

OpenHeritage: deliverable 5.4

Guidelines for public-private-people-partnerships in adaptive heritage reuse

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1 Introduction

1.1 Task and deliverable

This paper focuses on **the governance side of adaptive re-use processes, more specifically on guidelines for stakeholder integration**. It extracts ideas from the analysed Observatory Cases (OC), and reflects on the work done in the Community Heritage Labs (CHL's) in order to derive recommendations for the governance of dealing with open heritage. For that purpose, this deliverable will formulate guidelines that will provide easy to follow models/procedures that can facilitate the operation of a functioning partnership between the public sector, the private sector and the civics.

1.2 Objectives of this document

The aim of this document is to support authorities and practitioners in developing inclusive, sustainable partnerships for their adaptive heritage reuse project.

This paper develops a managerial roadmap that identifies, defines and describes **the characteristics of inclusive partnerships in adaptive heritage reuse projects**. This planning framework aims to define which characteristics need to be developed in order to ensure more effective cooperation among the three main groups of stakeholders: individuals and organised communities as one (the so-called *civic community*), private and third sector combined as another (the so-called *business community*) and the public sector (the so-called *public community* on several tiers).

The variety of actors involved presents a challenge as well as new opportunities. NGOs, local communities, public bodies, private investors, heritage professionals and others all have various interests and priorities (see above). But in reference to the Triple Helix presented above, and in general and last instance it comes down to something like this: the business sector is in last instance always focussed on 'money making' (will it be economically sustainable), the public sector is in last instance always focussed on 'vote winning' (will it be politically sustainable) and the civic sector on interest sharing (will it be socially sustainable and inclusive). If

each of these interests are met, the project is often the most resilient (Boelens 1998). However, it is not always easy to reach consensus amongst all these interests. This is especially the case with regard to inclusive heritage, since the aim of preservation activists is at first sight hardly consistent with the aim to develop as profitable as possible or as social useable as possible for the business and civic sector respectively. This is especially the case with regard to heritage, since the preservation goal is not always consistent with the economic or social goals. Nevertheless, reaching consensus towards an effective and efficient partnerships for adaptive heritage reuse, can also yield many benefits, such as added project value, broader support and therewith shorter process time benefits, communities' involvement in maintenance and programming etc. **In this report we will put forward a frame to effectively distinguish successful collaborations in this regard, as well as clear and applicable tipping points and recommendations for implementation.**

The Open Heritage Project is developing inclusive cooperation, governance and management models for overlooked heritage sites by working with six Living Labs while analyzing case studies of good practices in adaptive heritage from across Europe (Observatory Cases). Working together with residents, local businesses, higher education organizations and municipalities, Open Heritage explores diverse partnership arrangements, community engagement methods and finance mechanisms to help develop and sustain community engagement with heritage sites. A central concept of Open Heritage is the idea of "openness": open when looking at what constitutes heritage or open when deciding who should be involved in heritage processes. An inclusive — open — approach to heritage projects is a benefit to the projects themselves, as well as the individual partners working on them. (www.openheritage.be)

1.3 Inclusive adaptive heritage reuse

There is a difference between 'a classical' reuse project and an adaptive heritage reuse project, as we focus on in Open Heritage. When talking about Public-private-people-partnerships we regularly refer to formal procedures bound by legal restrictions and format. An official PPP is a powerful tool / procedure to set up a complex project anchored in an official contractual partnership between parties. What makes Open Heritage different is that the cases that we are aiming for have

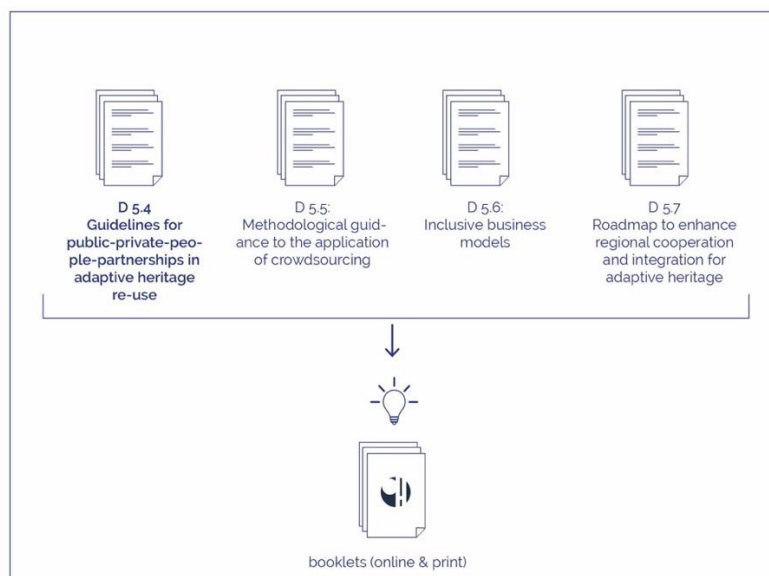
the ambition to focus on processes and projects with a strong presence of the civic community. Be it as key-stakeholder or as initiator. The strategies to build relationships in the OH cases are thus different in nature than the ones we classically find in the official PPP procedures. The focus in this document will therefore not be on the official PPP formation but rather on alternative forms of partnerships between various parties.

In this report we will aim to answer next research questions:

- How to achieve successful and sustainable relationships between different parties in an adaptive heritage reuse project?
- How can you actively involve different types of stakeholders in an adaptive heritage reuse project?
- What types of management models and tools are most suitable for a co-governance incentive?

Link with other tasks within the workpackage:

This deliverable is part of work package 5 that focuses on the toolbox. The goal is to distill lessons from the various deliverables, which can then be bundled into 1 conveniently arranged booklet that can be offered online, open source.



2 Theoretical Frame

Although the idea of and the need for (public-private-civic) partnerships have been there from the beginning of times¹, it was for a long time forgotten in the 20th century, especially during the era of the Modernist Planners, who believed that government planning was actually the missing element of progress to prevent society from becoming helpless, chaotic, and ineffective (Dror, 1968; Etzioni, 1968; Faludi, 1973). But exactly at that time, during the early 70s, it became also clear that these kinds of socially engaged Modernist blueprint plans were too static to deal the dynamics and volatilities of the real world, too holistic to deal with the complexities of project management, and in the end also too directive in order to really create the emancipatory and ecologic engagement they wanted (Bolte & Meijer, 1981; Habermas, 1984; Lyotard, 2018). From there and congruent with the socio-economic oil crises of the 1970's, the adjoining failure of the welfare state, and the announcement of the end of the scientific and political project of the Enlightenment as such (Fukuyama, 1989) one also rediscovered the opportunities and possibilities of public-private-partnerships (ppp) in order to fix the misfits of pure and directive (blue print) planning from the bottom-up. It coincided with the global neo-liberal shift at the moment, who tried to reconstitute the foundations of Western societies on a more durable economic and ecologic basis, although the latter was soon overwhelmed by the first (Boelens, 2021)

Nevertheless, within the domain of heritage planning, ppp has only been applied from the 2000s onwards, since heritage preservation was at least until that time (and for some even at the moment) mainly regarded as the principal and last stronghold of pure top-down governmental planning (from the famous UNESCO directives, via those of the national authorities, towards the regional and local conservation programs). Focus of these directives was mainly to preserve tangible and intangible assets for future generations, or even to enhance national and regional identities and self-esteem. But **new experiments with ppp-heritage projects showed innovative and surprising cross-overs**, which were never thought to be feasible before; such as bookstores in old churches, hotels in

¹ See for instance the birth of early watermanagement in Flanders from the 9th century onwards (Boelens 2020)

monasteries, wellness centers in old silos or breweries etc.

Moreover, these new heritage projects promised more sustainable implementation and maintenance features, beyond the wimps and simps of alternating public budget cuts. Therewith we will first delve into the features of these ppp-heritage features in order to see what we can learn from them.

However, at the time, the deficits and misfits of these public-private-partnerships were also and already heavily discussed within the urban planning realm. In order to deal with these misfits, and congruent with the upcoming communicative and collaborative planning, a **new paradigm of public-private-people-partnerships** and ideas on smart planning evolved. Within the general realm of urban planning, several experiments in this regard came up in the last two decades, although they have hardly touched heritage planning up to this moment. They have been elaborated in **separate Triple and even Quadruple Working schemes**, and more recently in a more elaborated actor-relational approach of spatial planning, which might also present new perspectives for open heritage planning. Therewith we will finally delve into these more smart and inclusive approaches, in order to access the Open Heritage projects from this perspective and develop some recommendations and outlines for a more collective and engaged future organization of these projects.

2.1 1Introducing the incentives of cooperation

2.1.1 Public-Private Partnerships (2P)

As said, public-private-partnerships in urban planning evolved in the aftermath of the (Keynian and socialist) welfare state, towards a worldwide shift of a more or less proclaimed 'universal neo-liberal democracy' (Fukuyama, 1989) with its political champions as Ronald Reagan, Margareth Thatcher, Deng Xiaoping, Francois Mitterand, Hemut Kohl, Gorbatsjov/Jeltsin and others. Within the realm of spatial planning, at the time many (and mainly the more well to do) inhabitants left the city, old industries declined or went broke, leaving behind vast areas of brown fields within and around the main cities. The involved municipalities were not able to clean and fill these vast empty lands with new programs by themselves and therefore turned again to the private sector (as in the time before the New

Deal of 1930s), but now in an intended new cooperative arrangement in order not to lose control (therewith *neo-liberalism*). The first time these new kinds of public-private-partnerships were established, was in the new Waterfront developments of New York and Boston (from the early 1980's onwards) and Docklands London (developed from the mid 1980's onwards). They followed the scheme of the Urban Regime Theory, a.o. previously defined by Norman and Susan Fainstein (1983), John Logan and Harvey Molotch (1987), and Clarence Stone (1989) etc. In here an urban regime was defined as the '*(in)formal arrangements by which public bodies and private interests function together in order to make and carry out governing decisions*'. They stressed the mutual dependency of public legislation and medium coverage and access to financial resources, in order to promote effective urban developments. As such, **a public-private partnerships is in fact a contractual arrangements in which the private sector assists in delivering a public service by providing funding or operational contributions**. They gained increasingly popularity as a means for governments to manage the expanding costs and responsibilities of public services and ventures.

Here the regime theorists distinguished not only '*development regimes*' (concerned with changing land use), but also '*lower class opportunity regimes*' (emphasizing human investment policies and access to employment) and '*maintenance and caretaker regimes*' (focusing on service delivery and affordable housing), and last but not least so-called '*middle class progressive regimes*' (aiming at environmental protection and historic preservation) (Mossberger, 2009)(Therewith the regime approach went beyond the regular realms of urban planning. Moreover, (Logan et al., 2007) stressed **the importance of local coalitions with so-called 'place entrepreneurs' in order to avoid hit & run project mentalities and enhance a longer commitment and engagement with the project or service, beyond the delivery itself**. As such, over time public-private-partnerships became also common in areas as energy transition, water management, public transportation, and telecommunications to deliver necessary public services.

