European Capital of Culture and Sustainable Regeneration

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Contents

Declaration

Whilst registered as a candidate for the above degree, I have not been registered for any other research award. The results and conclusions embodied in this thesis are the work of the named candidate and have not been submitted for any other academic award.

Word count: 18,000 words for the commentary and 66,000 words for the submitted published works (84,000 words in total).

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Abstract

This commentary synthesises the author's published works, including ten peer reviewed journal articles, which represent research centred on sustainable event-led regeneration and attempt to provide a significant contribution to the evaluation of the European Capital of Culture programme, with 2008 Liverpool as a case study. The papers submitted collectively conceptualise the significance of cultural event for a city's economic, social and cultural regeneration and advance academic knowledge on the local implementation of European Union cultural policy. The coherence is based on three research questions linking these publications: (1) What are the long-term effects of the European Capital of Culture status? (2) How can the sustainability of a European Capital of Culture event be achieved through legacy planning? (3) To what extent can European Capital of Culture help address the dilemmas of culture-led regeneration?

Sustainability and legacy issues have been the focus of discussion in recent years and have become one of new paradigms of European Union cultural policy. Cultural event, with the European Capital of Culture as a notable example, is conceived as a part of city's dynamic and long-term process of development. Theoretically, this research contributes to the debate on urban cultural policy by exploring the criteria of sustainable culture-led regeneration and investigating the long-term effects of the European Capital of Culture programme. This study also contributes to event evaluation by adopting theories from interdisciplinary academic fields to more widely assess the event's impacts and legacies. Empirically, considering that legacy planning is vital for event sustainability, this study provides some strategic planning directions for future European Capitals of Culture.

Although the European Capital of Culture is a fascinating case to study both the aspirations and the challenges of European Union cultural policy, the existing literature often disregard the connections between the European Capital of Culture and European Union policies. This commentary concludes by revealing the limitations of the research done to date, embedding the publications in the broader interdisciplinary framework of European Studies and illustrating some points for future research. So far, from the perspective of European Studies, at least three important research themes have been overlooked: (1) the transnational dimension of the European Capital of Culture; (2) European Capital of Culture in European Union multi-level governance; and (3) European Capital of Culture and layered identities and citizenship. Through these three different but interrelated conceptual lenses, future European Capital of Culture research can more fruitfully relate to recent innovations in disciplines studying the European Union's political and societal processes.

Keywords: European Capital of Culture; European Union; Cultural Policy; Regeneration; Sustainability; Liverpool

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List of Abbreviations

CCEA   Cultural Cities of East Asia

EC   European Communities

ECOC   European Capital of Culture

EU   European Union

LARC   Liverpool Arts Regeneration Consortium

MLG   Multi-level governance

TMN   Transnational Municipal Network

UKCC   UK City of Culture

Chapter 1 Introduction

1.1. List of Publications

This commentary synthesises the author's published works, including the following ten peer-reviewed journal articles published over a period of eight years, totalling 66,000 words. The papers submitted represent research centred on sustainable event-led regeneration and attempt to provide a significant contribution towards the evaluation of the European Capital of Culture (ECOC) programme. All articles within the submission focus primarily on the impacts and legacies of the ECOC programme, with 2008 Liverpool as a case study. The study period is from 2007 to 2018, with a view to tracking the long-term impact of the event.

Listed in order of date of publication, all articles single-authored

1. Liu, Y.D. (2014). Cultural events and cultural tourism development: Lessons from the European Capitals of Culture. *European Planning Studies*, 22(3), 498-514.

2. Liu, Y.D. (2015). Event-led strategy for cultural tourism development: The case of Liverpool as the 2008 European Capital of Culture. *disP- The Planning Review*, 51(2), 28-40.

3. Liu, Y.D. (2016). Event branding, image reconstruction and urban regeneration: A case study of Liverpool as the 2008 European Capital of Culture. *Journal of Urban Regeneration and Renewal*, 9(4), 381-392.

4. Liu, Y.D. (2016). Cultural event and urban regeneration: Lessons from Liverpool as the 2008 European Capital of Culture. *European Review*, 24(1), 159-176.

5. Liu, Y.D. (2016). Event and quality of life: A case study of Liverpool as the 2008 European Capital of Culture. *Applied Research in Quality of Life*, 11(3), 707-721.

6. Liu, Y.D. (2017). Quality of life as event legacy: An evaluation of Liverpool as the 2008 European Capital of Culture. *Applied Research in Quality of Life*, 12(3), 653-670.

7. Liu, Y.D. (2017). Event and community development: Planning legacy for the 2008 European Capital of Culture, Liverpool. *Urban Science*, 1(4), 39.

8. Liu, Y.D. (2017). The impacts of cultural event on networking: Liverpool's cultural sector in the aftermath of 2008. *Impact Assessment and Project Appraisal*, 35(2), 118-127.

9. Liu, Y.D. (2019). The cultural legacy of major event: A case study of the 2008 European Capital of Culture, Liverpool. *Urban Science*, 3(3), 79.

10. Liu, Y.D. (2019). Event and sustainable culture-led regeneration: Lessons from the 2008 European Capital of Culture, Liverpool. *Sustainability*, 11(7), 1869.

These papers demonstrate a strong coherence and synergy concerning the theme of sustainable event-led regeneration. The papers submitted collectively address the expressed need for a more detailed study of how the impacts and legacies of cultural events could be assessed, and what models and theories can be used to ensure the sustainability of the ECOC. The coherence results from three main threads linking these publications. The first thread concerns the intention to identify and assess the long-term impacts of the ECOC programme. Second, these publications can be grouped into three clusters, i.e. economic, social and cultural sustainability. The third thread investigates how cities can ensure the sustained effects of the ECOC through legacy planning. While there is a chronological evolution of research practice, there are inevitable overlaps as several publications are multi-thematic. As a result of on-going reflections on the subject, the principles of sustainable event-led regeneration are reprised within several papers in tandem with the progression of knowledge. Figure 1 demonstrates how the submitted publications fit into an overall conceptual matrix that reflects the aims and threads briefly outlined above.
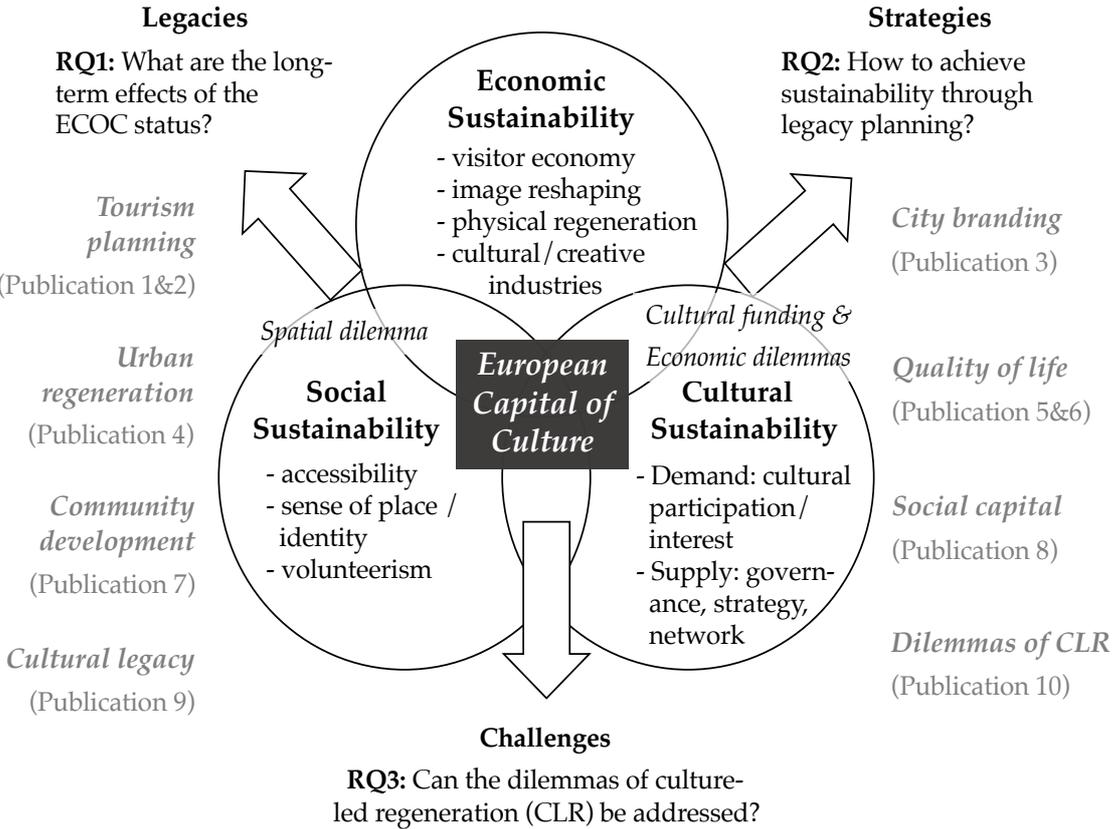
Figure 1. Conceptual framework of this study

1.2. Research Context

Jean Monnet, one of the so-called founding fathers of the European Union (EU), allegedly once said: "If I had to do it again, I would begin with culture". Although historians specialising on European integration have serious doubts about the authenticity of this popular quotation, the EU has undoubtedly reached a stage of its history where the cultural dimension can no longer be ignored. On the one hand, culture can be viewed as a relatively new focus in EU politics and policy-making, as part of an attempt to build what is often referred to as a citizen's Europe. On the other hand, culture is also considered to be one of the basic ideas inspiring the creation of the European Communities (EC) and, later, the EU (Lähdesmäki, 2014). According to José Manuel Barroso, former President of the European Commission, the ECOC is the "flagship cultural initiative of the EU, possibly the best known and most appreciated by European citizens" (Patel, 2013, p.2). The aim of the ECOC is basically to make the culture of the cities accessible to a European audience, to create a picture of a European culture in general, and to promote a measure of European integration (Corijn & Van Praet, 1994; Richards, 1996; Sjøholt, 1999).

Although the focus of this research is the ECOC programme, it is necessary to examine its historical background by linking it to the broader development of the EU cultural policy, as well as to the general trajectory of European integration. During the 35 years of its existence, the ECOC has undergone both conceptual and institutional changes (Staiger, 2013). The foci of the ECOC have changed with the transformation of the EU cultural policy and its political goals. As suggested by Calligaro (2013a, p.109), "the ECOC became a forum in which the significance of culture was discussed, not only in the past but also in the present". Since cities used the title to realise various functions, the ECOC's implementation at the local level has also undergone significant changes (Lähdesmäki, 2014). The origin of the ECOC is cultural; however, as the programme developed, the main concern of the host cities gradually turned to gaining economic benefits associated with growth of tourism, image enhancement and urban regeneration (Palmer/Rae, 2004; Richards & Wilson, 2004).

The first steps in the cultural policy arena of the EC were already taken in the 1970s. After the EC's agricultural and budget policies broke into a crisis period in the 1970-80s; in order to get rid of the stagnation in European integration, the governments in the European Council and the Commission started to consider culture as an essential tool to overcome the negative perception of the EC and to strengthen public support for European integration (Staiger, 2013). Mittag (2013) traces back the origins of the ECOC programme to the 1973 Declaration on European Identity and the 1975 Tindemans Report, which marked the basis of a new cultural approach within the EC, to "consider culture as a tool to foster European identity and to strengthen the support for European integration" (p.40).

In the 1980s, launching cultural initiatives became more pervasive. For instance, the European Parliament established its Cultural Committee in 1983. The Committee for a People's Europe (also known as the Adonnino Committee) was appointed by the European Council in 1984 to promote a European image and identity to citizens and the world (Calligaro, 2013a; Staiger, 2013). Against this

political background, the ECOC programme, initially called the European City of Culture, was conceived in 1983 by Melina Mercouri, the then minister of culture in Greece. She believed that, at the time, culture was not given the same recognition as politics and economics, and a project for promoting European cultures within the member states should be pursued. The ECOC programme was launched officially in 1985 with Athens being the first titleholder. This title is designated each year by the ECOC on a rotation basis to different European cities, with more than 60 cities having been awarded the title so far. Mercouri's primary idea was to promote dialogue between people in different cities in the EC, but the European Ministers of Cultural Affairs presented another goal for the initiative: to strengthen the general image and acceptance of the European integration process (Mittag, 2013). Besides selecting the ECOC initiative, in 1987, the EC officially established the Council of Ministers of Culture and the ad hoc Commission of Cultural Issues (Näss, 2010; Lähdesmäki, 2014). According to Sassatelli (2008), the actions and programmes introduced during this period were mainly either symbolic actions or funding schemes for the support of locally generated initiatives.

