

Interim Evaluation of the Culture Programme 2007-13

Final Report

ECORYS UK on behalf of the European
Commission DG Education and Culture



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Executive Summary

Introduction

In recent years, culture has increasingly come to be seen as not just as a legitimate focus for policy in its own right but also as providing myriad social and economic benefits. Indeed, a recent study carried out on behalf of the European Commission has estimated that the contribution of the cultural sector amounts to some 2.6% of Gross Domestic Product across the 30 EU/EEA Member States.¹ The same study also highlighted the more indirect contribution of culture to the European economy, in particular the strong - but still largely underestimated - correlation between, on the one hand culture and creativity and, on the other, innovation and the wider economy.

This contribution of culture to Europe's economic development is of increasing interest given the recent global economic downturn. The cultural sector operates in an international and rapidly changing environment where transnational co-operation, mobility, international circulation and the capacity to work on an international level are becoming more and more important. The impact of the crisis on international cultural co-operation cannot yet be fully understood, as it may take some time before public funding cuts at the national level, or reductions in private sponsorship begin to affect the capacity of project promoters to find matching national funding. However the first indications are that budget cuts are taking place, which raises new challenges for cultural operators who wish to engage in international co-operation and also highlights the importance of EU support for such co-operation.

The recent global economic downturn also brings with it the prospect that racism and xenophobia will become more prominent as countries and communities become more inward-looking after a period of migration on a scale arguably unprecedented in peacetime Europe. In this context, there is recognition of the need to encourage interaction between communities with different cultures and build understanding, trust and solidarity between different people. The role of culture in encouraging cultural diversity and intercultural dialogue – through improving citizens' knowledge and appreciation of other European cultures – is at the very heart of European policy, for example, as set out in Article 167 of the Treaty. Looking ahead then, it can be anticipated that EU action in the field of culture will continue to be required to stimulate cultural diversity and encourage intercultural dialogue.

It is in this context that the interim evaluation of the Culture Programme 2007-13 has been carried out by Ecorys UK on behalf of the Directorate General for Education and Culture of the European Commission (DG EAC) between July 2009 and May 2010. This report describes the programme and its context, presents research findings based on the criteria of relevance, efficiency, effectiveness and sustainability and offers a set of conclusions and recommendations – for the current programme and for any future programme on culture.

¹ The Economy of Culture in Europe, KEA European Affairs, 2006.

Political context

Culture was placed in the body of EU policy with the 1993 Maastricht Treaty which set the broad parameters for intervention through Article 151 which states that the EU “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 heritage to the fore”.² It identified the key areas for action as encouraging co-operation between Member States and with third countries and other relevant international bodies such as the Council of Europe. The main mechanisms through which these policies were implemented initially were the Kaleidoscope, Ariane and Raphael programmes which ran until 1999 and then the Culture 2000 programme, which ran from 2000 to 2006. Culture 2000 had a very broad set of objectives, some relating to the promotion and enhancement of culture, cultural diversity and creativity and others relating to the role of culture in achieving socio-economic objectives. Activities supported included festivals, master classes, exhibitions, new productions, tours, translations and conferences. In addition to bringing together existing actions, it also, for the first time, made provision for grants to be made to cultural co-operation projects across the whole range of artistic and cultural fields.

Building on the experience of Culture 2000, the current Culture Programme 2007-13 was introduced and featured a number of important changes. First, a shorter, more focussed set of specific objectives was adopted – promotion of the transnational mobility of cultural players, encouragement for the transnational circulation of works and cultural and artistic products, and encouragement of intercultural dialogue. Second, a different set of activities was supported; some representing a modification of the types of activities supported under Culture 2000 (such as cultural actions undertaken by transnational partnerships) and others representing existing activities that had previously been supported by funding earmarked by the European Parliament (such as support for organisations active at the European level in the field of culture). Management of those elements of the new programme with a significant “volume” aspect was retained within the Education, Audiovisual and Culture Executive Agency (EACEA), whilst other elements continued to be managed by DG EAC.

Since the start of the current Culture Programme, the European Commission has introduced its main strategy for culture – the *European agenda for culture in a globalizing world* - which sets out a new set of objectives and ways of working to take cultural co-operation within the EU to a new level.³ The Commission has also aimed to spark a debate on the requirements of a truly stimulating creative environment for the EU's cultural and creative industries (CCIs) by releasing a Green Paper on *Unlocking the potential of cultural and creative industries*.⁴ The Green Paper poses questions related to the use of policies and instruments at all levels of governance (and the potential for greater coherence and coordination among them) in order to unlock the potential of CCIs in Europe. Policymakers, bodies within the CCIs and other operators have been invited to suggest priorities for action at European level.

More recently, the European Council has adopted a new overarching strategy to guide broader European policy over the next decade. The Europe 2020 Strategy - the successor to the ten-year Lisbon Strategy - is intended to focus activity around three mutually reinforcing priorities:

² Following the adoption of the Lisbon Treaty, Article 151 was renumbered as Article 167.

³ Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on a European agenda for culture in a globalising world; COM(2007) 242 final.

⁴ Green Paper on Unlocking the potential of cultural and creative industries; COM(2010) 183

- smart growth: developing an economy based on knowledge and innovation;
- sustainable growth: promoting a more resource-efficient, greener and more competitive economy;
- inclusive growth: fostering a high-employment economy delivering social and territorial cohesion.

Culture has a clear role to play in this strategy, in particular with its flagship initiatives such as the Innovation Union, the Digital Agenda, the Agenda for New Skills and New Jobs, etc. The priorities of this new strategy will need to be taken into account in the objectives of any new programme on culture.

Programme description

The European Parliament and the European Council established the Culture Programme (2007-2013) in December 2006, via Decision 1855/2006/EC. The programme plays a crucial role in promoting and protecting Europe's cultural and linguistic diversity as required by the EU Treaty,⁵ the Charter of Fundamental Rights of the European Union⁶ and the European Union's obligations as a Party to the UNESCO Convention on the Protection and Promotion of the Diversity of Cultural Expressions.⁷ The programme also plays a unique role in providing support for European cultural co-operation. Its overall objective is to enhance the cultural area shared by Europeans and based on a common cultural heritage with a view to encouraging the emergence of European citizenship, through the development of cultural co-operation between creators, cultural players and cultural institutions.

The rationale for the Culture Programme 2007-2013 rests on the benefits that linguistic and cultural co-operation and exchanges bring in terms of European integration (founded on common cultural values), and social and economic development, as well as the intrinsic value of supporting European culture and making a common cultural area in Europe a reality. It also recognises that organisations working on cultural co-operation need support if capacity and activity is to be strengthened in this area.

A budget of €400 million over seven years is available for the entire range of actions covered by the programme in order to support the specific objectives of promoting the transnational mobility of cultural players, encouraging the transnational circulation of cultural works, and encouraging intercultural dialogue. It is open to all cultural sectors, except the audiovisual industry, which is covered by the MEDIA Programme with a budget of €755 million.

The programme is implemented through three main strands:

- Strand 1: Support for cultural actions; multi-annual co-operation projects of three to five years duration and involving at least six cultural operators from six countries receive grants of €200,000-€500,000 per year on the basis of 50% co-financing. Similar co-operation projects aimed at smaller cultural operators are for up to two years duration and benefit from grants of €50,000-€200,000 (also on the basis of 50% co-financing). Publishing houses receive grants of €2,000-€60,000 for translating literary works, again on the basis of 50%

⁵ Article 3(3) of the consolidated version of the Treaty on European Union and Article 167 of the Treaty on the Functioning of the European Union.

⁶ In particular Article 22.

⁷ <http://unesdoc.unesco.org/images/0014/001429/142919e.pdf>

co-financing. Cultural co-operation projects with third countries benefit from grants of €50,000-€200,000 (also 50% co-financing), last for up to two years and involve at last three cultural operators from three countries, together with one from a third country (which is selected each year by the Commission and in the years covered by the evaluation included Brazil, India, China and the EU Neighbourhood countries). The European Capitals of Culture (ECOC) initiative is also included under this strand, where designated cities receive grants of up to €1.5 million. Strand 1 funding also supported four prizes⁸ and joint actions with international organisations such as the Council of Europe. In the years covered by the evaluation (2007-09), some 30 multiannual co-operation projects, 257 smaller co-operation projects, 34 co-operation projects with third countries and 1,046 literary translations have been supported.

- Strand 2: Support for organisations active at European level in the culture field; multi-annual framework partnership agreements or annual operating grants (up to a maximum EU co-financing rate of 80%) support the permanent work programmes of organisations pursuing an aim of general European interest in the field of culture. During the period of study, this kind of support was available for organisations acting as ambassadors for European culture, advocacy networks, festivals, structured dialogue platforms and policy analysis groupings. To date, 89 organisations have received annual grants and 37 organisations multi-annual framework partnership grants under this strand.
- Strand 3: Support for analysis and dissemination activities; Strand 3 has three components: co-financing of 34 Cultural Contact Points (CCPs)⁹, charged with promoting and disseminating information about the Culture Programme at national level; support for studies and analyses; and support for the collection and dissemination of information about EU-funded cultural activities to raise public awareness.

Purpose and scope of the evaluation

This interim evaluation is intended to support the Commission in fulfilling the condition mandated in the Decision establishing the Culture Programme to ensure "regular, external and independent evaluation of the programme". The evaluation covered all of the actions and geographical areas of the programme for the period 2007-2009, with the exception of the European Capitals of Culture (ECOC), which have been the subject of separate evaluations.¹⁰ In so far as it has considered the ECOC, the evaluation has therefore concentrated on the complementarity between ECOC and the rest of the programme, together with the efficiency and effectiveness of the budget allocated from the Culture Programme to ECOC.

Methodology

The tailored evaluation framework used to guide the research was based on a series of evaluation questions under the key criteria of relevance, efficiency, effectiveness and sustainability. This framework was formulated taking into account the objectives of the evaluation and the information sources available. The research methods employed comprised desk research (including analysis of programme data); surveys and interviews with programme implementation bodies and other stakeholders; surveys and interviews with beneficiaries;

⁸ EU Prize for Cultural Heritage; European Border Breaker Awards; EU Prize for Contemporary Architecture and EU Prize for Contemporary Literature.

⁹ Since the period covered by the evaluation, a CCP has been appointed for Montenegro, bringing the total to 35.

¹⁰ See: http://ec.europa.eu/culture/our-programmes-and-actions/doc2488_en.htm

review of a sample of files relating to funded projects, and case studies. In total some 78 interviews were carried out, together with a focus group with CCPs, an exchange of information with the Culture Programme Management Committee and 11 project case studies. Two online surveys were completed: a survey of organisations supported by the programme and a survey of publishing houses supported to carry out literary translations. Response rates for the two surveys were good, at 50% and 40%, respectively, with respondents located in 34 countries.

In terms of potential limitations, many of the customary methodological caveats that are attached to studies of this type also apply here – the extent to which interviewees leading individual projects had views concerning the programme as a whole was necessarily limited, but equally this group offered a range of useful responses about their own experiences. The online surveys provided a valuable evidence base of quantitative data, although, as is the nature of such surveys, these were collected largely against 'closed' questions. Combining (or triangulating) evidence and data from several sources allowed us to address these limitations, with the result that the analysis and conclusions may be considered robust. In addition, given the diversity of strands and the variety of activities across years, processing the programme data provided its own challenges. However, the data presented in this report permits a good analysis of the volume of activity supported thus far in the life of the programme and the drawing of conclusions regarding their expected impact.

The way in which the programme is structured into 'strands' posed a particular challenge for the evaluation, insofar as a balance had to be struck between evaluating each component individually, and considering (and drawing conclusions with respect to) the programme as a whole. By formulating strand-specific questions, but also comparing between strands and grouping strands where appropriate and by making comparisons with the Culture 2000 Programme, we were able to reach a balanced view within the scope and scale of the evaluation.

Main findings

Relevance

The Culture Programme plays a very important role in protecting and promoting Europe's cultural and linguistic diversity as stipulated in Article 3(3) of the consolidated version of the Treaty on the European Union and Article 167 of the Treaty on the Functioning of the European Union, the Charter of Fundamental Rights of the European Union (in particular Article 22) and the European Union's obligations as a Party to the UNESCO Convention.

In terms of the relationship between the programme objectives and the EU Treaty, Article 167 of the Treaty on the Functioning of the European Union sets the general basis for EU support in the culture field, by referring 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*". The requirements set out in Article 167 are met through the programme's general and specific objectives which aim at enhancement of a shared European common cultural area and reinforcing and promoting the EU's political priorities expressed in the Treaty and elsewhere. The programme's operational objectives, i.e. the strands (with their emphasis on mobility, circulation, transnational co-operation and exchanges, cultural diversity and intercultural dialogue) also reflect the aims of EU action envisaged in the Treaty and other international Conventions such as the UNESCO Convention. However, interviews with stakeholders have indicated that a different interpretation of Article 167

might have been desirable and allowed a more specific focus on the challenges facing the European cultural and creative sectors in an era of globalisation and increased digitisation.

Although the programme pre-dates the new European Agenda for Culture, there are, however, strong links between the two. Some forms of support are directly linked to those policy processes (for example, thematic civil society platforms, studies and policy-analysis groupings), whereas other forms are not directly linked but do have the potential to generate good practice and lessons from experience that can inform the policy processes of the European Agenda for Culture (co-operation projects, special actions and literary translation projects for example).

With regard to the relationship between the strands and the specific objectives of the programme, we have concluded that the promotion of the mobility of cultural players and the transnational circulation of cultural works and artistic products are encouraged by the design of the programme. Furthermore, the flexibility afforded to project promoters within the programme enables cultural operators to adopt tailored approaches suited to their needs. In terms of intercultural dialogue, while there is scope and encouragement for relevant activities within the programme, the types of specific activities required to achieve this objective are not always as evident compared with the other two objectives.

The primary activities - co-operation projects and support for EU-level organisations - are strongly relevant to the three specific objectives of the programme. Co-operation projects in particular offer the potential to directly support the organisation of periods of mobility, as well as activities involving the circulation of works. The transnational requirement for partnerships also ensures a degree of intercultural dialogue is inherent in their activities. The bodies supported under Strand 2 are very diverse; however the activities of the ambassadors and festivals might be expected to generate many of the same effects as co-operation projects. Literary translations would be expected to make a very specific and tangible contribution to the transnational circulation objective and indirectly to intercultural dialogue.

Efficiency

The efficiency of the application process and the management of the programme have been considerably improved in comparison to its predecessor, the Culture 2000 Programme. Through procedural modifications, the application process is now clearer and shorter than it was in the past (between 52 and 140 days shorter, depending on the specific Strand) and simplification of the application procedure has greatly contributed to reducing the burden for applicants. Participants in the programme are generally satisfied with these modifications and with the Programme Guide which was introduced to give applicants detailed information on applying for funding.

CCPs continue to provide a satisfactory service and, although still at an early stage, recent changes made to their working arrangements are progressing satisfactorily, including helping to strengthen the working relationship between CCPs and the EACEA. The visibility of the Culture Programme and the Commission's dissemination activities are generally rated satisfactory by beneficiaries, but the evidence also suggests more could be achieved, in particular by carrying out more dissemination and valorisation activities at EU level – though it is emphasised these have also greatly improved since the Culture 2000 Programme.

There has been a high number of applications relative to funding available: only around one in four applications to the co-operation projects strands has been funded and only around one in three applications from organisations active at European level. Demand for support for literary translations is lower, with around one in two of all applications being funded, but this level of expressed demand does not reflect the identified need for more translations into certain languages, notably English and French. In addition, CCPs and other stakeholders have underlined an explicit and latent demand for funding from the programme from cultural operators and a need that has not yet expressed itself in submitted applications. The amount expended to date is generally in line with expectations, as is the allocation between strands. However, the advantages and disadvantages of the co-financing rate should be carefully assessed in the future programme in the light of its objectives and priorities and prevailing circumstances.

The programme has mostly met expectations in terms of participation by type of organisation and geographic balance. It has also enabled a range of non-profit cultural organisations and small and medium-sized organisations to participate. The largest group of participants in the programme is from the performing arts sector (more than half), but there is also a relatively high proportion of “interdisciplinary” actors, reflecting the nature of much contemporary cultural activity. In terms of application rates, the pattern generally shows a satisfactory correlation between participation and country size, with the notable exception of literary translations, where very few applications were received from publishing houses in most of the largest countries and organisations active at EU level, which are dominated by the EU15 countries. Similarly, leadership of co-operation projects is undertaken in greater proportion by organisations from the EU15 countries, reflecting the greater experience of project coordination and capacity available in those Member States, and the potential need for capacity building in some other countries.

Effectiveness

Co-operation projects receive co-financing from the Culture Programme to form transnational partnerships and undertake cultural exchanges and other activities. It is through and within the context of these cultural activities that they promote the three specific objectives of the programme, as well as the transversal objective of promoting cultural and linguistic diversity. Neither the Decision establishing the programme nor the current Programme Guide set out explicitly what the nature, form and content of those cultural activities should be. But the evaluation has identified that projects adopt and pursue their own (multiple) objectives which tend to be explicitly cultural in nature; supporting the development of specific cultural sectors and art forms tends to be the most common, but objectives such as supporting the development of artists and operators, exploring artistic themes, creating new works and promoting access to and participation in culture are also prominent. The evaluation has also identified two broad groups of activities that projects have typically undertaken: *cultural activities* (including exchanges, cultural creation, co-productions, tours and festivals, and exchanges of artefacts); and *support activities* (exchanges of experience and networking, provision of information and practical support, education, training and research).

The Programme Guide does not specify how the activities of co-operation projects should contribute to the three specific objectives of the programme (and to cultural and linguistic diversity), though all projects must address at least two of the objectives and those addressing three are preferred. The evaluation has found that nearly all projects have pursued all three objectives in some way and most felt that they had been successful in the activities that they had undertaken in pursuit of those objectives.

The mobility of players and the circulation of works have typically been undertaken as integrated activities, for example, performing arts organisations that travel in order to perform new works or artists that create and exhibit new works during a period of mobility. Moreover, mobility and circulation have been closely linked to cultural creation with exhibitions and performances typically featuring works newly-created by the partnerships. Support for mobility and circulation has primarily been for the operators within the partnerships themselves rather than for any wider, external set of operators, though some projects have recruited individuals for their activities, e.g. young musicians for tours, renowned performers and experts for events or workshops. Where projects involve performances and exhibitions for audiences, a broader public benefits. Cost remains by far the greatest barrier to mobility and circulation faced by projects and projects have tended not to have difficulties in forming partnerships or in overcoming legal and fiscal barriers to mobility and circulation (except in the case of co-operation with third countries where barriers were prominent). This contrasts somewhat with evidence from a recent report on information systems to support the mobility of artists and other professionals which suggests that the effective and efficient provision of information and advice is challenging for the cultural sector, particularly for individuals.¹¹ As a consequence, it may be necessary to consider the provision of support for information and sharing of knowledge and guidance for cultural operators with a wish or a need to work in another EU country, for example trans-national training modules, or online mobility toolkits. The projects tend not to endure beyond the life of the cultural activities co-financed by the programme. Long-term benefits tend, instead, to be more in terms of the experience and skills gained by individuals as well as greater openness to and capacity for mobility and circulation in future on the part of organisations.

Whilst most projects have pursued intercultural dialogue and four in ten have pursued cultural and linguistic diversity, this has more often been through passive than active approaches. Indeed, many, perhaps the majority of, co-operation projects have viewed intercultural dialogue as an inevitable consequence of bringing together people from different cultural backgrounds or exposing people from one cultural milieu to works or artefacts from another. Intercultural dialogue has thus mainly been an inherent feature of cultural co-operation, rather than its chief rationale. Furthermore, it seems that intercultural dialogue has mostly taken place between the partners and cultural operators directly involved in projects where it has generally been reported to be very rich and beneficial for those involved – though many projects did also include a significant “outward-facing” intercultural dimension. Similarly cultural and linguistic diversity have perhaps been more a feature of transnational working (e.g. through the production of cultural works and literature in different languages undertaken by 55% of all projects) than an objective actively pursued by many projects – though the diversity of new cultural works and products (including those translated) have made an important contribution in that respect.

The experience of the co-operation projects raises the question of how the objectives of the programme should be understood, articulated and promoted in the future. The approach taken by the programme has been to devote a significant share of the resources available to supporting the development of transnational partnerships to undertake cultural activities. These have generated many beneficial effects, not least in terms of the immediate cultural activities and outputs. However, the programme does not perhaps articulate sufficiently clearly and explicitly how the three specific objectives should be interpreted – and thus how and to what extent

¹¹ Information systems to support the mobility of artists and other professionals in the culture field: a feasibility study; ECOTEC Research & Consulting, March 2009.

they should be pursued by projects. This suggests that the objectives, priorities and definitions would benefit from some redefinition in any future programme.

The literary translation projects have enabled a large number of readers, perhaps as many as 1.4m within a three-year period and particularly in some EU12 countries, to access literature that may be considered part of a common European cultural heritage. However, there is a predominance of English and French as source languages (more than four in ten) and a predominance of just five languages (Italian, Hungarian, Slovene, Bulgarian and Greek) as target languages (more than half of all translations). The programme has thus made good progress in promoting the circulation of literature, but not yet fulfilled its potential. In the first instance, there is a need to widen access to works in less-well represented languages (especially some EU12 languages, such as Polish and Romanian) and in doing so support intercultural dialogue. In the second instance, it would seem desirable to support an increase in the number of literary translations into the most widely-spoken EU languages. Since these include some of the dominant world languages, such translations would enable the literature of lesser-used languages to be disseminated much more widely, perhaps even globally, particularly where the target languages serve as pivot languages for further translations. This may be challenging in light of prevailing trends in the commercial publishing sector, however this also makes it all the more urgent in the light of the EU's commitment in both the Treaty and in the UNESCO Convention to protect and promote the EU's cultural diversity.

The grants provided via the Culture Programme significantly favour the circulation of literary translations by reducing the commercial risk normally associated with these types of publications (the results of our online survey suggest that publishing a foreign author doubles the commercial risk compared with the general run of publications). Removing the requirement to have a copyright agreement in place prior to application has also reduced the risk to publishers of participating in the programme. However, there is evidence that further progress needs to be made in finding ways to encourage more literary translations and we would recommend that the Commission explores this issue further.

Grants are provided to support the emergence and further development of organisations active in the culture field at EU level and networking between such organisations; in effect, to help build the capacity of cultural operators to work together at supra-national level and to aid the exchange of experience and good practice. There are instances of organisations making a strong, and in many cases high profile, contribution to the mobility of artists and cultural workers and to the circulation of cultural works (for example through festivals, orchestras and advocacy networks). Strand 2 organisations have also made contributions to encouraging cultural diversity and intercultural dialogue, primarily through bringing people together to take part in shared cultural activities, exchanging information and promoting peer learning through their networking effect.

The advocacy networks and policy support structures – and the knowledge they bring together – are important when it comes to developing measures aimed at mobilising the potential of Europe's cultural and creative sectors to face the challenges identified in the Europe 2020 strategy. Indeed, the two structured dialogue platforms supported by the programme (Platform for Intercultural Dialogue and the Access to Culture Platform) have contributed to stimulating debate and gathering information required for the development of future policies – and notably in activities related to the European Agenda for Culture.

Festivals make a positive contribution to the objectives of the programme, as they attract large numbers of people and therefore offer great potential for international visibility for European cultural expressions, as well as widening public access to such expressions. They can have a strong European dimension without necessarily having a partnership, which is reflected in the recent revision of support to established festivals (defined as having had five previous editions) into projects rather than operating grants. Festivals can also take part in transnational co-operation projects, indeed some have, which further strengthens their European dimension through participation in a partnership with operators in other countries.

Drawing together these conclusions on the effectiveness of the different activities supported, it can be said that the programme has been successful in stimulating cross-border co-operation, supporting artistic and literary creation and improving the circulation of cultural expressions. In this way, it has made an important contribution to the overall aim of the Treaty to promote cultural diversity across Europe, whilst bringing the common cultural heritage to the fore.

Sustainability

In terms of the sustainability of Culture Programme activity, many co-operation projects have generated follow-on opportunities and activities, building solid foundations for future activity, fostering a more European and international outlook among individuals, and forming partnerships that are strong and valuable enough to endure. However, there is also some evidence to suggest that any ongoing co-operation activities (post-EU support) may be much reduced in scale, which is understandable as by its very nature, transnational co-operation entails a certain degree of cost.

Organisations active at European level rely on EU support for operating costs related to the European dimension of part of their activities. For their “core” work with a European focus, there is a call for EU support. However, the evidence suggests that a number of these organisations would continue in some form without an EU grant, again albeit on a reduced scale.

The European prizes would be unlikely to achieve the desired long-term impacts in the absence of EU support, though the two that existed prior to the period of EU recognition (architecture, heritage) might continue to be sustained by the sector in the absence of EU support, but at a much reduced scale. Moreover, withdrawal of EU support would risk reducing the prestige and profile enjoyed by the prize, as well as ending the prestige and profile that the EU itself gains from its association with the prizes. Whilst some of the other special actions are, in a sense, not intended to endure, there is evidence that some of them will be sustained. For example, most European Capitals of Culture (intended to be one-off programmes) have left an enduring legacy for the cities concerned in the form of new cultural infrastructure, new cultural activities, greater capacity within the cultural sector and cultural governance of the cities, a more vibrant cultural scene and a generally improved image.

In terms of the sustainability of the effects of the Culture Programme, the evidence suggests that project results concerning experiential learning are being disseminated mostly to cultural operators involved in the project partnerships, whereas dissemination to “external” audiences is largely via passive media channels such as websites. Tangible project results in the form of books or works of art are disseminated extensively and proactively - thus contributing to the transnational circulation of works. There is also ample evidence that participating organisations and individuals have become more European in their outlook, suggesting a positive outcome in terms of potential multiplier effects in the future. The primary effect on policy is likely to be the

generation of results and outputs that are relevant to policy-makers, rather than the direct formulation of new policies. In terms of organisations active at EU level, the principal policy effects have resulted from the policy groupings, advocacy networks and stakeholder platforms.

Recommendations

We offer here recommendations for the European Commission relating to the continued implementation of the current Culture Programme 2007-13, as well as to the design and development of any new programme for culture post-2013.

Current programme

1. The Commission should continue to review the level of grants provided for literary translations to ensure they are consistent with prevailing market rates in each country.
2. There is no direct advantage to continuing support for festivals as a discrete sub-strand within Strand 2. Such support has been changed in the new Programme Guide published in May 2010, with a specific sub-strand created under Strand 1, so that they can be supported as projects rather than via operating grants. Festivals can also continue to apply for co-operation projects provided they meet the relevant criteria, e.g. are based on a co-operation agreement.
3. The introduction of changes to the working arrangements of CCPs should be completed, making any adjustments as necessary as the process advances, to ensure continuous improvement, with a view to ensuring the best possible service to cultural operators.
4. Annual visits to projects by EACEA should be continued in order to assist beneficiaries and ensure EACEA's familiarity with the content of projects.
5. Final reports should require co-operation projects and organisations active at the European level to state the numbers of individuals benefitting from periods of mobility.
6. Current efforts to promote project results through annual conferences and publications should be continued and, if resources permit, further activities of this nature should be considered. CCPs could invite project beneficiaries to share their experience at local 'info-days'.

Future programme

7. The general and specific objectives of the future programme should be revised to reflect developments since the last programme was designed, including changes affecting the cultural sector and policy developments such as the EU2020 Strategy, its flagship initiatives, and the European Agenda for Culture.
8. Consideration should be given to the appropriate level of maximum co-financing within the programme. A relatively low level of maximum co-financing permits a larger number of projects to be funded; however an excessively low level of co-financing may dissuade operators from applying and being able to carry out ambitious projects. Indeed, if the co-financing level does not reflect realities (e.g. severe cuts in public funding at the national level, an economic downturn making it more difficult to procure private sponsorship,

etc), a large number of cultural operators could effectively find themselves excluded from applying under the programme and this could inadvertently prevent the programme from being able to achieve its objectives. The advantages and disadvantages of the co-financing rate should therefore be carefully assessed in the future programme in the light of its objectives and priorities and prevailing circumstances.

9. The interdisciplinary approach of the programme should be continued, reflecting the reality of developments in the cultural sector, including the impact of digitisation, in which boundaries between sectors are becoming more fluid and cross-sectoral experimentation is common.
10. Consideration should be given as to whether the distinction between multi-annual and two-year co-operation projects should be retained in the light of the fact that they pursue the same objectives.
11. Consideration should be given to the third country dimension as the current approach of selecting one or more countries for a specific year appears to have limited demonstrable long-term impact since it lacks critical mass.
12. Since many barriers to mobility and circulation continue to exist despite the single market and freedom of movement for workers, consideration should be given to including support for better information/intelligence and guidance for cultural operators needing to work in another EU country.
13. DG EAC and the EACEA should consider ways in which more literary translations can be encouraged from under-represented languages (particularly those in new Member States) into more dominant ones which often serve as pivot languages for further translations and would therefore make a valuable contribution to promoting cultural and linguistic diversity. Consideration should be given to other initiatives to help stimulate the translation of literature.
14. Consideration should be given to changing the category 'Advocacy networks' in favour of reverting to 'networks' as organisations do not necessarily have to have an advocacy role in order to bring substantial benefits to artist mobility, the circulation of works, etc.
15. The evaluation has shown the need for and the potential of the programme to stimulate new, creative and innovative developments and structures, but that the costs entailed by transnational co-operation can make it difficult to sustain structures or projects beyond the duration of the EU grant. For this reason, thought should be given as to how future award criteria can strike a balance between encouraging the emergence of new and innovative activities and structures, whilst ensuring that established structures that are playing a continued, fundamental role in promoting the objectives of the programme and with a clear European added value are not penalised.
16. Consideration should be given to the role, working arrangements and processes for the appointment of CCPs in any new programme. Where necessary, these should be revised to reflect the requirements of the new programme and in light of good practice in other EU programmes.
17. Management of the future programme should be as streamlined and light as possible, in the interests of applicants and beneficiaries within the possibilities offered by the Financial Regulations, building upon the progress made under the current programme.

1.0 Introduction

1.1 Purpose and scope of this report

This report presents the results of the interim evaluation of the EU's Culture Programme (2007-2013), carried out by Ecorys UK on behalf of the European Commission's Directorate-General for Education and Culture (DG EAC), under the Framework Contract on Evaluation, Impact Assessment and Related Services - EAC/03/06. The Terms of Reference are presented at Annex One.

The evaluation is intended to support the Commission in satisfying the requirement placed upon it by the Decision establishing the Culture Programme ("the Decision") to ensure *"regular, external and independent evaluation of the programme"* as well as to submit to the European Parliament, the European Council, the European Economic and Social Committee and the Committee of the Regions *"an interim evaluation report on the results obtained and on the qualitative and quantitative aspects of the implementation of the programme no later than 31 December 2010"*.¹² To that end, it covers all actions and geographic areas of the programme during the period 2007-09, with the exception of the European Capitals of Culture (ECOC). The ECOC are the subject of separate evaluations, though this evaluation has made use of the available evaluation covering 2007-08. This evaluation has concentrated on complementarity between ECOC and the rest of the programme, as well as the efficiency and effectiveness of the budget allocated from the Culture Programme to the ECOC.

This report has been prepared at the end of an eleven-month programme of research which began in July 2009. It describes the programme and its context, presents research findings based on the criteria of relevance, efficiency, effectiveness and sustainability and offers a set of conclusions and recommendations – for the current programme and for any future programme on culture. The technical details of the evaluation are collated in a series of Technical Annexes to this report.

1.2 Situating the evaluation

Culture found a place in the body of EU policy with the 1993 Maastricht Treaty which set the broad parameters for intervention through Article 151 which states that the EU *"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"*.¹³ It identified the key areas for action as encouraging cooperation between Member States and with third countries and other relevant international bodies such as the Council of Europe. The main mechanisms through which these policies were implemented initially were the Kaleidoscope, Ariane and Raphael programmes which ran until 1999 and which, respectively, encouraged artistic and cultural creation and co-operation with a European dimension, supported books and reading, including translation and complemented Member States' policies in the area of cultural heritage of European significance.

¹² Decision No 1855/2006/EC of the European Parliament and of the Council of 12 December 2006 establishing the Culture Programme (2007 to 2013)

¹³ Following the adoption of the Lisbon Treaty, Article 151 was renumbered as Article 167.

These strands were drawn together into one programme, Culture 2000, the immediate seven-year predecessor to the subject of this evaluation. Culture 2000 had a very broad set of objectives, some relating to the promotion and enhancement of culture, cultural diversity and creativity and others relating to the role of culture in achieving socio-economic objectives. The programme had three actions to support artistic and cultural projects with a European dimension. Activities supported included festivals, master classes, exhibitions, new productions, tours, translations and conferences. In addition to bringing together existing actions, it also, for the first time, made provision for grants to be made to cultural co-operation projects across the whole range of artistic and cultural fields. The final evaluation of Culture 2000 found that the programme had achieved all of its objectives to some extent and produced a wide range of impacts on people, cultural practice and cultural policy. However, it identified weaknesses in certain elements of the programme management (e.g. relating to the length of the application process) and in the “*learning*” element of the programme, i.e. in terms of increasing the exchange of information or good practice between countries, serving as a source of information and best practice for inter-cultural policy and disseminating the achievements of the programme.

In light of the experience of Culture 2000, a number of important changes were incorporated into the design of the current Culture Programme 2007-13. First, a shorter, more focussed set of specific objectives was adopted – promotion of the transnational mobility of cultural players, encouragement for the transnational circulation of works and cultural and artistic products, and encouragement of intercultural dialogue. Second, a different set of activities was supported; some representing a modification of the types of activities supported under Culture 2000 (such as cultural actions undertaken by transnational partnerships) and others representing existing activities that had previously been supported by funding earmarked by the European Parliament (such as support for organisations active at the European level in the field of culture). Management of those elements of the new programme with a significant “*volume*” aspect was retained within the Education, Audiovisual and Culture Executive Agency (EACEA), whilst other elements continued to be managed by DG EAC.

As we see in the remainder of this report, the efficiency of the programme management arrangements of the Culture Programme 2007-13 are considerably improved compared to those of its predecessor, Culture 2000. The EACEA – which only came into existence in the year before the programme began – has become more efficient over the life of the programme and a number of modifications have reduced the time taken to assess and approve applications, as well as making the process clearer. The current programme has also made very important progress since the Culture 2000 programme in enabling more extensive transnational co-operation in the cultural field, leading to enhanced mobility of artists and greater circulation of works. It has also helped to showcase cultural diversity and reach out to citizens across Europe.

This interim evaluation comes at a very opportune moment in that the Commission is about to start the process of assessing the likely impact of any new programme on culture post 2013. In framing recommendations (for both the current programme and any new programme beyond 2013), we must take account of recent developments in the cultural sector and in EU policy, which we summarise here.

Looking at developments over recent years, we see that culture has widely come to be seen not just as a legitimate focus for policy in its own right but as providing myriad social and economic benefits; indeed, the economic and social benefits of culture have been well proven by numerous studies at national and European level. For example, a recent study carried out on behalf of the Commission has estimated that

the contribution of the sector amounts to some 2.6% of Gross Domestic Product across the 30 EU/EEA Member States.¹⁴ The same study also highlighted the more indirect contribution of culture to the European economy, in particular the strong - but still largely underestimated - correlation between, on the one hand culture and creativity and, on the other, innovation and the wider economy. This contribution of culture to Europe's economic development – achieved in part through its ability to stimulate creativity and innovation – is of increasing interest given the onset of the global economic downturn. Notwithstanding the surge in public 'investment' spending that preceded it, the recent downturn offers the prospect of significant public spending reductions in the longer term. In the past, cultural activities have tended to be seen as more expendable in such circumstances than activities that have a more direct effect on economic circumstances (e.g. unemployment support) or on social well-being (e.g. healthcare). It remains to be seen whether recognition of the role of culture has developed to the point where it is no longer seen in such a way.

The recent downturn – coming after a period of migration on a scale arguably unprecedented in peacetime Europe - also brings with it the prospect that racism and xenophobia will become more prominent as countries and communities become more inward-looking. In this context, there is recognition of the need to encourage interaction between communities with different cultures and heritages and build understanding, trust and solidarity between different people. The role of culture in encouraging such "*intercultural dialogue*" – through improving citizens' knowledge and appreciation of other European cultures - is at the very heart of European policy, for example, as set out in Article 167 of the Treaty. Looking ahead then, it can be anticipated that EU action in the field of culture will continue to be required to encourage intercultural dialogue.

Looking at developments in EU policy, we see that current policy documents explicitly reflect the challenges facing the culture sector that we have just described. The Commission's main strategy for culture which was introduced in 2007 – the European agenda for culture in a globalizing world¹⁵ - sets out a new set of objectives and ways of working to take cultural cooperation within the EU to a new level. It defines three broad objectives:

- promotion of cultural diversity and intercultural dialogue;
- promotion of culture as a catalyst for creativity in the framework of the Lisbon Strategy for growth and jobs; and
- promotion of culture as a vital element in the Union's international relations.

As we discuss later in this report, the current programme pursues the first and the third of these broad objectives (particularly the first) through its support for cultural activities undertaken in the context of transnational co-operation. It pursues the second objective more indirectly through support for cultural creation and also through allowing supported projects and organisations the flexibility to pursue this objective more specifically if they wish. The programme explicitly pursues the third objective of the European Agenda for Culture through its support for cultural exchanges with third countries and for international organisations – although this support forms a very modest part of the programme. Given

¹⁴ The Economy of Culture in Europe, KEA European Affairs, 2006

¹⁵ Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on a European agenda for culture in a globalizing world; COM(2007) 242 final.

this situation, there may be a need to realign the activities of the current programme (where possible within the constraints of the current legal basis) and also the objectives of any new programme. For example, it may be desirable to put a greater emphasis on what we have called “*support actions*”, i.e. *practical forms of support that might enhance the capacity of the cultural sector to promote “growth and jobs”*, such as support for developing managerial competences, entrepreneurship, knowledge of the European dimension/market, access to funding.

The challenges facing the cultural sector are also highlighted in the DG EAC Annual Management Plan (AMP). This document sets out three specific objectives under the thematic area of “*Culture*”:

- Create a supportive environment for artistic creation and cultural works/operators with a view to promoting cultural diversity and creating jobs and economic growth.
- Support European cultural co-operation by promoting intercultural artistic creation, new professional pathways for artists, increasing the circulation of cultural works throughout Europe as well as the audiences for non-national European works, with a view to promoting cultural diversity enhancing intercultural dialogue and promoting a sense of European citizenship.
- Promote the systematic integration of the cultural dimension in all external and development policies and programmes, and develop political dialogue and cultural exchanges with third countries, with a view to integrating the cultural dimension as a vital element in the EU’s international relations.

Again, the current programme is contributing progress to all three of these objectives, but it may be necessary to refocus any future programme on culture more specifically on these objectives.

The debate in European policy relating to the economic dimension of the cultural sector has also been further developed by a recent European Commission Green Paper on *Unlocking the potential of cultural and creative industries*.¹⁶ The Green Paper aims to spark a debate on the requirements of a truly stimulating creative environment for the EU’s cultural and creative industries (CCIs). It poses questions related to the use of policies and instruments at all levels of governance (and the potential for greater coherence and coordination among them) in order to unlock the potential of CCIs in Europe. Policymakers, bodies within the CCIs and other operators have been invited to suggest priorities for action at European level. Whilst this consultation process has been undertaken earlier and separately from the Culture Programme, the results of this consultation will provide important evidence to be taken into account in the design of any new programme on culture in the period beyond 2013.

Since the adoption of the European Agenda for Culture, the European Council has also adopted a new overarching strategy to guide broader European policy over the next decade. The Europe 2020 Strategy - the successor to the ten-year Lisbon Strategy - is intended to focus activity around three mutually reinforcing priorities:

- smart growth: developing an economy based on knowledge and innovation;
- sustainable growth: promoting a more resource-efficient, greener and more competitive economy;
- inclusive growth: fostering a high-employment economy delivering social and territorial cohesion.

¹⁶ Green Paper on Unlocking the potential of cultural and creative industries; COM(2010) 183

Again, the priorities of this new strategy may require a realignment in the activities of the current programme and also the objectives of any new programme. This realignment will need to take the overarching priority of “*smart, sustainable, inclusive growth*” into account, as well as the seven flagship initiatives the Commission is putting forward with the intention to catalyse progress. Whilst these do not explicitly refer to the role of culture, some will certainly be of very great relevance to the cultural sector, notably the “*Innovation Union*”, which aims to ensure that innovative ideas can be turned into products and services that create growth and jobs; “*Youth on the move*”, which aims to encourage mobility of young people; and “*A digital agenda for Europe*”, which aims to speed up the roll-out of high-speed internet and reap the benefits of a digital single market for households and firms – highlighting the need for new digital cultural content; and the “*European platform against poverty*”, which aim to ensure social and territorial cohesion.

It is in this context, then, that the interim evaluation is taking place – a time when EU action in the field of culture is achieving ever greater coherence, recognition and “reach” and yet the challenges arising from a global economic downturn (pressure on public budgets, risk of intercultural conflict) and the corresponding policy response suggest the need for a realignment in the objectives pursued by such action.

1.3 Structure of this report

The following sections are presented in this report:

- Description of the Culture Programme.
- How the programme was evaluated (including the evaluation questions, research methods used and intervention logic and objectives against which it was assessed).
- Results of the evaluation by key criteria of relevance; efficiency; effectiveness and sustainability.
- Overall conclusions and recommendations.
- Technical Annexes containing background and supporting information.

2.0 The Culture Programme 2007-13

2.1 Objectives, structure and budget

The Culture Programme plays a unique role in providing support for European cultural co-operation. Global and specific objectives for the Culture Programme have been set by Decision 1855/2006/EC.

Table 2.1 Objectives of the Culture Programme (taken from Decision No. 1855/2006/EC, Article 3)

Global Objectives
Enhance the cultural area shared by Europeans and based on a common cultural heritage with a view to encouraging the emergence of European citizenship, through the development of cultural co-operation between creators, cultural players and cultural institutions.
Specific Objectives
<ul style="list-style-type: none">• Promote transnational mobility of cultural players• Encourage the transnational circulation of works and cultural and artistic products• Encourage intercultural dialogue

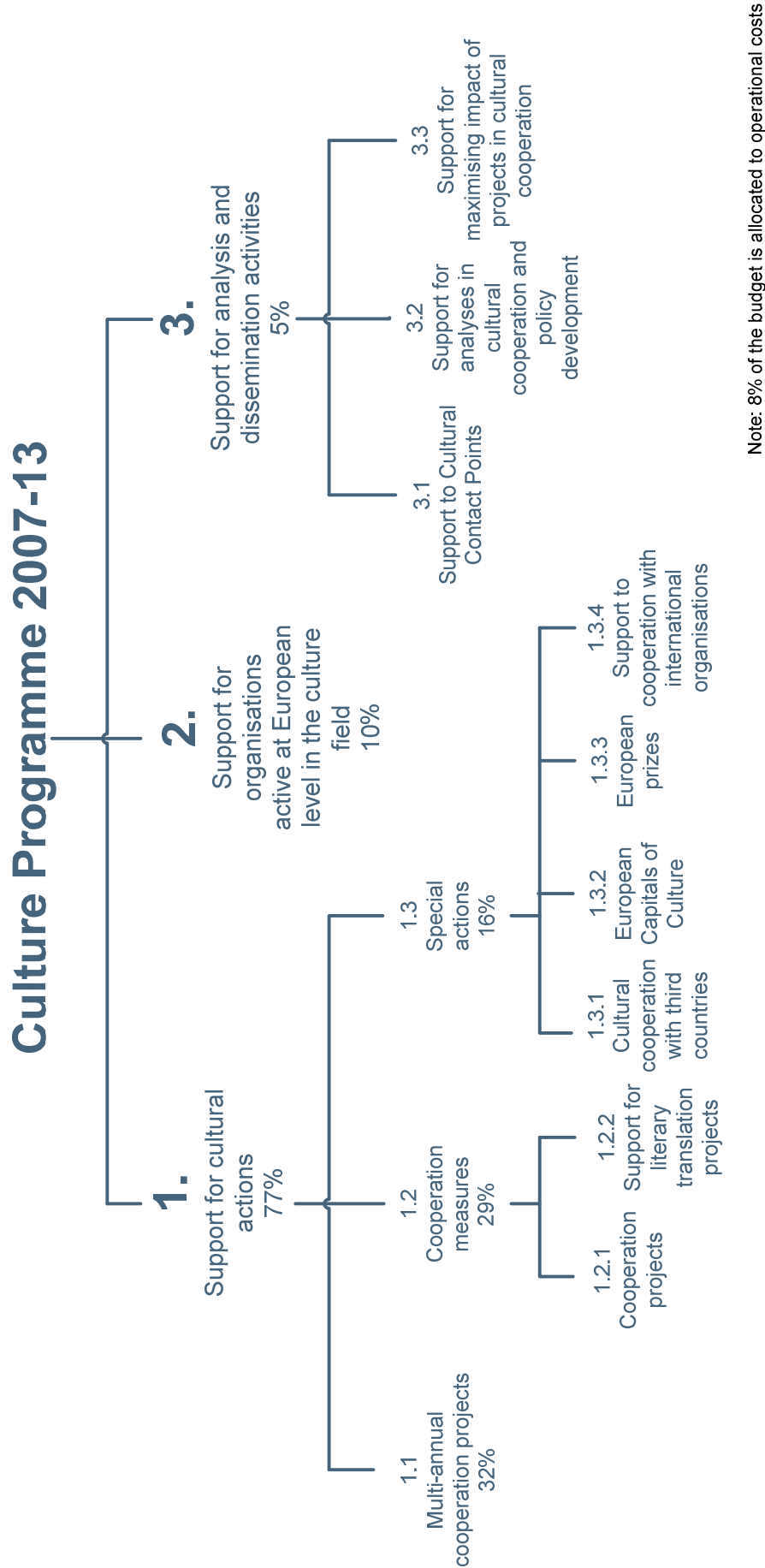
The programme has a budget of €400m and is implemented via three strands:

- The largest strand – accounting for more than three quarters of the budget - is **‘Support for cultural actions’ (Strand 1)** which is mainly allocated to cross-border cooperation between cultural operators and support for literary translation. Also included in this strand are a set of *‘special actions’* which consume fewer resources but are designed to have a significant, high profile and symbolic impact at European level. This sub-strand is intended to: (i) support activities that are substantial in scale and scope which have a significant effect on Europeans’ sense of belonging to the same culturally diverse community and which also contribute to intercultural and international dialogue; (ii) raise the visibility of Community cultural action both within and beyond the EU; and (iii) raise global awareness of the wealth and diversity of European culture. Strand 1 also includes cultural cooperation with third countries, which, although consuming only a small proportion of the total budget and comprising only a small number of projects, plays an important role in the external relations of the EU.
- Ten per cent of the budget is allocated to the **Strand 2** which provides grants to support the growth and development of **organisations active at European level in the culture field**, in other words to help to build the capacity of cultural sectors to work together at a supra-national level. Organisations are supported across a range of activity including acting in a representative manner as ambassadors or as advocacy networks (where their country span is sufficiently broad and their member base sufficiently deep), or as structured dialogue platforms enabling the sector to interact effectively with the Commission, or as policy analysis groupings, or finally as promoters of supranational festivals.
- **Strand 3** essentially comprises a set of **accompanying measures** to support the main activities of the programme, i.e. the CCP network, studies and analysis, and finally dissemination activities.