Nevertheless, it took until the 2000s, when these kinds of ppp's also entered the domain of heritage planning. Confronted with ongoing public budget cuts and a

growing demand for heritage preservation, there evolved a need for innovative solutions and the opening up of additional financial resources. In addition, one became aware that preserving urban areas with dominant directives, and a major focus on museal and heritage buildings, delivered in fact dead cities, not sustainable on the long run (Urry, 1992; O'Rourke et al. 1999; Scott, 2000). However, entering the field of ppp in heritage preservation also opened up a fuzzy Pandora box of controversial interests and possibly a sliding away of what is still cultural justifiable or acceptable; because the public interests of heritage preservation is not always congruent with the private interest for profit making and cost-effective implementation. Therefore, there are lots of examples where ppp heritage preservation resulted in the loss of tangible and intangible assets or just the preservation of the facade, with a complete new and modern build up behind. Furthermore, before Covid there were even ideas of for example the tourist operator TUI to buy up shrinking villages in Italy, Greece and Spain, preserving not only the houses and sites, but also the original retail, catering and the village services (including the inhabitants), in order to guarantee the most original experiences for their customers. It resembled more or less the Celebrations of the Walt Disney company or the privatopias in the USA. But on the other hand there are also good examples of ppp heritage preservations with an engaged conversation of the (in)tangible assets, and added financial economic value for the new programs (for instance the Selexy Bookstore in Maastricht; the Crosier hotel in Maastricht; Thermalbath & Spa Zürich; Silo Apartments in Leiden etc.). This might be especially the case for the tourist sector, retail and housing. **The main tipping point over here seems to be that in each of these projects, the new economic program can be easily removed and/or replaced without damaging the cultural (in)tangible assets.**

But more prominently and in addition, over time the urban regimes received also severe critiques as 'non-democratic decision-making in backrooms', 'enhancing a selective distribution of (materialistic) incentives', and a 'too exclusive project oriented focus and fragmented contextualization' (Davies, 2002; Imbroscio, 1998; Sartori, 1991)

PPPs were being criticized for being *insufficient* in bringing about desired and expected public outcomes, especially in wicked challenges that

include many diverse actors, interests and perspectives

(Song et al., 2018) Within PPPs, public sector actors often focus predominantly or overwhelmingly on serving and supporting the private interests *to the detriment of public interests*, and easily overlook the interests and needs of the underrepresented within society. Moreover, from some evaluations of ppp-projects (and especially those at the former revitalization of old harbor areas, such as those in London, Amsterdam, Hamburg etc.) it showed that the public sector ended up with the costs and the private sector with the benefits of the project. Sometimes ppp's even enhanced clientelism and fuzzy political involvements in public businesses (see Slachthuisterrein Antwerp, Blue Towers Ghent etc.). For that purpose Flyvbjerg (1998) developed his phronetic planning research, focusing on the main intentions of these projects (1) where are we going?; (2) who gains and who loses, and by which mechanism of power?; (3) is this development desirable?; and (4) What if anything, should we do about it?. But next to that, over time, ppp's also revealed that next to legislation, public governments were still responsible for implementing the loss-making infrastructures, while the private sector developed the profitable programs on that basis (Boelens, 1998). Therewith ppp's often also resulted in a highly unbalanced outcome of the profit-burden sequence.

2.1.2 Public-Private-People Partnerships (3P)

In order to deal with these misfits and congruent with the evolving communicative and collaborative planning from mid 1990's onwards, new ideas came up with regard to public-private-**people**-partnerships and the adjoining **smart growth planning**. Instead of aiming at fixed targets, this kind of planning focused predominantly on **trade-offs** between not only economic, entrepreneurial interest and those of the public sector, but also on trade-offs with civic needs, social interests and ecologic activism. Instead of the focus on short term perspectives and short-term profits, smart growth management would focus on the embracement of a longer vision based on the '**competence**' of key stakeholders in as well the public, private and civic society; stressing the need for legislative directives, financial resources and civic ideas and support (Stein, 1997) Smart growth planning focused therewith mainly on the associations between these key realms and shared options, whereby all three should be addressed on their (mutual) responsibilities and gains. Dealing with smart growth, demanded a

continuous search for '*what's in it for each of parties*' in order to gain communal back up for sustainable solutions, as well in economic, ecologic and social sense (Kreukels & van Vliet, 2001).

The first aim of 3Ps is thus to make public-private-partnerships more people oriented and inclusive towards the people's interest and citizen-driven innovations for complex spatial challenges, and to turn "the people" into a substantial partner within formal and informal partnerships for urban and spatial (re)development (UNECE, 2018). 'People' in this case concerns communities, interest groups, NGOs, neighborhood associations, end-users, as well as rational consumers; in short, the civic society as mentioned above (Irazábal, 2016; Kuronen et al., 2010) 3Ps thus strives for a more horizontal approach, both incorporating formal and informal relationships between and among public entities, private companies and citizens (Irazábal, 2016) Such formal and informal arrangements might include contracts, memoranda of understanding, mutual agreements, supply agreements etc. (Marana et al., 2018). The sequential aim of 3Ps is then to (re)consider the distribution of costs and benefits in urban partnerships and to include 'the civics' much more substantially in collaborative planning (Irazábal, 2016) Last but not least, it is argued that 3Ps can create more desirable living environments and improve participation and communicative planning, as it grants the involvement of people both institutional, methodologically and financial back-up (Kuronen et al., 2010) Moreover, over time also ideas on **equity** (*instead of equality*) **planning** entered the domain of smart growth management. Here the main idea was that not every stakeholder has got the same access to legislative, financial and informational resources, and that therefore also the strongest shoulders should carry the heaviest burdens (Krumholz & Forester, 1990).

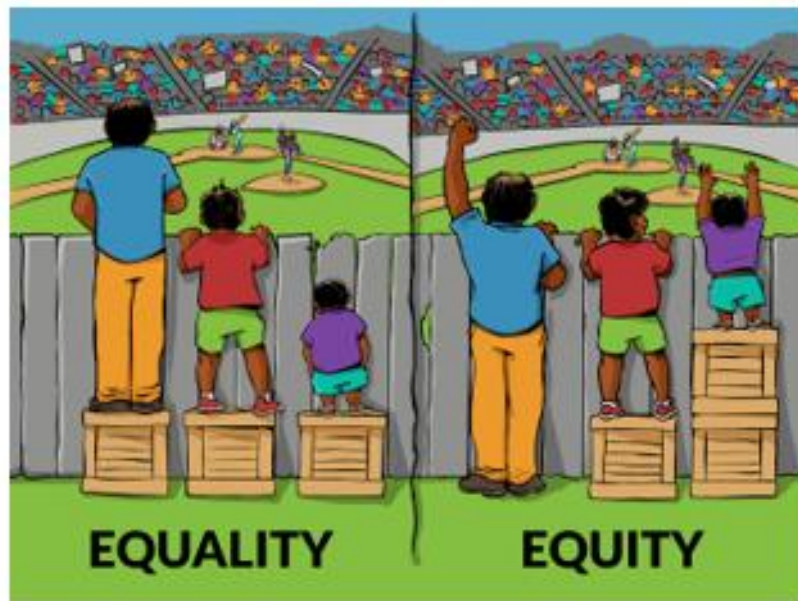


Figure 1: Equal versus equity planning (source: Angus Maguire 2020)

Equity planning became therewith a framework in which urban planners working within governments would use their research, analytical and organizing skills to influence opinion, mobilize the underrepresented, and propose and implement policies that redistribute public and private resources to the poor and underprivileged. Here new ideas on financing and land value *recapturing* came up, whereby the increase in land/property values by governmental actions would be partly *recaptured* for community benefits, such as affordable housing, shared mobility services, quality pedestrian and biking connections, open space, social amenities... and also historic preservation. In these constructions the landowner/project developer would still benefit, but not as much as before, while the community would benefit also. Here a range of old and new organisations and financial instruments came up (again), such as community land trusts, common pool resource management, crowd funding, flanked by public/private incentives etc. in order to gain just and equitable results. The main criterion over here is that from the start and in the end this kind of added value recovery would be realized in the pocket, such for the sake of mutual benefits. The main focus of planners would then turn to include underrepresented interests as much as possible. In that respect, several projects have been realized throughout the world (such as for instance The Sytwende project in The Hague, Seattles

Neighborhood Investment program, The neighborhood contracts in Brussels etc.) but for the moment it has hardly touched heritage planning.

Therewith it remains the question if the cases with this Open Heritage program would have the potentials to end up as real equity plans. The main criterion over here is how the financial resources are being (re)distributed within the project and if all the 3p's would gain as much as possible over a longer term of time.

2.1.3 Public-Private-People-Knowledge Partnerships (4P)

Parallel to equity planning, but from a different background (i.e. economic recovery strategies for deprived or depriving regions) new ideas evolved with regard to public-private-knowledge partnerships. This so-called *Triple Helix* concept was developed by Henry Etzkowitz and Loet Leydesdorff in the 1990s (Etzkowitz & Leydesdorff, 1995, 2000) and focused mainly on the promises of the new internet and telecommunications era and the adjoining ambitions of creative cities or regions (Carta, 2007; Florida, 2002; Howkins, 2018; Landry, 2012). It was focused on the champions of the new IT-economy – such as Silicon Valley in the San Francisco Bay Area, and the Boston MIT campus -where innovative industries heavily relied on high level research at state-of-the-art Universities, vice versa in new spin offs, backed up by research funds and venture policies of the public authorities. Within Europe major examples have been realized in a.o. the Baden Württemberg region, Aalto-Espoo region, Brainport Eindhoven, IMEC Leuven or even the Eindhoven-Aachen-Leuven Triangle (Alagic et al., 2017). But soon there were also voices heard that for real innovation a major stakeholder group was forgotten; i.e. the citizens themselves as the major source for sufficient human resources. Therewith, over time, the Triple Helix approach, extended towards a Quadruple or even Quintuple Helix, also including the environmental issues (Afonso et al., 2012; Carayannis & Campbell, 2009, 2010). In co-governance terms, the set of actors to be involved over here comprises:

- 1) the civic society and its representatives such as (I)NGO's
- 2) the public administration,
- 3) private (entrepreneurial) actors, and
- 4) knowledge and research institutions (the academia), not only as an incentive for new knowledge, but as a real partner.

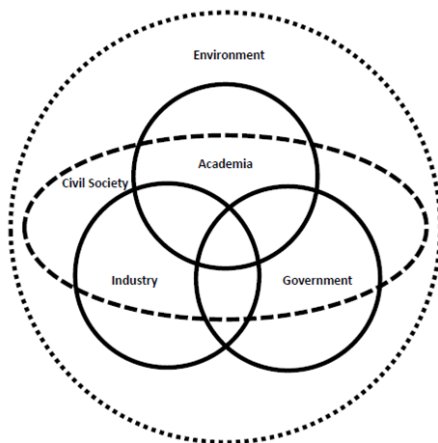


Figure 2: Quadruple Helix scheme (source: Carayannis et al., 2012).

A possible example in this respect is **citizens social science**, whereby citizens are actively involved in the state-of-the-art research of academia, or the other way around in so-called Living Labs, and therewith actively influencing major decisions of industries and public policies as well. But good examples in regard to cultural heritage remain thin in this respect; although tangible and intangible heritage could play a major role in providing the setting for successful creative cities or regions mentioned above.

2.1.4 An actor-relational approach of partnerships (changing P's)

But what became also clear that '*the environment*' does not only refer to ecologic or climate affairs, but also to the specific institutional settings; meaning the informal or formal rules of the game. Leading stakeholders do not act in a void, but their actions are highly related to what has been historically done before likewise (norms, values etc.), or what is allowed or not (laws, directives etc.). It required an active institutional turn, which was already promoted in the general planning per se (Salet, 2018) Moreover, the success and even outcome of this 'co-governance' between citizens, public authorities and innovative proved to be also highly dependent on specific factors of importance, such as the amount of venture capital, upcoming (economic, social, health) crises, geographical features, global accessibility etc. Therewith **the success and even outcome of co-governance proved to be highly situational in time and place. The success of co-governance in one place can't be easily copied to another place at a**

different time. The major criterion over here **is how the specific co-governance between the various stakeholders fits within the given objective, institutional setting and means at hand.** Here the idea of co-evolution came up, while that fit is not only dependent on the path dependencies created before, but also on the specific constellation and stretching possibilities of the interrelated actors, factors and institutional settings, including the mediators and intermediaries in between (Boelens, 2010, 2021; Boelens & de Roo, 2016).

