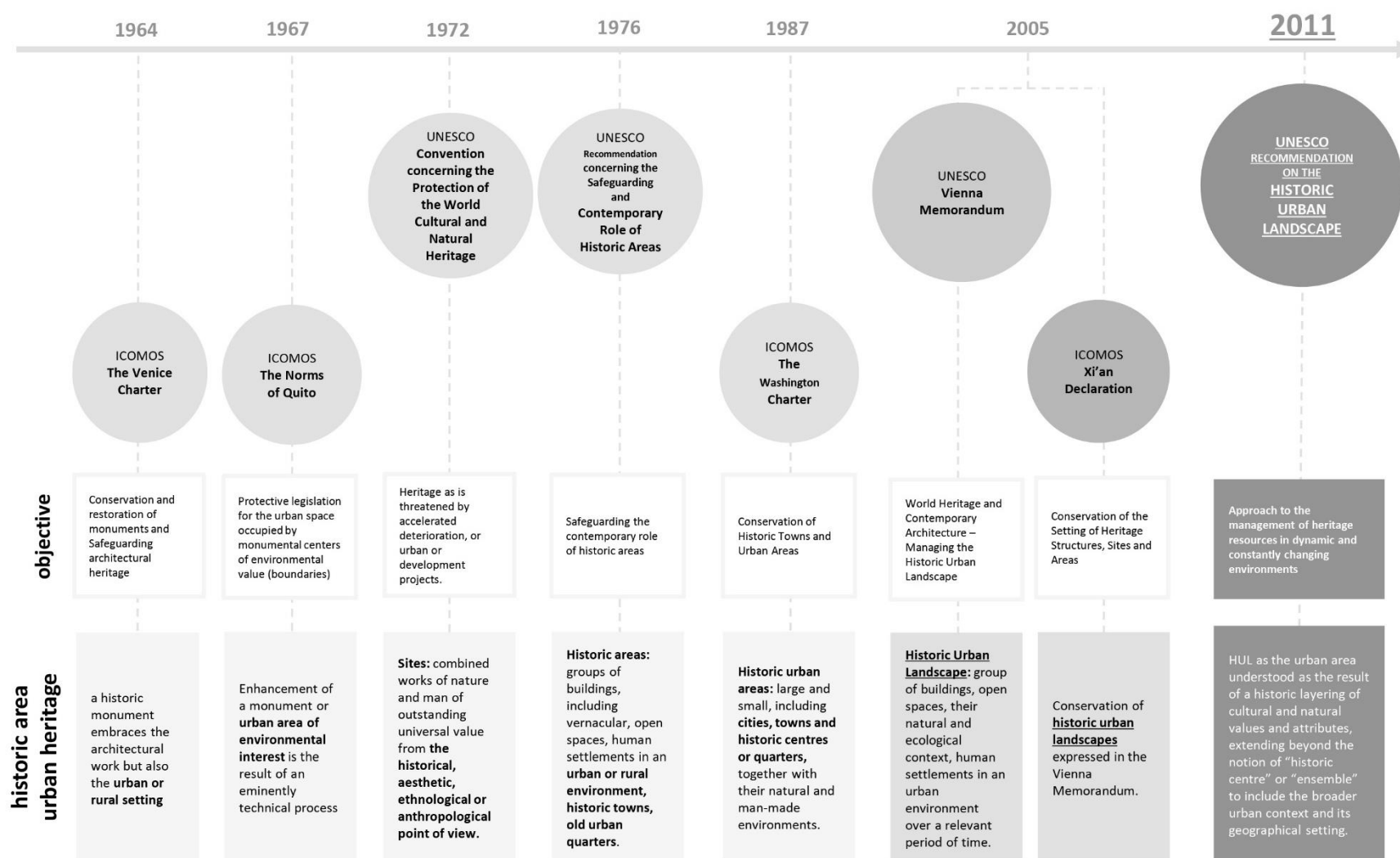
The historic value of urban landscapes has been considered in several standard-setting documents that were adopted by UNESCO and ICOMOS since the second half of the twentieth century (Veldpaus et al., 2013). As illustrated in Figure 3.1, the ICOMOS *Venice Charter for the Conservation and Restoration of Monuments and Sites* (Venice Charter) did not mention the term urban heritage, but highlighted that historic monuments embraced the urban setting in which significant historic events were held (ICOMOS, 1964). In 1967, the *Norms of Quito: Final Report of the Meeting on the Preservation and Utilization of Monuments and Sites of Artistic and historical Value* (Norms of Quito) indicated that monuments should be extended to the ‘surrounding urban context or natural environment’ (ICOMOS, 1967, p. 1). Thus, from the Venice Charter and the Norms of Quito the notion of urban heritage was related to the surroundings of historic and monumental areas.

From the 1970s, the historic value of urban landscapes was related to the conservation of ‘historic areas’. The *Recommendation Concerning the Safeguarding and Contemporary Role of Historic Areas* indicated that historic areas were groups of buildings and open spaces in an urban environment, including historic towns or old urban quarters (UNESCO, 1976). The *Charter for the Conservation of Historic Towns and Urban Areas* (Washington Charter) concerned ‘historic urban areas’, which were cities and historic centres or quarters, together with their natural and human environments (ICOMOS, 1987). Both international policies considered that historic areas were being threatened, damaged or even destroyed by the impacts of increasing urbanisation. Therefore, legal measures were important to protect the historic and cultural values embodied by these urban areas (UNESCO, 1976; ICOMOS, 1987). In this context, the protection of historic urban areas included heritage conservation and urban planning procedures.

The first UNESCO standard-setting document that described the HUL together with the concept of urban heritage was the Vienna Memorandum (UNESCO, 2005d). The Vienna Memorandum was focused on 'the impact of contemporary development on the overall urban landscape of heritage significance' (UNESCO, 2005d, p. 2). In the Vienna Memorandum, the conservation and planning of the HUL was projected from the 'mutual understanding between policy-makers, urban planners, city developers, architects, conservationists, investors and concerned citizens, working together to preserve the urban heritage' (UNESCO, 2005d, p. 3). The concept of historic urban areas evolved to the HUL, together with the concept of urban heritage and urban landscape, which considered the different social actors involved in the process of heritage conservation and urban development.

Figure 3.1 illustrates the synthesis of the evolution of the UNESCO and ICOMOS standard-setting documents in relation to urban heritage and the historic value of urban landscapes prior to the HUL Recommendation.

Figure 3.1. Evolution of UNESCO and ICOMOS standard-setting documents on the conservation of urban heritage and historic areas prior to the HUL Recommendation



3.3.3 Landscapes Values from an Environmental Approach

To comprehend the landscape values of urban heritage, it is important to understand that landscape values have been mainly studied in the fields of geography and environmental studies (e.g., Brown & Raymond, 2007; Brown et al., 2002; O'Brien & Wolf, 2010). From the field of environmental conservation, the conceptual distinction of values is defined by 'held values', which are the principles that establish conservation measures and 'assigned values', which are the attributes perceived by people regarding natural resources (Mason, 2002, p. 12). From the field of human geography, the discussion has focused on communities with strong 'place attachment', which are more cohesive and tend to recognise more landscape values and significant places (Brown et al., 2002; Brown & Raymond, 2007). In this context, landscapes as places are commonly referred to as units of analysis for integrating human attachment to the natural and the built environment (e.g., Brown & Raymond, 2007; Patterson & Williams, 2005). Additionally, human geographers distinguished that the concept of 'place' is different from 'space.' While a space is formed by a set of objects into a single framework, a place is where communities have emotional and psychological connections in a complex process through which they define themselves (Santos, 2008; Storey, 2012). Attention to emotion allows to deepen the understanding of how people develop attachments to the past and places (Smith et al., 2018). The 'sense of place' is an integral part of self-identity and attachment to place (Storey, 2012). This sense of place may be associated with memories and positive experiences or bad experiences and tragic events that occurred in a place (Storey, 2012). According to Toila-Kelly et al. (2017), affect and emotion shapes "heritage landscapes as experienced" to our relationship with the past (p.1). From this perspective, to assess the values that a community assigns to a landscape, it is important to consider their attachment and sense of place by exploring their present practices and previous experiences.

From the field of environmental management, research on landscape values tended to be qualitative and focused on the values assigned by communities within a landscape (e.g., Brown, 2006; Kendal et al., 2015; Roe, 2012). These studies categorised a range of landscape values in specific contexts, including tools to allow structured comparison (Kendal et al., 2015). Such tools have been useful to assist planners and managers in the consideration of the diversity of values attributed to landscapes in natural environments, such as forests and National Parks (Kendal et al., 2015). In this context, the origin of the landscape approach proposed by the HUL recommendation came from the management of natural environments. The landscape approach mentioned in the HUL Recommendation was developed by the IUCN, which is an international institution that is focused on the conservation of natural resource at the global level (Brown et al., 2005). The IUCN's landscape approach is focused on protecting the relationships between humans and the environment and endorsing the custody of local communities (Brown et al., 2005). However, the IUCN's landscape approach is focused in biodiversity conservation and cultural landscapes (Brown et al., 2005; Rössler, 2005). The landscape approach advocated by the HUL Recommendation considers broader interrelationships, with both cultural and natural values. This landscape approach to urban heritage is more holistic than the approach based on the historic and aesthetic values of urban landscapes.

3.3.4 Landscapes as Heritage and Cultural Landscapes

The traditional approach to considering landscapes as being heritage has focused on the aesthetic and visual values of clearly defined landscapes (Rössler, 2006). This approach is reflected in the *Recommendation Concerning the Safeguarding of the Beauty and Character of Landscapes and Sites*, which focused on the aesthetic value of landscapes (UNESCO, 1962). Additionally, the 'Florence Charter' established the landscape values of historic gardens in relation to their artistic composition or association with a memorable act (UNESCO, 1982). However, during the 1990s, the interpretation of landscape values evolved to recognise the 'diversity of living cultural places' (Rössler, 2006, p. 333). Moreover, the broader approach to heritage values encompassed the integration of cultural and natural heritage (Head, 2012; Rössler, 2005). This evolution is reflected in the UNESCO category of 'cultural landscapes', which are integrated works of humans and nature that reflect techniques of sustainable land usage (UNESCO, 1992). UNESCO's category and subcategories of cultural landscapes are closely related to the definition of the HUL (Siguencia, 2018; Veldpaus, 2015). Hence, cultural landscapes are important to be considered as part of the background of the integrative approach that was proposed by the HUL Recommendation.

To understand the meaning of cultural landscapes, it is relevant to review the German concept of landscape, which inspired the Anglophone concept of cultural landscape (Head, 2012). *Landschaft* considers human relationships and the attachment of communities to place (Head, 2012; Olwig, 1996). From this approach, the value of community relationships is created by human will, from a wish of 'willing to join hands for this purpose' (Tönnies, 1974 pp. 4–5). Nordic geographers were less enthusiastic than Anglo-Americans to use the concept of cultural landscape, because they believed that the term landscape was sufficient (Head, 2012). The Anglophone concept of cultural landscape has been related to unique geographical surroundings, with a fascinating history of development that integrates human and natural elements, together with an adaptation process imposed by usually rough environmental conditions (Plieninger & Bieling, 2012b). Places identified as being cultural landscapes represented the physical expression of communities that shaped their landscape in a sustainable manner (Plieninger & Bieling, 2012a). The historical and cultural tradition of a place together with its ecological value are recognised in a cultural landscape (Mitchell & Buggey, 2000) which is also understood as a territory whose essence can be comprehended in a gaze, holding a clear visual and cultural impression (Selman, 2012). Its qualities are concerned with landform, aesthetics, history, identity and traditions (Wylie, 2006). Thus, a cultural landscape considers the development process of human settlement, from the relationships of a community to its past and how this is related to the present. The HUL approach also considers these dynamic relationships but is focused on urban development.

From the increasing international attention given to cultural landscapes, between the 1980s and the 1990s, a mixed value system emerged to manage WHS (Taylor & Lennon, 2012). Issues related to mixed cultural and natural heritage and the intrinsic links between communities and their natural environment, were discussed following the WH Convention (UNESCO, 1972). In this context, the WHC discussed how the balance between natural and cultural heritage could be considered to be an OUV (Mitchell et al., 2009; UNESCO, 1992). Although the notion of cultural landscape was partially considered in several international standard-setting documents during the twentieth century, it was not until 1992 when cultural landscape

was adopted as a WHS category by UNESCO. According to the *Report of the Expert Group on Cultural Landscapes*, cultural landscapes represent the ‘combined works of nature and man,’ and they are illustrative of human evolution over time (UNESCO, 1992, p. 2). Cultural landscapes embrace a diversity of interactions between people and the natural environment (UNESCO, 1992). The WHS nominated as cultural landscapes were selected based on their OUV, including representative cultural elements from its geo-cultural context (UNESCO, 1992). Therefore, the OUV of a WHS nominated as cultural landscape comprises both cultural and natural values.

The UNESCO WH Convention defined three different categories of cultural landscapes (Head, 2012; Rössler, 2006; UNESCO, 2008a, 2010a). The first category is ‘landscape designed and created intentionally’ by humans, which includes gardens and parkland landscapes built for aesthetic causes and are frequently associated with religious or other monumental buildings (UNESCO, 2008a, p. 86). The second category is ‘organically evolved landscape,’ which is the result of an evolutionary process in their form developed by the association to its natural environment (UNESCO, 2008a, p. 86). The organically evolved landscapes are divided into two subcategories: ‘relict (or fossil) landscape’ and ‘continuing landscape,’ which maintain traditional practices and encompass an active contemporary role (UNESCO, 2008a, p. 86). The third category is ‘associative cultural landscape,’ which is recognisable because of its religious, artistic or cultural associations with a natural element, beyond material cultural evidence that may be insignificant or even absent (UNESCO, 2008a, p. 86). The UNESCO categories and subcategories of cultural landscapes are important because they reflect the evolution of the values attributes to landscapes as heritage. The WHS defined as cultural landscapes were valued for their beauty, scientific value or because of biodiversity conservation (Head, 2012; Rössler, 2003). The UNESCO cultural landscapes embody a variety of remnants of human development, from clearly visible to almost non-existent tangible traces.

The first WHS nominated under the category of cultural landscape was Tongariro National Park in New Zealand (UNESCO, 1993). The mountains at the centre of Tongariro’s WHS have cultural and religious significance for the Maori people because they symbolise the spiritual relationship between the community and its environment (UNESCO, 1993). Tongariro’s WHS and Uluru Kata Tjuta in Australia (UNESCO, 1994b), which is one of many interconnected Aboriginal centres of local and religious significance in the Northern Territory, demonstrate that there was an essential change in the interpretation of landscapes (Mitchell et al., 2009). The OUV of Tongariro and Uluru Kata Tjuta considered cultural values beyond the traditional Eurocentric approach and recognised the non-monumental character of cultural landscapes’ heritage, the link between cultural and ecological diversity and sustainable land usage (Mitchell et al., 2009). Prior to the nomination of Tongariro and Uluru Kata Tjuta, the assessment of OUV within landscapes were frequently associated with aesthetical values (Mitchell et al., 2009). In this context, Australia and New Zealand encouraged the significance of associative cultural landscape, which went beyond the traditional Eurocentric approach to define the OUV of WHS.

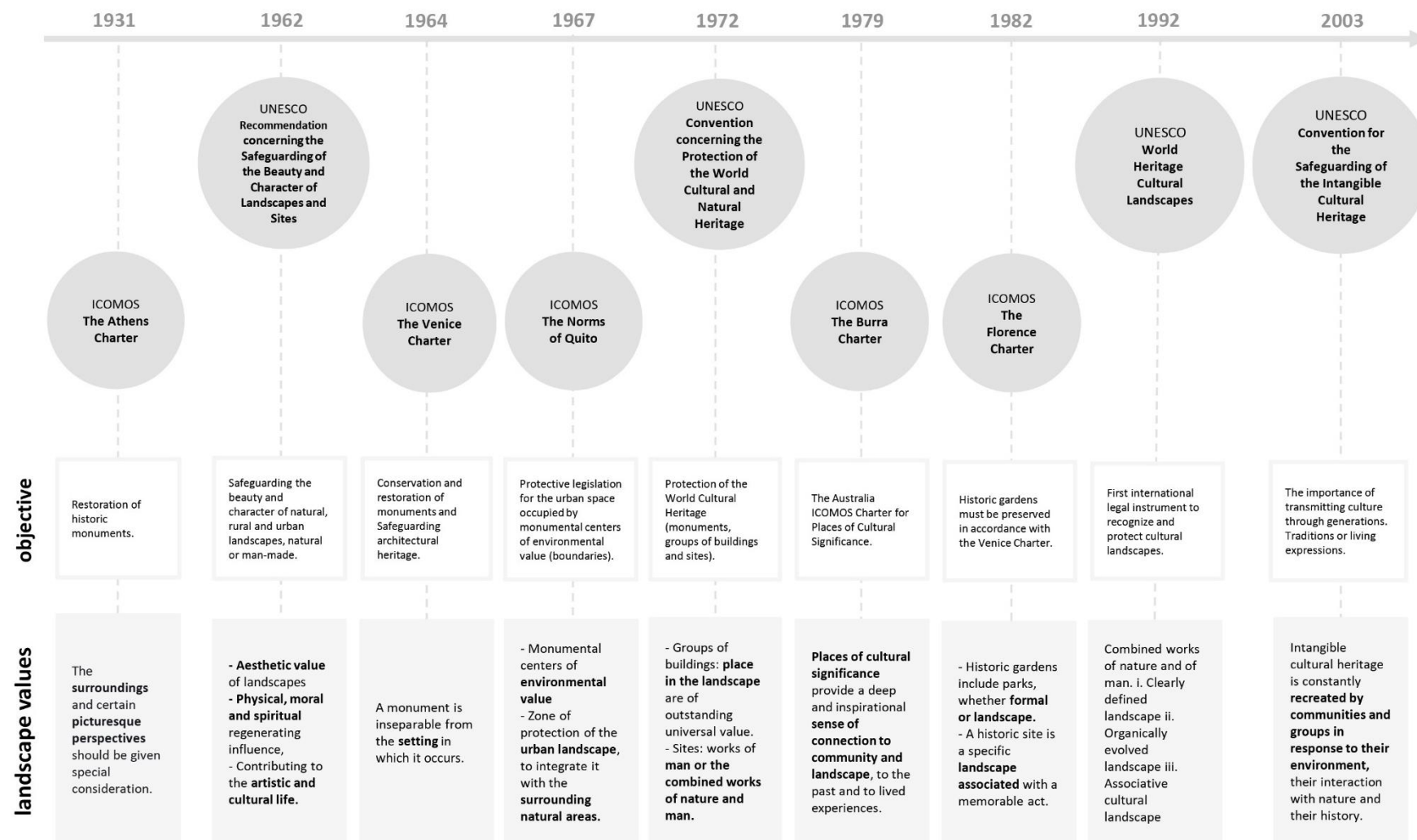
The different categories of cultural landscapes demand different management approaches. Nevertheless, scholars and international institutions agree that integrating the views of local communities is a priority (Taylor et al., 2014; UNESCO, 2003b). The UNESCO publication, *World Heritage Cultural Landscapes a Handbook for Conservation and Management* proposed as a first principle that ‘people associated with

the cultural landscape are the primary stakeholders for stewardship' (Mitchell et al., 2009, p. 35). Beyond exploring the interaction between humans and nature, the management of cultural landscapes involves comprehension of how these are protected by legislative frameworks (Taylor et al., 2014). The legal protection of cultural landscapes might have planned and unplanned consequences for the conservation of heritage values (Taylor et al., 2014). Therefore, the challenge of cultural landscapes management is to develop collaborative strategies, highlight the role of community-based decision-makers and governance structures for sustainability (Taylor et al., 2014). As cultural landscapes have experienced rapid changes over the past decades, it is important to consider the development of their traditional practices, the diversification of their values and the loss of natural resources (Plieninger & Bieling, 2012b). In addition to the HUL approach, the management of cultural landscapes is contextualised by increasing global threats and transformations, which requires the management of landscape values from appropriate policies and legal frameworks.

As shown in Figure 3.2, the evolution of UNESCO and ICOMOS standard-setting documents reflected the increasing consideration of landscape values as heritage over time. In 1931, the Athens Charter landscape values were understood through the need to protect the surroundings of monuments (ICOMOS, 1931). In 1962, the *Recommendation Concerning the Safeguarding of the Beauty and Character of Landscapes and Sites* focused on the aesthetic value of landscapes and included physical, moral and spiritual values that contributed to artistic and cultural life (UNESCO, 1962). As highlighted in the 'Burra Charter', places of cultural significance were linked by the sense of connection of a community and the landscape (UNESCO, 1979). At the beginning of the twenty-first century, the *Convention for the Safeguarding of the Intangible Cultural Heritage* highlighted that communities interact with nature in response to their environments (UNESCO, 2003). Consequently, the landscape values as heritage evolved from a monumental, architectural and aesthetic perspectives to develop a broader cultural significance of places and intangible heritage.

The next section develops a synthesis of the landscape values of urban heritage prior to the HUL Recommendation.

Figure 3.2. Evolution of UNESCO and ICOMOS standard-setting documents that considered landscape values as heritage over time



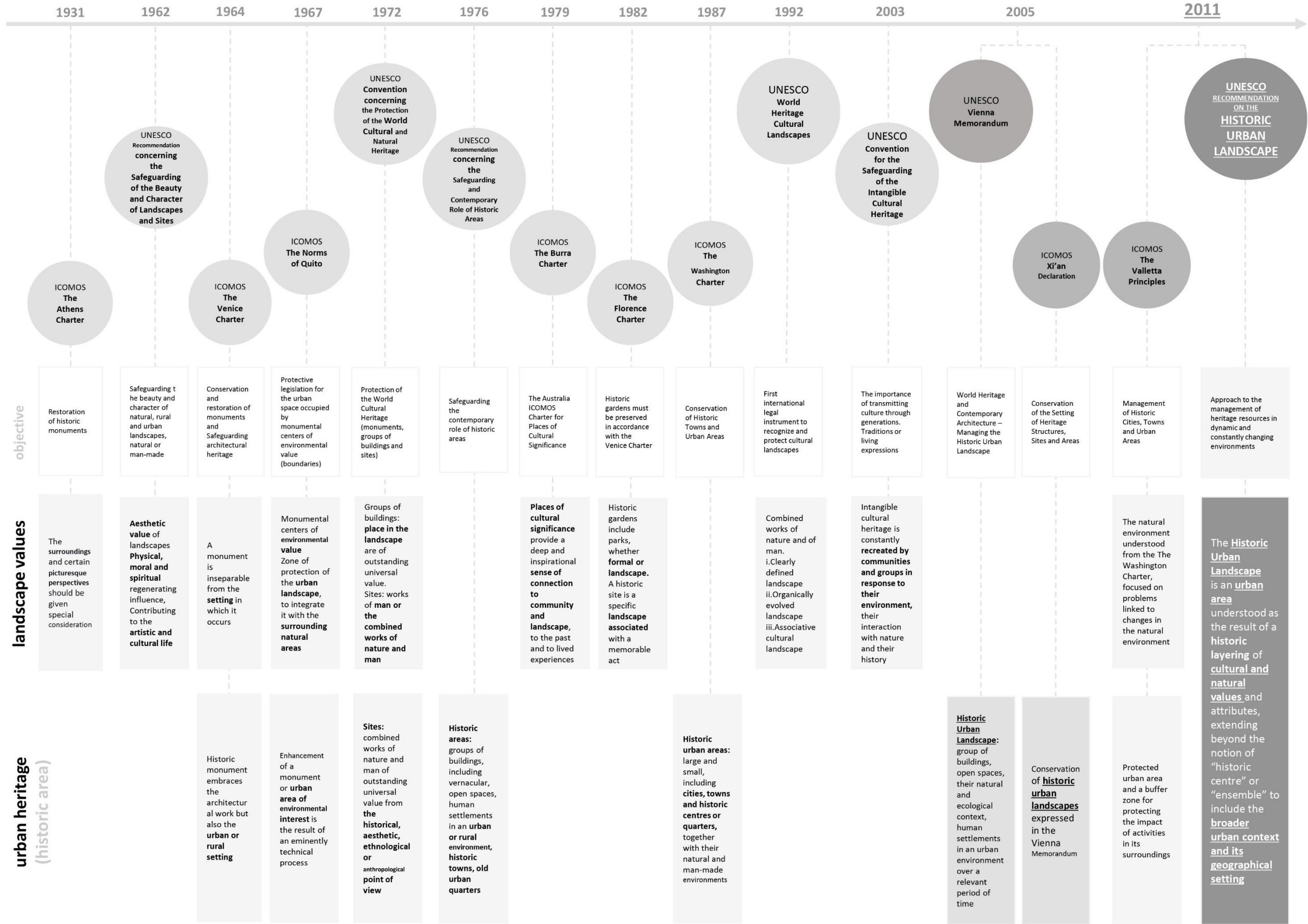
3.3.5 A Synthesis of the Landscape Values of Urban Heritage Prior to the HUL Recommendation

The landscape values of urban heritage remain a complex theoretical background, which was developed during the twentieth century. This background can be synthesised into two main theoretical approaches. First, from the field of heritage studies, is the evolution of the practice of urban heritage conservation, which is combined with the historic value of urban landscapes. Second is the landscape approach, which was developed from environmental studies and the developing category of cultural landscapes. These trajectories have followed different paths until their integration in the HUL Recommendation. The background approaches of the HUL Recommendation are reflected in the evolution of the content of UNESCO and ICOMOS standard-setting documents.

As illustrated in Figure 3.3, the Athens Charter implicitly understood the landscape values of urban heritage as being the surroundings of monuments and certain picturesque perspectives (ICOMOS, 1931). The Venice Charter defined ancient monuments to be inseparable from their settings (ICOMOS, 1964). The Norms of Quito considered historic centres to be monumental areas of environmental value, including a zone of protection in which the urban landscape was integrated with the surrounding natural area (ICOMOS, 1967). From this perspective, landscape values were related to the surroundings of a monumental area. Additionally, the 1972 Convention indicated that the OUV of a group of buildings and sites can be related with their place within the landscape and the combination of human-made works and nature (UNESCO, 1972), in which the landscape was integrated with the site. At the end of the twentieth century, cultural landscapes were considered to be a UNESCO category and since the beginning of the twenty-first century, intangible heritage has been considered to be fundamental for the transmission of values to future generations (UNESCO 1992, 2003). From this progress on broadening the range of values considered as heritage, in 2005 the Vienna Memorandum was the first UNESCO standard-setting document that defined the HUL, and in 2011, this approach further evolved through the publication of HUL Recommendation (UNESCO, 2005d, 2011b). In this context, the landscape values of urban heritage from the HUL approach recognised the significant relationships between built and natural environments, including tangible and architectural attributes and intangible attributes related to cultural significance and the attachment of communities to place.

Figure 3.3 displays the synthesis of the integration landscape values of urban heritage over time prior to the HUL Recommendation. The next chapter presents Valparaíso's landscape values and makes the case for a broader approach to urban heritage management.

Figure 3.3. Integration of the landscape values of urban heritage over time from UNESCO and ICOMOS standard-setting documents and charters



Chapter 4. Valparaíso's Landscape Values and the need for a Broader Approach to Urban Heritage Management

This chapter provides an overview of Valparaíso's urban heritage and the management of its outstanding landscape values. The traditional approach to urban heritage conservation in Latin America and Valparaíso established by the Norms of Quito is presented, followed by a discussion of the HUL approach in the Hispanophone context. A brief historical review of Valparaíso's urban development is presented, followed by an analysis of the 2003 nomination of the WHS *Historic Quarter of the Seaport City of Valparaíso*. In 2013, a report of the ICOMOS advisory mission provided a critical review of the management of Valparaíso's WHS, from which the HUL approach was recommended. Given that the HUL Recommendation required adaptation of its approach to the local context, Valparaíso's policies, laws and plans are discussed. A brief discussion of the role of stakeholders and local communities in the management of Valparaíso's urban heritage is developed and finally, a series of photographs are presented to illustrate some features of Valparaíso's landscape.

4.1 Beyond Historic Centres: Towards Implementation of the HUL Approach in Latin America

4.1.1 The Norms of Quito and the Importance of Historic Centres in Latin America

The main approach to urban heritage established in Chile and Valparaíso emerged from the ICOMOS Norms of Quito, which had a substantial impact in Latin America (ICOMOS, 1967; Crespo-Toral, 2002). In 1967, the Norms of Quito were developed together with the principles of the Declaration of the Presidents of America by the Organization of American States (OAS), as the 'expression to the ideals of Latin-American unity' (OAS, 1967, p. 1). This declaration provided a new impetus to the development of the American Continent and expanded the use of monuments (OAS, 1967). In this context, the Norms of Quito contained principles that guided the conservation of monumental heritage and provided criteria for its economic value as a generator of tourism (Crespo-Toral, 2002). The monumentalist approach to heritage conservation is still reflected in the management of Valparaíso's WHS.

The Norms of Quito were crucial for the recognition of the monumental and artistic value of historic centres in Latin America (Carrión, 2005; ICOMOS, 1967). Historic centres are the urban areas from which cities originated, which are characterised by civic and religious architecture of European colonisation and for being a scenario of relevant historic events (Carrión, 2005; Rodríguez, 2008). Given the historical significance of these urban areas, the Norms of Quito defined the need to regulate land usage and the volume relationship of areas adjacent to historic centres (ICOMOS, 1967). Consequently, the Norms of Quito defined an emergent relationship between heritage conservation and urban planning in Latin-American cities (Carrión, 2005; Crespo-Toral, 2002). By including the principles of the

Venice Charter (see Chapter 3), the Norms of Quito established that monuments were inseparable from their settings (ICOMOS, 1964; ICOMOS, 1967; Crespo-Toral, 2002). Additionally, the contemporary importance of historic centres lies in the possibility of conserving and strengthening their historical condition by developing innovative urban functions (Carrión, 2005). According to the Norms of Quito, urban heritage conservation follows a monumentalist approach, which considers the development of cities in the Latin–American context.

The influence of the Norms of Quito in Valparaíso is reflected in how the boundaries of its WHS were defined (see Section 4.3.2.1). However, the HUL Recommendation encouraged a broader approach, beyond a monumentalist approach to urban heritage conservation. The HUL is extended ‘beyond the notion of “historic centre” or “ensemble”’ (UNESCO, 2011b, p. 52). Therefore, a challenge for Valparaíso has been to evolve from the monumentalist approach established by the Norms of Quito to a broader approach to urban heritage, which was encouraged by the HUL Recommendation.

4.1.2 The HUL Approach in the Hispanophone Context

The notion of the HUL in Spanish: From the PHU and the PUH

The notion of the HUL in Spanish has experienced a transformation from the 2005 Vienna Memorandum to the 2011 HUL Recommendation. This is not the main focus of this research, but this issue is highlighted because several authors have discussed the ambiguity of the concept in Spanish (Conti, 2005; Lalana, 2011; Siguencia & Vintimilla, 2017). First, the HUL from the Vienna Memorandum in Spanish was defined as *Paisaje Histórico Urbano* (PHU) (UNESCO, 2005d). The Vienna Memorandum was officially published by UNESCO in English and French (*Mémoire de Vienne sur Le patrimoine mondial et l’architecture contemporaine—Gestion du paysage urbain historique*) (UNESCO, 2005d). No official Spanish translation of the Vienna Memorandum was published by UNESCO. However, a scientific journal from the National Autonomous University of Mexico (*Universidad Nacional Autónoma de México—UNAM*) translated the Vienna Memorandum into Spanish as the *Memorandum de Viena sobre el Patrimonio Mundial y la Arquitectura Contemporánea. Gestión del Paisaje Histórico Urbano, Viena, 2005* (Zetina Nava, 2005, 2016). As such, the HUL in Spanish is different than in French: the HUL in French is *Paysage Urbain Historique* (PUH), but in Spanish is *Paisaje Histórico Urbano* (PHU). This is important because the PHU was then transformed to *Paisaje Urbano Histórico* (PUH) in the HUL Recommendation (UNESCO, 2011a). Consequently, the Spanish version of the HUL approach may refer to the PHU from the Vienna Memorandum or the PUH from HUL Recommendation.

The transformation of the HUL in Spanish may explain the different and ambiguous interpretations of this approach within the Hispanophone context (Conti, 2005; Lalana, 2011; Rey-Pérez and González-Martínez, 2018). In Spain, the PHU from the Vienna Memorandum was used to develop the *Guide of the Historic Urban Landscape of Seville* (*Guía del Paisaje Histórico Urbano de Sevilla—GPHUS*) (IAPH, 2010, 2011). The objective of the PHU in Seville was to define an approach to delimit the area of the historic ensembles in which contemporary interventions were required (García et al., 2010). The PHU in Seville comprised the city as a place of cultural production in which the architecture was a shelter and mediator (García et al., 2010). Therefore, in Seville’s PHU, an architectural approach to historic ensembles was predominant, which was opposed to the approach proposed by the HUL Recommendation or the PUH in Spanish.

Given the shift of the HUL in Spanish, its understanding as a management approach remains unclear. According to Rey-Pérez and González-Martínez (2018), who are Spanish-speaking researchers, the HUL Recommendation reflected ‘lights and shadows’. The different interpretations of the HUL in Spanish has several implications. First, because the PHU of the Vienna Memorandum emphasises the ‘historic’ but the PUH of the HUL Recommendation emphasises the ‘urban’, this implies diverse and even opposing interpretations (Lalana, 2011). For example, prior to the Vienna Memorandum, the HUL was mentioned as part of the management approach of Cartagena’s WHS in Colombia (UNESCO, 2004). Nevertheless, the management plan of Cartagena interpreted the HUL from an architectural approach (UNESCO, 2004). As the HUL Recommendation in Spanish (PUH) has been considered by several cities, these have highlighted different issues for its adaptation into their local contexts. Therefore, the different interpretations of the HUL have been criticised by several Spanish-speaking authors (e.g., Conti, 2005; Lalana, 2011; Siguencia & Vintimilla, 2017). According to Conti (2005), the problems regarding the interpretation of the HUL in Spanish include ‘urban’ sometimes being placed behind ‘historic’ (PUH or PUH). Lalana (2011) claimed that the HUL in Spanish (PUH) is complex to understand, but it is a theoretical progress because it integrates heritage and its environment. Even though several English-speaking authors does not have that problem with the HUL approach (e.g., Aves, 2016; Bandarin & van Oers, 2012; Rodwell, 2018; Veldpaus & Roders, 2014), Spanish-speaking authors have serious problems with the HUL approach and its implementation (eg. Conti, 2005; Lalana, 2011; Siguencia & Vintimilla, 2017). The HUL in Spanish is a flexible notion that may endorse contradictory actions. This ambiguity may explain, in part, why the HUL approach has not been thoroughly implemented in the Valparaíso case study. Consequently, the implementation of the HUL approach in the Hispanophone context requires further research on its implications into different case studies.

The consideration of the HUL Recommendation in Latin-American cities

As discussed in Chapter 2 (see Section 2.3.3), UNESCO highlighted the city of Cuenca, Ecuador, as a best-practice case study for the implementation of the HUL approach in Latin America (UNESCO, 2016). However, several cities in Latin America are on the way to implement the approach proposed by the HUL Recommendation (Conti, 2015; Siguencia & Vintimilla, 2017). Although the HUL approach was conceived in Europe from the Vienna Memorandum (UNESCO, 2005d), two out of eight expert meetings prior to the 2011 HUL Recommendation were developed in Latin America (Siguencia & Vintimilla, 2017). These expert meetings were organised along to UNESCO standards in which the representative of State Parties decide according to the regulations for the various categories meetings convened by UNESCO (UNESCO, 2019e). According to Siguencia and Vintimilla (2017), Latin American cities reflecting on the implementation of the HUL approach considered this issue within various projects, publications and meetings (see Table 4.1).

Table 4.1: Summary of cases implementing the HUL Recommendation in Latin America. Source: own elaboration based on Siguencia & Vintimilla, 2017

Case	Country	Year WHS	Year HUL	Issue
La Plata	Argentina	–	2014	Project
Recife	Brazil	–	2016	Publication
Olinda	Brazil	1982	2007	Publication

Brasilia	Brazil	1987	2015	Publication
Rio de Janeiro	Brazil	2012	2009	Meeting
Valparaiso	Chile	2003	2009	Project
Bogota	Colombia	–	2010	Project
Ambalema	Colombia	–	2017	Publication
Old Havana	Cuba	1982	2013	Publication
Quito	Ecuador	1978	2013	Meeting
Cuenca	Ecuador	1999	2012	Project
Old Guatemala	Guatemala	1979	2013	Publication
Tegucigalpa	Honduras	–	2014	Publication
México City	México	1987	2014	Project
Puebla	México	1987	2014	Project
Queretaro	México	1996	2014	Project

The HUL has been explicitly mentioned in several urban heritage projects in Latin America and has been considered in an implicit manner in others (Conti, 2015). At the end of the twentieth century, heritage conservation in Latin America was focused on the protection of the aesthetic values of an elite against real estate projects, which were destroying historic buildings (Rojas, 1999; Siguencia & Vintimilla, 2017). This process resulted in the enactment of laws and regulations for heritage protection (Rojas, 1999; Siguencia & Vintimilla, 2017). Currently, a value-based approach is under consideration by Latin–American governments through established institutions to apply the legislation (Rojas, 2002; Siguencia & Vintimilla, 2017), which involves advocating the participation of social actors in which organisations and local communities become part of the management processes (Rojas, 2002). These principles and actions are aligned with the HUL approach, although the term is not explicitly mentioned in these governance frameworks.

Given the ambiguous understanding of the HUL in Spanish-speaking countries, the HUL has been understood to be an academic issue more than a practical approach (Siguencia, 2018). However, it worth noting that the HUL in Puebla, México, was more focused on its implementation into the local planning practice (Sanz et al., 2017). The HUL approach was under implementation in Puebla with the support of the UNESCO Office in México since 2014 (Sanz et al., 2017). At the end of 2014, a Technical Committee of the Historical Centre and Cultural Heritage was created to support the management of the historic centre and to coordinate planning issues with the Secretariat of Urban Development and Sustainability. Additionally, a Civic Council of the Historical Centre was created, which was integrated by various local organisations and researchers (Sanz et al., 2017). In 2016, the Social Participation Workshops for the Planning and Management of the Historic Urban Landscape of the City of Puebla were held (Sanz et al., 2017). Hence, the HUL approach in Puebla was focused on integrating the management of its WHS together with the broader urban planning practice. The HUL in Puebla was not mentioned as a best-practice case study in the HUL Guidebook of 2016 by UNESCO. However, the

approach to the case of Puebla is important to be considered, given in Valparaíso the idea is to integrate the management of its WHS together with the broader urban planning practice.

The next section introduces the urban history of the Valparaíso case study. It is important to have an idea of the ‘historic layering’ (UNESCO, 2011c, p. 52) in which the HUL Recommendation was intended to be implemented.

4.2 An Overview of Valparaíso’s Urban History

Valparaíso is a coastal city and one of the oldest urban settlements in Chile, which is recognised for the historical importance of its port and for being the second most important city in Chile after Santiago (Hidalgo & Borsdorf, 2005; Municipalidad de Valparaíso, 2016). It is located 120 kilometres west of Santiago, which is the capital of Chile, in a complex orographic territory between coastal plains and an inland mountainous area called Coast Range (*Cordillera de la Costa*) (INE, 2007). Valparaíso is mostly known as a historic urban area nestled in between the mountains and the bay. However, Valparaíso also refers to the port itself, the commune, the metropolitan area, the capital of the province and the region in which the city is located. In this thesis, the Valparaíso case study refers to the urban area of the commune. In Chile, the commune is the smallest administrative subdivision, which is applied in various contexts such as cities, towns, villages and rural areas² (INE, 2007). Highly populated metropolitan areas in Chile may be broken into several communes, such as Santiago, Valparaíso and Concepción.

Beyond the historical importance of the city of Valparaíso, the decline of port activity during the twentieth century produced a rising urban poverty (Millán-Millán, 2016). To reactivate the city, the National Congress, which is the legislative branch of the Government of Chile, was moved to Valparaíso, together with the idea to develop the application of the city as a WHS in 2003 (Cima, 2013; Ministerio del Interior, 2002). The WHS nomination of the Historic Quarter of the Seaport City of Valparaíso (UNESCO, 2003d) involved a complex historical development, which is detailed in the next section.

4.2.1 The Origin of Valparaíso’s Urban Settlement

Before the Spaniards and the port: the changos and the fresh water of the ravines

Most of the reviewed literature regarding the history of the city of Valparaíso focused on the Spanish colony (1598–1810) and the industrialisation process that produced the development of the port (1810–1914) (Biblioteca Nacional de Chile, 2017b; Couyoumdjian, 2000). However, there were a lack of references to the origins of the settlement of Valparaíso. According to Araya (2015), a researcher on the influence of water in the land development of Valparaíso, the first inhabitants of the bay obtained water from streams that reached the sea (Araya, 2015). The first indigenous group that inhabited the coast of Valparaíso were known as *changos* and their settlements were transformed into fisherfolk’s coves during the colony (see Figure 4.1) (Araya, 2015; Latchman, 1910). The *changos* were influenced and displaced by the *picunches*, who developed small-scale agriculture techniques

² Communes in Chile are like local governments in Australia.

inherited from the Incas (Araya, 2015). The *picunches* used simple hydraulic works, such as irrigation canals and mist capture ditches (Araya, 2015). These techniques, along with paths, were the first human interventions into this territory. Traces of this former built environment remain in the current landscape of Valparaíso, although these are not described in the WHS nomination file.

Figure 4.1. Valparaíso, 1835, engraved by Lauvergne-Himely. Source: Laplace, Cyrille



Valparaíso as the main the port of the Pacific coast

Valparaíso's urban settlement dates from 1536 and, during the Spanish Colony, it was the port of entry to Santiago (Biblioteca Nacional de Chile, 2017b). As the main port of Chile, Valparaíso played a decisive role in the process of national emancipation from Spain (Municipalidad de Valparaíso, 2016). In 1810, Chilean independence and the autonomy of commerce resulted in an increase in Valparaíso's population, from 5,000 inhabitants in 1810 to 40,000 in 1842 (Biblioteca Nacional de Chile, 2017b). These numbers included foreign immigrants who were attracted by trade with the new South American republics and workers that sought employment in the port (Biblioteca Nacional de Chile, 2017b). Therefore, the port drove the growth of the city of Valparaíso (see Figure 4.2).

Figure 4.2. Port of Valparaíso, Chile, 1890. Source: © Colección Museo Histórico Nacional. Author: Harry Olds



From its origins, Valparaíso prospered due to mercantile activities (Millán-Millán, 2016). From the mid-nineteenth century to the first half of the twentieth century, most headquarters of the banks, mining industries and railway offices were in Valparaíso due to its economic boom (see Figure 4.3). In 1852, the construction of the railway between Valparaíso and Santiago began and the city–port became the centre of economic development in Chile (Ferrada, 2014). The international trade in Valparaíso triggered an increase in urban population, from 52,413 inhabitants in 1854 to 193,205 in 1930 (see Figures 4.4 and 4.5) (Hurtado, 1966; Millán-Millán, 2016). In this context, a social elite emerged from the retail trade activities, together with a distinctive cultural diversity that was carried by rising urban immigration (Biblioteca Nacional de Chile, 2017b; Lorenzo, 2012). This part of the history of Valparaíso is highlighted as being the ‘period of prosperity’ (UNESCO, 2003c, p. 12) in the statement of significance the WHS nomination file.

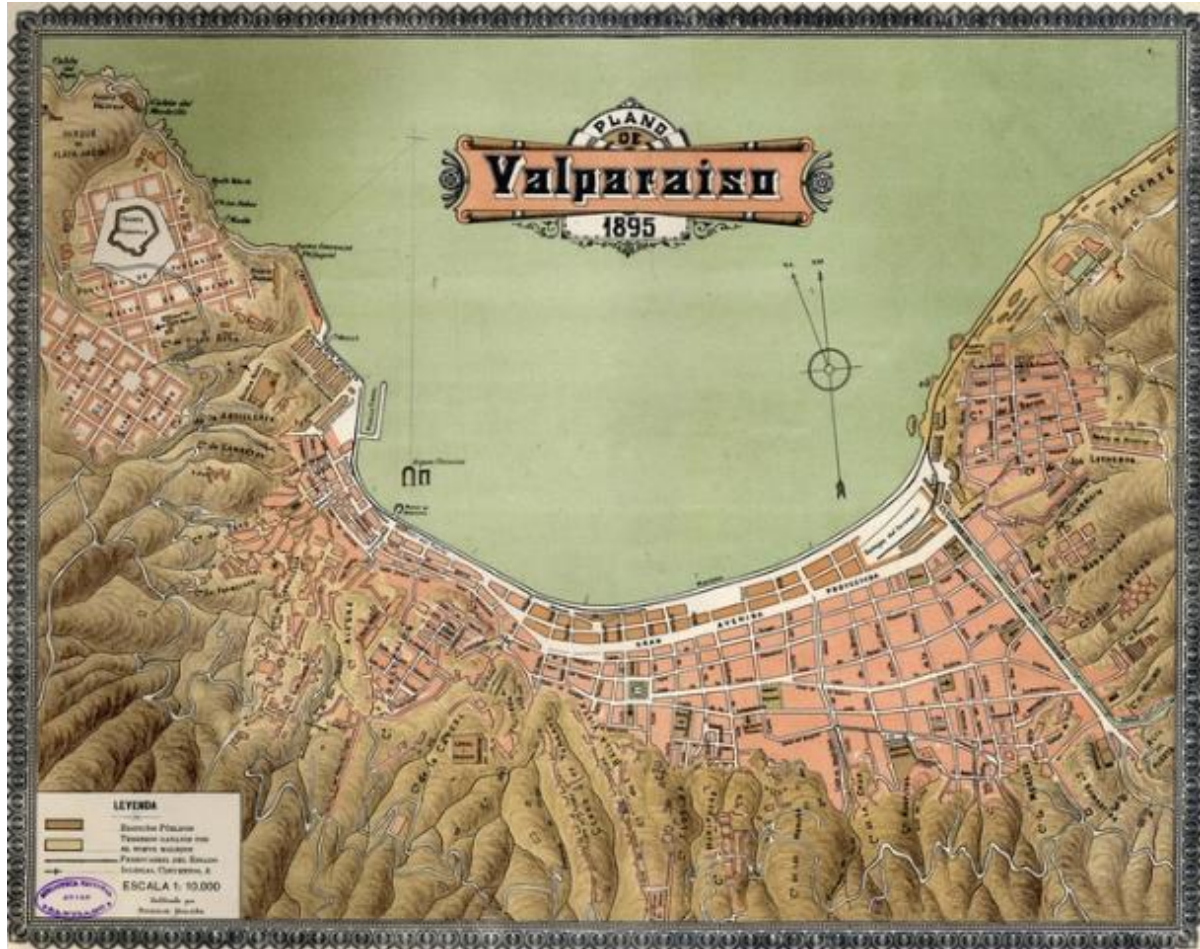
Figure 4.3. Stock Exchange of Valparaíso (*Bolsa de Comercio*) building, 1930. Source: © Colección Museo Histórico Nacional. Author: Pool fotográfico, Revista VEA



Figure 4.4. Urban landscape and the port of Valparaíso (unknown year). Source: © Colección Museo Histórico Nacional. Author: Unidentified



Figure 4.5. Map of Valparaíso, 1895. Source: Memoria Chilena



The decline of Valparaíso's port

The prosperity of the port and the city of Valparaíso began to decline at the beginning the twentieth century (Lüders, 1998; Millán-Millán, 2015). Since the 1914 opening of the Panama Canal and the negative effects of the Great Depression, Valparaíso's port began to lose its importance (Millán-Millán, 2015; Trivelli & Yasiyo, 2010; Vergara-Costela & Casellas, 2016). Moreover, between 1940 and 1973, governmental intervention into economic policies resulted in the international trade isolation of Chile (Lüders, 1998). Therefore, the economic instability of Chile during the second half of the twentieth century aggravated the urban decline of Valparaíso (Trivelli & Yasiyo, 2010). During the military dictatorship of Chile (1973–1990), the privatisation of the Port Company of Chile, the strengthening of the port of San Antonio (which was closer to Santiago) and the implementation of laws for short-term employment, increased the urban impoverishment of Valparaíso (Aravena, 2011; Vergara-Costela & Casellas, 2016). The decline of Valparaíso as the main port of the Pacific coast of South America is important because the consequences are still manifested in its current urban landscape.

4.2.2 Valparaíso's Urban Landscape and Cultural Identity

The urban landscape of Valparaíso has been developed over time, following the shape of its geographical setting (see Figure 4.6) (Millán-Millán, 2015). In the first half of the nineteenth century, together with the arrival of immigrants who transformed Valparaíso's urban identity, the hills near the

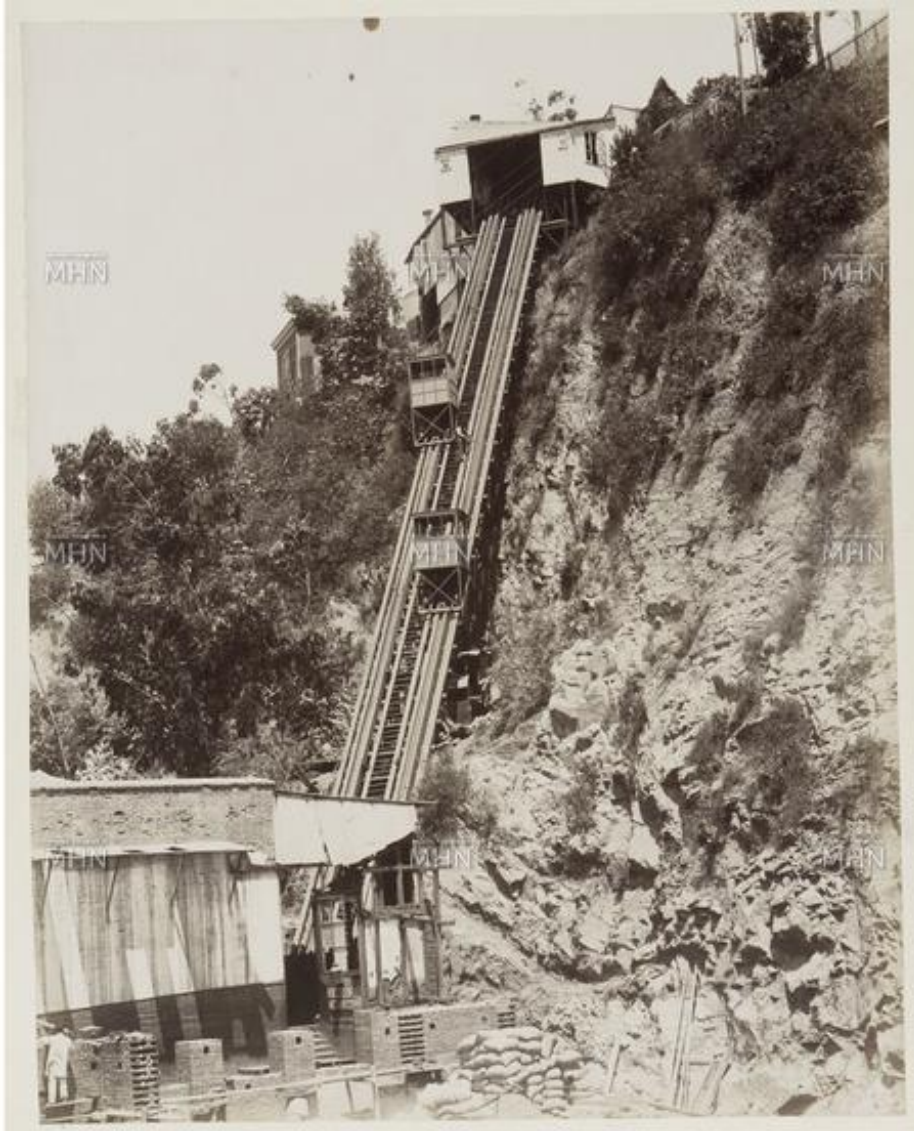
bay begun to be informally urbanised (Biblioteca Nacional de Chile, 2017b; Millán-Millán, 2016). When the coastal plain suffered several floods, elite European immigrants settled on Alegre Hill (Biblioteca Nacional de Chile, 2017b). British, German and French immigrants built a mixed style of Victorian European architecture, in which the patterns were adapted to the natural geography (see Figure 4.6) (Millán-Millán, 2016). This peculiar urban landscape has been valued by its inhabitants and by famous artists. For instance, Pablo Neruda, a Chilean and Nobel prize-winning poet and politician, lived in Valparaíso during the 1960s and he labelled the city as being ‘a bunch, a cluster of crazy houses’ (Agosín, 1992). As highlighted in the WHS nomination file (UNESCO, 2003c), one of the most significant landscape values of Valparaíso is the cosmopolitan character of its architecture and the adaptation to its geographical setting.

Figure 4.6. Valparaíso’s landscape around the port, 1930. Source: © Colección Museo Histórico Nacional. Author: Einar Altschwager



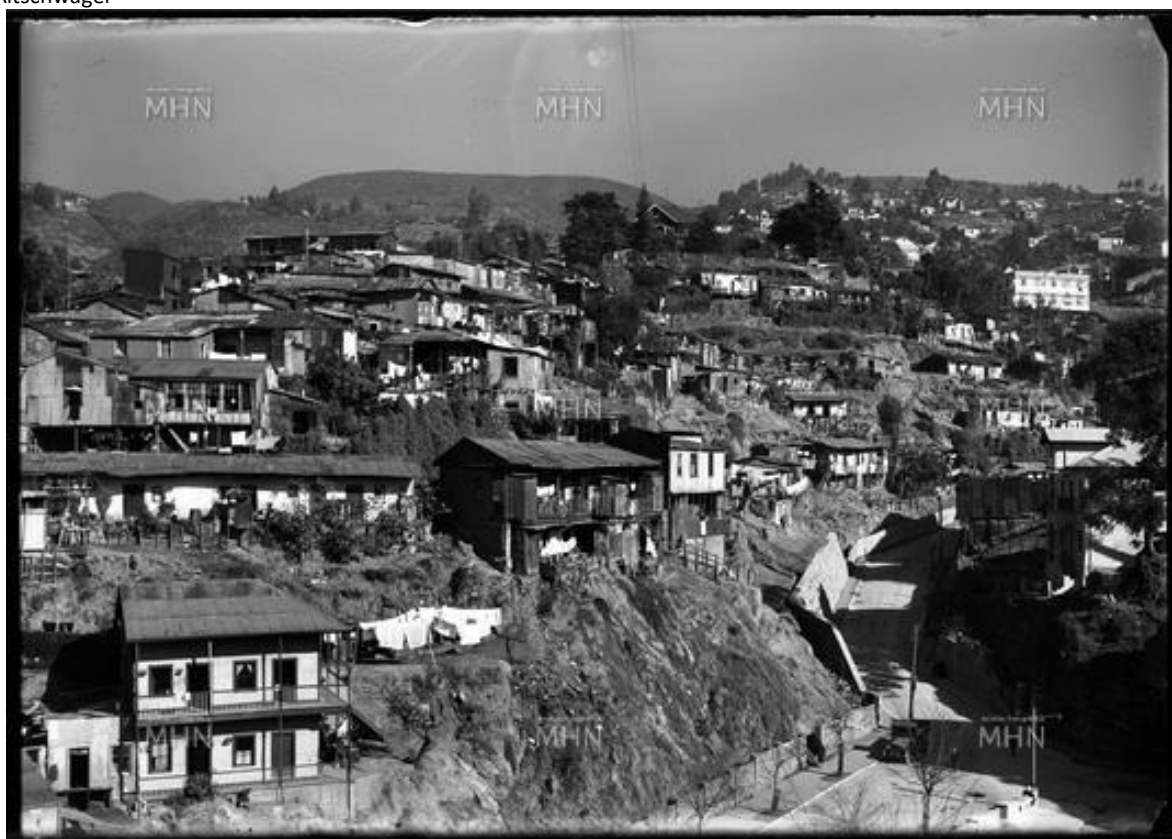
At the end of the nineteenth century, an exceptional kind of infrastructure improved Valparaíso’s urban development: elevators and funicular railways (Muga & Rivas, 2009). From the need for accessibility to the hills, the first elevator and a viewpoint were installed in Concepción Hill (see Figure 4.7) (Muga & Rivas, 2009). The elevators were considered the solution to reach the hills and to visualise significant elements of its urban landscape (Estrada, 2012). Between 1883 and 1931, 30 elevators were built in Valparaíso, which reflected their success as a means of transport (Estrada, 2012). The elevators are part of the outstanding significant landscape elements of Valparaíso’s urban heritage (UNESCO, 2003c) and represent the industrial boom of the city as well as the creative adaptation of the people inhabiting the slopes.

Figure 4.7. Elevator of Concepción Hill, 1900. Source: © Colección Museo Histórico Nacional. Author: Félix Leblanc



Although human-built forms shaped the urban landscape in Valparaíso, beyond Alegre Hill, informality in the hills was attached to an increasing urban poverty (Trivelli & Yasiyo, 2010; Waisberg et al., 1998). At the end of the nineteenth century, most of the inhabitants of Valparaíso lived in a situation of marginality (Biblioteca Nacional de Chile, 2017b; Millán-Millán, 2016). Towards 1880, accelerated immigration meant that the need for housing became critical (Millán-Millán, 2016). Therefore, deprived people of Valparaíso began to build partial housing solutions and occupied abandoned houses in depreciated urban areas, especially after catastrophes such as floods and earthquakes (Millán-Millán, 2016). These self-built houses were precarious, overcrowded and made with recycled materials (see Figure 4.8) (Millán-Millán, 2015). In this context, at the end of the nineteenth century, Valparaíso began to decline as an urban centre, with a many poor and unemployed people.

Figure 4.8. Valparaíso's self-built urban landscape, 1930. Source: © Colección Museo Histórico Nacional. Author: Einar Altschwager



The urban contrasts and cultural diversity of Valparaíso gave rise to neighbourhoods with unique characters (Millán-Millán, 2016). Each hill had its places of sociability, such as chapels or canteens (Millán-Millán, 2016) (see Figure 4.9). In this context, the working-class people of Valparaíso created a popular cultural heritage, which is currently considered to be part of the national identity of Chile (Torres, 2003). At the end of the nineteenth century, a heritage dance called urban or port *cueca* (*cueca urbana* or *cueca porteña*) emerged in Valparaíso (Torres, 2003). This typical dance was rooted in the style of working-class people, where parties (*peñas*) were community experiences that shaped a unique kind of sociability (Torres, 2003). In the Port neighbourhood (*Barrio Puerto*), which is the oldest urban area of Valparaíso, famous cabarets and bars were situated and the night environment is still known as 'port bohemia' (*bohemia porteña*) (Torres, 2003). However, poverty, disease and prostitution were common in these entertainment venues, which were frequented by sailors arriving at the port (Francia, 1969; Garreaud, 1984). Therefore, as these social contrasts are still reflected in the city, several efforts have been conducted to recover the development of Valparaíso.

Figure 4.9. Valparaíso canteen, 1900. Source: © Colección Museo Histórico Nacional. Author: Unidentified



4.2.3 Efforts to Recover Valparaíso's Urban Development

From being the most important port of the Pacific coast of Latin America, different national and international issues resulted in the deterioration of the city of Valparaíso during the twentieth century (Trivelli & Yasiyo, 2010; Vergara-Costela & Casellas, 2016). However, the urban area of Valparaíso was expanded until the development of a metropolitan area called Great Valparaíso (*Gran Valparaíso*), which included the communes of Valparaíso, Viña del Mar, Concón, Villa Alemana and Quilpué (see Map 4.1) (Álvarez et al., 2009; Hidalgo & Borsdorf, 2005). In this context, Viña del Mar increased its urban dynamism because of its public spaces, hospitality industry and beaches (Muga & Rivas, 2009). Conversely, the commune of Valparaíso lost its condition as a historical urban centre (Muga & Rivas, 2009). Between 1992 and 2002, the commune of Valparaíso lost the demand for residential use, although the metropolitan area was expanded (Muga & Rivas, 2009). This is demonstrated in the decrease of its communal population (see Table 4.1). Between 2002 and 2017, the commune of Valparaíso had the slowest growth in the population of its metropolitan area (see Table 4.1).

