International Legal Standards for Heritage Protection in a Period of Economic Recession and Tools for Safeguarding Protection Standards
The publication appears in partnership with the Council of Europe as the follow-up of the co-operation between ICOMOS/SI and the Directorate General II - Democracy/ Directorate of Democratic Governance, Culture and Diversity of the Council of Europe.

Publication International Legal Standards for Heritage Protection in a Period of Economic Recession and Tools for Safeguarding Protection Standards is co-founded by Slovenian National Commission for UNESCO.

Photos on pages 2, 4, 22, 32, 38, 48 and 76, INDOK Centre, Ministry of Culture, Republic of Slovenia. The opinions expressed in this book are the responsibility of the authors.
Editorial of ICOMOS Slovenia

Reviews

Robert Pickard
Funding, Skills, Integrated Conservation and Enforcement for Heritage Protection in a Period of Economic Recession

Jelka Pirkovič, Vlasta Vodeb
Heritage Management through Planning and Information Tools

Daniela Tomšič
The Conservation Scheme as a Legislative Guarantee for Equal Treatment of the Cultural Heritage Protection in Spatial Interventions

Mitja Guštin, Savin Jogan
The Fate of Cultural Monuments. The Gap Between what is Decreed and what is Put into Effect

Sonja Ifko
Heritage of Socialist Industrialisation in the Time of Crisis – Torn between Development and Preservation

Ilka Čerpes
Vision and Reality: Evolution of the Winning Competition Entry for the New Town Hall Complex in Ljubljana

Mojca Marjana Kovač
Deficiencies in Legislation on Cultural Heritage Protection in Local Communities

Mikhael de Thyse
International Symposium On Cultural Heritage And Legal Issues Bled (Slovenia), 2-4 May 2013: Conclusions

Index
Heritage Management through Planning and Information Tools

Abstract

The article\(^1\) gives a condensed overview of the situation of integration of heritage issues in spatial planning across Europe and in this context the online accessibility of heritage information as one of the spatial data sets. These information and services are used for better and timely management of heritage and application of protection standards when heritage is faced with development needs and interests.

Heritage protection through planning started nearly forty years ago and ever since developed into the most important tool in terms of heritage management. A brief comparative study is presented to illustrate the specificity of integration of heritage and spatial planning in individual European countries (UK - England, France, Germany - Bavaria and Slovenia). Each country has developed unique information tools that mirror the history of inventorisation, protection measures and planning control. Most European countries replaced traditional alphanumeric inventory databases with computerised ones, and in some cases have built complex information systems by combining different data sets, and enabled interoperability with other institutional information systems.

Finally as a case of good practice, the prototype of spatial visualization: lines of sight is presented. The tool has been tested in the context of 3D Urbanism of the Municipality of Ljubljana. Lines of sight analysis of a given part of a townscape reveals the visibility of cultural heritage before and after the potential new development and encourages protection of heritage assets through urban planning.

I   Introduction

The focus of our overview is in fact the intersection of two systems: heritage protection at one side and urban (spatial) planning at the other. Especially the latter has been for decades using complex information tools and network services. The paper gives an overview of tools used for integration and visualization of information supporting the development and protection of heritage assets as an important part of spatial data sets and network services. In other words we are dealing with heritage management through (spatial) planning as indicated by the use of information tools that support their online accessibility.

In most countries, the legal systems provide two basic means for heritage conservation:

- by integrating heritage issues in spatial planning and thus in execution of interventions in physical (geographical) space — in this aspect, the position of heritage is similar to that of nature conservation and environmental protection issues,
- by designating a special status to heritage, regulating the heritage management in all regards, not solely when executing interventions in heritage assets and their immediate surroundings.

In these two basic ways protection measures detail or, alternatively, apply legal norms to specific instances of heritage management.

Integration of heritage into spatial planning is of utmost importance due to two reasons: in this way, many other structures, sites and areas benefit from protection alongside statutory protected assets - namely those without features justifying statutory designation which are nevertheless important parts of the spatial context, contributing to its recognisability.

\(^1\)The article summarizes the research project “Information Tools for Integrating Cultural Heritage Into Urban Planning”, Authors: Vodeb, V. et al., financed by the Research Agency of the Republic of Slovenia, 2009-2012.
and quality. The second reason is that when advantages and limitations resulting from
the phenomenon of heritage in the spatial context are timely taken in consideration, it
is possible to influence decisions at an early enough stage and thus contribute to active
protection. Therefore, the purpose of combination of planning and heritage protection is
to establish parameters for as effective heritage management as possible – in other words,
the assertion of spatial arrangements that respect special protection requirements and
enable solutions and spatial implementation conditions that guarantee long term heritage
conservation and regeneration.