In its early stages, the ECOC programme was principally a summer event, focusing primarily on high culture, and incorporated existing events and festivals, whereas the main role was to promote a European dimension of cultural action and further the rationale for a cultural basis for integration (Staiger, 2013; Mittag, 2013). Calligaro (2013a) and Sassatelli (2009) underline the fact that the first two ECOCs, Athens 1985 and Florence 1986, significantly highlighted the cultural roots of Europe. The link between the ECOC and European integration was particularly strong in the beginning, but it became looser as the programme developed. Since the 1990s, the attention of ECOC has shifted from the already established cities of high culture to post-industrial cities. The possibility offered by the ECOC to act as a catalyst for urban regeneration was established by Glasgow - the 1990 ECOC (García, 2004) - where the city attempted to boost its cultural infrastructure and tourism offers and to rebrand itself with a new deindustrialised image (Cox & O'Brien, 2012).

Glasgow's experience and subsequent development became a keystone in arguments for a culture-led regeneration. Since 1990, therefore, using the ECOC event for urban regeneration has become more popular, particularly in the case of cities with an industrial past such as Rotterdam, Porto, Genoa, Lille, Thessaloniki, Marseille, Liverpool, etc. (Griffiths, 2006). As argued by Patel (2013), the ECOC programme became a tool of post-industrial urban renewal through cultural policy implementation, integrating culture-led urban regeneration with cultural tourism, diversified socioeconomic growth and the involvement of local communities. Foret & Calligaro (2019) described this evolution of the ECOC as a shift from 'governing by praise' towards 'governing with a price' (p.12). The former is more elite-oriented symbolic endorsement with a focus on a shared European identity, while the latter requires financial commitments and aims at urban regeneration, socio-economic development and city branding.

In 1992, the Maastricht Treaty introduced a subsidiary competence of the EU for cultural policy, which remains primarily a competence of the state and sub-state level. Article 128 (now Article 151) for

the first time acknowledged the role that culture should play within Europe: "The Community shall contribute to the flowering of the cultures of the member states, while respecting their national and regional diversity and at the same time bringing the common cultural heritage to the fore". Prior to the entry into force of the Maastricht Treaty, the cultural initiatives at the EC level had no secure legal basis. EU cultural policy was basically a symbolic intervention, which allowed the promoters of European cultural action to become involved in the cultural field and, concurrently, to avoid the risk of being accused of improperly extending the competences of the EC (Calligaro, 2013a). On the new treaty basis, the ECOC became legally more formalised in the late 1990s (Mittag, 2013; Oerters & Mittag, 2008). In the Decision 1419/1999/EC, the ECOC, as a previously intergovernmental scheme, became transformed into a comprehensive initiative of the EU (García & Cox, 2013).

After the millennium, the EU cultural programmes were incorporated into a single framework together with the Culture 2000, followed by Culture Programme 2007-2013 and Creative Europe 2014-2020 (Staiger, 2013). The ECOC came under the umbrella of Culture 2000 and its successors as part of the strand for special cultural events with European and international dimensions (García & Cox, 2013). These programmes also impacted on the design of individual ECOC programmes. The EU's 2004 enlargement further transformed the structure of the ECOC (Staiger, 2013). According to the Decision 649/2005/EC, for the period 2009-2019, new member states were included in the rota, and the programme was amended to appoint two ECOCs each year: one from the old and one from the new member states. With this expansion, a stronger European dimension became a requirement with the aim of increasing cultural exchanges between Western and Eastern European cities (Mittag, 2013).

In 2006, the Decision 1622/2006/EC introduced for the first time two distinct criteria, which the designated cities needed to address from then onwards: the European dimension and City and citizens. The former aims to include the fostering of cultural co-operation and exchange with partners of different member states, whereas the latter regards culture as a resource for citizen participation and dialogue at local and European levels (García & Cox, 2013). Later, the strategic EU document, European Agenda for Culture, accepted by the Council in 2007, confirmed a new paradigm of EU cultural policy: to protect cultural diversity and promote intercultural dialogue. The emphasis was on the idea of contributing to the formation of European identity, European citizenship and social cohesion (Gierat-Bieroń, 2018). In 2014, the ECOC was further extended with a new decision (Decision 445/2014/EU), prolonging the programme until 2033 and allowing the nomination of 2-3 cities each year to account for further EU enlargements (European Commission, 2014).

1.3. Research Rationale

The changes in the role of ECOC at different stages are worthy of attention, because they reveal not only what is happening at the level of European cultural policy but also the meaning of culture in the broader European integration process (Sassatelli, 2013). Some scholars try to divide the above-

mentioned development of the ECOC into different phases (see Table 1). Sassatelli (2013) identifies three distinctive periods in the history of the ECOC, i.e. 'celebration' (1985–1989), 'regeneration' (1990-2004) and 'capitalisation' (2005 onwards). In the first, celebrative phase, the goal was to overcome the obstacles to the construction of a common cultural identity or space based on the notion of diversity. During the second phase, starting with Glasgow 1990, the title became more of a medium for redevelopment or regeneration. Because the programme is no longer an intergovernmental project but a formalised community action, a new phase can be discerned since 2005. The current state of the ECOC is the phase of 'capitalisation'. The ECOCs compete to become recognised 'capitals'. They invest into the process in the hope of reaping greater economic and cultural returns.

Table 1. Periodisation of the ECOC

	1985→	1990→	1995→	2000→	2005→	2010→	2015→
Sassatelli (2013)	1985-1989 Celebration	1990-2004 Regeneration			2005~ Capitalisation		
Staiger (2013)	1985-1989 European identity	1990-2000 Regeneration & regional development		2000~ European dimension & participation of citizens			
García & Cox (2013)	1985-1996 1st cycle	1997-2004 2nd cycle: allowing non-member states + 10 new member states			2005-2019 ECOC as Community Action; 2 criteria: European dimension & city and citizens		

↑ **Liverpool**: 2003 title awarded ↑ 2008 ECOC

Considering the evolution of the EU's cultural policy as it relates to ECOC, Staiger (2013) suggests three different phases, i.e. 1985-1989, 1990-2000 and 2000 onwards. These dates relate to the transition from an initial phase where culture was considered useful to the development of a European identity, to a prevailing focus on urban regeneration, regional development and economic growth, and then to a renewed emphasis on the European dimension and an active participation of citizens, where the major rationale of the ECOC is to promote a sense of ownership of the EU amongst Europeans. Finally, coinciding with the three main sets of ECOC-related legislation, García and Cox (2013) propose three main institutional phases, i.e. 1985-1996, 1997-2004 and 2005-2019.

These periodisations are important for positioning this study. Liverpool was awarded the title of ECOC in 2003, just at the end of the 'regeneration' period defined by Sassatelli (2013) and the second phase of García & Cox (2013). In essence, Liverpool could be classified as a combination of the 'regeneration' and 'capitalisation' models as defined by Sassatelli (2013). Liverpool saw 'regeneration'

at the heart of its ECOC vision for at least three reasons. First, inspired by Glasgow 1990, Liverpool considered the 2008 ECOC as part of its long process of regeneration. Second, the operating budget of Liverpool 2008 was nearly €150 m - higher than any previous ECOC (García & Cox, 2013). Economic return and sustainable regeneration naturally became the key goals of the city. Third, at that time, the awarded cities were still allowed to use the ECOC label freely. More demanding criteria for selection, especially the European dimension, imposed by Decision 1419/1999/EC and Decision 1622/2006/EC were only applicable for the ECOCs awarded from 2005 and 2010 onwards respectively. The link between the Liverpool 2008 programme and European dimensions was therefore very weak (see Chapter 7).

A case study of Liverpool ten years on, a generally recognised successful case of culture-led regeneration, can help to advance academic knowledge on the core benefits generated by the ECOC, to provide the basis for conceptualising the significance of a major event for the city's economic, cultural and social regeneration, and to contribute to policy decisions in ECOC legacy planning. This study also echoes the proposition of Patel (2013), who highlights the need for research into local implementation of EU cultural policy in specific ECOC settings. This series of studies aims to present the key issues of ECOC and its sustainability and explores how EU cultural policy is interpreted locally, with the following three research questions raised and addressed:

1. What are the long-term effects of the ECOC status?
2. How can the sustainability of an ECOC event be achieved through legacy planning?
3. To what extent can ECOC help address the dilemmas of culture-led regeneration?

The next chapter outlines the theoretical, methodological and analytical frameworks. Chapters 3 to 5 explore the three dimensions of sustainable event-led regeneration, i.e. economic, social and cultural sustainability. The account of each paper summarises its aim, method and key findings. The discussion is not intended to reproduce the findings but rather to bring out the theoretical context and to reflect on the overall findings. The details can be found in the publications cited. Chapter 6 illustrates the contribution of the published works to contemporary academic thinking and industry practice, demonstrating the research's intrinsic quality and value. In Chapters 7 and 8, this commentary concludes by revealing the limitations of the research done to date, embedding the publications in the broader interdisciplinary framework of European Studies, and illustrating some points for future research.

Chapter 2 Framework

2.1. Theoretical Framework

Events are emerging worldwide and are seen to have significant economic, social and cultural impacts on the host cities. An event-led strategy is also considered to have potential in the positioning in urban competition (Crespi-Vallbona & Richards, 2007; Foley *et al.*, 2012; Schneider & Jacobsen, 2019). Therefore, it is generally assumed that major events can contribute to urban regeneration (e.g. Bianchini & Parkinson, 1993; García, 2004; Prentice & Andersen, 2000; Richards & Palmer, 2010; Smith, 2012; Son, 2018). For instance, Richards and Palmer (2010, p.75) argue: "Events provide an incentive for physical regeneration of areas of the city and regeneration itself in turn provides an inspiration for events".

For many European cities, a key motivation in developing event strategies has been the desire to recover from long-term economic decline. They have used cultural events as catalysts for urban regeneration, with the focus on stimulating physical redevelopment, making the city livelier and generating economic and cultural benefits (Richards & Wilson, 2006; 2007; Sacco & Blessi, 2007). Amongst various approaches within event-led regeneration initiatives, the role of cultural events has attracted growing attention from academics and policymakers, where cultural activity is treated as the catalyst or engine of regeneration (García, 2004; Paddison & Miles, 2020; Richards & Palmer, 2010). However, due to the short-lived and one-off nature, the event itself may not be sustainable. There is also limited robust evidence to support the notion that events deliver longer-term benefits.

The emphasis of event-led regeneration has changed over time. Table 2 illustrates the main periods of evolution of event-led regeneration strategies, as proposed by Smith (2012) and Edizel (2014). The sustainability of events, or their legacy or long-term impact, has become an essential component of urban regeneration since the early 2000s. Academic debate has also seen a paradigm shift - from pure impact studies to legacy or sustainability studies of events (Edizel, 2014). According to Richards and Palmer (2010, p.383), the sustainability of event means "the continuation of the event programme itself, as well as ensuring that the direct and indirect impacts of events can be maintained". Holmes *et al.* (2015, p.2) also state, "the role of sustainability in events is becoming increasingly important and now features as part of the bid process for many major events".

As a result, sustainability and legacy issues have been the focus of discussion in recent years, and the submitted publications have made a significant contribution to this emerging field. Events are conceived as a part of a dynamic, long-term process of cultural, social and economic development in order to reach sustainable development goals (Edizel, 2014). Event legacy has become a key consideration of hosting a major event (Allen *et al.*, 2008). For instance, Kaplanidou and Karadakis (2010) argue that the improvement of the host cities could be guaranteed only if a long-term legacy plan is considered during the planning phase. Thinking about event legacy has also shifted from constituting

an unknown outcome of the event to something that should be considered and planned in the early stages (Smith, 2012). Legacy planning is thus essential to ensure the sustainability of events.

Table 2. Evolution of event-led regeneration policies

	1940 →	1950 → 1960 →	1970 → 1980 →	1990 →	2000
Smith (2012)	Developing & expanding cities	Reconstruction & modernisation	Combat de-industrialisation	Marketing, economic development	Softer outcomes & legacy
Edizel (2014)		Reconstruction	Renewal & Entrepreneurial policies	Economic development & competitiveness	Legacy & sustainability

Several researchers (e.g. O'Brien, 2011; Palmer/Rae, 2004; Richards & Palmer, 2010; Schneider & Jacobsen, 2019) stress that the ECOC is a key catalyst for urban development and has a generally positive impact on the city overall. Sassatelli (2009) claims that the lack of central control contributes to the general popularity and success of the ECOC. However, the real budget of the programme mostly depends on the host cities. They normally need to attract significant public and private investment following the nomination, so urban regeneration and economic development naturally become a key motivation for the majority of the ECOCs (Immler & Sakkers, 2014; Lähdesmäki, 2014; Németh, 2013). However, for each city, the ECOC lasts for only one year. Unless the opportunity is firmly grasped, there is no guarantee of long-term benefits (Deffner & Labrianidis, 2005).

The achievement of sustainability is vastly different between the ECOC cities. Many ECOCs experienced financial problems for long-term planning, such as inadequate funding or reduced sponsorship. Other difficulties were lack of advanced planning or long-term vision (Palmer/Rae, 2004). The concept of sustainability or legacy has recently begun to appear more frequently in bidding or evaluation documents (Pacione, 2012). Decision 1622/2006/EC explicitly required the ECOC programme to be sustainable and to have long-term effects. This has led to more cities beginning to think about the sustainability of the ECOC, and there have been some cases of legacy planning (García & Cox, 2013). In 2014, the European Commission further developed a strategy for new action of the ECOC from 2020 to 2033 (Decision 445/2014/EU) with the aim of promoting the contribution of culture to the long-term development of cities (European Commission, 2014).

