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UNIVERSIDAD DE ORIENTE

Arenberg Doctoral School
Faculty of Engineering Science

Facultad de Construcciones
Departamento de Arquitectura y Urbanismo

Preventive Conservation of Historic Urban Areas Addressing Cultural Values and Socio-Economic Dynamics

Case Study of the Vista Alegre District in Santiago de Cuba

Luis E. Bello Caballero

Dissertation presented in partial
fulfilment of the requirements for the degree of
Doctor of Engineering Science (PhD): Civil Engineering
and Doctor of Technic Sciences (UO)

Supervisors:
Prof. Dr. María Muñoz Castillo
Prof. Dr. Koenraad Van Balen

Santiago de Cuba
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Santiago de Cuba
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A mi familia

A mis amigos

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ABSTRACT

ABSTRACT

Historic urban areas are threatened continuously by time- and context-specific political, economic, socio-cultural and technological factors that determine the changing nature of socio-economic dynamics, which in turn, also influence the meanings and perceptions of cultural values attributed these areas. Therefore, the interrelationship between cultural values and socio-economic dynamics is essential in heritage preservation. In particular, diverse social and economic phenomena have influenced the decay of historic urban areas in Cuba, leading to a permanent claim for integrated new approaches that can contribute to their preservation.

In this regard, this research relied on the preventive conservation of built heritage as an emerging alternative for sustainable conservation actions since it focuses on the causes of decay to reduce adverse effects on authenticity and integrity. Accordingly, the following questions guided the reasoning developed: To what extent the interrelationship between cultural values and socio-economic dynamics influences the preservation of historic urban areas? To what extent understanding this interrelationship can contribute to promoting preventive conservation strategies for historic urban areas, specifically for Vista Alegre District in Santiago de Cuba?

Thereby, the overall objective was to determine the influence of the interrelationship between cultural values and socio-economic dynamics on the preservation of historic urban areas, by developing an analytical sequence based on the preventive conservation approach, applied to the case study of the Vista Alegre District in Santiago de Cuba. To this end, it was necessary to review theoretical discussions and methodological approaches that helped to analyse the main concepts and understand the principles of preventive conservation. These fundamentals assisted in developing a multidisciplinary toolbox approach that structures the analytical sequence. The findings were revealed by analysing the case study.

This research's main contribution to knowledge was the integration of the otherwise separated concepts of cultural values and socio-economic dynamics in the context of preventive conservation, to determine their influence on the preservation of historic urban areas. The results can be considered as a framework that can assist the conservation and management of historic urban areas by facing the challenges posed by diverse social and economic phenomena.

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LIST OF ACRONYMS

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CENCREM	Centro Nacional de Conservación, Restauración y Museología. National Centre for Conservation, Restoration and Museology. Havana, Cuba
CMEA	Council for Mutual Economic Assistance
CNM	Consejo Nacional de Monumentos. National Commission on Monuments. Cuba
CNPC	Consejo Nacional de Patrimonio Cultural. National Council on Cultural Heritage. Cuba
DPPF	Departamento Provincial de Planificación Física. Provincial Department for Territorial and Urban Planning. Cuba
DPSIR	Drivers or driving forces, Pressures, State, Impact, Response. Model developed by the European Environment Agency
GCI	Getty Conservation Institute, Los Angeles, California, United States of America
GDP	Gross Domestic Product
HUL	Historic Urban Landscape
ICCROM	International Centre for the Study of the Preservation and Restoration of Cultural Property
ICOMOS	International Council on Monuments and Sites
KU Leuven	Katholieke Universiteit Leuven. Catholic University of Leuven
OCC	Oficina del Conservador de la Ciudad. City Conservation Office. Santiago de Cuba
OHCH	Oficina del Historiador de la Ciudad. City Historian Office. Old Havana, Cuba
ONEI	Oficina Nacional de Estadística e Información. National Statistics and Information Office. Cuba
PCC	Partido Comunista de Cuba. Cuba's Communist Party
PCPC	Plan de Conservación Preventiva de Cuenca. Preventive Conservation Plan for the city of Cuenca
PEST	Political, Economic, Socio-cultural and Technological factors
PRECOM^{3}OS	Preventive Conservation, Monitoring and Maintenance of Monuments and Sites
PRECO-Strat	Preventive Conservation Strategy. Developed by Aziliz Vandesande (2017)
RLICC	Raymond Lemaire International Centre for Conservation. Catholic University of Leuven
UN	United Nations
UNESCO	United Nations Educational, Scientific and Cultural Organization
UO	Universidad de Oriente
US	United States of America
VLIR	Vlaamsee Interuniversitary Raad. Council of Flemish Universities
VLIR CPM	Proyecto VLIR Cuenca Patrimonio Mundial.
VLIR IUC-UO	VLIR Program between the Council of Flemish Universities and the Universidad de Oriente
WB	World Bank
WHC	World Heritage Committee
WMF	World Monuments Fund

INTRODUCTION

Preventive Conservation of Historic Urban Areas Addressing Cultural Values and Socio-Economic Dynamics. Case Study of the Vista Alegre District in Santiago de Cuba

INTRODUCTION

Global organisations like UNESCO, together with its advisory bodies claim on the increasing need to safeguard cultural heritage as an expression of local identities. Its protection is a key to contribute to making cities and human settlements inclusive, safe, resilient and sustainable, as stated in the 2030 Agenda for Sustainable Development (UN, 2016). Within the broader notion of cultural heritage, historic urban areas are amongst most complex assets since they embody diverse expressions of heritage, which are constantly threatened by development pressures and social and economic changes.

The evolution of approaches to preserve historic urban areas is reflected in international policy and guidelines documents like –but not limited to– the World Heritage Convention (UNESCO, 1972), the Recommendation Concerning the Safeguarding and Contemporary Role of Historic Areas (UNESCO, 1976), the Washington Charter (ICOMOS, 1987), and more recently, the Recommendation on the Historic Urban Landscape. Even though these documents have been adopted under different historical circumstances, they have recurrently insisted on developing integrated actions based on sustainable strategies to face the challenges posed by social and economic phenomena. In the context of this research, these phenomena, and their changing

nature, which is driven by political, economic, socio-cultural and technological factors, have been encompassed in the term socio-economic dynamics.

Socio-economic dynamics have centred the attention of diverse institutions and authors because of its influence on the preservation of historic urban areas (GCI, 2009; Pereira Roders and Hudson, 2011; Guzman et al., 2018). Moreover, scholars have emphasised that socio-economic dynamics also influence the perception and meanings of cultural values attributed to these areas (Caraballo, 2011; Mason, 2013). As a result, there is an interrelationship between cultural values and socio-economic dynamics, which is vital in heritage preservation considering the principle that values lay at the core of conservation (Mason, 2002); that is to say, people preserve what they value.

Regarding cultural values, significant advances have been made to identify and characterise them using values' typologies, useful tools to comprehend the complexity of values as essential and permanent attributes given by certain individuals or groups to an object or site (De La Torre and Mason, 2002). Despite the fact that values are subjected to political, economic, socio-cultural, and technological factors (Caraballo, 2011; Tarrafa Silva and Pereira Roders, 2012), little research has addressed the extent to which values and socio-economic dynamics interrelate, and how this relationship influences the preservation of historic urban areas.

Among different intentions to link built heritage preservation and sustainability, the preventive conservation approach has emerged as an alternative that focuses on the causes of decay to reduce undesirable effects on authenticity and integrity, two non-renewable capitals (Vandesande, 2017). Various authors have pointed out that preventive conservation is an effective way to respond to the challenges that society faces with preserving its cultural heritage (Astudillo, 2011; Cardoso et al., 2018; Heras, 2014; Van Balen, 2017); therefore, more professionals and practitioners rely on this approach to develop policy guidelines, management strategies, conservation actions and research.

The theoretical and methodological contributions on preventive conservation have been promoted by the PRECOM^{3}OS UNESCO Chair[1], which aims at continuing elaborating the scientific background and understanding of this approach by applying it in different countries

[1] Established in 2009 as a result of the collaboration between the Catholic University of Leuven in Belgium, the Universidad de Cuenca and Monumentenwatch in Flanders. (Vandesande and Van Balen, 2013)

and cultural contexts (Van Balen and Vandesande, 2013). Accordingly, various studies and practical experiences have been conducted based on the four stages of the preventive conservation cyclical framework, i.e. anamnesis, diagnosis, therapy and control. However, the focus of these advances has been primarily, the physical deterioration of historic buildings.

Therefore, there is a gap in knowledge, since broader notions like historic urban areas have not been addressed in integrated approaches from the perspective of preventive conservation. This standpoint means that addressing these areas include a holistic analysis of urban and architectural features, i.e. the urban pattern, the relationship and proportions between built areas and green and open areas, the formal appearance of buildings as defined by scale, size, construction, materials, colour, and decoration; and the relationship with the surrounding setting. In addition, uses, meanings and cultural practices are also to be considered, leading to the all-encompassing definition of character-defining elements (Canada's Historic Places, 2010), which entail both, tangible and intangible features.

Moreover, taking into account that cultural values and socio-economic dynamics are likely to influence the preservation of historic urban areas' character-defining elements, this interrelationship has not been addressed considering a preventive conservation approach. For all the reasons exposed, this research is positioned within the network of the PRECOM^{3}OS UNESCO Chair to continue extending the knowledge on preventive conservation. The research actions were conducted under the umbrella of the VLIR IUC-UO Program[2] established between the Council of Flemish Universities and the Universidad de Oriente. Furthermore, this PhD project was also supported by the VLIR North-South-South Project "Latin American Axe on Preventive Conservation of Built Heritage"[3], which resulted from the collaboration between the Raymond Lemaire International Centre for Conservation, ascribed to the *Katholieke Universiteit Leuven* in Belgium, and the University of Cuenca.

In the specific case of Cuba, the term preventive conservation is somewhat new since no study related to built heritage has addressed it before. In this regard, the current socio-economic in the country, marked by a sequence of changes resulting from the 2011 Cuban Communist Party's

[2] https://www.vliruos.be/en/projects/project/22?pid=2614
[3] https://www.vliruos.be/en/projects/project/22?pid=3265

New Guidelines for the Economic and Social Policies (PCC, 2010), propitiates the context to introduce the term to address historic urban areas. These areas have been affected by adverse transformations as a result of changing socio-economic dynamics. Whereas most preservation efforts concentrate on the local notion of historic centres, other urban areas, which contain significant qualities in terms of urban and architectural features, remain more vulnerable to social and economic phenomena that threaten their integrity.

Several scholars have put forward the significance of districts like Centro Habana, El Cerro, El Vedado and Miramar in Havana, as well as Vista Alegre in Santiago de Cuba, selected as the case study. Even though there is a permanent claim for integrated conservation actions, the accumulation of negative impacts has resulted in the gradual loss of character-defining elements. The literature has centred the attention on causes like marginalisation, over-densification, livelihood, unawareness on cultural significance, lack of legal heritage protection, lack of regular maintenance actions, unharmonious constructions, uncontrolled constructive actions, inappropriate uses, failure to comply with urban regulations, and absence of management policies. All these issues are linked to socio-economic dynamics; besides, authors have also stressed the occurrence of extreme natural phenomena.

The decay of these areas has been typically addressed from the perspective of a straightforward association between current issues and social and economic phenomena, leaving a gap in the understanding of the role that cultural values can play. Consequently, the interrelationship between socio-economic dynamics and cultural values has not been analysed as part of the problem. Equally important is to address the problem with approaches that can help to focus on the causes to prevent or reduce negative impacts on character-defining elements, a principle that defines the preventive conservation approach. Given these arguments, it is possible to formulate the following **research questions**:

To what extent the interrelationship between cultural values and socio-economic dynamics influences the preservation of historic urban areas? To what extent understanding this interrelationship can contribute to promoting preventive conservation strategies for historic urban areas, specifically for Vista Alegre District in Santiago de Cuba?

Taking into account these research questions and the issues exposed, the **research problem** is the need to integrate the interrelationship between cultural values and socio-economic dynamics in the context of preventive conservation, in order to address the preservation of historic urban areas.

Accordingly, the **object of study** is cultural values and socio-economic dynamics within the preventive conservation of historic urban areas. Thereby, the **overall objective** is to determine the influence of the interrelationship between cultural values and socio-economic dynamics on the preservation of historic urban areas, by developing an analytical sequence based on the preventive conservation approach, applied to the case study of the Vista Alegre District in Santiago de Cuba.

This objective determines the **research domain**: the cause-effect association established between cultural values and socio-economic dynamics, and its effects on historic urban areas, integrated in the framework of preventive conservation.

The research focuses on the following **specific objectives**:

- To determine the conceptual background definition, theories, and methodological approaches about historic urban areas, and the links between cultural values and socio-economic dynamics.
- To determine the fundamentals of the preventive conservation approach extended to the notion of historic urban areas.
- To analyse and revise the evolution of the conservation and management of historic urban areas in Cuba.
- To develop an analytical sequence that can contribute to set guidelines for preventive conservation strategies for historic urban areas by interrelating cultural values and socio-economic dynamics.
- To apply the analytical sequence to the specific case study of the Vista Alegre District.

The research is built upon the following **hypothesis**: analysing the interrelationship between cultural values and socio-economic dynamics considering a preventive conservation approach

may contribute to establishing guidelines for therapy and control as part of historic urban areas preservation strategies.

In view of the results, the main contribution of this research to knowledge is threefold:

Theoretical: the research brings together the otherwise separated concepts of cultural values and socio-economic dynamics in the context of preventive conservation to determine their influence on the preservation of historic urban areas. Additionally, a theoretical and methodological contribution is made –fundamentally– to the anamnesis and diagnosis stages of the preventive conservation cyclical framework.

Methodological: the analytical sequence based on the preventive conservation of historic urban areas, which interrelates cultural values and socio-economic dynamics to establish guidelines for therapy and control. Accordingly, the preventive conservation framework (anamnesis, diagnosis, therapy and control) is extended to the notion of historic urban areas. Moreover, the DPSIR model (drivers, pressures, state, impact, response) is adapted to analyse the cause-effect association established between the main concepts addressed.

Practical: the extensive documentation of urban and architectural features of Vista Alegre District employing survey forms, photographic surveys, and the use of different ICT tools. These registries compose a volume of data related to the characteristics and condition of the District that were integrated into a GIS-based tool (geographic information system), this tool optimises the activities of information management and assist in setting the platform for monitoring alterations.

Originality and pertinence of the PhD research: the preventive conservation of built heritage is an emerging approach that has mainly been developed by the PRECOM^{3}OS UNESCO Chair. Accordingly, the pertinence of this research is given by the extension of the knowledge of this approach to deal with one of the most discussed subjects at the international level, the preservation of historic urban areas in light of the challenges posed by development pressures and changing socio-economic dynamics. Likewise, this research copes with the likely conflicts and balance between different perceptions and meanings of cultural values. The introduction of

these approaches in the local context, together with the use of various ICT tools with a multidisciplinary perspective, reflect the originality of this research.

Furthermore, the PhD is consistent with the outcomes of one of the main lines of research developed at the Universidad de Oriente: The protection of cultural heritage and the safeguarding of the Nation's identity.

Overall research methodology: various methods and techniques were employed to develop the reasoning linked to the sequence of research tasks. The review of the literature assisted in triangulating different authors' approaches, and in collating secondary data, which helped to define the theoretical and methodological background to address the main concepts. As for the context where this research is developed, it was necessary to follow a chronological logic to understand the historical evolution of conservation and management of historic urban areas. Finally, the collection of primary data supported the empirical research, which, together with the analysis of qualitative data led to analyse and synthesise the results regarding the case study.

Structure of the PhD research: Each of the specific objectives are linked to research tasks that correspond with the reasoning developed in throughout the chapters. (Fig. 1.1)

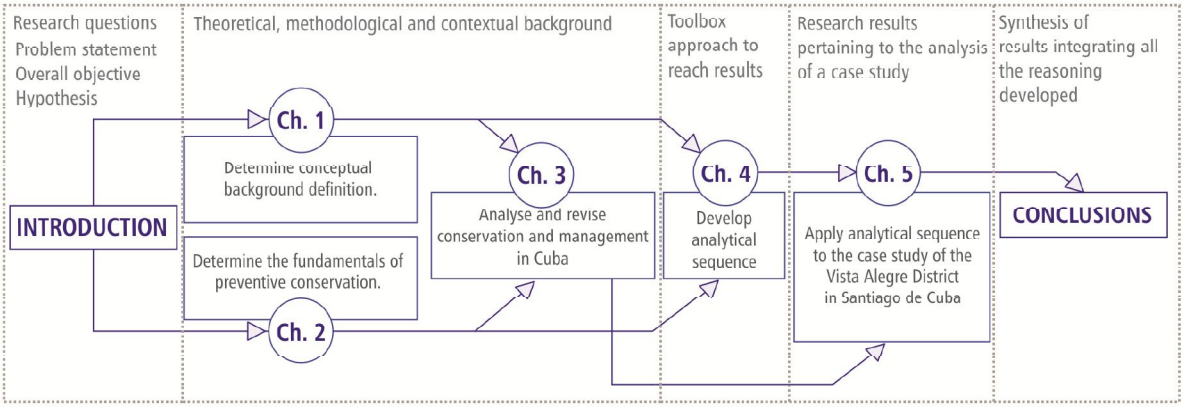

Fig. 1.1: *Research logic sequence*

After the introduction, Chapter 1 introduces historic urban areas in the context of international discourse. The subsequent sections expose the reasoning that led to define cultural values, making a distinction with heritage values; also, the term socio-economic dynamics is defined taking into account the field of built heritage conservation. Simultaneously, the approaches to

analyse these concepts are presented. This background helps to interrelate the different concepts in the Chapter's final section.

The next Chapter is built upon current knowledge and theoretical contributions related to preventive conservation in order to extend the fundamentals of this approach to the notion of historic urban areas. To this end, the preventive conservation cycle (anamnesis, diagnosis, therapy, and control) serves as the framework to provide an overall theoretical background considering historic urban areas. This reasoning is developed by making an analogy between the theoretical advances on preventive conservation and different international policy and guidelines documents related to historic urban areas.

In Chapter 3, the local context is introduced by revising previous contributions on the conservation and management of historic urban areas in Cuba. Based on a chronological logic, the advances and current issues are presented by making a distinction between the notion of historic centres and other historic urban areas.

The reasoning developed in Chapters 1 and 2, guides the development of the analytical sequence in Chapter 4, which is structured following the preventive conservation cyclical framework. This analytical sequence is based on a multidisciplinary toolbox approach since it uses methods and tools from different fields that help to analyse each concept individually and subsequently, integrate them.

The results of applying the analytical sequence to the case of Vista Alegre District, together with the collection and processing of data, are presented and discussed in Chapter 5. Finally, the synthesis of results, integrating all the reasoning developed in each chapter are exposed in the general conclusions, leading to final statements and recommendations for further research.

CHAPTER 1

Chapter 1

HISTORIC URBAN AREAS, CULTURAL VALUES, AND SOCIO-ECONOMIC DYNAMICS

Introduction

This Chapter aims to provide a conceptual background definition, to explain concepts, theories and methodological approaches used in the context of this research to support the understanding of the links between historic urban areas, cultural values, and socio-economic dynamics. The analysis of each concept individually opens the Chapter's logical sequence, which subsequently leads to discuss their interrelation. Accordingly, the first section provides a brief overall picture of the role of historic urban areas consistent with the current international discourse and the links with preventive conservation. This background information helps to introduce and argue the interrelationship between cultural values and socio-economic dynamics. Simultaneously, the tools and analytical frameworks that assisted in achieving the results of this research are presented together with the theoretical discussion. The triangulation between heritage policy documents, guidelines, and different authors' theoretical approaches, served to substantiate the reasoning.

1.1 Historic urban areas in the context of the international discourse on built heritage conservation and management

Since the 1990s, theoretical and methodological approaches for heritage conservation and management have evolved from an object-oriented towards a value-, and, ultimately a person-oriented approach (Vandesande and Van Balen, 2016). This evolution is visible in the changeover from focusing on single monuments to the conservation and management of historic areas; and lately, to a holistic analysis of the broader dynamics implicit in the notion of the Historic Urban Landscape (HUL) (Veldpaus et al., 2013; Rodwell, 2018). This notion can be considered as the latest advance in the international discourse regarding the protection of built heritage since it claims for an all-encompassing understanding of the urban area as a result of the historic layering of cultural and natural values and attributes(UNESCO, 2011). As a result, the focus of conservation has progressed from protecting exclusiveness to preserving representativeness, embracing a diversity expressed in "non-exceptional heritage elements but present in a coherent way with relative abundance" (UNESCO, 2011, p. 54).

The vast extension of the HUL approach encompasses terms that were previously adopted in different international documents, such as "historic city" (UNESCO, 1976), "historic urban area" (ICOMOS, 1987), and "urban heritage" (EU research report No. 16, 2004). These concepts, embedded in the definition of the historic urban landscape are interconnected, and therefore, they overlap. Even though there is an undefined limit between them, the definition of **historic urban area** is the most appropriate to establish the scope, scale, and extents of this research since it refers to "large and small cities, towns and historic centres or quarters, together with their natural and human-made environments" (UNESCO, 2011, p. 54).

In the Washington Charter (ICOMOS, 1987) it was already stated that qualities like urban patterns; the relationships between buildings and open spaces; the formal appearance of buildings (scale, size, style, construction, materials, colour, and decoration), the relationship with the surrounding setting; and the functions acquired over time, give the significance to historic urban areas as historical documents. This set of material and spiritual elements reflect the character of historic urban areas. In this regard, the definition of **character-defining elements**, which is used in the Standards and Guidelines for the Conservation of Historic Places in Canada (2010), serves to

encompass several qualities that distinguish these areas (materials, forms, location, spatial configurations, uses and cultural associations or meanings).

Nowadays, the preservation of historic urban areas' character-defining elements includes both, tangible and intangible attributes. Tangible attributes comprise the form and design, materials and substance, and other internal factors; while intangible attributes include the use and function, traditions, techniques, spirit and feelings, languages and other forms of cultural manifestations. (UNESCO, 2011; Pereira Roders, 2013)

The development of this holistic preservation approach advocated in the 2011 HUL recommendation is aligned with the understanding of cultural heritage as a resource that contributes to achieving the sustainable development goals (Araoz, 2011; Bandarin et al., 2011; UNESCO, 2013). Protecting and safeguarding cultural heritage should be actions that stimulate inclusiveness, safety, resiliency, and sustainability in human settlements; as stated in the 2030 Agenda for Sustainable Development recently adopted by the United Nations (UN, 2016). Furthermore, the role that heritage conservation plays in sustainable policies has also been endorsed in the principles for the New Urban Agenda, adopted in the United Nations Habitat III Conference (UN Habitat, 2016).

These advances seem to provide the principles to align the preservation of historic urban areas with integrated social, economic and environmental policies. However, in practice, the challenges posed by the contemporary world lead to permanent concerns among institutions, scholars, practitioners, communities, owners and managers. The problems pointed out in the Periodic Reporting conducted by the World Heritage Committee (WHC) (UNESCO WHC, 2018), or in international meetings reflect the challenging and diverse issues faced in conservation.

Over the 21st century, some of the significant threats to historic urban areas in developed countries are, for instance, the pressures of the market economy and industrialisation, which bring decontextualised, inappropriate or insensitive large scale-developments, new infrastructure typologies, together with excessive tourism and land use policies changes. While in developing countries, conflicting economic, social, and environmental policies, sustained by legal and institutional frameworks in a state of flux, produce detrimental effects on the historic fabric. Such phenomena reinforce disparities in valuation between the old and the new, leading to devastating consequences (Serageldin, 2000; GCI, 2009; UN Habitat, 2016).

In this regard, rather than the static notion of preserving heritage only as a testimonial of the past, conservation is currently identified with the practice of managing change in harmony with the safeguarding of that testimonial for the future (Pereira Roders and Hudson, 2011; CHCF Consortium, 2015). Therefore, the sustainable conservation of heritage is understood as the management of use and change in and around historic places, to respect and enhance their value to society (Worthing and Bond, 2008; Pereira Roders and Veldpaus, 2013). In light of these perspectives, various approaches based on sustainable and inclusive strategies have been gradually developed to address conservation and management of built heritage at different scales.

Consistent with the current international debate, the preventive conservation of historic buildings has recently emerged as a sustainable alternative to address the decay of built heritage focusing on the architectural scale (Van Balen, 2015; Vandesande and Van Balen, 2018). Moreover, this approach contributes to promoting sustainable conservation strategies as it stimulates preserving authenticity and heritage values, which are non-renewable capitals (Vandesande, 2017). Simultaneously, the values-based management approach, which emphasises on stakeholders' and actors' different perceptions of cultural values attributed to historic areas, has been developed as a successful practice to assist managers involved with conservation (Ginzarly and Teller, 2018; Heras et al., 2018).

In line with all the above mentioned, this research aims at integrating the preventive conservation approach in the context of historic urban areas to address the challenges and threats posed by contemporary society to the preservation of character-defining elements, by focusing on the interrelation between cultural values and socio-economic dynamics.

1.2 Values in the field of cultural heritage

One of the widely used definitions of the term values in the field of cultural heritage states that these are "a set of positive characteristics or qualities perceived in cultural objects or sites by certain individuals or groups" (De La Torre and Mason, 2002, p. 4). This notion, broad enough to embrace an array of attributes, should be put in perspective since the term "positive" is subjected to personal feelings and opinions, what is positive for certain individuals could mean the opposite for others. The justification for the designation as "positive" could be explained by the fact that "the origins of values within a cultural discourse lie in the irreducible principle that values represent positive characteristics rather than negative ones" (Throsby, 2000, p. 28).

However, multiple meanings exist from the same position in time and space since characteristics or qualities do exist, but as an intersubjective regularity between the individual and the object (Bauer, 2002). Therefore, the same cultural heritage asset can be valued in different ways by groups or individuals, influenced by their background knowledge (Pereira Roders, 2007). In this sense, the relationship object-subject is not unique but variable and dependent on socio-cultural and political contexts, as well as on time and place (Zancheti et al., 2009; Caraballo, 2011).

This process of change led to a theoretical advance in the field of heritage conservation and management. In an early stage, practitioners focused mostly on the preservation of the historical and the aesthetical/artistic qualities of the asset (Jokilehto, 1986). In turn, recent holistic approaches rely on recognising the broad set of values that, as a whole, compose the significance of a site, resulting in the notion of the so-called "values-based management" approach (Mason, 2006; Pereira Roders, 2013; Van Balen and Vandesande, 2016; Heras et al., 2018). Values-based management seeks to identify, sustain and enhance significance, where significance is understood as the overall value of heritage, or the sum of its constituent "cultural values" (Harald Fredheim and Khalaf, 2016). This approach developed as a result of the influential Burra Charter (ICOMOS-Australia, 1999; Worthing and Bond, 2008); however, it resulted in the somewhat "institutionalisation" of values; which consequently brought more contradictions.

On the one hand, there are specific values clearly defined in heritage-related international and local documents; e.g. the World Heritage Convention (UNESCO, 1976) or national guidelines and legal frameworks (Petzet, 2008). On the other hand, during the evolution of the discourse on values, scholars have agreed that eliciting values is a more complicated process that depends on the perspective of the stakeholders involved; e.g. local community, scholars, managers, owners, and politicians (Avrami et al., 2000; Cárdenas et al., 2008; Caraballo, 2011; Ginzarly and Teller, 2018). Therefore, whereas certain values are classified or structured, the identification of the whole set of cultural values depends on a myriad of perceptions, which are influenced by contextual factors like social forces, economic opportunities, and cultural trends (De La Torre and Mason, 2002; Caraballo, 2011; Mason, 2013).

Such insight suggests the existence of a complex mutable nature of diverse cultural values. It is important to note that given this nature, not all cultural values are likely to be preserved, whether they are positive qualities or not. Therefore, in the field of cultural heritage, the term "heritage

values" (Avrami et al., 2000; Cárdenas et al., 2008; Harald Fredheim and Khalaf, 2016) is regularly used to specify the set of values designated to be preserved over time. However, in the literature, the term *value* often appears accompanied by the terms "cultural" or "heritage". Even though both terms have been used indistinctively, a distinction should be made for a better understanding of the meaning of value in the context of this research.

1.2.1 Definition of cultural and heritage values

Given that values are characteristics or qualities attributed to an object or site, the definitions of built heritage, as one of the expressions of cultural heritage serve as a starting point to explain the distinction between cultural and heritage values. A noticeable evolution in the notion of built heritage is visible from the Venice Charter (ICOMOS, 1964), which referred to a historic monument, to the 2011 Recommendation on the Historic Urban Landscape (UNESCO, 2011):

> *The concept of a historic monument embraces not only the single architectural work but also the urban or rural setting in which is found the evidence of a particular civilization, a significant development or a historic event. This applies not only to great works of art but also to more modest works of the past which have acquired cultural significance with the passing of time.* (ICOMOS, 1964, sec. Article 1)

> *The historic urban landscape is 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, its built environment, both historic and contemporary, its infrastructures above and below ground, its open spaces and gardens, its land use patterns and spatial organization, perceptions and visual relationships, as well as all other elements of the urban structure. It also includes social and cultural practices and values, economic processes and the intangible dimensions of heritage as related to diversity and identity.* (UNESCO, 2011, para. 8,9)

Despite their differences, both approaches converge upon the principle that built heritage is the product of (primarily) a past generation. Also, both notions align with different scholars' perspectives on the fundamentals of cultural heritage. In this regard, M. Arjona (1986), argued that cultural heritage is in nature passive; that is to say, it physically exists regardless of being designated. In addition, this author underpins that at a certain point, society selects which element(s) should be preserved for future generations. As a result, built heritage is not limited to the object; it is also a social construction since it derives from social processes specific to time

and place. Therefore, its creation derives from the way people remember, organise, think about, and wish to use the past (Avrami et al., 2000).

Correspondingly, the notion of heritage limited to an inherited object has been further extended. The concept has evolved as a result of, and aligned with the changing attitudes, needs, and demands people convey towards heritage (Loulanski, 2006). From a comprehensive perspective, the understanding of heritage is broad and all-encompassing. Whereas it comprises a complex set of bonds, relations and results of the material and spiritual production of preceding historical epochs, heritage is, simultaneously, the set of spiritual values transmitted by humanity down to generations, developed and utilised to achieve objectives in compliance of social progress (Alonso González, 2016). In this line, Graham et al. (2000) referred to heritage as the contemporary purpose of the past, or that part of the past, which we select in the present for contemporary purposes, being such purposes economic, cultural, political, or social.

Two central ideas substantiate these standpoints, the first is that there should be an "asset" produced by a past generation; and the second is that there should be context-specific political, socio-cultural, and economic interests to designate the "asset" as heritage. Explicitly, even though the "asset" exists, eventual political, socio-cultural, economic and technological factors will create the conditions to recognise it as heritage. In short, heritage is both, a product of human creation, and the result of contextual political, social and economic factors. (Fig. 1.1)

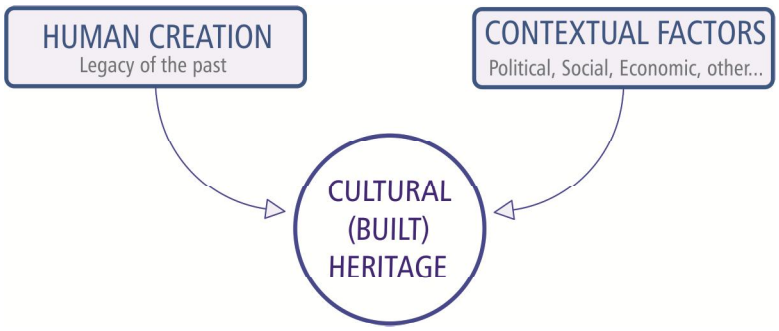

Fig. 1.1: *Designation of cultural (built) heritage*

This definition implicitly carries a dichotomy, whereas contextual factors determine the designation of what is heritage, they can also work in the opposite direction. Otherwise stated, social, political or economic changes may be as well the cause of disregarding latent cultural heritage, resulting in negative impacts, or even its loss.

The process of designing what is cultural heritage, undergoing time- and context-specific factors, serves as a reference to make a distinction between cultural and heritage values. Accordingly, cultural values permanently exist because they are attributed to an object from its very creation since it emerges embodying certain characteristics or qualities (Pereira Roders and Hudson, 2011); while heritage values are the portion of cultural values designated to be preserved for future generations. The community (individuals, groups), scholars, decision-makers, politicians, or other stakeholders and actors make this designation (Caraballo, 2011).

In view of these theoretical approaches to values and cultural heritage, it is possible to state that **cultural values** are permanent or essential attributes of an object or site given by certain individuals with specific purposes at different periods in time. Then, **heritage values** are the particular set of cultural values selected to be protected in accordance with the perception of particular individuals or groups with specific purposes.

Consequently, both cultural and heritage values are subjected to change over time; thus, they may also clash, or may be weighted differently as a result of the diverse opinions, perceptions or principles of individuals during the evolution of the object or site (Caraballo, 2011; Pereira Roders and Hudson, 2011; Heras et al., 2018). For those reasons, different approaches have been developed to guide and to understand the complexity of eliciting, identifying, and assessing the diversity of cultural and heritage values.

1.2.2 Typologies of cultural and heritage values

In the cultural heritage field, a typology of values is a guide to identify and characterise values, which facilitates the task of tracing or eliciting them. A typology of values serves to establish a common framework that works as an organisational tool between heritage-related institutions, actors, and stakeholders (Mason, 2002). In the 2002 Getty Conservation Institute research report on Assessing the Values of Cultural Heritage (De la Torre, 2002), R. Mason summarised five typologies of heritage values and suggested a new one which classifies values into sociocultural and economic. (Table 1.1)

Table 1.1: Different typologies of heritage values					
Typologies of values summarised by R. Mason (Mason, 2002, p. 9)					*Proposed by R. Mason (2002)*
Reigl (1902)	Lipe (1984)	Burra Charter (1998)	Frey (1997)	English heritage (1997)	
Age Historical Commemorative Use Newness	Economic Aesthetic Associative-symbolic Informational	Aesthetic Historic Scientific Social: political, spiritual, national, other	Monetary Option Existence Bequest Prestige Educational	Cultural Educational and academic Economic Resource Recreational Aesthetic	**Sociocultural:** Historical, cultural/symbolic, social, spiritual/religious, aesthetic. **Economic:** Use (market) value Nonuse (nonmarket) values: Existence, option, bequest

These typologies of values are based on meanings and associations given to a site once it becomes designated as a heritage asset; as a result, they primarily refer to heritage values. The discourse on values gradually evolved, and in conjunction with the traditionally heritage-related historic and aesthetic-artistic values, other typologies of values embrace a broad set of cultural values that include social, economic, political, scientific, age or ecological (Cárdenas et al., 2008). Similar to Mason's summary, A. Tarrafa Silva and A. Pereira Roders (2012) proposed an all-encompassing and comprehensive set of primary and secondary cultural values (Table 1.2). Based on approaches previously developed, these scholars provided a framework from which is possible to identify values and understand their different meanings and perceptions thoroughly.

Table 1.2: Primary and secondary cultural values Source: Tarrafa Silva and Pereira Roders, 2012, p. 378							
Social	**Economic**	**Political**	**Historic**	**Aesthetical**	**Scientific**	**Age**	**Ecological**
Spiritual Emotional, individual Emotional, collective Allegorical	Use Non-use Entertainment Allegorical	Educational Management Entertainment Symbolic	Educational Historic-artistic Historic-conceptual Symbolic Archaeological	Artistic Notable Conceptual Evidential	Workmanship Technological Conceptual	Workmanship Maturity Existential	Spiritual Essential Existential

The main advantage of Tarrafa Silva and Pereira Roders' typology of cultural values over previous ones is that it comprises not only the set of heritage values but also a broader notion of cultural values that can be attributed to an object or a historic urban area. Moreover, for this research aim, this framework provides references to values that can serve to identify and

characterise them accurately and objectively. For instance, social values include secondary values such as spiritual, emotional individual/collective, and allegorical. These meanings can be referenced by the existence of beliefs, myths, religions, legends, stories, testimonials of past generations, personal life experience, motivation and pride, sense of place attachment, as well as the representation of some hierarchy/status (See Tarrafa Silva and Pereira Roders, 2012, p. 378). A hypothetical example helps to illustrate how to identify a specific type of a social value by applying this framework:

> A set of buildings were constructed in accordance with a specific architectural style, which was subjected to the wealth of owners in a particular context. This fact suggests that one of the values attributed at the time when those buildings emerged was social-allegorical, beacause those buildings represented the social hierarchy/status of owners.

This straightforward analysis helps to infer a specific cultural value attributed to an object at a specific time by a particular group of individuals –owners in this case–. However, the initial value is likely to change during the evolution of the object. For that reason, Harald Fredheim and Khalaf, (2016) argued that a value typology for built heritage must reflect and respond to the changing nature of the urban environment and the social context since neither typology provides a framework for dealing with time and change. Therefore, a comprehensive analysis requires the understanding of the different meanings of the object over time, thus, different values attributed to it. To this end, some methods to assess cultural values have been developed in order to provide answers to questions like what is valued, how is valued, when it is valued, and by who is valued.

1.2.3 Methods and tools to assess cultural and heritage values

Different approaches have been developed to understand values and their different perceptions according to time- and context-specific factors. For instance, Van der Aa (2005) proposed five dimensions of heritage values: which values (typologies), whose values (stakeholders), where values (local, international), when values (time), and uniqueness values (exceptional or common). Similarly, the Landscape Cultural Values Model proposed by Stephenson (2008), entailed four dimensions: practices, relationships and forms, and a temporal dimension since landscapes are always changing. Stephenson distinguishes values as surface values and embedded values. Surface

values are the perceptual response to the directly perceived forms, relationships and practices, while embedded values arise out of an awareness of past forms, practices and relationships.

Moreover, Ginzarly and Teller (2018) proposed three dimensions of heritage values: the cultural values that are conveyed by the different tangible and intangible attributes; the diverse types of values that could be ascribed to heritage; and the different values assigned by stakeholders to a heritage asset based on their interest and experience. In line with this model, Heras et al. (2018), developed a framework to recognise values incorporating multidisciplinary and multi-actor perspectives based on the socio-praxis approach by articulating diverse methodologies.

Given that values are not tangible, they are notions, ideas, but expressed through the imagery of representational attributes which make them visible (Caraballo, 2011), the process of assessing values requires various tools and methods from different fields. As it has been recurrently pointed out, this process should be based on a multidisciplinary approach flexible enough to combine qualitative and quantitative analyses in a sort of toolbox (Low, 2002; Mason, 2002, 2006). Therefore, anthropological, ethnographic, historical, artistic, and architectural studies become key sources of secondary data provided by the scholarly community. In addition, the collection of primary data in fieldwork sessions, together with participatory methods like cultural mapping (Arcila Garrido and López Sánchez, 2012; Pillai, 2013; Assumma and Ventura, 2014); interviews to local community, decision-makers, and to different stakeholders are resources that serve to elicit new and/or corroborate experts' perceptions of values (Heras et al., 2018).

Even though there is no specific rule to assess values, the diverse approaches share common elements that demonstrate the changing nature of values. Time, context and people are three key factors to consider given the variability of circumstances and interpretations. Considering these factors, Zancheti et al., (2009, p. 51) redefined cultural significance as the "set of all identifiable values resulting from continuous (past and present) judgment, and from the social validation of meanings of objects". Therefore, "significance includes present and past values, those that are in dispute between the stakeholders, and those with no more meaning in the present, but that are still in the collective memory, or recorded in memory instruments" (Zancheti et al., 2009, p. 51).

Despite the methodological advances made to assess cultural and heritage values, the neglect of accumulative changes in cultural significance remains as a concern among experts and

international organisations. In this regard, the literature draws the attention to categories of values while there are still gaps in understanding their relation to tangible and intangible attributes and their evolution in time (Pereira Roders, 2013). Therefore, more research is needed aiming at tracing the processes in the evolution of cultural values undergoing the effects of different socio-economic contexts, which suggests a cause-effect association between values and changing social and economic phenomena.

1.3 Towards a definition of socio-economic dynamics in the field of built heritage

Social and economic phenomena have always been a concern among authors and institutions related to the conservation and management of cultural heritage. Because of their influence on the preservation of built heritage, these phenomena have been subject of much discussion in international policy documents and guidelines, scholarly papers and conferences. In the Athens Charter (1931) it was already stated that external agents resulting from modern life represent a threat to monuments; while in 1954, the Hague Convention (UN, 1954) was adopted as a result of the effects of armed conflict on cultural goods. Later on, the Convention concerning the Protection of the World Cultural and Natural Heritage stated in the second paragraph that cultural heritage is increasingly threatened by "changing social and economic conditions which aggravate the situation with even more formidable phenomena of damage and destruction" (UNESCO, 1972, para. 2).

Focusing on historic urban areas, the 1989 Washington Charter (ICOMOS, 1987) referred to the degradation produced by phenomena like urban development and industrialisation resulting from socio-political and economic forces. Subsequently, in the course of the 21st century authors and institutions (Avrami et al., 2000; Loulanski, 2006; GCI, 2009; Pereira Roders and Hudson, 2011; Guzman et al., 2018) have emphasised that global economic and demographic shifts, changes in national politics, and development pressures, driven by economic growth and technological advances, tend to influence the decay and loss of character-defining elements.

In view of the effects of social and economic changes on urban areas, the principles for the recently adopted New Urban Agenda (UN Habitat, 2016) proclaim the built environment and cultural heritage as "stocks" (Meadows, 2008, p. 17) to be preserved, which are influenced by "flows" (Meadows, 2008, p. 18). The Agenda conceives flows as social and economic processes

that determine the depletion of stocks in the contemporaneous world. Accordingly, flows encompass diverse processes such as political conflicts evidenced in wars, ideological confrontations, or economic pressures that, to some extent, have determined the loss of significant monuments and built heritage sets.

As it has been noted; in addition to the physical deterioration and the impact of natural phenomena, the literature often refers to social and economic changes when addressing processes that produce the decay of the built heritage. In this regard, the forces that stimulate change within a system or process, or the underlying cause of change are both the arguments that define the term dynamics.[1] Therefore, in the context of this research, the term **socio-economic dynamics** refers to the forces driven by changes in political, economic, socio-cultural, and technological factors, which produce a myriad of phenomena that contribute either to the preservation or to the decay of built heritage. (Fig. 1.2)

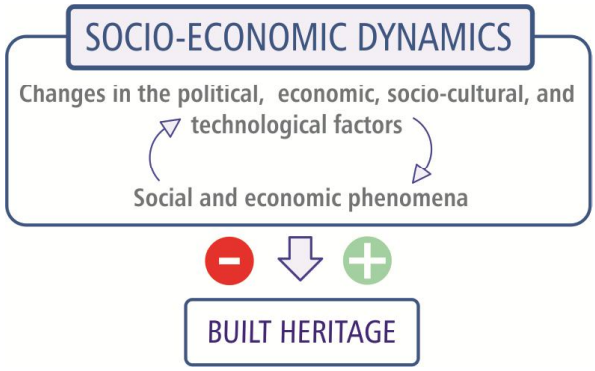

Fig. 1.2: *Socio-economic dynamics and its influence on the built heritage. Author, 2018*

The attention to socio-economic dynamics has been permanent in the field of heritage conservation at the international level. The discussion reflects a concern linked to challenging global circumstances endangering the preservation of the built heritage. Likewise, regional discussions contextualise global issues to the particularities of a specific area and draw the attention to more particular threatening issues.

During the second half of the 20th century, regional meetings in the Latin America and the Caribbean area have put forward concerns regarding the preservation of local identities, most of

[1] According to the *Concise Oxford English Dictionary*, one of the definitions of dynamics as a noun is the forces that stimulate development or change within a system or process. The *Merriam-Webster's 11th Collegiate Dictionary* reinforces this notion when defines the noun dynamics as an underlying cause of change or growth.

which are reflected in the built heritage. Some of the issues addressed are the consequences of accumulative conflicting political interests (*Normas de Quito*, 1967); the imposition of the globalised "western" paradigm of development; the mimetic copy of foreign cultural trends (Consejo Académico Iberoamericano, 1989; *Carta de Brasilia*, 1995); and the social contradictions proper to underdeveloped countries, i.e. deprived livelihood, and lack of housing (I CLACID, 1999).

Moreover, scholars have emphasized regional conflicts like moral degradation given by the cult to money, the crisis of moral values, the society of consumption, violence, insecurity, ignorance, and moral poverty expressed in the depreciation of ethical values (Díaz Cabeza, 2010; Rigol and Rojas, 2012; Rojas, 2014). A number of consequences of these problems were identified in the second cycle of the UNESCO Periodic Reporting [2008-2015]: the undesirable socio-cultural uses of heritage; new buildings and large-scale development; changes of structures and social cohesion; changes in traditional forms of life and knowledge; and the impact of mass tourism and illegal activities (WHC, 2013). Such processes are reflected, for instance, in gentrification, a phenomenon recurrently addressed by Latin American authors (González, 2016; Janoschka and Sequera, 2016; Lopes de Souza, 2016) due to its direct influence on the rupture of social and urban fabrics in historic urban areas, producing displacement and segregation.

Socio-economic dynamics, as stressed in regional debates, entail a wide range of phenomena that, directly or indirectly, may affect the preservation of historic urban areas' character-defining elements. For example, large-scale public or private works, rapid urban development, tourist development projects or changes in land ownership, abandonment, and outburst or risk of armed conflict may produce direct impacts. Indirect phenomena like the widening gaps in people's quality of life, lasting regional conflicts, increasing poverty, cultural homogenization, and individual feelings of alienation and rootlessness may result as well in adverse impacts.

The complexity and diverse expressions of socio-economic dynamics require comprehensive approaches to identify which changes in the political, economic, socio-cultural and technological factors lead to phenomena that are likely to impact on historic urban areas. Changes in these factors can be identified through a PEST analysis. PEST is an acronym for four sources of change: political, economic, social, and technological; this approach is used in the social sciences to describe the effects of the external macro environment (Sammut-Bonnici and Galea, 2014). In general terms, this tool integrates the analysis of government terms, change, and

policies; international and local economy; demographics, and lifestyle; racial, ethnic and religious influences; as well as materials, machinery, and the effects of innovations in technology (Gupta, 2013; Sammut-Bonnici and Galea, 2014; Alvarado Cervantes, 2015).

Overall, the analyses developed in the course of this Chapter helped to understand the definitions of historic urban areas, cultural values and socio-economic dynamics individually. In view of this conceptual background, it is possible to summarise that historic urban areas, as components of the broad notion of the historic urban landscape, are defined by specific character-defining elements. In addition, a set of cultural values differently perceived by individuals and groups are qualities inherent in historic urban areas. Within this set, a subset of values is designated to be preserved over time, namely heritage values. Both, cultural and heritage values are subjected to diverse interpretations depending on the socio-economic dynamics, which are driven by time- and context-specific changes in the political, economic, socio-cultural and technological factors. Given these arguments, it is necessary to understand the extent to which these concepts interrelate, and how this interrelation produces impacts on historic urban areas.

1.4 Interrelationship between socio-economic dynamics and cultural values in historic urban areas

Society's processes such as modernisation, economic development and industrialisation are factors that lead to cultural changes, resulting in the transformation of cultural values, and often producing a shift from traditional to secular-rational values. In this regard, scholars have argued that the postindustrial society brought a shift toward more trust, tolerance, well-being, and postmaterialist values (Inglehart and Baker, 2000). Even though these arguments are linked to a holistic notion of a society's cultural values, they provide insights into how values can and do change undergoing the effects of socio-economic dynamics. Therefore, the transforming nature of cultural values is best understood in terms of the changing socio-economic context (Tibbs, 2011).

These changes also influence different processes in the evolution of cultural values attributed to historic urban areas (Worthing and Bond, 2008). The mutable, dynamic and subjective nature of values is characterised by a growing complexity, as understanding deepens and people's perceptions of a place evolve based on particular cultural, intellectual, historical and

psychological frames of reference (Historic England, 2008). Based on these reflections, it is possible to understand that the evolution, transformation and designation of cultural values as heritage values can be a "natural" process, or an "imposed" course of actions (McDowell, 2008; Alonso González, 2016). The natural process derives from the evolution of society driven by new socio-cultural trends, economic opportunities, and technological advances. The imposed transformation of values may be caused by a sudden social group interest to predominate, or the attempt of a political ideology to prevail, or the pressures produced by economy markets (Throsby, 1999, 2012; Alonso González, 2016).

Both processes of transformation, "natural" and "imposed" are likely to occur at the same time; the first process might take prolonged periods. The understanding of how these processes occur may help to explain conflicting relationships between cultural values. Otherwise stated, while some cultural values are likely to transform gradually, and eventually be designated as heritage values, others can be imposed abruptly, which often produce a clash with already existing values.

Reformulating Mason's (2002, p. 24) example of conflicting values, it is possible to provide a practical case. If social values are viewed as less important than economic values due to a sudden change in the socio-economic dynamics, for instance, market pressures, the tendency in case of conflict would be to sacrifice the social values for the sake of the economic value. As a result, the efforts to sustain or enhance some values may damage others (Harald Fredheim and Khalaf, 2016). Applying the typology of values proposed by Tarrafa Silva and Pereira Roders to this case (2012, p. 378), it is possible to infer that the notions of cultural identity or sense of place attachment (social-emotional collective values) may be jeopardised by the role of the historic urban area for the contemporary market (economic-entertainment values). In this regard, the social-emotional value, which is likely to be the result of a natural formation process, undergoes the effects of a suddenly imposed transformation process.

The challenge, then, is to cope with these dichotomies. Even though the economic value of a heritage asset, which is given by its utility in the contemporary market, can foster the revitalisation of the historic urban area (Ost, 2009), this value should not determine the erosion of other values, for instance, aesthetical, historical, or environmental. Moreover, it should not produce a break in the social fabric by undermining the social values attributed to the area.

Gentrification in urban areas (López-Morales et al., 2016), for instance, is a process that demonstrates the conflict above since it produces a break in the social fabric due to a change of land-users where new users are of higher socio-economic status than that of the previous ones. As noted by Clark (2005), this brings together an associated change in the urban area through reinvestment in fixed capital. In other words, the market pressures prevail at the expense of locals' sense of place or cultural identity; thus, social values subjugate to economic values.

Therefore, in De La Torre and Mason's definition (2002) of values, these cannot be limited to positive characteristics or qualities of an object or site; they are likely to have a negative dimension as well. Another example is the overexploitation of the economic value, which might also produce the commodification of values such as historic or aesthetical, or the "Disneyfication" (Nasser, 2003, p. 472) of character-defining elements; a process that can, in addition, produce conflicts between visitors' and residents' values (Low, 2002).

Continuing with adverse effects on people, some authors (Avrami et al., 2000; McDowell, 2008) have argued that a mistaken policy towards the historic urban area reinforcing the notion that it is representative of some social hierarchy/status may contribute to social segregation. While others (Mason, 2013; Alonso González, 2016) have expressed their concern on the fact that politicians can put an overweight on political values for pursuing a specific target, or for demonstrating power and authority, following intentional strategies. These intentions might negatively reinforce narratives of national identity, suppressing the identity of minorities or less powerful groups, which can, in turn, result in nationalism, ethnic or civil conflicts, or even enforce imperialism and post-colonialism.

Given that overvaluing a specific cultural value is likely to produce other social or economic phenomena, it is possible to induce a bidirectional relationship between socio-economic dynamics and cultural values. Therefore, the influence of socio-economic dynamics on cultural values is determined by a cause-effect association, where the effect may be as well the cause of a new phenomenon that redefines or reshapes the socio-economic dynamics. In light of these conflicts, "*it is important that no particular value category should be assumed to be more worthy or important than another, and should not be allowed to dominate the assessment of significance nor decisions flowing from it. Also, following on from an assessment, this balance needs to be maintained to ensure that one set of values does not obscure other values in terms of either*

celebrating the place or managing it (and it is in the management of the place that values are likely to be lost)" (Worthing and Bond, 2008, p. 78).

Even though the literature often suggests processes in the evolution and diverse interpretations of cultural values undergoing the effects of changing socio-economic dynamics, it remains scarcely explored which are these processes and how they occur over time. This gap hinders the understanding of the interrelationship between socio-economic dynamics and cultural values during different periods, and the extent to which this interrelationship influences the preservation of historic urban areas' character-defining elements. (Fig. 1.3)

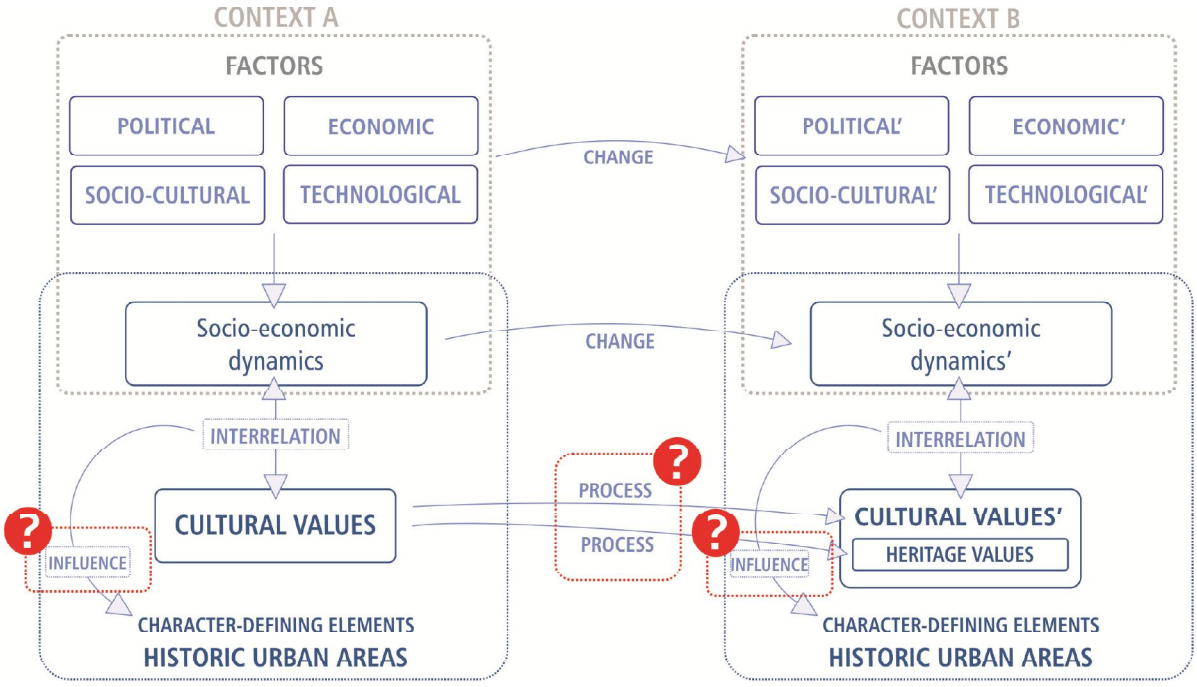

Fig. 1.3: *Interrelationship between socio-economic dynamics and cultural values in historic urban areas. Author, 2018*

The figure shown above synthesises and integrates the links between cultural values and socio-economic dynamics in historic urban areas as discussed in this section. Also, it shows where more research is required. In this regard, as it has been noted in this Chapter, the identification and characterisation of cultural values will be conducted based on a comprehensive typology of values (Section 1.2.2). As for the socio-economic dynamics, PEST analysis is assumed as the tool to identify and describe changes in the political, economic, socio-cultural, and technological factors. However, considering the aim of this research and all the arguments exposed, another

framework is required to interrelate cultural values and socio-economic dynamics given their cause-effect association and their impacts on historic urban areas.

In view of that, the DPSIR model, developed by the European Environment Agency (EEA, 2018), is a causal framework useful to understand cause-effect associations, since it was conceived for describing the interactions between society and the environment (Kristensen, 2004). DPSIR is the acronym of drivers, pressures, state, impact and response; the model helps to distinguish the chain of causal links between these elements. "Drivers" or "Driving forces" are understood as fundamental social processes that shape human activities; "Pressures" are the human activities that impact on the environment; "State" is the condition of the environment; "Impacts" are the ways in which changes influence human well-being; and "Responses" refer to efforts to address changes in state as prioritized by impacts (Carr et al., 2007).

Different territorial and urban studies have been based on the DPSIR model to understand the cause-effect association determined by both, environmental issues (Jago-on et al., 2009; Nuissl et al., 2009), and social and economic phenomena (Caeiro et al., 2004; Cabanillas, 2007; Xu and Coors, 2012). These studies have adapted the model according to the specific purpose and scope of the analysis conducted. Therefore, the flexibility of the DPSIR model allows applying and adapting its framework upon the basis of the conceptual background developed in the context of this research. (Fig. 1.4)

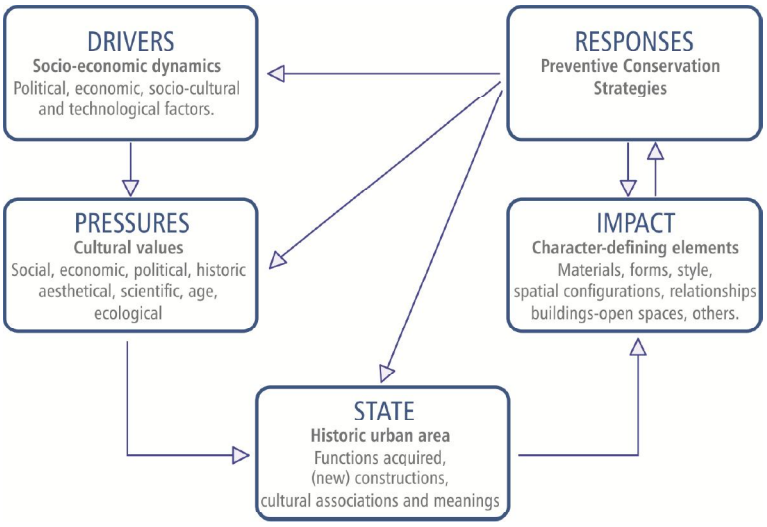

Fig. 1.4: *The DPSIR framework representing the cause-effect association as discussed in the context of this research. Author 2018, adapted from Carr et al., 2007, p. 545*

In hindsight of all arguments presented, and as can be seen in Fig. 1.4, the cause-effect association interrelates the main concepts discussed in this Chapter. In this association, socio-economic dynamics are drivers of pressures on cultural values as a result of changes in the political, socio-cultural, economic, and technological factors. The diverse, likely conflicting, and changing perceptions and interpretations of cultural values are, in this case, expressions of pressures, which eventually will influence the state of the historic urban area. Some examples of a fluctuating state can be the different functions acquired over time, the expression of (new) constructions, as well as the interaction between traditional and new cultural associations and meanings.

Such fluctuations can produce impacts on character-defining elements, consolidating or reshaping them, or even determining their decay. Understanding impacts and the interrelation between all elements leads to establish responses in order to prevent or reduce adverse effects. In line with current international discourse (Section 1.1) and consistent with the purpose of this research, responses should be aligned with (sustainable) preventive conservation strategies. Therefore, it is necessary to understand the extent to which the preventive conservation approach can be applied and extended to the scale of historic urban areas.

1.5 Partial conclusions

The review of the literature helped to develop individually, and subsequently integrate, the conceptual background definition of historic urban areas, cultural values and socio-economic dynamics. Accordingly, specific character-defining elements reflected in materials, forms, location, spatial configurations, uses and cultural associations or meanings, distinguish historic urban areas.

In addition, cultural values are qualities inherent in these areas, their meanings and perceptions depend on different individuals and groups. Within the set of diverse cultural values, a subset is designated to be preserved for future generations, understood as heritage values. Both, cultural and heritage values are subjected to diverse interpretations depending on the socio-economic dynamics, which are primarily driven by changes in the political, economic, socio-cultural and technological factors.

Therefore, in the context of this research, a cause-effect association between time- and context-specific socio-economic dynamics and cultural values is established to understand the extent to which this interrelationship is likely to influence the preservation of historic urban areas.

Comprehensive theoretical and multidisciplinary methodological advances have been made to identify and characterise cultural and heritage values. Accordingly, the typology of primary and secondary values proposed by A. Tarrafa Silva and A. Pereira Roders, which summarises previous typologies, serves as a reference considering the scope and aim of this research. Even though several authors have proposed models to assess values considering time, context, and people, little studies have provided answers to understand which are the processes in the evolution of cultural values undergoing the effects of different socio-economic dynamics. In this regard, different methodological approaches were defined to support the reasoning developed in this research.

The PEST analysis serves as a tool to identify and describe changes in the political, socio-cultural, economic, and technological factors, while the adaptation of the DPSIR model helped to integrate the main concepts through a cause-effect association. This association considers socio-economic dynamics as drivers of pressures on cultural values. Pressures are reflected in

the diverse and changing nature of perceptions and interpretations of cultural values, which influence the state of historic urban areas. A fluctuating state is likely to impact on character-defining elements, leading to their decay or preservation over time. Understanding how these elements interrelate may help to devise responses aligned with preventive conservation strategies.

CHAPTER 2

Chapter 2

FUNDAMENTALS OF PREVENTIVE CONSERVATION APPLIED TO HISTORIC URBAN AREAS

Introduction

The aim of this Chapter is twofold: firstly, to fully comprehend the fundamentals of preventive conservation in the field of built heritage, as well as the theoretical and methodological advances made in the topic. Secondly, to define the fundamentals of the preventive conservation framework for historic urban areas. Accordingly, the Chapter's first section exposes general insights of prevention as an approach adopted in different fields. This overall picture helps to introduce the term preventive conservation briefly, as understood in the field of cultural heritage; subsequently, the discussion focuses largely on the preventive conservation of built heritage as an emerging approach. Finally, the reasoning conducted guides the development of a preventive conservation theoretical framework of historic urban areas, which is based on both, the fundamentals of this approach, and its four stages cycle. Literature review, together with different authors' contributions and heritage policy and guidelines documents, helped to develop all analyses presented.

2.1 Prevention, a general understanding

When randomly searching for a definition of prevention, medicine appears amongst most recurrent fields implementing preventive strategies. An early definition of prevention in medicine stated: "prevention, in a narrow sense, means averting the development of a pathological state. In a broader sense, it includes all measures that limit the progression of disease at any stage of its course" (Clark, 1967 as quoted by Starfield et al., 2008, p. 580). Two main ideas can be drawn from this definition: firstly, the need for actions to avoid unwanted effects, and secondly, the need for actions to mitigate further consequences once unwanted effects come into existence.

These principles can be found as well in the fundamentals of prevention in fields like criminology (Clarke, 1997), disaster and hazard management (Banks and Pilette, 2000), or other types of risk prevention (Hubbard, 2009). An essential activity shared by different preventive approaches is the collection of data, which helps to understand and describe the cause-effect association between an event and its consequences. Moreover, the systematic processing of data is the basis for developing monitoring systems, established to follow-up and to forecast the happening and likely consequences of an event (Doda et al., 2011; Ruiz et al., 2011). For instance, current systems to predict the path or the occurrence of natural phenomena, such as hurricanes and earthquakes, are possible due to the experience accumulated (data), which assists in taking preventive measures to reduce adverse effects (Kawaguchi et al., 2015).

Only by becoming aware of adverse effects is possible to take action on the causes (Freeman, 2018); therefore, data serves as well to assess the extent to which a subject is exposed (vulnerability) to the effects of a phenomenon (risk). In this regard, the identification of risks and vulnerabilities guide the devising of strategies to prevent or diminish unwanted effects (Coy, 2010; Preston et al., 2011); and the follow up of the effectiveness of strategies in order to reveal (new) risks and vulnerabilities (Oppenheimer et al., 2015).

Considering the way of acting on vulnerable subjects, preventive strategies to reduce vulnerabilities can be classified into direct and indirect (Ramcharan, 2010; Yusvari and Boopathy, 2014; Babeş-Bolyai, 2014). Vaccination campaigns on a population or the structural reinforcement of a building are examples of direct actions on vulnerable subjects. In these cases, the direct intervention considerably diminishes vulnerabilities; hence, the efficacy of preventive strategies

is easier to assess. Indeed, people vaccinated are already safe from infection, and reinforced buildings are already safe from collapse, meaning in both cases that risks are under control.

In contrast, indirect actions cannot control risks, threats are always present, and subjects remain vulnerable despite the efficacy of preventive strategies. In this case, strategies rely more on public orientation campaigns and depend on people's behaviour, as well as on their responsibility to follow specific measures to avoid unwanted effects. For example, both alcohol prevention (Velleman, 2009), or natural disaster prevention programs involve active social campaigns; though, risk factors remain latent.

Moreover, the effectiveness of preventive strategies can be assessed by monitoring whether the effects of a phenomenon were controlled, eradicated or reduced, or whether new effects appeared (Flores-Colen and de Brito, 2010; Pérez et al., 2013). This control is possible by collecting new data that can help to improve measures to reduce vulnerabilities and to update preventive strategies to face imminent risks (Cetin et al., 2011; Lobos Fernández et al., 2013). (Fig. 2.1)

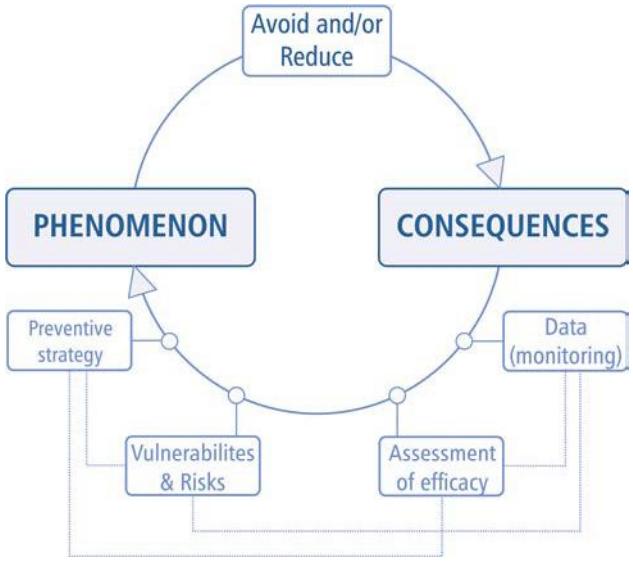

Fig. 2.1: *Actions involved in prevention, author, 2018*

In short, prevention is the sum of actions aimed at avoiding or mitigating unwanted effects. Preventive strategies applied in different fields suggest that these actions entail the gathering of relevant information on the effect(s) and its cause(s); the awareness on vulnerabilities and risks; the implementation of appropriate measures to reduce vulnerabilities and manage risks; and the control of the efficacy of measures.

Similarly, extensive literature in the field of cultural heritage (Meier et al., 2008) refer these actions as part of preventive strategies aimed at facing the adverse consequences of natural-induced (Ghedini et al., 2011; Fernández-Navajas et al., 2013) and human-induced phenomena (Wirilander, 2012).

Preventive strategies have been also implemented in the discipline of heritage conservation, resulting in what is accepted as "preventive conservation". In essence, this notion refers to avoiding or reducing the gradual decay of heritage properties (Cebron Lipovec and Van Balen, 2008; Guichen, 2013). However, the preventive conservation of heritage properties is somewhat complex due to the characteristics of assets, which range from movable to immovable, from tangible to intangible, and from single objects to cultural landscapes. Therefore, even though the approaches for preventive strategies share common aims, in the case of cultural heritage these are rather dissimilar taking in to account the type of asset and the nature of vulnerabilities and risks.

Scholars agree on the fact that preventive conservation approaches in the field of cultural heritage originated in museology and archaeology (Vandesande and Van Balen, 2013; Van Balen, 2017). In museums objects are kept in special conditions and are subjected to regular inspections to avoid the effects of threatening environmental factors (Merritt and Reilly, 2010; Caple, 2012); while in archaeology preventive actions aim to safeguard and document the site to mitigate the possible destructive effects of major works (Aranda et al., 2012; Sullivan and Mackay, 2012). However, these practices are not suitable when dealing with built heritage. (Fig. 2.2)

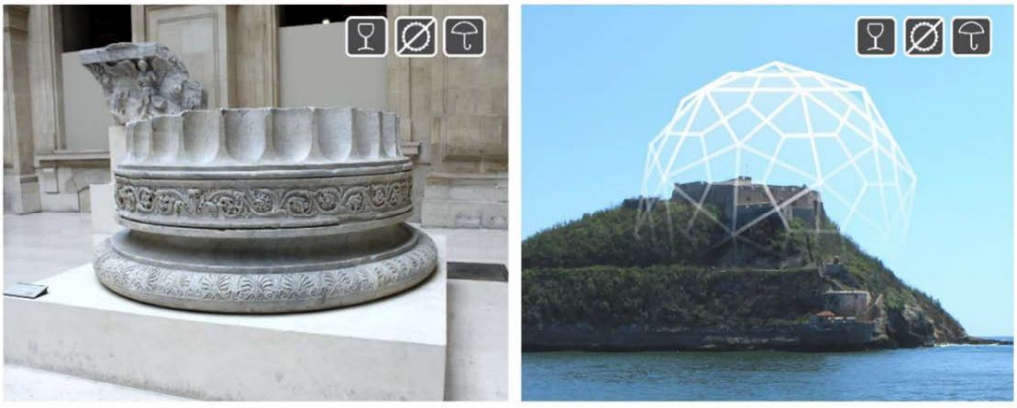

Fig. 2.2: *Preventive conservation in museums and the utopia of this practice in the built heritage field. Author, 2017*

Given the inapplicability of the well-established principles of preventive conservation in museums and archaeology to historic buildings, the preventive conservation of built heritage has emerged in the last decades as an alternative approach. Its development resulted from the simultaneous advance of theoretical, methodological, and practical contributions (Van Balen, 2015).

2.2 Preventive conservation of built heritage

Preventive conservation strategies in the field of built heritage have been implicit in different heritage policy and guidelines documents (Heras, 2014). The recurrent claim for exhaustive documentation, scientific studies to guide conservation actions, regular maintenance, and follow up of the efficacy of interventions, were integrated into a framework adopted in 2003 as the preventive conservation cycle. Based on the principles of preventive medicine, this framework entails four cyclical stages: anamnesis, diagnosis, therapy, and control; as stated in the Principles for the Analysis, Conservation and Structural Restoration of Architectural Heritage (ICOMOS, 2003, sec. 1.6).

Anamnesis refers to the collation of data and management of information, diagnosis refers to the accurate identification of the causes of decay; and therapy and control respectively refer to remedial measures and the control of the efficacy of such measures (ICOMOS, 2003, sec. 1.6). Moreover, keeping in line with the principles of preventive medicine, three levels of preventive conservation were defined to address the causes of decay (Della Torre, 2010):

- Primary prevention: means and measures to avoid the causes of the unwanted effect.
- Secondary prevention: means and measures of monitoring that allow an early detection of the symptoms of the unwanted effects.
- Tertiary prevention: means and measures that allow avoiding the further spread of the unwanted effect or the generation of new unwanted effects.

