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UNIVERSITÉ PARIS 1 PANTHÉON-SORBONNE

École doctorale d'Économie Panthéon-Sorbonne

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Pour l'obtention du
DOCTORAT EN SCIENCES ÉCONOMIQUES

THE EVALUATION OF THE SOCIAL IMPACTS OF CULTURE

Culture, Arts and Development

Présentée et soutenue publiquement par Margarida AZEVEDO

Le 21 novembre 2016

Sous la direction du professeur Xavier GREFFE

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‘Palavras com seu peso, apaixonadas
pelo seu peso.
Palavras que demoram nas fronteiras do solo,
Palavras trabalhadas pelo vento,
Palavras com sede como a água’

António Ramos Rosa

Ao meu marido, Duarte

Aos meus pais e irmãos

List of contents

SUMMARY ..... **IX**

CHAPTER 1. CULTURE, ARTS AND DEVELOPMENT – THE TERRITORIAL DYNAMICS AND THE SOCIAL CLAIM **2**

Introduction *2*

1.1. CULTURE AND THE ARTS – CONCEPTUAL DEBATE 2

1.2. CULTURE AND DEVELOPMENT 5

1.2.1. The political framework *5*

1.2.2. The theoretical contributions *10*

1.3. CULTURAL-BASED DEVELOPMENT DYNAMICS 18

1.3.1. The novelty of the phenomenon *18*

1.3.2. The assessments of the contributions *21*

1.3.3.The social claim *24*

Conclusion *27*

CHAPTER 2. THE ASSESSMENT OF THE SOCIAL IMPACTS OF CULTURE **29**

Introduction *29*

2.1. CONCEPTUAL GROUNDS 29

2.2. CURRENT PRACTICES OF THE SOCIAL IMPACT ASSESSMENT OF CULTURAL ACTIVITIES 32

2.2.1. Framework of the literature review *32*

2.2.2. The literature review findings *32*

2.3. REVIEW CONSIDERATIONS ON THE ASSESSMENT OF SOCIAL IMPACT 62

Conclusion *72*

CHAPTER 3. BUILDING COMMUNITY-LEVEL SOCIAL VALUES THROUGH CULTURE AND THE ARTS: A THEORETICAL APPROACH **74**

Introduction *74*

3.1. THE PROPAGATION OF CULTURE AND THE ARTS IMPACTS TOWARDS A COMMUNITY-LEVEL: OTHER THEORETICAL CONTRIBUTIONS 75

3.2. A POTENTIAL CHAIN OF CULTURAL ACTIVITIES COMMUNITY-LEVEL SOCIAL IMPACTS 80

3.3. SOCIAL CAPITAL AS A STRATEGY FOR SUSTAINABLE COMMUNITY DEVELOPMENT 89

Conclusion *91*

CHAPTER 4. AN EMPIRICAL APPROACH: THE ROLE OF CULTURE FOR CRIME REDUCTION - THE CASE OF GUIMARÃES EUROPEAN CAPITAL OF CULTURE **94**

The outline *94*

4.1. THE EUROPEAN CAPITAL OF CULTURE INITIATIVE 99

4.1.1.The Programme *99*

4.1.2. The Evaluation Practices *103*

4.2. GUIMARÃES 2012 105

4.2.1. The city of Guimarães *105*

4.2.2. Guimarães 2012: The nomination and the programme *106*

4.2.3. Guimarães 2012: The evaluation reports *109*

4.3. THE EMPIRICAL APPROACH: THE IMPACT OF GUIMARÃES 2012 ON CRIME LEVEL 113

4.3.1. The methodology *114*

4.3.2. The data *119*

4.3.3. The results *123*

4.3.4. The robustness check *126*

4.3.5. The external validity *127*

The discussion *133*

CHAPTER 5. AN EMPIRICAL APPROACH: THE ROLE OF CULTURE ON LEISURE TIME FOR CITIZENSHIP EDUCATION - SESC SÃO PAULO STRATEGY 135
The outline 135
5.1. THE SOCIAL SERVICE OF COMMERCE – SESC IN SÃO PAULO 138
5.1.1. The city of São Paulo 138
5.1.2. The Social Service of Commerce - SESC 140
5.1.3. Sesc São Paulo – historical development 141
5.2. SESC SÃO PAULO PROGRAMMATIC EDUCATION STRATEGY FOR CITIZENSHIP: THE ROLE OF LEISURE AND CULTURE ACTIVITIES 148
5.2.1. What prompted the integration of leisure and culture into Sesc São Paulo programmatic strategy? 149
5.2.2. What are the mechanisms and drivers encountered in the Sesc São Paulo strategy through which cultural and leisure activities can have a role in citizenship? 154
5.3. THE EMPIRICAL APPROACH: THE ROLE OF CULTURAL PARTICIPATION ON SOCIAL CAPITAL AND COMMUNITY INVOLVEMENT BY OBSERVING THE SESC ITAQUERA AUDIENCE 161
5.3.1. The data and statistical methods 165
5.3.2. The results 171
The discussion 179

CHAPTER 6. CULTURE, ARTS AND DEVELOPMENT – FINAL CONSIDERATIONS 184

REFERENCES 190
ANNEX 1. THE ECONOMIC APPRAISALS LITERATURE REVIEW 213
ANNEX 2. THE SOCIAL IMPACTS LITERATURE REVIEW 230
ANNEX 3. THE VALUE AND IMPACTS OF ARTS AND CULTURE, MAJOR REVIEWS 277
ANNEX 4. 'GUIMARÃES 2012' AND 'TURKU 2011' THE CHARACTERISTICS, OUTPUTS AND OUTCOMES OF THE EUROPEAN CAPITALS OF CULTURE 281
ANNEX 5. CHRONOLOGY OF SESC SÃO PAULO 285
ANNEX 6. INTERVIEWS WITH PROFESSIONALS OF SESC SÃO PAULO HELD IN MARS 2015 293
ANNEX 7. QUESTIONNAIRES CONDUCTED IN SESC ITAQUERA 296

List of Tables

Figure 1 - Categorisation of the documents reviewed 34
Figure 2 - Cultural inputs according to the purpose of the studies 39
Figure 3 - Data collection methods and methodological approaches 52
Figure 4 - General response chain of individual social change 66
Figure 5 - Methodological challenges of the social impact assessment process 70
Figure 6 - Chain of cultural activities community-level social impacts 82
Figure 7 - Fountain Hacks Guimarães 2012 109
Figure 8 - Guimarães 2012 mechanisms of impact on crime 114
Figure 9 - The Portuguese municipalities: the treatment and control groups 118
Figure 10 - Guimarães 2012 alternative mechanism of impact on crime 131
Figure 11 - Sesc Vila Mariana (vertical unit) 146
Figure 12 – Map of Sesc units in São Paulo municipality and neighbourhood areas 147
Figure 16 - Sesc São Paulo strategy for social-education and citizenship 161
Figure 17 - Levels of engagement in cultural and leisure activities 168
Figure 18 -Levels of physical activities 169
Figure 20 - Sesc Itaquera 182

List of Tables

Table 1 - Impact areas explored 43
Table 2 - Analysis length 51
Table 3 – The progress of the European Capital of Culture programme over the years 100
Table 4 – Definitions of crime indicators 120
Table 5 - Descriptive Statistics 122
Table 6 - The impact of Guimarães 2012 on municipalities' crime (2008-2013) 123
Table 7 - The impact of Guimarães 2012 on 'crime against patrimony' (2008-2014) 126
Table 8 - List of control variables 170
Table 9 - The incident rate ratios of involvement in community groups according to levels of engagement in cultural and leisure activities 173
Table 10 - The odds ratio of having an aptitude for volunteering according to levels of engagement in cultural and leisure activities 175
Table 11 - The odds ratio of community involvement according to levels of engagement in cultural and leisure activities 177
Table 12 - The likelihood of civic engagement according to the levels of engagement in Sesc Itaquera 179

Summary

In recent decades, with the collapse of industrial and manufacturing models of economic organisation, urban societies have been facing major cultural, social, environmental and economic challenges and have been adopting new paradigms of development entailing social and intangible dimensions into the framework of what accounts for growth. Moreover, and although the literature shows the instrumentalism of culture is an old debate and not a result of funding deterioration, it was within these new paradigms of development, oriented towards a human-based-approach and sustainable outcomes that the value of culture was recognised and introduced into development frameworks and policies.

*

The introductory chapter of this study **(Chapter 1)** explores how the role of culture in development has been theoretically interpreted, politically implemented and analytically measured.

It reports on how since the late 90's numerous cultural-based local dynamics have emerged as supportive tools for economic and social development, urban regeneration and the quality of life. These dynamics exploit cultural assets as opportunities to produce and export high value products, services and experiences, through the symbols and knowledge these assets convey. In addition, it also describes how the efforts made by political, theoretical and institutional rationales in attempting to interpret and assess culture as a driver of local development have been oriented to economic and tangible appraisals.

Nevertheless, despite the excessive tendency for tangible measurements, historic arguments have been advocating that monetary appraisals produce a distorted picture of the actual value of culture to society, as they are unable to understand how these activities enrich societies and individuals. Indeed, given the fact that culture comes into development frameworks due to its symbolic meaning and traits, interpreting its values with monetary figures is inadequate to apprehending the externalities attached to culture and the arts.

This research then, is driven by the need for a multidisciplinary theoretical and empirical debate which elucidates the more social and intangible aspects of the cultural sector's role in development so as to build more consistent development policies. Consequently, the research was presented in the following chapters:

The assessment of the social impacts of culture (Chapter 2)

Having laid out the importance of exploring the social impacts produced by cultural activities, as the starting point this chapter comprises a review of the extensive bibliographical corpus of social impact studies that account for the

effects of cultural activities on individual and community social development. Through consulting the social empirical work in the cultural sector it highlighted the type of documents produced, the cultural inputs and drivers of the recognised effects, the outcome areas of impact covered, the main data collection methods and the methodological approaches used. From the methodological perspective this review identifies a list of methodological challenges of social impact assessment - the homogeneity of treatment, the homogeneity of effects, the linearity, the causality, the isolation and the sustainability of the effects.

This chapter concludes that social impact assessment has been more oriented to understanding individual extrinsic impacts of cultural activity (cognitive development, physical health and wellbeing) than its capacity for collective change (in building social capital and community cohesion); and encounters the same bias when examining the channels through which culture produces impacts, where the mechanisms have been more in regard to the individual than the collective level. Additionally, this examination concludes that social impact practices weigh more on accountability purposes than on learning goals, in the sense that the dimensions that tend to be more scrutinised are those in which interventions tend to be more subsidised (impacts on education and health).

To close this chapter, it first argued that the tendentiously ignored impacts and mechanisms of collective transformation were previously perceived as the ones more capable of leading to a territory's social and economic development - Maridal demonstrated that the role of culture on development is more efficiently prompted by the community-oriented values than by other channels of individual motivation (Maridal 2013); second, impact appraisals should not be about producing blind evidence of successful outcomes at any cost, but learning about the process of change and understanding the transfer mechanisms. Therefore, the subsequent research focuses on proposing new theoretical frameworks and empirical approaches that interpret culture community-level social impacts.

Building community-level social values through culture and the arts: a theoretical approach (Chapter 3)

In order to interpret how culture produces social impacts at a collective level, this chapter proposes a theoretical chain of cultural activities on community-level social impacts, by aligning a set of social capacities induced by culture.

Therefore, grounded on other theoretical contributions on the impact propagation and based on identified categories of collective level impacts, this chain explores how the individual impacts of cultural activities propagate into the collective sphere, ranging from the primary intrinsic individual effects to the public significance of the promotion of extrinsic collective effects. Through the development process chain it was possible to identify specific drivers brought about by the arts and culture, namely opportunities for communication and social interaction which can trigger social capacities.

In this regard, the proposed theoretical framework highlights culture's main function in sustainable development consists in its ability to stimulate a system of networks, especially through building social capital and enhancing leadership and organisational skills which can forge bottom-up process of collective action and revitalisation. It describes how the final stage of the chain of community-level social impacts – the 'community revitalisation' – requires long-term cross-sector cooperation, which can be accomplished by the capacity of culture to transversally convey symbolic values into the different sectors of the society.
Therefore, cultural assets, through a system of meanings and symbols, can not only produce and export high value products and experiences, but can also induce a transversal and on-going process of social learning capable of prompting community oriented action and hence be an alternative strategy for the traditional models of growth.

Acknowledging that it is very difficult to isolate and to convert all the intangible layers of potential community-level social impacts into dimensions that are analytically useful, the subsequent chapters select specific measurement indicators and particular case studies among the identified categories of social capacities, in order to develop empirical approaches able to assess the construction of community social values induced by cultural activities.
These case studies seek to provide new perspectives of measurement, by borrowing analysis models from the economic sphere, that meet the identified methodological challenges of social impact assessment (Chapter 2). Moreover, they intend to identify new mechanisms and drivers of social capacity created by different cultural inputs.

- **Empirical approach: The role of culture for crime reduction - the case of Guimarães European Capital of Culture (Chapter 4)**

The first case study uses crime level as an indicator of community social revitalisation, with Guimarães 2012 European Capital of Culture as the cultural programme of observation. The paper concludes that intensive cultural-based programmes like the European Capital of Culture can have a civilising role, by creating opportunities for the development of more community oriented value systems and a 'healthy' community environment, which can act against anti-social behaviour and thus decrease criminal activity. Nevertheless, the paper alerts that processes of generalization of the results have to be treated with care, considering the existing socio-economic and cultural context, the fulfilment of the cultural programme factors of effectiveness and the local agents capability of commitment with long-term strategies of development.
The first paper was able to overcome the 'linearity of effects', the 'sustainability of the effects', the 'isolation of the effects', the 'causality of the effects' and the 'homogeneity of effects'. The objective of this work was to propose an empirical approach able to establish a causal relationship between a cultural programme

and an intangible form of community revitalisation through a very concrete identification strategy, and in this respect the objective was achieved.

- **An empirical approach: the role of culture on leisure time for citizenship education - Sesc São Paulo strategy (Chapter 5)**

The second case study identifies 'social capital' and 'community involvement' as the social dimensions of interest to account for community social value, by observing Sesc São Paulo as the object of analysis due to its very specific strategy of incorporating culture and leisure activities in promoting citizenship and socio-education. First, this study qualitatively describes the Sesc São Paulo strategy for educating and empowering individuals for citizenship, by imparting community-oriented values and fostering social capital through informal free time learning opportunities created by culture and leisure activities. Second, by analysing a specific audience (Sesc Itaquera), it quantitatively infers that cultural activities compared to other free-time leisure activities are more significantly associated with social capacities for citizenship. Results also point out that in Itaquera, the Sesc São Paulo programmatic strategy for social-education and citizenship is failing.

The second paper was able to overcome the 'homogeneity of the treatment' and the 'homogeneity of the effects'.

*

Culture, Arts and Development (Chapter 6)

Having shown that culture and the arts functions within sustainable development should not only be attached to economic externalities but also by other social intangible externalities, the last chapter describes some final considerations on how to exploit culture and the arts role in development in order to build coherent theoretical frameworks, more rigorous empirical approaches and stronger policies and institutional strategies.

Chapter 1. Culture, Arts and Development – the territorial dynamics and the social claim

Introduction

This first chapter paints a detailed picture of the research background. Although the aim of this study is to assess and debate the role of culture in producing social impacts, it is necessary to begin with a conceptual explanation of the meaning(s) of culture and of its role(s) in development. Accordingly, this chapter goes beyond the 'culture and arts' conceptual debate. It explores the recognition and integration of culture's value into sustainable development frameworks in both political and theoretical dimensions, discussing the instrumental policy of culture and its interpretations. It then examines more recent cultural-based development strategies of growth, the magnitude of which has been claimed by an enormous rationale of impact assessment studies focused on economic effects, to the detriment of the social discussion.

1.1. Culture and the Arts – conceptual debate

Culture has different significances according to the period, the language and the analytical approach, making the concept a very complex one (Eagleton 2001). For example, archaeological references to culture are based on material work, while historical indications are built on symbolic elements. For Max Weber, 'Culture' (*Kultur*) is the most fundamental concept of a social construct: culture is founded on value, a 'value-concept,' and is defined as the finite segment of reality on which people can confer significance and meaning (Weber 1958).

The Latin origin of the term is *colere*, and has different meanings – cultivating, protecting, inhabiting, worshipping (Williams 1976). Some of these developed separate meanings: 'inhabit' evolved from the Latin *colonus* for colonialism and 'worship' developed through the Latin *cultus* to the religious significance of cult (Eagleton 2001). Yet, the primary meaning of 'culture' was attached to the material process of natural growth, husbandry and agricultural cultivating. Only after the 18th century, with the beginning of the incorporation of human development in reflections on growth, did the concept of 'culture' gain its first independent connotation (yet very cautiously), by being a metaphoric transposition from a physical to a social/educational sense of mind and spirit, of "an abstract process or the product of such process" (Williams 1976:88). At this period 'culture' appeared as something closely connected with civilization, both in the abstract process of becoming civilized and in the general sense of self-development linked to the Enlightenment (Williams 1976), although Herder in his work *Ideas on the Philosophy of the History of Mankind* (1784–91) argued in regard to culture "nothing is more indeterminate than this word, and nothing

more deceptive than its application to all nations and periods." According to Williams, this author was crucial to culture emerging as a distinct word from 'civilization' (almost an antonym). In fact, Herder is considered the first to use the concept in the modern sense of an identity construct, differentiating that "civilization played down national differences whereas 'culture' highlighted them" (Eagleton 2001:9). Therefore, a dominant (not exceptional) distinction grew between culture and civilization, 'culture' being organic and spiritual and 'civilization' mechanical and material. This emerging construct of an abstract and independent 'culture' concept was exploited throughout the 19th and 20th century.

More than three decades ago, Raymond Williams argued that the modern development and usage of the word 'culture' could be divided into three categories: the abstract process of 'intellectual, spiritual and aesthetic development'; the pluralized appropriation, introducing culture (identities) as a distinctive way of life (based on Herder's contribution); and the specialization and shrinking of the word towards the arts, as an abstract concept that describes the practices of intellectual and artistic work and the body of value created by its institutions (Williams 1976). The author later adjusted this classification in his book *Culture*, by identifying four contemporary appropriations of culture: a developed state of mind and knowledge – a 'person of culture'; the process of developing it – as in 'cultural activities'; the means of this process – as 'the arts' and 'the human intellectual works' and the construct of the social system - 'a whole way of life' (Williams 1981). From this conceptual debate with overlapping meanings which are sometimes difficult to separate, two main contemporary connotations emerged and became more currently used (Throsby 2001)(Greffe 2010)(Dessein et al. 2015).

The first, broader sense, qualified the anthropologic approach and connected to Williams' 'way of life,' saw in culture the gathering of values, references and behaviours which define the relationships between individuals and communities: "the set of values, norms or benchmarks that define the state of social relations, shared goals, cooperative behaviour and reciprocity among individuals and communities within a given society" (Greffe and Pflieger 2005:27). Culture is understood here as a lifestyle and a system of knowledge, formed and shared by a group of people, fostering a sense of identity transmitted from generation to generation, fruits of symbolic communication and imitation processes reinforced by local institutions. This interpretation is followed by many policy conventions and declarations, as in the *Universal Declaration on Cultural Diversity* where "Culture should be regarded as the set of distinctive spiritual, material, intellectual and emotional features of a society or social group, and that it encompasses, in addition to art and literature, lifestyles, ways of living together, value systems, traditions and beliefs" (UNESCO 2011:4).

A second more restricted sense, qualified as the sectorial approach, comprises culture in artistic activities that allow interpreting, representing and

disseminating new values (Greffe 2010). This approach is related to both Williams' interpretations of the process of intellectual and aesthetic development and the means of this process - cultural activities and the arts. Contrary to the first approach which concerns an intellectual construct used to describe human behaviour, this second one makes use of intellectual work for the creation of new meaning through artistic activities.

In fact, the cultural activities construct, what is encompassed in the cultural sector, is a never-ending debate. 'Culture and the Arts' are terms usually used as if both have the same meaning (as we will see in the bibliography review of Chapter 2), although the arts are at the centre of culture conceptualization and culture surpasses the artistic domain by emphasising themes of education, religion, history, values, beliefs and information (Greffe 2010). As Dunlop et al. said, "Many different terms are commonly used to refer to cultural activities, including the arts, the cultural sector, the cultural and the creative industries. But even the meanings of these terms are shifting, context specific, and, therefore, ambiguous" (Dunlop et al. 2004:6). The recent association of cultural sector segments with 'industry,' brought by the economic recognition and assessment of the sector, widened the boundaries of the concept and of the discussion (Pires 2012). Both KEA (2006) for the European Commission and UNCTAD (2008) for UNESCO, developed the delineation of the 'Cultural and Creative Sector' based on the *Concentric Circles Model*, which was first introduced into the cultural industries terminology by Throsby (2001).

Throsby's concentric-circle model of cultural industries is based on the definition of cultural commodities, which states the cultural goods and services involve three characteristics: "that the activities concerned involve some form of creativity in their production, that they are concerned with the generation and communication of symbolic meaning, and that their output embodies, at least potentially, some form of intellectual property" (Throsby 2001:4). The traditionally defined arts – like dance, theatre, literature, music, and visual arts – all fit into this qualification. Throsby presents the model as centred at the origin of creative ideas[1] and radiating outwards as those ideas merged with other inputs to produce a broader range of products. So at the core of the 'industry model' lie the traditionally creative arts, which are followed in the widening circle by cultural industries, those industries whose output results in a cultural commodity, but where other non-cultural products and services are also included.

Furthermore, in the boundaries of these cultural industries are the creative industries "which operate essentially outside the cultural sphere but some of

[1] This idea can be compared to Bourdieu's mapping of the fields of cultural production –*The field of Cultural production: Essays on Art and Literature*.

whose product could be argued to have some degree of cultural content" (Thorsby 2001:113).

Therefore, the cultural sector presentation, based on Throsby's concentric-circle model, assumes that it is cultural capital that gives these border industries their competitive characteristic, "The model asserts that creative ideas originate in the core creative arts in the form of sound, text and image and that these ideas and influences diffuse outwards through a series of layers or 'concentric circles', with the proportion of cultural to commercial content decreasing as one moves further outwards from the centre" (UNCTAD 2008: 13). This idea of stimulating commercial content based on cultural capital exploitation will be re-addressed later on when presenting the cultural-based strategies of development.

For now, regarding the conceptual boundaries of the cultural sector, much more could be referred to, but the concern of this research project is not a conceptual one. While accepting that the boundaries of the cultural sector are still under debate, it acknowledges that they are attached to the context of their origin and, as argued by O'Connor, grounded in the economic interpretation of the sector:

> "From 'The Culture Industry' through the 'cultural industries', ending at the 'creative industries'. Its main theme is the tension between culture and economics, which lie at the heart of this terminology. This is not simply a question of 'art' and 'the market'; this is part of it, but the market in 'cultural commodities' has a long history and 'artists' have long been at home with it" (O'Connor 2007:7).

Nonetheless, this relationship between economics and culture will continue to be explored in the following sections, making the case for culture and other intangible elements as assets of the development frameworks.

1.2. Culture and Development

1.2.1. The political framework

In recent decades, with the collapse of industrial and manufacturing models, urban societies have been facing major cultural, social, environmental and economic challenges. The financial crisis, higher levels of unemployment and market instabilities (UNESCO 2011) set the economic global scenario, where the industrial and manufacturing model has been struggling to survive and reinvent itself as a competitive one, and where social problems such as insecurity, fragmentation, poverty, exclusion and isolation are increasing.

It is within this background, encumbered with deep socioeconomic transformations demanding new mechanisms of growth and governance, that social and intangible dimensions have been progressively recognised and introduced into the framework of what accounts for development.

Development, is not necessarily a continuous 'evolutionary path,' but it is a context specific term, that "entails intentional as well as unintentional processes of change and evolution towards a new situation that is better in social, cultural, and environmental terms" for the human condition (Dessein et al. 2015:21). In fact, what comprises growth and progress has been changing from a material view to a broader human-based-approach, where development includes other dimensions besides the economic ones (Neubert 2000) [2](Edwards et al. 2012)(R. Silva and Ferreira-Lopes 2013). The first Human Development Report (HDR) was released in 1990 by Mahbub ul Haq and Amartya Sen, with the goal of placing people at the centre of the development process and embracing a multiple dimension analysis of human life, based on Sen's 'capabilities approach' where income is not seen as an end in itself but a means to achieve wellbeing (Sen 1999). Twenty years later, the 2010 HDR set people's 'capabilities' as the core question of development processes, and defines 'human development' as "the expansion of people's freedoms to live long, healthy and creative lives; to advance other goals they have reason to value; and to engage actively in shaping development equitably and sustainably on a shared planet" (Klugman 2010). Yet, good intentions do not always get to see the light of day, and at the 2015 report on the 'Social Progress Index' the authors still felt the need to reaffirm the importance of the intangibles in what accounts for the development paradigm, by arguing "economic performance alone does not fully explain social progress"(Porter, Stern, and Green 2015:18).

The 'sustainable development' concept emerged in the 1970s along with this broader reflection on growth, although it was only first proposed and defined in the 1987 *World Commission on Environment and Development* to set a bridge between environmental issues and economic and social outcomes (Greffe 2012). Specifically, sustainable development was described in the resulting Brundtland Report, as "a process of change in which the exploitation of resources, the direction of investments, the orientation of technological development, and institutional change are made consistent with future as well as present needs," i.e., "meets the needs of the present without compromising the ability of future generations to meet their own" (World Commission on Environment and Development 1987:17). This first report was very significant as it set the ground for future work and programmes on sustainable issues[3].

---

[2] Following Neubert, the introduction of social indicators on the notion of development, and consequently on evaluation frameworks, took place after the speech of former World Bank President McNamara in 1973 in favour of the inclusion of social elements, and more precisely after the following publications of the World Bank; "Implementing Programs of Human Development" 1980, "Putting People first" (Cernea 1985) and "Listen to the people" (Salmen 1987).

[3] In 1992, at the Rio de Janeiro Conference on Environment and Development, the *Earth Summit*, the *Save our planet* programme was prepared, the first version of 'Agenda 21' was released and a *Commission on Sustainable Development* was established. At the 2002 *World Summit on Sustainable Development* in Johannesburg, the focus was on the actual governmental implementation of 'Agenda 21,' through the definition of the Millennium Development Goals. In 2012, the United Nations Conference on Sustainable Development, Rio+20, it was decided to set up sustainable development goals.

In turn, it was within these new paradigms of development oriented towards a human-based-approach and sustainable outcomes that the value of culture was recognised and introduced into development frameworks and policies.

The first document linking cultural development with sustainable development and encouraging the elaboration of cultural-based strategies at the local government level was the 'Agenda 21 for Culture', which was proposed at the first *World Meeting on Culture*, in Porto Alegre 2002. This important Agenda focuses on five main subjects: 'culture and human rights' – respect for cultural diversity and cultural rights as an integral part of human rights; 'culture and governance' – the relevance of culture being intertwined with other public policies in a process of joint citizens responsibility; 'culture, sustainability and territory' – the imperative of thinking about public spaces as cultural ecosystems with a diversity of agents and content; 'culture and social inclusion' – building audiences with equal opportunities and access at all stages of life; and 'culture and economy' – the economic dimensions of culture as a driver of job and wealth creation (United Cities and Local Governments 2004). This document was formally approved in 2004, by the *4th Forum of Local Authorities for Social Inclusion*, held in Barcelona, as part of the United Cities and Local Governments (UCLG).

In 2008, UNCTAD reaffirmed the importance of culture in sustainable development. "The tangible and intangible cultural capital of a community, a nation or a region of the world is something that must be preserved for future generations just as natural resources and ecosystems need to be safeguarded to ensure continuation of human life on the planet" (UNCTAD 2008:26).

In 2015, at the UCLG Culture Summit in Bilbao, the UCLG developed a new agenda – the 'Culture 21: Actions' as a supplement for the previous 'Agenda 21 for Culture.' This document was presented as a tool to provide guidelines for aligning public policies with cultural programmes at the local level, and identified nine main subjects of the commitment between state and society: 'cultural rights' – the promotion of active citizenship and the full recognition of cultural rights; 'heritage, diversity, and creativity' – the respect for diversity when exploring heritage and traditions to create new meanings; 'culture and education' – the development of cultural capacities to construct active citizenship; 'culture and environment' – the integration of cultural elements (such as knowledge, traditions and community practices) into local environmental sustainability strategies; 'culture and economy' – the contributions of the cultural sector to the local economy; 'culture, equality, and social inclusion' – the stimulation of cultural programmes on the prevention of exclusion; 'culture, urban planning, and public space' – local planning with cultural awareness and meaning; 'culture, information, and knowledge' – using technology to contribute to plurality and citizenship-building; and 'governance of culture' – the integration of culture into local sustainable development strategies in a shared governance (United Cities and Local Governments 2015).

The previous guidelines for cultural policy advocate for two contemporary interpretations of culture – anthropological and sectorial. For example, when promoting culture and environment, it's the anthropological dimension that makes its case, and when advocating for the role of culture in the economy it is the sectorial interpretation that explains the potential contributions to the economy (discussed later on). Therefore, it is difficult to disconnect these interpretations when exploring the role of culture in development.

Nevertheless, recent work of a European research network, supported by the COST Association team (European Cooperation in Science and Technology), explores the relationship between culture and sustainable development and identifies three not fully distinctive but interlocking roles culture has to play based on these interpretations (Dessein et al. 2015). The authors use the three-pillar model debate, the three traditional dimensions of sustainable development - social, economic and ecological - as a tool to explore the roles of culture, and acknowledge some shortcomings (specifically the non cross-sectorial interpretation) connected to it.

The anthropological appropriation of culture is connected to the role of 'culture *for* sustainable development,' where cultural values, contexts and expressions operate as drivers and mediators of growth and where "culture is the meaningful content of human societies and communities." (Dessein et al. 2015:30) In this perspective culture represents a set of references that determine attitudes and mediate development, so it is not an independent pillar of growth but has an intermediary function to the three traditional dimensions social, economic and ecological. Greffe defines this role of culture, as a central pillar within sustainable development, stating, "Culture shapes what we mean by development and determines how people act in the world" (Greffe 2012: 7). This author also argues for three structural consequences outlined by this view of culture as the principle of sustainable development: first, that sustainable development is deeper than modernization; second, cultural development is not restricted to top-down approaches as discussion is required for development; third, sustainability depends on how 'production cultures' and 'consumption cultures' adjust to the required social-political, ecological and technological dynamics (Greffe 2012).

The subsequent appropriation of the role of culture is attached to the sectorial dimension, the interpretation of culture as the ensemble of art activities and the value they create, 'culture *in* sustainable development' (Dessein et al. 2015). This role expands the conventional debate on culture's function in sustainable development by adding it as a fourth pillar in a self-standing role, along with the already established ecological (protection), social (justice) and economic (viability) pillars (Dessein et al. 2015). Greffe also explores this interpretation of culture as a fourth pillar within sustainable development, considering culture "as a set of specific activities involving heritage, using

specialized skills and processes and leading to the creation of symbols, goods and services" (Greffe 2012:8). Despite this perception of culture's autonomous function, the economic conception of development - where social welfare embodies products rather than rights (Gottlieb 1997) - is in reality still the dominant version of current policies out there (Greffe 2012). The development strategies reflect that the recognition of culture's value is not synonymous with an active incorporation. According to a UNESCO paper from 2011, in 2000 culture was not included in the proposed 2015 Millennium Development Goals and only ten years later did its value begin to be considered in development processes[4]. In the 2013 United Nations General Assembly, Ban Ki-moon (United Nations Secretary-General) warned that "too many well-intended development programmes have failed because they did not take cultural settings into account" (quoted by UNESCO & UNDP 2013:9).

The marginalization of the role of culture as an independent pillar is related to both a misinterpretation of culture and social concepts (Greffe 2012) and a misappropriation of culture that, even when recognised as an independent element, tends to be combined with social dimensions as it is difficult to isolate culture behaviour (in this case, socio-cultural sustainability) (Dessein et al. 2015). This challenging segmentation of the social and cultural pillars is due to the iterative and reciprocal links interlocking both segments: "culture constructs society but society also shapes culture…however, their different constituencies nevertheless allow for distinctive social and cultural dimensions in sustainability" – otherwise this whole research will not make sense (Dessein et al. 2015:25). Moreover, not only in development strategies, but also in the development of quantification frameworks we witness a slow integration of cultural into the accounts (Dessein et al. 2015). As Clifford Geertz said, "Cultural acts, the construction, apprehension, and utilization of symbolic forms, are social events like any other; they are as public as marriage and as observable as agriculture," but establishing limits to its effects and measuring them is of more difficult interpretation (Geertz 1973:91). In the recent 'Better Life Index,' proposed by OECD[5] (Organisation for Economic Cooperation and Development) to overcome the identified failures of GDP in capturing the full factors that influence people's lives, of the twenty-four indicators of wellbeing that comprise the index only one includes a cultural specificities - 'leisure activities.' In contrast, a more inclusive measure is the 'Canadian Index of Wellbeing' that comprises eight main domains, one of which is 'leisure and culture' and tracks eight indicators related to culture, heritage, arts and recreational activities (Smale 2010).

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[4] "In 2000, when world leaders committed to achieving the eight Millennium Development Goals by 2015, culture was not included – despite the considerable build up of interest and advocacy efforts during the 1990s. Ten years later, important opportunities to revisit development approaches and to strengthen the case for culture's value in development processes are emerging" (UNESCO 2011:6).

[5] Better Life Index: http://www.oecdbetterlifeindex.org/

The last role of culture within sustainable development presented by the COST team is 'culture as sustainable-development,' which sees sustainability as an on-going process, where culture (in a pluralistic sense) is described as an ideal of sustaining life, a process of social learning, communication and transformation, representing, "both problem and possibility, form and process, and concerns those issues, values, and means whereby a society or community may continue to exist" (Dessein et al. 2015:32). In this approach culture has an even broader and transversal interpretation, connected with the symbolic representation, according to which culture can draw on symbols as drivers of social relationships and behaviour (Dessein et al. 2015). The interpretation is connected to Geertz's semiotic definition, where culture is described as 'a system of meanings embodied in symbols, which provides people with a frame of reference to understand reality and animate their behaviour' (quoted by Narval Media, Birkbeck College, & Media Consulting Group 2009:9). In this sense culture can be viewed metaphorically as the 'glue' that sets the foundation at a profound level in society, impacting the entire range of human action and, therefore, mediating the transformation towards sustainable development.

1.2.2. The theoretical contributions

In parallel to the political discussion, the literature describes a long debate evidencing theoretical intellectual constructs that have explored the role of culture in the development of societies.

From the economic point of view when analysing culture from an anthropological approach as a construct of beliefs, practices and values, it is acknowledged that even though new paradigms of development have been fostered which consider culture as a significant element for growth, for some decades economists neglected culture as a difference maker in economic behaviour and prosperity. An interpretation that Jones has given is termed as 'cultural nullity,' meaning culture is something that does not exist (it is so marginal to economic concerns that it can be ignored as out of the picture) or does not matter (it is considered to exist, but is thought to be easily adjustable to economic change and so it is disregarded) (Jones 2006). According to Jones, it was only in the 90's that the first cracks to this interpretation appeared with the rise of the 'new institutional economics,' indicating that culture not only matters but is a determinant (among other features) to economic life and subsequent growth and development (Jones 2006). There were diverse factors that motivated the need to account for cultural features to explain market behaviours, such as the recognition of the importance of religion, the exponential economic growth of east Asia and the inability to disregard the obvious different forms of managing and ruling in each territory (Jones 2006). Throsby claimed that the need to take into account the diversity of historical and cultural

backgrounds in the development frameworks arose from culture's potential affect on economic outcomes in three directions – efficiency (through decision-making related to the process of production), equity (expressed in the establishment of mechanisms that express moral principles of concern for others), and economic and social objectives through culture's influence on group decisions about goals to be pursued (Throsby 2001). The author proposes that if we regard culture as a set of values and customs which bind groups together then it follows that "Culture will affect the way individuals in the group think and act, and will also have a significant effect on the way the group as a whole behaves" (Throsby 2001:63).

Well before the 90's there was a theoretical perspective that cannot be ignored, such as the earlier Max Weber theory where culture (having religion as a core influence) is presented as a force contributing to economic and thus social development. Weber, like the other sociologists, believed that economic life couldn't be seen apart from culture. In his reference work entitled *The Protestant Ethic and the Spirit of Capitalism*, Weber argued that the religious ethics of certain groups played a fundamental role in creating modern capitalism, breaking with the traditional economic system (Weber 1958). Weber looked specifically to Protestant values, where work and profit are seen as ends in themselves. Weber demonstrates that in accordance with their individual beliefs people conceived specific attitudes and processes of development that sustained social results, through mechanisms of trust, empathy and respect, exploring the idea that specific cultures have specific impacts. This proposition is connected with the COST respect of 'culture *for* sustainability' (Dessein et al. 2015). Although Weber's work is the most well-known for the influence of culture on economic prosperity, Protestantism is not the only belief-system to provide space for capitalism to grow. Among other theories, mention must be made of Sombart's (1911) work, *The Jews and Modern Capitalism*, where is argued that Jews were also in the possession of cultural traits favourable to capitalism, and to Bellah's (1957) *Tokugawa Religion: The Values of Pre-Industrial Japan*, which argues that the work ethic in Japan was encouraged by the writings of two central figures of the Tokugawa religion. Nevertheless, Maridal argues that much of these former theories were supported by case studies that are difficult to generalise, and that only in the 90's renaissance period of cultural explanations were attempts put forward to quantitatively explore cultural characteristics as influential factors of economic growth (Maridal 2013). An example of this is Guiso et al., who through an instrumental variable approach (using religion and ethnicity as instruments) tested three channels - political preferences, economic preferences and prior beliefs - by which culture (focusing on dimensions of culture inherited by individuals) can impact economic outcomes (Guiso, Sapienza, and Zingales 2006). Likewise, Tabellini performed a study to examine the relationship between culture (using language as an instrumental variable)

and economic development, and concluded that in the short and medium term culture has an impact on economies (Tabellini 2007).

Also, Maridal examined two channels through which culture can affect economic prosperity, the traditional mechanism of individual achievement orientation (based on Weber theory) and the community orientation driver (Maridal 2013). According to the first channel there are cultural values that can stimulate individual motivation towards productivity, as is the case of independence, thrift and beliefs and that can consequently mediate growth. Independence, in particular, is considered as an example of an achievement motivation value that nourishes innovation and entrepreneurial spirit. Concerning the second channel, there are cultural traits, such as honesty and trust, that can encourage social capital and the orientation towards community, which in its turn opens space for economic interaction. This happens as "the cultural emphasis on honesty, unselfishness, and sympathy for others reduces opportunistic behaviour and creates trust; trust reduces transaction costs and enlarges the market. The larger the social circle, the more social capital and the larger the economic market" (Maridal 2013:141). This Maridal paper reports that individual achievement motivation and community orientation are both cultural drivers for economic prosperity and shows that they are more important in determining economic growth than other factors like formal education (Maridal 2013). When comparing the strength of these two cultural drivers, the study concludes that social capital and community morality have a higher effect and significance than individual drivers on the economy (Maridal 2013).

Overall, from these theoretical contributions of the role of culture on economic behaviour it becomes clear that is possible to describe the channels of effect that show evidence of culture as a mediator of economic growth.

Beyond this positive interpretation of culture as a difference maker for economic behaviour, it is also true that culture can also act as a barrier when values and beliefs become obstacles to development of a society. For example, where the use of new technologies is not allowed in daily life, restricting access to information and determining lifestyles; where female discrimination is established by deep-rooted traditions obstructing gender equality and progress; or when inherent values produce conflicts between territories, causing tensions which block local growth.

This negative interpretation of culture as an obstacle to development invites examination of the theoretical frameworks in the light of the sectorial approach to culture, i.e., considering the arts and cultural activities.

Nowadays, culture and the arts are generally believed to produce effects at an individual and collective level that transcend the aesthetic dimension and have social and economic significance – the usually designated extrinsic or instrumental impacts. According to McCarthy et al., effects are instrumental

when "the arts are viewed as a means of achieving broad social and economic goals that have nothing to do with art per se" (McCarthy et al. 2004:xi). This recognition and appropriation of culture to pursue non-aesthetic goals, entails the so-called 'instrumentalisation of culture'. This instrumental cultural policy has recently been associated with the drastic cuts in the funding available for the sector activity (Holden 2006), and the consequent survival strategies advocating for the recognition of cultural sector's economic and social roles. Nevertheless, in its theoretical formulation the instrumentalism of culture is proven to be an old issue, not resulting from funding deterioration.

As Gibson reminded us, instrumentalism is, for some institutions like museums, not a possible direction of their action but a constitutionality established in their reason for being: "there is nothing remotely new about instrumentalism in cultural policy. In fact, if we consider the history of the modern public museum, for instance, we find that it is in fact constitutively instrumental, as has been well established" (Gibson 2008:4). The author recapped, for example, that the argument for public expenditure used for the development of the South Kensington Museum system (later the V&A) and the Schools of Design, was economic – "to provide an education in good design to 'mechanicks' in an attempt to improve the flagging national lace industry which was losing out to better-designed product imported from Italy" (Gibson 2008:5). Also, in its early years the aim of the Arts Council was to rebuilt the community after the second World War, and a community cohesion strategy was developed through its first chairman John Maynard Keynes (Gibson 2008). Likewise, Carol Duncan described art museums as ritual sites, as Duncan perceived them to share functions similar to religious buildings, a role which she held to be attributed to these institutions since the 18th century (Duncan 1995). Greffe also advocated for the mature instrumentalisation of cultural institutions, illustrating that when the London National Gallery venue was implemented in 1838 it intended to link rich and poor people and so at the moment of choosing the best place to build it, the centre of the city was the elected option as it provided an affordable distance for both social groups of interest to travel (Greffe 2013).

In this regard, from the social point of view, the literature evidences that from long ago there is a considerable body of historical intellectual constructs arguing for the social power of the arts and culture. Belfiore and Bennett claimed, in their historical review of the social impacts of culture:

> "'Instrumentalism' is, as a matter of fact, 2500 years old, rather than a degeneration brought about by Britain's New Labour. The arts have been used as a tool to enforce and express power in social relations for as long as the arts themselves have been around…the first lucid, cogent and systematic theorisation of instrumental cultural policy can be found in Plato's Republic" (Belfiore and Bennett 2007:140).

Moreover Belfiore and Bennett argued that there are two main historical and

theoretical 'claims' around culture and the arts: a negative and a positive instrumental interpretation. Therefore, not only the debate over the value of art and culture on society has been going on for a long time, but also the discussion has matured in different directions. In fact, although nowadays the negative contributions of cultural sector role are hidden in the overstating discourses advocating for funding, historically it was "the more robust of the two. Indeed, a number of the arguments on the cathartic, ethical or humanising powers of the arts were first elaborated in response to 'negative' theories that were perceived as dominant at the time" (Belfiore and Bennett 2007:147).

It is curious that in the first identified 'instrumental cultural policy' in Plato's Republic, art is considered to have negative effects, since, contrary to reason and science, art is described as moving humans away from truth (Greffe 2013). According to Belfiore and Bennett, Plato's hostility to poetry and theatre and his belief that audiences could be encouraged to replicate some of the inappropriate performances in real life became central during centuries for censure practices, like in Christian hostility to poetry (Belfiore and Bennett 2007). This capacity of the arts for 'social contagion' is something that remains a topic of discussion on our daily life when arguing over the good or bad effects of for example, films (which have a rate system to identified if the is suitability for certain audiences), publicity and media (Bokey and Walter 2002). An example of the immorality of the arts is their disproportionate use for propaganda in dictatorship governments like the Nazi regime (Hanson 1998). Or in the case of the 'Muzak[6] effect' that suggests specific music delivered in retail areas can encourage shopping and discourage loitering (Greffe 2013).

Simultaneous to this negative interpretation, there is an old social debate arguing for the positive effects of cultural activities on individuals and communities, in shaping identities, enhancing mental and physical capacities, linking people and empowering communities. In Belfiore and Bennett's review, the authors advocate that the positive effects debates are a historical phenomenon, asserting that since Aristotle's 'notion of dramatic catharsis' (4th century B.C.) the number of claims for the benefits of the arts for individuals has grown constantly (Belfiore and Bennett 2007). The authors, when analysing the complex Aristotelian thinking on theatre (and broadly on arts) and its impact on individuals, identified three interpretation areas - the emotional, the intellectual and the ethical - arguing that these interpretations later "developed into full-blown theories positing the therapeutic, humanising and educational functions of the arts" (Belfiore & Bennett 2007:143).

- The emotional interpretation pointed to the ability of arts to amuse, entertain and contribute to happiness. These roles are related to the therapeutic and healthy functions of cultural activities' creative

[6] Muzak is a term used to described background music delivered in retail stores, elevators and supermarkets. It is a smooth style of music. The generic name was established after the leading company of this type, Muzak Corporation.

dimensions and are advocated by recent studies (Wikstrom 2011)(Charlton et al. 2013). In *Creativity: Flow and the Psychology of Discovery and Invention*, Csikszentmihalyi describes 'creativity' as a key element for enjoyment: "Creativity involves the production of novelty. The process of discovery involved in creating something new appears to be one of the most enjoyable activities any human can be involved in" (Csikszentmihalyi 1996:113). This emotional interpretation is also connected to William Morris's description of the 'aim of art,' presented at the end of the 19th century, "the Aim of Art is to increase the happiness of men, by giving them beauty and interest of incident to amuse their leisure, and prevent them wearying even of rest, and by giving them hope and bodily pleasure in their work; or, shortly, to make man's work happy and his rest fruitful" (quoted by Belfiore and Bennett 2007:144).

- The intellectual interpretation of the cathartic process alleged the cognitive effect of culture, an effect that is also claimed in today's literature (Corrigall and Trainor 2011)(Southgate and Roscigno 2009). Pythagoras, another Greek philosopher (of the 5th century B.C.), recognised connections between arts, in this case music and cognitive effects, specifically in mathematics. As argued by Southgate, Pythagoras "suggested that mathematical relationships were integral to physical properties, including music" (Southgate and Roscigno 2009:5) similar to the contemporary 'Mozart effect,' according to which, music develops cognitive and spatial intelligence (Jackaway 1999). Though Staricoff's literature review claims the 'Mozart effect' should be restricted to spatial task improvements and not considered to be intelligence-enhancing, because the conclusions are controversial since some authors were able to reproduce the findings and others were not (Staricoff 2004).
- The Aristotelian ethical interpretation advocated the function of 'tragedy' (drama) in providing moral teaching to the public (Belfiore and Bennett 2007) and considered that music (not any type of music) had notable effects on character formation and could, therefore, allow improvements to the youngest souls (Greffe 2013).

These humanising theories attributed to the aesthetic experience by past interpretations, set a link between artistic activities and individual and community progress. The major transition, from Aristotle's proposed considerations of the self to one arguing for the public utility attributed to arts and culture, was interpreted by a group of philosophers of the French Enlightenment, "Diderot, Marmontel, Alembert, Condillac and Voltaire – who coherently put forward a radically innovative theory of the social value of the aesthetic sphere, and advocated an art that could forge citizens imbued with

moral and civic values and virtues" (Belfiore and Bennett 2007:144). Greffe identifies other historical intellectual contributors advocating for the 'social legitimation of the art' (Greffe 2013):

- Hegel, who saw art as a moderator of the communities' desires for savagery;
- Shelley, who views poets as stimulators of imagination and founders of civil society;
- Jean Jacques Rousseau, who had a 'contradictory vision,' although he defended that human souls were corrupted along with the progress of sciences and arts[7] (as an effect of ambition and pride) and that the arts crystalized the social differences, simultaneously saw in public celebrations an opportunity to reinforce the union of citizens if spectators were deeply engaged[8];
- Tocqueville, for whom 'religion' and 'trade' were the engines of progress, held that although art had less influence compared to religion, in the civilising process it could convey community references;
- Whitman, for whom 'liberty' and 'diversity' were the two main characteristics of political and social progress, argued for the need for a new 'literature,' as an instrument to build strong personalities, to restore the moral principles of society and to diffuse the fundamental values of diversity and freedom;
- and Lewis Mumford, who called for a balance between 'art' and 'technic' to restore identities, argued that art allowed giving expression, form and meaning to material life and that artists have a major influencing role.

It is evident that these intellectual elaborations and beliefs, on how culture and the arts impact societies, have been moving along with the political, social and economic contexts.

For instance, in the industrial revolution material possession was stimulated through beliefs about the role of the arts in society: the idea emerged that the cultural industries (radio, film, magazines) were responsible for homogenising consumption and production behaviours and for creating a mass culture. In this massification, according to Horkheimer and Adorno, "even during their leisure time, consumers must orient themselves according to the unity of production" and there was uncertainty about what constitutes the essence of art (Horkheimer and Adorno 1947:98).

Although these theoretical contributions advocated for a substantial rationale of the roles of culture and the arts in social transformation at the individual and collective levels, these intellectual inputs do not clearly identify the mechanisms through which culture is capable of producing social effects.

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[7] Rousseau, J.J., *Discours sur les sciences et les arts* (Paris: Pissot 1751)

[8] Rousseau, J.J., *Lettre à d'Alembert sur les spetacles (1758)*

Nevertheless, it is important to note that the ability of art to produce and transmit values is not generally accepted. Indeed, the utilitarian interpretation of culture, the recognition that artistic experiences can by themselves change the complex characteristics of social conditions in either positive or negative directions, has certainly been rejected.

Many authors have presented arguments in favour of the so-called 'art for art's sake' movement, where the aesthetic meaning is far superior to the non-aesthetic considerations, "where the fine-arts system rises as a social instance independent from any utilitarian function" (Greffe 2013:73). Kant saw art as 'purposiveness without a purpose,' capable of having moral value but incapable of transmitting it to society in educational purposes[9] (Kant 1790/1987). This vision encouraged the rejection of 'instrumental logic' and the emancipation of an autonomous and aesthetic movement which "developed into theories of *l'art pour l'art*" (Belfiore and Bennett 2007:145). The inability of the arts to transmit moral value into society is found in Plato's considerations for discarding the epistemological function of the arts, when he states that artists do not possess access to any superior knowledge, so they cannot transmit any moral education thru their artworks (Belfiore and Bennett 2007). This refutation of arts ability to produce and communicate knowledge is also defended by Baudelaire, who argued that the artists' work depends on and refers only to themselves, and cannot provide access to any knowledge (Belfiore and Bennett 2007). As Hospers argued, in his paper of the capabilities of literature, there are doubts whether art is really capable of sharing new knowledge or if what it does is just to present hypotheses of reflection about more ordinary subjects – "works of literature are able, through the delineation of character and the setting forth of situations which are followed through in the details of the plot, to suggest hypotheses about human behaviour, human motivation, human actions, and sometimes about the social structure"(Hospers 1960:45).

More recently, as we said, this rejection of the utilitarian interpretation of arts and culture is linked with survival strategies which, in order to advocate for continuous funding, overstate the transformative power of culture and change the centre of the discussion and research from the aesthetic dimension to one of economic and social purposes. John Tusa, in opposition to the materialistic and utilitarian debate, advocated in favour of an immaterial debate where things are valued and not cost, and where 'art for art's sake' is considered as a 'vital social ingredient' (Tusa 2000). Winner and Cooper argued the instrumental justification of the arts will make them more vulnerable; "As soon as we justify arts by their power to affect learning in an academic area, we make the arts vulnerable..." (Winner and Cooper 2000:67). McEvoy also warned against the

[9] According to Greffe, the Kant tradition was appropriated during the French Revolution period as an attempt to save the heritage, from the position that some of the artwork should be understood as work of artisans and not simple objects of aristocracy (Greffe 2013:265).

abusive instrumental appropriation of culture as a treatment strategy; "The arts are not a cure-all for the latest social crisis – an answer to a problem" (McEvoy 2003:7).

1.3. Cultural-based development dynamics

1.3.1. The novelty of the phenomenon

As mentioned previously, culture and development are circumstance-specific terms, which means that what defines development is not equal in all circumstances and cultural constructs are attached to local territories. Fonseca, retaking the roman denomination *genius loci*, argues nothing is more revealing than the identity, values and particularities of a place if we want to define a relationship between culture and the city (Fonseca 2014). In fact, policy guidelines (like the aforementioned 'Agenda 21 for Culture' or the 'Culture 21: Actions') and literature show a change of the territorial scope concerning the role of culture on development - moving the intervention from the national level to the local and community level with the implementation of culture-based development strategies.

The *Creative Economy Report 2013* document recognizes that culturally driven interventions 'are to be found at the subnational level in cities and regions,' while arguing "it is clear that the next frontier of knowledge generation rests on understanding interactions, specificities and policies at local levels, and how the creative economy might be practically promoted in communities, cities and regions across the developing world" (UNCESCO & UNDP 2013:15). Greffe and Pflieger argue that beginning in the 80's with the collapse of the manufacturing industry, culture started to be recognized as a basis for local growth and development, mainly through tourism. "Territories develop from an export base or a nucleus of growth, which in many cases involves a raw material or manufacturing industry that no longer exists. As soon as this basis for development is gone, another one needs to be identified; it was in this way that culture was seen as a basis for development through tourism" (Greffe and Pflieger 2005:8). However, Greffe et al. later warned that strategies grounded in cultural tourism can also motivate vicious cycles for local development (Greffe, Ben Salem, and Simonnet 2015). In order to avoid these cycles and to encourage positive synergies, the authors called for the implementation of strategies based on a deep integration of the local population as a key factor of success (Greffe, Ben Salem, and Simonnet 2015).

In fact, as the economy moved from an agricultural to industrial base then towards services and experiences, the cultural sector has transformed itself. From the pre-industrial period where the production of cultural products was manual and direct to final consumption, static and strongly related with the past, where the State was the major supporter of cultural activities considered as

heritage, performing and visual arts and where these were consumed by elite audiences; to the industrial period, where the sector was characterised by massive production and consumption (with the introduction of new products, cinema, radio, television) where economic recognition began in complementary sectors such as tourism; to the post-industrial period, where cultural sector consumption has been transformed and audiences are now consumers and producers at the same time through technology and product innovation.

Yet, the 'novelty' is that these local strategies of development recognise that the cultural assets (in the anthropological and artistic sense) represent specific components of a given territory and population (Martinell 2003) and opportunities to produce and export high value products, services and experiences which incorporate territorial symbols and knowledge (Greffe and Pflieger 2005). Thus, culture was understood not only as a force capable of attracting tourists but also capable of generating exports, as "The particular nature of local resources and know-how influences how products constituting the new cultural economy are brought up-to-date. These products bear the symbols of the territories in which they are produced, insofar as they incorporate their artistic knowledge and know-how, giving rise to the notion of "idiosyncratic" products." (Greffe and Pflieger 2005:8). Thus, the current debate of culture's participatory role in development is explained by the recognition of a functional relationship in the context of production of modern economies, between the cultural sector and other non-cultural sectors with a large creative component (architecture, fashion - border industries in the 'concentric circles model'). This reformulation explores and positions intangible and tangible cultural capital as a determinant factor in the development process at the micro-scale level. In this sense the cultural sector is no longer static, unproductive and in demand exclusively for its final consumption (as it was in the industrial period), but is described as essential for intermediate consumption and consequently for sustainable economic and social development. This approach is related to the role of 'culture *in* sustainable development' as an independent pillar, advanced by the COST team (Dessein et al. 2015).

This re-interpretation of the cultural sector role has been promoting the emergence of new products (intangible, mobile, and with higher economic risk levels), new forms of production (in small teams, involving digital media) and new disciplines (like design), which have become economically relevant and attached to the areas of 'creativity'[10]. As a result, this encouraged the expansion of the sector's conceptual boundaries and the development of new paradigms of

[10] For Balchin creativity "is manifested in the engagement of learners in creative processes and in the products that result from their creative endeavors…there are many possibilities for processes and contexts within which creative acts might occur and products be created. Processes may be individually constructed and self-directed or be constructed collaboratively with other people or involve elements of both." (Balchin 2006:174).

development, such as the 'modern cultural economy'[11] or the 'creative economy'[12], where cultural assets are transversally connected to different sectors of the economy and used as resources for specific products, services and experiences, with particular combinations of symbolic and utilitarian values. In this respect, culture and the arts have received significant attention from local political institutions as a potential alternative for the declining industrial model (Stern and Seifert 2010).

Since the late 90's, numerous cultural-based local dynamics have emerged as supportive tools for economic and social development, urban regeneration (Tibbot 2002) (Greffe and Pflieger 2005)(Cooke and Lazzeretti 2007) and for quality of life (Galloway 2007)(Urzúa et al. 2012)(Tepper 2014). It is mostly actions at the local level, in regions, cities and cultural quarters[13] that have been regenerating their economic and social fabric, using culturally-based strategies. The 'cultural and creative cities' bet on appealing to the creative class and providing an intensive cultural supply (Florida 2002). The 'cultural districts' and 'cultural quarters,' which respectively concern geographical concentrations of cultural production and consumption, can stimulate the local development if synergies are created between the companies (at a district level) and if the public attraction succeeds (at a quarter level) (Greffe, Ben Salem, and Simonnet 2015).

In this regard, Fonseca declares the presence of culture in the urban context materializes in three dimensions: in the urban identity, in the economic impact of cultural activities and in the role of culture in fomenting a creative environment, more suitable for interaction, coexistence and diversity, and consequently, for social cohesion (Fonseca 2014). Throsby concludes that it is possible to observe four non-mutually exclusive roles of culture in urban life: first, when there is a cultural facility capable of attracting a significant number of people and operating as a cultural symbol affecting the local urban economy; second, when a 'cultural district' has the potential to boost local development; third, when a cultural activity – a festival, for example – constitutes a vital component of a local economy; fourth, the 'pervasive' role of culture in urban development, in which the cultural characteristics that define a group of citizens can foster community identity, creativity, cohesion and vitality (Throsby 2001).

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[11] Allen Scott explored this concept of 'modern cultural economy' in those sectors that offer products incorporating a high symbolic value relative to their utilitarian value, the extreme case being a work of art where the symbolic value is infinitely greater than the utilitarian value (Scott 2000)

[12] "The 'creative economy' is a concept first introduced in 2001 by John Howkins in his book The Creative Economy: How People Make Money from Ideas. It is an evolving concept based on creative assets potentially generating economic growth and development. It can foster income-generation, job creation and export earnings while promoting social inclusion, cultural diversity and human development. It embraces economic, cultural and social aspects interacting with technology, intellectual property and tourism objectives. It is a set of knowledge-based economic activities with a development dimension and cross-cutting linkages at macro and micro levels to the overall economy. It is a feasible development option calling for innovative, multidisciplinary policy responses and inter-ministerial action. At the heart of the creative economy are the creative industries" (UNCTAD 2008:15)

[13] The process adopted by small and medium old industrial territories, such as in Portugal, Santo Tirso Factory-Cultural Quarter 2012, São João da Madeira-Oliva Creative Factory 2012, in Spain, 22@Barcelona 2009 or in UK, Sheffield Cultural Industries Quarter 1980.

The actors of these cultural-based strategies are not only the political organisations. Indeed, local cultural agents, institutions, citizens, civil associations and universities play an enormous role in promoting culturally-based dynamics in each territory, having a primary role as the drivers of these strategies much of the time. Examples of projects and programmes that have been exploring the cultural sector's ability to transform communities and individuals will be explored in the next chapter (Chapter 2) of this study.

1.3.2. The assessments of the contributions

As we have seen, there is an on-going debate over the role of cultural activities in local development, which involves heritage and the creation of symbols, products and experiences. The literature shows that this discussion emerged along with the recognition of the economic value of these activities, where different views on the role of the cultural sector as a cause or as a consequence of economic growth have been fostered.

For example, Cowen claims that the role of the cultural sector in development depends on its form of management (Cowen 2002). For Cowen, private management ensures positive cultural contributions for growth as it is based on market dynamics. In contrast, public management is marked by state intervention, and weights economies with extra taxes (to fund the sector) and consequently has negative impacts on development (Cowen 2002). Another recent approach, developed by Greffe et al, *Culture et croissance: les leçons de l'expérience française (1975-2008)*, shows statistical evidence for a relationship between the development of cultural activities (measured through cultural employment) and macroeconomic development (measured through GDP), by showing that it is economic development that explains culture and not the opposite (Greffe, Ben Salem, and Simonnet 2015). In this study, the dynamics of the cultural sector are found to be incapable of changing the general economic trends by themselves. However, the authors prove that the sub-sectors of the cultural sector (such as audio-visuals, fine arts, performing arts) do not evolve in the same uniform way with economic growth, but have their own dynamics.

To evidence the key contributions of culture to economic wealth numerous studies and mapping documents have been made, assessing the induced economic impact of cultural activities. A significant portion of these assessments of culturally-based dynamics tend to measure the big financial flows generated:

> "The economic impact studies, also known as 'effect methods' try to estimate the economic importance of the arts and to analyse the activities and earning flows related to the existence of a concrete cultural activity" (Herrero et al 2006:44).

In order to understand the objectives and the extensions of these tangible and monetary assessments, a selection and review of 29 exemplificative studies was conducted. These economic appraisals took place from 1988 to 2015, most of which were commissioned reports, and were analysed and aligned into of four framework categories: summary, key findings, impacts covered and methodology, as seen in Annex 1 ('The economic appraisals literature review'). An exhaustive examination of these documents allowed conclusions to be inferred on the object, territorial unit of observation, methodologies and period of the analyses:

- The object under analyses has different scopes, it can be extensive, when assessing the economic weight of the whole cultural and creative sector in a particular territory – as in the case of the mapping document of the creative industries in the United kingdom (DCMS 1998), or it can be exclusive when evaluating components of the sector as specific sub-sectors - as in the case of the economic impact appraisal of London's theatres (Travers and Market & Opinion Research International 1998); or of cultural sites - like the economic valuation of Bolton's Museum, Library and Archive (Jura Consultants 2005); for cultural institutions - the economic assessment of the Louvre Museum (Greffe 2011) or Fundação de Serralves impact study (Porto Business School 2013); for cultural programmes - like the Liverpool European Capital of Culture and the effect of its nomination on local business (Andriopoulos 2008); or even cultural events - like the American Folk Festival economic research assessment (B. Silva, Mann, and Daniel 2009).
- Concerning the territorial unit of observation, the analysed documents assessed the economic impact of culture on a variety of geographic scopes: the transnational evaluations – the example of the global mapping of the cultural and creative industries contribution for the economy (EY 2015); the national assessments – the case of the first French accounting of the cultural and creative industries (EY France 2013) or the Portuguese report on the importance of the cultural and creative sector for the Portuguese economy (Augusto Mateus & Associados 2010); the regional analysis – like the measurement of the cultural industries in Yorkshire and the Humber in the United Kingdom (Roodhouse and Taylor 2000); the urban observations - the assessment of the economic impact of the arts and cultural industries in San Jose (AMH Consultants, Inc. 2003) and even the district level appraisals – the economic impact of the Festival Theatre on the economy of Chichester district (Centre for Local and Regional Economic Analysis 2000). Therefore, contrary to the strategies of culture-based interventions, phenomenon found at the local-scale, these impact measurement appraisals are produced at different territorial levels (Scott 2000).
- In regard to the methodologies followed by the analysed studies, two different approaches emerge according to the object under analysis: the perspective of demand applies techniques to place value on cultural assets

(considered non-market goods), and the perspective of supply carries out an impact analysis.

- Therefore, when the study focuses on measuring the weight of the cultural and creative sector in the territory's economy the analysis is conducted from the supply viewpoint, with an economic impact analysis. These studies start with a conceptual delimitation of the sector, which is quantified by matching it with national (or international) frameworks of statistics or by collecting data of economic activity based on a survey. In this case the chain of analysed impact is as follows: the primary effects cover the direct contributions of the sector to the economy and are reported through macro-variables such as employment, value added or exports; the secondary effects derive from the purchase of goods and services made by the sector to sustain its production, which is replicated into the economy through successive rounds of spending and revenue[14]. To extrapolate the importance of the sector into the economy, i.e., to measure the secondary effects, is necessary to make use of multipliers, such as the Keynesian multiplier, an activity multiplier (Leontief multiplier) or the classic input-output matrix, which is the estimation method implemented by the majority of the studies.
- Nevertheless, if the study focuses on evaluating the economic impacts of a specific elementary cultural activity - an event, a programme or an institution – the methodological approach can take either the demand or the supply perspectives. The chain of impacts is here expressed by the set of economic effects generated by elementary cultural activity. The primary effects[15] encompass the expenses an institution requires for running an activity (operational spending, like the purchase of goods and services and salaries), the expenditures incurred by the public to visit the territory, having the elementary activity as a motivation (a portion of the visitor's budget on travel expenses) and other types of expenditures that can be attributed to the activity in question (for example, expenditures incurred for renting spaces within a cultural institution). The secondary impacts are the economic flows registered by the companies benefiting from the primary effects throughout the supply chain, which means the set of direct expenditures represent revenue sources for other businesses, that result in new expenditures and additional activity, expressing the spin-off effect in the economy. When the analysis is based on the supply perspective, it again departs from the combination of financial surveys to estimate the primary effects (collecting data on the arts organizations and audience expenditures), with multiplier appraisals to translate the complex

[14] In some studies, the primary and secondary impacts are called the direct impacts (for the primary) and the indirect and induced impacts (for the secondary).

[15] Remembering that the cause-and-effect relationship between a cultural elementary activity and reported expenditures must be verifiable.

interaction and replication of the effects into the local economy. For example, in the case of the Chichester Festival Theatre economic impact study, the injection of spending from theatregoers and hired professionals "benefits other local businesses…as demand for their goods and services increases. Those businesses, in-turn, need to re-stock and, possibly, take on additional staff to cope with increased demand. This is the so-called multiplier effect"(Centre for Local and Regional Economic Analysis 2010:7). However, as these methods that apply structures of multipliers are sometimes criticized for overestimating the impacts of the sector and overstating its power on territory growth, other studies have moved away from these traditional macro-economic analyses and implemented measurements based on the perspective of demand. An example of contingent valuation is using willingness to pay and willingness to accept questions, undertaken by Bolton's Museum, Library and Archive analysis (Jura Consultants 2005) or in the case of an economic valuation of a Portuguese museum based on the travel cost method (Fonseca, Rebelo, and others 2010).

- A common dimension of these studies is the period of the analysis, which tends to be on a yearly basis – reporting the economic impacts of the sector or an elementary cultural activity in a specific year.

In general, the aim of most of these studies is to report the following elements: the sum of audience spending and demographic profiles, estimated employment and turnover generated in the local economy and the sector value-added, exports and tax revenues. Additionally, from the reports is possible to conclude that the cultural assets are considered, in territory development policies, mainly due to their economic spillover effects where culture is "a dynamic and innovative economic force at the national level as well as globally, helping to generate employment, revenues and incomes, and thus directly boosting economic growth" (UNESCO 2011:5).

1.3.3.The social claim

The economic assessment of culture has long been receiving attention from the research and policy communities. Indeed, the main 'auditing debate' of culture's role in development has been economic, not only in the sectorial interpretation, which comprises impact assessment studies of the cultural sector's weight in the economy, but also in the broader anthropological approach that interprets culture as a determinant element of economic behaviour (to which Max Weber's theoretical insights contributed significantly). The intensive orientation of the impact assessment towards economic value is related to multiple factors:

- the traditional evaluation rationales, which provide evidence based on standard monetary and financial figures;

- the financial dependency of culture and arts activities, which creates a necessity to communicate positive impacts of the sector through more objective monetary and comparative measures that are connected with policy-makers and practitioners' language and are capable of providing quick answers, ideal for short-term political and operational rationales;
- the straightforward economic evaluation, which by not depending on intangible elements like individual self-reporting of feelings, reactions, or perceptions, is easier to conceptualize, measure, and disseminate;
- and the ability to trail an impact chain when producing economic assessment, where it is possible to track the channels through which culture can affect economic prosperity and isolate the potential impacts.

Yet, the appropriation of culture as a leading player in territory development is determined by the cultural sector's capacity to produce a broad array of extrinsic (instrumental) effects, not only related to economic outcomes but also to other social dimensions raised during the theoretical discussion, such as enjoyment, personal development, civilizing processes and the establishment of community references. As Belfiore and Bennett had argued:

> "Economics can show that the arts may have "positive externalities" and that, if they do, this can be a justification of public subsidy. But what economics cannot do is tell us how the externalities attached to the arts actually do enrich individuals and societies" (Belfiore and Bennett 2007:137).

So, this departure from evaluating the complexity of other intangible social dimensions of cultural activities results from, the political and financial imperatives of the 'evidence-based policies' - where the research and auditing agenda has been converging to the short-term demands of the advocacy agenda – and from the resilience to engage in a deeper debate of understanding the long-term mechanism through which these other effects can be acknowledged and strengthened. As Edwards et al., argued "financial dollar value…is a common, easily understood, measure, and consequently is widely used to measure impact or effectiveness, or value, far beyond the actual monetary value it represents. Financial value cannot be a surrogate for health, happiness or social wellbeing" (Edwards et al. 2012:19).

Therefore, despite the excessive cult of tangible measurement, there is a general concern, stressed by different authors, of the need to bring other social dimensions into the debate over the role of culture in development and consequently into the measurement appraisals, some of which are as follows:

- In 1996, Williams' study, *How the arts measure up*, cautioned that "the danger in pursuing particular economic aspects of the work in the absence of a broader commitment to the inter-relationship between the social, educational, cultural and economic dynamics, is that the economic

strategies alone are likely to fail to deliver the expected results." (D. Williams 1996:2).

- In Matarasso's 1997 pioneering work[16] he stressed the need to enlarge the boundaries of the culture-based policies debate, questioning 'what the arts can do for society.' The author stated "the economic importance of the arts is increasingly appreciated, but to consider only the financial impact of cultural activities is to produce a distorted picture of their actual value to society. In fact, they deliver a range of wider economic benefits, through their associated social impacts" (Matarasso 1997:13).
- In 2001, Throsby raised the limitations of economic impact assessment, arguing the unlikelihood of this method being capable "of capturing all relevant aspects of cultural value in their net" (Throsby 2001:41).
- In 2002, Reeves stated that in relation to the debate about the value of culture centred exclusively on economic benefits "this partial view of arts' impact fails to take account of its contribution to such areas as health, education and social inclusion" (Reeves 2002:14).
- In 2004, McCarthy et al., argued it was unlikely that the 'output-oriented quantitative approach' could capture the whole process of culture sector impacts in society (McCarthy et al. 2004).
- In 2006, Brown raised the need for a 'value audit' that accounts for the community benefits along with the 'financial audit' (Brown 2006:22).
- In 2007, Belfiore and Bennett defended the introduction of the 'humanities' that "can make a significant contribution to the construction of a strong and coherent theoretical framework for the elaboration of more rigorous arts' impacts evaluation methods" (Belfiore & Bennett 2007:148).
- In 2010, Plaza observed "It is obvious that the non-market value of museums (meaning, for instance, their artistic, cultural, educational, architectural and prestige value to society) cannot be calculated by means of financial transactions"(Plaza 2010:156).
- In 2011, Greffe asserted that the economic approach of "impact analysis provides a richer assessment but yields less precise findings, thus opening itself more readily to criticism" (Greffe 2011:123). More specifically, the author argued that economic impact analysis deals with material (usually monetary) flows, that "may overlook other effects, either nonmonetary or difficult to express in monetary terms, occurring in time periods or areas that current market values do not allow us to grasp" (Greffe 2011:123). These omitted components contain figures like "the consolidation of knowledge among visitors who may thus enhance

[16] The work of Matarasso in 1997 is considered to be reformative research: "Matarasso pioneered the use of surveying to capture personal development, social cohesion, community empowerment and self determination, local image and identity, imagination and vision, health and well-being"(Charlton et al. 2013:6)

their skills, increasing know-how within the cultural professions, quality of life improvements in a given territory, heightened attractiveness of this territory, reinforcement of identity or community values, etc." (Greffe 2011:123).

- In 2013, Charlton et al. pointed out "The impact of the arts on city economies through direct or indirect employment, the spin-offs of tourism, and the commercial benefits of cultural industries have been well documented by proponents of the Creative City movement. Economic impact studies deliver impressive numbers. A more difficult task has been to capture the social value of the arts"(Charlton et al. 2013:6).

In short, analysing culture with only monetary evaluation is not the best option to understand why the arts can enrich societies and individuals and how to formulate cultural or development policies. There is an emerging debate between, "those who believe that economics can tell the whole story of cultural value, or that economic arguments are the only means of persuading governments of the worth of the arts and culture," and "those who believe that some aspects of cultural value can only be explained using a multidisciplinary approach" (Holden and Baltà 2012:7).

In précis, this study is driven by the increasing demand to account for other dimensions of culture's transformative power on the development of societies besides economic spillover, in order to describe the value of culture in society. Therefore, it concentrates on the social impacts of this sector with the following objectives:

- first, to understand why is there is resistance to assessing the social impacts of culture and the arts, and which social dimensions have been most analysed until now (Chapter 2),
- second, to identify the mechanisms through which these effects are produced (Chapter 3),
- third, to establish what empirical propositions can be made to better grasp the potential impacts (Chapter 4 and 5).

Conclusion

This chapter looks at an on-going conceptual debate regarding the meanings of 'culture' and its interpretation in the light of economic and social paradigms of development.

It shows that although there are positions that reject the instrumentalism of culture by presenting arguments in favour of an autonomous and aesthetic movement - 'art for art's sake' – there is a theoretical argument in favour of the utilitarian interpretation of cultural activities, which is neither new nor a consequence of policy funding. Nowadays, this historical theoretical recognition of the value of culture in explaining social transformation (where positive

attributions to cultural sector prevail over the negative) is not yet fully reflected in the political and measurement frameworks of what counts for sustainable development, as this continues to be a slow process.

In contrast, cultural-based dynamics have emerged at the territorial level and have been growing as strategic paradigms to replace the exhausted industrial models by creatively exploiting local cultural capital. Together a major rationale of impact studies has been accompanied these cultural-based strategies to advocate for the sector's role in development. However, these studies have largely focused on the monetary measures to satisfy the advocacy agenda for economic prosperity through significant contributions of culture and the arts, avoiding evaluating the complexity of other intangible social dimensions of cultural activities. Consequently, the current analyses of the role of culture on development by disregarding the social dimensions, is partial to the understanding of why arts can enrich societies and individuals and is limited to formulating cultural-based development policies.

Therefore, this gap offers space for new approaches that can provide insights into the assessment of the social impacts of cultural activities. This will be approached first through a review of the relevant bibliographical corpus of current social impact assessment practice inside the cultural sector, investigating why there is resistance to assessing the social impacts of culture and the arts, which social dimensions have been most analysed and what the mechanisms are through which these effects are produced (Chapter 2).

Chapter 2. The assessment of the social impacts of culture

Introduction

Chapter 1 set out that there are differences in prosperity and development that can be explained by cultural characteristics that once exploited are crucial assets of growth. Moreover, it was shown that the analysis of this phenomenon – as the general conceptualisation of development – is still attached to economic accounts that leave behind an important, if not fundamental, part of the rationale of the role of culture in social life. Therefore interest in exploring the social impacts produced by cultural activities was raised. For that, this chapter comprises the revision of an extensive bibliographical corpus of social impact studies that account for the effects of cultural activities in the social dimensions of individual and community development.

It consolidates firstly the concepts related with the social impact assessment and secondly, gauges social impact assessment practices inside the cultural sector, in order to identify: the type of documents produced, the recognised cultural inputs and drivers of the effects, the outcome areas of impact covered, the main data collection methods and methodological approaches used.

In short, it aims to acknowledge the channels through which culture – according to art form, institutional provider, duration and beneficiary type of engagement – impacts a range of social indicators, while illustrating the strategies that empirically test them. This major review ends with a list of considerations and requirements for the social impact assessment of cultural activities.

2.1. Conceptual grounds

Before introducing the framework and the findings of the literature examination, on the assessment of the social impacts of cultural activities, is important to consolidate the concepts at the base of this bibliographic review.

The first chapter has already entailed a comprehensive analysis of the broader objective of the impact analysis, the sectorial dimension of culture, i.e., culture as the set of artistic activities that disseminate and produce values. It has also presented a reflection on the terms 'arts and culture' and reported an issue that became clear during this specific literature review, which is the use of these two terms as if they have the same meaning. This conceptual muddle is explained largely by the different interpretations that are made by the different languages. For example, in English documents the term 'art' and 'impact of the arts' was predominant over the term 'culture,' although referring not exclusive to a work of art but to the forms of culture that people consume (Belfiore and Bennett 2007).

Moreover, the term 'impact,' fundamental in this research, requires a basic critical scrutiny. An impact refers to the effect produced by the intervention of a particular elementary cultural activity (project or programme) at individual or collective level in a specific territory. This research uses the term 'impact' instead of 'benefits,' to clarify that the changes associated with cultural activities and experiences can be both positive and negative and that all types of results should be embraced.

Among other interpretations there are two main categories of impacts - the 'intrinsic and the 'instrumental' (extrinsic) – that should be distinguished at this point. Following the work of McCarthy et al. *'Gifts of the Muse: Reframing the Debate About the Benefits of the Arts,'* on interpreting this dichotomy, the intrinsic impacts refer to the inner effects of aesthetic satisfaction produced by the direct engagement in cultural activities that can be experienced at an individual level, but which can have resonance till the collective level (McCarthy et al. 2004). The instrumental (extrinsic) impacts, already introduced and discussed in the theoretical insights of the previous chapter, entail all the non-artistic effects, derived by the appropriation of cultural and artistic activities as a way to achieve broader social or economic goals.

These extrinsic impacts can also be identified at an individual and collective level. The impacts at the 'collective' extent, an expression that will be frequently employed throughout this work, are those effects that achieve public significance through multiple channels and that are opposed to the 'individual' settlement of the impacts. Here the terms 'collective' and 'community' have different interpretations and meanings. The term 'community,' according to Williams, has been established in the English language since the 14th century in a range of senses (Williams 1976). The author argued that the continuous diverse uses of the concept, is related to the complexity of interactions between the original developments of the word. However, from the existent panoply of meanings two main connotations of the concept emerged; first, the social group significance, "the materialization of various forms of common organization" and second, a particular quality of the relationship, "the sense of direct common concern" (Williams 1976:76). The term 'community' appears in this research to express a social group meaning when referring to the 'community-based arts project,' or to define the structure of joint interests, when debating the 'community-social value.' The significance of 'community' is then different that the 'collective,' which enunciates the length of the effect.

Additionally, the term 'social' demands an examination, as we are considering the social impacts of culture. Like culture (explored on Chapter 1), 'social' is a concept with a number of meanings dependent of the context of analysis (World Bank 1997). Consequently, when exploring the social effects produced by cultural activities we can refer to different domains of societal impacts. As

Vanclay argued, the concept is strongly linked with a "wide range of specialist sub-fields involved in the assessment of areas such as: aesthetic impacts (landscape analysis); archaeological and cultural heritage impacts (both tangible and non-tangible); community impacts; cultural impacts; demographic impacts; development impacts; economic and fiscal impacts; gender impacts; health and mental health impacts; impacts on indigenous rights; infrastructure impacts, institutional impacts; leisure and tourism impacts; political impacts (human rights, governance, democratisation etc.); poverty; psychological impacts; resource issues (access and ownership of resources); impacts on social and human capital; and other impacts on societies" (Vanclay 2003:7). Glasson et al. propose that the social impact dimensions entail a wide scope; the "focus on the 'people impacts' of development actions – impacts on day-to-day quality of life – jobs, health, safety, shelter, education, recreation, community and more" (Glasson et al. 2009:284). The first chapter, with the theoretical analysis of the effects of cultural activities, has similarly introduced a wide range of social dimensions that can be pulled out. However, through this bibliographic review it will be possible, not only to identify the social dimensions which are most analysed by the current impact studies, but also to define the boundaries where the subsequent research will operate (Chapter 3, 4 and 5).

Furthermore, as this review entails the assessment of social impacts, it is fundamental to acknowledge what the impact evaluation is. Measuring the impact consists in determining the differential between two moments of a specific context, before and after an intervention:

> "First, the study recalls that to measure an impact consists of measuring a differential, which is to say a gap between two situations (with and without the event) and therefore only takes into account the phenomena, which would not have occurred in the absence of the event considered" [17](Kancel et al. 2013:17)

Consequently, the social impact assessment is defined as the process of:

> "Analysing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programmes, plans, projects) and any social change processes invoked by those interventions" (Vanclay 2003:6).

After this conceptual explanation, we next introduce the framework of the literature review.

[17] "D'abord, l'étude rappelle que mesurer un impact consiste à mesurer un différentiel, c'est-à-dire un écart entre deux situations (avec et sans l'évènement) et donc à ne prendre en compte que les phénomènes qui ne se seraient pas manifestés en l'absence de l'évènement considéré"(Kancel et al. 2013:17)

2.2. Current practices of the social impact assessment of cultural activities

2.2.1. Framework of the literature review

Consultation of research which has been already produced on the social impact assessment of cultural sector activities covered studies conducted since the beginning of the 90's and until the present year (2016). These were collected through a search for the terms 'cultural impact,' 'art impact,' and 'social impact of the arts/culture.' Within these coordinates of time and concepts a selection of 46 references was found for the analysis. A critical assessment of each reference was made to produce an outline of the work done so far on key topics:

A. What categories of documents can be identified?
B. In which contexts and territories does the assessment take place?
C. Who are the project's beneficiaries and providers?
D. What is the project's duration (occasional or sustainable)?
E. Which are the cultural inputs and artistic forms that drive the potential effects?
F. What are the main impact areas covered by the impact studies?
G. What is the time frame of the impact analysis?
H. Which methodological approaches and data collection methods can be identified?
I. What mechanisms of impact were explored by the studies?

A detailed description of each reference analysed is included in Annex 2 ('The social impacts literature review'), providing information on date, title, type of document, summary, context of the project, duration and sustainability, providers and beneficiaries, key findings, time-frame and unit of the analysis and the applied methodology, along with a brief self-assessment of the research limitations in the cases where it was discussed.
This critical assessment used NodeXL template of data graphic visualization to present some of the findings of this review.

2.2.2. The literature review findings

A. Category of the documents reviewed

From the analysed list of references two main types of documents emerged: reports and academic articles. The largest half of the references (54%) is composed of report documents and the remaining part (46%) of academic articles. The larger amount of reports can be attributed on one hand, to the threats against funding schemes that required the cultural sector agents to produce more evidence on the impacts of their actions, and on the other hand to

the methodological challenges (later described) that can discourage academic attention.

Concerning the analysed reports, these are generally documents commissioned by the public sector, the funders of the activities or the cultural institutions themselves (the projects developers). These entities have specific rationales that are difficult to combine most of the time; the political rationale of the public sector, the financial rationale of the funders and the artistic rationale, mainly of the cultural institutions. This is particularly noticeable, for example, in cases where reports are mandatory appraisals by the funding participants, which is notorious for a slight over-estimation of the financial effects to the detriment of artistic considerations. Another aspect involves the team who conducts the reports, which can be internal or external. According to the references, most of these reports are external (commissioned) evaluations, so more impartial and critical analyses can be anticipated.

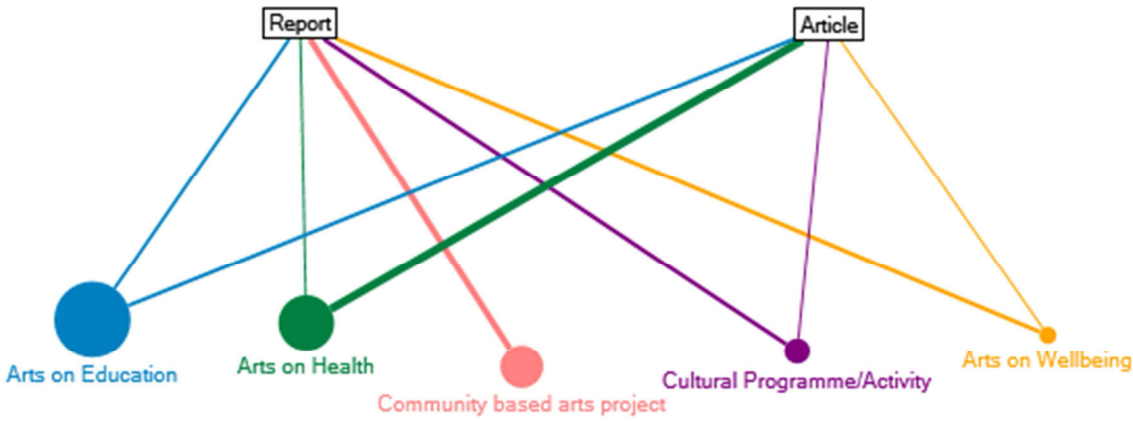
Regarding the academic articles, the different journals and publications point out that studies are being produced from various scientific fields, illustrating the interest that the subject raises in areas such as aesthetics (Psychology of Aesthetics, Creativity, and the Arts; Music Perception: An Interdisciplinary Journal), health (Journal of Epidemiology & Community Health, Open Journal of Nursing, Nursing Research and Practice, British Medical Journal, Paediatrics & Child Health), psychology (Psychotherapy and Psychosomatics), education (Journal of Aesthetic Education, International Journal of Art & Design Education), sociology (Social Science Quarterly, Journal of Social Inclusion) and economics (Journal of Cultural Economics).