Consequently, the ECOC cities are increasingly planning to extend events and benefits beyond the title year. However, the issue of ensuring sustainability is still complicated, and there is a great difference in evidence about the sustained effects of the ECOC (Campbell *et al.*, 2017). While some ECOC cities have demonstrated an understanding and commitment to legacy planning, successful planning beyond the title year is still not prevalent, and there is even less evidence of success (García & Cox, 2013). The

academic community has conducted extensive research to explore the immediate impacts of hosting ECOC events; however, few studies attempt to assess the legacy of the ECOC. According to Gome and Librero-Cano (2014), most of the literature does not provide reliable evidence for the long-term benefits of the event and only considers the short-term benefits. The ECOC event should thus be analysed in a more longitudinal frame. This would allow identification of any long-term gains or losses. As a result, the research gap in the planning and assessment of the ECOC's sustainability becomes more pronounced than ever.

Concurrently, cities are gradually integrating culture into their urban planning and policy discussions. Culture is seen as an important means of improving urban competitive advantage and solving political, social and economic problems in urban areas, thus acquiring unprecedented importance (Yudice, 2003; Zukin, 1995). As Evans (2005, p.968) states, culture can be used as a "catalyst and engine for regeneration". The strategy of culture-led regeneration is rapidly expanding globally (Bianchini & Parkinson, 1993; Evans, 2011; García, 2004; Tallon, 2009). The culture-led regeneration process usually forms part of broader urban regeneration strategies and may even be central to these (Smith, 2003). As Evans and Shaw (2004) point out, culture may be included in regeneration strategies in different ways, including: (1) 'culture-led regeneration', in which culture provides an engine for development; (2) 'cultural regeneration', where culture is an integral part of regional strategy; and (3) 'culture and regeneration', which is the default model of non-integrated or incidental cultural development.

The role of culture as one pillar of European integration is also endorsed by the European Agenda for Culture in a Globalising World (European Commission, 2007). The New Agenda for Culture published by the European Commission in 2018 embraces an innovative approach to the role of culture in the creation of social and economic value (European Commission, 2018). Specifically, it recognises the importance of the relation between cultural production and participation on the one side, and health and well-being, social cohesion and innovation on the other. Additionally, culture is becoming a key element of the concept of sustainability and can link different policy areas. The role of culture in sustainability or sustainable development has become a hot topic in some disciplines (Duxbury *et al.*, 2013). Hawkes (2001) argues that "culture is emerging as the 'fourth pillar' of sustainable development and plays a vital role in achieving sustainability". These arguments have also gradually infiltrated public policy discussions. For instance, the document entitled In from the Margins published by the Council of Europe (1997) contributes significantly to the articulation of the relationship between culture and sustainable development in Europe.

However, the instrumental role of culture in urban regeneration has led to several controversies and revealed some challenges (García, 2004; Son, 2018). Bianchini and Parkinson (1993) first launched this debate to explore the dilemmas that cultural applications might encounter in urban regeneration. They point out that, to maintain sustainable development, cities need to strike a balance between investing on

'ephemeral' activity (e.g. events or festivals) and 'permanent' activity (e.g. facilities or infrastructures); between cultural production and consumption; and to address the development of the city centre and its periphery. They call these 'cultural funding dilemma', 'economic dilemma' and 'spatial dilemma.'

2.2. Methodological Framework

The purpose of this section is to outline the ontological and epistemological positions and the methodology that underpins the submitted publications. The rationales of applying case study and mixed methods are justified, followed by explaining the methods of data collection and analysis. Measuring the impacts and legacies of the 2008 ECOC Liverpool, this research adopts the case study as its research approach. Case studies can be regarded as 'a bridge across paradigms' (Harrison *et al.*, 2017). Research paradigms are researchers' own beliefs about the world and how best to conduct investigations. Typically, two traditional schools of paradigms exist in the social sciences - positivism and interpretivism (e.g. Grix, 2004; Hughes *et al.*, 1997). In ontological and epistemological terms, positivism acknowledges the existence of an objective reality, and human behaviour can be measured objectively. Interpretivism, conversely, places more reliance on subjectivity and focuses on understanding and interpreting human actions. While positivism is typically associated with quantitative research, interpretivism aims to capture non-numerical concepts associated with qualitative research.

The advantage of using a case study is its practical versatility - it is not assigned (or limited) to a fixed ontological, epistemological or methodological position. Philosophically, a case study research can be embedded in a positivist perspective where the researcher holds the view that there is one single reality, or an interpretivist one where multiple realities and meanings exist (Lincoln *et al.*, 2011; Yin, 2017). This philosophical versatility provides the researcher with the opportunity to decide the methodological orientation used in the organisation and use of a case study (Stewart, 2014; Yin, 2017). The ability to accommodate a range of philosophical positions is seen as an advantage. Using a case study allows to design research that can be specifically tailored to the inherent complexity of the research problem (e.g. Farquhar, 2012; Flyvbjerg, 2011; Merriam, 2009; Stake, 2006; Yin, 2017).

Depending on the nature of the investigation, the ten articles apply multiple and mixed methodologies with both quantitative and qualitative methods, ranging from small sample interviews to a complex multi-sited household survey. Event impacts and legacies are well-suited to scientific measurement. The process of measurement can be conducted objectively and without personal bias, and the findings can be treated as facts and can be generalised. As such, positivism and a quantitative approach are applied to investigate the discernible long-term effects of the ECOC status. To explore the issues of key success factors for event-led regeneration and legacy planning, interpretivism and a qualitative approach are adopted, as the investigation is concerned with understanding the deeper meanings attached to individuals' subjective judgements. As such, the multi-dimensional nature of the ECOC can be more fully explored and analysed. Additionally, to enhance the validity and reliability of

research and to make triangulation possible, the volume of works includes the collection of primary and secondary data. Longitudinal and multi-faceted data were collected and analysed to monitor changes in performance. The analytical techniques range from descriptive analysis of primary and secondary data to the use of inferential statistical tests. Specifically, the data come from the following four types of sources:

(1) Author's primary research, including neighbourhood survey ($n = 592$), cultural sector survey ($n = 42$), interviews ($n = 8$) and interviews with the key informants from the cultural and tourism industries ($n = 9$).

(2) Evaluation reports of the 2008 ECOC Liverpool: Commissioned by Liverpool City Council, two joint research projects called Impacts 08 and Impacts 18 were conducted by two universities in Liverpool. The two projects evaluated, from 2007 to 2018, the social, cultural and economic effects of Liverpool's hosting the ECOC title.

(3) Evaluation reports of the ECOC programme as a whole. In order to extend the breadth of analysis, the author referred also to the three evaluation reports (Palmer/Rae, 2004; Ecorys, 2009; García & Cox, 2013) commissioned by the European Commission and the European Parliament.

(4) Academic publications: Over the past decade, several referred journal articles and book chapters were dedicated to exploring the lessons from Liverpool as the 2008 ECOC. These academic publications provide a basis for validating and complementing the findings of above data sources.

2.3. Analytical Framework

In terms of the analytical framework, researchers have examined various sustainable development principles for major events. "Development that meets the needs of the present without compromising the ability of future generations to meet their own needs" (WCED, 1987) is one of the typically accepted definitions of sustainability. Policy and decision-makers are widely adopting this concept to plan the future of our society (Duxbury *et al.*, 2013). Initially, this concept referred mainly to environmental issues; however, other areas have also been included in the scope of sustainable development through the years. Nevertheless, until recently, the discussion of sustainable development still tended to focus on three major issues, namely environment, economy and society, thus forming the so-called three-pillar model of sustainability.

In recent years, as culture's contribution to broader sustainable development has become clearer, there has been a new discussion and reflection on sustainable development. Culture can be viewed as a key element of the concept of sustainability and can link different policy areas (Burksiene *et al.*, 2018). In this research, the environmental impact of an event is excluded since it is less pertinent to the nature of the ECOC. Based on the 'triple-bottom line' framework proposed by Getz (2009), this study offers an integrated approach where the economic, social and cultural dimensions of event-led regeneration are explored. Table 3 illustrates the analytical framework of this research in relation to other models.

Carlsen *et al.* (2007), for instance, introduced an agenda for researching Edinburgh festivals from economic, social and cultural perspectives. The agenda, labelled 'ACCESS', aims at addressing six aspects listed in Table 3 above. Richards and Palmer (2010) proposed a model for assessing the so-called 'eventful city'. Based on the exercises of the 2008 ECOC Liverpool, the Impacts 08 project (Impacts 08, 2010) identifies five main impacts of the cultural regeneration initiatives. More recently, an evaluation framework was launched by the ECOC Policy Group covering six key themes and priority indicators (ECOC Policy Group, 2013). Decision No 445/2014/EU lays down new procedures for the implementation of the ECOC for the period 2020-2033. Regarding evaluation, a four-dimension goal was imposed by European Commission (2018a), with a general objective: "Safeguard and promote the diversity of cultures in Europe, highlight the common features they share, increase citizens' sense of belonging to a common cultural space and foster the contribution of culture to the long-term development of cities" (p.7). After reviewing the main models of event assessment, Liverpool's strategies for sustainable event regeneration are investigated in terms of three dimensions: economic, social and cultural sustainability. The dimensions and indicators of this study can generally be defined in other assessment frameworks, except for the 'European dimension' within the frameworks of the ECOC Policy Group (2013) and European Commission (2018). This dimension will be outlined and discussed in detail in Chapter 7 as a limitation of the research conducted so far.

Table 3. Analytical framework and other event assessment models

This study	ACCESS (Carlsen *et al.*, 2007)	Eventful City (Richards & Palmer, 2010)	Impacts 08 (2010)	ECOC Policy Group (2013)	European Commission (2018a)
- Economic: visitor economy, image reshaping, parallel physical regeneration, cultural & creative industries - Social: accessibility, sense of place, identity, volunteerism - Cultural: demand (cultural participation and interest); supply (governance, strategy, network)	- Economy - Arts - Culture - Community - Society - Stakeholders	- Economic - Cultural - Social - Urban regeneration - Image	- Economy & tourism - Image & perception - Physical infrastructure &sustainability - Cultural vibrancy - Access & participation - Governance & delivery	- Economic impacts - Identity, image & place - Cultural vibrancy - Cultural access & participation - Philosophy & management of the process - European dimensions	- European dimension - Access to & participation in culture - Capacity of cultural sector - International profile of cities

Chapter 3 Economic Sustainability

The relevant papers related to economic sustainability include:

[Paper 1] Cultural tourism development - *European Planning Studies*

[Paper 2] Cultural tourism development - *disP- The Planning Review*

[Paper 3] Event branding - *Journal of Urban Regeneration &Renewal*

[Paper 4] Cultural event and urban regeneration - *European Review*

[Paper 5] Event and quality of life - *Applied Research in Quality of Life*

[Paper 6] Quality of life as event legacy - *Applied Research in Quality of Life*

[Paper 10] Event and sustainable culture-led regeneration - *Sustainability*

3.1. Theoretical Context

For many post-industrial cities across Europe, cultural events are central to the creation of a visitor economy, shaping the image of the city and facilitating physical regeneration. Visitors coming to a city for events will contribute to the economy and have a multiplier effect on incomes throughout related supply chains (Clark, 2008). Although cities nowadays incorporate a greater range of cultural elements in their tourist attractions, cultural tourism is becoming a significant sector in the tourism industry and an essential part of urban development (Amore, 2019; Ritzer, 1999; Urry, 2001; WTO, 2004). Smith (2007) and Wang *et al.* (2011) claim that many cities use cultural tourism as a cornerstone of urban regeneration, thus raising the city profile and attracting inward investment. In this case, cultural events are considered particularly effective catalysts for city regeneration processes (García, 2004). Furthermore, it is widely argued (e.g. Getz, 2008; Hall, 1992; Quinn, 2009; Richards & Palmer, 2010) that major events are effective enhancers of destination images, which is referred to as the 'halo effect', 'showcase effect' or 'feel good effect'. An implicit assumption is that increased awareness and enhanced image will, over a long term, provide a stronger competitive position and increased tourism receipts.

Events can further help to accelerate or showcase urban regeneration by stimulating future development, overcoming established structural imbalances, accelerating or extending existing plans, providing narratives for wider development and showcasing completed projects (Smith, 2012). For example, Richards and Palmer (2010, p.75) proposed the following: 'Events provide an incentive for physical regeneration of areas of the city and regeneration itself in turn provides an inspiration for events'. The ECOC has emerged as a means of developing urban tourism and improving a city's image. The 1990 ECOC Glasgow has been widely cited (e.g. García, 2005; Palmer/Rae, 2004; Quinn, 2009; Richards & Palmer, 2010; Richards & Wilson, 2004) as ideal image reconstruction and tourism development, with the city's transformation from a rarely visited, depressed post-industrial city into a lively and attractive one. Studies by García (2005) and Palmer/Rae (2004) have revealed that changes to the image and local identity of Glasgow were the most important long-term legacies of the 1990

ECOC. The ECOC is now a brand in its own right and has the ability to leverage media coverage and raise host cities' international profiles (Nobili, 2005; Richards & Palmer, 2010).

