



Università degli Studi di Ferrara

DOTTORATO DI RICERCA IN
ECONOMIA

CICLO XXVIII

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Public-Private Partnership in the Cultural Sector: A Comparative Analysis of European Models

Settore Scientifico Disciplinare SECS -P/07

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Anni 2013/2015

PUBLIC-PRIVATE PARTNERSHIP IN THE CULTURAL SECTOR: A COMPARATIVE ANALYSIS OF EUROPEAN MODELS

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INTRODUCTION

The aim of this thesis is to analyze the developments of public-private collaboration in the cultural sector in Europe, and investigating the evolution of public-private and civic partnerships in relation with the debate on the rethinking of the governance systems and management models of the cultural sector.

The research is based on an extensive literature review on the subject of public-private partnerships with a specific focus on the current and emerging trends of research on PPPs in the cultural sector that explore the implementation of ecosystem perspectives in the cultural field by means of *meso* MSP governance systems.

The focus of the research is the European scenario, and the analysis is performed in four European countries: France, Germany, the UK and Italy.

More specifically, the research aims at answering the following main research questions:

1. What are significant PPP models in the cultural sector in the main European countries? What are their main characteristics and their relation with their territorial ecosystem?
2. How are these PPPs in the cultural sector implemented and what is their governance system and management models? Are these PPPs based on or enhancing ecosystem approaches based on collaborative and MSP perspectives?
3. How is the development of PPPs and MSPs models influencing the rethinking process of the governance and management models of the cultural sector in

Europe? Is the partnership among public and private subjects unlocking the potential of the cultural and creative sector? how are citizens and communities involved in this process?

The research questions are addressed by means of an empirical investigation, carried out through a case study method in selected case studies in the four countries of the research sample. In each country a case study at the *micro* and a case study at the *meso* level are selected. The thesis is structured in five chapters.

The first chapter presents the research methodology. It explains in full details the criteria and theoretical premises on which the research was designed, the research method and the collection of the sources of data.

The second chapter presents the extensive literature analysis on the subject of PPPs and MSPs, focusing in particular on the most recent theoretical trends that are emerging in the years of the financial and economic crisis. Some specific analysis will be provided on the literature on PPPs and MSPs in the cultural sector and on how it is inserted in the debate on the rethinking of the governance systems and management models of the cultural sector.

The third chapter provides a longitudinal analysis of the developments of PPPs in Europe, focusing not only on the data on the PPP market but also on the conceptual development of the approach to PPP by the European authorities, and on their increasing attention on more flexible approaches to PPPs that also consider their wider societal impact in ecosystem perspectives.

The fourth chapter presents the results of the empirical research. It is divided in four sections, presenting the data collected in the four countries of our research sample (France, Germany, Italy and the UK). For each section, the analysis on the *micro* PPP case study and on the *meso* PPP project is presented.

The last chapter proposes some concluding remarks on the results of the analysis, linking the research on PPPs and MSPs to the broader rethinking process of the governance systems and management models of the cultural sector towards ecosystem approaches.

CHAPTER I

RESEARCH METHODOLOGY

The research carried out in these thesis aimed at exploring the development of public-private collaboration in the cultural sector in Europe, and in investigating the development of public-private and civic partnerships in relation with the debate on the rethinking of the governance systems and management models of the cultural sector.

More precisely, the research aimed at identifying significant PPP models in the cultural field in Europe and to understand how these models are promoting collaborative or participatory approaches in relation to the development of cultural ecosystem perspectives, in line with the trends on PPPs and MSPs analysis identified in literature. Consistently with current academic debates, the investigation on the shift from *micro* perspectives on governance and management of PPP collaborations towards *meso* perspective implemented through multi-stakeholder partnerships is investigated focusing on a double level, the *micro* level and the *meso* level.

This chapter aims at providing an overview on how the research was designed, on the research approaches and phases, on the selected methods of research (qualitative, based on a case study approach) as well as providing information on the sources of information (document research and interviews). In the chapter, the author explains the methodology used to collect information and data related to the research questions and attempts to fully describe the reasons that led to the choice to use specific research methods, their advantages but also their limitations.

As a result, this chapter is divided into three major sections. The first section aims at providing information on the research design, focusing in particular on the introduction to the two main approaches and phases of the research (deductive-inductive and inductive-deductive). In this section the research questions will be presented on the basis of a short summary of the main points of the theoretical debate that are at the basis of the formulation of the research questions.

The second section presents the empirical phase of the research, focusing in particular of the choices that led to the adoption of a qualitative approach and to the decision to adopt a double level of research, focusing on PPP projects both at the *micro* and *meso* level.

The third section presents more specifically the empirical phase of the research, explaining the use of documentary material and the development of semi-structured interviews. The section includes the description of the criteria of selection of the research sample and of development of the interview protocol, with a short overview on the choice of analysis of the data and on the presentation of the results, that will be more specifically clarified in the chapters related to the research outcomes.

The chapter ends with some concluding remarks, summarizing the main points related to the methodology of the research.

1.1. THE RESEARCH APPROACH: DEDUCTIVE-INDUCTIVE AND INDUCTIVE-DEDUCTIVE PERSPECTIVES FOR CONTRIBUTING TO THE DEBATE OF PPPS IN THE CULTURAL SECTOR.

As stated in the introduction, the complexity of the emerging governance milieu lead to the decision to design the research based on a double approach, consistently with the principles identified in literature on combining research approaches (Creswell,

1994; Easterby-Smith et al., 2002; Saunders, Lewis, Thornhill, 2007): deductive-inductive in analyzing the existing research trends in literature and leading to the formulation of coherent but at the same time significant research questions; an inductive-deductive approach was instead on the basis of the empirical analysis that was carried out in the second phase of the research, by means of a case study investigation of significant PPP projects both at the *micro* and *meso* level.

The first phase (deductive-inductive) was implemented on an extensive literature review on the development of PPPs and on the debates going on in the cultural sector, regarding in particular the governance systems and management models in of the cultural field in times of economic, financial and ethic crisis (Donato, 2013) and how they should be rethought to deal with traditional and emerging challenges. This allowed the author to pose relevant research questions that could contribute to the theoretical debate on PPPs in the cultural sector.

The theoretical analysis will be presented in details in the next chapter of this thesis. However, the author will summarize here below the main issues emerging in the theoretical debate in order to better explain the formulation of the research questions and the contribution of the thesis' analysis to the general theoretical debate.

In general, the literature review and analysis of the theoretical debate and on the European framework both on the subject of PPP and on the rethinking of the paradigms of governance and management in the cultural sector have highlighted a tendency to develop more holistic perspectives both in the governance systems and in the management models of public-private cooperation. This provided the theoretical background on which the research was designed and the empirical investigation was carried out.

With reference to the theoretical debates on PPPs and MSPs, the main research trends could be grouped in the following issues.

- there is an increasing advocacy for interpreting PPPs with a looser approach, that better meets the need for flexibility that is required by the current challenging times and that includes a broader range of governance and managerial arrangements in the PPP definition (Greve, 2013);
- The crisis has impacted the development of PPPs speeding up the growth of small and medium size PPP projects; moreover, increasing attention is being paid to sectors other than the traditional infrastructure PPP, namely in the general service (among which the cultural and creative sector is included) and in the educational sector (EPEC, 2011-2013);
- There is increasing attention towards other values generated by PPP projects, in terms of societal impact and creation of public value in particular; the new models of PPPs show a higher level of cooperation in the governance bodies of PPPs, and moreover, a need is felt towards the inclusion of public, private and civic partners in the different phases of the project, towards multi-stakeholder partnership governance and management models (Skelcher, 2010), with reference also on collaborative governance theories (Donahue & Zeckhauser, 2011; O’Flynn and Wanna, 2007);
- Significant trends of studies on public-private partnerships and collaborations focus on the drivers for the establishment of this type of governance and management schemes, studying in particular the role of trust, key stakeholders and pre-existing collaborative governance arrangements (Crosby and Bryson, 2006).

In terms of the analysis on the trends of development of the studies on PPPs in the cultural sector, the analysis highlighted the following main discussion points:

- There is an increasing call for the participation of private subject in the development of the cultural sector not only on a theoretical point of view but also in the development of European policy for the cultural and creative field;
- Theoretical debate on the cultural sector underlines the need to overcome *micro* approaches in cultural PPPs (focusing on single cultural institutions or organizations) adopting broader *meso* approaches, that promote governance

structures for the cultural sector at the territorial level, based on ecosystem approaches (Holden, 2004, 2015).

- Studies on this rethinking of the governance and management models of the cultural sector debate also the drivers and the criteria that could lead to governance and management changes. This debate focuses on the need to build governance systems and management models on the basis of a strongly-shared cultural identity (Bonet and Donato, 2011), on the need to involve the multiple stakeholders of the territory in new PPP collaborative governance schemes based on hybridity (Zan, 2015) and the need to refocus the governance structures to ensure preservation and creation of cultural and public value for the citizens and the communities (Thompson, 2007).

Starting from this theoretical framework, three main research questions were posed, that aimed at exploring the consistency of the development of PPPs with the specific developments in the cultural sector:

- 1 What are significant PPP models in the cultural sector in the main European countries? What are their main characteristics and their relation with their territorial ecosystem?
- 2 How are these PPPs in the cultural sector implemented and what is their governance system and management models? Are these PPPs based on or enhancing ecosystem approaches based on collaborative and MSP perspectives?
- 3 How is the development of PPPs and MSPs models influencing the rethinking process of the governance and management models of the cultural sector in Europe? Is the partnership among public and private subjects unlocking the potential of the cultural and creative sector? how are citizens and communities involved in this process?

These research questions were addressed in the second phase of the research, that was design through an inductive-deductive approach: starting from an investigation of specific empirical evidences on specific PPP case studies, some deductions were drawn on the more general rethinking process of the governance systems and management models of the cultural sector in Europe.

The inductive-deductive phase of the investigation was based on an empirical qualitative exploration based on a case study method. It focused on the analysis of relevant PPP case studies in selected European Countries (France, Germany, Italy and the UK). The selected approach was qualitative, since this allowed for a more flexible methodology and was considered more suitable for in-depth exploration of the complexity of the governance and management models and ecosystem perspectives on PPPs in the cultural sector.

1.2. THE EMPIRICAL RESEARCH: METHODS AND CRITERIA OF THE CASE STUDY ANALYSIS

As stated above, the second phase of the research was mainly empirical and allowed the author to deduce some concluding remarks that contribute to the debate on the rethinking governance and management models in the cultural sector.

The adopted research method was case-study analysis, qualitative in nature, and involving in-depth, contextual analyses of matters regarding similar context in different organizations. Case study analysis was considered the most appropriate approach since it is useful in understanding certain phenomena and generating further theories for later empirical verification. The author used a case study perspective also because “in general, case studies are the preferred strategy when "how" or "why" questions are being posed and when the focus is on a contemporary phenomenon within some real-life context” (Yin, 2003, pg.1). Studying the development of

emerging PPP models of governance and management and the related perception by key stakeholders in a more general discourse of rethinking of the current models of the cultural sector was better explored by means of an empirical inquiry investigating this contemporary phenomenon within its real-life context, since 'especially when the boundaries between phenomenon and context are not clearly evident' (Yin, 2003, pg.13). According to these characteristics, the author has used case studies to examine complex connections between governance of PPP models and broader paradigmatic changes in the cultural field. Moreover, case studies and examples have become a key research approach in relation to develop actions or recommendations for future policy development (Majchrzak, 1984) and therefore this approach seemed consistent with the idea of further developing the premises of this work for eventual practical implementations.

In short, descriptive case study analyses have been carried out in order to explore the broader changes going on in the cultural sector as well as in understanding the situational factors so as to get insight into the characteristics of the paradigm of interest. The characteristic of the case studies indeed are investigated to describe the phenomenon more appropriately, by offering a whole picture and profile of the different factors involved. As for the case study selection, the cases were chosen on the basis of two considerations.

The first consideration is related to the researches on PPP and the need to adopt a looser approach to PPP definition (Greve and Hodge, 2013) as well as the calls for forms of partnership having a higher degree of flexibility influenced the research project's design. These issues led to the choice of analysing forms of PPP that overcome the traditional restricted PPP definitions and that aimed at including also less structured and less formalized PPPs.

The second consideration, referred to the fact that the theoretical debate on the rethinking of the governance systems and management models of the cultural sector

encouraged PPP to be developed not only at the *micro* level (i.e. for specific projects) but also at the *meso* level, highlighting that often *micro* PPP projects could be integrated in multi-level strategies for ecosystem development. As a result, combining a *micro* and a *meso* approach was considered crucial since it represented on the one side a more traditional analysis approach (*micro*) and on the other because it could be a way to trace on-going changes in the governance and management perspectives of public-private cooperation in the cultural sector at a territorial level as advocated in literature. The case study analysis methodology was similar for the *micro* and *meso* level, based on the approach to case study analysis identified by Yin (2003) and respecting the criteria of variety and representativeness identified by Patton (2002 and 2005).

The research focused on the European scenario of PPPs in the cultural sector and therefore the research was implemented according to principles of transnational case study analysis (Davies, 2001; Sekaran and Bougie, 2010). Being the research transnational, it was considered important to remember that certain variables had different meanings and connotations in the different countries, and that this issue should be taken into consideration at the different phases of the research: not only when the research protocol is developed but also when results are analyzed, since the answers to the research interviews identified various factors that depended on the level of development and PPP experiences of the past in each country and moreover on the different characteristics of the country's cultural and creative sector, thus carrying inevitably site-specific meanings and outcomes. However the investigation seemed to be useful for identifying emerging paradigms and intercepting various models of cooperation that overcome the restricted approach to PPP that characterized other fields of study (infrastructure field, general health and service delivery in similar field such as the education sector, etc.)

According to common principles of international research (Sekaran and Bougie, 2010), the interviews and case study analysis were tailored to the specific characteristics of each country and special issues were addressed while designing the methods for collecting data from different countries. As underlined by Davies

(Davies, 2001), international comparison might sometimes be a tricky field and need to be made with attention since the cultural biases as well as different policies in presenting and interpreting information could lead to misinterpretation of results (Marshall and Rossmann, 1999; Hofstede, 2005). Therefore, special attention was paid to the development of the interview protocol in order to have identical methods of introducing the study, the researcher and ensure comparability of the responses. Moreover, as noted by Sekaran (Sekaran, 1983) when a foreigner comes to collect data, the responses might be biased for fear of portraying the specific case in an “adverse” light. The interviewer attempted to minimize this effect by ensuring the confidentiality of the specific identity of the interviewees and by establishing in many cases previous personal contact with the interviewees (Healey, 1991, North et al. 1983) as well as by guaranteeing that confidential information will be respected.

The selection of the countries in which developing the case study analysis was based on the combination of two set of data and on two preliminary researches: the first concerning the development of the PPP market in Europe, the second regarding the distribution of UNESCO World Heritage Sites in European countries.

As for the first preliminary research (which will be presented in details in the third chapter of this thesis), a preliminary analysis of European PPP Expertise Centre – EPEC Reports in the period 2010-2012 have been carried out. As emerged during this preliminary investigation, the country were the highest number of PPP deals have been signed were the United Kingdom, France and Germany. In 2010, these countries, together with Spain, alone accounted for 80% of all European PPPs. The UK remained the largest PPP market across the European Union for the whole period, but other countries were more recently emerging such as Portugal, Belgium, Spain, Italy and the Netherlands (EPEC Market Updates 2010, 2011, 2012).

On the basis of these data, the research was focused on the evolving and emerging concepts of PPPs in the cultural sector in these three countries (France, Germany and the UK). However, a selection of the countries based only on the degree of

development of their PPP market seemed limiting the scope and consistency of the research, and not sufficiently taking into consideration the cultural dimension of PPPs that was the main focus of this thesis. Therefore, another database has been taken into account, namely presenting information on “cultural density” as described by UNESCO, i.e. the density of cultural, archeological and natural sites that have been inscribed in the UNESCO World Heritage List. France, Germany and the UK were all among the first five countries for number of WHSs, but the first country in Europe was Italy. It seemed therefore appropriate to add it to the country research sample, since the potential for implementation of PPPs in the cultural sector seemed particularly high, especially in terms of territorial *meso* ecosystems of PPPs and MSPs. Moreover, the country had recently showed an increased dynamism with reference to PPP implementation (EPEC, 2011). Moreover, in the framework of prospective practical uses of this research in terms of real policy implementation, it seemed appropriate to analyze the development of PPPs in those countries that play the most significant roles in the policy implementation phase. Indeed, according to the current legislation on the voting procedures of the Council of the European Union (i.e. since 2014, according to the Treaty of Lisbon), the member countries with the highest voting weights are France, Germany, Italy and the UK.

As a result, significant PPP case studies in the cultural sector were selected in the four above mentioned countries according to the previously-presented double approach (*micro* and *meso* level). The case studies are listed here below, according to the level of PPP (*micro* or *meso*) and to the country in which they were implemented:

***Micro* Level:**

- France: Orange and Louvre Lens Project
- Germany: Stiftung fuer Konkrete Kunst und Design Ingolstadt
- Italy: Herculaneum Conservation Project
- UK: FACT – Foundation for Art and Creative Technology

***Meso* Level:**

- France: Climats du Vignoble de Bourgogne – Burgundy Area
- Germany: eCulture Service PPP – Hamburg area
- Italy: Po Delta area – Rovigo, Ferrara, Ravenna area
- UK: Birmingham Creative City Partnership – Greater Birmingham and Solihull area

The aim of this thesis was to answer the research questions with reference to PPPs and MSPs in the cultural sector. The author is aware that these case studies were studied as *example* in their own right and for their unique importance, and that the number of the case studies couldn't be considered as a *sample* of all the possible PPP models (Payne & Payne, 2004). As a result, the author would not claim the findings could necessarily be completely generalized. The author is as well aware of the potential problem of "anecdotalism" (Silverman, 2000), but at the same time the selected research method seems useful in giving first insights in the analysis of the changing paradigms of PPPs and MSPs in the cultural sector, contributing with consistent analyses and significant insights to the debate on the rethinking process of the governance systems and management models of the cultural sector.

The cases were studied through the triangulation of documents, analysis of artifacts and interviews with key stakeholders of the project, according to the method that will be fully described in the following paragraphs. However a slightly different approach was used for the *micro* analysis and for the *meso* analysis, which reflected the higher degree of complexity in the governance systems and more generally in the equilibrium of the interaction required by PPPs and MSPs developed on a territorial scale. This difference in the research method will be addressed in the following section of this chapter.

1.3. SOURCES OF DATA: DOCUMENTARY ANALYSIS AND RESEARCH INTERVIEWS

The methodological approach of this thesis was based on case study analysis and was designed to collect data that would answer the research questions and reach the research aims and objectives. The selected methods were inevitably influenced by factors such as the resources available, research timing, availability of the different organizations to share information, statutes and annual reports. According to the classification of the sources of data identified by Yin (2013), the methods and materials used in case study analyses consist of seven dimensions, among which the most used are documentary research, analysis of artifacts and interviews.

The case study investigation was carried out according to the principle of case-study methodology identified by Yin (Yin, 1994, 2003). More specifically, the investigation was based on the triangulation of multiple sources of evidence, namely document research, physical artefacts (in the sense of outputs such as practical creation of products e.g. mobile phone apps and digital devices, websites, digital tools and activities, initiatives presented as outputs of the PPP projects) and semi-structured interviews with key stakeholders of the case studies based on an interview protocol with open ended questions that were carried out with managers and people in key positions (either senior or representing other levels) in both the *micro* and the *meso* PPPs of the research. The initial interview protocol was amended several times, with questions being added as the knowledge of the case increased and additional questions arose from the data collection process, following a flexible research approach (Dubois and Gadde, 2002; Stake, 1995).

Hammersley (2004) notes that the case study is a research method that frequently combines different, tailor-made methods of data collection. Yin (2003, pg.15) also observes that 'case study research includes both single- and multiple-case studies and can be based on any mix of quantitative and qualitative evidence'. Therefore,

different research data collection should not be considered in opposition to one another: they can co-exist or even overlap within the same study (McQueen & Knussen, 2002). In practice, the research methods contained in this thesis were a mixed use of various qualitative approaches, that provided an overview on the governance and management of the PPPs at the *micro* and *meso* level.

Along with the analysis of the artifacts and practical outputs of the different projects, the two main research methods used consistently in the thesis were *documentary research* and *interviews*.

As for document research, the sources of data were multiple. The investigation was mainly carried out through the use of secondary data gathered from sources such as internet, available documentation and reports, annual reports of the different organizations managing the PPPs, extracts of research and databases as well as from the literature existing on the evolution of PPPs and the cultural sector in each country and related to each project that was object of the analysis. Furthermore, secondary data sources were collected both internal and external: some reports, and information were available to the large public, while other information were internal information the key personnel in the organizations which participated as respondents in the investigations. However, it must be noted that while some organization were particularly available in providing such data, other organizations were more reluctant and for considered some information (especially financial information) confidential refusing to share it with the interviewer for the purpose of this researcher.

Official documents derived from local authorities and were often provided by the interviewees who were able to inform what approaches, governance aims and initiatives had taken place in each case. According to Payne & Payne (2004), documentary methods are aimed at categorize, examine, interpret and identify data whether in the public or private domain and that therefore basic rules should be applied in collecting and analyzing documents to ensure authenticity, reliability and theorization. In terms of *authenticity*, the sources and reference have been carefully

checked and information on this topic is available in the reference section of these theses. In the majority of the cases the authenticity document was unproblematic, since the documents were in published form, such as a public report, or if it is part of a collection held and catalogued in a reputable archive (McCulloch, 2004). In terms of *reliability*, a multiplicity of viewpoints was taken into account: the author made sure to take into analysis a wide number and variety of documents which will represent alternative viewpoints and interests' (McCulloch, 2004). With reference to *theorization*, the author critically selected and examined the documents in relation to the core study of the research project and consistently with the research question. The analysis of each document was based on the aims and research questions set out in their texts in relation to the development of PPPs in the cultural sector at the *micro* and *meso* level. This perspective aimed on the theorization to interpret the documents.

The document analysis was completed by a series of research interviews developed for each case study in each country. The design of these research interviews was initially focused on the selection of the research sample, namely the interviewees to interview for each case study, and on the development of the interview protocol, that should reflect the transnational characteristics of the research and the peculiarities of each case study though allowing comparison through standardization.

With reference to the selection of the research sample, the interviewees were selected. The sample of key stakeholders interviewed for the research was selected through the principles of area sampling (Sekaran and Bougie, 2010; Robson, 2002; Yin, 2003) for qualitative research, that does not aim to draw statistical inference. The sample was selected according to the *purposive or judgmental sampling* principles, enabling the researcher to exercise judgement in selecting the cases that will best enable to answer to answer the research question and to meet the research objectives. On this premises, the sample was selected choosing a small sample according to the principles of case study research to be particularly informative (Neumann, 2000) and, though not statistically illustrative, strictly representative of and

relevant to the research objectives. Subjects have been selected on the basis of their expertise and potential role in the implementation of a PPP project in the cultural sector in the different geographical areas of the countries studied. The research sample was selected based on the criteria of representativeness and variety identified by Patton (2002) and could be classified as an heterogeneous sampling selection. In the group interviews the participants have all the opportunity to state their points of view creating and identifying key themes during the data coding phase. As emphasized by Patton (Patton, 2002) this seemed a more appropriate method than probability sampling, being more useful for answering to the research questions.

More specific description of the interviewees and research sample will be provided in the chapter presenting the results of the analysis. However some specifications will be provided in the paragraphs here below, giving information of the flexible and tailor-made approach identified by Patton, who was applied to obtain more accurate and effective information on the governance and management of each case study analyzed.

The differences consisted mainly in the selection of the interviewees for the *micro* and *meso* analysis. In the analyses of *micro* PPP projects, interviewees were carried out with managers and employees in senior positions of each project, trying to comply with a variety of perspectives but generally not including more than three interviewees per case studies. The majority of interviewees at the time of interview was carried out had been centrally involved in working on the PPP project.

In terms of the *meso* analysis, the research on the *meso* level included a higher number of interviews since the complexity of the governance of the projects and the number of potential and involved stakeholders in governance bodies was inevitably higher and more distributed in the territory. Following the perspective of Oppenheim, exact representativeness was not pursued but the author tried to have a good spread of respondent characteristics so that to reasonably tap probable perspective of every kind and background. As a result, a research sample of nine interviewees was selected for each of the case studies at the *meso* level.

These nine interviewees were selected not only on the basis of variety and representativeness but also complying with the studies on key stakeholders and field characteristics of the cultural sector that are described in the second chapter of this thesis. More specifically, the studies on leadership facilitators and the role of pre-existing conditions for the development of PPPs and MSPs cooperation and in the choice of related governance systems and management models had a relevant influence on the selection of the interviewees (Bryson, Crosby and Stone, 2006).

The nine interviewees belong to three main categories of potential and real key movers in the governance systems and management models that could characterize PPPs and MSPs at a *meso* level in the cultural sector:

- Decision makers, namely politicians, usually municipality or provincial council members who were in charge of implementing cultural policies within the area or cities that were investigated in the research
- Cultural managers, mainly managers who were in charge of the management in important cultural organizations or, in case cultural PPPs were already in place, who were in charge of managing the project or a part of the project.
- representatives of cultural stakeholders, i.e. citizens involved or interested in the cultural sector, who were often participating in local volunteer or non-profit associations that were promoting culture-related activities.

The author was asked by some interviewees to keep their identity confidential, therefore no exact list of names will be provided. However, it must be pointed out that the research was also based on geographical considerations, aiming at selecting an interviewee for each category of stakeholders identified above for the three main geographical areas (either province, city or city district) for each of the case studies considered.

As for the development of the interview protocol, a semi-structured model was chosen. The information gathered through semi-structured and unstructured interviews

are generally richer, in-depth and full of information allowing the researcher a better understanding of the perspective and issues related to the subject under investigation (Arksey, 2004). Fielding and Thomas (2001) note that through interviews the variety of opinions concerning a topic or the relevant attitudes; according to Oppenheim, dimensions are better captured through less structured interviews that allow to understand how people think and feel about the topics of interest to the research (Oppenheim, 1992). According to (May, 2001), semi-structured interviews allow interviewees to answer more on their own terms than structured interviews, while at the same time providing structure for comparability over the different interviews. For this reasons, the author decided to carry out the research through a semi-structured interview protocol that was applied both at the *micro* and at the *meso* level of the investigation.

Though common disadvantages of using open-ended questions are identified with responses that might be ambiguous, too wide-ranging and difficult to classify (Simmons, 2001), the author chose open-ended interview questions since potential alternative replies were not known, closed questions could be limiting the replies.

Finally, open-ended questions were preferred because the issue to explore presented a high degree of complexity and should be interpreted as a process rather as an already established phenomenon (Stacey, 1982) presenting multi-faceted and complex effects and interconnections that closed questions could not appropriately identify. This enabled the author to discover unexpected aspects about the way people see governance systems and management arrangements in PPPs instead than giving biased options among which the respondents should choose (Scale & Filmer, 1998).

An interview protocol was designed and amended several times, as the knowledge about the dynamics and debate on PPPs in the cultural sector by the author increased. The resulting interview scheme was developed and used in the interviews at the *micro* and *meso* level .

Introduction and overview of the research: aims of the research, short overview on the theoretical background and information about the interviewer

Semi-structured questions:

1. Background information on the context of development of the PPP/MSP project, its aims and goals, the stakeholders involved and the expected/obtained
2. Governance system and the management model of the PPP/MSP project
3. Open-ended questions on the perception of the PPP/MSP project, with reference of the development of the PPP on a *meso*/territorial broader level:
 - a. How do you perceive the idea of a PPP/MSP developed as a cultural ecosystem in the territory? What is the potential of creating PPPs of this type?
 - b. What difficulties have been encountered or could have been encountered in the implementation of a PPP of this type in your territory with reference to this PPP/MSP experience?
 - c. What are the actions we need to implement in order to overcome those difficulties and unlock the potential of cultural PPPs at the *meso* level?

The potential interviewees were identified from the countries and case studies that have been described in the previous paragraphs. These interviewees were contacted by the author either via email, via phone or through intermediaries that were already acquainted with each person. During this first contact, a brief overview on the researcher and the research was provided, as well as a concise topic guide with the topics the interview would cover.

Potential interviewees were placed under no obligation to participate and this was made clear in the process, but a high degree of respondency was registered: the majority of the contacted people agreed on participating in the research (around 90%).

The majority of interviews were conducted face-to-face, only a small percentage online or via phone (Skype or phone interviews). The interviews conducted in Italy were carried out by two interviewers, taking notes contemporarily in order to avoid misinterpretations or biases. All the interviews carried out in France, Germany and in the UK were tape-recorded with notes taken by the author during the interview. The tape recordings was essential to ensure information integrity and not taking was used to highlight the key viewpoints and steer the conversation during the interviews. Tape recording moreover allowed the author to carefully re-listen to the conversations over and over without overcoming potential language problem (the interviews were carried out in French, German and English, that were not the native language of the author).. Tapes and interviews in general were transcribed and coded short after the interviews, when the conversations were fresh in the memory. This, allowed also to intertwine data collection, coding and analysis with the approach described by Payne & Payne (2004). Manually coding was selected as the most appropriate coding method: as a result, key points/categories of answers were identified and reported in grids and tables in the research report (Arksey, 2004).

The tables aimed at representing different responses and ideas for each of the research questions. Themes and concepts that were identified and coded in the different country interviews were then compared with the results of other countries to identify common patterns. The author took these various viewpoints as the basis of the analysis and referred them back to propose answers to the research questions.

1.4. CONCLUDING REMARKS ON THE RESEARCH METHODOLOGY

The author has adopted multiple research methods to investigate and explore the development of governance systems and management models in PPPs in the cultural sector. The adopted approach has been deductive-inductive in the first part, analyzing the literature and theoretical debates on the research topics in order to identify relevant research questions and design the most appropriate research path. The second part of the research project, was instead based on an inductive-deductive

approach. An empirical research was designed and implemented in order to explore significant research questions and on the basis of the collected data some concluding remarks on the development of PPPs in the cultural sector and on the rethinking process of the governance systems and management models in the cultural field.

With reference to the empirical research, the research method adopted was qualitative and based on case study approach within an international perspective. The analysis considered case studies in four countries, selected on the basis of their dynamism on the PPP market (EPEC, 2010-2011) and on their richness in UNESCO World Heritage Sites. As a consequence of the comparison with these two databases, the analysis was carried out in France, Germany, Italy and the UK.

The case study were selected both at a *micro* (single PPP project) and at a *meso* level (PPPs implemented on a territorial level), in order to address the rethinking process of the governance systems and management models of the cultural sector, that claimed that ecosystem, *meso* perspective are both emerging and better suitable to the characteristic of the cultural sector.

The empirical analysis was based on multiple sources of evidence and included investigation of documentary research and artifact analysis and most of all semi-structured interviewing, according to the main approaches described in literature for qualitative and case study research (Yin, 2003).

A protocol based on a semi-structure interview model was designed, with open-questions that addressed the research topics and ensure comparability of data while at the same time allowing flexibility, avoiding biased categorization and better knowledge of the opinions and ideas of the interviewees on the research topics. Manual coding was then adopted to classify and interpret the data.

Being the research trans-national, cumulative view of data drawn from different contexts and countries allowed to identify common trends and changes at the

European level and to advance some concluding remarks on the on-going rethinking process of governance systems and management models in the cultural sector.

CHAPTER II

THE DEVELOPMENT OF THE PPP CONCEPT

This chapter aims at providing an overview on the academic debate on PPPs, analysis in particular the main theoretical approaches and interpretations of PPP. The chapter allows to distinguish the development of the discussion on public-private cooperation arrangement, from the initial phases in which PPPs were inserted in the framework of New Public Management and Public Governance paradigms, to more recent developments that increasingly interpret PPP as a specific phenomenon.

The analysis focuses also on the impact that the economic and financial crisis is having on the theoretical analysis of PPPs. In particular, the “turbulent times” of the crisis seems to have introduced a different interpretation to PPPs. First, calls for more *flexible definitions* of PPPs have been made, in order to shed a more appropriate light on the different governance and management models of public-private cooperation that include also a higher cooperation of non-profit and communities. Second, studies of PPPs have increasingly focused on the *level of engagement of stakeholders* in PPP project and on the link between PPPs and the territory and communities in which they are developed, promoting ecosystem perspectives and a shift of research trends towards studies of *meso* PPP (implemented on a territorial basis) and MSPs (Multi-Stakeholder-Partnerships). Third, the crisis has increased the attention of the *creation of value* in PPP projects. Value is interpreted in terms of generation not only of public value but also of social value, as opposed to a mere traditional approach related just to economic and financial perspectives; moreover, value creation is not only studied at the *micro* level (i.e. value generated through a specific PPP project) but also in terms of value generated for the broader territorial communities and for the variety of

local stakeholders, and it is then linked to the economic and financial dimensions. This issues are analyzed in the following four sections of the chapter.

The last section of the chapter aims at focusing more specifically on PPPs in the cultural field, providing an overview of the characteristics of the theoretical debate on public-private collaborations in the cultural sector. The section highlights how the debate on PPPs for culture follows the general trends identified in the general PPP literature, focusing increasingly on more flexible schemes of governance and management of PPPs, on projects implemented with a broader framework of partners and stakeholders, and that increasing attention is paid to issues of public value creation. However, recently PPPs and MSPs have been at the centre of the debate on the reforms of the cultural governance systems and management models. Therefore, the chapter shed light on how PPPs and MSPs could be inserted in the most recent trends of development of the reforms in governance and management models of the cultural sector, towards ecosystem approaches and the interpretation of culture in terms of its potential for the creation of cultural, social and public value.

2.1 INTRODUCTORY CONCEPTS: DEFINING PUBLIC-PRIVATE PARTNERSHIP

Public–private partnerships (PPPs) have been defined as long-term cooperative agreements that are established between public and private partners with the aim of planning, designing, financing, constructing, and managing projects that would usually be implemented and delivered by the public sector (Van Ham and Koppenjan, 2001; Ho, 2006). PPPs are included among a complex continuum of hybrid forms of cooperation between the public and the private sector that span from the total public ownership to complete privatization (Perry and Rainey 1988; Koppell, 2003). Through PPPs, public and private subjects jointly provide public services and implement public infrastructures. These agreements therefore are mainly based on schemes for the

allocation of risks and benefits sharing among the two sectors (Forrer et al. 2010). Public private partnerships are based also on the enhancing of synergic and complementary advantages and the balancing of benefits between the public and the private sector. Private partners are undertaking PPP project on the basis of government incentives, usually financial, in the long term, in the framework of logics of return of investments; public authorities instead resort to PPPs in order to ease budget constraints, taking advantage from the professional and cost-efficient managerial approaches of private companies in the delivery of service or building of infrastructures (Savas 2000).

Researchers have pointed out that public-private arrangements date back to the sixteenth century. However, the phrase first became used by a specialist audience in the 1970s, first examples of structured PPPs have been identified in the early 1980s, and the first books on the argument were published in the 1980s (Rose, 1986).

Over the past decades, the use of PPP arrangements has spread from traditional hard infrastructure (transit, railways, bridges, and highways) to soft infrastructure (education, health care, and emergency service) and service delivery (Hodge and Greve 2007). Currently, PPPs are important tools through which governments deliver public services. PPPs have been widely and successfully implemented in many countries worldwide such as the UK, Australia, Hong Kong, and the United States. Since their launching in the 1980s, regulatory frameworks have been developed around PPPs, dealing with issues of transparency, accountability, financing capabilities, and risk-sharing principles.

PPPs models have been grouped into two main categories: institutionalized PPPs (in which a special entity is created for the project, including in its governance both public and private sector partners) and contractual PPPs (where a contract between the two parties regulates the implementation of the PPP project).

However, the literature on PPPs allowed also for broader definitions of PPP models, including also “cooperative arrangements that occur between governments and

private entities and [that] are more informal than many of the equity partnerships and concession-type franchise arrangements” (Grimsey and Lewis, 2004). This Loosen type of PPP (Greve and Hodge, 2013), has recently attracted increasing attention and has emerged in multiple sectors in which PPP have been implemented.

The current literature on public-private engagements, although providing important insights on these issues, shows however some limitations. As underlined by Hodge and Greve, the academic research on PPPs is fragmented: several theoretical debates concerning different disciplines (e.g. public administration, entrepreneurship, organizational economics or project management) have analysed the subject according to specific approaches (Hodge & Greve, 2007). Moreover, lacks of conceptual clarity on the definition of PPP is still present and the elaboration of a defined conceptual framework for public-private collaborations is still in progress. Some academics focused on issues of governance arrangements, but a systematic frame for theatrical classification of the various PPP mechanisms is still rather fragmented (Rangan et al., 2006; Rufin & Rivera-Santos, 2010; Spiller, 2010). Moreover, studies on the value creation mechanisms are still limited: “a deeper investigation may be required to capture the exact value creation processes in public-private collaboration comparing them with alternative forms of procurement and networking between the public and private sector (Kivleniece and Quelin, 2012).

2.2 PPPS, NEW PUBLIC MANAGEMENT AND NEW PUBLIC GOVERNANCE

Traditionally, PPPs have been linked with the development of two main paradigms: the New Public Management and the Public Governance (or more specifically, the New Public Governance path).

As for the link with the New Public Management, the implementation of PPPs has

been influenced by the more general development of public management theories and they have been used to justify breaking up public sector monopoly of service provision: “mixed economy of provision” would ensure the achievement of service improvements and potential gains could be derived from using market and quasi-market competition mechanisms (Bovaird, 2010).

More generally, one of the key aims of NPM (Hood, 1991; Stewart and Walsh, 1992) has been the development of the so-called “Value for Money” (VFM) (Glynn *et al.*, 1992; Martin, 2002): this approach aimed on promoting projects and public service delivery according to the “3 Es”: efficiency, effectiveness and economy. More specifically, the three dimensions they were defined as “spending less” (economy), “spending well” (efficiency) and “spending wisely” (effectiveness) (NAO, 1988). Combining these three dimensions was considered the key for guaranteeing social interests by public sector authorities. The 3 Es could be achieved through the implementation of corporate management tools and mechanisms in the public sector management but also promoting subsidiarity, both vertically and horizontally oriented (Hood, 1991). Vertical subsidiarity is interpreted in the need to delegate and decentralize decision-making at different levels of governments, promoting the autonomy of single authorities in public administration, especially the local and territorial ones that are most closely in contact with citizens and communities. Horizontal subsidiarity refers instead to cooperation between the public and private sectors for the provision of public services and more directly include PPP schemes. In this scenario, the concept of PPP emerged and had a strong and fast development (Broadbent *et al.*, 2003). In Europe, the use of different models of public-private partnerships was soon at the center of theoretical discussion, both academic and at the practitioner and political level. A significant and frequently quoted example was the Private Finance Initiative (PFI), implemented in the UK. The aim of the PFI (Broadbent and Laughlin, 1999) was to promote investments of public interest, with a solid involvement of private subjects. Private partners were allocated a consistent part of the operational risk, compensated by a sharing of the benefits resulting from the potential success of the PPP project. As a result of the increasing attention that the PFI and similar initiatives

were attracting, European community institutions attempted first normative regulation of the phenomenon: in 2004 the European Commission issued a *Green Paper on Public-Private Partnerships* (European Commission, 2004), where the importance of this model was affirmed and the need for regulating it through a scheme of rules was established.

However, the first experiences of PPP achieved mixed results and the involvement of private subjects was sometimes linked to opportunistic behaviors and decreasing level of public-service delivery (Bovaird, 2004). By the mid-1990s the public governance paradigm was emerging and provided a very different way of interpreting the relations among actors in the public and private domain, including PPPs. As a consequence, PPP were inserted in the debate regarding the overcoming of the NPM to the so-called post-NPM agenda (Polidano and Hulme, 2001). In this debate, one of the main criticisms placed on was to focus mainly on the internal performance of public administration, and to not sufficiently consider to the needs of external stakeholders, users and community. In this framework, the concept of governance in public management became the main component of the rethinking process of public administration.

In this context, the research on governance had a highly influential impact (Rhodes, 1997), focusing on the importance of multiple goals held by multiple stakeholders, within a negotiated framework of rules developed under principles of transparency, stakeholder involvement, sustainability. The concept of public governance emerges and it is often associated with the word “new”, leading to the so-called New Public Governance (Osborne, 2010). Moreover, in the relationship between public and private subjects, the concept of co-governance (Kooiman, 2003) assumes a central relevance. In the context of managerial studies, co-governance is often associated with co-production; more specifically, co-production was deeply investigated both in the private sector (Normann and Ramirez, 1994), and in the public sector (Ostrom, 1996).

With reference to the public sector, recent trends in the literature implies the consideration of co-production in the field of Public-Private Partnership, with the specific consideration of the role of citizens and local community (Bovaird and Löffler, 2012; Brandsen and Pestoff, 2006). Stakeholder participation is considered a major objective and social reporting tools (including social accounting) are used as means to obtain it. Under this perspective, the concept of co-production of value merges with the concept of public value by means of participatory approaches and engagement of the local community (Fung, 2006).

Other recent development highlighted how PPPs are increasingly been considered as a new phenomenon (Greve and Hodge, 2007) and how the paradigm of PPPs studies is currently changing due by the “turbulent times” of the crisis (Greve and Hodge, 2013), raising questions related to the scope and focus of PPP projects: increasing interest has been shown to forms of collaboration that imply broader governance and organizational forms, involving multiple partners and introducing broader evaluation criteria (based not only on financial and economic outputs but also on other indicators, such as user involvement and innovative practices) and bringing also attention to partnership with the not-for-profit sector. Emerging partnerships with the not-for-profit sector have been linked to concepts such as those of collaborative governance, in which collaboration becomes the dominant organizational culture and policymaking is based on consensus and agreement (O’Flynn and Wanna, 2008), and those related to public value theories (Benington and Moore, 2011).

2.3 EMERGING PERSPECTIVES IN PPPs STUDIES

The variety of perspectives in analysing public-private partnerships and multi-stakeholder partnerships underlines their inherent complexity and their adaptability to a variety of subjects and disciplines. The traditional economic literature on PPP and MSP privileges a restricted definition and links them with the New Public Management

movement or with the Public Governance paradigm. It focuses on risk sharing as a vital component of an agreement of some sort of durability between public and private actors in which they jointly develop a product and services and share risks, costs and resources.

However, recent studies advocate for a more comprehensive approach, based on a loosen definition of PPPs, that includes arrangement less formally binding and that interpret the role of government as leader of a complex net of forces. According to these emerging approaches, PPPs are not interpreted under *micro* perspectives but are rather inserted in their operating environment, market context and governmental framework (Yang, Hou and Wang, 2013).

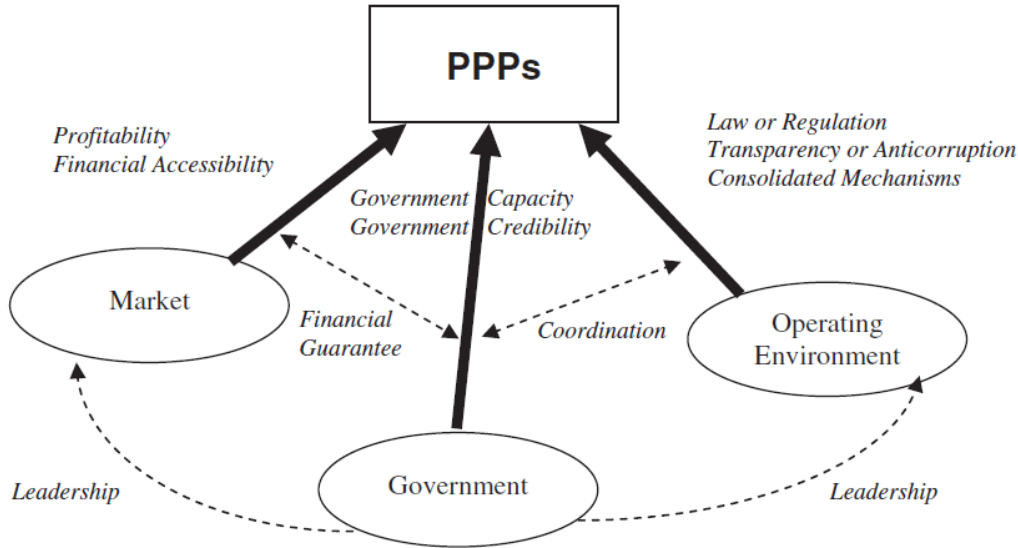


Figure 1- Yang, Hou and Wang: theoretical Framework of PPP Development

In the approach promoted by Yang, Hou and Wang, (2013), an increasing attention is paid to the role of government, arguing that effectively implementing PPPs should revise the role of government recognising the stronger position held by the private

partners (in technology, capital, and information) requires more skilled government participation (Jamali, 2004; Scharle 2002), particularly with regard to negotiation, operation, and supervision. The government should possess the appropriate aptitude, expertise, skills and knowledgewhen implementing PPPs (Kort and Klijn, 2011) as well as credibility and reliability to attract private investment and legitimate PPP projects with citizens and communities operating in the surrounding environment. Indeed, the PPP *operating environment* and the *government* are connected by “coordination”: the development of the rule of law system for PPP project requires time, accountability and transparency as a gradual process at different levels. “Linking all three pods is the “leadership” role of government, which represents and accounts for the political will of government and its leaders in promoting market-oriented economic reforms and practices. These connections reinforce the tripod structure to render it stronger and more operable in the transition context of reformist countries. Opening an identified market to PPPs demands a favorable environment to ensure that private partners can operate” (Kivleniece and Quelin, 2012).

These new approaches thus open to interpretations of PPPs that are based on the concept of co-production and co-design and investigating the role of local communities (Bovaird and Löffler, 2012; Brandsen and Pestoff, 2006) in the co-production of value. As a result, PPPs and MSPs are increasingly interpreted as a means to promote public value by means of participatory approaches (Fung, 2006).

Moreover, recent studies highlight how this paradigmatic change of PPPs studies is currently speeding up due by the “turbulent times” of the crisis (Greve and Hodge, 2013), raising questions related to the scope and focus of PPP projects: increasing interest has been shown to forms of collaboration that imply broader governance and organizational forms, involving multiple partners and introducing broader evaluation criteria (based not only on financial and economic outputs but also on other indicators, such as user involvement and innovative practices) and bringing also attention to partnership with the not-for-profit sector.

	<i>Government-private company</i>	<i>Government – non - profit</i>	<i>Government – private company – non-profit</i>
Project example/activity	Hospital project, school project	Public-sector employees “opt out” to form own non-profit project	Gate21 In DK, a partnership on climate change issues
Organizational form	PFI organizational form	Red Cross running refugee camps on behalf of the government	Networked partnership across multiple organizations

Table 1- Examples of forms of partnership (public-private) and dimensions of the PPP phenomenon (Source: extract from Greve and Hodge, 2013)

In the framework of this development, narrow definitions of PPPs are rethought in order to promote wider definitions, comprising multi-stakeholder partnerships promoting loosen approaches based on flexibility of the governance structures and on less binding agreements for partnership implementation (Greve and Hodge, 2013). In terms of theoretical analysis moreover, new perspective have been intermixing success evaluation criteria for PPP project under multi-disciplinary approaches. More specifically, while traditional economic assessment on the economic factors of PPPs, based on auditing the Effectiveness, efficiency and economy of the projects are still present, sociologic evaluation of the projects have been introduced, looking at the difference PPPs make at a broader societal level. This implied increasing talks about the “five Es” (economy, efficiency, effectiveness, equity and environmental) as opposed to the “three Es”, including policy and sociological concerns as developments of the traditional NPM evaluation criteria.

Furthermore, emerging partnerships with the not-for-profit sector have increasingly been linked to concepts such as those of collaborative governance, in which collaboration becomes the dominant organizational culture and policymaking is based on consensus and agreement (O’Flynn and Wanna, 2008), and, once again, on public value theories (Benington and Moore, 2011).

This shift in research trends is also explicit in the growing attention paid to the drivers of PPP cooperation and to the motives underlining their creations. Many studies have discussed the motives that lead to the implementation of the various PPPs models (Chan et al. 2010; Field and Peck 2004; Jamali 2004; Roseneau 1999; Van Slyke 2003; Zhang 2005) and, in line with the previously mentioned approaches of Yang, Hou and Wang (2013) have stimulated understandings of the wider environment in which PPPs operate. One major trend of research explores key factors that motivate the implementation of PPPs. Alter and Hage (1993) argue that PPPs are implemented when subjects in the two sectors both perceive the need for dealing with complex issues collaboratively and are aware of the necessity to collaborate. Miller (2000) interprets the spread of PPPs models to the desire for performance improvement, cost reduction, environmental protection, while Samii, Van Wassenhove, and Bhattacharya (2002) identify other key drivers such as resource dependency, commitment symmetry, common goal symmetry, intensive communication, alignment of cooperation learning capability, and converging working cultures. Increasing interest has been paid to investigating potential sponsors, facilitators and key motivations in PPP implementation: the governance and institutional frameworks have been identified as the tools to reconcile potentially contrasting interest from many sectors: participation has been identified as key factor for reconciling public value and long-term sustainability (Koppenjan and Enserink 2009).

In general, though there is overall agreement that public-private partnerships and multi-stakeholder partnerships are more formalized agreements compared to other cooperation structures (e.g. networks) but that network principles should now be integrated as founding criteria for PPP implementation. In particular in the case of complex PPPs and MSPs though the governance and management mechanisms should still be based on hierarchical arrangements, values such as trust, reciprocity, mutual gains and common goals should be strongly taken into consideration (Mandell, 1999; O'Toole, 1997). The variety of researches related to this approach to public-private and multi-stakeholder partnerships is consistent and its categorization challenging (Rethemeyer, 2005). A first group of studies have investigated the

necessity for complex arrangements to develop multi-stakeholder models of partnerships at a *meso* level (Lowndes and Skelcher, 1998; Jeffares and Skelcher, 2011; Flinders and Skelcher, 2012), stressing how trust and the fostering of a supporting environment (thus related to the concepts of Public Value) are key factors not only in the pre-partnership collaboration but also as underlying criteria in all partnership' implementation phases.

As second group of research focused on the drivers and motivations for the establishment of PPP and MSP arrangement, exploring the role of sponsors, facilitators and leaders (Linden, 2002; Huxham and Vangen, 2005; Morse, Buss and Kinghorn, 2007; Crosby and Bryson, 2006 and 2010; Feldman and Khademian, 2007). Sponsors are identified as those political leaders, key figures of already operating networks, or generally influential figures that have the power to motivate groups of individuals, companies, etc. in a local territory to involve in special types of initiatives. The characteristics of these facilitators are obviously strictly associated with the territory in which they operate and to the model of partnership or initiatives to be implemented. Feldman et al. (2006) highlighted the relevance of "boundary groups", i.e. communities of people who can promote boundary experiences (i.e. shared or joint activities) that can enhance the success of the partnership in the long run. Crosby and Bryson analyzed the key role of sponsors and leaders of already operating networks in building "linking mechanisms" and encouraging trust-building activities to nurture public-private partnerships. They also purport that public-private partnership and multi-stakeholder partnerships are potentially more frequent in turbulent environments when issues are more complex and touch institutions operating in diverse sectors and socio-economic domains. Key players are crucial not merely in promoting network establishment but also in ensuring that the design of the PPP is based on participatory processes involving various stakeholders (Page, 2004). Governance bodies should rely on these facilitators to ensure an equal distribution of power between the different subjects (Crosby and Bryson, 2005).