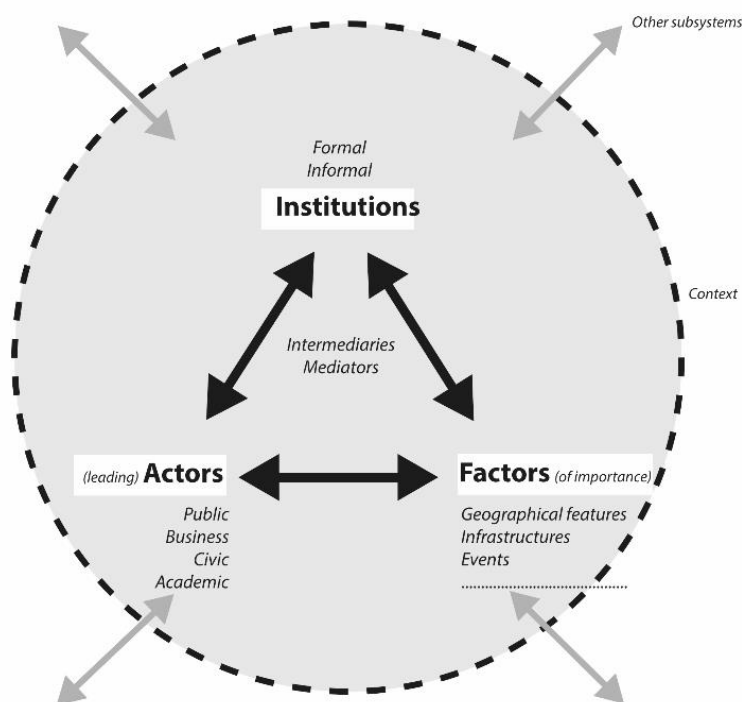


Figure 3: Actor-Relational Approach of Planning (source: Boelens 2016, 2019, 2020)

Referring to the famous generalized Darwinism the co-evolutionary fit of a specific specie in his/her's context, but predominantly on the ongoing interaction between various species, which in turn change their environment and therewith the context for other species to come in or die out, which in turn etc..... until some kind of new equilibrium is created for the time being, which could be disturbed again by unexpected forces from within or the outside-in (Ehrlich & Raven, 1964; Gerrits & Teisman, 2012) This coincides with the ideas of **co-evolutionary resilience**, which goes beyond *engineering* (stay balanced with all technical means at hand)

and/or *ecologic resilience* (use the natural force and specific landscape to balance out). Co-evolutionary resilience tries to continuously evolve towards a state of tuned affairs between a multifaceted and a volatile set of forces, how durable or short that might be (Tempels, 2016; Tempels et al., 2020) **This is the optimum (temporaty) state of complex adaptive systems for complex or wicked problems, everything posing its following problem(s) or challenge(s).** Planning could try to intervene over here from the three levels mentioned above (actors, factors or institutions), but always complex adaptive tuned in this kind of co-evolutionary manner as a kind of undefined becoming (de Roo & Boelens, 2016)

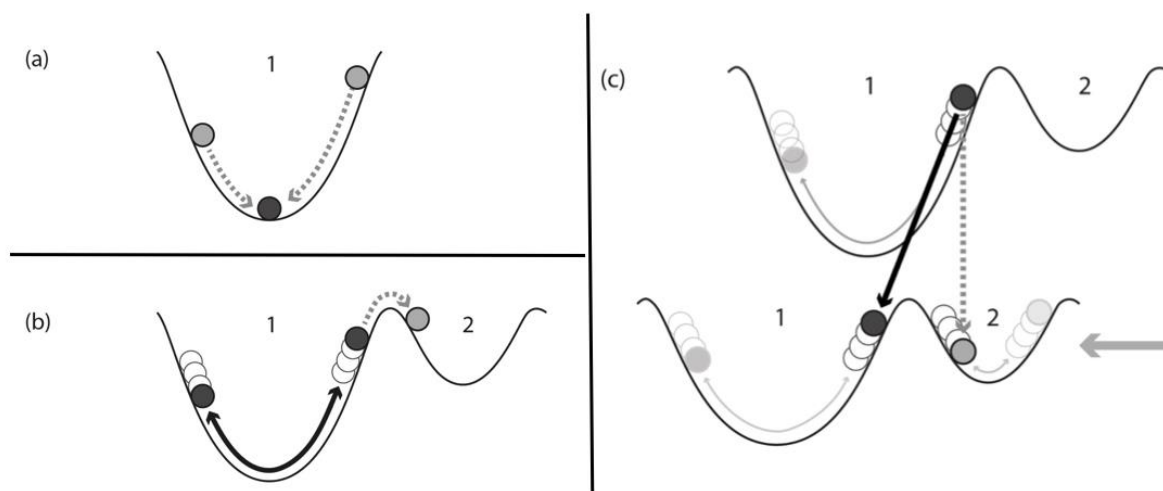


Figure 4: Engineering (a), Ecologic (b) and co-evolutionary resilience (c) (source: Tempels 2013)

Moreover, these ideas with regard to dynamic and co-evolutionary partnerships also coincide with Actor-Network-Theories (ANT), since ANT focused on actors: humans and things alike, taken together also known as '*actants*'. Major ideas derived from ANT are that actors act in a surrounding of other (latent) actors, such as public, private and civic actors. But these actors continuously and reciprocally send and receive, and therewith act within a network. These actor-networks (or probably better: *actant-networks*, explicitly including non-human actors) are also not fixed. They change over time, whereby the receiver also can become a sender and vice versa, or other actors can come in or leave, and therewith transform or '*translate*' from one phase to another. In classical terms has distinguished four of those phases: *problematization* (when a problem or challenge comes up and is

defined), *interessement* (whereby the problem or challenge becomes shared by others), *enrolment* (when first ideas for solutions arise and a structure evolves how to cope with that) and *mobilization of allies* (when a communal solution for all interests is chosen and put into a shared strategy, rule or organization). In more social, or rather eco-political terms, Latour (2005) distinguished, more or less similar phases some 20 years later: '*wonderment – consultation – hierarchy – institutionalization*'.

These kinds of ideas have entered the scene of self-organizations, wherein each of these phases identify in fact various techniques and/or steps to mediate actant networks around "*matters of concern*"; that is gatherings of ideas, forces, players and arenas in which 'things' and issues, come to be and to persist (Latour, 2005) Therewith also with regard to open heritage participations and co-operations, it is always necessary to be aware about the phasing of the project, and which techniques or guiding principle would be the most suitable. Even more, referring to (Deleuze & Guattari, 1988; Hillier, 2007) '*strategic navigation towards a speculative future*', this approach also contracts those steps into four kinds of decisive planning and mapping techniques, intended to bring about clear tipping points in the process of open heritage participation (Sanders 2009):

- *tracing actions*, exploring the potential of a site or heritage challenge;
- *mapping actions*, an educated matching of the potentials traced with possible actors involved;
- *diagram actions*, following the transformations of actor networks and their influences or guiding principles;
- *agency actions*, the binding of those moving actor networks, with laws, regulations, contracts, arrangements, etc. or in short suitable institutionalization

2.1.5 In-between conclusions

To wrap up, each of the (co)governance proposals described above possess their own challenges for an inclusive, or effective open heritage program, but each also has its own deficits and negative effects. There is no 'one size fits all' and it is highly dependent on time and place if one would choose the one or the other. Nevertheless, **this choice needs to fit within the broader context, including**

the ambitions of the respective stakeholders within society, and one needs to be aware about the deficits and impact it might have.

For instance, ***blue print heritage*** is still preferable in areas or times wherein lots (in)tangible assets are mocked around or get insufficient attention. Here indeed there is need of top-down directives from the UN, EU, national, regional or local public authorities to at least preserve those assets for future generations to deal or get use for it. In these circumstances, there is not so much a need for partnerships at all, but instead for an efficient frame to preserve those assets. However, these frames shouldn't be or become an empty shell, and it would require a strong and persistent public government, with sufficient (financial) resources to maintain all the listed cultural assets. And precisely this is not always the case; also, with regard the cases in this project. Moreover, over time preferences could change, and objects become assets which are not on the official list. Precisely in these cases there would be a need for new partnerships.

One of these might be ***public-private-partnerships***. As said, these are in fact formal (by contract) or informal arrangements (by handshake) in which public bodies and private interests function together in order to preserve cultural assets. Here often the public sector needs to draw-up or preserve a fitted legal frame, while the private sector would be responsible for the maintenance. These agreements need to be established in concrete, in order to avoid an unbalanced burden/profit balance. But it might be preferable in times or areas, when/where there are not sufficient public budgets to maintain all the listed cultural assets. Nevertheless, from a heritage point of view, it could be only considered, when the new private program would not destroy the cultural assets, or at least could be easily removed in future times to regain the original cultural values. Moreover, it would be preferable, when the new program would fit within the original 'soul' or 'DNA' of the object/assemblage.

To guarantee the latter even more, ***smart equity heritage partnerships*** might be considered. This partnership is however specifically worthwhile at a bigger scale (neighborhoods, or at a sub-municipal scale), and/or in situations wherein another or (partly) contested initiative could be connected to the heritage incentives.

Within these partnerships a major place entrepreneur or project-developer could take the lead for an integrated, multi-functional area development. Or public bodies might come in to guarantee a sustainable and balanced development over a longer period. Therewith this would not be an option in situations where hit & run developers and unstable policies are at hand. But in order to receive also sufficient support from the involved civic society, there is a need to guarantee sufficient (land) value recapturing mechanisms in the mutual agreements or contracts, for underrepresented or minor economic interests, including heritage reuse and maintenance.

At an even bigger scale (municipal/regional scale), and as an alternative in similar circumstances a **triple or quadruple helix arrangement** can be considered, where the civic and knowledge partners would receive an equal seat at the management table. This could be considered when cultural heritage incentives would play an important in a more overall creative city, revitalization or any other branding of a specific quarter or regional assemblage. But these arrangements would also increase the complexity of the partnerships and would therewith also increase the vulnerability of unrepresented or heritage values in changing circumstances.

In these complex, changing and multi-interest situations (self-organizing) **actor-relational arrangements** might come in. However, these arrangements are not fixed (neither in governance, nor in partner terms) and are/need to be highly adaptive to changing circumstance or times. In each phase of the project new partners might come in, or leave, and changing actors might get the lead. Moreover the (in)formal arrangements have to be fought for and reconstituted time and again, at least anytime whenever a new specific challenge is on the horizon. Moreover, these arrangements need also to co-evolve with the bigger environment of other (self-organizing) interests and the bigger institutional setting. Or in other words also the existing legal framework needs to adapt to these changing arrangements, in order to facilitate these successfully in return. This would make actor-relational heritage arrangements highly fuzzy and elusive. The only criteria to distinguish good actor-relational heritage arrangements from bad ones is **the double fit** of these arrangements within changing circumstances *in actu*, and within the overall aim of a changing co-evolutionary equilibrium of the various interest in time and place, including the heritage assets. From there we

can only try to say something about the fit of each of the case-governance approaches, to give secondly recommendations of how to proceed, in order to fill the toolbox for each of these approaches, dependent on the **time and place of process and setting**.