Another possible categorisation of the documents reviewed is precisely the main interest of the research. The social impacts of cultural activities can be divided in the following five main groups, presented in descending order of the number of documents found and analysed: 'arts on education,' – studies that assess the effects of engagement in the arts on cognitive and skills abilities; 'arts on health,' – research that focuses on the association between participation in cultural activities and perceived health; the 'community-based arts projects,' – studies that evaluate the impacts of specific programmes that connect artists with local residents and produce artistic activities able to attend to the interests and needs of the locals[18]; 'cultural activities and programmes' – research that intends to demonstrate the links between cultural events (like a festival, an artistic workshop) or major cultural programmes (like the European Capitals of Culture) and social outcomes; and 'arts on wellbeing,' – studies that try to assess the effects of the cultural activities in promoting life satisfaction, general wellbeing and quality of life.

[18] "Community arts programs almost universally involve community members in a creative activity leading to a public performance or exhibit (Guetzkow 2002:6). The community arts projects were described by McCarthy et al. as the 'informal arts' (McCarthy et al. 2004).

Combining both categories, it is possible to perceive from the graphic below that most 'arts on health' documents have been produced with academic research parameters, that 'arts and education' is nearly balanced between articles and report documents, and that 'community-based arts projects,' 'cultural activities and programmes' and 'arts on wellbeing' studies are areas with a large gap in academic research.

Figure 1 - Categorisation of the documents reviewed



The references covered include research generated by different countries; the United States of America, the United Kingdom, Canada, Portugal, France and Sweden. Sweden has notably been producing relevant work regarding 'arts on health' issues, a nexus of arts-health that has received major attention in recent decades (Wikstrom, Theorell, and Sandstrom 1993)(Bygren, Konlaan, and Johansson 1996)(Wikstrom 2011). As argued in Gordon-Nesbitt's recent work, "it is the Nordic countries – specifically Finland, Norway and Sweden – which have strategically been seeking evidence of the long-term relationship between arts engagement and health over the past 30 years"(Gordon-Nesbitt 2015:3).

B. Contexts and territories in which the assessment takes place

The contexts and territories under evaluation are connected to the research objectives, which are confined to two sorts. The first type of studies are the ones that gauge the impact of engagement in arts and cultural activities in specific contexts like school environments, hospitals, criminal justice establishments, old people's homes, art galleries or museums; pointing that not only traditional cultural institutions can be home for cultural interventions, but also that the social impact analysis of cultural activities tends to be measured outside of these sites. This probably happens because it is in these less traditional environments that social effects are higher. Returning to the previous discussion on the instrumentalism of culture (Chapter 1), for those that advocate that museums are constitutionally instrumental, hospitals and prisons settings are concrete example of the instrumentalization of cultural activities. The second sort of

studies are the analyses that start from large sample data sets, representative of national or regional areas to infer relationships between cultural participation and social outcomes.

For the first type of studies, in general not much information is provided regarding the context in which the activities take place. In the few cases where this is delivered we find examples of studies that analyse an ensemble of different settings, like a group of projects of social inclusion(Goodlad, Hamilton, and Taylor 2002). But, although these studies introduce the characteristics of each project, in the end these particularities are not taken into account and the evaluation treats the environments specificities as equal.

For the second type of analyses, context concerns tend to be made in relation to socio-economic and demographic characteristics of the participants, referring to their background particularities and these are controlled in the studies. But again, large territories are analysed as whole homogenous areas without accounting for differences, for example, relative to cultural supply.

Nevertheless, in the references covered there are two exceptions, in the sense that there are two studies that acknowledge that impacts can be different according to the contexts where the cultural interventions take place and try to account for these differences. In the 1995 study *Arts in their view: A study of youth participation in the arts*, which analysed young people engaging in the arts, the authors concluded that young people's leisure interest is influenced by the environments where they live, which consequently produces differences in the effects derived from the participation (Harland, Kinder, and Hartley 1995). In fact, the sample of urban respondents evidenced a higher percentage of answers pointing out that engagement in the arts allowed them to acquire specific skills and to develop social abilities (making friends, working with others), compared with the sample of rural respondents who reported the main effect of engagement as motivation to develop a specialisation (Harland, Kinder, and Hartley 1995). These differences in the arts' effects were consistent with the difference in leisure interests reported by the samples in urban and rural environments. The rural young people have higher participation rates in 'sport' and 'arts participation' (painting and drawing), while in the urban areas young people have higher rates of involvement in more social kinds of activities as an 'arts audience' (reading, going to the cinema, listening to music and watching television and videos) and 'miscellaneous activities' (Harland, Kinder, and Hartley 1995). Although, in the urban environments more participation could be expected in these more social activities, the study reported that proximity and accessibility of facilities were not dominant factors in explaining participation, "Generally, the greater availability of amenities did not appear to attract a higher share of young people in urban locales"(Harland, Kinder, and Hartley 1995:266). Two decades later, in 2015, in the article *The impact of music on educational attainment*, Yang included town size as a variable of interest in the analysis, considering that access to music could differ between cities sizes, which

subsequently could affect the impact of music on educational attainment (Yang 2015)

C. The projects beneficiaries and providers

The list of analysed studies reported the findings in relation to particular project beneficiaries and providers. By analysing these two participation groups in the light of the previous five-document categorisation it was possible to infer that:

- The 'arts on education' studies assessed the effects of engagement in the arts looking mainly at specific younger audiences, reported as – 'youth,' 'children,' 'adolescents.' The providers of these cultural activities are mostly schools offering arts programmes in school periods through teachers and arts professionals. However, a few studies gauge the impacts cultural activities out of school conducted by different organisations committed to community service: religious groups (choirs), grassroots art organizations, youth clubs or museum projects (Heath, Soep, and Roach 1998). In three references of 'arts on education' studies, when the analysis uses large datasets instead of particular contexts and institutional settings, providers are not specified at all.
- The 'arts on health' studies focused mainly on two specific audiences to analyse the health impacts of arts engagement – 'elderly people' and 'adults.' The providers of these cultural activities, which were analysed using datasets, are not specified in most of the studies. Nevertheless, a few smaller studies based on qualitative approaches of perceived health reported both the project's beneficiaries and providers: the case of artistic activities with children in a paediatric health care unit (Soman and English 2010), the assessment of the effects of arts experiments with an elderly population in congregated housing units and conducted by its staff (Bygren et al. 2013), and the analysis of participatory arts projects with adult people with mental health needs provided by local artists, organisations, colleges (Secker et al. 2007).
- The 'community-based arts projects' do not report the effects on specific audiences, contrary to previous studies, but in fact analyse the effect of cultural interventions on a broad audience - the local community. In this case there is a variety of providers such as: the community projects put forward by local governments through a fund for social inclusion (Goodlad, Hamilton, and Taylor 2002), the activities provided by a group of health centres, community settings (churches), private, volunteer and public organisational structures (Everitt and Hamilton 2003), or after-school programmes for youth in Chicago, developed in a partnership model and offering activities in public high schools and community organizations (Goerge et al. 2007).
- The 'cultural activities or programmes' studies were developed by multiple providers for a range of audiences. For example, the Sistema

Scotland study was of a public local programme intended to promote social change through classical musical training of young people (Allan 2010). Also, the research on arts interventions in criminal justice settings, targeted towards male and female offenders and ex-offenders (different ages and backgrounds) and delivered by external individuals, groups, organisations or by the prison education department (Miles and Clarke 2006)

- The 'arts on wellbeing' assessment studies, which evaluated the effects of cultural engagement on the promotion of life satisfaction and quality of life, reported the effects on broader general audiences. An example of this research studied the impacts of museum participation on the wellbeing of adults (Fujiwara 2013). The providers of the cultural activities are not specified in most of the studies.

In short, there is a variety of project beneficiaries over a range of community groups for whom each specific cultural activity is planned and delivered and there are multiple providers, again not restricted to traditional cultural institutions which follow particular agendas and objectives.

D. The project durations

As mentioned before, depending on the evaluation objective, two types of studies emerged - those that assessed the impact of arts and cultural interventions in specific settings and those that analysed large sample data sets to evidence the relationships between cultural participation and social outcomes. Overall it was possible to infer from the review that the first type of assessment looks at cultural programmes and activities of short or long duration and the second type, by not focusing on concrete activities but on levels of individual engagement, did not report the project durations.

Nevertheless, the concern of this section of the review is to understand whether the effects are sustainable in time, rather than to judge only by the duration of the cultural programmes. It is generally agreed that any new programme, even if temporary, will produce effects in the context in which it occurs. As Winner and Hetland reported, "any new program is likely at first to have positive effects…The positive effect of a new program is an example of what is referred to as the 'Hawthorne effect'"(Winner and Hetland 2000:6). Yet, most of these effects are not sustainable.

For the case of the first type of documents, which analyse specific projects or venues, the sustainability of the effects, is ensured when dealing with on-going programmes that have been happening for a long-time. Examples of long-term projects are dramatic play activities developed at schools on a daily basis for children (Goodman 1990), the Chicago After-school programme devoted to children (Goerge et al. 2007) and the Sistema Scotland public project of a youth

orchestra (Allan 2010). In opposition, occasional projects produce temporary effects. For example, Wikstrom et al. found in their case-control intervention, that the group exposed to a visual art experiment for three months reported a decreased systolic blood pressure for a period of four months after the intervention, advocating for a short effect life (Wikstrom, Theorell, and Sandstrom 1993). Jermyn's study reported positive benefits of participation in arts projects (based on individual testimony), which are mainly of a personal and transitory nature, and argued that the high-level outcomes such as direct impacts on health, crime, education, employment etc., are largely unrealistic when applied to short-term projects (Jermyn 2004). These thoughts were also shared by Miles and Clarke, who argued that the positive impacts of cultural activities tend to last only for the duration of the intervention, and that in some cases its end could instead mean the generation of negative effects (Miles and Clarke 2006). Still, although it can be argued that only long-term projects are capable of producing sustainable effects, programmes that *à priori* could be defined as occasional, such as the European Capitals of Culture (which tend to last for one year), can also be drivers of long-term effects, as they provide opportunities for the establishment of long-term development strategies and consequently for the regeneration of the territories' cultural, tourism, economic and social structures (Garcia, Cox, and Melville 2010). In parallel, there are also short-term cultural experiences created for the purpose of being experiments for impact appraisal: an example of which are two visual art experiments developed to assess whether exposure to the arts could improve health status of elderly people (Wikstrom, Theorell, and Sandstrom 1993)(Bygren et al. 2013).

For the case of the second type of studies, which assesses levels of arts engagement and does not deal with concrete projects; the sustainability of the effects is translated by the frequency and intensity of engagement. However, only 53% of these studies account for the frequency of engagement. For example, in the work of Tepper et al., which examines the relationship between artistic practice and subjective wellbeing, it is held that, "Not only is there a relationship between artistic practice and wellbeing, but this relationship is strengthened with increased frequency of participation. All else equal, the more you participate in artistic activity the higher you will score on a variety of wellbeing metrics" (Tepper 2014:5). Another example is the Yang paper on the impacts of music on educational attainment, which argued that the magnitude of educational outcomes derived by music participation is larger when music is played on a daily basis (Yang 2015). Bygren et al. also concluded for the importance of the intensity of engagement, arguing that people attending cultural events often had a better chance of survival than those rarely attending (Bygren, Konlaan, and Johansson 1996). This requirement of continuous engagement, carries us back to Johansson et al. and their designation of cultural stimulations as 'perishable commodities' that demand continued frequency in

order to produce effects, otherwise these will deteriorate (Johansson, Konlaan, and Bygren 2001).

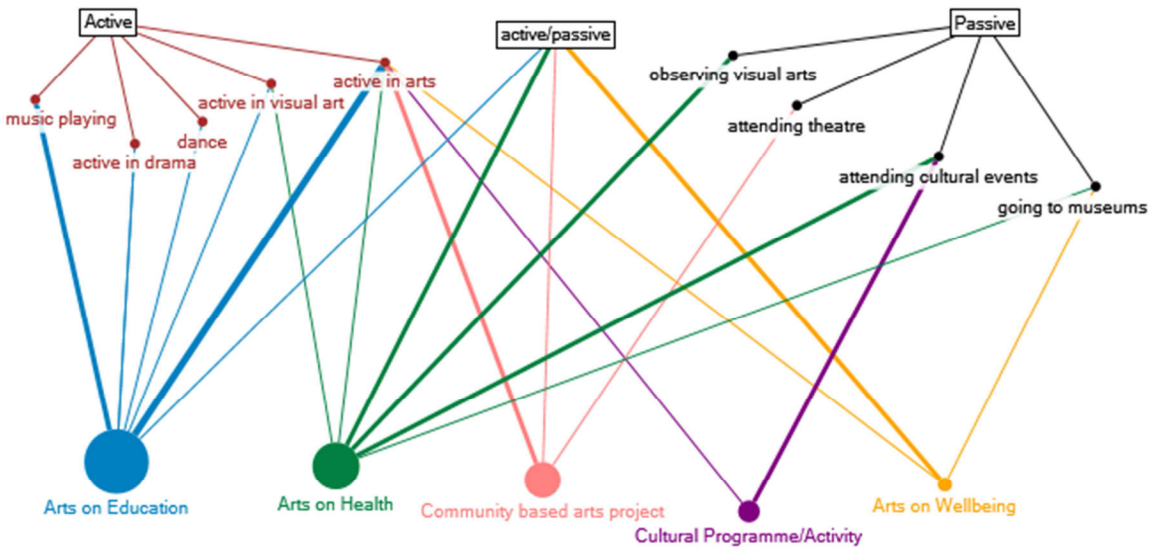
E. Cultural inputs and artistic forms that drive the potential effects

If attending cultural events and taking part of arts activities can produce benefits It has been shown that attending cultural events and taking part in arts activities can produce benefits on different social dimensions. Still, these effects, which as described depend on the intensity of involvement, may depend also on the nature of the cultural inputs and forms of engagement.

The interaction with culture and arts activities can occur and consequently be assessed in the form of passive engaging – attending a cultural event (music concert, theatre performance, ballet), going to a museum - or in the form of active engaging – singing in a choir, playing a musical instrument, drawing, reading, or dancing. These different forms of interacting with culture and with a specific art form will give rise to different effects.

The graphic below illustrates the 'cultural inputs,' i.e., the forms of engagement that were identified from the analysed references, and presents this information according to the purpose of the studies - 'arts on education,' 'arts on health,' 'community-based arts projects,' 'cultural activities or programmes' and 'arts on wellbeing.'

Figure 2 - Cultural inputs according to the purpose of the studies



From the graph it is possible to conclude that slightly more than half (53%) of the reviewed studies assessed the social outcomes of cultural activities in active, but not passive, forms of engagement.

From this group of studies covering active involvement in arts a series of assessment segments was identified according to the specific activities under analysis: **'active in drama' –** research focusing on the impacts of actively engaging in drama activities, for example a study which observed the effects that

regular involvement in dramatic play lessons had on children's literacy development (Goodman 1990); **'active in visual arts'** – studies that gauge the impacts of creating visual works, paintings, crafts, as in the case of the 'Peace' project at The Hospital for Sick Children in Toronto, which developed artistic work with hospitalised children to understand their emotional, social and spiritual wellbeing and to celebrate cultural diversity in hospital environments (Soman and English 2010); **'music playing'** – research that measures the effects of music practice on educational outcomes (specifically on education, as it was, according to the review, the only outcome area of interest found), for example, the Southgate and Roscigno article which examines the association between musical involvement (in school and out of school lessons) and academic achievement in childhood and adolescence (Southgate and Roscigno 2009); '**dance'** – studies analysing the effects of dance practice, such as the Keinanen et al. review of dance instruction claims on reading and nonverbal reasoning improvements (Keinänen, Hetland, and Winner 2000), and **'active in arts'** – the studies that cover a wide range of hands-on artistic activities, like the Goodlad et al. report which assessed the impacts of community-based arts and social inclusion projects that offered an artistic experience of 'combined arts' (drama, music, visual arts, grafts, dance and literature) to local communities in Scotland (Goodlad, Hamilton, and Taylor 2002). Among these studies which analysed an ensemble of active forms of engagement, a few succeeded in isolating the effects of different active formats of engagement. Catterall et al. started to discuss the effects of general arts involvement in human development, but proposed additional examination into the effects of high involvement in a single art discipline, assuming that "if specific arts act in specific ways on cognition or other development" a single discipline should be understood as more significant (Catterall, Chapleau, and Iwanaga 1999:9). Harland et al., focusing on the effects of arts education in secondary schools, identified (based on qualitative research) a list of effects attributed to school-based arts education and examined the extension of these impacts within each type of artistic form that was provided (Harland et al. 2000). For example, dance showed higher levels of enjoyment, and drama activities were more associated with understanding social and moral issues and the development of interactive communication skills when compared to other art forms (Harland et al. 2000). The report of the Office for Standards in Education looked at UK schools in high social disadvantage areas where low attainment in core subjects did not mean low achievment in arts disciplines, and explored the influence of different art forms - music, dance, drama - on the pupil's views and perceptions of the art experiences (Office for Standards in Education 2003). Music and dance, for example, were reported to be connected to self-recognition, and drama was linked to the development of tolerance and communication skills (Office for Standards in Education 2003). In general, the graphic illustrates a pronounced link between the active engagement in arts activities and the educational outcomes, advocating for greater interest in this

field of research, particularly in arts programmes developed in school environments.

Another segment of the studies (covering 26%), assessed the social impacts of cultural activities in passive and receptive forms of engagement such as: **'attending cultural events'** – research analysing the effects of attending a range of cultural events, as in the case of Kilroy et al. study which examines the effects of attending cultural activities in general on concrete measures of health, such as psychological wellbeing, general health, anxiety and depression (Kilroy et al. 2007). Among these studies that combine different forms of passive engagement, there are cases that compare the effects by differentiating the formats of passive behaviours towards arts: the CASE report showing that attending an art event and visiting a museum has a positive impact on life satisfaction which is not realised when visiting libraries (CASE-The culture and sport Evidence Programme 2010); and the Wilkinson et al. article reporting that attending art exhibits, movies, dance, popular music and theatre performances is significantly associated with self-rated health, whereas to going to the opera and music recitals do not have any similar association (Wilkinson et al. 2007). In the **'going to museums'** category – these studies cover the impacts of visiting museums, for example the Fujiwara study which looks at the relationships between museum experiences and participants' happiness (Fujiwara 2013); For **'attending theatre plays'** – these studies analyse the consequences of going to the theatre, for example the Nanos Research study which reported on Canadians' perceptions of the role of live theatre in making their communities more vibrant and attractive places (Nanos Research 2014); and '**observing visual arts'** – studies focusing on measuring the effects of contemplating visual art, like the Wikstrom paper which explores ways of integrating visual art works in nursing care environments to improve health conditions (Wikstrom 2011). In the graphic for this segment a distinctive link is observed between passive forms of arts engagement and measuring health and effects on wellbeing.

The remaining reviewed studies (21%) assessed the social impacts of cultural activities in both active (**'active arts'**) and passive dimensions ('**attending cultural events'**). An interesting example is the paper by Cuypers et al. which examines the association of receptive individual experiences (without self-doing) and creative cultural activities (active engagement in the creative process) on perceived health, anxiety, depression and satisfaction with life (Cuypers et al. 2011). Another example is that of Tepper et al., who argued that not all forms of arts engagement are connected with life satisfaction; engaging in fine arts and crafts is, but attending theatre isn't (Tepper 2014). Additionally, Wheatley and Bickerton concluded that engaging in arts activities is associated with greater life satisfaction, but these effects varied according to the frequency and type of activity (Wheatley and Bickerton 2016). The authors claimed that

satisfaction derived from passive activities is independent from the level of frequency, but satisfaction from activities which required active involvement (drawing, singing) is only found through regular participation (Wheatley and Bickerton 2016).

In short, this review shows that the reference studies have covered different 'cultural inputs' and that these inputs produce different effects - attending a classical music concert or playing piano do not provide the same type of experience and therefore do not have the same results on individuals.

Nevertheless, the review also shows there are studies that disregard this issue and measure the impacts of participation by grouping multiple arts forms, without differentiating them (Heath, Soep, and Roach 1998).

Likewise, the Heath et al. work on the impacts of non-school arts community programmes for youth, permitted inferring additional features that were not differentiated by the analysed studies, concerning the forms of engagement such as: the quality of the artistic programme or activity delivered, which is rarely addressed by the analysed references (Heath, Soep, and Roach 1998), and if the experience occurs alone or in groups, with family or friends.

Additionally, just two of the studies reviewed made references to creative practices in the domestic domain. In 2013 Charlton et al. in *Transforming Communities Through the Arts*, explored the impacts of community-based arts projects in three neighbourhoods, including in the debate infrequently analysed forms of art engagement; the 'domestic arts' like cooking, sewing, gardening and creative personal expression, like hairstyling and tattoos, as these were described to be of great value by the participants interviewed (Charlton et al. 2013). Tepper et al. also noted the more 'domestic' creative practices, concluding that "women receive a greater boost in life satisfaction than men from doing crafts and gardening"(Tepper 2014:16).

F. The main impact areas covered by the studies

Examining the literature on social impact assessment demonstrates that a wide range of effects and outcome areas can be attributed to arts and cultural activities – most of them being values that go beyond the aesthetic meaning of the experience and are capable of inducing personal and territorial development. Similar to the previous chapter's (Chapter 1) examination of the social theoretical constructs which highlighted the effects at both individual and collective levels, in this review of the social impact assessment the same two segments of impact scale were identified and arranged according to each appraisal. In this section (F) the mechanisms of impacts and methodologies of the studies are not yet discussed, as this debate is reserved for other sections (I and H, respectively). The table (1) summarizes the impacts outcome areas explored by the reviewed social impact studies, and gives a first impression that more impacts at the individual level have been the subject of research than

impacts at a collective level. Brief details of each highlighted impact area are set out next, with examples from the reviews.

Table 1 - Impact areas explored

INDIVIDUAL	COLLECTIVE
COGNITIVE	COMMUNITY SOCIAL VALUE
Academic achievement	Social contact and interaction
Learning new skills	Social inclusion
Communication skills	Promote sense of identity
Reading skills	Social capital
Literacy	Inspired action on social issue
Creative skills	Civic engagement
Mathematical skills	
Visual-spatial skills	TERRITORIAL
Entrepreneurial skills	Urban renewal – facilities
Technical arts skills	Local image
Aesthetic judgement development	Media Impact
	Institutional effects
ATTITUDINAL	Public safety
Self-confidence	
Self-esteem	
Self-control	ECONOMIC
Sense of pride	Tourism
Autonomy	Local business development
Self-expression	Employment opportunities
Attitudes at school	Income
Attendance levels at school	
Empathy and tolerance for others	
HEALTH	
Improve health	
Decrease anxiety	
Decrease symptom of depression	
Reduce medication	
Improve mental health	
Physiological performance	
Increase odds of survival	
PERCEPTION/MOTIVATION	
Motivation and energy	
Improve mood	
Feeling more + about arts	
Search for new arts-based education opportunities	
Self-image considerations	
Self-assessment	
WELLBEING	
Promote happiness	
Enjoyment	
Life satisfaction	
Job satisfaction	
Feeling of peace	

Individual Impacts

Regarding the individual impacts of cultural activities affecting people throughout engagement, the main identified topics of impact were, according to the review, cognitive development, attitudinal changes, perceptions and motivation, health improvements and wellbeing. A few authors considered the promotion of health and wellbeing as individual effects with public resonance, by conceding that although experiences that produce physical and mental health improvements are at the individual level, these can be manifested cumulatively and have resonance in society in the medium and long-term (McCarthy et al. 2004)(Carnwath and Brown 2014). However, as we will see, most of the health impact studies analysed were based on short-term assessments evidencing results at an individual level, and did not provide space for societal impacts to manifest. In any case, the line dividing the individual and collective segments is a very blurred one and the goal of this section is not to exhaustive debate the individual and collective categorisation, but to report the range of the outcome areas explored by the reviewed social impact studies.

The **'cognitive and attitudinal development'** impact areas were those most analysed by the reference studies. The potential outcomes of 'cognitive development' cover academic achievement, learning new skills such as communication, reading, mathematical, visual-spatial, creative, entrepreneurial and technical arts skills, the development of literacy and aesthetic judgement. The 'attitudinal' capacities include self-confidence, self-esteem, self-control, self-expression, sense of pride, capacity for autonomy, the enhancement of attendance levels and behaviour at school and the development of empathy for others.

Different studies have reported connections between the nexus between arts and cognitive development, particularly playing musical instruments and the development of cognitive skills such as mathematics. Catterall et al. studied middle and high-schoolers who were intensively involved in music using a large sample and controlling for social class variations, and concluded that students playing a musical instrumental do better in mathematical proficiency that those with no involvement in music and that mathematical skills increase over time with musical engagement (Catterall, Chapleau, and Iwanaga 1999). The previously-mentioned Southgate and Roscigno study assessed the association of three measures of music involvement with two academic outcomes – math and reading – for children and adolescents (Southgate and Roscigno 2009). In this study, math achievement is associated with young children's music involvement in school environments and parental attendance at concerts for young children and not with adolescents involvement, partly because contrary to young children who are assigned to compulsory music classes, adolescents can to choose to enrol or not (Southgate and Roscigno 2009). Reading skills were positively predicted by musical involvement in school, for both adolescents and children

(Southgate and Roscigno 2009). The authors found that music matters in academic achievement, not as a predictor but as a mediator of educational outcomes (Southgate and Roscigno 2009). Moving on from music, Goodman made the case for the contribution of dramatic play sessions in the classroom, apparently a 'non-learning' activity, on the development of literacy skills (reading and writing), general knowledge and the motivation of young children (Goodman 1990). Catterall et al. also explored the effects of the students' intensive involvement in theatre activities on reading, language skills and self-esteem. The authors argued the time spent reading lines and other actions around drama provided a rich language environment, demonstrating that the students involved in theatre activities outscored non-involved students in reading proficiency (Catterall, Chapleau, and Iwanaga 1999). Burger and Winner also analysed the capacity of engagement in arts to impact reading abilities, but through visual arts experiences (Burger and Winner 2000). Although their review on experimental studies did not support the hypothesis that there is a relationship between visual arts instruction and reading improvement (except for some effects in the area of reading readiness), they concluded that programmes that teach reading through the arts work better than reading instruction alone. They explained that an arts experience is more likely to be generalised to other visual skills than the more linguistic skill of decoding text (reading readiness measures depend to a large extent on visual or figural items compared with reading achievement measures) (Burger and Winner 2000).

As for the 'attitudinal' capacities, Heath et al. assessed the effects of non-school community youth arts programmes, concluding that work in artistic areas as a youngster has the ability to stimulate self-discipline and self-confidence, by providing space for "strength of perception, ability to coordinate work towards production and performance and commitment to understanding contemporary circumstances while creating new ways of seeing" (Heath, Soep, and Roach 1998:4). Moreover, the Office for Standard Education report considered drama activities as opportunities to express feelings and develop self-confidence through performance (Office for Standards in Education 2003). Other studies explored the development of people's empathy and tolerance among different cultures and lifestyles. Taking Catterall et al. again as an example, the intensive involvement of students in theatre activities was described as an opportunity to interact with others and to put oneself in someone else's life by performing roles, thereby developing empathy and tolerance for each other (Catterall, Chapleau, and Iwanaga 1999). Charlton et al. also defended the potential of community based arts projects for increasing understanding among people and providing opportunities for sharing experiences (Charlton et al. 2013).

The first reported areas of individual impact, the cognitive and attitudinal, were tracked mainly for young people, as mentioned earlier when referring to 'arts on education' documents.

Again, as stated before, the second outcome area of individual impact assessed by the studies was '**health.**' According to the World Health Organization, "Health is a state of complete physical, mental and social well-being and not merely the absence of disease or infirmity"[19]. The different studies that have pointed out the successful results of incorporating art activities into the health care environment have covered aspects of improving mental and physical health, reducing stress, anxiety, symptoms of depression, the need for care service and medication and increasing the odds of survival. Also, as previously described, most health studies looked specifically at the effects of arts engagement on elderly and adult populations. For example, the research by Wikstrom et al. on the effects of visual art stimulation in elderly women living alone, found that women who had received art intervention registered a decrease in their systolic blood pressure, significant improvements in several self-reported indicators of health status such as dizziness, fatigue and pain, as well as positive mood parameters; happiness, peacefulness, satisfaction and calmness (Wikstrom, Theorell, and Sandstrom 1993). In a 2011 study Cuypers et al. assessed the relationship between cultural activities and health, increased the analyses to larger samples, added a gender analysis and covered receptive and creative cultural activities, arguing that these impacts are gender-dependent and distinctive between the activities (Cuypers et al. 2011). The authors concluded the frequency of cultural activities and the number of different forms were positively associated with good health, satisfaction with life, lower anxiety and depression scores, particularly in men engaging in receptive rather than creative cultural activities (Cuypers et al. 2011). Another analysis of an adult sample was Hill's research on the connection between Canadians' cultural activities and their personal health and wellbeing, concluding that art gallery visitors and theatre goers respectively have 35% and 32% greater likelihood of reporting very good or excellent health than non-visitors (Hill 2013). Although few in number, some of the references reviewed also covered assessments exploring the effects of arts on children's health, as in the case of the *Arts, Health and community* report (Everitt and Hamilton 2003). This report was oriented toward community arts projects, and sought to appraise ways in which the arts positively affect children's feelings of good health. Two exemplificative projects were particularly interesting: an asthmatic children and singing group activity, a 10-week after school programme in London's east end, where children with asthma problems took part in a singing activity to improve their breathing conditions and to relax. Children were invited to write or draw how they felt during the process and the participants reported being more relaxed (Everitt and Hamilton 2003). The other was in the Benwell community in Newcastle, which made use of storytelling as a speech

[19] Preamble to the Constitution of the World Health Organization as adopted by the International Health Conference, New York, 19-22 June, 1946; signed on 22 July 1946 by the representatives of 61 States (Official Records of the World Health Organization, no. 2, p. 100) and entered into force on 7 April 1948.

therapy for children with special narrative skills needs, reporting that the sessions help to improved language capabilities (Everitt and Hamilton 2003).

The **'perception and motivation'** segment covers people's perception of arts, feeling more positive about them and recognising their influence on personal motivation, energy, mood and on self-image and self-assessment considerations. For example, the Office for Standard Education report described one of the pupil's perceptions about dance was its ability to make them feel more comfortable and good about themselves and their personal image (Office for Standards in Education 2003). This perception impact segment also covers people's willingness to search for opportunities in art-based education, as reported by Miles and Clarke's research on the impact of arts interventions in criminal justice settings (Miles and Clarke 2006). The authors showed that offenders participating in arts activities in prisons felt motivated to seek out new arts based education opportunities (Miles and Clarke 2006). The Charlton et al. report, interviewed and invited people who pursue their own creative and artistic journeys (writers, painters), to get inside the discussion of arts' ability to transform communities, on the grounds that "Individuals who pursue their own arts practices speak passionately about the sheer enjoyment and satisfaction they get out of being creative. The arts have helped me "find my way," says a Weston Mt. Dennis resident who enjoys working on her own textile art projects" (Charlton et al. 2013:21).

The last individual outcome area explored by the studies focused on '**wellbeing'** outcomes, the assessed areas of impact were happiness, pleasure, enjoyment, life satisfaction and feeling of peace. As Allin discussed, "There is no single definition of wellbeing. The terms wellbeing, quality of life, happiness, life satisfaction and welfare are often used interchangeably (although some disciplines draw distinctions between them)," explaining the findings of different areas of impact to measure wellbeing (Allin 2007:46). Using Hill's research again as an example, it was found that classical musical attenders and theatre goers respectively have 29% and 30% greater likelihood of reporting very strong satisfaction with life than non-attendees to these cultural activities (Hill 2013). Fujiwara's work also found that visiting museums has a positive impact on happiness, even after controlling for other determinants (Fujiwara 2013).

Collective Impacts

Concerning the collective impacts of arts engagement reaching the public sphere, the literature review indicates that a smaller number of studies have looked at the connections between cultural activities and socio-indicators at the collective level. Still, three segments of impacts at a collective level were highlighted in the review; those concerned with the development of community social values, those oriented to territorial improvements, and a few studies that contained

references to economic outcomes. Among the reviewed references, the few studies covering these dimensions examined them from different scopes of the populations.

The **'community social value'** is an area of collective impact raised by cultural activities that concern the promotion of social contact, interaction and social inclusion, enhancement of the sense of community identity, development of the ability to cooperate on a social issue, to civic engage and to build social capital.
The cultural activities provide opportunities to enjoy public areas, to interact and to meet new people. The Secker et al. study on participatory arts projects developed in England with people with mental health needs, demonstrated that arts initiatives are opportunities for social contact that allow dealing with stigmas of isolation and for building bonds that contribute to social inclusion (Secker et al. 2007). Communities that engage in arts activities on the occasions of interacting build a sense of belonging to a place, a group, an identity, where there is recognition of common grounds. The 'El Sistema,' serves as a good example. It is a music teaching programme that uses classical music to address social exclusion problems in deprived contexts. It was successfully implemented in Venezuela in 1975. According to its founders, being part of an orchestra is an act of community and belonging, where the aims are respect for others and discipline, not only the music in itself (Allan 2010). This model influenced others to use the same method – music and orchestras – to transform communities and it is now replicated in different countries: the USA, France, Scotland, Portugal, etc. Another example is described by Charlton et al, which went to 'risky' neighbourhoods in Toronto to explore the ability of cultural activities to create a sense of place (Charlton et al. 2013). The authors presented the case of the St. James Town Festival, which attracts a diverse audience who live in the area and presents performances of local artists, to "reinforce the importance of place-based art that speaks from and resonates with community members" on "creating a sense of place in a larger urban context" (Charlton et al. 2013:13). In turn, a few reports found that social interaction and contact stimulated through engagement in the arts helps to develop trust with others and to establish networks. This consists of the ability of arts to raise social capital, as evidenced by Williams research on the social impacts of 89 community arts programmes (D. Williams 1996). This author reported the following social capital outcomes, based on participants and observers feedback: the programmes improved skills in communicating ideas and information, increased appreciation of community arts, improved skills in planning and organising activities, improved understanding of different cultures or lifestyles, improved consultation between government and community (D. Williams 1996). Goodlad et al. evaluated arts programmes designed to secure social inclusion, and also identified the ability of these projects to change communities in terms of creating formal and informal partnerships and to increasing social capital (Goodlad, Hamilton, and Taylor

2002). Returning to Williams evaluation on the social impacts of community based arts programmes, the author reported the following results regarding the ability of these projects in activating social change: 88% help to raise public awareness of an issue and 62% inspired action on a social issue (D. Williams 1996). Regarding civic engagement, Heath et al. argued likewise, that youth engaging in non-school arts-based programmes are more likely to be aware and involved in social and civic values - eight times more likely to receive a community service award and to perform community service more than four times as often as non-arts participant students (Heath, Soep, and Roach 1998). Hill articulated that the likelihood of having volunteered in the past year differs according to the form of engagement. Art gallery goers have an 89% greater likelihood of having volunteered in past year than non-visitors, pop concert goers are 64% more likely than non-attendees, classical music goers have 86% greater likelihood and book readers are 74% more likely than non-readers to have volunteered in past year (Hill 2013).
Most of these examples coming from the reviewed references regarding the construction of community social value were studies that evaluated 'community-based arts programmes.'

The following area of collective impact regards the **'territorial'** improvements that cover physical and immaterial urban requalification. Physical, in the sense of new infrastructures, new forms of appropriation of public space, and immaterial to denote both the perceptions of the territory image (regarding safety, for example) and institutional transformations. In general, the European Capital of Culture project is a good example of a cultural-based programme oriented towards the regeneration of both physical and immaterial images of the host city. The report on the impacts of Guimarães 2012 European Capital of Culture stated that the programme was developed intensively involving the local community, promoting the use of public spaces and generating specific projects for the requalification of the city's urban area (Universidade do Minho 2013). At the Liverpool European Capital of Culture 2008 the media had a large role to play in promoting the city, as the local papers increased positive coverage of the city since 2003 (from 39% to 56%) and decreased negative coverage to its lowest in 2008 (Garcia, Cox, and Melville 2010). The Liverpool 2008 designation helped to transform people's awareness and perceptions of the city, as 77% of the visitors felt the city to be safer than expected, and 68% of the UK business considered the European programme had a positive impact on the city image (Garcia, Cox, and Melville 2010). Moreover, *Community Matters*, an initiative brought to life based on the idea of neighbours helping neighbours, recognized the importance of art works, of working with local artists and creative assets, to bring people together and to sustain the revitalisation of spaces, "by connecting artists to artists and encouraging art-making in the community they are discovering opportunities for art to make a difference. They are developing an art plan that will transform

public spaces in the neighbourhood through mosaics and murals, a sculpture garden, community walks, and activities such as knit bombing trees, painting Bell boxes, and planting gardens" (Charlton et al. 2013:27).
Concerning the institutional effects, within the reviewed references the only study reporting this type of effect was an arts education programme provided by schools. This is due, above all, to the already mentioned fact that the social impact of cultural activities has been measured outside of the traditional cultural institutions. According to the *Arts education in secondary schools: effects and effectiveness* study, some of the major benefits of arts programmes were the effects on the school 'ethos,' in the sense of pride and of the positive and adventurous atmosphere created by involvement in the arts, and on the 'school image,' which raised its public profile due to the arts activities it promoted (Harland et al. 2000).

Lastly, a few studies reported some impressions regarding the '**economic**' impacts, which reflect the capacities that cultural activities have to increase employment opportunities, to develop tourism and local commerce and to induce new sources of income. The Liverpool 2008 initiative reported to be responsible for attracting 9.7 million additional visits to the city (comprising 35% of all visits to the city in 2008), which generated an economic impact of £753.8 million (Garcia, Cox, and Melville 2010). Beyond the Capitals of Culture examples, Williams showed in his research that 49% of the 89 analysed community-based arts programmes generated an increase in the employment level (D. Williams 1996). Secker et al, also declared that participatory art works were related with increasing opportunities of employment (Secker et al. 2007).

These discussions of the 'economic' and 'territorial' dimensions in studies focusing on the social impacts of cultural activities, occur in a few cases where a whole spectrum of dimensions was embraced in the analysis of the effects.

To close the review of outcome areas of impact a reference must be made to the small number of studies that have pointed to considerations on the negative impacts of cultural activities, as opposed to the large list of positive outcomes. An exception is the modest insight of Bygren et al. on how "people lose their sense of reality and identify with asocial models of behaviour and are themselves encouraged towards asocial behaviour" with arts engagement (Bygren, Konlaan, and Johansson 1996:1578).

G. The time frame of the impact analysis

The consultation of the work produced on the social impact assessment of the cultural activities has already demonstrated that any new programme is likely to produce impacts in some way. However, it also showed that the sustainability of these impacts is related with the project duration, with the frequency of

engagement and with the nature of the cultural inputs. So, a short-term analysis of a short life cultural project evidences effects that are transitory and tend to last not much beyond the period of intervention-engagement. A short-term frame of impact analysis are those evaluations produced in periods equal to or less than one year. The table below was built based on the review and shows that 73% of the analysed studies produced assessments in a short-term time frame: 64% of which are evaluations of individual impacts and 13% of collective impacts.

Table 2 - Analysis length

Impact covered\Analysis length	Short-term	Long-term
Individual	**64%**	18%
Collective	13%	**5%**

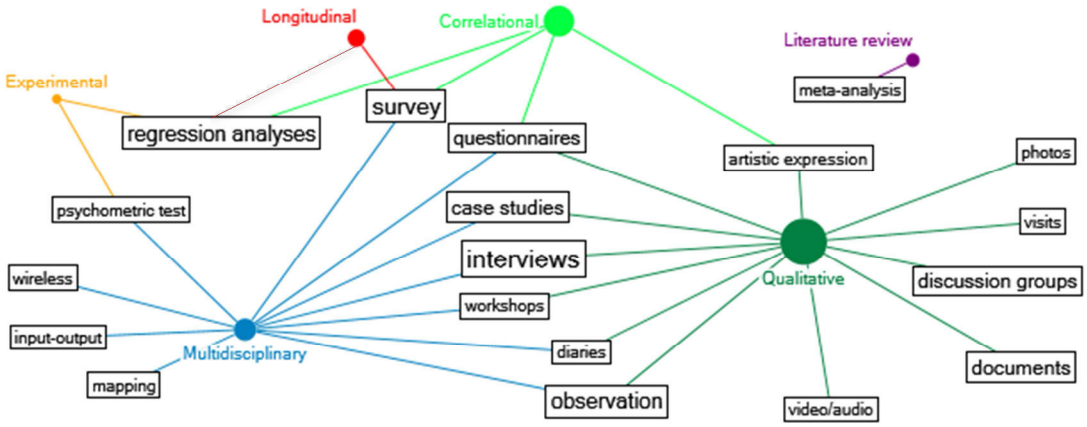
This restricted time frame of these analyses constitutes a barrier to the real assessment of the sustainability of the effects and it produces "outputs rather than longer term outcomes or impact" (AEGIS 2005:10). In fact, according to the operational management terminology of a particular project (or programme) it is possible to trace the concepts on a time-line: inputs, activities, outputs, outcomes and impacts (Smithson et al. 2012). Therefore, the mass production of impact studies inside the cultural sector shows that the terms 'outputs,' 'outcomes,' and 'impacts' tend to be confused and the studies, instead of evaluating the impacts – witnesses the social transformations and development – merely conduct quantifications of outputs and outcomes. The 'outputs,' the immediate results of a specific project, reported for example by performances and audience numbers, are not very often sometimes treated as if they were the 'impacts' of the projects. However, as the boundaries are very thin, it is more common to confound the 'impacts' with the 'outcomes' and thus demonstrate the short-term results and changes derived from a project, for example increasing awareness of a theatre play.

Moreover, the table clearly highlights, once again, the collective dimension has been receiving less attention from researchers, especially in the long-term analyses of the collective impacts (5%).

H. Identified methodological approaches and data collection methods

The next graphic covers one of the most relevant issues of the impact assessment studies: data collection methods and methodological approaches. As before, the information is presented based on categories of methods that emerged from the review. Regarding the methodological approach, as the graphic (Figure 3) illustrates the references highlighted six main approaches: the qualitative, the correlational, the multidisciplinary, the longitudinal, the literature review and the experimental studies.

Figure 3 - Data collection methods and methodological approaches



The qualitative approach is the most frequently used methodology, which is predictable for a sector that deals with the subjectivity of the cultural experiences, the intangible and 'hard-to-measure' dimensions (Holden and Baltà 2012) of human and social development. As Secker et al. argued, qualitative methods are required to acknowledge the context of change: "quantitative methods are only useful in assessing the extent of any change associated with arts participation. To understand how and in what context change occurs, qualitative methods are required" (Secker et al. 2007:12). For their main data collection methods these qualitative approaches adopt: interviews, open-ended questionnaires, observations, discussion groups, visits to the places of intervention, analyses of previous relevant documents, workshops, video and audio recordings, diaries and written statement processes, photos and artistic expression techniques. This last method, artistic expression, entails creative instruments for collecting and reporting information. In Allan's work on 'art and inclusive imagination,' the arts were used as a method to gather information: young children were asked to make a piece of art which captured their sense of the day and their perception of the impacts of the activity they had undertaken (Allan 2010). This method was also employed in 'arts on health' research, where children in hospitals were asked to use art materials to express and share emotions (Soman and English 2010). Hickman, in turn, used visual art as an explanatory vehicle for reporting information on educational research, based on classroom observation (Hickman 2007). The author proposes a discussion on the role of art as 'evidence of learning' process rather than art as object, where the meaning and information provided by the arts rise in detriment to their aesthetic quality (Hickman 2007). In order to gather information on the potential outcomes the reviewed qualitative studies established a combination of some of these data collection tools. The information is later treated through statistical exploration and through other particular frameworks, such as the logical framework approach or the context-mechanism-outcome. Nevertheless, the qualitative approach alone is limited by being unable to infer causality, as

Fujiwara states: "Qualitative survey techniques can be useful for understanding the different aspects of a positive (or negative) experience and they can guide us in showing some of the outcomes that may be of import, but their use in understanding and attributing causality are severely limited" (Fujiwara 2013:9)

Subsequent to the qualitative approach, the correlation studies are those based on questionnaires or surveys that describe the short-term relations between the engagement with an art form and the outcomes of interest. These studies used multiple regression analyses, like probit and logistic models, and t-tests to infer positive (but only transitory) outcomes of art enrichment (Wilkinson et al. 2007)(Cuypers et al. 2011)(Hill 2013). Some of these documents acknowledge the limits of their analyse to establish causality links, as Corrigall and Trainor state "because these results are correlational, the direction of causation cannot be determined" (Corrigall and Trainor 2011:153). Hill detailed that "it is very difficult to provide evidence of a cause and effect relationship between the variables in a statistical model in the absence of an experiment to directly measure the impacts of culture on personal well-being" (Hill 2013:2). Yang, when attempting to identify the causal effect of music practice on education, tries to address the endogeneity caused by innate abilities, but recognises "Future research with more comprehensive data could shed more light on the causal effect of music practice on education" (Yang 2015:394). Other documents advocate for the importance to build longitudinal analysis (Cuypers et al. 2011).

Following is the multidisciplinary approach, which combines quantitative and qualitative data. This is a common practice when assessing major cultural programmes, such as the European Capitals of Culture interventions that, as has already been said, provide evidence on a whole spectrum of dimensions, including the social sphere, economic, cultural, environmental, etc. (Garcia, Cox, and Melville 2010) (Universidade do Minho 2013). Additionally, it is also used by studies that tailor other specific combinations of qualitative and quantitative information to track arts and culture effects. One example is a pioneering study on museum contexts that makes use of data from two sources: questionnaires, which allowed gathering aesthetic information, and electronic data gloves used by participants, which recorded their physical positions and physiological parameters through wireless systems (Tschacher et al. 2012). Another is the wellbeing valuation approach, which gives monetary values to the effects of arts and culture engagement on wellbeing (CASE-The culture and sport Evidence Programme 2010)(Fujiwara 2013). In general, the multidisciplinary approach produces short-term evaluations, therefore, it tends to analyse the outputs and transitory outcomes produced by the activities rather than the sustainability of the effects.

Next on the list is the longitudinal approach, which emerges as a method that tracks the effects of cultural engagement during a period of time on a specific dimension of health or education. The longitudinal studies are based on long-term surveys (usually secondary national data sets) and, just like the correlational approach, employ multiple regressions analyses and probability models, but without restricting the temporal analysis. However, once more these studies are purely correlational in the sense that they establish a link between the cultural activity engagement and the effects, and not a causation effect. Nevertheless, all the longitudinal studies acknowledge that on one hand, their findings are not able to infer causality – "only a randomized design experimental study can capture causality" (Southgate and Roscigno 2009:18) and on the other hand, that experimental analyses are very difficult to carry out in their fields of research– "establishing causation in education and social science research is difficult" (Catterall and Waldorf 1999).

Subsequently, three studies all dating from 2000 and researching educational outcomes of arts instruction, used meta-analysis methods to conduct literature reviews. Butzlaff's meta-analysis was performed on thirty-one studies focusing on the effects of music instruction on children's reading skills (Butzlaff 2000). The author found that although the correlational studies demonstrated a strong and reliable association between music instruction and standardized measures of reading ability, the same causal link between music and reading was not found for experimental studies (Butzlaff 2000). Keinänen et al. performed a meta-analysis to identify and to assess studies researching the outcomes of dance instruction (Keinänen, Hetland, and Winner 2000). From 3714 studies the authors found only seven met the researchers' criteria of experimental studies, and these were concluded to be limited for drawing strong conclusions about the power of dance to serve as an effective means of improving reading (Keinänen, Hetland, and Winner 2000). Burger and Winner's meta-analysis focused on ten references which researched the role of visual arts in enhancing reading skills (Burger and Winner 2000). The authors concluded first that the effect size calculations for the studies were very heterogeneous and did not support the hypothesis that there is a relationship between arts instruction and reading improvement, except in the area of reading readiness. Second, there was a positive, moderately sized, relationship between reading improvement and an integrated arts-reading form of instruction, compared with reading instruction alone (Burger and Winner 2000). The authors argued that due to the small number of studies found it is only possible to sustain marginal support for the hypothesis, and that generalizations cannot be made (Burger and Winner 2000).

Lastly, two studies which have already been mentioned, undertook short-term visual arts experiments to explore the role of painting and photography as a possible modality for improving health status in an elderly population. First, in

1993, Wikstrom et al. developed a case-control intervention study with elderly women living alone (Wikstrom, Theorell, and Sandstrom 1993). Second, Bygren et al. produced a visual arts experiment in congregated house units of elderly people in Stockholm to assess whether exposure to the arts could affect residents' health when compared with in-house boule activities (Bygren et al. 2013). Both experiments presented limitations in regard to the sample size - 40 in the first and 23 in the second. Additionally, both worked on the restricted time of the intervention and analysis, disabling the production and accountability of sustainable effects.

In general, the low number of experimental studies found in this literature review and also in the three meta-studies just described, are testimony to the difficulties attached to the production of true experimental research in the social sciences. As Winner and Hetland argued concerning educational contexts, experiments in school environments with randomly assigned arts students and teachers are "very difficult to carry out in the real world of school. Researches must therefore adopt quasi-experimental methods…The key issue is the nature of the comparison group. In order for clear conclusions to be drawn, the two classrooms or programmes should have students matched in pre-existing ability and other relevant background variables, such as parent education, and should have similar quality of teachers"(Winner and Hetland 2000:5).

I. Explored mechanism of impact

The review of the work produced on the social impact assessment allowed detailing a range of potential effects attributed to engagement in arts and cultural activities. Moreover, contrary to the theoretical insights, previously discussed in the social legitimation of culture (Chapter 1), the impact assessment frameworks (according to the reviewed studies), actually proposed mechanisms through which culture is capable of producing these identified social effects. Nevertheless, there were only a few studies that described possible mechanisms, and those that try to explain and grasp these channels look specifically at the individual impacts – for example, how does playing musical instruments enhance the reading comprehension or how does dancing stimulate the linguistic intelligence, or how can visual art help to decrease tension? - leaving behind the discussion of concrete pathways for collective change.

Mechanisms of health improvement

In fact, it was inferred from the review that the studies focusing on health improvements derived from arts and culture engagement are the ones that have paid more attention to the mechanisms of effects, and consequently are the ones that have proposed explanatory frameworks for the processes of change.

In 1993, Wikstrom et al. reported that artistic means of expression could revitalise elderly people, claiming that the experience of contemplating works of art can stimulate spectators to think, to describe colour and forms, to activate the

imagination, to review life experiences and explore memories and to increase knowledge (Wikstrom, Theorell, and Sandstrom 1993). The authors claims for this process recognise that people have a psychological reality (dreams, feelings, thoughts, experiences) and an external reality (things and living creatures) and that when contemplating a work of art the spectator is between these realities and open to develop their imagination: "When a person is contemplating a work of art he or she is secluded from reality and free to express and develop his or her imagination and associations without consequences for his or her daily life" (Wikstrom, Theorell, and Sandstrom 1993:196).

More recently Bygren et al. argued that besides pure contemplation, it is crucial to pay attention to the intensity and capability of art intervention to stimulate dialogue in order to produce real effects on people (Bygren et al. 2013). As already mentioned, these authors compared the effects of two short-term experiments - elderly exposed to an environment with visual arts and elderly engaging in sessions of in-house boule - and concluded the depression levels increased in the art intervention group and decreased in the play boule group (Bygren et al. 2013). The results show that environmental enrichment through visual arts was insufficient for promoting health improvement, as it is passive and weak in dialogue compared with the physical action and social interaction promoted by in-house boule activity (Bygren et al. 2013).

Wilkinson et al. advocated that "it seems plausible that the benefits derived from attending cultural activities are related, partly at least, to social aspects of the activities" (Wilkinson et al. 2007:26). So, in cases where the dialogue and social interactions are absent the potential impacts, at least in health, are hardest to find.

Kilroy et al. stressed this issue when defining a 'Model of transformational Change' to describe the process of transformation in the outcomes of arts engagement on health and wellbeing, as an open-learning system of interconnecting feedback loops (Kilroy et al. 2007). According to their model, art brings inspirational work and offers the potential to enter into 'flow' (edge) states where change can occur and new elements (learning processes) can arise. This process of transformation, which suggests art as a catalyst of change, depends on the participant being open to creation, on the qualities of the experimentation and on the process of response (Kilroy et al. 2007). Nevertheless, this model is centred on the feedback of experience between participant and artist/practitioner, and does not clarify the specific channels of effects that are facilitated by the different art forms.

Briefly, these first explanatory studies into the process of health enhancement highlighted key drivers for triggering improvements that are brought about by arts and cultural engagement: the opportunities for dialogue and social interaction and to develop imagination and thinking processes.

Nonetheless, some studies have also explored the physiological responses to the arts and cultural engagements that unlock the health benefits, although pointed out that in many aspects also these responses still remain unclear.

The Bygren et al. study, when assessing the impact of attending cultural events, reading and making music as determiners for survival, briefly explored potential 'routes of influence' in the human body as a response to art, by arguing that cultural experiences through verbal expression, writing or painting (actions with no effect on real life), provide emotional arousal (changes in the humoral nervous system), which can enhance physical health and the immunity function (Bygren, Konlaan, and Johansson 1996). One pathway described is the innervation of lymphoid organs (translated by the emotional state) and the release of neurotransmitters for which the organs have receptors that might enhance immune functions that protect against infections (Johansson, Konlaan, and Bygren 2001). The other is the 'hypothalamic-pituitary-adrenal axis,' – the enrichment of the environment increases the number of glucocorticoid receptors in the hippocampus, which can be important for depressive conditions (Johansson, Konlaan, and Bygren 2001). Through intervening with symbols and other structures descriptive of feelings, another capability of works of art is to objectify human feelings and help people to understand their inner life, and consequently reduce inner tensions (Johansson, Konlaan, and Bygren 2001). Moreover, the authors found that works of art were able to provide 'vicarious experiences' of covert desires, throughout attributes of brightness, colour, hints of food, sex and death, which arouse 'attention, alertness or excitement' in life (Johansson, Konlaan, and Bygren 2001). These physiological routes are instructive as to the improvements in the immune system, in the levels of depression and tension, and in life vitality.

Cuypers et al. also identified a possible pathway for the positive influences of participation in cultural activities in perceived health, which "may be found in the stress reduction that decreases the oxidative DNA damage and the formation of 8-hydroxydeoxyguanosine, elevated levels of which are linked to the development of disease"(Cuypers et al. 2011:5).

An additional study, the review *Art and wellness: The importance of art for Aboriginal peoples' health and healing,* found another potential enabler of health effects transported by arts experiences; the development of activities based on individuals and communities knowledge, traditions, and values (Muirhead and De Leeuw 2012). The authors argued that the most effective solutions to improving the 'new health reality' are opportunities for creative expression which are strongly linked with community vitality and wellbeing (Muirhead and De Leeuw 2012). Therefore, they advocated that art therapy, the encouragement of artistic expressions and creative ways of being, can be a tool for improving the health conditions in the case of the aboriginal peoples of Canada. Art therapy was defined as the 'union of creative processes and psychotherapy' and that providing opportunities for expression as alternatives to verbal dialogue,

removes communication barriers and facilitates the sharing and expression of emotions, enhancing self-esteem and self-confidence (Muirhead and De Leeuw 2012).

Mechanisms of educational outcomes

Likewise, researchers on the educational outcomes of the arts engagement also explored some impact mechanisms. Heath et al. explored potential channels of impact when assessing the role of non-school arts programmes on the general learning capacities of local youth living in low-income areas (Heath, Soep, and Roach 1998). The authors found that to create something an 'artist' passes through a process of 'abstraction, 'wonder' and 'challenge' where they explore feelings, concepts and images on structures confronting the wonderland and the real world. Simultaneously, the authors argued that young children, when engaging in the aesthetical experiments, go through similar processes of abstraction and of 'free-spirit' creation (dancing, singing, painting). They state that for these children "art lies in the certainty of the power of creation they know they have and not in predictable repetition of a sameness," explaining why children produce entirely new outputs when asked to repeat previous performances (Heath, Soep, and Roach 1998:4-5). Moreover the authors described how teenagers and young artists embedded in non-school arts programmes dig into creative processes, to translate perceptions of reality into concrete new expressions that "bring the mental shaping of their art into the open" through verbal behaviours; for example, when invited to interpret their works, to verbalize and articulate private insights with others, and to reflect on received critiques and acquired techniques (Heath, Soep, and Roach 1998:5). Therefore, these teenagers were confronted with values brought by the arts programmes; critical ways of thinking and talking, the ability to solve problems, risk-taking and challenge, the opportunity to be carried away and transported into other areas of real life, which are not exclusive to artistic actions but can be transported, with reflection and deep engagement, towards general life learning and cognitive dimensions into the shape of 'patterns of action' (Heath, Soep, and Roach 1998). The authors recalled, once more, that arts experiences are able to induce an open mind set, able to navigate into abstraction and to develop imagination, which are elements required for boosting extrinsic cognitive impacts. This mechanism of transferring primary skills developed by arts and cultural activities into external cognitive abilities is found in other studies.

Catterall et al. described the process of musical experience – learning how to read musical notation, symbols and deal with the abstract dimensions of time, rhythm and pitch, as a practice that aggregates a set of skills development which involves training in mathematical abilities (Catterall, Chapleau, and Iwanaga 1999). For example, to understand the rhythm (the beats in time) two mathematical abilities are required and stimulated throughout a musical experience, – to count and to fractionate musical notes (Catterall, Chapleau, and

Iwanaga 1999). This is what Southgate and Roscigno described as a process of 'cultural capital construct' that provides cognitive and social tools to help in the educational training during the early and later schooling years (Southgate and Roscigno 2009). Burger et al. proposed two mechanisms, the cognitive and the motivational, to illustrate how visual arts can enhance reading abilities (Burger and Winner 2000). The authors considered visual art experiences might enhance visual perception skills that can be transferred to reading skills through a cognitive mechanism. In turn, they described how motivational mechanisms reflect added motivation that can be encouraged in children who engage in arts projects related to reading and become keener on exploring reading and writing skills (Burger and Winner 2000).

Nevertheless, the review disclosed that there is no consensus on understanding the cognitive mechanism, i.e., the process of transferring knowledge from the skills developed in the arts activity towards improvements in other less or more associated skills.

Based on Howard Gardner's theory of multiple intelligences[20], Keinänen et al. discussed the effects of dance instruction on other cognitive areas besides the dance learning itself, presenting a direct relationship between dance skills and intelligences acquired: the credible spatial and musical intelligence stimulated by the dance, the linguistic intelligence stimulated when learning dance vocabulary and discussing dance sequences, the interpersonal intelligence encouraged by dancing in groups and the opportunities for self-expression presented in the movements, which allow intrapersonal intelligence to develop (Keinänen, Hetland, and Winner 2000). Nevertheless, the analysis does not provide strong conclusions for all the outcomes (Keinänen, Hetland, and Winner 2000).

Burton et al. in turn, described learning in the arts as a complex and multi-dimensional project and held that the relationship between learning arts in schools and learning in other disciplines is not unidirectional (from arts to other fields) but dynamic and interactive (Burton, Horowitz, and Abeles 1999). The authors speculated that the development of competencies is a result of the cumulative effects of a variety of disciplines, not exclusively the arts. But where the arts have a particular role to play is through the frameworks of learning they induce – more open and flexible, involving collaboration and empathy, with opportunities to express feelings, stimulate imagination and risk taking (Burton, Horowitz, and Abeles 1999).

MacBeath et al. pointed out factors similar to those attributed to the arts learning experiences when describing reasons for the effectiveness of 'study support activities' on educational outcomes: the spirit of the activities, the climate created by the staff and the voluntary attendance of the participants (MacBeth, Kirwan, and Myers 2001). The role of the staff - the arts professionals

[20] *Frames of Mind: The Theory of Multiple Intelligences* (Gardner 1983)

developing the activities – was defined as essential to ensuring the quality of the experience, to enhance the motivation of participants and consequently to certify the development of the potential outcomes. The effectiveness of the arts provider teams depends on their capabilities to challenge the students creatively, to allow their freedom of expression in class environment and to value and support their work (Office for Standards in Education 2003).

Corrigal and Trainor attempted to describe the complexity of the cognitive mechanisms when observing music impacts in children, and concluded "music training might benefit skills in various domains through either a near transfer or a far transfer mechanism" (Corrigall and Trainor 2011:147). A near transfer "occurs when training in one skill leads to improvements in a highly associated skill", for example playing a musical instrument trains the auditory skills, so musical training is expected to be associated with skills that depend on auditory processing like rhythmic skills (Corrigall and Trainor 2011:147). Far transfer "occurs when training in one skill leads to improvements in seemingly unrelated skills," for example the association between music lessons and general intelligence (Corrigall and Trainor 2011:148). The authors argued that "The mechanisms supporting far transfer are difficult to explain, however, and attempts at identifying how music training affects general intelligence have thus far failed" (Corrigall and Trainor 2011:148). Different authors have adopted the 'near transfer or far transfer' differentiation to explain the mechanisms, a categorisation that Catterall defined as the "degree of similarity between the context in which learning in the arts occurs and the context in which transferred developments are seen and measured" (Catterall 2002:154). However, Catterall claimed these terms are more useful in a 'heuristic sense than in a substantive sense,' arguing "any transfer to learning, near or far, is better judged on the veracity of the claimed relationship along with the value of the outcome itself."(Catterall 2002:154) This is to say that outcomes like reading skills and mathematics skills need to be judged 'in their own right' and not at the level of the transfer, whether it was from near - drama to reading- or from far - music to mathematics (Catterall 2002).

Catterall later proposed two mechanisms for understanding the process of learning through the arts: 'conversation and silence' (Catterall 2005). The 'conversation' mechanism was divided into the inner and the interpersonal dialogues attached, respectively, to the creative and expressive processes. In an 'inner conversation' the artist's thoughts and thinking processes during a creation are considered as the metacognitive activity; and the 'interpersonal conversation' of the creative reflection derived by involving arts is 'assisted metacognition.' One example "is the use of period art prints in social studies and history textbooks," such as Picasso's *Guernica* (Catterall 2005:3). This process of social conversation and reflection boosted by the arts is closely related with the Bygren et al. advocacy of the importance of dialogue in a visual art experiment to boost effects on health conditions (Bygren et al. 2013). The 'silence' mechanism,

in turn, refers to the "neuro-dynamic learning processes that take place without any awareness on the part of the learner," all the subconscious brain functions and cognitive re-structuring that link learning in the arts with non-arts related skills (Catterall 2005:5). This 'silence' is realised in the subsequent theoretical mechanism: arts experiences reorganize neural pathways and this development of the brain function may impact how the brain processes other non-artistic tasks (Catterall 2005). Again, this process of 'silence' is strictly connected to the physiological answers to arts described by health studies.

In their study on the effects attributed to school-based arts education programmes Harland et al. also make a significant contribution to the understanding of the outcomes developed and the relationship between the effects and the factors and processes associated with arts provision in schools (Harland et al. 2000). The authors developed a refined 'model of arts education outcomes,' according to which there are two main types of outcomes, the ones 'on pupils' and the ones 'on others,' each comprised of different categories (Harland et al. 2000). The effects 'on pupils' are gathered from direct outcome categories - the 'intrinsic and immediate effects' and the 'arts knowledge and skills' – to categories that require a certain degree of transferability – 'knowledge in the social and cultural domains,' 'creativity and thinking skills' and 'communication and expressive skills' – and also categories that entail a significant level of transferability – 'personal and social development' and 'extrinsic effects' (Harland et al. 2000). The effects 'on others' comprise outcomes on the school (the example already advanced on the 'institutional effects' in section F.), on the community (encouraging parents support and community involvement in the activities) and on art itself. These categories in the outcomes model were reported to often overlap and establish flows of influence between each other. For example, the major part of the effects 'on others' were set to be mediated and fed through the direct involvement of pupils in the arts and so were defined as 'interpersonal second-order or knock-on effects' (Harland et al. 2000). The Harland et al. model therefore introduces "a notion of progression from intrinsic to extrinsic outcomes – or from direct to indirect outcomes," However, it advocates that the youngest pupils do not all develop in a mechanistic or linear manner as the model might translate: "In reality, the evidence suggests that learning proceeds as a result of a complex series of cyclical interactions between the various categories depending on the type of provision experienced" (Harland et al. 2000:24).

Therefore, while it was said above that the mechanism of impacts at the collective level were not formally examined by the reviewed studies, it is true that a few works, like that of Harland et al. provide some enlightenment into the reflection of the impact propagation towards the public level.

In this regard, Williams argued that collaborative artistic practice at the community level is a powerful resource for the communication of ideas and values and for social interaction that allows communities to create a sense of

place, to establish their values and to learn to appreciate other value systems through art works (D. Williams 1996). The author affirmed that community cultural expression – the community values, traditions, beliefs and modes of life – means to 'transform minds, organisations, institutions and society,' and so it is relevant for the development processes of democracy and growth (D. Williams 1996).

In their research on arts programmes leading to social inclusion, Goodlad et al. identified the most important factors that provide context for social change and so for the production of collective impacts as: the effectiveness of the local staff to reach people, the capacity to work with existing groups, the quality of the arts experiences, the development of partnerships (formal and informal) and the expertise to produce immediate impacts on the participants (Goodlad, Hamilton, and Taylor 2002). Similar factors were encountered in the review when discussing individual impacts.

Charlton et al. conducted research on community transformation, arguing that arts programmes were able to address social inclusion by breaking down barriers and by providing opportunities to meet others that "share our creative spirit or desire to make a change" (Charlton et al. 2013:31).

Summing up, engagement in artistic practices provides opportunities not only for exploring community values, which helps to reinforce the community value systems and the sense of place, but also for meeting other groups and their value systems, which encourages cohesion and the development of partnerships.

To close the discussion of the mechanisms through which cultural activities derive to the various outcome areas of social impact, it is seen that although the channels of individual impact have been receiving more attention than the collective ones, there is still no consensus on how the direct effects of arts and cultural engagement evolve to convert into effects in other indirect non-artistic dimensions such as health or cognitive enhancements, as these are multifaceted and complex processes. As Wikstrom et al. said, "The effects of art stimulation are full of nuances compared to those of stimulating specific social or psychological functions" (Wikstrom, Theorell, and Sandstrom 1993:196).

2.3. Review considerations on the assessment of social impact

The review of the bibliographic corpus motivated further reflection on specific issues regarding social impact measurements of cultural activities. Before discussing them, it is important to mention that in the course of this literature review fifteen other literature reviews on the value and impacts of arts and culture to people and society were found. All of these appraisals were also analysed, as they were considered essential to the elaboration of this bibliographic consultation. These documents pointed out outcome areas of

analysis, indicators, methodological frameworks and limitations of the social impact assessments. A summary of these reviews is presented in Annex 3 ('The value and impacts of arts and culture, major reviews').

Returning to the considerations, the review findings encouraged further reflection on some specific topics:

- The local context of the analysis
- The bias towards the short-term appraisal
- The general chain of individual social change
- The complexity of social impact assessment: the challenges of the process
- The purpose of the evaluation: the reality and the utopia

The local context of the analysis

As discussed in the previous chapter, when introducing culture-based strategies of development, it is at the local level that cultural capital, those tangible and intangible elements attached to a territory, can be used as opportunities (resources) to produce high value products, experiences and services and consequently contribute to growth. From the bibliographic review of the social impact assessment it is clear that the major part of the evaluation studies do not take into account the local context of intervention and its particularities - especially when centring their assessment on the national data sets, which mask the territorial diversities. By contrast, it remains unclear whether the activities themselves are designed and developed with these local phenomena in consideration.

The bias towards the short-term appraisal

From the bibliographic review it was concluded that the major part of the appraisals are conducted on the short-term. There are three factors that can explain this bias towards the short-term analysis: first, the fact that the projects analysed are themselves mainly occasional and short-term; second, a large portion of the reviews are general reports commissioned by entities in the public sector or funders, which encourages brief analyses that are ideal for short-term political and operational rationales; third, long-term assessment is more costly and presents greater methodological challenges. As stated by Kancel et al., the medium and long-term analysis are more difficult to assess, in particular from the fact they do not emerge in an automatic manner and that the reality of their imputation is uncertain (Kancel et al. 2013).

However, in general terms, when analysing and measuring the social impacts produced by cultural activities the evaluators need to acknowledge the importance of the temporal dimension for capturing the intended effects. On the one hand, short-term analysis may be suitable to evidence transitory outcomes, but on the other hand, long-term assessments are demanded to account for most

of the extrinsic effects at the individual or collective level, which need time to emerge and to be sustainable.

For example, at individual level, if the goal is to measure pleasure and enjoyment produced by an activity, like going to a music concert, the immediate engagement effect can be assessed in a short analysis but it certainly will not last. If the desired effect to be measured is the sustainability of health improvements, this requires much more than going one night out to the cinema – it demands long-term arts engagement and consequently long-term appraisals.

At the collective level, for example, a dance festival taking place in a small territory might promote a temporary sense of community pride and belonging and be assessed by a short-term appraisal. But the ability of this same festival to build social capital, i.e., to create bonds and to establish networks inside the community will require more than one edition to occur, and demands long-term cumulative engagement of the population and, therefore, long-term evaluation.
Both examples, at the individual and collective level, for which a short-term analysis is reasonable, are effects at an intrinsic level. This polarity of intrinsic versus extrinsic levels was previously introduced and will continue to be explored throughout this research.

The general response chain of individual social change

The consultation of the work produced on social impact assessment allowed documenting a range of outcome areas attributed to the arts and cultural activities, most of which are extrinsic effects – those that go beyond the aesthetic meaning of the experience and are capable of inducing personal and territorial development. Nevertheless, it was concluded that these studies face what McCarthy et al. has described as the 'absence of specificity' (McCarthy et al. 2004). The authors claimed that most of the empirical research that advocates for the transformative power of culture and its instrumental (extrinsic) effects suffers from an 'absence of specificity,' i.e., the inability to explain and the propensity to ignore how the instrumental impacts are generated (McCarthy et al. 2004).
In fact, this consultation on social impact assessment found that the mechanisms concerning collective level effects have not been deeply discussed, probably because it is difficult to isolate them, as Guetzkow argued "One of the more vexing issues confronting anyone wishing to understand the impact of the arts on communities is the question of how to link micro-level effects on individuals to the more macro level of the community" (Guetzkow 2002:15); but in regard to the pathways of individual change, recognised that although different perspectives have been put forward to explain these processes (like cognitive and health impacts) there is no consensus on the channels through which cultural activity engagement is capable of inducing individual transformation. Nevertheless, the consolidation of these literature review perspectives permitted finding similarities in the processes of individual change and to propose a

general response chain, illustrative of individual transformation. According to Landry et al., a chain describes "those effects that go beyond the artefacts and the enactment of the event or performance itself and have a continuing influence upon, and directly touch, people's lives"(Landry et al. 1993).

The starting point of this chain is the engagement in a specific cultural input and the individual experience associated with it, as a result of which different human responses are stimulated, which in turn can originate primary and intrinsic effects and can induced secondary and extrinsic effects. The potential human responses that can be triggered with the engagement in a cultural experience are activated and influenced not only by the aesthetic elements transmitted and perceived via the art form (the artistic, visual and symbolic elements), but also by the influences of previous experiences (constitutive of patterns of reaction) and by the particularities of the contexts of engagement (the frame and setting of the experience).

Three possible human responses were identified: first, the emotional feedback that involves the stimulation of feelings, memories and inner perceptions of the self and life; second, the cognitive reaction, which encompasses the inspiration of thinking, imagination and creative processes, and third, all the physiological responses that manifest in bodily reactions to the experience, from an increased heartrate to changes in the nervous system. These human responses are presented in a descending order of consciousness; from the emotional, which is usually cognisant, towards the unconscious level of most of the physiological and human body reactions.

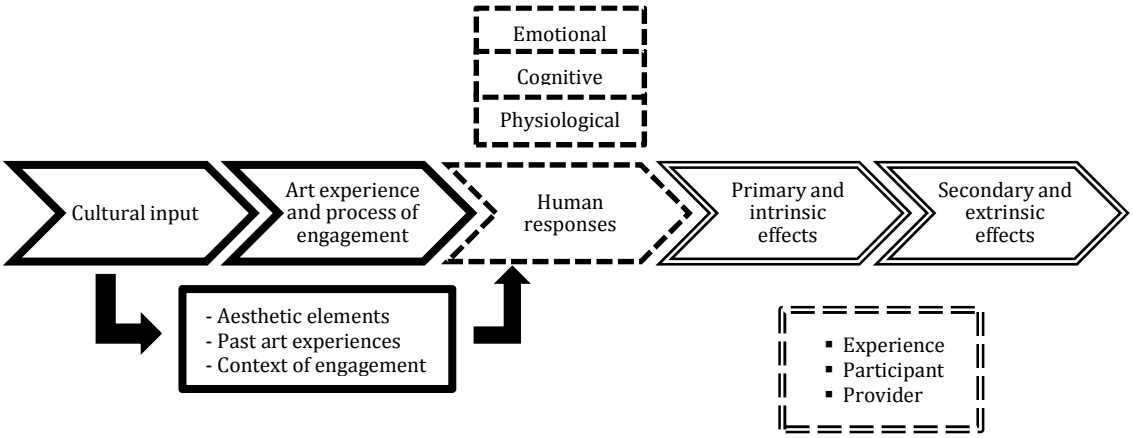
It is up to these human responses, together with other factors that affect the effectiveness of the propagation, that the consequent mechanisms of impact at the primary and secondary level are produced and explained. Thus, the expansion of the human response into immediate effects, and the propagation of these towards extrinsic level effects, are determined by factors attached to the 'experience,' the 'participant' and the 'provider.' A few of the reviewed studies enumerated factors that enhance the arts 'experience' effectiveness on inducing the propagation of the effects: activities which are linked with local community value systems, the flexible and open spirit of the engagement, the ability to boost collaboration and empathy, providing opportunities for expressing feelings and for stimulating imagination, and lastly, the intensity of the experience. Most of these drivers for challenging creativity are brought about by the aesthetic elements, as expressed by Wikstrom – art "has aesthetic value, and its crucial purpose is to provide aesthetic experience and to encourage creativity in the viewer"(Wikstrom 2011:2). In terms of 'participants' factors of effectiveness, these are manifested in the individual's response process towards engagement (which can be voluntary or mandatory), more specifically it involves the capacity of being open to dialogue, to interaction and to creative processes which will consequently affect the physiological and cognitive structures (neuro-dynamics) that sustain the transference from immediate effects into extrinsic effects. Lastly,

the 'provider' effectiveness is explained by the ability of the activity supplier to ensure the quality of the experience, i.e., to secure specific drivers brought about by the arts, the conditions for the participants' freedom of expression, stimulation of creativity and motivation for social interaction.

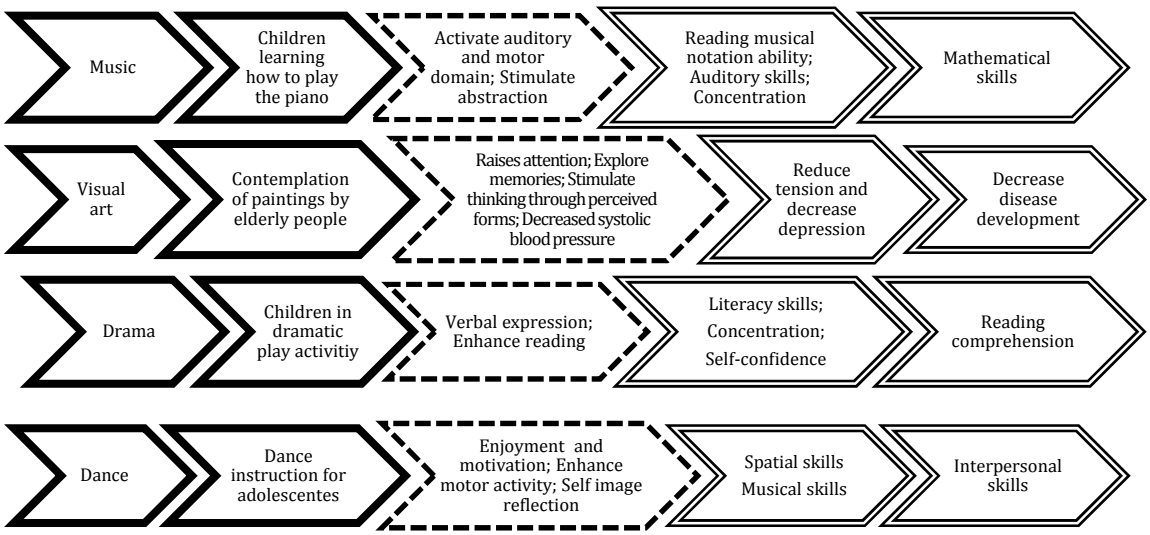
In Staricoff's review on the impact of arts on health, the author defined a mechanism of impact that fits this chain of individual social change (Staricoff 2004). Staricoff described how the biological process of response to viewing a painting is determined by the aesthetic interpretation: "the image is formed when the light enters the eyes and is converted into an electrical signal which is taken by the optic nerve to other regions of the brain" (Staricoff 2004:37). Consequently, meaning is attributed to this image, with the influence of previous experiences, by the reconstruction into "motion, depth, colours and forms" (Staricoff 2004:37).

The diagram below illustrates the general response chain of individual social change.

Figure 4 - General response chain of individual social change



Contributions from the literature reviewed provide an outline of the chain, with potential examples listed below according to specific art forms: visual art, music, dance and drama. This illustrates that there are different dimensions of human response and consequent impacts, according to each cultural input. Therefore it overcomes, in part, the lack of critical specifics about how individual level extrinsic effects are produced.



Although the chain is introduced as a linear diagram, it represents a very complex process in which spillover is not as simple as the figure might resemble. As has already been inferred from the review, there are no linear responses and connections between the arts engagement and a potential effect (Harland et al. 2000).

For example, Staricoff's review describes the response to listening to music as a complex fragmented neural process, that "the total experience of music appears as the result of decomposing the auditory stimulus, and distributing each component to different cortical areas specially adapted to receive the information" (Staricoff 2004:38). Moreover, as mentioned with the effectiveness factors inducing the expansion of effects towards an extrinsic level, culture and the arts play a very particular, but not exclusive role, where other disciplines are also significant (Burton, Horowitz, and Abeles 1999).

The complexity of social impact assessment: the challenges of the process

Social impact assessments have to develop methodologies capable of capturing the invisible and intangible elements of human and social development, and how they are derived from cultural dynamics. As the literature review showed, most studies try to deal with this subjective nature by adopting qualitative measures, but qualitative appraisals also present limitations to evaluation and complex methodological faults (Fujiwara 2013). By using unstructured or semi-structured techniques and promoting subjective evaluation, based on frameworks specifically developed for a context (Brown 2006), the qualitative methods of data collection reduce the ability to compare outcomes, decrease further use of the measurement frames and increase bias in the empirical work. This shows how difficult it is to generalize about the role and impact of the arts and culture.

In fact, the previously mentioned literature reviews (Annex 3) encountered during the consultation highlighted one of these gaps – the disconnected research work of the appraisals, which is the diversification of the

assessment approaches. As early as 2002, Reeves literature review warned of a lack of consensus and a need for consistent measurement methodologies for building the evidence base (Reeves 2002). In 2010, O'Brien's overview reported "no cross-disciplinary consensus on how best to measure or narrate" the value of culture (O'Brien and AHRC/ESRC Placement Fellow 2010:48). In 2013, Kancel et al. reported that in the last decade, studies that assessed the cultural sector impact were distinct in terms of methods, results and pertinence (Kancel et al. 2013). The recent Carnwath and Brown report argues "the long arc of learning about the value and impacts of arts and cultural experiences…is marked by a good deal of insightful but disconnected work" (Carnwath and Brown 2014:26). Therefore, a massive production of impact assessments is not synonymous with a good methodological research; "there is a considerable body of research literature available – but there are also many gaps" (ACE 2014).

In 2002, DiMaggio identified three major fallacies embedded in the cultural policy discourse that exemplified the complexity of the processes of measuring the effects of the arts and culture to communities development (DiMaggio 2002).

The first challenge concerns the 'homogeneity of treatment,' i.e., assuming the different types of exposure to culture (types of participation and cultural programmes) represent a single treatment and so it produces similar effects on persons or communities (DiMaggio 2002).

The second fallacy is the one of 'homogeneity of effects' – assuming that the arts treatment (even if well specified) will have the same effects on people and communities. But effects can be heterogeneous due to baseline socio-economic differences of participants, diversity of the contexts of departure (when analysing territories), interactions with other factors or some path dependency trend. For example, arts education programmes will not have the same effect in all youngsters' learning process, as it depends on their level of education in the first stage, among other issues. This issue is also argued by Belfiore and Bennett's analysis; "the value or impact of a work of art will vary enormously, according to all the factors that make up a person's identity, including age, class, health, wealth and so on."(Belfiore and Bennett 2007:137).

The third fallacy is that of the 'linearity of effects,' which assumes that the effects of increasing arts inputs are constant to scale, and so produce they linear community level outcomes. This assumption may not be valid in all circumstances – for example, adding a new theatre in a community with no cultural venues will produce a different effect when compared to a new venue in a community which already has a strong cultural dynamic.

Besides these three fallacies DiMaggio raises, we identified another three challenges from our bibliographic review.

The first is the 'isolation of effects,' which concerns the ability to assess the influence of minor marginal factors (music project, new cinema venue) on major and complex outcomes (such as social capital, community identity). There

are other factors influencing the environment simultaneously[21] and it is important to understand to what extent the social impacts can be attributed to cultural interventions. This issue was raised long ago by Bygren et al.; "Perhaps cultural behaviour is so intermingled with life as a whole that it is impossible to discern its influence" (Bygren, Konlaan, and Johansson 1996:1578) This was also explored by McCarthy et al. when analysing the dimension of social capital effect: "The time that elapses between the initial arts activity (e.g., attendance) and the desired social outcome of social capital is often so great, and the number of other factors so large, that researchers can at best measure intermediate outputs from the activity (e.g., interactions among strangers or becoming a subscriber) that might eventually produce social capital." (McCarthy et al. 2004:16).

The second challenge, titled 'sustainability of effects,' refers to the ability of arts and culture to produce impacts that persist in the long-term. It is generally argued that any new programme will produce positive effects, but the issue is whether they are sustainable in time. Therefore, as has already been said, when analysing and measuring the social impacts produced by cultural activities the evaluators should acknowledge that the importance of the temporal dimension needs to be taken into account for most of the extrinsic effects, and which need time to emerge and occur.

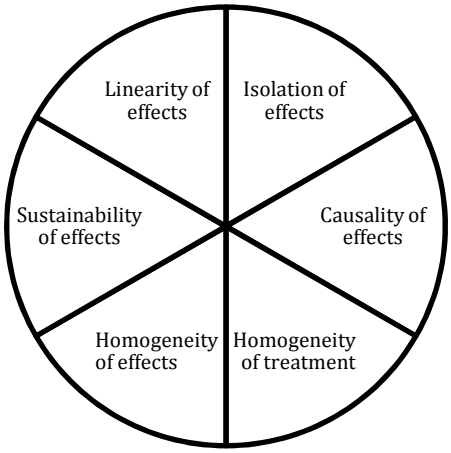
The third challenge revealed in the literature review is the 'causality of effects,' showing that although there is a large list of studies presenting the individual and collective social effects produced by cultural activity, most of them fail to prove causality: "most of the studies reviewed cannot establish causality between arts and culture and the wider societal impacts" (ACE 2014:8). In fact, the review revealed that most of the studies that establish links between arts engagement and social outcomes are merely correlational, and because of that do not deal mainly with one of two issues – omitted variable bias or reverse causality - producing estimates which are not able to isolate the causal impact of the explanatory variables on the dependent variable, hence producing results which are endogenous and cannot establish causality. In 2000, the Winner et al. review of arts in education, alerted to the fact that we cannot concluded anything from the findings on how arts education improves academic performance, providing examples of omitted variables such as students who take part in arts activities may have a high average academic profile, or may be from families expecting greater achievement in academic areas including arts, they may attend stronger schools in the academic and arts programme (Winner and Hetland 2000). Therefore, one of the most adverse problems in the arts research is the self-selection bias, i.e., "since people who choose participate in the arts may be different from others, that difference may explain the observed outcome rather

[21] "Given the broad nature of social impacts and with few sophisticated quantitative studies, it becomes difficult to separate out, for instance, the impacts of the arts from impacts deriving from other social variables which affect individuals." (AEGIS 2005:31)

than the arts activity" (Guetzkow 2002:17). In fact, as Corrigall and Trainor 2011 note regarding musical training and reading comprehension, a situation of reverse causality is "possible, indeed quite likely that children who are better readers, who are more intelligent, and who tend to work hard and persist on tasks ... are more likely to take music lessons" and to stick with lessons for a longer period of time (Corrigall and Trainor 2011). Moreover, as acknowledged from the review, experimental studies are very difficult to carry out (Winner and Hetland 2000). For example, the Canadian literature review report concluded, "there are a myriad of potential benefits of the arts" and consequently "studies of causal links (rather than statistical associations) are very challenging to conduct"(Hill 2014). Also, recent research that shows a connection between cultural activities and wellbeing argued "it is very difficult to provide evidence of a cause and effect relationship between the variables in a statistical model in the absence of an experiment to directly measure the impacts of culture on personal well-being"(Hill 2013:2). Therefore, considering the type of evidence being produced, many of the studies could be pointed as weak, as they only provide association and correlational links between culture and other outcomes.