These developments of the general debate on public-private partnerships resonate with the ongoing discussions in the cultural sector, in particular those on the need to move towards more integrated approaches and models of cooperation that consider culture as part of the broader socio-economic environment.

2.4 TURBULENT TIMES AND THE INCREASED INTEREST IN PUBLIC VALUE CREATION

As highlighted in the previous paragraphs, the turbulent times of the crisis seem to have impacted on the perspectives of studies of PPPs bringing to an increased attention to the creation of public value through PPP projects for communities and the broader variety of local stakeholders.

Interest is increasingly being attracted to questions related to what determines the value of public-private partnerships and to their implications in terms of social and economic value. (Hart, 2003; Henisz, 2006; Mahoney, McGahan, & Pitelis, 2009)

In this framework, and since PPP arrangements are increasingly presenting more flexible schemes with the involvement of multiple stakeholders, it is increasingly important to consider the role the different actors – state or government public authorities, private, for profit organizations as well as not-for-profit partners – in the value creation process (Kivleniece and Quelin, 2012).

According to this approaches, value could be created through the intermixing of resource complementarities between the different partners (Rangan, Samii, & Van Wassenhove, 2006), and also by defining new models of public-private interaction that overcome traditional PPP schemes based mainly on risk allocation and financial aims (Osborne & Gaebler, 1992). In this new PPP systems the traditional view of governance of PPP projects is challenged. Public authorities' role changes: from being the main subject in charge of supervising the preservation of public value and

controlling the private subject, to a role as co-creator of public value with the help of the private partners; in a nutshell, public authorities are no longer the main subjects interested in public value creation, but are one of the subjects that benefit from the value creation of the PPP project process (Kivleniece and Quelin, 2012). According to this approaches, public-private partnerships should be reinterpreted as hybrid structures of cooperation between public and private subjects that fall within an intermediate space between mere public procurement and privatization, underlining the high level of interdependencies between public and private interest (Mahoney et al. 2009). Thus, this new concept of PPPs questions the traditional tension between public and private subjects (Margolis & Walsh, 2003), and aims to overcome traditional contrasts between public value and private objectives. Under the emerging perspectives governance systems and management models should attempt to represent collaborative approaches, resolving fears of private actor opportunistic attitudes that characterized previous managerial and governance arrangements in PPPs (Bennett & Iossa, 2006b; Chong, Huet, Saussier, & Steiner, 2006; Hart, 2003), and express the social objectives inherent in the public-private establishment. From this perspective, the heterogeneity of interests (Mahoney et al., 2009) and “contradictory agendas” that usually characterize PPPs (Utting & Zammit, 2009) should be rethought to overcome the heterogeneity of partnership objectives and promote broadly social value creation as linked to economic spillover. In sum, the focus on value creation and capture in PPP requests to merge the traditional, largely normative view on public value creation and adopt more innovative perspectives on the private partners. Private actor’s role is enhanced on the basis of its engagement in the public value creation process and its perspectives are considered with more attention in the development of the objectives of the PPP projects (Kivleniece and Quelin, 2012).

Partnering schemes are thus implemented in the framework of their value-creation potential and governance systems for PPP are considered as intrinsically linked to positive externalities, also but not primarily in economic terms, and as enablers of synergies that combine unique private sector resources to deliver value spillovers as

social benefits (Klein et al., 2010). In terms of managerial and technical innovation, PPP arrangement could be drivers for collaborations in the long run.

“Common-pool resources can be deployed in a novel or more sustainable manner. Private sector resources and capabilities are likely to be value generating by both complementing public resources and enabling novel resource configurations. Combining private sector managerial abilities and proprietary knowhow with public sector assets should enable exploitative and explorative learning, leading to knowledge accumulation, innovation, and more efficient forms of public good provision (Kivleniece and Quelin, 2012).

However, the value recognition process could prove difficult and the identification of common values and objectives could lead to complex process of design of the PPP mission and consequent governance structure.

Consistently with the trends of developments of PPP research, the main theoretical models for effective value creation in PPP are based on ecosystem approaches that consider a PPP project not merely as a partnership between the public and the private subject but as a tripartite balancing of interests and goals among three main categories of subjects. According to Kivleniece and Quelin (2012), value identification should be pursued through the consideration of the values pursued by private actors, public bodies, but also external constituents, in other words the other stakeholders operating in the territory and in particular the local communities and citizens who benefit of the public-private partnership service delivery (see figure....). The value identification involve the consideration of non-financial set of goals related to cultural, social and societal benefits for the collaboration.

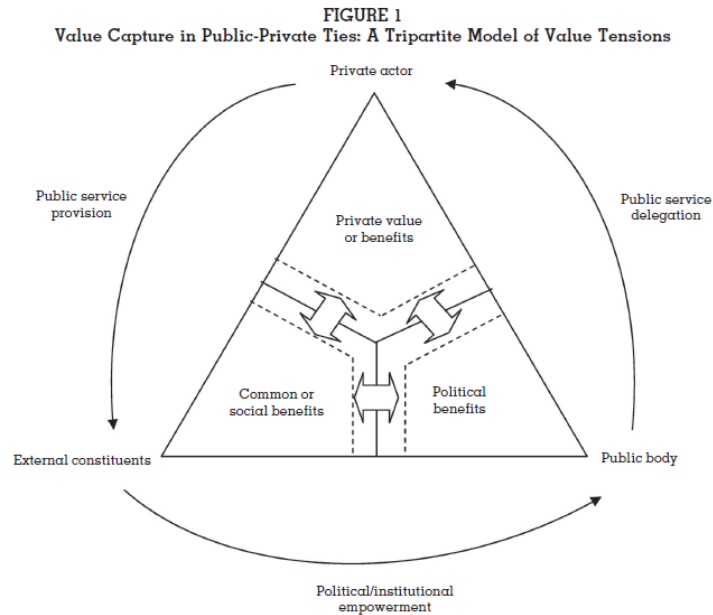


Figure 2: Value Capture in PPPs: a Tripartite Model of Value Tension (source: Kivleniece and Quelin 2012).

Governance has been defined as a value-enabling mechanism permitting value creation and shaping its distribution. The managerial literature on PPP has stress the goal of governance structures in PPP projects mainly as a way to ensure dialogue with the private partners but preserving the control of the public authorities, as well as their power in decision-making processes for the PPP implementation (Spiller, 2010). The new approaches emerging with the crisis instead stress integrative approaches to the design of governance structures, promoting participatory approaches as opposed to vertically integrated models of distribution of power. This integrative models of PPPs allow synergic combination of forces and are reflected also at the managerial level.

As a result of the above mentioned features, the current approaches to PPP promote their design and implementation in relations with the territory and with close ties with the local communities. Governance bodies should be therefore aligned with this partnership rationales, and hybrid PPP arrangements should increasingly reflect the ties and relations among the different stakeholders. As a result, they must be flexible

and based on values such as trust, networking and knowledge sharing among the different subjects involved.

In sum, the public-value creation approach to PPPs lead to conclusions that are similar to other current trends of interpretations of PPPs, that promote a rethinking of current governance and management models of public-private cooperation towards flexibility of governance and management schemes, multi-stakeholder involvement and shared goals between the different partners. This approach implies broader reflections on the value created for public, private and civic communities and social interests with specific reference to the territory in which the PPPs are implemented. This could constitute the basis on which PPPs are implemented: project-designs based on the characteristics and identities of the territories are therefore necessary and no “one-size-fits-all” solutions could be identified. Moreover, PPP projects could be interpreted in multi-level ecosystem frameworks, with meta-governance mechanisms such as alliances with supra-institutional players and other projects in the territory (Kivleniece and Quelin, 2012).

This approaches become particularly relevant for sectors that are characterized by a strong emphasis on intangibles, on the creation of value for citizens and communities and on the characteristics of the territory such as the cultural sector. The importance of these recent developments of research approaches to PPPs for the cultural field will be addressed in the following section.

2.5 PPPS AND THE CULTURAL SECTOR: OVERVIEW OF THE DEVELOPMENT OF PUBLIC-PRIVATE-PARTNERSHIPS FOR CULTURE

The cultural sector is normally characterized by an important presence of the public

sector. This is the consequence of the presence of merit goods (Musgrave, 1959) and some natural conditions like cost diseases or income gaps (Baumol and Bowen, 1966). Consequently, over the last three decades the cultural sector has been involved in the process of rethinking and transformations of public administration and the paradigms of development of PPPs in the cultural sector reflect the analysis of PPPs in the more general public sector.

Overall, public-private partnership arrangement in the cultural sector has followed two main trends of research: The first one is linked to a narrow interpretation and definition of PP, that resonate with the normative approaches more related to the first studies on PPPs and that promotes more traditional analysis at the *micro* level of PPP projects. The second trend instead takes a broader view on PPP: not only there types of researches adopt a wider definition of PPPs, that includes a wider variety of PPP arrangement also informal and flexible bringing resemblances to more formalized network models in line with the most recent trends of research on PPPs in general. The also put more emphasis on the interpretation of cultural PPP in terms of creation of collaborative environment: MSPs and ecosystems analyzed in these studies implies a more flexible approach to PPP in terms of categorization and implementation models, and they consider it as part of the broader rethinking process of the governance systems and management models of the cultural sector.

As for the first trend of research, PPPs have been investigated mainly at a *micro* level and mainly in relation to PPP agreements for heritage protection and delivery of cultural services. With reference to this approaches, according to the analysis of Dubini, Leoni and Forti (2012) on the traditional PPP schemes in the field of cultural heritage, PPP agreements in this sector have usually regarded run-down, publicly owned historical buildings that are leased out to private real estate companies who, attracted by the possibility to gain a profit, renovate the building by creating private houses or offices (Macdonald and Cheong, 2014). On a bigger scale, PPPs have been used to regenerate historical city centers with the help of the financing of private subjects (Fox et al. 2005; Guarneros-Meza, 2008; Licciardi and Amirtahmasebi, 2012;

Radoslav et al. 2013; Vicente et al. 2015) or to reevaluate industrial heritage sites – such as former factories, warehouses or industrial waterfronts – transforming them into restaurants, private residences, theatres, concert halls or art galleries (Andres and Grésillon, 2011; De Sousa, 2003; Gunay and Dokmeci, 2012; O’Callaghan and Linehan, 2007; Tiesdell, 1995). Dubini, Leoni and Forti (2012) underline that these PPP projects usually interpret culture according to an adaptive approach and use, that save the defining characteristic but changes the functions and their internal design of cultural heritage sites to obtain spaces for commercial activities or private residences. In this framework, PPPs for pure protection or preservation of cultural heritage have been quite infrequent, potentially since the return on investment in protection is typically negative: Managing heritage is very costly because of the constant investments required in restoration and preservation, while the quantification of benefits is difficult and often meaningless. Some researchers underlined that other types of benefits should be sought for when designing PPPs for heritage preservation: indeed preservation generates positive externalities (site reputation, area real estate appreciation, sense of belonging) that typically benefit the collectivity and not the institution (both public or private) bearing the costs of preservation. The non - economic value of heritage for present and future generations (Grampp 1996; Throsby 2001), and its intrinsic characteristics of a public good, support the idea that heritage protection should be publicly funded (Bayley 1989; Cummings and Schuster 1989). Nevertheless, a trend of literature suggests that heritage enhancement leads to positive returns associated with economic development, tourism attraction, and service provisions (Boorsma et al. 1998; De Carlo and Dubini 2010; Schuster 1997), and that could be therefore attractive also for private enterprises and investors.

Different countries adopt different policies regarding the management of their cultural heritage; overall, in terms of PPPs the two main alternatives are centralized model (Zan et al. 2007) that comprehends outsourcing activities to private companies but with the supervision and a strict control of local government, with increasing autonomy attributed to public cultural institutions (Hutter 1998), and the project-based public–private partnerships models to jointly provide continuity of operation to

financially weak institutions (Schuster 1998) as well as the better implementation of managerial practices and a better flow of skills and resources. “As in a variety of sectors, there is a growing pressure in countries with a heavily centralized model to reduce the scope of government intervention and to allow private local partners to be actively involved in heritage management.” (Zan and Ferri, 2015). With reference to the latter point, public–private partnerships (e.g., contracted out services and hybrid organizations) are increasingly diffused in several industries (Skelcher 2005) and are being tested in heritage management and cultural enhancement.

Strong focus of the literature on cultural management, promotes the idea that the best model to ensure both heritage preservation, efficient use of resources, and value maximization for local communities and visitors would be the allocation of preservation and protection-related responsibilities to public subjects and the outsourcing of enhancement-related activities to private or not-for-profit organizations (Haskell 1981; Leon and Trimarchi 2003; Leone and Tarasco 2006; Petraroia 2006; Sciuolo 2006). While the supporters of a centralized perspective for the cultural sector underline the risks of “hybridization” of culture and business, pointing to how the excessive emphasis on economic logics might damage the delicate equilibrium of sustainable preservation, determining a loss of identity and meaning (Boorsma et al. 1998; Draskowitsch 2003; Schuster 1998; Settis 2002), other researchers promote more positive opinions of PPPs. they underline tourist attraction potential, the not-purely commercial goals of private partners to invest in culture (Sicca and Zan 2005), and the reputational benefits associated with involvement in heritage management (Farrelly and Quester 2003; Wallach 2000) that could prove as an interest incentive for private partners. They moreover stress the benefits in terms of introduction of managerial practice in the public sector that could potentially be brought about by partnerships with private subjects.

Increasingly, the studies on PPP for cultural heritage are shifting focus from management procedures for implementing PPP programs successfully towards the macro context for implementation of PPPs (Rondinelli and Iacono, 1996; Cuervo and

Villalonga 2000). Though contracting out of enhancement-related activities is the most spread model of PPP in heritage management (Stewart and Walsh 1994), increasing focus is being put on the fact that in order to implement successful partnership should be inserted in their broader context. Governments should therefore work on their ability to negotiate, coordinate, different stakeholders operating in the territory. This requirement therefore should be reflected in more flexible forms of public–private partnerships, on the model of hybrid multi-stakeholder organizations based on values such as trust and mutuality, that reduce the boundaries between public and private interests (Ashkenas et al. 2002). Traditionally, the relation between public–private partnerships in the cultural field tends to be sometimes conflictual (Jamieson 1995; Kerr 1994), although evidence shows potential areas of cooperation (Jansen-Verbeke and Lievois 1999; Jansen-Verbeke and Van Rekom 1996; McKercher et al. 2005). Fears of opportunistic behaviors by private partners as well as deligitimization of the public entities have been raised as significant risks in the management of PPPs in the cultural sector

As for the second groups of researches on PPPs in the cultural sector, as stated above they provide a wider view on the impact of PPPs in the rethinking process of the governance and management models of the cultural sector.

Notwithstanding the risk, they underline that as a matter of fact public-private partnerships in the cultural sector have become an increasing model of implementation of public cultural services and it is currently at the center of the debate about the rethinking process of the governance and management models in the cultural sector. Public–private partnerships are considered effective instruments of cultural policy in the framework of projects of urban regeneration and territorial rebranding through culture that has characterized recent approach to culture. This is partially due to the fact that, as a variety of other fields, in recent years also the cultural sector has been under rising pressure to encourage private partners to actively participate in the management of cultural institutions in order to ease the financial burden of public authorities. In the framework of these perspectives, cultural

sector PPP have been studied at the European and global level in terms of their potential in contributing to the broader local ecosystems. These approaches moreover support the idea that MSPs and broad PPPs could be based on the reconciliation of conflicting attitudes towards public-private partnerships among cultural professionals (Borin and Donato, 2015). On the one side, most of the existing literature on cultural management and governance models interprets public-private partnerships as an innovative way to ensure preservation, efficient use of resources, and inserts them in a broader framework of hybrid cooperation models among public cultural authorities, not-for-profit and for-profit organizations and local communities (Skelcher 2005; Thompson, 2007). On the other, the emerging approaches stress the increasing need for trust and mutuality in PPP and MSP in the cultural sector and the many potential areas of collaborations between the different public and private subjects composing the cultural milieu of a territory (McKercher et al. 2005; Dubini et al., 2012).

The most interesting development of PPP studies on the cultural sector is therefore related to the changes in the paradigm of interpretation of culture toward ecosystem frameworks, that sees the cultural field as an ecology system inserted in broader perspectives that interact with other a variety of local forces (Holden, 2004 and 2015).

This approach is consistent with the paradigm development of PPPs towards looser approaches based on MSP, in which the cooperation between public and private subjects is formalized in governance structures but it is based on flexible approaches that reflect the flexibility required by the turbulent times of the crisis. These approaches resonate and create prospective trans-sectoral research perspectives: these trends of research are indeed linked with research in other subjects, such as the tourism research, in particular with destination governance perspectives (Pechlaner, 2010), sociological approaches and urban/regional innovation and development. In particular according to these approaches, PPP projects and their governance mechanisms are interpreted as part of territorial development strategies that involve multiple

stakeholders , including public authorities, private subjects (among which CCIs) and as well as citizens and communities (Cars et al., 2002), integrating the various actors according to a multi-stakeholder partnership model. Significantly, current studies are putting increasing emphasis on understanding if such MSP governance mechanisms have evolved towards more collaborative models or top-down approaches (Markusen, 2010) shedding light on how the cultural and creative 'ecology' approaches are being implemented in practice.

In sum, the two main approaches in theoretical analysis of PPPs in the cultural sector are proposing the first a "*micro*" approach that focuses on single PPP projects and on their management and governance schemes and that analyze mainly narrowly-defined PPPs especially related to cultural heritage management, the second a more comprehensive approach that propose a wider and more flexible definition of what PPPs are, that opens to MSP perspective and to collaborations implemented at a *meso* territorial level and inserted in integrated ecosystem perspective on the development of the territory. This second trend of research resonates not only with the paradigms of development of the studies on PPPs in general, but also seem consistent with the most recent debates on the need to rethinking the current governance and management models of the cultural sector and on the role PPP and MSP could be in this rethinking process.

The analysis of PPP models according to this second trend of research seems particularly interesting for contributing to the debate on the reforms of the cultural sector. Therefore the empirical research developed in the former chapters of this thesis will investigate governance and management models of specific PPP projects as related to the broader cultural ecosystem of the territory: PPPs are analyzed with reference to the role of these actors in the broader cultural governance structure at the *meso* level and on the influence they might exert in the shaping process of public policies and strategies. Such modes and practices of mobilization and organization of collective action can include a limited number of stakeholders or be more open to

wider participation, in terms of participatory and collaborative public management and governance approaches.

CHAPTER III

THE DEVELOPMENT OF PPPs IN EUROPE

This chapter aims at providing an analysis of the development to PPPs in Europe , providing a longitudinal analysis of the changing approaches to PPPs but also focusing on the changes implemented in terms of PPPs perspectives over the last years, as a result of the impact of the economic and financial crisis on the PPP European market.

The chapter is divided into two main sections.

The first section provides an overview on the conceptual and theoretical development of the approach to PPP. The section explores the main documents issues at the EU level concerning PPPs, and provides a longitudinal perspective on the development of the European approach to PPPs. The analysis highlights how the initial interest of European authorities in PPPs was mainly of a regulatory level: attention was paid mainly to providing a definition of the main PPP structure in terms of governance and management schemes, risk allocation, financial arrangements and procurement procedures. Guidelines and policy documents were issued to provide guidance mainly to public authorities interested in developing PPP projects and the focus was mainly on infrastructure and facilities PPP schemes. This initial phase was followed by a second phase, in which the phenomenon was considered in the framework of the broader economic scenario in Europe and a need for central governance was expressed by the creation of a central European PPP Expertise Centre as a joint initiative of the European Investment Bank and the European authorities. In recent years a new phase emerged: due to the impact of the financial crisis, there was an increasing interest in implementing a broader approach to assessment and measurement of PPP projects, that led to the overcoming of the VfM framework

implemented in the previous phases and tried to capture the wider societal impact of PPPs and the public value creation of PPP projects.

This phase highlights an increasing interest in understanding the drivers for PPP design and implementation in terms of stakeholder's involvement and impact on the socio-economic context in which each PPP project is developed and confirms the current trends that interprets PPP in terms of the implementation of ecosystem approach. This perspective is in line with the trends of analysis of value creation in PPP projects that have emerged in the theoretical analysis. Moreover, this last phase is particularly relevant for the empirical research that the author has carried out in the selected research sample of four European countries (France, Germany, UK and Italy) that aims at interpreting the governance systems and management models of relevant PPP projects at the *micro* and *meso* level with reference to the implementation of ecosystem perspectives.

The last section gives an overview of the PPP market development in Europe from the 1990s till recent years. The analysis aims at providing an overview of the data on the rise of the PPP phenomenon, breaking down available figures concerning the development by country, sector, PPP number and value, as well as for the dimension of PPP projects. This analysis led to some consideration on the evolution of PPPs, underlining how the PPP projects in Europe have undergone a process of rethinking that has led to diversification in terms of countries (i.e. PPP were initially a model mainly implemented in the Anglo-Saxon context, while more recently an increasing number of countries is implementing PPPs), in terms of sectors (i.e. from hard infrastructure till service delivery, among which culture and education) and in terms of scale of project (i.e. from big scale projects that implied a large investment both by private and public partners that were mainly implemented for the construction of large facilities and infrastructures, to smaller projects, that are more linked with the local framework rather than with the national level).

3.1 PPPS IN EUROPE: CONCEPTUAL PERSPECTIVES AT THE EU LEVEL

After having analyzed the development of the PPP market in Europe, a conceptual analysis of the changing perspectives on governance and management models of PPPs by the European authorities will be provided in the following paragraphs. This analysis aims at understanding how the changing approaches by the EU on PPP resonate with the changes undergoing in literature on PPP, that evolve from a *micro* perspective on a *meso* perspective. Second the analysis aims at highlighting the fact that due to the recent crisis, the interest by the EU in PPP has shifted from an approach mainly based on economic and financial outputs to an approach that is taking into consideration the wider impact of PPP at the societal level, again in line with the broader trends of research identified in the previous paragraph.

This chapter aims at providing preliminary information for the analysis that has been carried out in the empirical phase and that will be illustrated in the following chapters. The overview on the evolving EU approaches of PPP indeed, has led to the consideration that increasing attention should be paid to the ecosystem dimension of PPPs, to their wider societal impact and to the benefits for the territory and the communities. This approach is at the basis of the design of the empirical research and on the presentation of the related research results.

In terms of development of the EU approaches to governance and management of PPPs, two main phases could be identified.

The first is related to the first period of implementation of PPPs in Europe and focuses on the need to provide operational guidelines for the public sector for PPP procurement, design of governance structures, implementation of management models of PPP and performance measurement methods for evaluation of the success of PPP projects. This phase provided also classification of PPP models, and interesting insight on the most common risk allocation schemes between the public and the private partners.

The second phase instead is based on a changing perspective on PPP at a European level and is characterized by the interpretation of PPPs as a fundamental tool for public service and infrastructure delivery for local development in the territory and in terms of wider societal impact . This phase, started with the creation of a central governance body fostering debate among the national PPP units called EPEC – European PPP Expertise Centre, is characterized by the perception of the crisis as the trigger for the rethinking of the governance and management models for PPPs and for the evaluation of PPP in terms of their wider societal impact and the creation of innovation and value for local communities. This perspective again promotes approaches pointing to ecosystem perspectives for PPP.

3.2 FIRST EU APPROACHES TO PPP: CLASSIFYING AND DEFINING THE PPP PHENOMENON

The increasing interest in the development of PPPs and in the regulatory framework for PPP implementation structures characterizing the first phase of EU approaches to PPPs are expressed in various EU documents, ranging from guidelines to policy documents, reports and papers issued with reference to specific funding programs. In this period, two publications have worked as pinpoints and indicators of the path followed by the EU in its first approaches to PPPs.

More specifically, the EU in the early 2000s has issued two official papers that could be considered landmarks in the determination of EU approach to PPPs:

- Guidelines for Successful Public – Private Partnerships (EC, 2003)
- Green Paper on public-private partnerships and Community law on public contracts and concessions [COM(2004) 327 final].

Though they are rather far in time, the first two documents seem particularly relevant for understanding EU perspective on PPPs and they will be analyzed in details in the following paragraphs.

The *Guidelines for Successful Public-Private Partnerships*, could be considered one of the first documents issued by the European Union on the subject of PPPs, in collaboration with the European Investment bank, that had so far increasingly involved in providing support, advice and guidance to both public and private partners in designing and implementing PPP arrangements. Notwithstanding the title, it *just partially* provides guidance to project design, appraisal and implementation and rather focuses on a number of critical issues influencing the successful integration of public grants, private funds, IFI loans (such as the European Investment Bank – EIB or EBRD - European Bank for Reconstruction and Development) and European Commission financing.

The focus of the document is mainly in interpreting the meaning and main factors that may lead to a PPP arrangement and in giving advice and direction to public bodies interested in developing a PPP project. the first part addresses

The document stresses the significant role played by public bodies in management and regulation of PPPs during their design, construction and operation. The focus of the *Guidelines* is on four topics:

1. ensuring open market access and fair competition;
2. protecting the public interest and maximizing added value
3. defining the optimal level of grant financing both to realize a viable and sustainable project but also to avoid any opportunity for windfall profits from grants
4. assessing the most effective type of PPP for a given project.

(Source: EC, 2003)

The document is divided in five sections, each addressing a particular aspect of PPP project. The first section, addresses reasons for starting a PPP mainly under the

perspective of the public partner and in the preservation of public value for communities and users of public services.

In the document PPPs are interpreted in the framework of a more general trend in privatizing utilities and were often implemented as an answer to the search for means for economic development in European countries (more specifically, candidate countries often in Central Europe). With reference to the main drivers, the *Guidelines* identify three main reasons that might lead to the implementation of PPPs: the need for investment in infrastructure, that sees public authorities having difficulties in meeting the full costs for the building of utilities (such as power, water and telecommunications) and transport systems, thus calling for private sector participation. This need is as well felt in social infrastructure such as hospitals and healthcare, education facilities, prison and housing. Greater efficiency in the use of resources - the experience of privatization has shown that many activities, even those traditionally undertaken by the public sector, can be undertaken more cost effectively with the application of private sector management skills and tools. In line with this interpretation, PPP are considered as related to the NPM paradigm. PPPs are furthermore considered as means for generating commercial value from public sector resources: significant parts of public resources are invested in the development of assets such as technology and innovative information systems that could be later used for a varied range of applications within the public sector. Private sector know-how is need to develop and implement these assets in a wider range of applications that can result in the realization of incremental values for the public sector.

However, the cooperation with the private sector in PPP project was increasingly considered as an opportunity to add further advantages, both in the provision of services and in the infrastructure field.

Among these advantages, the document stresses the following benefits:

- ***Acceleration of infrastructure provision.*** With PPPs, infrastructure projects could proceed also in case the public investment may be constrained often

allowing public authorities to translate upfront capital expenditure into a flow of ongoing service payments.

- ***Faster implementation***, more specifically in those PPPs where the design and building responsibility are allocated to the private partner and payment are associated with the delivery of a service, thus creating incentives incentivizing for the private subjects to deliver capital projects within shorter building timeframes.
- ***Reduced whole life costs***. Costs minimization could be achieved more easily in PPP project than in traditional public sector budgeting schemes especially in those projects that refer to operational and maintenance service provision
- ***Better risk allocation***. That means that risk is allocated to the partner that is best capable of managing the risk, not mere transferring of risk to private subjects.
- ***Better incentives to perform***. Particularly incentives for private subjects for better managing and implementing the project. Indeed, in many PPPs, final payment to the private partner is ensured only when its service delivery meets specific quality standards.
- ***Improved quality of service***: the document argues that there is a better quality of services in PPPs compared to traditional procurement. Indeed, in PPPs services, skills, and competences and assets are often more effectively integrated, leading to economies of scale, innovation. Performance incentives and penalties are typical of PPPs contracts.
- ***Generation of additional revenues***, especially by the private sector, that can reduce cost of public sector subvention and may be able to generate additional

revenues from third parties. Additional revenue may be generated through the use of spare capacity or the disposal of surplus assets.

- **Enhanced public management.** by transferring responsibility for providing public services government officials will act as regulators and will focus upon service planning and performance monitoring instead of the management of the day to day delivery of public services. In addition, by exposing public services to competition, enable the cost of public services to be benchmarked against market standards to ensure that the very best value for money is being achieved.

Moreover, in the Guidelines different PPPs structures are analyzed (in particular: service contracts, management contracts, leasing, BOT, DBFO concessions) in particular with reference of the capacity of each PPPs type to meet a range of required performance indicators related to the specificities of each project. The guidelines explore PPPs in relation to infrastructure and service needs, in a wide variety of sectors from environmental services to health care provision or education.

The focus of the PPP models analysis is however on risk transfer. In terms of the present thesis this seems particularly relevant since it reflects an approach to PPP that does not reflect a stakeholder involvement perspective towards the private partners, but rather as a mere attempt to ease the burden of the public sector in the delivery of service and in infrastructure development. The *Guidelines* give a first overview of the amount of risk allocated to the private and to the public partner in the different PPP types (see figure above). The analysis focuses mainly on the allocation of responsibilities, comparing traditional public sector procurement contracts (DB – Design Build or DBB – Design-Bid-Build) where the Public Sector is owner, operator and financier and the private sector works as contractor, with types of cooperation that allocate increasing risks to the private partner, that become contractor and operator (in the BOT-Build-operate-transfer models) or even private concessionaire (in the DBFO-Design-Build-Finance-Operate Concession PPP) till reaching models of PPPs

that present ownership of the public service or infrastructure according to BOO-Build-Own-Operate types (Divestiture and Asset Capitalization).

Figure 1
Project Procurement Options

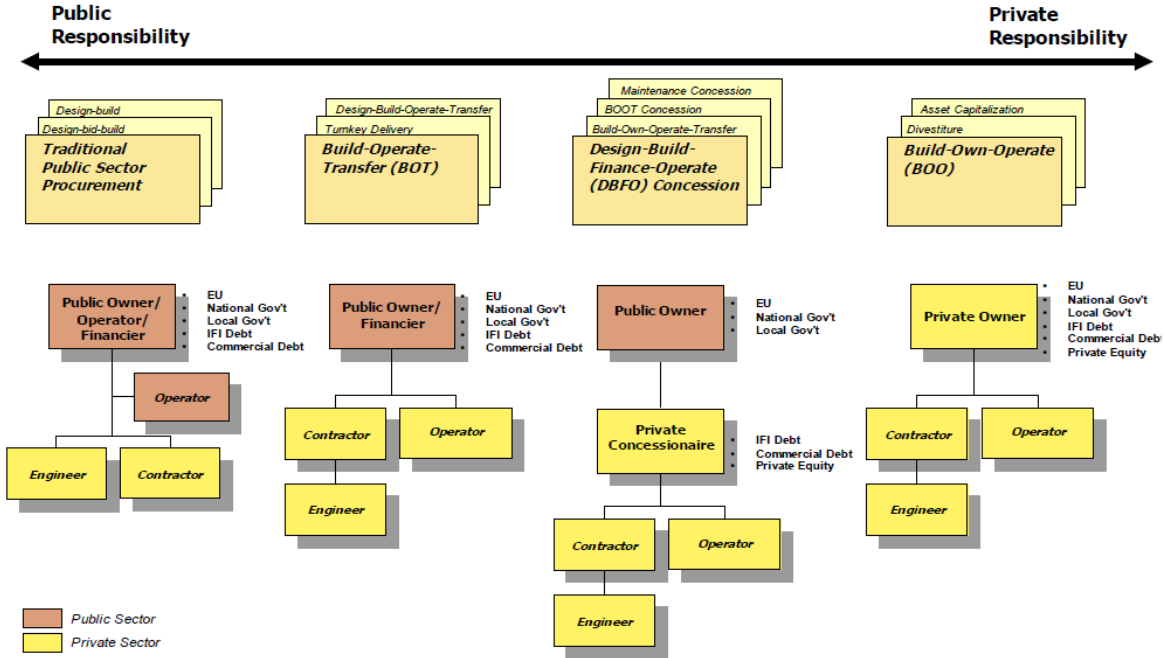


Figure 3- Risk allocation for public and private partner in main PPP models

Significantly, the *Guidelines* insert PPS in a broader perspective of public procurement and divestiture; again, this reflects an initial approach to PPPs based on the new public management perspectives.

In later sections, the *Guidelines* focus on the legal and regulatory structures of each member state, clarifying that though PPPs legislation attempt have been carried out at the European level and project contractual matters have been framed at a European level, much PPP development depends on national, regional and even local legislation. Part III of the document focuses on financial issues, in particular on financial risk transfer schemes in different PPP models, highlighting the importance of assessing value for money generation through both monetary and non-monetary

indicators. This could be interpreted again as an interpretation of PPPs in the broader framework of generation of public value, that was at the center of the debate when PPPs started to be assessed. The need to assess the preservation of public interest and public values is repeatedly mentioned in the document, and holistic perspectives are attempted though not specifically clarified. Part IV analyzes the possible integrations between grant financing by the European Commission and PPP project implementation. The section stresses the role of the Commission in preserving public interest while simultaneously relating to state legislation and open market procedure.

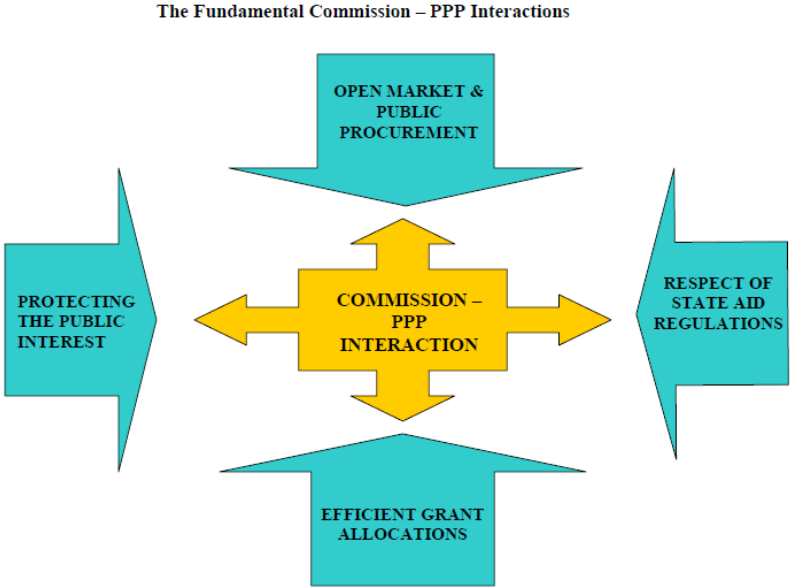


Figure 4: The fundamental commission-PPP interactions (Source: EC, 2004)

The second document mentioned as a milestone for understanding EU approaches to PPP is the *Green Paper on public-private partnerships and Community law on public contracts and concessions* (2004).

The document shows an attempt to provide a broader view on how PPPs in Europe are carried out, overcoming the previous classification related mainly to infrastructure and reflecting a primary focus on risk transfer. The document is based on the reflection that the diverse PPP models implemented in the different European

countries and presenting different degrees of risk allocation and financial investment by the public and private subjects could be grouped in two major categories. The search for a wider perspective is reflected in a distinction carried out in the models of PPPs classifying them in two main types:

- *PPPs of a contractual nature (contractual PPPs)*, in which the cooperation between the public and the private sector is based merely on contractual links
- *PPPs of an institutional nature (institutional PPPs)*, implying the creation of a distinct entity to implement the cooperation between the public and the private sector.

In these categorizations, looser and less formalized types of PPPs are not taken into consideration: the main purpose of the categorization is to make a distinction between the set-ups generally termed PPPs in order to provide information for the public authorities on the type of partnership they are looking for with the private partners. Again, this approach could be related to the NPM paradigm and was already questioned in the years in which the documents were issued.

A change in approaches however was already emerging in Europe, as highlighted by the theoretical debate on PPPs. These changing perspectives will be analyzed in the following sections.

3.3 CHANGING PERSPECTIVES: NEED FOR CENTRAL GOVERNANCE AND FOCUS ON NON-FINANCIAL BENEFITS.

The approach to PPPs emerging in the late 1990s was reflected by new measures at the EU level that aimed at promoting central coordination between the local authorities and overcoming the traditional Value for Money perspective in favor for a more holistic evaluation of the PPP projects.

A relevant measure testifying this trend is the creation of a special coordination unit at the European level, the EPEC - European PPP Expertise Center.

Since the beginning of PPP projects at a European level, the EIB – European Investment Bank has been a leading advisor and collaborator of both EU institutions and Member States, providing consulting services and financing to some European PPP projects. Over the years, the EIB had given assistance mainly on a project-based basis, on the basis of its deal-making experience, the multi-sectoral know-how it had developed over the years and also its geographical location at a privileged platform for both private investors and public authorities at different levels.

The main goal of the EIB intervention was “to provide significant added value to all interested parties by sharing its experience, applying best practice and offering long-term funding on attractive terms” (*Guidelines for implementation of successful PPPs, 2003, pp. 32*). The focus was to ensure Value-for-Money and to purport financing of successful projects while at the same time ensuring the creation and preservation of public value.

With the spread of the economic and financial crisis however, the strict Value-for-Money approach was increasingly questioned and the quest for broader assessment criteria started to be arisen by most public and private subjects at the local and national level. In order to better coordinate the different public authorities in the shift to this new perspective, between 2009 and 2011 the European Investment Bank (EIB), the European Commission, member states and candidate countries of the European Union created a new network, EPEC, that aimed at becoming a platform for dialogue, research and studies, as well as policy and project support for public authorities in Europe. Structured as a membership-based network of local and national public-private partnership units and policy makers, and employing an international team of experts, EPEC was part of the European Investment Bank's advisory services.

Since the beginning, membership was restricted to EU Candidate countries, EU member states and countries associated with the Seventh Framework Programme (FP7). In other words, membership has been solely for the public sector: the focus of EPEC was indeed the public field, and its members are still entirely public authorities. The underlining concept is that PPPs should be brought about by public partners and that the different members should contribute to develop common policies through sharing expertise, good practices and experiences, implement best processes in designing, implementing and financing PPP transactions. The preservation of public-values has been considered as a task totally entrusted to the public authorities.

The role of the Members includes policy responsibility and the promotion of PPP programs at local or national level. At present, EPEC includes 35 Members located in 30 countries, having policy making responsibility for public-private partnerships in their jurisdictions. Though private partners are not eligible for membership, the network maintains strong links with private sector PPP operators. Indeed EPEC aimed also at functioning as privileged partner for dialogue between public authorities and private subjects who were interested in implementing PPP project with public authorities and at increasing accountability and transparency through in dissemination of results.

Austria	Federal Ministry of Finance
Belgium	Vlaams Kenniscentrum PPS (Flemish PPP Unit) and Cellule d'Informations Financières (Wallonian PPP Unit)
Bulgaria	Ministry of Finance
Croatia	Croatian PPP Centre
Cyprus	Planning Bureau of the Republic of Cyprus
Czech Republic	Ministry of Finance
Denmark	Danish Competition and Consumer Authority
Finland	Ministry of Finance
France	Ministry of Economy, Industry and Employment
Germany	Federal Ministry of Transport and Finanzministerium des Landes Nordrhein-Westfalen (regional ministry of finance for North Rhine Westphalia)

Greece	Ministry of Finance
Hungary	Ministry of National Development
Ireland	Ministry of Department
Israel	Ministry of Finance
Italy	L'Unità Tecnica Finanza di Progetto (UTFP) - President of the Council of Ministers of Italy
Latvia	Ministry of Economics
Lithuania	Ministry of Finance
Malta	Malta Investment Management Company Limited (MIMCOL)
Montenegro	Government of Montenegro
Netherlands	Ministry of Finance
Poland	- Ministry of Economy
Portugal	Parpública S.A.
Romania	Ministry of Public Finance, PPP Central Unit
Slovakia	Ministry of Finance of the Slovak Republic
Slovenia	Ministry of Finance
Spain	Dirección General de Presupuestos y Análisis Económico de la Comunidad de Madrid (Directorate General of Budget and Economic Analysis of the Community of Madrid - a regional finance ministry) and Ministry of Public Works and Infrastructure
Turkey	Prime Ministry Undersecretariat of Treasury
United Kingdom	Her Majesty's Treasury Scotland - Scottish Futures Trust Wales - Welsh Assembly Government

Table 2: PPP units in EU countries (Source: EPEC, 2010)

The organizational-capacity strengthening concretizes also and operational guidance offered to the members of the network.

From the perspective of PPP development, the creation and activities of EPEC could be interpreted as an attempt to create a central governance structure, that, thought on an informal way, testifies the will to consider PPP in a more holistic perspective, as a sub-system integrated in the broader financial and economic activities (as testified by the fact the EPEC is a branch of the EIB, the EIB being one of the major financers of PPPs projects in Europe) but also integrating it as a sub-group of governance in the broader governance system of the European Union. Indeed, while the management

and team of EPEC are specific for the organization, guidance and supervision is always guaranteed by the two founding member (EU and EIB). The network however is conceived as a discussion forum among the representative of PPP national authorities and coordinating body for the different country members.



Figure 5- Activities and aims of EPEC (Source: EPEC, 2009)

that are working for EPEC is network the governance of the of integrated in the European economic ecosystem and EPEC provides three main kinds of activity:

Among the main supporting service delivered by EPEC, the following services are particularly interesting from a governance perspective:

- Collaborative work and structured dialogue: identifying and sharing good practice in areas of common concern to members through a structured approach developed through confrontation and sharing of the experience and expertise of its membership. This function shows that EPEC aims at

functioning as a platform for development of common guidelines and structuring the national approaches by means of increasing the dialogue among the different actors.

- Policy development and Program Support for member authorities: while not providing consultancy to support the implementation or negotiation of individual PPP transactions, EPEC provides support in policy creation and in the design of a wide variety of general PPP initiatives' development. This feature confirms the attempt to purport the creating of a structured common policy in Europe.
- Institutional strengthening: EPEC works to strengthen the capacity of teams in the national organizations in charge of developing PPP programs and provides support develop institutional policies on PPP.
- Studies and research results published by EPEC for individual members may be outreached more broadly if these raise issues of a general nature that could be interesting for a wider audience. Moreover, EPEC published regular market updates about PPPs in Europe and specific reports on PPPs in member states. Under a managerial perspective, this activities seems to reflect the need for accountability and transparency, along with the attempt to evaluate PPPs not just on a project base but also as a more general phenomenon involving different authorities.
- Providing links to the private sector. While EPEC aims at being a service of coordination among public authorities, its goal is also to be a connecting subject between the public and the private, working as point of reference for private actors who want to implement a PPP. Under a managerial perspective, this activity still reflects a focus on a public management and on public authorities, nonetheless it shows an attempt to move towards an ecosystem perspective that though not involving private stakeholders in the governance bodies and directly in the policy development, creates moments of dialogue, promote early-stage involvement in PPP procurement and increases the orientation towards implementing accountability and networking among public and private subjects. This service seems to be used as well for getting feedbacks from the private sector, thus further improving the strategic advice

provided by EPEC to its members in finding better procurement preparation and management of PPPs.

The approach to the PPP phenomenon adopted by EPEC is significantly represented in the publications issued by the organizations, that again testify the impact of the crisis on PPP interpretative path as well as the increased attention towards ecosystem approaches that was found in the literature review on PPPs.

As for the first point, since its creation in 2009 a growing concern of the organization was to insert PPPs as a potential mean to deal with some of the major challenges posed by the crisis to the public sector.

One of the first publications by EPEC, entitled “The financial crisis and the PPP market Potential Remedial Actions” (EPEC, 2009) address PPP as potential remedies for the restriction of the financial funding system (both to national states and to private subjects) under three different levels: first, the level of the authorities procuring the PPP implementation, the second taking into consideration the central government or state perspective, the third aiming at encourage the entry of new private investors in the PPP market.

Significantly, the remedial actions propose perspectives that promote the development of more cooperative projects among the various subjects involved in PPP project and enhancing ecosystem perspective in the governance and management of PPPs. For our analysis, the most significant measures are indicated in the actions suggested for the public authorities, at the procurer and state level.

As for the “Remedial actions within procurers’ control”, a strongly suggested measure is identified in promoting negotiated procedures in the implementation and design of PPP projects, that involve private partners from the early-stage design of the project. Significantly, the most apt procedure is identified in the competitive dialogue, a PPP procurement option that implies establishing the features of implementation of a PPP

through a dialogue in which the private partners can propose actions and measures of implementation and dialogue with the public authorities to establish such features before the official call for tenders is issued. The perspective is the one aiming at getting the most varied type of proposals from the most varied possible number of private subjects in order to promote innovation and better modes of implementing the project.

In terms of “Remedial actions within States’ or Public Authorities’ control”, the document analysis the mechanism of up-front government’s payment in PPP projects. “Governments have employed up-front payments in PPPs in the form of capital contributions in number of instances in the past. Their most common use is on revenue based projects, to improve the finance-ability of the private portion. On availability based projects, up-front payments clearly reduce the overall private financing requirements but, at the same time bring forward the public sector payments. At best (depending on the discount rate used), this may have a positive impact on Vfm calculations by reducing the quantum of private financing costs. It may also allow different public entities to adjust their respective contributions (e.g. up-front payment to Government and a reduced unitary charge to a local authority)” (EPEC, 2009). This situation had however become unsustainable in a situation of financial shortage, especially because the public sector is no longer available to embark in heavy long-term up-front payments since they do not seem to offer any relevant advantage compared to the other forms of public support. The remedial action proposed is to attempt to develop PPP projects having a broader impact and involving as financing authorities multi-lateral institutions like the EIB, the EBRD or the IFC, or even export credit agencies. These institutions are expected to step-up their lending and increasing their involvement in PPP projects. As a result of this action, not only the relevance of the PPP project would be more clearly assessed, but also the ex-ante, continuous and ex-post evaluation would increase as a result of the more restricted evaluation and reporting processes required by authorities at the EU and EIB level (e.g. European projects have more structured forms of reporting and funding throughout the projects themselves).

This publication set the tone for EPEC's following publications. Although the attention is again mainly on financial and economic impact on PPPs, the crisis seems to have triggered a wider reflection on public-private cooperation that resulted in a renewed attention on the ethics and non-financial aspects of PPP design, implementation and assessment.

Particularly significant, seems the publication regarding performance measurement of PPPs projects and proposing new performance indicators overcoming the Vfm approach that characterized the previous perspective on public and private cooperation.

In 2011, EPEC publication "The Non-Financial Benefits of PPPs A Review of Concepts and Methodology" (EPEC, 2011) not only reflects more specifically this trend but seems also to resonate with the debate regarding more specifically PPP for the not-for-profit and cultural sector. The question underlying the publication is whether PPP are delivering greater benefits than traditional procurement options or not, and in that case what these benefits are and how they could be related to growth, development and better models for public management and governance. As a result, the traditional evaluation based on a strict value for money approach is questioned, arguing the necessity to incorporate non-financial benefits (NFBs) into the performance measurement systems. Starting from the assumption that so far the Vfm evaluation was the criteria on which PPP projects were assessed, the document advances some proposals related to new performance measurement systems integrating NFBs indicators.

What emerges is that the focus of the document is on the creation of value: not only public value in the traditional Moore's connotation, but a more advanced concept of public value that is more similar to the Benington's approach to the public-value stream: PPPs are considered as a mean to create value for society and community through a stream of competences, knowledge between the public and private partner and the communities.

This public values, identified as non-financial benefits to the wider socio-economic ecosystem of a territory (either on a local, regional or national scale)The analysis carried out by EPEC raises issues related to the traditional measurement of these non-financial benefits and express the need to overcome VfM approaches that have been the main performance evaluation methods for PPPs.

When the publication was issued, traditional *ex-ante* VfM analyses had mainly focused on the financial costs (risk-adjusted) of providing what is presumed to be an equivalent (or better) output of public management of services or infrastructures. However, PPPs were argued to bring about better benefits than those achieved under conventional procurement: in line with the theoretical debate, these indicators were mainly identified in increased quality of services and in increased efficiency and effectiveness, due to the inclusion of private sector's subjects in the management of public assets. This approach to PPPs – that significantly corresponds to the first phase of interpretation of PPPs as part of the NPM paradigm – was questioned by EPEC, saying that benefits do not relate merely to quantifiable financial and managerial aspects but are mainly found in non-financial benefits of delivery under a PPP. The traditional VfM perspectives, as a result, will no longer be useful in estimating the economic and societal impact of PPPs since they underestimate the non-financial benefits. More specifically, ignoring this issue could result in an unwarranted bias against PPPs since the incentives which are peculiar to PPP projects are specifically intended for non-financial benefits.

Significantly in relation the development of the European approach to PPPs, the document attempts at classifying non-financial benefits and indicating possible parameters for measurement. Non-financial benefits (NFBs) are “the socio-economic benefits to service users or wider society” delivered by a PPP infrastructure, service delivery or management project. “NFBs are distinct from financial benefits (or costs) which represent cash inflows/outflows (that usually fall directly on the public sector decision-maker)”. These NFBs could either be capable of being valued in monetary terms (e.g. increased prices of properties), or quantifiable but not usually valued in

monetary terms (e.g. better educational outcomes for students), or potentially identified but not measured or valued (e.g. an improved environment for citizens). Though desirable, the measurement of NFBs is desirable where it is possible, but the document argues that it is incorrect to simply ignore benefits which cannot be quantified in monetary terms.

This point seems particularly indicative of the research trend on PPPs and on the need to broaden the traditional perspective on PPPs. Once it is decided that there are net benefits from the 'baseline' investment procedure (in most countries, conventional procurement), the question is whether PPPs can give greater net benefits. Outdated quantitative VfM analyses rely on a public sector comparator ("PSC") test. This test is essentially a cost comparison (risk-adjusted) between procurement alternatives for delivering a service at certain quality standards and rules usually defined by the public subject. However, the cost-minimization perspective assumes the financial benefits are the main comparison criteria and that in both options the non-financial advantages are the same.

As found out in the academic debate on PPPs, quantitative VfM analysis should be updated to systematically take into account of prospective NFBs brought about by PPPs. The results of this type of analysis should be included in PPPs' assessments together with the financial cost comparison in order to provide users with a more comprehensive picture of the results of the PPP projects. This seems particularly significant for those projects that imply the participation of not-for-profit partners and where the involvement of private partners is at the level not just of the management but also of the governance of the project.

The document advances some relevant proposals related to models for performance assessment, and starts with a clarification of NFBs that includes also dimensions that related to previous models of performance measurement (e.g. BSC):

These incentives, if effectively harnessed, can provide NFBs through three key mechanisms:

1. accelerated delivery (delivering services earlier);
2. enhanced delivery (delivering services to a higher standard);
3. wider social impacts (greater benefits to society as a whole).

Though attention is equally paid to the three mechanisms, the key objective is identified in the creation of favorable conditions for innovation. Innovations could be a benefit to the public partners but the perspective of the private sector is considered as well: PPP could indeed provide private companies with broader opportunities to apply innovation at all levels of project delivery, in particular in the use and experimentation of new technologies. As a result, innovation is identified as one of the most significant goals on both sides; this dimension is included among the “wider social impact” category and considered one of the main benefits to be looked for in a PPP project.