Figure 2.1 shows the structure of the programme with the intended budget for each strand in brackets.

Figure 2.1 Structure of the Culture Programme (based on the legal basis)

(NB: intended budget allocation is in brackets)



2.2 Activity in 2007-09

2.2.1 Co-operation projects

Table 2.2 provides an overview of the outputs co-financed by the Strands of the programme over the 2007-09 period related to transnational co-operation projects (Strands 1.1, 1.2.1 and 1.3.1). There are a few gaps in the available data (mainly relative to 2007¹⁷) which makes it difficult to draw conclusions within the same confidence interval (or margin of error) for each of the strands; where reasonable to do so, estimates have been made to try to fill these gaps. The main points to note are the following.

Thirty **multi-annual cooperation projects (Strand 1.1)** have been funded, which involve at least 287 organisations.¹⁸ The mean average EU funding per project is €1.79m, which compares to the maximum available of €2.5m¹⁹, indicating that projects might be tending to fall towards the higher end of the budget spectrum and suggesting that they might be being quite bold in their aims and objectives. This is also evidenced by the fact that the average number of organisations per project is 9.9²⁰, which is high compared to a programme requirement for each project to involve at least six operators. A good coverage of countries has been obtained.

As intended by the structure of the programme, a much larger number of smaller **cooperation projects (Strand 1.2.1)** has been funded, involving an estimated 1163 organisations²¹. The mean average EU funding per project stands at €174k, compared to an intended budget envelope of €50k to €200k²², which means that projects have tended to fall around the top quartile of the range. The mean average number of organisations per project is 4.2, which compares to a requirement for at least three operators per project. Again, a comprehensive spread of organisations across eligible countries has been achieved.

Thirty-two projects involving **cultural cooperation with third countries (Strand 1.3.1)** have been supported involving around 200 (140 organisations in European countries and 60 organisations from third countries), with a mean average of about six organisations per project, and a mean average EU funding of €165k, which is slightly below that for Strand 1.2.1 which has the same intended budget envelope of €50k to €200k. This strand makes an important contribution to the objectives of the Agenda for Culture by promoting culture as a '*vital element in the Union's international relations*'. The target countries in each year were as follows:

- 2007: China and India, reflecting the priorities of the EU's international relations at the time; of the 26 applications submitted, some 13 received co-funding. These 13 projects were led by cultural operators in eight different countries, including five in the UK. Ten projects involved operators in China and five involved operators in India (two projects involved operators in both China and India).

¹⁷ This is due to the fact that the current EACEA IT system used for selection was not in place in 2007.

Consequently the Agency did not possess the same level of details on the selection process for 2007 that it has for the following years.

¹⁸ The figure for the precise number of co-organisers involved in 2007 was not available.

¹⁹ Calculated on the basis that projects must run for between three and five years with grants of up to €500k per annum.

²⁰ Based on 2008 and 2009 data only.

²¹ Op cit

²² Calculated on the basis that projects can be of up to two years' duration with grants of €50k-€200k.

- 2008: Brazil; of the 33 applications submitted, seven were selected, involving 32 organisations in European countries. Only two of these organisations were not from "old" Member States – one from Bulgaria and one from Turkey. Seven were from Italy and five each from France and Portugal
- 2009: countries addressed by the European Neighbourhood Policy (ENP) and EU eligible third countries: Armenia, Belarus, Egypt, Georgia, Jordan, Moldova, occupied Palestinian Territory and Tunisia. In total, 42 applications were received. Of these, 14 projects were selected involving 45 organisations from European countries and 24 from third countries. Of the fourteen co-ordinators, four were from France.

Table 2.2 Co-operation projects supported by the Culture Programme in 2007-09

Strand	2007	2008	2009	TOTAL
Multi-annual co-operation projects (1.1)				
No. of projects	10	11	9	30
No. of organisations involved (all)	Min. 60	120	101	Min. 281
Funding allocated	€17.3m	€16.6m	€16.7m	€51m
Co-operation projects (1.2.1)				
No. of projects	78	92	87	257
No. of organisations involved (all)	324	410	429	1163
Funding allocated	€12m	€15.3m	€15.4m	€42.7m
Cultural co-operation with third countries (1.3.1)				
No. of projects	13	7	14	34
No. of European organisations involved (all)	57	26	45	128
No. of third country partners	25	14	24	
Funding allocated	€1.9m	€1.3m	€2.1m	63
Target countries	China, India	Brazil	EU neighbourhood and EU eligible third countries*	€5.3m

Note: Years refer to financial years.

* Armenia, Belarus, Egypt, Georgia, Jordan, Moldova, occupied Palestinian Territory and Tunisia

2.2.2 Literary translations

With regard to literary translations (Strand 1.2.2) over 1000 translations have been funded to date under the programme and the possible size of grant for which publishing houses can apply is €2k-€60k. Before 2009, the grant was based on a detailed budget. Since 2009, and in the case of works of fiction, the amount of grant is calculated on the basis of a pre-determined flat-rate per page for each language multiplied by the number of pages. Due to the more complex nature of translating poetry, here the grant is still based on a detailed budget.

Table 2.3 Literary translations supported by the Culture Programme to date

Strand	2007	2008	2009	TOTAL
Literary translation projects (1.2.2)				
No. of projects	42	95	87	224
No. of translations funded	248	433	370	1046
Funding allocated	€1.3m	€2.3m	€1.9m	€5.5m

Note: Years refer to financial years.

2.2.3 European organisations

The programme has provided 163 grants for organisations active at European level in the field of culture. These have been through annual grants and, as from 2008, through framework partnership agreements (multi-annual grants) and annual grants. These grants have supported four types of organisation:

- ambassadors: organisations which, through their influence in the cultural field at European level, have a clear aptitude to be “*representatives*” of European culture and, as such, can fulfil their role of European Cultural Ambassadors;
- advocacy networks: which gather members from at least fifteen countries taking part in the programme (or ten countries, when those members are organisations representing cultural operators at national level, such as national federations) and which ensure a significant representation of a specific category or categories of cultural operators or cultural fields at European level;
- festivals: organisations staging festivals which perform supranational activities with clear European added value and geographical outreach as well as broad visibility. Festivals must include artists or works from at least seven countries, have to be renowned and recognised at European level and must have held at least five editions;
- as from 2009, policy support structures for the European Agenda for Culture: organisations actively engaging in a structured dialogue with the European Commission on the basis of a specific process as well as to groupings developing policy analysis supporting the objectives of this Agenda and more particularly with the five priority areas for action for the period 2008-10 endorsed at European level by the Council.

The table below presents the number of grants awarded. It should be noted that 28 of the organisations receiving annual grants in 2007 also received grants in 2008 and/or 2009. Similarly, just one cohort of 37 organisations was selected (in the 2007 call for proposals) to receive annual grants through multi-annual framework partnership agreements covering the three years 2008-10.

Table 2.4 Number of grants to organisations active at European level provided by the Culture Programme 2007-09

Strand	2007	2008	2009	TOTAL
Support for organisations (2)				
No. of annual grants:				
- ambassadors	6	2	4	12
- advocacy networks	24	6	4	34
- festivals	14	14	8	36
- structured dialogue platforms	0	0	2	2
- policy analysis groupings	0	0	5	5
- TOTAL	44	22	23	89
No. of annual grants provided through multi-annual framework partnership agreements ²³ :				
- ambassadors	0	8	8	16
- advocacy networks	0	23	23	46
- festivals	0	6	6	12
- structured dialogue platforms	0	0	0	0
- policy analysis groupings	0	0	0	0
- TOTAL	0	37	37	74
TOTAL NUMBER OF GRANTS	44	59	60	163
Funding allocated	€4.8m	€6.8m	€6.9m	€18.5m

Note: Years refer to financial years.

2.2.4 European Capitals of Culture (Strand 1.3.2)

Two cities were designated in each of the years covered by the evaluation (2007-09).²⁴ As well as being awarded the title, each ECOC receives funding of up to €1.5m from the Culture Programme for specific cultural projects. This funding is available for activities intended to *"help implement activities stressing European visibility and trans-European cultural co-operation."* Such funding can constitute no more than 60% of the budget of the specific projects. In practice, the EU funding constitutes only a small proportion of the total spend on ECOC by each title holder, and hence a very high rate of leverage is an important characteristic of the inputs made and outputs realised. The projects funded in 2007-09 were as shown in the table below.

²³ As noted above, one cohort of 37 organisations was selected (in the 2007 call for proposals) to receive annual grants through multi-annual framework partnership agreements covering the three years 2008-10.

²⁴ The legal basis laying down the selection and monitoring processes for the ECOC requires that the Commission ensures each year the external and independent evaluation of the results of the Capitals of the previous year. In this context, a specific evaluation was carried out in 2009 for the 2007 and 2008 European Capitals of Culture and an evaluation of the 2009 ECOC has recently been completed.

Table 2.5 European Capitals of Culture, 2007-2009

European Capitals of Culture 2007
Luxembourg and the Greater Region received €1.375m of EU funding for its cultural programme, representing just over 2% of total funding. The funding was specifically used to co-finance activities taking place at the Rotundas in the city of Luxembourg, which featured a wide variety of different art forms and artists from different countries.
Sibiu received €1.4m of EU funding for its cultural programme, representing 8% of total funding. The funding was specifically used to co-finance the series of ten closing events which featured artists from different countries and took place in five venues in December 2007.
European Capitals of Culture 2008
Liverpool received EU funding of €901k for the <i>"Cities on the Edge"</i> project, a cultural partnership with five other European port cities (Bremen, Gdansk, Istanbul, Marseille and Naples) and involving art, film, music, performance, conferences and lectures. Cities on the Edge included activities such as 'Streetwaves' which brought young performers from across the participating cities together for a concert in Liverpool.
Stavanger received €1.49m of EU funding for the <i>"New experiences across boundaries"</i> project, which facilitated collaboration between local people and cultural operators and artists from around the world, including artists-in-residence.
European Capitals of Culture 2009
Linz received EU funding of €1.5m for a cluster of projects entitled <i>"Linz 09 dialogue"</i> which focussed on young people in particular. Specific projects included <i>"Acoustic City" / "Akustikon"</i> , the Kepler Salon (a showcase for the sciences and the interface between research and daily working life), <i>"Extra Europa"</i> (2-day symposium, including the European Youth Parliament Forum), <i>"Linz 09 School Book"</i> (projects for schools), <i>"Teaching Contemporary History"</i> (a how-to manual for confronting a difficult chapter in European history), <i>"I like to move it, move it"</i> (involving 1,000 pupils in dance/performance working with internationally renowned choreographers, directors, actors and performers) and activities for communication / dissemination across Europe.
Vilnius received EU funding of €1.5m for the <i>"European School of Arts"</i> project. This project provided support to young artists and to higher education schools of art. Two types of activities were implemented: creative workshops and residencies for young artists; co-operation projects between higher schools of art. In total, 13 sub-projects were implemented which supported 800 foreign and Lithuanian art students and young artists, with the results of these activities being disseminated to a wider audience.

2.2.5 European prizes in the field of culture (Strand 1.3.3)

The EU has various cultural prizes, for a total allocation of about €1 million per annum. These are described below:

a) The EU Prize for Cultural Heritage/Europa Nostra Awards

The EU Prize for Cultural Heritage was launched in 2002 to celebrate outstanding European cultural heritage activities. Operational aspects are undertaken by Europa Nostra. The 2010 Awards Ceremony

took place in Istanbul (Turkey) on 10 June 2010.²⁵ For this round of awards, around 140 projects were nominated from 26 countries and 29 entries received an award. In 2009, 138 awards' dossiers were received from 24 countries across Europe. Seven Grand Prizes were awarded to projects in six countries. In 2008, a total of 109 applications and nominations from 29 countries were received by Europa Nostra in the various categories and assessed in situ by independent experts (the four categories comprise conservation, research, dedicated service and education, training and awareness-raising). The best in each category were selected by one of four Heritage Award Juries, with the top six being awarded a Grand Prize of €10,000 each. In 2007, five prizes were awarded to projects in eight countries. Previous Grand Prize winners in the category of conservation have included the restoration and reconstruction of the Church of Saints Faustino and Giovita (Italy) which sought to reinforce the building while maintaining the authenticity of its historic elements and style. In the category of research, they have included the Noah's Ark Project on global climate change impact on built heritage and cultural landscape (Italy). Grand Prizes are presented to individuals and/or organisations for dedicated service to heritage protection. For example, one previous Grand Prize winner in the education, training and awareness-raising category was the Sustainable Aegean Programme which raised awareness about the importance of sustainable development in an area rich in cultural heritage.

b) The European Border Breaker Awards

The aim of this prize is to help debut artists develop cross-border careers, increase public awareness of the range of European pop music, promote public interest in non-national music and stimulate the transnational circulation of European repertoire. The European Border Breaker Awards is awarded to ten debut musicians each year who have successfully crossed national borders and reached audiences in other countries participating in the programme.²⁶ Former winners of the award include artists such as Carla Bruni, Tokio Hotel, Damien Rice, The Thrills, Gabriel Rios, The Fratellis, Basshunter, and Dolores O'Riordan.²⁷ The 2007, 2008 and 2009 editions of the EBBA award ceremony (including the juries and awards process) were organised by Media Consulta in cooperation with MTV. In 2009, the event was presented by the British musician and television presenter Jools Holland and took place during the EuroSonic/Noorderslag Festival in the Oosterpoort Theatre in Groningen in the Netherlands (on 15 January 2009). The event was shown on television in twelve European countries (reaching 2m viewers in the Netherlands alone) and broadcast by 24 radio stations in eighteen European countries.

c) The EU Prize for Contemporary Architecture

This prize is currently organised by the Fundació Mies van der Rohe, which organises the jury and selection procedure for this award. It dates back to 1988 and is considered by many to be one of the most prestigious architecture prizes in the world. The prize is awarded every two years to recognise and commend excellence in the field of architecture. For each biennial edition the jury selects two works: one receives the Prize (an amount of €60,000) and the other the Emerging Architect Special Mention, (an

²⁵ For more information see www.europanostra.org.

²⁶ From 2009 the artists receiving this award are selected on the basis of the following criteria: 1) Original international debut album of artists or groups from a country participating in the Culture Programme, 2) Sales in countries participating in the Culture Programme, outside the country of production, 3) Sales during the last year, 4) Airplay on European Broadcasting Union radio stations, 5) Experience in touring outside the country of origin and ability to perform live.

²⁷ For a list of past winners, see: www.european-border-breakers.eu/index.html.

amount of € 20,000), both in recognition of their conceptual, technical and constructional qualities. In 2007, the Prize winner was the Contemporary Art Museum of Castilla y León (Spain) by Mansilla and Tuñón, whilst the recipient of the Special Mention was the Department of Mathematics, Faculty of Physics and Mathematics building in Ljubljana (Slovenia) by Bevk Perovic arhitekti. In 2009, the Prize winner was the Norwegian National Opera & Ballet in Oslo (Norway) by Snøhetta and the recipient of the Special Mention was Gymnasium 46°09'N/16°50'E in Koprivnica (Croatia) by Studio UP.²⁸ Other former award-winning projects include: the Car Park and Terminus Hoenhiem North in Strasbourg (France) by Zaha Hadid and the Netherlands Embassy Berlin (Germany) by Rem Koolhaas and Ellen van Loon.

d) The EU Prize for Contemporary Literature

The aim of this new prize is to 'put the spotlight on the creative and diverse wealth of Europe's contemporary literature, promote the circulation of literature within Europe and stimulate a greater interest in non-national literary works, thereby contributing to cultural diversity and intercultural dialogue'. It is intended to differ from other literary awards by seeking to promote the full diversity of literature in all the European countries taking part in the Culture Programme. The prize consists of an award to 'an emerging talent' from participating countries (over a period of three years a prize winning author from each of the countries participating in the Culture Programme will have been selected). The first edition of the prize was awarded to the selected authors²⁹ during a ceremony in the Flagey arts centre in Brussels on 28 September 2009.

The prize is co-financed by the Culture Programme and by a consortium composed of the European Booksellers Federation (EBF), the European Writers' Council (EWC) and the Federation of European Publishers (FEP). The consortium asked national sectoral bodies to establish a jury for the selection of this prize within their country. The European Writers' Council, in close cooperation with EBF and FEP, was responsible for coordinating the jury organisation and selection procedure in each country.

2.2.6 Support for international organisations (Strand 1.3.4)

The purpose of the support offered under this strand is to allow joint action with international organisations which are competent in the field of culture. To this end, Strand 1.3.4 has funded conferences within the context of the European Presidency on the topics which are relevant to EU policy priorities in the field of culture. It has also supported cultural collaborations between the Commission and the Council of Europe on the basis of joint contributions. These have included:

- *"European Heritage Days"* (which attracted over 25m visitors in 2009), a joint action of the Council of Europe and the Commission which offers an annual programme of opportunities to visit buildings, monuments and sites, many of which are not normally accessible to the public, with the aim of widening access and fostering care for architectural and environmental heritage.
- *"Intercultural Cities"*³⁰ a joint action with the Council of Europe supported by €447k of funding from the Culture Programme over the years 2007-10. In this project, a dozen municipalities review their

²⁸ For a list of all previous winners and participants, see: www.miesarch.com.

²⁹ For a list of the winning authors see:

<http://europa.eu/rapid/pressReleasesAction.do?reference=IP/09/1146&format=HTML&guiLanguage=en&language=EN>

³⁰ www.coe.int/t/dg4/cultureheritage/culture/cities/default_en.asp

policies through an *"intercultural lens"* and develop intercultural strategies on different aspects of city administration to meet the challenges of increasingly diverse societies. The municipalities supported to date are Berlin Neukölln (Germany), Greenwich (UK), Izhevsk (Russian Federation), Lublin (Poland), Lyon (France), Melitopol (Ukraine), Neuchâtel (Switzerland), Oslo (Norway), Patras (Greece), Reggio Emilia (Italy), Subotica (Serbia) and Tilburg (the Netherlands).

- Joint action between the Commission and the Council of Europe on the rehabilitation of cultural heritage in the Balkans has also received €300k of support under this strand. Local and regional development projects enabling the valorisation of rehabilitated buildings or sites in historic villages and urban centres have been supported in Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Montenegro, Romania, Serbia, the Former Yugoslav Republic of Macedonia and Kosovo. The Ljubljana Conference in May 2008 provided the framework for the launching of the *"Ljubljana Process"*, the fund-raising phase of this 2003-2010 joint action.
- The Kyiv Initiative, which aims to create democratic and engaged societies and rebuild trust and confidence across five countries in south-east Europe: Armenia, Azerbaijan, Georgia, Moldova and Ukraine. The Initiative focuses on five themes that characterise these countries: heritage management, film, the shaping of cultural policy, literature, wine culture and tourism exchange. It aims to encourage cross-border collaboration, the sharing of expertise and the development of competence and skills in the field of culture. The Initiative was awarded €100k from the Culture Programme in 2009.

2.2.7 Support for analysis and dissemination activities (Strand 3)

The activities funded through this strand of the programme are designed to support Strands 1 and 2.

Cultural Contact Points (CCPs) are the main relay for conveying information on the Culture Programme at national level and for assisting applicants to programme. During the years covered by the evaluation (2007-09), they were established in the 34 countries participating in the programme at that time.³¹ Their objectives are shown in Table 2.6.

Table 2.6 Objectives of Cultural Contact Points

Objectives
<ul style="list-style-type: none"> • promote the programme; • facilitate access to the programme for, and encourage participation in its activities by, as many professionals and operators in the cultural field as possible, by means of an effective dissemination of information and by developing appropriate networking initiatives between themselves • provide an efficient link with the various institutions providing aid to the cultural sector in Member States, thus contributing to complementarity between the measures taken under the programme and national support measures; and provide information on other Community programmes open for cultural projects if required.

³¹ Since the period covered by the evaluation, Montenegro has joined the programme and established a CCP, bringing the total to 35.

Strand 3.2 provides funds to **support studies and analysis to help improve understanding of European cultural cooperation**. The analyses supported under this sub-strand are twofold:

- studies supporting the development of the policy agenda and analysing the themes relevant to it;
- evaluations of the Culture Programme, providing inputs for understanding and improving the programme itself.

The purpose of Strand 3.3 is to **support the collection and dissemination of information about EU-funded cultural activities**, in order to raise public awareness. A range of activities has been undertaken to date, including conferences to showcase the results of projects. Other activities not funded by the operational budget of the Culture Programme include revamped pages on the Culture Programme on the Europa website, central 'Info-days' organised to provide information and support potential applicants, as well as participation in info-days organised by the CCP.

3.0 Evaluation framework and methodology

3.1 Introduction

In this section we present the approach taken to the evaluation. Our approach involved the application of the standard evaluation model³² of DG Budget of the European Commission, which is the basis for all evaluations carried out at the present time for DG EAC. This model was customised to the requirements of the Terms of Reference for the evaluation (ToR) and to the specific circumstances of the Culture Programme 2007-13. Based on the DG Budget model, an intervention logic was developed which featured a hierarchy of objectives for the programme as well as a set of intended effects (outputs, results and impacts) that could be expected to flow from activities undertaken in pursuit of those objectives. This intervention logic guided the particular way in which the evaluation questions were approached and also the specific research tasks that were undertaken.

In the remainder of this section, we present the intervention logic before listing the evaluation questions and the research tasks that were undertaken to gather the evidence necessary to answer those questions. Finally, we reflect on the strengths and weaknesses of the methodology in order to learn lessons for any future evaluation.

3.2 Intervention logic

In developing an intervention logic, the evaluator is required to make clear links between high-level global and intermediate objectives (generally reflecting wider policy goals) and specific and operational objectives at the level of the intervention itself. Following this approach, we developed a 'hierarchy of objectives' directly linked to a typology of effects, whereby:

- Global objectives specify longer term and more diffuse effects (or global impacts); for this, we drew upon the general objective stated in Article 3 of the Decision;
- Intermediate objectives specify short to medium-term effects (or intermediate impacts) on both direct and indirect beneficiaries/recipients of assistance; our choice of intermediate objectives reflected the focus of a large proportion of the programme on cultural operators rather than on the general public; moreover, since measurement of any impact on the global objective is problematic, it was necessary to have a set of intermediate objectives for which more measurable indicators of impact were developed;
- Specific objectives specify the short-term results that occur at the level of direct beneficiaries/recipients of assistance; these were drawn directly from Article 3 of the Decision;
- Operational objectives specify outputs directly produced by the intervention; there were no ready-made set of operational objectives that could be mapped onto the DG Budget model; however, given the desirability of collecting data by strand, it was deemed appropriate to derive the operational objectives from the headings of the strands and/or sub-strands.

³² Evaluating EU activities: A practical guide for Commission services; European Commission DG Budget 2004.

Figure 3.1 below presents the hierarchy of objectives thus developed. Based on these objectives, we then determined the logical set of effects that would have flowed from them. These are presented in Table 3.1, which is schematic and shows the main links.

Figure 3.1 Hierarchy of objectives for the evaluation of the Culture Programme

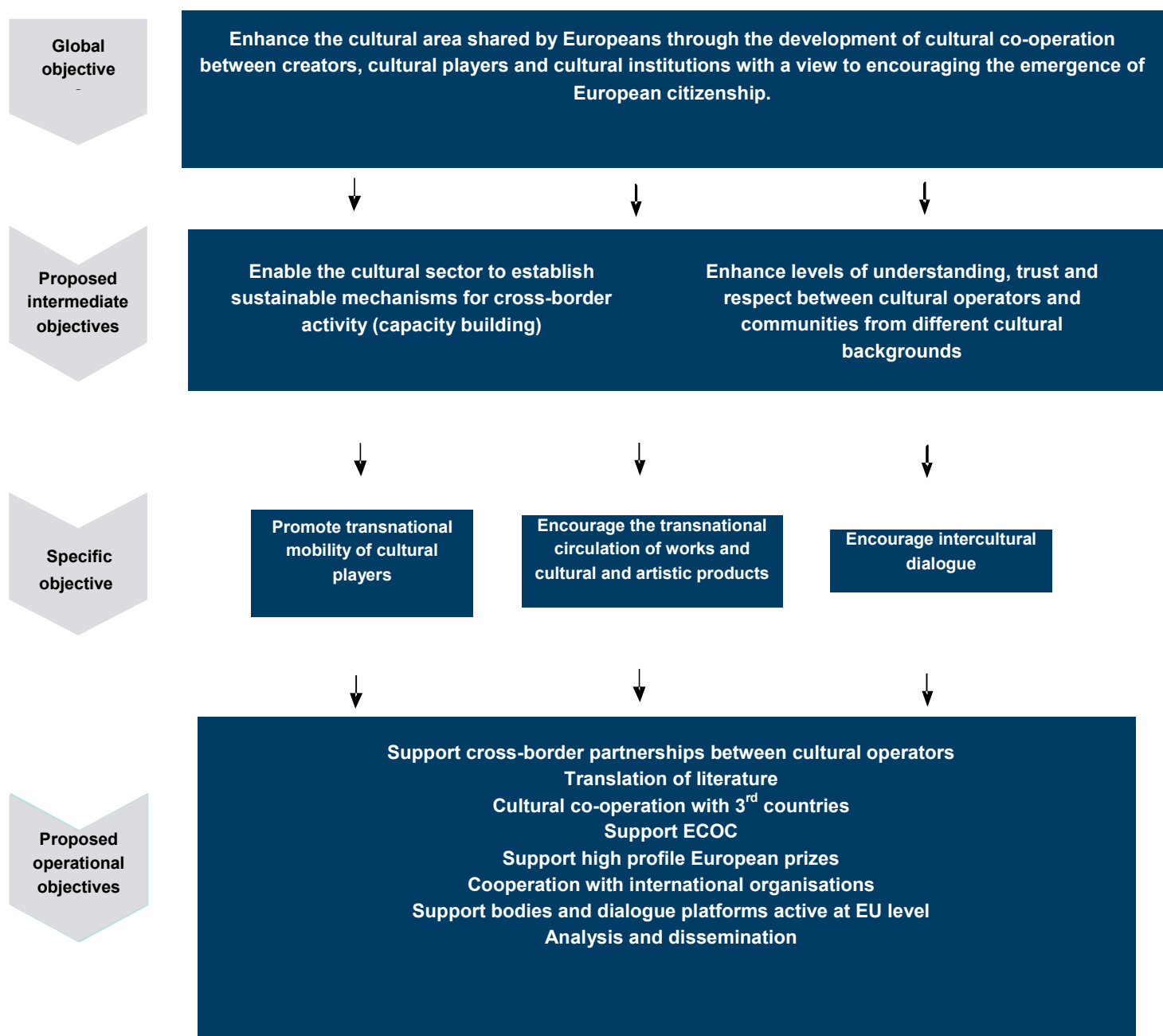


Table 3.1 Intended effects of the Culture Programme

Operational objectives	Outputs	Results	Intermediate impacts
- Support cross-border partnerships between cultural operators (1.1, 1.2.1 and 1.3.1)	<ul style="list-style-type: none"> - Number of partnerships supported - New cultural activities undertaken - New cultural products developed - "Support activities" undertaken 	<ul style="list-style-type: none"> - Artists and cultural operators enjoying periods of mobility - Circulation of works and cultural and artistic products - Participants and audiences having better access to and a better understanding of different cultures 	<ul style="list-style-type: none"> - Sustainable transnational partnerships - Sustained transnational activities in the cultural field - Cultural operators having a more European outlook and more capacity for transnational co-operation
- Translation of literary works (1.2.2)	<ul style="list-style-type: none"> - Number of books translated 	<ul style="list-style-type: none"> - Wider circulation of newly-translated literature (e.g. books published) 	<ul style="list-style-type: none"> - Wider readership of newly-translated literature (e.g. books sold) - Publishers more likely to publish translated works in future
- Cultural co-operation with third countries (1.3.1)	<ul style="list-style-type: none"> - Number of partnerships supported - New cultural activities undertaken - New cultural products developed - "Support activities" undertaken 	<ul style="list-style-type: none"> - Artists and cultural operators enjoying periods of mobility in third countries - Artists and cultural operators from third countries enjoying periods of mobility in Europe - Circulation of works and cultural and artistic products to/from third countries - European participants and audiences having better access to and a better understanding of cultures of third countries - Third country participants and audiences having a better understanding of European culture(s) 	<ul style="list-style-type: none"> - Sustainable transnational partnerships with third countries - Sustained activities in the cultural field - European cultural operators more able/willing to co-operate with third countries
- Support ECOC projects with a European dimension (1.3.2)	<ul style="list-style-type: none"> - ECOC projects undertaken 	<ul style="list-style-type: none"> - ECOC cultural programmes manifest a stronger European dimension (e.g. involvement of artists/works from other countries, exploration of European themes, transnational co-operation) 	<ul style="list-style-type: none"> - Title cities more open to European cultural activities in future - Local cultural operators and policymakers having a more European outlook - General public having a more sustained interest in cultural activities - Stimulation of creativity in general public, particularly children and young people
- Support high-profile European	<ul style="list-style-type: none"> - Number of prizes awarded 	<ul style="list-style-type: none"> - Higher profile for/public 	<ul style="list-style-type: none"> - Increased transnational career

prizes in the cultural field (1.3.3)			<ul style="list-style-type: none">- awareness of winners, their work and their art form- Higher profile for/public awareness of the transnational dimension of cultural sectors- Transnational partnerships between cultural operators	<ul style="list-style-type: none">- opportunities for winners- Spread of good practice / innovation within specific sectors across Europe- Prestige/profile for the EU through its association with the prizes- Prestige/profile for the sector through its association with the EU
<ul style="list-style-type: none">- Support co-operation with international organisations (1.3.4)	<ul style="list-style-type: none">- New/additional activities undertaken	<ul style="list-style-type: none">- Activities of international organisations (and their partners) have a more prominent European dimension	<ul style="list-style-type: none">- Sustainable co-operation between EU and international organisations	<ul style="list-style-type: none">- Organisations more capable of sustained activities in view of developing a common space for cultural activities across Europe- A greater critical mass of organisations working on a European level and the development of greater capacity for transnational cultural activity and networking- Contribution to intercultural dialogue and mutual understanding and the branding of Europe as a cultural and creative hub- A greater exchange of knowledge and know-how contributing to increasing the impact of new policies
<ul style="list-style-type: none">- Support bodies and dialogue platforms active at EU level (2)	<ul style="list-style-type: none">- Organisations supported (ambassadors, advocacy networks, festivals)- Policy support structures established / supported- Cultural activities undertaken- “Support activities” undertaken (e.g. research, networking)	<ul style="list-style-type: none">- Artists and cultural operators enjoying periods of mobility- Circulation of works and cultural and artistic products- Participants and audiences having a better understanding of different cultures- Better understanding of current policy issues in the field of culture	<ul style="list-style-type: none">- Sharing of best practice, access to information, provision of material required for policy development for a wider set of users- Improved input into policymaking in the field of culture	
<ul style="list-style-type: none">- Support analysis and dissemination activities (3.1, 3.2, 3.3)	<ul style="list-style-type: none">- CCPs supported- Studies undertaken- Valorisation activities (conferences, brochures, publications, etc.)	<ul style="list-style-type: none">- Greater awareness of activities and outcomes of EU-funded cultural activities- Better understanding of policy issues and other issues in the field of culture		

3.3 Evaluation questions

Taking into account the intervention logic and the initial research, a list of questions was developed that the evaluation was to consider. This list incorporates the questions from the ToR, as well as a number that we believed were important to the evaluation. Table 3.2 below presents the questions against the headings of relevance, effectiveness, efficiency and sustainability, as well as the main information sources that informed our answers.

Table 3.2 Evaluation questions

Evaluation Question		Data sources*
Relevance		
(1)	To what extent have the programme's general, specific and operational objectives proved relevant to Article 167 of the Treaty?	D, S, I
(2)	To what extent can the programme be said to be relevant to the objectives of the European Agenda for Culture (which was adopted after the entry into force of the programme)	D, I
(3)	To what extent have the different programme strands been complementary to each other and matched users need?	D, S, I
(4)	To what extent has the programme proved complementary to other EU initiatives in the field of culture – such as ECOC (which are regulated by a separate Decision) and mobility pilot projects -, as well as to EU initiatives in the field of education, media, citizenship and youth?	D, I
(5)	What is the EU added value of the programme?	D, S, I, C
(6)	To what extent has the programme proved relevant to promoting the diversity of cultures and languages in Europe?	D, S, I
Effectiveness		
(7)	To what extent can the programme be said to have contributed to the achievement of the objectives of the European Agenda for Culture (which was adopted after the entry into force of the programme)?	D, I
(8)	To what extent can the programme be said to have contributed to the achievement of the policy objectives of the Annual Management Plan of DG EAC for cultural activities? Where expectations have not been met, what factors have hindered the development of the programme?	D, I
(9)	To what extent can the programme be said to have contributed to the objectives of the European Year for Intercultural Dialogue (2008) and for Creativity and Innovation (2009)? Where expectations have not been met, what factors have hindered the development of the programme?	D, I
(10)	To what extent has the programme contributed to the mobility of artists and cultural workers? Where expectations have not been met, what factors have hindered the development of the programme?	D, S, I, C
(11)	To what extent has the programme contributed to the circulation of cultural works? Where expectations have not been met, what factors have hindered the development of the programme?	D, S, I, C
(12)	To what extent has the programme supported intercultural dialogue? Where expectations have not been met, what factors have hindered the development of the programme?	D, S, I, C
(12a)	To what extent has the programme increased the exchange of information or good practice among participating countries?	D, S, I

(13)	Does participation in the programme appear satisfactory in giving equal opportunities to men and women, to disabled people and to those at disadvantage from a socio-economic point of view? Could any particular points of improvement be identified?	D, S, I
(14)	Does participation in the programme appear satisfactory in terms of representation of different cultural sectors and categories of actors?	D, S, I
(15)	Does participation in the programme appear satisfactory in terms of geographical coverage, within the EU and with third countries?	D, S, I
(15a)	Does participation in the programme appear satisfactory in terms of “small operators” and “small cultural enterprises” being able to participate in the programme? How have barriers to their participation been overcome (organisational experience and financial resources)?	D, S, I, C
(16)	To what extent does the programme seem to be influencing national legislation or policy on issues relevant for cultural policies and international co-operation, etc.?	S, I
(17)	To what extent has the programme contributed to promoting the diversity of cultures and languages in Europe?	S, I
Efficiency		
(18)	Have EU co-financing inputs been appropriately balanced across strands and years? To what extent is the budget sufficient to satisfy the demand for support? Is the size of budget for the programme appropriate and proportional to what the programme is set out to achieve? Is it sufficient for reaching a critical mass of impacts? Could the same results have been achieved with less funding? Could the use of other policy instruments or mechanisms have provided better cost-effectiveness?	D, S, I
(18a)	To what extent have the Managing Authorities actively collected and synthesised data on project and programme outputs, results and impacts or contribution to objectives?	D, I
(18b)	To what extent have projects complied with the publicity requirements, including the use of the logo?	D, S, I
(18c)	Has the application process been strengthened in terms of i) timing of calls for proposals; ii) length of application process; iii) feedback given to applicants?	D, S, I
(18d)	Have the IT systems been sufficient to allow the efficient and effective management of the programme?	D, S, I
Sustainability		
(19)	Which of the current activities or elements of the programme would be likely to continue and in which form if EU support was withdrawn or substantially decreased?	S, I, C
(20)	To what extent have the results of the actions been properly disseminated to stakeholders and the public? What is their exploitable potential, and to what extent can one say that this potential has been fully exploited?	S, I
(21)	To what extent has the programme inspired the adjustment of existing cooperation and resulted in the establishment of co-financing arrangements in countries	S, I
(22)	To what extent has the programme inspired the introduction of similar programmes or actions by participating countries?	S, I

* D = Desk research; S = Online surveys; I = Interviews; C = Case studies

3.4 Data sources and research tasks

The evaluation drew on a range of evidence sources to ensure we were able to provide robust answers to the key evaluation questions. Three main types of information source were used in the evaluation:

- **Primary documentary information and programme data;** these included, in particular: data relating to applications and selected projects within the different strands of the programme, progress and final reports submitted by projects, and programme documents such as the Programme Guide, Programme Activity Reports for 2008 and 2009, and the legal basis for the Programme (Decision 1855/2006/EC);

- **Secondary information in the form of previous studies and evaluations;** these included, in particular the evaluations of the Culture 2000 Programme, the Cultural Contact Points (CCPs) and the European Capitals of Culture 2007 & 2008, as well as research commissioned by DG EAC in the field of culture;
- **Primary qualitative evidence from interviews and surveys;** interviews were undertaken with those involved in managing the programme, beneficiaries of different strands of the programme and other stakeholders (such as sector bodies); beneficiaries were also consulted via two on-line surveys.

Drawing on these sources of data, the research involved the following key stages:

- **Inception and background research,** including the refinement of the intervention logic and the methodology, a review of the main policy and programme documents and consultations with DG EAC;
- **Desk research,** including an analysis of the available programme data for co-operation projects (Strands 1.1, 1.2.1 and 1.3.1), literary translations (Strands 1.2.2) and organisations active at European level (Strand 2), as well as a review of a selection of progress and final reports submitted by co-operation projects and organisations active at European level; Annex Four presents the statistical annex;
- **Interviews** with direct beneficiaries across Strands 1.1, 1.2.1, 1.2.2, 1.3.1 and 2, programme implementation bodies (notably DG EAC, EACEA, CCPs and organisers of European prizes) and other stakeholders including Member State experts involved on the various Open Method of Co-ordination (OMC) working groups and sector bodies; the full list of interviews is attached in Annex Two;
- **Online surveys** carried out in parallel: a survey of organisations supported under Strands 1.1, 1.2.1, 1.3.1 and 2; a survey of publishing houses supported under Strand 1.2.2. The response rates to the two surveys were approximately 50% and 40% respectively. There was a good geographical balance in the response to the surveys: respondents were located in 34 countries and no country accounted for more than 9% of respondents. The balance of responses within the first survey also reflected the level of participation in the strands more generally: 21% were from Strand 1.1, 50% were from Strand 1.2.1, 6% were from Strand 1.3.1 and 22% were from Strand 2. Of those respondents from co-operation projects (Strands 1.1, 1.2.1, 1.3.1), 68% were co-ordinators, 23% were co-organisers and 8% were associated partners, reflecting the fact that only the e-mail addresses of co-ordinators could be supplied to the evaluator; Annex Three presents the questionnaires used in the on-line survey;
- **Case studies** of good practice examples of co-operation projects (Strands 1.1, 1.2.1, 1.2.2, 1.3.1 and 2) and organisations active at European level in the field of culture (Strand 2), drawing on the evidence gathered in the review of project reports and supplemented by interviews of project co-ordinators and their partners;
- **Analysis and final reporting;** including an interim report and this final report.

3.5 Strengths and weaknesses of the approach taken

A number of strengths and weaknesses of the approach taken were identified during the evaluation process. In order to draw lessons for future evaluations, we discuss them here.

The evaluation benefited from discussions with a wide range of stakeholders (as discussed above in section 3.4 and listed in Annex Two), but the extent to which interviewees who were leading individual projects had views concerning the programme as a whole was limited. Equally, this group was able to offer a range of useful responses about their own experiences. The online surveys employed provided a valuable evidence base of quantitative data, although as is the nature of such surveys these were collected largely against 'closed' questions. Combining (or triangulating) evidence and data from several sources allowed us to address these limitations, with the result that the analysis and conclusions may be considered sufficiently robust.

A set of programme data were provided by DG EAC and the EACEA. Given the diversity of strands and activities across years, it proved challenging to process this data into a coherent and consistent database. However the data presented in this report is sufficient to offer an adequate picture of the volume of support provided thus far in the life of the programme (in the sense that it allows us to assess if the amount of funding disbursed appears to be generally in line with expectations).

The way in which the programme is structured into 'strands' posed a particular challenge for the evaluation, insofar as a balance had to be struck between evaluating each component individually, and considering (and drawing conclusions with respect to) the programme as a whole. By formulating strand-specific questions, but also comparing between strands and grouping strands where appropriate, we were able to reach a balanced view within the scope and scale of the evaluation.

Finally, at this interim stage, it is difficult to draw definite conclusions on the medium and especially longer-term impacts of the Culture Programme. However, the very significant volume of activity funded in the years covered by the evaluation has allowed us to gather the evidence necessary to draw conclusions about what those impacts are likely to be, as shown in section 8. Moreover, we have been able to make comparisons with the Culture 2000 Programme particularly in respect of the efficiency of programme management, e.g. clarity and length of application process, dissemination and valorisation activities, as discussed in section 5.

4.0 Relevance of programme objectives to EU policy

In this section, we consider the relevance of the objectives of the Culture Programme to Article 167 of the Treaty on the Functioning of the European Union³³ and to the European Agenda for Culture in a globalizing world (*“the European Agenda for Culture”*)³⁴. We also consider the relevance of the strands to the programme objectives. The section draws on evidence emerging from the literature review and interviews with key stakeholders, including DG EAC officials.

4.1 Relevance of programme objectives to the Treaty

To what extent have the programme's general, specific and operational objectives proved relevant to Article 167 of the Treaty? (EQ1)

European action in the field of culture is provided for under Article 167 of the Treaty on the Functioning of the European Union. Article 167 states that the EU *“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”*. It identifies the key areas for action as encouraging cooperation between Member States and with third countries and other relevant international bodies such as the Council of Europe. On this basis, the European Parliament and the Council was able to establish the Culture Programme through Decision 1855/2006/EC.

The table below compares the general and specific objectives of the Culture Programme to Article 167. Looking at the general objective of the Culture Programme as set out in Decision 1855/2006/EC, we see that – like Article 167 – it has at its heart the enhancement of the common cultural heritage/area shared by Europeans. As with Article 167, such enhancement is intended to be achieved through cultural co-operation between (cultural players in) different Member States. On this basis, we consider the general objective of the Culture Programme to be relevant to Article 167 of the Treaty. It is also worth noting here the relevance of the general objective of the programme to the UNESCO Convention on the Protection and Promotion of the Diversity of Cultural Expressions, to which the EU is a signatory. The Convention promotes objectives broadly similar to and consistent with Article 167, e.g. the protection and promotion of the diversity of cultural expressions, creating the conditions for cultures to flourish, encouraging dialogue among cultures, fostering interculturality, etc. Similarly, it is also worth noting the relevance of the general objective of the programme to the Charter of Fundamental Rights of the European Union.³⁵

³³ Treaty of Lisbon Amending the Treaty on European Union and the Treaty Establishing The European Community (2007/C 306/01)

³⁴ Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on a European agenda for culture in a globalizing world {SEC(2007) 570}, Brussels, 10.5.2007 COM(2007) 242 final.

³⁵ Charter of Fundamental Rights of the European Union (2000/C 364/01). See: www.europarl.europa.eu/charter.

Table 4.1 Relevance of the general and specific objectives of the Culture Programme to Article 167 of the Treaty on the Functioning of the European Union

Article 167 of the Treaty	Objectives of the Culture Programme (Articles of the 2006 Decision)
<p>(Para 1) 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.</p>	<p>(Article 3) The general objective of the Programme shall be to enhance the cultural area shared by Europeans and based on a common cultural heritage through....</p>
<p>(Para 2) Action by the Community shall be aimed at encouraging co-operation between Member States and, if necessary, supporting and supplementing their action in the following areas:</p> <ul style="list-style-type: none"> - improvement of the knowledge and dissemination of the culture and history of the European peoples - conservation and safeguarding of cultural heritage of European significance - non-commercial cultural exchanges - artistic and literary creation, including in the audiovisual sector 	<p>....the development of cultural co-operation between the creators, cultural players and cultural institutions of the countries taking part in the Programme, with a view to encouraging the emergence of European citizenship.</p> <p>The specific objectives of the Programme are to:</p> <ul style="list-style-type: none"> - promote the transnational mobility of cultural players; - encourage the transnational circulation of works and cultural and artistic products; - encourage intercultural dialogue.
<p>(Para 3) The Community and the Member States shall foster cooperation with third countries and the competent international organisations in the sphere of culture.</p>	<p>(Article 5) The Programme shall be open to the participation of EFTA countries, candidate countries and the countries of the Western Balkans.</p> <p>The Programme shall also be open to co-operation with other third countries which have concluded association or co-operation agreements with the Community which included cultural clauses.</p> <p>(Article 6) The Programme shall permit joint action with international organisations competent in the field of culture.</p>

Whilst the concept of the common cultural heritage/area is not defined in the Treaty, the Treaty highlights two of its characteristics:

- *commonality* - the common cultural heritage being enjoyed by all;
- *diversity* - all cultures, including minority cultures, being protected/enhanced but also enjoyed by a wider set of publics.