Unlike the preventive conservation principles established for protecting collections in museums and for archaeological sites, the analogy with preventive medicine seems to be more tailored to address the decay of buildings. The approach arose as an alternative to traditional “curative” methods by addressing causes of damages; nowadays, it is understood as a process equivalent

to a "public health system" that monitors risks to the larger built heritage stock (Vandesande, 2017). An example of this analogy is the experience of *Monumentenwatch*, a non-governmental organisation that started in the 1970s in the Netherlands to report and give advice about the appropriate maintenance of buildings. The specific case of *Monumentenwatch Vlaanderen*, operating in the Flemish provinces of Belgium has been widely acknowledged as an operational preventive conservation system because of its systematic inspection strategy (Meul and Stulens, 2010; Vandesande and Van Balen, 2016).

Authors also concur on the view that monitoring, risk management, and planned interventions comprising regular maintenance have been recognised as core activities of preventive conservation (Della Torre, 2013; Meul et al., 2013; Rossler and Veillon, 2013; Santana Quintero, 2013). Furthermore, recent advances demonstrate the suitability of preventive conservation to serve as a conceptual platform for developing integrated conservation plans, multi-dimensional value-based monitoring systems, maintenance campaigns with the active participation of the community, as well as strategies to foster sustainable management and local development. The network of the UNESCO Chair on Preventive Conservation, Maintenance, and Monitoring of Monuments and Sites (PRECOM^{3}OS) has promoted these developments.

2.2.1 Theoretical and methodological advances under the umbrella of the PRECOM^{3}OS UNESCO Chair

The collaboration between the Raymond Lemaire International Centre (RLICC) from the University of Leuven (KU Leuven) and *Monumentenwacht* in Flanders, both in Belgium, together with the University of Cuenca (UC), in Ecuador, resulted in the establishment of the PRECOM^{3}OS UNESCO Chair in 2008. The Chair aims at elaborating the scientific background on preventive conservation and maintenance of historic buildings, as well as on monitoring systems to keep systematic records on damages and causes. Besides, it aims at stimulating the application and further development of the preventive conservation principles in other countries, contexts, and cultures (Vandesande and Van Balen, 2013).

The Petra World Heritage Site, identification of agents of deterioration

One example of the advances made is the proposal of a methodology for risk management at heritage sites, resulting from the joint efforts between UNESCO Amman Office and the RLICC.

The methodology was applied to the case study of the Petra World Heritage Site, identifying ten agents of deterioration as factors that produce the decay of the site, caused by nature-driven (N) and human-driven (H) phenomena (Paolini et al., 2012):

- **Agent 01:** Fire (NH)
- **Agent 02:** Water (NH)
- **Agent 03:** Climate (NH)
- **Agent 04:** Physical forces (NH)
- **Agent 05:** Electromagnetic waves and radiation (NH)
- **Agent 06:** Biological agents (NH)
- **Agent 07:** Contaminants (NH)
- **Agent 08:** Physical dissociation (H)
- **Agent 09:** (In)direct impact from human activities and human development on the fabric (H)
- **Agent 10:** Risk for the users related to the use (which use) of the cultural heritage fabric (NH)

Taking into account these agents of deterioration, and the main topics addressed by the Chair (preventive conservation, maintenance, and monitoring), 63 different types of academic papers indexed in the Web of Science and Scopus (Annex 2.1) were reviewed to examine state of the art on this subject. The literature has largely emphasised the analysis of individual buildings to address primarily agents of deterioration 3, 4 and 6, while fewer studies deal with agents 2 and 7. Because of that, fewer authors have stressed the impact produced by the remaining agents. (Fig. 2.3)

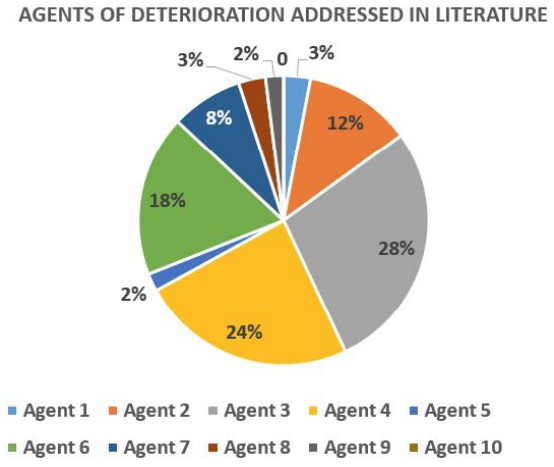

Fig. 2.3: *Characterization of the literature on preventive conservation considering agents of deterioration. Author, 2018*

Within the set of agents, human activities and human development (understood as the agent of deterioration no. 9) is a broad notion that encompasses a myriad of phenomena determined by contextual political, economic, socio-cultural, and technological factors (Chapter 1). Therefore, the dynamics of these factors produce different phenomena that influence either the preservation or decay of the built heritage. If it happens to be the second case (decay), then such dynamics are

inherent to agent of deterioration no. 9. This agent seems to be the most complex to deal with since it remains scarcely explored from the perspective of preventive conservation taking into account its effects, which are visible not only on individual heritage buildings but also on a broad notion like historic urban areas.

The set of papers analysed also showed that the topics typically addressed are risk/impact assessments in the first place; secondly, regular inspection/maintenance actions or planned intervention strategies, and thirdly, monitoring tools. Also, these papers endorse the fact that more scholars and professionals rely on preventive conservation to develop legal frameworks, policies, field applications, appropriate tools and techniques to improve its implementation (Van Balen, 2011). Nowadays, the development of this approach comprehends the contribution to sustainable conservation strategies given its synergistic relationship with sustainability, as it entails preserving heritage values and authenticity, a non-renewable capital (Vandesande, 2017).

PRECO-Strat, towards built heritage conservation aligned with sustainable management and local development

A recent sound study suggested a preventive conservation strategy for built heritage aimed at sustainable management and local development (PRECO-Strat). The main findings rely on the application to different case studies of a multi-level perspective model (MLP) based on the economics of change. This approach led to identifying innovations and changes required to operationalise a preventive conservation system in local practices at the micro-level (niches), which can influence socio-technical regimes, and eventually might change the socio-technical landscape (Vandesande, 2017).

PRECO-Strat emphasised the link between sustainable management and local development as processes inherent to the preventive conservation of built heritage. The author described preventive conservation as a process that:

> "…aims at implementing minimum interventions, the least destructive of all interventions which inevitably occur in built heritage conservation, through a continuous process of identifying, assessing, analyzing and monitoring expected damages, possible risks, and the overall state of conservation of built heritage structures in combination with planned interventions based on a cyclical methodological model which takes into

> account non-linear patterns of deterioration and aims as much as possible to avoid incompatible and postponed interventions which lead to reactive patterns, unforeseen detrimental damage and additional resource investment" (Vandesande, 2017, p. 34).

Vandesande's definition of preventive conservation shares common denominators with the ample notion of prevention. The systematic collection of data and identification of risks and vulnerabilities is comprised in the continuous process of identifying, assessing, analysing and monitoring of expected damages, together with risks, and the state of conservation. Similarly, the preventive strategy and its control are implicit in the need for implementing minimum and planned interventions rather than incompatible and postponed interventions.

A step forward in this research was the examination of knowledge, state of conservation, as well as financial, environmental, and social factors as influencing elements for preventive conservation strategies focusing on built heritage structures; i.e. buildings or monuments. Consequently, broader expressions of built heritage like historic urban areas, which entail complex and diverse character-defining elements (Chapter 1), remain unexplored from the perspective proposed in PRECO-Strat. However, the author developed a comprehensive theory to redefine each stage of the preventive conservation framework; i.e. anamnesis, diagnosis, therapy and control. This theoretical background serves as a reference to analyse, further in this Chapter, the extent to which it can be extended to historic urban areas.

PRECOM^{3}OS Chair in Latin America, the specific case of Cuenca, Ecuador

The Preventive Conservation Plan for the city of Cuenca (PCPC) in Ecuador is an example of how this approach is applied to the scale of a World Heritage City. Encouraged by the PRECOM^{3}OS network and directed by the Project VLIR-City Preservation Management[1] (VLIR-CPM), the Plan advocates for the collaboration between different institutions and multiple actors under the coordination of the Municipality of Cuenca. It also comprises education on cultural heritage from primary to higher education, as well as capacity building programs on maintenance and restoration skills under the guidance of the Faculty of Architecture (UC). Likewise, the PCPC integrates different ways to find financial support for interventions actions,

[1] VLIR-CPM: VLIR-City Preservation Management. VLIR: Dutch acronym for Flemish Interuniversity Council (*Vlaamse Interuniversitary Raad*)

as well as annual reports for condition assessment of the urban pattern and the built heritage stock (Cardoso, 2011; Costa, 2011; Moscoso, 2011; Zúñiga, 2011; Cardoso et al., 2018).

Among the significant actions steered by the VLIR-CPM Project are the maintenance campaigns developed in both, sectors of the Historic Centre of Cuenca, and rural areas within the Municipality. These campaigns were based on community empowerment by involving locals as main actors of interventions (Cardoso et al., 2013; García et al., 2015). This type of collective work stimulates the preservation of the spirit of place by potentiating the eduction of social values. The experience resulted from the pressures created by poverty conditions in Ecuador, and as such, the initiative was conceived as emergency actions to address the lack of maintenance of buildings (Vandesande, 2017).

In methodological terms, the PCPC is built upon the preventive conservation framework. Each stage comprises specific activities to guide actions to prevent and stop damages in heritage buildings on a regular basis. Historical studies of damages, the identification of their causes, as well as cyclical monitoring, support the intervention proposal. Even though the focus of interventions is on physical damages, the PCPC is a reference for the practical implementation of the preventive conservation cycle. (Fig. 2.4)

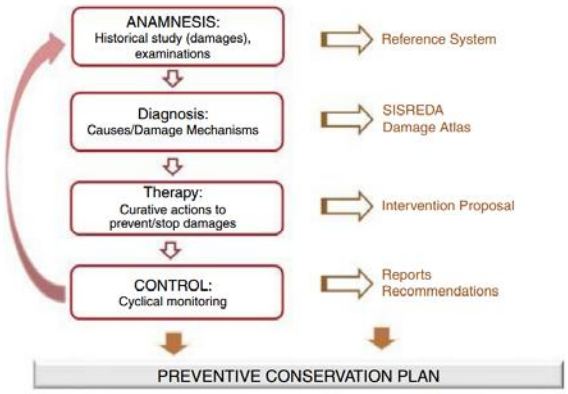

Fig. 2.4: Overall structure of the preventive conservation plan in Cuenca. Source: (Cardoso et al., 2018)

Another result within the umbrella of the Project VLIR-CPM and the PRECOM^{3}OS Chair is a conceptual 3D GIS-based monitoring tool for preventive conservation applied to Cuenca. Heritage values lay at the core of this tool, supporting Cuenca's outstanding universal value (UNESCO, 2012). On this basis, the monitoring tool is helpful to collate relevant data on heritage valuable features; to identify vulnerabilities and risks considering the disturbances and condition

of features; and to plan preventive and curative actions, which efficacy is controlled in a final stage. The main contribution consists of the development of a data model for a monitoring system based on the preventive conservation framework (Heras, 2014). Since this research focused on heritage values, it provided insights to implement each stage based on the preservation of such values.

In summary, the advances discussed in this section have broadened the original notion of preventive conservation. Scholars have contributed to extending the theoretical and methodological background of the preventive conservation framework; redefining each stage considering aim, scope and purpose of research and practical actions. Moreover, researchers have acknowledged the links between sustainability and preventive conservation given its social, economic, and environmental implication, which aligns this approach with current international conservation discourse (Chapter 1).

However, despite its pertinence, the impact of socio-economic dynamics on built heritage, and particularly on historic urban areas, have been scarcely studied from the perspective of preventive conservation. Moreover, since the emphasis is put on the physical deterioration of historic buildings, broader notions like historic urban areas, which include spatial configurations, materials, forms, location, uses and cultural associations and meanings, have not been considered from this perspective. In addition, the interrelationship between cultural values and socio-economic dynamics as a cause that influences the preservation of built heritage have not been integrated into the context of preventive conservation. Therefore, this research aims to continue developing the knowledge of this approach by implementing its fundamentals to determine the cause-effect association between socio-economic dynamics and cultural values and their influence on historic urban areas.

2.2.2 Synthesis of the fundamentals of the preventive conservation framework

In view of the theoretical contributions developed under the umbrella of the PRECOM^{3}OS UNESCO Chair, it is possible to summarise the fundamentals of the preventive conservation framework developed from the 2003 ICOMOS document to recent contributions. These fundamentals are the basis to substantiate theoretically the anamnesis, diagnosis, therapy and control stages considering historic urban areas. (Table 2.1)

Table 2.1: Theoretical development of the preventive conservation framework				
	Principles for the analysis, conservation and structural restoration of architectural heritage (ICOMOS 2003)	**PCPC Cuenca** (Astudillo, 2011; Cardoso, 2011)	**3D GIS value based monitoring tool** (Heras 2014)	**PRECO-Strat** (Vandesande 2017)
Anamnesis	Structural and material characteristics Construction techniques Alterations and their effects Phenomena occurred Present state	History Materials and construction techniques Damages and effects Risks and threats according to location and environmental conditions	Heritage values and their valuable features Current condition Potential risk Economic & social aspects	Identification & characterization of distinctive materials Constructions techniques Damage phenomena Previous interventions Additions to structures over time Location of the building Style Period related construction & material Objectives of stakeholders Interests of the local community Social Context Available resources Values & significance
Diagnosis	Based on historical, qualitative and quantitative approaches Direct observation of the structural damage and material decay Quantitative approach mainly on material and structural tests, monitoring and structural analysis Determine first the causes of damage and decay, and then to evaluate the safety level of the structure. The last step in the diagnosis, where the need for treatment measures is determined, should reconcile qualitative with quantitative analysis: direct observation, historical research, structural analysis and, if it is the case, experiments and tests. Explanatory report	Recognise information and data linked to a heritage asset or a group of assets in order to process, compare with accepted standards, analyse and synthesize the diverse issues related to cultural heritage Condition assessment to determine alerts as a result of the analysis of variables, affected elements, gravity of damages, and the vulnerability of buildings considering threats and risks	Show the current state of the heritage feature in a certain period; by synthesizing, the different parts of the analysis stage. Performance status, actions, baseline monitoring and the threshold classes are part of this stage. The performance status is the basis to establishing a set of curative or preventive actions.	Risk evaluation of the built heritage structure, which enables setting priorities during the decision-making on the long-term planning interventions. The diagnosis focusses on analysing damage causes rather than the effects. Damage causes can be nature-driven, or human-driven. The different variables in the deterioration process can be structured within the risk assessment framework developed by Waller (1994,2003) Following the identification and assessment of the different damage causes, risks and different variables in the deterioration process, the outcomes can be streamed and evaluated. Risk evaluation enables to manage risks taking into account external dynamics and heritage values.

Therapy	Should address root causes rather than symptoms The best therapy is preventive maintenance Conservation and reinforcement measures should be based on safety evaluation and understanding of the significance of the structure. Intervention should be in proportion to the safety objectives set; intervention should be minimum Intervention should be based on a clear understanding of the kinds of actions that were the cause of the damage and decay The choice between traditional and innovative techniques should be weighed up on a case-by-case basis The measures should be reversible and flexible where possible The compatibility of new materials used should be fully established Intervention should respect the concept, technique and historical value of the original or earlier stated of the structure	Actions within therapy are to be aligned by the alerts set in the diagnosis The kind of intervention should be given by the gravity of phenomena identified in the Diagnosis	Therapy might encompass curative and preventive actions. Therapy depends on the demands for intervention, which could be linked to budgetary aspects, availability of workmanship to execute the action.	Based on the outcome of the diagnosis, therapy can be implemented to deal with active damages causes and risks. Therapies can range from repairing damages to protecting materials in the long term. Therapy is selected according to compatibility and retreatability as well as functional and technical requirements. Compatibility refers to interventions that enable similar behaviour between materials (old and new) Retreatability refers to interventions that do not preclude other interventions. Interventions depend on factors like the quality of the designer, economic considerations, workability properties and longevity of interventions. Every intervention is different and requires specific expert and professional knowledge. Planning and phased implementation of works require a balanced decision in terms of aligning the different interventions. A certain level of uncertainty has to be taken into account when dealing with planned interventions. Inaccuracies give uncertainty in information, the probability of actual damage, the extent of damage, organisational disagreement. Long-term phasing of interventions entails both careful plannings of interventions and potential practical problems for which ad-hoc solutions are needed.
Control	Proposals for intervention must be accompanied by a programme of control, to be carried out while the work is in progress. Measures that cannot be controlled during execution should not be allowed Checks and monitoring during and after the intervention should be carried out to ascertain the efficacy of the results	It's an essential activity aimed at verifying, assessing, and controlling the results of previous stages (A, D, Th) Processes of control are to accomplished as an integral part of the conservation strategy. Processes of control can be executed using reports made by citizens, annual reports by owners and managers. Also, a biannual report made by an expert seeking to check and complement the information given by owners.	The control stage establishes new monitoring parameters and evaluates if the objective of conservation was reached through the previous set of actions.	Control is required during and after the implementation of the therapy. Intermediate controls enable to timely detect problems, develop a continuous overview and eventually a view of the possible outcome. An evaluation procedure can be implemented which controls the intervention performances within a short and long-term interval, possibly a set of performance criteria. An operational monitoring system enables a partial environmental control of historic structures.

As argued by different authors and considering the general understanding of prevention in different fields, the preventive conservation of built heritage entails essential activities like the exhaustive and systematic documentation of adverse effects (monitoring); the management of risks and vulnerability; the devising of preventive strategies; and the assessment of the efficiency of interventions. These activities should be consistent with the stages of the preventive conservation framework; i.e. anamnesis, diagnosis, therapy, and control (Annex 2.2).

Regarding the **anamnesis**, it encompasses the thorough knowledge of the history, style, period-related construction techniques, characterisation of materials, phenomena that produce damages, previous interventions and additions to the structure over time; as well as the risks and threats according to the geographical context and the climate conditions. Also, it has been suggested that the analysis requires the comprehension of external dynamics influencing the condition of buildings. Such dynamics are given by the objectives of stakeholders, interests of the local community, the social context, and available resources. As well, a holistic understanding within this stage requires the analysis of values and significance associated with the built heritage environment (Astudillo, 2011; Heras, 2014; Vandesande, 2017).

Whereas anamnesis has been widely developed and there is a consensus in theoretical and methodological approaches, **the diagnosis** shows different perspectives that have been gradually developed since the 2003 ICOMOS Principles for the Analysis, Conservation and Structural Restoration of Architectural Heritage. Nevertheless, authors concur with the view that this stage entails the synthesis of the data gathered in the anamnesis to determine and examine the damages and the causes of structural decay exhaustively. This synthesis comprises an evaluation of the condition and performance of the structure to determine alerts, and the assessment of the gravity of damage and risks to the built heritage structure. Both, the condition and risk assessment lead to establishing treatment measures (ICOMOS, 2003; Astudillo, 2011; Heras, 2014; Vandesande, 2017).

Based on the results of diagnosis, **therapy** is expected to address causes rather than symptoms; in other words, deal with active causes and risks. Therefore, an early notion of therapy suggested that its best implementation was preventive maintenance. However, Heras (2014) holds the view that therapy encompasses both, curative, and preventive actions; the first aims to reinstate the

structural performance, while the second seeks to avoid the further spread of damage. In addition, this author expresses that this stage depends on budgetary aspects. In line with this, Vandesande (2017) drew the attention to other factors like the quality of the designer, workability properties and longevity of interventions, which also determine the effectiveness of therapy.

Common principles of this stage are: i) every intervention is different and requires expert and professional knowledge; ii) there is always a certain level of uncertainty given by inaccuracies in the information, the probability of actual damage, and organizational disagreement; and iii) the need for careful planning and ad-hoc solutions for potential practical problems when designing long-term phasing interventions. Moreover, several recommendations to guide therapy refer to the use of proper materials, the minimum-scale nature of interventions, and most importantly, the respect to the concept, technique and historical value of the structure (Heras, 2014; Vandesande, 2017).

Finally, **control** becomes a crucial activity aimed at verifying and evaluating the results of previous stages; in particular, control is fundamental during and after the implementation of therapy. This stage produces a new set of data that serves to evaluate if the objective of conservation was achieved (Heras, 2014). For instance, in the PCPC this activity was implemented by producing annual reports with the active participation of citizens, owners and heritage properties managers, as well as biennial reports involving the participation of experts (Astudillo, 2011). The latest idea was taken further by Vandesande (2017), she suggested systematic actions in the form of intermediate controls in order to timely detect problems, develop a continuous overview, and a view of the possible outcomes. Additionally, this author proposed that an evaluation procedure based on a set of criteria should be implemented in the short and long-term interval.

The arguments exposed in this section synthesise the fundamentals of the preventive conservation framework developed until 2017, that serve as a reference to build the understanding of each stage considering historic urban areas.

2.3 Definition of the preventive conservation framework for historic urban areas

Based on the reasoning developed thus far, this section proposes the fundamentals of anamnesis, diagnosis, therapy and control as defined for historic urban areas, aiming at establishing a

theoretical and methodological framework for preventive conservation of historic urban areas. Three key documents are the main sources that serve to establish an analogy with the theoretical and methodological approaches discussed in previous sections. They were explicitly elaborated to embody the principles for the preservation of historic areas: the Recommendation Concerning the Safeguarding and Contemporary Role of Historic Areas (UNESCO, 1976); the Charter for the Conservation of Historic Towns and Urban Areas (ICOMOS, 1987); and the Recommendation on the Historic Urban Landscape (HUL) (UNESCO, 2011a). (Table 2.2)

Even though the period between these heritage policy guidelines exceeds three decades, they are still recognised as milestones in the evolution of the discourse regarding historic urban areas (Van Oers, 2010). Moreover, the 2011 HUL approach acknowledged and adopted the contributions made in both, the 1976 UNESCO Recommendation and the 1987 ICOMOS Charter. In addition to these documents, the reasoning exposed in this section is supported by different authors' contributions to the preservation of historic urban areas.

Table 2.2: Fundamentals of the preventive conservation framework found in international guidelines documents addressing historic urban areas			
	Recommendation Concerning the Safeguarding and Contemporary Role of Historic Areas (UNESCO 1976)	**Charter for the Conservation of Historic Towns and Urban Areas** (ICOMOS 1987)	**Recommendation on the Historic Urban Landscape** (UNESCO 2011)
Anamnesis	Demographic data Analysis of economic, social and cultural activities Ways of life and social relationships Spatial evolution Land-tenure problems Urban infrastructure State of the road system Communication networks Links between protected areas and surrounding zones. Harmony of heights, colours, materials and forms Constants in the way the façades and roofs are built The relationship between the volume of buildings and the spatial volume Average proportions and their position The extent to which poles, pylons, electricity or telephone cables and the placing of television aerials and large-scale advertising signs modify historic areas Pollution, noise, shocks and vibrations caused by machines and vehicles Social opinion survey The ability of the urban fabric to assimilate functions that are compatible with its specific character	The urban pattern as defined by lots and streets Relationships between buildings and green and open spaces Formal appearance, interior and exterior, of buildings as defined by scale, size, style, construction, materials, colour and decoration The relationship between the town or urban area and its surrounding setting Functions acquired over time Threats posed by natural disaster Traffic and parking Pollution and vibrations	Natural, cultural and human resources Social, cultural and economic values Social and cultural practices Economic processes Values to protect Attributes that bear the values The vulnerability of attributes to socio-economic pressures and the impacts of climate change Tangible and intangible components of urban heritage Interrelationships of physical forms State of urban areas and evolution Spatial organisation and connection Natural features and settings (topography, geomorphology, hydrology) Built environment Infrastructures above and below ground Open spaces and gardens Land use patterns Spatial organisation Perceptions and visual relationships

Diagnosis	An analytical document should be drawn up to determine which buildings or groups of buildings are to be protected with great care, conserved under certain conditions, or, in quite exceptional and thoroughly documented circumstances, destroyed Programming operation in which due account is taken both of town-planning, architectural, economic and social considerations and of the ability of the urban and rural fabric to assimilate functions that are compatible with its specific character. Because of the social, economic and physical context of historic areas and their surroundings may be expected to change over time, survey and analysis should be a continuing process	Before any intervention, existing conditions in the area should be thoroughly documented.	Comprehensive and integrated approaches for the assessment of the historic urban landscape. Heritage, social and environmental impact assessments Research should understand the meanings of values for the communities.
Therapy	Address unsuitable uses, unnecessary additions and misguided or insensitive changes. Legal & administrative: conditions and restrictions, programmes and operations to be planned for conservation. Maintenance, responsible body for authorising restoration, modification, new construction, financial means. Legal frameworks should prevent infringements and speculative rise in property values within protected areas. Technical, economic, and social measures: Safeguarding plans should be executed by its authors. Preservation should be carried out taking into account different periods. Slum clearance. Demolition of buildings with no architectural or historical interest. Removal of extensions and additional storeys of no value. Demolition of recent buildings which break the unity of the area. Removal of poles, electricity or telephone cables, large-scale advertising or signs that disfigure the historic area and its surroundings. Revitalisation activities. Maintain appropriate existing functions and establish new ones compatible with the economic and social context. Measures should not lead to a break in the social fabric.	Conservation actions should promote development and harmonious adaptation to contemporary life. Promote the harmony of both private and community life in these areas, and to encourage the preservation of those cultural properties. Conservation should be an integral part of coherent policies of economic and social. Conservation plans must address all relevant factors including archaeology, history, architecture, techniques, sociology and economics. Preventative and repair measures must be adapted to the specific character of the properties concerned. Development and of urban and regional planning at every level. Participation and the involvement of residents are essential for the success of the conservation programme and should be encouraged. The conservation of historic towns and urban areas concerns their residents first of all. A general information programme should be set up for all residents, beginning with children of school age. Continuing maintenance. The introduction of contemporary elements in harmony with the surroundings should not be discouraged since such features can contribute to the enrichment of an area. New functions and activities should be compatible with the character of the historic area.	Conservation should be integrated with development processes and urban planning, as well as with architecture and infrastructure development. Ensure economic and social diversity and the residential function. Harmonious, integration of contemporary interventions into the historic urban fabric. Civic engagement tools, knowledge and planning tools, regulatory systems, financial tools Legislative and regulatory measures

Control	There should be an authority responsible for ensuring the permanent coordination of all those concerned in conservation, e.g. national, regional and local public services or groups of individuals. Because the social, economic and physical context of historic areas and their surroundings may be expected to change over time, survey and analysis should be a continuing process. Constant supervision is necessary to ensure that safeguarding plans are not conducive to excessive profits nor serve other purposes contrary to the objectives of the plan.	Conservation in a historic town or urban area demands prudence, a systematic approach and discipline. Rigidity should be avoided since individual cases may present specific problems.	Evaluate the state of urban areas. Evaluation of proposals for change.

2.3.1 Anamnesis

The anamnesis of historic urban areas should entail a comprehensive and holistic understanding of character-defining elements reflected in the interaction between tangible and intangible features. Tangible features include both, the built environment and natural resources; while intangible features comprise social and economic structures, and the set of cultural practices attributed to physical features (UNESCO, 2011). (Fig. 2.5)

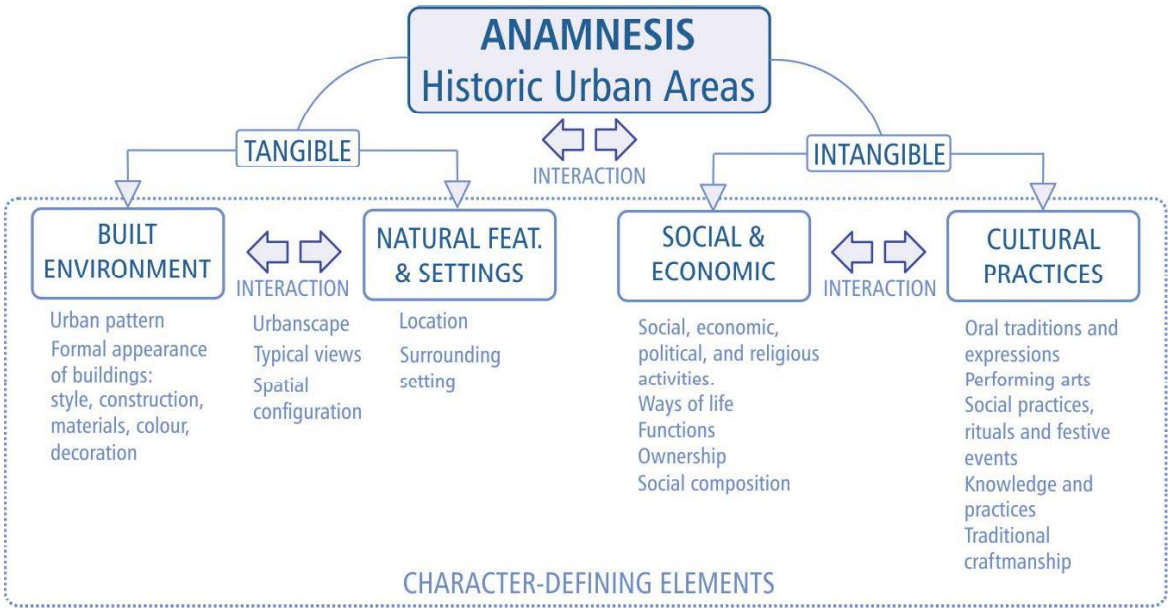

Fig. 2.5: *Anamnesis of historic urban areas*

Tangible features

The interaction between the built environment and the natural setting, as components of tangible features, defines the urbanscape, typical views and in general, the spatial configuration of the historic urban area. Therefore, the anamnesis requires a thorough characterisation and condition assessment of the urban pattern, describing blocks, lots, streets, and (green) open spaces, since informal reorganizations –for instance– may cause a change of mass, which could jeopardize the harmony of the whole (Conzen, 2010; Whitehand, 2010). Accordingly, it is crucial to understand the spatial evolution of the historic urban area by tracing its origins and exposing how it has changed over time (Worthing and Bond, 2008). In addition, the comprehensive analysis of the building stock involves the characterisation of the formal appearance as defined by scale, size, style, construction, materials, colour and decoration (ICOMOS, 1987).

As for the natural features, a description of the settings and the surrounding geographical context should encompass the topography, geomorphology, hydrology, vegetation, and other types of natural resources (UNESCO, 2011; Aves Caballero, 2016). Analysing the relationship between the built environment and its surrounding setting helps to understand the perceptions and visual relationships from and to the area (Rey-Pérez and Siguencia Ávila, 2017).

Intangible features

Even though tangible features are the focus of this research, it is necessary to refer to intangible features given their "deep-seated interdependence" (UNESCO, 2003, para. 4), which is pivotal in shaping the character-defining elements of a historic urban area (UNESCO, 2011). Understanding intangible features comprise the description of social, economic, political and religious activities; including ways of life, functions, ownership and social composition (Rey-Pérez et al., 2017). Equally important is the identification of cultural practices like oral traditions and expressions, performing arts, rituals and festive events, knowledge and practices and traditional craftsmanship; which are likely to be manifestations of locally rooted intangible cultural heritage (UNESCO, 2003).

Understanding the interaction between tangible and intangible features helps to comprehend the set of different cultural values attributed to the historic urban area over time; and how these values evolved undergoing the influence of changing socio-economic dynamics (Chapter 1). Moreover, it helps to answer questions like who values the place, why they do so, and how those values relate to its fabric (Historic England, 2008).

Methods and tools to be used in the anamnesis for data collection and processing

The volume of data to be collated in the anamnesis determine the use of different methods and tools. A preliminary description of both, tangible and intangible features can be based on the analytical observation of reality. Furthermore, a comprehensive examination of character-defining elements requires the collection of secondary data through the review of the literature (research reports, academic papers, books) as well as historic archives (written sources, photographs, maps), which should be ascertained and compared with the outcomes of field surveys. These outcomes are the primary empirical data collected by recording and documenting urban and architectural

features, using sketches, photographs and condition assessment sheets. Field surveys also include acquiring qualitative data from questionnaires and interviews with residents.

Given the diverse type of information needed, the anamnesis is basically supported on multidisciplinary collaboration; therefore, different tools are necessary for processing the volume of data. Since the scope of the anamnesis is to embrace the extent of a historic urban area, most of the primary and secondary data can be mapped; in this sense, geographic information systems (GIS) are useful tools to integrate and depict the data (Arcila Garrido and López Sánchez, 2012; Pillai, 2013; Dick, 2015). Similarly, the information about specific buildings, or details that argue the presence of some character-defining elements can be processed and depicted by employing computer-assisted design systems (CAD) and digital photography (Letellier, 2007; Eppich and Chabbi, 2007; Santana Quintero, 2013). Moreover, written reports are useful to collate qualitative data resulting from social surveys, which are based on methods and tools from the social sciences.

In summary, the anamnesis of historic urban areas should be a systematic process to assist the understanding of the interaction between tangible and intangible features. This stage requires the contribution from different fields to conduct a comprehensive description of the area and the condition of character-defining elements. To this end, various methods and tools are needed to collect, process and depict the volume of primary, secondary, and qualitative data.

2.3.2 Diagnosis

Based on the synthesis of the information gathered in the anamnesis, the diagnosis of historic urban areas should entail two main steps. Firstly, the exhaustive determination and examination of the cause-effect association that produce the decay and loss of character-defining elements; and secondly, a risk assessment consistent with the causes of decay. Risks should be understood as the chance of something happening that will have an impact upon the historic urban area; while vulnerability is the susceptibility and resilience of the historic urban area to hazards (UNESCO 2010 pg. 58). In the context of this research, the diagnosis requires the comprehension of the interrelation between socio-economic dynamics and cultural values over time, and the effect this interrelationship produces. Therefore, risks assessment include the identification of threats and vulnerabilities determined by human activities (agent no.9) (Paolini et al., 2012).

As suggested by UNESCO (2010), among most common threats to historic urban areas, the human-induced can result from armed conflict, fire, pollution, infrastructure failure or collapse, civil unrest and terrorism. According to the risk analysis model for preventive conservation of heritage properties proposed by Waller (1994, 2003) and endorsed by UNESCO (2010), the consequences of these threats can be evaluated as catastrophic or severe, and their probability of occurrence is low or rare. Moreover, the effects of gradual developments, overpopulation, economic pressures, migration, or misapplied policies can result in regular events with mild or medium impacts (UNESCO, 2011; WHC, 2013). However, in the long-term, such events can result in high damage to the integrity of both, tangible and intangible features. Therefore, analysed as isolated events might not represent a threat, but their accumulation over time is a significant risk to vulnerable character-defining elements.

In short, similar to the fundamentals discussed for historic buildings (sec. 2.3), the diagnosis of historic urban areas is the synthesis of the data about tangible and intangible features collated in the anamnesis. The aim of synthesising this information is to determine causes of decay, and to assess risks and vulnerabilities on character-defining elements in order to guide the proposal of preventive conservation strategies.

2.3.3 Therapy

From the typical perspective of preventive conservation, therapy should primarily address the causes of damages; which, in the context of this research may be expressed, for instance, in "unsuitable use, unnecessary additions and misguided or insensitive changes" (UNESCO, 1976, sec. II.4). However, considering the complexity of human-induced processes affecting the integrity of character-defining elements, the emphasis of therapy for historic urban areas should be put on the management and negotiation between such processes and conservation needs. Otherwise stated, preventive conservation strategies should focus on how to manage change in a way that balances the frequently conflicting forces of conservation and socio-economic pressures (Vandesande and Van Balen, 2018).

As a result, preventive strategies become essential to avoid the spread of negative impacts, emphasising on preserving the harmony and the aesthetic coherence of the whole. Preventive measures entail legal frameworks aimed at setting the restrictions and advises on how to conduct

interventions. An example of a preventive measure derived from proper policies is the preservation of appropriate traditional functions and the establishment of new ones compatible with the character of the historic urban area. Similarly, contemporary interventions should have a minimal impact on character-defining elements and should harmonise into the historic urban fabric, leading to a coherent perception between tangible and intangible features (UNESCO, 2011a).

In this regard, the goal of therapy is to find a balance between the different cultural values attributed to a historic urban area, since weighting values differently is likely to produce adverse consequences (Chapter 1). Therefore, intervention strategies must respect community life and improve the quality of life, while simultaneously maintaining identity, diversity, vitality and authenticity. Accordingly, the participation and the involvement of the community is essential for the success of therapy measures (Landorf, 2011; UNESCO, 2011; Van Balen and Vandesande, 2015). These principles can foster the development and the harmonious adaptation of historic urban areas to contemporary demands.

Besides preventive measures, therapy should also encompass remedial actions focused on reinstating the integrity of deteriorated character-defining elements. These measures may include revitalisation activities and the eradication of adverse impacts that alter traditional features like the urban pattern or the formal appearance of typical buildings. Examples of remedial actions are the demolition of buildings or parts of buildings with no architectural or historic interest, and of buildings which break the unity of the whole; likewise, the removal of poles, cables, advertising and signs that disfigure the perception of the historic urban area (UNESCO, 1976, 2011). However, these actions may be considered extreme and unfeasible in contexts with scarce economic resources; also, they may be irrelevant in areas with no legal heritage protection.

In brief, the therapy of historic urban areas must address the causes that produce the decay of character-defining elements together with interventions actions aimed at reinstating the harmonious interaction between tangible and intangible features. Both, preventive strategies and remedial actions strictly depend on the results of diagnosis.

2.3.4 Control

The essence of control regarding the preventive conservation of historic buildings does not differ with its application to historic urban areas. Because the social, economic and physical context may be expected to change over time, systematic surveys and analysis should be a continuing process (UNESCO, 1976). Therefore, this stage should be understood as a transversal activity within each previous stages aiming at systematically evaluating the results of anamnesis, diagnosis and therapy. However, the emphasis of control should be put on the regular assessment of measures taken as therapy, since these can lead to the generation of new (unpredictable) situations that need to be tackled; thus, therapy can be readjusted to cope with unforeseen demands (Vandesande, 2017). Accordingly, constant supervision is necessary to ensure that therapy is not conducive to excessive profits nor serve other purposes contrary to its objectives (UNESCO, 1976, 2011).

In hindsight of the reasons exposed above, the fundamentals of the preventive conservation approach have been implicit in different heritage policy and guidelines documents adopted for the preservation of historic urban areas. In addition, the contributions of different authors have substantiated the application of the preventive conservation framework (anamnesis, diagnosis, therapy and control) to address the causes of the decay of character-defining elements. In the context of this research, this framework guides the development of a methodology aimed at examining the adverse impacts produced by socio-economic dynamics, specifically applied to the case of a historic urban area in Cuba.

2.4 Partial conclusions

The preventive conservation of cultural heritage refers to avoiding or reducing the gradual decay of heritage properties considering their complexity, which ranges from single objects to cultural landscapes. In the case of built heritage, preventive conservation has emerged as an alternative approach aligned with current international conservation discourse linked to sustainability, given its social, economic, and environmental implication.

Regular maintenance and monitoring are essential actions of preventive conservation. In addition, three levels of prevention (primary, secondary, and tertiary); the identification of agents of

deterioration; and the four stages cyclical framework (anamnesis, diagnosis, therapy and control), are theoretical and methodological fundamentals of this approach. Despite the advances made by scholars, mainly under the umbrella of the UNESCO PRECOM^{3}OS Chair, the impact of socio-economic dynamics on historic urban areas has been scarcely addressed from the perspective of preventive conservation.

The anamnesis of historic urban areas should assist in understanding the interaction between tangible and intangible features, requiring a multidisciplinary approach to describe the condition of character-defining elements. Various methods and tools are needed in the anamnesis to collect, process and depict primary, secondary, and qualitative data; which subsequently are synthesised in the diagnosis to determine causes of decay, and to assess risks and vulnerabilities.

On this basis, it is possible to elaborate preventive conservation strategies (therapy) addressing the causes that produce the decay of character-defining elements, together with interventions actions aimed at reinstating the typical interaction between tangible and intangible features. Finally, control is a transversal activity within each previous stages aiming at systematically evaluating the results, emphasising on the regular assessment of measures taken as therapy to preserve the historic urban area.

CHAPTER 3

Chapter 3

CONSERVATION AND MANAGEMENT OF HISTORIC URBAN AREAS IN CUBA

Introduction

This Chapter introduces the context where this research was developed by revising the progress of practical actions, statutory frameworks and theoretical advances regarding the conservation and management of historic urban areas in Cuba. The reasoning behind this revision is a chronological one, as steps in the evolution of conservation are linked to significant events pertaining to the political, economic, and socio-cultural factors. Two main periods are considered following this logic: 1900-1958 and 1959-present (Rigol, 2012b, 2012a). According to the aim and scope of this research, the discussion concerning the second period focuses on how the institutional framework established after 1959 has addressed the safeguarding of historic urban areas. The analysis required to draw upon an overall understanding of different actions at the national level making a distinction between the local notion of the historic centre and other urban areas. This sequence helped to zoom in on the specific case of Vista Alegre District in Santiago de Cuba. The review of academic literature, together with other types of publications provided information on how the topic has been developed at the national level.

3.1 Built heritage conservation in Cuba during the first half of the 20th century

In contributions made by scholars linked to the academics like Oliva (1963), Cárdenas (2008), Rigol (2012a, 2012b, 2015), Alfonso (2014), and Gómez (2015), as well as practitioners (Rodríguez et al., 2012), the conservation actions in Cuba are traced as far back as 1900. This consensus is probably given by the fact that in 1902 the Republic of Cuba was established after the end of the Colonial period in 1898. However, these authors mainly emphasise the case of Old Havana, for which most data is available. Likewise, the central focus is put on the actions developed after the 1959 Socialist Revolution, when conservation and management gradually gained importance and reached an institutional character.

According to the literature, some of the earliest heritage preservation actions took place in the foundational core of Havana during the 1920s and 1930s. Several interventions on specific buildings and public squares were undertaken driven by the interest of notable architects and urban planners to conserve the historic relevance in terms of aesthetic quality (e.g. *Palacio del Segundo Cabo*, *Plaza de la Catedral*, *Plaza de Armas*, and *Palacio de los Capitanes Generales*). In the same decades, the will of public institutions to preserve places of memory linked to the last period of the Independence War [1895-1898] resulted in the conservation of historic sites in the outskirts of Santiago de Cuba (e.g. *Loma del Gato*, *Árbol de la Paz*, and *Loma de San Juan)* (Rigol, 2012b).

In addition to these actions, there was raising awareness of the importance of preserving relevant individual pieces of architecture and sites of memory inherited from the Colonial period. The increasing consciousness is visible in the creation of organizations like the Committee for the Protection of Public Monuments of Santiago de Cuba [1912], the City Historian Office in Havana [1938], and the Commission of Historic and Artistic Monuments, Buildings and Places of Havana [1940] (Rigol, 2012; Alfonso González, 2014). However, except for the case of the City Historian Office in Havana, there is little information on the role played by these institutions, a topic that should be addressed in further research.

The first statutory framework explicitly enacted for the protection of monuments in Cuba is an act passed in 1928 by the country's central Government. The information known about this legislation is that it granted the President of the Republic the right to designate national and local monuments and to formulate regulations for their protection (Alfonso González, 2014). Accordingly, between 1934

and 1937 two towns (Mantua and Bayamo), one urban area (*Plaza de la Catedral* and surrounding buildings in Havana), and a set of funerary monuments (Santa Ifigenia Cemetery in Santiago de Cuba) were listed as National Monument (Oliva, 1963; Rigol, 2012b). The diverse scales of these designations reflected that the meaning of monument at the national level widened.

In 1940, for the first time in Cuba, a new Constitution was adopted addressing the protection of cultural heritage (Rigol, 2012; Alfonso González, 2014). The actions undertaken in specific buildings and sites, the likely influence of heritage-related organisations –mainly in Havana–, and the 1928 legislation should have created the proper context for the inclusion of the topic in this body of the Nation's fundamental principles. Specifically, Article 58 stressed the authority of the Government to regulate and protect national monuments for their artistic or historical value (Convención Constituyente, 1940).

In summary, during the first decades of the 20th-century, the activity of conservation focused on specific initiatives to preserve significant buildings. In this period, it is equally important the early legislation for the protection of buildings and urban areas under the designation of National Monument, and the creation of bodies to promote and direct the protection of monuments. These actions reflect initial intentions to set an institutional framework for the preservation of historic buildings and sites.

3.2 Institutional framework established after 1959, the notion of historic centre

Entering into the second half of the 20th century, the 1959 Socialist Revolution meant a radical shift in the economic and social policies. The interest of the Government for developing rural areas and new housing in the outskirts of cities and towns significantly reduced investments in central areas. Most investments were allocated to create residential districts based on the concept of social housing models developed in the former Soviet Union (Segre et al., 1986; De Las Cuevas Toraya, 2001; González Couret, 2009; Tsenkova, 2009). Therefore, historic areas in cities remained intact despite a small number of large-scale insertions. As a result, these areas were left unattended, leading to a gradual deterioration of primarily, the historic building stock.

Alternatively, initiatives promoted by scholars like Fernando Boytel and Francisco Prats Puig contributed to preserve relevant monuments in Havana and Santiago de Cuba with the support of

local Governments (*Castillo de la Fuerza*, *Hacienda La Isabelica*, *Castillo San Pedro de la Roca*, and *Casa de Diego Velázquez)* (Rigol, 2015). These actions were aligned with the contributions to the knowledge made by these intellectuals, who highlighted the historical and artistic significance of these pieces of architecture developed in different moments of the Colonial period. In addition, the studies about the Cuban Colonial Architecture developed by Joaquín Weiss (Weiss, 1978, 2002) evidenced the emergence of awareness on the importance of documenting and preserving built heritage.

Even though conservation actions focused on significant buildings and sites, some actions propitiated a gradual evolution to preliminary management strategies. Among these, the State policy towards cultural development evidenced the empowerment of the National Commission on Monuments with a new national statutory framework enacted explicitly for the preservation of cultural heritage.

3.2.1 National legislation for the protection of built heritage, the approach to urban areas

In 1978, the Cuban National Assembly passed Act No. 1 *Protección al Patrimonio Cultural* (Protection of Cultural Heritage), and Act No. 2 *Monumentos Nacionales y Locales* (National and Local Monuments) (see UNESCO WHC, 2017). This legal body appointed the Ministry of Culture with the stewardship of both, public and private cultural assets listed in the National Registry of Cultural Goods. In particular, Act No. 2 provided the necessary definitions to conduct the designation of objects, individual buildings and sites as National or Local Monuments; besides, it reinforced the role of the National Commission on Monuments, ascribed to the Ministry of Culture.

It is noteworthy the definition given to the term "historic centre". In Article 1, the legislation states that these urban areas entail the set of constructions, public and private spaces, streets, squares, and the geographical setting that at a specific historical moment had a clear physical coherence as an expression of a community, individualised and organised. This notion reflects the influence of the 1976 UNESCO Recommendation Concerning the Safeguarding and Contemporary Role of Historic Areas, which implicitly regarded the significance of historic areas together with their surroundings (UNESCO, 1976).

Moreover, the national statutory made a particular distinction by defining as "sites" those places or areas with architectural homogeneity or a unique urban pattern. Even though the term "sites"

overlaps with the description of historic centres, in practice it has been applied for specific zones within urban areas. For instance, the same year the legislation was adopted, the notion of urban site served to inscribe small built environments like the University of Havana, the *Hospital and Plaza San Juan de Dios* in the historic centre of Camagüey, and the *Parque Martí* and its surroundings in the city of Cienfuegos (CNM, 1978). Therefore, the designation of an urban area as National Monument conceives historic centres and urban sites; the latter can be located either within the historic centre or in other areas. As a result, their scale, in addition to the different terminology used, can distinguish these categories.

As for the statement of cultural significance to substantiate the inscription, Article 2 (Act. No. 2) defines four typologies of values (National Assembly, 1977, art. 2). These include historic, artistic, environmental, and natural or social:

- The historic value is related to the relevance of the asset regarding the political, social, scientific or cultural history.
- The artistic value is given by the aesthetic qualities visible in the style or decorative features of constructions, sculptures or objects.
- The environmental value is linked to historic centres and constructions, which form and architectural features reflect the spirit of a past epoch or the characteristics of a region.
- The natural or social values pertain to sites with scientific or cultural characteristics in themselves, or to sites with geological and physical features inhabited by flora and fauna of high value or under threat.[1]

These definitions given in Act No. 2 of the "environmental" and the "natural-social" values may be subject to diverse and confusing interpretations since their meanings overlap. However, when it was adopted, the statutory gave an account of the institutional recognition of diverse cultural values beyond the traditional historic and artistic.

The interest of the State to preserve historic urban areas through this institutional framework is also noticeable in the adoption of the UNESCO World Heritage Convention in 1981. Besides, it is noteworthy the public financing initiatives undertaken by allocating a five-year term State funding

[1] Literal translation Spanish-English made by the author, 2018.

plan for the rehabilitation of the historic centre of Havana City; namely, Old Havana (UNESCO-OHCH, 2006). These actions endorsed the advances made concerning statutory frameworks and the raising awareness on the importance of safeguarding the foundational core of historic cities.

3.2.2 Conservation and management of historic centres

Notable achievements during the seventies and eighties were the inclusion of the so-called First Seven Villages[2] in the list of National Monuments (CNM, 1978). In addition, Old Havana and its Fortification System (1982), and the historic centre of Trinidad and the Valley of the "Ingenios" (1988) were inscribed in the World Heritage List (UNESCO WHC, 2017b). Equally significant was the creation of the *Centro Nacional de Conservación, Restauración y Museología* (CENCREM, National Centre for Conservation, Restoration and Museology) supported by ICCROM under the umbrella of UNESCO. This Centre fostered national and regional capacity-building programs on different areas of conservation. It also served as the platform for the specialisation of practitioners who coursed training programs in European countries (Rigol, 2012a).

Eventually, the experience gained was extended to local academic programs that contributed to the dissemination of knowledge through different written materials published over the 1980s (Cárdenas, 1984; Coyula, 1984; Gómez, 1986; López and Arafet, 1985; Mahtar M'Bow, 1984; Millán, 1987; Nacer and Fernández, 1985; Prieto, 1983; Taboada, 1988, 1984). Conservation-related courses were included within bachelor, and post-graduate programs, mainly in the Architecture and Urban Planning Programs developed in Havana, Camagüey and Santiago de Cuba (Cárdenas, 1984; Soto Suárez et al., 2014). These outputs helped, in terms of theoretical and methodological approaches, to build capacities and create research groups on the topic of built heritage. Some of these groups promoted studies, created heritage inventories and supported many of the conservation works in historic centres by providing technical advisory (Morcate Labrada, 2005).

The different actions undertaken during the 1980s in the conservation of historic centres, in particular, in Old Havana and Trinidad, reflected an evolution aligned with the international

[2] These include the foundational core of the cities founded by the Spanish during the early years of the Colonization (1511-1519). The First Seven Villages are: Baracoa, Bayamo, Camagüey, Trinidad, Remedios, Havana and Santiago de Cuba (García Santana and Larramendi, 2008).

advances in terms of policy and guidelines (UNESCO, 1976), which had already shifted from protecting exceptional monuments and sites to the importance of preserving historic urban areas.

The city historian/conservation offices

The fall of the Socialist Bloc in Eastern Europe between 1989 and 1991 produced a dramatic economic crisis in Cuba during the nineties. At that time, the national economy was extensively based on commercial trading within the umbrella of the Council for Mutual Economic Assistance (CMEA) that integrated a number of socialist countries, to which Cuba joined in 1972 (Bokoff, 2010). Along with the trading limitations determined by the US Embargo to Cuba, the collapse of CMEA produced a substantial decrease in the national GDP rate growth, which dropped from 3.71% in 1988 to –14.9 in 1993 (BCC, 2003; ONEI, 2006; WB, 2018). This situation might have produced sudden discontinuation in the progressive conservation of built heritage due to the significant reduction of investments, shortage of construction materials, and scarcities in general.

However, the successful results of the model implemented for the rehabilitation of Old Havana, aligning social, economic and cultural policies (Leal Spengler, 2006a; OHCH, 2002), led to enacting the Decree No. 143 in 1993. This statutory granted an unprecedented autonomy to the City Historian Office of Havana (OHCH), providing absolute decentralised power for decision-making by subordinating the consultation of decisions only to the Council of State. As a result, the OHCH created its system for administrating touristic and commercial activities, as well as for allocating investments (UNESCO-OHCH, 2006).

In the same period, the 1992 United Nations Conference on Environment and Development in Rio de Janeiro adopted the Agenda 21 for Sustainable Development (UN, 1992). The paradigm of social inclusion, economic growth, and environmental balance was positively adopted as part of the conservation strategy of Old Havana. Moreover, the notion of culture as a driving force of development was early promoted by the OHCH (Leal Spengler, 2006a, 2006b). This conceptual foundation, together with the proven self-efficiency and sustainability, consolidated the actions undertaken in Old Havana, which did not limited to conservation works.

The OHCH also fostered socio-cultural programs, the generation of new jobs, as well as the introduction of new economic opportunities like the tourism industry as an alternative to diversify

the national economy. These outcomes are visible in the creation of attention centres for older adults, health care centres for different age groups, and educational institutions, along with the facilities required for supporting tourism activity (UNESCO-OHCH, 2006). Consequently, the experience of Old Havana served as a reference for replication. Three more offices were created in the late 20th century, and in the last two decades, five of these bodies have been established to conserve, manage, and develop the cultural heritage of historic centres (Rodríguez et al., 2012; Caballero, 2018; Hartman Matos, 2018). (Fig. 3.1)

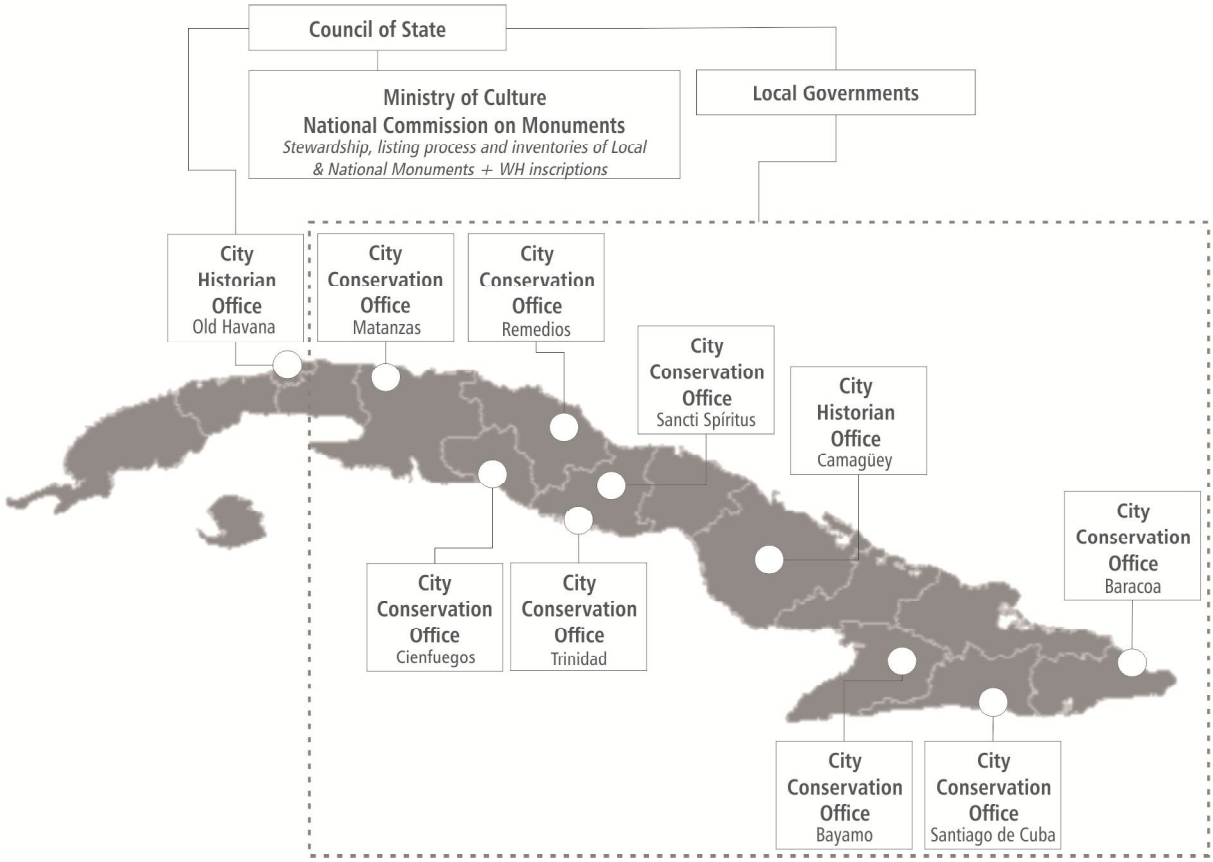

Fig. 3.1: *Current framework for conservation and management of historic centres. Author, 2018*

Along with the National Commission on Monuments (CNM), the city historian/conservation offices complete the current institutional framework regarding the safeguarding of historic urban areas in Cuba; however, their functions and scope are different. The CNM is responsible for the stewardship, the listing process, and the inventories of heritage resources at the national level (National Assembly, 1977; CNPC, 2018). While these offices direct management plans, conservation actions, heritage inventories, capacity building programs on traditional constructions techniques, and compliance with urbanistic regulations (Rodríguez et al., 2012).

All city historian/conservation offices have the same scope, aims and objectives; therefore, their management plans remain limited to the boundaries of historic centres. Alternatively, they direct specific conservation works on relevant buildings, as well as management strategies of National Monuments and World Heritage Sites, which are not located within the historic centre (Rodríguez et al., 2012). In summary, nowadays, built heritage conservation in Cuba goes through a well-established institutional framework mainly visible in the management of historic centres.

3.2.3 Relevant achievements under the current institutional framework

In addition to the creation of bodies aimed at preserving and developing social, economic, and cultural programs in historic centres, it is worth noting the work conducted within the academia. During the last decades, the studies, publications, research projects, bachelor and post-graduate programs, as well as conferences, have gained interest due to the actions of different scholars across the country (Rigol, 2005; Plan Maestro - OHCH, 2006, 2009; Soto Suárez et al., 2014). These activities demonstrate the interest in building capacities regarding theoretical and methodological approaches. The courses (bachelor and postgraduate) intend to support conservation actions by training practitioners and managers. Moreover, next to many publications addressing the identification and documentation of different types of built heritage, a set of studies has surfed on theoretical discussions contributing to management strategies (Soto, 2006; Cárdenas et al., 2008; Herrera, 2008; Rodríguez, 2009; Gómez and Niglio, 2015).

The joint efforts between the State, managers, practitioners and scholars upheld the inscription of five sites in the World Heritage List (WHL) in the transition from 20th to the 21st century. Among these, one is a fortress (1997), two are cultural landscapes (1999, 2000), and the rest are historic centres (2005, 2008)[3]. Likewise, more than 200 properties have been listed thus far as National Monuments (Fig. 3.2). Regarding the built heritage, the focus is primarily put on individual buildings (79 properties), whereas historic urban areas include twelve historic centres and nine urban sites (CNPC, 2018b).

[3] San Pedro de la Roca Castle, Santiago de Cuba (1997)
Viñales Valley (1999)
Archaeological Landscape of the First Coffee Plantations in the South-East of Cuba (2000)
Urban Historic Centre of Cienfuegos (2005)
Historic Centre of Camagüey (2008)



Fig. 3.2: *World Cultural Heritage properties in Cuba and National Monuments per province (in numbers). Author, 2018, data collected from UNESCO WHC, 2017 and CNPC, 2016.*

Even though in the first stages of the conservation practice in Cuba most of the actions were concentrated in Havana, there has been a noticeable shift in the last decades considering the creation of city/historian offices in different cities, and the number of assets listed as National Monument. For instance, the Eastern Region, composed by five provinces (Las Tunas, Holguín, Granma, Santiago de Cuba and Guantánamo), concentrates 47% of National Monuments; also, it hosts two World Heritage Sites. This development demonstrates the importance given to the safeguarding of cultural heritage across the country.

3.3 Historic centres in today's circumstances [2011-present]

Since 2011, a sequence of changes have characterised the socio-economic dynamics in Cuba. That year, Cuba's Communist Party announced new social and economic policies, stated in the *Lineamientos de la Política Económica y Social del Partido y la Revolución* (Guidelines of the Economic and Social Policy of the Party and the Revolution) (PCC, 2010). The encouragement of the private sector, the opening of the real estate market, as well as the approval of a new Act for Foreign Investment are among the substantial reforms (Cubadebate, 2011; Rodríguez, 2013; Rodriguez, 2014; Granma, 2014).

In addition, in 2018 the National Assembly of Cuba launched the project for a new Constitution (National Assembly, 2018); which final text is to be approved by referendum. Both, the Guidelines and the new Constitution reflect the continuity of the interest on safeguarding cultural heritage by

conceiving this activity within integrated scientific, technological, environmental and innovation policies (PCC, 2010, sec. 129). In particular, Articles 13h and 90k of the constitutional proposal claim for the duties of the State and citizens on the protection of cultural heritage.

To summarise, it is possible to state that heritage conservation in Cuba progressed from isolated intervention actions in significant historic buildings during the first half of the 20th century to the current institutionalised framework, which focuses on safeguarding historic centres. The facts exposed thus far lead to infer that this evolution is the result of different factors. Among which the support of the State is essential, reflected in cultural development policies, legal frameworks, the creation of specific bodies for the conservation and management of historic centres, and the inscription of seven properties in the World Cultural Heritage List. Moreover, the development of research projects and academic programs at bachelor and postgraduate levels resulted in the specialisation of practitioners and managers, who have conducted conservation and management actions aligned with international policy and guidelines documents.

However, to some extent, these actions lag behind the current international discourse. Despite the advances made, conservation and management actions remain focused on the notion of historic centre, whereas the 2011 UNESCO Recommendation on the Historic Urban Landscape already advocated for a broader understanding of heritage beyond this notion (Chapter 1) (UNESCO, 2011). Three facts can demonstrate this statement; firstly, the current statutory framework (Act. No.2 National and Local Monuments) indicates the listing of extensive urban areas under the category of historic centre. Accordingly, twelve historic centres have been listed as National Monuments thus far. Secondly, ten city/conservation offices have been established as bodies responsible for the conservation and management of historic centres. Thirdly, among the seven World Cultural Heritage Sites of the country, four are historic centres (Old Havana, Trinidad, Cienfuegos, and Camagüey).

In this regard, in Cuba, historic centres have been typically understood as the foundational core of cities, which were established during the Colonial Period, from the 16th to the 19th century. Nevertheless, the definition provided in Act No.2 does not specify a timeframe for this category nor a specific area within the city. Therefore, in accordance with Chateloin (2008), the notion of historic centre cannot be limited to the foundational core; instead, the city should be understood as a system of historic centres.

3.4 Historic urban areas beyond the notion of historic centres

Given that most of the efforts aimed at preserving historic urban areas in Cuba concentrate on historic centres, a distinction needs to be made between the latter and other urban areas, which are also containers of tangible and intangible heritage. For a better understanding, the term "historic district" will be used hereinafter to differentiate these areas from the local notion of historic centre. Accordingly, this section exposes the significance and the problems of historic districts that will help to introduce the case study of this research.

The review of the literature assisted in exploring how historic districts have been addressed from the perspective of heritage conservation. Local publications, including books, journal papers, monographs and research reports, reflect that the attention to these areas increased from the early 21st century onwards. Authors have emphasized the significance of districts like El Cerro (Chateloin, 2003; Portero, 2004; Baroni and Ortega, 2005; Ortega, 2005), Centro Habana (Coyula, 2009; Rey et al., 2009a; Rey and Ríos, 2010), El Vedado (Rigol and Rojas, 2003; Zardoya, 2003; Colectivo de Autores, 2006), and Miramar (Chateloin, 2004; Chateloin et al., 2016), all in Havana (Fig. 3.3). Likewise, within this group, Vista Alegre District in Santiago de Cuba has also been the focus of several studies (Lemus et al., 2007; Morcate and Parrinello, 2008; Muñoz, 2005, 2007, 2008).



Fig. 3.3: *Historic districts in Havana addressed in the literature (up). Urban environments of El Vedado (left), and Centro Habana (right). Author, 2018; sources of photographs: (Colectivo de Autores, 2006; Rey et al., 2009a)*

The studies about these districts have contributed to the identification, characterisation and valorisation of their significance, and their potential as heritage assets considering mainly –but not limited to– urban and architectural features. Scholars have also provided a thorough understanding of their evolution. The literature has stimulated to raising awareness of cultural values like historical, political, social, artistic, and environmental. Simultaneously, authors have claimed the need for action as increasing negative transformations dangerously threaten the preservation of, primarily, the quality of the urban pattern, and the diversity of valuable architectural pieces.

The following tables from 3.1 to 3.4 synthesise the main problems pertaining to historic districts as regularly stressed in the literature. This summary is based on the reflections made by authors, who expressed their concern regarding alterations and loss of character-defining elements because of different social, economic, and environmental phenomena. It is important to realise that a clear distinction between problems and causes is somewhat difficult since they often overlap; that is to say, causes are likely to be problems and vice versa.

Table 3.1: Cerro		
Author	**Issues affecting character-defining elements**	**Causes**
Coyula and Rigol, (2005)	Deterioration of buildings and infrastructure Unharmonious colours and signs Adverse transformations and decay of urban-scape Slums Lack of green and open public areas The hostile urban environment for pedestrians, residents, and bicyclists Low self-esteem of residents	Deprived livelihood, poverty Marginalisation Introduction of industries, the influence of other industries Over-densification of vehicular traffic Lack of civic and urban culture Contamination: air pollution, water, waste, noise Deficient quality and quantity of public services Devaluation of urban land
Chateloin (2003)	Deterioration of buildings Over-exploitation of buildings Slums Introduction of discordant decorative features	Lack of maintenance Economic scarcities Unawareness of historical and artistic significance

Table 3.2: Centro Habana		
Author	**Issues affecting character-defining elements**	**Causes**
Peña, (2009)	Deterioration of buildings and infrastructure	Deprived livelihood Low quality of life Disregarded cultural and heritage values The absence of effective maintenance actions Lack of management strategies
Coyula (2009)	Deterioration of buildings and infrastructure Alterations to buildings' traditional formal appearance Unharmonious new constructions	Introduction of incompatible functions Over-population, densification Flooding (hurricanes/rise of sea level) The decline of ethical and moral values Deprived livelihood Low quality of life Failure to comply with urban regulations
Rey et al. (2009)	Deterioration of buildings and infrastructure Adverse transformations of traditional urban-scape	Over-population Deprived livelihood Low quality of life

Table 3.3: El Vedado		
Author	**Issues affecting character-defining elements**	**Causes**
Rey (2006)	Alteration to buildings' formal appearance Adverse transformations of traditional urban-scape	
Coyula (2006)	Alterations to the traditional formal appearance of buildings Alterations to the traditional urban pattern Alterations to the relationship between buildings and green and open areas The decay of the urban-scape Unharmonious new informal constructions for services Unharmonious new buildings	The decline of ethical and moral values; change in social values, customs, and behaviour patterns Internal migration (rural-urban) Emerging rural activities as part of urban dynamics Marginality Over-population The absence of effective maintenance actions

	Unharmonious corporative colors and signs Reduced green outdoor areas (gardens, patios)	

Table 3.4: Miramar		
Author	**Issues affecting character-defining elements**	**Causes**
Padura (2016)	Alteration to traditional urban pattern Alterations to the traditional formal appearance of buildings Reduced green outdoor areas (gardens, lateral corridors, patios) The decay of the urban-scape	Introduction of new incompatible functions Subdivisions of buildings and plots (abandoned houses were used to host more than one family) Introduction of the tertiary industry on buildings originally conceived for housing Unharmonious commercial signs
Lápidus (2016)	Introduction of unharmonious designs, materials, and different sort of discordant elements within the urban-scape The decay of the urban-scape Low quality of new building's design Low quality of interventions works' projects on historic buildings	Unawareness on the significance of modern Districts
Coyula (2016)	Alteration to the traditional urban pattern Alterations to the traditional formal appearance of buildings The decay of the urban-scape Unharmonious new buildings Introduction of discordant informal constructions, signs, colours, designs, materials, and fences with unharmonious heights	Private and State-owned buildings fail to comply with urban regulations Lack of proper civic and urban culture

As shown above, some of the common issues referred by scholars that are affecting character-defining elements are the decay and adverse transformations of historic buildings, together with alterations to the traditional urban pattern. Moreover, the introduction of unharmonious new buildings, informal and unfitted constructions, materials, fences, colours and signs are also problems threatening the integrity of historic districts.

Among the causes noted, scholars have focused the attention on the absence of effective maintenance actions, the lack of management strategies, the introduction of incompatible new functions, and the unawareness on heritage values. Besides, the lack of proper urban and civic culture leads to failures to comply with urban regulations, which is also influenced by phenomena like the deprived livelihood and low quality of life in some of the districts. Moreover, the decline of ethical and moral values leads to marginality and changes in customs and behaviour patterns, the latter resulting as well from massive internal migration waves (from rural areas to cities) (Coyula, 2006). Consequently, the over-densification produces the upsurge of slums.