Map 4.1. Urbanisation in the context of the broader area of the Metropolitan Area of Valparaíso

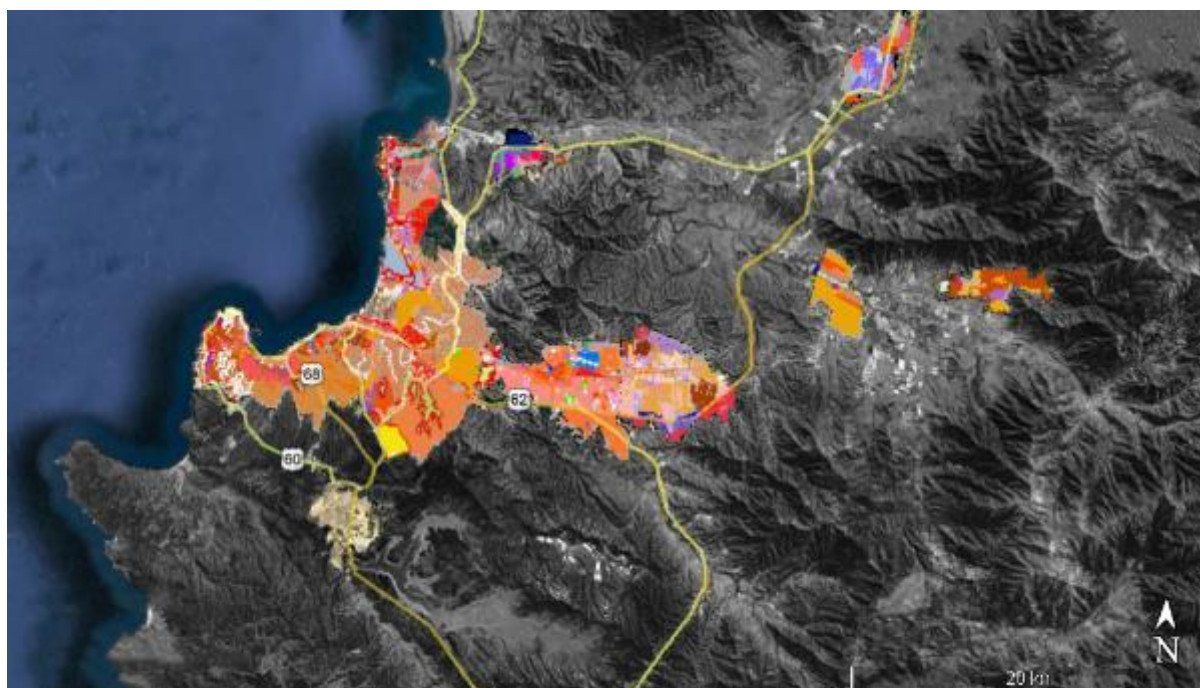


Table 4.2. Population of the communes of the Metropolitan Area of Valparaíso

Communes of the metropolitan area of Valparaíso	Population in 1992	Population in 2002	Intercensal variation 1992–2002 (%)	Population in 2017	Intercensal variation 2002–2017 (%)
Valparaíso	275,982	286,931	–2.4	296,655	3.2
Viña del Mar	282,84	275,982	0.5	334,248	17.4
Quilpué	103,665	126,704	23.4	151,708	16.48
Villa Alemana	71,537	95,623	33.8	126,548	24.43
Concón	18,872	32,273	3.9	42,152	23.43
Total	762,103	817,513	–	951,311	–

Source: based on data from National Institute of Statistics 1992, 2002, 2017.

In an attempt to redevelop the city during the beginning of the 1990s, the National Congress of Chile was moved to Valparaíso (Cima, 2013). However, this did not have a significant effect on the redevelopment of the city (Cima, 2013). At the end of the twentieth century, the Chilean State promoted an intensive urban renewal, tourism and the expansion of the universities in Valparaíso (Vergara-Costela & Casellas, 2016). In this context, although the average population decreased in the commune of Valparaíso, Placeres Hill experienced a significant growth because of the promotion of high-density housing policies (Muga & Rivas, 2009). Therefore, from the need to reactivate the city following its economic decline, high-rise buildings were built outside the WHS (Vergara-Costela & Casellas, 2016). These buildings were built less than 10 metres from the heritage protected area of the CRP, namely the HCZ of Placeres Hill (Vergara-Costela & Casellas, 2016), which can be observed in Figure 4.10.

Figure 4.10. High-rise building in Cabritería Ravine, between Placeres and Barón Hills, 2017



From the overview of the urban history of Valparaíso and its development over time provided in this section, it is possible to conclude that the rise and decline of the city–port shaped an urban landscape with social and cultural contrasts. These contrasts are analysed in detail in the next section.

4.2.4 Contrasts Within Valparaíso’s Urban Landscape

Valparaíso’s urban landscape is characterised by its contrasts, which can be understood as landscape attributes and challenges for its urban development (Ferrada, 2014; Maturana, 2014). These contrasts are presented in this section to demonstrate the complex scenario of this critical case study.

European influenced architecture vs. vernacular self-built environment

At first sight and from any viewpoint of the hills of Valparaíso, it is possible to observe that sophisticated European influenced architecture coexists with vernacular and impoverished self-built houses (Guerrero, 2012; Pino & Hormazabal, 2016). Higher socioeconomic groups inhabit the central urban area of Valparaíso, whereas the socially vulnerable populations inhabit the peripheral areas, which are difficult to access (Brignardello, Villagran & Gomez, 1998). However, given the natural shape of the bay and the slopes of the hills, different social groups are integrated into one urban landscape (Cima, 2016; Municipalidad de Valparaíso, 2010) (see Figure 4.11). This unique landscape attribute of Valparaíso is known as the ‘amphitheatre hills’ (*cerros del anfiteatro*).

Figure 4.11. Urban landscape of the WHS and Artillería Hill (area outside the WHS), from Alegre Hill, 2017



Formal and informal urban development

Another contrast that can be observed in Valparaíso's urban landscape is the how the hills and the ravines were urbanised (see Map 4.2). Most of the ravines of Valparaíso were informally occupied with self-built and precarious constructions, which included both human housing and animal shelters (Pino & Hormazabal, 2016). This informal countryside landscape contrasts with the formal and consolidated urbanisation of the plain area (see Figure 4.12). According to Pino and Hormazabal (2016), the identity of the inhabitants of the ravines is rooted in an evocative rural lifestyle. Additionally, their self-built houses are considered to be a collective achievement and a valuable kind of contemporary vernacular habitat (Lindón, 2002; Pino, 2014).

Map 4.2. Consolidated and unconsolidated areas of the ravines and hills of Valparaíso. Source: Own elaboration, based on Pino and Hormazabal (2016).

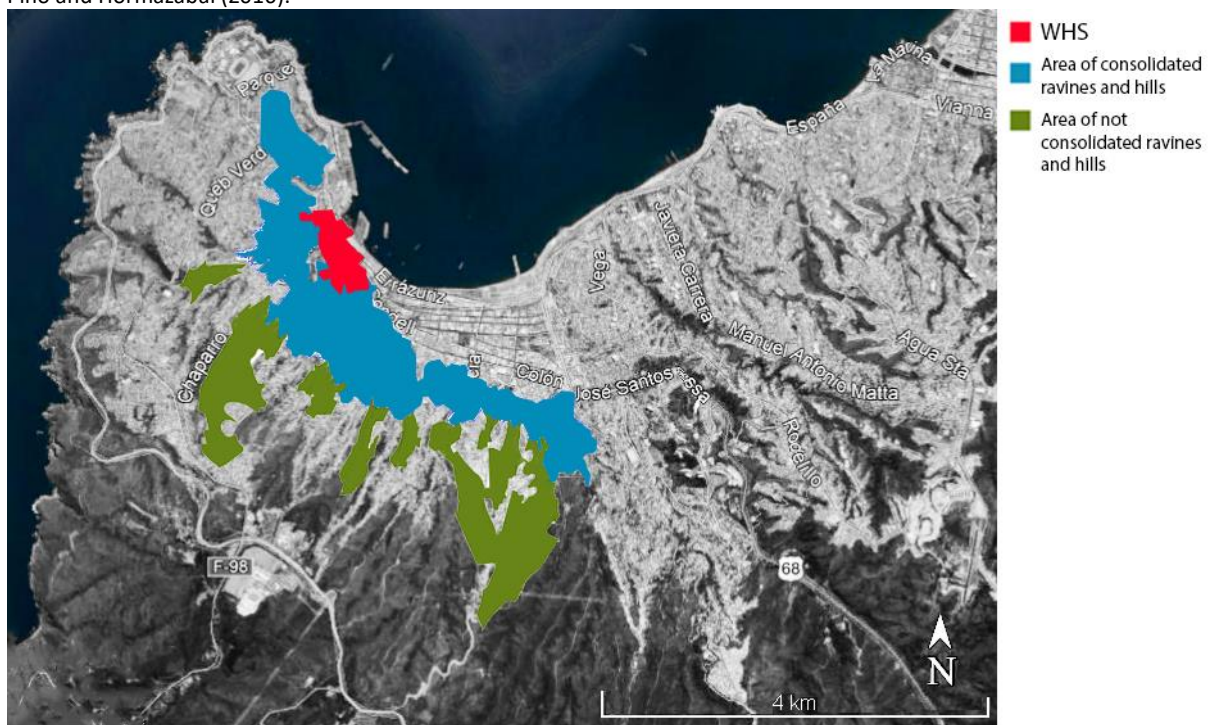


Figure 4.12. Amphitheatre of Valparaíso outside the WHS, including Barón Hill to Las Cañas Ravine, 2017



Although the vernacular contemporary constructions and the natural environment of the ravines can be considered to be landscape attributes, these are inhabited by vulnerable people (Pino, 2014). Therefore, the self-built landscape of the ravines also relates to urban poverty.

Urban poverty and working-class cultural values

According to the last National Socioeconomic Characterisation Survey, which was conducted in 2015, the percentage of people living in poverty in Valparaíso (16.87%) was above the total national average (14.40%) (BCN, 2015). Nevertheless, beyond urban poverty, Valparaíso's working-class inhabitants developed significant cultural values, which are recognised as part of the national folklore of Chile (Payá, 2011; Torres, 2003). The folklore developed around the port (*folklor porteño*), known as the 'Traditional Bohemian Music of Valparaíso', has been recognised as intangible heritage by the Ministry of the Arts, the Culture and the Heritage (SIGPA, 2018). In this context, the port neighbourhood was redeveloped because of its recognition as WHS and the emergence of a new folk bohemia (Payá, 2011). The main streets of the WHS were restored, including the opening of new bars and restaurants, along with art and music halls (Payá, 2011). This led to an increasing gentrification, which is described in the next subsection.

The decline of historic areas v. urban renewal, tourism and gentrification

Given the need to redevelop Valparaíso, subsidies for the restoration of heritage areas were established to recover its urban population (Muga & Rivas, 2009). Tourism was also considered to be an important strategy for urban development and to promote Valparaíso's heritage values (Ossa & Rippes, 2014; Vergara-Costela & Casellas, 2016). However, from the beginning of the twenty-first century, tourism has resulted in gentrification, particularly in Alegre and Concepción Hills (Ossa & Rippes, 2014). Due to increasing tourism, several physical and social transformations have resulted. Gentrification and urban renewal have caused conflicts and a new sense of belonging (Ossa & Rippes, 2014). For example, some of the old Alegre Hill inhabitants became tourism managers, while new inhabitants identified themselves with the new folk culture of Valparaíso (Ossa & Rippes, 2014). Additionally, since the national government promoted the development of universities, young people have arrived to the city (Álvarez et al., 2009). In 2014, the Region of Valparaíso had the highest elderly index, which confirmed that it was one of the most elderly population regions of Chile (INE, 2016a). Consequently, the urban renewal of the historic areas of Valparaíso is not revealed solely on the built environment but also in its inhabitants.

Port infrastructure v. public access to the coast

Although the landscape of the hills of Valparaíso has been developed in an integrated way with the natural geography, the flat area of the port was built above the sea (Ferrada, 2014). During the nineteenth century, warehouses, artificial streets and docks were built on reclaimed land (Ferrada, 2014). Industrialisation was the promoter of Valparaíso as a city-port and the railway allowed the urbanisation surrounding the Barón Railway Warehouse (see Figure 4.13) (Ferrada, 2014). In this context, there was a discontinuity between the sea border and the plain area of the city due to the installation of the port's operating systems (Ferrada, 2014). From the deindustrialisation and the obsolescence of the railway infrastructure, Valparaíso's citizens have demanded the integration of the sea border with the urban fabric through new public spaces, which is discussed in Section 4.3.

Figure 4.13. View of the former railway area, the coastal border and the port of Valparaíso, 2017



Considering the strong contrasts of the city of Valparaíso, managing its landscape values has been a significant challenge for local and national authorities (Cima, 2013). In this context, the next section details Valparaíso's WHS application and nomination, together with the need to implement the approach proposed by the HUL Recommendation.

4.3 Valparaíso's World Heritage Site and the need to implement the HUL Approach

This section critically analyses the process of the nomination of the WHS Historic Quarter of the Seaport City of Valparaíso of 2003 and the recommendation to implement the HUL approach in 2013 (UNESCO, 2003d; ICOMOS, 2013). Ten years after its nomination, an ICOMOS advisory mission proposed the HUL approach to be a good starting point to improve the management approach of Valparaíso's WHS (ICOMOS, 2013; Mendes & Calvo, 2014). From the analysis of the application and nomination process, the origin of the problems identified by advisory mission are revealed.

4.3.1 Nomination of Valparaíso's World Heritage Site

The origin of the WHS application

At the end of the 1990s, the idea emerged for the application of the city of Valparaíso to be included in UNESCO's WHL (Cima, 2013). As a result of the 5th Conference on Architectural and Urban Preservation—Meeting of Latin-American Specialists, which was convened by the University of Valparaíso in 1995, the Municipality of Valparaíso encouraged the idea of the WHS application with

the support of local academics (Sánchez et al., 2009). The WHS application was supported by the President of Chile, who created the Presidential Advisory Commission for the Development of the City of Valparaíso in 2002 (Ministerio del Interior, 2002). The decree that created the Presidential Advisory Commission indicated that, given the various economic and social problems of Valparaíso, there was a need to implement development plans, programs and projects (Ministerio del Interior, 2002). Its development as a port and cultural city was defined together with 'its recognition as a World Heritage City' (Ministerio del Interior, 2002, p. 1). The Presidential Advisory Commission was formed from five Ministers, the Undersecretary of Regional and Administrative Development, the Intendant of the Region, the Governor of the Province and the Mayor of Valparaíso, who participated as a permanent guest (Ministerio del Interior, 2002). The WHS application was led from designated authorities to develop Valparaíso as a 'heritage, tourist and cultural city, attractive to live and work' (Ministerio del Interior, 2002, p. 2).

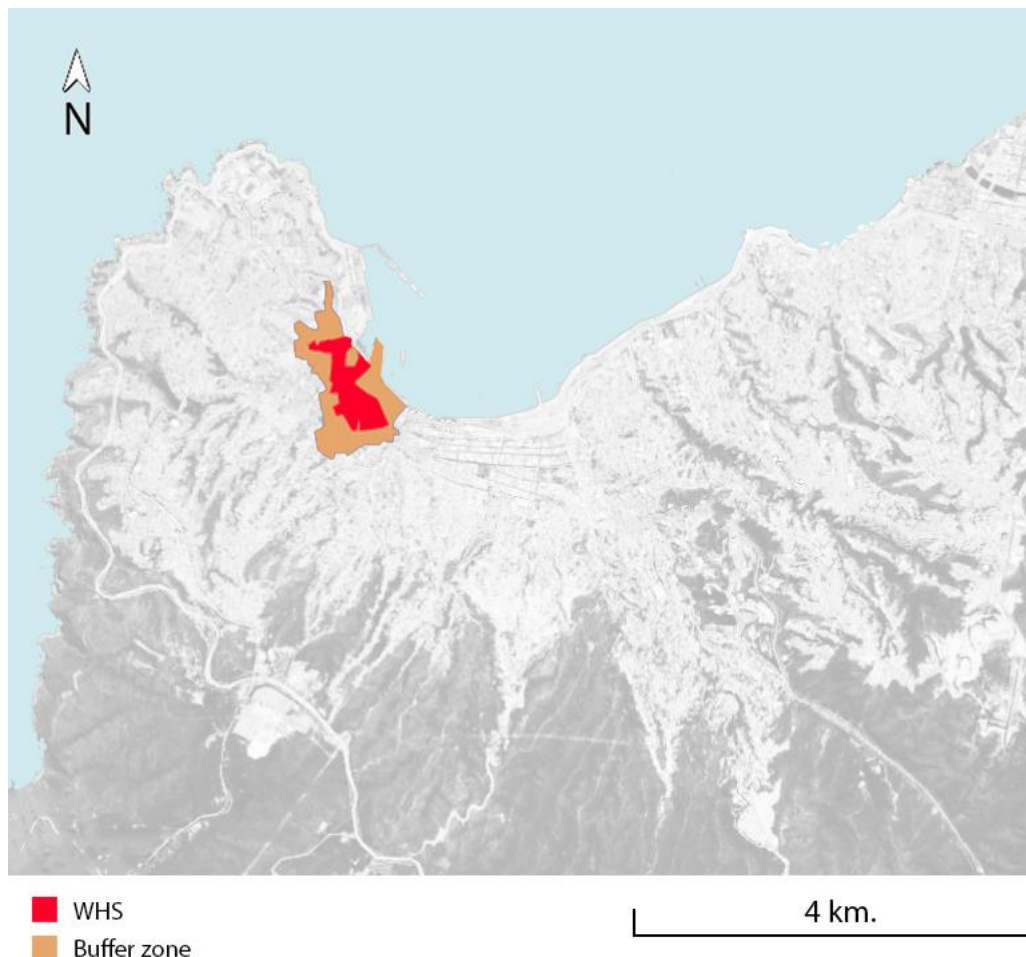
In 2003, at the 27th Session of the World Heritage Committee, UNESCO deliberated unanimously in favour of declaring the Historic Quarter of the Seaport City of Valparaíso as a WHS (UNESCO, 2003c, 2003d). The decision was defined in the document *27 COM 8C.41 Historic Quarter of the Seaport City of Valparaíso (Chile)* (UNESCO, 2003c). Valparaíso's WHS was defined under criteria iii, as an exceptional evidence to the early phase of globalisation, when the merchant port became the most important on the Pacific coast of South America (UNESCO, 2003c). With this decision, the State of Chile recognised the duty of safeguarding the conservation of Valparaíso's WHS with their own resources and with international assistance when required (UNESCO, 1972). Moreover, the State of Chile adopted policies for appropriate legal, technical, administrative and financial actions (UNESCO, 1972). In this context, Valparaíso was the first inhabited urban area in Chile that received this international distinction and the responsibility involved with its conservation.

The contradictions of the nomination file: outstanding landscape values outside the WHS

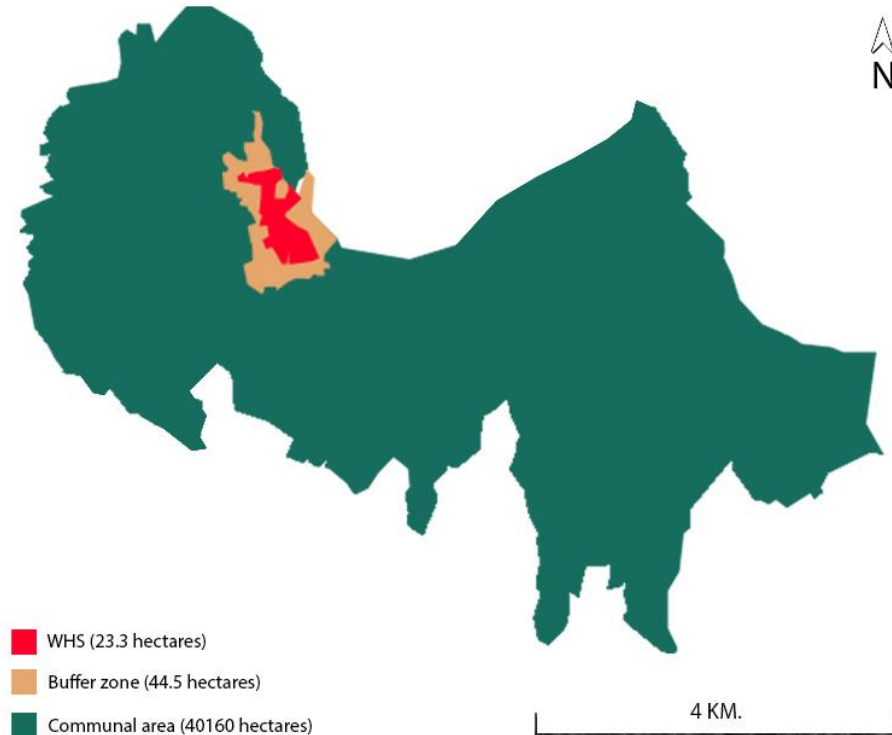
The nomination file of Valparaíso's WHS (UNESCO, 2003d) reveals some contradictions in relation to the identification of its OUV, the definition of the WHS boundaries and buffer zone. These contradictions emerged from a technical decision supported by ICOMOS. In 1998, the first WHS application file was officially presented by the Government of Chile and an ICOMOS Application Evaluation Mission was designated to meet the authorities of the Municipality of Valparaíso in 2000 to review the nomination file and to undertake an on-site verification of the OUV (Gobierno de Chile, 2004; Sánchez et al., 2009). Following the visit, it was confirmed that the recognised OUV were the amphitheatre, the relationship between the natural and the built environment, the peculiar urban squares, passages, stairs and elevators and the diverse vernacular architecture (Gobierno de Chile, 2004; Sánchez et al., 2009). However, several weaknesses related to the management plan were also evident (Sánchez et al., 2009). These weaknesses included urban planning legislation that allowed the construction of high-rise buildings, which had altered Valparaíso's landscape (Sánchez et al., 2009). Therefore, in 2000 ICOMOS recommended that the proposed area be reduced to ensure better management of the WHS, rather than improving the management so that the broader landscape values of Valparaíso could be protected.

In 2002, the amended WHS application file was presented, which was supported by ICOMOS and accepted by UNESCO to be included in the WHL in 2003 (Gobierno de Chile, 2004). In this context, Valparaíso's WHS comprises 23.2 hectares, while the buffer zone is 44.5 hectares (UNESCO, 2003c). Buffer zones are the 'surroundings' of a WHS, which are an essential tool for the conservation plan (Martin & Piatti, 2009). For the proper conservation of a WHS, 'an adequate buffer zone around a property should be provided... determined through technical studies' (Martin & Piatti, 2009, p. 35). As shown in Maps 4.3 and 4.4, the WHS and its buffer zone are small compared with the urban area of the commune of Valparaíso, which is 40,160 hectares (INE, 2017). As the communal area of Valparaíso reflects the OUV of urban amphitheatre, there are significant landscape values that are located outside the boundaries of the area defined as WHS and its buffer zone.

Map 4.3. WHS (red area), buffer zone (orange area) and metropolitan area of Valparaíso (light grey area)



Map 4.4. WHS, buffer zone and the communal area of Valparaíso (green area)



According to the WHS nomination file, the urban shape of Valparaíso is the result of intercultural dialogue and creative adaptation to the natural environment shaped during the second half of the nineteenth century (UNESCO, 2003c). The narrowness and irregularity of its streets created a 'dialogue between the hills and the plain' (UNESCO, 2003d, p. 10). This spatial integration nurtured 'not only the esteem of its inhabitants for their city but the contact between neighbours, the daily dialogue, meeting and socialisation' (UNESCO, 2003d, p. 10). Its heterogeneity is revealed through strong differences between architectural typologies and peculiar public spaces of the quarters and the hills. However, this heterogeneity is balanced by integration 'between its inhabitants and the landscape' (UNESCO, 2003d, p. 10). The WHS nomination file also described the tangible elements of the city, in which 'thanks to their adaptation to the milieu, accomplished both originality and universal value' (UNESCO, 2003c, p. 11). These elements are described below:

- **Layout.** Two main structures are distinguished within the urban irregular layout. One is the road network of the foothills and the plain area, which gives way to several squares connecting the plain area. The second is the narrow streets and alleyways, which transversely intersect the longitudinal thoroughfares and the plain area in a sea–hill direction (UNESCO, 2003d).
- **Urban public spaces.** The diversity of public spaces is the result of a difficult adaptation process. In Valparaíso, nature is observed through the urban shape adapted to the geography. Urban public spaces are the result of a unique layout, which contributed to the integration of its inhabitants (UNESCO, 2003d).
- **Architecture.** There are a variety of buildings styles, from colonial and neo-classical, to modern and rationalist architecture. The historic and eclectic architecture of the end of the nineteenth century included neo-baroque and neo-renaissance references. It is possible to appreciate the peculiar application of the different styles, from the native to North American,

British, German and French. Moreover, some houses climb up the slopes thanks to creative structural solutions (UNESCO, 2003d).

- **Elevators.** In 2003, Valparaíso had 15 elevators in operation, which continue to be fundamental for its urban development. The elevators are the result of the application of technological advances of the industrial age. The elevators provided a valuable public service to connect the plain area and the hills in an efficient way, from economic, operational and environmental perspectives (UNESCO, 2003d).

Although the area of Valparaíso's WHS and its buffer zone is small compared to the communal area, the nomination file highlighted Valparaíso's outstanding landscape values, which included attributes that were beyond the WHS. The WHS nomination file indicated that Valparaíso's natural attributes determined its development as a city–port:

- The bay, which due to the nearby hills, formed a natural amphitheatre.
- A narrow plain standing between the coastline and the foothills.
- The hills, which are linked by a network of sea-oriented ravines.
- The plateaus at uneven heights, the ever-changing light and the prevailing winds (UNESCO, 2003d, p. 9).

To illustrate that significant landscape values of Valparaíso's urban heritage were outside the WHS, Figure 4.14 illustrates this from the viewpoint of Alegre Hill. The boundary of the WHS excludes Artillería Hill, where the Old Navy Academy of Valparaíso was located, the historic port and the harbour area.

Figure 4.14. Illustration of the WHS boundary (red line) from Alegre Hill to Artillería Hill and the port area (coloured area is included in the WHS)



Although the historic infrastructure of the harbour area is outside the boundaries of the WHS, the nomination file encouraged the State of Chile to develop an inventory and to protect this together with the WHS (UNESCO, 2003c). Further, the committee requested clarification of the norms and guidelines in the adjacent areas to the WHS and its buffer zone and the development of a conservation management plan for the entire maritime port area (UNESCO, 2003c). The management plan requested from the nomination file involved landscape attributes of Valparaíso beyond the boundaries of the WHS. The challenge was how to manage Valparaíso's landscape if the whole urban area was not included in the WHS.

4.3.2 Recommendation to Implement the HUL Approach in Valparaíso

Since the UNESCO nominated Valparaíso's WHS, public opinion, including local communities and international institutions, have questioned the management of its OUV (ICOMOS, 2013; ICOMOS Chile, 2016). Urban deterioration, devastating fires and vandalist graffiti on the facades of monuments were the main problems exhibited in the WHS (Estrada, 2007; Sepúlveda, 2011). Additionally, the incorporation of other heritage areas and the safeguard of industrial heritage were demanded (Castillo 2005; Torres 2013). In this context, heritage activism increased in Valparaíso since the WHS nomination, which revealed social and political contradictions in the protection of heritage values (Rojas & Urbina, 2015). Additionally, UNESCO encouraged the State of Chile to protect the infrastructure related to the historic harbour, to implement a conservation management plan for the working port area and to define urban norms in areas adjacent to the WHS (UNESCO, 2003d). In this context, the HUL approach was proposed to be a good starting point to improve the management of Valparaíso's OUV.

In 2013, the *Report on the advisory mission to Historic Quarter of the Seaport City of Valparaíso* was directed by UNESCO and conducted through the technical support of ICOMOS (2013). The problems identified in this report were focused on three issues:

- Institutions needed to adopt a broader approach to planning and managing the broader attributes of Valparaíso's heritage.
- More participation of the actors involved needed to be encouraged.
- There was a lack of regulation in the interventions of the properties of the WHS (ICOMOS, 2013; Mendes & Calvo, 2014).

Given the need to define a broader approach for Valparaíso's WHS, the ICOMOS advisory mission recommended that the landscape attributes of its urban heritage be considered, such as the coastline and the geographical amphitheatre (ICOMOS, 2013). Hence, the HUL approach was considered to be 'an important starting point for this revision' (ICOMOS, 2013, p. 5). By reflecting on the approach proposed by the HUL Recommendation, UNESCO and ICOMOS invited the State of Chile to take legislative measures to be consistent with the principles proposed by this standard-setting international policy (UNESCO, 2010; ICOMOS, 2013). As the scale and diversity of Valparaíso's landscape attributes were beyond the WHS, the HUL approach was considered suitable to better conserve its OUV and to improve the planning approach of its WHS. In this context, the conduction of the ICOMOS advisory mission directed by UNESCO proposed the HUL approach to be implemented in Valparaíso.

In 2016, ICOMOS Chile developed the *Director Management Plan for the Port City of Valparaíso*, which advised UNESCO and the State of Chile on the management of the WHS and its OUV (ICOMOS Chile, 2016). In this report, ICOMOS Chile criticised the *Masterplan of Heritage Management of Valparaíso* (MPHM) (*Plan Director de Gestión Patrimonial de Valparaíso—PDGPV*) (SEREX, 2011). ICOMOS Chile argued that although there was an effort to compile the recommendations from the UNESCO guidelines, along with a chronology of the work carried out, there was a lack of practical heritage management instruments. Additionally, according to ICOMOS Chile, the MPHM lacked the thematic organisation required for a WHS management tool (ICOMOS Chile, 2016). It also identified that the structure of the plan was inconsistent with the UNESCO reference manual, *Managing Cultural World Heritage* (UNESCO, 2013). The UNESCO framework for heritage management systems included the analysis of legal and institutional frameworks and resources, together with defining the planning, implementing and monitoring processes (UNESCO, 2013). According to ICOMOS Chile, Valparaíso's MPHM should be redefined to improve the management system of the WHS.

The ICOMOS Chile evaluation report also claimed that the MPHM considered very general definitions without adopting the HUL approach (ICOMOS Chile, 2016). With more precision than in 2013, ICOMOS Chile highlighted in 2016 that the HUL was a suitable approach to define intervention criteria for tangible and intangible heritage values of Valparaíso's urban landscape (ICOMOS Chile, 2016). At the 41st Meeting of UNESCO in 2017, ICOMOS Chile reported the absence of a management plan for the protection of Valparaíso's OUV, according to the *Practical Guidelines of the World Convention on Natural and Cultural Heritage* (ICOMOS Chile, 2017). The members of ICOMOS Chile argued that whether Valparaíso was deprived of a management plan, or it was weak, the effects and threats on the OUV would be higher (ICOMOS Chile, 2017). Conversely, if proper management tools were developed, the threats could be foreseen and controlled with greater possibilities of benefiting the WHS, the city and its population.

To summarise, the HUL approach was recommended for the adjustments to Valparaíso's WHS because it proposes an accurate management approach for the conservation of the landscape values of Valparaíso's urban heritage. As the HUL approach comprises urban heritage beyond the boundaries of a defined historic centre, it comprises a broad range of heritage values and stakeholders (Bandarin & van Oers, 2012; UNESCO, 2011b; Veldpaus, 2015). As the HUL approach required this to be adapted to local contexts for its implementation (UNESCO, 2011b), the next subsection presents Valparaíso's policies and legal frameworks and considers the role of its key stakeholders and local communities.

4.4 Towards Implementation of the HUL Approach: Valparaíso's Policies and Legal Frameworks

The HUL Recommendation involves consideration of the current policy, legislative and normative frameworks for the development of innovative planning for the HUL approach to be implemented (UNESCO, 2011b). The HUL Recommendation also indicates that Member States and authorities identify the critical steps within their contexts to implement the HUL approach, including the perspectives of key stakeholders and local communities (UNESCO, 2011b). Considering that the 2013 ICOMOS Advisory Mission recommended the implementation of the HUL approach in Valparaíso, this

section introduces Valparaíso’s policies, legal and normative frameworks regarding heritage conservation and urban planning (Table 4.3). In addition, because the HUL approach encourages citizen participation and learning from the traditions of local communities (UNESCO, 2011b), the role of key stakeholders and local communities in the management of Valparaíso’s WHS is also highlighted in this section. The policy documents to be analysed are (see Table 4.3):

- Two supranational policies—HUL Recommendation (English and Spanish version) and the nomination file of Valparaíso as WHS (included texts in English and Spanish).
- Two national policies—National Policy of Culture and NPUD.
- Two national laws—Law of Monuments and the Regulation of Typical or Picturesque Zone and the General Law and Ordinance of Urbanism and Constructions.
- Two communal plans—one strategic plan related to heritage management, the MPHMH and one compulsory communal plan, Ordinance and Regulatory Communal Plan of Valparaíso (CPR).

Table 4.3. Policy documents analysed, including authors and year of publication.

Level	Policies	Author/year of publication
Supranational policies	HUL Recommendation (English and Spanish versions)	UNESCO (2011)
	Nomination file of the Historic Quarter of the Seaport City of Valparaíso	UNESCO, Government of Chile (2003)
National policies	National Policy of Culture	National Council of the Cultures and the Arts (NCCA) (2017)
	National Policy of Urban Development (NPUD)	Ministry of Housing and Urbanism (MHU), National Council of Urban Development (2014)
National laws	Law of National Monuments and Regulation of Typical or Picturesque Zones	Council of National Monuments (1970, 2017)
	General Law and Ordinance of Urbanism and Construction (GLUC-GOUC)	MHU (1976, 1992)
Communal plans	Masterplan of Heritage Management of Valparaíso (MPHM)	External Services Department of PUC (2011)
	Ordinance of the Regulatory Plan of Valparaíso (CPR) and Partial Modification	Municipality of Valparaíso (2010, 2018)

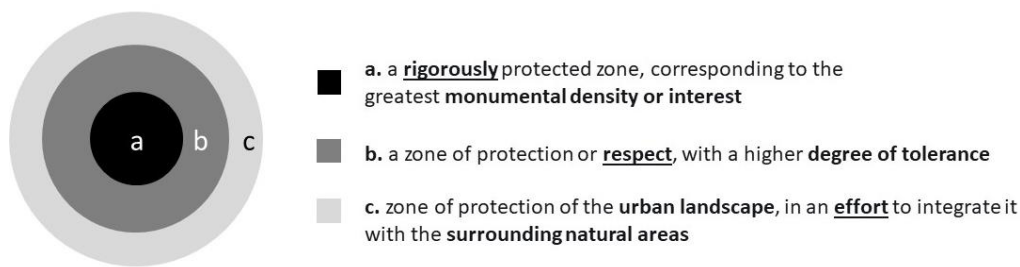
Before presenting Valparaíso’s policy framework, the next section presents the Norms of Quito (ICOMOS, 1967), a supranational policy that have had a significant impact on the management of urban heritage in Chile.

4.4.1 Heritage Conservation and Urban Planning in Chile and Valparaíso

Influence of the Norms of Quito in Valparaíso’s WHS

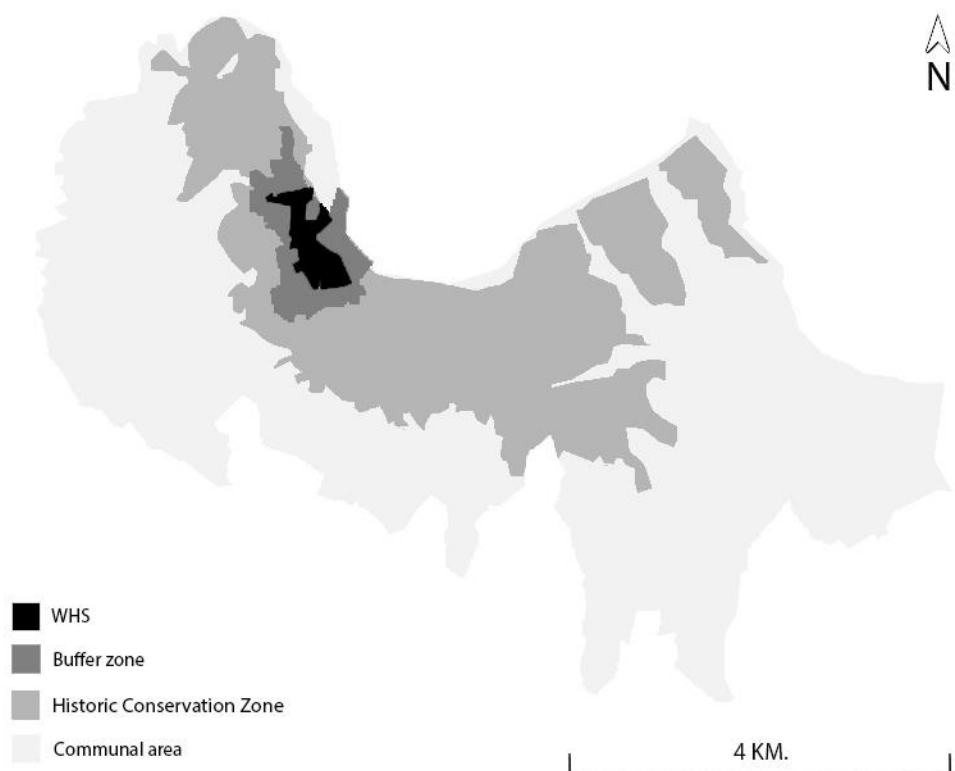
The Norms of Quito have had a substantial impact on the management of urban heritage in Chile and Latin America (see Section 4.1.1). Additionally, the Norms of Quito established protective legislation for monumental districts of environmental values (ICOMOS, 1967). As illustrated in Figure 4.15, boundaries should be defined to rigorously protect the greatest monumental density (Zone A). A buffer with a higher degree of tolerance is defined (Zone B) and a zone aimed to integrate the urban landscape and surrounding natural areas is proposed (Zone C).

Figure 4.15. Illustration of the protective legislation of historic centres according to the Norms of Quito



The influence of the Norms of Quito on Valparaíso is revealed through the definition of its WHS boundaries. Valparaíso's WHS comprises the monumental urban area of its historic quarter, whereas the buffer zone is the border that surrounds the WHS to better protect its monumental values (UNESCO, 2011c). The influence of the monumental approach of the Norms of Quito can be represented in the protective legislation of Valparaíso. Map 4.5 displays the different levels of protection of Valparaíso's urban heritage, in which the WHS is the rigorously protected area and the HCZ, defined by its Communal Regulatory Plan (CRP), is the area that shows an effort to protect the Valparaíso's urban landscape. The area protected by the HCZ is known as 'the amphitheatre'.

Map 4.5. Protective legislation for Valparaíso's urban heritage according to different levels of protection



The conservation of Valparaíso's urban heritage has taken a monumental approach. Although there was an intention to protect the surrounding urban landscape, the main protection has been in the monumental area. As a result, the outstanding landscape values outside the boundaries of the WHS remain less protected. This is analysed in Chapter 6 through the evaluation of the Law of Monuments and the CRP of Valparaíso.

The next section analyses heritage conservation and urban planning in Valparaíso, together with the need to integrate these different practices for the management of its outstanding landscape values.

Heritage conservation and urban planning in Valparaíso: the need to integrate different practices and trajectories

Heritage conservation in Chile has a clear monumental approach, which is based on the principles of the Law of National Monuments No.17,288 (Ministerio de Educación Pública, 1970). This law originated in 1925, together with the creation of the Council of National Monuments (MINEDUC, 2016). In 1969, the executive branch presented a draft law to the National Congress, which established the protection of Historic Cultural Heritage of the State (BCN, 1970). The President of Chile gave a speech, declaring that the image of every society is reflected in its historical–cultural legacy and this is expressed by a ‘tangible set of goods that give form and shape to the historical trajectory of a nation, which constitutes its cultural heritage’ (BCN, 1970, p. 4). Consequently, the discourse behind the origin of the Law of National Monuments considers that heritage remains as tangible assets, which follows a monumental approach.

In 1997, the Historic Quarter of Valparaíso was defined as an area to be conserved through its definition as a ‘section’ (*seccional*), which is a zone with special norms in the CRP (GORE, 1997; Jimenez & Ferrada, 2018; Sánchez et al., 2009). The section ‘Preservation of and Historic Conservation Areas’ aimed to complement the protection of the Law of Monuments and to mitigate the weaknesses of this law on the conservation of urban heritage (Jimenez & Ferrada, 2018). In 1998, the first proposal to apply Valparaíso and its elevators to be inscribed as a WHS was presented (Sánchez et al., 2009). These initiatives revealed the need to integrate the practices and legal frameworks of heritage conservation and urban planning in Valparaíso. However, according to ICOMOS and UNESCO (ICOMOS, 2013; Mendes & Calvo, 2014) further efforts were required to protect the outstanding landscape values of Valparaíso’s urban heritage beyond its WHS boundaries.

The next sections introduce Valparaíso’s national policies, laws and communal plans on heritage conservation and urban planning at the different levels of governance. This provide the broader context for heritage management in Valparaíso.

4.4.2 National Policies of Culture and Urban Development

The current National Policy of Culture (CNCA, 2011) and the National Policy of Urban Development (NPUD) (MINVU, 2014) define the frameworks for heritage conservation and urban planning in Chile, respectively. The formulation of these policies is the result of the agreement of political actors that have value to Chilean culture and society (Olavarría, Navarrete & Figueroa, 2011; Stein et al., 2006). The National Policy of Culture is a guide for the definition of plans and programs related to the promotion of culture, the arts and heritage in Chile; whereas the NPUD promotes sustainable urban development and promotes the formulation of instruments to reach that objective. These policies are briefly presented in this section and analysed in detail in Chapter 6.

National policy of culture

The National Policy of Culture (2017-2022) (CNCA, 2011) was created together with the Ministry of Culture, the Arts and Heritage (CNCA, 2011). Prior to this ministry, there was a National Council on the Arts and Culture that used to be dependent on the Ministry of Education. This institutional change reflected the actualisation of cultural organisations and communities in Chile (MINEDUC, 2003). The policy also reflects the more active role adopted by citizens in a democratic context (CNCA, 2011). The National Policy of Culture is a guide for the definition of plans and programs related to the promotion of culture, the arts and heritage in Chile. The Ministry of Culture, the Arts and Heritage is in charge of the application of this national policy, which was created in 2017 through Law No. 21.045 (MINEDUC, 2017a). The principles promoted by the National Policy of Culture arose from participatory activities, called 'Regional Conventions' (CNCA, 2011). The new ministry and its principles are still under implementation.

National policy of urban development

The NPUD was adopted following a long absence of a formal national policy on this issue in Chile (MINVU, 2012, 2014). In 1979, the policy published under the military dictatorship of Chile (1973–1990) proposed a flexible planning system with minimum State intervention (MINVU, 2012). This flexible planning system allowed the growth of urban areas by following market trends (MINVU, 2012). In contrast, during the first years of democracy in Chile (1993–1996), the Ministry of Housing and Urbanism, supported by the United Nations Urban Management Program (UN-UMP), developed a national consultation for a new urban development policy (MINVU, 2012). The process began in 2009, with the active participation of relevant public and private actors and the conclusion was to promote sustainable urban development (MINVU, 2012). In 2012, a Presidential Advisory Commission was established to formulate a new national urban policy (MINVU, 2014). The commission consisted of legislators, former and current ministers, deans of universities, citizen organisations and experts in different matters.

4.4.3 Laws of Monuments and Urbanism

The national laws regarding heritage conservation and urban planning in Chile are the Law of National Monuments (1970) and the General Law and Ordinance of Urbanism and Constructions, respectively (GLUC-GOUC) (1976). Both laws were adopted during the military dictatorship of Chile. However, these laws have updated documents—a regulation and an ordinance—which were considered in this thesis. The GLUC-GOUC norms and regulates the administration of urban planning processes and the technical standards of design and constructions. The Law of National Monuments protects objects and buildings that have been identified as national monuments whose preservation is of interest to history, art or science, together with the protection of areas of environmental value defined as Typical Zones (TZ).

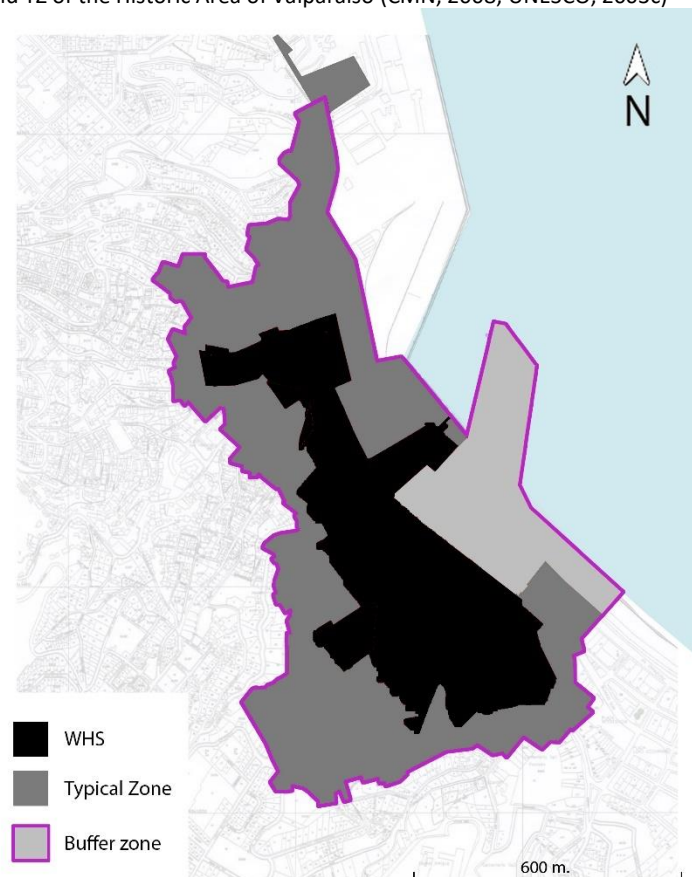
Law of National Monuments and Regulation of Typical or Picturesque Zones

The Law of National Monuments has been applied for the conservation of Valparaíso's urban heritage since 1971, when several Typical Zones (TZ) were defined (Molen, 2013). The 2017 *Regulation of*

Typical or Picturesque Zones defined the urban areas that were protected by the Law of National Monuments (MINEDUC, 2017b). The first TZ of Valparaíso was La Matriz Church and its surroundings (Ministerio de Educación Pública, 1971). La Matriz is the oldest church of Valparaíso, which is in the port neighbourhood. In 1979, the surroundings of Sotomayor Square, which is the central open space of the port area, was protected together with Alegre and Concepción Hills (Ministerio de Educación Pública, 1979). The last two areas were expanded in 1982 and 1999, respectively (SEREX, 2011). In 2001, Márquez Ravine, Echaurren Square, Serrano Street, Cordillera Hill and the banking area of Prat Street were declared to be TZ (MINEDUC, 2001). In 2008, the TZ was extended to 59.3 hectares to protect the port neighbourhood (CMN, 2008; MINEDUC, 2008). This extender area was defined as a 'Typical Zone of the Historic Area of Valparaíso', which reflected the multiple layers of Valparaíso's urban landscape and the core of its OUV.

However, the expansion of the TZ and its boundaries were not fully consistent with the WHS and its buffer zone (UNESCO, 2003c). As shown in Map 4.6, the TZ was consistent with the boundaries of the buffer zone in the area of the hills, but the area of the harbour was not included. Thus, the historic port of Valparaíso was not fully protected by the Law of Monuments. In addition, the WHS and the area of the buffer zone that was inside the TZ were not identified as different areas by the Law of Monuments. Hence, the WHS and its buffer zone were not distinguished by the Law of Monuments.

Map 4.6. Superposition of the WHS, its buffer zone and the 'Typical Zone of the Historic Area of Valparaíso'. Source: based on WHS nomination file and TZ of the Historic Area of Valparaíso (CMN, 2008; UNESCO, 2003c)



General Law and Ordinance of Urbanism and Constructions (GLUC-GOUC)

The law related to urban planning in Chile is the General Law and the Ordinance of Urbanism and Constructions (GLUC-GOUC) (1976, 1992). The GLUC (MINVU, 1976) is focused on urban planning, urbanisation and construction throughout the national territory. This legislation has three levels of action. First, the GLUC contains the principles, sanctions and norms related to the practice of urban planning and construction. Second, the GOUC (MINVU, 1992) regulates the administration of urban planning processes and the technical standards of design and constructions. Finally, the Technical Standards define the technical characteristics of projects, including the materials and systems. Given the broad approach of this law, the analysis presented in Chapter 6 is focused on the GLUC and some articles of the GOUC, which are related to urban heritage and landscape values.

In the GLUC-GOUC, two figures protect the built heritage in the Territorial Planning Instruments (TPI) but are not protected by the Law of Monuments. Historical Conservation Buildings (HCB) are recognised by architectural, historical or cultural values, (MINVU, 1992, p. 7). HCZs are one or more sets of buildings of urban or cultural heritage, which are also identified as such in the TPI (MINVU, 1992, p. 13). The CRP identifies HCB and HCZ for the protection of morphologies or architectural styles of facades. Table 4.4 displays the national laws, instruments of application and figures of protections from the Law of Monuments and the GLUC-GOUC.

Table 4.4. National laws, instruments and figures related to heritage protection in Chile

National law	Application instruments	Figures of protection	
		Buildings	Ensemble or urban area
Law of Monuments	Rules on Typical or Picturesque Zones of the Law No 17.288	National Monument	HCB
General Law and Ordinance of Urbanism and Constructions (GLUC-GOUC)	TPI—CRP	TZ	HCZ
		*These protection figures are identified in the CRP. The figures protected by the Law of Monuments are considered to have a higher protection than the ones defined by the GLUC-GOUC because there is a decree associated with its definition.	

4.4.4 Communal Plans on Heritage Conservation and Urban Planning

The communal plans related to heritage conservation and urban planning are the Masterplan of Heritage Management of Valparaíso (MPHM) and the CRP of Valparaíso. Although there are other communal regulations and guidelines adopted by the Municipality of Valparaíso, the MPHM and the Communal Plan of Valparaíso (CPR) are the most relevant plans for the management of the WHS and the implementation of the HUL approach in Valparaíso (ICOMOS, 2013; UNESCO, 2003d). The MPHM is the communal instrument that promotes the integrated work between the institutions involved in the management of Valparaíso's WHS; whereas the CRP defined the urban planning norms of the commune of Valparaíso. The norms of the CRP include Historic Conservation Buildings and Historic Conservation Zones (HCZ) which are buildings and group of buildings with architectural value.

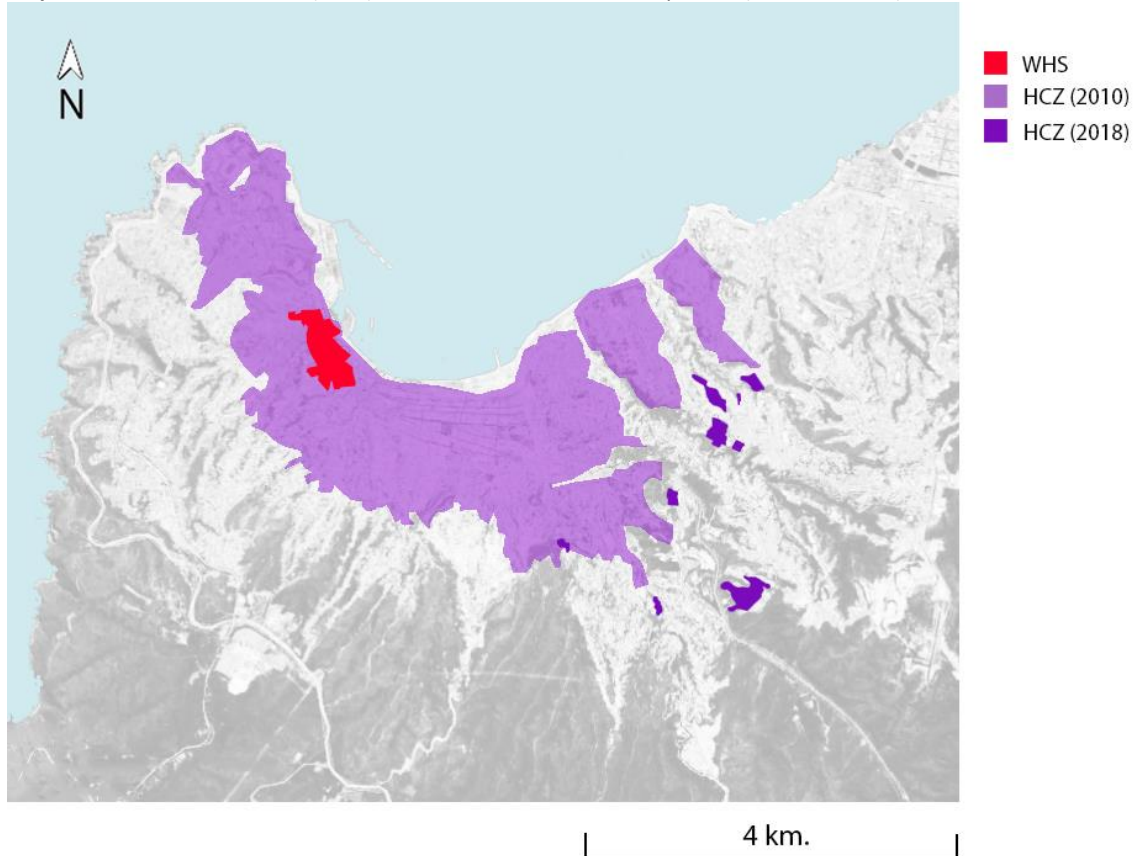
Masterplan of Heritage Management of Valparaíso (MPHM)

The objectives of the MPHM, which are detailed in the WHS nomination file, are the integrated work between the institutions involved in the management of Valparaíso's WHS (UNESCO, 2003d). The first phase of the study conducted for the MPHM aimed to make compatible the conservation of the OUV and its economic development (SEREX, 2010). The MPHM was funded by the Undersecretary of Regional and Administrative Development of the Ministry of the Interior based on a loan from the Inter-American Development Bank (IDB). The first phase of the study was awarded to the External Services Department of the Pontifical Catholic University of Chile (SEREX, 2010). The consultant had as a permanent technical counterpart, a committee with members of the Municipality of Valparaíso, representatives of the Council of National Monuments, the Regional Secretariat of the Ministry of Housing and Urbanism and the Program of Recovery and Urban Development of Valparaíso (SEREX, 2010). The 2013 advisory mission considered that the MPHM lacked crucial issues related to its landscape attributes and the involvement of key stakeholders (see Chapter 3) (ICOMOS, 2013). These issues are considered in the critical analysis presented in Chapter 6.

Communal Regulatory Plan of Valparaíso (CRP)

The urban planning norms of the commune of Valparaíso are defined in the CRP (Municipalidad de Valparaíso, 2010, 2018b). The Valparaíso's CRP dates from 1984 (MINVU, 1984), but has more than 22 modifications, five of which included HCB and HCZ (Municipalidad de Valparaíso, 2010). Since 1984, the modifications related to heritage conservation were 'Preservation Sectionals of Views from Walking Viewpoints' (1997), 'Declarations of Zones and Buildings of Historical Conservation in the Hills of the Amphitheatre, Plan, Sea Border and Cliffs' (2004), in 'El Almendral, Placeres and Esperanza Hills' (2005) and in 'Ancha Beach' (2006) (Municipalidad de Valparaíso, 2010). These modifications are relevant because the process of heritage conservation from the CRP commenced before the WHS nomination in 2003. The last partial modification of the CPR was conducted in 2018 (see Map 4.7) (Municipalidad de Valparaíso, 2018b). This modification highlighted the approach prosed by the HUL Recommendation, which is critically analysed in Chapter 6.

Map 4.7. Area defined as WHS (2003) and the HCZ of the CRP of Valparaíso (2010 and 2018)



The next section presents the importance of stakeholders and local communities in Valparaíso's heritage management.

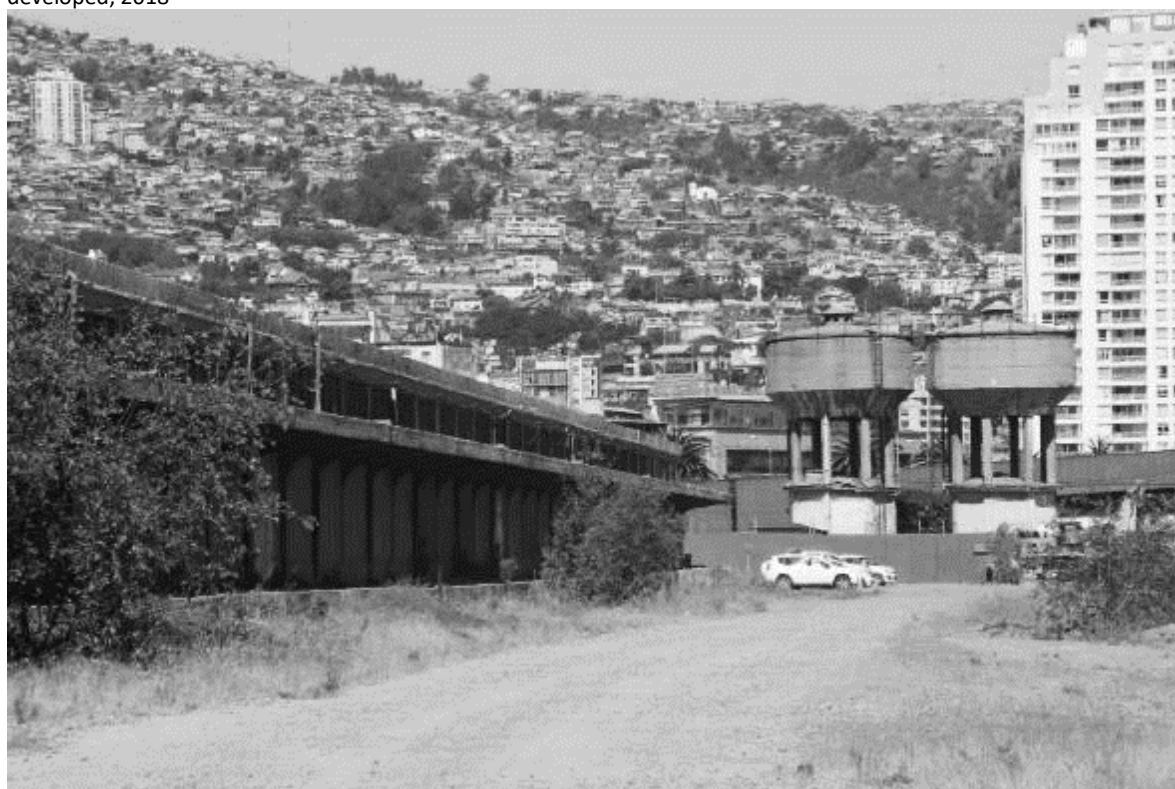
4.4.5 The Role of Key Stakeholders and Local Communities in Valparaíso's Heritage Management

The monumental approach to heritage conservation established in Valparaíso has been criticised by many practitioners, researchers and communities (Cima, 2013; Isaza & Andrade, 2016; Vergara-Costela & Casellas, 2016). According to De Nordenflycht (1997), a strong citizens' movement for the protection of Valparaíso's heritage emerged in the 1990s, which was called 'Citizens for Valparaíso' (*Ciudadanos por Valparaíso*). The origin of this community was the defence of a nineteenth century building against its demolition (De Nordenflycht, 1997). From the view of these communities, real estate speculation was attempting to destroy Valparaíso's urban landscape by blocking the horizontal landscape of the sea from the top of the hills (De Nordenflycht, 1997). This dispute was extended from the local to the national level and expanded the contentions of the parties in conflict (De Nordenflycht, 1997). The principles of the citizens' movement that emerged in Valparaíso was extended to the national level through an NGO called 'Chilean Association of Neighbourhoods and Heritage Zones' (CANHA) (*Asociación Chilena de Barrios y Zonas Patrimoniales*). The members of this NGO were known as 'Heritage Communities' (*Comunidades del Patrimonio*), which were communities that defended the conservation of cultural heritage in Chile (CANHA, 2019). However, heritage communities in Valparaíso still manifested ideas that were opposed to the interests of other stakeholders at the local level (CANHA, 2019; De Nordenflycht, 1997). As the conflicts of values between local communities and

other stakeholders is reflected in Valparaíso, this issue is considered in the analyses presented in Chapters 7 and 8.

Public controversy regarding Valparaíso's heritage management has increased among the communal government and communities because of the development of new urban projects (Garcia, 2007). Two projects posed the most critical controversies: the 'Puerto Barón' (known as 'Mall Barón') and the project of expansion of the port, 'Terminal 2' (*Terminal Cerros de Valparaíso*) (T2-TCVAL) (Figueroa, 2017; ICOMOS, 2013). In 2004, the Port Company of Valparaíso (*Empresa Portuaria de Valparaíso—EPV*) created a masterplan for the expansion of the port. According to Ivelic et al. (2017), the masterplan will definitively remove public access to the sea, endanger the OUV and former railway infrastructure (see Figure 4.16). Conversely, the official website of the T2-TCVAL published that the project will not damage the OUV of Valparaíso's WHS (TCVAL, 2015). However, the UNESCO World Heritage Committee warned that both projects, Mall Barón and T2-TCVAL, threatened the WHS. Thus, UNESCO recommended ending such works based on studies undertaken by ICOMOS in 2013 (Figueroa, 2017; ICOMOS, 2013).

Figure 4.16. View of the former railway area (Simón Bolívar Warehouse) where the project Mall Barón was proposed to be developed, 2018



In 2016, a Heritage Impact Assessment (HIA) related to the Mall Barón and T2-TCVAL projects was conducted (Isaza & Andrade, 2016). This study concluded that the State of Chile had to adequately manage Valparaíso's architectural and urban heritage. These problems were due to institutional limitations and regulations with a high degree of conceptual and instrumental obsolescence (Isaza & Andrade, 2016). Insufficient public planning capacity and little integrated vision were also identified, given that public and private initiatives were not sufficiently articulated (Isaza & Andrade, 2016). According to Isaza and Andrade (2016), these deficiencies were clear in the conservation of

Valparaíso's WHS, its buffer zone and the wider heritage of the city. In 2017, UNESCO requested heritage impact mitigation measures and the completion of an Environmental Impact Assessment (EIA) (Figueroa, 2017; UNESCO, 2017a). According to ICOMOS Chile (2017) and Isaza and Andrade (2016), the main threats were due to the absence of a proper heritage management plan for Valparaíso, which revealed that the failure was related to institutional incapacity to implement a coherent heritage management plan for Valparaíso's OUV.

Considering these problems, the municipality developed a partial modification to its CRP in 2018, including new HCZ in Placeres and Esperanza Hills (Municipalidad de Valparaíso, 2018a). These hills are located outside the WHS and its buffer zone. The former norm of the CRP was not effective in controlling the adverse effects of real estate speculation (Municipalidad de Valparaíso, 2018b). The speculation of the price of urban land provoked a growing pressure in those hills (Municipalidad de Valparaíso, 2018b). This initiative emerged from local communities, who requested the protection of the area because the increasing and uncontrolled real estate development threatened their quality of life (Corresponsal El Martutino, 2018). Local communities realised that CRP had insufficient restrictions to protect the harmonious growth of the city and to safeguard the landscape values of Valparaíso (see Figure 4.17).