Given these characteristics of the common cultural area, the Extended Impact Assessment (EIA) for the current Culture Programme sees action to enhance it as contributing to three of the EU's political priorities:

- *citizenship* – a greater awareness of European citizenship and a sense of a shared destiny amongst the people of Europe;
- *dialogue and peace* – reinforcing solidarity between different cultures and different people, and highlighting the need for understanding, fostering creativity and learning from each other; and
- *prosperity* – culture as a fully-fledged sector of the economy with considerable potential for creating jobs and wealth.³⁶

It is through helping to reinforce these characteristics and to promote these priorities that we would expect the specific objectives of the Culture Programme to be relevant to Article 167 of the Treaty. However, given the characteristics of the common cultural heritage/area just described, it is difficult to see how it could be enhanced without the promotion of mobility of cultural players, encouragement of the transnational circulation of works and encouragement of intercultural dialogue. Indeed, if the common cultural heritage and the diversity of national/regional cultures are to be enjoyed by all, then cultural operators and/or works (and perhaps even audiences) need to circulate. Similarly, for people of different cultures to feel solidarity with each other and a sense of European citizenship and shared destiny, meeting, interacting, and experiencing each other's culture and engaging in dialogue – including across cultural divides – are key. For cultural and creative industries to make their full contribution to European prosperity – especially within the context of the single European market – again cultural operators and/or their works (or their audiences) need to circulate. Lastly, for creativity and innovation to be stimulated, cultural operators must also meet and interact with each other particularly those from different backgrounds (since interaction between those who are "*different*" from each other can be an important stimulus to innovation) – perhaps requiring them to overcome intercultural differences through dialogue. On this basis, we consider the specific objectives of the Culture Programme to be relevant to Article 167 of the Treaty.

Looking at the operational objectives of the Culture Programme (as set out in the evaluation intervention logic), we see that they are characterised by transnational co-operation and exchanges (including with third countries and international organisations), artistic creation and the dissemination of knowledge and information relating to culture. On this basis, we conclude that the operational objectives of the Culture Programme are relevant to Article 167 of the Treaty.

³⁶ Commission of the European Communities (2004), New Cultural Programme (2007-2013) Extended Impact Assessment integrating ex ante evaluation requirements, SEC(2004) 954.

The stakeholders interviewed generally supported the finding that the programme's general, specific and operational objectives were relevant to the broad European policy objectives set out in Article 167 (though few specifically referred to Article 167 itself). But some interviewees implied that a different, more pragmatic, interpretation of those objectives should perhaps have guided the definition of the objectives of the programme. Such an interpretation would have retained the essence of the current general objective with its focus on commonality and diversity (contained within the concept of the cultural area shared by Europeans, as discussed above) and on cultural co-operation. But it would also have placed greater emphasis on the role of culture in stimulating and supporting creativity and innovation and thus brought two dimensions of culture more to the fore: first, that of experimentation in the cultural field; second, the economic dimension of culture (and of the cultural and creative industries). Of course, these dimensions are not entirely absent from the programme. But they perhaps merited more explicit articulation in the programme objectives, given current European policy objectives and the increasing recognition of the economic contribution that culture can make. There may be a case for re-articulating the current programme objectives in this light. But what will be more important will be the particular interpretation of Article 167 adopted in the process of defining the objectives of any new programme post-2013.

4.2 Relevance of the Culture Programme to the European Agenda for Culture in a globalizing world

To what extent can the programme be said to be relevant to the objectives of the European Agenda for Culture (which was adopted after the entry into force of the programme)? (EQ2)

To what extent can the programme be said to have contributed to the achievement of the objectives of the European Agenda for Culture (which was adopted after the entry into force of the programme)? (EQ7)

The Commission's Communication on a *European agenda for culture in a globalizing world* (the European Agenda for Culture) explores the relationship between culture and Europe in a globalizing world and proposes objectives for a new EU agenda for culture, with the intention that this agenda is to be shared by all stakeholders. Although the European Agenda was adopted after the launch of the Culture Programme, it provides (together with Article 167 of the Treaty) a vital part of the political context within which the programme is being implemented. It is therefore important to consider here the relevance of the programme to the European Agenda. Later in the report, we go on to consider the effectiveness of the programme against those elements of the European Agenda for Culture to which it is most relevant.

As noted in section 2.1, the European Agenda for Culture has three broad objectives. We present them below, together with the specific objectives that sit underneath them.

Table 4.2 Objectives of the European Agenda for Culture

Broad objectives of the European Agenda for Culture	Specific objectives of the European Agenda for Culture
<ul style="list-style-type: none"> - Promotion of cultural diversity and intercultural dialogue 	<ul style="list-style-type: none"> - Promote the mobility of artists and professionals in the cultural field and the circulation of all artistic expressions beyond national borders - Promote and strengthen intercultural competences and intercultural dialogue
<ul style="list-style-type: none"> - Promotion of culture as a catalyst for creativity in the framework of the Lisbon Strategy for growth and jobs 	<ul style="list-style-type: none"> - Promote creativity in education - Promote capacity building in the cultural sector (e.g. managerial competences, entrepreneurship, knowledge of the European dimension/market, access to funding) - Develop creative partnerships between the cultural sector and other sectors
<ul style="list-style-type: none"> - Promotion of culture as a vital element in the Union's international relations 	<ul style="list-style-type: none"> - Develop political dialogue with all countries and regions in the field of culture and promote cultural exchanges - Promote market access for cultural goods and services from developing countries - Use external and development policies to protect and promote cultural diversity - Ensure that cooperation programmes and projects take account of local culture and increase people's access to culture and the means of cultural expression - Promote the active involvement of the EU in the work of international organisations dealing with culture

Looking at the first objective of the European Agenda for Culture, we see that this is explicitly included in the objectives of the Culture Programme: the preservation of cultural diversity features as a transversal objective of the programme,³⁷ whilst the encouragement of intercultural dialogue features as a specific objective.³⁸ Moreover, the specific objectives that sit underneath this broad objective are pursued very explicitly by the Culture Programme through its own specific objectives (promotion of mobility, encouragement of the circulation of works, encouragement of intercultural dialogue). Looking at how this first broad objective of the European Agenda for Culture is pursued by the Culture Programme, it is primarily through support for transnational cultural activities undertaken by partnerships of operators in different countries as well as by organisations active at European and international level. Of course, there are other ways by which this objective of the European Agenda for Culture could also be pursued, for example, practical solutions such as better information and intelligence for cultural operators considering mobility to help them cope better with administrative and regulatory obstacles,³⁹ cross-border training modules or online mobility toolkits. These are not provided for under the current Culture Programme and so the programme should be seen as just one mechanism (albeit a very important one) by which this objective of the European Agenda for Culture is being pursued. We consider the contribution of the Culture Programme to the two specific objectives that sit underneath this broad objective in sections 6.2.2, 6.2.3, 6.2.4, 6.3.2, 6.4.3 and 6.5.

³⁷ Paragraph 2 of the preamble to Decision 1855/2006/EC.

³⁸ Article 3 of Decision 1855/2006/EC.

³⁹ See, for example: Information systems to support the mobility of artists and other professionals in the culture field: a feasibility study; ECOTEC Research & Consulting, March 2009.

The second objective of the European Agenda for Culture focuses on the contribution of the cultural industries and the creative sector to European GDP, growth and employment. This contribution has been the subject of a recent Commission Green Paper which aims to spark a debate on the requirements of a truly stimulating creative environment for the EU's cultural and creative industries (CCIs). This contribution is also significant in light of the EU's new over-arching strategy for the next decade, Europe 2020: A strategy for smart, sustainable and inclusive growth, with its emphasis on knowledge and innovation, resource-efficiency and cohesion. The Culture Programme can be seen to be relevant to the objective of promoting creativity through its support for cultural creation and for the building of capacity for cultural creation in the future. The programme does not explicitly prescribe support for creativity in education, the types of capacity building listed in the European Agenda for Culture, or partnerships between the cultural sector and other sectors. But it does allow the flexibility for supported projects or organisations to pursue these objectives if they wish – subject to the condition that operators act in a non-profit-making capacity. Given this situation, the Commission may wish to consider how the design of any new programme for culture might pursue this more economic dimension of the European Agenda for Culture more explicitly and extensively. We consider the contribution of the Culture Programme to the specific objective of promoting capacity building in section 7.

The third objective of the European Agenda considers the role of culture in the EU's international relations – and takes into account the UNESCO Convention on the Protection and Promotion of the Diversity of Cultural Expressions, to which the Community and its Member States are Parties. The European Agenda for Culture foresees a twin-track approach involving the integration of cultural considerations into external and development policies and programmes, as well as support for specific cultural actions and events. In its current design, the Culture Programme is not particularly relevant to the first element of this approach, but it is to the second. Indeed, the programme aims to promote cultural exchanges with third countries and to support cultural co-operation with international organisations, such as the Council of Europe. This support should be seen as being complementary to the programmes operated by other DGs, such as DG RELEX and DG AIDCO, which are the main tools to fund cultural co-operation with third countries. We consider the effectiveness of co-operation projects involving third countries in section 6.2.

Building on this consideration of relevance, it is also useful to consider how the activities of the Culture Programme might link to the European Agenda for Culture in practice. As noted above, the Culture Programme predates the adoption of the European Agenda; indeed, the programme has its own legal basis, budget and delivery mechanism. The programme co-finances activities that directly produce outputs and generate effects, particularly in terms of volume, scope and innovation. In contrast, the European Agenda supports policy processes that generate benefits in terms of process and policy. Given this situation, the Culture Programme and the European Agenda can, to a certain extent, be seen as operating as complementary processes that are interlinked and interacting dynamically with each other. We thus consider the different characteristics of these two processes in Table 4.3.

Table 4.3 Respective characteristics of the Culture Programme and the European Agenda

	Culture Programme	European Agenda
Basis	- Decision of the European Parliament and of the Council (1855/2006/EC)	- Commission Communication COM(2007) 242
Main mechanisms	- Financing activity	- Dialogue with the cultural sector - Dialogue between Member States via the Open Method of Co-ordination - Support for evidence-based policymaking - Mainstreaming culture into other policy areas
Main medium	- Directly producing outputs	- (Support for the) Operation of policy processes
Broad intended effects	- Volume – boosts and amplifies actions taken by others - Scope - addresses groups or policy areas that would not otherwise be addressed - Innovation – generates novelty, which is then subject to wider take-up or discussion	- Process - Member States or organisations involved benefit indirectly from 'taking part'; participating in activity makes things work better - Policy - Production of policy recommendations for actions at national or EC levels - Exchange of Practice
Type of Community Added Value	- Intrinsic - a linear 'chain of causality' by which action contributes to achieving EU objectives - Comparative - EU actions / interventions add something to national actions / interventions to achieve EU objectives	- Comparative - EU actions / interventions add something to national actions / interventions to achieve EU objectives / activities – Exchange of good practices – Networking - Peer learning activities

Looking more specifically at the relevance of the activities of the programme to the policy processes of the European Agenda for Culture, we see that the different strands demonstrate relevance in different ways:

- Part of Strand 2 is directly relevant to the policy processes of the Agenda, through co-financing the structured dialogue platforms and policy-analysis groupings which facilitate dialogue and generate policy recommendations within the context of the Agenda;
- Cultural Actions (Strand 1), ambassadors, advocacy networks and festivals (Strand 2) directly implement some measures relevant to objectives of the Agenda (e.g. support for mobility) but often they are indirectly relevant to the policy processes of the Agenda, for example by generating effects such as learning;
- Studies (Strand 3.2) are also directly relevant to policy processes of the Agenda as they focus on issues that are closely connected to its objectives and priorities with a view to informing policy in the future; and

- Cultural Contact Points (Strand 3.1) and support for maximising the impact of projects (Strand 3.3) do not themselves generate policy learning that is relevant to the European Agenda, though they may serve as one mechanism by which policy learning is disseminated to decision-makers. Indeed for that reason, a specific mechanism was introduced to promote such dissemination, i.e. the Culture Programme Conferences in Brussels in December 2008 and September 2009 at which deliberate efforts were made to highlight synergies between the programme and policy agenda.

In conclusion, we consider that the operational objectives of the programme are relevant to both the objectives and the policy-processes of the European Agenda for Culture. The programme directly contributes to the first and the third of the broad objectives of the European Agenda for Culture (particularly the first) through its support for cultural activities undertaken in the context of transnational co-operation. It pursues the second objective more indirectly through support for cultural creation and also through allowing supported projects and organisations the flexibility to pursue this objective more specifically if they wish. The programme makes a direct contribution to the third objective of the European Agenda for Culture through its support for cultural exchanges with third countries and for international organisations.

4.3 Relevance of the Culture Programme to the DG EAC Annual Management Plan

To what extent can the programme be said to have contributed to the achievement of the policy objectives of the Annual Management Plan of DG EAC for cultural activities? Where expectations have not been met, what factors have hindered the development of the programme? (EQ8)

Another vital part of the political context within which the programme is being implemented has been the DG EAC Annual Management Plan (AMP), the main working document that describes and guides DG EAC's activity during each calendar year. The Plan for 2009 (the most recent relating to the years covered by this evaluation) sets three specific objectives for culture, within the broad objective of *"Developing cultural co-operation in Europe"*. These are:

- Create a supportive environment for artistic creation and cultural works/operators with a view to promoting cultural diversity, and creating jobs and economic growth;
- Support European cultural cooperation by promoting intercultural artistic creation, new professional pathways for artists, increasing the circulation of cultural works throughout Europe as well as the audiences for non-national European works, with a view to promoting cultural diversity, enhancing intercultural dialogue, and promoting a sense of European citizenship;
- Promote the systematic integration of the cultural dimension in all external and development policies and programmes, and develop political dialogue and cultural exchanges with 3rd countries, with a view to integrating the cultural dimension as a vital element in the EU's international relations.

Within these objectives, it is only the second that makes explicit reference to the Culture Programme. In fact, the Culture Programme is the main means by which this second specific objective is pursued. In the table below, we present the *"input objectives"* and highlight the sections of the report that describe the contribution of the Culture Programme to those objectives.

Table 4.4 Coverage of contribution of the programme to the DG EAC Annual Management Plan

Input objective of the AMP	Coverage within this report
Transnational mobility of artists and cultural workers	Sections 6.2.2, 6.3.2, 6.5
Circulation of cultural works	Sections 6.2.3, 6.3.2, 6.5
Geographical spread of organisations funded under the Culture Programme	Section 5.4.2
Citizens to be reached by European cultural cooperation initiatives	Sections 5.4, 7.2

4.4 Relevance of the strands to the programme's specific objectives

To what extent have the different programme strands been complementary to each other and matched user needs? (EQ3)

The Decision establishing the Culture Programme features three specific objectives – to promote the transnational mobility of cultural players, to encourage the transnational circulation of works and cultural and artistic products, and to encourage intercultural dialogue. It is important to consider the relevance of the programme to these objectives in terms of its design and the ways in which its design affects the types of activities taking place. Indeed, the relevance of the programme and its objectives, as well as the extent to which the strands have matched user needs feature explicitly as evaluation questions. This section therefore considers the extent to which the design of each strand of the Culture Programme supports these objectives.

4.4.1 Transnational mobility of cultural players

The 2006 Decision set the specific objective of promoting mobility and specified the fields of action by which it (as well as the two other objectives) would be pursued – support for cultural actions, support for bodies active at European level, and support for analysis, collection and dissemination of information and for activities maximising the impact of projects. Building on this, the Extended Impact Assessment of the programme suggested the activities by which the programme might be expected to promote the mobility of cultural players:

- Provide financial support to enable organisations to undertake mobility periods;
- Information provision and dissemination of knowledge regarding mobility; and
- Encouraging networking and cooperation.⁴⁰

Taken as a whole, the programme is likely to have an impact on both increased cooperation among cultural organisations and on strengthening networks which have the potential to enable individuals as well as groups to participate in mobility periods.

Looking at the specific strands, the cooperation projects and European level organisations (Strands 1.1, 1.2.1, 1.3.1, 2) can directly support/organise periods of mobility, as well as promote mobility more indirectly through the building of co-operation between organisations in different countries. Strand 1.2.1, in particular, would be

⁴⁰ Commission of the European Communities (2004), New Cultural Programme (2007-2013) Extended Impact Assessment integrating ex ante evaluation requirements, SEC(2004) 954.

most likely to enable smaller cultural operators that would not otherwise get the opportunity to undertake periods of mobility.

Other strands make a more indirect contribution to mobility. For example, the European prizes (Strand 1.3.3) promote cultural operators, artists and authors and cultural works to the wider European public, which may ultimately lead to increased mobility.

In the case of multi-annual co-operation projects (and to a lesser extent co-operation measures), the administrative capacity required to apply for, receive and properly account for large amounts of EU funding might be expected to constitute a hurdle which smaller organisations struggle to overcome. Moreover, the extent to which the programme might be expected to address some of the practical barriers that smaller organisations in particular find more difficult to overcome (e.g. legal, taxation and social security) would very much depend on the extent to which projects provide practical support – to a large extent, the flexibility of the programme means that applicants are able to choose for themselves how to promote mobility, rather than its specifying the type of practical support/activity that should be offered. Indeed, the Programme Guide does not provide specific guidance concerning the types of mobility it aims to support.

In summary then, the promotion of mobility is clearly encouraged by, the programme. The design of the programme (notably the specified *"fields of action"*, i.e. the strands) allows applicants a degree of flexibility in the way they address the very practical motives and barriers facing the sector⁴¹. In approaching the evaluation, it has thus been anticipated that mobility has been promoted through a variety of approaches and it has been possible to probe this through the online survey, the interviews of beneficiaries and the case studies (in particular).

4.4.2 Transnational circulation of works and cultural and artistic products

As with mobility, the 2006 Decision sets the objective of encouraging the transnational circulation of works and specifies that this objective will be achieved through the fields of action (the strands). The financial incentive provided by cooperation activities within the Culture Programme (Strands 1.1, 1.2.1 and 1.3.1) has the potential to alleviate problems related to the financial burden associated with the circulation of works and to act as a stimulus to increase networking, trust and understanding among cultural operators. Similarly, Strand 2 can directly finance bodies active at the European level that might be expected to encourage and/or undertake the circulation of works and cultural and artistic products. These bodies have the potential to play an active role in the process of addressing the key issues facing the sector. The literary translation strand (Strand 1.2.2) plays an important role in tackling the key barrier of language in relation to the circulation of literature. Strands 3.2 and 3.3 of the Culture Programme are likely to be relevant to the extent that they support studies, analysis and dissemination activities related to this theme – and also the extent to which they feed into activities in the context of the OMC or the stakeholder platforms.

As with mobility, the encouragement of transnational circulation is encouraged within the programme design in a variety of ways but again the extent to which the obstacles noted are tackled depends on the activities undertaken by individual projects. Again, the Programme Guide and the award criteria are not explicit about

⁴¹ Such flexibility is typical of DG EAC programmes operating in the broader OMC framework and is positive since it encourages participation and responds to needs within countries.

what approaches should be taken (or indeed about what problems should be tackled), this being left to the applicants to determine.

Establishing the main channels through which the Culture Programme can contribute to the circulation of cultural works and products in Europe, and assessing the extent to which the programme actually does so have been important considerations for the evaluation. As with mobility, the online survey has gathered quantitative data about the number of projects addressing this objective and taking specific approaches. More in-depth analysis, through the interviews of the direct beneficiaries, the review of projects and the case studies, has helped to understand the practical approaches taken, the barriers faced and the effectiveness against this objective.

4.4.3 Intercultural dialogue

As with the other two objectives, the 2006 Decision specifies that this objective will be achieved through the fields of action (the strands).

Looking at the co-operation projects, we see that they have the potential to encourage intercultural dialogue by enabling people of different cultural backgrounds to undertake a common cultural activity and thus, through this activity, engage in intercultural dialogue. However, such activity would need to go beyond "*cultural exchange*" in order to constitute intercultural dialogue in a meaningful sense, i.e. to provide opportunities for genuine and sustained opportunities for dialogue.⁴² This raises questions both of the nature of activity and of the nature of participants. In some cases, the projects clearly seek to provide a space for meaningful exchange for people from different backgrounds within the context of a shared cultural activity. In other cases, for example the organisation of exhibitions, concerts and festivals (within the context of Strands 1.1, 1.2.1 or 2) the projects might expose audiences to cultures they may not have encountered before, but not engage them in dialogue as such. Similarly, regarding the nature of participants the partners in co-operation projects (Strands 1.1, 1.2.1) might engage with operators in other countries, but in some cases such co-operation may involve "*like-minded*" people (albeit of different nationalities) exploring the common European cultural heritage, rather than engaging in genuine intercultural dialogue. Similarly, Strand 2 may expose audiences to different cultures, but might not engage them (or indeed the cultural operators themselves) in intercultural dialogue.

Other strands may also be relevant to intercultural dialogue to the extent that activities are targeted on this objective. International organisations co-financed under Strand 1.3.4 could in theory be supported to promote intercultural dialogue. For example, the Council of Europe has promoted intercultural dialogue for many years. Strand 3 might also make an indirect contribution through dissemination and analysis relating to intercultural dialogue (or good practice in intercultural dialogue emerging from the co-operation projects). Strands 1.2.2 and 1.3.3 have some potential to contribute indirectly through the promotion of cultural diversity and cultural exchange, but would not in themselves offer specific opportunities for people and operators to engage in significant intercultural dialogue.

In summary then, the encouragement of intercultural dialogue is both possible and encouraged within the programme, but – as with the other objectives – it is very dependent on individual activities, in this case bringing

⁴² See for example: Platform for Intercultural Europe, "Intercultural Dialogue as an objective in the EU Culture Programme: Summary of Study and Recommendations" (Draft, 22 April 2010).

together people who are genuinely from different cultures and providing specific opportunities for dialogue. However, perhaps more than the other objectives, it is not so obvious how the intercultural dialogue objective might be achieved since it is arguably less clear how genuine intercultural dialogue might be readily articulated within activities. To shed light on this issue, the research has generated evidence of the approaches taken to intercultural dialogue, the barriers faced, and the effectiveness of activity.

4.5 Community added value

To what extent has the programme proved complementary to other Community initiatives in the field of culture as well as to Community initiatives in the field of education, media, citizenship and youth? (EQ4)

What is the Community added value of the programme? (EQ5)

To assess the complementary of the programme to other initiatives and also its Community added-value, we have compared the relevance of the programme and of those other initiatives to the three specific objectives of the programme, as well as the transversal objectives of protecting cultural and linguistic diversity and building the capacity of cultural operators. Our conclusions are as follows:

- *Mobility of players*: Several other EU initiatives promote mobility, though in ways that are complementary to the Culture Programme. Subsequent to the start of the Culture Programme, the European Parliament voted new budget lines for 2008 and 2009 for a Pilot Project on Artist Mobility. Whilst there is a resemblance to some of the activities of the programme, the Pilot Project is more experimental in nature and will not endure until 2013. In that sense, the Pilot Project is complementary to the Culture Programme and has the potential to inform the design of any future programme on culture. Mobility in the audiovisual industry is an important feature of MEDIA, but MEDIA focuses more on the mobility of training professionals (and only in the audio-visual sector) than on artists and creators. This is an interesting feature of the MEDIA programme, from which the Culture Programme could learn in terms of capacity building in cultural operators. None of the other initiatives focus specifically on the mobility of cultural players, although some cultural operators may benefit from mobility schemes serving non-cultural purposes, for example, mobility related to learning under the Lifelong Learning Programme.
- *Circulation of works*: other than the Culture and MEDIA Programmes, none of the initiatives considered promotes the circulation of works to any great extent. The two programmes, in their respective fields, are unique in promoting circulation of artistic productions, insofar as they not only promote the distribution/promotion of works and the networking of distributors, but also support the co-production of works and exhibitions (audiovisual productions in the case of MEDIA).
- *Intercultural dialogue*: Promoting mutual understanding and intercultural dialogue are aims shared by the MEDIA Programme, the Pilot project for mobility of artists, the Youth in Action and Europe for Citizens Programmes, while the European Year of Intercultural Dialogue emphasised the need to 'give a high profile' to intercultural dialogue processes. The Culture Programme is thus complementary to these other initiatives which (with the exception of the Pilot Project) operate in other fields. However, the Culture Programme is unique insofar as it promotes mutual understanding and intercultural dialogue through a wide range of channels, including the support of educational and research activities (only matched by the research

projects carried out under the Socio-economic sciences and the humanities programme of FP7) and the promotion of access to cultural activities for all.

- *Cultural and linguistic diversity*: is supported by both the Culture Programme and the MEDIA Programme but in different sectors, making them complementary. Both programmes also support complementary forms of translation, with the former focusing on literary translations and the latter on subtitling and dubbing of foreign films. In terms of protecting linguistic diversity, it is also worth noting the complementarity with the Lifelong Learning Programme which promotes language learning.
- *Capacity building in the cultural sector*: Several other EU initiatives promote the building of capacity in the cultural sector, although in ways that are complementary to the Culture Programme. The lessons learnt from these other initiatives will thus be very relevant to the design of any future programme on culture. The Pilot Project for artist mobility favours projects which 'foster individual professional advancement and capacity building' or 'artistic innovation and creative engagement across borders'. The MEDIA Programme seeks to strengthen the skills of audiovisual professionals with a view to improving quality and also supports the networking and mobility of training professionals and training for trainers. Through its pilot projects, MEDIA also offers the opportunity to promote adaptation to market developments and new technologies. The Lifelong Learning Programme, although not specifically targeted at the cultural sector, has the potential to build capacity through developing the provision of educational and training for the cultural sector. The European Regional Development Fund co-finances specific cultural heritage projects where a clear regional development dimension can be identified, such as promoting access to cultural heritage with a view to supporting tourism. However, such ERDF projects do not specifically build the capacity for transnational co-operation in the way that the Culture Programme does.

Overall, our comparative analysis of the Culture Programme to other community initiatives in the field of culture shows that the programme makes a unique contribution to the objectives of promoting mobility, encouraging the circulation of works, encouraging intercultural dialogue, protecting and promoting diversity and building capacity in the cultural sector. In that sense, the Community added value of the programme is to serve as one of the main means by which the EU pursues its strategic objectives in the field of culture, as well its obligations under the UNESCO Convention on diversity of cultural expressions and Article 167 of the Treaty. In the absence of such a programme, there would potentially be a discrepancy between the goals of the Community and the situation prevailing in Europe.

4.6 Summary

The programme is very relevant to the objectives of the Treaty, the UNESCO Convention and the Charter of Fundamental Rights. It is also very relevant to the objectives and policy processes of the European Agenda for Culture and in particular those concerning the promotion of cultural diversity and intercultural dialogue. The programme is relevant in a more limited sense with respect to the objective of the Agenda relating to the promotion of culture as a catalyst for creativity, growth and jobs, although many of the projects are seeking to stimulate creativity in individuals, particularly young people. The programme is also the main means by which DG EAC pursues the second of the three specific objectives relating to culture within its Annual Management Plan.

The primary activities - co-operation projects and support for EU-level organisations - are strongly relevant to the three specific objectives of the programme. Co-operation projects in particular offer the potential to directly support the organisation of periods of mobility, as well as activities involving the circulation of works. The transnational requirement for partnerships also ensures a degree of intercultural dialogue is inherent in their activities. Strand 2 activity (ambassadors and festivals) might be expected to generate many of the same effects as co-operation projects, though perhaps less so in terms of intercultural dialogue (given the absence of the partnership dimension) unless activities and themes concerning intercultural issues are targeted specifically. Literary translations would be expected to make a very specific and tangible contribution to the transnational circulation objective and indirectly to intercultural dialogue.

For these reasons – and because of the share of resources devoted to these strands - our consideration of the effectiveness of the programme against the objectives of mobility of players, circulation of works and intercultural dialogue (in section 6) focuses mostly on co-operation projects, literary translations and organisations active at European level. Some consideration is also given to the contribution of special actions (e.g. prizes), although this contribution is expected to be more indirect. The contribution of Strand 3 is expected to be relatively limited and indirect in nature, given that it consists of accompanying measures to strengthen the implementation of the Culture Programme. We thus consider the efficiency of Strand 3 and not its effectiveness against the three specific objectives of the programme.

5.0 Efficiency

5.1 Introduction

There are three component parts to the question of efficiency – first, the efficiency of the programme systems operated by DG EAC and the EACEA; second, the appropriateness of the overall budget in the light of the objectives set; and third, the efficiency of the programme in facilitating the participation of a broad spectrum of cultural operators. The evidence base we have drawn upon to assess efficiency comprises desk research, stakeholder interviews, programme data analysis and the online survey. This mix of sources means – amongst other things – that we have been able to triangulate responses from a relatively large number of beneficiaries through the online survey with qualitative perspectives from other stakeholders, and evidence from documentation.

5.2 Programme structures and systems

To what extent have the Managing Authorities actively collected and synthesised data on project and programme outputs, results and impacts or contribution to objectives? (EQ18a)

Has the application process been strengthened in terms of i) timing of calls for proposals; ii) length of application process; iii) feedback given to applicants? (EQ18c)

Have the IT systems been sufficient to allow the efficient and effective management of the programme? (EQ18d)

To what extent have the results of the actions been properly disseminated to stakeholders and the public? What is their exploitable potential, and to what extent can one say that this potential has been fully exploited? (EQ20)

In this section we consider the evaluation questions with respect to the following elements of the Culture Programme: the EACEA; IT systems; the application and selection processes used to procure projects; monitoring of project results and outcomes; the Cultural Contact Points (CCPs) and dissemination.

The EACEA was set up by Decision 2005/56/EC of the European Commission and started its operations in 2006, prior to the start of the Culture Programme 2007-13.⁴³ Its role is to manage European funding opportunities and networks in the fields of education and training, citizenship, youth, the audiovisual sector and culture. The EACEA, like other Executive Agencies of the European Commission, was set up to offer an improved management of certain EU funds and provide a better service to applicants and beneficiaries, whilst complying with the financial regulation applying to those funds.⁴⁴ Like other Executive Agencies, the EACEA is

⁴³ Commission Decision of 14 January 2005 setting up the Education, Audiovisual and Culture Executive Agency for the management of Community action in the fields of education, audiovisual and culture in application of Council Regulation (EC) No 58/2003 (2005/56/EC).

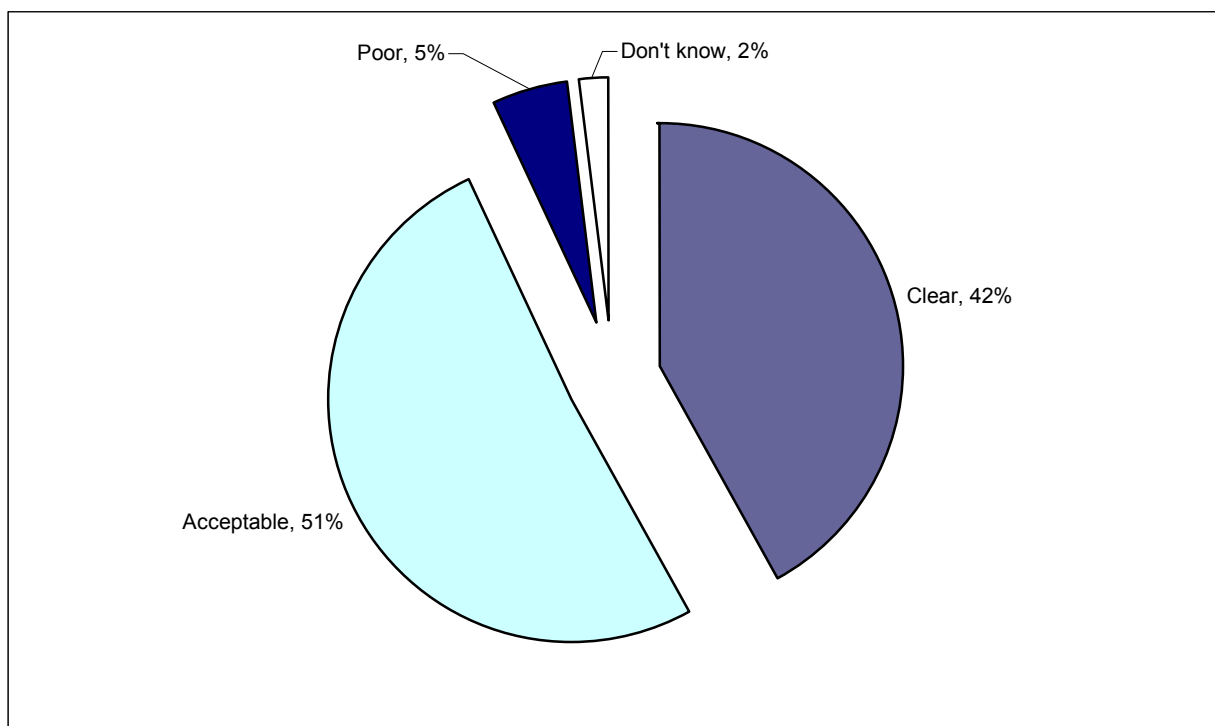
⁴⁴ For information regarding the legal framework governing the EACEA, its mandate and missions and its responsibilities for within the current Culture Programme see: <http://eacea.ec.europa.eu>.

also subject to regular external evaluation on the achievement of its objectives; the first external evaluation of EACEA was completed in 2009.⁴⁵

In respect of the current Culture Programme, the mandate of the EACEA relates to those elements of the programme with a significant “*volume*” aspect, i.e. co-operation projects (Strands 1.1, 1.2.1, 1.3.1), literary translations (Strand 1.2.2) and organisations active at European level (Strand 2), as well as to elements more related to programme management, i.e. CCPs (Strand 3.1) and support for the collection and dissemination of information about EU-funded cultural activities (Strand 3.3). This mandate covers programme management tasks throughout the lifecycle of supported projects, including the processes for application, selection, approval, contracting, monitoring and payment of projects.

Echoing the finding of the evaluation of the predecessor Culture 2000 programme, participants are generally satisfied with the application process, based on the evidence from the on-line survey, presented in Figure 5.1, below: the overwhelming majority of co-operation projects, Strand 2 organisations and publishing houses (Strand 1.2.2) surveyed found the application process to be clear or at least acceptable (though this does not take into account the views of unsuccessful applicants or others who were deterred from applying by their perceptions of the application process). This is clearly a positive finding and is reinforced by the majority of CCPs, who noted improvements in the application process in comparison with Culture 2000.

Figure 5.1 Clarity of the application process



Note: results indicate the percentage of respondents to the online survey (beneficiaries of project funding across all strands).

⁴⁵ Interim Evaluation of the EACEA; Final Report; February 2009; COWI A/S. See: http://ec.europa.eu/dgs/education_culture/evalreports/cross/2009/eaceareport_en.pdf

The evaluation of the previous programme, Culture 2000, highlighted dissatisfaction amongst applicants with the timing of the calls for applications and the length of the process. The application process has improved in terms of timing and length of processes, compared with the Culture 2000 programme. The growing experience and expertise of the EACEA has been an important factor here, as well as a number of modifications to the application process. These have included the revision of the legal base by Decision 1352/2008/EC which removed the requirement for comitology on selection decisions, with the exception of the multi-annual projects under Strand 1.1.⁴⁶ Furthermore, the simplification of the application procedure, shorter application forms, introduction of on-line applications, clearer application procedures, stable deadlines for the full period of the programme⁴⁷ (enabled by the introduction of the Programme Guide⁴⁸) and introduction of detailed feedback to applicants and introduction of flat-rates for operating grants and literary translation projects have considerably reduced the administrative burden facing applicants. Together, these modifications have served to make the application process clearer and reduce the time taken to select projects (from the submission deadline to the adoption of the grant award decision) – which was between 52 and 140 days shorter (depending on the specific Strand) in 2009 compared to 2006.

As part of efforts to improve the monitoring of outcome, results and impacts of projects, the evaluation of Culture 2000 recommended that Managing Authorities should schedule an annual visit to a proportion of projects to provide support and guidance on technical issues. In 2008, the EACEA introduced monitoring missions to projects to assess implementation progress, check compliance with contractual obligations, and offer advice. Feedback on the visits provided by beneficiaries to EACEA has highlighted positive benefits for beneficiaries in terms of establishing face-to-face contact, receiving advice and clarifying contractual obligations. For its part, EACEA reports positive benefits in terms of viewing the progress projects are making towards achieving goals. In 2008, the EACEA visited 20 site visits to projects and hosted visits from 20 projects at its offices in Brussels. In 2009, the EACEA visited 34 co-operation projects, prioritising the multi-annual projects (Strand 1.1) and those involving third countries (Strand 1.3.1), i.e. those which are more likely to face operational challenges. In the same year, the EACEA also hosted visits from 20 projects.

The EACEA has also implemented measures to improve the services to beneficiaries, for example in terms of monitoring contracts, 48% of respondents to the on-line survey (Strands 1.1, 1.2.1, 1.3.1 and 2) reported that, once their project was selected, they had a contact person at the EACEA from whom they could request support, advice and guidance; this represents a significant improvement on the Culture 2000 programme, although suggests that there remains room for improvement. In addition, the EACEA has also introduced measures to reduce the time taken to make payments to beneficiaries. Evidence supplied by EACEA demonstrates that the time taken to analyse reports and performed corresponding payments (or launch recovery orders when necessary) was between two and three months shorter in 2009 than in 2006.

⁴⁶ Decision No 1352/2008/EC of the European Parliament and of the Council of 16 December 2008 amending Decision No 1855/2006/EC establishing the Culture Programme (2007 to 2013).

⁴⁷ Section I.8 of the Programme Guide

⁴⁸ Programme Guide Culture Programme (2007-13); EACEA, November 2009. The Programme Guide contains all the essential information for applicants to the programme, including a description of objectives and strands, application procedures, selection criteria and financial conditions applying to grants.

One of the recommendations of the evaluation of the Culture 2000 programme⁴⁹ was to improve the IT systems, for example, through a programme management database. The EACAE introduced a new IT data tool in 2008. This has improved the collection, storage and use of programme data as well as the selection process for the years 2008 onwards and as such has had a positive impact on efficiency, although data for 2007 remains less accessible.

In terms of the efficiency and effectiveness of the services provided by Cultural Contact Points (CCPs), the results of the on-line survey of beneficiaries under Strands 1.1, 1.2.1, 1.2.2, 1.3.1 and 2 (see Figures 5.2 and 5.3 below), indicates that around two-thirds of successful applicants and who had a view had sought support for a variety of reasons, but predominantly to find out about the programme and/or to request help to complete an application. Use of the partner search facility appears relatively modest (about 5% of respondents), suggesting a significant proportion of applicants already had a partnership in place.

More than 60% of the respondents to the survey were satisfied with the quality of advice and guidance received. This finding is supported by the evidence from the interviews of projects supported under Strand 1.2.2, half of whom reported (without prompting) that they had benefitted from the support of the CCPs (none offered a negative opinion). There is, however, room for improvement in order to increase the proportion of beneficiaries who reported the quality of advice to be 'good' and to address the challenge highlighted by the 7% of respondents who rated the advice provided as 'poor'. It is also worth noting the relatively high number of 'don't knows' among the responses concerning the quality of advice; which may be interpreted as a rather negative finding (if people are uncertain of the quality of the advice it suggests some underlying doubt, perhaps allied to an unwillingness to criticize.) More than a quarter of respondents had not felt the need to request support, suggesting that for a significant minority the documentary guidance was appropriate and met their needs.

In terms of the quality of information provided on the national CCP websites, 58% of respondents who had an opinion thought these were good and 32% that it was acceptable. The remaining 10% rated it as 'poor'. Again, while this evidence suggests a satisfactory performance there is clearly scope to improve the quality of services in this respect and it is an issue that should be monitored periodically to track progress. Also, around one in five respondents did not have an opinion on national online information, which suggests that it may have had low visibility for/use by some operators and that there is room for improvement.

⁴⁹ Final External Evaluation of the Culture 2000 Programme (2000-06); ECOTEC Research & Consulting, 2008

Figure 5.2 Percentage of applicants seeking support from CCPs during the application process

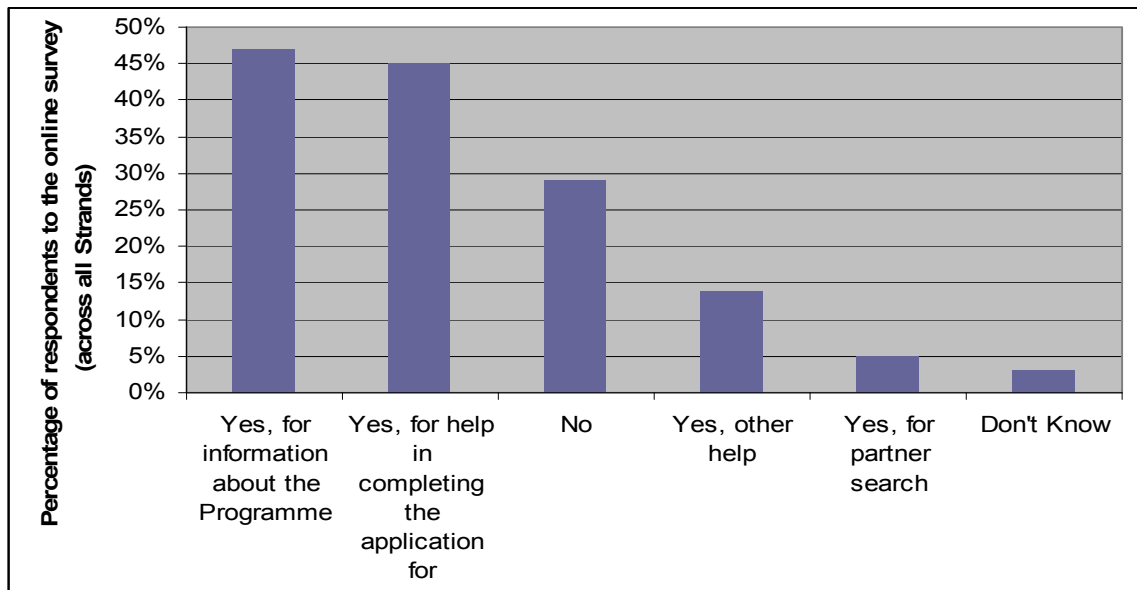
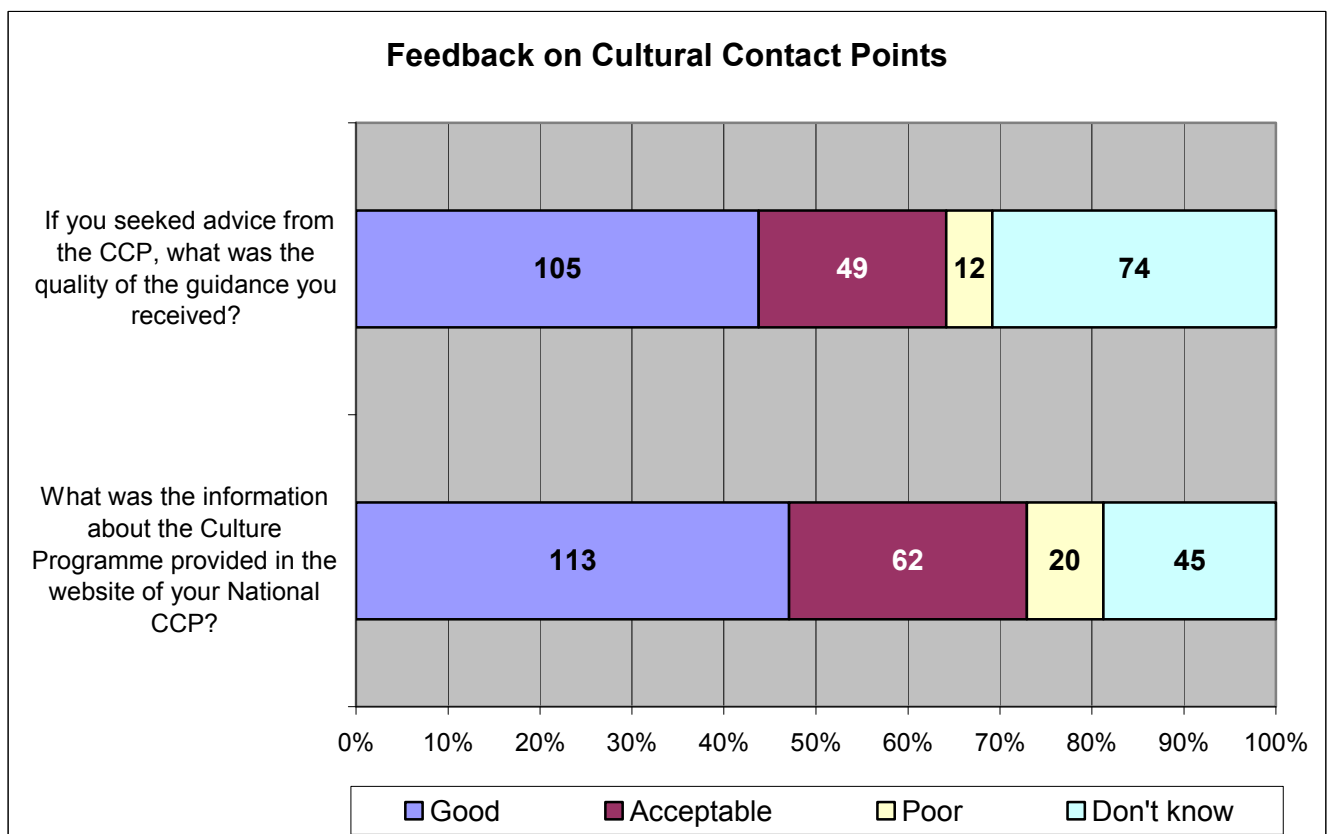


Figure 5.3 Quality of support provided by CCPs



A number of changes to CCP working arrangements have recently been introduced by DG EAC and the EACEA, with the aim of helping raise the level of service. In discussions with the CCPs (via the focus group) and the EACEA (via interviews), we reviewed these changes including output indicators, changes in the allocation of funds, feedback on financial reports, and visits each year by the EACEA to a selection of CCPs. Those CCPs that offered comments have supported the principle of indicators being applied to their work. The EACEA and CCPs alike have reported satisfaction with the new visits to CCPs as they are proving successful in terms of building co-operation, monitoring the contract, providing CCPs with information about other EU funding programmes and informing the cultural sector in each country about the programme. Overall, the focus group of CCPs reported an improved working relationship with the EACEA.