Heritage integration into urban (spatial) planning has first being put as an international
standard in 1975 and 1976 when the so-called Amsterdam Charter was adopted by the
European ministers, responsible for cultural heritage. Faced with negative results of quick
urban development causing dilapidation of urban fabric and deterioration of social structure
of European historic centres the ministers urged national and local authorities to make
heritage conservation one of the first consideration in all urban and regional planning.
Since then, integrated conservation was codified in many international legal instruments,
especially in the Granada Convention for architectural heritage, Malta convention for
integrated conservation of archaeological heritage and in Faro framework convention for
sustainable use of heritage as an element of environment and quality of life.2

The question of to what degree heritage is integrated in planning can be analysed also
through the overview of the treatment of heritage data as spatial data sets and network
services at the disposal of general public. The overview and related works show that the
solutions can be divided into three main groups:

- separate GIS-supported heritage data sets accessible online. These have two
  subdivision:
  - data sets compiled mainly to support heritage research (for example Mega Jordan -
    The National Documentation and Management System),3
  - data sets for multi-purpose needs (identification, study, interpretation, restoration,
    planning, awareness-raising) (for example: BayernViewer - denkmal, Atlas des
    patrimoines,4 Calgary Inventory of Evaluated Historic Resources, Historic Scotland5).
- GIS-supported heritage data sets with special application for spatial planning purposes
  (for example: Irish National inventory of architectural heritage NIAH -Buildings Survey6),
- heritage data from different sources (not necessarily from official heritage inventories)
  collected for integration in spatial data sets and services as one of its layers (for exam-
  ple: Dati Teritoriali della Regione Veneto. Patrimonio Culturale Architettonico e Artis-
  tico7, Stadt Graz – WebGIS Flachenwidmungsplan der Landeshauptstadt Graz8, SITBEC
  - Sistema Informativo Regionale Territoriale per Beni Culturali9, BruGIS®10).

I Overview of situation in selected countries

In order to get a more detailed view of how protection through planning operates we
prepared a short presentation of planning systems from the perspective of how heritage
matters are integrated in GIS supported spatial data services in individual European
countries.

European%20Charter%20of%20the%20Architectural%20Heritage%201975%29.pdf; Convention for the Pro-
Html/121.htm; European Convention on the Protection of the Archaeological Heritage (Revised 1992), http://
conventions.coe.int/Treaty/en/Treaties/Html/143.htm, Council of Europe Framework Convention on the Value
2012.
3 See http://www.megajordan.org/.
4 See urls mentioned in note no 41 and 27.
6 http://www.buildingsofireland.ie/.
7 See http://idt.regione.veneto.it/app/metacatalog/index?deflevel=1.
8 See http://geodaten1.graz.at/WebOffice/synserver?project=flaewl_3&client=flex
9 See http://www.sitbec-fvg.org/content/cont.asp?CSez_ID=INFO.
**United Kingdom - England**

Compared to other (continental) European countries, United Kingdom and particularly England have a unique system of planning and of integrating heritage protection into planning process. The brief characteristics of UK system, apart from being divided into more or less autonomous regions according to the UK political system (England and Wales, Scotland, Northern Ireland) is that planning documents are not the only source of development control - the authority issuing development permits has to take into account “material considerations” as well, and heritage in its diverse forms is regarded as an important part of material considerations. In contrast to other countries, plans (and in particular local ones) and building regulations are not legally binding to the extent that every detail or regime has to be fully implemented by individual planning decision. At one hand the system gives planning authorities an important discretion and on the other national, regional and local policies need to be formulated and harmonised well in advance in order to give good support to decision making process.

The second characteristics of English planning situation is that local authorities have the mandate to issue planning permissions as well as consents that are needed when cultural heritage may be affected by a proposal (including by development affecting the setting of a heritage asset). The latter is true for grade II listed buildings while the upper graded heritage assets and especially ancient monuments consents are regularly issued by heritage authority at the national level (Secretary of State, responsible for Culture, Media and Sports). In such cases, English Heritage (the Government’s statutory adviser on the cultural heritage matters) is consulted. Thus, English Heritage does not have powers for issuing heritage consents. According to the Planning (Listed Buildings and Conservation Areas) Act 1990, English Heritage may, upon a request from the investor, issue a Certificate of Immunity which guarantees that a property in question (not being a part of heritage list) will not be statutorily protected in the given period.

