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OpenHeritage: Deliverable 2.6

Transferability Report about the Observatory Cases

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Abstract:

In this report, we systematically analyse models in the OCs that have already been pointed out as promising in the case study descriptions (D2.2) as well as in the comparative analysis (D2.4). Our analysis straddles the challenge of being sufficiently abstract so as to allow to find sufficient similarities in order to promote transferability, but also sufficiently concrete so as to be of empirical inspiration. This challenge has been addressed by developing an approach to modelling that departs from Max Weber's notion of ideal type. The selection of models takes as its main criteria the observed sustainability of the model and the recognized impact (following D2.2 and D2.4). The identified models are clustered into two groups: public-common-private governance structures and ownership. These two groups address fundamental challenges that adaptive reuse projects of cultural heritage that strive for social inclusivity and (substantial) public participation. A key aspect of these systematic analysis of the models are the graphic representations and their schematic characterizations, with a short description, as well as bullet points on their purpose, innovative features, and key conditions. These stylized representations as ideal types are proposals to facilitate transferability for practitioners and policy-makers by facilitating a quick grasp of the model.

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1. Introduction

Purpose, Relation to overall Project, Focus, Cases analyzed

The transferability report draws out remarkable aspects from the Open Heritage's Observatory Cases in view of **proposing transferable insights**. The key approach to transferability is to reconstruct models on the basis of the observatory case reports and subsequent analyses (D2.4). We will justify this transferability approach in the methodology section. These insights are preliminary insofar as they will be subject to further elaboration in the context of WP3 and the development of a transferability matrix (D3.7).

This account considers the observatory case studies of adaptive heritage reuse **from the perspective of the commons** (Ostrom 1990; Bollier and Helfrich 2014). What characterizes the collection of case studies is its primary orientation to the interest of civil society in cultural heritage and its capacity to self-organize and appropriate cultural heritage through adaptive reuse for civic ends. A heritage community that defines, cares for, educates about, takes institutional and economic responsibility and uses heritage for civic ends and, rather than for profit or political hegemony (as primary orientation) aligns with the idea of commons, even if the link between commons and heritage has rarely been made in academic research (Benesch et al 2017). The institutional analysis approach on the commons (Ostrom 1990; Poteete, Janssen, Ostrom 2010), provides relevant tools to understand these phenomena.

More concretely, the case studies are also characterized by their urban context that pose specific **challenges** to commoning practices (Kip et al 2015). Two challenges repeatedly call the attention of the practitioners in the observatory cases: First, there is a great **diversity of stakeholders** in relation to the cultural heritage site. Not all of these stakeholders are involved in the internal organization of the initiative but have a vital interest in the developments on site – such as neighbors, public administration, (small) business enterprises and others. Second, the sometimes unpredictable or capricious forces in urbanization as well as the multiple, overlapping, often contested interests in urban space make **ownership** a crucial challenge in realizing a vision of heritage reuse.

In consequence, two key issues will be addressed in relation to these challenges, models of **commons-public-private partnerships** and **ownership models.** From the perspective of the individual observatory case, these are the two key questions that arise from the very beginning. One question regarding the internal organization: How is the ownership of the initiative organized? One question regarding the external organization: How does the initiative involve other stakeholders to finance, program, and care for the tangible and intangible heritage? Our models cover the diverse spectrum and yet remarkable ways that the case studies have addressed these issues.

A key criterion for including models have been their sustainability primarily in view of their social and economic dimensions until the point of research. By identifying the conditions of their sustainability, insights are also proposed in view of the conditions why models of other observatory cases have run into difficulties. The conclusion critically reflects on how the conditions relate to the typology of adaptive reuse policies and thus to their political economic context – without, however, being fully determined by them.

Nine models will be described. Four models of public-commons-private partnerships that are distinguished on a matrix of whether they have been initiated by a single actor or by a coalition of actors; and whether they demonstrate a centralized form of governance or structures of co-governance. These different kinds of **commons-public-private partnership governance models** are reconstructed from: *Stara Trznica* in Bratislava; *Cascina Roccafranca* in Turin; *Marineterrein* in Amsterdam; and *Färgfabriken* in Stockholm.

Five **models of ownership** are presented in view of how the civic projects of adaptive heritage reuse have been made possible: The *community land trust* model in the case of the London CLT; the *heritable building lease* in the case of ExRotaprint in Berlin; the *cooperative model* in the case of Sargfabrik in Vienna; the *private ownership* model at Jam Factory, Lwiw; and the regulation of the *urban commons* at Scugnizzo Liberato, Naples.

2. Methodology of Transferability

2.1 Why transferability?

As stated in the grant agreement, Open Heritage "aims at developing and testing an inclusive governance model and a supporting toolbox for the adaptive re-use of cultural heritage assets." This underlying idea of model that could translate into a supporting toolbox implies that the elements and insights learned from the case studies can be abstracted and may be usefully applied in contexts outside of the Open Heritage case studies. Until recent years, transferring insights from a particular case has been considered the realm of the natural sciences and the assumption of general laws of nature and the control of factors under experimental conditions (Max-Neef 2005). Translating this approach to the social realm has been criticized on methodological and ethical grounds. Social complexity produces cases and local situations that are interrelated with a myriad of peculiar influences, producing unique and singular situations. Social engineering attempts have regularly failed to recognize these singularities. Implementing social solutions based on supposedly universal insights have been widely criticized for producing dysfunctional outcomes or reproducing forms of political domination (Scott 1998).

At the same time, the calls to science to address pressing social and ecological concerns have become louder over the past two decades (Thompson Klein et al 2001). Combined with growing recognition of the reflexivity in science, academic disciplines have been confronted with a heightened awareness for participatory approaches to knowledge production. The recent debate on transferability tries to account for these requirements and ultimately points at the need for a radical remodelling of the sciences (Pohl and Hirsch Hadorn 2007). A closer orientation to the real-life problems and a collaborative attitude to knowledge co-production with stakeholders outside of the academia converges with the willingness to step down from a presumedly privileged knowledge position and emphasize the preliminary, experimental and potentially temporary character of such knowledge produced (Jahn et al 2012).

2.2 What is the challenge of transferability at Open Heritage?

Transdisciplinary approaches have a strong tradition in the fields of sustainability research, social ecology and environmental engineering and have increasingly been applied in urban design and planning (Ramadier 2004). This report presents and reflects on the **transdisciplinary approach** that was applied in a European project on the adaptive re-use of cultural heritage. The key innovation of this project with respect to transdisciplinarity or the co-production of research is the application of this framework in a new social context adaptive re-use of cultural

heritage (architectural and urban design) and to focus on the social and economic aspects of sustainability. The resulting mix of academic disciplines and fields of practice are therefore unique.

What is special about Open Heritage and its approach to cultural heritage, is the fact that it is not about government-driven approaches to heritage preservation, education and re-use, but about community-driven approach of appropriating such cultural heritage in terms of both material and immaterial dimensions. Thus, the **key endeavor of such adaptive re-use is to foster (urban) commons**, i.e. as a primary endeavor that produces primarily use-values, rather than exchange-value or political capital. This is the indispensable dimension to identify successful cases. The role of public and private (entrepreneurial) actors is crucial in supporting this process and a positive development of these actors is intended and deemed crucial, but it is not indispensable. In some circumstances, commons may flourish without private or public actors benefitting, their enhancement and interest is not the primary objective.

The **dilemma for transdisciplinary research** is between the Scylla of producing either abstract insights from case studies which are decontextualized and abstract to such an extent that they are useless for any practical application, and Charybdis of producing insights that are so concrete and detailed with respect to a unique case study and that therefore are hardly transferable to other case studies.

Rather than thinking about transferability as ready-made packages of knowledge that can be applied and thus transferred to different contexts (see Freire 1996), the idea is to think about such transfer in terms of a **situated kind of learning**. It is thus dependent on the particular position of the subject, what is learned and how. Learning thus is a subjective act – that may be collectively shared and carry common traits – that requires the subject to make sense of insights in relation to other issues, concerns, interests and fields of knowledge. At the same time, however, this doesn't imply that the question of transferability is an entirely individualistic affair. In fact, science plays an important role in drawing out and systematizing linkages, relationships and commonalities thus supporting such transferability processes. Shared inter-subjective experiences (Mills 1959) create a condition in which the learning process may also be shared, addressing common concerns, i.e. in the case of the report the concern about adapting and reusing cultural heritage assets for civic benefit in Europe. The individual circumstances, to be sure, may differ depending on geographical, occupational, political, and various other aspects. The challenge that this report seeks to confront can thus be framed in terms of what scientific approaches may contribute to foster **learning from case studies**.

As Wolfgang Krohn (2008: 369) approaches the problem, a broadly accepted view on science holds that findings and insights from case studies are scientific to the extent that they are generalizable and may also help to explain or even predict similar phenomena elsewhere. From this perspective thus, "the less circumstantial and conditional an achieved piece of empirical knowledge is, the higher its scientific value" (Krohn 2008: 369). This would then allow for a causal analysis in which the relationship between an independent and dependent variable could be formulated. Case studies in transdisciplinary projects such as at

OpenHeritage, however, are highly circumstancial and conditional, given their historically and geographically specific sites, problems and responses and a distinct set of actors involved. However, any attempt to generate generalized knowledge from case studies, requires such a degree of abstraction that the knowledge would hardly be of any use to the people involved in that case studies. In order to apply knowledge, concrete situations and conditions would need to be taken serious. Krohn (2008: 369) refers to this difference as "**idiosyncratic and nomothetic knowledge structures**". "Nomothetic" refers to the endeavor to find general laws that can be abstracted from the concrete, while "ideographic" means paying particular attention to the concrete and its singularity.

Heinrich Rickert (1924 in Krohn 2008: 371) also distinguishes these two kinds of research interests by the degree in which values are attached to the objects. It is true: The OpenHeritage projects are not driven primarily by scientific interests but by values that the actors attach to an object and place. Or as Higgs describes such motivation to become engaged "By investing labor one becomes part of that place" (Higgs 2003: in Krohn 2008: 372). When reconstructing processes, looking for relationships of cause and effect, the domain of the natural sciences can draw on empirical observation, while the domain of social reality needs to "interpret" the social actions in view of the subjective understandings, motivations and ideas that the different actors have. Social research never has direct grasp of such subjectivities but needs to account for them in view of interpretations.

Another challenge is that a transdisciplinary project such as OpenHeritage does not only seek to produce applied science, but also generate knowledge that could be transferred to other instances of adaptive re-use and bolster policy recommendations that support the upscaling of bottom-up and inclusive adaptive re-use of cultural heritage. So, what would be a way out of the apparent dilemma between producing either theoretical knowledge that is of little practical use or applied knowledge that is of little value for theoretical understanding?

Transdisciplinary research projects usually combine idiographic and nomothetic knowledge orientations in different ways. Krohn (2008: 375) advocates for an understanding of transdisciplinarity in which nomothetic lessons can be learned not *despite*, but rather *because* case studies are embedded situational, real-world contexts. He calls this "**expert learning**":

> "Experts expand their knowledge base, not only by generalizing experience, but also by becoming more and more experienced in seeing the specifics of a new case. Experts become steadily better at knowing more about their fields and in interpreting various, seemingly contingent details (including surprises)…
>
> The nomothetic part of the knowledge base consists of more or less codified professional knowledge which can be learned, but cannot be reliably applied without practical training. Its ideographic components result from the specialists' memorising highly specific cases they have been involved in. However, what makes an expert better is not the pure sum of well

> documented cases, but the ability to take features of the cases to be typical.
>
> Since every new case is different, it is the ability to operate with similarities and dissimilarities across various cases. Expert work combines professional care for a given case and learning from that case, thus expanding the knowledge base, which in turn assists the more precise understanding of the next case. Generalisation is not helpful, because the knowledge base never becomes independent of the cases that structure the field; it cannot deductively be applied." (Krohn 2008: 375/376)

In other words, the expertise of experts crosses nomothetic and ideographic knowledge boundaries, and the actual use of such knowledge in real-world project depends on the specifics of the cases and the goal of the transdisciplinary project.