The evaluation of Culture 2000 made recommendations regarding the ways by which the promotion and visibility of the programme could be made. In general, the Commission has acted on these recommendations and thereby made significant improvements since 2006. First, the culture pages on Europa have been revamped. Second, the culture pages on the Europa website feature a new page including both policy and programme elements and thematic articles have featured in DG EAC's magazine. Third, a quarterly electronic newsletter for culture was introduced in 2009 with a mailing list of 4000 readers.

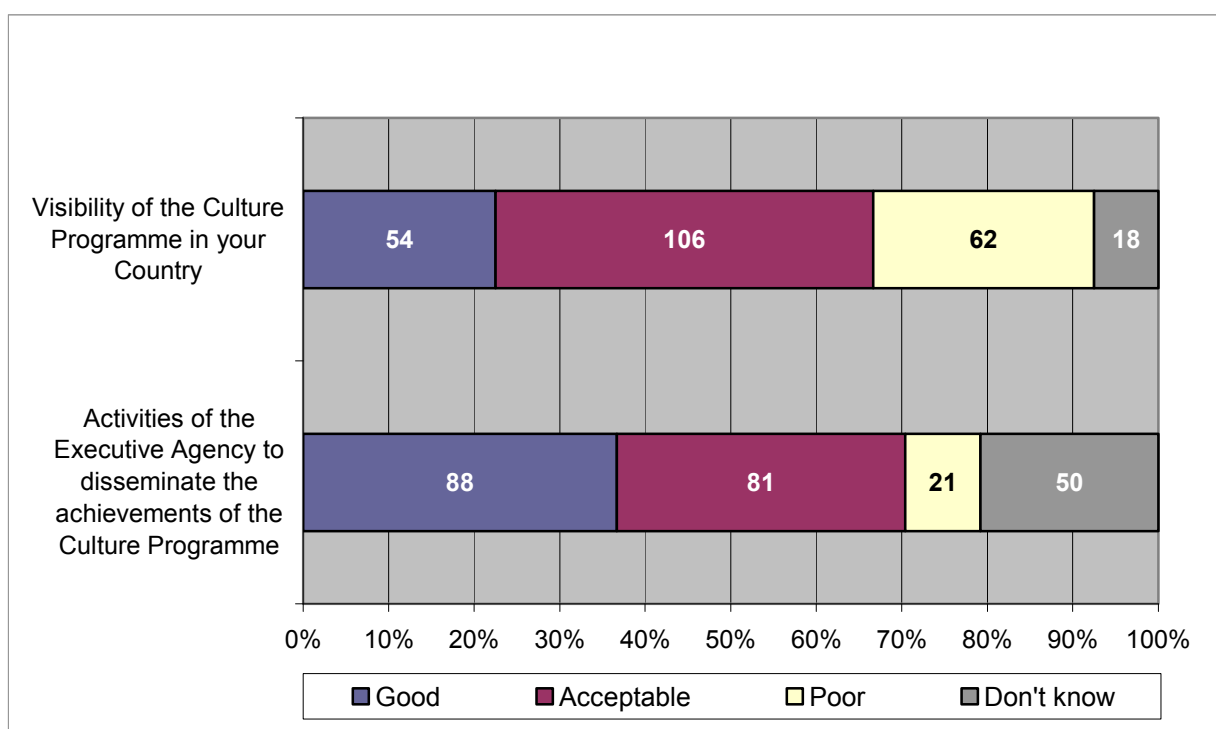
The evaluation of Culture 2000 found that the visibility of the programme was good but that dissemination activities by the Managing Authorities had not been of the consistently high standard required to successfully promote the programme and its achievements. The evidence from the on-line survey shows two things. First, whilst the visibility of the current Culture Programme (see Figure 5.4) was rated acceptable or good by most respondents, there is also some polarisation in opinions, with over one quarter regarding it as poor, slightly more than thought it was good. Secondly, most respondents thought that the dissemination activities at the European level were acceptable or good, but one in five were not able to express a view, which suggests there may be issues with awareness which might reflect negatively on these types of activities. Indeed, the interviews of co-operation projects suggested that lack of awareness may be an issue: about one-third of those interviewed stated that they would like to see more dissemination activities undertaken at EU level, including more chances for project promoters to meet. The two Culture Programme Conferences (which took place in Brussels in December 2008 and September 2009 and featured projects funded by Culture 2000 and the Culture Programme 2007-2013) represent an important new development since the Culture 2000 Programme in terms of the dissemination and exploitation of results ("*valorisation*") and the findings of the interviews clearly demonstrate the need to repeat this particular event – which the Commission intends to do on a regular basis. A brochure summarising the projects at the conferences is also produced and made available on-line afterwards.

In summary, the findings concerning the efficiency of programme systems and structures suggest that:

- Performance has been maintained or improved compared with the Culture 2000 Programme and a number of specific improvement measures have started to have positive effects (in particular more efficient application procedures, IT systems and monitoring visits).
- Systems are in place to collect and synthesise data, but there is no clear evidence as yet that these are being fully exploited as a management tool, although sufficient time needs to be allowed for this to take effect.

- The quality of support provided appears to have been maintained relative to the previous programme but there is evidence that satisfaction rates of beneficiaries, while adequate could be improved still further.
- Promotional activity by national bodies maintains the visibility of the programme at satisfactory levels, but the consultation evidence suggests it remains a challenge to make the step-change improvements that a significant minority of stakeholders would like to see (recognising that the rates of applications that the programme attracts are not a major concern) and this may have resource implications. One option might be for CCPs to invite project beneficiaries to share their experience at local 'info-days', as a means of helping make such a step-change.

Figure 5.4 Visibility of the programme and the effectiveness of dissemination activities at EU level



Number/percentage of respondents to the online survey (co-operation projects and Strand 2 organisations supported by the programme)

5.3 Overall budget

Have EU co-financing inputs been appropriately balanced across strands and years? To what extent is the budget sufficient to satisfy the demand for support? Is the size of budget for the programme appropriate and proportional to what the programme set out to achieve? Is it sufficient for reaching a critical mass of impacts? Could the same results have been achieved with less funding? Could the use of other policy instruments or mechanisms provide better cost-effectiveness? (EQ18)

Decision 1855/2006/EC establishing the Culture Programme committed a sum of €400m to the implementation of the Culture Programme over the period 1 January 2007 to 31 December 2013 (equal to an annual average of €57m over the seven-year period). Whilst the Decision did not specify annual budgets for the programme the financial annex to the Decision foresaw a gradual increase year on year during the life of the programme. The Decision specifies the share of the total budget to be devoted to the different strands, as illustrated in Table 5.1 below.

Data supplied by the European Commission shows that total expenditure by strand over the period covered by the evaluation was just less than €153m, which is 38% of the total budget for 2007-13. Reflecting a fairly typical start-up pattern for EU programmes, expenditure in the first two years was approximately 85% of the average annual budget of €57m and 97% in the third year. The investment in Strand 1.1 in 2007 was large relative to the other strands (i.e. nearly 39% of the budget for that year, against the illustrative percentage of 32% noted in the Decision) and relative to expenditure in that strand over the next two years. However, in 2008 and 2009 (indeed over 2007-09 as a whole), the proportion of the budget expended by each strand has been very close to the illustrative percentages presented in the Decision. The strand that has fallen most short of its intended allocation has been Strand 1.3 Special actions. However, overall, we would conclude that the inputs of EU co-financing have been appropriately balanced across strands and across the financial years 2007-09.

Table 5.1 Finance allocated by the Culture Programme (2007-09)

	2007 %	2008 %	2009 %	% 2007- 2009	Decision %
1.1 Multiannual projects	38.83	31.50	28.35	32.68	32.00
1.2 Annual projects (including Literary translation projects)	27.47	32.37	30.90	30.28	29.00
1.3 Special actions (including third countries)	11.77	10.00	17.03	13.13	16.00
2 Organisations	10.33	12.28	11.92	11.52	10.00
3 Accompanying measures	3.61	5.33	3.88	4.26	5.00
Operational costs	7.97	8.51	7.93	8.13	8.00
TOTAL	100.00	100.00	100.00	100.00	100.00

Source: programme data supplied by EACEA

Overall, the programme data shows that there is a high level of demand for funding from the programme, based on the number of applications relative to the funding available. Moreover (as discussed in section 5.4), the data from the on-line survey suggests that the demand from small organisations is strong across Strands 1.1, 1.2.1, 1.2.2, 1.3.1 and 2. This high demand exists despite a number of barriers to participation reported by a number of projects, CCPs and other stakeholders. Indeed, the suggestion is that there is a latent demand for the programme from many cultural operators which is not yet manifested as submitted applications.

The demand for support from co-operation projects (Strands 1.1, 1.2.1, 1.3.1) is relatively high with only about one in four applications being selected. Of those co-operation projects selected, nearly all those interviewed stated that the maximum budgets available (up to €500k per year for Strand 1.1 and €200k for Strand 1.2.1) were sufficient for them to implement the desired activities. A small number of Strand 1.3.1 projects reported that the budget was insufficient given the greater costs of co-operating with third countries. Nearly all interviewees across all three strands stated that without EU funding the activities would not have taken place at all or been much reduced in scope or scale. The most common problems reported in respect of project budgets related to co-financing; around half of co-operation projects stated (without prompting) that the rate of 50% EU co-financing was insufficient and/or that they had faced difficulties with the other sources of financing. Nearly all the interviewees operating outside of the Eurozone reported that uncertainty over exchange rates had led to uncertainty over the precise level of their budgets.

Looking ahead, there is a risk that difficulties relating to co-financing may have a more significant deterrent effect on the number of applications in future years than they have had during the years covered by the evaluation. The impact of the financial crisis on international cultural co-operation cannot yet be fully understood, as it may take some time before public funding cuts at the national level, or reductions in private sponsorship begin to affect the capacity of project promoters to find co-financing from national, regional or local sources. However, the first indications are that budget cuts are taking place, which raises new challenges for cultural operators who wish to apply for support from the Culture Programme. As the Commission considers the possibility of a new programme for culture for the post-2013 period, the advantages and disadvantages of co-financing rates should be carefully assessed in the light of the programme objectives and priorities and circumstances prevailing in the cultural sector. If the required levels of co-financing do not reflect these circumstances, a large number of cultural operators could effectively find themselves excluded from applying under the programme and this could inadvertently prevent the programme from being able to achieve its objectives.

Within Strand 1.2.2, the programme data shows that the demand for support for literary translations exceeds the resources available, but proportionally less than is the case in the co-operation project strands. For example, applications were submitted in respect of 788 books in 2008, of which 433 (55%) were supported and in 2009 some 160 publishing houses⁵⁰ applied to translate some 732 books, leading to 370 (51%) translations being supported. In addition to this expressed demand, some stakeholders, including one of the main associations in the field, have recommended that translation of non-fiction be supported also, although it is difficult to devise an appropriate definition which would fit within the boundaries of the Treaty base for culture. Furthermore, there are also some calls to stimulate the circulation of European literature in and outside of Europe, for example, by

⁵⁰ Data for the number of books covered by applications was not available (publishers can apply for more than one book).

facilitating the development of “*packages*” aimed at the promotion of European literature. There are also calls to widen the range of eligible languages. Clearly, were the types of literature eligible for support or the range of languages to be widened, demand would exceed the resources available yet further. Another important consideration is that demand does not fully reflect the need or potential for literary translations in Europe; as we discuss in section 6.3, very few applications have been received for translations into the three most-commonly spoken languages (English, French and German) and relatively few for Polish and Spanish. Whilst action is needed to address this imbalance (not least because some of these languages can serve as “*pivot*” languages for further translations into other languages), an increase in translations into these languages would be at the expense of translations into other languages. Indeed, were the number of applications per head from the anglophone, francophone and germanophone countries to be raised to the average of the other countries participating in the programme, we estimate that around 80% more applications would be submitted.

With regard to Strand 2, its origins are slightly different from the others; up to 2006, the European-level organisations previously received funding directly earmarked by the European Parliament rather than through an open call for proposals. The move to an open call for proposals has brought greater openness and transparency to the allocation of funding, which is reflected in a high demand for support. The level of demand relative to resources was fairly modest in 2008 (when 57% of applications were funded) but in the other two years demand far exceeded the resources available: only 28% of applications were selected in 2007 and only 30% in 2009.

In summary, the demand for support from the Culture Programme far exceeds the resources available – particularly in the case of co-operation projects and organisations active at European level, where only about one in three or in four applications have been funded in most years. There is also evidence of need/demand for support which is not yet expressed as submitted applications, due to a number of reported barriers to participation. Clearly, the reduction of these barriers would lead to demand exceeding resources yet further, with the risk of disappointing an even greater number of unsuccessful applicants – including a greater number of projects that score highly, but not highly enough to receive (scarce) funding. The resources currently available to support literary translations are relatively high in relation to the level of demand expressed to date, with more than one in two applications funded. However, a substantial increase in resources would be required to raise the number of translations per head of population in the anglophone, francophone and germanophone countries to the average of the other countries participating in the programme. For these reasons, the size of budget is not sufficient to fulfil the full potential of the programme and for satisfying the demand from the cultural sector for this type of support. Moreover, given the difficulties reported in relation to co-financing, it is unlikely that the same results could have been achieved with less funding.

5.4 Participation in the programme

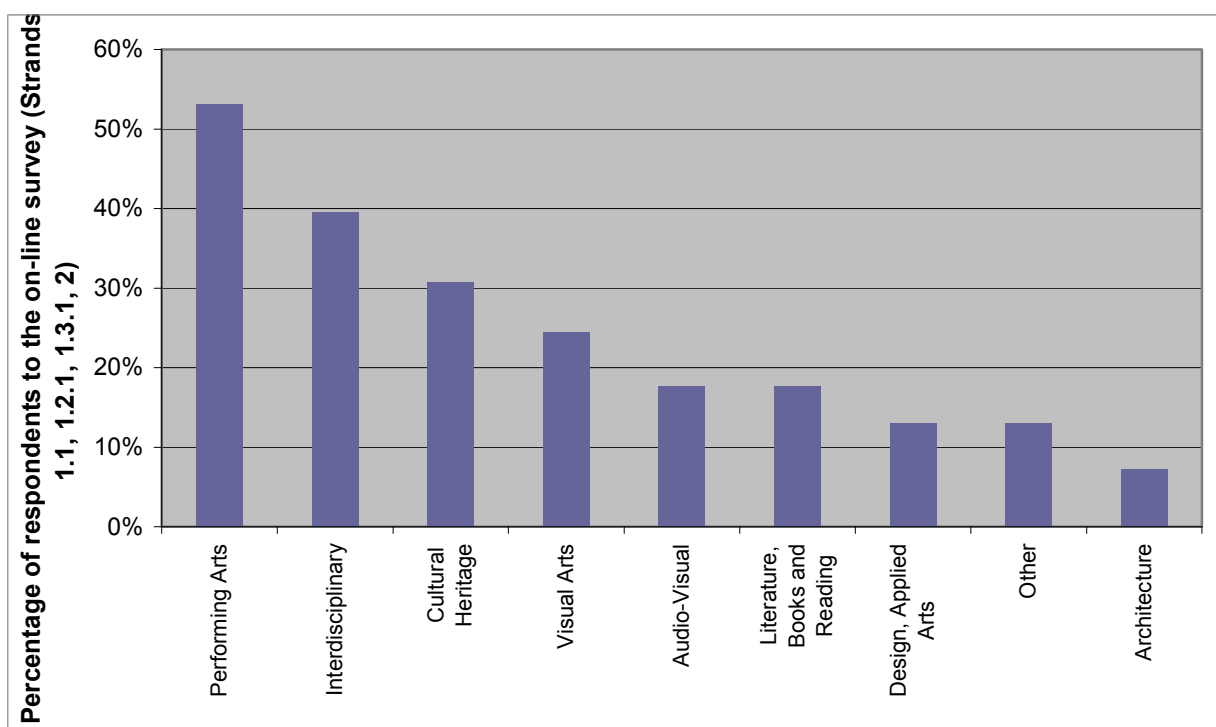
5.4.1 Types of organisation

Does participation in the programme appear satisfactory in terms of representation of different cultural sectors and categories of actors? (EQ14)

Does participation in the programme appear satisfactory in terms of “small operators” and “small cultural enterprises” being able to participate in the programme? How have barriers to their participation been overcome (organisational experience and financial resources)? (EQ15a)

Article 1 Decision 1855/2006/EC states that the programme should be open to all cultural sectors. However, the Culture Programme Guide states that “organisations and firms having their main activity in the audiovisual sector are not eligible” (since they are catered for by other programmes, notably the MEDIA Programme with a budget of €755 million for 2007-13). The evidence from the on-line survey suggests that the programme has achieved participation from across the different sub-sectors of the cultural field (see Figure 5.5). The largest group of respondents were from the performing arts sector, but nearly half described themselves as “interdisciplinary”, reflecting the nature of much contemporary cultural activity. The cultural heritage and visual arts sectors are also well represented.

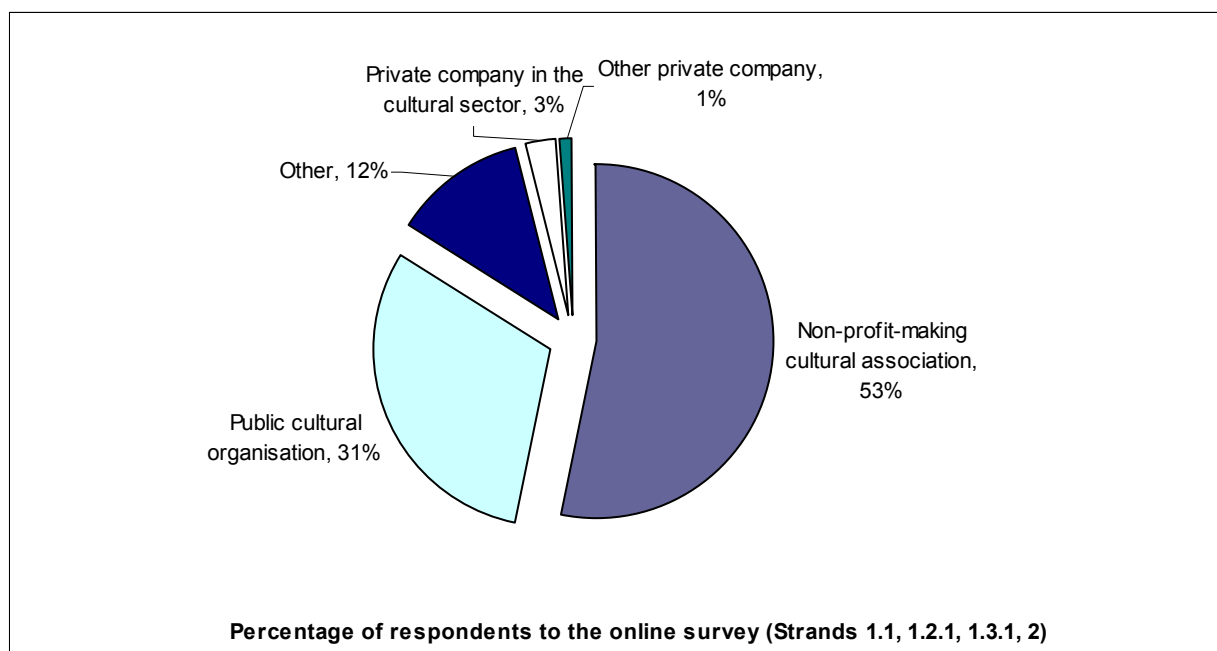
Figure 5.5 Sector of participants in the Culture Programme (Strands 1.1, 1.2.1, 1.3.1, 2)



* N.B. Respondents were allowed to select more than one sector.

Article 3 of the Decision establishing the Culture Programme anticipates the participation of *"non-audiovisual cultural industries, particularly small cultural enterprises, where such industries are acting in a non-profit-making cultural capacity"*. The evidence from the survey of co-operation projects and Strand 2 organisations suggests that the Culture Programme is predominantly attracting non-profit-making cultural associations, as well as small and medium-sized organisations in general (see Figures 5.6 & 5.7). Similarly, the evidence from the survey of Strand 1.2.2 beneficiaries also suggests that the programme is proving effective in successfully attracting small publishing houses to undertake literary translations (Figure 5.8) with nearly two thirds of survey respondents employing ten employees of fewer. However, the programme has not been successful in attracting enterprises, with only one in 25 of participants in co-operation projects that responded to the on-line survey describing their organisation as a private company. Anecdotal evidence suggests that this may be due, at least in part, to the current formulation of the programme's objectives, which lack resonance for operators of this nature. One of the barriers to participation in the programme that was most often mentioned by projects and stakeholders interviewed was the difficulty in securing co-financing – which also reflects the finding of the Extended Impact Assessment that the sector suffered from a lack of resources.⁵¹

Figure 5.6 Types of organisations participating in the Culture Programme (Strands 1.1, 1.2.1, 1.3.1, 2)



⁵¹ Commission of the European Communities (2004), New Cultural Programme (2007-2013) Extended Impact Assessment integrating ex ante evaluation requirements, SEC(2004) 954.

Figure 5.7 Size of organisations participating in the Culture Programme (Strands 1.1, 1.2.1, 1.3.1, 2)

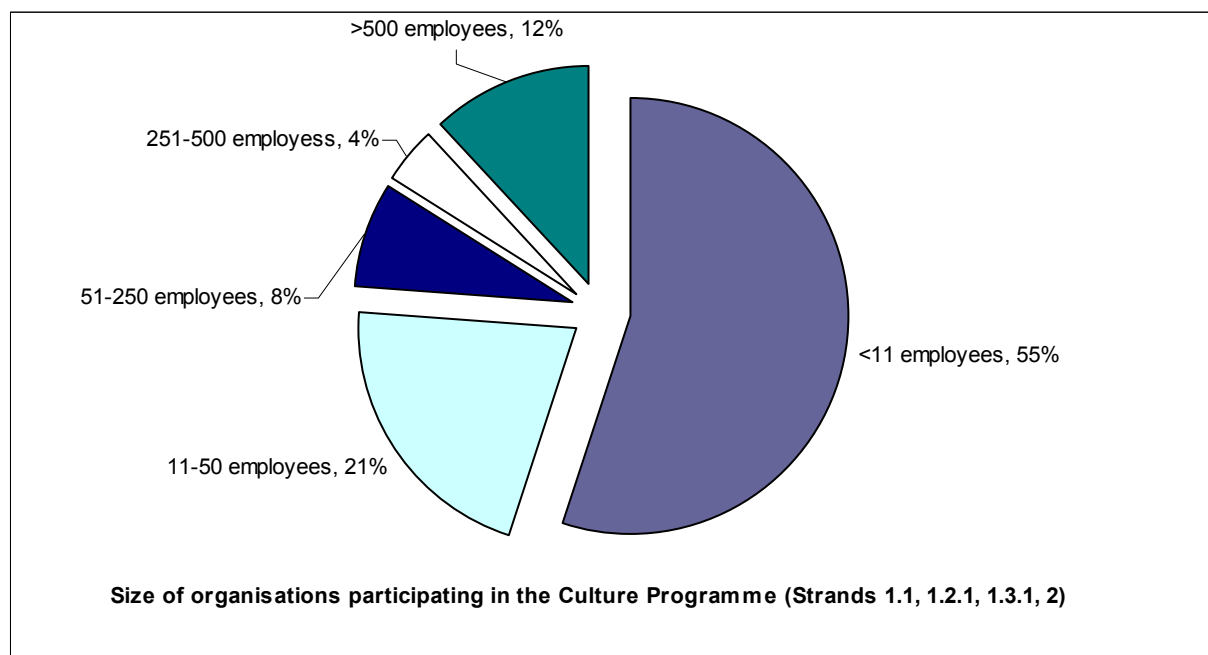
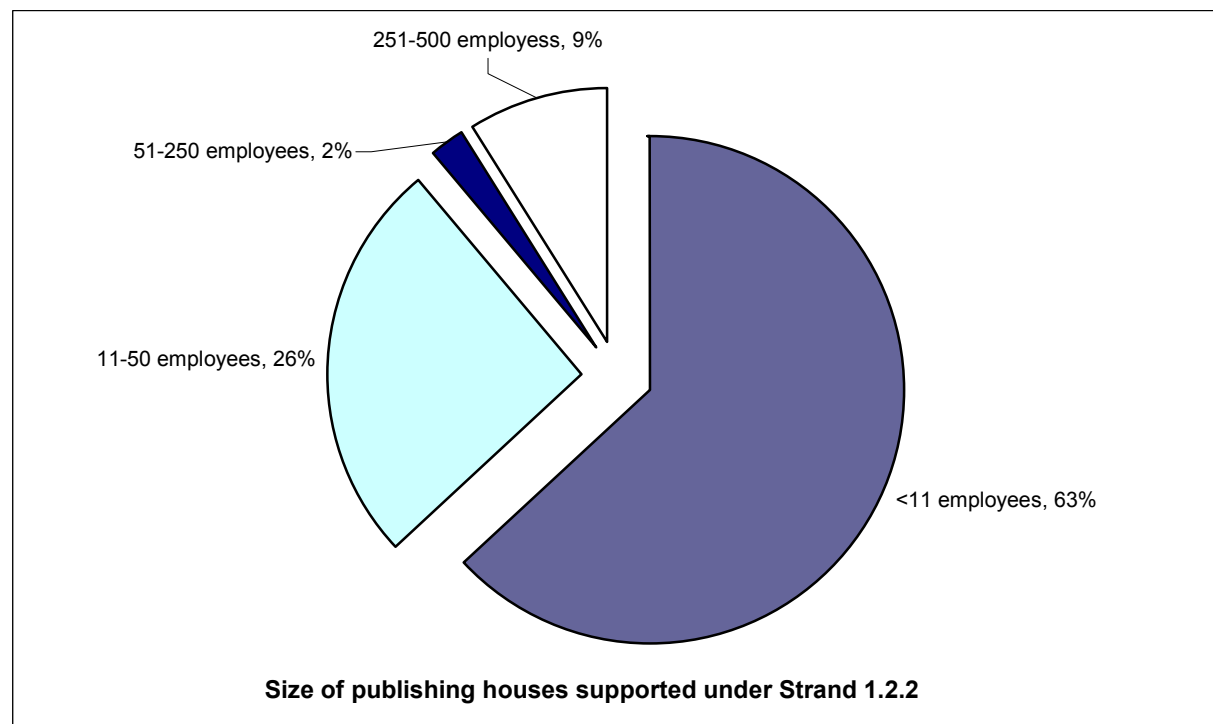


Figure 5.8 Size of publishing houses supported under Strand 1.2.2



5.4.2 Geographical balance

Does participation in the programme appear satisfactory in terms of geographical coverage, within the EU and with third countries? (EQ15)

The expectation of the Decision is that there will be a reasonable degree of geographical balance in the participation of cultural operators in the programme. Indeed, the Decision's recital 22 calls for *"measures to address low participation rates of cultural operators in any Member State or participating country"* (where necessary), although the Decision does not specify any particular measure to undertake on this issue. In practice the selection process does not give preference to applications from any particular countries. The question of geographical balance of participation would primarily apply to those strands featuring a large volume of participants, notably co-operation projects (Strands 1.1, 1.2.1, 1.3.1) and organisations active at European level (Strand 2). We therefore consider the geographical balance of participation in those strands in the remainder of this section. In the case of literary translations (Strand 1.2.2), we also consider the balance of source and target languages (a strong indicator of geographical balance) later in section 6 (*"Effectiveness"*). In other strands, geographical balance is less relevant in the evaluation (for example, analysis activities in Strand 3.2) or is ensured by binding criteria, for example, each year two Member States nominate candidates for the European Capital of Culture according to an order of entitlement set out in the Decision establishing the ECOC Action.⁵²

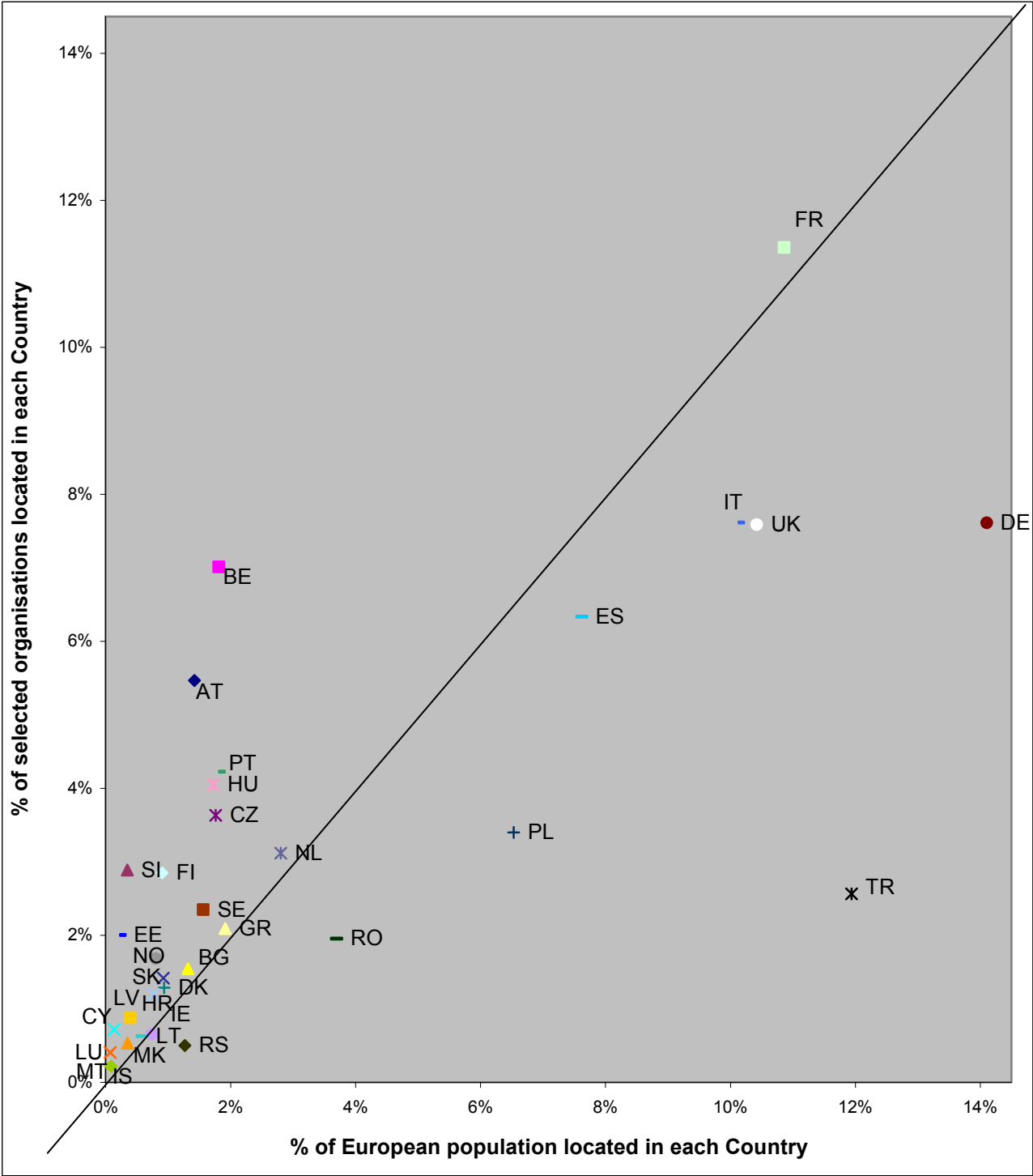
Looking at the geographical balance of participation both in applications and in selected projects, we can see that a number of common trends emerge within or across these strands.

First, whilst participation in co-operation projects in absolute terms is highest in large countries, in relative terms it is higher in small and medium-size countries as shown in the table below (covering all three Strands involving co-operation projects). In Strand 1.1, for example, in each of the nine largest EU Member States (as well as Turkey) their share of participants in the programme was less than their share of the EU population.⁵³ In contrast, the eighteen smallest Member States (as well as Iceland, the Former Yugoslav Republic of Macedonia and Norway) all enjoyed a share of participating organisations that was equal to or (in most cases) greater than their share of the population. Similarly, in Strand 1.2.1 participation relative to population was highest in small and medium-sized countries such as Slovenia, Estonia, Malta, Austria and Iceland and equal to or below the average in the eight largest countries (France, Germany, Italy, Poland, Romania, Spain, Turkey and the UK). This *"small country effect"* may reflect two factors: first, the fact that operators in small countries may be more used to crossing borders as part of everyday life; second, the existence of a dedicated CCP in each country, meaning that CCPs in small countries can reach a higher proportion of the cultural sector in those countries (even allowing for the fact that CCPs in large countries receive more funding in total).

⁵² Decision No 1622/2006/EC of the European Parliament and of the Council of 24 October 2006 establishing a Community action for the European Capital of Culture event for the years 2007 to 2019.

⁵³ Total EU population includes only the 27 Member States.

Figure 5.9 Participation in co-operation projects by country relative to population size



Second, EU15 countries tend to be better represented than other countries as co-ordinators in Strands 1.1. Of the 30 co-ordinators of projects selected under Strand 1.1, 25 were from the EU15 countries of which Belgium and France accounted for five each, and Italy and UK four each. Three co-ordinators were from EU12 (Czech Republic, Hungary and Slovenia) and two were from non-Member States (both from Norway). Participation as co-organisers/partners in selected projects appears to be more balanced across EU15 and other countries than is the case for co-ordinators. It is hard to draw firm conclusions from these figures, as the number of selected projects (30) is relatively small. However, it would appear that the leadership of projects is undertaken in greater proportion by organisations in the EU15 countries, perhaps reflecting factors such as the state of development of the cultural sector and greater experience of co-ordinating EU-funded projects.

Third, EU15 countries tend to be better represented than other countries as participants (whether co-ordinators or co-organisers/partners) in Strand 1.3.1. Indeed, all but two of the 19 co-ordinators of Strand 1.3.1 projects selected in 2007-08 were from EU15 countries, the other co-ordinators coming from Croatia and Slovenia. Moreover, of the 32 co-ordinators and co-organisers of Strand 1.3.1 projects selected in 2008, only two were not from EU15 – one each from Bulgaria and Turkey. Again, the number of projects is relatively small making it difficult to generalise. However, a common opinion expressed in interviews was that cultural operators are more likely to be involved in third country cooperation projects where their own countries have a strong cultural and/or historical (often ex-colonial) link with the relevant target countries. Consequently, this tends to mean a greater involvement for larger rather than smaller European countries and countries in western Europe. In the case of Brazil (the eligible third country in 2008), there is some evidence to support this view, since five of the 32 European co-ordinators/co-organisers were from Portugal, second only to Italy (seven co-ordinators/co-organisers). In contrast, no Portuguese organisations were co-ordinators/co-organisers in the 2009 round and none were co-ordinators in 2007.

Fourth, participation is most balanced geographically in Strand 1.2.1. Indeed, whilst the sixth largest Member States (as well as Turkey) were all under-represented relative to population (and the small and medium-sized countries mostly over-represented), this effect was less pronounced than in Strands 1.1 and 1.3.1. Similarly, the co-ordination of co-operation projects was more balanced between the EU15 and EU12 countries than in the other strands. This suggests that the design of Strand 1.2.1 has perhaps proved effective in increasing accessibility of the programme to a wider set of operators.

Fifth, there was predominance of EU15 countries in Strand 2. Indeed, just three organisations from EU12 or from non-Member States were selected under Strand 2 – one each from Bulgaria, Romania and Turkey. Belgium featured the largest number of selected organisations, probably reflecting the fact that bodies active at European level are more likely to be located in or near Brussels. Similarly, it was suggested by stakeholders interviewed that the predominance of EU15 countries reflects the fact that EU12 and non-Member States are less likely to host bodies that conform to the criteria for this strand – a European “*presence*” typically requiring such bodies to be physically located in a Member State and most of the supported organisations having been in existence since prior to the accession of the EU12 countries (for example, the 21 bodies supported in 2008 that had received funding earmarked by the European Parliament prior to the competitive selection process through open calls).

Sixth, there were instances of individual countries being particularly well represented or under-represented in applications and in selected projects, regardless of their size and whether they were from EU15 or EU12. For

example, participation from organisations in Belgium in co-operation project strands is high relative to population, including as co-ordinators in Strand 1.1 (5 out of 30 projects), in part reflecting perhaps the number of organisations with a European focus based in Brussels. Similarly, participation from organisations in Austria, Hungary, Portugal and Slovenia in co-operation project strands is also high relative to population. A much higher number of organisations in Italy were involved in applications to Strands 1.1 and 1.2.1 than were organisations in other countries: 772 Italian organisations were involved in applications to Strand 1.2.1 – twice as many as any other country. Italy also accounted for twice as many co-ordinators of applications to Strand 1.1 (22%) as did France (the country with the second highest number of co-ordinators). However, it is notable that applications featuring an Italian partner enjoyed a relatively low success rate under these strands: just 11% in Strand 1.1 and 13% in Strand 1.2.1. Italy also experienced a low success rate within Strand 1.2.2, i.e. about 25% compared to the programme average of 45%. Some other countries also experienced a low success rate within Strand 1.1: of 52 organisations from Greece involved in applications (of which seven were co-ordinators), none were involved in selected projects, 5 from 50 organisations in Romania (10% success rate), 5 from 47 in the Netherlands (11%), 15 from 132 in Italy (11%) and 7 from 59 in Poland (12%). This may signal a need for further work by the CCP in some countries.

Last, there were significant imbalances within the literary translation strand (as we consider in more depth in section 6). The number of applications was highest in Italy, Slovenia, Bulgaria, Greece and Hungary and also high in these countries relative to population. Applications in Norway, Finland and Lithuania were also high both in absolute terms and relative to population. With the notable exception of Italy, and to a lesser extent Spain, very few applications were received from large countries such as France, Germany and the UK, both in absolute terms and relative to population. The interviews suggested the following possible explanations for the low participation of publishing houses in some countries: a reluctance by publishers to translate into the three most prominent European languages (English, French and German); the presence of similar grants for translation at the national level which might be perceived as easier to obtain, e.g. in France or Sweden – although demand for support from the Culture Programme remains high in Norway, despite the existence of a national grant scheme; and varying degrees of awareness of the programme among publishing houses in different countries.

5.5 Summary

The efficiency of the application process and the management of the programme have been considerably improved compared to its predecessor. The growing experience and expertise of the EACEA has been an important factor here, as well as a number of modifications to the application process. The time taken to make grant payments to selected projects and organisations has also been considerably reduced. Cultural Contact Points continue to provide an acceptable, albeit diverse level of service to successful applicants to the programme. Although still at an early stage, the recent changes made by DG EAC and the EACEA to CCP working arrangements appear to be helping raise the level of service.

There has been a high number of applications relative to the funding available: only around one in four applications to the co-operation projects strands has been funded and only around one in three applications from organisations active at European level. Demand for support for literary translations (Strand 1.2.2) is lower, with around one in two of all applications being funded, but this level of expressed demand does not reflect the identified need for more translations into certain languages, notably English and French. Overall, this suggests

that the broad allocation between the three main “*volume*” activities is broadly correct, notwithstanding the need to generate more applications for literary translations into certain languages.

The programme has mostly met expectations in terms of participation by type of organisation; the largest group of participants were from the performing arts sector (more than half), but a relatively high proportion are “*interdisciplinary*”. The programme is proving successful in enabling non-profit cultural organisations and small and medium-sized organisations in general to participate. There has been a good geographic balance in applications and in participation, although with some important differences between countries and within specific strands.

6.0 Effectiveness

6.1 Introduction

In this chapter we consider the issue of effectiveness. We consider the general question of the extent to which activities undertaken within the programme have been effective in contributing to the achievement of the programme's objectives, through an analysis of the responses to the online surveys, the interviews undertaken, the review of projects and desk research, with the case studies providing illustrative examples. We look at effectiveness in terms of the extent to which supported operators pursued the specific objectives of the programme, the nature of activities undertaken and outputs produced, the factors that hindered the effectiveness of those activities and the impacts of activities.

In terms of the objectives against which to consider effectiveness, it is clear that whilst there are three specific objectives within the programme (mobility of players, circulation of works, intercultural dialogue) there are also other transversal objectives which are mentioned in the Decision, including the promotion of cultural and linguistic diversity, which is linked to intercultural dialogue. We thus present evidence with respect to all of these objectives. There is also a more 'transversal' objective of building capacity amongst cultural operators to undertake transnational co-operation but this is considered in section 7 since it is more appropriately included in the discussion in relation to sustainability.

The specific objectives of the programme are pursued by the implementation of activity funded by the different strands.⁵⁴ In this section, we consider the effectiveness of the strands against the objectives, with the strands organised into four groupings formed on the basis of their similarity of purpose and/or activities:

- Co-operation projects (Strands 1.1, 1.2.1, 1.3.1), which are considered together due to the similarity of their purpose and activities, i.e. support for transnational partnerships to implement cultural activities in pursuit of the specific objectives of the programme;
- Literary translations (Strand 1.2.2), which form a very distinct set of activities and are thus considered separately from the other strands;
- Organisations active at European level (Strand 2), which are distinct from the other strands in that they are supported by means of operating grants; and
- Special actions (Strands 1.3.2, 1.3.3, 1.3.4), which are considered together because of their high-profile nature, although they are not intended to be implemented as an integrated sub-programme; support for cultural co-operation with third countries (Strand 1.3.1) although classed as a special action has been grouped with the other co-operation projects for the purposes of this exercise.

It should be noted here that the evidence base for the findings relating to these groupings varies significantly. Most data has been gathered for the co-operation projects and, to a lesser extent, the organisations active at European level because of their volume and the proportion of the programme budget that they account for;

⁵⁴ The strands (or groupings thereof) also constitute the operational objectives for the evaluation.

findings are based on an analysis of programme data, interviews, the review of projects, the on-line survey and case studies. Findings relating to the literary translations are mostly based on quantitative analysis of programme data and responses to the online survey, but have been enriched by the interviews. Analysis of the European prizes and support for international organisations (special actions) is based on a review of literature as well as a relatively small number of interviews. Findings relating to ECOC draw on the two separate evaluations undertaken of the 2007/08 and 2009 titles.⁵⁵

Strand 3 does not directly co-finance cultural operators but instead finances support measures for the management of the programme. On that basis, Strand 3 has been considered within the “*Efficiency*” section of this report (section 5).

6.2 Co-operation projects (Strands 1.1, 1.2.1 and 1.3.1)

In evaluating the effectiveness of co-operation projects, it is necessary to consider briefly the rationale for such projects as well as their intended effects.

As noted in section 4 (“*Relevance*”), co-operation in the field of culture between the Member States and also with third countries is one of the main objectives of Article 167 of the Treaty. According to Article 167, such co-operation is to be encouraged by the Community as a means of promoting both cultural diversity and the common cultural heritage. As noted by the Extended Impact Assessment (EIA), such co-operation thus makes a significant contribution to the political priorities of the EU, relating to citizenship, dialogue and peace and prosperity.⁵⁶ According to the EIA, these benefits can be secured if, through co-operation, cultural operators are able to “*reach a broader audience, to give the public the opportunity to benefit from high-quality cultural activities of European dimension*”.

Despite the perceived benefits of transnational multilateral cultural co-operation, the EIA goes on to suggest that the nature and volume of co-operation at that time was sub-optimal and unstable. It quotes a report on the state of cultural co-operation in Europe, which describes it as being made up of “*an extensive, multilateral flow of projects and initiatives*” initiated by a diverse set of actors but forming a series of independent projects that are supported less and less by “*the State*”. The EIA highlights certain characteristics of the sector that discourage transnational co-operation such as heterogeneity of structures and of working conditions, shortages of resources and uncertain funding. It also lists a number of other barriers to transnational co-operation, including lack of information, legal and administrative barriers (although these are said to be diminishing) and, above all, insufficient funding dedicated to such co-operation. Indeed, the EIA goes on to note that multilateral transnational cultural co-operation is dependent on EU co-financing, since Member States tend to finance only national or bilateral cultural projects.

In light of this situation, the Culture Programme thus provides financial support for multi-lateral partnerships to develop and undertake joint cultural activities. Partnerships are supported through three strands that support

⁵⁵ Ex-post Evaluation of 2007 & 2008 European Capitals of Culture; study prepared for the European Commission; ECOTEC Research & Consulting; 2009. Ex-post Evaluation of 2009 European Capitals of Culture; study prepared for the European Commission; ECOTEC Research & Consulting; 2010.

⁵⁶ Commission of the European Communities (2004), New Cultural Programme (2007-2013) Extended Impact Assessment integrating ex ante evaluation requirements, SEC(2004) 954.

different types of co-operation projects implemented by transnational partnerships, as illustrated earlier in Table 2.3. Projects under all three strands are “*intended to enhance the common European cultural area with a view to encouraging the emergence of a sense of European citizenship*”.⁵⁷ According to the Decision, the intention is that such partnerships will become self-sustaining in the long-term.⁵⁸

We have explained earlier (in section 4.1) how the mobility of cultural players, the circulation of works and intercultural dialogue (the three specific objectives of the programme) are inherent to the enhancement of the common cultural area – as is also the promotion of cultural and linguistic diversity (a transversal objective of the programme). In the case of the co-operation projects, these objectives are to be pursued through the formation of partnerships that jointly implement cultural activities. Projects across the three strands are thus assessed and selected against identical award criteria⁵⁹ which prioritise (amongst other things): the excellence of cultural activities and relevance to the three specific objectives (mobility of players, circulation of works, intercultural dialogue). Indeed, applicants to the co-operation project strands (Strands 1.2.1 and 1.3.1) are required to indicate how they intend to address at least two of the specific objectives and applicants to the multi-annual co-operation project strand (Strand 1.1.) must address all three.⁶⁰

The formal programme documents (notably the Decision and the Programme Guide) do not specify how projects should promote mobility of players, circulation of works and intercultural dialogue (or cultural and linguistic diversity), the actions they should take or the effects that should be achieved in that respect; partnerships are free to determine their own approach in light of their own interpretation of the objectives and their own imperatives. Similarly, the same documents do not offer criteria by which to measure the success of co-operation projects against these three specific objectives. The intervention logic for this evaluation therefore suggested a number of intended effects that might broadly relate to mobility of players, circulation of works, intercultural dialogue. These consist of new (cultural) products and activities, the volume of individuals and organisations benefitting, results in terms of those individuals and organisations being more likely to participate in exchanges in future and impact in terms of the sustainability of partnerships.