Since the analyses were made from the perspective of heritage conservation, the authors' most referred issue is the increasing decay of character-defining elements expressed in urban and architectural features. As discussed in Chapter 1, the gradual deterioration, transformation and loss of traditional tangible features bring further adverse consequences to historic urban areas like the loss of valuable examples of local urban and architectural design, as well as traditional constructive typologies. Besides, the accumulation of alterations jeopardises local identities, and erodes the sense of place attachment and social memory; likewise, it may deprive an opportunity for the contemporary market, e.g. tourism. (Fig. 3.4)

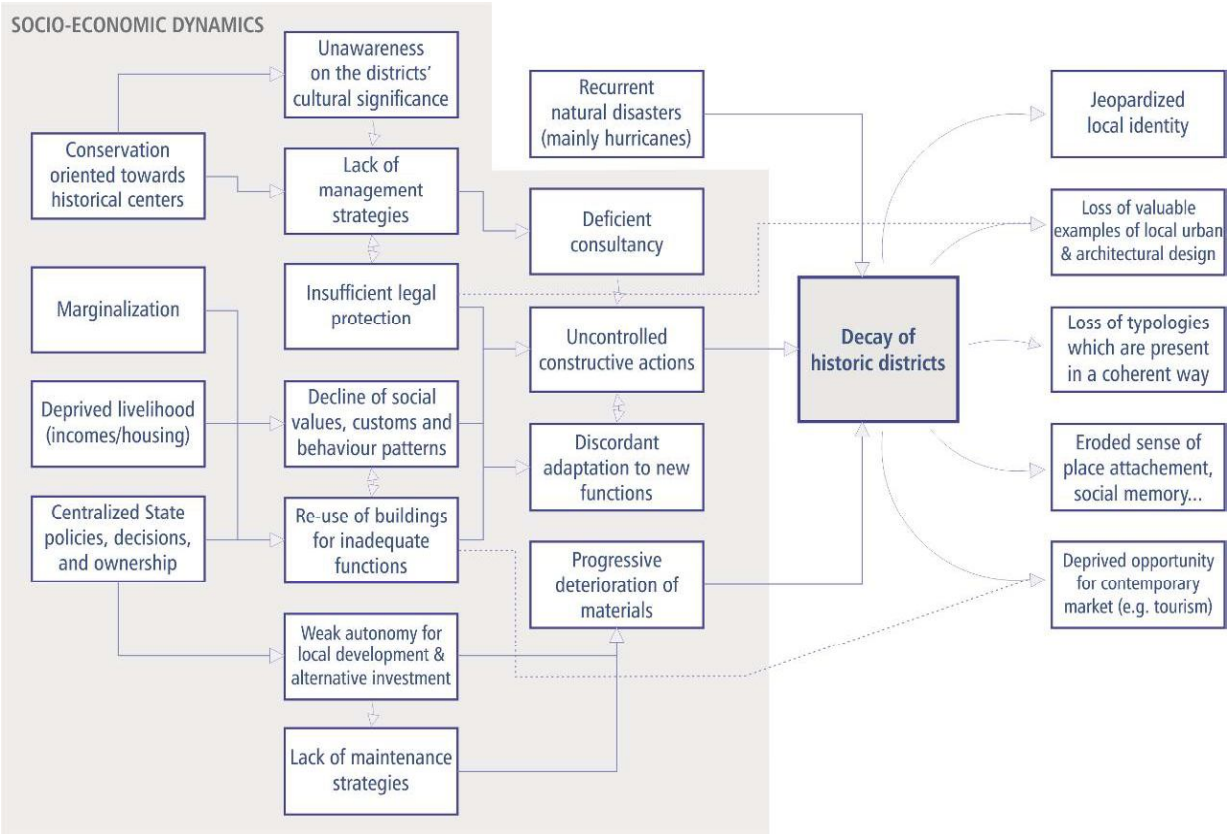

Fig. 3.4: *Common issues in historic districts as noted by different scholars. Author, 2018*

The reasoning exposed by scholars indicates a straightforward cause-effect association, which explains that a social or economic phenomenon directly rebounds on the historic district. Therefore, the transformation of meanings and the different perceptions of cultural values remain unnoticed as an underlying effect of socio-economic dynamics, which is also a concealed cause of decay (Chapter 1). In this regard, authors have scarcely addressed the influence of socio-economic

dynamics on cultural values over time, and the impact produced by this interrelationship on reshaping historic urban areas.

3.4.1 Actions towards safeguarding historic districts

In addition to the contributions made by academics, it is possible to trace the attention to historic districts in the actions undertaken by the National Commission on Monuments (NCM). In 1999, this body listed *Quinta Avenida* (Miramar) and its surrounding areas, and *La Rampa* (Vedado) and its influential area as protected zones (Rigol, 2012; Lápidus, 2016). Later on, one of the attempts of the NCM to move towards the integrated protection of these areas was the inscription of El Vedado and El Cerro (Havana) as *Zona de Valor Histórico-Cultural* (lit. zone of historical-cultural value) (Coyula and Rigol, 2005; Rey, 2006). Furthermore, the World Monuments Fund (WMF) included El Cerro as one of the endangered heritage sites in the 2004-2005 watch list (Portero, 2004).

Even though these actions reflected increasing interest to preserving urban and architectural features, their designation as protected zones was not "strong" nor "influential" enough given that the most important category at the national level is National Monument. As pointed by Lápidus (2016), notwithstanding the advance into the 21st century there is still a resistance to extend the notion of "historic" to cultural assets that will soon reach the centenary, perhaps because they are too familiar or because they are still part of our daily life. However, it is worth noting the efforts made to preserve exceptional buildings in these historic districts. One acknowledged example is the restoration of the *Casa de las Tejas Verdes* in Miramar, commissioned to the City Historian Office of Havana. The building hosts a cultural centre to promote modern and contemporary architecture and urbanism; hence, it particularly serves to disseminate the significance of El Vedado and Miramar (Duarte, 2010; Padilla, 2010).

In sum, historic districts claim for integrated preservation actions due to accumulative adverse transformations resulting from past and present socio-economic dynamics. Even though most of the literature has addressed the significance of these areas, as well as the need for action, there are still topics to be explored. In particular, the thorough understanding of the time- and context-specific process of cultural values evolution, which is driven by political, socio-cultural, and economic changes, can assist in devising value-based management strategies linked to preventive conservation. Given that this approach aims at dealing with, or managing adverse effects before

they appear, it becomes an alternative to the practice of giving a response to the problem once it becomes known. Put differently, addressing the cause in order to prevent or minimise its effects. These reasons endorse the pertinence of this research in the local context, as it intends to serve as the bridge for assisting the thorough understanding of the cause effect-association between socio-economic dynamics and cultural values in historic urban areas.

3.5 Vista Alegre District in Santiago de Cuba, introduction to the case study

Santiago de Cuba is the context where this research was developed. The city is the country's second largest after Havana. Its broader territory holds two World Cultural Heritage Sites and 50 properties listed as National or Local Monuments (see Figure 3.2). Because of their significance concerning –but not limited to– urban and architectural features, the historic centre and Vista Alegre District are areas that have been regularly addressed in the literature. (Fig. 3.5)



Fig. 3.5: *Historic urban areas in the city of Santiago de Cuba. Author, 2018*

Even though the literature and academic outputs have underlined the relevance of the tangible and intangible heritage contained in both cases, their attention as historic urban areas is somewhat different. Whereas the City Conservation Office of Santiago de Cuba leads integrated preservation and development policies in the historic centre (López, 2012), few isolated interventions on relevant buildings and public spaces are visible in Vista Alegre District. Moreover, the historic centre as a whole is listed as National Monument; additionally, it holds 12 buildings with the same category, while the most significant achievement for Vista Alegre in this matter was the inscription of one

building as Local Monument in 2009 (CNPC, 2018b). Years after, the building collapsed as a result of extensive deterioration.

Therefore, similar to the analysis exposed in the previous section related to the conservation of historic urban areas in Cuba, a distinction should be made since current conservation and management strategies are limited to the historic centre. Because of the significance of the urban pattern, together with the diversity and coherence of the historic building stock of Vista Alegre District, the site has been subject of different studies (Soto, 2006; Cabrera, 2007; Muñoz, 2007; Morcate and Parrinello, 2008). Likewise, authors have noted issues and causes that are threatening the preservation of character-defining elements. (Table 3.5)

Table 3.5: Vista Alegre District

Author	Issues affecting character-defining elements	Causes
Soto (2006)	Deterioration of buildings Alterations to the formal appearance of buildings, exterior and interior	Lack of legal protection of heritage buildings Lack of maintenance strategies Introduction of new functions, transformations
Muñoz (2007) Muñoz and Bello (2012) Bello et al., (2017)	Deterioration of buildings Alterations to the formal appearance of buildings, exterior and interior Alteration to the traditional urban pattern Decay of urban-scape Loss of valuable buildings Reduction of green outdoor areas (gardens, lateral corridors, patios) Deficient quality and quantity of public services Low quality of new building's design Introduction of discordant informal constructions, signs, colours, designs, materials, and fences Unharmonious new buildings	Lack of legal protection Lack of maintenance and management strategies Introduction of incompatible functions Outdated urban regulations Lack of proper civic and urban culture Unawareness on the significance of the District Centralised decision-making policies.

The problems listed are similar to what most of Cuban historic districts reflect. Together with physical processes, buildings' deterioration increased during the extended period of shortcomings in the 1990s, and it aggravated as a consequence of Hurricane Sandy, which devastated the city in 2012 (CUBAHORA, 2012). Moreover, alterations to the traditional urban pattern emerged as a result of different social phenomena; for instance, the lack of housing and unpleasant living conditions. In response to this situation and the scarcity of resources at the national level, the State promoted the concept of houses built by *medios propios* (lit. own-means) (González Couret, 2009).

This policy empowered people with the autonomy to build their own houses using their available resources. Own-means houses evidenced the specific needs and incomes of families, which,

together with the lack of proper consultancy led to noticeable differences in the quality of constructions and their aesthetic appearance. Also, the uncontrolled constructive actions undertaken by private owners and State institutions resulted in many cases in alterations to the traditional urbanscape, producing severe irreversible alterations in some sectors within the District (Bello Caballero et al., 2017; Muñoz and Bello Caballero, 2012). (Fig. 3.6)



Fig. 3.6: *Contrast between the typical urbanscape of Vista Alegre District (left) and "own-means" houses (right). Photographs: Blanc, 2018.*

The deprived livelihood also produced substantial transformations to the historic building stock, which are visible in the proliferation of subdivisions, and the occupation of traditional outdoor and green areas that guarantee proper indoor ventilation, e.g. gardens, backyards and lateral corridors. Furthermore, the removal or substitution of wooden structures, clay tile roofs, balconies, porches, floor mosaics, decorative features, doors and windows, led to a gradual loss of character-defining elements, jeopardising the integrity and identity of some areas within the District (Muñoz, 2008; Bello Caballero et al., 2017).

Today's changing socio-economic dynamics resulting from the 2011 State's new policies have produced implications already visible at an incipient stage. On the one hand, the activation of alternative investments has contributed to revitalising the urban environment. On the other, increasing investments can also generate phenomena like gentrification, since families are tending to sell their properties as a solution to economic scarcities. In this sense, a dichotomy arises: whereas many locals cannot afford a major repair or regular maintenance, emerging private businesses recover deteriorated buildings at the expense of residents' displacement (Bello Caballero et al., 2017).

Moreover, the opening of the real estate market and the promotion of the private sector resulted in a phenomenon that can be called the "self-efficiency house". In other words, families invest in their own houses and adapt them to open small businesses linked to services like lodging, bars, restaurants, beauty salons, or even car wash and all types of repairing workshops. A change in the family economy meant a change in housing and as such displays an outstanding example of an alternative to centralised State services. In the best-case scenario, new owners recover buildings from bad conditions; while in the worst, severe alterations are caused due to irreversible adverse transformations. (Fig. 3.7)



Fig. 3.7: *Private initiative to recover a former house to host a bar (left). Example of all issues referred in one building (right); i.e. deterioration and adverse transformations due to several subdivisions and occupation of front garden for an informal cafeteria. Photographs: Blanc, 2018; Vilorio, 2017.*

Because of the accumulation of adverse impacts that endanger the permanence of character-defining elements, the concern among scholars has led to promote studies in order to raise awareness on the importance of safeguarding the District. Current actions are supported on previous contributions (Soto, 2006; Cabrera, 2007; Muñoz, 2007; Morcate and Parrinello, 2008) to continue developing the knowledge about tangible and intangible features. These actions have recently been conducted under the umbrella of the International University Cooperation Program between the Council of Flemish Universities and the *Universidad de Oriente* (VLIR IUC-UO Program)[4]. Within this program, the results are part of the objectives of Project 4 "The Social Sciences, Architecture and Law facing the challenges of local development. Enhancing heritage preservation". Moreover, the establishment of the VLIR North-South-South Project "Latin American Axe on Preventive Conservation of Built Heritage"[5] has also supported research actions. As a result of this

[4] https://www.vliruos.be/en/projects/project/22?pid=2614
[5] https://www.vliruos.be/en/projects/project/22?pid=3265

collaboration, this study is positioned within the network of the PRECOM^{3}OS UNESCO Chair (Chapter 2) through the support of the Raymond Lemaire International Centre for Conservation, ascribed to the *Katholieke Universiteit Leuven* in Belgium.

In summary, Vista Alegre District is a historic urban area which integrity is threatened by accumulative adverse transformations resulting from past and present socio-economic dynamics. Most of the literature about the area has addressed the significance and the need to preserve urban and architectural features. For that reason, research projects supported on international collaboration are being conducted to develop theoretical, methodological and practical approaches that can contribute to the preservation and management of the District. Therefore, this area has been chosen as a case study in the context of this research.

3.6 Partial conclusions

The National Commission on Monuments and mainly, the city historian/conservation offices are bodies supported on legal frameworks to direct the stewardship, listing process, creation of inventories, management plans and conservation actions of historic urban areas. However, this institutional framework focus conservation and management on the local notion of historic centre, which typically refers to the foundational core of the city established in the Colonial Period [16th to 19th century].

Other significant historic urban areas, termed as historic districts in the context of this research, embody tangible and intangible heritage that lack the well-established strategies devised for historic centres. Common issues affecting their character-defining elements are the decay and adverse transformations to historic buildings, as well as alterations to the traditional urban pattern. Among the causes, scholars have referred to the absence of effective maintenance actions, the introduction of incompatible new functions, unawareness on heritage values, failures to comply with urban regulations, deprived livelihood and low quality of life. These phenomena jeopardise local identities, erode the sense of place attachment, and deprive an opportunity for the contemporary market.

One of these historic urban areas is Vista Alegre District in Santiago de Cuba, selected as the case study. Even though its significance is reflected in urban and architectural features as referred in

the literature, its integrity is threatened by accumulative adverse transformations resulting from past and present socio-economic dynamics. As a result, research projects are being conducted to develop theoretical, methodological and practical approaches that can contribute to the preservation and management of the District.

Historic districts in Cuba, including Vista Alegre, claim for integrated preservation actions due to the adverse impacts produced by changing socio-economic dynamics over time. Accordingly, authors have explained the extent to which social and economic phenomena directly affect their tangible heritage, indicating a straightforward cause-effect association. However, no research has addressed the influence of socio-economic dynamics on cultural values, and the impact produced by this interrelationship on reshaping historic urban areas. Therefore, the transformation of meanings and the different perceptions of cultural values attributed to historic urban areas remain unnoticed as an underlying effect of socio-economic dynamics.

These reasons endorse the pertinence of this research in the local context, as it intends to understand the impacts produced by time- and context-specific evolution process of cultural values, driven by political, socio-cultural, and economic changes. Herewith, the research focuses on the case study of Vista Alegre District to develop an analytical sequence integrating cultural values and socio-economic dynamics linked to preventive conservation.

CHAPTER 4

Chapter 4

ANALYTICAL SEQUENCE TO ADDRESS CULTURAL VALUES AND SOCIO-ECONOMIC DYNAMICS IN THE CONTEXT OF PREVENTIVE CONSERVATION

Introduction

This Chapter aims to describe and explain the analytical sequence developed to meet the overall objective and questions that guide this research. Thereby, the theoretical approaches and methodological contributions discussed in previous chapters are fundamentals that served to support the reasoning. Accordingly, the preventive conservation framework (anamnesis, diagnosis, therapy and control) structures the analytical sequence, which purpose is to examine the impact on historic urban areas produced by the interrelationship between cultural values and socio-economic dynamics over time. It is necessary to clarify that, in correspondence with the scope of this research, the emphasis is put on the anamnesis and diagnosis, since therapy and control require the implementation of practical actions. However, insights for these stages are also provided following the arguments exposed in Chapter 2.

4.1 Overall structure of the analytical sequence

The objective of the analytical sequence is to contribute to set guidelines for preventive conservation strategies for historic urban areas by interrelating cultural values and socio-economic dynamics. To that end, specific objectives should be achieved:

- To identify character-defining elements expressed in urban and architectural features.
- To assess the condition of character-defining elements.
- To examine the evolution of the historic urban area subjected to changes in the political, economic, socio-cultural and technological factors.
- To identify and assess cultural values.
- To determine cultural values' evolution process together with their interactions, considering different perceptions and meanings based on a cause-effect association established with socio-economic dynamics.
- To provide insights for therapy and control based on the results of diagnosis.

In view of the objectives, the analytical sequence is based on a toolbox approach to analysing each concept independently, and subsequently, integrate them. In essence, the toolbox approach is characterised by the utilisation of methods and tools from different fields to develop reasoning supported on the breakdown and synthesis of data, which are diverse in form, source, and format. As a result, a multidisciplinary perspective is required to integrate technic and social sciences, geomatics, and various resources from information and communication technologies (ICTs) to collect and process primary, secondary and qualitative data (Kothari, 2004). The specific contribution of these fields will be explained further in this Chapter.

The set of methods and tools is structured following the logic of the preventive conservation framework; hence, the results expected in the anamnesis and diagnosis assist in delineating insights for therapy and control. In this regard, the anamnesis focuses on the thorough understanding of the interaction between tangible and intangible features that shape the area's character-defining elements; as well as their evolution undergoing the effects of political, economic, socio-cultural and technological factors. Subsequently, the diagnosis aims to

determine the cause-effect association between socio-economic dynamics and cultural values and the extent to which this association impacts on the historic urban area. (Fig. 4.1)

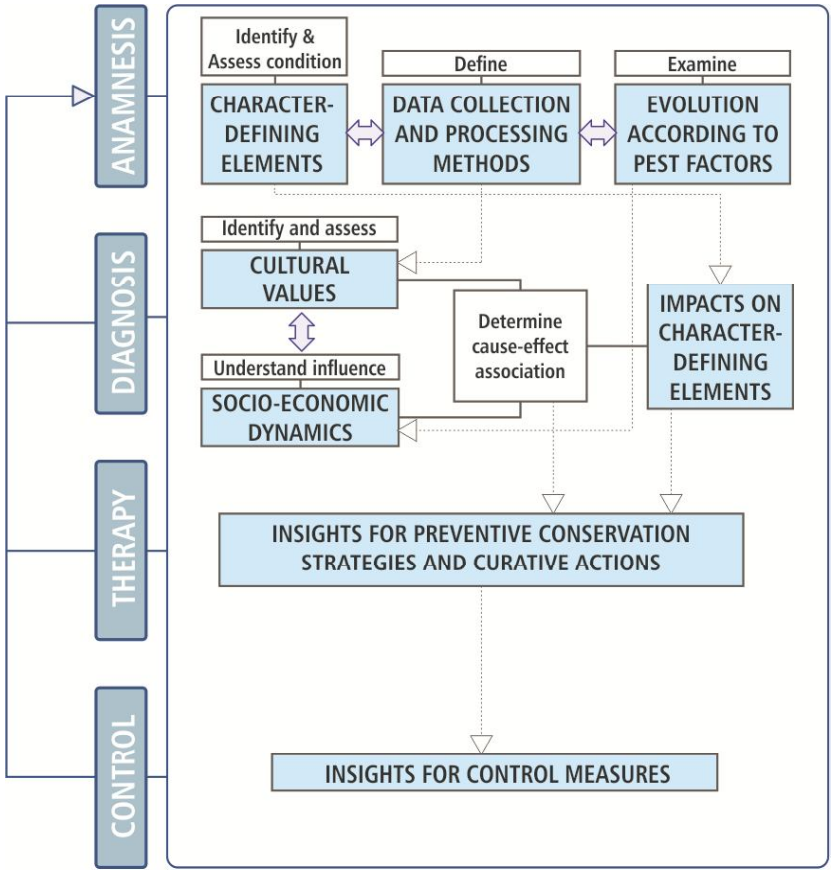

***Fig. 4.1**: Overall structure of the analytical sequence developed following the preventive conservation framework. Author, 2018*

It is necessary to note that the goal of this analytical sequence is to fill the gaps in knowledge regarding the lack of studies addressing the cause-effect association between socio-economic dynamics and cultural values over time (Chapter 1). In addition, it extends the knowledge on the preventive conservation approach by applying it to historic urban areas to examine the impact produced by such association, which is linked to agent of deterioration No. 9 (impact of human activity and human development) (Paolini et al., 2012) (Chapter 2). In view of the overall structure shown in Fig. 4.1, the following sections explain how to conduct the reasoning required for each stage. Accordingly, the different methods and tools to collect, process, and analyse data are described in correspondence with their application to the context of this research.

4.2 Anamnesis

Consistent with the theoretical and methodological fundamentals that support the anamnesis of historic urban areas (Chapter 2), this stage entails a holistic understanding of character-defining elements reflected in the interaction between tangible and intangible features. Identifying these features helps to define which methods and tools are required to collect primary data in fieldwork sessions (empirical data collection) together with secondary and qualitative data; aiming at documenting, verifying, and assessing the condition of character-defining elements. Subsequently, the evolution of the historic urban area should be examined by understanding the extent to which it emerged and developed as undergoing the effects of changes in the political, economic, socio-cultural and technological factors at different levels, i.e. broader and local contexts.

4.2.1 Identification of character-defining elements

A generalizable approach to identify character-defining elements is beyond the scope of this research since several methods to assess cultural significance can be found in the literature, as well as in heritage policy and guidelines documents. In response, it is necessary to rely on previous contributions that have drawn attention to the relevance of the historic urban area. Therefore, collecting secondary data through the review of the literature is essential to determine the characteristics that have been highlighted by different authors concerning tangible features and their links with intangible. In the case that no literature exists, further studies should be developed to identify character-defining elements.

In correspondence with the objective of the analytical sequence, anamnesis focuses on urban and architectural features, together with their links to the natural setting and intangible features. That is to say, instead of analysing geographical features, the emphasis is put on how the built environment integrates within it, shaping the typical urbanscape, views, and the spatial configuration. Similarly, instead of examining cultural practices, the attention goes to understand how these manifestations relate to tangible features. For instance, if some ritual is traditionally celebrated in the historic urban area, the reasoning seeks to determine the condition of urban or architectural features as containers, and as symbols representative of that cultural

practice. Therefore, given their interdependence, the understanding of intangible features is limited to the uses, cultural associations and meanings attributed to tangible features. (Fig. 4.2)

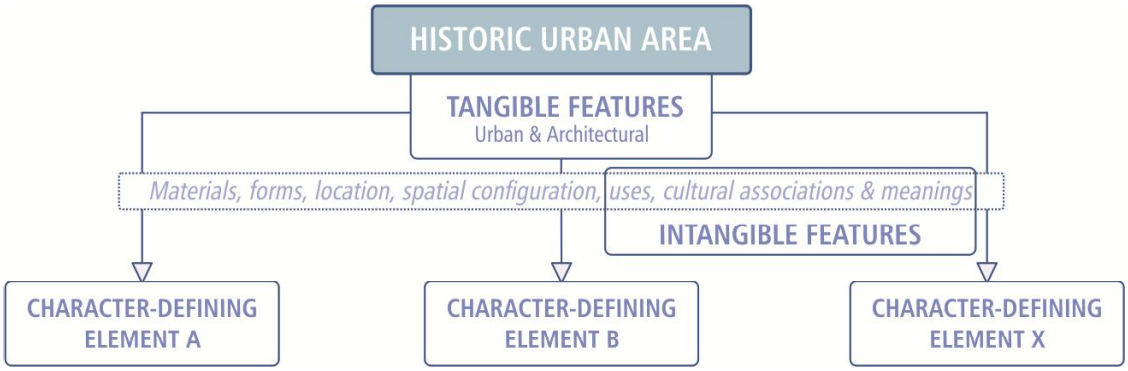

Fig. 4.2: *Identification of character-defining elements focusing on tangible features. Author, 2018*

Once character-defining elements have been identified, the collection of data on site helps to corroborate their permanence and condition. Two indicators can assist in conducting condition assessment: the level of alteration, and the state of conservation (Muñoz, 2007). Respectively, they refer to adverse transformations that directly or indirectly produce negative impacts on features, and to the extent of their physical deterioration. Both indicators lead to determine threats to the integrity of features at different levels, meaning that nominal scales serve to conduct the assessment. (Table 4.1)

Table 4.1: *Nominal scales for condition assessment of character-defining elements. Adapted from Muñoz, 2007.*

Level of alteration	**State of conservation**
Little Urban and architectural features present adverse transformations that are reversible and almost non-perceptible.	*Good* Urban and architectural features with optimal constructive conditions.
Medium Additions, mutilations, and other kinds of adverse transformations that affect the integrity of materials, forms and spatial configuration.	*Fair* Urban and architectural features present certain degree of deterioration, but their integrity is not compromised.
Severe Additions, mutilations, and actions in general that resulted in the loss of the integrity of urban and architectural features.	*Bad* Severe deterioration and damages are visible. The integrity of urban and architectural features is compromised.

Given that there is no specific method to measure the level of alteration and the state of conservation, the application of the nominal scale depends on subjective factors since the interpretation of the observer conditions this activity. Therefore, the exhaustive characterisation

of materials, forms, scale, size, style, spatial configuration, and history of features is essential to set a baseline, which is helpful to define a starting point used for comparisons to guide condition assessment. (Fig. 4.3)

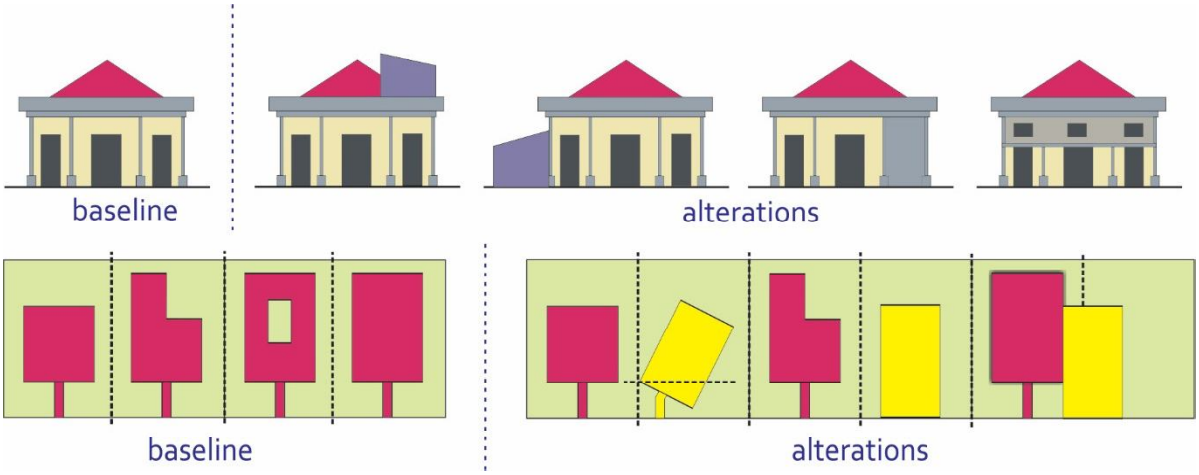

Fig. 4.3: *Examples of a baseline for identifying alterations on urban and architectural features. Author, 2018*

The analytical observation of reality, together with empirical data collection in fieldwork sessions are basic methods that support the condition assessment of character-defining elements. However, the diverse forms in which these can be expressed require to devise a strategy for documenting, processing, storing, analysing and presenting data.

4.2.2 Data collection and processing

Documenting the condition of urban and architectural features entail collating primary, secondary, and qualitative data. Primary data involves working on site to survey –for instance– the spatial organisation, current functions, architectural influences, construction typologies and materials. Secondary data comprises the review of the literature together with other types of documents like maps, drawings, digital files, research reports, and historical archives. Also, qualitative data serve to support the identification of character-defining elements through methods like the Delphi technique (Thangaratinam and Redman, 2005), together with interviews and questionnaires to residents.

Given the diversity of the information required, which is characterised by data that vary in form, format and source, several methods should be employed for recording, integrating and processing data. Photographic surveys and survey forms are techniques to assist the empirical

data collection; while computer-assisted design systems (CAD), and geographic information systems (GIS), are tools for interrelating, analysing, and presenting data in the form of drawings and maps. Other techniques like photogrammetry and advanced equipment such as the laser scanner optimise the documentation of features; as well, they produce detailed 3D digital models out of point clouds, helpful to assist the analysis of data, and to present them dynamically (Eppich and Chabbi, 2007; Letellier, 2007; Bello Caballero et al., 2017). Additionally, written reports are useful to synthesise qualitative data.

Because of the scope of the documentation, specific methods like image interpretation of remote sensing data (Agapiou et al., 2015) are also necessary to encompass the extent of the historic urban area. Given this extent, the documentation comprises both, built and open (natural) areas that structure the urban pattern, i.e. streets, blocks, plots, squares, parks, gardens, backyards, rivers, or even lakes, to mention some. Obtaining information about these features through the analysis of data acquired by satellite or aerial remote sensing gives an account of their condition by detecting changes in shape, size, pattern, and texture (Sivakumar, 2010). (Fig. 4.4)

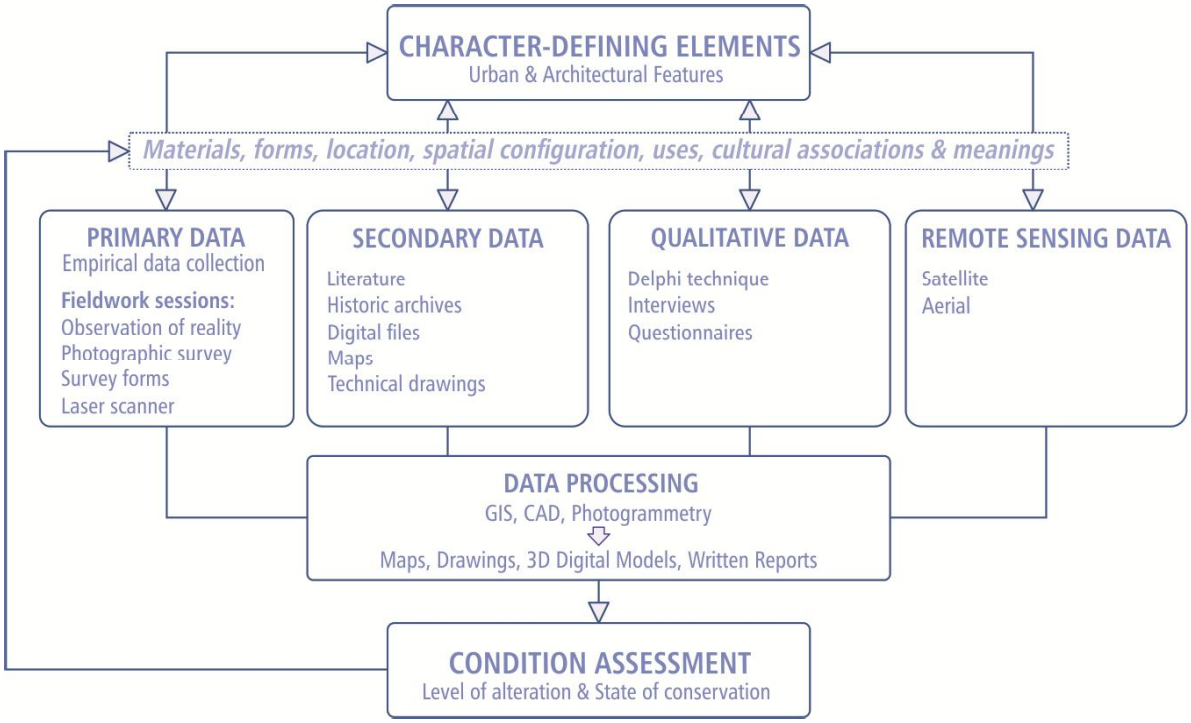

Fig. 4.4: *Summary of data required for identifying character-defining elements and for assessing their condition. Author, 2019*

The use and implementation of diverse techniques and tools depend on the specific characteristics of the historic urban area, and on available resources, i.e. time, equipment and human resources. Triangulating all the data helps to reveal changes in buildings' ownership and function, dates of construction, and in general relevant information about the evolution of the historic urban area, which should be linked with the political, economic, socio-cultural and technological factors (PEST).

4.2.3 Examining the influence of PEST factors in the evolution of the historic urban area

The volume of information gathered about the historic urban area is also helpful for examining the extent to which the political, economic, socio-cultural and technological factors have reshaped the area over time. Even though the emphasis is put on these factors, it is necessary to consider as well the influence of climate conditions and the impact of extreme natural phenomena; e.g. earthquakes, storms, flooding. Both, PEST factors and natural conditions determine the physical expression of urban and architectural features. Regarding the PEST factors, the literature recommends a set of indicators to consider when examining them thoroughly. Consistent with the field of heritage conservation, specific cultural heritage-related indicators should also be considered in addition to the overall set referred in the literature. (Table 4.2)

Table 4.2: *Summary of indicators for PEST analysis. Adapted from Ost, 2009; Collins, 2010; Caraballo, 2011; Miller et al., 2011; Sammut-Bonnici and Galea, 2014; Ripp and Rodwell, 2016.*

Political factors	**Economic factors**
Government policies Government term and change Local legislation International legislation Regulatory bodies and processes Funding, grants and initiatives Lobbying and pressure groups Fiscal policy Incentives for enterprise Planning, permits, licensing Transparency and control of corruption Government policy on supporting specific industries Policies towards cultural heritage	The international and local economy Economic trends, inflation Seasonality of economic cycles Market and trade cycles Growth Domestic Product Consumer purchasing power Profit of the cultural heritage industry
Socio-cultural factors	**Technological factors**
Demographics Psychographics and lifestyles	New materials, machinery Innovations in construction

Living needs and demands Influencers, role models Racial, ethnic, political, and cultural influences Heritage-related activities	

Rather than a checklist, this set of indicators should be examined based on a cause-effect association that leads to understanding their interrelation and their direct or indirect connection with social and economic phenomena. It is possible to determine different periods from the occurrence of changes in one or more factors that produced drastic changeovers in the evolution of the area. Each of these timeframes leaves footprints that are visible in the characteristics of materials, forms, spatial configurations, and cultural associations and meanings of urban and architectural features. Likewise, the impacts produced in different periods reflect the development, consolidation, and likely decay of character-defining elements; therefore, they serve as references to establish the cause-effect association between socio-economic dynamics and cultural values over time.

4.3 Diagnosis

The objective of the diagnosis is to determine the causes of the decay of character-defining elements produced by the influence of socio-economic dynamics on cultural values' evolution process. To this end, it is necessary to conduct a thorough identification of cultural values attributed to the historic urban area, and to assess their different meanings and perceptions over time influenced by changing socio-economic dynamics. As stated in Chapter 1, the cause-effect association between these concepts is established through the application of the DPSIR model (drivers, pressures, state, impact, response).

4.3.1 Identification and assessment of cultural values

The typology suggested by Tarrafa Silva and Pereira Roders (2012, p. 378) provides a comprehensive approach for identifying cultural values based on the exhaustive breakdown of perceptions and meanings. This approach uses references to trace secondary values that indicate meanings and perceptions of eight primary values, i.e. social, economic, political, historical, aesthetical, scientific, age and ecological. Finding the association between references, secondary and primary values, requires the triangulation of the data collated in the anamnesis. (Fig. 4.5)

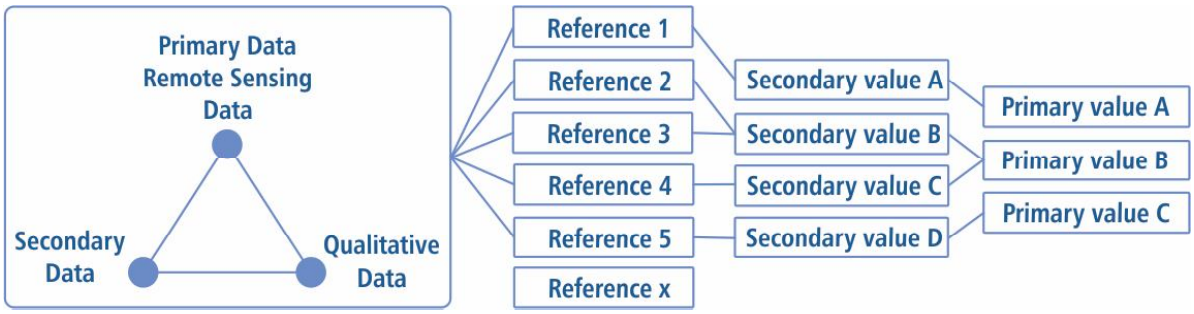

Fig. 4.5: *Identification of cultural values. Author, 2019*

For instance, the existence of a legend attributed to the historic urban area is a reference linked to the spiritual meaning (secondary value) of social values (primary value). The data to substantiate this assertion can be collected in the form of oral narratives (qualitative data), publications referring to the legend (secondary data), and in fact, the urban or architectural feature(s) linked to it (primary data). In this regard, Table 4.3 summarises Tarrafa's and Pereira's typology of cultural values adapted to the context of this research.

Table 4.3: Identification of cultural values
Typology of primary values, secondary values, and references. Adapted from: Tarrafa Silva & Pereira Roders, 2012
SOCIAL VALUES *(primary value)*
Spiritual *(secondary value)***:** beliefs, myths, religions, legends, stories, testimonial of past generation **Emotional individual:** memory and personal life experiences *(references)* **Emotional collective:** notions related to cultural identity, motivation and pride, sense of place attachment and communal value **Allegorical:** historic urban area is representative of some social hierarchy/status
ECONOMIC VALUES
Use: the function utility of the historic urban area **Non-use:** the historic urban area's expired function, which has its value on the past, and should be protected by its existence, option and bequest value **Entertainment:** the role that might have for contemporaneous market **Allegorical:** oriented to publicising financially property
POLITICAL VALUES
Educational: the education role that the historic district may play, using it for political targets **Management:** made part of strategies and policies **Entertainment:** part of strategies for dissemination of cultural awareness, explored for political targets **Symbolic:** emblematic, power, authority and prosperous perceptions stem from the historic district
HISTORIC VALUES
Educational: historic district as a potential to gain knowledge about the past in the future **Historic-artistic:** quality of the district to be part of a few or unique testimonial of historic stylistic or artistic movements, which are now part of history **Historic-conceptual:** quality of the district to be part of a few or unique testimonials that retains conceptual signs, which now part of history **Symbolic:** the fact that the district has been part/related to an important event in the past
AESTHETICAL VALUES

Artistic: an original product of creativity and imagination **Notable:** a product of a creator, holding his signature **Conceptual:** integral materialisation of conceptual intentions **Evidential:** an authentic exemplar of a decade, part of the History of Art or Architecture
SCIENTIFIC VALUES
Workmanship: a result of human labour, craftsmanship **Technological:** skillfulness on techniques and materials, representing an outstanding quality of work **Conceptual:** integral materialisation of conceptual intentions
AGE VALUES
Workmanship: craftsmanship value oriented towards the production period **Maturity:** a piece of memory, reflecting passage/lives of past generations **Existential:** marks of the time passage present on the forms, components, and materials
ECOLOGICAL VALUES
Spiritual: harmony between the district and its environment
Essential: Identification of ecological ideologies on the district design and construction
Existential: Manufactured resources which can either be reused, reprocessed or recycled

As for the assessment of cultural values, it is necessary to examine how their perceptions and meanings have changed subjected to the influence of different social and economic phenomena. Accordingly, the DPSIR model serves to deduce this cause-effect association by understanding socio-economic dynamics as **driving forces** that put **pressures** on cultural values, leading to changes in the **state** of the historic urban area over time, which produce **impacts** on character-defining elements. On this basis, it is possible to give **responses** aligned with the principles of preventive conservation (therapy).

A hypothetical example can illustrate this reasoning: a set of historic buildings originally used for housing were modified to host new functions due to a change in ownership as a result of new socio-economic dynamics. In this case, socio-economic dynamics worked as a driving force that pressured the original economic value (use-housing) to change; simultaneously, the state of part the historic urban area changed (ownership and function) producing impacts on character-defining elements (modifications to host new functions).

Since the analysis encompasses different periods in the evolution of the historic urban area, a zero-measurement point works as a reference to establish the direct link between time- and context-specific factors. Given that historic areas embody cultural values from their creation (Chapter 1), the zero measurement point can be set from the emergence of the area. However, this point depends on how far cultural values can be traced, and on the scope of the analysis. (Fig. 4.6)

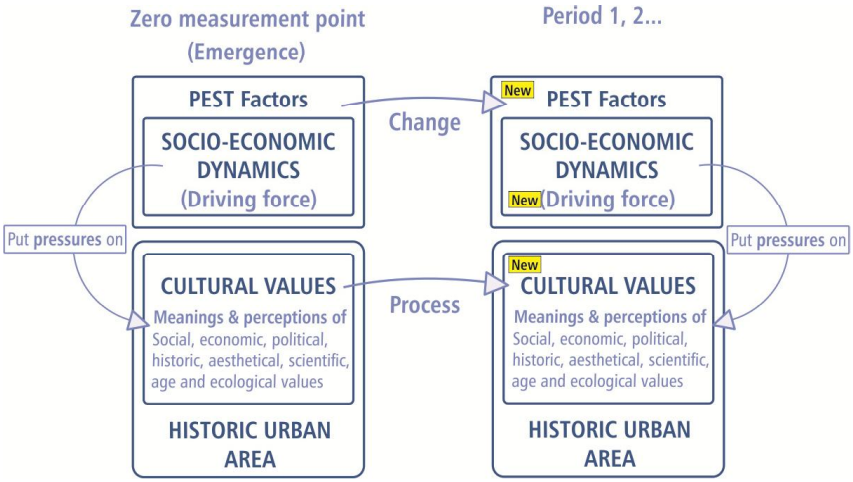

Fig. 4.6: *Analysis of the cause-effect association between socio-economic dynamics and cultural values. Author, 2018*

The specific process that certain cultural value experience in its evolution can be inferred from the comparison between meanings and perceptions from one period to another. Meanings and perceptions are reflected in secondary values; their references provide insights to comprehend how different groups perceive them; i.e. stakeholders, decision-makers, community, scholars, and others.

4.3.2 Mapping processes in the evolution of cultural values subjected to socio-economic dynamics

The mapping of processes in the evolution of cultural values is the synthesis and integration of all previous analyses. The mapping consists of depicting the processes that certain cultural value experienced over time as subjected to socio-economic dynamics, and the links established between different cultural values in the same period. This approach assists in interpreting the extent to which certain cultural value have been perceived differently by diverse groups during the evolution of the area, and how cultural values might have prevailed over others. (Fig. 4.7)

Deducing the specific process that cultural values experience from one period to another is possible by posing questions like How is the value perceived under specific socio-economic dynamics? Who perceives the value that way, and why they do so? What are the reasons that support the meaning of the value? Answering these questions help to infer processes like the emergence of new primary and secondary values, the transformation of meanings, decay or continuity over time.

Moreover, given that weighting values differently is likely to produce adverse impacts (Chapter 1), the interaction between values can be inferred by answering questions like Which value is influenced or determined by another? Which value prevails over others? To what extent two or more values interact? These questions can reveal processes such as conflicts, harmony, elicitation, or the extent to which one value determined a new meaning or the elicitation of a new value.

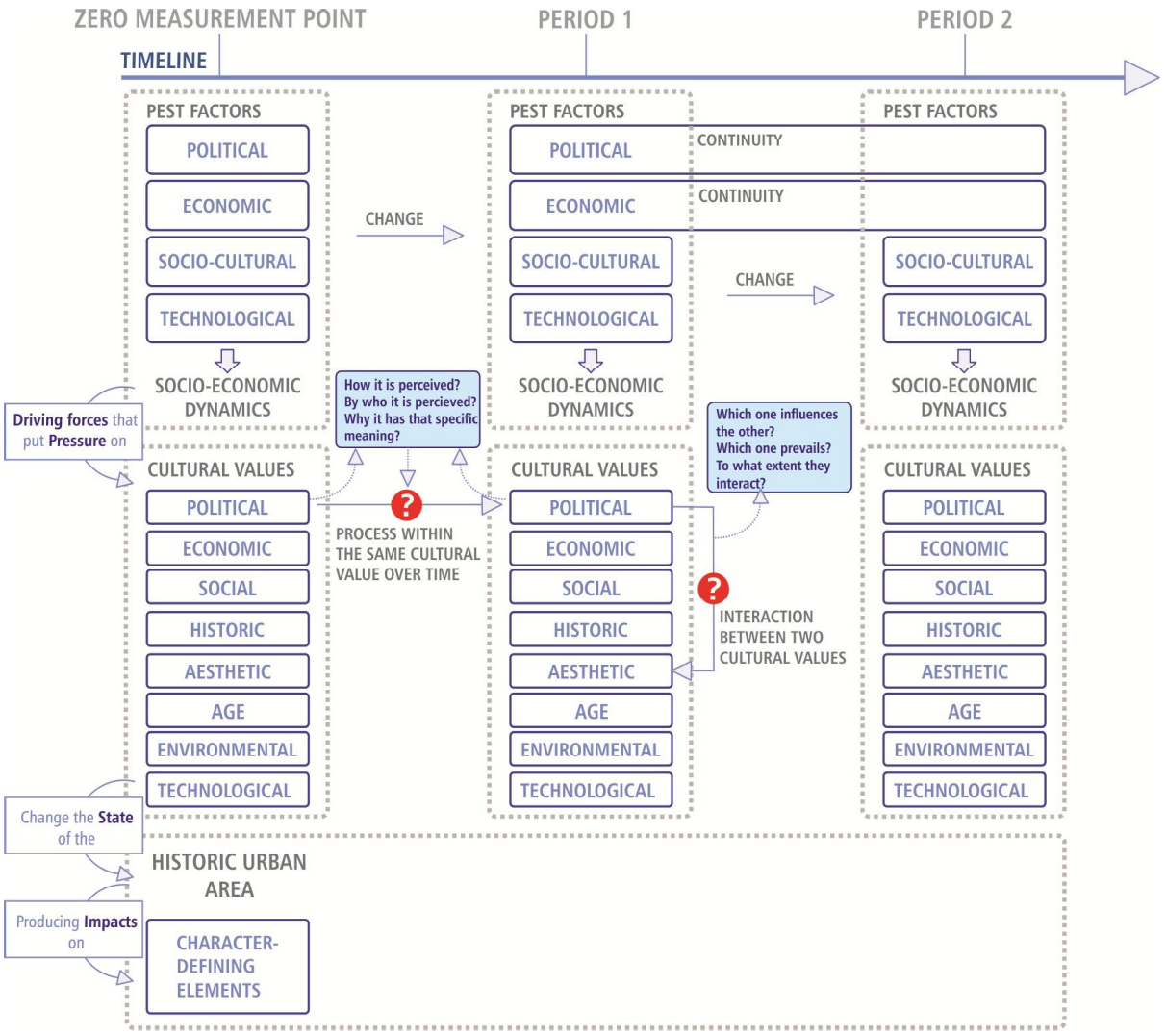

Fig. 4.7: *Example of mapping processes in the evolution of cultural values. Author, 2018*

In essence, the mapping is an analytical resource to represent all causal relationships and processes over time; its complexity depends on the number of periods defined and the diversity of cultural values identified. Processes are viewed as a system (Meadows, 2008) represented by events and threads. Events are the "things" that happen and cause a change in a system state;

while threads are the sequences of causatively related events (linked chains of causes) (Collins, 2000). Thereby, the mapping is useful to describe the overall results of the anamnesis and diagnosis by conducting visuospatial reasoning (Tversky, 2005) to infer horizontal and vertical patterns, recurrent interrelationships, and (un)expected events. These results contribute to determining the causes that led to the development and consolidation of character-defining elements, together with the causes that influence their decay or gradual loss. Understanding the latter is valuable to guide preventive conservation strategies, which completes the application of the DPSIR model by establishing responses.

4.4 Insights for therapy and control

As stated before, the proposal for an action plan for the preventive conservation of historic urban areas and the delineation of control measures go beyond the scope of this research. However, the results obtained from the reasoning developed in the anamnesis and the diagnosis provide insights for preventive and curative conservation actions, as well as for measures to control the outcome of each stage. Therapy should focus on managing and negotiating the processes that produce decay and loss of character-defining elements based on the findings of mapping the cause-effect association between cultural values and socio-economic dynamics.

Therefore, the mapping conducted in the diagnosis becomes essential to find a balance between different meanings and perceptions of primary values, and between two or more interacting values. This approach of interpreting data is based on reading both, the horizontal and vertical threads depicted in the mapping. Respectively, they refer to the evolution of cultural values, together with their interaction under specific socio-economic dynamics. The critical evaluation, discussion, and re-exploration of threads guide the formulation of actions tailored to the particularities of the historic urban area. Posing some specific questions might guide the reasoning, for instance:

> Which cultural values prevailed under socio-economic dynamics in context A? To what extent these values influenced the evolution of the historic urban area?

Which cultural values transformed in context B? Which of these values clashed undergoing the effects of socio-economic dynamics? What were the adverse impacts on character-defining elements?

To what extent cultural values are subjected to the effects of socio-economic dynamics? To what extent cultural values have determined the preservation of character-defining elements?

Which cultural values elicited as heritage values? What circumstances conditioned this process?

In addition to preventive strategies, remedial actions are also required, these are based on the condition assessment of character-defining elements. The level of alteration and the state of conservation of urban and architectural features guide the implementation of remedial actions, which should reinstate the integrity of features or eradicate adverse transformations where possible. In general, both, curative and preventive actions should focus on preserving character-defining elements, leading to a coherent perception between tangible and intangible features.

Given the changing nature of socio-economic dynamics, control measures are essential to assess the effectiveness of actions taken as therapy. Therefore, based on a systematic evaluation of the results obtained in the anamnesis and diagnosis, this stage should re-examine the processes resulting from the influence of changing socio-economic dynamics on cultural values, together with the interactions between cultural values. In other words, control aims to review the results of mapping cultural values' processes and interactions (horizontal and vertical threads) continuously.

4.5 Partial conclusions

The analytical sequence developed and explained in this Chapter integrates the concepts of cultural values and socio-economic dynamics in the context of preventive conservation to examine their influence on the preservation of historic urban areas' character-defining elements. Therefore, it extends the knowledge regarding the preventive conservation approach by applying its cyclical framework, i.e. anamnesis, diagnosis, therapy and control, to determine the cause-effect association established between those concepts.

The anamnesis entails the identification and assessment of character-defining elements expressed in urban and architectural features; together with the evolution of the historic urban area subjected to changes in the political, economic, socio-cultural and technological factors. Subsequently, the diagnosis involves determining the causes of the decay of character-defining elements produced by the influence of socio-economic dynamics on cultural values' evolution processes, and the interactions between them. The results obtained lead to provide insights for therapy and control measures.

The analytical sequence is based on a multidisciplinary toolbox approach as it uses methods and tools from different fields to collate diverse data. Technic and social sciences, geomatics, and resources from information and communication technologies (ICTs) were required to guide the collection and processing of primary, secondary and qualitative data. Moreover, PEST analysis, Tarrafa's and Pereira's typology of cultural values, and the DPRIS model were adopted to develop the reasoning. Respectively, these methods help to examine socio-economic dynamics, identify cultural values attributed to the historic urban area, and establish the cause-effect association that understands socio-economic dynamics as driving forces that put pressures on cultural values, leading to changes in the state of the historic urban area that produce impacts on character-defining elements. Addressing the latter contributes to delineating preventive conservation strategies and remedial actions in historic urban areas.

CHAPTER 5

Chapter 5

VISTA ALEGRE DISTRICT. PREVENTIVE CONSERVATION APPROACH ADDRESSING CULTURAL VALUES AND SOCIO-ECONOMIC DYNAMICS

Introduction

This Chapter exposes the results of applying the analytical sequence to the case study of the Vista Alegre District in Santiago de Cuba. Accordingly, the subsequent sections follow the logic of the preventive conservation framework to determine the influence of the cause-effect association between cultural values and socio-economic dynamics on character-defining elements. Methods and tools adopted from different fields were used to develop the reasoning in the anamnesis and diagnosis stages, which required the integration of primary, secondary and qualitative, data. In the final section, insights for therapy and control are provided based on the discussion of results.

5.1 Anamnesis: character-defining elements, data collation and PEST analysis

In accordance with the analytical sequence developed in Chapter 4, the anamnesis consists of identifying character-defining elements together with the definition of tools and methods to collect and process data for their condition assessment. This information assists in examining the evolution of Vista Alegre District as a historic urban area considering changes in the political, economic, socio-cultural and technological factors (PEST). For the identification of character-defining elements expressed in urban and architectural features, it is necessary to review the contributions previously made about the District.

5.1.1. Overview of the literature about Vista Alegre District

Vista Alegre District's built environment has been regularly the focus of studies promoted by the Department of Architecture and Urban Planning (Faculty of Construction) from the Universidad de Oriente in Santiago de Cuba. Some of the contributions to the knowledge of the area have been developed in collaboration with local and international institutions external to the university. Among the local, it is noteworthy the input of the *Oficina del Conservador*, visible in the publication of the *Oriente de Cuba, Guía de Arquitectura* (2002) (Eastern Cuba, an Architectural Guide). This book compiled a number of significant buildings that are representative of twenty towns in the Eastern Region of Cuba, and one specific section stressed the relevance of various historic buildings from Vista Alegre District.

As for the international collaboration, the publication of *El Reparto Vista Alegre en Santiago de Cuba* in 2008 (Morcate and Parrinello, 2008) refers to the results of a workshop organised jointly between the UO and the University of Florence. This all-encompassing volume underlines the District's qualities in terms of urban planning and architecture. Additionally, the recent partnership initiated with the Raymond Lemaire International Centre for Conservation (KU Leuven – Belgium) seeks to continue developing research to contribute to the preservation of the area, as an example of local identity expressed in the tangible heritage.

Regarding research activity, scholars like Carmen Lemus and Ibeyis Rodríguez (2003), Marta Lora (2007), Dr María Muñoz (2007), Dr Mónica Cabrera (2007) and Dr Milene Soto (2006) have contributed, from different perspectives and topics addressed, to the characterisation of urban and architectural features. Based on a historic and context-related reasoning, these authors have

helped to understand the spatial configuration of the District thoroughly, together with the evolution of materials, forms, styles and uses of buildings. In particular, the contribution made by Dr María Muñoz (2007) provided a comprehensive description of the urban layout and architectural typologies, disclosing their conceptual, formal, and aesthetic qualities.

Moreover, concerning conservation and management activities, some actions have contributed to the documentation of the area (González Martínez and Joa Sierra, 1993; Lemus and Rodríguez, 2003; Earl, 2005; Sagué, 2010), while one study suggested an action plan for the preservation of historic buildings (Moore, 2004), and another proposed urbanistic regulations emphasising on heritage protection (Muñoz and Bello Caballero, 2012). Furthermore, in the context of this research several actions have been conducted to implement ICT tools to improve information management by upgrading and updating existing datasets (Cid, 2012; Bello Caballero et al., 2013; Pérez Vilorio, 2013; Del Rosario, 2017; Montoya, 2017; Velázquez, 2017; L. Bello Caballero et al., 2017; Blanc, 2018).

Given the different topics addressed, Figure 5.1 shows the evolution of the literature about the District in the last two decades. The materials can be found in the form of books, journal articles, as well as doctoral, master and bachelor theses.

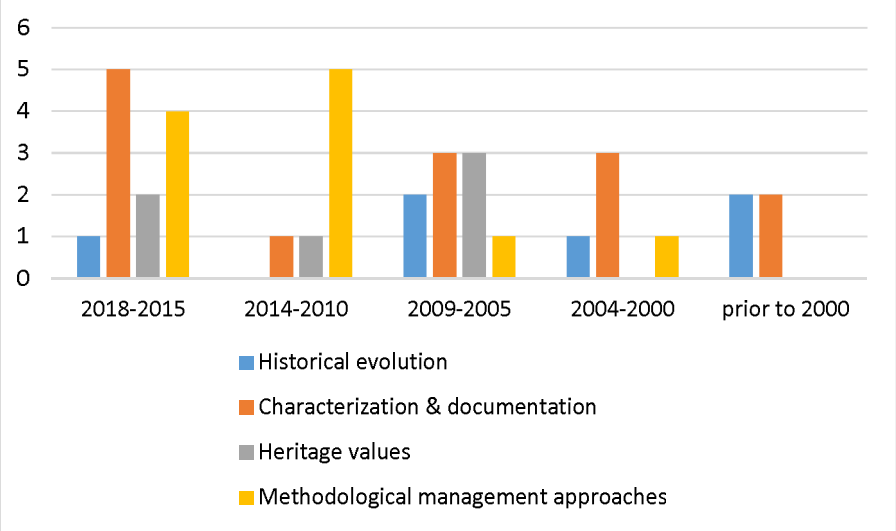

Fig. 5.1: *Topics addressed in the literature about the Vista Alegre District. The y-axis indicates the number of written materials. Author, 2018*

In sum, all academic outputs have helped to build a theoretical background about Vista Alegre District covering four main topics. The documentation and characterisation of the District's urban and architectural features have been the focus of attention of the Department of Urban

Planning and Architecture at UO, which leads and maintains an active role in developing research. Studies are often aligned with contributions to the historical evolution of the area, together with proposals for management strategies considering the protection and dissemination of heritage values. These advances facilitate the identification of tangible features that characterise urban features and the architecture of the area; as well, they assist in determining the links to intangible features.

5.2.2 Character-defining elements of Vista Alegre District

Scholars have often highlighted that Vista Alegre District, which emerged in 1907, reflects the aesthetical conceptual intentions of the City Beautiful Movement developed in the United States (Carlino and Saiz, 2008; NYPAP, 2018), as well as European influences like the Garden City (Howard, 1945), and the *École des Beaux-Arts* in Paris (ENSBA and MMA, 1975). These tendencies stimulated the development of new residential areas in Havana like Miramar (Chateloin, 2004; Chateloin et al., 2016); and the consolidation of already existing districts like Carmelo and El Vedado (Victoria Zardoya, 2006). The latter viewed as the direct references and local antecedents of Vista Alegre District (Lemus Frómeta et al., 2008).

Therefore, the urban layout is based on a traditional grid that was adapted to the undulating topography of the setting. Besides, authors have underlined the introduction of new fundamentals in local urban planning in order to adapt the settlement to the tropical climate conditions. These fundamentals are reflected in the rotation of the grid 45° in relation to the North to take advantage of the predominant wind direction, thus, guaranteeing proper ventilation. As a result, the streets were oriented northeast-southwest and northwest-southeast, meaning an unusual practice in the city of Santiago, considering the typical Colonial spatial configuration based on the two major compass axes orientation (north-south and east-west) (Lemus et al., 2007; Muñoz, 2007; Lemus Frómeta et al., 2008).

The urban pattern of Vista Alegre District also articulated different green open areas, which notably reduced the building density. For instance, parterres on both sides of streets, gardens, as well as large backyards were part of the fundamentals considered (Muñoz, 2005). Moreover, a longitudinal garden used as a promenade along the central avenue was built to highlight the monumental character of the site. Because of these features, the District became a highly

relevant example of local urban planning developed during the 20th century (Muñoz, 2007). (Fig. 5.2)

With respect to the architecture developed in the District, it has been a topic largely addressed in several studies and publications (Méndez Font, 1978; González Martínez and Joa Sierra, 1993; *Oriente de Cuba. Guía de Arquitectura*, 2002; Soto, 2006; Cabrera, 2007; Muñoz, 2007; Lemus et al., 2007; Morcate and Parrinello, 2008). Most of the contributions emphasise the variety of typologies present in the area as a result of the influence of diverse architectural styles introduced in Cuba from the late 19th to mid-20th centuries. Examples of Neoclassicism, Eclecticism, Art Deco, Art Nouveau, California Missionary, Mediterranean, Streamline Moderne and Rationalism are part of the site's representative architectural collection. As noted by authors, these styles represent an outstanding quality of work, which reflect skilfulness on techniques and on the use of diverse materials (Muñoz, 2005; Morcate and Parrinello, 2008). (Fig. 5.3, see also Annex 5.1 and Annex 5.2)

Even though there is a diversity of styles and construction typologies, the built environment is perceived as a coherent whole since certain common characteristics lead to a pleasing and consistent urbanscape. The harmony is noticeable in the location of buildings following a regular setback, together with coherent heights, materials, textures, and the transition from public to semipublic and private spaces. These features were very well aligned with the adaptation to the climate conditions. Outdoor spaces like gardens, side galleries and backyards together with large windows and the generous heights of interior rooms guarantee the cross ventilation. Moreover, the recurrent presence of open porches, clay tile hip roofs and flat concrete slabs have also shaped the traditional urbanscape of the District (González Martínez and Joa Sierra, 1993; Lemus et al., 2007; Muñoz, 2007).

Whereas abundant literature has addressed the characterisation of the built environment, fewer studies have thoroughly reviewed the intangible features linked to the District. For that reason, it was necessary to revise publications about socio-cultural topics in Santiago de Cuba. In this regard, scholars argue that the District has maintained its residential character over time; therefore, it is a testimonial of the domestic lives of notable personalities mainly linked to politics and business during the first half of the 20th century (Lemus et al., 2007; Lemus Frómeta et al., 2008; Fleitas Monnar, 2009). In addition, they have underlined the sense of place attachment of locals, and the current dynamism produced by activities linked to education. The latter given by



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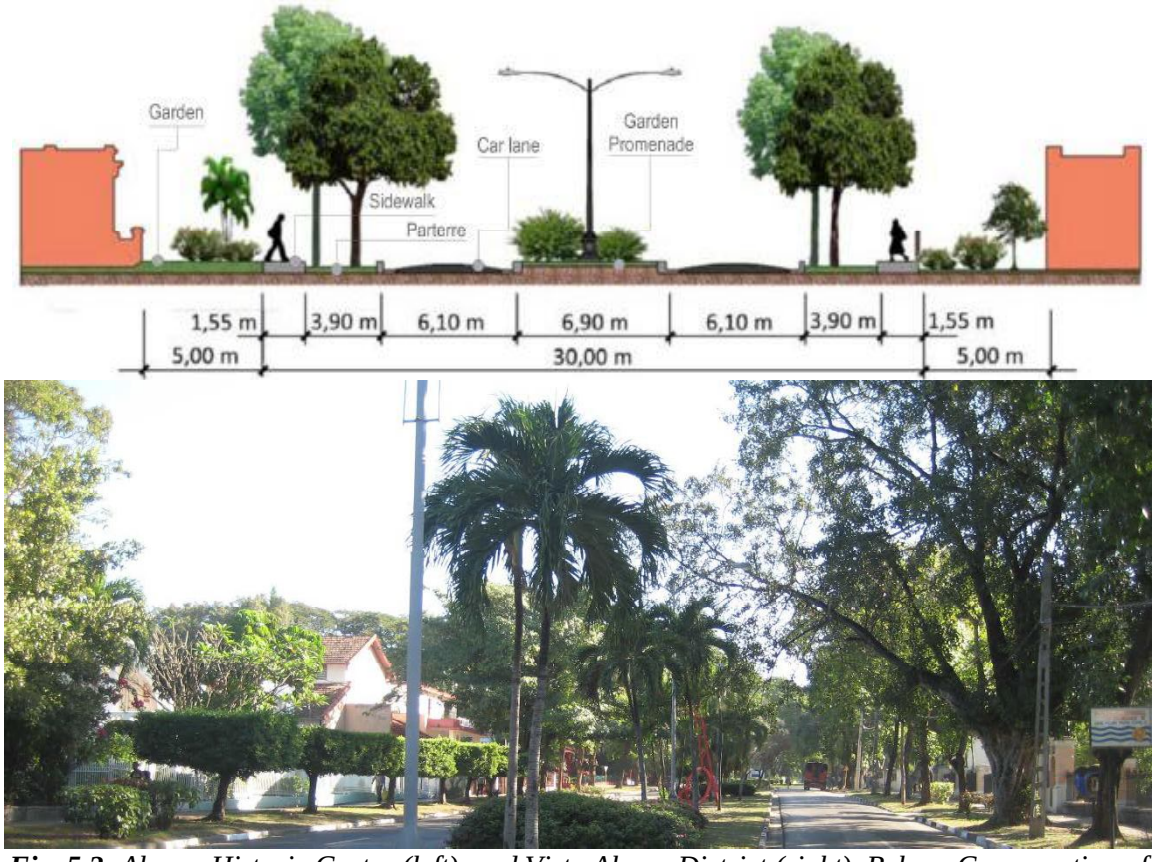
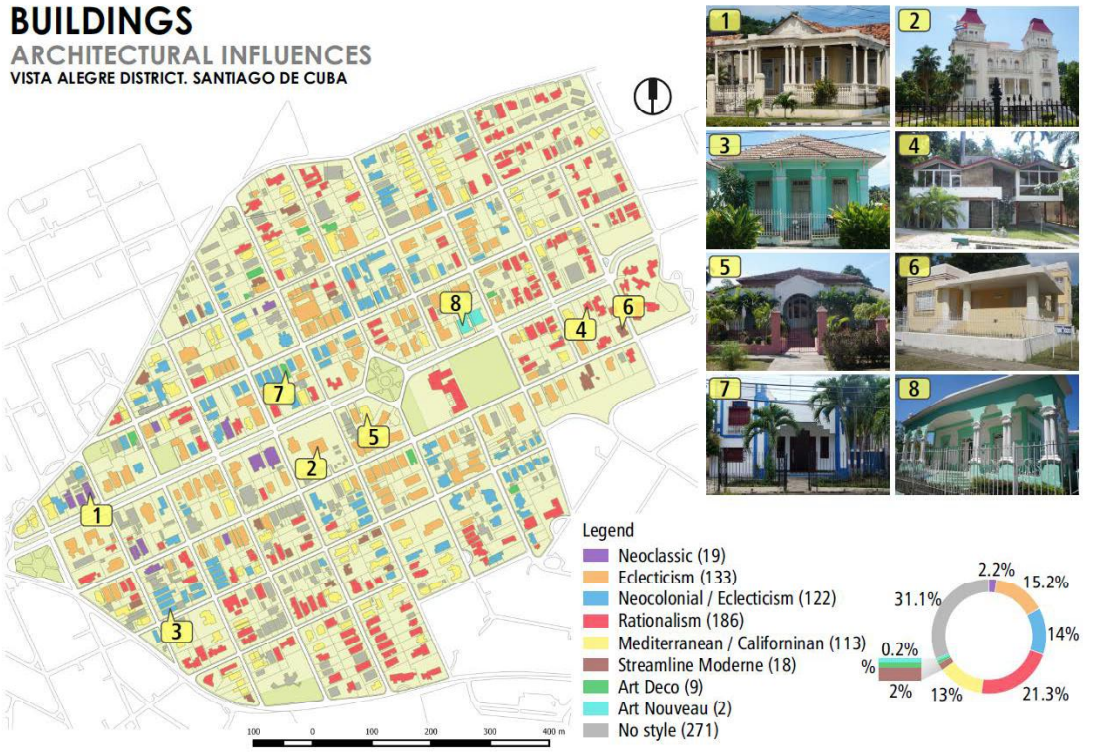


Fig. 5.2: *Above: Historic Centre (left), and Vista Alegre District (right). Below: Cross-section of Vista Alegre's central avenue (Cid, 2012). Satellite images source: Google Earth, 2018.*



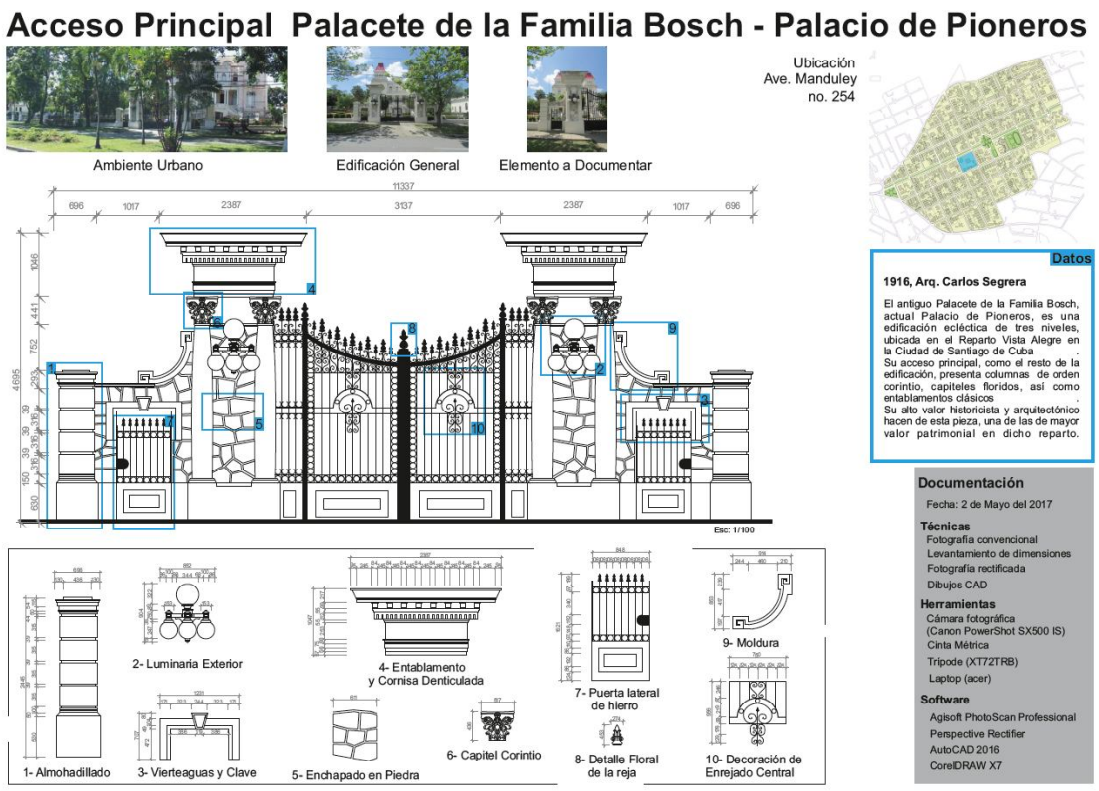


Fig. 5.3: *Architectural styles developed in the District between 1907 and 1958, and example of skillfulness and design. Sources: Velázquez 2017 and Blanc 2018, Bello 2017, 2018*

the number of elementary schools and other types of educational centres for children introduced in the area from the 1960s onwards (Muñoz, 2007; Bello Caballero, 2013). (Fig. 5.4)



Fig. 5.4: *School-related outdoor activities in the Vista Alegre District. Author, 2015*

In short, the knowledge about Vista Alegre District's character-defining elements concentrates mainly on urban and architectural features, while intangible features have been addressed from the perspective of meanings and uses of the built environment. With this in mind, Table 5.1 summarises the character-defining elements as pointed out in the literature.

Table 5.1: Character-defining elements of Vista Alegre District
Sources: (Oriente de Cuba. Guía de Arquitectura, 2002; Lemus and Rodríguez, 2003; Lemus et al., 2007; Muñoz, 2007; Morcate and Parrinello, 2008)

Urban features	Urban layout based on a traditional grid rotated 45° related to the North.
	The adaptation of the urban layout to the geographical setting, including both, topography and climate conditions.
	The presence of open green areas as part of the urban layout, visible in both, public and private spaces (parks, parterre, lateral and frontal gardens and backyards).
	The regular design of blocks following a square shape of 90m length.
	The regular delimitation of lots within blocks.
	The low construction density ranging from 15 to 30 buildings per hectare.
	The regular building setback.