The answer to the question which data are to be used by (local) authorities when preparing plans is not a straightforward one. There are two data sets containing data of statutory protected heritage assets: ancient monuments and listed buildings (grade I, II* and II) which were recently, together with some other data sets, merged in one national record, the so-called National Heritage List for England. The record has many functionalities and allows data to be searched, browsed, filtered and downloaded. It is also GIS supported. Individual heritage assets, upon entering the database, are also displayed on ordinance maps. It needs to be underlined that maps are intended to aid identification of the listed heritage only, do not contain legally binding information and must be read in conjunction with other information in the record. Planning documents, including maps are, on the contrary, accessible online only after the adoption and even this not as a general rule. This means, that they serve as a source of information about planning status of a given spatial context and one can consult them only in pdf format which secures their formal nature.

**France**

Urban planning or as the French call it, urbanism, has a long tradition. It should be stressed that it can also be considered as the other part of the coin of regional planning and has been always underpinned by financial and land policy measures (or better to say it has been an instrument of development and social policies). Over time, the planning system has developed in the direction from a fairly centralised one to a more flexible and decentralised corpus of planning responsibilities and procedures so that the main implementation responsibility lays in the hand of local authorities.

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11 Planning control in Western Europe, pp. 411-412.
12 Planning control in Western Europe, pp. 9, 30 and 31,
13 European Heritage Network, Chapter National Heritage Policies, United Kingdom, theme 2.1.1 - Competent institutions, and theme: 4.2.4 - Responsibilities structure for protection, last modification 2009-01, http://www.european-heritage.net/sdsx/herein/national_heritage/voir.xsp?id=intro_UK_en.
French Code d’urbanisme\textsuperscript{16} (Urban Planning Code) defines, among others, national and regional planning instruments such as territorial planning directives\textsuperscript{17} - directives territoriales d’aménagement (together with territorial planning and sustainable development directives - directives territoriales d’aménagement et de développement durables) and three sets of schemes\textsuperscript{18} (guiding scheme for the region of ill-de-France - schéma directeur de la région d’Ile-de-France, scheme for territorial cohesion - schéma de cohérence territoriale - and scheme for a given area - schéma de secteur) where the first two cover larger territories and the latter in principle an area of a local community or its part. The main instrument of urban planning is the so-called local urban plan (plan local d’urbanisme)\textsuperscript{19} which is not obligatory neither does it need to cover the whole territory of a commune. When appropriate, a territory of a commune at its own or in conjunction with other neighbouring communes can be covered by the so called local authorities’ charts\textsuperscript{20} (cartes communales), while development conducted under the auspices a state authority can be implemented on the basis of the so called concerted planning scheme (schéma d’aménagement concerté)\textsuperscript{21}. On top of these general instruments, Code d’urbanisme places some specific land policy measures in form of, among others so called secteurs saufragés at the disposal of planning authorities.\textsuperscript{22} The closes English translation of secteurs saufragés can be conservation area. The planning instrument in this case is called a “plan de sauvegarde et de mise en valeur” (conservation and enhancement plan).

Not to enter into much detail, we want to indicate some general features of the French planning system in taking into consideration the way heritage is included. It can be evaluated as a good example of the integration of heritage concerns. Protection of heritage is treated as an integral part of sustainable development and at the level of principles there are no divergences between planning and protection. The strong point of French planning law is that it provides for procedures intended for reaching compromises between different interests. Planning is also more and more concerned with meeting quality objectives in terms of assuring quality of life, of services, of environment protection and, last but not least, of urban form and architectural design.\textsuperscript{23} Following these objectives, it turned away from the mechanic of zoning, from preferring new housing over rehabilitation, new traffic arrangements over public transportation service and so on. France was also pioneering in the field of conservation areas protection with the so called Loi Malraux. “Conservation areas are created and their boundaries defined by a joint order issued by the Minister for Culture (in the case of architecture) and the Minister for Infrastructure (in the case of town planning) after consideration by the municipal council or councils concerned and consultation with the National Conservation Areas Commission (Commission nationale des secteurs sauvegardés).”\textsuperscript{24} Similar to this tool, zones de protection du patrimoine architectural, urbain et paysager (ZPPAUP, architectural, urban and landscape heritage conservation areas) were installed by the Code du patrimoine in 2004 (ZPPAUP are a kind of refinement of the older, mechanically defined abords des monuments historiques - buffers zones of historical monuments with the fixed perimeter of 500 meters).\textsuperscript{25} With recent legal changes, ZPPAUP are replaced by Areas for Enhancement of Architecture and Heritage (aire de mise en valeur de l'architecture et du patrimoine). This planning instrument which is, similarly to ZPPAUP intended for use at the local planning level, will be fully implemented in the next years.\textsuperscript{26}