2.3 Approaching transferability through models

Our proposal for expert learning is to **reconstruct models from the observatory cases**. A key criterion for including models have been their sustainability primarily in view of their social and economic dimensions at least until the point of research. Our reconstruction of models draws on **Max Weber's idea of ideal types.** There are a variety of ways of modelling such as computational or mathematical models. In this case, we are talking about a conceptual and operational models. The purpose of our modelling is to develop a more abstract understanding of observatory cases that focuses on what we consider key features, processes and conditions while leaving out aspects that are more circumstancial. As a primary objective the model is epistemic, i.e. to allow understanding of the social reality. Insofar as meaningful practice always presupposes understanding of the context and the intended consequences of an action, **models as mental constructs** are inevitable for practical implementation. Therefore, from the perspective of transferability, conceptual modelling of a social dynamic confronts two key challenges: First, assuming a fundamental difference between social reality and the mental constructs and categories we make of such reality, a practical implementation of an idea can never be straightforward. The second challenge that we confront is to consider if a model may be allow for **practical implementation** in different situations and contexts.

2.3.1 Ideal types as a methodological basis for modelling

Our methodology of reconstructing models owes much to Max Weber's understanding of **ideal types.** Weber (1949: 90) writes, "An ideal type is formed by the one-sided accentuation of one or more points of view and by the synthesis of a great many diffuse, discrete, more or less present and occasionally absent

concrete individual phenomena, which are arranged according to those onesidedly emphasized viewpoints into a unified analytical construct."

In our account of Weber's ideal type, we draw on Richard Swedberg's (2018) reconstruction, that takes into account Weber's own development of the concept. Weber's approach makes the Kantian idea that reality per se can never be fully grasped, only through epistemic categories. In such fashion, categories are always a sort of crutch that are never commensurable with the empirical phenomena but they help to make sense. The key criteria for evaluating an ideal type thus is not validity in view of representing or corresponding social reality but rather "adequacy". Ideal types are particularly useful when exploring a reality that is little known. In Weber's own words, ideal types function as ""emergency safe havens until one has learned to find one's bearings while navigating the immense sea of empirical facts" (Weber 2012) Beside allowing for a better grip on social reality, the **comparison of the ideal type with empirical reality** may also foster **unexpected discoveries**. Weber calls such foils "ideal types", not to make a judgement about their character (as "ideal"), but instead to point to the fact that they are derived from the realm of "ideas" and don't have any natural correspondence to the empirical phenomenon. Some of the famous ideal types, Weber came up with are the four types of social action (goal-rational action; value-rational action, affective action, and traditional action) or three types of legitimate authority (legal-rational; traditional, and charismatic).

The operation of constructing ideal types on the basis of abstraction and comparison, shows striking similarities to the basic operation of thinking: **analogies.** As Douglas Hofstadter and Emmanuel Sander (2013: 3) argue, our concepts and the words of language with which we think are constructed on the basis of analogies "that our brain makes without letup, in an effort to make sense of the new and unknown in terms of the old and known." In certain respects, analogies thus are forms of transferring knowledge from one case to understand or even manipulate another. There is, however, no straightforward recipe for such transfer, but rather a complex weighing of similarities and differences at an abstract level, in which certain abstract similarities are identified as essential, while several differences are considered to be of less or no significance. Moreover, this making of analogies is still failure-prone and thus subject to **pragmatic validation.** Does the new idea or concept stand the test of reality? Does it help to understand things better, to communicate more clearly, to manipulate reality more efficiently?

The ideal type is a scientific method to fulfil the task of the analogy, to "make sense of the new and unknown in terms of the old and known." On such basis, as observations or reflections add on or challenge previous conceptions, analogies refine our conceptual constructs to account for greater differentiation in our understanding of the real. Expert learning is essentially about refining concepts and ideas by confronting existing expertise. While ideal types can be subject to revision to adjust them to social reality, the idea of an incremental approximation to social reality is consistently undermined by the ongoing unfolding of society.

Another peculiar aspect of Weber's ideal type are four artificial assumptions, namely:

„#1 That the typical actor acts in a rational way;
2 That the typical actor has complete information;
3 That the typical actor is totally aware of what he/she is doing; and
4 That the typical actor does not make any mistakes." (Weber, 1978: 21–22)

Obviously, these assumptions are unrealistic, since irrational elements easily enter actions, complete information is rarely available, various unconscious motives drive actions, and mistakes, as we all know, are part of human life. What makes these assumptions valuable according to Swedberg (2018: 188), however, is that they raise interesting questions for empirical research about what information actors lack, what it is that distracts their rational action, and where mistakes enter the equation.

2.4 What is a model?

Our methodology builds on the ideal-type in a way that the models presented should be understood as a specific kind of ideal-type. Models add important aspects to Weber's elaboration of ideal types. First, it adds a level of concreteness to Weber's highly abstract thinking. Weber has considered ideal types at both individual level (types of social action) and societal level types (association, city, bureaucracy, capitalism). Models look at micro-level processes that link individuals with each other into a recognizable pattern and outcome. Second, compared to Weber's theoretical interests, models have a more pragmatic intention in that they are geared toward expert-learning and implementation. Models in our understanding are collective efforts at solving problems. Specific attention is paid to the political-economic and socio-cultural conditions within which problems, forms of collaboration and solutions are embedded.

A model is the attempt to understand phenomena in the real world by identifying its **key purpose** or problem it seeks to address, elements, conditions and dynamics. Given the real-world contexts from which the data are gathered, there are severe constraints in terms of controlling the parameters of a situation, on deciding the interventions made, or even of observing the case in detail and over a long period of time. Nevertheless, our **models abstract** from the many features and complexities of the phenomenon in order to define it and make it recognizable. Modelling is an appropriate scientific approach to understand processes within adaptive reuse in Open Heritage, since neither laboratory conditions nor a wide sample of cases to arrive at scientific statements cannot be realized. We count on a limited number of very unique cases that do not allow for representativeness.

This modelling is driven by our intention to identify features of adaptive reuse practices in terms of their transferability from one particular context to another. The selection of the elements and aspects that we recognize in our analysis is therefore driven by the intention to abstract key features that we find across cases and that we also expect to find in other contexts.

In this particular case of modelling processes that are related to adaptive reuse of cultural heritage, we are particularly interested in two kinds of models:

- Reproductive models: models that reproduce themselves over time, at least over a certain period. Throughout this period, the model may be transformed in quantitative terms, however, its key qualities remain recognizable
- One-off models that transform one situation into a qualitatively new situation in a way that makes this transformation predictable at least with respect to key qualities.

2.5 Promoting transferability through Graphics and Fact sheets

Departing from an understanding of transferability as an invitation to the reader and taking her serious as the expert to assess potentials of transferable aspects, in the following we have sought to represent these models in a way that allows for **quick understanding of the key features**. This takes into account that the **target audience for transferability are practitioners, policy-makers and scholars in the applied sciences** who count with less time for engaging academic writing. The representation of the models includes a graphic representation of the key features or the models, complemented by a focused description of the model (fact sheets). A fact sheet has been designed to be more visually appealing. Using the example of the London CLT, the fact sheet is presented here as a proposal for further discussion within the OpenHeritage project about method, design, communication and transferability.

The outline to conceptualize each model in key bullet points comprises the following aspects:

Description of the key dynamics of the model:
A short narrative account of the activities that have been taken under given conditions in order to realize the intended goals. This account shows how the model has been implemented and evolved, putting specific emphasis on questions of inclusivity and social and economic sustainability.

Purpose:
What is the purpose for implementing this model? The answer might need to distinguish different phases that have different purposes

Innovative Features:
What are the innovative features that may be of interest or inspiration for practitioners or researchers of adaptive reuse?

(Phase:)
Distinguish different phases of the model, if relevant. In particular, this relates to the linear phase of establishing the model and the circular phase of sustaining the model.

Key Conditions of the Model:
Following predominant accounts of the commons (see Kip et al 2015), important **analytical distinctions** are made between **actors, institutions, and resources**. Usually, these three dimensions have been applied to the **internal organization of commons** (the commoners, the communing rules and institutions, and the common-pool resources). In our analysis, we also consider the **external conditions** to which the commons relate: stakeholders and other actors (who relate to the commoners); regulations and policies (who relate to the internal rules and institutions); and resources (that may relate to, and supplant the internal resources). Thus, the distinction is made between:

Internal conditions:

Members: Who are the main members of the project? What are their main interests, meanings and values related to membership and the associated actions? How is membership regulated?

Rules/Institutions: What is the commoners' relationship towards each other? What are the rules and institutions that regulate their relationships?

Resources: What are the resources of members? (financial, ownership, skills, time capacities, etc.)

External conditions:

Actors: Who are the stakeholders and other actors who establish a relationship with the project (as business or political partners, enemies, service providers, or as political antagonists, etc.)? What are their main interests and meanings associated with interacting with the project?

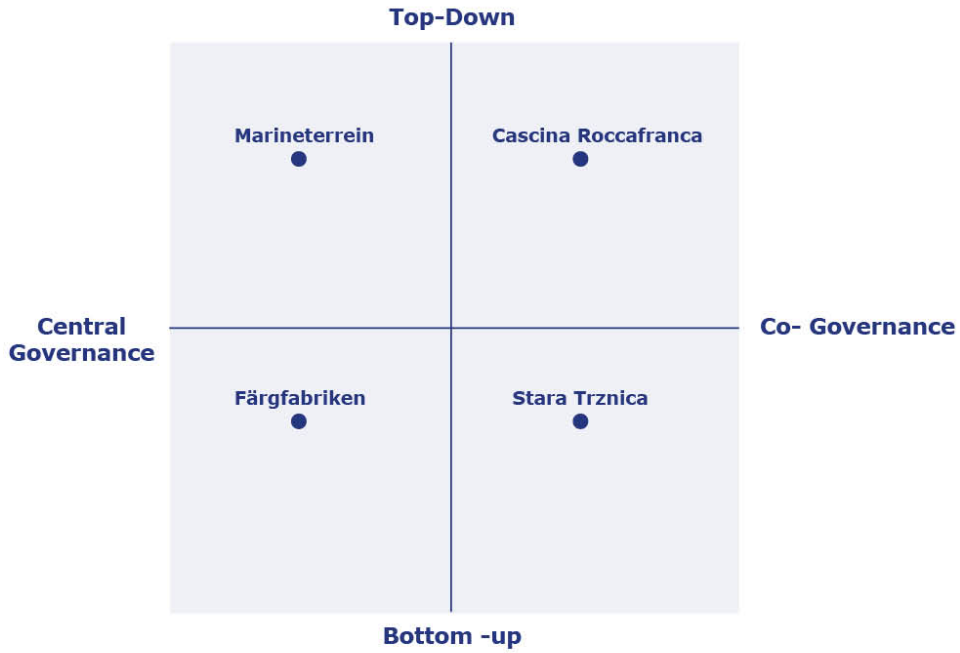
Regulatory frameworks: What are the key regulatory frameworks or policies that structure the relationship of the initiative towards external actors?

Resources: What are the resources that may become relevant to the initiative? (financial support; volunteer support; etc.)

