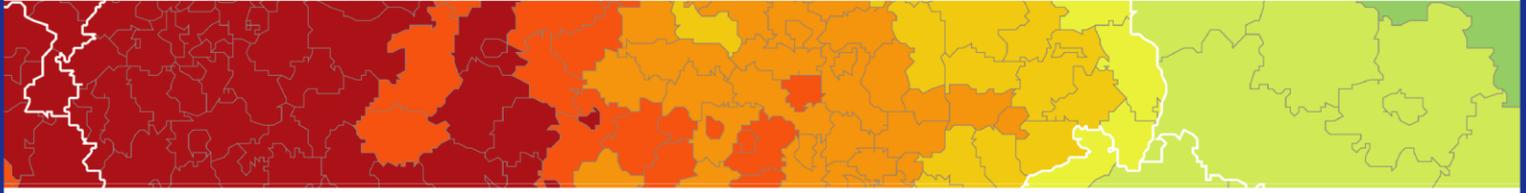


Inspire policy making by territorial evidence



# Regional strategies for sustainable and inclusive territorial development (ReSSI) – Regional interplay and EU dialogue

Targeted Analysis

**Inception Report**

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# 1. Introduction

This Inception Report takes forward and elaborates the specification, conceptual and methodological framework, and general research context for the 'Regional Strategies for Sustainable and Inclusive territorial development (ReSSI) – Regional Interplay and EU Dialogue' research project. It reflects discussions between the research team and the respective stakeholder regions, as well as relevant policy documents provided by the stakeholders. It also indicates how the proposed methodological approach is being implemented.

The report is organised as follows: Section 2 provides a brief outline of the purpose and context of the ReSSI project. Section 3 consists of an overview of the conceptual framework (3.1), the methodological frameworks to be applied (3.2), and plans to activate the local and regional contacts necessary to complete the research (3.3). Following this, section 4 provides a first overview of the most prevalent governance regimes in European regions. Section 5 offers an outline of the opportunities and challenges arising for cities and regions following changes in governance regimes in the aftermath of the 2008 financial crisis, and the reasons behind them. The Report finally makes preliminary conclusions to inform the work plan for the next phases of the ReSSI research project.

## 2. Purpose and Context

The overarching purpose of the ReSSI research project is to examine how the Europe 2020 objectives of promoting sustainable, inclusive and smart economic development can be promoted by local and regional authorities in Europe, in the context of evolving landscapes of territorial governance and planning. In order to achieve this purpose, the research project will address the following research questions:

1. **How to promote sustainable and inclusive regional development strategies, taking into account the changing role of regional authorities and the proliferation of stakeholders in functional territories?** The project seeks to analyse the experience of 'doing' sustainable and inclusive economic development in practice in a wide variety of different contexts. It will draw upon professional, academic and ESPON literature, data analysis, and planning case studies in the four stakeholder territories of Coventry, Southern Denmark, Piedmont and Lisbon.

2. **What are good practices in delivering economic development policies in this new territorial governance framework?** A number of models have been developed, which describe different modes of economic development, at national and regional level. The project will characterise the variegated planning regimes in use, and how these impact economic development policies. This will be achieved through case studies in each of the stakeholder territories, to collect evidence of practices which help navigate the planning system, as well as potential bottlenecks and tensions.

3. **What can be appropriate structures that will enable Coventry to share resources and align policy objectives with other participants in the newly created Combined Authority?** A case study approach will be used in order to understand the modes of articulation between Coventry City Council, the Coventry and Warwickshire Local Enterprise Partnership (CWLEP – sub-regional executive body), the newly-formed West Midlands Combined Authority (WMCA – strategic regional executive body) and other local authorities in the WMCA area.

4. **What can be new forms of cooperation and dialogue amongst municipalities in Southern Denmark around a wide spectrum of issues?** The case study will focus upon new forms of cooperation and dialogue amongst regional stakeholders with a focus upon municipalities. Due to the lack of authoritative powers at regional level, the objective of the

case study is to provide insights as to how the region can develop its role as a reticulist or mediator.

5. **What is the role of Piedmont Region in governing the change in the non-metropolitan part of its territory, to ensure that these areas are not excluded from the main development trajectories?** The case study will provide, first, an understanding of the framework of current initiatives that are labelled as “green” oriented, in order to understand synergies and promote cooperation among stakeholders; and second, a definition of the set of balancing policies for the whole regional territory that can be reflected in programming and planning documents and choices.

6. **How can territorial institutions in and around Oeiras be aligned to promote sustainable development and well-being in the region?** Ongoing institutional reorganisation is resulting in overlapping responsibilities in several areas. It is in this institutional alignment process (not well established yet) that the case study aims to understand the government and governance of new policy agenda setting, namely on the smart cities and energy efficiency topics, in the interplay between the local-regional-national and the European scales.

The **context** of territorial governance in Europe is changing rapidly: Local and regional authorities, traditionally the *loci* of planning and implementation of economic development policies, are increasingly required to share power and the capacity to design and implement policies with a growing number of stakeholders. This has resulted in multiple interdependencies, which include public and private actors, institutions and organisations, in addition to national and European institutions, Non-Governmental Organisations and citizen groups. But despite this increasing complexity and the impact of the 2008 global economic crisis, local and regional authorities have not seen their responsibilities diminished. On the contrary, they are increasingly expected to play the role of agents of economic development, and to improve the use of planning to help construct sustainable, inclusive and smart economies (EC, 2010).

Thus ReSSI's research objectives above essentially focus on examining how sustainable, inclusive and smart economic development can be promoted in the evolving landscapes of territorial governance and planning.

## **3. Conceptual and Methodological Framework**

### **3.1. Conceptual Framework**

#### **3.1.1. Sustainable, inclusive and smart regional development**

The core priorities of the Europe 2020 strategy (achieving sustainable, inclusive and smart growth) reflect the challenges faced by the European Union in the aftermath of the 2008 financial crisis, but do not suggest specific mechanisms by which that growth might be achieved. This is a common feature of most definitions of economic development, which often focus on the desired end state rather than on the process by which economic development takes place. This lack of specificity in the processes by which economic development can be achieved results in unsatisfactory guidance to policy-makers, who require a road-map of usable policy tools. With this limitation in mind, ReSSI will investigate the processes of ‘doing’ economic development in practice. It will examine the concepts of sustainable, inclusive and smart economic development by identifying and comparing initiatives and projects at regional level.