In the remainder of this section (as well as in the next section on “*sustainability*”), we thus consider the effectiveness of co-operation projects in achieving these intended effects. First, we explore the activity that was undertaken, i.e. the cultural (and other) actions undertaken by the partnerships with co-financing from the Culture Programme (the cultural outputs). Next, we consider the extent to which those cultural actions constituted actions that pursued each of the specific objectives of promoting mobility, circulation and intercultural dialogue (as well as cultural and linguistic diversity) and their effectiveness against each of those objectives. Later, in section 7 (“*Sustainability*”), we go on to consider the longer-term impact of the co-operation projects in terms of generating sustainable activities and sustainable partnerships.

⁵⁷ Article 3 of Decision 1855/2006/EC.

⁵⁸ Annex 1 of Decision 1855/2006/EC.

⁵⁹ In addition to the criteria common to all three strands, there is also a set of criteria relating only to co-operation projects with third countries.

⁶⁰ The on-line survey identified that most applications under the three co-operation project strands (Strand 1.1, 1.2.1, 1.3.1) pursue all three objectives.

6.2.1 Cultural actions implemented by co-operation projects

As we have just discussed, the rationale for co-operation projects is that progress towards the programme objectives will be made by financing a large number of (especially small) operators to form partnerships that undertake joint cultural activities. Of course, those partnerships pursue their own objectives first and foremost, but those objectives must be sufficiently aligned with the objectives of the programme for them to be selected for support. In fact, projects' objectives are stated very explicitly in their applications as well as in their interim and final reports. On this basis, it is possible to draw some conclusions about what the partnerships themselves were aiming to achieve. Similarly, partnerships are free to choose the cultural activities that they implement (within the constraints of what is eligible under the programme). Again, these feature very explicitly in applications and interim/final reports, so it is possible to draw conclusions about the nature of activity that they have undertaken.

As noted above, the implicit assumption of the programme is that the three specific objectives will be pursued through the implementation of joint cultural activities. So our subsequent consideration of the effect of co-operation projects on mobility, circulation and intercultural dialogue has to be seen as occurring within the context of and by means of these cultural objectives/activities.

6.2.1.1 Cultural objectives of co-operation projects

Based on the review of project documents, it appears that all projects have adopted explicitly cultural objectives of their own and, in most cases, more than one such objective. Whilst these objectives are interlinked and overlapping, they can be grouped into broad types:

- **Support for the development of specific cultural sectors or art forms:** this has been the most prominent cultural objective adopted; whilst 40% of the participating organisations describe themselves as being “interdisciplinary” (see section 5.4), the review of projects suggests that at least half bring together partners from a particular sector with the aim of supporting the development of that sector or of a specific art form; for example, projects have promoted literature in less-widely used languages of Europe, promoted co-operation in the field of European archaeology, encouraged excellence in European design, promoted the diffusion of European classical music and promoted formal training in comic writing and illustration.
- **Supporting the development of artists and operators, particularly young and/or emerging ones:** just less than half of projects reviewed had set explicit objectives relating to such support; this has included projects aiming to enable lesser-known artists to reach wider, international audiences, develop their artistic skills and competences, and encourage networking.
- **Exploring artistic themes:** about one third of projects reviewed aimed to explore specific artistic themes, particularly those with a European or international dimension; these projects tended to be least focussed on particular cultural sectors and would often explore themes across/through a range of art forms; partners in such projects were more likely to be public authorities, universities, etc. and less likely to be sector-specific; activity in such projects often involved education, training, research and networking; themes explored included the shared Eurasian Cultural Heritage, Landscape Art, intercultural artistic encounters in metropolitan cities, artistic encounters between local and migrants' traditions, and the relationship between human identities, cultures and new digital technologies.

- **Creating new works, performances and events of high quality:** around one quarter of the projects reviewed had set explicit objectives relating to the creation of new artistic works, for some this was the main *raison d'être*, with transnational co-operation being very much a means to this end; these objectives tended to fall into two main (overlapping) groups: creating innovative and avant-garde works; creating works and events with high European profile; examples included a major new European artistic festival and a new co-production in the field of dance.
- **Promoting access to and participation in culture, particularly for disadvantaged groups:** around one quarter of the projects reviewed set such explicit objectives; these related to "*reach*" (i.e. making material or works available to as many people as possible), media (i.e. making material and works available in new media or formats), and targeting (involving specific groups as audiences or participants); specific examples include a theatre festival and dance performances for large audiences, facilitating access to European cultural journals, digitisation of works and materials, new media strategies, talks and educational programmes for young people.

6.2.1.2 Activities of co-operation projects

In accordance with the Decision establishing the Culture Programme, the Programme Guide does not explicitly define what the nature of the cultural activities undertaken should be, except that they should demonstrate originality, innovation and creativity and also add value at the European level. Based on the review of project documents, we propose a typology of activities, grouped into two main categories – (a) *cultural activities* and (b) *support activities* undertaken in a cultural context and in pursuit of cultural objectives. As with the cultural objectives, these activities are interlinked and overlapping and projects have typically undertaken several of each type.

Cultural activities

The types of "cultural activities" are:

- **Exchange of cultural players: for the purpose of artistic creation or performance:** co-operation between partners has enabled cultural operators and/or individual cultural players from one country to visit another partner's country; extended stays, such as artists-in-residence, are one form of such exchanges. Exchanges are often focussed on young and/or emerging artists. Specific examples of exchanges include piloting a bilateral exchange for emerging artists from Kaunas (LT) and London (UK), exchange of young choreographers between European and Chinese partners, exchange of leading classical music teachers (maestros) enabling more students to benefit, and an exchange residency between Czech and Flemish poets.
- **Joint cultural creation:** partners in different countries have co-operated in creating new works, which are then performed or exhibited (see next bullet); for example, one project brought theatres from different countries together in teams to develop new plays; each team commissioned writers to develop new pieces which the teams then produced and performed in different countries, with each performance adapted to the culture of the different countries.
- **Co-productions, tours and festivals:** these have involved cultural players from different countries coming together to create and/or perform or exhibit in a single location or to tour. Such co-productions typically

include new or avant-garde works and/or young or emerging artists. The majority of projects include some kind of co-production, tour or festival involving the different transnational partners. Typically, co-productions, tours and festivals are supported by promotional activities intended to attract audiences in different countries; works have also been produced in a variety of languages. Examples include a tour of 40 performances of Dante's Divine Comedy world-wide and in six major European cities and a Polish poetry tour of the UK.

- **Transnational exchanges of artefacts:** these do not necessarily create new works, but may enable new and existing works to circulate, for example, through exhibitions that tour between the different partners or through a museum in one country loaning exhibits to museums in another. The evidence from the review of projects suggests that such activities tend mostly to be in the form of touring exhibitions, rather than of bilateral loans. Examples include a touring exhibition of textile miniatures, a touring exhibition on the theme of the 'ephemeral' nature of works of art and underground European art. An important form of transnational exchange has been the creation of dedicated websites displaying new or existing works to wider audiences; there have been numerous examples of such websites, including one offering an online database of new images of European cities, an internet exhibition of photographs on the theme of "*hanging around*", and a website offering 58 new concert recordings online.

Support activities

Support activities are practical activities that are taken within a cultural context and in pursuit of the cultural objectives noted above. They overlap and interlink with each other as well as with cultural activities. Indeed, projects have typically implemented a mix of support activities and cultural activities in pursuit of a range of cultural objectives. The broad types of support activities undertaken are:

- **Exchanges of experience and networking:** these have included visiting delegations, workshops, conferences, etc.; the intention of such exchanges and networking is most often to add value to the operators' activity in their own country by learning from international experience, rather than to initiate cultural creation/performance as such, though exchanges have often been a first step towards that end. For example, one project organised annual workshops devoted to the technical issues of the digitisation of books and involving 25-45 librarians from different countries. The same project has also organised regional workshops targeted at librarians in each country, which have served to present the project and increase its network of participants. Other examples include European meetings of cultural journals, a seminar about the management of archaeological data, and roundtable discussions and symposia of writers and translators.
- **Provision of information and practical support for cultural operators:** such support may be stand-alone but is more commonly provided within the context of cultural activities such as tours or artists-in-residence. Support for mobility has addressed issues such as legal/tax barriers, visas, language barriers, working conditions, health or unemployment insurance. Support for the circulation of works has addressed issues such as indemnity, immunity from seizure, loans, insurance, valuation, etc. In general, projects have provided support for the immediate partners rather than a wider set of cultural operators. For example, one project arranged support for 180 young musicians to tour, including help with visa issues where non-Member States were involved.

- **Education, training and research:** such activity can represent the final output of a project or part of the process of developing more extensive cultural activities. For example, one project involved eight universities studying the baroque in Europe; it supported the mobility of researchers as a means of undertaking research leading to one of the end-results of the project, i.e. the development of European 'guidebooks' on baroque art and culture and promotion to the wider public; the guidebooks are intended to increase public sensitivity towards baroque cultural heritage in Europe leading to more investment in preservation. Other activities have included a scientific mission to Latvia to prepare technical materials for landscape studios and exhibitions, a four-day educational programme for children and their families to experience the creative process in collaboration with local art centres and schools, and research into the representation of suicide in different art forms.

Having explored the cultural objectives that projects adopted and the mix of cultural and support activities that they implemented, we now explore the extent to which those activities related to the specific objectives of mobility, circulation and intercultural dialogue and their effectiveness against those objectives.

6.2.2 Effect on promoting the transnational mobility of cultural players

To what extent has the programme contributed to the mobility of artists and cultural workers? Where expectations have not been met, what factors have hindered the development of the programme? (EQ10)

To what extent can the programme be said to have contributed to the achievement of the objective of the European Agenda for Culture related to the promotion of the mobility of artists and professionals in the cultural field? (EQ7)

The evidence from the on-line survey was that around 95% of projects had sought to promote the mobility of cultural operators. This is a positive result for the programme but one that is perhaps to be expected since the selection criteria favoured projects that met all three specific objectives. It is thus necessary to go on to consider how projects promoted mobility, the *barriers* that they faced and their *effectiveness* against this objective.⁶¹

Looking at the question of how projects have promoted mobility, we have already noted that the implicit assumption of the programme is that mobility will be pursued through the implementation of cultural activities. This assumption is, in fact, supported by the review of projects and the case studies, which suggest that all projects pursue mobility through cultural activities (and support activities in a cultural context), rather than through any discrete set of mobility activities.

The evidence from the research suggests that projects mostly pursued mobility through *directly organising* cultural activities such as residencies and tours. Indeed, nearly 70% of respondents to the on-line survey reported that they had supported artists/cultural operators in residence or touring. This may reflect the

⁶¹ See section 4.4.1 (Relevance of the strands to the programme's specific objectives: transnational mobility of cultural players) for a discussion of expectations regarding the promotion of mobility within the context of cultural co-operation.

prevalence of organisations from the performing arts sector (which perhaps lends itself to such activities more than do other sectors) and interdisciplinary organisations in the survey sample.⁶²

Information gathered from the project review provided examples of how cultural activities have helped address the objectives of the programme:

- 80 young dancers from six countries attended a week-long camp before performing a new production at a renowned dance festival in Finland
- An artistic residence was established in Macao, focussed on the theme of ancient and contemporary landscapes and the link to the valorisation of heritage
- A youth orchestra recruited 180 young musicians via auditions in 18 Member States in order for them to receive training and undertake four European tours
- An exchange of resident Czech and Flemish poets was organised in order to promote literature in the less widely-used languages of Europe
- Partners from five countries exchanged artists in order to explore the theme of migration in different contexts
- Eight students from Romania spent three months in Germany in order to develop new works of photography on a common theme for a subsequent exhibition
- Visits from 26 artists/curators were hosted in Lithuania as part of activity to create an international platform for exhibiting contemporary textile art

The case studies offer more in-depth examples of cultural activities that involve mobility. We offer one here.

Case example: Concertando

An example of an activity promoting mobility was the "*Concertando*" project which brought together talented young musicians from leading classical music schools across Europe, providing them with an opportunity to attend classes taught by a team of renowned international maestros, also from different countries. The exchange of classical music students and maestros was achieved by selecting 94 students (about half from the partner organisations and the other half from the rest of Europe) to take part in the '*Encuentro de Música y Academia en Santander 2007*' [Encounter of Music and Academy of Santander 2007]⁶³ and who were taught by 16 international teachers⁶⁴, selected by the Fundación Albéniz, drawing upon its network and reputation built over more than thirty years of activities in the field of promoting classical music in Spain. At the end of the project, the students collectively took part in 120 hours of master classes and in 58 concerts held in Santander and other towns in the Cantabria region.

⁶² More than 50% of respondents reported that their organisation operated within the performing arts sector. See section 4 ("Efficiency").

⁶³ www.encuentrodesantander.es

⁶⁴ Maurice Bourge, Zakhar Bron, John Corigliano, Peter Csaba, Marta Guylas, Gary Hoffman, Silvia Marcovici, Vitaly Margulis, Jaime Martín, Paul Neubauer, Rainer Schmidt, Natalia Shakhovskaya, Karl-Heinz Steffens, Klaus Tunemann, Radovan Vlatkovic and Rainer Zepperitz

At the same time, around two thirds of respondents reported that they had promoted mobility through such cultural activities. The implication of this is that the remaining one third of projects has focused mainly – or perhaps exclusively - on support activities, whilst a significant minority have undertaken both. Of these support measures, as the figure shows, education, training and research have been undertaken by about half of the projects, whilst just under a third have undertaken information, advice and practical support.

Examples of support activities identified by the review of projects included the following:

- A scientific mission to Latvia prepared technical materials for use in landscape studios and exhibitions
- A youth orchestra provided practical support, e.g. help with gaining visas, for young people recruited to perform on its European tours
- A cooperation project for smaller cultural operators provided 88 days of training for comic writers' trainers and illustrators in four countries (22 days in each)
- Forty speakers presented the results of an artistic collaboration at a three-day event in Dresden (Germany)

We offer a summary of one here.

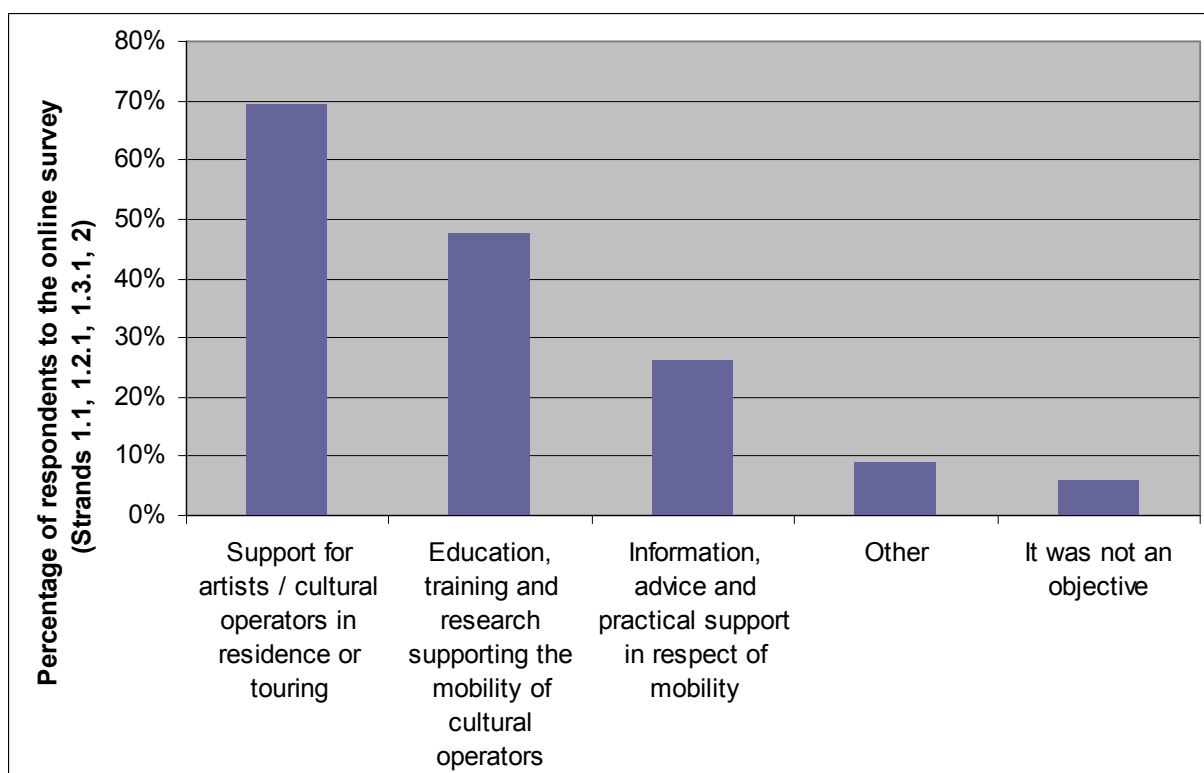
Case example: Signs of the City: Metropolis speaking

A component of the *"Signs of the City: Metropolis speaking"* project was an exchange programme held in Barcelona over four days in October 2008, where a group of fifteen young photographers from London, Berlin and Sofia met with local and international artists to explore city life, advance their photographic skills and to share cross-city and cross-country experiences and perspectives.⁶⁵ In line with the project's aim to promote intercultural dialogue, they also met different school classes and a group of young immigrants in Barcelona 'to share ideas, knowledge, and skills' around photographic research in urban spaces. The many occasions provided to develop and strengthen the existing (and new) networks of artists is likely to contribute to facilitating future cross-border artistic co-operation. The partner from Sofia, for instance, reported that they will continue to work with the London partner (Waterman) and are already partnering with Urban Dialogue for a follow-up project, which would include partner organisations from Marseilles and Istanbul.

Based on the review of projects and the case studies, it is thus evident that the programme is facilitating not just one single mechanism but a diversity of approaches to mobility, as evidenced by the examples offered above. This diversity of approaches is of course, to be welcomed and can be considered an important innovation and process effect of the programme. There is thus a case for disseminating experience, lessons learned and good practice examples more widely.

⁶⁵ The results of this discussion fed at different level throughout the final publication 'Signs of the City – Metropolis Speaking' and were specifically addressed in the chapters 'An Introduction and a Digression: Culture and European Citizenship' (p.14-15) by Uta Staiger and 'Going Europe' (p.16-19) by Rudolf Netzelmann.

Figure 6.1 Activities undertaken to support the mobility of cultural operators



Turning to the factors that *hindered effectiveness*, survey respondents highlighted a range of barriers or obstacles that they had experienced in promoting transnational mobility (Figure 6.2) and which therefore stand in the way of achieving greater effectiveness. Cost is clearly the major issue, cited by the vast majority of respondents – and reinforcing the finding of the EIA which also highlighted cost as the main obstacle to the mobility of artists. Indeed, this is the main issue across all the strands, whether they involve larger operators (as in Strand 1.1) or smaller ones (as in Strand 1.2.1), as shown in Figure 6.3. Small sample sizes limit the possibility for exploring this issue in much depth when the data is broken into different sub-categories; but sample sizes are large enough for us to be reasonably confident in noting that cost was cited as a barrier by 85% of non-profit-making organisations and 73% of public sector organisations, which confirms the cost difficulties faced, especially in the non-profit-making sector which predominates in the programme.

In terms of the other obstacles encountered, it is notable that quite small percentages of respondents identified difficulties in relation to legal/fiscal issues and information, which contrasts somewhat with findings in other research showing that individual artists suffer greatly within Europe from administrative, regulatory and fiscal obstacles to mobility.⁶⁶ Issues such as these are often cited by operators in the cultural sector⁶⁷, and whilst it is hard to translate this into a percentage in a survey such as this, it is reasonable to have anticipated that projects might have more often cited these issues. It may suggest that the organisations involved in the programme

⁶⁶ See, for example: *Mobility Matters: Programmes and Schemes to Support the Mobility of Artists and Cultural Professionals in Europe*; ERICarts 2008.

⁶⁷ ECOTEC (2009a) *ibid*.

have managed to find solutions to these issues; equally it may be that programme participants are not a representative cross-section of the cultural sector and, instead, might represent organisations which are as adept at bidding for EU funding as they are at addressing mobility problems. Evidence from the interviews suggests that practical problems are most prominent amongst third country cooperation projects, involving such issues as obtaining visas to/from third countries, lack of knowledge of the countries and regulatory and fiscal obstacles.

The three other obstacles cited in the survey involve partnership issues and languages (frequently also a partnership issue of course), and all were cited by comparatively small numbers of respondents. This suggests that in general partnership formation has not involved significant issues. To a certain extent, this may be consistent with the EIA which found that there was already an “*extensive, multilateral flow of projects and initiatives*” related to co-operation, but that a lack of stability in the sector hindered sustained co-operation (and, by implication, mobility). The most common partnership difficulties identified through the interviews and the review of projects tended to be generic rather than relating specifically to mobility: withdrawal of partners from the project (a particular issue where the project featured the minimum number of partners), partners proving unable or unwilling to fulfil financial commitments, limited capacity or experience of partners.

Figure 6.2 Barriers experienced in promoting the mobility of cultural operators

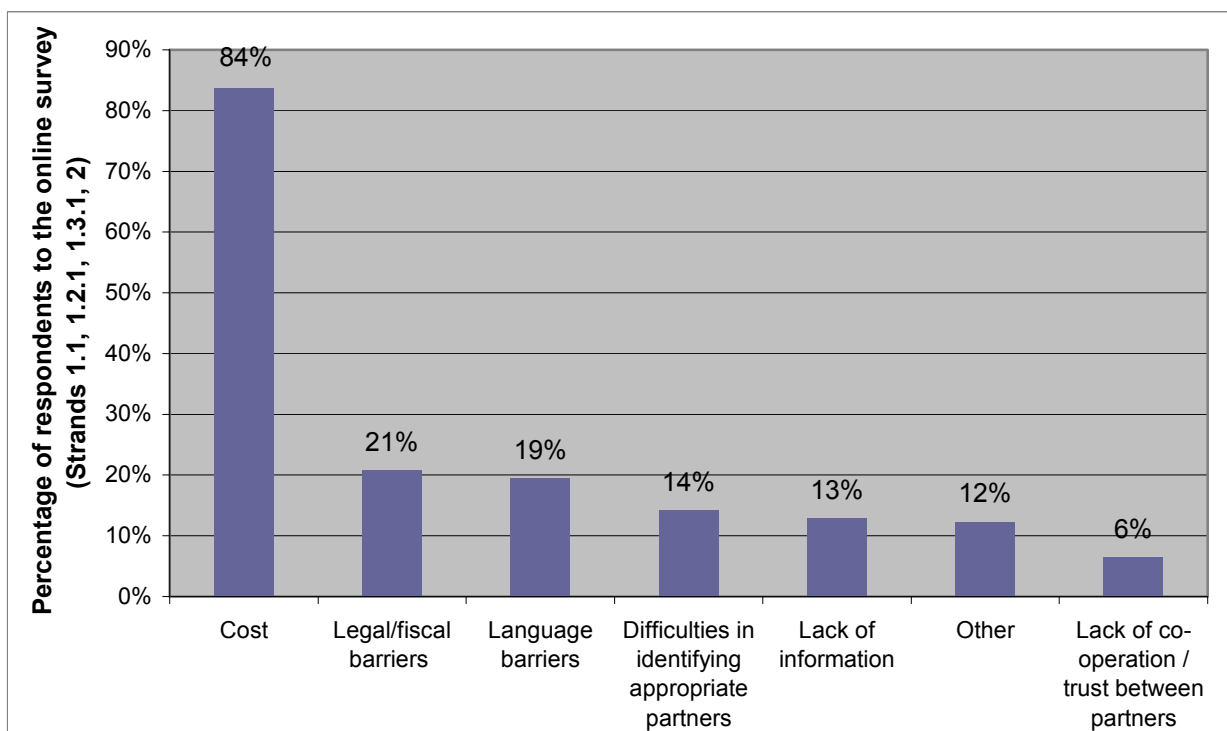
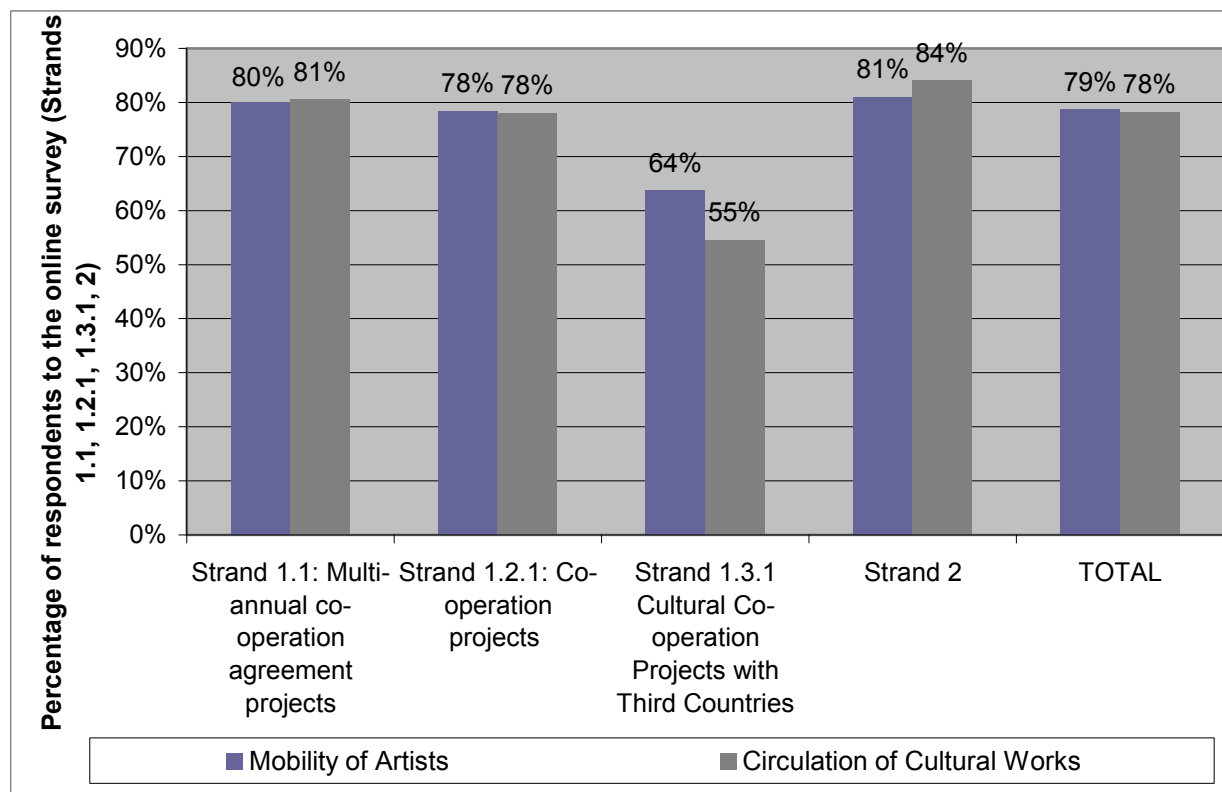


Figure 6.3 Percentage of survey respondents experiencing cost as a barrier to mobility and the circulation of works



Looking at the question of the *effectiveness* of projects against the objective of mobility, it appears that projects were generally satisfied with their achievements. Table 6.1 indicates that a large majority of respondents view their projects as having been effective to a great or moderate extent, especially so in the case of the multi-annual projects. Only amongst projects involving third countries did an important minority of respondents believe that their effectiveness fell short of moderate. Generally, when asked about effectiveness, projects tended to say that the activities they had undertaken had been most effective. However, in contrast to the other three activities, in the case of information, advice and practical support some 5% projects did not believe these activities had been effective. Evidence from a recent report on information systems to support the mobility of artists and other professions suggests that the effective and efficient provision of information and advice is a challenging one for the cultural sector.⁶⁸

⁶⁸ See ECOTEC (2009a) Information systems to support the mobility of artists and other professionals in the culture field: a feasibility study. Final Report to DG Education and Culture, European Commission

Table 6.1 Survey respondents' opinions of their projects' effectiveness in promoting transnational mobility

To what extent has your project been effective in promoting the transnational mobility of cultural players?		
	To a great extent	To a great or moderate extent
Strand 1.1 Multi-annual co-operation projects (n = 42)	73%	93%
Strand 1.2.1 Co-operation projects (n = 101)	59%	88%
Strand 1.3.1 Cultural co-operation projects with third countries (n = 13)	50%	67%
All co-operation projects (n = 156)	62%	88%

Whilst projects' high opinion of their achievements is a positive finding for the programme, there is a need both to verify this finding and understand in what ways projects had been effective. We thus explore in more depth the number of individuals benefitting from mobility, the cost-effectiveness of mobility and the potential for sustaining mobility.

In terms of any volume effects related to mobility, based on the interviews and project reviews, it appears that the numbers of operators enabled to undertake mobility may be fairly modest. Data on the number of operators benefitting from periods of mobility is not consistently gathered by the programme's monitoring and reporting systems. However, the numbers mentioned in final reports of projects as well as interviews provide an indication. In the case of strand 1.1 projects, where a figure was reported, it tended to be in the region of 50-100 individuals enjoying periods of mobility, with only one exceeding 100 (the *In Concerto* project which recruited 180 young musicians to perform in tours⁶⁹). In the case of strand 1.2.1 projects, where a figure was reported, it tended to be in the region of 20-50.

Based on the interviews, the project reviews and the case studies, it also appears that co-operation projects have mostly facilitated mobility for operators within the partnership rather than for a wider, external cohort of cultural operators (though there were a few instances of operators and artists being recruited to participate within projects with young people). In this way, it would appear that the co-operation projects are mostly supporting two of the three types of operators highlighted in a recent study for the European Commission: those seeking to become mobile but lack the necessary funding and "infrastructure"; and those who are already mobile or where mobility is a regular part of their professional practice and who need help in dealing with 'red

⁶⁹ www.ceiyouthorchestra.eu

tape' or other impediments. Projects would not appear to be consistently and extensively supporting the third type highlighted in the same study: those who do not really see an urgent need for trans-border mobility.⁷⁰

In terms of the impact of mobility activities, those projects interviewed typically reported positive benefits for those individuals in terms of new skills, wider experience, new contacts, exposure to different artistic styles and concepts, and higher profile. For example, one young choreographer who presented his work in the context of the *Keđja* dance encounters - and won a prize offered within the project – went on to receive some fourteen invitations to visit other countries as a result of the visibility offered by the project.

Projects in general did not report structured, extensive and ongoing mobility beyond the period of EU funding – perhaps because the cultural activities (which offer the opportunity and context for mobility) often come to an end at this point though the partnerships may endure (as we see in the next section on “sustainability”). The implication of this finding would be that the balance of activities is perhaps tilted more towards supporting the type of mobility that has been described as “occasional movements across national borders that may be useful to gain professional experience as well as advance artistic endeavour” and less towards mobility defined as “an integral part of the regular work life of artists and other cultural professionals”.⁷¹ There is, of course, a blurred boundary between these two types and occasional mobility might be considered a first step towards regular mobility. Nonetheless, whilst there were some instances of individual artists or organisations going on to incorporate mobility into their regular working lives, it is not possible to conclude whether there has been a sustained shift in behaviour for those involved in the projects. More specific, longitudinal research would be necessary to understand this impact better in the long-term.

6.2.3 Effect on encouraging the transnational circulation of works and cultural and artistic products

To what extent has the programme contributed to the circulation of cultural works? Where expectations have not been met, what factors have hindered the development of the programme? (EQ11)

To what extent can the programme be said to have contributed to the achievement of the objective of the European Agenda for Culture related to the circulation of all artistic expressions beyond national borders? (EQ7)

The evidence from the on-line survey suggested that around 97% of co-operation projects had sought to promote the transnational circulation of works. As with mobility, this is a positive result for the programme but one that is perhaps to be expected since the selection criteria favoured projects that met all three specific objectives. Again, it is necessary to go on to consider *how* projects promoted the circulation of works, the *barriers* that they faced and their *effectiveness* against this objective.⁷²

⁷⁰ Mobility Matters: Programmes and Schemes to Support the Mobility of Artists and Cultural Professionals in Europe; ERICarts 2008.

⁷¹ Ibid.

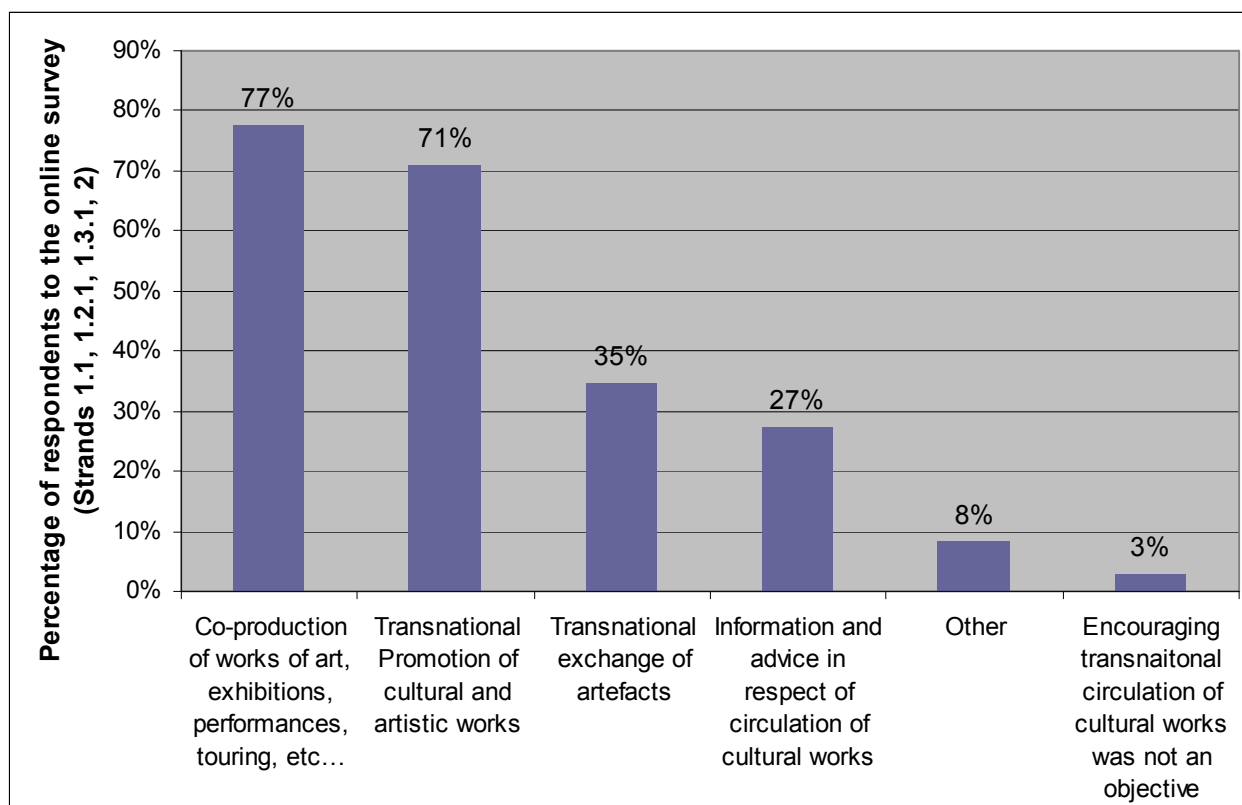
⁷² See section 4.4.2 (Relevance of the strands to the programme’s specific objectives: transnational circulation of works and cultural and artistic products) for a discussion of expectations regarding the encouragement of circulation in the context of cultural co-operation.

Looking at the question of how projects have promoted the circulation of works, we refer once again to the Programme Guide which states that projects will undertake cultural activities of high quality, in terms of originality, innovation and creativity. The circulation of works would thus be expected to take place in a context of cultural creation. Perhaps as a consequence, the review of projects identified that circulation very often related to works and products newly-created by the projects themselves.

The activities most commonly undertaken in support of the circulation of works have been co-productions, exhibitions, performances and tours, undertaken by more than three-quarters of respondents to the on-line survey, as shown in Figure 6.4, and probably, again, reflecting the fact that the performing arts were a feature of over half the projects in the survey (and interdisciplinary cultural institutions 40%). The review of projects supported this finding and also showed that performances and tours very often featured newly-created works and were interlinked with the mobility of artists. Perhaps not surprisingly, given that they are an essential prerequisite for such activities, transnational promotional activities have also been very common in these strands; the review of projects identified a diversity of activities, including websites (many featuring newly-created works, such as photography or recordings), events, conferences, newsletters.

In contrast, the transnational exchange of artefacts was much less common, being a feature of only around a third of cooperation projects according to the on-line survey and the review of projects, but again probably reflecting the fact that cultural heritage and the visual arts were activities of less than a third of survey respondents. These exchanges have typically been exhibitions that toured between the different partners in the projects, usually featuring new works created within the context of projects. Information and advice was a feature of only about a quarter of projects, marginally less than for mobility and perhaps reflecting the fact that there is probably a greater need for such provision with respect to the movement of people than goods, though the margin is small. Of course, it should be mentioned here that the formation of the partnerships themselves also constitutes an important contribution to the development of the “infrastructure” that will support the circulation of works.

Figure 6.4 Activities undertaken to encourage the transnational circulation of works and cultural and artistic products



Information gathered from the project review provides insights into how activity addressed the objective of encouraging the transnational circulation of works. Examples of activities included:

- literary/poetry readings, festivals and book fairs ("*Literature Across Frontiers*");
- exchanges of artists and their works and exhibiting them in a number of different cities ("*MELT*" and "*Signs of the city – Metropolis Speaking*"); and
- translating and circulating articles from leading European culture journals ("*EUROZINE*").

While exhibitions, concerts and other forms of performances were the predominant activities aimed at the circulation of works, one case study illustrates another important dimension of how project activity addressed this objective.

Case example: International Dunhuang Project

The International Dunhuang Project (IDP-CREA) is an international collaboration started in 1994 to make information and images of manuscripts, paintings, textiles and artefacts from archaeological sites from the Eastern Silk Road (including Dunhuang) freely available on the Internet by means of high quality digital photography. The Silk Road, which linked Europe, China and India between the first century BC and fourteenth AD, was relatively unknown before the twentieth century, when expeditions of archaeologists discovered

thousands of excavated artefacts, manuscripts and paintings subsequently sent to numerous different institutions, including many in Europe. Since then, however, little effort has been made to establish inter-institutional cooperation to catalogue and share this collection, which reveals previously unknown Eurasian heritage. This was the main rationale for the launch of this project involving six European partners (from France, Germany, Hungary and the UK) and the three IDP associate partners from China. Ultimately, as a result of IDP-CREA activities, the European public will now enjoy free access to a larger body of historical information and documentation, making it easier to fully appreciate the important role that Silk Road collections play in terms of both the common heritage between Europe and Asia, and the modern history of European exploration.

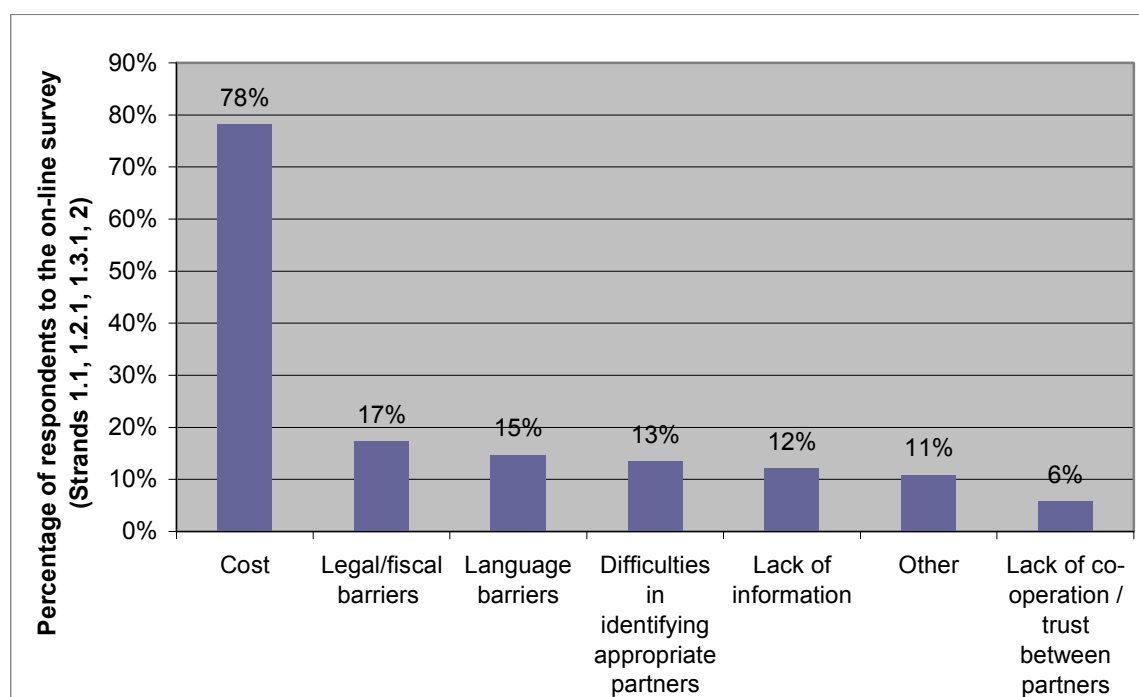
Turning to the factors that hindered effectiveness, the overall profile is similar to that for mobility, as can be seen below, with cost being the most often cited obstacle, though by a slightly smaller percentage than for mobility (Figure 6.5). Again, this reflects the EIA which found that “circulating works of art and artistic and cultural products beyond the national borders entails additional costs for organisers: transport, insurance and market prospecting costs, increased advertising to raise the profile of works or artists less well-known abroad, investment of time to research the target market (reception services, regulatory and administrative formalities, etc.).”⁷³

As with mobility, quite small percentages of respondents identified difficulties in relation to legal/fiscal issues and information – and slightly less than was the case for mobility, suggesting that such issues are less acute for goods than for people or that the organisations involved in the programme may have managed to find solutions to these issues. This is supported by evidence from the interviews and review of projects, which suggested that legal/fiscal problems are most prominent amongst third country cooperation projects. For example, one project reported difficulties in signing a memorandum of understanding with a prominent cultural institution in India since approval was required from three government ministries. Another reported difficulties in gaining permission from the authorities to undertake activities in Tunisia. The same project also highlighted the importance of having information about third countries gained from personal experience.

In general, partnership formation has not proved difficult, since comparatively small numbers of respondents cited partnership issues as significant barriers to the circulation of works. Where problems were reported by projects, they tended to be those generic difficulties discussed above in the context of mobility, rather than any specifically relating to circulation, i.e. withdrawal of partners from the project, partners proving unable or unwilling to fulfil financial commitments, limited capacity or experience of partners.

⁷³ Commission of the European Communities (2004), New Cultural Programme (2007-2013) Extended Impact Assessment integrating ex ante evaluation requirements, SEC(2004) 954.

Figure 6.5 Barriers experienced in promoting the transnational circulation of cultural works



Looking at the question of the *effectiveness* of projects against the objective of encouraging the circulation of works, as with mobility projects were generally satisfied with their achievements. Table 6.2 indicates that a large majority of respondents view their projects as having been effective to a great or moderate extent, again especially so in the case of the multi-annual projects. Only amongst projects involving third countries did an important minority of respondents believe that their effectiveness fell short of moderate. Of those, fewer projects reported that they had been effective in encouraging the circulation of works than had been effective in promoting mobility, suggesting perhaps that the cost and legal/fiscal barriers facing operators who travel to third countries are compounded when those operators also attempt to display or perform works there.

As with mobility, when asked which activities had been most effective, projects tended to say that the activities they had used had been with one exception; around one-fifth of respondents to the survey that had undertaken the transnational promotion of cultural and artistic works did not report that those activities had been effective. One reason for this finding may be the capacity of operators to undertake promotional activities at transnational as opposed to national level, particularly in the case of small operators; indeed, around one third of those interviewed reported (without prompting) that they would like to see their own activities complemented by more extensive dissemination activities undertaken centrally at European level.

Table 6.2 Survey respondents' opinions of their projects' effectiveness in promoting the circulation of works and cultural and artistic products

To what extent has your project been effective in encouraging the transnational circulation of works?		
	To a great extent	To a great or moderate extent
Strand 1.1 Multi-annual co-operation projects (n = 42)	73%	95%
Strand 1.2.1 Co-operation projects (n = 101)	60%	88%
Strand 1.3.1 Cultural co-operation projects with third countries (n = 13)	33%	58%
All co-operation projects (n = 156)	61%	87%

Whilst projects' high opinion of their achievements is a positive finding for the programme, there is a need to understand in what ways projects had been effective and the likely impacts of their activity.

As noted above, works and products that were circulated by co-operation projects tended to be newly-created by the projects themselves. This is, of course implicitly intended in that cultural activities within projects must display originality, innovation and creativity. It is moreover, an important effect of the project (in terms of promoting cultural diversity, enhancing the common cultural area, etc.). But there is an argument that activity more specifically focussed on encouraging circulation (rather than on cultural creation) might enable a larger volume of works to circulate. In other words, by financing only the circulation of *existing* works rather than the creation and the circulation of new works, the programme would arguably have had the potential to generate greater impact in terms of volume.