	<i>Critical success factors</i>	<i>Possible deficits</i>	<i>Open Heritage tools</i>
Blue Print Heritage (classical public, unesco preservations)	Sufficient resources (financial, human, expertise.....) in public administrations	<ul style="list-style-type: none"> - Budget cuts - Changing administrations - 'Dead' projects 	<ul style="list-style-type: none"> - Directives - Descriptions of tangible and intangible assets
PPP Heritage (public private partnership)	Respect for the (in)tangible heritage assets by the new economic program.	<ul style="list-style-type: none"> - Overestimation of the private interest - Passing the point of 'no-return' 	<ul style="list-style-type: none"> - Recovery tools and concepts to regain heritage preservation
Triple/Quadruple Heritage (public private, people partnership)	Heritage is a prominent part of the Creative City, Region strategy	<ul style="list-style-type: none"> - Changing Economic/Financial settings - Ongoing crises and therewith lack on sustainability 	<ul style="list-style-type: none"> - Heritage citizens science - Crowd funding - Co-tools
Equity Heritage (public private benefits for people) the strongest shoulders should carry the heaviest burdens	Recovery of added value for heritage (maintenance) purposes and the social program	<ul style="list-style-type: none"> - Recovery program remains vague and non-economic - Insufficient competence and trade-offs for the underrepresented - Misused tools 	<ul style="list-style-type: none"> - Financial-economic tools to redistribute private gains towards cultural heritage goals
Actor relational heritage	The co-evolutionary fit of the heritage actor-network within the institutional and environmental setting	<ul style="list-style-type: none"> - Complex and wicked setting, which requires every time new heritage solutions - 	<ul style="list-style-type: none"> - Tools for mediating and intermediating heritage - Heritage as an actor itself

Figure 5: Pros, cons and tools of the identified partnership models (source: Consortium 2022)

3 Learning from the cases

In order to become more specific and hands-on, we will delve into the specifics of the given organizations in the Observatory Cases and the Living Labs, from this theoretical backdrop about partnerships. Thereby we will more or less skip the blue print heritage programs, since this approach is already well-known and specifically the Open-heritage project deals with the partnerships beyond. Moreover, here we will also include the fundamental elements of the other work packages to build management models for cultural heritage reuse projects, that can have a significant impact on resources and community involvement, and that can be sustainable for longer periods of time.

For instance, the Luiss report (D.2.4 Comparative analysis Report 2021) already pointed out that regardless of the top-down or bottom-up nature of the initiatives (which can then be both public, private or civic), the projects that have demonstrated a stronger impact on these issues are those where elements of entrepreneurship succeed in combining with elements of co-governance and sharing of resources and policies used to develop the heritage gain in the projects. Moreover, the role of actors outside the project-team turned out to be certainly important and of fundamental support to avoid encountering limits or obstructions. In this respect the multiple helix models (and in particular the reference to the quintuple helix model) are relevant, where all the actors are directly involved in the project and contribute with their know-how to develop its phases, in order to increase its effectiveness.

But in order to create more specific insights, we will delve into the cases, according to a more structured approach, based on the theories above:

- **First,** we will delve into the way and intensity in with each of the aforementioned actor types (public, business, civic) have been involved. Since the hypothesis is that those projects where all these three are included prove to become the most resilient or durable. Here we will analyze if these are all really included, and if not which strategies or tactics could be developed to really do so.

































- **Secondly**, we will delve more specifically in those cases where all three actor types are highly included. Here we will explore how this is done and which managerial type serves the best to incorporate the mutual interests of the three actor types and cultural heritage in general. It will result in guidelines how to institutionalize partnerships in the most promising way.
- **Thirdly**, in reference to this further selection, we will delve into each of the translation phases of the projects observed. We will deepen the guidelines for each of the phase under the hypothesis that each of these phases (problematization, interessement, enrollment and mobilization of allies) would require specific techniques to deal with promising partnerships.

Therewith we will focus more adaptively and focused on the toolbox in reference to specific governancial strategies, situational in time and space. We will wrap up with what this would mean for open heritage.

3.1 Quick scan and partnership selection

The first actor-relational selection of the partnerships was conducted in 5 steps. We have looked into the former and current function in order to get grip of the specifics of the partnerships and if these would depended on the object at hand. Secondly, we have looked into the governance model and which and how many actors from the various quadruple background are/were involved, in order to get grip on the complexity and focus of the partnerships. Thirdly we have analyzed how these partnerships were 'translated' in an organizational model, in order to get grip if this model would fit the intentions and ambitions of the partnerships. We have categorized these organizational models in various types of institutional setting, to see whether there would be a fit or matter of co-evolution. And last but not least, we have looked into the main responsible ownerships of the cases, in order to see if these ownerships would also matter to the given organization and chosen partnership. The first conclusions from the quick scan are visualized in the following scheme that also illustrates these methodological steps.

Figure 6: Overview of the observatory cases (source: Consortium 2022)

CASES	FUNCTION	GOVERNANCE public people private	MANAGEMENT	OWNERSHIP
Cascina Roccafranca, Turin Italy	Cultural space former farmstead		Foundation	
Scugnizzo Liberato, Naples Italy	Cultural space former monastery		Governance of the commons	
Sargfabrik, Vienna Austria	housing former industrial		Professional NGO	 Collective
Färgfabriken, Stockholm Sweden	Cultural space former industrial		Foundation	
Largo Residenciãs, Lisbon Portugal	hostel and café former industrial		Cooperative	
Jewish District, Budapest Hungary	bar and cultural space historical neighbourhood		Private business	
LaFàbrica detodalavida, Maimona Spain	Cultural space (former industrial)		"Collective" based on micro-agreements	
Halele Carol, Bucharest Romania	Cultural space former industrial		Association	
Stará Tržnica, Bratislava Slovakia	Market and cultural space former Market Hall		Alliance/Social enterprise	
Potocki Palace, Radzyń Podlaski Poland	Cultural space former Rococo palace		City hall	
ExRotaprint, Berlin Germany	Cultural space and work former industrial		Professional management team , non-profit company	 Collective Divided ownership (land building)
London CLT, London England	Housing former hospital		CLT in cooperation with Citizens UK	 Collective Divided ownership (land building)
Jam Factory, Lviv Ukraine	Cultural space former industrial		Professional management team	
The Grünmetropole C-Mine Flanders	Cultural space former industrial		International cooperation of public authorities	
Marineterrein, Amsterdam Netherlands	Innovation district former military area		Joint project organization	
Citadel, Alba Iulia Romania	new city quarter 18th century fortress		City Hall	 Divided

Governance



community

Private

People

Public

relation

--- Informal

— formal

Ownership

Private

People

Public

Step 1: current function and former function

What is the current function of the building or site and what was the previous function? This will teach us something about the service that each project proposes to carry out (or deliver).

Step 2: Governance model, involvement of different types of actors

In this matrix we highlight the initiator, and other actors involved in a formal (full line) or informal setting (dotted line). This gives us insight in whether the initiator

of the project operates autonomously or whether it carries out its action using cooperative or collaborative management models (Foster & Iaione, 2016; Head & Ryan, 2004; Iaione, 2016) Following our hypothesis, cultural heritage becomes most resilient if all three communities are involved, we select those cases that show active involvement of all three communities. We take a closer look at the active stakeholders (not shareholders) and see if they belong to one of the three communities (business, civic, public). If so then we can conclude that these cases have a so called “co-governance” model. In which several different actors involved in the process of implementation of a project are formally part of the same body or organization, specifically established for the management and implementation of project activities. In particular, with reference to co-governance, as previously recalled, we mean a multi-stakeholder governance arrangement whereby the community emerges as a key actor, and partners up with at least one of the other four actors of the “quintuple helix” governance scheme of urban innovation (Foster & Iaione, 2016; Iaione, 2016)

Step 3: Management model

The 16 cases hold a variety of ownership/management governance relationships between public, third-sector (namely civil society organisations) and private actors. What different types of management models can we differentiate and what are the innovative aspects of this models in relation to the co-governance arrangements? In the next chapter we'll zoom in on the different collaborative management models. By clustering the cases according to the ownership-management structure and relationship that defines the entities responsible for the heritage asset and its long-term physical, economic and cultural sustainability.

Step 4: Ownership

Is the site / building owned by a public, private or civic actor? How is the ownership structured? What cases can teach us something about how a co-management model can help redefining the relationships between the legal owner (who owns an asset) and the beneficial owner (who uses an asset) as well as adopting collective ownership models.

3.1.1 Conclusions from the matrix and selection cases

Quick insights based on the matrix:

When looking at *the different functions* the cases provide, we can see roughly 3 groups:

- Cases that deliver cultural- oriented services.
- Cases that have a focus on providing space for working in combination with cultural- oriented services; for example Ex-Rotaprint and Marineterrein.
- Cases that focus of providing housing services for example CLT Londen and Sargfabrik

The governance models analysis of the comparative study of observatory cases (D2.4) has called arrangements with all three actors as “public-private-community-partnerships”. The partnerships amongst these were clustered along **4 groups:**

a) Public or private initiated and simple-governance

These are projects initiated by the will of either public authorities, or private entities (owners or entrepreneurs) that intend to restore potential, attractiveness and value to certain buildings or places, by virtue of the cultural value they express. These projects are therefore managed by organisations which are essentially owned by their promoters and which involve other partners only informally, or through external support (financial or professional) for the achievement of the project objectives.

b) Public or private initiated and co-governance

These are projects initiated by the will of either public authorities, or private entities (owners or entrepreneurs) and the structural involvement of other stakeholders was achieved.

c) Civic initiated and simple governance

These are projects initiated by the local community. The main relationship is the one that the organization which manages the project has with the Municipality. In fact, even if it is not part of the project governance, the latter still ensures support to their initiatives through a favorable regulatory framework (ex Sargfabrik) or at least not preventing the implementation of their activities

d) Civic initiated and co-governance

These are projects initiated by the local community. There is a strong involvement not only of the local community, which promotes the reuse projects of the buildings, enhancing their cultural value, but also that of the public authorities (especially, the municipalities) and private partners.

The ownerships models are highly divers. As already mentioned above most private initiated cases who are privately owned don't succeed in establishing structural relations with other partners. When this does happen, for example in the case of Fargfabriken, the relations must be formalized in order to make the initiative sustainable over time. There are 3 cases that show a collective ownership model. The Sargfabrik as a cooperative housing project managed to establish a sustainable model over time. Ex Rotaprint and CLT Londen have a model for divided ownership of buildings and land, to protect the cases against speculation.

This way thus highlights some interesting differences among the observatory cases. In our assessment however, we have identified only those cases where all the three main interest groups are present (civic, business and public) since the hypothesis is that these would be the most resilient. Other interesting cases could have also been highlighted for each field and the descriptive analysis presents a rationale for the choice against other possible candidates. But from this backdrop we have selected the following four commons-public-private-partnership cases to be analyzed more detailed in regard to organization/institutionalization and phasing:

- Cascina Roccafranca, Turin Italy
- Fargfabriken, Stockholm sweden
- Stará Tržnica, Bratislava Slovakia
- London Community Land Trust, London England

3.2 The organization of partnerships and institutionalization

The former uses formal or informal means to set the rights and responsibilities of various parties under the public domain; therewith reducing the scope. Instead, the latter is often focused on broadening the scope in numbers as well in content. After a while a kind of equilibrium might come up, as well as within as form the outside-in. Therewith after a short general introduction we have looked into what kind of partnership has been selected, how it has been translated in an organizational model, in order to learn some lessons with regard to resilience and co-evolution within a bigger setting.