#### **3.1.2. Economic development: the interplay of governance and government in a space of flows**

Territorial administration across Europe is currently undergoing numerous changes, including the emergence of new bodies (e.g. metropolitan city-regions and inter-municipality collaboration platforms), as well as the merging of entities and transfers of power, competences and resources

between administrative layers. Operational plans, the main administrative instrument employed until the 1990s, have been replaced by 'development perspectives', used as starting points for building governance coalitions in shifting territorial settings. In terms of economic development this is reflected in the turn towards territorial innovation models (TIMs). The best known of these are probably Innovation Systems (Lundvall, 1992) and Clusters (Porter, 1990). While both of these were initially conceptualised at the level of national economies, Cooke (1992) highlighted the role of the local and regional level, based on the observation that distinctive local and regional economies developed differently within the same national environment.

Whereas these TIMs focussed on regional specialisation and accumulation, recent interest has also focussed on so called 'Jacobian' spatial economies (Jacobs, 1969), where knowledge diversification, rather than specialisation and combination are the keys to economic growth. Relevant agents include, for example, Local or Regional Authorities or Municipalities, training providers, NGOs and others.

From this perspective, regional innovation systems have been re-described as multi-sectorial platforms of 'related variety' (Frenken et al., 2007). Knowledge interaction, exchange and development amongst different business sectors are seen as the platform for creating new and radical ideas and innovations. This combination of local (near) and external (distant) knowledge (Bathelt et al., 2004), opens a new territorial policy agenda. Thus we can envisage societies as being constructed around different flows including capital, information, technology, organisational interactions, images, sounds and symbols. Castells (1996) proposed the idea of a new spatial form, characteristic of social practices that dominate and shape the network society, which he called the 'space of flows'. Both global and local in nature, the space of flows includes interactions amongst a variety of agents and institutions but also with the citizen. Such interactions may be 'passive' and mostly concerned with information provision, but they might also have the potential to be multi-interactive.

Reflecting these changes, planning has changed fundamentally from an implementation-led activity to a learning process (ESPON and Nordregio, 2013; ESPON and Politecnico di Torino, 2014). General planning models have been replaced by territorially specific models, which envisage and draw upon local regional potentials for change and development, using a place-based approach (Barca, 2009). These changes are often conceptualised as a turn from 'government' to 'governance'. However, existing administrative and political systems have kept previous statutory planning requirements and obligations, meaning that local and regional authorities remain responsible for disparate aspects such as welfare, infrastructure and territorial development, amongst others. The turn from government to governance did not wipe away government; the two co-exist. What has changed in the process is the *locus* of power, which must now be shared amongst a wider network of stakeholders, as noted by Balz and Zonneveld (2015) and Bogason (2003), as well as amongst the different territorial levels, as pointed out by the growing literature on multi-level governance (Hooghe and Marks, 2001).

The project will address this context, seeking to discover efficiency and best practices in planning for territorial development in Europe. Of particular interest will be the analysis of local economic development, which will examine the relevant territorial endowments and cooperation, together with consideration of the extra-regional knowledge flows taking place amongst regional and extra-regional stakeholders. Rather than searching for a new governance-voluntarism in planning, the project will focus on the *interplay* between governance and government at regional level, as mediated by the partnership agreements between the EU and the Member States within the framework of *Europe 2020: A strategy for smart, sustainable and inclusive growth*. In other words, it will explore the opportunities and challenges that specific configurations of territorial governance and spatial planning systems pose to the promotion of sustainable and inclusive development in the stakeholders' territories.

### **3.1.3. The changing role of regional authorities**

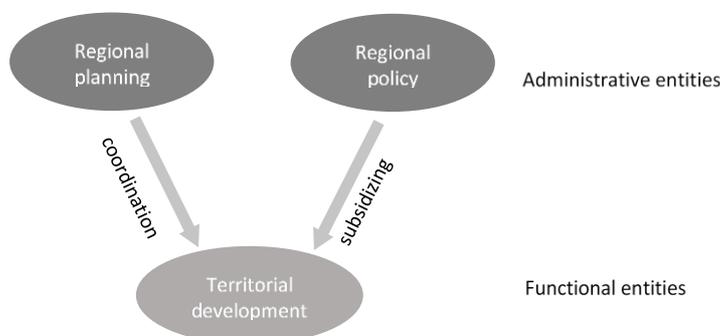
Despite the new paradigms discussed above, it is often the case that, in the hierarchy of national, regional and local authorities, the regional level has, in many Member States, been the least

embedded and most susceptible to political change. This is likely due to the overlapping nature of the regional scale, which is tasked with handling both national interests at subnational level and, simultaneously, the supra-local coordination of municipal interests (Kuklinski, 1970). As a result, regional authorities are often tasked with mediating between national/supra-national policy and local priorities. This mediation effort is often complicated by differentials in democratic legitimacy at different governance scales<sup>1</sup>. This research will study the roles of regional agencies in the interplay with various stakeholders and across scales, including the dialogue between EU, national, regional and local territorial policies. Conceptually, this interplay will be assessed in the context of two ‘turns’: 1) from spatial to territorial development; and 2) from managerial to strategic planning.

The turn from spatial to territorial development represents a shift from general ideas and principles of planning to concrete ones. In this process two aspects run in parallel: 1) former top-down perspectives in regional planning and policy are balanced against a growing interest in bottom-up strategies; and 2) former general spatial models of regional and urban assets are replaced by concrete and locally specific analyses of regional assets, potentials and problems. This results in increasing attention being paid at national and subnational level to developing ‘softer’ governance strategies (Haughton, 2010), reflecting the European understanding of territorial assets, and an increased focus on regions as *loci* of innovation and economic development (Cooke, 1992).