The publication “The Non-Financial Benefits of PPPs A Review of Concepts and Methodology” (EPEC, 2011) provide an exhaustive analysis of the three dimensions, identifying the value that are delivered in each of them. A short summary of the analysis carried out in the document seems relevant in order to better understand the shift of approach expressed by EPEC through this document, and is therefore provided in the following paragraphs. The significant feature is that also traditional features (namely, accelerated delivery and enhanced delivery) are interpreted in terms of their impact on wider-societal innovation, benefits and enhancement.

1. **Accelerated Delivery** refers to the advantages of having an infrastructure or service project available earlier. For example, having an infrastructure, hospital, school or road delivered earlier implies that society can enjoy the expected socio-economic benefits that come from, health, education and transport services before it would do in other circumstances. Two accelerated delivery option are distinguished:
 - Better on-time construction/delivery performance, that could mainly be achieved through specific payment clauses of the PPP’s arrangements (e.g. the principle of “no service - no payment”) but is considered more effective when cooperation environment is fostered and collaboration and partnership

between public and private operators is the result of collaboration instead than constrictions.

Examples related to agreeing on a common timescale for the project and ensuring the compenetration of competences between public and private subjects as well as dealing together with variants and delay events;

- Earlier delivery of a planned capital investment program. In some PPP project, a significant percentage of private finance is used in a PPPs and private finance provides a relevant complementary, source of capital to public budgets. This, in itself, can trigger related investment programs; moreover, when the infrastructures/services are delivered earlier, public funding may be available to invest in other programs and additional capital investments could be planned in the long-term.

2. **Enhanced Delivery** refers to the quality of service and infrastructure delivered in PPP collaborations. Unlike Accelerated Delivery, Enhanced Delivery Enhanced Delivery talks about a higher quality level of service quality from a PPP project. Among the structural features that characterize enhanced delivery are not only the application of Applied lifecycle approach and assured maintenance (e.g. the contractual commitment to maintenance results in better asset conditions and higher residual values), or the establishment of standards for high service quality that help better design the PPP schemes. Enhance delivery is a goal that could be achieved through mainly a clearly defined governance structure, whose benefits vary from increased external scrutiny/due diligence by lenders and investors to better management of services, thus letting the public sector concentrate on other core task and providing more of a advice and cooperation than a rigid “surveillance” role.

3. **Wider Social Impacts** refers to the positive externalities of using the PPP project, e.g. the benefits to people other than the users of a PPP infrastructure or PPP service. Wider societal Impact comprises two main categories of benefits:

- Wider public sector benefits, that mean the benefits to the public sector in general that go beyond to the expected impact of a specific PPP project;
- Wider macro-economic benefits, which consider the impact on economy and environment of a PPP project

The documents considers the problem of evaluation of this benefit as well as of their inclusion in the reports on PPPs available to the general public, in line with the increasing demand for transparency and accountability demanded in the context of the crisis. In terms of innovation, one of the most frequently mentioned goals in the document, it is interpreted not only in terms of technological innovation but also in terms of innovative management practices that could be introduced by the private sector and replicated in future PPP projects, regardless of the procurement option. In this part, another trend found in literature is confirmed: EPEC, expression of the EIB and the EU, clearly quotes examples of PPP where a purely competitive logic is rethought in favor of a comparison with other models and encouragement to cooperate with the broader ecosystem in order to create more sustainable project models from which the broader communities could benefit. Examples of PPPs from the UK and Australia are quoted as models in which “the beneficiaries of innovation are not just the users of a good or asset at present, but are extended to the broader public sector and economy. A further point is that PPPs have provided a very fertile learning environment in which the public sector has been able to draw from best practice and apply this to more [...] projects. [...] These benefits are only partially captured in the evaluation process since they will extend beyond the specific PPP under consideration” (EPEC, 2011).

As for wider macro-economic benefits, they are considered as similar for PPP and non-PPP projects: in terms of expected impact again the difficulty lies in identifying a priori the different expected results and in trying to capture them in a longitudinal perspective, that monitors them throughout the life-span of the projects through a continuous performance evaluation.

The analysis carried out in the document lead to the creation of two matrixes.

- A Benefits Matrix 3, that helps recognize some of the potential additional NFBs associated with Wider Societal Impact in PPP projects (fig. 2)
- A revised VfM framework that helps clarifying what is the public value e NFBs that could lead to the choice of implementing a PPP instead than a traditional procurement procedure.

As for the Matrix for Wider Societal Impact, the aim is to underline how the traditional quantity measures could potentially be inconsistent with the type of evaluation related to PPP projects, and how further methods could be used as alternative to quantitative measurement (such as interviews and survey, policy analyses, narratives, etc.) and should be tailor-made on each project (e.g. for environmental project, for policy-changing projects, etc.). An interesting element in the analysis is that the table identifies Innovation as one of the sub-categories of benefits for the wider public sector, but again in the example it is interpreted mainly in terms of its advantages for the cultural sector, failing to capture the role innovation (both in management processes and technological innovation) could play in terms of macro-economic impact.

Generic Benefits Matrix 3 – Wider Societal Impact

Generic project features	Sub-category	Examples	Usually included in PSC test?	Potential NFBs	Can they be quantified?	Can they be valued?	Potential Approach
Wider public sector benefits	Innovation ²²	Design, management and technology innovations may be replicated in future projects.	No	Yes	Difficult		Survey
	Pricing of Public Service	Is the project a good indicator of how much conventional public services cost? How much is this knowledge worth?	No	Yes	Difficult		The value of this information will depend on what policy makers decide to do with the information. One approach to measurement would be to use the price of contracting out this measurement exercise to a consultant as a proxy of its value.
	Competition between delivery forms	Does the PPP project potentially introduce competition with projects that are conventionally delivered? If so, will competition with PPP delivery ensure that that other services - outside of the project in question - are delivered more efficiently?	No	Yes. Competitive forces in public service delivery can improve performance. The potential benefits of choice and competition in schools, hospitals, etc. are documented.	Difficult		Problem of causality. How do we know that improvements are based on competitive pressures? Surveys provide the most likely approach.
	Fiscal programming	Whole life-cycle approach ensures better pricing and thus better allocation of resources to other projects.	No	Yes. Better fiscal programming results in better public sector investment decisions.	Difficult		
Wider socio-economic impacts	Labour market ²³	Investment stimulates employment in depressed area.	No	Yes	Case-by-case assessment		
	Environmental impact ²⁴	Reduced emissions due to better roads Cost of relocations, noise, impact on wildlife, etc.	Unlikely	Yes	Depends on each case	Partially	Several methods depending on impact. Some emissions may be traded on market and monetary value assessed (e.g. carbon emissions). Others can be quantified and expressed in physical units but not expressed in monetary terms (e.g. noise level).

Figure 6 - Wider Societal Impact matrix (Source: EPEC, 2011)

As for the revised Value for Money evaluation framework, it proposes a comparison between the value for money evaluation framework for traditional public-procurement option and a revised one for PPPs. Notably, alongside the financial measurement related to PPP the table identifies the need for narratives to reach a weighted financial and non-financial evaluation framework.

Thus, the measurement and reporting of non-financial benefits should be carried out together with financial and quantitative measuring; the paper again stresses how some benefits are quantifiable though not in monetary terms (e.g. improved educational for schools or user satisfaction, potentially measured through a scale for comparing satisfaction levels, but difficult in monetary terms). There are cases where impacts can be identified though not monetized or quantified; this is exemplified in projects that result in an aesthetic improvement to local area, or that are consistent with changes in government policy, or in those introducing innovations that can be applied in future projects. In this circumstances, these NFBs should be carefully described in order to increase accountability and promote informed decision. As a consequence, these benefits should be reported through narratives, aiming at responding to the questions and the values raised by the wider society. This becomes particularly marked when evaluating wider societal impact; reporting should provide information testifying how the project could have positive Wider Societal Impact, recognizing the beneficiaries of these impact and why societal advantages could be truly incremental and better reached by means of PPPs. In particular, ex-post evaluation should try to identify and measure incremental benefits in terms of their creation of public value for local community and society in general.

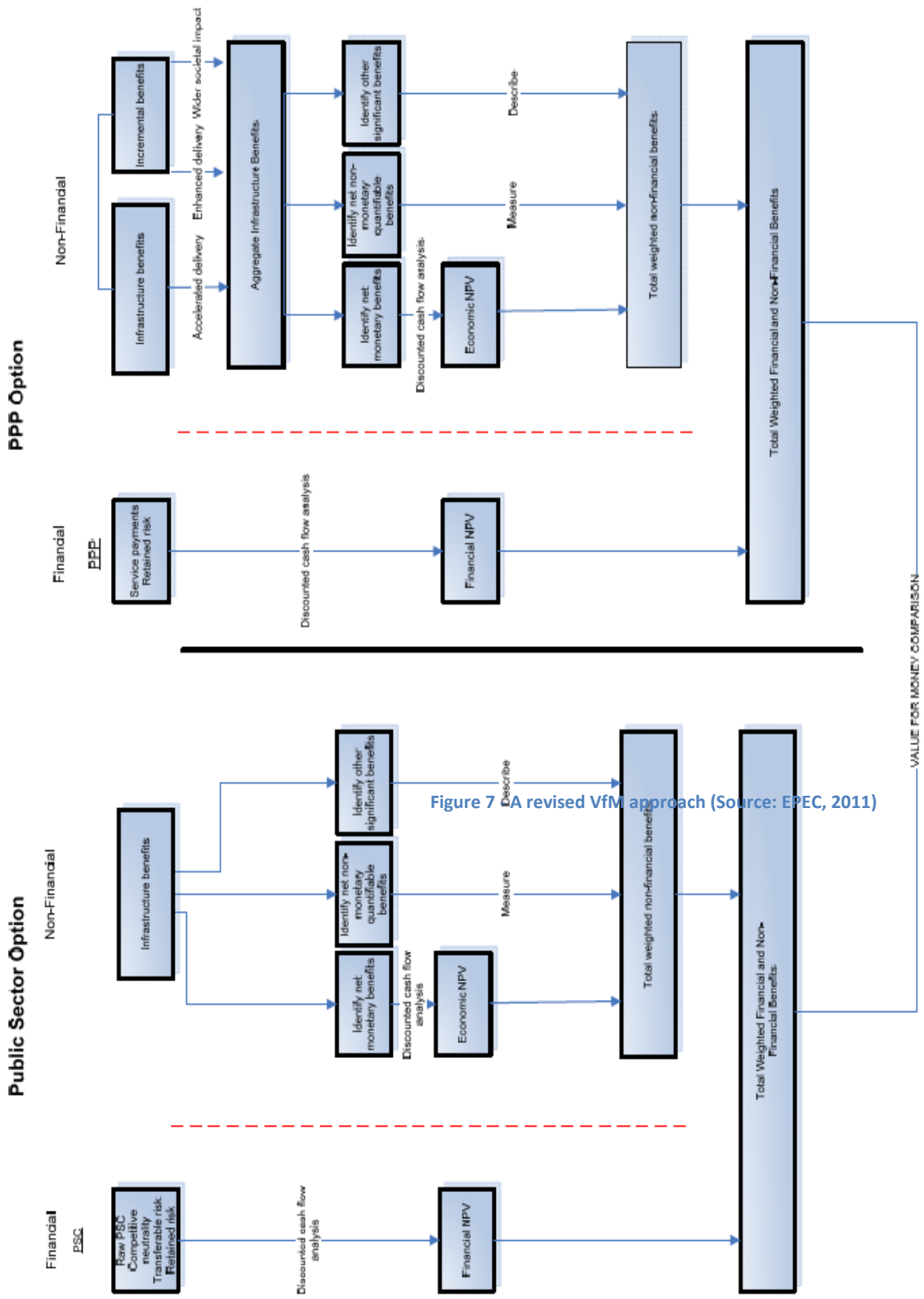


Figure 7 A revised VfM approach (Source: EPEC, 2011)

A more blended and holistic approach has been at the center of EPEC studies and publication also in more recent year.

In 2015, another publication dealt with the need to revise the Value for Money approach and included a first overview of the methods and perspectives used by some member states and external countries in order to identify good practice and help member better choose new policies and models.

In the document “Value for Money Assessment - Review of approaches and key concepts” the background of VfM assessment in Europe is provided along with an overview of approaches adopted by some European states. The publication is significant for our analysis because it again attempts to capture and identify revised VfM approaches that take into account wider societal benefits and the need to evaluate them also by means of qualitative measures. The documents gives relevant information on the different approach adopted to PPP performance measurement and assessment, related to the approach to PPP adopted in the different countries.

According to the document, from a European perspective on PPP it emerges that the role of the VfM valuation varies between countries.

With reference to the design phases , for instance, in France VfM assessment is implemented since the beginning and as a significant part of the project design phases, thus influencing significantly the decision-making process and the definition of the scope of the PPP; in some of these countries, a VfM assessment is mandatory by law for a PPP project to be implemented (e.g. the *évaluation préalable* - Preliminary Assessment - in France). In other countries (e.g. the Netherlands or Belgium) it is introduced instead in later phases of the PPP project, more importance is given to the wider socio-political context in which the project is designed and assessment of qualitative factors; quantitative and qualitative assessments are more blended compared to other countries and quantitative assessments play a less decisive role (in the Netherland VfM is carried out on a voluntary basis).

With reference to the following phases of the project development cycle (evaluation of the project during the implementation phases), the of assessment varies across countries. Significantly, in countries with a longer experience of PPPs both VfM assessment and qualitative effects are taken into consideration. In countries such as the UK, the focus is on the socio-economic value of public spending from a ‘macro’ perspective. More specifically, Non-valued effects “may be both quantitative but not valued (in monetary terms) or they may be quality effects which are not expressed in terms of quantity (such as flexibility or the quality of competition)” (EPEC, 2013) The different attitudes to assessing non-valued effects differ significantly in terms of their prominence, timing and type; qualitative criteria often play a leading role in the later phases as well (e.g. the procurement phase in the UK), attempting a more holistic assessment and putting emphasis on characteristics of innovation and societal impact; in some cases (Scotland) evaluation is carried out mainly in qualitative terms.

Summing up the different country’s approaches as a whole, the evaluation of wider societal impact based on qualitative measurement is implemented in different phases of PPP projects. In the ex-ante evaluation phases, a basic qualitative approach is considered a supplement to quantitative valuation approach, is carried out in countries such as France, Germany and the Netherlands, while in the UK the qualitative approach is the criteria on which further lead to quantitative assessment and continuous attempts are made to capture the degree of societal impact and innovation achieved through the project.

In terms of our analysis, these data seem relevant in testifying the development of PPPs approach in the different countries. Significantly, in the UK, where PPPs have been implemented and analyzed for a longer time, there is an attempt to focus on dimensions that rethink a *micro* perspective and insert PPPs in a *meso* dimension, linked to the results in terms of innovation, social impact and to the contribution to local socio-economic ecosystems also in terms of creation of public value for citizens

and communities. For example PPPs that promote innovative project design and management could not only encourage private partners to look for higher cooperation with the public authorities in the design and implementation phases but could also trigger good practices in the engagement of citizens and communities as stakeholders; in return, that could generate an important economic and social value, and the benefits could be replicated in the future.

Again, this approach resonates with the trends in literature on PPP and seems to be specially appropriate to the debate going on in the cultural sector.

3.4 DEVELOPMENT OF PPPs IN EUROPE: A CHANGING SCENARIO

Interest at a European level in PPPs has been undergoing since the 1990s and reached a peak with the creation of the EPEC, the European PPP Expertise Center. The implementation of this structure was based on the need to have a broader view on the trends of development of PPPs in the European context and to provide data and studies on the PPP phenomenon in a comparative European perspective. Though comprehensive studies had been carried out before, mainly on a national level but also in a European comparative perspective, the reports published by EPEC had the advantage of introducing regular period updates on the PPP market in Europe drawing data from the national PPP authorities.

Previous reports on PPPs development have been carried out significantly in 2007 (Blanc-Brude et al. 2007), and in 2010 (Kappeler and Nemoz (2010), both on behalf of the European Investment Bank.

With reference to our analysis, the report issued in 2010 (Kappeler and Nemoz 2010) seems particularly interesting since it provides a description of the macroeconomic and sectoral significance of PPPs in Europe with a special focus on the effects of the

economic and financial crisis not only on PPPs in terms of value and number but also in the broader perspective of the role of PPPs in the changing economic context. Starting from the date provided in previous reports, Kappeler and Nemoz register that in 2009, in the aftermath of the crisis, the total value of closed deal in PPP transactions stood at EUR 15.8 billion, thus signing a decrease of almost 50% compared to 2007. However, while the total value of deals has significantly decreases, this is not the case for the number of deals. Another relevant change had been recorded with reference to the PPP distribution in Europe, with an increasing diversification of the PPP market across countries and sectors; a representative figure is that in 2008 the UK share in the total number of EU-PPPs fell below 50%, and other countries registered an increase in PPP.

According to this analysis, the crisis triggered not only a contraction in the European PPP market but also a paradigm reversal of an extraordinary extent compared to the years preceding the crisis.

	% of No. of projects		% of value of projects	
	2009 update	Blanc-Brude et al. (2007)	2009 update	Blanc-Brude et al. (2007)
AT	0.2	0.2	0.5	0.6
BE	0.9	0.7	1.3	1.1
BG	0.1		0.1	
CY	0.2	0.3	0.3	0.4
CZ	0.2	0.2	0.3	0.4
DE	4.9	2.4	4.1	2.9
DK	0.1	0.0	0.0	0.0
EL	1.0	0.6	5.5	3.9
ES	10.1	8.6	11.4	12.8
FI	0.1	0.2	0.2	0.2
FR	5.4	2.8	5.3	3.9
HU	0.7	0.8	2.3	2.7
IE	1.3	0.7	1.6	0.7
IT	2.4	2.1	3.3	3.7
LV	0.1	0.1	0.0	0.0
MA	0.0	0.1	0.0	0.1
NL	1.2	1.0	1.8	1.7
PL	0.4	0.4	1.7	0.9
PT	3.1	2.3	7.0	5.8
RO	0.1	0.3	0.0	0.1
SE	0.1	0.1	0.2	0.2
SK	0.1	0.1	0.5	0.0
SI	0.1	0.1	0.0	0.0
UK	67.1	76.2	52.5	57.7
Total	100	100	100	100

Figure 8 – Countries’ percentage shares of European PPPs, 1990-2009 aggregate. (Sources: Kappeler and Noez (2010) based on Blanc-Brude et al. (2007), EIB, HM Treasury, Irish PPP Unit)

In the period 1990-2009, while still accounting for some two thirds of all European PPP projects, the UK recorded a decrease of almost 10 % compared with the previous report by Blanc-Brude et al. (2007).⁶ Overall, the analysis shows that Spain remained the second-biggest PPP market increasingly gaining importance together with other markets that will be further increase in later years such as France, Germany, Italy, and Portugal; together, those later countries represent 2-5% of the total number of projects. According to the authors, these changes suggest that the PPP market in Europe carry on to a gradually diversification across countries.

Changes of paradigm are further confirmed when assessing over time the development of PPP market in terms of number of PPP projects. While in the UK the number of PPPs increased quickly from the mid-1990s onwards, with the highest peak reached in 2004, for the EU in general, the number of projects continued to increase until 2006. Due to the impact of the financial crisis, this trend speeded up: the UK market share in the annual number of EU projects decreased below 50% in 2008. This points out once again the increasing diversification of PPPs across countries.

The analysis carried out on sectorial distribution of PPPs, further confirms changes in the type of project implemented. The report shows separately the analysis of sectoral distribution trends in the UK and in the other countries in Europe, due to a different on the amounts of data available. As for the UK, the country was previously characterized by implementation of PPP projects mainly in the infrastructure/transportation sector (mainly in the 1990s). In contrast, transportation fell to 4% of the number of PPPs, together with a decline of the number of projects in defence and public order and safety. In the period 1999-2009, instead the most significant sectors are PPPs in education, recreation and culture (35% of total) and health (34%), and also the number of PPPs in general public services remains fairly

stable although significant (14%). The investment in PPP projects in the education and culture sector testifies a trend that is traceable in UK cultural policies and that will be further discussed in the chapter dedicated to the analysis of PPPs in the cultural sector in the UK.

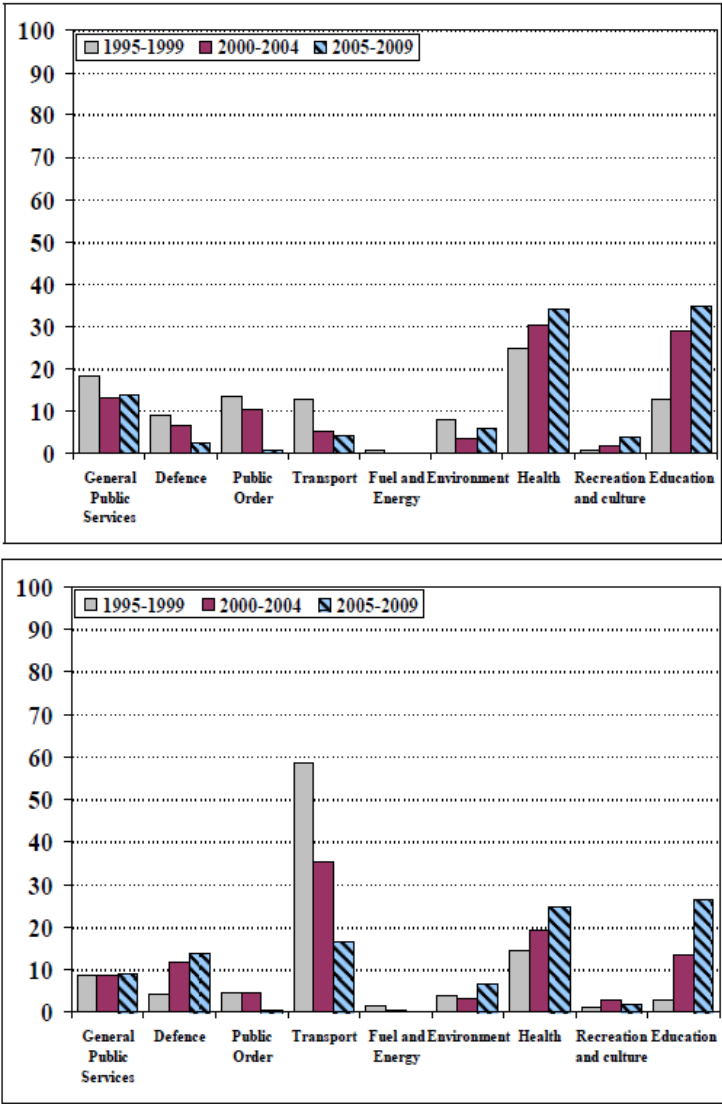


Figure 9: Number (top panel) and value of PPPs in the UK by sector, in % of total, 5 year averages (Sources: EIB, HM Treasury, Irish PPP Unit)

As for the analysis of the evolution of PPPs in other European countries, the report highlights that, in contrast with the trends in the UK, the transport sector still represented the largest PPP sector, with 41% of the number and 76% of the value of PPPs in continental Europe. However, the authors also underline that education and health PPPs were gaining ground, though remaining less relevant than in the UK: together they constitute 26% of the number and 11% of the value of PPPs in continental Europe in 2005/09. The importance of the environmental sector in PPPs decreased over time, particularly by number.

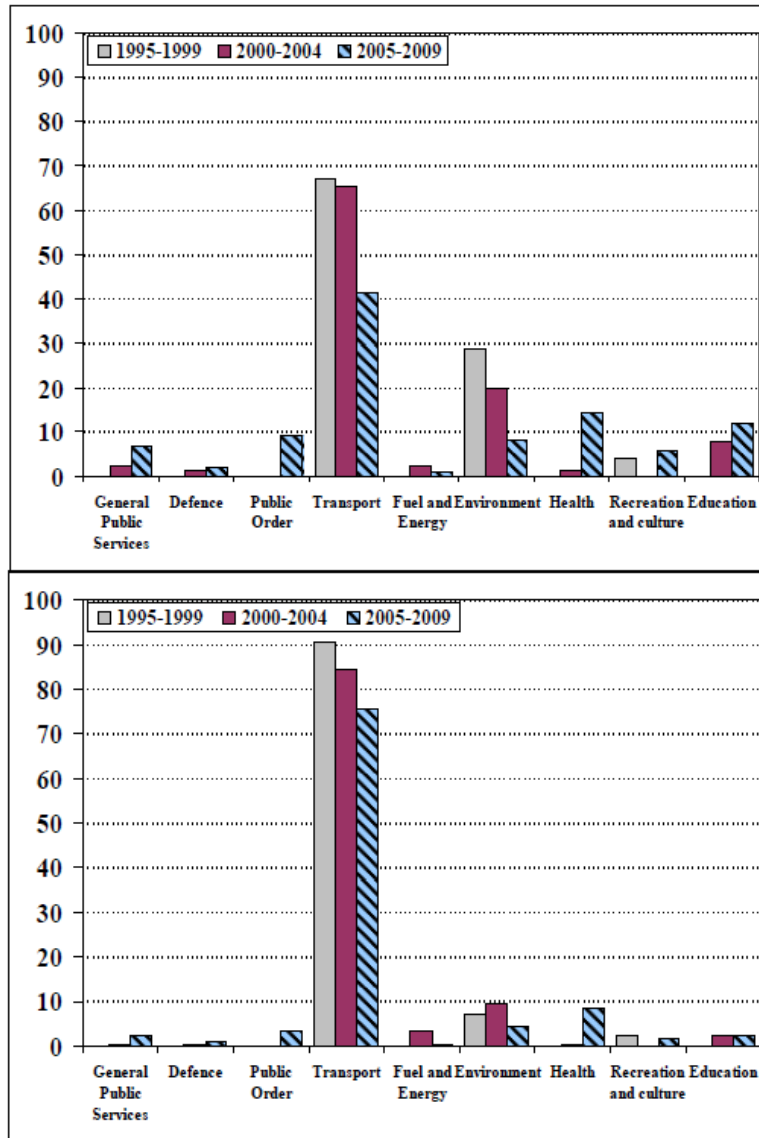
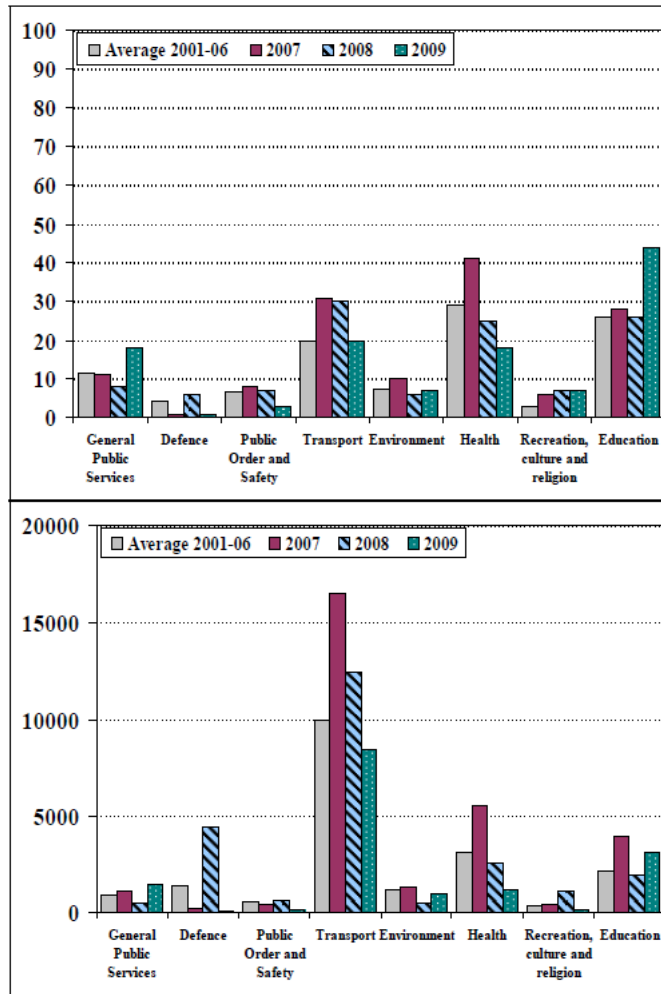


Figure 10: Figure 9: Number (top panel) and value of PPPs outside the UK by sector, in % of total, 5 year averages (Sources: EIB, HM Treasury, Irish PPP Unit)

Overall, the aggregated data show an increased attention to the education field which was the second largest sector, with 27% by number and 14% by value in 2007/09 but also an increase of culture/recreation sector in Europe.

Figure 13. Number (top panel) and value (bottom panel, in € millions) of PPPs projects by sector and year



Sources: EIB, HM Treasury, Irish PPP Unit, various commercial databases.

Figure 11: Number (top panel) and value (bottom, in € millions) of PPP projects by sector and year (Sources: EIB, HM Treasury, Irish PPP Unit)

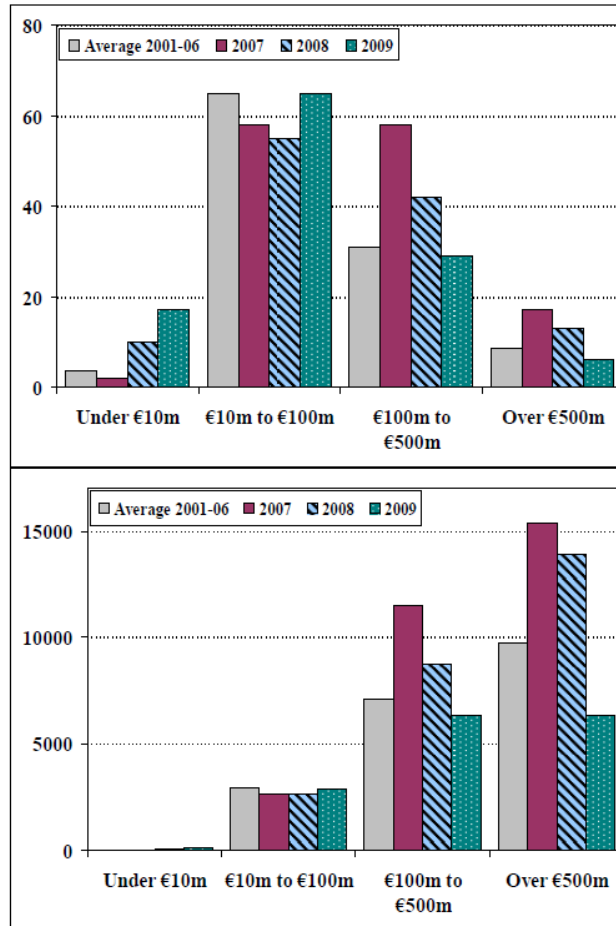


Figure 12: Number (top panel) and value (bottom, in € millions) of PPP projects by size (Sources: EIB, HM Treasury, Irish PPP Unit)

With reference to the analysis carried out in this thesis, the part of the report on the evolution of PPPs by size provides significant data. Indeed, there is a registered tendency of decrease of size of PPPs (see following fig. 11). Indeed, more than half of the projects remain in the EUR 10 million to 100 million range, but there is a general trend towards smaller deals in 2009. The average size of a PPP project dropped to EUR 91 million in 2009, from EUR 210 million in 2008 and EUR 217 million in 2007. The authors point out that those sizes are similar to the ones in the period 2001/06. Therefore, the change towards smaller deals in 2008/09 is interpreted as a reversal of the tendency towards larger deals in the years preceding the crisis.

In sum, the report shows that the financial crisis has triggered three processes of diversification in the PPP development that seem particularly relevant for our research:

- a process of country diversification in the PPP market in Europe, showing a rise on the European PPP market of emerging PPP countries such as France, Germany, Spain, Portugal and Italy;
- a process of diversification of sector type of PPPs, with a promising increase of sectors such as the education, recreation and culture sector especially in the UK;
- a process of diversification of the size of PPP projects, with an increase in the number of smaller project and a decrease of the number of larger projects.

These three trends appear particularly significant for the cultural sector, analyzed in this thesis: PPPs becomes a rising phenomenon in the cultural policies in Europe and smaller size projects, that are more frequent in the cultural and creative field seem to increase in number and value compared to previous years. The rise of small projects, again, echoes the rethinking of the governance systems and management models of the cultural sector with reference to PPPs: indeed, smaller projects have more chances to be related to the cultural identity of the territory and the local community, and therefore could represent an attempt to rethink the *micro* perspective typical of traditional PPPs (with therefore focus on the single project) in favor of perspective privileging its links with the local perspective in a *meso* and ecosystem perspective.

These data are further developed through the market updates periodically provided by EPEC starting from 2010. Though not as detailed as the figures provided in the previously analyzed report and in generally lacking specific information on the cultural sector, these data could be indicative of the trend of evolution of PPPs that was highlighted in the previous paragraphs. The report from the period 2010-2014 will be

analyzed in the following paragraphs, trying to give an overview of the development of the PPP market in Europe and the hypothesis formulated in the previous paragraphs related to the trends and paradigm changes in in the years following the crisis. However, difficulties in comparing these data with those of the previous report since the parameters of definition of PPP projects changed. EPEC market updates put restriction on the analyzed PPPs, considering mainly large scale projects, i.e. those projects structured as design-build-finance-operate (DBFO) or design-build-finance, maintain (DBFM) or concession arrangements which feature a construction element, transactions financed through “project financing” with a value of at least EUR 10 million. As a results, those reports provide information mainly on large scale PPPs, giving just simple information on other types of projects. The information seems nonetheless significant is analyzed for providing information on PPP market in Europe with regards to country trends and sectoral trends in terms of the above mentioned type of projects. The lacking of substantial information on small scale projects, that constitute one of the main categories in the cultural sector and that are more significant for the ecosystem perspective in governance and management of PPP that is the focus of this work, will be discussed in later sections of this thesis.

In sum, though not providing a complete picture of the PPP development in recent years, EPEC market updates will be analyzed in terms of figures of the overall general development of PPPs in Europe, breaking them down in years and then providing some concluding remarks.

In 2010, the UK, France, Germany and Spain the UK accounted for 80% of all European PPPs. The UK remains the most active market across Europe with reference to the number of transactions, followed by France (19 deals), Germany (14) and Spain (13 deals). Spain was the largest PPP country in value terms, surpassing the UK for the first time. Portugal ranked third, thanks to two very large projects. These three countries accounted for 63% of the overall market value

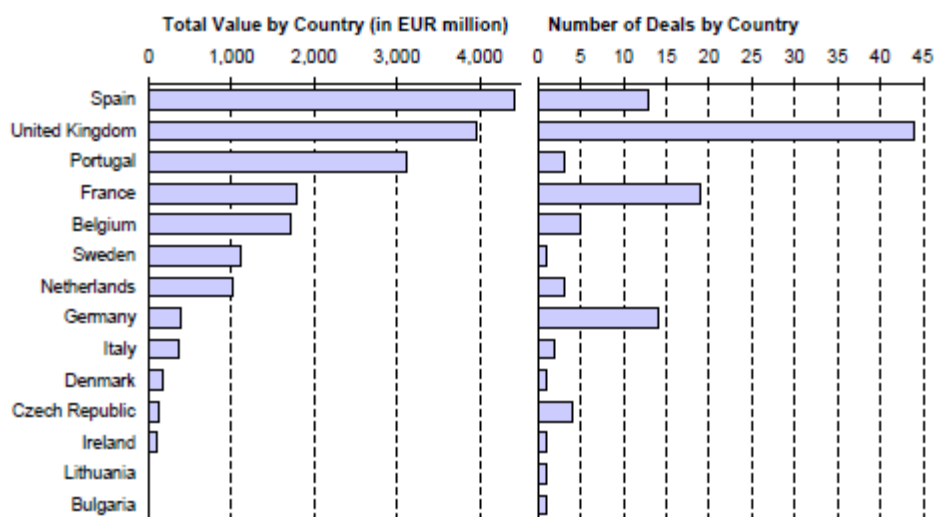


Figure 13: Country breakdown by value and number of transactions in 2010 (EPEC, 2011)

In terms of sectoral breakdown, the “transport” sector accounted for just under 50% of the European PPP market value in 2010 and non-transport sectors represented more than half of the PPP market value, confirming a trend of sectoral diversification what was at the center of the changes brought about by the crisis. Education and healthcare” transactions increased to 35% of the PPP market value and 51% of the number of deals, again confirming the trends of the previous period; the category “general public services” comprises also: 18 projects for leisure and sport centres, libraries, an exhibition centre, a communication centre and a zoo that are related to the cultural sector, accounting for 16% of the total number of PPP deals.

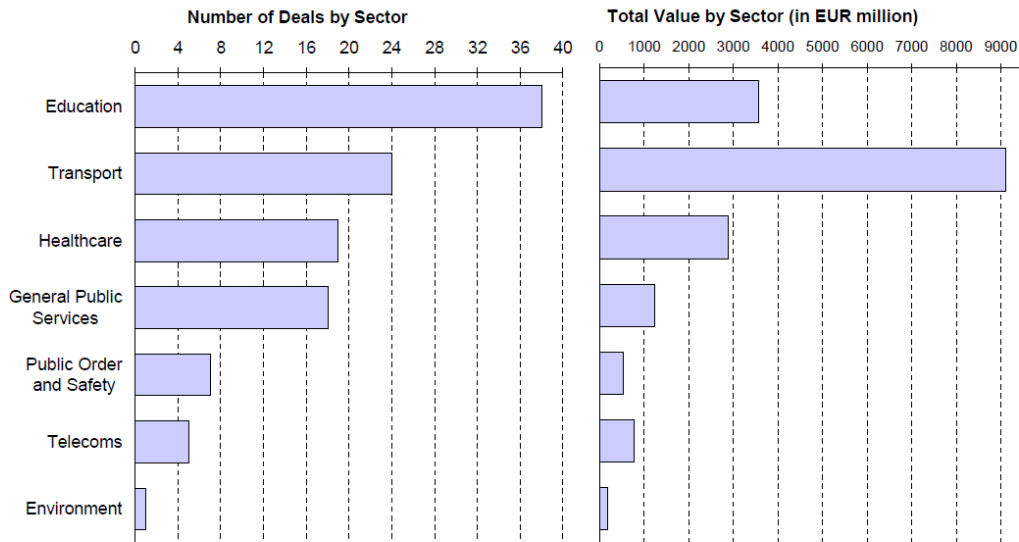


Figure 14: Breakdown by value and number of transactions by sectors in 2010 (EPEC, 2011)

Finally, the analysis of the incidence of large PPP project in the overall PPP market, shows that the value of other PPPs is increasing, namely small scale projects especially in the UK, France, Germany and Italy. Again, this confirms the developments identifies in the previous analysis and is particularly significant for the cultural sector.

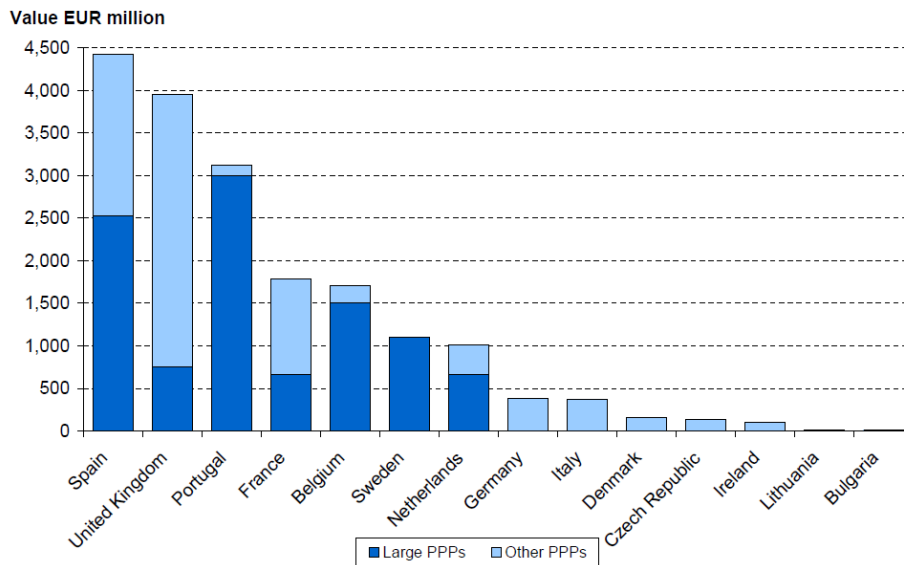


Figure 15: Incidence of large PPP projects in 2013 (Source: EPEC, 2011)

In 2011, the figures partially confirm the trends of the previous period in particular with reference to Germany and the UK. Indeed, while France signed an increase the 2011 European PPP market in value terms, the UK still was the highest market in terms of number of transactions. Belgium, Spain, France, Germany, and the UK together represented 82% of all European PPP transactions closed in 2011. In value terms, France, Germany and Italy were the only markets growing, whereas the other markets recorded decreases.

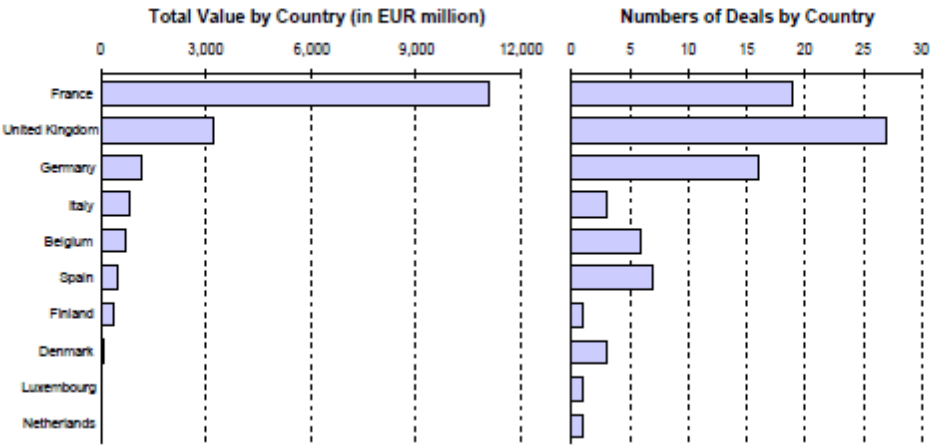


Figure 16: Country breakdown by value and number of transactions in 2011 (EPEC, 2012)

It seems interesting to point out, that again in the UK and significantly in Germany (a market that had been rising in the previous years), smaller transactions kept increasing compared to bigger transactions. This tendency is shown also by Belgium.

Figure 3 - Incidence of Large PPP Projects in 2011

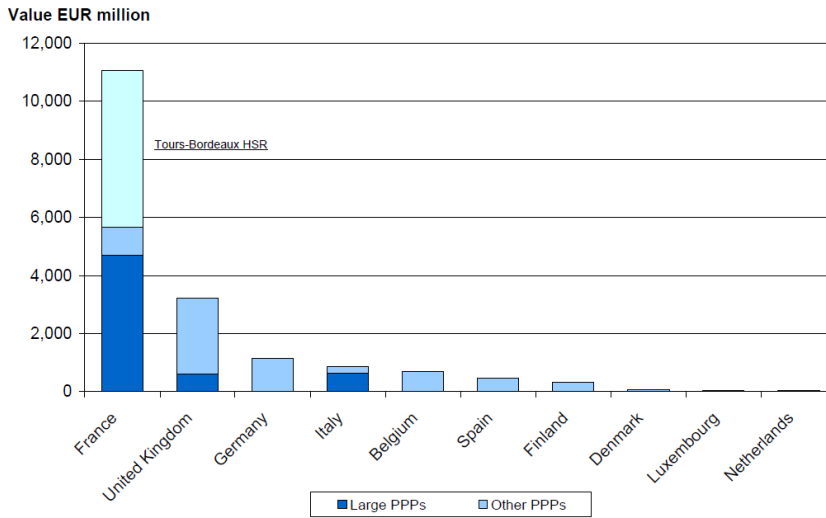


Figure 17: Incidence of large PPP projects in 2011 (Source: EPEC, 2012)

Finally, the analysis by sectors highlighted again the highest number of projects (23 projects) recorded in the education sector although this field witnessed a reduction both in deal number (38 in 2010) and in value terms (EUR 1 billion in 2011 compared to EUR 3.5 billion in 2010). Again, the sector recorded mainly small project, and on that ground only accounted for 6% of the EU market as a whole. These was also an increase in the general public services, accounting for 11% of the total market value (7% in 2010); this sector included culture and leasiure facilities projects, signing again an increased attention paid to the cultural and creative sector. The transport projects figures signed again a decrease in the number of project, though still leading the PPP market.

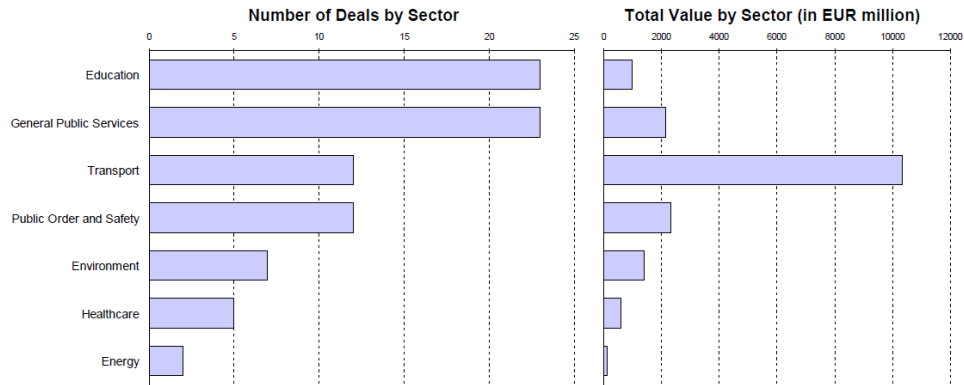


Figure 18: Sector breakdown in 2011 (Source: EPEC, 2012)

The data concerning the PPP market in 2012, again confirmed the UK as the most active market in terms of number of transactions, overtaking France also in value terms. France and Germany followed. With reference to sectoral breakdown, education was the most active field in 2012 although less than in 2010 and 2011 (38 and 23 projects correspondingly), recording in addition a 63% increase in 2012. The implemented projects were mainly small scale projects, and as a result the sector only accounted for 10% of the whole EU market; however, this trend is considered relevant for a sector that was closely related to the cultural field and that testified a shift in policies in Europe in general. The transport sector in 2012 registered a slight increase with reference to the number of project, although not showing the dynamism

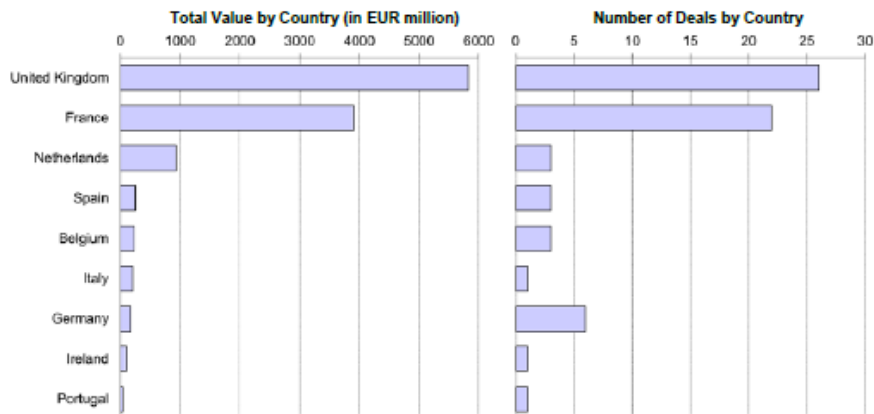


Figure 19: Country breakdown by Value and number of transactions in 2012 (EPEC, 2013)

of the education field.

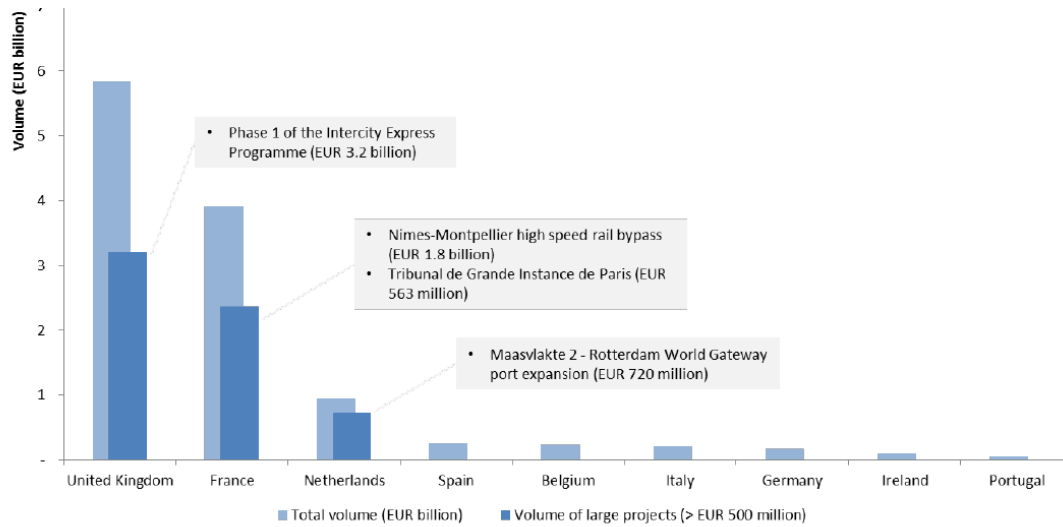


Figure 20: Incidence of large PPP projects in 2012 (Source: EPEC, 2013)

In 2013, the UK was confirmed as the largest PPP market in Europe both in value terms and for number of projects, for a total of € 6 billion, recording a small increase compared to the previous period. The UK was followed by France (19 deals compared to 22 in 2012) and Germany (10 transactions compared to 6 in 2012); in the case of Germany, the report highlights that the 10 transactions were of a relatively small size. Significantly, in value terms we can see an increasing diversification of the European scenario. Italy was raising as the second largest PPP market (EUR 4.4 billion) in value terms and 14 countries (compared to 10 countries in 2012) closed at least one PPP transaction.

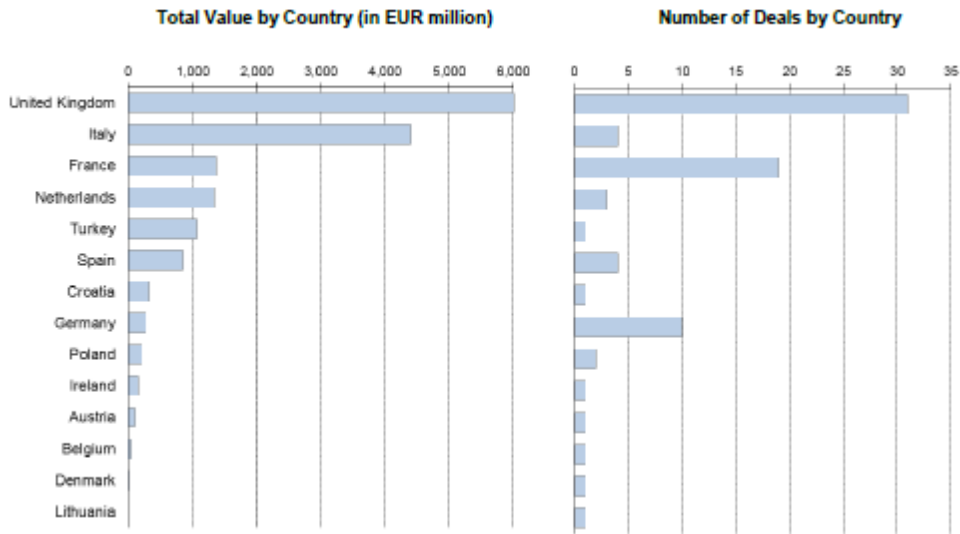


Figure 21: Country breakdown by value and number of transactions, 2013 (source: EPEC, 2014)

The figures related to sectors, confirm the rise of the education sector in terms of number of projects, confirming also that the prevalence of the deals were of a small scale; indeed, although it was the fastest growing market in number of project terms it was classified just as fourth in value terms.