3.2.1 Cascina Roccafranca: Transforming a former farmstead into a multifunctional cultural and social centre

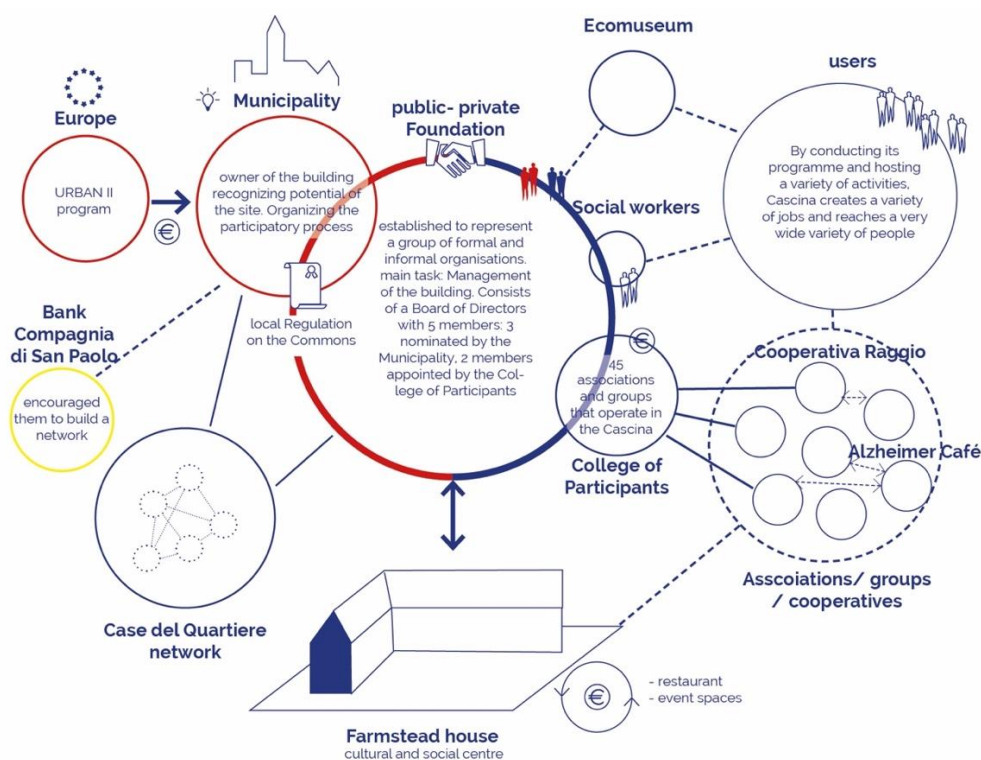


Figure 7: Organizational scheme Cascina Roccafranca (source: Consortium 2022)

3.2.1.1 Setting the scene

In the early 2000s, Cascina Roccafranca was initiated in the context of the European URBAN II funding for the city of Turin ("Top-Down") to address marginalized areas of the city following the socio-economic decline largely as part

of deindustrialization. Bringing together various stakeholders from social service providers, neighborhood organizations, informal groups, municipal representatives in the context of Tavoli Sociali in the late 1990s, Cascina Roccafranca was identified as a suitable location to support the social development of the neighborhood of Mirafiori. While establishing its own governance mechanism, Cascina Roccafranca has remained strongly embedded within a Co-Governance arrangement and institutionalization with the municipality of Turin and with a network of similar neighborhood social centers in the city.

The EU funding and the financial support of the municipality of Turin were a key condition for rehabilitating the site and to start-up the operation by employing social and cultural coordinators and others who maintain the site. With a high number of volunteers and participants using the site on a daily basis, it became inevitable to find persons to maintain the conditions for these activities to take place. Over time, Cascina Roccafranca has been able to generate its own revenues by renting out spaces and by hosting a restaurant, however, it has not eliminated dependency on subsidies. Moreover, the municipality has adopted a collaborative stance to the project, granting a high degree of the project's autonomous decisions – a relationship that was later consolidated by recognizing it as an urban common under the local Regulation on the Commons.

3.2.1.2 Role of the partners

The main partner is the local *public authority*: the municipality is owner of site and takes initiative to establish cultural and social centre in deprived neighbourhoods. The *private sector* comes in to finance the daily affairs, through rents, sponsorships, subsidies etc.

The *civic sector* comes in through the active involvement of neighbourhood organisations, informal groups etc. Therewith they contribute in kind.

3.2.1.3 Organizational model

The partnership is set up as a public-private foundation, this format simplifies Cascina's management and it enables to generate revenues through its spaces and activities (such as rents for events). The foundation is not only connected to the project and community on local scale, but starts to connect to other similar centres throughout the city. The spaces begin to identify themselves as *Case del Quartiere*

(Neighbourhood Houses) in 2014. More developed than other Houses, the Cascina Roccafranca was defined as a model for these *Case del Quartiere*.

3.2.1.4 Institutional setting

Its management is entrusted to the participatory foundation, established under Italian law ("*fondazione in partecipazione*"), composed of public authorities (the Municipality) and civic-private actors (social organizations that promoted the project, private funders), through which it was possible to ensure a participatory decision-making process and a community involvement in the management of the site. Such legal tool provides a suitable environment for participatory planning and cooperation between citizens, local administrations and other local actors or stakeholders, while creating long-established and stable relations between them.

3.2.1.5 Lessons in reference to the theoretical model

In reference to the theoretical model this partnership holds somewhere in between a top-down blue print heritage model and a public-private-people partnership; meaning that the public partner is still the most important partner and allows participation of the other two, by giving them a seat in the management of the foundation. Nevertheless, it remains unclear what would happen if the public subsidies would stop for some reason, and/or if the municipality would decide to readdress the function of the area and building. The same goes for the institutional fit. This fit goes more or less in one direction (the organization is framed within the '*fondazione in partecipazione*'), although the project reaches out to other similar initiatives, with a possible effect towards a new and ongoing institutionalization. Nevertheless, it is not clear how the (in)tangible heritage assets are really preserved for now and in future times. Given the fact, that this point is mostly the prominent deficit of blue-print and public-private-partnerships the foundation might give extra attention to this.

3.2.2 Stara Triznika: Reuse and transforming a market hall back into its former function as a public marketplace

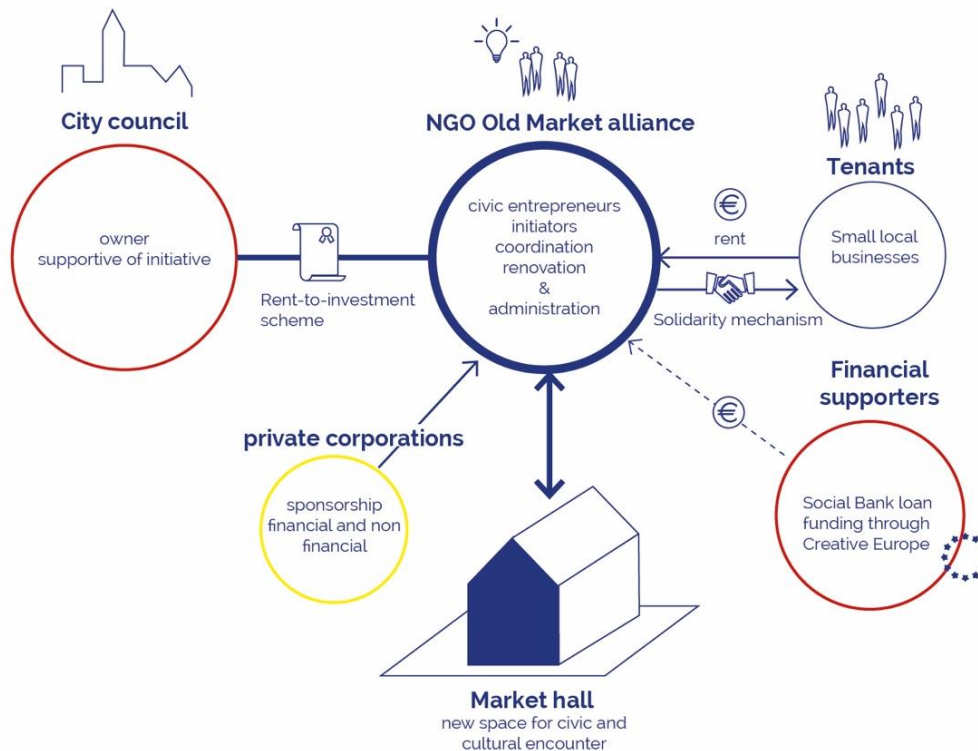


Figure 8: Organizational scheme Stara Triznika (source: Consortium 2022)

3.2.2.1 Setting the scene

This project was initiated by a group of civic activists who saw the need for a new space for civic and cultural encounter in Bratislava, as well as the potential of reusing the abandoned and decaying market hall for these purposes. Patient mobilizing public support eventually pushed the municipal council to collaborate with the project initiators and support the project. This collaboration developed into a co-governance arrangement, involving not only representatives of the municipality, but also small and social entrepreneurs using the site to renovate, program and monitor the market hall.

3.2.2.2 Role of the partners

The main initiator over here are the *civic parties* who managed to organize themselves in order to develop a successful proposal to reuse the old Markethall. They managed to get first support of the *local public authority* who is owner of the site and allowed them to use the building for a symbolic rent of 1€. Moreover, the municipality has granted exploitation to the alliance.

Furthermore, they got support from the *private sector* through social loans and sponsorships, and SME's through rents and new uses.

3.2.2.3 Organizational model

Despite its organizational structure as an association, members of the Old Market Hall Alliance consider themselves a *social enterprise*: they do not pay dividends or take out profit from the association for themselves, but reuse these added values in the project again. This social enterprise has a strong and formal relation with the municipality. Becoming a legal entity as a NGO was needed in order to have more leverage and credibility in the negotiations with the city. The NGO established to elaborate a program for the ancient market hall sited in the city center made a detailed proposal to the Municipality for running the market hall.

The NGO conceived the new market hall's model to be economically sustainable and financially self-reliant, with no public subsidies involved. The 15-year (10 years + 5 years extension) contract signed between the Alliance and the Municipality states that the social enterprise pays a symbolic 1 euro rent per year to the Municipality and has to invest 10.000 euros per month in the renovation of the market hall for the entire duration of the contract: this amounts to 120.000 euros per year and almost 2 million euros by the end of the contract. While the 10.000 euros monthly investment cannot include in-kind work, the investments of the tenants need to be calculated as part of it. Each item of investment is overseen by a supervisory board that includes municipal officers and members of the association.

3.2.2.4 Institutional setting

Despite the discussions about the need of a public competition, the NGO convinced the local government to use a specific regulatory clause which allows the public authority to grant an exemption from the competition to a strong proposal when approved by a vote in the City Council. Thus, a concession agreement was signed instead of starting a longer public procurement process.

The public authority in this case did not suppress democratic debate and waived open tendering procedures for the selection of the most suitable interlocutor to carry out the work. In the presence of a specific and detailed offer and, at the same time, in the absence of other proposals, which had never been submitted

over the years, the public authority decided to cooperate by contractual means with the NGO and simplified the process.

3.2.2.5 Lessons in reference to the theoretical model

In reference to the theoretical model, the social enterprise holds somewhere in between the 3p-equity heritage model and the actor-relational heritage model. Clearly the revenues of the project are being recaptured to induce the conservation and redevelopment of the (in)tangible heritage of the site. In this it is not only used for its former uses as a market place, but also new uses for local SME's and events for the community. Therewith the initiative also resembles the features of the actor-relational approach, since it is self-organized and has managed to partly adapt the institutional fit for their purposes. Moreover, the program is for the moment only for 15 years; therewith it remains highly interesting to see if the initiative would be able to co-evolve from within and form the outside-in after the redevelopment of the Market place has been finished.

The threat for this might be a too big dependence on the involved subsidies and rents (tenants), over-commercialization, and the special arrangements with the public authorities; these must be transparent enough to secure checks and balances.