The approach raises the problem of how to delimit territories. Territories are increasingly defined by networking and cooperation between stakeholders situated in a coherent territory (Figure 1). Furthermore, geographical entities do not belong to one territory alone, but to several overlapping functional territories, some of which may be characterized as networked territories rather than coherent administrative units (Groth et al., 2011).

Figure 1: The merger of two planning and policy traditions.



Source: authors

The turn to strategic planning refers to a communicative turn from managerial planning, executed by regulatory power and allocation of resources, to an ongoing process between stakeholders, sharing and developing common understandings of the role of the territory. Rather than being the realm of planners or local/regional authorities alone, plans become co-constructed projects to be developed alongside a wider realm of stakeholders, all of whom bring their own visions, roles and identities. A special impetus for this turn is provided by increasing connectivity and external dependencies: opportunities and threats from the outside world often kick-off local efforts on strategy making.

<sup>1</sup> The different forms of regional governance across EU States are developed in Section 4 (below).

In this context, plans become the product of stakeholders' design efforts, and the discourses and arguments put forward (Adams et al., 2011). Based on Fischer (1995), Balz and Zonneveld (2015) set up a conceptual ladder of arguments derived from social representations: 1) *analytical verification* on the effectiveness of policies, 2) *situational validation* on relevance of a policy in the light of a problem, 3) *societal vindication* on compatibility of the policy with accepted political values and societal aims and finally 4) *social choice* on the core principles of policies. The higher the level of arguments, the higher claim for commitments by the stakeholders; therefore, strategies must be identified not only by their content, but also in terms of the proposing stakeholder's commitment, reflected by their position on the ladder of policy argumentation.

In addition, the degree of participation of stakeholders can also vary. Three types of stakeholder partnerships can be identified (Skelcher et al., 2005): 1) *agency* partnerships, used to implement central government objectives at the local level, 2) *club* partnerships, building upon consensus-oriented elements from a discourse shared by stakeholders with an organizational background; and 3) the *polity forming* partnerships, the goal of which is not only to reframe developmental problems in terms of local solutions but also to engender a political community or network devoted to their deliberation. The three types of partnerships are shown in Table 1. Furthermore, it is necessary to address regional stakeholders, not just in terms of individual partnerships, but also as a 'stakeholder-milieu' involved in regional strategies – although their motivations for joining regional partnerships will still depend on their objectives, memberships of existing sub-regional partnerships, or simply comparative strength. Consequently, ReSSI will examine regional stakeholders in terms of both their type and their commitment.

Table 1: Agency, club and polity-forming partnerships.

Aspect of partnership	Type of partnership		
	Club type	Agency type	Polity type
<b>Discursive orientation</b>	Elite co-decision	Managerialism	Community participation
<b>Focus</b>	Mutual benefits for members	Implementing central government policy	Authoritative decisions that allocate values
<b>Legitimacy</b>	Members organization	Central government	Community
<b>Consent</b>	Member organizations	Member organizations /central government	Member organizations /community representatives /higher tier of government
<b>Accountability</b>	Member organizations /higher tiers of government	Central government	Community /higher tiers of government

Source: Skelcher, Mathur and Smith (2005)

The theoretical understanding of the turn from government to governance, from spatial planning to territorial development and from managerial to strategic planning is well consolidated. However, the understanding of how to create plans and strategies jointly between stakeholders not forced to cooperate by statutory obligations is less clear. In ReSSI, successful partnerships will be identified and ideas on making use of 'spatial visioning' as a tool for coordination of stakeholders and design of joint strategies will be discussed with stakeholders (Balz and Zonneveld, 2015; Hajer et al., 2010; Zonneveld and Waterhout, 2005). This tool will promote the process of turning knowledge and analysis into action, and will provide the project with examples and ideas of good practice for the creation and implementation of sustainable, inclusive and smart development policies.

In light of these aspects, the ReSSI project will analyse the relationships and knowledge exchanges, within the stakeholder regions (understood as functional territories). This will be done by paying attention to relations the stakeholders develop upwards (such as with European and national governments); downwards (with citizens and local delivery bodies, but also amongst components of the stakeholders' own organisation); and horizontally (direct knowledge exchanges with entities such as other municipalities and regions, businesses and third sector organisations). The objective of the analysis will be to observe the process of 'doing' regional economic development in practice, identifying the knowledge flows amongst governance levels, and how the economy is imagined in the process. The specific ways in which this will be achieved are detailed in the next section.

## **3.2. Methodological Framework**

The advances in thinking about regional economic development, and the planning turns discussed above have consequences for addressing the ReSSI objectives. In exploring the relationships established by planning authorities, it is not enough to consider those with traditional planning actors; rather, it becomes necessary to understand the role played by other stakeholders in society, such as NGOs, businesses, the third sector and the general public. Also, it is relevant to address the interplay between real actors and the institutional settings, as proposed by Scharpf's actor centred institutionalism (1997).

In order to address the project's objectives of contributing to best practice in the changing planning contexts, ReSSI will 1) identify the stakeholders involved in the process; 2) characterise the commitment of each participant stakeholder; and 3) describe the types of partnership in evidence. This will allow the project to analyse the discourses and types of polity under construction, as well as potential tensions and bottlenecks in the planning process. Thus, to conduct the research, a number of methodological approaches will be utilised. Broadly, these can be divided into three main components: document review, case studies, and interactive learning.

### **3.2.1. Document review**

The first two outcomes of the ReSSI project will be an overview of existing governance regimes in European cities and regions, and a review of the opportunities and challenges faced by regions in Europe<sup>2</sup>. Both these outcomes will be achieved through document analysis, a systematic procedure for reviewing and evaluating documents (Bowen, 2009).