Figure 4.17. Self-constructed houses in Barón Hill and high-rise buildings in Placeres Hill, 2017



According to the CRP modification, the HUL Recommendation 'raises the need to control the height of the buildings to maintain the heritage qualities of the territory' (Municipalidad de Valparaíso, 2018b, p. 14). The CRP adopted the HUL to propose norms oriented to control high-density developments in the hills (Municipalidad de Valparaíso, 2018b). However, the HUL was understood

just from a morphological perspective, rather than from an integrative approach to urban heritage management proposed by the 2011 Recommendation.

As the HUL approach has been considered to be an opportunity for increasing awareness in public participation, it is essential to assess the views of key stakeholders and local communities (Rey-Pérez & González-Martínez, 2018). By disregarding traditional up–down decision-making, the HUL approach encourages the integration of key stakeholders and to learn from the perspectives of local communities (UNESCO, 2011c). As recommended by the ‘Territorial Review about Chile’ of the Organization for Economic Co-operation and Development (OECD), multilevel governance and coordination measures increased the legitimacy, consistency and effectiveness of governance processes in Chile (Delamaza & Thayer, 2016; OECD, 2009). Implementation of the HUL Recommendation in Valparaíso would contribute to a better alignment of Chile with broader international development policies.

4.5 Conclusions

This chapter has revealed that the management approach proposed by the HUL Recommendation appears to be suitable for integration with the broader OUV of Valparaíso, which are outside the existing WHS. By broadening the scale and integrating a diversity of values and actors involved in the management process, the HUL approach is expected to better manage the landscape values of Valparaíso’s urban heritage. Nevertheless, the monumental approach to heritage conservation established in Chile and the complexity to integrate the practices of heritage conservation and urban planning, may impede or delay this process. Therefore, further critical analysis of the policies, legislative and communal norms are required for these to be aligned with the HUL approach.

To conclude this chapter, a series of photographs taken during fieldwork in Valparaíso are presented to demonstrate features of the urban landscape of Valparaíso. The next chapter presents the methodological approach of the thesis and explains how these respond to the research questions.

Figure 4.18. Landscape of the bay, the port and the amphitheatre of city of Valparaíso, 2017



Figure 4.19. Landscape of the ravines and Monjas Hill, 2017

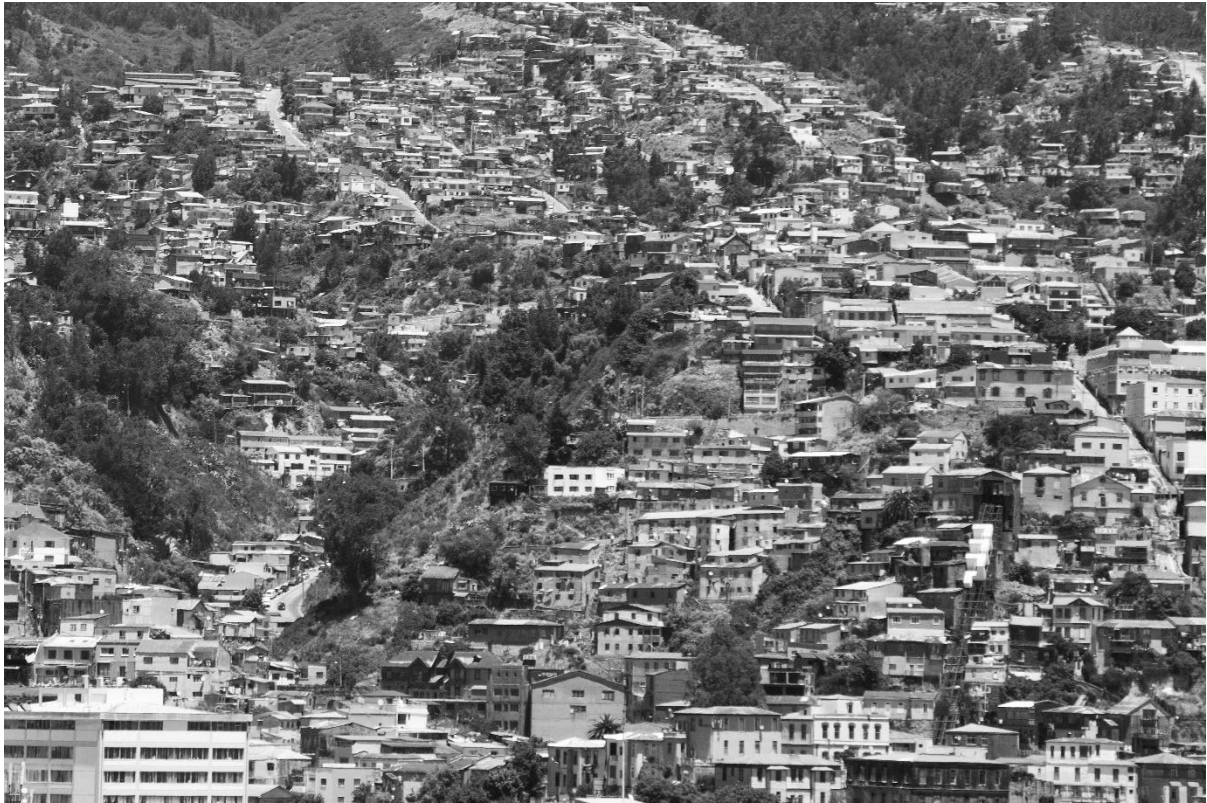


Figure 4.20. High-rise buildings in the plain area and the hills as a background, 2017



Figure 4.21. Landscape of Cabritería ravine, 2017



Figure 4.22. Natural landscape and informal houses of Philippi ravine, 2017



Figure 4.23. Tourists taking photos in the gentrified area of Alegre Hill (WHS), 2017



Figure 4.24. A young tourist drinking in the slope outside of a bar (WHS), 2017.



Figure 4.25. The view of the amphitheatre of Valparaíso from Barón Hill (HCZ) to the seaport, 2017



Figure 4.26. Old adobe houses destroyed and a new high-rise building in the background (HCZ), 2017



Figure 4.27. A cat scratching a window in a typical *porteña* house (HCZ), 2017

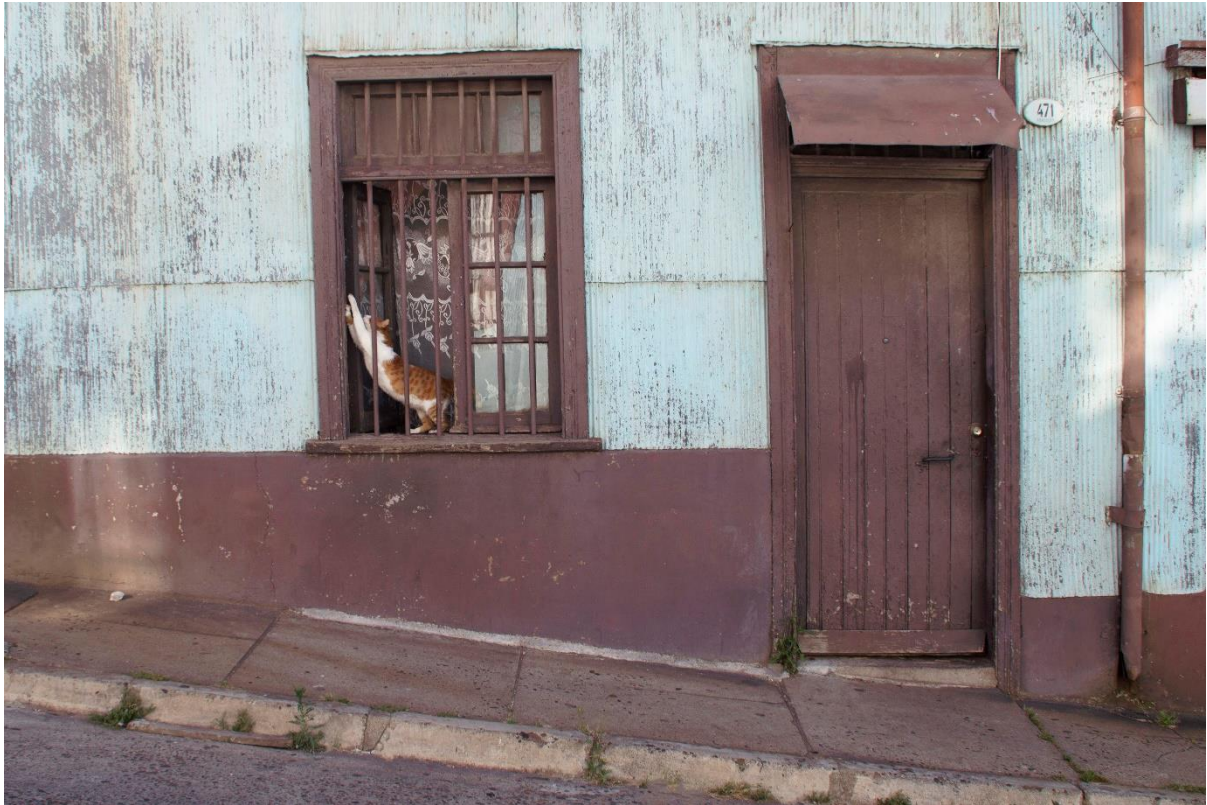


Figure 4.28. Two ladies walking up the hill (HCZ), 2017



Figure 4.29. Landscape from the top of El Peral Elevator in Alegre Hill (WHS), 2017



Chapter 5. Research Methods

This chapter presents the research methods of the thesis. The overall research approach is presented, together with the research questions and objectives. The research design is based on the analysis of a critical case study, in which mixed methods and triangulation of the results was applied. The methods are explained according to the research objectives and the triangulation responds to the research questions. Data collection is detailed together with fieldwork activities conducted in the Valparaíso case study. Finally, data analysis is detailed, according to the methods adopted to respond to the research questions and objectives. The critical Valparaíso case study is expected to provide lessons from its contextual circumstances and to develop further theory for the HUL approach and its potential implementation in other contexts. Moreover, given the interdisciplinary nature of the HUL approach, mixed methods have been applied to develop the analysis. Policy analysis, interviews, focus groups and mapping involves the integration of disciplines such as social sciences, geography and planning.

5.1 Research Approach

This thesis critically analyses whether the HUL Recommendation provides an effective approach to manage the outstanding landscape values of Valparaíso's urban heritage and its implications of its potential implementation in other Latin-American cities. As discussed in Chapter 2, the traditional monumental approach to heritage conservation was not suitable for considering the diversity of values of increasingly changing urban landscapes (Araoz, 2011; Mason, 2006; Pendlebury, 2013). Therefore, Chapter 3 argued that the approach proposed by the HUL Recommendation has been appropriate for better management of urban heritage due to its broader and more integrative perspective (Siguencia, 2018; UNESCO, 2011b; Veldpaus, 2015). Chapter 4 explained how the HUL Recommendation was proposed to be a productive starting point to improve the management approach of the conservation management plan of Valparaíso's WHS by the ICOMOS advisory mission, which was conducted in 2013 (ICOMOS, 2013; Mendes & Calvo, 2014). Therefore, the main research question of this study was:

- How can the approach proposed by the HUL Recommendation manage the outstanding landscape values of the city of Valparaíso?

From the results of the critical analysis of the Valparaíso case study and the HUL Recommendation, the secondary research question was:

- How can the HUL Recommendation be enhanced for its implementation in Valparaíso and other cities?

To respond to the research questions, four objectives were defined:

- 1) To evaluate whether the current policy framework, laws and plans of heritage conservation and urban planning in Valparaíso were aligned with the HUL Recommendation.

- 2) To assess whether the key stakeholders involved in the management of Valparaíso's WHS had perceptions that were consistent with the HUL approach.
- 3) To assess what local community leaders and other community members valued from Valparaíso's urban heritage and whether their perceptions were consistent with the definition of the HUL.
- 4) To establish the barriers and facilitators to the implementation of the management approach proposed by the HUL Recommendation in Valparaíso.

To address the main research question, a variety of qualitative methods were used. Qualitative research is understood as being the study of the empirical world from the researcher's point of view (Krefting, 1991). Human actions are not only influenced by the physical and sociocultural environment, but also personal meanings and perceptions are critical, so it is the responsibility of the researcher's to access these perceptions (Krefting, 1991). Therefore, qualitative methods were used in this research to understand the study phenomena in the most accurate and truthful way possible. To respond to research objective one, policy analysis was developed to examine Valparaíso's national policies, laws and communal plans regarding heritage conservation and urban planning. To address research objective two, face-to-face interviews with key stakeholders were conducted to assess their approach to heritage management. To address research objective three, focus groups were conducted to recognise how Valparaíso's heritage values were perceived by communities. Fieldwork was conducted in Valparaíso and Santiago, Chile, for five and a half months, between August 2017 and January 2018 and on-site observations of Valparaíso were used as a complementary research method. Finally, to address research objective four, the results were triangulated to establish the barriers and facilitators to the implementation of the HUL approach in Valparaíso. The enhancement of the HUL Recommendation for its optimal implementation in Valparaíso and other cities was critically analysed, which addressed the secondary research question.

The following section details the research design and the methods used to respond the research questions and objectives.

5.2 Research Design

This section details the research design, which is the framework for defining data collection and analyses (Bryman, 2016). This study used an inductive and qualitative approach, which involved recognising patterns from observation and the development of explanations based on theories (Bernard, 2011; Bryman, 2016). This thesis contends that the approach proposed by the HUL Recommendation is appropriate to manage the landscape values of urban heritage because it provides a holistic and integrative planning perspective (see Chapter 3) (Bandarin & van Oers, 2012; Rey-Perez & Siguencia, 2017; UNESCO, 2011c, 2016; Veldpaus, 2015). This exploratory research has a defined theoretical framework (see Chapters 2 and 3), with observations and results from fieldwork used to guide, reinterpret and propose further theory. To comprehend whether Valparaíso's current policy framework was aligned with the HUL approach, the last part of the thesis presents a critical realistic approach (Bryman, 2016). Critical realism accepts that reality is socially constructed through

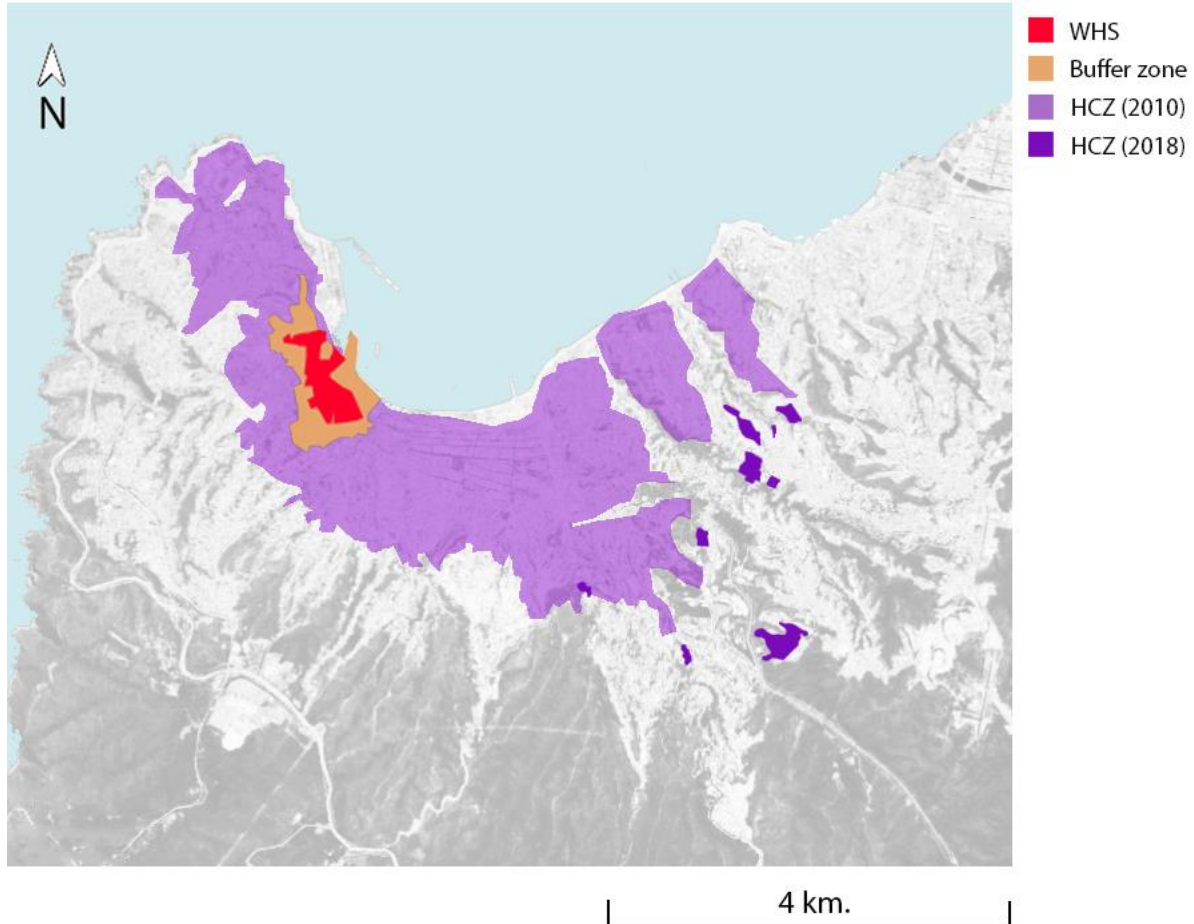
interpretations, so this approach is well-suited to relatively limited but complex social phenomenon (Easton, 2010), such as organisational and actor dynamics. This research goes further than theorising heritage. The methods are focused on the management of the landscape values of urban heritage using a critical case study of Valparaíso.

5.2.1 Case Study Design

The sampling is based on a single case study of the city of Valparaíso, Chile (see Chapter 4). Case study research is a detailed and intensive analysis of a single case, which is concerned with the complexity and context of the case in question (Bryman, 2016). The Valparaíso case study was used for an intensive analysis, in relation to which it engaged with the theoretical framework of the HUL approach (Bryman, 2016; UNESCO, 2011c). Valparaíso was selected according to a critical case sampling criterion (Bryman, 2016). From the research questions and objectives, the critical case study was explored and was expected to allow a better understanding of the circumstances that supported or contradicted theory (Bernard, 2011; Bryman, 2016; Yin, 1994). From the several problems identified in the management of Valparaíso's WHS, the HUL approach was recommended (ICOMOS, 2013). ICOMOS indicated that there was a 'serious situation', which was represented by a lack of a proper management system for the conservation of the landscape attributes of its OUV, so the HUL approach was considered to be a good starting point (ICOMOS Chile, 2016, p. 19). The critical Valparaíso case study is expected to provide lessons from its contextual circumstances and to further develop theory for the HUL approach and its potential implementation in other case studies.

Using case study design, a vital issue is to clearly define the unit of analysis (Bryman, 2016). As the HUL approach engages in the protection of heritage beyond historic centres (UNESCO, 2011c), thus the study area includes an area beyond the WHS. The analysis is focused on the urban area of the commune of Valparaíso, which is protected by the CRP of Valparaíso as HCZ (see Map 5.1). This HCZ is known as 'Amphitheatre Hills' and is approximately 1,043 hectares in total (Municipalidad de Valparaíso, 2017). The commune of Valparaíso is 40,160 hectares (INE, 2007) and the total urban area is 2,579.7 hectares (UNESCO, 2003d). The area defined as a WHS in Valparaíso is inside the HCZ and it is 23.5 hectares, whereas the buffer zone of the WHS is 44.5 hectares (UNESCO, 2003d). The WHS and its buffer zone are inside the area defined as HCZ (Municipalidad de Valparaíso, 2010), so these areas were included in the analysis (see Map 5.1).

Map 5.1. Study area of Valparaíso, including the WHS, its buffer zone and the HCZ of the CRP (2010 and 2018)



Valparaíso was chosen as a single case study not because it was extreme or unusual, but because it was expected to exemplify a broader category of cases (Bryman, 2016). From the results of the analysis, Valparaíso provides a suitable context to respond the research question related to the implications of the HUL approach and the development of future research on the implications of the HUL in Latin America.

5.2.2 Mixed Methods and Triangulation

To thoroughly respond to the research questions, this thesis was designed to integrate mixed methods aligned with the objectives (Bryman, 2016). Triangulation of the results was applied to answer objective 4 and to develop the conclusions of the thesis (Bryman, 2016). Triangulation refers to observations of the research issue from at least two different perspectives, as a validation strategy of the research procedures and analyses results (Flick, 2004). This thesis used a triangulation of data from different sources from the case study (Flick, 2004). These sources of data included policy documents related to heritage conservation and urban planning in Valparaíso at different levels of governance. Additionally, the perceptions of key stakeholders at different levels of governance, local community leaders and other members were considered in the analyses. To balance the subjective influences of stakeholders and community views, in-depth personal interviews and focus groups were conducted. The conclusions of the research were informed according to objective 4, which was to establish the barriers and facilitators to the implementation of the HUL approach in Valparaíso. Figure 5.1 represents the research design and Figure 5.2 illustrates the triangulation of the qualitative methods.

Figure 5.1. Research approach and methods

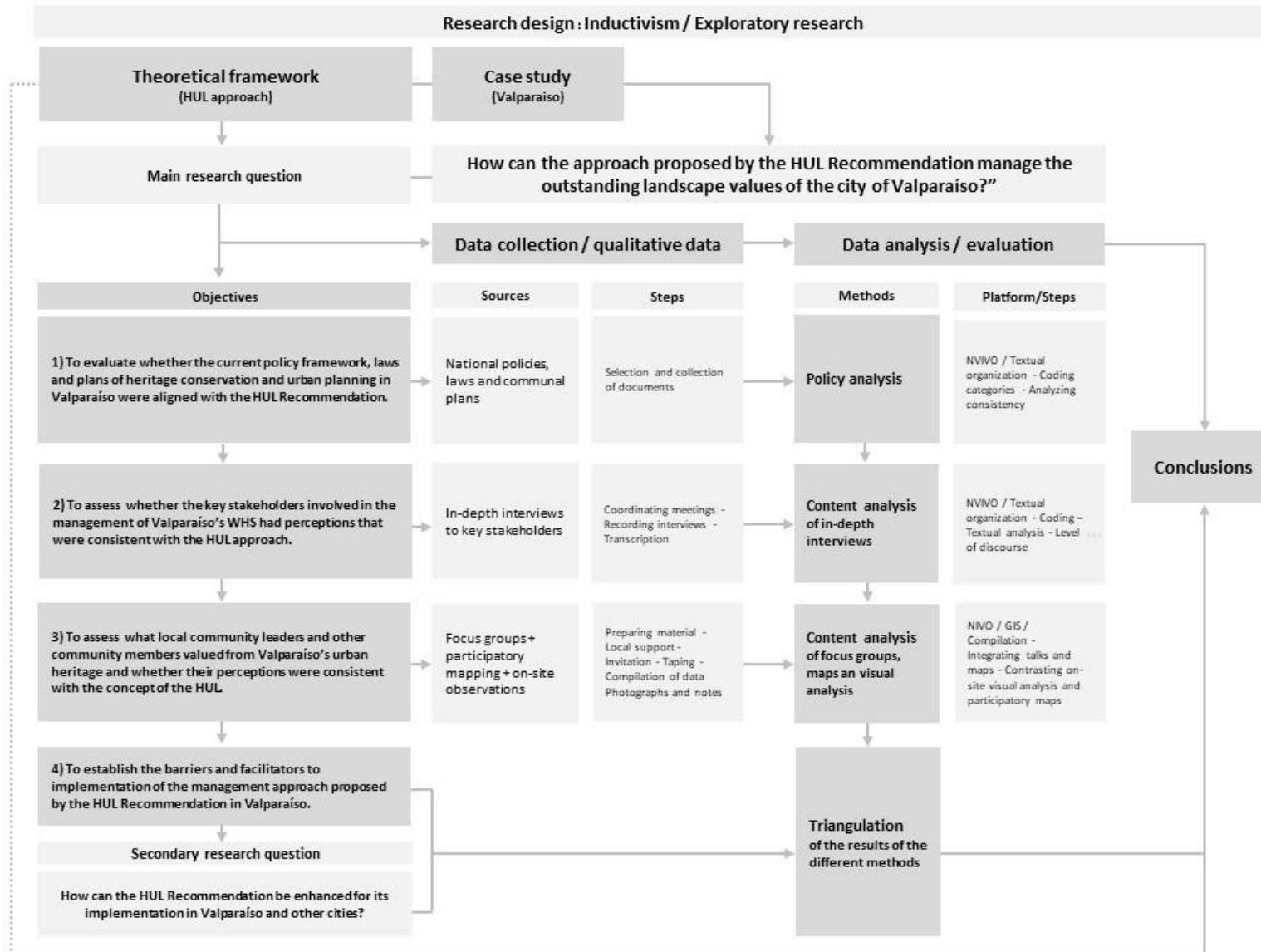
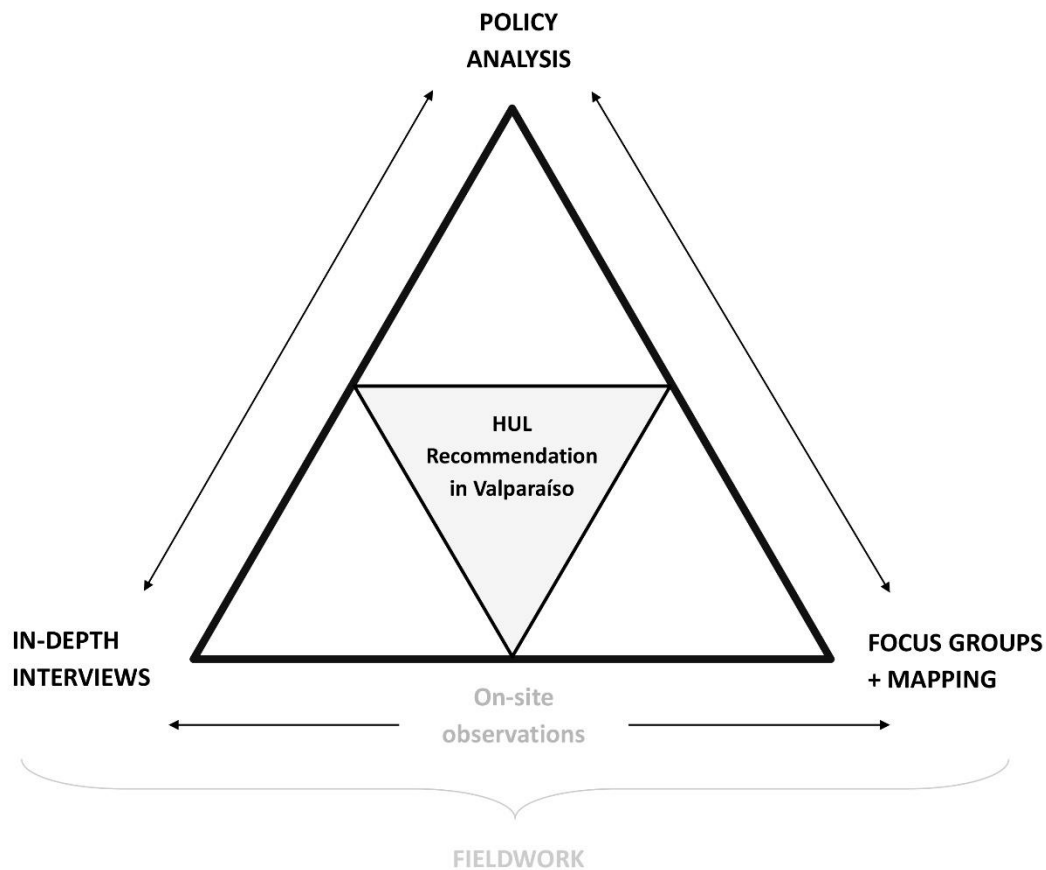


Figure 5.2. Triangulation of qualitative methods



The data analysis is presented in Section 5.4 and an overview of the methods used to address each research objective is presented below.

Objective 1—policy analysis

The management of the landscape values of urban heritage is an interdisciplinary subject that involves multilevel governance (Aves, 2016; Pereira and van Oers, 2012; Veldpaus, 2015). Therefore, a large body of policies, laws and plans has been developed from supranational to subnational levels (Veldpaus, 2015). These are documents that influence each other and are also influenced by the evolving comprehension of heritage values (Pickard, 2002; Veldpaus, 2015). One way to describe heritage values and its management is as ‘the result of the production of text’ (Sørensen & Carman, 2009, p. 6). Written documents demonstrate how information and knowledge were produced and recorded, representing the values of the time when they were developed (Soderland, 2009). Accordingly, international conventions, charters and recommendations set a framework for developing an aligned approach for heritage conservation at the subnational levels (Pickard, 2002). By analysing Valparaíso’s national policies, laws and plans on heritage conservation and urban planning, it is possible to comprehend their alignment with the approach proposed by the HUL Recommendation. One policy text is unlikely to reflect the range of official statements made on a specific issue (VanEeten, 2007). Therefore, it was necessary to define units of analysis including different texts that defined the policy framework (VanEeten, 2007). Thus, a descriptive–analytical

method for the evaluation of heritage conservation and urban planning policy documents in Valparaíso was conducted (Pawson, 2002; Veldpaus, 2015). The documents were analysed with NVIVO, which is a data analysis tool that supports qualitative and mixed research methods (NVIVO, 2018). The policy documents analysed are described in Section 5.3.

Objective 2—in-depth interviews to key stakeholders

As detailed in Chapters 3 and 4, the HUL Recommendation includes a critical step to reach consensus using ‘stakeholder consultations on what values to protect’ (UNESCO, 2011b, p. 50). Hence, key stakeholders—public officials from different levels of governance, communal leaders and experts that have a significant role in heritage management in Valparaíso—were approached to participate in an in-depth semi-structured interview. This type of qualitative interview is flexible and allows for the adjustment of the emphases regarding significant issues that emerge during the interviews (Bryman, 2016). As policy-relevant actors make decisions through words, whether written or oral, the context of their discourse is relevant data and source of meaning (Yanow, 2006). As such, the questions were focused on their work and the policies and instruments they use (see Section 5.3.2).

Objective 3—focus groups and mapping activities with communities

Given that the HUL approach ‘learns from the traditions and perceptions of local communities’ (UNESCO, 2011b, p. 52), focus groups with community leaders and other community members were conducted (Krueger & Casey, 2015). A focus group is a group interview with several participants (Bryman, 2016). The emphasis is on posing questions related to the topic and analysing interactions within the group (Bryman, 2016). This objective followed an exploratory approach to progress methodological discussions beyond a set of limited methods (Stebbins, 2001). Exploratory research is appropriate for emerging concepts, such as the HUL approach and focus groups, to explore people’s experiences and opinions (Krueger & Casey, 2015; Stebbins, 2001; Weeden, 2005). Additionally, the focus groups included a participatory mapping activity for identifying heritage values (La Frenierre, 2008). The focus groups were conducted in different locations of the case study area and a range of opinions were sought from local communities regarding Valparaíso’s heritage.

Objective 4—triangulation of the results

This objective was achieved through triangulation of the results from the data collection and analyses. The conclusions of the results of the policy analyses, interviews and focus groups were structured to establish whether the HUL approach was the solution to manage the outstanding landscape values of Valparaíso’s urban heritage, including its barriers and facilitators. The results of the data analyses were triangulated, which strengthened the analysis by using combined methods (Flick, 2004). Engaging multiple methods led to a more robust, reliable and diverse construction of the reality of inquiry (Golafshani, 2003). The multiple perceptions regarding the single reality of the Valparaíso case study, together with the policy evaluation, led to the development of more accurate conclusions about Valparaíso and the HUL approach.

The next section describes the data collection determined by the research methods to address the research objectives.

5.3 Data Collection

Fieldwork was conducted in the Chilean cities of Valparaíso and Santiago between 1 August 2017 and 15 January 2018. The University of Melbourne's Human Research Ethics Committee approved the methods used in this research in August 2017 (Ethics ID: 1749074). The ethics protocol included the design of the stakeholder interviews and the focus groups with local communities conducted in Valparaíso. The city of Santiago was not a case study but given that it is the capital of the State of Chile, most national government offices are there. Therefore, it was necessary to be in Santiago to conduct interviews with the national authorities regarding heritage conservation and urban planning. Additionally, as the State of Chile aims to be functionally and territorially decentralised, the Ministry of Culture, the Arts and Heritage is currently located in Valparaíso (MINEDUC, 2017a; Ministerio Secretaría General de la Presidencia, 2005). Consequently, it was necessary to travel between Santiago and Valparaíso during fieldwork.

During the five and a half months of fieldwork, I was a visiting researcher in two academic institutions that provided space to work: the Institute of Urban and Territorial Studies (IUTS) at the Pontifical Catholic University of Chile (PUC) in Santiago and the Research Centre on Vulnerabilities and Territorial Informalities (RCVTI) at the University of Valparaíso. RCVTI provided research equipment for fieldwork activities in Valparaíso (e.g., printer and slide projector for developing the focus groups). The data collection process conducted during fieldwork is detailed in the next section.

5.3.1 Identification of Policy Documents for Analysis

The first step of data collection was focused on the identification and collection of policy documents relevant to the thesis inquiry. Chapter 3 examined how urban heritage management involves multiple levels of governance, which comprises a body of policy guidelines, laws, plans and regulations (Veldpaus, 2013). This resulted in the critical identification of existing policy documents that were focused on heritage conservation and urban planning in Valparaíso at different levels of governance. The policy documents included:

- Two supranational policies—Recommendation of the HUL (English and Spanish versions) and the nomination file of Valparaíso as WHS (included texts in English and Spanish).
- Two national policies—National Policy of Culture and NPUD.
- Two national laws—Law of Monuments and the Regulation of Typical or Picturesque Zone and the General Law and Ordinance of Urbanism and Constructions.
- Two communal plans—One strategic related to heritage management, the Masterplan of Heritage Management (MPHM) and one compulsory communal plan, the Ordinance and Regulatory Communal Plan of Valparaíso (CPR).

Figure 5.3 presents the policy documents regarding heritage conservation and urban planning at different levels of governance in Valparaíso.

Figure 5.3. Policy documents analysed and the relationship between them in a policy hierarchy



The supranational and national policy documents were published online and collected by downloading them from official websites (CNCA, 2017; MINVU, 2014; UNESCO, 2003d, 2011b, 2011e). The national laws were collected through the website of the Library of the National Congress of Chile through which all laws, decrees and ordinances that define the legal framework of Chile are published (Ministerio de Educación Pública, 1970; MINVU, 1976, 1992). Finally, the three communal plans were requested online through the ‘Municipal Transparency’ platform on the Municipality of Valparaíso website. The platform to request access to public information is based on the Chilean ‘Law About Access to Public Information’ (BCN, 2008). Two of these plans were submitted by email from the Municipality of Valparaíso and one was collected on a compact disc at an office of the Municipality of Valparaíso on 14 October 2017.

5.3.2 Interviews

The purpose of the interviews was to assess whether the key stakeholders involved in the management of Valparaíso’s WHS held perceptions that were consistent with the HUL approach. Sixteen face-to-face interviews with key stakeholders were conducted in Santiago and Valparaíso between August and December 2017. Stakeholders were groups or individuals who could affect and were affected by the accomplishment of management objectives (Freeman, 2010). In this thesis, the interviewees included key stakeholders who had diverse roles in the management of Valparaíso’s WHS and its broader urban heritage. Following the HUL approach, a local community leader who had an important role in the decision-making process was also included in the sample (Amin & Adu-Ampong, 2016; Rey-Pérez & González-Martínez, 2018). In heritage conservation, multiple

interactions shape collaboration among stakeholders (Baarveld et al., 2013; Forester, 2006; Lwoga, 2017). Most stakeholders were directly contacted by email and phone, while three public officials at the regional level were contacted through a governmental online platform to request audiences. The interviews were audio recorded with the permission of participants and were later transcribed by the researcher into complete transcripts. During the interviews, written notes were taken as a complementary method of data collection to highlight impressions of the interviewee's responses.

Interviewees were selected based on their position in the institutions involved in the management of Valparaíso's WHS. Stakeholders were identified through searching their positions in the institution's web sites. This sample criteria responds to the research objective and the findings will allow the quantitative data to be contextualised in the case study (Bryman, 2016). While conducting fieldwork in Chile, 25 stakeholders involved in the case study were identified. They were invited to participate in an interview, although not all were available or willing to participate. The final response rate for the key stakeholder interviews (16 individuals; see Table 5.1) was 64 per cent. The stakeholders that were not interviewed held technical positions at the national and regional level at the Ministry of Housing and Urbanism and the Council of Monuments. Given that the interviewees at the national and regional levels were authorities with related political positions, their opinion were more political than technical, which brought a more political perspective to the understanding of the case study. The implications of not having interviewed more technical voices is addressed through the evaluation of the national laws and norms of the communal plans of Valparaíso (see Chapter 6).

Table 5.1. List of stakeholder interviewees

Level	Institution	Institution type	Responsibility focus
National	Ministry of Culture, the Arts and Heritage, Council of National Monuments	Public	Heritage
	Ministry of Culture, the Arts and Heritage, Director of Department of Libraries, Archives and Museums	Public	Heritage
	Ministry of Culture, the Arts and Heritage, National Council for Culture and the Arts	Public	Heritage
	PUC, External Services Department of the School of Architecture, Design and Urban Studies	Private - Consultant	Heritage
	Ministry of Housing and Urbanism, Council of Urban Development	Public	Urban development
Regional	Ministry of Public Works (MPW), Direction of Port Works	Public	Port works
	Ministry of Housing and Urbanism Regional Direction	Public	Urban planning
	MPW, Direction of Architecture	Public	Public architecture
	Ministry of Cultures, the Arts and Heritage	Public	Heritage
	Regional Government of Valparaíso, Program of Heritage Valorisation	Public	Heritage
Communal	Municipality of Valparaíso Direction of Heritage Management	Public	Heritage
	Municipality of Valparaíso, Direction of Tourism	Public	Tourism
	ICOMOS Chile	NGO - Academia	Heritage
	Municipality of Valparaíso, Direction of Communal Development (DCD)	Public	Heritage
	Municipality of Valparaíso, Secretary of Communal Planning (SCP)	Public	Urban planning
	Communal Union of Neighbourhood Associations	Community Group	Communities

According to the ethics protocol, interviewees were not identified by their names in the analysis, but by their level of governance and work position. While this provided them with some anonymity, because of the small number of people working in the field, they are potentially identifiable. The interview questions and the plain language statement (PLS) of the thesis project were sent to participants by email so that they could provide informed consent to participate (see Appendix 2). An email was sent to arrange the interviews and the timing varied according to their availability. The interviews were conducted in the interviewees' offices. Prior to the commencement of interviews, the aim of the thesis and the interview structure was explained to participants. A hard copy of the consent form and the PLS was also provided to participants prior to the interview to gain informed written consent from participants, which was required by ethics approval (see Appendix 2). Some interviewees requested the questions beforehand by email to read then before the interview. A printed copy of the interview was also made available to participants.

The semi-structured interview questions were designed on the general formulation of the main research question and on interviewees' own perspectives (Bryman, 2016). To reach this, the interview was organised in four topics (see Table 5.2). Two introductory questions were posed to understand the participants' institutional or organisational roles. Three questions focused on comprehending stakeholders' approaches to the concept of heritage and the identification of the attributes and values they considered to be the most significant in Valparaíso and whether communities should be included in the management process. Two questions focused on the current heritage management of Valparaíso, including their perceptions regarding the policy framework and the WHS nomination. The last five questions were related to the HUL theory and the HUL approach in practice and their perceptions regarding its potential implementation in Valparaíso. Not all interview responses were analysed because some questions included topics beyond the main research question.

Table 5.2. List of interview questions

Topic	Questions
Introductory questions	1. What is your role in the organisation/institution? 2. How long have you worked in the organisation/institution?
Approach to heritage	3. How does your institution define heritage? 4. What kind of attributes and values do you consider to be the most significant in Valparaíso? 5. Do you think it is important to consider what communities' value in the heritage management of Valparaíso? (If yes, why? If no, why not?)
Current heritage management	6. How do you use the national law and the regulatory plan in relation to the management of heritage? 7. Is the declaration of WHS representative of the most significant attributes and values of Valparaíso? (If yes, why? If no, why not?)
HUL theory	8. What values do you think are important to protect for future generations? 9. How vulnerable do you think these values are to urban and environmental change? 10. Have you heard about the HUL approach? a. If yes, what is your understanding of this approach and how it differs from what happens presently? b. If no, provide the participant with some detail.
HUL approach in practice	11. Do you think it is possible to implement HUL in the practice of heritage management in Valparaíso? a. If yes, how could this be implemented? b. If no, what institutional changes should be necessary to develop to implement this approach? 12. What actions do you think should be prioritised for conservation and development of heritage in Valparaíso?

5.3.3 Focus Groups

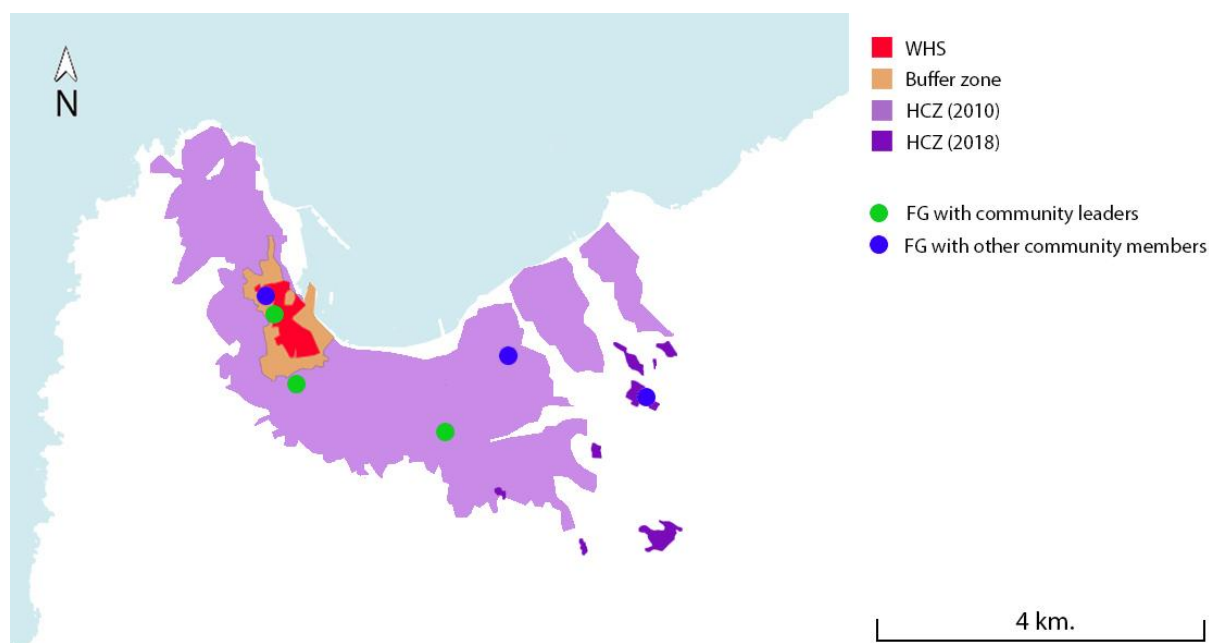
The purpose of the focus groups was to assess what local communities valued regarding Valparaíso's urban heritage and whether their perceptions were consistent with the HUL approach. Six focus groups were conducted in Valparaíso between August 2017 and January 2018 with 40 adult participants. Table 5.3 shows that three focus groups were conducted with community leaders and three open focus groups were conducted with community members within the study area. Two types of participants were selected for the focus groups to ensure a diversity of opinions were canvassed in the study. Community leaders in Chile were formally represented by neighbourhood associations (Ministerio del Interior, 1997). These are community organisations 'that represent the people who reside in the same neighbourhood unit and whose purpose is to promote the development of the community, defend its interests, to ensure the neighbours rights and collaborate with State authorities and the municipalities' (Ministerio del Interior, 1997, p. 1). According to the Law on Associations and Participation, neighbourhood associations and communal unions of neighbourhood associations are functional community organisations of public interest (Ministerio Secretaría General de Gobierno, 2011). Therefore, the recruitment was focused on leaders of neighbourhood associations and other community members. Table 5.3 displays the key characteristics of the focus group conducted in Valparaíso. These were focus groups with community leaders and focus groups open to inhabitants of heritage protected areas.

Table 5.3. Key characteristics of focus group conducted in Valparaíso

FG	Date	Location of FG	Neighbourhood	Heritage protection	Number of participants
Focus groups with community leaders					
FG1	31-08-2107	University of Valparaíso, Faculty of Medicine	El Almendral	HCZ	5
FG2	14-09-2017	Cultural Park, Cerro Cárcel	Cárcel Hill	HCZ	2
FG3	19-10-2017	University of Valparaíso, Faculty of Humanities	Port neighbourhood	WHS-TZ	2
Focus groups open to inhabitants of heritage protected areas					
FG4	28-09-2017	Neighbourhood association Cincel	Placeres Hill	HCZ	9
FG5	25-10-2017	La Matriz Church	Port neighbourhood	WHS-TZ	10
FG6	10-11-2017	Neighbourhood association Cerro Baron	Baron Hill	HCZ	12
Total participants					40

As displayed in Map 5.2, the black and green circles illustrate the location of the six focus groups conducted in Valparaíso. The purple area shows the HCZ until 2010 and the orange areas show the HCZ defined in 2018 through the partial modification of the CRP. Therefore, the focus group conducted in the orange area was not protected as HCZ while conducting fieldwork. However, the focus group was conducted there because while it was revealed during the literature review that the neighbourhood association of Cincel from Placeres Hill was campaigning to be protected as HCZ.

Map 5.2. Location of focus groups conducted in Valparaíso



Recruitment methods used for the focus groups followed different strategies, including posters that advertised the focus groups in public spaces and on social media, door-knocking, direct contact with community leaders and ‘snowballing’ or ‘chain referral sampling’ to contact other community members (Biernacki & Waldorf, 1981; Suazo et al., 2011). Posters were designed to advertise the focus groups (see Appendix 3), which were printed in large and small format (A1 and A4 paper sizes). The large ones were installed in five strategic locations throughout the study area (e.g., parks, stores and active public spaces on the hills) and the smaller ones were given to 30 inhabitants of the HCZ through door-knocking. Posters were also digitally posted on social network sites (SNS) and Facebook groups mainly through Facebook and Twitter, including a brief informative paragraph explaining the study. The dissemination in Chile of SNS is having a significant effect on the emergence of new domains of citizen participation and social interaction (Suazo et al., 2011). Facebook, which has been available in Chile since 2008, is a tool designed to find friends, interact and share multimedia content. Facebook has around 3 million users in Chile, which is the country with the most significant number of users in South America (Suazo et al., 2011). The recruitment was conducted through ‘Facebook groups’ that were related to heritage in Valparaíso. Facebook Groups are social units to share interests such as hobbies and entertainment, which are organised into various categories (Suazo et al., 2011). The administrators of the Facebook groups were contacted through private messages.

Community leaders from neighbourhood associations were directly contacted by phone and snowballing was also applied for the recruitment of other community members. Snowballing produces a sample through recommendations among people who know others with specific characteristics relevant to the research interest, which requires the support of ‘insiders’ to find participants (Biernacki & Waldorf, 1981). This method was considered appropriate for research regarding people’s perspectives of heritage management and values (Di Pietro et al., 2015; Otero et al., 2013). In this study, ‘insiders’ were community leaders from the study area, who helped in the recruitment of participants to attend the open focus groups. It is important to acknowledge that because the recruitment was supported by community leaders there might be some bias in the sample if they recruited like-minded people who would support their views. Nevertheless, the recruitment methods

also included advertising in public spaces, door-knocking and through SNS, so this addressed any concerns arising from potential participant bias.

During the focus groups, a slide projector was used to enable the participants to see the questions. Given that the focus groups lasted for approximately two hours, food and refreshments were provided (i.e., boiled water, juice, tea, coffee and cookies). At the beginning of the focus groups, the aim of the study was explained. According to the approved ethics protocol, the printed consent forms and the PLS were provided to participants. Additionally, a questionnaire was given to each participant to gather key demographic characteristics, which included:

- Name, age, address, email and telephone number.
- How long have you lived here in Valparaíso?
- Are you an active member of this neighbourhood association?
- Are you a member of a community group in Valparaíso? Which one?

Following the ethics protocol, the names of focus group participants were not published in the thesis or in any other related publications. These data were collected to identify them while the focus groups were conducted and during the analysis to ensure a broad range of participants. After responding to the questionnaire, the focus group interviews were structured according to the following topics and questions (see Table 5.4):

Table 5.4. Focus group topics and questions

Topics	Questions
Perception of heritage and communities	1. What does heritage mean to you?
	2. What does the concept of community mean to you?
Community perceptions of current heritage management in Valparaíso	3. What do you think about the management of heritage in Valparaíso?
	4. What role does your community play in the management of Valparaíso's heritage?
	5. What do you think of the nomination of Valparaíso as a WHS defined by UNESCO?
Mapping heritage values	6. What tangible and intangible attributes are the most significant for you in Valparaíso?
	7. Could you locate these attributes on a map?

The focus groups were conducted in Spanish, audio recorded and then transcribed. Given the possibility that the participants did not know much about the technical aspects of heritage management and the HUL approach, the topics were designed to provide them information in simple words and to discuss the concepts involved in the questions so that they could provide informed responses.

To conduct the participatory mapping, each participant received a printed image from Google Maps that displayed the urban area of Valparaíso (see Appendix 4), which was printed in black and white in letter paper size (27.9 x 21.6 cm). Colour markers and pens were provided to the participants to draw and write on the map. The participants were asked to write their names on the back of the map and to mark the location of their residence. Following this, participants were instructed to freely draw and write the attributes discussed in the last question.

5.3.4 On-site Observations

To complement collected data, field notes and photographs were taken to register the study area. Field notes were unstructured observations that were used as a secondary method to become immersed in the case study (Mulhal, 2003). Field notes were written in a 'personal/reflective diary', which included my reflections and life experiences that influenced fieldwork observations (Mulhal, 2003, p. 311). Photographs were used from the HUL approach to register the visual landscape under study (Rey-Perez & Siguencia, 2017). For example, in the case of Cuenca, photographs were used as a critical historical review to display the construction of high-rise buildings and changes in land usage (Rey-Perez & Siguencia, 2017). Photographs have been also used as a tool to generate judgements of visual landscapes (Sevenant & Antrop, 2011). For this study, standard normal photographs (35 mm wide angle lens) were used to demonstrate the observations that arose from the collected data during fieldwork. Standard normal photographs are a valid tool to represent aesthetic attributes and the historical importance of landscapes (Sevenant & Antrop, 2011). Field notes and photographs were used together as evidence to contrast and support the literature review and the participants' perceptions regarding the landscape values of Valparaíso's urban heritage.

The next section describes how the collected data were analysed to address the research objectives.

5.4 Data Analyses

To respond to the research questions and objectives, mixed research methods and data sources were used. Policy analysis, content analysis of the transcripts of interviews and focus groups and analysis of the participatory mapping conducted in the focus groups were developed. Triangulation of the results established the barriers and facilitators of the implementation of the HUL approach in Valparaíso.

5.4.1 Policy Analysis

A systematic evaluation of the current policy framework for heritage conservation and urban planning in Valparaíso and their alignment with the HUL Recommendation was conducted (Gasper, 1996; Pawson, 2002; Veldpaus & Pereira, 2013). The evaluation was structured using the following stages of analysis (see Table 5.5):

- Identification and analysis of key terms contained within the HUL Recommendation and a comparison of the percentage of HUL key terms against Valparaíso's policy documents following a summative approach to content analysis.
- Assessment of the content of the HUL Recommendation and Valparaíso's policy documents to develop a descriptive–analytical method.
- Evaluation of the alignment of Valparaíso's policy documents with the HUL Recommendation from the definition of criteria and a scale to categorise the alignment.

Table 5.5. Policy analysis stages and methods

Policy analysis stage	Methods	Application of methods
1. Identification of the key terms contained in the HUL Recommendation	Summative approach to content analysis	Percentage coverage of the key terms of the HUL Recommendation and comparison of the percentage of HUL key terms against Valparaíso's policy documents.
2. Comparison of the content of Valparaíso's policy documents with the HUL Recommendation	Descriptive–analytical method for the evaluation of policy	'HUL Assessment Framework': - What is defined as heritage? - Why is something defined as heritage? - How is heritage managed? - Who is involved in heritage definition and management?
3. Evaluation of the alignment of Valparaíso's policy documents with the HUL Recommendation	Criteria for the evaluation of policy documents	Definition of criteria for the evaluation and a scale of alignment of Valparaíso's policies with the HUL Recommendation.

The following subsections detail the methods applied for the policy analysis.

Identification of the key terms contained in the HUL Recommendation

The first stage of analysis focused on the identification and analysis of the key terms of the HUL Recommendation using a summative approach to content analysis (Hsieh & Shannon, 2005). From the summative approach to content analysis, the texts were analysed by single words concerning the content (Hsieh & Shannon, 2005). The analysis of patterns led to an interpretation of the contextual meaning of key terms (Hsieh & Shannon, 2005). The analysis commenced with the identification and quantification of key terms of the HUL Recommendation to understand their contextual usage and content (Hsieh & Shannon, 2005). This quantification of word frequency explored their usage through the content, although if the analysis stopped at this point, it would have been quantitative (Kondracki, Wellman & Amundson, 2002). However, the summative approach to qualitative content analysis goes beyond word count to include content analysis (Holsti, 1969; Hsieh & Shannon, 2005). The identification of the HUL key terms provided a systematic interpretation of the content HUL approach.

The HUL Recommendation in English (UNESCO, 2011b) and the *Recomendación sobre el Paisaje Urbano Histórico* in Spanish (UNESCO, 2011e) were both analysed. The HUL Recommendation in Spanish was analysed, given that the policy framework for heritage conservation and urban planning in Valparaíso are in Spanish, which is the official language of Chile. The HUL key terms were first identified by hand on a printed copy of the document to gain a broad idea of the policy document content. These were identified with NVIVO, using the 'word frequency' tool (NVIVO, 2018). The frequency of HUL key terms were identified with NVIVO, which were organised to calculate the terms' coverage across the document in Excel and other relevant related groups of words were included (e.g., similar words, synonymies, words families and related concepts). The HUL key terms were compared against Valparaíso's policy documents and the comparison of the coverage of the HUL key terms were quantified as a percentage correspondence between the HUL Recommendation and Valparaíso's policy documents. For example, 100 per cent of correspondence meant that both documents covered the HUL key term with the same frequency, whereas 0 per cent meant that the HUL key term was not covered in the respective policy document.

The identification of the HUL key terms was the basis for conducting the content analysis and the evaluation of the alignment of Valparaíso's policies with the HUL approach. The English and Spanish versions of the HUL Recommendation were analysed in parallel to determine potential conceptual contrasts in both languages.

Comparison of Valparaíso's policy documents with the HUL Recommendation

A systematic assessment of the content of the national policies, laws and plans for heritage conservation and the urban planning of Valparaíso and their alignment with the HUL Recommendation was conducted, using a descriptive–analytical method for policy evaluation (Pawson, 2002; Veldpaus, 2015). This method is also known as a narrative review for evidence-based policy (EBP), which uses a common analytical framework that is applied to each examined document (Pawson, 2002; Veldpaus, 2015). This method attempts to identify critical aspects of the text on a data matrix (Pawson, 2002; Veldpaus & Pereira, 2013). In this regard, the analytical framework proposed by Veldpaus and Pereira (2013) was used as a basis for the evaluation of the English and the Spanish versions of the HUL Recommendation (UNESCO, 2011b, 2011e). Veldpaus and Pereira's (2013) analytical framework synthesises common elements of the HUL Recommendation and other policies of heritage conservation. This analytical framework emerged from a synthesis of templates from different authors, which included the definition of heritage, general principles, identified threats and proposed policies, among other criteria (Landorf, 2009; Pereira Roders, 2007; van Oers, 2007). The common topics of this analytical framework were proposed by Veldpaus (2015), which is synthesised in the following questions:

- What is defined as heritage?
- Why is something defined as heritage?
- How is heritage managed?
- Who is involved in heritage definition and management (Veldpaus, 2015, p. 60)

These questions proposed by Veldpaus (2015) were used as the basis to develop a systematic evaluation of Valparaíso's policy documents and their alignment with the HUL Recommendation. The coding was first conducted by hand and then by using NVIVO to compare the content of the HUL Recommendation against Valparaíso's policy documents. A synthesis of the four questions for each policy document was developed in a matrix to facilitate a comparative content analysis.

Evaluation of the alignment of Valparaíso's policy documents with the HUL Recommendation

The next stage was the evaluation of the alignment of Valparaíso's policy documents with the content of the HUL Recommendation (UNESCO, 2011c). The alignment of the content and standards of policies may vary at different levels of governance, which affected its implementation (Dimitrova & Steunenbergh, 2016; Coburn, et al. 2016). Therefore, good policy design is the expression of a satisfactory alignment process (Bodas Freitas & von Tunzelmann, 2008). Analysing the alignment of policies allowed for a better understanding of how they need to change or to adjust for different objectives (Bodas Freitas & von Tunzelmann, 2008). This approach to policy evaluation was focused on establishing a process for the alignment of objectives for their potential implementation (Ran &

Nedovic-Budic, 2017). To systematise the evaluation, a scale of alignment was designed, which considered the frequency of the identified HUL key terms in each policy document to analyse them according to their meaning and emphases in the text.

Table 5.6. Scale of alignment for policy evaluation according to the HUL approach

Scale of alignment	Criteria for the evaluation of policy documents
Excellent	Policy aligned with the HUL Recommendation, including key terms.
Good	Policy aligned with the HUL Recommendation, but some key terms were not mentioned or not considered with the same emphasis.
Moderate	Some key terms of the HUL Recommendation were identified in the context of the diagnosis of the policy, but the measures or proposals were not aligned with the HUL.
Limited	Some key terms of the HUL Recommendation were mentioned, but the meaning or emphasis were not the same.
Poor	Poorly aligned with the HUL Recommendation. The policy content was defined by key terms that were in contradiction or were insufficient to be considered aligned with the HUL.

The alignment of Valparaíso’s policy documents with the HUL Recommendation was conducted in Spanish and the results were translated into English. Each document was read entirely and then the usage of HUL key terms was analysed according to their meaning in the text. Table 5.6 displays the scale of alignment for the evaluation of each document according to the HUL approach.

5.4.2 Analysis of Interviews

Interviews were qualitatively interpreted and content analysis was applied, which is a systematic method to describe and quantify data to allow the researcher to enhance its comprehension, test theory and make effective inferences (Elo & Kyngäs, 2008; Krippendorff, 1980). Content analysis aims to achieve a summarised and full description of the topic (Elo & Kyngäs, 2008). Through content analysis, the text can be organised into content-related categories (Elo & Kyngäs, 2008). Given that this was an inductive content analysis, the first step was organising the qualitative data and interview content (Elo & Kyngäs, 2008), which included a coding process associated with the HUL key terms, the creation of categories and abstraction to link ideas provided by the responses. The interviews were conducted in Spanish, so the transcripts were also in Spanish and the results were translated into English. Notes and captions were written in the text of the interview transcripts while reading them electronically with NVIVO (NVIVO, 2018). The content and the codes were re-read and as many captions as necessary were identified to describe content features (Elo & Kyngäs, 2008; Hsieh & Shannon, 2005). The transcripts of the 16 interviews were analysed with NVIVO and the content was understood to be a context-dependent phenomenon that could be studied in detail (Alvesson & Kärreman, 2000). The interview content analysis codes were derived from the data and consideration of the results of the policy analysis regarding key issues of the management approach proposed by the HUL Recommendation.

The assessment of whether the HUL approach was aligned with the views of Valparaíso’s key stakeholders took into consideration one of the six critical steps proposed by HUL Recommendation, which was related to reaching consensus ‘on what values to protect... and to determine the attributes that bear these values’ (UNESCO, 2011b, p. 50). Therefore, the analysis considered cultural meaning

and subjectivity related to attitudes and values (Alvesson & Kärreman, 2000). Collaboration is what engages stakeholders by allowing them to be responsible for their tasks, which allows for consensus and joint ownership (Aas, Adele & Fletcher, 2005; Tosun, 2000). Nevertheless, stakeholders had potentially conflicting interests and values, so reaching consensus through decision-making could be a difficult task (Baarveld et al., 2013). As such, conflicting interests and values were an important issue to identify in the analysis.

Table 5.7 demonstrates that the analysis of the interview responses was structured using three topics: approach to heritage, current policy framework and the HUL approach and its implementation. Each of these topics had sub-topics that were covered in the interview questions and the codes were identified from the data. Table 5.7 also displays a matrix for the analysis of each interview, including the topics and sub-topics analysed and the level of governance of each interviewee. From each topic, the results were represented using graphs.

Table 5.7. Matrix for the analysis of the interviews

Topics	Sub-topic	Codes	Level of governance of each interviewee		
			National level	Regional level	Communal level
Approach to heritage	Concept of heritage				
	Origin of the definition				
	Valparaíso's heritage attributes				
	Community values				
Current policy framework	WHS representative of Valparaíso's heritage				
	Law and CRP				
HUL approach and its implementation	Knowledge about the HUL Recommendation				
	HUL Implementation				

5.4.3 Analysis of Focus Groups

The six focus groups were conducted in Spanish and content analysis was applied to the transcripts (Krippendorff, 1980). The analysis was conducted in Spanish and the results were translated into English. To assess what the focus group participants valued regarding Valparaíso's heritage attributes and whether these were consistent with the HUL approach, the analysis followed a qualitative and exploratory content analysis (Bell & Bryman, 2007; Bryman, 2016), which was conducted through the identification of units of analysis and key terms from the HUL Recommendation. The analysis did not focus solely on individual quotations, but included the relationships between quotations of different participants and focus groups (Krueger & Casey, 2015; Rabiee, 2004). The links identified in the data considered cultural meaning and subjectivity related to the participants' attitudes and values (Alvesson & Kärreman, 2000). The responses of the participants included several terms of Chilean slang and idioms to express their ideas. To not lose the meaning and emphasis of the ideas provided by the participants, these terms were carefully translated into English and explained in the results.