	The buildings isolated in lots (one building per lot) and surrounded by green and open areas (front garden, lateral galleries, and backyard).
Architectural features	The predominance of one-story buildings.
	The prevalence of residential housing developed in Cuba during the first half of the 20th century.
	Construction typology characterised by: - Concrete slab roofs - Clay tile roofs - Masonry walls - Exceptional cases of timber houses
	The diversity of architectural styles: Neoclassicism, Eclecticism, Art Deco, Art Nouveau, California Missionary, Mediterranean, Streamline Moderne and Rationalism. These styles are visible in the use of decorative features; the design of doors, windows, columns, balusters, cornices, fences, structural elements; as well as proportions, size, plane surfaces and lines.
	Homogeneity and harmony of the built environment, which is given by: - The combination of solid and articulated volumes. - The regular use of hipped and flat roofs. - The repeated use of wide porches as links between public and private spaces. - The delimitation of properties by using perimeter fences, which were designed in accordance with the architectural styles.
Intangible features	The markedly residential character of the District, which reflects the socio-cultural characteristics, and the economic status of the upper class in Santiago de Cuba [1907-1959]. As a result, the District is a testimonial of the domestic lives of significant personalities (politicians, entrepreneurs, war heroes, and professionals from diverse branches).
	The strong sense of place attachment of inhabitants.
	The permanent activity linked to educational centres for children.

For the condition assessment of character-defining elements, it is required to specify how alterations can jeopardise the integrity of urban and architectural features. Concerning urban features, alterations are primarily reflected in breaking with the spatial configuration, which includes buildings setback, and the occupation of open (green) areas, either by new constructions, or else by paving. In the case of buildings, adverse impacts are visible in diverse forms: unharmonious additions, colours and materials; together with the disfiguration of decorative features, doors, windows, roofs, porches and fences, which produce the alteration of styles, proportions, and forms. It is necessary to remark that aiming at substantiating the reasoning developed in the subsequent sections, the results of condition assessment will be gradually exposed.

Documenting the state of conservation and alterations to urban and architectural features determined an exhaustive collection of data with a threefold objective. Firstly, to verify the validity of character-defining elements. Secondly, to assess their condition in terms of level of alteration and state of conservation linked to changes in the political, economic, socio-cultural and technological factors. Thirdly, to substantiate the reasoning related to meanings and perception of cultural values influenced by changes in the socio-economic dynamics.

5.2.3 Methods and tools used for data collection and processing

Consistent with the analytical sequence explained in Chapter 4, primary, secondary and qualitative data related to Vista Alegre District were collected. To collect primary data several fieldwork sessions were conducted between 2013 and 2018. Different approaches were used for recording, documenting and processing: recording techniques like survey forms (Annex 5.3), field notes and photographic survey; and data management platforms like vector graphics editors, CAD (computer-assisted design) and GIS (geographic information systems). In addition, the analysis of remote sensing imagery was necessary to examine transformations in the urban layout; as well, records on lost historic buildings were stored by making use of historical archives and 3D digital reconstructions. (Fig. 5.5)

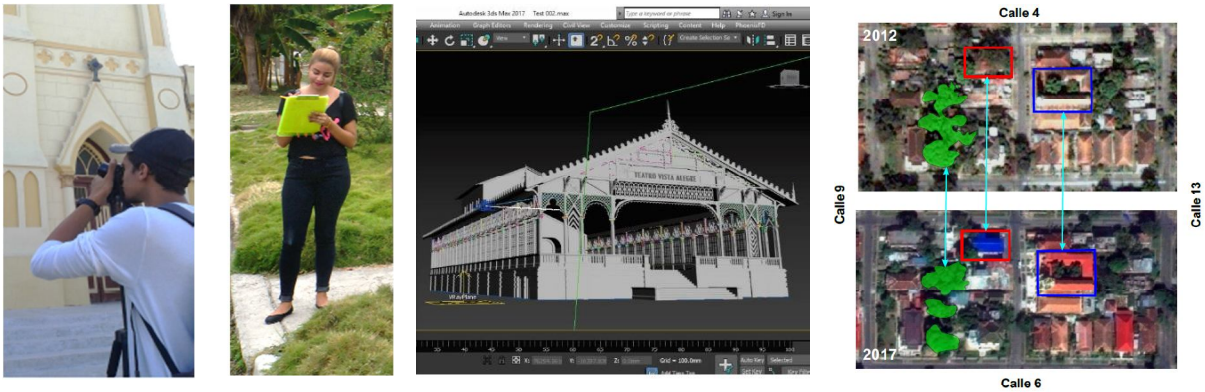
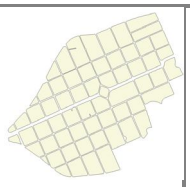
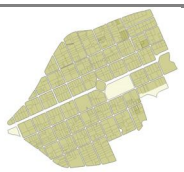


Fig. 5.5: *Fieldwork sessions, an example of a 3D digital reconstruction, and the interpretation of remote sensing data. Sources: Velázquez, 2017; Montoya, 2017; Blanc, 2018; Calás, 2018.*

In general, fieldwork and desktop work sessions involved one research assistant and 79 students from the third and fifth years of the Architecture and Urbanism Program at UO. They helped to verify and update the information retrieved from secondary data by documenting 63 blocks (approximately 721.4 Ha), 785 lots, and 873 buildings, among which 271 have no specific architectural style.

In addition to the literature about the District, the review of secondary data entailed research reports, together with documents and files produced and stored by institutions like the City Historical Archive, the City Conservation Office, and the Provincial Department for Urban Planning. The implementation of a GIS-based tool assisted in the processing and management of the volume of data collected. The GIS database was configured following the District's urban and architectural features; i.e. blocks, streets, lots, green areas, and buildings (Cid, 2012; Pérez Vilorio, 2013; Del Rosario, 2017; Montoya, 2017; Velázquez, 2017; Blanc, 2018). (Table 5.2)

Table 5.2: Data sources and general GIS structure according to District's features
Source: Bello Caballero et al., 2017

	 Blocks	 Streets	 Plots	 Green areas	 Buildings
Data source	**Data**				
DPPF	CAD file base map[1] Number (cadaster) Current urbanistic regulations[2]	CAD file base map[1] Identification Classification	CAD file base map[1] Number (cadaster) Current urbanistic regulations[2]	CAD file base map[1] Classification	CAD file base map[1] Current urbanistic regulations[2]
OCC and City Historical Archive	Historic cartography[3] District's evolution & plans	Historic cartography[3] Historic imagery[4]	Historic cartography[3] District's occupation process	Historic imagery[4]	Historic imagery[4] Conservation actions[2] Year of construction[5] Ownership[2] Blueprints[3] Function[2]
Studies about the District (UO)	Characterisation (area & shape)[2] Proposal of urbanistic regulations[2] Character-defining elements	Characterisation[2] Character-defining elements	Classification by area and shape[2] Urban regulations[2] High value sector[2] Character-defining elements	Characterisation[2] (parterres, gardens, backyards) Character-defining elements[2]	Architectural style[2] Original function[2] Housing typology[2] Sub-divided buildings[2] Character-defining elements[2]
Field survey	Unharmonious additions[2]	Documentation of current urbanscape[4]	Unharmonious additions[2]	Alterations to open (green) areas[2]	Condition assessment[2] Stories[2] Current function[2] Building typology[2] Roof typology[2] Facade typology[2] Integrity of façade[2] New constructions[2] Photography of façade[4] Character-defining elements[2]
Remote sensing imagery	Relationship between built environment and green open areas[3-1]		Reduction of green areas: gardens, backyards[3-1]	Reduction of green areas: parks, parterres, central av. garden[3-1]	Emerging constructions at the interior of blocks[3-1]

Data types: 1. Vector; 2. Alphanumeric; 3. Raster; 4. Photos included in database; 5. Date

As shown in Table 5.2, the base plan is a CAD file, ultimately converted into vector layer and georeferenced according to *NAD 27/Cuba Sur* coordinate system. To this end, *QuantumGIS*, a free and open source software (http://www.qgis.org) assisted in performing most of the operations. For instance, the *OpenLayers* plugin permitted to add complementary web-based layers such as *Google Satellite* and *Open Street Map* to check coordinates and features. The database is composed of alphanumeric data, date fields, as well as raster layers to visualise impacts and the evolution of the District from former to present circumstances.

Besides primary and secondary data, further parallel actions were conducted to collect qualitative data in order to examine intangible features; specifically, the sense of place attachment, which also contributed to assessing social values. Accordingly, a collaboration with the Faculty of Social Sciences (UO) was established within the umbrella of the VLIR IUC-UO Program (Project 4), involving 1 professor and 15 students from the Psychology Program. This joint action addressed the sense of place attachment and notions of cultural identity and pride in locals (Annex 5.4). Likewise, it was possible to explore the personal life experiences of a specific sector of the local population composed of District's original families (Annex 5.5). To this end, closed and open format questionnaires and interviews were applied (Caballero Batista et al., 2018).

In summary, combining methods from technic and social sciences, as well as geosciences allowed to integrating a volume of diverse data by means of ICT tools. This information assisted in identifying, verifying and assessing Vista Alegre District's character-defining elements. Moreover, the outputs of data processing (maps, technical drawings, written reports) also helped to substantiate the discussion of the District's evolution linked to changes in the political, economic, socio-cultural and technological factors.

5.2.4 PEST factors and their influence in the evolution of Vista Alegre District

In the early 20th century, Vista Alegre District emerged as a new residential development in the outskirts of the city of Santiago de Cuba. The political, social and economic context was marked by the rise of the Republic of Cuba, a new-born country that had gained the independence from Spanish Colonialism in 1898. The post-war period, under the so-called First North American

Intervention[1] (1899-1902), was characterised by deprived livelihood. The situation gradually changed as a result of increasing foreign investments –mostly from the United States (US)– in industries like sugar cane derivatives (sugar, rum), coffee, and copper and iron mining (De Las Cuevas Toraya, 2001). An estimation suggests that the Country's yearly economic growth was about 8% from 1900 to 1925, fundamentally based on sugar industry, which produced 5.4 tons of sugar in 1925 compared to less than 1 ton in 1900 (Moreno, 1978; García Molina, 2005).

The economic progress led to the rise of a local wealthy class economically attached to the US, resulting in the gradual acculturation of North American socio-cultural patterns. The new elite reflected a deliberated will to break links with former decadent Colonial era by assuming modern ideas visible in the introduction of aesthetical conceptual intentions and technological advances in urban planning (Santamaría García and Naranjo Orovio, 2005; Fleitas Monnar, 2009). Accordingly, the proposals of development plans for the city of Santiago de Cuba, the country's second most important, resulted in the development of urban infrastructures like tramway, electricity, water supply, and residuals collection (Muñoz, 2007).

Regarding the population of the country, it had already increased between 1899 (1 572 797) and 1907 (2 048 980) due to new waves of Spanish and regional immigrants, as well as US farmers and "adventurers" driven by the promises of new lands (De Las Cuevas Toraya, 2001; ONEI, 2007). This phenomenon produced over-densification in traditional city centres. As a result, the emerging wealthy class in need of "modern" and "hygienic" places suited to their living demands started the occupation of outlying new residential areas (Coyula, 2006; Victoria Zardoya, 2006; Lemus Frómeta et al., 2008).

Under these circumstances, the former *Finca Arroyo Hondo* located towards the East peripheries of the city of Santiago de Cuba was the area chosen for establishing Vista Alegre District (see Fig. 3.5, Chapter 3), which emerged there in 1907. The area had optimal environmental conditions, and its highland positioning propitiated panoramic views over a diverse natural landscape. Such characteristics were crucial features for locating the new urbanisation.

[1] Literally translated from Spanish: *Primera Intervención Norteamericana*. The term refers to a period when the United States Government occupied Cuba.

High-class families based in Santiago de Cuba occupied almost all lots in the period from 1907 to 1959 (Fig. 5.6). Until 1959, every property on the site was of private tenancy, and housing was the predominant use. Exceptions like the *Sagrada Familia* Catholic Church and the former Vista Alegre Park were places that propitiated social gathering. The latter included functions for recreation, among them, gastronomic services, a theatre, and facilities for leisure activities (Lemus et al., 2007; Muñoz, 2007; Lemus Frómeta et al., 2008). As a whole, the area had an enclosure character, with privileges only for resident families. That was the purpose of the urbanisation, but it also accentuated existing social segregation.

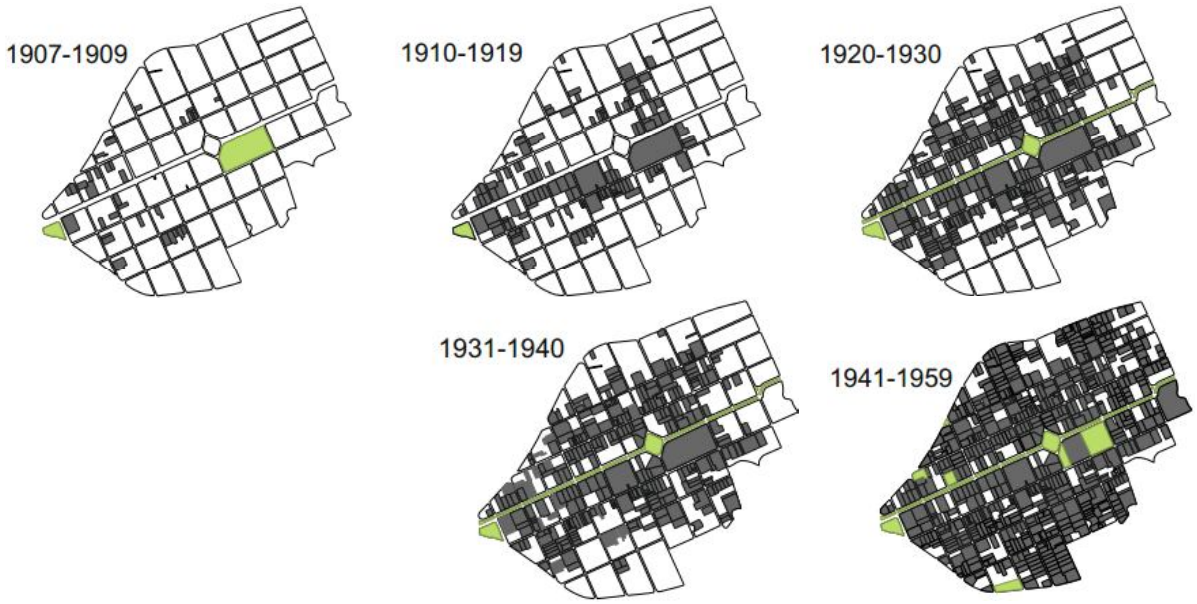


Fig. 5.6: *Occupation of lots, 1907-1959. Source: Del Rosario and Bello Caballero, 2017*

Substantial changes took place during the second half of the 20th century. One of the consequences of the 1959 Socialist Revolution was the massive migration of families over the 1960s, leaving behind their possessions (Aja Díaz, 2010). Few housekeepers were left in charge of abandoned goods; but in most cases, the nascent Government appropriated them. Alternatively, in exceptional cases some of the houses were transferred to private owners with outstanding achievements in their professional careers, mainly related to the army or sports, this policy continues until today.

In most of the cases, former houses were adapted to host social services, educational centres, cultural institutions and community health units (Ruiz Hernández, 2008; González Couret, 2009; Reyes Velázquez and González González, 2011). The re-use of these buildings for public functions reflected

the ideals of the social programs developed by the Revolution, which produced a radical changeover from the past Republican Society. In this regard, as new functions appeared, the character of an isolated urban island gradually transformed into a more active public urban dynamic. (Fig. 5.7, see also Annex 5.6)

The adaptation of former houses to host offices, archives, classrooms, student residences or meeting rooms, often resulted in the transformation of floor plans and lots since interior, and exterior spatial redistribution was necessary to meet the needs of new activities. Negative impacts started when such modifications occasioned adverse transformations to facades, visible in modifications to volumetric proportions or damages to decorative features due to windows relocation, change or addition. In addition, inharmonious and arbitrary new constructions like sentry boxes tended to occupy areas that were initially conceived to be open. (Fig. 5.8, see also Annex 5.7)

During the seventies and eighties, industrial construction systems were massively introduced in Cuba (De Las Cuevas Toraya, 2001). Based on these technologies, basic health-care units, markets, a small number of offices, and mainly, buildings for social housing filled almost all District's available lots. Some of these constructions produced a rupture with the urban layout by ignoring the setback of buildings, and open green areas like gardens or backyards (Bello Caballero, 2009). (Annex 5.8 and Annex 5.9)

Subsequently, the economic crisis in the nineties led to a generalised deterioration of the historic building stock, visible in the condition of roofs, walls, doors, windows and decorative features. That period significantly affected both, public and private sectors (Fig. 5.9, see also Annex 5.10). The state of conservation of buildings was aggravated by an extreme natural phenomenon in October 2012, as Hurricane Sandy devastated the built environment of the city. In Vista Alegre District, some buildings collapsed, and many damages were visible in roofs, windows, decorative features and the flora of the area. Unfortunately, except for several pictures, no data was found to quantify the extent of damages.

In addition to the physical deterioration, adverse impacts increased in private properties as a result of the potentiation of the "own-means houses" strategy (González Couret, 2009) (see Chapter 3) and the increasing demand for housing; which produced irreversible modifications to the urban

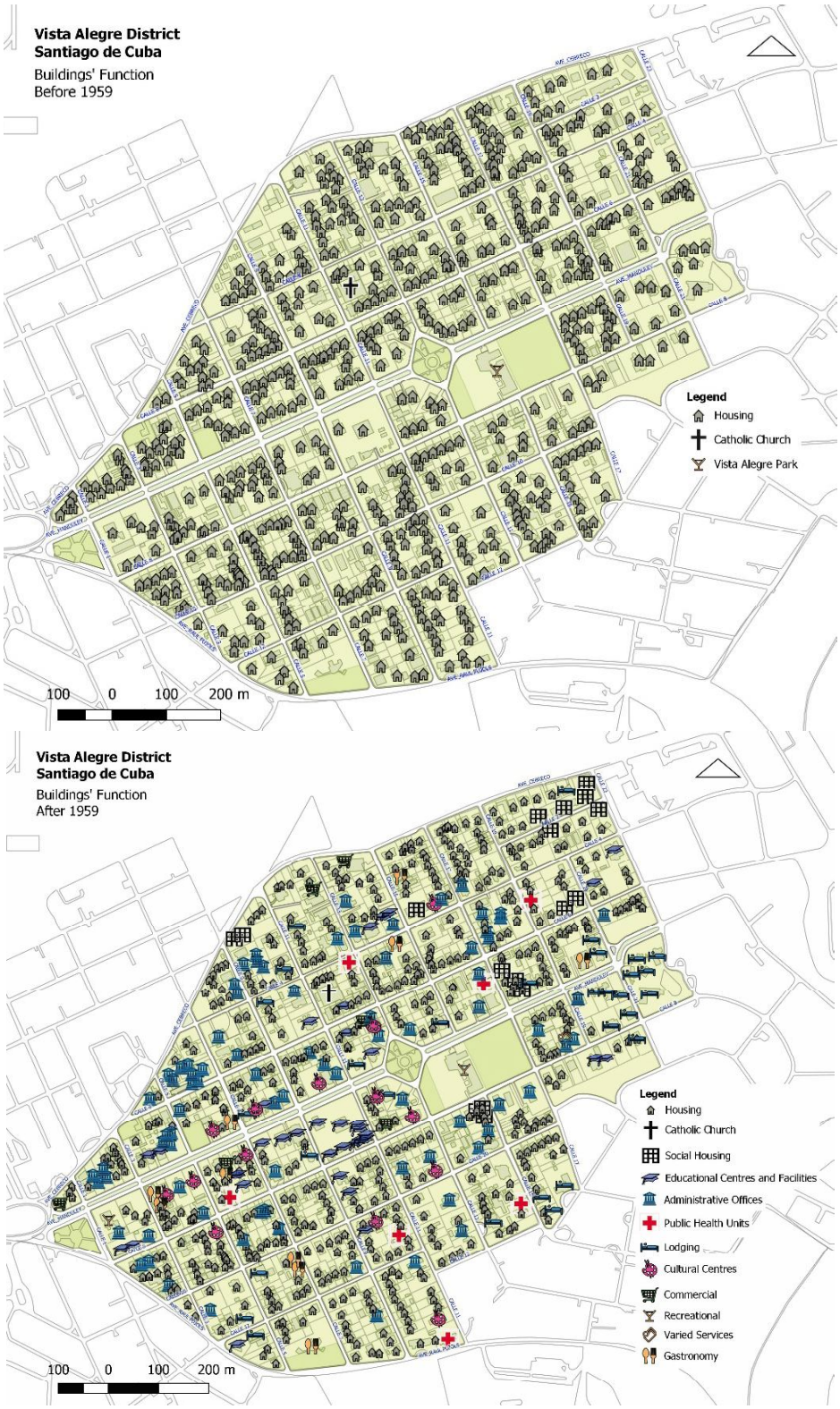


Fig. 5.7: *Buildings' function before 1959 (left), and current functions hosted by the District (right). All maps available in Annex 5.6. Author, 2018.*

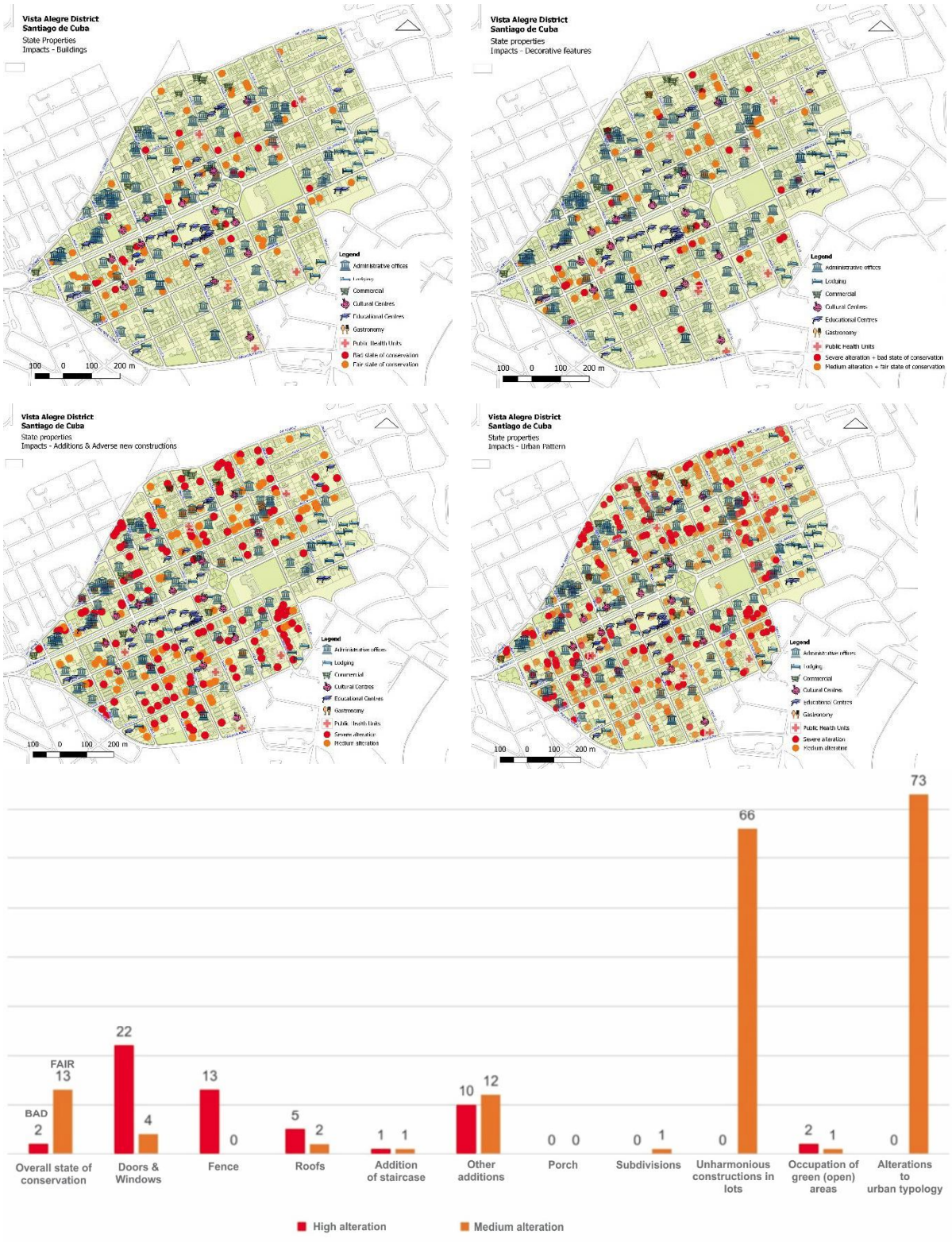


Fig. 5.8: *Location of some adverse impacts documented in State properties, and statistical summary. All maps are available in Annex 5.7. Author, 2018*

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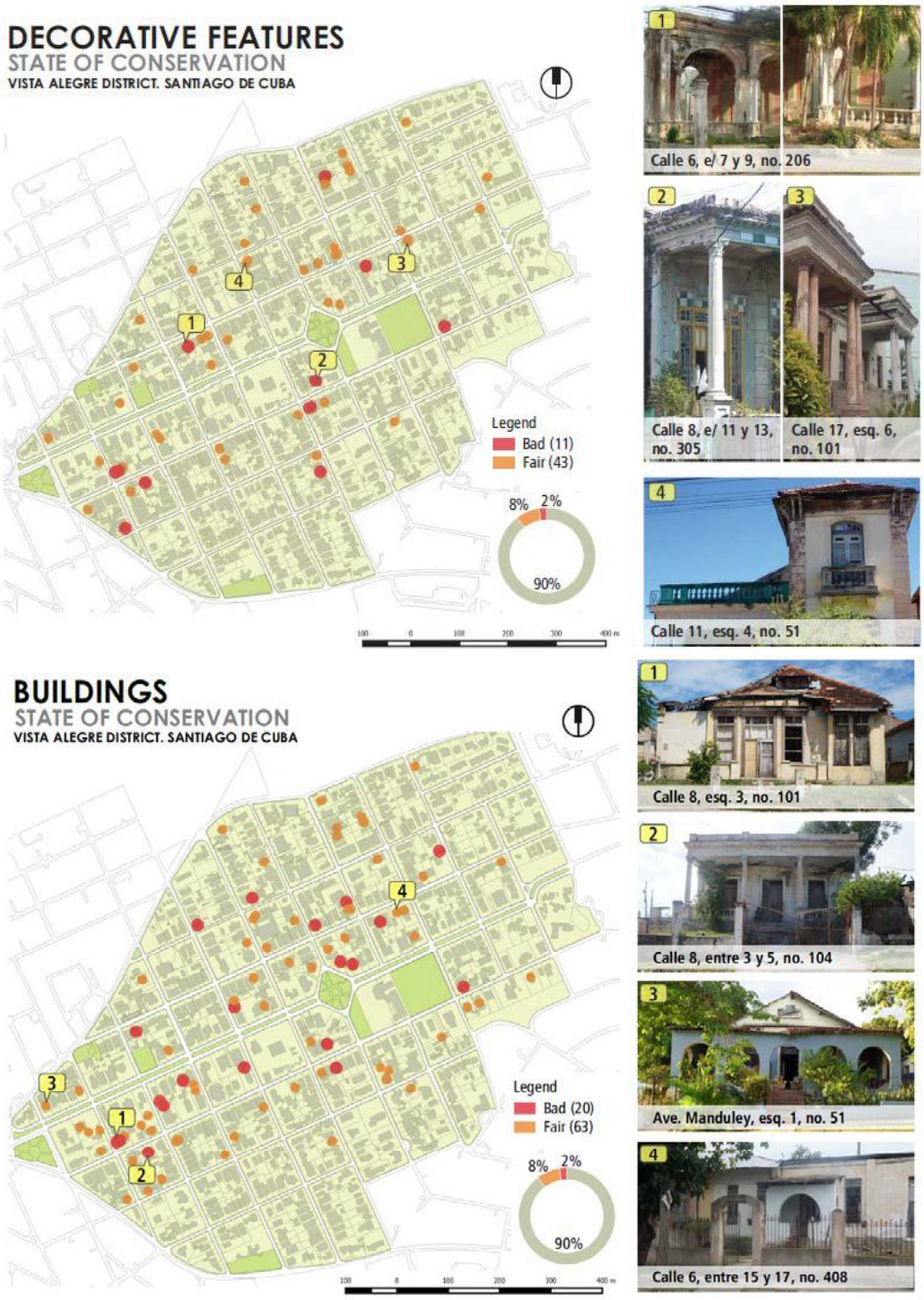

Fig. 5.9: *State of conservation of decorative features and overall state of conservation of buildings. The assessment of all individual features is available in Annex 5.10. Sources: Blanc 2018 and Bello Caballero, 2018.*

typology and historic buildings. For instance, unharmonious additions and informal constructions proliferated breaking with the traditional urbanscape. Also, many properties were divided into two or more parts (Sagué, 2010) due to relatives' separation or the need for a new house, resulting in permanent damages to the formal appearance of buildings. (Fig. 5.10, see also Annex 5.11)

Given that housing is by large the predominant function, alterations are more visible in private properties. However, both, State and private owners have produced alterations, which have been primarily reflected in adverse transformations to the urban typology. Increasing informal constructions occupying green areas are regularly perceived together with impacts on historic buildings. These constructive actions need the approval of the *Departamento de Planificación Física* (Department of Urban Planning), which looks after the normative compliance of urbanistic regulations. Nevertheless, the results of condition assessment suggest that there is no follow up on the correspondence between the project proposed and the actual outcome. Therefore, the lack of adequate instruments for urban management and the weak urbanistic regulations, have resulted in increasing alterations to urban and architectural features due to neglect, adverse transformations, inharmonious constructions and land misuse (Bello Caballero, 2009; Muñoz and Bello Caballero, 2012). (Fig. 5.11)



Fig. 5.10: *Location of some adverse impacts documented in private properties, and statistical summary. All maps are available in Annex 5.11. Author, 2018*



Sentry boxes disfiguring the original style of the building (California Missionary), and occupying the garden in a State property



Accumulation of diverse alterations





Own-means houses breaking with the urban pattern

Fig. 5.11: *Examples of adverse impacts in the Vista Alegre District. Author, 2017 and Blanc, 2018*

If examined individually, alterations may not seem a threat to the integrity of the whole set of character-defining elements; however, their accumulation in whichever form, breaks the unity of the traditional urbanscape. For instance, alterations to decorative features of some historic buildings are less frequent than alterations to fences. However, when all adverse cases overlap, it is noticeable the extent to which negative impacts spread all over the District, jeopardising its perception as a whole. (Fig. 5.12, see also Annex 5.12)

Despite the accumulation of adverse impacts on character-defining elements, and in contrast to the efforts made by scholars and the acknowledgement of the City Conservation Office's actions to preserve the historical centre, little practical actions have been conducted to safeguard Vista Alegre District. Regarding legal heritage protection, only one building has been listed as Local Monument in 2009; the asset collapsed later on. Nevertheless, it is worth noting that the City Conservation Office (OCC) has undertaken the conservation of the *Palacio de Pioneros* (former Bosh Family Residence), currently used as an educational centre (López, 2012). The reason behind

this specific intervention is that this building is an icon of the District in terms of size, proportions and aesthetic qualities; besides, it reflects the social programs of the Revolution.

Since 2012, the local Government has promoted urban revitalisation programs in different areas of the city in response to the devastation occasioned by Hurricane Sandy (Franciso, 2018). Specifically, in Vista Alegre, these plans are visible in the replacement of some administrative offices by functions like lodging, and cultural and recreational centres. The strategy reflects an attempt to use the advantages of buildings to host activities that are more suitable. These actions are aligned with the designation of Vista Alegre District as "Zone of Touristic Interest" because of its cultural significance, as stated in the *Plan Territorial y Urbano de Santiago de Cuba* (Territorial and Urban Plan) (DPPF-SCU, 2011). However, the scarce economic resources limit a holistic view of the problem; thus, the attention is focused only on central areas or State properties.

Nowadays, the effects of the social and economic policies adopted in 2011 (Chapter 3) are also visible in the District. For instance, families can reach a better economic status by selling their houses, which are among the most expensive within the urban area. Although there are no official procedures to set the price of a house, data collected from different websites[2] indicate that the average price in Vista Alegre is around 75,000 CUC[3]; figures range from 50,000 up to 100,000. The information retrieved from the fieldwork show that 25 houses corresponding to the historic building stock have been acquired and repaired by new owners; seven more are currently for sale. The activity related to the real-estate market increased along with the emergence of small private businesses (Fig. 5.13, see also Annex 5.6). Whereas some new owners are aware of buildings' formal and aesthetic qualities, others are insensible to these characteristics and continue producing adverse impacts reflected in detrimental adaptations of buildings to host both functions, housing and business.

The present socio-economic dynamics suggest that processes like gentrification are possibly to be at an incipient stage since locals are tending to sell their properties as an alternative to

[2] https://www.revolico.com/vivienda/compra-venta/
https://www.cubisima.com/casas/
https://www.detrasdelafachada.com/listado-ventas-casas-cuba
https://www.poreltecho.com/casas-en-cuba/cuba/venta

[3] 1 CUC (Cuban Convertible) = 0.85 EUR

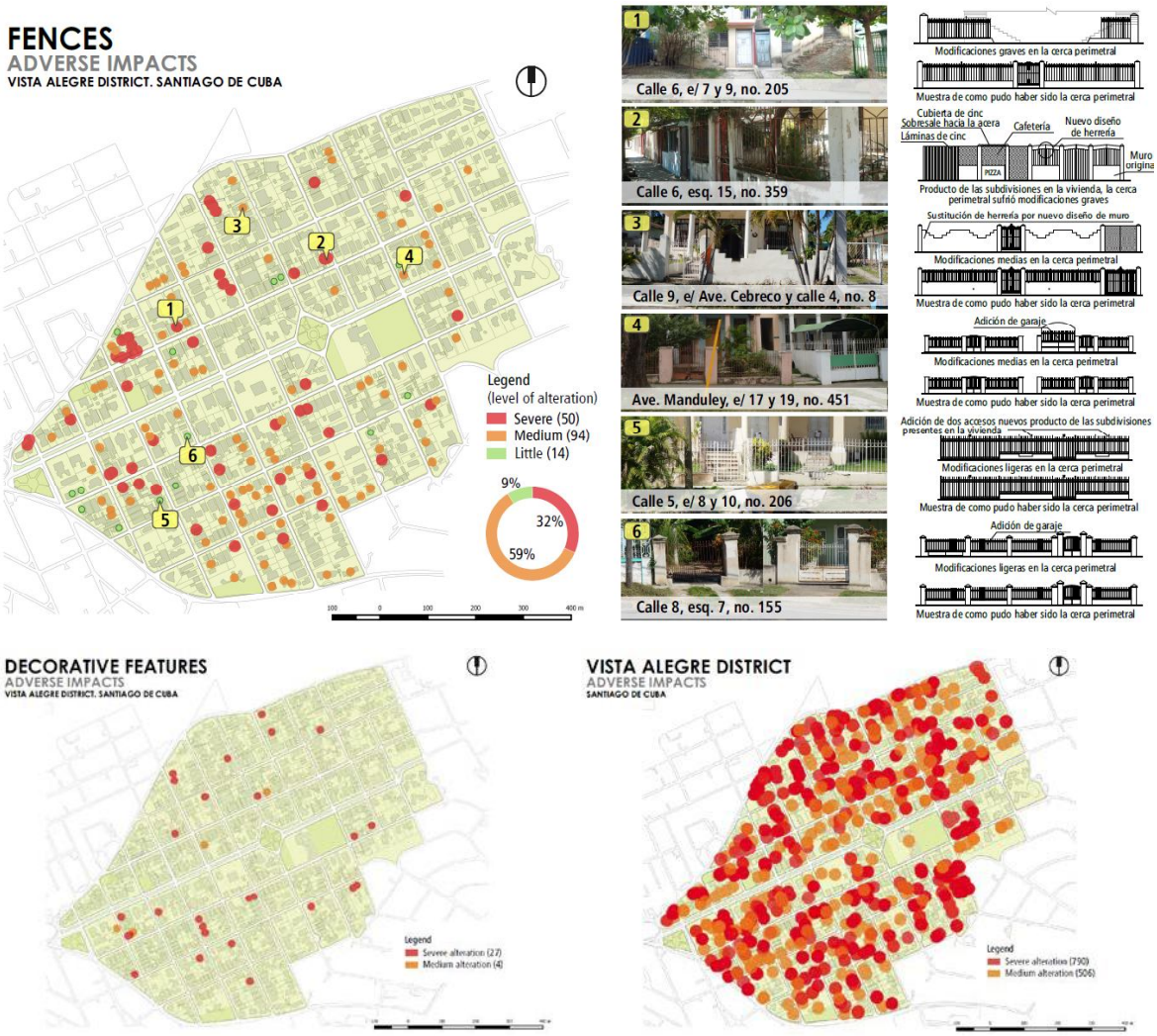

Fig. 5.12: *Examples of the documentation of alterations in individual features (fences and gardens), and the result of overlapping all alterations. All maps are available in Annex 5.12 Sources: Blanc, 2018 and Author, 2018.*

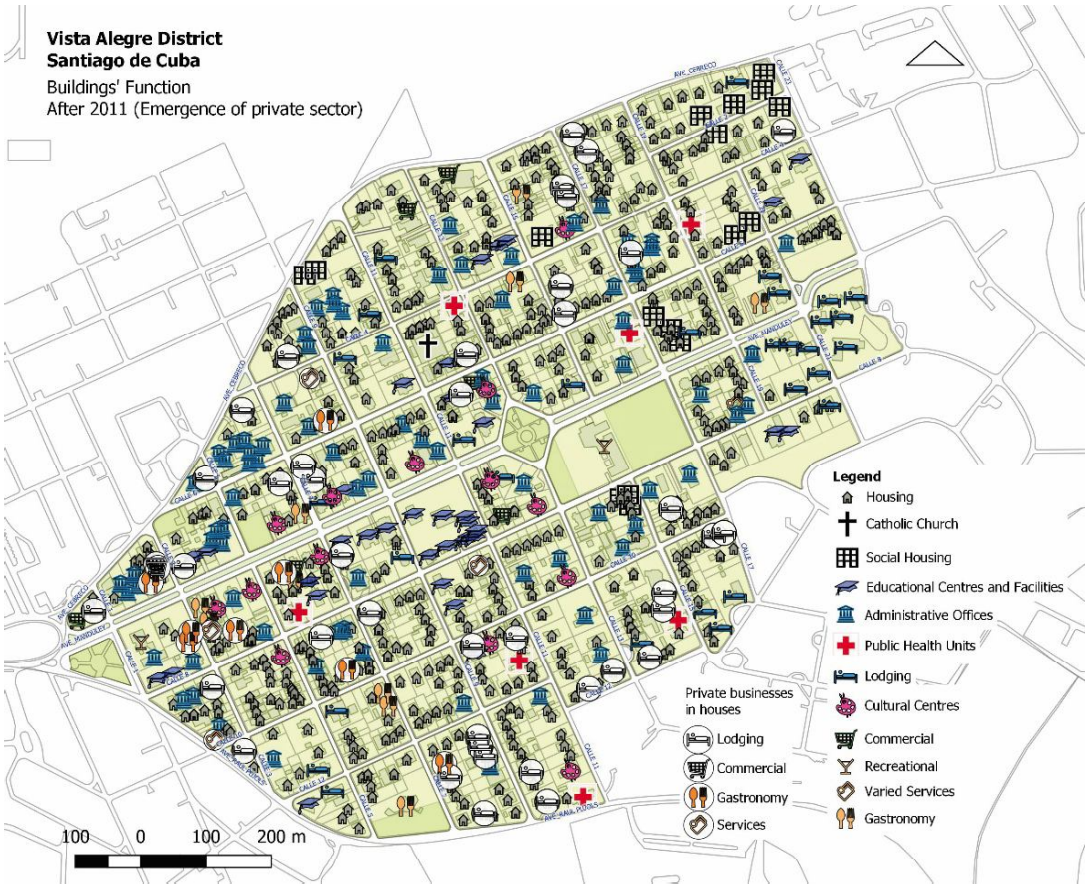

Fig. 5.13: *Private businesses, emerging new functions hosted by the District since 2011. Author, 2018*



Fig. 5.14: *Recovered vs deteriorated houses. Author, 2018*

economic scarcities. In this sense, a dichotomy is arising: on the one hand, many families cannot afford a major repair or regular maintenance; on the other, emerging private businesses –with the participation of foreign investors– recover deteriorated buildings on the expense of residents' displacement. The contrast between deteriorated and recovered buildings is becoming a new common image in the District. (Fig. 5.14)

In hindsight of the arguments exposed, the evolution of Vista Alegre District has been marked by changes in the political, economic and socio-cultural factors. Whereas the technological factor have not produced a substantial changeover in the District since it is only visible in the gradual introduction of different construction systems, the other factors have determined four significant periods:

1907 – 1959:

- Political: establishment of the Republic of Cuba in 1902, meaning the end of the Colonial era.
- Economic: economic growth, the development of industries like sugar cane.
- Socio-cultural: the rise of the local wealthy class, acculturation linked to the influence of the US high-class society.

The District emerged in this context and continuously grew until the consolidation of its built environment. Accordingly, this period can be set as the zero measurement point.

1959 – 1990:

- Political: Victory of the Cuban Revolution in 1959.
- Economic: most of Central Government's investments were allocated to develop social programs linked to education, public health and social housing; and to create infrastructures in rural areas.
- Socio-cultural: development of massive social programs, the decline of the wealthy class.
- Technological: the introduction of industrial construction system used to build educational centres, public health units, administrative offices and diverse services.

These factors produced a break in the site's progressive growth. The District experienced the changeover from its enclosure residential character to host public functions.

1991 – 2010:

- Politic: fall of the Socialist Bloc in Eastern Europe.
- Economic: prolonged economic crisis during the 1990s, scarcities of resources.
- Socio-cultural: different practices emerged linked to livelihood, particularly in housing, reflected in the strategy of the own-means house.

The District was profoundly affected, adverse impacts are visible in the deterioration of historic buildings and foremost, in the accumulation of alterations to urban and architectural features. A distinction within this period is the development of studies and publications about the cultural significance of the District.

2011 – Present:

- Economic: Based on the results of the fieldwork [2013-2018], the 2011 State social and economic policies are inducing changes in the socio-economic dynamics of the District. These events suggest an early stage of a new period, which is mainly reflected in the introduction of new functions linked to private businesses and the real estate market.

These periods are the basis to structure the analysis of the cause-effect association that links cultural values and socio-economic dynamics, which is conducted by adapting the DPSIR model according to the analytical sequence (Chapter 4).

5.3 Diagnosis: cause-effect association between cultural values and socio-economic dynamics

Diagnosis aims to determine the causes of alterations and decay of character-defining elements by addressing the cause-effect association between cultural values and socio-economic dynamics. To this end, the DPSIR model is applied following the logic defined in Chapter 1: changing socio-economic dynamics are driving forces that pressure meanings and perceptions of cultural values, leading to changes in the state of Vista Alegre District, which result in impacts to character-defining elements. Accordingly, the results are presented in two tables; the first table summarises each period's socio-economic dynamics considering the political, economic,

socio-cultural and technological factors. It is necessary to note that, some of these factors are summarised taking into account different levels, i.e. international, national, and local, since social or economic phenomena in the local context can be the consequence of both, international and national events. Also, the summary of events, facts or phenomena is linked to the PEST analysis pertaining to the anamnesis stage, and to the explanation developed in Chapter 3.

The second table exposes the identification and assessment of cultural values based on their perceptions and meanings as undergoing the effects of socio-economic dynamics. The volume of primary, secondary, and qualitative data collected supports this reasoning; therefore, recurrent references to annexes are made in order to provide the information that substantiates the interpretation of values. Subsequently, this reasoning is synthesised for each period. (**¡Error! No se encuentra el origen de la referencia.**, Tables 5.3 – 5.10)

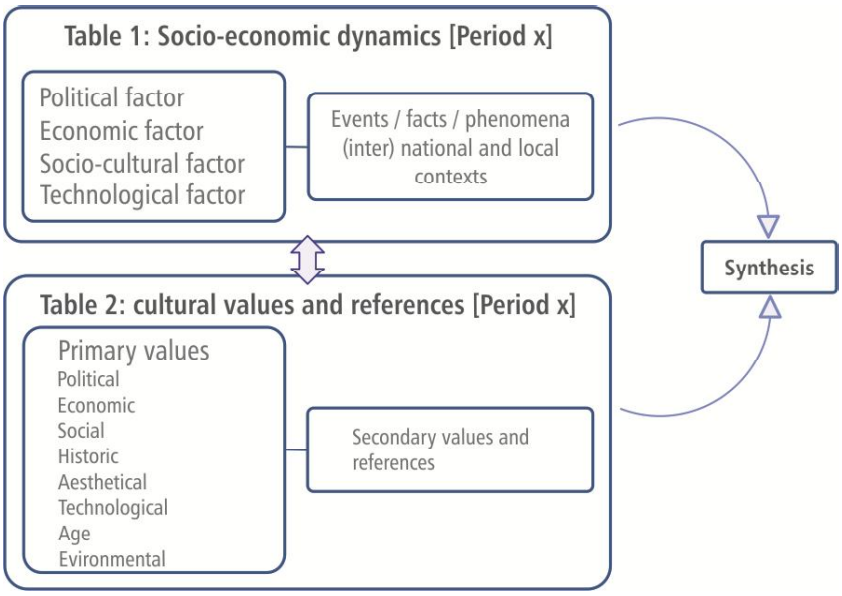

Fig. 5.15: *Structure of the reasoning that interrelates socio-economic dynamics and cultural values. Author, 2018*

Finally, all links about a specific value and between different cultural values are depicted in a graphic that summarises all four periods. The purpose of this graphic is to map processes of transformation, preservation, decay and elicitation of cultural values over time through visuospatial reasoning. The understanding of the "threads" that interconnect cultural values helps to deduce which are the causally related events that determined either the deterioration or preservation of the District's character-defining elements.

Table 5.3: SOCIO-ECONOMIC DYNAMICS [1907-1958]
Political factor 1902 Establishment of the Republic of Cuba 1906-1909 Second US intervention in Cuba 1909-1958 Different Governments politically and economically associated with the US. *Local context* Santiago de Cuba consolidated as the country's second most important city, and capital of the largest province, at that moment so-called *Oriente* (integrated by the current five Eastern provinces)
Economic factor Economic dependence on the US due to commercial treaties between the two countries. (Gregory, 2011) Gradual economic growth primarily linked to the sugar industry. *Local context* Exploitation of copper, iron, and different types of rock quarries. Consolidation and emergence of local wealthy class linked to rum, sugar, coffee, and mining industry (De Las Cuevas Toraya, 2001)
Socio-cultural factor Consolidation and emergence of the new wealthy class. Introduction of foreign influences related to modernism in urban planning, primarily from the US, but also from Europe. Introduction of diverse architectural styles: Neoclassic, Neocolonial, Eclecticism, Art Deco, Art Nouveau, California Missionary, Mediterranean, Streamline Moderne and Rationalism. Consolidation of El Vedado and El Carmelo Districts in Havana. *Local context* Proposals of development plans for the city of Santiago de Cuba. Wealthy class in need of a new place to live linked to "modernity", and influenced by living standards from the United States. (Fleitas Monnar, 2009)
Technological factor Development of train and railroad infrastructure because of the growth of the sugar industry. Development of the construction materials industry Introduction of steel and concrete as a construction technique. (De Las Cuevas Toraya, 2001) ***Local context*** Introduction of an electric train in the city. Development of the tramway. Development of urban infrastructures: electricity, water supply, and collection of residuals. (Muñoz, 2007)

Table 5.4: ZERO MEASUREMENT POINT [1907-1958]
Primary and secondary values with their references (meanings and perceptions)
Political *Symbolic:* Vista Alegre District emerged and developed as a symbol of power, authority and prosperity of the wealthy class in Santiago de Cuba.
Social *Allegorical*: The District as a whole reflected the hierarchy of the wealthy class. The style, materials, and proportions of buildings represented their economic status and wealth. (Annex 5.1 and Annex 5.2)
Economic *Use*: The District was originally conceived to host housing. (Annex 5.6)
Aesthetical *Conceptual*: The District reflected the materialisation of conceptual intentions in the urban layout and in buildings. These features were influenced by concepts of urban planning developed in the US and Europe and by different architectural styles introduced in Cuba from late 19th until the first half of the 20th century (Annex 5.1)
Scientific *Technological*: Both, the urban layout and buildings reflected the skillfulness on the use of construction techniques and materials. This dexterity is visible in the alignment of streets and blocks, and the quality of the diverse constructive typologies and architectural features (roofs, slabs, columns, capitals, balusters, cornices, doors, windows, ironworks) (Annex 5.2)
Ecological *Spiritual:* The District reflects harmony between the built environment and the natural setting. The urban layout and buildings were adapted to the climate conditions of the geographical setting. Public, semipublic and private green areas (parks, parterres, gardens, porches and backyards) were conceived as part of the fundamentals. (Annex 5.13)

Table 5.5: SOCIO-ECONOMIC DYNAMICS [1959-1990]
Political factor 1959 Socialist Revolution 1961 Rupture of Diplomatic relationships with the United States 1962 US Embargo to Cuba 1960s Cuba allied the Socialist Bloc in Eastern Europe
Economic factor 1960s Economic decline due to the US Embargo 1972 Cuba joined the Council for Mutual Economic Assistance (CMEA) 1960s Nationalization of industries
Socio-cultural factor Migration waves, mainly from the wealthy class. Around 173,000 people left the country between 1960 and 1964. (Aja Díaz, 2010) Development of educational and public health programs. (Ruiz Hernández, 2008; Reyes Velázquez and González González, 201) Development of social-housing programs in the outskirts of cities and towns. (González Couret, 2009) *Relevant activities directly linked to cultural heritage:* 1977 Act 1 and Act 2 enacted explicitly for the protection of cultural heritage 1981 Cuba adopts the WH Convention 1980s Two historic centres inscribed in the WH List. ***Local context*** Families emigrated leaving behind their goods in Vista Alegre. The state appropriated and expropriated some of the goods. New functions appeared as a result of social programs (educational centres, health centres and public administrative offices) Social housing was introduced in different areas of the city, including Vista Alegre *Relevant activities directly linked to cultural heritage:* 1986 Creation of the Technical Office for Conservation and Restoration of Monuments in Santiago de Cuba
Technological factor Introduction of technologies, machinery and pre-fabricated construction systems from the Socialist Bloc in Eastern Europe. (De las Cuevas, 2001)

Table 5.6: CULTURAL VALUES [1959-1990]
Primary and secondary values with their references (meanings and perceptions)
Political *Symbolic* (transformed): until 1959, Vista Alegre District was a symbol of social segregation and inequality since it represented the power and status of the wealthy class. After 1959, the District transmuted as a symbol of the programs developed by the Socialist Revolution, reflected in the new functions introduced. *Management* (new value): Vista Alegre District was part of Government's social programs as new public functions were introduced (education, public health). (Annex 5.6)
Social *Allegorical* (transformed): before 1959 the District reflected the hierarchy and status of the wealthy class, this allegorical perception changed after 1959 given by the introduction of social housing. (Annex 5.9) *Emotional individual* (undermined): The results of interviewing descendants of original families suggest that new socio-economic dynamics eroded their memory and personal life experience. (Annex 5.5) *Emotional collective* (undermined): New socio-economic dynamics weakened original residents' notions of cultural identity, motivation and pride, and sense of "place attachment", as stated by themselves. (Annex 5.5) *Emotional collective* (new): communal value given by the introduction of social housing together with educational and public health programs. (Annexes 5.6 and 5.9)
Economic *Use* (continued): The original function of the District to host housing continued. Social housing buildings were introduced in available lots, and some of the abandoned properties were transferred to people with relevant achievements in their careers, mainly linked to army forces and sports. (Annex 5.6) *Use* (new): Some buildings were re-use for new (public) functions: administrative offices, educational, health and recreational centres, and cultural institutions. (Annex 5.6)
Aesthetical *Conceptual* (decayed): This value started to decline as alterations jeopardised the integrity of urban and architectural features, meaning the decay of original conceptual intentions. (Annexes 5.7, 5.11 and 5.12)
Scientific *Technological* (decayed): The accumulation of adverse alterations jeopardised the integrity of the District as a testimonial of the skillfulness on the use of construction techniques and materials. (Annexes 5.7, 5.11 and 5.12)
Ecological *Spiritual* (undermined): The harmony and balance between the built environment and open (green) areas were altered by paving or by building (mainly) sentry boxes, parking lots and car porches. (Annexes 5.7, 5.11 and 5.12)

Table 5.7: SOCIO-ECONOMIC DYNAMICS [1990-2011]
Political factor 1989-1991 Fall of the Socialist Bloc in Eastern Europe 1962-present, US Embargo to Cuba
Economic factor 1990s Prolonged economic crisis. Reduction of investment in the construction industry. Generalised scarcities and shortcomings
Socio-cultural factor Deprived livelihood The problem of the lack of housing aggravated. Potentiation of the concept of a house built by "own-means" (Gonzalez Couret, 2009) *Built heritage conservation relevant activities:* Creation of City Historian/Conservation Offices Development of the literature and research projects related to historic districts like Centro Habana, Cerro, El Vedado and Miramar. *Local context* Subdivision of houses due to relatives' separation, or the need to create additional rooms for growing family. The emergence of "own-means" houses in different areas of the city. The population of Vista Alegre District reflected a diversity concerning the level of education, type of employment and average salary. (CEPDE, 2010; Rodríguez Gómez et al., 2015) *Built heritage conservation relevant activities:* 1996 Creation of the City Conservation Office in Santiago de Cuba Development of the literature and research projects related to Vista Alegre District as a historic urban area 2009 One building listed as Local Monument in Vista Alegre District 2010 The City Conservation Office conducted restoration works in the former residence of the Bosch Family, today *Palacio de Pioneros* (López, 2012) 2011 The Territorial and Urban Planning Department of Santiago de Cuba designated Vista Alegre District as "Zone of Touristic Interest" due to its cultural significance, as stated in the 2011 Territorial and Urban Plan for Santiago de Cuba. (DPPF-SCU, 2011)
Technological The economic crisis determined a stagnation in the technological factor

Table 5.8: CULTURAL VALUES [1990-2011]
Primary and secondary values with their references (meanings and perceptions)
Political *Symbolic* (continued): The District maintained the new functions introduced after 1959; therefore, it continues being a symbol of the Socialist Revolution social programs. *Management* (continued): The District maintained its potential to host public functions.
Social *Allegorical* (disappeared): the District no longer reflected a hierarchy or social status. *Emotional individual* and *Emotional collective* (undermined, continuity): Considering the zero measurement point of these values and the results of interviewing both, residents and original families' descendants, these meanings continued being undermined since socio-economic dynamics eroded the memory and personal life experience and notions related to cultural identity, motivation and pride, and sense of "place attachment". *Emotional collective* (continued): social and cultural programs continue in the District.
Economic *Use* (continued): The District maintained its potential to host housing. *Use* (continued): The District maintained its potential to host public functions.
Aesthetical *Conceptual* (decayed, continuity): The accumulation of alterations continued together with increasing deterioration of historic buildings. Own-means houses proliferated producing in most of the cases the disfiguration of the urbanscape. (Annexes 5.7, 5.10, 5.11, and 5.12)
Scientific *Technological* (decayed, continuity): Adverse alterations and increasing deterioration continued jeopardising the role of the District as a testimonial of the skillfulness on the use of construction techniques and materials.
Ecological *Spiritual* (decayed, continuity): New constructions, in particular, "own-mean" houses, undermined the harmony and balance between the built environment and open areas.
Historical (new) Studies developed by scholars highlighted the aesthetic, scientific and ecological values, and elicited the historical value, reflected in perceptions such as: *Educational*: a historic urban area from which it is possible to gain knowledge about the past in the future. *Historic-artistic* and *Historic-conceptual*: testimonial of historic stylistic and artistic movements, expressed in the urban pattern and architectural styles, which reflect conceptual signs in terms of urban planning and architecture.
Age (new) The studies that addressed the District's built environment in connection with intangible attributes elicited the age value, expressed in the perception of: *Maturity*: a historic urban area testimonial of passages and lives of past generations.

Table 5.9: SOCIO-ECONOMIC DYNAMICS [2011-PRESENT]
Political factor 2011 The Government announced new social and economic policies
Economic factor Encouragement of the private sector The opening of the real-estate market The emergence of investments promoted by foreign capital *Local context* 2012-present: Development of urban revitalisation programs promoted by the local Government. Notably, in Vista Alegre, 11 buildings with administrative offices have been reused to host eight lodging houses, and three recreational centres. The increasing activity of the real-estate market in different areas of the city. Houses in Vista Alegre District are among the most expensive in the city. The increasing new functions linked to the private sector: restaurants, lodging, bars, beauty salons, workshops.
Socio-cultural factor Families see the opportunity to reach a better economic status by selling their houses. Private owners have the opportunity to invest in their houses or to rent spaces to create small private business. *Built heritage conservation relevant activities:* The decline of relevant results in the field of built heritage conservation *Local context* The emergence of the workforce within the private sector. Development of research projects linked to Vista Alegre District as a historic urban area
Technological Increasing importation of different construction materials (e.g. ceramic tiles, cement, plumbing, furniture). (ONEI, 2017)

Table 5.10: CULTURAL VALUES [2011-PRESENT]
Primary and secondary values with their references (meanings and perceptions)
Political *Symbolic* (continued): The District maintains the functions introduced after 1959; therefore, it continues being a symbol of the Socialist Revolution social programs. *Management* (continued and reinforced): The District maintains its potential to host public functions.
Social *Allegorical* (re-emerged): To some extent, the District reflects an economic status because of the opening of the real-estate market. Houses in Vista Alegre are among the most expensive within the city; therefore, new owners who buy a property have an economic position notably different from the rest of the inhabitants. *Emotional individual* and *Emotional collective* (undermined continuity): Both, residents and original families' descendants are aware of the cultural significance of the district and express their concern regarding alterations and deterioration. (Annexes 5.4 and 5.5) *Emotional collective* (continued): social and cultural programs continue in the District.
Economic *Use* (continued): The District maintains its potential to host housing and public functions *Use* (new): The District reflects a new potential to develop small private businesses under the current socio-economic dynamics. (Annex 5.6)
Aesthetical *Conceptual* (decayed continuity): Alterations and deterioration still undermine the conceptual intentions in urban and architectural features. *Conceptual* (preservation): In both, State and private properties there is an emerging tendency of preserving buildings' formal appearance given their potential to host functions that are more suitable. In most cases, these actions lead to their conservation.
Scientific *Technological* (decayed, continuity): Alterations still threaten the role of the District as a testimonial of the skillfulness on the use of construction techniques and materials. *Technological* (preservation): Given the potential of the District in the new economic scenario, specific cases of State and private initiatives have led to conservation actions; resulting in the preservation of materials, and formal appearance of features.
Ecological Spiritual (decay continuity): The District still reflects harmony between the built environment and the natural setting. However, an accelerated decay of this value is given by new constructions in the first place, followed by the increasing tendency to use backyards to build rooms for lodging or to pave areas for restaurants.

Alarmingly, the open (green) areas have reduced 25% in the period 2012-2015. (Annex 5.14)
Historical *Educational* (continuity): Studies, research projects, and publications are demonstrating the role of the District as a historic urban area from which is possible to gain knowledge about the past in the future. *Historic-artistic and conceptual* (continuity): Studies, research projects, and publications have emphasised on the role of the District as a testimonial of historic stylistic and artistic movements. In addition, these contributions highlight the District's conceptual signs reflected in urban and architectural features.
Age *Maturity* (continuity): Studies, research projects, and publications highlight the role of the District as a testimonial of passages and lives of past generations.

1907-1958

During these five decades, the socio-economic dynamics determined the continuous development of the District in harmony with the perception of cultural values attributed to the area from its very creation. The fact that no substantial changes occurred in the political, economic, socio-cultural and technological factors influenced the harmonious balance between values. This balance derives from the interdependence between the aesthetic, scientific, and ecological values, which reflected the symbolic and allegorical perception of the District linked to the wealth of original families. As a result, the cause-effect association between socio-economic dynamics and cultural values over half a century led to the development and consolidation of the District's character-defining elements in terms of urban and architectural features.

1959-1990

The changeover in the socio-economic dynamics produced by the 1959 Socialist Revolution significantly influenced the transformation of the symbolic and allegorical values of the District. These meanings, respectively pertaining to political and social values, turned to an inverse perception because their former meaning opposed to the principles of the ideal promulgated by the nascent Government. Because of this diametric change, new political and economic values emerged, which were reflected in management policies and the functions introduced in the District, e.g. administrative offices, educational centres, and public health services. For this reason, a new emotional collective meaning linked to a communal value emerged aligned with the development of social programs.

However, the new circumstances also produced conflicts between values. Whereas the transformation of political and economic values led to the integration of the District within the broader urban public dynamics, it also undermined the social-emotional and collective values. This clash was visible in the gradual decay of aesthetical, scientific and ecological values. Considering this decline, it is necessary to note that even though over the eighties there were important achievements on the protection of built heritage (Chapter 3), all actions concentrated in historic centres and relevant monuments. As a result, the conflict between values resulted in the accumulation of alterations to character-defining elements.

1990-2011

The main characteristic of this period is the substantial change in the economic factor, which produced new phenomena within socio-economic dynamics. Nevertheless, these circumstances did not alter the interrelationships between cultural values that have already emerged in the previous timeframe [1959-1990]. Therefore, already existing conflicts between values continued since more alterations accumulated, meaning a gradual loss of character-defining elements.

Two significant processes emerged during this period of economic scarcities. There is, in the first place, a seemingly vanishing of the initial social-allegorical value as a consequence of its gradual transformation since 1959. Simply put, the District no longer reflected a social hierarchy nor an economic status given the introduction of social housing and the varied composition of the population.

In the second place, new values emerged as a result of the increasing awareness of the significance of historic urban areas detached from the traditional notion of historic centre. The growing interest visible in the literature emphasised the historic value reflected in the artistic and conceptual role of the District, and its potential as a testimonial of past generations. These new qualities elicited from the original aesthetical, technological and environmental values, which were recognised by scholars as heritage values. It is important to remark that this specific process confirms the definitions of cultural heritage, cultural values and heritage values discussed in Chapter 1, since the historical, aesthetical, technological, and environmental values, linked to character-defining elements and expressed in urban and architectural features, existed from the emergence of the District. Eventually, certain group of individuals, mainly academics, selected these values as heritage values to be preserved for future generations.

In this regard, it is noteworthy the conservation actions conducted by the City Conservation Office. These steps, along with the efforts made by scholars endorsed the elicitation of heritage values. However, actions were inconsistent and unsystematic since no institution was commissioned with integral conservation or management strategy.

2011-present

Since 2011, the country's socio-economic dynamics have been subjected to changes in the economic and socio-cultural factors. These shifts have influenced the emergence of contrasting processes in the cultural values attributed to the District. Whereas the conflict between values persists, i.e. political and economic on one side vs social, aesthetical, technological and ecological on the other, the influence of the current economic context suggests a tendency to harmonise cultural values.

The emergence of a new economic value given by the potential of the District to host diverse commercial functions is –to some extent– producing a balance between those values that have been typically undermined. A peculiar phenomenon in this context is the incipient re-emergence of the social-allegorical value reflected in the economic status of new private owners; this does not mean a hierarchical status though.

Nowadays, the urban revitalisation programs promoted by the local Government have resulted in the gradual conservation of the aesthetical and technological values of specific buildings. This process linked to public institutions reflects the awareness of decision-makers on the economic potential of the District in association with its cultural significance. In the same line, the actions undertaken by new private owners can be interpreted as a natural process that highlights the role of the District as a testimonial of stylistic and artistic movements in connection with its "new" role in the contemporary market, e.g. tourism and services.

In both cases, public and private, the preservation of styles, materials, and construction typologies are reinstating part of the traditional urbanscape considering the formal appearance of historic buildings. Accordingly, this process indicates the recognition of heritage values aligned with their exploitation as an economic resource. However, the overexploitation is also leading to breaking the harmony between the built environment and the natural setting. Therefore, the economic value is at once stimulating the conservation of architectural features and also producing the decay of character-defining elements expressed in urban features.

5.3.1 Mapping processes in the evolution of cultural values

The reasoning related to the correlation between socio-economic dynamics and cultural values is synthesised in the following Figure 6.8 according to the changes in the political, economic,

socio-cultural and environmental factors in each period. This synthesis is based on the mapping of processes over time by depicting the interrelationships or "threads" within and between cultural values. (Fig. 5.16, see also Annex 5.15)

5.3.2 Overall description of results

The description of the results obtained by mapping the cause-effect association between socio-economic dynamics and cultural values is based on the visuospatial reasoning of the horizontal and vertical interrelationships within the same cultural value and between different cultural values. The description of results encompasses the analysis from the emergence of the District (zero measurement point) until the present time.

Horizontal and vertical interrelationships within cultural values

Political values

- The political value transformed subjected to a significant change in the PEST factors in the second period [1959-1990]. As a result, the symbolic meaning of the District in the zero measurement point transformed to a different meaning. This transformation produced a new secondary value related to management since the District was made part of strategies and policies. The new symbolic and management political values of the district continued over time.

Social values:

- The original allegorical value in the zero measurement point transformed because of the change in the PEST factors in the period 1959-1990. Eventually this value disappeared under the same conditions; however, it re-emerged when there was a change in the economic factor in the period 2011-present, even though the political factor did not change.
- The original emotional value related to memory and personal life experiences has been undermined due to the change in the PEST factors in 1959, this process continued over time.
- A new emotional collective value linked to communal value emerged as a result of the change in the PEST factors in 1959, this process over time.

Economic values:

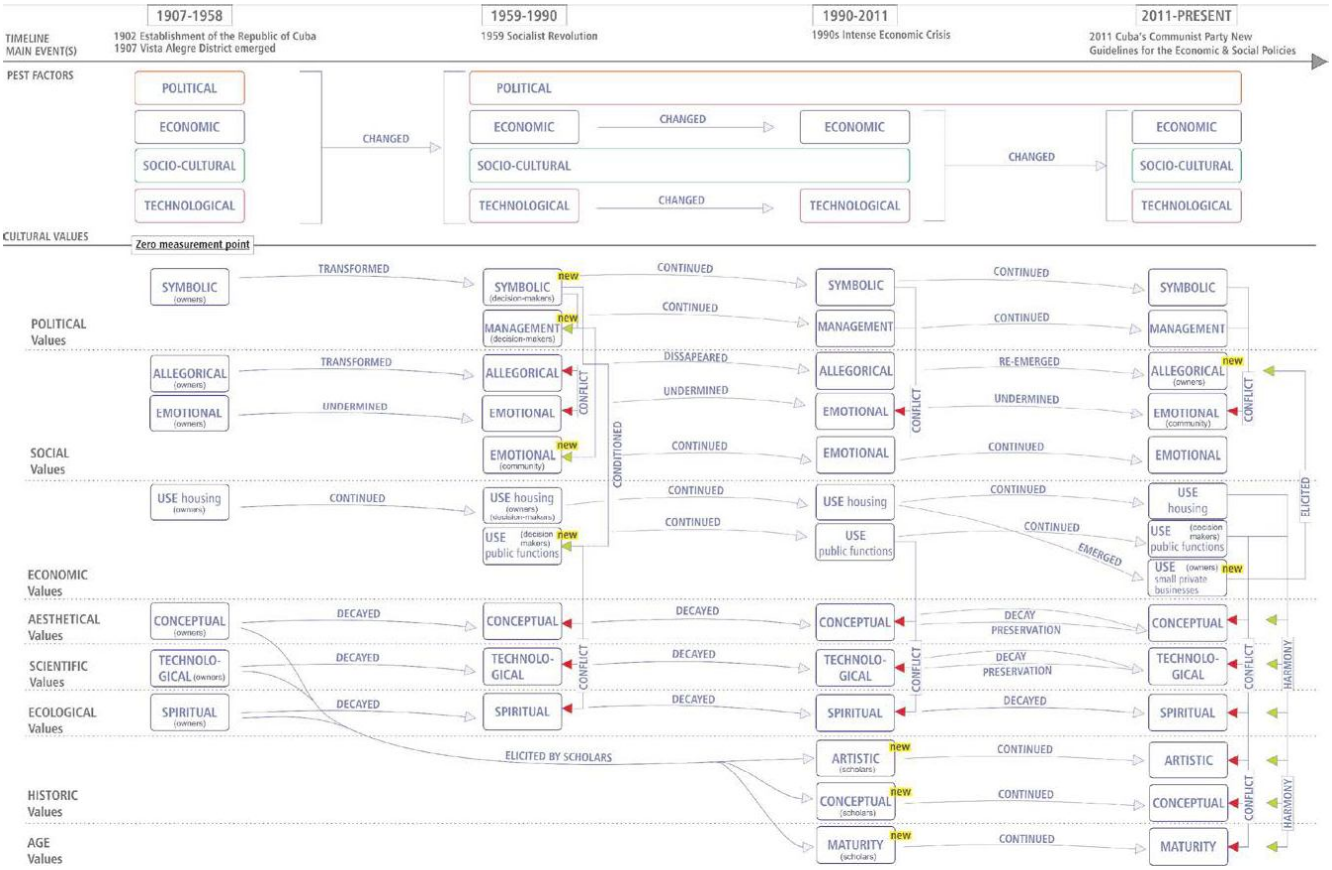

Fig. 5.16: *Processes within and between cultural values attributed to Vista Alegre District, as undergoing the effects of socio-economic dynamics [1907-present]. Source: Author, 2018. See also Annex 5.15*

- The original use value related to housing continued over time. In the last period [2011-present], a change in the economic factor produced a new value linked to the original use and new functions linked to small private businesses.
- A new value linked public functions emerged due to the change in the PEST factors in 1959. This new value continued over time.

Aesthetical values:

- The conceptual values related to the materialisation of the District's conceptual intentions has decayed over time due to a change in the PEST factors in 1959. A tendency to preserve this value emerged in the last period [2011-present], given by changes mainly in the economic and socio-cultural factors. This value was recognised as a heritage value in the period 1990-2011, this recognition continues until present time.

Scientific values:

- The technological value regarding the skillfulness on techniques and materials has decayed over. This decay is given by a change in the PEST factors in 1959. A tendency to preserve this value emerged in the last period [2011-present], because of the changes mainly in the economic and socio-cultural factors.

Ecological values:

- The spiritual value related to the harmony between buildings and the environment has decayed over time because of changes in the PEST factors in the period 1959-1990.

Historic values:

- In the period 1990s-2011, scholars elicited the artistic and conceptual values related to the role of the District as a testimonial of stylistic and artistic movements. The recognition of these values as heritage values continues until the present time.

Age:

- In the period 1990s-2011, scholars elicited the maturity value, related to the role of the District as a testimonial of past generations; this value continues until the present time.

Horizontal and vertical interrelationships between cultural values

- The transformation of the political value due to the change in the PEST factors in 1959 produced a conflict with the allegorical and emotional values of the first period [1907-1958].