3 Two groups of models analyzed

3.1 Public-Commons-Private governance models

The observatory case studies at OpenHeritage involve three key groups of stakeholders: Civic and community actors, public authorities and private (business-oriented) actors. 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 found at OpenHeritage were clustered along **two axes**. First, was the **partnership initiated** from private actors or public authorities bringing in community actors at a later stage; i.e. "**top-down**" – or, alternatively, was it the result of a "**bottom-up**" process that started with community-actors. The second axis concerns the issue if there is a single actor (organization) that oversees, steers and manages the initiative in the form of a **centralized governance** – or, alternatively, are there multiple organizations that create a **co-governance** of the project. These two axes create a chart with four fields that should be considered as ideal types. This way of organizing the issue of governance thus highlights some interesting differences among the observatory cases. In our assessment of the cases (which slightly differs from D2.4 which we will justify in the analysis), we have identified one case that largely fits into each field and for which overall positive impacts have been found in the comparative analysis. 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. Schematically, the selection of four commons-public-private-partnership cases fits into chart as follows:



3.2 Ownership models

Five different ownership models can be found among the observatory cases on which the initiative have been founded institutionalized. Ownership refer to the (exclusive) rights and control over an asset. It raises attention to the question of how these ownership rights are legally enshrined and the consequences this entails for the various stakeholders in relation to a particular asset. All five models demonstrate how a particular kind of ownership model can lead to positive impacts for civic actors. While most of these ownership models are dependent on institutional and legal preconditions and thus any transferability of the model depends on the context. Nevertheless, the question of transferability in this case is also aimed at sparking reflections on the institutional and legal conditions that prevent or enable particular models to come to fruition.

These five ownership models that we consider are:

- **Community Land Trust model**
- **Cooperative ownership model**
- **Heritable building right model**
- **Private ownership model**
- **Regulation of the Commons model**

4 Commons-Public-Private-Partnership governance models

4.1 Stara Trznica

Stara Trznica, the model to regenerate an Old Market Hall in the city center of Bratislava, was initiated by a group of civic entrepreneurs 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 such purpose ("**Bottom-Up**"). Patient mobilizing of 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 ("**Co-Governance**").

Two main phases can be distinguished in the project. In the **first phase of rehabilitation**, the innovative feature of this project has been the gradual renovation of the site that was financed by the revenues made from renting the site. This created a **win-win-win proposition for the public administration, small entrepreneurs, civil society organizations as well as the project initiators**. The benefit for the public administration was that the collaboration led to the renovation, care and revitalization of central location at no costs; the win for small entrepreneurs was the opening up of a central urban site for cultural and corporate events and marketing cooperation; creation of small business opportunities; and last but not least, the civic win was the regeneration of a site for civic encounter and circular economy; some social services were offered on the site.

In the **second phase of consolidation**, the social innovation is a coordinated solidarity mechanism that seeks to balance considerations for economic revenue and sustainability and considerations for social benefits – as a space of civic encounter and for the use of marginalized groups. Other important resources could be secured through marketing cooperations with big corporations as well as through EEA grants or funding through Creative Europe.

A key condition for the success of this model was the potential of the site to fulfil a function for which there has been a big civic and market interest. The initiators were pioneers in seeing this potential and making a convincing proposal for realizing this project. An important innovation from a civic perspective, has been the solidarity mechanism among the different projects on site, to re-distribute income from profitable projects to subsidize other social projects or civic purposes that create less or no revenue (including maintenance of public space without requiring consumption etc.). Moreover, priority is given to local entrepreneurs and resources for ecological and social reasons.

Stára Trznica shows interesting similarities to Observatory Cases Largo Residencies and Scugnizzo Liberato. These three cases are "Bottom-Up" initiatives of cultural entrepreneurs and grassroots groups that were able to stimulate a constructive response from municipal governments. All three cases

that aim to promote civic encounter, bring together a diversity of stakeholders and actors in a "Co-Governance" of the site.

Purpose:

- **Rehabilitation:** new market hall and place of culture and civic encounter
- **Circular and cooperative economy:** new employment; space and support for social and local enterprises

Innovative Features:

- 1. The civic initiative realizes a win-win-win situation for a public-private-people partnership:
  - Public win: Renovation and care of central location at no costs; revitalization of area
  - Private win: central site for cultural and corporate events and marketing cooperation; creation of small business opportunities
  - People win: regeneration of a site for civic encounter and circular economy; some social services were offered on the site
- 2. A solidarity mechanism allows to fund non-commercial activities (including seating without requirement to consume, kids theatre; dedicated spaces for children and seniors) by redistributing funds from profitable events

Phases: In what phase of adaptive reuse is this model implemented?

- Two main phases of this model:
  - (1) Setting the scene to use the sitze;
  - (2) Routine Activities (Circular economy, gradual expansion)

Key conditions of the Model:

Phase 1: Rehabilitation

- **Internal conditions:**
  - **Actors:**
    - Activists with professional expertise in architecture and planning, with professional skills in running concerts; organizing markets
    - Small business enterprises who wrote letters of interest to run events in the market hall
    - Social Bank offered a loan to the association
  - **Institutions/Rules**
    - Creation of an NGO "Old Market Alliance"
  - **Resources:**
    - Site laying dormant: Quality architecture, large space, central location

- **External conditions:**
  - **Actors:**
    - City council granted exception from open competition: no public procurement, but concession agreement
    - Broad civic and entrepreneurial public support
    - Social network in the music field and in local food producers (with Slow Food Bratislava)
    - Big corporations (Volkswagen and Orange) that supported through marketing contracts

  - **Institutions/Regulations**
    - Rent-to-investment scheme: Just 1€ rent per year, but requirement to invest €120,000 per year in renovation
    - New investments to be reviewed and approved by specific body of representatives of city administration and NGO
    - A body of members of the municipal council reviews activities of the NGO

  - **Resources**
    - Lack of alternative locations for cultural events
    - Volunteer support; support from public and agreement with municipal council
    - Professional connections already established between activists, entrepreneurs and public administration
    - Interest from corporations/firms in holding events at the site

Phase 2: Routine Activities (Promoting circular economy)

- **Internal conditions:**

  - **Actors:**
    - Initiators/managers who showed civicmindedness and a social sense of solidarity to finance functions that do not generate revenue; Project operates as a social enterprise that doesn't pay out dividends or generates profit for members of the association.

  - **Institutions/Rules**
    - Selected members of the municipal council reviews activities of the NGO
    - NGO Old Market Hall and tenants meet regularly to discuss options for collaboration and synergies

  - **Resources:**
    - Quality architecture, large space, central location

- **External conditions:**

  - **Actors:**
    - Broad civic and entrepreneurial economic (and public) support

- Public interest in local food produce
- Marketing cooperation with Volkswagen and Orange

- **Institutions/Regulations**
  - EEA Grants
  - Creative Europe support

- **Resources**
  - Lack of alternative locations for cultural

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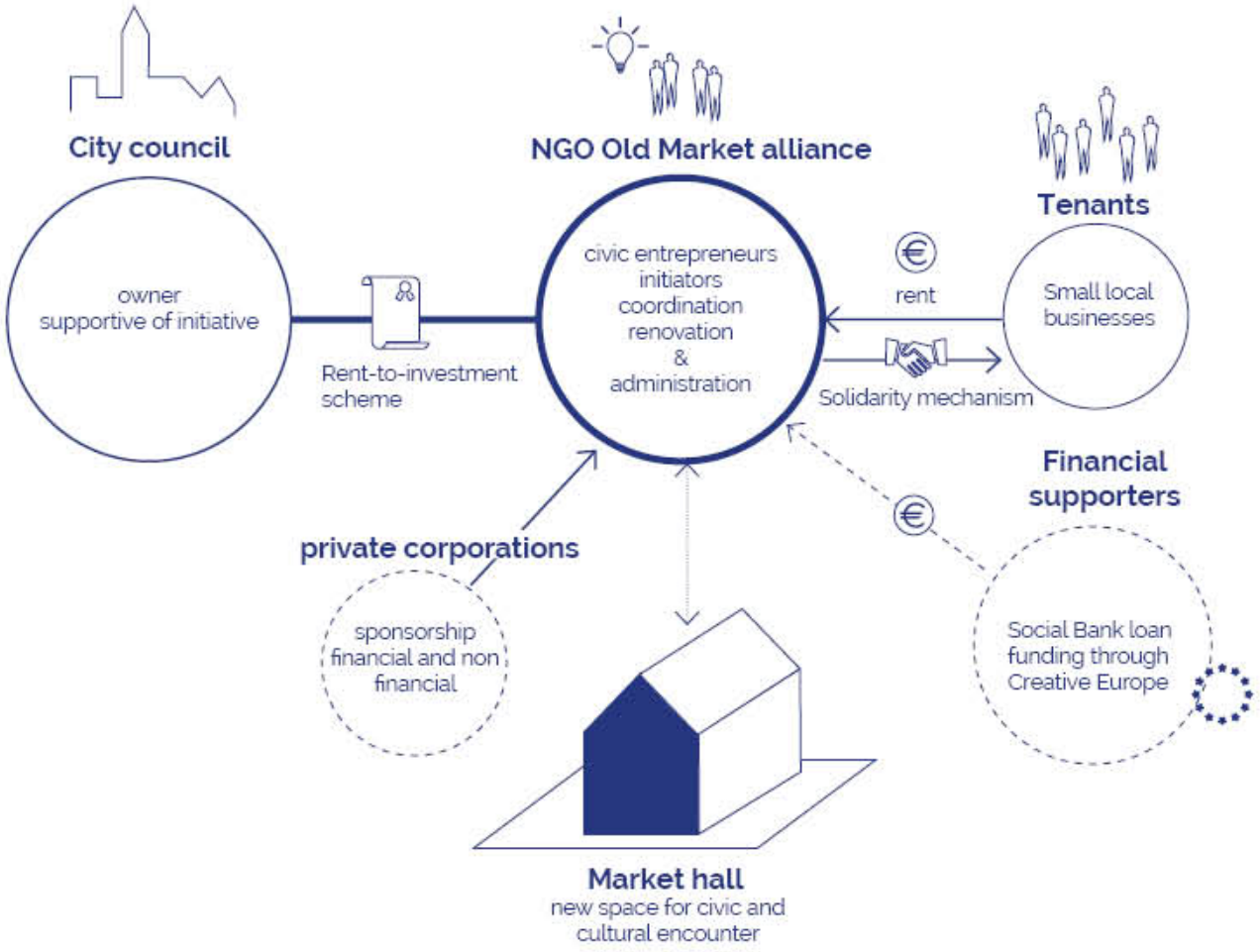

Graphic 1:

CPP-Partnership at Stara Trznica

4.2 Färgfabriken

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 leadership of the company owners for their adaptive reuse plans and they prevented full redevelopment of the site by securing 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. The Färgfabriken adaptive reuse is a model of "**Central Governance**" since 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 companies AlcroBeckers (the owner of the building), ColArt and the Swedish Association of Architects.

Key conditions for the success of this model was the collaborative attitude of the owner of the former factory as well as the municipality and the lack of similar cultural venues that address architecture, arts and urban planning in the city of Stockholm. Funding came from the owning company, the municipality, Swedish governmental levels as well as European institutions Its innovation within the cultural scene was its participatory model of 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 Lwiw. Jam Factory is a similar cultural venue, however, it lacks the support of the municipality to perform such function in the public debate.

Purpose:

- establishing a "Kunsthalle" (open venue for the arts) in a former industrial area of Stockholm for new forms of multi-stakeholder, multi-disciplinary engagement on societal issues related to architecture, urban planning,

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Innovative Features:

- 1. Public-Private-Civic-Partnership – in relation to urban, artistic and architectural engagments
- 2. Kunsthalle and the Färgfabriken Method: Bringing different stakeholders together to engage societal issues, still retaining non-profit character.