To systematise the analysis of the participants' profiles, a table for analysing the data collected through the questionnaire was designed (Rabiee, 2004). Following the ethics protocol, personal information of the participants was not published in the thesis (see Section 5.3.3). For management and sorting of the collected data, a computer-based table in Excel was developed (see Table 5.8).

Table 5.8. Table for the profile analysis of the focus groups participants

FG	Name	Age	Address	Neighbourhood	Email	How long have you lived here?	Member of neighbourhood association	Member of other community group
FG1								
...								

The main topics of discussion of the focus groups and the participatory mapping focused on:

- participants' perceptions of heritage and communities
- participants' perceptions of current heritage management in Valparaíso
- mapping of Valparaíso's heritage attributes using the HUL approach.

For the participatory mapping analysis, the GIS tool Google Earth and photo editing software Photoshop were used to display spatial data obtained through the mapping technique. Using GIS to compile the spatial data provided by the participants was able to be compared with existing spatial data (La Frenierre, 2008). The spatial data from the maps drawn by the focus groups participants were compared with the heritage protected areas in Valparaíso through the WHS nomination file, the Law of Monuments (TZ area) and the CRP (HCZ area). The analyses of the sketch maps and the notes written by the participants were analysed using codes from the HUL Recommendation, which were identified from the definition of the HUL (see Table 5.9) (UNESCO, 2011c, p. 52).

Table 5.9. Matrix to analyse maps drawn by focus groups participants from the HUL approach in Valparaíso

HUL codes to analyse the maps	Valparaíso's significant attributes from the HUL approach
Beyond historic centre or ensemble	
broader geographical setting	
tangible and intangible attributes	
natural features	
space and time	
dynamic nature	
historic layering	
shaped by generations... of local communities (UNESCO, 2011c, p. 52)	

The results of the mapping activity were quantified in two matrices (see Tables 5.10 and 5.11). The participants were asked to identify Valparaíso's tangible and intangible attributes (see Table 5.8). They were then asked to locate these attributes on their maps. The drawings and the notes were then analysed following a matrix designed to register the significant attributes from the HUL approach in Valparaíso (see Table 5.9). The focus groups and participants were identified by codes (e.g., FG1 – P1).

Table 5.10. Matrix to quantify tangible and intangible attributes in Valparaíso identified in the mapping activity

FG	Participants	Tangible attributes					Intangible attributes				
FG1	P1										
	P2										
	P3										

Table 5.11. Matrix to quantify significant attributes from the HUL approach in Valparaíso in the mapping activity

FG	Participants	Significant attributes from the HUL approach in Valparaíso									
FG1	P1										
	P2										
	P3										

5.4.4 Triangulation of Results

The results of the analyses were triangulated to develop more and confident conclusions (Bryman, 2016; Golafshani, 2003). Triangulation as a qualitative research strategy that involves more than one method or data source to cross-check findings (Bryman, 2016). In this study, triangulation operated through the use of a matrix that included the identification of the barriers and facilitators to implement the HUL approach from the analysis of policies, the interviews and focus groups, together with on-site observations as a secondary method (see Table 5.12). This table was used to compare and contrast the findings across the various methods used in the thesis. The barriers and facilitators to implement the HUL approach were identified in Chapter 6, 7 and 8. Barriers involved the identification of impediments or difficulties, whereas facilitators imply the identification of supporters or collaborators to implementing the HUL approach.

Table 5.12. Matrix to triangulate results of the analysis

HUL approach	Policy analysis	Interview analysis	Focus groups analysis	On-site observations
Barriers				
Facilitators				

The identification of the barriers and facilitators begins with the policy evaluation (Chapter 6). Key terms were identified in the HUL Recommendation and an evaluation of the alignment of the content of Valparaíso's policy documents with the HUL Recommendation was developed. From these results it was possible to identify the barriers and facilitators to implement the HUL Recommendation. Then, the interviews and the focus groups questions were structured following three main topics: approach to heritage, current policy framework, and HUL approach and its implementation. From the results of responses, it was possible to identify the barriers and facilitators to implement the HUL Recommendation in Valparaíso. The implications of the findings together with a critical discussion of the literature review from the developed theory was inferred (Bryman, 2016). The implications of the approach proposed by the HUL Recommendation and its potential implementation in Valparaíso were inferred from the triangulation of the results.

The application of mixed research methods and the triangulation of results for the analysis of a critical case study were projected to develop further discussion and theory regarding the implementation of the HUL Recommendation. Although the research approach was inductive and qualitative, quantitative methods were utilised to provide a comprehensive account of the data (Bryman, 2016). Moreover, mixed methods and triangulation provided confidence and validity of the results (Bryman, 2016), which provided more confidence to infer from the implementation of the HUL approach to other case studies.

The next chapter focuses on the evaluation of Valparaíso's current policy framework for heritage conservation and urban planning and its alignment with the approach proposed by HUL Recommendation.

Chapter 6. Evaluating Valparaíso's Policy Framework and its Alignment with the HUL Recommendation

6.1 Introduction

This chapter presents the results of the evaluation of the alignment of the policy frameworks on heritage conservation and urban planning in Valparaíso with the approach proposed by the HUL Recommendation. This chapter addresses research objective 1. From the results of the policy evaluation, this chapter also responds to objective 4 to establish the barriers and facilitators to implementation of the HUL approach in Valparaíso.

To respond to the research objectives, Valparaíso's heritage conservation and urban planning policy frameworks are analysed at four different governance levels, including supranational policies, national policies, national laws and communal plans. The results are presented following a systematic policy analysis. The key terms contained within the HUL Recommendation are identified and compared with Valparaíso's policy documents. The assessment framework of the HUL Recommendation and the results of the evaluation of the alignment of Valparaíso's policy documents with the HUL Recommendation are developed. Finally, barriers and facilitators to the implementation of the HUL approach according to the policy analysis are discussed.

As discussed in Chapter 3, the management of Valparaíso's WHS has been criticised by ICOMOS and UNESCO (ICOMOS, 2013; Mendes & Calvo, 2014). The HUL approach was proposed to be used to improve and update the management plan of Valparaíso's urban heritage (ICOMOS, 2013; Mendes & Calvo, 2014). In 2016, a HIA revealed that the State of Chile faced difficulties to adequately manage Valparaíso's urban heritage due to deficiencies in its policy framework and regulations (Isaza & Andrade, 2016). Therefore, this research examines to what extent Valparaíso's policy frameworks for heritage conservation and urban planning were aligned with the approach proposed by the HUL Recommendation.

6.2 Overview of the Policy Analysis Method

A systematic analysis of the documents that define the policy framework on heritage conservation and urban planning in Valparaíso was conducted. The policy documents analysed were (see Table 6.1):

- Two supranational policies—HUL Recommendation (English and Spanish version) and the nomination file of Valparaíso as WHS (included texts in English and Spanish).
- Two national policies—National Policy of Culture and NPUD.
- Two national laws—Law of Monuments and the Regulation of Typical or Picturesque Zone and the General Law and Ordinance of Urbanism and Constructions.

- Two communal plans—one strategic plan related to heritage management, the MPHM and one compulsory communal plan, Ordinance and Regulatory Communal Plan of Valparaíso (CPR).

Table 6.1. Policy documents analysed, including authors, year of publication and access

Level	Policies	Author/year of publication	Year of access
Supranational policies	HUL Recommendation (English and Spanish versions)	UNESCO (2011)	2017
	Nomination file of the Historic Quarter of the Seaport City of Valparaíso	UNESCO, Government of Chile (2003)	2017
National policies	National Policy of Culture	National Council of the Cultures and the Arts (NCCA) (2017)	2017
	NPUD	Ministry of Housing and Urbanism (MHU), National Council of Urban Development (2014)	2017
National laws	Law of National Monuments and Regulation of Typical or Picturesque Zones	Council of National Monuments (1970, 2017)	2017
	General Law and Ordinance of Urbanism and Construction	MHU (1976, 1992)	2017
Communal plans	Masterplan of Heritage Management of Valparaíso (MPHM)	External Services Department of PUC (2011)	2017
	Ordinance of the Regulatory Plan of Valparaíso (CPR) and Partial Modification	Municipality of Valparaíso (2010, 2018)	2017

As explained in Chapter 5, the analysis was structured in three stages: 1) a summative approach to content analysis, 2) a descriptive–analytical method for the evaluation of policy and 3) the development of a scale to evaluate the alignment of Valparaíso’s policy documents with the HUL Recommendation (Bodas Freitas & von Tunzelmann, 2008; Hsieh & Shannon, 2005; Pawson, 2002; Ran & Nedovic-Budic, 2017; Veldpaus & Pereira, 2013). The first stage of analysis focused on the identification of key terms contained in the HUL Recommendation using NVIVO. The same process was conducted with the WHS nomination file, national policies, national laws and communal plans of Valparaíso. The second stage focused on the identification of what is defined as heritage, why something is defined as heritage, how heritage is managed and who is involved in heritage definition and management for each policy document. The third stage is focused on the evaluation of the alignment of the policy documents in relation to the HUL Recommendation. This analysis process is explained step-by-step in the following sub-sections 6.3.1, 6.3.2, 6.3.3 and 6.3.4.

6.3 Results

6.3.1 Key Terms Contained Within the HUL Recommendation

The identification and analysis of the HUL key terms followed a summative approach to content analysis (Hsieh & Shannon, 2005). The HUL key terms are used in the analysis through their categorisation and quantification in the text, which led to an interpretation of their contextual meaning (Hsieh & Shannon, 2005). The identification and categorisation of the HUL key terms was conducted using NVIVO. A word cloud of the HUL Recommendation was developed prior to conducting the content analysis (see Figure 6.1). This word cloud was used to provide a visualisation of those terms that appeared with the highest frequency in the document (Heimerl et al, 2014). As shown in Figure 6.1, the term ‘urban’ had the highest frequency for the HUL Recommendation.

[illegible]

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Table 6.2. HUL key terms identified for content analysis

HUL key terms	Related terms (including word families, similar words and synonymous)	Coverage across the document (%)
Urban	urban, urbanisation/cities	5.58
Managing	manage, managed, management, managers, managing/conservation, conserving/action, actions/planning, plans/strategies, strategy/action, actions/preservation	3.93
Historic	historic, historical histories, history/significance, significantly	3.53
Areas	area, areas/setting, settings/territories	2.37
Cultural	cultural, culture, cultures/intercultural/sociocultural	2.21
Heritage	heritage	1.68
Landscape	landscape, landscapes	1.68
Development	develop, developed, developing, development	1.55
Environment	environment, environments/natural, nature	1.39
Communities	communities, community/local	1.35
International	international/UNESCO	1.03
Values	value, values	1.02
Integral	integral, integrate, integrated, integrates, integration, integrity/intergovernmental/interrelationships/intercultural	0.77
Policies	policies, policy	0.74
Sustainable	sustainability, sustainable	0.70

The results of the frequency of the HUL key terms confirmed that the focus of the approach proposed by the HUL Recommendation was on the management of historic urban areas, given that 15.41 per cent of the words covered the terms ‘urban’ (5.58), ‘managing’ (3.93%), ‘historic’ (3.53%) and ‘areas’ (2.37%). The other key terms were related to the approach of the HUL Recommendation, which focused on ‘cultural’ (2.21%) ‘heritage’ (1.68%), landscapes (1.68%) and environment (1.39%). Additionally, ‘development’ (1.55%) from an ‘integral’ (0.77%) and ‘sustainable’ (0.70%) perspective, including ‘communities’ (1.35%), ‘values’ (1.02%), policies (0.74%) and the ‘international’ (0.77%) context, were also important issues for the HUL Recommendation. The HUL Recommendation covers several other issues, including other terms that would disperse the focus of content analysis. These HUL key terms were defined as being the basis for the content analysis, which were analysed against the content of Valparaíso’s policy documents in the next section.

6.3.2 Comparison of Valparaíso’s Policy Documents With Key HUL Terms

The identification of the HUL key terms were compared against the content of Valparaíso’s policy documents. First, the comparison is presented as a percentual correspondence between the HUL key terms and the content of Valparaíso’s policy documents. This percentual correspondence was calculated as the frequency of each HUL key term covered in Valparaíso’s policy documents, divided by the frequency of the respective key term in the HUL Recommendation, which meant that 100 per cent of correspondence the HUL key term was covered with the same frequency as the HUL Recommendation, whereas 0 per cent meant that the HUL key term was not covered in the respective policy document. Given the different character of the documents, the length and structure of each document was not compared in the analysis. Table 6.3 synthesises the percentage correspondence of the HUL key terms contained in Valparaíso’s policy documents. The more intense the red colour, the

higher the correspondence. For further detail about the frequency of each HUL key term in each Valparaíso's policy documents, see Appendix 5.

Table 6.3. Percentual correspondence of HUL key terms within Valparaíso's policy documents

HUL key terms	WHS nomination file	National Policy of Culture	National Policy of Urban Development	Law of Monuments and Regulation of Typical Zones	General Law and Ordinance of Urbanism and Construction	CRP of Valparaíso	MPHM of Valparaíso
Urban	14%	0%	41%	4%	11%	12%	12%
Managing	22%	38%	23%	15%	17%	16%	45%
Historic	7%	8%	1%	40%	2%	9%	8%
Areas	85%	31%	60%	6%	18%	14%	19%
Cultural	6%	110%	34%	5%	0%	8%	6%
Heritage	40%	27%	17%	4%	3%	4%	65%
Landscape	6%	0%	1%	1%	0%	14%	9%
Development	12%	31%	52%	1%	3%	0%	17%
Environment	4%	11%	27%	26%	1%	2%	8%
Communities	38%	46%	64%	16%	20%	27%	20%
International	8%	31%	10%	0%	0%	0%	6%
Values	13%	22%	45%	23%	23%	7%	29%
Integral	5%	8%	42%	3%	3%	0%	5%
Policies	3%	80%	99%	0%	0%	0%	8%
Sustainable	0%	6%	43%	0%	0%	0%	1%

At the supranational level, the WHS nomination file (UNESCO, 2003d) displayed that the most frequent HUL key term was 'area'. The document was focused on describing the proposed area to be defined as WHS, so 85 per cent of the correspondence of this HUL key term was revealed. As shown in Table 6.3, the key term 'sustainable' did not appear in the document (0%), which revealed that the nomination of the WHS of Valparaíso was not framed by the concept of sustainable development. Additionally, the results of the word frequency of the WHS nomination file revealed that the document was mostly focused on 'architecture', including terms related to buildings and construction (6.97%). Architecture is not a HUL key term, but is important to highlight that the content of the area of the WHS nomination file was focused on its architecture. Therefore, the emphasis of the HUL key term 'area' concerning the content of the WHS nomination file was not the same as in the approach prosed by the HUL Recommendation.

At the national policy level, the analysis revealed that there was an important gap in the coverage of the HUL key term 'landscape', which was not mentioned in the National Policy of Culture (0%). Landscape is mentioned in the NPUD four times, which meant one per cent of correspondence with the HUL key terms. Additionally, the term 'urban' was not mentioned in the National Policy of Culture (0%), whereas in the NPUD, the term 'historic' demonstrated just one per cent of correspondence with the HUL key terms, which revealed that historic urban areas were not the focus of the content of both national policies.

At the level of national laws, for the Law of Monuments and its Regulation of Typical Zones, the terms 'policies' and 'sustainable' demonstrated 0 per cent of correspondence with the HUL key terms but the higher correspondence was demonstrated by the term 'historic' (40%). In the General Law and Ordinance of Urbanism and Constructions (GLUC-GOUC) 'cultural', 'landscape', 'international', 'policies' and 'sustainable' had 0 per cent of correspondence. Therefore, both the Law of Monuments and the GLUC-GOUC were not framed within national policies and did not mention any supranational UNESCO policy.

At communal plans level, the CRP did not mention the key terms 'development', 'international', 'integral' and 'policies'. UNESCO was not mentioned in the CRP, nor the area protected as WHS. The MPHM was mainly focused on managing heritage ('managing' and 'heritage' displayed 45% and 65% of correspondence). However, the key term 'sustainable', which was highlighted in the management approach proposed by the HUL, was not well-considered in the MPHM (1% of correspondence).

Overall, the results revealed that Valparaíso's national policies displayed more correspondence with the HUL key terms, whereas national laws displayed less correspondence. The NPUD had the highest correspondence, whereas the GLUC-GOUC had the lowest correspondence with the HUL key terms, which revealed that Valparaíso's national law on urban planning did not cover the approach proposed by the HUL Recommendation.

6.3.3 Assessment Framework for Evaluating the Alignment of Valparaíso's Policy Documents with the HUL Recommendation

After identifying the HUL key terms, an evaluation of the alignment of the content of Valparaíso's policy documents with the HUL Recommendation was developed. As detailed in Chapter 5, the analysis was based on an assessment framework for heritage policies following the questions: What is heritage? Why is heritage being managed? How is heritage managed? Who is involved in heritage definition and management? (Veldpaus & Pereira, 2013). The four questions of this assessment framework were applied in the analysis, however Veldpaus and Pereira (2013) develop other stages of analysis that are not considered in this thesis. The four questions were used to analyse the content of the documents and an assessment scale was designed to evaluate the alignment of Valparaíso's policy documents with the HUL Recommendation. To begin with, the assessment was developed for the HUL Recommendation. Table 6.4 shows a synthesis of the content analysis conducted for the HUL Recommendation and Appendix 6 presents the detailed analysis.

Table 6.4. Synthesis of the content of the HUL Recommendation

RECOMMENDATION ON THE HISTORIC URBAN LANDSCAPE			
What is heritage?	Why is heritage being managed?	How is heritage managed?	Who is involved in heritage definition and management?
‘urban areas’ ‘historic layering’ ‘cultural and natural values and attributes’ ‘beyond historic centre and ensemble’ ‘broader urban context’ ‘geographical setting’ ‘natural features’ ‘built environment’ ‘historic and contemporary’ ‘perceptions and visual relationships’ ‘social and cultural practices and values’ ‘intangible dimensions’ ‘diversity and identity’ (UNESCO, 2011, p. 52).	‘cultural diversity and creativity as key assets for human, social and economic development’ (UNESCO, 2011, p. 52). UNESCO Recommendations (role of historic areas, threats and principles); increase in the world’s urban population; urban settlements and historic urban areas: centre and rivers of economic growth, role in cultural and social life. Pressures: urbanisation; globalisation; development; climate change; disasters; armed conflicts (UNESCO, 2011, p. 52–53).	‘comprehensive and integrated approach for the identification, assessment, conservation and management’; ‘better integrate and frame urban heritage conservation strategies within the larger goals of overall sustainable development’; ‘preserving and enhancing the quality of the human environment’; ‘recognizing their dynamic character’; ‘balanced and sustainable relationship between the urban and natural environment’; ‘ensure contemporary interventions are harmoniously integrated’; ‘supports communities’ (UNESCO, 2011, p. 52). Policies: ‘existing international recommendations and charters’; ‘new generation of public policies’; ‘urban heritage conservation strategies into national development policies and agendas’ (UNESCO, 2011, p. 53). Tools: ‘traditional and innovative tools’; ‘adapted to local contexts’. ‘Civic engagement tools’: identify key values, set goals, agree on actions, learning from communities, facilitation mediation and negotiation. ‘Knowledge and planning tools’: integrity and authenticity, recognition of cultural significance, monitoring and management change documentation, mapping, heritage assessments. ‘Regulatory systems’: reflect local conditions, legislative and regulatory measures, traditional and customary systems. ‘Financial tools’: innovative income-generating, ‘government and global funds’, private investment at local level (UNESCO, 2011, p. 53).	‘learns from the traditions and perceptions of local communities, while respecting the values of the national and international communities’ (UNESCO, 2011, p. 52). ‘Policy-makers and managers’ (UNESCO, 2011, p. 52). ‘Involving different stake holders’ (UNESCO, 2011, p. 53). Member States; local authorities; public and private stakeholders, partnerships. International organizations; non-governmental organizations. ‘All levels of government – local, regional, national/federal—aware of their responsibility’ (UNESCO, 2011, p. 53). Government, international agencies private investment. local enterprise, variety partnerships (UNESCO, 2011, p. 53).

The results revealed that the definition of the HUL was linked to the ‘what is heritage?’ and ‘how should it be managed?’. The HUL was defined as a comprehensive and integrated approach of urban heritage conservation from a sustainable development framework (UNESCO, 2011b, p. 52). The second section of the HUL Recommendation states that there are global challenges and opportunities, which reflect the reasons why heritage needs to be managed from the HUL approach. The main challenges were the increase in the world’s urban population and the pressures of urbanisation, globalisation, development and climate change (UNESCO, 2011b, p. 52). The recommendation focused

on policies, which revealed how and who should be involved in heritage management from the HUL approach. It was mentioned that existing international recommendations and charters were a reference for Member States to develop a new generation of public policies for conservation and planning (UNESCO, 2011b, p. 53). Finally, the recommendation included tools, which were focused on how heritage should be managed. Civic engagement, knowledge and planning, regulatory systems and financial tools were needed for the implementation of the HUL approach (UNESCO, 2011b, p. 53). Overall, the results revealed that the content of the HUL Recommendation was more focused on how heritage should be managed from the HUL approach.

6.3.4 Evaluation of the Alignment of Valparaíso's Policy Documents with the HUL Recommendation

Following the assessment of the HUL Recommendation, the next step was to evaluate whether the content of Valparaíso's policy documents was aligned with the HUL Recommendation. Alignment is synonym of agreement, so analysing the alignment of policies enable a better understanding of how these need to adjust for different objectives (Bodas Freitas & von Tunzelmann, 2008). A matrix of assessment was designed in which a scale of alignment was presented for the evaluation of policy (see Table 6.5). Each document was analysed following the four questions ('what?', 'why?', 'how?' and 'who?'), according to the interpretation of the content of the HUL Recommendation.

The scale of alignment was designed by following criteria for the evaluation of policy documents. The higher level of the scale was "excellent" and the lower level was "poor". "Excellent" was defined when the content of the policy was aligned with the HUL Recommendation including the identified HUL key terms; "good" when the policy was aligned with the HUL Recommendation, but some HUL key terms were not mentioned or not considered with the same emphasis; "moderate" when some HUL key terms were identified in the context of the diagnosis of the policy, but the measures or proposals were not aligned with the content of the HUL Recommendation; "limited" when some HUL key terms of were mentioned, but the meaning or emphasis were not the same; and "poor" when the policy was poorly or not aligned with the content of the HUL Recommendation. The content of the policy was defined by key terms that were in contradiction or were insufficient to be considered aligned with the HUL Recommendation.

Table 6.5. Scale of alignment for the evaluation of Valparaíso's policy documents according to the HUL Recommendation

Excellent		Policy aligned with the HUL Recommendation, including key terms.
Good		Policy aligned with the HUL Recommendation, but some key terms were not mentioned or not considered with the same emphasis.
Moderate		Some key terms of the HUL Recommendation were identified in the context of the diagnosis of the policy, but the measures or proposals were not aligned with the HUL.
Limited		Some key terms of the HUL Recommendation were mentioned, but the meaning or emphasis were not the same.
Poor		Poorly aligned with the HUL Recommendation. The content of the policy was defined by key terms that were in contradiction or were insufficient to be considered aligned with the HUL.

The overall results of the evaluation of the alignment of Valparaíso's policy documents with the HUL Recommendation are displayed in Table 6.6.

Table 6.6. Results of the evaluation of Valparaíso's policy documents according to the HUL Recommendation

Level	Policy document	What	Why	How	Who
Supranational policies	Historic Quarter of the Seaport City of Valparaíso (2003)	Limited	Moderate	Limited	Moderate
National policies	National Policy of Culture (2017)	Moderate	Good	Moderate	Excellent
	NPUD (2014)	Moderate	Good	Good	Excellent
National laws	Law of National Monuments (1970) and Regulation of Typical or Picturesque Zone (2017)	Limited	Limited	Limited	Limited
	General Law and Ordinance of Urbanism and Construction (1976, 1992)	Poor	Limited	Poor	Poor
Communal plans	Director Plan of Heritage Management of Valparaíso (2011)	Limited	Moderate	Poor	Moderate
	Ordinance of the CRP of Valparaíso and Partial Modification (2010, 2018)	Moderate	Good	Limited	Limited

A detailed description of the evaluation of the alignment of Valparaíso's policy documents in the HUL Recommendation is developed in the following subsections, following the four key questions.

What is defined as heritage?

At the supranational level, the WHS nomination file was evaluated to have a limited level of alignment with the HUL Recommendation. It was highlighted that Valparaíso is a 'colonial city', which is an outstanding case from the nineteenth century in Latin America (UNESCO, 2003, p. 1). Therefore, the historical layers that were valuable in the nomination file were focused on the colonial and the industrial periods, briefly mentioning the historical origin of the settlement. Conversely, the amphitheatre-like setting and the vernacular urban fabric adapted to the hillsides were highlighted, together with contrast of the geometrical layout of the plain area. However, the WHS was limited to the historic centre, which is 23.2 hectares (UNESCO, 2003d). The area of the commune of Valparaíso is 4016 hectares (NIS, 2016b), which is 90 times bigger than the WHS. Therefore, the area of Valparaíso's WHS is not aligned with the HUL approach.

At the national policy level, the National Policy of Culture was evaluated to have a moderate level of alignment with the HUL Recommendation. It mentions a diversity of cultural practices and recognises them as spaces that must be validated and used as vital elements for development (NCCA, 2017). However, the National Policy of Culture was not focused on urban heritage. Its objectives were focused on rural and urban areas of the national territory. The NPUD was evaluated to have a good level of alignment with the HUL Recommendation. This policy related urban development with cultures, including subjective aspects such as values, beliefs and relationships, and the natural context (MHU, 2014). Two strategies of the NPUD were aligned with the HUL approach: 'Environmental balance' and 'Identity and heritage' (MHU, 2014, pp. 41–49). One of the objectives of the NPUD as consideration of the 'heritage values of the landscapes and natural elements' in all interventions developed in urban areas (MHU, 2014, p. 50). These strategies and objectives were aligned with the approach proposed by the HUL.

At the national level, the Law of National Monuments was evaluated to have a limited level of alignment with the HUL Recommendation, given it was focused on protecting monuments without consideration of tangible and intangible heritage. However, it mentioned that to maintain the ‘environmental character’ of certain areas declared as Historic Monuments, the Council of National Monuments may request the area to be defined as TZ (Ministerio de Educación Pública, 1970, p. 6). Given that TZ are monumental areas with environmental value, the definition as TZ was partially aligned with the HUL approach. The GLUC was found to be poorly aligned with the HUL Recommendation because it protects monuments without consideration of intangible heritage in urban areas (MHU, 1976). Additionally, the GOUC referred to the Law of National Monuments and defined other categories of buildings (HCB) and groups of buildings (HCZ) to be conserved (MHU, 1992). Conversely, the GLUC-GOUC mentioned a contested and confusing term: ‘Harmonic Ensemble’ (*Conjunto Armónico*) (MHU, 1992, 1976). Harmonic Ensembles are groups of buildings that, due to their use, location or dimensions, are spatial units that are ‘different from the general character of the neighbourhood or urban area’ (MHU, 1976, p. 26). This revealed a contradiction between the term ‘harmonic’ and the fact that it is ‘different from the general character’ of the broader urban context. Thus, Harmonic Ensembles were inconsistent with the HUL approach.

At the communal level, the MPHM was evaluated to have a limited level of alignment with the HUL Recommendation. Although it highlighted the magnificence of Valparaíso’s landscape, its amphitheatre-like setting and its historic port, the first phase of the study was applied to the WHS without covering the broader HCZ (PUC, 2011). Additionally, the CPR was interpreted to have a moderate level of alignment with the HUL Recommendation. Although nine areas were identified as HCZ in the CRP, the WHS was not mentioned. Nevertheless, some technical terms of the CPR were aligned with the HUL approach, as ‘viewpoints’, ‘urban ensembles’ and the ‘fifth facade’ (Municipalidad de Valparaíso, 2010). The area defined as WHS and its buffer zone was not mentioned in the CPR. It was indicated that the interventions of the buildings located in the TZ must follow the definitions of the Law on National Monuments. Additionally, the partial modification mentioned the HUL Recommendation, but the understanding of the HUL approach was limited to the architectural morphology of a specific urban area.

Why is something defined as heritage?

The WHS nomination file was evaluated to have a moderate level of alignment with the HUL Recommendation regarding why something was defined as heritage. The justification for inscription and statement of significance of the WHS referred to the peculiar human adaptation that produced a unique urban landscape (UNESCO, 2003d). The proposed inscription included three criteria (i.e., ii, iii and v) from the ‘Operational Guidelines for the Implementation of the World Heritage Convention’ (UNESCO, 2012a). However, the nomination file of Valparaíso’s WHS was defined by criterion iii, which referred to ‘unique or at least exceptional testimony to a cultural tradition or to a civilization’ (UNESCO, 2003d, p. 1), which meant that the identified OUV were focused on Valparaíso’s historical development during the nineteenth century (UNESCO, 2003d). Hence, criterion iii highlighted one of the several historical layers of the city, which was interpreted as being moderately aligned with the HUL approach.

At the national policy level, both policies were evaluated to have a good level of alignment with the HUL Recommendation. The National Policy of Culture had broad definitions on why something was defined as heritage, given it was not just focused on heritage, but also on culture and the arts. The principles of this policy guided public decisions based on the values of common good and culture for human development (NCCA, 2017). The key principles of this policy were related to cultural diversity, active cultural participation and equitable access, recognition and construction of collective identities and the consideration of 'heritage as a public good' (NCCA, 2017, p. 21). These principles were covered by several international instruments adopted by UNESCO, including the HUL Recommendation. Moreover, the NPUD highlighted that Chile is a highly urbanised country in the global context, with more than 87 per cent of its population in cities (MHU, 2014). This implies that a better quality of life is closely linked with the sustainable development of urban areas (MHU, 2014). These contextual reasons were aligned to why urban heritage and its landscape values should be protected from the HUL approach.

At the level of national laws, both were evaluated to have a limited level of alignment with the HUL Recommendation. The term 'national monuments' provided by the Law of National Monuments briefly mentioned that their conservation considered its quality and historical or artistic interest or its antiquity (Ministerio de Educación Pública, 1970). Given its monumental approach, this definition as not aligned with the HUL approach. Nevertheless, the definition of TZ were to maintain the environmental character of urban areas or places of public interest (Ministerio de Educación Pública, 1970). As such, the concept of TZ was partially aligned with the HUL approach. Additionally, the GLUC established that both HCB and HCZ were defined because these sought to be conserved but were not defined as national monuments. HCB are buildings that represent architectural or historical values, whose eventual demolition could cause detriment to the urban conditions and landmarks of urban significance in harmonious relationship with the context (MHU, 1992). Additionally, HCZ are protected because they are the urban expression of local cultural values and whose buildings can be the object of rehabilitation or conservation actions (MHU, 1992). HCZ are considered to be a relevant area in the CRP and can be related to one or more national monuments or TZ (MHU, 1992). Therefore, both national laws were focused on buildings and do not directly address the protection of intangible heritage.

The MPHM had a moderate level of alignment with the HUL Recommendation. This plan considered the WHS nomination to be the fundamental reason to protect Valparaíso's heritage. However, it stated that Valparaíso's heritage was the entire city, comprising the landscape values of its urban heritage (PUC, 2011). The CPR displayed a good level of alignment with the HUL Recommendation. The principles of the partial modification of the CPR were attached in a report, in which the HUL Recommendation was adopted as a conceptual framework (Municipality of Valparaíso, 2010, 2018b). The proposed regulations aimed to control the high densities of the hills and protect the attributes recognised in the neighbourhoods declared as HCZ (Municipalidad de Valparaíso, 2018b). However, the CRP was focused on land use, so the HUL approach was not mentioned in its regulations.

How is heritage managed?

The WHS nomination file has been evaluated as being limited in terms on how heritage is managed from the HUL approach because its boundaries are not aligned with the broader landscape attributes

of Valparaíso (UNESCO, 2003d). Although the boundaries were mainly defined by its architectural values, UNESCO highlights that OUV are beyond these boundaries and that more precise regulations are required.

The National Policy of Culture had a moderate level of alignment with the HUL approach, given that it was focused on an integrative vision of the territory, although the emphasis was not in urban areas. In terms of cultural heritage management, it mentioned that international policies establish duties that encourage a revision of the regulations and institutional coordination (NCCA, 2017). Further, the NPUD had a good alignment because one of its goals was to provide unity and coherence to the various regulatory bodies on urban planning (MHU, 2014). The policy framework for urban heritage management proposed by the NPUD was considered to be a facilitator for the implementation of the HUL approach in Valparaíso, which is discussed in the conclusion of this chapter.

The Law of National Monuments had a limited level of alignment regarding how heritage was managed from the HUL approach. The duties of the Council of National Monuments were focused on declaring national monuments and supporting restoration projects (Ministerio de Educación Pública, 1970). However, the application for requesting an area to be defined as TZ must follow a standard form and account for the values related to its environmental character (MINEDUC, 2017b). Additionally, coordinated preventive measures were suggested to prevent further deterioration (MINEDUC, 2017b). Despite the monumentalist approach of this law, there were some intentions to include a broader approach to heritage management. Conversely, the GLUC (MHU, 1970) had a poor level of alignment regarding how heritage was managed, given that the legislation was focused on the duties of the institutions involved in urban planning and constructions, rather than heritage conservation. The GLUC contained regulations and technical standards for constructions without defining norms for the conservation of HCB and HCZ (MHU, 1992). None of these laws referred to national policies, so both the Law of National Monuments and the GLUC-GOUC were not linked with the principles that were aligned with the HUL approach.

The MPHM had a poor level of alignment, given the study was limited to the area defined as WHS, or historic center. This local instrument highlighted that the greatest attributes of this protected area are its architectural heritage (PUC, 2011). Although it was indicated that the urban landscape also represented relevant attributes, a record of buildings and public spaces was conducted in the WHS, without including the landscape values of Valparaíso's broader urban heritage. Conversely, the CPR had a limited level of alignment, given the nine areas defined as HCZ were identified by architectural criteria, as norms of land usage, building and subdivision of the land (Municipalidad de Valparaíso, 2010). Nevertheless, the CRP included some terms aligned with the HUL. For instance, new projects must respect settlement patterns, relationships with adjacent neighbours and the visual landscape (Municipalidad de Valparaíso, 2010). However, the CRP lacked clear regulatory measures for the conservation and management of the broader landscape attributes of Valparaíso's urban heritage.

Who is involved in heritage definition and management?

The WHS nomination file had a moderate level of alignment regarding who was involved in heritage management from the HUL approach. The nomination file defined the importance of establishing

coordination mechanisms between different State institutions (UNESCO, 2003). However, the institutional framework in Chile changed following the creation of the Ministry of Culture, the Arts and Heritage (2017). Therefore, the institutional framework presented in the WHS nomination file is outdated. Additionally, three neighbourhood boards were 'active' in the WHS and the others were considered to be 'inactive' according to the nomination file (UNESCO, 2003). However, heritage community groups in Valparaíso are more active since the nomination and no mechanisms mentioned how these should be integrated into the process.

Both national policies had an excellent level of alignment with who was involved. The National Policy of Culture included several participation activities for gathering data, including regional conventions developed throughout Chile, regional sectoral meetings and a National Culture Convention. More than 6,000 participants from different groups, collectives, institutions and representatives participated (NCCA, 2017). Additionally, the State of Chile has been working to establish civil rights in a transversal manner to integrate groups that have been excluded (NCCA, 2017). Unlike the previous culture policies, there has been a shift from a top-down to a bottom-up approach (NCCA, 2017). The NPUD was developed by an advisory commission of 28 people from different society groups, union representatives, university deans, parliamentarians, ministers, representatives of citizen organisations and expert professionals (NCCA, 2017). The commission was supported by academics from several universities and specialists from 11 ministries participated. There were 17 plenary meetings, 56 subcommittee meetings, 32 regional citizen workshops and 5 intersectoral meetings (MHU, 2014). Additionally, the policy promoted the strengthening of communities and supported grassroots participation with an emphasis on neighbourhood boards, which was aligned with the HUL approach.

The Law of National Monuments had a limited level of alignment. It indicated that the President of the Republic designates the members of the Council of National Monuments, among whom are authorities from different ministries and representatives from cultural institutions (Ministerio de Educación Pública, 1970). However, given the new the Ministry of Culture, the Arts and Heritage (2017) these stakeholders were outdated. However, any person or institution may request that an area be declared TZ (MINEDUC, 2017), which was considered partially aligned with the HUL approach. The GLUC had a poor level of alignment and decision-making depended on designated authorities (MHU, 1972). Municipalities were responsible for the application of the GLUC-GOUC through their CRP. The municipal position of Direction of Works was important, because this was the authority that permitted urban interventions (MHU, 1972). The new projects in TZ, HCB or HCZ, were approved after a public meeting in which the proposal was presented to the community (MINEDUC, 2017). Given that participation as defined for the approval of projects, the GLUC-GOUC lacked on learning and developing visions with local communities.

The MPHMM had a moderate level of alignment. The consultant of the study had as a technical counterpart a committee composed of the following public bodies: Office of Heritage Management, the Direction of Works and the Urban Advisory Department of the Municipality of Valparaíso, representatives of the Council of National Monuments and representatives from other ministries (PUC, 2011). One of the actions of this plan was to identify public investment programs and incentives for private investment. It was also proposed to establish a citizen participation process to be incorporated into the regulations. A private non-profit corporation supported by the Municipality of

Valparaíso, called the Valparaíso Heritage Development Corporation, was proposed to facilitate heritage management and urban development (PUC, 2011). However, given that the institutional framework changed with the new Ministry of Culture, the Arts and Heritage (2017), this proposal was outdated. The CRP had a limited level of alignment, given that the participation of citizens was just included in the application of a TZ, but not in the whole management process (Municipality of Valparaíso, 2010). When an intervention to an HCZ is required, the professional in charge of the project must present a report to ensure its criteria of restoration and rehabilitation (Municipality of Valparaíso, 2010). However, these criteria are not defined. Therefore, the criteria were defined in a discretionary manner from the Direction of Works and the Council of National Monuments.

Overall, the evaluation of the alignment of the policy framework on heritage conservation and urban planning in Valparaíso with the HUL Recommendation revealed that the national policies were better aligned than the laws and the communal plans. The best and worst evaluation was for the NPUD (MHU, 2014) and the GLUC-GOUC (MHU, 1976, 1992), respectively. Additionally, it was revealed that the HUL key term 'landscape' is not well-considered, or the emphasis is not enough, for the alignment of Valparaíso's policy framework with the HUL approach. The barriers and facilitators to implementation of the HUL Recommendation in Valparaíso are analysed below.

6.3.5 Barriers to Implementation of the HUL Approach According to the Policy Analysis

The results of the evaluation revealed that there are several barriers to the implementation of the HUL approach in Valparaíso. The analysis was structured according to the level of governance of each policy document, although the results are presented thematically.

The WHS is limited to the 'historic centre'

The small area of the WHS compared to the broader urban context of Valparaíso (23.2 hectares out of 4016 hectares) was considered to be a barrier for the implementation of the HUL Recommendation. In the nomination file, a proposal for the CRP was presented for the conservation of historic buildings within the WHS and its buffer zone (UNESCO, 2003). Projects regarding the conservation of buildings and public spaces were also mentioned, particularly in Alegre and Concepcion Hills (UNESCO, 2003). The investments were focused on promenades, restoration of iconic monuments and recovery of facades (UNESCO, 2003). Heritage management in Valparaíso was focused on the architectural heritage of the historic centre, which implies a lack of management tools for the integration of the broader urban heritage, in contradiction to the HUL approach.

National policies are not considered to be a formal framework

Although the National Policies of Culture and Urban Development were aligned with the HUL approach, these were not considered to be formal frameworks in the analysed laws and communal plans, which was considered to be a barrier to the implementation of the HUL Recommendation in Valparaíso, given that 'legislative and regulatory measures aimed at the conservation and management of the tangible and intangible attributes of the urban heritage' (UNESCO, 2011c, p. 53)

are needed. According to the evaluation, the management approach to protect the landscape values of urban heritage from national policies are not implemented through legislation and regulation.

Missing HUL key terms in the national legislation

National laws had lower overall evaluations concerning their alignment with the HUL approach. Both the Law of National Monuments and Urbanism and Constructions displayed gaps in the key terms landscape, heritage and policies. Neither mentioned national policies nor included intangible heritage management. Although there were gaps in the HUL key terms in the Law of Monuments, it is important to highlight the progress made by the Regulation of Typical or Picturesque Zones (MINEDUC, 2017b). This regulation resulted in heritage conservation in urban areas and displayed more coverage of the term 'urban' than the Law of Monuments. It also stated the importance of the 'environmental character', which was an essential feature that reflected the significant periods of the development and history of a heritage area (MINEDUC, 2017b). This approach was aligned with the HUL but was not emphasised the Law of Monuments. The GLUC-GOUC had the poorest valuation in terms of how heritage was managed and who was involved in its definition and management (MHU, 1976, 1992). This law was focused on the conservation of buildings (HCB) and groups of buildings (HCZ), which was not aligned with the broader understanding of heritage from the HUL approach. Additionally, the term Harmonic Ensemble (MHU, 1976) was inconsistent with the HUL approach. A Harmonic Ensemble refers to architectural works that are different from the general character of the context. A Harmonic Ensemble merges two or more plots to increase the permitted density (MHU, 1976). Consequently, the high densities permitted for Harmonic Ensembles represented a threat for the conservation of the landscape values of Valparaíso's urban heritage.

Absence of a proper management plan for Valparaíso's urban heritage

Both communal plans, the MPM and the CRP, had different approaches towards why and how heritage should be protected. The MPM had a poor alignment with the HUL Recommendation at the level of communal plans, given the inconsistencies between the objectives and the final proposal. Although the MPM indicated that the most significant attributes of Valparaíso were reflected in its broader urban landscape, the plan focused on a register of buildings in the WHS. Hence, the MPM did not include practical tools to manage the broader landscape values of Valparaíso's amphitheatre. The CRP was focused on defining norms for protecting buildings (HCB) and heritage zones (HCZ), without identifying the boundaries of the WHS. This inconsistency between both communal plans implied an absence of a coherent framework for the proper management of the outstanding landscape values of Valparaíso's urban heritage.

6.3.6 Facilitators to the Implementation of the HUL Approach According to the Policy Analysis

The results of the evaluation also revealed facilitators to the implementation of the HUL approach in Valparaíso. These facilitators were presented thematically according to the policy documents analysed at the different levels of governance.

The nomination file mentions broader OUV outside the boundaries of the WHS

The nomination file indicated that Valparaíso's natural conditions determined the development of the city-port: 'the bay which, due the nearby hills, formed a natural amphitheatre; a narrow plain standing between the coastline and the foothills; the hills themselves, which are linked by a network of sea-oriented ravines' (UNESCO, 2003d, p. 9). These OUV were focused on the landscape values of Valparaíso's urban heritage, which were not all included inside the area defined as WHS. The recognition that the outstanding landscape values of Valparaíso's urban heritage were outside the boundaries of the WHS was considered to be a facilitator to the implementation of the HUL approach.

The principles of national policies were aligned with the HUL approach

National policies developed visions that were aligned with the HUL approach. In terms of who was involved in heritage definition and management, both policies were evaluated as 'excellent', given that the development of both policies included a variety of stakeholders. One principle of the NPUD was 'commitment', which considered the communities' sense of belonging and the responsibility in the conservation of the environment and landscape values of cities (MHU, 2014: p. 17). The scope of the NPUD was not restricted to urban areas, but human settlements are understood to be complex territorial systems that integrate landscapes and ecosystems (MHU, 2014). The NPUD also recognised the 'value of the physical environment, built or natural, which forms the identity of the communities' (MHU, 2014, p. 50). In this context, the NPUD highlighted the heritage value of landscapes and natural elements in all urban interventions. The National Policy of Culture indicated that the Ministry of Culture, the Arts and Heritage will promote a revision of the norms for the effective protection of heritage (NCCA, 2017). In its strategic orientations, culture was the base of sustainable development, so collaborative management at the local level and participatory planning would be encouraged (NCCA, 2017). However, it was not mentioned how municipalities should apply these principles at the communal level. As these national policies were aligned with the HUL approach, the challenge is how to implement a proper legislation and communal plans to better manage the landscape values of Valparaíso's urban heritage.

The regulation of Typical Zones highlighted the environmental character of urban areas

The Regulation of TZ highlighted the importance of the environmental character urban areas that were protected by the Council of National Monuments (MINEDUC, 2017b). The environmental character of an area refers to significant phases of the development of its history (MINEDUC, 2017b). This term is related to the landscape values of the urban heritage and is aligned with the HUL approach. However, this approach was not highlighted in the Law of Monuments. Therefore, for the legal framework on heritage conservation to be aligned with the HUL approach it would be necessary to highlight the concept of environmental character of the TZ in as being part of the legislation framework.

Consideration of landscape values and the HUL Recommendation in the Communal Regulatory Plan

The key term landscape was more considered in the communal plans than in national laws. The CRP, which is a compulsory urban plan, identified technical terms to protect the landscape values of Valparaíso's urban heritage. These technical terms were: 'viewpoints', from which an observer can have a view of the urban landscape; 'urban ensembles', which were recognisable architectural sets derived from a process of historical development; and 'fifth facades', which were the roofs perceived as significant architectural elements of the urban landscape (Municipalidad de Valparaíso, 2010). Likewise, the CPR defined that 'viewpoints' were those sites from which an observer may have partial or total views of the surroundings (Municipalidad de Valparaíso, 2010). The HUL Recommendation was explicitly mentioned in the CRP but its understanding was limited to the architectural morphology of urban areas. Therefore, the CRP highlighted landscape values of Valparaíso's tangible heritage but there is still a challenge to define norms to protect the intangible and natural attributes of the city from a landscape approach.

6.3.7 Summary of the Barriers and Facilitators to the Implementation of the HUL Approach

Table 6.7 synthesises the barriers and facilitators to the implementation of the HUL approach in Valparaíso from the results of the policy analysis.

Table 6.7. Barriers and facilitators to the implementation of the HUL approach in Valparaíso from the results of the policy analysis

Implementation of the HUL	Supranational policies	National policies	National laws	Communal plans
Barriers	The WHS is limited to the 'historic centre'.	National policies are not considered to be a formal framework for current legislative and regulatory measures.	Gaps and missing key terms of the HUL approach in both national laws.	Absence of a proper management plan for Valparaíso's urban and landscape heritage.
Facilitators	The WHS nomination file mentions wider scale attributes as part of the OUV.	National policies develop visions from the HUL approach.	The Regulation of TZ includes the environmental character of urban areas.	Consideration of the landscape and the HUL in the CRP.

6.4 Conclusions

From the results of the evaluation, it appears that the policy framework for heritage conservation and urban planning in Valparaíso requires different adjustments to be aligned with the HUL Recommendation. Several conceptual and technical issues should be modified for the HUL approach to be implemented in Valparaíso. In this context, one of the key aspects to a proper alignment is the consideration of a manifest landscape approach to urban heritage management in Valparaíso's legal framework. Many of the analysed policy documents were introduced prior to the 2011 HUL

Recommendation and could not be expected to be fully aligned with the HUL approach. As such, policy revisions will be needed if the HUL Recommendation is taken on board by the Government of Chile.

Valparaíso's urban planning legal framework displayed the poorest alignment with the HUL Recommendation. The GLUC-GOUC was focused on defining technical issues on buildings protected as HCZ without consideration of the intangible attributes of urban heritage. Additionally, HCZ were defined in the GLUC-GOUC as urban areas that represented 'urbanistic and cultural values' (MHU, 1992, p. 13). However, the assessment of the cultural values of HCZ was not defined in the legislation. Given the absence of criteria to identify the intangible attributes associated to HCZ, these were defined by the monumental and architectural approach of the Law of Monuments. Additionally, the legislation was not clear or consistent regarding the definition of some terms. For example, 'Harmonic Ensembles' were not related to urban heritage conservation, but can be misinterpreted because of words harmonic and ensemble. On the contrary, Harmonic Ensembles are high-density projects that are different from the general character of the area. The misinterpretation of legislative terms may have serious effects on decision-making and on the conservation of Valparaíso's heritage.

National policies were evaluated as having the best alignment with the HUL approach. However, these have not been comprised as formal frameworks for legislation and communal plans. The HUL Recommendation highlighted that policies and tools should be aligned to implement the HUL approach (UNESCO, 2011b). Additionally, urban heritage should be integrated into planning policies and regulatory systems that reflect local conditions, including legislative measures aimed at the conservation of tangible and intangible heritage (UNESCO, 2011b). Therefore, the HUL Recommendation requires that laws on heritage conservation be aligned to principles promoted by national policies. This alignment would be possible if national laws explicitly referred to national policies as formal frameworks. The National Policy of Culture (2017) and NPUD (2014) were recently updated, so it is expected that these principles will inform the legislation on heritage conservation and urban planning.

A critical barrier to the implementation of the HUL approach in Valparaíso is that the WHS and the TZ, or the area protected by the national law, is limited to protect the architectural values of the historic centre. As the AHD of the national law is focused on monuments, it has been difficult to consider the broader landscape values of Valparaíso's urban heritage. This implies the boundaries of Valparaíso's WHS are not aligned with how the HUL approach aims to protect urban heritage. Considering that the HUL can be applied to areas where there is no WHS, the broader area of the HCZ in the CRP, known as 'Amphitheatre Hills', is more aligned with the HUL. The problem is that the CRP is a communal planning tool, which depends on the legislative framework of the GLUC-GOUC. As discussed above, the GLUC-GOUC has a narrow approach to heritage conservation and lacks the criteria to assess landscape and cultural values. This implies that the landscape and cultural values of the Amphitheatre Hills are not covered by any particular law to protect them.

Finally, a facilitator to the implementation of the HUL approach in Valparaíso is that the key term landscape is considered in the communal plans. The CRP defined technical terms to protect the landscape values of the city. Additionally, the HUL Recommendation was mentioned in the explanatory memorandum of the CRP's partial modification, which was conducted in 2018. However, the HUL approach was not applied into general norms for protecting the Amphitheatre Hills but was

used in a discursive manner. Therefore, the challenge is how the HUL approach can be applied into regulatory measures to manage the landscape values of Valparaíso urban heritage. The implementation of the HUL approach requires the development of mechanisms for coordination among all these policies at the different level of governance (UNESCO, 2011b). At the national level, strategies to protect the landscape values of urban heritage should be integrated into national policies and laws. Within this framework, communal authorities should implement plans that effectively protect the landscape and other heritage values of Valparaíso.

The overall results of the evaluation revealed that this methodological approach was appropriate to establish the barriers and facilitators to the implementation of the HUL Recommendation in Valparaíso from a policy perspective. At the same time, this method could be applied to other case studies. The results revealed the gaps between the alignment of the case study policy framework and the inconsistencies among the analysed policy documents. Therefore, the application of this methodological approach is a contribution for the evaluation of both heritage conservation and urban planning policies.

The next chapter presents the results of the analysis of key stakeholders' views regarding urban heritage management and their perceptions of the HUL approach in Valparaíso.

Chapter 7. Key Stakeholders' Views on Urban Heritage Management in Valparaíso

7.1 Introduction

This chapter addresses research objective 2, which assesses whether key stakeholders involved in the WHS management of Valparaíso held views about its management that were consistent with the HUL approach. From the results of the analysis of the interviews, this chapter also establishes the barriers and facilitators to the implementation of the HUL approach in Valparaíso. Key stakeholders, including public officials from different levels of governance, communal leaders and experts that have a significant role in Valparaíso's heritage management, participated in an in-depth semi-structured interview. As described in Chapter 5, content analysis of the interviews transcripts was applied. The responses were critically analysed through a matrix that considered the level of governance at which each stakeholder operated. The interview questions were structured for understanding the interviewees' approach to heritage, the current policy framework and their perception of the HUL approach and its implementation.

As discussed in Chapter 3, the HUL approach proposes that all levels of government should contribute to the definition, implementation and assessment of urban heritage policies (UNESCO, 2011b). As such, the implementation of the HUL Recommendation implies a critical analysis of governance, decision-making and stakeholders' collaboration (UNESCO, 2011b). For this reason, the interviewees were identified by different levels of governance. As described in Chapter 2, the HUL Recommendation presents six critical steps that Member States and relevant local authorities should identify within their contexts (UNESCO, 2011b; UNESCO, 2016). In this context, the assessment of whether the HUL approach was aligned with key stakeholders' views focused on 'to reach consensus using participatory planning and stakeholder consultations on what values to protect' (UNESCO, 2011b, p. 50). The ICOMOS advisory mission recommended consideration of the HUL approach and to institutionalise a coordination system among key stakeholders involved in heritage conservation and urban development in Valparaíso (ICOMOS, 2013). However, the State of Chile has not outlined a formal plan of action to implement the HUL approach in Valparaíso.

7.2 Overview of the Interview Analysis Method

To assess the alignment of the views of Valparaíso's key stakeholders with the HUL approach, 16 interviews were conducted. Key stakeholders were chosen based on their role in the management of Valparaíso's WHS and its broader urban heritage. As shown in Table 7.1, five stakeholders represented the national level, five were from the regional level and six were from the communal level. Eleven stakeholders represented different public institutions involved in the management of the WHS, one was a private consultant that participated in the proposal of the MPHMM, one represented ICOMOS Chile and the academia, and one was the leader of a community group at the communal level. Table 7.1 also shows the role each stakeholder plays in the management of Valparaíso's WHS and each of them is identified by a number (e.g. Interviewee 1).

Table 7.1. List of interviewed stakeholders

Level	Number	Institution	Role in the management of Valparaíso's WHS
National	1	Ministry of Culture, the Arts and Heritage, Council of National Monuments	Applying the Law of Monuments
	2	Ministry of Culture, the Arts and Heritage, Direction of Department of Libraries, Archives and Museums, National Sub-Directorate for Heritage Management	Implementation of Masterplan of Heritage Management of Valparaíso (MPHM)
	3	Ministry of Culture, the Arts and Heritage, National Council for Culture and the Arts	Advising the management of the heritage areas of Valparaíso
	4	PUC, External Services Department of the School of Architecture, Design and Urban Studies	Technical consultant of the MPHM
	5	MHU, Council of Urban Development	Applying the Policy of Urban Development
Regional	6	MPW, Direction of Port Works	Administration of the port of Valparaíso
	7	MHU Regional Direction	Application of the GLUC-GOUC and the protection of architectural heritage through HCB and HCZ
	8	MPW, Direction of Architecture	Restoration of monuments and other architectural heritage (HCB and HCZ)
	9	Ministry of Culture, the Arts and Heritage	Promoting intangible heritage
	10	Regional Government of Valparaíso, Program of Heritage Valorisation	Implementing the Program of Heritage Valorisation through the restoration of monuments and other architectural heritage (HCB and HCZ)
Communal	11	Municipality of Valparaíso, Direction of Heritage Management	Management of the WHS and other heritage protected areas (TZ and HCZ)
	12	Municipality of Valparaíso, Direction of Tourism	Promoting tourism in the WHS and other in heritage protected areas (TZ and HCZ)
	13	ICOMOS Chile	Advising the management of the WHS of and actively comply with the UNESCO World Heritage Convention
	14	Municipality of Valparaíso, Direction of Communal Development (DCD)	Promoting community development in the WHS and in other heritage protected areas (TZ and HCZ)
	15	Municipality of Valparaíso, Secretary of Communal Planning (SCP)	Implementing the communal planning instrument (CRP) and the application of the norms for heritage protected areas (TZ and HCZ)
	16	Communal Union of Neighbourhood Associations	Representing local communities in Valparaíso through Neighbourhood Associations

Qualitative content analysis was applied to the interview transcripts in Spanish and the results were translated into English (see Chapter 5). From the content analysis, the data was coded into fewer content-related categories to make effective inferences (Krippendorff, 1980; Elo & Kyngäs, 2008). To respond to the research questions, the interviews were structured according to three main topics: approach to heritage, current policy framework and the HUL approach and its implementation. Sub-topics were defined to develop the coding and to classify responses. The codes were identified through the responses and were classified according to the level of governance of each interviewee. The collected interview data were represented in tables and graphs, which were qualitatively analysed. The next section details the results of the interviews.

7.3 Results

The overall results of the interviews analysis indicated that stakeholders had different approaches to heritage, different perceptions of the current policy framework and different interpretations of the implementation of the HUL approach in Valparaíso. Table 7.2 synthesises the frequency of the codes expressed by the interviewees. These results were interpreted and qualitatively analysed to respond to the research questions in the next subsections.

Table 7.2. Frequency of codes as mentioned by the interviewees

Main topics	Focus of questions (sub-topics)	Codes (to analyse responses)	Level of governance		
			National level	Regional level	Communal level
Approach to heritage	Concept of heritage	Tangible and intangible	4	0	2
		Tangible	0	2	0
		Intangible	0	3	4
	Origin of the definition	UNESCO	0	0	4
		Academic-Interdisciplinary	1	0	1
		National policies	1	0	0
		Regional policies	0	1	0
		Law of Monuments	1	0	0
		Municipality	4	0	0
		Local communities	1	1	2
	Valparaíso's heritage attributes	Landscape and geographical attributes outside the WHS	5	5	5
		Architecture and adaptive built environment	1	3	4
		Traces of a historical period	3	2	3
		Cultural diversity and port culture	4	3	5
		Communities, social values and local traditions	2	4	5
		Natural and environmental assets	0	0	2
	Community values	Local communities are fundamental for decision-making	2	2	5
		Local communities through specific instances of participation	3	3	0
Current policy framework	WHS representative of Valparaíso's heritage	Yes	4	2	0
		No	3	0	0
		Partially	1	2	3
		Does not know	0	1	0
	Law and Communal Regulator Plan of Valparaíso (CRP)	Conflicts between the Law, the CRP and the MPH	3	0	4
		Problems with the Law of Monuments	3	0	4
		Problems with the CRP	4	0	2
		No problems with the Law and the CRP	1	4	0
		Positive perception of the Law of Monuments (more funding)	0	2	0
		Does not work with the Law of Monuments or the CRP	1	0	1
HUL approach and its implementation	Knowledge about the HUL Recommendation	Knows and fully understands the HUL Recommendation	1	0	3
		Knows the HUL Recommendation	0	2	0
		Have heard the term HUL but does not know the meaning	0	1	2
		Have not heard about the term HUL	3	2	1
	HUL implementation	Yes, it is very feasible	2	1	2
		Yes, but with radical institutional changes	0	2	2
		Yes, but with radical changes in the way of working together	3	1	2
		May be	0	1	0

The next subsections detail the qualitative analysis according to the sub-topics and focus of the interview questions.

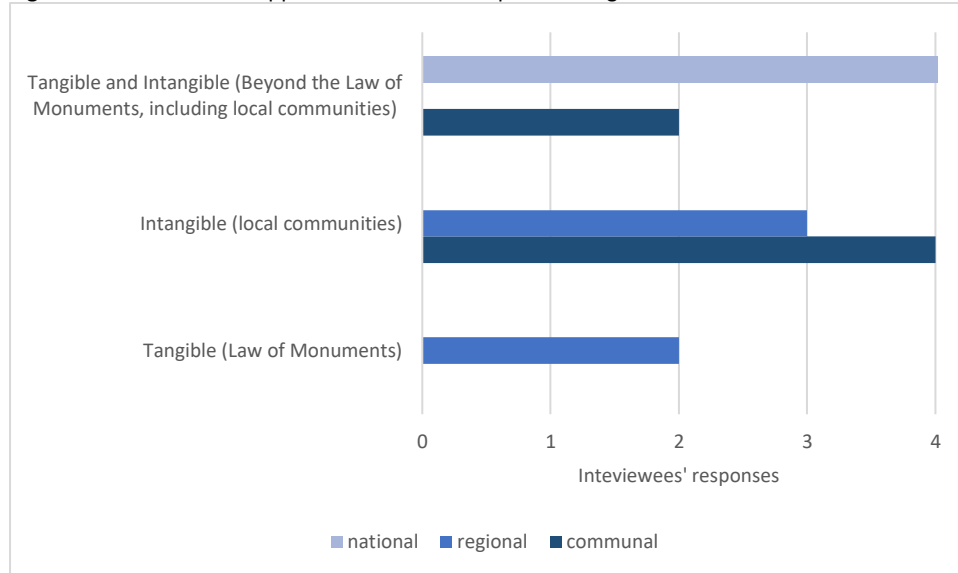
7.3.1 Approach to Heritage

This subsection presents the results of the participants' approaches to heritage. The questions asked of participants focused on the concept of heritage, Valparaíso's heritage attributes and how stakeholders perceived community values.

Concept of heritage

The interviewees were asked about how their institution defined heritage. The overall results of this question revealed that the approaches to heritage were different according to the interviewees' positions and levels of governance. Most stakeholders interviewed at the communal level placed greater emphasis on defining intangible aspects of heritage (see Figure 7.1).