- The emergence of the political management value in 1959 produced conflicts with the aesthetical, scientific and ecological values. These conflicts resulted in the decay of the values linked to the District's character-defining elements.
- The transformation of the political-symbolic value conditioned the emergence of new economic value concerning the use of the District for public functions.
- The emergence of new economic value due to the changes in the PEST factors in the period 1959-1990 concerning public functions produced a conflict with the aesthetical, scientific, and ecological values. This conflict determined the decay of these values; reflected in alterations to character-defining elements. Therefore, it also produced conflicts with the historic and age values.
- During the period 1990-2011, scholars elicited historic and age values from the original aesthetical, scientific, and ecological values. Accordingly, scholars recognised these values as heritage values.
- The new meanings of the economic value in terms of public and private functions during the period 2011-present is producing a harmony with the aesthetical, scientific, and ecological values. Therefore, it also determines a consistent balance with historic and age values.

5.3.3 Discussion of results

By identifying repetitive patterns, as well as unique and contradicting events in the mapping of the cause-effect association between cultural values and socio-economic dynamics it is possible to infer that:

The most changing cultural value is the social-allegorical value related to the original social hierarchy/status meaning of the District. The initial meaning of this value gradually transformed to an opposite meaning, leading to its eventual disappearance. However, its recent re-emergence is one of the most unexpected finding considering the local socio-economic context. This re-emergence is given by the real-estate market activity; new owners have a different economic status compared to the average income of the local community. Therefore, there is an early return to the initial allegorical value.

The economic value of the District concerning its residential character is the most steady over all values. This situation process suggests that housing remains as the most suitable use for the District.

Alternatively, the economic value has been as well the driver for creating new values visible in the public functions, and the recent new functions related to the private sector. New economic values give an account of the flexibility of the District to host different functions and to adapt to new socio-economic circumstances. However, these new values have typically determined the decay of the District's aesthetical conceptual intentions and the traditional knowledge of local materials and construction techniques.

It is noteworthy that the current socio-economic dynamics [Period 2011-present] have produced a change in the course of actions related to economic values. New economic values are leading to the preservation of individual buildings, conserving their original conceptual intentions. However, in this tendency, the knowledge that goes with the District as a whole is not always preserved since urban features remain unattended.

The original aesthetic, scientific, and environmental values have created a solid awareness to values linked to character-defining elements of the District visible in the efforts made by scholars to recognise the significance of the area. This outcome was expected considering the growing interest among academics to preserve the built heritage at the national level.

In summary, the changes in the socio-economic dynamics since the emergence of Vista Alegre District have determined different processes in the perception and meanings of cultural values, producing alterations to urban and architectural features. The transformation of political, economic and social values has been typically the factor that influences either the conservation or the decay of the aesthetical, technological and environmental values. Otherwise stated, the values closely linked to the District's character-defining elements are more vulnerable to changes in the socio-economic dynamics.

Processes between different values indicate that conflicts are likely to appear when the socio-economic dynamics determines contradictions between the perception of the political and the meaning of social, aesthetical, technological and environmental values. Moreover, the cause-

effect association over time between socio-economic dynamics and cultural values in Vista Alegre reveals that the unbalance between values influenced by political, economic, and socio-cultural factors is likely to become a threat to the integrity of character-defining elements. Therefore, in current circumstances, preventive conservation actions should be delineated considering a twofold objective. Firstly, to devise strategies aimed at harmonising the perception of cultural values, and secondly, to establish a monitoring framework in order to identify the threats, risks and vulnerabilities in their early stage.

5.4 Insights towards therapy and control addressing cultural values and socio-economic dynamics

In accordance with the results revealed by conducting the anamnesis and diagnosis stages in the case study, two principles should be put forward regarding preventive conservation strategies. Firstly, the changes in the socio-economic dynamics are unavoidable. These processes are inherent to the evolution of society and are determined by political, socio-cultural, economic, and technological factors. Consequently, the different phenomena pertaining to these changes produce transformations in the built environment.

This cause-effect association leads to the second principle: Vista Alegre District concentrates heritage values primarily visible in its historic, aesthetical, technological and environmental significance. Therefore, the District is a heritage asset to be preserved regardless of the lack of a specific legislation or administrative heritage designation, i.e. Local or National Monument.

In this regard, the perception and meanings of cultural values play a crucial role in the preservation of the District as a historic urban area. Accordingly, preventive conservation strategies should seek alternatives to deal with the effects of changes along with the safeguarding of Vista Alegre's character-defining elements. The interrelation between cultural values and socio-economic dynamics showed that these alternatives are possible when values are perceived harmoniously. Put differently, the causes of the District's decay can be addressed by consistently balancing meaning and perceptions of different cultural values.

Therefore, more emphasis should be put on scientific research addressing the potential of the District as a heritage asset. Likewise, research actions should focus on reinforcing the general awareness regarding the aesthetic, technological and environmental values. This awareness

must be supported on strengthening the stability of the economic use value related to housing. Otherwise stated, effort should concentrate on raising awareness on the role that the District plays as:

- A testimonial of stylistic movements developed in Cuba during the first half of the 20th century.
- A historic document that shows the integral materialisation of urban planning and conceptual intentions.
- An example of traditional local construction techniques, typologies and materials.
- A collection of pieces of architecture, which demonstrate the harmony with their surrounding environment.

The emphasis on these features is likely to produce a general awareness on the role that this historic urban area plays as a testimonial from which is possible to gain knowledge about past generations and traditions in Santiago de Cuba.

Moreover, a vital issue to resolve is the integration of the economic values related to public functions and small private businesses with the rest of the values. Some experiences visible in State and private initiatives can serve as references to harmonise the revitalisation of character-defining elements with the diversity of the District's potential functions; showing its capacity to adapt to new challenging circumstances.

Equally important is to reach the harmony between political and social values. That is to say, the role that the District plays in strategies and policies should be balanced with personal life experiences and the sense of place attachment. In this regard, current decision-making strategies should be based on participatory processes through the active involvement of the community. Community involvement should neither be limited to a consultation activity where locals decide between different proposals, nor to informative processes aimed at looking for people's approval of an already commissioned project. Instead, community involvement is about the reconciliation of community needs and interests in decision-making while planning development from a professional and strategic perspective.

These measures can be controlled in the short and long-term by analysing the interrelationships within and between values. For instance, if in the future the values that are linked to character-defining elements become stronger, and the political values and economic values related to management and new functions are no longer affecting social values related to local identities, then therapy is working. These interrelationships can be examined by conducting new surveys to assess the adverse impacts on urban and architectural features, as well as new surveys to inhabitants. The data collated in the context of this research, and the GIS database created for its management, are crucial sources of information and tools for future research and condition assessments.

5.5 Partial conclusions

The application of the analytical sequence to Vista Alegre District led to provide insights for preventive conservation strategies based on the effects produced by the interrelation between cultural values and socio-economic dynamics. Four main periods determined the development consolidation, decay and in some cases preservation of character-defining elements, which are primarily expressed in urban and architectural features, as stressed in the literature. The findings revealed the processes that, subjected to changes in the political, economic, socio-cultural, and technologic factors since the emergence of the District [1907] until present time, determined different meanings and perceptions of cultural values, as well as interactions between them.

Determining this cause-effect association helped to infer processes like transformation, decay, continuity, elicitation, emergence, preservation, conflicts and harmony between values. In different periods, these processes have influenced the development, consolidation, loss and preservation of Vista Alegre District's character-defining elements linked to urban and architectural features. Such processes also pointed out that conflicts generally appeared when the socio-economic dynamics determined contradictions between the perception of the political and the meanings of social, aesthetical, technological and environmental values. Moreover, the unbalance between values influenced by political, economic, and socio-cultural factors usually threatened the integrity of character-defining elements.

Therefore, in Vista Alegre District, preventive conservation strategies should seek to harmonise meanings and perception of cultural values, and should foster alternatives to deal with the

unavoidable effects of socio-economic dynamics along with the safeguarding of character-defining elements. These strategies should be based on integrated actions to raise awareness on the aesthetic, scientific and environmental values; to encourage housing as the most suitable use together with the District's capacity to host diverse functions, and to promote the active involvement of the community on decision-making processes.

GENERAL CONCLUSIONS

RECOMMENDATIONS

GENERAL CONCLUSIONS

Considering the reasoning exposed in this research, it is possible to state that the specific objectives and the overall objective were achieved; hence, the answers to the research questions can be summarised with the following final statements:

The changing nature of social and economic phenomena, which are mainly driven by political, economic, socio-cultural and technological factors, represent a challenge to the conservation of historic urban areas. During last decades of the 20th century, these phenomena have been a permanent concern among international organisations like UNESCO, heritage-related institutions and scholars from different countries. In the specific case of Cuba, a sequence of changes in the socio-economic dynamics has threatened the integrity and authenticity of historic urban areas over the last decades.

Meanings and perceptions of cultural values attributed to historic urban areas are subjected to time- and context- specific political, economic, socio-cultural and technological factors. The influence of these factors on the values attributed to these areas is likely to produce a twofold effect. Whereas it can contribute to the conservation of character-defining elements, it can

simultaneously work in the opposite direction. As a result, a cause-effect association defines the interrelation between cultural values and socio-economic dynamics; this association produces diverse processes that determine the preservation of urban and architectural features.

These processes also influence the elicitation of heritage values, which are linked to the qualities selected by certain group to be preserved for future generations. Understanding these processes assists in delineating guidelines that can link the value-management approach with preventive conservation strategies. Both approaches, acknowledged by different authors, are sustainable alternatives to address the conservation of built heritage.

In the last decades, the preventive conservation of built heritage has emerged as an alternative to traditional "curative methods" since it is based fundamentally on monitoring and regular maintenance. Preventive conservation focuses on the causes of decay to avoid or reduce undesirable effects; it also stimulates community involvement in conservation actions. Therefore, it has arisen as a sustainable approach since it aims at reducing intervention costs by promoting systematic actions to preserve authenticity and heritage values as non-renewable capitals.

The PRECOM^{3}OS UNESCO Chair has promoted theoretical and methodological advances on the knowledge of preventive conservation, as well as practical implementations like the Preventive Conservation Plan for Cuenca. These advances have focused primarily on the physical deterioration of historic buildings, emphasising on the protection of heritage values. Therefore, broader notions like historic urban areas, which include spatial configurations, materials, forms, location, uses and cultural associations and meanings, had been scarcely addressed from this perspective. In addition, the interrelationship between cultural values and socio-economic dynamics as a cause that influences the preservation of built heritage had not been integrated into the context of preventive conservation.

Reviewing different authors' approaches on preventive conservation, and key international policy and guidelines documents on the preservation of urban areas helped to theoretically reformulate the preventive conservation cyclical framework (anamnesis, diagnosis, therapy and control) to address historic urban areas.

In the specific context of Cuba, the efforts to preserve historic urban areas are concentrated in the local notion of historic centres. This fact determines that other urban areas, including the case study, lack of conservation and management strategies since no specific bodies commissioned with their conservation have been established. Also, these areas have not been listed nor designated as heritage in terms of legal administrative procedures; consequently, there are not regular maintenance actions. As a result, integrated approaches are needed to preserve these areas from decay; in this regard, the preventive conservation approach is an alternative to safeguard their character-defining elements.

Accordingly, the development of the analytical sequence, aimed at providing insights for preventive conservation strategies by understanding the cause-effect association between cultural values and socio-economic dynamics. To this end, the review of the literature helped to define different approaches, methods and techniques for the breakdown of each concept and their further integration. Tarrafa and Pereira's typology of cultural values, PEST analysis, the DPSIR model, and various tools from the technic, social and geospatial sciences together with different ICT resources, assisted in structuring the logical reasoning for collating primary, secondary, and qualitative data. This multidisciplinary toolbox approach was developed consistent with the preventive conservation cyclical framework.

The analytical sequence emphasised on the anamnesis and diagnosis stages since therapy and control determine actions that are more practical. Anamnesis entailed the identification and condition assessment of character-defining elements, together with the understanding of the evolution of the historic urban area in correspondence with political, economic, socio-cultural and technological factors. Subsequently, the diagnosis comprised the identification and assessment of cultural values by establishing their interrelation with socio-economic dynamics, which led to reveal the cause-effect association between these concepts, and their influence on the preservation of character-defining elements. The results of these stages assist in providing insights for therapy and control.

The application of the analytical sequence to the case study of the Vista Alegre District helped to determine that:

- The cause-effect association between cultural values and socio-economic dynamics during the evolution of Vista Alegre District [1907-present] has determined processes like transformations, decay, continuity, elicitation, emergence, preservation, conflicts and harmony between perceptions and meanings of values.
- In different periods, these processes have influenced the development, consolidation, preservation and gradual loss of character-defining elements expressed in urban and architectural features. For that reason, the insights for the preventive conservation of the Vista Alegre District should foremost seek the balance and harmony among the cultural values attributed to it. The findings also suggest the need to raise awareness mainly on the significance of aesthetical, scientific and environmental values, as they have been the most affected.
- Mapping the interactions between values helped to infer the need to harmonise the political, social and economic values by emphasising on the advantages of preserving the group of values which are closely linked to character-defining elements; i.e. aesthetical, scientific, environmental, historical, and age.

In general terms, this research provided theoretical, methodological and practical contributions linked to the knowledge of preventive conservation. Therefore, it can be considered as a framework to contribute to the conservation and management of historic urban areas by facing the challenges posed by diverse social and economic phenomena.

RECOMMENDATIONS

In accordance with the objective, the scope, the results and findings of this research, several recommendations are to be considered:

- To generalise and systematise this research to stakeholders, particularly, to cultural-heritage institutions at the national and local levels who can use and improve the results by applying them in practical actions. Specifically, the City Conservation Office of Santiago de Cuba, and the bodies linked to the *Red de Oficinas del Historiador y Conservador de la Ciudades Patrimoniales de Cuba* (Network of Historian and Conservation Offices of Cuban Historic Cities).
- To disseminate the knowledge on the preventive conservation of built heritage at the national level, as an emerging approach that contributes to sustainable conservation strategies.
- To continue research on historic urban areas in Cuba beyond the typical notion of historic centre in order to influence on their preservation as non-renewable heritage capitals.
- To deepen the subject related to cultural values and socio-economic dynamics since other meanings, perceptions, and diverse phenomena that were not considered may influence on the preservation of urban and architectural features.
- To apply the analytical sequence developed in Chapter 4 in further research to introduce other elements to be analysed in accordance with different cultural contexts.
- To make available the contributions of this research to the academic community and students, particularly, the volume of data about the Vista Alegre District that was integrated into the GIS-based tool.

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Zúñiga, Marcelo. ‘Desarrollo de Un Sistema de Información Patrimonial (HIS): El Caso Del Centro Histórico de Cuenca’. In *II Encuentro PRECOM3OS Seminario. Taller de Tecnologías y Restauración de Obras En Tierra*, edited by Fausto Cardoso, Catalina Rodas, Soledad Moscoso, and Gabriela Pacají. Cuenca, Azuay, Ecuador: Proyecto vlirCPM ‘World Heritage City Preservation Management’, 2011

Consultation with experts (alphabetical order):

Dr. Ana Pereira Roders, Associate Professor in Heritage and Sustainability at the Eindhoven University of Technology. Expert on the Historic Urban Landscape approach.

Dr. Andreas Georgopoulos, president of CIPA-heritage documentation

Dr. Fausto Cardoso, founder of the PRECOM^{3}OS UNESCO and head of the VLIR CPM Project in the city of Cuenca.

Dr. Koenraad Van Balen, holder of the PRECOM^{3}OS UNESCO Chair and Director of the Raymond Lemaire International Centre for Conservation, KU Leuven, Belgium

Dr. Mario Santana, board member of ICOMOS and vice-president of CIPA-heritage documentation

Dr. Patricia Rodríguez Alomá, Director of the Plan Maestro, Office of the Historian City, Old Havana

Gustavo Araoz, former president of the International Council on Monuments and Sites (ICOMOS).

Minja Yang, President of the Raymond Lemaire International Centre for Conservation, KU Leuven, and UNESCO expert.

ANNEXES

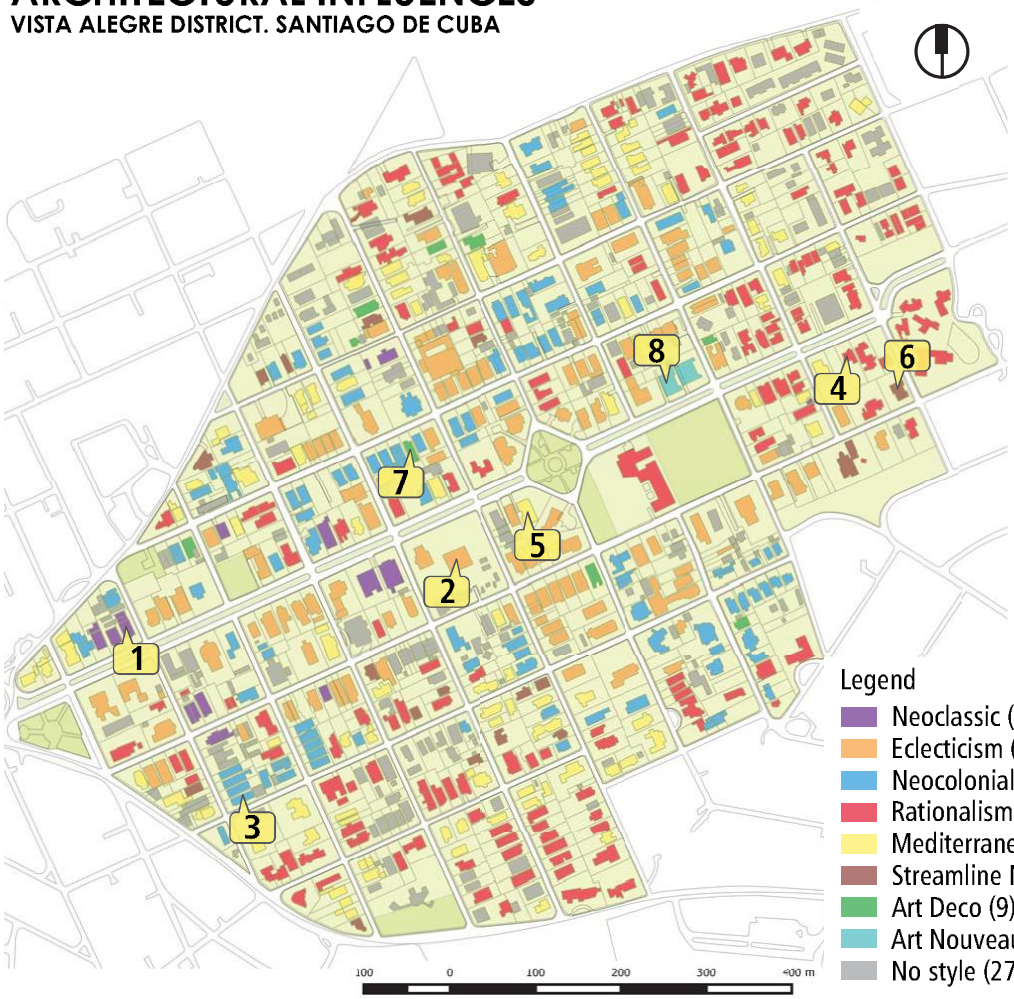
ANNEX 2.1 SUMMARY OF THE LITERATURE ON PREVENTIVE CONSERVATION

Title	Year	Scope	Aim	Addresses	Agent	Author(s)	Publication	URL
Atmospheric aerosol monitoring as a strategy for the preventive conservation of urban monumental heritage: The Florence Baptistery	2011	Building	Monitoring	Nature factors		N Ghedini, I Ozga, A Bonazza, M Dilillo 3	Atmospheric Environment	https://www.sciencedirect.com/science/article/pii/S1352231011000890
Three-dimensional virtual models for better comprehension of architectural heritage construction techniques and its maintenance over time	2012	Building	Maintenance	Nature / Human factors	3, 4, 6	D Oreni, B Cuca, R Brumana	Euro-Mediterranean Conference	https://link.springer.com/chapter/10.1007/978-3-642-34234-9_55
Towards a methodology for 3D content models: The reconstruction of ancient vaults for maintenance and structural behaviour in the logic of BIM management	2012	Building	Maintenance	Nature / Human factors		4 D Oreni, B Cuca, R Brumana	IEEEXplore Digital Library	https://ieeexplore.ieee.org/abstract/document/6365961
Defining Criteria for Intervention in Earthen-Built Heritage Conservation	2014	Building	Maintenance	Nature factors	4, 5	M. R. Correia	International Journal of Architectural Heritage	https://www.tandfonline.com/doi/abs/10.1080/15583058.2012.704478
Natural stones for monuments : their availability for restoration and evaluation	2010	Building	Maintenance	Nature factors		4 R. Přikryl, Á. Török	Geological Society, London, Special Publications	http://sp.lyellcollection.org/content/333/1/1.short
Preventive conservation for historic house museums	2010	Building	Maintenance	Nature factors		4 J Merritt, JA Reilly		https://scholar.google.com.co/scholar?cluster=4644502211736091 3&hl=en&as_sdt=0,5
City scale assessment model for air pollution effects on the cultural heritage	2011	Building	Risk/impact assessment	Nature factors		D De la Fuente, JM Vega, F Viejo, I 7 Díaz	Atmospheric Environment	https://www.sciencedirect.com/science/article/pii/S1352231011001360
Preventive Conservation of Historic Buildings	2015	Building	Theory	Nature / Human factors		K. V. Balen	Restoration of Buildings and Monuments	https://www.degruyter.com/view/j/rbm.2015.21.issue-2-3/rbm-2015-0008/rbm-2015-0008.xml
Experimental assessment of a wireless communications platform for the built and natural heritage	2016	Building	Monitoring	Nature / Human factors		4 MI Martínez-Garrido, R Fort -	Measurement	https://www.sciencedirect.com/science/article/pii/S026322411500696X
Management of built heritage via HBIM Project: A case of study of flooring and tiling	2016	Building	Management	Nature / Human factors	4, 6	JE Nieto, JJ Moyano, FR Delgado	Repositorio institucional UPV	https://riunet.upv.es/handle/10251/69340
How can science connect with and contribute to conservation? Recommendations and reflections	2015	Building	Theory	Nature / Human factors	4, 6	AW Brokerhof	Studies in Conservation	https://www.tandfonline.com/doi/abs/10.1080/00393630.2015.1117859
Installation of an environmental monitoring system in the Chapel of Our Lady of Guia, Macau	2016	Building	Monitoring	Nature factors	3, 7	Z Tang, SB Dai	Studies in Conservation	https://www.tandfonline.com/doi/abs/10.1080/00393630.2016.1166017
The cost effectiveness of continuous maintenance for monuments and historic buildings	2010	Building	Maintenance	Nature / Human factors	3, 4, 6, 7	D Kutasi, I Vidovszky	Periodica Polytechnica Architecture	https://pp.bme.hu/ar/article/view/13
Documentation in World Heritage conservation: Towards managing and mitigating change–the case studies of Petra and the Silk Roads	2012	Archaeological site	Risk/impact assessment	Nature / Human factors	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	O. Vlkolás, G. Cesaro, M. Santana, K. Van Balen	JOURNAL OF CULTURAL HERITAGE MANAGEMENT AND SUSTAINABLE DEVELOPMENT	https://www.emeraldinsight.com/doi/abs/10.1108/20441261211273635
The museum in historical buildings: Energy and systems. The project of the Fondazione Museo Senesi	2015	Building	Maintenance	Nature factors	4, 6	M. Rota, S Paola, L Di Corato	Energy and Buildings	https://www.sciencedirect.com/science/article/pii/S0378778814008335
Shared solutions to tackle restoration restrictions and requirements for cultural landscape and the sustainable conservation of cultural heritage	2014	Building	Management	Nature factors	8, 9	E Giglarelli, G Guattrone	Euro-Mediterranean Conference	https://link.springer.com/chapter/10.1007/978-3-319-13695-0_31
A methodology to monitor the pollution impact on historic buildings surfaces: the TeRCH project	2012	Building	Monitoring	Nature factors	7	A Bernardi, F Becherini, A Bonazza...	Euro-Mediterranean Conference	https://link.springer.com/chapter/10.1007/978-3-642-34234-9_93
UV/VIC-Limit extensions for conservation processes: A methodological approach	2015	Building	Monitoring	Nature factors	4, 6	E. Vassiliakaki, S. Zervos	Conference Proceedings	https://aip.scitation.org/doi/abs/10.1063/1.4907635
A new approach to the assessment of flooding and dampness hazards in cultural heritage, applied to the historic centre of Seville (Spain)	2016	Heritage Site	Risk/impact assessment	Nature factors	2	R Ortiz, F Ortiz, JM Martín, MA Vázquez -	Science of The Total Environment	
The SACRE Project: A Diagnostic Tool of Built Heritage INTEGRATED DIGITAL PLATFORM FOR THE VALORIZATION OF A CULTURAL LANDSCAPE.	2016	Building	Risk/impact assessment	Nature / Human factors	4, 6	S Janvier-Badosa, K Beck, X Bruneteaud...	Euro-Mediterranean Conference	https://link.springer.com/chapter/10.1007/978-3-319-48496-9_56
An innovative methodology of assessing the climate change impact on cultural heritage	2017	Landscape	Management	Nature / Human factors	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	LM Anghelute, L Ratoiu	The International Archives of Photogrammetry, Remote Sensing and Spatial Information Sciences;	https://search.proquest.com/openview/ad73929eb62c0c77fa24c55effe01e1be/1?pq-origsite=gscholar&cbl=2037674
The stratified significance of a historic facade as a basis for a more durable conservation approach	2017	Building	Risk/impact assessment	Nature factors		3 V Rajčić, A Skender, D Damjanović	International Journal of Architectural Heritage	https://www.tandfonline.com/doi/abs/10.1080/15583058.2017.1354094
Challenges that Preventive Conservation poses to the Cultural Heritage documentation field	2015	Building	Maintenance	Nature factors	3, 4	N Van Roy, K Van Balen, E Vereltryng	Restoration of Buildings and Monuments	https://www.degruyter.com/view/j/rbm.2015.21.issue-4-6/rbm-2015-1004/rbm-2015-1004.xml
Protective Structures for the Preservation of Medieval Buildings and their Remains: Case Studies from Monastery Hilandar and Mount Athos	2017	Building	Theory	Nature / Human factors	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	K. Van Balen	The International Archives of Photogrammetry, Remote Sensing and Spatial Information Sciences;	https://search.proquest.com/openview/3d5ba80264e200ba622d140020ee36a32/1?pq-origsite=gscholar&cbl=2037674
A value-based monitoring system to enhance the preventive and planned conservation process	2017	Archaeological site	Maintenance	Nature factors		4 J Ivanović-Šekularac, J Ćirić-Tovarović	Conservation and Management of Archaeological Sites	https://www.tandfonline.com/doi/abs/10.1080/13505033.2016.1290482
The technique of conservation: on realms of theory and cultures of practice	2016	Building	Monitoring	Nature / Human factors		4 V Heras Barros, A Vandesande	ICT per il miglioramento del processo conservativo	978-88-4064318-2
Restoration of Buildings and Monuments	2017	Building	Theory	Nature / Human factors		DH Holling	Journal of the Institute of Conservation	https://www.tandfonline.com/doi/abs/10.1080/19455224.2017.1322114
A review of common NDTs in the monitoring and preservation of historical architectural surfaces	2015	Building	Maintenance	Nature factors	3, 4, 6	Ö Cizer	Restoration of Buildings and Monuments	https://www.degruyter.com/view/j/rbm.2015.21.issue-2-3/rbm-2015-1000/rbm-2015-1000.xml
Catastrophic Limestone Decay at the Central Sanctuary of Iupiter Dolichenus at Dülük Baba Tepesi in Southern Turkey: Causes and Implications for Future	2017	Building	Monitoring	Nature factors		E Zendri, L Falchi, FC Izzo, ZM Morabito	International Journal of Architectural Heritage	https://www.tandfonline.com/doi/abs/10.1080/15583058.2017.1331477
Hybrid Educational Methodology for the Cognitive Domain of Built Heritage Protection Interconnecting Secondary with Tertiary Level Education	2017	Building	Risk/impact assessment	Nature factors		4 K Wilhelm, H Viles, E Winter, Ó Burke	Conservation and Management of Archaeological Sites	https://www.tandfonline.com/doi/abs/10.1080/13505033.2016.1291025
Data Collection for Estimation of Resilience of Cultural Heritage Assets	2013	Building	Theory			A Konstanti, A Moropoulou	International Journal of Engineering Pedagogy	http://journals.sfu.ca/onlinejour/index.php/ijep/article/view/2761
Saving the Industry from Itself: A Case of the Railway Industrial Heritage in Kenya	2017	Building	Risk/impact assessment	Nature factors		R Zarnic, V Rajcic, B Vodopivec	Mixed Reality and Gamification for Cultural Heritage	https://link.springer.com/chapter/10.1007/978-3-319-49607-8_11
VULNERABILITY ASSESSMENT TOOLS: FORECASTING AND ARTIFICIAL INTELLIGENCE	2014	Building	Risk/impact assessment	Nature / Human factors		9 MB Njuguna, EW Wahome...	The Historic Environment: Policy & Practice	https://www.tandfonline.com/doi/abs/10.1080/17567505.2017.1399976
	2014	Building	Risk/impact assessment	Nature / Human factors		R Ortiz, JM Macías-Bernal, F Ortiz	41st IAHS WORLD CONGRESS	https://www.researchgate.net/profile/Juan_Macias2/publication/308202250_VULNERABILITY_ASSESSMENT_TOOLS_FORECASTING_AND_ARTIFICIAL_INTELLIGENCE/links/57d46e3d08ae4e6f1849a84e.pdf
A contribution to a unified approach in policy making through documenting cultural heritage	2012	Building	Management	Nature / Human factors		Barbara Vodopivec Rand Eppich Ingval Maxwell Alessandra Gandini Rakia Zarnić	Euro-Mediterranean Conference	https://link.springer.com/chapter/10.1007/978-3-642-34234-9_36
The Angera stone: a challenging conservation issue in the polluted environment of Milan (Italy)	2013	Building	Maintenance	Nature factors		D. Gulotta, M. Bertolotti6. Bortolotto P. Fermo A. Piazzalunga L. Toniolo	Environmental Earth Sciences	https://link.springer.com/article/10.1007/s12665-012-2165-2
A tool for world heritage documentation, management and decision making: The Silk roads cultural heritage resource information system (CHRIS)	2011	Archaeological site	Risk/impact assessment	Nature / Human factors		V Kelis, Ona, Van Balen, Koen and Santana Quintero, Mario	ICOMOS Open Archive	http://openarchive.icomos.org/1260/
Integrity of Conservation and Sustainability Techniques in the Restoration of a Historic Site	2013	Building	Maintenance	Nature / Human factors		1 Gonca Buyukmihci; Aylin Ozkan	Built Heritage 2013 Monitoring Conservation Management	https://s3.amazonaws.com/academia.edu.documents/32535579/bh2013_paper_282.pdf?AWSAccessKeyId=AKIAIWOWYYGZ2Y53UL3A&Expires=1544810332&Signature=R0z4LGmRe%2FGVA50COvh0AyZE8c%3D&response-content-disposition=inline%3B%20filename%3DIntegrity_of_Conservation_and_Sustainabi.pdf
How better volunteering can improve conservation: why we need to stop wondering whether volunteering in conservation is a good thing and just get better at	2014	Building	Social involvement			Kate Littlewood, Helen Timbrell	Journal of the Institute of Conservation	https://www.tandfonline.com/doi/abs/10.1080/19455224.2013.873730
TOWARDS AN INVENTORY FOR ARCHAEOLOGICAL HERITAGE MANAGEMENT IN ISRAEL	2017	Building	Monitoring			Alef Y.	International Archives of the Photogrammetry, Remote Sensing and Spatial Information Sciences	http://adsabs.harvard.edu/abs/2017ISPAr42W5...21A
The Relevance of Maintenance and Monitoring in Architectural Conservation	2015	Building	Theory	Nature / Human factors		A. Elena Charola / Fernanda M. A. Henriques / Marcelo L. Magadán	Restoration of Buildings and Monuments	https://www.degruyter.com/view/j/rbm.2015.21.issue-1/rbm-2015-0001/rbm-2015-0001.xml
Climate for Culture: assessing the impact of climate change on the future indoor climate in historic buildings using simulations	2015	Building	Risk/impact assessment	Nature factors		Johanna Leissner, Ralf Kilian, Lola Kotova, Daniela Jacob, Uwe Mikolajewicz, Tor Broström, Jonathan Ashley-Smith, Henk L. Schellen, Marco Martens, Jos van Schijndel, Florian Antretter, Matthias Winkler, Chiara Bertolin, Dario Camuffo, Goran Simeunovic and Tomáš Vyhlídal	Heritage Science	https://heritagesciencejournal.springeropen.com/articles/10.1186/s40494-015-0067-9
Preparing for the future: mitigating disasters and building resilience in the cultural heritage sector	2015	Building	Risk/impact assessment	Nature factors		Fiona Macalister	Journal of the Institute of Conservation	https://www.tandfonline.com/doi/abs/10.1080/19455224.2015.1068201
Capacity Building for Religious Heritage Conservation and Management. Vocational Learning Tools and Methods of the ALTERheritage Project	2015	Building	Management	Nature / Human factors		Jesse W. Lattig	Scholarlycommons	https://repository.upenn.edu/hp_theses/191/
Towards a Social Archeological Conservation in Barcelona	2016	Archaeological site	Social involvement	Nature / Human factors		Ana Pastor Pérez	Universidad Complutense de Madrid	https://search.proquest.com/openview/d6a7b9cf007fd2d80469d7e92c12c969/1.pdf?pq-origsite=gscholar&cbl=405340
Multi-hazard disaster risk identification for World Cultural Heritage sites in seismic zones	2017	Heritage Site	Risk/impact assessment	Nature factors		Mohammad Reyasiishah Jigyasu, Rohit, Murthy, Manas, Borcardi, Giovanni, Marrion, Christopher, Douglas, Diane, Riley, Joseph, O'Brien, Geoff, Dalcemacolo, Glenn, Kim, Yongkyun, Alberto, Paola and Ostin, Mariana	JOURNAL OF CULTURAL HERITAGE MANAGEMENT AND SUSTAINABLE DEVELOPMENT	https://www.emeraldinsight.com/doi/abs/10.1108/JCHMSD-09-2015-0032
Heritage and resilience: issues and opportunities for reducing disaster risks	2013	Building	Risk/impact assessment	Nature factors			Human and Social Geography	http://nrl.northumbria.ac.uk/17237/
Development of X-ray Fluorescence Quantitative Methodologies To Analyze Aqueous and Acid Extracts from Building Materials Belonging to Cultural Heritage Conservation of historic buildings and their contents: addressing the conflicts	2017	Building	Risk/impact assessment	Nature factors		Cristina García-Florentín , Maite Maguregui, Eva Marguí, Ignasi Queralt, Jose Antonio Carrero, and Juan Manuel Madariaga	Analytical Chemistry	https://pubs.acs.org/doi/abs/10.1021/acs.analchem.7b00288
	2016	Building	Risk/impact assessment	Nature factors		David Watt, Belinda Colston		https://books.google.com.co/books?hl=en&lr=&id=kJuDwAAJBAJ&oi=fnd&pg=PR1&dq=Conservation+of+historic+buildings+and+their+contents:+addressing+the+conflicts
Monumental heritage exposure to urban black carbon pollution	2017	Building	Risk/impact assessment	Nature factors		D. Patrón H. Lyamani G. I. Titos ac J.A. Cazorla-Vera C. Cardel G. Močnik L. Alados-Arboledas F. J. Olmos	Atmospheric Environment	https://www.sciencedirect.com/science/article/pii/S1352231017306295
Diálogos Digitais : Integração Entre Dados Documentais em Sistemas de Informação Baseados no Modelo para Conservação do Patrimônio Arquitetônico	2013	Building	Monitoring	Nature factors		Dezen-Kempter, Eloisa	Blucher Design Proceedings	http://www.proceedings.blucher.com.br/article-details/dialogos-digitais-integracao-entre-dados-documentais-em-sistemas-de-informacao-baseados-no-modelo-para-conservacao-do-patrimonio-arquitetonico-14141
Integration of 3d Models and Diagnostic Analyses Through a Conservation-Oriented Information System	2017	Building	Risk/impact assessment	Nature / Human factors		MANDELLI, ALESSANDRO ACHILLE, CRISTIANA TOMMASI, CINZIA FASSI, FRANCESCO	INTERNATIONAL ARCHIVES OF THE PHOTOGRAMMETRY, REMOTE SENSING AND SPATIAL INFORMATION SCIENCE	https://re.public.polimi.it/handle/11311/1032304#.XBPs13RKjIU
METHOD OF REHABILITATION OF OLD URBAN FABRICS OF TLEMCEN	2015	Heritage Site	Maintenance	Nature factors		Walid HAMMA	Urbanism	http://uuac.incd.ro/Art/v6n4a01.pdf
Climate risk assessment in museums: degradation risks determined from temperature and relative humidity data	2012	Building	Risk/impact assessment	Nature factors		Martens, M.H.J.	Building Physics	https://www.narcis.nl/publication/RecordID/oai:pure.tue.nl:publications%2F81e96f13-3b71-49a6-88ba-44524d7a380e

Annex 5.1

ARCHITECTURAL INFLUENCES

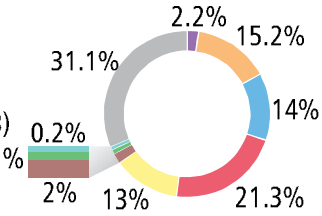
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





Legend

- Neoclassic (19)
- Eclecticism (133)
- Neocolonial / Eclecticism (122)
- Rationalism (186)
- Mediterranean / Californinan (113)
- Streamline Moderne (18)
- Art Deco (9)
- Art Nouveau (2)
- No style (271)



Annex 5.2 Examples of skillfuness and design

Centro Cristiano

Fachada y Verja Perimetral



Edificación General



Elemento a Documentar



Ambiente Urbano



Ubicación
Ave. Manduley No. 403

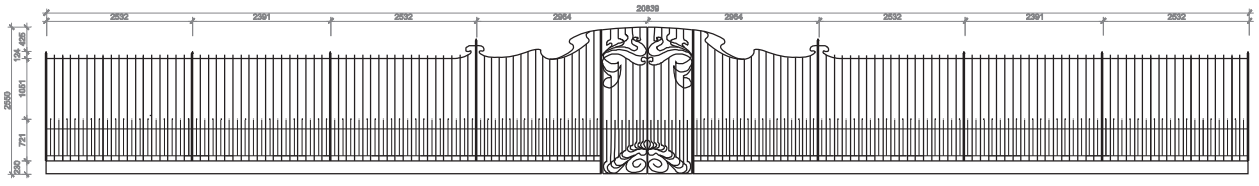
Datos

1916, Arq. Gerardo Vega Wrigth

Esta vivienda constituye un valioso exponente del Art Nouveau en la ciudad, correspondiendose a las grandes residencias desarrolladas en el reparto Vista Alegre. .
Su fachada adornada con arcos trilobulados sobre capiteles sinuosos con motivos florales que acaban en columnas pareadas de fuste circular. La presencia del modernismo catalán es manifestada en las herrerías curvas que limitan las laderas. .



Esc: 1/100



Esc: 1/100

Documentación

Fecha: 2 de mayo de 2017

Técnicas

Fotografía convencional
Levantamiento de dimensiones
Fotografía rectificada
Dibujos CAD

Herramientas

Cámara fotográfica (Canon PowerShot SX500 IS)
Cinta Métrica
Trípode (XT72TRB)
Laptop (acer)

Software

Agisoft PhotoScan Professional
Perspective Rectifier
AutoCAD 2016
CorelDRAW X7

Acceso Principal Palacete de la Familia Bosch - Palacio de Pioneros



Ambiente Urbano



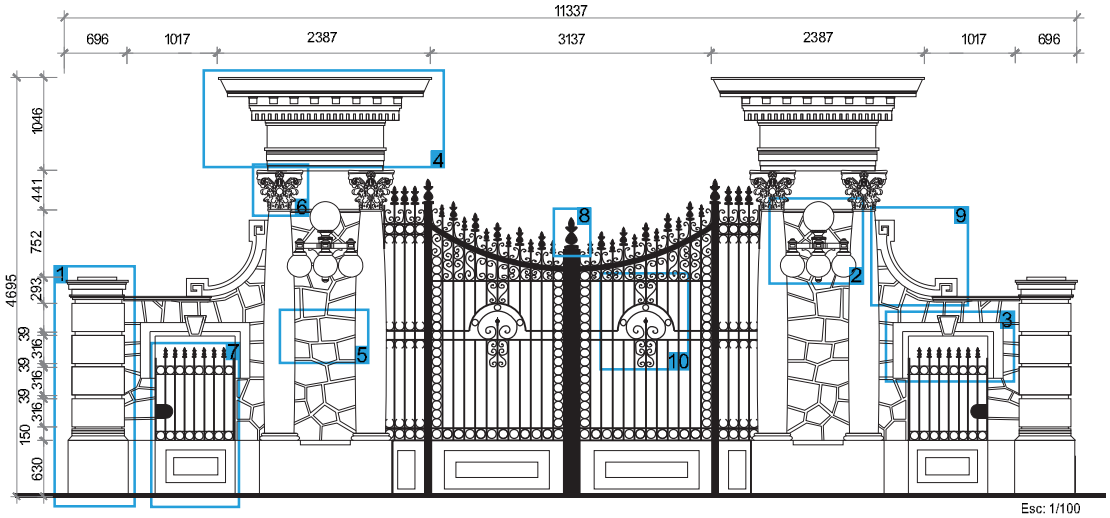
Edificación General

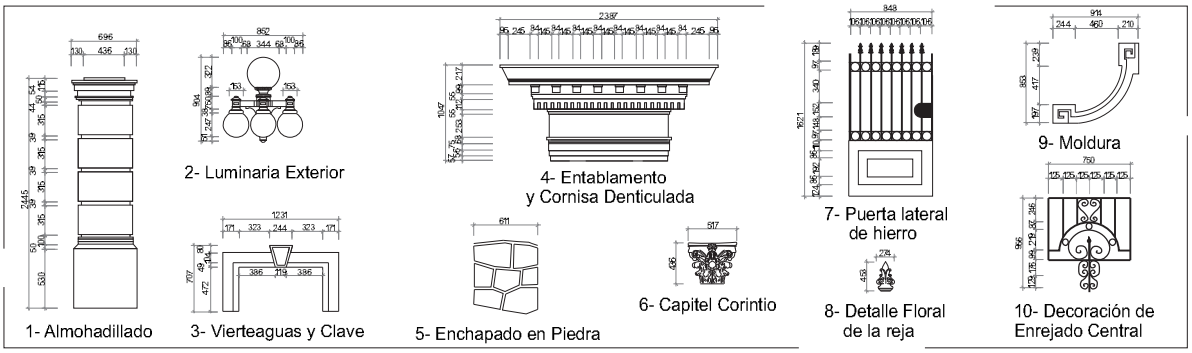


Elemento a Documentar

Ubicación
Ave. Manduley
no. 254







Datos

1916, Arq. Carlos Segrera

El antiguo Palacete de la Familia Bosch, actual Palacio de Pioneros, es una edificación ecléctica de tres niveles, ubicada en el Reparto Vista Alegre en la Ciudad de Santiago de Cuba .
Su acceso principal, como el resto de la edificación, presenta columnas de orden corintio, capiteles floridos, así como entablamentos clásicos .
Su alto valor historicista y arquitectónico hacen de esta pieza, una de las de mayor valor patrimonial en dicho reparto.

Documentación

Fecha: 2 de Mayo del 2017

Técnicas

- Fotografía convencional
- Levantamiento de dimensiones
- Fotografía rectificada
- Dibujos CAD

Herramientas

- Cámara fotográfica (Canon PowerShot SX500 IS)
- Cinta Métrica
- Trípode (XT72TRB)
- Laptop (acer)

Software

- Agisoft PhotoScan Professional
- Perspective Rectifier
- AutoCAD 2016
- CorelDRAW X7

Antigua Residencia del Alcalde Desiderio Arnaz “Villa Faly”

Carpintería Exterior



Ubicación
Ave. Manduley No. 351



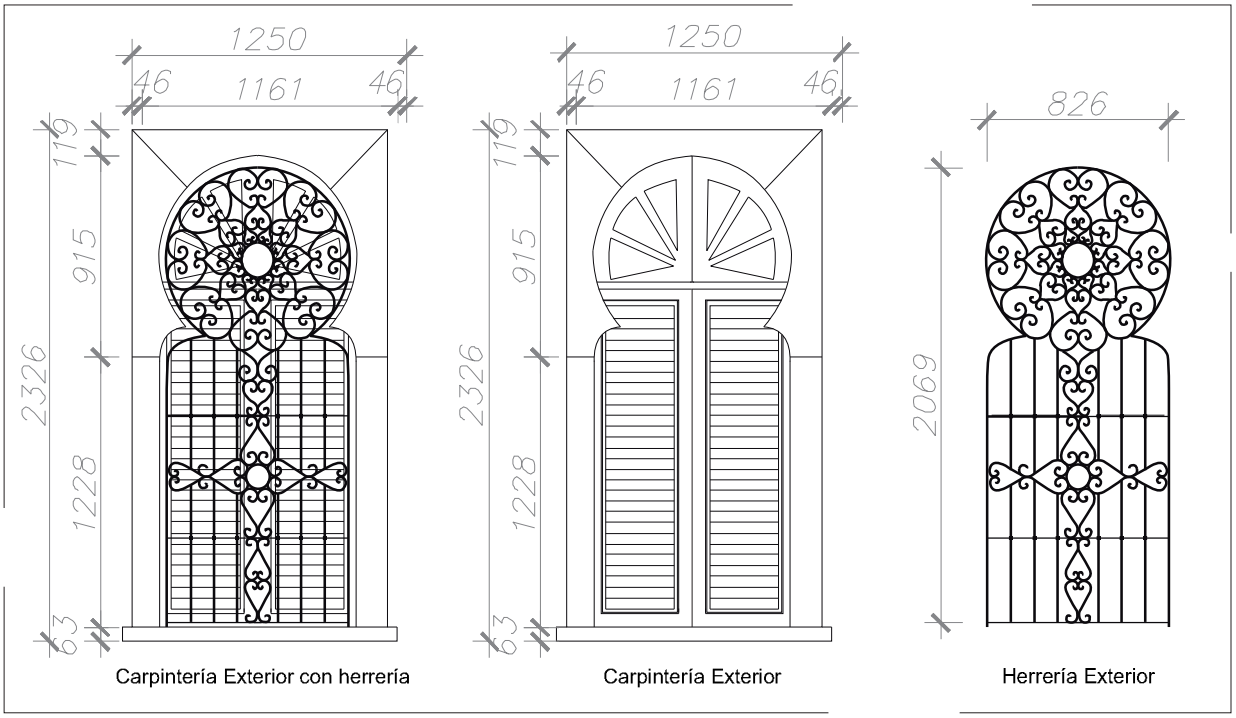
Edificación General



Elemento a Documentar



Ambiente Urbano



Carpintería Exterior con herrería

Carpintería Exterior

Herrería Exterior

Esc: 1/50

Datos

Carpintería exterior de la edificación ubicada en la Rotonda de la Ave. Manduley No.351 .
Ventana de punto redondo o de herradura compuesto en madera con herrería.

Documentación

Fecha: 2 de Mayo del 2017

Técnicas

- Fotografía convencional
- Levantamiento de dimensiones
- Fotografía rectificada
- Dibujos CAD

Herramientas

- Cámara fotográfica (Canon PowerShot SX500 IS)
- Cinta Métrica
- Trípode (XT72TRB)
- Laptop (acer)

Software

- Agisoft PhotoScan Professional
- Perspective Rectifier
- AutoCAD 2016
- CorelDRAW X7

Oficinas de Empresstur



Ubicación
Calle 17 No. 102



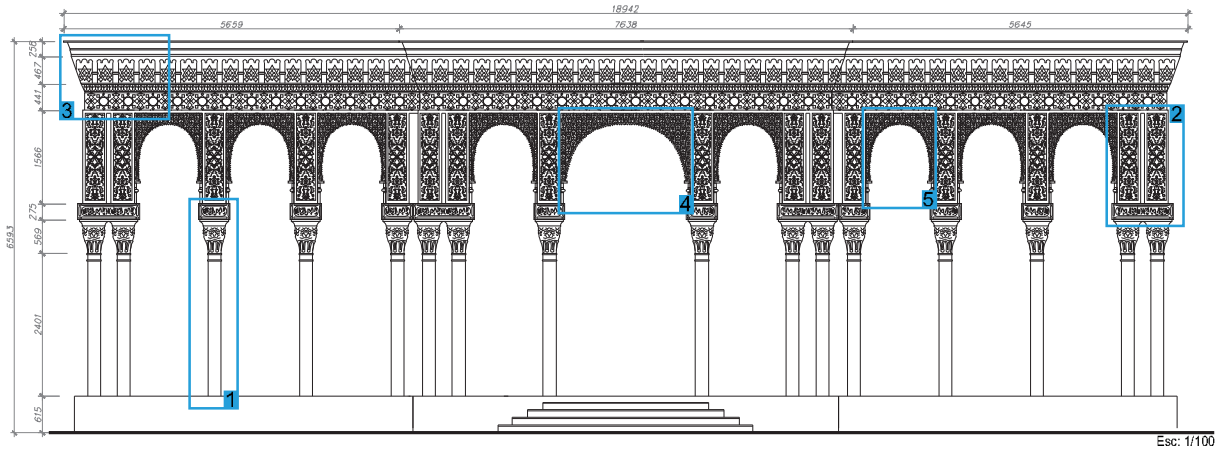
Edificación General

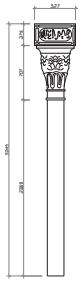


Elemento a Documentar

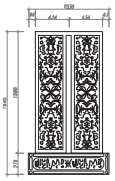


Ambiente Urbano

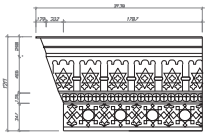




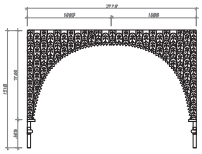
1- Columna corintia con capitel compuesto con motivos palmiformes y florales



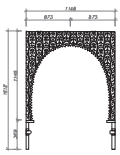
2- Decoraciones con motivos florales



3- Entablamento decorado con motivos florales y geométricos



4- Arco escarzano decorado con motivos florales (Entrada)



5- Arco de medio punto decorado con motivos florales

Datos

Edificación de alto valor arquitectónico ubicada en la calle 17 del Reparto Vista Alegre este inmueble con fachada de corredor tiene un alto grado de decoración en elementos como:sus capiteles, arcos y entablamento, sobresaltando los motivos florales y geométricos.

Documentación

Fecha: 2 de mayo de 2017

Técnicas

- Fotografía convencional
- Levantamiento de dimensiones
- Fotografía rectificada
- Dibujos CAD

Herramientas

- Cámara fotográfica (Canon PowerShot SX500 IS)
- Cinta Métrica
- Trípode (XT72TRB)
- Laptop (acer)

Software

- Agisoft PhotoScan Professional
- Perspective Rectifier
- AutoCAD 2016
- CorelDRAW X7

Le Petit Trianon / Actual vivienda

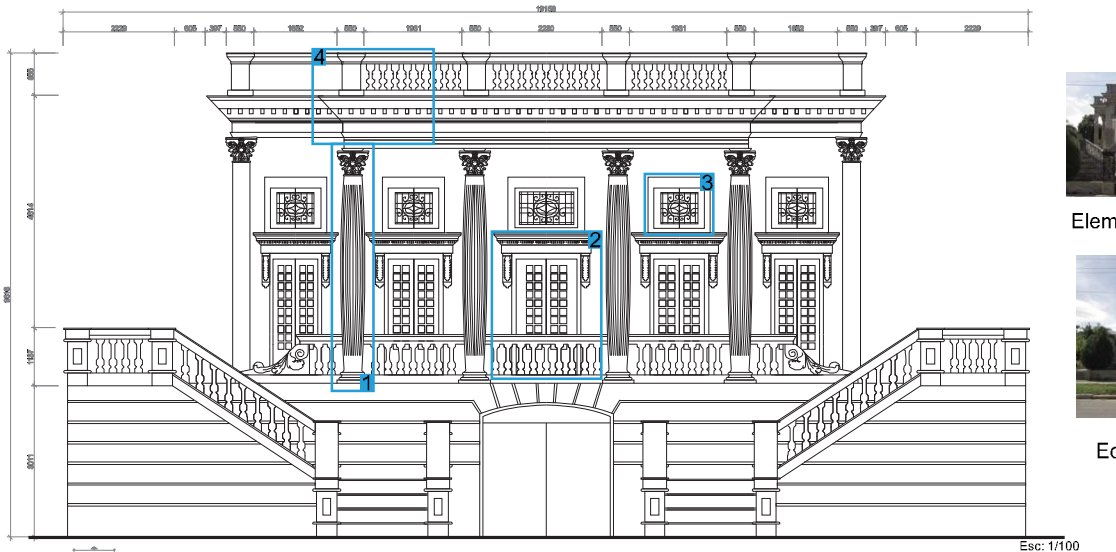
Fachada Principal



Ambiente Urbano



Ubicación
Calle 6 No. 251



Esc: 1/100



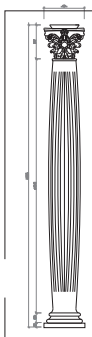
Elemento a Documentar



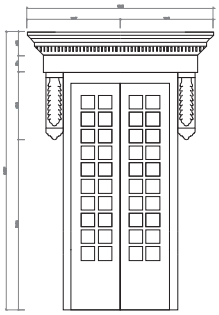
Edificación General

Datos

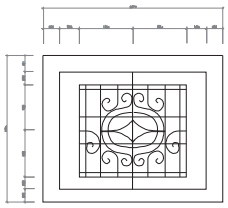
El palacete ubicado en la calle 6, No. 251 del Reparto Vista Alegre, es una vivienda de estilo ecléctico, su fachada se encuentra conformada por dos escaleras laterales que dan paso al corredor frontal, adornado con columnas de orden corintio y barandas con balaustradas, las puertas poseen cornisas denticuladas rematadas con adornos florales y el entablamento decorado con dentículos culmina igualmente con balaustres



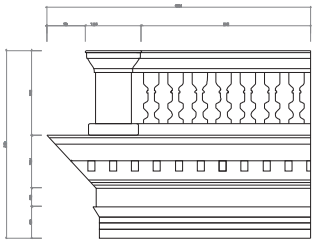
1- Columna Corintia



2- Puerta de madera con cornisa denticulada



3- Ventana de madera con elementos de herrería



4- Entablamento con cornisa denticulada

Documentación

Fecha: 2 de mayo de 2017

Técnicas

Fotografía convencional
Levantamiento de dimensiones
Fotografía rectificada
Dibujos CAD

Herramientas

Cámara fotográfica (Canon PowerShot SX500 IS)
Cinta Métrica
Trípode (XT72TRB)
Laptop (acer)

Software

Agisoft PhotoScan Professional
Perspective Rectifier
AutoCAD 2016
CorelDRAW X7

Iglesia de la Sagrada Familia

Fachada de nave central



Edificación General



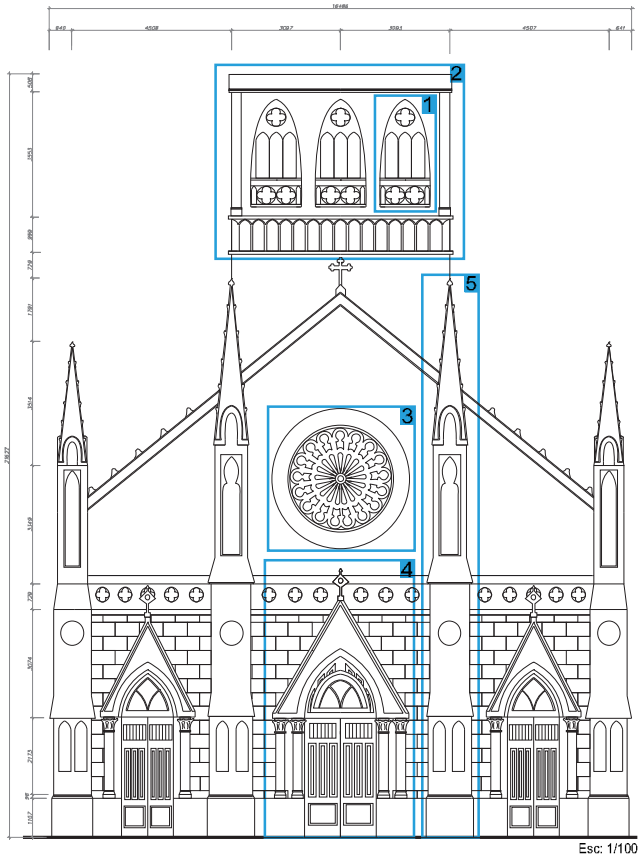
Elemento a Documentar



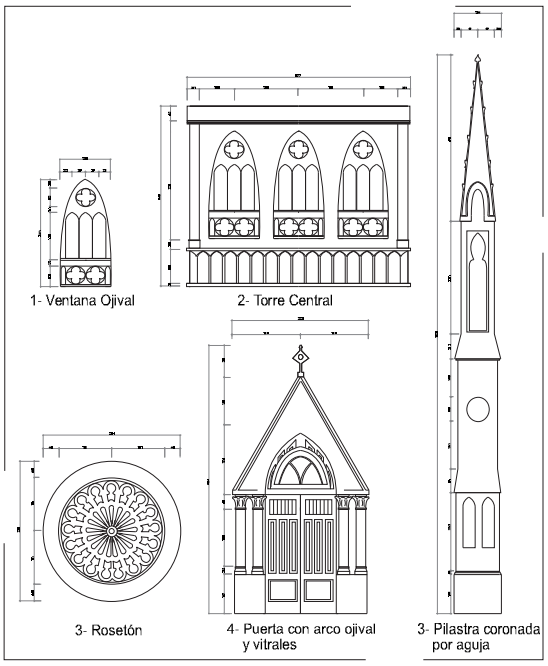
Ubicación
Calle 11 No. 53



Ambiente Urbano



Esc: 1/100



Datos

1924, Arq. Sebastián Ravelo. Morals y Cía. Arquitectos

La Iglesia de la Sagrada Familia contruida en la década de1920 es un ejemplar neogótico de nuestra ciudad. Conformado por una planta basilical de tres naves, su parte central la contituye el campanario, el cual contaba con una cubierta apuntada con ocho pinaculos. Posee cuatro pilastras resaltadas en la fachada principal coronadas por agujas. Rosetones, cubierta desarrollada con arcos de crucería, ventanas y puertas ojivales y vitrales que atenúan el exceso de luz.

Documentación

Fecha: 2 de mayo de 2017

Técnicas

- Fotografía convencional
- Levantamiento de dimensiones
- Fotografía rectificada
- Dibujos CAD

Herramientas

- Cámara fotográfica (Canon PowerShot SX500 IS)
- Cinta Métrica
- Trípode (XT72TRB)
- Laptop (acer)

Software

- Agisoft PhotoScan Professional
- Perspective Rectifier
- AutoCAD 2016
- CorelDRAW X7

Le Petit Trianon / Actual vivienda

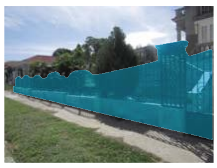
Verja Perimetral



Ambiente Urbano



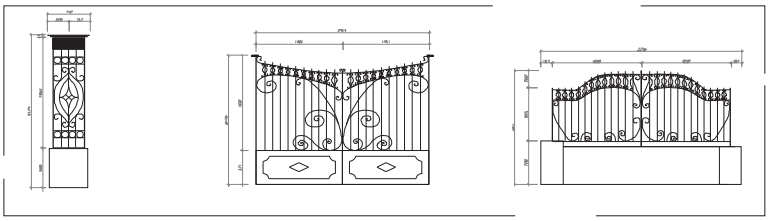
Edificación General



Elemento a Documentar



Ubicación
Calle 6 No. 251



Datos

El palacete ubicado en la calle 6 No. 251 del Reparto Vista Alegre, es una vivienda de estilo ecléctico, su verja perimetral de hierro decorada con motivos florales y geométricas le dan un carácter peculiar a la fachada de la edificación.

Documentación

Fecha: 2 de Mayo del 2017

Técnicas

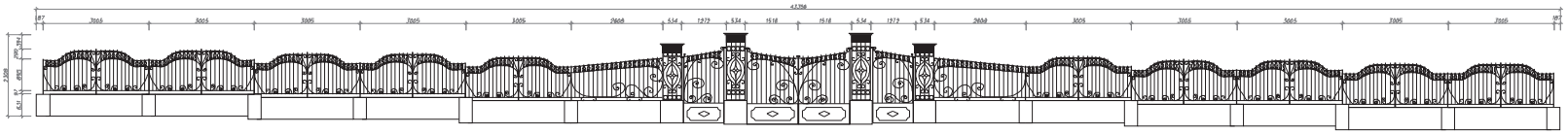
- Fotografía convencional
- Levantamiento de dimensiones
- Fotografía rectificada
- Dibujos CAD

Herramientas

- Cámara fotográfica (Canon PowerShot SX500 IS)
- Cinta Métrica
- Trípode (XT72TRB)
- Laptop (acer)

Software

- Agisoft PhotoScan Professional
- Perspective Rectifier
- AutoCAD 2016
- CorelDRAW X7



Esc: 1/100

Vivienda Ecléctica (Calle 4 No. 309)

Verja Perimetral



Edificación General



Elemento a Documentar



Ubicación
Calle 4 No. 309



Ambiente Urbano

Datos

Verja perimetral de hierro con adornos florales y geométricos que constituye un componente singular en el Reparto Vista Alegre.

Documentación

Fecha: 2 de mayo de 2017

Técnicas

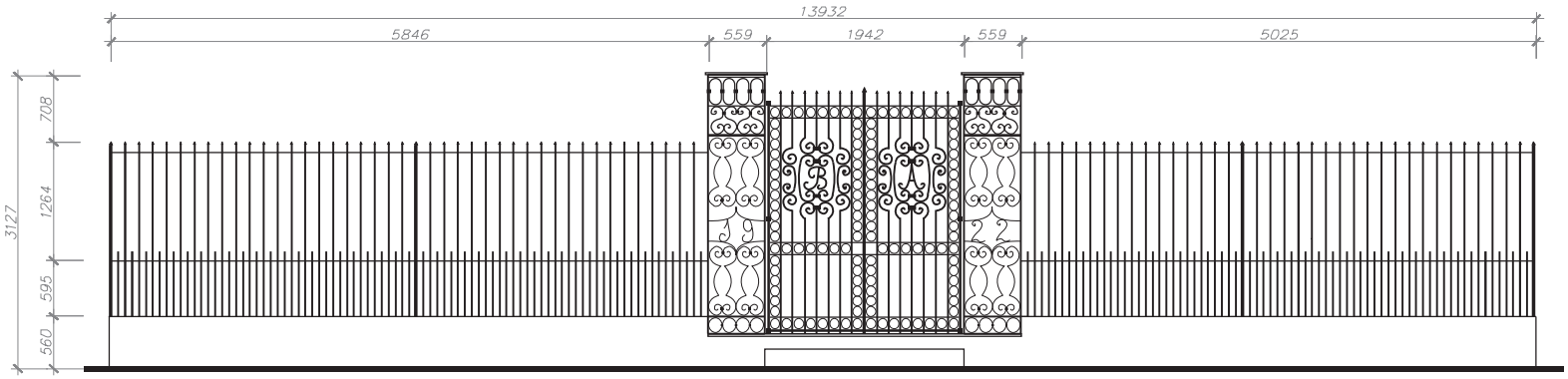
Fotografía convencional
Levantamiento de dimensiones
Fotografía rectificada
Dibujos CAD

Herramientas

Cámara fotográfica (Canon PowerShot SX500 IS)
Cinta Métrica
Trípode (XT72TRB)
Laptop (acer)

Software

Agisoft PhotoScan Professional
Perspective Rectifier
AutoCAD 2016
CorelDRAW X7



Herrería Singular

Esc: 1/100

Annex 5.3: LEVANTAMIENTO REPARTO VISTA ALEGRE

FECHA

DOCUMENTACIÓN EDIFICACIÓN

CALLE | NO. | USO 1

ID 1 | ID 2

TIP. ARQ. | TIP. CONST.

USO 2 | USO 3 | USO 4

NIV. | ESTILO

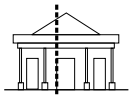
ESTADO GENERAL
BIEN ○ REGULAR ○ MAL ○

ELEMENTOS DECORATIVOS
ESTADO
BIEN ○ REGULAR ○ MAL ○
ALTERACIÓN
ALTA ○ MEDIA ○ LIGERA ○

CARPINTERÍA
ESTADO
BIEN ○ REGULAR ○ MAL ○
ALTERACIÓN
ALTA ○ MEDIA ○ LIGERA ○

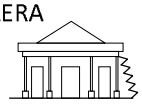
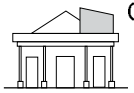
CERCA PERIMETRAL
ESTADO
BIEN ○ REGULAR ○ MAL ○
ALTERACIÓN
ALTA ○ MEDIA ○ LIGERA ○

CUBIERTA
TIPO
ESTADO
BIEN ○ REGULAR ○ MAL ○
ALTERACIÓN
ALTA ○ MEDIA ○ LIGERA ○

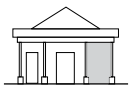
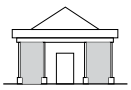
SUBDIVISIONES

vertical

horizontal
CANTIDAD ☐ CANTIDAD ☐

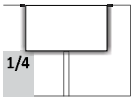
ADICIONES
ESCALERA

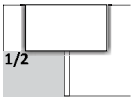
EN FACHADA ○

LATERAL ○
OTRA

EN FACHADA ○

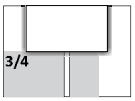
LATERAL ○

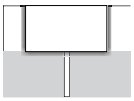
CORREDOR

CIERRE PARCIAL ○

CIERRE TOTAL ○

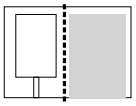
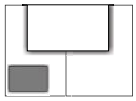
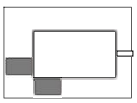
DOCUMENTACIÓN PARCELA

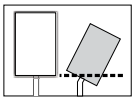
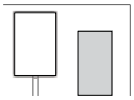
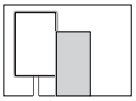
JARDÍN


OCUPACIÓN PARCIAL ○


MEDIA ○


MAYOR ○

TOTAL ○

ADICIONES

PARQUEO ○

GARITA ○

OTRA (S) ○

TIPOLOGÍA URBANA

ROMPE LÍNEA DE FACHADAS ○

SIN JARDÍN EN FACHADA PPAL ○

SIN PASILLO (S) LATERAL (ES) ○

USOS
- Residencial
- Alojamiento
- Administración
- Comercio
- Gastronomía
- Salud
- Educación
- Deporte
- Recreación
- Cultura
- Religioso
- Servicios básicos
- Almacenes y talleres
- Agricultura urbana
- Producción
- Militar, orden interior público
- Agropecuario
- Parqueo construido
- Parqueo en lote vacío
- Especiales

TIPOLOGÍA CONSTRUCTIVA, según NC 50-14

Tipo I Viviendas con techos de hormigón armado y paredes de hormigón o mampostería.

Tipo II Viviendas con techos de tejas y paredes hormigón o mampostería.

Tipo III Viviendas con techos de tejas acanaladas de fibrocemento, chapas metálicas, madera y papel embreado o asfáltico, guano u otro material y paredes de hormigón o mampostería. También se incluyen las viviendas con techos de tejas, chapas metálicas y paredes de madera.

Tipo IV Viviendas con techos de tejas acanaladas de fibrocemento, chapas metálicas, madera y papel embreado y asfáltico, guano u otro material y paredes de yagua, tabla de palma, adobe, etc.

ANEXO 5.4

Universidad de Oriente
Facultad Ciencias Sociales
Carrera Psicología

Resumen de investigación

Título: *Identidad personal asociada a la condición de residentes en el reparto Vista Alegre de Santiago de Cuba. Estudio de caso múltiple.*

Autores:
Lic. Ángela Nereyda Caballero Batista. Profesora Auxiliar. Departamento Psicología Universidad de Oriente. Cuba.
MSc. Idaliana Aleaga Antúnez
Arq. Luis Bello Caballero. Profesor Asistente. Departamento Arquitectura y Urbanismo, Universidad de Oriente
Arq. Leonardo Pérez Vilorio. Profesor Asistente. Departamento Arquitectura y Urbanismo, Universidad de Oriente
Bárbara González Torres, Cindy Carrión Pera, Elizabeth Luperón Bauzá, Isabel Amador Pardías, Lianne Bruqueta Jimenez, Lianne Romero Oña

Introducción

El trabajo se ubica en la línea de investigación "Patrimonio y memoria histórica de la nación" y en el Proyecto 4 del VLIR: "Las Ciencias Sociales, Humanísticas, el Derecho y la Arquitectura frente a los retos del desarrollo local en Santiago de Cuba. Potenciando la preservación patrimonial", dentro del subproyecto 2 "Conservación y gestión de sitios patrimoniales en el Oriente de Cuba". VLIR es un Programa de Cooperación Institucional entre Universidades de Bélgica y la Universidad de Oriente, en Cuba. Se escoge como localidad para el estudio el reparto Vista Alegre de Santiago de Cuba, por ser de interés del proyecto y de la línea de investigación a partir de sus reconocidos valores patrimoniales. Ha sido estudiado fundamentalmente desde la arquitectura y la historia del arte por sus edificaciones; en esta investigación se aborda una versión no estudiada hasta el momento, la subjetividad de los seres humanos que lo habitan**.**

El Subproyecto 2, en ejecución desde el 2014, tiene como objetivo fundamental aportar herramientas que contribuyan al monitoreo de sitios patrimoniales en el oriente de Cuba con enfoque de conservación preventiva. Como caso de estudio, el Reparto Vista Alegre de Santiago de Cuba. El monitoreo es un proceso inherente a la gestión del patrimonio cultural, a la vez que resulta una herramienta que apoya la toma de decisiones. Desde la interacción interdisciplinaria, el S2 pretende profundizar en los estudios que contribuyan a trazar estrategias de desarrollo cultural, económico, social y medioambiental para los sitios patrimoniales.

¿Qué herramientas brinda la Psicología para el abordaje el objeto del proyecto?.

La teoría de las necesidades de Maslow, que explica la formación de las necesidades, concebidas como unidades psicológicas primarias, nos ayuda a comprender la motivación o no de las personas hacia la consecución del bienestar, a partir de la satisfacción de las necesidades de seguridad y protección. Cuando estas necesidades se satisfagan podemos decir que están creadas las condiciones para que la necesidad de conservación patrimonial se configure.