Key Conditions of the Model:

- **Internal conditions:**
  - **Actors:**
    - Group of artists and architects seeing the potential of the space
    - Supportive private owners of the vacant building
  - **Institutions/Rules**
    - Development plan agreed between owner and group of artists ad architects
    - Foundation was established (to ensure curatorial independence, however, under the chairmanship under the company owner)
  - **Resources:**
    - Site laying dormant: Quality architecture, large space
- **External conditions:**
  - **Actors:**
    - supportive Municipality and ministries, awarding public grants
    - a cultural scene with interest in new venues for engagement beyond galleries and museums / few art centres existed
    - various experts and stakeholders interested in becoming involved
    - a former industrial area that is slowly developing its public infrastructure
  - **Institutions/Regulations**
    - Heritage protection prevented demolition
    - Färgfabriken method to discuss societal issues
  - **Resources**
    - Private sponsorships and public grants

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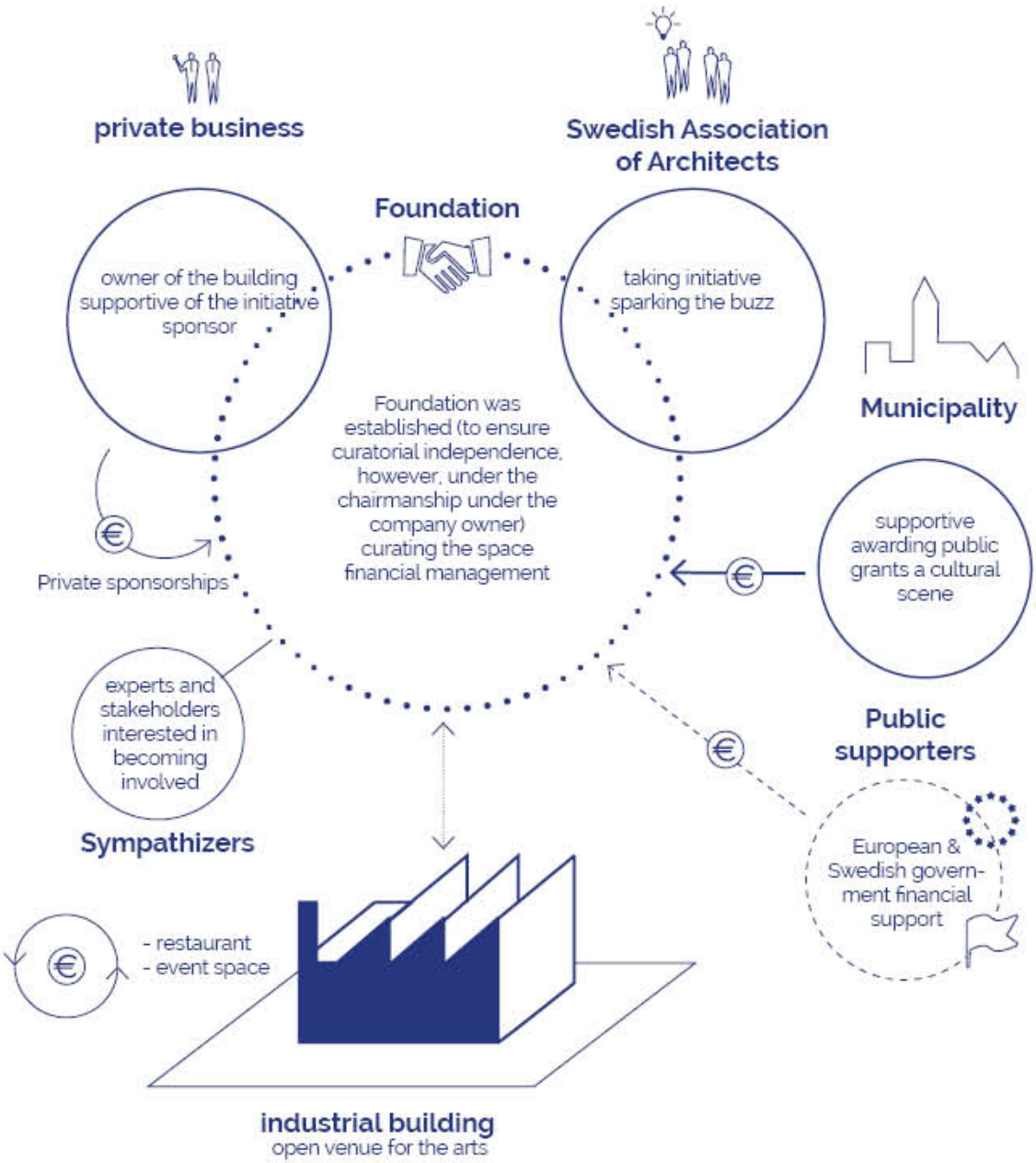

Graphic 2:

CPP-Partnership at Färgfabriken

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4.3 Cascina Roccafranca

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, neighbourhood 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 neighbourhood of Mirafiori. While establishing its own governance mechanism, Cascina Roccafranca has remained strongly embedded within a **Co-Governance** arrangements and institutionalization with the municipality of Turin and with a network of similar neighbourhood 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 commons under the local Regulation on the Commons.

As a social and cultural center, Cascina Roccafranca shows striking similarities to Scugnizzo Liberato. Cascina Roccafranca is, however, more "professionalized" also partly thanks to the public funding it receives.

Purpose:

- establishing cultural and social centre in a deprived neighborhood

Innovative Features:

- 1. Public-Commons-Partnership – to allow for an open door citizen engagement, intergenerational encounter, to provide social services, promote cultural activities, and allow for a high degree of civic autonomy of the project

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- 2. Significance of European and municipal level support (URBAN II)

Key conditions of the model:

- **Internal conditions:**
  - **Actors:**
    - Active citizenry in the neighborhood
    - Cultural animators (Social workers)
    - Various associations and groups participating (Cooperativa Educazione Progetto, Ecomuseum)
    - Social cooperative-run restaurant
  - **Institutions/Rules**
    - College of Participants (45 groups and associations that operate in Cascina College of Participants, collaboration with 178 partners)
    - Fondazione atipica in partecipazione Roccafranca (the board of the foundation includes municipal representatives)
  - **Resources:**
    - Site laying dormant: Quality architecture, large space
- **External conditions:**
  - **Actors:**
    - Turin Municipality / Co-City project
    - Case del Quartiere network
    - EU (URBAN II and Urban Innovative Action)
    - Private users of the services at CR (from education to renting space for private parties)
    - Sponsors
  - **Institutions/Regulations**
    - Tavoli Sociali through ProgettoSpecialePeriferie to identify Cascina Roccafranca as community venue/ Case del Quartiere model
    - Public-civic cooperation – that became a model for the Commons Regulation
  - **Resources**
    - 16 Mio Euros through URBAN II program for the Mirafiori Nord
    - 7 employees, original furniture and most maintenance work at Cascina paid by municipality
    - Sponsorship (e.g. Compagnia di San Paolo)

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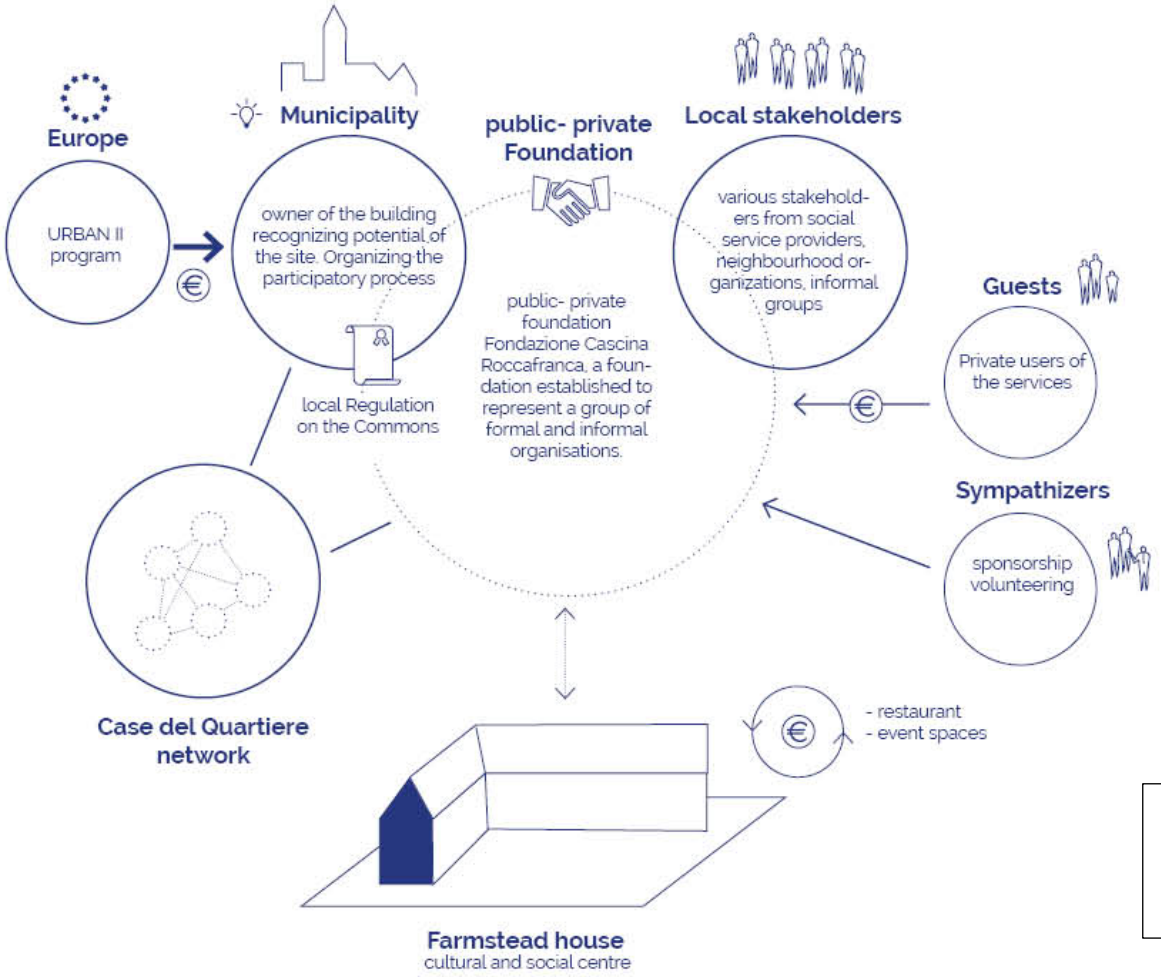

Graphic 3:

CPP-Partnership at Cascina Roccafranca

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4.4 Marineterrein

This adaptive reuse project seeks to establish an urban quarter of 13 hectares for innovation and start-ups in central Amsterdam. It was initiated from the municipality that sought to buy the military terrain from the Ministry of Defence ("**Top-Down**"). Over the past five years, the area has been gradually opening up to the public and has begun to invite start-ups to the site and into reused buildings as they became accessible. The project, however, seeks to generate public access to and interest in the site and opens venues for involvement with the surrounding neighborhoods.

A key innovation of this urban development project is that a newly established independent organization, the "Bureau Marineterrein", was formed in agreement from municipality and national government to coordinate, select renters and program the development. While the Bureau is a form of "**Centralized Governance**", it required that municipality and national government agreed to devolve competencies to this agency that is in close touch to the reality of the area, its opportunities and challenges. An important condition for the success of this project was the initial funding of 6.5 Million Euros from municipality and national government to start up the Bureau and to invest in some infrastructural measures (including the publicly accessible board walk and a bridge, renovation of a building).

The approach is an organic transformation of the site, in a gradual fashion such that the revenues generated from opening up individual buildings will be used to renovate the next building and organize the programming. Such transformation thus does not follow a conventional urban development plan, but instead a "area concept" that remains flexible to a changing context and challenges that arise with the step-by-step approach.

At a smaller scale, the organic development approach is also employed at the Halele Carol Observatory Case. At a larger scale, the challenge of coordinating of different government agencies has also been addressed at the Grünmetropole, however, with the result that the civic engagement had suffered.

Purpose:

- establishing an urban quarter for innovative enterprises

Innovative Features:

- 1. Area concept of development (rather than urban development plan) with a step-by-step model of organic transformation in which each new step is

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considered and financed on the basis
of insights and revenues gained at the previous step;
taking into account changing needs of society.

- 2. Bureau Marineterrein is an independent coordinating office with significant decision-making competencies for the development granted from the municipality and the national government.