\textsuperscript{16} Code d’urbanisme: Consolidated version of 26 August 2012,
\textsuperscript{17} Volume I, Part 1, Chapter III of the Code.
\textsuperscript{18} Volume I, Part 2, Chapter II of the Code.
\textsuperscript{19} Volume I, Part 2, Chapter III of the Code. This type of planning documents replaced the old plan d’occupation des sols (POS) in 2000.
\textsuperscript{20} Volume I, Part 2, Chapter IV of the Code.
\textsuperscript{21} Volume III, Part 1, Chapter I.
\textsuperscript{22} Volume III, Part 1, Chapter III. In this case, Code de ‘urbanisme has integrated the so-called Loi Malraux of 1962.
\textsuperscript{23} Planning control in Western Europe, p. 183.
\textsuperscript{25} See note no 15.
\textsuperscript{26} Planchet (2011), p. 1 and 7.
In parallel to the evolving planning instruments, a significant progress in heritage inventory has also been made. From the starting point in 1964 when the work on compiling and publishing the General inventory of Monuments and Art Treasure France (Inventaire général des monuments et des richesses artistiques de la France) set off, 27 different data sets, including the ones compiled by regional authorities, were first digitalised and put on-line (in the first place the so-called data sets Meriméé and Pallisy for immovable and movable heritage). During the next phase (after 2007), different data sets on immovable heritage were georeferenced and connected via a metadata enabling the spatial identification and access to the relevant information through maps (type of heritage and type of statutory protection, including secteurs sauvegardés). The system can be used, among others, for urban planning. The access is made easier by using a single portal, the so-called Atlas of Heritages (Atlas des patrimonies).

Nevertheless, if a local urban plan which does not fall under the requirement of applying environmental assessment (and in its framework also heritage assessment) the law does not oblige local authorities to take in consideration protection and enhancement of heritage of local importance as long as it is not protected at national or regional level.

Germany - The Free-State of Bavaria

The federal political system of the Republic of Germany gives the right to set legal provisions for heritage protection to the States (Länder) that constitute the Federation. On the other hand, the framework for the planning in its different functions, layers and forms is given by the Federation: all the relevant norms are included into the so-called Baugesetzbuch. Its predecessor was enacted in 1961 and since then, the framework planning act was amended on several occasions and individual pieces of legal instruments were incorporated in it. The main course of the development has been directed towards enlarged responsibilities of the Länder and local communities (Gemeinde and Kreis).

The Free-State of Bavaria has, on the basis of federal planning regulations, developed additional regulations - ad its own planning praxis. From the perspective of territory in question, there are two main areas: planning of settlements (Ortsplan) and landscape planning (Landschaftsplan). Ortsplans can be further divided into two types of documents: the land-use plan (Flächennutzungsplan) for the whole territory of a local community and the development plan (Bebauungsplan) for selected areas covering settlements or land to be developed. One of the function of the Bebauungsplan is to define measures and procedures for the renewal and rehabilitation of inner cities, towns and villages. So, Bebauungsplan enables more detailed and specific instruments, as well. In central location areas, particularly in redevelopment areas, it makes sense to accommodate certain key facilities in vacant historic monuments and in other buildings essential to the townscape, which enables an adequate function and secure long term use of existent building stock. In this framework, a special programme for urban heritage protection has been at the disposal of local communities since 2004 (Städtebaulische Denkmalschutz Programm).