This identified panoply of challenges is summed up in the diagram below. The term 'challenge' is chosen over 'fallacy,' as it is considered that the evaluators and researchers (most of them) are aware of these deficits, but do not know how to overcome them.

Figure 5 - Methodological challenges of the social impact assessment process



Indeed, all these methodological challenges make the assessment process difficult and tend to drop the measurement attempts, explaining why is there a resistance towards measuring the social impacts of cultural activities. As the authors Zappalà and Lyons state, the social impact evaluation movement was followed by a drop in the measurement programmes, due to the difficulty associated with the evaluation of these particular dimensions (Zappalà and Lyons 2009).

The purpose of the evaluation: the reality and the utopia

Everitt and Hamilton argued that evaluation has two purposes: one is to ensure accountability for the public money being spent, the second is to provide learning processes from cultural and art experiences (Everitt and Hamilton 2003). With this review it becomes clear that the impact evaluations practices inside the cultural sector hang on accountability purposes more than on learning goals.

The tightened relationship between the impact assessment practice and the funding rationales was already discussed, where evidence is produced to feed the evidence-based policies inside the cultural sector. This need to respond to the imperatives of some political agenda is reflected in the duration of the analysis, where a short-term analyses strategy is preferred to long-term; in most studied cultural inputs ('arts on education,' 'arts on health') – which correspond to those that tend to be more subsidized; in the increasing number of consultants working as 'hired hands' (Nielsen 1999), deprived of the 'spirit of scholarly enquiry' (Belfiore and Bennett 2009). Pursuing these blind measures for evidence of successful outcomes has major consequences on the impartiality, quality and range of the impact measurement. First, impartial and independent assessments of the impacts of the culture might be compromised in order to meet funding rationales (Belfiore and Bennett 2009). Second, the mass of evaluation increases over the quality of the appraisals, when impact measurement is understood as the only way of validating the cultural experiences: "The fact that attention has now turned to evaluating the individual and social value of the arts and culture prompts concerns about the evidence-seeking obsession of technocratic societies, in which a swathe of middle managers, informed by statistics and reports, have replaced specialists, guided by knowledge and intuition" (Gordon-Nesbitt 2015:3). Third, the evaluation debate focusses on the positive impacts and does not consider the negative consequences of the sector. As Holden has argued, "advocacy suppresses the negative and accentuates the positive, and is therefore selective in its use of information" (Holden 2006:47).

In opposition to these current evaluation purposes, we claim the impact assessment is not only about producing evidence, but also about learning the process of change, in this case, of social change (Kilroy et al. 2007). For that purpose, more empirical and theoretical proposals are required to understand the transfer mechanisms. As Keinänen et al. argued, when discussing whether dance instruction can improve cognitive skills in non-dance areas, it is not only necessary to describe, but also to know the how and why dance contributes to learning: "More research, more rigorously designed and driven by theory about possible transfer mechanisms, is required before we can determine whether dance is an effective way to teach non-dance skills" (Keinänen, Hetland, and

Winner 2000:304). Likewise, as Julie Allan recently advocated, the focus should not even be about establishing a causal link but about the experience itself, in order to comprehend the process of engagement and impact (Allan 2010).

> "Researchers must not seek to make banal causal links between the intervention and such ontological states as "transformation" and "empowerment". This is hopeless in every sense. Researchers would also do well to avoid the pursuit of proof that changes in health, education and wellbeing are down to the arts activities that have been introduced. What they can, very usefully, do is seek evidence about the process of engagement, as it occurs, and about how individuals and communities experience it. This involves accessing individuals' imaginations and communities' interactions and will require from the researchers both the use of arts based methods and their own imagination"(Allan 2010:120)

Therefore, these impact assessment studies should, above all, contribute to understanding the processes and nature of the mechanism of the effects produced by culture.

Conclusion

The literature review on social impact assessment studies indicates that studies that track the effects of culture on social transformation have followed different approaches, according to the context of intervention, the cultural programmes, the evaluation objectives and the time available to assess, and so to produce, disconnected research work.

Concerning the type of evaluation documents, reports exceed the number of academic articles produced. The activities and reported outcomes were aimed at specific audiences – youth, the elderly, adults, communities, and provided by multiple suppliers from traditional institutions, such as museums, community service centres, hospitals, prisons and schools. Thus, the contexts where the cultural interventions take place are very heterogeneous and the subsequent social impact assessment tends to be analysed in less traditional cultural institutional environments. Nevertheless, there were a few studies that took the characteristics of the territory of intervention into consideration during the appraisal. Cultural projects of short and long-term duration are assessed, yet it was concluded that only long-term programmes and high-levels of involvement could ensure the development of sustainable effects. Therefore, the effects of cultural interventions can be understood as 'perishable' assets that disappear if not continuous. More than half of the studies assessed the outcomes of cultural activities by analysing active forms of engagement with culture and the arts and acknowledge that the effects not only depend on the intensity but also on the nature of the cultural input. The consultation documented a quite range of outcome areas and effects attributed to cultural activities, yet more individual

impacts have been the subject of research than collective impacts, especially in reporting dimensions of personal development and health improvements. Indeed, studies observing community arts projects, cultural activities and arts impacts on wellbeing and community transformation presented a gap in academic research. The same bias towards exploring the individual over the collective dimensions of impacts was encountered when discussing the mechanism of impacts. Lastly, a list of methodological challenges was identified, and its complexity revealed why there is resistance towards measuring the social impacts of cultural activities.

Thus, if in the previous chapter (Chapter 1) we declared that this escape from evaluating and exploring the intangible social dimensions of culture role on development was the result of both the political and financial imperatives of the 'evidence-based policies', in this chapter we add to these factors the methodological challenges of the appraisal.

In short, the review demonstrates that although there is a relevant corpus of social impact assessment and practice research inside the cultural sector, there is a gap in understanding the mechanisms and impacts of the collective change. Hence, having accounted that the role of culture on development is more efficiently prompted by the community morality and the social capital than by any other channels of individual motivation, induced by the cultural traits (Maridal 2013), is crucial to research culture ability for building community-level social effects. This raises a demand for new theoretical and empirical work acknowledging how community social values can be formed, and more oriented toward understanding the effects that evidence them at any cost. This gap then, defines the boundaries where the subsequent research will operate.

The next chapter (Chapter 3) develops a comprehensive framework to interpret the channels through which cultural activities produce community-level social impacts. The consecutive chapters (4 and 5) advance empirical propositions to better grasp these potential impacts at the collective level, while trying to meet the methodological barriers identified within this review.

Chapter 3. Building community-level social values through culture and the arts: a theoretical approach

Introduction

> "What exactly happens to people cognitively, emotionally, and socially when they make art that might lead them to view themselves and their world differently?" (Tepper 2014:7)

The previous literature review of empirical work on the social impact of culture and the arts advanced the need to develop theoretical propositions to better interpret community social values.

It concludes that the assessment has been more oriented towards understanding individual impacts of engagement in cultural practices rather than its collective capacity, indeed, the review even allowed proposing a general chain, illustrative of individual transformation. Despite this, the previous consultation on empirical assessments encountered potential categories of social effects at the collective level, notably, the promotion of social interaction and inclusion, the enhancement of the sense of community identity, the development of the ability to cooperate and building social capital and empowerment for collective action.

Nevertheless, the identified categories were presented in a fragmented way, not allowing an understanding of how the mechanisms through each culture and the arts can build community-oriented social values, i.e., can produce community-level social impacts which induce social transformation and development. Furthermore, it is crucial to study the ability of culture for internalising community social values towards collective change, given the fact that the role of culture in development is advocated to be more efficiently prompted by community orientation values than by individual motivation (Maridal 2013).

Hence, this chapter attempts to propose new theoretical framework that allows interpreting the mechanisms through which culture builds community-level social impacts.

For this the chapter first analyses other contributions providing insights on the categorisation of social impacts, to recognise what encompasses the collective level and its propagation, and to understand the mechanisms through which each culture and the arts can build community-oriented social values. Next, the chapter proposes a potential chain through which cultural activity produces community-level social impacts, by consolidating the fragmented social impacts encountered in the review. The chapter ends with some considerations on how the enhancement of social capital and the empowerment of communities for collective action enable sustainable community development.

3.1. The propagation of culture and the arts impacts towards a community-level: other theoretical contributions

In the first chapter we saw that not only has the debate on the effect of art and culture on society been going on for a long time, but also how its discussion matured in different directions, with negative and positive interpretations that try to establish a relationship between artistic practices and individual and community progress. Nonetheless, when it comes to analysing the role of culture in urban development dynamics these intellectual inputs do not clearly identify the drivers and mechanisms through which cultural practices propagate their effects from the individual sphere towards the collective one, and are thus capable of inducing social learning and transformation and contributing to growth.
Additionally, in the previous chapter consulting the empirical work, which encountered fragmented categories of collective level social effects, it was suggested that the difficulty in understanding the channels of collective change is probably attached to the difficulty in isolating them from other social variables.

Therefore, in order to develop a theoretically comprehensive framework that allows interpreting the mechanisms through which cultural activity produces community-level social impacts, it is fundamental to analyse other contributions providing insight on the categorisation and segmentation of social impacts, to understand what encompasses the collective level and its propagation, to understand the mechanisms through which each culture and the arts can build community oriented social values.
In regard to the categorisation and segmentation of social impacts, three important contributions were found.

From The European Task Force on Culture and Development, *In From The Margins: A contribution to the debate on Culture and Development in Europe* (1997), when exploring the contribution of the arts and culture two domains of impact were identified: the direct social impact and the indirect social impact. According to the first segment of impact, "arts and culture provide 'socially valuable' leisure activities, 'elevate' people's thinking and contribute positively to their psychological and social well-being and enhance their sensitivity" (The European Task Force on Culture and Development 1997). As for the indirect social impacts, their contribution is described as the ability to enrich the social environment with public amenities, promote civilisation and social organization, stimulate creativity and innovation, produce collective memories through community cultural products and improve the quality of life in the surrounding areas of the cultural institutions,' by reducing crime for example (The European Task Force on Culture and Development 1997).

In Jermyn's work, *The Art of Inclusion*, the author developed a framework were he categorised the social outcomes of arts in four categories: the 'personal

impacts' related with human capital derived from arts experiences (increased self-confidence, self-determination, enjoyment), the 'collective impacts', derived from the group relations formed with the experience (social contact, increased tolerance, group identity), the 'hard outcomes' (such as improved health, education, crime reduction) and 'civic impacts' that go beyond both individual and group experience and are more complex to achieve as they depend on other circumstances (community pride, community belonging, active community work, local democracy) (Jermyn 2004).

In recent work by Greffe et al., *Culture et croissance: les leçons de l'expérience française (1975-2008),* the authors listed four categories of 'extrinsic benefits' of culture (Greffe, Ben Salem, and Simonnet 2015). The first, 'educational and cognitive benefits', denotes that culture can develop learning capacities. The second, 'health benefits', affirms that culture can ameliorate health conditions among the elderly and the ageing process. The third, 'behaviour benefits', indicates that culture can improve self-knowledge, self-control and a sense of opening to the community. The fourth, 'social benefits', connects culture to capabilities of social integration, social capital and organizational capacity (Greffe, Ben Salem, and Simonnet 2015).

These categorisations of social impact are relevant to recognising what can be contained in a framework of community-level social impacts – such as the 'social benefits', the 'collective, hard and civic outcomes' and the 'indirect social impact'. Still, these are not treated in an interconnected way.

For this purpose, concerning the models of propagation four significant contributions exploring the capacity of culture and the arts to impact on a community level were encountered and examined.

In the work of Harland et al. on the effects of arts education in secondary schools, presented in the previous chapter, the authors proposed a model for arts education outcomes to illustrate the progression of effects on pupils and on others (like the school and the community). The model was quite relevant, introducing a notion of propagation "progression from intrinsic to extrinsic outcomes – or from direct to indirect outcomes" (Harland et al. 2000:24). Nevertheless, as this model was built for analysing arts education environments it was difficult to generalise it to other situations beyond school settings.

In research by Goodlad et al. on the ability of arts programmes to support social inclusion, the authors describe a line of benefits from the individual to community level: "What begins as a case of taking part for the sake of it, produces benefits in skills, self-confidence, self-esteem and well-being. This has implications for the person's family and friendship relationships and, further, produces a greater willingness or capacity to take up employment or to access welfare or other services using the skills and self-confidence acquired directly or indirectly. Finally, participation in running the group could lead to wider participation and community benefits" (Goodlad, Hamilton, and Taylor 2002:5).

However, this model focuses on a specific form of involvement – an organizational form – and the transferability of these skills to the outside world.

In Guetzkow's work, *How the arts impact communities*, the author presents a grid framework to understand the causal mechanisms through which the arts produces individual ('material', 'cognitive', 'interpersonal') and community level ('economic', 'cultural' and 'social') impacts, by exploring different levels and types of artistic inputs - 'direct involvement', 'audience participation', the 'presence of artists and arts organizations & institutions' (Guetzkow 2002). From reading the grids it is possible to see that a local theatre is more likely to attract visitors from outside the community and enhance the economic vitality of a territory than a community arts project, which in turn has greater potential for building social capital and capacity for collective efficacy. Regarding the community-level social impacts, the author describes these as referring mainly to the "effects of community arts programmes on the participants and organizations involved" (Guetzkow 2002:5). Moreover, the author identifies drivers brought by arts programmes, which can put forward mechanisms of social capital building and motivation for civic engagement, such as "Creating a venue that draws people together who would otherwise not be engaged in constructive social activity. Fostering trust between participants and thereby increasing their generalized trust of others. Providing an experience of collective efficacy and civic engagement, which spurs participants to further collective action… to be a source of pride for residents (participants and non-participants alike) in their community, increasing their sense of connection to that community. Providing an experience for participants to learn technical and interpersonal skills, which are important for collective organizing. Increasing the scope of individuals' social networks. Providing an experience for the organizations involved to enhance their capacities" (Guetzkow 2002:6). Yet, even in this case which advances mechanisms through which the arts produce community level impacts the interpretation is still fragmented, without illustrating a chain of impacts propagation towards collective change.

In the *Gifts of the Muse,* McCarthy et al. developed one of the most consistent frameworks for understanding how 'arts experiences' can bring about different types of effects, by introducing a notion of progress over time (McCarthy et al. 2004). This framework explores how private benefits propagate and produce public spillovers, ranging from intrinsic (inherent to the experience, connected to the aesthetic domain) to instrumental (indirect outcomes of cultural experiences) benefits. The authors argue that to understand how the arts promotes wider benefits the research should not be limited to instrumental benefits, and so they introduce what they call the 'missing element' - the intrinsic benefits. They state that these intrinsic benefits not only add personal aesthetic and emotional value (for those directly involved), but can lead to the development of both individual and public effects (like the 'creation of social bonds' and the 'expression of communal meaning') required to understand the

community-level social impacts (McCarthy et al. 2004). The authors develop a 'theory of community revitalisation', divided into three stages. First, 'building a sense of community' where through the enhancement of social interaction, which leads to social cohesion, social capital can be formed (encompassing the effects on those more directly involved in the experience). Second, 'building capacity for collective action' – social capital is an input to this stage of the process, where the development of organizational and leadership skills are needed for building community coalitions, the collective action towards specific issues (encompassing effects that can also be profitable to those not directly involved through other mechanisms or effects, but which are more difficult to achieve, and so to assess). The third stage, 'community revitalisation,' requires a more advanced and long-term form of civic engagement involving intergroup cooperation and other economic, political, and social processes. This theory will be further analysed in the next section.

Brown's 2006 work, *An Architecture of Value*, a 'map of arts benefits' was built on the model of McCarthy et al. Brown presents a framework divided into five clusters of benefits ('Imprint of an arts experience', 'Personal Development', 'Human interaction', 'Communal meaning', 'Economic and macro social benefits'), which is centred on the individual arts experience, from where other benefits are promoted (radiating outwards). He categorised the benefits as: 'individual' (referring to the person experiencing), 'interpersonal' (indicating small groups such as families or groups of friends) and 'community' (meaning the local residents or society at large) (Brown 2006). Brown uses a time variable to emphasise the cumulative aspect of the cultural experience and the progression of effects over time. Even so, the 'map of arts benefits' is static and does not reflect a chain of community-level impacts propagation.

While examining these other contributions of social impact frameworks it was evident that the 'individual' cultural experience is the relevant form of involvement for the process of building capacity for collective action. Indeed, the literature defines the 'cultural participation and experience' (creating, appreciating or supporting) as the main impact driver, without neglecting other artistic and cultural inputs capable of producing effects.

For Guetzkow, 'direct involvement' is the 'more intense' artistic input. For McCarthy et al. the impacts of culture derive from individual experiences "that are mentally and emotionally engaging experiences that can be shared and deepened through reflection, conversations and reading," and only sustainable involvement is capable of producing the instrumental effects claimed by culture (McCarthy et al. 2004:xviii). For Kilroy the process of health and wellbeing transformation through the arts is centred on personal engagement (Kilroy et al. 2007). In fact, in the previous bibliographic review on social impact empirical work, the studies focus mainly on analysing the effects which arise in those who participate in cultural activities. As argued by Belfiore and Bennett, "Research

into the social impacts of the arts seems, up until now, to have concentrated mostly on the exploration of the experiences undergone by those who engage with the arts, by attempting to assess, measure and interpret their response to aesthetic stimulation" (Belfiore and Bennett 2009:19).
In this respect, to understand what motivates the individual decision-making process of arts engagement, McCarthy et al. developed a 'Participation Model' where they advocate the decision for arts participation is much more than the simplified dichotomous – participate or not (McCarthy et al 2004). The authors recognise complexity in the factors that determine the engagement decision process and its sustainability. The background factors and early arts experiences have a vital influence on the 'whether' to participate, as these elements, which change throughout life, shape the individual's perceptions of arts experiences and their predisposition to future engagement (McCarthy et al 2004)(Jones 2006). According to McCarthy et al.'s 'Participation Model' the decision of participating again is based on a smaller cyclic process, where not only past experiences but also individual circumstances can lead to frequent participation. These circumstances are influenced by elements attached to the participation (influenced by cost, schedule, location and opportunities), the choice of arts activity (which form of participation, discipline and event), the quality of arts experience and the position in regard to future plans (McCarthy et al 2004). Nevertheless, for these authors the key element for participation is the mental, emotional and social intensity of the engagement in the arts experiences, which is inherently connected with the quality of the experience (McCarthy et al 2004). In fact, cumulative engagement allows the individual to become more familiar, knowledgeable and connected to the language of the arts form. So, in the end we can say that sustainability depends on the ability of involvement to produce memorable, unique and intense experiences that motivate further participation.

Moreover, in the analysis of other academic contributions it was found that the arguments in favour of culture and arts ability to impact are split between the 'extrinsic' (instrumental) and the 'intrinsic' impacts attributed to culture. However, this binary opposition between extrinsic and intrinsic impacts is seen by some as too simplistic for understanding the specificities and complexities of cultural programmes and the mechanisms through which culture is capable of producing social effects and enabling development.

Gibson, when analysing museum institutions, concluded that there is no consensus about what constitutes the instrumental and the intrinsic values (Gibson 2008). According to this author there are those for whom learning and education are counted as instrumental benefits of culture and there are others (in fact, most museum practitioners) for whom education is an inextricable core function of museum programmes (Gibson 2008).
Indeed, when examining the theoretical contributions, as when reviewing the empirical work, it was found that what is counted as an instrumental function of

culture is not equal in all types of cultural policies, institutions, programmes or activities. Consequently, when developing a model of cultural community-level social impacts it is crucial to recognise that each territory's particularities and programme specifics determine the instrumental reasoning.

3.2. A potential chain of cultural activities community-level social impacts

All the work presented so far has set the basis for developing a comprehensive model encompassing the community-level social effects of cultural activities, which, as we have acknowledged, demands new research and interpretation. Here the community concept refers to the local scale and represents the construction of joint interests.

The model defines the social community-level impacts as the range of extrinsic (instrumental) social effects propagated into the community of a specific territory through the individual experience and subsequent cumulative engagement, and also the interpersonal links and interactions established between participants and non-participants. These community-level social effects are attitudinal changes within a community in forms of socialization and civilising processes, which helps people to find shared interests and opportunities for connection that can promote collective action to reaching a bottom-up process of community intervention – community revitalisation.

Weber defined action as social when "by virtue of the subjective meaning attached to it by the acting individual (or individuals), it takes account of the behaviour of others and is thereby oriented in its course" (Weber 1947:80).

So, for Weber, subjective attitudes which are not oriented to the behaviour of others, such as solitary religious prayer or a number of people producing exactly the same action (like opening umbrellas in the rain) are not social actions (Weber 1947). In this regard, for Weber, individual economic activity is only classified as social action if in its consumption the future needs of others are taken into account (Weber 1947).

To develop this model we established a set of assumptions. First, as the literature shows, direct involvement in a cultural experience is the leading form of involvement in collective capacity building. There are different forms of cultural participation, like participating in an artistic activity, appreciating a work of art or volunteering for a cultural venue.

Nevertheless, as was already mentioned, there are other alternative inputs besides direct participation, also capable of fostering community-level social impacts. These effects can be attributed to cultural institutions and organizations where non-direct consumers of cultural goods and services can gain from their existence: "Parties who are not consumers of the good or service offered but who may be interested in its existence"(Greffe 2011:122). In this case the value

connected to the mere existence of a cultural institution, without requiring direct use, can foster a sense of pride and community empowerment helping to develop a positive image and attractive environment (for example 'Casa da Música'- House of Music, in Porto, is an example of this good). In contrast to the conscious voluntary characteristic of individual engagement this collective effect is spontaneous and involuntary, but can be interventionist in the sense that it might be related to local strategic actions of development.

Second, the communication process is the main driver of impact propagation towards the collective level.

The model recognises that effects can be disseminated in society through the interpersonal links and connections between those that engage in the activities and their families and communities. Also, McCarthy et al. argued the main driver through which the intrinsic benefits can have public value is in the individual and subjective communication process attached to a direct felt cultural experience, i.e., the continued effect on individuals when sharing their experiences and the associated interconnections developed (McCarthy et al. 2004). The framework was described as the 'ripple effect model' in a recent paper, which explores the impacts of non-profit art organizations (Alberta Foudation for the Arts 2014). For Brown also, human interaction is central to unlocking the community social benefits; "while arts experiences are fundamentally personal, the communal setting and social context in which they often occur allows for the spillover of benefits to other people and to society as a whole" (Brown 2006:19). As Charlton et al. argued "we are inherently social creatures and the arts are good connectors" (Charlton et al. 2013:31)

Third, long-term sustainable engagement is crucial to attaining a bottom-up process of community revitalisation.

Higher levels of impact such as the community level effects, are only achieved through cumulative (direct or indirect) engagement (Guetzkow 2002) (Kilroy et al. 2007). As McCarthy et al. assert, "As a general rule, the higher the level of benefits is, the higher the level of arts involvement must be to generate it" (McCarthy et al. 2004:65).

Fourth, it is essential to acknowledge that the characteristic elements composing a particular territory influences the resonance of the effects into the community.

Kay argued the level of social capital and community orientation within a territory is foremost determined by its 'history' – the historical development of the community which defines a pattern of what is considered to be normal - and 'context' – concerning the political and institutional mode of operation and influences (Kay 2005). Indeed, the particularities of each territory determine the instrumental reasoning, meaning that a particular 'ecosystem'[22] influences the

[22] The term, 'cultural ecosystem' was proposed by Throsby in 2001, as the "cultural 'ecosystems' that underpin the operations of the real economy, much as natural ecosystems do; neglect of cultural capital can lead to the same sorts of problems that arise if natural capital and natural ecosystems are allowed to fall into disrepair" (Throsby 2001:161).

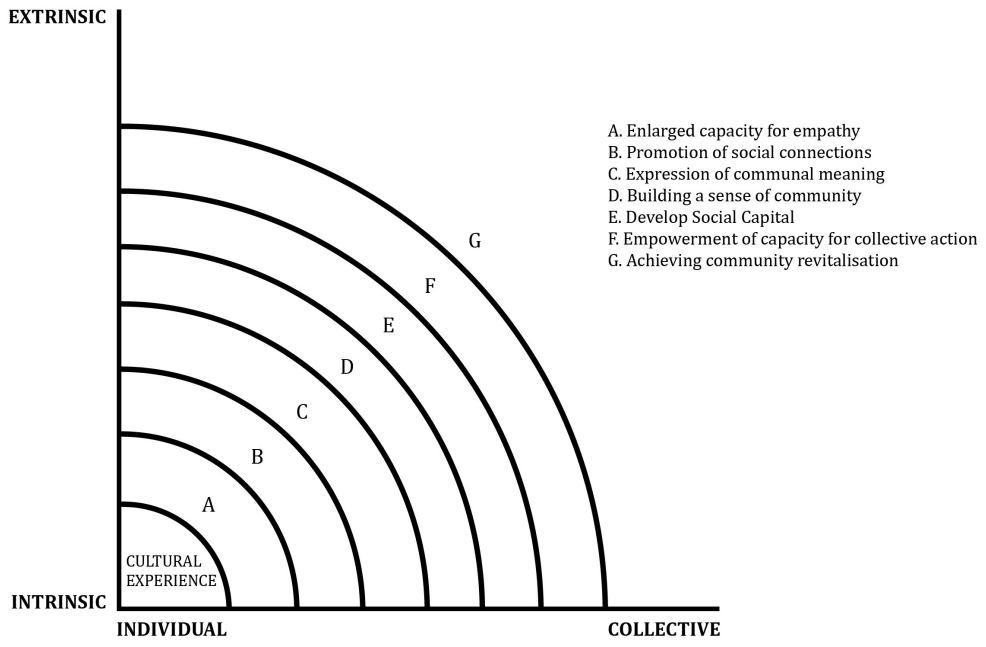
social construct of community morality. As Goodlad et al. argued "The relationship between mechanisms and their effects is not fixed but contingent on a combination of national and local contextual factors" (Goodlad, Hamilton, and Taylor 2002:5)

Fifth, in spite of seeming to be a static model, the process of social transformation is dynamic, developing gradually with non-linear social capacities, and where its boundaries interact and may overlap exposes the fragility of the lines that divide it into separate social constructs (social interaction, social cohesion, social capital).

As Jermyn argued, the cultural and arts social "benefits are interlinked, overlapping or even inter-dependent" (Jermyn 2004:17). As Kilroy et al. described, "the model of transformational change is based on a system of interconnecting feedback loops, which although illustrated here as a sequential process, are in fact, often non-linear and cyclical" (Kilroy et al. 2007:52). Indeed, although the framework might look linear, it is recognised that these effects, analysing social dimensions and community orientation towards bottom-up models of collective action, are not expected to increase in a linear function with the level of involvement.

The figure below presents a potential chain of community-level social impact propagation to illustrate a hierarchy of social capacities and values induced by arts and culture, which range from the primary intrinsic effects with public resonance towards the promotion of collective extrinsic effects, until reaching the bottom-up process of community action and revitalisation.

Figure 6 - Chain of cultural activities community-level social impacts



Above all, this model seeks to consolidate the fragmented social impacts of the collective level encountered in the previous review.

Undoubtedly, the model of community-level social impacts gets its inspiration from the literature review, but more concretely it evolves from Brown's 'map of arts benefits' and from McCarthy et al.'s 'theory of community revitalisation', which was itself built based on a literature review the authors conducted of empirical work on community social benefits (McCarthy et al. 2004)(Brown 2006). Nevertheless, contrary to McCarthy et al.'s 'theory of community revitalisation,' this model integrates the construct of community orientation for collective social capacity and intervention, the intrinsic effects with public resonance – such as 'expanded capacity for empathy,' the 'creation of social bonds,' the 'expression of communal meanings' - as these are considered by McCarthy et al. to be crucial to understanding the community level social values (McCarthy et al. 2004).

As Charlton et al. have argued, the impacts do not stop at the individual level but are reproduced towards society, and intrinsic values are crucial to understanding the instrumental change: "Increased individual capacity does not necessarily stop with the person but can contribute to increased sense of belonging and a desire to make a difference, qualities that are needed in a pluralistic society. In this way, intrinsic values contribute to instrumental changes within the larger society such as improved health, economic social cohesion as well as movements for social change"(Charlton et al. 2013:39).

The two axes represent two pairs of opposite dimensions: the intrinsic and extrinsic and the individual and collective, which emerged through the research and the discussion of social impacts.

The horizontal axis describes the scope of culture and the arts impacts that can ripple from the individual through interpersonal to collective level. Brown defined this interpersonal level the "social benefits such as bonding with friends, family cohesion and building social networks" (Brown 2006:19). The vertical axis represents the intrinsic and the instrumental (extrinsic) dimensions of the impacts.

From the individual cultural experience (first assumption) set at the intersection of the two axes, the effects ripple out in different segments corresponding to opportunities brought about by the arts and culture, to gradually develop social capacities (fifth assumption) which are induced through cumulative engagement, acknowledging that long-term sustainable engagement is essential to reach higher level effects (third assumption). The following overview examines each one of these cumulative segments:

A. Enlarged capacity for empathy, concern for others and building ties of recognition

Individuals engaging cultural experiences are usually carried out of their familiar environment and drawn into the unknown. Nussbaum explained art provides an extension of life horizontly, by putting individuals in contact with other people

cultures, problems and places, and vertically by providing inner, deeper experiences, sharper than much of what takes place in life (Nussbaum 1990). Weinstein also refered to these two opportunities in a cultural experience, saying art "draw us out, hooks us up (imaginatively, emotionally, neurally) into other circuits, other lives, other times" (Weinstein 2003:xxvii). Indeed, when individuals are drawn into artistic experiences they can encounter new values, and attitudes increasing their respect for others – the 'liberal imagination' conferred to novels by Trilling (Trilling 1953). Thus these new references build ties of recognition, concern and empathy and consist of new tools to understand reality that motivates individuals to question their perceptions of the world and their routines, making them more receptive to the unfamiliar. The development of capacity for empathy is highlighted by Crooke in her work on *Museums and Community*, "It is seen as a primary responsibility of any museum to work with different communities, using collections to show people their histories, and also to encourage understanding outside that specific group"(Crooke 2007:1). Also, Simpson argued that museum collections and objects are forms of reconciliation between different peoples (Simpson 2006). Likewise, Williams argued that collaborative artistic practices at the community level are a powerful resource to learn to appreciate other value systems through art works (D. Williams 1996). Guetzkow argued that the presence of arts institutions and/or the participation by the community might impact 'the opinion climate,' for example when reinforcing values for diversity (Guetzkow 2002).

McCarthy et al. and Brown define this dimension as an intrinsic benefit with public spillover, i.e., on an interpersonal level (McCarthy et al. 2004)(Brown 2006).

B. Promotion of social connections

Subsequently the model conveys that cultural activities provide opportunities for people to come together, interact and collectively express personal emotions resulting from an art experience. McCarthy et al. held that people can share their experience and response to a work of art by discussing it, for example, in a book club interpretation of reading a novel, or even by communally appreciating art at the same time (shared passion between frequent attendees) (McCarthy et al. 2004). The authors argued these interactions immerse individuals into the 'communicative cycle of art', "a public space in which meanings are shared and perspectives expressed and clarified" (McCarthy et al. 2004:51). This communication process (second assumption) is fundamental to developing ties between people when collectively expressing and sharing individual sentiments induced by an art experience. Williams explained that collaborative artistic practice provides opportunities for the communication of ideas and values and for social interaction through the arts (D. Williams 1996).

McCarthy et al. and Brown defined this dimension as an intrinsic effect with collective significance (McCarthy et al. 2004)(Brown 2006).

C. Expression of communal meaning

This social capability contains cultural activities that offer people opportunities to express communal meanings. Contrary to the previous point, in this case the experience conveys a more general form of communication – what a whole community desires to express, its values and ideals, and not specifically an individual. For example, mass participation in a commemorative event for celebrating a national achievement or experiencing works of art (films or songs) can become a form of expressing a generational feeling (McCarthy et al. 2004).

Similar to the previous categorisation, McCarthy et al. and Brown defined this dimension as an intrinsic effect with public significance (McCarthy et al. 2004)(Brown 2006).

Indeed, McCarthy et al. described these three segments of social capacities induced by culture and the arts establish bonds that are intrinsic to the arts experience. The following three social constructs denote extrinsic effects, i.e., social capacities that can be valuable to general community life, reaching non-arts groups.

D. Building a sense of community

As identified in the empirical work review, cultural activities provide opportunities through different inputs for people to come together and interact. As seen, these encounters are occasions for participants to discover and explore shared interests. Repeated opportunities for encounters and social interaction can produce social solidarity and social cohesion through the recognition of common interests and the creation of common connections. Involvement in arts thus can foster social cohesion through the development of community symbols and identity (McCarthy et al. 2004).

Indeed, arts develop a sense of community by repeatedly giving opportunities for expressing public values, "Arts events and activities can give people a feeling of belonging (gained through joining a group or becoming involved with local arts organizations) and can reinforce an individual's connection to the community by giving public expression to the values and traditions of that community and sustaining its cultural heritage" (McCarthy et al. 2004:14). Crooke also held that "cultural participation, whether it is heritage, arts or museum projects, is a social context within which identity development can take place" (Crooke 2007:15). Crooke contended that heritage, which helps communities to express identities and to shape social behaviours, reflects the local social, political and economic context (fourth assumption) (Crooke 2007). More specifically Crooke described museums function as spaces to symbolize identity and built representation and a sense of belonging, through the references that collections of the past convey: "The past is an essential component of ethnic myths that forge nations: it provides a sense of antiquity and ancestry; aids the definition of a sense of place; and can be used to represent the golden age" (Crooke 2007:14).

E. Develop social capital

The social connections established through cultural activities can be of two forms: the 'bonds', which link individuals on homogeneous grounds and contribute to developing the sense of group identity and social cohesion; and the 'bridges' that link different ages or background groups and form social ties by helping to embrace diversity and decrease boundaries (Putnam 2000)(McCarthy et al. 2004). Furthermore, social cohesion based on 'bridges' produces more convincing impacts inside a territory, by promoting cohesion based on differences and not on narrow interests from homogeneous groups. In fact, cohesion grounded on 'bonds' can induce the group to pursue its own interest at the expense of a wider interest, while social cohesion based on 'bridges' is conductive to promoting neighbourhood tolerance, opening space for cultural diversity and leading to a reciprocal sense of trust, developing social capital (McCarthy et al. 2004).

Several authors have come up with meanings to describe social capital, a term first introduced by Jane Jacobs in 1961[23] (Kay 2005). Since then discussions of the concept of social capital have been made by economists, politicians and sociologists, yet the current meaning, which has sustained different policies on community capacity building, is derived by recent contributions, like Putnam (1993), that debate social action "in relation to the notion of 'capital'" (Crooke 2007:65). Putnam defined social capital as the longer-term form of community union "those features of social organization, such as trust, norms and networks that can improve the efficiency of society by facilitating coordinated actions" (Putnam 1993). According to Polson et al. "It is this form of social capital that is theorized to be particularly valuable to communities because it not only connects individuals but also leads them to work together for their community" (Polson et al. 2013:761). In fact, in opposition to social cohesion or social inclusion, social capital brings important intangible goods that can induce change, by carrying with them an ideal of 'community orientation' based on trust and reciprocity (Crooke 2007) (Polson et al. 2013).

Crooke, recognised "a rising interest in the idea of social capital as relevant to how we plan for and think about culture, museums and heritage" (Crooke 2007:64). Concretely, there are forms of arts engagement that can generate unexpected links between different groups of people and create a sense of commitment and belonging, by developing shared norms between the members in which the pursuit of institutional goals is above individual differences.

McCarthy et al. defended this group phenomenon in which "the power of the group somehow transcends or at least exceeds the sum of the individual parts" can occur in "choral group singers, dancers in a troupe, symphonic orchestra members, and members of a drum circle" (McCarthy et al. 2004:29). According to Tuckman, the development of a cooperative group happens when

[23] Jane Jacobs (1961) *The Death and Life of Great American Cities*, Random House, New York.

its members are committed, consciously or not, to developing collective objectives, which occurs by satisfying needs related with the main task (Tuckman 1965). For example, volunteering in a project or supporting a cultural venue means coming together regularly with others and working for the same institutional objectives, which can increase trust, promote tolerance for cultural diversity and generate networks. In this regard, Williams described community-based arts projects as an 'extraordinary catalyst' for generating social capital, explaining that under this process of artistic production, 'collaboration' replaces 'competition' and 'group needs' balances 'self-interest' by "identifying common goals, group cooperation, and effective communication of complex ideas" (D. Williams 1996:9).

Greffe outlined the chain of events towards developing social capital, as follows: "The values and social benefits of the arts for the community are classified in three categories: the modification of peoples' behaviour in the sense of a higher socialisation; the implementation of social integration and reinsertion processes; the facilitation of the interactions between the different members of the community, which leads to the creation of social capital" (Greffe 2013:279).

The development of social capital inside a community represents the accomplishment of the first stage of the theory of 'community revitalisation' (McCarthy et al. 2004).

F. Empowerment of capacity for collective action

McCarthy et al. argued that by actively engaging in the life of a cultural institution, people not only foster social capital but "it also influences the willingness of community members to act for the common good" (McCarthy et al. 2004:85). According to McCarthy et al. this action for a common good, can take a form of 'informal social control', when community members support sanctions against anti-social behaviours that can threaten the community interest, like criminal activity, or in 'promotion of the community's interests', when members encourage the improvement of the neighbourhood's physical image (McCarthy et al. 2004). Indeed, a deeper level of trust and identity among community members (to support future undertakings) builds community capacity for collective action. As the Better Together report described, arts can build social capital, by strengthening connections and celebrating heritage, which can develop opportunities to discuss social problems (Putnam, Feldstein, and Cohen 2000). Therefore, social capital is a mandatory input for developing this type of social capacity. Nonetheless, there are other elements required for the growth of social capacity for collective action – the sustained involvement in multiple activities over time (assumption three) and the development of organizational and leadership skills to guide the actions towards a specific agenda.

The development of these specific competencies when involved in arts projects occur, for example, when volunteering in a local arts project or when serving as board members of arts organizations, raising funds for local artistic projects and running an organisation. Through sustainable engagement in these

activities people can develop skills that can be valuable for other community organizations outside the arts groups, in external social contexts and in future situations. Another specific form of engagement, which can foster individual and community capacities for collective action, is through participating in the development of informal arts activities (held in public spaces, accessible to different people) (McCarthy et al. 2004). In these cases, less experienced people [24] might get involved in running an arts project and develop organizational and leadership skills (when in meetings, running rehearsals, managing resources). Thus the arts engagement can encourage involvement in the civic life of a community. As Guetzkow claimed, "arts organizations serve as a catalyst in the creation of ties between dispersed individuals and organizations (who would not otherwise establish ties). These networks may then be used to accomplish other community goals" (Guetzkow 2002:16).

Thus, people co-operating and working towards an artistic programme, by gaining organizational and leadership abilities can increase their ability to face other community challenges. Arts and cultural activities can produce higher levels of social capacities, classified as extrinsic to the arts outcomes, in the sense they can be used in external contexts and produce effects that those not directly involved can also profit from.

This capacity for collective action represents McCarthy et al.'s second stage of the 'theory of community revitalisation'. McCarthy et al. defined 'collective efficacy' as successful action for common good, the "belief in the community's own ability to make a concerted and successful response to a specific challenge or opportunity" (McCarthy et al. 2004:85). The authors argue that more complex community-level impacts can be created through not only sustainable engagement, but on-going collaboration and involvement of the same group of individuals (McCarthy et al. 2004).

G. Achieving community revitalisation

Community revitalisation was defined by McCarthy et al. as the final stage of social transformation, an advanced and complex form of collective intervention that demands long-term cross-sector cooperation, and intensive processes of social learning fostering people to be actively involved in the civic life of the community (civic institutions, volunteer associations) (McCarthy et al. 2004).

This ultimate form of social capability - the territory revitalisation - recognises the importance of culture and the arts in providing tools to stimulate discussion, to develop the bottom-up process of action and contribute to democratic civic life.

Democracies need citizens who can think for themselves rather than deferring to authority, and need citizens with "an ability to see themselves not

[24] As Guetzkow asserted, "It can be taken as axiomatic that, other things being equal, the more widespread and/or intense the participation of community members (who are not involved as professionals), the greater the impact the arts will have on cultural and social factors" (Guetzkow 2002:4).

simply as citizens of some local region or group but also, and above all, as human beings bound to all other human beings by the ties of recognition and concern" (Nussbaum 1997:10). Arts experiences, by transporting symbols, provide citizens with references to interpret and position in the world and community life, which can forge political action. As Crooke argued when analysing Bourdieu's theories of capital "the possession of cultural capital can convey messages with regard to position and intellectual ability, as well as social and political viewpoints" (Crooke 2007:66). For example, Newman and McLean's article explains how museum-based community development projects enhance civic engagement by allowing the participants to understand, and in some cases modify, the social world around them (Newman and McLean 2004). Also, as Davalos argued concerning museums, by drawing on their resources these venues can motivate social community movements (Davalos 1998). Hence, the arts are regarded as "an entitlement and opportunity for individuals and communities to have a positive voice in a democratic society" (McEvoy 2003:7).

To close this presentation of a potential chain of community-level social impacts propagation, is important to remember that this appropriation of culture as promoter of social integration and transformation is not only a non-linear function, but also it is a non-automatic system marked by a complex group of variables. As Greffe and Pflieger cautioned, "There is nothing to guarantee that exposure to the same values will lead to their acceptance. Things are not that automatic. Individuals react more instinctively and with less discipline than we might think…This systematic belief in the positive social effects of culture seems to assume that there is a kind of implicit agreement on shared values, as if cultural counter currents did not exist in societies, communities and territories"(Greffe and Pflieger 2005:38).

3.3. Social capital as a strategy for sustainable community development

After having proposed a chain of community-level social impacts propagation, this last section intends to explore how at the light of this chain cultural and the arts can be an alternative strategy for sustainable community development.
According to the pillar model, mentioned in the beginning of this research, the political frameworks of the sustainable development processes combine mainly ecological, economic and social imperatives. Nevertheless, Dale and Newman argued one of the main failures to move the sustainable community development policies beyond the conceptual debate towards its implementation, is due to social issues (Dale and Newman 2008). Concretely, the authors claimed for overcoming this implementation gap, an interacting system of networks is required to meet cross-boundary issues, and to deal with people and their diversity (Dale and Newman 2008).

Indeed, the traditional hierarchical decision-making models are not capable to deal with the sustainable development issues that demand dynamic systems of "multiple scales (micro, meso, and macro), multiple levels of governance (local, regional, national, and global), and multiple and diverse societal actors"(Dale and Newman 2008:8).

Moreover, not all types of networks should be expected to forge sustainable community development. As we have seen, social connections can be of two types: 'bonds' and 'bridges,' being the later ones conducive of social capital. Dale and Newman concluded, from examining a group of homeless people who evolved from an 'ad hoc network' to a successful not-for-profit social enterprise, "that the network structure that is necessary for sustainable community development is one that is open, diverse, and involves social capital ties at the bridging and vertical levels" (Dale and Newman 2008:9). If the 'bridging' ties connect people and resources outside of one group; the vertical ties refer to links to power (to decision-making figures) and involve leadership and communication skills to break down silos and to establish links between multiple sectors (Dale and Newman 2008).

Consequently, by recognising that a system of networks, specifically 'bridging' social capital, is demanded to forge sustainable community development and by acknowledging that this network formation is not something to be taken for granted (Portes 1998), specific investment strategies should be designed for encouraging an interacting system.

At the light of the previous chain of community-level social impacts, cultural activities by being favourable to social interaction and connections, to the development of leadership and organizational skills, by encouraging trust and the adoption of common values when pursuing specific agendas, can induce social capital formation. Where social capital, as seen, is drawn from a 'communitarian philosophy' where people are motivated not by 'utilitarian self-interest' in the pursuit of life satisfaction, but by a complex of social and individual objectives to share ownership over a pool of community resources[25] (Putnam 1993).

Therefore culture can be accomplished as an important strategy for implementing sustainable development policies, by inducing social capital formation.

Nonetheless, this does not mean that culture and the arts are able only by themselves, through the social capital that they form, to produce community development. In fact, as expressed at the final stage of the chain of community-level social impacts – the 'community revitalisation' requires long-term cross-sector cooperation. But it does mean that this function of culture within the sustainable development is related to a communitarian imperative, which is

[25] Putman described the utility of social capital as a means to increase productivity in markets and societies with high levels of trust, by economising transaction cost, increasing health, happiness and education and inducing quality of life improvements (Putnam 2000)

stimulated by the symbolic values culture transversally conveys into the different sectors of the society. An interpretation consistent with Maridal's argument, which asserts the role of culture on development is efficiently prompted by the community morality and social capital, induced by the cultural traits (Maridal 2013).

Therefore, this identified function of culture within sustainable development policies, as inducer of social capital formation, exposes the symbolic value brought by culture, should not be only confined to the role of culture in the economic growth (discussed on the first chapter) – where cultural assets are opportunities to produce and export high value products and services - but should be prolonged to a more extensive role of culture on social urban change – where culture is the 'glue' that sets the foundation at a profound level in society and helps to mediate, through a complex system of networks, the action and transformation towards sustainable development.

Concretely, this function of culture, which as previously said has been discarded form the political scenario, is connected to one of the four roles of culture in urban life identified by Throsby – concretely, the 'pervasive' role of culture (Throsby 2001). Likewise, and retaking the pillar model introduced, this interpretation stresses the role of 'culture *as* sustainable-development', according to which culture is described as an on-going process of social learning, communication and behaviour, which provides people with references and values to interpret the world, to socially interact and act, by embodying a system of meanings and symbols (Dessein et al. 2015). As also it highlights one of the nine guidelines for local level public intervention identified by the UCLG Culture Summit, the development of cultural capacities to construct, through education processes, active citizenship (United Cities and Local Governments 2015).

Hence the investment on social transformation through cultural practices can represent for political and territorial environments an alternative strategy to obsolete traditional models of governance and growth, by enhancing within cultural-based development policies, a fundamental system of networks for cross-boundary dynamics and bottom-up processes of action.

Conclusion

This chapter proposes theoretical grounds to allow interpreting the mechanisms through which culture builds community-level social impacts.

In general, cultural activities are claimed to provide opportunities to enjoy public areas, to interact and to meet new people. The stimulation of social interactions helps to tackle isolation and contributes to building bonds. Therefore, territories implementing strategies of development based on their cultural values recognise and celebrate common grounds and encourage a sense of belonging and place identity. Nonetheless, arts and culture are capable of creating and giving rise to a sense of place, not only by celebrating communal

values, but also by providing opportunities to meet and understand other value systems, to embrace diversity, to develop trust among others and to establish social networks. These formal and informal partnerships and bonds accrue as social capital. In turn, when bringing people together, it helps to increase public awareness and to improve group planning and organising activities, the core bases of community empowerment for collective action. This empowerment is what defines an active community, capable of acting together for collective profit and social change.

Moreover, the enhancement of social capital and the empowerment of communities with organizational skills explain culture and the arts role on sustainable community development by inducing dense system of networks. A function identified as essential for attending multiple levels of governance and of collective intervention and an alternative strategy to obsolete traditional models of governance and growth.

The chain developed to interpret the channels through which cultural activities produce community-level social impacts facilitates the next chapters (4 and 5), which propose empirical approaches to better grasp these dimensions of community social values. Beyond these insights into the theoretical mechanisms of collective social transformation, the complexity is multiplied when it comes to measurement. Indeed, it is very difficult to isolate and to convert all these humanistic, intangible and 'pervasive' layers of potential community-level social impacts into dimensions that are analytically useful.

Therefore, the next chapters select specific measurement indicators and particular case studies among the identified categories of social capacities, in order to develop empirical approaches able to assess the construction of community social values from cultural activities.

The first case study uses crime level as an indicator of community social revitalisation, with the European Capitals of Culture as the cultural programme of observation (Chapter 4).

The second case study identifies social capital and community involvement as the social dimensions of interest to account for community social value, by observing Sesc São Paulo as the object of analysis, due to its very specific strategy of incorporating culture and leisure activities in promoting citizenship and socio-education (Chapter 5).

These case studies seek to provide new perspectives of measurement that meet, even if partially, the identified conceptual dilemmas and methodological challenges of social impact assessment (Chapter 2) - the homogeneity of treatment, the homogeneity of effects, the linearity, the causality, the isolation and the sustainability of the effects. Moreover, they also intend to identify new mechanisms and drivers of social capacity created by different cultural inputs.

In general, the following chapters borrow analysis models from the economic sphere, acknowledging economic methods can provide essential measurement

tools, even though the bases of value in cultural and economic domains are different. As Throsby affirmed, "The dimensions of cultural value and the methods that might be used in assessing it are matters which must originate in a cultural discourse, even if at some point it might be possible to borrow from economic modes of thought as one way of modelling them" (Throsby 2001:26).

Chapter 4. An empirical approach: The role of culture for crime reduction - the case of Guimarães European Capital of Culture

The outline

This chapter focuses on a case study which aims to empirically estimate the effects the European Capital of Culture programmes can have on providing opportunities for promoting community social values and consequently community social revitalisation, using the crime level as the analytically useful indicator of interest.

Specifically, this case study measures the impacts of Guimarães 2012 European Capital of Culture on different categories of crime, using data aggregated at the municipal level, i.e., reporting results in local territories. It makes use of econometric methods to tackle some of the recognised 'challenges' concerning social impact assessments, namely, the causality, isolation, linearity and sustainability of effects.

To introduce this topic it is important to highlight what the main criteria acknowledged as inducing or reducing crime behaviour are, and subsequently how the cultural sector relates to crime in the sense of contributing to creating safer environments.

A rise in crime rate is generally associated with the socio-economic characteristics of a territory. Factors such as poverty, unemployment, urban density and racial diversity are predictive of crime, while education, equality, security, community bonds and trust are acknowledged as preventative of crime behaviour.

From the theoretical point of view, as explained by the 'Social Disorganization Theory', there are particular territorial dynamics marked by weak institutional control that sustain crime (Shaw and Mckay 1942).

Shaw and Mackay's study on crime in Chicago found that crime tended to be concentrated in specific areas independently of the individuals living there, as crime rates remained the same despite population changes (Shaw and Mckay 1942). In fact, the authors concluded that crime does not originate from individuals so much as from neighbourhood dynamics, where areas with high crime rates had weak behaviour regulation and poor institutional support and were, therefore, referred to as 'socially disorganized' (Shaw and Mckay 1942). The lack of social, political and institutional control resulted in areas with social problems such as low socio-economic status, high rates of residential mobility and racial heterogeneity, which produces traditions of criminal activity in a territory, that transfer from generation to generation.

This theory is currently used to explore the relationship between tourism and crime, advocating that areas with higher levels of tourism which are weak in social structures and community networks will consequently have higher rates of criminal activity.

Indeed, tourism increases the number of people circulating in a territory, which can provide opportunities for crime. Brás finds that opportunities for crime in tourist areas arise for six reasons: "Tourists are the preferred target because, in general, they carry large amounts of money or other valuables and often carry them visibly, in public, and in a relaxed way; Tourists are more vulnerable in a physical and social space that is not their own, and they often give out obvious signs that they are tourists (…); The probability of a tourist reporting a crime to the local police is lower compared to a local resident; Tourists, in general, ignore many 'normal' security precautions; Tourists have difficulty identifying assailants or aggressors; Tourists rarely return to testify in a court case against a criminal"(Brás 2015:2). Normally, social awareness of security issues grows simultaneously with growth in tourism, but in reality higher levels of tourist traffic can occur in territories without control, thereby allowing crime to increase. Nonetheless, this association between attractive tourism destinations and crime rate is parallel to the present study, which focusses on crime mitigation derived from cultural practices.

Next, political and institutional interventions have been made in recognition of the successful role of culture and arts in creating safer environments by reducing and preventing crime. In fact, there are different research contributions that try to analyse the effect on crime drops produced by arts engagement:

- Research by Williams, previously introduced, describes the case of a theatre company from Melbourne, named 'Somebody's Daughter', formed by a group of women ex-offenders who first got together in a prison project, but continued performing and working with their own experiences of imprisonment (mainly caused by drug addiction) to raise awareness of their situation and to uplift empowerment through their voices, to drive action towards a social issue - "For us, it was an opportunity to use our skills to reach a lot of people and [try] to break down some of those stereotyped beliefs…We haven't got two heads – we're normal everyday human beings" (D. Williams 1996:18). Among the positive benefits recorded by the theatre company from its participants, the prevention of crime and re-offending was one of the reported effects.
- Matarasso, in his work on the social impact derived from participatory arts projects, reported the case of a 'Neighbourhood Safety Project', implemented at Batley Car in 1993 (at that time a poor and violent district in the UK) (Matarasso 1997). Although, the project as a whole did not last long due to the lack of a consistent policy, the arts activities stood out from the others, by introducing modifications in crime behaviours.

According to a study conducted at the time, "67% of people on the estate now feel safe from crime, a rise of 11% since the Baseline Study. There has also been a dramatic fall in Council expenditure on repairing vandalism damage" (Matarasso 1997:34). Matarasso argued that it was not possible to attribute all these positive changes just to the arts projects, as investments had also been made on buildings and the environment, but he stated "there is evidence that it played a part that should not be casually discounted" (Matarasso 1997:34). In particular, addressing inter-generational fear was a key challenge of the project. Assigning young people to work with older residents, the latter reported having respect and sympathy for the youth, for whom they had previously reported fear. Matarasso advocated that arts projects can encourage the active participation of the local population in community life, and that this engagement is crucial to preserving city order. He also mentions that the increasing number of artistic projects which were developed in British prisons gave rise to the Prison Service Standing Committee on the Arts in Prisons in 1995, due to the recognition of its significant benefits (Matarasso 1997).

- A working paper by Phillips described the early expansion of an arts correction programme 'The Californian Prison Arts Programme', which began in 1976 with the support of the California Arts Council (Phillips 1997). The author reported significant results of the Programme; after 43,000 hours of arts instruction, (mixing dance, music and theatre performances along with visual arts) given by 279 artists to around 8 thousand prisoners in 18 institutions – notably a reduction in the number and costs of prison incidents and other long-term effects in rehabilitation and lower reoffending (Phillips 1997).
- In The European Task Force on Culture and Development report, *In from the Margins: A contribution to the debate on Culture and Development in Europe* (1997), in evaluating the impacts of arts and culture, crime reduction was identified as an indirect social impact resulting from the capacity of culture to enrich the social environment with public amenities, to induce educative and civilising effects with new references that change an individual's value systems, to stimulate creativity and innovation, to produce collective memories through community cultural products and improve the quality of life of the cultural institutions' surrounding areas (The European Task Force on Culture and Development 1997).
- In Jermyn's previously introduced research on the role of arts projects on addressing social inclusion, crime reduction is described as a 'hard' social outcome of the arts, together with health and education improvements (Jermyn 2004). As stated, the work concluded that these high-level outcomes are unrealistic when applied to short-term projects, which tend to produce transitory effects (Jermyn 2004).

- The Arts Council of England literature review, *The impact of the arts: some research evidence*, draws together, among other areas, some evidence of arts effects on social inclusion, arguing that arts performance for community development can be measured with four indicators: health, crime, employment and education (ACE 2004). Regarding crime, the review suggests that the arts can have an impact on preventing crime and reconviction by developing participants' literacy skills and by challenging prejudice. Still, many of the assessments were anecdotal evidence based on small samples and unable to establish causality (ACE 2004).
- Similar conclusions were drawn from the AEGIS research project on the *Social impacts of Participation in the Arts and Cultural Activities* (2005). This review looks at the existing applied research on the social impacts of participation in arts and cultural activity, focusing on eight areas of broader social outcome, crime prevention being one of them. Still, there is reported to be "relatively little existing work on crime prevention, except in a more or less implicit manner or as a by-product of other activity" (AEGIS 2005:38)
- As already mentioned, *The Arts in Criminal Justice* research examined the impact of arts interventions in criminal justice settings, by analysing five projects of arts activities in prison establishments in the UK (Miles and Clarke 2006). It found positive individual, but not collective, shifts with arts engagement (self-esteem, confidence, self-control), however, it also argued these positive impacts tended to last only for the duration of the intervention. Moreover the authors advocated that "in order to establish the sustainability and transferable benefits of arts interventions, longer-term or sequential projects supported by longitudinal research and an effective tracking methodology is required"(Miles and Clarke 2006:10)
- Lastly, the report *Tired of hanging around: Using sport and leisure activities to prevent anti-social behaviour by young people*, focused on the role of sport and leisure activities in preventing anti-social behaviour in young people aged from 8 to 19 years (Audit Commission 2009). It identified three ways of addressing this type of behaviour – first, enforcement (punishment), second, support to change and prevention by working on the causes, third, sports and leisure activities, which were advocated as being more intensive, cost-effective and attractive for young people (Audit Commission 2009).

These studies which explore the effects on crime produced by arts engagement raise important points about the ability of arts and culture to efficiently lower crime, the sustainability of these effects and the need for suitable methodological frameworks of assessment.

In fact, studies that track the effects of culture on crime and social behaviour first argued for the ability of arts to engage people in a very informal

and attractive way, where people feel they are being deeply motivated and cared for, secondly to challenge social prejudices by fostering collective memories through community building and by changing people's values systems, and thirdly to encourage social education and civilising processes by inducing creative thinking and enriching the social and physical environment of the institutions' surrounding areas. It appears from the assessments of arts and cultural activities effects on crime that these activities tend to be developed in specific settings, projects in prisons and excluded populations. These particular projects show that engagement in arts and culture activity can develop a sense of belonging to a place, where ex-offenders are supported to re-enter society and potential offenders have a space to work on their social problems. Also, as reported, these activities can help in changing perceptions, particularly in handling inter-generational fear, by bringing youth and old people together and working on the prejudices against offenders and minorities.

Simultaneously, those studies seeking to measure crime impacts admit that short-term assessments (most of the ones recorded) are less effective as they only provide evidence on transitory outcomes and not on sustainable effects. Moreover, there is an expressed demand for evaluations that go beyond the descriptive analysis of the immediate outcomes of arts engagement, to assess the medium (a period of more than one to three years) and long-term (more than three years) effects and to establish a causal link.

Therefore, an approach was designed that allows a medium and long-term assessment in order to prove causality and to comprehend the territorial socio-economic dynamics when determining the relationship between cultural interventions and crime.

This empirical proposition assumes the European Capital of Culture (ECoC) initiative provides an external source of variation to study the effect of a relatively durable cultural intervention on community social change, particularly on crime. From the list of ECoC programmes taking place since 1985, the Guimarães 2012 initiative was selected to be the primary activity under consideration due to the researcher's proximity to the territory and the subsequent interest in analysing a Portuguese case.

The first section of this case study describes what the European Capital of Culture is, introducing a historical synopsis of the initiative principles summing up the evolution of the programme and the evaluation practices from the beginning until the present. The second section presents the current socio-economic and cultural context of the city of Guimarães and summarily explains the content of the Guimarães 2012 programme and its administrative evaluation reports findings. The third section proposes an empirical approach to assessing the impact of Guimarães 2012 on crime level in the territory.

4.1. The European Capital of Culture initiative

4.1.1.The Programme

The ECoC is an initiative of the European Union (EU), which celebrates 31 years of existence in 2016. It was motivated by the argument that culture should play a key role inside the European project along with economic and trade concerns, the only elements in the equation at the time. An argument was made in 1983 by the Greek Minister of Culture, Melina Mercouri, which suggested the creation of a 'European City of Culture'. The idea was put forward later in 1985, and since then the European Capital of Culture (the current designation) has given an opportunity for 54 cities to host this event, starting with Athens in 1985 to Wroclaw and Donostia-San Sebastián in 2016.

From 1985 until today, the ECoC programme has evolved considerably. It was first established as an annual event, choosing one 'European City of Culture' each year "to help bring the peoples of the Member States closer together"(Council of European Union 1985). This initial motivation of bringing together the European Union citizens throughout a cultural programme is still valid today, but the initiative objectives have witnessed an evolution of the programme towards becoming a highly recognised development tool.

Beyond celebrating the local cultural heritage, creation and experiences, the initiative has gained a clear revitalisation purpose, i.e., of enabling the socioeconomic development of cities through culture: "the European Capitals of Culture have become laboratories of strategic investment in culture, benefiting our economies and our societies as a whole" (European Commission and Directorate-General for Education and Culture 2015:1). Aspirations connected to the discussion of the roles of the arts and culture were undertaken in the first chapter. Therefore, the ECoC initiative presently proposes to "highlight the richness and diversity of cultures in Europe; celebrate the cultural features Europeans share; increase European citizens' sense of belonging to a common cultural area; foster the contribution of culture to the development of cities", and is perceived as an opportunity for "regenerating cities, raising the international profile of cities; enhancing the image of cities in the eyes of their own inhabitants; breathing new life into a city's culture and boosting tourism" (European Commission 2016).

Many of the new purposes of the initiative were indeed bottom-up actions developed by the hosting cities programmes, as Garcia and Cox argued, "the broadening up of the Programme objectives was initiated by the host cities themselves, in line with wider urban cultural policy trends throughout the 1990s; however, the European authorities took these developments on board and made them a formal requirement for ECoC hosts from the 2005 edition onwards" (Garcia and Cox 2013:47).

The adjustments were felt not only in terms of objectives, but also on operational and legislative refinements over the years, reflecting important EU decisions. In fact, according to Garcia and Cox's major review on the progress of the ECoC programme, three distinct periods of the initiative can be identified and are summarized in the table below (Garcia and Cox 2013).

Table 3 – The progress of the European Capital of Culture programme over the years

Period 1: 1985-1996
The 'European City of Culture' was established in 1985 as a result of a Ministerial Resolution of the EU. The programme was exempted from the legislative framework for European Community actions, as was operating as an intergovernmental process, where cities (one each year) were appointed by the state members and given more or less two years to implement the initiative. The first cycle of the ECoC comprised the 12 country members at that time, who nominated 12 ECoC initiatives. Funding challenges characterized this period of the ECoC, together with little documentation and a lack of evaluation reports, with exception of Glasgow 1990 (Garcia and Cox 2013). In the beginning the programmes were devoted to cultural activities and to elite audiences, and were held in large cultural urban centres during the summer, mostly around seasons where there was already a city festival (Universidade do Minho 2013). In this period (under the Conclusion 90/C162/01) the 'European Cultural Month' was established, which opened the programme to other European countries outside of the EU. This initiative operated every year from 1992 to 2003 in a non-EU country, along with the ECoC city title. Glasgow, ECoC in 1990, is regarded as pioneer through the new initiatives the programme brought in at that time: a national competition for selecting the ECoC city instead of direct nomination, a year-long programme instead of just summer months, introducing new cultural expressions and promoting culture as an engine in both the urban regeneration and the city image redefinition processes. Quoting a report about Glasgow; "For the first time, the ECoC was not an ephemeral event. It promoted changes at several levels and in culturally based urban development" (Universidade do Minho 2013:21). Indeed, Glasgow's 1990 success set the beginning of the 'post-industrial culture-led regeneration initiatives' phase where cities that were not regarded as traditional centres of culture were commonly appointed as ECoC (Garcia and Cox 2013). In this phase the 1992 Maastricht Treaty introduced, for the first time in the European Commission, the intention of acting for a European cultural policy, which resulted in the development of long-term cultural programmes. The Kaleidoscope (1996-1999) was the first one, incorporating the ECoC and the 'European Cultural Month' initiatives.
Period 2: 1997-2004
The second period comprised 19 cities in 14 countries. This new cycle put into effect the previous decision of allowing cities in non-EU states members to host the ECoC title (Conclusion 90/C162/01). Another Ministerial resolution (Conclusion 92/C336/02) implemented a selection criteria (to guarantee a balance between different city types) and bidding deadlines for city applications. A significant growth in funds for the ECoC and 'European Cultural Month' is notable in this period (as a result in part from the long-term cultural programmes) introduced. The Kaleidoscope cultural programme was

absorbed in 2000 in the Culture 2000 programme (which operated until 2006).
In 2000, for the first time more than one city was appointed as ECoC, in fact it was a very atypical year with 9 cities hosting the title (all the cities that presented an application).
Regarding official publication and evaluation reports, "all cities in this period are covered by EU policy documents, host city materials, commissioned evaluations and academic analysis" (Garcia and Cox 2013:29).
In 1999, a legislative framework was introduced for the ECoC programme to be implemented as a Community Action for the years 2005-2019 (Decision 1419/1999/EC). The purpose of this action was "to highlight the richness and diversity of European cultures and the features they share, as well as to promote greater mutual acquaintance between European citizens" (Decision 1419/99/EC, Art.1).

Period 3: 2005-2019

The third cycle involves 29 cities from 29 countries, and during this period the first legislative framework came into effect (Decision 1419/1999/EC) turning the ECoC into a Community Action and no longer a remit of the Council of Ministers of Culture (European Parliament and Council 1999). This first legislative framework (as an answer to the major interest around the ECoC) established:
* a rotational system of designation – each year one Member State is expected to propose cities and submit applications to a European panel, responsible for recommending the cities to the European Commission. This Selection Panel was formed on the basis of clear instructions for the first time. The designation has to occur a minimum of four years before the event is due to begin (later reaffirmed with Decision 1622/2006/EC[26]);
* to correct for its absence in the previous programmes, a European Dimension of cooperation was introduced in the programme criteria, noting that "while applications tend to stress the European and/or multi-cultural character of their city and cultural offer, plans are often not in place to establish meaningful connections with the rest of Europe" (Garcia and Cox 2013:11);
* to support the recognition and implementation of the programme as a catalyst for social, economic and urban renewal, specific care was given to "encouraging the involvement of young people and organising specific cultural projects designed to increase social cohesion, whilst the programme was also expected to contribute to the development of economic activity (particularly in terms of employment and tourism), and encourage the development of links between architectural heritage and strategies for new urban development" (Garcia and Cox 2013:43).
New member inclusions were required after the enlargement of the EU, in 2004. Decision 649/2005/EC established that from 2009 to 2019 two ECoCs will be appointed each year, one from the old member States and one from those who have recently joined the EU (European Parliament and Council 2005).
In 2006, new adjustments were made to the process with Decision 1622/2006/EC, that sets the basis of the ECoC initiative operations until 2019. This decision:
* developed an outline for the application process;
* refined the selection framework with a two-stage national competition and the

[26] Decision 1622/2006/EC, Article 9: " Each of the Member States concerned shall nominate one city to be European Capital of Culture and shall notify the European Parliament, the Council, the Commission and the Committee of the Regions thereof, no later than four years before the event is due to begin" (European Parliament and Council 2006)

number of Selection Panel members was extended;
* sectioned the cultural programme criteria into two categories; 'European Dimension' building on previous concerns of cultural diversity and cooperation of cultural agents in the European field, and 'City and Citizens' stressing a new concern of defining sustainable programmes capable of producing long-term social development of the city (European Parliament and Council 2006).
* instituted a Monitoring Panel, which submitted the cities to a progressive monitoring assessment on the objectives and the criteria implemented, from the year of selection to the title year (this assessment is a determinant for the amount of European funding received);
* polished the evaluation process, which demands both an independent evaluation at the end of each ECoC, developed by an external team contracted by the European Commission and an internal report of the Commission in the year after the event[27]. In addition to the required evaluation processes, many hosting cities have themselves commissioned independent reports.
In 2007, the long-term cultural programme which followed the Culture 2000, was the Culture Programme (2007-2013). In 2014 this programme that held the funding for the ECoC was replaced by the Creative Europe programme (2014-2020).
According to Garcia and Cox, it was in this period where more material documentation related to the ECoC was produced, besides evaluation reports EU policy documents also increased (Garcia and Cox 2013).

For the next phase, the period 2020-2033, a new legislative framework was already produced, Decision 455/2014/EU, which establishes a Union Action for the European Capitals of Culture for the years 2020 to 2033 (European Parliament and Council 2014). Here the selection criteria was refined and divided into the following categories: 'contribution to the long-term strategy', 'European dimension', 'cultural and artistic content', 'capacity to deliver', 'outreach' and 'management' (European Parliament and Council 2014). Therefore, this future period emphasis is on the need to foresee and manage the role of culture on the long-term policies of cultural, social, economic and urban development. Also, and as expected, along with the sustainability issue new specifications for the monitoring panel and evaluation processes emerge. Decision 455/2014/EU states that each city hosting the title is responsible for publishing and disseminating the results of the ECoC programme evaluation for public consultation. However, the assessment undertaken will have to follow common indicators and guidelines to overcome the lack of comparable data. Besides the city evaluations, the Commission still has to ensure the production of

[27] Decision 1622/2006/EC, Article 12: "Each year the Commission shall ensure the external and independent evaluation of the results of the European Capital of Culture event of the previous year in accordance with the objectives and criteria of the action laid down in this Decision. The Commission shall present a report on that evaluation to the European Parliament, the Council and the Committee of the Regions by the end of the year following the European Capital of Culture event." (European Parliament and Council 2006)

external and independent evaluations of the results of the action on a regular basis (European Parliament and Council 2014).
Beyond these described cycles, other aspects help to account for the ECoC programme evolution. The average population of the ECoC cities has been decreasing since 1985, a fact that is due to the type of cities hosting the initiative. Initially it was capital cities of the Member States (Athens, Paris, Madrid, Lisbon) that hosted the ECoC title. These were followed by smaller urban centres (Santiago de Compostela 2000, Graz 2003) and also by region-wide programmes (Marseille-Provence 2013, Lille 2004) (Garcia and Cox 2013). Regarding the European funding for the cities hosting the ECoC, the amount has growth from €100.000 (in the first year) to €1.5 million. Since 2010, the European funding is provided via the Melina Mercouri Prize, reaching a total sum of €1.5million[28]. The prize format establishes that the fund is not automatically received but conditional upon the assessments of the monitoring panel after the nomination period. Until the 2019 ECoC the fund is to be paid no later than three months before the year of the title begins.

This historical synopsis of the ECoC initiative sums up the substantial transformations of the programme and the legislative and operational adjustments that came along with these changes. In brief, the ECoC profile progressed from a summer festival structure, towards the recognition of the role of culture for long-term city development strategies that put forward culture-led regeneration programmes. Lisbon 1994 was a pioneer host city to link the ECoC programme to the main urban cultural policy and physical development (Garcia and Cox 2013). Nevertheless, is important to mention that although all along the programme a great emphasis was put on the instrumental value of culture, there were also voices that arose against this instrumentalization of the initiative, advocating for the intrinsic and aesthetic values of the programme activities (European Commission 2009).

4.1.2. The Evaluation Practices

Like other mega-events, and as introduced when reviewing the social impact assessment practices, the ECoC initiatives are acknowledged as capable of producing effects over a whole spectrum of dimensions, and therefore most of its assessment strategies followed a multidisciplinary approach (Richards and Rotariu 2011)(Universidade do Minho 2013). The same thing happens when researching the effects of other mega cultural events, like in the case of major festivals (Getz 1991)(Garcia and Langen 2009).

[28] The 2011 ECoC host cities were the first round of cities to be subject of the revised adjustments of the Decision 1622/2006/EC and the second to receive the Melina Mercouri Prize (ECORYS 2013)

As listed in regard to Decision 1622/2006/EC, since 2009 both internal (developed by the European Commission) and external (assigned to external consultants) processes of evaluation of the ECoC programme are mandatory. Also as stated, some cities have produced (through commissioned work) their own evaluation and impact reports, such as Sibiu 2007, Liverpool 2008, Turku 2011, Guimarães 2012. Inside these publications, the Liverpool 2008 evaluation, named *Impacts 08*, has served as an example since it presented the first longitudinal study report (Garcia, Cox, and Melville 2010). In fact, this work motivated the development of a working group, the *European Capitals of Culture Policy Group 2009–2010*, which was established for purpose of setting up a long-term framework of reference and indicators for the evaluation of the ECoC initiatives.

Inside the extensive publication of results over the ECoC programme, pushed by the mandatory argument, there is in fact a dominant topic of interest and analysis. According to the study *'European Capitals of Culture: Success Strategies and Long-Term Effects',* which reviewed 302 academic, policy and practitioner references discussing the ECoC programme, the dominant debated topics of impact have been the economic and cultural impacts, followed by governance, and lastly, the social dimensions (Garcia and Cox 2013). But, when these reviewed references are reduced to the evaluation analyses (type of document), the topic of interest is restricted to the economic dimension (Garcia and Cox 2013). Here the main commonly reported impacts are the local business turnover, the employment created, the boost in tourism, the attracted investment, the profile and consumption patterns of visitors or the marketing achievements on rebranding the city. Nonetheless, negative economic impacts, such as the rise in goods and services prices, are sometimes reported.

Likewise, in 2011, an online consultation also revealed that there are certain areas of ECoC impact receiving more attention than others (ECORYS 2011:9). The ECORYS consultation[29] was conducted for assessing the future of the ECoC initiative and asked respondents about the extent to which the ECoC title produces long-term benefits to the host cities. For the respondents, the most tangible benefits of hosting an ECoC were a 'better international profile and image for the city' and 'a more vibrant cultural scene'(ECORYS 2011:9).

Moreover, the extensive materials produced expose the already discussed ambiguity of the terms outputs, outcomes and impacts, as most of the documents are reports based on the short-term: "Many documents reflect an ambiguity or confusion as to what constitutes an actual impact, what counts as a long-term effect, and what is simply a strategy aimed at achieving these outcomes" (Garcia and Cox 2013:33). This explains why there is a limited evidence of sustained

[29] "As part of the preparations for a new legal basis for the European Capitals of Culture (ECoC) after 2019, the European Commission launched an online consultation on 27 October 2010, which remained open until 12 January 2011. This consultation was accessible in 5 languages: English, French, German, Italian and Spanish. Through the consultation, the Commission invited individuals, organisations and public authorities to express their view on the future of the ECoC…A total of 212 people participated in the consultation"(ECORYS 2011:1)

long-term impacts that can be clearly linked to the ECoC, beyond the in-year outputs of the event commonly reported: "there is a tendency in some sources to attribute a status of 'long-term' to certain kinds of benefits, when they are in fact in-year outputs, and will only be beneficial in the longer term if they can be sustained" (Garcia and Cox 2013:114). Still, although methods committed to monitoring long-term effects have recently improved substantially, there is "a significant absence of evidence of direct effects more than three years after the event. In many cases, limited proxy indicators, such as plans for the future, or evidence of capacity or long-term activity, are the best available indications" (Garcia and Cox 2013:114).

These observations support the construction and the development of this case study, by showing that the ECoC initiative constitutes an example of a profound cultural intervention, a mega-event in a specific territory, and that although the evaluation practices of this initiative have improved considerably, significant gaps remain as seen in the misinterpretation of what the impact of a programme is (and not its outcome and output), and consequently on the ability to produce evidence on long-term effects.

4.2. Guimarães 2012

4.2.1. The city of Guimarães

Guimarães is a municipality located in the district of Braga in northern Portugal. It has 156.310 inhabitants and an area of 241 Km2 (INE 2013). The city population grew gradually until 2005, after which it started to slowly decrease, mainly due to the negative migratory balance (Universidade do Minho 2013). The population of Guimarães is younger than the northern region and country average, although in the last decade the ageing ratio has been increasing, resulting from the growth in the senior population compared with the younger (INE 2013).

The Portuguese northern territory is the most industrialised area of the country and Guimarães, which holds one of the highest industrialisation rates on a national scale, is recognised for its textile and clothing manufacturing (INE 2013). In 2010, 14.000 companies composed the Guimarães corporate fabric and in 2009 the textile, clothing and leather industry represented 71.2% of the city's GVA (Universidade do Minho 2013). Nevertheless, as in other regions and countries the industrial sector has been losing importance. The report from Minho University identified the main factors for Guimarães industrial decline as the appreciation of currency, the adoption of the Euro and also the immense competition resulting from opening the market to Asian products (Universidade do Minho 2013). Consequently, since the 80's the municipality has been investing in alternative mechanisms of development, such as the tertiary sector

and specifically the tourism sector (Universidade do Minho 2013). The great leap forward in tourism, however, was only felt after the UNESCO recognition in 2001 of the city's historic centre as a World Heritage Site – "between 2002 and 2011, the number of overnight stays in the city and the number of guests in hotels increased by approximately 55% and 70%, respectively" (Universidade do Minho 2013:41).

Historically, Guimarães is known as the 'cradle of Portugal', due to the memoir that relates the city as the birth of the Portuguese nation and identity[30], a factor that has always been a reason for community pride and celebration.

Guimarães is described as a city of deep cultural traditions (with a large number of associations, like the *Círculo de Arte e Recreio, Academia de Música Valentim Moreira de Sá*, and the *Associação de Etnografia e Folclore de Guimarães*), not only in a popular sense of traditional festivities and celebrations (like *Nicolinas*) and the traditional crafts (like the lovers' handkerchief and the lovers' small ceramic pot), but also in a erudite dimension (Jazz Festival, the oldest Portuguese cinema club, the *Cine Clube de Guimarães*, Vila Flor Cultural Centre, Alberto Sampaio Museum). According to ECORYS report, the most distinctive characteristic of the Guimarães cultural sector is "the wealth of cultural associations bringing together amateurs and professionals in a variety of different fields including folklore and popular culture" (ECORYS 2013:ii).

The investment by the municipality in the cultural domain over the years is observable in the vitality of the sector audiences, the agents and the network of venues built. In 2011, the total of expenses in cultural and creative activities by the municipality was almost €6 million[31] and the total number of cultural sector enterprises[32] grew from 95 in 2005 to 117 in 2011 (INE 2016).

4.2.2. Guimarães 2012: The nomination and the programme

Portugal was selected to host the ECoC title in 2012 under the European Commission Decision 1419/1999/EC, which defined the annual list of member States receiving the cultural programme until that year. Under this decision (and until 2012) it was the States' responsibility to decide how to select the potential city (or cities) to be submitted to the European panel for evaluation and nomination, by hosting or not a national competition (which is now a mandatory step) (European Parliament and Council 1999). Consequently, the Portuguese

[30] One of the key episodes for the beginning of Portuguese national identity, Battle of São Mamede, took place outside Guimarães, and after the battle Dom Afonso Henriques (Portugal's first king) declared Portuguese independence from the Kingdom of Léon (Spain).

[31] Value accounted at exactly 5.857 thousand euros, restated by the Continental Consumer Price Index of 2014

[32] Total number of cultural enterprises including: 'Creative, arts, artistic and literary activities', 'Libraries, archives, museums and other cultural activities', 'Motion picture, video and television programme production, sound recording and music publishing activities' and 'Radio and television activities' defined according to the economic activity classification

Government directly appointed Guimarães[33] as the potential Portuguese city to host the ECoC title.

In May 2009, the application of Guimarães was formally approved after almost a 3-year process of some adjustments and developments required by the European Selection Panel, and the city was awarded the ECoC 2012 title. In the same year the City of Guimarães Foundation was established to implement the Guimarães 2012 programme. The City of Guimarães Foundation worked with a budget of nearly €41.5 million, of which €27.3 million was designated for the cultural programme and €14 million was divided in two equal parts between marketing/communication and management/functioning expenses (ECORYS 2013). The European Regional Development Fund (ERDF) through the North Region Operational Programme (with co-funding from the national Government) provided the main funding source for the Guimarães 2012 programme. As referred to in the ECORYS report, "Guimarães was able to fund its ECoC largely through the Structural Funds (accounting for 70% of expenditure) since the priorities of the North Region Operational Programme coincided with ECoC objectives around supporting the development of cultural and creative industries and investing in the economic development of the region" (ECORYS 2013:vii).

When Guimarães was recommended by the Portuguese Government to host the ECoC title the city council saw a clear opportunity to re-emphasise the importance of the cultural sector for municipal economic and social development, under an implicit cultural-led urban regeneration strategy. As a result, new uses started to be designated for the unoccupied industrial sites of the region, some with a cultural purpose, like the *Complexo Multifuncional de Couros* (ECORYS 2013). The nomination "was seen from the beginning as an opportunity to promote the transformation of the local economic structure, based on creativity and innovation, and to reinforce its competitiveness and qualified job creation, namely through the development of cultural and creative industries" (Universidade do Minho 2013:19). Therefore, along with the cultural programme of Guimarães 2012 a major public investment of nearly €42 million in cultural infrastructures and urban requalification was implemented, again through the support of European funds acquired by the efforts of the municipality of Guimarães (Universidade do Minho 2013). Besides this public intervention there were some private initiatives related to cultural activity, two of which were significant for their programming and audience reached: the ASA Factory (*Fábrica ASA*) and the Centre for Arts and Architectural Affairs (*Centro para os Assuntos da Arte e da Arquitectura*), a former textile factory.

[33] "The Portuguese Government decision to nominate Guimarães directly was generally well accepted by other cities and the wider public at least in part because Lisbon and Porto had already hosted the title" (ECORYS 2013:vii)

The key aim of the initiative was to develop conditions and opportunities for artistic creation in the city, through the development of facilities and reinforcement of local capacity (ECORYS 2013). The specific objectives of the ECoC title, according to the Guimarães application, were the following: to develop the human capital of the local community, to move from an industrial economy into a creative economy competitive city and to transform the existing passive memories into new cultural and creative experiences (ECORYS 2013). These objectives were pursued through concrete activities. For example, during the title year the city was the stage for activities that explored the territorial identity through artistic interpretations, such as the audio-visual project 'Reimagining Guimarães' that planned to rediscover the city heritage. In general, the objectives defined for Guimarães 2012 were in line with the municipal urban policy, which as presented, had been putting a large emphasis on the cultural sector role as a key component of the urban strategy.

Guimarães 2012 ECoC communicated its programme with the slogan 'You are part of it' and with the image of a heart, developed from the idea of Guimarães being known as the 'cradle of Portugal,' and in order to serve as an invitation for every Portuguese citizen to get involved in the initiative. In fact, a meaningful part of the programme focused on creating artistic experiences for citizen engagement, through projects such as story-telling (where people were invited to host an open story telling evening in their homes) or the closing ceremony 'You are Part of It', which involved the local population.

The Guimarães 2012 cultural programme was organised in four areas: the *Community* – that intended to create a relationship between the people and the city by re-empowering and involving the community and fostering volunteering; the *City* - focused on interpreting and valuing the territory's creative landscape, promoting innovative and creative exchange; the *Thought* – which encouraged the reflection of important topics such as 'Identities', 'Founders', 'Modern Times', 'Creative City', 'Europe: Destinations'; and lastly, the *Art* – that was divided into 'Music', 'Performing Arts', 'Arts and Architecture', 'Cinema' and 'Audio-visual' (Universidade do Minho 2013). Besides these four areas of work, the cultural programme was chronologically divided into four periods: 'Time for Encounters', 'Time for Creation', 'Free Time', 'Time for Rebirth' (Universidade do Minho 2013). From the 1300 cultural events that were counted for the ECoC year, music and cinema represented 42% of the art forms of these activities and 25% of these occurred in informal spaces and public areas, like the 'Fountain Hacks' project (Universidade do Minho 2013).

Figure 7 - Fountain Hacks Guimarães 2012

The aim of Fountain Hacks project was to promote occupation of the city's fountains by redefining their uses, adding beach loungers, waterslides, garden furniture and toys to get the people of Guimarães paddling in the water public spaces and to remove social predefined boundaries.

During the 2012 title year the number of cultural sector enterprises in the city rose from 117 in 2011 to 139, and the expenses in cultural and creative activities by the municipality rose to over €16 million (INE 2016). In 2012, the number of live shows per inhabitant grew to 0.7 (in 2011 it was 0.3) and almost reached the average of 0.8 for the country that year (INE 2016). The number of exhibitions in art galleries and other temporary exhibition spaces in 2012 was not much different from 2011, rising from 16 to 18 (INE 2016). Yet, in 2013 this number rose exponentially to 48, indicating that some of the new or renewed venues may have had a delay or postponement of the opening (INE 2016).

In general, the Guimarães 2012 programme envisioned the development of the city through active cultural and social engagement, promoted both through the physical (urban regeneration) and the immaterial (cultural) programme and interventions and celebrations in the public space, conceiving the city area as a 'meeting point'.

4.2.3. Guimarães 2012: The evaluation reports

As mentioned earlier, when introducing the general evaluation procedures of the ECoC initiatives, since 2009 both internal and external processes of evaluation are mandatory. Besides that, some cities produced their own assessment reports. In the case of Guimarães 2012 capital of culture, two main evaluation reports were commissioned; the report ordered by the European Commission, *Ex-post Evaluation of 2012 European Capitals of Culture* and the work commissioned by

the City of Guimarães Foundation, *Guimarães 2012 European Capital of Culture Economic and Social Impacts*.