To be economically sustainable, however, cities must strike a balance between investing in 'ephemeral' activities (e.g. events and festivals) and 'permanent' activities (e.g. facilities or infrastructures) and between cultural production and consumption, that is, the so-called 'cultural funding dilemma' and 'economic dilemma' proposed by Bianchini and Parkinson (1993). The physical development of facilities and hosting events are two major strategies for urban regeneration. Infrastructure legacy is a crucial part of cultural sustainability; however, investing in events programming can also be sustainable when it corresponds to the holistic strategy of cultural planning (García, 2004; Richards & Palmer, 2010). The complexity lies in achieving the right balance of investment between event-led and facility-led regeneration to ensure sustainability.

The second 'economic dilemma', referring to the balance between stimulating cultural consumption and supporting cultural products, is closely related to the first one. Funding flagship projects or major events to promote urban tourism encourages community participation and the loyalty of local residents, which can have a potentially significant impact on those developments (García, 2004). According to Binns (2005), various cultural consumption-oriented policies have been developed, including the investment of hallmark cultural facilities, such as museums or art galleries, or large events, such as the ECOC. After decades of industrial recession and booming of experience economy, cities may prefer to develop consumption-oriented policies. The other side of the coin is the promotion of a production-based strategy involving the development of a range of sectors that produce cultural goods (cultural industries) and non-cultural products (creative industries) (Binns, 2005; DCMS, 2003; Della Lucia & Trunfio, 2018).

3.2. Aim and Method

The aims of Paper 1 (the ECOC as a whole) and Paper 2 (the case of Liverpool) are to conceptualise the role of the ECOC in developing cultural tourism and its significance for city tourism policies. Some key issues surrounding the event-led policy have been investigated, including: (1) identifying the key factors of event-led cultural tourism development strategies; (2) testing the analytical framework developed in the context of Liverpool and (3) exploring Liverpool's successes and challenges in developing cultural tourism. Paper 3 explores the role played by the ECOC event within Liverpool's branding, reimaging and regeneration efforts. To provide a more complete evaluation of the impacts of the ECOC event on city image, the perceptions of local residents, media and visitors were presented and compared. Also, longer-term changes in image were analysed by adopting longitudinal data. Based on the 'triple-bottom line' framework, Paper 4 provides an overview of the ECOC's effects on economic, social and cultural regenerations of Liverpool, where economic regeneration consists of two dimensions - visitor economy and city image. Papers 5 and 6 conceptualise the articulation between a cultural event

and its wider quality of life effects. In Paper 5, two dimensions of economic impacts related to quality of life were assessed, i.e. the effects of tourism development and parallel physical regeneration. The focus of Paper 6 is the ECOC's economic legacies, such as increasing job opportunities, promoting economic activities, improving infrastructure projects and polishing the city appearance or image. Paper 10 investigates how Liverpool tried to strike a balance between the dilemmas of culture-led regeneration. Two types of dilemmas - 'cultural funding' dilemma (balance between investing in events or infrastructures) and 'economic dilemma' (balance between cultural production and consumption) are closely related to economic sustainability. Methodologically, these seven papers' related economic dimensions were derived from longitudinal data, including: (1) a telephone survey of 592 residents of four neighbourhoods in Liverpool; (2) interviews with nine key informants representing the cultural and tourism sectors in Liverpool; (3) evaluation reports of the 2008 ECOC Liverpool - Impacts 08 and Impacts 18; (4) evaluation reports of ECOC as a whole and (5) more than 80 publications related to ECOC and tourism development over a 20-year period.

3.3. Key Findings

Economically, the 2008 ECOC not only had considerable economic impact created by visitor spending, but also accelerated the entire urban regeneration process. Liverpool saw tourism development and city branding as one of the primary goals of the 2008 ECOC. The study findings point to a number of ways in which the cultural event constitutes a boost for the development of cultural tourism in terms of realising experience economy, enhancing city image, facilitating urban regeneration, fertilising cultural provision, and establishing partnerships [Paper 2]. Strategically, Liverpool planned different themes for eight consecutive years (from 2003 to 2010) as a way to address the challenges of a one-off event and to ensure economic sustainability. As a result, Liverpool maintained a high level of visitor numbers beyond 2008 [Paper 4]. However, as revealed in Paper 6, the residents were less likely to perceive the impacts of economic and tourism development on their quality of life, especially the influence on job creation, probably due to the fact that jobs generated by major events are normally in leisure and hospitality sectors with poorly paid and irregular forms of work. The relatively lower perceived event legacy on tourism development may be associated with the negative impacts of local inflation and gentrification (Davies, 2012).

The improvement of its city image is one part of the long process of Liverpool's regeneration. The image impact generated by the ECOC was found to be one of the most important long-term legacies. The ECOC had significant influence on reversing visitors' and media's negative perceptions toward Liverpool as well as strengthening the cultural images of the city, mainly due to organising a series of events and branding campaigns carried out prior to and during the event. In order to extend the impacts of the event, Liverpool set up a dedicated marketing and promotion agency for establishing a unique city brand [Paper 3 & Paper 4]. From residents' points of view, image and identity legacy were the

strongest and best-sustained benefits of Liverpool's reign as the 2008 ECOC 10 years on [Paper 6]. However, it is still hard to paint a clear picture of a strong link between changing perceptions of crime and the 2008 ECOC [Paper 4].

As to the parallel physical regeneration, the ECOC typically involves a large-scale investment, such as event-related construction, building new venues or tourist and leisure facilities. The main driver of Liverpool becoming the ECOC was to achieve the city's regeneration aims and provide a focus for bringing it forward, combined with future projects. The 2008 ECOC arguably accelerated the entire regeneration process. As a result, resident confidence in the parallel physical regeneration, the improvement of leisure provisions and the value of money of hosting the ECOC all increased over time [Paper 5]. At the same time, as argued by García & Cox (2013), although physical developments are often regarded as some of the most tangible indicators of long-term impact in the ECOC cities, this is one of the more contentious areas of legacy. Since most of the infrastructure and cultural amenities are concentrated in the city centre, not every resident could gain the benefits in the long run [Paper 6].

Paper 10 provides an overarching discussion about how Liverpool tried to deal with the three dilemmas of culture-led regeneration coined by Bianchini and Parkinson (1993). The focus of 2008 ECOC was to strengthen Liverpool's 'soft' cultural capital, since the city has accumulated several 'hard' cultural capitals (i.e. physical infrastructure) from continuous regeneration in the past two decades. Apart from the above-mentioned multi-annual events lasting for eight consecutive years, the city provided continued subsidies for cultural organisations, including event-hosting and sustainable development funds which helped to ensure their sustainability. To overcome the cultural funding dilemma, the 2008 ECOC also served as a milestone for realising and accelerating existing projects.

Regarding economic dilemmas, cultural regeneration strategies often involve a mix of consumption and production models, but in practice, balancing these two aspects remains a challenge (Colomb, 2011). In the case of Liverpool, completed cultural facilities and event programmes provided a sound foundation for cultural consumption. To some extent, the 2008 ECOC also improved Liverpool's cultural production climate, including formulating a new cultural strategy, funding for cultural organisations and extending cultural events. However, on the other side of the coin, Liverpool's creative industry had a sense of being alienated from the 2008 ECOC. Although there was an improvement of overall morale and credibility of the creative industry due to the enhancement of the city's overall image, the real benefits brought to the creative practitioners were less clear. The marginalisation of the creative industry may be attributed to the fact that Liverpool's major focus at the time was on cultural consumption that brought immediate benefits. Overall, Liverpool inserted properly the 2008 ECOC in the city's long-term regeneration trajectory, enhanced the city image gradually, and provided an angle for people to see the changes that can be brought by culture.

Chapter 4 Social Sustainability

The relevant papers related to social sustainability include:

[Paper 4] Cultural event and urban regeneration - *European Review*

[Paper 5] Event and quality of life - *Applied Research in Quality of Life*

[Paper 6] Quality of life as event legacy - *Applied Research in Quality of Life*

[Paper 7] Event and community development - *Urban Science*

[Paper 10] Event and sustainable culture-led regeneration - *Sustainability*

4.1. Theoretical Context

According to Palmer/Rae (2004), the social benefits of the ECOC are twofold - one related to access development (e.g. growing and expanding the local audience for culture) and the other related to cultural instrumentalism (e.g. community involvement and the establishment of sense of place). Richards and Palmer (2010) propose that a principal approach to achieving sociocultural objectives of major events is to improve accessibility to cultural projects and programmes for local population who would not otherwise participate. They argue that 'if events can ensure that all residents can have their cultural needs met in an equitable way while improving residents' sense of belonging, then they should contribute to quality of life and be socially sustainable' (p.401). According to the investigation of Palmer/Rae (2004), access development can be undertaken in different ways by the ECOC cities, but nearly all the ECOC cities included at least some projects aiming to enhance the accessibility of events. An essential aspect of improving accessibility is reaching out to local minority groups or connecting community initiatives with mainstream event programmes.

Apart from access development, it is widely believed that events can contribute to the enhancement of sense of place and local identity (García, 2004). Previous studies (e.g. Derrett, 2003; Fišer & Kožuh, 2019; Jago *et al.*, 2003; Lade & Jackson, 2004; Moscardo, 2008) have found that community involvement, including group or individual support for events, is an important factor in predicting the strength of a person's attachment to a community or place. According to García (2004), major events are seen as a particularly effective catalyst for city regeneration processes because they are able to boost the confidence and pride of the community. Richards and Palmer (2010, p.418) noticed that a 'sense of place is one of the key elements of distinctiveness for cities, and cultural events can be an important means of underpinning a sense of belonging and local pride'. In addition, Derrett (2003) and the Council of Europe (1997) both suggest that events could help strengthen local identity and civic pride, especially when local people are given ownership of event. Major event hosting provides an opportunity for individual and community development through volunteer work (Downward & Ralston, 2006). The legacy of volunteerism in a community may be defined as the carryover effect of on-going community support. It may be indicated by increased volunteerism in the community for special events and in

general (Doherty, 2009).

However, culture-led regeneration usually does not benefit everyone in the city and major events are often limited to specific groups - so called 'spatial dilemma' (Bianchini & Parkinson, 1993), referring to the balance between the development of the city centre and the periphery. Holmes *et al.* (2015) also point out that the biggest problem associated with urban renewal projects is the displacement of existing communities. Spatial dilemma is often associated with the topic of city image, as it is only possible to build flagship venues or hold large events in the city centre to improve the image of the city and attract large investments, media coverage and tourists (Tay & Coca-Stefaniak, 2010). Therefore, it may lead to the problem of gentrification, that is, the resettlement of high-income groups, while pushing low-income residents to the edge or out of the city entirely. Moreover, compared with residents, local elites tend to have a greater influence on cultural policies, so cultural regeneration in urban centres often overlooks marginalised or suburban low-income groups. As a result, local communities may feel that they are unable to benefit from improved city centre and lead to tensions between specific social groups (Son, 2018).

4.2. Aim and Method

As an overarching article, Paper 4 conceptualises the significance of major events for a city's economic, cultural and social regeneration. As far as social regeneration is concerned, the accessibility of events and the effects of the ECOC on sense of place and local identity were examined. Paper 5 analyses the articulation between the ECOC and its wider quality of life effects. Paper 6 assesses the legacy outcomes perceived by residents that benefit their quality of life and explores the pros and cons of Liverpool's legacy planning for the 2008 ECOC. Paper 7 investigates the relationship between the ECOC and its sustained effects on community development. The dilemma of culture-led regeneration is addressed in Paper 10, where the issue of 'spatial dilemma' is closely related to social sustainability. Methodologically, this series of studies was based on a combination of primary and secondary data. Following the neighbourhood surveys of the Impacts 08 research programme in 2007, 2008 and 2009, the author conducted a fourth neighbourhood survey in 2015 to understand how residents of Liverpool evaluated the outcome of the legacies on their overall quality of life. Four neighbourhoods representing geographic and demographic variations of the population were selected and data were collected from 592 residents. The study was complemented by the evaluation reports of the 2008 ECOC Liverpool - Impacts 08 and Impacts 18.

4.3. Key Findings

As to social regeneration, Liverpool suffered from serious social problems brought on by the economic recession. It considered the ECOC as an opportunity to promote social integration and enhance sense of place. Like most other ECOC cities, Liverpool treated access development as a policy

guideline. To improve access to culture, cater to the needs of different groups and build community enthusiasm, a branded programme of events was established. In addition, a series of community development initiatives were implemented for outlying and deprived areas of the city with an aim of stimulating engagement across the population as a whole. However, significant scepticism still remained regarding the impacts of ECOC on individual communities. Negative reactions from local residents following the event concentrated on two areas of concern: only the city centre benefitted from ECOC and there was no impact on remote communities [Paper 10].