The cultural heritage side of planning in Bavaria has from the 1970’s on developed to the...
stage where heritage is one of the most distinctive elements, at least in Bebauungsplanung. It is important to recognize that the Bavarian heritage protection act was adopted in 1973 and it was changed afterwards mainly to enable greater convergence between planning regulations at federal and state levels. The last modification was enacted in 2009.37 The main features of heritage protection system in Bavaria is, from the perspective of urban planning, that from its start in the 70ties the notion of “ensembles” was considered with great care and it has been ever since integrated into the local development plans as an important part of renewal and urban conservation initiatives (Stadtsanierung and later Städtebaulische Denkmalschutz). In the 70ties, there were only five development plans for renewal of ensembles,38 while at the present, there are approximately 900 ensembles entered into heritage inventory and in 2012, for eighty ensembles financial schemes are implemented in the framework of Städtebaulische Denkmalschutz Programm.39 The Bavarian heritage protection service, State Conservation Office (Landesdenkmalamt), is responsible for preparation and maintenance of heritage inventory and lists.40 At the same time, the law stipulates that before listing, the State Conservation Office should consult local authorities. All listed monuments and sites are to be considered by the local authorities when performing their public function, especially in planning procedures.41

To better perform the task of presentation of listed monuments and sites to the public and to enable the exact transposition of data from the inventory and lists to maps, State Conservation Office started the project of “... cartographic representation of the architectural monuments and archaeological sites on BayernViewer-denkmal.”42 Architectural monuments are either single buildings or ensembles. The on-line representation of heritage covers the whole territory of Bavaria. It operates on official GIS platform of electronic cadastral maps (run by Bayerische Vermessungsverwaltung - The Survey Office of Bavaria). The data represented on BayernViewer-denkmal are partially official partially still in process of approval or revision. So, the on-line presentation is an open process of constant up-dating.

_Slovenia_

the state level and the local, municipal level. It also covers the strategic spatial planning and implementation plans. Municipal spatial plans which are of the utmost importance for the heritage protection through planning, may consist of separate strategic documents and more detailed development plans or both subjects are treated in a unique local spatial planning document. Slovene regulations pertaining to spatial planning recognise three types of spatial plans, namely:

- a National Spatial Plan (NSP) – this spatial act covers planning of state infrastructure facilities or another interventions of national importance;
- a Municipal Spatial Plan (MSP) – this spatial act covers the entire territory of a municipality and prescribes urban planning conditions for construction; and
- a Detailed Municipal Spatial Plan (DMSP) – this spatial act covers planning of municipal infrastructure facilities or other major spatial interventions.

Requirements concerning integration of heritage in spatial acts and methods of taking its protection into consideration in are defined by Article 74 of the Cultural Heritage Protection Act (CHP-1).43 The crucial requirement is that heritage protection should be taken in consideration in preparation of all plans and that plans must include heritage protection measures.

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38 Denkmalinventarisierung in Bayern, p. 98.
41 Article 2, paragraph 1, and article 3, paragraph 2 of the Bavarian Law for the Protection and Preservation of Monuments.
43 Official Gazette of RS 16/08 and 123/08.
The basic official record of heritage is the database of the Register of Immovable Cultural Heritage. Since 2008, after the adoption of the CHP-1, the internet GIS-version of the register has been upgraded with data on legal regimes of protection, the so-called eVRD. Data on protection regimes is compiled in the Legal Regimes Manual. The eVRD database is a compilation of all data from spatial acts binding until present, and forming an obligatory basis for protection which must be taken in consideration during spatial planning and in interventions in space until the system of heritage protection areas comes into effect. The ministry responsible for cultural heritage prepared the Manual with the aim of giving planning authorities and other users a condensed overview of consolidated texts of all legal regimes of protection effective for the area of cultural heritage in the Republic of Slovenia on the date of publication of the Manual and deriving from various legal bases. Data on legal regimes is linked to each heritage item from the register.

Recently, the ministry, responsible for cultural heritage, published General Guidelines for heritage protection through National Planning Acts and Municipal Spatial Plans. The guidelines cover all types of heritage which are important elements of territorial cohesion and are structured according to general development needs such as construction and other spatial interventions, assessment of impact on cultural heritage and archaeological remains and definition of guidelines of optional nature.

It is hoped that the eVRD system will shortly be upgraded to a system of heritage protection areas as prescribed by Article 25 of the CHP-1. On the basis of such criteria as a common historical context of immovable heritage, similar morphological features and values of heritage in the spatial context, and topographical homogeneity, protection areas and accompanying protection standards will be formulated by implementing regulations. Standards, basic premises and conditions for heritage protection and conservation in spatial context will be specified in implementing regulations on heritage protection areas (Articles 75 and 76 of the CHP-1) adopted by the Government and consequently by the ministry, responsible for cultural heritage, after consultation with local authorities and civil society.