Likewise, as mentioned, there is a dominant topic of interest in the analyses, converging on the economic dimension. Concerning the contribution of the Guimarães 2012 programme to the economy of the local territory, the evaluations undertaken highlighted different dimensions.

First, from the effect on the tourism sector there was an increase in the number of visitors to the local museums (*Paço dos Duques de Bragança* registered an increase of 28.6% - making it the third most-visited museum in Portugal in 2012 and *Museu Alberto Sampaio* recorded a 35.3% expansion of visitants number), and a 29% expansion in the accommodation capacity from 2011 to 2012 that served the higher number of guests (Universidade do Minho 2013). In fact, according to data from the INE, the total annual nights registered in hotel establishments increased from an average value of 150 thousand registered in 2009, 2010 and 2011, to 208 thousand in 2012 (INE 2016). The profile of the Guimarães 2012 tourism visitor (based on a survey of 1080 pedestrians during 2012) was mainly Portuguese (47.5%), from the northern region (without including those from Porto), professionally active (75%), highly educated, married (64%) and an average of 41 years-old (Universidade do Minho 2013). For 23% of the domestic visitors the main reason to visit Guimarães was participation in the ECoC, this figure rose to 30% for visitors accommodated in hotels (Universidade do Minho 2013).

Second, the contribution of Guimarães 2012 to commercial business, which is one of the main effects of hosting an ECoC, was highly related to tourism enhancement. The results of a survey of the business enterprises in Guimarães city centre showed that one-fifth of the respondents declared having made an investment in the capacity and quality of their commercial space to receive the ECoC, and around a half of the queried retailers registered an increase in their turnover in the 2012 title year (75% recognised the rise was due to Guimarães 2012) (Universidade do Minho 2013). These outcomes were identified by the report as 'short-term impacts of Guimarães 2012 on local commerce' (Universidade do Minho 2013). This type of ex-post evaluation report usually assess the 'short-term effects' not only at local level but also at the macro level, by the boost in domestic demand induced by the programme's initial expenses. This multiplying effect, already discussed in this research, is transported through the local economy and, as explained, can be measured with an input-output methodology that provides a representation of the productive structure of the economy and allows an evaluation of the sectorial (short-term) impacts of public interventions. In this case, the application of the model assessed the impact of Guimarães 2012 on the Portuguese gross output of €167.6 million and the contribution of the event for the Portuguese GDP at €84 million, and generated 2.111 jobs (Universidade do Minho 2013).

Third, a segmented analysis of the contribution of the ECoC initiative to the local economy was developed for the cultural and creative entities that supplied and collaborated with Guimarães 2012. These suppliers, which came mainly from the Porto metropolitan area (33%) and from the urban axis of Braga, Famalicão and Guimarães (31%), claimed to have developed partnerships with local (39%) and international agents (18%), introduced new organizational procedures in their organisation (39%), acquired new competencies (35%) and developed staff training sessions (24%) (Universidade do Minho 2013). Although almost half of the suppliers reported as not expecting the Guimarães 2012 will have an influence in the future management and strategic issues of their companies, they agreed that the improvement of the city image nationally and internationally and the requalification of the cultural infrastructures are instruments that the sector can profit from in the future (Universidade do Minho 2013).

Though there was a large emphasis on the economic dimension, the intended and evaluated 'effects' of Guimarães 2012 were not only confined to this topic.
As announced in the programme objectives, there was a primary concern with the engagement of the population in the programme in order to promote networks in the local social fabric, which was reflected in the artistic experiences created.

For example, the 'Other Voice' (*Outra Voz*) choir consisted of people from different ages and backgrounds in the Guimarães municipality that gathered once a month to rehearse under the guidance of national artists. This project started in 2010 with 13 members and reached 150 members in 2012 (Universidade do Minho 2013). It performed in cultural national institutions and at the closing event of Guimarães 2012 programme. The project sustainability was assured as stated in the report assessment, that "this initiative became autonomous from the event and grew roots in the city, becoming a legal association that continues to work every week" (Universidade do Minho 2013:84). A similar development took place with the city orchestra (*Fundação Orquestra Estúdio*), which gathered 55 young musicians from Portugal and other European countries to live, work (with local music projects) and perform for more than one year in Guimarães. A reported example was to create "sociability bonds between the host city and the musicians, who quickly absorbed the city's rhythms and 'rituals'" (Universidade do Minho 2013:92). Another project that allowed working with the local population and its root identity was the 'Intersecting Times' (*Tempos Cruzados*). This consisted of a consortium of local associations, created to promote the cooperation between the local association structures that received financial support of €1 million to develop a joint programme. Additionally, the Education Service programme, was created as an extension of the existing *A Oficina*'s educational department, and had a major intervention in school audiences. The volunteer programme, although reporting

some operational issues, was also a successful project of local engagement connecting 300 people. One last reference is to the communication elements introduced in the 'You are part of it' slogan and the image of a heart, which had successful evidence of local engagement. The 'hearts' distributed among the citizens and local commerce were appropriate as the city symbol, as the celebration of local heritage and identity helped in "creating a feeling of celebration across the city during the title year"(ECORYS 2013:iv). It also appealed to the creativity of the local citizens, by becoming a "individually manufactured manifestation of belonging and adhesion" (Universidade do Minho 2013:91).

According to the ECORYS ex-post evaluation, this objective of the community engagement was successfully achieved, "Involving citizens in cultural activities was at the centre of the cultural programme and one of the key achievements for the whole ECoC" (ECORYS 2013:iii). In fact, the results reflected the engagement strategy, according to a survey conducted 7 months after the end of the event to Guimarães inhabitants; in 40% of all households at least one member had engaged in Guimarães 2012 (Universidade do Minho 2013). Additionally, on the same survey around 89% of respondents stated a positive assessment of the community involvement dimension of the programme (Universidade do Minho 2013). It's of note that favourable perceptions decrease for residents of Guimarães parishes outside of the city centre. Additionally, the capacity of the Guimarães 2012 programme to engage the local population was thought to be less fruitful in engaging 'youth and higher education students' who, although feeling a sense of pride, considered the programme was not very interesting for their age (Universidade do Minho 2013:93).

Lastly, another reported dimension, characteristic for this type of initiative, is the 'media impact'. The results pointed to a strong media impression at international and national levels. Before the ECoC the monthly average of news items was 500 and it reached 1.264 in December 2012. From the total of 14.818 news items were published in 2012, 213 were international and of these 43% were from Spain, followed by Germany, France and the UK (Universidade do Minho 2013). Nevertheless, this strong 'media impact' was not felt in terms of the local media, where the incapacity of the local news to accompany the artistic side of the event was, according to the Universidade do Minho, mainly due to a lack of specialists to decode specific artistic manifestations, and to the closure of two local newspapers during 2012 (Universidade do Minho 2013).

To conclude on a note regarding terminology, the findings of these evaluation assessments, although reporting the 'impacts of Guimarães 2012 initiative,' report in-year (short-term) outputs and outcomes over different dimensions, and consequently show a relative ambiguity in the term 'impact' and a disinterest in sustainable long-term effects.

4.3. The empirical approach: the impact of Guimarães 2012 on crime level

As introduced in the outline of this case study, there are research contributions that have tried to analyse the effects that engagement in the arts produces on crime drops, observing projects in specific environments. Nevertheless, these assessments are made based on methodologies that focus on the immediate outcomes of the engagement and are unable to measure medium and long-term impacts and to prove causality. To move beyond the more anecdotal metrics, Guimarães 2012 European Capital of Culture was selected as an external source of variation to provide evidence for the effect of cultural intervention on crime drops in a territory. By using Guimarães 2012 as an exogenous experiment, this empirical approach uses a difference-in-difference estimation through a panel built with aggregate data for 2008 and 2013 to support the initiative's impact on crime, advocating for a causal relationship and not a mere association.

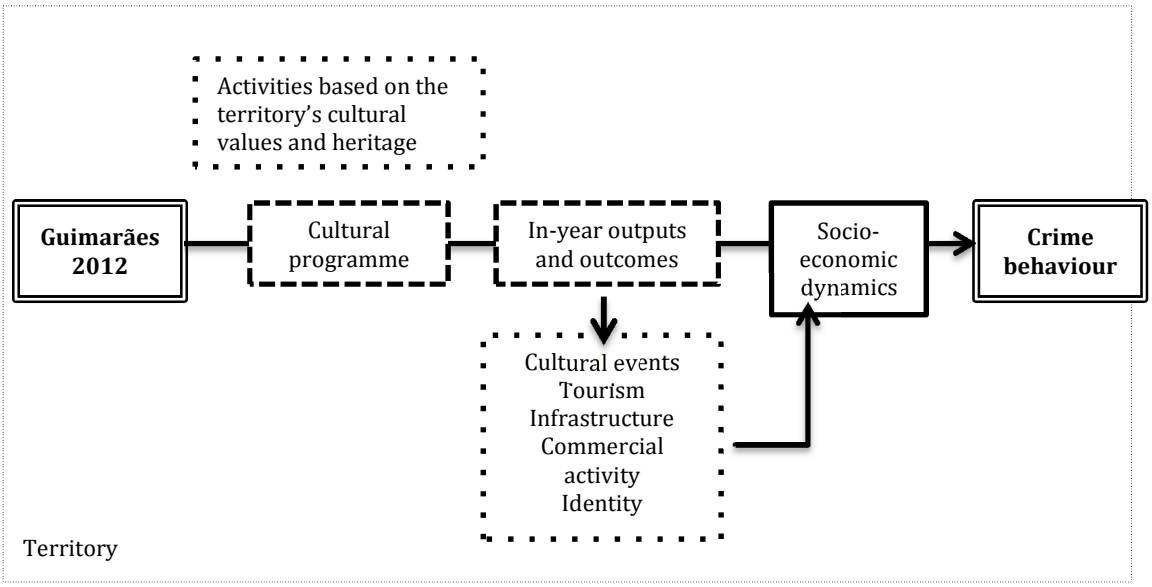
Choosing an ECoC initiative as an experiment that allows identifying the causal effect of interest led from the assumption that hosting an ECoC can be treated as an exogenous intervention for social transformation. In fact, based on the previously described process of nomination, the recommendation was considered to be external to the municipality: in the first instance the EU member countries are assigned by an external entity, the European Commission, for a specific year; in the second instance, at the country level the Portuguese government appointed Guimarães to host the title; and lastly, the city was officially awarded the ECoC title by the European Selection Panel after developing and presenting a potential programme. Although it could be argued that the city council had done some lobbying to host the ECoC title, the process as a whole was considered to be impartial.

Moreover, the two main variables used, crime rate and the cultural programme, are two phenomena that are considered to be unrelated, as hosting the ECoC does not have the objective of reducing or increasing municipal crime rates. The analysis relies on the following research hypothesis:

Intensive cultural programmes reduce crime rates in the territory of intervention

The fundamentals of this hypothesis was built with a model (Figure 8) to explain the mechanism through which the ECoC initiative could be expected to reduce crime rate, keeping in mind that this diagram conveys the chain of mechanisms in collective terms.

Figure 8 - Guimarães 2012 mechanisms of impact on crime



According to the previous section that described the in-year outputs and outcomes induced by Guimarães 2012 cultural programme, in which activities were developed based on territory cultural values and heritage, it was noticed that the initiative left its imprint on different dimensions, namely the number of events and visitors to the city, new public and private infrastructure, a boost in commercial activity, reinforced identity and sense of belonging through the engagement of the population in the events. Therefore, the Guimarães 2012 programme was able to influence the socio-economic dynamics of the territory. It was previously argued (in 'The outline' of this Chapter) that the socio-economic characteristics of a territory, such as unemployment, are elements which are explicative of crime behaviour (Shaw and Mckay 1942). Hence, the Guimarães 2012 initiative can produce an effect on crime behavior, in the sense of prevention, through the impacts induced by its cultural programme on the city socio-economic dynamics.

4.3.1. The methodology

The unit of observation of this empirical approach, analysing the impacts of cultural interventions on crime and social behaviour, is based on aggregate data, at a municipal level (LAU 1[34]) and not at the individual level, in order to take into account, as far as possible, the territorial socio-economic dynamics. This helps to avoid the subjectivity of individual analyses, but at the same time demands dealing with isolating the effects in societal complexity.

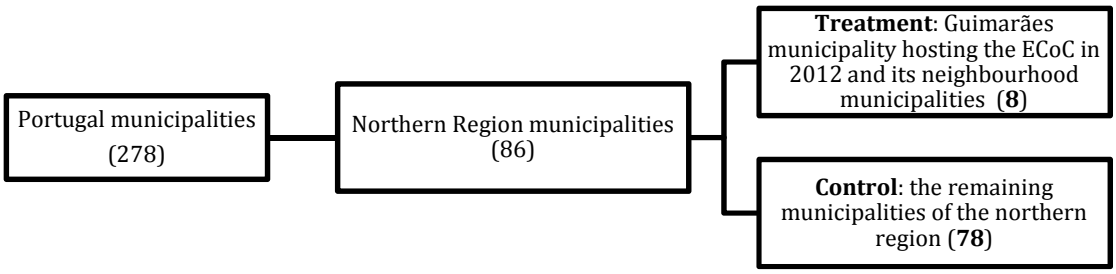
The choice of working at the territorial level is also supported by the documents and argumentation that underline the importance of local-scale interventions

[34] LAU: Local Administrative Unit is the European Union territorial nomenclature.

when developing cultural policy strategies (explored in the first chapter) (Greffe 2013)(UNESCO and UNDP 2013).

In fact, the disparity of strategies is evident in the amount of investment between the Portuguese central and local government, where the consolidated expenditure of the Portuguese State Secretary of Culture amounted to €167.7 million in 2012 (a decrease of 22.2% over 2011) and the local government's allocation[35] to cultural activities, which registered an increase and invested total in the same year, of €401.5 million (INE 2012). This gap between the two structures of government is also observable through the cultural policies implemented, where "Local authorities play a key role in supporting cultural associations and local cultural activities" (Gomes and Martinho 2011:34). Therefore, the Portuguese municipalities, as representatives of these vibrant local government forces, were defined as the units of observation.

It is fundamental that measuring an impact consists in determining the difference between two situations, one exposed to an intervention and other not exposed, in order to assess the cause and effect relationship and the occurrences produced by the intervention (Kancel et al. 2013). Among the 278 municipalities that constitute continental Portugal, Guimarães was the only municipality which received the ECoC title between 2005-2014. Nonetheless, for defining the treatment and control groups a specific approach was followed, which is visually presented in the scheme below.



First of all, the country was segmented to consider only municipalities belonging to the region where the ECoC 2012 took place. This means that from the 278 continental municipalities only those from the northern region of the country (a total of 86) were considered for the analysis. This decision was made to minimise the profound regional asymmetries that mark the Portuguese territory and consequently to work with more similar controls (municipalities) (OECD 2008).

Indeed, Portugal has five continental regions, corresponding to the NUTS 2 of EU territory subdivisions[36], that although are not administratively

[35] "Mainly in the following domains: cultural precincts (19.2%) cultural heritage (17.7%), books and press (14.6%), socio cultural activities (13%) and music (6.4%)"(INE 2013:6)

[36] The NUTS - Nomenclature of Units for Territorial Statistics is a standard geocode, developed by the European Union, for referencing the subdivisions of European countries for statistical purposes. Portugal has 3 subdivisions of NUTS 1 (Continental Portugal, Azores and Madeira); 7 subdivisions of NUTS 2 (5 continental Regional Coordination Commissions

autonomous are operated by the Regional Coordination and Development Commissions (*Comissão de Coordenação e Desenvolvimento Regional*). These Commissions respond to the territories' demands for targeting policies and other instruments of development. For example, although the northern region is growing exponentially in its tourism capacity, it is a very industrialized territory where industrial capacity has been in decline in the traditional regional sectors due to competition from China and India. This region has the country's second highest unemployment rate in the active population with higher education, and therefore requires specific tools to resolve its socio-economic difficulties (11,6%) (INE 2015). In contrast, the Lisbon Metropolitan Area is where the headquarters of large economic groups and the major part of the political and financial power are concentrated, as it is the capital of the country. It is also the region with the highest gross expenditure on research and development (followed by the northern region) (INE 2015). As for the Algarve, although its economy is specialized in tourism it is no longer mainly the south of the country that appeals to tourists, as the whole of the country has become a top travel destination. In fact, from January 2010 to January 2016 overnight stays in hotel establishments in the northern region grew at a rate more than two times higher than in the Algarve, almost reaching the same rate as the capital region (44% in the north, 46% in Lisbon and 18% in Algarve) (INE 2016).

These few examples underline the contrasts between the regions, and support segmentation in the decision to consider the 86 municipalities of the northern region.

Secondly, to define the treatment and control municipalities, instead of working with only one municipality (that formally hosted the ECoC in Portugal in 2012) versus a control group of 85, a decision was taken to define a ring-shaped area of treatment municipalities in order to increase the source of variation. This decision was sustained by the verification of spillover effects from Guimarães to its surrounding territories. The replication of the effects was evident at different levels:

- Suppliers and collaborators: 31% of the suppliers headquarters were located in the urban axis of Braga, Famalicão and Guimarães, and the great majority of the collaborators with the City of Guimarães Foundation classified the impacts on their local economy as very positive (Universidade do Minho 2013). Still, this judgement becomes less expressive and optimistic as the territorial scope enlarges - at the regional level there is a significant reduction in the intensity of Guimarães 2012 economic effects, and at the national level those effects are considered 'null or negligible' by these suppliers (Universidade do Minho 2013:69).
- Audience: according to the audience survey conducted for evaluation purposes 72% of those interviewed were from the Braga district, of which

and 2 Autonomous regions); 25 NUTS 3 (Groups of municipalities); and 308 LAU 1 (278 continental municipalities and 30 municipalities from the Autonomous regions).

60% were from Guimarães and 12% from the remaining municipalities of Braga (Universidade do Minho 2013).

- City users: in line with the passers-by survey conducted during 2012 among the pedestrians in the streets of Guimarães, 78.2% of those interviewed were from the Braga district (including Guimarães) and of those, 28% and 23% were in town for professional and study reasons, respectively (Universidade do Minho 2013). This data indicates that inhabitants of the neighbouring municipalities use the city on a daily basis. A large portion of the passers-by survey (61,2%) attended at least at one event of Guimarães 2012, but this attendance rate declines with the distance from the place of residence of interviewees. For those living in the epicentre, Guimarães, the rate was 75%, for the residents in the remaining area of the Braga district the rate was 42%, for those coming from other country districts (except Porto[37]) the rate was 26% (Universidade do Minho 2013).
- Accommodations: according to the passers-by survey, of the interviewees from other national districts besides Braga (which corresponded to 10%), most were accommodated in Guimarães (66%) and secondly in other municipalities of the Braga district (17.7%), supporting the proximity of these territories. This segment stated tourism as the reason for visiting Guimarães (53%), and around 27% stated that it was specifically to visit the ECoC (Universidade do Minho 2013).

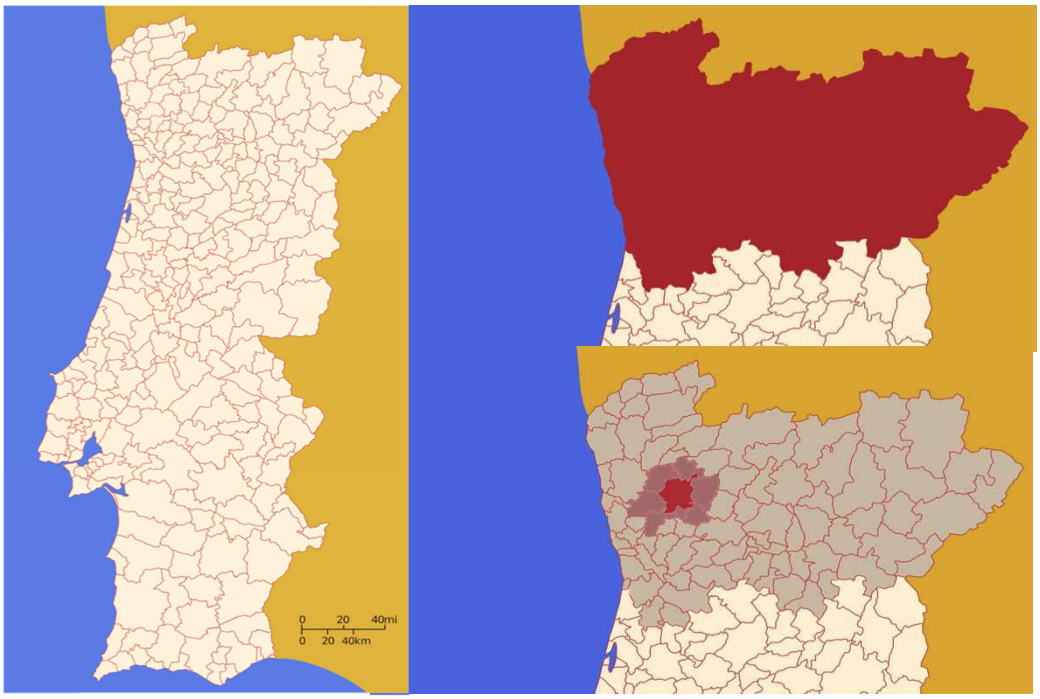
The listed in-year outcomes of Guimarães 2012 show that the initiative's effects indeed spread beyond the boundaries of Guimarães towards the neighbouring municipalities, and that this spillover declined with the distance from the epicentre municipality. Therefore, the ring-shaped area considered eight municipalities as the treatment group – the municipality hosting the ECoC 2012 Guimarães and its neighbouring municipalities: Fafe, Vizela, Vila Nova de Famalicão, Santo Tirso, Póvoa do Lanhoso, Felgueiras and Braga. In contrast, the remaining 78 municipalities of the northern region belong to the control group. The figures below describe the geographic segmentation conducted in order to find the control and treatment groups.

The following figure (Figure 9) presents the 278 municipalities of continental Portugal. The figure on top right covers in bright red the 86 municipalities of the northern region. Lastly, the figure on the lower right contrasts the treatment and the control groups. The eight municipalities of the treatment group appear within the shaded ring shape, Guimarães in dark red

[37] After Guimarães and the other municipalities of Braga district, the Porto district, which is relatively close to Guimarães, was analysed in this report independently from the remaining districts in Portugal, as it was considered to have a possible significant weight on visitor numbers. Indeed, due to its vibrant cultural centre and its proximity to Guimarães, it was found that the proportion of Porto citizens engaging in the ECoC was higher than other territories in the country. According to the audience survey, 13% of the attendees were from the Porto district (the highest attendance level district after Guimarães itself) and 12% were from the remaining districts of the country (Universidade do Minho 2013).

and its neighbouring municipalities in light red. As the control group, the remaining 78 municipalities of the northern region are shaded in grey.

Figure 9 - The Portuguese municipalities: the treatment and control groups



This quasi-experimental approach makes use of a difference-in-difference technique to elicit the causal effect of the Guimarães 2012 ECoC on the territory's (ring-shaped area) crime level, by comparing the change in crime levels between treatment and control municipalities over the period of 2008 to 2013, while controlling for geographic, socio-economic and demographic characteristics. With two periods of data, before and after the 2012 ECoC, it is possible to identify what happened to crime levels and then calculate the effect of the initiative through a difference-in-difference specification. The year 2008 was considered as the preceding period, as it was the year before the application of Guimarães was formally approved and the City of Guimarães Foundation was created (2009). As for the period afterward, the year of 2013 was set as the first moment to consider as representing one year after the event. The following equation was derived for the model:

$$C_{mt} = \alpha_m + \alpha_1 ECC_m + \alpha_2 T_t + \boldsymbol{\alpha_3 ECC_m T_t} + \alpha_4 X_{mt} + u_{mt} \qquad (1)$$

Where C_{mt} denotes the outcome of interest, the 'crime indicator' in municipality *m* and in time period *t*. The ECC_m is a dummy variable for municipalities considered treated that takes the value of 1 for Guimarães and the neighbouring municipalities. The T_t is a year dummy taking the value of 1 for 2013 (the moment after the ECoC 2012) and zero for 2008 (the considered previous moment). X is a vector of geographic, socio-economic and demographic

municipal characteristics. The term α3, measures the effect of hosting the ECoC on the outcome variable - the crime level - in the period analysed. The u_{it} is the idiosyncratic error term, as it represents factors that change over time and affect – $C_{mt.}$ A fixed effect model at the municipal level was not included, given the fact that a within-cluster variation was performed, with slow changing variables over time.

Still, to compute the difference-in-difference specification it is necessary to neutralize the selection bias that can occur, as prior to any treatment the municipalities in the treatment and control groups differ with respect to observed and unobserved characteristics that influence crime level. This means the selection bias captures the fact that, on average, treatment municipalities may have had a different crime level even if they had not been treated. Therefore, to neutralize this bias and to implement the model the parallel trend assumption should hold, which entails α3 only measures the effect of hosting the ECoC on the outcome variable if in the absence of the treatment both the treatment and the control groups would have followed parallel trends over time. As argued by Angrist and Pischke, following a difference-in-difference strategy requires "the counterfactual trend behaviour of treatment and control groups to be the same" (Angrist and Pischke 2008: 221). A falsification test was conducted for the years 2005-2008, which showed that there was no trend towards decreasing crime in the treatment municipalities before the ECoC intervention. Moreover, it was verified that there was no anticipation of the treatment in the municipalities, i.e., that before the ECoC year no policies were defined by the treatment municipalities (especially related to law enforcement), which could produce different impacts between the treatment and control groups in regard to crime.

4.3.2. The data

The main data source comes from the National Statistics Institute (INE-*Instituto Nacional de Estatística),* which is responsible for producing and compiling the official statistics in Portugal. A set of variables was collected for 2008-2013 for the 86 municipalities of the treatment and control groups.

Outcomes variables

Regarding the outcome variables of interest for the crime level, three available indicators of crime were encountered at the municipal level and selected to be analysed: the 'crimes against patrimony', the 'crimes against persons' and the 'crimes against life in society'. The table below presents the definition of each of these types of crimes according to the Portuguese Penal Code[38], listed in

[38] Penal Code, last review by the law- Lei n.º 110/2015, de 26/08
http://www.pgdlisboa.pt/leis/lei_mostra_articulado.php?nid=109&tabela=leis&so_miolo=

ascending order according to the seriousness of the offences. It was considered important to have a diverse set of outcome variables, in this case crime rates, to exploit how the cultural programme would impact different dimensions of crime. Nevertheless, as we can see from the definitions, the available categorisations of crime are not as disaggregated as desired. For example, the first categorisation, 'crimes against patrimony,' includes all the offences against physical and immaterial heritage and identity, i.e., theft, robbery or discrimination. The three dimensions of crime are introduced in the following unit as the number of crimes per 1000 inhabitants.

Table 4 – Definitions of crime indicators

	Definition
Crimes against patrimony	Crimes against property (theft, robbery, damage – where is included offences against cultural heritage, public monuments), fraud, crimes against cultural identity and personal integrity (discrimination on the grounds of ethnic, racial or religious origin)
Crimes against persons	Crimes against life (murder), offences against the physical integrity of people (threats, forced marriages, kidnapping, slavery), crimes against sexual freedom (rape), crimes against honour (defamation), crimes against the rights of the citizens to their private and family life (disturbance of the peace), crimes against personal assets (recordings and photographs being taken unlawfully)
Crimes against life in society	Crimes against families (bigamy), against religious affiliation, crimes against respect for the dead, counterfeiting crimes, crimes of public danger (fires, pollution, violation of urban planning rules), crimes against security when traveling, crimes against public peace (terrorism)

Control variables

The literature has shown that crime tends to be concentrated in territories with specific socio-economic dynamics, therefore it is crucial to control for other covariates besides the ECoC intervention that can influence the crime rates. As Charlton et al argued "Any discussion of 'crime' in low-income and radicalized communities needs to consider the systemic and structural determinants of poverty, racism and alienation caused by much larger forces – both local and global – that shape the wellbeing of these communities" (Charlton et al. 2013:12). Indeed, based on previous research examining crime, there are geographic, socio-economic and demographic vectors of indicators commonly associated with criminality, which were incorporated in the equation.

The two geographic indicators, the 'population density' (the total population of each municipality divided by its total land area in square kilometres) and the physical location of the municipalities, designated 'littoral' (taking the value of 1 for municipalities located at the coast of the country), were used to capture the 'high-density and inner-city environments' which are advocated as more favourable to crime (Wolfe and Mennis 2012). In 2008 Diniz and Sequeira developed the Social and Economic Development Index (SEDI) for Portuguese mainland municipalities (Diniz and Sequeira 2008). The results

revealed the asymmetries of each municipality, specifically expressing distinctive features between littoral and interior territories. The same type of asymmetries between littoral and interior territories was found in a more recent paper from Silva and Ferreira-Lopes, who developed a Portuguese regional development index and concluded that higher levels of the index were situated in the coast areas (R. Silva and Ferreira-Lopes 2013).

Two common socio-economic indicators correlated with crime were found; 'unemployment' (not measured directly by the number of unemployed, but indirectly defined by the per capita number of recipients of unemployment benefits), which is expected to foster crime, and 'education' (as the gross enrolment rate in primary education[39]), which is thought to decreased crime (Branas et al. 2011).

The demographic controls of 'ageing' (the ageing ratio[40] of each municipality) and of 'diversity' (the per capita number of foreign population who have applied for resident status) were included for their specific associations with criminality. First, crime is normally committed by younger age groups of the population, as substantiated by Branas et al. 2011 when discussing whether green urban areas could affect safety, and also by the article *The Age and Crime Relationship: Social Variation, Social Explanations*, by Ulmer & Steffensmeier. Therefore, municipalities undergoing ageing processes could project lower rates of crime needing to be controlled. Second, although it can be argued that a mixture of ethnic groups can create a culturally diverse community, it is also generally accepted that environments with more races and cultural differences can be more prone to criminal activities, demanding a regulator for matters of diversity (Branas et al. 2011).

Additionally, two other controls concerning tourism and security activity were included. As was previously described, during the title year in order to sustain the cultural programme of the ECoC the cultural sector activity grew in Guimarães (in its number of projects, enterprises, networks and investments made). This movement was, as expected, accompanied by an increase in tourism activity. Nevertheless, as was also presented, the tourism sector had been defined by the city council long before as an alternative mechanism of development to substitute for the deterioration of the industrial force. Indeed, according to the INE, the level of tourism activity in the city had been growing long before the ECoC process started: the nights spent in hotel establishments increased by 64% from 2002 to 2007 and at a lower rate of 30% from 2007 to 2012 (INE 2016). Consequently, it was decided to desegregate the effect of tourism from the effect of the cultural programme itself using accommodation activity as a control, categorised as 'hotels' (per capita number of hotel

[39] The gross enrolment rate in primary education per municipality was calculated by the following equation (number of students in primary education/resident population under 14 years-old) *100.

[40] The ageing ratio is calculated by the number of elderly persons when they are generally economically inactive (aged 65 and over) to the number of young persons (from 0 to 14).

establishments[41]). The number of nights spent in hotel establishments would have been a more preferable indicator to show the evolution of tourism demand, but as this indicator was not available a supply control was used. Likewise, 'security' measures (defined by the per capita number of economic enterprises of security and investigation personnel) were included to ensure the crime reduction was connected with the ECoC and not to law enforcement policies. Again, ideally the level of police forces would be a reasonable indicator, yet this was not available at municipal level.

To close the variables discussion, questions can arise regarding the fact that potential inter-municipality migration, which might occur with the ECoC initiative, was not taken into consideration. This was viewed as an important issue, although no available information on inter-municipal flows of population was found. However, it was verified that in general, from 2005 to 2014 the resident population of Guimarães decreased by 0.33% a year on average (INE 2016).

The summary of descriptive statistics for all the defined variables is presented in the table below.

Table 5 - Descriptive Statistics

Variable	Obs (1)	Mean	Std. Dev.	Min	Max
Outcome					
CAPat	172	14,15	6.03	4,24	42,70
CAPers	172	8,38	2.68	3,18	22,55
CAlifeS	172	5,14	3.20	0,42	21,54
Identification					
tecc_ring	172	0,05	0,21	0	1
ecc_ring	172	0,09	0,29	0	1
t	172	0,50	0,50	0	1
Controls					
Littoral	172	0,12	0,32	0	1
PopDensity	172	390,44	784,20	9,20	5911
Unemployed	172	0,05	0,02	0,01	0,09
Education	172	75,35	9,91	51,72	114,31
Ageing	172	171,10	90,26	50,30	49,3
Diversity	172	0,00	0,00	0	0,01
Hotels	172	0,00	0,00	0	0,00
Security	172	0,00	0,00	0	0,00

CAPat- Crimes against patrimony per 1000 inhabitants; CAPers- Crimes against persons per 1000 inhabitants; CAlifeS- Crimes against life in Society per 1000 inhabitants

(1) Observations account for the two years under analysis for the 86 municipalities.

[41] The type of hotel establishments includes hotels, boarding houses, inns, lodging houses, motels, apartment hotels, tourist villages, tourist apartments (INE 2016)

4.3.3. The results

Equation (1) was estimated to infer the impact of hosting the ECoC on crime level. The table below (6) presents the results for the difference-in-difference specification progressively adding the set of the available control variables.

Regarding 'crimes against patrimony', the results expressed a negative sign as expected, which is significant and stable as the model is improved with the covariates added. The table shows that on average, hosting the ECoC in 2012 reduced the treated municipalities' number of crimes against patrimony by about -3,811 in the period 2008-2013 (*overall R^2=0,4621*). For the treatment municipalities this represents a decrease of almost 4 criminal offences against patrimony per 1000 inhabitants. In this specification the marginal effects of the control variables behave in the following sense: littoral was not significant, probably because the number of coastal municipalities in the northern region is only 12%; population density revealed a positive significant correlation with crime level, as expected; unemployment and education indicators were not significant predictors of this crime category (the same results regarding education were encountered by Wolfe and Mennis (2012)); the ageing ratio was not a significant predictor of crime and further research indicated that criminal offences in Portugal are not committed by younger age groups of the population, but by the adult population[42]; the diversity and the tourism indicators were positive and significantly correlated with crime; and the security indicator was not significant.

Table 6 - The impact of Guimarães 2012 on municipalities' crime (2008-2013)

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
CAPat	-4.289***	-4.291***	-4.316***	-4.513***	-4.479***	-4.450***	-4.445***	-3.789***	-3.811***
	(0.934)	(0.937)	(0.935)	(0.938)	(0.927)	(0.922)	(0.948)	(0.966)	(0.964)
CAPers	-0.0233	-0.0233	-0.0306	-0.209	-0.255	-0.121	-0.132	0.236	0.243
	(0.557)	(0.559)	(0.559)	(0.559)	(0.574)	(0.587)	(0.570)	(0.561)	(0.560)
CAlifeS	0.375	0.375	0.379	-0.115	-0.176	-0.0197	-0.0157	0.235	0.229
	(1.034)	(1.037)	(1.040)	(1.013)	(1.022)	(1.031)	(1.041)	(1.039)	(1.044)
Littoral		yes	yes	yes	yes	yes	yes	yes	yes
PopDensity			yes	yes	yes	yes	yes	yes	yes
Unemployed				yes	yes	yes	yes	yes	yes
Education					yes	yes	yes	yes	yes
Ageing						yes	yes	yes	yes
Diversity							yes	yes	yes
Hotels								yes	yes
Security									yes

Robust standard errors in parentheses N=172 *CAPat*- Crimes against patrimony; CAPers- Crimes against persons; CAlifeS- Crimes against life in Society

*** p<0.01, ** p<0.05, * p<0.1

[42] According to PORDATA, in 2013, people over 30 years old committed 67% of the crimes in Portugal.

For the remaining crime categories, crimes against persons and life in society were not found to have statistically significant results and the ECoC intervention was not capable of producing any impact for the municipalities considered as treated. Indeed, although there was a negative coefficient for 'crimes against persons' the results were insignificant and even becoming positive when the tourism control of per capita number of hotel establishments was introduced. As for the 'crimes against life in society', the inconsistent results of the estimation preclude making any consideration.

The inconsistency of these results can be explained by the fact these categories involve not only a wide range of criminal offences, but also more serious offences when compared with 'crime against patrimony'. Still, beyond raking the offences in terms of severity, the ability of the ECoC intervention to impact the 'crimes against patrimony' and not other types of offenses, should be understood in the light of the cultural programme itself.

In fact, as previously presented, the Guimarães 2012 programme fulfils specific objectives and guidelines of the ECoC initiatives in regard to embracing the cultural diversity of the European dimension and fostering the creation of cultural and artistic content for urban regeneration and for long-term social development. These strategies develop activities that counter the social breaches that motivate 'crime against patrimony' offences. Therefore, it can be claimed (as it is evidenced) the cultural activities programme was a successful strategy to confront and counteract social behaviour regarding offences against patrimony.

These cultural activities offer opportunities for the local population to engage in informal actions in informal public places, which explore the physical environment (physical patrimony) and celebrate their cultural values (immaterial patrimony). The social interaction that is fostered challenges the community's social prejudices by transforming passive memories into new common grounds oriented toward community morality, expression and conviviality.

Indeed, under the ECoC, directly or indirectly, a legacy of physical developments which covered the development of heritage sites and the improvement of urban areas[43] was executed, and according to an online survey of ECoC projects the majority of respondents agreed that the cultural and general infrastructure of the city improved as a result of the title year (ECORYS 2013). Furthermore, Guimarães in particular is, as noted, a city with a significant amount of built heritage, whose preservation is considered crucial to the socio-economic development of the territory. Thus, the results of the ECoC initiative over 'crime against patrimony' also have to take into consideration the historical urban regeneration dynamics of the city and the surrounding region, which was

[43] Urban renewal: general public space in the city, Campurbis, Platform for Arts and Creativity, House of Memory, Creixomil Fields, Landscape Laboratory, extension of the Alberto Sampaio Museum and artist residences.

reinforced in the capital year. Since the 1980s, one of the local council strategies of growth has been preservation of the architecture and urban heritage (visible in the medieval morphology of the urban space). The city's heritage preservation was rated as very good (48%) and good (40%) by the respondents of a passers-by survey during the ECoC year (Universidade do Minho 2013).

The results pointing to the ability of the cultural programme to decrease some forms of criminal behaviour were in line with previous research.

A recent paper entitled *The Environmental Impacts of Hosting the "2012 Guimarães European Capital of Culture" as Perceived by the Local Community,* which analysed the environmental outcomes of hosting the Guimarães 2012 cultural programme, based on the residents' ex-ante perceptions (collected in 2011, one year before the event took place). The work explored crime as a potential negative 'socio-cultural impact', in the sense that crime rates can increase in the hosting ECoC communities (Remoaldo, Duque, and Ribeiro 2015). Nevertheless, it concluded that, according to the sample, 50% of the citizens did not think that hosting the ECoC would increase the crime rate and only 20% completely agreed with the possibility of this rate increasing as a consequence of the cultural initiative (Remoaldo, Duque, and Ribeiro 2015). In general, this study shows that Guimarães residents were optimistic about the event, declared as expecting more benefits than losses for the city (Remoaldo, Duque, and Ribeiro 2015).

The same was verified by the ex-post evaluation report, which, with a passers-by survey to enquire about safety, found that respondents rated the safety environment during the capital year as very good (25%) and good (47%) (Universidade do Minho 2013).

The consistent results of Guimarães 2012 in negatively impacting offences against patrimony motivated two additional estimations.

First, acknowledging the sustainability of the medium-term effects by regressing the specification for the period 2008-2014, extending two years after the event took place. Again as the table (7) shows the results were negative, highly significant and consistent throughout the improvement of the model, evidencing the sustainability of the ECoC 2012 impact even when considering an extended period. On average, hosting the ECoC in 2012 reduced, the treated municipalities' number of crimes against patrimony by about -6.766 in the period 2008-2014 (*overall* $R^2=0.1403$). This represents a decrease of almost 6 criminal offences against the patrimony per 1000 inhabitants for the treatment municipalities. In the light of the cultural programme itself, some of the sustainability can be explained by the fact some activities were delayed and only took place in 2013, as already described.

Table 7 - The impact of Guimarães 2012 on 'crime against patrimony' (2008-2014)

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
CAPat	-6.003***	-6.015***	-6.056***	-6.986***	-6.968***	-6.570***	-6.781***	-6.722***	-6.766***
	(1.774)	(1.777)	(1.775)	(2.254)	(2.256)	(2.155)	(2.125)	(2.410)	(2.488)
Littoral		yes	yes	yes	yes	yes	yes	yes	yes
PopDensity			yes	yes	yes	yes	yes	yes	yes
Unemployed				yes	yes	yes	yes	yes	yes
Education					yes	yes	yes	yes	yes
Ageing						yes	yes	yes	yes
Diversity							yes	yes	yes
Hotels								yes	yes
Security									yes

Robust standard errors in parentheses N=172 *CAPat*- Crimes against patrimony

*** p<0.01, ** p<0.05, * p<0.1

Second, at the *Universidade do Minho* in-year report of the Guimarães 2012, the Porto district was analysed independently from the remaining northern region districts as it was considered to have particular significance due to the expressive number of visitors coming from Porto to the ECoC (Universidade do Minho 2013). To ensure that this intensive cultural territory was not interfering with the results a new regression was made, excluding the Porto municipality from the control group. When running the model (9) with the full set of covariates, the estimated impact of the ECoC 2012 over the treatment municipalities did not change.

4.3.4. The robustness check

The initial equation (1) assumes that all the municipalities under treatment and control groups are similar in respect to observed characteristics that might influence the crime level, but this might not be the case – as reported by Diniz and Sequeira there are asymmetries between the continental municipalities, even inside the same regional area (Diniz and Sequeira 2008). An approach that proposes to deal with the heterogeneity of the sample was found when treating natural disasters as an exogenous shock on social welfare indicators, also at municipal level, 'Natural Disasters, Human Development and Poverty at the Municipal Level in Mexico' (Rodriguez-Oreggia et al. 2013). The authors use an identification strategy that allows comparing treatment and control groups, by including pre-shock variables for which municipalities may be more heterogeneous. They "interacted the treatment dummy with these pre-shock covariates to control for existing observable variations between treatment and control groups that may determine the effect while reducing possible selection bias in the sample" (Rodriguez-Oreggia et al. 2013:44). Therefore, in this respect, equation (1) becomes:

$$C_{mt} = \alpha_m + \alpha_1 ECC_m + \alpha_2 T_t + \boldsymbol{\alpha_3 ECC_m T_t} + \alpha_4 X_{mt} + \alpha_5 X_{mt}\, \mathbf{ECC_m} + u_{mt} \qquad (2)$$

Where the pre-defined set of control variables are included in the baseline year (2008) and interact with the treatment dummy. Equation (2) was only run for the 'crime against patrimony' with the full set of covariates and the results sustain the previous outcomes. The ECoC in 2012 reduced the number of crimes against patrimony by about – 4 (*p<0,01* on average*; overall* R^2*=0.5386*) in the period 2008-2013 and -6 (*p<0,01; overall* R^2*=0.1741*) in the period 2008-2014.

4.3.5. The external validity

The subsequent discussion should reflect whether the findings obtained from the Portuguese case could be extended to make inferences about ECoC initiatives and their impact on the process of social transformation, more precisely on crime reduction and therefore to sustain the hypothesis that intensive cultural programmes like the ECoC can reduce crime rates in the territory of intervention.

Having in mind that processes of generalization have to be treated with care, it was decided to apply the same identified strategy to other ECoC initiatives, to see if the results obtained from Guimarães 2012 in the period analysed would hold. However, due to the major evolution of the ECoC programme over the years (selection process, objectives, cultural programme criteria) the potential sample of ECoC initiatives had to be reduced to title cities under the same cycle and period considered. Therefore, attempts were made to develop ECoC databases in 2011 (Turku and Tallinn), 2012 (Maribor), and 2013 (Košice, Marseille-Provence). When building new data sets from the extensive national data statistics some obstacles were found:

- Language constraints: dealing with the national statistics institutes information portals of Nordic and East countries, such as Estonia (Tallinn), Finland (Turku), Slovakia (Košice) and Slovenia (Maribor) was in most cases extremely difficult.
- Data constraints: longitudinal data at the municipal level and for the period required, at least 7 years before and 2 years after the ECoC initiative, was not found for the most recent cities Košice and Marseille-Provence (which have no data for 2015) and also for Tallinn 2011.
- Bid constraints: the ECoC initiatives under the period of concern differ in terms of type of application. Maribor and Marseille-Provence were not city applications but regional programmes. In fact, most of data for Maribor 2012 was available and was collected, but due to the regional concept of Maribor's application (based on a five-partner cities with a different cultural programme) the example was not taken into consideration (ECORYS 2013).

In the end, the only possible workable and available example was the initiative in Turku 2011. In every respect both Guimarães 2012 and Turku 2011 were city

applications that belong to the third phase of the initiative, and were the first group of initiatives that received new adjustments like the monitoring procedures and European funds in the form of the Melina Mercouri Prize. Nevertheless, when applying the same methodology, a difference-in-difference estimation to the dataset and using an equal segmentation ring-based area approach to define the treatment and control groups[44], the results for 'crime against patrimony'[45] proved to be negative but not significant. Although these results can be explained to some extent by the very small number of observations (<50), the alternative process was to consider generalisation, observing individual characteristics of the cultural programme that can amplify the effect.

For that the Turku 2011 programme was examined to look for similarities with the Guimarães 2012 intervention.

Finland was set to host the ECoC title in 2011 under the same decision of Portugal (Decision 1419/1999/EC). As Helsinki had hosted the title in 2000, the Mayor of Turku (with wide political support) decided to open the debate and initiated the work, by appointing a specific Cultural Committee for Turku to apply for the desired title (ECORYS 2012). The report developed by this Cultural Committee in 2001 expressed the first formal interest of the city in hosting the ECoC title, where Turku 2011 "was seen as having significant potential to contribute to the social and economic development of the city" (ECORYS 2012:37). Therefore, Turku 2011 was built based on a clear bottom-up interest and motivation of the City Council, whereas Guimarães 2012 was a top-down decision and in response to the national government appointment. The selection of Turku 2011 was first made in a national competition launched by the Finnish Ministry of Education, where Turku competed with other six applicant cities: Jyväskylä, Lahti, Mänttä, Oulu, Rovaniemi and Tampere (ECORYS 2012). This was followed by the European Selection Panel formal appointment of the application, in 2007. As in Guimarães 2012, Turku established the Turku 2011 Foundation to operationalize the cultural programme, the funding and communication components.

Turku is the oldest city in Finland and is the capital of its region, Southwest Finland. Due to its geographic location it is an important port and is known for its shipbuilding industry. Other industries provide the source of income for the city, such as bio-industry, ICT, metals and tourism. Turku has a diverse cultural identity with 113 different nationalities from a large immigrant community. Regarding its cultural sector dynamics, Turku is home to many cultural institutions (like the Pro Manilla Foundation that runs the Manilla

[44] Turku belongs to the Southwest Finland Region, from where the treatment and control municipalities were established.

[45] It should be taken into account that although was encountered a similar categorisation for 'crimes against patrimony', the systems of crime and criminal justice statistics in Portugal and Finland might be considerable different.

Culture Centre, which was a former industrial complex, and the Museum of History and Contemporary Art) and small publishing companies. Music is of key importance in the city cultural life and the city holds the oldest orchestra in the country and hosts the second longest running rock festival in Europe. Another strong field is the long poetry tradition. The main cultural events of the city are the Christmas celebrations, the Medieval Market, the rock festival and the Turku Music festival. Cultural production, digital content production and cultural tourism are the main dimensions of the city's creative industries (ECORYS 2012).

Many similarities were encountered between the two ECoC programmes of Guimarães 2012 and Turku 2011, both sought the social and economic development of their city based on boosting the creative industries sector as an alternative to a decline in traditional industries. The two programmes implemented a number of infrastructure investments within a long-term coherent strategy[46], as sustainability was a concern for both ECoC initiatives. As a result, residents experienced hosting the title effects on their urban surroundings as in Guimarães 2012, and around 80% of respondents to a questionnaire made to Turku residents felt the Capital year had a favourable effect on their living environment (Turku 2011 Foundation 2013).

Moreover, Turku 2011, as in Guimarães 2012, aimed at social transformation by reinforcing the local identity (working through local memories) and changing the local mind-set regarding culture. Similarly, the local involvement of citizens during the programme was something that Turku 2011 intended to achieve through a number of specific projects, a volunteer programme and by bringing cultural experiences to daily life situations, such as putting on performances in unexpected spaces. Although in Guimarães the campaign 'You are part of it' proved to be very efficient in boosting community engagement, Turku 2011 had a particular interest in a theme of wellbeing. It worked with the slogan 'Culture does good', putting a lot of effort into research on effects of cultural engagement on wellbeing and quality of life. Likewise, the European dimension was pursued by both initiatives, although Turku 2011 was more efficient in its achievement, not only by having 'internationality' as a specific objective, but also by involving different European partners in the programme (ECORYS 2012). Both cities registered an attendance level of 2 million during the title year (Garcia and Cox 2013).

To account for the programme outcomes, as in Guimarães 2012, two main evaluation reports were commissioned in Turku – a report ordered by the European Commission, *Ex-post Evaluation of 2011 European Capitals of Culture* and the work of the Turku 2011 Foundation *European Capital of Culture Turku 2011, Final report of the Turku 2011 Foundation about the realisation of the Capital of Culture year*. Detailed information of the characteristics and outcomes

[46] Turku 2011 had a key infrastructure project – the Logomo, an exhibition and performance centre for creative industries, which was developed in a former railway engineering workshop in the central industrial area (co-funded by ERDF).

of both programmes is given in an extension Annex 4 (''Guimarães 2012' and 'Turku 2011' the characteristics, outputs and outcomes of the European Capitals of Culture'). In short, both cultural interventions developed their cultural programme in order to boost their regional economic and social development.

Subsequently, from the results of the empirical approach to Guimarães 2012 it was claimed that the ECoC cultural programme could work as a successful strategy to confront existing criminal behaviour if the activities developed tackle the community social breaches that motivate the offences. Therefore, based on the findings encountered by previous research contributions (presented on 'The outline' section) that analysed the effect on crime drops produced by arts engagement, effectiveness factors were identified in both programmes, which can induce the ECoC's ability to influence community breaches and hence produce social transformation. These factors are the programme's ability to enrich the physical environment, to engage the population and to produce quality activities.

Enriching the physical environment in a territory is accomplished by implementing urban renewal strategies that develop new infrastructure projects but also invite the public to celebrate their cultural heritage by developing cultural activities that encourage the occupation of public places. For example, the described 'Fountain Hacks' project developed in the Guimarães 2012 programme, encouraged the occupation of the city's fountains to tackle predefined social restrictions on occupation, behaviour and interaction in public areas by redefining their uses.

Next, deeply engaging the local population involves them as major actors of the programme itself, a premise that was at the centre of both programmes. For example, the story-telling project developed by Guimarães 2012, where people hosted a story telling evening in their homes, fostered citizen's involvement. Moreover, actively taking part of a cultural experience provides participants with opportunities to develop organizational and leadership skills which are important for building community capacity for future action outside of the artistic experience and in favour of the common good.

Lastly, producing quality experiences means developing cultural activities which induce creative thinking, social interaction and informal processes of education when exploring the territory values and heritage. Indeed, projects like 'Our family', developed by Turku 2011, where local residents were themselves objects of artworks, were understood to develop opportunities of social interaction and to induce an informal education process, forging a sense of community.

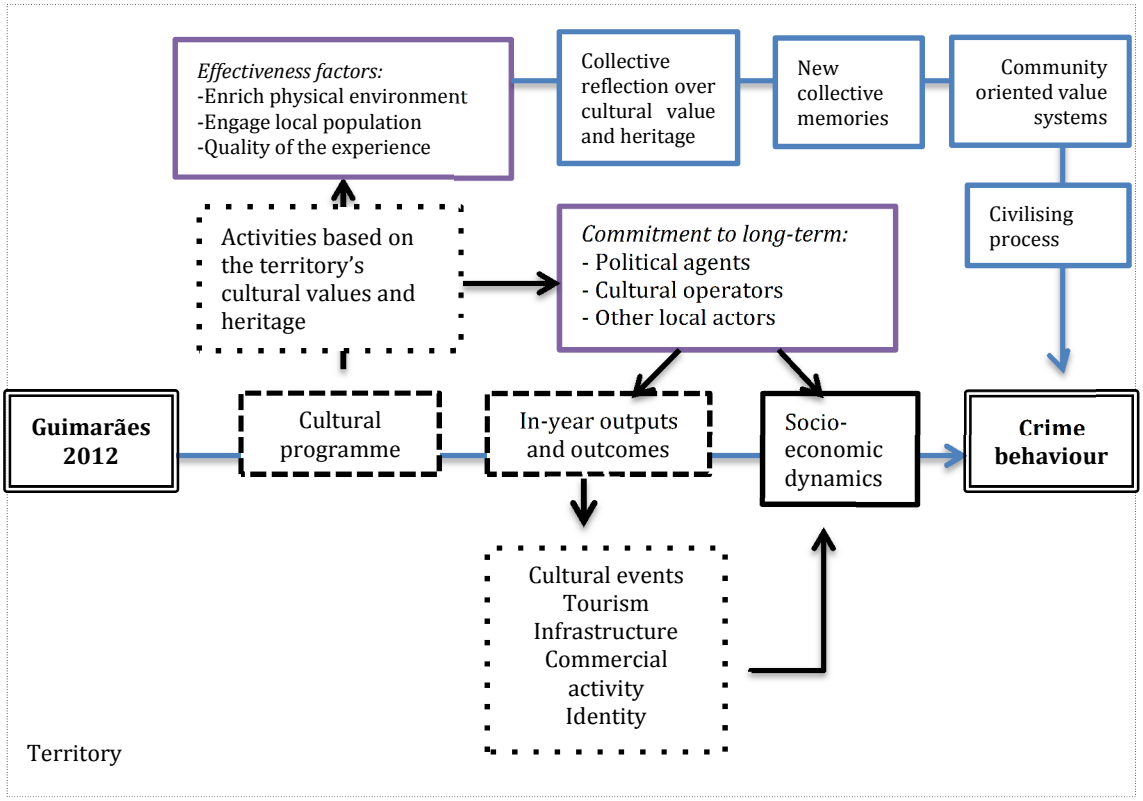
These factors together stimulate the local population to produce new collective memories, based on a collective reflection and expression over the community heritage and values. Thus social interaction and opportunities for celebrating (expressing) territory's heritage, while engaging in attractive and informal

learning experiences, are drivers brought by these programmes, which induce more community oriented common grounds and value systems. Based on informal education processes and enhancement of organizational skills, this 'community morality' consequently stimulates social change through forms of behaviour that reinforce a healthy civil society and act against criminal behaviour.

As discussed in the chain of community-level social impacts, the action for a common good can take a form of 'informal social control', when local community members develop and support sanctions against anti-social behaviours, such as criminal activity, that can threaten the community interest (McCarthy et al. 2004).

In this sense, cultural activities are able to produce impacts on crime prevention directly through practice and engagement, beyond the previous mechanism of positively influencing the socio-economic dynamics of the territory. Therefore, an alternative mechanism, highlighted in blue, was added to the model as the actualized diagram below illustrates.

Figure 10 - Guimarães 2012 alternative mechanism of impact on crime



Beyond the expressed factors of effectiveness there are other elements added to the previous work that enable the process of social education to persist over time, particularly the commitment of local operators. Long-term commitment is

established when the city council, local cultural operators and other local actors, are willing to build on the experience of the title year for the future development of the city, by reinforcing the importance of the cultural policy for its sustainable growth. Illustrations of these efforts were encountered in both the Guimarães and Turku initiatives.

The strong political commitment of the city administration to ensure the sustainability of the project was eminent in government support to the cultural sector: allocating funds and increasing the number of facilities (in the case of Guimarães for example, a national Government allocation of €400.000 for a performing arts programme was planned for the next four years after 2012 (ECORYS 2013)) in recognition of the importance of a common marketing strategy for the cultural sector (in Turku the city Council continued to use the ECoC logo in the city's marketing materials), and on allowing the established models of governance, the Foundations created in both initiatives, to operate after the title year to carry out a long-term strategy for culture[47]. Moreover, the ECoC operationalization models are sustained on cross-boundary dynamics grounded on culture, which corresponds to one of the required elements to achieve the final stage of territorial revitalisation identified by the chain of community-level social impacts, the long-term cross-sector cooperation.

The cultural sector operators' commitment to the long-term relates to the local organizations and agents ability to take advantage of the new working basis developed during the title year, to establish a formal long-term development cultural policy in order to continue the future work. For example, in Turku from the intensive cooperation of the cultural professionals that were brought together during 2011, a network of summer events was established (Aura) to operate after the ECoC. Also the cultural professionals would profit from the connections established with the local population while performing close to the community in public spaces, by continuing to implement active connections with the public, which boosts community building, as explained earlier.

Moreover, other local agents can be part of the sustainable strategy, as in the case of Universities. For example, an evaluation programme (ARVIO 2011) undertaken by the University of Turku, included a phase dedicated to the long-term impacts "Imprints left by the Cultural Capital" (ECORYS 2012). In Guimarães, according to the ECORYS report a local cultural association ('Oficina') the local university and the local government "have strong potential to ensure the sustainability of the ECoC in the city" (ECORYS 2013:31)

All these identified elements of the cultural programme that can support crime prevention open a space to discuss generalisation. Generalising the phenomenon, i.e., acknowledging the ECoC initiatives as effective strategy of social transformation by reducing crime, then requires attending to the existing

[47] Nevertheless, the City of Guimarães Foundation was extinguished in the second semester of 2013, due to a national Government decision to close foundations which were not self-sustaining.

socio-economic and cultural context, while fulfilling the cultural programme factors of effectiveness and ensuring the local agents are committed with long-term strategies of development.

Thus, by perceiving all these factors of effectiveness from the Turku 2011 cultural programme, we can argue that even if the results obtained by replicating the empirical model are not significant, similar social achievements accomplished by Guimarães 2012 in acting against criminal behaviour could be expected from the Turku 2011 cultural intervention.

The discussion

This first paper, focused on analytically assess the construction of community social values through cultural activities, proposed an empirical approach able to measure the impacts on crime produced by a specific cultural intervention, the European Capital of Culture taking place in Guimarães in 2012.

It advocates for the role of culture as a potential tool for inducing a civilising process and a healthy civil society, demonstrating that intensive programmes like the ECoC, based on the territories' cultural values, can reduce crime rates by generating common grounds and more community oriented value systems, through opportunities for expressing collective community values and sustaining its cultural heritage, and through an informal education processes. Moreover, it indicates that the revitalisation purpose the ECoC has been gaining along the years is not exclusively attached to its capacity to produce economic externalities, as the in-year reports might suggest.

However, the results show that not all categories of crime decrease with the ECoC, but only those in which social behaviour is linked with the actions that stimulate informal education through the cultural programmes. This explains in part why the only category of crime that decreases is for offences against physical heritage and cultural values.

Moreover, it questions whether these effects should be expected from all ECoC initiatives, as the effectiveness of the strategy depends on the individual or community context, on the cultural programme itself and on the commitment of local operators.

This study was capable of overcoming some of the methodological challenges of social impact assessment when verifying the impact of the cultural programme on 'crime against patrimony.' Namely, it refutes the linearity of effects when proving the impacts are not consistent to scale, as they can change with time (the coefficient of impact in 2013 is different from that of 2014). At the same time, the sustainability of the effects for at least two years after the event, which confirms the commitment by the local operators. The work is able to confront two other challenges, the isolation and the causality of the effects, by separating the effect of a cultural programme on a specific dimension of crime and showing a causal link between the cultural intervention and social transformation in crime

reduction. Moreover, it holds that a homogeneous effect should not be expected in all the territories hosting ECoC initiatives. Finally, the homogeneity of the treatment is not contradicted here, as this approach dilutes the effects derived by the heterogeneous artistic inputs involved in an ECoC initiative, by empirically treating the cultural programme as a whole.
Lastly, by identifying a particular mechanism of impact between the ECoC cultural activities and crime prevention (participants are induced to reflect on their cultural heritage and values and to produce more community oriented common norms, which reinforces social transformation), the study moves beyond the expected indirect impact through changes in the socio-economic dynamics. Therefore, this empirical work provides a reason why this type of effect should be considered as an efficient policy to reduce and prevent crime. Indeed, even without performing a cost-benefit analysis, the social payback that can be expected from this type of initiative is quite extensive.

Areas of future research could investigate what happens to the effect in the longer term, for example 5 years after the event, when information becomes available for 2015 onwards. It will be interesting also to test different ring strategies, increasing the treatment group to understand whether, as expected, the effects decline with the distance from the epicentre municipality. Also, working with more segmented indicators of crime would be preferable.

Chapter 5. An empirical approach: the role of culture on leisure time for citizenship education - Sesc São Paulo strategy

The outline

This chapter retakes the goal of developing empirical propositions to measure the role of culture in transforming and promoting community social values, and focuses on the ability of cultural practices to build citizenship. Indeed, as discussed in the chain of community-level social impacts, culture and the arts are capable of connecting people in way that can build the social capital necessary to forge a sense of community and induce civic involvement.

In particular, this work qualitatively and empirically examines the role of culture and the arts on informally educating for citizenship by observing a particular institution, the Social Service of Commerce (Sesc) - São Paulo. Sesc São Paulo developed a strategy for educating and empowering individuals and groups for citizenship, by imparting community-oriented values and fostering social capital through culture and leisure activities pursued in their free time.

To introduce this chapter is essential to review specific concepts – citizenship, informal education and leisure - that have been mentioned previously throughout this study, but here require a conceptual consolidation and an interconnected analysis.

Citizenship is established through respect for others and the conscious notion of being part of a community and its values, through exercising rights and duties.

According to Reis, the idea of citizenship emerges from the transformation of subjects into citizens as an answer to the challenges imposed in historical and social contexts (Reis 2000). In fact, "the development of citizenship, anchored in freedom and democracy, allowed to enlarge the possibilities of civic engagement and construction of fairer societies" (Reis 2000:114). Essentially, the traditional forms of citizenship related to national identity and the exercise of rights has become insufficient to accompany a society that demands models of citizenship capable to simultaneously reply to local and transnational affiliations and to integrate those excluded from effective citizenship even more (Reis 2000). As D. Martins and Mogarro argued, although the concept of citizenship is usually understood as the set of rights and duties that an individual has who belongs to a community and who is designated as a citizen, democratic societies more recently regard civic, cultural and political engagement as dimensions attached to the concept of citizenship and to the need of promoting an atmosphere of individual and social responsibility (D. Martins and Mogarro 2010). These dimensions have even motivated a few authors to highlight the importance of education *in* instead of *for* citizenship, to differentiate passive citizenship (of rights and duties) from active citizenship (of civic engagement in the social and political community life).

Indeed, concerning the education processes, it is acknowledged that it is up to society to internalize a system of values to encourage the exercise of citizenship, the reinforcement of identity and the quality of life.

As Reis advocated the education for citizenship is a fundamental task of free societies that require social responsibility, community participation and political literacy (Reis 2000). Without this community oriented system of values these societies cannot sustain themselves and tend to disintegrate, by seeing the grounds for cooperation and trust threatened, since "'social virtues' and civic competencies are indispensable for building and maintaining the society" (Reis 2000:115). Education for citizenship has been a historic concern, beginning in Ancient Greece with Aristotle, for whom the main central element of citizenship was participation in the political community, personal development and social coexistence (D. Martins and Mogarro 2010).

Nevertheless, although educational systems have been developing and intensifying their role in areas related to education for citizenship, according to the *Citizenship Education in Europe* report, people learn about citizenship not only in the classroom but also through more informal learning processes (Eurydice 2012). Informal education is a type of learning process that is complementary and distinct from formal and non-formal education, and which has a particular role in conveying social-education messages like knowing the rights of individuals as citizens, empowering individuals with community-oriented skills that can encourage them to act for common interests, and other processes of collective learning.

In formal education, learning takes place in a structured and institutionalised scholastic environment and much of its provision is compulsory. Moreover, the "learning aims are almost always externally set, learning progress is usually monitored and assessed, and learning outcomes are usually recognised by certificates or diplomas"(AEGEE 2012:58). In a non-formal learning process, the engagement is voluntary and occurs in settings outside of educational structures, where training is not necessarily the core activity and specific activity formats or courses are delivered, which "may be staffed by professional learning facilitators (such as youth trainers) or by volunteers (such as youth leaders)…but rarely document or assess learning outcomes or achievements in conventionally visible ways"(AEGEE 2012:58). Lastly, the informal practices comprise skill acquisitions that are acquired in experiential environments "in everyday life contexts in the family, at work, during leisure time and in the community," and which are from the learner's point-of-view an unintentional process of education with very rarely recorded outcomes (AEGEE 2012:58).

Therefore, educational opportunities for citizenship can be expected in non-formal and informal settings like "in youth clubs, sports associations, within the family, in political life", where learning in different social environments "takes place not just by chance, but also intentionally and in an organised way" (AEGEE

2012:11). Indeed, various organizations in society have been concerned in strengthening individual levels of civic engagement by providing non-formal and informal learning opportunities during free-time activities (Youniss et al. 2002). Nori proposed that a transformation of allocating 'free time' from passive consumption to boosting auto-expression, creativity, skills, and critical awareness through active individual engagement in their cultural universe currently represents the main challenge for societies development (Nori 2002).
By acknowledging the importance of quality free-time provision for improving human development, inducing participation in social life and building a sense of community, in recent decades Sesc São Paulo developed a programme strategy that proposes leisure and cultural activities to fill individual free-time. These activities provide informal and non-formal learning processes to enhance social-education and citizenship, as we will see.

Dumazedier defines leisure as the ensemble of physical, practical, artistic, intellectual and social leisure activities with respect to the body and spiritual needs of individuals, which are limited by social, economic, political and cultural constraints (Dumazedier 1999). Ateca-Amestoy said leisure "'is recognised as an action that takes place at a given time, is an activity that we can identify and, more importantly, brings pleasant experiences to the person involved in that action" (Ateca-Amestoy 2011: 55). Dumazedier identified four characteristic values that constitute leisure, the 'non-obligatory character,' meaning leisure is a form of liberation from any type of institutional obligation (where those end leisure starts); the 'disinterested character', leisure is not submitted to a specific material, utilitarian or social purpose (like profiting from professional activity or ideology in political activity), if leisure is partially associated with an end it will be called semi-leisure (for example, a sportsman who is paid); the 'hedonistic character,' leisure is characterized by the search for a state of satisfaction, connected with pleasure, happiness or joy; and the 'personal character', in the sense that leisure answers to the individual needs, by offering opportunities for liberation from physical or nervous fatigue, from the tedium quotidian activities of daily life, from the stereotypes and routine principles established by the social organism (Dumazedier 1999).

Consequently, this second case study takes Sesc São Paulo as the institution of analysis, due to its particular strategy of promoting citizenship by providing informal and non-formal social-education opportunities through culture and leisure activities.

The first section of this case study presents the historical background that describes the current context of the city of São Paulo and of Sesc São Paulo. The second section develops a qualitative analysis to scrutinize the Sesc São Paulo programme strategy of integrating leisure and cultural activities as enablers of citizenship, and to understand the mechanisms and drivers through which these activities can have a role in citizenship, in building bridges inside the community

and in fostering civic engagement, according to Sesc São Paulo strategies. The third section, explores first, how cultural activities affect citizenship in contrast with other leisure activities, and second how those who are Sesc 'regulars' see the likelihood of their civic engagement increasing from Sesc's informal education policy for citizenship. These correlations are measured by observing the audience of a specific unit of Sesc and reporting at individual level.
This case study, by observing the connection between community building and heterogeneous artistic inputs, is focused on overcoming some of the identified 'challenges' of the social capital assessment related to the homogeneity of treatment and the homogeneity of effects, in detriment of other concerns, such as causality.

5.1. The Social Service of Commerce – SESC in São Paulo

5.1.1. The city of São Paulo

São Paulo municipality is the capital of the State with the same name, which is formed of 645 municipalities and located in south-eastern Brazil. Though Brazil claimed its independence from Portugal in 1822, São Paulo is since 1554 a satellite city of the port town of São Vicente, located at 800 meters of altitude. In 2010, São Paulo municipality counted 11.53 million inhabitants, and its metropolitan area, greater São Paulo, which includes 39 municipalities of São Paulo State, has almost 21 million inhabitants, the highest urban agglomeration in Brazil (Prefeitura São Paulo 2016).

According to Freitag, after first cultivating sugar cane, the city became known for raising cattle and started to operate as the commercial crossroad between other counties and Portugal (Freitag 2006). The 'bandeiras' expeditions that departed from São Paulo in the 18th century searching for gold and gemstones, were responsible for founding small villages along the paths they crossed and with these expeditions the 'gold cycle' was established. Yet, it was the coffee cultivation, in the 19th century, that brought richness and development to the city of São Paulo, with 270 thousand inhabitants at the end of the century (Freitag 2006).
The first major boom in population growth happened after this period, with the city reaching half a million people in 1920, bringing with it the first urban issues (in the first instance, mainly sanitary concerns).

After the 1920's the city underwent major urban renovations, which accompanied the city's industrialization process which continually attracted waves of migration and sustained its economic and political force. An urban plan implemented in 1938 by Prestes Maia (mayor of São Paulo city from 1938 until 1945), reinforced the concentric radial layout of the city, crossed by an axis in the form of Y, proposed the 'plano das avenidas' ('plan of avenues') and remodelled the Republic Square (Freitag 2006).

Nevertheless, although the urban planning had good intentions, these decades were characterised by a disordered urban growth. When Freitag analysed the process of urbanization that took place in Latin American cities (with different geographies, cultures, colonization processes, territorial occupation patterns), in the last 500 years, the author classified some of them as 'megapolização' (megalopolis) (Freitag 2006). Freitag described a megalopolis as an accelerated process of urban transformation that took place in the second half of the 20th century, affecting different cities of the southern hemisphere (Freitag 2006).

São Paulo was identified by Freitag as one of the cities with this specific urbanization pattern, where the development processes are not attributed to historic colonization but to the result of deep macro-structural economic forces that converge to create unsustainability in the territories. The megalopolis are characterised by demographic criteria – the uncontrolled growth of the urban population reaching more than 10 million people (between 1960 and 2000 the population of São Paulo increased fivefold), and socioeconomic criteria – a mix of luxury construction with improvised housing called 'favelas', where half of the population (the 'peripheral population') lives in poverty, marginally and illegally (redirecting basic water and electricity services) (Freitag 2006). This disaggregated growth of the urban population overflowed the natural and administrative limits of the city, making it unsustainable from an environmental (with water imbalances) and a social point of view (with deficits in housing, schools, health and jobs). For example, the number of buildings in São Paulo grew from 60.000 in 1918/1919 to more than 30.0000 in mid 1950s (Bruno 1984). In fact, according to Freitag it will be very difficult for these once 'traditional metropolises and current megalopolises like São Paulo, that expanded in a distorted urbanization plan, to become globalised and sustainable, like Saskian Sassen's 'global cities'[48] (Freitag 2006).

Still, it is in the midst of this chaotic urban growth that São Paulo emerged as the cradle of intensive cosmopolite movement and cultural revolution (Arruba 2001). Very early, important cultural events and interventions brought a cultural buzz to the city, like the first Week of Modern Art ('Semana de Arte Moderna') launched in 1922, in 1924 Oswald de Andrade published two important manifestos ('Manifesto Pau Brasil', 'Manifesto Antropófago'), and in 1957 the first edition of the renowned São Paulo Biennale of Modern Art was held in Ibirapuera, a park project by Niemeyer with exhibition pavilions built to celebrate the fourth centenary of the Paulista capital. With this São Paulo gained a major international projection in the artistic world, becoming an important cultural city (Freitag 2006).

[48] For Sassen the global cities are financial headquarters, running the most important economic operations and equipped with advanced technology and adequate communication infrastructures that allow globalization of their economies (Sassen 2005).

In summary, one might claim the urban condition of the city was historically built, defining the way the social and spatial dimensions of the territory are currently occupied. On the one hand São Paulo is a city that suffers from chaotic traffic, with bumpy streets which are blocked and flooded when it rains, where crowds of people awaiting transport to their destinations contrast with the routine helicopter tours that cross the sky, and where the urban fabric blends the modern and vertical architecture of the business centres and the gated community residences with the residential houses without minimum sanitary infrastructures. This illustrates a phenomenon of urban persistence, typified by the forms of occupation and expansion of precarious housing and favelas. On the other hand, although it's a city where basic functions are broken, São Paulo is the financial capital of Latin America and the Brazilian capital of business tourism. Moreover, observations of the social and political daily life indicate that a process of restructuring the established environment is in progress (Meyer, Grostein, and Biderman 2004).

5.1.2. The Social Service of Commerce - SESC

The Social Service of Commerce - Sesc – is a private, non-profit sociocultural institution run by businesspeople engaged in the commerce of goods, services and tourism, and has operated in Brazil since 1946.

Sesc emerged as a political response from the commercial community to the critical social situation Brazil was struggling with at the time. Indeed, the intensive and unsustainable process of industrialization and the consequent effects on disorganised urban expansion and new and pronounced social divisions, encouraged the need to rethink the spaces for leisure and socialisation and to improve the quality of life of workers who live in the city (Santos de Miranda 2008) (SESC São Paulo 1997).

In 1946, a group of business leaders took the initiative to create a set of socio-educational entities (Sesc included) to tackle the failures in social assistance to the working population (of commerce of goods, services and tourism, in the first instance) living in the urban areas that grew faster than the State capacity to respond with the required public policies and services.

In May 1945 these businesspeople announced a declaration of intention devoted to humanism, social solidarity and intelligence, in which the signatories made a public commitment to combat, with their own resources, the deep social problems that Brazilian society was facing, (SESC São Paulo 1997). The document *Carta de Paz Social* (Letter of Social Peace), based on this singular and innovative idea of social service and participation funded by the business community, marked the beginning of this institution supported by private dynamism and social responsibility (Mairink 2014). According to Santos de Miranda, the principles of the Universal Declaration of Human Rights, together with the rules that define the urban relations and sociability, are intrinsic and

central to the social services of Sesc; whose actions have been, over the years, flexible to the needs of workers in the commerce of goods and services and to the principles of citizenship (Santos de Miranda 2008).

Sesc has spread all over the Brazil, reaching different municipalities in each state through the articulated work between fixed and movable units. Since its foundation, Sesc has operated based on a consistent cultural and educational strategy, with the vital objectives of improving the quality of life and welfare of its primary audience and also the surrounding communities, promoting the active exercise of citizenship and stimulating respect for democratic coexistence (SESC 2014). The institution's main fields of action are education, health, culture and leisure. Inside of these fields projects are delivered according to the real needs of each locale, in accordance with their particular idiosyncrasies (SESC 2014). Therefore, although the first services offered by Sesc were directed to support the commercial workers and their families in precarious situations, its guidelines began to embrace other cultural and recreational activities, for the ultimate purpose of education for social transformation, and its centre activities started to open its doors to the surrounding community (SESC 1977). This policy of recognising leisure and cultural activities as important elements to induce social education in a non-formal and informal format, has been and remains Sesc's central strategy.

In short, Sesc operates in areas where the opportunities for the continuous exercise of citizenship are limited and the communities are deprived of new solutions, by making different content and activities accessible to workers with little income and for the more socially and culturally distressed segments of the population (SESC São Paulo 2013). Sesc has a particular model of operation, supported by the workers' compulsory contributions (calculated as a percentage – 1.5% - to be applied over the payroll) (Oliveira 2009). The activities are offered to the commercial workers and their dependents with low fees or even for free compared with the remaining community.

So, the institution is totally independent of public financial support, although, it counts national and local governments as partners for major public social actions, such as *Mesa Brasil*.

5.1.3. Sesc São Paulo – historical development

Sesc São Paulo has persisted over the years as a successful institution because it was able to efficiently reinvent, transform and adjust to the times, needs and values and also to anticipate the future demands of social responsibility, without losing the educational purpose that has sustained the institution since its founding document (SESC São Paulo 1997).

In October 1946 the Regional Council of Sesc was set up in São Paulo with its first headquarters in 1947, and defined as its major concerns to ameliorate

the health, food and hygienic conditions of commercial workers, to improve their moral and civic consciousness through social education and to provide basic services for their professional and social lives. The activities proposed by SESC since the beginning had the objective of creating conditions for human and social progress, by providing quality services at symbolic prices. The first units, called 'social centres', occupied rental or private residential houses adapted to the Sesc services. In these social centres Sesc provided its services for assistance in health care. Sesc São Paulo began with simple but significant assistance actions, dedicated to the needs of the times and spaces, namely; dental, sanitation, medical and food services for workers and their dependents. In addition to health, other activities like civic commemorations, legal assistance, special events (for brides), small plays, music festivals, film sessions and courses (related with health, maternity, feeding) have been delivered since the very beginning of the institution (SESC São Paulo 1997). At that time these leisure activities were only seen as a complimentary part of the educational assistance strategy of Sesc. In the first years a pioneering summer camp was inaugurated (in Bertioga[49]) for the workers and their families, which stimulated the importance of leisure and holiday time for the promotion of social wellbeing, personal development and contact with nature, in a period where the urban areas were growing exponentially.

In the 1950's the priority areas of the services provided by the SESC centres were still targeted towards basic care and assistance due to the rising social tensions resulting from the precarious levels of infrastructure that came along with the process of industrialisation. Then the social centres started to diversify in answer to the workers' needs by providing courses and other training areas (like English, Portuguese, ballet, tailoring and sewing) in addition to medical assistance (SESC São Paulo 1997). At this time the cultural and artistic activities were becoming more and more incorporated into the programmes. For example, the 'Teatro do Comércio' programme was created, which bought tickets for plays in the city and distributed them to workers. Sesc São Paulo was inspired by this cultural atmosphere and revolution the city was going through, and its agenda reflected the intellectual spirit (Oliveira 2009). In the 1950's the first new activity centres appeared, specifically conceived for Sesc actions and whose infrastructure followed the architectural form of schools, with a horizontal structures. Moreover, to alleviate the routines of work life, excursions and tourism trips were proposed for the workers and their families, packed with cultural, social and recreational activities. Primary sports activities were introduced in the first years of Sesc operations, and its success as a tool to promote interaction between the workers, led to the development of a major sports programme in the 50's. According to the 1956 Sesc activity report, it was

[49] The majority of SESC centres are implemented in an urban context, the major exception is the Bertioga unit ('Centro de Lazer e Férias de Bertioga'), designed according to the characteristics of a holiday camp for workers.

evident the time that commercial workers dedicated to leisure activities was increasing in detriment of the hours dedicated to work, and this was seen as an opportunity to set out a path towards individual development (SESC São Paulo 1997).

In the 60's the role of educational activities on the wellbeing of the commercial workers and their families and on the development of a social, moral and civic sense of community was recognised. Therefore, from acknowledging social education as an instrument for the development of human character a reflection on the technical and theoretical know-how of social workers was pursued, and new social-education activities engaging people in informal and spontaneous education processes were explored and introduced in order to transform individuals and communities (SESC São Paulo 1997). To embrace the social situation, the institution started to open its activity centre doors to the surrounding community (no longer restricted to the commercial workers). In 1961, with the 3rd National Convention of Sesc workers the new general plan of action reinforced education as the basic strategy for social community development. This new paradigm changed the programmes content, for example, the Sesc health policy, which was in the first decade oriented to assistentialism turned its attention to education for wellness and general health (with new life style values, dietary and hygienic habits through a pedagogical campaign of seminars, courses, and fairs). Nevertheless, the assistance and care services of odontology and food distribution were retained (SESC São Paulo 1997). In 1963, Sesc São Paulo was pioneer in introducing social work especially devoted to the senior population. In 1966, another pioneer work was developed, the 'Unimos', mobile units which travelled with social educators to provide cultural, social, recreational, sports and health activities at different places in the State (SESC São Paulo 1997). In 1967 the Sesc Consolação social centre opened in São Paulo, which initiated a new venue format of merging into one space, social, cultural ('Teatro Anchieta'), food and sports activities. This new concept of space utility illustrated the new strategy of informal spaces for permanent education, and was followed in succeeding years when expanding the Sesc network of facilities (SESC São Paulo 1997). Sports activities gained larger importance and were allocated specific areas inside the facilities (SESC São Paulo 1997). Consequently, the 1960s introduced an attribute in the Sesc São Paulo identity, related to architectural awareness and the importance of spaces. The design and conception of each unit went beyond the main infrastructural function by acknowledging the importance of the physical displacement when providing spaces for meetings, conviviality and recreation. Indeed, the built legacy of Sesc in São Paulo is famous for its embrace of modern architecture as a language of identity (Mairink 2014).

In 1969, the Multiannual Plan of Sesc São Paulo ('Plano Plurianual do Sesc São Paulo') was developed, which proposed leisure as the instrument and path for social education, arguing that in leisure activities individuals relax, play,

reinvent, entertain and amuse themselves and develop their knowledge. This strategy was motivated by an international debate that sought to reflect on the education and formation opportunities resulting from the recreational and leisure environments (Dumazedier 1962). The strategy gained strength with the 'Leisure for a city that works' ('Lazer para uma cidade que trabalha'[50]) seminar and with other fairs and meetings developed by the centres and the 'Unimos', concerning organising and fulfilling leisure time with quality activities (SESC São Paulo 1997). The bet on leisure, which marked the 70's, contributed to bring Sesc and the communities closer together and consequently increased its importance and impact in the cities. Once more, Sesc São Paulo strategy of prioritising leisure was ratified and defined as a directive for the whole country in the Sesc National Council of 1973. The Council understood that these leisure activities, by providing quality experiences where people could interact and develop their capacities, could be exploited for social stimulation and knowledge. In this decade the Sesc Interlagos (initially named 'Centro Campestre') was created in São Paulo, which was the first rural unit. Sesc Interlagos faced a huge demand for green and natural environments in a city that was growing exponentially, and for large-scale units offering different activities in the same place. Also a 'research unit dedicated to leisure' was developed where the institution started to produce its own statistical documents and publications through its experience of taking sportive, cultural and recreational activities as pedagogy of action (SESC São Paulo 1997). The workers of the institution previously called 'social educators' began to be called 'cultural animators'. In this period, the proportion of leisure, cultural and sports activities serving non-formal and informal roles, was highlighted and exceeded the proportion of health and legal services provided by SESC São Paulo (Lemos 2005). In fact, with the development of the public network of medical assistance in the 70's, Sesc started to position its medical services to the new diseases of the time (stress, inactivity), by introducing physical practices tuned to health (yoga, tai-chi-chuan) and in areas where the State was less capable of assisting, with dental clinics (in the centres and in the mobile units) and healthy eating campaigns (restaurants, canteens, coffee bar) (SESC São Paulo 1997). The new installations allowed the practice of physical and cultural activities and started to become known as cultural and sports centres instead of social centres (SESC São Paulo 2013).

The 80's saw a transition in the paradigm from leisure to culture, where the previous artistic activities associated with leisure were consolidated in a single leading (wide) concept – culture (Oliveira 2009). Some examples of initial Sesc activities were: exhibition, theatre, cinema, a project to propagate popular music, a popular culture fair and a string orchestra that had people with no

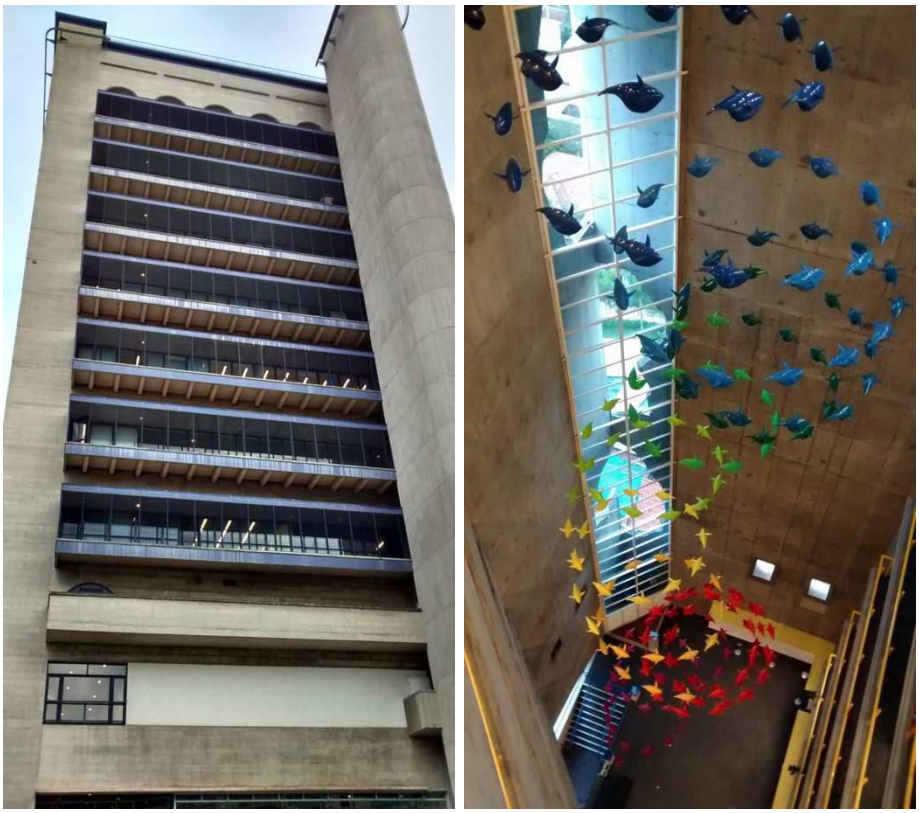
[50] In 1969, the first seminar in Brazil debating the potential effects of leisure, *Lazer para uma cidade que trabalha* (Leisure for a city that works) (Almeida 1997) was developed.

musical background playing, and which later became the 'Centre of Experimental Music'. It was also in the 80's that the activities started to move outside of Sesc units physical space and into the streets with specific programmes. Moreover, the idea of excellence in delivering the services defined the institutional action from the 80's onward (SESC São Paulo 1997). In 1985, the 'Curumim' project was created, devoted to the development of children between 7 and 12 years-old, complementing the family and the school roles (especially conceived to support the entry of women into the labour market), which provided opportunities for the children to get involved with science, nature, dance, music, theatre, sports and other activities. In 1986, a cultural and sports centre opened in a former factory, the Sesc Pompeia, through which an urban requalification strategy preserved the industrial memory of São Paulo, similar to other cities in the world which have undergone processes of urban regeneration, focused on developing iconic buildings by creating new functions for heritage buildings already freed from socioeconomic functions (ideas already debated in the first chapter) (A. C. Fonseca 2011). In the same year, the Sesc action plan for the triennium 1988-90, reaffirmed culture as one of the two main lines of action together with health (which included, above all, dental clinics, nutritional assistance and general services required for accessing Sesc activities). This plan acknowledged the democratization of the access to culture as a mechanism not only for contact with different forms of artistic expression, but mainly for promoting social interaction and reducing the social and economic barriers inside each community. Therefore, the plan embraced and enhanced the major role of culture for individual and community education by conveying values for creating civic and critical conscience. The research unit of theatrical performance and training, created in 1982, together with the Sesc Pompeia and the 'Teatro Anchieta' were the support for the transition of the paradigm towards the culture sphere (SESC São Paulo 1997). To conclude, in the 80's, the activities delivered recognised the importance of body movements for individual development and expression.