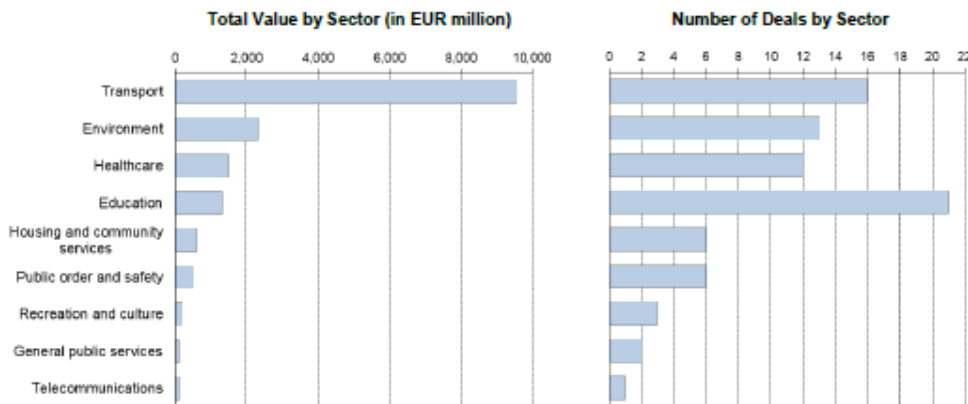


Figure 22: Sector breakdown by value and number of transactions 2013 (Source: EPEC, 2014)

As highlighted in the following figures related to the incidence of large scale projects on total of projects, there is again a rising incidence of small project in the UK and the other most dynamic markets (in Italy, two large scale projects accounted for the majority of the national PPP market).

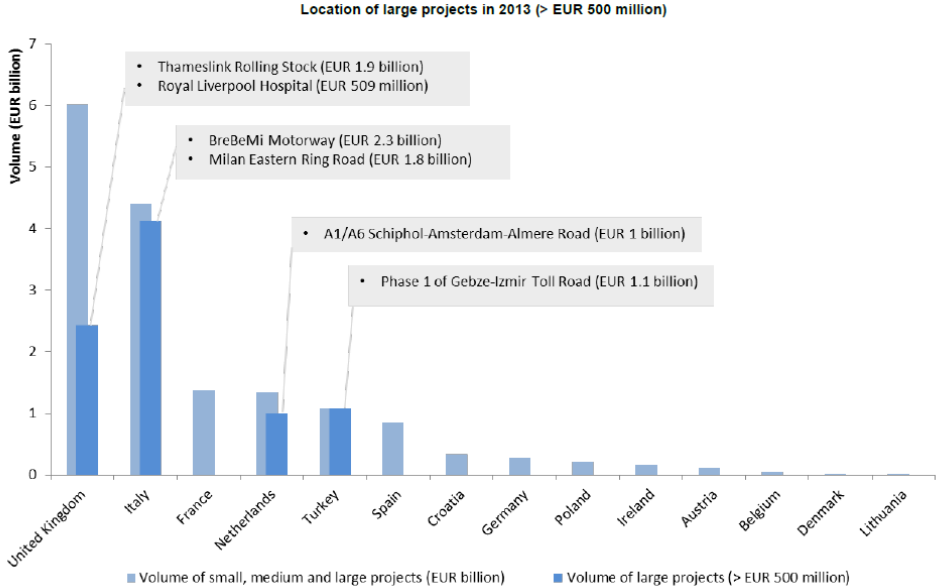


Figure 23: Location of large projects in 2013 (Source: EPEC, 2014)

In 2014, the UK remained in Europe the largest PPP market in terms of value and also for the number of projects, though there was a contraction (24 transactions compared to 31 in 2013) for a total value of about EUR 6.6 billion (EUR 6 billion in

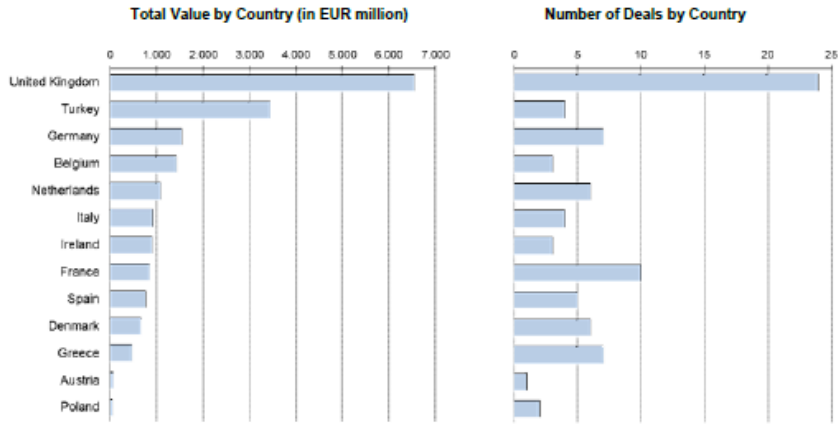


Figure 24: Country breakdown by value and number of transactions in 2014 (Source: EPEC, 2015)

2013). The country overview confirms a trend towards diversification: Turkey rose as the second largest PPP market (EUR 3.5 billion), while Germany remained among the top five countries, classifying at the third place in value terms (EUR 1.5 billion). France was the second market with reference to number of transactions closed (10 deals), followed by Germany and Greece (both with 7 deals). Overall, in 11 countries there was an closing of at least two deals (compared to 6 countries in 2013). For the first time since 2009, Greece closed seven PPP projects.

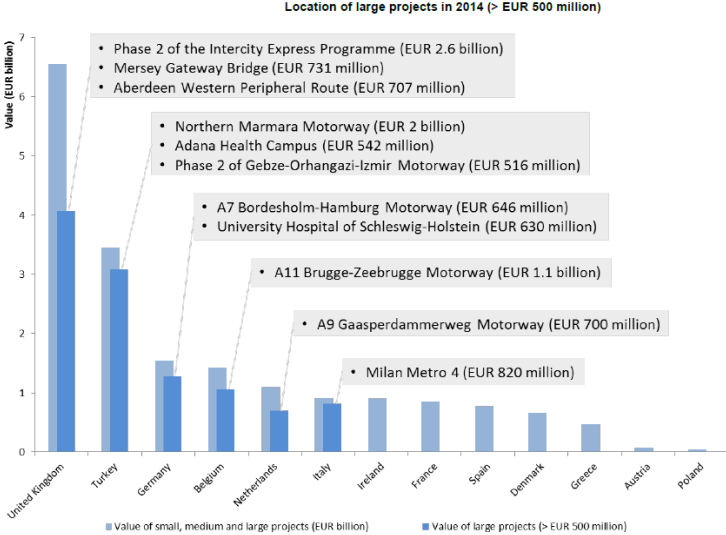


Figure 25: Location of large projects in 2014 (Source: EPEC, 2015)

With reference to the sectoral analysis, the though transport remained the most dynamic sector in value, representing two thirds of the total market value. The number of deals closed in the sector increased to 23 (compared to 16 in 2013), therefore it was also it the most active sector in terms of number of projects also. Upward trends are observed in healthcare (second largest both in number of projects

and value: 15 transactions worth an aggregate value of EUR 2.2 billion). With reference to the education sector (the most active sector in 2013 in terms of deal number) the number of transactions decreased by 33% (14 transactions); nevertheless, the sector was ranked as the third most active sector by number of deals.

Finally, the figures on the incidence of large scale projects, seems to endorse the diversification of small and medium scale projects especially in country that previously showed a high prevalence of large scale transactions such as Italy or Greece, and that just emerged in the PPP market.

Figure 1: European PPP Market 2005-2014 by Value and Number of Projects

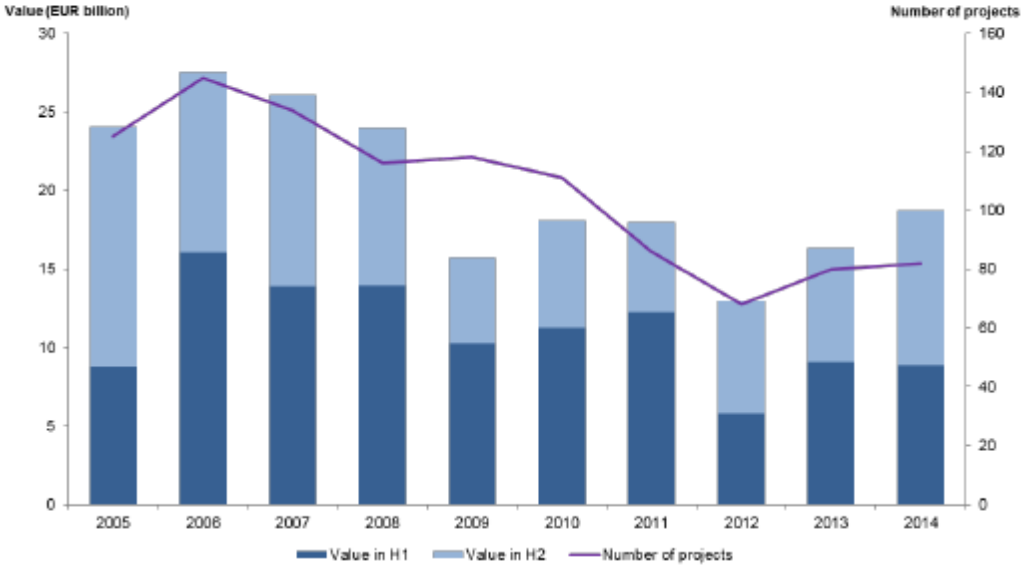


Figure 26: european PPP market 2005-2014 by value and number of projects (Source: EPEC, 2015)

The last market updates available at the time this analysis was carried out, are those related to the first half of the year 2014. These data seems relevant since they portraint a changing scenario in the European PPP market and trends of evolution. In general,

looking at the overall data of the period 2005-2014, the market trends went from a peak in 2006 to a significant decrease in the years following the financial crisis, in particular 2009 and 2012, with a slight rise in 2013 and 2014.

Summing up the previous analyzed data per year, the trend of PPP in Europe shows some developments that are consistent with the hypothesis carried out in the theoretical analysis and confirmed by precedent investigation in the field. Overall, the crisis impacted on PPPs in terms of diversification of PPPs in terms of countries involved, with the emergence of new markets such as Greece, Turkey, Italy alongside traditional PPP countries such as the UK, Germany and France. This diversification trend is showed also in the diversification of the type of projects: the transport sector confirms as the most relevant sector for investment on PPPs in the period, however some other relevant sector emerge, such as the education, the healthcare and the environment and general service field. PPPs in the culture and leisure sector signed an increase in 2011 and 2012; though not specific to the cultural sector, those data could be interpreted as a reaction again the crisis with attempts to rediscover PPP projects for culture and leisure. However, further discussion on this point will be carried out in later sections of this work. Finally, the diversification is reflected also in the scale of PPP projects: a general upward trend towards the use of small/medium scale projects was shown especially in those sectors, such as education, general public services that are in general more related to the territory and the communities, and that could be considered as the basis for the emerging governance systems and management models at the *meso* level that have been identified in previous analysis.

The analysis of the available figures on the trends of development in PPPs in Europe in general also shows another critical point for PPPs in the cultural sector: the general lacking of specific analysis on this field in terms of PPP and the fact that culture is considered among the general public services, overlooking its potential value in the new ecosystems created from the impact of the crisis.

Is this approach correct? What is the changing perception of PPPs in the cultural sector emerging over the last years and in general how is public-private cooperation perceived over the last years?

The changing of the European policies on the cultural sector and on PPPs in the cultural field as impacted by the crisis could provide interesting insights on that issue.

CHAPTER IV

EMPIRICAL EVIDENCES

INTRODUCTION TO THE EMPIRICAL RESEARCH

The empirical research was implemented on the basis of the premises highlighted in the theoretical investigation and consistently with the research methods for qualitative analysis .

As highlighted in the chapter on the research methodology, this empirical part was based on a case study analysis developed in four European countries (France, Germany, the UK and Italy) identifying in each country two case studies, one at the *micro* and one at the *meso* level.

Each of the following sub-chapters presents the results of the analysis carried out in each country. Each sub-chapter provides first an overview of the developments and main features of the cultural sector in the country, with references to the development of public-private collaborations, that is considered necessary to understand the national context in which each case study was implemented. Then, the results of the analysis of the case studies at the *micro* and at the *meso* level are presented.

As for the *micro* level, each case study is presented focusing on the profiles of governance and management of the project. This analysis is preceded by information on the *meso*/territorial context in which the PPP was implemented, in order to allow inserting the *micro* PPP in the *meso* ecosystem of its area. This first part allows considerations on the integration of the *micro* PPP project in broader ecosystem approaches and initiatives at the local level. At the end of the analysis of each *micro*

PPP case, some remarks are made on the peculiarities of the project and on the main contribution to knowledge that our analysis makes.

As for the *meso* PPP case studies, each section presents a first overview of the context and main features of the *meso* PPP underlining how the public-private partnership is implemented through a MSP (Multi-Stakeholder-Partnership) model. This analysis is followed by an in-depth analysis of the adopted governance system. In addition, the research attempts to provide insights on the development of ecosystem perspectives in the MSP project according to the perception by the main stakeholders of the project: the results of semi-structured interviews with key players of each area are presented in order to identify the perceived potential of the MSP for the cultural sector of the territory, its perceived and potential difficulties and the the actions to improve the MSP in the future, in the perspective of creation of cultural, social and economic value for the territory. Consistently with the structure of the analysis, the section ends with some concluding remarks on the *meso* MSP project.

Each chapter ends with some concluding remarks on the PPP and MSP development in the cultural sector in each country and relating it to the broader development and rethinking processes of the governance systems and the management model of the cultural sector.

4.1 THE DEVELOPMENT OF PPPs IN THE CULTURAL SECTOR IN FRANCE

The aim of this chapter is to investigate the development of public-private partnerships in France with reference to the cultural sector and to interpret the development of public-private cooperation in the broader framework of the development of the cultural sector in the country. More specifically, the analysis aims at verifying whether the current debate on the changing paradigms of the cultural governance and cultural management is consistent with the development of the governance models in this country. This issue is explored by means of a case study analysis based both on *micro* and *meso* perspective.

The *micro* case study analysis focuses on a project of public-private partnership implemented as cooperation between the Louvre-Lens museum and the private company Orange for the development of IT tools for the museum. The project is examined under the profile of governance and management, but it is also inserted in the broader project of urban regeneration through culture that aimed at relaunching the image and the socio-economic situation of the *Nord-Pas-de-Calais* region where the museum is located. The analysis therefore inserts the project as part of a multi-level development strategy based on ecosystem approaches to culture that was implemented through a multi-stakeholder partnership governance structures that aimed at coordinating the various regeneration initiatives of the region.

As for the *meso* analysis, the chapter explores the case study of the *Climats du Vignoble de Bourgogne*, a loosen multi-stakeholder partnership project that was implemented in the framework of the candidature of a territory in the Burgundy region to the inscription of the UNESCO World Heritage Site list. With analogies to the *micro* level analysis, the research will focus on the profiles of the governance of this public-

private-civic partnership and provide information of its management structure. Moreover, the research questions how the project reflects ecosystem perspectives and how these perspectives are perceived by the key actors involved, in order to identify development features for potential future improvements of similar multi-stakeholder partnership projects in the cultural field.

In order to provide a more complete overview of the changes on the governance systems and management models of the cultural field in France, an overview of the development of the cultural sector in the country will be provided, with specific reference to the development in recent years as impact of the economic and financial crisis and to the development of public-private partnerships as part of the broader cultural strategies of the country.

4.1.1 OVERVIEW: THE DEVELOPMENT OF THE CULTURAL SECTOR IN FRANCE

As pointed out by many authors (Bianchini & Parkinson,1993; Andres and Chapain, 2012), the cultural sector in France was traditionally characterized by a strong role played by the central state, that started during the thirteenth century and was expanded in the Renaissance period through Royal cultural policies sponsoring artistic creation and promoting artistic productions. This orientation of policy was characterized by some exemplary measures such as the adoption of French as national language (1539), the creation of research structures such as the *Collège de France*, *Académie française* or the National Library as well as the support to organization in the visual and performing arts field such as the Louvre Museum and the *Comédie-Française*. *In General*, to arts organizations and artists was a significant feature of French policies, and was reinforced after the French revolution in 1789 and in the 3rd Republic also through the design of administrative bodies such as the Fine Arts Secretariat (19th century) or the Ministry specifically in charge of culture in 1959.

France's first ministry of culture was André Malraux (1959). His influence on the development of cultural policies in the country was based on a clear mission statement based on ideas of heritage protection, but also of promotion of contemporary artistic products, and use of heritage and arts as a vehicle to enrich the nation, to educate its people through the broadest access to cultural resources. As he outlined in the founding decree, "*the ministry in charge of cultural affairs has the role of making available capital works from humanity, and initially from France, to the greatest possible number of French people, of ensuring the largest audience for our cultural heritage, and of supporting the creation of the spirit and works of art which enrich it*" (Decree n. 59-889, known as the "founding decree", of 24 July 1959). Malraux's ambitious project aimed at promoting participation and artistic creation through the setting up of Arts centres in the 96 French counties (called *département*). A total of 9 Arts Centres were concretely implemented during its political mandate.

After the end of his role as Minister of Cultural Affairs in 1968 the power of the Ministry of Culture gradually decreased, and the projects of territorial decentralization, *déconcentration* of the state administration impacted also the cultural sector: regional directorates of cultural affairs (called *directions régionales des affaires culturelles - DRAC*) were created in three regions in 1969 and with the following laws implemented since 1982. Decision making in cultural and economic development have been gradually shared, decentered from the national level to local authorities over the last fifty years. The resulting network of regional directorates of cultural affairs operated with other local authorities, some of them being newly created (regional councils, *départements* councils). Moreover, major education and training institutions were established or restored (among them, the *École nationale supérieure de la création industrielle (ENSCI)*, *Institut national du patrimoine* (heritage), the two *Conservatoires nationaux supérieurs de musique* in Paris and Lyon as well as the *École du Louvre*), and arts education programmes were implemented in schools introducing subjects such as theatre or cinema, trying to implement art education for

children and young generations. In general, the period showed an increase in the awareness about cultural policies and in the accessibility of culture. Moreover, a program of "*Grands Travaux*" was started during the mandate of François Mitterrand, such as the ones for the National Library, the Grand Louvre or the Bastille Opera House.

in the following decades, though maintaining a strong culture-centric approach to cultural policies in contrast with other econo-centric perspectives implemented in Anglo-Saxon countries (Andres and Chapain, 2012; Chapain and Comunian, 2010), the country witnessed a growing emphasis of the links between culture and economic development that could be related to the interpretation of culture according to "instrumental perspectives" (Vestheim, 1994). This turn has been characterized by the rise of cultural industries consistently with other trends in Europe and in the interpretation of culture as a driver for local socio-economic development. In this framework, culture was increasingly recognized as an economic sector, and cultural and creative industries and activities were supported through public funding; fiscal reforms were implemented.

As underlined by Chapain et al. (2010), the rise of the creative industries in France was reinforced at the beginning of the new millennium also in relation to the spread of the theories of Florida and the key concept such as the creative class (Florida, 2002). Furthermore, since 2000 CCIs gradually started to become strongly associated with culture in cultural initiatives (Stiegler, 2006; Pignot and Saez, 2010) consistently with what happened in other European countries such as Italy (Bertacchini, 2011). Culture was indeed increasingly being interpreted in terms of its territory, as a component of local economic development and creation of urban regeneration and regional relaunching strategies. In addition, in recent years, the culture centric approach has nevertheless seen the progressive decentralization of state control over culture and a growing role of the local and regional authorities especially in terms of cultural funding. In 2010, the role of cultural authorities (regions, departments, municipality

above 10,000 inhabitants) has in terms of expense reached 7,6 billion Euros, with the various municipal authorities covering around 73% of these expenses, the department 18% and the regional authorities 9%. Compared to 2006, the local cultural spending rose almost 10% or 2.3% per year in the country. Moreover, local authorities are not only managing relevant cultural sites but are also encouraged to draw their cultural policies, together with county and regional authorities.

As a result, systems for territorial cultural policy have been based on multi-level agreements and partnerships: between the state and the various local authorities, as well as among public departments and cultural agencies and institutions. Territorialized cooperative governance schemes based on agreements and partnerships have been implemented (Andres and Chapain, 2012).

Both the instrumental turn in cultural policies in France and the increased role of local authorities have been particularly significant for the development of public-private partnerships in the cultural sector in the country. On the one hand indeed connections between the different levels of government have been matched by increasing cooperation between public and private agencies (Andres and Chapain, 2012). On the other hand, the local authorities have implemented close relationships with local cultural actors (often associations or professionals) in order to implement local cultural projects and cultural strategies. Though culture is still perceived as a public/merit good rather than as a profitable commercial activity, the emphasis put on cultural and creative industries has led to the implementation of cultural projects related to economic activities such as tourism, often in cooperation with a multiplicity of stakeholders thus promoting

In the framework of these developments, CCIs, culture and local and regional authorities have collaborated to develop local regeneration strategies in many cities also following important opportunities that were generated by European funding in particular European Structural Funds and the funding provided through specific development initiatives such as the European Capital of Culture programme. Cities

such as Marseille or Lille have indeed interpreted flagship initiatives of the ECoC program as a chance to implement broader relaunching and rebranding strategies, integrating cultural and creative industries with other stakeholders as well as with other cultural heritage project for example for the UNESCO World Heritage Sites. According to Andres and Chapain (2012), this integrated strategies, developed through multi-stakeholder, multi-level governance arrangements at the local level represent the most recent trends in cultural policies that combine the traditional notion of “Culture” with a more updated, wider of culture and created activities, cultural heritage and related sectors as an ecosystem of connections that should be managed collaborative governance schemes within the different stakeholders, both public, private and civic. These approaches could become consistent renewal strategies through the implementation of appropriate governance structures that interpret culture as a system interacting with the broader territory as part of urban renewal and integrated governance approaches (Saez, 2008).

This new trend of approaches to culture as integrated to cultural ecosystems to be managed through multi-stakeholder public-private partnership will be investigated more specifically in the case study analysis carried out in the following sections of this chapter.

4.1.2 MICRO LEVEL: LOUVRE LENS AND ORANGE FOR THE DEVELOPMENT OF DIGITAL PROJECTS

Consistently with the trends of development of the cultural sector identified in the country overview, the empirical research at the *micro* level has aimed at analyzing a case representing a significant public-private partnership at the project level in the cultural field but that could also be linked with broader strategies of renewal and development through culture.

A public-private partnership project presenting these characteristics is the one implemented by the Louvre-Lens museum and the private company Orange operating in the IT and communication technologies sector. Though project-specific, the public-private partnership seems interesting since it foresaw the collaboration of different subjects in addition of the two main partners and because the collaboration implemented at a *micro* level for innovation reflected a broader scheme of multi-level governance structure that aimed at relaunching the city of Lens and the surrounding area by means of culture and by rebranding it as a territory for innovation and creation of innovative digital start-up in the cultural and creative field.

The analysis of the public-private partnership project, aiming at delineating its governance and management schemes, is therefore matched with a broader overview of the integrated cultural governance bodies implemented in the region and on the results that the Louvre Lens was able to generate for the relaunch of the territory by means of ecosystem approaches to culture.

In the framework of cultural strategies in France, the creation of the museum Louvre-Lens is part of strategies aiming at making culture more accessible and decentralized. The Louvre Lens museum was opened in 2012, in the framework of a broader decentralization program of the French Ministry of Culture, aiming at improving the accessibility to culture in peripheral French regions. The project for the creation of a branch of the famous Louvre museum in Lens was however more than that: it was based on new technology application, the use of advanced project management skills, as well as fostering and promoting the local community awareness and understanding of its available cultural resources. The project was strongly promoted (both at a financial and political level) by the Regional Council of Nord-Pas-de-Calais, that aimed at re-launching the development of a mining area through culture; the main subjects involved often looked at the Bilbao regeneration project as a model. The Council intended to promote Louvre-Lens museum as a modern cultural

subject, creating the image of an avant-garde museum able to dialogue with the visitors and the broader local community; as a result, significant funds were invested in the implementation of digital resources and in the digital research center.

As resulting from the case study analysis, the project of re-localization of the Louvre museum in Lens was the starting point of a more general strategy of urban regeneration and tourism enhancement through culture of the whole region of Nord-Pas-de-Calais, based on the idea of promoting a new vision and image for the former coal-mining area surrounding Lens after a long period of economic and social downturn. Since 2003, the debate was centered on choosing a region that could benefit from the economic but also social point of view from the potentially positive push that such an initiative could bring about. On the one hand, the reasons that led central authorities to open the Louvre branch in the region Nord-Pas-de-Calais were mainly logistic and strategic ones: (i.e. good infrastructures and accessibility also to potential visitors coming from North-Western Europe). On the other hand, as declared by the city and metropolitan council, the choice was based mainly on objectives of cultural democratization and development through culture, as well as to give a symbolic value to the rebirth of a depressed area. The need to integrate the opening of the Louvre museum with a more general rebranding of the region driven through its cultural attractions was testified also by the relaunching-through-culture initiative in the city of Lille by means of the European Capital of Culture 2004 project, and by a renewed attention to the cultural heritage of the territory surrounding Lens. Since 2003 an association for the inscription of the mining basins of Nord-Pas-de-Calais to the World Heritage List was created; the candidature was successful and the site was officially included in the UNESCO list on June 30, 2012 just a few months before the opening of Louvre-Lens museum. Furthermore, the regional and local authorities decided to fully exploit the potential of the new museum through the setting up of a governance structure for territorial planning in charge of guiding, supervising and supporting a sustainable and integrated development of the area. On the basis of other territorial planning experiences in the region (such as *Euralille*, a development project for a commercial area in Lille), in 2009 the *Euralens* association was created

as a permanent forum of discussion among the main subjects of the area. The goal was to promote a consistent and integrated planning for a territory including 113 municipalities, with 8 poles of excellence surrounding the cities of Lens, Béthune ou Hénin-Beaumont, an area extended over 760 km², with a population of around 576000 inhabitants. The activities of *Euralens* spanned from a permanent forum for dialogue among the subjects of the Lens area, till the promotion of entrepreneurial initiatives. Though the funding for its management are mainly coming from public authorities (local, departmental and regional), the association is also member-funded, with members both public, private or civic: local authorities (both at the regional and city council level), a variety of very diverse stakeholders including local universities, cultural associations (the most important local theatre association Culture Commune), tourism associations (e.g. the Mission Bassin Minier, the above mentioned agency in charge of the enhancement of the ex-coal-mining area), and the Chamber of Commerce of Artois. The structure of the association was based on an equal participation of its different members, but a Quality Circle (Cercle de Qualité) was established to give advice on projects and initiatives. The association has so far identified 5 priority lines of actions and promoted the creation of 6 clusters in the territory (logistic, digital services for culture, eco-products, sports and leisure, crafts, and the newly created cluster of services for senior people). *Euralens* promoted also the creation of “*Euralens* label”, a quality certification that aimed at creating a common branding for the enterprises of the territory belonging to different domains (event management, citizens’ initiatives, education and training, culture and creativity, etc.). Moreover, the label aimed at stimulating networking among the different entrepreneurial initiatives in order to increase the innovation capacity of and the job creation in the area. Similar initiatives were implemented also after the opening of the museum in order to create an entrepreneurial environment that could support the development of the image of the museum through cultural and creative industries. A clear example of this strategy was the identification of the critical needs of the area: a significant example of a long-term action to rebalance development was the creation of the *Louvre-Lens Vallée* association (funded by the main local authorities of the area) with the aim of promoting the creation of start-ups in the cultural and creative

sector and to stimulate the networking and synergies among actors operating in this field. The association points to the awareness that cultural and creative industries (Baudelle & Krauss, 2014) are essential to establish a thriving environment around the public cultural initiatives and fulfilling the potential and attractiveness of the area (Florida, Mellander, & Stolarick, 2008). As explained in details in the previous paragraph, this rich and multifaceted environment was conceived for sustaining and reinforcing the opening of the Louvre-Lens museum, and for fully exploiting its potential. The networking among the various subjects (mainly public authorities) that was established in the territorial governance bodies was reflected also in the funding structure and in the governing bodies of the museum. As for the funding, the construction of the Lens museum implied an investment of 150M€; the majority of the costs (60%) were financed by the Region Nord-Pas de Calais, 20% by the ERDF - European Regional Development Fund, 6% by the Pas-de-Calais Department, 6% Communauté d'agglomération of Lens- Liévin and City of Lens, 5% from private sponsors, 4% from the Central Government. The composition of the sponsors is particularly interesting: there are exceptional sponsors (e.g. Veolia and Crédit Agricole, Nexans, Orange), local banks and retailers, but amazingly also the Great Lille Chamber of Commerce and Industry, that interpreted the museum in Lens as enhancing the cultural potential also of the city of Lille rather than as a possible competitor and decided to favor it in order to contribute to a geographically balanced development. As for the governance structure, the Louvre-Lens had two main governance committees: a steering committee, in charge of defining the vision and strategy of the organization and an operational committee, in charge of the strategy implementation and running of the museum together with the museum's staff. The steering committee brings together the main public subjects of the region; significantly, the president was also the president of the regional council (not the city council as in other similar cases), while the president of the Louvre museum in Paris was appointed of overseeing the operational committee; however, Louvre-Lens was given a certain degree of autonomy and an own head.

The scientific and cultural team working in close connection with the operational committee, ensured proper running of the project. In the implementation phases, an

“appropriation committee” was in charge of helping the new Louvre in creating strong links with the surrounding area and ensuring its embeddedness with the local communities.

4.1.3 GOVERNANCE AND MANAGEMENT PROFILES

The overview of the governance structures created around the Louvre Lens project could be interpreted as the basis for understanding the governance and management schemes, as well as the ideological framework of public-private partnership project developed by the Louvre-Lens and the company Orange.

As highlighted in the previous analysis, the Louvre in Lens aimed at promoting an image of modern museum, based on an innovative use of new technologies that improve a more accessible, intuitive use of the cultural heritage of the museum to the community of visitors and local citizens. The collaboration with companies operating in the digital and new technology field was considered essential in developing this image and the collaboration with IT related projects in the cultural and creative field (such as the Louvre Lens Vallée) was considered as a key point in the promoting of this concept. However, traditional collaboration that were established as previous sponsorship schemes by the central branch of the Louvre museum were also used to promote this image.

In particular the collaboration with the company Orange, that was a long-standing sponsor of the Louvre Paris and provided also significant funding for the Louvre Lens was called for a shift from traditional sponsorship to a more articulated public-private partnership implemented both at the project governance level and at the managerial level. Indeed, in order to implement the digital strategy of the museum, the company Orange was involved as a technical collaborator but the provision of this technical consultancy was interpreted as a joint implementation and management of the project

that foresaw a continuous sharing of skills, competences and staff between the private and public subjects.

This intertwining of competencies, is reflected at different level. In terms of governance, the project set up a specific governance structure in charge of the developing of the project. This partnership, indeed was intended for the long term, and the committee in charge of it was required to balance among the different actors involved in implementing the museum digital strategies and the specific project for the implementation of the digital interface and virtual guide for the museum. As a consequence, the governance committee in charge of steering the strategy and the various digital initiatives, was composed by the two main authorities that have been involved in the implementation of the broader strategy for the creation of the Louvre museum branch in Lens: the central Louvre museum and the Nord-Pas-de-Calais region. However, this two public authorities were represented at the governance level together with the private partner, Orange.

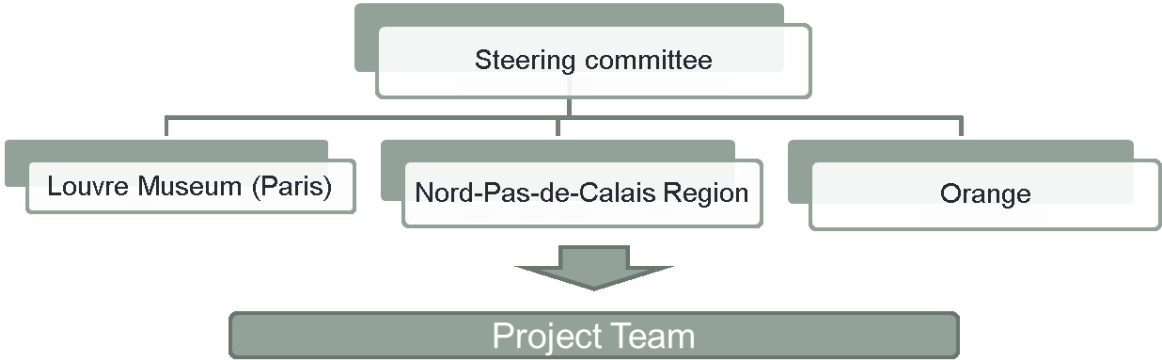


Figure 27: Governance of the PPP project (Authot's elaboration)

The governance committee could be interpreted therefore as attempting to provide a representativeness of both the public and private partner, though granting a higher

power to the public authorities (more specifically the cultural authority and the political regional authority). However, since the private partner was involved in this governance body, at the governance level we could interpret the partnership structure as an attempt to rethink the traditional sponsorship relation that Orange had previously established with the central Louvre museum in Paris and as a funding subject for the establishment of the museum in Lens. Nevertheless, the governance committee however, shows just partially tendencies through cross-sectorial partnerships and ecosystem perspective that have characterized over aspects of the implementation of the Louvre Lens project. Just three actors are involved and there is still a prevalence of public partners over private ones.

Under managerial perspectives instead the case of the public-private partnership between Orange and the Louvre Lens opens up to ecosystem perspective and multi-stakeholder involvement. The steering committee of the project was indeed representing the multiple stakeholders related to the development of digitization strategies that were operating at a territorial level in the Lens area. In order to manage the project, a multidisciplinary working group dedicated to innovation was set up. The team undertook joint research to invent new mediation interfaces; more specifically, under the guidance of Orange, a mixed group comprising a variety of subjects was created to manage and implement the project of a multimedia guide and a mobile app guiding visitors inside the museum. On a formal level, the management of the project was assigned to Orange Lab and Louvre Lens, and carried out through the creation of an «equipe du project» composed by the main public actors involved in the museum creation (represented by a total of nine members coming from the Louvre Museum, Louvre Lens Museum, and the Regional Council of Nord Pas de Calais), a large group of collaborators coming from the private enterprise Orange (for a total of eight people ranging for the director of the department of new interfaces to the person in charge of the partnership development) and enterprises working mainly for supervising the many, different technical aspects of the project (On Situ, Polymorph, Mazédia, Art Graphique et Patrimoine, Antenna International, Sycomore). The practical implementation of the multimedia guide and

app was carried out by a more restricted team, who could be considered the «heart of the project» and consisted of six people. This group were under the supervision of a project manager hired specifically for the project and coming from the enterprise On Situ; the team included two members of the Louvre Lens, who were respectively the manager of the Resource Centre and the person in charge of the implementation of the multimedia program, a representative of the Louvre museum who was specialized in the development of media projects, two representative from Orange who were respectively an ergonomist and the director of the project design, and a member of another private company, Polymorph, who was the technical director of the media and 3D applications.

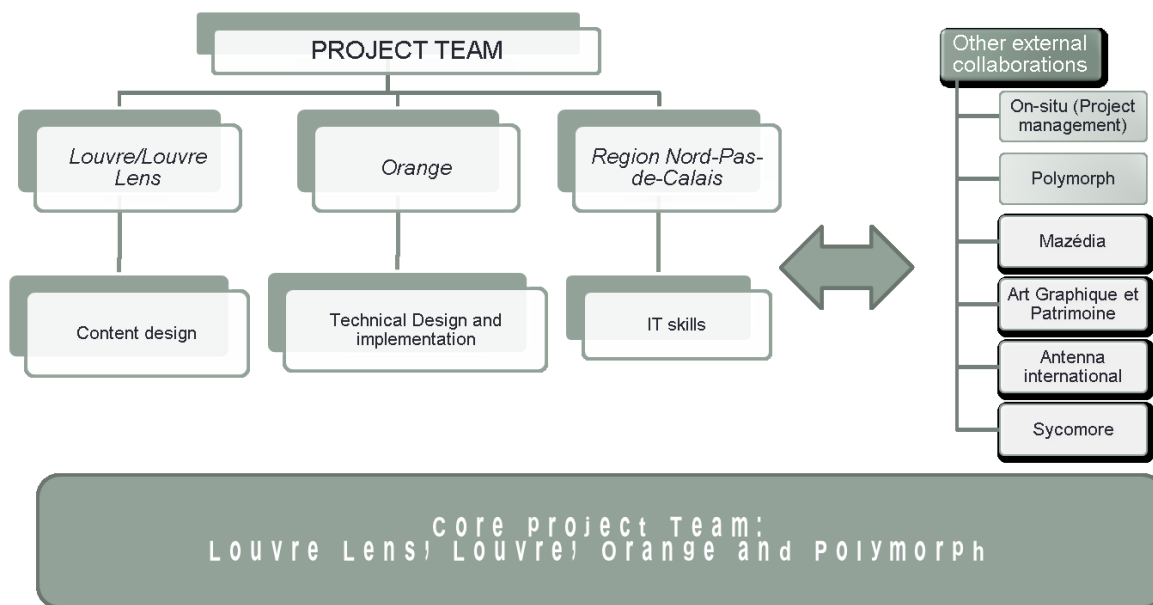


Figure 28: management of the PPP project (Author's elaboration)

This collaboration produced encouraging results, emerged in a study presented in 2014 where the enthusiastic responses of the visitors of the museums highlighted the

useful approach that the multi-media guide provided to the arts pieces of the museum, as well as the enhancement of the museum image and branding. Moreover, the success of the partnership between Orange Labs and the Louvre-Lens has leveraged the implementation of other mediation projects carried out together, that use new interfaces (i.e. a gestural 3D project involving the use of 3D glasses, a prototype of smartphone used as gestural remote control, prototypes of 3D touch tablets) and call for an active involvement of the visitors as both “testers” and prosumers of the diverse projects.

Moreover, the data on the impact of the Louvre Museum in the territorial development showed that the integration of the initiative in the broader development strategy brought to a balance territorial development around the museum. At the end of 2014, a report issued by *PIC – Platform d’Intelligence Collective* on the impact of the Louvre-Lens initiative on the territory showed that the strategy to coordinate the different subjects and to diversify the economic activities according to a development plan carefully studied by a central governance body impacted in the economic and tourism relaunching of the whole region. While focusing mainly on the results obtained by the Museum, this report highlights also other encouraging data regarding as the number of tourists coming from outside the region (around 51% of the visitors of the museum in the first year) and the growth of the average spending per visitor (91€ per person). Moreover, 42% of the hotels and accommodation facilities in the area declared an increase in their turnover in 2013 after the opening of the museum. Louvre-Lens has also worked as attractor of other cultural projects, both from private investors (e.g. the opening of an artist in residence program near the museum by the Pinault Foundation or the renovation of an important bookstore In Lens) and public (e.g. 20M€ were invested by public authorities to renovate infrastructures in Lens). as well as benefits for the museums of the area surrounding Lens, as displayed in the table here below.

Museums of the Nord-Pas-de-Calais region	Number of visitors before the opening of Louvre-Lens (average number in the 3 year period 2010-2011-2012)	Number of visitors after the opening of Louvre-Lens (2013)	
Musée des beaux-arts d'Arras	76268	137590	+80%
Palais des beaux-arts de Lille	212673	225800	+ 6%
LaM (Villeneuve d'Ascq)	142267	151890	+ 7%
Centre Historique Minier de Lewarde	150245	159470	+ 6%

Table 1 – Number of visitors of the museums in Nord-Pas-de-Calais region

The document pointed also to the objectives reached in terms of perception of the project by local communities, highlighting the good initiatives carried out with schools and universities in the region. Indicators showed a good level of satisfaction by the citizens: 80% of inhabitants declared that the new museum made them proud of their territory and 60% declared their life has improved since the creation of the museum.

4.1.4 CONTRIBUTION TO KNOWLEDGE: MICRO PROJECTS IN A MESO PERSPECTIVE

In sum, the project regarding the implementation of interactive guides and IT technologies for the Louvre Lens museum was implemented through a public-private partnership, between Louvre Lens and Orange with a governance and management model that attempted to overcome traditional sponsorship relations between the Louvre Museum and Orange and that increasingly reflected the ecosystem, multi-stakeholder approaches at the basis of the relocation of a branch of the Louvre museum in Lens. The partnership could be considered representative of a rethinking of the role of traditional sponsors towards more integrated public-private partnership frameworks and of the integration of PPPs at the *micro* level in broader PPPs and

MSPs governance schemes at the *meso*/territorial level The contribution provided by the private company Orange indeed was reflected in the involvement of this private subject at the governance level, together with the two key authorities that were involved in the Louvre Lens broader project. The analysis of the management structure, more specifically of the project management team highlighted an attempt to enhance the competences of both the public and the private partner but also to foster the collaboration with other subject operating in the territorial level, in a cross-sectoral, multi-stakeholder perspective.

On a broader perspective, the PPP project was considered as part of the MSP project regarding the opening of a branch of the Louvre in the city of Lens, carried out as a part of the wider regional development initiative as well as through fostering the local community around the new museum. The focus of the regional policy was on the revitalization of the region, and therefore its main objectives were social and cultural, as well as promoting balanced development and overcoming competitive approaches. Multi-level, multi-stakeholder partnerships were implemented to build this strategy and each project was integrated in broader development strategies that demonstrates the importance of the concept of embeddedness of the cultural institution within the region. The Louvre Lens was interpreted in the framework of a cultural ecosystem perspective, promoting multiple and innovative links with private enterprises, local communities and other local initiatives. The institutional context and the governance models mirror this innovative approach, at the same time taking inspiration from and rethinking other significant experiences in the field, such as Bilbao or the Ruhr region. This ecosystem perspectives overcoming traditional *micro* approaches and promoting coordination in terms of territorial ecosystems at the *meso* level, were partially mirrored also in each *micro* projects such as the one.

The level of citizens involvement seems still to be developed both at the *micro* level (in our Orange-Louvre Lens PPP project) and the *meso* level through more participative and collaborative initiatives at each level of the governance scheme. This specific issue however since to be perceived by the main stakeholders of the project

since the most recent initiatives related to the digital strategies of the museum show a development towards collaborative initiatives with the visitors and local communities.

4.1.5 MESO LEVEL: THE *CLIMATS DU VIGNOLE DE BOURGOGNE*

The research carried out at the *meso* level, aimed at contributing to the debate on PPP governance models at the territorial level, investigating the consistency of the trends identified in literature. More specifically, the research aimed at studying a public-private partnership project implemented through a territorial governance perspective that integrates various actors in a multi-level, multi-stakeholder perspective; the case study has been selected because it seems in line with the theoretical debate on the rethinking of PPPs in the cultural sector towards multi-stakeholders partnerships based on the integration among public, private and civic subjects.

Based on the above mentioned characteristics, the PPP/MSP project for the candidature to the UNESCO World Heritage list of the area of the *Climats du Vignoble de Bourgogne*, a region located in Central France, was selected. This multi-stakeholder cooperation based on cross-sectorial perspectives was implemented since 2007 in the *Climats* territory through a management structure called *Mission Climats*, within the framework of the broader project “*Climats du Vignoble de Bourgogne*”. The partnership is designed on the wider definition of culture, that overcomes restricted approaches related to the arts sector to comprise a definition of culture in terms of cultural identity of a territory, a complex ecosystem of various actors interacting with culture related sectors in a dynamic approach. The *Climats* project has been chosen since it is considered a relevant case of new emerging patterns of local *meso* development though culture pointing to the insertion of culture in broader governance system for local enhancement and fostering the socio-economic development through the rediscovering of the common cultural identity. In

fact, in the area a higher intertwining of different cultural aspects (tangible and intangible cultural heritage, viticulture, monuments, cloisters, historical city centers, etc.) that are being fostered through cultural ecology approaches at the territorial. The association in charge of managing the project, the *Mission Climats*, as well as the other governance structures related to the implementation and management of the partnership have been designed as strategy dialogue platforms. Their main function is therefore to foster common strategy development, debates and reciprocal knowledge among its members. Various initiatives aiming at increasing the level of networking among the diverse participants and permanent forum for discussion and communication with citizens and local communities are significant examples of the activities of the MSP.

The investigation carried out on this partnership focused not only the governance of the project, but also the perception by the different members, their motivations in undertaking the project and their level of engagement, with special attention paid to the inclusion of the communities. Consistently with the approaches outlined in the previous chapters, this analysis has been carried out focusing not only on the governance system of the project but also by means of a broader empirical investigation based on a series of interviews with relevant local stakeholders. This empirical investigation has been performed through semi-structured interviews with three main categories of stakeholders located in three key areas involved in the project, thus ensuring a coherent geographical distribution of the research sample. Concluding remarks are then drawn on the development of this multi-stakeholder project: the case is interpreted in terms of its capability to foster sense of belonging and cohesion among various local subjects and to implement a model of cultural MSP that points to trans-sectorial, eco-system approaches.

The investigation aims at understanding if multi-stakeholder public private partnerships perceived as a viable system for the governance of the cultural sector and exploring the perceived potential advantages for the local communities, as

perceived by the different stakeholders involved. The research objective however is also to shed light on existing and potential difficulties encountered in establishing the multi-stakeholder partnership in the framework of the *Climats* project and the way forward to overcome those difficulties and build enhanced and more stable collaborations among the different partners. The aim is also to understand the role of new governance systems and management models at the *meso* level in the redefinition of the structure of the cultural sector in France and, on a broader level in Europe.

The empirical research and the interviews were carried out between November and December in 2014 in a selected sample of the members of the partnership.

In order to better understand the existing and emerging models of interaction in the cultural sector, an empirical research was carried out in the region of Burgundy in France, concerning a multi-stakeholder partnership project in the cultural field. This MSP project was designed to support the candidature to the UNESCO World Heritage list of the area of the *Climats* (a mosaic of small vine plots) of Burgundy; this area, covering the territory from Dijon till Côte de Nuits and Côte de Beaune, represents a relevant example of the intertwining of different aspects of culture (tangible and intangible, viticulture, monuments, cloisters, historical city center, etc.); the vineyards are still an importance resource for the local economy and local winegrowers are among the most recognized and celebrated wine producers.

The research was carried out in two main phases, according to a qualitative methodology, with the objective to shed light on how the research topics were manifested within the area of the research (Denzin and Lincoln, 2006).

The first phase of the research was based both on document analysis, artifact analysis (Yin, 2003) and preliminary interviews. It aimed at comprehending the governance and management models of this multi-stakeholder partnership, the role played by the various stakeholders (with special focus on local communities) and on the initiatives aiming at involving local communities and citizens according to collaborative governance perspectives. The second phase of the research was based

on an empirical study of the stakeholders' perception of the potential and difficulties of the partnership and on the actions to improve the collaboration in the future.

A total of nine semi-structured interviews was implemented in a research sample comprising three categories of interviewees: decision-makers (mainly politicians in charge of cultural policies for their local authorities), cultural managers (either from the public and the private sector), and representatives of other stakeholders (community representatives, local cultural association and private enterprises) belonging to the three main cities of the *Climats* region (Dijon, Beaune and Nuits-St. Georges).

As mentioned above, the preliminary analysis included open interviews with the director of the *Mission Climats*, as well as with public officers working of the main local public authorities of the area, and intended to shed light on the main features of project and its evolution over the years.

4.1.6 GOVERNANCE PROFILES AND PERCEPTION OF THE PROJECT

The project for the candidature of the *Climats de Vignoble de Bourgogne* territory to the UNESCO World Heritage List started in 2007. Initially, talks and meetings were held to discuss the project. These meetings were mainly informal and promoted as initiatives of the main municipalities of the area (Dijon, Beaune and Nuits-St.-Georges) and only in 2011 a Territorial Charter expressing a common engagement of the main subjects and actors of the territory was signed. The statutory aim was to implement shared strategies for the management, protection and sustainable valorization of the site of the *Climats du vignoble de Bourgogne*.

This charter, was signed by 53 local public authorities on April 8, 2011: the main public subjects of the area officially engaged in implementing common actions and collaborate for the project of the UNESCO candidature. The charter is still a reference

document for the management of the site, promoting coherent actions for the conservation of the cultural, natural and socio-economic heritage of the *Climats* area. Governance was entrusted to a Territorial Conference, bringing together all the public authorities operating in the territory. This conference has territorial perspective and its initiatives, strategies and policies are supervised by Technical and Scientific Commissions. The Charter designed a governance body including different subjects with functions spanning from mere consultation till scientific supervision and strategic decision-making. According to the information delivered during the preliminary research interviews, the governance bodies could be grouped in two main categories, the first explicitly created to promote citizens participation and to create initiatives for interchange among the members, toward multiple stakeholders' engagement. The second branch instead aimed at providing scientific, strategic and technical direction to the project.

The first branch consisted in the creation of an Association, called «*Mission Climats*» interpreted as a permanent forum for communication, outreach and involvement of local communities in order to create a favorable environment to the project and foster dialogue between local inhabitants and public authorities. As stated by an interviewee, «since the very beginning [the local authorities] understood the importance of creating consensus and of informing the communities that the project could bring benefits to all parties, first of all the citizens and the local enterprises, especially those of the wine sector. That was perceived as particularly important in terms of letting the citizens develop a sense of belonging and proudness of their origins and culture». A President and Vice-president (currently both local wine-makers) are formal at the head of the partnership and a board of directors guarantees a balanced representation of public local, regional or state authorities and the various economic activities of the area.