Figure 7.1. Interviewees' approaches to the concept of heritage



As discussed in Chapter 2, tangible heritage includes physical artefacts and architecture works, whereas intangible heritage includes practices, expressions, knowledge and skills (UNESCO, 2003a). Intangible heritage also includes non-physical remains that are part of the essence of cultural landscapes (UNESCO, 1994a). Communal level stakeholders related heritage with community groups, which highlighted a bottom-up approach to heritage management:

Interviewee 14: *Heritage is not only the buildings, nor the typical heritage areas recognised by UNESCO. Heritage is the city as a whole. Considering, for example, the number of community groups and the diversity of actors.*

Interviewee 11: *The view of this municipal administration is that we are the link between the communities and the technical part. We do not to tell the communities what heritage is.*

Most of the national level stakeholders defined heritage to include tangible and intangible assets, beyond the notion adopted by the Law of Monuments and considered local communities:

Interviewee 1: *Heritage is not only the monuments, although this Council is called Council of National Monuments... the material and immaterial shape the whole, they are not separated and cannot be dissociated.*

Interviewee 2: *We use the definitions of UNESCO... and based on the Law of Monuments we assume that an important role is held by the communities, from their own assessment of what is considered by them as heritage.*

Additionally, at the regional level, three interviewees provided more emphasis on intangible heritage, although two of them emphasised on the tangible and referred to the Law of Monuments:

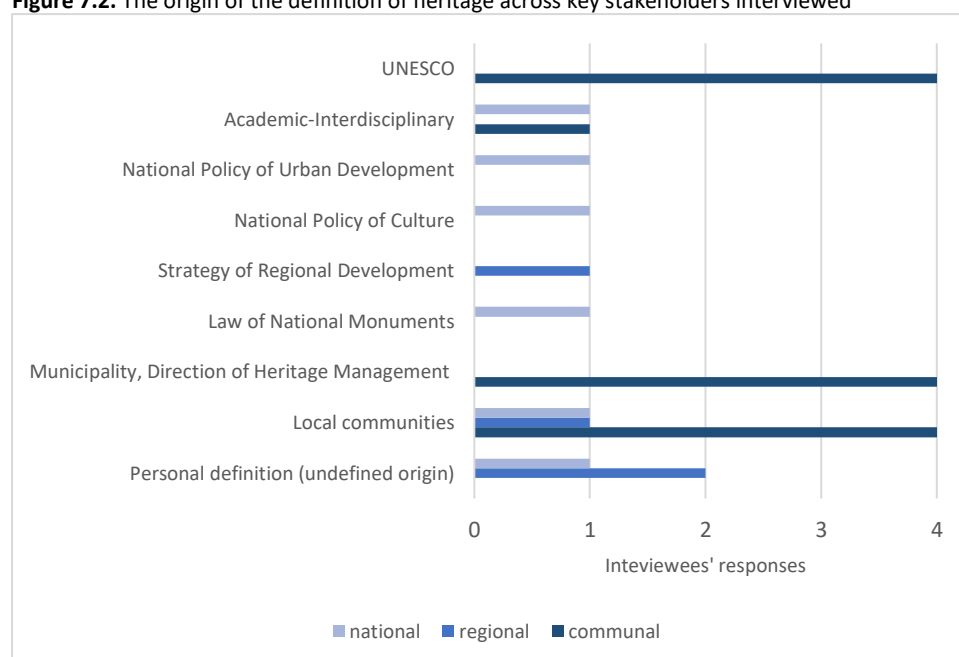
Interviewee 9: *We define it from the definition of the UNESCO Convention of Intangible Heritage of 2003. Cultural heritage are all those expressions, elements, values transferred inter-generationally and recognised as cultural heritage by their communities.*

Interviewee 8: *Within the Inspection of Works there is a specific area of heritage, which is mainly focused on restoration initiatives of buildings. That is the concept that we use as heritage.'*

Interviewee 7: *We work on heritage... concerning the planning instruments and the impacts assessments... in areas of heritage buildings and heritage zones.*

The origin of the definition of heritage used by respondents differed according to the level of governance at which each of them operated (see Figure 7.2).

Figure 7.2. The origin of the definition of heritage across key stakeholders interviewed



Most stakeholders from the national level referred to national policies and standard-setting policies adopted by UNESCO:

Interviewee 2: *We use the definitions of UNESCO, the universal ones. We do not ask ourselves what heritage is.*

Interviewee 5: *The concept of heritage is defined within the NPUD.*

The National Policies of Culture and Urban Development were cited by stakeholders in charge of those policies at the national level. However, other key stakeholders did not mention those national policies, which revealed that the definitions of heritage adopted by these policies were not considered to be a reference by key stakeholders at lower governance levels (see Figure 7.3). Conversely, at the communal level, the interviewees referred to a concept of heritage that was being developed by the

Direction of Heritage Management of the Municipality of Valparaíso. This concept of heritage was linked to local community values and they criticised the Law of Monuments:

Interviewee 13: *The legal concept of heritage in Chile, in fact, does not even name the word ‘heritage’... the legal bodies of the State of Chile are tremendously outdated according to the contemporary discussion.*

Interviewee 11: *There are conflicts among the technical terminologies and what people want and believe heritage is.*

Three interviewees at the national and regional level provided personal definitions of heritage without indicating the origin of their definitions (see Figure 7.2). Additionally, one interviewee from the national level argued that was not useful to define heritage in the Law of Monuments:

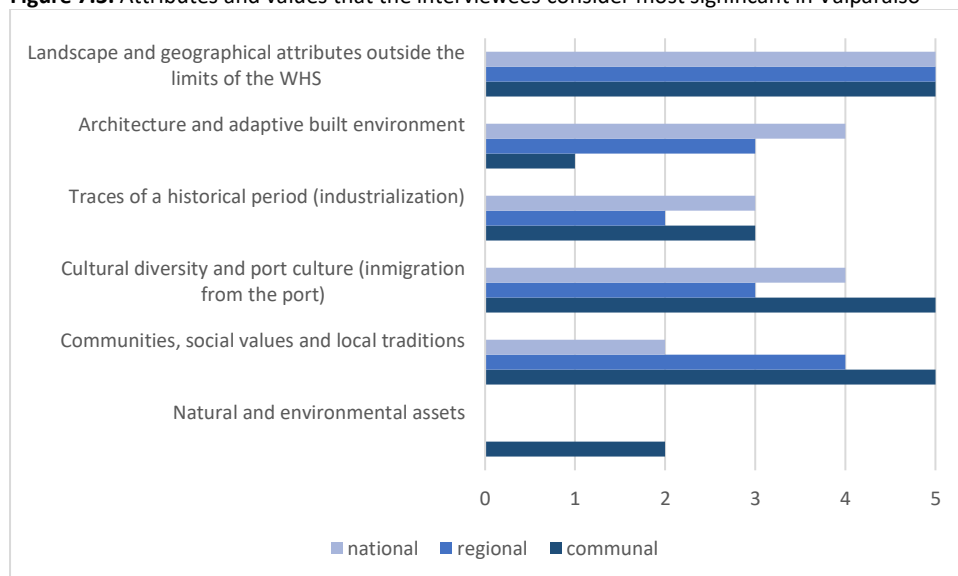
Interviewee 1: *Through the new institutional framework, we have begun to work on the definition of heritage. But this is a definition that we all know. It is not necessary to look for a definition... It is enough to understand what it has to do with our inheritance.*

However, the belief that ‘we all know’ what heritage is differs at the communal level. The interviewees at the communal level displayed a bottom-up approach to heritage and criticised the monumental approach of the Law of Monuments, which revealed the unawareness of the national level interviewee that not all the stakeholders have the same understanding of the concept of heritage.

Valparaíso’s heritage attributes

The emphases of all interviewees’ perceptions were placed on the landscape values of Valparaíso’s urban heritage (see Figure 7.3).

Figure 7.3. Attributes and values that the interviewees consider most significant in Valparaíso



Participants mentioned the landscape of the amphitheatre and geographical attributes outside the boundaries of the WHS, including the coastal border, the views from the top of the hills and the ravines:

Interviewee 8: *I think the most important attribute is the coastal border, the view to the sea, the landscape.*

Interviewee 7: *I think that is related to the landscape, with the look towards the bay.*

Interviewee 15: *I think that the most important attributes of Valparaíso lie in its cultural landscape, in its social geography.*

Interviewee 16: *Our hills and the ravines. The geography, of course, the view... I know all the ports of my country... and I did not find any port to be assimilated.*

Most interviewees at the national level explicitly referred to the landscape attributes mentioned in the WHS nomination file 'Historic Quarter of the Seaport City of Valparaíso' (UNESCO, 2003):

Interviewee 3: *The values and attributes have been officially defined and in a good way, in the nomination file of the WHS.*

Interviewee 1: *In the nomination file we made for UNESCO ... I believe that one of the important values has to do with the port and how the city is located in the territory, facing the sea.*

However, the communal level interviewees emphasised the engagement of local communities and their meaningful traditions that were linked to the port activities. These attributes were not mentioned in the WHS nomination file. Additionally, interviewees at the communal level thought that the authenticity of this heritage remained in the poorer urban areas of Valparaíso. This vision was supported by the regional representative of the Ministry of Culture, the Arts and Heritage:

Interviewee 14: *I think that the general value is the heterogeneity, the diversity of values as well as cultural realities... even within the same area you cannot talk as it is all homogeneous.*

Interviewee 13: *The neighbourhoods that represent the greatest authenticity are the neighbourhoods that have the most fragility and deprivation in terms of recovering the physical infrastructure of their material heritage.*

Interviewee 9: *The traditional bohemian music, which is interesting from the community and urban perspective. There are particular styles of music... which were deeply rooted in the nightlife of Valparaíso in times of the early testimony of the globalisation.*

National level interviewees highlighted the architecture, although in relation to the adaptive built environment. They did not highlight Valparaíso's architectural attributes from a monumental approach. The traces of the industrialisation process developed by the port were also mentioned a significant historical period by national level interviewees, together with the cultural values carried by immigration:

Interviewee 5: *There is a common condition, a certain architectural morphology produced during a period that has a value... this represents the history of the country and the city of Valparaíso.*

Interviewee 10: *For me, the most significant attribute is how Valparaíso defines itself... in a unique typology of how to inhabit and the appropriation of the territory.*

Interviewee 2: *I think Valparaíso has a kind of international amalgam... from a good period of its history. I would say that Valparaíso was first a very rich city because of the industrial activity and the port, so highly qualified foreign people arrived.*

Two communal level interviewees mentioned other attributes related to environmental assets that are not protected: the native vegetation of the ravines and its water.

Interviewee 13: *Water is the fundamental heritage. Why is Valparaíso here?... because there was fresh water... because there was wood in the native streams.*

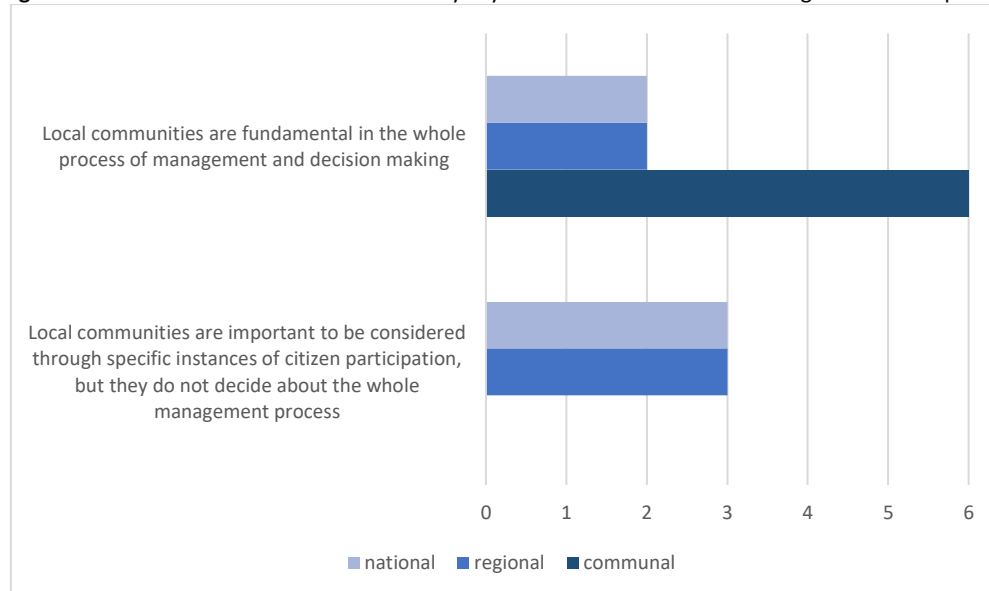
Interviewee 15: *In Valparaíso, there is a water resource that has been there for thousands of years and it allowed the ravines to be an environmental and ecological resource system.*

Overall, the interviewees agreed upon the landscape values of Valparaíso. Nevertheless, they highlighted several broader attributes that were beyond the boundaries of WHS. Moreover, some participants mentioned that heritage attributes were even further than the HCZ, including the sea, the bay and ecological system of the ravines.

Perceived community values

The interviewees agreed that local communities were important to be considered in Valparaíso's heritage management. However, they placed different emphases on how communities should be included in the process. The interviewees from the communal level emphasised that communities were fundamental to the whole process of decision-making (see Figure 7.4).

Figure 7.4. Attributes and values considered by key stakeholders to be the most significant in Valparaíso



This bottom-up approach has been developed from a municipal program called 'Citizens Mayor Office' (*Alcaldía Ciudadana*):

Interviewee 14: *When we talk about participation, we are not talking about consultation instances, what interests us is to be able to build a process where communities are organised and we are the facilitator.*

Interviewee 11: *It is extremely important to understand that public spaces, now that we are copying methodologies from Europe... that Valparaíso has a very special way of understanding public spaces.*

At the national and regional level, six out of 10 interviewees argued that local communities were important to be considered through citizen's participation. However, one national level interviewee emphasised that communities should not decide the entire management process:

Interviewee 4: *Everything must be measured in the sense that not because the community says it is, something that must be done.*

Interviewee 8: *We work in our projects with the communities of Valparaíso through the Law of Citizen Participation.*

Interviewee 7: *When we elaborate our projects, we have a participation process, or we have contact with all the relevant actors of the subject.*

The representative of the Communal Union of Neighbourhood Associations had a very critical perspective about the participation of citizens in Valparaíso. For them, communities were the core of Valparaíso's heritage, but they believed that communities have been ignored by politicians:

Interviewee 16: *They consider us just for political campaigns or political favours... Now the Mayor is going to have a commission... but we are not invited.*

However, the member of ICOMOS Chile argued that Valparaíso is currently valued at the national and international levels because of a pioneer history of activism that was conducted by local communities:

Interviewee 13: *The so-called 'heritage of Valparaíso' is an invention of local communities... 'Citizens for Valparaíso'... between 1992 and 1994, was like the 'Jane Jacobs³ moment' of Chile.*

Their opinion reveals that local communities are considered to be important in the management of heritage but there were different perspectives regarding how they should be included in the decision-making process. At the communal level, activist communities were considered to be part of Valparaíso's values. However, at the national level, communities' views were mostly considered through formal participatory processes.

7.3.2 Current Policy Framework

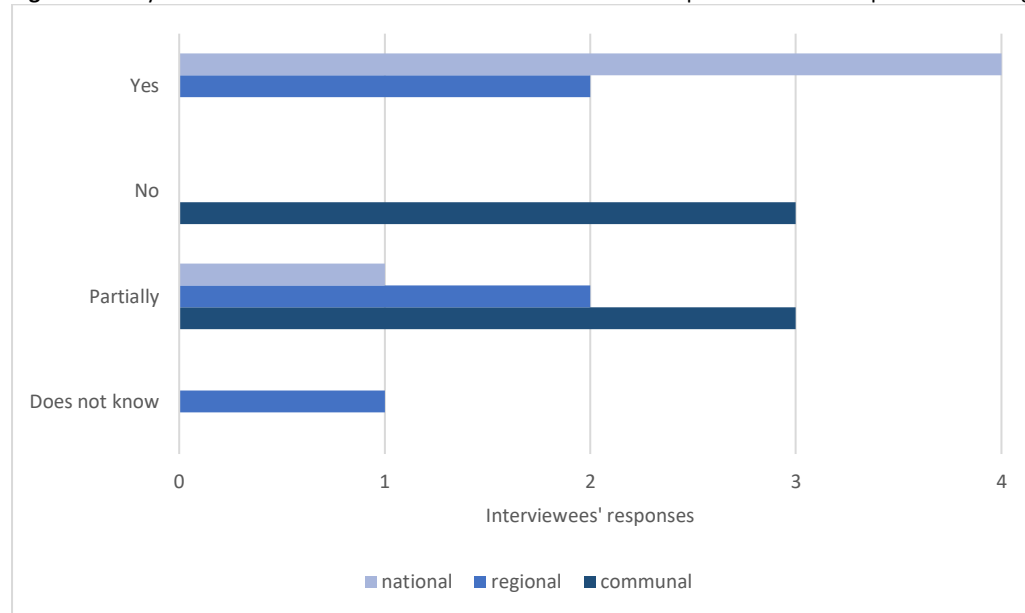
This section presents the results of how the current policy framework was perceived. The questions were focused on the WHS nomination and how the interviewees understood and used Valparaíso's national laws and communal plans.

WHS nomination

As shown in Figure 7.5, the results revealed different opinions regarding the WHS nomination at the communal and national level.

³ Jane Jacobs was a famous American-Canadian urban activist, who influenced the importance of citizen participation in urban studies. Jacobs's most famous book is called *The Death and Life of Great American Cities* (1961)

Figure 7.5. Key actors' views on whether the WHS nomination was representative of Valparaíso's heritage



The interviewees at the communal level argued that the WHS nomination was not representative or was partially representative of Valparaíso's heritage:

Interviewee 14: *I do not believe that [the nomination is representative] because the vision of the 'World Heritage' is focused on the gentrified areas.*

The representative of the Communal Union of Neighbourhood Associations had a very critical perspective regarding how the application of the WHS was conducted. For them, it was defined by political and economic interests at the national level:

Interviewee 16: *It is not representative of the community. Here things are done behind closed doors, because of political-economic interests.*

Four out of five interviewees at the national level felt that the WHS nomination was representative of Valparaíso's heritage. However, one of them argued that it was limited, and it was not possible to dissociate the WHS area to the whole 'urban amphitheatre'.

Interviewee 1: *I think that yes... those values, and attributes were effectively recognised. I would not question further.*

Interviewee 2: *Yes, of course. The declaration is for criteria three established by UNESCO, which is representative of an era.*

Interviewee 3: *It is representative, although it is limited and Valparaíso is indissoluble, it is not possible to dissociate the amphitheatre from that area that was declared.*

The member of ICOMOS Chile was critical of the WHS nomination because, from their perspective, the buffer zone should comprehensively protect the landscape attributes of the city:

Interviewee 13: *No, I always insisted that the core zone and the buffer zone should be much broader.*

The Direction of Heritage Management of the Municipality of Valparaíso argued that it was necessary to develop continuous retrospective heritage assessments, such as the one conducted in 2013 (ICOMOS, 2013). From their perspective, these assessments should not solely focus on the WHS but encompass the entire city and the HUL approach:

Interviewee 11: *I think it would be good, as in 2013, to make a retrospective assessment... What do we mean by the limit of the site? That is where the Historic Urban Landscape has a role because it comprises these layers, the buffer area but also an area of influence.*

Overall, at the national level, the WHS nomination was considered to be representative of Valparaíso's heritage, whereas the communal level interviewees argued that it was not representative. The underrepresentation at the communal level was based on the nomination being conducted by national level interests and the area defined as WHS is small compared to the broader urban area.

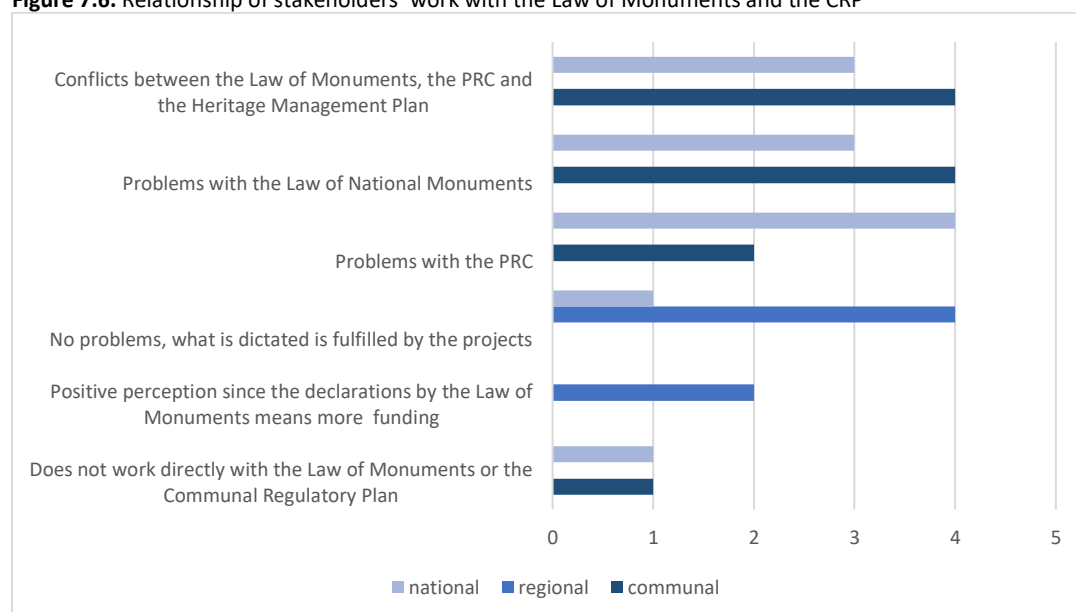
Laws and communal plans

Most stakeholders from the communal and national levels (7 out of 11) indicated that they had problems and conflicts with the Law of National Monuments and the CRP (see Figure 7.6):

Interviewee 1: *The Law [of Monuments] is an old law, right? From the 70s. So, obviously, we have some limitations... However, it is the only effective protection tool available today... The law is not related to the regulatory plan... I believe that this is one of the big problems. That the regulatory plans do not 'talk' with the National Council Monuments.*

Interviewee 13: *The national legislation is insufficient... the General Law of Urbanism and Construction... liberalised the use of land, the land is more valuable than everything that is built... Then, that is the great drama for the Chilean urban heritage.*

Figure 7.6. Relationship of stakeholders' work with the Law of Monuments and the CRP



However, the regional level stakeholders did not express problems with the law and the CRP because they simply accomplish what is dictated. They had a positive perception of monument declarations because that means more public funding for restoration projects:

Interviewee 8: *We have projects that usually need the approval of the Council of Monuments... those are usually associated with regional funding, so we have done many church restorations.*

At the national level, the manifested conflicts were related to the fact that the legal framework was considered to be obsolete. A discordance was perceived between the statutory norms of the CRP and the guidelines on intervention criteria of the Council of National Monuments. At the communal level, the perceived conflicts are related to the overlay of norms, the incoordination among the different public institutions and the inadequate national law. One interviewee at the communal level considered that the Regulation of TZ should be integrated into the CRP, together with improving citizen's participation as part of this framework:

Interviewee 11: *Valparaíso is complex because many regulations are overlapping, those of the Council [of Monuments] and the regulations of the Regulatory Plan, that is why we are working in an inter-institutional table.*

Interviewee 14: *We are working and... discussing everything that is happening in that area [the Typical Zone] with the community as well, with the different social organisations... trying to build together a vision of how it should be developed.*

Overall, most stakeholders manifested conflicts with the Law of National Monuments and the CRP. The main problems were because the law was outdated and the communal compulsory norms of heritage conservation were not integrated in this framework.

7.3.3 HUL Approach and Its Implementation

This section presents the results of the perception of key stakeholders regarding the approach proposed by the HUL Recommendation and its implementation in Valparaíso.

The HUL Recommendation

Among interviewees, different degrees of knowledge and interpretations regarding the HUL Recommendation were manifested at the different levels of governance. Three out of six of the communal level stakeholders indicated that they knew and fully understood the HUL Recommendation (see Figure 7.7). At the national level, three out of five stakeholders had not heard the term HUL and did not know the meaning, which revealed that the HUL Recommendation was more recognised at the communal level than at the national level:

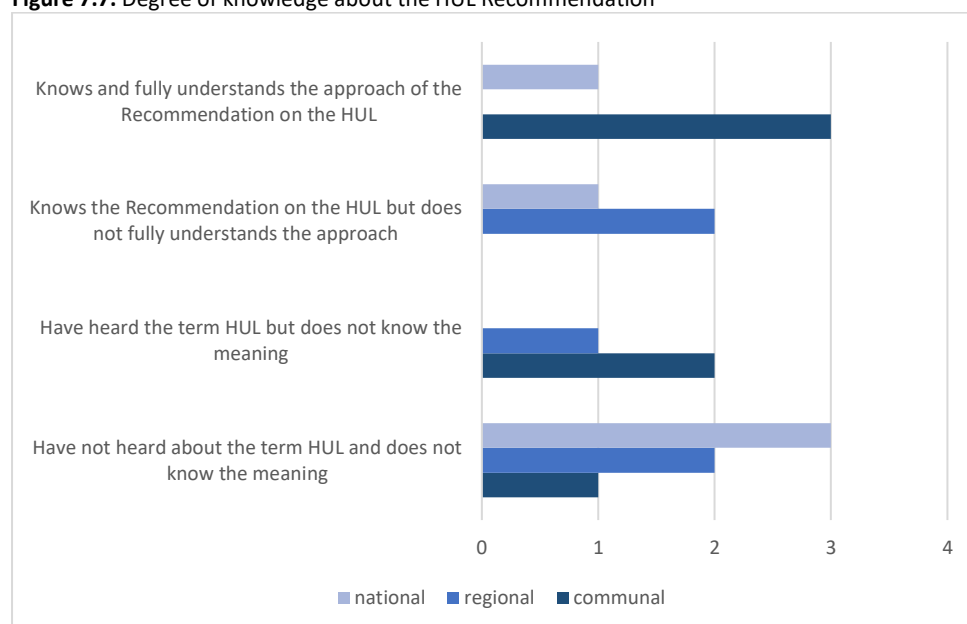
Interviewee 1 (national level): *We have not applied it much, not even in the UNESCO reports.*

Interviewee 5 (national level): *No. I do not know the precise definition.*

Interviewee 11 (communal level): *I have the book about the HUL of Bandarin and van Oers... I believe that the great conflict is that this term Historical Urban Landscape was taken as a cultural landscape and they are two different things.*

Interviewee 13 (communal level): *Here has been difficult... to bring on the famous HUL. And it is not due to lack of opportunities, as I told you, Bandarin came to Valparaíso twice.*

Figure 7.7. Degree of knowledge about the HUL Recommendation



At the regional level, stakeholders demonstrated different responses. Two said that they knew the recommendation, but it was apparent when they explained the meaning that they did not fully understand its content. They related the HUL Recommendation to the concept of cultural landscape, without acknowledging its management approach:

Interviewee 7: *Well, I would say that, essentially, it has to do with the territory, obviously and with these variables that are defined in the concept.*

Interviewee 9: *The truth is that I do not know much. I have read some things, but it has to do with a coherence, I get the feeling... but with a cultural coherence of the urban aesthetics. The cultural landscape is that.*

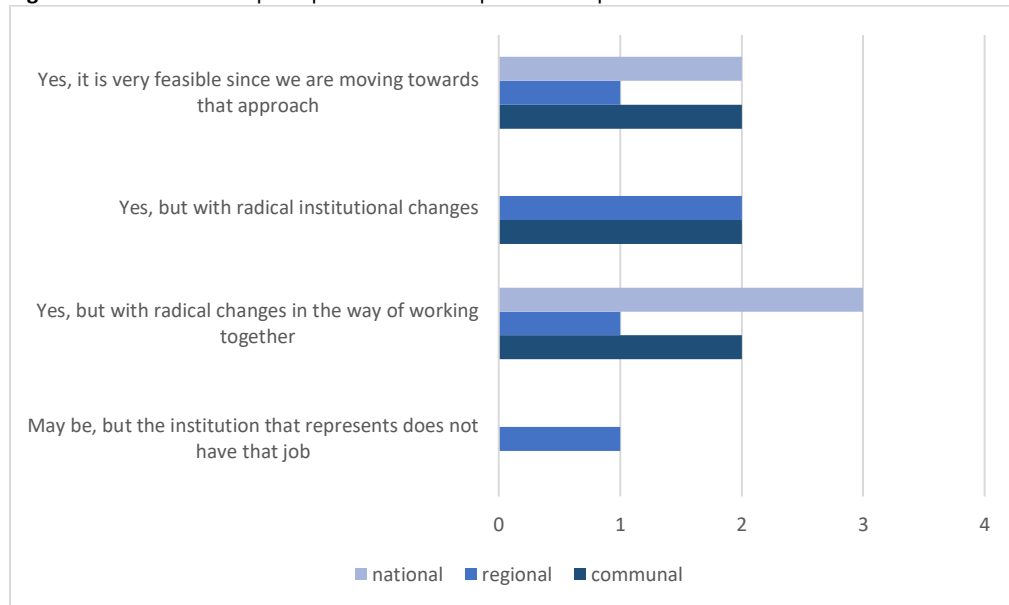
As mentioned in Chapter 5, a hard copy of the HUL Recommendation was taken while conducting the face-to-face interviews. In this context, after asking whether they knew the document, part of it was read to them and then discussed with each interviewee. Therefore, prior to the next question regarding the implementation of the HUL Recommendation, interviewees were informed about the HUL approach.

The implementation of the HUL approach

Most interviewees (15 out of 16) argued that they thought it was possible to implement the HUL approach in Valparaíso (see Figure 7.8). However, they shared different concerns about the implementation process. One interviewee at the regional level, from the Direction of Port Works, argued that if it was not applied, it might be possible to implement it. However, they highlighted that the duty of the Direction of Port Works was not the protection Valparaíso's heritage. Therefore, from the interviewee's perspective, the authorities in charge of the port infrastructure and activities should not be considered to be key stakeholders in Valparaíso's heritage management:

Interviewee 6: *There is a lack of a proper masterplan... but to us, as Port Works, this is not our concern... We have a technical role, only technical, to check that the projects are according to the technical guidelines and nothing else. Engineering.*

Figure 7.8. Interviewees' perceptions about the potential implementation of the HUL Recommendation in Valparaíso



Most of the interviewees at the national level (3 out of 5) argued that the HUL approach could be implemented but with radical changes in the ways of working together. Two interviewees felt that it was feasible to implement the HUL, given that they were moving towards that approach. According to them, the HUL approach is reflected in the principles of the National Policies of Culture and Urban Development:

Interviewee 1: *Yes, I think so, but we have to work in a different way.*

Interviewee 5: *It is a challenge because the essence of Valparaíso lies in this integral vision of heritage and not just the physical vision and that is what makes the place unique.*

Interviewee 4: *Yes, [the HUL approach] now comes with the Policy [of Urban Development], so Valparaíso and all the other cities are going to have to do it... With the decree of guidelines for Typical Zones, all the Typical Zones declared in the country must present their intervention guidelines... Then it will be very complex to establish that, given in Chile there is no concept of 'masterplan'.*

At the communal level, the interviewees shared different opinions regarding the institutional changes and ways of working together. Two of them argued that it was feasible to implement the HUL, given the bottom-up approach promoted by the Municipality of Valparaíso ('Citizens Mayor Office'):

Interviewee 11: *We made a test during the Heritage Day with some conversations... and people told us stories related the importance of the landscape and the uses... That is giving us insights on that urban development should be focus on real needs and not just on the beautiful architecture.*

Depending on the level of governance, the stakeholders shared different opinions regarding Valparaíso's heritage management process. Different perspectives on how to implement the HUL Recommendation were observed.

The overall results of the interviews revealed that the HUL approach was more aligned with the views of the communal level interviewees than those at the regional and national levels. The HUL Recommendation indicated that Member States should bring this approach 'to the attention of the local, national and regional authorities' (UNESCO, 2011, p. 51). Moreover, 'all levels of government' should contribute to the implementation of conservation policies based on the HUL approach (UNESCO, 2011, p. 53). Therefore, based on the results of the interviews analysis, the next section details the identification of the barriers and facilitators to the implementation of the HUL approach in Valparaíso.

7.3.4 Barriers to the Implementation of the HUL Approach in Valparaíso

No consensus about heritage

The results revealed that stakeholders had different and even opposing approaches to heritage according to the different levels of governance. Although the HUL Recommendation emphasises that heritage values are continuously changing among stakeholders, the section about how to implement the HUL highlights the need to reach consensus on what values to protect (Rey-Pérez & González-Martínez, 2018; UNESCO, 2011b). Therefore, the critical step related to reaching consensus among stakeholders is a barrier to the implementation of the HUL in Valparaíso. The results also revealed that the different concepts of heritage are not only influenced by their personal values, but by the definitions of different policy documents. When defining heritage, the interviewees mentioned different policy international and national documents, such as the Convention for the Safeguarding of Intangible Cultural Heritage (UNESCO, 2003a), the Law of National Monuments (Ministerio de Educación Pública, 1970) and the Regional Development Strategy (Gobierno Regional de Valparaíso, 2012). The approaches to heritage defined by these policies are different. For instance, the Convention for the Safeguarding of Intangible Cultural Heritage is focused on intangible heritage and the Law of National Monuments is focused on monuments and architectural heritage. This reveals the need for an integrative framework to assimilate both tangible and intangible heritage management in Valparaíso.

As discussed in Chapter 2, heritage policies may be understood as the AHD because these establish what heritage is, why it is significant and how it should be managed (Smith, 2006). As such, the above-mentioned policies can be understood as being the AHD of Valparaíso. However, the AHD defined by the Law of National Monuments was considered to be obsolete by most stakeholders. This might explain why some key stakeholders referred to other policies as being more relevant for them to define heritage. Additionally, some stakeholders indicated their own concept of heritage and, based on their work and academic experience, they had to 'teach' their peers about the contemporary concept of heritage. This revealed the need to update the national legislation and for continuing professional development at different governance levels.

The WHS nomination was not aligned with stakeholders' views at the communal level

Another barrier for the implementation of the HUL Recommendation was that the WHS nomination was not fully aligned with the views of the interviews at the communal level. According to key stakeholders at the communal level, neighbourhoods with high levels of intangible heritage

authenticity were those that had high levels of vulnerability in their architectural heritage. These vulnerable areas are outside the WHS but are considered to be part of the authentic heritage of Valparaíso at the communal level. The critical step to reach consensus on what values to protect (UNESCO, 2011c) is a barrier for the implementation of the HUL in Valparaíso. Additionally, given that communal stakeholders were critical about the WHS Nomination, the critical step to establish local management frameworks for the coordination among the different actors (UNESCO, 2011c) is also a barrier at the communal level.

The authenticity of the WHS in Valparaíso is a contested issue, so it is essential to recognise the role of power and politics in what and how heritage has been formally protected (Silverman, 2011). According to Criado-Boado and Barreiro (2013), ‘the losers, the anonymous protagonists, the resistances, also produce heritage goods’. However, the will of hegemonic visibility of the AHD can hide these values and condemn them to oblivion (Criado-Boado & Barreiro, 2013; Smith, 2006). This issue is essential to develop a critical analysis of the management of the landscape values of Valparaíso’s urban heritage and the implementation of the HUL Recommendation.

Conflicts between the Law of Monuments and communal plans

A barrier related to key stakeholder’s perception about laws and regulations is that the Law of Monuments is considered to be obsolete and disconnected to the communal plan’s regulations. This is supported by the results of the policy evaluation (see Chapter 6), in which national laws had the lower overall evaluation concerning their alignment with the HUL approach. The Law of Monuments indicated that the Council of National Monuments may suggest appropriate and coordinated measures to prevent deterioration (MINEDUC, 2017b), which implies a possibility but not an obligation. Additionally, the MPHM and the ‘Guidance for Interventions in the Typical Zone’ (*Instructivo de intervención Zona Típica Área Histórica de Valparaíso*), were not statutory but strategic tools. These strategic tools were not considered to be formal rules for Valparaíso’s communal stakeholders, which reveals a lack of compulsory instruments to manage urban heritage through the communal plans.

Different technical biases on heritage conservation

Interviewees at the regional level displayed different technical biases towards heritage conservation. They did not display a critical perception of the laws and communal regulations and showed a severe technical approach to heritage conservation. They argued for the strict adherence to legislative dictates. Their work was focused on responding to the regular duties of their position and managing the available public funding for developing projects. Nevertheless, the MPW and the Ministry of Culture, the Arts and Heritage displayed contrasting technical approaches to heritage conservation. One was strictly focused on architectural heritage and the other was on intangible heritage. Additionally, they followed policy documents that were not considered by other stakeholders. This revealed the disintegration of heritage management including both tangible and intangible attributes. From the HUL approach, this was considered to be a barrier because all levels of government should agree and contribute to a common framework on urban heritage management (UNESCO, 2011b). The HUL approach required a holistic understanding of heritage and how it should be managed, beyond the technical obligations defined by their positions.

While conducting the interviews, it was perceived that not all interviewees recognised the importance of their work in Valparaíso's heritage management. For instance, the Direction of Port Works of Valparaíso considered that their work was not related to heritage management. However, the institutional vision of the Direction of Port Works was to 'produce the physical integration of the citizens with the coast ... being recognised for valuing the environment, living standards, equity and local identity' (MPW, 2018, p. 1). Although this institutional vision can be considered to be aligned with the HUL approach, it is not recognised as being part of their practical duties. This is a critical issue because the project of expansion of the port has been considered as a high, permanent and irreversible negative impact for Valparaíso's OUV (see Chapter 4) (Isaza & Andrade, 2016). Therefore, the projects developed from the port threatened the outstanding landscape values of Valparaíso and could be related to the fact that their stakeholders were not aware of their broader duties.

7.3.5 Facilitators to the Implementation of the HUL Approach in Valparaíso

Agreement on the value of Valparaíso's landscape attributes

Although the interviewees displayed different perspectives about the concept of heritage, all of them agreed that the most valuable attributes of Valparaíso were in its landscape. The geographical setting of the so-called 'amphitheatre hills', the built environment adapted to the natural topography, the view to the sea from the hills, the coastal border and the ravines were highlighted. Additionally, most interviewees at the national level argued that it was not possible to separate the landscape attributes outside the WHS from the general urban heritage management of Valparaíso. This reveals that the monumental approach to heritage conservation in Valparaíso is not representative of the view of key stakeholders. Moreover, key stakeholders do not follow the AHD represented by the protection of the aesthetical values of the WHS and the Law of Monuments. Thus, based on the common agreement of stakeholders, it can be inferred that the area protected as HCZ by the CRP better protect the broader landscape values of Valparaíso's urban heritage.

HUL Recommendation as an ideal approach

Key stakeholders displayed a positive perception of the approach proposed by the HUL Recommendation. Most of the interviewees (15 out of 16) believed it was possible to implement the HUL Recommendation in Valparaíso, although they highlighted that institutional changes and better coordination should be developed. In this context, the HUL approach recommended that civic engagement tools and capacity-building involve a diversity of stakeholders, including communities, decision-makers, professionals and managers (UNESCO, 2011b). Therefore, adopting a common framework is essential for the implementation of the HUL Recommendation. However, understanding the HUL Recommendation was critical because the interviewees displayed different degrees of knowledge and interpretations. To implement the HUL Recommendation in Valparaíso is required knowledge and capacity-building tools (UNESCO, 2011b), which should be first focused on decision-makers to reach an aligned approach at the different levels of governance.

Table 7.3 displays a synthesis of the barriers and facilitators to the implementation of the HUL approach in Valparaíso from the analysis of the interviews at the national, regional and communal level.

Table 7.3. Synthesis of the barriers and facilitators to the implementation of the HUL approach in Valparaíso

Implementation of the HUL	National level	Regional level	Communal level
Barriers	No consensus regarding heritage		
	Conflicts between the Law of Monuments and communal plans	Different technical biases of heritage conservation	The WHS nomination was not fully aligned with stakeholders' views at the communal level
Facilitators	Agreement on the value of Valparaíso's landscape attributes		
	HUL Recommendation as an ideal approach		

7.4 Conclusions

This chapter addressed research objectives 2 and 4. From the analysis of the interviews, it is concluded that Valparaíso's key stakeholders held different views that were consistent and inconsistent with the HUL approach. However, all agreed on the landscape values of Valparaíso's urban heritage.

It was revealed that the institutional approaches to the concept of heritage differed according to the interviewee's position and level of governance. Most stakeholders at the communal level emphasised intangible heritage. At the national level, the emphasis was placed on the integration of the tangible and intangible. At the regional level, contrasted emphases were displayed. There were multiple origins of definitions according to the position and level of governance of interviewees. Some stakeholders cited formal policies as some UNESCO charters, national policies and laws, although others defined heritage from a personal view without indicating a reference. The lack of institutional alignment regarding the definition of heritage suggested an important barrier to the implementation of the approach proposed by the HUL Recommendation in Valparaíso. Conversely, the interviewees emphasised the significance of Valparaíso's landscape attributes and highlighted broad landscape values beyond the boundaries of the WHS, such as the views from hills, the coastal border and the ravines. Although they displayed different approaches to heritage, interviewees agreed on the outstanding landscape values of Valparaíso's urban heritage beyond the WHS.

The interviewees agreed that local communities were important to be considered in heritage management. However, they provided different emphases regarding how communities should be included in the process. The HUL Recommendation highlighted that heritage values are dynamic and shared by a variety of stakeholders at different levels of governance (Rey-Pérez & González-Martínez, 2018; UNESCO, 2011b). In this context, a common framework is required to reaching consensus regarding what values to protect. At the communal level, it was emphasised that communities were fundamental in the decision-making process from a bottom-up approach. However, most national and regional level interviewees argued that communities should be considered just through formal instances of citizen's participation and they should not decide about everything. This revealed that learning from communities, as the HUL approach recommends, is not a concern for authorities at the regional and national levels in Valparaíso. It seems that the participation of communities is something

that is supposed to be positive in the planning process, but when it comes to real decision-making this is limited.

The barriers to the implementation of the HUL Recommendation in Valparaíso were mostly related to the perceived misalignment of policies, laws and regulations. According to the results, the WHS nomination was not fully aligned with the views of key stakeholders at the communal level. Moreover, the Law of Monuments was considered to be obsolete and disconnected from communal plans. At the regional level, interviewees based their work on policy documents that were not considered by all stakeholders. In this context, the misalignment of the policy framework on heritage conservation negatively affected coordination among the stakeholders. From the HUL approach, disagreement and perceived misalignment of policies is considered to be a barrier because all levels of government should agree and contribute to a common framework on urban heritage management. However, a good start is that all stakeholders involved in the decision-making process acknowledge their different needs or purposes. The more transparent the process is, the more feasible is to reach consensus as the HUL Recommendation proposes.

The perceived misalignment of Valparaíso's policy and legislative framework is supported by the results presented in Chapter 6. At the communal level, stakeholders perceived that the WHS nomination was not aligned with Valparaíso's broader landscape values. The HUL approach recommends that local authorities formulate plans that acknowledge local values and follow national policy frameworks and regulatory systems for the management of tangible and intangible heritage (UNESCO, 2011b). The perceived misalignment confirms the need to apply institutional modifications at different levels of governance. Additionally, conflicts or disagreements embedded in contested interpretations of what is heritage from the view of stakeholders, can be overcome by the 'proper' governance of heritage, which in the long-term has potential to establish a shared value system (Kisić, 2017). In this case, the proper approach to manage urban heritage is the approach proposed by the HUL Recommendation. In order to reach this goal, institutional modifications could include adjusting the WHS nomination, redefining the legislative framework on heritage conservation and ensuring that communal plans include norms for managing the broader tangible and intangible attributes of Valparaíso's landscape. All this will ensure the alignment of Valparaíso's policy and legislative framework, taking into consideration the views of key stakeholders at different governance levels.

Chapter 8. Community Values and Perceptions of Valparaíso's Heritage Management

8.1 Introduction

This chapter presents the results of objective 3, which was the assessment of what local community leaders and other community members valued from Valparaíso's heritage and whether their perceptions were consistent with the definition of the HUL. From the results of the focus group analysis, this chapter also responds to objective 4 to establish the barriers and facilitators to the implementation of the HUL approach in Valparaíso.

To recognise what the focus group participants valued from Valparaíso's heritage, the analysis was framed in a critical step that was proposed by the HUL Recommendation about reaching consensus 'on what values to protect... and to determine the attributes that bear these values' (UNESCO, 2011b, p. 50). To achieve this aim, focus groups with community leaders and other members living in the heritage protected areas of Valparaíso were conducted. The focus group discussions were analysed following a qualitative and explorative approach. The focus groups were audio recorded, transcribed and the analyses focused on the relationships between the responses of the participants to create links between data (Krueger & Casey, 2015; Rabiee, 2004). The focus groups also included a participatory mapping activity to identify the most significant tangible and intangible attributes of Valparaíso from their perspectives (Krueger & Casey, 2015; La Frenierre, 2008). Data included both the transcripts of oral discussions and the drawings and notes provided by the participants. Finally, the results were synthesised to respond to the research objectives through the use of graphs, tables and maps to illustrate the main conclusions of the analysis.

8.2 Overview of the Focus Group Analysis Method

Six focus groups were conducted in Valparaíso, between August 2017 and January 2018 (see Chapter 5). Three focus groups were conducted with community leaders and three focus groups were conducted with other community members. As displayed in Table 8.1, focus groups were conducted in different locations of heritage protected of the commune of Valparaíso (WHS, TZ and HCZ). Forty people participated in total—nine were community leaders and 31 participated in focus groups with other community members. The ethics approval and participant recruitment method are described in Chapter 5.

Table 8.1. Key characteristics of focus groups conducted in Valparaíso

FG	Location of FG	Neighbourhood	Heritage protection	Number of participants
Focus groups with community leaders				
FG1	University of Valparaíso, Faculty of Medicine	El Almendral	HCZ	5
FG2	Cultural Park, Cárcel Hill	Cárcel Hill	HCZ	2
FG3	University of Valparaíso, Faculty of Humanities	Port neighbourhood	WHS-TZ	2
Focus groups open to inhabitants of heritage protected areas				
FG4	Neighborhood Association Cincel	Placeres Hill	HCZ	9
FG5	La Matriz Church	Port neighbourhood	WHS-TZ	10
FG6	Neighborhood Association Baron Hill	Baron Hill	HCZ	12
Total participants				40

The analysis of the focus groups responses was structured following three main topics: the perception of heritage and communities, the current heritage management in Valparaíso and the mapping activity to identify Valparaíso's heritage attributes from the HUL approach (see Chapter 5). Table 8.2 shows how the results were structured following a matrix of analysis.

Table 8.2. Matrix of analysis and structure of the results of the focus groups interviews

Topics	Questions	Codes—Units of analysis and key terms from the HUL approach
Perception of heritage and communities	What does heritage mean to you?	Tangible/intangible
		Beyond historic centre
	What does the concept of community mean to you?	Wide scale (Urban/landscape/geographic setting)
		Diversity of values
Perceptions of current heritage management in Valparaíso	What do you think about the management of heritage in Valparaíso?	Scale (neighbourhood/urban area geographic elements)
		Forma/informal community
	What do you think of the nomination of Valparaíso as a WHS defined by UNESCO?	Heritage and communities
		Transmission of values
		Positive, neutral or negative views Perception about the stakeholders involved
Mapping Valparaíso's heritage attributes from the HUL approach	What do you think about the management of heritage in Valparaíso?	Perception about the current institutional framework and regulatory tools
		Level of knowledge
	What do you think of the nomination of Valparaíso as a WHS defined by UNESCO?	Participation in the nomination process
		Perception from their own values
	What role does your community play in the management of Valparaíso's heritage?	Active/passive role
Mapping Valparaíso's heritage attributes from the HUL approach	What tangible and intangible attributes are the most significant for you in Valparaíso?	Relationship with the institutional framework
		Tangible (monuments/ensembles/etc.)
	Could you locate these attributes on a map?	Intangible (traditions/modes of life/etc.)
		Tangible and intangible attributes
		Significant attributes from the HUL approach in Valparaíso

For the analysis of the mapping activity, sketch maps drawn by participants were overlaid in one digital image using Google Earth and Photoshop. The maps were scanned and scaled, using Google Maps as a base and the overlay was created using Photoshop. Additionally, the results of the drawings and the written notes in the maps were quantified through the identification of tangible and intangible attributes and significant attributes from the HUL approach in Valparaíso. The focus groups (FG) and participants (P) were identified by codes (e.g., FG1 and P1).

The content of the sketch maps and the notes written by the participants were also analysed using codes from the HUL Recommendation and the policy evaluation results (see Chapter 6). From the definition of the HUL, codes were identified to analyse the range of significant heritage attributes as perceived by the participants in Valparaíso:

The HUL is an ‘urban area understood as the result of a historic layering of cultural and natural values and attributes, extending beyond the notion of ‘historic centre’ or ‘ensemble’ to include the broader urban context and its geographical setting’.

‘This wider context includes... natural features; its built environment... and the intangible dimensions... while recognizing their dynamic character’.

‘It is rooted in a balanced and sustainable relationship between the urban and natural environment, between the needs of present and future generations and the legacy from the past’.

‘The historic urban landscape approach learns from the traditions and perceptions of local communities’ (UNESCO, 2011b, p. 52).

Finally, from the results of the analysis, the identification of barriers and facilitators to the implementation of the HUL approach in Valparaíso was developed, which led to the chapter conclusions.

8.3 Results

8.3.1 Profile of Focus Group Participants

As shown in Figure 8.1, 40 people aged 20–74 participated in the focus groups. The age ranges were defined according to the National Statistics Institute of Chile (NIS, 2017).

Figure 8.1. Age range of focus group participants

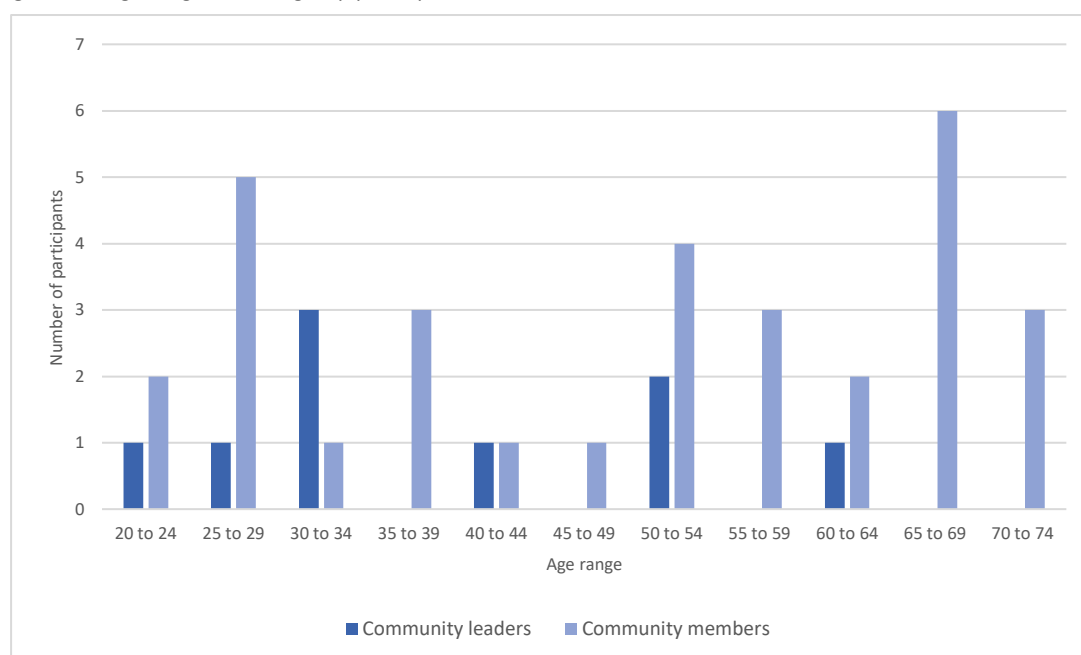


Table 8.3 displays the number of years that focus group participants had lived in Valparaíso. Two participants had lived in Valparaíso since they were born. Most of the participants were active

members of neighbourhood associations (27) and of other community groups in Valparaíso (33) (see Table 8.3). The overall profile of the focus group participants were people that were actively committed with Valparaíso and their communities.

Table 8.3. Number of years participants had lived in Valparaíso, membership rates of neighbourhood associations and other community groups

Number of years living in Valparaíso	Number of participants		
	Community leaders	Community members	Total of participants
Since they were born (22–74 years)	4	18	22
31–50 years	1	4	5
11–30 years	2	4	6
2–10 year	1	5	6
Born and working in Valparaíso, but does not currently live in the commune	1	0	1
Participation in neighbourhood associations			
Active member of neighbourhood association	6	21	27
Not active member, but participates in activities of the neighbourhood association	0	3	3
Not member of the neighbourhood association	2	8	10
Participation in other community groups			
Member of other community groups	9	24	33
Not members of other community group	0	7	7

As illustrated in Table 8.4 and Map 8.1,⁴ most participants (33) were inhabitants of the HCZ defined in 2010 and 2018 (purple and brown area of the map). Three participants lived in the WHS (red area of the map) and one of them was a community leader. Four participants were inhabitants of areas not protected as heritage. Most participants were inhabitants of Placeres Hill (12), nine from Barón Hill, nine from the Port neighbourhood and the surrounding hills (Cordillera, Toro, Santo Domingo and Mesilla), two from Cerro Alegre Hill and six from other hills (Las Delicias, Cárcel, Mariposa and Esperanza Hills). Two community members that lived in Alegre Hill participated in the focus group of Port neighbourhood, but no community leaders from that hill participated. Additionally, one community leader was born and was working in the commune of Valparaíso, although they did not live in the commune of Valparaíso when the focus group was conducted. Instead, they lived in another commune of the metropolitan area of Valparaíso (Concón). Although the recruitment of participants was conducted in the commune of Valparaíso, the invitation to the focus groups was open to inhabitants interested in the topic (see Chapter 5). Further, the HUL approach considers heritage from ‘the broader urban context and its geographical setting’ and it ‘learns from the traditions and perceptions of local communities’ (UNESCO, 2011b, p. 52). Therefore, the community

⁴ Map 8.1 shows the closest intersection of residence of participants to protect their anonymity.

leader that lived in Concón as well as the four participants that lived in unprotected heritage areas of commune were considered in the sample.

Map 8.1. Approximate residence of the focus group participants

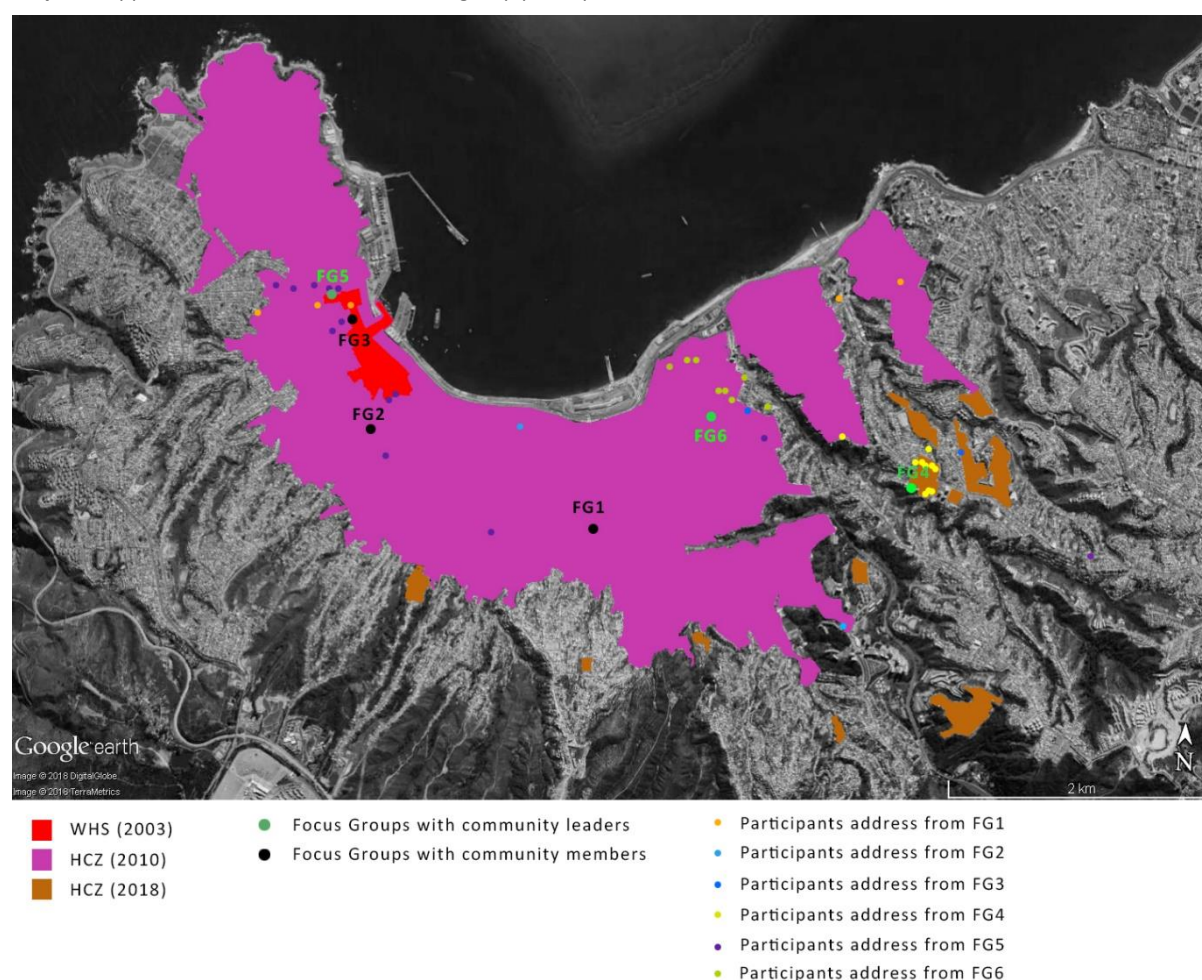


Table 8.4. Heritage protection status of focus group participants' residences

Heritage protection status of participants' residences	Number of participants		
	Community leaders	Community members	Total participants
WHS/TZ	1	2	3
HCZ (2010)	6	18	24
HCZ (2018)	1	8	9
Unprotected area	2	2	4
Neighbourhood or hill			
Placeres Hill	1	11	12
Baron Hill	1	9	10
Port neighbourhood and surrounding hills	3	7	10
Alegre Hill	0	2	2
Other neighbourhoods and hills	4	2	6

8.3.2 Participants' Perceptions of Heritage and Their Communities

This subsection presents the results of the analysis regarding what local community leaders and other community members valued from Valparaíso's heritage. The results were developed through their understanding of heritage and what the concept of community meant to them, including the analysis of how they transmitted their values.

Heritage as a broad and conflictive concept

In all focus groups, participants agreed that heritage was a broad and contested concept, covering both tangible and intangible, but emphasised the intangible. Two leaders and one community member highlighted that heritage was a concept that has evolved beyond the architectural approach, referring to what they considered to be heritage in Valparaíso and their communities. The emphasis was placed on how to inhabit the territory, neighbourhood relationships, sense of belonging, daily life practices, their sense of community and the transmission of traditions to the new generations. Twelve people related heritage to being *porteño* (the demonym of Valparaíso) and identified themselves with the concept of heritage. As demonstrated in the quotations below, various participants emphasised the adjective 'our', the nouns 'we' and 'people':

P3 (FG1): *Heritage, more than the architecture, it has to do with the people, that is heritage... Heritage is the people. We are heritage.*

P7 (FG2): *It is the essence of what we are in relation to the environment. And within cultural heritage, we can have things that are tangible or intangible.*

P9 (FG3): *It is a way of inhabiting and coexisting in a territory, which gives us identity, give us roots, a sense of belonging and an essential characteristic of the human being. I think that is where the essence of people is generated, where we recognise ourselves as such.*

P12 (FG3): *For me, cultural heritage is intangible and it is related to the customs that we have... we used to see heritage as 'that there', 'that monument'. But we also can be included as cultural heritage.*

P20 (FG5): *Is everything that we as a community have created and it is a representative part of our community.*

P35 (FG6): *Heritage is what we inherit and, as soon as we live it, we feel we belong.*

A participant from Barón Hill emphasised that Valparaíso and Chile is a '*mestizo*'⁵ or mixed-raced society, so people do not necessarily identify with the same things. However, the participants referred to what they considered to be heritage in Valparaíso and among them several common heritage values were mentioned. Nevertheless, in five out of the six focus groups, the participants discussed conflicts related to heritage management in Valparaíso. In Placeres Hill, participants claimed that their hill was 'invaded' by high-rise buildings and, therefore, their heritage was being lost:

P12 (FG4): *We all 'porteños' used to see the sea from anywhere. The neighbours used to build, but in such a way that you could still look at the sea. But now, given this current disrespectful attitude of real estate, I lost my view to the sea.*

⁵ *Mestizo*: refers to a person of combined European and Native American descent. Currently in Latin America, *mestizo* has become more of a cultural term. The term *mestizaje* is the Spanish word for miscegenation, which is the general process of mixing ancestries.

P14 (FG4): *It happens to everyone. More and more our visibility is covered.*

P17 (FG4): *And now we cannot see anything!*

P18 (FG4): *We see just the high-rise buildings!*

P16 (FG4): *These high-rise buildings are transforming our traditions and the values we want to protect... is a way of living that is not in agreement with our traditions.*

The attributes of Valparaíso's urban landscape and the conflicts related to high-rise buildings were also discussed in the focus groups with community leaders from Barón, Placeres and Esperanza Hills:

P8 (FG3): *Here, urbanisation was done in a natural way, it was not planned but appreciating the geography.*

P9 (FG3): *And it was a respectful way of building. For example, when someone built a house... we tried to bother as little as possible... I never thought to see those high-rise buildings in the hills. They murdered the hills. I feel completely invaded!*

Community members (31 people) agreed that urban conflicts were related to the power of the politicians and real estate. In two out of the three focus groups with community leaders, it was discussed that the interests of these elites triggered the urban conflicts. They related urban conflicts to the accelerated loss of their traditional ways of life and shared values in neighbourhoods. Moreover, it was emphasised that the increasing materialism of the society triggered these conflicts and that the losses were reflected in the deterioration of the urban fabric.