As with mobility, the evidence from the interviews suggests that projects have mostly enabled the operators within the partnerships to circulate works and products (very often their own) rather than enabling a wider group of operators to circulate work. This reflects, perhaps inevitably, the focus of the programme on supporting partnerships and building capacity for co-operation. But again, there is an argument that the programme could generate a greater volume of works circulated through co-financing projects that serve a wider, external group of operators.

In terms of the impact of circulation activities, projects' final reports typically refer to benefits in terms of experience gained, stronger platforms for future circulation activities, networks established, and higher profile for works. These benefits certainly offer the potential for future circulation activities, but very few projects offered specific and concrete examples of ongoing or future circulation activities, other than websites that will continue to display works. Again, this perhaps reinforces the importance of cost as a barrier to the circulation of works, with EU or other funding continuing to be necessary (except perhaps in the case of commercial exchanges).

6.2.4 Effect on encouraging intercultural dialogue

To what extent has the programme supported intercultural dialogue? Where expectations have not been met, what factors have hindered the development of the programme? (EQ12)

To what extent can the programme be said to have contributed to the achievement of the objective of the European Agenda for Culture related to the promotion and strengthening of intercultural competences and intercultural dialogue? (EQ7)

To what extent can the programme be said to have contributed to the objectives of the European Year for Intercultural Dialogue (2008)? Where expectations have not been met, what factors have hindered the development of the programme? (EQ9)

As with mobility and circulation, the evidence from the on-line survey suggests that nearly all (98%) of co-operation projects had sought to encourage intercultural dialogue – again, a positive finding but also a reflection of the selection criteria, which favoured projects that met all three specific objectives. To draw conclusions, we must examine how projects approached intercultural dialogue taken by projects, the *factors that hindered* their success and their *effectiveness* against the objective of encouraging intercultural dialogue.⁷⁴

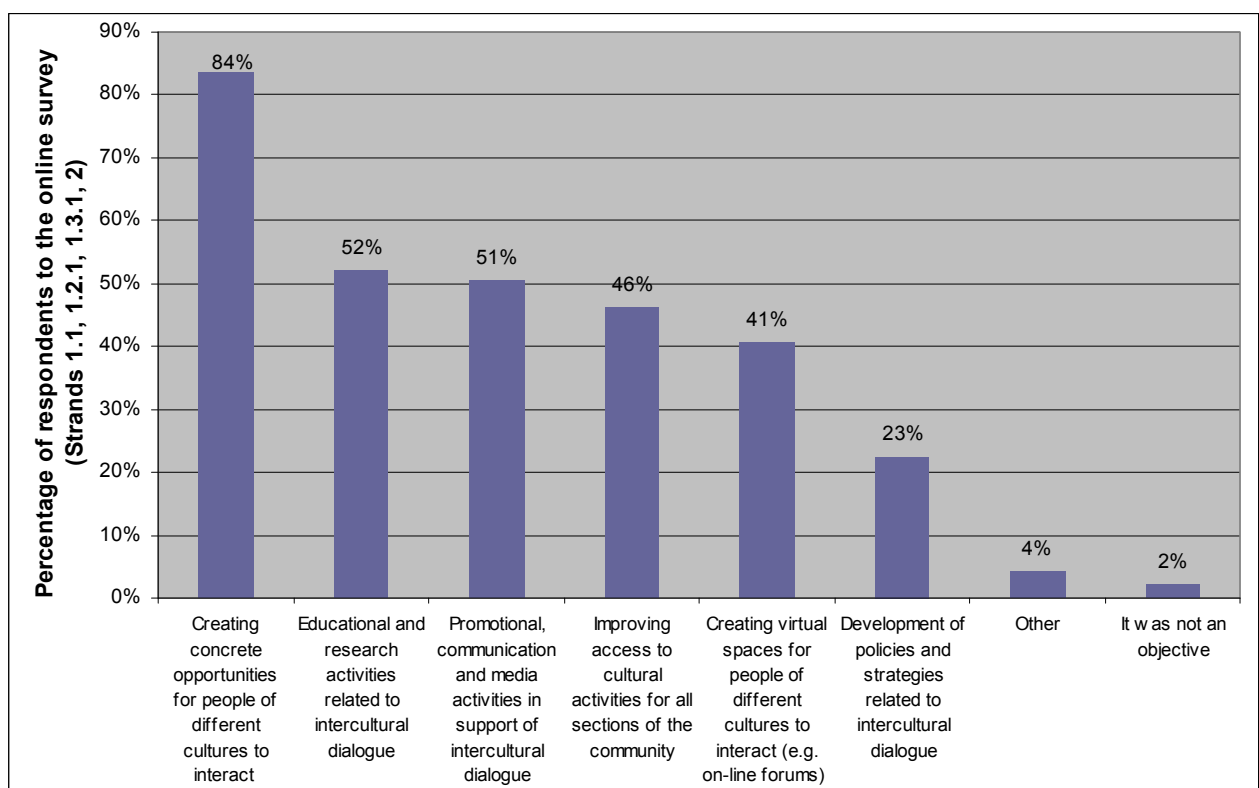
Looking at the question of how projects have promoted intercultural dialogue, we have already noted that all three specific objectives are pursued through the cultural activities co-financed by the project. According to the on-line survey, in order to encourage intercultural dialogue the vast majority of co-operation projects have been involved in the creation of opportunities for people of different cultures to interact - mostly through the provision of concrete opportunities such as events, meeting places, etc. (Figure 6.6). For example, the "*Literature Across Frontiers*" project sought to advance intercultural dialogue between European and Arab countries, through roundtable discussions, creative workshops and symposia with writers. When discussed by interviewees, such activities mostly related to intercultural dialogue undertaken in the context of the cultural activities of the project, rather than with external "*target groups*" or the public in general. Two projects that had done so included "*Concertando*" which operated an exchange programme enabling young people from different countries to share experiences and traditions through music teaching, as well as "*Dali Muchi*" which brought together artists from Finland, France, Germany and the UK and also included members of travelling communities from Ireland and of the Roma community.

Virtual opportunities have also been developed, but in only half as many cases (41%) as concrete opportunities (84%). Support activities, such as education and training and promotional and media activities, have been undertaken by around half the projects. Policies and strategies have been a much less prominent part of activities. However, given that projects tended to view their activities as not being principally concerned with having a policy effect (see section 7.2.2), it is perhaps significant that nearly a quarter stated that they had developed strategies or policies in relation to intercultural dialogue. Only 5% of projects had carried the logo of the European Year of Intercultural Dialogue 2008 (EYID) suggesting a low awareness or interest in the EYID on the part of projects.

⁷⁴ See section 4.4.3 (Relevance of the strands to the programme's specific objectives: intercultural dialogue) for a discussion of expectations regarding the encouragement of intercultural dialogue in the context of cultural co-operation.

There is evidence that as many as half of all projects may have had a significant *"outward-facing"* intercultural dimension in addition to the dialogue undertaken between the project partners: nearly half of respondents to the survey reported that they had undertaken activities to improve access to cultural activities for all sections of the community. Instances of such activity offered by interviewees related to local communities (taking art from other countries into community centres) young people (workshops, artistic exchanges, joint theatre productions) and blind or disabled people (digitising books in order to make them available online). For example, in the case of *"MELT – Migration in Europe and Local Tradition"* intercultural dialogue was a central theme of the project, which brought together different cultural traditions (specifically migrant and local communities in cities) to foster greater understanding and to 'melt' musical traditions together to produce something new.

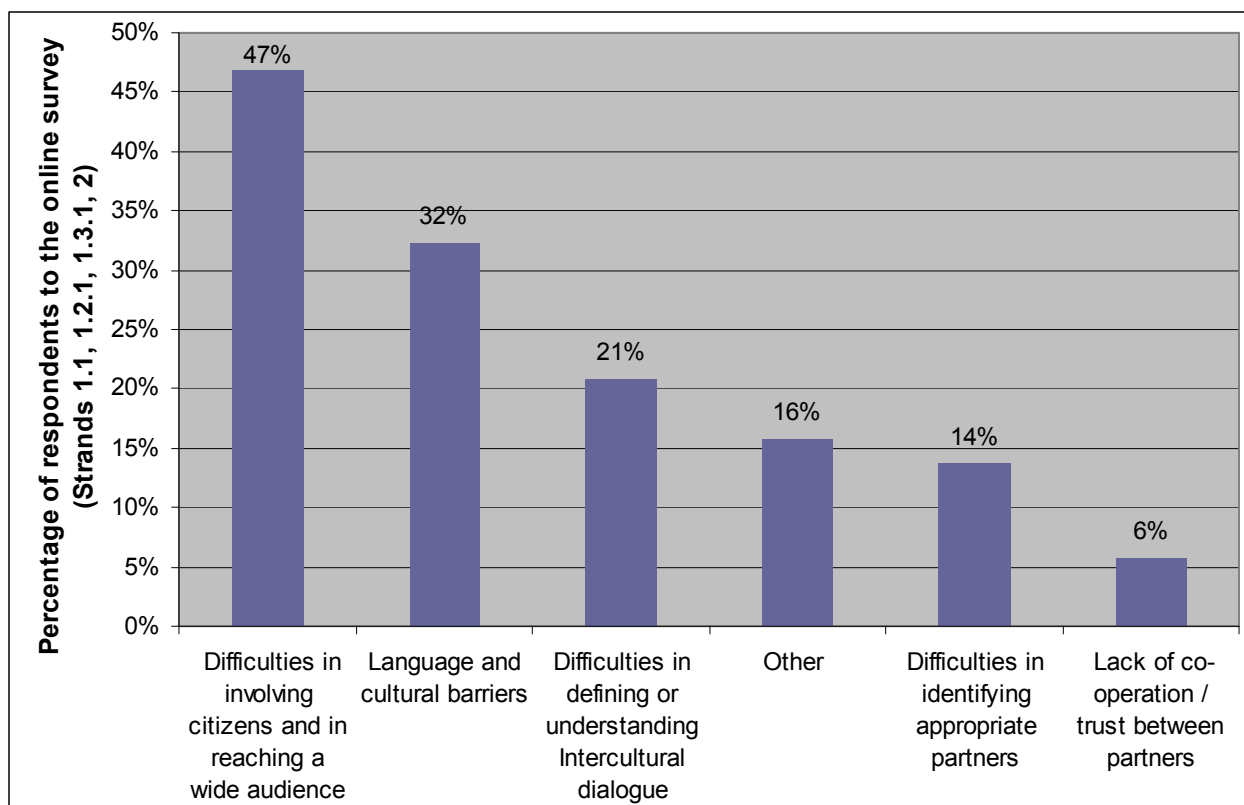
Figure 6.6 Activities undertaken to encourage intercultural dialogue



Looking at the *factors that hindered the effectiveness* of the programme, it appears that a range of obstacles has been faced by projects in addressing intercultural dialogue (Figure 6.7). Whilst difficulties related to partnership formation appear to have been fairly minimal, nearly half the respondents to the on-line survey cited the involvement of citizens and in reaching a wider audience as problematic. Perhaps predictably for the area of intercultural dialogue, some projects registered difficulties with language and cultural barriers, although two thirds of projects did not. Some projects registered problems in relation to defining intercultural dialogue; the fact that it was only one in five (and not more) may perhaps reflect the fact that it is likely to have been a bigger issue for those projects with an 'active' approach to intercultural dialogue which were probably less numerous than those who took a more 'passive' approach (as we go on to discuss below). Of those projects interviewed

and/or reviewed, few if any specifically reported barriers experienced to encouraging intercultural dialogue. Indeed, reported barriers tended to relate either to the management and administration of the project or to mobility and circulation.

Figure 6.7 Barriers experienced in encouraging intercultural dialogue



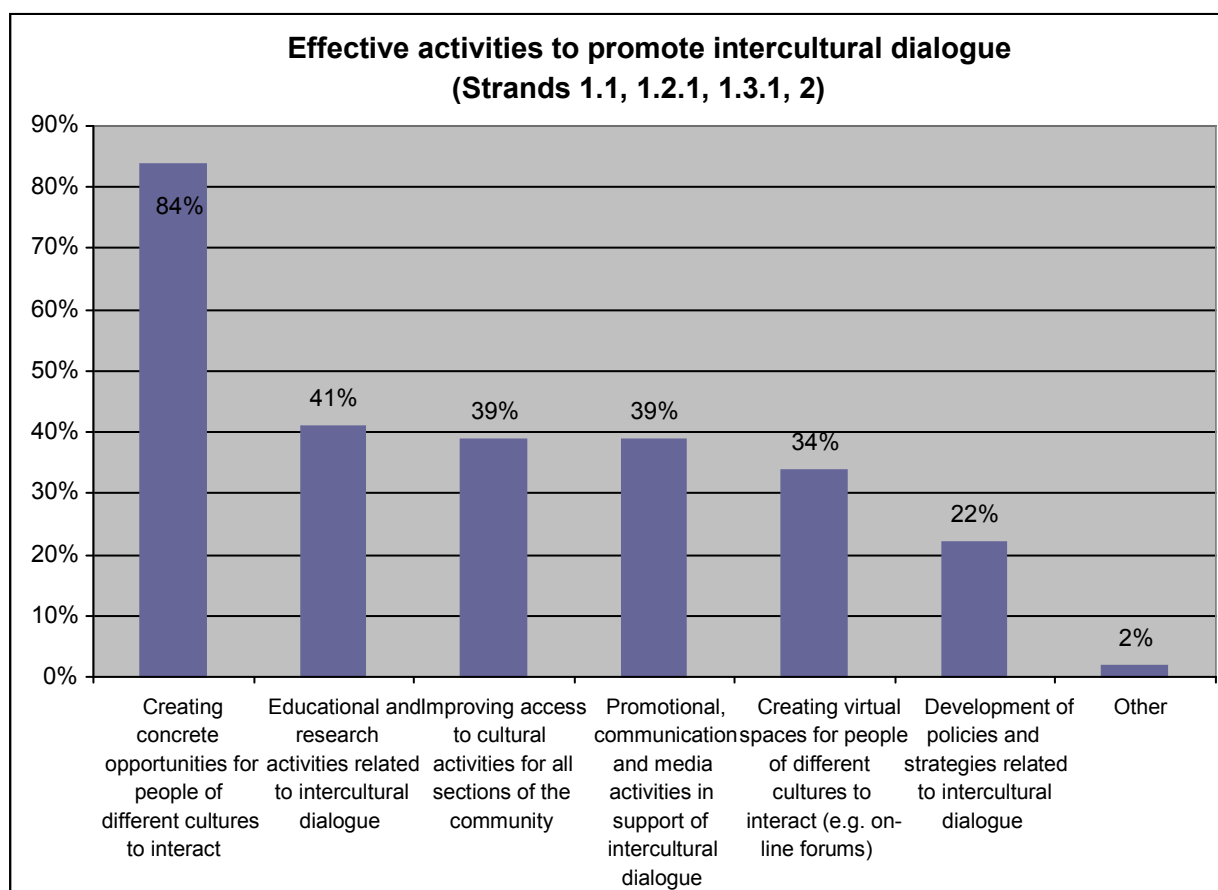
Looking at the question of the *effectiveness* of projects against the objective of encouraging intercultural dialogue, the vast majority of co-operation projects were generally of the opinion that they had been effective (Table 6.3). Most notably, cooperation projects with third countries were more positive about their effectiveness in this area than in the areas of mobility and circulation to the point where they are almost on a par with the other types of cooperation projects. Interviews with projects suggested that intercultural dialogue had been very significant both as an objective and as a feature of the implementation of the cultural activity. Interviewees offered examples of how the different backgrounds of the third country partners had created more intercultural barriers to be overcome but also enabled a very rich exchange of ideas and experiences.

Table 6.3 Survey respondents' opinions of their projects' effectiveness in encouraging intercultural dialogue

To what extent has your project been effective in encouraging intercultural dialogue?		
	To a great extent	To a great or moderate extent
Strand 1.1 Multi-annual co-operation projects (n = 42)	68%	95%
Strand 1.2.1 Co-operation projects (n = 101)	63%	94%
Strand 1.3.1 Cultural co-operation projects with third countries (n = 13)	67%	84%
All co-operation projects (n = 156)	65%	93%

In terms of the effectiveness of the types of activities related to intercultural dialogue, the creation of concrete opportunities for people to interact is overwhelmingly seen as a most effective undertaking by respondents. This is less so with respect to the creation of virtual spaces, where the 41% of respondents implementing them contrasts with the 34% who regard them as amongst the most effective. There are also noteworthy minorities - around one quarter in each case - in the areas of educational/research and promotional/media activities who did not view these as amongst their most effective tools. Interestingly, in the area of policy and strategy, the proportion of respondents carrying out the activity was the same as that citing it as effective.

Figure 6.8 Effectiveness of activities related to intercultural dialogue



As with mobility and circulation, projects' high opinion of their achievements is a positive finding for the programme, but needs to be explored in terms of the ways in which projects have been effective. We thus consider first projects' understanding of intercultural dialogue and how they have incorporated it into their cultural activities before going on to consider how ongoing activities relating to intercultural dialogue may have been generated by projects.

On the basis of the evidence gathered, it seems that projects had different interpretations of intercultural dialogue, and different ways of realising it within their projects. Some effectively viewed intercultural dialogue as an inevitable consequence of their bringing together people from different cultural backgrounds or exposing people from one cultural milieu to works or artefacts from another. Many interviewees mentioned examples of their projects staging performances or exhibitions which introduced audiences to works from other cultures. For example, one project under Strand 1.1 exhibited work by a cold-war era artist in former communist countries where it had not previously been shown. We might see this as a 'passive' approach.

Others tried explicitly to articulate a meaning of intercultural dialogue in their activities – which we might see as an 'active' approach to the subject. For example, one Strand 1.2.1 project had created a theatre play about migration ("*meeting the other*"), whilst another had included artwork of migrant communities in an exhibition. Another project, within Strand 1.1, had engaged migrant communities in artistic creation and exhibitions, enabling them to "*tell their stories*".

The 'passive' approach is probably the dominant way in which intercultural dialogue has been realised in the co-operation projects. Intercultural dialogue has thus in the main been an inherent feature of cultural co-operation, rather than being its chief rationale. Furthermore, it seems that intercultural dialogue has mostly taken place between the partners and cultural operators directly involved in projects where it has generally been reported to be very rich and beneficial for those involved. At the same time, nearly half of all projects (46%)⁷⁵ have sought to improve access to culture by different sections of the community and have sought to engage marginalised groups, both as participants and as audiences.

These findings mirror those produced by recent research⁷⁶ on intercultural dialogue in projects funded by the Culture Programme carried out on behalf of the Platform for Intercultural Europe⁷⁷, which also noted the "*myriad of meanings and weak delineation from related concepts [of intercultural dialogue]; that actual dialogue was not always "at the heart" of projects or programmes, and that "intercultural dialogue is seen simply as an aspect of transnational cooperation"*". The report links these weaknesses to the lack of specific programme guidance in terms of indicating ways in which projects might demonstrate that they have promoted intercultural dialogue. Another finding, shared with this evaluation, concerns the extent to which intercultural dialogue is largely seen as "*by-product*" of working transnationally.

The intercultural dialogue objective certainly differs from the other two objectives (mobility and circulation of works) in that the range of activities and approaches that may be adopted is wider, reflecting the diversity of potential interpretations of the term. The project review supports the hypothesis that for many projects (e.g. 18

⁷⁵ Source: on-line survey.

⁷⁶ Platform for Intercultural Europe, "Intercultural Dialogue as an objective in the EU Culture Programme: Summary of Study and Recommendations" (Draft, 22 April 2010).

⁷⁷ An organisation supported under Strand 2 of the Culture Programme

of the 21 projects reviewed), intercultural dialogue has been an inevitable consequence of transnational working (and indeed the context of the cultural realm implies a certain degree of openness and cultural diversity) rather than a central intention; whereas only a minority (e.g. 3 of the 21 projects reviewed) have included a specific objective to tackle difficult issues, including tensions between cultures and communities.

In terms of the impact of activities to promote intercultural dialogue, projects generally reported (in interviews and in their final reports) benefits in terms of greater understanding and experience gained by participants, new tools or approaches developed and platforms for future dialogue. This would suggest that the projects have made an important contribution to the objectives of the EYID, without specifically linking their activities to the EYID. Very few reported specific and concrete examples of structured and ongoing intercultural dialogue; most tended to focus on continued networking and contacts with their transnational partners. As with circulation, these benefits suggest that the capacity and potential for intercultural dialogue in future has been developed. But it would appear that the specific and structured instances of intercultural dialogue tend not to continue beyond the cultural activities in which they take place.

6.2.5 Effect on promoting cultural and linguistic diversity

To what extent has the programme proved relevant to promoting the diversity of cultures and languages in Europe? (EQ6)

To what extent has the programme contributed to promoting the diversity of cultures and languages in Europe? (EQ17)

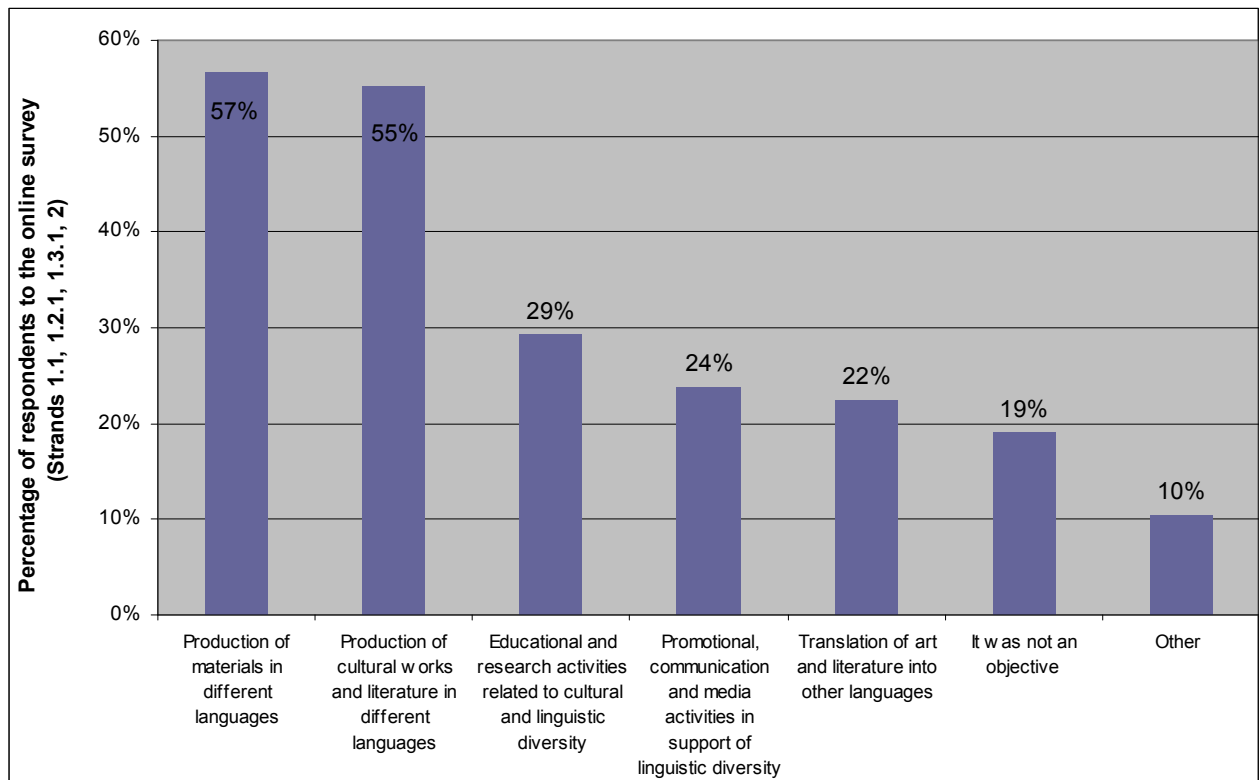
Although not a specific objective of the programme, the promotion of diversity is at the heart of Article 167 of the Treaty and features in the preamble to the Decision. In that sense, it can be considered a transversal (if unstated) objective of the programme. Given that it was not one of the specific objectives and does not feature in the award criteria for co-operation projects, it is perhaps not surprising that – in contrast to the three specific objectives covered above – only about four out of ten respondents to the on-line survey reported that it was one of their objectives. It would appear that this was more typically an implicit objective (perhaps within objectives with intercultural dialogue); the project review identified only one project that featured an objective relating explicitly to cultural diversity (the MELT project, which aimed to protect and raise the visibility of local and migrants cultures) and one that featured an objective relating explicitly to linguistic diversity (the Mercator project, which aimed to promote literature in the less widely-used languages of Europe).

As with the three specific objectives, it is important to consider how projects promoted cultural and linguistic diversity, the *barriers* that they faced and their effectiveness against this objective.

A broad range of activities has been carried out within the context of cultural activities implemented by co-operation projects in order to promote cultural and linguistic diversity. According to the online survey, the production of materials and literature has been most common, and the support activities of education, research, and promotion undertaken in at most a third of projects (Figure 6.9). For example, the MELT project undertook research in the form of a survey into “*Urban Narratives*”, with the final results of the research being presented at the final event (Suq Festival) in Genoa in 2009. Translation of literature has been amongst the least common activities, but of course literary translation is covered specifically by another part of the programme. One example of translation activity within co-operation projects has been the Literature Across Frontiers (Mercator

Network) within Strand 1.1. This project has had the explicit objective of promoting literatures written in the less widely-used languages of Europe and underrepresented in the international context. Activity has included literary/poetry translation workshops (e.g. Welsh into Czech) and anthologies (e.g. relating to Arabic translations). Key outputs have included nine week-long translation workshops involving 100 cultural practitioners, three anthologies, and an estimated 1,000 poems and texts translated into 30 languages.

Figure 6.9 Activities undertaken to promote cultural and linguistic diversity



Looking at the factors that have hindered effectiveness, the major barrier cited in this area is related to languages themselves (by 52% of respondents), although there were also a broad range of other barriers. Difficulties in partnership formation were again cited by only a small minority of respondents – 17% mentioning difficulties in identifying partners and 13% mentioning lack of co-operation or trust between partners. Although the issue of language arose as an obstacle to partnership formation, its significance seems to depend on the context. Those interviewed tended to see linguistic difference and diversity as an interesting challenge or even an attractive dimension of co-operation. English was often mentioned as the common working language of the project and no interviewees mentioned other languages being used in that way.

In terms of the effectiveness of activities to promote diversity, respondents appeared to regard them as effective, with no major differences between the numbers citing them as activities and perceiving them to be effective. In terms of the impacts of such activities, it is perhaps the case that co-operation projects have made more contribution to linguistic than to cultural diversity; as shown above, no single type of activity relating to cultural diversity was reported by more than one third of respondents. Indeed, based on the interviews and the review of projects, it appears that the promotion of cultural diversity may be more a feature of transnational partnership working than a discrete set of activities undertaken by projects. Looking at the activities to promote

linguistic diversity, it may be that the high scores for the production of materials and works in different languages merely reflect the requirement for co-operation projects to involve partners from at least three countries (in the case of strands 1.2.1 and 1.3.1) or six countries (in the case of strand 1.1). In that sense, these activities might be considered more as essential tools for transnational cultural activities than as attempts to promote linguistic diversity.

Where ongoing or sustained benefits were reported by projects (in interviews or in their final reports), these tended to relate either to the continued existence of translated materials (notably websites) or to be more general, e.g. in terms of increased awareness of other cultures, higher visibility for works in other languages.

6.2.6 Effect on promoting equality of opportunity

Does participation in the programme appear satisfactory in giving equal opportunities to men and women, to disabled people and to those at a disadvantage from a socio-economic point of view? (EQ13)

As with the promotion of cultural and linguistic diversity, the promotion of equality of opportunity is not a specific objective of the programme but can be considered as a transversal objective. Indeed, the need to promote equality between men and women and the need to address social exclusion are highlighted by recitals 5 and 6 respectively of the Decision. The evidence from the survey suggests that in practice two out of three projects have sought to promote equality in some way – only 34% of respondents reported that the promotion of equality was not an objective for their projects. Looking in more detail at the evidence gathered from the survey and the review of projects, we can identify some trends relating to the two dimensions of equality highlighted in the Decision.

First, evidence from the on-line survey suggests that only 23% of co-operation projects have specifically aimed to promote equality between men and women. Looking at the activities undertaken, it appears that promoting equality of opportunity between men and women has mostly been part of the *modus operandi* of projects rather than a specific activity undertaken: of those that had aimed to promote equality, only around two-thirds (14% of all respondents) had initiated specific activities to address equality, the others (9%) taking a more passive approach of providing guidance on gender equality. Indeed, the review of project reports identified only one example of a project undertaking a cultural activity with a specific gender dimension – a workshop for women's poetry. Similarly, when invited to state what had proved most effective in promoting equal opportunities, only one respondent to the on-line survey mentioned any activities specifically targeted at women. Instead, all other respondents to that question emphasised their efforts to involve individuals regardless of gender, avoid discrimination and encourage broadly balanced participation where possible.

In contrast, the promotion of opportunities for disadvantaged groups to participate in cultural activities appears to have been undertaken much more pro-actively. Indeed, some 51% of projects reported that they had specifically promoted opportunities for disadvantaged people, with *“people suffering socio-economic disadvantage”* being the most commonly targeted (31%), followed by ethnic minorities (25%) and people with a disability (15%). Based on the review of reports and the responses to the on-line survey, it appears that these projects have pursued cultural objectives first and foremost but also sought to widen participation in culture through making their activities accessible to a broad range of people, including those that are disadvantaged. Some – for example, 3 of the 21 projects reviewed - have also adopted explicit objectives relating to the promotion of social inclusion through culture. For example, the Dali Muchi project (Strand 1.2.1) had sought to

promote the social inclusion of disadvantaged children and young people (including children with terminal illnesses, children from travelling families like Roma and children of serving prisoners) through creating opportunities for them to participate in dance, live music and non-verbal theatre.

Co-operation projects appear in general to have experienced relatively few barriers to ensuring or promoting equality of opportunity within their activities. Indeed, of those responding to the on-line survey, only one in five reported any specific barrier. Of these, the most commonly-reported barrier was cost - mentioned by a third of those reporting barriers (7% of all respondents) – although these comments tended to relate more to transnational working generally than to equal opportunities per se. Perhaps more pertinently, around a fifth of those reporting barriers (4% of all respondents) mentioned that existing gender imbalances in their sector (notably dance) had hindered their efforts to promote equality and a further fifth (4% of all respondents) reported difficulties in reaching disadvantaged groups, for example, where the target groups were being exposed to a particular art form for the first time, e.g. opera.

Given that so few projects reported barriers in this area, it is perhaps unsurprising that, of those projects that had promoted equal opportunities, two-thirds believed they had been successful to a great or moderate extent. Whilst this is a positive finding, it is obviously based on respondents' own views and we must consider in what ways projects might have been effective. Looking at the evidence from the on-line survey,⁷⁸ it appears that projects have mostly been effective through adopting open and inclusive approaches that allow individuals to participate in the cultural activities organised by the projects, regardless of background (e.g. gender, ethnicity, income, ability, etc.). In other words, the promotion of equality of opportunity has mostly been through the adoption of certain "*mindsets*" or *modus operandi*, rather than through the implementation of specific activities. Moreover, it has often been interlinked with efforts to widen access to and participation in culture, with the removal of financial barriers facing disadvantaged groups (e.g. free/subsidised access to events or provision of financial support) being mentioned by six projects responding to this question in the survey. That said, there remain instances of projects that have successfully pursued objectives related to equality through the implementation of cultural activities (for example, 3 of the 21 projects reviewed).

6.2.7 Summary

Co-operation projects receive co-financing from the Culture Programme to form transnational partnerships and undertake cultural exchanges and other activities. For the cultural operators involved and based on the objectives stated in their applications, the opportunity to undertake such activities is their main motivation for participating. It is through and within the context of these cultural activities that they promote the three specific objectives of the programme, as well as the transversal objective of promoting cultural and linguistic diversity. Neither the Decision establishing the programme nor the current Programme Guide set out explicitly what the nature, form and content of those cultural activities should be. But the evaluation has identified that projects adopt and pursue their own (multiple) objectives which tend to be explicitly cultural in nature; supporting the development of specific cultural sectors and art forms tends to be the most common, but objectives such as supporting the development of artists and operators, exploring artistic themes, creating new works and promoting access to and participation in culture are also prominent. In pursuit of these cultural objectives, projects have implemented a diversity of cultural activities, including artistic exchanges, joint cultural creation,

⁷⁸ Unlike most questions within the survey, an open question was posed here ("Within your project, what has proved most effective in promoting equal opportunities?"), with respondents offering textual responses.

co-productions, tours and festivals, and exchanges of artefacts. They have also implemented a range of support activities, including exchanges of experience and networking, provision of information and practical support for operators, and education, training and research. Looking across all co-operation projects, there does not appear to be any difference in essence between the objectives and the activities of the multi-annual projects (Strand 1.1) and the two-year projects (Strands 1.2.1, 1.3.1); consideration should therefore be given to the necessity of retaining the distinction between the two types of project.

Neither Decision 1855/2006/EC nor the Programme Guide specify how the activities of co-operation projects should contribute to the three specific objectives of the programme (and to diversity), though all projects must address at least two of the objectives and those addressing three are preferred. The evaluation has found that nearly all projects have pursued all three objectives in some way and most felt that they had been successful in the activities that they had undertaken in pursuit of those objectives.

The mobility of players and the circulation of works have typically been undertaken as integrated activities, for example, performing arts organisations that travel in order to perform new works or artists that create and exhibit new works during a period of mobility. Moreover, mobility and circulation have been closely linked to cultural creation with exhibitions and performances typically featuring works newly-created by the partnerships. Support for mobility and circulation has primarily been for the operators within the partnerships themselves rather than for any wider, external set of operators, though some projects have recruited individuals for their activities, e.g. young musicians for tours, renowned performers and experts for events or workshops. Cost remains by far the greatest barrier to mobility and circulation, being cited across all strands by the bulk of the projects surveyed, but particularly acute for non-profit organisations. Projects have tended not to have difficulties in forming partnerships or in overcoming legal and fiscal barriers to mobility and circulation (except in the case of co-operation with third countries where barriers were prominent). This contrasts with findings in other research⁷⁹ which shows that individual artists suffer greatly within Europe from administrative, regulatory and fiscal obstacles to mobility. This difference in perception could perhaps be explained by the fact that in the case of projects, organisations with some experience in these matters are responsible for taking care of managing these aspects. As a consequence, it may be necessary to consider the provision of support for information and sharing of knowledge and guidance for cultural operators with a wish or a need to work in another EU country, for example trans-national training modules, or online mobility toolkits. Perhaps as a consequence of the various barriers to mobility, specific instances of mobility tend not to endure beyond the life of the cultural activities co-financed by the programme. Sustained benefits tend, instead, to be more in terms of the experience and skills gained by individuals as well as greater openness to and capacity for mobility in future on the part of individuals and organisations – including the networks and partnerships developed during the course of co-operation projects.

The majority of projects surveyed reported that they had created opportunities for people from different cultures to interact (mostly through events), which had promoted cultural diversity and helped to stimulate intercultural dialogue. Many, perhaps the majority of, co-operation projects have viewed intercultural dialogue as an inevitable consequence of their bringing together people from different cultural backgrounds or exposing people from one cultural milieu to works or artefacts from another. Intercultural dialogue has thus mainly been an

⁷⁹ See, for example: *Mobility Matters: Programmes and Schemes to Support the Mobility of Artists and Cultural Professionals in Europe*; ERICarts 2008.

inherent feature of cultural co-operation, rather than its chief rationale. Furthermore, it seems that intercultural dialogue has mostly taken place between the partners and cultural operators directly involved in projects where it has generally been reported to be very rich and beneficial for those involved – though many projects did also include a significant “*outward-facing*” intercultural dimension. Similarly cultural and linguistic diversity have perhaps been more a feature of transnational working (e.g. through the production of cultural works and literature in different languages undertaken by 55% of all projects) than an objective actively pursued by many projects – though the diversity of new cultural works and products (including those translated) have made an important contribution in that respect.

Overall, the experience of the co-operation projects raises the question of how the objectives of the programme should be understood, articulated and promoted in the future. The approach taken by the programme has been to devote a significant share of the resources available to supporting the development of transnational partnerships to undertake cultural activities. These have generated many positive effects, not least in terms of developing a greater output of cultural content for the European cultural space and offering a greater potential for access to these projects across Europe. However, we conclude that – given the rapid development of information and communication technologies and the pressure this puts on cultural organisations in terms of knowledge and consumer expectations – there is a need to refocus the programme's still very generally defined three specific objectives. In light of this, we offer below recommendations that in part relate to ways in which the current programme's effectiveness and visibility could be increased and we also offer recommendations relating to the inclusion of other approaches more specifically targeted on the objectives of a possible future programme, depending on the relative importance that the Commission places on these as opposed to other priorities.

6.3 Literary translations (Strand 1.2.2)

6.3.1 Introduction

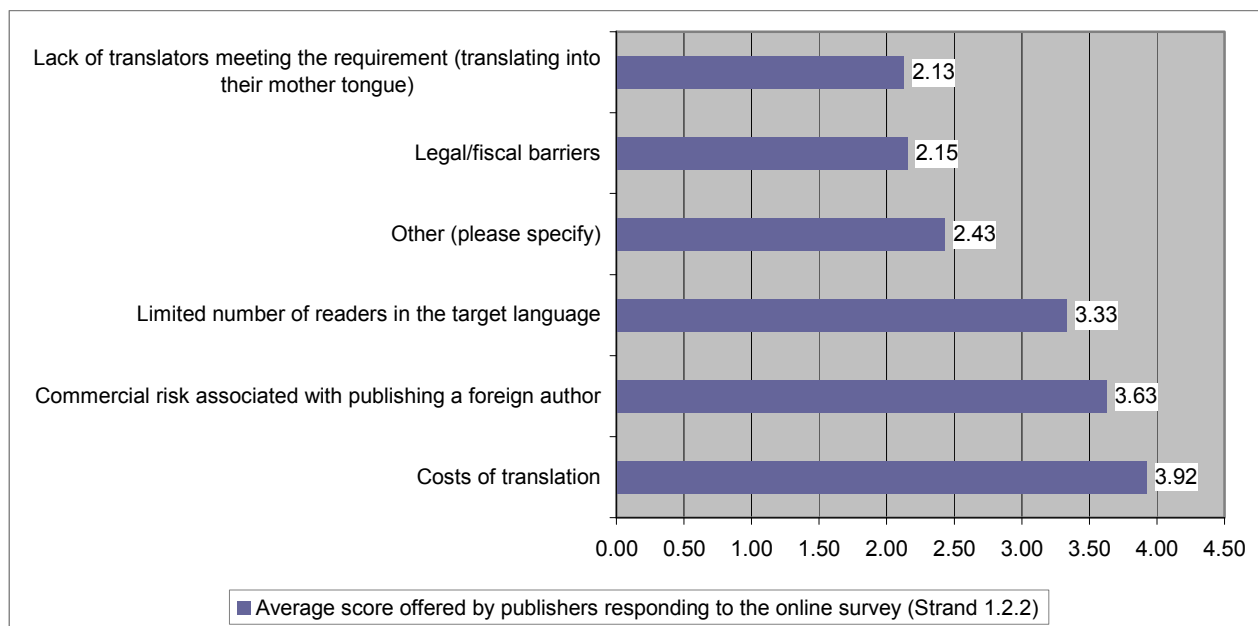
The translation of literature has the potential to contribute to the objectives of Article 167 of the Treaty in two important ways. First, literary translations have the potential to offer readers in all languages the opportunity to enjoy great works of literature that are considered part of the common cultural heritage⁸⁰. Second, literary translations have the potential to contribute to national and regional diversity by making the literary culture of all Member States more widely available and thus more widely read and appreciated. They also represent one of the most fundamental means of promoting the circulation of works.

Evidence from the research demonstrates that, in general, the publication of translated works represents a large commercial risk for publishers. A first concern is that of quality; the European Council of Literary Translators Associations (CEATL) suggests that quality can be adversely affected by the working conditions of translators and a lack of quality control across the sector generally. This concern was reinforced by interviews, with one publisher reporting that “*you don't know at the outset if the final product will be good in the new language*” and

⁸⁰ It is worth noting the words of the author Zadie Smith in this context. Writing in the Preface to *Best European Fiction 2010* (Hemon, A. ed. 2010 – not funded through the Culture Programme but by the UK Arts Council and other partners) she says: ‘It seems old-fashioned to speak of a “Continental” or specifically “European” style, and yet if the title of this book were to be removed and switched with that of an anthology of the American short story, isn't it true that only a fool would be confused as to which was truly which?’

two interviewees reporting difficulties in finding good translators in their countries. A second concern is that of cost. For works that may have limited readership in the target language, cost may represent a significant proportion of expected revenues and thus reduce the likelihood of profitability. Indeed, evidence from the literature review and the interviews identified that the translation of literature is often still dependent on public subsidies, especially for works that are likely to sell only a few thousand copies. This concern was shared by respondents to the online survey who stated cost as the biggest barrier to translations in general, as shown in the table below.

Figure 6.10 In general, what barriers do you face concerning the publication of translated works?



NB: from 1 (not at all) to 5 (very much)

6.3.2 Effect on encouraging the transnational circulation of works and cultural and artistic products

To what extent has the programme contributed to the circulation of cultural works? Where expectations have not been met, what factors have hindered the development of the programme? (EQ11)

To what extent can the programme be said to have contributed to the achievement of the objective of the European Agenda for Culture related to the circulation of all artistic expressions beyond national borders? (EQ7)

The literary translation strand makes a specific contribution to promoting the transnational circulation of works. Some 1046 translations were produced in the years 2007-09, according to EC programme data. Of these, more than half were works of newly-published authors, according to the on-line survey. Data from the on-line survey also suggested that the mean number of copies of each translation published was 1,410 and the median was 1,000. However, the survey also suggested that about one in five translated books were not printed and distributed. This seems to indicate that the commercial viability of publishing translated works is often uncertain and underlines the need for support in order to reduce part of the risks that are inherent to such publications

(see below in section 6.3.3). This would suggest that the total number of copies of books published was between 0.9m and 1.2m in total over these three years.⁸¹

Data from the online survey also suggests that the mean number of copies of each translation sold was 886 and the median was 600, an average sales rate of about 60%. This would suggest that the total readership of translated works will eventually amount to between about 500,000 and 1.4m for the three years in question. On this basis, and by any measure it is reasonable to conclude that the programme is proving effective in promoting the circulation of a large number of translated works and thus widening readership of those works – a significant “*volume*” effect.

Table 6.4 below illustrates the balance between new and old Member States in terms of source and target language for the years 2008-09. Tables 6.5 and 6.6 present the precise numbers of books involved.⁸²

Table 6.4 Balance of source and target languages

Countries	Source language (% of books)	Target language (% of books)	% of EU population
EU15 (& EEA) ⁸³	80	43	79
Of which: English/French/German ⁸⁴	25 / 18 / 12	2 / 0 / 4	13 / 14 / 19
New Member States (& other countries) ⁸⁵	20	57	21

Source: programme data supplied by EACEA

⁸¹ Number of translations (1046) x mean/median (1410/1000) x proportion of books printed and distributed (80%).

⁸² Full data was not available for 2007.

⁸³ Percentages of translations include Icelandic and Norwegian; population data do not include EEA countries.

⁸⁴ Population for EN includes UK and Ireland; for FR includes France, half of Belgium and Luxembourg; for DE includes Germany and Austria

⁸⁵ Percentages of translations include Macedonian, Serbian and Turkish (a small percentage of all translations); population data do not include non-Member States.

Table 6.5 Source languages of literary translations

	Source language	Source	% of all translations	% of EU population
EN	English	191	25%	13%
FR	French	141	18%	14%
DE	German	89	11%	19%
IT	Italian	49	6%	12%
ES	Spanish	35	5%	9%
CS	Czech	28	4%	2%
SV	Swedish	24	3%	2%
PL	Polish	23	3%	8%
HR	Croatian	21	3%	n/a
EL	Greek	21	3%	2%
NO	Norwegian	20	3%	n/a
HU	Hungarian	19	3%	2%
DA	Danish	14	2%	1%
SR	Serbian	14	2%	n/a
SL	Slovene	13	2%	<1%
BG	Bulgarian	12	2%	2%
NL	Dutch	11	1%	3%
FI	Finnish	11	1%	1%
TR	Turkish	8	1%	n/a
PT	Portuguese	8	1%	2%
RO	Romanian	7	1%	4%
SK	Slovak	6	1%	1%
MK	Macedonian	3	<1%	n/a
IS	Icelandic	2	<1%	n/a
LV	Latvian	1	<1%	<1%
LT	Lithuanian	1	<1%	1%
ET	Estonian	0	0%	<1%
		772	100%	100%

Source: programme data supplied by EACEA

Table 6.6 Target languages of literary translations

	Target language	Number of	% of all translations	% of EU population
HU	Hungarian	99	12%	2%
BG	Bulgarian	98	12%	2%
SL	Slovene	82	10%	<1%
IT	Italian	73	9%	12%
EL	Greek	69	9%	2%
LT	Lithuanian	53	7%	1%
NO	Norwegian	45	6%	n/a
DE	German	35	4%	19%
NL	Dutch	29	4%	3%
MK	Macedonian	28	4%	n/a
RO	Romanian	24	3%	4%
ES	Spanish	24	3%	9%
FI	Finnish	21	3%	1%
PL	Polish	21	3%	8%
DA	Danish	19	2%	1%
SR	Serbian	19	2%	n/a
EN	English	14	2%	13%
CS	Czech	10	1%	2%
SK	Slovak	10	1%	1%
HR	Croatian	8	1%	n/a
IS	Icelandic	8	1%	n/a
LV	Latvian	8	1%	<1%
SV	Swedish	7	<1%	2%
PT	Portuguese	4	<1%	2%
ET	Estonian	1	<1%	<1%
FR	French	0	0%	14%
Latin	Latin	0	0%	n/a
TR	Turkish	0	0%	n/a
		809	100%	100%

The tables show that around four out five translations were from EU15/EEA languages and around one in five was from EU12 languages/other languages – broadly reflecting population size. However, a disproportionate number of translations were from English and French relative to the EU's anglophone and francophone population. In the case of English, this may reflect the very large number of publications in English generally.⁸⁶ Aside from these two languages, the balance of source languages tended to reflect the size of population,

⁸⁶ The USA and the UK are reported by UNESCO to publish the largest number of new titles each year in total and per capita; quoted in http://en.wikipedia.org/wiki/Books_published_per_country_per_year#cite_ref-0; and www.worldometers.info/books.

although the languages of the other large countries (Germany, Italy, Poland, Romania, Spain) were under-represented.