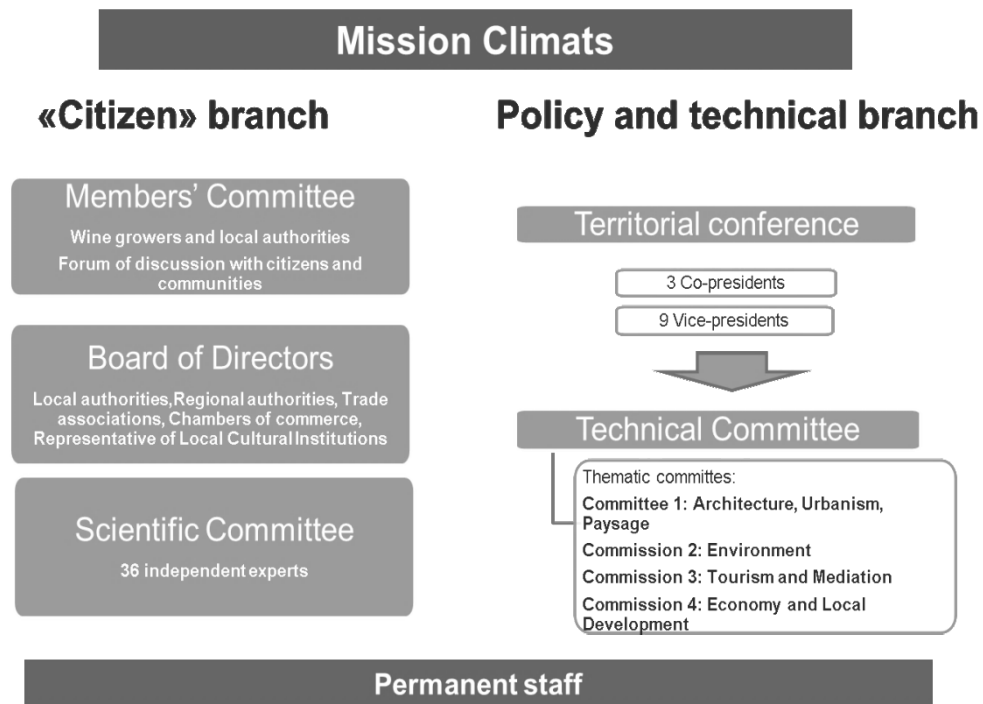


Figure 29: Governance of the PPP project (Authot's elaboration)

The second branch groups “political and technical” governance authorities of the project. It is composed by a Territorial Conference and a Technical Commission. The Territorial Conference, implemented since 2013, is based on the Territorial Charter signed in 2011, and aims at fostering the practical implementation the management plan of the site in compliance with the UNESCO standards. It is responsible for the consultation and decision-making processes in collaboration with the *Mission Climats* association. It includes public officials, representatives of the cultural and local decision makers (politicians, state officials, scientists, experts, wine professionals, trade, tourism and culture professional). Its mission is to guarantee the implementation of the action plan for the preservation, development and outreach activities related to the heritage site of the *Climats*. The Territorial Conference is co-chaired by two representatives of the main public authorities of the territory, namely the mayors of Dijon and Beaune, as well as by a representative of the wine industry. This “double identity” (public and private) is coherent with the configuration of the site and reflects the identity of the area, strictly linked with wine-making and wine-growing

industries and with a cultural and landscape heritage based on long-standing wine traditions.

The strategies set up by the Conference are carried out through the management plan elaborated by the Technical Commission composed mainly by local authorities' officials and by representative of the wine-makers associations and industries. Moreover, four commission were established, and each was supervised by one of the four urban agglomeration of municipalities ("*intercommunalités*") located in the central area of the site. More specifically, Commission 1 was responsible for the thematic area of Architecture, Urbanisme and Landscape (Communauté d'Agglomération Dijonnaise), Commission 2 was in charge of Environnement and natural resources (Communauté de Communes de Gevrey-Chambertin), Commission 3 of Economy and Local Development (Communauté de communes du Pays de Nuits-Saint-Georges), and Commission 4 of Mediation and Tourism (Communauté d'Agglomération Beaune Côte et Sud). (*Source: Management Plan for the Candidature of the site of the Climats de Vignoble de Bourgogne*). Finally, in addition to the before mentioned governance bodies, a scientific committee composed by 39 experts on culture, history, local development and on the local economic and social milieu provides scientific supervision to the project.

In terms of participation of local communities, particular focus has been put on the engagement of the citizens and local communities with a wide range of initiatives (dialogue forums for the citizens, conferences to promote the project, educational activities directed to young generations and school pupils), including specific events aiming at promoting awareness of the cultural heritage traditions of the territory, promoting the sense of belonging in local communities. Moreover, a specific program was implemented to engage the various stakeholders in supporting the project: the community was asked to actively participate in the protection and enhancement of the territory through the *Climats* project, either volunteering time or making a donation.

Communities were encouraged to become ambassadors of the candidature project and participate in the promotion initiatives also supporting the different communication and outreach activities. As stated by a member of the governance committee during the research interview, their “wish is to bring the widest possible adhesion to the project by the community of the territory. Creating a common support and increasing the knowledge of the meaning and goals of the project, means actively involve its main beneficiaries: our citizens and visitors”.

The association is managed by a permanent staff composed by three employees: one acting as managing director, one in charge of the communication strategies, PR and fundraising initiatives of the project and one in charge of the tourism and educational/pedagogical activities.

The analysis of the governance bodies and of the activities for citizens engagement were followed by a series of interviews aiming at investigating the the perception of the multi-stakeholder partnership by the different subjects involved in the project and to verify possible misalignments of perception between the various categories of partners. The semi-structured interviews were divided in three main discussion topics concerning respectively the perceived potential of the partnership, the difficulties that have been encountered during the implementation phases, and the actions to be prospectively implemented to overcome those drawbacks and ensure a better implementation of the project. The results of the research are presented in the following paragraphs.

The first question concerned the advantages and the potential of the multi-stakeholder partnership project. The majority of the interviewees agreed that the partnership was in general successful. It fostered the sense of belonging and identity in the region (89% of the interviewees) and positive spillover effects were foreseen in the long term on the economic development and the tourism potential of the area (respectively both 100%). Other potential advantages are perceived in the

improvement of the the dialogue among the various municipalities and private companies operating in the territory as well as in the improvement of local participation, in the enhancement of the role of the citizens in the promotion of their identity and in the participation to the protection and valorization of the territory. Notwithstanding the positive responses and the overall faith in the project, some interviewees were skeptical about the real aims of the initiative, arguing that for the involved political parties the main reasons were political rather than cultural or ideological, with an interviewee even saying that “this is a project that allowed politician to show off and catch more votes; it is currently bringing positive results but I doubt it will continue in the long-run”. On the other hand, the most positively-oriented category of interviewees was the “other stakeholders” that showed enthusiastic engagement in the activities and hope in the effects of the initiative on the local communities of the territory.

	Frequency in the total number of interviewees	Policy makers	Cultural managers	Other stakeholders
Perceived Potential of cultural MSP projects				
Reinforcement of the cultural identity of the region	9	3	3	3
Increased tourism appeal of the region and enhancement of its characteristics	9	3	3	3
Positive spillover effects on local socio-economic development	9	3	3	3
Improvement of local participation in joint development and enhancement initiatives	9	3	3	3
Development of better relations among the different subjects of the territory, overcoming of competitive behaviors	8	2	3	3
Overcoming of financial problems of small institutions by sharing of resources (both human, financial, etc...)	6	3	3	0
Reinforcing the orientation towards trans-sectorial perspectives and synergies	6	3	1	2
Enhancing the innovation capacity of the region through networking and joint strategic programming	6	3	2	1
More fluent communication between the subjects of the region for common initiative	4	2	1	1

Table 3: Perception of the potential of the MSP project (Authot's elaboration)

As for the second question, the most frequently mentioned difficulties were related to the belonging to opposing political parties of the representatives of the municipalities

involved. According to the interviewees this characteristic could create problems in identifying shared objectives and prevent effective dialogue among the policy makers participants. Interviewees claimed that political leaders might change other time, and consequently they might question the strategic decision taken by their predecessors. Remarkably, this problem was mentioned by all the cultural managers interviewed, and by only a policy maker. Other perceived problems were related to mistrust among the subjects involved in the project, due to different domains (public, private, not-for-profit, etc.). other issues were identified in the Interests in developing initiatives in a *micro*, isolated perspective for the single municipality or specific enterprise/cultural institution instead than ecosystem and networking and identifying common goals with other organizations. This was related by the interviewees to a general lack of habit of working together in a way that was requested by the project and in a tendency to consider the citizens as mere beneficiaries of the cultural activities but not to engage them actively and through participatory and collaborative governance approaches. Besides, it emerged that they perceived a lack of professional profiles to manage the project as well as a general under dimension of the various institution's staff that implied that they had not enough time or energy to work on the project.

	Frequency in the total number of interviewees	Policy makers	Cultural managers	Other stakeholders
Difficulties in the Implementation of cultural MSP projects				
Problems related to different political orientation and biases among political leaders in the area	9	3	3	3
Diverse administrative domains perceived as obstacles to the development of networking and collaborations	8	3	3	2
Subjects are not used to identify common goals, no co-creation of strategies but top-down approaches imposed to different stakeholders. Lack of mindset towards ecosystem working	8	3	3	2
Mistrust between potential members of the partnership	7	3	2	2
Technical and administrative problems related to communication and knowledge flow between different institutions	5	2	2	1
Balancing of benefits for each member	5	1	3	1
Lack of managerial tools conceived for working at a <i>meso</i> level	4	2	2	-

Table 4: Difficulties in the implementation of the MPP project (Author's elaboration)

Finally, the results related to the third research topic provided interesting information on what are the actions that the different partners expect for the future in order to improve the project and obtain longtime results. The majority of the interviewees argued that one of the actions to ensure long-term success to the project was to work on the fostering of the common cultural identity as the basis of the project design. Identifying common goals that could be beneficial to all the partners involved (100% of the interviewees) was another perceived key priority. The need to create a coherent plan for promoting dialogue and confrontation among the participants to enhance mutual understanding and better relationships among them was also identified as an important action along with the necessity to engage at a greater extent citizens and local communities. Moreover, the interviewees argued that it should be crucial to design a balanced governance structures that could guarantee the participation and the protection of the interests of the different partners involved, thus preventing opportunistic behaviors and decisions that would not respect the real composition of the territory and the mission of the project.

	Frequency in the total number of interviewees	Frequency Policy makers	Frequency Cultural managers	Frequency Other stakeholders
Actions to take for the Implementation of cultural MSP projects				
Identifying common cultural identity and common goals as basis and criteria for the establishment of the partnership and collaborations	9	3	3	3
Involving the different stakeholders to increase consensus around the project and increase participation of the communities and citizens	9	3	3	3
Promoting long-term plans for the implementation and development of the partnership	8	3	3	2
Creating a governance structure equally representing the stakeholders of the territory overcoming political differences	7	1	3	3
Implementing action plans for initiatives aiming at mutual enhancement and better relations among the members	7	2	3	2
Implementing periodic focus groups and discussions for enhancing networking approaches to increase the impact on the local economy	6	2	3	2

Table 5: Actions to take for the implementation of the MPP project (Author's elaboration)

4.1.7 CONTRIBUTION TO KNOWLEDGE: MESO PERSPECTIVES TO UNLOCK THE POTENTIAL OF THE TERRITORY

Overall, the results of the analysis at the *micro* level confirm that culture-based projects could work as drivers for rediscovering the sense of belonging and identity of the local community and implement synergies among the actors in the framework of multi-stakeholder partnership models.

The *Climats du vignoble de Bourgogne* project is a typical example of loose type of public-private partnership based on formal as well as informal agreements supervised by local public authorities both at the governance and management level.

The case seems particularly interesting for its governance structure, that presents a balanced representativeness of public, private and civic stakeholders. Moreover, the case represents relevant insights on the importance of cultural identity interpreted in a broader sense and in ecosystem perspectives to ensure the successful implementation of PPPs and MSPs projects in the *meso* level, moving from more restricted definition of culture towards concept of cultural ecosystems and cultural ecology approaches.

Concluding, this analysis points to the fact that multi-stakeholder partnerships are generally perceived as a potentially successful models for fostering the creation of local cultural ecosystems based on cross-sectorial collaboration among various subjects (public, private and citizens), because they can generate potential positive spillover effects on the socio-economic development as well as on the cultural identity of a territory, increasing the sense of belonging in the local communities and citizens by means of participatory approaches. Nevertheless, difficulties may arise, due to a lack of habits or resources apt to work on these type of initiatives, to mistrust among the partners, to opportunistic or individualistic behaviors (e.g. linked to different

political belongings). Long-term initiatives could be the solution to these issues, and continuous actions are required to identify of common goals and fostering engagement.

4.1.8 CONCLUDING REMARKS: PPPS AND MSPS AS A MEANS TO FOSTER THE ECONOMIC, SOCIAL AND CULTURAL POTENTIAL OF A TERRITORY

The research in France aimed at investigating the development of public-private partnership in the cultural sector, to verify the consistency of the development of these types of collaborations with recent trends of discussion in literature and in the theoretical debate on the need to rethink the governance and management models of the cultural sector towards multi-stakeholder, ecosystem perspectives in the territory. The research was carried out by mean of a qualitative analysis, that focused both on a PPP project on the *micro* level and on a PPP/MSP project on the *meso* level. The research results confirmed that a rethinking process is going on in the interpretation of PPPs in the cultural sector in terms of governance and management.

At the *micro* level, the PPP between Orange and Louvre Lens museum for the implementation of digital tools was studied. The analysis showed that the collaboration established for the implementation of this technical device considers in its governance both the public subjects (heritage and regional authorities) and the private partner. Significantly, though the project specifically targets the museum and the private company Orange, the regional authority was included in the governance body. This could be interpreted as an indicator of the willingness to insert the project in a broader framework of development of the city of Lens and its surrounding area, as well as of the many projects of regional regeneration that has been implemented around the Louvre Lens project. This broader relaunching, rebranding project for the region of Nord-Pas-de-Calais has been implemented through a series of governance

organizations, that are based on the cultural project of the Louvre Lens but that are interpreting it as a tool to implement a sustainable, ecosystem model of regeneration and development, in line with approaches and perspectives of MSPs in the territorial level that interpret culture as part of a territorial ecosystem. The analysis provided on the case study focused also on the many initiatives related to the creation of Louvre Lens, in order to help interpret how it is inserted in broader territorial strategies based on integrated governance of the territory.

This MSP ecosystem perspectives are just partially represented in the governance committee of the PPP project, but are more clearly shown in the managerial structure of the partnership. Indeed, though the core project team includes representatives of the three partners similarly to the governance committee, the staff of the project includes various professionals of IT, communication, press and culture related sectors operating in the territory of Lens. Interestingly, these subjects are not simply hired as consultants for the project but are integrated as part of a broader, long-term project of development of the digital strategies of the museum. This again reinforces the considerations made above in the ecosystem perspectives brought about in this PPP project, while confirming the consideration on the need to intertwining of competences and skills in a trans-sectoral, ecosystem approach reflecting the shift from *micro* perspectives on PPPs towards *meso*, ecosystem perspective that are consistent with the MSP approach. As emerged from the interviews, the PPP overcomes traditional sponsorship models in order to create a broader intertwining of competences between various stakeholders based on the ecosystem perspectives.

The research results at the *meso* level confirmed this rethinking process of PPPs towards MSP perspectives. The *meso* analysis investigated a public-private partnership project developed in Burgundy, for the candidature of the *Climats du vignoble de Bourgogne* site to the inscription in the UNESCO World Heritage List. The project is a typical example of looser type of PPPs, that have been highlighted as an emerging trend in PPPs development and that have been also identified as characteristics of PPPs in the cultural sector. The project was implemented by means of two governance structures, the first mainly aiming at fostering dialogue with

citizens and communities, the latter aiming at developing strategic and steering guidance for the various aspects of the project. Interestingly, at both level the intertwining of various public and private partners is represented: though local authorities are still playing a major role, the local private subjects are represented (e.g. chambers of commerce, and various wine makers and wine growers). The project is significantly involving also a broader variety of subjects, such as the local heritage institutions and tourism organizations. Moreover, a special attention is paid to the involvement of the community, through collaborative governance approaches. The attempts to promote multi-stakeholder involvement in the governance system of the project through these collaborative approaches could also be interpreted in the framework of the research on public value. In particular, the need to create an authorizing environment around PPPs and MSPs through a more participative approach that is based on the involvement of the different stakeholders through multi-level structures is enacted in the case study.

The second part of the empirical analysis at the *meso* level, investigated this issue by means of interviews carried out with nine representatives of the key stakeholders of the project (namely policy makers, cultural managers and other stakeholders – citizens and members of local associations and companies). The interviews provided interesting insights in the perception of the project, the difficulties encountered and the actions that are perceived as necessary for overcoming the problematic aspects. The research results highlighted that the PPP was positively perceived and that the main force uniting the various subjects of the territory are intangibles, mainly related to the creation of cultural and social value and in the definition of common goals and strategies based on the common cultural identity that could lead to partnerships bringing positive spillover effects on the local economic and social development in the long term.

4.2 THE DEVELOPMENT OF PPPS IN THE CULTURAL SECTOR IN GERMANY

The aim of this chapter is to investigate emerging issues in the development of public-private partnership in Germany with specific reference to the cultural sector and to analyze selected PPPs and MSPs in light of the recent trends of development of the cultural sector in the country. This issue is explored by means of a case study analysis, carried out both at the *micro* level and at the *meso* level.

At the *micro* level, the public-private partnership implemented through the Foundation for Concrete Art and Design Ingolstadt (Stiftung für Konkrete Kunst und Design Ingolstadt) is investigated. The analysis first provides an overview of the project also in terms of its multi-level integration in territorial development according to a multi-level, ecosystem perspective. Then the profiles of the governance and management of the PPP are studied, and some final consideration on how the project contributes to the overall debate on PPPs at the *micro* level is drawn.

As for the *meso* analysis, the selected case study is the one of the eCulture Service GmbH project implemented in the Hamburg area, a formal MSP project that have been implemented through a highly formal European PPP procedure called competitive dialogue. The MSP represent an institutional PPP, and is currently being implemented according to highly formalized model. Therefore, the initial overview of the project aims at providing technical information of the governance scheme, procurement procedures and characteristics of the competitive dialogue model of PPP. The analysis will then focus on profiles of the governance, and investigate the perception of the project by the main stakeholders involved. Some concluding remarks on the case study will be drawn.

The final section of the chapter will interpret the results of the research trying to consider how the German model of implementation of PPPs and MSPs, that has proven more formalized and less flexible and looser compared to other European countries, contributes to the debate on the potential rethinking of the governance systems and management models of the cultural sector, also in relation with the most recent theories and developments of the debate on the cultural sector.

4.2.1 OVERVIEW: THE DEVELOPMENT OF THE CULTURAL SECTOR IN GERMANY

Consistently with the other country analysis, this chapter aims at providing a synthetic overview of the cultural sector in Germany and in particular some longitudinal perspective on the development of cultural governance in the country with reference to the interaction between public and private subjects.

Germany is a federal republic divided into 16 Länder, that play a significant role in the cultural and creative sector. Traditionally, starting in the period of the Weimar Republic in the 1930s Germany was characterized by a cultural policy based on the strong presence of the central authorities of each Lander. This approach was questioned during the 1950s and 1960s; during 1970s and 80s the Federal government entered the scene and called the *Länder* for a more cooperative position, namely by means of a joint commission aiming at restructuring the cultural and educational systems (*Ergänzungsplan Musisch-kulturelle Bildung*, 1977).

A significant characteristic of cultural policies in Germany is the notion of *Kulturstaat*. This concept refers to a term used in 1974 by the Federal Constitutional Court, to indicate that the state has the responsibility to preserve the freedom of the arts

(Wiesand, 2010). The idea of *Kulturstaat* was interpreted with reference to the role of the government in securing but also providing the main cultural services to ensure the preservation and enhancement of cultural assets in the country. The underlining idea was that the state was in charge of defining goals, decision making about cultural tools as well as of funding and managing cultural. his approach has been criticized by many parts (Maihofer, 1983; Hoffmann, 1979); the *Kulturstaat* model of government has been dismissed in favour of new understandings that interpreted the role of the state in terms of guaranteeing cultural pluralism and artistic freedom, and encourage the citizens to make use of cultural assets and services.

In practice, however, German cultural governance has presented a structure that reflect the traditional decentralized model of the Landers. Indeed as stipulated by Article 30 of the German constitution (*Grundgesetz*), political power and institutional competencies are largely decentralized to each state, especially in relation to competencies in the arts, heritage, the media and related fields. This relocation of power reaches out till the local government level: *local authorities* have, similarly to the *Länder*, their own co-ordinating bodies and are recognised as self-administering authorities in terms of cultural policies and management of their cultural heritage and institutions. A large number of local cultural facilities and initiatives are maintained or subsidised by cities and, to a lesser extent, by county councils and towns. Significantly, the municipalities or the *Länder* have relevant degrees of autonomy: in most of the theatres, orchestras and partly also exhibition halls, it is the director (or *Intendant*) who bears the overall artistic and financial responsibility for the institution.

Starting from the 1990s, in line with trends developed mainly in the Anglo-Saxon context, the cultural policy debate saw the rise of the concept of creative industries and an increasing implementation of managerial perspectives in the public management of culture. In this context, a call for the collaboration between public and private subjects grew. New legal forms were implemented in the cultural sector, such as a limited liability company or a foundation, in order to free cultural institutions from the confines of budgetary and public service law and from municipal

and other administrative structures. Moreover, tasks (such as allocation of public resources and maintenance of facilities) were allocated to not-for-profit organizations in civil society (generally foundations and associations). This strategy of cooperating with intermediary organisations is particularly prevalent at the federal and Land levels (Wiesand, 2010). Notwithstanding these measures, the involvement of private subjects in the funding of cultural institutions remained rather low. *Private* cultural financing does not represent more than 3-5 percent of the relevant figures of public cultural authorities (Wiesand, 2010) and when it comes to institutions such as theatres and/or orchestras, the income from private sponsors amounts to less than 1% of their total expenditure.

In recent years the approach of the *Kulturstaat* has been questioned by the emergence of a new theory concerning the scope and models of the cultural sector. In 2012, a discussed publication, *Der Kulturinfarkt* (Haselbach et al., 2012) has proposed a rethinking of the cultural sector based on a competitive approach to culture. In a framework of decrease of public funding to culture, and resources that are not sufficient to sustain the total existing cultural institutions, only the better organizations will survive. As a consequence, the cultural sector will be reduced, selecting the strongest institutions and closing the weakest, unsustainable cultural actors. This approach seems particularly interesting in a context of financial and economic crisis, in which cultural funds to culture could potentially be reduced (though in Germany the crisis has had a less decisive impact compared to other European countries) and in which the public investment on culture is under scrutiny and questions on the wider impact of culture organizations are being raised. The *Kulturinfarkt* approach however, is among the models of potential reforms of the cultural sector and has been contraposed by more cooperative perspectives (Donato, 2013), that are more consistent with the governance systems and management models of the cultural sector in terms of PPP developments. In the framework of these debate, PPPs in the cultural sector could be mirroring both perspectives. In the *Kulturstaat* approach, PPP could be interpreted as a mere means to deliver certain services that are nevertheless supervised and strongly funded by the public authorities.

This approach does not exclude the development of ecosystem frameworks, but they interpret them as strongly top-down, government-directed initiatives. Private partners are considered as part of the ecosystem but they play a less incisive role in strategic development and project design. In the *Kulturinfarkt* approach, PPPs could be interpreted as a way to use public funding or to exert selection of cultural projects to encourage the development of the better, more innovative and cost efficient cultural projects in detriment of weaker cultural proposals.

Nevertheless, in terms of implementation of governance systems and management models for the cultural sector in Germany, the *Kulturinfarkt* approach seems still not to have been particularly implemented, with a tendency over the last years towards the carrying out of more cooperative perspectives based on integration of resources, coordinated and integrated governance and on the encouraging of various cultural and creative initiatives to foster local attractiveness and territorial development (Krätke, 2004; Baggio, Scott, & Cooper, 2010; Pechlaner, Raich, & Beritelli, 2010; Pechlaner, Volgger, 2013; Crepaz, Huber, & Scheytt, 2015). The current approaches both at a theoretical and practical level seem to be consistent with ecosystem approaches developed in other European experiences, linking culture with territorial planning and urban/local redevelopment strategies based on cultural assets as part of an ecosystem (Bachinger and Pechlaner, 2010)

In sum, the debate on the scope and aims of the cultural sector in Germany and on its governance and management models has recently been enriched by new perspectives that are both in line with other theoretical approaches and questioning ecosystem perspectives in favor of more competitive logics.

In terms of the empirical analysis, this competitive and cooperative approaches will be investigated in terms of PPP project implementation, by means of the analysis of two PPP projects: a PPP project at the micro level in the Bavarian city of Ingolstadt and a PPP project at the *meso* level in the Hamburg area. At the micro level, the PPP project of the Foundation for concrete Art and Design of the city of Ingolstadt (Stiftung

für Konkrete Kunst und Design Ingolstadt) will be analyzed, trying to focus not only on its governance and management model but also its broader links with the territory and the urban relaunching strategies. At the meso level, the analysis will focus on the *eCulture Service PPP project*, in course of implementation in the city of Hamburg. This PPP project, though conceived through a formal PPP procedure called competitive dialogue, is based on the concept that the best, most effective and efficient proposal among the possible projects presented by the private partners will be selected. Significantly, subjects from the private sector are invited to identify and design the characteristics of the cultural proposal while the state authority assumes the role of supervisor and selector according to a hierarchical, top-down approach.

4.2.2 MICRO LEVEL: THE FOUNDATION FOR CONCRETE ART AND DESIGN INGOLSTADT

The case study explored at the micro level in Germany is the case of a PPP Foundation implemented as a PPP project as support structure of a public museum.

The Foundation for Concrete Art and Design Ingolstadt (*Stiftung für Konkrete Kunst und Design*) is located in the Bavarian city of Ingolstadt in Germany, an area that, over the last sixty years, has been characterized by a deep influence of and intertwining between the city and the automotive enterprise AUDI (Larsson, 2002) and that has been characterized by a steady growth over the last years with a very low impact of the economic and financial crisis. In terms of regional development, the region of Ingolstadt has been a reference point for the development of the automotive industry, but also with related sectors that have been characterized by fast increase over the last decades. In order to implement integrated initiatives and coordinated governance structures at the regional level, in 2008 the regional agency IRMA was created. *IRMA - Initiative Regionalmanagement für die Region Ingolstadt* was

designed as a partnership involving the main local public authorities (the city of Ingolstadt, the counties of Eichstätt, Neuburg-Schrobenhausen and Pfaffenhofen) with the most important private enterprises of the area, namely Airbus Defence and Space GmbH, Audi, Bauer, EDEKA Südbayern and Media-Saturn. The resulting structure has been considered one of the most important examples of public-private partnership in Germany, promoting integrative activities and initiatives to make the territory more attractive not just in tourism terms but also in terms of local communities and citizens. Though defined as a PPP, the project bears features that are more characteristic of MSP models, implemented through a looser and flexible approach. From an initial push coming almost exclusively from its funding members (the above mentioned local authorities and private companies), the partnership has increasingly developed more participatory approaches. Currently, it has developed a member-based scheme in which potential members voluntarily adhere to the partnership paying a fee on the basis of their inhabitants and dimension (if the partners are public authorities) or on the number of employees and total turnover in case of private partners. Individual members are admitted, paying a fixed annual membership fee. The resulting partners' structure therefore resembles the structure of an association, though maintaining less flexibility at the governance and management level. The members of the governance bodies indeed are still elected among the funding members, thus representing just the major subjects operating in the area.

The mission of the MSP project: is related to increasing the attractiveness of the region especially for young generations, fostering innovation, promoting a better quality of life for the inhabitants of the territory, and promoting the positive branding of the region. As a result the range of statutory activities implemented (also through financing) in the framework of this MSP vary from implementing of projects to promote regional products, to financing of innovative startups, capacity building and training initiatives in collaboration with local universities and research centers, to promoting cultural initiatives for the enhancement of the cultural identity of the territory and the fostering of its cultural and creative industries.

The role of AUDI in this MSP project is relevant: according to the interviewees, AUDI was the promoter and sponsor of the initiative, with the aim to increase the appeal of the city of Ingolstadt to attract and retain new workforces. AUDI is to some extent also linked to the cultural identity of the region, to its industrial background. Also the growing interest in design has been related to the cultural identity provided by the company: the increasing attraction to concrete art as a form of art reflecting the industrial origins and identity of the city and worked as a cultural identification for the surrounding areas and a focal identity point for the territory (Pechlaner, Fischer, & Go, 2006).

The city of Ingolstadt (headquarter of AUDI) is home to the Museum für Konkrete Kunst that owns one of the most relevant collections of concrete art in the world; it is a municipal museum, managed in-house with little autonomy. Given this lack of autonomy but also on the basis of the importance of the Museum's collection in the identity of the city and to its link with the socio-economic background created by AUDI, in the early 2000s talks for the creation of a foundation were started. Finally, in 2007 the city of Ingolstadt founded together with the artists Ingeborg und Ludwig Wilding and with AUDI, a Foundation for Concrete Art and Design, (*Stiftung für Konkrete Kunst und Design*), aimed at promoting the development of the collections as well as stimulating knowledge and interest on concrete art and design through sharing of financing, competences and skills between the public and private partners involved.

Recently, the museum was inserted in the project for the creation of a Cultural and Creative Quarter in the city of Ingolstadt, to be established in the upcoming years as part of the rebranding and relaunching through culture and creativity that has been implemented as part of the strategic development of the Ingolstadt area. The Museum is currently located in the former barracks in Tränktorstraße, in a building that has been described by the interviewees as “unsuitable to host the huge collections of concrete art of the museum and its foundation”. In 2012, the municipality and the

region approved a project to relocate the museum and its collections in a former factor Schubert and Salzer (Schubsa) or the former Royal Bavarian Artillery Foundry. The project has been interpreted as a chance to redesign a neighborhood in the city in order to create a creative quarter, partially modelled on the example of other cities such as the *MuseumQuartier* in Vienna. In 2014, Ingolstadt City Council approved the project for a total of 25.3 Million Euros, making the ex-factory a modern cultural center located at the center of a large area of the foundry site for which a complete redesign and rebranding through culture will be also implemented. The core funding from the project came from the City and local public authorities: the main private partner was AUDI, that again confirm the awareness and willingness to be embedded in the cultural and creative development of the area of Ingolstadt.

4.2.3 GOVERNANCE AND MANAGEMENT PROFILES

The Foundation is governed by two main bodies, a board of directors and a foundation council: the first could be composed by two/three members, having as president and vice president the director and deputy director of the Museum für Konkrete Kunst; while as third participant a member elected for six years, representing the main partners and collaborators of the museum. The latter includes four to nine members, namely the mayor of Ingolstadt acting as president, a representative of the municipality's cultural department, Ingeborg Wilding (artist and co-founder of the foundation), the person in charge of the ArtExperience project of the private company AUDI, plus other three members from local authorities and other two members who could be elected among the collaborators of the museum. The governance scheme ensures participation of public and private entities but leaves to the public partner a significant steering and leading role.

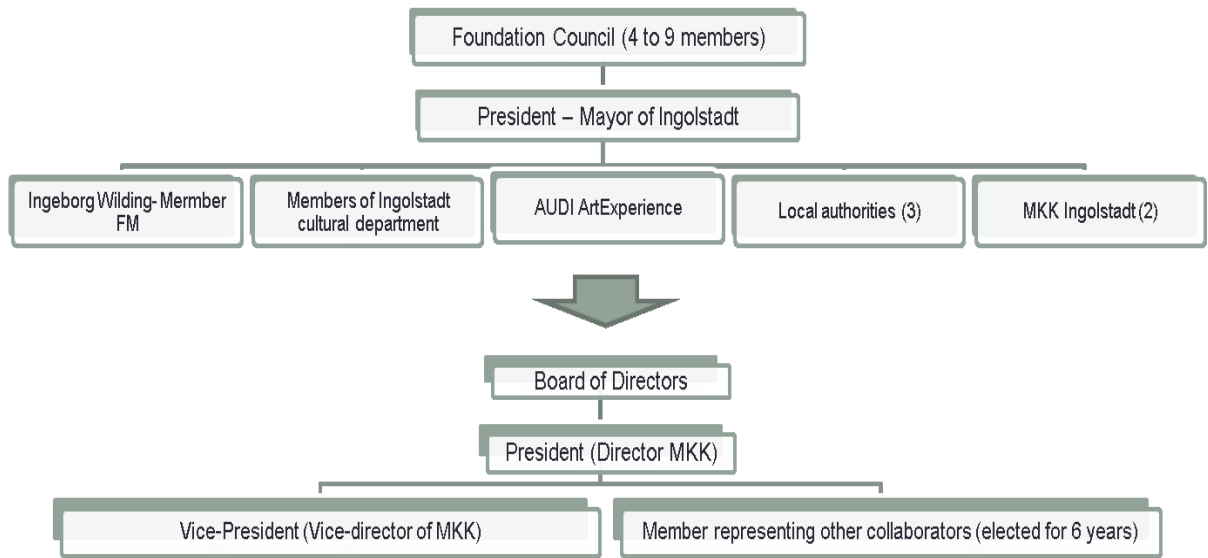


Figure 30: Governance of the project (Author's elaboration)

The foundation is financed by mixed funding by the city and private companies, especially AUDI in the framework of a specific program that the company has been implementing over the last 20 years called AUDI ArtExperience. The foundation acts as main player in the acceptance of artworks' donation and in managing also other types of donations (financial) that allow the museum to carry out various activities (concert, exhibitions, etc.). The foundation employs a part-time curator who is permanently working inside the museum spaces, in close contact with the museum staff.

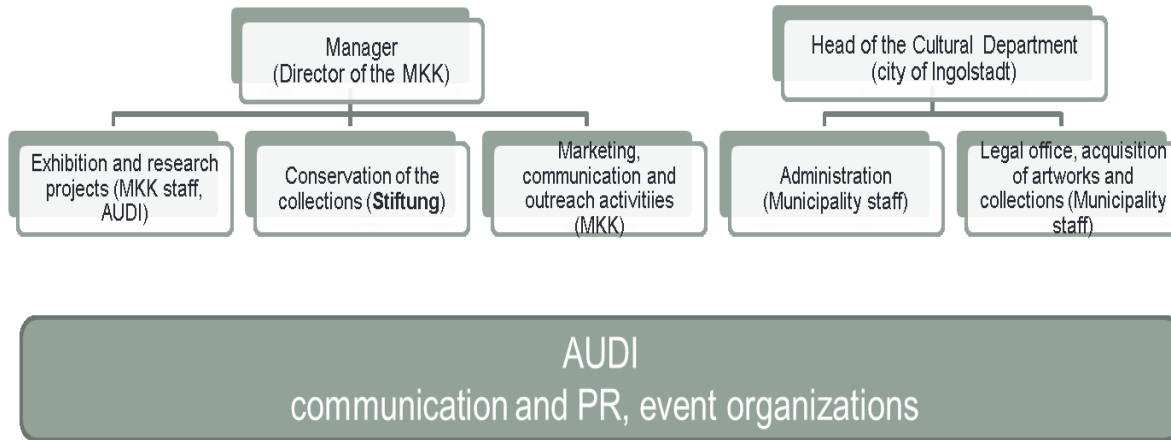


Figure 31: Management of the project (Author's elaboration)

Furthermore, the Museum and Foundation are deeply linked to a very active circle of Friends of Museums, that is often bringing human resources to the museum and creating further connections with the industrial and design background of the city and of its main enterprise AUDI. According to the president of the association, former AUDI manager and previously in charge of an important project of local development for the wider Ingolstadt region, the association is “working alongside the museum to bring the skills, contacts and networking resources that the museum most needs”. Recently a project on the creation of a creative quarter in Ingolstadt has been approved, inserting the Museum and Stiftung in a broader framework implementing various public-private partnerships for culture.

4.2.4 CONTRIBUTION TO KNOWLEDGE: *MICRO* PROJECTS OVERCOMING TRADITIONAL PERSPECTIVES

The PPP model implemented in the framework of the Foundation for Concrete Art and Design Ingolstadt is a typical example of public-private cooperation designed to overcome bureaucratic constraints of a local museum (managed in house as a department of the local authority) and to grant more flexibility in the use of resources and management of the arts collections. As highlighted in the governance and

management structure of the foundation, the PPP is based on a high control at the strategic level by the public authority and the local museum with a limited role of the private partners, primarily the automotive company AUDI. Moreover, the project interprets the role of the citizens and communities mainly as beneficiaries of the cultural initiatives and the educational and outreach activities implemented by the Museum in collaboration with the Foundation.

However, the PPP case shows recent relevant developments that attempt to overcome this traditional perspectives. First of all, the private partners has been actively involved in the management of the activities of the foundation although often at an informal level: the influence of the AUDI company in the shaping of the cultural identity of the city especially with reference to concrete art and design has been recognized by the foundation and increasing cooperation has been requested to the private partner for the implementation of various activities (communication, PR and event organization). This in turn has generated a more dynamic interaction between employees of the museum, local authorities and private company.

Another relevant profile for our analysis is the integration of this micro PPP project in broader development strategy for the city of Ingolstadt, coherently with what has been analyzed in the other case studies of PPPs in other countries. The main subjects of the governance of the museum (AUDI and the local authorities) are also in the governance of the local development project and the Foundation has been involved in the implementation of the new museum and creative quarter of Ingolstadt, current still in the design and initial implementation phase. Moreover, the Foundation is collaborating at an informal level with various other local stakeholders, such as the local Friends of Museums association and the local University.

Therefore, though the approach to PPPs in the cultural sector in this case study is strictly linked with traditional approaches, the case seems nonetheless to be moving toward ecosystem perspectives that inserts micro PPP in a multi-level multi-

stakeholder partnership project, in line with the theoretical trends highlighted in the theoretical analysis.

4.2.5 MESO LEVEL: ECULTURE SERVICE PPP IN HAMBURG

At the *meso* level, the selected case study was the one of the eCulture Service PPP project in the Freie und Hansestadt Hamburg (Free and Hanseatic City of Hamburg). The project was promoted by the Ministry of Culture and was designed to provide innovative digital services to the cultural institutions (mainly public but potentially also private) of the Hamburg state¹.

This case study seems particularly interesting for our analysis since it is a more formalized model compared to the other case studies at the *meso* level, and it involves a structured procedure for the project design and implementation. Though a high level of institutional procedures are adopted, the PPP project seems nevertheless an attempt to make more flexible a structured European model for PPP procurement and to use existing formalized models to promote a higher degree of dialogue between public and private partners. As well, it is considered as showing the tendency to adapt traditional models of PPP procurement to include in the governance and management a high number of private stakeholders in a multi-stakeholder partnership system, again adopting the ecosystem perspective linking cultural heritage, cultural and creative industries and other culture-related stakeholders of the area but also implementing cooperation with other sectors, such as the IT one.

¹ The Free and Hanseatic City of Hamburg is It is the second smallest German state by area. Its population is over 1.7 million people, and the Hamburg Metropolitan Region (including parts of the neighboring Federal States of Lower Saxony and Schleswig-Holstein) has more than 5 million inhabitants. The name "Free and Hanseatic City" derives from the historical past of the city: Hamburg was a member of the medieval Hanseatic League, as a free imperial city during the Holy Roman Empire, a city-state and one of the 16 German states.

At the moment the empirical investigation was carried out in Hamburg, the project was still in the dialogue and design phases. That provided further material of analysis, since the author had the chance to investigate the development of the PPP project also through direct observation of the dynamics of the PPP development. In particular the author was allowed to participate in several meetings among the public authorities and the potential private partners that were carried out as phases of the competitive dialogue procedure and that provided the researcher with further information about the dynamics of the project and the real interactions among the multiple stakeholders involved (either currently or potentially) in the PPP project. Furthermore, the observational study of the PPP project through the participation to these meetings, ensured that the data obtained were generally more reliable and free from respondents' biases. In addition, it allowed the observation of environmental influences on specific outcomes of the project.

In order to provide a complete picture of the case, some preliminary information are provided in the following paragraphs: in particular, a short outline of the competitive dialogue procedure will be carried out, and an overview of the cultural strategy of the city of Hamburg (in the framework of which the PPP project was implemented) will be provided.

The competitive dialogue procedure (*Wettbewerblicher Dialog* in German) is a procurement procedure for PPP introduced in the Community Law in Art.29, 2004/18/CE of the Procurement Directive. It is a PPP procedure which is based on a dialogue between the public authorities that are promoting the PPP projects and the potential private subjects interested implemented through a multi-stage approach. Competitive Dialogue procurement engages more than one potential private partner in the PPP tender process: in the procurement notice no detailed requirements and outputs are defined but only more general performance requests are established. Thus, the public partners invite the competing delivery bodies (from the private sector) to identify the project's needs and asking them to propose innovative solution. For a defined period the private partners could come to the procuring body to propose

and discuss their ideas; moreover, the creation of teams among private partners is encouraged. Once the dialogue phase has been completed, each proposal is evaluated and the most suitable one is selected: The procedure foresees final offers being submitted before the selection of a preferred bidder is published, with limited room for further adjustments.

Competitive Dialogue is indicated as useful for implementing “particularly complex” PPP projects, for which other procurement options such as the open and restricted procedure could not allow the necessary flexibility and degree of negotiation. The main idea is that an increased level of communication between the bidders and the public authorities, within a formal and accountable framework, could lead to more innovative solutions and better proposal from the private partners, while at the same time ensuring value for money and price discipline for the public sector. Though ensuring ensure a higher degree of flexibility and dialogue compared to open and restricted procedures, the competitive dialogue attempt to avoid the risks to transparency and the potential biases that might incur in even more flexible procedures such as the negotiated ones.

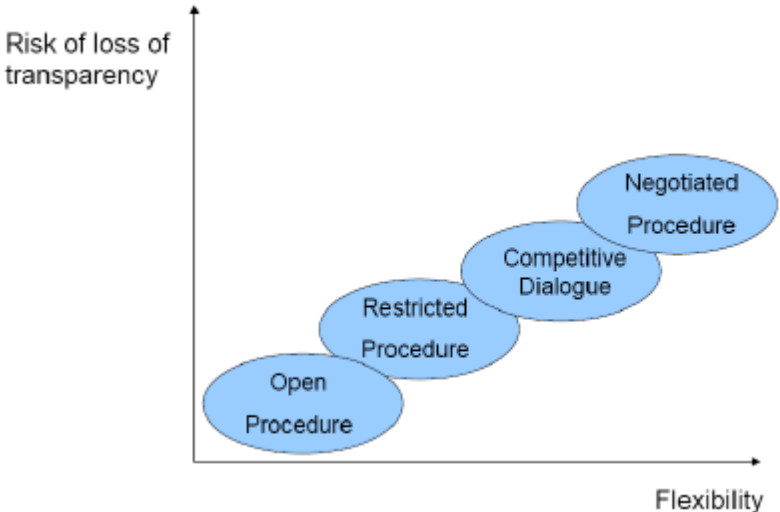


Figure 32: Formal procedures for PPP implementation (Source: EPEC, 2013)

From its adoption at the EU level, this PPP procedure was gradually incorporated into national procurement laws of the EU Member countries (e.g. in June 2004 in France and in January 2006 in the United Kingdom). However, since its implementation in 2005, it remains a rather “unexplored” procedure: whereas a small number of states: (namely, the UK, France and Ireland) have used this PPP procurement option in a relatively high number of projects, the majority of countries still resort to other procedures that are defined as more standardized and less risky to implement (EPEC, 2013). According to a recent EPEC report, only 60% of EU countries adopt competitive dialogue frequently, 12% of the interviewed countries stated they use it occasionally whereas 28% declared to never use it in their PPP procurements. The number of competitive dialogue PPP projects has even decreased in recent years due to the impact of the financial and economic crisis and the credit crunch to private partners.

The selection of PPP procurement options other than competitive dialogue is based mainly on the facts that those procedures are more familiar to them and ensure a higher level of control over the private partners, promoting top-down approaches that are typical of the public sector. Disadvantages of competitive dialogue are perceived in its complexity, that could result in a negative impact on procurement cost and time. The procedure is indeed complex and raises a number of unfamiliar issues (e.g. proprietary information, complex mechanics of running several parallel negotiations with different bidders in a multi-stage procedure) and indeed requires specifically trained procurement staff and resources that are often lacking in the public authorities. As a result, public sector partners usually rely on external advisors to deal with the most complex phases of this PPP procurement. Increased costs are also related to extensive meetings dialogue in the dialogue phase: in order to decrease this costs many authorities tend to reduce the number of bidders invited to participate in the dialogue.

Excessive length is another perceived problem: since several cycles of submissions, dialogues and evaluation are implemented, the total duration of this PPP procurement

could last for several months or years. Though the duration of PPP competitive dialogue procurements varies for each project, in 67% of the PPPs the whole procurement procedure (more specifically, the time from publication of a contract notice till its financial close) spans from 1 to 2 years. In 25% of the PPP project (usually large scale ones) the overall period of procurement was more than 2 years (EPEC, 2013). Moreover, there is a general risk of the public authorities facing withdrawal of bidders during the dialogue phases, with a resulting limited number of bidders really working on the project. Other drawbacks are identified in confidentiality issues and lack of transparency. Moreover, often bidders have a tendency to retain their most competitive or innovative solutions until the very last stage of the dialogue, to avoid any risk of leakage to their competitors.

Some member countries also complain about the lack of flexibility of strict-defined PPP competitive dialogue procedures in their later phases. As a result, some countries tend to apply a loose interpretation of the EU law allowing more flexible approaches to the final selection of the tenders' offers, allowing space for amendments especially on the financial parts of the project. This issue has so far been often raised with reference to the crisis and to the fact that in a 1-2 year period scenarios could vary significantly. The consequence to this problem has been that some member states adopted a pragmatic approach in the adoption of the directive, allow amendments to tenders if they are necessary and as long as they do not modify significant aspects of the offer.

Although potential negative aspects of this PPP procedure are identified, many benefits are also recognized to competitive dialogue. These advantages are reflecting the broader tendency of the PPP paradigm in allowing a better involvement of the private stakeholders, the increased possibilities of dialogue among the parties as well as a the need for loosen models of public-private partnerships that allow flexibility in its governance structures and management models.

The first identified benefit of the competitive dialogue procurement is that it increases dialogue and communication between the contracting body (namely the public sector) and the private partners, promoting a shared identification of the objective and expected results of the project. This dialogue and the pooling of resources is expected to deliver more innovative solutions and intensify innovation both in governance and management of the projects (bidders are also expected to dialogue with the public partner about the governance and managerial models for the PPP project delivery), and in innovation technical solutions. The competitive dialogue is therefore considered particularly suitable for PPPs where a high degree of innovation and use of new technologies is required. The enhanced competitive tension may also lead to achieve better value for money and control costs. However, in terms of our analysis, the most relevant benefit consists in the improved relationship between the contracting public authority and the bidders: since the dialogue phase is frequently a quite long period and requires repeated confrontation between the public authorities and the bidders, it often results in an increased dialogue chances and in better knowledge among the partners. According to the previously mentioned EPEC report, 60 % of the countries where competitive dialogue PPP procedure was implemented mention an improved

In sum, “competitive dialogue is intended to provide a procurement method which is both transparent and sufficiently flexible to fit complex projects like PPPs” (EPEC, 2013). However, though it seems to bring about advantages in the quality and value of projects especially in terms of innovation, it usually causes increased expense, transaction cost and time. This PPP procurement is a suitable option for those projects that aim at fostering innovation and facilitating a constructive dialogue between the contracting authority and the private enterprises. Competitive dialogue brings appreciable results in terms of flexibility and involvement of key private stakeholders of a territory, pooling resources to find more suitable solutions to societal and economic challenges of a territory.

Based on these theoretical premises, with reference to Germany the of the eCulture Service PPP project in Hamburg for delivering culture digitization and cultural tourism services. The choice of this procedure is consistent with the characteristics required by this type of projects: flexibility, innovative solution, integration between the competences of multiple-stakeholders in order to find better solutions to the issues the project is addressing but a still strong control by the public authorities promoting the project, as will be shown in the following section.

4.2.6 GOVERNANCE PROFILES AND PERCEPTION OF THE PROJECT

The project entitled *eCulture Service PPP* was promoted by the Ministry of Culture of the Free and Hanseatic City of Hamburg in the framework of the implementation of a digital agenda for the city. Over the last years, the Ministry of culture indeed decided to implement a digital agenda, called eCulture Agenda 2020, to work as basis for the strategic development of digital services in the culture and creative sector, in response to the e-government and IT strategy of Hamburg. From the programmatic manifestos of the initiative, the key aims of the project are to help the various areas of culture to develop and implement digital projects that make an extensive use of new technologies, communicating culture through digital resources and making cultural assets available online for a broad community of users (both the general public, other public institutions, cultural and creative industries, etc.).

The underlying idea promoted by the project is again that of a cultural and creative ecosystem implemented through the use of new technologies in the cultural and creative sector. The different cultural institutions will become active actors in using new technologies to promote their cultural content, collaborating in turn with cultural and creative industries and other subjects of the private sector in making the contents available to the general public and to use new technologies to communicate with local communities and with tourists. “Cultural insitutions are to be more closely networked,

not least to generate synergies and improve the relevance and impact of digital resources. The ministry of Culture will systematically involve the cultural institutions in question and draw on support from Hamburg's media and IT sectors, creative industries and universities" (*Kulturbehörde Hamburg*, 2015). Digital technologies are therefore interpreted as means to implement an ecosystem perspective for a multi-stakeholder partnership among the different subjects of the Hamburg area. This ecosystem idea is based on a trans-sectoral approach: partners from the public, private and academic fields are called for collaboration. Citizens and communities are the final targets of the service: "all citizens are to have digital access to our city's cultural heritage", was stated by the representative of the Senate of the Free and Hanseatic City of Hamburg in 2012. The general objective is to support cultural institutions located in the seven districts of the city in developing and harnessing digital resources, networking in digitization to achieve more relevance and to improve integration, education and the availability of cultural data through the use of new technologies.

However, though citizens and local communities are mentioned in various official documents, the project seems to have a top-down approach to the governance and management of the multi-stakeholder partnership. Indeed, the project for the implementation of the cultural agenda is strongly governed by the public authorities and in particular by the Ministry of Culture and by the Department of Finance. These departments chose the competitive dialogue procedure to establish a governance and management entity to design and implement the project: in the initial project of the contracting authorities, the new PPP entity involves multiple sectors, and defines innovative and continuously changing technological solutions that could vary with the fast pace of the changes in new technologies. The competitive dialogue procurement was selected for its capacity to pool resources and trigger competitiveness in proposing innovative solutions to the needs of the public authority's projects, and because it guaranteed a significant steering role of the public authorities themselves.

In November 2014, a call for tenders was published at the EU level, but in a first phase only German private companies showed interest in the project. A following call was issued in March 2015, and exploratory meetings open to potential stakeholders from the private sector but to which also academic representatives, cultural institutions and citizens were invited to participate. During these meetings, the general governance model for the PPP was outlined and it seems particularly interesting to analyze it in details to understand how the approach diversify from other models of PPP implemented through the competitive dialogue procedure as well as to more loosen PPP and MSP models.

The governance structure of the PPP is described in the figure here below. The PPP will be a Limited Company (the legal entity model is still undergoing discussion among the parties), called *eCulture Service GmbH*, that in its governance will include two main members: the state authorities (with representatives from the Free and Hanseatic City of Hamburg, in particular from the Cultural Department as representative of the cultural sector of the city: FHH/KB in figure 1), and a consortium of private companies coming from the IT and Cultural and Creative Industries (Private Consortium in the figure).