Heritage communities and place attachment

Focus group participants expressed the significance of the landscape of the hills and claimed that communities were recognised by their shared cultural values and place attachment. In two out of the three focus groups with community leaders, the participants agreed that the hills of Valparaíso could be understood as being 'heritage communities', which were recognisable by their attachment, common past and significant relationships. Additionally, generation after generation they continue to reproduce the same traditions, customs and festivals. Heritage communities emerged from the union of families and the socialisation between neighbours. Valparaíso's hills have significant places of sociability, so heritage communities emerged from these places (see Chapter 4). Community leaders from Barón and Placeres Hills highlighted that heritage communities transmitted the history of the city of Valparaíso and the value of their shared urban landscape.

P9 (FG3): *I think that each hill is a heritage community.*

P8 (FG3): *The idea of heritage community that comes to my mind is that the landscape is always present, because it is something that is common to everyone and we value it.*

P1 (FG1): *My neighbourhood is a heritage community, my neighbourhood and my hill. That is heritage... When people take their tables and their wines to the streets, that is a heritage community!*

For all community members (31 participants), the scale of their heritage communities was enclosed to their neighbourhood associations. According to one participant from Port neighbourhood, heritage communities activated public spaces and their urban landscape with positive practices:

P11 (FG4): *We are a community. Here [in the Neighbourhood Association of Placeres Hill, Cincel], we have the Senior Adult Group. And we are also a heritage community.*

P10 (FG4): *We are a small community, but we belong to a broader community. For example, the community of Cincel includes the neighbourhood board.*

P30 (FG5): *Heritage community for me is our community, that lives in this place and that generation after generation continue replicating the same traditions, the same customs, the same parties, the same dances. We have close relationships and we are able to magnify the public space and the historic buildings that exist in our community... The enjoyment and the joint enjoyment of our spaces is very characteristic.*

P39 (FG6): *Having clear our heritage, the community would be the neighbours who are part and feel identified with those significant things that happened and happen here. For some reason something attracted us and that is why we stayed here in the hill.*

Port neighbourhood participants (10 people) agreed that their heritage community was created from the occupation of public spaces. Community members agreed that their heritage communities emerged from the dialogue and casual meetings held on public stairs and squares. However, four of the oldest participants from Placeres, Barón and Port neighbourhood indicated that the relationship with their neighbours was stronger during the first half of the twentieth century. They emphasised that Valparaíso had several collective housing projects, as '*conventillos*',⁶ in which there were stronger human relationships. Participants from different focus groups mentioned other heritage communities such as the folk artists that play and dance *cueca chora* (*cuequeros*)⁷ and the traditional fishermen's festival.⁸

In the focus groups with community members, they claimed that they struggled with losing their heritage community. They argued that they were trying to maintain their relationships by organising activities and parties to enjoy their public spaces. Seven participants from different focus groups defined themselves as being responsible for transmitting their customs. Likewise, the role of neighbourhood associations in maintaining heritage communities was emphasised:

P16 (FG4): *Our heritage is rejected by that farce of materialism... Now the families are disintegrated, the transmission of values from our parents is not perceived. So, our heritage is greatly falling apart.*

P22 (FG5): *Neighbourhood associations are the pillar and sustenance for many people in Port neighbourhood... I see that as the living heritage of the people which generated community. But, unfortunately, given that the arrival of modernity, it has been weakening.*

P32 (FG6): *Local expressions of resistance have to do with rescuing that cultural heritage that we feel is being lost... But the challenge, I believe, is that... the communities have to be organised, but from public spaces.*

⁶ *Conventillos*: refers to collective housing, in which a family or a group of single men rented rooms. Services (e.g., dining room and bathrooms) used to be common for all tenants.

⁷ *Cueca chora*: refers to a kind of Chilean folk dance from the marginal urban areas of Valparaíso.

⁸ The most important one is the '*Fiesta de San Pedro y San Pablo*', which is celebrated by the traditional fisherfolk every first of July during the Catholic celebration of San Peter and Sant Paul.

A participant from Port neighbourhood questioned the concept of heritage community during the discussion with other participants. It was concluded that not all communities were necessarily heritage communities because some social groups did not have shared cultural values or a common history. To exemplify this, a participant referred to the increasing constructions of high-rise buildings in Placeres Hill and the so-called communities of these buildings:

P22 (FG5): *I used to live in Placeres Hill and there is a huge problem because of real estate. I have friends who live in those buildings and they are not a community. People do not even say hello... Those 'towers' [or high-rise buildings] in Valparaíso precisely demolishing communities.*

The community members from Baron Hill also discussed the differences between communities and heritage communities. Within this focus group, participants agreed that some communities were functional, and they organised for a specific purpose. One participant argued that some groups were called communities but were not real communities. They used a typical Chilean Spanish expression, 'If I have seen you, I do not remember' ('*Si te he visto, no me acuerdo*'), which means they do not care or are ignoring you:

P36 (FG6): *What unites a heritage community are essential values. So, heritage communities are different from other associations that are more and more specific. They join for a particular objective, but then 'if I have seen you, I do not remember'.*

Placeres Hill participants agreed (9 people) that those who lived in the high-rise buildings were 'anti-community':

P10 (FG4): *They are anti-community... They are not a community for us. Those buildings are inhabited, but they do not share with us and not even among themselves.*

Moderator (FG4): *That is interesting. Do you believe that too?*

P15 (FG4): *Yes, it is like that.*

P13 (FG4): *I totally agree.*

(All participants indicated that they agree).

A community leader from Esperanza Hill highlighted that the CRP could prevent the invasion of real estate high-rise buildings and protect the natural landscape of Valparaíso

P1 (FG1): *It is important to have a global vision... Valparaíso is an environment with very different people. It is an example of an integrated city that respects its environment. If you go to the ravines and you will find streams and waterfalls. In which modern city you can find a waterfall?*

To summarise, the participants demonstrated a strong attachment to place. The most significant elements of the urban landscape for them were the hills and the view of the sea. For community leaders, the hills of Valparaíso were recognised as heritage communities, whereas for other participants their neighbourhoods were heritage communities. Additionally, community members agreed that high-rise buildings were not representative of their values. Indeed, high-rise buildings were opposed to their communities' values. Therefore, high-rise buildings were tangible elements that were considered to be a threat to the landscape values of Valparaíso's urban heritage.

The paradox between heritage values and urban poverty

Place attachment and close human relationships were significant values that were recognised by focus groups participants. However, urban deterioration and poverty have resulted in an emergent negative social stigma against areas that hold significant cultural values.

Eleven participants from different hills argued that solidarity and the cultural values of the poor people of Valparaíso was significant. According to one community leader, Valparaíso had famous and respected poets because they were raised in the 'rigour of poverty'. These subaltern communities of Valparaíso were described by using adjectives in Chilean slang, such as '*choro*',⁹ which refers to a low-class person with strong cultural values. According to three community leaders, being a '*choro porteño*' referred to a significant cultural identity that was shaped from the suffering of poverty and from surviving past environmental events:

P8 (FG3): *The idea of 'choreza' [or being choro] is interesting. We cannot be 'carried away'¹⁰ by others, but at the same time, we are supportive. Being choro is having these two poles and we can see it everywhere in Valparaíso.*

In two focus groups, participants stressed the bad reputation of some neighbourhoods because poor and homeless people lived there. Participants of the Port neighbourhood and Barón Hill (13 out of 20 people) emphasised that the inhabitants of those neighbourhoods were stigmatised, but they were willing to recover their prestige through the activation of public spaces. A community leader from Port neighbourhood highlighted that although Echaurren Square was a stigmatised public space, it was the place where the community emerged. Since children and '*curados*'¹¹ (homeless and alcoholic people) interacted in the same place, cultural diversity and respect was at the core of this place. According to the participants, homeless people were considered to be part of the community of Port neighbourhood and they were discriminated by others, such as politicians and tourists. The participants claimed that they welcomed all kind of people and for that reason '*Comedor 421*'¹² and the Salvation Army were in Port neighbourhood. Nevertheless, since restoration projects were transforming old houses into 'boutique hotels', from the participants' views, these projects excluded poor inhabitants because of the increasing gentrification. They also emphasised that the deterioration of the old urban fabric was part of the identity of these landscapes:

P1 (FG1): *In the Port neighbourhood you will find dogs, 'curaditos',¹³ poor people and our smells, which are our heritage smells. That is Valparaíso!*

P9 (FG3): *The neighbourhood may be crap, but it's my crap!*

⁹ *Choro*: in Chilean slang, it usually refers to a person of low social and economic status, who is linked to crime or aggression. It also has the connotation of being loyal, authentic and committed to others.

¹⁰ *Pasar a llevar*: in Chilean slang, to ignore the rights of another person or exceed the hierarchical order.

¹¹ *Curado*: (*cura'o*, *curao*): in Chilean slang, it refers to be drunk or being an alcoholic. It also refers to a typical Chilean character of the homeless alcoholic that drinks boxed wine in the street.

¹² '*Comedor 421*' is a community centre and a collective dining room, which was born as an emergency for those who did not have anything to eat at the beginning of the twentieth century during the decline of the port activity. It is supported by La Matriz Corporation, an NGO linked to the old La Matriz Church in the Port neighbourhood. It is located inside the WHS.

¹³ *Curaditos*: in Chilean slang, it refers to alcoholic people, but with an affective connotation (diminutive of '*curado*').

The growing gentrification of the WHS was discussed in two focus groups as being a threat to community values. One community leader from the Port neighbourhood claimed that it is not possible to have social housing in the WHS:

P2 (FG1): *As a 'porteña' I would like to obtain a 'social house' [subsidised by the state] and I would like to buy an old house [with a subsidy]. But state policies do not support us to buy an old house because there are no subsidies to restore them.*

This revealed the contrast between the diversity of heritage attributes identified by local communities in Valparaíso and their critical perspectives regarding how these were managed by government authorities.

8.3.3 Critical Perspectives on the Management of Valparaíso's Heritage

This subsection presents the perceptions of focus group participants on the management of Valparaíso's heritage, including their views about the WHS nomination, the management of the broader urban heritage and the role of local communities in Valparaíso's heritage management.

Expectations on the WHS nomination

All participants (40 people) stated that there were many expectations from the nomination of Valparaíso's WHS. Community members from Port neighbourhood, Placeres and Barón Hills (27 people) argued that they knew about the WHS application through local media. Additionally, a fireworks show was held in the city to celebrate the WHS nomination:

P29 (FG5): *We were waiting for something to happen and it happened! And we were so happy!*

P32 (FG6): *I think we were all waiting for this to be a recognition to improve the quality of life in the city. We thought that if we are a WHS the city is going to pull up!*

However, participants from Placeres and Barón Hills (21 people) alleged that they had a superficial idea about the nomination, and they did not know what area was going to be defined as WHS. One participant from the WHS mentioned that specific communities knew what the UNESCO application was about:

P25 (FG5): *The authorities did not divulge what the application consisted of.*

P12 (FG4): *I knew when they were applying and that then UNESCO said yes. But I was very disappointed when I knew it was a small piece of the city!... It's a disappointment for me it was not all Valparaíso.*

Moderator (FG4): *And did you know before about the application process? (asking to the rest of the participants)*

P11 (FG4): *Yes.*

P17 (FG4): *We knew through the news.*

Moderator (FG4): *Did you participate in a consultation process?*

P16 (FG4): *No, nothing.*

(All the participants say no)

P12 (FG4): *No, we did not even know where it was.*

Given that the participants perceived UNESCO to be an important international institution, they expected the WHS would bring more investment to the city. However, three community leaders who lived in and near the WHS, did not feel the benefit of being protected by UNESCO. Moreover, a participant from Barón Hill argued that the WHS was not representative of their values because there was a lack of participation during the application:

P2 (FG1): *We do not feel it. What does it mean that we are World Heritage, in practice, beyond the fireworks shows of that day?*

P35 (FG6): *We did not have anything to do with that. About the declaration, I do not feel it.*

Three community leaders and one community member from Port neighbourhood argued that the WHS nomination was positive because it encouraged urban development and tourism. They believed the WHS nomination was an opportunity for the city, but its potential was underestimated:

P6 (FG2): *From the point of view of the tourist, [the UNESCO nomination] is wonderful because everyone comes to know Valparaíso. We have this wonderful nomination that has great potential.*

Conversely, two community leaders and three community members from Port neighbourhood, Barón and Placeres Hills argued that the WHS nomination was negative because the city was split between the WHS and the rest. They pointed out that Alegre and Concepción Hills had more privileges than the rest of the city.

Critical views on the WHS nomination and the broader urban heritage

All participants (40 people) agreed that there was a struggle in the management of the WHS together with the broader urban heritage of Valparaíso. They perceived that there was no articulation between the actors, so individual initiatives and interests were guiding the management. Most participants (39 people) manifested a negative perception of the management of the WHS. Only one participant who lived in the WHS claimed that the nomination was positive because of the increasing public interest:

P29 (FG5): *There was a wonderful interest in Valparaíso! Many people painted and fixed their houses the best they could. I painted my house too... The Service of Housing and Urbanization¹⁴ repaired the streets in my hill... but the funds have been minimal for the elevators.*

However, the rest of the participants expressed a very negative opinion. They argued that although there has been public investment to restore some buildings and public spaces in the WHS, the works have been done in the wrong way:

P25 (FG5): *They started to pave the streets, but the mistake was that they did not keep the cobblestones. All the cobblestones disappeared! And these were heritage!*

¹⁴ SHU is an autonomous institution of the MHU, which is located in each region of Chile (SERVIU: Servicio de Vivienda y Urbanización)

In five out of the six focus groups, participants emphasised the elitist approach in Valparaíso's heritage management and agreed that the management approach conducted by the government was limited because of economic interests. A community leader indicated that the WHS application aimed to renew Valparaíso as a port city, using the concept of 'Barcelonisation'.¹⁵ According to the participants, these decisions were defined by stakeholders from Santiago. They criticised the politicians who were not familiar with local needs:

P8 (FG3): *There is still a very elitist vision in the idea of heritage in Valparaíso.*

P1 (FG1): *I think that the management of heritage was transformed into an economic interest, into a business that is conducted by people from Santiago... they are not from here, they came to do business and to help 'this poor little people'.¹⁶*

P22 (FG5): *Unfortunately, the political class that has arrived in Valparaíso... but they have never climbed a hill here.*

In three out of the six focus groups, it was discussed that private businesses have progressed in Alegre and Concepción Hills since the WHS nomination. Consequently, tourism has increased and a growing gentrification established:

P1 (FG1): *Before this [the WHS nomination], nobody was interested in Valparaíso, as it became fashionable... many subsidies emerged especially focused on Alegre and Concepción Hills.*

P22 (FG5): *Just two hills were embellished, Alegre and Concepción Hills, out of a total of 45... However, those hills do not have much to say about heritage, because no one lives there anymore.*

P8 (FG3): *A big budget goes for the recreation of a past in the Victorian cottages that we all like, but no one lives there anymore.*

P1 (FG1): *Valparaíso was protected by its poverty. Nobody was interested in the city. And because of UNESCO, IDB credits and money from different institutions, it became popular.*

A community leader marked the difference between the 'true heritage' and 'false heritage'.¹⁷ In their opinion, the false heritage of Valparaíso was a fantasy that was created in Alegre and Concepción Hills. The true heritage included authentic local expressions of resistance against real estate and the protection of community values. According to their view, the false heritage emerged from the WHS nomination:

P32 (FG6): *There were fireworks the day of the UNESCO nomination. We all celebrated, but we did not know that behind those fireworks there were several interests and the objective to enclose a piece of Valparaíso and leave all the rest to the market flow. That was to sell Valparaíso and to sell it well!*

Thirty-two participants from different focus groups, most of them from Barón and Placeres Hills, expressed an extremely negative opinion regarding urban heritage management outside the WHS:

¹⁵ According to Gonzalez (2010), 'barcelonisation' refers to urban management model developed in the city of Barcelona, Spain, which is focused on the capacity to attract private investment to commercially impact the urban development.

¹⁶ 'This poor people' referred to the inhabitants of Valparaíso in a sarcastic way.

¹⁷ They use the adjective '*maquetado*', which refers to something that looks like an architectural model.

P35 (FG6): *There are other cities that are heritage as well, but their WHS includes the entire city... But not here in Valparaíso, it is a certain area of the centre, not the rest. For them, we are not heritage.*

P36 (FG6): *Valparaíso's heritage has been manipulated, poorly used, poorly focused and the management has been badly done.*

P37 (FG6): *The management has been terrible, practically non-existent.*

P39 (FG6): *'This management is not innocuous but is directly and systematically the other way around: it is at the service of destroying the true cultural heritage that belongs to all of us!'*

Participants from Barón Hill highlighted that Barón Pier is a historic urban landmark that should be included in the WHS. Further, the historic urban fabric surrounding the pier was not protected and the deterioration of the urban fabric beyond the WHS was becoming worse. They also recalled the former community of railway workers from Barón Hill, who built a Railway Hospital (*Hospital Ferroviario*), which was demolished in 2014 (Ovalle, 2014). For the participants from Barón Hill, this demolition was a loss of significant tangible and intangible heritage:

P10 (FG4): *They are devastating the city through the CRP. For example... the Railway Hospital... was a very nice hospital and it was heritage. It was sold, demolished and now they are building new towers that will block the view of all the people up to the hills.*

The municipality of Valparaíso and the CRP were also criticised. Participants from the focus groups claimed that the objectives of the CRP were not fully aligned with their wished, but to increase real estate speculation. In Barón and Placeres Hills, participants argued that the management of heritage was just focused on the historic centre. Outside the boundaries of the WHS, high-rise buildings continued to grow. Additionally, they expressed concern regarding the project of expansion of the port, Terminal 2 (T2) Project:

P12 (FG4): *Because we are not in the historic centre they are building and demolishing our houses. Here we are losing part of the urban fabric that is a significant heritage.*

P21 (FG5): *The T2 will be the icing on the cake for the complete destruction of our landscape.*

Although the participants displayed different perspectives about the management of Valparaíso's heritage, all of them were critical of how the boundaries of the WHS were defined. The critical views on the management of the broader urban heritage were linked to planning issues. From the HUL approach, the concerns of the participants were related to 'unmanaged changes in urban density and growth' (UNESCO, 2011b, p. 52) that were undermining the urban fabric and the sense of place of communities. Thus, the perspectives of the communities reflected the critical context in which the HUL approach was required to be implemented in Valparaíso.

The role of communities in heritage management

All participants noted that in recent years there has been more recognition of the city's heritage values. However, participants criticised the limited participation they had in the communal planning processes. Community leaders claimed that the organisation of the communities of Valparaíso was outstanding. Some of them believed that, given the passive attitude of public institutions, people

decided to organise themselves. Community members affirmed that they did have a role in Valparaíso's heritage management, despite having been excluded from the formal processes. Community members described how they contributed to their communities, remarking how they transmitted their cultural values:

P38 (FG6): *I am an activist. I try to generate exchange in the praxis of community life. I act to recover common spaces and from a horizontal perspective.*

P31 (FG5): *In all the hills people organise, participate and do activities to show their heritage values. Given the passivity of public institutions, people move and they do interesting things.*

Two community members from Port neighbourhood claimed that sometimes it was difficult to bring together the neighbours and they felt that they were not supported by the authorities. Several participants indicated that in Valparaíso decisions were made 'behind closed doors' and their opinions were not asked for nor respected. Participants from Placeres Hill stated that they would like to be consulted about the decisions made on the development of the urban area they inhabit. Additionally, two participants from Barón Hill indicated that community relationships were held back by mistrust:

P35 (FG6): *Sometimes there is fear because you do not know what can happen to you. Sometimes you talk too much about heritage and they put you on the blacklist.*

P39 (FG6): *'We are a country that has gone through painful situations; therefore, we are consciously or unconsciously fearful.*

Contrasting perspectives were revealed about the available public funding for developing projects of heritage management. At the neighbourhood level, community leaders from Placeres Hill collected photographs and gathered their local history. They applied for the National Fund for Cultural Development and the Arts (NFCDA),¹⁸ but they did not attain the funding. Consequently, they stated that it was not right that the government encouraged competition for developing community heritage and they printed a community book funded from their own resources.

P8 (FG3): *I think is pernicious that cultural heritage is subject to competition based on economic calculation.*

However, in another focus group a community leader that was also a tourist manager considered that heritage should be understood as an economic resource:

P6 (FG2): *For me, considering my work position, it is an opportunity to visualise what are the opportunities that exist as employment niches.*

To conclude, the perceived lack of participation and the lack of resources to manage the broader heritage values of Valparaíso confirmed the critical review developed by the ICOMOS advisory mission in 2013 and the HIA in 2016 (ICOMOS, 2013; Isaza & Andrade, 2016). The perceived lack of governmental support at the neighbourhood level also revealed mistrust regarding the development of Valparaíso, which is an issue to be considered to the implementation of the HUL approach.

¹⁸ Fondo Nacional para el Desarrollo Cultural y las Artes – FONDART.

8.3.4 Mapping Heritage Values from the HUL Approach

The final part of the focus groups included a mapping activity, in which participants located Valparaíso's most significant heritage attributes on a map. To introduce the mapping activity, the participants were asked to discuss the most significant tangible and intangible attributes of Valparaíso and then they were asked to locate these in their maps (see Appendix 4).

Significant tangible and intangible attributes of Valparaíso

As shown in Figure 8.2 and Table 8.5, participants from the six focus groups identified more significant intangible than tangible attributes in Valparaíso. Among significant intangible attributes, 21 participants highlighted their neighbourhood life (*vida de barrio*, in Spanish) and face-to-face interaction among community members. Additionally, 17 participants highlighted the view to the sea, the landscape from the top of the hills, contemplation of the bay from different viewpoints, inhabiting the hills and going up and down the stairs:

P27 (FG5): *We can contemplate the bay, the ships that enter the port, which is a wonderful activity... The hills we have a kind of sacred sites in the heights... that means that to ascend is the way to reach these wonderful views.*

P22 (FG5): *When you get to the top of the hill you have that feeling of beating life.*

The urban environment of Valparaíso was also highlighted, including mysterious public spaces, the night environment, lights, colours, typical characters, the smell of fried fish, protests, sunsets and street musicians. The port identity thorough the demonym *porteño* was mentioned by 10 participants, which was related to place attachment, the identification with port and the sea and leading a simple and bohemian lifestyle. The *porteño* culture involves a strong personality and a local slang linked to the port culture, with phrases such as 'you came and put the bow'.¹⁹ Three community leaders in one focus group argued that the *porteño* does not like to leave Valparaíso, because they felt sheltered and protected in their city:

P6 (FG2): *The 'porteño' is conflictive, he has an opinion, he is 'choro', he is a fighter. Women are brave and strong. For example, I have seen women in a trolley with their bag and their baby and if you say, 'can I help you?', they say 'no, no, I can do it by myself'. That is 'choreza'. In Viña, Con-Con, Reñaca²⁰ you do not find that attitude.*

¹⁹ Bow is the forward part of the hull of a ship or boat. According to Arancibia (1967), 'to put the bow' (*poner la proa*) in Valparaíso means opposing to what is said or attempted.

²⁰ Viña, Con-Con and Reñaca are other communes from the metropolitan area of Valparaíso. Compared to the communes of Valparaíso, more high people live in these other communes.

Figure 8.2. Percentage of how focus group participants perceived heritage attributes in Valparaíso

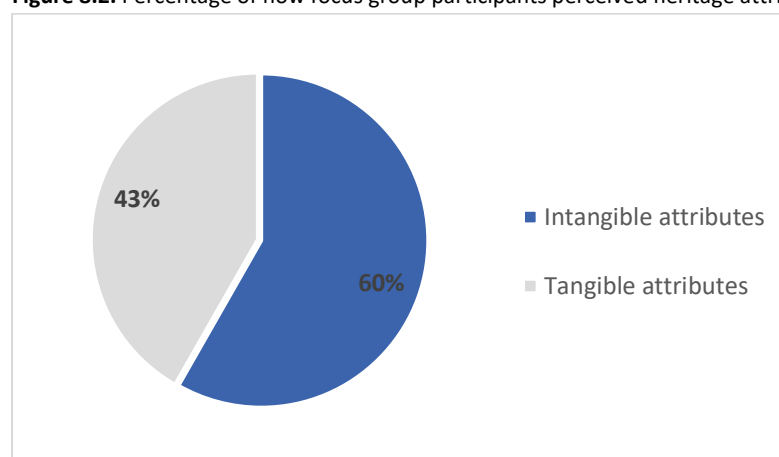


Table 8.5. Tangible and intangible attributes of Valparaíso's heritage as perceived by focus group participants

Tangible attributes	Number of participants (40 total)
Architectural diversity	9
Elevators and viewpoints	8
Self-built houses	8
Hills and the amphitheatre	7
Urban fabric	7
Architecture of palaces	4
Intangible attributes	
Neighbourhood life	21
View to the sea from the hills	17
Port identity (<i>porteño</i>)	10
Folklore	8
Cultural diversity	4

The significance of local folklore was highlighted by eight participants, who mentioned the traditional dance '*cueca chora*', the typical alcoholic drink known as '*curaos*' and festivities like 'San Peter and San Paul'. Other traditions were mentioned, such as using the traditional means of public transport of the trolleybus. Four participants noted that the arrival of immigrants created a multicultural diversity of communities, which was reflected in the traditional local trade.

Among the tangible attributes, nine participants highlighted the stylistic and eclectic diversity of the architecture of the city, self-built constructions, the mixture of contemporary and ancient houses and the hanging houses known as 'cluster houses' or 'crowded houses'.²¹ Eight participants highlighted the importance of the elevators or funiculars and the viewpoints and how public spaces, such as stairs and paths, have been adapted to the slopes:

P22 (FG5): *The way we build is our tangible heritage. A 'santiaguino' [people from Santiago] cannot come here and tell us, 'hey, you have to build the house in this way', because we know and have lived here our whole life.*

²¹ Typologies of hanging houses in Valparaíso: '*Casas racimo*': cluster houses/'*Casas apiñandas*': crowded houses.

Seven participants highlighted that the most significant tangible attributes of Valparaíso were the hills and the ‘amphitheatre’. The significance of the bay, the steep slopes, the irregular urban fabric, the low height and the continuous facades of the buildings were also emphasised:

P39 (FG6): *We have an amphitheatre, privileged geography... Valparaíso itself is a monument.*

P9 (FG3): *The city is special because of its amphitheatre character, which does not exist in other cities.*

Additionally, five participants from Placeres, Barón and Esperanza Hills highlighted the natural environment, the microclimate of the ravines and the countryside landscape with farm animals and traditional fruits such as ‘alcayotas’.²²

P8 (FG3): *Cabritería and Phillipi Ravines, are called biological corridors and for me are the two most beautiful places in Valparaíso... beyond that they are damaged by rubbish.*

Five participants mentioned the significance of the monuments of the WHS, including the architecture of the palaces and the marble staircases. Most of the participants that highlighted monumental values (three out of five people) were community leaders from the Port neighbourhood.

Locating Valparaíso’s significant heritage attributes from the HUL approach on a map

After discussing the significant attributes of Valparaíso, the participants were asked to locate these on their maps. As described in Chapter 5, a matrix was designed to analyse the maps and to categorise the significant attributes using the HUL approach: ‘beyond historic centre or ensemble’, ‘broader geographical setting’, ‘tangible and intangible attributes’, ‘natural features’, ‘space and time’, ‘dynamic nature’, ‘historic layering’ and ‘shaped by generations—from local communities’ (UNESCO, 2011b, p. 52). The overlay of the sketch maps and the texts written by the participants revealed that they identified a wide range of significant attributes in Valparaíso. As shown in Table 8.8, the HUL attributes ‘beyond historic centre or ensemble’, ‘broader geographical setting’, ‘tangible and intangible’ and ‘natural features’ were identified on the maps as drawings and words (as legends on the map). Additionally, the HUL attributes ‘space and time’, ‘dynamic nature’, ‘historic layering’, ‘shaped by generations—from local communities’ were documented in the maps as written notes (phrases and paragraphs). These written notes were mostly written by community members from Port neighbourhood and Barón Hill, which are synthesised through quotations presented in Table 8.6.

²² It is a typical fruit from the central zone of Chile. It has many common names in English such as the fig-leaf gourd, Malabar gourd, black seed squash and cider.

Table 8.6. Synthesis of Valparaíso's significant attributes from the HUL approach identified in the mapping activity

HUL approach attributes	Valparaíso's significant attributes from the HUL approach
Beyond historic centre or ensemble	Port neighbourhood, Barón Hill, Placeres Hill, Esperanza Hill, Santo Domingo Hill, Cordillera Hill, Toro Hill, area of El Almendral, street market, Argentina and Alemania Avenues, submarine heritage, Universities Neighbourhood, market area, plain area
Broader geographical setting	Sea, coastal border, ravines, hills, fishing coves Portales y El Membrillo
Tangible and intangible attributes	Tangible: San Francisco Church (Convent), La Matriz Church, Elevators, Victoria Square, Turri Clock, heritage buildings of Prat Street, museums, theatres, submarine heritage
	Intangible: Views, viewpoints, <i>porteños</i> identity, festivities (May 21 parade), local economic activities (small-scale fisheries)
Natural features	Sea, ravines (' <i>biological corridors</i> '), Cabritería and Phillipi Ravines, stray dogs (' <i>porteños dogs</i> ')
Space and time	P23 (FG5): ' <i>Porteña night</i> ' P27 (FG5): ' <i>View between the neighbourhoods</i> '
Dynamic nature	P38 (FG6): ' <i>Joy and spontaneity of the inhabitants</i> ' P28 (FG5): ' <i>Multiculturalism</i> '
Historic layering	P22 (FG5): ' <i>Where the history of Valparaíso is born</i> ' P39 (FG6): ' <i>Significant elements of the history of the city</i> '
Shaped by generations - from local communities	P8 (FG3): ' <i>The sacrifice to inhabit the slope</i> ' P38 (FG6): ' <i>Joy and spontaneity of the inhabitants. Horizontal solidarity</i> ' P22 (FG5): ' <i>Family origin, social places</i> '

The most frequently identified attributes on the maps were the sea, the views from the hills, the sea border and the hills (see Figures 8.3 and 8.4).

Figure 8.3. Sketch map drawn by a participant, which highlights the sea and different urban areas of Valparaíso

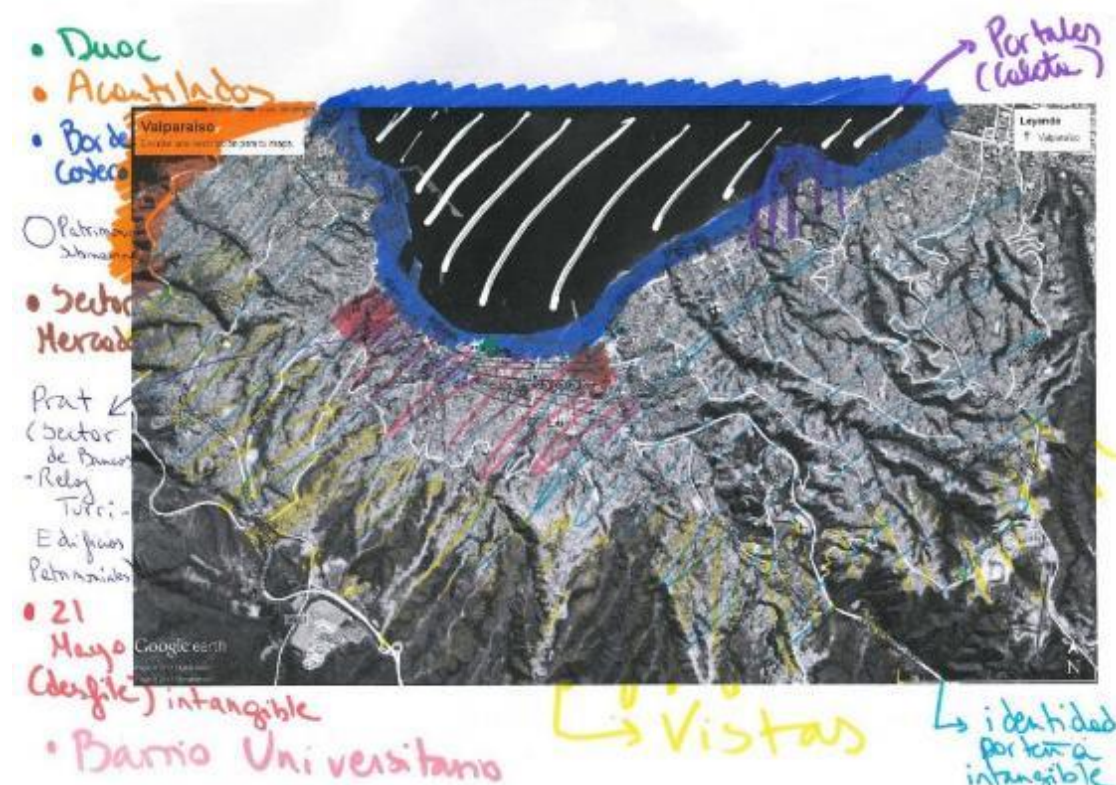
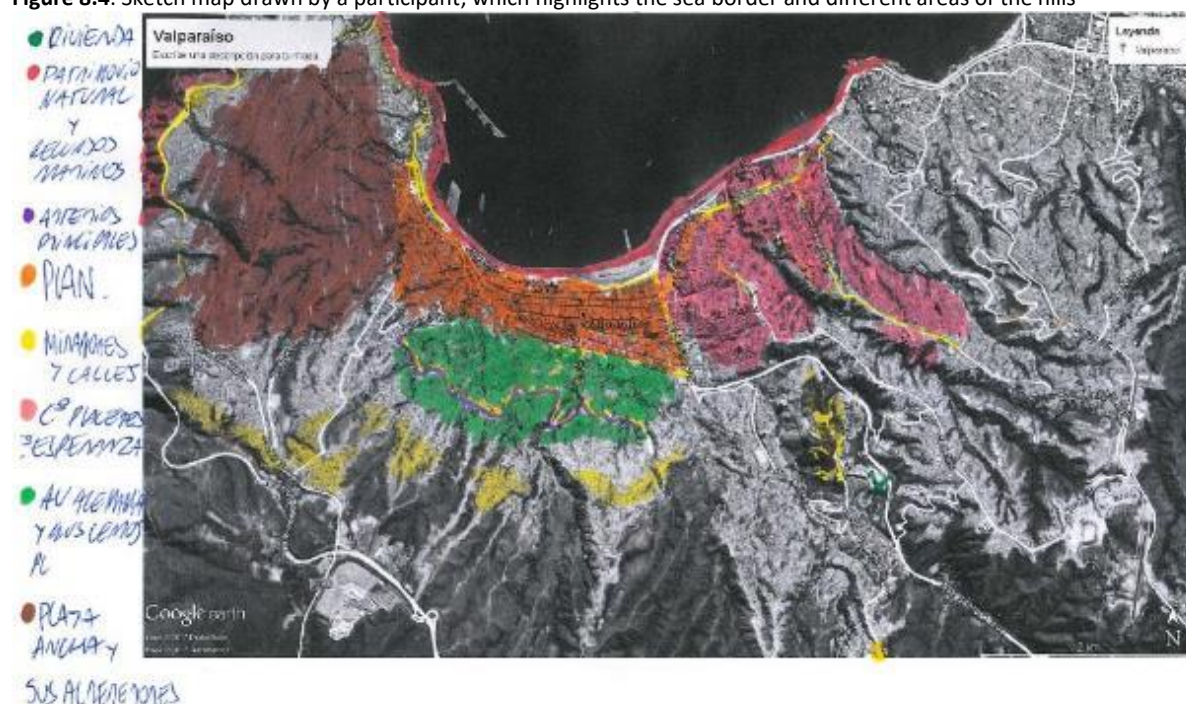


Figure 8.4. Sketch map drawn by a participant, which highlights the sea border and different areas of the hills



Twenty-eight participants marked a large urban area beyond the historic centre, which included the broader geographical setting (see Table 8.7). Ten participants did not draw on the map (they just wrote their names on the back of the map) and two participants marked a small area surrounding their houses, significant buildings and public spaces. Figures 8.3, 8.4 and 8.5 present examples of the 28 maps drawn by participants. Additionally, 30 participants drew and wrote notes describing tangible and intangible significant attributes of Valparaíso's heritage. Twenty-three participants drew or wrote notes describing natural features, such as the sea border, the bay and the ravines. Additionally, 15 participants wrote notes describing significant intangible attributes shaped by generations and 13 participants described significant attributes related to space and time, the dynamic nature and the historic layering of urban heritage.

Table 8.7. Quantification of the significant attributes from the HUL approach identified in the mapping activity

Identified codes from the HUL approach	Frequency (40 total)	Examples
Tangible and intangible attributes	30	La Matriz Church, elevators, 'the views', 'porteños identity'
Beyond historic centre	28	Barón Hill, Placeres Hill
Broader geographical setting	28	Coastal border, hills
Natural features	23	Sea, ravines
Shaped by generations	15	'The sacrifice to inhabit the slope', 'Family origin, social places'
Space and time	13	'Porteña night'
Dynamic nature	13	'Joy and spontaneity of the inhabitants', 'Multiculturalism'
Historic layering	13	'Significant elements of the history of the city'

The participants who marked a large urban area in the map wrote notes indicating that the whole city or the ‘amphitheatre’ of Valparaíso were heritage. One of these maps is presented in Figure 8.5.

P8 (FG3): *The landscape of the city as a whole.*

P20 (FG5): *I would have to mark the whole map.*

P39 (FG6): *The natural amphitheatre of the city.*

According to the participants, the boundaries of the WHS should be extended to the HCZ. This broader heritage area identified through the mapping activity supports the idea that emerged in the focus groups discussions.

P12 (FG4): *The whole city of Valparaíso should be declared WHS.*

P1 (FG1): *I believe that, in the long-term, as long as it is considered as heritage, not only the material but also the immaterial and the way of life, it can be a great contribution that the whole amphitheatre is a heritage. Let the entire amphitheatre be a WHS!’*

Figure 8.5. Sketch map drawn by a participant, which indicated that the whole urban area should be protected as WHS

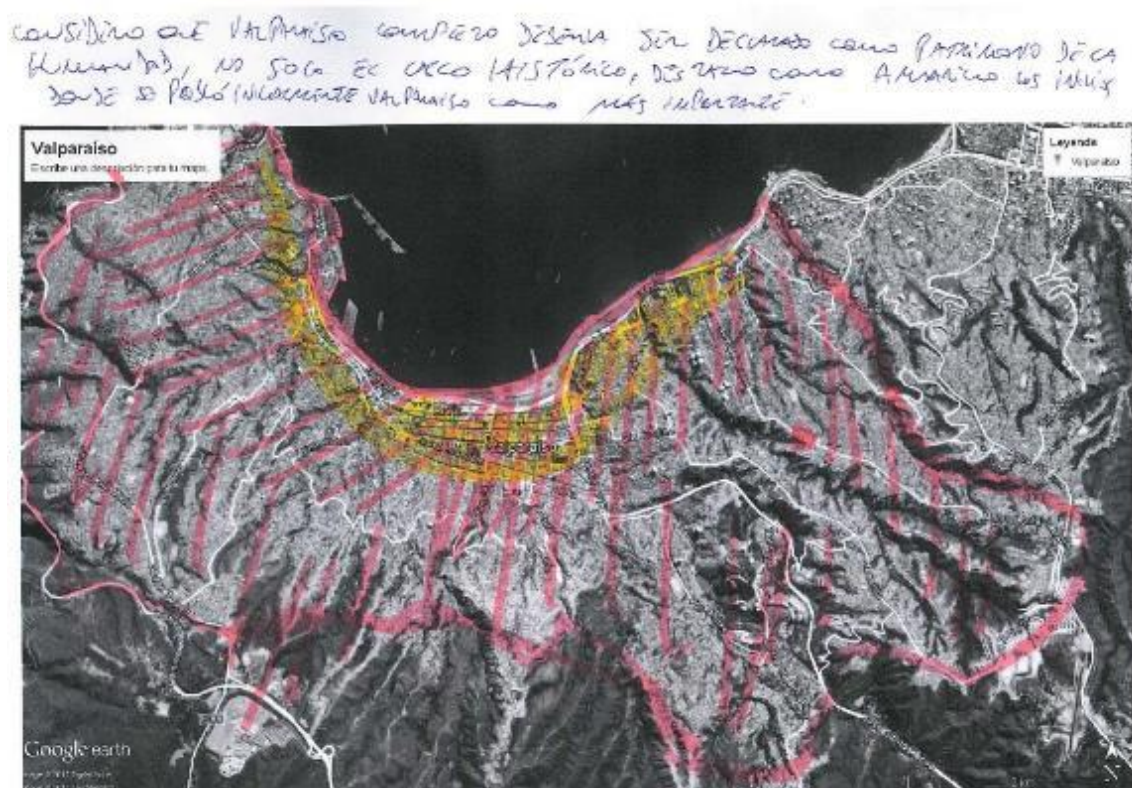


Figure 8.6 illustrates the sketch maps overlaid and the notes written by the focus group participants.

The next section presents the barriers to the implementation of the HUL Recommendation in consideration of the results of the focus groups.

[illegible]

8.3.5 Barriers to the Implementation of the HUL Recommendation Considering the Perspectives of Local Communities in Valparaíso

Conflicting interests in Valparaíso's heritage management

Most focus group participants related heritage management with urban conflicts and social exclusion in Valparaíso. There was disagreement between the current approach of Valparaíso's urban development and the cultural and landscape attributes claimed by local communities. However, dialogue and involvement are important issues for the development of 'civic engagement tools' from the HUL Recommendation (UNESCO, 2011b). The conflict was particularly revealed in the perceived discrimination and stigma of some areas, such as the Port neighbourhood because poor and homeless people live there. Nevertheless, the participants from Port neighbourhood claimed that stigmatised people were part of their heritage community. It was also emphasised that heritage communities were linked to local trade, which highlighted the significance of the port market and small typical restaurants (*cocinerías*) with affordable prices not for tourists, but for the people who live there. Additionally, participants criticised governmental authorities from Santiago and local communities felt excluded from the decision-making processes. The lack of dialogue between stakeholders at the national level and local communities is important given that engagement and participation are issues for developing civic engagement tools proposed by the HUL Recommendation.

Weak planning tools and regulatory systems

The focus group participants argued that the commune of Valparaíso lacked strong planning tools and regulatory systems. According to their views, two neighbourhoods of the WHS (Alegre and Concepción Hills) had been protected by the CRP and received public and private investment to improve the quality of public spaces. In contrast, the rest of the city has been exposed to uncontrolled real estate development without appropriate planning tools. From the HUL Recommendation, 'regulatory systems' should comprise norms for managing the tangible and intangible attributes beyond the boundaries of the historic centre (UNESCO, 2011b). Nevertheless, the increasing expansion of high-rise buildings outside the WHS have damaged significant landscape attributes in Valparaíso. Therefore, several participants claimed that the CRP aimed to increase real estate speculation, which contradicts their community values. From the HUL approach, the communal regulatory system of the CRP in Valparaíso should be reinforced as required.

The WHS is not representative of communities' values

Three community leaders from Port neighbourhood and its surrounding hills claimed that the boundaries and the management approach for protecting the WHS was not representative of their communities' values. They highlighted that the WHS nomination was conducted without citizen participation and that the protected area was not fully representative of the broader heritage attributes they identified during the mapping activity. Nevertheless, the WHS nomination file indicated that the Government of Chile promoted the application with a 'consensus stretching beyond the government sphere' (UNESCO, 2003d, p. 46). The nomination file also affirmed that 'Valparaíso has been the subject of a collective reflection and debate about its essential character,

its values and its future. This resulted in a permanent public discussion regarding the role of the historic values and development' (UNESCO, 2003d, p. 46). The nomination file did not explain how this participation was conducted, but its annex included news articles that were published by local newspapers relating to the WHS nomination process. Another critical issue was that only three neighbourhood associations (from Alegre, Concepción and Cordillera Hills) were active or operating during the WHS application, according to the nomination file (UNESCO, 2003d). The neighbourhood association from Port neighbourhood was not active during the WHS application, which explains why the participants perceived that they were excluded from the WHS nomination process.

8.3.6 Facilitators to the Implementation of the HUL Recommendation Considering Local Heritage Communities in Valparaíso

Emphasis on landscape values, beyond the historic centre

The focus group participants displayed a broad approach to heritage, highlighting the landscape values of the 'amphitheatre' of the city of Valparaíso. They considered that Valparaíso's urban heritage included both tangible and intangible attributes but emphasised the intangible. Their views were aligned with the HUL approach, which revealed a historic layering of values beyond the historic centre and comprising its geographical setting (UNESCO, 2011b). This is important to consider, given that the 2013 advisory mission mentioned the HUL approach to broaden the approach and consider the landscape values of the city (ICOMOS, 2013). Additionally, the communities mentioned the significance of the Barón Pier, which was one of the heritage places that was not included in the WHS but is part of Valparaíso's cultural landscape, according to the advisory mission (ICOMOS, 2013). Therefore, the recommendation of the advisory mission was aligned with the values of communities because it recommended that the Barón Pier and other significant urban areas were integrated into the management structure because they were part of the OUV.

Shared cultural and community values

The focus group participants revealed that they shared cultural and community values and they expressed a strong place attachment. Most participants agreed that their role in the management of urban heritage emerged from their communities. They emphasised that for them it was necessary to create trust because all people have valuable knowledge. This was a facilitator to the implementation of the HUL approach because during the process of creating 'civic engagement tools' an important issue was to encourage communities to identify key values in their urban areas (UNESCO, 2011b). The views expressed in the focus groups were also a contribution to the 'knowledge tools' recommended by the HUL approach, which included the documentation and mapping of cultural values.

Enthusiasm for a participative planning approach

Although most focus group participants argued that they did not feel included in the decision-making process, they displayed a strong enthusiasm to participate. They claimed that they would like their opinions to be considered and they displayed a strong commitment to their communities and Valparaíso's heritage. From the HUL Recommendation, the implementation of 'civic engagement tools' are essential to develop visions that reflect the diversity of values, agree upon actions to manage

heritage and to learn from local communities (UNESCO, 2011b). Moreover, it is promoted to ‘learning from communities about their histories, traditions, values, needs and aspirations and by facilitating mediation and negotiation between groups with conflicting interests’ (UNESCO, 2011b, p. 53). Therefore, conducting focus groups with communities contributes to develop civic engagement tools from the HUL approach. Table 8.8 presents a synthesis of the barriers and facilitators to the implementation of the HUL approach in Valparaíso from the analysis of the focus groups.

Table 8.8. Synthesis of the barriers and facilitators to the implementation of the HUL approach in Valparaíso

Implementation of the HUL	Community leaders and other community members
Barriers	Conflicting interests in Valparaíso’s heritage management
	Weak planning tools and regulatory systems
	The WHS is not representative of their communities’ values
Facilitators	Emphasis on landscape values, beyond the historic centre
	Shared cultural and community values
	Enthusiasm for a participative planning approach

8.4 Conclusions

The results of the focus groups revealed that community leaders and other community members strongly valued the landscape attributes of the city of Valparaíso’s and their communities. From the results of the focus groups and the participatory mapping activity, it can be concluded that the participants approaches to heritage were aligned with the HUL approach. Communities’ heritage values involve an ‘urban area understood as the result of a historic layering of cultural and natural values and attributes, extending beyond the notion of “historic centre” or “ensemble” to include the broader urban context and its geographical setting’ (UNESCO, 2011b, p. 52). According to participants, the urban area that comprises this broader significant landscape values was similar to the HCZ defined in the CRP. In this context, three community leaders and one community member explicitly proposed that the WHS be extended to the HCZ of Valparaíso.

Most participants highlighted more intangible than tangible significant attributes of Valparaíso’s heritage, which were related to their neighbourhood life (*vida de barrio*). Participants manifested a strong place attachment, shared community values and recognised the significance of the landscape attributes of the city. However, they expressed a critical perception of the management of these values and attributes. Participants agreed that the management approach in Valparaíso was limited to economic interests and they related Valparaíso’s heritage management to urban conflicts and social discrimination. This is a barrier to the implementation of the HUL approach in Valparaíso because it is essential to include a diversity of values from the broader heritage of the city in the decision-making process. Moreover, the WHS nomination and its boundaries were not representative of the participants’ values, given that the process was perceived as having developed without the proper

participation of local communities. This reveals how heritage policies and identities are linked with the symbolic representation of the built environment (Parkinson et al, 2016).

Beyond the perceived conflict of interests in Valparaíso's heritage management, the results also revealed facilitators to the implementation of the HUL Recommendation. The emphasis on landscape values, beyond the historic centre, the strong community values and the enthusiasm for a participatory planning approach were the most important facilitators. Additionally, given that the participants perceived that planning tools and regulatory systems were weak, this reflected that they were aware of the 'rapid and frequently uncontrolled development is transforming urban areas and their settings, which may cause fragmentation and deterioration to urban heritage with deep impacts on community values' (UNESCO, 2011c, p. 50). Additionally, according to the results of the mapping activity, the participants agreed that 'the application of a landscape approach would help maintain urban identity' (UNESCO, 2011c, p. 50), which was stated by the HUL Recommendation.

Finally, it is important to consider that a research limitation of the focus groups was that the 40 participants were representative of their local heritage communities, but their opinions were not necessarily representative of the 295,918 inhabitants of the urban area of the commune of Valparaíso (NIS, 2017). These participants felt motivated enough to come to the focus groups, so the sample was not focused on recruiting people that were not interested in the topic. Further research would be necessary to comprehend the values of other inhabitants of the urban area of Valparaíso using the HUL approach as a framework of analysis.

Chapter 9 brings together and critically discusses the results of the policy analysis, interviews with key stakeholders and focus groups with local communities.

Chapter 9. Triangulation and Critical Discussion of Valparaíso and the HUL Recommendation

This chapter addresses the research questions and discusses the results of analyses presented in the thesis. Triangulation of the results presented in Chapters 6, 7 and 8 was conducted. The barriers and facilitators to potentially implement the HUL approach in Valparaíso revealed multiple issues related to the approach to heritage management, the boundaries of the WHS, Valparaíso's landscape values, the policy framework, legislation and planning tools. From the triangulation of results, management of the landscape values of urban heritage in Valparaíso from the HUL approach is examined. The lessons learned from the Valparaíso case study are organised through consideration of the attributes considered beyond historic centre, the need to redefine the boundaries of the WHS, the alignment of policies and the legislative framework and comprising the diversity of values that are manifested by stakeholders and communities.

Beyond the Valparaíso case study, critical issues concerning the HUL Recommendation arose from the results. Therefore, implications of the differences between the Anglophone and Hispanophone versions of the HUL Recommendation are discussed in the light of its potential implementation in other Latin–American cities. The relationships between the approach proposed by the HUL Recommendation and UNESCO's cultural landscapes category is also examined. Finally, a discussion about whether the HUL approach is representative of an AHD and the implications of learning from communities for this approach to be implemented in other cities.

9.1 Triangulation of Results: Key Findings

As described in Chapter 5, triangulation was used to examine the results of the mixed research methods applied in this study. The barriers and facilitators to the implementation of the HUL approach in Valparaíso were revealed from triangulating the results of the analyses of policies, the interviews and the focus groups. Table 9.1 illustrates a synthesis of the triangulation of the barriers and facilitators to the implementation of the HUL approach in Valparaíso.

Table 9.1. Triangulation of the barriers and facilitators to the implementation of the HUL approach in Valparaíso from the results of the analysis of policies, interviews and focus groups

Implementation of the HUL	Policy analysis				Interviews analysis			Focus groups analysis
	Supranational policies	National policies	National laws	Communal plans	National level	Regional level	Communal level	Local communities
Barriers	The WHS is limited to the 'historic centre'	National policies are not considered as a formal framework for current legislative and regulatory measures	Gaps and missing key terms of the HUL approach in both national laws	Absence of a proper management plan for Valparaíso's urban and landscape heritage	No consensus about what heritage is			Conflicting understanding of heritage and its management
								Conflicts with real estate development and the current communal instruments
					Conflicts between the Law of Monuments and the communal plans	Different technical biases of heritage conservation at the regional level	The WHS nomination is not fully aligned with stakeholders' views at the communal level	The WHS is not representative of community's values
Facilitators	The WHS nomination file mentions wider scale attributes as part of the OUV	National policies develop visions from the HUL approach	The Regulation of TZ includes the environmental character of urban areas	Consideration of the landscape and the HUL in the Communal Regulatory Plan	Agreement on the value of Valparaíso's landscape attributes			Emphasis on the landscape values, beyond the historic centre
								Shared cultural and community values
					HUL Recommendation as an ideal approach			Enthusiasm for a participative planning approach
Contradictory approaches to urban heritage management								
Dissociation between the boundaries of the WHS and the OUV								
Inconsistent policy frameworks, legislation and regulations								
Consideration of the approach proposed by the HUL Recommendation								
Agreement on the significance of the landscape values								

Contradictory approaches to urban heritage management

The results of the policy evaluation (see Chapter 6) revealed that although national policies were consistent with the HUL approach, these were not considered to be a formal framework in the legislation and planning tools related to heritage management in Valparaíso. For example, The Law of Monuments promotes a monumental approach to heritage, without consideration of intangible heritage and planning tools in Valparaíso are focused on defining norms for protecting buildings and ensembles. Additionally, the results of the interviews (see Chapter 7) revealed that no consensus has been reached regarding what heritage is among key stakeholders at different levels of governance. Stakeholders at the national level displayed a top-down approach to heritage management, whereas at the communal level, stakeholders manifested a bottom-up approach, which emphasised the importance of local communities in the decision-making. Moreover, the focus groups (see Chapter 8) revealed that communities perceived Valparaíso's heritage in relation to urban conflicts and that private interests have largely influenced the management of the WHS. Therefore, the triangulation of the results revealed that the Valparaíso case study exposed contradictory approaches to urban heritage and its management.

Dissociation between the boundaries of the WHS and the OUV

As mentioned in Chapter 4, the ICOMOS 2013 advisory mission recommended the HUL approach in Valparaíso to broaden the management approach and consider the landscape values of the city (ICOMOS, 2013). The policy analysis (see Chapter 6) revealed that although the WHS nomination file mentioned broader scale attributes as part of Valparaíso's OUV, the boundaries of the site were limited to the 'historic centre'. Additionally, the boundaries of the WHS were not aligned with stakeholders' views at the communal level and were not representative of community values according to the focus group discussions (see Chapters 7 and 8). Consequently, the triangulation of the results reflected a dissociation between the boundaries of the WHS, the statement of OUV and the heritage values perceived by stakeholders and local communities.

Inconsistent policy frameworks, legislation and regulations

The results of the policy evaluation (see Chapter 6) reflected several inconsistencies among national policies, legislation and regulations related to heritage conservation and urban planning. These inconsistencies were perceived to be conflicts in the management of the WHS and the broader urban heritage from both key stakeholders and local communities (see Chapters 7 and 8). As the national policies developed visions that were not considered in the national legislation, these were not applied into the management tool used by stakeholders. Additionally, the results of the focus groups exposed conflicts with the CRP, given the absence of a proper management plan for Valparaíso's urban heritage. Therefore, the inconsistencies among policies, legislation and regulations were expressed through conflicts in the management of Valparaíso's urban heritage. As perceived by communities, these inconsistencies and conflicts were clearly reflected in the permissive development of high-rise buildings outside the boundaries of the WHS.

Optimistic but unclear consideration of the approach proposed by the HUL Recommendation

The principles defined by the National Policies of Culture and Urban Development were consistent with the HUL approach (see Chapter 6). Additionally, the HUL Recommendation was mentioned as part of the principles of the partial modification of the CRP conducted in 2010 at the communal level. However, the CRP was limited to defining the shape of buildings, so the HUL approach was not fully comprehended in this communal plan. Additionally, from the stakeholder's opinions (see Chapter 7) the HUL Recommendation was considered to be an ideal approach to manage Valparaíso's urban heritage. However, understanding of the HUL Recommendation is unclear among key stakeholders because they provided different interpretations of its approach. Therefore, for the implementation of the HUL Recommendation in Valparaíso, the development of knowledge tools should be focused on decision-makers. This is also important for the alignment of approaches to urban heritage management at different levels of governance.

Agreement on the significance of the landscape values of Valparaíso's urban heritage

Beyond the contradictions, dissociations and inconsistencies, the results revealed that there was agreement on the significance of the landscape values of Valparaíso's urban heritage. The results of the policy evaluation (see Chapter 6) revealed that the statement of significance of the WHS nomination included landscape values that were beyond the boundaries of the WHS. At the communal level, the HCZ of the CRP defined a broad urban area that protected the 'amphitheatre' of Valparaíso, including significant viewpoints and urban infrastructure. Additionally, key stakeholders stated that they agreed on the value of Valparaíso's landscape attributes (see Chapter 7). Finally, through the focus groups (see Chapter 8) communities emphasised their attachment to place and the significance of the landscape values of Valparaíso. They illustrated the area that better reflected these values and was consistent with the HCZ or the 'amphitheatre'. Given that the landscape values of Valparaíso's urban heritage were reflected on the statement of significance of the OUV, these were comprised by the CRP though the HCZ and perceived as being significant by key stakeholders and local communities. This issue should be core regarding how to adjust and apply the HUL approach into the Valparaíso case study.

The next section discusses the lessons learned from the critical analysis of the Valparaíso case study.

9.2 Managing the Landscape Values of Urban Heritage: Lessons Learned from Valparaíso

This section discusses the triangulation of results for improving the management of the landscape values of urban heritage in Valparaíso, which addresses the main research question. The results revealed further implications for the management of Valparaíso's WHS and its broader context from the HUL approach, which is linked to the secondary research question.

9.2.1 Beyond the Historic Centre: Valparaíso's Outstanding Landscape Values

From the results and the interpretation of the HUL approach, this thesis has demonstrated that landscape values were not a background of Valparaíso's urban heritage but were the core values to safeguard its urban landscape. However, most of the reviewed literature regarding the HUL approach focused on urban heritage and considered its relationship with the natural landscape as a background (Siguencia & Rey-Pérez, 2016; Siguencia, 2018; Veldpaus et al., 2013). For example, research on the HUL approach in Cuenca, Ecuador, revealed that landscape elements beyond the urban area were the most significant heritage values, but the authors framed the title of this paper in an 'urban dimension' (Siguencia & Rey-Pérez, 2016, p. 164). In Cuenca, the mountainous landscape surrounding the city and the WHS was threatened by new high-rise buildings (Siguencia & Rey-Pérez, 2016). In this context, focus groups participants in Cuenca agreed that the mountainous skyline, vegetation and rivers were the most significant attributes of the city, followed by intangible features, such as festivals and costumes (Siguencia & Rey-Pérez, 2016). This thesis has emphasised that the outstanding landscape values should be the focus of the management of Valparaíso's urban heritage. From this emphasis, the interpretation of the HUL approach includes a broad diversity of heritage elements beyond the built environment.

The HUL Recommendation in Valparaíso is appropriate because the landscape approach allows for the consideration of outstanding landscape values of the city beyond the current boundaries of the WHS. The management of Valparaíso's urban heritage should involve broader scale elements, beyond the built environment. The results of interviews (see Chapter 7) and focus groups (see Chapter 8) revealed that landscape attributes were considered to be more significant than the built heritage of the WHS. These landscape attributes included the coastal border, the view to the sea from the series of hills and the ravines and heritage related to community's place attachment. The landscape approach should be highlighted in the policy framework to management urban heritage in Valparaíso. However, in the NPUD, the HUL key term 'landscape' is not emphasised (see Chapter 6). To establish a landscape approach in Valparaíso, this policy framework should highlight that urban development consider broader geographical and intangible landscape elements.

To manage the outstanding landscape values of Valparaíso, it is also important to note that the definition of the HUL includes several elements beyond the built environment, including 'natural values and attributes', 'its geographical setting', 'the site's topography, geomorphology, hydrology and natural features'... 'its land use patterns and spatial organization', 'the perceptions and visual relationships', 'social and cultural practices and values' and 'the intangible dimensions of heritage as related to diversity and identity' (UNESCO, 2011b, p. 52). From this perspective, to develop a proper

management plan to protect Valparaíso's outstanding landscape values, it is important to integrate specialists from both the social and the environmental sciences.

9.2.2 Towards Redefining Valparaíso's WHS

As revealed in the triangulation of the results, the boundaries of Valparaíso's WHS were not aligned with the OUV defined in the nomination file, with the HUL approach and the views of key stakeholders and local communities. Therefore, the boundaries of Valparaíso's WHS need to be redefined. From the HUL approach, the area protected as urban heritage should be representative of the diversity of values of the city and its setting and should consider the broader tangible and intangible values identified by key stakeholders and local communities. Beyond the redefinition of boundaries, it is crucial that different levels of governance be committed to working from a broader approach to manage the landscape values of urban heritage, which means considering the dynamics of the local context and the global complexities in which the local context is defined. As the HUL Recommendation states, constant and increasing urban changes requires the identification of heritage values and attributes to be continuously updated (UNESCO, 2011b). Time frames need to be defined to develop a persistent assessment of the state of conservation and management of the WHS, together with its broader context. In this context, the boundaries and the content of the WHS nomination file are always going to change regarding the most recent assessment.

Given the changing nature of heritage in an urban context, it would be useful to rethink the UNESCO category of Valparaíso's WHS. According to the triangulation of results, the UNESCO category that better reflects the outstanding landscape values of Valparaíso is 'cultural landscape' in the sub-category 'organically evolved landscape' and, more specifically, a 'continuing landscape' (UNESCO, 2008a, p. 86). Although the UNESCO cultural landscape category has been related to rural landscapes, the World Heritage Committee has approved several cultural landscapes containing urban areas (UNESCO, 2003b). Implementing the HUL approach in a UNESCO WHS defined as continuing landscape would be more consistent to then establish a broader management plan to protect the outstanding landscape values of Valparaíso's urban heritage.