3.2.3 Färgfabriken: Renovation of an industrial heritage

building, in order to create a cultural space and place for dialogue

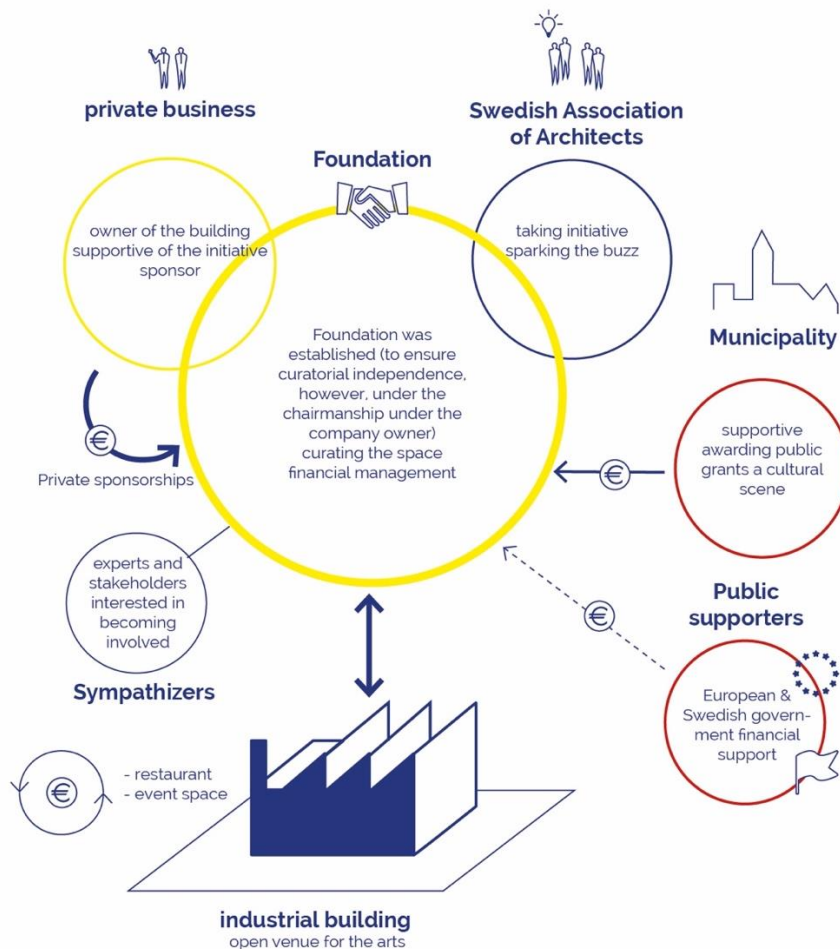


Figure 9: Organizational scheme Färgfabriken (source: Consortium 2022)

3.2.3.1 Setting the scene

The project of Färgfabriken was initiated by cultural entrepreneurs and activists who saw the potential of the former industrial site for alternative programming. Based on their initiative, they were able to convince the company owners and secured the support of the heritage protection agency by declaring the former factory as a listed monument. The initiative is "Bottom-Up" insofar as it included a variety of supporters for their plans, none of whom had the financial means or the political clout to realize the project. However, as a circle within a small professional cultural scene in Stockholm, the initiative should not be mistaken as a broadly mobilized grassroots initiative. Key conditions for the success of this initiative were the collaborative attitude of the owner of the former factory, as well as the municipality.

3.2.3.2 Role of the partners

The initiative comes from high-brow *cultural civics*, mobilising the creative scene in Stockholm to support the project.

In the second step they managed to mobilise the *business sector*, e.g. the private owner of the site and cultural entrepreneurs.

Finally, the *municipality* has contributed to collaborate and facilitate the initiative for their reasons, also with subsidies from the national government.

3.2.3.3 Organizational model

The key decisions about the programming of the site and the activities are determined by a *foundation established for the reuse of Färgfabriken* under the leadership of the company AlcroBeckers (the owner of the building), ColArt and the Swedish Association of Architects (SAA). Funding came from the owning company, the municipality, Swedish governmental levels as well as European institutions. However, the foundation was established (to ensure curatorial independence) under the chairmanship of the company owner.

The foundation's innovation within the cultural scene was its participatory model, including a variety of stakeholders in dialogue on societal issues. These events had significant impact on the broader public debate. Färgfabriken also opened up the surrounding industrial area for post-industrial development and greater integration in the social fabric of the city.

Within Open Heritage observatory cases, Färgfabriken has interesting similarities to Jam Factory in Lviv. Jam Factory is a similar cultural venue; however, it lacks the support of the municipality to perform such function in the public debate.

3.2.3.4 Institutional setting

The initiative fitted within the existing institutional setting, more specifically while cultural entrepreneurs and the municipality of Stockholm experienced a lack of similar cultural venues that addresses architecture, arts and urban planning in the city.

3.2.3.5 Lessons in reference to the theoretical model

The foundation is clearly a triple helix cultural heritage model, whereby the private and public sector coincide, with the cultural experts in order to brand Stockholm as a creative city and/or provide the bases for further domestic cultural

developments. Nevertheless, the company owner (and his heirs) is still in control, and might decide about the future of the project, despite the cooperation with ColArt and the SAA. The latter seem merely to add to the agenda of the foundation. Also, the funding from the public authority might be stopped in the future for some reason. In addition, it is not clear how the (in)tangible cultural assets of the fabric are actually assured; other than the owner's final veto about this. Therewith the resilience of the project depends on the outreach of its specific program to a broader public or agenda with other projects; therewith also resetting the institutional frame. This is at the moment hardly the case.

3.2.4 CLT London: Creating affordable housing, to resist gentrification

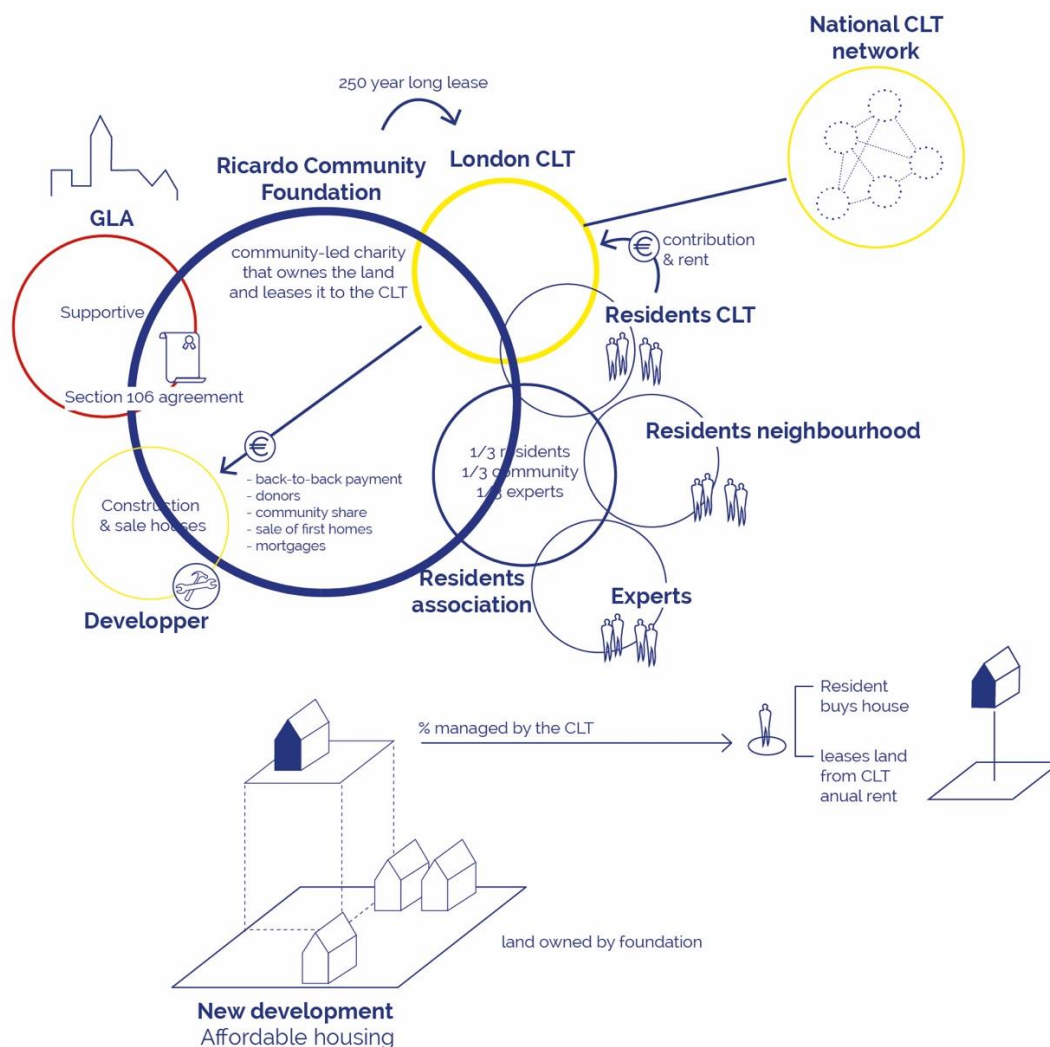


Figure 10: Organizational scheme CLT London (source: Consortium 2022)

3.2.4.1 Setting the scene

At London, Citizen UK organizing local communities and building campaigns around affordable housing in the area, was the basis for the engagement with the Greater London Authority (GLA). The GLA set up an agreement with Linden Homes, in order to include the initiative, as well as passing the land ownership on to a specially established community-led charity, the Ricardo Community Foundation. As a result, St Clements was chosen as a pilot project to test the initiative in an urban setting, in order to ease the effects of London's housing crisis for affordable housing. The entire project opens the St Clements site, making it accessible for all surrounding neighbors and thus contributes to rebuilding the urban fabric of the area. In the development phase, engaging local communities through temporary use events and participatory governance model encouraged them to share their memories of the site. The initiative places great emphasis on local residents participating in local campaigns, improving their skills and capacities of outreach and self-determination

3.2.4.2 Role of the partners

The project is set up by *the Citizens UK* in response to the need for genuinely affordable homes in London. Anyone who lives in London can buy a 1pound share to become a member.

Citizens UK have partnered with a for-profit construction company and social housing developer Linden Homes.

The public authorities come in through the National legal framework on community land trusts in order to get support from municipality by allowing to make a bid.

3.2.4.3 Organizational model

The partnership is organized in the form of a Community Land Trust. This is a model of **community-led development**, where local organizations develop and manage homes and other assets important to their communities, such as community enterprises, food growing or workspaces. In the Anglo-Saxon context, and spreading to the European continent through Belgium, France and the Netherlands, the format of Community Land Trusts (CLTs) has been instrumental in helping residents create inclusive economic ecosystems and sustainable development models. By owning land (or leasing it from public owners) and leasing

apartments, entire buildings or other types of properties to individuals, families or community groups, CLTs can control the use and price of such properties. CLTs therefore can use this leverage to guarantee that spaces in their management remain affordable, based on the income level of the locals living in the area. Typically, these leases are long-term over several generations, up to 250 years. Each CLT has a different governance system but they all share some characteristics: they are controlled in a democratic fashion by residents, representatives of the geographical area within which they are embedded, and experts.

3.2.4.4 Institutional setting

In England and Wales, CLTs are described in the Housing Regeneration Act of 2008: any legal format that complies with that act can be considered as a CLT. The first CLTs were set up as companies limited by guarantee, and their members added to their rules how their assets can be used: they have to be locked for the use of the company. Some other CLTs are set up as charities. Nowadays most CLTs are established as community benefit societies, a legal format updated in 2014 that refers to membership organizations open to anyone in the local community just for the benefit of that community and that matches best the CLTs' ethos. The National CLT Network has developed a set of rules: most CLTs use these rules, but it is up to their own decisions to define how their board should function and how they should involve their members and residents.