Key Conditions of the Model:

- **Internal conditions:**
  - **Actors:**
    - Director of the Bureau Marineterrein capable of coordinating the different stakeholders and keeping them informed and interested
    - Collaborative attitudes of municipality and national government; willing to devolve decision-making competencies to a coordinating bureau
    - Start-ups, companies, schools, restaurants, hotel, museum, small entrepreneurs
  - **Institutions/Rules**
    - Cooperation agreement between national government and municipality
    - Area Concept
    - Management model between national government (owner) and municipality, forming a steering group that overlooks the Bureau Marineterrein, the Planning Team and the Area Development Team.
  - **Resources:**
    - Budget of 6.5 Million Euro from national government and municipality for infrastructural measures, renovation and upgrading (finance bridge, boardwalk, publicly accessible park, open access to water for swimming)
    - Rent income from buildings that are rented to companies
- **External conditions:**
  - **Actors:**
    - Several companies, start-ups interested in doing activities on the site.
    - Surrounding neighbourhood
  - **Institutions/Regulations**
    - Competitive call to companies to rent and participate in the development at Marineterrein
    - Summer camps for youth from surrounding neighbourhood
    - Regular measuring of water quality to allow for public swimming

- **Resources**
  - Staff for communication and social media at Bureau Marineterrein
  - Funding for youth summer camp
  - Publicly accessible site for recreation

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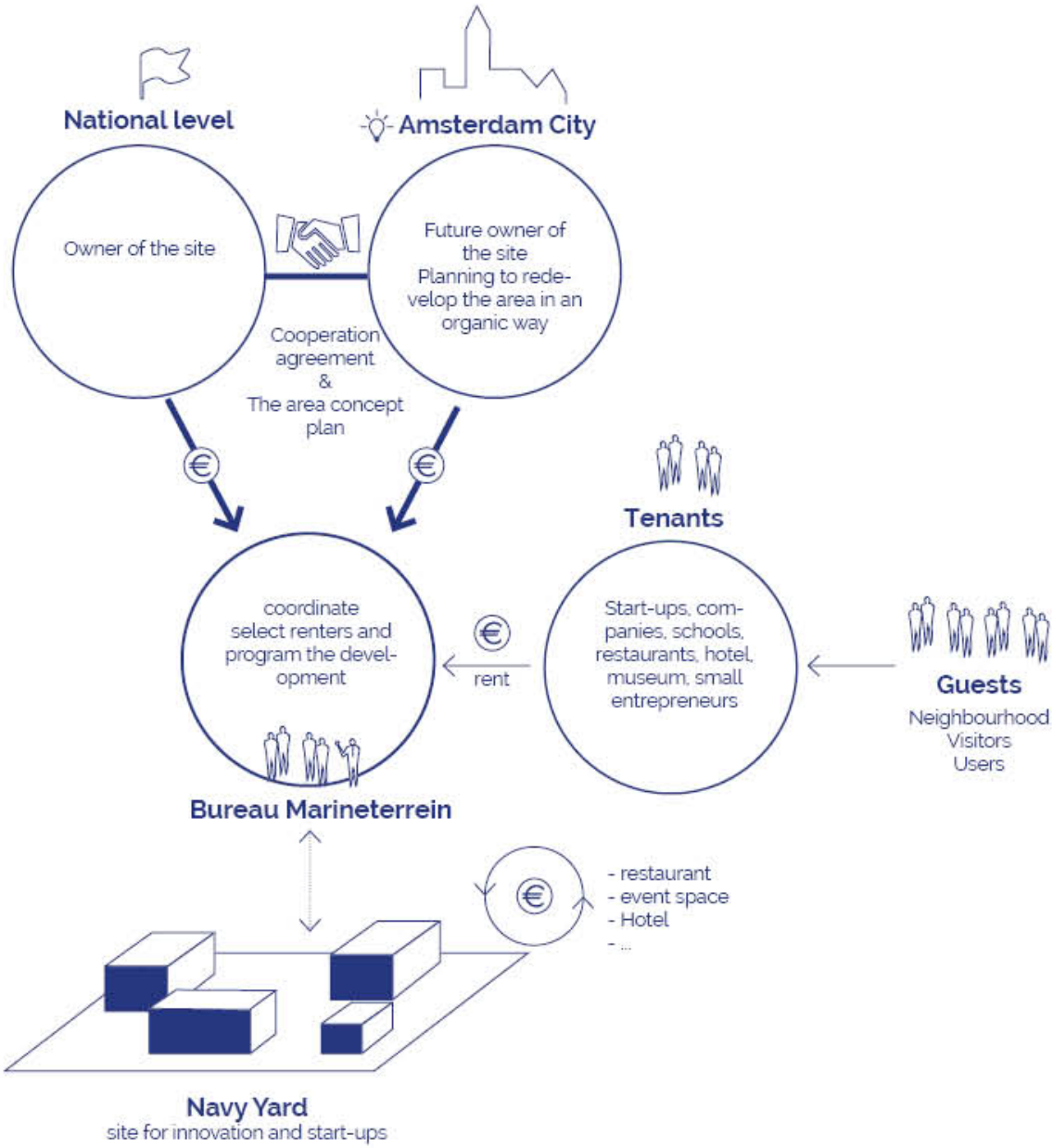

Graphic 4:

CPP-Partnership at Marineterrein

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5 Presentation of Ownership models

5.1 CLT – St Clemens site London

Community Land Trusts are a model of **community-led development**, where local organisations 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.** 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 organisations 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 and it is up to their own decisions to define how their board should function and how they should involve their members and residents.

At London CLT, Citizen UK organising local communities and building campaigns around affordable housing in the area was the basis for the engagement with the GLA. The GLA set up an agreement with Linden Homes, in order to include the CLT, as well as passing the land ownership on to a specially established community-led charity, the Ricardo Community Foundation after the development is ready. As a result, St Clements was chosen as a pilot project to test the CLT model in an urban setting. CLT homes are contributing to easing the effects of London's housing crisis. The entire project opens the St Clements site, making its accessible for all surrounding neighbours 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. London CLT places great emphasis on local residents participating in local campaigns, improving their skills and capacities of mobilisation and self- determination

Purpose:

- offer affordable housing and long-term rentals to residents who could no longer live in the area due to displacement and housing unaffordability trends.

Innovative Features:

- Public-Private-Civic-Partnership at London CLT where CLT model is used to provide 30% of the needed social housing according to the housing act.
- At the city level, London CLT has created a precedent to showcase how CLTs can work in an urban setting, under strong real estate pressure.

What are the key qualities and conditions of the model?

- **Internal conditions:**
    - **Actors:**
        - Citizens UK, CLT London, residents themselves
        - Residents association
        - the Ricardo Community Foundation made up of different stakeholders on the site, including Peabody (social housing development company?), the CLT, the local council, the Greater London Authority, Linden Homes (real estate developer), Galliford Try (What is that…?) and the residents' management company.
        - London Community Land Trust: A local CLT organisation as initiator or technical advisor that supports communities
    - **Institutions/Rules**
        - The St Clemens site is subject to a Section 106 agreement that means that new developments should have 30% affordable housing. In such cases, the developer is obliged to build affordable homes as well, and then looks for a housing association or similar organisation to take on those housing units. The CLT homes are part of this 30% that could otherwise be shared ownership homes.
    - **Resources:**
        - Community shares?
        - The large scale site, buildings in relatively good conditions, symbolic site for the neighborhood
- **External conditions:**
    - **Actors:**
        - GLA (Greater London Authority) was very supportive, The gentrification and affordability problem of East London has been one of the main motivations to develop a CLT in the area.
        - Linden Homes real estate developer

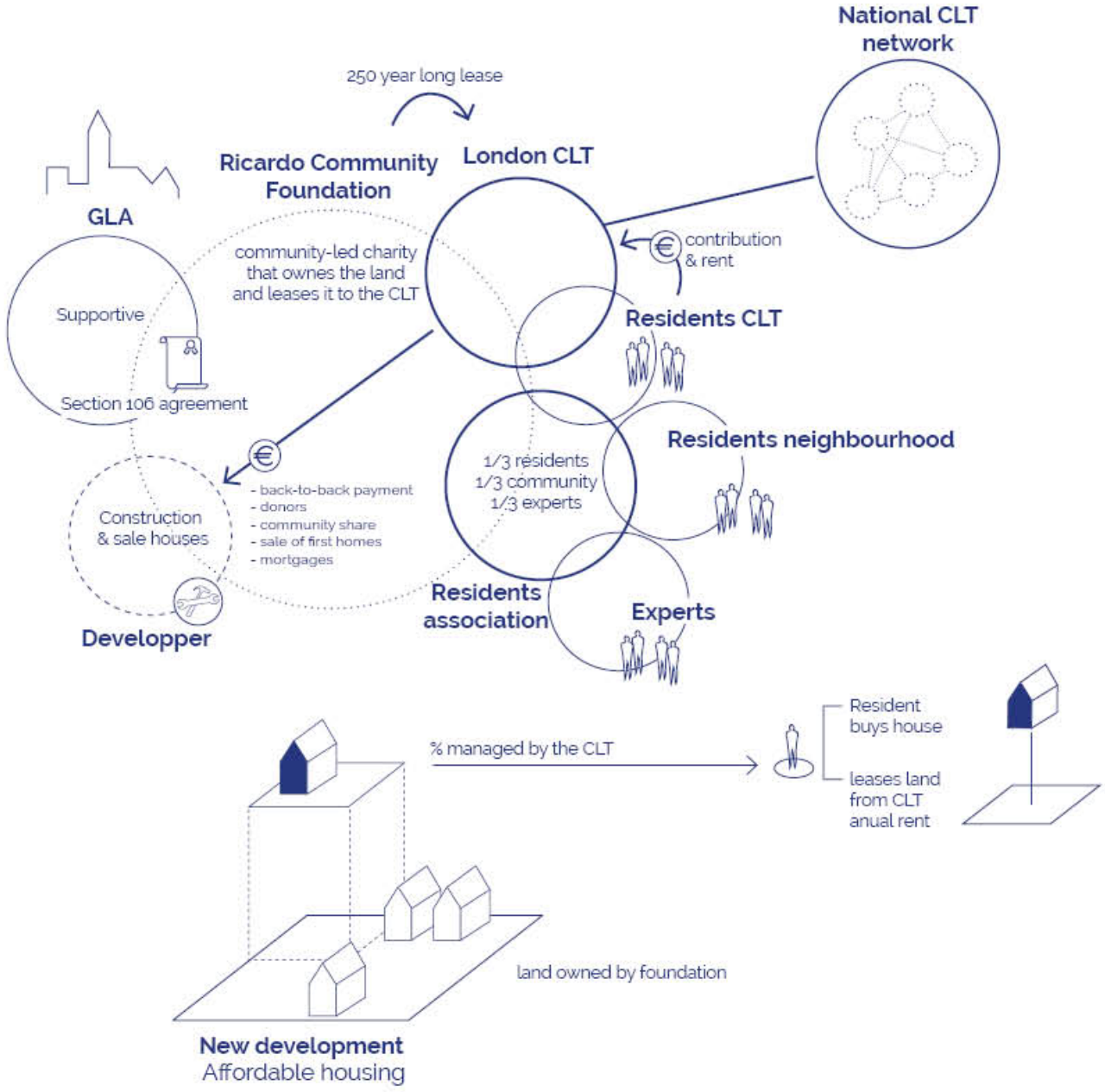
- Peabody, a social housing association.
- Supportive neighborhood
- Shuffle (not for profit organisation) not-for-profit organised a series of festivals in and around the St Clements site
- National CLT Network: a nation-wide network representing the interests of CLTs across the UK.