9.2.3 Aligning Policies, Legislation and Planning Tools

According to the triangulation of the results, Valparaíso's policy framework, legislation and regulations are inconsistent regarding heritage conservation and urban planning, which is a barrier to the implementation of the HUL approach. Several conceptual and technical issues need to be adjusted for Valparaíso's policy framework be fully aligned with the HUL Recommendation (see Chapter 6), which includes a consistent definition of heritage, a clear establishment of management tools and prioritising technical issues. From the HUL approach, these adjustments are related to the identification of 'what values to protect [to] determine the attributes that bear these values' (UNESCO, 2011b, p. 50) and to 'prioritise actions for conservation and development' (UNESCO, 2011b, p. 50).

One of the main adjustments needed in Valparaíso's legislation is the establishment of a proper national law focused on heritage conservation. The Law of National Monuments promotes a monumentalist approach that is aligned with the nineteenth century Eurocentric approach to heritage, but is not aligned with the contemporary UNESCO's standard-setting documents and the

HUL Recommendation. Although the current public discussions regarding the modification of the Chilean legislation, heritage values and its diversity are still not covered, and all the categories of protection are framed as national monuments. This critical issue reveals a national heritage discourse that is not yet fully developed (Ayala, 2007; Jofré, 2003). In the mid-1990s, the State of Chile through the Council of National Monuments assumed a leading role in the definition, systematisation, institutionalisation and control of the national heritage (Ayala, 2007). However, the Law of Monuments still promotes an AHD that privileges architectural heritage, monumentality and social consensus (Pendlebury, 2013; Smith, 2006). While citizen participation is included in the Regulation of Typical Zones (MINEDUC, 2017b), the national legislation does not include intangible heritage as part of the environmental character of urban areas. This demonstrated that the State of Chile endorses a top-down and monumentalist approach to heritage conservation, which is not aligned with the HUL Recommendation.

Beyond the monumentalist approach of the national legislation, a facilitator to implement the HUL approach is revealed through the principles proposed by the National Policy of Culture (NCCA, 2017). These are based on cultural diversity, plural territorial knowledge, democracy and active cultural participation, heritage as a public good and the recognition of multiple and collective identities (NCCA, 2017). These principles are based on international policies adopted by the UN and UNESCO. For instance, the Universal Declaration of Human Rights enshrines the human right to participation in its Article 21 and the Convention on the Protection and Promotion of the Diversity of Cultural Expressions (UNESCO, 2005a). The National Policy of Culture also mentions the WH Convention (UNESCO, 1972), the Convention for the Safeguarding of the Intangible Cultural Heritage (UNESCO, 2003a) and the Convention for the Protection of Cultural Property in the Event of Armed Conflict (UNESCO, 1954). The principles developed by National Policy of Culture are linked to the values determined to be promoted by the State of Chile (Garretón, 2008). Although its principles are not applied into the legislation in force, these are in the national policy because it is a reason to develop adjustments to the national legislation.

9.2.4 Reaching Consensus or the Battle Against AHD at the National Level

As revealed in the triangulation of the results, stakeholders at different levels of governance and local communities manifested contradictory values and perspectives regarding how Valparaíso's heritage should be managed. At the national level, the approach to heritage promoted by the State of Chile was linked to an AHD that facilitated political consensus and centralised the control of decision-making (Pendlebury, 2000; Smith, 2006). This AHD was manifested in the Presidential Advisory Commission for the Development of the City of Valparaíso, which focused on 'improving and beautify the city of Valparaíso' during the WHS application (Ministerio del Interior, 2002, p. 1). Therefore, the recognition of Valparaíso's heritage at the national level emerged from the concept of beautification (Ministerio del Interior, 2002). From this approach, architectural beauty defines the legitimacy of heritage through the elites that can establish aesthetic hierarchies that exclude or delegitimise other heritages (Alegría, 2003; Smith, 2006). This explains why the boundaries of Valparaíso's WHS were defined according to the values style and historical condition of the architectural heritage from the buildings listed in the annexes of the WHS application (UNESCO, 2003d). Additionally, in Valparaíso and other developing cities, it has been difficult to recognise heritage values in deprived areas (Razzu, 2005). In Chile and Latin America, the landscape of deprived urban areas tends to 'lack of beauty', so these do not reflect

‘any aesthetic interest’ (Ducci, 2007, p. 1231). In this context, the AHD based on aesthetic hierarchies tends to delegitimise the intangible heritage values of the poor inhabitants. This approach is outdated, given that there has been an increasing recognition of a diversity of heritage values beyond the imposed aesthetic hierarchy developed during the nineteenth century in Europe (see Chapter 3). This raises the problem of how to reach consensus when key stakeholders and communities demonstrate opposing heritage values. As discussed in Chapter 7, national stakeholders had a critical view on local communities in Valparaíso:

Interviewee 1: *Nowadays we have a dirty, deteriorated, dangerous and impoverished Valparaíso. So, what worries me is the lack of self-love of the citizens themselves... I do not understand the ‘nobody helps me’ attitude. I understand there is a lot of impoverishment. There are old and poor people who cannot afford to repair their houses... But there is a kind of lethargy in which they do not make changes because they think that help will come from somewhere else.*

According to this national stakeholder, Valparaíso’s communities demonstrated a lack of interest in their heritage. On the contrary, focus groups participants (see Chapter 8) expressed that they perceived that authorities at the national level have abandoned them. Additionally, focus groups participants discussed issues that can be related to an AHD imposed in Valparaíso. For instance, a participant from Barón Hill emphasised that heritage management in Valparaíso was based on a Eurocentric approach. However, Chilean ‘*mestizo*’ heritage is not well recognised:

P35 (FG6): *Nobody cares about our aboriginal cultures.*

In this context, reaching consensus among key stakeholders and local communities implies respecting or fighting against an AHD. Delegitimation of other heritage values in Valparaíso was also revealed through the focus groups (see Chapter 8). The participants manifested a strong activism organised from their heritage communities against the interests of real estate developers. According to Colin (2017), the conflict of values between private stakeholders and communities is caused the neoliberal political-economic system that is leading a loss of lifestyles that communities defend in their neighbourhoods. In this context, urban heritage in Chilean cities has been defined as areas in dispute (Canteros, 2011; Colin, 2017; Vergara-Costela & Casellas, 2016). The conflicts in heritage neighbourhoods is a manifestation that ‘the city is a political place, where different projects collide’ (Canteros, 2011, p. 86). In the management of Valparaíso’s WHS, Vergara-Costela and Casellas (2016) argue that the State of Chile has acted as a subsidiary of private initiatives that are aligned with the increasing tourism business of the city. This AHD is promoting an increasing gentrification of the WHS and a permissive real estate development around the site (Ossa & Rippes, 2014; Vergara-Costela & Casellas, 2016). In this context, reaching consensus implies that stakeholders must give into the persistence of developing projects that only benefit their private interests over the short-term.

To conclude, the conflicting heritage values and different perspectives need to be considered in the decision-making process because dialogue and involvement are critical issues for developing proper civic engagement tools from the HUL approach (UNESCO, 2011b). Although the HUL approach is a productive starting point to improve the management of Valparaíso’s landscape values, conflicts of values are so strong that more specific and contextualised tools are required. According to Rico (2015), the struggle is to avoid arguments that are either anti- or pro- AHD. It is important to consider that the approaches and practices to heritage result from a symbiotic appropriation of discourses and

terms (Rico, 2015). Consequently, the challenge is how to assimilate both a top-down and a bottom-up approach into the decision-making processes and to include the diversity of heritage values, even those that might be in opposition.

9.3 Beyond Valparaíso: Critical Issues Concerning the HUL Recommendation

This section discusses the secondary research question and the critical issues concerning the HUL Recommendation that emerged from the critical analyses of the Valparaíso case study. The discussion is focused on the HUL Recommendation, different interpretations in the Hispanophone context, the link between the HUL approach and the cultural landscape category and a critical discussion of the governance approach promoted by the HUL Recommendation.

9.3.1 Critical Approaches Embedded in the HUL Recommendation

This thesis has revealed that the definition of the HUL and the content of the HUL Recommendation is unclear. As discussed in Chapter 3, two main approaches were part of the background of the HUL Recommendation. Urban heritage conservation was developed by integrating the practices of heritage conservation and urban planning (Bandarin & van Oers, 2012; Choay, 2001a; Veldpaus et al., 2013). Conversely, the landscape approach developed from the field of human geography and environmental studies, which was related to human attachment to natural landscapes and sense of place (Cosgrove, 1984; Silva & Fernández, 2015; Taylor, 2016; Taylor & Lennon, 2012). Therefore, the HUL approach focused on the significant relationships and dynamics developed between the built and the natural environment. Additionally, the definition of the HUL included several elements beyond the built environment, such as 'natural values and attributes', 'geographical setting', 'site's topography, geomorphology, hydrology and natural features', 'land use patterns', 'the perceptions and visual relationships' and 'the intangible dimensions of heritage' (UNESCO, 2011b, p. 52). Nevertheless, in the glossary of definitions of the HUL Recommendation, the term 'urban heritage' includes three categories of heritage elements: 'monumental heritage of exceptional cultural value; non-exceptional heritage elements but present in a coherent way with a relative abundance; new urban elements to be considered (for instance: the urban built form; the open space: streets, public open spaces; urban infrastructures: material networks and equipment's)' (UNESCO, 2011b, p. 54).²³ Therefore, the definition of 'urban heritage' given by the HUL Recommendation does not include the natural elements of the landscape that are mentioned in the definition of the HUL.

The HUL Recommendation includes ambivalent concepts as well as critical interpretations in the Hispanophone context. Key stakeholders in Valparaíso showed different interpretations on the HUL approach, which is negatively impacting on how stakeholders are applying this as a management approach (see Chapter 7). Additionally, as discussed in Chapter 2, the HUL from the Vienna Memorandum (UNESCO, 2005d) was translated to Spanish as *Paisaje Histórico Urbano* (PHU). However, the HUL Recommendation (UNESCO, 2011b, 2011e) was translated to Spanish as *Paisaje Urbano Histórico* (PUH). Therefore, in the Hispanophone context the Vienna Memorandum

²³ The definition of urban heritage from the HUL Recommendation was developed from European Union research report Nº 16 (2004), Sustainable development of Urban historical areas through and active Integration within Towns – SUIT).

emphasised the 'historic', but the HUL Recommendation emphasised the 'urban'. One interviewee at the communal level referred to the PUH from the HUL Recommendation using the term PHU from the Vienna Memorandum (see Chapter 7). However, both terms were considered by them as being interchangeable:

Interviewee 1: *I think it would be good, as it was done in 2013, making a retrospective assessment... That is where the 'Paisaje Histórico Urbano' has an important role, because it creates these layers and we can see that there is a buffer area and also an area of influence.*

Although the PHU and the PUH are considered as being interchangeable in Spanish, the HUL in the Vienna Memorandum is different from the HUL Recommendation. The layers (*capas*) were not mentioned in Vienna Memorandum, but were explicitly mentioned in the definition of the HUL (or the PUH) in the HUL Recommendation (UNESCO, 2011b, 2011e). Therefore, when the interviewee mentioned the PHU, they were referring to the HUL from the HUL Recommendation and not the HUL from the Vienna Memorandum. This misunderstanding is important, given that the HUL from the Vienna Memorandum implies a different management approach than the one proposed by the HUL Recommendation.

This misunderstanding of the HUL in Spanish has been revealed through the critique of several authors (e.g., Lalana, 2011, 2014; Rey-Pérez & González-Martínez, 2018; Silva & Fernández, 2015). According to Lalana (2011), the HUL implied a progress towards the integration of diverse heritage values, but deep problems were identified in its interpretation and application. The HUL allowed different issues that can be imprecise, difficult to apply or easy to distort (Lalana, 2011). This can produce practical problems and serve as theoretical background for different and even contradictory actions (Lalana, 2011). In this context, a vague approach that includes both heritage conservation and urban planning may allow the justification of actions linked to real estate development (Lalana, 2011). Therefore, from Lalana's critical perspective, the HUL suggests a wide range of approaches but is not a practical solution.

As the HUL Recommendation is available to any citizen and it can be adopted as a bottom-up approach, it is important that this document is clear for any reader. To encourage a common understanding of the approach proposed by the HUL Recommendation in the Hispanophone context, this thesis recommends that the UNESCO standard-setting document '*Recomendación sobre el PUH*' be updated. One issue to be included in the HUL Recommendation in Spanish is that the definition of the HUL from the Vienna Memorandum (PHU in Spanish) be explained in the preamble. This will show the evolution of the HUL approach and clarify the differences between the PUH and the PHU in Spanish. This also considers that the implementation of the HUL approach in different contexts may also need locally relevant interpretations. Additionally, in the "Glossary of definitions" (UNESCO, 2011b), the definitions of 'landscape approach' and 'urban heritage' need to be explained from the approach proposed by the HUL Recommendation. This could be explained through clarifying that this approach is focused on the landscape values of urban heritage, including the identification of landscape attributes beyond the built environment.

9.3.2 Linking the HUL Approach and UNESCO's Cultural Landscapes

As discussed in Chapter 7, stakeholders in Valparaíso have confused the HUL with the UNESCO category of cultural landscapes:

Interviewee 4: *It seems to me that more than declaring a city as a HUL, which is a UNESCO category... I do not know if it is time to come up with a type of declaration until the legal and institutional framework is better structured to assume that challenge.*

Interviewee 10: *With that name, I do not know the HUL... But for me, that is like the concept of cultural landscape.*

Some Hispanophone authors have also confused and criticised the HUL approach with the UNESCO category cultural landscapes. For instance, Silva and Fernández (2015) discussed the category of cultural landscapes and criticised the HUL (PUH) because it aimed to replace the category of historical ensemble, although with deep conceptual and methodological problems (UNESCO, 2008a). However, the HUL does not refer to the categories defined in Annex III of the *Operational Guidelines for Cultural Landscapes* and no city has been listed in the UNESCO WHL as a HUL (Lalana, 2011; Mitchell et al., 2009). Additionally, a UNESCO report about the implementation of the HUL approach has explicitly highlighted that the HUL 'is not a category of cultural heritage but a way of looking at the urban ensemble in its entirety as well as its connection to its territory' (UNESCO, 2014, p. 1). From this clarification, it can be inferred that UNESCO has identified that the HUL approach can be confused with the cultural landscape category.

Although the HUL is not a UNESCO category, its approach comprises part of the theoretical background of the concept of cultural landscape, which has been developed in close association with townscapes (Bandarin & van Oers, 2012; Taylor, 2016). The cultural landscape discourse has been relevant to the HUL because it supports the idea that landscape is a cultural construct that reflects human values (Taylor, 2016). Additionally, conceptualising a city as a cultural landscape can help to clarify broader tangible and intangible attributes beyond architecture, towards a 'holistic sense of landscape scale' (Bandarin & van Oers, 2012, p. 197). Moreover, UNESCO's subcategories of organically evolved and continuing landscape are conceptually related to the HUL. Organically evolved landscapes are settlements developed by the 'association with and in response to its natural environment' (UNESCO, 2008a, p. 86). This kind of landscape reflects that evolution process in their form and component features and are grouped in two subcategories. One of these subcategories is the continuing landscape, which 'retains an active social role in contemporary society closely associated with the traditional way of life and in which the evolutionary process is still in progress' (UNESCO, 2008a, p. 86). The HUL is defined as 'the result of a historic layering of cultural and natural values', which included a diversity of social practices and values, economic processes and intangible heritage (UNESCO, 2011b, p. 52). Given that the definition of the HUL highlighted the evolution of urban heritage over time, it is strongly related to the definition of continuing landscape. UNESCO's sub-category of continuing landscape can also be related to the practical implementation of the HUL approach. The HUL Recommendation states that 'it is essential to document the state of urban areas and their evolution, to facilitate the evaluation of proposals for change and to improve protective and managerial skills and procedures' (UNESCO, 2011b, p. 54). Consequently, the HUL promotes the

documentation of the continuing evolution of urban landscapes to establish a proper management approach.

To conclude, considering the above-mentioned conceptual links, the concept of the HUL is consistent with an urban area in the sub-category of continuing landscape. However, it is important to distinguish between the concept of the HUL and the management approach proposed by the HUL Recommendation. Moreover, the implementation of the HUL Recommendation is not just focused on areas considered as WHS, given this approach cover a broader dimension. Nevertheless, if the HUL approach is implemented in Valparaíso, it would be appropriate that the area defined as WHS be identified as a continuing landscape. This might clarify the conceptual link between the HUL and UNESCO's category, and its landscape values would be highlighted for a better management. Nonetheless, to accurately implement the HUL approach in any city, it is essential that the practical differences between the HUL and the category of cultural landscape are clear for all stakeholders.

9.3.3 Managing Boundaries and Mapping Heritage Values from the HUL Approach

From the HUL approach, an area considered to be urban heritage reflects the diversity of values of the city and its broader setting, considering tangible and intangible attributes recognised by stakeholders and local communities (UNESCO, 2011b). Additionally, the planning tools recommended by the HUL approach includes the 'documentation and mapping of cultural and natural characteristics' (UNESCO, 2011b, p. 53), which presents a major challenge for the establishment of WHS boundaries and the buffer zone of an urban area that is aimed to be protected.

The innovative tools required by the HUL Recommendation involve documenting and mapping the diversity of heritage attributes (UNESCO, 2011b). Nevertheless, the challenge of establishing boundaries for including intangible heritage and landscape values is not explicitly mentioned in the HUL Recommendation. As discussed in Chapter 3, there is a strong relationship between place attachment and landscape values (Brown & Raymond, 2007), which was also revealed in the results presented in Chapter 8. Focus groups participants expressed place attachment to the hills where the significant landscape of the amphitheatre of Valparaíso was perceived, which included the mapping of heritage values as perceived by communities as part of the criteria to define the boundaries of an urban heritage area. Likewise, WHS nomination files should include documentation regarding the mapping of intangible values and not just the record of buildings included in the site.

9.3.4 Taking into Account or Learning from Local Communities

As the increasing uncontrolled development transforms urban areas and their settings, the HUL Recommendation is aware of the profound negative effects that these may have on community values (UNESCO, 2011b). The HUL Recommendation also indicates that Member States should facilitate public understanding and involvement, together with learning from the traditions and perceptions of communities (UNESCO, 2011b). From the HUL approach, capacities displayed by local communities are important to be considered in the application of a range of traditional and innovative tools (UNESCO, 2011b). Civic engagement tools should empower local communities, not just to identify their key values, but to develop visions that reflect their diversity (UNESCO, 2011b). Additionally,

regulatory systems should reflect the values of local communities and measures for their conservation (UNESCO, 2011b). Consequently, consideration of the values of local communities is important to develop appropriate policies and management tools.

Beyond good intentions, the HUL Recommendation reflects a paradox in its proposed governance approach. The HUL Recommendation is implemented through a top-down approach, which is controlled by Member States, but it considers initiatives driven by local communities. A bottom-up approach is driven from the grassroots, rooted in activities developed by local communities empowered to help themselves, together with participatory decision-making (Turner, 2009). Nevertheless, policies on heritage conservation are motivated by governments, so decision-making is mostly part of nation-building strategies (Logan, 2015), which means that national governments encourage citizenship to accept a standard narrative of the nation's past and future (Logan, 2015). This governance approach can be identified in the HUL approach, given that it encourages Member States to reach consensus among stakeholders and develop visions from a dialogue conducted by authorities and experts.

The HUL Recommendation was translated to Spanish with some conceptual inaccuracies regarding how to consider the values of local communities (UNESCO, 2011a; 2011b). In English, the HUL Recommendation 'learns from the traditions and perceptions of local communities, while respecting the values of the national and international communities' (UNESCO, 2011b, p. 52). In Spanish, instead of learning from local communities, it 'takes into account' their traditions and perceptions (*tiene en cuenta*) (UNESCO, 2011a, p. 62). The actions of learning and taking into account are different. Learning requires more active involvement in comprehending their values but taking into account can be interpreted as the mere identification of these values. In this context, implementing the HUL Recommendation in the Hispanophone context requires taking local communities into account to develop civic engagement tools that accurately reflect their values.

9.3.5 Is the HUL Approach Representative of an Authorised Heritage Discourse?

Considering that the HUL Recommendation was developed by UNESCO experts, it is pertinent to discuss whether the HUL Recommendation represents an AHD for Latin American cities. According to Smith (2006), the AHD was developed in Western Europe in the nineteenth century following discussion about the protection of material culture, which was considered to be of intrinsic value. An AHD considers heritage to be material objects or aesthetically pleasing landscapes that require protection as 'things', so that these can be inherited (Smith, 2006, 2011). Within the AHD, heritage is related to monuments instead of values or cultural meanings (Smith, 2006, 2011). As analysed in Chapter 6, the HUL Recommendation highlights both tangible and intangible heritage, cultural values and the transmission to future generations (UNESCO, 2011b). Additionally, the HUL Recommendation was developed for Member States to take appropriate measures to adapt this instrument to their contexts (UNESCO, 2011b). As mentioned in Chapter 2, one of the critical steps to the implementation of the HUL Recommendation is 'to reach consensus using participatory planning and stakeholder consultations on what values to protect' (UNESCO, 2011b, p. 50). Additionally, the civic engagement tools of the HUL Recommendation involve a diverse cross-section of stakeholders, facilitating 'intercultural dialogue by learning from communities... and by facilitating mediation and negotiation

between groups with conflicting interests' (UNESCO, 2011b, p. 53). Therefore, the HUL approach can be understood as a top-down approach to urban heritage management, which considers bottom-up approach practices in its framework.

As the HUL approach considers consensus to be essential, conflicts of interests and values are critical issues to achieve the aims of the HUL Recommendation. Conflicts might be insignificant or easy to resolve, but some conflicts can be so intense that they can lead to a lack of agreement that slows or stops mutual understanding and trust (Johnston & Myers, 2009). In some cases, conflicts are ignored in the hope that they will disappear or become minor if the shared goals are appreciated (Johnston & Myers, 2009). Nevertheless, conflicts may occur in response to real or perceived threats and imbalances of power, which are often present in urban heritage management (Johnston & Myers, 2009). The results of the Valparaíso case study revealed that conflicts and imbalance of power were important issues that negatively affected the governance of Valparaíso's urban heritage. This implies that this is not just a matter of the City Council but is an issue that involves all levels of governance. Thus, a critical step that is missing in the HUL Recommendation is the identification of potential conflicts and imbalances of power at different levels of governance. This step is important in order to reach consensus and prioritise planning actions within urban heritage management.

Although the discourse of the HUL Recommendation does not reflect an AHD, a critical analysis of its origins and the steps required for its implementation can lead to this being understood as an AHD for Latin American cities. First, the HUL Recommendation was adopted by the UNESCO General Committee at its 36th session in Paris. The General Committee included heads of the delegations of 36 Member States, of which just four were from Latin America (i.e., Brazil, Salvador, Peru and Venezuela) (UNESCO, 2011b). Additionally, as the HUL approach requires reaching consensus, this could be understood as a form of AHD, given in Latin America heritage values are still in conflict since European colonisation (Sluyter, 2001; Salgado, 2008). According to Casgrain and Janoschka (2013), urban conflicts, imbalance of power and inequality of cultural capital in Latin American cities are stronger and more complex than in Europe or North America. Consequently, whether the HUL Recommendation is implemented in Latin American cities, its approach needs to be adjusted to critically reflect on how to cope with historical urban conflicts.

The next chapter provides an overall conclusion to the thesis, including the contributions and implications of the research and a final reflection on the need for future research.

Chapter 10. Conclusions

10.1 Introduction

This thesis has provided a critical and integrated analysis of the theory and practice of urban heritage management and the significance of the HUL approach for landscape values. The literature review (see Chapter 3) revealed that the discipline of urban heritage conservation has evolved, including a diversity of heritage values and planning tools. The approach proposed by the HUL Recommendation was considered by many heritage experts and organisations to be appropriate to the management of heritage in increasingly changing urban contexts outside of historic centres. Therefore, the HUL approach was recommended to improve the management plan of the Historic Quarter of the Seaport City of Valparaíso, which was listed as a WHS in 2003. The ICOMOS advisory mission considered the HUL approach in Valparaíso to be appropriate because of the need to incorporate its outstanding landscape values beyond the boundaries of the WHS.

The conclusions presented in this chapter respond to the main research question: How can the approach proposed by the HUL Recommendation manage the outstanding landscape values of the city of Valparaíso? To respond to this inquiry, this research established three objectives, from which a methodological framework was developed. The first objective was to evaluate whether the current policy framework, laws and plans of heritage conservation and urban planning in Valparaíso were aligned with the HUL approach. Chapter 6 addressed this objective by providing an evaluation of the alignment of the content of the documents at different levels of governance. Chapter 7 answering the second research objective through an assessment of whether the key stakeholders involved in the management of Valparaíso's WHS held views that were consistent with the HUL approach. The third objective was to assess what local community leaders and other community members valued from Valparaíso's urban heritage and whether their perceptions were consistent with the definition of the HUL. To respond to this objective, Chapter 8 presented an analysis of the focus groups and the mapping activities developed with Valparaíso's communities. Finally, the fourth objective to establish the barriers and facilitators to the implementation of the HUL approach in Valparaíso was covered through the interpretation of the results (see Chapters 6, 7 and 8). Finally, the results of the different methods were triangulated and critically discussed in Chapter 9.

The application of different methods and the critical analysis of the results revealed conclusions for the Valparaíso case study and about the approach proposed by the HUL Recommendation. The HUL as an AHD in Latin America has been discussed in the previous chapter, future research is needed on the practical implications of the HUL Recommendation in Latin American cities. The next section presents the overall conclusions arising from the analysis of the Valparaíso case study.

10.2 Overall Conclusions

10.2.1 Conclusions for the Case Study of Valparaíso

To begin with, this thesis concludes that the approach proposed by the HUL Recommendation is appropriate to manage the outstanding landscape values of the city of Valparaíso. Moreover, working towards the implementation of HUL approach in Valparaíso has provided a better understanding of the management problems of the city at the different levels. From the results of the analysis, overall conclusions have been structured by responding the research objectives as follows:

Conclusion 1. Broad landscape values are at the core of Valparaíso's OUV, although the boundaries of the WHS are based on a monumentalist approach

The boundaries of Valparaíso's WHS were defined by the architectural attributes of the historic centre, not including the broader outstanding landscape values of the city (see Chapter 6). This implies that the WHS is limited to a small area compared to the whole urban landscape. Although the WHS nomination file mentions broad landscape attributes as part of Valparaíso's OUV, these were not considered to be part of the criteria to establish the WHS. By following an architectural approach, the defined WHS was in contradiction with the HUL approach and was inconsistent with the values that the communities placed on the broader landscape. Therefore, considering the HUL approach in the local instrument of the MPHM would help to expand the area protected beyond the historic centre.

Criteria to define the boundaries of the WHS came from the Law of National Monuments of Chile. Prior to the WHS nomination, different areas defined as TZ by the Law of Monuments were merged in Valparaíso. From these merged TZ, the WHS was proposed. However, the monumentalist approach to heritage conservation of the Law of Monuments was inconsistent with the HUL approach. Although the aim of TZ was to protect the environmental character of an urban area, it did not include mechanisms for managing the intangible aspects of an urban landscape. Moreover, the interviews revealed that key stakeholders perceived the Law of Monuments to be obsolete and disconnected from communal regulations (see Chapter 7). This suggests the need to develop thorough modifications for the better alignment of Valparaíso's legislative framework and implies that the Law of Monuments needs to be replaced by a Law of Cultural Heritage, which includes tangible and intangible heritage.

Conclusion 2. The HUL approach has not been accurately applied into practical tools for the management of the broader urban heritage of Valparaíso

Although the HUL Recommendation was mentioned in the background documents of the Valparaíso CRP, its interpretation in the partial modification of the CRP in 2018 was inaccurate. The partial modification was applied to define construction norms in specific neighbourhoods. Therefore, the HUL in Valparaíso's CRP was implemented to protect architectural ensembles, rather than the broader urban landscape. Additionally, the landscape approach embedded in the HUL approach was not considered to be part of the 2018 partial modification. From this approach, the broader amphitheatre and ravines need to be protected by the CRP as significant geographical elements of Valparaíso's landscape. Moreover, the HUL approach was not applied into the current plan of heritage management of Valparaíso. Although the MPHM recognises the outstanding landscape values of the

city, this plan is focused on the WHS. Therefore, the heritage values of the broader urban landscape of Valparaíso are unprotected, exposed and vulnerable to be lost.

Conclusion 3. Reaching consensus to prioritise actions and appropriate stakeholders' partnerships are critical steps for the implementation of the HUL approach in Valparaíso

Valparaíso is embedded with conflictive approaches to urban heritage management and conflicts of values were identified from the views of key stakeholders (see Chapter 7). At different levels of governance, they displayed different approaches to heritage. Conflicts of interest and opposing technical approaches to the management of the WHS were also revealed. The analysis also revealed an imbalance of power at the different levels of governance. The HUL approach can be understood as being a top-down governance approach, which includes bottom-up initiatives (see Chapter 9). However, the HUL Recommendation does not highlight how to deal with the conflicts of values and interests among stakeholders at the different levels of governance. Although conflicts are common in urban heritage, strong disagreement can discontinue or delay management processes. Nevertheless, agreement on that the HUL approach is appropriate to manage the outstanding landscape values of the city of Valparaíso among key stakeholders is a very important step for reaching consensus in other topics. Additionally, as the landscape values of Valparaíso were also identified as significant by key stakeholders, the next step would be to recognise these on the communal instruments for these be effectively protected.

Conclusion 4. Valparaíso's WHS is not representative of the significant landscape and intangible heritage that communities' value

The results of the interviews and the focus groups revealed that key stakeholders and local communities agree about the significance of Valparaíso's landscape values (see Chapter 7 and 8). However, the UNESCO WHS is limited to the protection of the historic centre. As the boundaries of the WHS were defined from the monumentalist approach of the Law of Monuments, this area is not representative of the more broader heritage attributes that communities' value. As discussed in Chapter 8, most of the community leaders and other community members highlighted a broad urban area as significant for them. These significant areas are similar to the 'Amphitheatre Hills', or the HCZ of the CRP. Hence, the HCZ is more representative of communities' values than the WHS. Additionally, the focus groups participants claimed that intangible heritage was more significant than the tangible in Valparaíso. This significant intangible heritage was not mentioned in the WHS nomination file and were located beyond the boundaries of the WHS. As such, the WHS is not representative of the significance of the landscape and the intangible heritage that communities' value. In this context, beyond the WHS, the implementation of the HUL approach would help to represent the significance of Valparaíso's landscape values and the intangible heritage that communities' value. Also, by modifying the communal instruments of the CRP and MPHM by following the HUL approach these broader range of values could be effectively protected.

Conclusion 5. Although Valparaíso's WHS is limited to its historic centre (important barrier), the WHS nomination file mentions landscape values as part of the OUV (important facilitator)

Given that the boundaries of Valparaíso's WHS were defined from the monumental approach of the Law of Monuments, this implies an important barrier to the implementation of the HUL approach in Valparaíso. Nevertheless, the WHS nomination file mentions broader landscape values as part of its OUV. This implies a significant facilitator for updating Valparaíso's WHS and its alignment with the HUL approach. By considering the broader landscape values of Valparaíso and following the HUL approach the limits of the WHS could be expanded. The new limits of the WHS could coincide with the 'Amphitheatre Hills', or the area defined as HCZ in the CRP. This broader heritage protected area is perceived as more significant than the WHS by local communities.

10.2.2 Conclusions on the HUL Recommendation

Beyond the results on the Valparaíso case study, several overall conclusions relating to the approach proposed by the HUL Recommendation were determined:

Conclusion 1. The HUL Recommendation does not specify that the mapping of heritage attributes is reflected through the definition of boundaries

The application of planning tools mentioned in the HUL Recommendation did not specify that 'documentation and mapping' were reflected through the definition of boundaries (UNESCO, 2011b, p. 53). The HUL was defined as 'extending beyond... the broader urban context' (UNESCO, 2011b, p. 52), which could be understood as the definition of boundaries not being important. However, urban planning tools, heritage zones and buffer zones imply the establishment of polygons or areas within a map. In this context, the implementation of the HUL approach requires the establishment of boundaries to be displayed through legislative and regulatory systems. It is important that the HUL Recommendation be more precise on the importance of this issue because different interpretations led to different and even opposing actions. By specifying the definition of boundaries, each organism or authority will be encouraged that the critical step mapping of heritage attributes is reflected on the application heritage protection areas through legislative and regulatory systems.

Conclusion 2. As the Hispanophone version of the HUL Recommendation is not fully consistent with the Anglophone version, this might have impacts on its interpretation and implementation.

The HUL in Spanish was ambiguous with different interpretations (see Chapter 4). From the Spanish version of the Vienna Memorandum, the HUL was translated as *Paisaje Histórico Urbano* (PHU). The HUL from the HUL Recommendation was translated as *Paisaje Histórico Urbano* (PUH). The PHU and the PUH were sometimes interpreted as synonyms in the Hispanophone context. However, the PHU from the Vienna Memorandum emphasised the 'historic' and the PUH from the HUL Recommendation emphasised the 'urban'. Additionally, the HUL Recommendation was not accurately translated from English to Spanish regarding how local communities were considered in the management process.

This explains the different interpretations of the HUL approach from both the reviewed Hispanophone literature and the stakeholders interviewed in Valparaíso. Consequently, there have been different interpretations of the Hispanophone version of HUL. It is important to be aware of this when implementing the HUL approach in Valparaíso or in other places where the official language is Spanish.

Conclusion 3. The HUL Recommendation does not specify how to facilitate mediation when involving a cross-section of stakeholders with opposing values

The civic engagement tools of the HUL Recommendation indicated that stakeholders should cooperate by 'facilitating mediation between groups with conflicting interests' (UNESCO, 2011b, p. 53). However, it did not specify how the mediation process between stakeholders with conflicting values should be conducted. No consensus has been reached regarding heritage among stakeholders at the different levels of governance in Valparaíso (see Chapter 7). However, the HUL Recommendation insists on reaching consensus on what values to protect. This implies that the HUL approach was more easily implemented in cities that had less conflict of values or where consensus was reached among authorities with similar values. As urban heritage management involves dealing with values, reaching consensus can be a never-ending process. Therefore, a weakness of the HUL approach was that it disregarded the identification of conflicts among its critical steps and required clearer methods to facilitate mediation.

Conclusion 4. The HUL Recommendation does not indicate how the OUV defined by the UNESCO WHC should be assessed in consideration of community values

The HUL Recommendation is an approach to manage urban heritage, which was proposed by the UNESCO WHC. Although this approach is not focused solely on WHS, it has been recommended for the improvement of the management of Valparaíso's WHS. Additionally, most of the cities in which the HUL is implemented have an area defined as WHS. Nevertheless, there is a contradiction between how the OUV are defined and how to consider communities' values from the HUL approach. The focus groups revealed that local communities in Valparaíso perceived the UNESCO WHS to be an imposed nomination that has created urban conflict. Additionally, they shared a critical perception of how the boundaries of the WHS were defined. Therefore, the area protected by UNESCO's WHS was not representative of local communities. This is important to highlight because the OUV are assessed by international experts from UNESCO and their values might be opposed to the values of local communities.

Conclusion 5. The HUL Recommendation could be better implemented in a WHS defined as a cultural landscape in an urban area

The HUL is not a UNESCO category, but is a management approach that has been influenced by the concept of cultural landscape. The HUL approach could be consistently implemented in a WHS defined as being a cultural landscape in an urban area (see Chapter 9). In particular, the HUL approach is related to the sub-category of continuing landscape. However, to accurately implement the HUL approach, it is essential that the practical differences between the HUL approach and the category of cultural landscape are clear for all stakeholders.

The HUL Recommendation has issues regarding how the integration of the built and the natural environment is conceived. In the glossary of the HUL Recommendation, urban heritage refers to the built environment without including natural and intangible aspects of the landscape mentioned in the definition of the HUL. The HUL Recommendation leaves a gap on how to implement its approach by integrating the built and the natural environment. However, in Valparaíso the results from the interviews (see Chapter 7) demonstrated that intangible heritage and natural elements of the urban landscape are more significant for stakeholders and communities. Therefore, it is considered that the HUL Recommendation clearly specify the importance of the management of the landscape values of urban heritage. When defining this it would be easier for the organisms or authorities to make the decision on how to adapt the HUL Recommendation in the local context.

10.3 Research Contributions and Practical Implications

10.3.1 Implications for the Valparaíso Case Study

The most important implication for Valparaíso is that the boundaries of its WHS and buffer zone should be expanded to include its broader outstanding landscape values. Given the results of the policy evaluation (see Chapter 6), this suggests that Valparaíso's communal plans should be modified to include the new boundaries of its WHS and buffer zone. Another practical implication for Valparaíso is that national laws should include compulsory norms to manage urban heritage from a landscape approach. According to the results of the interviews and focus groups (see Chapters 7 and 8), there should be further application of norms to protect the significant natural elements of Valparaíso's urban landscape, including the ravines and the sea border. Additionally, these norms should be consistent with the reassessment of values, which are reflected on the WHS and its buffer zone.

A further implication for Valparaíso is that the diversity of heritage values involves a continuous reassessment of the management of the WHS. According to the results of the focus groups (see Chapter 8), communities values reflected different and sometimes opposed values to the national level stakeholders. As such, the continuous reassessment should consider the stakeholders involved at different governance levels. Additionally, analysis of the barriers and facilitators to the implementation of the HUL approach demonstrated that the new boundaries of Valparaíso's WHS should be defined from an updated approach to heritage, including the diversity of intangible and community's values.

In addition to consideration of the HUL approach, which the 2013 advisory mission recommended (ICOMOS, 2013), there should be modification of the boundaries and the categorisation of Valparaíso's WHS. Broadened boundaries and the sub-category of Valparaíso's WHS could allow for better alignment of the content of the nomination file within the HUL approach.

10.3.2 Implications for the HUL Recommendation

The findings of this study indicated that the HUL Recommendation should be revised, including the consideration that boundaries are essential for implementation of the HUL approach into planning

practice. There are important practical challenges to the “holistic ‘landscaped’ expansion of the heritage limits” of the HUL approach (Rey-Pérez and González Martínez, 2018, p.103). Besides, the HUL is an ambiguous and complex concept, which remains an important theoretical progress, but it poses serious implementation challenges (Lalana, 2011: Rey-Pérez and González Martínez, 2018). By being so unspecific, the HUL approach in practice transmits the idea that “anything” can be applied (Lalana, 2011, p.25). Therefore, innovative and practical tools are required to specify the HUL approach, and its boundaries which should reflect the diversity of heritage values aimed to be protected and how these will be managed over time. For instance, specific guidelines on how boundaries are defined from the HUL approach could be useful for any case study. These guidelines could be developed from the specific practical experiences of best practice case studies around the world.

The HUL Recommendation specifies that urban heritage management includes the integration of heritage conservation and urban planning in a landscape approach. Heritage conservation involves the comprehension of significant values as perceived by key stakeholders and local communities. Additionally, urban planning involves mapping heritage values and defining norms for the protection of heritage areas. Therefore, the boundaries of urban heritage areas should reflect the diversity of heritage values from the perspectives of key stakeholders and local communities. This involves the revision of the six critical steps for the implementation of the HUL Recommendation. Even though this thesis was particularly focused on the critical step (b) regarding reaching consensus on what values to protect, the mapping activity with local communities was also related to critical step (a). This reflects that although the six critical steps are specific and complex, these are interrelated when trying to apply the HUL approach. The future critical steps to be applied into the case study of Valparaíso are (f) “to establish the appropriate partnerships and local management frameworks” and (e) “to prioritise actions for conservation and development” (UNESCO, 2011b, p.50). The results of the policy analysis and the interviews conducted in this thesis could help to establish these critical steps in future research.

The HUL approach specifies how to assess the OUV of a WHS with consideration for the values of stakeholders and communities. As the HUL Recommendation is being implemented in WHS located in urban areas, it is essential to establish how the OUV are assessed using the HUL approach. A further implication is that civic engagement tools should specify that a neutral organisation should conduct mediation among groups with conflicting interests. In this context, the role of academic institutions and research centres is fundamental. Although the role of academia is mentioned in the HUL Recommendation, its importance in developing tools is not emphasised. Besides developing scientific research, academics could lead the reassessment to improve management procedures.

The HUL Recommendation specifies the management of the landscape values of urban heritage, including elements beyond the built environment. The landscape values from the HUL approach include natural and intangible aspects of the urban landscape, which are mentioned in the introduction of the HUL Recommendation (UNESCO, 2011b, p. 51) and should also include the elements mentioned in the definition of the HUL beyond the elements of the built environment (UNESCO, 2011b, p. 52). The significant landscape elements beyond the built environment that are mentioned on the HUL Recommendation include the ‘site’s topography, geomorphology, hydrology and natural features ... its open spaces and gardens, its land use patterns and spatial organization, perceptions and visual relationships’ (UNESCO, 2011b, p. 52).

Finally, it is essential that UNESCO improves the consistency of the Spanish translation of the HUL Recommendation. An accurate translation is necessary for the proper interpretation and implementation of the HUL approach in the Hispanophone context.

10.4 Research Limitations and Future Research

This section presents research limitations and gaps identified for future research. Given that the HUL Recommendation proposes a broad approach to urban heritage management, not all the issues involved in its approach were analysed through the Valparaíso case study. The limitations of this research project were mainly due to the scope, time and available funding. First, as indicated in Table 10.1, further research is needed on methods to facilitate mediation and negotiation between groups with conflicting values and interests using the HUL approach. According to the research findings, more attention should be given to reaching consensus and including the perceptions of a cross-section of stakeholders and communities. The research sample of Valparaíso's key stakeholders included 25 people (see Chapter 5). Although they were invited to participate, not all were available or willing to participate. The final response rate for the interviews was 64 per cent (16 people). Stakeholders that were not interviewed had technical positions at the national and regional level. Given that the interviewees were stakeholders with related political positions, their opinions were more political than technical, which brought a political perspective to the understanding of the case study. Additionally, given that the recruitment of the focus group participants was supported by community leaders, there might have been a bias in the sample if they had recruited like-minded people who supported their views (see Chapter 5). Nevertheless, the recruitment methods also comprised advertisements through SNS, Facebook Groups, in public spaces and door-knocking. The mixture of different recruitment methods was important to address the potential bias of the focus groups results.

Additional research is required to establish the boundaries of WHS using the HUL approach. There is a need for more accurate methods to map the increasingly changing heritage values of urban landscapes. These methods need to be complemented with policy evaluations regarding how these boundaries are represented within legislation and heritage tools. Additionally, critical analysis and assessment of the OUV within the HUL approach is required. There is a need to harmoniously recognise the diversity of values of urban heritage and to emphasise the outstanding values of sites from the perspective of the UNESCO WHC.

Further, assessment of environmental planning policies that involve urban heritage management from a landscape approach is required. The HUL Recommendation includes climate change as being an important issue to be considered in implementation in local contexts. Among the challenges for the HUL approach is that human settlements have continuously adapted to climatic, environmental changes and disasters (UNESCO, 2011b). Therefore, concern for the environment, particularly for water and energy consumption, encourages new approaches that are 'based on ecologically sensitive policies and practices' (UNESCO, 2011b, p. 52). These initiatives 'should integrate natural and cultural heritage as resources for sustainable development' (UNESCO, 2011b, p. 52). However, environmental assessment and the potential impacts of climate change in Valparaíso's heritage were not the focus of this research. Environmental policies were not included in the analysis because the research focus was on understanding the relationship between heritage conservation and urban planning. Therefore,

further research related to environmental planning and climate change with the HUL approach is required.

Table 10.1 synthesises the overall conclusions, implications and future research in consideration of the Valparaíso case study and HUL Recommendation.

Table 10.1. Overall conclusions, implications and future research.

Objectives	Overall results	Conclusions		Implications		Future research
		For Valparaíso	For the HUL Recommendation	For Valparaíso	For the HUL Recommendation	
1. To evaluate whether the current policy framework, laws and plans of heritage conservation and urban planning in Valparaíso is aligned with the HUL Recommendation.	Valparaíso's WHS is limited to the historic centre, which reveals a limited alignment on what heritage is and how this is managed from the HUL approach.	Broad landscape values are at the core of Valparaíso's OUV, but the boundaries of the WHS are based on a monumentalist approach.	The HUL Recommendation does not specify that the mapping of heritage attributes is reflected through the definition of boundaries.	The boundaries of Valparaíso's WHS should be expanded to include its broader outstanding landscape values.	The HUL Recommendation states that defining boundaries is essential for implementation.	Develop methods to define the boundaries of a WHS using the HUL approach.
	While the content of Valparaíso's national policies displays an overall level of alignment, national laws are poorly aligned with the HUL Recommendation.	The HUL approach has not been accurately applied to practical tools for the management of the broader urban heritage of Valparaíso.	As the Hispanophone version of the HUL Recommendation is not fully consistent with the Anglophone version, this may affect how it is interpreted and implemented.	National legislation should include compulsory norms to manage urban heritage from a landscape approach.	The HUL Recommendation requires to specify that urban heritage management includes that both heritage conservation and urban planning be integrated through a landscape approach	Urban heritage management from a landscape approach requires the evaluation of environmental planning policies
2. To assess whether the key stakeholders involved in the management of Valparaíso's WHS had perceptions that were consistent with the HUL approach.	The WHS nomination is not fully aligned with stakeholders' views, but they agree on the value of Valparaíso's landscape.	Reaching consensus to prioritise actions and appropriate stakeholder's partnerships are critical steps to implementation of the HUL approach in Valparaíso.	The HUL Recommendation does not specify how to facilitate mediation when involving a cross-section of stakeholders with opposing values.	Reflecting the diverse values at the different levels of governance implies a constant assessment of how the WHS is managed.	The HUL Recommendation needs to specify that the management of conflicting interests should be conducted by a neutral organisation.	Developing methods to facilitate mediation between groups with conflicting interests within the HUL approach.
3. To assess what local community leaders and other community members valued from Valparaíso's urban heritage and whether their perceptions were consistent with the definition of the HUL.	Community leaders and other community members valued the broader landscape of Valparaíso, beyond the WHS.	Valparaíso's WHS is not representative of the significant landscape and intangible heritage valued by communities.	The HUL Recommendation does not indicate how the OUV should be assessed by considering the values of communities.	For the WHS to be consistent with the HUL, this area should include intangible heritage management.	When the HUL approach is applied in a WHS, its boundaries need to be constantly reassessed.	Develop methods to assess OUV using the HUL approach.
4. To establish the barriers and facilitators to the implementation of the management approach proposed by the HUL Recommendation in Valparaíso.	There is no consensus on the concept of heritage, but there is agreement on the significance of Valparaíso's landscape beyond the historic centre.	Although Valparaíso's WHS is limited to its historic centre, the WHS nomination file mentions landscape values as part of the OUV.	The HUL Recommendation could be better implemented in a WHS defined as cultural landscape in an urban area.	The WHS should be redefined to include significant landscape elements as perceived by stakeholders and communities.	The HUL Recommendation requires that urban heritage management includes the integration of heritage conservation and urban planning through a landscape approach.	Research how to manage landscape values from the HUL approach, including environmental planning and climate change.

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Appendices

Appendix 1

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2	AF-78-2	Muelle de Valparaíso http://www.fotografiapatrimonial.cl/p/52476
3	FC-9350	Bolsa de Comercio http://www.fotografiapatrimonial.cl/p/46350
4	PFC-85	Cantina http://www.fotografiapatrimonial.cl/p/4256
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- El plazo de entrega es de 5 días hábiles.

-Indique tipo de resolución (300 o 72 dpi): **300dpi**

-Indique tipo de entrega del material (CD o mail): **_email**

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II) EL(LOS) USO(S) EXPRESAMENTE AUTORIZADO(S) ES (SON) (marque con uno o más círculos las opciones que corresponda)

- a) Publicación sin fines de lucro mediante su edición.
- ☒ b) Tesis o investigación sin fines de lucro, acreditada mediante certificado de alumno regular o carta otorgada por la universidad, carta del encargado de proyecto de fondo concursable o afín.
- c) Ejecución sin fines de lucro, mediante la emisión por radio o televisión, discos fonográficos, películas cinematográficas o cualquier otro medio.
- d) Exposición o exhibición pública sin fines de lucro.
- e) Otro (indique) _____

III) DESCRIPCIÓN DEL PROYECTO (Indique cómo y en qué contexto utilizará la(las) imagen(es) solicitada(s))

Tesis de Doctorado titulada: *Managing urban and landscape heritage through the Historic Urban Landscape approach: the case study of Valparaíso, Chile* (Gestión del patrimonio urbano y paisajístico a través del enfoque de Paisaje Urbano Histórico: el caso de estudio de Valparaíso, Chile).

IV) EL TERRITORIO AUTORIZADO PARA LLEVAR A CABO DICHO(S) USO(S) SERÁ: (marque con un círculo la opción que corresponda y, de ser procedente, agregue la información complementaria)

- a) Chile
- ☒ b) Chile y otros países: (indique) **Australia**
- c) Sólo extranjero: (indique) _____

V) EL(LOS) USO(S) MENCIONADO(S) SERÁ(N): (marque con un círculo la opción que corresponda)

- a) Remunerado
- ☒ b) Gratuito
- c) Descuento

FIRMA PERSONA NATURAL AUTORIZADA

En Santiago, a 19 de abril de 2019

ES DESEABLE QUE COMPLETE LA INFORMACIÓN SOLICITADA USANDO MEDIOS COMPUTACIONALES.
SI INGRESA LOS DATOS EN FORMA MANUSCRITA, HÁGALO USANDO LETRA CLARA.
EL MIN SE RESERVA EL DERECHO DE RECHAZAR FORMULARIOS CUYA INFORMACIÓN SEA ILEGIBLE.

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Appendix 2

Ethics Application Approved (08/08/2017)



Arturo Ortega Enquist <aortega@student.unimelb.edu.au>

Ethics Application 1749074.1 APPROVED

abp-research <abp-research@unimelb.edu.au>
To: Arturo Ortega Enquist <aortega@student.unimelb.edu.au>, Anna Catherine Hurlmann <anna.hurlmann@unimelb.edu.au>
Cc: abp-research <abp-research@unimelb.edu.au>

8 August 2017 at 02:10

8 August 2017



Dear Anna and Arturo,

I am pleased to advise that the Architecture, Building and Planning Human Ethics Advisory Group has approved the following Minimal Risk Project Version 1:

Project title: Managing cultural heritage through the Historic Urban Landscape approach: the case study of Valparaíso, Chile
Researchers: Dr A Hurlmann, A Ortega Enquist
Ethics ID: 1749074

The project has been approved for the period: 8 August to 31 December 2017.

It is your responsibility to ensure that all people associated with the project are made aware of what has been approved.

Research projects are normally approved to 31 December of the year of approval. Projects may be renewed yearly for up to a total of five years upon receipt of a satisfactory annual report. If a project is to continue beyond five years, a new application will normally need to be submitted.

Please note that the following conditions apply to your approval. Failure to abide by these conditions may result in suspension or discontinuation of approval and/or disciplinary action.

(a) **Limit of approval:** Approval is limited strictly to the research as submitted in your project application.

(b) **Amendments to project:** Any subsequent revisions or modifications you might wish to make to the project must be notified formally to the Human Ethics Advisory Group for further consideration and approval before the revised project can continue. If the Human Ethics Advisory Group considers that the proposed amendments are significant, you may be required to submit a new application for approval of the revised project.

(c) **Incidents or adverse effects:** Researchers must report immediately to the Advisory Group and the relevant Sub-Committee anything which might affect the ethical acceptance of the protocol including adverse effects on participants or unforeseen events that might affect continued ethical acceptability of the project. Failure to do so may result in suspension or cancellation of approval.

(d) **Monitoring:** All projects are subject to monitoring at any time by the Human Research Ethics Committee.

(e) **Annual Report:** Please be aware that the Human Research Ethics Committee requires that researchers submit an annual report on each of their projects at the end of the year, or at the conclusion of a project if it continues for less than this time. Failure to submit an annual report will mean that ethics approval will lapse.

(f) **Auditing:** All projects may be subject to audit by members of the Sub-Committee.

Please quote the ethics registration number and the name of the project in any future correspondence.

On behalf of the Human Ethics Advisory Group, I wish you well in your research.

Yours sincerely,

Associate Professor Chris Heywood

Associate Dean Research

Architecture, Building and Planning Human Ethics Advisory Group

Interview Consent Form (in English)



Faculty of Architecture, Building and Planning

PROJECT TITLE: "Managing cultural heritage thorough the Historic Urban Landscape approach: the case study of Valparaiso, Chile"

Name of participant: _____

Name of researcher(s): Andrea Ortega (Ph.D. Candidate), Dr. Anna Hurlimann (Supervisor) _____

1. I consent to participate in this project, the details of which have been explained to me, and I have been provided with a written plain language statement to keep.
2. I understand that after I sign and return this consent form it will be retained by the researcher.
3. I understand that my participation will involve an *interview* and I agree that the researcher may use the results as described in the plain language statement.
4. I acknowledge that:
 - (a) the possible effects of participating in the *interview* have been explained to my satisfaction;
 - (b) I have been informed that I am free to withdraw from the project at any time without explanation or prejudice and to withdraw any unprocessed data I have provided;
 - (c) the project is for the purpose of research;
 - (d) I have been informed that the confidentiality of the information I provide will be safeguarded subject to any legal requirements;
 - (e) I have been informed that with my consent the *interview will be audio-taped and I understand that audio-tapes* will be stored at University of Melbourne and may be destroyed after five years;
 - (f) my name will be referred to by a pseudonym in any publications arising from the research;
 - (g) I have been informed that a copy of the research findings will be forwarded to me, should I agree to this.

I consent to this *interview* being audio taped

☐ **yes** ☐ **no**
(please tick)

I wish to receive a copy of the summary project report on research findings

☐ **yes** ☐ **no**
(please tick)

Participant signature: _____

Date: _____

Interview Consent Form (in Spanish)



Facultad de Arquitectura, Construcción and Planificación

Formulario de consentimiento para personas participando en proyecto de investigación

TITULO DEL PROYECTO: "Gestión del patrimonio cultural a través de la aproximación de Paisaje Urbano Histórico: el caso de estudio de Valparaíso, Chile"

Nombre del participante: _____

Nombre del investigador: Andrea Ortega (Candidata a Doctora) / Dr. Anna Hurlimann (Supervisora) _____

1. Consiento mi participación en este proyecto, los detalles que me han sido explicados y que han sido proporcionado en la Declaración en Lenguaje Sencillo
2. Entiendo que después de firmar y devolver este formulario de consentimiento será retenido por el investigador.
3. Entiendo que mi participación implicará una **entrevista** y estoy de acuerdo en que el investigador pueda usar los resultados como se describe en la declaración en lenguaje sencillo.
4. Yo reconozco que:
 - (a) los posibles efectos de participar en la **entrevista** han sido explicados a mi satisfacción;
 - (b) me han informado de que soy libre de retirarme del proyecto en cualquier momento sin explicación o perjuicio y de retirar cualquier información no procesada que he proporcionado;
 - (c) el proyecto es para fines de investigación;
 - (d) me han informado de que la confidencialidad de la información que presento se salvaguardará con sujeción a cualquier requisito legal;
 - (e) me han informado que con mi consentimiento la **entrevista será grabada en audio y entiendo que las cintas de audio** serán almacenadas en la Universidad de Melbourne y pueden ser destruidas después de cinco años,
 - (f) mi nombre será referido por un seudónimo en cualquier publicación que surja de la investigación;
 - (g) me han informado de que se me enviará una copia de los resultados de la investigación y debo estar de acuerdo con esto

Consiento que esta **entrevista** sea grabada en audio

☐ **sí** ☐ **no**
(marque por favor)

Deseo recibir una copia del informe resumido con los resultados de la investigación ☐ **sí** ☐ **no**
(marque por favor)

Firma del participante: _____

Fecha: _____

Focus Group Consent Form (in English)



Faculty of Architecture, Building and Planning

PROJECT TITLE: "Managing cultural heritage through the Historic Urban Landscape approach: the case study of Valparaiso, Chile"

Name of participant: _____

Name of researcher(s): Andrea Orlega (Ph.D. Candidate), Dr. Anna Hurlimann (Supervisor) _____

1. I consent to participate in this project, the details of which have been explained to me, and I have been provided with a written plain language statement to keep.
2. I understand that after I sign and return this consent form it will be retained by the researcher.
3. I understand that my participation will involve a **focus group** and I agree that the researcher may use the results as described in the plain language statement.
4. I acknowledge that:
 - (a) the possible effects of participating in the **focus group** have been explained to my satisfaction;
 - (b) I have been informed that I am free to withdraw from the project at any time without explanation or prejudice and to withdraw any unprocessed data I have provided;
 - (c) the project is for the purpose of research;
 - (d) I have been informed that the confidentiality of the information I provide will be safeguarded subject to any legal requirements;
 - (e) I have been informed that with my consent the **focus group will be audio-taped and I understand that audio-tapes** will be stored at University of Melbourne and may be destroyed after five years;
 - (f) my name will be referred to by a pseudonym in any publications arising from the research;
 - (g) I have been informed that a copy of the research findings will be forwarded to me, should I agree to this.

I consent to this **focus group** being audio-taped

☐ yes ☐ no
(please tick)

I wish to receive a copy of the summary project report on research findings

☐ yes ☐ no
(please tick)

Participant signature: _____

Date: _____

Focus Group Consent Form (in Spanish)



Facultad de Arquitectura, Construcción and Planificación

Formulario de consentimiento para personas participando en proyecto de investigación

TITULO DEL PROYECTO: "Gestión del patrimonio cultural a través de la aproximación de Paisaje Urbano Histórico: el caso de estudio de Valparaíso, Chile"

Nombre del participante: _____

Nombre del investigador: Andrea Ortega (Candidata a Doctora) / Dr. Anna Hurlimann (Supervisora) _____

1. Consiento mi participación en este proyecto, los detalles que me han sido explicados y que han sido proporcionado en la Declaración en Lenguaje Sencillo
2. Entiendo que después de firmar y devolver este formulario de consentimiento será retenido por el investigador.
3. Entiendo que mi participación implicará un **focus group** y estoy de acuerdo en que el investigador pueda usar los resultados como se describe en la declaración en lenguaje sencillo.
4. Yo reconozco que:
 - (a) los posibles efectos de participar en el **focus group** han sido explicados a mi satisfacción;
 - (b) me han informado de que soy libre de retirarme del proyecto en cualquier momento sin explicación o perjuicio y de retirar cualquier información no procesada que he proporcionado,
 - (c) el proyecto es para fines de investigación;
 - (d) me han informado de que la confidencialidad de la información que presento se salvaguardará con sujeción a cualquier requisito legal,
 - (e) me han informado que con mi consentimiento el **focus group** será grabado en audio y entiendo que las cintas de audio serán almacenadas en la Universidad de Melbourne y pueden ser destruidas después de cinco años;
 - (f) mi nombre será referido por un seudónimo en cualquier publicación que surja de la investigación;
 - (g) me han informado de que se me enviará una copia de los resultados de la investigación y debo estar de acuerdo con esto

Consiento que este **focus group** sea grabado en audio

☐ **si** ☐ **no**
(marque por favor)

Deseo recibir una copia del informe resumido con los resultados de la investigación

☐ **si** ☐ **no**
(marque por favor)

Firma del participante: _____

Fecha: _____

Interview Plain Language Statement (in English)

Plain Language Statement



Project:

Managing cultural heritage through the Historic Urban Landscape approach: the case study of Valparaíso, Chile.

Dr. Anna Hurlimann (Responsible Researcher)

Faculty of Architecture, Building and Planning
University of Melbourne, Australia
Tel: +61 3 8344 6976
Email: anna.hurlimann@unimelb.edu.au

Ms. Andrea Ortega Esquivel (PhD Candidate)

Faculty of Architecture, Building and Planning
University of Melbourne, Australia
Tel: +56 (2) 23547756 (IEUT UC, Santiago, Chile)
Email: aortega@student.unimelb.edu.au

Introduction

You are invited to participate in the above research project, which is being conducted by Dr. Anna Hurlimann (Responsible Researcher) and Ms. Andrea Ortega Esquivel (PhD Candidate) of the Faculty of Architecture, Building and Planning at the University of Melbourne. The research is being conducted for Ms Ortega's PhD studies. The purpose of the study is to analyze how the Historic Urban Landscape (HUL) approach to cultural heritage management could be implemented in the city of Valparaíso, Chile. This Project has been approved by the Human Research Ethics Committee from the University of Melbourne.

What will I be asked to do?

You are invited to be part of a face to face interview, in a place convenient to you. The questions will surround your opinion about the current management of cultural heritage in Valparaíso and the possibility to apply the HUL in practice. You will be asked about your work from your organization/institution and what attributes and values you consider are significant in Valparaíso. The interview will be approximately 1 hour in duration. With your permission, the interview will be audio-recorded to ensure an accurate record of what you have said. Your name only will be used in the interview. In the analysis you will be identified by your job title and the institution in which you work. Hence your response might be potentially identifiable.

How will I receive feedback?

Once the thesis arising from this research has been completed, a brief summary of the findings will be available to you. Please tick the relevant box on the consent form if you would like to receive this. It is also possible that the results will be presented at academic conferences and published papers in academic journals. Additionally, the data used in this research project may also be used in future projects that are closely related to this project, or in the same general area of research as this project.

Do I have to take part?

Participation in this study is voluntary. Should you wish to withdraw at any stage, or to withdraw any unprocessed data you have supplied, you are free to do so without prejudice.

Where can I get further information?

If you have any questions or if you would like more information about the project please do not hesitate to contact the researchers at the contact details above. If you have any concerns about the conduct of the project which you do not wish to discuss with the research team please contact the Manager, Human Research Ethics, Office for Research Ethics and Integrity, The University of Melbourne, on ph: 8344 2073, or fax: 9347 6739.

How do I agree to participate?