The analyses will follow a framework approach (Ritchie and Spencer, 1994; Srivastava and Thomson, 2009), a research method especially well adapted to policy research, where: 1) the research involves clear questions; 2) it must be completed in a limited time frame; and 3) a set of issues of interest is defined beforehand (Srivastava and Thomson, 2009). Framework analysis is suited to addressing four types of questions: contextual (the form and nature of what exists); diagnostic (reasons for, or causes of, what exists); evaluative (appraisal of the effectiveness of what exists); and strategic (identification of new theories, policies, plans or actions) (Ritchie and Spencer, 1994). The research needs which ReSSI seeks to address fall under these categories. In terms of procedures, framework analysis involves the sorting and charting of data according to key issues and themes, for the purposes of mapping and interpretation of the phenomena under study. Through this procedure, the relevant information in terms of the most prevalent governance regimes in Europe can be identified, and descriptions of the opportunity and challenges for European regions produced.

Policy documents are likely to constitute the backbone of the analyses, as they indicate the individual planning and governance approaches used in practice, and the rationales for doing so. Academic literature will serve to support these analyses, especially where it can provide syntheses and historical overviews of planning practice, as well as critical appraisals of the results. The usage of other materials as sources of data – such as reports authored by NGOs, consultancies and

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<sup>2</sup> See sections 4 and 5 of this Inception Report respectively for preliminary overviews.

interest groups – raises difficulties, as the validity of the arguments and findings presented in these is more difficult to assess. However, these materials can often present a window into actual socio-economic practices, hinting at tensions and imperfect fit between official policies and implementation. With these in mind, non-peer reviewed materials collected and analysed will be used carefully in the documental analysis.

The data required includes policy documents, academic documents and academic literature which address the variety of planning regimes in European cities and regions. These documents are expected to be obtained from online searches, using dedicated search engines for the effect (e.g. EBSCO and Web of Science for academic papers, Google Scholar for policy documents and other reports).

### **3.2.2. Case studies**

The second outcome of the project will be an analysis of each of the stakeholder territories and the planning strategies used to navigate territorial governance tensions and challenges in each case. This will be achieved through the use of a case studies approach. A case study consists of a research approach which allows for the in-depth investigation of contemporary phenomena, within its real-life context, and when the boundaries between the phenomena and the context are not clearly evident (Yin, 2009). This makes them appropriate to study the changing context of planning in Europe, in which the boundaries between ‘what is planning’ and ‘what is its context’ are increasingly porous, as a result of the turns towards territorial development and strategic planning.

The project will employ a multiple cases approach, with either two independent case studies, or an individual case with multiple embedded units of analysis examined in each stakeholder territory. This will involve the design of a common case study methodology for the four different regions, involving the same variables and data collection methods, including respondent populations, interview guides, coding, analysis, tabulation and interpretation of results.

Each of the four cases must 1) constitute a deliberate attempt to produce economic growth and 2) make a specific reference to producing either sustainable, inclusive or smart economic growth, as defined by the Europe 2020 strategy (EC, 2010). In the analyses of cases, the projects will be evaluated and the governance relationships characterized by their local, regional and extra regional relations. In order to make transparent the communication of EU 2020 policy, each case-study will provide an overview of the institutional anchorage at regional level of the current partnership agreement on ESI funding and how EU2020 policy goals are communicated to the regional level.

One of the greatest advantages of case studies is the use of multiple sources of evidence, relying on triangulation and corroboration to converge the data. This will allow for a number of methodologies to be applied in each case study, increasing the reliability and validity of results, as well as producing more informative findings. Methodologically, the various case studies will triangulate data from at least three different sources: institutional mapping, semi-structured interviews, and participant observation.

#### ***3.2.2.1. Institutional mapping***

An Institutional Map (IM) consists of visual representation of groups and organizations in a given setting, as well as their relationships and importance in decision-making processes (Rietbergen-McCracken and Narayan-Parker, 1998). The objective of IM is to visualize relationships and reduce complexity, in institutional and geographical terms (Chilla et al., 2012). The reasons for employing IMs are three-fold: first, an analytical reason, allowing for comparisons of the basic outline of the institutional settings for each case. Second, a methodological reason, as the mapping exercise will be used to produce inventories of the institutions involved in each case, identify the key players, and highlight the relevant institutions’ roles and their linkages (Aligica, 2006). Finally, institutional mapping will be used for dissemination purposes, as IMs will allow the researchers to communicate better with stakeholders. Institutional mapping will be used as a first aspect of all the case studies for a combination of those three reasons.

The data required will be drawn from discussions with the territorial stakeholders (local and regional authorities), as well as from access to planning documents. In both cases, the data will have to be provided by the territorial stakeholders.

### **3.2.2.2. *Semi-structured interviews***

Semi-structured interviews with stakeholders are used to obtain an understanding of the interviewees' perceptions, how they define situations, how they construct reality, and which meanings they attribute to events (Punch, 1998). Data analysis will use a framework analysis method (Gale et al., 2013; Ritchie and Spencer, 1994; Srivastava and Thomson, 2009), as described above. The framework will be shared and adapted across the various territories, in order to assure comparability.

These interviews will be used as construction sites of knowledge, seeking to obtain descriptions of the interviewees' lived world with respect to specific phenomena involved in the planning processes. This will allow for the understanding of how economies are being constructed, but also how the various stakeholder groups imagine regional economic development, and how they act to produce it.

The stakeholders in each territory will provide the research teams with access to and contacts with these relevant actors. The researchers will undertake all interviews and organise the transcriptions and analysis of that data.

### **3.2.2.3. *Participant observation***

Participant observation consists of the systematic observation of events, objects and artefacts in the setting of a research project, in order to enable researchers to learn about the activities of actors under study in their natural context (Kawulich, 2005). Participant observation is often a component of case studies, used to complement the information collected via interviews (Kvale, 2007). In fact, the two methods are broadly complementary (Hammersley, 2006; Yin, 2009).

Participant observation of relevant workshops or conferences will also be sought in all cases, and attended where possible and appropriate. The objective of these will be to observe processes of decision-making and 'doing' planning for economic development in practice, and will inform the understanding of the phenomena under study.

In all these cases the responsibility for identifying appropriate meetings will be shared by the researchers and the territorial stakeholders. It will be the responsibility of the latter to obtain access for the researchers.