- **Institutions/Rules**
  - The St Clements site is a field where real estate pressure as well as various public policies are in play, regarding the sale of public land, housing provision, heritage protection as well as natural ecosystems.
  - As part of the agreement with the GLA on winning the land, Linden Homes were required to enter the agreement on including the CLT, as well as passing the land ownership on to a specially established community-led charity, the Ricardo Community Foundation after the development is ready. In this way, St Clements was chosen as a pilot project to test the CLT model in an urban setting.
  - Section 106 agreement that means that new developments should have 30% affordable housing.

- **Resources:**
  - Mortgages are another important source of funding for CLTs, on the buyers' side. the Ecology Building Society and Triodos Bank
  - back-to-back payment scheme: London CLT purchases the properties from Linden, however not with London CLT's own money but with the money of the residents who will move in. It is a back-to-back payment scheme where the resident pays London CLT and London CLT pays Linden.
  - social investment from large donors or community shares.
  - core team finance by the Oak Foundation and additional support the National CLT Network gave the London CLT a £10,000 catalyst grant for capacity building.

Graphic 5:

Community Land Trust Model at London CLT



5.2 Heritable lease model – Ex Rotaprint Berlin

Heritable building right (Erbbaurecht) is a form of long-term lease established in Germany more than 100 years ago to lease land to cooperatives building affordable housing or to enable poor families to build a house. This instrument allows tenants to pay an annual interest or lease fee instead of buying the land with an initial capital. In the case of ExRotaprint, the gGmbH pays the land lease fee to the foundations trias and Edith Maryon. The **long-term lease** (often of 99 years) enables tenants to invest significantly in the site, building new structures or renovating old ones, therefore in practice it equals to ownership rights, except for the right of selling the properties. In fact, heritable building right is frequently used today to keep land in public ownership but encourage tenants to invest in the properties, or to keep land out of the speculation market. The heritable building right contract also includes **restrictions for the use of the properties**, thus creating a mandatory framework for the future.

The Exrotaprint gGmbH was able to buy the site from the Liegenschaftsfonds (German for Real estate Fund) drawing on for renovations from swiss pension fund, **gradual renovation** supported by a very specific financial actor, a Swiss pension trust called CoOpera Sammelstiftung PUK, specialised on sustainable real estate projects with a strong local social or cultural dimension.

ExRotaprint brought in two anti-speculation foundations to afford the complex. According to the arrangement the ground on which the complex is located is owned by Stiftung trias and Stiftung Edith Maryon and the buildings are owned by the ExRotaprint gGmbH, a not-for-profit organization that can make profits, however has to reinvest them for social benefit.

As a result of this **split ownership**, the building owners cannot sell the buildings and make a profit out of the changing value of the complex; therefore, **speculation with the buildings is legally excluded** from the owners' choices. According to the heritable building right contract ExRotaprint pays an annual **ground rent** equal to 10% of net rental income or a minimum of at least 5.5% of the initial land value. ExRotaprint's unique organisational structure and financial model allows it to operate almost completely independently from the real estate market, but not without significant pressure from the mortgage payments: all rates and conditions have to be fulfilled. On the other hand, nobody in the organisation receives a personal investment return but everyone shares the benefit of an affordable rent and autonomy in the decision making. Without pressing financial burdens, ExRotaprint can accommodate a real diversity of tenants, faithful to its original mission.

The arrangement further set up a preamble in the heritable building lease to rent out to work (small businesses), artist and community and social services in equal parts, so also future generations also have to fulfil it. Aside from this, the ExRotaprint gGmbH has significant liberties to develop anything within this framework. Income ExRotaprint's revenue relies completely on the income from rents. In the past years, its annual rental income totals 370,000 euros per year

The success of implementing this model of autonomy through cooperative ownership depends on many specific conditions.

ExRotaprint's enterprise was made possible by the perfect constellation of low real estate prices at a historic moment in Berlin, relatively transparent public real estate management and stable legal environment, high purchasing power and the existence of alternative financing structures. This constellation is so specific and probably unique to Berlin and some other German cities, that experiments to export the model to other countries and cities might face many difficulties.

Purpose:

- ExRotaprint was born from a variety of motivations. First, ExRotaprint members wanted to create a different idea of ownership and find a solution for affordable rent. Second, they wanted to keep the space open for the people in Wedding and to contribute to the area by generating social, economic and cultural capital. Third, they wanted to preserve the heritage buildings of the Rotaprint compound and prevent their sale and future speculation in the area.

Innovative Features:

- Heritable building lease allows the separation of the ownership of land and building. This has the advantage for sharing the benefits and development costs among two different owners. The heritable building lease giver – who owns the land – has also the possibility to set a framework and rules for the development of the land and thus can hold the lease holder accountable to develop it accordingly.
- Solidarity fund of the Stiftung trias in which more established projects support new projects by paying ground rent after the loan has been paid back.

Key Conditions of the Model:

- **Internal conditions:**
    - **Actors:**
        - ExRotaprint "Charitable Company for The Common Good" - gGmbH (A gemeinnützige GmbH)
        - founders Daniela Brahm and Les Schliesser
        - architects Oliver Clemens and Bernhard Hummel
        - Stiftung trias – a foundation that helps community groups and co-housing projects access financing and move properties out of the speculation market.
        - Stiftung Edith Maryon
    - **Institutions/Rules**
        - Heritable building law as a national regulation (ErbbauRG)
    - **Resources:**
        - ExRotaprint is a 10000 m2 complex, an ensemble of 11 buildings located in Wedding with quality architecture.

        - Trias invests personnel capacity; Solidarity fund of Stiftung Trias provided initial credit for the development

- **External conditions:**

    - **Actors:**
        - Municipality
        - For-profit real estate developers

    - **Institutions/Rules**
        - Site is classified as a "listed building" this prevented the demolition and made the site less profitable from the perspective of real estate speculators. Thi situation created momentum for setting up a heritable lease model.

    - **Resources:**
        - The Lotto foundation provided a grant for renovation work at the listed building

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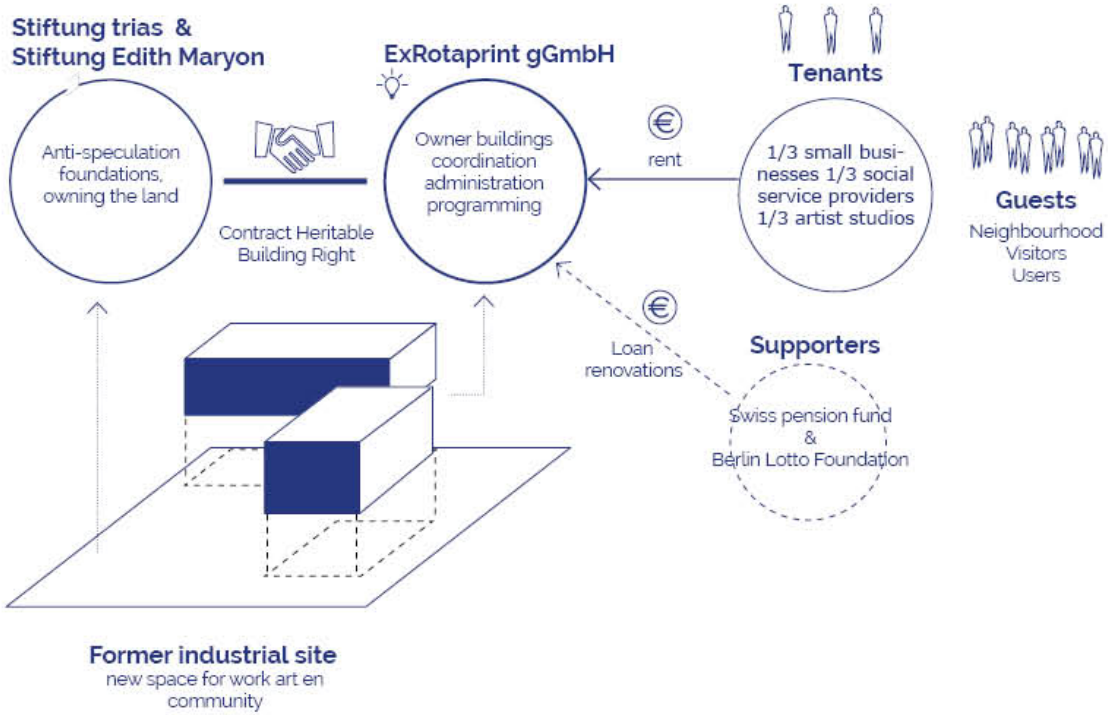

Graphic 6:

Heritable Building Right Model at ExRotaprint

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5.3 The Cooperative ownership model - Sargfabrik, Vienna

Initially, the "Wohnheim" regulation that this project drew on, was designed for student accommodation or homes for elderly. By the Sargfabrik project this model has been adopted for the purpose of living collectively and turned into a sort of cooperative within the framework of Viennese housing provision. This specific organizational legal form provides a resident group access to housing subsidies, yet only for the construction and not for housing allowances. Moreover, the Wohnheim offers a number of exclusions from the general building regulations. These exceptions from several building codes contribute to lower building costs that could be re- invested into the social infrastructure of the project. Through this model the Association can keep control over the "spirit" of the project. There are very strict rules and a complex scanning process for those who want to move in.

The Sargfabrik project begun with the founding of the "Association for Integrated Lifestyles" with the aim of developing a housing and cultural project. It purchased the "Maschner&Söhne" building in Vienna 14th district, formerly the largest coffin manufacturers under the Austro-Hungarian monarchy. The factory was built at the end of the 19th century and coffins were produced until 1970. During the long years of waiting for the different permissions, the Association kept on holding regular meetings and achieved to decide collectively on its program. Through subsidies (Wohnheim-model) it was possible to build those communal facilities which make this "residential home" so special.

Innovative Features:

- This model provides the right frameworks to support the initial mission: co-housing model with very strong identity of openness and connection.
- One key aspect of the Sargfabrik project was defining the building as "Wohnheim" (dorm, or residential home). The Association (VIL) acts as the owner, constructor, operator and rental agency of the housing complex.
- Other advantage of this solution is that many building regulations do not count. Operators were allowed to build for example parking facilities in the proportion of 1:10 instead of the 1:1 rule (meaning that they one car park for ten households). Instead of building an underground car park, they saved money for communal facilities. Three out of 11 car parks are now used for car-sharing, the rest is filled with bicycles. As tenants stressed out, they did not need so many parking places, because even at the very beginning they preferred to use bicycles.
- This model also allowed the share of public operating space up to 25%.
- This model also raises some so-called "security aspects" related to owning a property. This type of security is not present in such a rental-apartment