I Prototype of spatial visualization: lines of sight

Lines of sight analysis plays an important role when planning and designing urban environment and is usable for visibility analysis of cultural heritage before and after the new development that affects the surroundings of a heritage asset.

A line of sight is a line between two points that shows the parts of the surface along the line that are visible to or hidden from an observer according to a three-dimensional geographic space.

Prototype has been tested with the data and technical environment of 3D Urbanism of the Municipality of Ljubljana, also developed by authors of the research Information Tool For Integrating Cultural Heritage Into Urban Planning. 3D Urbanism visualizes the existing and planned urban development in Ljubljana. The system has been developed for preparation and implementation of spatial and building regulations and is nowadays a part of the municipal e-administration and involves different actors when preparing and adopting a decision and monitoring the implementation of spatial planning document.

The prototype is simple, yet useful tool for protection of cultural heritage when planning interventions in urban areas, planning new developments in environment, e-participation when screening cultural heritage potentials, valuating real estate and similar.

44 http://rkd.situla.org/.
45 http://evrd.situla.org/.
46 http://giskds.situla.org/evrdd/P_11_11_02.htm#an.
47 A version of the on-line register with the Franciscan Cadastre and data on age of individual cultural heritage items was also published recently, http://giskds.situla.org/giskd/.
I Conclusion

The basic requirement of planning authorities is to integrate reliable and standardised heritage data into planning documents. When these requirements are met the planning act fulfils the first need of the so-called “heritage protection through planning”, which is that it carries with it the message “take care and take note”. In order to go further, planning documents need to deliver additional themes. It should set out the spatial and temporal context of the given heritage, present the value of heritage for the local and wider community and, in a condensed way, give information on how the change concerning the given spatial unit should be managed in order to protect and enhance the heritage it contains. In the latter case, two solutions are possible: the plan can give “soft” guidance on how to manage change or prescribe more strict protective regimes.

In order to fulfil all the tasks of integration cultural heritage concerns in spatial planning heritage data needs to be managed consistently, be constantly up-dated and reliable. It is also crucial to collect data only once and to maintain them (preferably in one system). In this way, a consistent and effective multi-purpose use of data, also if combined with other information from different sources and used on different levels can be guaranteed.

Along the lines with similar principles for good information governance, European Union formulated common standards for information infrastructure to be used in the scope of common environmental policy by the so-called Inspire Directive. The INSPIRE system defines, among other 34 spatial data themes, also two themes where cultural heritage is taken in consideration, namely the themes “protected areas” and “buildings”. Each data set included in a spatial information system should be accompanied, among others, by the following metadata: keywords, geographic location, temporal reference, quality and validity of information. Member states have to put spatial information systems online and free of charge including the view, discovery and download services. The requirements of the direc-

tive have to be implemented by the end of 2013 if all implementing documents are adopted in time. Among the countries presented in the previous chapter, only Bavarian heritage protection data sets are already put on the central INSPIRE geo-portal. Other countries have not provided their information yet.

It should be noted that European countries with long tradition in heritage protection were late in integrating cultural heritage in spatial planning information system. This is probably due to the historic reasons and the fact that heritage protection gained the status of important development issue long time ago. Heritage authorities rely on heritage inventories (and these were segmented due to history of compiling individual themes of inventorisation) and all of them were regarded as important source of information. In last decades, most countries have succeeded to replace traditional alphanumeric inventory data sets with computerised ones (and such is the case of England, France and Bavaria discussed in the previous chapter). In some cases, heritage authorities have built complex information systems by combining different data sets, and enabled interoperability with other institutional information systems (the case of France, Bavaria and Slovenia).

In parallel to computerised heritage lists and inventories (with or without GIS modules), England pioneered the project of the so-called Historic Landscape Characterisation which succeeded in bringing together different data and with the help of robust interpretation methodology put together complex presentation of (rural and urban) landscape values. Such data are put to the disposal of regional and local spatial planning authorities. Unfortunately, there is no systematic on-line service which would allow access to historic landscape characterisation maps. For public information, results are published only in pdf format. Nevertheless, the Historic Landscape Characterisation shows a possible future development of integration heritage concerns in spatial planning and in development in general.