3.2.4.5 Lessons in reference to the theoretical model

The initiative fits clearly within the context of a common, and therewith within the context of an actor-relational heritage model. Nevertheless, the main focus of the project is to enhance affordable housing in the innercity of London. It is unclear in which way (in)tangible heritage assets are being conserved - beyond the mere opening up of the site and the memories recap (intangible assets) in the development phase - and which programs or co-evolving directives are being established to guarantee this. The focus the CLT organization was to build community support in the area of the CLT site via the theme of heritage. For example, through the program of the Shuffle Festival, the CLT team and Shuffle Team were able to draw a link between the past memory of St. Clements, hence mental health issues and the reappropriation of the site by the local community.

What we see today is that heritage buildings and public spaces are made accessible to all surrounding neighbors and not just those on site, but not an explicit reference to the layered history of activities that support the heritage values.

3.2.5 Wrap up

All four partnership models show a remarkable fit, within themselves and within its bigger setting. And this is not surprising, since given their success the initiators and leading stakeholders have chosen an organizational and institutional model that fitted their interest at its best. Nevertheless, all four models seem to be highly fixed; therewith questions come up with regard to their resilience to unforeseen or changing circumstances. All four seem to resemble in this regard a kind of engineering resilience, focussing on protecting or re-establishing the original partnership after a break or hazard as soon as possible. The only exception might be the Stara Trznica partnership model, which has already showed several alternatives in its rehabilitation and consolidation phase, and seems to be more open and adaptive to changing circumstances. Perhaps this might have also something to do with its financial self-reliant and semi-entrepreneurial business model. Nevertheless, the latter is also the case in the CLT London proposal, although this partnership seems to be strictly framed within its bigger institutional tradition.

However, from the point of view of (in)tangible heritage preservation, all four are also prudent to come up with elaborated ideas in this respect. There are hardly any specific directives in this regard; these seem to be overwhelmed by the other specific features or goals of the project, and merely seem to be function in respect to window dressing or branding. The cultural heritage preservation is in Cascina Roccafranca and Färgfabriken highly dependent on the dominant partner in the projects – e.g. the municipality as the owner of the site, and the company owner as the chair or the foundation – whilst in CLT London it is not clear how important the heritage assets are, since the project is most importantly focused on affordable housing. Not always goes the one with the other. The only exception over here is again Stara Trznica where the added value was recaptured for the conservation and cultural development of the project with regard to its tangible and intangible features as well. However, also here it is not really clear how these assets are

'defended' in the near future, given the threat of 'over-commercialization' and subsidy/rent dependence mentioned above. Perhaps the given institutionalization (rules of the game) needs to be adapted to that effect.

3.3 Phasing

Every partnership consists of leading and sustaining actors within evolving collaborations; in short actor-networks. Each of these actors collaborate on the basis of what is in it for me (money, fame, wellbeing, importance etc.), but leading actors are doing so through investing in their surroundings for their own and mutual better as well, since sustaining actors are supporting these initiatives while lacking the resources, time or expertise in doing so themselves. Moreover every successful project, self-organization or social action (or in short such an actor network collaboration) consists of four phases: problematization-interessement-enrolment-mobilization of allies (Callon, 1986) wonderment-consultation-hierarchy-institutionalization (Latour, 2005) joint fact finding-windows of opportunity-methodology- joint becoming (Boelens, 2009); Decoding-Expansion-Contracting-Coding (Boonstra, 2015) (These steps do not necessarily need to follow each other in this order (can rebegin or reverse halfway or even go anywhere after a time), but each of them requires different tactics or planning approaches: tracing-mapping-diagramming-agencying (Hillier, 2007; Sanders, 2010).

This is also the case with regard to the open heritage projects in this program. Some might still linger on the problem definition or enrolment phase, but in order to become successful and/or evident, respectively taken for granted, they have to pass all four phases.

In a **first phase** an initiator makes others aware of a problem or opportunity in order to gain a common definition of the situation and/or ambitions. This is often done in several informal conversations or roundtables, tracing the corners and options of the project towards its use for a broader community. Sometimes this 'problem definition' is not clear or besides the case and comes only after a while; but if so, one needs to start all over again.

In a **second phase** an initiator or (if possible) a group of activists tries to interest other actors in this viewpoint (preferably divided over the three interest groups of civic, business and public actors) and therewith gradually replacing old ideas by

new ones. The participation of these three interest groups contributes to closing the gap between needed resources, support and facilitating measures. For that purpose, this phase nurtures the interest group's motivation in respect to adaptive heritage reuse projects, through a narrative or discourse around certain assets and gains (what's in it for each). This narrative might mobilize partners and their involvement throughout the whole adaptation process. This interestment is still informal, but might also take a more formal stance by taking a small share in a trust (such as CLT London), or signing up to a foundation (such as in Färbriken).

In the **third phase** this preliminary stakeholder, partner- or membership however needs to be enhanced towards a more stable network or assemblage of multilateral ideas and interests, including their supporting groups; therewith defining new roles and definitions in a kind of preliminary organization. For that purpose, qualified actors or companies have to be identified and linked together towards the development of strategies enabling the implementation of adaptive reuse processes and the creation of forms of co-governance. This can be a difficult progress, also apparent in several Open Heritage cases (e.g., ExRotaprint, Largo Residências, Szimpla Kert) who show how the concurrent work of social actors, artists and private actors have been determining elements in the development of the project as the organizational forms of co-governance.

But if successfully passed the partnership can enter the **fourth phase**, in which the proposal and involved strategies and tactics gain wider acceptance, and achieves stability through institutionalization. The cases show a great variety over here, such as cooperatives, social enterprises, trusts, etc. but also other organizations driven by entrepreneurial and cultural, artistic spirits in order to have a decisive impact on regeneration processes through heritage adaptive reuse. In order to become successful, it might be wise to connect this organization to a wider policy scanning about existing institutionalizations; thus by doing so inducing co-evolution. Here for instance Largo Residências demonstrated that adaptive reuse projects can be supported by policies that define priorities areas where co-governance is favored. The policy framework might introduce tools, such as local offices and/or personnel costs to support participation at local level and tailored solutions for urban regeneration.

Sometimes, or often these steps are being taken in one blow, in order to come up with the institutionalization of partnerships to implement proposals as soon as possible. But often these initiatives become therewith also highly fixed and one-dimensional (as in the case of Cascina Roccafranca and Färgfabriken). For smaller and less complicated cases, this might still be successful and therewith a way to go to get the so-called 'low hanging fruit' on board. But for bigger and more dynamic complex projects (such as the Grunmetropole and the Praga Lab) this is hardly a way to move forward. These projects resemble much more an assemblage of assemblages, whereby each step is also subdivided in smaller sub steps, which however each also follows the structure mentioned above; meaning that ever step also results in a kind of institutionalized partnership, which alters over time depending on the tasks and object at hand. This assemblage of assemblage's progress might also take place in smaller cases (such as mentioned in Stara Trznica); making these projects therewith also highly adaptive and really open to not only alternating partners but also changing circumstances.

Finally, a last word about how to involve the (in)tangible heritage assets within these dynamic and volatile partnerships. As probably clear, above we follow the Actor-Network-Theory, and in reference the Actor-Relational-Heritage-Approach. Here one doesn't make a distinction between human and non-human actors, together called actants. Its importance has become very clear in the last few years where a non-human actor (Covid) was able to lock down whole cities, regions, nations and even the world, and restricted cross-border travel, even up to now. Similarly, within open-heritage projects, 'heritage' needs to play a similar role. When the (in)tangible interests of heritage are not regarded even important as all the human interests, and even important as all the other open or covered goals, the resilience of those heritage assets is not resilient at all. But if so heritage could deal with all the changes, disruptions and partner settings, even within disruptive and unforeseeable futures.

4 Conclusions

The success and even outcome of co-governance proves to be highly situational in time and place. The success of co-governance in one place can't be easily copied to another place, or at a different time. The major criterion over here is how the specific co-governance between the various stakeholders fits within the given objective, institutional setting and means at hand.

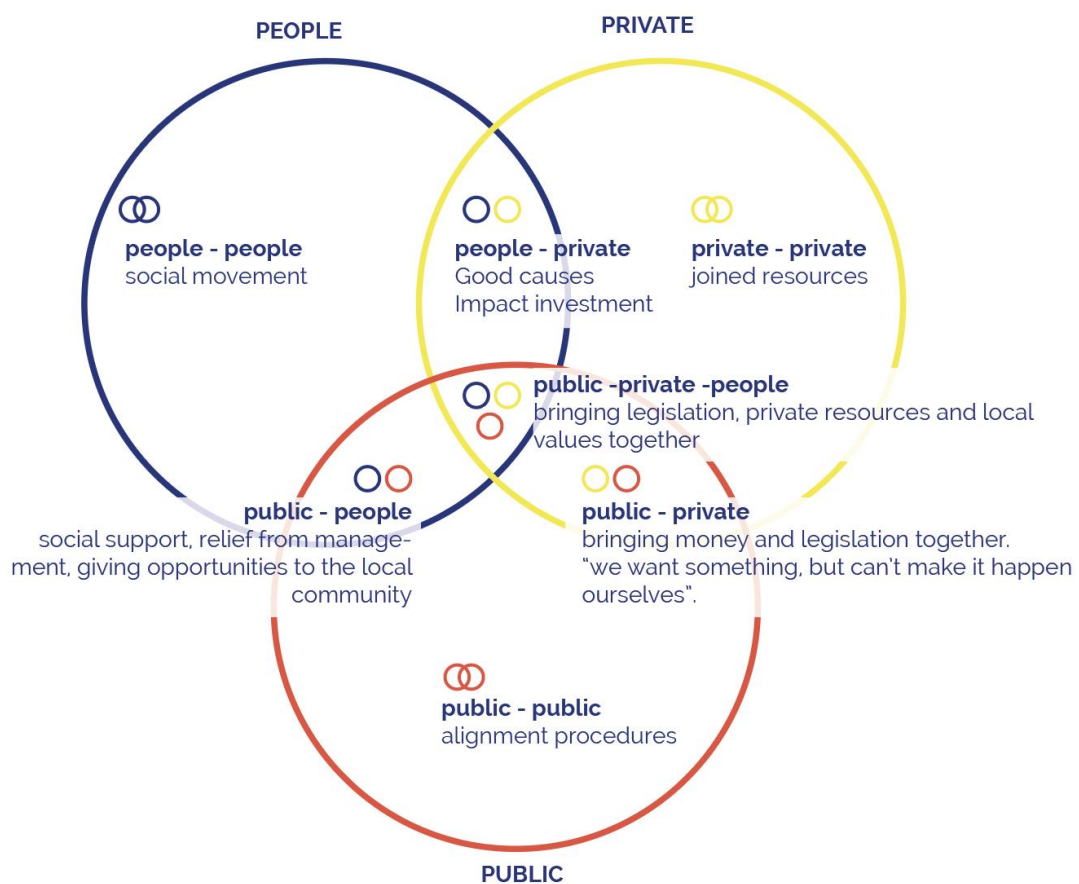


Figure 11: Overview of possible partnerships (source: Consortium 2022)

Each of the partnerships described in chapter 2 possess its own challenges for an inclusive, or effective open heritage program, but each also has its own deficits and negative effects.