## **3.2.3. Interactive learning**

The third and fourth outcomes of the research project are a framework of good practice for the creation and implementation of sustainable, inclusive and smart development policies, and a series of proposals for developing and delivering individual outcomes in each stakeholder region. These will be delivered through an interactive learning approach, used to probe and validate findings from the analytical phase.

Proposals for developing and delivering individual outcomes in each stakeholder region will be developed based on the findings from the case studies. Particular issues to be addressed concern the identification of bottlenecks in the use of planning for sustainable, inclusive and smart growth, and suggestions to improve on those issues. Analytically, this will involve feeding back the findings of the case studies to the stakeholders. This will be achieved through workshops between stakeholders and research teams. Up to 10 non-stakeholder and non-project team related participants will take part in each of the workshops, jointly identified by the stakeholders and the service providers. One workshop is planned in each of the respective regions (four in total), after the data collection and analysis is completed.

Based on the outcomes of the literature review, case studies and workshops, a framework of good practice will be compiled, to promote policy and knowledge transfer. As part of the development of this framework, a policy transfer guide will also be developed, based on the literature review of the

overview of existing regional governance regimes developed by ReSSI, and on the results of the ESPON TANGO project (ESPON and Politecnico di Torino, 2014). This guidance will provide an indication of the extent to which the framework's recommendations are applicable outside the four stakeholders' regions. This guide will be produced from a literature review practice in this area. Data for this literature review will come from policy documents, academic documents and academic literature. These documents are expected to be obtained from online searches, using dedicated search engines for the effect (e.g. EBSCO and Web of Science for academic papers, Google Scholar for policy documents and other reports).

Finally, in order to establish comparisons from the findings of the various case studies and produce a Framework of good practice for the creation and implementation of sustainable development policies, a global project workshop will be organised. This will be organised to coincide with the final ReSSI project meeting (Meeting 4), bringing together the outcomes of the territories to produce the framework of good practice, encourage joint learning and draw overall recommendations.

This framework will result from reviews of the case studies. The data for this will be obtained from the feedback provided by the territorial stakeholders and other planning actors involved in the workshops.

### **3.3. Plan for activating local and regional stakeholders**

#### **3.3.1. Coventry**

The UK study will consist of a single case study, the 'Innovative Coventry Future Transport Vision'. Within this, there will be three embedded units of analysis, comprising separate initiatives – 'Electric Taxis', 'Autonomous Vehicles Trials' and 'New Developments/Roads'.

- The 'Electric Taxis' initiative refers to Coventry's Clean Air Zone strategy. It involves a partnership with the neighbouring municipalities of Wolverhampton and Birmingham, and is supported by central government (via the Office for Low Emissions Vehicles - OLEV), the Coventry and Warwickshire Local Enterprise Partnership (LEP) and the West Midlands Combined Authority (WMCA). London Taxi Company (a private concern, Coventry-based and Chinese-owned) will provide the vehicles (to be launched in 2017), and Coventry will provide charging infrastructure and market-making expertise with taxi drivers.
- The 'Autonomous Vehicles Trials' initiative involves road trials of driverless cars in Coventry, to take place in 2017. Warwick Manufacturing Group and Jaguar Land Rover are developing the technology. Milton Keynes, a municipality in the Southeast Midlands, is cooperating with Coventry in the testing. The project also seeks to explore paths toward creating markets for autonomous vehicles.
- The 'New Developments/Roads' initiative is a priority development for Coventry City Council (CCC) and the CWLEP. CCC's Planning department is heavily involved in this agenda. The objectives include increasing employment in the region, developing sustainable transport (including trains, train infrastructure and implementing super-fast broadband digital infrastructure). Power supply is also a very important issue.

The various individual projects aim to deliver not only sustainable growth (as per the Europe 2020 definition), but also smart growth (as many of them include 'smart city' infrastructure development and deployment). Furthermore, CCC is increasingly strategically focusing on employment and jobs creation, and these projects will have to address inclusive growth concerns too.

Addressing the knowledge needs of the project will involve obtaining policy documents on the policy drivers and objectives for the three initiatives described, which CCC (the ReSSI stakeholder in the UK) has agreed to provide. It will also involve securing interviews and/or attending meetings with the following groups of agents:

- National government: OLEV

- Regional and sub-regional policy bodies: WMCA, CWLEP)
- Coventry City Council: Innovative Coventry; Planning; Business Development
- Other local authorities: Birmingham, Warwick, Wolverhampton, Milton Keynes
- Private companies: London Taxi Company, Jaguar Land Rover, Warwick Manufacturing Group; energy and broadband providers
- Other stakeholders: Coventry University, University of Warwick

CCC has agreed to facilitate contacts with the various stakeholders suggested.

### **3.3.2. Region of Southern Denmark**

The Danish study will focus on two cases: The 'Regional Growth and Development Strategy 2016-2019 of the Region Southern Denmark' (RGDS-SDK) and the 'Regional Development Agreement 2016-2019 between the city-region Esbjerg and Region Southern Denmark' (RDA-ESJ).

The RGDS-SDK is a strategy for the whole region of Southern Denmark, developed by the regional authority (ReSSI stakeholder), the Regional Growth Forum (a collaboration of public and private regional stakeholders) and the municipalities of the region. The strategy deals with a wide range of topics under the headlines of being an "attractive, active and productive" region. Follow-up agreements with local authorities have been - or are in the process of being - set up. One of these is the RDA-ESJ – an agreement between the regional authority and three municipalities in the western part of the region. The agreement primarily deals with exchange of knowledge (e.g. from analyses done by the region) and an ambition to use these in later policy-making at local level. Most aligned with the EU2020 priorities and goals are strategies on education and labour markets as well as on inclusive development.

As the Danish stakeholder is a partner in both cases, data and documents can be accessed through them. Interviews (individual and in groups) and observations will be sought with the following stakeholders:

- The Region of Southern Denmark (ReSSI stakeholder) (RGDS-SDK + RDA-ESJ): Chair of regional council, committee chair, managing director, staff of the analytical department;
- Growth Forum of the Region of Southern Denmark (RGDS-SDK): Chair, managing director, members of the Growth Forum, from business, education and municipalities;
- Southern Region Municipal Contact Committee (RGDS-SDK);
- Three Municipalities of western Jutland (RDA-ESJ).