More than half of the residents believed that only people in the city centre could benefit from geographical location and centralised cultural facilities [Paper 4 & 5]. Paper 6 demonstrates that, for Liverpool residents, the location of community was the main variable of difference in most legacy outcomes. Overall, for the disadvantaged neighbourhoods, lower cultural impacts of ECOC could be attributed to both the cultural distance (lower cultural capital resulted from lower socio-economic status) and physical distance (travelling distance and cost). On the other hand, for the advantaged neighbourhoods, higher socio-economic status, geographical proximity and excellent transport links to central Liverpool were the main contributors to perceived social legacies. Papers 7 and 10 develop this issue further.

Paper 10 specifically addresses the issue of 'spatial dilemma' (Bianchini & Parkinson, 1993) and notices that one of the early criticisms of the 2008 ECOC was the geographical bias. However, event planners struggled to deal with this spatial issue by spreading out cultural programmes, even to the poorest areas of the city, and establishing a sustainable structure to maintain the balance. Although neighbours' suspicions about the actual impact of ECOCs on their communities still existed, it is clear that such improvements are possible because organisers continued to invest in geographically disseminated programmes, such as Creative Communities and Four Corners programmes. The presence of community organisations in promoting and encouraging participation was also a prerequisite for sustaining the social impacts of the 2008 ECOC [Paper 7].

To sustain the legacy of 2008, Liverpool continued to hold free street events in order to include all the city's cultural and ethnic groups, as well as keep the Creative Education and Neighbourhoods posts in the City Council [Paper 7 & Paper 10]. The strategies encouraging local communities to integrate into urban cultural life helped to enhance the sense of place and to build up volunteerism. As a result, residents generally had a more positive feeling toward the city's future. There was also an increasing confidence in external perceptions [Paper 4 & Paper 10]. Volunteers' participation in the events, visits to the rest of the cultural facilities and interest in cultural activities were all somewhat enhanced. Moreover, volunteering contributed to the nutrition of social capital, such as enhanced skills, personal networks and civic pride [Paper 7]. The experience of Liverpool demonstrates that, with careful planning and programming, it is still possible to increase accessibility and convince residents about the benefits of major events outside the city centre.

Chapter 5 Cultural Sustainability

The relevant papers related to cultural sustainability include:

[Paper 4] Cultural event and urban regeneration - *European Review*

[Paper 5] Event and quality of life - *Applied Research in Quality of Life*

[Paper 8] Impacts of event on networking of the cultural sector - *Impact Assessment & Project Appraisal*

[Paper 9] The cultural legacy of major event - *Urban Science*

5.1. Theoretical Context

Events can contribute to cultural regeneration by stimulating participation and interest from the demand side, as well as improving cultural provision and collaboration within the cultural sector from the supply side. Richards and Palmer (2010) argue that a successful city event must nurture the cultural ecology of a host city. Cultural events should be an integral part of the host cities' social life. As such, to attain the objective of cultural regeneration, there should be a high level of community involvement and participation in the events programme. Matarasso (1997) emphasises that participation and interest in cultural activities can promote social development at different levels, including personal empowerment and self-confidence, and the social impact of creating a more enjoyable social atmosphere. For many ECOC cities, raising the level of participation and interest in culture is an important target (Palmer/Rae, 2004). Cultural activities can provide an important stimulus for the cultural life of the city and are often one of the elements of event legacy planning (Richards & Palmer, 2010). However, sustainability must take into account the one-off nature of major events. One can expect that the frequency of activities will be diminished in the years that follow. For the development of event strategies throughout the city, it may be necessary to make tough decisions to reduce or stop certain activities. Cities need to regularly review and evaluate which events best meet the city's goals and should be retained (Richards & Palmer, 2010). For those events taking place during the title year, public authorities must provide on-going funding. However, the continuation of cultural activities often faces significant financial problems (Pacione, 2012).

The cultural sector is usually responsible for organising the event; the event normally has a direct impact on the cultural sector, such as providing direct income and acting as a source of creativity, skills and opportunities (Richards & Palmer, 2010). Events are believed to be suitable mechanisms for increasing social capital of the cultural sector, such as increasing interaction, stimulating greater levels of identification and developing new partnerships or revitalising existing ones (Arcodia & Whitford, 2007; Quinn, 2010; Richards *et al.*, 2013; Schulenkorf *et al.*, 2011). As to the experience of the ECOC host cities, Palmer/Rae (2004) proposes that the degree of collaboration within the cultural sector can have significant implications for the planning of ECOC, such as a growth in visitor numbers, increasing attention generated by the event and being able to benefit economically. García and Cox (2013) also

argue that ECOC may bring about a major shift in cultural governance and provide a new platform for cooperation between cultural operators or municipalities. In addition, events can be catalysts for creating longer term and permanent coordinating bodies to run cultural events and facilitate the 'festivalisation' of a city (Richards & Palmer, 2010). Finally, the ECOC may extend culture to the local political agenda and help to develop a long-term cultural strategy for the city.

5.2. Aim and Method

Paper 4 and Paper 5 take an overview of the link between the ECOC and city's economic, cultural and social regenerations. Paper 8 further assesses the impacts of the 2008 ECOC on the long-term development of Liverpool's cultural sector, and the construct of networking and social capital was applied. The study examines first the relationship between networking, social capital and major events. This research seeks the views of those working in the cultural sector on Liverpool's year as the ECOC and identifies where impacts were experienced, both positively and negatively, and what legacy the Liverpool ECOC might leave for the future of the cultural sector. Paper 9 explores the cultural legacy of the 2008 ECOC by analysing the 'crossover' between culture and socio-economic sustainability, such as social inclusion, health and well-being and the tourist economy. Four dimensions of cultural legacy were explored, including cultural governance, cultural network, cultural provision, cultural engagement and image. Methodologically, this series of publications drew on both primary and secondary data. The major primary source was derived from an online survey conducted in 2014 with 42 cultural managers based in Liverpool, followed with telephone interviews to explore the emerging findings in more detail. The respondents were chosen from two major cultural networks in Liverpool - the Liverpool Arts Regeneration Consortium (LARC) and the Small and Medium Arts Collective (SMAC). The analysis was complemented by secondary data, including the commissioned evaluation reports of the 2008 ECOC. Other references included online sources (e.g. action plan, evaluation reports and tourism statistics) collected from Liverpool City Council and culture-related organisations in Liverpool.

5.3. Key Findings

The major aim of Liverpool 2008 was both encouraging more people to take part in cultural activities and increasing the cultural interests of residents, thus enhancing the sustainability of the ECOC. To stimulate participation across the population as a whole, Liverpool established a dedicated organisation, Liverpool Culture Company, to coordinate a branded programme of events [Paper 5]. As a result, resident participation in the events, visits to cultural facilities, and interest in cultural activities improved. Meanwhile, the research also notes that the use of public space (open air events), free of charge, mass audience and initiatives designed to assist people to attend cultural programmes are efficient means of increasing cultural participation. In addition, the activities of the 2008 ECOC with co-creation characteristics were the most popular, with significant impacts on stimulating cultural

demand [Paper 4]. Furthermore, to ensure residents' engagement in cultural opportunities, a large-scale event plan continued to operate after 2008. It was achieved by organising annually a pillar event, supplemented by a series of sub-theme events. Residents' cultural participation and cultural interest both increased due to geographically disseminated local events. The increased cultural engagement also becomes a key outcome of the legacy plan [Paper 9].

A strong operating agency, with a certain level of autonomy in the political process and supported by local government, is critical in any major event. As argued by Richards and Palmer (2010), cultural impact could be maximised if a longer-term coordinating body is created. Liverpool Culture Company made a great contribution in the bidding, activities planning and establishing collaborative networks. It helped to forge a stronger relationship between the local authority and cultural organisations, not only larger member organisations such as the LARC, but also those smaller organisations that benefit from public funding [Paper 8]. To ensure the sustainability of the cultural sector, it is necessary to strengthen the cultural governance of the city in the long run. A new operational structure, Culture Liverpool, was established to design and deliver the legacy plan, featuring a new cultural strategy and action plan, financial support to cultural organisations, continuation of certain cultural programmes and the enhancement of cultural networks. Overall, the experience of Liverpool demonstrates that a specialised agency and a long-term legacy plan should be implemented at an early stage so as to maximise the effectiveness [Paper 9].

Moreover, the ECOC could be a catalyst for establishing partnerships within cultural sectors, thus ensuring a high level of social connectivity. The most notable example in Liverpool is the LARC, an alliance of the city's major cultural organisations [Paper 4]. Papers 8 and 9 show how Liverpool's major cultural networks have grown in innovation and skills, spurred the overall cultural supply of the city, strengthened the city's cultural governance, triggered collaborations with public and private sectors and worked together to obtain resources from outside the city. Although increased collaborations seem to be an effect across the cultural sector of Liverpool, there were some indications that more institutionalised actors had both the opportunity and potential to get lasting results. With a major event, while many new projects and huge amounts of funding are introduced, social capital is not necessarily a win-win game. Participation in established networks involves an increase in social capital for some actors, yet independent practitioners or small organisations might be left outside (Bergsgard & Vassendena, 2010) [Paper 8]. Finally, the status of ECOC provided an impetus for the growth of grassroots cultural assets, resulting in a significant change in structure, from pure cultural assets to a wider type of assets [Paper 9]. To conclude, continued support and enhancement of local cultural processes and structures are determinative factors for securing the cultural sustainability of the 2008 ECOC.

Chapter 6 Contribution

Even though policies have linked cultural events and urban regeneration, the relationships between culture, events and sustainability have rarely been fully examined. Although there has been an increase in the number of studies exploring event-led strategies and the contribution of culture to urban development, there have been few studies focused on the long-term assessment and monitoring of the ECOC programme. The research chronology in this submission charts the gradual theoretical and empirical research maturation in this area, with the following sections examining the contributions to knowledge and practice and the quality and value of the publications

6.1. Theoretical Contribution

The new guidelines, especially Decision 1622/2006/EC (see p.6 and p.9), now direct the next generation of ECOCs, in which more citizen participation and sustainability of the event are highlighted. After more than 30 years of development, the ECOC lessons provide valuable guidance for event-led regeneration. However, despite its good reputation, it is misleading to believe that the ECOC necessarily assures positive and sustainable effects. Interestingly, ECOC sustainability has been a relatively neglected theme in major event and culture-led regeneration literature. Only a small number of ECOCs have conducted longitudinal, broad and multi-dimensional impact evaluations (Bianchini *et al.*, 2013). As stressed by Evans (2011, p.6), "the culture and regeneration story requires a historical analysis that maps change and effects over a much longer time period". Therefore, the ECOC needs to be viewed longitudinally to identify the long-term gains or losses. This research contributes to the ECOC programme and cultural event impact studies. A case study in Liverpool ten years after the ECOC provided the basis for research on the significance of the ECOC to the city's regeneration and sustainable development. Moreover, the scope and the timeline of this academic inquiry based on PhD by publication allows a more longitudinal and in-depth evaluation than a traditional PhD study constrained by a relatively limited time period.

Ensuring event sustainability appears to be somewhat complicated for host cities, as confirmed by Evans (2011, p.9) who claims that "one mega-event alone is seldom enough to elevate or sustain regeneration investment to achieve competitive city or cultural city status and the social and economic benefits that are pursued". The works submitted here provide deeper insights to event-led regeneration and the relationships with economic, social and cultural sustainability goals. The evidence provided by the Liverpool research demonstrates that incorporating the event in the city's long-term regeneration trajectory, continued support and enhancement of the local cultural processes and structures, and highlighting the community involvement and development are the three major factors for cultural event sustainability. It has been suggested that event sustainability is greater when cities see events as ideal opportunities to launch regeneration initiatives that can benefit from the enhanced funding, publicity

and civic support and can leave a durable legacy long after the event's closing ceremony (Jones & Wilks-Heeg, 2004).

According to Foley *et al.* (2012), policy sustainability must be premised on measures to ensure greater involvement, participation and outcomes for a wider group of stakeholders. However, the challenge is that 'trickle down' benefits are usually limited and the impact is often visual, economic and political rather than social and community based. As noted by Bianchini *et al.* (2013), criticisms of the regenerative impacts of ECOCs in several cases refer to the relative neglect of the social inclusion dimension. Liverpool included innovative and ambitious social regeneration projects. A central aim of the 2008 ECOC was to widen participation in cultural activities, and to build on the potential role of the event in fostering social cohesion and community development. This aim was pursued through the Creative Communities programme, dedicated to local participation in the Liverpool ECOC (Impacts 08, 2010). Liverpool's experience suggests that investing in locally owned programmes can enable socio-cultural sustainability. As suggested by Palmer/Rae (2004), unlike the mainstream cultural programme, community projects provide real value to local residents. Also, those community projects often last longer time, because they are rooted well locally and cared by those who involve in. This study also echoes Calligaro's (2017) claim about a focus shift of EU cultural policy - "from a relatively essentialist model to a more inclusive approach based on the concept of citizenship" (p.7).