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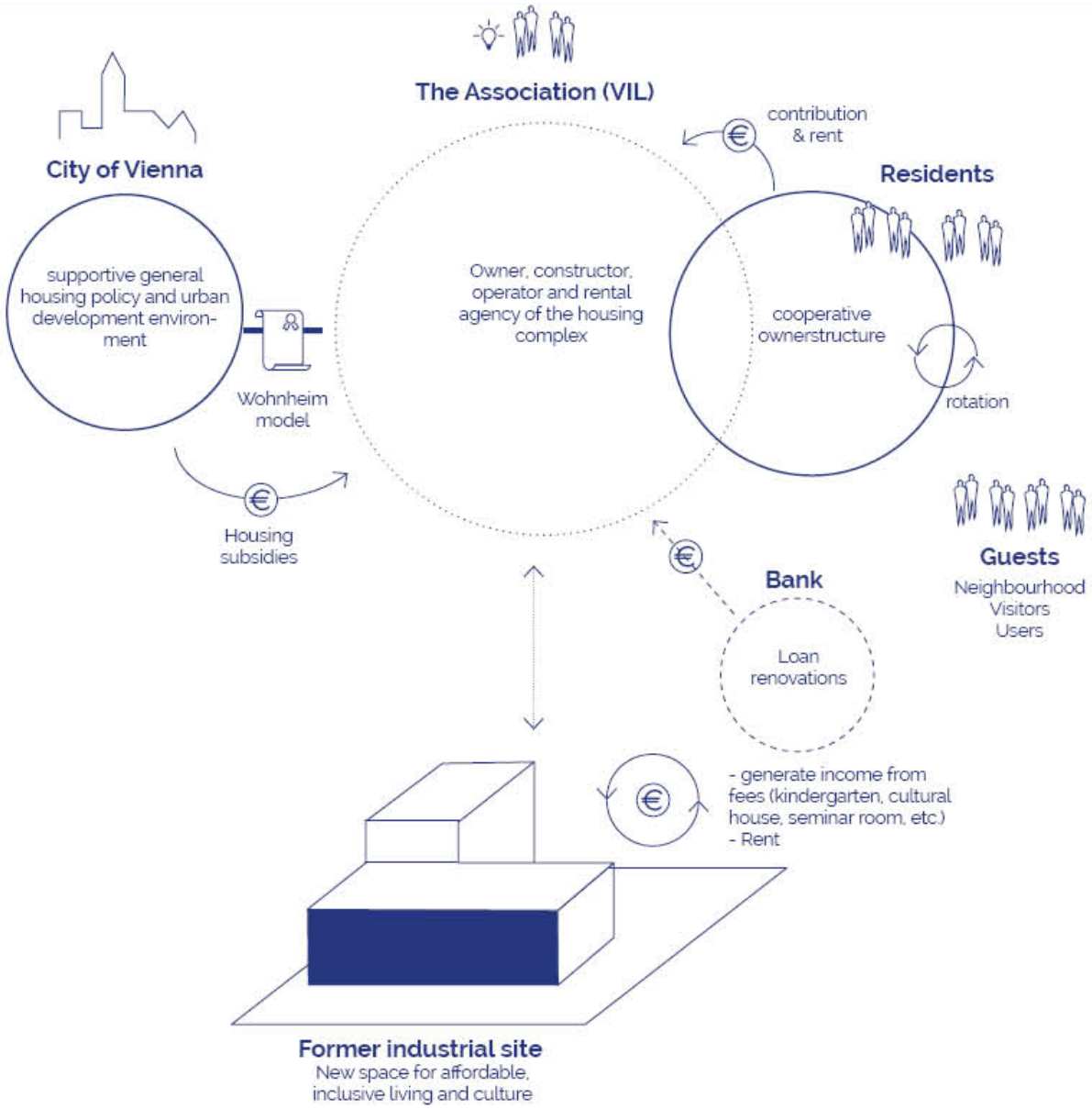
project where no ownership is involved. However,
residents feel that in a way this model still make them owners. They possess a large piece of valuable real estate and there is an agreement about how they can retrieve the equity they have invested. So Association members do not consider collective ownership as an unsecure venture. Moreover, they see Sargfabrik rather as an enterprise, in contrast to conventional housing, holding both entrepreneurial and proprietorial responsibility.

Key Conditions of the Model:

- **Internal conditions:**
    - **Actors:**
        - The Association (VIL)
    - **Institutions/Rules**
        - Collective-decision making processes within Sargfabrik association
    - **Resources:**
        - generate income from fees (kindergarten, cultural house, seminar room, etc.).
        - rent: round 30% of the rent goes for the repayment of the loan, the rest covers some general costs of the building (the operation of the bathing house, insurance, hot water and heating, institution support, renovation fund, social fund and maintenance costs).
- **External conditions:**
    - **Actors:**
        - City of Vienna
        - Neighborhood
    - **Institutions/Rules**
        - Not classified as heritage, this made the redevelopment to housing units much less complicated.
        - Very supportive general housing policy and urban development environment of the city of Vienna.
    - **Resources:**
        - Housing subsidies from city of Vienna 5,8 million euro support from the City of Vienna (Wohnbauförderungsmittel)
        - Long-term bank loan of 5,3 million euro (with 20 years maturity – by now this is already paid back by the association) and (3) 2,5 million euros as the own contribution of the owners 7(the “equity”).



Graphic 7:

Cooperative Ownership Model at Sargfabrik

5.4 The private model - Jam factory

Private ownership is perhaps the most common form of ownership in Europe today. Private property rights are one of the pillars of capitalist economies. Private property is a system that allocates particular objects like pieces of land to particular individuals **to use and manage as they please**, to the **exclusion of others** and to the exclusion of any detailed control by society. In legal terms it's usually a designation for the ownership of property by non-governmental legal entities. Private property is distinguishable from public property which is owned by a state entity and from collective or cooperative property which is owned by a group of non-governmental entities.

The owner of the property has full and irrevocable ownership of the land and any buildings on that land. He is free to do whatever he or she wishes on the land subject to local zoning ordinances. This of course be an advantage or disadvantage depending on the agenda and intentions of the owner. The Jam Factory is supported by a private donor who does not primarily expect the return of money and is motivated by his personal passion for history and the possibility to foster social and cultural change. This is a very unique situation, especially in Ukraine. In most cases the owners of similar sites are not cooperative and reluctant about the creative industries and revitalization. The specific **culture of privatism** – the concentration of power in hands of the owner and lack of cooperation and even a dialogue – is very widespread problem in Ukraine and elsewhere.

After the former factory was abandoned in 2008, the Austrian historian and private donor Harald Binder, well-known in Lviv as a founder of the Centre for Urban History of East Central Europe, institution of research and public history, bought the Jam Factory site and initiated its revitalization through the Harald Binder Cultural Enterprises (HBCE). A team was created to pursue the regeneration of the site, that evolved to take up more responsibilities, moving away from a highly centralized decision-making.

In 2011 the revitalization of the Jam Factory was included in the program of Pidzamche district revitalization developed by the City Institute (Lviv) and Institute of Urban and Regional Development (Krakow). Even though no practical steps followed from the side of the municipality, the program was a symbolic recognition of the importance of the project for the future of the district.

Bozhena Zakaliuzhna (Pelenska), Lviv art curator and activist, organized the international workshop “Regeneration of Industrial Buildings in Ukraine”, where invited experts shared their experience and also drafted some initial ideas for the Jam Factory in 2014. The event created buzz around the project, awareness with potential users and the municipality, and it promoted the idea of the art centre in the building. The first experimental test events started while renovating the complex. The main aim of these activities is a gradual change in the neighbourhood and more sensitive and organic development. And it provided the opportunity to set the future agenda. At the same time, research was conducted on the history of the project, in which local residents and former employees of

the Jam Factory were engaged. Partnerships were made on a local and international level and the European Trans Europe Halles network was joined.

Purpose:

- Establishing a centre for (independent) cultural and artistic activities and contemporary art with educational programming

Innovative Features:

- Private donor: The Jam Factory is supported by the private donor who does not necessarily expect the return of money and is motivated by the possibility to foster social and cultural change.
- Starting the development of the renovation project without a definite programme as a part of longer process of searching for the identity of the future Centre. The institutions of contemporary art are few in Ukraine and non- existent in Lviv. Therefore, it was important to have the period of creative improvising about the future and brainstorming with different specialists who were invited to give advice.
- testing uses: Testing uses before the renovation became one of the tools for the Jam Factory team. Initially thinking of the future Centre as an art cluster with several resident organizations and independent artists, the Jam Factory team invited other actors to have their events in the temporary building, in many cases for free.
- Organizing events; Educational events and educational theatre program Black Box started in 2018. It grew out of the feeling that there is a great lack of understanding what contemporary art is in Ukrainian context.
- no established policies but positive energy
  Overall, it is fully legitimate to underline that the Jam Factory project is developing in the situation where there are no established and systematic urban policies related to revitalization and adaptive reuse, but there are several successful projects, some enthusiastic heritage community, lively international cooperation, and positive personal attitude of the key members of the current mayor's team to the ideas of adaptive reuse and creative industries.
- gradual and "organic" development of the adaptive reuse project
- Jam factory as a pioneering adaptive reuse project in Ukraine

Key Conditions of the Model:

- **Internal conditions:**
  - **Actors:**
    - Bozhena Zakaliuzhna (co-initiator) with expertise with artinstitutions in local context, who together with the owner could draw a long-term strategy.
    - Austrian donor Harald Binder who is the owner, driven by a passion for history and social change. He takes part in all the processes and decision-making and hast the last say in everything.
    - Small team of dedicated people

- Grant recipients and Local residents

- **Institutions/Rules**
  - Overall, it is fully legitimate to underline that the Jam Factory project is developing in the situation where there are no established and systematic urban policies related to revitalization and adaptive reuse, but there are several successful projects, some enthusiastic heritage community, lively international cooperation, and positive personal attitude of the key members of the current mayor's team to the ideas of adaptive reuse and creative industries

- **Resources:**
  - Harald Binder Cultural Enterprises annual grant program, to attract local and international artists
  - becoming self-sufficient is one of the important tasks. The project includes a restaurant and a small bar that should bring a profit, as well as space lease, tickets or books

- **External conditions:**

  - **Actors:**
    - Municipality of Leviv, they are supportive of the program, but due to the beurocatric nature everything goes very slow.
    - the Department for the Protection of Historical Environment - positively oriented towards adaptive reuse, quite open-minded and cooperative. In the last years, they managed to gain positive reputation and communicate proactively with the monuments' owners
    - external experts (architects, historians, contractors, …)
    - international network, Trans Europe Halles network.

  - **Institutions/Rules**

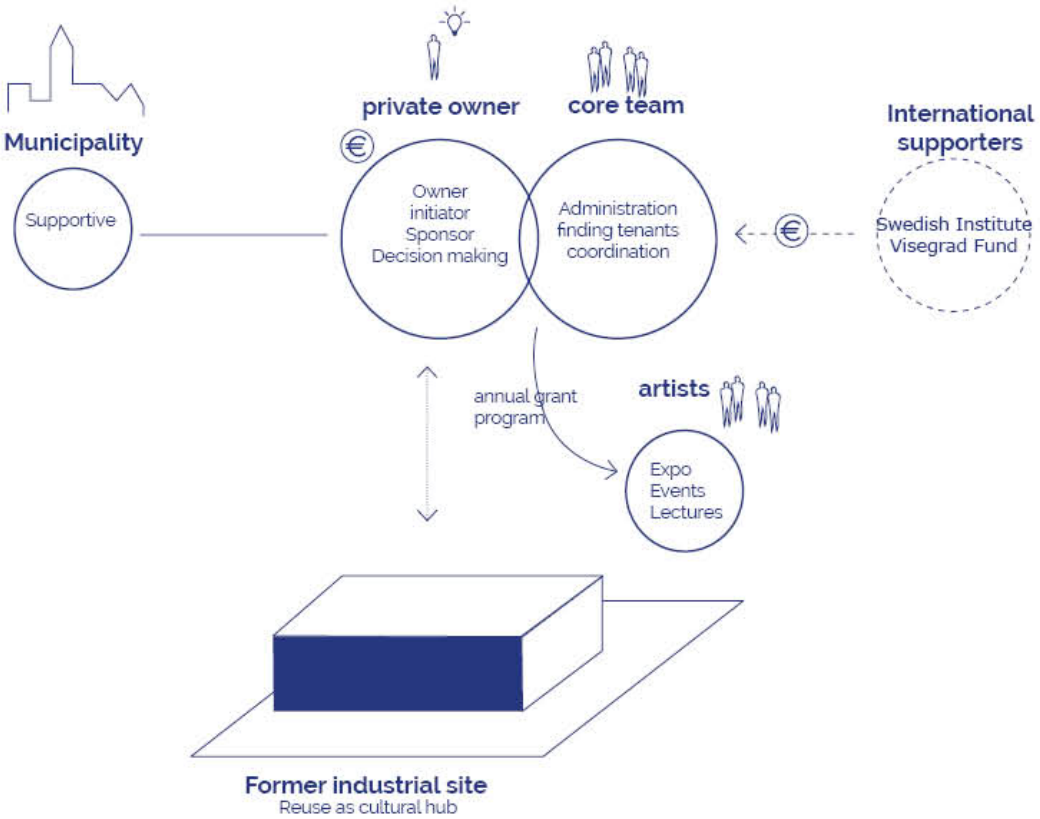
    - A strategic development plan: the "Program of Revitalization of Pidzamche" developed by researcher from Krakow and Lviv. This program has put Jam factory on the map as a strategic location. This program remains an important document for the municipality and City Institute, but rather as a general idea/direction of development and not as a comprehensive practical program with defined steps and strict monitoring.
    - Another program of international cooperation, very important for the revitalization of Pidzamche heritage, was "Municipal Development and Rehabilitation of the Old City of Lviv" (2009-2018), carried out by the Lviv municipality (specifically the Department of Protection of the Historical Environment) and GIZ - Deutsche Gesellschaft für Internationale Zusammenarbeit. This project helped to draft new plans of urban development and heritage revitalization, educate new generations of experts and practitioners for renovation works. GIZ experts act as mediators in the making of the dialogue

between different stakeholders, such as owners, tenants, municipality, and investors.