Por otra parte, la teoría de Vygotsky con el concepto de Situación Social de Desarrollo, caracterizada por el proceso de internalización; porque toda función aparece dos veces primero a nivel social y luego a nivel individual, esto se aplica a la formación de conceptos, por lo que es importante que estímulos desde afuera

propongan estrategias de promoción patrimonial para que luego desde adentro se conciba el ambiente como propiedad individual, por tanto, un bien a cuidar.

Emergen cuatro conceptos que están íntimamente relacionados desde su concepto teórico: los sentidos personales (sentido de pertenencia), los valores (responsabilidad, empatía, respeto al otro y la honestidad), identidad y concepción del mundo. Todos ellos afloraron en el intercambio con los encuestados y permeaban sus discursos, que no eran solo sobre los hechos en si mismos, sino como éstos los afectaba, y como se vinculaban emocionalmente con ellos.

Se tuvo en cuenta durante el proceso la ética profesional, se tomaron en cuenta valores como la confidencialidad, respetando las identidades de los encuestados, el profesionalismo, visto en darle a la persona todas las informaciones sobre la encuesta, dándole un consentimiento informado verbal, tratando de comprender las situaciones personales, manteniendo la debida distancia profesional, respetando las opiniones de los sujetos.

Durante el proceso de investigación se realizó un monitoreo a través de encuestas a una muestra de la población del Reparto Vista Alegre dividida en tres zonas diferentes, con el objetivo de obtener información sobre la identificación de los habitantes con los valores patrimoniales existentes en el sitio.

En el proceso de aplicación de la técnica, se pudo conocer los elementos que demuestran la identificación de gran parte de la población con las características representativas del reparto tales como, las construcciones antiguas, los jardines y la tranquilidad, identificando esta últimas como una cualidad representativa mayormente del pasado, ya que se evidencia un deterioro no solo en las construcciones, sino además en las relaciones interpersonales, lo que nos lleva a preguntarnos cómo los procesos de identidad se encuentran regulando el comportamiento a nivel individual y grupal.

El trabajo de campo se constituyó entonces en una fuerte herramienta de conocimiento, pues permitió conocer los nuevos y profundos conflictos sociales, que poseen como base las contradicciones entre los distintos grupos etarios y mayormente entre los residentes fundadores y los de nueva residencia, ya que en la actualidad en el reparto convergen nuevos moradores procedentes de otros lugares, lo que provoca que algunos no se adapten al entorno y esto lleve a conflictos de convivencia pues en algunos casos los pobladores más antiguos sienten que su espacio y estilo de vida ha sido invadido por personas que no se ajustan a las reglas de socialización heredadas del pasado elitista del reparto.

Esto se encuentra relacionado con la concepción del mundo como formación motivacional compleja de la personalidad, así como con el sistema de valores tales como el respeto al otro. Se pudo constatar además la profunda preocupación existente por parte de los habitantes con relación al mantenimiento de las construcciones arquitectónicas, señaladas como uno de los elementos más identificativos de la ciudad y que como tal deben ser resguardados y conservados.

Manifiestan que las áreas verdes y jardines juegan también un papel primordial ya que permiten resguardarse de las inclemencias del tiempo y colaboran en el embellecimiento de las zonas de residencia. Aunque refieren, que el mantenimiento de estas zonas conlleva recursos, ya que los residuos mal reciclados afectan a la población con los malos olores, lo que provoca en ellos displacer, pues además le restan belleza al entorno, y maltratan al medio ambiente.

Existe una opinión generalizada de que algunas de las instituciones del estado y centros culturales que se han establecido recientemente en el reparto no respetan la estructura original de las edificaciones, siendo los cuentapropistas los únicos que han invertido en función de mantener la idea original de la estructura, constituyéndose como una contradicción.

En la mayoría de las personas se evidenció un alto nivel de implicación con el proceso, cooperación ante las preguntas propuestas y preocupación ante la situación actual

del reparto. Como residentes de la ciudad Santiago de Cuba obtuvimos nuevos

conocimientos sobre la historia y característica del que para muchos es el mejor reparto de la ciudad contada por sus propios protagonistas.

Resultados

En la investigación fueron realizadas 120 encuestas divididas equitativamente en tres zonas de interés. En la zona 1 conformada por varias manzanas que se encuentran entre las calles 17 y 6 los resultados obtenidos fueron que el 70% de los habitantes son mujeres y el 30% son hombres. La mayoría de los habitantes de la muestra de esta zona pertenecen a la tercera edad representado el 40% del total. El 22,5% de la muestra tienen como ocupación ama de casa. El 66,7% de lo encuestados llevan viviendo más de 20 años en el reparto. El 56% de la población se siente identificado con las características

propias del reparto (vegetación, tranquilidad, construcciones antiguas, jardines, patios y otras). No tiene inconformidades con el reparto el 42,5% de los moradores y el 15% no le agradan la convivencia con los vecinos. El 90% considera que el reparto vista alegre es un sitio de valor para la ciudad y el 95% cree necesario invertir recursos para su conservación.

El 72,5% cree necesario conservar las áreas verdes, las construcciones antiguas y el carácter residencial.

El 65% de los encuestados llevan viviendo más de 20 años en el reparto. El 54% de la población se siente identificado con las características propias del reparto (vegetación, tranquilidad, construcciones antiguas,

jardines, patios y otras). No tiene inconformidades con el reparto el 35,5% de los moradores y el 20% se queja de la falta de oferta en los servicios (de belleza, farmacia, gimnasio...). El 100% considera que el reparto Vista Alegre es un sitio de valor para la ciudad y el 97,5% cree necesario invertir recursos para su conservación.

El 75% cree necesario conservar las áreas verdes, las construcciones antiguas y el carácter residencial.

En la zona 3 conformada por las manzanas comprendidas entre las calles 3 ,11,10 y 12, los resultados

obtenidos fueron que el 80% de los habitantes son mujeres y el 20% son hombres. La mayoría de los habitantes de la muestra de esta zona pertenecen a la tercera edad representado el 42,5% del total. El 32,5% tiene como ocupación jubilado. El 52,5% de los encuestados llevan viviendo más de 20 años en el reparto. El 54,6% de la población se siente identificado con las características propias del reparto (vegetación, tranquilidad, construcciones antiguas, jardines, patios y otras). No tiene inconformidades con el reparto el 40% de los moradores y el 17,5% se queja de la inseguridad que existe en las calles del reparto.

El 100% considera que el reparto vista alegre es un sitio de valor para la ciudad y el 97,5% cree necesario invertir recursos para su conservación. El 75,8% cree necesario conservar las áreas verdes, las construcciones antiguas y el carácter residencial.

ENCUESTA

La carrera de Arquitectura y Urbanismo de la Universidad de Oriente se encuentra realizando una investigación sobre el Reparto Vista Alegre y solicitamos que usted tenga a bien responderé la presente encuesta en la que no es necesario que escriba su nombre. Le solicitamos sea sincero en la información que ofrece. El equipo de investigadores le agradece la colaboración.

Datos sociodemográficos

a) Edad ___
b) Sexo ___
c) Ocupación _____
d) Tiempo de residencia en el Reparto Vista Alegre ____

I. Marque con una X las características del Reparto Vista Alegre con las que más se identifica usted

- □ Vegetación
- □ Jardines
- □ Patios
- □ Construcciones antiguas
- □ Decoración de construcciones antiguas
- □ Construcciones modernas
- □ Rejas
- □ Tranquilidad
- □ Características de los vecinos
- □ Está ubicado lejos del centro de la ciudad
- □ Centros educacionales
- □ Centros culturales
- □ Centros administrativos del Estado

Otra_____

II. Mencione alguna (s) característica (s) que no le agrade del Reparto Vista Alegre

_____

_____

_____

III. ¿El Reparto Vista Alegre constituye un sitio de valor para la ciudad de Santiago de Cuba?

□ SI □ NO □ NO ESTOY SEGURO (A)

IV. ¿Cree necesario invertir recursos en la conservación y mantenimiento del Reparto Vista Alegre?

□ SI □ NO □ NO ESTOY SEGURO (A)

V. ¿Qué características considera importantes o necesarias conservar y mantener?

□ Construcciones antiguas □ Áreas verdes □ Carácter residencial

MUCHAS GRACIAS POR SU PARTICIPACIÓN

ANEXO 5.5
Universidad de Oriente
Facultad Ciencias Sociales
Carrera Psicología

Resumen de investigación

Título: *Identidad personal asociada a la condición de descendientes de familias fundadoras residentes en el reparto Vista Alegre de Santiago de Cuba. Estudio de caso múltiple.*

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Introducción

El trabajo se ubica en la línea de investigación "Patrimonio y memoria histórica de la nación" y en el Proyecto 4 del VLIR: "Las Ciencias Sociales, Humanísticas, el Derecho y la Arquitectura frente a los retos del desarrollo local en Santiago de Cuba. Potenciando la preservación patrimonial", dentro del subproyecto 2 "Conservación y gestión de sitios patrimoniales en el Oriente de Cuba". VLIR es un Programa de Cooperación Institucional entre Universidades de Bélgica y la Universidad de Oriente, en Cuba. Se escoge como localidad para el estudio el reparto Vista Alegre de Santiago de Cuba, por ser de interés del proyecto y de la línea de investigación a partir de sus reconocidos valores patrimoniales. Ha sido estudiado fundamentalmente desde la arquitectura y la historia del arte por sus edificaciones; en esta investigación se aborda una versión no estudiada hasta el momento, la subjetividad de los seres humanos que lo habitan, especialmente los descendientes de familias fundadoras, a partir de la categoría identidad personal.

Mediante la técnica de informantes claves escogidos entre las personas de mayor edad y tiempo de residencia en el reparto Vista Alegre, por manzanas se ha logrado establecer una base de datos que contiene un total de 17 familias descendientes de fundadores en las diferentes etapas de urbanización del barrio, las cuales han sido visitadas para solicitarles la disposición de participación en la investigación, mostrando interés, motivación y aceptando aportar sus testimonios, una vez que han conocido el objetivo del trabajo.

El reparto Vista Alegre constituyó el sitio por excelencia donde se asentó la clase burguesa de la ciudad de Santiago de Cuba en los inicios del siglo XX, en 1907, comenzando así un complejo proceso de modificación en el orden urbano que trajo consigo el crecimiento de la ciudad y la introducción de las ideas que caracterizaron a la modernidad en este sentido, teniendo como consecuencia que las formas tradicionales de empleo del espacio quedaran relegadas como representación del poderío económico y costumbres de esta clase social. El objetivo de su construcción, según especialistas de la temática, era

aislarse del resto de la ciudad, formando y concentrando de esta forma un conjunto de costumbres y tradiciones que se configuraban en sus habitantes con un gran sentido de pertenencia, que aún en la actualidad se reconoce y asume entre sus habitantes y los del resto de la ciudad le atribuyen un estatus social distintivo. Se convierte así Vista Alegre en un barrio residencial, con características diferentes y especiales, tanto a nivel subjetivo como objetivo.

A partir del triunfo revolucionario de 1959, muchas de estas familias burguesas fundadoras del reparto abandonan el país, motivo por el que sus viviendas son entregadas a personas humildes y proletarias o a instituciones estatales, partiendo de la premisa revolucionaria de que prime la equidad social, lo cual provocó cambios en su morfología y estética original, por el cambio de funcionalidad, hacinamientos y ampliaciones indiscriminadas. Esas tradiciones y costumbres originales de sus residentes, hicieron de Vista Alegre, un reparto único de su tipo en Santiago de Cuba, no solo por las majestuosas construcciones, sino también por el componente subjetivo. Por diferentes razones algunos de los nuevos residentes no han mantenido un comportamiento coherente en relación con el respeto por las construcciones originales y tradicionales del reparto, afectándose el cuidado y conservación de muchos valores patrimoniales de carácter cultural y valores de carácter social.

La particularidad del reparto radica en elementos simbólicos, reflejados en la memoria viva de muchos de sus habitantes y también por la asociación directa a una época y a un grupo social de gran prestigio y poder socioeconómico. En el reparto se conservan edificaciones y empleo del espacio público que da cuenta de más de un siglo de renovaciones en el orden arquitectónico y de la historia de una época, que no puede reducirse a edificios, concepciones tecnológicas o estilos artísticos expresados en las construcciones, sino que es necesario involucrar en el análisis a las personas que fueron y son sujetos activos en la vida del reparto, a partir de sus propias vidas, costumbres y tradiciones que marcaron su identidad personal y cultural, (Fleitas, 2005). Razón por lo cual se hace necesario investigar a las personas descendientes de familias fundadoras que aún residen en el reparto, para conocer diferentes aspectos de interés asociados a sus valoraciones reflexiones sobre lo que ha acontecido en el reparto y cómo se manifiesta en su identidad personal.

El **objetivo general** de la investigación estuvo dirigido a: Describir la identidad personal de los sujetos que constituyen casos en estudio tomando como referente la condición de descendiente de familias fundadoras del reparto Vista Alegre, residentes actualmente en el mismo.

Como **objetivo específico:** Identificar los elementos que definen la identidad personal de los sujetos en estudio tomando como referente la condición de descendiente de familias fundadoras del reparto Vista Alegre, residentes actualmente en el mismo.

La investigación se realiza desde un enfoque interdisciplinario y se estructura de la siguiente manera:

Se estructura de la siguiente manera:

Introducción

Capítulo I. La identidad, un fenómeno psicosocial y cultural. Diferentes enfoques y concepciones sobre identidad e identidad personológica como categorías de la Psicología.

Epígrafes:

1.1.Algunas definiciones de la categoría identidad. Su importancia para la Psicología.
1.2Proceso de formación y desarrollo de la identidad personal como formación psicológica compleja.
Definiciones conceptuales de los indicadores para el estudio de la identidad personal.

Capítulo II. Fundamentación metodológica

Epígrafes:
2.1. Metodología y método.
2.3. Técnicas y procedimientos
2.4. Definiciones conceptuales e indicadores.
2.5. Acceso al campo
2.6. Sujeto de la investigación
2.7. Procedimiento de análisis
2.8. Análisis de los resultados
Conclusiones
Recomendaciones
Referencias bibliográficas
Anexos

Desarrollo.

Entre los referentes teóricos adoptamos las consideraciones de Rensoli (2008) sobre el barrio tradicional, aportándonos elementos para identificar una identidad barrial asociada también a la identidad cultural y los estudios de De la Torre (2001) en "Las identidades. Una mirada desde la Psicología" Los estudios consultados permiten apreciar el interés de los investigadores sobre el tema de la identidad en diferentes direcciones y, aunque aparecen estudios a nivel social sobre identidad cultural referidos a Santiago de Cuba, el tema en cuestión no se ha abordado a nivel individual en relación con las personas fundadoras o descendientes de fundadores residentes en el reparto Vista Alegre de esta ciudad.

La identidad personal constituye un elemento de gran importancia en relación con la conservación y expresión de los valores, costumbres y tradiciones que hacen de Vista Alegre un espacio único en Santiago de Cuba, que ha dejado una huella en la historia de la ciudad en general y en la historia de vida de las personas que han sido testigos de su evolución, siempre que los mismos se hayan incorporado como contenidos de la subjetividad a nivel individual; como formación psicológica compleja de la personalidad se forma, se desarrolla y se expresa en estrecha relación con las condiciones socioculturales presentes en el medio donde cada ser humano deviene personalidad, en su situación social de desarrollo.

La expresión de la identidad personal a través de valores conscientemente asumidos, mueve creencias, actitudes y comportamientos y pueden llegar a configurarse de forma tal que definan a un grupo, sociedad o cultura, por consiguiente, a sus miembros individuales a nivel social general o local particular marcando pautas de pertenencia a esos entornos. En este complejo proceso se destacan las relaciones inter y transgeneracionales que se producen en un tiempo y espacio concreto de carácter histórico definiendo los atributos esenciales de la culturización y la socialización que determinan el modelo mental o visión colectiva asociada al entorno y que se asume a nivel personológico, es por ello que en la formación y expresión de

la identidad personal se integran los elementos que definen la identidad cultural, enriqueciéndose mutuamente.

La identidad es un proceso sociopsicológico influido por la comunicación en el sentido más amplio de su comprensión y por los cambios que se producen a nivel económico, político y social, tanto internos como externos, así como por la dinámica de las interacciones entre subgrupos internos del propio grupo y las que se producen con otros grupos. El tema de la identidad en sentido general interesa a varias especialidades principalmente de las ciencias sociales y humanísticas, entre ellas la Sociología, la Historia, la Antropología Cultural, Historia del Arte y la Psicología en sus diferentes esferas: social, laboral, clínica y educativa, es por ello que los estudios sobre este tema son variados en cuanto a objetos, objetivos, metodologías empleadas, enfoques y fines de empleo de los mismos. Actualmente existe la tendencia a realizar estudios sobre la categoría identidad con un enfoque multi e interdisciplinario.

Justificación de la investigación

Se realizó **para** contribuir desde la ciencia psicológica a profundizar en la influencia del patrimonio construido en la formación de la identidad personal-cultural tomando como contexto espacial el reparto Vista Alegre de la ciudad de Santiago de Cuba por sus valores patrimoniales a partir de las personas que lo habitan, específicamente las descendientes de familias fundadoras que aun residen en él y pueden aportar valiosos testimonios sobre los valores patrimoniales del mismo desde sus orígenes, que dé cuenta de su identidad personal y cultural, rescatando así la memoria histórica. Es necesario, integrar estos elementos al ámbito de la subjetividad grupal e individual en correspondencia con la identidad en familias fundadoras. Se realiza **porque** los estudios sobre la relación identidad-patrimonio en el reparto Vista Alegres son insuficientes desde el componente subjetivo, quedando relegadas las ciencias sociales y particularmente la Psicología de los seres humanos que en él habitan. Es necesario, además, contar con informaciones que permitan posteriormente diseñar acciones de educación patrimonial e histórica para ser empleadas en las escuelas primarias del reparto teniendo en cuenta las necesidades, motivos, actitudes, sentimientos, que influyen en la formación de la misma, con la ventaja de que ya han sido capacitados los maestros de dichas escuelas. La investigación fue **viable** y **necesaria** de realizar en estos momentos por la necesidad imperante de trabajar e investigar las características de los habitantes del reparto desde lo psicológico, en este caso, la identidad como un proceso de constante construcción y transformación a lo largo del tiempo según la influencia de lo externo. El estudio aportará directamente conocimientos sobre la identidad personológica y su relación con los elementos patrimoniales y tradicionales, muy poco tratado en nuestra ciencia hasta el momento. Permitirá también como beneficio continuar promoviendo la integración de las ciencias sociales, las humanísticas y la arquitectura a través de este proyecto interdisciplinario.

La presente investigación pretende dar respuesta a los encargos en este aspecto, sobre todo por los insuficientes estudios en el reparto Vista Alegre relacionados con sus habitantes en las temáticas antes mencionadas y la necesidad identificada en relación con el rescate de la memoria histórica asociada a los estudios de identidad de los habitantes fundadores y sus descendientes, toda vez que desde el proyecto en el que se enmarca la investigación se tienen identificadas las familias fundadoras.

A partir de los elementos anteriores se propuso el siguiente **problema de investigación:** ¿Cómo se expresa en la identidad personal de los sujetos seleccionados la condición de descendientes de familias fundadoras residentes actualmente en el reparto Vista Alegre de Santiago de Cuba?

Idea a defender:

La identidad personal de los sujetos en estudio se expresa a partir de las dimensiones personales, psicológico-espirituales y axiológicas asociadas a las condiciones socio histórico y cultural que representa ser descendiente de familias fundadoras. La autoimagen, las creencias, tradiciones, costumbres, sentido de pertenencia al barrio, valores morales, así como sentido de pertenencia a un grupo social o status, van a manifestarse como elementos identitarios en la forma y estilo de vida que adoptan estos residentes.

Aspectos metodológicos.

Se empleó la metodología cualitativa, en correspondencia con el objeto y los objetivos de la investigación. La misma posibilita la descripción, análisis, interpretación y comprensión de los complejos fenómenos socioculturales desde una perspectiva humanista. La investigación fue de tipo descriptivo. Sampiere (2010) Como **método de investigación** se escogió el **método biográfico**. El mismo permite emplear técnicas basadas en la indagación sobre las historias de vidas tal como son relatadas por los propios sujetos (Sautu, Ruth. 1999) y de esta manera obtener el testimonio subjetivo de los sujetos seleccionados a través de sus experiencias, vivencias y su visión particular en relación con los elementos que más interesan, en este caso, los elementos que más identificaron a sus familias en su vida en el reparto Vista Alegre, teniendo en cuenta que por su condición de descendientes de familia fundadora del reparto, han permanecido en él un largo periodo de tiempo y con el método biográfico podemos entender cómo se ha ido formando y enriqueciendo su identidad a partir de los indicadores establecidos, que nos permite comprender sus vidas como reflejo de una época, las normas sociales y valores compartidos, entre otros. (Abett, 2009).

A través del método biográfico, como método de investigación se podrá recoger el testimonio subjetivo de los sujetos referido tanto a los acontecimientos como a las valoraciones que hacen respecto a sí mismos y a su propia existencia. La investigación biográfica es esencialmente una descripción fenomenológica que exige de cuatro habilidades en el investigador: observar, escuchar, comparar y escribir.

Es por ello que la identidad personal asociada a la condición de familias fundadoras del reparto Vista Alegre, en los sujetos en estudio, desde esta metodología de trabajo, se podrá comprender a partir del discurso que los sujetos construyen acerca de sus vivencias personales aportando importantes conocimientos acerca de su identidad personal.

Según las posibilidades y variantes de este método se empleó el relato de vida tal y como la persona que la ha vivido la cuenta con posibilidades de apoyarse en otros recursos documentales adicionales respecto a la información que brinda para facilitar la reconstrucción más objetiva posible: documentos personales que poseen valor afectivo o simbólico para el sujeto, videos, diarios, fotos y objetos personales obtenidos por el investigador a través de las entrevistas y otros. En el caso de esta investigación se aportaron por parte de los sujetos fotos y documentos de la época.

El **método biográfico** se empleó a través de las siguientes etapas:

- Etapa Inicial: Elaboración del planteamiento teórico, de las ideas de partida, justificación de la elección del método, delimitación del universo y establecimiento de los criterios de selección de los sujetos.
- Transcripción y registro: Recogida de la información biográfica, registro y transcripción.
- Análisis e interpretación.
- Presentación y publicación de los relatos biográficos.

Técnicas y procedimientos

Técnicas empleadas :

Entrevista a profundidad, en la variante de relato de vida, en correspondencia con el método biográfico. El objetivo fundamental fue conocer los elementos más significativos sobre la forma en que se expresa la identidad personal en los sujetos, sus costumbres, tradiciones, sentido de pertenenciapor el barrio entre otros. Sampiere (2010)

- **Observación.**

Sujetos de la investigación

Informante clave: En la investigación participó un sujeto en calidad de informante clave de sexo masculino, 81 años de edad, siempre ha trabajado como empleado en diferentes casas de familias en el reparto Vista Alegre y actualmente continúa trabajando en algunas como jardinero. El objetivo de su participación fue recoger testimonios preliminares antes de entrevistar a los sujetos seleccionados, referidos a los elementos que distinguían al reparto Vista Alegre y sus familias desde las vivencias de sus relaciones con aquellas con las cuales trabajó o conoció. Esta información nos permitió una ubicación anticipada en la problemática a estudiar. El objetivo principal era conocer aspectos fundamentales sobre las características, costumbres, tradiciones y valores principales de las familias fundadoras del reparto Vista Alegre.

Criterio de selección de los sujetos de la investigación: Fueron seleccionados a partir de la base de datos consultada que se tiene elaborada en el proyecto, a partir de la condición de descendientes de familias fundadoras del reparto Vista Alegre, que residen actualmente en el mismo.

Se seleccionaron en esta etapa de la investigación 3 sujetos intencionalmente tomando como criterio al más joven y a las de mayor edad para trabajar un **estudio de casos múltiples**, de manera tal que nos permitiera contrastar la información obtenida de los testimonios y relatos ofrecidos.

Sujeto 1. Sexo masculino, edad 50 años. Ocupación: Funcionario administrativo. Nacido en el reparto y siempre ha vivido en él, aunque en dos casas diferentes. Procede de una familia de la alta burguesía, dedicada a la fabricación y comercialización de lámparas de lujo, cuya compañía se conoció como ***Lámparas Quesada.***

Sujeto 2. Sexo femenino, edad 86 años. Nivel escolar medio. Educada en colegios religiosos. Ocupación: jubilada, ama de casa. Nacida en el reparto y siempre ha vivido en él aunque en dos casas diferentes. Procede de una familia cuyo abuelo fue el Presidente del Canada Bank, en Santiago de Cuba.

Sujeto 3. Sexo femenino, edad 80 año. Nivel universitario. Licenciada en Filosofía y Letras por la Universidad de La Habana, actualmente jubilada. Nacida en el reparto y ha vivido siempre en la misma casa. Las casas que rodean la suya al frente y al lado también pertenecieron a su familia original, en una habitan descendientes jóvenes y la otra fue donada a la iglesia y ahora es una casa de retiro de monjas. Procede de una de las familias fundadoras más adineradas del reparto.

Procedimiento de análisis

Las entrevistas, relatos de vida y testimonios, fueron grabadas y filmadas con el consentimiento de todos los sujetos. Luego se procedió a la transcripción y registro de identificación de las mismas en función de los objetivos del trabajo y los indicadores definidos para el estudio de la identidad personal de los sujetos descendientes de familias fundadoras del reparto Vista Alegre. Posteriormente se empleó la técnica de análisis de contenido para interpretar la información obtenida de los discursos de los sujetos, así como de las observaciones realizadas y la documentación aportada en los casos en que esto ocurrió, permitiendo triangular los datos acopiados, valorados e interpretados, al procesarse las anotaciones particulares de todos los investigadores participantes, lo cual permitió distinguir las aportaciones más relevantes de cada sujeto.

Resultados (ejemplos de opiniones)

Informante Clave.

El sujeto se desempeñó como jardinero en el período en que aún no había triunfado la Revolución en 1959 y Vista Alegre constituía la máxima expresión de la burguesía santiaguera como barrio. Trabajó para muchas de estas familias adineradas y mantuvo un contacto cercano, por lo que fue considerado una persona de alto valor para nuestro proceso investigativo.

El sujeto de 81 años refiere que: *se ha desempeñado como jardinero en el reparto desde el año1954 y que para acceder al reparto tenía un pase especial ya que no se le permitía la entrada a cualquier persona.* En su discurso manifestó que *siempre se le trató con mucho respeto por parte de las familias, que estas siempre se encontraban en sus casas de forma independiente, se respetaba mucho la privacidad familiar.* Recuerda que*, en los grandes jardines de muchas de estas casas, se sentaban las familias en las tardes y conversaban muchísimo, nunca se veía una discusión o muestra de desunión entre sus miembros. Expresa que para cada familia existían múltiples trabajadores que se ocupaban de las tareas del hogar, él se ocupaba de mantener la imagen externa de las casas, cuidando los hermosos y grandes jardines que rodeaban las majestuosas residencias.*

El sujeto reconoce el cambio social que se produjo al triunfar la Revolución, al emigrar la mayoría de esas personas del país, cambia de una forma drástica la nueva población que comenzó a ocupar el reparto, dejó de ser elitista para convertirse en un espacio con acceso libre a cualquier persona*. Ya no era una prioridad el mantenimiento de la belleza externa en cada casa que simbolizaba el poder*. Los elementos que más destaca son los referidos *a los valores, la tranquilidad, sus principales creencias en cuanto a la concepción del mundo, pues todas las familias,* alega*, iban a la iglesia católica cada domingo a misa, lugar que constituía además del Club Vista Alegre un centro de reunión importante para la clase burguesa.* Señala *que son apreciables las transformaciones no solo en el orden arquitectónico, sino también subjetivo y que ya Vista Alegre no es lo que era antes porque todo ha cambiado y las casas están casi destruidas y hay nuevas divisiones que no se hicieron cuando se construyeron y que hay otras personas que vinieron de otros lugares y no han cuidado las cosas y algunos no tienen la mejor educación.*

Sujeto 1

La identidad personal del sujeto se expresa en un fuerte sentido de pertenencia por el reparto, desde niño le gustaba la historia del mismo, lo cual le permitió colaborar en un libro sobre el reparto Vista Alegre. Mantuvo un fuerte vínculo afectivo con sus abuelos, quienes sí fueron fundadores del reparto, mantuvieron siempre conversaciones acerca de los modos de vida de sus habitantes desde inicios de la creación del reparto en 1907 por lo que el sujeto refiere*: mis abuelos conocieron a todas esas familias que fueron fundadoras del reparto, y conversaban mucho conmigo, desde niño siempre me gustó la historia, me gustó conocer de qué familia había sido la mansión donde instalaron el Palacio de los Pioneros, de quién era esta casa, y de quién era la otra, acerca de sus historias , de las familias y por eso en realidad es que yo tengo este conocimiento de antiguos residentes del barrio. Es un reparto residencial, antes estuvo muy bien cuidado, donde la mayoría de sus habitantes eran personas adineradas, en el que prevalecía el respeto entre los vecinos al igual que en el seno familiar, al transitar por las calles predominaba la armonía, el silencio, así como la cultura, los jóvenes se reunían en el Vista Alegre Club y practicaban deportes como la natación, el baloncesto, etcétera. La mayoría de las personas eran de formación católica y estudiaban en colegios muy buenos.* Aquí el sujeto resalta costumbres y tradiciones características del Vista Alegre original, de los valores que predominaban en las familias y pudimos identificar en él un fuerte vínculo identitario y orgullo hacia el mismo, pero en función del pasado mayormente. Refiere que *por razones económicas tuve que vender mi casa, estaba muy deteriorada, y quedó mucho más dañada después del huracán Sandy, está ubicada en un lugar privilegiado en la Avenida Manduley, la principal calle del reparto*, *yo vivía solo con mi madre anciana, allí estaban todos nuestros recuerdos, pero nadie se preocupaba por brindar atención a estas casas antiguas y se nos venía encima, ya solo podíamos estar en la parte trasera de la casa, se la vendimos a un español* y añade: *para no alejarme nunca de una zona tan bonita y del reparto que tanto me gusta y quiero y donde siempre he vivido, me mudé a solo unas cuadras de distancia, en un lugar muy diferente, un edificio de apartamentos de la época moderna y más pequeño, pero en Vista Alegre, nunca me hubiera ido para otro lugar, pero ya no es como antes, da pena ver cómo han cambiado*

algunas casas de avenida Manduley. El sujeto muestra el profundo arraigo que siente por el barrio, transmitido por su ascendencia, pero también insatisfacciones por el estado actual de algunos elementos del reparto.

Manifiesta sentimientos de inconformidad con algunos cambios que ha detectado, y dice que: *somos muy pocos los que quedamos, las personas que ahora residen aquí no se comportan de la misma manera que a mí me enseñaron, no tienen la misma formación y educación y a veces se observan elementos negativos que antes no existían, ya no es el mismo silencio y tranquilidad que primaba antes, las cosas del barrio no se cuidan igual que antes, a nadie le importa y eso es muy triste, ver cómo se pierden casas que pudieran rescatarse para en el futuro poder seguir mostrando la belleza de Vista Alegre.*

Recuerda que: *en el centro de la avenida se sentaban las familias, a veces, en las tardes a conversar, todos se relacionaban muy bien, las niñas jugaban y patinaban por las calles de menos tránsito, ya que era una zona donde solo transitaban los residentes y la mayoría tenía autos.* Los elementos identitarios se destacaron en su sentimiento de insatisfacción por la imagen actual del reparto y un elemento significativo es el uso del término *¨era¨ para referirse al pasado,* respecto a elementos característicos del reparto.

Refiere también que: *siento un estado de ánimo de alegría cuando embellecen el reparto, cuando hacen reparaciones, cuando veo que alguien se ocupa de todo y queda brillante y limpio, porque Vista Alegre es un barrio residencial y tranquilo donde quiero pasar el resto de mi vida.*

Estos elementos nos permitieron identificar en el sujeto de investigación según los indicadores establecidos, una gran identificación (autoimagen) con el reparto, sus características y residentes, arraigo y aceptación total por las tradiciones y costumbres originales del mismo, en su voluntad de que se mantengan y se sigan transmitiendo como lo hicieron sus antecesores con él y una subjetivación auténtica de los valores morales propios y comunes en los residentes, así como elevado nivel de insatisfacción con el deterioro material actual del reparto.

Sujeto 2

Es una persona de la tercera edad de sexo femenino, de 86 años, residente en el reparto desde que nació. Su abuelo ocupó el cargo de presidente de una sucursal de un banco canadiense: Presidente del Canada Bank, y al preguntarle durante la entrevista cómo eran las tradiciones y costumbres en ese periodo comenzó diciendo que - *era muy distinto todo*, lo cual constituye un indicador claro de su opinión acerca de las transformaciones acaecidas en el reparto y su estado de opinión sobre el presente, de que los elementos que primaban en el reparto ya no existen en el presente.

Respecto a las costumbres y tradiciones que aprendió en su familia desde joven, dijo que *era muy distinto, había mucho respeto**.** Abuelo era una persona muy fuerte en esos aspectos, no podíamos sentarnos a la mesa ni en chancletas ni en batas de casa, había que vestirse, abuelo decía que las batas de casa y las chancletas eran para el baño y para dormir. Todos debíamos almorzar y comer juntos**.*** Nuevamente resalta

el elemento de lo distinto, la expresión del cambio entre el antes y el ahora, elementos que existían que y que ya no están. Se manifiesta en el sujeto una identificación con costumbres relacionadas con valores familiares, el respeto a la figura patriarcal del abuelo como elemento distintivo. Estos son indicadores de la imagen que debían proyectar las personas en la época, siempre vestidos acorde a la ocasión y son evidencia de cómo se transmitieron esas costumbres y tradiciones, la importancia del vínculo familiar en edades tan tempranas y el arraigo posteriormente de estos elementos identitarios.

Como otros datos relevantes de la identidad personal pudimos analizar que se mantiene una continuidad subjetiva respecto a esas normas sociales que imperaban en la época, cuando le preguntamos si se mantienen esas costumbres y ella responde que: *esa costumbre se mantiene más o menos, yo regaño mucho a mi nieto porque él siempre está en camiseta, sale a la calle en camiseta y es otra cosa diferente, la costumbre del respeto y demás si se mantiene en mi familia.* Se evidencia un respeto por normas sociales prestablecidas, la autoimagen en el sentido de verse a uno mismo y proyectar una imagen de uno mismo acorde a las normas impuestas y respetada por los mismos habitantes.

Esas costumbres y tradiciones tuvieron una influencia directa en su concepción del mundo, se nota la forma en que se complementan como formaciones motivacionales complejas, en este caso, una concepción del mundo asociada a la religión, con elementos de la religión católica, en aquel entonces, la que practicaban la mayoría de los residentes en el reparto que tenían la costumbre (aún presenten en muchos de ellos) de ir cada domingo a la misa que tenía lugar en la iglesia de Vista Alegre, sita en calle 13. Manifiesta que *en esa época existía una amistad muy sincera, no había lo que hay ahora… el brete, el problema, todo lo que hay ahora, porque uno estuvo educado en colegio de monjas.* Aquí se muestra hasta qué punto regula esa identidad personal su concepción del mundo, regula su comportamiento no solo consigo misma, sino también hacia los demás, cómo era su desenvolvimiento social. Las creencias y valores morales asociadas a los patrones de conducta inculcados por su familia se evidencian en esta expresión. La concepción de la amistad, el respeto, la forma de proyectarse y convivir con el otro se asocia a una concepción del mundo religiosa que supone para el sujeto la norma, lo correcto.

En cuanto a elementos muy distintivos sobre la forma en que vivía esa clase social, refiere que: *mi abuelo y mi mamá eran unas personas muy humanitarias, buenas con los demás… en mi casa estaba la cocinera, la que limpiaba y la que servía la mesa, las niñeras, el chofer, el jardinero y la ama de llaves.* Al respecto sobre las situaciones y clases sociales manifiesta que: *Yo diferencio adinerada de burguesas, hay partes de los burgueses con que yo no estaba de acuerdo, no trataban a la servidumbre con respeto*. Podemos interpretar esto como una formación de valores estables que posee relacionados con el bienestar del ser humano, una concepción del mundo humanista. A diferencia de muchos de los estigmas relacionados con los residentes de Vista Alegre, el sujeto afirma existir una diferencia entre las mismas personas adineradas del reparto y esta radica, en los valores morales humanos, lo cual demuestra que el entorno y el contexto influye en el sujeto, pero no de forma lineal, hay una mediación de subjetividades que propicia qué se configura en nosotros y qué no.

Respecto a la imagen actual se expresa el sentido de pertenencia y el sentir del sujeto por el reparto, por sus tradiciones y costumbres, así como por los valores morales que predominaban en sus residentes y hoy no ocurre precisamente de la misma forma, ella expresa: y*o, sinceramente me siento triste, ya esto no es lo que era antes, las casas muchas están destruidas porque cuesta mucho dinero arreglarlas, las personas que caminan y viven aquí no son iguales… gritan y no tienen el mismo respeto de antes.* La identidad personal del sujeto se expresa en estados de ánimos negativos, asociados al estado actual en que se encuentra el reparto, tanto en el espacio físico como espiritual. Y continuó señalando: *Yo sufro mucho porque tuvimos que vender la casa de mi abuelo donde viví hasta después del huracán Sandy, esa casa es muy linda, se conservaban las lámparas y muchas cosas originales, pero el ciclón se llevó el techo que era de tejas francesas y lo que me dieron para ponerle de techo era zinc y eso nada tenía que ver con la casa. No tenemos posibilidades económicas para reparar la casa y no quedó otra alternativa que venderla y comprar apartamentos para mis hijas y para mí, que ahora vivo en este apartamento donde no me caben mis muebles porque las habitaciones son muy pequeñas, pero no pude hacer otra cosa. Mire las fotos de mi casa y pase por allí por calle 8 para que la vea como está, los que la compraron tampoco han podido terminar de arreglarla. Yo no creo que las instituciones culturales del reparto contribuyan a cuidarlo y algunas creo que están aquí por error. No visito ninguna.*

Sujeto 3

Sexo femenino, edad 80 años. Nivel universitario. Licenciada en Filosofía y Letras por la Universidad de La Habana, actualmente jubilada. Procede de una de las familias fundadoras más adineradas del reparto. Nacida en el reparto y ha vivido siempre en la misma casa. La familia de origen construyó tres mansiones, en una de las cuales ha vivido siempre, en otra viven familiares descendientes también y la principal fue donada a la iglesia y actualmente es un retiro para monjas.

Se mostró sorprendida al conocer acerca de la realización de la investigación y expresó con curiosidad su disposición para ser entrevistada. Expresó que *mi familia era de muy buena posición social, pero por tener dinero no eran arrogantes, al contrario, en la casa nos cuidaba una niñera negra que era muy querida y tenía buenas condiciones de vida en la casa. Las familias de Vista Alegre siempre nos encontrábamos en la iglesia, en el Vista Alegre Club o en actividades sociales en otros lugares de la ciudad, éramos muy respetuosos entre todos y al interior de las familias. Las personas mostraban cultura, las muchachas aprendían oficios como costura y bordado, también en las casas había bibliotecas y los jóvenes leían mucho. Entre las generaciones había jerarquía y se guardaba obediencia. Prevalecían las buenas costumbres de educación y eso ha quedado en mi familia como tradición, somos muy religiosos y aunque los más jóvenes ya tienen otra forma de ser yo sé que sienten orgullo por pertenecer a la familia. Dos de mis hijos varones viven en Estados Unidos pero las hembras viven en Cuba y la menor aquí conmigo. A mí me gustaba más el reparto como era antes por el ambiente que había, la tranquilidad, las casas y todas las construcciones estaban más cuidadas, ahora uno ve cómo todo se va transformando y las autoridades no intervienen. Yo he sufrido mucho porque también nos apartaron un poco a los que nos decían "los ricos de*

Vista Alegre", en vez de acercarse más. Yo estudié en La Habana y siempre añoraba venir a Santiago, Vista Alegre era muy hermoso, por su vegetación por sus edificaciones. Nunca me fui de aquí, pero ya no sé qué siento por el reparto, no lo veo igual y eso duele mucho. Para mi es el lugar más lindo de la ciudad. No me identifico con las instituciones culturales que han instalado en el reparto, algunas nada tienen que ver con las características de sus habitantes y pienso que las han traído para acá para aprovechar las casas, debían hacer más por el mantenimiento del reparto, son tantas las cosas que han destruido o transformado que ya uno ni puede recordar cómo era originalmente. Hasta han aparecido los nuevos depredadores que pasan por estas casas comprando antigüedades y yo me niego a vender algo, y me aumentan la oferta, pero yo les digo que eso me llena el espíritu y que también lo disfruto porque estoy viva y son recuerdos de familia. Hace poco para el día de las madres por primera vez se desmontó esa lámpara de la sala, con cada una de las lágrimas y adornos y se montó limpia y como misma estaba, al menos si afuera las cosas se han destruido aquí dentro las conservamos.

Resultó interesante que devolviera a los entrevistadores la pregunta: *¿ustedes creen que esto se pueda arreglar algún día?, mostrando en su lenguaje extraverbal gestos de incertidumbre.*

Es una persona de un elevado nivel educacional y cultural, que manifiesta sentimientos de identidad acorde a sus creencias religiosas católicas y a las normas y costumbres en que fue educada.

Síntesis de la valoración de los resultados

La identidad personal de los sujetos descendientes de familias fundadoras en el reparto Vista Alegre está formada por un sistema de creencias, valores, hábitos y costumbres relacionados con el contexto sociocultural en que se desenvuelven. Se manifiesta en ellos una dualidad entre un profundo sentido de pertenencia, aceptación e identificación por las mismas, así como una percepción de diferencias entre el Vista Alegre original y el actual**,** tanto en aspectos objetivos de carácter material como en los aspectos subjetivos.

El reparto Vista Alegre constituye un sitio de características particulares de valor patrimonial en la ciudad de Santiago de Cuba,

que ha sufrido las consecuencias del deterioro ambiental y urbano, afectando los sentimientos de pertenencia de sus habitantes

descendientes de fundadores. Los entrevistados narran sus historias con un marcado sentimiento de insatisfacción por el estado

actual del reparto

La imagen actual del reparto Vista Alegre no se corresponde a la que cuentan los descendientes de sus familias fundadoras. Las expresiones

de tradiciones y costumbres originales son cada vez más escasas, la población ha aumentado notablemente y no cuentan con esos valores morales

originales, no son parte en ocasiones del respeto e identificación por un lugar esculpido por la modernidad y cubierto con la belleza de la naturaleza.

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Entrevista

La carrera de psicología de la Universidad de Oriente se encuentra haciendo una investigación sobre el reparto Vista Alegre con el objetivo de conocer algunas opiniones que sobre el mismo tienen sus residentes, es por eso que le solicitamos su cooperación para contribuir a ofrecernos información al respecto, si está de acuerdo, por favor responda las siguientes preguntas:

Edad

Sexo

Tiempo que lleva residiendo en el reparto

Qué tradiciones y costumbres identifican a los residentes en el reparto Vista Alegre, según su opinión?

Se identifica usted con ellas?

Cuáles son las que más le satisfacen?

Cuáles son las que menos le satisfacen?

Le gusta el reparto Vista Alegre? Por qué?

Le concede alguna importancia al reparto Vista Alegre en el contexto de la ciudad de Santiago de Cuba? Cuál?

Puede identificar algunas transformaciones que hayan ocurrido en el reparto en los últimos tiempos?

a. Cuáles?

b. Cómo las valora: positivas o negativas?

Qué opina del estado actual en que se encuentra el reparto Vista Alegre?

Conoce las instituciones culturales que existen en el reparto? Menciónelas

Se vincula usted a las actividades culturales que en ellas se desarrollan?

Si_ No_

De ser afirmativa l respuestas anterior: A cuáles instituciones se vincula?

Por qué?

Quiénes participan en las actividades culturales de estas instituciones?

Qué opina acerca de la ubicación de estas instituciones culturales en el reparto Vista Alegre?

En su opinión, cómo influyen las instituciones culturales que existen en el reparto Vista Alegre en sus residentes? (respecto a tradiciones, costumbres, conocimientos, valores, otras)

Le agradan estas instituciones culturales? Por qué?

Qué tipo de institución cultural le gustaría que existiera en el reparto Vista Alegre?

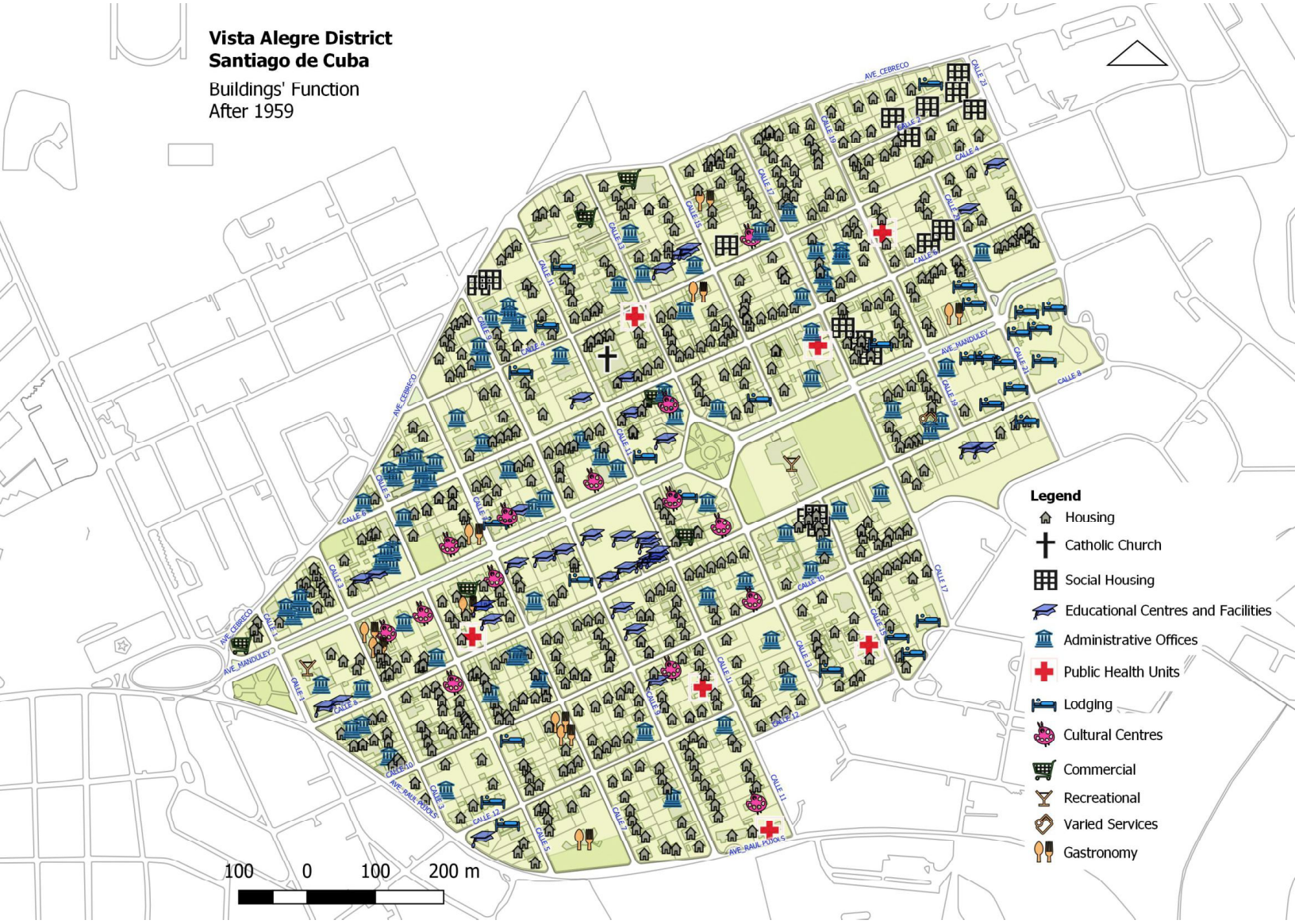
Qué significa para usted vivir en el reparto Vista Alegre?

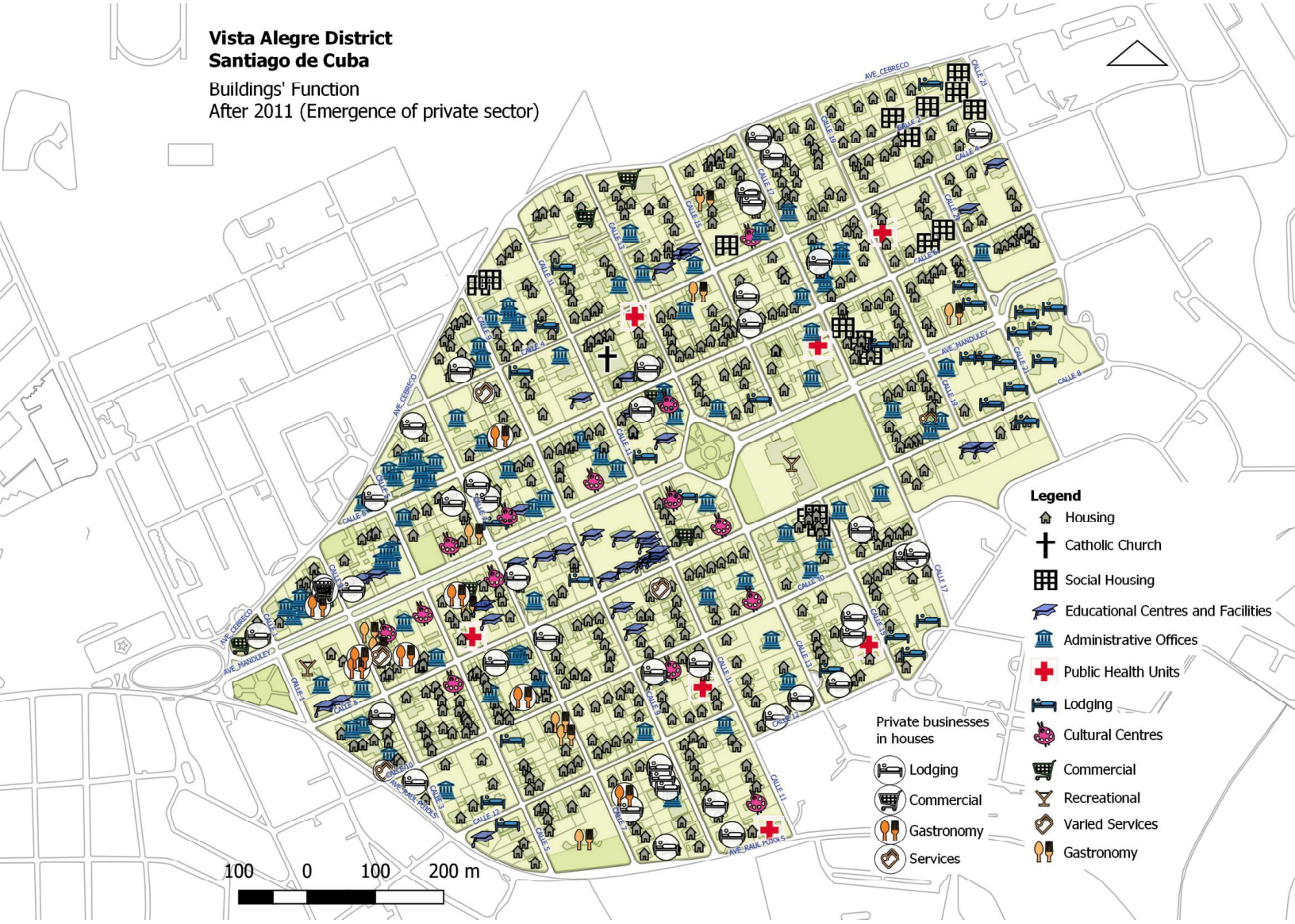
Por favor, alguna otra cuestión que quiera plantear?...

ANNEX 5.6 **Vista Alegre District**
Santiago de Cuba

Buildings' Function
Before 1959



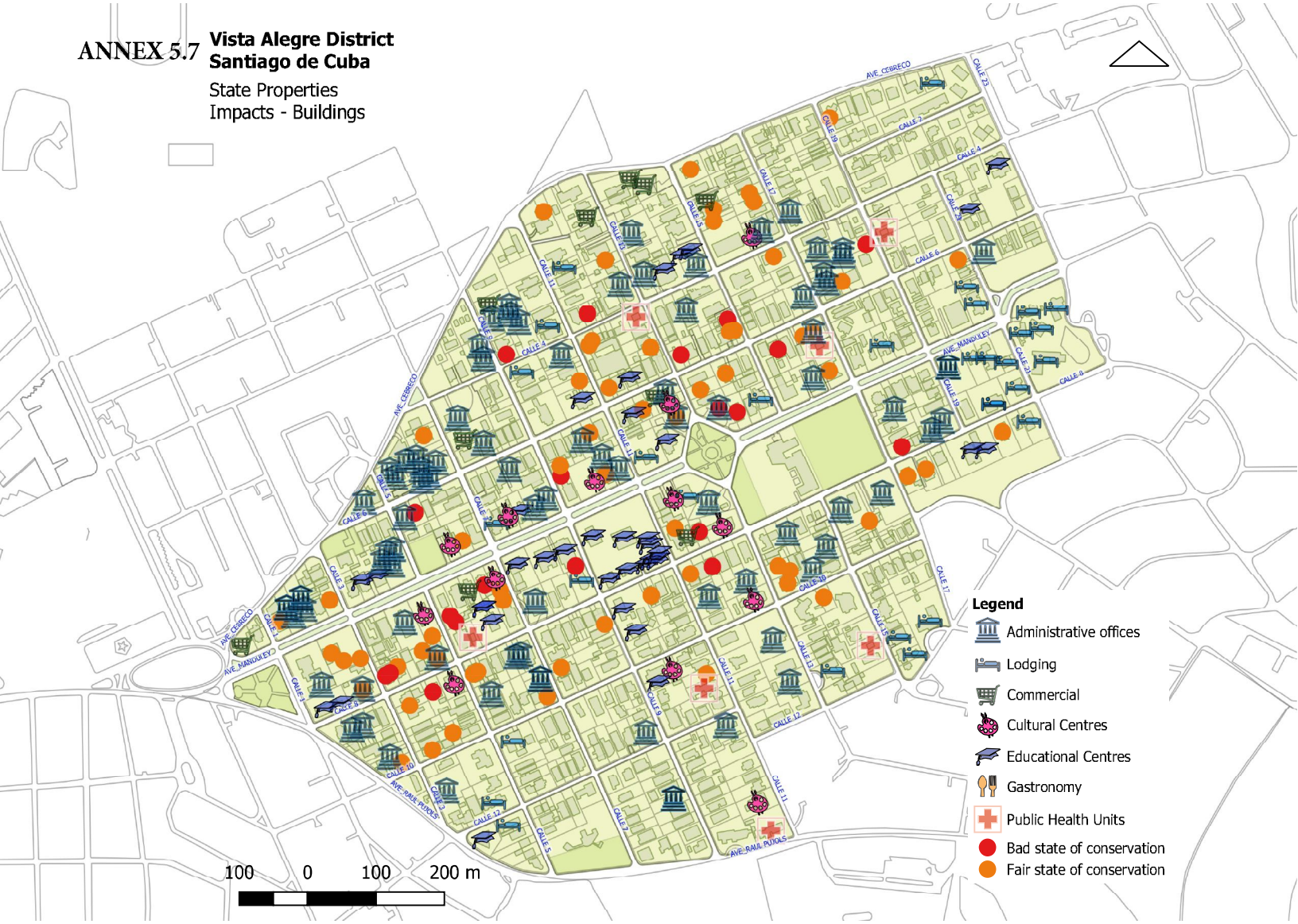

Vista Alegre District
Santiago de Cuba
Buildings' Function
After 1959
Legend
Housing
Catholic Church
Social Housing
Educational Centres and Facilities
Administrative Offices
Public Health Units
Lodging
Cultural Centres
Commercial
Recreational
Varied Services
Gastronomy
100 0 100 200 m
AVE. CEBRECO
AVE. MANDULEY
AVE. RAUL PUJOLS
CALLE 1
CALLE 2
CALLE 3
CALLE 4
CALLE 5
CALLE 6
CALLE 7
CALLE 8
CALLE 9
CALLE 10
CALLE 11
CALLE 12
CALLE 13
CALLE 15
CALLE 17
CALLE 19
CALLE 21
CALLE 23

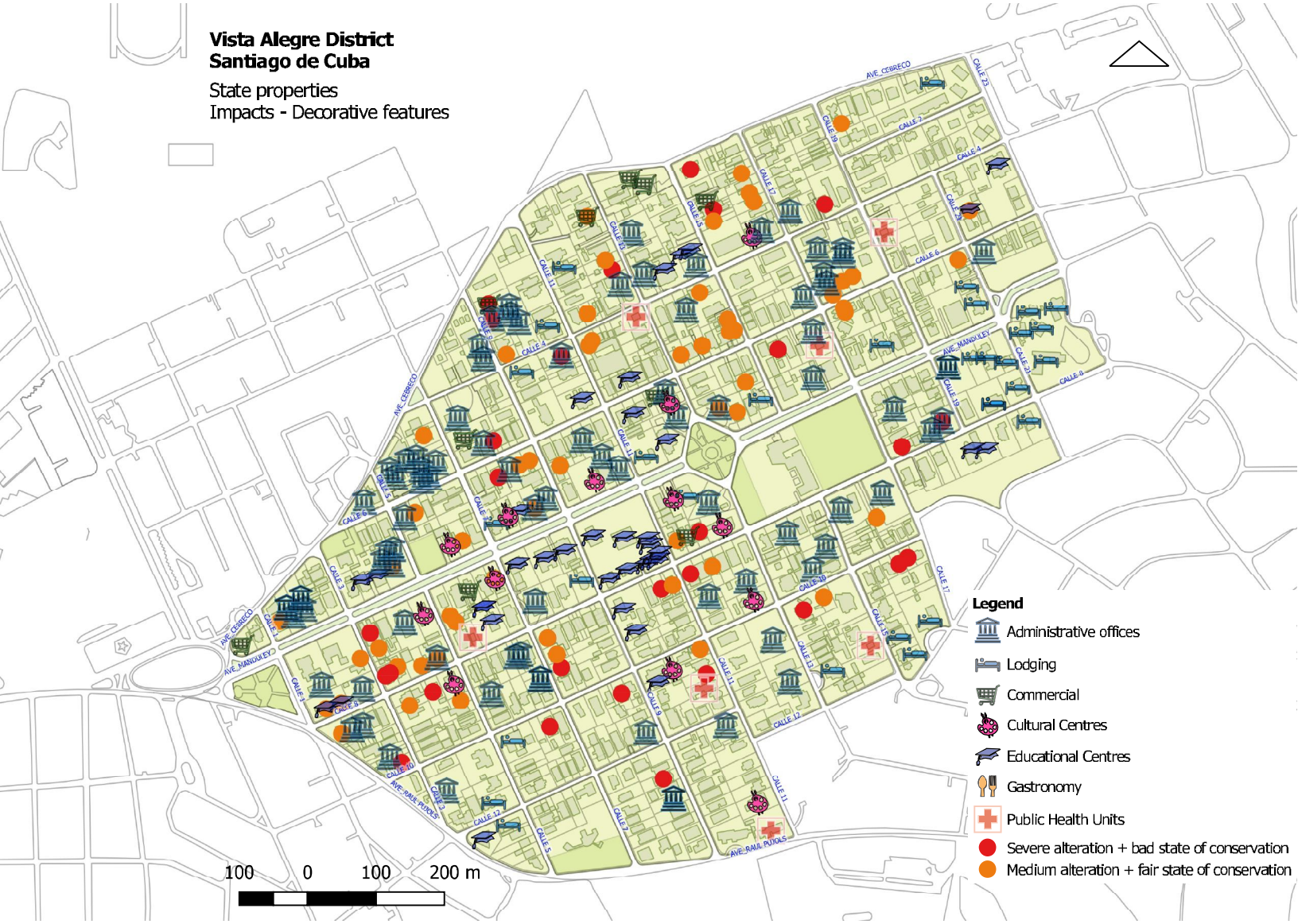

Vista Alegre District
Santiago de Cuba
Buildings' Function
After 2011 (Emergence of private sector)
AVE. CEBRECO
AVE. MANDULEY
AVE. RAUL FUDOLS
CALLE 1
CALLE 2
CALLE 3
CALLE 4
CALLE 5
CALLE 6
CALLE 7
CALLE 8
CALLE 9
CALLE 10
CALLE 11
CALLE 12
CALLE 13
CALLE 15
CALLE 17
CALLE 19
CALLE 21
CALLE 23
Legend
Housing
Catholic Church
Social Housing
Educational Centres and Facilities
Administrative Offices
Public Health Units
Lodging
Cultural Centres
Commercial
Recreational
Varied Services
Gastronomy
Private businesses in houses
Lodging
Commercial
Gastronomy
Services
100 0 100 200 m

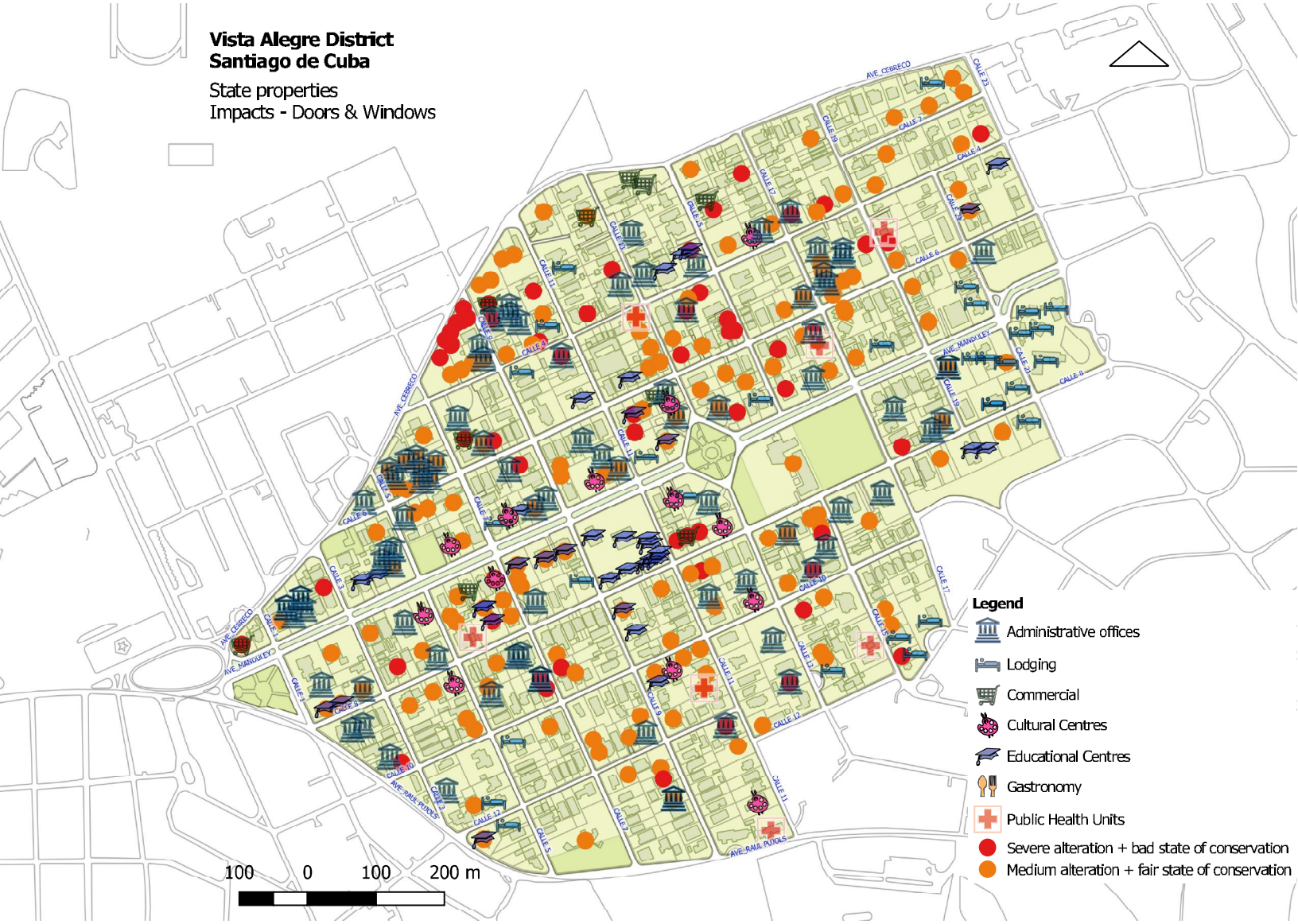
ANNEX 5.7

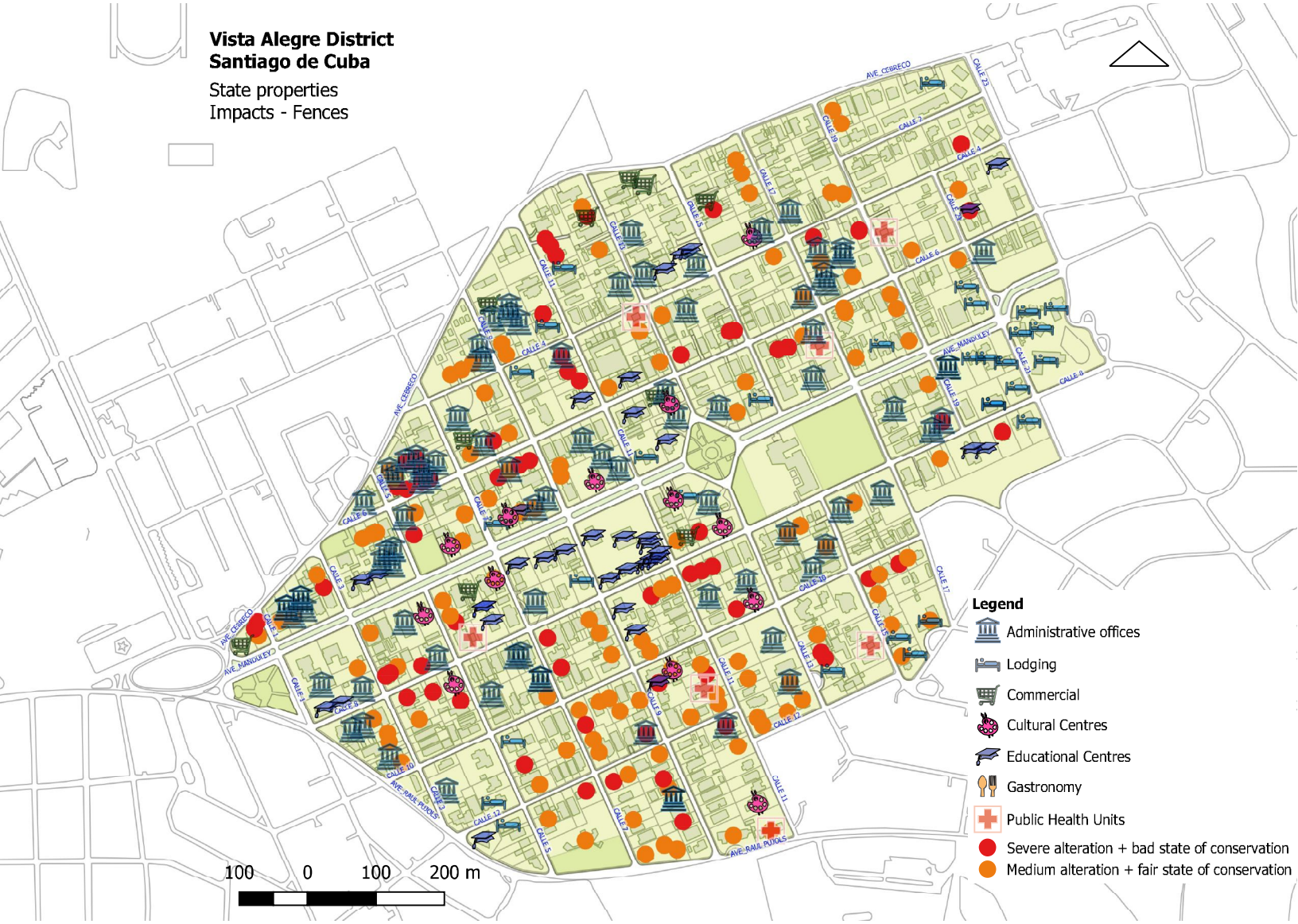
Vista Alegre District
Santiago de Cuba

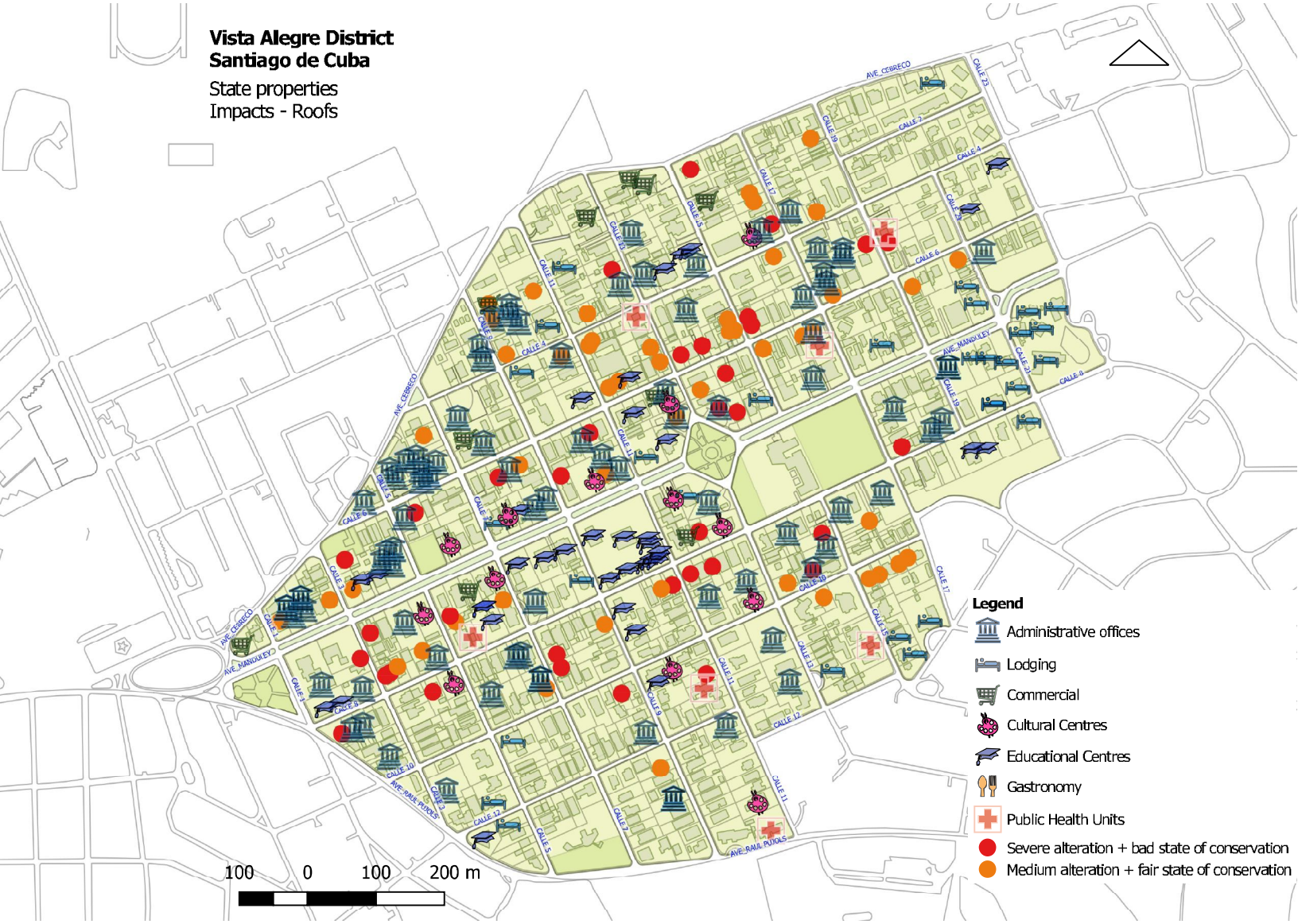
State Properties
Impacts - Buildings

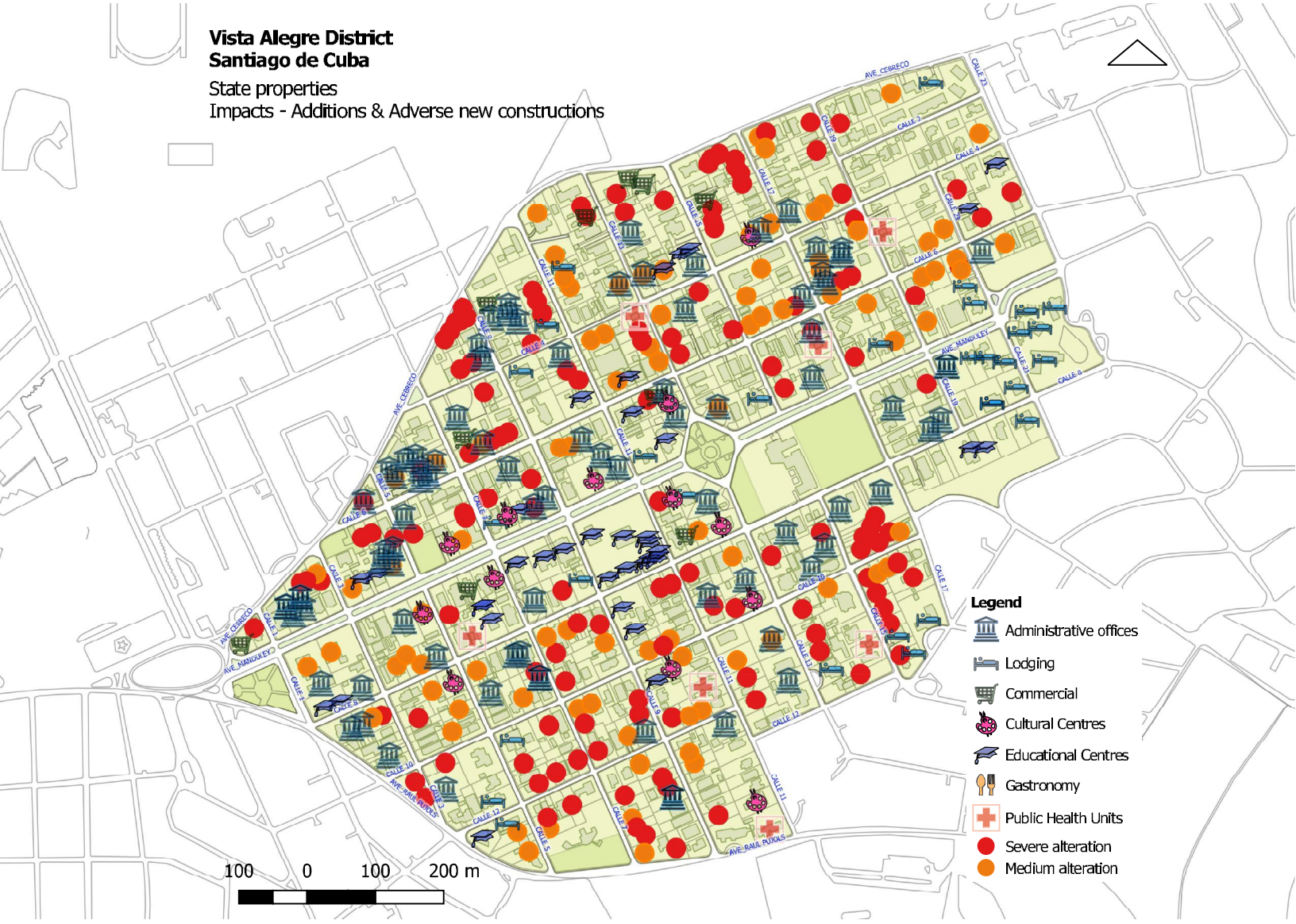


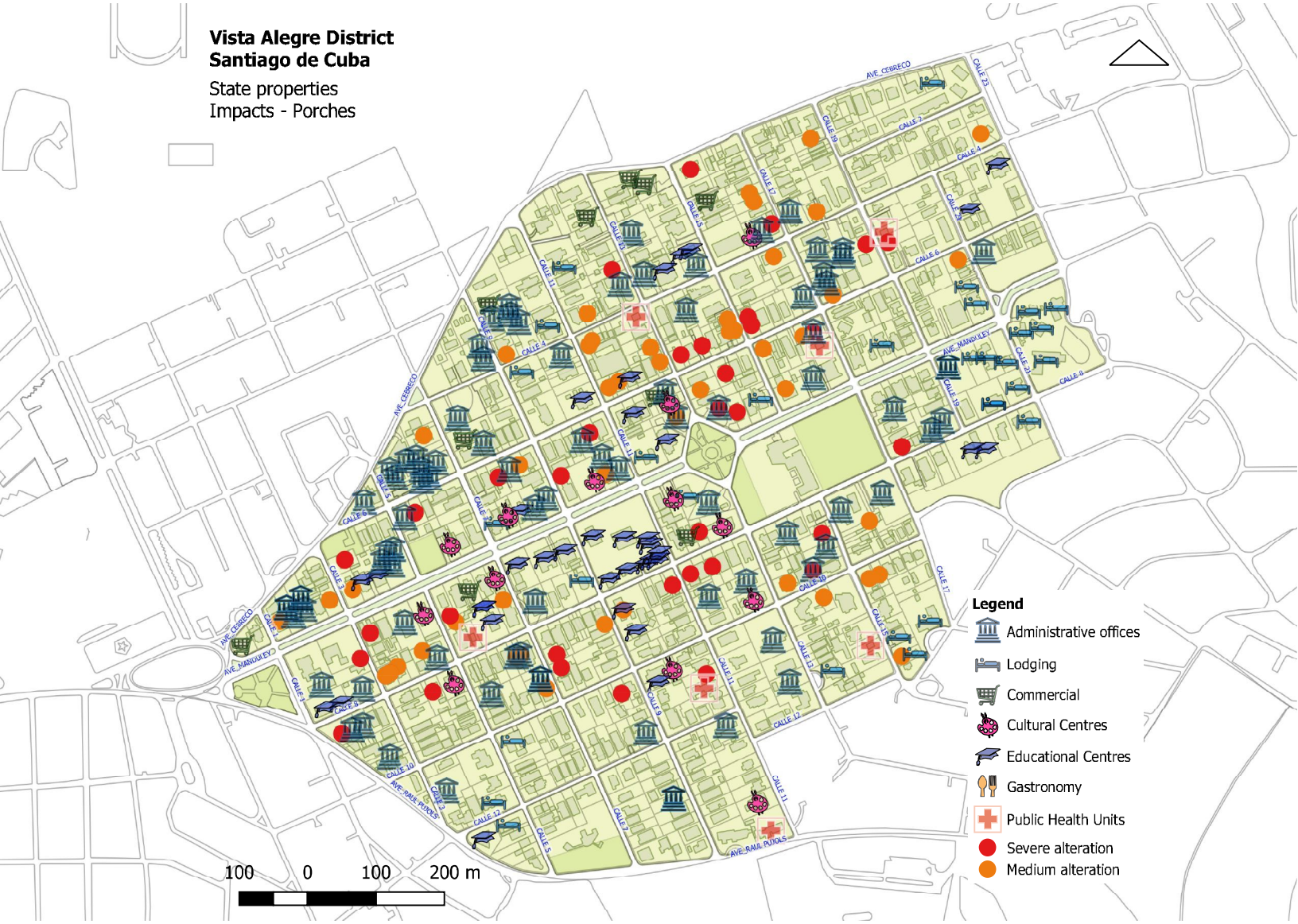

Vista Alegre District
Santiago de Cuba
State properties
Impacts - Decorative features
AVE. CERRECO
AVE. MANDULEY
AVE. RAUL PUJOLS
CALLE 1
CALLE 2
CALLE 3
CALLE 4
CALLE 5
CALLE 6
CALLE 7
CALLE 8
CALLE 9
CALLE 10
CALLE 11
CALLE 12
CALLE 13
CALLE 15
CALLE 17
CALLE 19
CALLE 21
CALLE 23
100 0 100 200 m
Legend
Administrative offices
Lodging
Commercial
Cultural Centres
Educational Centres
Gastronomy
Public Health Units
Severe alteration + bad state of conservation
Medium alteration + fair state of conservation