As the 'fourth pillar' of sustainable development (Hawkes, 2001), culture has become one of the foundation elements in urban regeneration policies and is expected to play a more important role in future initiatives. Despite its conceptual and operational challenges, the culture and sustainable development paradigm provides a platform for future sustainability discussions (Duxbury *et al.*, 2013). While culture-led regeneration strategy has become more globally common, cities still face many challenges. For instance, many European cities became increasingly multicultural, and tensions between groups grow in terms of class, culture, religion and ethnicity. This has made the question of how different groups can be integrated and participate actively in cultural activities a key issue for local authorities (Immler & Sakkers, 2014). Today, in Europe and across the world, under the devastating impact of the COVID-19 pandemic, the sustainable development of the cultural sector is facing unprecedented challenges (Vries, 2020). This study contributes to the debate on urban cultural policy and management by exploring the criteria of cultural sustainability. The most important lesson learned from Liverpool is that to ensure a healthy and productive cultural climate and to address the dilemmas of culture-led regeneration, a legacy plan needs to be part of the early event process development stages and then organically integrated into the city's long-term and culture-led developments.

6.2. Empirical Contribution

Previous discussions have focused on the contributions to academic knowledge. Alongside these theoretical issues, the submitted works also have notable implications for governing bodies and for

event-led regeneration practice. First, this study contributes to the practice by developing a comprehensive framework for event measurement, so that all dimensions of impacts and legacies were fully measured. While previous studies have discussed various major event sustainable development principles, this study provides an integrated approach that provides an assessment of the economic, social and cultural dimensions of event-led regeneration using the 'triple-bottom line' framework proposed by Getz (2009). This research reviewed the models and theories relevant to event impact studies and then applied the developed model to an analysis of the ECOC's short-term and long-term effects to monitor performances over time and collect the perspectives of the wider stakeholder community. Consequently, this work took Getz's 'triple-bottom line' paradigm a step further. This study also contributes to event evaluation by adopting theories from interdisciplinary academic fields to more widely assess the event's impacts and legacies.

Second, major event and event-led regeneration studies have generally neglected legacy; however, more recent research (e.g. Edizel, 2014; Holmes *et al.*, 2015; Matheson, 2010) has emphasised that legacy planning is vital for event sustainability. Table 4 shows event legacies by category, gives some practical cultural event strategic planning directions and reflects on the three research questions set at the beginning of this commentary. By demonstrating the areas in which legacy could be developed, the findings outlined here could be of interest to cultural policy, cultural event, and urban regeneration decision-makers. Although this research is mainly focused on Liverpool 2008 as the case study, the findings apply to a wider set of cultural events and could assist policy-makers with developing strategies and plans for sustainable event-led regeneration.

6.3. Research Quality and Value

To demonstrate the research quality, Table 5 provides a brief description of the impact and value of each paper. Seven of the ten articles submitted have been published in the world's leading academic social science journals - the Social Science Citation Index (SSCI). The 2020 Journal Citation Reports (JCR) by Clarivate Analytics reported that more than half these journals were ranked in the top 50% in each academic field. It is also generally accepted that citations are an indicator of the publication quality; however, for recent publications, there has been little or no opportunity for citations. A summary of the citations as of 10 October 2021 is presented in Table 5, which shows that the ten articles have so far accumulated 204 citations. This submission also embraces various conceptual analyses to elucidate the deeper meaning behind major events, and offers an interdisciplinary social science perspective of events that encompasses European Studies, regional and urban planning, urban studies and environmental studies etc.

Table 4. Summary of lessons learned from Liverpool

	Strategies	Legacies	Challenges
Research questions	How can the sustainability of an ECOC event be achieved through legacy planning?	What are the long-term effects of the ECOC status?	To what extent can ECOC help address the dilemmas of culture-led regeneration?
Economic sustainability	- Multi-annual events lasting for eight consecutive years - Dedicated marketing agency & branding campaigns - Provide incentives for existing regeneration projects	- High level of visitor numbers beyond 2008 - Reverse visitors' and media's negative perceptions - Improved perceived value for money in hosting the ECOC	- Less likely to perceive the effect on job creation - Limited benefits brought to creative industry
Social sustainability	- Launch campaigns to encourage the support of local communities - Invest in geographically dispersed programmes - Community organisations in promoting participation	- Perceived positive impacts of ECOC on the city as a whole - Increased confidence in city's future and external perceptions - Enhanced sense of place and volunteerism	- Unable to get rid of the stereotype images, e.g. crime and poverty - Scepticism regarding the direct impacts on individual community
Cultural sustainability	- Governance: operating agency, cultural strategy and action plans - Continuation of certain cultural programmes after event - Financial support for cultural organisations	- Increased participation, interest and understanding of city's culture offers - Social capital enhancement of major cultural networks - Growth of grassroots cultural assets	- Variation between advantaged and disadvantaged communities in cultural participation - Smaller cultural organisations felt left out

Table 5. Quality and value of works submitted

No.	Theme	Year	Journal	Impact Factor & Ranking	Citation	Value
1	Cultural events and cultural tourism development	2014	*European Planning Studies* (SSCI)	IF= 2.226 in 2019; Ranking= 19/42 (45%) in Urban Studies	128	A systemic review of the cases, documents and literatures of the ECOC over a 20-year period; widely cited in ECOC, tourism and event related studies
2	Event-led strategy for cultural tourism development	2015	*disP - The Planning Review* (SSCI)	IF= 0.981 in 2019; Ranking= 37/39 (95%) in Regional & Urban Planning	7	Conceptualises the role of cultural events in developing cultural tourism and its significance for city's tourism policy
3	Event branding and image reconstruction	2016	*Journal of Urban Regeneration and Renewal*	n.a.	1	Contributes to knowledge of how Liverpool sustained the image improvements beyond the ECOC event, through longitudinal data
4	Cultural event and urban regeneration	2016	*European Review* (SSCI)	IF= 0.325 in 2019; Ranking= 67/77 (87%) in Area Studies	14	As an overarching article, presents the significance of a major event for a city's economic, cultural and social regenerations
5	Event and quality of life	2016	*Applied Research in Quality of Life* (SSCI)	IF= 1.683 in 2019; Ranking= 39/108 (36%) in Social Sciences, Interdisciplinary	16	Fills in the research gap by demonstrating the effects of cultural event on residents' quality of life
6	Quality of life as event legacy	2017	*Applied Research in Quality of Life* (SSCI)	IF= 1.683 in 2019; Ranking= 39/108 (36%) in Social Sciences, Interdisciplinary	11	Based on primary data, assesses the legacy outcomes as perceived by residents that benefit their quality of life

7	Event and community development	2017	*Urban Science*	n.a.	5	Builds up the linkage between ECOC and its sustained effects on community development
8	Impacts of cultural event on networking	2017	*Impact Assessment and Project Appraisal* (SSCI)	IF= 1.551 in 2019; Ranking= 102/123 (83%) in Environmental Studies	4	Contributes to the impact assessment of organisational social capital; fills in the research gap of the relationship between event and social capital development
9	Cultural legacy of major event	2019	*Urban Science*	n.a.	3	Provides a construct of cultural legacy; develops a framework for measuring event legacy; outlines how cities could realise a sustainable event-led regeneration
10	Event and sustainable culture-led regeneration	2019	*Sustainability* (SSCI)	IF= 2.576 in 2019; Ranking= 120/265 (45%) in Environmental Studies	15	Contributes to the debate on urban cultural policy by exploring the key success factors for sustainable culture-led regeneration
				Total=	204	

* IF= Impact Factor, retrieved from the 2020 Journal Citation Report, Clarivate Analytics

** Citation: retrieved from Google Scholar on 10 October 2021

Chapter 7 Reflection

7.1. Transfer of Best Practice

The rhetoric of economic and social development is now central to the main discourse of EU cultural policy (Calligaro & Vlassis, 2017). The ECOC is also seen as an exemplary 'laboratory' for culture-led regeneration strategies. Several ECOC cities have been identified as successes or role models, such as the Glasgow 1990, Lille 2004, and Liverpool 2008 (Ooi, 2014). As one of the cities recognised as following best practice, the Liverpool model has advanced our understanding of the nature of sustainable culture-led regeneration. A Liverpool case study through a micro perspective lens could be the basis for studying long-term ECOC programme development. The lessons learned from this study could provide significant input to an EU culture policy model of good practice that could be transferred to different contexts. The Liverpool case could also have a positive knowledge-transfer ripple effect. To date, there have been about 40 academic studies on Liverpool 2008, which is the largest research focus of any ECOCs. Based on the Liverpool success, the UK City of Culture (UKCC) programme was established in 2013 to identify the social and economic impacts for host cities. As an imitation of the European scheme on a domestic level, the UKCC could be seen as one of the most significant political legacies of the 2008 ECOC (García & Cox, 2013).

After Liverpool 2008, many ECOCs were inspired to conduct impact studies. Consequently, the ECOC Policy Group was established in 2009-2010 to promote good practice, produce research, and provide evaluation recommendations to ECOC host cities. Funded by the European Commission's Culture Programme, a network of delivery managers and research units based in current, past and future ECOC cities was developed, which included Liverpool 2008, Stavanger 2008, Linz 2009, Essen 2010, and Kosić 2013 (ECOC Policy Group, 2013). The Policy Group was led by the Impacts 08 project at the University of Liverpool with support from Culture Liverpool at the Liverpool City Council. The key work of the Policy Group was to establish a replicable evaluation framework for other ECOC cities to use. Later, Decision 445/2014/EU requested that all ECOCs 2020-2033 conduct their own evaluations of their title-year results, for which Guidelines were published by the European Commission (2018a) based on the Policy Group report, which focused on six thematic indicator clusters (see Table 3). All this work signified the importance of the Liverpool model in transferring 'best practice' and building cross-city networks.

7.2. A Missing Pillar

While the submitted publications focus primarily on the economic, social and cultural dimensions of sustainability, a 'missing pillar' that has not been fully explored in this study is the political impacts of Liverpool 2008. Due to its complexity, García and Cox (2013) argue that measuring political impacts is difficult or perhaps impossible. Nevertheless, an analysis of the political impacts is important as it is

at the core of the ECOC programme and its implementation. The process involved in designating the host cities and the ECOC planning are both political matters as they depend on political support at the EU, national and city levels. The realisation of each ECOC programme is also a political question as it is a product of the struggles between competing actors, each of whom have different interests and agendas (Žilič-Fišer & Erjavec, 2017).

García and Cox (2013) suggest three most relevant aspects of political impacts, including: (1) cultural policy and governance development; (2) evidence of culture in other policy areas; and (3) effects on wider governance and political activity as a result of the ECOC. Due to the lack of available evidence to support discussion and analysis, this study can only scratch the surface of the governance subject. It mainly described the strengthened cultural governance of the city in the long run, including new culture strategies, funding for culture beyond the title year and strengthened networks. For more detailed discussions on the Liverpool governance issues, readers can refer to O'Brien (2011), who explored the governance network surrounding Liverpool 2008 ECOC and argues that the cultural planning in Liverpool can be conceptualised using the 'governance-by-network' framework (Rhodes, 1997), within which cross-sector institutions come together to deliver a cultural agenda for a given city. From another perspective, some authors have critically examined the instrumental role of culture in the Liverpool 2008 planning. For example, Jones and Wilks-Heeg (2004) note that situating a branded, politically-sanctioned notion of culture at the centre of regeneration strategies could be harmful to a city's alternative cultural spaces. Similarly, Boland (2010) revealed how local culture could be politicised, manipulated and sanitised to stimulate urban regeneration and spatially re-brand Liverpool.

7.3. Lack of Europe?

Despite the growing research interest in the ECOC, there remain challenges and research gaps. Of the challenges noted, the 'lack of Europe' in the ECOC programme has been widely highlighted (e.g. Fage-Butler, 2018; Fischer, 2013; García & Cox, 2013; Immler & Sakkers, 2014; Patel, 2013). That is, most studies including this study have focused on individual cities rather than the effects on Europe. Although the ECOC concept was originally planned as a European cultural policy instrument, it became a way of addressing municipal and regional political agendas (Immler & Sakkers, 2014), with the European dimension of the programme losing its importance over time (Mittag, 2013). For many cities, the ECOC title became a post-industrial urban renewal tool for cultural policy implementation. For example, Patel (2013) found that the existing literature often discusses the contribution of ECOC to urban regeneration processes, but tends to disregard or marginalise the connections between the urban events and EU policies.