Due to the fact that several individuals are members of two or more of these boards and committees, an appropriate selection of board members representing municipalities, business, education and non-governmental organizations shall be planned for. Most of the contacts and experts shall be selected in dialogue with the Region Southern Denmark. If possible (i.e. budget restrictions and the timetable) we shall include representatives of the wider stakeholder milieu of the Region of Southern Denmark, e.g. from other consolidated partnerships and municipalities.

### **3.3.3. Piedmont Region**

The Polito team will approach the Piedmont Region case study through: 1) an analysis of the framework of current initiatives that are labelled as 'green' oriented, in order to understand synergies and promote cooperation among stakeholders; and 2) a definition of the balancing policies for the whole regional territory that can be reflected in programming and planning documents and choices.

In the light of the proposed approach, the analysis will take into consideration the project 'Corona Verde', a strategic project that involves 93 municipalities of Turin's Metropolitan City, and aims to

promote sustainable economic development in the region. It will achieve this by coordinating and facilitating the implementation of local policies related to landscapes and the natural environment and integrating the UNESCO World Heritage sites of former royal palaces and parks (the so-called Crown of Delights) with a green belt of existing parks, rivers, and rural areas.

The case study will have two main focuses:

1. Analysis of reasons and rationales for the Corona Verde cooperation process and mechanisms, aiming at understanding how much they depend on the timely exploitation of existing funding opportunities and to what extent they are dependent on, and influenced by, territorial specificities. This analysis will allow reflection upon the impact of EU funding opportunities pivoted around specific priorities and the commitment of local development actors (public and private) to cooperate in the promotion of sustainable territorial development.
2. Building on the outcome of the first part, the research team will reflect upon the potential for the Region to promote territorial cooperation in non-metropolitan territories, with the aim to foster sustainable and inclusive development in complex territories located outside Turin's metropolitan city. To do so, the team will analyse the driving forces that may influence cooperation geographies in these territories. The study will target, in agreement with the Regional stakeholder, a local authorities' cooperation body (the so called Union of Municipalities) or an informal functional area located on the territory of one of the recently dismantled provinces of the Piedmont Region.

An important element of the case study work is to identify the significant stakeholders in each of the chosen territories and to determine how to derive empirical information from them. Interviews and focus groups will involve a range of policymakers, program officials, project leaders and project beneficiaries. The selection of the stakeholders to be involved in the analysis will be operated in close contact with the Piedmont Region and some preliminary steps in this direction are already made. Interviewees will be selected according to the 'snowballing' technique whereby interviewees will be asked to name other significant stakeholders to be contacted.

The goals of the case study are to provide policy relevant guidance on multi-level governance in relation to the in the promotion of sustainable territorial development, and to reflect upon the impact of EU funding opportunities pivoted around specific priorities, along with the actual commitment of local development actors (public and private) to cooperate.

### **3.3.4. Municipality of Oeiras**

The case study agreed with Oeiras municipality is the EVA project – Eixo Verde e Azul [Green and Blue Corridor] aiming at creating a green corridor structured by the Jamor River, in a dense sub-urban area crossing Sintra, Amadora and Oeiras municipalities in the Lisbon Metropolitan Area. EVA's promoters are the local authorities of these three municipalities, operating alongside Parques de Sintra Montes da Lua, a public company responsible for managing the most important natural and cultural values located in the area of the Cultural Landscape of Sintra and in Queluz.

It is proposed that a pedestrian and cycle route along the whole river Jamor will allow fruition and connectivity between the different neighbourhoods and public facilities adjacent to the river. It will enable new access in soft mobility to the National Sports Centre at Jamor. The project combines environmental and inclusive development goals in the region, namely the improvement of physical well-being and quality of life, re-qualification of public space, soft mobility, improvement of public access to cultural heritage and tourism development.

The EVA project is underpinned by EU programming in conjunction with the Integrated Development Regional Strategy for Lisbon defined under the umbrella of Europa 2020 and promoted by Lisbon Metropolitan Area body (AML). This strategy was followed by the signature of a Pact (partnership agreement) by the local municipalities of the Lisbon region with CCDR LVT (Lisbon regional authority) that is responsible for the regional Operational Programme Lisboa

(POR), and a €100.7M funding envelope was defined to deliver the strategy. The EVA project is essentially funded by the POR and the estimated cost is €13 million.

The IGOT-ULisboa team will approach the Oeiras municipality case study aiming at: 1) examining inter-municipality governance structures to promote sustainable growth; 2) analysing challenges and opportunities for collaboration of different stakeholders stemming from EU regional strategies and programming; and 3) discussing articulation between sustainable development policies and spatial planning strategies at local and regional levels.

## **4. First overview of the most prevalent governance regimes in Europe**

The overarching objective of the ReSSI project is to examine how sustainable, inclusive and smart economic development can be promoted by local and regional authorities in four regions of Europe, in the context of evolving landscapes of territorial governance and spatial planning (ESPON, 2016, p. 3).

In order to set the development challenges of the analysed case studies into the broader European context and to inform the subsequent steps of the research, this report now presents a first overview of the most prevalent governance regimes common to European regions. It does so by taking into account a number of variables: administrative structures; territorial levels; levels of horizontal and vertical integration; different spatial planning traditions; integration between EU cohesion policy; and domestic development policies.

The overview begins by analysing a number of existing typologies focusing on administrative traditions, spatial planning systems and governance features. The following section explores how EU cohesion policy is implemented in the different domestic contexts, reflecting upon the authorities responsible for the preparation and management of programmes and their level of autonomy. The last two sections build on these steps to develop a preliminary overview of the existing governance regimes and elaborating on how these may influence the promotion of sustainable and inclusive development in European regions.

### ***4.1. Administrative traditions, spatial planning system typologies and governance clusters***

The first part of this section reviews a set of existing typologies of European countries developed over the last 25 years. Such typologies have been built around issues that are all relevant to the promotion of territorial development in European regions. The first part (4.1.1) focuses on existing administrative traditions, while the second part (4.1.2) is dedicated to spatial planning and governance.