The tables also show that target languages were disproportionately likely to be new Member State languages, relative to the size of population. Not only did the languages of new Member States more often constitute target languages in general, but a number of languages were particularly prominent, notably Hungarian, Bulgarian, Slovene and Lithuanian. The evidence from the interviews was inconclusive in explaining the predominance of these languages. For example, when considering the availability of translators (one of several potentially important factors), one publisher reported that, in general, it was not difficult to identify good translators in Hungary, whilst another reported that in Slovenia it was. There was one notable exception to the predominance of new Member State languages as target languages: Polish, which accounted for significantly fewer translations relative to the population of Poland. Of the EU15 countries, the most commonly-spoken languages were very under-represented as target languages, particularly English, French and German, as well as Spanish to a lesser extent. Indeed, fewer books were translated into any of these four languages in total than into either Hungarian Bulgarian or Slovene.

On the basis of this analysis, it would appear that the programme is successful in making literature more widely available, particularly to readers in new Member States (and some of the smaller old Member States), enabling them to enjoy literature that can be considered part of the common cultural heritage, particularly works in English, French and German. However, the programme is proving less effective in contributing to the circulation of works from Member States that are not anglophone or francophone, particularly larger countries. In light of this, it could also be argued that an opportunity to promote intercultural dialogue – through exposing readers in old Member States to the cultures of the new Member States – has not yet been fully exploited.

It will be important for the Commission to consider how it might be desirable or possible to take measures to increase the translation of works on the one hand into target languages currently under-represented - most notably English, French and German – and, on the other hand, to encourage translations from source languages which are currently underrepresented. Such measures would need to run counter to broader trends in the publishing sector; evidence from the literature review and the interviews suggests that translated works form a very small proportion of sales in the anglophone market and that publishers are generally reluctant to translate works into English. The literature review and the interviews also suggested that the same phenomenon may manifest itself in the francophone market, although perhaps to a lesser extent. The stakeholder interviews also suggested that the existence of a well-established scheme (offered by the Centre national du livre in France⁸⁷) for subsidising translations into French may also have been significant in reducing the demand from French publishers for support from the Culture Programme.

6.3.3 Overcoming barriers to the circulation of works

To what extent has the programme contributed to the circulation of cultural works? Where expectations have not been met, what factors have hindered the development of the programme? (EQ11)

While the overall objective of the programme is to increase the circulation of European literature, the mechanism adopted, i.e. public funding through grants, de facto makes a difference on the ground by reducing

⁸⁷ www.centrenationaldulivre.fr

the financial constraints or risks related to the publication of a foreign author by the European publishing houses. The table below shows the barriers experienced by publishers supported by the programme for the translation of works. The table shows that the EU grant significantly reduces the risk associated with publication; the average assessment of commercial risk associated with publishing a foreign author is reported as 1.92 (on a scale of 1 to 5), as opposed to the risk of 3.63 reported for such publications in general (see Figure 6.10 presented earlier).

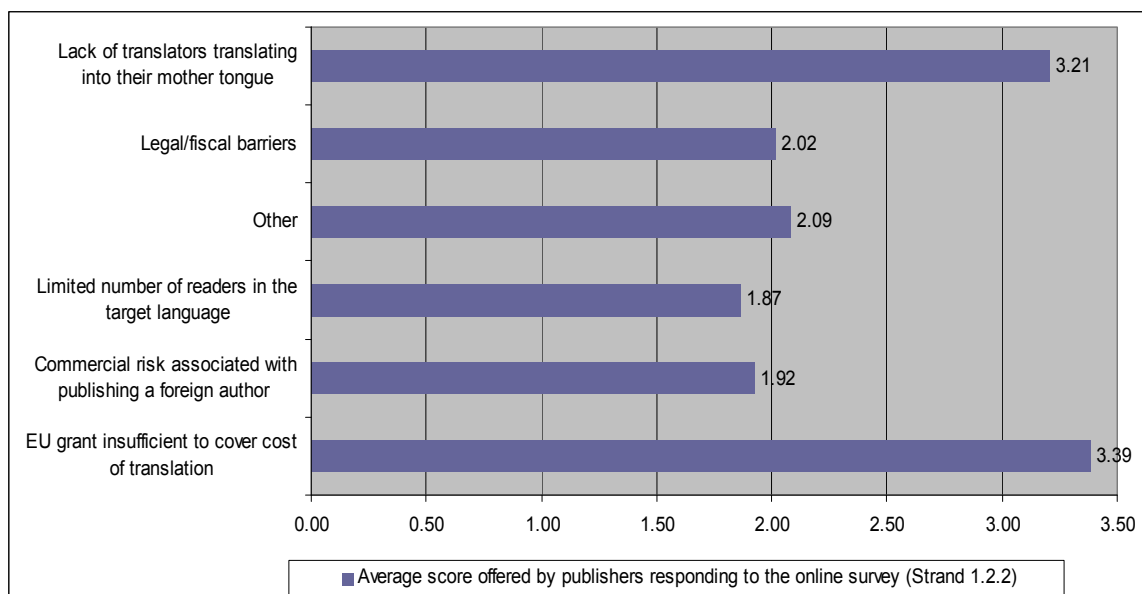
The potential for the programme to reduce commercial risk can be illustrated by a hypothetical example: a work of 250 pages that sold the median number of copies, i.e. 1000 at, say, €20 per copy would generate €20,000 of revenue. The current flat-rate grant received for translation into Hungarian (the most common target language) would be €18.18 per page⁸⁸, a total of €4,545. This sum would represent a very significant proportion of the total sales revenue, i.e. 23%; it is thus clear to see the extent to which the EU grant has the potential to reduce the commercial risk associated with publishing translated works. For translations into English, French and German, the reduction in commercial risk might be even greater given the higher flat-rate grants available for translations into these languages.

Publishers and one sector stakeholder interviewed also reported that the ending of the requirement to have a copyright agreement with the author in place prior to the application had reduced the commercial risk of participating in the programme – gaining such agreement in advance of an application places significant costs on the publishers, particularly where authors require an advance payment.

Notwithstanding the impact of the grant in reducing commercial risk, the evidence regarding the sufficiency of the rates paid for translations appears to be somewhat contradictory. On the one hand, the evidence from the on-line survey suggests that publishers generally considered the EU grant to be insufficient to cover the cost of translation, as shown in the chart below. While this finding is perhaps not entirely objective (since it reflects the opinion of publishers receiving EU funding), it suggests that the cost of translation (the most prominent barrier to the publication of translated works in general – see Figure 6.10 above) represents the greatest barrier to translation. On the other hand, those publishers interviewed maintained that the rates were sufficient. Moreover, analysis of final reports has highlighted instances of publishers receiving translation grants that exceed the fees of the translators. It may therefore be that there are significant differences between countries in terms of the sufficiency of the rates offered for literary translations and this issue needs further investigation. In the meantime, DG EAC and the EACEA should continue the current policy of aligning EU grant rates to prevailing market rates in each country as closely as possible (and in line with evidence supplied by Member States). The Commission should also consider the likely impact of requiring publishers to pass on the full value of the grant to the translator, e.g. in terms of ensuring a high quality of translations (which is one of the award criteria for this strand).

⁸⁸ Programme Guide 2009

Figure 6.11 Barriers/obstacles experienced in translating and publishing books translated with support from the Culture Programme?



NB: from 1 (not at all) to 5 (very much)

Whilst the EU grants have helped reduce one of the barriers to the circulation of translated works – that of commercial risk – it appears that the commercial viability of translations remains uncertain for many publishers receiving support. Only about 15% of publishers reported that all books had been commercially viable and slightly more suggested that the translations had not been viable. In the majority of cases, publishers reported either that some but not all books had been commercially viable (just under 50%) or that it was too early to say (about 20%) – final sales figures are unlikely to have been received by publishers benefitting from support in 2009. The final evaluation (covering the years 2007-13) may be able to shed more light on the viability of translations, since by then more publishers will have received final sales figures.

Given the uncertainty of the commercial viability of translations – even with EU support – it is perhaps unsurprising that the programme is mostly supporting an expansion of the number of translations by existing players, rather than enabling others to undertake translations for the first time. Of those publishers replying to the on-line survey, over 90% reported that this was not the first time that they had translated a work for publication. In about one in four cases, the programme has enabled publishers to translate works from new source languages.

6.3.4 Summary

The literary translation projects have enabled a large number of readers, perhaps as many as 1.4m within a three-year period and particularly in some EU12 countries, to access literature that may be considered part of a common European cultural heritage. However, there is a predominance of English and French as source languages (more than four in ten) and a predominance of just five languages (Hungarian, Bulgarian, Slovene, Italian and Greek) as target languages (more than half of all translations). The programme has thus made good progress in promoting the circulation of literature, but not yet fulfilled its potential. There is a need to widen access to works in less-well represented languages (especially some new Member State languages, such as

Polish and Romanian) and in doing so to foster cultural diversity and intercultural dialogue. In order to further stimulate cultural diversity, it is essential to take measures to support an increase in the number of literary translations from all languages into the most widely-spoken EU languages. Since these include some of the dominant world languages, such translations would enable the literature of lesser-used languages to be disseminated much more widely, perhaps even globally, particularly where the target languages serve as pivot languages for further translations. The evidence shows that the prevailing trends in publishing is developing in the opposite direction and that this is seriously affecting the international circulation of books from lesser-known languages, which in itself is limiting linguistic and cultural diversity within the EU. In line with the EU's obligations in the Treaty and as a Party to the UNESCO Convention to protect and promote cultural diversity, this would suggest that there is a need for targeted action in order to counterbalance the current trend.

The grants provided via the Culture Programme significantly favour the circulation of literary translation by reducing the commercial risk normally associated with these types of publications (the results of our online survey suggest that publishing a foreign author doubles the commercial risk compared with the general run of publications). Removing the requirement to have a copyright agreement in place prior to application has also reduced the risk to publishers of participating in the programme. However, there remains mixed and conflicting evidence with regard to the adequacy of the EU grant and it may therefore be necessary for the Commission to explore this issue further.

6.4 Organisations active at European level (Strand 2)

6.4.1 Nature of organisations supported

Ten per cent of the budget is allocated to Strand 2 which provides grants to support the growth and development of organisations active at European level in the culture field, in other words to help to build the capacity of cultural operators to work together at a supra-national level. Organisations are supported across a range of activity including acting in a representative manner as ambassadors or as advocacy networks (where their country span is sufficiently broad and their member base sufficiently deep), or as structured dialogue platforms enabling the sector to interact effectively with the Commission, or as policy analysis groupings, or finally as promoters of supranational festivals. Only organisations that have been in existence for some time are eligible to apply as ambassadors (at least two years), advocacy networks (at least one year), festivals (at least two years and five editions) and policy-analysis groupings (two years). Some of these, particularly ambassadors, have been supported by EU funding for many years and some, mostly festivals, have received funding from the co-operation project strands of the Culture Programme. Others, again mostly festivals, have been in operation for many years without EU funding. Structured-dialogue platforms are relatively new, having been formed in response to a specific call for expressions of interest published by the Commission in March 2008 and then invited by the EACEA to apply for support from the Culture Programme.

It is difficult to draw many generalised conclusions about the European added value of Strand 2, since it forms a relatively modest part of the programme and supports four diverse types of organisations (one of which is further sub-divided into two types) but relatively few of each type (for example, in comparison to the co-operation projects). In this section, we thus present some generalised conclusions where they are available

from the on-line survey,⁸⁹ supplemented by what is best regarded as 'anecdotal' evidence from the interviews, as well as highlighting some questions to explore in the final set of triangulation interviews.

Evidence from the research suggests that it is very difficult to distinguish between the activities and effects of Strand 2 that relate to mobility and those that related to the circulation of works. We therefore consider these two objectives together in the next sub-section before going on to consider the contribution of Strand 2 organisations to the objective of encouraging intercultural dialogue. Later in this report (section 7), we also look at the extent to which the programme has enabled organisations to build sustained capacity for adding value at the European level.

6.4.2 Effect on promoting mobility and encouraging the circulation of works

To what extent has the programme contributed to the mobility of artists and cultural workers? Where expectations have not been met, what factors have hindered the development of the programme? (EQ10)

To what extent can the programme be said to have contributed to the achievement of the objective of the European Agenda for Culture related to the promotion of the mobility of artists and professionals in the cultural field? (EQ7)

To what extent has the programme contributed to the circulation of cultural works? Where expectations have not been met, what factors have hindered the development of the programme? (EQ11)

To what extent can the programme be said to have contributed to the achievement of the objective of the European Agenda for Culture related to the circulation of all artistic expressions beyond national borders? (EQ7)

All but one of the Strand 2 organisations that responded to the on-line survey reported that they had been effective to a great or moderate extent in promoting mobility and in encouraging the circulation of works. The nature of this promotion varies according to the type of organisation.

In the case of ambassadors, it is implicit that the supported organisations will directly support the mobility of cultural players and the circulation of works; the Programme Guide states that *“organisations particularly referred to in this category are orchestras, choirs, theatre groups and dance companies... whose activities must be carried out in at least seven countries”*. Given that the ambassadors supported are primarily performing artists (the list of organisations selected mostly comprises orchestras), their activities include tours and performances in different locations. Ambassadors have thus promoted the mobility of artists and the circulation of works in a very direct and tangible way. For example, the European Youth Orchestra (EUYO) recruits 140 young people each year for its summer tour through auditions held in each of the 27 Member States. The experience of such international orchestras also promotes the future mobility of the musicians involved by enhancing their musical development.

Festivals, perhaps almost by definition, are usually located in one location (though it is conceivable that some festivals could travel and be replicated in more than one place). They are required to be European or transnational through the inclusion of artists and/or works from at least seven countries, which promotes mobility

⁸⁹ Although the survey received a reasonable response rate, the number of Strand 2 organisations makes it difficult to draw conclusions from survey data across all four types.

of artists and the circulation of works – albeit in a limited way, in that the players would typically only visit one location. For example, the *Festival Steirische Kulturveranstaltungen* brings many international musicians and conductors together at the festival in Graz. The festival is receiving €100k over 3 years and this contributed to a concert in the first year and an opera in the second year. Similarly, the *Romaeuropa* festival hosted some 7,000 artists from 40 countries over the last 25 years. The period of support from the Culture Programme has coincided with the opening of Romaeuropa's new headquarters, which has given it new impetus in terms of hosting visiting artists, intellectuals, creative operators and technical experts.

Advocacy networks and policy groupings tend to support mobility and circulation through their role in research, advocacy and networking rather than through the implementation of cultural activities. In this way, they help to create the conditions in which mobility and circulation can increase rather than directly promoting them as such. For example, the Association of European Conservatoires (an advocacy network) has been working on the recognition of qualifications which is crucial in ensuring that mobility amongst musicians is possible. Cultural Action Europe has made information relating to the mobility of artists available on its website. The Platform on the Potential of Cultural and Creative Industries (a structured-dialogue platform) has undertaken research and consultation across a range of issues, including the working conditions of cultural operators, the mobility of cultural operators, and international promotion and exchange. Its report was published in September 2009 and is intended to contribute to activities related to the European Agenda for Culture.

It is worth noting here that the activities of advocacy networks in fact go beyond advocacy to encompass a broader representative role. Indeed, the current Programme Guide foresees networks adopting aims relating to networking and structured dialogue, as well as advocacy, and all the advocacy networks reviewed provided important services “internally” to its membership as well as representing them “externally” to policymakers and others. For example, the European Jazz Network has prioritised the organisation of opportunities for artists, organisers and audiences from different countries to meet and communicate, as well as an annual research programme. Similarly, the European Network of Cultural Administration Training Centres has prioritised the exchange of knowledge, methodologies, experiences and tools for assessing training needs. Given this breadth of activities, it may be appropriate to redefine advocacy networks as “networks” in future.

6.4.3 Effect on encouraging intercultural dialogue

To what extent has the programme supported intercultural dialogue? Where expectations have not been met, what factors have hindered the development of the programme? (EQ12)

To what extent can the programme be said to have contributed to the achievement of the objective of the European Agenda for Culture related to the promotion and strengthening of intercultural competences and intercultural dialogue? (EQ7)

All but one of the Strand 2 organisations reported that they had been effective to a great or moderate extent in encouraging intercultural dialogue.

Activity mentioned by most or all interviewees relating to intercultural dialogue primarily consisted in bringing together people from different nationalities but with shared interests to undertake a common activity – either one of cultural creation/performance or one relating to research, advocacy and/or representation in the cultural sector. Such activity tends to contribute to intercultural dialogue through co-operative working between people

of different nationalities rather than from activities that explicitly aim to bring cultural differences to the fore. For example, the EUYO brings together young people from different countries to co-operate in the creation and performance of music. Based on the review of literature and on the interviews, the ambassadors and festivals also, in some cases, undertake performances or exhibitions which introduce audiences to works from other countries. In the case of the Avignon Festival, support from the Culture Programme has enabled it to become more European in outlook, for example, through translating materials and interpreting plays to make them more accessible for non-French speakers, as well as through providing promotional materials in English.

The Platforms have made a very specific contribution to the exchange of knowledge and the sharing of best practices which is important input for the development of future policies with respect to intercultural dialogue, most notably the Platform for Intercultural Dialogue and the Access to Culture Platform, which have produced reports of relevance to this issue. The extent of impact will depend on the extent to which policymakers (most notably the Commission) adopts their recommendations. However, the Platform for Intercultural Dialogue has also gone further in its intercultural dialogue activities by involving more grass-roots organisations in its activities. For example, it has organised regional practice exchange events (two in 2009 and two planned for 2010) in which civil society organisations have the opportunity to share their knowledge and experience in how to reflect the diversity of the context in which they operate.

6.4.4 Summary

Grants are provided to support the emergence and further development of organisations active in the culture field at EU level and networking between such organisations; in effect, to help build the capacity of cultural operators to work together at supra-national level and to aid the exchange of experience and good practice. There are instances of organisations making a strong, and in many cases high profile, contribution to the mobility of artists and cultural workers and to the circulation of cultural works (for example through festivals, orchestras and advocacy networks). Strand 2 organisations have also made contributions to encouraging cultural diversity and intercultural dialogue, primarily through bringing people together to take part in shared cultural activities, exchanging information and promoting peer learning through their networking effect.

The advocacy networks and policy support structures – and the knowledge they bring together – are important when it comes to developing measures aimed at mobilising the potential of Europe's cultural and creative sectors to face the challenges identified in the Europe 2020 strategy. Indeed, the two structured dialogue platforms supported by the programme (Platform for Intercultural Dialogue and the Access to Culture Platform) have contributed to stimulating debate and gathering information required for the development of future policies – and notably in activities related to the European Agenda for Culture.

Festivals make a positive contribution to the objectives of the programme, as they attract large numbers of people and therefore offer great potential for international visibility for European cultural expressions, as well as widening public access to such expressions. They can have a strong European dimension without necessarily having a partnership, which is reflected in the recent revision of support to established festivals (defined as having had five previous editions) into projects rather than operating grants. Festivals can also take part in transnational co-operation projects, indeed some have, which further strengthens their European dimension through participation in a partnership with operators in other countries.

6.5 Special actions (Strands 1.3.2, 1.3.3 and 1.3.4)

To what extent has the programme contributed to the mobility of artists and cultural workers? Where expectations have not been met, what factors have hindered the development of the programme? (EQ10)

To what extent has the programme contributed to the circulation of cultural works? Where expectations have not been met, what factors have hindered the development of the programme? (EQ11)

To what extent has the programme supported intercultural dialogue? Where expectations have not been met, what factors have hindered the development of the programme? (EQ12)

Special actions (ECOC, European prizes, support for international organisations)⁹⁰ are intended to be “substantial in scale and scope, strike a significant chord with the peoples of Europe and help to increase their sense of belonging to the same community, make them aware of the cultural diversity of Member States, and also contribute to intercultural and international dialogue.” They are also intended to help raise the visibility of Community cultural action both within and beyond the EU and also contribute to raising global awareness of the wealth and diversity of European culture.⁹¹ Given this intention, it can be argued that the special actions are most relevant to the global objective of the programme – to enhance the common cultural area shared by European – though they must also meet at least two of the three specific objectives of the programme.

Although grouped in a single sub-strand (Strand 1.3), the special actions are not intended to be implemented as an integrated sub-programme. Indeed, they represent a very diverse set of activities, delivered by very different mechanisms. What they have in common is their high-profile nature and the fact that most are managed directly by DG EAC rather than the EACEA (with the exception of the co-operation projects involving third countries). In considering their effectiveness, we are not therefore looking for a combined impact where such impact could not be expected to exist. Instead, we compare and contrast their effectiveness as well as drawing common conclusions where possible.

In terms of impact on mobility, it is only the ECOC that directly support activities enabling cultural players to operate in different countries. Mobility is not one of the explicit objectives of the ECOC, but is implied in the criterion referring to the European dimension and each ECOC typically features a diverse set of mobility activities within its cultural programme. These include events featuring artists of European significance, as well as artistic collaboration, co-productions and exchanges between operators in different countries and partnerships between different cities. The majority of this activity is typically funded by sources other than the Culture Programme (which only funds a relatively small proportion of the total costs of ECOC). However, there are examples of ECOC that have specifically used the funding from the Culture Programme to support mobility activities. For example, Liverpool (2008) used its funding to bring young performers from six European cities together for a concert in Liverpool.

⁹⁰ As noted earlier, support for cultural co-operation (Strand 1.3.1) although classed as a special action has been grouped with the other co-operation projects for the purposes of this exercise and is therefore considered in section 5.2 rather than in this section.

⁹¹ Decision no. 1855 (2006).

In contrast to ECOC, the European prizes have made an indirect contribution to mobility, by giving the winners a higher profile in different countries. According to the organisers, winners of the architecture and music prizes have mostly gone on to enjoy higher international profile, though it is very difficult to ascertain the extent to which that is due to the prize. In the case of the literature prize, it is too early to determine the effect on the winners' careers (since there has been just one round of prize-giving featuring only a third of Member States). However, at least one author has gone on to enjoy residencies in other countries since winning the prize and seven of the award-winning authors' works have been since translated into eight languages with the support of the Culture Programme.

In terms of impact on the circulation of works, again the extensive cultural programmes of the ECOC often feature many activities directly contributing to this aim, through collaboration, co-productions and exchanges between operators in different countries and partnerships between different cities. For example, Stavanger (2008) featured four companies-in-residence that came from other countries. In the case of the European prizes, winners' work has been given much greater prominence in other countries through the award ceremonies and associated publicity. In addition, some of the publishers who have applied for funding for the translation of novels winning the literature prize have received a grant for translation. The architecture prize has also been supported by a travelling exhibition devoted to the winners' works. All prizes have sought a good geographic spread across Europe, though some have been more successful than others in this. For example, Spain and the UK tend to be over-represented in nominations for the heritage prize whilst the new Member States tend to be under-represented, perhaps because they have less experience of and capacity for submitting nominations. In the case of the music prize (EBBA), some European regions have been less well represented as they lack support structures to promote their artists abroad. Some of the joint actions with international organisations have also supported the circulation of works.

Most of the special actions have pursued the objective of encouraging intercultural dialogue indirectly, though the ECOC Action pursues it more explicitly. Indeed, one of the basic aims of the Action is to "*promote greater mutual understanding between European citizens*", which can be seen as contributing directly to intercultural dialogue.⁹² Moreover, the involvement of citizens is one of the criteria for the cultural programmes of the ECOC, so most have featured activity that has involved different sectors of the local community (e.g. different ethnic groups) in cultural activities. They have also featured cross-cultural cultural activities and events, for example, those featuring artists from different countries and which have presented local communities with works from a culture other than their own. Co-operation with international organisations has included projects directly or indirectly contributing to intercultural dialogue. Most notably, "*Intercultural Cities*", a joint action with the Council of Europe, has created a network of cities with diverse populations to discuss, debate and share best practice in approaches to developing an inclusive, intercultural identity.⁹³ An important cultural heritage project with the countries of the Western Balkans has also aimed to improved dialogue between that region and the EU.

In addition to these contributions to the three specific objectives of the programme, there is evidence that the special actions have – as intended – made an important contribution to raising the visibility of Community cultural action and global awareness of the wealth and diversity of European culture. As noted earlier, the European Heritage Days have attracted some 25m visitors. Collectively, the ECOC in the years covered by the

⁹² Decision No 1622/2006/EC

⁹³ www.coe.int/t/dg4/cultureheritage/culture/cities/default_en.asp

evaluation have attracted large numbers of visitors (e.g. 1m to Sibiu, 15m to Liverpool, 3.5m to Linz) and generated extensive international media attention (e.g. more than 25,000 media reports mentioning Linz 2009 in 2,600 national and international media channels). Similarly, the European prizes have generated extensive media coverage and thus a higher profile for European cultural action. For example, the music prize has been broadcast on television in twelve European countries and on 24 radio stations in 18 countries and attracted 12,100 website hits from 100 countries. The prizes have also given a high visibility to the role of the EU in promoting culture, for example through the EU's association with some of the most prestigious and influential bodies in each of these four sectors.

7.0 Sustainability

There are two main dimensions to the consideration of the question of sustainability. First, there is the sustainability of the activities of the programme itself. This revolves around the question of whether the bodies supported – primarily co-operation partnerships and organisations active at European level – have (built) the capacity to continue their activities beyond the life of EU funding. Second, there is the question of the sustainability of the effects of the programme – through its influence on the wider world, particularly the cultural sector and also policymakers at EU and national level. We consider both dimensions here. The evidence base we have drawn upon to assess sustainability comprises desk research, stakeholder and beneficiary interviews, programme data analysis and the online survey.

7.1 Sustainability of activities

Which of the current activities or elements of the programme would be likely to continue and in which form if Community support was withdrawn or substantially decreased? (EQ19)

To what extent can the programme be said to have contributed to the achievement of the objective of the European Agenda for Culture related to the promotion of capacity building in the cultural sector? (EQ7)

7.1.1 Introduction

We consider here the sustainability of the activities and the co-operation projects, the organisations active at European level and the special actions supported by the Culture Programme. In the case of co-operation projects (Strands 1.1, 1.2.1, 1.3.1), the intention is that the EU funding will support activities that result in *"continued, sustained co-operation"*.⁹⁴ Indeed, co-operation projects are assessed and selected against award criteria⁹⁵ which prioritise (amongst other things) the sustainability of the co-operation. In the case of Strand 2, their activities are intended to generate the *"greatest possible long-term results and co-operation"*. The sustainability of the special actions (Strand 1.3) is not particularly emphasised by Decision 1855 and some activity is intended to be *"one-off"* in nature, though some elements are (implicitly) intended to be sustained.

Activities under other strands are not, on the whole, intended to generate sustained co-operation and transnational activities in the way that co-operation partnerships and European organisations are. We therefore do not consider them here. In the case of literary translations (Strand 1.2.2), EU funding is not specifically intended to generate sustainable activities (though the translated works themselves should endure through publication and sale, as considered in section 6). As noted earlier, Strand 3 finances support measures for the management of the programme and is therefore considered in section 5 (*"Efficiency"*).

⁹⁴ Programme Guide, Culture Programme (2007-13); November 2009; EACEA; and drawing on the Annex to the Decision establishing the Culture Programme (Decision 1855/2006/EC).

⁹⁵ In addition to the criteria common to all three strands, there is a set of criteria relating only to co-operation projects with third countries.

7.1.2 Co-operation projects

Whilst co-operation projects are intended to generate a range of outputs such as new cultural activities or opportunities for mobility, they are also expected to develop capacity for transnational cultural co-operation which will enable activities to continue in a sustainable fashion after the end of funding. Indeed, the EIA highlighted the need for EU co-financing to facilitate the development of such capacity.

In terms of building capacity for sustained cultural co-operation, the evidence from the research suggests that co-operation projects have in general registered significant successes. Interviewees very often mentioned the opportunities and benefits that had flowed from co-operation between a diverse mix of people, partners and cultural operators. The overwhelming majority of those interviewed reported that their projects had involved genuine cultural collaboration that went beyond an organisational exchange. A few mentioned that it gave some operators, such as young artists, their first experience of international working. Two of the co-operation projects with third countries offered examples of how co-operation had enabled them to overcome practical barriers to the mobility of players and the circulation of works - one relating to the circulation of works to China, the other relating to the legal and administrative barriers to working in Tunisia. Few respondents highlighted obstacles in this respect and the feedback in relation to whether foundations had been built for future activity suggests that in most cases a solid basis has been constructed – a type of “process” effect.

Furthermore:

- 73% of survey respondents were of the opinion that they had produced a strong and enduring partnership between co-ordinator and co-organisers to a great extent and 91% to a moderate or great extent; and
- 62% had improved the capacity for cultural operators to engage in transnational cooperation projects to a great extent and 90% to a moderate or great extent; for example, the *Eurozine Translation of Cultures* project reported that it had strengthened the capacity of European cultural journals to reach a wider public.

Although the difference is not great between these two sets of figures, it suggests that it is perhaps easier to forge a strong partnership than to improve capacity: in other words, cultural operators might be able to form partnerships without necessarily increasing their capacity for further action.

Most interviewees reported benefits in terms of relationships and new capacity for co-operation. Nearly all interviewees expressed a strong desire to continue their partnerships (or bilateral relationships therein) as well as the cultural activities where possible. Many projects mentioned a legacy of tangible works and products that would remain such as websites, artistic materials, newly-composed music, etc. A small number offered examples of specific activities that would continue such as a five-year exhibition. Another example was offered by the Keđja project (Strand 1.1), which has secured funding from the Nordic Council for the next two years to develop further its activities, including organising one dance encounter per year, developing further artistic collaborations and informing the policy process.

Three quarters of survey respondents indicated that they expected their activities to continue beyond the life of EU funding to a great or moderate extent (Table 7.1). Whilst none said 'not at all', 25% reported either 'don't know' or 'to a small extent'. Co-operation projects with third countries were most unclear about this issue, with 42% responding 'don't know' perhaps reflecting some inherent uncertainties in working outside the EU.

Table 7.1 Survey respondents' views on the continuation of activity after EU funding

To what extent will activities continue beyond the life of EU funding?		
	To a great extent	To a great or moderate extent
Strand 1.1 Multi-annual co-operation projects (n = 42)	39%	73%
Strand 1.2.1 Co-operation projects (n = 101)	49%	79%
Strand 1.3.1 Cultural co-operation projects with third countries (n = 13)	17%	42%
All co-operation projects (n = 156)	44%	75%

Despite this very positive view from the survey, it is important to note that a different perspective was obtained from the interviews in relation to the continuation of cultural activities themselves rather than enhanced capacity and a continuation of the partnerships: few interviewees were able to say categorically that their cultural activities would continue beyond the life of EU funding. Indeed, the one project (in Strand 1.1) which was able to say that its activity would continue in its present form had been in operation for several years before 2007. Several mentioned the continued need/desire for further EU co-financing. This finding was reinforced by the review of project documents which found that impacts tended to be reported in terms of greater openness to working internationally, continued relationships and networking as well as the endurance of tangible products and works rather than the continuance of transnational cultural activities. In the case of third-country co-operation projects, there was no evidence of demonstrable long-term impact on co-operation between the cultural sectors of those countries and those of EU27, since the number of projects in each third country lacked critical mass.

7.1.3 Organisations active at European level

The question of the sustainability of Strand 2 organisations is different to that of the sustainability of co-operation projects for two reasons. First, around one third of Strand 2 organisations have been supported by EU funding earmarked by the Parliament prior to the competitive selection process through open calls⁹⁶ – and some would not have come into existence in the absence of EU funding, including some ambassadors and the policy support structures. Second, Strand 2 organisations receive grants for their core operating costs, rather than action grants for the implementation of specific partnership projects. Strand 2 organisations are thus dependent on EU funding in a way that organisations participating in co-operation projects are not.

The move to open calls for applications (introduced in the current programming period) means that some unsuccessful Strand 2 applicants will, for the first time, face a future without EU funding. Indeed, some previously-funded organisations have already been unsuccessful in their applications. The question of the long-term sustainability of Strand 2 organisations is thus more pertinent now than ever before.

The evidence suggests that most Strand 2 organisations would continue in some form without, or beyond the life of, EU funding, but that their activities would risk not being of the same magnitude. Of the 25 organisations responding to the on-line survey, 13 stated that their activities would continue to a great extent beyond the life of

⁹⁶ For example, 21 of the 59 organisations selected in 2008 and 19 of the 60 organisations selected in 2009.

EU funding and 9 stated that they would continue to a moderate extent. The organisations interviewed (other than the policy support structures) stated that they would continue to seek EU funding of their operating costs, once the current grants ended. Should they receive less or no EU funding in future, all reported that they would continue to operate by means of, for example, membership fees and other project grants, but at a much reduced scale. For example one organisation reported that its programme would feature fewer invited musicians and conductors from other countries; another reported that it would continue through the other funding it receives from sponsors and national governments, but that becoming over-reliant on national funding would reduce the extent to which it was able to operate as a genuine European organisation.

7.1.4 Special actions

The Decision establishing the Culture Programme does not place any particular emphasis on the sustainability of special actions. Much of the activity supported is “one-off” in nature and therefore not intended to be sustained, for example, activities of the rotating EU presidencies. In many cases, it is the very fact of EU support or endorsement which gives the activity a European added value, particularly symbolic value. For example, any European city is free to invest its own resources in a one-off, year-long cultural programme in the absence of designation as a European Capital of Culture. But the recognition of the ECOC by the EU provides an international profile and prestige that would not otherwise be forthcoming; for example, all four of the 2007/08 ECOC reported that the greater visibility gained by the title had helped them to be effective in generating a significant increase in tourism.⁹⁷ Similarly, many prizes already exist for different cultural sectors but EU recognition lends symbolic value that would not otherwise exist; for example, organisers of the two longest established prizes (architecture and cultural heritage) reported that EU supports helps to increase the visibility and political importance of the prizes. The sustainability of the special actions must therefore be seen in this context.

The European prizes would be unlikely to achieve the desired long-term impacts in the absence of EU support, though the two that existed prior to the period of EU recognition (architecture, heritage) might continue to be sustained by the sector in the absence of EU support, but at a much reduced scale. Moreover, withdrawal of EU support would risk reducing the prestige and profile enjoyed by the prize, as well as ending the prestige and profile that the EU itself gains from its association with the prizes. In the case of the literature prize, it is unlikely that the prize (first introduced in 2009) is yet sufficiently established and recognised for it to become self-sustaining in any form without EU support. Whilst the implementation and co-ownership of the prize by the key sector bodies goes well for its longevity, the view of the organiser was that the prize will in all probability require continued EU support at least for the 2014-20 period for it to endure. In the case of the music prize, whilst it is organised and awarded by an industry body, the prize is not yet “co-owned” by the sector in the way that the other prizes are and, moreover, lacks the continuity of the architecture and heritage prizes, since there was change in the organising body two years ago. For these reasons, the view of the organiser was that the music prize would not be likely to endure without EU support.

In the case of the ECOC, the year-long cultural programmes of the cities themselves are not intended to be sustained, although the holding of the event is more generally intended to have long term effects for the cultural and social development of the city. Cities hold the title for a year before being replaced by another set of title

⁹⁷ Ex-post Evaluation of 2007 & 2008 European Capitals of Culture; study prepared for the European Commission; ECOTEC Research & Consulting; 2009.

holders. The end of the title year typically leads to the disbanding of the dedicated delivery agencies and inevitably some loss of the experience that has been built up, as well as a reduced level of cultural activity. However, in general the cities that have held the ECOC title have seen significant improvements in the way cultural activities are brought about which have established new platforms for activity which are likely to be sustained into the future. In all the 2007-09 ECOC (albeit to varying extents and in different ways), new cultural activities have often been sustained, the capacity of cultural operators has increased and the cultural scene of each city has generally become more vibrant than previously.⁹⁸

In the case of joint actions with international organisations, most activities have not been or will not be sustained, indeed perhaps were not intended to be. There are exceptions, such as the heritage sites in the Western Balkans that have been supported by the Culture Programme and also the European Heritage Days. Perhaps more importantly, it is not so much the individual projects but the working relationships between the European Commission and international organisations such as the Council of Europe and UNESCO that will be sustained. Of course, some kind of working relationship with these bodies would exist in the absence of support from the Culture Programme. But the intention is that the funding from the Culture Programme ensures a deeper, stronger, more enduring relationship that produces more concrete results in the field of culture. Similarly, whilst EU presidencies would continue to exist in the absence of funding from the Culture Programme, the intention is that such funding gives cultural policy and the cultural sector a prominence in the presidencies that they would not otherwise enjoy.

7.2 Sustainability of effects

The second dimension of sustainability that requires examination is the question of the long-term effects of the programme on the "wider world". Given the modest sum of funding available (€400m) in comparison to the very broad scope of the programme's global objective – to enhance the cultural area shared by Europeans – the direct impact of the programme on this global objective will inevitably be limited. We therefore explore the extent to which the results of projects have been disseminated and exploited before considering two more indirect dimensions - the extent to which the programme has: i) made a sustained contribution to a sense of European citizenship by making participating organisations and other cultural operators more alive to the common cultural heritage and more "European" in outlook; and ii) enhanced the cultural area shared by Europeans through having a positive impact on policy and policymakers at EU and national level. The question to explore now is the extent to which those outputs and results have led to the desired long-term effects in relation to European citizenship and in terms of policy.

7.2.1 Dissemination and exploitation of results

To what extent have the results of the actions been properly disseminated to stakeholders and the public? What is their exploitable potential, and to what extent can one say that this potential has been fully exploited? (EQ20)

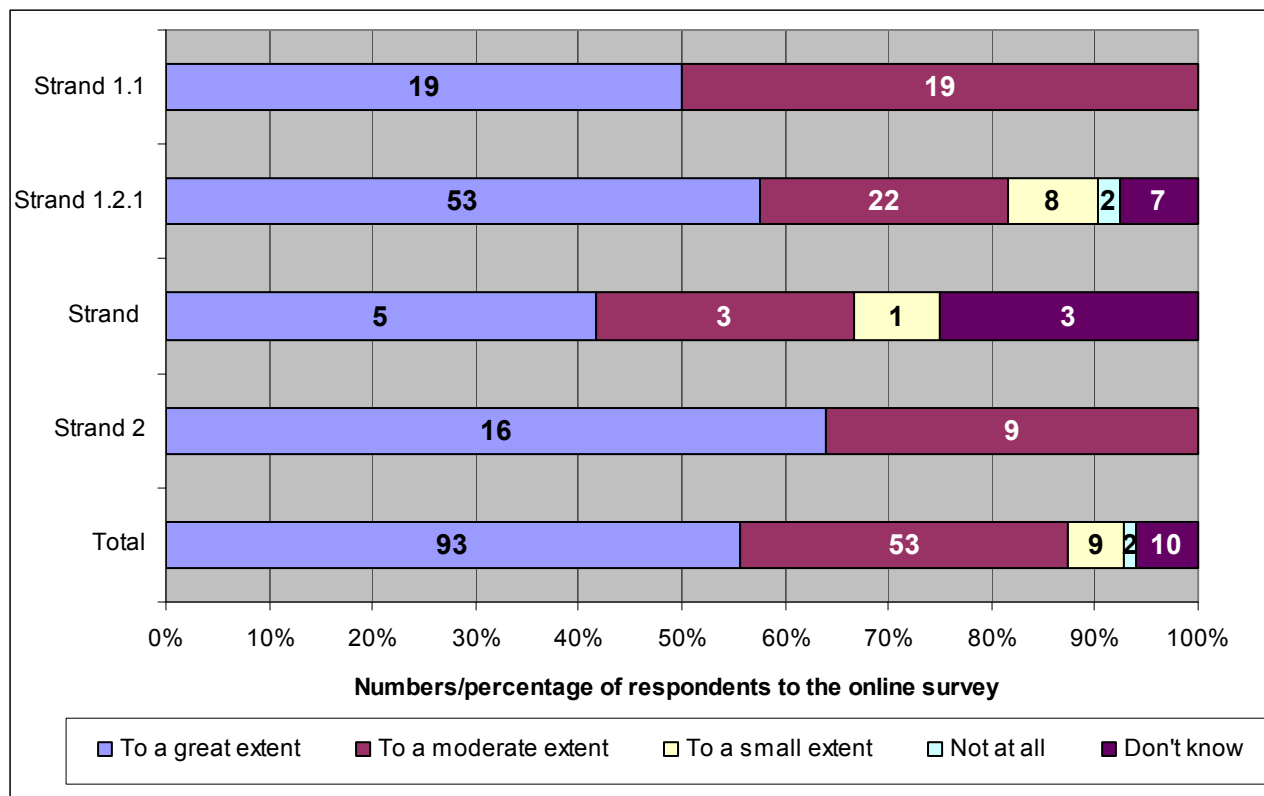
To what extent has the programme increased the exchange of information or good practice among participating countries? (EQ12a)

⁹⁸ For a more detailed discussion of the sustainability of the European Capitals of Culture, see Ex-post Evaluation of 2007 & 2008 European Capitals of Culture; ECOTEC Research & Consulting Ltd, 2009.

To what extent have projects complied with the publicity requirements, including the use of the logo? (EQ18b)

The on-line survey gathered the opinions of participating organisations in Strands 1.1, 1.2.1, 1.3.1 and 2 about the effectiveness of their own activities to disseminate results and achievements, as shown in Figure 7.1. Participants across all strands expressed broad satisfaction with their own activities: 65% stated that they had been successful to a great extent and 84% to a moderate or great extent. Whilst all co-operation projects and Strand 2 organisations would be expected to be effective at dissemination,⁹⁹ Strand 2 organisations might be expected to be most effective. Data from the survey confirms that Strand 2 organisations do indeed consider themselves to be very effective at dissemination – and at levels greater than the co-operation projects' self-assessment: all 25 organisations that responded to this question rated their activities as effective to a moderate or great extent (of which 16 to a great extent). Data regarding the compliance of projects with the publicity requirements of the programme (including the use of the logo) is not routinely gathered by the programme's monitoring systems. However, there is some anecdotal evidence of compliance from the case studies undertaken, although these do not necessarily form a representative sample.

Figure 7.1 To what extent has your project/activity successfully disseminated its results and achievements?



Whilst there is no easy way of triangulating beneficiaries' positive views of their own dissemination activities, the interviews and case studies have thrown some light on the nature of those activities. Most of the co-operation projects and Strand 2 organisations interviewed were able to give examples of specific dissemination activities that they had undertaken. Importantly, the evidence from the interviews suggests that whilst the learning and

⁹⁹ One of the award criteria for these strands relates specifically to proposed communication and promotional activities.

experience of the co-operation projects are circulated to the cultural operators involved in the partnership via active methods such as presentations and valorisation conferences, etc., dissemination to "external" audiences tends to be via fairly passive media, notably websites. However, more tangible results of projects in the form of new cultural works and products, such as books, new pieces of music, works of art, etc. tend to be disseminated more extensively and proactively to external audiences – thus contributing to the transnational circulation of works. As beneficiaries are the “owners” of their projects, the primary responsibility for visibility lies with them. There is, then, perhaps a need to consider more stringent requirements for project applicants and beneficiaries in respect of visibility and dissemination.

7.2.2 Contribution to European citizenship

To what extent has the programme encouraged the emergence of European citizenship?

The global objective of the programme involves the 'emergence of European citizenship'. The definition of European citizenship is generally somewhat elusive, but it is clear that it involves, inter alia, the creation of a common sense of identity based around common heritage and values, as well as the acceptance and celebration of diversity and a more positive sense of feeling towards the EU. This makes it hard to apply in the context of an evaluation – and specifically in a survey question - except in a very rudimentary form. The way this has been done here is to ask survey respondents to indicate the extent to which their project/activity has increased the 'European outlook' both of their own organisation and of cultural operators, artists and audiences. European outlook is, of course, a fairly intangible concept and essentially a matter of perception. But it does provide an indication of the extent to which cultural operators will be more likely to participate in transnational cultural co-operation in future.

As Figure 7.2 shows, a large majority of organisations participating in co-operation projects and Strand 2 organisations responding to the survey were of the opinion that their project/activity had increased European outlook in both cases by a moderate or great extent. Significantly, substantially more respondents believed that the European outlook of their organisation had increased to a great extent compared to that of those who had actually participated. At the same time, these findings also suggest a very positive outcome in terms of developing a European outlook amongst those individuals and organisations involved in the programme who are likely to be 'multipliers' and who will act as bearers of a more European approach to cultural activity in the years to come. It also makes a contribution to building capacity in the sector that is not just trans-national but European. Some of the Strand 2 organisations interviewed offered illustrative examples of how they believed their dissemination activities had been effective in creating European added value. For example:

- The European Union Youth Orchestra (EUYO) reports that it puts considerable effort in to promoting both itself and the concept of European citizenship more generally. At all performances, flags and sashes prominently promote the EU's sponsorship of the orchestra. More specifically, prior to the accession of EU Member States in 2004 and 2007, the EUYO visited a number of them in order to promote itself and the cultural and citizenship dimension of the EU.
- One festival reported that each year it promotes themes related to European identity and European cultural diversity and invites international musicians that will promote these themes through their performances.