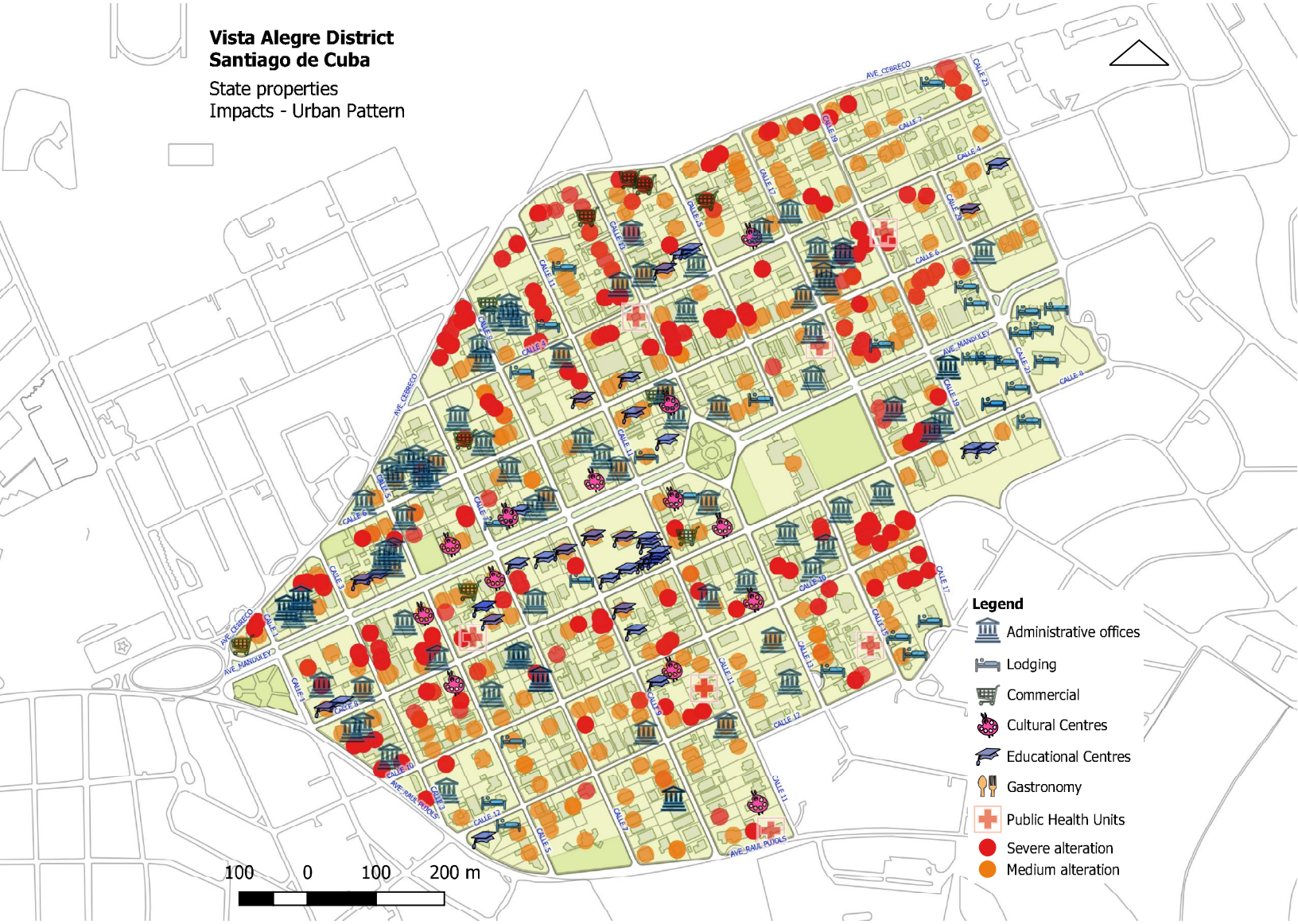

Vista Alegre District
Santiago de Cuba
State properties
Impacts - Doors & Windows
Legend
Administrative offices
Lodging
Commercial
Cultural Centres
Educational Centres
Gastronomy
Public Health Units
Severe alteration + bad state of conservation
Medium alteration + fair state of conservation
100 0 100 200 m


Vista Alegre District
Santiago de Cuba
State properties
Impacts - Fences
Legend
Administrative offices
Lodging
Commercial
Cultural Centres
Educational Centres
Gastronomy
Public Health Units
Severe alteration + bad state of conservation
Medium alteration + fair state of conservation
100 0 100 200 m


Vista Alegre District
Santiago de Cuba
State properties
Impacts - Roofs
Legend
Administrative offices
Lodging
Commercial
Cultural Centres
Educational Centres
Gastronomy
Public Health Units
Severe alteration + bad state of conservation
Medium alteration + fair state of conservation
100 0 100 200 m
AVE. CEBRECO
AVE. MANDULEY
AVE. RAUL PUJOLS
CALLE 1
CALLE 2
CALLE 3
CALLE 4
CALLE 5
CALLE 6
CALLE 7
CALLE 8
CALLE 9
CALLE 10
CALLE 11
CALLE 12
CALLE 13
CALLE 15
CALLE 17
CALLE 19
CALLE 21
CALLE 23


Vista Alegre District
Santiago de Cuba
State properties
Impacts - Additions & Adverse new constructions
Legend
Administrative offices
Lodging
Commercial
Cultural Centres
Educational Centres
Gastronomy
Public Health Units
Severe alteration
Medium alteration
100 0 100 200 m

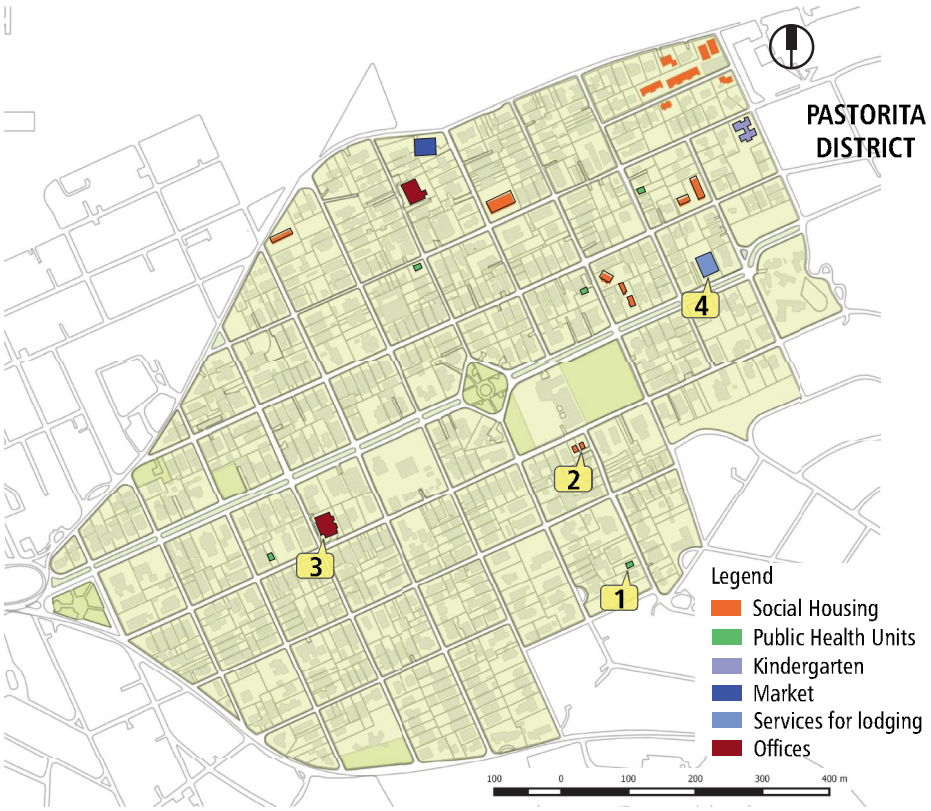

Vista Alegre District
Santiago de Cuba
State properties
Impacts - Porches
AVE. CERRECO
AVE. MANDULEY
AVE. RAUL PUJOLS
CALLE 1
CALLE 2
CALLE 3
CALLE 4
CALLE 5
CALLE 6
CALLE 7
CALLE 8
CALLE 9
CALLE 10
CALLE 11
CALLE 12
CALLE 13
CALLE 15
CALLE 17
CALLE 19
CALLE 21
CALLE 23
100 0 100 200 m
Legend
Administrative offices
Lodging
Commercial
Cultural Centres
Educational Centres
Gastronomy
Public Health Units
Severe alteration
Medium alteration

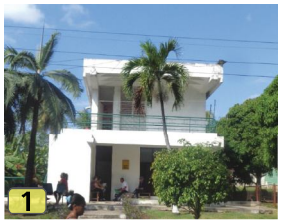

Vista Alegre District
Santiago de Cuba
State properties
Impacts - Urban Pattern
Legend
Administrative offices
Lodging
Commercial
Cultural Centres
Educational Centres
Gastronomy
Public Health Units
Severe alteration
Medium alteration
100 0 100 200 m

Annex 5.8: BUILDINGS

INDUSTRIAL CONSTRUCTION SYSTEMS

VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





Calle 15 e/ Calle 10 y Calle 12



Ave. Manduley e/ Calle 19 y Calle 21



Calle 8 e/ Calle13 y Calle 15

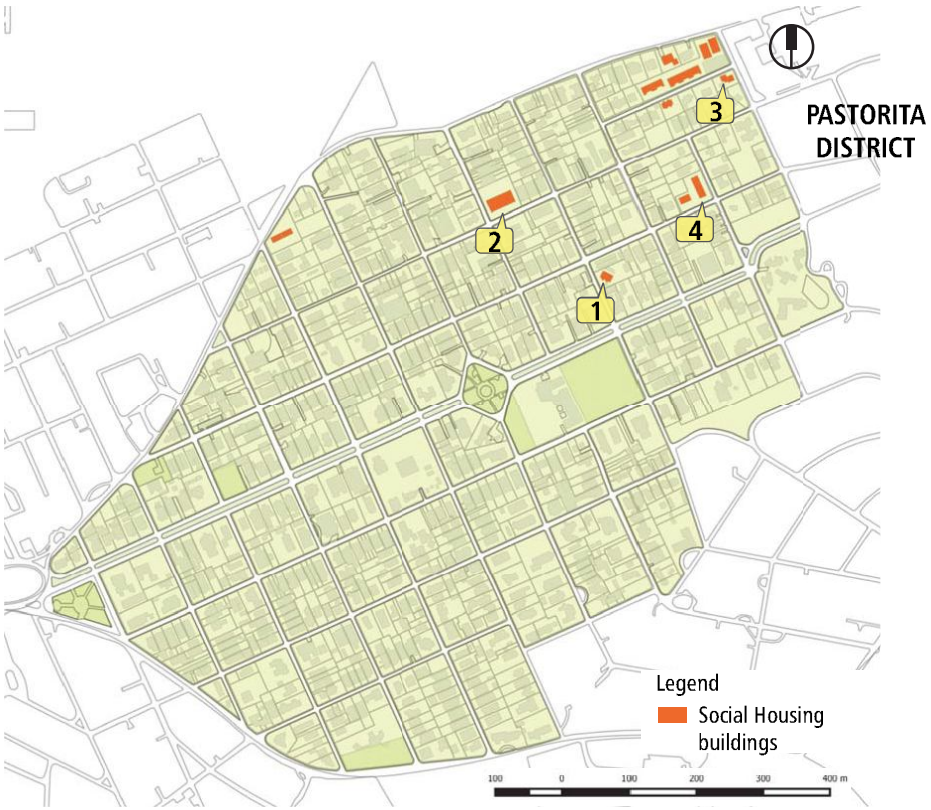


Calle 7 esq 8

Annex 5.9: BUILDINGS

SOCIAL HOUSING

VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





Calle 17 e/ Ave. Manduley y Calle 6



Calle 17 e/ Ave. Manduley y Calle 6

Photos:
Muñoz, 2007 and Blanc, 2018



Calle 2 esq 23



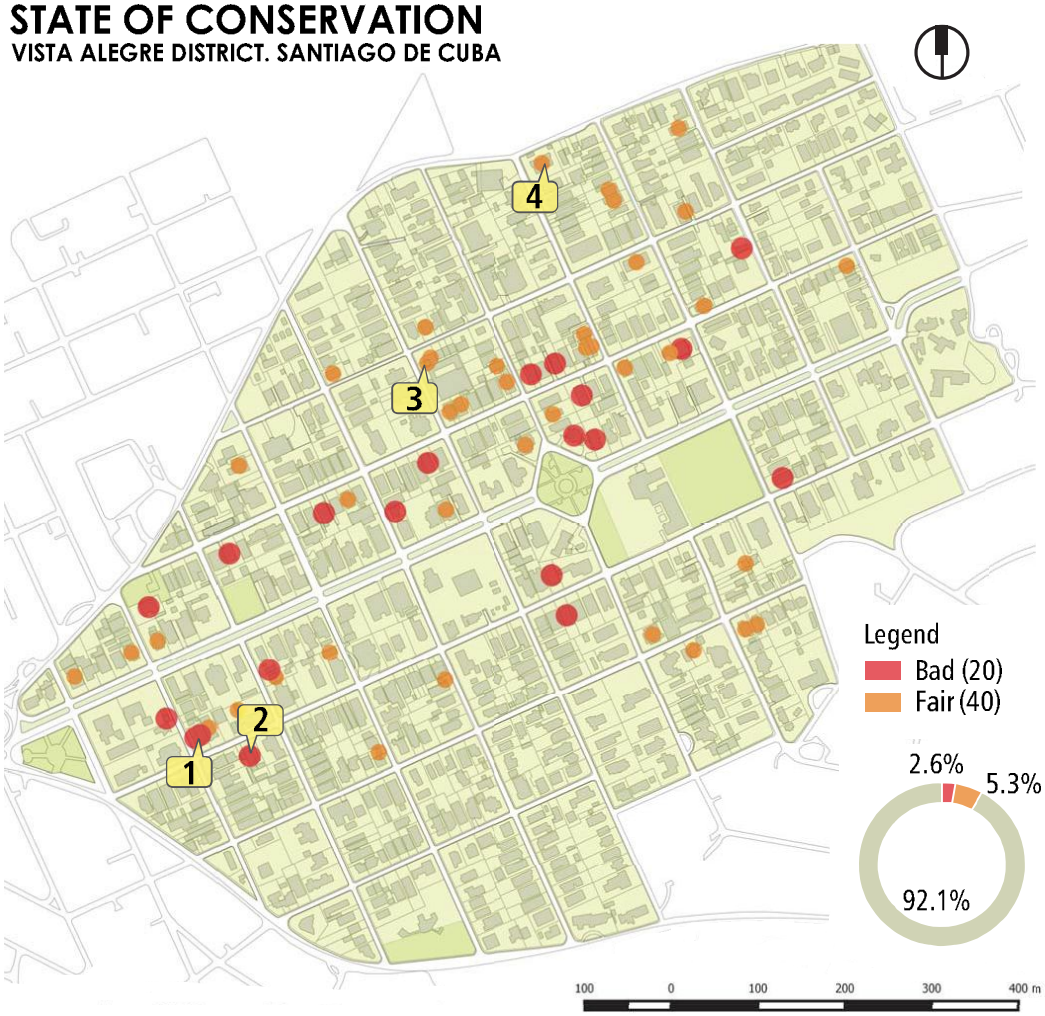
Calle 6 esq 21

ANNEX 5.10

ROOFS

STATE OF CONSERVATION

VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





Calle 8, esq. 3, no. 101



Calle 8, entre 3 y 5, no. 104

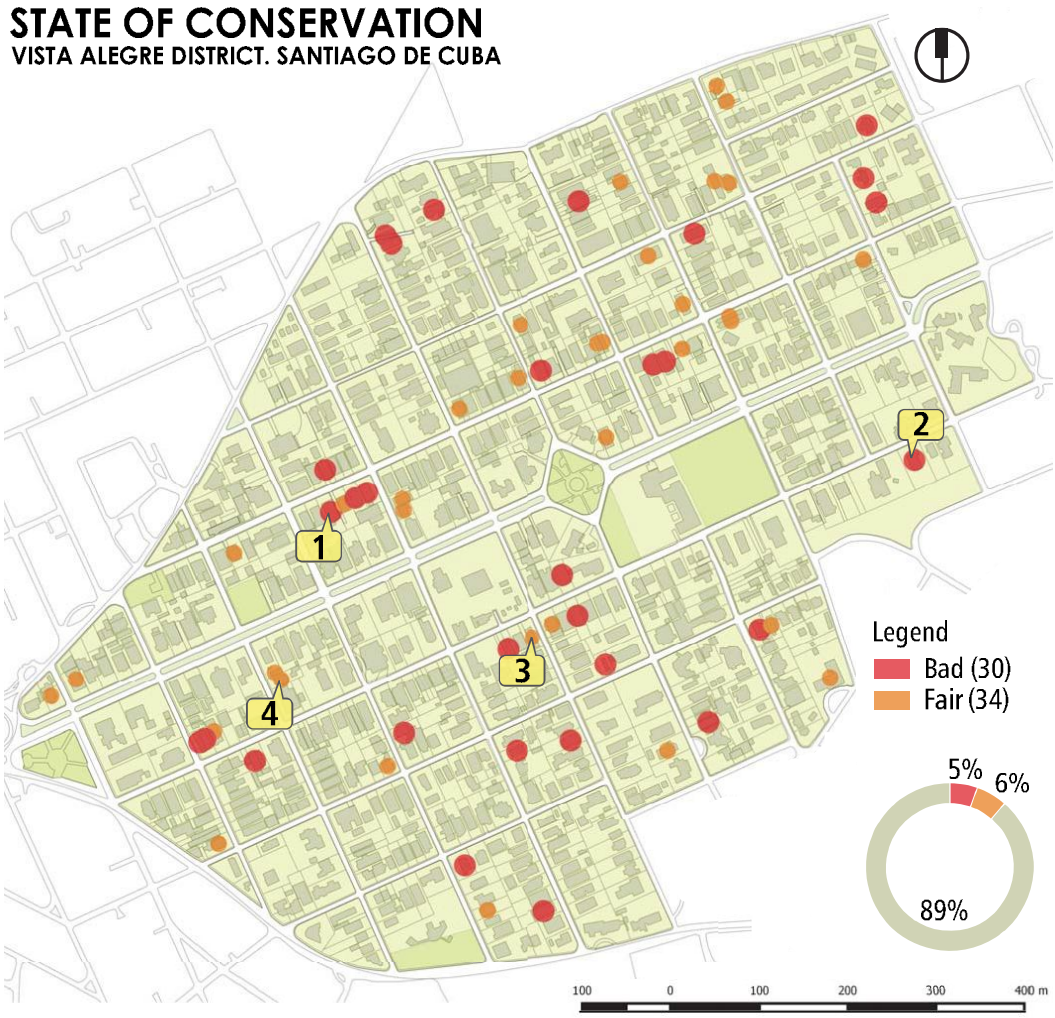


Calle 11, entre 4 y 6, no. 51



Calle 15, esq. Ave Cebreco, no. 1

FENCES
STATE OF CONSERVATION
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



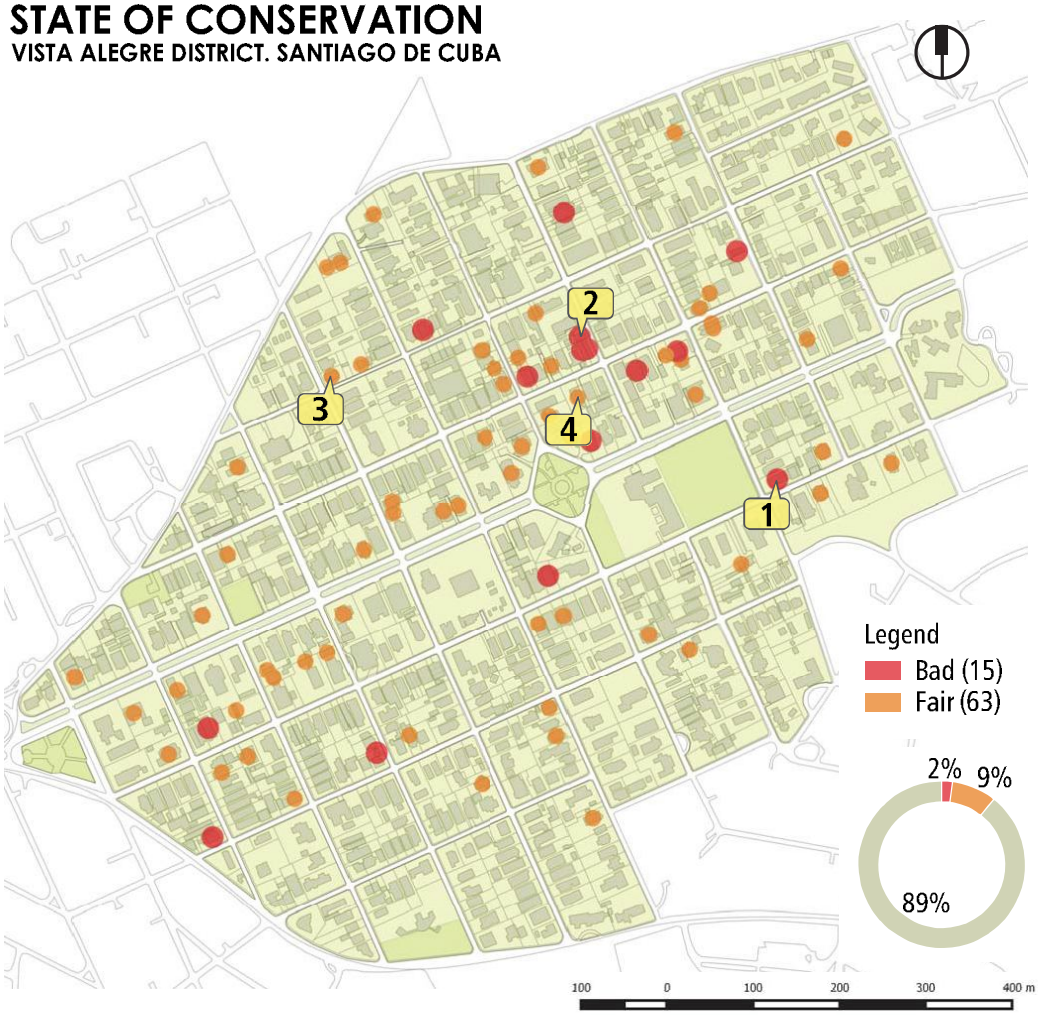








DOORS & WINDOWS
STATE OF CONSERVATION
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA

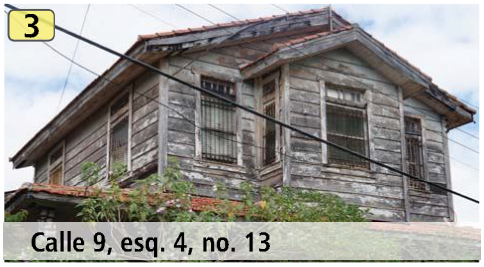




Calle 17, esq. 8, no. 157



Calle 13, entre 4 y 6, no. 56

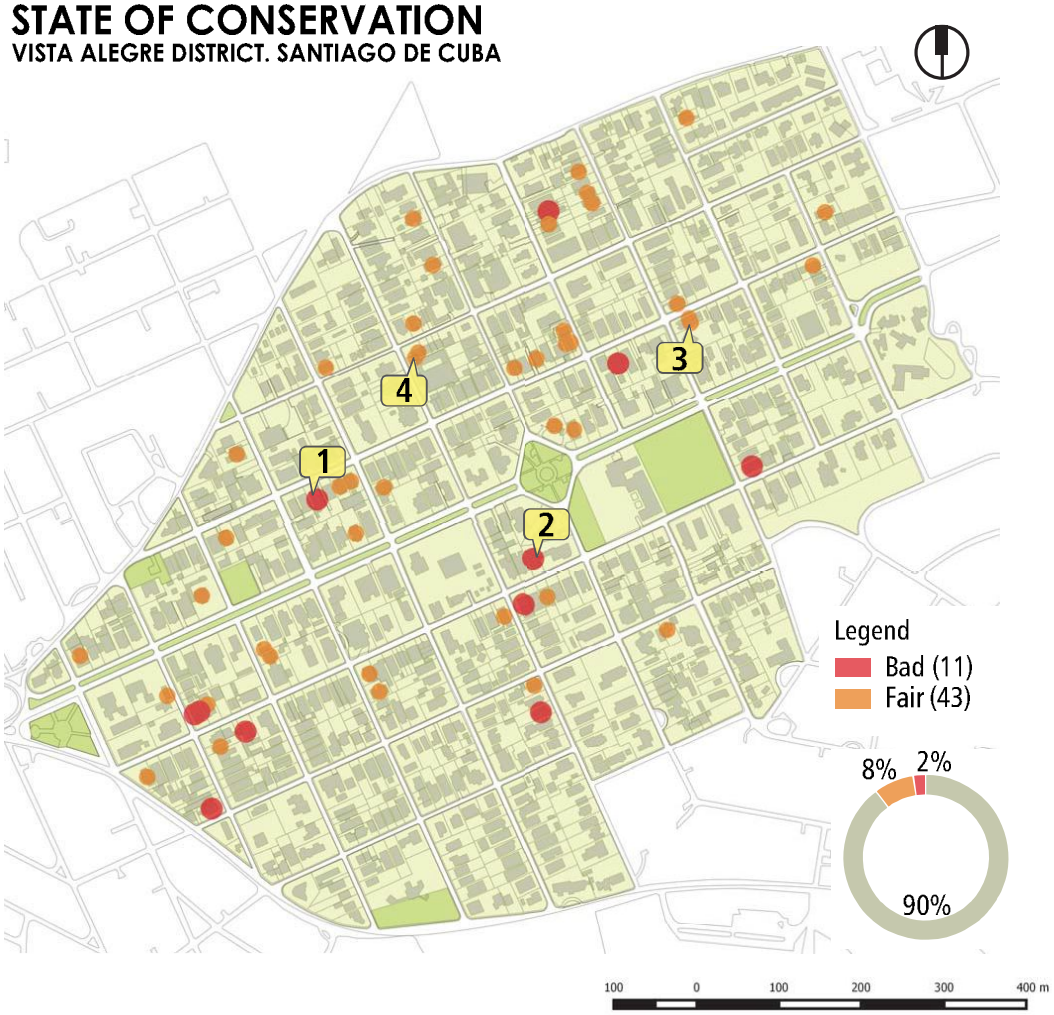


Calle 9, esq. 4, no. 13



Calle 6, entre 13 y 15, no. 356

DECORATIVE FEATURES
STATE OF CONSERVATION
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA







Calle 6, e/ 7 y 9, no. 206



Calle 8, e/ 11 y 13, no. 305

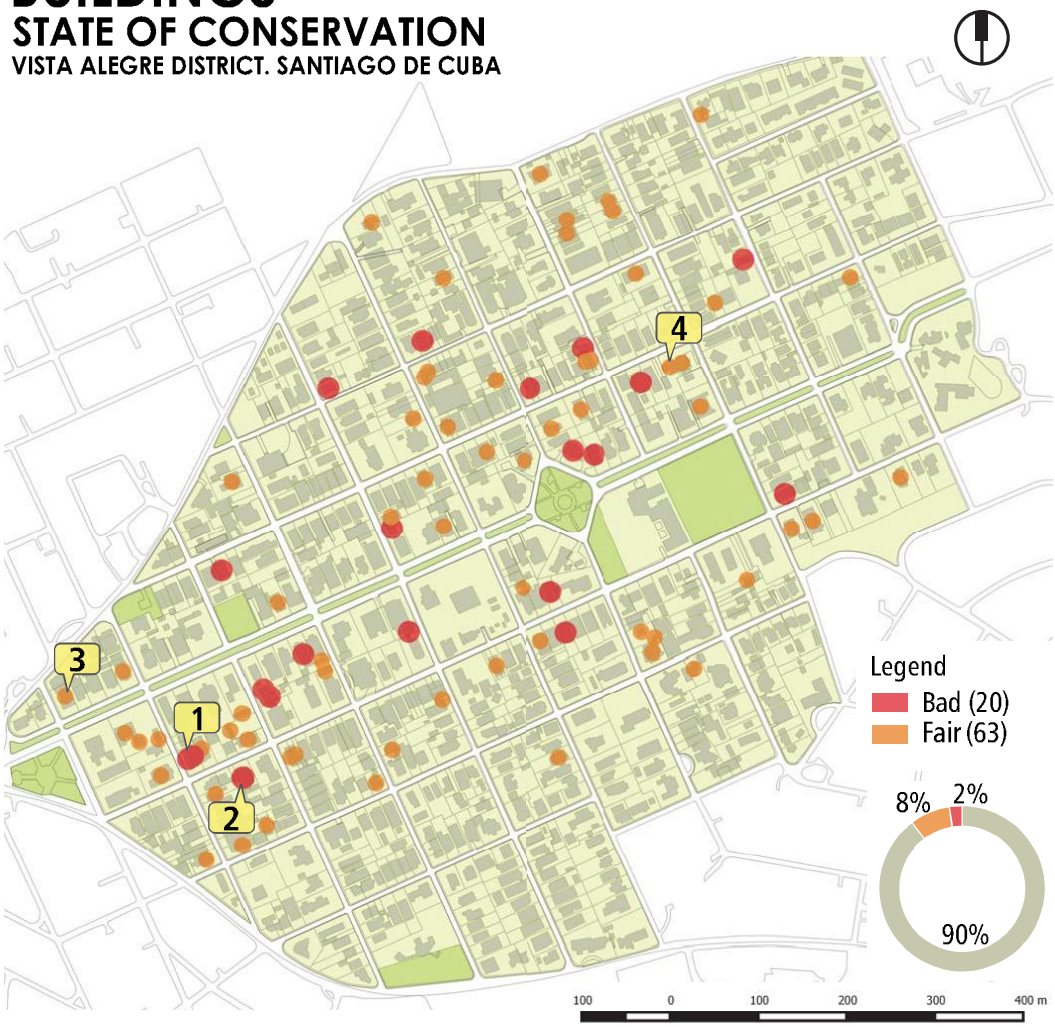


Calle 17, esq. 6, no. 101



Calle 11, esq. 4, no. 51

BUILDINGS
STATE OF CONSERVATION
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





Calle 8, esq. 3, no. 101



Calle 8, entre 3 y 5, no. 104



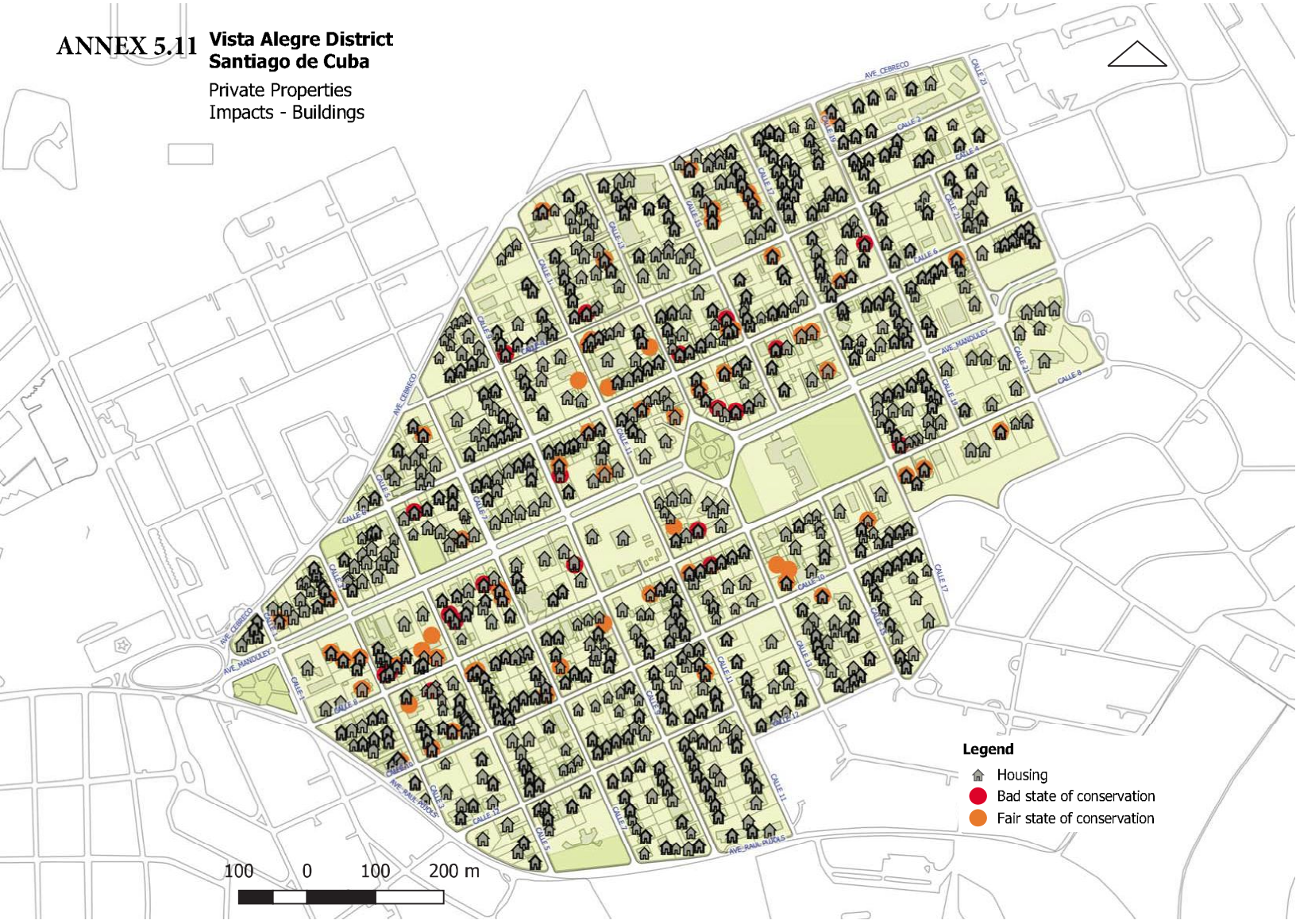
Ave. Manduley, esq. 1, no. 51



Calle 6, entre 15 y 17, no. 408

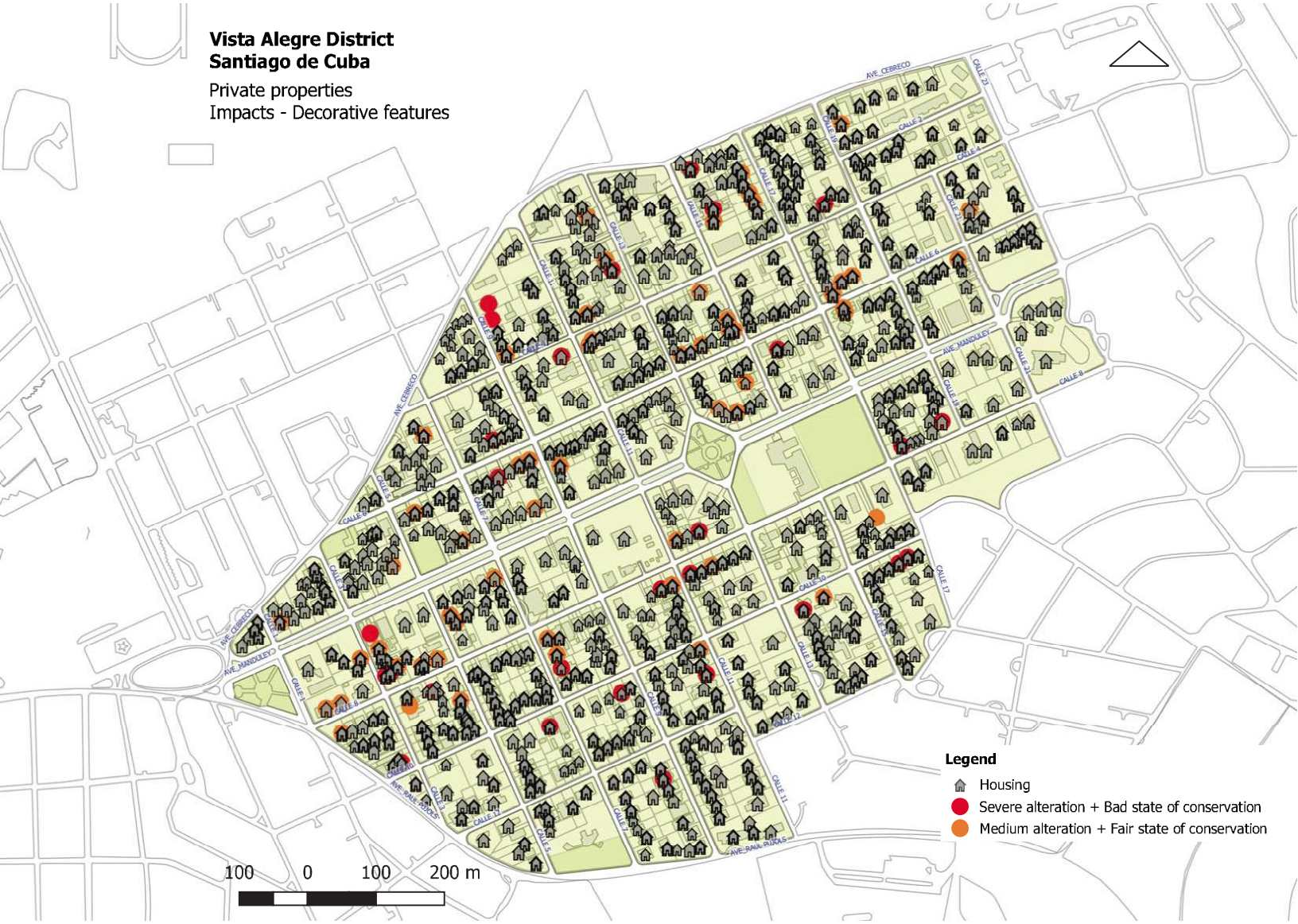
ANNEX 5.11 **Vista Alegre District**
Santiago de Cuba

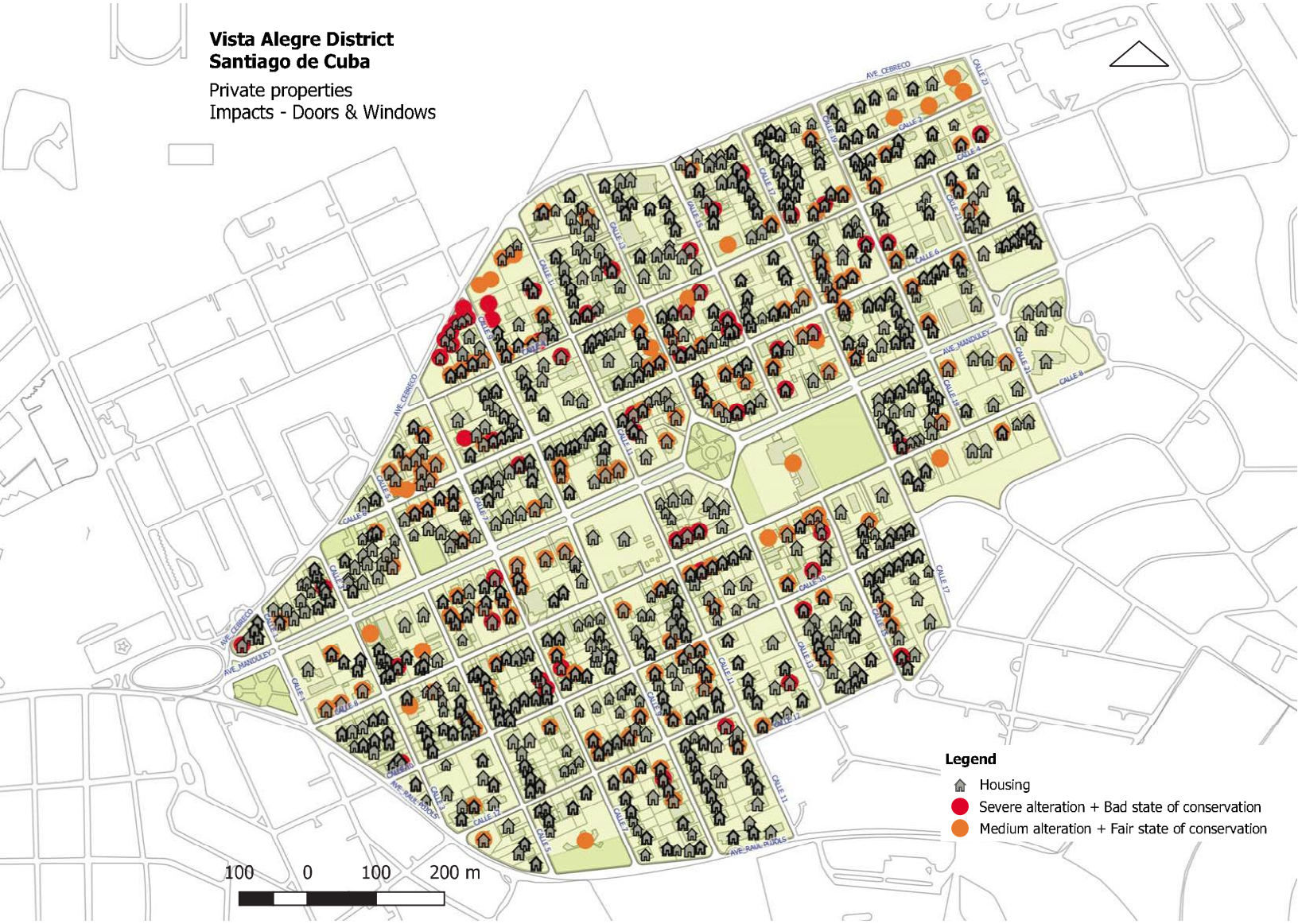
Private Properties
Impacts - Buildings

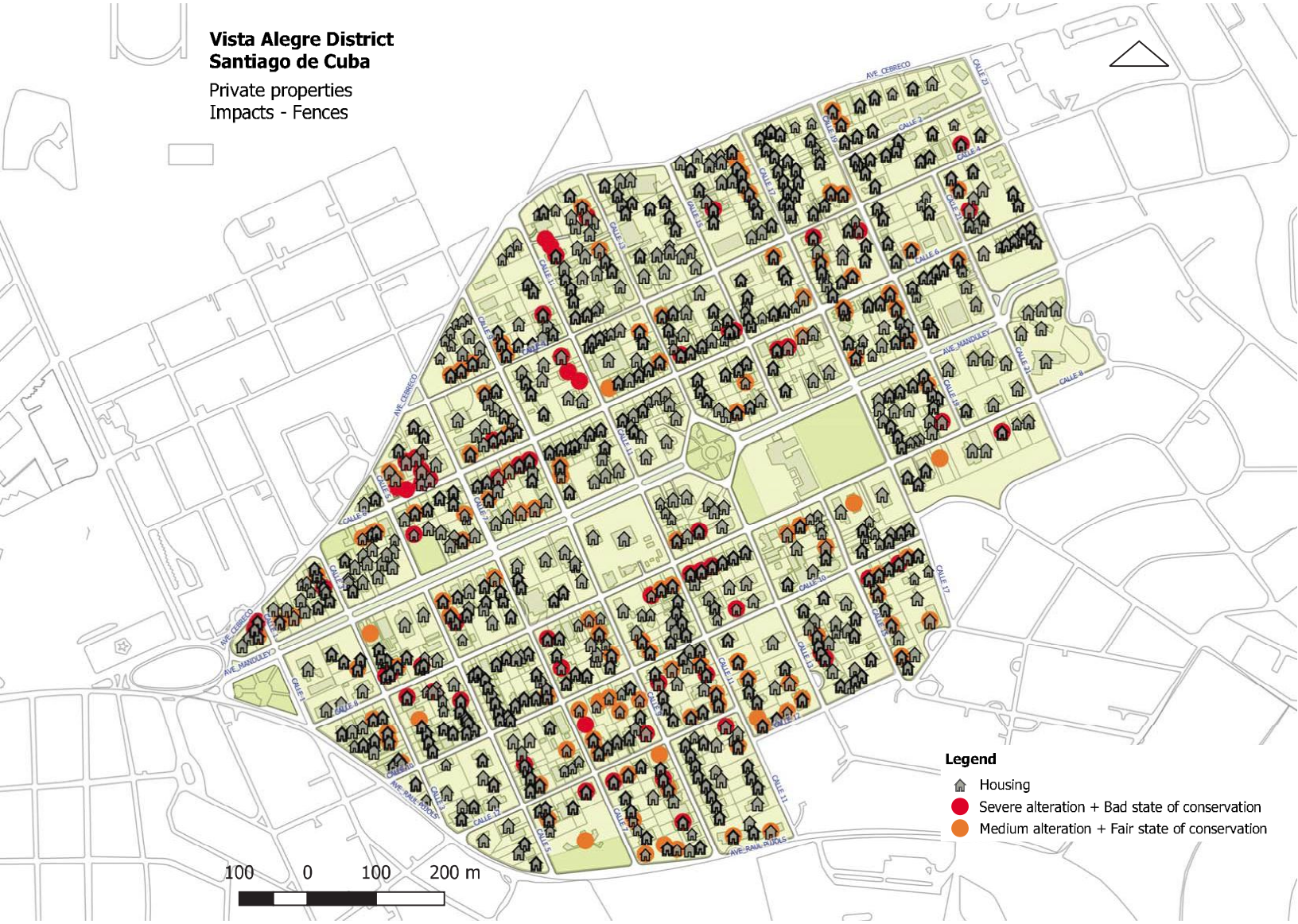


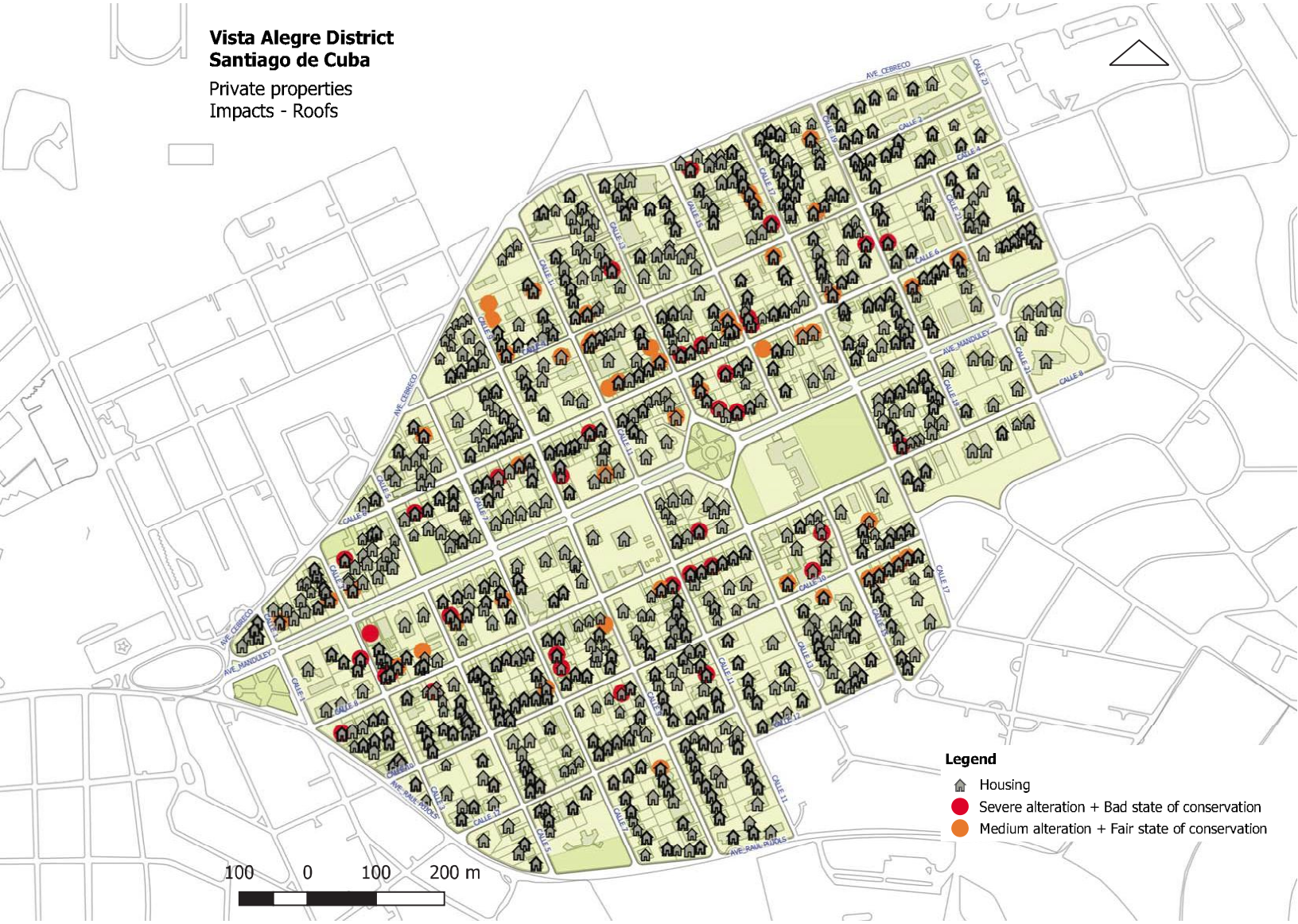
Vista Alegre District
Santiago de Cuba

Private properties
Impacts - Decorative features



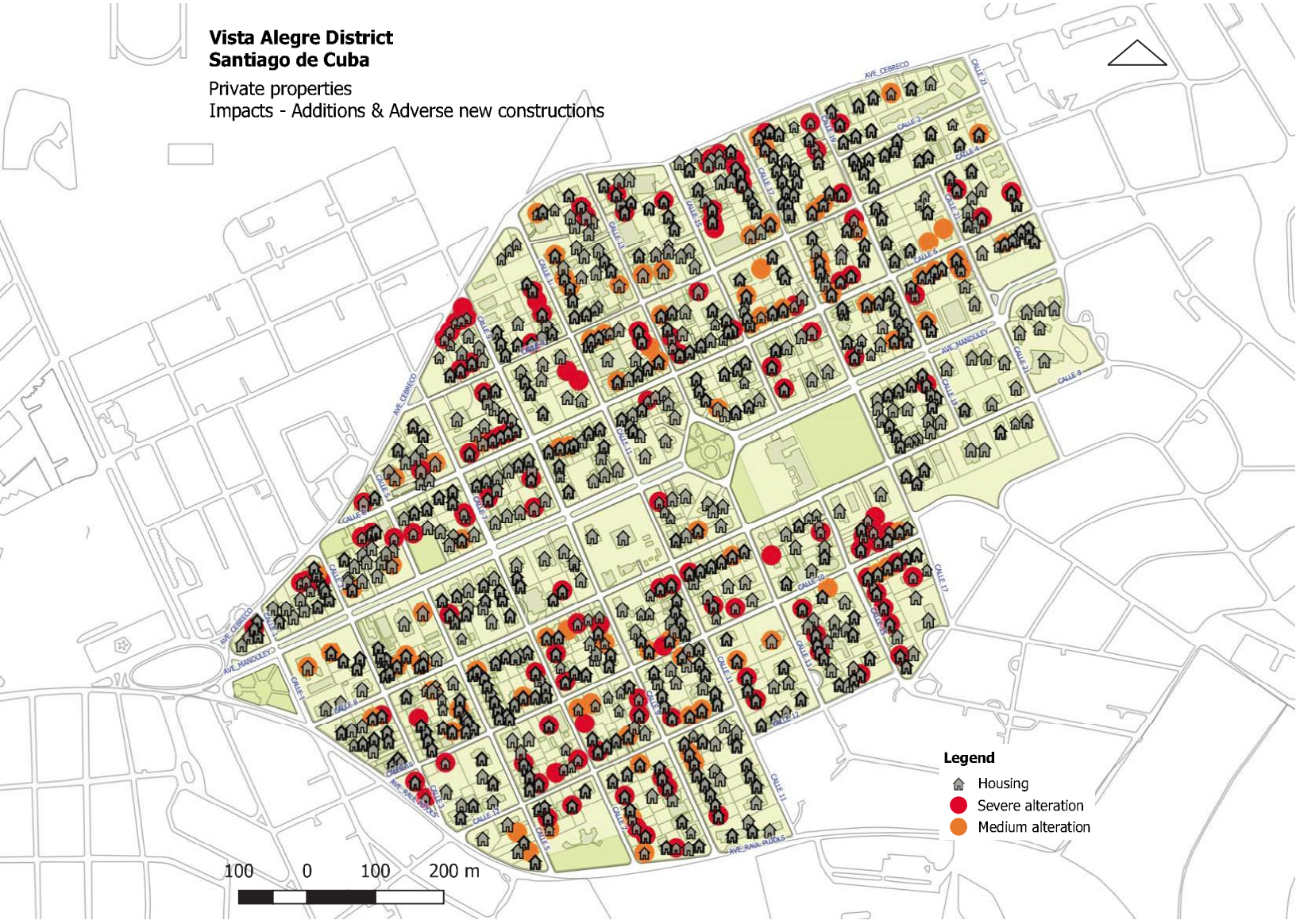

Vista Alegre District
Santiago de Cuba
Private properties
Impacts - Doors & Windows
Legend
Housing
Severe alteration + Bad state of conservation
Medium alteration + Fair state of conservation
100 0 100 200 m

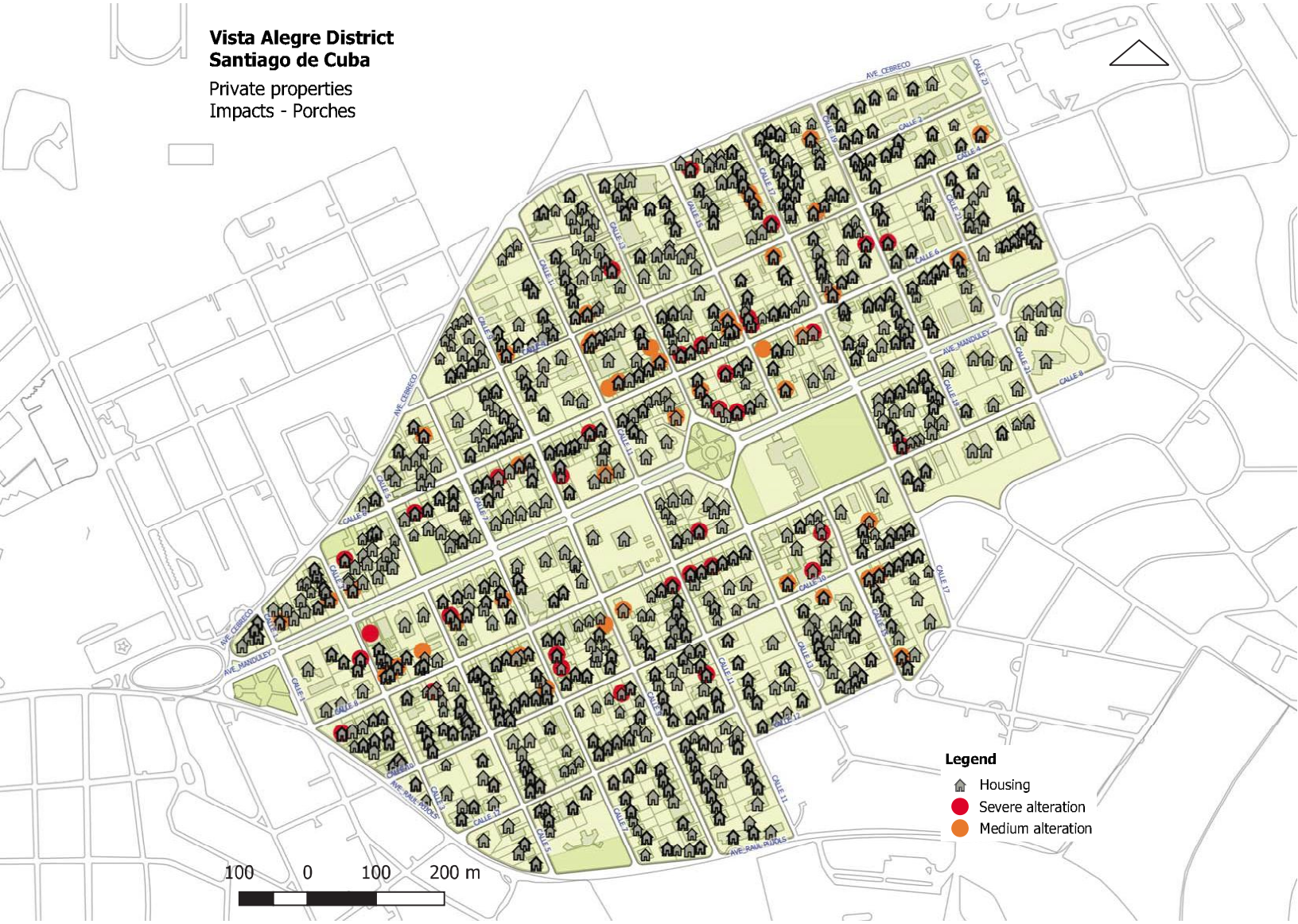

Vista Alegre District
Santiago de Cuba
Private properties
Impacts - Fences
AVE. CERRECO
AVE. MANDULEY
AVE. RAUL RODAS
CALLE 23
CALLE 21
CALLE 17
CALLE 11
CALLE 8
CALLE 6
CALLE 4
CALLE 2
CALLE 1
Legend
Housing
Severe alteration + Bad state of conservation
Medium alteration + Fair state of conservation
100 0 100 200 m


Vista Alegre District
Santiago de Cuba
Private properties
Impacts - Roofs
AVE. CERRECO
AVE. MANDULEY
AVE. RAUL RODAS
CALLE 23
CALLE 21
CALLE 17
CALLE 11
CALLE 8
CALLE 6
CALLE 4
CALLE 2
CALLE 1
Legend
Housing
Severe alteration + Bad state of conservation
Medium alteration + Fair state of conservation
100 0 100 200 m

Vista Alegre District
Santiago de Cuba

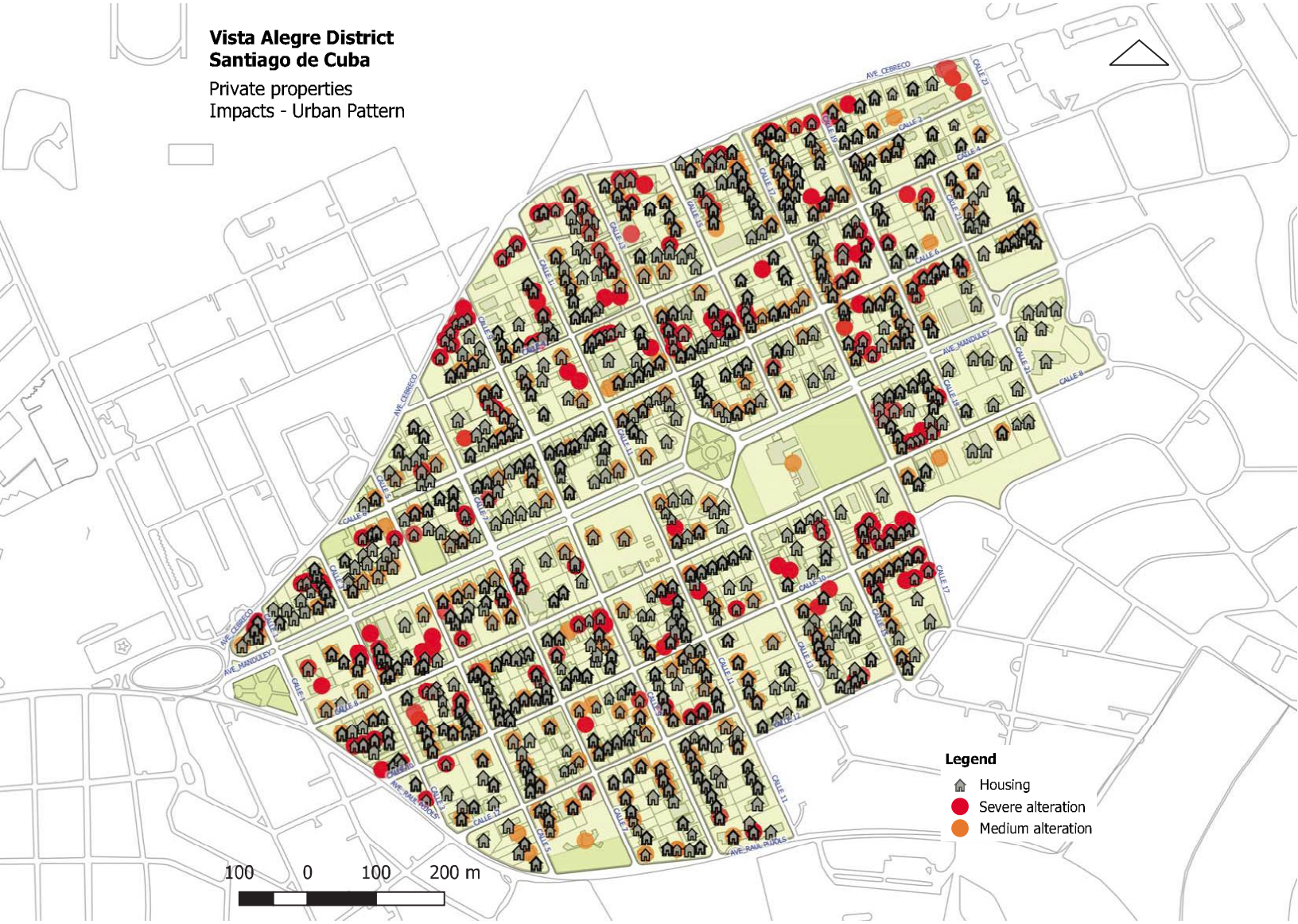
Private properties
Impacts - Additions & Adverse new constructions