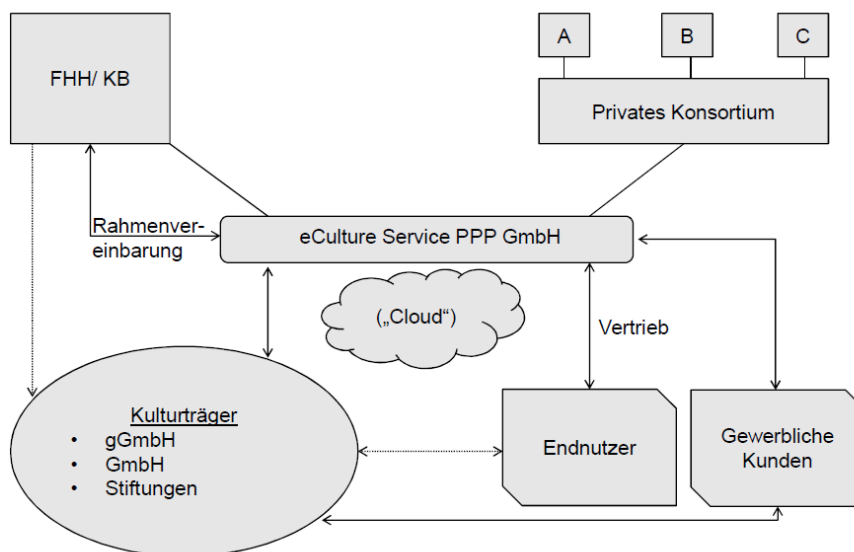


Figure 33: The eCulture Service PPP governance structure (Source: FHH Hamburg, 2015)

Significantly, the cultural public institutions are not directly included in the governance of the project. They are represented by the Cultural Department of the City, but they are not directly in charge of governing the project. Another relevant feature of the governance system, is that private bidders are called for creating a consortium who will be a member of the PPP. Synergies and cooperation are therefore implicit in the project; during the interviews it emerged that the public authorities consider the PPP project too complex to require the competences of a single private partner and that it will need a pooling of diverse companies and diverse sectors (namely, from the IT and CCI field).

Cultural institutions (Kulturtragaer in the PPP scheme) and end-users (citizens, tourists, in general users of cultural services; in German Endnutzer and Gewerbliche Kunder), are regarded as beneficiaries of the services of this PPP, but their role is interpreted in a multidirectional perspective, that foresees interaction among the various beneficiaries and continuous exchange between the PPP entity, the various cultural institutions, the users and communities.

The eCulture Service Gmbh company is considered an a mediator, between the needs and requests of cultural institutions and the users, the private consortium and the public authorities.

Differently from the governance system that seems rather well-defined and structured, the management of the partnership is still under debate. During the research interviews it emerged that the eCulture Service Gmbh will probably mix own staff with part-time staff coming from the private partners and public authorities. It should be noted, that the design of the managerial model of the PPP will be shaped on the basis of the emerging needs identified in the procurement phases through the

dialogue between the parties and on the basis of the different innovative solutions that the private partners will propose to the public authorities through the bidder dialogue phase. This procedure seems innovative for the cultural sector for the degree of flexibility, cooperation and synergy required not only between the public and private subjects, but also among the private enterprises involved.

However, both at the governance level and in the managerial model currently under debate, there is a consistent lack of involvement of cultural institutions, that are formally invited to participate and express opinions but are not included as active parties in the governance structure. This feature emerged clearly in the empirical investigation that constituted the second part of the case study analysis of the case of Hamburg.

Consistently with the other empirical investigation, carried out in other countries of the sample, a qualitative research was carried out in line with the approach for case study analysis identified by Yin (2013). Multiple sources of investigation were used, namely document analysis, artefacts (i.e. the temporary outputs of the project and its initiatives) and interviews with a sample of nine key stakeholders involved in the project. The interviewees were selected through the criteria of variety and representativeness identified by Patton (2002). Three interviewees belonging to the categories of cultural policy makers, cultural managers and other stakeholders were selected in the three most significant cultural areas of Hamburg, namely Hamburg Mitte (the historical city center of Hamburg), Altona and Harburg. The interview protocol was slightly amended to adapt to the peculiarities of the case study and was based on the three semi-structured research questions that were mentioned previously in this thesis. More specifically, the first research question investigated the perception of the PPP/MSP project, asking to the interviewees if the project has potential and if so, what are the main potential characteristics they perceived. The second question aimed at investigating the perceived difficulties, while the third research question asked how these difficulties could be overcome and what are the actions to take to implement a better partnership in the Hamburg area. The final data

were triangulated with the data collected through the other sources of evidence and processed and analyzed in order to draw some reflections on the research questions.

The results of the first question provide significant insights on the risks of implementing a PPP/MSP project in the cultural sector, through a top-down perspective that does not include the main cultural stakeholders of the area and its community. In general, though policy makers and private partners seemed positively perceiving nthe project, cultural managers seemed more skeptical, with two cultural managers declaring that the project seemed to be rather uncertain and at risk of encouraging opportunistic or commercial behaviours in the private partner. One of the interviewees even expressed skepticism on the benefit that digitization may bring to the culture sector. Though the ideas of these interviewees was rather critical, the general opinion on the project was positive. The first mentioned potential of the project are indeed perceived mainly in its economic impact, both in terms of increased tourism and potential spillover effects on the development of the local economy. Better integrated strategies were considered a main potential advantage along practical issues such as the overcoming of the financial constraints of the public authorities and of issues related to the lack of competencies. Significantly, potentials related to the enhancement of cultural identity were not mentioned. The same could be considered for issues related to the involvement of citizens and communities.

	Frequency in the total number of interviewees	Policy makers	Cultural managers	Other stakeholders
Perceived Potential of cultural MSP projects				
Increased tourism appeal of the region by enhancing its cultural assets and accessibility	9	3	3	3
Positive spillover effects on local economic development	9	3	3	3
Integrated enhancement of the Cultural Heritage of the area	9	3	3	3
Development of more competitive strategy	8	3	3	2
Overcoming of financial problems for the implementation of digital tools	6	3	3	0
Intertwining of competencies: overcoming lack of competencies in the public sector	6	2	1	3
Enhancing the innovation capacity of the region through networking and joint strategic programming	7	3	1	3

Table 6: Perceived potential of the implementation of the MPP project (Author's elaboration)

With reference to the second research topic, the problem of lack of collaborative governance approaches emerged as the majority of interviewees expressed their perceived difficulties in the PPP project. The first identified drawback of the eCulture Service PPP project was identified in the lack of involvement of some main stakeholders, more specifically cultural managers and the other stakeholders voiced their doubts in taking part in the project and declared that many beneficiaries (cultural institutions, as well as local cultural communities) could be unwilling to participate. They stated moreover that key stakeholders (for example the main public cultural institutions of the city) may even fear the project could damage the image and activities of their institutions and do not feel at all involved in the vision promoted by the project. According to the some interviewees, there were problems (both current and potential) of mistrust among the members of the partnership and between the members of the partnership and the potential beneficiaries of the activities implemented through the project (namely the cultural institutions that should share their content online).

Other perceived difficulties are common with case studies in the other countries of our research sample, such as the lack of networking and collaborative mindset, technical

and administrative problems related to communication and knowledge flow between the members. The problem of balancing the benefits for each member of the partnership was perceived especially by cultural managers and by the other stakeholders, though policy makers considered it a less important risk, solvable through the implementation of an appropriate governance structure.

this resulted also in difficulties

	Frequency in the total number of interviewees	Policy makers	Cultural managers	Other stakeholders
Difficulties in the Implementation of cultural MSP projects				
Problems related to non-participatory mechanisms (Top-down approach, and as a result some subjects are unwilling to participate)	8	2	3	3
Lack of involvement of key stakeholders	8	2	3	3
Lack of clarity in identifying common goals and objectives, difficulties in co-creation of strategies	8	2	3	3
Mistrust between potential members of the partnership	7	3	3	1
Lack of networking and collaborative mindset	5	2	2	1
Technical and administrative problems related to communication and knowledge flow between different institutions	5	2	2	1
Balancing of benefits for each member	7	1	3	3

Table 7: Difficulties of the implementation of the MPP project (Author's elaboration)

Finally, the third research question highlighted the need for implementing actions that aim at reflecting an ecosystem approach to the public-private partnership, based on the promotion of the involvement of the different stakeholders in a governance system that includes and balances the relevance of the various categories of actors of the territory at a *meso* level.

The first action to take to deliver a better quality of the PPP project is to identify common goals among the partners, including goals that could be shared by cultural institutions and redesign the partnership, its governance system and the scheme of

its collaborations on the basis of these common goals. Consensus is considered one of the lacking characteristic of the project by some key stakeholders: therefore, initiatives to increase the participation of those stakeholders as well as of citizens and communities is considered essential. This again reflect the increasing call for developing ecosystem perspective, where the various actors are involved through flexible multi-stakeholder partnership schemes that consider the various subjects interacting in the *meso* area. According to the interviewees this perspective could be implemented through the promotion of bottom-up governance mechanisms and by creating an appropriate governance structure. Cultural managers and the other stakeholder category consider particular important to work on intangibles, such as promoting awareness on the common cultural identity of the area, implementing action plans to enhance understanding and better relations among the partners, as well as focus groups and discussion forums for improving networking mindset and overcoming mistrust among the members.

	Frequency in the total number of interviewees	Frequency Policy makers	Frequency Cultural managers	Frequency Other stakeholders
Actions to take for the Implementation of cultural MSP projects				
Identifying clear common goals as basis and criteria for the establishment of the partnership and collaborations	9	3	3	3
Involving the different stakeholders to increase consensus around the project and increase participation of the communities and citizens	9	3	3	3
Promoting bottom-up approaches	8	2	3	3
Creating a governance structure equally representing the stakeholders of the projects	8	2	3	3
Implementing action plans for initiatives aiming at mutual enhancement and better relations among the members	7	2	3	2
Implementing periodic focus groups and discussions for creating networking mindset and overcoming mistrust	6	1	3	3

Table 8: Actions to take for the implementation of the MPP project (Author's elaboration)

4.2.7 CONTRIBUTION TO KNOWLEDGE: A FORMALIZED APPROACH TO MSP

Overall, the analysis carried out at the *meso* level on the *eCulture Service PPP* project presents relevant characteristics in relation with the possibility to implement an institutionalized PPP/MSP at a *meso* level in the cultural sector.

The project shows a highly formalized procedure for the implementation of the partnership, based on a dialogue between the public and the private partners that is however developed in the framework of rather rigid scheme established at the EU level. Overall, the project is based on a top-down approach: the public authority and in particular the *Kulturbehörde* of the Ministry is not only the promoter, but also the steering authority in the partners implementation and in the definition of the projects and solutions presented by the private partners. This model presents undoubtedly advantages related to the coherence in the development of the *eCulture* project but seems however to lack the flexibility and stakeholder participation, in sum the ecosystem perspective, that is advocated at many level in the cultural sector as a governance model for the cultural field. The empirical analysis highlighted this issue, identifying the still minor attention paid to the creation of the authorizing environment needed to foster the creation of public, cultural and social value around a PPP/MSP project: this in turn resulted in a certain degree of resistance to the project by its potential main beneficiaries, cultural managers and communities, as shown by the answers provided during the research interviews.

4.2.8 CONCLUDING REMARKS ON PPS AND MSPS DEVELOPMENT IN THE CULTURAL SECTOR IN GERMANY

The analysis carried out in Germany is significant in providing insight on an approach to PPPs, MSPs that partially differs from other approaches emerging in Europe and at

the basis of a more cooperative, flexible approach to cultural governance systems and management models.

Indeed, the approach to culture in Germany is based on models of governance based on top-down perspectives that are implemented by means of a high control on the PPP by the state, regional or local authorities.

The importance of creating ecosystem frameworks, territorial governance structures based on the multi-level, multi-stakeholder models of partnership among the many subjects of the territory is perceived as a key feature of the cultural sector.

In our case studies, the analysis has shown that the *micro* PPP project was integrated vertically in wider range of MSP projects for cultural territorial development that are based on a common identity shared by the main public (local authorities and cultural authorities) and private partners (the AUDI automotive company); overall, the PPP project at the *micro* level reflected a more general strategy of relaunching and rebranding through culture that reflects broader trends at the national and international level. This interpretation of PPP is coherent with the results of the analysis at the *meso* level. The eCulture Service GmbH indeed interprets the creation of a MSP for application of new technologies to the cultural sector as an opportunity for development of a broader vision for strategic development linking culture with innovation and use of new technologies. In sum, both at the *micro* and at the *meso* level, ecosystem perspectives are considered relevant and are at the base of the governance structures and management models of the PPP case studies, and the intertwining between the cultural sector and cultural organizations and companies belonging to other sectors (automotive, IT, etc.) is encouraged. This demonstrates how trans-sectorial perspectives are considered as a viable model for implementing a rethought of the governance and management of the cultural sector.

However, the implementation of both PPP at the *micro* level and MSP at the *meso* level, as well as the fostering of ecosystem perspectives for cultural governance and management, showed some characteristics that could be considered peculiar of the German approach to PPP and that partially differ from the approach to ecosystem

MSPs in other European countries. Overall, the German perspective on PPPs seems to be based on a high level of control by the public authority: top-down approaches in which the local or state authorities take almost whole control of the PPP in the design and implementation procedures of the PPP itself, are preferred and this is shown both under governance and managerial perspectives and both at the *micro* and *meso* level. In general, this approach seems to be at the basis of the German interpretation of the ecosystem framework for PPPs in the cultural sector.

This control exerted by the state is reflected by the choice of highly formalized PPP models in the cultural sector, that though allowing the private partners to dialogue and to contribute, but limit the role of private enterprises to mainly funders (in the case of AUDI at the *micro* level) or proposers and executers of the cultural digitation projects, though allowing space for dialogue and a certain level of negotiation (in the Hamburg eCulture Service PPP). Moreover, in both cases just some of the local stakeholders are involved in the PPP, showing a restricted perception of the potential of multi-stakeholder involvement in cultural projects for innovation and strategic cultural development.

At both the *micro* and the *meso* level moreover, the role of citizens and communities is undervalued in its potential of bringing positive effects in the implementation of the PPP and MSP projects. Communities and cultural users are interpreted as beneficiaries of the cultural PPP projects, but are not involved neither at the governance and at the management level.

These features characterizing the German approach to PPPs and MSPs in the cultural sector have emerged as potential drawbacks in the creation of the authorizing environment that is considered essential for the successful implementation of a PPP/MSP project in the cultural field and could prospectively generate resistance to the project by the local stakeholders, cultural subjects and general local communities. In order to avoid potential failure, the stakeholder engagement and community involvement should be fostered by means of participatory approaches that promote

bottom-up perspective also in the design and definition of the criteria and goals of the public-private collaboration.

Though shedding light on these topics however, the research should be expanded to include more case studies at the national and local level, to provide a more complete picture of the changes going on in the governance systems and management models of the cultural sector in Germany.

4.3 THE DEVELOPMENT OF PPPS IN THE CULTURAL SECTOR IN ITALY

The aim of this chapter is to investigate public-private partnerships and multi-stakeholder partnership in the cultural sector in Italy, according to a double level of analysis, *micro* and *meso*. The research analyzes how the development of the public-private partnership in significant case studies resonates with the broader structural changes of the governance systems and management models in the cultural sector in Italy and how it is inserted in a wider trend of reforms that are rethinking the current models of the cultural field.

In order to provide a more complete picture of these structural changes, the chapter will first present an overview of the cultural sector in Italy (first section of the chapter), focusing in particular on its governance systems and management models and on the paradigmatic development over the last decades.

The following sections will presents the results of the empirical research, both on a *micro* PPP projects and on its development towards ecosystem and multi-stakeholder perspectives and on a *meso* level, on the possibility to implement a prospective multi-stakeholder public-private partnership in the territory of the Po Delta.

The empirical analysis will allow the author to draw some concluding remarks that contribute to the debate on the rethinking of the governance and management model of the cultural sector in an international perspective and that will be presented in the last section of the chapter.

4.3.1 OVERVIEW: THE CULTURAL SECTOR IN ITALY

The importance of cultural activities and cultural heritage in Italy has been at the center of traditional debates regarding the cultural sector (Settis, 2002; Sciullo, 2006); the country has been described as an open-air museum (Settis, 2002) and Italy is the first country in the world for number of UNESCO World Heritage Sites. Although reforms since the 1990s have tried to promote a gradual involvement of private subjects, in Italy the majority of cultural heritage is largely owned by the state and managed by central authority at the state level, the Ministry of Cultural Heritage and Activities and Tourism (MiBACT), that have various branches at the regional and local level (Girard 1996).

The MiBACT is in charge of heritage protection (Bobbio, 1992; Visser, 2010), also guaranteeing the preservation of cultural heritage that is owned by private subjects.

The Italian legislation on cultural heritage (d.lgs. 42/2004) divides cultural heritage management in two main groups: activities related to preservation and activities related to enhancement (Visser, 2010; Donato, 2010). “Preservation” is exclusive responsibility of the national authorities: it includes those activities related to the conservation and restoration of cultural heritage with the aim to protect it as a public good for future generations. However, protection related initiatives could be carried out jointly by the central public authorities and private partners, as long as the PPP project are respecting the preservation aims established by law.

Different institutions are currently in charge of heritage management in Italy: the central government manages heritage through the MiBAC, which operates by means of local organizational units—*soprintendenze*—that coordinate cultural policies and work together with local authorities in tourism and urban development. Though granting coordination on the whole national level, the *soprintendenze have traditionally encountered difficulties in reaching* effectiveness and efficiency at the territorial level. Indeed, while the Ministry calls for an approach based on strong centralization, enhancement implies approaches that are designed on the peculiar

characteristics of the heritage being managed and the cultural identity and assets of the territory.

As for enhancement, the valorization of cultural heritage should be carried out mainly by local authorities in full respect and compatibility with preservation; the two activities, though separated are often deeply interconnected. As underlined by Dubini, Leone and Forti (2012), the distinction between protection and enhancement activities is clearly defined under theoretical perspectives but it is blurred in practice.

Though outsourcing of cultural heritage management especially in terms of enhancement could be enacted also in partnership with private partners, public private partnerships in the cultural sector seems still to be under-appealing for private companies, since the cultural sector is still characterized “by market failures and relatively low appeal to private partners” (Dubini, Leone and Forti, 2012). Hybrid organizations and public-private partnerships are considered however as particularly challenging. private companies often are not interested in getting involved with public partners interests in business arrangements with high fixed costs and complex institutional frameworks, where highly specialized competences are required to them (Ferlie et al. 1996).

However, in reality “ancillary services” (audio guides, bookshops, cafeteria, etc.) are commonly outsourced to private entities, and various stakeholders (such as private professionals) might be involved both in preservation and enhancement of cultural heritage. Until 1992, private and not-for-profit subjects could be involved only to support one-shot projects with specific outputs (Bruti Liberati 1999) but the legislation changed between 1992 and 2004, enlarging the types and variety of entities potentially in charge of heritage management.

Multi-stakeholder approaches have been implemented mainly for enhancement and valorization of cultural heritage and activities, since valorization often implies tailor-made strategies and initiatives to be developed in an integrated way by the different stakeholders of a territory (cultural promotion agencies, tourism agencies, food and wine industries, transport companies, etc). According to these perspectives, culture is

interpreted in a broader framework of tourism enhancement, economic local development, and becomes part of a competitive urban environment.

Over the years, attempts have been made to give partial autonomy to specific sites such as five *soprintendenze* in charge of exceptional collections and sites such as Pompeii, Florence, Naples, Rome, and Venice (Guzzo 2003). Involvement of private subject, though deeply debated (Leon and Trimarchi, 2003) and sponsorship partnerships have become increasingly common, though often located in well-known urban centers, and targeting famous monuments and artifacts (Gasperi and Noël 2006). A notable role has been played by bank foundations that as statutory duty redistribute a portion of banks' profits to social and cultural institutions at the local level. So far, bank foundations have been some of the most relevant private actors involved in cultural heritage management, often becoming part of broader cooperation plans (Sciullo, 2007) or urban regeneration schemes.

The intertwining between national, regional and local administration results in a complex governance system that includes national, regional and local cultural authorities managing a composite variety of museums, heritage sites (both built and natural), both public and private. According to the available statistics (MiBACT, Culture 2014 – Basic figures), in 2011 in Italy there were 4,588 institutes open to the public, of which 3,847 museums, 240 archaeological areas, 501 monuments. These cultural institutions were for 63.8% public property, 36.2% private. Among these cultural institutions the great majority is civic: 41.6% are indeed municipal, 10% ecclesiastical, 9% are from the MiBACT.

Moreover, cultural sector includes a variety of archives and library and a varied framework of performing arts institutions. With reference to archives, in 2014 there were 100 State archives, one Central State Archives, 34 other historical archives under MiBACT. The majority were archives managed by local authorities (8,250 local authorities archives of which 8,092 municipal), over 50,000 archives belongs to other public entities (universities, chambers of commerce, cultural institutes, etc.) while 4,609 are State-controlled private archives (individuals and private legal entities, political parties, enterprises and foundations, family archives, etc.). With reference to

libraries, libraries recorded in the Register of Italian Libraries are 12,936: 6,467 belonging to local authorities, 1,978 belonging to universities (1,922 State, 56 non-State), 1,322 belonging to ecclesiastic institutions, 6,890 public reading libraries and 46 MiBACT public libraries of which 2 National Centres in Rome and Florence that work as a “legal deposit”, housing all Italian publications.

Finally, in terms of performing arts there are currently 1,905 institutions financed for more than 316 million euro, of which 14 symphonic/opera foundations, 26 traditional theatres, 67 resident companies, 12 concert/orchestra institutions, 2 youth orchestras, 70 dance companies.

In terms of governance of the cultural sector with specific reference to the development of PPPs in the cultural field, over the last decades the Italian cultural sector has shown similar mechanisms compared to other European countries, with a significant influence of the introduction of perspectives in governance systems and management models that are linked to the New Public Management and New Public Governance paradigms even though specific approaches have been introduced to adapt these concepts to cultural governance peculiarities (Thompson, 2001; Donato, 2010). In particular, since the starting of the 1990s new laws have tried to involve private subjects in the governance and management of cultural assets either outsourcing cultural services or changing the legal status of public cultural organizations (e.g. Ronchey Law, 14/1993; Legislative decree 367/1996 and 134/1998 on opera houses).

In general, in recent years changes have been advocated and enacted in the cultural governance systems and management models trying to introduce *meso* and ecosystem perspectives that are based on public-private partnerships or multi-stakeholders partnerships at the *meso*/territorial level. Though governance systems are still enacted and promoted as mainly public sector systems, the involvement of private subjects as well as of citizens and communities has been increasingly considered as a means to enhance Italian culture and as potential way forward to deal with the traditional and emerging challenges related to the impact of the economic and financial crisis on culture funding (Bonet and Donato, 2011).

The main models of cultural governance in Italy could be summarized in a matrix including two levels (*micro* and *meso*) and reflecting a different ownership by either public authorities or mixed public-private subjects (Donato, 2015).

	MICRO	MESO
Public	Traditional public governance model	Territorial public cultural system model
Public-private	Public-private governance model (corporate governance)	Integrated territorial cultural system model

Table 9: Cultural governance models (Donato, 2015)

The first model of cultural governance at the *micro* level is a traditional model of the cultural heritage sector in Italy, where cultural organizations are governed and management *in house* as part of another public institutions, usually the local authority. This model is still adopted frequently: cultural institutions are governed by public authorities and de facto are considered as part of the local, regional or state public institutions. This is a governance system and related management model that has been characterized the Italian cultural sector for a long time, and that reflects not only a very low degree of autonomy by the cultural subject but also a very low degree of involvement of stakeholders other than the public authorities, in particular citizens and representatives of local communities. Moreover, since the cultural institutions are strictly linked to the public authorities (often local authorities) the implemented perspective interprets cultural organizations as to some extent isolated from the broader context of the territory and with the various stakeholders operating in it.

In the 1990s reforms have been introduced to increasingly fill this gap, introducing hybrid forms such as the “institution” and the model of the “foundation”, that could be either entirely public owned or foresee the participation of both public and private subjects in its governance structures. Starting from the 1990s (more specifically, 1996-1998), the foundation has evolved into the model of the foundation of participation (*Fondazione di partecipazione* in Italian) where private subjects are given the possibility of becoming members of the governance boards of cultural foundations (Borgonovi, 1994): this legal status mixed approaches typical of foundations (namely,

the management of a legacy and patrimony) with characteristics of association (namely: a plurality of members). Initially, foundations of participation have been implemented mainly as a model for opera houses and theatres (among the first movers, the Foundation of the Civic Theatre in Modena in 2001), but they have been adopted also by other cultural subjects such as museum both at the local level and national level (e.g. the Foundation Turin Museums, “Fondazione Torino Musei”, in 2002 or the Foundation of the National Science Museum Leonardo da Vinci in Milan in 2000) or archeological sites (Fondazione Aquileia, 2008). However, the introduction of this legal status has obtained mixed results,(Visser, 2010; Donato, 2013 and 2015).On the one hand, from the perspective of public institutions, often private subjects have entered foundations of participation mainly providing funds for the institutions to compensate the decrease of public funding. Public authorities and cultural institutions have thus underestimated the capacity of private partners to contribute in terms of managerial and technical innovation. On the other hands, private subjects have interpreted the involvement in foundations of participation as a marketing or branding or corporate social initiative, instead than an investment in an entrepreneurial project (Donato, 2015). Under these two perspectives, the foundation of participation reflect an approach that is more similar to sponsorship schemes that to real public-private partnership models.

The two above mentioned perspectives, have increasingly been questioned in recent times due to the impact of the economic and financial crisis, that has caused a decrease of public funding to culture but also a decrease of sponsorship (less 30% in the period 2008-2012; Federculture, 2013). The decrease of both traditional funding has speeded up trends in cultural governance that were already present before the crisis but that became particularly evident, such as the tendency to create collaborations among cultural institutions and to create systems where cultural public institutions and private partners could cooperate.

These changes are inserted in the creation of territorial cultural systems at the *meso* level, either implemented as public-public partnerships in the territory or as public-private partnerships.

Among the category Public-Public Partnerships at the *meso* level, we can include the *soprintendenze speciali* (Special Superintendency for museums and heritage), branches of the national authorities for heritage and museums located in the territories. The special Superintendencies have been created in Rome, Florence, Venice and Naples with the aim to grant more autonomy to the museums located in those cities in terms of governance and management (Sibilio Parri and Dainelli, 2002), and to allow a better integrated enhancement and communication of the cultural heritage of those cities. Other models of *meso* public-public partnership are the local museum systems and networks promoted by local authorities (often regions or provinces). Example of museum networks include the Museum System of the Province of Ravenna (Sistema Museale Provinciale di Ravenna, implemented in 1997) or the Museum System of the Province of Rovigo (Sistema Museale Polesine, implemented in 2005). These museum systems, implemented at a multi-scale level represent a significant step in the implementation of ecosystem perspectives for cultural governance and will be further analyzed in the following section of this chapter.

The fourth model of cultural governance is the one referring to Integrated territorial cultural systems. This model, though still in the implementation phase in Italy, has recently entered the debate on the rethinking of cultural governance and cultural management in Italy; attempts to implement this model has been made in the recent reform of the Ministry of Cultural Heritage and Activity and Tourism in 2014 (Donato, 2015). This type of cultural governance systems are based on a higher degree of partnership between public-private and civic stakeholders in a territory and have been implemented mainly in UNESCO World Heritage Sites' management plans or in specific cases of Museum Systems as the one implemented in Siena. Both WHS's management plan and the Siena Museum System are based on governance bodies including multiple stakeholders, such as private bank foundations, chambers of commerce, universities along with cultural institutions and local authorities. Though this governance model is currently at the center of the debate, no systems of this kind

could be considered as multi-stakeholder partnership according to a restricted definition.

Nevertheless, this model seems the most interesting for our analysis, since it better represents an integrated ecosystem perspective based on a multi-stakeholder partnership system in the territory that could potentially be more suitable for the enhancement of Italian cultural heritage. Indeed they could prospectively represent the broader framework of actors related to Italian local cultural heritage, those characteristics are to be spread over the territory and deeply intertwined with local cultural and local communities (Borin and Donato, 2015). This model is the focus of the empirical research carried out in Italy.

The issues emerging in the theoretical debate on the governance systems and management models of the cultural sector in Italy are explored by means of an empirical analysis focusing on the *micro* project implemented in the historical heritage site of Herculaneum, the Herculaneum Conservation Project, and at the *meso* level in the potential for MSP development in the Po Delta area.

The analysis aimed at investigating the implementation of PPPs and MSPs projects at different levels of maturity. The HCP is a long-running project, started in the early 2000s and that is already entering a maturity phase, that includes an exit strategy aiming at handing the management and governance of the heritage site to the public authorities and heritage authority, through a progressive retiring of the private partner.

The research carried out at the *meso* level instead investigate a potential creation of a MSP in a territory that presents high potentiality for the creation of a MSP project in the cultural sector, towards the models of governance and management identified by the theoretical debate and by the most recent reform trends (multi-level, multi-stakeholder, trans-sectoral partnership tailor-made on the cultural identity of the territory). Though no formal MSP is in place of the territory of the Po Delta, the studying of the possibility of implementation of a MSP project in the area seems

particularly interesting for understanding the perception of the main stakeholders towards this type of initiative and for contributing to the debate on the rethinking process of the governance and management models in times of crisis.

4.3.2 MICRO LEVEL: THE HERCULANEUM CONSERVATION PROJECT

In the framework of the rethinking of cultural governance systems and management models in the Italian context, a frequently mentioned case has been the one of the Herculaneum Conservation Project (HCP), a public-private partnership collaboration implemented in the archeological site of Herculaneum near the famous Roman city of Pompeii.

This site displays the remains of an early Roman town, buried by the eruption of Vesuvius in AD 79; it has been inscribed in the UNESCO World Heritage Site List, together with the archeological sites of Pompeii and Torre Annunziata, since 1997. The site provides a vivid picture of early Roman society and daily life, and has been brought to light starting from excavation works in the 18th century. However, in the mid-nineties the site presented significant signs of decay and lack of maintenance, and it was even deemed as the “worst example of archeological conservation in a non-war torn country”. The heritage site, public owned and managed was extended over 45,000 square meters at the time had been in a general state of decay for decades: some site areas were closed and in parallel, an increasing number of visitors of the site created further preservation problems.

In 2001, an American not-for-profit foundation, the Packard Humanities Institute, showed interest in helping Herculaneum. An initial Memorandum of Understanding was signed in 2001 between the Packard Humanities Institute (PHI), the British School at Rome (BSR) and the *Soprintendenza Speciale per i Beni Archeologici di*

Napoli and Pompeii (the local heritage authority) to address the issues related to the site decay, thus creating the Herculaneum Conservation Project (HCP).

Although the project in Herculaneum was described as a relevant case for public-private partnership in the cultural sector by UNESCO and the initiative is always identified as a successful example of public-private partnership in the cultural heritage sector (Thompson, 2007a; UNESCO 2013 a, b), according to Zan the HCP that the financial and organizational aspects (Hodge and Greve 2007) of HCP have not attracted the attention they deserve, also considering the alleged significant status of the initiative. Zan indeed argue that this PPP represent an exception, a “border line” case especially in terms of approaches to managerial innovation in cultural heritage management and that it is an exception example of the intertwining of competences among public, private multiple stakeholders at different levels. “At Herculaneum, the partners agreed upon a conservation strategy that would maintain the original historical structures of the archeological site without introducing additional functions apart from cultural ones (research and visitors’ related activities). Moreover, financial gain was an objective only in terms of more sustainable models of site management, not profit for the private partners that act with an entirely philanthropic agenda” (Ferri and Zan, 2015).

4.3.3 GOVERNANCE AND MANAGEMENT PROFILES

The involved partners of the project were interested in carrying out preservation and valorization measures for the ancient Herculaneum in the long-run. As a result, the Herculaneum Conservation Project (HCP) was designed as long-term public-private partnership project promoted by a private foundation with the goal to provide support and capacity building in the management of the heritage site of Herculaneum to a local heritage authority ,the Soprintendenza Speciale per i Beni Archeologici di Napoli

e Pompeii and “to safeguard and conserve, to enhance, and to advance the knowledge, understanding and public appreciation of the ancient site of Herculaneum and its artifacts” (www.bsr.ac.uk; Thompson 2007b). The partnership involves three main actors: the public heritage authorities, the Special Superintendence for Pompeii, Herculaneum and Stabia and two non-profit actors, the Packard Humanities Institute foundation and the British School at Rome.

The project was developed through different phases that reflect an evolution of the partnership from a mere sponsorship funding scheme, to a real public-private partnership initiative and finally towards the integration of the project in its broader environment and the implementation of ecosystem perspectives in the territory.

The initial phase had the traditional characteristics of a sponsorship project, with the Packard Institute refunding the public partner of the expenses for the maintenance works and just partially carrying out a consultancy project investigating the most urgent needs of the site. In 2004, the partnership scheme changed: indeed, the private partner realized that the problems in the maintenance of the archeological site were not just related to a shortage of funding, but as well to a lack of managerial competences and skills in managing the funds and in implementing the preservation and enhancement related activities according to a project management perspective. As a result, the private partner promoted a partnership model that, according to recent changes in legislation, gave to the British School in Rome direct responsibility in undertaking conservation work on the archeological site. This sponsorship scheme was innovative in allowing the private subject partner to directly intervene and as a consequence of its direct management of own cost in the preservation activities, guaranteeing more rapid and flexible interventions obtained through direct appointment of professional and specialist in the different conservation projects (Thompson 2007b). The British School was allowed to carry out restoration and maintenance works as well as to promote research with the funds of the Packard Institute. The cooperation gave rise to the creation of mixed governance bodies and a

mixed project staff, that introduced project management approaches while also allowing capacity building in the public partner.

The sponsorship agreement was renewed in 2009 for the following five-years for a final phase of jointly programming and implementing the restoration works. The initial intervention were developed into a organized program of conservation works, while at the same time implementing research plans and carrying out investigation that were published and available for the scientific community, academics and heritage practitioners. Moreover, specific activities and publication were specifically targeting other stakeholders such as visitors, and local communities.

A specific aim of the project was the intertwining of the staff and of the representatives of the different stakeholders at the governance and management level. This issue, which is specific characteristic of the case study as well as particularly interesting for our analysis, will be further investigated in the following paragraphs.

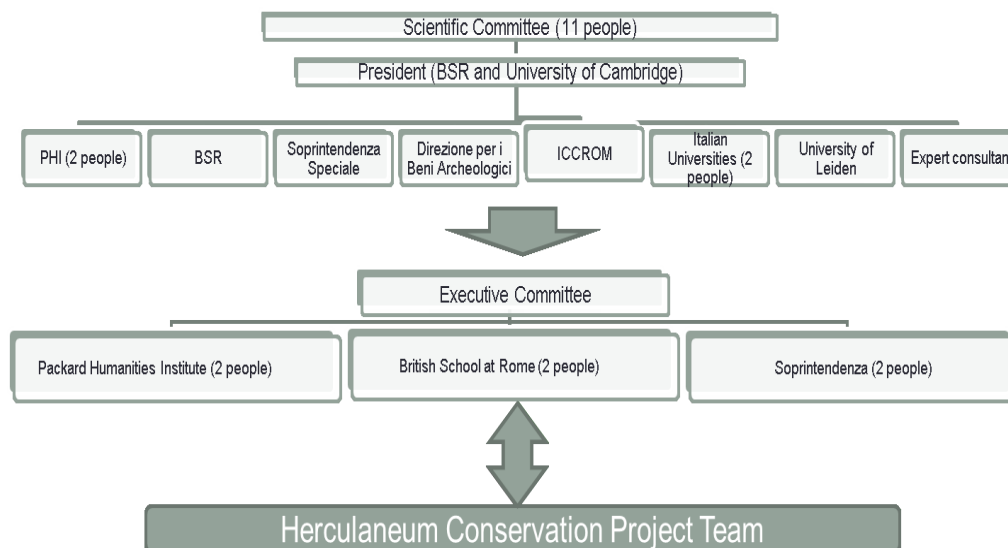
According to the analysis carried out by Dubini, Forte and Leoni specific procedures were implemented to defining the accountability of each partner on several issues. As the project manager reported, “Only a series of light, responsive and flexible mechanisms could relieve rather than compound the *soprintendenza*’s procedural difficulties and deliver the type of results described” (Thompson 2007a).

Key processes were developed jointly by the mixed team, providing financial, methodological, and operational procedure that increased the project management capacity of the public partner

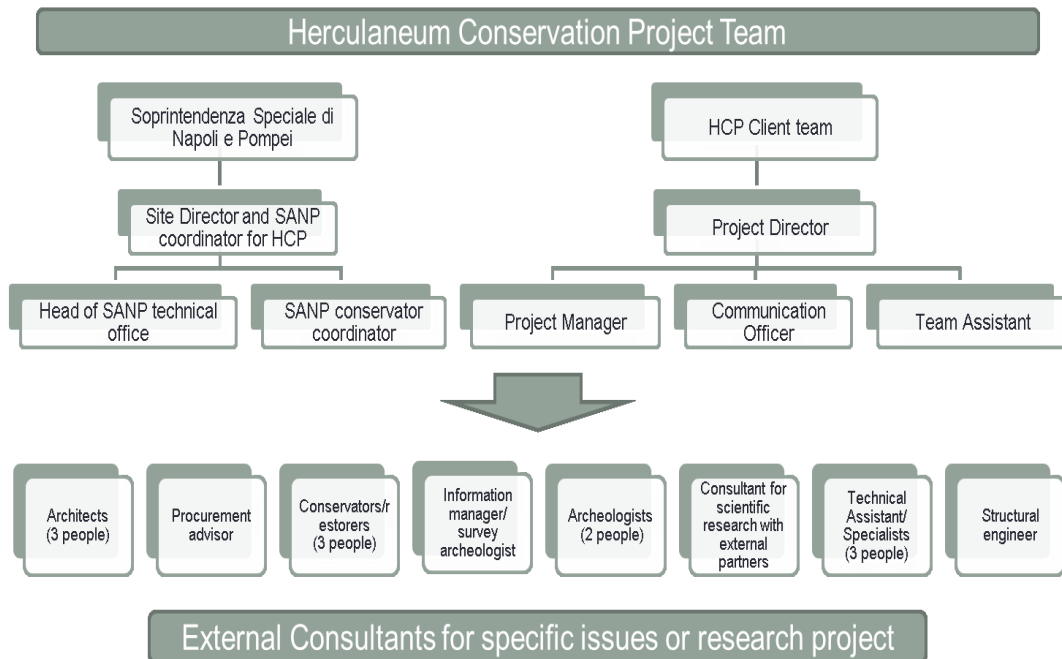
Project management and administrative tasks were commonly managed by the HCP mixed project team, among which coordinating the various conservation phases and designing, implementing, coordinating, and evaluating the overall preservation program. In this phase, the project has also expanded its network of collaboration:

cooperation initiatives were developed with the Getty Conservation Institute as well as with Italian and international subjects to carry out investigations of specific conservation problems for the archeological site as well as to identify the most appropriate methodologies for long-term preservation.

In this phase the governance and management structure of the project was better defined, resulting in the most relevant period for understanding the intertwining of the different stakeholders and partners involved. The cooperation gave rise to the creation of mixed governance bodies and a mixed project staff, that introduced project management approaches while also allowing capacity building in the public partner. In short, the project was supervised by a Scientific Committee including two representatives of the local heritage authorities, two members of the Packard Humanities Institute and two members coming from the British School at Rome, as well as by experts from universities and heritage international authorities; the committee worked in close contact with a six-member Executive Committee, that presented the same balance of representatives from the three main actors involved.



Under managerial perspectives, a project team was created, supervised by a director (who was also president of the scientific committee) and managed by a project manager specifically hired for the project; the team involved experts from the local heritage authority, other local public authorities, independent consultants, private companies and freelance experts in the heritage sector.



After this phase, the “exit-strategy” was implemented, aiming at progressively let the public authorities take full responsibility of the site and creating deeper links with the local civic, social and economic stakeholders. The success of this phase of the project is testified not only by the better conditions of the archeological site, but also by the positive spillover effects the public-private partnership created in the town community, leveraging the design of projects of urban regeneration (Urban Herculaneum project, implemented in 2003) as well as other public-private initiatives of community engagement and participation, directed both to the local and

international community. In terms of the analysis on the development of ecosystem perspectives and multi-stakeholder partnership, this phase seems particularly relevant because it promoted informal as well as more formalized partnership agreements with other local stakeholders as well as with related projects aiming at urban regeneration and cultural, social and economic development of the area.

The Herculaneum Conservation Project promoted the implementation of the International Center for the Study of Herculaneum partnering with the Herculaneum Association, a local not-for-profit association set up by the Municipality of Ercolano, the Soprintendenza Speciale per I Beni Archeologici di Napoli e Pompei, and the British School at Rome. The International Center was a significant example of how the private investment and the related increased attention created around the archeological site was able to trigger further public funding for site-related activities. In turn, the International Center decided to promote the involvement of local residents, in order to implement a sustainable model of preservation and enhancement of the archeological site promoting the creation of social and cultural value for an area that was facing considerable problems in terms of social and economic development. Communities and citizens were involved in initiatives for enhancement and preservation in the long-term.

Moreover, teachers coming from the schools of Ercolano and nearby towns have been the target of specific capacity building activities including teaching manuals; international workshops and study days. Research internships and international workshops are available. This framework of activities aimed at increasing the spillover effects of the project in the cultural and social ecosystem surrounding the archeological project and in creating the supporting environment (Moore, 1994; Benington and Moore, 2011) that could guarantee long-term sustainable PPP models for the local communities, reinforcing the strengths of local organizations and communities and other cultural associations. In sum, the role distribution of the public-private partnership changed opening up to the local and international communities, as illustrated in the figure here below (Dubini, Forte and Leoni, 2012)

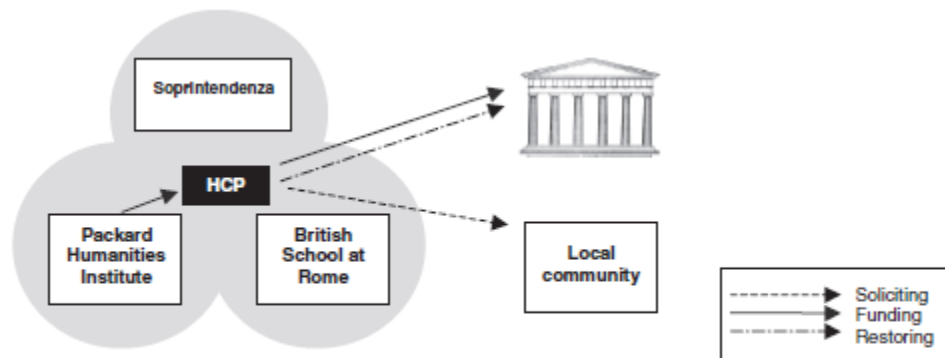


Figure 34: Design of the Herculaneum Conservation Project (Source: Dubini, Forte and Leoni,, 2012)

With reference to our analysis, this exit strategy implemented since 2014 for the archeological site of Herculaneum through the HCP seems particularly relevant. It indeed could be therefore interpreted as the development of the *micro* project established at a highly formalized and structured level into a more informal and more flexible scheme of multi-level, multi-stakeholder partnership at the *meso* level that could potentially evolve in a more formalized structure in the future.

4.3.4 CONTRIBUTION TO KNOWLEDGE: CAPACITY BUILDING AND INTEGRATION WITH THE TERRITORY

The analysis carried out on the Herculaneum Conservation Project aimed at understanding the governance and management profiles of this PPP project and in interpreting its development in the framework of the implementation of ecosystem approach in the territory to verify its consistency with the trends of debates going on on the governance systems and management models of the cultural sector in Italy.

The analysis highlighted that the evolution of the partnership project is in line with the reinterpretation of the traditional role of sponsors of cultural organizations and initiatives in terms of a more active contribution and intertwining of skills and competencies both at the governance and management level. The PPP project indeed, though started and still based on philanthropic aims by the private partner, has shown an increasing level of cooperation at multiple level between the three main partners, and between a variety of professionals and companies operating in the territory.

Particularly significant for our analysis is the most recent phase of the partnership implementation. In this phase an “exit strategy” was implemented, that aimed at creating an authorizing environment around the project and at enhancing not just the preservation of the heritage site but also its value creation potential for the surrounding territory. These objectives were reached by means of the implementation of ecosystem initiatives with the territory and with the collaboration with similar projects in the Herculaneum area. Moreover, the project seems to implement various initiatives aiming at encouraging the involvement of the communities, both at a local and international academic and scientific level. The HCP is therefore implementing ecosystem, multi-level partnership schemes that are in line with the more recent theoretical debates on the changing role of culture in times of crisis.

4.3.5 MESO LEVEL: THE POTENTIAL OF THE PO DELTA AREA

The literature review highlighted that new governance systems at the *meso* level are emerging along with more traditional models of collaboration between public-public and public-private partnership. Moreover, recent reforms of the Ministry of Cultural Heritage and Activities and Tourism are attempting to foster the creation of cultural

ecosystems based on multi-stakeholders, multi-level partnerships developed in the territories consistently with the cultural identity and with the cultural heritage of the territory itself, but that would also involve stakeholders of the civic communities and of the multiplicity of private, for-profit and not-for-profit associations operating in an area. This approach promotes cross-sectorial perspectives and a level of partnership between different members at the governance and at the management level.

Though advocated at the theoretical level by academics and at the practical level by political leaders and cultural professionals, this type of multi-stakeholder partnership is still missing as a common governance form in the cultural sector in the country. There are indeed examples of such governance systems (e.g. in the Siena area, in the Polesine-Rovigo province) but they are still reflecting a organization of the governance structures limited to the administrative divisions rather than really reflecting the cultural identity of the territory or involving in a flexible system the most important public-private and civic subjects in a trans-sectoral perspective.

As said above, such MSPs at the *meso* level are not currently in place but a preliminary analysis of the current models of the cultural sector in Italy shows that their creation could be a way forward for dealing with traditional and emerging challenges that the cultural sector is facing as a result of the impact of the crisis. Therefore the empirical analysis at the *meso* level, focused on the identification of an area where such an ecosystem MSP or PPP could be implemented and that carried out interviews with the main subjects that could be involved in the ecosystem to understand their perception of the creation of a *meso* governance system, its difficulties and the actions that could be carried out for its practical implementation. The research therefore partially differs from the investigations carried out in the other European countries, but seems nevertheless particularly interesting since it could capture the main drivers of the rethinking process of the cultural governance systems and managerial models in the country, proposing some practical remarks that could guide the real implementation of such MSP project.

The area of research was carefully selected to reflect the characteristics of the potential MSP system. The background for the research design was provided by the literature on the subject of cross-sectorial networks and on the debate on the rethinking of the paradigms of cooperation in the cultural sector. In particular, the research on leadership, facilitators and the role of pre-existing networks as key factors in MSPs systems (Bryson, Crosby and Stone, 2006; Skelcher, 2005) seemed particularly significant. It indeed influenced the choice of focusing on an area that not only had a strong cultural identity but also where cultural networks were already in place. The literature review convinced us to study the perception of local key movers in order to explore the potential and difficulties for the practical implementations of cross-sectorial networks. As previously mentioned, the current research trends interpreting culture as an ecology and promoting the creation of ecosystem perspectives for the cultural sector at the *meso* level, (Holden, 2015; Donato, 2013) bringing the actors together on the basis of shared cultural heritage that is not strictly related to an administrative division led to the choice to look for an area with a multiplicity of subjects – public, private and non-profit – operating in the cultural sector or in related fields but in a trans-administrative perspective (for instance, in different provinces or regions) but sharing a strong common cultural identification.

The Po Delta area in Italy presented all these characteristics and therefore it was chosen for the research. The area comprises three provinces (Rovigo, Ferrara and Ravenna) belonging to two administrative regions (Veneto and Emilia-Romagna) that over the years have received important recognition for their cultural and natural heritage and landscapes (Ravenna, Ferrara and the Po Delta have been added to the UNESCO World Heritage Sites list). As discussed previously, in the area there were two local museum networks already in place: in Rovigo the Sistema Museale Provinciale Polesine (Provincial Museum System of Polesine) and in Ravenna the Sistema Museale della Provincia di Ravenna (Network of the Museums in the Province of Ravenna). Moreover, two provinces (Ferrara and Ravenna) have already implemented management plans for their UNESCO World Heritage Sites, that largely reflect an ecosystem MSP approach. These experiences could therefore be indicative

that the territory might be ready for a rethinking of its governance systems in the cultural sector towards the territorial public-private and civic stakeholder perspective that has been at the centre of the cultural policy debate in Italy. Furthermore, culture in its broader interpretation (e.g. intangible heritage, landscape heritage, cultural and creative industries, tourism industries, traditional wine, food and agriculture, etc.) has been often mentioned as one of the drivers of the socio-economic development of the area. Implementing a MSP governance structure in this territory could potentially start from the experience of the UNESCO management plans and on the current cultural networks (that to some extent are already trying to establish cooperation agreements among them) and, through the support of local political authorities, attempt to involve local cultural and creative industries and companies operating in related fields (more specifically, tourism sector, transport sector, food and wine industry, IT, etc.) as well as the many cultural not-for-profit associations often involving citizens and communities. A PPP based on a multi-stakeholder approach could be based on a governance system involving representatives from this multiplicity of backgrounds, with the aim to enhance the common cultural identity to promote an integrated and sustainable model of local development through culture. The common goal of this ecosystem MSP could be to generate positive spillover effects on the local economic and social development, promoting job creation but also social, relational and cultural value for the various local stakeholders, as well as communities and citizens.

In sum, the area of the Po River Delta was selected as the most appropriate since it carries a number of characteristics that are typical of many Italian regions: it combines natural landscapes of great relevance with important cultural and tourism attractions, as well as a variety of cultural and creative industries and existing experiences of integrated UNESCO management plans and existing cultural networks.

4.3.6 GOVERNANCE PROFILES AND PERCEPTION OF THE PROJECT

The first phase of the research tried to understand the current governance systems in place in the territory, with a special focus on the development of public-public partnership structures (museum networks and systems) and ecosystem projects: this preliminary research provided relevant insights to understand the framework for the development of the following phases.

First research results highlighted that the area was inhomogeneous in terms of existing networks and their propensity towards ecosystem approaches. In the territory, there were two museum networks, one implemented by the province of Rovigo and the second by the province of Ravenna. In Ferrara no institutionalised museum system was in place, but the Department of Culture and Tourism of the city was increasingly promoting cross-sectorial networking (formal as well as informal) between various subjects in the territory, calling for cooperation among private cultural and creative companies, tourism companies, arts and craft SME, creative industries and IT agencies.

Preliminary interviews were then carried out with staff or managers of the museum networks in Rovigo and Ravenna and with the manager of the Department of Culture of the Municipality of Ferrara to better understand the development of informal MSP approaches in the territory. The interviews were based on a semi-structured protocol aimed at understanding the extent and models of ecosystem networking and completed by the interviewer during a face-to-face conversation. The analysis of these interviews gave a clearer outline of the state of the art of ecosystem MSPs in the area, which will be summarized in the following paragraphs.

The city of Ravenna was inscribed in the UNESCO World Heritage List in 1996 for its outstanding universal value being of remarkable significance by virtue of the supreme artistry of the mosaic art contained in its monuments, and also because of the crucial evidence that they provide of artistic and religious relationships and contacts in an

important period of European cultural history.² In 1997 a museum network in the province was implemented by the provincial council,³ with the goal of supporting local museums in their development projects, and fostering joint, integrated programmes that could attract more resources (both with reference to capacity building and skills and as increase capacity of attracting funding from the region and from the EU projects and finally in the creation of economies of scale). The Ravenna museum network includes 42 museums (comprising state museums and local authorities' museums, foundations, museums belonging to associations or private subjects). The system is an institutionalised structure with a governance body including directors of the museums: the committee holds periodic meetings (at least 2-3 times a year) to design strategies to be jointly implemented. With reference for its management that coordinate joint outreach and communication activities (e.g. the website and social media strategy), and publishing various communication and promotion materials for the network members. Specific quality standards and criteria are required to join the network; however, the *Sistema museale* is particularly available to cooperate with external stakeholders, both in the cultural sector and in other fields, according to ecosystem perspectives including both public and private actors. It has established cooperation with two smaller local museum networks (the museum network of the City of Faenza and that of the Lower Romagna region), and with other province and regional associations (in particular the provincial libraries and archives networks), promoting the following categories of activities: cultural and educational, outreach, communication and marketing, fundraising. The network is currently working on the creation of an integrated museum-libraries-archive project, trying to design a joint governance and management structure involving these three systems called MAB⁴; through this project, one of the first being implemented in the country, Ravenna is playing a significant role in the promotion of cultural and MSP ecosystems in Italy.