If you wish to participate, indicate that you have read and understood this information by signing the Consent Form and sending it by e-mail. If you would like to participate, please contact Ms. Ortega (details above) and she will organize a time convenient for you.

Declaración en Lenguaje Sencillo



Proyecto:

Gestión del patrimonio cultural a través de la aproximación de Paisaje Urbano Histórico: el caso de estudio de Valparaíso, Chile.

Dra. Anna Hurlimann (Investigadora Responsable)

Facultad de Arquitectura, Edificación y Planificación
Universidad de Melbourne, Australia
Tel: +61 3 8344 6976
Email: anna.hurlimann@unimelb.edu.au

Sra. Andrea Ortega Esquivel (Candidata a Doctora)

Facultad de Arquitectura, Edificación y Planificación
Universidad de Melbourne, Australia
Tel: +56 (2) 23547756 (IEUT UC, Santiago, Chile)
Email: aortega@student.unimelb.edu.au

Introducción

Usted está invitado/a a participar en el proyecto mencionado previamente, el cual es conducido por la Dra. Anna Hurlimann (Investigadora Responsable) y la Sra. Andrea Ortega (Candidata a Doctora) de la Facultad de Arquitectura y Planificación de Universidad de Melbourne, Australia. La investigación es realizada por los estudios de doctorado llevado a cabo por la Sra. Ortega. El propósito de este estudio es analizar cómo el concepto de Paisaje Urbano Histórico (PUH) en el contexto de la gestión del patrimonio cultural podría ser implementado en la ciudad de Valparaíso, Chile. Este proyecto ha sido aprobado el Comité Asesor sobre Ética Humana de la Universidad de Melbourne.

¿Qué se me pedirá que haga?

Usted está invitado a ser parte de una entrevista cara a cara, en un lugar conveniente para usted. Las preguntas estarán relacionadas con su opinión sobre la gestión actual del patrimonio cultural en Valparaíso y la posibilidad de aplicar la aproximación de PUH en la práctica. Se le preguntará sobre su trabajo desde su organización/institución y qué atributos y valores que considera importantes en Valparaíso. La entrevista durará aproximadamente 1 hora. Con su permiso, la entrevista será grabada en audio para asegurar un registro exacto de lo que ha dicho. Su nombre solo se utilizará en la entrevista. En el análisis se identificará por su cargo y la institución en la que trabaja. Por lo tanto, sus respuestas podrían ser potencialmente identificables.

¿Cómo recibirá comentarios?

Una vez que la tesis desarrollada a través de esta investigación se haya completado, un breve resumen de los hallazgos estará disponible para usted. Por favor marque la casilla correspondiente en el Formulario de Consentimiento si desea recibirlo. También es posible que los resultados se presenten en conferencias académicas y en artículos publicados en revistas científicas. Además, los datos utilizados en este proyecto de investigación también pueden ser utilizados en proyectos futuros estrechamente relacionados con este proyecto, o en la misma área de investigación que este proyecto.

¿Tengo que participar?

Su participación en este estudio es voluntaria. Si usted desea retirarse en cualquier momento, o retirar cualquier información no procesada que usted haya entregado, usted es libre de hacerlo sin perjuicio.

¿Dónde puedo obtener más información?

Si usted tiene alguna pregunta o desea más información sobre el proyecto, no dude en ponerse en contacto con los investigadores a través de los datos de contacto que se indican más arriba. Si usted tiene alguna inquietud acerca de la conducción del proyecto que no desea discutir con el equipo de investigación, póngase en contacto con el Gerente de Ética de Investigación Humana de la Oficina de Ética e Integridad de la Investigación de la Universidad de Melbourne. Teléfono: 8344 2073 o Fax: 9347 6739.

¿Cómo acepto participar?

Si desea participar, indique que ha leído y entendido esta información firmando el Formulario de Consentimiento y enviándolo por correo electrónico. Si desea participar, por favor contacte a la Sra. Ortega (detalles de contacto más arriba) y ella coordinará la entrevista en un tiempo adecuado para usted.

Focus Group Plain Language Statement (in English)

Plain Language Statement



Project:

Managing cultural heritage through the Historic Urban Landscape approach: the case study of Valparaíso, Chile.

Dr. Anna Hurlimann (Responsible Researcher)

Faculty of Architecture, Building and Planning
University of Melbourne, Australia
Tel: +61 3 8344 6976
Email: anna.hurlimann@unimelb.edu.au

Ms. Andrea Ortega Esquivel (PhD Candidate)

Faculty of Architecture, Building and Planning
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Introduction

You are invited to participate in the above research project, which is being conducted by Dr. Anna Hurlimann (Responsible Researcher) and Ms. Andrea Ortega Esquivel (PhD Candidate) of the Faculty of Architecture, Building and Planning at the University of Melbourne. The research is being conducted for Ms. Ortega's PhD studies. The purpose of the study is to analyze how the Historic Urban Landscape (HUL) approach to cultural heritage management could be implemented in the city of Valparaíso, Chile. This Project has been approved by the Human Research Ethics Committee from the University of Melbourne.

What will I be asked to do?

You are invited to be part of a focus group interview. The focus group will consist of 10 members of the Valparaíso community, and Ms. Ortega, who will be facilitating discussion. The questions discussed will surround the concept of cultural heritage, and its management in Valparaíso. You will be asked about the values of Valparaíso that are significant in your opinion, and where they are located. The focus group will be held at "Junta de Vecinos Lyon Edwards" (Camino de Cintura 400, Cerro Alegre), and will be 1.5 hours in duration. With your permission, the focus group session will be audio-recorded to ensure an accurate record of what you and other participants have said. Your first name only will be used in the focus group discussion. In analyzing and reporting the results of the study, your real name will not be used, instead you will be given a pseudonym.

How will I receive feedback?

Once the thesis arising from this research has been completed, a brief summary of the findings will be available to you. Please tick the relevant box on the consent form if you would like to receive this. It is also possible that the results will be presented at academic conferences and as papers published in academic journals. Additionally, the data used in this research project may also be used in future projects that are closely related to this project, or in the same general area of research as this project.

Do I have to take part?

Participation in this study is voluntary. Should you wish to withdraw at any stage, or to withdraw any unprocessed data you have supplied, you are free to do so without prejudice.

Where can I get further information?

If you have any questions or if you would like more information about the project please do not hesitate to contact the researchers at the contact details above. If you have any concerns about the conduct of the project which you do not wish to discuss with the research team please contact the Manager, Human Research Ethics, Office for Research Ethics and Integrity, The University of Melbourne, on ph: 8344 2073, or fax: 9347 6739.

How do I agree to participate?

If you would like to participate, please contact Ms. Ortega (details above) and she will then contact you about the focus group time schedule.

Declaración en Lenguaje Sencillo



Proyecto:

Gestión del patrimonio cultural a través de la aproximación de Paisaje Urbano Histórico: el caso de estudio de Valparaíso, Chile.

Dra. Anna Hurlimann (Investigadora Responsable)

Facultad de Arquitectura, Edificación y Planificación
Universidad de Melbourne, Australia
Tel: +61 3 8344 6976
Email: anna.hurlimann@unimelb.edu.au

Sra. Andrea Ortega Esquivel (Candidata a Doctora)

Facultad de Arquitectura, Edificación y Planificación
Universidad de Melbourne, Australia
Tel: +56 (2) 23547756 (IEUT UC, Santiago, Chile)
Email: aortega@student.unimelb.edu.au

Introducción

Usted está invitado/a a participar en el Proyecto mencionado previamente, el cual es conducido por la Dra. Anna Hurlimann (Investigadora Responsable) y la Sra. Andrea Ortega Esquivel (Candidata a Doctora) de la Facultad de Arquitectura y Planificación de Universidad de Melbourne, Australia. La investigación es realizada por los estudios de doctorado llevado a cabo por la Sra. Ortega. El propósito de este estudio es analizar cómo el concepto de Paisaje Urbano Histórico (PUH) en el contexto de la gestión del patrimonio cultural podría ser implementado en la ciudad de Valparaíso, Chile. Este proyecto ha sido aprobado el "Grupo Asesor sobre Ética Humana" de la Universidad de Melbourne.

¿Qué se me pedirá que haga?

Usted está invitado/a a ser parte de un grupo focal de discusión. El grupo focal consistirá en una reunión con alrededor de 10 miembros de la comunidad local de la ciudad de Valparaíso, y la Sra. Ortega, quien facilitará la discusión. Las preguntas discutidas serán acerca del concepto de patrimonio cultural, su gestión y planificación en Valparaíso. A usted se le preguntará acerca de los atributos y valores patrimoniales que usted, en su opinión, cree son significativos en Valparaíso, y dónde están localizados esos atributos y valores. El grupo focal será desarrollado en la "Junta de Vecinos Lyon Edwards" (Camino de Cintura 400, Cerro Alegre), y durará entre 1,5 y 2 horas. Con su permiso, la reunión del grupo focal será grabada en audio con el fin de asegurar con registrar precisión lo que usted y los demás participantes comenten durante la discusión. Su primer nombre solo será usado durante la actividad del grupo focal de discusión.

¿Cómo recibiré comentarios?

Una vez que la tesis desarrollada a través de esta investigación se haya completado, un breve resumen de los hallazgos estará disponible para usted. Por favor marque la casilla correspondiente en el Formulario de Consentimiento si desea recibirlo. También es posible que los resultados se presenten en conferencias académicas y en artículos publicados en revistas científicas. Además, los datos utilizados en este proyecto de investigación también pueden ser utilizados en proyectos futuros estrechamente relacionados con este proyecto, o en la misma área de investigación que este proyecto.

¿Tengo que participar?

Su participación en este estudio es voluntaria. Si usted desea retirarse en cualquier momento, o retirar cualquier información no procesada que usted haya entregado, usted es libre de hacerlo sin perjuicio.

¿Dónde puedo obtener más información?

Si usted tiene alguna pregunta o desea más información sobre el proyecto, no dude en ponerse en contacto con los investigadores a través de los datos de contacto que se indican más arriba. Si usted tiene alguna inquietud acerca de la conducción del proyecto que no desea discutir con el equipo de investigación, póngase en contacto con el Gerente de Ética de Investigación Humana de la Oficina de Ética e Integridad de la Investigación de la Universidad de Melbourne. Teléfono: 8344 2073 o Fax: 9347 6739.

¿Cómo acepto participar?

Si desea participar, indique que ha leído y entendido esta información firmando el Formulario de Consentimiento y enviándolo por correo electrónico. La Sra. Ortega se pondrá en contacto con usted.

Fecha 31 Mayo 2017 HREC N° 1749074.1 Versión 1

Interviews: facilitator brief and questions (in English)

Faculty of Architecture, Building and Planning

Project title: “Managing cultural heritage thorough the Historic Urban Landscape approach: the case study of Valparaíso, Chile”



Interviews: Facilitator Brief

The aim of the in-depth interviews of the study is to establish how the Historic Urban Landscape (HUL) approach could be implemented in Valparaíso, including the identification of barriers and facilitators. The table below details the questions of the interviews.

Current cultural heritage management	1. What is your role in the organization/institution? 2. How long have you been working in the organization/institution? 3. How does your institution define cultural heritage? 4. How do you use the national law and the regulatory plan in relation to the management of cultural heritage? 5. What kind of attributes and values do you consider are the most significant in Valparaíso? 6. Do you think is important to consider what communities value in the cultural heritage management of Valparaíso? (If yes, why? If no, why not?) 7. Is the declaration of WHS representative of the most significant attributes and values of Valparaíso? (If yes, why? If no, why not?)
HUL theory	8. What values do you think are important to protect for future generations? 9. How vulnerable do you think these values are to urban and environmental change? 10. Have you heard about the HUL approach? a. If yes, what is your understanding of this approach, and how it differs from what happens presently? b. If no, provide him/her with some detail.
HUL approach in practice	11. Do you think it is possible to implement HUL in the practice of heritage management in Valparaíso? a. If yes, how could this be implemented? b. If not, what institutional changes should be necessary to develop in order to implement this approach? 12. What actions do you think should be prioritized for conservation and development of cultural heritage in Valparaíso?

Interviews: questions

Current cultural heritage management

1. What is your role in the organization/institution, and how long have you been there? (1 min)

2. How long have you been working in the organization/institution? (1 min)

3. How does your institution define cultural heritage? (3 min)

4. How do you use the national law and the regulatory plan in relation to the management of cultural heritage? (5 min)

5. What kind of attributes and values do you consider are the most significant in Valparaíso? (10 min)

6. Do you think is important to consider what communities value in the cultural heritage management of Valparaíso? (If yes, why? If no, why not?) (5 min)

7. Is the declaration of WHS representative of the most significant attributes and values of Valparaíso? (If yes, why? If no, why not?) (5 min)

HUL theory

8. What values do you think are important to protect for future generations? (5 min)

9. How vulnerable do you think these values are to urban and environmental change? (5 min)

10. Have you heard about the HUL approach? (10 min)

a. If yes, what is your understanding of this approach, and how it differs from what happens presently?

b. If no, provide them with some detail.

HUL approach in practice

11. Do you think it is possible to implement HUL in the practice of heritage management in Valparaiso? (5 min)

a. If yes, how could this be implemented?

b. If not, what institutional changes should be necessary to develop in order to implement this approach?

12. What actions do you think should be prioritized for conservation and development? (5 min)

(60 minutes in total)

Interviews: facilitator brief and questions (in Spanish)

Facultad de Arquitectura, Edificación y Planificación

Título del proyecto: "Gestión del patrimonio cultural a través de la aproximación de Paisaje Urbano Histórico: el caso de estudio de Valparaíso, Chile"



Entrevistas: resumen para el facilitador

El objetivo de las entrevistas en profundidad del estudio es establecer cómo el enfoque del Paisaje Urbano Histórico (PUH) podría ser implementado en Valparaíso, incluyendo la identificación de barreras y facilitadores. La tabla a continuación detalla las preguntas de las entrevistas.

Actual gestión del patrimonio cultural	1. ¿Cuál es su rol en la organización/institución donde usted trabaja? 2. ¿Hace cuánto tiempo trabaja ahí? 3. ¿Cómo define su institución el concepto de patrimonio? 4. ¿Cómo utiliza usted la legislación nacional y el plan regulador comunal en relación con la gestión del patrimonio cultural? 5. ¿Qué tipo de atributos y valores considera usted los más significativos en Valparaíso? 6. ¿Cree usted que es importante tener en cuenta lo que las comunidades valoran en la gestión del patrimonio cultural de Valparaíso? Explicar. 7. ¿Cree usted que la declaración de Sitio de Patrimonio Mundial es representativa de los atributos y valores más significativos de Valparaíso? Explicar.
Teoría del Paisaje Urbano Histórico	8. ¿Qué valores cree usted son importantes de proteger para transmitirlos hacia las generaciones futuras? 9. ¿Cuán vulnerables cree usted que son estos valores ante las presentes dinámicas de cambios urbanos y ambientales? 10. ¿Ha oído hablar del enfoque Paisaje Urbano Histórico? a. En caso afirmativo, ¿cuál es su entendimiento de este enfoque, y cómo difiere de lo que sucede actualmente? b. En caso negativo, proporcionar algunos detalles.
Paisaje Urbano Histórico en la práctica	11. ¿Cree usted que es posible implementar la aproximación de Paisaje Urbano Histórico en la práctica de la gestión del patrimonio en Valparaíso? a. En caso afirmativo, ¿cómo podría aplicarse esto? b. De no ser así, ¿qué cambios institucionales deberían ser necesarios para desarrollar este enfoque? 12. ¿Qué acciones cree usted deberían ser priorizadas para la conservación y el desarrollo del patrimonio de Valparaíso?

Entrevistas: preguntas

Actual gestión del patrimonio cultural

1. ¿Cuál es su rol en la organización/institución donde usted trabaja? (1 min)

2. ¿Hace cuánto tiempo trabaja ahí? (1 min)

3. ¿Cómo define su institución el concepto de patrimonio? (3 min)

4. ¿Cómo utiliza usted la legislación nacional y el plan regulador comunal en relación con la gestión del patrimonio cultural? (5 min)

5. ¿Qué tipo de atributos y valores considera usted los más significativos en Valparaíso? (10 min)

6. ¿Cree usted que es importante tener en cuenta lo que las comunidades valoran en la gestión del patrimonio cultural de Valparaíso? Explicar. (5 min)

7. ¿Cree usted que la declaración de Sitio de Patrimonio Mundial es representativa de los atributos y valores más significativos de Valparaíso? Explicar. (5 min)

Teoría del Paisaje Urbano Histórico

8. ¿Qué valores cree usted son importantes de proteger para transmitirlos hacia las generaciones futuras? (5 min)

9. ¿Cuán vulnerables cree usted que son estos valores ante las presentes dinámicas de cambios urbanos y ambientales? (5 min)

10. ¿Ha oído hablar del enfoque Paisaje Urbano Histórico? (10 min)

a. En caso afirmativo, ¿cuál es su entendimiento de este enfoque, y cómo difiere de lo que sucede actualmente?

b. En caso negativo, proporcionar algunos detalles.

Paisaje Urbano Histórico en la práctica

11. ¿Cree usted que es posible implementar la aproximación de Paisaje Urbano Histórico en la práctica de la gestión del patrimonio en Valparaíso? (5 min)

a. En caso afirmativo, ¿cómo podría aplicarse esto?

b. De no ser así, ¿qué cambios institucionales deberían ser necesarios para desarrollar este enfoque?

12. ¿Qué acciones cree usted deberían ser priorizadas para la conservación y el desarrollo del patrimonio de Valparaíso? (5 min)

(60 minutos en total)

Focus group: facilitator brief and questions (in English)

Faculty of Architecture, Building and Planning

Project title: “Managing cultural heritage thorough the Historic Urban Landscape approach: the case study of Valparaiso, Chile”



Focus Group: facilitator brief

The aim of the focus groups of the study is to recognize what heritage communities value from the HUL approach in Valparaiso. The table below details the questions of the focus groups.

Topics	Type of questions to cultural heritage communities
Concept of cultural heritage	1. What does cultural heritage mean to you? 2. What does heritage community means to you?
Cultural heritage management in Valparaiso	3. What do you think about the management of cultural heritage in Valparaiso? 4. What do you think about the nomination of Valparaiso as WHS by the UNESCO? 5. What role has your community in the management of cultural heritage of Valparaiso?
Mapping heritage values from the HUL approach	6. What tangible and intangible attributes are the most significant in Valparaiso? 7. Could you please locate this attributes in the map? 8. Do you think is possible to protect the intangible as well as the tangible? How?
Transmission of heritage values	9. Imagine an extreme scenario: What values would you save for transmission to future generations?

In addition, between questions 7 to 9 the activity will be complemented with a mapping activity. Participants will be asked to locate what tangible and intangible attributes are significant in Valparaiso in a map that will be provided to them.

Focus Group: questions

Key principles of focus group design as advocated by Krueger and Casey (2000) have been used to design the sequencing of the draft focus group questions presented below.

As participants are arriving

The convenor should:

Give details of ethics:

- a) information sheets
- b) consent (signing forms) for audio taping

Opening statements by the convenor (5 minutes)

The convenor should:

- Introduce her.
- Raise housekeeping matters (where the toilet is etc)
- Explain the purpose of the focus group:

As you are probably aware, Valparaíso has been defined as World Heritage Site in 2003. However, what you may not know is that in 2013 the UNESCO proposed that the Historic Urban Landscape (HUL) approach should be applied. The HUL is a concept that is written in a recommendation for historic cities by the UNESCO and indicates the historic cities have both tangible and intangible heritage, which are constantly changing, and include different layers of landscape attributes. Also, the recommendation includes steps on how to manage historic cities, including planning policies, involving different actors and community values. Therefore, this research aims to analyse whether the HUL approach could be implemented to improve cultural heritage management in Valparaíso and this focus group aims to recognize what heritage communities value.

Opening Questions (5 minutes)

Please fill the questionnaire and introduce yourself.

0. Tell us your name, and how long you have lived in Valparaíso

(NB: The purpose of such a question is to engage the participants and get them talking and feel comfortable. Such questions should be easy to answer and it is best to ask for facts. It is important not to highlight power or status differences among participants - thus I have not asked for education or occupation)

Introductory Questions (10 minutes)

1. What does cultural heritage mean to you?

2. What does heritage community means to you?

(NB: Should introduce the topic of discussion and get people to start thinking about their connection with the topic. Encourage conversation. Typically open ended questions that allow participants to tell about how they see or understand the issue under investigation. Begin to give the moderator clues about participants' views)

Transitional Questions (15 minutes)

Convenor to talk about the area declared as WHS and the heritage area protected by the local regulatory plan, where the focus group is held. Also, highlighting that the HUL recommends including the wider urban scale and not just the historic centre.

3. What do you think about the management of cultural heritage in Valparaiso?

4. What do you think about the nomination of Valparaiso as WHS by the UNESCO?

5. What role has your community in the management of cultural heritage of Valparaiso?

(NB: Move from the conversational to the key questions that drive the study. Serve as a logical link between the introductory questions and the key questions. During these questions the participants become aware of how others view the topic. Usually ask for more depth than introductory questions. Makes the connection between the participant and the topic of investigation)

Key Questions and Mapping (45 minutes)

6. What tangible and intangible attributes are the most significant in Valparaiso?

7. Could you please locate this attributes in the map?

8. Do you think is possible to protect tangible and intangible as well as the tangible? How?

(NB: the key questions drive the study. Typically 2-5 questions in this category. Require the greatest attention in the analysis. Should be given 10-20 mins each. Should begin 1/3-1/2 way through focus group)

Ending Questions (10 minutes)

9. Imagine an extreme scenario: What values would you save for transmission to future generations?

Convenor to provide a summary of the focus group discussion surrounding the key questions

Is that an adequate summary of the discussion?
Is there anything I have missed?

(NB: These bring closure to the discussion, allow participants to reflect on previous comments, and are critical to the analysis. 3 main types of questions: 1) All things considered question which is used to determine the final position of participants on critical areas of concern, allows each participant to reflect on all comments raised in the discussion and identify which aspects are most important and in most need of action - often ask all members this question. 2) Summary question is asked after the moderator or assistant has given a short oral summary (2-3 mins) of the discussion evoked by the key questions. After this the participants are asked if it is an adequate summary)

(90 minutes total)

Focus group: facilitator brief and questions (in Spanish)

Facultad de Arquitectura, Edificación y Planificación

Título del proyecto: “Gestión del patrimonio cultural a través de la aproximación de Paisaje Urbano Histórico: el caso de estudio de Valparaíso, Chile”



Grupo Focal: resumen para el facilitador

El objetivo de los grupos focales de este estudio es reconocer lo que las comunidades patrimoniales valoran en Valparaíso desde la aproximación de Paisaje Urbano Histórico. A continuación, la tabla detalla las preguntas que se realizarán en los grupos focales.

Tema	Tipos de preguntas a las comunidades patrimoniales
Concepto de patrimonio cultural	1. ¿Qué significa para usted patrimonio cultural? 2. ¿Qué significa para usted el concepto de comunidad patrimonial?
Gestión del patrimonio cultural en Valparaíso	3. ¿Qué piensa usted de la gestión del patrimonio cultural en Valparaíso? 4. ¿Qué piensa usted de la nominación de Valparaíso como Sitio de Patrimonio Mundial de la Humanidad definido por la UNESCO? 5. ¿Qué papel tiene su comunidad en la gestión del patrimonio cultural de Valparaíso?
Mapeo de valores patrimoniales desde la aproximación de Paisaje Urbano Histórico	6. ¿Qué atributos tangibles e intangibles son los más significativos para usted en Valparaíso? 7. ¿Podría localizar estos atributos en el mapa? 8. ¿Cree usted que es posible proteger lo intangible, así como lo tangible? ¿Cómo?
Transmisión de valores patrimoniales	9. Imagine un escenario extremo ¿Qué valores patrimoniales usted salvaría con el fin de transmitírselos a las futuras generaciones?

Además, entre las preguntas 6 a 8 la actividad del grupo focal se complementará con una actividad de mapeo participativo. A los participantes se les pedirá que ubiquen qué atributos tangibles e intangibles son significativos en Valparaíso en un mapa que se les proporcionará en ese momento.

Grupo focal: preguntas

Los principios claves del diseño de grupos focales, como lo proponen Krueger y Casey (2000), se han utilizado para diseñar la secuencia de las preguntas del grupo focales preliminares, presentadas a continuación.

Cuando los participantes estén llegando, el coordinador debe:

Dar los detalles relacionados a la ética de la investigación

- A) hojas informativas
- B) consentimiento (firma de formularios) para grabación de audio

Declaraciones de apertura por parte del convocante (5 minutos)

El convocante debe:

- Presentarse
- Indicar asuntos domésticos (donde está el baño, etc)
- Explicar el propósito del grupo focal:

Como probablemente ustedes saben, Valparaíso ha sido reconocido como Patrimonio de la Humanidad en el año 2003. Sin embargo, lo que probablemente ustedes desconocen es que en el año 2013 la UNESCO propuso a las autoridades locales aplicar el enfoque del Paisaje Urbano Histórico (PUH) en la gestión del patrimonio de Valparaíso. El PUH es un concepto que está escrito en una recomendación para las ciudades históricas por la UNESCO e indica que las ciudades históricas tienen patrimonio tanto tangible como intangible, que están cambiando constantemente, e incluyen diversas capas de atributos paisajísticos. Además, la recomendación incluye pasos específicos sobre cómo gestionar las ciudades históricas, incluyendo políticas de planificación, involucrando a diferentes actores y valores comunitarios. En este contexto, esta investigación tiene como objetivo analizar si el enfoque de PUH podría ser implementado para mejorar la gestión del patrimonio cultural en Valparaíso y este grupo focal pretende específicamente reconocer lo que valoran las comunidades del área patrimonial más allá del límite del Sitio de Patrimonio Mundial.

Preguntas iniciales (5 minutos)

Por favor, rellene el cuestionario y preséntese ante el grupo focal.

0. Díganos su nombre y cuánto tiempo ha vivido en Valparaíso

(Nota El propósito de esta pregunta es involucrar a los participantes y hacer que hablen y se sientan cómodos. Las preguntas deben ser fáciles de responder y lo mejor es pedir hechos. No es importante destacar las diferencias de poder o de estatus entre los participantes, por lo tanto se pide indicar nivel educativo ni ocupación)

Preguntas introductorias (10 minutos)

1. ¿Qué significa para usted patrimonio cultural?

2. ¿Qué significa para usted el concepto de comunidad patrimonial?

(Nota: Se debe introducir el tema de la discusión y hacer que la gente comience a pensar en su conexión con el tema. Animar la conversación. Hacer preguntas típicamente abiertas que permitan a los participantes contar acerca de cómo ven o entienden el tema de investigación. Comenzar a dar pistas al moderador sobre las opiniones de los participantes)

Preguntas de transición (15 minutos)

El encargado debe hablar sobre el área declarada como Sitios de Patrimonio Mundial y el área patrimonial protegida por el Plan Regulador Comunal, donde se realiza el grupo focal. También, destacando que la aproximación de PUH recomienda incluir la escala urbana más amplia y no sólo el centro histórico.

3. ¿Qué piensa usted de la gestión del patrimonio cultural en Valparaíso?

4. ¿Qué piensa usted de la nominación de Valparaíso como Sitio de Patrimonio Mundial de la Humanidad definido por la UNESCO?

5. ¿Qué papel tiene su comunidad en la gestión del patrimonio cultural de Valparaíso?

(Nota: Pasar de la conversación a las preguntas clave que impulsan el estudio. Sirve de enlace lógico entre las preguntas introductorias y las preguntas clave. Durante estas preguntas los participantes toman conciencia de cómo otros ven el tema. Esta parte suele pedir más profundidad que las preguntas introductorias. Hace la conexión entre el participante y el tema de la investigación)

Preguntas clave y mapeo (45 minutos)

6. ¿Qué atributos tangibles e intangibles son los más significativos para usted en Valparaíso?

7. ¿Podría localizar estos atributos en el mapa?

8. ¿Cree usted que es posible proteger lo intangible, así como lo tangible? ¿Cómo?

(Nota: las preguntas clave conducen el estudio. Generalmente son entre 2 y 5 preguntas en esta categoría. Requieren la mayor atención en el análisis. Se debe dar 10-20 minutos por cada pregunta)

Preguntas finales (10 minutos)

9. Imagine un escenario extremo ¿Qué valores patrimoniales usted salvaría con el fin de transmitirlos a las futuras generaciones?

El encargado debe proporcionar un resumen de la discusión del grupo focal en relación a las preguntas clave.

¿Es un resumen adecuado de la discusión?

¿Hay algo que se haya perdido?

(Nota: El protocolo de cierre de la discusión permite a los participantes a reflexionar sobre los comentarios anteriores, y son fundamentales para el análisis. Hay 3 principales tipos de preguntas: 1) Todas las preguntas consideradas se utilizan para determinar la posición final de los participantes en las áreas críticas, permite a cada participante reflexionar sobre todos los comentarios planteados en la discusión e identificar qué aspectos son más importantes y con mayor necesidad de acción - a menudo se plantean a todos los miembros esta pregunta. 2) Se hace una pregunta resumida después de que el moderador o asistente haya dado un corto resumen oral (2-3 minutos) de la discusión evocada por las preguntas clave. Después se pregunta a los participantes si es un resumen adecuado)

(90 minutos en total)

Focus Group Questionnaire (in English)

Faculty of Architecture, Building and Planning

Project title: "Managing cultural heritage through the Historic Urban Landscape approach: the case study of Valparaíso, Chile"



Focus Group: questionnaire to identify participants

1. Name of participant:

2. Age:

3. Address

4. Email / Phone number

5. How long have you been living here Valparaíso?

6. Are you member of this Neighbourhood Centre?

7. Are you member of a Community Group in Valparaíso?

Focus Group Questionnaire (in Spanish)

Facultad de Arquitectura, Construcción y Planificación

Título del proyecto: "Gestión del patrimonio cultural a través de la aproximación de Paisaje Urbano Histórico: el caso de estudio de Valparaíso, Chile"



Grupo focal: cuestionario para identificar a los participantes

1. Nombre:

2. Edad:

3. Dirección:

4. Email / Teléfono

5. ¿Hace cuánto tiempo usted vive aquí en Valparaíso?

6. ¿Es usted miembro activo de esta Junta de Vecinos?

7. ¿Es usted miembro de un grupo comunitario en Valparaíso? ¿Cuál?

Appendix 3

Posters designed for the six focus groups conducted in Valparaíso

Grupo focal de discusión con
DIRECTIVAS DE JUNTAS DE VECINOS
para la identificación de los valores patrimoniales comunitarios del
Paisaje Urbano Histórico de Valparaíso



Jueves 31 de agosto / 18:30 -20:00
Montañeda 2653, sala 204
Universidad de Valparaíso Facultad de Medicina

Bello, Andrea (Jefa Regional, Arquitecta, Urbanista y Docente II en Planificación del Patrimonio Urbano)
Centro de Investigación de Comunidades e Informaciones Territoriales (CINUIT), Universidad de Valparaíso
Equipo de Investigación: Jefa de patrimonio cultural y Jefa de la administración del Paisaje Urbano Histórico, el caso de estudio de Valparaíso. (Bello, Andrea, arborgu@uval.cl, arborgu@uval.cl, arborgu@uval.cl) - 94000000

CNVIT CONSEJO NACIONAL DE VALORES PATRIMONIALES

Grupo focal de discusión abierto a la
COMUNIDAD PORTENA
para la identificación de los valores patrimoniales comunitarios del
Paisaje Urbano Histórico de Valparaíso



Jueves 14 de sept. / 18:30 -20:00
Parque Cultural de Valparaíso (Ex CANCEL)
CANCEL 471, Sala 2

Bello, Andrea (Jefa Regional, Arquitecta, Urbanista y Docente II en Planificación del Patrimonio Urbano)
Centro de Investigación de Comunidades e Informaciones Territoriales (CINUIT), Universidad de Valparaíso
Equipo de Investigación: Jefa de patrimonio cultural y Jefa de la administración del Paisaje Urbano Histórico, el caso de estudio de Valparaíso. (Bello, Andrea, arborgu@uval.cl, arborgu@uval.cl, arborgu@uval.cl) - 94000000

CNVIT CONSEJO NACIONAL DE VALORES PATRIMONIALES

Grupo focal de discusión con
DIRIGENTES VECINALES
para la identificación de los valores patrimoniales comunitarios del
Paisaje Urbano Histórico de Valparaíso



Jueves 19 de octubre / 18:30 -20:00
Serrano 546, Sala 12, 4to piso
Facultad de Humanidades, Universidad de Valparaíso

Bello, Andrea (Jefa Regional, Arquitecta, Urbanista y Docente II en Planificación del Patrimonio Urbano)
Centro de Investigación de Comunidades e Informaciones Territoriales (CINUIT), Universidad de Valparaíso
Equipo de Investigación: Jefa de patrimonio cultural y Jefa de la administración del Paisaje Urbano Histórico, el caso de estudio de Valparaíso. (Bello, Andrea, arborgu@uval.cl, arborgu@uval.cl, arborgu@uval.cl) - 94000000

CNVIT CONSEJO NACIONAL DE VALORES PATRIMONIALES

#3 grupo focal de discusión abierta a la
CERRO PLACERES
para la identificación de los valores patrimoniales comunitarios del
Paisaje Urbano Histórico de Valparaíso



Jueves 26 de sept. / 18:30 -20:30
Sede Junta de Vecinos 85
Av. Matta a la altura del 2000, Cerro Placeres

Bello, Andrea (Jefa Regional, Arquitecta, Urbanista y Docente II en Planificación del Patrimonio Urbano)
Centro de Investigación de Comunidades e Informaciones Territoriales (CINUIT), Universidad de Valparaíso
Equipo de Investigación: Jefa de patrimonio cultural y Jefa de la administración del Paisaje Urbano Histórico, el caso de estudio de Valparaíso. (Bello, Andrea, arborgu@uval.cl, arborgu@uval.cl, arborgu@uval.cl) - 94000000

CNVIT CONSEJO NACIONAL DE VALORES PATRIMONIALES

Grupo focal de discusión con la comunidad
BARRIO PUERTO
para la identificación de los valores patrimoniales comunitarios del
Paisaje Urbano Histórico de Valparaíso



Jueves 26 de oct. / 19:30-12:30
Santo Domingo 71
Oficinas de La Matriz, Barrio Puerto.

Bello, Andrea (Jefa Regional, Arquitecta, Urbanista y Docente II en Planificación del Patrimonio Urbano)
Centro de Investigación de Comunidades e Informaciones Territoriales (CINUIT), Universidad de Valparaíso
Equipo de Investigación: Jefa de patrimonio cultural y Jefa de la administración del Paisaje Urbano Histórico, el caso de estudio de Valparaíso. (Bello, Andrea, arborgu@uval.cl, arborgu@uval.cl, arborgu@uval.cl) - 94000000

CNVIT CONSEJO NACIONAL DE VALORES PATRIMONIALES

Grupo focal de discusión con la comunidad de
CERRO BARÓN
para la identificación de los valores patrimoniales comunitarios del
Paisaje Urbano Histórico de Valparaíso



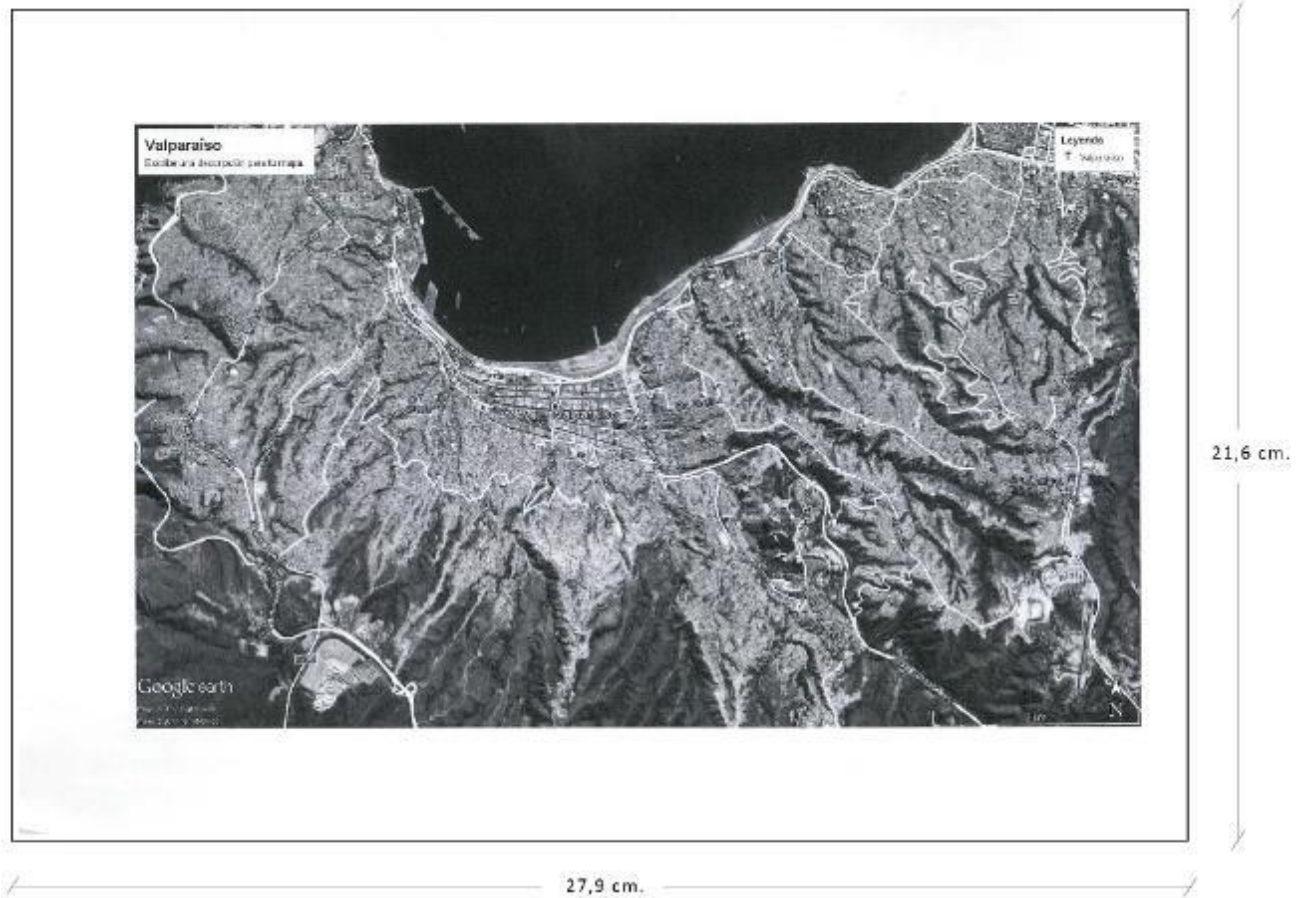
Viernes 10 de nov. / 19:00-20:30
Junta de Vecinos Cerro Barón
Calles 10 y Milre (Ex Mercado Barón).

Bello, Andrea (Jefa Regional, Arquitecta, Urbanista y Docente II en Planificación del Patrimonio Urbano)
Centro de Investigación de Comunidades e Informaciones Territoriales (CINUIT), Universidad de Valparaíso
Equipo de Investigación: Jefa de patrimonio cultural y Jefa de la administración del Paisaje Urbano Histórico, el caso de estudio de Valparaíso. (Bello, Andrea, arborgu@uval.cl, arborgu@uval.cl, arborgu@uval.cl) - 94000000

CNVIT CONSEJO NACIONAL DE VALORES PATRIMONIALES

Appendix 4

Google Map image of Valparaíso provided for the focus group participants



Appendix 5

Percentage of coverage of HUL key terms in Valparaíso's policy documents.

HUL key term	HUL Recommendation	WHS Nomination File	National Policy of Culture	National Policy of Urban Development	Law of Monuments and Regulation of Typical Zones	General Law and Ordinance of Urbanism and Constructions	Communal Regulatory Plan of Valparaíso	Director Plan of Heritage Management of Valparaíso
Urban	5.58	0.8	0.02	2.28	0.2	0.61	0.67	0.65
Managing	3.93	0.87	1.5	0.91	0.57	0.66	0.63	1.75
Historic	3.53	0.23	0.3	0.04	1.4	0.06	0.32	0.27
Areas	2.37	2.01	0.73	1.42	0.15	0.42	0.34	0.45
Cultural	2.21	0.13	2.42	0.75	0.1	0.01	0.17	0.13
Heritage	1.68	0.68	0.45	0.29	0.07	0.05	0.06	1.1
Landscape	1.68	0.1	0	0.02	0.02	0	0.24	0.15
Development	1.55	0.18	0.48	0.8	0.02	0.05	0	0.26
Environment	1.39	0.05	0.15	0.37	0.36	0.01	0.03	0.11
Communities	1.35	0.51	0.62	0.87	0.21	0.27	0.36	0.27
International	1.03	0.08	0.32	0.1	0	0	0	0.06
Values	1.02	0.13	0.22	0.46	0.23	0.23	0.07	0.3
Integral	0.77	0.04	0.06	0.32	0.02	0.02	0	0.04
Policies	0.74	0.02	0.59	0.73	0	0	0	0.06
Sustainable	0.70	0	0.04	0.3	0	0	0	0.01

Percentage of coverage of HUL key terms in Valparaíso's WHS Nomination File.

HUL key term	HUL Recommendation (2011)	WHS Nomination File (2003)
urban	5.58	0.8
managing	3.93	0.87
historic	3.53	0.23
areas	2.37	2.01
cultural	2.21	0.13
heritage	1.68	0.68
landscapes	1.68	0.1
development	1.55	0.18
environment	1.39	0.05
communities	1.35	0.51
international	1.03	0.08
values	1.02	0.13
integral	0.77	0.04
policies	0.74	0.02
sustainable	0.70	0

Percentage of coverage of HUL key terms in Valparaiso's national policies.

HUL key term	HUL Recommendation (2011)	National Policy of Culture (2017)	National Policy of Urban Development (2014)
urban	5.58	0.02	2.28
managing	3.93	1.5	0.91
historic	3.53	0.3	0.04
areas	2.37	0.73	1.42
cultural	2.21	2.42	0.75
heritage	1.68	0.45	0.29
landscapes	1.68	0	0.02
development	1.55	0.48	0.8
environment	1.39	0.15	0.37
communities	1.35	0.62	0.87
international	1.03	0.32	0.1
values	1.02	0.22	0.46
integral	0.77	0.06	0.32
policies	0.74	0.59	0.73
sustainable	0.70	0.04	0.3

Percentage of coverage of HUL key terms in Valparaiso's national laws.

HUL key term	HUL Recommendation (2011)	Law of Monuments and Regulation of Typical Zones (1970, 2017)	General Law and Ordinance of Urbanism and Constructions (1976, 1992)
urban	5.58	0.2	0.61
managing	3.93	0.57	0.66
historic	3.53	1.4	0.42
areas	2.37	0.15	0.01
cultural	2.21	0.1	0.01
heritage	1.68	0.07	0.05
landscapes	1.68	0.02	0
development	1.55	0.02	0.05
environment	1.39	0.36	0.01
communities	1.35	0.21	0.27
international	1.03	0	0
values	1.02	0.23	0.23
integral	0.77	0.02	0.02
policies	0.74	0	0
sustainable	0.7	0	0

Percentage of coverage of HUL key terms in Valparaíso's communal plans.

HUL key term	HUL Recommendation (2011)	Communal Regulatory Plan of Valparaíso (2010, 2018)	Director Plan of Heritage Management of Valparaíso (2012)
urban	5.58	0.67	0.65
managing	3.93	0.63	1.75
historic	3.53	0.32	0.27
areas	2.37	0.34	0.45
cultural	2.21	0.17	0.13
heritage	1.68	0.06	1.1
landscapes	1.68	0.24	0.15
development	1.55	0	0.26
environment	1.39	0.03	0.11
communities	1.35	0.36	0.27
international	1.03	0	0.06
values	1.02	0.07	0.3
integral	0.77	0	0.04
policies	0.74	0	0.06
sustainable	0.7	0	0.01

Appendix 6

Content analysis of the HUL Recommendation in English.

RECOMMENDATION ON THE HISTORIC URBAN LANDSCAPE			
What is heritage?	Why is heritage being managed?	How is heritage to be managed?	Who is to be involved in heritage definition and management?
		a) to undertake comprehensive surveys and mapping of the historic cities' natural, cultural and human resources; (b) to reach consensus using participatory planning and stakeholder consultations on what values to protect for transmission to future generations, and to determine the attributes that bear these values; (c) to assess the vulnerability of such attributes to socio-economic pressures and the impacts of climate change; (d) to integrate urban heritage values and their vulnerability status into a wider framework of city development, which shall provide indications of areas of heritage sensitivity which require careful attention to planning, design and implementation of development projects; (e) to prioritize actions for conservation and development; (f) to establish the appropriate partnerships and local management frameworks for each of the projects identified for conservation and development, as well as to develop mechanisms for the coordination of the various activities between different actors, both public and private	
Preamble			
Historic urban areas	Rapid/uncontrolled development	Integration management and planning strategies	UNESCO
Shaped by generations	Transforming urban areas	Local development processes and urban planning (contemporary architecture and infrastructure development)	Member States
Space and time	Fragmentation and deterioration	Application of a landscape approach	Local/national/regional authorities. Institutions, services or bodies and associations concerned
Urban heritage	Impacts on community values	Combined actions of local initiatives/international meetings	
Dynamic nature	Principle of Sustainable development/management	Guiding policies and practices extend the application of standards	
Natural and cultural heritage	UNESCO documents	HUL approach to urban heritage conservation	
Urban identity	Demographic shifts	Appropriate legislative institutional framework and measures	
Broader geographical setting	Global market liberalization	Applying the principles and norms	
	Mass tourism		
	Market exploitation		
	Climate change		
	Development pressures		
Introduction			
Tangible and intangible attributes	World's population in urban areas	Effective planning and management of resources	--
Key resource	Importance of urban areas (growth, innovation creativity, employment, education)	Adapt existing policies and to create new tools	
	Rapid / uncontrolled urbanization		

Broader recognition	Social / spatial fragmentation Deterioration quality of urban environment Excessive building density, standardized buildings Loss of public space Risk of climate-related disasters Conservation: strategy to balance urban growth / public policy Need to preserve shared values Need to integrate and frame strategies	Identifying, conservation and managing Considering interrelationships (physical forms, spatial organization, natural features, social values) Funded on previous UNESCO recommendations (modern conservation convention, charters) Support public and private actions	
---------------------	--	---	--

I. Definition			
Urban area Historic layering Cultural and natural values and attributes Beyond historic center and ensemble Broader urban context Geographical setting Natural features Built environment Historic and contemporary Infrastructures and open spaces Perceptions and visual relationships Elements of the urban structure Social and cultural practices and values Economic processes Intangible dimensions Diversity and identity	Cultural diversity and creativity: key assets for human and economic development	Comprehensive and integrated approach (identification, assessment, conservation, management) Overall sustainable development framework Preserving the quality of the human environment. Enhancing the productive a sustainable use of urban spaces Recognizing dynamic character Promoting social /functional diversity Integrating goals of urban heritage conservation /social economic development Sustainable relationship between urban/natural environment. Tools to manage physical and social transformations Ensure contemporary interventions are harmoniously integrated. Take into account regional context.	The HUL approach learn from the traditions and perceptions of local communities, while respecting the values of the national and international communities. Policy makers and managers deal more effectively with new challenges.
II. Challenges and opportunities for the historic urban landscape			
Discipline as practice of urban heritage have evolved	UNESCO Recommendations (role of historic areas, threats and principles) Increase in the world's urban population Urban settlements and historic urban areas: centre and rivers of economic growth, role in cultural and social life. Pressures: urbanization/ globalization / development / climate change / disasters / armed conflicts.	Enabling policy-makers and managers to deal more effectively with new challenged and opportunities Support communities in their quest for development and adaptation. Retaining the characteristics and values linked to their history and collective memory.	Policy-makers and managers
III. Policies			
--	--	Existing international recommendations and charters (modern urban conservation policies). Implementation of a new generation of public policies. Conservation of the urban heritage integrated into general policy planning and practices. Policies should provide mechanisms for balancing conservation and sustainability (short-long terms). Harmonious integration of contemporary interventions into the urban fabric.	Member States should integrate urban heritage conservation strategies into national development policies and agendas. Local authorities should prepare urban development plans. Public and private stakeholders should cooperate, inter alia, through partnerships. International organizations dealing with sustainable development processes National and international non-governmental organizations should participate. All levels of government – local, regional, national/federal, – aware of their responsibility – should contribute to the definition, elaboration, implementation and assessment.

IV. Tools			
--	--	Traditional and innovative tools Adapted to local contexts Involving different stake holders Civic engagement tools, identify key values, develop visions, set goals, agree on actions, promote sustainable development, intercultural dialogue, learning from communities, facilitation mediation and negotiation. Knowledge and planning tools, to protect integrity and authenticity, recognition of cultural significance and diversity, monitoring and management change documentation, mapping cultural and natural characteristics, heritage social and environmental assessments. Regulatory systems reflect local conditions, legislative and regulatory measures, traditional and customary systems. Financial tools, building capacities, supporting innovative income-generating, rooted in tradition, government and global funds from international agencies, foster private investment at local level, microcredit, flexible financing support, variety of model of partnerships.	Government and global funds from international agencies. Private investment at the local level. Financing to support local enterprise, as well as a variety of models of partnerships.
V. Capacity-building, research, information and communication			
--	--	Capacity building should involve the main stakeholders. In order to foster understanding of the HUL and its implementation active collaboration Define and redefine local strategies and objectives, action frameworks and resource mobilization schemes. Research on the complex layering Identify values, understand their meaning for communities and present them to visitors Scientific research on aspects of the HUL Cooperate at the different levels Document the state of urban areas and their evolution. Evaluation of proposals for change Improve protective and managerial skills and procedures. Use of information and communication technology to document, understand and present Collection and analysis of data Communicate with all sectors of society.	Capacity-building should involve the main stakeholders: communities, decision-makers, and professionals and managers. Effective capacity-building hinges on an active collaboration of these main stakeholders. Research should target the complex layering of urban settlements, in order to identify values, understand their meaning for the communities, and present them to visitors in a comprehensive manner. Academic and university institutions and other centres of research should develop scientific research. Cooperate at the local, national, regional and international level.

VI. International cooperation			
--	--	Strengthen the network of knowledge-sharing and capacity building. Promote international cooperation.	Member States and international governmental and non-governmental organizations should facilitate public understanding and involvement in the implementation. Promote multinational cooperation between local authorities. International development and cooperation agencies of Member States, non-governmental organizations and foundations should develop methodologies.
Appendix			
Historic area/city	--	--	--
Historic urban area			
Urban heritage			
Urban conservation			
Built environment			
Landscape approach			

Content analysis of the HUL Recommendation in Spanish.

RECOMENDACIÓN SOBRE EL PAISAJE URBANO HISTÓRICO			
¿Qué es patrimonio?	¿Por qué es gestionado?	¿Cómo se gestionada o debería ser gestionado?	¿Quién está involucrado en la definición de patrimonio y su gestión?
		a) llevar a cabo amplios estudios e inventarios de los recursos naturales, culturales y humanos de las ciudades históricas; b) lograr un consenso mediante una planificación participativa y consultas con las partes interesadas sobre los valores que se han de proteger para su transmisión a las generaciones futuras y determinar los atributos que vehiculan esos valores; c) evaluar la vulnerabilidad de esos atributos ante las presiones socioeconómicas y los efectos del cambio climático; d) integrar los valores del patrimonio urbano y su estado de vulnerabilidad en un contexto más amplio de desarrollo de las ciudades, que proporcionará indicaciones de zonas donde la situación del patrimonio es delicada y que requieren especial atención en materia de planificación, concepción y ejecución de proyectos de desarrollo; e) conceder prioridad a las actividades de conservación y desarrollo; f) establecer las alianzas y los marcos de ordenación local adecuados para cada uno de los proyectos de conservación y desarrollo seleccionados, y elaborar mecanismos para la coordinación de las diversas actividades entre los distintos agentes de los sectores público y privado	
Preámbulo			
Conjuntos históricos urbanos	Desarrollo rápido/incontrolado	Integrar estrategias de conservación, gestión y ordenación.	UNESCO
Generación tras generación	Transformaciones socioeconómicas	Procesos de desarrollo local y planificación urbana (arquitectura contemporánea y creación de infraestructuras)	Estados miembros
Tiempo y espacio	Fragmentación/deterioro	Aplicación de planteamiento paisajístico	Autoridades locales/nacionales/regionales
Patrimonio urbano	Afectando valores comunitarios	Conjunto de actividades iniciativas locales/reuniones internacionales	Instituciones, servicios u órganos y las asociaciones interesadas
Carácter dinámico	Principio de desarrollo sostenible/gestión	Orientar políticas y prácticas	
Patrimonio natural y cultural	Documentos normativos UNESCO	Amplia aplicación de normas	
Identidad urbana	Cambios demográficos	PUH manera de enfocar la conservación del patrimonio urbano	
Entorno geográfico más amplio	Liberalización y descentralización del mercado	Adoptar medidas y marco legislativo e institucional adecuado	
Visión más amplia	Turismo de masas	Aplicar principios y normas	
	Explotación comercial		
	Cambio climático		
	Presiones del desarrollo		
Introducción			
Material e inmaterial	Población mundial en zonas urbanas	Sustentar medidas públicas y privadas	--
Recurso capital	Importancia de zonas urbanas (crecimiento, innovación creatividad, empleo, educación)	Planificación gestión eficaces de los recursos	
	Urbanización rápida e incontrolada	Adaptación de políticas existentes	
	Fragmentación social y espacial	Creación de nuevos instrumentos	
	Deterioro en calidad del medio	Selección, conservación y gestión	

	Excesiva densidad de construcción, carácter uniforme de edificios Perdida de espacios públicos Riegos de desastres Conservación: estrategia de conciliación sostenible / políticas publica Necesidad de preservar valores comunes Necesidad de integrar y articular estrategias	Interrelaciones (formas físicas, organización, conexiones espaciales, entornos naturales, valores sociales) Inspirada en recomendaciones anteriores de la UNESCO (modernas convenciones y cartas de conservación)	
I. Definición			
Zona urbana Estratificación histórica Valores y atributos cultural y naturales Transciende conjunto o centro histórico Contexto urbano general Entorno geográfico Contexto más amplio (topografía, geomorfología, hidrología) Características naturales Medio urbanizado Espacios abiertos y jardines Patrones de uso del suelo / organización espacial Histórico como contemporáneo Infraestructuras y espacios abiertos Percepciones y relaciones visuales Elementos de la estructura urbana Usos y valores sociales y culturales Procesos económicos Aspectos inmateriales Diversidad e identidad Enfoque integral e integrado Diversidad cultural y creatividad Activos clave Medioambiente humano Espacios urbanos Carácter dinámico Diversidad social y funcional Patrimonio urbano Entorno histórico	Desarrollo humano y económico Marco general de desarrollo sostenible Calidad del ambiente humano Desarrollo social y económico Tanto la disciplina como la práctica de la conservación del patrimonio urbano han evolucionado significativamente en las últimas décadas.	Planteamiento global a integrado (identificación, evaluación, conservación, gestión) Plan general de desarrollo sostenible Preservar la calidad del medio Mejorando la utilización productiva y sostenible de los espacios urbanos Sin perder de vista el carácter dinámico Promoviendo diversidad social/funcional Confluyen objetivos de conservación del patrimonio urbano /desarrollo social y económico Relación equilibrada y sostenible entre el medio urbano y el medio natural Herramientas para la gestión de las transformaciones físicas y sociales Procura que las intervenciones contemporáneas de integren armónicamente Tomando en cuenta el contexto regional	La noción de PUH tiene en cuenta las tradiciones y percepciones de las comunidades locales a la vez que respeta los valores de la comunidades nacional e internacional.
II. Problemas y perspectivas en relación con el paisaje urbano histórico			
Asentamientos urbanos y áreas históricas Vida cultural y social. Valores atribuidos por las comunidades a las áreas urbanas y sus entornos	Evolución que ha experimentado la teoría y la praxis de la conservación del patrimonio urbano en los últimos decenios	Permite a planificadores y administradores a responder más eficazmente a nuevas dificultades y perspectivas. Respaldo a las comunidades en su afán de desarrollo y adaptación	Planificadores y administradores

Percepciones y realidades de sus habitantes y usuarios. Carácter tradicional de las áreas urbanas Sentido de lugar Integridad del tejido urbano Identidad de comunidades, su funcionalidad y papel tradicional	UNESCO Recommendations (role of historic areas, threats and principles) Increase in the world's urban population Urban settlements and historic urban areas: centre and rivers of economic growth, role in cultural and social life. Problemas: (en inglés es <i>challenges</i>, desafíos) Presiones: urbanización - globalización - crecimiento urbano - cambios no controlados - densidad urbana - crecimiento - cambios climáticos y medioambientales - desastres - conflictos armados - intensidad y velocidad de los cambios actuales - consumo de energía del agua. Impactos negativos: erosionar el carácter de un lugar, integridad del tejido urbano y la identidad de las comunidades - pérdida de funcionalidad - papel tradicional y poblaciones - insostenible - ciudades inviables - manera incorrecta o insuficiente desemboca en la destrucción de los elementos valiosos del patrimonio - pérdidas irremplazables para las generaciones futuras. Oportunidades: oportunidades económicas, sociales y culturales - desarrollo - mayor disponibilidad de innovaciones - tecnología de la información - planificación sostenible, diseño y prácticas de construcción - mejorar las áreas urbanas mejorar la calidad de la vida urbana - bienestar de las comunidades - garantizar la diversidad económica y social y la función residencial - sostenible desarrollo - políticas y prácticas ecológicamente sensibles - fortalecimiento de la sostenibilidad y calidad de la vida urbana - patrimonio natural y cultural como recursos para el desarrollo sostenible.	Sin renunciar a valores vinculados a su historia memoria colectiva. Asistir en la gestión y mitigación de dichos impactos.	
III. Políticas			
--	--	Recomendaciones y cartas internacionales existentes (políticas modernas de conservación urbana). Aplicación de una nueva generación de políticas públicas. Conservación del patrimonio urbano integrarse en formulación y aplicación de políticas. Políticas deben equilibrar conservación y sostenibilidad (corto-largo plazo) Integración armónica de las intervenciones contemporáneas en el entramado urbano histórico.	Estados Miembros deben integrar estrategias de conservación en sus políticas y programas nacionales de desarrollo Autoridades locales deben elaborar planes de desarrollo urbano con valores. Instancias públicas y privadas deben colaborar entre sí, estableciendo alianzas. Organizaciones internacionales que se ocupan de procesos de desarrollo sostenible. Organizaciones no gubernamentales nacionales e internacionales deben participar en la elaboración y difusión de herramientas y mejoras prácticas. Poderes publicaos de todos los niveles (local, regional y nacional/federal) deben ser conscientes de la responsabilidad (definir, elaborar, aplicar, evaluar)
IV. Herramientas			
--	--	Herramientas tradicionales o novedosas Adaptadas al contexto local. Participación de distintos interlocutores Herramientas de participación ciudadana (principales valores, elaborar visión, establecer objetivos, acordar medidas, [promover desarrollo sostenible, dialogo intercultural, aprender de las	Financiación pública y fondos de organismos internacionales Promover inversión privada local. Apoyo a empresas locales, junto con diversos tipos de alianzas.

		comunidades, facilitar procesos de mediación y negociación). Herramientas de conocimiento y planificación (proteger la integridad, autenticidad, diversidad e importancia cultural, mecanismos de observación y gestión de cambios, registrar, inventariar características culturales y naturales, evaluaciones de las repercusiones en patrimonio y medio ambiente). Sistemas normativos (condiciones locales, medidas legislativas y reglamentarias, sistemas tradicionales y consuetudinarios). Herramientas financieras (reforzar capacidades, apoyar formas de desarrollo innovadoras, ingresos basados en la tradición, financiación pública y de organismos internacionales, promover inversión privada local, microcréditos, forma de financiación flexible diversos tipos de alianzas).	
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V. Capacitación, investigación, información y comunicación			
--	--	Capacitación a principales partes interesadas. Para favorecer comprensión del PUH y su aplicación práctica, colaboración activa. Establecer y afinar objetivos y estrategias, marcos de acción y planes de movilización de recursos locales. Investigación en la compleja estratificación de asentamientos urbanos. Determinar valores, entender significado para las comunidades y visión de conjunto para los visitantes. Investigación científica en aspectos del PUH Colaborar en distintos niveles. Documentar estado de zonas urbanas y evolución. Evaluación de propuestas de cambio y mejorar procedimientos de gestión y protección Uso de tecnologías de la información y comunicación para registrar, entender y exponer. Obtención y análisis de datos Contacto con todos los sectores de la sociedad.	Capacitación de principales partes interesadas: comunidades, instancias decisorias, profesionales y administradores. Eficacia depende de que todos los interlocutores colaboren activamente. Comprender su significado para las comunidades. Instituciones académicas y universitarias y centros de investigación profundicen investigación científica. Colaboración entre si a escala, local, nacional, regional, internacional.
VI. Cooperación internacional			
--	--	Promueve cooperación internacional. Consolidar la red de intercambio de conocimientos y creación de capacidades. Promover la cooperación plurinacional entre autoridades locales.	Estados Miembros y organización internaciones gubernamentales y no gubernamentales deben hacer que el público entienda la noción de PUH y participe en su aplicación práctica. Promover cooperación plurinacional entre autoridades locales. Organismo de Cooperación y ayuda al desarrollo de los Estados Miembros, las organizaciones no gubernamentales y las fundaciones elaboran métodos.
Apéndice			
Conjunto histórico/ciudad histórica Conjunto urbano histórico Patrimonio urbano Conservación urbana Medio urbanizado Planteamiento paisajístico	--	--	--