Vista Alegre District
Santiago de Cuba
Private properties
Impacts - Porches
Legend
Housing
Severe alteration
Medium alteration
100 0 100 200 m

Vista Alegre District
Santiago de Cuba

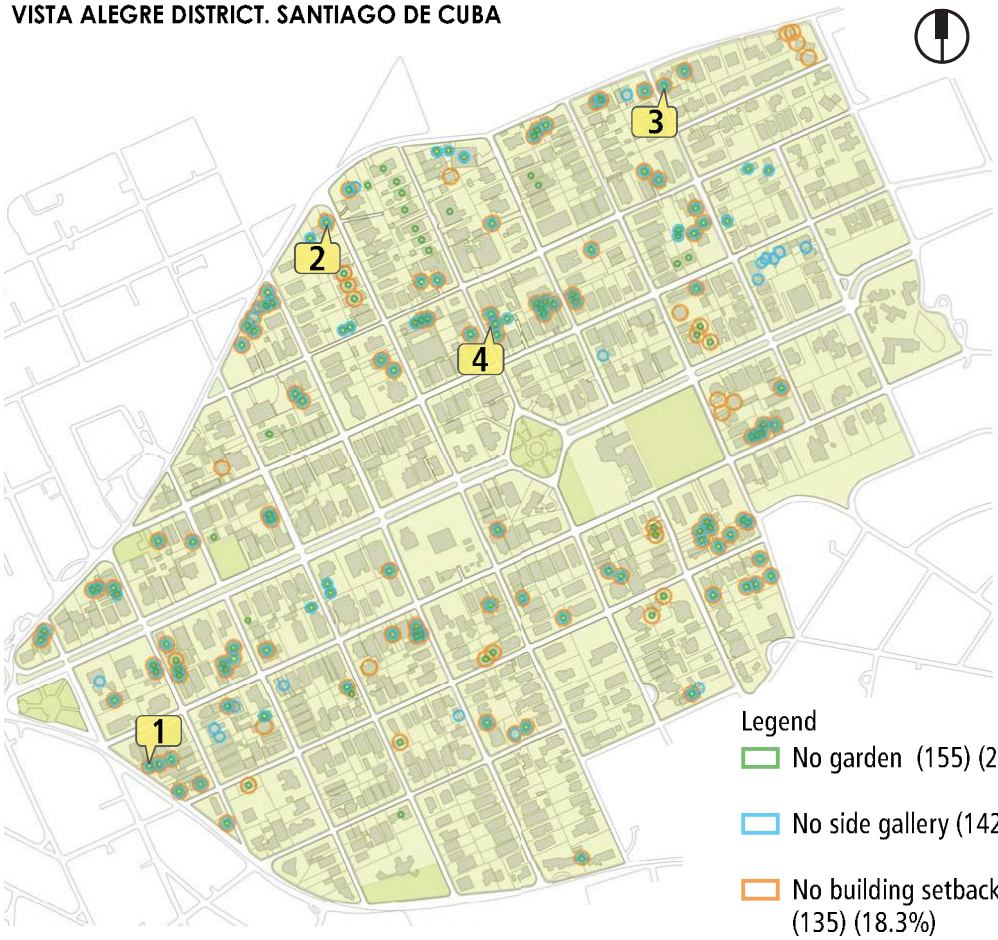
Private properties
Impacts - Urban Pattern



"OWN-MEANS" HOUSES

IMPACT ON URBAN SCAPE & URBAN LAYOUT

VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





Ave. Raúl Puyol, entre 8 y 10



Ave. Cebreco, esq. 11, no. 256



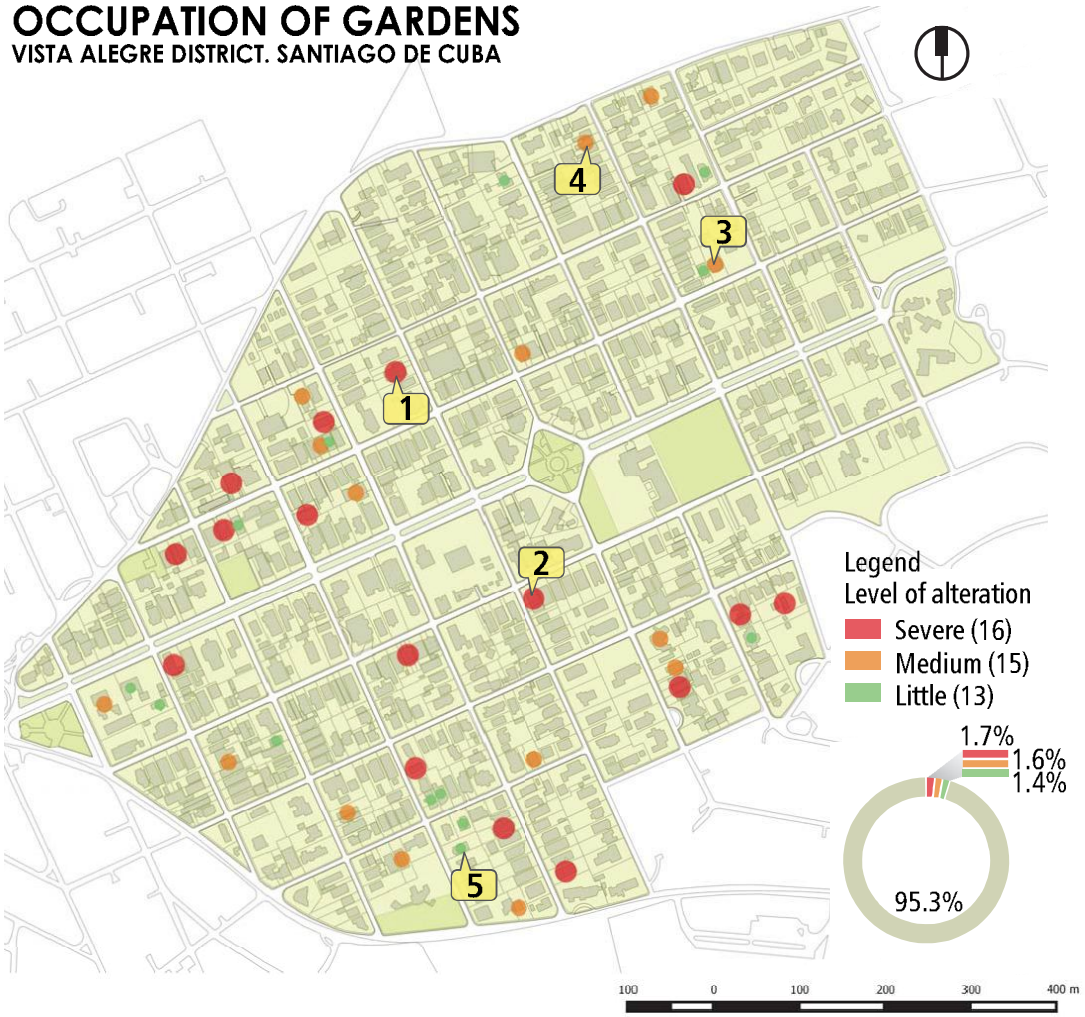
Calle 19, entre Ave. Cebreco y 4, no. 1



Calle 13, entre 4 y 6

ANNEX 5.12

LOTS
OCCUPATION OF GARDENS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





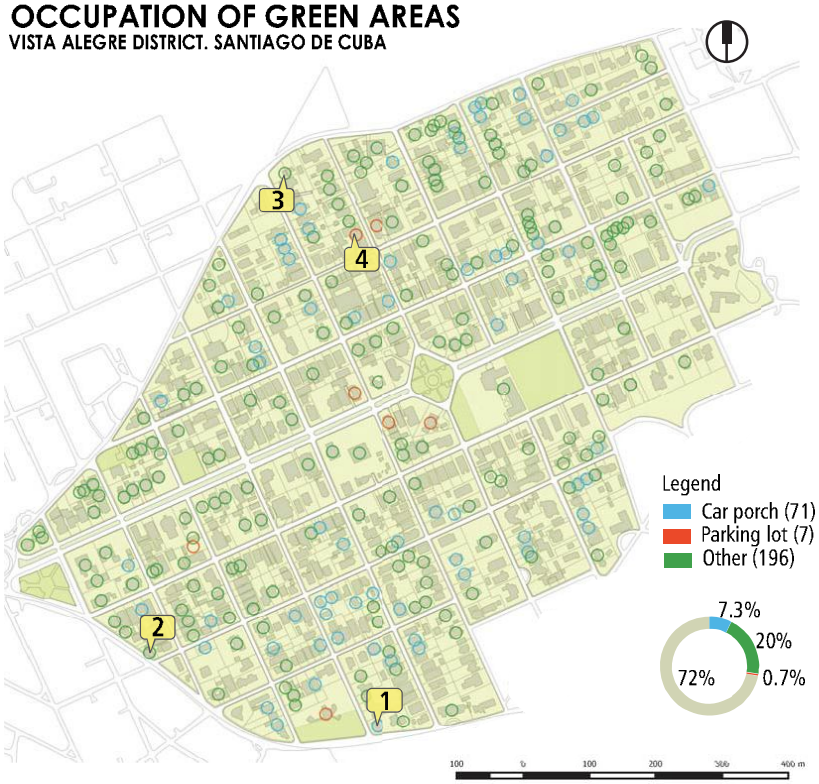








LOTS
OCCUPATION OF GREEN AREAS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





Calle 7, esq. Ave. Raúl Pujol, no. 313



Zonificación de la parcela



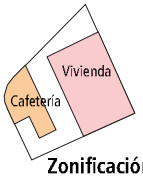
Ave. Raúl Pujol, esq. 10



Zonificación de la parcela



Ave. Cebreco, esq. 11, no. 304



Zonificación de la parcela

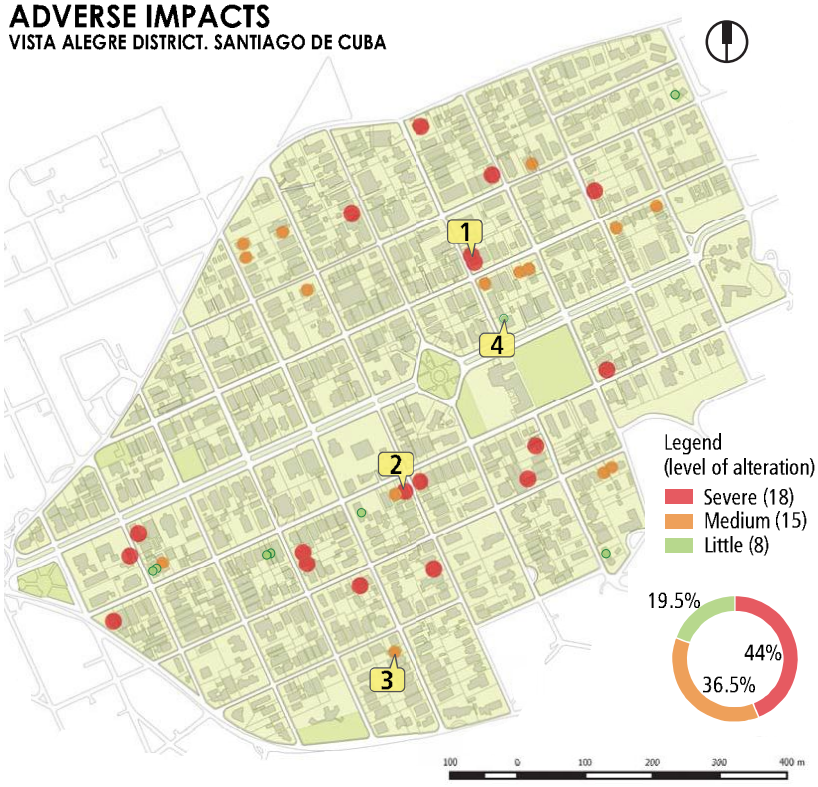


Calle 4, e/ 11 y 13, no. 307

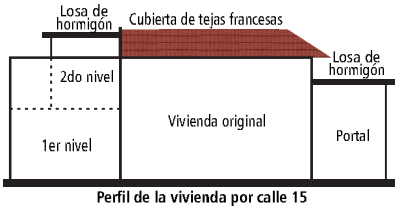


Zonificación de la parcela

ROOFS
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA

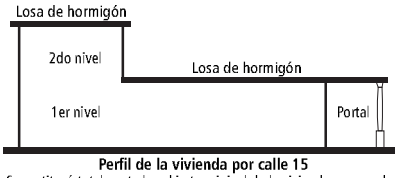






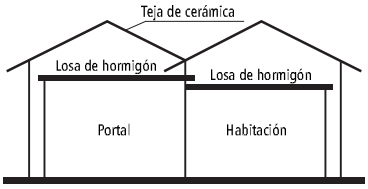
Perfil de la vivienda por calle 15





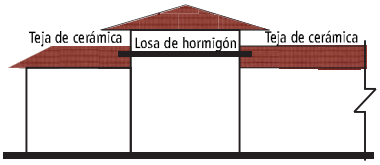
Perfil de la vivienda por calle 15
Se sustituyó totalmente la cubierta original de la vivienda que era de tejas francesas por losa de hormigón





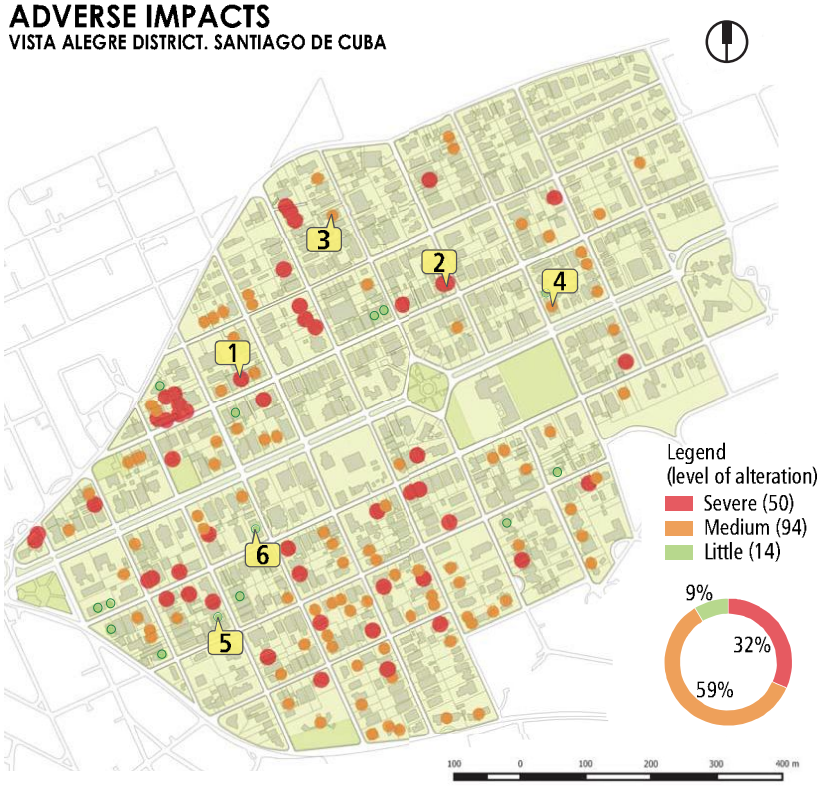
Vista de la fachada de la vivienda





Vista de la vivienda por calle 15

FENCES
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA









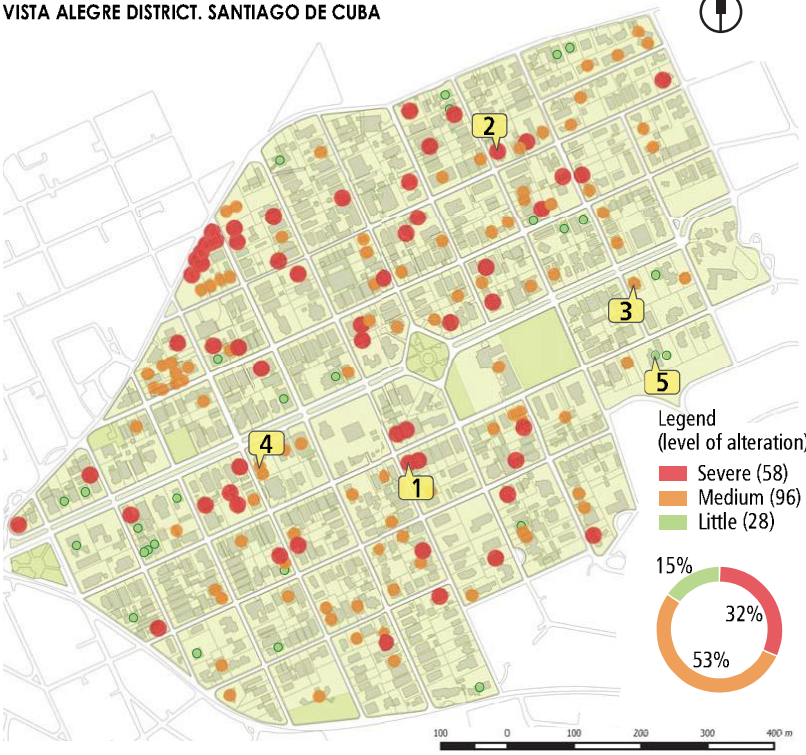








DOORS & WINDOWS
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



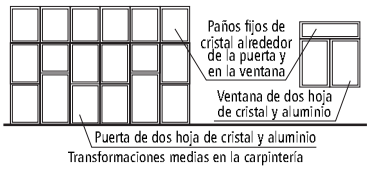




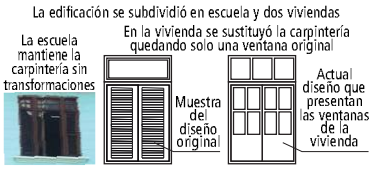




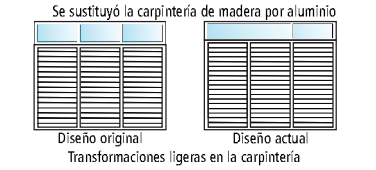




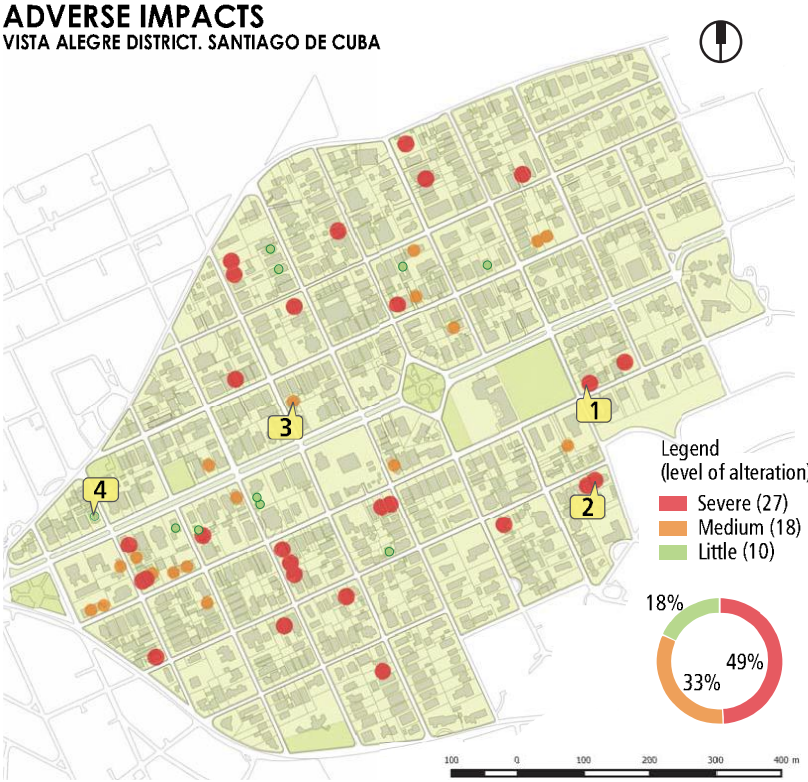








DECORATIVE FEATURES
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





Pérdida de los componentes originales de la fachada



Restos de las columnas originales

Los elementos decorativos fueron eliminados producto a las transformaciones en las edificaciones.



Posible diseño anterior





Baranda de hierro y madera

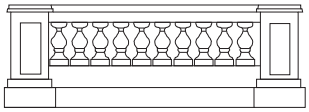
Columnas de madera

Posible diseño original del corredor y sus elementos decorativos

En la edificación se producen transformaciones graves como resultado de la pérdida de los componentes originales



Muestra del diseño original de la baranda del portal



Se sustituyó la balaustrada por elementos nuevos que conforman una celosía

Transformaciones medias en los elementos decorativos





Muestra del diseño original del elemento

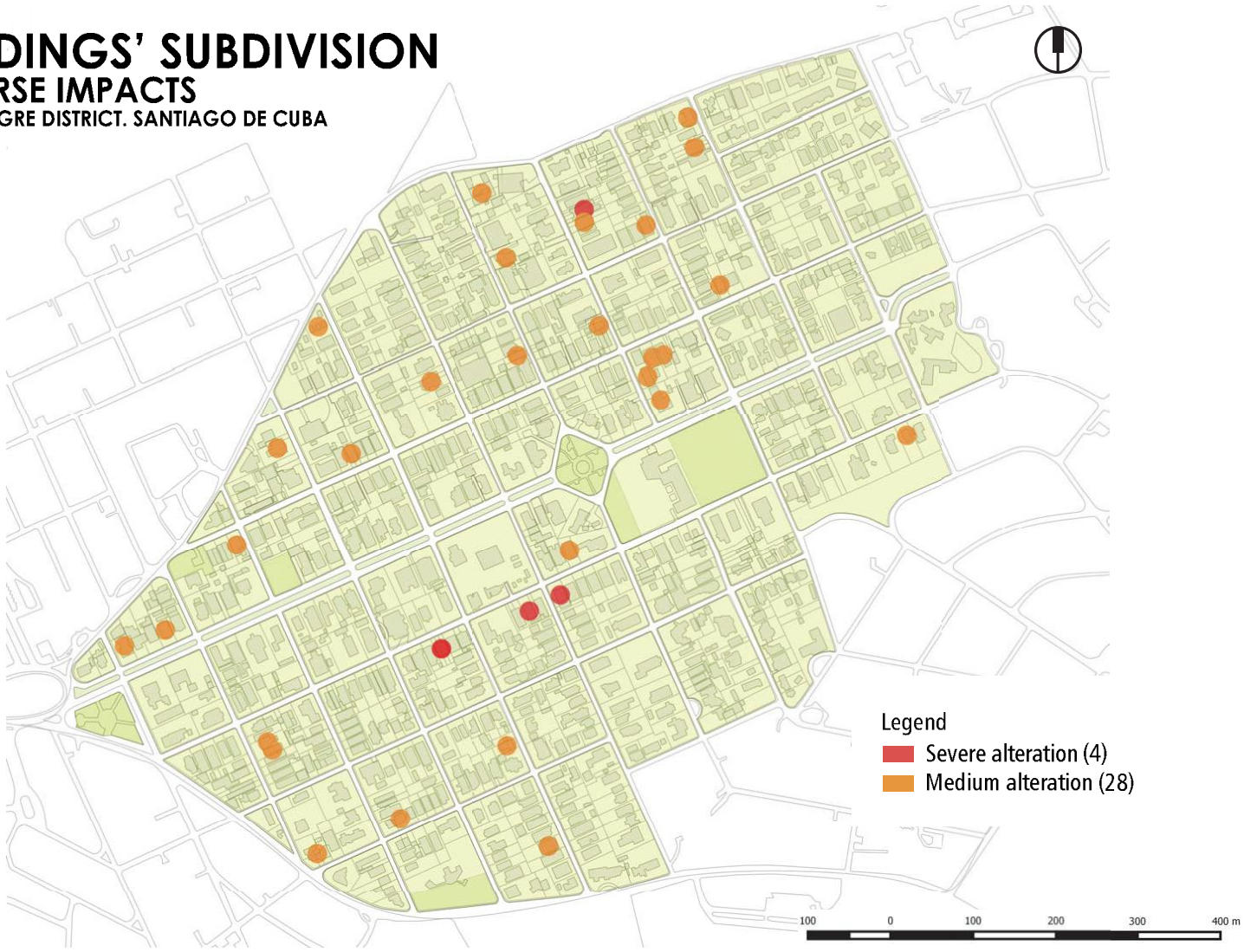
Este elemento se eliminó completamente

Cornisa que decora la carpintería en la fachada

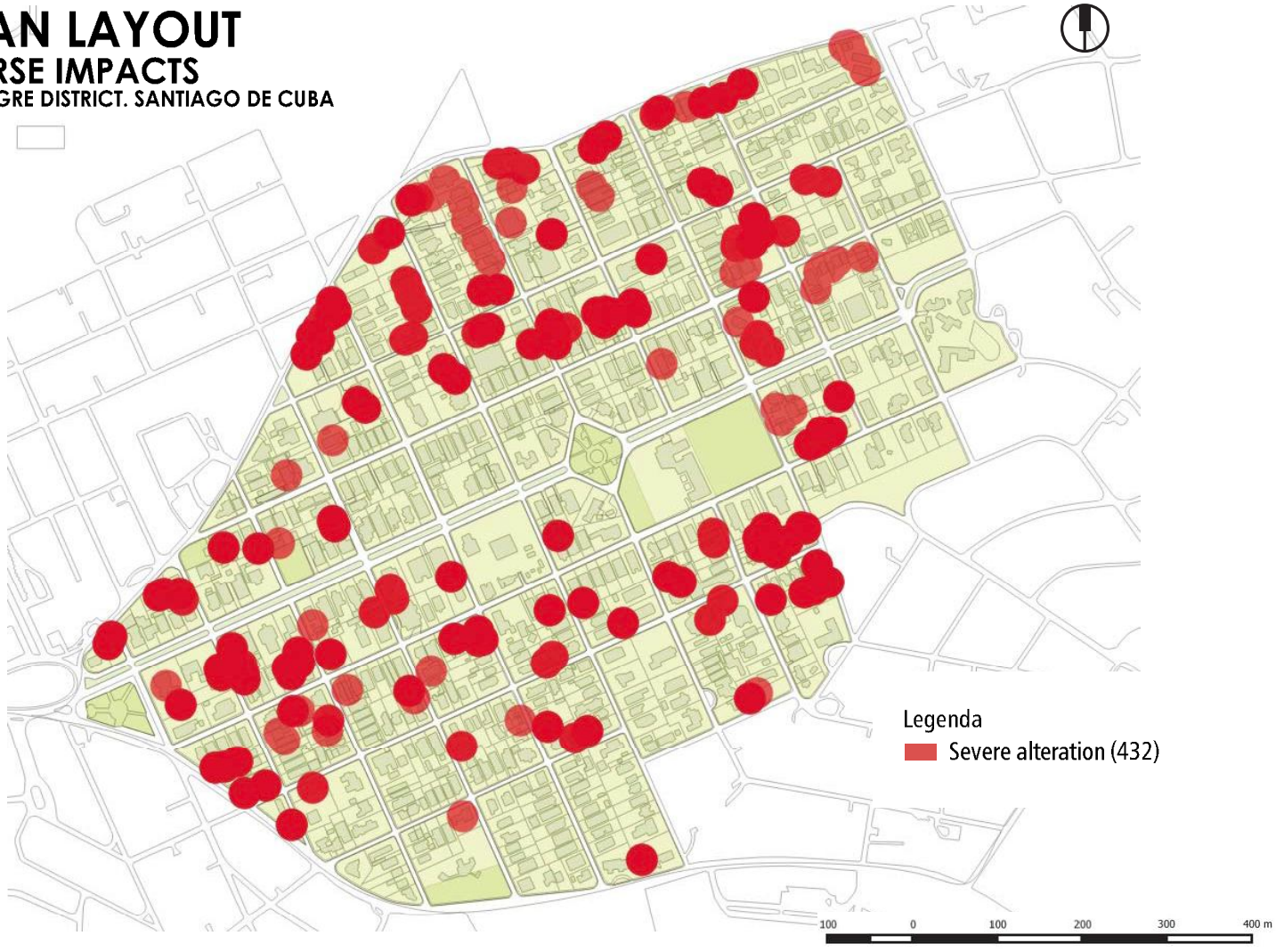


Transformaciones ligeras en los elementos decorativos

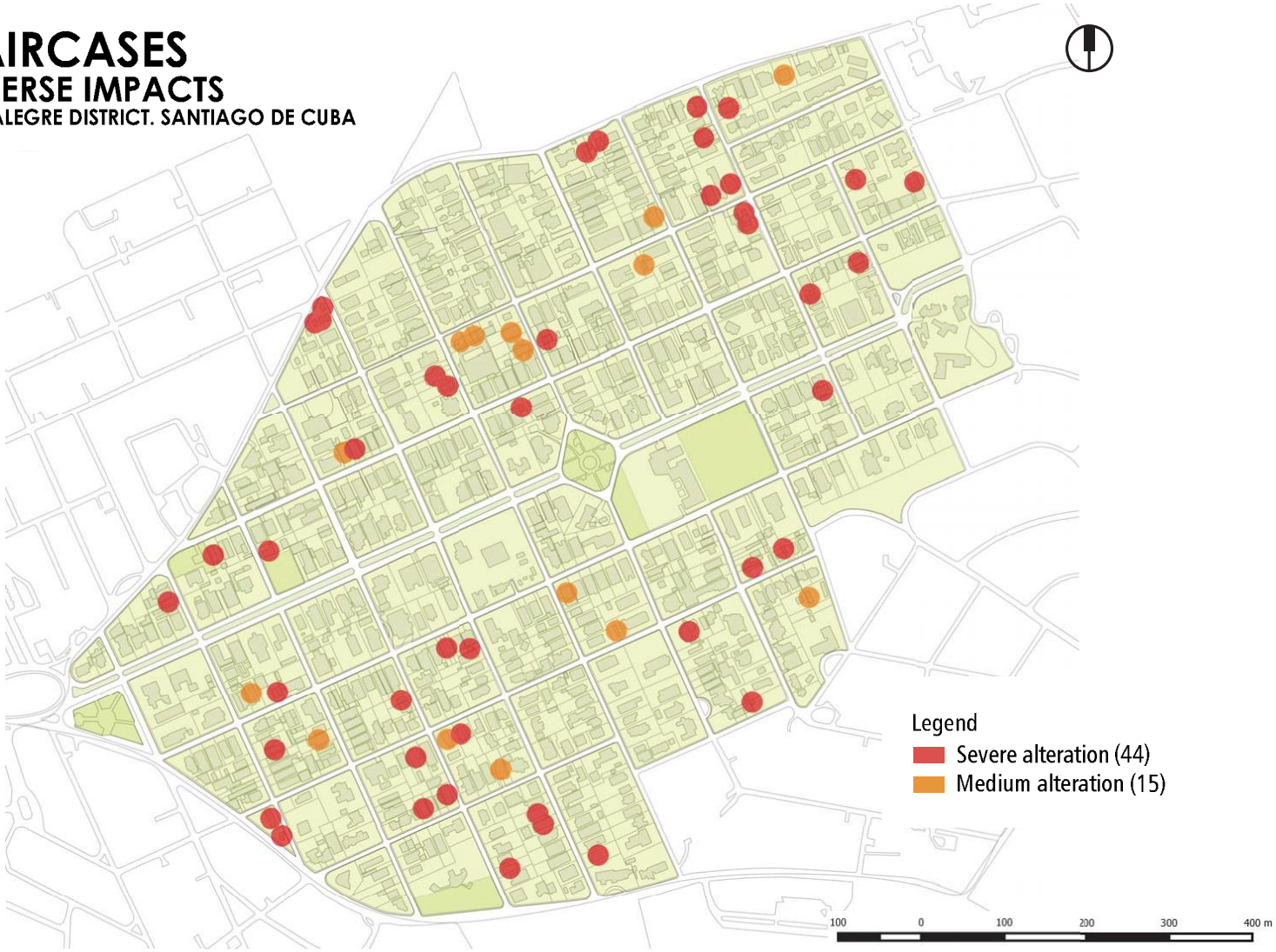
BUILDINGS' SUBDIVISION
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



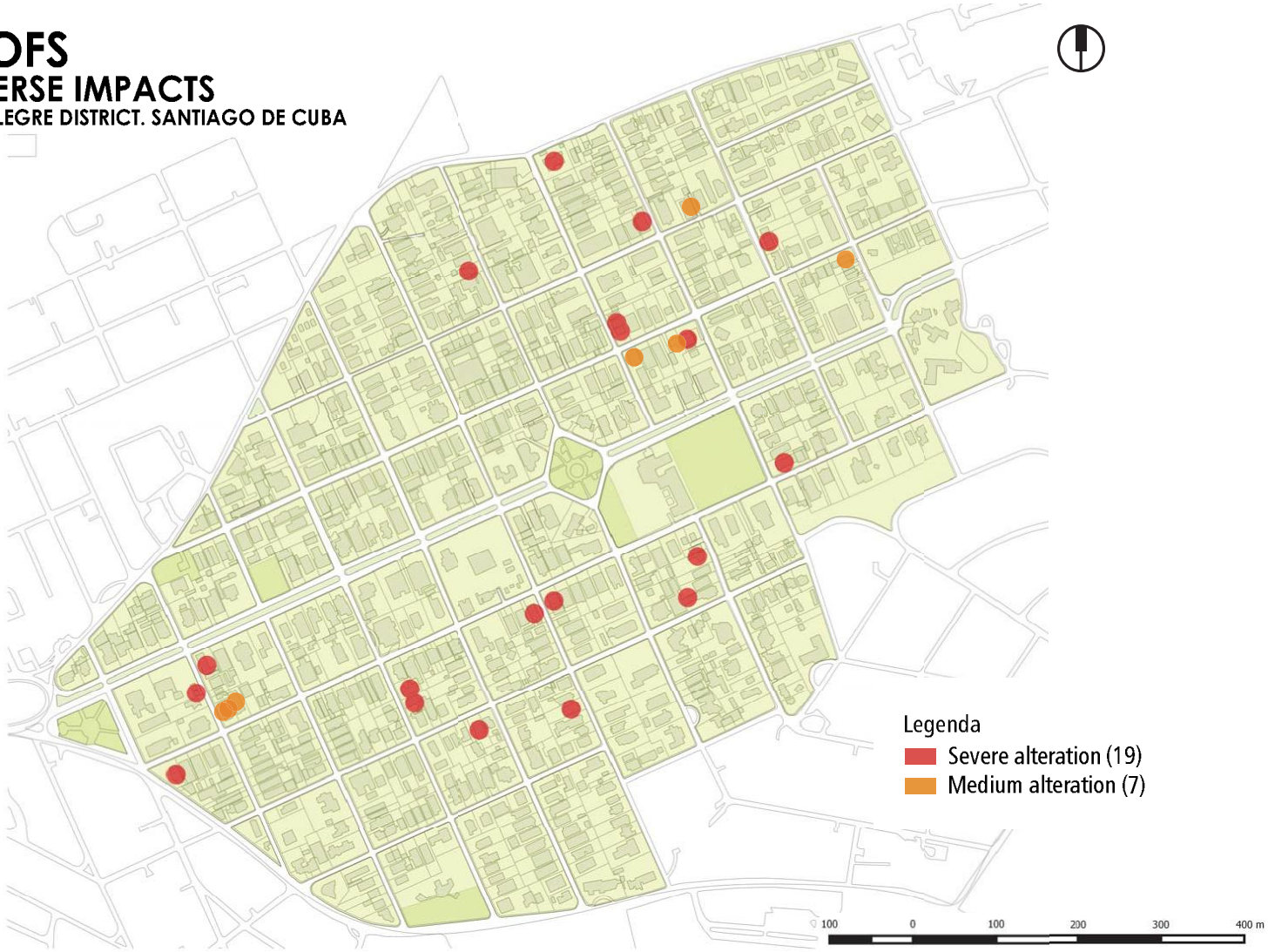
URBAN LAYOUT
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



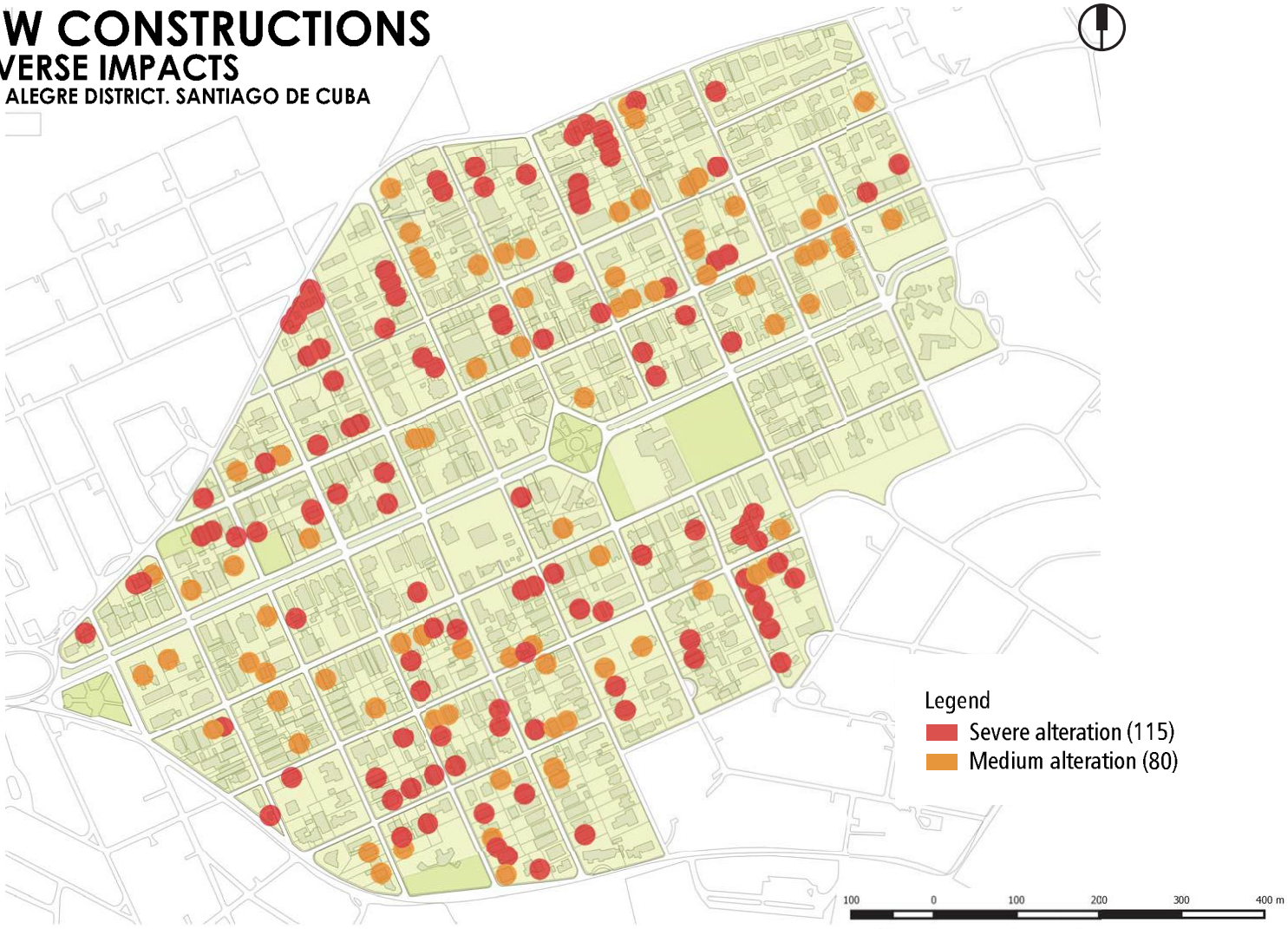
STAIRCASES
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



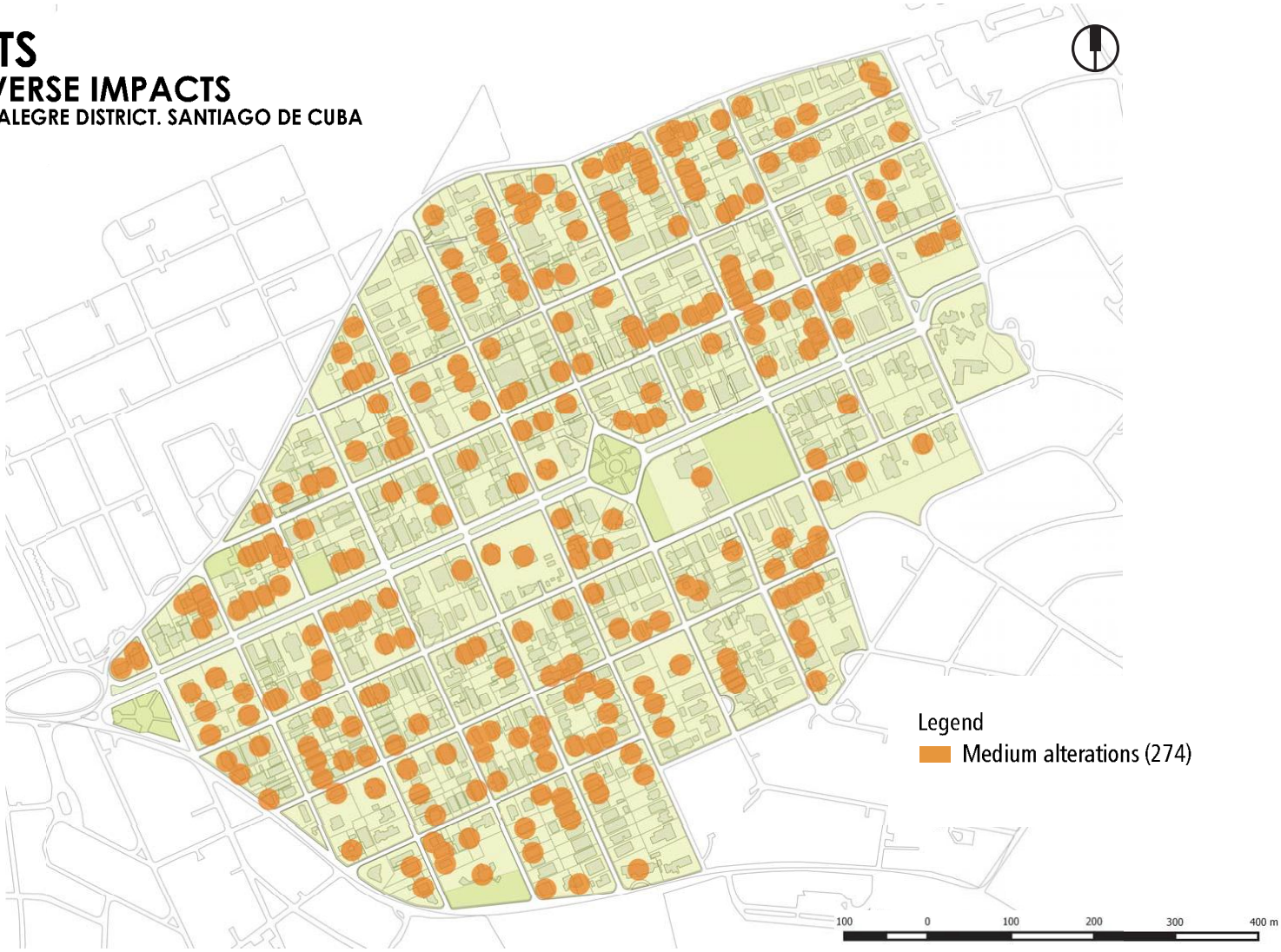
ROOFS
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



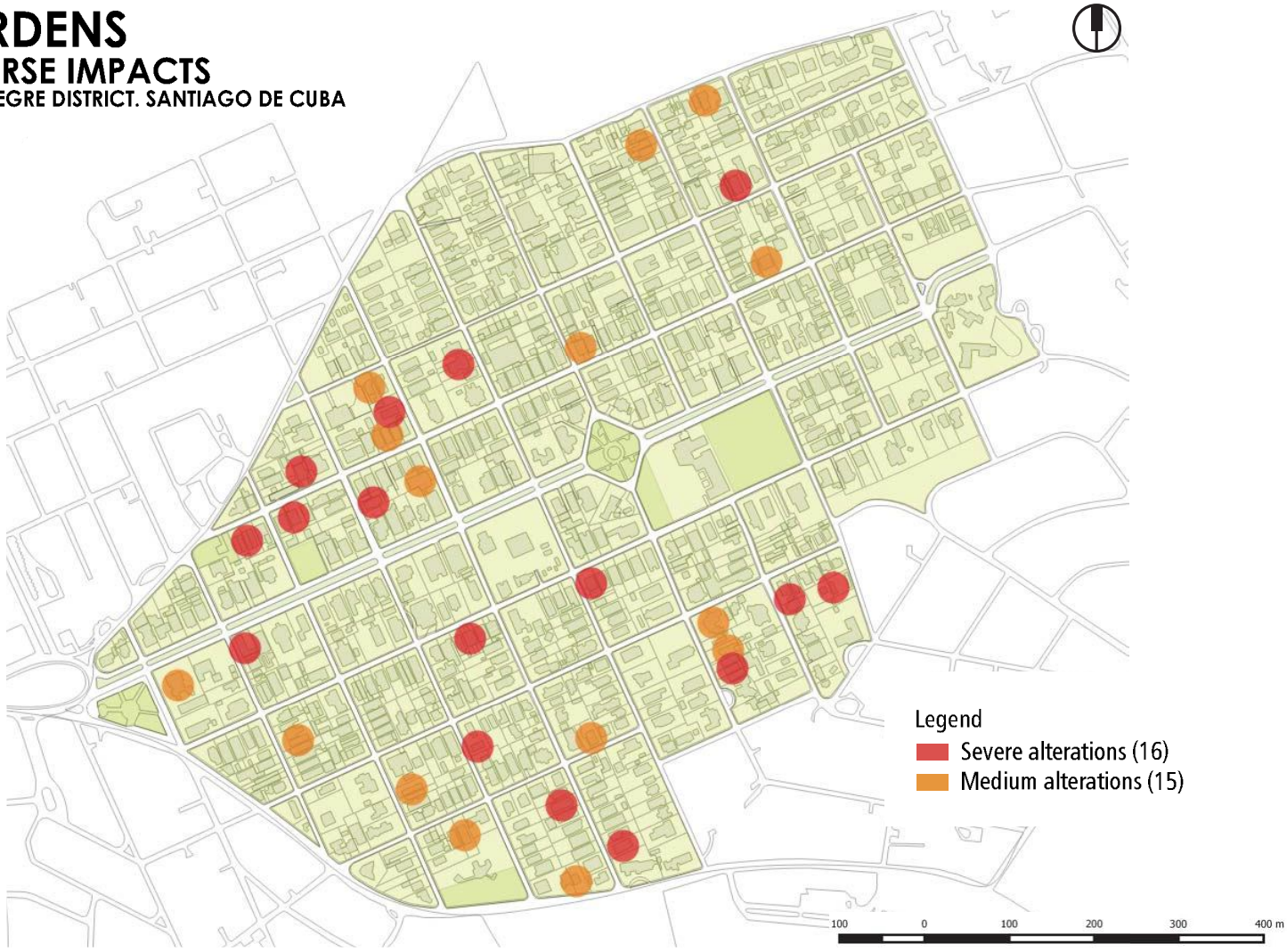
NEW CONSTRUCTIONS
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



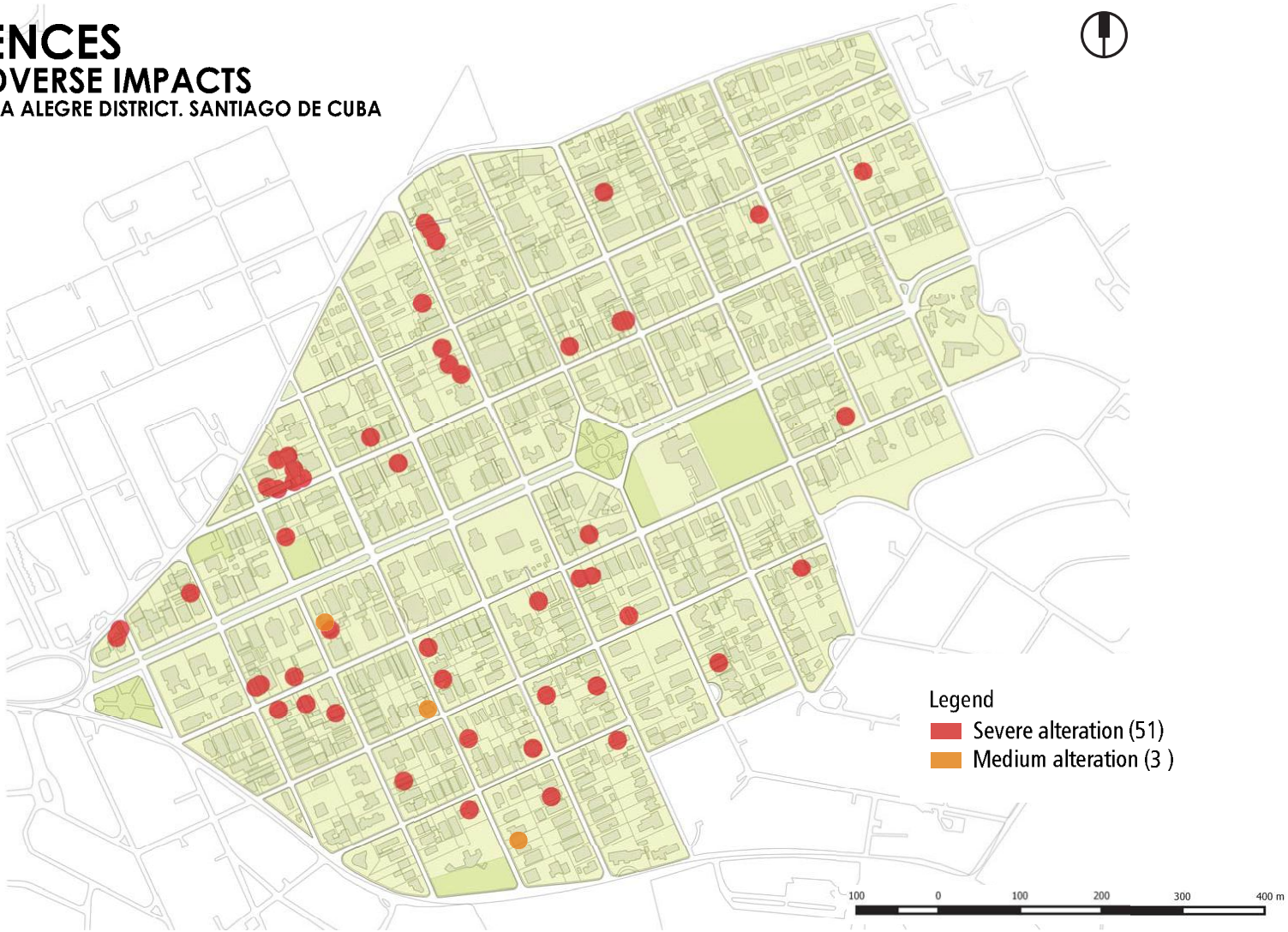
LOTS
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



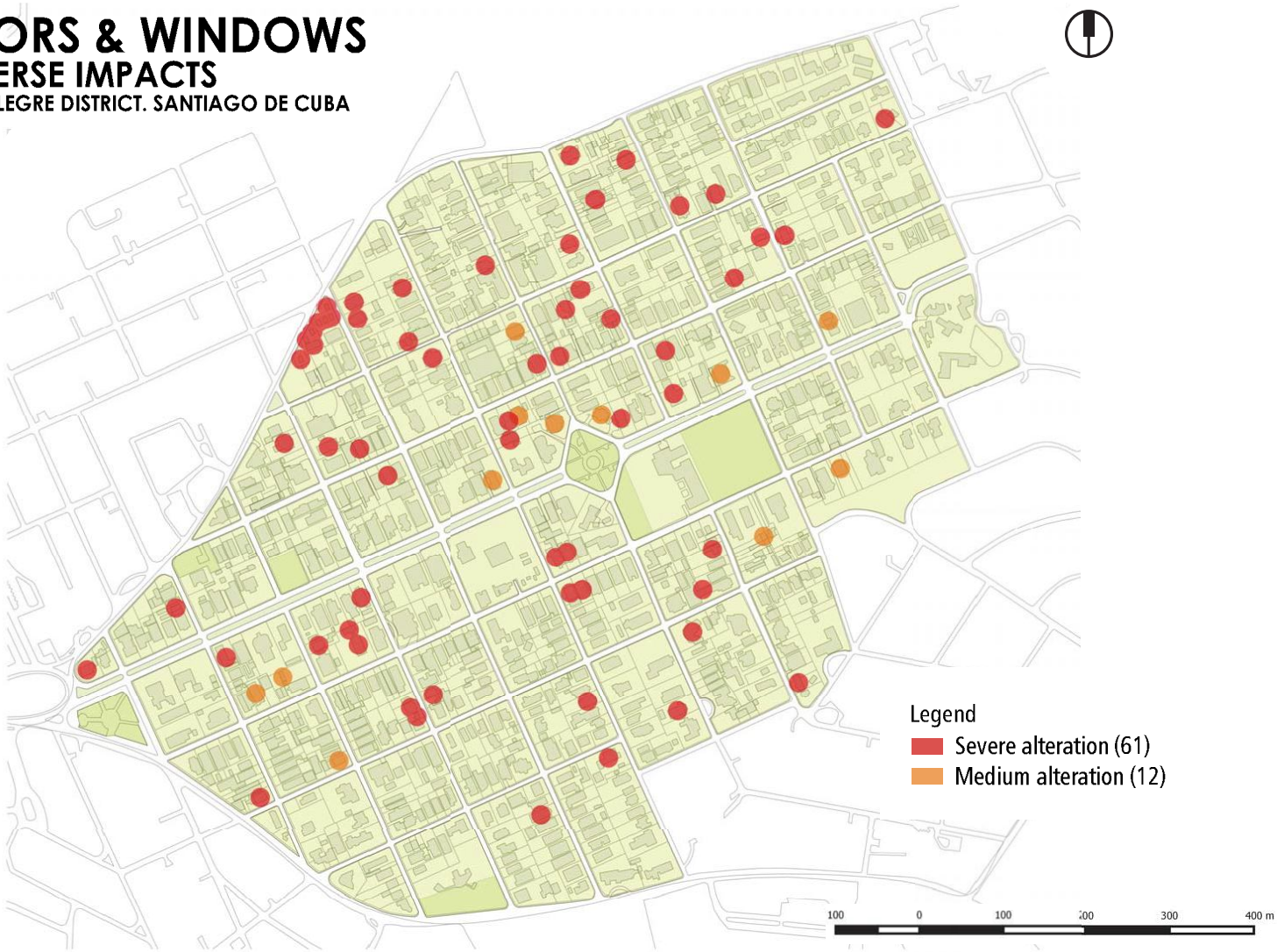
GARDENS
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



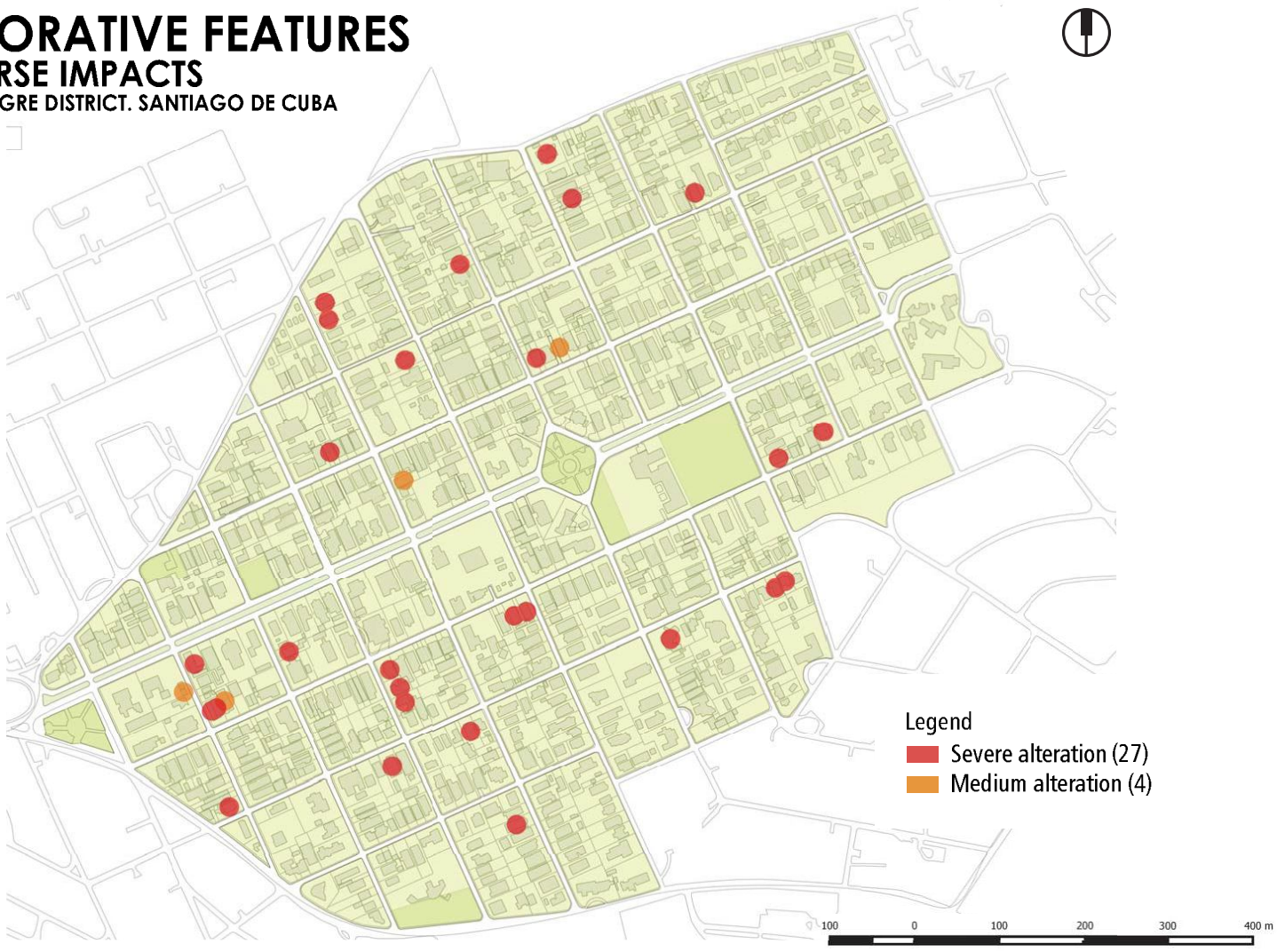
FENCES
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



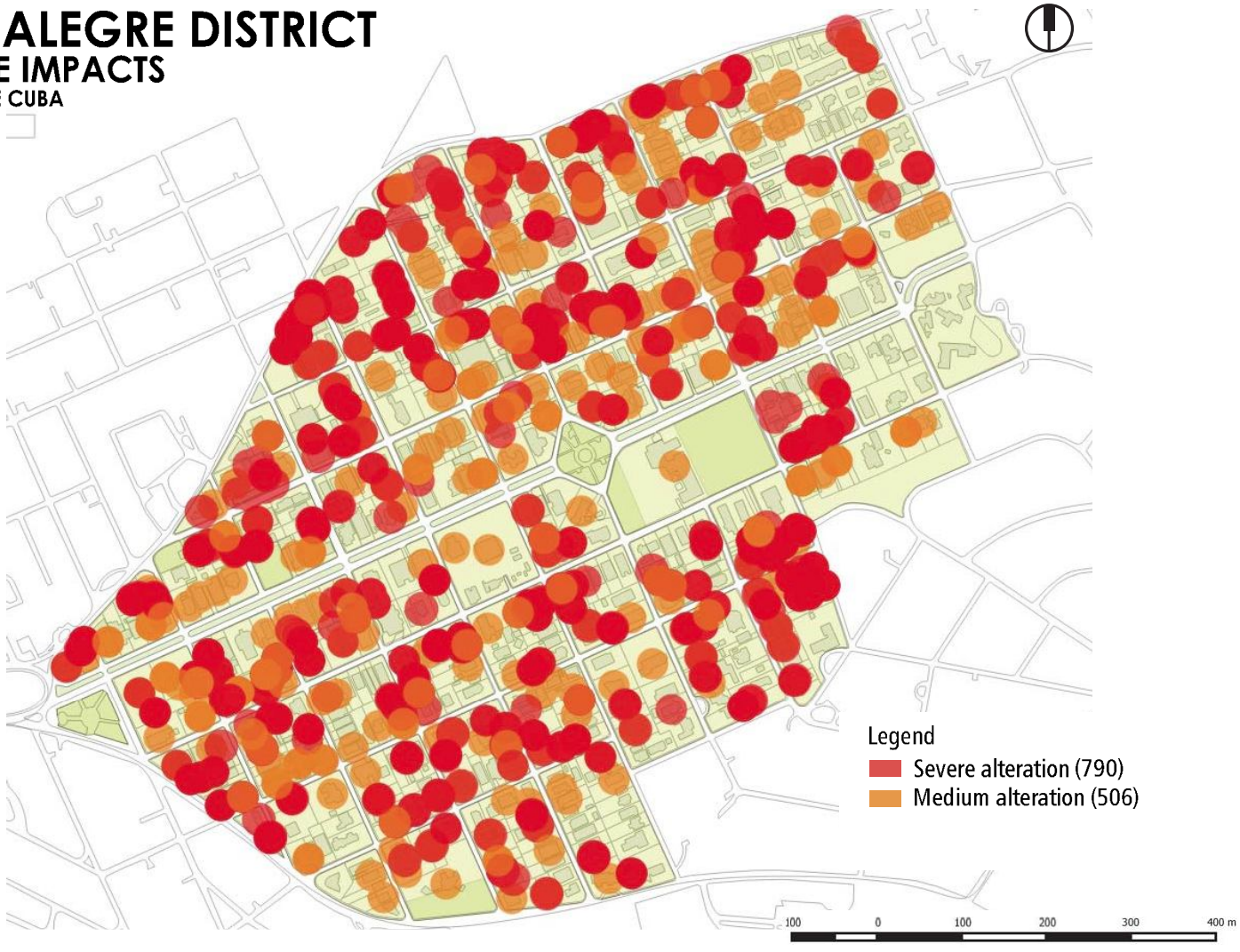
DOORS & WINDOWS
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



DECORATIVE FEATURES
ADVERSE IMPACTS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA



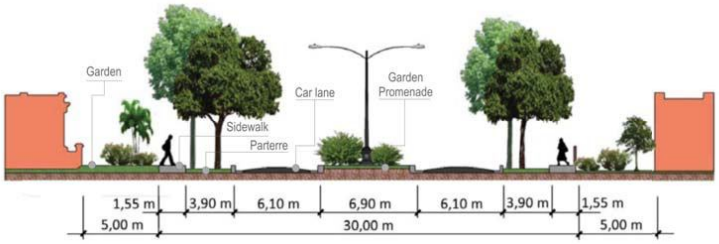
VISTA ALEGRE DISTRICT
ADVERSE IMPACTS
SANTIAGO DE CUBA



ANNEX 5.13

URBAN LAYOUT
GREEN AREAS
VISTA ALEGRE DISTRICT. SANTIAGO DE CUBA





SECTION OF CENTRAL AVENUE







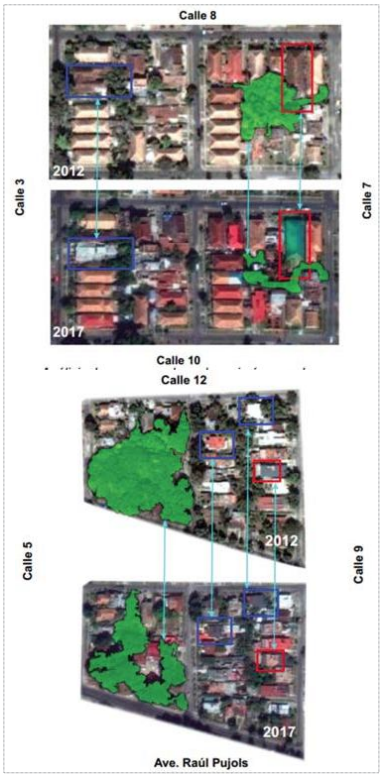
Different views of the District
© Muñoz, 2007

ANNEX 5.14

OPEN AREAS

REDUCTION 2012-2017 (Source: Montoya and Bello Caballero, 2017)

DISTRICT VISTA ALEGRE. SANTIAGO DE CUBA





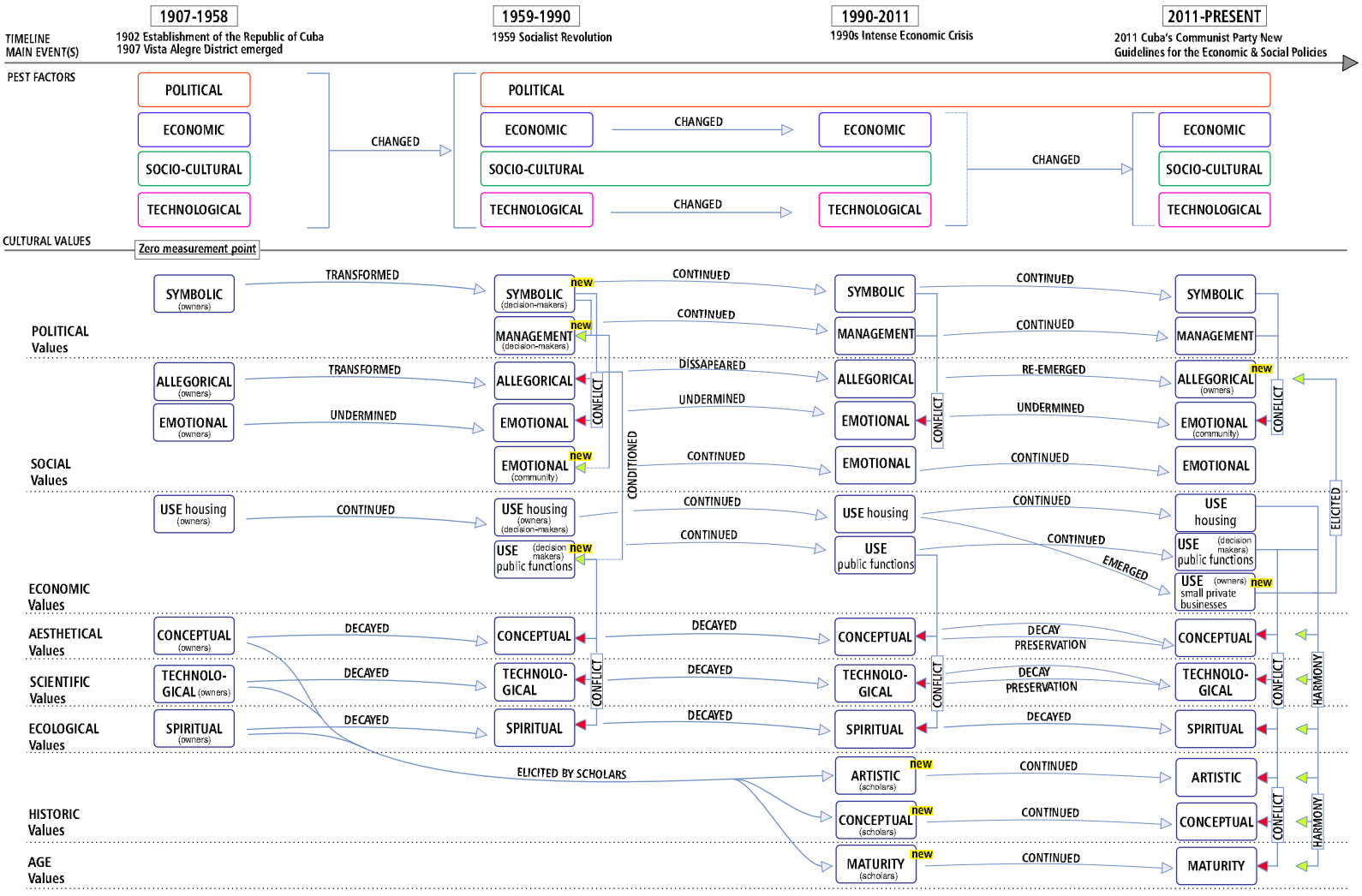
2012
Open areas
Estimated: 19.5 Ha



2017
Open areas
Estimated: 13.3 Ha

Examples of the analysis in two blocks. The estimation was performed in QuantumGIS, a free and open source software (http://www.qgis.org). The OpenLayers plugin permitted to add complementary web-based layers such as Google Satellite and Open Street Map to check coordinates and features. The analysis of remote sensing imagery utilizing the Google Satellite layer helped to estimate the reduction of open areas.

ANNEX 5.15


1907-1958
1959-1990
1990-2011
2011-PRESENT
TIMELINE
MAIN EVENT(S)
1902 Establishment of the Republic of Cuba
1907 Vista Alegre District emerged
1959 Socialist Revolution
1990s Intense Economic Crisis
2011 Cuba's Communist Party New Guidelines for the Economic & Social Policies
PEST FACTORS
POLITICAL
ECONOMIC
SOCIO-CULTURAL
TECHNOLOGICAL
CHANGED
CULTURAL VALUES
Zero measurement point
SYMBOLIC (owners)
ALLEGORICAL (owners)
EMOTIONAL (owners)
USE housing (owners)
CONCEPTUAL (owners)
TECHNOLO-GICAL (owners)
SPIRITUAL (owners)
TRANSFORMED
UNDERMINED
CONTINUED
DECAYED
SYMBOLIC (decision-makers)
MANAGEMENT (decision-makers)
EMOTIONAL (community)
USE housing (owners) (decision-makers)
USE (decision makers) public functions
ELICITED BY SCHOLARS
ARTISTIC (scholars)
CONCEPTUAL (scholars)
MATURITY (scholars)
new
CONFLICT
CONDITIONED
DISSAPEARED
RE-EMERGED
EMERGED
DECAY PRESERVATION
USE (owners) small private businesses
HARMONY
ELICITED
POLITICAL Values
SOCIAL Values
ECONOMIC Values
AESTHETICAL Values
SCIENTIFIC Values
ECOLOGICAL Values
HISTORIC Values
AGE Values

Arenberg Doctoral School
Faculty of Engineering Science

Facultad de Construcciones
Departamento de Arquitectura y Urbanismo

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Case Study of the Vista Alegre District in Santiago de Cuba

Dissertation presented in partial
fulfilment of the requirements for the
degree of Doctor in Engineering Science (KU Leuven)
and Doctor in Technic Sciences

Luis E. Bello Caballero

Santiago de Cuba
2019