In the 90's the directive towards culture was progressively anchored in the quality of the services provided, where culture was a broader concept connected with other aspects of culture in work, in life, in social and political participation, in science and in technology. According to Danilo Santos de Miranda, here 'culture' embraces a complexity of concepts far beyond the artistic meaning attached to it, the human processes of 'reflection', 'creativity' and 'development' (Santos de Miranda 2008). Culture was seen as a tool for citizenship training by promoting activities for personal expression (courses, seminars), artistic expression, physical expression (sports, dance), and practical expression (courses concerning daily life needs, for example on legal advices) (SESC São Paulo 1997). The democratisation of access to culture, inside a comprehensive overview of culture that was not restricted to artistic manifestations stimulated a new form of more active and participatory

consumption through real experience (Oliveira 2009). In this decade the musical activity, which comprised different forms (shows, performances, debates, courses, seminars, workshops) and styles, had and still holds a place of honour inside the programming as it is transversal to other artistic manifestations (SESC São Paulo 1997). In the 1997 the first vertical unit was opened, the cultural and sports centre of Vila Mariana (Figure 11), which consolidated a new polyvalent area for the development of multiple activities and of moments of socialization and conviviality among its users (SESC São Paulo 1997).

Figure 11 - Sesc Vila Mariana (vertical unit)



Nowadays Sesc São Paulo has 36 units in the whole State (Figure 12), open to the whole population and the communities living next to the centres. Sesc São Paulo currently offers an extended panoply of activities in the cultural dimension, building a bridge between different age groups and social strata population.

The directive behind each new centre is 'experimentation', meaning that in the concept there are no rules that can replace the creativity of the team conceiving each programme and articulating it with the architectonical project, proving that "each venture is a singular realization" (SESC São Paulo 1997:240). Singularity is connected foremost with the uniqueness of each territory, characterised by the symbols, heritage, socio-economic needs and urban morphology, which is observed and studied before defining each intervention and programmatic content. In this sense the centres connect territories with

culture, by taking advantage of the symbolic and representative language of a place, to confer value to a social egalitarian project (Nori 2002). However, the centres have a bilateral and not a unilateral relationship with their territories, because they get the characteristics to set the context and language of intervention from the territories, and give back a specific strategy for social-education and citizenship building.

Figure 12 – Map of Sesc units in São Paulo municipality and neighbourhood areas

The insertion of the institution in the city is visible, and goes beyond its primary objective of providing benefits and increasing quality of life for commercial workers and their family circles as it stimulates whole community engagement and transformation (Oliveira 2009).

For example, when Sesc Belenzinho was built, it brought new options to the region and its surroundings which impacted the programme supply, by including programmes that had not been provided before in the region in the fields of culture, leisure, sports and food services, and also the urban morphology through the significant change induced by the unit in the urban setting, today comprising cleaner commercial and residential areas (Santos de Miranda 2015).

Briefly, over the years Sesc has reinvented and introduced new models of action that pursue education for social transformation (described in detailed in Annex 5. 'Chronology of Sesc São Paulo'). Sesc São Paulo moved its educational assistance strategy from health care to other models, by recognizing and introducing leisure and culture as instruments for individual development and citizenship growth.

Since the 1950's Sesc has delivered seminars, forums for debate, conferences, courses, publications[51], thematic exhibitions, and activities that offer moments of reflection and discussion to disseminate ideas and new values relevant to the social reality of the country, and that encourage 'human development' and 'solidary-based integration in a democratic society' (objectives defined in the original institution regulations) (SESC São Paulo 1997). The themes of debate in the 50's and 60's were connected with the period and consequently to the Sesc programme, from maternity and health, to labour legislation, community problems, youth, volunteering, cinema, music, literature, and the plastic arts. In the 70's the debate was concerned more with Brazilian popular culture, national cinema, the emergence of leisure, senior life, the integration of women in society (SESC São Paulo 1997). The 80's discussion offered by Sesc focused on the elderly and leisure themes, which were developed together with new areas of debate in creativity, science, regional culture, bodily expression and environmental issues (SESC São Paulo 1997). The 90's went deeper into the body movement debate, exploring the new modalities of expression in dance and gymnastics, along with a more intensive debate on environmental preservation, public art, the challenge of hunger, technology and other aspects of daily life (SESC São Paulo 1997).

According to a recent in-house publication, Sesc today operates on three fundamental guidelines: social inclusion, providing diversified activities with a low-cost policy; development of critical capacity, supporting memorable experiences in leisure and culture; participation and creation, allowing individuals to immerse themselves in the process of creation (SESC São Paulo 2013).

5.2. Sesc São Paulo programmatic education strategy for citizenship: the role of leisure and culture activities

This section contents a qualitative analysis undertaken to examine the development and materialization of the current Sesc São Paulo programmatic strategy, which in the 70's and later in the 80's integrated leisure and cultural

[51] Publications like 'Revista Comerciário', 'Problemas Brasileiros', 'Biblioteca Científica do Sesc', 'A Terceira Idade', 'E'. The institution counts on other support to communicate its work (website, Sesc TV), which encouraged and increased access to its activities.

activities, respectively, as quality experiences in free-time activities with social and civic awareness learning processes.

For this purpose, this section first describes the process of recognition and integration of leisure and cultural activities into the Sesc programme and second, it examines the mechanisms and drivers through which these activities can have a role in citizenship, in building bridges inside the community and in fostering civic engagement in light of the Sesc São Paulo programme strategy.

The qualitative analysis based its work on the following data collection methods:

- Visits to 9 centres of Sesc São Paulo network, namely, the following urban units; Sesc Belenzinho, Sesc Pompeia, Sesc Vila Mariana, Sesc Consolação, Sesc Pinheiros, Sesc Santana, Sesc Research and Training centre, and two rural units of the city of São Paulo – Sesc Interlagos, Sesc Itaquera.
- Observation and photo records of activities made at these units: exhibitions, workshops, sport classes, specific courses, seminars and music festivals.
- Interviews were held with 9 professionals inside Sesc São Paulo, the regional Director, the head of the 'Education Department' ('Oficinas') at the Sesc Belenzinho unit, two exhibition cultural animators at the Sesc Itaquera unity, two cultural animators of 'bibliosesc' the mobile library of Sesc Itaquera, the director of the 'Image and Word Department' (Núcleo da imagem e da palavra'), of the 'Music Department' ('Núcleo de Música') and of the 'Physical Activities and Sports Department' ('Núcleo Físico e Desportivo') at Sesc Vila Mariana (some parts transcript in Annex 6)
- A literature review of Sesc publications and general bibliography relative to leisure activities.

5.2.1. What prompted the integration of leisure and culture into Sesc São Paulo programmatic strategy?

To complement the investigation of what stimulated the evolution of the Sesc São Paulo programmatic strategy, an interview with the regional Director of the institution, Danilo Santos de Miranda, provided some crucial insight.

Santos de Miranda explained how Sesc São Paulo had moved from a primarily vision of businesspeople with intentions of helping the poor working class, towards an educational vision: "As the institution grew and improved its technical organisation it realised the charitable approach was not enough, it was necessary to change the nature of the public services delivered in the beginning toward a model of continuing education, wherein culture induces social transformation through value change" (Santos de Miranda 2015). Indeed, from basic medical assistance, to taking a training role, the recognition of social education as the instrument for individual development, the appropriation of leisure as a tool for informal education, the strong actions in the cultural field

(first, in a passive form of public engagement as spectators, and later in an active way, as creators) until the current policy of culture democratisation, the institution has always been reinventing itself.

During the interview, Santos de Miranda highlighted internal institutional guidelines that motivated the change of programmatic content (Santos de Miranda 2015):

- ✓ 'The constant pursuit of efficacy in our actions through observing the needs of society', is a key factor of change in the Sesc São Paulo action plan, "where predicting quality of life requirements is inherent to Sesc actions" (Santos de Miranda 2015). Indeed, there are different examples which show that for each centre the content of the programme is designed to be suitable for the territory of intervention and flexible to its needs (as was seen, each centre is independent and a form of 'experimentation').

  For example, there are centres located in richer environments where people naturally participate in cultural activities. In these centres the programmatic content is developed in order to attract people by supplying cultural experiences, and once the public establish a relationship with the institution they are offered other activities and stimulus, recognised as missing in peoples' lives, like physical activities or nutritional programmes. In poorer communities it is sports activities, free internet facilities or dental assistance that are the primary motivation for people to go to the centres, and in these cases the public is simultaneously provided with and stimulated by other experiences like nutritional programmes, exhibitions, music concerts or artistic workshops. Nevertheless, in all the proposed formats of engagement the central objective is the same, the promotion of human development and the enhancement of civic awareness by internalising a value system.

  Another example of singularity, as reported by one of the interviewed cultural animators, was the 'Curumim' programme and the nutritional content delivered, which has different goals according to each centre. In Sesc Itaquera it has a basic social character of feeding children, and in Sesc Belenzinho, where a hunger problem is not so evident, it has an educational aim of teaching how to eat, to choose the right proportions, and keeping the community areas clean by returning the eating trays after each meal. Also, in relation to this children's programme weekend family activities are developed and explored in line with the type of families: in centres with more nuclear families (like Sesc Belenzinho) the activities format is different than in centres where there are mainly single-parents (like Sesc Pompeia).

- ✓ 'The observation of other experiences' is another guideline for change in the programmatic content, which has assisted Sesc São Paulo to find inspiration and to become a pioneer in delivering specific projects in Brazil (Santos de Miranda 2015). For example, the pioneer work specifically devoted to the senior population, a playground in Sesc Interlagos in the shape of an alligator (inspired by the Dragon slide at the

Parc de la Villette in Paris – Figure 13) or the motivation to preserve the industrial historic memory when intervening in Sesc Pompeia.

According to Santos de Miranda the institution has a continuous cultural exchange: "we seek to know in areas where we are still falling short and we present and influence in areas we are on the leading edge" (Santos de Miranda 2015).

Figure 13 – Sesc Interlagos

- ✓ 'The continuous development of technical competencies' was the last internal factor of change presented by Santos de Miranda. The institution encourages its staff to pursue continuous training, nationally and internationally, in a variety of topics (sociology of work, leisure, child education), in order to create excellence in their services. The cultural animators learn new methods, not only for updating the programmatic content, but also for delivering it. Providing a good reception service, clean spaces that are architectonically well thought-out, and respecting and assisting the public are the basic rules of the institution. Moreover, personnel are encouraged to forge a career path, Santos de Miranda for example, began his work as a cultural animator in 1963, and since 1984 has been the regional director of Sesc São Paulo.

Consequently, leisure and culture were integrated in the Sesc São Paulo programmatic strategy, led by the following guidelines.

First, in the 1970's leisure was recognised and incorporated into the Sesc São Paulo strategy as a path for social education and citizenship, as the result of an international debate that identified informal educational opportunities for human development which result from organising and providing quality leisure activities.

In 19th century industrial society sociologists began to understand the importance of free time, after a reduction in the hours of industrial labour (Dumazedier 1999). Nevertheless, the research dedicated to time outside work is, according to Dumazedier, "as old as work itself, however, leisure has specific characteristics attached to the civilization born in the Industrial Revolution" (Dumazedier 1999:26). In different approaches, Karl Marx, Auguste Comte and Proudhon, considered work as the first human necessity, claiming that technical progress is essential to conquering space for human intellectual development and subsequently for leisure (Dumazedier 1999). Yet, the debate over work as a

means or an end to leisure was opened by the writings of Lafargue in his 'Le droit à la Paresse,' which demystified the value of work status, saying where 'idleness denies work, leisure presupposes it' (Dumazedier 1999). In this regard, with the reduction of the working hours, free time was discussed as an opportunity for improving or deteriorating human personality, and the first empirical studies on the sociology of leisure appeared in the 30's (Dumazedier 1999). Notably Lundberg et al.'s 1934 work, which considered leisure activities to be "to a high degree, obligatory or necessary to the maintenance of life and… on the whole instrumental to other ends rather than ends in themselves"(Lundberg, Komarovksy, and Mclnerny 1934).

Much later, in the 60's the social and scientific progress and the consequent rise in productivity were the major causes of free time (Dumazedier 1999). Dumazedier argued this free time arose from a group of factors, notably: social movements such as unions fighting for higher salaries and fewer hours of work, the companies marketing to stimulate consumption, a decrease in the hours dedicated to domestic work, an increase in the years of mandatory schooling, the reduction of social obligations imposed by the institutions of society which were no longer enforced or regulated, specific collective rites and the phenomenon of social need (although facing some constrains) of the individual taking time for him/herself and for its auto-satisfaction (Dumazedier 1999). Therefore, professional work became an activity that was separate and distinguishable from others, where leisure time is not mixed with work time and most workers have access to it. This in part, explains why the concept of leisure cannot be connected to the archaic and pre-industrial societies, where work and play were mingled activities and the days without work were imposed from above and understood as simple unoccupied time. Hence, the ultimate finality of this 'social value' is the auto-satisfaction and individual realization (Dumazedier 1999). As Coelho argued, leisure is not a break in work, but something with an inherent purpose, which is formed and exhausted in itself, a good which is exteriorized by actions that allow people to build and to position themselves in the world (Coelho 2000). Indeed, in the fragmented times of an industrial civilization engaged in processes of post-industrialization, leisure arrived with a liberating character (Dumazedier 1999). Originally the forms of engagement offered were mainly passive, but change later took place, when leisure was no longer the time associated with freedom in the negative sense of doing nothing, but freedom "in the sense of creating, imagining, and producing cultural goods" (Zaluar 1994:57).

Furthermore, the educative opportunities provided by free time, act not only in the individual sphere, in the sense of improving the 'personal taste' and fostering individual training, but also in the community, by providing tools for building a democratic society through access to leisure activities (Coelho 2000). Indeed, manipulating the 'use of time' in a way that can exert power and influence daily life is acknowledged as a way of controlling the functioning of

society (Nori 2002). Notably, the incentives for leisure was a concern of modern companies, which balanced the values of work and leisure for their personnel, produced publicity campaigns, associating sales with information, education and humorous elements, and even incorporated leisure spaces in their venues (Dumazedier 1999). Likewise, the rise in leisure was also felt at other institutional levels like municipalities, who with innovative urban planning started to discuss and intervene in the creation of spaces for leisure, such as green areas, youth centres, playing fields, social and cultural centres, swimming pools, gymnasiums, theatrical communities; or the functions of social centres, which changed from mere social assistance with informative roles to an educational and recreational function where cultural animators and agents with specific training began to operate (Dumazedier 1999).

Nonetheless, even with major institutional interventions, the general stimulus towards leisure engagement was not available for everyone, as the minorities of society were excluded from this social evolution in general. Coelho called it a 'basic contradiction involving leisure,' that the increase of free time was also accompanied by the inability to enjoy it as leisure time (Coelho 2000). The author believed this was a result of the globalisation, particularly the reduction in the labour supply, precarious living conditions and low security (Coelho 2000). Similarly, Cardoso when referring to free time, regarded it as time that requires availability for consumption and declared it to be rare for most of the inhabitants of major cities (Cardoso 1971). Indeed, one of the major constraints of access to leisure is lower purchasing power, explaining that fewer hours of work does not necessarily mean more hours of leisure, when the extra free time can be absorbed, for example, by supplementary work.

This 'basic contradiction involving leisure' was precisely what was happening in São Paulo in the 60's, where the free time released by the industrial revolution and the complex post-industrialization process faced a social structure profoundly marked by inequalities in income distribution, and consequently in access to leisure activities (Coelho 2000).

The Sesc São Paulo perception of this situation, and the inspiration from the international debate that assigned leisure an active role in individual and community development, motivated the institution to operate to benefit its priority audience by delivering opportunities for leisure engagement. While introducing leisure activities in its programme Sesc adopted an educational-recreational approach, by providing individuals with opportunities for learning and enrichment through entertainment and informal occupation of their free time.

Secondly, in the 80's, the transition towards embracing culture as the basis for action was also accompanied by an international scenario (which has been discussed throughout this research) that confers significance to role of culture on individual and community development. The Sesc São Paulo intervention, and

other proactive cultural recognitions have become visible in Brazil, like the creation of the Ministry of Culture, in 1985.

In this regard, Mantero argued that the spaces which better allow the exercise of leisure are those dedicated to culture; "culture is, above all, a symbolic and experiential activity which integrates, unifies, offers meaning and makes us participate in a community… Beyond that culture conciliates affinities in the diversity of identities, stimulates a pluralist and democratic society… which does not admit what our age seems to emphasise: the exclusion of its citizens and their own identity" (Mantero 2000:190).

Therefore, developing cultural actions for social transformation not only means offering a diversity of artistic events, but also effectively providing experiences that are sustainable and significant for building a democratic society. As previously said, in the 90's the Sesc São Paulo strategy embraced a broader concept of culture, through which experiential environments of reflection and creation induced informal and permanent education processes oriented to stimulate people's personal autonomy and contact with diverse modes of expression.

The Sesc São Paulo network of facilities is acknowledged as one of the major cultural actors in the city, and a pioneer in placing culture at the centre of individual development and local urban growth strategies and the introduction of a strong cultural policy (DutchCulture 2014).

5.2.2. What are the mechanisms and drivers encountered in the Sesc São Paulo strategy through which cultural and leisure activities can have a role in citizenship?

As described in the outline, citizenship is a quality conferred to citizens in their social life, based on respect for others and the conscious notion of being part of the community values, through exercising rights and duties. Moreover, as also introduced citizenship can be enhanced through non-formal and informal learning processes.

In Brazil, where there are unequal and layered possibilites for citizenship growth, Sesc promotes a space for its emergence through a specific strategy.

The programmatic intervention delivered by the Sesc São Paulo centres, with respect to each territory, seeks to organise free time in order to educate for citizenship and for civic awareness, by acknowledging that the learning opportunities derived by leisure and cultural activities are capable of imparting community oriented value systems.

The learning opportunities offered in the Sesc strategy are of two types, non-formal and informal learning experiences.

Personal development induced through non-formal and voluntary training, usually happens in form of seminars or courses delivered by Sesc São

Paulo, in cinema, dance, music, or healthy cooking. For example, according to an interview with the head of the 'Image and word Department' of Sesc Vila Mariana, this department develops workshops which last 4 days on average, and entail conceptual proposals targeted at people with interests in specific topics regarding image.

The human development induced by informal learning takes place within the experiential and spontaneous environments created by Sesc centres without participants realising it. Multiple examples can be reported here, some of which occur in non-formal learning formats (of seminars or courses).

- First, the cinema sessions, a cultural activity offered by Sesc São Paulo since the 50's at the centres or the 'Unimos', was since the beginning understood as a tool to address social themes through the diversity of the offer (SESC São Paulo 1997). The social pedagogic role of the cultural activity is complemented with extra activities related to the cinema session and film cycles, the work of cine-clubs, seminars and courses.
- Second, according an interview with the head of the 'Physical Activities and Sport Department' of Sesc Vila Mariana, the physical activities (aerobics gymnastics or aquarobics) beyond working on wellbeing issues by educating for health and mental care (in a society where inactivity is increasing), convey social education messages, by inducing social and conviviality values, like not arriving late or leaving early to a class, and helping straighten up the rooms after each activity.
- Third, according to the two exhibitions monitors of Sesc Itaquera, during guided visits for school groups there is a permanent concern with the audience, not only relative to induce non-formal learning by introducing contents related to the exhibit itself (at that moment an exhibition about Amazonia and the conservation of biodiversity was running), but also relative to delivering informal education processes, by instructing how to behave and explore the exhibit space, without running, eating or shouting.

Indeed, this last unintentional process of education, at least from the learner's point of view, entails Sesc's greatest role and opportunity for internalising community orientation values of tolerance, trust and coexistence.

As was said by the head of the Sesc Belenzinho 'Education Department', everything that comprises a centre is 'designed for informal education', from the space architecture to its activities. During our visits to the centres and in observing some of its activities, it was seen that everything has a basic educational intention of conveying social virtues and critical capacity, which are fundamental to fostering citizenship and fairer societies (Reis 2000). The entire installations of each centre, the floor, the bathrooms, the green areas, the cafeterias, are clean and proper, with the objective to providing people access to neat infrastructures, but also to impart values and civic behaviours to the users of the space, for replication outdoors.

Nevertheless, during the interviews with the Sesc workers, it was possible to recognise there are drivers brought about by the leisure and cultural activities that induce opportunities for social education and enhancement of community oriented values: expression, social interaction and experiential learning.

Expression was recognised as a driver for inducing citizenship enhancement, and encompasses opportunities for manifestations of individual and collective identity, and constructions encouraged by leisure and cultural activities in non-formal and informal learning formats.

One of the main forms of 'individual expression' stimulated in the Sesc strategy is via the practice of body movement. In the 80's the introduction activities centred on physical movement recognised its importance for space perception, body consciousness and most of all for overcoming personal emotional blockages (SESC São Paulo 1997). For example, according to an interview with the head of the 'Physical Activities and Sports Department' of Sesc Vila Mariana, one of the main roles of the department is related to stimulate self-confidence and body awareness (as the activities required exposure of the body), which is essential to building individual identity. Moreover, according to an interview with the head of the 'Music Department' of Sesc Vila Mariana the process of non-formal learning differs from the usual music institution as it balances technical instruction with identity construction, where music is understood not as an end but as a mean for building individual identity and expression.

Simultaneously, expression is also a form of 'manifesting a collective identity' in a pluralistic environment. Through experiences with sounds, words and body movements, a collective identity, for example represented by popular culture, can be disseminated and celebrated (Santos de Miranda 2008). Referring again to the interview with the head of the 'Music Department' of Sesc Vila Mariana, one of the department's concerns is to meet and conciliate the diversity of identities, in order to forge a multicultural society. In fact, through the enormous variety of types of music the country holds, musical expression encourages cultural diversity and consequently, stimulates dialogue and tolerance towards differences. Likewise, dance is another activity offered by Sesc São Paulo, which started to appear in the 70's as a form of expressing the diversification of popular cultures and identities inside the country. Nevertheless, this activity has changed its purposes over time, as dance contents were no more than a social activity until the 70's, nowadays, either through specific training, open classes, seminars, workshops or performances, people are offered an opportunity to observe different dance styles and perceive different identities (SESC São Paulo 1997).

Therefore, the ability to express our own identity, through leisure and cultural activities is an important driver to enhancing individual critical and civic capacity. Following Nori, the awareness of one's identity "is undoubtedly one of

the most important preconditions for the individual to fully reach the citizen status" (Nori 2002: 153). Moreover, manifestations of collective identity are crucial to communicating other value systems and to know how to live and behave in a pluralistic society, by encouraging tolerance towards differences.

Social interaction is another driver encouraged by Sesc São Paulo activities for building civic consciousness and community commitment. According to Polson et al, "Regular social interaction with others within a social context that promotes cooperation and the development of invaluable social skills appears to increase one's civic and political engagement" (Polson et al. 2013:759). Indeed, in Sesc centres people are permanently stimulated to encounter, interact, share and meet with others, helping them to live together and be respectful and open to others.

Figure 14 - Sesc Belenzinho

Social interaction is stimulated by the 'physical space' of each centre, which are carefully designed. For example, in horizontal structures conceived for specific neighbourhoods, like Belenzinho (Figure 14), the centre is designed as if it were a continuation of the street with the intention of appealing to people to enter and to interact. This format contrasts with the vertical units that are more intimidating in terms of invitation and which are normally set in the urban environments. The physical space can therefore induce encounters between people with very different backgrounds that would otherwise probably not have much chance to interact. The 'interior design' is also planned very carefully to facilitate social encounters. In the canteens, for example, the tables are very big (in round or rectangular shape) to stimulate people to interact and not to eat alone or in pairs. Likewise, in the playground areas there are no seats, sofas or chairs. These existed but were removed to stimulate family interaction, after the monitors realised that parents left their children in the park and sat down nearby. A programme enhancing unexpected interaction between different audiences is 'Curumim,' that through the regular involvement of their children induces parents to engage with other parents of very different backgrounds, building bridges and confronting the diversity. According to the head of the 'Education Department' at the Sesc Belenzinho, one of the main conditions for entering the indoor playground area

of this centre is to remove the shoes; this symbolic act (not well accepted by all the parents) seeks to forge equal contexts of commonality between families, balancing social differences and encouraging interaction.

Additionally, by enrolling in 'leisure and cultural activities' social interaction among different users of the centres is also stimulated. The extent and type of activity can be a determinant for fostering community involvement. If on the one hand leisure and cultural activities allow taking part of experiences and exploring individual emotions in the company of others without necessarily implicating other personal commitments; on the other hand, through engaging in these activities a shared enjoyment can be produced, which consequently can motivate future encounters and forms of co-operation. Therefore, the formation of groups and the consequent enhancement of community involvement, grounded on values of trust and co-operation. These are not always achieved as it depends of the activity, the audience and frequency of engagement. According to the interviews, it was interesting to note that activities that induce regular encounters, for example the sports activities, are the ones more conducive of establishing a 'cooperative group' (Tuckman 1965). In fact, according to the head of the 'Physical Activities and Sports Department,' participants in sports activities are encouraged to encounter and to function in groups through physical practice, make lifelong friends and develop a group feeling. The same stimulus occurs in theatre activities, as was noted by one of the cultural animators. Most of the Sesc units have an auditorium where performances and theatre workshops are delivered for a growing audience; these activities usually provide opportunities for amateurs to meet and to develop their own theatre groups, which sometimes give performances (SESC São Paulo 1997).

Experiential learning, is the third driver of leisure and cultural activities that enhance social education, to emerge from the qualitative analyses.

Leisure and cultural activities, in contrast to non-recreational or less spontaneous activities, allow people to explore their emotional experiences and to express their identity, which are often oppressed by the routines of daily life, in a 'game format' and liberating environment, where "The game, for not being the real or ordinary life, allows creating and inventing new ways of living" (Zaluar 1994:60).

Moreover, this experiential and recreational environment comprises civic and critical skill acquisitions through informal learning practices (AEGEE 2012). According to Santos Miranda, what is crucial in this social value transfer is not the ability to build formatted societies, but to stir people's consciences in ethical, cultural, creative and educational dimensions through the differentiated experiential processes they engage in (Santos de Miranda 2008). Yet, although both leisure and cultural activities are able to stir creativity and induce critical capacity, culture has a particular role in providing opportunities for building a

pluralistic and democratic society as it conveys symbolic meanings in its experience (Mantero 2000).

A very interesting example of an activity that creates opportunities for stimulating all the reported drivers for enhancing community-oriented values in part is 'bibliosesc' at Itaquera. 'Bibliosec' is a mobile library in a truck, inspired on the concept of 'Unimos', which runs across eight peripheral neighbourhoods of Itaquera, visiting each point every fifteen days and developing a range of literary activities. Indeed, the panoply of activities is such that these trucks are referred to as mobile cultural centres. During the period that 'bibliosesc' visits each neighbourhood, on average 2-4 years, Sesc establishes a partnership with a local institution (a school, a social centre), for the population to have a permanent point of contact on their days off. Hence, this unit has a very specific role in promoting the reduction of social exclusion, by democratizing the access to particular goods and experiences.

Figure 15 - Bibliosesc

The cultural animators of this unit reported the importance of 'bibliosec' as first and foremost for its creative experiential character, and for inducing opportunities for expression. They taught people excluded from traditional educational environments how to read, and fostered a critical capacity in those who could already read by diversifying their reading. Being able to read and having a critical capacity are two fundamental values for citizenship enhancement.

Moreover, 'bibliosesc' has a crucial role in promoting social interaction and social inclusion. According to the cultural animators, in the days the unit is in the neighbourhood it stimulates encounters between people that from an economic point of view can be very similar, but from an intellectual point of view are very different. Consequently, in the two weeks the mobile unit is not in the neighbourhood people exchange the requested books between themselves, stimulating additional encounters which probably would otherwise not have happened.

Likewise, according to the cultural animators, in neighbourhoods where the 'bibliosesc' no longer passes, local people started to collectively mobilise and

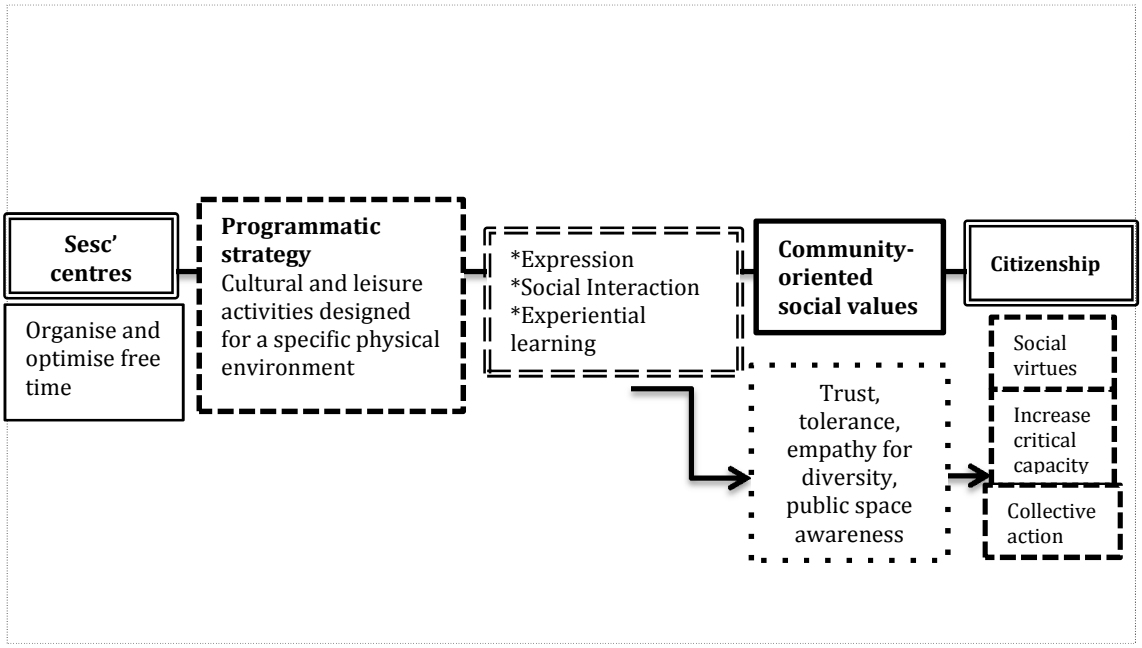
demand a fixed reading place and other cultural activities (like cinema sessions) from the local authorities that previously they had never been in contact with. Moreover, the cultural animators reported the activities they develop, even the simple fact of providing people with the opportunity to take care of a book for two weeks, induces self-confidence and contributes to sharing organizational values (which as seen in Chapter 3 are fundamental to forming a collective capacity for action). In this regard, the work of 'bibliosesc' clearly evidences the opportunities that are created for joint citizen actions asking for better living conditions and community spaces from their local government. Following Nori, rescuing the public spaces means promoting a civic consciousness (Nori 2002). Therefore, by inducing local people to intervene in the public space, through actions for the satisfaction of their own interests or for the sake of improvements in the community quality of life, 'bibliosesc' is building individual civic capacity.
By bring people together regularly in public spaces 'bibliosesc' counters the generalised disengagement of the population towards public spaces. The relevance of leisure for inducing urban appropriations was also explored by Dumazedier (Dumazedier 1999).

To close this section, which intended to qualitatively analyse the evolution and materialization of the Sesc São Paulo programmatic strategy, we observed the content and the functioning of Sesc mobile and fixed centres.

According to the needs of each territory, these units provide leisure and cultural activities for optimising free time in learning environments. Specifically, with these active and instructive occupations the institution aims to induce social education and enhance citizenship building. In the analysis and particularly in the interviews, it was ascertained that the social and civic awareness learning process is accomplished through drivers brought about by leisure and cultural activities, namely opportunities for expression, interaction, creation and experiential learning, which allow internalising community-oriented values of trust, tolerance, empathy for diversity and awareness of public space, all of which are imperative for citizenship growth. Indeed, these 'social virtues' can stimulate the critical capacity in relation to life surroundings, and self-satisfaction and can induce collective actions that meet the needs of the local reality, and therefore foster citizenship and fairer societies.

As Santos de Miranda argued, in light of the Sesc São Paulo programmatic strategy, citizenship is accomplished by delivering actions which increase one's analytical and critical capacity in relation to oneself, to others and one's conditions and surroundings; inspiring the generation of new values and ethical humanizing elements which are crucial for collective life, and thus stimulate the development of plans and projects that interpret and confront the reality (Santos de Miranda 2008).
The following model (Figure 16) illustrates the explained mechanism through which Sesc São Paulo directs its intention to induce citizenship building.

Figure 16 - Sesc São Paulo strategy for social-education and citizenship



Nonetheless, the examples described show that the drivers and mechanisms promoted by leisure and cultural activities for the continuous exercise of citizenship depend on the type of activity engaged in, on the audience, and on the frequency of engagement. The next section examines this question of what the most efficient leisure and cultural activities related to citizenship building are according to the Sesc São Paulo programmatic strategy.

5.3. The empirical approach: the role of cultural participation on social capital and community involvement by observing the Sesc Itaquera audience

Sesc São Paulo organises and provides quality free-time leisure and cultural activities which aim to educate the population for a more active role in society.

The previous qualitative analysis concluded that the process of social education for citizenship happens by imparting community-oriented values through Sesc activities, while making use of specific drivers which explore and embrace these collective capacities. Yet, the discussion emphasises that not all activities are capable of inducing the same mechanisms and to produce the same affect on people's capacity for action. Indeed, different types of activities, audience and frequency of engagement can be expected to prompt different levels of citizenship growth. In particular, a special role has been assigned to cultural activities in providing opportunities for inducing an on-going process of social learning and value communication, as they convey a system of symbolic

meanings in their experience (Mantero 2000) (Dessein et al. 2015).
Therefore, by observing a range of leisure and cultural activities this case study proposes to explore first, how cultural activities affect citizenship in contrast with other leisure activities, and second how those who are Sesc regulars see the likelihood of their civic engagement increase, considering Sesc's informal education policy for citizenship.

First of all, in order to propose an identification strategy able to infer these relationships, it was necessary to select analytically useful dimensions of citizenship. Accordingly, based on the conducted qualitative analysis (section 5.2.), on the discussed theoretical chain of community-level social impacts (Chapter 3) and on other existing measurement frameworks that already analysed civic engagement expansion induced by community organizations (like religious, artistic clubs, service associations, scout groups), the dimensions of 'social capital' and 'community involvement' were identified. In fact, for selecting social capacities connected with citizenship a recent work that assessed the role of scouting participation on civic engagement was very relevant (Polson et al. 2013).

Polson et al. considered "social capital an important resource for strengthening the social fabric of society and increasing individual levels of civic engagement" (Polson et al. 2013:759). Therefore, individuals that are brought together through intensive interaction and cooperation activities might foster social capital and increase their ability for community involvement in the future. As assumed by the authors, "When people interact with one another on a regular basis and develop bonds of trust, they may be more likely to work together to accomplish common goals and solve community problems" (Polson et al. 2013:761).
Having said that, Sesc São Paulo has a sustained and particular education policy for citizenship, grounded on cultural and leisure activities. This work explores the relationship between the engagement in these activities and specific measures of social capacity, 'social capital' and 'community involvement'.

Before introducing the work, it is important to reiterate the concept of social capital, to infer how it has been related to the cultural experiences (the ones in which we expect to find a more relevant role on social learning) and to extract how much of this association has been accounted for.

Social capital is a form of community unity, based on community-oriented values, of reciprocity, trust, tolerance towards diversity that can facilitate coordinated actions (Putnam 1993). As already seen, there are two forms of social capital which can induce different effects on community life; 'bonding' that enhances group identity and social cohesion, and 'bridging' that stimulates links between different groups (Putnam 2000) (McCarthy et al. 2004).

As already discussed, cultural activities offer space for these two forms of social capital to emerge. On one hand, they provide space for bonding by strengthening existing connections, celebrating identity and heritage. On the other hand, they foment bridging by breaking down barriers based on cultural differences, enabling a better understanding of the world around and developing opportunities to discuss social problems and participate in civil society. Indeed, it is this second form of links, 'bridging social capital', which is most expected from an institution like Sesc. Its experiential activities provide opportunities for social interaction and the creation of common grounds, developing trust of others, establishing social bonds and building bridges in a pluralistic society (social capital); subsequently, by bringing people together and enhancing community-oriented values, these activities strengthen public and critic awareness of their life settings and enhance specific community organizational skills, which can encourage capacity for collective action and civic engagement (community involvement). Therefore, following Polson et al. it is anticipated that the more involved a person is in cultural activities, the more opportunities he/she will have to establish social networks and to develop social and civic abilities, by internalizing community oriented values, which induce involvement in civic life (Polson et al. 2013).

Lastly, although it has been growing, the idea of using cultural activities to nurture social capital has not yet reached the same level as other more sustained arguments on the role of culture, like education or health, especially when it comes to measurement. Part of this is explained by the measurement of social capital itself, but foremost it is connected with the difficulties in counting the association, between culture and social capital (Kay 2005). Indeed, it is simpler to analyse the relationship between visiting an exhibition and learning about specific content than visiting a museum and developing social bonds, if only because these community links normally require long-term and sustainable engagement. Nevertheless, some researchers have already tried to measure the role of arts and culture practices on building social capital, evidencing an association between the potential impacts of cultural participation and the factors that build social capital. Some examples of this were presented in a social impact assessment review, when sharing the arts projects ability to create formal and informal partnerships, to build a sense of belonging to a place, to develop trust, to raise public awareness, to inspire and to improve skills for community action (Williams 1996) (Goodlad et al 2002) (Charlton et al 2013). Still, beyond these and other efforts, until now the studies that test the hypothesis of cultural practices being favourable to stimulate social capital have had limited approaches, even if can be easily alleged that common participation in the same activity can lead to sharing objectives and values (Greffe 2013).

Consequently, in this study when it comes to measurement, 'social capital' and 'community involvement' measures, were defined as the following:

• Previous research has measured social capital by counting the number of groups (formal and informal) to which a person belongs and gets involved in on a regularly basis (Putnam 2000). Polson et al. argued, "Individuals who are members of more local groups and associations… are theorized to possess higher levels of social capital because their social networks are likely to be denser" (Polson et al. 2013:161). Guetzkow also claimed "if arts programs get more individuals involved in community groups, then they increase the community's social capital" (Guetzkow 2002:16). In this study it was decided to go beyond this more traditional measure of social capital, which counts the number of associations a person belongs to, and an additional measure regarding volunteering aptitude, to test other forms of social network formation for collective action (Siegler 2014). A significant association between engaging in arts-based programmes and volunteer activity was verified in the review of empirical work on social impact (Chapter 2) (Hill 2013). Therefore, two channels were configured to assess the relationship between leisure activities and 'social capital': counting the number of community groups, associations and clubs (formal or informal) to which a person belongs and measuring the volunteer service aptitude (to volunteer now or had done voluntary service in the past).

• In addition, having explained that bridging social capital can internalize values and skills which can induce the capacity for collective action and civic engagement, we assess 'community involvement' by using a proxy proposed by Polson et al, which reports those who have cooperated with their neighbours to improve or solve a problem in the community in the past year (Polson et al. 2013).

Therefore, our first hypothesis exploring how cultural activities affect citizenship in contrast with other leisure activities is that:

A.1*: Higher levels of cultural participation increase the number of community groups, associations and clubs (formal or informal) to which a person belongs in contrast with other leisure activities.*

A.2*: Higher levels of cultural participation will increase the aptitude for volunteering in contrast to other leisure activities.*

A.3*: Higher levels of cultural participation will increase the likelihood to cooperate with neighbours to solve a community problem in contrast to other leisure activities.*

Second, while investigating how those who are Sesc Itaquera regulars see their likelihood of civic engagement and cooperative behaviour increase, considering Sesc informal education policy for citizenship, it is hypothesized that:

B.1*: Higher levels of participation in Sesc Itaquera activities increase the number of community groups, associations and clubs (formal or informal) to which a person belongs.*

B.2*: Higher levels of participation in Sesc Itaquera activities will increase the volunteer aptitude.*

B.3*: Higher levels of participation in Sesc Itaquera activities will increase the likelihood to cooperate with neighbours to solve a community problem.*

To close this introduction, by isolating the results produced by heterogeneous cultural and leisure inputs on social capital and community involvement, this empirical work is intended to overcome some of the methodological 'challenges' identified during the social impact assessment consultation, related to the homogeneity of treatment and the homogeneity of effects, in detriment of other concerns, such as those required to establish a cause and effect link.

5.3.1. The data and statistical methods

To test our hypotheses, questionnaires were conducted to a representative sample of 248 attendants aged 16 years and older[52] in Sesc Itaquera, over three days in 2015[53] (the confidence level is 95% and the margin of error of 6%) (the questionnaire is in the Annex 7).

The reason for research on Sesc Itaquera was provided by data reported in a major work on the 'paulistanos' leisure habits, which identified Sesc Itaquera[54] as the most patronised Sesc centre in São Paulo (Leiva 2014). Hence, a significant panoply of 'paulistanos' could be expected from an inquiry of a Sesc Itaquera sample.

Sesc Itaquera was inaugurated in 1992, in the middle of Carmo Park, a vast green area in the heart of Itaquera. With an area of 104.000 Km2 it has a maximum capacity of 15 thousand people per day. Since 1993 to 2014 almost 18 million people visited Sesc Itaquera. This unit offers the following facilities: a reading space, arts and technology, workshop room, playground, gym, aquatic centre, football field, tennis court, multi-sports game court, live-show performance arena, auditorium, exhibition hall, environmental centre, coffee shop, restaurant, dental service (SESC São Paulo 2013).

Itaquera is one of the 96 districts of São Paulo located in the eastern part of the municipality. Together with the districts of José Bonifácio, Cidade Líder and Parque Carmo it forms the subprefecture of the same name, Itaquera. This name derived from the 'tupi' language, spoken by the native 'tupi' people in Brazil and means 'hard stone' to emphasise the importance of the main raw material of the district, the stone for building the city of São Paulo (inclusively the central church of São Paulo, the Sé)(Franelas 2014). Although the district's first historical references date from the 17th century it began to grow more intensively with the inauguration of the Itaquera train station in 1875 (Franelas

[52] Children under 16 were not included in the study as it was considered that at that young age the decision to engage in community groups or to volunteer would probably be related to parental decisions.

[53] Questionnaires were given on the 21, 22 and 28 of March 2015 and analysed with STATA.

[54] Sesc Itaquera is the most frequented Sesc unit in São Paulo, followed by Sesc Interlagos, Pompeia and Belenzinho (Leiva 2014).

2014). Nevertheless, Itaquera belongs to the peripheral areas of São Paulo that grew without any urban planning or support, and today its urban morphology is characterised by a mix of 'favelas', social housing developments ('Cohabs') of the 80's and lower-middle class buildings recently raised after the construction of the Arena Corinthians (football stadium) in 2010 and other commercial facilities (Franelas 2014). According to the last census (2010), Itaquera district has 204,871 inhabitants and since 1991 the population has increased 17% (Prefeitura São Paulo 2016). In 2015, the population was balanced between male and females (with 51% of females), and 58% of its total population were less than 35 years-old (Prefeitura São Paulo 2016). In terms of cultural infrastructure, the district has one cultural centre, one theatre and ten cinema rooms (Prefeitura São Paulo 2016). Nevertheless, the eastern part of São Paulo, is the most culturally excluded area of the city (Leiva 2014).
The questionnaires provided insights into the audience pro-social attitudes, leisure activities, Sesc' engagement levels, religious beliefs and socio-demographic information.

Additionally, it measured the level of familiarity with other Sesc units. According to the sample, 40% had never visited other Sesc units and 60% had visited at least one unit besides Itaquera. Additionally, in order to assess Sesc's significance to its users the following question was given to the sample 'if Sesc Itaquera didn't exist do you have an alternative place to enrol in these activities?' However, as the question was not specific in relation to an activity the answers were very dispersed and it was decided to discard the information.

Concerning other collected information of the sample, 11% were visiting the facility for the first time and for the remaining respondents the main motivations for visiting Sesc Itaquera were to spend the day with family and friends (50%), to practise sports (27%), to use the swimming-pool (17%) and to visit the current exhibition (3%). Also, regarding the means of transport 71% of the sample arrived at the facility by car and 74% took 30 minutes or less to arrive at Sesc. It was surprising to see that the majority part of the sample expected to stay in Sesc Itaquera unit for more than three hours. This fact, is related with the main motivations of the visit; to spend the day with relatives and the recreational features of the facility.

Outcomes variables

As introduced, there are three the outcome variables of interest, two which are representative of 'social capital' and one measuring 'community involvement'.

- On the 'number of community groups and clubs (formal or informal) to which a person belongs' respondents reported a range of groups related to nautical sports, religion and dance and also a few associations (for people with disabilities, for elderly people and ex-military personnel). The average number of groups reported by the sample respondents is 0,52 (Std. Dev.=0,81). More

than half of respondents (63%) reported not belonging to any group, almost a quarter reported belonging to one group (24%), 1/10 of respondents reported belonging to two groups (10%), a few reported to belonging to three (2%) and a maximum of five groups was reported only by one respondent (0,40%). Almost 70% of the respondents who reported belonging to a group, were between 25-54 years-old.

- The volunteering aptitude variable asking respondents if they were volunteers or had done voluntary service in the past was a dummy variable, taking the value of 1 if the respondents reported yes and zero if not. Almost half of respondents reported voluntary action (mean=0,49; Std. Dev.=0,39). The reported volunteering activities were; helping people with disabilities, orphaned children, elderly people, developing activities in prisons or giving free music courses in the neighbourhood). Almost half of the respondents who reported being volunteers, were between 25-39 years old (47%).
- Lastly, the community involvement variable, questioned respondents if they had cooperated with their neighbours to improve or to solve a problem in the community in the past year, was also a dummy variable taking the value of 1 if the respondents reported yes and zero if not. Thirteen per cent of the sample reported they had cooperated with neighbours to improve or solve a problem in the community in the past year (mean=0,13; Std. Dev.=0,34). From the sample, 72% of those who reported community involvement were between 25-54 years-old.

Previous studies have demonstrated that there are strong correlations between belonging to community groups and community involvement (Putnam 2000)(Polson et al. 2013). As argued by Damineli in his research on civic participation and associative leisure, this last one "stands out as a framework of informal urban solutions, of symbolic inversions of the social scale, of the achievement of status and citizenship and of the need to form a set of social relations as a strategy to ensure the overcoming of obstacles encountered in the city" (Damineli 1982:19). In our data 'the number of group a person belongs to' is positively correlated with 'community involvement' (14%; (p-value:0,03058)).

Independent variables

Relative to the <u>first</u> objective of the empirical work, to assess how cultural activities in contrast to other leisure activities are associated with citizenship 18 heterogeneous activities were considered, based on a categorisation used by the Leiva study on the 'paulistanos' leisure habits (Leiva 2014):

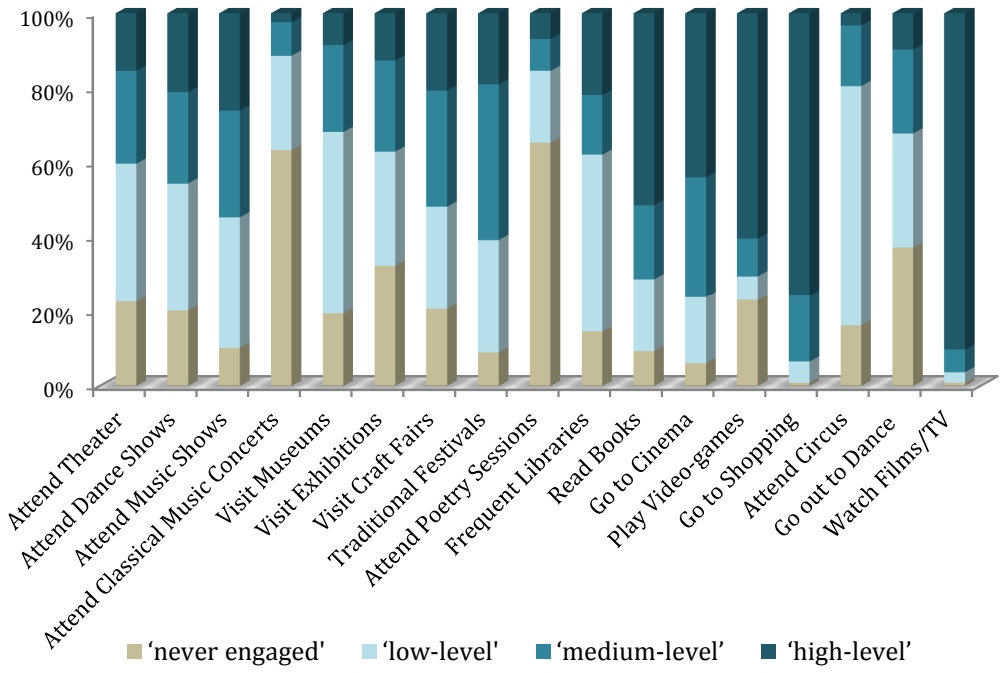
1. Attend Theatre
2. Attend Dance Shows
3. Attend Music Shows
4. Attend Classical Music Concerts
5. Visit Museums
6. Visit Exhibitions
10. Frequent Libraries
11. Read Books
12. Go to Cinema
13. Play Video-games
14. Go to the Shopping centre
15. Attend the Circus

7. Visit Craft Fairs
8. Traditional Festivals
9. Attend Poetry Sessions
16. Go out to Dance
17. Watch Films/TV
18. Play Sports

For the sake of the empirical work it was necessary to distinguish leisure and cultural activities, although knowing that this might be a controversial division: activities from 1 to 12 were considered as cultural inputs, and 13 to 18 as leisure activities. All of these potential activities (except sports) were inferred using a scale of frequency of participation which asked if the respondents were high-level ('engaged in the last 30 days'), medium-level ('engaged over the past year'), low-level ('engaged more than a year ago') or 'never engaged'. Again, this categorisation of frequency of engagement was based on the Leiva report (Leiva 2014).

The graphic below illustrates the sample levels of engagement in the cultural and leisure activities. According to the data, attending poetry sessions and classical music concerts are the lowest frequency activities among the sample for free-time occupation. In turn, the high-level frequented activities are watching films and other programmes on television, going to the shopping centre, playing video-games, reading books, going to the cinema and attending music shows.

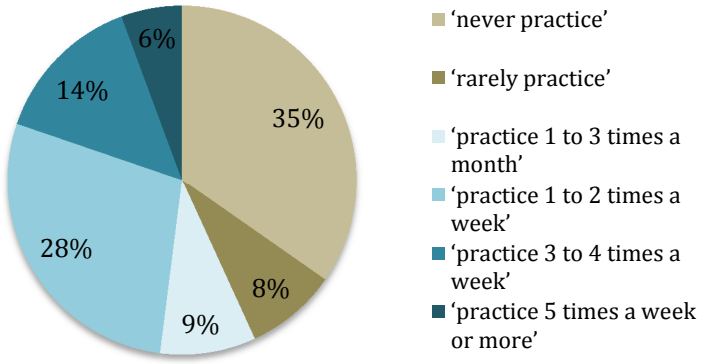
Figure 17 - Levels of engagement in cultural and leisure activities



As for sports, a more detailed and extended scale was used due to its recognised higher frequency of engagement 'never practice', 'rarely practice', 'practice 1 to 3 times a month', 'practice 1 to 2 times a week', 'practice 3 to 4 times a week', and 'practice 5 times a week or more'. The next graphic (Figure 18) illustrates the

sample levels of engagement in physical activities. One third of the sample never practice sports and 48% practice at least one or two times a week. The most popular activity is football, followed by going to the gym, running and walking.

Figure 18 -Levels of physical activities



The sample levels of engagement in cultural and leisure activities were similar to the findings reported in the research on the 'paulistanos' leisure habits, where watching TV and 'surfing' the net, followed by going to the cinema and going to shows and then physical training and attending sports events, were the 'paulistanos' preferences for free time occupation (Leiva 2014).

Relative to the second objective of the empirical work, to examine whether regular Sesc participants see the likelihood of their civic and cooperative behaviour increasing, one variable was proposed to account for enrolment in Sesc activities:

- The Sesc Itaquera Frequency measures the frequency of the respondents visits to Sesc Itaquera on a scale. It counts 'first time visits', '1 to 3 visits a year', '4 to 6 visits a year', '1 visit per month', '2 or more visits per month'. As the graphic bellow illustrates forty-two per cent of the sample visits Sesc Itaquera two or more times per month.

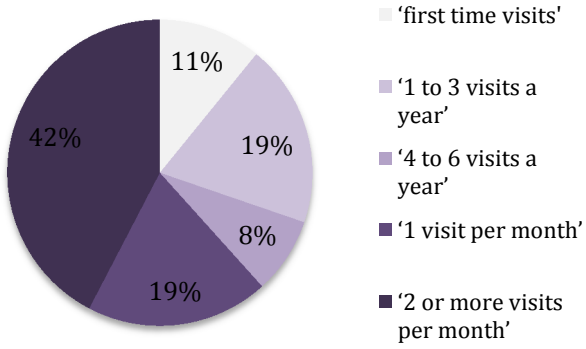


Figure 19 - Levels of Sesc Itaquera frequency

Control Variables

The literature shows specific variables correlated with social capital and community involvement which were used as controls in this work, namely,

gender, age, employment status, wage, education level, civil status, number of children, region of residence, religion (Polson et al. 2013).

According to the data, in terms of the demographic profile 48,79% of the sample is female, 54% are married or living together and 62,9% have children. Most of the respondents were from the city of São Paulo (85%) particularly from the eastern part of the city. The eastern part, as seen, is one of the poorest areas of the municipality, which can explain why although most of the respondents are employed (73%), almost half (42%) received less than 2 minimum wages per month. According to Leiva, geography is not such a determinant for engaging in culture activities as might be expected. There are cultural activities like going to the cinema or frequenting libraries that are usually consumed near home, although there are those, like dance performances that require urban displacement from the 'paulistanos' (Leiva 2014).

Table 8 - List of control variables

Variable	N	%	Variable	N	%
Age			**Gender**		
16 - 24	39	15,73	Female	121	48,79
25 - 39	116	46,77	Male	127	51,21
40 - 54	67	27,02	**Education Level**		
55 - 65	22	8,87	Primary and Lower Secondary Education (incomplete)	16	6,45
Plus 65	4	1,61	Primary and Lower Secondary Education (complete)	18	7,26
Civil Status			Upper Secondary Education (incomplete)	16	6,45
Married	133	53,63	Upper Secondary Education (complete)	93	37,5
Divorced	12	4,84	Bachelor degree or equivalent (incomplete)	40	16,13
Widowed	5	2,02	Bachelor degree or equivalent (complete)	47	18,95
Single	98	39,52	Master/Doctoral or equivalent (incomplete)	5	2,02
Children			Master/Doctoral or equivalent (complete)	13	5,24
No	92	37,1	**Religious**	180	72,58
1	58	23,39	Catholic	102	41,13
2	57	22,98	Evangelic	53	21,37
3 or more	41	16,53	Other	25	10,08
City of São Paulo	212	85,48	Non-Religious	67	27,02
Itaquera district	55	22,18	No answer	1	0,4
East Area	189	76,21			
Employed	182	73,39	**Wage**		
Workers with a signed contract	136	54,84	Up to 2 minimum wages	103	41,53
Workers without a signed contract	9	3,63	2 to 4 minimum wages	86	34,68
Public employees	11	4,44	4 to 10 minimum wages	53	21,37
Self-employed	22	8,87	10 to 20 minimum wages	2	0,81
Employer	1	0,4	20 minimum wages and plus	1	0,4
Other	3	1,21	No answer	3	1,21
Unemployed	34	13,71			
Retired	17	6,85			
Student	10	4,03			
Other	5	2,02			

Concerning religious participation, 73% of respondents reported to be religious. Some literature argues that community involvement and social capital are correlated with the religious engagement of individuals (Polson et al. 2013)(Putnam 2000). Verba et al. suggest those who frequently attend religious congregations are given an opportunity to develop skills that can be used in the general social context of community life (Verba, Lehman Schlozman, and E. Brady 1995).

However, in our data although most respondents reported to be religious, their participation in local congregations seems to not influence community involvement or volunteering activity, religion being correlated only with the number of groups and clubs a person belongs to (22%; (p-value:0,00049)). Two considerations can be inferred from this result: first, some of the reported groups in the sample are religious groups, explaining the correlation between religion and number of groups; second, in Brazil, religion expresses more than faith, it illustrates the cultural, symbolic and racial tangle of the country and allows an understanding of the contemporary social relationships (Vainfas and Beatriz de Souza 1999). Therefore, reporting as being religious is not equal to frequently attending congregations and consequently does not guarantee that religious affiliation can promote and internalize the community orientation values required for civic engagement. Thus, although it has not been inferred in the frequency of religious engagement, it can be assumed that the lack of association between being religious and community involvement is due to the low frequency of participation in religious congregations.

Statistical Methods

One of the outcome variables is a count variable, the 'number of community groups (formal or informal) to which a person belongs'. Following Polson et al., the current standard in this situation is to use a Poisson or negative binomial model "Because a count variable is not a truly linear variable and is not typically characterized by a normal distribution, it violates the assumptions of ordinary least squares estimation" (Polson et al. 2013:767). Moreover, as in this case we are not dealing with over-dispersion the Poisson regression model is more suitable for the analysis.

As reported, the other two outcome variables, referring to volunteering service and community involvement, are dummy variables and thus in these cases logistic regression models were used to infer the intended results.

5.3.2. The results

Before introducing the results is important to note that these should be read with care in regard to their ability to establish causality. As the engagement in leisure and cultural activities was not randomised across our sample, we are dependent on the data we observed and statistical methods for controlling for

differences between participation and making inferences about causality. Moreover, there are always important prospective factors that we cannot observe or control for, and these may be the factors driving the observed relationships between cultural and leisure activities and civic engagement.

For example, people who are more convivial may be more likely to participate in cultural and leisure activities and to demonstrate intensive forms of community involvement. In this case the association between engagement in activities and civic behaviour can be due to their personality, and not to the participation itself.

Also, there was one respondent who reported belonging to an informal dance group and also had a high frequency of attendance at dance shows. Thus, in this case the person's passion for dance could explain their enrolment in the informal group and not the dance show attendance itself.

Likewise, the problem of reverse causality might arise where are pro-social attitudes that explain cultural and leisure participation, rather than the other way around.

Relatively to our first hypothesis exploring how cultural activities affect citizenship in contrast with other leisure activities this were tested as following.

> A.1*: Higher levels of cultural participation increase* ***the number of community groups, associations and clubs (formal or informal) to which a person belongs*** *in contrast with other leisure activities.*

The following table (Table 9) expresses the results for the Poisson regression model used to explore the associations between levels of participation in cultural and leisure activities and the number of community groups, associations and clubs to which a person belongs. The model entails all the presented controls and uses as the benchmark group the respondents who have never participated in the activities under analysis. The results are presented in incident rate ratios.

According to the table there are three free-time activities that tend to have a consistent and positive significant association with the number of groups a person belongs to, like attending theatres, reading books and visiting traditional festivals. For example, while holding the other variables constant in the model, the expected number of groups a person belongs is expected to increase by 153% for those who are high-level attendees of theatre compared with those who have never gone to a theatre play.

Moreover, almost all the occupations of free-time which are positively and significantly associated with the number of groups a person belongs to are related with cultural activities. One exception was 'going out to dance' – a leisure activity which results reported the expected number of groups a person belongs is likely to increase by 92% for those who go out to dance on a high frequency level compared with those who never go out to dance. In contrast, leisure activities, such as, playing video games and attending the circus, do not present

significant associations with the number of groups a person belongs to. In fact, the expected number of groups a person belongs is predictable to decrease by 93% for those who go to the shopping centre on a high frequency level, compared with those who have never went to the shopping.

Compared with the results for visiting exhibitions, visiting museums did not present any significant results with the number of groups a person belongs to. Part of this can be explained by the low number of museums in the area inquired (east São Paulo), where opportunities to visit exhibitions occur in non-traditional cultural institutions.

Table 9 - The incident rate ratios of involvement in community groups according to levels of engagement in cultural and leisure activities

	'high-level'	'medium-level'	'low-level'
1. Attend Theater	2.526*** (0.817)	2.095** (0.659)	1.702* (0.509)
2. Attend Dance Show	1.744* (0.511)	1.483 (0.388)	1.377 (0.328)
3. Attend Music Show	2.596* (1.293)	2.253 (1.127)	2.735** (1.317)
4. Attend Classical Music Concert	1.381 (0.727)	0.909 (0.313)	1.446* (0.311)
5. Visit Museum	1.610 (0.591)	1.278 (0.384)	1.009 (0.256)
6. Visit Exhibition	2.436*** (0.812)	1.527 (0.463)	2.624*** (0.669)
7. Visit Craft Fair	3.147*** (1.079)	1.810* (0.596)	1.406 (0.490)
8. Traditional Festivals	4.205** (2.359)	3.705** (2.002)	3.357** (1.871)
9. Attend Poetry Session	1.322 (0.431)	1.444 (0.458)	1.569** (0.354)
10. Frequent Library	1.494 (0.562)	1.965* (0.718)	1.379 (0.471)
11. Read Books	3.892*** (2.030)	2.924* (1.624)	2.987** (1.649)
12. Go to Cinema	2.805* (1.696)	1.468 (0.909)	2.530 (1.574)
13. Play Video-games	1.163 (0.309)	0.772 (0.289)	1.285 (0.491)
14. Go to the Shopping center	0.459 (0.591)	0.0606* (0.0963)	0.702 (0.990)
15. Attend Circus	1.773 (0.744)	0.961 (0.301)	0.761 (0.191)

16. Go out to Dance	1.916** (0.559)	1.074 (0.323)	1.402 (0.392)
17. Watch Films/TV	288123.9 (1.896e+08)	215466.4 (1.418e+08)	47401.65 (3.119e+07)

	'rarely practice'	'1-3 times a month'	'1-2 times a week'	'3-4 times a week'	'5 or + times a week'
18. Play Sports	0.448 (0.274)	0.709 (0.323)	2.020*** (0.452)	1.603 (0.468)	0.800 (0.430)

N=248. All the controls were included.
Robust standard errors in parentheses *** p<0.01, ** p<0.05, * p<0.1
In this case was conducted the goodness-of-fit chi-squared test for each regression results, which revealed the Poisson model was the one that better fit our data.

As for practicing sports, according to the sample this leisure activity does not present a significant consistent association with the number of community groups a person belongs to when compared to those that do not practice any sports at all. One exception goes to those who practice sports '1 to 2 times a week', which are expected to belong to groups 102% more than those who never practice.

Concerning the controls used, there were two variables that reported, in almost all the activities, consistent significant associations with the number of community groups a person belongs; namely, to be religious - those who reported to be religious are more expected to belong to groups and clubs (similar findings were encountered by (Polson et al. 2013)) - and the wage level - higher salaries are expected to decrease the number of groups a person belongs.

Summing up this discussion, the evidence provides some support for the hypothesis (A.1) that claims higher levels of cultural participation increase the number of community groups, associations and clubs (formal or informal) to which a person belongs, in contrast to other leisure activities. If not for all, at least for some of the cultural activities, namely, attending the theatre, attending dance and music shows, visiting exhibitions, reading books, visiting craft fairs and traditional festivals.

A.2*: Higher levels of cultural participation will increase* ***the aptitude for volunteering*** *in contrast to other leisure activities.*

The next table uses a logistic regression model to assess whether higher levels of cultural participation will increase the likelihood of aptitude for volunteer service. The models involve all the presented controls and used those respondents who have never participated in the activities under analysis as the benchmark group. The results are presented in odds ratios.

According to the table (Table 10), in general, free-time cultural activities such as attending the theatre, music shows, visiting exhibitions, reading books,

visiting craft fairs, attending popular festivals or poetry sessions tend to have a positively significant association with having an aptitude for volunteer service.

For example, the odds of having an aptitude for volunteer service is for those who are high-level frequency visitors at exhibitions 378% larger than those who have never visited an exhibition. Another example, the odds of having an aptitude for volunteer service is for those who are high-level attendees of traditional festivals 829% times larger than those who have never participated in these festivals.

Indeed, similar results were encountered by Hill (a study analysed on the Chapter 2 consultation) which concluded art gallery goers, classical music goers and book readers are more likely than non-readers to have volunteered in past year (Hill 2013).

It is interesting to note that in the three frequencies of engagement, going to the cinema was negatively associated with volunteering. In fact, the odds of having an aptitude for volunteer service is for those who are high-level frequency visitors of cinemas 79% smaller than the odds for those who have never went to the cinema. This negative link might be explained by the fact that 'going to the cinema' has been designated as a popular leisure activity for entertainment and not as a cultural occupation of free-time, as was previously categorised (Jeacle 2009). Indeed, although respondents were not asked concerning where they usually go to the cinema, it is known that, at least in Itaquera, all the cinema rooms are in shopping malls, emphasising the ludic characteristic associated with the activity (Prefeitura São Paulo 2016).

In fact, all the other occupations of free time classified as leisure, like watching films on television, playing video-games or going to the shopping centre, do not present significant associations with having a volunteer aptitude, expecting 'going out to dance'. The results reported the odds of having an aptitude for volunteer service is for those who go out to dance on medium frequency level 236% larger than to those who never go out to dance. However, the results were not consistent for other levels of engagement (high or low) in this leisure activity.

Table 10 - The odds ratio of having an aptitude for volunteering according to levels of engagement in cultural and leisure activities

	'high-level'	'medium-level'	'low-level'
1. Attend Theater	2.523* (1.226)	1.936 (0.861)	1.225 (0.495)
2. Attend Dance Show	1.864 (0.999)	4.927*** (2.011)	2.785*** (1.027)
3. Attend Music Show	3.452* (2.287)	4.115** (2.666)	2.497 (1.573)
4. Attend Classical Music Concert	4.124 (3.801)	4.077** (2.249)	2.936*** (1.041)

5. Visit Museum	1.316 (0.819)	2.728** (1.243)	0.905 (0.353)
6. Visit Exhibition	4.777*** (2.492)	3.934*** (1.678)	1.572 (0.610)
7. Visit Craft Fair	5.234*** (2.729)	3.078** (1.423)	2.323* (1.104)
8. Traditional Festivals	9.289*** (8.006)	12.65*** (10.42)	7.466** (6.210)
9. Attend Poetry Session	3.117** (1.791)	1.756 (0.911)	2.306** (0.853)
10. Frequent Library	2.110 (1.152)	4.169** (2.371)	1.093 (0.513)
11. Read Books	6.884*** (4.606)	6.026** (4.296)	2.961 (2.078)
12. Go to Cinema	0.211** (0.134)	0.293* (0.187)	0.184** (0.128)
13. Play Video-games	0.619 (0.233)	2.019 (1.106)	1.477 (0.897)
14. Go to the Shopping center	0.816 (1.274)	1.627 (2.576)	3.477 (5.827)
15. Attend Circus	2.292 (1.967)	1.989 (1.011)	1.097 (0.448)
16. Go out to Dance	1.902 (0.913)	3.356*** (1.533)	1.941 (0.847)
17. Watch Films/TV	0.847 (1.264)	0.694 (1.122)	0.365 (0.640)

	'rarely practice'	'1-3 times a month'	'1-2 times a week'	'3-4 times a week'	'5 or + times a week'
18. Play Sports	1.520 (0.818)	1.750 (0.916)	1.422 (0.517)	0.857 (0.394)	1.064 (0.696)

N=248. All the controls were included.
Robust standard errors in parentheses *** p<0.01, ** p<0.05, * p<0.1

As for practicing sports as a leisure activity, according to the sample, physical activity does not present a significant association with volunteer service compared to those that do not practice any sports at all.

Concerning the controls used, there were three variables that reported, in almost all the activities, consistent significant associations with having an aptitude for volunteering. The age level and not having children, increases the odds of having an aptitude for volunteering, and being a student decreases the likelihood of volunteer service.

Summing up this discussion, the evidence provides some support for the hypothesis (A.2) that claims higher levels of participation in cultural activities will increase the likelihood of voluntary aptitude, in contrast with other leisure activities.

A.3: *Higher levels of cultural participation will increase* ***the likelihood to cooperate with neighbours to solve a community problem*** *in contrast to other leisure activities*

The next table (Table 11) again uses a logistic regression model to assess whether higher levels of cultural participation will increase the likelihood of have cooperated with neighbours to solve a community problem in contrast with other leisure activities. The models involve all the presented controls and used the respondents who have never participated in the activities under analysis as the benchmark group. The results are presented in odds ratios.

The table reveals that in this more intensive form of community involvement there are fewer associations between pursuits of free time and the likelihood of having cooperated in solving a community problem. Moreover, once more, there are mainly the cultural activities, like attending the theatre, dance shows, reading books, visiting craft fairs, attending popular festivals or poetry sessions that tend to have a significant positive association with having cooperated with neighbours to solve a community problem. For example, the odds of cooperating with neighbours to solve a community problem in the past year (2014) is for those who are high-level frequency visitors at craft fairs 974% larger than the odds for those who have never visited a craft fair. Another example, the odds of cooperating with neighbours to solve a community problem is for those who are high-level attendees of theatre plays 268% larger than the odds for those who have never went to the theatre.

To the contrary, the results show that leisure activities do not present, in general, a significant positive association with community involvement In fact, the odds of cooperating with neighbours to solve a community problem in the past is for those who are medium-level frequency visitors of shopping centres 97% smaller than the odds for those who have never went to shopping centres.

Table 11 - The odds ratio of community involvement according to levels of engagement in cultural and leisure activities

	'high-level'	'medium-level'	'low-level'
1. Attend Theater	3.678* (2.686)	4.402** (2.962)	2.432 (1.603)
2. Attend Dance Show	3.412* (2.337)	3.531** (1.991)	1.640 (0.930)
3. Attend Music Show	3.967 (3.512)	2.371 (2.069)	1.026 (0.901)
4. Attend Classical Music Concert	1.331 (1.576)	1.312 (0.962)	2.175* (1.007)
5. Visit Museum	1.344 (1.132)	2.003 (1.219)	0.792 (0.443)

6. Visit Exhibition	3.269 (2.427)	2.651 (1.629)	2.586* (1.465)
7. Visit Craft Fair	10.74*** (8.564)	3.490* (2.600)	2.049 (1.574)
8. Traditional Festivals	11.46* (14.44)	5.664 (6.980)	6.016 (7.526)
9. Attend Poetry Session	4.530** (2.956)	2.820 (1.812)	1.445 (0.781)
10. Frequent Library	1.551 (1.094)	2.547 (1.821)	0.366 (0.252)
11. Read Books	7.387* (8.130)	3.463 (4.084)	2.560 (3.016)
12. Go to Cinema	0.641 (0.499)	0.397 (0.322)	0.751 (0.633)
13. Play Video-games	0.993 (0.576)	2.116 (1.536)	0.951 (0.883)
14. Go to the Shopping center	0.296 (0.496)	0.0314* (0.0600)	0.498 (0.893)
15. Attend Circus	(1)	3.777* (2.636)	1.673 (0.979)
16. Go out to Dance	1.556 (1.068)	2.723 (1.711)	1.495 (0.953)
17. Watch Films/TV	0.0908 (0.153)	0.0751 (0.143)	0.0870 (0.180)

	'rarely practice'	'1-3 times a month'	'1-2 times a week'	'3-4 times a week'	'5 or + times a week'
18. Play Sports	1.231 (1.094)	2.623 (1.918)	2.235 (1.238)	2.587 (1.676)	0.771 (0.874)

N=248. All the controls were included.
Robust standard errors in parentheses *** p<0.01, ** p<0.05, * p<0.1
(1) All those who reported 'high-level' attending at circus have not been involve in solving community problems. Therefore if we attempt to predict 'community involvement' on the basis of 'high-level' attending at circus, the predicted probability is zero and the logit coefficient minus infinity. By restraining ourselves to finite coefficients and for the model to be fitted, it eliminates the 'high-level' attending observations and continues to fit the model without it.

Once again, as the table bellow illustrates, physical activity does not present a significant association with community action when compared to those that do not practice any sports at all.

Concerning the controls used, only one reported consistent, positive and significant association with the odds of engaging in community action in the neighbour. Concretely, respondents which civil status is divorced see their odds of community involvement increase.

Therefore, the evidence sustains hypothesis (A.3). Even if for a smaller number of activities, the higher level of cultural participation increases the likelihood of having cooperated to solve a community problem in the past year, in contrast

with other leisure activities. Indeed, going on regular basis to shopping centres decreases the likelihood of having a pro-active social behaviour.

Relative to our second group of hypotheses exploring how those who are Sesc Itaquera regulars see their likelihood of civic engagement and cooperative behaviour increase (B.1, B.2, and B.3), none of these were supported.

Regarding the independent variable 'Sesc Itaquera Frequency,' according to the sample, the regularity of engagement in Sesc Itaquera activities does not present significant results concerning the number of community groups to which a person belongs, volunteering or cooperating with neighbours to solve a community problem in the past. The table bellow (Table 12) presents the results using as the benchmark group the respondents who were visiting Sesc for the first time.

Table 12 - The likelihood of civic engagement according to the levels of engagement in Sesc Itaquera

	Belonging to community groups (1)	Aptitude for volunteering (2)	Community involvement (3)
'1 to 3 visits a year'	1.230 (0.417)	0.949 (0.503)	2.354 (2.096)
'4 to 6 visits a year'	1.012 (0.457)	1.225 (0.793)	0.672 (0.882)
'1 visit per month'	0.861 (0.324)	0.992 (0.549)	1.334 (1.266)
'2 or more visits per month'	0.973 (0.328)	0.701 (0.354)	2.202 (1.910)

N=248. All the controls were included.
Robust standard errors in parentheses
The model performed in (1) was a Poisson regression model and results are presented in incident rate ratios; in (2) and (3) were performed logistic regression models and the results are presented in odds ratios.

The discussion

First, the results obtained by analysing the Sesc Itaquera audience show that cultural activities (namely, attending the theatre, reading books, visiting craft fairs, attending popular festivals or poetry sessions), compared to other free-time leisure activities (like, playing video-games, going to the shopping centre), are more significantly associated with social capacities for citizenship, specifically with the proxies used to measure 'social capital' and 'community involvement'.

These findings are connected with a theoretical interpretation that stresses that the spaces which better allow optimizing free-time pursuits are those dedicated to culture (Mantero 2000). As McCarthy et al. have argued; 'there is something different about the arts' which confines to it a function of social learning that cannot be extended to every leisure activity. Also, as Goodlad

et al. said about the effect of arts participation on building social capital; "It is felt to have an advantage over certain other types of community participation in that participation, whether as member of an audience or as artist, is likely to have intrinsically more appeal than some traditional forms of personal and community development" (Goodlad, Hamilton, and Taylor 2002:4).
Moreover, the results confirm that physical activities are not associated with any form of civic community behaviour, thus showing that sports, compared to the arts, are not better vehicles of free-time pursuits for strengthening individual levels of civic engagement. Although this does not mean that sports do not have a role in communicating values - "there can be little doubt, that is a ritual or custom expressing shared values and as a way of affirming and consolidating group identity" – it means that sports do not "embody creativity but only technical skill" and so are probably less powerful in stimulating critical and civic capacity, the elements which drive citizenship growth (Throsby 2001:5).
Additionally, by analysing heterogeneous artistic inputs the empirical approach revealed that not all forms of cultural engagement are equally allied to social capital and community involvement. Similar findings were found by Hill, who argued that not all forms of artistic practice are equally related to volunteer service (Hill 2013). Therefore, the data overcomes one of the previously identified methodological challenges of social impact assessment – 'the homogeneity of the treatment'.
Moreover, the empirical work reveals that all individuals might not benefit from the expected outcomes of experience in the same way, as there are segments of the population who have a higher likelihood of building social capital or of community involvement than others. Tepper inferred similar conclusions, when arguing that artistic practice might benefit some population groups more than others when it comes to wellbeing (Tepper 2014). Therefore, the results contradict the 'homogeneity of the effects' – another recognised methodological challenge of social impact assessment.

Nevertheless, the efficiency of cultural activities in effectively inducing social education and building citizenship cannot be fully supported, as the collected data and statistical methods followed impose limitations to establishing a causal link between cultural practices and social learning processes. If nothing else, because reverse causality, as discussed, might rightly ask; "Do arts programs build social capital, or are communities with higher social capital more likely to initiate arts programs?" (Guetzkow 2002:17).

In fact, Guetzkow's answer to this question was "'both.'…Communities with greater social capital are more likely to initiate arts programmes, but those programmes may further promote the building of social capital…social capital would not have improved in the same way and to the same degree had the arts programmes been absent. When seen from this perspective, selection issues –

when recognized and handled appropriately – arguably do not present an intractable problem to arts impact studies" (Guetzkow 2002:17).

Indeed, the significantly expressive results of this work, associating social capital proxies with cultural activities participation, indicate that these practices might have this very particular role, through their creative and communicative nature, in inducing community-oriented values and fostering social connections (Crooke 2007). In addition, they also provided some consistency to the proposed chain of community-level social impacts (Chapter 3).

Thus, although caution should be taken when extending these results, it can be claimed that these are aligned with the role of culture in providing opportunities for inducing an on-going process of social learning and value communication in a community – the 'pervasive role' of culture on urban life (Throsby 2001) – which was previously explained by the capacity of cultural experiences for inducing creative and expressive stimulation through a system of meanings and symbols they convey.

Second, but most importantly, the results showed that Sesc Itaquera regulars do not see their likelihood of civic engagement and cooperative behaviour increasing, which raises the question – 'Why is the Sesc São Paulo programmatic strategy for social-education and citizenship failing in Itaquera?

The Sesc São Paulo strategic policy intends to attract people to each unit by offering a specific combination of activities related to each territory's requirements, and once people are in the centres they are stimulated through informal social learning processes. Yet, the Sesc Itaquera policy of social education might not be following the expected progression, at least according to the results.

Different reasons can be explored to understand why this is happening:

- In this specific unit and according to the sample, the main three motivations to visit Sesc Itaquera were to spend the day with family and friends, to practise sports or to use the outdoor swimming-pool. None of these activities are related to cultural activities, which are the ones more capable of inducing citizenship capacity.
- Moreover, and again according to the sample, half of the people that regularly frequent Sesc Itaquera visit the space in already established groups - family or friends with whom they experience the visit - making this audience less likely to interact with others in any type of activity from the start. Nevertheless, as discussed earlier, social interaction is a key driver for imparting community-oriented values.
- Additionally, most of the Sesc Itaquera regular visitors are from the same social class (76% received less than 4 minimum wages) and the same geographical area (the eastern part of the city 76%), which means that in this case the 'bridging' connection tends to occur less and the reinforcement is towards building social cohesion in a more or less

homogeneous environment. However, as discussed earlier, the 'bridging' connections that bring different people together are the ones that tend to reinforce community awareness.

- Also, from analysing the 2015 Sesc Itaquera report, which counts the number of participants in the unit according to education, health, culture, leisure and assistance activities, it was possible to conclude that from 2005 to 2014 the greater number of participants were consistently biased towards assistance and leisure activities (SESC São Paulo 2015). This reveals that this unit mainly provides leisure and assistance content to its users, and much fewer cultural opportunities.

These factors illustrate that Sesc Itaquera has not been providing a balanced range of activities in its unit, and leaving the artistic practices behind makes its strategy for social education less efficient. Subsequently, having shown that cultural pursuits are more significantly associated with citizenship indicators than other leisure activities, the institution should rethink its offer of activities.

This discussion is very specific to the results at Sesc Itaquera and cannot and should not be projected to other units, particularly to more urban units where the balance of activities, emphasising cultural experiences and a heterogeneous audience, is more expected to stimulate the 'bridging' links required for community involvement.

Nevertheless, there are other forms of informal learning and community-oriented value sharing implemented by Sesc units which are also present in Sesc Itaquera: from the roles of the staff, the clean facilities, and the democratization of access to quality green areas similar to hotel resorts (like the figure illustrates).

Figure 20 - Sesc Itaquera

Perhaps the decision to bias the supply of activities towards assistance and leisure content, in what is undoubtedly a more rural and leisure intensive unit, might be in answer to the specific needs of the district of Itaquera.

Or even this unit might be fulfilling a different role in the Sesc network, more relevant to the city itself, which Fonseca once called the 'cultural version' of the 'The Pied Piper of Hamelin' – where an institution has a role of attracting and moving a lot of people through its programmes (Fonseca 2014). In fact, Sesc Itquera is the most visited facility of all the Sesc units in São Paulo.

According to Fonseca there are two visual maps where the citizen circulates in an urban setting, the 'mental map', which defines the places where the resident transits daily, work, home, family, friends, and the 'affective map' of the places in the 'mental map' that are most important to the individual (Fonseca 2014).

Observing the citizens of São Paulo, Fonseca says that if these two maps are not overlapping the urban environment becomes an archipelago instead of a system, and opportunities for constructive free time activities, which can induce community morality or any type of 'affective synapse modification' are reduced (Fonseca 2014). Indeed, the urban city environment and informal public spaces are the more socially diverse territories where the main cultural gatherings and exchanges take place, especially for youth (Leiva 2014).

In this regard, Sesc São Paulo has an unquestionable role in providing a relatively dense network of facilities that can join the urban maps and favour a system of connections, as the qualitative analysis described.

Finally, regarding methodology, we acknowledge that the questionnaire designed for the Sesc Itaquera audience might have presented some controversial categorisations of the leisure and cultural activities and the scales of engagement, although they were based on previous audience profile studies in Brazil (Leiva 2014). Moreover, it is recognised that although this work is original in providing evidence on the relationship between cultural activities and community social education, to effectively prove their roles in building citizenship is still a work in progress.

Chapter 6. Culture, Arts and Development – final considerations

The whole research was motivated by a general concern advocating that a multidisciplinary approach of the cultural sector's roles in development, encompassing the humanities and social intangible dimensions, was required to build coherent theoretical frameworks, more rigorous empirical approaches and stronger policies and institutional strategies.

Subsequently, in order to unbiased and broader the debate of culture's role on development it was conducted a thorough literature review on social impact assessment studies inside the cultural sector, from which it was possible to document a quite range of extrinsic (instrumental) effects capable of inducing personal and territorial development, according to different types of art inputs, institutional providers and forms of participation. However, it became clear that in order to feed the evidence-based policies inside the cultural sector, social impact evaluations practices are hanging on accountability purposes more than on learning goals, i.e., it was concluded the social impact assessment has been more oriented towards understanding the individual extrinsic impacts of engagement in cultural practices rather than its collective capacity. In this sense, while remarking the collective dimensions of social impacts produced by the arts and culture have been less considered in the analyses, the review on empirical work has allowed narrowing the research motivation even more.

Specifically, by acknowledging those impacts and mechanisms of collective transformation tendentiously ignored, were perceived as the ones more capable to lead to the territories social and economic development: the role of culture on development is more efficiently prompted by the community-oriented values than by other channels of individual achievement motivation (Maridal 2013).

Hence the research tried to propose new theoretical framework and empirical approaches allowing interpret the mechanisms through which culture builds community-level social impacts.

Theoretical frameworks

Concerning the proposed chain of cultural activities community-level social impacts, which aligned a set of social capacities brought by culture, two comments can be made at this final stage.