The European Commission (2012) also highlighted that the ECOC should not only be seen as a culture-led regeneration strategy. The opening of a new museum (e.g. the Guggenheim in Bilbao) can also trigger important social and economic benefits. However, "what gives the ECOC a very specific

place is on the one hand its strong brand which provides an important opportunity for visibility at European and international level, and on the other hand, its aim to increase mutual understanding among Europeans and bring them closer together" (p.13). The underlying idea of the ECOC is to highlight the richness and diversity of European cities and cultures, while at the same time to display common European values to be found at the local level (Griffiths, 2006; Lähdesmäki, 2014; Tölle, 2016). As argued by García & Cox (2013), the European dimension, if well addressed, can better guarantee the distinct value and sustainability of the ECOC.

In the case of the Liverpool ECOC, one might question whether there was a 'lack of Europe'. According to the investigation by the European Commission (2012), there were very few references to the fact that the Liverpool 2008 was an initiative of the EU in the communication materials. Liverpool also had very few activities highlighting the diversity of European cultures or based on European themes. Most of the cooperation activities in Liverpool during 2008 were more international at large than truly European. Bullen (2013) found that the rhetoric was unsupported by planned activity and has suggested that Liverpool's 2008 bid theme of 'the world in one city' put little emphasis either in the bid or in the artistic programme on the transnational links between people in the city and Europe or the rest of the world. Indeed, "rather than Liverpool in the world, the signifier of diversity is attached to the identity of local population in the city" (p.60). Nevertheless, according to Sassatelli (2006; 2009), there is no simple official version of the ECOC and no common agreed content of the European dimension. In the ECOC, the European framework could only gain wide acceptance on condition that it would not impose a specific and exclusive content. The local diversity of themes is permitted, and even encouraged, as long as the frame that enables and limits them is European. While the EU continues to promote the idea of a common cultural heritage at its roots, it also stresses the cosmopolitan aspect of European identity. The inclusion of non-European cultures in the programme does not equate necessarily to irrelevance or to a 'lack', as Sassatelli (2009) has argued. This reflection reveals the fact that defining and measuring a European dimension is not always easy.

The above discussions clarify some potential future research themes. As claimed by Sassatelli (2013, p.65), regeneration itself has begun to be viewed as a 'tired metaphor' for the ECOCs. What seems wanting is a new rationale able to grasp a more complex and circular relationship between city, culture, economic and social development, unlike the simple causality implied in the idea of culture-led regeneration. Furthermore, as a result of the European economic crisis in the last decade, there are signs that the trend of regeneration could be reversed (Bianchini *et al.*, 2013). Recently, the EU institutions sought to sharpen the aims and scope of the ECOC programme, particularly the two criteria - European dimension and City and citizens imposed by Decision 1622/2006/EC and applicable for the ECOCs awarded from 2010. This development was driven by the perception that the profile of ECOC needed to be strengthened, and to cope with the ever-growing complexity of an enlarged EU (Patel, 2013). Along with this renewed policy, the ECOC initiative was seen as moving into a new phase in which the

discussions on Europeanness and European dimension could become the major focus for the implementation and promotional rhetoric in the ECOC programmes at the local level. This trend, which was a return to the original intentions of the ECOC, allows the author to conceptualise some future research stands.

Chapter 8 Conclusion

Culture has been an important focus of policy concern for the EU over the last two decades. This has to do with the implementation of new fields of competence, along with the greater politicisation of European integration (Barnett, 2011). Carta and Higgott (2020, pp.1-3) propose that the EU's reference to culture should be placed in a broader discussion on how to overcome the EU's 'survival crisis' and to solve the increasing sense of 'European fatigue'. Within this context, culture is tied up in a series of domestic and international priorities. The ECOC programme is at the centre of the EU's cultural actions and is part of its general cultural policy (Sassatelli, 2013). Patel (2013, p.3) states that "the ECOC programme is a particularly fascinating case to study both the aspirations as well as the challenges of European cultural policy". Much remains to be done even though research on ECOCs has expanded significantly. So far, from the perspective of European Studies, at least three important research themes have been neglected, which will help mainstream ECOC studies more both conceptually and in relation to major research concerns of traditional disciplines like political science: (1) the transnational dimension of the ECOC; (2) ECOC in EU multi-level governance; and (3) ECOC and layered identities and citizenship.

8.1. ECOC and Transnational Europe

Scholarly work on European integration and the politics of the EU have pointed to a variety of transnational phenomena, such as policy networks (Kaiser & Starie, 2005), public spheres (Wessler *et al.*, 2008) and identities (Herrmann *et al.*, 2004). The definition of transnationalism can be found in two distinct, yet ultimately complementary literatures - political science and sociology. The former is concerned with the impact of societal actors on state activities or international organisations, while the latter focuses on issues such as identity, communities, and spatial boundaries (DeBardeleben & Hurrelmann, 2011). The network concept is one of the most important approaches to analyse the European transnationalisation process. Heard-Lauréote (2005) claims that the importance of transnational networks lies in "their ability to make sense of dynamic policy-making processes in both the wider European and the local context as well as their contribution to political exchanges, policy-making and policy transfer below the EU level" (p.37). Examining the transnational dimension of European integration history, Kaiser (2009a) identifies five core functions of transnational networks for policy formulation, including: (1) establishing transnational social capital; (2) determining common policy goals; (3) establishing a socialisation mechanism to build policy consensus; (4) creating a platform to identify suitable domestic and transnational partners; and (5) supporting intergovernmental relations on European integration. Huggins' (2018a; 2018b) recent research demonstrates that obtaining funding, influencing EU policy and policy transfer are the three major motivations for the subnational actors in EU to construct transnational networks.

The EU has long encouraged transnational network formation. Transnational networks are set up to achieve regulatory coordination, such as dealing with interdependent policy problems or ensuring a consistent implementation of EU policies across member states. In the process of EU's expansion and deeper integration, transnational networks can solve the dilemma of weak legitimacy and reduce the negative effects caused by differences among countries (Bach *et al.*, 2016). For instance, the Commission tried to incorporate transnational non-state actors more transparently into the network-based consultation process in its 2001 White Paper on Governance (European Commission, 2001). There was also a significant increase in transnational municipal networks (TMNs) that started in the late 1980s. Since then, TMNs have become a pivotal feature of mainstream policy in the EU as a means of developing more innovative and rapid delivery policy approaches (Bulkeley *et al.*, 2003). Eurocities, for example, represent around 120 large cities in more than 30 European countries. According to Kern and Bulkeley (2009), the emergence of TMNs in Europe both reflects and constitutes two phenomena: the multi-level nature of European governance and the dynamics of Europeanisation. However, to date, most analyses of policy networks have focused on the national policy-making arena and there have been limited studies on the impacts of TMNs.

The EU does not officially have an explicit cultural policy, yet many transnational initiatives, such as the ECOC, exist throughout Europe. As argued by Dewey (2008), developing an understanding of transnational cultural policymaking is increasingly significant because of its potential implications for policy transfer, policy learning, and policy convergence at various governance levels. Lähdesmäki (2014) claims that the ECOC initiative was an EU attempt to produce and strengthen transnational European culture and heritage, and the European Commission continues to encourage transnational cooperation. Nine cities, for example, were identified as ECOCs in 2000 and a common theme for the event was defined for the European cultural space to coordinate their programmes, with the nine cities establishing a formal network called the Association of the Nine ECOCs for 2000 (Hugoson, 2015; Sassatelli, 2013). Established in 2017, Culture Next is another example of TMN. Organised by former and current candidate cities with the ECOC title, Culture Next provides an effective structure for knowledge sharing and peer-learning on culture-led development (Abdullah & Molho, 2020). Furthermore, the 'European dimension' is designed to connect a city's local context with the European framework through undertaking transnational collaborations, co-productions and exchanges; promoting transnational partnerships; and extending the cultural and creative sector networks transnationally and internationally (European Commission, 2014). Sassatelli (2009) found that the ECOCs have progressively learnt the strategy of focusing on transnational collaboration as an effective way to overcome the challenge of identifying specific European themes.

Approaching the transnational issue using a solid theoretical perspective is what seems to be missing in current ECOC studies. Kaiser (2009a) proposes that adopting a transnational lens, for example through a focus on network formation and maintenance, can contribute to clarifying the reasons

for and the characteristics of spatial differentiation in the process of European integration. In the same vein, the development of transnational ties has been highlighted as important for those 'latecomer' ECOC cities in Central and Eastern Europe to overcome marginality (Tölle, 2016). After the EU enlargements in 2004 and 2007, the ECOC programme designation officially incorporated the new member states and decided that each of the new members could share the title with one of the older members from 2009 onwards (Decision 649/2005/EC) (García & Cox, 2013). The simultaneous award provides an opportunity to investigate the effectiveness of transnational network formation. Future research can focus on centre-periphery differentiation within the enlarged EU, and how and to what extent transnational networks between ECOC cities can be developed to promote policy exchanges and transfers as well as to establish transnational social capital.

The same theoretical framework can be applied to the EU's external relations as well. Christensen-Redzepovic (2018) pointed out that the EU is currently in the process of developing and implementing an international cultural strategy across the globe. The EU Strategy for International Cultural Relations and the Cultural Diplomacy Platform were launched in 2016 to encourage cultural cooperation between the EU and its partner countries. Promoting culture becomes a vital element in EU international relations and is one of the three main objectives of the New European Agenda for Culture since 2018 (European Commission, 2018b). Abdullah & Molho (2020) have recently demonstrated the potential of European cities to achieve the objectives of the EU strategy for international cultural relations. The exponential rise in TMNs since the early 2000s shows how cities play a major role in the development of cultural ties across borders, and establish themselves as autonomous international policy actors in fields like environmental protection and mobility, for example, but also culture. Developing ECOC-like city-to-city strategic partnerships is one way to support the EU's new strategic approach for international cultural relations. This development demonstrates how the ECOC title has gradually become a valuable resource for the EU and its potential to become a platform for inter-regional or transnational networks.

Drawing some inspiration from the European initiative, other regions and sub-regions have begun organising their own capital/city culture schemes, including the Arab Capital of Culture, the American Capital of Culture, the ASEAN Cities of Culture and the Cultural Cities of East Asia (CCEA) (Ocón, 2017). For instance, the CCEA is a cultural cooperative initiative between China, Japan and South Korea to promote sustainable urban and regional development through culture. To devise effective strategies for cultural relations, the European Commission commissioned research to investigate the potential and challenges in developing a strategic partnership between the ECOC and CCEA (Christensen-Redzepovic, 2018). Research on EU initiatives in this regard should not just analyse the EU policy motivations and design, but also explore its implementation and effectiveness, for example in forging durable transnational networks or facilitating transfers of EU models. Scholars have proposed related theoretical concepts focused on the strategic role of culture for EU's external actions, such as 'soft power' (Nye, 1990; 2004), 'normative power' (Manners, 2002) and 'transformative power' (Grabbe, 2006).

These concepts can support future research investigating how the EU exercises its soft/ normative/ transformative power(s) through the ECOC and to what extent the European cultural integration experience can transfer to other European or world regions.

8.2. ECOC in EU Multi-Level Governance

The EU is a multi-level polity that has different layers of governance - supranational, national, regional and local - which are interconnected in a complex web of institutional and social relations and in territorially overarching policy networks (Börzel, 1997; Börzel & Heard-Lauréote, 2009; Hooghe & Marks, 2003). Multi-level governance (MLG) was first developed from a study of EU policy and then applied to EU decision making more generally. MLG denotes a shift from a centralised government to a decentralised informal form of political communication and decision making by sets of state and societal actors (Börzel & Heard-Lauréote, 2009). MLG can better reflect the increasing frequency and complexity of interactions between governmental actors and the growing involvement of the non-state actors (Riedel, 2012). Given its complex MLG structures, one possible strategy for the EU to coordinate and ultimately reconcile its competing interests is through policy networks (Adelle *et al.*, 2015). Policy networks refers to a set of relatively stable relationships which are of non-hierarchical and interdependent nature linking a variety of actors, who share common interests and exchange resources (Börzel, 1997). European-level political networking is a process of social communication with multiple potential outcomes, such as socialising actors into existing behavioural patterns and preferences, and transferring policy ideas and best practices (Kaiser, 2009a). As proposed by Warleigh (2006), MLG is a concept which helps us understand what kind of polity the EU has become and its current development, while policy network analysis helps to clarify the complex process of alliance construction and negotiation, through which EU policies are actually formulated.

The network approach is now being implemented more comprehensively to understand the EU's MLG, with applications to the issues of immigrant policy (Zapata-Barrero *et al.*, 2017), climate change policy (Di Gregorioa *et al.*, 2019) and urban sustainability (Ehnert *et al.*, 2018), for instance. The previous research on EU cultural policy has shown how, in EU cultural initiatives, MLG complicates the power relations between macro- and micro- level actors, mingling top-down and bottom-up dynamics. The ECOC programme provides an interesting example of MLG. The ECOC cities were given a new political space to exploit within the MLG context (Turşie, 2008). Németh (2013; 2016) states that the power relations structure between the local-regional-national and European levels is particularly important for a programme such as the ECOC. Each of the levels with their actors and institutions has its stake in the reproduction of the ECOC process. European or national priorities and local power relations and interests affect the projects in different ways as various complementary local, regional, national and international resources need to be identified when a city seeks to win the title and realise a large-scale event (Németh, 2013; 2016; Palonen, 2010). However, the ECOC initiative also

provides an example of the dilemmas of MLG. Palonen (2010) notes that there are often contradictory and competing approaches of different governance stakeholders even though with potential complementarity of agendas across MLG layers. Kovács (2013) claims that difficulties are accumulated if the ECOC operates in an MLG context because of the very intensive period of network building required to involve new actors and shifting decision making into new arenas. Her research on the 2010 ECOC Pécs revealed that the city became a victim of MLG and lost its independence and dominant role in the ECOC project.