#### **4.1.1. Administrative traditions**

Since the beginning of the 1990s, a broad range of classifications of the administrative traditions that characterise European countries have been produced in the literature, as already analysed by the ESPON TANGO project (ESPON and Nordregio, 2013). These classifications typically rely on historical and cultural classifications rather than on consistent analytical criteria, and their aim is to find how distinctive local government is in these countries (Table 2).

Table 2: Typologies of administrative traditions in Europe.

<b>Hesse &amp; Sharpe, 1991</b>	<b>Northern European</b>	<b>Anglo-Saxon</b>	<b>Napoleonic</b>	
	AT, DK, FI, FR, NL, SE	IE, UK	BE, ES, FR, GR, IT, PT	
<b>Goldsmith, 1992</b>	<b>Welfare state</b>		<b>Client-patron</b>	
	AT, DE, DK, FI, NL, SE, UK		FR, IT, GR, ES	
<b>Loughlin and Peters, 1997</b>	<b>Scandinavian</b>	<b>Anglo-Saxon</b>	<b>Germanic</b>	<b>French</b>
	DK, SE, NO	IE, UK	DE, AT, NL, ES (after 1978); BE (after 1988)	FR, IT, ES (until 1978), PT, GR, BE (until 1988)
<b>Lindstrom, 2003</b>	<b>Northern European</b>	<b>British</b>	<b>Middle-European</b>	<b>Napoleonic</b>
	DK, FI, SE	IE, UK	AT, DE, CH	BE, ES, FR, GR, IT, NL, PT

Source: ESPON and Politecnico di Torino (2014)

A first attempt, produced by Hesse and Sharpe (Hesse and Sharpe, 1991), proposes a classification that contrasts the Northern European and the Napoleonic countries on the basis of the degree of local autonomy, and consolidates it with the addition of a third, smaller, group that includes the Anglo-Saxon countries. Following this approach, Lidström (2003) further splits the Northern European group in two categories: Scandinavian welfare democracies, and Middle European countries, including Germany, Switzerland and Austria, which are characterized by a different local government system.

Goldsmith (1992) proposes a classification of three basic types of local government systems: the patronage-based model; the economic development-based model; and the welfare state-based model. Whereas the economic development model is mostly found outside Europe, the patronage model primarily concerns southern Europe (Greece, Italy, Spain, and also France) where the primary duty of local politicians is presumably to ensure that the interests of their community are well promoted and defended at higher levels of government. The welfare state model, instead, concerns northern European countries where efficient service delivery has shaped local government through time.

A more complex attempt is put together by Loughlin and Peters (1997), that develops four different 'state traditions' on the basis of different aspects of state and political features, thus determining the conditions within which democracy is understood and practised at both national and subnational levels. They distinguish four major traditions: the Anglo-Saxon, the Scandinavian, the Germanic and the French (Napoleonic), each one characterised by a distinct political and administrative culture, state organisation, and state-society relationship.

#### 4.1.2. Spatial planning systems and governance typologies

As far as typologies of spatial planning systems in Europe are concerned, the best-known example is constituted by the EU compendium of spatial planning systems and policies (CEC, 1997), which created four Weberian ideal types or 'traditions of spatial planning' in Europe (Table 3).

Table 3: Traditions of spatial planning in Europe.

	<b>Comprehensive integrated</b>	<b>Regional economic</b>	<b>Land use regulation</b>	<b>Urbanism</b>
<b>Legal basis</b>	Mixed	Mixed	Discretion	Code
<b>Scope of planning</b>	Wide	Wide	Narrow	Narrow
<b>Scale of planning</b>	Multi-level planning	National planning	Local	Local
<b>Locus of power</b>	Mixed	Centre and local	Centre	Local
<b>Public or private</b>	Public	Public	Mixed	Mixed
<b>Maturity of the system</b>	Mature	Mature	Mature	Immature
<b>Distance between goals and outcomes</b>	Narrow	Mixed	Narrow	Wide
<b>Examples (CEC, 1997)</b>	AT, DK, FI, DE, NL, SE	FR, PT, (+DE)	IE, UK (+BE)	GR, IT, ES (+PT)
<b>Examples (Farinòs Dasi, 2007)</b>	AT, DK, FI, NL, SE, DE, BG, EE, HU, LV, LT PL, RO, SL, SV, (+ BE, FR, IE LU, UK).	BE, IE, LU, UK, CY, CZ, MT, (+ PT, ES)	FR, DE, PT, HU, LV, LT, SK, (+ IE, SE, UK)	GR, IT, ES CY, MT

Source: authors

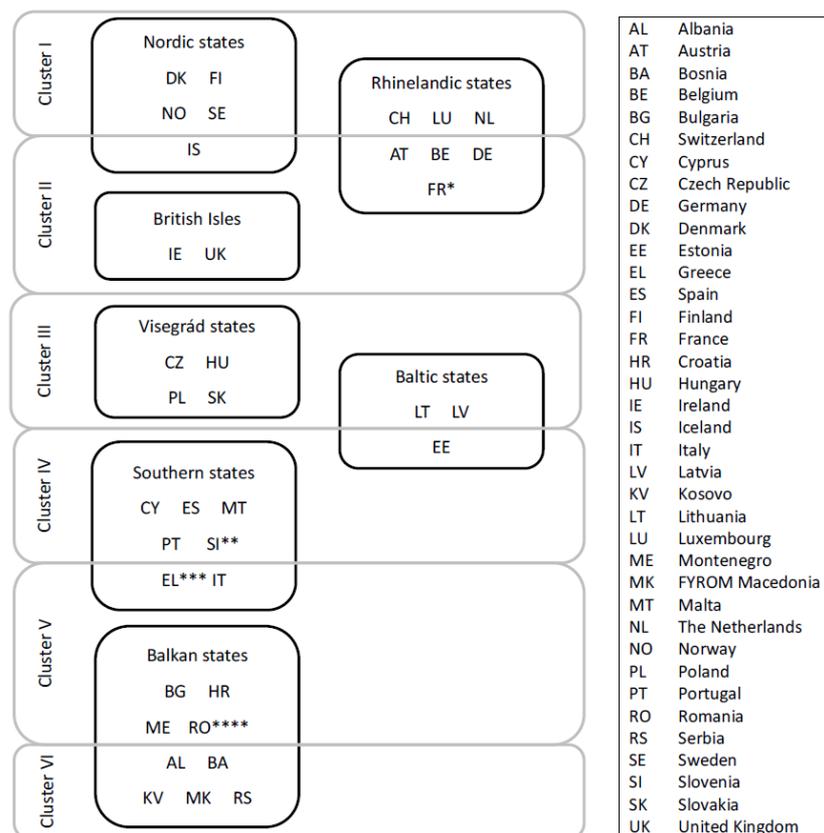
In this typology, the word 'tradition' is used to emphasise the way that forms of spatial planning are deeply embedded in the complex historical conditions of particular places. The four types are: 1) comprehensive integrated approach; 2) regional economic approach; 3) land use regulation; and 4) urbanism. The EU compendium recognises that some countries might exhibit a strong tendency to one tradition while others may exhibit a more complex combination of types. This aspect was also stressed by the attempt made by Farinòs Dasi *et al.* (2007) to extend this classification to the countries that had become part of the EU since the publication of the compendium.