First, the theoretical framework suggested is no more than a potential chain of social impacts propagation, which recognises the reality in social transformations is profoundly marked by a complex system of unpredictable, counter current, high-impact events, unlikely to be easily represent or interpret

by linear and hierarchy formulations. Indeed, understanding the complexity and diversity of the social intangible transformation and particularly what motivates people to actively participate in social change is difficult, since many contextual and historical factors can affect the behaviour and individuals attitudes.

Second, even if accounting these non-linear, non-automatic and non-homogeneous elements of the effects and the context of departure, it was perceived culture's ability to prompt social capacities is fundamental for sustaining development. Indeed, by acknowledging people as the beneficiaries and the drivers of development, the expansion of people's 'capabilities' is the core issue for shaping sustainable development processes (Klugman 2010).

In this regard, the proposed theoretical framework highlighted culture and the arts can have a strategic function on sustainable community development. Concretely, culture by inducing a transversal on-going process of social learning, which results on specific social capacities (namely, social capital building and leadership and organisational skill), can stimulated a system of networks demanded to forge bottom-up process of collective action and to sustain cross-boundary dynamics.

Therefore, this identified function of culture within sustainable development exposes the symbolic value brought by culture should not only be attached to its capacity to produce economic externalities, but also to culture ability to produce social and intangible externalities. Moreover, it represents an alternative strategy to traditional models of governance and growth, while disseminating community oriented values required to mediate, through a complex system of networks, the process of social change.

Empirical approaches

When it came to measure these community-level social impacts and social capacities two empirical approaches were conducted, building new measurement perspectives. Above all, these were useful to infer three main considerations.

First, it is not possible to measure 'in a row' the propagation of social capacities at the collective level. In fact, it is not only difficult to isolate the role of culture in social capacities building from other external factors (McCarthy et al. 2004); but it is also challenging to disentangle these community oriented social values from each other (Goodlad, Hamilton, and Taylor 2002). Therefore the empirical work has to be confined to analysing segmented categories of the social capacities (like it was the case of 'crime', 'social capital' and 'community involvement').

Second, is difficult to overcome all the methodological challenges at the same time, certainly the confrontation of ones has to be made in detriment of others, i.e., while the first case study concentrated on causality issues, the second was determined in understanding heterogeneity in the treatment. The first paper was able to overcome the 'linearity of effects' (when proving the annual impacts are not consistent to scale), the 'sustainability of the effects' (for at least two years),

the 'isolation of the effects' and the 'causality of the effects' (showing a causal link between the cultural intervention and crime reduction) and the 'homogeneity of effects' (arguing the same effects should not be expected in all cities hosting ECoC initiatives). The objective of this case study was exactly to propose an empirical approach capable to establish a causal relation between a cultural programme and an intangible form of community revitalisation, through a very concrete identification strategy, and in this respect the objective was achieved. The second paper was able to overcome the 'homogeneity of the treatment' (showing not all forms of cultural engagement are equally allied to social capital and community involvement) and the 'homogeneity of the effects' (revealing individuals might not equally benefit from the expected outcomes of experience). Yet, the collected data and statistical methods followed unable providing any conclusion on the other methodological challenges identified.

Third, retaking Everitt and Hamilton argument on the two purposes of evaluation (ensure accountability for the public money being spent or provide learning processes from cultural and art experiences) (Everitt and Hamilton 2003); the conducted empirical works have attempted to understand the processes and nature of the mechanisms of social change produced by culture at the collective level, having in mind "not an experimental science in search of law but an interpretative one in search of meaning" (Geertz 1973:5). Concretely the two approaches allow identifying new drivers and to support the previous drivers of change proposed by the community-level social impact chain (social interaction and communication). The ECoC work emphasised three drivers brought by these programmes and fundamental for the civilising process, the opportunities for social interaction and for celebrating (expressing) community values systems, while engaging in informal and spontaneous experiences. The Sesc stressed three drivers brought by their leisure and cultural programme and fundamental for social education, the opportunities for expression, social interaction and experiential learning.

Therefore, from the empirical works (as even from the literature review on social impact assessment studies) it was possible to verify that while facing a wide diversity of cultural activities, forms of engagement, objectives, beneficiaries, providers, time frames, contexts of action and perception of success, it is not possible to propose a single 'magic formula' to assess the social impacts of cultural activities, although some consensus on the measurement methodologies can be induced. This observation does not seek to encourage a drop in the measurement programmes, quite the contrary it intends to emphasise that the challenges associated with evaluating the social intangible externalities of culture demand rigorous impacts evaluation methods designed to answer to the particularities of each context under analyse.

Institutional strategies

Concerning where does the cultural institutions fit in this urban setting turned into the intangible social dimensions of culture role on territorial development, three remarks were deduced.

The first remark regarding institutional strategies is that throughout the research, and mainly during the bibliographic review, it was understood there are multiple providers of cultural activities, which have been recognising and exploiting culture extrinsic (instrumental) function, beyond the traditional cultural institutions.

Indeed, it was perceived that there are the less traditional cultural institutions those that tend to be more aware and open for culture and the arts role on individual and community development. Nevertheless, this does not mean that cultural institutions by themselves don't have also an instrumental function. As it was seen what is account as an extrinsic (instrumental) function of culture is not equal in all types of institutions, programmes and activities. Thus, traditional cultural institutions like museums can have a more crucial role on social learning processes and social capital building, internalised in their main reason, than they actually imagine.

The second remark reflects that the identified drivers and factors through which culture role on community revitalisation can be more effectively achieved, should be internalised by institutions plans of action, in order for them to produce more significant engagement opportunities and maximise their external roles.

The empirical observation allowed identifying factors of effectiveness through which cultural programmes can enhance social capacities. Specifically, on the ECoC programmes, three factors were encountered, the programme's ability to enrich the physical environment (where the renewal and celebration of cultural – physical and immaterial - heritage can forge new behaviours in the public space), to engage the population (where citizens active role can give them opportunities to develop crucial skills for collective action) and to produce quality activities (where creatively exploring territory's symbols can induce informal learning processes). Moreover, for institutions to internalised this into their plans, it will be also interesting to take a look and get inspired on the factors that prompt change in Sesc São Paulo action plan: 'the constant pursuit of efficacy in Sesc actions through observing the needs of the society intervened', 'the observation of other experiences' and 'the continuous development of technical competencies'. Still, this all will depend on the institutional position regarding an instrumental function.

The third remark examines the evaluation practices and outcomes produced can have a very significant role in evidencing the institutional ability to forge social change, in recognising where the institution fits in the urban ecosystem and in supporting the management and decision-making processes. Also, outcomes produced by an institution on a territory, are important to be communicated to

the public, which in the end can be more aware and responsive of the institution relevance to the community. Yet, for institutions that already have to deal with complex operational and management issues, impact evaluation will only be useful came if simple, valuable frameworks could be integrated in their daily practices.

Subsequently, beyond institutions is important to question where do the artist feet in this planning equation. As discussed, some artists' see their freedom could be put into question, when conflicts are created between the endogenous rationale of the artistic creation and the exogenous rationale of the extrinsic values of culture (Greffe, Ben Salem, and Simonnet 2015). Therefore, it could be useful to encourage spaces for debating culture roles on development among artists for their awareness of culture and the arts capacity for impact the creative community fabric and for convey a system of values.

Policy actions

Lastly, is important to understand this function of culture of mediating community action and social transformation by imparting community-oriented values through particular processes of experiential learning, stimulating creativity and opportunities for expression and social interaction, providing alternative grounds for cultural-based development policies beyond the traditional economic and financial rationales. Two considerations arise from the policy actions theme.

First, it is crucial to explore how these social externalities of culture can be incorporated and stimulated in the political agenda.

As advocated, this role of culture is understood as the 'glue' that sets the foundation of networks, relationships and behaviours (tolerance, trust) at a profound and transversal level in society. Therefore, there is nothing better to stimulate it than encouraging cross-sectorial, transdisciplinary policies of intervention, with innovative models of governance, which allow the 'pervasive' role of culture in urban life to flow. Here the operationalization models of cultural programmes like the ECoC are a good example of an efficient strategy to promote social transformation sustained on cross-sector dynamics grounded on culture. Nonetheless, other top-down initiatives can be implemented for this role to grow, such as stimulating opportunities to debate the role of the different cultural institutions in a community, how they are connected with each other, and what their outcomes and limits to progress are. Also, even outside the institutional settings there are activities like home-based arts activities (patchwork, flower arrangements, playing a musical instrument or producing audio-visual content, which are significantly increasing, mainly due to technology) that should not be discarded from the picture as they can provide a significant contribution to community revitalisation. Even if these activities normally do not stimulate social interaction, they are capable of enhancing creativity and opportunities for expression. Here local governments can take an

important role in providing equal and democratic access to quality free-time activities, by targeting arts-based pursuits. Indeed, the higher the discrimination is in accessing these artistic, creative, spontaneous inducers of social capacities, the higher will be the social exclusion gaps and cleavage in society.
Nevertheless, this does not mean that bottom-up processes of action should not be considered in community revitalisation, quite the contrary, the intangible social dimensions of culture are facilitated over time by a combination of top-down (political and formal) and bottom-up (community and informal) interventions. As we have seen, by transporting symbols and references culture and the arts provide tools to stimulate discussion and to help citizens to position themselves in community life, which by itself can forge bottom-up processes of action and contribute to engagement in democratic civic life.
Second, from a policy action perspective the question is not only how culture and the arts programmes produce impacts, but whether a policy based on culture is more efficient that a policy based on other specific sectors. In this sense, this study argues that although other type of programmes (like leisure occupations) are also able to stir creativity, spontaneity and induce critical capacity, culture has a particular role in providing opportunities for building a pluralistic and democratic society as it conveys symbolic meanings through its experience.
Therefore, through awareness of the full set of externalities produced by culture and the arts, cultural-based development policies can manage cultural resources accordingly.

To close, the debate over the role of culture and the arts in development has shown that culture's function in growth can work in many different ways, some of which are more easily trackable and perceivable than others. Nevertheless, this should not discourage policy-makers, institutions, artists, cultural professionals and the public from seeking to understand the wide range of external functions of culture, and most of all to act accordingly.

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Annex 1. The economic appraisals literature review

The reported 'key findings' are not extensive but indicative of the type of study developed.

Title	Summary	Key Findings	Impacts analysed	Methodology
The Economic Importance of the Arts in Britain (Myerscough 1988) UK	One of the first publications regarding the economic impacts of arts projects. Cover three case studies regions: Merseyside; Glasgow; Ipswich.	The arts have annual turnover of £10 billion, produce direct employment to 496.000 people equivalent to 2.1% of total employment. The sector generates growth in supplementary industries, improves the image of a region and makes the region more attractive, a better place to live and work.	Organisational structure Local image Region self-confidence Sector turnover Sector employment Estimated employment Estimated turnover economy	Financial survey method, 23 different surveys: census of arts organisations and enterprises in the three regions (business, geographical and sectorial information); surveys of particular cultural industries, arts customers, auxiliary businesses, resident population in the three study areas, and middle managers; interviews with senior business executives; enquiries to individuals in the arts, business, tourism sectors, public agencies and local authorities, postal surveys, survey of the arts trade plus additional surveys for a national overview. The use of nearly identical methodologies in the three case studies allows comparisons between the regions. The indirect effects of the arts sector on income and jobs in other sectors were assessed, and their differential effects on other parts of the arts sector, by using a proportional multiplier analysis for the three regions.

Title	Summary	Key Findings	Impacts analysed	Methodology
Creative Industries mapping document (DCMS 1998) UK	The first mapping of the Creative Industries in the UK, which identifies the cultural and creative activities as a driver of economic growth. Creative Industries are those industries which have their origin in individual creativity, skill and talent and which have a potential for wealth and job creation through the generation and exploitation of intellectual property: Advertising, architecture, art & antiques market, crafts, design, designer fashion, film & video, interactive leisure software, music, performing arts, publishing, software & computer services, television & radio	The UK advertising sector has gross revenues of £13.3bn; contributes in £2.9bn to the national economy ("value-added"); employs 96.000 people. The total turnover of the UK art and antique market industry in 1996 was estimated to have over £2.2bn and employs over 26.300 full-time people. The UK film industry attracted gross revenues of £920m in 1997 and employed 33.000 people.	Total turnover GVA Balance of trade Sector employment	It is the first national study that identified the multiplier effect of the cultural and creative industries in the rest of the economy.

Title	Summary	Key Findings	Impacts analysed	Methodology
The Cultural Production Sector in Manchester, Research and Strategy (O'Connor 1998) UK	The study provided a mapping of the cultural production sector in Manchester; construct a database of the cultural sector, as also a strategic guide. Manchester area covered former Manchester TEC: cities of Manchester and Salford, metropolitan boroughs of Tameside & Trafford. Discuss issues regarding the definition of the sector. Database of the sector involved 12 cultural industries sub-sectors that were identified and characterized: Craft/Design; Visual Art; Multimedia; Architecture; Performance; Photography; Film/Media; Authorship; Music; Heritage; Advertising; Education. Alert that the value-chain model proposed in the mid-80s by Comedia for understanding the cultural industries seems a sequential process, beginning with idea generation. But for the author reality is much more complex than that and the cultural intermediaries are important.	Building database: 3.734 enterprises working at the sector in the Manchester TEC area. 18.058 people employed (3.6% of workforce), 28.241 in Greater Manchester (3% of workforce). Estimate total cultural sector employment (cultural industries plus cultural workers in non-cultural industries) as 31.500 in the City Pride area (6%) and 47.000 in Greater Manchester (4.9%) Large enterprises (> 50 workers) lead the sector Estimated sector turnover from direct jobs in Greater Manchester is £627 million per annum The sub-sectors film/media, authorship and architecture, represent those where the employment levels is higher. Manchester is clearly acting as a regional centre for the cultural sector.	Employment characteristics Sector employment Sector Self-assessment Estimated employment Estimated sector turnover (local economy) Urban regeneration New cultural infrastructures Organizations structure Social access and participation	Mapping the cultural sector. Construct a database of the cultural sector: Survey work of local enterprises to access financial and employment data: postal, telephone and personal enquiries, over a 7 month period (October 1997 – April 1998); a questionnaire to key players asking for responses on strengths/weakness, needs/potentials of the local sector/sub-sectors; Employment Survey; Key Player Discussion Groups (10 small workshop); advocacy document and dissemination. Created a database of 3.734 enterprises. Develops a complex method for the estimation of the employment pattern among those enterprises which were known but for whom no accurate employment data was gathered. Using productivity multipliers for cultural sector jobs established in other input-output studies, estimated the sector turnover per annum in the local economy. Uses of innovative methodology, which attempts to address limitations of Standard Industrial Classification/Standard Occupational Classification codes.

Title	Summary	Key Findings	Impacts analysed	Methodology
The Wyndham Report: The economic impact of London's West End theatre (Travers and Market & Opinion Research International 1998) **UK**	A study of the economic impact of West End Theatre on the London and UK economy, recognized as one of the biggest tourist attractions. The Wyndham Report commissioned by The Society of London Theatre.	11.5 million seats were sold in 1997. Audience from West End Theatre spent £433 million on hotels, transport, restaurants and merchandise, in 1997, and £250 million on tickets. The economic impact of the theatre cluster, on UK economy, was estimated at £1.075 million. Theatre cluster employ 41.000 people (27.000 directly), produced tax revenues of more than £200 million. West End theatre contributed to a £225 million surplus to the UK's balance of payments in 1997. This cluster is important for London's area economic success.	Sector employment (direct, indirect) Estimated audience expenditure (London) Sector income (direct, box office) Estimated turnover economy (UK) Tax revenues Estimated induced additional expenditure	Financial Survey Model and posterior estimation of induced effects on spending and employment. Sample of 50 theatres managed by Society of London Theatre. Based on box office data, data on theatre and audience spend, government employment data, to calculate the economic impact of the theatre cluster. Data was compiled by MORI from fieldwork between November 1996 and November 1997.

Title	Summary	Key Findings	Impacts analysed	Methodology
The Economic Impact of the Arts and Cultural Industries in Wales (Bryan et al. 1998) **UK**	Study of the economic impact of the arts and cultural industries in Wales. Primarily 6 sectors of arts activity were identified: performing arts; visual arts, craft and design; literature and publishing; media; libraries, museums and heritage; general cultural. Low response rate to questionnaires.	A financial picture of the sector was produced and the qualitative information shows some issues, weaknesses and opportunities of the sector. Arts and cultural industries in Wales: Employ 28.600 people, 2% of Wales Working Population. Total turnover estimated of £836 million and spend approximately £546 million in Wales	Sector employment Workforce profile Organisations structure Estimated audience expenditure Estimated turnover economy	Quantitative and qualitative data collected through questionnaires and interviews with a representative sample (986) of individuals and organizations of arts industries in Wales. Questionnaire to assess the economic activity (financial survey): employment, total earnings by source, purchases and estimates of the proportion of purchases brought within Wales, revenue and grants, overseas earnings. With the interviews the covered topics were: organisational structure, history and location; finance, capital and general resources; human resources; business networks; products and markets; future opportunities Input-output model for estimating the effect on the local economy.

Title	Summary	Key Findings	Impacts analysed	Methodology
Cultural Industries Key Data: The cultural industries in Yorkshire and the Humber (Roodhouse and Taylor 2000) UK	Study conducted to analyse the cultural industries sector in Yorkshire and the Humber, and give strategic information for regional policy development	Cultural industries workforce account 100.530 jobs The major subsectors are music and combined arts, which represent each 10.4% of total enterprises. Regarding the enterprises size, 9.4% have less than 50 employees and were launched in 1990, their major concentration are Leeds and Sheffield. The turnover of cultural industries is £3.8 billion, which represent 3.3% of the turnover of all local enterprises.	Sector employment Organisations structure Sector profile Longevity of enterprises Workforce profile Sector turnover	Sample of 25% (3.075) of total cultural industries database (12.300 enterprises). The mapping is based on secondary data and a postal survey questionnaire delivered to the sample of 3.075 database enterprises. The survey was analysed using Snap-4 software.

Title	Summary	Key Findings	Impacts analysed	Methodology
The Chichester Festival Theatre Economic Impact Study (Centre for Local and Regional Economic Analysis 2000) UK	Study focuses on analysing the economic impact of the Chichester Festival in its District.	Theatre visits from outside the district provide benefits in hotel and catering, social welfare, and recreation sectors. Chichester festival directly provides 200 full-time equivalent jobs. 1998/99, more than 350.000 attendances, (75% coming from outside the district in the Winter, and 80% in the Summer). Estimated income in loco, from November 1998 to 31 October 1999 is approximately £7.5 million. The total impact of theatre on the Chichester economy (output and jobs) is estimated between £7.8 and £26.6 million Estimated 'induced' additional expenditure into Chichester £9.5 million.	Sector (Festival) Employment Audience origin Audience # Estimated sector (Festival) income Estimated induced additional expenditure	Manager interview and financial review of the Theatre accounts. Financial Survey Model: to the local firms (475) of Chichester District to estimate direct expenditures of theatre audience in local business. Income derived from box office receipts. Input-output model to assess the effect of the theatre in local economy through the use of multipliers.

Title	Summary	Key Findings	Impacts analysed	Methodology
White Paper on the Economic Impact of the Arts and Culture Industry in San Jose (AMH Consultants, Inc. 2003) USA	A study focused on the assessment of the economic impact of the arts and cultural industries in San Jose.	Fiscal year 2001-2002. Expenditures by non-profit arts and culture organizations and their audience of 3.8 million, contributed over $177 million to the local economy, with 5.800 full time jobs (direct and indirect) and $18.2 million in tax revenue. The Miss Saigon performance during 3 weeks and with 34.747 audience number, generated $2.92 million.	Income generated Employment (direct and indirect) Audience spending Sector Income	Findings were generated using a model constructed by Americans for the Arts. The paper includes data from 115 small to large non-profit arts and cultural organizations/events

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Economic impact study of UK theatre (Shellard 2004)	Extended economic impact study of theatre in the UK, which includes all the building-based theatre in the UK, "Each theatre makes both direct and indirect contributions to the local economy. The direct impact: local spending on purchasing supplies; wages paid to staff that live locally. The indirect impact is the 'knock-on' effect generated by the direct impact, where spending money leads to more money being spent"(Shellard 2004:5)	Theatre sector is worth £2.6bn annum The average 'additional visitors spend' (encompassing expenditure on transport, food and drink, and childcare) per audience outside the West End (so in the rest of UK) is £7,77 and particularly in the West End it is £53,77. A sample of 259 theatres showed that they employ 6.274 people on a full-time basis and offer 5.700 part-time contracts; There are at least 16.000 volunteers working in UK theatres.	Estimated sector turnover (local economy) Audience spending Employment characteristics	541 theatres are considered to make up the building-base of UK theatre. For this study, data was collected from 308 (259 from outside London and 49 West End theatres) using a questionnaire As part of this study, three theatres undertook a detailed exercise looking at their local economic impact Other activities were undertaken to create a good awareness of the study and to generate the highest possible response rate

Title	Summary	Key Findings	Impacts analysed	Methodology
Bolton's Museum, Library and Archive services: An economic valuation (Jura Consultants	Reports focus on the economic valuation of Bolton's museum, library and archive (MLA) services: that has 3 museums, 15 local libraries and a central archive. Total budget of £6 million and 231 staff members. It moves away from the more traditional macro-economic analysis and	Bolton MLA' services were valued by users and non-users at £10.4 million (£7.4 million of the value comes from users). Relative to the amount of public funding, these services generate 1.6 times the value of this funding. For every £1 of public funding Bolton's	Economic valuation Economic impact on the local economy	Findings generated by using contingent valuation technique, covers users and non-users of the goods and services: values 'use value', 'option value' and 'existence value'. Bolton services were divided into the discrete categories of museum, library and archive users and non-users and a survey was undertaken using face-to-face questionnaires to ascertain profile and valuation of the services (using willingness to pay and willingness to accept questions). Sample of 325.

2005)	applies valuation techniques. Measures the economic impact through the value the individuals acquired beyond the price they pay.	MLA receives, it generates £1.60 of value for the Bolton economy. If public funding ends the Bolton economy would lose net benefits of £3.9 million.		

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Economic Impact Assessment Pilot Project (FPT Culture/Heritage and Tourism Initiative 2006) CA	The Federal-Provincial-Territorial Culture/Heritage and Tourism Initiative (FPTTI) was launched in November 2003 as a two-year pilot project to assess the economic impact of cultural sites. One of the 3 groups of research created was 'Economic Benefits Distribution Research Working Group'. Three cultural/heritage sites/events under the jurisdictions of working group members were selected to participate in the pilot project: Barkerville, Royal Saskatchewan Museum, Folk on the rocks. The research was undertaken in stages between July 2003 and January 2004.	At the Royal Saskatchewan Museum total trip spending can be estimated as $9.820.854,36 (weighted spending estimates). Its economic impact during the summer of 2005 on local GDP is of $402.362 and out of the province of $278.219. It was impossible to conduct an economic impact analysis on the Folk on the rocks. For Barkerville analysing results from such a limited sample size would not produce defendable, reliable estimates, so it was not conducted.	Audience spending Tax revenues Household income Estimated turnover economy Employment (direct and indirect)	3 cultural/heritage sites/events were selected to participate in the pilot project. In each site there were administered visitor surveys using handheld devices and/or paper surveys. After collected and analysed, data was inserted into an economic impact model –EIM- in order to estimate the impact of the site visitors on the greater economy. The EIM measure the economic impact within the province/territory and the one felt in all other provinces. The Royal Saskatchewan Museum survey had 272 respondents, which yielded 201 completed questionnaires. The Folk on the Rocks only 98 completed surveys. Barkerville provided the working group with 68 completed attendee surveys.

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The economy of culture in Europe (KEA, European Affair 2006)	The report was the first attempt to capture the direct and indirect socio-economic impact of the cultural sector in Europe.	The sector turned over more than €654 billion in 2003 The sector contributed to 2.6% of EU gross domestic product -GDP- in 2003. The overall growth of the sector's value added was 19.7 % in 1999-2003. In 2004, 5.8 million people worked in the sector, equivalent to 3.1% of total employed population in EU25.	Turnover Value added to EU GDP Contribution to EU growth Employment	Proposes a delimitation of the sector for the first time in distinctive dimensions: - Cultural sector – core arts field and cultural industries - Creative sector – creative industries and related industries In the absence of a European standardised data categorisations, specific methodology was developed: - To use whenever possible the existing statistical categorisations (four-digit NACE), that cover the sector, and collect the corresponding Eurostat data. - When the information was not complete the Amadeus database was used (pan-European database containing financial information on 8 million public and private companies) The report uses a formula generated by cross multiplications between NACE and ISCO codes representing cultural occupations and activities for obtaining employment data.

Title	Summary	Key Findings	Impacts analysed	Methodology
Staying ahead: the economic performance of the UK's creative industries (DCMS 2007)	This report follows the work of the 1998 and 2001 mapping of the Creative Industries in the UK. However, it articulates its definition with the KEA European Affairs proposal. Definition of creative industries (including 13 subsectors) based on the model of concentric circles.	The UK has the largest creative sector in the EU, and relatively to GDP probably the largest in the world. The creative and cultural industries account for 7.3% of the economy. Employ 1 million people themselves, while another 800.000 work in creative occupations	Estimated turnover economy Employment	Not available.

Title	Summary	Key Findings	Impacts analysed	Methodology
A summary of The Americans for the Arts Economic Impact of America's Non-profit Arts and Culture Industry (Harper and Cohen 2008) USA	A summary of the major document and study, 'The Arts and Economic Prosperity III', focused on the economic relevance of the non-profit arts and culture industry to communities, observing employment, government revenue and the tourism industry. Covered 116 cities	The non-profit arts and culture industry in the USA was found to generate $166.2bn in economic activity annually – with 24% increase in the last 5 years. The spending supports 5.7 million full-time jobs in the USA – an increase of 850.000 jobs since 2002 Spending by non-profit arts and culture organizations grew from $53.2bn to $63.1bn, between 2000 and 2005. Arts and culture tourists spend more and stay longer. The study reveals a significant contribution of arts volunteers to the economic impact produce by non-profit arts and culture organizations.	Estimated turnover economy Employment Organizations spending Audience spending Volunteering	Expenditure data was collected from 9.721 arts and culture organizations and 151.802 of their attendees. Data collection instrument: organizational expenditure survey and audience expenditure survey Input-output analysis models were customized for each study region to provide specific and reliable economic impact data about the non-profit arts and culture industries: full- time equivalent jobs, household income, and local and state government revenue. The study traces how many times a dollar is re-spent within the local economy before it leaves the community, and it quantifies the economic impact of each round of spending.

Title	Summary	Key Findings	Impacts analysed	Methodology
Summary of the impact of the European Capital of Culture (ECoC) award, denomination and programming on the business community in Liverpool, Merseyside and the north-west (Andriopoulos 2008) **UK**	A summary of the reports' findings of the impact of the European Capital of Culture (ECoC) award, denomination and programming of the business community in Liverpool, Merseyside and the north-west (NW). The report provides an initial economic value to the sub-region from sales enterprises due to the ECoC 2008 nomination. It gives the views of small and medium size tourism enterprises.	Most of enterprises were aware of ECoC designation. -10% of Merseyside businesses and 5% of businesses elsewhere in the NW reported gains in sales due to the ECoC 2008 designation - Increase of 6% in actual employment was reported across all enterprises due to the nomination Liverpool's status as ECoC 2008 was perceived as a source of great pride and optimism among informants. Expectations were perceived as variable, businesses in the city centre would benefit more than outside areas. Due to ECoC designation Liverpool was seen as having a positive impact on property values and sales arising from the relocation or expansion of existing businesses and business and leisure visits – so it Improved image	Sales growth Employment Expectations and pride Tourism enterprises growth City image Property values and sales	Survey; Interviews of key informants and business representatives before the ECoC Interviews with senior managers and directors of infrastructure projects, and key officers in organizations dealing with city-centre development

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Creative Economy Report 2008: The Challenge of Assessing the Creative Economy towards Informed Policy-making (UNCTAD 2008)	This report shows figures for the creative economy - the creative industries at global level. The creative industries are the cycles of creation, production and distribution of goods and services that use creativity and intellectual capital as primary inputs. It also examines the creative industries policy actions and options for developed and developing countries.	The value of world exports of creative-industry goods and services reached $424.4.billion in 2005, accounting for 3.4% of world trade. Exports of creative goods accounted for 3.2% of world trade in merchandise goods, in 2005, reaching $335.5 billion. World imports of creative goods reached in 2005 $350.9 billion. Information and communication technologies (ICT) sector was recognized as a pillar of economic growth and competitiveness: ICTs account for 5.3% of GDP and 3.4% of the total employment in Europe	Trade market ICT sector	The analysis is based on official statistics reported by the national sources to the United Nations Commodity Trade Statistics Database. - 90 out of 192 United Nations Member States reported figures for trade in services - 131 Member States reported figures for creative goods However, it is stated that the assessment faces a number of difficulties from both the conceptual and the methodological point of view as countries have different definitions of the creative industries and the statistical analysis is based on the UNCTAD definition (the items included in each subsector were jointly classified by the UNCTAD and ITC secretariats, taking in account the UNESCO Framework for Cultural Statistics).

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Economic impact of the 2008 American Folk Festival in Bangor (Silva, Mann, and Daniel 2009)	The University of Maine's Centre for Tourism Research and Outreach conducted a study of the 2008 American Folk Festival to gauge attendees' experience and estimate both the direct and indirect economic contribution of the festival to the regional economy.	The festival's estimated economic impact in the Bangor area was $9.8 million 95.626 local and non-local individuals visited the festival The 2008 American Folk Festival supported an estimated 121 jobs and $2.8 million of income	Estimated turnover economy Audience # Employment (direct and indirect)	Methodology stages approach: - The on-site surveying took place in 2008 on August 22, 23, and 24, during the entire duration of the Festival, to visitors, which completed 953 questionnaires; - Online questionnaire (52% of answers) to explore visitors satisfaction with the festival, perceptions, and expenditures; - An IMPLANTM (Minnesota IMPLAN Group, Stillwater, MN) input-output model was used to calculate the economic impact of the festival in the Bangor area, based on a survey of festival visitors.

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O Sector Cultural e Criativo em Portugal (Augusto Mateus & Associados 2010) PT	First Portuguese report dedicated to the delimitation and measurement of the cultural and creative sector in Portugal (focuses on the direct impacts). The conceptual delimitation of the sector and the weak statistical data available to account for the cultural and creative activities are identified as the major difficulties of these type of studies	The cultural and creative sector, in 2006, generated a gross value added of 3.690,679 thousand Euros, being responsible for 2.8% of the Portuguese turnover. The cultural and creative sector was responsible for 127.000 jobs in Portugal, in 2006, representing 2.6% of the national workforce. The cultural and creative industries have an export volume of 1.371 million dollars in the Portuguese economy and an import volume of 2.034 million dollars.	GVA Employment Commercial balance	The methodology is based on the European report '*The Economy of Culture in Europe*'. To map the sector value chain the report produced first, a conceptual definition of the cultural and creative sector, and second, matched each sub-sector with national statistical information (available on the economic activities and professional occupations frameworks).

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Economic valuation of cultural heritage: application to a museum located in the Alto Douro Wine Region–World Heritage Site (Fonseca, Rebelo, and others 2010) PT	This paper proposes the application of an economic valuation technique for a museum located in the Alto Douro Wine Region – classified as a World Heritage Site	The travel cost affects the number of visits negatively. The probability of visiting the museum increases along with the education level and female gender.	Not applicable.	The visitor's expenditure in the museum as well as the time spent in the heritage site, enabled an estimation of the museum's Curve of Demand using the Travel Cost method.

Title	Summary	Key Findings	Impacts analysed	Methodology
The Chichester Festival Theatre Economic Impact Study (Centre for Local and Regional Economic Analysis 2010) UK	The aim of the study is to determine the economic impact of the Festival Theatre upon the economy of Chichester District in monetary and employment terms. The study identifies and calculates the value of three primary streams of expenditure: 1. The goods and services bought by the Theatre, including employees from other businesses within the local economy. 2. The additional income spent in the local economy by theatregoers visiting Chichester from outside of the District. 3. The actors, musicians, creative and technical crew who stay in Chichester for the duration of the shows with which they are associated and spend a proportion of their salaries within the District.	Findings, using analysis of the Theatre's accounts, as well as evidence of the amount that typical theatregoers spend in the Chichester District: Total attendance exceeding 202.000, a record. The Theatre provides jobs for over 440 people, 155 of whom live within the District. It is estimated that the Theatre, its staff and theatregoers directly spent £7.8million in the local economy, between 1st September 2009 and 31st August 2010 With the multiplier effect the estimated value of the Festival Theatre on the Chichester local economy for the period in question was £12.5million. In terms of employment, the Theatre was directly and indirectly responsible for around 356 local full-time equivalent jobs.	Audience # Sector employment Workforce profile Estimated expenditure economy Estimated employment Estimated turnover economy	The 3 steps of methodology: 1. Interviews were conducted with the management of the Festival Theatre and other on-site associated activities. Annual reports, business plans and published balance sheets from the Festival Theatre were also scrutinised: details of local expenditure, staff expenditure patterns in the local economy, spending survey data for staff and theatregoers from 2004 were updated to reflect movement in the different sub-sectors of the Consumer Price Index (CPI). 2. Input-output model of the local economy was developed: Input expenditures were run through the model. This allowed the multiplier effect of the Festival Theatre's activities to be calculated across the different sectors of the local economy. 3. Report the findings

Title	Summary	Key Findings	Impacts analysed	Methodology
Time and Money: Using Federal Data to Measure the Value of Performing Arts Activities (National Endowment for the Arts 2011) USA	The study's intent is to arrive at monetary and non-monetary value measurements of the nation's performing arts sector that can be used to understand the arts' value. - On the monetary side, value added measures the contribution to the United States economy of cultural industries. - Happiness and life- satisfaction surveys, are quality-of-life measures that go beyond purely monetary measures of cultural production (non-monetary)	The U.S. performing arts industry is supported by 8.840 organizations with a total of 127.648 paid workers. These organizations generate nearly $13.6 billion in annual revenues, according to the most recent estimates. The not-for-profit sector alone accounted for 45% of these organizations (about 4.000) and 58% of their paid workers. 'Theatre and Opera' companies accounted for over half of the total revenue and total expenses of all not-for-profit performing arts groups. Americans spent an annual total of $14.5 billion on performing arts admissions. On any given day, 1.5 million Americans attend arts performances, usually with family or friends. Most performing arts attendees were accompanied by family members (54%) or by friends (41%). Performing arts attendance peaks between 8:00 and 9:00 pm.	#Performing arts organisations Employment Estimated sector turnover Budget of performing arts organisations Audience spending Performing arts activity preferences Types of participation Peaks of attendance	The study examines large datasets from multiple federal sources including the U.S. Economic Census, the Bureau of Economic Analysis (BEA), and the Bureau of Labour Statistics (BLS). The U.S. Census Bureau's Economic Census is conducted once every five years and enumerates business establishments with payrolls. Using the North American Industrial Classification System (NAICS), Economic Census results are used to report counts of business establishments and information on business receipts, expenses, and payrolls. Performing arts establishments (NAICS 7111) are part of the larger Arts, Entertainment, and Recreation Sector (NAICS 71).

Title	Summary	Key Findings	Impacts analysed	Methodology
The Economic Impact of the Louvre (Greffe 2011) FR	This article proposes a framework of the Impact Analysis of the Louvre by highlighting the extent of revenue and employment fluctuations resulting from its existence.	The Louvre's impact on the French economy varies from €936 million to €1.157 billion, depending on the approach selected. Tax receipts for the French state range from €119 million to €203 million The net number of jobs created besides Louvre's workforce varies from 10.292 to 21.225. There are new sources of resources for the museums to explore besides the public subsidies and admission fees (like space rentals opportunities or explore concessions)	Estimated turnover economy Tax revenue Employment	The economic benefit is analysed considering its significance from the supply perspective – by carrying out an impact analysis. The assumption behind the analysis is to consider that the museum constitutes a centre of activity: as it attracts revenue from outside its territory, which is reinvested into the local economy – defining a chain of causality between the institution in question and the expenses The direct effect is estimated based on the following flows of expenditures: by the Louvre, by visitors to the Louvre (based on 3 approaches – time spent, relative motivation and essential motivation), by co-publication and co-production partners, related to concessions, related to space rentals, related to filming The indirect effects were defined as the result of fluctuations in economic activity encountered by all companies benefiting from the direct effects, recognising successive rounds of effects that will gradually decrease in size.

Title	Summary	Key Findings	Impacts analysed	Methodology
The Economic Impact of Non-profit Arts and Culture Organizations and Their Audiences (Americans for the arts 2012) USA	Arts & Economic Prosperity IV is one of four studies of the non-profit arts and culture industry's impact on the economy. It gathers findings on 182 study regions representing all 50 states and the District of Columbia as well as estimates of economic impact, nationally.	In 2010, the non-profit arts and culture industry generate $135.2 billion of economic activity—$61.1 billion by the nation's non-profit arts and culture organizations in addition to $74.1 billion in event-related expenditures by their audiences. The typical arts attendee spends $24,60 per person, per event, beyond the cost of admission One-half of cultural attendees actively participate in the creation of the arts (e.g., sing in a choir, act in a play, paint or draw). Half (48.4 %) of the typical organization's expenditures are for artists and personnel costs Activity supports 4.1 million full-time jobs The participating organizations had an average of 116.2 volunteers who volunteered an average of 44.8 hours each, for a total of 5.204 hours per organization	Estimated sector turnover Audience spending Audience characteristics Organizations spending Employment Volunteering	It documents the economic impact of the non-profit arts and culture industry in 182 communities and regions (139 cities and counties, 31 multi-county or multi-city regions, 10 states, and two arts districts), representing all 50 states and the District of Columbia. The diverse communities range in population from 1.600 to 4 million and from small rural to large urban. Detailed expenditure data was collected from 9.721 arts and culture organizations and 151.802 audience surveys were applied for this study

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Ontario Arts and Culture Tourism Profile Research (Research Resolutions & Consulting Ltd. 2012) **CA**	The Ontario Arts Council (OAC) commissioned Research Resolutions & Consulting Ltd. to provide a profile of Ontario's arts and culture tourists and their economic impact. Using two different types of existing data sources, the project covers market share, tourist spending and economic impact, demographic and motivational characteristics and information on tourist participation rates in a variety of arts and cultural activities.	9.5 million overnight tourists to Ontario participated in arts and culture activities during their trips in 2010 – represent 22% of all Ontario's overnight visitors Arts/culture tourist spending generated: $3.7 billion in GDP province-wide in 2010; 67.000 jobs and $2.4 billion in wages; $1.7 billion in taxes 9.5 million arts/culture visitors who took overnight trips in Ontario spent over $4.1 billion on goods and services Historic sites are the most frequent arts and culture activity	#Arts and Culture Overnight Tourists Employment and Wages National income generated; Taxes Audience spending; Demographic profiles Arts and Culture activity preferences	Data based on: Travel Survey of Residents of Canada 2010 (TSRC), International Travel Survey 2010, Travel Activities and Motivations Surveys - USA and Canada 2006 Estimates of economic impact are based on Ministry of Tourism, Culture and Sport's TREIM model-Tourism Regional Economic Impact Model. Figures include direct, indirect and induced impacts.

Title	Summary	Key Findings	Impacts analysed	Methodology
Impacto Económico da Fundação Serralves (Porto Business School 2013) **PT**	This study's intent is to quantify the economic dimension of *Fundação de Serralves* (FS), by assessing its activities direct, indirect and induced impacts. A specific project - 'improvisações/colaborações' was also analysed (which received a public funding of €760.000 and produced an impact of €420.200 on GDP)	In 2010 and 2011 respectively, 450.277 and 473.903 people have visited FS In 2010 and 2011 respectively, 70.487 and 75.866 foreign individuals have visited FS. The tourists that visit FS stay, in average, more nights in Porto. 1.5% of the national visitors and 7.46% of the foreigner visitors are not satisfied with FS experience. 34% of tourist has travelled in low cost companies. National tourists are willing to pay 3,48€ and foreigner tourists 6,8€ for a ticket to Serralves. 96 workforces in 2011. In 2010, Serralves generated 1.296 full-time jobs and consequently 20.7 million of euros in wages and 10.8 million in fiscal income. 52% of workforce is < 40 years old.	Audience # Audience origin Audience satisfaction Audience characteristics Audience spending Employment (direct and indirect) Employment	Five surveys were conducted: – to visitors of Serralves; – to Porto and Gaia tourists in the street; – online survey; – questionnaire to companies based on Serralves incubator or not; – survey to schools. After, an input-Output model was used to assess the economic impact of the venue.

		Serralves contributed in 2010 with €40.56 million to the Portuguese GDP. At that time 9 companies were working at Serralves Incubator. Income generated by the FS in 2010 was of 9.538.5 thousands of euros. From 2000 to 2010 the accumulated value of the pieces of art have increase from 5.979 to 17.791 million of euros. According to the online survey 92% of the inquired agree that FS has a significant role on arts education.	characteristics Estimated turnover economy Enterprises installed at the incubator Income generated Value of arts pieces	

Title	Summary	Key Findings	Impacts analysed	Methodology
The contribution of the arts and culture to the national economy (CEBR-Centre for Economics and Business Research 2013) UK	It analyses 'direct' contribution of the arts and culture measured by macroeconomic indicators like gross added value (GVA), employment and household incomes. It also analyses the 'indirect' contributions made by the arts and culture to the wider economy and to other sectors.	In the period of 2008-2011 the arts and culture industry employed, in average, 110.600 fulltime equivalent employees in the UK and 99.500 in England. This represents about 0.45% of total employment in the UK and 0.48% of all employment in England. The largest contributors in the industry turnover are: book publishing, performing arts and artistic creation. The sector accounts for approximately 0.4 per cent of total GVA in England and 1% of UK GDP. For £1 of salary paid by the arts and culture sector, an additional £2,01 is generated in the wider economy through indirect and induced multiplier impacts In 2011, 10 million inbound visits to the UK involved engagement with the arts and culture, representing 32% of all visits to the UK UK arts and culture industry generated an aggregate turnover of £12.4 billion in 2011.	Employment Wellbeing; regeneration of places GVA Salary income multiplier Tourism Income generated	The activities and datasets to measure the sector and define the scope of the study were identified from the Standard Industrial Classification and the Office for National Statistics. CEBR's Input-output model was used to estimate the multiplier impacts of the arts and culture.

Title	Summary	Key Findings	Impacts analysed	Methodology
L'apport de la culture à l'économie en France (Kancel et al. 2013) FR	This report and literature review work is divided in three parts. First, measure the weight of culture in the French economy. Secondly, measure the structure and economic flow of five specific sectors: audio-visual, cinema, video games, art market and fashion. Thirdly, propose a methodology to measure the impact of implementing new cultural venues or projects into the territory development. The cultural activities were categorised in 11 sectors: performing arts, heritage, audio-visual, press, book, visual arts, publicity, architecture, cinema, image and sound industry and access to knowledge and culture.	In 2011, the value added by the cultural enterprises represented 3.2% (€57.8 billion) of the total French value-added and they employ 670.000 persons (2.5% of the total employment in France) with a concentration of the performing arts, publicity and press. Culture contributes to the French economy with €104.5 billion. The non-cultural enterprises employed, in 2011, 870.000 cultural professionals. There is a correlation between the presence of a cultural facility and the social and economic development of a territory, in the long-term.	Estimated turnover economy Employment Covers other specific projects.	The methodology to measure the importance of culture in the French economy: - Conceptual framework definition of cultural activities - Determine the activities considered as cultural according to the national Nomenclature of French activities ('nomenclature d'activités française') - Mapping the activities on the Insee data for extract production, value added, intermediate consumptions The methodology to analyse the impact of a cultural intervention on the local territory (the third part of the report): 1. Identify the treatment territories which received a cultural implementation 2. After, according to 25 indicators, select 5 control territories for each treatment territory. 3. Identify the socio-economic indicators to analyse the evolution of the territories 4. Compare the performance of the evolution of each of the indicators between the treatment and control areas.

Title	Summary	Key Findings	Impacts analysed	Methodology
1er panorama des industries culturelles et créatives: Au cœur du rayonnement et de la compétitivité de la France	The report sets the first panoramic view of the cultural and creative industries in France. The value of these industries is presented according to 9 sectors: graphic and plastic arts, music, cinema, television, radio, performing arts, press, edition and video-games	The cultural and creative industries in France generated in 2011 a turnover of 74 billion euros and employ 1.2 million people. Graphic and plastic arts are the most important sectors of the cultural and creative industries reporting a turnover of 19.8 billion euros and employing 307.716 people. The television is the second important sector with a turnover of 14.9 billion euros and employing 176.467	Estimated turnover economy Employment	Chooses two indicators to analyse the economic impact: * turnover * employment The impacts of the cultural and creative industries are detailed and presented in two levels: - direct impacts, all the economic value and jobs generated by those directly producing cultural and creative goods and services - related impacts are divided in: indirect effects (the incomes of the suppliers required to produce the cultural and creative goods and services as the demanded workforce) and induced effects (spending of those directly or indirectly involved in the activities on the suppliers chain).

(EY France 2013) FR		people. The press (journals and magazines) is the third sector, accounting for 10.7 million euros in turnover and 101.933 workers. The music sector and the performing arts sector have a turnover of more than 8 million euros each.		For data purposes is reported to have been done a consultation to more than 300 sources

Title	Summary	Key Findings	Impacts analysed	Methodology
Cultural times: The first global map of cultural and creative industries (EY 2015) UK	To celebrate the 10th anniversary of the UNESCO Convention on the Protection and Promotion of the Diversity of Cultural Expressions, this commissioned study, confirms the argument advocated by UNESCO of the contribution of the cultural and creative industries to sustainable development. UNESCO defines cultural and creative industries as activities "whose principal purpose is production or reproduction, promotion, distribution or commercialization of goods, services and activities of a cultural, artistic or heritage-related nature". Is the first study to separately assess, at a global level, the economic value of each Cultural and creative industries (CCI) individually?	Cultural and creative industries (CCI) generate US$2.250b of revenues and 29.5 million jobs worldwide. In Europe, CCI sectors employed more young people than any other sector Cultural and creative content drives the digital economy-contributing US$200b to global digital sales in 2013. Cultural infrastructure is a catalyst for urban development: the case of Bilbao Informal CCI sales in emerging countries were estimated to total US$33b in 2013 and to provide 1.2 million jobs.	Turnover Employment Culture-led urban regeneration Informal economy	Collaborative work: • The study involved 150 interviews to identify trends • Reviewed more than 300 sources • Senior economists from Oxford Economics reviewed the valuation methodology and estimates. Measures the economic value of CCI with two metrics: * Revenues – the study adopted an approach based on final consumer and business markets (B2C and B2B), primarily at retail prices (without indirect taxes). * Employment: estimated in the number of jobs, using the International Labour Organization) definition of employment, include every person working in a CCI (including non-permanent jobs, creators, authors and performers). Because reliable aggregated statistical data was unavailable, a "bottom-up" approach was adopted. Estimates for each region were based on national statistics, market research analysis, CCI existing studies, industry reports and interviews with technical experts.

Annex 2. The social impacts literature review

Title	Summary	Context	Key findings	Methodology
A Naturalistic Study of the Relationship Between Literacy Development and Dramatic Play in Five-Year-Old Children (Goodman 1990)	This study analyses the relationship between literacy development and dramatic play. Literacy as: the use of reading skills, decoding written materials, drawing inferences and translating narrative into dramatic text. The research was carried out in an entire pre-school classroom with 17 children. The class used dramatic play on a nearly daily basis.	Pre-school classroom (USA) **Art Form** *Arts on education* Art forms assessed: Dramatic Play	The research finds that one common form of literacy served to organize children's play- children's favourite stories often become the basis for the play scripts. Children used literacy skills to compose their play scripts. Children developed literacy skills when reading texts and materials related to the play, when written artefacts of the play and when composing scenes or plays. The interactions in the classroom influenced children's choices about the importance and use of literacy within their plays. The main contribution of this study to the body of research on drama and learning is its singular focus on the use of reading, writing, and written artefacts within the dramatic activities of pre-kindergartners. Not only literacy skills but also social status recognition within classroom, by the ability to direct a play, was motivated with the dramatic play sessions.	Qualitative analyses. Data collection included: - participant observation (97 play episodes were observed) - informal interviews, - document analysis, - tape recording - videotaping Themes within dramatic play ranged from the very common (house, family, school, stories) to the occasional unique subject (fishing, concert). - Qualitative study
	Project Duration	**Project Providers**		
	Long-term	School.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Article	Permanent.	Specific audience: children (1 African-American, 1 Asian, 15 white; 12 girls, 5 boys; ranging between just under 5 to 6 years of age).		Short-term (5 months) **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Medical health and emotional effects of art stimulation in old age. A controlled intervention study concerning the effects of visual stimulation provided in the form of pictures (Wikstrom, Theorell, and Sandstrom 1993)	This article reports on a controlled intervention study of the effects of a non-directed use of pictures as a possible way for improving emotional state and health status in a group of elderly women minimum of 70 years old (average 82.6)	Senior citizen apartment building **Art Form** *Arts on health* Visual stimulation by means of pictures (paintings, photography)	Found that compared to the controls, women who had received an art intervention reported decreased systolic blood pressure, compared to the control group. This difference increased immediately after the intervention to the follow-up 4 months later. The results reveal a significant improvement on several self-reported indicators of health status of the positive mood parameters happiness, peacefulness, satisfaction and calmness and the negative parameters low-spirited, unhappy and sad. Also an improvement was seen in the subjects' medical health status with regard to reported dizziness, fatigue, pain and laxatives. There were no significant differences with regard to medication of sedatives and analgesics. In short, meaningful stimulation related to a person's experiences is of major importance for the prevention of ill health and increase of emotional wellbeing. So it is crucial to use cultural means of expression in situations of care.	Method: a case control intervention study with elderly women, randomly allocated for one of the 2 groups, the intervention (N=20) and the control (N=20) group. Participants in both groups had the same amount of social contact with and attention from the experimenter and were similar to another with regard to age and test results. The baseline interview allows to perceive-personal data and to assess if individuals already had an interest in art (if so people were excluded from the study). The selection of pictures was based on the individual taste patterns of the subjects of the intervention group. These pictures are then used for discussion with each member of the group, by exploring knowledge, memories and imagination. On the control group there was also discussion but on topics in the media, hobbies and interests. Measures of health and wellbeing based on self-report of status (Frame of Mind Test, Physical Health Status), systolic blood pressure and medication used. Both groups were administered these same tests: * before the intervention * immediately after the intervention(4 months after the first test) * 4 months after the intervention finished The parameters were analysed by means of two-way ANOVA. -Experimental study
	Project Duration	**Project Providers**		
	The study was accomplished during 12 months. The project of art visualization took 3 months approximately.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Article	Not specified.	Specific audience: 40 elderly women living alone		Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Arts in their view A study of youth participation in the arts (Harland, Kinder, and Hartley 1995)	The study intention was to provide empirical evidence, which could inform future planning and policy-making relating to young people's engagement with the arts (the first national approach in the UK). The study objectives: assess different patterns and experiences of youth involvement in the arts and examine these in relation to demographic characteristics of young people; identify successful and sustained engagement in the arts and evaluate factors which are perceived to inhibit and facilitate it; analyse young people's attitudes to youth arts participation; highlight perceived need and opportunities in the arts which remain unfulfilled.	Five regions in England Interviews: London (141), Oxfordshire (140), Tyneside/Northumberland (142), North Yorkshire (140), West Yorkshire/Leeds/ Bradford (141) Regions covered by the Regional Arts Board **Art Form** *Arts on education* 5 categories of leisure time activities were used on the interviews: social, sport, media-arts audience, arts participation a miscellaneous. Participation included being audience or producing/making. For participatory arts activities 17 arts forms are analysed: drawing, computer, printing, photography, sculpture, theatre, dance, writing, video-making, music-making, graffiti, scratching, fashion, textile, jewellery.	Only a quarter of the sample participated in at least one art form. Participation was frequently mentioned in relation with music and visual arts. In contrast, over half of the sample participated in at least one sport in the leisure time. Media-arts audience was the leading leisure activity for females, and sport the highest leisure activity for males. These results provide information on the frequency young people engaged in various activities but do not capture quality of engagement. Half the sample affirmed their leisure activities as creative or imaginative, and 3 out of 5 viewed some aspect of their studies or work in this way. Art was the curriculum area most frequently mentioned as imaginative or creative activity. Painting and drawing was the main area considered to be imaginative and creative. Young people's leisure interests are influenced by the nature of environments in which they live. Arts activities more engaged by the sample: dance, drawing, photography, music-making, story and poem writing. The greater the number of arts activities young people participated in the less likely to participate in sports and vice-versa. For what the sample considered to get from primary school arts activity were mainly enjoyment and excitement, and personal development attitudes of overcoming shyness, sense of achievement, self-expression For 27% of the sample the general arts involvement have effects on increasing self-esteem, confidence and acquired specific skills. Young people referred to their interests in self-improvement in arts skills as a motive for involvement. Participation in certain arts forms was often reported as having social benefits.	The data for the study was collected through a large-scale interviewing programme in 1993, which involved young people between the ages of 14 and 24 in five regions of England, completing a sample of 700 young people. "Interviewing was selected as the most appropriate data collection method because of its capacity to capture the views and experiences of young people from all walks of life and backgrounds" (Harland, Kinder, and Hartley 1995:16) According to each of the 5 regions a quota sampling was constructed on the basis of key variables. Sample was random approach in schools, colleges, universities, employing organisations, public houses, public transport, street and youth clubs. As, in the end, the sample had a disproportionate distribution of the population as a whole (in some areas), the results presented are based on weighted results. Duration of interviews from 25 minutes to 1h20 minutes. Some interviews were recorded for qualitative analysis. Statistical analysis to treat the interviews. Case studies exposing the stories of arts engagement along the years were constructed for 14 respondents according to interviews results. - Qualitative study
	Project Duration Not specified	**Project Providers** Not specified		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Not specified.	Specific audience: young people between the ages of 14 and 24		Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Attendance at cultural events, reading books or periodicals, and making music or singing in a choir as determinants for survival: Swedish interview survey of living conditions (Bygren, Konlaan, and Johansson 1996)	Article that investigates the possible influence of attendance at cultural events, reading books or periodicals, making music or singing in a choir as determinants for survival (mortality and self-reported health).	Swedish population **Art Form** *Arts on health* Art forms assessed: attendance at cultural events (attending a cinema, theatre, concert and Live music, museum, art exhibition, sermon, or sports events as a spectator), reading books or periodicals, making music and singing in a choir	6.301 men and 6.374 women were followed up; 533 men and 314 women died during this period. The control variables influenced survival in the expected directions except for social network for men. Attendance at cultural events may have a positive influence on survival: people who frequent attended cultural activities during the 9-year period had better survival odds than those who rarely went. After adjusting for all of the controls, it seemed that people attending cultural events occasionally were more at risk of dying than those attending often. The study explores different potential mechanisms through which cultural engagement can increase survival odds.	A simple random sample was drawn of 15.198 individuals aged 16-74 years. Of the sample 85% (12.982), between 1982 and 1983, were interviewed by trained non-medical interviewers regarding their cultural practice. They were followed up with respect to survival until 31 December 1991. The analysis excluded 307 people due to partial responses (12.675). This study used a proportional hazards model to estimate the risk of mortality. Studies the impact of three independent indexes: attendance index, a reading index and a music-making index. Frequency of attendance was categorised as rarely, occasionally or often, the latter of which (at least 80 visits per year) became the reference group. The following controls were included: age, gender, education level, income, long-term disease, social networks, smoking and exercise. - Longitudinal study
	Project Duration	**Project Providers**		
	Not specified.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified.	Broad audience: adult Swedish sample of individuals aged 16-74 years	"The frequencies of visits or activities could be seen as only crude measures of such stimulation because the emotional responses to or perceptions of the visits are unknown" (Bygren et al. 1996:1579) No causal conclusion could be drawn, "Long-term follow up of large samples with confounders that are well controlled for many provide empirical evidence to support experiments on the effects of cultural stimulation on people not attending events" (Bygren et al. 1996:1580) "Perhaps cultural behaviour is so intermingled with life as a whole that it is impossible to discern its influence" (Bygren et al. 1996:1578)	Long-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
The social impact of arts programs. How the arts measure up: Australian research into social impact (Williams 1996)	The aim of the project is to develop a methodology to evaluate the social impact of community arts programmes and assess impact in key areas. It argues public funded community based arts projects were powerful catalysts for community development.	Research on Australian territory Community-based arts projects. No more specified. **Art Form** *Community based arts programme* Art form not specified	Over all, respondents recorded positive impact for each outcome area as follows: 96% recognised positive educational outcomes 94% recognised positive artistic outcomes 90% recognised positive social outcomes 72% recognised positive economic outcomes Overall the case studies reported the following results to the social capital indicators: 92% Improved skills in communicating ideas and information 92% Increased appreciation of community arts 87% Improved skills in planning and organising activities 80% Improved understanding of different cultures or lifestyles 64% Improved consultation between government and community The case studies report the results for community development indicators: Decreased social isolation 74% Improved recreational options 74% Developed local enterprise 47% Improved public facilities 47% Developed community identity 86% Regarding activating social change, the results were: Inspired action on a social issue 62% Improved understanding of different cultures or lifestyles 80% Generated employment 49% Increased public safety 44% Raised public awareness of an issue 88%	A methodology was developed for evaluating the social impact of 89 arts programmes in key areas. It was conducted a survey to 109 community participants from arts projects, plus 123 community members who had observed the projects. It asked people to rate the long-term value of the project for their community. Indicators for each outcome are suggested: • Building and developing communities • Increasing social capital • Activating social change • Developing human capital • Improving economic performance The author outlines diverse areas that community groups had been interviewed about and reports their responses. -Qualitative study
	Project Duration This work is based on a study (Creating Social Capital) the author carried out in 1994-1995 for the Australia Council to identify the long term social, educational, artistic and economic benefits arising as a result of the community arts programme that took place in 1991. Each project length is not specified.	**Project Providers** A community arts programme funded by the government: Australia Council for the Arts		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report (Australia Council for the Arts)	Occasional project: 89 community-based arts projects.	Participants from community based arts projects (Not specified)		Long-term **Scope of the impact analysis** Individual and Collective Impacts

Title	Summary	Context	Key findings	Methodology
Use or Ornament? The Social Impact of Participation in the Arts (Matarasso 1997)	The first large-scale attempt in the UK to gather evidence of the social impacts arising from participatory arts projects. Participation is here interpreted in different forms of value and motivations. A research design to add a social dimension to the existing financial valuation and discuss the role of arts on social development and cohesion. The study is drawn on people's views of what happened to themselves or to others (participants, professionals, observers).	60 projects in diverse contexts: included rural, small town, suburban, city and metropolitan situations. **Art Form** *Community based arts programme* 60 projects of different artistic forms (all was combined)	The figures cited in the report include responses from participants in the case studies projects and outside of them. "This has the drawback of amalgamating the responses of people participating in widely different activities, but the size of the sample is thereby statistically more reliable and individual differences play a much smaller role" Personal development • 84% feel more confident about what they can do • 37% have decided to take up training or a course • 80% have learn new skills by being involved Social cohesion • 91% have made new friends • 54% have learn about other people's cultures • 84% have become interested in something new. Community empowerment and self-determination • 86% want to be involved in further projects. • 21% have a new sense of their rights. Local image and identity • 40% feel more positive about where they live. • 63% have become keen to help in local projects. Imagination and vision • 86% of adult participants have tried things they haven't done before. • 49% think taking part has changed their ideas. • 81% say being creative was important to them. Health and wellbeing • 52%% feel better or healthier • 73% have been happier since being involved. A list of 50 social impacts of participation in the arts is identified.	Case study research was undertaken in Batley, Bolton, Hounslow, London, Nottingham, Sandwell, Portsmouth, Northern Scotland, Derry, Helsinki and New York. 60 projects (in and outside the case studies) were deeply assessed and more 30 peripherally look. Six areas of outcomes were identified: • personal development • social cohesion •community empowerment and self-determination • local image and identity • imagination and vision • health and wellbeing. A list of key questions on the social impacts was defined to build the surveys. A questionnaire to participants, standard in all the different projects, was conducted to gain a sense of the proportions of people with similar experiences. 24 questions and 3 possible answers (yes/no/don't know). Respondents have in common their participation in arts activities during 1996-97. 513 reply to it. The social research required to include other methods: questionnaires to professionals, interview, visits, formal and informal discussion groups, participant observation, agreed indicators, observer groups (involved a discussion of different stakeholders related to the project) and working papers. -Qualitative study
	Project Duration	**Project Providers**		
	Between September 1995 and March 1997, Comedia developed the study into the social impact of arts programmes. The projects duration are very diverse and for some it is not specified.	A total of 60 projects with different purposes and character (amateur work, professional companies, community arts and more). Different providers.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report (Comedia)	The sustainability of the projects is not specified.	Broad audience: People of all ages and social backgrounds	"The biggest problem, in relation to this evidence, is showing that a particular outcome is the result of an arts activity – i.e. establishing a causal link" (Matarasso 1997:5)	Short-term **Scope of the impact analysis** Individual and Collective Impacts

Title	Summary	Context	Key findings	Methodology
Living the arts through language-earning: a report on community-based youth organisations (Heath, Soep, and Roach 1998)	Looks at non-school community youth programmes centre in the arts. Study wanted to acknowledge what makes these activities so attractive and desirable, and to understand the positive relation between arts participation and achievement focus on youth of low-income areas. The research leading question was: 'what happens in non-school youth organisations judged by local youth living in low-income neighbourhoods as highly desirable places'.	124 youth non-school arts programmes in 30 different locations (urban and rural) across USA, not more specified. **Art Form** *Arts on education* Art forms assessed: performing and visual arts	Compared to the national sample, youth in non-school arts-based programmes are: *attending schools where the potential for violence is more than 2 times higher; *over twice likely to have parents divorced or lost their jobs *over 5 times likely to live in a family involved with the welfare system in the last two years; *4 times more likely to have won school-wide attention for their academic achievement; *3 time more likely to being elected class office; *4 times more likely to participate in a math and science fair; *3 times more likely to win an award for school attendance; *attend music, art and dance classes nearly 3 times as frequently; *read for pleasure nearly twice as often; *perform community service more than four times as often *are more likely to be aware and involved in social and civic values *are 8 times more likely to receive a community service award. *a strong capacity for self-assessment *sense of their own ability to plan and work for a positive future for themselves and their communities (they are resources for community development) Participants on non-school programmes develop organizational skills by reading and writing simple tasks of organisation management, like calculating and planning the travel cost of activities.	Overview of findings from a long research ran 1987-1998, using a range of data collection methods (observation, audio recordings, survey). Through a funnelling process the team identified 124 youth organisations (serving total of 30.000 youths) and collected data from periods of 7 months to 3 years. Research was conducted also on local adults to assess their perceptions on these youth organisations. Young people who participate in non-school arts organisations (for at least three hours on three days of each week throughout at least one full year) were compared with students of the national sample by using a National Education Longitudinal Survey (NELS) of secondary schools students. Data from the survey on 17.000 students were compared to 358 members of youth organisations to who was given the same Survey. Looking at participants and non-participants of non-school arts organisations allow to compare them in terms of academic achievement, leisure-time choice, self-judgements, problem solvers and community members. Statistical analysis of data. - Qualitative study
	Project Duration	**Project Providers**		
	Not specified	These non-school youth arts programmes take place in different organisations: Boys and Girls Clubs, museum projects, religious groups (choirs), and arts grassroots organizations. All these are committed to community service		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Article	Permanent.	Specific audience: youth (8-20 years old) from different ethnic, religious and national backgrounds.		Long-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Involvement in the arts and human development (Catterall, Chapleau, and Iwanaga 1999)	The report explores interactions between the arts involvement (school and out of school) and human development and achievement. Two phases of the research: -1st examines involvement in arts in general, i.e., across forms -2nd focuses on the potential effect of sustained involvement in a single discipline, using instrumental music and the theatre arts as case examples.	American secondary schools **Art Form** *Arts on education* Art forms assessed: arts in general, instrumental music and the theatre	* Arts engagement and academic success: When children engage in arts activities they performed better at school in different areas. Positive academic developments and outcomes for children engaged in the arts are seen in the research and generally become more pronounced over time. Patterns that also persist for children from low socio-economic status. *The probability of being 'high arts' is almost twice as high for students from economically advantaged families, and the probability of low arts involvement is twice as high if one comes from an economically disadvantaged family. *Music and mathematics achievement: consistent high levels of involvement in instrumental music over the middle and high school years show significantly higher levels of mathematics proficiency by grade 12. *Theatre and human development: sustained student involvement in theatre activities is associated with a variety of developments for youth - reading skill, self-concept/self-esteem and motivation, empathy and tolerance (using racism indicators for these last ones) The study also concluded unfair access to the arts: more poor and less educated students recorded low levels of participation.	Uses the National Educational Longitudinal Survey (NELS), a panel study that has followed more than 25.000 students in American secondary schools for 10 years. Based on the survey the study looks to differences between students highly involved in the arts and non-involved students. It also looks to differences of the low socio-economic background population in the sample. Statistical analysis of data. Intensity of engagement is explored: "There are good reasons, however, to believe that intensive involvement in a single discipline would act differently than scattered attention to diverse artistic endeavours. This is because different effects are touted for different arts disciplines, and depth of involvement in one might be expected to intensify particular effects" (Catterall, Chapleau, and Iwanaga 1999:5) - Longitudinal study
	Project Duration	**Project Providers**		
	Not specified	Not specified (school and out of school)		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report	Not specified	Specific audience: children and adolescents between the 8th and 12th grades	"Establishing causation in education and social science research is difficult" (Catterall, Chapleau, and Iwanaga 1999:16) The work tries to support causation advocating the significant correlation illustrated the support of causal theory, and previous research and the elimination of rival hypotheses (confronting two groups, restricting to low socio-economic students and observing over time). Regarding future research the study pointed leads to: - explore sustainability of the effects (from young to adult), longitudinal studies for arts forms - more controlled research, however, argued long term analysis and natural engagement of arts involvement are difficult to hold with the random assignment - evidence the meanings of art experiences	Long-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Learning in and through the arts: curriculum implications (Burton, Horowitz, and Abeles 1999)	A study developed by the Centre for Arts Education Research at Teachers College Columbia University that examined the artistic experiences of over 2000 pupils in schools. The goals: determine what cognitive, social, and personal skills are developed through arts learning, assess if these competencies have a more general effect on learning, and what are the conditions in schools that support this learning.	Arts experiences in public elementary and middle school: in New York, Connecticut, Virginia and South Carolina **Art Form** *Arts on education* Art forms assessed: visual arts, music, dance, drama The number of arts subjects offered in schools, ranged from 0 to 3 or 4.	Young people in 'high-arts' groups performed better than those in 'low-arts' groups on measures of creativity (exercise their imagination), fluency (express their ideas), originality, elaboration, resistance to closure, sense of confidence, take risks in their thinking and are more cooperative. Regarding self-perceptions, high-arts youngsters were more likely than their low-arts counterparts to think of themselves as competent in academics, and to believe they did well in school in general (and language and mathematics in particular) Administrators and teachers in high-arts schools attributed many positive features of their in-school climate to the arts (like having good relation with their teachers). Teachers in high-arts schools were more open, flexible, knowledgeable, and engaged in their own on-going learning than were teachers in the low-arts schools. Arts competencies in other disciplines were found in different contexts: - needs to structure and organise thinking - demands of new ideas - demonstration of knowledge in original ways - processes involving task persistence, empathy and collaboration Proposed the integration of different art forms in the curriculum and defended the collaboration of the arts teachers with teachers from other disciplines.	A 2-year research, covering 150 schools and 2.046 children artistic experience, compares schools with high and low arts provision (each school was rated on a scale identifying the degree of arts integration) Data come from combining different measures: -the Torrance Test of Creative Thinking, to measure creative thinking abilities; -the Self-Description Questionnaire, to measure self-concept; -the School-level Environment Questionnaire as a tool for evaluating aspects of school climate, such as how teachers and pupils interact; -a Teacher Perception Scale to measure teachers' judgments about children creativity; - The Classroom Teacher Arts Inventory measured teachers' practices and attitudes to the arts; -Student Arts Background Questionnaire, determined how much in-school arts experience children had; Other data collection methods were used to evidence deep meanings: *Interviews (teachers, school administrators); *photo documentation; *and visits to 28 of the 150 schools 12 schools were selected for extensive study and 4 became in depth case studies. - Qualitative study
	Project Duration	**Project Providers**		
	Not specified	Public schools: via the academic curriculum, or as a separate discipline. Instructors: specialist teachers, general classroom teachers, external arts providers such (like artists)		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Not specified	Specific audience: children of the 4th, 5th, 7th and 8th grades.		Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Chicago Arts Partnerships in Education (CAPE): Evaluation Summary (Catterall and Waldorf 1999)	The Chicago Arts Partnerships in Education (CAPE), founded in 1992, has the aim of funding arts programmes in the Chicago Public Schools: it provides grants to schools to form partnerships with local artists, arts agencies, and teachers to integrate arts across the school curriculum. The objective is to develop curricular units in which an art form was integrated with an academic subject. This study examined the effect on test scores of the CAPE) and on different stakeholders.	Arts programmes in the Chicago Public Schools: 37 schools, 53 professional arts organizations, 27 community organizations.	Impacts on the classroom: Teachers and artists were likely to integrate arts into reading activities (54% of the teachers reported having developed one arts-academic integrated unit, 24 % reported having created 4 to 5 units) • Visual art was the most popular art form for teachers. Impact on students: • In the comparisons made between CAPE and control schools the students in the CAPE schools perform better than the control schools. But, the difference was statistically significant only at the elementary school level and not at the high school level. An association between low-income students' academic achievement and attending schools that have arts integration activities was is established.	Researchers collected data from: -document review, -surveys, -case studies, -classroom observations, -interviews, -and focus groups. Collected and analysed Iowa Test of Basic Skills data to evaluate the programme's impact on student achievement in reading and mathematics. Comparisons were made between CAPE and control school on academic achievement. - Qualitative study
		Art Form		
		Arts on education Assessed range of arts forms		
	Project Duration	**Project Providers**		
	Units typically lasted four to six weeks.	Schools		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Not specified	Specific audience: students		Short-term
				Scope of the impact analysis
				Individual Impacts

Title	Summary	Context	Key findings	Methodology
Arts education in secondary schools: effects and effectiveness (Harland et al. 2000)	A 3-year study of arts education in England and Welsh Secondary Schools. The project aims: -evidence the range of effects and outcomes attributable to school-based arts education; -examine the relationship between these effects and the factors and processes associated with arts provision in schools; -illuminate good practice of high-quality educational experience in the arts; -study the extent to which high levels of institutional involvement in the arts correlate with the qualities know to be associated with successful and school effectiveness.	The current state of arts education in England and Wales. Sample encompasses a variety of schools (urban, rural, different sizes, socio-economic contexts)	A model was developed of the outcomes associated with arts education in secondary schools, according to the data collected, which have the following categories of effects on pupils: 1.intrinsic and immediate effects (personal enjoyment, therapeutic outcome) The personal enjoyment comments varied according to the art form: reporting a higher enjoyment for dance than any other art forms. 2.arts knowledge and skills (knowledge and understanding of art forms and their context, development of interpretative skills, growth in the appreciation of art forms and aesthetic judgement, technical skills associated with each art form) 3. Knowledge in the social and cultural domains (increased knowledge of the cultural domain, enhance pupils awareness of surroundings, developments in their understanding of social and moral issues)) 4. Creativity and thinking skills (acquisition of thinking and problem-solving skills, development of creativity, imagination and capacity to experiment and innovate) 5. Communication and expressive skills (language, communication skills development, enhance critical, active listening and observational skills, confidence to express) 6. Personal and social development (self-emotions, self-esteem, self-worth, self-confidence, empathy, social skills) 7. Extrinsic transfer effects (to other areas of the curriculum thru academic performance, work world and to leisure activities). The development of communication and expressive skills through the arts was an important outcome perceived by both teachers and pupils, with drama contributing significantly to the first of these effects. According to the study some of the major benefits were institutional effects on the culture of the school, and effects on the local community. The study found no evidence that arts participation boosted academic achievement in other subjects as measured by examination results at GCSE.	Data collection sources: a) case studies in five secondary schools with good reputation in arts education activities, allow a total of 219 interviews – 1st step 1997: interviews 79 pupils (years 7 and 9), teachers, administration, observe/visits, short interviews, pilot questionnaires, selected samples of students and staff. - 2nd 1998: interview the pupils of 1997 (years 8 and 10) in the two longitudinal cohorts, interview teachers, observe, video. - 3rd 1999: interview the pupils in the 2 longitudinal cohorts (years 9 and 11), observe, video. b) Secondary data analysis of information compiled through NFER's Quantitative Analysis for Self-Evaluation project – which provide schools information about their performance (152 schools with 27.607 students) c) Year 11 survey of 2.269 pupils, to analyse the relation and positive effect that studying in the arts has on academic achievement (integrated a school questionnaire, test results, General Certificate of Secondary Education-GCSE results). d) Interviews with employers and employees about the relation between arts education and the labour sector – made to 20 companies and a total of 65 interviews carried out - Qualitative study
	Art Form			
	Arts on education Art forms assessed: studied-art, music, and drama. Inside of each analysed institution there is a range of organisational structures for arts teaching.			
	Project Duration	**Project Providers**		
	Not specified	School based arts provision.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Not specified	Specific audience: children and adolescents between the 8th and 12th grades		Long-term
				Scope of the impact analysis
				Individual and Collective Impacts

Title	Summary	Context	Key findings	Methodology
Teaching Cognitive Skill Through Dance: Evidence for near but not far transfer (Keinänen, Hetland, and Winner 2000)	This work conducts a review of the research field on the claims of dance instruction in reading and nonverbal reasoning improvements on 3.714 studies	Not specified **Art Form** *Arts on education* Art forms assessed: dance	Effects of dance on reading abilities, projects analysed: INSTRUMENTAL DANCE - students make their bodies into the shapes of letters of the alphabet; - students pronounced the letters and moved with a quality linked to that letter; - dance instruction activities design to letter recognition, focussing on rhyming. CREATIVE DANCE - students were given dance problems to solve (frozen half of the body and dance with the remain part) TRADITIONAL DANCE - students were taught through a framework of techniques of a dance class Dance instruction leads to improved visual-spatial skills, but the conclusions are limited to the fact that the analysis is based on only 4 studies. Regarding reading skills, the meta analysis does not support a conclusion of dance instruction serving as an effective mean of reading. The conclusions were limited due to the small number of relevant studies that revealed a significant relationship. So, in neither area it was possible to draw strong conclusions about the power of dance to foster cognitive skills that transfer to other areas of reading. In both meta-analyses the more rigorous studies proved and indicated the lower effect size.	The authors use meta-analysis to identify and asses studies on dance and cognitive outcomes. The search was based on electronic database and unpublished work. From the 3.714 studies only 7 studies met the researchers' standards for rigor (experimental studies with control groups and quantified outcomes); most of the documents were eliminated as were non-empirical (only advocated for dance effects, or present teachers' testimonials). From the 7 studies, 4 assessed the effect of dance on reading and 3 the effect of dance on nonverbal reasoning. The studies were coded according to a list of categories and analysed within the two dimensions of effects: Reading Abilities and Non-Verbal Reasoning. Literature review
	Project Duration	**Project Providers**		
	Short, medium and long duration.	Not specified		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified	Specific audience: children and senior people	According to the authors not only understanding but also to knowing the how and why dance contributes to learning: "More research, more rigorously designed and driven by theory about possible transfer mechanisms, is required before we can determine whether dance is an effective way to teach non-dance skills" (Keinänen, Hetland, and Winner 2000:304)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Can Music Be Used to Teach Reading? (Butzlaff 2000)	The article reviews the empirical literature testing the statement that there is an association between instruction in music (usually school-based) and performance in reading.	School-based music programmes. **Art Form** *Arts on education* Art forms assessed: music	The meta-analysis of the correlation studies demonstrated a strong and reliable association between music instruction and standardized measures of reading ability. However, studies cannot explain what motivates this association. A reliable causal link between music and reading was not found, however, although a positive mean effect size was still found within the experimental group (with a considerable variation, which indicates the findings were not stable). However, a very small number, only six relevant experimental studies were found. Calls for future research on a more rigorous research methodology by experimental designs and studies that look into another possible relationship between music and reading.	A meta-analysis was performed on a set of research studies that met three criteria: they used a standardized measure of reading ability as the dependent variable, the reading test followed music instruction (a pre-condition defined as necessary for establishing a causal relationship), and sufficient statistical data to allow calculation of an effect size. The 31 studies identified were divided in 2 groups, 25 correlational studies (did not randomly assign children to conditions and that had no pre-test of reading ability) and 6 experimental studies (randomly assigned children to music vs. control conditions, and that assessed reading ability before and after exposure to music). Literature review
	Project Duration	**Project Providers**		
	Not specified	Schools.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Article	Not specified	Specific audience: children		Short-term
				Scope of the impact analysis
				Individual Impacts

Title	Summary	Context	Key findings	Methodology
Instruction in Visual Art: Can It Help Children Learn to Read? (Burger and Winner 2000)	The article discusses if reading skills can be enhanced by the instruction in the visual arts.	School-based visual art programmes. **Art Form** *Arts on education* Art forms assessed: visual art	Effect size calculations for the studies in the first meta-analysis were very heterogeneous and did not support the hypothesis that there is a relationship between arts instruction and reading improvement except in the area of reading readiness. The authors attribute some of this to the fact that reading readiness measures depend to a larger extent than reading achievement measures on visual or figural items rather than linguistic. So, the visual arts experience is more likely to generalize to other visual skills (where both training and outcome are visual) than to the more linguistic skill of decoding text. The authors conclude from the second meta-analysis a positive, moderately sized, relationship between reading improvement and an integrated arts-reading form of instruction. The authors argued that due to the small number of studies found it is only possible to sustain marginal support for the hypothesis and that generalization cannot be made. The research concluded that art-based reading instruction promotes better reading, largely through the added motivation that art offers for learning. Future research was suggested on longitudinal research to show improved reading readiness scores as a function of arts instruction and on comparing the effectiveness of art as a motivational entry point into reading with the effectiveness of other potential motivators such as sports.	The authors reviewed over 4.000 individual electronic recorded, 41 journals, and sent out invitations to over 200 arts education researchers to share unpublished research. From this vast amount of work, they selected the empirical studies that met their criteria: having a control group to tested the hypothesis that some form of visual arts instruction improved some aspect of reading ability – and stayed with 10 studies. The studies were coded according to a list of categories, as quasi-experimental (in which one or more intact classrooms received arts instruction, and one or more classrooms served as the control group) or as true-experimental (in which students were randomly assigned to an arts vs. control group at the individual level). They were then analysed within the two mechanisms of effects: cognitive and motivational. *Meta-analysis 1, focused on studies examining the cognitive transfer of skill hypothesis, studies comparing instruction in art to a control group that did not receive any kind of alternative programme. *Meta-analysis 2, on studies examining the motivational entry point hypothesis, studies comparing art-reading integrated instruction with reading instruction alone Literature review
	Project Duration	**Project Providers**		
	The duration and intensity of arts instruction for each study was recorded.	Schools.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Article	Not specified	Specific audience: children		Short-term
				Scope of the impact analysis
				Individual Impacts

Title	Summary	Context	Key findings	Methodology
MacBeath et al, The impact of study support (MacBeth, Kirwan, and Myers 2001)	A three-year longitudinal evaluation on the impact of participation in study support (out of school hours learning) on the academic attainment, attitudes and school attendance of secondary school pupils. Study support looks particularly effective for students from minority ethnic communities. Assessed the value-added of out-of-school activities. This study does comparisons between different types of study support activities, being one of them aesthetic activities.	Out of school activities provided by UK schools **Art Form** *Arts on education* Out of school activities: sporting, aesthetic (Orchestra, Music Club, Steel Pan Band, African Drumming Group, Choir, Dance Club, Art Club, Public Speaking) and leisure purposes	The research found evidence in all the schools that students participating in study support do better than would have been expected from baseline measures in the following aspects: - Academic attainment: The overall effect of participation in study support is higher for specific scores and grades than for students of equal ability who did not participate. Study support can improve attainment in Maths and English by half a grade. - Attitudes to school: Study support has a favourable effect on attitudes to school. - Attendance at school: Regardless of students' backgrounds or school attended, participation in some forms of study support (subject and Drop-in) has a positive impact on school attendance. The effect of study support of aesthetic activities proved to decrease the attendance of students – however, effects are ambiguous and not corroborative with the qualitative data. Study support has an impact at whole school level when participation rates are high. Participating in study support increases the likelihood of subsequent participation. Engagement leads to a circle of experience of success, growth of self-confidence. Reasons for the effectiveness of study support: because of its spirit, voluntary attendance by students and climate created by the staff. Although the sample of schools is biased to schools of disadvantaged populations, benefits to other groups of students were concluded likely to exist. The categories of study support, which are affective across the most measures of achievement, are Subject-focussed study followed then by aesthetic activities. Sport and Aesthetic activities showed some positive effects but largely with White students only. Though Drop-in and Subject-focussed study support have the biggest effect on attitudes (self-esteem), there are also effects from Sport and Aesthetic activities. More girls than boys participate in these last ones.	Design research framework: -51 inner city secondary school -8.000 students in total were tracked for three years. Sources of quantitative data: •baseline and outcome measures for each student of achievement, attendance and school attitudes • participation in study support identified by student self-report and classified according to a developed classification • analysis of the value added by study support by multiple regression analysis. Sources of qualitative data: visits, authentic voice interviews, case studies conducted by a consortium, self-evaluative case studies. The sample was based on schools serving disadvantaged people. - Longitudinal study
	Project Duration	**Project Providers**		
	Not specified	Out-of-school activities developed by schools		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report	Not specified	Specific audience: for secondary school students	"Multiple regression analysis provides not explanations but correlations. It does not say anything about cause and effect" (MacBeth, Kirwan, and Myers 2001:95)	Long-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Sustaining habits of attending cultural events and maintenance of health: a longitudinal study (Johansson, Konlaan, and Bygren 2001)	This research investigates how changes in the habit of attending cultural events, can predict self-reported health.	Swedish population **Art Form** *Arts on health* Art forms assessed: cultural attendance index (cinema, theatre, concerts and live music performances, museums and art exhibitions.), reading books or periodicals, making music and singing in a choir **Project Duration** Not specified. **Project Providers** Not specified.	The study found a correlation between perceived poor health and all the independent variables (influencing in the expected direction). Poor education, increasing age and a low degree of urbanization all predicted poorer perceived health. People that became culturally less active between the first and second assessment and people who were inactive at both time periods, have a 65% excess risk of deteriorate perceived health compared with those who were culturally active in the two moments. People who changed from being culturally less active to being more active had about the same level of perceived health as those who were active in the two moments. The results were argued to be in agreement with a possible causal link of cultural attendance on health: concluding that cultural stimulation is a 'perishable commodity' that demands continued frequency besides new consumers. Explores mechanisms that might explain why cultural experiences improve health conditions: -reduction of tension - arousal of attention, alertness or excitement	Data based on 2 interviews with 3.793 adults from a simple random sample of the Swedish population, one in 1982-1983 and the other 1990-1991 (8 years interval). Outcome measure: self-reported health, answer to the question "how would you describe your general health?" (good, poor or somewhere between) A list of control variables: baseline health status (1982-83), gender, age, housing residence, geographical region, socio-economic status (education attained), reading index, and music-making index. A cultural attendance indicator was constructed, which reflected the frequency of attendance on cinema, theatre, concerts and live music performances, museums and art exhibitions (high and lower scoring participants). The longitudinal transitional model was analysed using unconditional logistic regression having health status 1990-91 as the dependent variable. - Longitudinal study
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified.	Broad audience: adult Swedish sample of individuals aged 25-74 years	*Only two measures in time regarding cultural participation- and this could vary over the years *Cultural participation is a multidimensional process and the measure chosen only covers part *The measure of health only relies on subjective health *Does not infers causality	Long-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
'Not just a treat': Issues in evaluating arts programmes to secure social inclusion (Goodlad, Hamilton, and Taylor 2002)	Preliminary (first 3 years) evaluation of an arts programme launched by the Scottish Arts Council's (SAC), which intended to support social inclusion in deprived areas of Scotland. The Social Inclusion Partnerships (SIP) programme provided a co-ordinated approach with community involvement; an agreed long-term strategy involving public, voluntary and private sector agencies. The objective is to assess the ways in which participation in the arts projects lead to social inclusion.	29 SIP's who conducted arts projects in Scotland, diverse context **Art Form** *Community based arts programme* Projects offered a range of artistic experiences 'combined arts' to their communities (drama, music, visual arts, crafts, dance, literature).	27% of SIP's had not specified anything in their strategy documents about the potential role of the arts, yet a higher proportion had applied for funds under the SAC programme. Changes are expressed in terms such as community empowerment, social capital, capacity building, and social justice. The most important factors that provided context for social change are: effective local staff (workers inside the project that encouraged others to support the arts project to achieve social inclusion goals and also workers with good knowledge of the local context that know how to reach people); working with existing groups; achieving quality in the arts; developing effective partnership (formal and informal); and achieving an immediate impact on the participants. The ones that support the positive impacts of the projects more were the participants of the focus groups. National and local observers of SIPs and the SAC detected these immediate impacts of participation in the projects. Understanding the nature of change in SIPS is difficult, since many contextual and historical factors can affect the behaviour and attitudes of residents. So, the arts are unlikely to be the only factor impacting social inclusion. Achieving social inclusion in SIPs is then reported not to be easy.	This work adopts a scientific approach. Use of the realist CMO (context-mechanism-outcome) framework to evaluate the arts programme. The authors found out at first what were the mechanisms of the benefits of arts participation and the processes of social inclusion (interview key players document review) Methods: • A postal survey to all SIPs (applicants and non-applicants to the SAC programme), • Selected 10 SIPs for further investigation using semi-structured interviews • Identified a small sample of three projects for more intensive examination using focus groups with participants and with a small number of non-participant residents (to assess people's understanding, experience and valuation of the arts). -Qualitative study
	Project Duration The SAC arts programme started in 1999 and it was developed at least during 4 years. The projects supported by the SAC programme varied considerably in duration (average 15,5 months), pilot projects to longer programmes	**Project Providers** The SAC, National Lottery Arts and Social Inclusion Scheme distributed lottery funds to the arts projects in SIPs. Variation of the projects purposes.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report (to the Scottish Arts Council)	Is not mentioned if the SAC arts programme will continued after 4th year (2002/2003) The projects were punctual however there are references of the projects influence on local council strategies.	Broad audience: People of all ages and social backgrounds		Short-term **Scope of the impact analysis** Individual and Collective Impacts