Europeanisation, emphasising the domestic effects of the EU on its member and applicant states, was and still is one of the fastest growing strands of European Studies (Börzel & Risse, 2000; Buller & Gamble, 2002; Riedel, 2016). Several studies (e.g. Bache *et al.*, 2008; 2011; Geddes *et al.*, 2013; Gutierrez-Camps, 2014) have shown the role of Europeanisation in advancing MLG within member states. Europeanisation encompasses not only the domestic effects of European-level institutions (top-down Europeanisation) but also the effects of the EU member states' actions on EU institutions (bottom-up Europeanisation). Additionally, Europeanisation involves cross-loading or policy transfer through learning from one member state to another (horizontal Europeanisation) (Heidenreich, 2019; Riedel, 2012; 2015; 2016). The concept of Europeanisation and transnational networks have been applied to recent EU studies, such as renewable energy policy (Solorio & Jörgens, 2020), higher education policy (Marques *et al.*, 2020) and urban policy (Carpenter *et al.*, 2020). For the ECOC studies, Turşie (2008) notes that the Europeanisation process indicates the opening of a new political sphere where ECOC cities can play a new multi-level game.

Current ECOC literature on EU governance has a predominantly descriptive or inductive orientation, often with the rationale of applied policy advice but rarely with full-fledged theorising. The author plans to take a more theoretical perspective by applying the above two concepts - policy networks and Europeanisation - providing a more sophisticated conceptualisation of the formation and governance of networks and a more comprehensive understanding of EU politics and policymaking, as suggested by Christiansen (2012). It is argued that the relative influence of local, regional or national powers largely depends on the wider political cultures, which can vary between European countries. The EU's spatial expansion has significantly increased the importance of policy networks. The EU's increasing cultural diversity and institutional and socio-economic tensions, associated with every enlargement, provides many opportunities for network formation and influence (Kaiser, 2009b; 2010). Europeanisation has also been used as a concept and framework to explain and understand the outcomes of transformation in the new member states (Riedel, 2016). The author aims to concentrate in the future on ECOCs from Central and Eastern Europe and to investigate how the networks function within the framework of the MLG and under the conditions of Europeanisation. Future research questions could include: How might different local socio-cultural environments and country-specific institutional arrangements influence policy learning and transfer? To what extent might the contrasting governance

demand at the European, national, regional and local levels exacerbate existing tensions? Are there potential complementarities between the MLG agendas? How does Europeanisation affect regional governance? What kinds of top-down and bottom-up dynamics of Europeanisation can be found? What adjustments have been made to European, national and local potentials and preferences?

8.3. ECOC and European Identity

There has always been a discussion on the possibility and desirability of a 'European identity' in parallel with the political integration of Europe. Political scientists have been interested in the attitude and identification of the EC/EU since its establishment. According to Mols *et al.* (2009), in the 1970s and 1980s, the discussion focused on the question of whether utilitarian support would spill over into the sense of belonging to the EC, as predicted by the neo-functionalists (Haas, 1958). The focus of the discussion on EU identity shifted in the 1990s when the development of formal EU citizenship initiated an interdisciplinary discussion on the normative aspects of European polity formation (Chryssochoou, 2001). Euroscepticism has recently become a transnational phenomenon, ranging from economic crises, terrorist attacks, refugee and humanitarian crises throughout Europe to the recent Brexit issue (Leruth *et al.*, 2018). EU's cultural and identity policies have been challenged with the rise of EU-scepticism and opposition to continued European integration (Lähdesmäki, 2014; Mols *et al.*, 2009). Identity diversification has also been expanded as the EU has become extended to member states from Central and Eastern Europe. Since cultural frontiers are not neatly consistent with political boundaries, the development of cultural action, such as the ECOC, plays an important role in the cooperation between EU member states and non-EU countries. It helps to construct a citizenship based on a shared identification with a common core of European values (Barnett, 2011).

The ECOC initiative was designed from the beginning to enhance the European identity, especially when the Community was facing acceptance problems. Mercouri's goal was to foster cultural cooperation and exchange in Europe to promote European understanding and, at the same time, to allow cities to display their local culture and connections to a common European cultural identity (Lähdesmäki, 2014; Sassatelli, 2005). The EU has implemented various initiatives to make the European cultural identity more concrete in the past decade, with some important documents, such as the Treaty of Lisbon and the European Agenda for Culture, seeking to foster a common Europeanness and a common idea of Europe (Lähdesmäki, 2012). According to Gierat-Bieroń (2018), Europeanness refers to the set of values, norms and beliefs at the basis of the European integration and constituting the foundation of the European socio-political community. The EU institutions did not develop a centralised and homogenous identity policy in their attempt to bring Europe closer to the people, rather, they engaged in a negotiation of Europeanness. Culture is also enshrined in EU intervention via ambiguous norms that leave plenty of room for interpretation and appropriation (Calligaro & Vlassis, 2017). Patel (2013) comments that the EU focuses on facilitating discussions and practices around Europeanness while leaving it to others to

fill this term with a precise meaning.

The theme of Europeanness was central to the work of three researchers in particular - Calligaro, Sassatelli and Lähdesmäki - who examined the Europeanising effects of the ECOC and the identity construction processes in the ECOC cities. As found by Calligaro (2013b), with the ECOC, the EU aims to develop flexible relationships between local cultural actors and the European structure, which tended to give the cultural actors at the local level the freedom to express their own view of Europeanness. Later, Foret & Calligaro (2019) argue that the adjective 'European' of the ECOC qualifies the city and refers to the process by which it becomes more European. This is particularly significant in the context of the Eastern enlargement process. They illustrated the ECOC as a 'rite de passage' allowing those Central and Eastern European cities to demonstrate their Europeanness (p.12). Sassatelli (2006; 2008; 2009; 2013) took the 2000 ECOC event as a case study from a sociological perspective to trace the EU's attempts to create local Europe by simultaneously localising the European and Europeanising the local, referring to this process of Europeanisation as 'Eurocalisation' (Sassatelli, 2013, p.68). She also highlighted how the European identity increasingly takes on a language of 'becoming' rather than of a stable and monolithic 'being' (Sassatelli, 2009, p.14) because Europe as a contested concept does not derive only from the European institutions but can be appropriated. Lähdesmäki (2011; 2014) argues that the current EU policy rhetoric stresses both unity and diversity as key features of European cultural identity, with the promotion of both locality and Europeanness in parallel with the European integration. According to her recent research, the ECOC produces 'lived' experiences of Europeanness. In the ECOC programme, Europeanness is not only constructed from above through symbols and rhetoric but also from below through citizens and their participation (Lähdesmäki, 2021).

Studies examining this theme overall have investigated how the ECOCs construct locality, regionality and Europeanness. There has been little research on whether such dynamic and multi-layered identities are emerging, what forms they can take, which processes generate or undermine them and how they differ across Europe. According to Brigevich (2016), the multilayer existence of territorial attachment is one of the main perspectives of European identity studies. The concept that individuals can have simultaneous attachments to different political/territorial levels has spread widely along with the EU's MLG concept (Berg, 2007; Hooghe & Marks, 1996). The emerging consensus is that the MLG and overlapping political cultures in Europe would both enable and require the development of multi-layered identities and citizenship (Painter, 2002). For instance, as argued by Kaiser (2009a), citizens' greater interest and more active participation in EU politics may enhance Europe's collective identity and lead to more transfer of loyalty to the supranational level in the complex EU system of MLG. The prevalent multi-level identity of citizens can also lead to an increasing identification with the EU. One study strand in the future is to explore the portrayal of Europeanness in the ECOC and particularly how notions of multi-layered identities were developed from year to year and from place to place.

On the other hand, faced with the increased cultural diversity and social complexity due to

enlargement and international migration, the EU has inaugurated the concept of European citizenship, which includes formal rights and cultural identity (Delanty, 1997). As Calligaro (2014) has found, recent examples of EU's cultural initiatives centred on intercultural dialogue have shown that the foundation for anchoring European citizenship is values and not only common heritage. The declared goal of creating a more inclusive and participatory EU has triggered a shift from a 'culture-based identity' to a 'value-based citizenship' (p.80). The new EU cultural policy emphasis on the civil society engagement in the integration process has influenced ECOC implementations at the local level (Staiger, 2013). The EU's Decision 1622/2006/EC on the current ECOC programme stresses the participation of the citizens living in the city (European Commission, 2018a). Citizen participation is seen as a focus of the ECOC to increase positive European interactions, cohesion and identification (Fage-Butler, 2018; Lähdesmäki, 2014). Sassatelli (2009; 2013) claims that the attention paid to minorities and immigrants is a feature that characterises many ECOCs and increasingly so. This can be connected to the progressive focus of ECOC on less celebratory issues regarding culture and to conceive diversity and culture in broader terms, particularly the promotion of multiculturalism and social integration. Future research can explore the development of 'multi-layered citizenship' (Painter, 2002) within the ECOC context associated with the concepts of MLG and multi-layered identities, such as how is layered citizenship constructed at various spatial scales (local, regional, national and European) and perhaps of various social groups (e.g., ethnic diasporas and religions)?

8.4. Concluding Remarks

Sustainability and legacy issues have been the focus of discussion in recent years and have become one of the new paradigms of EU cultural policy. Cultural events, with the ECOC as a notable example, are conceived as a crucial part of a city's dynamic and long-term process of development. The case study of Liverpool ten years on can help to advance academic knowledge on the key issues of ECOC and its sustainability and explore how EU cultural policy is interpreted locally. Theoretically, this research contributes to the debate on urban cultural policy by exploring the criteria of sustainable regeneration and investigating the long-term effects of the ECOC. This study also contributes to event evaluation by adopting theories from interdisciplinary academic fields to more widely assess the event's impacts and legacies. Empirically, considering that legacy planning is vital for event sustainability, this study provides some strategic planning directions for future ECOCs.

Although the ECOC programme is a fascinating case to study both the aspirations and the challenges of EU cultural policy, the existing literature often disregards or marginalises the connections between the ECOC and EU policies (Patel, 2013). Recently, the EU institutions sought to sharpen the aims and scope of the ECOC programme. Along with this renewed policy orientation, the commentary has concluded by conceptualising some future research stands. So far, from the perspective of European Studies, at least three important research themes have been neglected: (1) the transnational dimension

of the ECOC; (2) ECOC in EU multi-level governance; and (3) ECOC and layered identities and citizenship. Through these three different but interrelated conceptual lenses, future ECOC research can become more fully embedded in the preoccupations of major disciplines and their recent theoretical, conceptual, and empirical innovations in studying the EU's political and societal processes. This in turn can help ECOC research to avoid its marginalisation, which is paradoxically due to its strong interdisciplinary character, and become mainstreamed in European Studies.

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Research Ethics Review Checklist

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UNIVERSITY OF PORTSMOUTH

Postgraduate Research Student (PGRS) Information	Student ID:	UP2033722

PGRS Name:	Yi-De Liu		
Department:	SASHPL	**First Supervisor:**	Professor Wolfram Kaiser

Start Date: (or progression date for Prof Doc students)	1 October 2020

Study Mode and Route:	Part-time	☑	MPhil	☐	MD	☐
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Title of Thesis:	European Capital of Culture and Sustainable Regeneration
Thesis Word Count: (excluding ancillary data)	18,000 words

If you are unsure about any of the following, please contact the local representative on your Faculty Ethics Committee for advice. Please note that it is your responsibility to follow the University's Ethics Policy and any relevant University, academic or professional guidelines in the conduct of your study

Although the Ethics Committee may have given your study a favourable opinion, the final responsibility for the ethical conduct of this work lies with the researcher(s).

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a)	Have all of your research and findings been reported accurately, honestly and within a reasonable time frame?	YES ☑ NO ☐
b)	Have all contributions to knowledge been acknowledged?	YES ☑ NO ☐
c)	Have you complied with all agreements relating to intellectual property, publication and authorship?	YES ☑ NO ☐
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Candidate Statement:

I have considered the ethical dimensions of the above named research project, and have successfully obtained the necessary ethical approval(s)

Ethical review number(s) from Faculty Ethics Committee (or from NRES/SCREC):	N.A.

If you have *not* submitted your work for ethical review, and/or you have answered 'No' to one or more of questions a) to e), please explain below why this is so:

PhD by publication, based on peer-reviewed publications, ethical review was done by my home institution for the research at the time.

Signed (PGRS):	*Yide Liu*	**Date:**	1 April 2021