- **Resources:**
  - the grant from the Polish Development Aid
  - Visegrad Fund
  - Swedish Institute (European Commission)
  - fund raising via crowdfunding platforms

OPEN HERITAGE

People. Places. Potential.



Graphic 8:

Private Ownership

Model at Jam Factory

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 776766

5.5 The regulation of the commons model – Scugnizzo Liberato

In Italy, the ownership model of the commons is based on the **constitutionally granted access to "common goods" for "civic use"** (art. 43 of the Italian constitution). It refers to a collective and free use of (public or private) spaces and assets and **allows communities of use to manage these resources**. In recent years, this constitutional right has found its way into local acts, as in the case of Naples, that guarantees the local community's right "to benefit from (state, local or private) lands, water and forest … subject to construction and privatization restrictions" (Local act no. 458, 2017). In 2011, Naples included the legal notion of the common goods (art. 3., c.2) into its Municipality Statute and established a department of Town Planning and Common Goods, the first of its kind in Italy. The Laboratory for Common Goods was subsequently established in 2012 to support bottom-up initiatives of citizens to regenerate and care for the common goods. This was accompanied by a policy, the **Regulation of the Common Goods** that was approved the same year which set principles for the governance and management of common goods, i.e. in conjunction with the municipality. In 2013, the founding of an Observatory of the Common Goods, composed of independent experts, supports existing commons and keeps an inventory of other assets for possible common good regulations and networking.

It was within this context, that in 2015, the informal occupation of the 16th century site of the former convent and later youth asylum could become formalized and receive municipal support for its activities and recognized as a site of free access and for the enjoyment of common goods. This formalization, however, recognizes the "informal community" of the civic use that is involved in the care and development of the site. The municipality covers expenses for the maintenance, the property remains public.

Three key condition for this model are first, the legal basis recognizing "common goods", a collaborative municipality that is willing to work with that framework, second, an active citizenry that is willing and capable to engage in such "informal" acts of collaboration. And finally, a condition for taking over the asset is that the Scugnizzo Liberato has been abandoned and unused for years.

Purpose:

- Establishing a civic and neighbourhood centre for cultural activities and social encounters

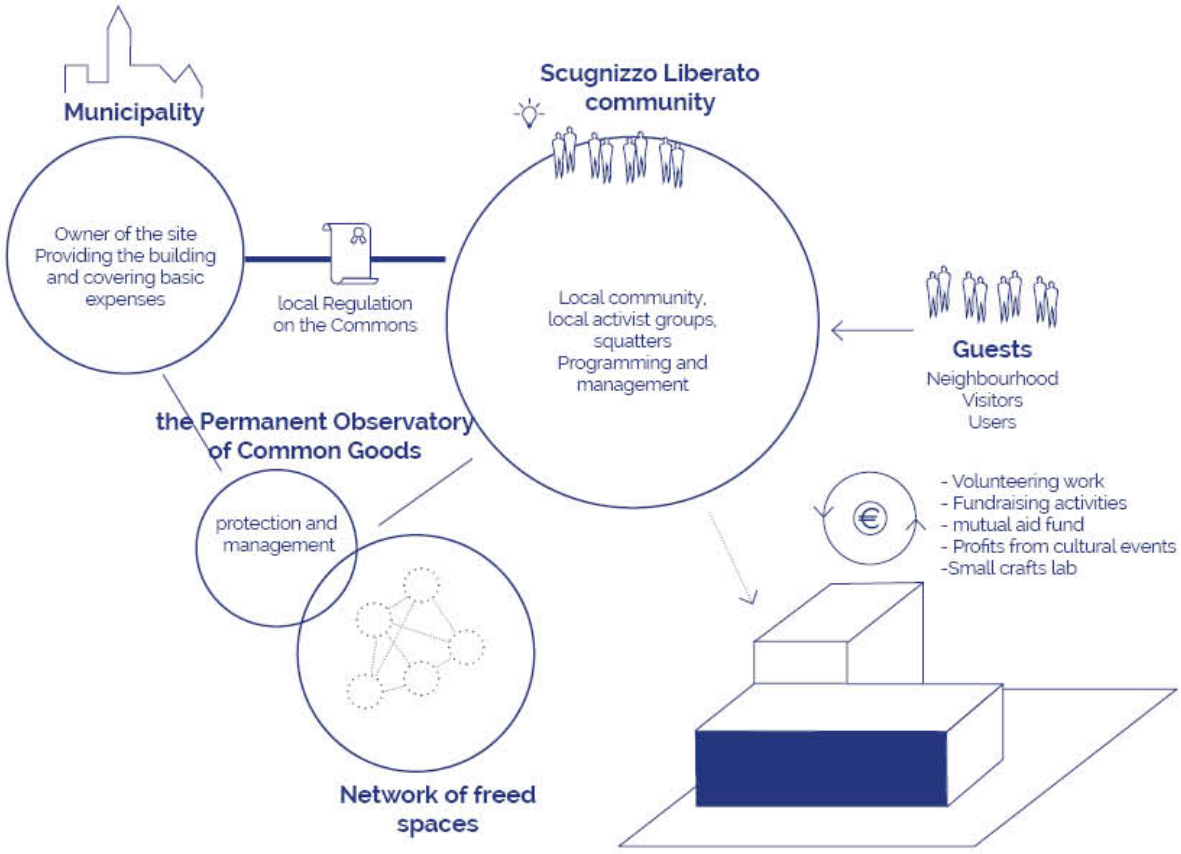
This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 776766

Innovative Features:

- 1. Recognition of the civic use and management of an asset by an "informal" community, reocognition of self-organization of civic actors.
- 2. Support through the municipality for the governance of common goods. Making available assets (public and private) that have been abandoned, unused or underused (through the Permanent Observatory of Common Goods), covering basic expenses, and promoting connections among associations and networks.

Key Conditions of the Model:

- **Internal conditions:**
    - **Actors:**
        - Local community, local activist groups, squatters
        - Municipality
    - **Institutions/Rules**
        - Internal rules and regular plenary meetings and working groups.
    - **Resources:**
        - Volunteering work
        - Fundraising activities and mutual aid fund
        - Profits from cultural events
        - Small crafts lab that offer workshops and products for sale
- **External conditions:**
    - **Actors:**
        - Municipality of Naples
        - Permanent Observatory on Common Goods
    - **Institutions/Rules**
        - Naples Regulation of the Commons
        - Declaration of the Urban and Civic and Collective Use written by Scugnizzo Liberato community and adopted by the council of the municipality (set of rule to access, program and develop activities)
    - **Resources:**
        - "ordinary expenses" (maintenance work, utilities and security guards) and some renovation work



Graphic 9:

Regulation of the Commons

Model at Scugnizzo Liberato

6 Outlook

Our proposal for the Open Heritage project is to further discuss these models in view of their conceptualizations and their representation in graphics and (the exemplary) fact sheets (see also appendix). These models could be subject to debate particularly within the Open Heritage task forces. Possibly, refined representations of these models could be disseminated to practitioners, policy-makers, and scholars as part of the "Dissemination and knowledge sharing strategy" (D6.1).

Future debate on these models should critically analyse the conditions and potentials for transferring the models described from one context (e.g. country) to another. The transferability matrix (D3.7) can be elaborated on the basis of these models. Moreover, the governance models provide input for the development of the "Finalized report on the European adaptive reuse management practices" (3.6); "Recommendations and suggested roadmap for the EU" (D3.8) as well as "Guidelines for public-private-people partnerships in adaptive heritage reuse" (D5.4).

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Appendix / Sample Fact Sheet:

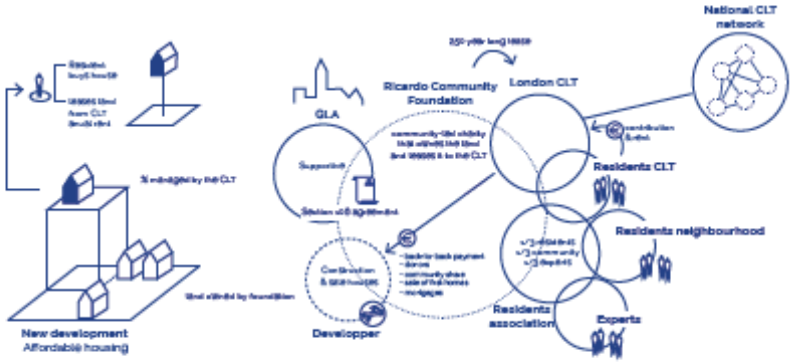
CLT – ST CLEMENS SITE LONDON

SHORT DESCRIPTION

Community Land Trusts are a model of community-led development, where local organisations 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. Each CLT has a different governance system but they all share some characteristics: they are controlled by local residents in a democratic fashion. 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 organisations 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

PURPOSE

offer affordable housing and long-term rentals to residents who could no longer live in the area due to displacement and housing unaffordability trends.



INNOVATIVE FEATURES:

- Public-Private-Civic-Partnership at London CLT where CLT model is used to provide 30% of the needed social housing according to the housing act.
- At the city level, London CLT has created a precedent to showcase how CLTs can work in an urban setting, under strong real estate pressure.

KEY QUALITIES AND CONDITIONS OF THE MODEL

INTERNAL

- Citizens UK, CLT London, residents themselves
- Residents' association
- the Ricardo Community Foundation made up of different stakeholders on the site, including Peabody, the CLT, the local council, the Greater London Authority, Lindën Homes, Galliford Try and the residents' management company.
- London Community Land Trust: A local CLT organisation as initiator or technical advisor that supports communities

- The St Clemens site is subject to a Section 106 agreement that means that new developments should have 30% affordable housing. In such cases, the developer is obliged to build affordable homes as well, and then looks for a housing association or similar organisation to take on those housing units. The CLT homes are part of this 30% that could otherwise be shared ownership homes.

- Community shares?
- The large scale site

INTERNAL

- GLA (Greater London Authority) was very supportive, The gentrification and affordability problem of East London has been one of the main motivations to develop a CLT in the area.
- Lindën Homes real estate developer
- Peabody, a social housing association.
- Supportive community
- Shuffle (not for profit organisation) not-for-profit organised a series of festivals in and around the St Clements site
- National CLT Network: a nation-wide network representing the interests of CLTs across the UK.

- Section 106 agreement that means that new developments should have 30% affordable housing.

- Mortgages are another important source of funding for CLTs, on the buyers' side: the Ecology Building Society and Triodos Bank
- back-to-back payment scheme: London CLT purchases the properties from Lindën, however not with London CLT's own money but with the money of the residents who will move in. It is a back-to-back payment scheme where the resident pays London CLT and London CLT pays Lindën. > same as sale of first homes?
- social investment from large donors or community shares.
- core team financed by the Oak Foundation and additional support the National CLT Network gave the London CLT a £10,000 catalyst grant for capacity building.

TRANSFERABILITY

(what makes this model transferable to other european countries >Add pictures + references in other countries)