Title	Summary	Context	Key findings	Methodology
Arts, health and community. A study of five arts in community health projects (Everitt and Hamilton 2003)	This report seeks to understand the nature of arts in health work in communities and to appraise ways in which it positively affects people's (participants and professionals) feelings of good health and wellbeing. The report provides details on the 5 community-based arts in health projects, explores the mechanisms and extent in which the outcomes are achieved, and identifies the range of possible outcomes. It is an evaluation process with the aim of learning rather than accounting.	Community-based projects in UK: Wrekenton Lantern Project in Gateshead; South Tyneside Arts Studio in South Shields; West End Health Resource Centre in Newcastle upon Tyne; Looking Well in High Bentham, and Bromley-by-Bow Centre in East London. **Art Form** *Community based arts programme* Art forms assessed: broad range of arts activities according to the projects	The benefits of art in health in community settings: *Participants feeling more relaxed *Enhance understandings of emotions, feelings of self-awareness, self-confidence and self-esteem *Improved language skills of those attending speech therapy sessions *Accreditation/validation of educational experiences *People become knowledgeable about their hearts * Greater recognition on the part of local people and professionals of the contribution people make to their own, and the community's health and wellbeing *Art helps people to take a calmer perspective on problems and anxieties, providing a mental refuge. *People feeling valued *Reduction in social inclusion *Feelings of contentment and enjoyment.	The 5 arts in health projects are very different in many ways. So, different sources of data were used for each project and results should not be compared. Used logical framework planning to design the evaluation of each of the project; involves thinking about the project activities and thinking through the consequences and implications of these activities. Methods used: participant observation and participative discussion in projects; attendance at and participation in project meetings; community surveys undertaken by project participants; documented discussions in projects; workers' records and diaries; participants' writings; attendance registers, day books and scrap book; project documents such as funding applications, minutes of meetings; evaluator interviews with participants, workers, artists, volunteers, participants and workers from other agencies -Qualitative study
	Project Duration	**Project Providers**		
	Broad range of arts activities duration according to the projects	Broad range of project providers according to the projects: health centres, community settings (churches), private, volunteer and public organisational structures		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Not specified in most of the projects	Broad audience: local community (babies, children, teenagers, adults, older people)		Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Improving city schools: how arts can help (Office for Standards in Education 2003)	The report looked at a sample of the lowest-attaining schools in the country that are achieving above national expectations for one or more of arts subjects. The study wanted to assess: -the elements that make for good teaching and the achievement of high standards in the arts, - looked at how pupils felt about the arts in comparison with other subjects.	UK primary and secondary with low attainment schools **Art Form** *Arts on education* Art forms assessed include music, art, dance and drama.	*Schools were all situated in areas with high social disadvantage. * All schools had at least one, and many had two, arts subjects where attainment was above the national average at GCSE. So, low attainment in the core subjects does not always mean low attainment in the arts. Identified qualities of teaching in the arts: * The quality of teaching in the arts in the schools visited was satisfactory or better in 95% of the lessons observed. The environment for arts work was attractive * The arts teachers were generally highly committed to the school and their role: challenging pupils creatively, celebrated their work in school, ensure they get involved in the lessons, allowed pupils freedom in a structured class, valued and supported each individual, contact with parents. *Behaviour in arts lessons can be better than in many other lessons observed Pupil's views about learning in the arts: * Expressed a strong enjoyment of work in the arts, do not miss any day, perceived a pattern of progress * Felt arts subjects were different from other areas, using phrases like 'more relaxed' and 'less stressful'. Limited used of writing. *Have perception of a more creative environment - work through their thoughts, ideas and feelings – with less emphasis on what is 'right' **Responses according to different art forms**: ART *Felt a sense of pride when seeing their work on the wall *Experienced to be more appreciative of the outside world DRAMA *Developed social and communication skills and tolerance, by working with others *Developed confidence to perform *Opportunity to express feelings MUSIC and DANCE *Feelings related to personal image, feel more good about themselves, and recognition It was not possible to link the positive effects of arts on other academic achievement, however staff in primary schools felt students were more confident and motivated and persistent in other subject areas.	Data collection methods -13 secondary schools and 6 primary schools were visited in the autumn term 2002 and spring term 2003; -45 lessons were observed; -past and current work was scrutinised; -analysed data from Ofsted school inspections; -discussions were held with staff and pupils to assess their perceptions of the role that the arts played in their education and preparation for life; -interviews to the pupils. - Qualitative study
	Project Duration	**Project Providers**		
	Short and medium duration.	Schools		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**

Report	Not sustainable. Is pointed the issue that support for work in the arts transfer across the various phases of education was not strong.	Specific audience: students	The direct evidence refers to a small number of schools and pupils and these should not be thought necessarily representative of the picture of education nationally.	Short-term
				Scope of the impact analysis
				Individual Impacts

Title	Summary	Context	Key findings	Methodology
The Art of Inclusion (Jermyn 2004)	A commissioned evaluation research to explore social inclusion work in the arts. The study develop different evaluation methodologies for 3 models of arts projects addressing social inclusion: • Model 1: a local group or community-led work, who approaches a funded arts organisation • Model 2: an experienced regularly funded arts organisation for whom working with excluded people is the mainstay of their work • Model 3: a large, experienced regularly funded arts organisation, with a commitment to this area of work, but little practical experience who develops a partnership with a community-based organisation.	Projects took place in settings ranging from prisons to theatres, from community centres to hostels for the homeless **Art Form** *Community based arts programme* Most were participatory arts projects with a wide range of arts and crafts, Including digital arts, textiles, painting, mural-making, photography, writing, music-making and drama	• Approximately half of the participants said they had changed their views about the arts as a result of participating in the project. Each described feeling more positive about arts or having more developed views • Almost all participants felt they had learned new skills. • All participants agreed with the statement 'I feel I have developed a better appreciation of the art form' • Often participants described how projects had boosted their confidence. We cannot draw conclusions from the evidence about the extent to which increases in confidence transferred to other areas of people's lives or whether increases were long lasting. • Over half of participants agreed with the statement 'being involved in this project has helped me feel good about myself' • Almost all participants interviewed felt proud of what they had achieved and were proud of what the group as a whole had achieved • Many people had made new friends through arts projects • Of the 31 group of participants interviewed, 24 had enjoyed projects 'very much' The importance of supporting people's participation by meeting their practical needs The report illustrates that the high-level outcomes regarding direct impacts on health, crime, education, employment etc. are largely unrealistic when applied to short-term projects. Participants cite positive benefits to participation in arts projects but these are largely of a personal and transitory nature (valuing individual testimony)	28 arts organisations participated in the research. The research methods included interviews with arts staff, participants and stakeholders, observation of projects in action and analysis of organisations' own evaluations. Interviews were conducted to: -66 artists and other staff working in or for arts organisations (at the start and end of the project) -53 participants, including 31 who were interviewed using a specially designed questionnaire at the end of projects -9 coordinators or leaders of groups participating in projects -8 other stakeholders such as representatives from participating schools, evaluators and health workers The research was said to be not an impact study but, it explore the outcomes of projects - Qualitative study
	Project Duration	**Project Providers**		
	Not mentioned	The projects were initiated in different ways, had different aims and objectives		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report (Arts Council of England)	Occasional. Few organisations presented participants some form of continuity with the arts engagement themselves after the artist left.	Broad audience: from older people, to families, to young people and community in general.	• "it proved difficult to explore outcomes in the depth originally planned, partly because of the diversity of work represented" (Jermyn 2004:5) • "longitudinal research would be needed to assess whether outcomes are long-lasting and the extent to which people's stated intentions are followed through" (Jermyn 2004:64)	Short-term **Scope of the impact analysis** Individual and Collective Impacts

Title	Summary	Context	Key findings	Methodology
The arts in criminal justice a study of research feasibility (Miles and Clarke 2006)	The focus of the study is on the practical, logistical and methodological issues involved in carrying out effective research on the impact of arts interventions in criminal justice settings. A total of five projects of arts activities in prisons were analysed, allowing comparisons by criminal justice context, art form, gender and ethnicity; on how the arts might impact on 'good order' in prisons and on 'progression routes', both in custody and into resettlement; then, in terms of an offender target group, on the relatively under-researched 'young adult' (18-25 year old) population.	State and private sector criminal justice establishments in UK. **Art Form** *Cultural Activities/Programme* Disparate activities ♦ 1 prison-based dance project (female prison) ♦ 1 resettlement based dance project (female ex-offenders) ♦ 1 prison-based writing project (female prison) ♦ 1 resettlement based drama project (male ex-offenders) ♦ 1 prison-based drama project (male prison)	Profiling revealed that the projects followed were dealing with a number of differing constituencies. Evidence from interviews, observation, and psychometric testing indicates that the projects brought about positive shifts in: • engagement, • self-esteem, • confidence, • self-control • the ability to co-operate • and motivation to seek out new arts based educational opportunities. Younger participants with little experience of the criminal justice system clearly did feel transported by their experiences, immersing themselves almost totally in the project. However, positive impacts tended to last for the duration of the intervention only, and in some cases its completion could generate negative effects. At the end does not equate to a framework for realist evaluation	A realist approach was designed, varying according to the particular circumstances and dynamics of each 5 project. In differing combinations, of 6 key data gathering methods information was obtained locally from participants (sample size does not go beyond 15 participants): • psychometrics tests, assessed through questionnaires, designed to measure the impact of an intervention on self-esteem, self-agency and self-control, scale measurements respectively, Rosenberg Self Esteem, Eysenck Impulsivity Scale, Locus of control (carried in 2 projects); • observation; • interviews (carried in 4 projects); • diaries of participants (low return rate) • and tracking participants (after intervention) Profile information was obtained in 3 of the 5 projects (in the realist approach background information is required to help identify comparison groups) The responses to the questionnaires enable analysis of the pre-project, post-project and follow up group scores on each of the three measures, using a T-test comparing the matched pairs of means between pre- and post-intervention, post intervention and follow up scores, and pre-project and follow up scores. -Multidisciplinary approach
	Project Duration	**Project Providers**		
	Short-term (according to the 5 projects from 3 to 12 weeks)	Projects provided by external individuals, groups, organisations, one delivered by a prison education department		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report (Arts Council of England)	Occasional.	Specific audience: Male and female offenders and ex-offenders (different ages and backgrounds)	"In order to establish the sustainability and transferable benefits of arts interventions longer-term or sequential projects supported by longitudinal research and an effective tracking methodology is required" (Miles and Clarke 2006:10) "There are a number of practical obstacles to conducting research into arts interventions in criminal justice settings, which are underpinned and reinforced by the structural, organisational and cultural dynamics of the sector" (Miles and Clarke 2006:61)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Mental health, social inclusion and the arts: Developing the evidence base (Secker et al. 2007)	The aim of the study was to identify indicators and measures of mental health and social inclusion outcomes amongst arts project participants. The research used a traditional experimental pre-and post-test study, complemented by qualitative case studies of six selected arts projects. Theory of Change approach was broadly adopted for the 6 case studies, to structure a research of how, why and for whom arts initiatives work, by a systematic and cumulative study of the links between their activities, outcomes and contexts.	The study focused on participatory arts projects developed within urban and rural context with people with mental health needs in England **Art Form** *Arts on health.* Wide range of art forms: fine art, decorative design and handicraft, performance arts, creative writing and others.	1-Results from the survey indicated that although some projects were evaluating health and/or social inclusion outcomes, this was not common. 2- Statistical analysis demonstrated significant improvements in participant's mood, self-esteem, symptom of depression, decreased anxiety and opportunity for social contact. 3-Indicators of improved mental health were identified as: - increased levels of mental wellbeing, - decreased mental distress, - reduced levels of primary and secondary care service use, - and reduced medication use. Indicators of increased social inclusion were: - higher levels of social contact likely to build bonding and bridging social capital, - reduced levels of perceived stigma and discrimination, - and higher levels of engagement in employment and education. 4- Results of follow up: decrease in need of regular care service, decrease in use of the overnight stays; increased employment and education opportunities; stimulate empowerment 5- More important results of case studies analysis, across all projects: getting motivated, focusing and connecting with others, which improved mental wellbeing and decreased mental distress	The study includes the following steps: 1- A survey of arts and mental health 230 projects (with 102 relevant responses) to assess the scale of participatory arts work and current approaches of evaluation; 2-A retrospective statistical analysis of outcomes data shared by two projects; 3-Development of indicators and measures for use within an evaluation framework; 4-Implementation of the evaluation framework in questionnaire measuring levels of mental health and social inclusion amongst 28 arts project participants at the beginning of their involvement with their project (baseline) and six months later (follow-up) (88 participants in total, 62 completed the follow up questionnaire); 5-Qualitative case studies with workers and participants of 6 projects to assess how participating in arts, benefit people with mental health needs. Two stages: first, workshops for each project were delivered to explore the theory of change; second, 6 participants from each project enrol in-depth interviews (total 34) - Multidisciplinary study
	Project Duration Wide range of project duration.	**Project Providers** Different project providers of the total of 28 + 6 projects analysed (local artists, organisations, colleges)		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report (Commissioned by the Department for Culture Media and Sport and the Department of Health)	Occasional.	Specific audience: People aged 16 to 65 with mental health needs.	There was no evidence that the decreases found were related to arts participation The case studies demonstrated arts provision for people with mental health needs is not a case of 'one size fits all' and this needs to be taken into account when designing projects. "The main implication for further research is the need for longer term studies" (Secker et al. 2007:12)	Short-term **Scope of the impact analysis** Individual and Collective Impacts

Title	Summary	Context	Key findings	Methodology
Are variations in rates of attending cultural activities associated with population health in the United States? (Wilkinson et al. 2007)	This research, is based on the Sweden study (Bygren, Konlaan, and Johansson 1996), examines the same link between attending cultural activities and mortality and self-rated health (SRH), in the US residents. The analysis takes public use data from the 1998 General Social Survey (GSS).	United States population **Art Form** *Arts on health* Attendance at cultural activities: 1) art exhibits 2) dance performances 3) operas or classical recitals 4) movies 5) live popular music 6) plays/theatre	First model, which is adjusted for age, gender, marital status, race, and number of children: *Attendance at all of the individual events, except the opera or classical music recital, was significantly associated with SRH *Cultural Activity was also significantly associated with SRH. Second model, which adjusted for subjective social class, employment status, household income, and years of education: *Only Cultural Activity maintained significance The study reports the more cultural activities people reported attending, the better was their SRH. The authors suggest further longitudinal research. "This study did not directly assess mechanisms linking attending cultural activities with health, it seems plausible that the benefits derived from attending cultural activities are related, partly at least, to social aspects of the activities" (Wilkinson et al. 2007:26)	The GSS is an annual survey of attitudes toward social issues (data collected by in-person Interviews). In 1998 a random sample of individuals, completed a module reporting on the types of cultural activities attended in the previous year. Sample size of respondents 87% (n=1.244). Outcome variable: SRH - Participants answered the question "In general how would you rate your health?" Responses made on a 4-point scale: excellent, good, fair, or poor. Cultural attendance: Participants were asked "about some leisure or recreational activities that people do during their free time. As I read each activity, can you tell me if it is something you have done in the past 12 months". Cultural activity variable: to reflect cumulative engage. Multivariable logistic regression analyses were used to establish if there was an association between attending cultural activities and SRH. The models were built for first each type of activity (separately) and secondly for 'cultural activity'. Different controls were used to adjust the two sets of models. - Correlational study
	Project Duration	**Project Providers**		
	Not specified.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified.	Broad audience: adult US sample of individuals aged 18–89 years old	Reported limitations of the study: - data is cross-sectional, so the direction of causality is uncertain; good health can increase motivation to attend cultural activities - data is exclusively based on self-reported measures (no clinical health condition) -limited range of cultural activities (does on the survey) -no information on frequency of attendance (intensity) - none of the fully-adjusted models that investigated each type of event separately demonstrated a significant relationship with SRH - the analysis does not include important controls variables, which influence SRH	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Towards transformation: Exploring the impact of culture, creativity and the arts on health and wellbeing (Kilroy et al. 2007)	A study developed to assess the impact of arts participation on the health and wellbeing by a 'Realistic Evaluation' approach (for looking at the context, process and outcomes within and across projects). The aim of the study was to explore and measuring the perceived value and impact of arts engagement, explore the concept of the 'transformative effect'; and explore the value of participatory evaluation as a means of capacity building, development and sustainability. The challenge is to demonstrate how process of change takes place. Measures of health and wellbeing: Psychological wellbeing, General Health, Anxiety and depression, Job satisfaction in health workers.	Manchester, UK **Art Form** *Arts on health* Art forms assessed: attendance at cultural activities. Through the questionnaires participants described to participate in more than one type of art form.	-Perceived wellbeing (Ryffs' Scale of Psychological Wellbeing) was significantly improved through the arts experience. In the wellbeing subscales, the most significant changes were in the areas of environmental Mastery, self-acceptance, autonomy and purpose in life. Personal growth and positive relationships showed no significant change over time. In the 'older people' group results indicate that the increases in wellbeing were not significant with arts activities. In the 'mental health' sample results indicate that there was a highly significant increase in wellbeing following participation in arts activities. For the Arts on Prescription sample results suggest overall there was a significant increase in wellbeing. There was a significant increase in wellbeing and job satisfaction following the arts projects for 'health workers'. - The results indicated that there was a significant increase in health overall (General Health Questionnaire) as a result of arts engagement, indicating that physical symptoms, symptoms of anxiety, social dysfunction and severe depression had all reduced significantly over the period of engagement with the arts projects. In the older people group however the reported changes in general health were not significant. -The Hospital Anxiety and Depression Scale measured changes to perceived anxiety and depression within those projects addressing mental health issues. -The results indicated that job satisfaction increased in the sample that had engaged with the arts and decreased in the control sample. The research proposes a 'Model of Transformational Change' to explore and understand the spectrum and **mechanisms** of effect, based on the data collected. Sustainability of the model is tied by: long-term funding, good organisation, and ability to follow objectives. It is important that not only participants but the whole system is engaged in the strategic process of embedding arts and health in to the ward environment.	6 projects were analysed. 104 participants completed both questionnaires. Mixed methods: *Initial projects consultation by workshops *Assessed impacts: wellbeing, general health, job satisfaction, depression and satisfaction using validated scales * Measures of wellbeing - Ryffs' Scale of Psychological Wellbeing identifies 6 subscales: autonomy, environmental mastery, personal growth, positive relationships, purpose in life, self-acceptance * Interviews of participants. * 4 questionnaires, with each project adopting 2 and 3 (all projects utilised the measure of wellbeing; 4 projects completed the health questionnaire; 3 the mental health questionnaire, with 2 using the job satisfaction questionnaire). * Differences in questionnaire scores between the beginning and end of project participation (pre and post) were analysed using paired t-tests to determine the significance level of any increase scale post arts engagement. Regarding job satisfaction measurement an additional sample of health workers who were working in the same area but who had not engaged with arts was inquired. - Correlational study
	Project Duration	**Project Providers**		
	Not specified.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Occasional Projects "are unable to offer projects long term, and to have strong supportive financial structures that enable them to test this approach" (Kilroy et al. 2007:11)	Specific audience: older people, people with mental health needs, and health service workers		Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Visual Art as a Vehicle for Educational Research (Hickman 2007)	The project is supported by the notion that arts can be a language (for understanding the world), provide a particular way of knowing and can be used as a tool for research. Look into a project proposed to help art & design teachers in training use their particular strengths to report on classroom observation through visual art. A group of 19 student teachers of art & design were invited to report their school placement experience via visual art form rather than through a text. The resulting images were discussed in a seminar.	Art & design graduates training to be teachers in secondary schools, in a Cambridge university **Art Form** *Arts on education* Art forms assessed visual art, drawing	Outcomes of the project collected from the seminars: *relevant – students gained valuable insights into their placements by adopting an art-based approach to educational research. *practical tool – using visual arts as a reporting method *fun *value students art skills *apprehend the unspeakable - access to aspects of the teaching and learning phenomena, which would be difficult to understand through words. In general it promoted the use of other methods of conducting and reporting research than by writing.	Over a period of about six months, 19 art and design postgraduate teachers in training received the following brief – 'Classroom observation: using art as a vehicle for reporting'. A process of observation and interaction, which included interviews with a sub-group of three students, small group seminars and reflections. The project has two stages of production of visual work and presentation and discussion to the rest of the group, which were determined by the students' first and second professional placements (of three months apart). - Qualitative study
	Project Duration	**Project Providers**		
	Short duration.	Schools		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Occasional	Specific audience: students	"There is, however, a need to conduct further (and larger scale) research that is rigorous in terms of its interpretation and that confirms or denies the notion that visual art can be a useful additional research tool in education" (Hickman 2007:321)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
After-School Programs and Academic Impact: A Study of Chicago's After School Matters (Goerge et al. 2007)	This study focuses on examining the possible impact of a range of after-school programmes - Chicago After School Matters (ASM) - on academic achievement. It is a programme that offers youth training opportunities. It started small, as a creative bridging of arts and workforce development, (named Gallery 37), but due to its success it has expended city-wide and into other subject areas. Chicago teens have access to 725 programmes in 35 schools and providing over 22.000 apprenticeships (students are paid to value their work) and other opportunities, by 2006. The study focuses on the ASM's impact on school attendance and performance. ASM stresses the importance of school by requiring participants to attend school on the day they participate in ASM.	A programme in Chicago of school-based after-school programme that crosses public, private, and non-profit sectors **Art Form** *Community based arts project* Project that offers a range of activities in arts, sports, science, communications and technology in different formats of engagement However, does not make the case for the effect of the specific activities of arts, it analysis all together.	The study found that students, who participated in ASM, on average, had better prior attendance records and fewer course failures than students that did not enrol in the programme. So, the study includes adjustments for attendance and achievement in order to exclude these effects and concluded ASM participants continued to have significantly better outcomes than students who did not participate in ASM. Outcomes A sample • Students who participate in ASM miss fewer days of school than similar classmates. • Students who participated <u>at the highest levels (intensity dimension)</u> in the after-school programme tended to fail fewer core academic courses (English, Math, Science, and Social Studies). • Students who were enrolled in ASM for three or more semesters and who participated at the highest levels had higher rates of graduation and lower dropout than similar students who did not participate in the programme. • The better academic and attendance performance that ASM participants achieved before and while participating in ASM disappears two semesters after they stopped attending the programme. B sample *Students with very high levels of participation in ASM, the odds of graduating were 2.7 times greater than the odds for students who did not participate, even taking in account demographic characteristics and prior academic achievement	Data collection: *Information was collected from the 24 schools that were operating ASM. Student participation was tracked during three semesters beginning in the autumn of 2002 through the autumn of 2003 *Information on school attendance and course failures was collected for the two semesters. *A: 20.370 students were included in the study, 17.099 did not participate in ASM, 1.982 applied to the programme but did not end up participating, and 1.289 (or 6.3%) participated in ASM at different levels of intensity *B: Students who started high school in September of 2001 at the first 12 schools to realize ASM were tracked throughout their entire high school career (3.411) Uses logistic regression models to predict influence of ASM on graduation (student's decision to finish high school) and dropout by age 18. - Longitudinal study
	Project Duration Long-term, is an on-going programme that allows enrolment in different formats.	**Project Providers** Partnership Model: public and community partnerships that offer the programme in public high schools and community organizations		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report	Sustainable	Specific audience: youth	"However, a remaining challenge is explaining why some students participate in after-school programmes and others who are similar to them do not… This report also highlights the importance of understanding the factors that contribute to engaging and retaining students who are already enrolled in after-school programmes like ASM" (Goerge et al. 2007:6)	Long-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
The impact of music on childhood and adolescent achievement (Southgate and Roscigno 2009)	The article examines the association between music involvement and academic achievement in childhood and adolescence. It tries to control for potential confounding factors, propose a longitudinal analysis, and attend effects of social class variation. It **uses 3 measures of music participation**, arguing the music measure needs to be more precise: in school, outside of school, and parental involvement in the form of concert attendance.	Uses data on students from the Department of Education of the USA	1: Results report no social class variation in and outside school music involvement for children, but emerge for adolescents. The effects of social class on parental music involvement are strong, for both children and adolescents (express the variations in resource availability within families). There are racial differences in music participation - Children of colour are less likely to participate in all three forms of engagement as adolescents. There are no gender effects. Attending concerts is a matter of economics, forms of education (discretionary dimension to educational investments) and culture. 2: Music participation, in inside and outside of school, is associated with measures of academic achievement among children and adolescents. *household educational items have a positive effect for both age groups and for both achievement outcomes. *race have different influences on achievement READING * Music involvement within school positively predicts reading achievement for both adolescent and children. *Music outside of school is positively associated with reading achievement for adolescents. *Parental music involvement is not significantly associated with reading achievement. MATH *Math achievement is associated with music participation in school and parental attendance at concerts for young children	Try to address main questions: 1- who participates in music, in and outside of school, and to what extent is such involvement stratified by social class, race/ethnic, and gender status? - Apply logistic regression 2- does various forms of music involvement influence academic achievement (math and reading), even after accounting for prior achievement, background statuses, and other educationally meaningful investments? To what extent might differences in music involvement shape group-specific gaps in achievement? - Apply OLS regression techniques The analysis uses data from two national data sources: -the National Educational Longitudinal Survey (NELS:88) (sample 7.781) -the Early Childhood Longitudinal Survey (ECLS-K) uses kindergarten data (sample 4.376). Controls for family background, gender, race, socio-economic status and prior achievement. -Longitudinal study
		Art Form		
		Arts on education Art forms assessed music		
	Project Duration	**Project Providers**		
	Not specified.	School and outside school activities.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified.	Specific audience: childhood and adolescence	"Only a randomized design experimental study can capture causality; yet our analyses demonstrate in a relatively rigorous fashion a robust relationship between music participation and achievement—a relationship that emerges particularly when music participation is conceptualized and measured broadly…our data and analyses are limited in their ability to measure and capture the quality and duration of children's and adolescents' participation" (Southgate and Roscigno 2009:18)	Long-term
				Scope of the impact analysis
				Individual Impacts

Title	Summary	Context	Key findings	Methodology
Creating an impact: Liverpool's experience as European Capital of Culture (Garcia, Cox, and Melville 2010)	This report is a summary of the key findings of Impacts 08, a programme evaluating the impacts of Liverpool, European Capital of Culture 2008 (Liverpool ECoC) on the city, wider region and its people. The Liverpool ECoC programme had a total income of £130 million over six years, the highest of any European Capital of Culture to date. The five themes of the research programme were: 'Cultural access and participation', 'Economic and tourism impacts', 'Cultural vibrancy and sustainability', 'Image and perceptions', 'Governance and delivery process'	Liverpool, UK **Art Form** *Cultural Activities/Programme* Wide range of events and art forms during the ECoC programme.	From 2005-2008, around 41.000 activities took place including: – 276 highlight events – 21.000 performance and exhibition days – 20.000 workshops and training sessions – An audience of 18 million – 1.000 volunteers giving 7.000 days In 2008 alone: – 7.000+ activities – An audience of 9.8 million – 80% of audiences rated the events 'good' or 'very good' Cultural access and participation: in 2008, 1/3 of the audience was local, 1/6 from beyond the region, and nearly 5% international; registered a 10% rise each year in arts audiences across Liverpool; 66% of Liverpool residents took part in at least 1 ECoC event. Economic and tourism impacts: the Liverpool ECoC attracted 9.7 million additional visits to Liverpool, constituting 35% of all visits to the city in 2008; of these visits generated an economic impact of £753.8 million Cultural vibrancy and sustainability: Liverpool culture stories have diversified and the sector has developed strong networks Image and perceptions: Events delivered under the Liverpool ECoC brand received over 90% + or neutral coverage throughout this period; by the end of 2008, 65% UK residents were aware that Liverpool was European Capital of Culture Governance and delivery process: The ECoC generated the highest amount of sponsorship and earned income of any ECoC; Liverpool's ECoC developed an extensive partnership across public, private and third sectors, reflected in a new city-wide cultural strategy for 2008 to 2013.	The longitudinal impact analysis of the Liverpool ECoC as delivered by a wide range of stakeholders, covered: - retrospectively Liverpool's pre-bid period (2000), - bidding and nomination stages (2002-2003), - event lead-up (2004-2007), -event year itself (2008) - and beyond (early 2009). Multidisciplinary analysis combined: – The identification and mapping over time of a series of indicators (clustered around the five themes of the research programme) – In-depth interviews with key stakeholders about the ideas and development of the Liverpool ECoC; from public, private and community sectors and from policy, culture and regeneration backgrounds – A media impact analysis from 1996-2009 – Local area studies which focused on the experiences of local people in diverse parts of the city from 2006-2008 – The development of in-depth studies, both quantitative and qualitative, in response to themes and issues that arose during the research programme – The regular assessment of secondary data collected by partners and other agencies, as well as data from external sources in the region and the rest of the UK. - Multidisciplinary study
	Project Duration	**Project Providers**		
	A five-year joint research programme to evaluate the Liverpool 2008 ECoC (a intensive strategic cultural programme during one year, 2008)	Wide range stakeholders developed the ECoC programme.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report (commissioned by Liverpool City Council)	Occasional programme. However, the ECoC has improved the sustainability of the Liverpool cultural sector, as is show in the study.	Broad audience: community in general	"These outputs and outcomes must, however, be understood within a wider context and their interpretation must take into account the particular challenges surrounding any attempt at assessing an ECoC programme unfolding over six years" (Garcia, Cox, and Melville 2010:59)	Long-term **Scope of the impact analysis** Collective Impacts

Title	Summary	Context	Key findings	Methodology
Arts and the inclusive imagination: Socially engaged arts practices and Sistema Scotland (Allan 2010)	Focuses on the role of the arts in engaging children and young people and in connecting with their imaginations. Reports on children and young people's reactions to an event – Art Lab - that introduced them to a range of arts activities. It then discusses the Sistema Scotland, a programme of social change through classical musical training, which has its origins in the Venezuelan El Sistema. Debates the programme potential to produce high-class players and transform communities.	Art Lab: Children and young people from a range of schools were invited to enrol the sessions. Sistema Scotland: disadvantaged part of Central Scotland (Scotland) **Art Form** *Cultural Activities/Programme* Art Lab: Sessions of music, theatre, dance, film animation, visual art and circus Sistema Scotland: music	The children engaged in Art Lab, were engaged in a way that school does not provide them, which evidently made a strong imprint upon them. Difficulties in achieving the intended objectives of Sistema Scotland: Sistema Scotland has targeted one of the most deprived parts of Scotland for the development of its music programme and has seen the need to emphasize the community's deficits (to fundraising), which emphasizes the importance of ensuring that social inclusion programmes do not themselves become instruments of exclusion. The exclusive emphasis of Sistema Scotland on classical music, and the lack of the Scottish traditional genre raise questions if the programme fits its context.	Qualitative approach to evaluate the Art Lab sessions: • Moving and still film images were taken throughout the Art Lab day, • The children and young people were talked to when participating in an informal way, • Follow up focus group discussions were held some weeks after, where the children and young people were asked to draw their ideal teacher and ideal pupil during the Art Lab day, and to make a piece of art which captured their sense of the day and its impact on them. • A camera was also delivery to the youngest to "interview" each other on the subject of good teaching and learning. Approach to evaluate the Sistema Scotland: A group of researchers co-ordinated a series of knowledge exchange activities, aimed at exposing the programme managers to the stakeholders of the process: children, service providers, members of the Board and the local community. Meetings with the stakeholder were organised as a Learning Spaces, based on Open Space Technology (participants as the experts) - Qualitative study
	Project Duration The Art Lab experiences, consisted in a one-day workshop for young people. The Sistema Scotland started in 2008 and children received music lessons per week.	**Project Providers** Art Lab: Artists from different backgrounds invited to participate by the Scottish Arts Council Sistema Scotland: musicians		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Art lab: Occasional Sistema Scotland: Sustainable	Specific audience: children and young people	"we were also seeking to develop further research proposals to investigate the long term impact of Sistema Scotland" (Allan 2010:118) "we also envisaged a difficulty in producing the kind of evidence that lives had indeed been transformed and that this had been achieved solely through the genre of classical music" (Allan 2010:119)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Understanding the value of engagement in culture and sport (CASE-The culture and sport Evidence Programme 2010)	The objective of this research is to answer the question: What is the economic value of engaging in sport and culture? The study concerns in the value of a person participating in sport or attending/visiting a cultural asset: to isolate the marginal value of an extra unit of engagement.	Study on understanding the value of engagement in the British context **Art Form** *Cultural Activities/Programme* Engagement in culture and sport defined as: attending a heritage site, a arts event, a museums, library or archive, participating in sport	Going to the cinema at least once a week has an IC of £9.000. Doing sport at least once a week has an IC of £11.000. Going to a concert at least once a week has an IC of £9.000. Lower frequency engagement generates lower ICs. Attending an art event, doing sports and visiting a museum has a positive impact on LS. Visiting a library has not a significant impact on LS. The number of sports generates long-term economic value in terms of avoided health costs and improved health-related quality of life. For example, compared with a person who does not play sport, a person who plays football at the age of 30-49 years old is expected to experience health outcomes worth £27.600 over the remainder of his lifetime.	Sums the benefits of engagement in culture and sport identified through a stakeholder exercise (composed by workshops and interviews) at individual, community, national level Arguing 'willingness to pay' (WTP) is insufficient to cover all the benefits of engagement, applies subjective wellbeing (SWB) method to estimating the short-term private value of engagement in culture and sport (to control for endogeneity of income an instrumental variable is used - 'interviewer saw payslip'). Life satisfaction (LS) is used as an indicator of SWB. the SWB approach was combined with the calculation of income compensation (IC) estimates to estimate the monetary value of engagement. Estimate the long-term value of engagement with decision modelling. Limitations with data meant that the scope of the decision modelling was limited to assess the economic value generated by the long-term health gains associated with doing sport. - Multidisciplinary study
	Project Duration	**Project Providers**		
	Not specified.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report	Not specified.	Broad audience: general population	"More measures of engagement should be included in national longitudinal surveys…Further research is required on the relationship between income and SWB. The calculation of ICs requires coefficients for the relationship between income and SWB" (CASE-The culture and sport Evidence Programme 2010:59)	Short and Long-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Creative Placemaking. Case study: Art as Healing, Fond du Lac Reservation, Minnesota (Markusen and Gadwa 2010)	A tribal, Fond du Lac, was challenged to donate 1-2% of their Council budget to purchase works of art to complement interior environments of services centre (Min No Aya Win Human) with their culture, making the case for culturally specific art as an instrument for healing and community identity. Partnership between the service centre director and the tribal members, to integrate art and culture into community space.	American Indians, a Minnesota tribe: Fond du Lac. **Art Form** *Arts on health and wellbeing* Art forms presented in the centres: murals, sculptures, painting, stencils, historical photos	People feel better when interacting with beautiful environments and with things with meaning for their culture and identity. Encourage community members to access the services centres. Boost staff morale when dealing with difficulty situations. Sustain the creative output by stimulating creativity and contracting local artists. Transformation of centres in aesthetic experiences.	Method: few open interviews to those responsible for the programme. -Qualitative approach
	Project Duration	**Project Providers**		
	Not specified.	Partnership		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Not specified	Broad audience: adult		Short-term **Scope of the impact analysis** Individual and Collective Impacts

Title	Summary	Context	Key findings	Methodology
The uses of art in the context of health and diversity (Soman and English 2010)	In order to improve paediatric health care, The Hospital for Sick Children decided to practice in a way sensitive to the social, emotional and cultural needs of children. It developed a project, *Peace*, to understand children's emotional, social and spiritual wellbeing in the context of their health and recovery and to celebrate **cultural diversity**. A tree trunk and branches were painted and displayed, October 2008, on a wall accessible to children in the hospital ward.	The Hospital for Sick Children (Toronto, Ontario). Canadian metropolitan city. **Art Form** *Arts on health* Art forms assessed: Creating artistic work (pictures, symbols, crafts) to put on a paper tree.	The tree allowed to acknowledge different cultures and traditions (of those taking part), developing tolerance and permitting the children to be proud of their heritage. It was an opportunity to recognise the importance of addressing cultural competences in the healthcare curriculums. Encourage staff to value those who come for care at the unit, so that patients feel cared for physically, emotionally, spiritually, culturally and socially dimensions. Stimulate bonds between patients, families and hospital staff, by looking at and discussing visual art. Children who used expressive art materials were encourage to share talents and creativity and to have a sense of choice and control in the hospital setting.	Children were introduced to the tree and asked to produce artistic work to add to it. This art activity was adaptable to patients' needs and abilities, and it was inclusive to all family members. The students and other volunteers working ~~on~~ in the unit helped in developing the project. There was then space for social interaction with each other (patients, families, workers), which result on a table comments with potential list of benefits - Qualitative study
	Project Duration	**Project Providers**		
	3 months with 12 new motifs on the tree per week.	Hospital centre.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Permanent.	Specific audience: children	"In the future, we would like to evaluate the impact of this project and hope that by celebrating cultural diversity, we can instil a spirit of acceptance as well as convey this to all families" (Soman and English 2010:10)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
The Dynamics of Visual Art Dialogues: Experiences to Be Used in Hospital Settings with Visual Art Enrichment (Wikstrom 2011)	This paper explores new directions in which art could be integrated in nursing care. Hospitals have environmental enrichment with paintings and visual art arrangement that can be used by health professionals in order to develop nursing care. Indeed, the evaluation was conducted to reveal how art dialogues, using hospital art/paintings, could induce beneficial effects for the spectator's. The study explores the Visitor's perception using a structured art dialogue (SAD) model.	Art gallery in Sweden, located outside a city.	Participants reported the visual art dialogue programme as relevant and fruitful. Participants when requested to describe, in their own words, the meaning of looking at and discussing paintings, three themes appear: raise association, mentally present, and door-openers. Participants when asked what meaning have music, books, movies, theatres, museums in their life, 78% of the participants reported makes me happy and gives energy and inspiration; 22% answered makes me harmonious, gives peace, open new windows. Participants when asked about 'The meaning of gallery visits with structured dialogues compared to gallery visits without structured dialogues' 52% reported that dialogues increase inspiration, make you involved, and stimulate curiosity. The study supported the view that meaningful art stimulation, related to a person's experiences and expectations, will be of importance in peoples' life.	Participants (n=20) experience the visual art dialogue programme: men and women with no formal education in art. Participants were recruited via 2 galleries from their mailing lists and from people who worked at a public department. Structure of Data Collection: *Participants were requested to describe, in their own words, the meaning of looking at and discussing paintings at a visual art gallery; *Data was collected by questions to be answered by participants during the art intervention period and also by a questionnaire semi-structured after participation (2 month after the last art intervention meeting); *In between the art galleries meetings, a copy of a painting was mailed to each participant and they were asked to write down what comes to their mind when looking at the copy and send their reflections to the project leader. Data was qualitatively analysed in 3 steps: -create a first impression of the interview, - find the underlying message in the statements representing different dimensions, -and formulate categories by reading text repeatedly to get an understanding behind the words. - Qualitative study
		Art Form		
		Arts on health Art forms assessed: works of art used in the study are by a Swedish painter and are constitutes of paintings, dance suits, and sculptures in papier-mâché.		
	Project Duration	**Project Providers**		
	During a 1-hour session, participants meet in a visual art gallery every second week five times, total of 5 times.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified.	Broad audience: adult	"A weakness in the present study could be that objective data was not collected. Nonetheless, the main focus of the study has been the participants' perception and points of view about adding structured dialogues to a gallery visit"(Wikstrom 2011:6) "A bias factor that could not be excluded is that the participants could feel forced to give positive opinions about the importance of art dialogues, because it was the artist who assisted participants in the art dialogues"(Wikstrom 2011:6)	Short-term
				Scope of the impact analysis
				Individual Impacts

Title	Summary	Context	Key findings	Methodology
Patterns of receptive and creative cultural activities and their association with perceived health, anxiety, depression and satisfaction with life among adults: the HUNT study, Norway (Cuypers et al. 2011)	This study analyses the association between cultural activity and perceived health, anxiety, depression and satisfaction with life in both genders (to explore possible differences). This study divides cultural activity in to receptive and creative activity. Receptive cultural activities are the ones where individuals experience without self-doing; and creative cultural activities, refers to the real engaging on the creative process. In contrast with other studies leisure time physical activities are included in the concept of culture.	Population: Nord-Trøndelag County, Norway **Art Form** *Arts on health* *Receptive cultural activity Museum/art exhibition Concert/theatre/film Church/chapel Sports event *Creative cultural activity Association/club meeting Music/singing/theatre Parish work Outdoor activity Dance Workout/sports	*Perceived health For receptive cultural activities, only one activity (attending a sport event) was associated with good/very good health in women. In men all receptive cultural activities were statistically significant associated with good/very good health. For creative cultural activities participation was associated with good/very good health in women (association activity or club meeting, music, singing, theatre, outdoor activities, dance and working out/sports). In men, participation in parish work, in association meeting, outdoor activities, dance and working out/sports was significantly associated with good/very good health. The frequency of cultural participation and the number of different activities were positively associated with good health, satisfaction with life, a lower anxiety score and a lower depression score. Men engaged specifically in receptive, rather than creative, cultural activities reported better health-related outcomes. Cultural participation was strongly associated with socio-economic factors. But, cultural participation was independently associated with good health, a low depression and satisfaction with life.	The study is based on the third survey, population-based Nord-Trøndelag Health Study (2006-2008), including 50.797 adult participants (20 and older)-large sample. The participants were requested to fill in 2 questionnaires: the 1st prior to attending the screening site, include questions on mental health, life habits and others, the 2nd include questions about cultural participation, was given to the attendants after the clinical examinations. Participants, who completed both Q1 and Q2, were included in the present study. To compute the index for receptive cultural activities, 19.736 females and 15.937 males were included. To compute the index for the creative cultural activities, 18.906 females and 15.494 males were included. Outcome variables: perceived health, satisfaction with life, anxiety and depression scales. A multiple univariate binary logistic regression was used to examine the relationships between each cultural activity and the outcome variables controlled for all cofactors - Correlational study
	Project Duration	**Project Providers**		
	Short-term.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified.	Specific audience: adult population	"The limitations of this study implicate that further longitudinal and experimental studies are warranted to establish the cause-effect relationship" (Cuypers et al. 2011:6)"There might also have been a vague selection bias. In this study, participants had to be able to attend the screening site and be able to fill in questionnaires, so the very sick, for example, bed-ridden patients, could not attend. Also, the very sick cannot participate easily in cultural life. On the other hand, we can imagine that the slightly sick might have abundant time to participate in cultural activities and participated in the survey. Additionally, individuals with very good health cannot improve their health much, but may strengthen it, thus preventing ill health" (Cuypers et al. 2011:6)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Associations Between Length of Music Training and Reading Skills in Children (Corrigall and Trainor 2011)	This study examines if the length of music lessons is associated with word decoding and reading comprehension, in 46 children between 6 and 9 years of age. 35 girls and 11 boys participated in the study. Previous academic research has not examined reading comprehension, focussing only on skills associated with word decoding	Population: Canada **Art Form** *Arts on education* Art forms assessed music practice **Project Duration** Not specified. **Project Providers** Not specified.	Results revealed that length of music training was not associated with word decoding skills. Probably because this relation is normally evidenced by other studies in the children at pre-reading stage and as the study sample was children in elementary schools they were already to advance at reading comprehension to reveal significant associations. Length of music training predicted reading comprehension performance even after controlling for age, socioeconomic status, auditory perception, full-scale IQ, the number of hours that children spent reading per week, and word decoding skills. Also showed that brighter children start lessons earlier and also go on to become better readers, but that the amount of formal music experience also contributes to reading ability.	Examine the association between length of music training and reading ability in 6- to 9-year-old children enrolled in music lessons. Measures of word decoding skills and reading comprehension: 2 subtests from a standardized reading test were administered to children. Auditory processing and general intelligence measures: pitch, rhythm and a full-scale IQ. Parents filled out a questionnaire on their child's basic information. According to the preliminary results the correlation between length of music training and word decoding performance was not significant. So, after five regression analyses (with different controls) are conducted to investigate the association between length of music training and only reading comprehension. - Correlational study
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified.	Specific audience: children 6-9 years old	"Because these results are correlational, the direction of causation cannot be determined. It is of course possible, indeed quite likely, that children who are better readers, who are more intelligent, and who tend to work hard and persist on tasks (such as challenging themselves more on difficult reading passages) are more likely to take music lessons in the first place" (Corrigall and Trainor 2011:153)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Physiological correlates of aesthetic perception of artworks in a museum (Tschacher et al. 2012)	Advocate that aesthetic experience can be investigated using quantitative scientific methods, and propose an empirical, "bottom-up" research of art perception. The research is based on the technical developments that facilitated monitoring an individual's locomotion and physiology in the "psychogeography" of the museum.	An exhibition at a museum in Switzerland Kunstmuseum St. Gallen that presented 76 works of modern and contemporary art **Art Form** *Arts on health* Art museums experience Measurements were obtained continuously throughout each participant's visit of an exhibition	Aesthetic experiences are reflected in observers' physiology. Three of the four physiological measures were significantly associated with aesthetic-emotional assessments -30% of total variance of Heart rate variability was accounted for aesthetic-emotional factors: beautiful, high-quality artworks, and surprising/humorous artworks. - Higher skin conductance variability was linked to more dominant artworks, 11.3% of the variance was due to the five aesthetic-emotional factors. - Total variance of Heart rate of 9.4% was attributable to aesthetic-emotional factors; dominant art was significantly linked to a decrease of heart-rate levels. - Skin conductance levels were unassociated with the displayed art and aesthetic-emotional predictors. Aesthetic experience was able to explain a maximum of 25% of bodily variance responses. Which does not give empirical grounds to claim that aesthetic experiencing could or should be reduced to its physiological embodiment psychology is also an explanatory factor.	Test whether monitored physiology and aesthetic emotional experiences were statistically associated in general. The monitoring system was established in an art museum to test museums goers. For all the museum artworks a region of interest (ROI) was defined as the geometric area from which the artwork was viewed. Uses an wireless data acquisition systems, to track: - visitors' physical positions and - physiological parameters This was possible through electronic manufactured gloves participants wore on their right hands to record: The aesthetic experiences were assessed using a questionnaire displayed on a computer terminal with recall to 6 artworks. Questions covered 19 items of emotions evoked by the work, aesthetic evaluations. The physiological dependent dataset of 4 variables contained, by ROI and by participant: mean heart rate, Skin conductance levels, Heart rate variability and skin conductance variability. Mixed-models regression analysis was applied. Sample: valid data were sampled for 373 visitors with 1.413 observations. - Multidisciplinary study
	Project Duration	**Project Providers**		
	Short-term.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Article	Not specified.	Specific audience: adult population		Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Seniors' experiences of visual art environmental enrichment (Bygren et al. 2013)	The study determines whether short-term exposure to art in shared common areas in congregate housing units could affect health and health determinants among the residents.	Congregate housing units for old people in Stockholm **Art Form** *Arts on health* Art forms assessed: visual art experiment, the works of art were exposed in common areas of the unit, to stimulate opportunities for conversation	Those exposed to art were at baseline (before intervention) younger and less depressed than those exposed to in-house boule. One of the 10 participants, in the visual art experiment group, was depressed before the experiment and 2 developed depression during the intervention period. None of the non-depressive in the control group at the start developed depression during the experiment. For the test of face recognition there was a slight improvement in both groups, but not significant in the intervention group or the control group. For the Mini-Mental test results, they did not improve in the intervention group (p = 0.671), but did so in the control group (p = 0.003). Boule sessions in the control group show positive outcome according to depression compared experiments with works of art in the intervention group. It was noticed that the visual art enrichment group had no structured conversations in front of a painting, as imagined. So short-term art intervention and lack of structured dialogues turn the experiment very passive. The control group activity was very intensive and promoted group interaction when compared with the art intervention. In short, short-term art environmental enrichment and/or visual art dialogues accompanying art environmental enrichment may not be sufficient to observe beneficial effects for depression and cognition.	2 groups of old (old age) people living in congregate housing units: - the first group (10 residents average age of 80,4 years) were invited to participate in a visual art intervention - the second group (13 residents average age of 86.6 years) were offered sessions of in-house boule (control group) Assessments of the level of depression among the participants in the two groups were conducted before and after the interventions by using: * The Cornell's depression scale of dementia * The Mini-Mental Test was used for assessing cognition * A face recognition test to assess episodic memory Data analyses: Test scores before and after interventions were compared using paired t-tests and Wilcox signed rank tests for normally and non-normally distributed data respectively. Independent-samples t-tests and Mann-Whitney tests were used to compare unpaired measurements. Nominal variables were compared with Fisher's exact tests. -Experimental study.
	Project Duration	**Project Providers**		
	To pursue with the art experiment, members of the staff were trained in the use of art as a conversation tool and spend fifteen minutes per week talking in front of a painting with one or two residents. On the control group staff was asked to arrange a weekly session of 45 minutes. Short-term.	The staff of the congregate housing units		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Occasional.	Specific audience: elderly population	"In order to increase the possibility to achieve a positive outcome of art environmental enrichment, important factors seem to be either the length of the intervention and/ or the introduction of art stimulating dialogues" (Bygren et al. 2013:167)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
The arts and individual wellbeing in Canada connections between cultural activities and health, volunteering, satisfaction with life, and other social indicators in 2010 (Hill 2013)	The report examines connections between Canadians' cultural activities and their personal wellbeing. The data shows that a strong connection between 18 cultural activities and 8 indicators of health and wellbeing. Cultural participants have significantly better results than non-participants for 101 out of 144 cross-tabulations (or 70%). Cultural participants have significantly worse results for only 10 of the cross-tabulations (or 7%). The report defines a cultural attendee as anyone who went at least once to the relevant cultural activity in 2010.	Canada. **Art Form** *Arts on wellbeing* The connection between cultural activities engagement and personal wellbeing is segmented in different art forms: art gallery, theatre attendance, classical music, popular music, book reading and cultural festival attendance	1-Explanatory data analysis: **Art gallery attendance** & **Classical music attendance** has a statistically significant connection with 6 social indicators, compared with those who did not visit an art gallery or went to a classical concert in 2010; **Theatre attendance & Pop music attendance** has a statistically significant connection with 7 social indicators, compared with those who did not attend a play or pop concert in 2010; **Book reading** & **Cultural festival attendance** has a statistically significant connection with five of the 8 social indicators. 2- Statistical model: **art gallery goers** have 35% greater likelihood of reporting very good or excellent (vge) health than non-visitors, even accounting for other factors and have 89% greater likelihood of having volunteered in past year than non-visitors; **theatre goers** have 32% greater likelihood of reporting vge health than non-attendees, even controlling for other factors and are 2.29 times more likely than non-attendees to have volunteered in past year; **cultural festival goers** have 14% greater likelihood of reporting vge health than non-attendees, even accounting for other factors and are twice as likely as non-attendees to have volunteered in past year; **pop concert goers** have a 23% greater likelihood of reporting vge health than non-attendees, are 64% more likely than non-attendees to have volunteered in past year, even accounting for other factors; **classical music goers** have 86% greater likelihood of having volunteered in the past year than non-attendees, even after controlling for other factors and are 29% more likely to report strong satisfaction with life than non-attendees; **book readers** have 28% greater likelihood of reporting vge health than non-readers, even accounting for other factors and are 74% more likely than non-readers to have volunteered in past year.	The research identifies 18 cultural activities and 8 social indicators of health and wellbeing: 1) self-reported health, 2) self-reported mental health, 3) volunteering, 4) feeling trapped in a daily routine, 5) feeling stress in daily life, 6) knowledge of neighbours, 7) favour for a neighbour, 8) self-reported satisfaction with life. The data in this report are drawn from Statistics Canada's General Social Survey of 2010, an in-depth telephone survey of about 7,500 Canadians 15 years of age or older. **Correlational study**: 2 research methodologies: 1. Exploratory statistical analysis examines the potential relationships between 18 arts, culture and heritage activities and eight social indicators. 2. For the second methodology, six cultural activities and three social indicators (self-reported health, volunteering, and self-reported satisfaction with life) were selected for detailed statistical modelling, to assess whether cultural participation might help explain aspects of health and wellbeing that are beyond demographic analysis (examine whether cultural participants fit the demographic profile of healthy citizens, or whether participation can explain aspects of wellbeing) - Correlational study
	Project Duration The report assess the connection of engaging in cultural activity to social indicators, so is not specific to projects but to the level of cultural engagement. Not relevant to this study.	**Project Providers** Not specified		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report	Not specified	Broad audience: community in general (over 15 years old)	"it is very difficult to provide evidence of a cause and effect relationship between the variables in a statistical model in the absence of an experiment to directly measure the impacts of culture on personal wellbeing" (Hill 2013:2) Has a low threshold of cultural participation	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Economic and social impacts, Executive Report, Guimarães 2012, European Capital of Culture (Universidade do Minho 2013)	Report intends to evaluate the impacts of the European Capital of Culture (ECoC) Guimarães 2012. The assessment has a multidimensional approach by including economic, social, media and digital impacts. The City of Guimarães Foundation had a budget of almost 36.5 million euros, 22.5 million of which were destined for the cultural programme. The remaining 14 million euros, were divided between communication and marketing expenses and functioning expenses. Beyond that the public investment from Guimarães Municipality was near 42 million euros.	Guimarães, Portugal **Art Form** *Cultural Activities/Programme* Wide range of events and art forms developed the ECoC programme. The programme was intensively developed involving the local community and using the public spaces as a stage.	*53% of the cultural and creative industries that collaborated with Guimarães 2012 were private companies. 76% did not have more than 20 employees. About 41% reported a turnover of less than €50.000. * Guimarães population was engaged in the programme; in 40% of all households at least one member has participated in ECoC activities. *In 2011, the number of visitors to the tourism information offices increased 106.7% when compared to the average of 3 years before *The surveyed audience is mostly female, with an average age of 40. The audience is mostly higher educated. Most of the surveyed audience came from Guimarães parishes (59.5%) *According to a survey conducted in the city's hotels units the number of rooms sold in 2012 grew 36% when compared to 2011. Guimarães 2012 had an increase (direct impact) of 89.637 overnight stays in the region and 114.426 overnight stays outside Guimarães. *From the 2012 survey to pedestrians in Guimarães: 71.1% of respondents live in Guimarães and 11.8% were foreigners. 28% of the inquired were in Guimarães for professional reasons. *Specific projects were developed for the city's strategy of requalification and revitalization of the urban area. *The number of news articles in 2012 grew to 14.818. The monthly average was of 1.234. *The impact on the gross output was 167.521 million euros; the estimated contribution for the Portuguese GDP is estimated at 84.441 million euros. This generated 2.111 additional jobs. *On the business survey most of respondents didn't make any investment to increase their establishment's quality. Nearly 75% of those that recognize an increase in their turnover consider Guimarães 2012 was the main reason for that revenue increase. Nearly a 1/4 of the retailers said the commercial impact of ECoC was higher than they had initially expected.	Combines quantitative and qualitative methodologies (multidisciplinary) and the object of analysis are assessed based on methodology considered most appropriate for each case. • An electronic survey was conducted at the end of Guimarães 2012 to individuals/entities of cultural and creative sectors that participated in the programme, covering 15% of all the suppliers. • Surveys applied to the audiences of Guimarães 2012 events, between March and December 2012. A total of 7.365 persons were interviewed in 21 events. • The Passers-by Survey (2.411 people) was important to describe the people in the streets, and posed questions about their activities and registered their evaluation of some dimensions of the city of Guimarães and the European Capital of Culture. • Used input-output (I-O) methodology adapted to the given context to measure the economic impacts, by calculating the production and employment multipliers • A survey was conducted to the business located in the city centre (114) - Multidisciplinary study
	Project Duration	**Project Providers**		
	An intensive strategic cultural programme during one year, 2012	Wide range stakeholders developed the ECoC programme.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Occasional programme.	Broad audience: community in general		Short-term **Scope of the impact analysis** Collective Impacts

Title	Summary	Context	Key findings	Methodology
Transforming Communities Through the Arts (Charlton et al. 2013)	This research study, conducted from June 2011 to July 2013, explored arts involvement and the impact of arts in three neighbourhoods in Toronto. Assess the impact of creative atmosphere and cultural life on a specific area. The study goals were to attempt to gain a better understanding of how residents engage with the arts at a community level, to explore barriers to arts access, and to identify ways to strengthen local arts engagement. The study discusses the impact on community life and examines changes to the quality of life of individuals.	3 inner-suburban and downtown neighbourhoods in Toronto: Malvern, St. James Town, and Weston Mount Dennis **Art Form** *Community based arts programme* Different art forms, from murals to music and fashion, were identified as being important resources in 3 neighbourhoods	*Personal motivations to engage: 39% said a desire for more connection to others was their prime motivation to pursue the arts; 31% got involved in order to make a difference in their community; 23% were drawn to art making that honoured family and cultural connections; 16% embraced the self-care or therapeutic aspects of the arts and 12% focused on pure enjoyment and self-expression. *Interviewees cited arts help them build community, reporting the following impacts: 42% sharing experiences; 39% building connections; 38% networking opportunities; 36% bridging difference; 31% increased understanding between people; 29% local participation; 16% neighbourhood beautification; 15% neighbourhood pride; 12% legacy building. *Reported impacts on individuals: 41% Self-expression, 39% Receiving recognition, 38% Sense of Identity, 37% Building Self-esteem, 35% Enjoyment, 34% Better Health, 34% Skill development and Growth, 33% Source of Income, 21% Gaining Entrepreneurial Skills. *Regarding barriers to the arts: 45% of respondents said that pressures in their personal life kept them from participating in the arts.	The study had 17 researchers who undertake a community-based research methodology orientated to a collaborative consultation engaging the communities of the three Toronto neighbourhoods. The data collection methods used were: - surveys (54 the amount was too small to provide significant data), - focus groups to the local people and 11 representatives from arts and funding organizations - interviews to local people (total of 119 people). The questions used in the interviews and focus groups were divided into three areas: involvement and benefits of the arts, contribution of arts to local development and arts access. - Qualitative study
	Project Duration	**Project Providers**		
	Diverse range of projects duration, for most not specified	Diverse range of projects, organizations and artists enrol on the assessment.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Not specified.	Community in general		Short-term **Scope of the impact analysis** Individual and Collective Impacts

Title	Summary	Context	Key findings	Methodology
Fujiwara Museums and happiness: The value of participating in museums and the arts (Fujiwara 2013)	Report looks at the relationships between museums, the arts and wellbeing. It assesses first the impact on wellbeing and health of participating in the arts through museums and compares these impacts to other activities such as participation in sport. After it attributes monetary value to the impacts and identifies the determinants of participation in museums.	Sample of population in England **Art Form** *Arts on wellbeing* Museums participation: whether people go to museums in their free time, whether people volunteer at museums, the frequency of visiting museums and the amount of time people spend visiting museums.	Finds that visiting museums has a positive impact on happiness and self-reported health even after controlling for other determinants. Concludes that participation in the arts and being audience to the arts have positive effects on happiness. Comparing impacts of arts engagement with sports concludes the effect of participation in the arts is of the same magnitude as the effect of participation in sports if controlling for health. Main figures: • People value visiting museums at about £3.200 per year. • The value of participating in the arts is about £1.500 per year per person. • The value of being audience to the arts is about £2.000 per year per person. • The value of participating in sports is about £1.500 per year per person. People with low incomes, low levels of education and smokers are less likely to visit museums. Volunteers, married people, women, and people who live in London are more likely to visit museums controlling for a number of other potential explanatory variables.	Seeks to go beyond qualitative survey techniques and uses data from wellbeing national datasets and self-reported measures of general health. Happiness is used as the wellbeing measure. Uses data from 2005-2011 resulting on 100.000 observations on individuals. The steps: 1. Assess if involvement in museums impacts on wellbeing and self-reported health (using ordinary least squares) 2. Analyse the differential impacts associated with participation in and being audience to the arts 3. Use results from these analyses to derive monetary values associated with museums and the arts, using Wellbeing Valuation approach (measures the effect of arts and museums on happiness and the monetary equivalent of that effect) 4. Assess the main barriers to involvement with museums. - Multidisciplinary study
	Project Duration	**Project Providers**		
	Short-term.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report	Not specified.	Specific audience: adult population	"As involvement in the arts and sport was not randomised across our sample, we are reliant on the data we observe and statistical methods for controlling for as many of the differences between people that are involved and those who are not involved in order to make inferences about causality. But there are always likely to be some important factors that we cannot observe and control for and hence these factors may be driving any observed relationships between the arts, happiness and health… there may be the problem of reverse causality" (Fujiwara 2013:8) "Multivariate regression analysis or matching techniques are arguably the best methods that can be used (there were no suitable instrumental variables or cases where natural experiments could be exploited in the data)" (Fujiwara 2013:17)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Artful living: Examining the relationship between artistic practice and subjective wellbeing across three national surveys (Tepper 2014)	'Do people who play music, dance, draw, create films, sing, and do crafts report higher levels of life satisfaction?' This report examines the relationship between artistic practice and subjective wellbeing across three national surveys. The 3 datasets are representative national samples of general population, college students, people who graduated in arts degrees. Focus on "artistic practice"—making art—not on attending art	United Sates **Art Form** *Arts on wellbeing* Examines a range of artistic practices, fine arts, video, music, theatre, dance, crafts, gardening, artful cooking, creative writing, designing clothes and composing music.	*Artistic practice is associated with higher levels of life satisfaction, a more positive self-image, less anxiety about change, a more tolerant and open approach to diverse others. *All else equal, the study finds a negative correlation between four types of artistic practice—designing clothing, playing a musical instrument, doing crafts and artful cooking—and materialistic values *Artistic practice benefit more some social groups than others. *Not all forms of artistic practice are equally connected to wellbeing (making fine arts and crafts is and theatre attendance no) *The relation between creative practice and wellbeing depends on the frequency and intensity of participation. When people engage in the activity more frequently, they report higher levels of life satisfaction. Women receive a greater boost in life satisfaction than men, especially from making crafts and gardening.	Uses three national datasets detailing respondents making or performing art in their free time: • a national data set (DDB Needham Life Style Survey) • a nine-campus student survey (Double Major Student Survey) • and a national survey of former arts graduates (Strategic National Arts Alumni Project) Using multivariate analysis to estimate the relationship between artistic practice and life satisfaction, anxiety, and self-image, when controlling for a number of factors. - Correlational study
	Project Duration	**Project Providers**		
	Not specified.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Report	Not specified.	Broad audience: general population, college students, people who graduated in arts degrees	"Future studies should construct measures of wellbeing that are more robust as well as examine whether art making increases people's wellbeing (causation), or whether the relationship is simply reciprocal or the result of other, unmeasured factors. Finally, ethnographic studies can begin to unravel the process by which art making leads to wellbeing" (Tepper 2014:7)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
The art of being healthy: a qualitative study to develop a thematic framework for understanding the relationship between health and the arts (Davies et al. 2014)	This study advocates that although the health –arts nexus has been receiving attention from researches and care professionals, the evidence of the relationship between arts engagement and population health is still limited. This article develops a framework that includes outcomes, confounders and effect modifiers, considered a valuable tool for those that want to understand the health-arts relationship and to build evidence.	Western Australia **Art Form** *Arts on health* The criteria for participating in the qualitative research were adults engaged in the following art forms: visual arts, craft, performing arts, literature, digital/electronic arts and community festivals. The modes of arts engagement included making/creating art and attending events.	The framework contains 7outcome themes and 63 subthemes: - MENTAL HEALTH (individual wellbeing) Individual: + happiness, confidence/self-esteem, enjoyment/pleasure, self-expression/self-reaction, achievement/satisfaction, feel respected/value, compliments/recognition, energy/motivation; – frustration, criticism, nervousness/anxiety, overwhelmed, confronting, disappointed, emotionally draining. Individual & community: + resilient to mental ill-health, creation of good memories; – marginalised, unwanted responsibility - SOCIAL HEALTH (strength of a person network) Individual: + less isolated, supported, broadens ideas, more community minded, more interesting, worldly, culture person; Individual & community: + increase network, entertainment, social occasion, enjoyment in giving and receiving, part of a group, shared experience with others. Community: + resilient to mental ill-health, creation of good memories; – marginalised, unwanted responsibility - PHYSICAL HEALTH Individual:+ walking, standing, warm-ups, performance based movement;– physical pain/injury, alcohol/smoking/drugs, tired Individual & community:– some art materials are toxic - ART Individual:+ creativity, talent, participation;– time consuming Individual & community:+ non-competitive, arts appreciation, interact with artists Community:+support artists and organisations, arts and culture - ECONOMIC Individual:+ save money as create art for yourself and others Individual & community: + source of income, career opportunities; – expensive, low income from art - KNOWLEDGE Individual:+ intellectual stimulation Individual & community:+general knowledge, skills on: art, social, business, communication, literacy, team work, problem-solving - IDENTITY Individual:+ give life more meaning, enhance connection to self Confounders & effect modifiers: income, engagement in other activities (especially sport) and location.	1-Participants (n=33) were randomly selected from a pool of general population nominees who engaged in the arts (response rate=100%). 2- A semi-structured interview was conducted (between August 2010 and January 2011) 3- A thematic analysis was conducted to analyse, code and manage the data, using QSR-NVivo10. Within each theme, positive, negative and unintended outcomes (subthemes) were identified and categorised as relating to the individual and/or to the community. - Qualitative study
	Project Duration	**Project Providers**		
	Not specified.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**

Article	Not specified.	Specific audience: 33 western Australian adults (+18 years old)	"A limitation was that there was an over representation of females and people with a university or higher degree…A further limitation of this study was that interviewees were specifically asked how arts engagement makes people feel, possibly causing an information bias towards mental health outcomes" (Davies et al. 2014:9) Further research is needed to identify the mechanism of action, enablers and barriers to engagement. "Cross-sectional studies can be used for establishing associations, but to establish causality the field needs to move to randomised interventions and longitudinal studies" (Davies et al. 2014:8)	Short-term **Scope of the impact analysis** Individual and Collective Impacts

Title	**Summary**	**Context**	**Key findings**	**Methodology**
Importance of live theatre (Nanos Research 2014)	Brief report based on a random telephone survey commissioned by the Professional Association of Canadian Theatres (PACT), to explore Canadians perceptions of the importance and role of live theatre in making Canadian communities vibrant places.	Canada **Art Form** *Community based arts programme* Theatre	The role that live theatre plays in making Canadian communities vibrant places to live is seen as important for 8 in 10 Canadians. Live theatre is perceived to be similarly important for attracting visitors to communities (42.3% important, 37.2% somewhat important). The role of live theatre in helping to attract businesses to communities is perceived to be slightly less important. The majority of Canadians are in favour of federal investment in additional funding for live theatre programming nationwide for Canada's 150th anniversary	Was conducted a national random telephone survey of 1.000 Canadians between March 6th and 12th 2014. The sample included both land-and cell-lines across Canada. The results were checked and weighted by age and gender using the Census information and the sample is geographically stratified to be representative of Canada. Given the sample size, the margin of error of the overall estimates is plus or minus 3.1 percentage points, 19 times out of 20. - Qualitative study
	Project Duration	**Project Providers**		
	Not specified.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**		**Time frame of the impact analysis**
Report	Not specified.	Broad audience		Short-term **Scope of the impact analysis** Collective Impacts

Title	Summary	Context	Key findings	Methodology
The impact of music on educational attainment (Yang 2015)	This paper researches the impact of music practice on educational outcomes.	Uses data from national survey in German **Art Form** *Arts on education* Music practice: current and past music activity lessons outside of school	23% of the sample is active in music. 1.Multivariate regression analysis under conditional independence assumption (CIA): * track recommendation Music practice is positively associated with track recommendations, the coefficients declines with the inclusion of variables for parental characteristics and parental education. The intensity of music participation is important as the coefficient is larger when music is played on a daily basis than when it is played less frequently. Children who begin practicing music before the age of 6 obtain higher recommendations than no musicians. * last school track attended at age 17 Positive and significant relationship between music and school track at age 17 is observed in all models and specifications and again, the regression results decrease in significantly when parental information and time leisure activities are considered. The music coefficient on the last track attended is larger for paid music lessons and daily practice, for early music lessons and for music within a group framework. Household income and state controls do not change the coefficients significantly The results from the ordered probit models support the significant and positive relationship between music practice and educational achievements. 2. Fixed-effects model: A positive and significant effect of music on school track is showed even when controlling for innate ability (holding individual effects constant), indicating that this effect cannot be only the result of parents' intervention.	Data: uses the Youth Questionnaire of the German Socio-Economic Panel, which provides features on 17-year-olds that answered retrospective, current and prospective issues. Estimates from multivariate regressions and individual fixed effects. Explanatory variables: Music activity was assessed in relation to intensity, context (alone or with others), beginning of activity, quality (considered a 'proxy' of paid lessons). Outcome variables: track recommendation (considered some type of third-party evaluation of child's educational performance) and last school track attended at age 17 (to assess the long-term effect of music on educational attainment). Controls for features that could affect music participation: personal characteristics, town size, mobility during childhood, parental education, household resources, relationship between adolescents and their parents, alternative leisure activities. Identifies 2 sources of endogeneity – innate ability and family background- proposes 2 regressions to adjust it: 1. Multivariate regression analysis under conditional independence assumption (CIA); 2. Fixed-effects model to gauge the within effect on individuals that started music lessons between 10 and 17 in order to limited possible omitted variable bias of the CIA (OLS) regression - Correlational study
	Project Duration	**Project Providers**		
	Not specified.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified.	Specific audience: adolescent population	"Article has shown econometric ways to address endogeneity caused by ability when attempting to identify the causal effect of music practice on education. Although the OLS results may suffer omitted variable bias, all results in this paper support a positive and significant effect of music on education. Future research with more comprehensive data could shed more light on the causal effect of music practice on education" (Yang 2015:394)	Short-term **Scope of the impact analysis** Individual Impacts

Title	Summary	Context	Key findings	Methodology
Subjective wellbeing and engagement in arts, culture and sport (Wheatley and Bickerton 2016)	This paper explores the relationship between engagement in arts, culture and sport, and subjective wellbeing (SWB), in order to contribute to the understanding of the leisure experience. Measures of SWB, capture how people experience the quality of their lives and incorporate emotional responses and cognitive judgements. The paper goals are: -analyse if empirical measures of SWB support the hypothesis that cultural goods generate positive leisure experience and are a source of cultural value; - evaluate if the frequency of participation in arts, cultural and sporting activities affects SWB; - assess if there is a spillover between satisfaction with leisure and satisfaction with other aspects of life	Uses data from national survey in the United Kingdom **Art Form** *Arts on wellbeing* General engagement in arts, cultural and sportive activities (accounting for 70 in total) Activities of passive and active engagement.	Descriptive findings: • Engagement in arts, culture and sport does activities not influence satisfaction with work, i.e. that positive spillover between domains is not experienced between work and leisure time. • Satisfaction increases with age but decreases in the middle part of life. • Those who deal with school-age dependent children report lower life and leisure satisfaction and general happiness. • Married individual report greater job and life satisfaction and general happiness. Regression analysis: Those in work, education or retired are generally more satisfied than those unemployed or economically inactive. But, the leisure satisfaction is lower among those working than those unemployed. Engaging in arts activities is associated with greater satisfaction (although only statistically significant for life and leisure). The more active activities, which require active participation, only generate positive effects on satisfaction through regular participation (indicative of cumulative benefit). For the passive activities, these have positive effects on life and leisure satisfaction independently of frequency (indicative of quality of engagement). Strongest effects on satisfaction are recorded for participation in moderate and mild sport. Limited evidence (exception of engagement in mild sport) of spillover from arts, cultural and sporting into job satisfaction – suggesting that individuals separate aspects of time use. The findings are indicative that cultural goods are a source of cultural value.	Uses data from a longitudinal national survey of a sample of 40.000 households at the United Kingdom in 2010-2011. The dependent variables considered include reported satisfaction with life, with the amount of leisure time, with job and a measure of general happiness. The independent variables are measurements of engagement in arts, cultural and sportive activities. A list of control variables was included. Is applied a probit regression model - Correlational study
	Project Duration	**Project Providers**		
	Not specified.	Not specified.		
Document	**Project Sustainability**	**Project Beneficiaries**	**Analysis limitations: Self-assessment**	**Time frame of the impact analysis**
Article	Not specified.	General population	"Questions could also be raised regarding causality in the relationships observed. Specifically, further investigation is required to unpick whether engagement in these activities drives satisfaction, or whether lack of access perhaps as a result of socio-economic factors is manifest in lower satisfaction" (Wheatley and Bickerton 2016:18)	Short-term **Scope of the impact analysis** Individual Impacts

Annex 3. The value and impacts of arts and culture, major reviews

Title	Summary
The Arts and Academic Improvement: What the Evidence Shows (Winner and Hetland 2001)	Focus on the effects of arts education on cognitive, academic outcomes. A meta-analysis of 188 studies carried out on researches between 1950 and 1999. A meta-analysis adds a quantitative dimension to the narrative review by calculating an effect size (the strength of the relationship between 2 variables, arts and academic outcome, ranges from -1 to +1) for each study and then compares effect sizes across studies. If the effect size cannot be generalized to new studies on the same research question, the study reports the result is not reliable. Found evidence for three statistically viable causal relationships between arts learning and learning in other areas of the curriculum: listening to music and spatial-temporal reasoning (as displayed through tasks involving mental rotation in the absence of a physical model), based on 26 reports reviewed; learning to play music and spatial reasoning, based on 19 reports; classroom drama and verbal skills, based on 80 reports. Alerted for the need to look for the whether but also the how- the arts can be vehicles of knowledge transfer.
Measuring the economic and social impact of the arts: a review (Reeves 2002)	The aim of the review is to provide an overview of arts impact research. The review addresses the following topics, concepts and definitions, methods of measuring, quality of research design, implications for future research. It identified, from one side, an increasing economic and social rationale to account for cultural activities benefits on 'social and economic wellbeing'. From the other side, the author alerts to a lack of consensus and a need for consistent measurement methodologies for building the evidence base.
International Principles for Social Impact Assessment (Vanclay 2003)	It is a discussion document for the impact assessment community to be used as the basis for social impact assessment. It proposes core values and principles to guide social impact assessment practice.
The impact of the arts: some research evidence (ACE 2004)	This review draws together some of the evidence presented until 2004 regarding research findings on some key areas of economic and social impact: social inclusion; regeneration; leverage and public support for the arts. Argued that participation in the arts and sport can help address neighbourhood renewal by improving communities' 'performance' on the four key indicators of social inclusion health, crime, employment and education
Arts in health: a review of the medical literature (Staricoff 2004)	This literature review explored the associations between arts, humanities and medicine, the contribution of the arts towards: • achieving clinical outcomes for the benefit of patients • raising staff morale and job satisfaction • widening the skills of nurses and doctors • providing better quality of healthcare • enhancing the quality of life of mental health users • helping mental health providers manage the service Presents an analysis of the effects of different types of art forms and an overview of the current scientific knowledge on: mechanisms of art perception, mechanisms of art processing, association of art and emotions. Focuses on studies published from 1990-2004, although it also includes a selection of papers from outside this period, which are relevant and significant to one of the stated areas of interest (385 references) Identifies a number of medical areas in which the references studied have shown reliable evidence that clinical outcomes have been achieved

	through the intervention of the arts. Reviews the available evidence on the direct effect of the arts on health practitioners. Explores the use of the arts in mental healthcare to improve the communication skills of mental health users, which provides patients with new ways of expressing themselves, stimulating creativity skills and enhancing their self-esteem. Concludes that different art forms have been shown to have different effects on health, but reports a lack of rigorous research on the contribution of different types of art forms to healthcare. The effect of the arts and humanities as contributing factors in recruitment and retention of staff has not yet been evaluated.
Social impacts of Participation in the Arts and Cultural Activities (AEGIS 2005)	This review identifies, collates and evaluates existing applied research on the social impacts of participation in arts and cultural activity. The project focused on the growing body of research work examining the impact of participating in arts and cultural activity on other areas of social interest such as: cognitive skills and educational attainment; community pride/identity; crime prevention; mood; self-esteem; social behaviour; social cohesion; and health. It concludes that there is much anecdotal and informal evidence of positive impacts from arts participation but little data to support the hypotheses. The project revealed the largest concentration of existing research was on the links between education and the arts and the arts and certain aspects of community development. The database shows the beginning of information on the arts and health outcomes and some interest in the arts and regional development and at an individual level on the impact of the arts on self-esteem. There is relatively little existing work on crime prevention, except in a more or less implicit manner or as a by-product of other activity.
Cultural Participation and Individual Quality of Life: A Review of Research Findings (Galloway 2007)	This review examines the research evidence for the contribution of cultural participation to individual quality of life (of English language publications since 1995) and discusses the utility of different types of QOL conceptualisation and measurement for cultural policy making. The article suggests that a multi-dimensional conceptualisation of QOL is best suited to the analyses and that more methodologies need to be developed and tested to understand how and why cultural participation affects individual QOL domains.
Measuring the Impact: research into Arts and Cultural Education (La documentation Française and Centre Pompidou 2008)	The initiative gathered research demonstrating the impact of arts-rich programmes on the education of children and young people around the world. Objectives: establish a knowledge base about organizational structures of arts-rich teaching programmes and apply methods of analysis to evidence the role of these programmes in different countries. A major survey and a call for case studies were conducted highlighted the lack of research about arts and cultural education in different countries. It is a review work and a current state of arts programmes. Qualitative and quantitative information extrapolated from a survey distributed in November 2004. Starting based questions for the research: How was the teaching of arts-rich programmes organizes?; Who are responsible for curriculum development and implementation of arts-rich programmes?; What are the differences between the arts-rich programmes taught in the different countries?; What determines the differences in content from country to country?; What can be expected or recommended of arts-rich programmes in the future?. Besides the survey a call for case-studies to every country in the world. The arts are present in educational policies in almost every country in the world. The term arts education is related to a specific context and culture. In all countries certain arts subjects are part of the curriculum. Economic developed countries are including new media in the curriculum. "Arts education has impact on the child, the teaching and learning environment and on the community…Quality arts education tends to be characterized by a strong partnership between the schools and outside arts and community organizations" (2008:22). It is referred the need for training for arts education providers.

Measuring the value of culture: a report to the Department for Culture Media and Sport (O'Brien and AHRC/ESRC Placement Fellow 2010)	This report looks at the evolution of work on valuing the cultural sector, starting in the 80s. Starts with the problem of defining culture, as it is 'intangible good'. It suggests techniques of valuation. Reported the no cross-disciplinary consensus on how best to measure the value of culture. Argues that culture valuation should not embrace only economic methods that are not able to capture all the process.
The public value of culture: a literature review (Holden and Baltà 2012)	The literature review aims to analyse academic literature and research reports addressing the public value of culture debate over the past five years. The work proposes economic techniques to measure value in the culture sphere (contingent valuation and willingness to pay). The review advocated a emerging debate between, "those who believe that economics can tell the whole story of cultural value, or that economic arguments are the only means of persuading governments of the worth of the arts and culture" and "those who believe that some aspects of cultural value can only be explained using a multidisciplinary approach" (Holden and Baltà 2012:7)
The value of Arts and Culture to people and society (ACE 2014)	This evidence review shows, there is a considerable body of research literature available, but there are many gaps. Concluded, "the need for larger sample sizes, longitudinal studies and experimental methods is referred to in many of these studies"; "Most of the studies reviewed cannot establish causality between arts and culture and the wider societal impacts" (ACE 2014:8)
Understanding the value and impacts of cultural experiences (Carnwath and Brown 2014)	This review argues there is impossible to ignore the 'instrumental' and 'intrinsic' benefits and the fragility of the conceptual basis. It reviews the literature of measuring individual impacts by organizing the studies in groups of similar methodologies: biometric research, post-event surveying, qualitative post-event research, and longitudinal research. It concludes, "Further investments in longitudinal tracking studies and retrospective assessments of impact are necessary to complete the puzzle of value and strengthen our understanding of how impact on the microcosmic level accrues into social impacts at the macro level" (Carnwath and Brown 2014:25)
Making a Holistic Case for the Arts (Hill 2014)	This literature review summarized the findings of 46 Canadian research articles regarding the 'holistic case for the arts', how the outcomes of the arts are related to the quality of life, wellbeing, health, society, education, and the economy. The report concluded, "there are a myriad of potential benefits of the arts" (Hill 2014:1). That being said, the report cautions the studies of causal links (rather than statistical associations) are challenging to produce.
Measuring Cultural Engagement: A Quest for New Terms, Tools, and Techniques (National Endowment for the Arts and Arts & Humanities Research Council 2014)	The report of a symposium, which was interested in gathering information from a group of experts, concerns the measurement of cultural participation by cultural institutions. Beyond simple attendance rates, it reflects what can be said of the outcomes of cultural participation, its motivations and barriers. It advocates for an on-going shift in the collection and use of data. For example, analysing big data, from social media data, or data extract from enterprises such as Gallup, was appointed as a mean to understand and measure behaviour. A method proposed for measuring the impact of art on people's lives was the propensity score matching.
Exploring the Longitudinal Relationship between Arts Engagement and Health (Gordon-Nesbitt 2015)	Research that explores the association between arts and health having as a main question of the work: 'Is there a relationship between engaging in the arts and long-term health benefits, and, if so, can we find evidence of it?' Locate and analysis English-language studies who have explored this relation: arts engagement and health. A qualitative assessment comprised fifteen previous studies that revealed significant, aggregated long-term health impacts. Methodology presented: *Scoping review of previous research into the relationship between arts and cultural engagement and long-term health outcomes in the UK and

	internationally; *Critical analysis of the data sources relevant to explorations of the relationship between arts and cultural engagement and long-term health outcomes in the UK and internationally; *Recommendations about possible future research directions It concludes that while it is untrue that there is a lack of longitudinal studies of the health benefits of engaging in arts and culture, it argues that the true lack is of studies on large populations to answer questions on causality. However, it advocates establishing causality can be very challenging.