The classical blue print, **top-down heritage approach**, with partnerships on several tiers of public governments (UN-Europe-National-Regional-Local), listing important (in)tangible assets on these levels, could still be a preferable approach,

specifically in those situations where and when heritage preservation is insufficient. Nevertheless, this approach is hardly flexible and ceases when lower tier governments are hardly able to implement a sufficient protection.

In these latter cases **a public-private heritage partnership** might be considered, wherein public parties guarantee focused legislation and private parties would guarantee sufficient (financial) resources for preservation. But these partnerships might scorch, when the new program is over commercialized and not congruent with the prime heritage assets or DNA of the object/situation. Its impact, however, might be diminished when the new program could easily be removed without damaging the main original assets.

Nonetheless, both of these approaches hardly deal with the broader inclusion within and of a wider society; the major ambition of this Open Heritage project. For that purpose, **an equity heritage approach** might come in whereby the added values of public-private-partnerships are partly recovered for non-profitable interests, amongst which hardly reusable cultural and (in)tangible assets. The involved communities, however, and heritage itself remain passive over here and need constantly to be reconstituted for its broader, integrated importance.

One step further might be **a triple or even quadruple helix heritage approach**, wherein (heritage) experts, and/or even civic organizations itself become a respective partner, next to the public and private parties. This might enhance not only a broader support, but also the quality and content of the initiative. However, it also enhances the complexity of the partnership, and is therefore generally often only considered for bigger and more long-lasting projects, with a more structural impact on society.

In order to deal with this complexity (also for smaller projects), recently an **actor-relational (heritage) approach** has been developed, which starts with the actors themselves and tries to enhance more sustainable or resilient networks amongst them. Given the fact that in this approach actors are not only human, but also inhuman, also heritage as an actor might come in, and could retain similar importance, as 'matters of concern', as any other actor. But this would make also heritage itself dynamic and flexible, depending on the evolving networks itself and co-evolving with other matters of concern in time and place.

	<i>Civic</i>	<i>Public</i>	<i>Private</i>	<i>Civic Private</i>	<i>Private Public</i>	<i>Public Civic</i>	<i>Civic private public</i>
Blue Print Heritage		Potocki Palace The Grünmetropole	Halele Carol	Citadel			
PPP Heritage		Marineterrein					
Triple/Quadruple Heritage							Cascina Roccafranca Färgfabriken
Equity Heritage	Largo Residências	Sargfabrik	Jewish District Jam Factory	ExRotaprint		LaFábrika detodalavida	London CLT
Actor relational heritage						Scugnizzo Liberato	Stará Tržnica

Figure 12: Match identified partnership models with included partners (source: Consortium 2022)

For civic inclusion, here we can mainly distinguish between the following main types:

Civic-partnerships with private actors

Partnerships with private actors has its advantages. The term “private actor” involves actors with a great variety of capacities, interests, and agendas. Building a balanced ecosystem is an important strategy for civic AHR initiatives to ensure long-term resilience, and other private actors, including other civic initiatives play an important role. The greater the variety of actors that are brought into partnerships, the more demanding the challenges of managing such partnerships and ensuring a mutually beneficial arrangement and long-term commitment.

Imbalance of power is another challenge: While an economically and politically powerful private actor may create many benefits for the civic initiative, when

interests are aligned, power differentials may also create unwanted dependencies on the part of the AHR initiative in cases of conflict. Different forms of governance, including the choice of a particular legal entity, entail different consequences in view of management, participation or financial commitments.

Even more, public authorities, or any other could also take each of these five roles in partnerships, such for the greater good of dynamically preserving heritage assets in a volatile and ever more complex society.

Civic-partnerships with public actors

Local needs and developments are often intensely interwoven with realities in other places, with other people. In addition to the above-mentioned assumption that civic initiatives are better off when they mutually support each other and create synergies, we also see importance in the way they collaborate with public actors and especially the possibility and presence of co-creative practices. Adaptive reuse projects can also promote democratic processes, and partnerships with civic initiatives can benefit governmental bodies too in understanding and reaching a wider group of people.

Civic initiatives benefit from transparent institutional and administrative processes and an integration different level of government. However, even if this is not present, what is important is a facilitative and supportive – and ideally well-funded – administration that is attentive to the circumstances of civic initiatives and their needs. In the case of adaptive heritage reuse, this often requires a degree of flexibility and local administrative discretion and a willingness to support civic experimentation, while simultaneously guaranteeing long-term outlook and reliability.

Adaptive heritage reuse projects often require substantial investments to rehabilitate old sites and make them fit for new uses. These investments can be difficult to mobilize on the basis of volunteering, crowdsourcing or other civic engagements only. It is also for this reason that these initiatives have to rely on funding from and collaborations with public actors. Cases considered in OpenHeritage are located in peripheral and structurally disadvantaged areas, whose histories of public neglect and disinvestment are tied up with broader processes of uneven urban development that has privileged other areas within the

same city or region. It is often for this reason that public administrations are called upon to make such investments as a contribution towards ensuring equitable living conditions across its relevant territories. The risk of such partnerships, however, involves an over-dependence of the civic initiative on public authorities (or vice versa), or the eventual co-optation of the initiative by the political government agenda. This is why we suggest co-creative practices, they are not the solution per se, but tend to be better at keeping more balanced collaborations.

Furthermore and in its turn, each of these approaches could be institutionalized in various organizational models such as (in)formal associations, legal (social) enterprises, co-operations, foundations, commons, trusts, non-profit corporations, associations, etc. (see also Box below), depending on their fit within a bigger social, economic or political setting. But from the perspective of heritage itself the selection mentioned above is more prominent.

Legal entities for civic initiatives

Based on the cases we can see that **civic groups** can group together into different types of formal legal entities: Foundations, NGOs or the private not-for-profit or third sector, and Trusts.

Foundations

Seeing culture as a resource for economic and social development, foundations can be a practical instrument to provide on-going support for cultural heritage adaptive reuse projects. The specific governance of foundations may vary from country to country, but they tend to be independent, not-for-profit organizations that provide financial or professional support to initiatives and projects that are aligned with the foundation's mission. Whilst governments may find themselves confronted with changing political administrations, fragmentation, and budget constraints, a foundation can function independently with a long-term vision and clear directive. The legal regime governing foundations is not uniform: foundations are subject to a mixture of private law and public law as they can privately finance public interest goals. Therefore, depending on the context different types of foundations are possible: private foundations quasi-public (Cascina Roccafranca) and public foundations

Non-Governmental Organizations (NGO)

The term NGO (non-governmental organizations) is an all-inclusive term that can encompass everything from a neighborhood association to an organization operating globally. It normally includes non-profit entities working for the common good. NGOs are important players in international cultural heritage for two reasons: first, they represent stances that otherwise would be unrepresented or under-represented; second, their function is epistemic, in that their influence depends on their expertise, advocacy and investigative capacity. (CLIC) NGOs play various roles in the field of cultural heritage. Some provide services, while others concentrate on influencing governments and international organizations, or raising public awareness through lobbying, campaigns, and protests.

Trusts

In Common Law countries such as the UK, the Trust concerns the creation and protection of assets, which are usually held by one party for another's benefit. Using the framework of the Trust, local administrations in the UK can grant management powers to heritage communities, who are then responsible for managing the heritage asset with resources primarily generated through the Trust. A trust is able to manage paid memberships, organize volunteer labor, coordinate fundraising and educational activities, and pursue major grants.

Figure 12: Selected Organizational models (source: Consortium 2022)

Co-governance models allow to regulate the management of the space bottom-up, giving everyone the possibility to participate in the project's governance, but also making the community the actor in charge of the decision-making process. This means that for a project to be inclusive, the planning process should support bottom-up initiatives by allowing plans to be formulated in a way that supports their needs and creates an environment that values diversity in processes of decision making, enables co-evolution, stimulates cooperation within a certain territory.

In order to develop co-governance models, the creation of ad-hoc legal entities or 'vehicles' can be a useful solution to bring together different views, aims and interests expressed by the diverse stakeholders involved (Foster and Iaione, 2019). The creation of new entities entails the need to choose a legal form to give them to select the most suitable governance model so to pave the way for the development of a collaborative decision-making process and an equally collaborative management of assets.

The types of legal entities that in practice have enabled this experimentation and that have led, in many cases, to the development of participatory processes and projects are mostly those of the participatory foundations', associations, cooperatives (3.6, Co-governance, 2021).

All these legal entities gave different characteristics Depending on the form of governance, they ensure the achievement of different objectives.

Firstly, some of them ensure that entities of different natures (public, private, civic) can be adequately represented in governance and in the management that directs the body's activities. In addition, these forms might be legal entities that do not pursue profit-making purposes and whose assets under management (whether real estate/buildings or movable property) are intended to be used according to the purpose indicated in the statute provisions, influencing the funding mechanism and the long-term sustainability.

Examples include the community land trust set up for management in the London CLT case, where the restricted assets under trust are managed by the trust board, which is representative of different actors. Another example is the ExRotaprint governance, where the joint management of the association and the foundation set up to safeguard the assets from possible privatization, allow the assets to be allocated according to the purposes indicated in the statute.

Another example in this sense can be given by the participatory foundation established in the Cascina Roccafranca case. Its management is entrusted to the participatory foundation, composed of public authorities (the Municipality) and civic-private components (social organizations that promoted the project, private

fundings), through which it was possible to ensure a participatory decision-making process and a community involvement in the management of the site.

Also the Färgfabriken chose to organize itself as a foundation under the leadership of the company AlcroBeckers (the private owner of the building), ColArt and the Swedish Association of Architects (SAA). The foundation is responsible for taking the key decisions about the programming of the site and the activities. Such legal tool provides a suitable environment for participatory planning and cooperation between citizens, local administrations and other local actors or stakeholders, while creating long-established and stable relations between them (3.6, Co-governance, 2021).

Against this backdrop we have analyzed more in detail four cases of the Open Heritage program, wherein the three 'foundational' interest groups (public, business, civic) were all present. Here we concluded that at least two cases were more or less one directional top down dominated (through a public, respectively private interest), whilst two might be more or less self-referential, bottom-up oriented and therewith possibly actor-relational. Nevertheless, in all cases the (in)tangible heritage interests seem to be lost in an array of (more important) other goals and ambitions of the initiatives, such as the revitalization of deprived places, the creative city brand, affordable housing etc. As far as we know, none of the cases has resulted in specific decrees or incentives for (evolving) heritage preservation. The only exception might be the Stara Trznica project, wherein added value is specifically and by contract recovered for the redevelopment and reuse of heritage assets. But it is still too early to call if this incentive remains this way. At least at the moment the partnerships still resemble the main features of engineering, and not ecologic or co-evolutionary resilience.

What to do as a public authority for inclusive heritage?

Therewith we finish with some recommendations how public authorities, planners or even any other actor might enhance a more dynamic heritage preservation in dynamic and complex settings. The Actor-Relational Scheme (see Figure 3), including five possible interventions or roles in dynamic actor-networks might become useful over here:

- a) According to a kind of condition planning, public authorities might change the institutional settings (meaning the rules of the game, like laws, decrees, customs...) in order to improve realistic opportunities for inclusive heritage;
- b) Similarly, public authorities might invest in the factors of importance (like public domain assets, environmental features, social incentives etc.) wherein the attention and need for inclusive heritage might grow;
- c) In addition, public authorities might also operate as prominent partners (leading actors) within specific partnerships to actively improve the possibilities and implementation of inclusive heritage;
- d) Moreover, specific public authorities, planners or other activists, might take the role as a mediator between the various (leading) partners of an initiative to enhance an inclusive heritage network;
- e) And last, but not least, public authorities or any other (knowledge) could also take the role of an intermediary developing, moving and outreaching information between various interested in order to stimulate inclusive heritage.

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