Figure 7.2 Survey respondents' views on the effect of their activities on European outlook (Strands 1.1, 1.2.1, 1.3.1, 2)

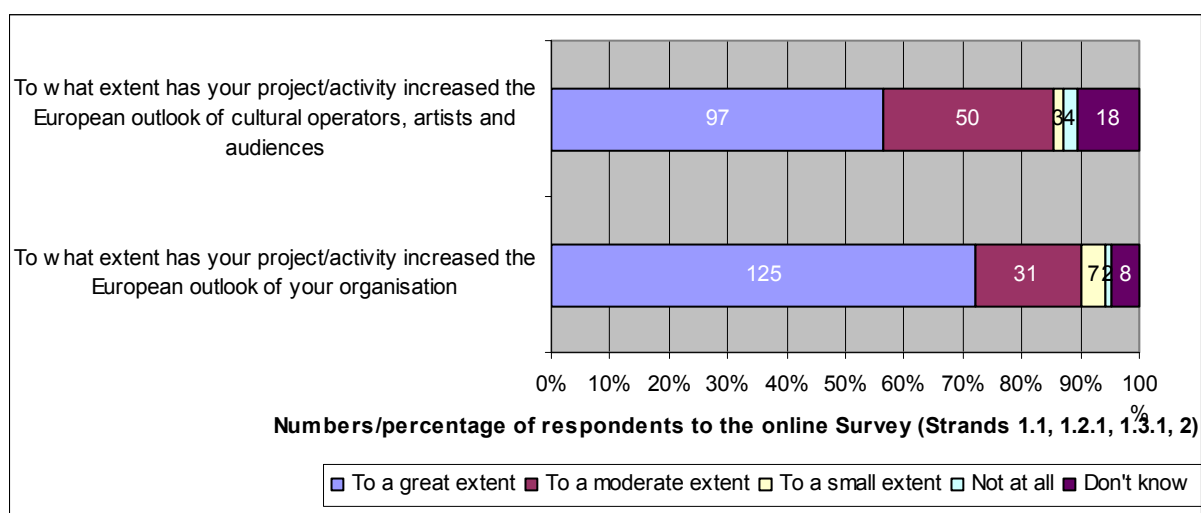
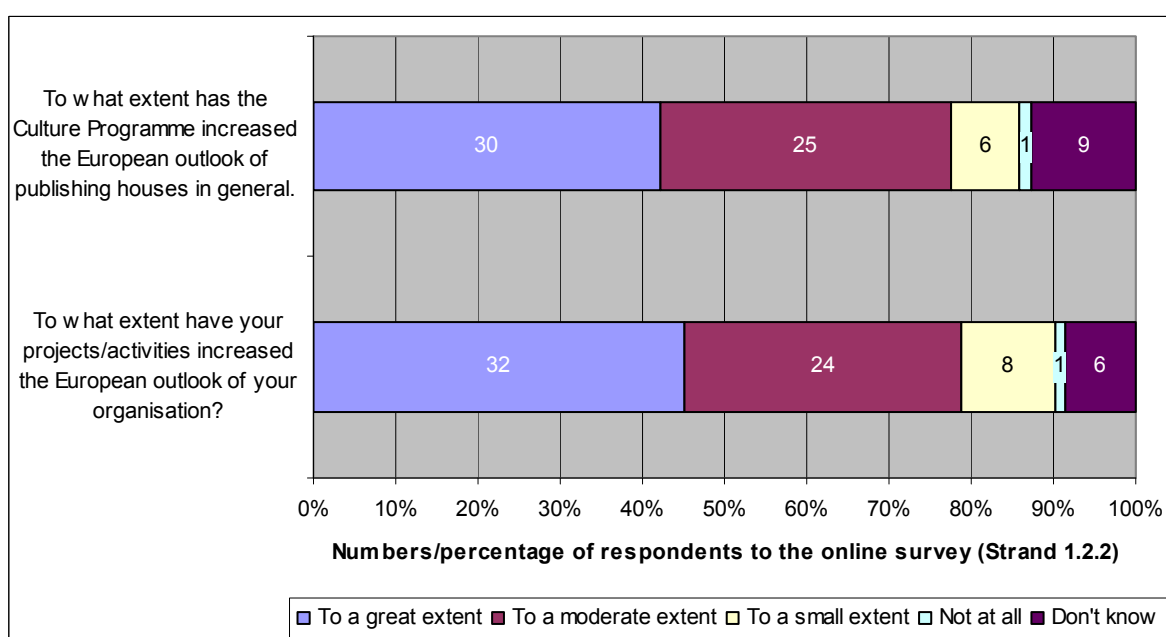


Figure 7.3 shows evidence of the effectiveness of the programme in making the publishing sector more European, both in its outlook and by the nature of its activities. Overall, the majority of publishers responding to the on-line survey reported that the Culture Programme had increased the European outlook of their organisation and of publishers in general to a moderate or great extent. This is supported by the interviews, which identified instances of publishers that had expanded their "European" offering as a result of support from the programme. However, these findings must be seen in the context of the earlier finding (in section 6) that very few publishers supported by Strand 1.2.2 were undertaking translations for the first time.

Figure 7.3 Survey respondents' views on the effect of their activities on European outlook (Strand 1.2.2)



7.2.3 Effects on policy

To what extent does the programme seem to be influencing or European or national legislation or policy on issues relevant for cultural policies and international co-operation, etc.? (EQ16)

To what extent has the programme inspired the adjustment of existing co-operation and resulted in the establishment of co-financing arrangements in countries? (EQ21)

To what extent has the programme inspired the introduction of similar programmes or actions by participating countries? (EQ22)

To what extent can the programme be said to have contributed to the objectives of the European Year for Intercultural Dialogue 2008 (EYID) and for Creativity and Innovation 2009 (EYCI)? Where expectations have not been met, what factors have hindered the development of the programme? (EQ9)

As discussed above, one dimension of the programme's sustainability is its long-term effect on policy and policymakers at EU and national level, which will be important if the effects of the programme are to be sustained beyond the period of EU funding. Our expectation is that the impact on policymakers is most likely to be indirect since the programme mostly co-finances cultural actions and cultural bodies rather than policy measures as such. However, it has been reported that the programme has inspired one country, Serbia, to establish new co-financing arrangements and another, the UK, to introduce a new national initiative based on the European Capitals of Culture - the UK's City of Culture initiative, which has been directly inspired by the experience of Liverpool in 2008; the first title (for 2013) was awarded in 2010 to Derry-Londonderry.¹⁰⁰

This one example notwithstanding, we expect that impact on policymakers will mostly be achieved by the co-operation projects, the organisations active at European level and the undertaking of studies (though we are alive to the possibility that other strands may also have an impact). We therefore consider only Strands 1.1, 1.2.1, 1.3.1 and 2 in this section. Our focus is mostly on the extent to which the activities and outputs of the programme have generated outputs and results that are of relevance to policy and policymakers.

The overall purpose of the cooperation strands is to support concrete actions that are visible to citizens and that facilitate the participation of small cultural operators. It is perhaps reasonable to expect these strands to be less focussed on influencing European and national policy and policymakers than is Strand 2, although the volume of expenditure and partnerships (relative to other strands) suggests that co-operation projects would nonetheless have some potential to influence policy. It is no surprise then that, in general, the co-operation projects interviewed did not see their projects as directly informing policy. Indeed, a small number specifically stated that it was not their role to directly influence national and EU policy, and that the European Commission and the EACEA, rather than the cultural operators, needed to play the main role in engaging with national policy. Moreover, the link to European Years appears to have been weak, with only 5% and 3% of projects carrying the logos of the EYID and EYCI respectively and less than half of all projects reporting that their

¹⁰⁰ www.culture.gov.uk/what_we_do/communities_and_local_government/6015.aspx

activities were relevant to the objectives of the years, suggesting a low awareness or interest in the Years on the part of projects.¹⁰¹

However, as we noted above (section 6.2.4), where projects have developed policies and strategies for encouraging intercultural dialogue, they almost unanimously view them as being effective tools. Furthermore, we have gathered a number of examples of projects that have indicated that they have directly influenced policy: one project (in Strand 1.2.1) reported that it had influenced the design of the UK's City of Culture initiative by persuading policymakers to allow counties as well as cities to apply¹⁰²; another project (in Strand 1.1) reported that it had systematically monitored policy developments and networked with key stakeholders in the field of translation in order to influence policy at national level, particularly in the smaller new Member States. Several other interviewees stressed the potential of their projects to serve as good illustrative examples that policymakers could take notice of and learn from. For example, one Strand 1.3.1 project suggested that through the project they had been able to convince the national authorities in the third countries that cultural co-operation could be undertaken primarily for cultural rather than political reasons.

Turning to the organisations active at European level in the field of culture, we see that the impact on policy has been most notable for the policy groupings and advocacy networks. Given their origins and status, ambassadors appear to be well connected to policymakers but neither they nor festivals would be expected to have a significant and direct impact on EU and national policy. In contrast, the very *raison d'être* of policy groupings is to inform and influence EU policy. All the platforms interviewed were positive about their potential to contribute to policy. Although they were all new (or recently-formed in the case of the Platform for Intercultural Dialogue) and had been initiated by the Commission, they reported that they have been successful in bringing together a large number of the most prominent players in each field for the purpose of dialogue with each other and with the European Commission and to be a voice to the wider world. For example, the "Access to Culture" Platform has brought 40-50 organisations together into three working groups ("*education and culture*", "*creativity and creation*", "*participation and audiences*"). The "Cultural Industries" platform has brought together a similar number into five working groups. All three platforms presented their findings to the Culture Forum in September 2009 as well as publishing the following reports:

- *Rainbow Paper; Intercultural Dialogue: From Practice to Policy and Back*; published on 25 September 2009 and endorsed by 358 organisations
- *Civil Society Platform on Access to Culture "Policy Guidelines"*
- *Platform on the Potential of Cultural and Creative Industries: Recommendations for Cultural and Creative Industries*: June 2008 – September 2009.

The advocacy networks interviewed also offered illustrative examples of approaches influencing policy and policymakers:

- The Association of European Conservatoires has a database of all contacts in national ministries of culture and regularly sends updates to them. As a result of this regular contact, the Association is often asked to

¹⁰¹ In practice, the projects have made an important contribution to the objectives of the EYID, without specifically linking their activities to the EYID, as we have discussed in section 6.2.4.

¹⁰² www.culture.gov.uk/what_we_do/communities_and_local_government/6015.aspx/

comment on or respond to EU policy in terms of how it will affect policy at a national level. This in turn supports national institutes in their advocacy role. The Association also operates five websites which provide information on the current policy debates in this area. For example, in higher education there have been some very important policy development recently and the Association of European Conservatoires has been able to communicate them to its member institutions, so they understand and can benefit from them

- Cultural Action Europe is a co-ordinating platform for 95 arts and culture organisations and has been in operation for 15 years; it aims to improve communication and dissemination of relevant information on European policy, for which purpose it has developed a European cultural policy glossary and a toolkit for lobbying; it also aims to develop appropriate co-ordinated responses to European policy initiatives on behalf of its members; to this end, it has articulated the views of its members to the European Commission, for example, in the context of the European Agenda for Culture.

7.3 Summary

In terms of the sustainability of Culture Programme activity, many co-operation projects have generated follow-on opportunities and activities, building solid foundations for future activity, fostering a more European and international outlook among individuals, and forming partnerships that are strong and valuable enough to endure. However, there is also some evidence to suggest that any ongoing co-operation activities (post-EU support) may be much reduced in scale, which is understandable as by its very nature, transnational co-operation entails a certain degree of cost.

Organisations active at European level rely on EU support for operating costs related to the European dimension of part of their activities. For their “core” work with a European focus, there is a call for EU support. However, the evidence suggests that a number of these organisations would continue in some form without an EU grant, again albeit on a reduced scale.

The European prizes would be unlikely to achieve the desired long-term impacts in the absence of EU support, though the two that existed prior to the period of EU recognition (architecture, heritage) might continue to be sustained by the sector in the absence of EU support, but at a much reduced scale. Moreover, withdrawal of EU support would risk reducing the prestige and profile enjoyed by the prize, as well as ending the prestige and profile that the EU itself gains from its association with the prizes. Whilst some of the other special actions are, in a sense, not intended to endure, there is evidence that some of them will be sustained. For example, most European Capitals of Culture (intended to be one-off programmes) have left an enduring legacy for the cities concerned in the form of new cultural infrastructure, new cultural activities, greater capacity within the cultural sector and cultural governance of the cities, a more vibrant cultural scene and a generally improved image.

In terms of the sustainability of the effects of the Culture Programme, the evidence suggests that project results concerning experiential learning are being disseminated mostly to cultural operators involved in the project partnerships, whereas dissemination to “external” audiences is largely via passive media channels such as websites. Tangible project results in the form of books or works of art are disseminated extensively and proactively - thus contributing to the transnational circulation of works.

In terms of the contribution to promoting the emergence of European citizenship, there is ample evidence that participating organisations and individuals have become more European in their outlook, suggesting a positive

outcome in terms of potential multiplier effects in the future. The primary effect on policy is likely to be the generation of results and outputs that contribute to the priorities of European policy, rather than the direct formulation of new policies. In terms of organisations active at EU level, the principal policy effects have resulted from the policy groupings, advocacy networks and stakeholder platforms that have informed the processes of European policymaking.

8.0 Conclusions and recommendations

This final section of the report draws together the main conclusions of the evaluation relating to relevance, efficiency, effectiveness and sustainability. As appropriate, conclusions are presented for the programme as a whole or for individual strands/groupings of strands. Our conclusions – and the rest of the report more generally – lead us to making some recommendations for the remaining period of the current programme as well as for any new programme post-2013.

8.1 Relevance

The Culture Programme plays a very important role in protecting and promoting Europe's cultural and linguistic diversity as stipulated in Article 3(3) of the consolidated version of the Treaty on the European Union and Article 167 of the Treaty on the Functioning of the European Union, the Charter of Fundamental Rights of the European Union (in particular Article 22) and the European Union's obligations as a Party to the UNESCO Convention on the Protection and Promotion of the Diversity of Cultural Expressions.¹⁰³

In terms of the relationship **between the programme objectives and the EU Treaty**, Article 167 of the Treaty on the Functioning of the European Union sets the general basis for EU support in the culture field, by referring 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"*. The requirements set out in Article 167 are met through the programme's general and specific objectives which aim at enhancement of a shared European common cultural area and reinforcing and promoting the EU's political priorities expressed in the Treaty and elsewhere. Finally the programme's operational objectives, i.e. the strands (with their emphasis on mobility, circulation, transnational cooperation and exchanges, cultural diversity and intercultural dialogue) also reflect the aims of EU action envisaged in the Treaty and other international Conventions such as the UNESCO Convention. However, interviews with stakeholders have suggested that a different interpretation of Article 167 might have been desirable, which would have allowed a more specific focus on raising the capacity of the European cultural and creative sectors to face the challenges they face as a result of increased globalisation and digitisation.

This interim evaluation of the Culture Programme has taken place at a turning point in European developments as acknowledged in key European policy documents. The Europe 2020 Strategy aims at using the EU's full potential to reshape current developments and turn the EU into a smart, sustainable and inclusive economy delivering high levels of employment, productivity and social cohesion. One of its flagship initiatives, the European Digital Agenda, looks at new digital developments and stresses that the 2005 UNESCO Convention on cultural on cultural diversity provides for the promotion and protection of cultural diversity across the world and applies equally to new digital environments and it outlines the challenges facing part of the cultural sectors. The recent Green Paper on "Unlocking the potential of the cultural and creative industries" looks towards new ways of strengthening these key sectors. The European Agenda for Culture aims to promote cultural diversity and intercultural dialogue; to promote culture as a catalyst for growth and jobs; and to promote culture as a vital

¹⁰³ <http://unesdoc.unesco.org/images/0014/001429/142919e.pdf>

element of international relations. The DG EAC Annual Management Plan aims to help create a supportive environment for artistic creation, support European cultural co-operation and promote the integration of the cultural dimension in external and development policies and programmes.

There are strong links between **the Culture Programme and these European political strategies**. Its support for the cultural and creative sectors is crucial in order to effectively address the needs of cultural organisations which operate in a rapidly changing international environment and depend on European support or transnational co-operation. A more detailed consideration of the relationship between the activities within Culture Programme and the policy processes within European Agenda for Culture leads us to conclude that some forms of support are directly linked to those policy processes (for example, thematic civil society platforms, studies and policy-analysis groupings), whereas other forms are not directly linked but do have the potential to generate good practice and lessons from experience that can inform the policy processes of the European Agenda for Culture (cooperation projects, special actions and literary translation projects for example).

With regard to the relationship between the **strands and the specific objectives of the programme**, we have concluded that the promotion of the mobility of cultural players and the transnational circulation of works and cultural and artistic products are encouraged by the design of the programme. Furthermore, the flexibility afforded to project promoters within the programme provides for tailored approaches to address specific contextual barriers, although the flexibility can also be a disadvantage in terms of effectiveness if the project activities are not sufficiently aligned with the programme's specific objectives, which we discuss in section 8.3 below. In terms of intercultural dialogue, we conclude that, while there is scope and encouragement for relevant activities within the programme, the types of specific activities required to achieve this objective are not always as evident compared with the other two objectives.

8.2 Efficiency

Overall, the **efficiency of the application process and the management of the programme** have been considerably improved compared to its predecessor. The growing experience and expertise of the EACEA has been an important factor here, as well as a number of modifications to the application process. These have included the simplification and shortening of the procedure to inform the European Parliament and the Management Committee on some aspects of the programme. Furthermore, the simplification of the application procedure, shorter application forms, introduction of on-line applications, clearer application procedures and stable deadlines for the full period of the programme (enabled by the introduction of the Programme Guide) have considerably reduced the administrative burden facing applicants. Together, these modifications have served to make the application process clearer and reduce the time taken to select projects (from the submission deadline to the adoption of the grant award decision) – which was between 52 and 140 days shorter (depending on the specific Strand) in 2009 compared to 2006. The time taken to make grant payments to selected projects and organisations has also been considerably reduced.

In the management of the programme itself, there remains room for further improvement in some areas by continuing the improvement of the information systems (the EACEA reported that a new IT data tool provides improved information management since its introduction in 2008). Participants in the programme are generally satisfied with the application process, and the improvements and simplifications which have been made, including to the Programme Guide. Improvements have also been introduced in terms of monitoring of projects;

and in particular annual visits by the EACEA to a sample of projects to provide support and guidance have proved successful.

Cultural Contact Points continue to provide an acceptable, albeit diverse level of service to successful applicants to the programme. Although still at an early stage, the recent changes made by DG EAC and the EACEA to CCP working arrangements (including the introduction of outputs indicators, allocation of funds, financial reporting and project visits) appear to be helping raise the level of service. Looking ahead, the role of CCPs will need to evolve as necessary to reflect the requirements of the new programme and in light of proven effectiveness of arrangements in other EU programmes, such as the MEDIA programme.

Total expenditure was €153 million over the period 2007-09 (representing 38% of the total budget of €400 million for the period 2007-13) and the proportion of the budget expended by each strand was very close to the illustrative percentages presented in the Decision. The bulk of funding allocated during the period 2007-09 (63%) thus went to projects (including literary translation projects) under Strands 1.1 and 1.2. Programme data indicates a high number of **applications relative to the funding** available: only around one in four applications to the co-operation projects strands has been funded and only around one in three applications from organisations active at European level. Demand for support for literary translations (Strand 1.2.2) is lower, with around one in two of all applications being funded, but this level of expressed demand does not reflect the identified need for more translations into certain languages, notably English and French. Overall, this suggests that the broad allocation between the three main “volume” activities (i.e. co-operation projects, literary translations and organisations active at European level) is broadly correct, notwithstanding the need to generate more applications for literary translations into certain languages. However, the advantages and disadvantages of the co-financing rate should be carefully assessed in the future programme in the light of its objectives and priorities and prevailing circumstances.

CCPs and other stakeholders have underlined there is an explicit and **latent demand** for funding from the programme from cultural operators. This evidence suggests that the funding possibilities within the current budget could be limiting the promotion of cultural diversity (for example the translation of books from lesser-used languages into more dominant, pivot languages) and the geographical spread of applications (for example, the relatively low level of applications from some of the large countries such as Poland). In the case of Strand 1.2.2 (literary translations) the demand relative to funding available is particularly low in the largest markets for fiction, i.e. those countries speaking English, French and German. This highlights a particular challenge for promoting cultural diversity and the need for awareness-raising aimed at publishers in these countries.

The evidence suggests that the programme has mostly met expectations in terms of participation **by type of organisation**, as required by the Decision. Evidence gathered from the online survey indicates that the largest group of participants were from the performing arts sector (more than half), but also suggests that a relatively high proportion are “interdisciplinary”, which may be considered a positive finding since it reflects the nature of much contemporary cultural activity. According to the survey, the design and applied arts sector was the least well represented. The programme is proving successful in enabling non-profit cultural organisations and small and medium-sized organisations in general to participate. Very few private companies have participated. The reason for this is not entirely clear but it may be linked to the formulation of the objectives which may not have an immediate resonance for them.

There has been a good **geographic balance** in applications and in participation, although with some important differences between countries and within specific strands. Large countries have, in general, been less involved in co-operation projects relative to the size of their population and some medium-sized countries have been particularly well-represented, notably Belgium, Austria, Portugal and Slovenia. However, the co-ordination of large co-operation projects (i.e. those within Strand 1.1) has been undertaken predominantly by organisations from the EU15 countries, perhaps reflecting the greater experience of transnational project coordination and capacity available in those Member States and the potential need for capacity building in some other countries. Similarly, organisations active at European level have been almost exclusively based in the EU15 countries, reflecting the fact that most of the supported organisations have been in existence since prior to the accession of the EU12 countries and also the fact that bodies active at European level are more likely to be located in or near Brussels. Participation in co-operation projects in roles other than co-ordinator (i.e. as co-organisers or associated partners) appears to be better balanced across all countries. Similarly, participation in Strand 1.2.1 has been most balanced across countries reflecting its greater accessibility to smaller organisations and those with less experience of EU programmes and transnational co-operation generally. The relatively small size of Strand 1.3.1 makes it hard to draw conclusions about the geographical balance, but EU15 countries (particularly those with historical links to the target countries) appear to be better represented. Demand for literary translations has come disproportionately from EU12 countries (except Poland) relative to the size of population. Not only did the languages of new Member States more often constitute target languages in general, but a number of languages were particularly prominent, notably Hungarian, Bulgarian, Slovene and Lithuanian. In contrast, very few applications (in absolute terms and relative to the size of their population) were received from publishing houses in the anglophone, francophone and germanophone countries.

8.3 Effectiveness

8.3.1 Co-operation projects

Co-operation projects receive co-financing from the Culture Programme to form transnational partnerships and undertake cultural exchanges and other activities. Indeed, for the cultural operators involved and based on the objectives stated in their applications, the opportunity to undertake such activities is their main motivation for participating. It is through and within the context of these cultural activities that they promote the three specific objectives of the programme, as well as the transversal objective of promoting cultural and linguistic diversity. Neither the Decision establishing the programme nor the current Programme Guide set out explicitly what the nature, form and content of those cultural activities should be. But the evaluation has identified that projects adopt and pursue their own (multiple) objectives which tend to be explicitly cultural in nature; supporting the development of specific cultural sectors and art forms tends to be the most common, but objectives such as supporting the development of artists and operators, exploring artistic themes, creating new works and promoting access to and participation in culture are also prominent. In pursuit of these cultural objectives, projects have implemented a diversity of cultural activities, including artistic exchanges, joint cultural creation, co-productions, tours and festivals, and exchanges of artefacts. They have also implemented a range of support activities, including exchanges of experience and networking, provision of information and practical support for operators, and education, training and research.

Mobility stimulates the exchange of knowledge, artistic research and exploration; it opens up new career opportunities in particular through participation in residencies, festivals, live touring, international exhibitions,

literary and cultural events outside of home territories. The most common activity undertaken via cooperation projects (Strands 1.1, 1.2.1 and 1.3.1) in support of **transnational mobility** was direct support to artists and cultural operators involved in residences or tours, reflecting in part the prevalence of performing arts and interdisciplinary activities in the programme. In terms of more indirect support, education, training and research activity were common to about half of the projects; and information, advice and practical support to about a quarter of projects. Judging from the survey evidence, the majority of projects were effective in promoting diverse approaches to transnational mobility, though – understandably – essentially for operators within the partnerships and thus also not in particularly large numbers. Cost remains by far the greatest barrier to mobility and circulation faced by projects being cited across all strands by the bulk of the projects surveyed, but particularly acute for non-profit organisations (which constitute 53% of organisations participating in co-operation projects). Projects have tended not to have difficulties in forming partnerships or in overcoming legal and fiscal barriers to mobility and circulation (except in the case of co-operation with third countries where barriers were prominent). This contrasts with findings in other research¹⁰⁴ which shows that individual artists suffer greatly within Europe from administrative, regulatory and fiscal obstacles to mobility, which is why an Open Method of Coordination working group has been set up specifically on the question of artist mobility.¹⁰⁵ This difference in perception could perhaps be explained by the fact that in the case of projects, organisations with some experience in these matters are responsible for taking care of managing these aspects. As a consequence, it may be necessary to consider the provision of support for information and sharing of knowledge and guidance for cultural operators with a wish or a need to work in another EU country, for example transnational training modules, or online mobility toolkits. Perhaps as a consequence of the various barriers to mobility, specific instances of mobility tend not to endure beyond the life of the cultural activities co-financed by the programme. Sustained benefits tend, instead, to be more in terms of the experience and skills gained by individuals as well as greater openness to and capacity for mobility in future on the part of individuals and organisations – including the networks and partnerships developed during the course of co-operation projects.

For the **transnational circulation of works and cultural and artistic products the bulk of activity** comprised co-productions, exhibitions, performances and tours, whereas the exchange of artefacts was less common. Such activity has typically incorporated both mobility and the circulation of works and been closely linked to cultural creation, with exhibitions and performances typically featuring works newly created by the partnerships. Where projects involve performances and exhibitions for audiences, a broader public benefits. Again, the performing arts sector featured strongly, alongside interdisciplinary organisations. Typically (and similarly to mobility activity), support was provided to cultural operators undertaking activity within the project, rather than to a wider constituency. Activities concerning circulation generally appear to have been successful, with the possible exception of third country projects, where barriers to circulation of works inevitably have a greater impact (especially with respect to legal and administrative barriers) than is the case within the single European market. The survey also highlighted concerns about the effectiveness of transnational promotion activity, which was rated as less effective than co-productions and transnational exchanges. In terms of barriers faced, cost is by far the greatest barrier to circulation activities, with relatively few projects reporting that legal and fiscal barriers were a problem, except those involving third countries.

¹⁰⁴ See, for example: Mobility Matters: Programmes and Schemes to Support the Mobility of Artists and Cultural Professionals in Europe; ERICarts 2008.

¹⁰⁵ See: http://ec.europa.eu/culture/our-policy-development/doc1569_en.htm.

In terms of contributing to **cultural diversity and intercultural dialogue**, there is evidence that the projects have succeeded in partly counteracting trends that are negatively influencing cultural diversity and limiting the capacity for cultural organisations to work on a trans-national level. Furthermore the programme has indirectly targeted cultural fragmentation in Europe by stimulating international mobility which is crucial to artists and cultural practitioners, as it significantly contributes to their professional skills and/or their artistic development. The majority of projects surveyed reported that they had created opportunities for people from different cultures to interact (mostly through events) which had promoted cultural diversity and helped to stimulate intercultural dialogue. Information from the interviews suggests that a significant proportion of this activity related to cultural interaction within the context of individual projects, rather than with external target groups or the general public (i.e. it relied on the “cultures” of the project participants or the content of the activity). However there is also evidence that many projects include a significant “outward-looking” intercultural dimension, for example, the 46% of projects aiming to improve access to culture for all sections of the community. Projects took a range of approaches to intercultural dialogue, although a passive or intrinsic definition (viewing it as simply an inevitable consequence of transnational interactions) tended to overshadow the active or extrinsic (for example, explicitly tackling a relevant issue such as migration through the arts). This finding shows that cultural diversity and intercultural dialogue are often implicitly part of projects and programme activities and are largely a condition sine qua non when working trans-nationally in this sector. The potential for meaningful promotion of cultural diversity and intercultural dialogue is something that the programme, could articulate better and more explicitly in the future programme. Similarly, **cultural and linguistic diversity** has perhaps not been sufficiently articulated as a transversal objective and thus has been perhaps more a feature of transnational working (for example, in the case of the 55% of projects that produced works in different languages) than an objective actively pursued by many projects – though the diversity of new cultural works and products (including those translated) have made an important contribution in that respect.

Overall, the experience of the co-operation projects raises the question of how the objectives of the programme should be understood, articulated and promoted in the future. The approach taken by the programme has been to devote a significant share of the resources available to supporting the development of transnational partnerships to undertake cultural activities. These have generated many positive effects, not least in terms of developing a greater output of cultural content for the European cultural space and offering a greater potential for access to these projects across Europe. They have also **built capacity** for working on an international level in order to enable a more rapid exchange of knowledge and development of critical mass, which can stimulate a more efficient use of resources through significant economies of scale and by helping organisations to move ahead in terms of learning. However, we conclude that – given the rapid development of information and communication technologies and the pressure this puts on cultural organisations in terms of knowledge and consumer expectations – there is a need to refocus the programme's still very generally defined three specific objectives. In light of this, we offer below recommendations that in part relate to ways in which the current programme's effectiveness and visibility could be increased and we also offer recommendations relating to the inclusion of other approaches more specifically targeted on the objectives of a possible future programme, depending on the relative importance that the Commission places on these as opposed to other priorities.

8.3.2 Literary translations

The literary translation projects have enabled a large **number of readers**, perhaps as many as 1.4m within a three-year period and particularly in some EU12 countries, to access literature that may be considered part of a

common European cultural heritage. However, there is a predominance of English and French as source languages (more than four in ten) and a predominance of just five languages (Hungarian, Bulgarian, Slovene, Italian and Greek) as target languages (more than half of all translations). The programme has thus made good progress in promoting the circulation of literature, but not yet fulfilled its potential. There is a need to widen access to works in less-well represented languages (especially some new Member State languages, such as Polish and Romanian) and in doing so to foster cultural diversity and intercultural dialogue. In order to further stimulate cultural diversity, it is essential to take measures to support an increase in the number of literary translations from all languages into the most widely-spoken EU languages. Since these include some of the dominant world languages, such translations would enable the literature of lesser-used languages to be disseminated much more widely, perhaps even globally, particularly where the target languages serve as pivot languages for further translations. The evidence shows that the prevailing trends in publishing is developing in the opposite direction and that this is seriously affecting the international circulation of books from lesser-known languages, which in itself is limiting linguistic and cultural diversity within the EU. In line with the EU's obligations in the Treaty and as a Party to the UNESCO Convention to protect and promote cultural diversity, this would suggest that there is a need for targeted action in order to counterbalance the current trend.

The grants provided via the Culture Programme significantly favour the **circulation of literary translations** by reducing the commercial risk normally associated with these types of publications (the results of our online survey suggest that publishing a foreign author doubles the commercial risk compared with the general run of publications). Removing the requirement to have a copyright agreement in place prior to application has also reduced the risk to publishers of participating in the programme. The evidence regarding the sufficiency of the rates paid for translations appears to be somewhat contradictory. On the one hand, publishers responding to the online survey reported “EU grant insufficient to cover cost of translation” as the main barrier experienced to publishing books translated with support from the Culture Programme. On the other hand, those publishers interviewed maintained that the rates were sufficient. Moreover, analysis of final reports has highlighted instances of the rates being more than sufficient where the fees paid to translators are lower than the flat-rate grant received by the publisher. It may therefore be that there are significant differences between countries in terms of the sufficiency of the rates offered for literary translations and this issue needs further investigation. This situation implies that DG EAC and the EACEA should continue the current policy of aligning EU grant rates to prevailing market rates in each country as closely as possible (and in line with evidence supplied by Member States). The Commission should also consider the likely impact of requiring publishers to pass on the full value of the grant to the translator, e.g. in terms of ensuring a high quality of translations and better working conditions for literary translators.

8.3.3 Organisations active at European level

Grants are provided to support the emergence and further development of organisations active in the culture field at EU level and networking between such organisations; in effect, to help build the capacity of cultural operators to work together at supra-national level and to aid the exchange of experience and good practice. There are instances of organisations making a strong, and in many cases high profile, contribution to the **mobility of artists** and cultural workers and to the **circulation of cultural works** (for example through festivals, orchestras and advocacy networks). Strand 2 organisations have also made contributions to encouraging cultural diversity and **intercultural dialogue**, primarily through bringing people together to take part in shared cultural activities, exchanging information and promoting peer learning through their networking effect.

The **advocacy networks** and **policy support structures** – and the knowledge they bring together – are important when it comes to developing measures aimed at mobilising the potential of Europe's cultural and creative sectors to face the challenges identified in the Europe 2020 strategy. Indeed, the two structured dialogue platforms supported by the programme (Platform for Intercultural Dialogue and the Access to Culture Platform) have contributed to stimulating debate and gathering information required for the development of future policies – and notably in activities related to the European Agenda for Culture.

Festivals make a positive contribution to the objectives of the programme, as they attract large numbers of people and therefore offer great potential for international visibility for European cultural expressions, as well as widening public access to such expressions. They can have a strong European dimension without necessarily having a partnership, which is reflected in the recent revision of support to established festivals (defined as having had five previous editions) into projects rather than operating grants. Festivals can also take part in transnational co-operation projects, indeed some have, which further strengthens their European dimension through participation in a partnership with operators in other countries.

8.3.4 Special actions

Special actions (ECOC, European prizes, support for international organisations) are intended to help raise the visibility of Community cultural action both within and beyond the EU and also contribute to raising global awareness of the wealth and diversity of European culture.¹⁰⁶ In terms of impact on mobility, it is only the **ECOC** that directly support activities enabling cultural players to operate in different countries, with each ECOC typically featuring a diverse set of mobility activities within its cultural programme. In contrast to ECOC, the **European prizes** have made an indirect contribution to mobility, by giving the winners a higher profile in different countries. In terms of impact on the circulation of works, again the extensive cultural programmes of the ECOC often feature many activities directly contributing to this aim, through collaboration, co-productions and exchanges between operators in different countries and partnerships between different cities. In the case of the European prizes, winners' work has been given much greater prominence in other countries through the award ceremonies and associated publicity. Some of the joint actions with international organisations have also supported the circulation of works.

Most of the special actions have pursued the objective of encouraging intercultural dialogue indirectly, though the ECOC Action pursues it more explicitly. Indeed, one of the basic aims of the Action is to “*promote greater mutual understanding between European citizens*”, which can be seen as contributing directly to intercultural dialogue¹⁰⁷ and the involvement of citizens is one of the criteria for the cultural programmes of the ECOC, so most have featured activity that has involved different sectors of the local community in cultural activities and artists from different countries. **Co-operation with international organisations** has included projects directly or indirectly contributing to intercultural dialogue. In addition to these contributions to the three specific objectives of the programme, there is evidence that the special actions have – as intended – made an important contribution to raising the visibility of Community cultural action and global awareness of the wealth and diversity of European culture.

¹⁰⁶ Decision 1855/2006/EC

¹⁰⁷ Decision 1622/2006/EC

8.4 Sustainability

In the case of co-operation projects, the intention is that EU funding will support activities that result in *“continued, sustained cooperation”*. In the case of support for organisations active at EU level the expectation is that activities generate *“the greatest possible long-term results and cooperation”*. Activities under the remaining strands (literary translations, for example) are not intended explicitly to generate sustained cooperation, however they offer incentives for publishers to consider the translation and publication of European literature that would otherwise not be so readily translated. In this sense it aims to counteract the current trend of translation of works from English, French and German into other languages and stimulates cultural diversity.

Co-operation projects should contribute to the development of a critical mass of organisations possessing the capacity for transnational cultural cooperation, which should in turn enable activities to continue beyond the end of the funding period. In this respect the evidence suggests that most projects have met with a degree of success; with follow-on opportunities and activities commonly flowing from project and partnership cooperation. The results of the survey suggest that capacity for future cross-border activity have been built to a great extent for a majority of projects (i.e. 62% of projects), and that the partnerships formed to deliver projects were strong and valuable enough to endure to a great extent (73% of projects). However, there is also some evidence to suggest that though partnerships may endure beyond the life of EU funding, the ongoing co-operation activities greatly depend on the critical mass developed and on organisations' capacity to continue their work on international scale. The cultural and linguistic fragmentation in Europe and current economic developments - and their effect on public spending on culture and the arts – present challenges for continued mobility and circulation, the building of capacity and thus for sustainable developments in this sector.

For **organisations active at European level**, the issue of sustainability – without European funding - is more difficult to address, since many of the funded organisations rely on EU support for operating costs related to the European dimension of part of their activities. For their 'core' work with a European focus there is a call for European support. However, the evidence suggests that a number of these organisations would continue to function without European support, but their output at an European level would be greatly reduced.

Some of the activities supported within the **special actions** strand of the programme are not intended to endure, for example events organised within the context of the rotating EU presidencies. The European Capitals of Culture are in a sense intended to be one-off programmes, but the criteria seek to ensure that they leave an enduring legacy in terms of fostering the long-term cultural and social development of the city. Their legacy can be considerable and take various forms, including development of new cultural infrastructure, the start up of new cultural activities which are continued, greater capacity within the cultural sector and among policy makers in the city, a more vibrant cultural scene and a generally improved image of the cities both in the eyes of the external world as well as its citizens.

In the case of the **prizes**, these are in principle based on a long-term approach as building prestige and a *“brand”* is a long-term endeavour. Their aim is to raise awareness and to stimulate cross-border mobility and the transnational sharing of knowledge. The European prizes would be unlikely to achieve the desired long-term impacts in the absence of EU support, though the two that existed prior to the period of EU recognition (architecture, heritage) might continue to be sustained by the sector in the absence of EU support, but at a much reduced scale. Moreover, withdrawal of EU support would risk reducing the prestige and profile enjoyed

by the prize, as well as ending the prestige and profile that the EU itself gains from its association with the prizes. In the case of the literature and music prize, it is unlikely that the prizes endure at all in the absence of EU support.

A second key dimension concerns the sustainability of the **effects of the Culture Programme**. Most organisations participating in the programme rated their own **dissemination activities** as successful (84% to a moderate or great extent), with the greatest satisfaction found amongst Strand 2 organisations (as would be expected given that dissemination tends to be a core activity). The evidence suggests that (particularly where results are more “experiential” than product-focussed) project results are being disseminated mostly to cultural operators involved in the project partnerships; whereas dissemination to “external” audiences is largely via passive media channels such as websites. Tangible project results in the form of books or works of art are disseminated extensively and proactively – thus contributing to the transnational circulation of works. To increase the effectiveness of participants’ own activities to disseminate and exploit their results, there is perhaps a need to consider more demanding requirements of applicants and beneficiaries in this regard, as they have the main responsibility for the visibility of their projects. Looking at the **dissemination activities of the European Commission**, there is evidence that they are well-regarded by participants in the programme although there may be issues with awareness. For that reason, the Culture Programme Conferences (which took place in 2008 and 2009) represent an important new development and the findings of the interviews clearly demonstrate the need to repeat this particular event. In addition, DG EAC has also revamped the culture pages on Europa and will continue to do so as far as possible within the resources available.

The global objective of the programme involves the “emergence of **European citizenship**”. The definition of European citizenship is generally somewhat elusive, but it is clear that it involves, inter alia, the creation of a common sense of identity based around common heritage and values, as well as the acceptance and celebration of diversity. In terms of the contribution to promoting the emergence of European citizenship, there is ample evidence from the surveys conducted that participating organisations and individuals had become more European in their outlook. This suggests a positive outcome in terms of potential multiplier effects in the future – with participants more likely to bring a European approach to cultural activity in future.

In terms of the effects on **policy**, this is likely to be indirect since the programme is mostly not used to fund policy measures per se (except in the case of the Strand 2 policy support structures and Strand 3.2 studies). Indeed, the programme is intended to contribute primarily to the priorities of European policy and only to a lesser extent to the processes of European policymaking – though some important contributions have been made in that respect. The primary effect here is likely to be the generation of results and outputs that are relevant to policy-makers, rather than the direct formulation of new policies. A number of examples have been identified from cooperation projects where this has been the case (through influencing policies, or producing effective tools or illustrative examples that attract the attention of policy-makers). In terms of organisations active at EU level, the principal effects have resulted from the policy groupings, advocacy networks and stakeholder platforms.

Looking ahead, it is clear that for **European transnational cooperation** to be sustained there will be a continued need for European funding which supplements national funding (which is primarily aimed at deficiencies at a national level). The Culture Programme is unique in the sense that it stimulates cross-border cooperation and increases the access of European citizens to non-national European works. Indirectly it

contributes to the development of content which is essential for green sustainable growth and jobs and it stimulates new, creative and innovative developments. For a greater future impact – and in order help the programme to better contribute to the Europe 2020 Strategy, the programme's general and specific objectives should be reconsidered in order to better promote the European Union's cultural and linguistic diversity and heritage; to promote Europeans' access to heritage and European cultural works and promote innovative approaches to giving access to European culture; to increase the circulation of works within Europe and beyond; and to strengthen the development and professionalization of the sector in order to improve its capacity to operate in an international context.

8.5 Recommendations

We offer here recommendations for the European Commission relating to the design and development of any new programme, as well as to the continued implementation of the current programme. Looking ahead, we are able to make more generalised, higher-level recommendations relating to the strategic objectives and broad types of activities that could be considered for the post-2013 period. However at this mid-point of the current programme, there remains limited scope to adjust the formal structures and procedures of the programme given, for example, the requirements set out in the legal basis for the programme (i.e. the Decision). Recommendations for the period up to 2013 thus relate to more specific and practical adjustments that can be made to current implementation procedures and mechanisms. For each recommendation we highlight the section of the report containing the relevant findings.

8.5.1 Current programme

- 1 The Commission should continue to review the level of grants provided for literary translations to ensure they are consistent with prevailing market rates in each country.
- 2 There is no direct advantage to continuing support for festivals as a discrete sub-strand within Strand 2. Such support has been changed in the new Programme Guide published in May 2010, with a specific sub-strand created under Strand 1, so that they can be supported as projects rather than via operating grants. Festivals can also continue to apply for co-operation projects provided they meet the relevant criteria, e.g. are based on a co-operation agreement.
- 3 The introduction of changes to the working arrangements of CCPs should be completed, making any adjustments as necessary as the process advances, to ensure continuous improvement, with a view to ensuring the best possible service to cultural operators.
- 4 Annual visits to projects by the EACEA should be continued in order to assist beneficiaries and ensure EACEA's familiarity with the content of projects.
- 5 Final reports should require co-operation projects and organisations active at the European level to state the numbers of individuals benefitting from periods of mobility.
- 6 Current efforts to promote project results through annual conferences and publications should be continued and, if resources permit, further activities of this nature should be considered. CCPs could invite project beneficiaries to share their experience at local 'info-days'.

8.5.2 Future programme

- 7 The general and specific objectives of the future programme should be revised to reflect developments since the last programme was designed, including changes affecting the cultural sector and policy developments such as the EU2020 Strategy, its flagship initiatives, and the European Agenda for Culture.
- 8 Consideration should be given to the appropriate level of maximum co-financing within the programme. A relatively low level of maximum co-financing permits a larger number of projects to be funded; however an excessively low level of co-financing may dissuade operators from applying and being able to carry out ambitious projects. Indeed, if the co-financing level does not reflect realities (e.g. severe cuts in public funding at the national level, an economic downturn making it more difficult to procure private sponsorship, etc), a large number of cultural operators could effectively find themselves excluded from applying under the programme and this could inadvertently prevent the programme from being able to achieve its objectives. The advantages and disadvantages of the co-financing rate should therefore be carefully assessed in the future programme in the light of its objectives and priorities and prevailing circumstances.
- 9 The interdisciplinary approach of the programme should be continued, reflecting the reality of developments in the cultural sector, including the impact of digitisation, in which boundaries between sectors are becoming more fluid and cross-sectoral experimentation is common.
- 10 Consideration should be given as to whether the distinction between multi-annual and two-year co-operation projects should be retained in the light of the fact that they pursue the same objectives.
- 11 Consideration should be given to the third country dimension as the current approach of selecting one or more countries for a specific year appears to have limited demonstrable long-term impact since it lacks critical mass.
- 12 Since many barriers to mobility and circulation continue to exist despite the single market and freedom of movement for workers, consideration should be given to including support for better information/intelligence and guidance for cultural operators needing to work in another EU country.
- 13 DG EAC and the EACEA should consider ways in which more literary translations can be encouraged from under-represented languages (particularly those in new Member States) into more dominant ones which often serve as pivot languages for further translations and would therefore make a valuable contribution to promoting cultural and linguistic diversity. Consideration should be given to other initiatives to help stimulate the translation of literature.
- 14 Consideration should be given to changing the category 'Advocacy networks' in favour of reverting to 'networks' as organisations do not necessarily have to have an advocacy role in order to bring substantial benefits to artist mobility, the circulation of works, etc.
- 15 The evaluation has shown the need for and the potential of the programme to stimulate new, creative and innovative developments and structures, but that the costs entailed by transnational co-operation can make it difficult to sustain structures or projects beyond the duration of the EU grant. For this reason, thought should be given as to how future award criteria can strike a balance between encouraging the emergence of new and innovative activities and structures, whilst ensuring that established structures that are playing a continued, fundamental role in promoting the objectives of the programme and with a clear European added value are not penalised.

- 16 Consideration should be given to the role, working arrangements and processes for the appointment of CCPs in any new programme. Where necessary, these should be revised to reflect the requirements of the new programme and in light of good practice in other EU programmes.
- 17 Management of the future programme should be as streamlined and light as possible, in the interests of applicants and beneficiaries within the possibilities offered by the Financial Regulations, building upon the progress made under the current programme.

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