² The criteria met by the city of Ravenna for its inscription in the UNESCO World Heritage List are fully described in the UNESCO official website at: <http://whc.unesco.org/en/list/788>

³ Further information is available on the website of the Sistema Museale: <http://www.sistemamusei.ra.it/>

⁴ "MAB – Musei Archivi Biblioteche" project, is a project promoted by the three main national association of Libraries (AIB – Associazione Italiana Biblioteche), ANAI (Associazione Nazionale Archivistica Italiana) and the Italian Section of ICOM International. Further information are available at the website: <http://www.mab-italia.org/>

The network joined the tourism project *Visit Romagna Card*, a collaboration including cultural organisations, tourism associations and various companies operating in different fields (the transport sector, hotels, restaurants, food and wine companies, craftsman and SMEs, etc.). The level of involvement of civic stakeholders seems still at an initial phase: and the relation with the citizens is mainly interpreted as recipient of cultural contents and as a subject towards which the network should be transparent and accountable.

The province of Rovigo, strategically located at the centre of the area of the Po Delta, had implemented since 2003 (formalised in 2005) a museum network for the province, the Sistema Museale Provinciale Polesine (Provincial Museum System of Polesine). The system/network is an institutionalized one but with a rather flexible governance structure that is taking non-binding decisions for its members. The network includes 28 museums both public (state or local), private or managed by local associations. The network was implemented by the cultural department of the province through a cooperation agreement that foresaw the creation of a governance structure including some of the most important museums in the area, both public and private. Its governance. Since its creation, the governance body was a committee including the directors of the various museums, but the leader, coordinator and pivot in the network was always the Province of Rovigo. Periodic meetings and an annual conference are planned for creating moments for knowledge sharing and strategic programming, but, as clarified by the interviewees, the governance bodies take non-binding decisions and simply promotes moments of confrontation, best practice sharing. The network has offices shared inside the province departments and province staffs are employed in the daily management of the activities of the network, which are mainly related to educational activities, outreach and communication (including website and social media), marketing and fundraising. Under a *meso* ecosystem perspective, the network collaborates with local tourism associations and with other cultural networks and associations, especially to organized shared cultural activities but, the implementation of such agreements is mainly competence of the individual museums in the network. A significant ecosystem cooperation has been the one with the “*Comitato Permanente per la Conservazione e*

la Valorizzazione dei Beni Culturali e Ambientali in Polesine”, a permanent working group established in 1995 that epitomizes an interesting example of cooperation between public and private subjects including more than 58 entities belonging to various sectors (the cultural and creative sector, tourism, CCIs, IT, and other local small enterprises). Over the last three years, the *Comitato* has been particularly involved in fostering dialogue and knowledge flow among cultural policy decision makers and the museum network of the province. This emerged in particular during the interviews, when the committee was frequently mentioned as a privileged partner for many of the activities and policies in the Rovigo area. The level of citizens’ engagement is still to be developed; the network promotes outreach activities towards the local communities but there is no specific cooperation in the planning and programming of the network’s strategies.

In the Province of Ferrara no museum network was in place but the area developed relevant experience in the development of management plans for the UNESCO World Heritage Site of Ferrara and its Po Delta. Ferrara was included in the UNESCO World Heritage List in 1996 as an outstanding planned Renaissance city which has retained its urban fabric virtually intact.⁵ The inscription was extended to the Este ducal residences in the Po Delta, as area bringing the influence of Renaissance culture on the natural landscape in an exceptional manner; later on also to the whole Po Delta area was included, as an outstanding planned cultural landscape which retains its original form to a remarkable extent. There are various museums in the province that could be gathered into an informal network guided by the province of Ferrara (in total 28 local museums, four state museums, and three private museums), but there is no formalized museum network as in the provinces of Ravenna or Rovigo. The municipality of Ferrara however promotes ecosystem, trans-sector collaborations among various cultural institutions (both private and public), as well as among actors operating in diverse sectors, with the main goal of organizing cultural events in the territory. The two institutionalized museum networks operating in the Po Delta area (Rovigo and Ravenna) were mainly design and implemented as initiatives of the

⁵ The full description of the criteria met by the city of Ferrara and the Po Delta for their inscription in the UNESCO World Heritage List are available at: <http://whc.unesco.org/en/list/733>

cultural departments of local authorities. Hence, the cooperation network fostered by the Ferrara's Department of Culture could be considered an in-fieri informal network with the potential to evolve in a more formalised and institutionalised structure. As a matter of fact, the interviewees argued that a network could be considered *in the future, and that currently* frequent meetings between museums, cultural associations, tourism companies and a variety of other stakeholders are regularly held to implement cultural, educational and tourism initiatives, focusing in particular on issues of marketing, communication and fundraising. Under managerial perspectives, the municipality is in charge of managing communication for this informal network, developing the website and communication activities for the shared initiatives. Moreover, compared to the other provinces ecosystem and MSP perspectives seems to be fostered in terms of the involvement of civic stakeholders: the level of citizens' involvement seems more developed and the interviewees argue that the municipality tries to engage the representatives of the local communities in their meetings.

Consistently with the other phases of the research, a series of empirical interviews were implemented to investigate the potential development of MSPs and PPPs in an ecosystem perspective in the area.

Since compared to the case studies examined in other countries no current MSP or PPP project was implemented, the analysis focused on the potential creation of such a governance structure, investigating the perception of a MSP governance system and management model based on a cross-sector approach and ecosystem perspective by the key prospective "sponsors" and local players potentially promoting, designing and implementing this type of local territorial ecosystem. (policy makers, cultural managers and other stakeholders operating in culture-related sectors). The investigation, meetings and document analysis carried out in the first phase provided the basis for developing a more coherent interview protocol, that nevertheless was consistent with the interview protocol used for the research interviews in the other countries. When the interviewees were contacted and asked whether they were available to participate in the research, more information were provided on the theoretical framework of cultural ecosystems, MSPs and PPPs in order to clarify any

potential doubt on the governance systems and management models to which the interview questions referred. The interviews were implemented either as a face-to-face individual interviews or as group interviews aiming at stimulating discussion among the participants and thus partially providing insights on the potential interactions between the key players of the cultural MSP governance structure.

The semi-structured research interviews were developed through a flexible protocol that allowed the collection of additional information while at the same time focusing on the following three research topics:

1. What is your opinion on the possibility of implementing a multi-stakeholder, public-private partnership in the cultural field but involving the participation of subjects coming from different sectors in the area of the Po Delta? What could its potential and main advantages be?
2. What are the main difficulties in creating and implementing such a multi-stakeholder public-private partnership project in the area of the Po River Delta?
3. What are actions to take to overcome the difficulties in implementing this MSP project and related governance and management systems in the area?

The interviews were carried out with the frequent presence of two interviewers, and the data were elaborated through manual content analysis. Confronting the answer, some common points and similarities were identified and as a result the answers were classified according some relevant macro-categories of responses. The data were later examined according to the three categories of key players (policy makers, cultural managers, other stakeholders) in order to capture their different perspectives and drawing some concluding remarks on their role in the implementation of a governance system and management models for MSP in the Po Delta territory. The results of this investigation are discussed in the following paragraphs.

The answers to the first research topic pointed out that an almost unanimous positive perception of the possibility to implement a multi-level, trans-sectoral MSP in the Po

Delta territory. The interviewees affirmed to be potentially interest in implementing such a project, and just one cultural manager expressed scepticism about the practical implementation of this governance system and management model, since it would call for significant efforts from all the partners and the local authorities participating in it. Nevertheless, the interviewee recognised the potential of this potential partnership and highlighted its important effects in terms of creation of public, social and relational value.

The main perceived potentials of the MSP project were identified in the possibility to generate for positive spill over effects on the socio-economic development of the territory in terms of job growth, fostering the development of both already existing and start-ups enterprises and better valorisation of the resources of the territory. The creation of social values was another significant category, interpreted as social capital obtained through citizens' participation and community engagement (both answers were given by 100% of the sample). The interviewees claimed that creating a governance structure uniting cultural institutions with the various organizations of culture-related fields (e.g. IT, tourism, food industry, event management, PR, transport, etc.) will foster the creation of a more integrated cultural offer, increasing the attractiveness of the Po Delta territory not only for tourists, but also for potential local investors and private companies as well as for local communities, thus also creating social value for various categories of citizens. Other relevant answers regarded the reinforcing the tendency for cross-sectorial perspectives based on synergies between different sectors on the basis of common goals (56%), potential better knowledge flow among the subjects operating in the territory thus increasing the innovation potential of the area (both 67%). Advantages were perceived in terms of improved communication between the various stakeholders, better knowledge management among the subjects (joint knowledge management for the MSP). As a consequence improved relations could be fostered between the members of the partnership. With reference to the analysis for category of stakeholder, all policy makers considered the possibility of establishing better knowledge flow mechanisms in the area as relevant potential, whereas cultural managers were focusing more on

the possibility to better knowledge management among the partners of the MSP at the territorial level, as well as on the managerial and technical innovation that such a public-private cooperation could foster. Significantly, the potential of cross-sectorial innovation was frequently mentioned especially by the interviewees of the Province of Ferrara, the province where the implementation of cross-sectorial multi-stakeholder and ecosystem perspectives were developed at the most, though just as an informal level.

	Frequency Policy makers	Frequency Cultural managers	Frequency Other stakehold ers
Perceived Potential of cultural MSP projects in the Po Delta area			
	2	1	1
	1	2	1
	3	2	1
	2	1	1
	2	2	0
	3	2	1
	3	3	3
	3	3	3

Figure 35: Perceived potential of the MSP project (Author's elaboration)

The second research question led to interesting discussions about the most significant perceived problem that could arise when implementing a multi-stakeholder partnership.

A frequently mentioned response was the mistrust among potential participants (answer given by 100% of the total sample of the interviewees). As a matter of fact, the interviewees argued that there is general lack of trust mainly between public and

private subjects, the former category considering the second too focused on commercial aspects and on profits, whereas the latter often accuse public subjects of inefficiency and ineffectiveness in the carrying out of projects and activities.

	Frequency in the total number of interviewees	Frequency Policy makers	Frequency Cultural managers	Frequency Other stakeholders
Perceived Difficulties of cultural MSP projects in the Po Delta area				
Lack of human resources apt to work at a <i>meso</i> level	8	3	3	2
Lack of professional profiles working as facilitators between the subjects of the ecosystem	8	3	3	2
Lack of managerial tools conceived for working at a <i>meso</i> level	4	2	2	0
Technical and administrative problems related to knowledge flow between different institutions	8	3	3	2
Mistrust between potential members of the ecosystem	9	3	3	3
Incomplete presence of advanced communication infrastructures such as broadband, optical fiber, FTTH, etc, preventing effective communication	8	3	3	2
Lack of diffused entrepreneurial mind-set	8	3	3	2
Diverse administrative domains perceived as obstacles to the development of networking and collaborations	8	3	3	2
Subjects are not used to identify common goals through community involvement and citizens' participation	3	1	2	0

Figure 36: Difficulties of the MSP project (Author's elaboration)

These prejudices among the members could prevent them from collaborating and create general dissatisfaction in the MSP. Other frequently mentioned drawbacks were the differences in domains and sectors that lead to a different approach to procedures and projects, technical problems related to knowledge flow; lack of communication tools for working at a *meso* level, inappropriate infrastructures, lack of professional profiles and human resources prepared to working in a cross-sectorial environment (all these issues were pointed out by 89% of the interviewees); as well as lack of managerial tools (56%). Issues related to difficult identification of common goals and objectives among the members and a general lack of habit in involving citizens and communities in the process of definition of goals and missions are other potential drawback of a MSP project in the territory. In the analysis of the results given by the different categories of key players, it is significant that the reference to

the fact that potential members are not used to identifying common objectives and that they might lack managerial tools was less perceived by the “other stakeholders” category of interviewees.

Finally, the answers emerging in the third research topic provide interesting insights on what could be done to solve the potential problems and foster the necessary basis for the implementation of a MSP in the territory of the Po Delta.

	Frequency Policy makers	Frequency Cultural managers	Frequency Other stakehold ers
Actions to take for the Implementation of cultural MSP projects in the Po Delta area			
	3	2	0
	3	2	1
	3	2	0
	2	2	1
	3	3	2
	3	2	1
	3	2	1
	3	3	3

Figure 37: actions to take for the implementation of the MSP project (Author's elaboration)

100% of the research sample agreed that the MSP project should be based on a set of activities and initiatives aiming at enhancing cooperative approaches among the members. Examples of these activities are for instance focus groups and consultation plans that would allow potential participants to get to know one another, thus creating synergies that could unlock the impact of the MSP in the socio-economic

development of the territory. Identifying common goals on the basis of the shared cultural identity were identified as having relevant importance. One of the participants claimed that “pointing out what unites the subjects, their common values, identity and objectives could really be the basis for creating a cross-sectorial network” since it could foster the sense of belonging and motivate the subjects to cooperate together. A relevant sample of participants (89%) argued that a priority for the MSP should be resolving the potential mistrust among its members through the implementation of action plans and initiatives to promote better relations between the subjects. Other common responses were related to the implementation of a long-term plan of training and educational initiatives for the staff (to increase the general predisposition towards trans-sectorial cooperation and peer-to-peer confrontation), as well as a scheme of incentives that uses public funding as a lever to encourage an entrepreneurial mindset creation among the different local stakeholders. Designing a suitable governance structure was also a key idea, while other responses stressed the need to interpret digitisation and sharing economy technologies as tools to improve communication among the participants as well as interaction with the local communities. As for the peculiarities of the answers provided by the three categories key players, it is interesting to point out that the need to develop a suitable governance structure was more frequently mentioned by policy makers than by the other interviewees, stressing the politically-perceived relevance of maintaining balance among the different members. Policy makers were also more focused on the need to rethink the role of public funding, claiming that cultural organizations are currently mainly funded through public funds and that, in times of crisis and decrease of public cultural budgets, they should develop a more entrepreneurial attitude and encourage other sources of revenues based on partnerships between public and private subjects. Cultural managers seem instead to be focused more on the preservation of cultural values, repeating the need to develop innovative educational policies as priority actions.

4.3.7 CONTRIBUTION TO KNOWLEDGE: POTENTIAL FOR IMPLEMENTATION OF A MSP FOR THE CULTURAL SECTOR IN THE PO DELTA AREA

Though no formalized MSP or PPP was in place in the Po Delta area, the investigation carried out in this territory and the interviews with its key players provided relevant insights on the consistency of MSP and PPP projects at the *meso* level in the territory in line with the trends of debate of the rethinking of the governance systems and management models of culture in Italy. The territory of the Po Delta seems particularly suitable for the implementation of cultural ecosystems based on MSP governance models, for its high presence of cultural and creative assets, cultural and creative industries and related industries but also because previous initiatives for networking and cross-sectorial collaboration were implemented, including museum and cultural networks UNESCO management plans based on ecosystem approaches.

Implementing an MSP for the cultural sector in the territory would be working on the existing relations and governance structures to build a governance body based on a multi-level, multi-stakeholder, cross-sectorial approach (Borin and Donato, 2013).

As resulting from the interviews with the potential facilitators of this MSP, the key drivers for this type of governance and managerial changes are mainly intangible, with a relevant role played by the creation of trust and social capital on the basis of the common cultural identity shared by the potential participants. The focus on the common cultural identity, that overcome a logic of administrative division in provinces, regions and local authorities, is what can be considered a peculiarity in the design and implementation of MSPs and PPPs for the cultural sector. It is moreover consistent with recent trends of development of public-private cooperation schemes

for the cultural sector as based on the peculiarities of the territory and tailor-made with the stakeholders operating in it.

4.3.8 CONCLUDING REMARKS: PPPS AND MSPS IN THE RETHINKING PROCESS OF CULTURAL GOVERNANCE AND MANAGEMENT IN ITALY

The purpose of the analysis carried out on PPPs and MSPs in the cultural sector in Italy was to investigate how these partnership schemes are developing in recent years and how the changes in MSPs and PPPs is inserted in the broader framework of the rethinking of the governance systems and management models of the cultural sector in the country.

The empirical analysis carried out in two significant case studies in Herculaneum and in the Po Delta region contributed to the debate on this rethinking process. In particular the development of PPP and MSPs both at a *micro* and at a *meso* level in the selected case studies shed further light on the potential application of the advocated reforms of governance and management models in the cultural field and provides insights on existing and potential drivers for designing and implementing such reforms of cultural governance and management both at the *micro* and *meso* level on the basis of the development of public-private partnership an ecosystem perspectives and in particular on multi-stakeholders partnership perspectives.

As the *micro*-level the analysis focused on a PPP Project based on a philanthropic aim but that overcame the traditional sponsorships schemes. However, the HCP questions the tradition role of the private subject: HP was not simply the subject financing the initiative or providing technical services for the cultural projects but his intervention was aimed at creating an impact at the managerial level in the public partner, promoting the development of missing project management skills and aiming

at capacity building in the public authorities in charge of the management of the archeological site. In terms of governance, though the project was implemented at a *micro* level in a very specific archeological site, since the beginning the governance and management was designed to involve multiple partners and on a multi-level scheme, that resonates with the schemes that have been proposed in the debate on the rethinking of governance and management models for the cultural sector in Italy. First, at the governance level, the project involved since the beginning three subjects, aiming at reflecting the need for multiple perspectives in the governance of a complex archeological site such as Herculaneum. The following developments of the project – and in particular the last phase and the exit strategy - show an increasing need for the involvement of other stakeholders and for creating a new governance system that overcomes the *micro* interpretation of the HCP and inserts it in a broader scheme of territorial development at the *mesolevel*: the exchange with similar projects such as Urban Herculaneum and the attempt to create a dialogue with the community and with the other local authorities. Though the links at a governance level are still rather informal, the current governance is trying to develop them in a more structured way as a part of the creation of an ecosystem around the Herculaneum site that reflects a multi-stakeholder partnership perspective. Second, at the management level, the HCP was based on a multi-stakeholder management model based on competence between sharing and capacity building both at a technical and a project management level. In fact, the success of the project was deeply constructed on the intertwining of know-hows and skills between public authorities and a variety of private subjects, professional and agencies in a trans-sectorial, ecosystem framework. Finally, the final phases of the project again confirm the tendency to interpret the development of a MSP according to ecosystem perspectives specific for the cultural sector and that are implemented on the basis of the need to build or rediscover local cultural identity that is common to public, private and civic subjects of the territory and promote cohesion among the many actors of the area in a trans-sectorial perspective.

At the *mesolevel*, the analysis of the case study of the Po Delta territory highlighted interesting analogies, showing that potential PPPs and MSPs governance scheme

should be implemented according to trans-sectorial perspectives, including subjects belonging to public, private and civic spheres and working on building trust among the different partners and rediscovering the cultural identity that unites the different actors.

Cultural identity in the Po Delta region was indeed perceived as the *trait d'union* among the existing networks that are already operating in the area in an inhomogeneous way, being both formalised and informal, a characteristic that typically represents the Italian territory. The second phase of the empirical research, was carried out through semi-structured interviews, and confirmed the perceived potential of implementing a MSP governance system and its related management model in the area and the need to work on cultural identity, trust and the implementation of a local, culture-related cross-sectorial network. The data of the interviews were encouraging in the possibility to implement a MSP governance system, since the interviewees shared a positive attitude towards it and believed in its potential for local development, for positive socio-economic regeneration and for the creation of social value. Nevertheless, there are interesting peculiarities: the potential for innovation both at a technical and at a managerial level is perceived mainly by cultural managers together with better knowledge flows among the various territorial organizations. Moreover, this data might be indicative of the fact that cultural institutions are looking for the implementation of new models of cooperation with private subjects and the community as a means for innovation in a time of traditional and emerging challenges. However, some difficulties are at present preventing or may prevent the implementation of MSPs and PPPs at the *mesolevel*, again resonating with the creation of trust and in the identification of common goals and in the lack of managerial tools for managing such types of complex partnerships. As highlighted by the theoretical debate, the issue at stake is mainly related to the overcoming of the *micro* perspective, in which each institution works on pursuing its own objectives, and implementing a *mesoperspective*, in which culture is perceived at an ecosystem in the territory and is inserted in a broader framework of local governance. As previously found at the theoretical level in the debate on the reforms

of the governance systems in Italy, and at the *micro* level in the most recent development of the Herculaneum Conservation Project, *mesogovernance* system and management model should be developed working on intangibles. The different potential subjects of the MSP in the Po Delta area are indeed aware that the drivers for the successful implementation of such a structure are the managerial knowledge and know-how developed within the MSP, the skills and competence of its human resources, and the relational and social and cultural values created for the subjects involved and the local communities. The key stakeholders are aware that a significant change of mindset is required in order to develop these approaches. Structural changes in the cultural governance systems could possibly be created only in a long-term timeframe that imply a commitment by political leaders that lasts more than their political mandates. Indeed, short-term perspective that myopically focus mainly on results in the short run could prove ineffective in promoting inclusive and sustainable growth for the territory and in inserting the cultural sector as an ecosystem of the territory that interacts with the broader local ecosystem.

The MSP model is recognized as a viable option but the interviews' results point again on different criteria for implementing MSP in the cultural sector than in other sectors. The interviewees indeed frequently mentioned designing the governance systems on the basis of multiple-subject participation, participatory processes and peer-to-peer learning for competence building, that imply a high level of participation also of the local communities and local associations. The design of the MSP should moreover take into consideration the real cultural characteristics of the territory and should be designed to enhance the common cultural identity and background of its members. As a consequence, implementing an ecosystem framework in the Po Delta area is perceived as intertwining public, private and civic stakeholders. According to the results of the empirical research the role of the public authorities should change in this type of PPPs and MSPs compared to the traditional role of these cooperation schemes in other fields such as infrastructure and other service development. The public partners are indeed requested to interpret public funding not merely as financing means that are given to the private partners in exchange for service delivery

but as drivers for leverage cooperation initiatives that aim at the creation of entrepreneurial mindset in the territory, and that could enable the public, private and not-for-profit actors to cooperate to create revenue streams for the whole ecosystem. The research highlights the awareness that digitization and new technologies could play a relevant role in the MSP in terms of outreach and communication, but a comprehension of the role of new technologies in terms of managerial innovation and as a governance tool is still to be developed.

A common feature between the *micro* and *meso* analysis seems particularly interesting for the investigation carried out in this thesis: the context of the crisis and the calls for a rethinking of the governance systems and management models of the cultural sector is reflected in the developments of the Herculaneum Conservation Project and in the perception of a MSP project in the Po Delta area. The effect of the economic and financial crisis has been mainly perceived in an increasing call to move towards ecosystem perspectives that are overcoming the traditional project-based PPP governance and management schemes. Indeed, though the HCP partnership had already been implemented before the crisis, in recent years the project implemented a series of initiatives aiming at a broader involvement of various local partners, such as citizens, communities, local associations and other projects of the territory, visitors and local economic and social stakeholders. This reflects the need to involve the various stakeholders in a broader ecosystem perspective designed on the basis of the rediscovery of cultural identity to promote cohesion, as well as social and cultural public values. Though at the *meso* level a PPP or MSP project has still not been developed, the main cultural networks of the areas are showing an increasing interest in developing MSP perspective according to ecosystem approaches and

In sum, the analysis carried out both at the *micro* and *meso* level, confirms the premises highlighted at the theoretical level and contributes to the theoretical discussion by confirming the perceived and ongoing rethinking of the governance systems and the management models of the cultural sector in Italy on the basis of the

implementation of public-private partnerships at a *meso* level and in an ecosystem perspective.

In both the *micro* and *meso* case studies showed that public-private partnerships in the cultural sector are increasingly evolving towards higher degrees of collaboration and multi-stakeholder engagement. The crisis and the decrease of the available funding both from the private and public sector put the role of culture in society under deeper examination: the result is that the role of cultural institutions and cultural initiatives is increasingly reinterpreted as a vehicle for local development and identity-building factor for local communities. The need to involve a greater number of stakeholders, coming from the for-profit and not-for-profit sector as well as from local communities, is increasingly felt by public cultural institutions and is mirrored in the analyzed changes in public-private partnerships in the cultural sector. As emerging from the case studies, the cultural sector seems to be under a deep process of rethinking of the role different stakeholders could play in the implementation of cultural initiatives, and governance systems and management models in cultural public-private partnership are one of the aspect of this paradigm change.

Therefore, the research validated the consistency of cultural ecosystem framework for the cultural sector in Italy, confirming also the trends of development found in other European countries and highlighted in the previous analyzed PPP case studies in France, Germany and the UK. Consistently with the previous results, the investigation confirmed that there is an increasing interest in developing ecosystem frameworks in the implementation of PPPs in the cultural sector and how this phenomenon should be inscribed in a broader rethinking process of the governance systems of the cultural sector that was already going on for many years but that had been speeded up by the impact of the financial and economic crisis. This rethinking going on in terms of PPPs and MSPs could be interpreted as a reflection of broader societal changes that are promoting increased participatory approaches and multi-level, multi-stakeholder perspectives that insert culture in its broader social and economic ecosystem and that are based on the rediscovery of the common cultural identity of the territory.

The area of analysis was restricted to two cases, that represent characteristic of the whole Italian territory. Nevertheless, more case studies could be analyzed to broader the perspective and provide deeper insights in the structural development of cultural governance systems and management models at a national level.

4.4 THE DEVELOPMENT OF PPPS IN THE CULTURAL SECTOR IN THE UK

The objective of this chapter is to explore emerging issues related to the development of PPPs and MSPs in the cultural sector in the UK and to verify the consistency of the the emerging debate on governance and management models at the European level with the models and systems implemented in this country.

The UK seem particularly interesting in terms of PPPs since they have been, and still are, one of the most significant countries in terms of PPP number but also they have traditionally been at the forefront of the innovation and changes in the PPP model implementation. The UK had a long-standing tradition in terms of PPPs, and according to some perspectives the country has been one of the first in the global market to implement PPPs in a structured way (Greve and Hodge, 2007). The chapter will therefore provide a brief overview of the main traditional PPP experience in combination with the analysis of the country cultural sector and its developments (first section of the chapter).

Consistently with the analysis carried out in the other European countries of our research sample, the following sections of the chapter will present the results of the empirical research carried out by means of a case study analysis at the *micro* and *meso* level.

The analysis at the *micro* level investigate the case of the FACT – Foundation for Arts and Creative Technology in Liverpool, focusing on profiles of governance and management but also inserting this PPP project at the *micro* level within the broader strategies of relaunching through culture and creativity that has been at the centre of

Liverpool development over the last decade, also as part of a urban regeneration strategy implemented by the ECoC – European Capital of Culture project.

The analysis at the *meso* level will focus instead on the city of Birmingham, and more specifically on the Birmingham Creative City Partnership project implemented as a sub-group governance structure in the framework of a broader, multi-level, multi-stakeholder partnership project of the Local Enterprise Partnership in the Greater Birmingham and Solihull area. The analysis carried out on the BCCP investigates, coherently with the previous empirical analyses, the profile of governance of the partnership as well as its integration with the broader territorial strategies in ecosystem perspectives. Moreover, the results of the interviews with the key players of the project are presented, concerning their perception of the potential, difficulties and actions for successful implementation of this MSP at the *meso* level.

Concluding remarks will be presented in the last section of the chapter.

4.4.1 OVERVIEW: THE DEVELOPMENTS OF THE CULTURAL SECTOR IN THE UK

From the specific literature review, it emerged that Public-Private Partnership in the UK have been a significant topic especially since the nineties and since the implementation of relevant experiences such as the PFI – Private Finance Initiative or the PIC – Public Interest Companies. In brief, in PFI initiatives the public authority put out an invitation to tender for a specific projects to the private sector, that usually provides the capital as well as the service (and is therefore different from contracting-out), but the public sector remains a key actor in the project, both as a facilitator and as the main purchaser of the services. PIC projects instead were more flexible and came in a variety of organizational forms (Flinders, 2005), though maintaining three

core characteristics: first, they did not have shareholders (if they do they are restricted in terms of profits); second, they delivered a public service; third, they were legally independent of government (Maltby, 2003; Birchall 2002). Some examples of PICs were the Network Rail, City Academies and Foundation Hospitals.

The approach to PPP in the UK has changed over time and it has now become more critical (Greve and Hodge, 2013), favoring the emergence of mixed and looser types of partnerships that have presented more flexible schemes of cooperation (Greve and Hodge, 2007). Since the outburst of the economic and financial crisis and its impact on public sector organizations in the UK, the demand for a more value-based approach to PPP has increased as well as a request of focusing on the public values promoted and at the basis of the partnership projects. Moreover, multi-stakeholder partnership seems to be called for, implementing important reforms both in the public sector (e.g. with the emergence of CAs -Combined Authorities projects) and in the public-private cooperation (e.g. with the launching of LEP – Local Enterprise Partnership projects) and leading to development of partnerships at a *meso* level according to ecosystem approaches.

This shift has become particularly evident in the cultural sector, where the impact of the crisis has reduced not only the funds to cultural organizations coming from local authorities, but also the funds available from national organizations such as ACE – Arts Council England, and from private sponsors (Source: ACE Annual Review, 2014). That has given rise to a debate on the need to rethink the role of culture and the way culture is interpreted and inserted into broader projects of local development that promote the idea of rebalancing cultural distribution outside London (Source: *ACE Report “Rebalancing our Cultural Capital”*, 2013). This new approach has considered culture as a key economic and social driver for local regeneration especially of depressed ex-industrial areas and as a vector for local development outside the capital. Furthermore, culture and creativity are interpreted as an ecology (Holden, 2015); cultural alliances and culture related multi-stakeholder partnerships at a *meso* level are promoted as expression of this approach.

In terms of understanding the developments of the governance systems and management models of the cultural and creative sectors in the UK in recent years, it is interesting to provide a broader picture the approaches the characterized the cultural and creative field over the last decades. Indeed, an overview on this subject is necessary to better describe the current situation since the debate on cultural governance and the approaches to culture over the past 50 years influenced the contemporary scenario and approaches.

Scholars have often underlined how the approach to cultural and creative sector passed from a culture-centric perspective to an econo-centric perspective in the 1980s, that set the basis for the on-going governance and management approaches (Bianchini and Parkinson, 1993; Griffiths, 1995; Vickery, 2007; Tallon, 2010; Andres and Chapain, 2013).as well as for the mixed and flexible PPPs and MSPs models currently in place in the UK. This econo-centric perspective has also been defined as an “instrumental turn” in cultural governance systems and has alternatively been linked to the influence of New Public Management but also, in a more positive perspective, on the New Public Governance paradigm and more recently has been identified as the basis for the establishment of the ecology of culture approach and ecosystem perspectives.

Before the 1980s, the cultural sector was described as having a culture-centric approach. In Britain, with regard to CCI, emphasis has been put initially on heritage activities (that is, museums, libraries, archives and galleries) and arts activities (that is, painting, sculpture, architecture, music and poetry, drama, and dancing). Public support for these activities was initially based on a culture-centric approach, that is, civic duty exercised by some local authorities from the end of the nineteenth century and after the Second World War on the idea that individuals would increase their welfare by developing their knowledge and tastes with regard to artistic activities (PEACOCK, 2000). This initial objective was enlarged in the 1970s–1980s with the

rise of urban social movements and alternative cultural activities that fostered local public support to community building and social participation (BIANCHINI and PARKINSON, 1993).

This approach changed in the early 1990s, part as an influence of the political turmoils (related to Thatcherism) part as a result of the impact of the new logics of New Public Management on public administrations.

Indeed since the 1980s there was a shift in the role attributed to arts and cultural facilities: funding to the sector passed from social and political importance to economic value and a new concept, the Cultural and Creative Industries started to rise in the scene and being inscribed in a broader framework of urban development, regeneration, city marketing and local economic growth (GRIFFITHS, 1995, EVANS, 2001; GRAY, 2002; AITCHISON et al., 2007; VICKERY, 2007; TALLON, 2010). This approach, classified as econocentric, therefore put increasing emphasis on 'creative industries' and on their willingness to link them with traditional arts and public organizations (often public) and to introduce a more managerial approach in the arts and cultural sector.

Cultural organizations were invited to introduce more business-like managerial logics and the framework of New Public Management enters the culture and creative sector, and a quest for an increased accountability and more transparency is evident in the request to have more data on the efficiency, effectiveness and value for money of cultural institutions (Selwood, 2002). Public investment in the art is related to its concrete and measurable economic and social impacts, taking for granted that the impact on arts in society should not be considered in vague terms but on the basis of results that can legitimate public expenditure on the sector.

This audit explosion for a sector as the cultural one whose performance was difficultly measurable reflected a broader outcome of changes in the style of public administration that aimed as well to dismantle the public-private divide (Power, 1997). This dismantling implied not only introducing private managerial models and

conception of governance taken from the private sector into the public sector, but also at increasing the contacts between public and private subjects as more generally happened in the other public sectors impacted by the NPM reforms. Public-private partnership became increasingly important for the cultural and creative sector in the UK: public authorities increasingly outsourced the management of cultural services, and from a purely contractual arrangement soon increasing calls were made for a more active and participatory process also at the governance level (Belfiore, 2004; Lawley, 2003).

At the time these reforms were introduced, UK cultural organizations were increasingly being a responsibility of local authorities. Indeed, the “long arm of NPM” has reached out to local authorities and their models of service provision. The goal of creating more entrepreneurial and efficient local authorities included the introduction of contractual PPP schemes such as the Compulsory Competitive Tender (CCT) for a number of services formerly provided by the local authorities themselves. The role of local authorities changed accordingly, and they found themselves in the position of often having to contract out the provision of services to private companies (Byrne 2000; Belfiore, 2004), passing from a role of providers to a new role as enablers. Many leisure and cultural facilities managed by private companies contracted by the local authority, in an attempt to deliver higher standard services at a more competitive price.

The introduction of this new framework prepared the ground for the development of new schemes aiming at the further improvement of effectiveness and economic efficiency in cultural organizations, again in line with what was required to public authorities in general. Around the mid-1990s-2000s, the *Best Value* scheme was introduced by the New Labour Party, putting local public authorities in charge of providing the best value in the provision of a wide range of services, “meeting the aspirations of local people” (DETR 1998, pg. 5), respecting national objective but also

establishing standards and aims more related to local communities (Byrne, 2000). In particular, the “3 Es” of the guarantee value-for-money approach was replaced by the “4Cs”:

1. Challenge – why and how a service is being provided;
2. Comparison – with the service and the performance achieved by other local authorities and the private sector;
3. Consultation – with local tax payers, service users, and the wider business community on how the service can be improved;
4. Competitiveness – ensuring that the service’s performance is competitive if compared to other methods of delivery including those of the private sectors; this involves tendering and market testing and might lead to the contracting out of services (Byrne 2000, pg. 594).

In terms of the development of the governance systems of the cultural sector, this new framework seemed particularly relevant since it introduced a broader attention on consultation with local communities, including private subjects, and interprets contracting out as one of the possible models, but not the only one (Lawley, 2003; Belfiore, 2004). Moreover, though local authorities were not in charge of cultural service provision as statutory duty (cultural provision is a statutory duty of local authorities only in Scotland and Northern Ireland; public libraries are instead statutory duties for local authorities in all the UK), local authorities were crucial elements in the British arts funding systems, and provided resources for a wide range of cultural services included museums, galleries, theatres, etc.. Local authorities’ spending on the arts and culture services overdid the central government one in the years 1988/89 for the first time; and it is still higher than the spending on arts by National agencies as the ACE – Arts Council England and its Regional Offices; moreover, the local authorities’ cultural spending is only marginally less than that that of the DCMS – Department of Culture, Media, Sport. According to the most recent Arts Council’s review of data on local authority expenditure on the arts, in England alone, this amounted to around £218 (Jermyn Though expenditure for the arts and cultural

sector depends significantly on the policies of each local authority, local governments are undoubtedly major players in arts funding in the public sector in the UK.

This shift from a highly centralized cultural governance to a more local communities-oriented cultural schemes is particularly indicative of a new approach to cultural governance systems and management models that points towards the creation of new models for public-private partnership, local community participation and engagement while at the same time developing what will later be the ecosystem framework for cultural and creative sector or the so-called the ecology of culture approach (Holden, 2004 and 2015; Vaizey, 2011).

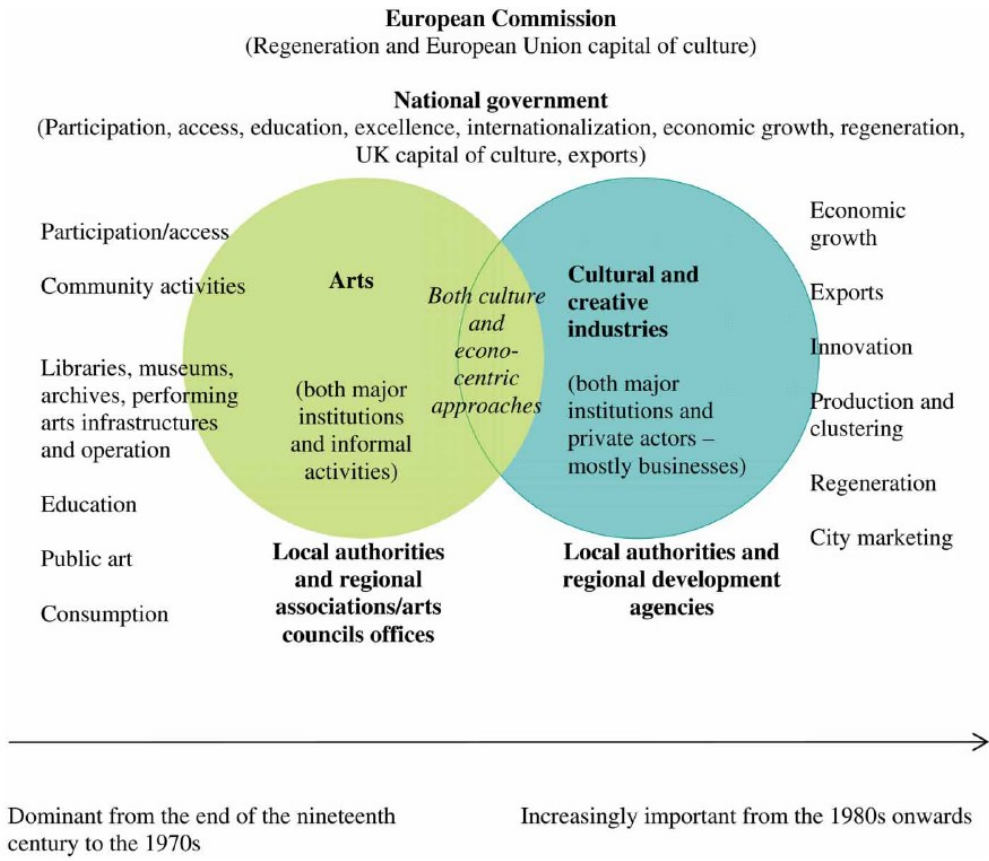


Fig. 1. Understanding and approaches to cultural and creative industries (CCI) policies in Britain

Figure 38: Understanding and approaches to cultural and creative industries (CCI) policies in Britain (Source: EC, 2014)

As noted by Belfiore, while during the 1980s first attempts to develop public-private partnerships in the cultural sector were implemented with a major focus on economic objectives and testing also some mixed funding and governance schemes due to the use of funding from the ESF - European Structural Fund and from the European Capital of Culture (ECOC) scheme, during the 2000s the decentralization process combined both “culture-centric objectives (participation, education and quality) associated with arts and culture, and econo-centric policy objectives (economic growth and exports). These changing paradigm brought about new governance systems combining culture and creative industries with cultural public organizations, as well as local communities and not-for-profit associations (DCMS, 2004).

This change has been inserted also in a broader framework that put the cultural and creative sector in relation to its potential to contribute to other agendas, such as urban regeneration, local economic development, or to help tackle social issues such as exclusion or community engagement (Vestheim, 1995; Selwood, 2002; Belfiore, 2004). Thus trend of research builds on the theories of Vestheim, who defined instrumental cultural policy as the idea ‘to use cultural ventures and cultural investments as a means or instrument to attain goals in other than cultural areas “The objectives might vary from job and wealth creation, urban regeneration or social inclusion, community development and social cohesion, as the most recent trends show. What defines a cultural policy as ‘instrumental’ is not particularly the nature of the aims that the arts can allegedly help to pursue; rather, ‘the instrumental aspect lies in emphasizing culture and cultural venture as a means, not an end in itself’ (Vestheim 1994, pg. 65).

Whereas some scholars interpreted this change in governance systems in the public sector as a critical turn, another group of scholars interpreted them positively, as a positive decentralization of cultural agendas that brought them closer to the citizens, and as a development of ecosystem approaches at the *meso* level, that could better deal with the challenges and paradigmatic changes of the sector towards collaborative governance and stakeholders participation (Holden, 2015; Vaizey,

2011). This new governance arrangements were reflected in many instruments implemented by local and regional authorities. On the creative industries side, the Department for Culture, Media and Sport (DCMS) in cooperation with the Department for Trade and Industry (DTI) adopted strategies providing funding and business support, and fostering creative exports, helping establishing new models of public-private funding as well as new local governance authorities as the newly created regional development agencies (RDAs) that usually included as main objectives also the support development of regional cultural and creative clusters (DTI, 2001; DCMS, 2008; H. M. GOVERNMENT, 2009). On the arts and culture side, the DCMS, through the Art Council regional offices, continued to provide financial support to arts and heritage organizations as well as to increase access to and engagement with culture, arts excellence and cultural dissemination to various communities. The dual agenda (including both the cultural public sector and the cultural and creative industries) is still ongoing in the current governance and management systems, encouraging the development of the 'creative ecology': as alliance between the subsidized and commercial arts; the professional and the voluntary arts; and the arts and the creative industries, as well as the local communities. (VAIZEY, 2011)

RDAs have recently been abolished and LEPs - Local Economic Partnerships have been created, bringing together public and private actors at the local and regional level and showing again the search for new governance systems at the *meso* level (HOUSE OF COMMONS, BUSINESS, INNOVATION AND SKILLS SELECT COMMITTEE, 2010) resonating with the cultural governance of other European countries. The current government trends to foster more public-public and public-private partnerships implementing also Multi-stakeholders partnership schemes to support both the arts and the creative industries (VAIZEY, 2011) is evident in the recent developments of the cultural sector. In sum, the role of the cultural and creative organizations is interpreted increasingly in a broader ecosystem perspective that put it in relation with the territory, its communities and its various stakeholders including 'culture-centric approaches' with 'econo-centric approaches' (SMITH and WARFIELD, 2008). While in England top-down perspectives are still the majority, attempts in the implementation of bottom-up models are made, as well as reinventing

the models of public-private partnership, calling for an active role of private partners and calling the public authorities to supervise and enable the establishment of this perspectives.

Moreover, this level of interaction between public and private and not-for-profit subjects is enacted both at the local and at the national level. Currently, funding for the arts, culture and creative sector is provided on a national level by the Arts Council England (and similarly, by the other arts council agencies in the other UK regions – Scotland, Wales and Northern Ireland), that directly supports 660 National Portfolio organizations with three-year investments and also award grants to specific projects (Source: Creative Industries Federation, 2015). Over the last years, additional resources have been allocated through the Lottery fund and tax incentives, trying to diversify the sources of public investments in the arts in a context of reduced levels of public funding through usual grant-in-aid (grant-in-aid funding for ACE has reduced by 29.4% from 2010 to 2015 – Source: Creative Industries Federation, 2015). In general, the UK has been described as a third-way model that is different from the US model (where arts are highly dependent on private and philanthropic investments) and the European model (for example: Germany, with a high investment from the public sector). UK invests 0.3 % of its total GDP in arts and culture compared to an aggregate equivalent of 0.5% for the other European countries. However, according to a recent report, the UK are more dynamic in using public spending for “the arts as a catalyst to grow the creative and digital resources that super-charge growth in the wider creative economy” (Creative Industries Federation, 2015)

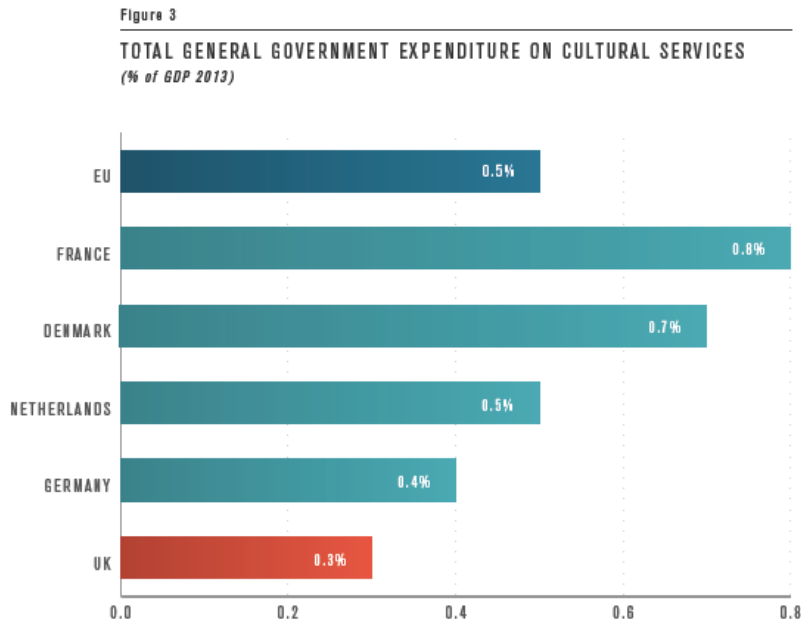


Figure 39: Total general government expenditure on cultural services (% of GDP 2012) (Source: ACE, 2014)

During the recent decades and in particular as a result of the ongoing economic and financial crisis, national public funding have been shrinking, promoting a higher emphasis of investments in the arts and culture by local authorities and in the promotion of the diversification of sources of income in NPOs, eroding traditional distinctions between public arts and commercial business. This change is reflected at the governance level by the creation of alliances, networks and mixed governance structures that promote the collaboration between the different sectors in an ecosystem perspective.

Public arts combined with the cultural and creative industries have been identified as key to regional growth and a rebalancing between the development of cultural and creative sectors in London and in the other UK regions has been identified as a key policy agenda for the country (ACE Report: Rebalancing our Cultural capital, 2013). Arts partnerships have become a major governance model, resulting also in mixed

managerial staff for cultural organizations, and there has been a higher degree of cultural commissioning with more flexible models and higher involvement of the local stakeholders at a *meso* level. In addition, culture and creative industries and organizations have been integrated in the previously mentioned Local Enterprise partnerships and arm’s length governance authorities have been created to promote informal multi-stakeholder partnerships at the regional level. This trend has increased in recent years, due to the decrease of local government spending as a result of the ongoing crisis.

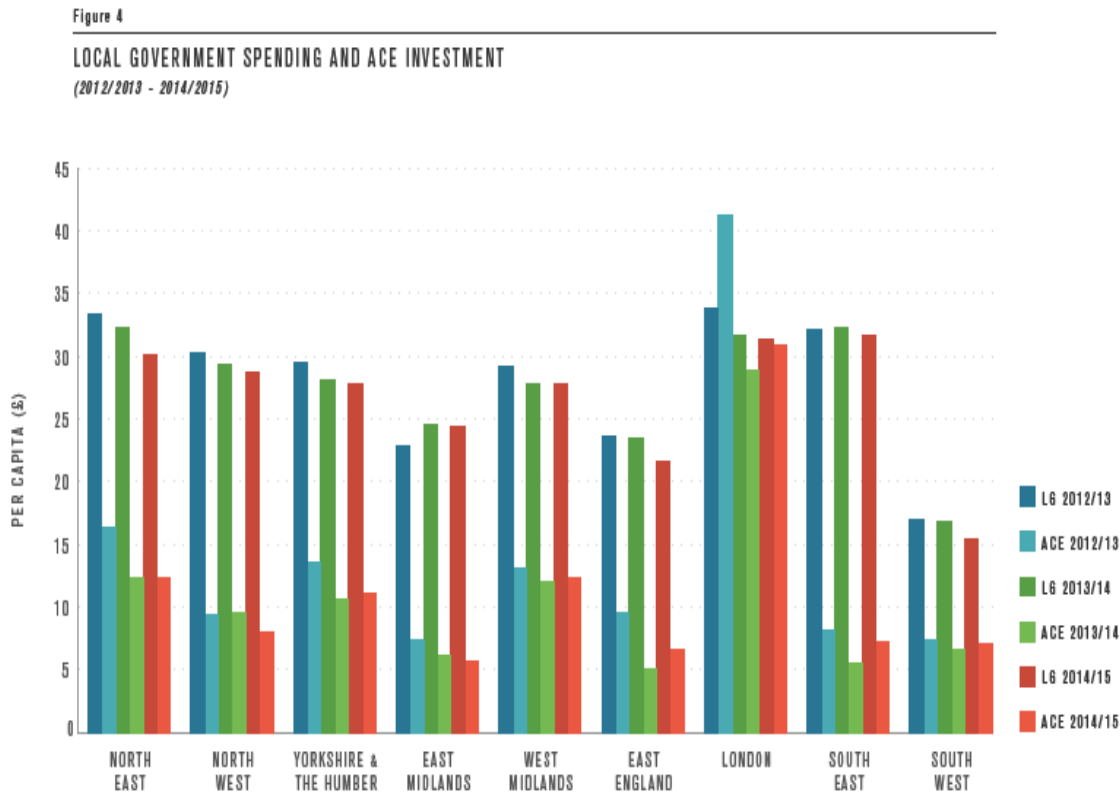


Figure 40: local government spending and ACE investment (ACE, 2015)

The increasing economic constraints have pushed for an increased attention on public spending on culture and on the integration of cultural strategies in broader policy agendas in a collaborative governance perspective. As argued above, the

change in the country scenario resulted in developing strategies in the long term and involving the different subjects that compose the cultural and creative milieu at the local level, promoting links between public cultural institutions, cultural and creative industries and the not-for-profit and voluntary and third sector organizations.

These issues appear particularly evident when we analyze specific case studies both at the *micro* and *meso* level. In order to provide a more detail analysis of these changes, the case study of the FACT – Foundation for Arts and Creative Technology in Liverpool and of the multi-stakeholder partnerships in the city of Birmingham are presented in the following sections.

The research in the UK was carried out through a qualitative method, that seemed more apt at investigating the underlining peculiarities of the selected case studies. Like other qualitative research, the objective was to shed light on how the research topics were manifested within the area of the research (Denzin *et al.*, 2006). The qualitative method was at the basis of the investigation of two main case studies, the first at the *micro* level (the FACT – Foundation for Arts and Creative Technology in Liverpool) and the second at the *meso* level (the Birmingham Creative City Partnership in the Greater Birmingham and Solihull region).