Annex 4. 'Guimarães 2012' and 'Turku 2011' the characteristics, outputs and outcomes of the European Capitals of Culture

EUROPEAN CAPITAL OF CULTURE CHARACTERISTICS	
Guimarães 2012	**Turku 2011**
Population (2012): 157.214 Population Density (2012): 653 Area: 243 km² (INE 2013)	Population (2011): 178.630 Population Density (2011): 722 Area: 243 km²
City nomination	
Guimarães 2012 is a title city ECoC initiative. Done by direct nomination of the Portuguese Government for Guimarães to host the ECoC title 2012.	Turku 2011 is a title city ECoC initiative. Done by selection in a national application process set by the Finnish Ministry of Education in 2006.
Vision	
Vision: "Guimarães – a European pole of creativity, through the constant qualification, connectivity and promotion of a strong urban and cultural identity, constructed over time" (ECORYS 2013:10). The vision was supported by three main values: city, citizenship and Europe dimensions.	Vision: "Turku 2011 is more than one year. It is a process through which Turku emerges as a pioneer and a creative centre of the Baltic Sea region co-operation, a city that produces and mediates arts and science"(ECORYS 2012:38). The main values are: co-operation, European dimension, open-mindedness, experience, accessibility and responsibility.
Aims and Objectives	
Aim: to promote conditions and opportunities for artistic creation in the city by the development of creative facilities, the reinforcement of local capacity. The European Dimension was undertaken through artistic residencies (ECORYS 2013). Objectives of Guimarães application: • To develop Human Capital: Provide the local community with new resources and professional skills, encouraging their active involvement in the project; • To generate a Creative Economy: from an industrial economy into a creative city economy which is internationally competitive; • To create a new Geography of Senses: transform passive memories into a continuous offer of new cultural and creative experiences.	The European Dimension was achieved with the cooperation of cultural operators from the Baltic Sea region and the involvement of other international partners (twin cities and St. Petersburg). Objectives of Turku application: • Internationality: to attract attention to the Baltic Sea region; • Creative economy: to become a national pioneer in the creative industries and a centre of European cultural production; • To develop cultural wellbeing; • To develop a comprehensive evaluation programme of Turku 2011 (from 2007-2016). Key dimensions of the application were the long-term development of the city, of its creative industries sector and the cultural cooperation in the Baltic Sea region (ECORYS 2012)
Themes	
Guimarães 2012 ECoC presented itself with the slogan 'You are part of it' and the image of a heart. The communication campaign started in July 2010 and had as a slogan 'It all happens in Guimarães' and 'Where Everything is transformed', reflecting the programme and objectives.	Turku 2011 four themes were 'memories and truths', 'transformations', 'exploring the archipelago' and 'take-offs'. During the title year wellbeing became the most emphasised objective, visible in the artistic programme itself and in the communication campaign, using slogans such as "culture does good".
Duration of the programme (before & after the host year)	
5 years from 2009 to 2013 (period of operation of the City Foundation)	6 years from 2008 to 2013 (period of operation of the Turku 2011 Foundation)
Management Models	
In 2009, the City of Guimarães Foundation was established to implement the Guimarães 2012 programme. Its governance structure centralised the management, planning and control dimensions and externalised the execution competences (Universidade do Minho 2013). The governance structure also included key existing institutions of the city cultural sector, *A Oficina* (key cultural agent of the	In 2007, the Turku 2011 Foundation was established to develop the ECoC cultural programme, its communication and ensure funding. It had a stable governance structure during the whole period. The open call for projects launched by the Foundation enabled the wider participation of local agents in the programme construction. Instead of having a single artistic director the

city, manager of Vila Flor centre) and a consortium of cultural associations. It also built a partnership with the University of Minho. The governance structures had some difficulties during the development phase, these tensions contributed to changes in the Foundation executive board in the summer of 2011. Regarding the cultural programme implementation, a team of nine people (combining different perspectives) was developed, with each one responsible for one of the nine areas and with autonomy of action: City, Community, Thought, Public Space, Music, Performing Arts, Arts and Architecture, Cinema and Audio-visual, Intersecting Times, and Special Projects. This allowed the development of a multi-layered programme. The City of Guimarães Foundation was expected to be operational until 2016, however it was shut down in the second semester of 2013 (due to a national Government decision to close foundations which were not self-sustaining).	Foundation appointed a Programme Director (in an umbrella supervision role) and let each project have its own Artistic Director. Cooperation projects were established with universities in Turku to carry the research components of the cultural projects (in the health field for example). The cultural programme was grouped in ten cultural domains: City; Design, architecture and crafts; Music; Exhibitions and visual arts; Theatre, dance, circus and performance; Cinema, animation and media art; literature and literary art; children and youth; sports and outdoor activities; research and development. The Turku 2011 Foundation will continue working until the end of 2016 to hand over the role to the City Council. Turku Foundation has continued to fund activities until 2013.
Participatory program	
COMMUNITY The citizens' involvement in cultural activities was at the centre of the programme, which created artistic experiences specifically for citizens (projects such as story-telling – people host a story telling evening in their homes – the city orchestra – gathered 55 young musicians from Portugal and other European countries - and the 'You are Part of It' initiative – activities to explore the city). The logo in form of a heart was embraced and used by citizens and local commerce. CULTURAL SECTOR Local cultural associations were set up to be a third pillar of governance and develop their own programme (ECORYS 2013)	COMMUNITY Citizens were invited to take part in many forms of ECoC events: to contribute to events with their memories (No Man's Land, Village Tour, Battle for the City), to be objects of artworks (Our Family), by presenting the works (Central Park of Culture and Exercise) or by 'producing' them (Middle-Aged Hair). Projects under the 'wellbeing' theme stimulated older people to actively take part in cultural activities and work on accessibility issues. CULTURAL SECTOR The team tried to ensure a wide participation of different local players and organised seminars, yet in the application moment, conferences, opened a call for ideas, from which received 500 proposals for projects. When the Foundation was set up a new call was launched (2008) and received 1000 applications, from which came most of the ECoC programme final projects (165 projects). Different cultural agents were brought together to work during the title year.
Activity genres	
Guimarães 2012 Activities in conventional and less conventional areas. The Noc-Noc project (composed of 500 activities) was an example of an initiative that presented the work in non-institutional spaces (streets, shops, private homes, ateliers, offices) (ECORYS 2013).	Turku 2011 A big emphasis was put on challenging people to understand and engage in cultural activities, by demystifying them and bringing them closer to daily life (projects developed in unusual spaces, like performances in the city pool and or spread in each neighbourhood of the city). (ECORYS 2012)
Budgets (actual funding and expenditures)	
FUNDING: Funding sources were established during the development phase and defined the key source as the European Regional Development Funds (ERDF), which contributed to 70% of the programmes (ECORYS 2013). Merchandise corresponded to 0.3% of the budget and ticket sales to 0.8%. A total income of € 41.5m (includes €1.5m of the Melina Mercouri Prize) EXPENDITURES: Total expenditures of €41.5m (€27m in the cultural programme, €7m in marketing and €7m in	FUNDING: Funding sources (64%) were provided mainly by the City of Turku and the national government. Merchandise corresponded to 0.8% of the budget and ticket sales to 7.5%. A total income of €56m was collected (including €1.5 of the Melina Mercouri Prize). EXPENDITURES: Total expenditures of €55.5m (€9.16m in salaries, fees, administration, operational expenditures; €8.6m in communication and marketing; €36.136m in cultural programme; €1.3m in reserve and €0.3m on other

management and operations) (ECORYS 2013). Additionally €41.7m was spend on infrastructure projects (Universidade do Minho 2013)	costs). The proportion of expenditure on infrastructure was not available (ECORYS 2012)

Cultural programme Outputs[55]	
• 1.300 events were included in the cultural programme; • 25.000 artists and professionals were involved in delivery of the culture programme; • 300 organisations were involved; • 1.000 new creations were included in the culture programme; • 700 artistic residencies; • 40 films produced; • 60 new publications; • 100 international premiers. • 15.000 citizens contributed to the cultural events (ECORYS 2013)	• 165 projects • 8000 events (5.000 events free of charge) • 20.995 artists, contributors, producers and volunteers delivered the culture programme • 1.000 new creations in the cultural programme • 13.352 citizens contributed to the programme (ECORYS 2012)
Public engagement Outputs (audience & volunteering)	
Attendance at ECoC was 2 million (Garcia and Cox 2013) • 59,5% of the attendees were from Guimarães parishes • 3% of the attendees were from abroad • Guimarães 2012 had 20% of its audience younger than 25, and 62% under 44, of which 56% were women • 53% of the attendees surveyed had higher education • 89% of the attendees surveyed gave a positive review of the events (University of Minho 2013). VOLUNTEERS A large number of volunteers participated in the closing event performance and during the summer of the title year, around 300 volunteers contributed to the programme.	Attendance at ECoC was 2 million (Garcia and Cox 2013) • An average visitor was a well-educated woman over 50 years-old from Turku, who already consumed culture. • About 85% of the Finns who participated in ECoC events declared them as successful. • 77% of Turku residents visited ECoC events. 40% of Turku's residents consumed more culture events in 2011 than during previous years. Almost 87% of visitors described their experience as positive and 37% as very positive. (Turku 2011 Foundation 2012) VOLUNTEERS Developed a volunteer program (with 400 people) to support the Foundation work and to give an opportunity to engage in the ECoC. 80% Turku 2011 volunteers professed to be interested in volunteering activity in the cultural sector in the future (Turku 2011 Foundation 2012)
Media Outputs	
• 17.200 messages about Guimarães were published; • 85 hours of TV coverage; • 1.158 messages online; • 110 press trips organised; • 500 international journalists visited Guimarães; • 600 printed advertisements; • 16.000 posters; • 850.000 flyers; • €40.355.000 in equivalent advertising value. (ECORYS 2013) • 2.115 appearances on TV and 339 on the radio • 6.498 articles in printed media • 5.867 online media articles • 200 international media references • Total of 437.364 Facebook followers (Universidade do Minho 2013)	• Media visibility valued at €33 million in Finland and €19.7 million abroad; • 5.075 articles in printed media, • 2.300 online articles, • 315 radio and TV articles in Finland from November 2010 to October 2011; • 500 international journalists visited Turku • 179 organisations and other parties co-operating as Messengers; • 19.600 Facebook group members; • 11.000 recipients of the Culture Buddies newsletter • 96% of Finnish residents were aware that Turku was hosting the ECoC title in 2011 (ECORYS 2012) • 740 references in international media (Universidade do Minho 2013)

[55] The unit of comparison of number of events may be defined differently by the cities, however, we stick to the ECORYS report for both ECoC initiatives in order to establish a comparison.

Tourism Outcomes	
Data for 2012: - The number of all visitors to tourist information offices was 121.435 (an increase of 107% compared to the average of the previous three years). - The average room occupancy rate was 64.4% representing an increase of 14% compared with 2011 - The total hotel revenue in 2012 was €8.8m (€2.3m higher than compared to 2011) - Accommodation capacity in the city also increased, with a 154% increase in the overall number of beds. According to the visitor survey 75% of respondents were satisfied with their visit (ECORYS 2013)	Data for 2011: - Increase in the overnight stays in hotels and hostels by 7% (higher than the average increase of 4% across Finland during 2011) - Day-tourism increased 17% on 2011 - Increased the volume of international congresses and conferences in the city in 2011 (congress tourism generated €14.1m) (ECORYS 2012)
Business Outcomes	
According to a survey of the city center businesses, the turnover increased 12% on average for about half of the businesses when compared with 2011. City Council registered a 21% increase in opening-hour licenses for commercial establishments and services, and a 6% increase in licenses for food and beverages (ECORYS 2013) With the application of the input-output model the impact on the gross output was assessed at €167.6m, the contribution of Guimarães 2012 for the Portuguese GDP was estimated to be €84m, which generated 2,111 jobs (Universidade do Minho 2013).	The economic impacts of Turku 2011 (as the tourism increased) were evaluated using the input-output analysis. Employment in Southwest Finland increased by 3.300 person-years (2,500 from the tourism sector) Total revenue impact was €260m (€200m derived from the tourism sector), 80% of the impacts (€200m) remained in the Turku region (Oikarinen 2012).
Cultural sector activity	
During 2012, new facilities to support the creative industries development were established (like business incubation and infrastructure for film production). Cultural and creative entities that collaborated with Guimarães 2012 claimed to have developed partnerships with local (39%) and international agents (18%), introduced new organizational procedures in their organisation (39%), acquired new competences (35%) and developed staff training sessions (24%) (Universidade do Minho 2013). When evaluating Guimarães future cultural path was reported that "all has changed because the bases have changed: the ability to undertake new and larger projects, the ability to work as a network, the increase in the number of world-views, the certainty of performing close to a vibrant and inspiring community (Universidade do Minho 2013:99)	Cultural activities legacy: 78% of the organisations surveyed by the Turku 2011 Foundation thought that the activities generated within the ECoC would continue after 2011; three quarters of the respondent organisations involved in the program thought that their operational capacities had improved; with 86% stating they had learned new things; 93% of the projects accomplished establishing new contacts and networks as a result of the Turku 2011 (Hakala and Lemmetyinen 2013). 96% of cultural operators established new contacts and networks as a result of the ECoC. Under the theme of 'wellbeing' research was promoted on the impact of culture on health and wellbeing. (ECORYS 2012)

Annex 5. Chronology of Sesc São Paulo

Chronology – Sesc São Paulo	
1930's & 1940's	The process of industrialization, the expansion of the commerce and services, the internal movement of migrants from rural areas to attractive cities, characterised the general urbanisations of the State of São Paulo. Still, as the cities were not prepared to receive the population and to accompany the emergence of the new metropolis there was a disorganised growth of the urban areas, resulting in: • a lack of basic infrastructures (transport, sanitation, habitation); • precarious medical care, lack of hospitals and health centres, new diseases; • a lack of schools; • and as the new population was unprepared for the urban experience, social tensions increased. (SESC São Paulo 1997)
1945-46	The reality of post-global second world war, which lasted from 1939 to 1945, encouraged increasing critiques of the 'Estado Novo' regime (named give to the period that put Brazil under the leadership of Getúlio Vargas). Moreover, with the return home of Brazilian soldiers who brought with them hope of freedom, progress and democracy, a military movement put an end to the dictatorial regime of Vargas. Businesspeople who were engaged in commerce, industry and agriculture questioned their role in the social transformation the country was going through. They met in May 1945 at the 'Conferência das Classes Produtoras' (still under the Vargas regime), arguing that after the military peace the social peace was urgent to achieve, and put forward recommendations to better the general conditions of the Brazilian population (SESC São Paulo 1997). The businesspeople signed a document, 'Carta da Paz Social', containing the principles that encouraged the creation, of Sesc ('Serviço Social do Comércio', Sesi ('Serviço Social da Indústria') and Senac ('Serviço Nacional de Aprendizagem Comercial') in 1946. The group proposed the creation of a single organism dedicated to social service in benefit of the workers and held by the employers. Therefore, on September 13, 1946 a decree-law was signed that charged the 'Confederação Nacional do Comércio' with creating SESC, an institution responsible for planning activities to improve the wellbeing and quality of life of workers and their families, and to increase the moral and civic consciousness of communities (SESC São Paulo 1997). In October the 30th the Regional Council of Sesc was installed in São Paulo, with Luiz de Oliveira Paranaguá as the first director of the Regional Department. The regional-director, together with three other employees, formed the initial team that intended to develop the plans of the Regional Council who were advised by a group of consultants from different areas. The first main objectives of Sesc São Paulo were to provide assistance to the commercial employees in the sectors it where it was more needed, namely, dental, sanitary and medical assistance, as also judicial support for workers and their dependents (SESC São Paulo 1997). However, the social concerns were multiple, and poor employee meal programmes and nutrition the motivated a food service ('Restaurante do Comércio "Alcântara Machado"').
1947	In January 1947, Sesc opened its first headquarters. The 1947 (SESC São Paulo 1997) activity report defined Sesc's major concerns: • to improve the moral and civic consciousness of the commerce workers,

through education;

- to solve domestic problems resulting from difficult conditions of life;
- to ameliorate health, food and hygiene conditions;
- to defend the salary of the commercial employees;
- to improve the conditions of housing and transport;
- to provide basic services required for the professional and social lives of the commercial employees and their families.

The activities proposed by Sesc since its beginning had the objective of creating conditions for human and social progress, by providing quality services at symbolic prices. The social centres ('Centro Social'), working from 6am to 10pm, were the units where Sesc provided social work for workers and their families, which initially operated in rental residential houses in the capital and interior. The nine main plans of action in those days were: maternal, odontology, hospital and medical-sanitary assistance, recreational assistance, educational assistance, moral and spiritual assistance, home care assistance and legal assistance.

Most of the centres were oriented (in this first period until the end of the 40's) toward assistance in health (maternal, odontology, hospital service and medical-sanitary assistance) due to the great lack of health services and conditions at that time, fighting major diseases like syphilis, tuberculosis or leprosy (SESC São Paulo 1997) with a major health campaign. In fact, most of the social centres began to have dental clinics, which still persist in today's units (providing one of the most expensive medical services in Brazil). Besides health assistance, other types of activities (some provided in home care format) described in the 1940's activity reports are: civic commemorations, legal assistance, meetings, special events (for brides, mothers and fathers, infants and juveniles), small plays, music festivals and film sessions, educational courses specially related with health, maternity and feeding were delivered (SESC São Paulo 1997). However, at that time leisure activities were only seen as a complimentary part of the educational assistance strategy of Sesc (SESC São Paulo 1997).

In 1947, a course of 'Introduction to Social Education' was established. The best students of this course were placed as social educators of Sesc, working in the field in a pioneering movement of non-formal education towards improving the quality of life of the commercial employees and their families (SESC São Paulo 1997). The success of sports activities (initially focused on football) as a tool to gather and promote interaction between workers, increased and motivated the development of a major sports programme in the 1950's. Is created a sports department on an experimental basis, 'Departamento Desportivo do Sesc São Paulo', which promoted sport competitions between commercial employers and employees in football, gymnastics, volleyball and baseball, and its success intensified these kinds of activity (SESC São Paulo 2013).

The first care unit was inaugurated on May 1st 1947 in the neighbourhood of Tatuapé, was the Bento Pires do Rio social centre in São Paulo. In July another social centre was opened in Bela Vista. In August a central clinic for specialized services was launched in the headquarters building ('Clínica Central de Serviços Especializados'). The Centro Social "Mário França de Azevedo"' inaugurated in October 1947 in the Santana neighbourhood. In October 1947 the first social centre in the interior of the State was inaugurated at Ribeirão Preto, the future Sesc Ribeirão Preto (although it only started to operate in 1948).

Since the beginning of its action Sesc has had to create its own style of operation that allows the institution to perform its social programme.

In 1947, the first full year of operation in Sesc, the budget was small for the type

	of services and activities delivered, around 50 cruzeiros (0,01€) per person served. Generally, the work of Sesc was spread by specific visits to the companies and homes of the employees.
1948-49	A range of social centres were inaugurated: the 'Centro Social "Carlos de Souza Nazareth"' in São Paulo, the 'Centro Social "António Gonçalves Leite Mont'Serrat"' in the city of Botucatu, 'Centro Social "Orval Cunha"' in the city of Taubaté and two other social centres opened and started to operate in Campinas and Santos. In October 1948, the first ground-breaking summer camp 'Colônia de Férias "Ruy Fonseca" (with urban planning from Prestes Maia) opened in Bertioga, for workers and families. It upheld the importance of the leisure and holiday time and contact with nature in the promotion of social wellbeing and personal development in a period where urban areas were growing exponentially. With a range of activities from sports to watching cinema, the first steps for a social tourism programme were developed. It was increased and reformed in the following decades. Today it has the capacity to accommodate 1000 people. In 1949 Sesc delivered 37 music shows, 36 of them took place at Bertioga (SESC São Paulo 1997).
1950's	In the 1950's the priority areas of the services provided by the Sesc centres were still targeted towards assisting pre-natal care, early childhood, children, adolescents and adults, with different medical services adjusted to the main needs (SESC São Paulo 1997). In answer to workers' requests the social centres started to diversify, providing courses and other training areas besides medical assistance, such as English, Portuguese, ballet, or tailoring and sewing, and a bride's course (SESC São Paulo 1997). The cultural and artistic activities were then becoming more and more incorporated into the programme activities. In the 50's Sesc São Paulo counted 400 professionals (direct or indirectly involved) for all the assistance and educational work, increasing from 4 to 400 employees in its four years of existence (SESC São Paulo 1997). Sesc was assisting 60000 people per year. This exponential growth of Sesc was possible do to the favourable economic conditions at that time. A journal was produced, 'Sesc em marcha', publishing 10000 copies each time. Outside the capital at this time, Sesc was represented through its social centres in the cities of Rio Preto, Taubuté, Franca, Bauru, Lins, Araçatuba, Botucatu, Araraquara, Sorocaba, Piracicaba, Cruzeiro, Assis, Jundiaí, Ourinhos, Avaré, Ribeirão Preto, Campinas e Santos. Is introduced a programme of picnics – 'convescotes,' where daily social, recreational and sports activities were delivered to the workers and families at the weekends, promoting contact with nature.
1951-55	In 1951 the 1st National Convention of Sesc Workers ('Convenção Nacional de Técnicos do Sesc') took place in Bertioga. Revision of the action plan and new guidelines for the institution were debated, oriented mainly to increasing the number of educational activities (SESC São Paulo 2013). In São Paulo, the social service group ('Serviço Social de Grupo'), the friends clubs of Sesc and Senac, new courses concerning cultural and educative activities oriented toward mothers (brides, pastry, embroidery, nursing care) (SESC São Paulo 1997) were developed. Also the 'Teatro do Comércio' was created – a programme that buys tickets from plays in the city and distributes them to workers. The music group 'Coral do Comerciário' was formed. To counter the routine of work life, excursions and tourism trips were proposed

	for workers and their families, packed with cultural, social and recreational activities. These social tourism programmes grew and diversified in the following decades. In 1953 the 2nd general national plan of action of Sesc was approved. In 1955 the 'Revista do Comerciário' with cultural, scientific and daily life themes was launched.
1956	In 1956 the 2nd National Convention of Sesc Workers ('Convenção Nacional de Técnicos do Sesc') took place. Here there was a theoretical debate, highlighting what should be the foundation of SESC work and workers, based on informal, democratic, group and community formats of social education (SESC São Paulo 1997). Internally, at São Paulo, the theoretical production in the social service area was increasing, with courses, conferences, internships, study meetings, also dedicated to professional development (SESC São Paulo 1997). New clubs and groups appeared, offering theatre, cinema, dance, photography, fine arts, sports and recreational activities. According to the 1956 Sesc activity report, it was evident that the time commercial workers dedicated to leisure activities was increasing to the detriment of hours of work. This was seen as an opportunity to set a path towards individual values (SESC São Paulo 1997). In 1956, upon completing 10 years of existence Sesc had performed 12 million assistance services. The first edition of the research 'Brazilian Concerns' ('Problemas Brasileiros') was published, dedicated to subjects discussed at the Politics, Sociology and Economic Council ('Conselho de Economia, Sociologia e Política') of the São Paulo commerce federation ('Federação do Comércio do Estado de São Paulo') (SESC São Paulo 1997).
1957-58	Following the ideas discussed in the 2nd national convention of workers, two new courses were introduced in the programme and offered by the social services regarding human relationships in work and sports, which remained until the 1970's ('Relações Humanas no Trabalho', 'Relações Humanas no Esporte') (SESC São Paulo 1997). The Centro Social "Horácio Rodrigues" was inaugurated a social centre in the city of Santos, to replace the previous unit from 1948. In 1957 there were 22 social centres ('Centro Social') in São Paulo (SESC São Paulo 1997). In 1958 the 'Maternidade João Daudt D'Oliveira' maternity service was inaugurated, which operated from 1958 to 1970 and was considered a role model in Brazil.
1960's	The first half-decade of the 60's was a period of administrative decentralization and of recognising the role of educational activities on the wellbeing and social development of communities, which motivated reflection on the technical and theoretical know-how of the social workers (SESC São Paulo 1997). Social education was acknowledged as an instrument for the integral development of human personality, and consequently the wellbeing of commercial workers and families and the development of a moral and civic sense of community. In this sense, through engaging people in social education processes (informal and spontaneous) individuals and communities could be transformed. Here on one hand, new socio-educational activities were explored and introduced to embrace social practices, and on the other hand the institution, through its centre activities, started to open its doors to the surrounding community (no longer being restricted to the commercial workers).

	Construction began at Suzano city to build a housing complex for commercial employees 'Comunidade "Brasílio Machado Neto"'. This included different infrastructures; cinema, gym, church, kindergarten, school, market, sport facilities and social club. This project was later sold to the workers (the residents) and the municipality (the remaining infrastructures). Another social centre was opened in São Paulo, Sesc Carmo.
1961	The Regional Department of São Paulo had 18 unities spread between the interior and the capital, with 1,000 workers. The 3rd National Convention of Sesc Workers ('Convenção Nacional de Técnicos do Sesc') took place in Macaé, and a new general plan of action was defined at the national level. This plan clearly assumed education as the basic strategy for social community development, although in certain units the assistance and care services were maintained and considered important (SESC São Paulo 1997).
1963	For the first time, social work specifically devoted to the senior population was introduced (named 'Grupo de convivência Carlos Malatesta'). Sesc São Paulo was a pioneer in this work, which became a role model for the rest of the country. In the following decades the number of seminars, courses, conferences, gymnastics, music, literature and painting workshops dedicated to the senior population gained major importance as an answer to social isolation and to help them find new roles in the society through a specific programme ('Programa de Preparação para a aposentadoria').
1966	The 'Unimos' a mobile units programme was developed, devoted to community work in different places of the State (Unidades Móveis de Orientação Social-Unimos). The mobile units functioned with three social educators and travelled with the required material to develop community activities in cultural, social, recreational, sports and health areas. These units operated until the end of the 70's. Each year the Unimos reached 150 municipalities of the State of São Paulo, stimulating the participation of thousands of people (SESC São Paulo 1997).
1967	Sesc Consolação opened in São Paulo (previously known as 'Centro Cultural e Desportivo da Rua Dr. Vila Nova'), which initiated a new venue format, merging social, cultural ('Teatro Anchieta'), nutrition and sport activities in one space. This space modelled a new strategy of informal spaces for permanent education (SESC São Paulo 1997). This new concept of the units was followed in subsequent years by an expansion of Sesc network of facilities, as well as the renovation of existing ones. With the new centres a new programme philosophy arose, changing from deep health assistance to health education (development of health and nutrition courses and fairs), where only the odontology and nutrition services were kept. The importance of sports activities won a large space and specific areas inside the facilities (SESC São Paulo 1997).
1969	The Multiannual Plan of Sesc São Paulo ('Plano Plurianual do Sesc São Paulo') was developed, which proposed leisure as the instrument and path for social education. Through leisure individuals could play, recreate, entertain, relax, amuse and develop their knowledge. This strategy gained strength with the seminar 'Leisure for a city that works' ('Lazer para uma cidade que trabalha') and other fairs and meetings developed by the social centres and the Unimos, concerning leisure time (SESC São Paulo 1997). The bet on leisure contributed to the contiguity of Sesc in the communities and consequently increased its importance and impact in the cities. Moreover, it stimulated an internal reflection on the techniques and processes to deliver the institutional activities and objectives.

	The development of education campaigns was outlined through partnerships with other entities and public bodies.
1972-73	In 1972 the 'Centro Cultural e Desportivo de Campinas' (re-inaugurated in 2001 as Sesc Campinas) and a sport complex in the city of Catanduva were opened. On March 16th 1973 when presenting the general directives of Sesc action, the SEsc National Council ratified and stimulated Sesc São Paulo strategy of using leisure as an instrument of social development. The leisure activity contained in itself an educative and social process, in the sense that by proposing quality activities people could interact and develop their individual capacities. Leisure was defined as a basic directive by the understanding that the free-time of workers and their relatives could be exploited for social stimulation and knowledge (SESC São Paulo 1997). The national directive of action established leisure activities (including culture, sports, recreational and physical activities), nutritional actions, followed by education and health programmes (SESC São Paulo 1997) as priorities- Swimming pools were affected by the leisure strategy, and aquatic parks replaced most of the competition pools. The first week-long programme fully dedicated to the senior population 'Semana do Idoso' took place.
1975	The Sesc Interlagos (initially named 'Centro Campestre'), the first rural unit opened to face the huge demand for green and natural environments in a city that was growing exponentially. This unit promoted contact with nature at the weekends, offered a diversity of activities to different segments of the public and enlarged the capacity to serve large-scale audiences. The São José dos Campos centre (re-inaugurated in 2008 as Sesc São José dos Campos) opened.
1976-77	In 1976 a popular cultural theme fair ('Feira Nacional da Cultura Popular') took place and a musical project of Brazilian popular music ('Circuito Comerciário de Música Popular Brasileira') was created to tour around the different units. In 1977 a unit in Bauru was created.
1978-79	A research unit, the Centre of Leisure Studies ('Centro de Estudos do Lazer') was created, demonstrating the importance that leisure was gaining in the internal planning. The institution started to produce its own studies through the experience it developed, by taking cultural activities as pedagogy of action (SESC São Paulo 1997). The workers of the institution previously named 'social educators' started to be called 'cultural animators'. A research centre was created, dedicated to senior activities ('Centro de Estudos da Terceira Idade'). In 1979 CineSesc opened in São Paulo and Sesc Piracicaba.
1980's	In the 80's the direction of work embraced the cultural field, some examples of initial activities were: exhibition circuits, theatre, cinema, a project to promulgate popular music ('Projeto Pixinguinha'), the National Fair of Popular Culture ('Feira Nacional de Cultura Popular') and a string orchestra that had people with no musical background playing ('Orquestra de Cordas') and which later became the Centre of Experimental Music ('Centro Experimental de Música'). An environmental research centre was developed at Sesc Interlagos in the 80's ('Centro de Estudos do Meio'), to address environmental protection issues. It was also in the 80's that Sesc activities began to move into the streets with specific programmes. Moreover, in this period the idea of excellence in delivering services defined activities from the 80's onward (SESC São Paulo 1997:91).

	These activities introduced and recognised the importance of corporal movement in individual development.
1982	A unit of theatrical training and scenographic research was developed (‘Centro de Pesquisa Teatral’).
1985	The ‘Curumim’ project created a programme for the integral development of children between 7 and 12 years-old, complementing the family and school roles, to provide opportunities for children to get involved with science, nature, dance, music, theatre, sports and other activities that promote social integration. Before this specific project, the children's centres (‘centros infantis’) and ‘Unimos’ already operated as formal and systematic service for children. Also, some units like Interlagos had areas dedicated to children (‘Jacaré’, ‘Casa da Árvore’).
1986-88	In 1986 the annual activity report stated that 22 million people had been served with some type of activity. In 1986, the fully renovated Sesc Pompeia unit opened a cultural and sports centre in a former factory, which through an urban requalification strategy preserved the industrial memory of São Paulo without demolishing anything, but adding two external vertical buildings. The old factory building began as a provisional unit in 1982, even before its total requalification, developing theatre performances, exhibitions, music shows and festivals, social and sports activities. It was the first urban leisure centre in the city. In following years Pompeia had a Training Centre for Animators (‘Centro de Formação de Animadores’) and became a role model for other Sesc units (SESC São Paulo 1997). The ‘Centro Cultural e Desportivo de Santos’ (later Sesc Santos) was also inaugurated, with a sports and social complex, aquatic park, dental clinic, a major theatre and an exhibition centre. The Sesc action plan for the triennium 1988-90 (‘I Planesc-Plano de Ação do Sesc’) was presented, which defined culture and health as the two main lines of action (SESC São Paulo 1997). Health included primarily dental clinics, services required for access to Sesc swimming pools and other activities and nutritional assistance. The democratization of access to culture allowed contact with different forms of artistic expression, promoting social interaction, lowering social and economic barriers, thereby assuming a major role in the educational process, value transformation and creation of civic and critical conscience. The Sesc work plan was directed toward a better quality of life and an active citizenship awareness in the services it provided. In 1988 a unit in Taubaté was created.
1990’s	According to the Sesc 50-year commemoration book the cultural action, the social distribution of culture and excellence in the quality of services provided were directives followed by the institution in the next year’s programme (SESC São Paulo 1997). Cultural activity was no longer exclusively linked with artistic work, it was a much broader concept connected with other aspects of culture in work, in life, in social and political participation, in science and technology. The cultural action focused on citizenship development, promoting activities of personal expression (courses, seminars), artistic expression, physical expression (sports, dance), and practical expression (SESC São Paulo 1997). The social distribution of culture moved to not only delivering and disseminating activities to population segments with less access to culture, but also stimulated a new more active form of consumption, participation in real experience. The activities of social tourism increased in importance with experiences of rural tourism, cultural tours and urban tours.

	The diversity of the cultural manifestations and sport activities increased. International partnerships become more frequent in cultural production, offering a range of experiences from more commercial to selected works, from national to international propositions, including traditional and experimental grounds. The musical activity, across different venues (shows, performances, debates, courses, seminars, workshops) and styles, had a place of honour inside the programming as it was transversal to other artistic manifestations (SESC São Paulo 1997). The institution had a leading role in the introduction of a strong cultural policy in the city.
1992-96	In 1992 the Ses Ipiranga, Sesc Itaquera, Sesc São José do Rio Preto opened. In 1993, the Sesc São Caetano and in 1996 the Sesc São Carlos opened.
1997	The cultural and sports centre of Vila Mariana (the first vertical unit) opened. This unit in the capital, together with the interior units of Araraquara and Santo André, consolidated the new model of cultural and sport centres with polyvalent spaces that allow the development of multiple activities and stimulate the socialization and conviviality of its users (SESC São Paulo 1997).
2000-2007	The Sesc Araraquara opened in 2000, in 2002 Sesc Santo André, in 2004 Sesc Pinheiros, in 2005 Sesc Santana, and in 2007 the Sesc Presidente Prudente opened.
2010	The Sesc Belenzinho was inaugurated, like Pompeia, in an old industrial space which had been acquired in 1996. The Sesc Osasco opened.
2011-2014	In 2011 three centres were inaugurated; Sesc Bom Retiro, Sesc Santo Amaro and a provisory unit of Sesc Birigui. In 2012 a full centre dedicated to research opened, ('Centro de Pesquisa e Informação') and also the Sesc Sorocaba. In 2014 Sesc Campo Limpo and Sesc Jundiaí opened. The Sesc Paulista centre on the main avenue of São Paulo, and another outside the city, Sesc Guarulhos, were part of the process of expansion of the network of centres.

Annex 6. Interviews with professionals of Sesc São Paulo held in Mars 2015

The regional Director (Danilo Santos de Miranda)

"As the institution grew and improved its technical organisation it realised the charitable approach was not enough, it was necessary to change the nature of the public services delivered in the beginning toward a model of continuing education, wherein culture induces social transformation through value change…We are always creating and recreating…The internal institutional guidelines that motivated the change of programmatic content are the constant pursuit of efficacy in our actions through observing the needs of society, where predicting quality of life requirements is inherent to Sesc actions; the observation of other experiences as we seek to know in areas where we are still falling short and we present and influence in areas we are on the leading edge, for example the playground in Sesc Interlagos in the shape of an alligator is inspired by the Dragon slide at the Parc de la Villette in Paris; the continuous development of technical competencies, where we encourage our staff to pursue continuous training, nationally and internationally, in a variety of topics (sociology of work, leisure, child education), to create excellence in our services. Excellence is also achieve by providing a good reception service, clean spaces that are architectonically well thought-out… When Sesc Belenzinho was built, it had a major impact in its surroundings, in terms of the programme supply, but also in the urban morphology today with more organised commercial and residential areas…Our unities have an integrated model of innervation, we establish partnerships with different territory actors, every time we open a new facility…We have a list of municipalities here in São Paulo that want to have a Sesc unity, this is the major evidence of our success…I think is very difficult to measure all the impacts of Sesc network of units but we can ask ourselves what will be São Paulo today without its existence."

The head of the 'Education Department' at the Sesc Belenzinho

"Everything that contains a centre is designed for informal education, from the architecture to the activities…In units like Pompeia or Belenzinho people are not afraid of getting inside, as the architecture itself invites them to take a look to the space...Parents put the children in the 'Curumim' to keep them away from the computers and other technologies, also they look for a place and a social education programme that can explore some themes more difficult for them like, sex, drugs...But for children enrolling in 'Curumin' they have to be enrol also at school, they cannot leave school, is mandatory for us…Inside the 'Curumim' programme, the nutritional content delivered has different goals according to each centre: in Sesc Itaquera it has a basic social character of feeding children, and in Sesc Belenzinho, where a hunger problem is not so evident, it has an

educational aim of teaching how to eat, to choose the right proportions, and keeping the community areas clean by returning the eating trays after each meal. Moreover the 'Curumim' weekend family activities are developed and explored in line with the type of families: in centres with more nuclear families, like Sesc Belenzinho, the activities format is different than in centres where there are mainly single-parents, like Sesc Pompeia…We also seek to balance social differences and to encourage social interaction, for example, one of the main conditions for entering the indoor playground area is to remove the shoes an act not well accepted by all the parents…Moreover, in the playground areas there are no sofas, they existed but were removed after we understood parents left their children in the park and didn't interact with them at all…We can say the consistent involvement of the children induces parents to engage with other parents, building ties between very different backgrounds...All our activities intend to forge experimentation and sensitize the audience for the artistic materials…We see an effective transformation of some families which children enrolled in 'Curumim', a programme that gives time (5 years) and space to see the changes occurred…In very simple acts we educate for citizenship, like food should not be wasted, rooms should be cleaned after each activity"

Two exhibition cultural animators at the Sesc Itaquera unity

"The environment in this unity is very familiar…we received people in our exhibition centre that repeat the same exhibition over and over…they just want a programme to fulfil their time…In the guided visits for school groups we introduce contents related to the exhibit, like the conservation of biodiversity, but we also explain on how to behave and explore the exhibit space, without running, eating or shouting…Is very important our role as social educators in a unity that is mainly recreational"

Two cultural animators of Sesc Itaquera 'bibliosesc'

"'Bibliosec' is important first and foremost for its creative experiential character, we foster a critical capacity by diversifying the reading and we even teach people excluded from the traditional educational environments how to read. In the days the unit is in the neighbourhood we stimulate encounters between people from similar and different backgrounds; and in the two weeks the mobile unit is not in the neighbourhood people also meet, as they tend to exchange the requested books between themselves. In places we no longer pass, local people started to demand a fixed reading place and other facilities, like cinema sessions, from the local authorities…The simple fact of providing people with the opportunity to take care of a book, induces self-confidence and contributes to responsibility values"

The director of the 'Image and Word Department' at Sesc Vila Mariana
This department develops workshops which last 4 days on average...the activities are oriented towards individual participation and not family activities…We targeted people with interests in specific topics regarding image…it is very rare for us to have a loyal audience, only if we deliver courses for one month for example…Our main focus is to provide access to new contents and knowledge, even though we account Sesc citizenships principles always in our actions"

The director of the 'Music Department' at Sesc Vila Mariana
"Our focus is on human valorisation, the teaching process differs from the usual music schools as we balance technical instruction with identity building...indeed, one of our interests is to conciliate the diversity of identities, through the musical expression…Music is a valuable tool to embrace diversity in a country like Brazil…we are oriented towards individual participation and not family activities…our courses last from 2 to 3 months in average"

The 'Physical Activities and Sports Department' at Sesc Vila Mariana
"The elderly audience arrives by medical recommendation, but then stays for the social ties developed. The adult audience searches the wellbeing and the children and youngest pursuits free time occupations…The loyalty of the audience is very big, the people are afraid of loosing their places…But we have also our open dance class at Sunday mornings, where we have passing by audience… In our physical activities we deliver social education rules, beyond working on health and mental care, like not arriving late or leaving early to a class and helping straighten up the rooms after each activity beyond working. So we can say we focus on health and social issues…one of our department main roles is to stimulate self-confidence and body awareness, because our the activities demand exposure of the body…We impart new contents to the lives of our audience, much of them have said their lives changed after enrolling in Sesc activities"

Annex 7. Questionnaires conducted in Sesc Itaquera

1.Age: **2.Gender:** **3.civil status:** **4.Do you have children?**

☐16-24 years old ☐Female ☐married (formal/informal) ☐No
☐25-39 years old ☐Male ☐divorced ☐1
☐40-54 years old ☐widow ☐2
☐55-65 years old ☐single ☐3 or more
☐+65 years old ☐other – Which? .....

5.Are you currently working?

☐yes **5.1.If yes, in which category:**
☐ workers with a signed contract
☐ workers without a signed contract
☐military service
☐ Public employee
☐ self-employed ☐employer ☐ unpaid ☐ other – Which?.....
☐no **5.2.If not, are you:** ☐unemployed ☐retired ☐ student ☐other –Which?.....

6.What is your monthly income? (national minimum wage of 2015 –MW- Values in Real Brazilian)

☐ Until 2MW (1.575,99) ☐ From 4 to 10 MW (3.152 -7.879,99) ☐ 20 MW or + (15.760 or +)
☐ From 2 to 4 MW (1.576-3.151,99) ☐ From 10 to 20 MW (7.880-15.759,99)

7.Education level:

☐ Primary and Lower Secondary Education (incomplete)
☐ Primary and Lower Secondary Education (complete)
☐ Upper Secondary Education (incomplete)
☐ Upper Secondary Education (complete) ☐ None
☐ Bachelor degree or equivalent (incomplete)
☐ Bachelor degree or equivalent (complete)
☐ Master/Doctoral or equivalent (incomplete)
☐ Master/Doctoral or equivalent (complete)

8.Which city do you live in?	8.1. If it's São Paulo in which **district**?

9.Do you do volunteer service?

☐I do ☐I did ☐I never did Which kind?.....

10. Do you follow a religion?

☐Yes ☐No ☐ **If yes – Which?**.....

11.Do you belong to any community groups, associations and clubs (formal or informal) that gathers at least once a month?

☐Yes ☐No **11.1.If yes, how many groups?** ☐ (answer in number)

12.In 2014, have you cooperated with your neighbours to improve or solve a problem in the community?

☐Yes ☐No ☐ Don't remember

13.Is your first time visiting Sesc Itaquera?

☐Yes **13.1.If yes, what is the reason of your visit?** (you can choose several)
☐To know the unit ☐Use swimming pool ☐Play Sports
☐Spend the day with family/friends ☐Access Internet ☐Illustration workshop
☐ Dental service ☐Reading workshop ☐Dance workshop ☐ Theatre
☐Visit exhibition "Amazônia Mundi" ☐Environmental workshop ☐Other.....

☐No

13.2.If no, how often do you visit Ses Itaquera?

☐1 to 3 visits a year ☐4 to 6 visits a year ☐1 visit per month ☐☐ 2 or more visits per month

13.2.1. What's the reason of your visit today? (you can choose several)
☐To know the unit ☐Use swimming pool ☐Play Sports
☐Spend the day with family/friends ☐Access Internet☐Illustration workshop
☐ Dental service ☐Reading workshop ☐Dance workshop ☐ Theatre
☐Visit exhibition "Amazônia Mundi" ☐Environmental workshop ☐Other.....

14. If Sesc Itaquera didn't exist would you have an alternative place to enrol in these activities?
☐Yes ☐No

15.How did you get here? (What was your main type of transport used?)
☐Own car ☐Taxi ☐Walk ☐Bus ☐Bicycle
☐Motorcycle ☐Subway ☐Train ☐Other.....

16.How long did it take you to get to Sesc today?
☐Less than 15 minutes ☐Between 30 minutes to 1 hour
☐Between 15 to 30 minutes ☐Between 1 to 2 hours ☐+ than 2 hours

17.How long, approximately, will be your visit today to Sesc?
☐Until 1 hour ☐1 to 3 hours ☐+ than 3 hours

18.Are you a commercial worker enrolled in Sesc system (or dependent)?
☐Yes ☐No

19.Do you know/attend other Sesc units?
☐Don't know
☐Know, but never attended other units
☐Know and attended at least once to other units
☐Know and usually attends other units

19.1.If you know, which other units do you know?
……

19.2.And what was the reason of your visit to those other Sesc units?
……

20.Do you have access Internet at home? ☐Yes ☐No

21.Attending leisure and cultural activities	High-level ('engaged in the last 30 days')	Medium-level ('engaged over the past year')	Low-level ('engaged more than a year ago')	'Never engaged'
Frequent Libraries				
Visit Exhibitions				
Go to Cinema				
Attend Dance Shows				
Watch Films/TV				
Traditional Festivals				
Visit Museums				
Attend Classical Music Concerts				
Play Video-games				
Go out to Dance				
Attend Theatre				
Attend Music Shows				
Read Books				
Visit Craft Fairs				
Go to the Shopping centre				
Attend the Circus				
Attend Poetry Sessions				

22.Do you play sports?

Never	Rarely	1 to 3 times a month	1 to 2 times a week	3 to 4 times a week	5 times a week or more

If yes, which sports?.....

Résumé en Français

Ces dernières décennies, avec l'effondrement des modèles industriels et de d'organisation économique, les sociétés urbaines ont été confrontées à des importants défis culturels, sociaux, environnementaux et économiques et ont adopté des nouveaux paradigmes de développement qui entraînent des dimensions sociales et intangibles dans le cadre de ce qui explique la croissance. D'ailleurs, et bien que la littérature montre que l'instrumentalisation de la culture est une vieille discussion et ne pas le résultat de la détérioration du financement du secteur, c'est dans le cadre de ces nouveaux paradigmes du développement, axée sur une approche plus humaine et sur des résultats durables, que la valeur de la culture a été reconnue et introduite dans les cadres et les politiques de développement.

Néanmoins, il est démontré que l'évaluation des impacts de la culture dans le cadre de développement est plus orientée vers la valeur économique. Également il est illustré que ces évaluations uniquement monétaires sont insuffisantes pour appréhender les externalités attachées à la culture et aux arts et pour comprendre la façon dont ces activités enrichissent vraiment les gens et les sociétés. En conséquence, cette recherche est motivée par le besoin d'un débat théorique et empirique multidisciplinaire qui aide à élucider sur les dimensions plus sociaux et intangibles du rôle de la culture pour le développement.

Culture, arts et développement - les dynamiques territoriales et la revendication sociale (Chapitre 1)

Le chapitre introductif examine la façon dont le rôle de la culture dans le développement a été interprété du point de vue théorique, mis en place à un niveau politique et mesuré.

Ce chapitre analyse le débat en cours sur les significations de « culture » en soulignant les deux principales connotations contemporaines que sont devenues les plus courantes - une approche anthropologique et une approche sectorielle - et explore leur interprétation à la lumière des paradigmes économiques et sociaux du développement.

Ce chapitre montre que, si certains rejettent l'instrumentalisation de la culture en présentant des arguments en faveur d'un mouvement autonome et esthétique – « l'art pour l'art » – d'autres présentent un argument théorique en faveur de la fonction utilitaire des activités culturelles qui n'est ni nouveau, ni une conséquence du financement – « la théorisation de la politique culturelle instrumentale peut être trouvée dans la République de Platon » (Belfiore and Bennett 2007:140).

Néanmoins, on conclut que cette reconnaissance historique et théorique de la valeur de la culture pour expliquer la transformation sociale (où les attributions

positives au secteur culturel prévalent sur les négatives) ne s'est pas encore répercutée entièrement sur les cadres politiques et d'évaluation en matière de développement durable, puisque la reconnaissance continue à ne progresser que lentement.

En revanche, on explique aussi comment, depuis la fin des années 1990, de nombreuses dynamiques locales basées sur la culture sont apparues comme outils de support pour le développement économique et social, la régénération urbaine et la qualité de vie. Cependant, ces dynamiques exploitent les biens culturels comme des possibilités pour la production et exportation de produits, services et expériences de haute valeur, à travers des symboles que ces biens véhiculent.

La discussion actuelle sur le rôle participatif de la culture dans le développement est ainsi expliquée par la reconnaissance d'un rapport fonctionnel dans le cadre de la production des économies modernes, entre le secteur culturel et d'autres secteurs non-culturels avec une composante créative importante (architecture, mode – celles qui sont les industries frontalières dans le « modèle de cercles concentriques »).

Cette reformulation explore et place la capitale culturelle, intangible et tangible, comme un facteur déterminant dans le processus de développement à l'échelle micro.

Dans ce sens, le secteur culturel n'est plus statique, improductif et demandé exclusivement pour la consommation finale (comme c'était le cas pendant l'ère industrielle et préindustrielle), mais décrit comme essentiel pour la consommation intermédiaire et, par conséquent, pour le développement économique et social durable.

En outre, on décrit également que plusieurs études et documents de cartographie culturelle évaluant l'impact économique produit par des activités culturelles ont été élaborés pour identifier les principales contributions de la culture pour la richesse économique.

Afin de comprendre les objectifs de ces évaluations tangibles et monétaires, une sélection et une révision de 29 études ont été conduites. Ces études ont été menées entre 1988 et 2015, la plupart des rapports commandés, et ont été analysées et alignées sur quatre catégories : le résumé, les principales constatations, les domaines des impacts couverts et la méthodologie (présentée en Annexe 1).

On démontre que l'évaluation économique de la culture attire depuis longtemps l'attention des communautés de recherche et politiques et que cette orientation intensive de l'évaluation vers la valeur économique est liée à plusieurs facteurs: les justifications traditionnelles de l'évaluation, qui fournissent de l'information fondée sur des chiffres monétaires et financiers standard; la dépendance financière des activités de la culture et des arts, qui crée la nécessité de communiquer des impacts positifs du secteur par des mesures monétaires et comparatives, idéaux pour des justifications politiques et opérationnels à court terme; le processus simple d'évaluation économique, qui ne dépend pas d'éléments intangibles; et la capacité à décrire une chaîne d'impact pendant la production de

l'analyse économique, qui permet de discerner les canaux par lesquels les activités culturelles peuvent nuire à la prospérité économique et isoler ses impacts potentiels.

Néanmoins, l'appropriation de la culture en tant que principal intervenant sur les dynamiques du développement du territoire est déterminée par la capacité du secteur culturel à produire un vaste éventail d'effets extrinsèques (instrumentaux), ne pas seulement liés aux résultats économiques mais aussi à d'autres dimensions sociales qui ont émergé pendant la révision des perspectives historiques et théoriques, telles que la jouissance, le développement personnel, les processus de civilisation et l'établissement de références communautaires.

En effet, malgré la tendance excessive à faire des évaluations tangibles, plusieurs arguments ont été avancés que revendiquent que les évaluations uniquement monétaires produisent une image déformée de la valeur réelle de la culture pour la société, ne pouvant pas comprendre la façon dont ces activités enrichissent vraiment les gens et les sociétés.

Étant donné que la culture a pénétré dans les cadres de développement dû à sa signification symbolique, l'interprétation de ses valeurs à travers les chiffres monétaires est insuffisante pour appréhender les externalités attachées à la culture et aux arts.

Cette recherche est, donc, motivée par le besoin d'un débat théorique et empirique multidisciplinaire qui nous puisse élucider sur les dimensions plus sociaux et intangibles du rôle de la culture pour le développement, afin d'établir des politiques de développement plus cohérentes. En conséquence, la recherche a été présentée dans les chapitres suivants :

L'évaluation des impacts sociaux de la culture (Chapitre 2)

Ayant énoncé l'importance d'explorer les impacts sociaux produits par les activités culturelles, ce chapitre a comme point de départ une analyse détaillée de la littérature existante concernant les études d'impact social qui expliquent les effets des activités culturelles sur le développement individuel et de la communauté. Cette analyse a été fondée sur une sélection de 46 références, qui sont décrites de façon détaillée en Annexe 2. Une évaluation critique de chaque référence a aidé à identifier des sujets clés sur les études d'impact social des activités culturelles.

Pour ce qui concerne le type de documents d'évaluation produits, les rapports dépassent le nombre d'articles académiques. Les activités et les résultats rapportés s'adressaient à des publics spécifiques – jeunes, personnes âgées, adultes, communautés - et ont été remis par des différents fournisseurs provenant d'établissements traditionnels, tels que les musées, mais aussi les centres locaux de services communautaires, les hôpitaux, les prisons et les écoles. Ainsi, les contextes où les interventions culturelles ont lieu sont très hétérogènes et la subséquente évaluation des impacts sociaux tend à être analysée dans les environnements

culturels moins traditionnels (comme les prisons, les écoles). Des projets culturels à court et à long terme sont évalués, mais on l'a conclu que seulement les programmes à long terme et avec un haut niveau de participation pourraient assurer la production d'effets durables. Par conséquent, les effets des interventions culturelles peuvent être interprétés en tant que actifs « périssables » qui disparaissent s'ils ne sont pas continus.

Plus que la moitié des études ont évalué les résultats des activités culturelles en analysant des formes actives d'engagement dans la culture (comme jouer le piano) et reconnaissent que les effets dépendent non seulement de l'intensité mais également de la nature de l'intrant culturel.

Bien que cette consultation ait documenté un large éventail de domaines de résultats et d'effets attribués aux activités culturelles, les impacts individuels ont été l'objet d'autant de recherche que les impacts collectifs, particulièrement dans les domaines du développement cognitif et des améliorations en matière de santé. En plus, les études observant des projets d'arts communautaires, les impacts des arts sur le bien-être et la transformation de la communauté avaient des lacunes au niveau de la recherche académique.

Le même biais orienté vers l'exploration des dimensions individuelles, plutôt que les collectives, des impacts a été produit pendant la discussion sur le mécanisme des impacts. En effet, la consolidation des perspectives explorant les chemins de transformation individuel a permis de trouver des similitudes dans les processus de changement personnel après l'expérience culturelle et a aussi permis de proposer une chaîne de réponse individuelle aux activités culturelles, qui est illustrative du changement social.

Pour finir, une liste de défis méthodologiques a été identifiée - la « homogénéité du traitement », « l'homogénéité des effets », « la linéarité des effets », « la causalité des effets », « l'isolement des effets », et « la durabilité des effets » - et sa complexité a expliqué le pourquoi de la résistance à la mesure des impacts sociaux des activités culturelles.

Ce chapitre permet de conclure que l'évaluation des impacts sociaux et l'étude des voies par lesquelles la culture produit des impacts ont été orientés plutôt vers la compréhension des différents impacts individuelles et extrinsèques des activités culturelles que vers sa capacité pour induire un changement collective (en établissant le capital social et la cohésion communautaire). En plus, cet examen conclut que les pratiques en matière d'impact social pèsent plus sur la responsabilisation pour un programme que sur l'apprentissage de sa complexité, dans le sens où les dimensions qui tendent à être plus évaluées sont ceux où les interventions tendent à être plus subventionnées (des impacts sur l'éducation et la santé).

Pour terminer, on commence par défendre que les impacts et les mécanismes de la transformation collective qui tendent à être ignorés était, auparavant, perçus comme les plus capables à conduire au développement économique et social du

territoire - Maridal a démontré que le rôle de la culture dans le développement est plus efficacement incité par les valeurs orientées vers la communauté que par d'autres voies de motivation individuelle (Maridal 2013). Deuxièmement, les évaluations d'impact ne devraient pas être une question de produire des preuves à tout prix, mais une question de se renseigner sur le processus de changement et de comprendre les vrais mécanismes de l'impact. Par conséquent, la recherche suivante met l'accent sur la proposition de nouveaux cadres théoriques et approches empiriques qui interprètent les impacts sociaux de la culture au niveau de la communauté.

La construction des valeurs sociales communautaires par la culture et les arts : une approche théorique (Chapitre 3)

Afin d'interpréter comment la culture produit des impacts sociaux à un niveau collectif, ce chapitre propose une chaîne théorique pour interpréter les impacts sociaux des activités culturelles au niveau de la communauté, en alignant un ensemble de capacités sociales induites par la culture.

Par conséquent, fondée sur d'autres contributions théoriques concernant la propagation de l'impact et basée sur des catégories spécifiques d'impacts de niveau collectif, cette chaîne explore la façon dont les différents impacts des activités culturelles se propagent dans la sphère collective, allant des effets intrinsèques individuels à la promotion des effets collectifs extrinsèques.

Le modèle définit les impacts sociaux au niveau de la communauté comme tous les effets sociaux extrinsèques (instrumentaux) propagés dans une communauté à partir de l'expérience individuelle et la conséquente participation cumulative, aussi que les interactions interpersonnelles établies entre les participants et les non-participants des activités culturelles. Ces effets sociaux au niveau de la communauté sont les changements d'attitudes au sein de la communauté sous la forme de socialisation et d'influence civilisatrice, qui aident les personnes à trouver des intérêts communs et des occasions pour la connexion, et qui peuvent favoriser l'action collective jusqu'à déclencher un processus « bottom-up » d'intervention communautaire – la revitalisation de la communauté. Les potentiels impacts sociaux au niveau de la communauté identifiés par la chaîne sont « augmenter la faculté d'empathie », « promotion de connexions sociales », « expression d'un sens commun », « créer un sentiment de communauté », « développer le capital social », « renforcement des capacités pour une action collective », « achever la revitalisation communautaire ».

Par le processus de développement de la chaîne, il a été possible d'identifier certains éléments favorisés par les activités culturelles qui sont déterminants pour déclencher des capacités sociales, à savoir les opportunités de communication et interaction sociale créées par les activités.

À cet égard, le cadre théorique proposé souligne que la fonction principale de la culture dans le développement durable est sa capacité à stimuler un système de réseaux, et particulièrement à encourager la formation du capital social et l'apprentissage des aptitudes organisationnelles et de leadership, qui peuvent inciter un processus « bottom-up » et la revitalisation collective. Ce cadre énonce comment la phase finale de la chaîne des impacts sociaux au niveau de la communauté – la revitalisation de la communauté – exige la coopération à long terme entre différents secteurs, qui peut être accomplie par la capacité de la culture de transmettre, d'une manière transversale, des valeurs symboliques dans les différents secteurs de la société.
Par conséquent, les biens culturels, par un système de significations et de symboles, peuvent non seulement produire et exporter des produits et des expériences de haute valeur, mais également induire un processus transversal d'apprentissage social capable d'inciter l'action orientée vers la communauté et, par conséquent, être une stratégie alternative aux modèles traditionnels de croissance.
Tout en reconnaissant qu'il est très difficile d'isoler et de convertir toutes les potentiels couches intangibles d'impacts sociaux au niveau de la communauté en dimensions qui soient analytiquement utiles, les chapitres suivants sélectionnent, parmi les catégories de capacités sociales identifiées, des indicateurs de mesure spécifiques et des études de cas particulières, afin de développer des approches empiriques capables d'évaluer et mesurer la construction des valeurs sociales communautaires induites par les activités culturelles.

Ces études de cas cherchent à fournir de nouvelles perspectives d'évaluation, en empruntant les modèles d'analyse de la sphère économique, pour répondre aux défis méthodologiques identifiés dans les études des impacts sociaux des activités culturelles (Chapitre 2). D'ailleurs, ces études de cas essayent d'identifier nouveaux mécanismes et moteurs de la capacité sociale créés par différents intrants culturels.

- **Approche empirique : Le rôle de la culture dans la réduction de la criminalité - le cas de Guimarães Capitale européenne de la Culture (Chapitre 4)**

La première étude de cas emploie les « taux de criminalité » comme indicateur de la revitalisation sociale des communautés, en utilisant Guimarães Capitale européenne de la Culture (CEC) en 2012 comme le programme culturel d'observation.

On commence par indiquer que des autres recherches ont essayé d'analyser les effets de l'engagement dans les arts sur la baisse de la criminalité. Néanmoins, ces évaluations sont basées en méthodologies qui se concentrent sur les résultats

immédiats de l'engagement et que ne réussissent pas à mesurer les impacts à moyen et long terme et, par conséquent, à prouver le lien de causalité.

Afin d'aller au-delà des métriques plus anecdotiques, Guimarães 2012-CEC a été sélectionnée comme une source externe de variation permettant de mesurer l'effet d'une intervention culturelle sur la baisse de la criminalité dans un territoire. En utilisant « Guimarães 2012 » comme une expérience exogène, cette approche empirique a conduit une évaluation de « différence-dans-différence » basée en données de panel relatifs à 2008 et à 2013, afin de démontrer l'impact de l'initiative sur la criminalité, défendant des relations causales et ne pas une simple corrélation.

Le choix d'une initiative CEC comme l'expérience qui permet d'identifier l'effet causal d'intérêt résulte de la supposition de que l'accueil de la CEC peut être traité comme une intervention exogène visant la transformation sociale. En effet, le processus de nomination de « Guimarães 2012 » a été vu comme externe à la municipalité: en premier lieu, les pays membres de l'Union européenne sont assignés par une entité externe, la Commission européenne, pour accueillir le programme dans une année spécifique; dans un deuxième moment, au niveau du pays, le gouvernement portugais a désigné la ville de Guimarães pour accueillir le titre de CEC; et, dernièrement, la ville a été officiellement attribuée ce titre par un jury européen de sélection après avoir développé et présenté un programme culturel. Bien qu'on pourrait discuter que la municipalité de Guimarães a fait du lobbying pour accueillir le titre de CEC, le processus dans son ensemble a été considéré comme impartial.

L'étude identifie un mécanisme particulier d'impact entre les activités culturelles de la CEC et la prévention du crime. Les résultats soulignent un rôle particulier de la culture comme potentiel instrument pour inciter un processus civilisateur et une société civile saine, en démontrant que des programmes basés sur les valeurs culturelles des territoires peuvent réduire les taux de criminalité. Plus spécifiquement, on explique que la CEC, en créant des occasions pour exprimer les valeurs communautaires et pour soutenir le patrimoine territorial, peut conduire au développent de bases communes et de systèmes de valeur orientés vers la communauté. Donc, les programmes appuyés sur les valeurs culturelles, comme la Capitale européenne de la Culture, peuvent avoir un rôle civilisateur d'éducation informelle, en créant des occasions pour le développement de systèmes de valeur qui peuvent agir contre le comportement antisocial et diminuer ainsi l'activité criminelle.

Concrètement, concernant les variables explicatives, trois indicateurs de crime ont été sélectionnés au niveau municipal : les « crimes contre le patrimoine », les « crimes contre des personnes » et les « crimes contre la vie en société ». Cependant, les résultats montrent que la CEC ne peut pas faire diminuer toutes les catégories de crime, mais seulement celles dont le comportement social est d'une certaine maniéré lié à des actions d'éducation informelle stimulées par

les programmes culturels. Ceci explique en partie pourquoi la seule catégorie du crime qui a diminué ont été les « crimes contre le patrimoine ».

D'ailleurs, on se demande si on devrait attendre ce type d'effets de toutes les initiatives CEC. Le processus de généralisation des résultats de « Guimarães 2012 » est discuté en observant des similitudes avec le programme « Turku 2011 ». Néanmoins, on avertit que le processus de généralisation des résultats doive être traité avec prudence, vu non seulement le contexte socio-économique et culturel de chaque territoire, mais aussi l'accomplissement des facteurs de l'efficacité du propre programme et la capacité des agents locales à s'engager dans des stratégies de développement à long terme.

En outre, cette étude a pu surmonter certains défis méthodologiques de l'évaluation des impacts sociaux. À savoir, l'étude réfute les « linéarités des effets » en prouvant que les impacts ne sont pas homogènes à l'échelle, car ils peuvent évoluer dans le temps (le coefficient d'impact en 2013 a été différent de celui de 2014). En même temps, les résultats certifient la « durabilité des effets » pendant au moins deux années après l'évènement, ce qui confirme l'engagement des opérateurs locaux.

Cette étude peut faire face à deux autres défis : l'isolement et la causalité des effets, en séparant l'effet d'un programme culturel sur une dimension spécifique du crime et en montrant un lien de causalité entre l'intervention culturelle et la réduction de la criminalité. D'ailleurs, on soutient qu'un effet homogène ne devrait pas être prévu dans tous les territoires accueillant des initiatives CEC. En conclusion, on ne contredit pas la « homogénéité du traitement », étant donné que cette approche dilue les effets dérivés par les intrants artistiques hétérogènes impliqués dans une CEC, en traitant de façon empirique le programme culturel dans son ensemble. L'objectif de ce travail était de proposer une approche empirique capable d'établir des relations causales entre un programme culturel et une forme intangible de revitalisation de la communauté. À cet égard, l'objectif a été atteint.

Pour finir, l'étude indique que le but de revitalisation que la CEC a gagné au fil des années n'est pas exclusivement attaché à sa capacité de produire des externalités économiques, comme d'autres rapports pourraient le laisser supposer.

- **Approche empirique : Le rôle de la culture dans le temps de loisir pour l'éducation à la citoyenneté - la stratégie de Sesc São Paulo (Chapitre 5)**

La deuxième étude de cas identifie le « capital social » et la « participation communautaire » comme les dimensions sociales d'intérêt pour expliquer la valeur sociale communautaire, en observant le Service Social du Commerce (Sesc) São Paulo comme l'objet d'analyse. Cette institution a été choisie dû à sa stratégie très spécifique d'éducation à la citoyenneté, cherchant de transmettre des valeurs

orientées vers la communauté et vers la formation de capital social à travers des activités culturelles et de loisir menées dans le temps libre individuel.

La première section de cette étude de cas présente l'évolution historique de la ville de São Paulo et du Sesc. Le Sesc est une institution socioculturelle privée, sans but lucratif, dirigé par des hommes d'affaires engagés dans le commerce des marchandises, les services et le tourisme, en place au Brésil depuis 1946. Le Sesc a émergé comme une réponse politique de la communauté commerciale pour faire face à une situation sociale critique vécue au Brésil à l'époque.

En effet, le processus intensif et insoutenable de l'industrialisation et les conséquents effets sur une expansion urbaine désorganisée ont créé des prononcées divisions sociales et ont encouragé la nécessité de repenser la stratégie pour améliorer la qualité de vie des travailleurs résidant à São Paulo. Actuellement, le Sesc s'est réparti sur l'ensemble du pays, atteignant différentes municipalités dans tous les états à travers du travail articulé entre les unités fixes et mobiles.

Depuis sa création, le Sesc a été géré sur la base d'une stratégie culturelle et éducative cohérente, avec les objectifs d'améliorer la qualité de vie et le bien-être de son public primaire et également des communautés voisines de chaque unité, en favorisant l'exercice actif de la citoyenneté et le respect pour la coexistence démocratique.

Les principaux domaines d'action du Sesc sont l'éducation, la santé, la culture et les loisirs. Dans chaque domaine d'action, des projets spécifiques sont livrés selon les besoins de chaque localité et leurs idiosyncrasies. Par conséquent, bien que les premiers services offerts par le Sesc visassent soutenir les travailleurs commerciaux et leurs familles dans des situations précaires, l'institution a commencé à développer d'autres activités culturelles et récréatives, avec la finalité principale d'éduquer pour la transformation sociale, et les centres ayant commencé à ouvrir ses portes aux communautés voisines.

Cette politique de reconnaissance des activités de loisir et culturelles en tant qu'éléments importants pour induire l'éducation sociale dans un format non-formel et informel a été, et reste, la stratégie centrale du Sesc. Concrètement à l'état de São Paulo, le Sesc a 36 unités ouvertes à toute la population et surtout aux communautés vivant auprès des centres.

La deuxième section développe une analyse qualitative qui a permis de comprendre ce qui a entraîné l'intégration des activités de loisir et culturelles dans le programme du Sesc São Paulo en tant que catalyseurs de la citoyenneté, et également quelles sont les mécanismes par lesquels ces activités peuvent avoir un rôle dans la citoyenneté.

Cette analyse qualitative s'est basée sur les méthodes suivantes de collecte de données : visites à 9 centres du Sesc São Paulo; observation et enregistrement photographique des activités menées à ces unités; des interviews avec 9

professionnels du Sesc São Paulo, y compris le directeur régional ; et un examen des publications du Sesc et de la bibliographie générale relative au loisir.

Cette section a identifié trois orientations institutionnelles qui ont motivé le changement de contenu du programme du Sesc en vue d'intégrer les activités de loisir et culturelles. La première est « la constante poursuite de l'efficacité dans les actions du Sesc en observant les besoins de la société », selon laquelle le contenu du programme de chaque centre est conçu de façon à s'adapter au territoire objet de l'intervention. L'autre orientation de changement du contenu est « l'observation d'autres expériences institutionnelles », selon laquelle le Sesc São Paulo a trouvé l'inspiration pour être un pionnier dans la réalisation de projets spécifiques au Brésil (pour les enfants et pour les personnes âgées). La dernière orientation est « le développement continu des compétences », selon laquelle l'institution encourage son personnel à poursuivre la formation continue, nationalement et internationalement, dans un large éventail de domaines, afin d'achever l'excellence dans leurs services.

Ensuite, cette analyse qualitative reconnaît, pendant les interviews avec les travailleurs du Sesc, certains éléments favorisés par les activités culturelles et de loisir qui peuvent déclencher des capacités sociales, à savoir l'expression, l'interaction sociale et l'apprentissage expérientielle, qui laissent internaliser les valeurs orientées vers la communauté, comme la confiance, la tolérance, l'empathie pour la diversité et la conscience de l'espace public, importants impératives pour la croissance de la citoyenneté. En effet, ces « vertus sociales » peuvent stimuler la capacité critique par rapport à la vie et leur environnement, induire les actions collectives de réponse aux besoins de la réalité locale et, donc, stimuler la citoyenneté.

La troisième section explore d'abord la façon dont les activités culturelles affectent la citoyenneté par rapport à d'autres activités de loisir, et, en second lieu, comment les « habitués » du Sesc regardent la probabilité d'augmentation de leur engagement civique à partir de la politique d'éducation informelle à la citoyenneté conduite par l'institution. Ces corrélations sont mesurées à travers l'observation du public d'un centre spécifique du Sesc – le Sesc Itaquera.

Les résultats déduisent, en utilisant des indicateurs pour mesurer le « capital social » et la « participation communautaire », que les activités culturelles (à savoir, aller au théâtre, lire des livres, visiter des foires artisanales, assister à des fêtes populaires ou à des sessions de poésie), comparées aux activités de loisir (comme jouer des jeux vidéo, aller au centre commercial), sont plus significativement associées aux capacités sociales pour la citoyenneté.

Cependant, les formes d'engagement culturel ne sont pas toutes alliées de façon égale au capital social et à la participation communautaire. Ainsi, les données surmontent un des défis méthodologiques de l'évaluation des impacts sociaux précédemment identifiés – « l'homogénéité du traitement ». D'ailleurs, des données indiquent que non pas toutes les personnes pourraient tirer bénéfice des

résultats prévus de l'expérience de la même manière, en contredisant « l'homogénéité des effets », un autre défi.

Les résultats montrent également que, à Itaquera, la stratégie du Sesc São Paulo pour la citoyenneté échoue, car les « habitués » du Sesc Itaquera ne voient pas augmenter leur probabilité d'engagement civique et leur comportement coopératif. Ces résultats ont été explorés à la lumière du programme de Sesc Itaquera, permettant de comprendre que cette unité fournit principalement des activités de loisir à ses utilisateurs, et beaucoup moins d'opportunités culturelles, étant incontestablement une unité plus rurale et récréative.

Culture, arts et développement (Chapitre 6)

Après avoir montré que le rôle de la culture et des arts dans le développement durable ne doit pas être uniquement attaché à des externalités économiques, mais aussi à d'autres externalités intangibles, le dernier chapitre présente quelques considérations finales sur la façon d'exploiter ce rôle de la culture et des arts dans le développement afin de construire des cadres théoriques cohérents, des approches empiriques plus rigoureuses et des politiques et stratégies institutionnelles plus solides.

Cadres théoriques

Concernant la chaîne théorique proposée pour interpréter les impacts sociaux des activités culturelles au niveau communautaire, qui aligne un ensemble de capacités sociales apportées par la culture, deux remarques peuvent être formulées dans cette phase finale.

Tout d'abord, le cadre théorique proposé n'est rien de plus qu'une chaîne potentielle de propagation d'impacts sociaux, qui reconnaît que, en réalité, les transformations sociales sont marquées par un système complexe d'imprévisibilités, d'événements contre-courant et à fort impact, peu susceptibles d'être facilement représentés ou interprétés par un cadre linéaire et de formulations hiérarchiques. En effet, comprendre la complexité et la diversité de la transformation sociale intangible et, en particulier, ce qui motive les gens à participer activement dans la vie civique est difficile, car de nombreux facteurs contextuels et historiques peuvent affecter le comportement et les attitudes des individus.

Deuxièmement, même en tenant compte de ces éléments - non-linéaires, non-automatiques et non-homogènes - des effets et du contexte de départ, on a pu percevoir que la capacité de la culture à déclencher les capacités sociales est essentiel pour soutenir le développement. En effet, en reconnaissant les individus comme les bénéficiaires et les moteurs du développement, l'expansion de leurs « capacités » est la question de base de tout processus de développement durable (Klugman 2010). À cet égard, le cadre théorique proposé a mis en évidence que la

culture et les arts peuvent avoir une fonction stratégique sur le développement durable communautaire, au-delà de la capacité de produire externalités économiques, ce qui a été exploité par de nombreuses dynamiques locales basées sur la culture.
Concrètement, la culture, en induisant un processus continu et transversal d'apprentissage social, qui se traduit sur l'acquisition de capacités sociales spécifiques, peut stimuler un système de réseaux nécessaire pour soutenir un processus « bottom-up » d'action collective et une dynamique transfrontalière.
Cela peut représenter, pour les modèles traditionnels de gouvernance et de croissance, une stratégie alternative, tout en diffusant des valeurs communautaires nécessaires à la médiation, à travers d'un système complexe de réseaux : le processus de changement social.

Approches empiriques

Lorsqu'il s'agit de mesurer ces impacts sociaux au niveau communautaire et les capacités sociales acquises, deux approches empiriques ont été menées pour construire de nouvelles perspectives d'évaluation. Par-dessus tout, c'était utile de conclure trois considérations principales.

D'abord, il n'est pas possible de mesurer « de suite » la propagation de capacités sociales au niveau collectif. En fait, il n'est pas seulement difficile d'isoler le rôle de la culture pour le développent des capacités sociales d'autres facteurs externes (McCarthy et d'autres. 2004) ; mais il est aussi un défi de démêler ces valeurs sociales communautaires l'uns des autres (Goodlad, Hamilton et Taylor 2002). Donc, le travail empirique doit être limité à l'analyse des catégories segmentées des capacités sociales (comme cela était le cas de « la criminalité », « le capital social » et « la participation communautaire »).

Deuxièmement, il est difficile de surmonter tous les défis méthodologiques en même temps. Bien sûr, la confrontation des uns doit être faite en détriment des autres, c'est-à-dire, pendant que la première étude de cas s'est concentrée sur les questions de la causalité, la deuxième a été déterminée en comprenant la diversité dans le traitement.

Troisièmement, en admettant que l'évaluation a deux buts (garantir la responsabilité de l'argent public dépensé ou interpréter les processus d'apprentissage avec des expériences culturelles), ces approches empiriques accomplis ont essayé de comprendre les processus et la nature des mécanismes de changement social produis par la culture au niveau collectif, en ayant en vue la quête du sens (Geertz 1973). Concrètement, les deux approches empiriques permettent d'identifier de nouveaux catalyseurs de changement social et soutenir les précédents proposés dans la chaîne d'impact social au niveau de la communauté (l'interaction sociale et la communication). Le travail de la CEC a mis l'accent sur trois catalyseurs apportés par ces programmes culturelles et fondamentales pour le processus civilisateur, les opportunités d'interaction sociale et de célébrer (exprimer) les systèmes de valeurs de la communauté, en

s'engageant dans les expériences informelles et spontanées. Le Sesc a insisté sur trois catalyseurs favorisés par les programmes de loisir et culturelles et fondamentaux pour l'éducation sociale, les opportunités d'expression, d'interaction sociale et d'apprentissage expérimentale.

Donc, à partir de ces travaux empiriques (y compris la révision de littérature sur les études d'évaluation d'impact social), il a été possible de vérifier que, en faisant face à une large diversité d'activités culturelles, des formes d'engagement, objectifs, bénéficiaires, fournisseurs, cadres temporaux, des contextes d'action et de perception de succès, il n'est pas possible de proposer une simple « formule magique » pour évaluer les impacts sociaux des activités culturelles, bien qu'un consensus sur les méthodologies de mesure puisse être incité.

Cette observation ne cherche pas à encourager l'abandonnement des programmes de mesure, mais, au contraire, il a l'intention d'insister sur le fait que les défis associés à l'évaluation des externalités sociales de la culture demandent des rigoureuses méthodes d'évaluation d'impacts destinées à répondre aux particularités de chaque contexte analysé.

Stratégies institutionnelles

En ce qui concerne la place des institutions culturelles dans ce cadre du rôle de la culture pour le développement urbain orienté vers les dimensions sociales intangibles, trois remarques ont été déduites.

La première remarque concernant les stratégies institutionnelles est que, au cours de la recherche et surtout pendant la révision bibliographique, on a compris qu'il y a plusieurs fournisseurs d'activités culturelles, qui ont reconnu et exploité la fonction extrinsèque (instrumentale) de la culture, au-delà des institutions culturelles traditionnelles. Effectivement, on a perçu que ce sont les institutions culturelles moins traditionnelles ceux qui ont tendance à être plus conscientes et ouvertes au rôle de la culture et des arts dans le développement communautaire et de l'individu. Néanmoins, cela ne signifie pas que les institutions culturelles par eux n'ont pas aussi une fonction instrumentale. Ce qui compte comme une fonction extrinsèque (instrumentale) de la culture n'est pas égale dans tous les types d'institutions, programmes et activités. Ainsi, les institutions culturelles traditionnelles, comme les musées, peuvent avoir un rôle plus crucial qu'elles ne l'imaginent sur les processus d'apprentissage sociaux et la construction de capitale social, intériorisées dans leur raison d'être.

La deuxième remarque reflète que les catalyseurs identifiés et les facteurs par lesquels le rôle de la culture sur la revitalisation communautaire peut être plus efficacement accompli, devraient être intériorisés par les plans d'action des institutions, pour qu'elles puissent produire des opportunités d'engagement plus significatives et maximiser leurs rôles externes. L'observation empirique a permis d'identifier des facteurs d'efficacité par lesquels les programmes culturels peuvent améliorer les capacités sociales. Particulièrement, sur les programmes des CEC, on a rencontré trois facteurs, la capacité du programme à enrichir l'environnement

physique (où la rénovation et la célébration – physiques et immatérielles – de l'héritage culturel peuvent forger de nouveaux comportements dans l'espace public); à engager la population (où le rôle actif des citoyens dans le programme culturel peut leur donner des opportunités à développer des capacités cruciales d'action collective) et aussi de produire des activités de qualité (où, en explorant les symboles de chaque territoire de façon créative, les individus peuvent inciter des processus d'apprentissage informels). De plus, pour que les institutions intériorisent ces facteurs dans leurs plans, il sera aussi intéressant de jeter un coup d'œil et s'inspirer sur les facteurs, déjà présentés, qui ont provoqué le changement du plan d'action au Sesc São Paulo.

La troisième remarque conclut que les pratiques d'évaluation et les résultats obtenus peuvent avoir un rôle très significatif pour prouver la capacité institutionnelle de forger le changement social, pour reconnaitre la place de l'institution dans l'écosystème urbain et pour soutenir les processus de prise de décision au niveau administratif. Il est également important de communiquer au public les résultats produits par une institution sur un territoire, pouvant le public, à la fin, être plus conscient de la pertinence de l'institution pour la communauté. Pourtant, pour les institutions qui doivent déjà s'occuper de la complexité de la gestion, l'évaluation d'impact sera seulement utile si elle est en format simple, et quand les cadres de mesure de la valeur peuvent être intégrés dans leurs pratiques quotidiennes.

Par la suite, au-delà des institutions c'est important de considérer où se trouvent les artistes. Certains artistes pensent que leur liberté pourrait être mise en doute en cas de conflits entre le raisonné endogène de la création artistique et le raisonné exogène des valeurs extrinsèques de culture (Greffe, Ben Salem et 2015 Simonnet). Donc, il pourrait être utile d'encourager la création d'espaces pour discuter les rôles de la culture sur le développement parmi les artistes, pour qu'ils puissent reconnaître la capacité de la culture et des arts à transmettre un système de valeurs.

Actions politiques

Dernièrement, il faut comprendre que cette fonction de la culture en tant que médiateur d'action communautaire et de transformation sociale à travers de la transmission de valeurs orientées vers la communauté puisse fournir des bases alternatives aux politiques de développement culturelles au-delà des exposés raisonnés économiques et financiers traditionnels. Deux considérations émanent du thème d'actions de politique.

D'abord, il est essentiel d'explorer comment ces externalités sociales de la culture peuvent être incorporées et stimulées dans le programme politique.

Ce rôle de la culture est accepté comme « la colle » qui permet la fondation de réseaux, de relations et de certains comportements (la tolérance, la confiance) à un niveau profond et transversal de la société. Donc, il n'y a rien mieux pour stimuler ce rôle que l'encouragement de politiques d'intervention intersectorielles,

transdisciplinaires, avec des modèles innovateurs de gouvernement, qui permettent que le rôle « envahissant » de la culture dans la vie urbaine puisse circuler. Les modèles d'opérationnalisation, comme la CEC, sont un bon exemple d'une stratégie efficace pour promouvoir la transformation sociale soutenue sur une dynamique intersectorielle d'intervention urbaine fondée sur la culture.

Malgré cela, d'autres initiatives « top-down » peuvent être exécutées pour stimuler ce rôle, comme la création d'opportunités à discuter le rôle des différentes institutions culturelles dans une communauté, comment elles sont raccordées les unes avec les autres, et quels sont leurs résultats et limites en matière de progrès.

Aussi, au-delà des cadres institutionnels, il y a des activités artistiques domestiques (le tricot, les compositions florales, jouer un instrument de musique) qui peuvent aussi fournir une contribution significative à la revitalisation créative de la communauté. Même si ces activités ne stimulent pas normalement l'interaction sociale, elles sont capables de fustiger la créativité et les opportunités d'expression. Les gouvernements locaux peuvent, dans ce contexte, prendre un rôle important donnant à tous l'égalité d'accès à activités de qualité pour l'occupation des temps libres, en visant des expériences artistiques et créatives. Effectivement, le plus haute est la discrimination dans l'accès à ces activités catalyseurs de capacités sociales, le plus haute est l'exclusion sociale.

Cependant, cela ne signifie pas que les processus « bottom-up » ne devraient pas être considérés dans la revitalisation communautaire, tout à fait le contraire, le rôle de la culture pour le développement est facilité au cours du temps par une combinaison d'intervention « top-down » (politique et formel) et « bottom-up » (communautaire et informel, quand les arts fournissent des instruments pour stimuler la discussion et aider les citoyens à se placer dans la vie communautaire et à s'engager dans la vie civique démocratique).

Deuxièmement, d'une perspective d'action politique la question n'est pas seulement comment les programmes culturels produisent des impacts, mais si une politique basée sur la culture est plus efficace qu'une politique basée sur d'autres secteurs spécifiques.

Dans ce sens, cette étude soutient que bien que d'autre type de programmes (comme les activités de loisir et récréatives) soient aussi capables de pousser la créativité et inciter la capacité critique, la culture a un rôle particulier dans l'établissement des opportunités pour construire une société démocratique en transmettant de la signification symbolique à travers son expérience.

Pour fermer, la discussion sur le rôle de la culture et des arts dans le développement a montré que la fonction de la culture dans le développent se produit de différentes façons, dont certaines sont plus facilement suivies et discernables que d'autres. Quand même, cela ne devrait pas décourager les décideurs politiques, les institutions, les artistes, les professionnels culturels et le public de chercher à comprendre l'ensemble d'externalités produises par la culture et à en agir en conformité.

This research was motivated by a general concern to enlarge the debate on the cultural sector's role in development, recognising that the current economic and monetary debate is inadequate to understanding the externalities attached to culture and the arts and to formulate policies accordingly.
In order to broaden the debate into other social and intangible dimensions, a thorough literature review on social impact assessment studies inside the cultural sector was conducted. The review proved that these studies have been more oriented towards understanding the individual extrinsic impacts of engagement in cultural practices rather than its collective capacity. By acknowledging that the tendentiously ignored impacts and mechanisms of collective transformation are those most capable of leading to social and economic development, this research tries to propose a new theoretical framework and empirical approaches to interpret the mechanisms through which culture builds community-level social impacts.
First, a theoretical chain of cultural activities' community-level social impacts was proposed, which aligned a set of social capacities based on identified categories of collective level impacts. Second, borrowing analysis models from the field of economics, two case studies were developed to provide new measurement perspectives to meet the methodological challenges of social impact assessment and to identify new mechanisms and drivers of social capacities.
This study concludes that culture and the arts can have a strategic function in sustainable community development beyond the expected ability to produce economic externalities. In particular, by inducing a transversal on-going process of social learning which results in specific social capacities, culture can stimulate a system of networks needed to forge a bottom-up process of collective action and to sustain cross-boundary dynamics.

Keywords: culture, arts, development, impacts, social effects, community

Cette recherche a été motivée par l'intérêt général porté à l'élargissement du débat concernant le rôle du secteur culturel dans le développement, une fois étant reconnu que l'actuel débat économique et monétaire n'est pas adapté à la compréhension des externalités liées à la culture et les arts, et de formuler des politiques en conséquence.
Afin d'élargir le débat à d'autres dimensions sociales et intangibles, une revue de la littérature des études d'évaluation d'impact social au sein du secteur culturel a été conduit. Cet examen a prouvé que ces études ont été plus orientées vers la compréhension de l'impact individuel extrinsèque du développement des pratiques culturelles plutôt que vers leur disposition collective. En reconnaissant que les impacts et mécanismes de transformation collective, tendancieusement ignorés, sont les plus adaptés à la conduite du développement social et économique, cette recherche essaye de proposer un nouveau cadre théorique et des approches empiriques pour l'interprétation des mécanismes à travers lesquels la culture construit un impact social à un niveau communautaire.
Premièrement, une chaine théorique des impacts sociaux communautaire d'activités culturelles a été proposée, en alignant un ensemble de capacités sociales, basées en catégories identifiées des impacts à niveau collectif. Deuxièmement, en empruntant des modèles d'analyse du domaine de l'économie, deux études de cas ont été développées afin de fournir de nouvelles perspectives de mesure à l'encontre des défis méthodologiques des études d'impact social et d'identifier de nouveaux mécanismes et moteurs de capacités sociale.
Cette étude conclut que les arts et la culture peuvent avoir une fonction stratégique dans le développement communautaire durable qui dépasse les capacités attendues dans la production d'externalités économiques. D'une façon spécifique, en entrainant un processus continu et transversal d'apprentissage social qui conduit à des capacités sociales spécifiques, la culture peut stimuler des systèmes de réseaux nécessaires à la création d'un processus ascendant d'action collective et à l'entretien de dynamiques transfrontières

Mots-clés : culture, arts, développement, impacts, effets sociaux, communauté