Each case study investigation was carried out according to the principle of case-study methodology identified by Yin (Yin, 1994(Yin 2003)). More specifically, the investigation was based on the triangulation of multiple sources of evidence, namely document research, physical artefacts (in the sense of websites, digital tools and activities, initiatives implemented as a result of the projects) and semi-structured interviews with the managers who were in charge of the partnership project. The initial interview protocol was amended with questions being added as the knowledge of the case increased and additional questions arose from the data collection process, following a flexible research approach (Dubois e Gadde 2002; Stake 1995).

A slightly different approach was used to investigate the case studies at the *micro* and at the *meso* level, given the higher level of complexity of this scheme of partnerships. While at the *micro* level the case study was analyzed through document research, physical artefacts and semi-structured interview conducted with two key figures of the PPP (namely, the CEO and the Manager in charge of partnership development), at the *meso* level the research was widened to include a broader number of interviews. A research sample of at least nine interviewees was selected to better investigate the research questions from the point of view of the key different subjects involved in the partnership, identified on the basis of the theories of Crosby and Bryson on leadership in cross-sectorial partnerships (Crosby e Bryson 2010).

Based on these criteria, three main categories of potential key players were included in the sample and selected in the three main districts of the city were cultural assets and creative industries were more significant. A sample of three interviewees was selected for each district, namely a representative of a policy maker, a cultural manager and a representative of other local cultural that is a citizens or member of the local community who was also participating in cultural activities, often as volunteers in non-profit associations operating in the cultural and creative sector in the Birmingham territory.

In-depth structured interviews were carried out, on the basis of a research protocol structured around main questions concerning the interviewee's perception on the following three main topics: first, what was the potential of the creation of a multi-stakeholder partnership at the territorial level in the cultural sector that was based on an ecosystem approach in the Birmingham territory, with specific reference to the Birmingham Creative City Partnership experience; second, what were the difficulties the interviewees had encountered and the ones that might arise in creating and implementing that type of multi-stakeholder partnerships; finally, what were the steps and actions to take to overcome those difficulties and problems and set up more successful MSPs. The interviews were recorded and transcribed; the data emerging

from the interviews were manually coded following the three main discussion themes. The results have then been analyzed on the basis of the most relevant common macro-categories that emerged during the discussions, subdivided among the three discussion topics.

4.4.2 MICRO LEVEL: THE FACT FOUNDATION IN LIVERPOOL

At the *micro* level, the analysis focused on the case study of FACT – Foundation for Art and Creative Technology in Liverpool. The choice to focus on this foundation was not only based on the fact that it is one of the most frequently mentioned PPP projects in the UK, but also for the fact that the foundation was created as a part of a broader project of urban regeneration through culture that so much reflect the instrumental turn in UK cultural governance and management models as well as the ecosystem approach that was previously identified in the theoretical analysis. It seemed therefore particularly interesting to understand how a project at the *micro* level was implemented in the framework of this governance and development schemes and how the governance and managerial models of the case study were integrated in the governance systems at the *meso*/territorial level.

The aim of the Foundation was to create a permanent center for the development of cinema, art and technology related projects for the city of Liverpool. In a longitudinal perspective, the analysis highlighted the integration of FACT in a broader scheme of local regeneration through culture that characterized Liverpool from the mid-nineties and was particularly felt at the beginning of the 20th century. The project for urban regeneration through culture and through the cultural and creative sector was not only part of the investment and development strategy of the city, but was also combined with the European Capital of Culture initiative: Liverpool was 2008 ECoC and the initiative boosted the city strategy and provided further funds not only from Europe but also from other private investors.

The European Capital of Culture (ECoC) is an initiative launched by the Eu 1985: the title of European Capital of Culture was awarded every year on a rotating basis to European Union member countries. ECoC initiatives tends to operate on multiple levels, and to be inscribed in the framework of broad urban regeneration interpreting the title as a potential driver for long-term economic and social changes.(Balsas 2004). Recent studies however, argue that though ECoC programs are interpreted as catalysts for cultural development, usually less attention has been paid to issues of ECoC's potential for sustainable socio-economic change underestimating the importance of ensuring long-term gains and legacy (Bianchini, 1990; Bianchini and Parkinson, 1993; Gomez, 1998;Holcomb, 1993; Khan, 2003b; Hughes, Allen and Wasik, 2003)

In 2003 Liverpool was named European Capital of Culture for the year 2008. In 2004 private investors agreed to invest additional £ 1 billion in the regeneration project of the city centre (42 acres of the central area), creating an area called Liverpool One. At the time, the project defined as the largest city centre regeneration scheme in Europe (Daramola-Martin, 2009). The combination of these two projects enhanced the physical transformation of the city, based also on the fostering of “an emotional change in attitudes and perceptions, suggesting that Liverpool had found its way out of a succession of failed initiatives, underinvestment and economic decline” (Daramola-Martin, 2009). The Liverpool One and European Capital of Culture Liverpool projects worked as catalysts for rebranding the city, and the city council and national authorities aimed at developing a long-term strategy for re-branding the area, that experienced a period of downturn due to the decline of the city's traditional industries.

As stated in Impact 08 reports, throughout the ECoC initiative the image of Liverpool cultural scene has shifted from the traditional focus on popular music and the built heritage to the visual and performing arts, with a strong emphasis on creative industries. Networks have been developed in the sector, including the Liverpool Arts Regeneration Consortium and the Small and Medium Arts Collective, or the Arts and

Culture Network. By the end of 2008 there was a growth of 8% in the number of enterprises in the cultural and creative sector compared to 2004. Liverpool City Council (the governing and administrative body for the city) created the Liverpool Culture Company as a company limited by guarantee to co-ordinate first the bidding process for the ECoC 2008 and afterwards to deliver the ECoC initiatives. All funding for the ECoC was managed by Liverpool City Council, which operated as the accountable body for Liverpool Culture Company. In 2009, at the end of the ECoC initiative, the Liverpool Culture Company was replaced by the Culture Liverpool and Tourism business units within Liverpool City Council.

Figure 1: Liverpool Culture Company income by source 2003/4 to 2008/9

Income (£000s)	2003/4	2004/5	2005/6	2006/7	2007/8	2008/9	Total
Liverpool City Council	6,520	8,178	9,063	12,146	14,981	23,923	74,811
ACE & DCMS ¹⁹	0	71	5,319	3,316	1,283	539	10,528
ERDF ²⁰ funding via Objective One status	987	1,502	1,680	2,966	4,186	2,945	14,268
EU funding via ECoC status	0	0	0	0	0	809	809
Other Public Sources	23	239	304	45	1,655	846	3,112
Earned Income	0	136	213	393	744	2,584	4,070
Sponsorship - in cash	0	1,098	2,788	2,873	3,542	4,442	14,743
Sponsorship - in kind	0	0	904	1,372	2,613	2,658	7,546
Total	7,530	11,225	20,271	23,111	29,004	38,746	129,887

Source: Liverpool Culture Company

Figure 2: Liverpool Culture Company expenditure by activity 2003/4 to 2008/9

Expenditure (£000s)	2003/4	2004/5	2005/6	2006/7	2007/8	2008/9	Total
Programme	5,678	6,295	9,983	12,847	16,816	26,301	77,920
Marketing	467	2,906	4,931	5,096	6,485	5,027	24,912
Administration	1,385	2,023	4,453	3,796	3,091	4,761	19,509
In kind	0	0	904	1,372	2,613	2,658	7,546
Total	7,530	11,224	20,271	23,111	29,005	38,747	129,887

Source: Liverpool Culture Company

Figure 41: Liverpool Culture Company Income 2003/4 to 2008/2009 (Source: Liverpool Culture Company, 2012)

The Liverpool Culture Company was conceived as a public-private partnership putting together the main local authorities (both from the Council and from the Opposition, as well as senior figures from business, local media, education and cultural institutions and cultural and creative industries. From an initial governance body of 14 board members in 2000, the board expanded to including 28 members in 2005 including national, regional and local stakeholders from the media, culture and tourism sector. Sub-groups in eight areas and executive groups were created.

“One of the key features of the governance and process of delivering the Liverpool ECoC was the involvement of stakeholders, both structurally and less formally, and the development of partnerships. Stakeholder management as an activity featured in a number of the governance structure iterations. [...] The relationship between the cultural sector and Liverpool Culture Company was particularly focused by the development of, and engagement with, the Liverpool Arts Regeneration Consortium (LARC) and Small and Medium Arts Collective (SMAC) during the lead up to the Liverpool ECoC, as well as through the existing Arts and Culture Network (ACN), a sub-group of the Liverpool Community Network. LARC’s development and success is particularly interesting, as it emerged from an early alliance of the ‘Big Four/Five’ cultural institutions who occasionally met together in the late 1990s and, since 2006” (Impact 08 report, 2009). In terms of management, initially Liverpool Culture Company employed staff from the city council. As the project progressed however, specific staff was hired for each subarea and subgroup of activity of the projects up to 100 staff members of whom about a half were specifically appointed. For each initiative usually staff from collaborating organizations, such as the NHS, the Merseyside Partnership, etc.. Moreover, in the long-run, the ECoC program was effective in reshaping the cultural and creative sector of the city and in boosting the creative industry employment, with a growth of 8% in the number of enterprises over the 2004/2008 period.

The new CCI framework of the city, as well as the structure of the Liverpool Culture Company, its relations with other cultural and creative network, the experience of implementing its governance structure intertwining representative from the local,

national and private sector level though specific context of the ECoC seems particularly relevant for the analysis of the case study of FACT, since the experience matured in terms of multiple level governance has influenced with specific variation also in the governing body of FACT:

Indeed, as the ECoC event also FACT was a flagship initiative in a broader regeneration strategy of Liverpool and more specifically, in the redevelopment project of the Ropewalk district. FACT activities were integrated into the 2008 European Capital of Culture initiative and in turn propelled a series of renovation projects and cultural events. Moreover, FACT was also related to a process of cultural enhancement that took place some years before, in 2004, when several areas of the city center were inscribed in the UNESCO World Heritage Sites list, testifying the need to integrate cultural heritage with cultural and creative industries both emerging and already well-established.

4.4.3 GOVERNANCE AND MANAGEMENT PROFILES

The Foundation was created in 1997 as a registered charity and a company limited by guarantee. Interestingly, the sources of funding were multi-level: initially there were funding by ACE – Arts Council England (FACT became a National Portfolio Organization) and by Liverpool City Council, with a three-year grant scheme renewable on the basis on a negotiation procedure. However, over the years the foundation was able to diversify its sources of income, generating own revenues both by commercial and cultural activities (cinema and studio production center, rental of spaces for a creative hub), and by grants given through collaborations with public and private partners (e.g. the NHS and other local authorities or not-for-profit organizations) as well as through sponsor and membership schemes. Moreover, the foundation implemented a business model based on renting out its spaces to related cultural and creative agencies, becoming a creative hub and focus point for the media and cinema sector in Liverpool.

The intertwining of public, private and other stakeholders is reflected in the structure of the governance. Still, though the governance system implemented by the Foundation reflected all the funding and potential stakeholders, it could be described as representing the flexible approach advocated as a result of the ongoing changing scenario and is significant for the purporting of specific cultural institutions being inserted in the broader framework of culture and creativity for urban regeneration and development.

As said above, the funding institutions are present in the governance structure of the foundation. The board of trustee – the main governance body of the institution that might be composed by 5 to 15 members of the board, elected for a maximum of 2 mandates of three years- includes independent experts, trustees nominated by the members of the foundation (included sponsors or collaborating institutions) and by representatives of local authorities others than the city council. Though ACE and Liverpool City Council are formally not in the board, two representatives of each institution are present during board meeting as permanent observers and they have established a continuous dialogue with both the board of trustees and the management of the Foundation.

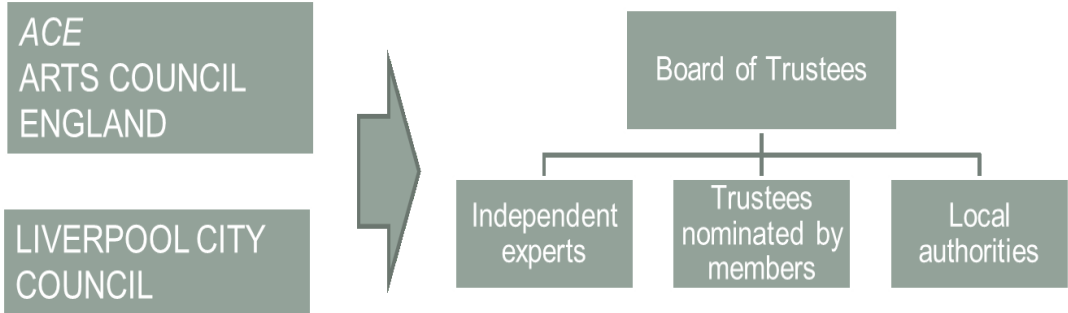


Figure 42: Governance of the PPP project (Author's elaboration)

This governance structure, and the mechanism of interaction between the board of trustees and the main local authorities, could be interpreted according to two perspectives. First of all, the governance structure reflect the flexibility that was called for in cultural and creative PPPs at the theoretical level. Second, the fact that the fact that the board of trustees is mainly composed by independent experts is indicative that the foundation attempts to maintain a certain degree of autonomy but that the central government and the local authorities wants to maintain an arm's length control on it. Third, the composition of the board reflect the presence not the many organizations, associations and other subjects involved, reflecting again the tendency to multi-stakeholder involvement and the attempt to insert single institutions, in this case FACT itself, in their territorial and national context, in an ecosystem perspective. The trustees nominated by the members are mainly coming from the private sector partners and sponsors and promote a "entrepreneurial approach" that has been identified as one of the key advantages of a PPP project. In this framework, local authorities and national agency are enacting the role of "supervisors" and "enablers", not only providing significant funding but also attending board meetings and working with the trustees' members and the other stakeholders involved in order to provide steering and guidance.

At the level of governance, bottom-up approaches involving the citizens and the local communities are not implemented. However, during the research the interviewee declared that they continuously try to involve more directly the citizens in the many projects not in the central strategy development but in the direct activities and in the project concrete development. Though this could not be considered entirely a collaborative governance perspective, it is indicative of the fact that a more direct involvement of the communities is felt as a need by the institution.

In terms of management, FACT has its own staff, with specific competences and departments that reflect the core activities of the foundation. Although external agencies and companies renting its spaces and contributing to its functioning through various joint activities have a constant dialogue with the foundation, the management

and the staff are belonging exclusively to the charity and integration with the staff of those companies is carried out mainly at an informal level. The management model is composed by an artistic director, in charge of the artistic steering of the foundation in direct dialogue and cooperation with the governance, and by an executive director who is in charge of the management. The foundation is divided in four main departments: programming, financial management, human resources, research and development, each one with a department manager and specific staff. The managerial structure seems therefore a quite common one for cultural institutions, with the double artist and executive direction that is characteristic of many cultural institutions especially in the Anglo-Saxon context. At a formal level, staff is specific for the foundation: no staff from the local authorities or the other stakeholders participating in the governance is included in the staff of FACT.

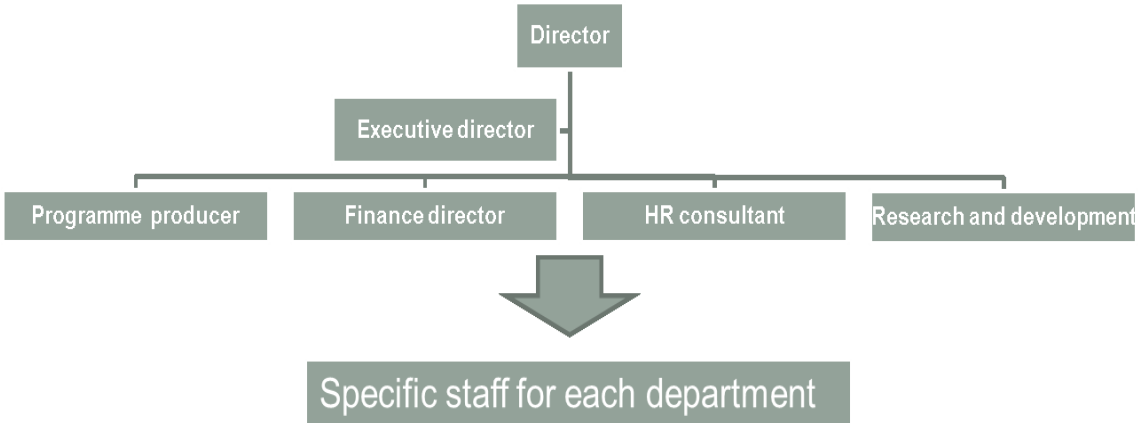


Figure 43: Management of the PPP project (Author's elaboration)

Nevertheless, at an informal continuous intermixing of staff is implemented on a project base. In some cases, more formalized agreements and intertwining of staff characterize collaborations implemented by FACT for more complex and long-term

projects, such as those with the NHS – National Health System arm's length agency, and with community not-for-profit organizations and local schools.

4.4.4 CONTRIBUTION TO KNOWLEDGE: INDEPENDENCE AND ROLE OF PUBLIC AUTHORITIES

As argued in the first part of this section, the case seems interesting because the interrelation with the territory and the other cultural and creative institutions of the city and region are sought for, again confirming a mindset towards ecosystem thinking and public-private, profit and not for profit partnership at a *meso* level.

FACT is a member of LARC - Liverpool Arts Regeneration Consortium, a consortium that currently includes seven of the city's major cultural organizations (among which also the TATE Gallery and the Liverpool Royal Philharmonic) that was set up to play a leading role in helping regenerate Merseyside quarter in the city. The aim is to strengthen the cultural sector across Liverpool and increasing the involvement of cultural and creative organizations in the social and economic renewal of the city region. The Consortium has been defined as a legacy of the approach and perspective of local governance in the cultural and creative sector that were experimented and carried out during the ECoC initiative.

In a nutshell, though the main characteristic of this PPP are its attempt to manage independently its main activities, not only through a legal status as limited company but also by having a board composed mainly by independent expert and institutions coming from the private sector, were the public partners are simply enablers through the provision of funding and supervisors through the presence in board meetings. However, the case shows that this independence of the partnership is changing, and a higher level of cooperation at the territorial level is sought for. In particular, specific projects are starting to mix the staff of the foundation with the staff of other

institutions. Moreover, the this PPP project is attempting to expand its collaborations at a local level with the other cultural institutions of the city of Liverpool with ecosystem perspective, confirming the trends of studies calling from a shift from a *micro* to a *meso*/ecosystem approach found during the literature review phase.

4.4.5 MESO LEVEL: BIRMINGHAM CREATIVE CITY PARTNERSHIP

At the *meso* level, the analysis focused on the case study of BCCP - Birmingham Creative City Partnership, an initiative created in 2012 but inheriting the networking approach established by previous similar initiatives in the area.

Before providing a detailed analysis of the case study of BCCP, an overview of the development of the cultural and creative sector in Birmingham will be provided. Birmingham was a strong economic centre in the 1950s and 1960s mainly related by the engineering and automotive manufacturing industries that experience a dramatic downturn in the 1970s due to a more general downsizing of the industrial production in the whole country (Cherry, 1994). Since the 1980s and 1990s a process of economic restructuring and urban regeneration through culture and creative sector was implemented; the development of the city resonates with the difference phases of development of cultural governance in the UK that were analyzed in the literature analysis of this chapter (Smith and Warfield, 2008; Andres and Chapain, 2013). Indeed, the restructuring was based initially on a culture-centric approach in the period from the 1980 till 1998, with Birmingham City Council leading the process, with private cultural development triggered as a consequence of the investment on public cultural institutions. In this period the governance of the cultural and creative sector was supported through a specific institutional design led by the City Council, the included very limited actors (Smyth, 1994; Barber, 2001). Though being strongly steered by the City Council, the project was managed by a public-private partnership,

which included key private subjects (among which the Chamber of Commerce) and major cultural institutions, in order to identify common goals and creation a platform for dialogue and discussion (Hubbard, 1995).

The end of the 1990s was instead based on a strong econo-centric approach implemented as a reflection of national policies, and the rise of the cultural and creative industries on the national scene. This period was based on a more inclusive institutional design, and the redevelopment strategy was designed in collaboration with a wider number of stakeholders, promoting also the creation of informal cultural and creative private actors' initiatives (Andres and Chapain, 2013). The creative industries were identified as a priority economy by the Regional Development Agency, Advantage West Midlands, and two main cultural and creative partnership were created: Birmingham Creative Partnership (a partnership among the main creative industries of the area) and the Cultural Partnership (including the main cultural institutions), as well as a series of networks among creative industries (e.g. Producer Forum, Created in Birmingham, Creative Alliance, creative Republic). In sum, a series of initiatives were implemented in this period based on public-public and public-private partnerships created among concepts of trust, mutual objectives. The approach was based on the concept of networks (Chapain et al. 2013).

Finally, since 2008 the approach has been more culture-centric at the local level while at the same time keeping an econo-centric approach at the regional level. In general, especially in more recent years the approach toward ecosystem perspectives has increased and collaborative governance models have been implemented by the city council through neighborhood forums and the promotion of formal and informal public-private partnerships in the city and regional area.

Currently, the cultural and creative industries have been identified as a key priority for local development and Birmingham has two recognized creative quarters: the Jewellery Quarter, a centre for jewellery production and retail and architecture and media firms; and Eastside/Digbeth with the Custard Factory at its heart, a centre for

multimedia activities, graphic design, visual arts, and music production and performance. Moreover, The region's creative and cultural economy includes some 6,000 organisations with 38,000 employees, a floating freelance workforce of 17,000 and represents 9% of regional GVA. In recent years the underlying trend has been one of growth, with the sector demonstrating flexibility and resilience through the recession, particularly in comparison to other sectors. Birmingham City University, as part of the ecosystem, produces more graduate talent for the sector than anywhere outside of London.

4.4.6 GOVERNANCE PROFILES AND PERCEPTION OF THE PROJECT

Birmingham Creative City Partnership was implemented in this ecosystem, and is a partnership developed as a subgroup of the Greater Birmingham and Solihull Local Enterprise Partnership, an agency for strategic local development. BCCP was designed as a multi-sectoral, multi-stakeholder public-private partnership including a range of public sector agencies, cultural agencies, creative businesses, industry and private individuals. The partnership brings together public and private sector investments in a new fund for Birmingham and the LEP area, to support cultural and creative activities and projects, harnessing the potential of cultural and creative industries to relaunch the socio-economic assets of the Birmingham region. The projects and initiatives of BCCP are implemented on a local, and in some cases regional, and national, scale; the partners have recognized that there is potential for them to deliver a contribution to the economic recovery of the Greater Birmingham and Solihull area by working together to give partnership support and effective financing to future projects.

The aim of the alliance was to improve skills and training for industries operating in the sector as well as develop a specialist business support offer, promoting innovation and cross-sector working to open up new markets. This was achieved through the creation of a range of funding and finance initiatives designed to support a diverse

range of businesses and enterprise and through the implementation of infrastructure projects that could foster the creation of new businesses as well as the attraction of other investments by private partners in the territory. This was put into effect also in redevelopment project of Birmingham city quarters, such as Digbeth and Eastside, to achieve maximum benefit for the creative economy across the city and region.

The Partnership was formalized in 2012 through a Memorandum of Understanding signed by the main public, private and academic institutions and is led by an executive group comprising Birmingham City Council, The BBC, Birmingham City University, Maverick TV and The Birmingham Arts Partnership. This composition is mirrored in the governance of the Partnership, made by representatives belonging to the three main spheres of the MoU.

In addition to the formal agreement among the organizations involved, BCCP has also established informal relations with the former Birmingham Arts Partnership (now being transformed in Birmingham Arts Company) and a continuous dialogue with citizens and communities has been established through the Birmingham City Council. Indeed, the city council has implemented a participatory definition of the cultural agenda of the city (both in the period 2010-2015 than in the upcoming period 2015-2020), where the Cultural Department of the city council established forum of discussion with the main district communities through consultation platforms implemented through local cultural non-profit organizations.

The governance structure of the partnership is illustrated in the above figure: significantly, the newly created Birmingham Arts Partnership is considered as a potential partner at the informal level, together with the Arts Forums implemented in the various cultural districts of the city.

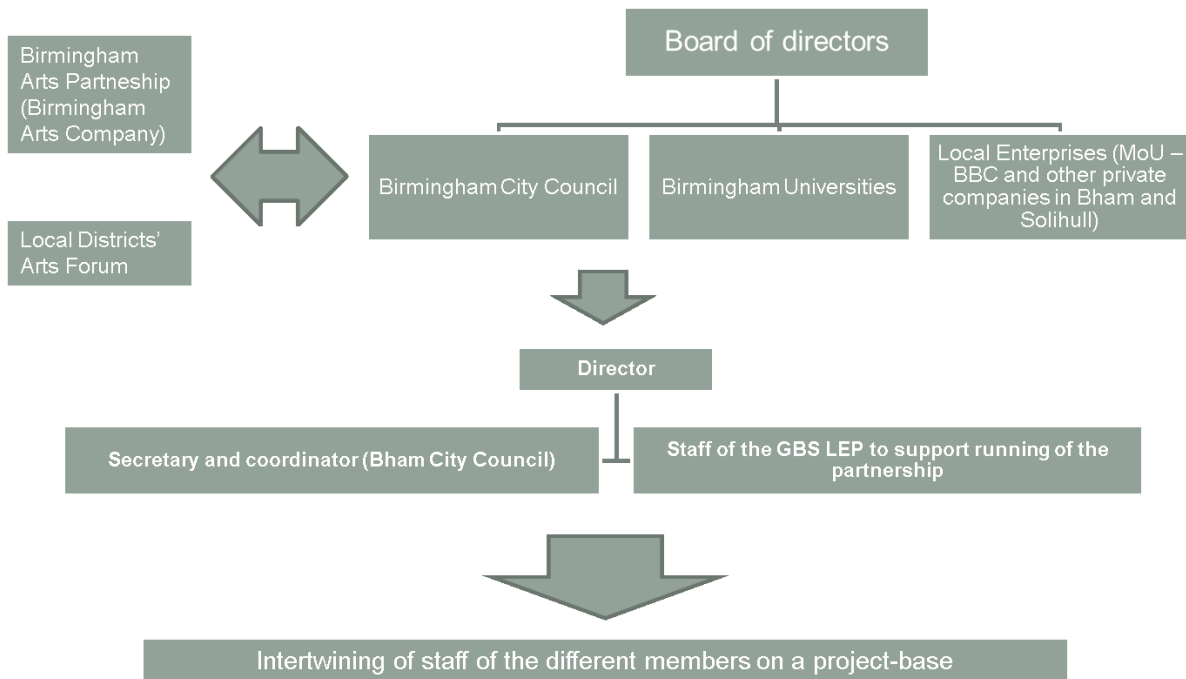


Figure 44: Governance of the MSP project (Author's elaboration)

As explained in the overview on the research methodology, the *meso* research aimed also at exploring the perception of the partnership at the *meso/ecosystem* level by its key players. In order to explore this issue, a series of research interviews were carried out with a research sample of nine interviewees, three for each main category of local stakeholders (policy makers, cultural managers, other stakeholders – namely members of local communities with an interest in arts and culture and participating in cultural activities and initiatives), identified according to the studies of Crosby and Bryson (2006 and 2010). The data emerging from the interviews have been collected and analyzed according to the research questions and to the categories of stakeholders.

The interviews were semi-structured, allowing time for discussion and reflection from the interviewees, and followed an interview protocol based on the following three

main questions:

1. What is the potential of implementing a PPP or MSP in the Birmingham and surrounding territory, such as the Birmingham Creative City Partnership?
2. What are the difficulties in the implementation?
3. What are the actions that could be carried out to ensure the successful implementation of such a partnership?

The results of the first question highlighted an alignment among the stakeholders on the ideas regarding the potential of the partnership.

	Frequency in the total number of interviewees	Policy makers	Cultural managers	Other stakeholders
Perceived Potential of cultural MSP projects				
Overcoming of financial problems of both the public and private sector by pooling of resources	9	3	3	3
Development of an integrated cultural strategy for local development	9	3	3	3
Support to the development of initiatives, leaving autonomy to the single subjects	9	3	3	3
Rediscovery and enhancement of the cultural identity of the area	9	3	3	3
Community involvement and enhancement	8	3	2	3
Intertwining of competencies and skills: overcoming lack of competencies in the public sector	7	3	3	1
Increasing tourism appeal of the area	7	3	2	2
Enhancing the innovation capacity of the region through networking and confrontation	7	3	1	3
Increased power in lobbying and applying for grants	4	3	1	0

Table 10: perceived potential of the MSP project (Author's elaboration)

The first benefit of the MSP are related to the recent financial constraints that have been experienced as a result of the economic and financial crisis on the entire cultural and creative sector as a whole. The main advantage of the partnership were in fact perceived in terms of its ability to pool resources of public, private and academic subjects overcoming the significant decrease in culture funding (both from ACE and the city council) that the whole area has experienced over the last five years (together with the UK in general). However, the potential of the partnership is identified also in

terms of integrating culture and creativity in the strategy for local economic and social development, showing again the perceived need for a ecosystem approach in which the different subjects cooperate to promote common gains and pursue common benefits. Other potential advantages are identified in the possibility to implement a multi-level structure of governance that will support the development of common initiatives and strategies but at the same time leave autonomy to the single subjects. Flexibility and informality are again a frequently mentioned topic among the interviewees, mirroring the call for flexibility identified at the theoretical level. However, some peculiar characteristics seems indicative of the need to approach the rethinking of cultural governance for the cultural and creative sector. Indeed, not only economic and strategic objectives are perceived as relevant: importance is also given to the rediscovery of the cultural identity of the area and to community involvement and citizens' engagement. In terms of differences among the priorities perceived by each category of stakeholders, the most significant dissimilarities are between the "other stakeholders" and the "policy makers" categories, especially in terms of the awareness that partnership with private and academic subjects could partially solve the lack of competencies of the public sector (strongly agreed upon by policy makers and cultural managers) and the fact that the new structure could be more powerful in lobbying for external funding and grant applications.

As for the second discussion topics, the majority of the interviewees agreed on the difficulties that could block the successful implementation of this MSP project, identified in particular in strategic problems (such as agreeing on common objectives and identifying common goals) and in the difficulties. Potential problems in balancing of benefits among the partners are perceived mainly by the other stakeholders category. Again, intangibles are considered as major potential difficulties: more specifically, lack of mindset towards networking was strongly mentioned by policy makers and cultural managers while the problem of mistrust, that was considered as a major problem in other case studies analyzed at an international level, was perceived as a drawback mainly by cultural managers and policy makers but not by the interviewees coming from the community. of effectively involving the partners and

key stakeholders of the project. Technical or administrative problems related to communication and knowledge flow among various partners, to the financial sustainability of the project or to lack of autonomy of the single partner institutions are felt especially by policy makers and cultural managers. In general, many interviewees argued that the main difficulty will be in implementing a partnership governance structure that could ensure a flexible approach, bringing together multiple partners to discuss common strategies but that should avoid being too prescriptive and being perceived as a forcing by the various members involved.

	Frequency in the total number of interviewees	Policy makers	Cultural managers	Other stakeholders
Difficulties in the Implementation of cultural MSP projects				
Lack of clarity in identifying common goals and agreeing on common objectives	9	3	3	3
Lack of involvement of key stakeholders	8	3	3	2
Difficulties in finding mechanisms for implementing bottom-up approaches	8	2	3	3
Mistrust between potential members of the partnership	6	2	3	1
Technical and administrative problems related to communication and knowledge flow between different institutions	5	2	2	1
Lack of mindset towards networking	7	3	3	1
Balancing of benefits for each member	7	1	3	3
Problems related to fear of lack of autonomy	7	3	3	1
Financial difficulties in funding MSP	5	3	2	0

Table 11: Difficulties of implementation of cultural MSP projects (Author's elaboration)

Finally, the answers to the third research topic showed that the actions to take to overcome problems and promote an effective multi-stakeholder partnership are mainly related to intangibles.

All interviewees agree that the priorities are related to the identification of common goals, through participatory approaches; the common cultural identity of the territory is considered as a unifying criteria among the partners and one of the strongest reasons to cooperate, again pointing to peculiarities of the cultural and creative sector as compared to other fields. The structure indicated as more suitable for the

partnership is a flexible one: the most proposed partnership model has been indicated as a loosen one, that will support at various levels the implementation of autonomous initiatives based on the entrepreneurial mindset of the various subjects. More concrete actions, such as the need to create a suitable governance structure and creating a masterplan for development, are felt more by policy makers and cultural managers and less by other stakeholders.

	Frequency in the total number of interviewees	Frequency Policy makers	Frequency Cultural managers	Frequency Other stakeholders
Actions to take for the Implementation of cultural MSP projects				
Identifying clear common goals as basis and criteria for the establishment of the partnership and collaborations	9	3	3	3
Implementing participatory approaches, involving all relevant stakeholders through forum, discussion groups, etc...in the long term	9	3	3	3
Promoting re-discovery of cultural identity among the public, private and community stakeholders	9	3	3	3
Creating a «flexible» and loosen partnership that supports autonomous initiatives of the cultural and creative subjects and stimulates entrepreneurial mindset	8	3	2	1
Implementing action plans for initiatives aiming at mutual enhancement and better relations among the members	7	2	3	2
Creating a governance structure equally representing the stakeholders of the projects	7	3	3	1
Promoting integrated masterplan that inserts culture in a broader development framework	7	3	3	1

Table 12: Actions to take for the implementation of cultural MSP project (Author's elaboration)

4.4.8 CONTRIBUTION TO KNOWLEDGE: FLEXIBLE COOPERATIVE MSPs FOR STRATEGIC DEVELOPMENT

The case study of the Birmingham Creative City Partnership has highlighted an approach to PPPs that is in line with the most recent trends on the rethinking of the governance and management models of the cultural sector based on an ecosystem

approach to culture, where cultural and creative organizations are inserted in flexible, multi-level governance schemes in the territory.

The model implemented by BCCP reflects this approach: the MSP project is conceived as a sub-group of the broader partnership for local development, the Greater Birmingham and Solihull Local Enterprise Partnership, and maintains operative links with other PPP implemented in the area such as the Birmingham Arts Partnership or the Arts Forum of the local Districts in Birmingham.

From the research on the case study it emerged that the MSP project for the cultural and creative sector was conceived as supporting the local entrepreneurial development in the Birmingham territory, in terms of capacity building but also with reference to the support to entrepreneurial initiatives in the cultural and creative sector and as a platform for sharing experience, skills and best practice among the main public and private subjects of the area. This strong orientation towards ecosystem perspective is reflected in the governance structure and is based on participatory and collaborative approaches implemented at various levels.

Indeed, each subject involved in the governance of the partnership is fostering dialogue with its related community and is representing the different perspective in the debate at the governance level. Particularly interesting seems the case of the local authority: the Birmingham City Council is indeed developing its cultural strategy through permanent discussion forums with the citizens and communities of each district and then representing this local strategy developed through participatory processes in the debates and strategic decision of the Birmingham Creative City Partnership.

This attention towards creating an authorizing environment around the MSP project is considered essential for creating public, social, cultural and as a consequence

economic value for the community and the territory. This is reflected also in the positive perception of the project and by the fact that, though the interviewees still identify a certain need for the identification of common objectives, the project is perceived positively and the actions for improving the partnership are identified in the further implementation of initiatives aimed at the participation of the different stakeholders and communities.

4.4.8 CONCLUDING REMARKS: PPPS AND MSPS IN THE CULTURAL AND CREATIVE SECTOR IN THE UK

The research carried out in the UK meant to explore the development of public-private partnership and multi-stakeholder partnership in the cultural sector in the country by means of an empirical analysis of a significant case at the *micro* and *meso/territorial* level.

From the preparatory literature review, it emerged that Public-Private Partnership in the UK have been a significant topic, especially since the nineties and significant experiences such as the PFI – Private Finance Initiative. However, the approach to PPP has changed over time and it has now become more critical, in favor of the emergence of mixed and looser types of partnerships that have presented more flexible schemes of cooperation. Since the beginning of the economic and financial crisis and its impact on the UK, the demand for a more value-based approach to PPP has emerged as well as a push towards the rediscovery of public values as drivers of the partnership projects. Moreover, multi-stakeholder partnership seems to have increased bringing significant experiences such as the emergence of CAs -Combined Authorities projects and the launching of LEP – Local Enterprise Partnership projects. In general, there is a shift in the approach to partnerships, that are now encouraged at a territorial level in the framework of ecosystem approaches.

This shift has become particularly evident in the cultural sector, where the impact of the crisis has reduced not only the funds to cultural organizations coming from local authorities, but also the funds available from national organizations such as ACE – Arts Council England, and from private sponsors. There is an increasing debate on the need to rethink the role of culture and the way culture is interpreted and inserted in local development. This new approach has considered culture as an ecology rather than as an economy and stimulated cultural alliances and culture related multi-stakeholder partnerships at a *meso* level.

The analysis of the case studies has confirmed this call to rethink the culture and creative sector both at a *micro* and *meso* level.

Indeed the *micro*-level analysis of a case study in Birmingham, FACT – Foundation for Arts and Creative Technologies, has highlighted that the partnership has been implemented with a loosen partnership scheme, in which the public authorities maintain a light control and supervision of the project without strongly interfering with the management of the foundation. The research also underlined a strong attempt by the foundation to develop projects of cooperation with other public and private institutions and to be inserted in broader partnerships for cultural strategy at the city level, thus further confirming the premises emerged in the theoretical part of the analysis.

The *meso* analysis focused on a MSP project located in the Greater Birmingham and Solihull area, the Birmingham Creative City Partnership, that constituted a typical example of a multi-stakeholder partnership involving public, private, academic and community stakeholders. The analysis of the data emerging in the research interviews with representatives of the main categories of stakeholders, indicated that the cultural partnership was implemented as part of a broader strategy for local development and as a support to entrepreneurial and local development. The partnership was implemented through a “loosen” approach with a light role of the public authorities, but with constant attention to community involvement and development. The research also underlined that intangible values are considered highly significant in multi-stakeholder partnership in the culture sector and that the

reinforcement of the common cultural identity is considered both a main potential objective and a strong point for the building of the partnership itself.

In sum, the results confirm the theoretical premises emerged in the literature analysis but add a contribution to the theoretical debate in terms of the drivers that characterize PPPs and MSPs in the cultural sector, underlining the role of intangible and cultural identities as key drivers and reaffirming the need to implement these type of collaborations according to a looser approach that integrates culture in its broader environment and supports the development of autonomous entrepreneurial initiatives.

CHAPTER V

THE DEVELOPMENT OF PPPS AND MSP IN THE CULTURAL SECTOR TOWARDS CULTURAL ECOSYSTEM DEVELOPMENTS

The research carried out in these thesis aimed at exploring the development of public-private collaboration in the cultural sector in Europe, and in investigating the development of public-private and civic partnerships in relation with the debate on the rethinking of the governance systems and management models of the cultural sector.

More precisely, the research aimed at identifying significant PPP models in the cultural field in Europe and to understand how these models are promoting collaborative or participatory approaches amongst their stakeholders in relation to the development of cultural ecosystem perspectives, in line with the trends on PPPs and MSPs analysis identified in literature. The research was developed in two phases, the first promoting a deductive-inductive approach, the second based on inductive-deductive perspectives.

In the first phase, an analysis of the literature on public private partnership models has been carried out, with a specific focus on the development of PPPs in the cultural sector. The analysis on the development of the approaches to PPPs has highlighted a progressive and increasing detachment of current interpretations on PPP related to New Public Management and New Public Governance perspectives, and the emergence of a growing interest in interpreting PPPs as related to multi-stakeholders involvement, public value creation and wider societal impact. In terms of multi-stakeholder involvement, current researches on PPPs are analyzing models of PPP that increasingly present Multi-Stakeholder-Partnership (MSP) systems, that are

based on the inclusion of public, private and civic partners in the different phases of the project and at multiple levels in governance and management. These approaches imply a higher level of flexibility in order to ensure tailor-made approaches to the inclusion of the different subjects; they are often designed on the basis of the characteristics of the territory in which the PPP/MSP is implemented. These studies have also created connections with the research on collaborative and participatory governance.

In terms of the increasing interest in public value creation, recent developments of PPP research encourage an interpretation of PPPs in terms of their wider societal impact on the territory in which they are implemented, and the pursuing of cultural, relational and societal value as a main objective along with economic and financial outputs. This interpretation stresses the links between the PPPs and their environment and has been speeded up during the years of the financial crisis, when ethic issues have started to be more strongly debated in relations to public-private cooperation (Greve and Hodge, 2013). This issue is particularly resonating with the most recent debates on the governance and management structure of the cultural sector (Bonet and Donato, 2011).

With reference to PPPs in the cultural sector, the analysis of the research trends has highlighted an increasing call for the participation of private subjects in the development of the cultural sector not only on a theoretical point of view but also in the development of European policy for the cultural and creative field. The collaboration between private and public subjects is interpreted in its potential to rethink the current governance and management models of the cultural field promoting innovation, stakeholder engagement. Multi-level integration of the *micro* PPP projects of each cultural institutions is encouraged; *micro* PPP projects as well as cultural institutions traditionally governed and managed in isolated ways, are thus inserted in the framework of multi-stakeholder, multi-level territorial ecosystems at the *meso* level, designed on the basis of the cultural identity of the territory (Donato, 2013; Holden, 2015).

Starting from these theoretical considerations, the research aimed at investigating significant models of PPPs in the cultural sector, in order to provide relevant insights on their main characteristics, governance and management schemes and information on how they are integrated in ecosystem perspectives with the promotion of multi-stakeholder partnership approaches.

The analysis was developed in a European perspective, considering four European countries selected on the basis of their dynamism in terms of PPP markets and for their high density of UNESCO World Heritage Sites: France, Germany, Italy and the UK. Italy was added to the research sample because of its significance in terms of cultural heritage, though it has not been a relevant PPP country in comparison with France, Germany and the UK; moreover, the most interesting area of research for the *meso* level had no formal institutionalized MSP in place, therefore the analysis focused on the potential and characteristic of the prospective ecosystem. The results of the analysis carried out in Italy are presented after the analysis carried out in the other countries.

In each country, two significant case studies have been selected: the first related to a *micro* level PPP project, the second related to a PPP/MSP project implemented at a *meso* level. For each case study, a short overview of the context in which the PPP had been implemented was provided. The case has been then analysed under the profiles of governance, management and on with reference to the implementation of participatory and collaborative approaches with the different stakeholders and with related projects and sectors in multi-level ecosystem perspectives for the development of the territory. At the *meso* level, the research has gone further, trying to understand also the perception of the main drivers of the cultural MSP, its existing and potential difficulties, and the actions to promote in order to implement a more successful MSP in the territory. For each *meso* case study nine interviews were carried out with a sample selected on the basis of its geographical distribution in the area and belonging to three main categories of key players selected according to the

theories of Crosby and Bryson (2006). As a result, the sample included policy makers, cultural managers and representative of citizens, communities and other stakeholders of the area related to the cultural and creative milieu. These interview sample aimed at providing a representative, though without statistical aims, picture of the cultural ecosystem of each area. Each analysis ended with some concluding remarks on the PPP and MSP development in the cultural sector in each country and relating it to the broader development and rethinking processes of the governance systems and the management model of the cultural sector.

The results of the analysis in each country have been presented in depth in each chapter. In addition, this closing chapter aims at advancing some concluding interpretation on the overall results collected in the research, thus contributing to the debate on the development of PPPs and MSPs in the cultural sector in light of the rethinking process of the governance systems and management models of the cultural field.

With reference to this objective, some consideration will be provided first on the overall results of the analysis considered at the *micro* and at the *meso* level. Then the results will be interpreted giving an overview on the approach to PPP in each country, analysing the main features of each state in terms of their interpretation of public-private cooperation in the cultural sector. Finally, some potential answers to the research questions posed at the beginning of the research will be provided.

The results of the research offer interest insights when we compare the overall results at the *micro* and the *meso* level in a trans-national perspective.

In terms of *micro* analysis, the different case studies at the *micro* level show an increasing calling for higher involvement of the private partners in the governance and management of PPP projects, that attempts to overcome the traditional interpretations of private partners as mere funding subjects in the implementation of PPP projects. This feature emerges more predominantly in those countries that have

been experiencing decreases in the public funding such as Italy, but also in those countries where the decrease of public funds has been less significant. This growing interest in involving private partners is enacted at the governance level including the private partners in the governance bodies of PPP projects implemented at the *micro* level. However, the level of control by state authorities seems still to be predominant: the PPP governance schemes analysed in the empirical analysis indeed presented all a majority of public or heritage authorities in the governance, though allowing the participation of public partners. This involvement of the private partners vary from a very low level of involvement as in the German PPP case study to higher roles played by private actors in the UK and Italy. In Italy in particular, the case showed that the increasing role of the private partners also in the governance and strategy development level brought positive results in terms of innovation in the cultural project implementation.

Another relevant feature emerging from the overall analysis of the cases at the *micro* level is the increasing tendency in integrating *micro* PPP project at a vertical level, in multi-level, multi-stakeholder governance structures aiming at enhancing culture as driver for cultural development, urban and regional regeneration. This trend interprets the *micro* PPP as part of overall strategies for local development based on culture and creativity. The interaction between public and private subjects in the *micro* PPP mirrors the interaction of the public and private subjects at the *meso* level. This characteristic is significantly represented in terms of governance of the *micro* PPP. The members of the governance bodies indeed are significant actors also in the broader governance structures that are in charge of implementing the wider strategies of territorial development and local regeneration. Under managerial perspectives this tendency becomes even more evident. In the analysed PPP projects, the management structures involved the main territorial actors that were part of the ecosystem strategy for development, although at different degrees (e.g. higher level in the PPP implemented between Louvre Lens and Orange in France and for FACT – Foundation for Arts and Creative Technologies in the UK, lower levels in the case of the Foundation for Concrete Art and Design in Germany). The willingness to integrate

the *micro* PPP in broader strategies at the territorial level is also demonstrated by the attempt, enacted in each one of the analysed cases, to establish collaborative links with other projects in the area and with the citizens and communities.

In sum, the analysis at the *micro* level showed consistency with the trends identified in literature, that advocate for a shift of *micro* perspectives towards ecosystem approaches based on multi-level and collaborative governance and managerial approaches.

With reference to the *meso* level, the analysis of the overall MSP projects confirms that the trends enacted at the *micro* level towards ecosystem implementation are acknowledged also at a broader, territorial level. The cultural projects are indeed mainly interpreted in the long-run, and try to balance the different stakeholders of the territory in the governance bodies. In some cases, such as the French and UK MSP projects, this tendency even more evident and is including also a high level of involvement of civic stakeholders through participatory definition of the strategies and objectives of the MSP. The research interviewees carried out at the *meso* level furthermore reinforced the need to implement ecosystem perspective. The results of the research interviews indeed highlighted that the key stakeholders of these MSP projects feel the need for a balanced representativeness of all the local stakeholders in the institutionalized governance bodies of the partnerships. This part of the empirical research also presents significant insights on the perceived need to redefine the criteria at the basis of the *meso* MSP creation: these criteria should be not only considering the specific features of the cultural sector, with an increased attention to issues such as the generation of public and cultural value along with the economic spillovers, but they should also be strongly linked with the territory and with its particular cultural and creative milieu.

Along with the overall considerations on the results of the research according to the *micro* and *meso* dimensions, it seems relevant to make some consideration on the difference of approaches to PPPs in the cultural sector promoted in each of the

countries of our sample. Though the case studies for each country are only two and therefore generalizations should be avoided, the results however highlighted some peculiar features of the approach to cultural PPPs and MSPs at the national level.

With reference to the implementation of PPPs and MSPs for the cultural sector in France, the analysis showed that the country is progressively trying to implement a decentralized and more flexible approach to the collaboration between the public and the private sector. Though the public authorities still maintain a high level of control, steering functions and supervision in the strategic development of PPP projects, new approaches are being encouraged, that introduce an increased attention to potential of the private partners' contribution to dynamism and the implementation of managerial and technical innovation for the public partners. Moreover, the PPP and MSP project showed a growing dialogue and engagement of the civic stakeholders, again confirming the implementation of ecosystem perspectives in PPP .

With reference to the implementation of PPPs and MSPs in the cultural sector in Germany, the country showed a more formalized approach to PPP project development based on the role of the state or local authorities as main subjects in the definition of the design and structure of the PPP project. This is translated in the implementation of more formalized governance structures and management models at the *micro* level, with the private partners called for collaboration but playing minor roles both in the governance bodies and management structures of the cultural PPP. The *meso* MSP project is partially trying to rethink the cooperation between public and private partners by means of a participatory definition of the main objectives and outputs of the project. However, the adopted procedure (the competitive dialogue) presents high level of formalization and the public partners are guiding, supervising and controlling each phase of the project design and implementation. Another interesting feature emerging in our PPP case studies is that the level of involvement of citizens and communities is rather not developed: local communities are interpreted mainly as beneficiaries of cultural PPP projects.

With reference to the analysis in the UK, the development of PPPs and MSPs is consistent with the trends highlighted in the other countries (ecosystem perspectives, integration of cultural PPPs and MSPs in wider territorial strategies). However, the results point to an approach to cultural PPP based mainly on the enhancement of the role of cultural and creative industries and in the interpretation of PPPs and MSPs as supporting governance structures for the entrepreneurial development of the territory. Especially at the *micro* but also at the *meso* level, the local authorities intervene in the partnership governance mainly in terms of guidance, support and light supervision of the strategic development of the partnership in the territory, but large autonomy is attributed to the private partners. Culture in this framework is conceived as support to cultural and creative industries, that are considered as key drivers in projects of urban regeneration and development. Nevertheless, the analysed case studies presents higher development of participatory projects directed to the involvement of the citizens and communities; this furthermore confirms the ecosystem perspective in the approach to culture and creativity that has been at the centre of the debate on the cultural and creative sector in recent years (Holden, 2015).

With reference to the research carried out in Italy, the analysis highlighted that both PPPs at the *micro* level and potential MSPs at the *meso* level are trying to rethinking the role of the private partners as “sponsors” or funders for cultural projects and attempting to promote perspectives in which the private subjects are included in the governance and management. This shift in perception of the potential of the private subjects in PPP is related to a general rethinking of the governance systems for the cultural sector in Italy. Especially as a consequence of the impact of the crisis in the cultural sector, culture is undergoing a process of debates and changes that are trying to promote the creation of cultural ecosystems at the *meso* level based on multi-stakeholder partnership implemented on the basis of the cultural identity and cultural features of each territory (Donato, 2013). Ecosystem MSP collaborations between public, private and civic stakeholders of the territory are increasingly identified as the governance model that could unlock the potential of the cultural sector in the country.

In a nutshell, the research carried out in this thesis endorses the trends that have been identified in literature related to PPPs in the cultural sector: PPPs in the cultural field are moving towards the development of *meso*, ecosystem approaches designed according to MSP models. Moreover, the research confirms that, the trend is enacted in the most relevant PPP countries and that, though this tendency towards ecosystem perspectives is promoted differently at the national level, the need to reinterpret the interactions among private, public and civic stakeholders could unlock the potential of the cultural and creative sector and provide solutions to the traditional and current challenges posed by the turbulent times that are characterizing the recent decades.

Moreover, the research highlighted the peculiar characteristics that PPPs and MSPs should have in the cultural sector: namely, the high role in the cultural identity in the design of the PPPs and MSPs. Cultural identity should be the basis of the creation of cultural MSP governance structures for the development of the territory and intangibles (cultural values, cultural identity, social and relational capital) should be carefully considered when implementing cultural MSPs and PPPs.

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