As far as territorial governance and spatial planning are concerned, a factor that influences the promotion of territorial development in European regions is the vertical co-ordination between different territorial levels and horizontal coordination between actors at the same territorial level. In this concern, the ESPON project 2.3.2 distinguishes four categories of countries (ESPON, 2006): a) countries characterised by strong vertical and horizontal coordination: Germany, Denmark, Estonia, Finland, France, Ireland, Lithuania, Latvia, The Netherlands, Poland, Slovakia; b) countries presenting mainly vertical coordination and weak horizontal co-ordination: Austria, Switzerland, Hungary, Norway, Romania, Slovenia; c) countries featuring a good level of horizontal coordination and scarce vertical co-ordination: Slovenia, Luxemburg, Malta, Sweden, UK, Czech Rep, Cyprus; d) countries characterised by both weak vertical and horizontal coordination: Belgium, Bulgaria, Spain, Greece, Italy, Portugal.

Finally, an exercise that may prove relevant in relation to the scope of the ReSSI project has been recently carried out in the ESPON project TANGO. It develops a number of clusters of quality of governance that build on the Worldwide Governance Indicators (WGI) project database (Kraay *et al.*, 2010). The analysis applies six aggregate quantitative indicators of governance which are then

used to identify clusters of countries in which the quality and the characteristics of governance are similar (ESPON and Nordregio, 2013): a) voice and accountability, i.e. the extent to which a country's citizens are able to participate in selecting their government, as well as freedom of expression, freedom of association, and presence of free media; b) political stability and absence of violence, i.e. the likelihood that the government will be destabilised or overthrown by unconstitutional or violent means, including politically motivated violence and terrorism; c) government effectiveness, i.e. the quality of public services, the quality of the civil service and the degree of its independence from political pressures, the quality of policy formulation and implementation, and the credibility of the government's commitment to such policies; d) regulatory quality, i.e. the ability of the government to formulate and implement sound policies and regulations that permit and promote private sector development; e) rule of law, i.e. the extent to which agents have confidence in, and abide by, the rules of society, and in particular the quality of contract enforcement, property rights, the police, and the courts, as well as the likelihood of crime and violence; and f) control of corruption, i.e. the extent to which public power is exercised for private gain, including both petty and grand forms of corruption, as well as 'capture' of the state by elites and private interests. On the basis of these indicators it was possible to create six clusters of countries and then develop a further grouping on the basis of their common geographical co-location and historical legacy (Figure 2).

Figure 2: Socio-political macro-regional divisions.



Notes:

- \* Some of the comparative politics literature categorises France as a Southern (or Mediterranean) state (e.g. Hendriks et al, 2010), rather than a Rhinelandic state (as indicated in the diagram)
- \*\* Part of Slovenia belongs to the Balkan region although the country is not generally classified as a Balkan state
- \*\*\* Although Greece is also located in the Balkan region it is often categorised as a member of the Southern (or Mediterranean) states in comparative politics literature
- \*\*\*\* Only a small part of Romania belongs to the Balkan region but the country is categorised above as a member of the Balkan states since it does not belong to the other country groups

Source: ESPON and Politecnico di Torino (2014, p. 42)

## 4.2 The role of EU cohesion policy in reconfiguring governance processes in Europe

Since the reform of the Structural Funds in 1988, the EU has increasingly invested resources to promote the sustainable and inclusive development of its territory. Through its programming period, this has helped to foster regional development across the continent. At the same time, this has also influenced the development of domestic policies, with various countries progressively adapting their domestic governance structure in order to exploit synergies between EU and domestic policy as well as to maximise the absorption of EU funds.

Despite a more or less influential filter role played by the Member States' national governments, the EU has clearly identified the regional level as the main institutional level through which to distribute its resources. Whilst turning the European regions into the main pivotal actors for the promotion of territorial development, this has also raised a number of issues, mostly linked to the administrative differences that characterises different EU countries. Notably, whereas the responsible authorities for delivering EU cohesion policy were identified with NUTS2 level regions, not all the Member States had, or have, such an administrative layer. Even where NUTS2 regions exist, they could be fully autonomous federal units, directly elected subnational entities, indirectly elected second tier bodies, authorities directly appointed by the central government, or, finally, purely statistical units. To add further complexity, the new programming period 2014-2020 allowed for the possibility to recentralize the management of EU resources, providing an opportunity that has been seized by various countries.

This heterogeneity, together with the simultaneous existence in the majority of the EU Member States of one or more autonomous sub-national policy levels responsible for promoting territorial development, clearly constitutes a challenge for an efficient promotion of the economic, social and territorial cohesion which has to be carefully considered in the further development of the spatial dimension of EU policies. Thus, successful ways to promote sustainable and inclusive territorial development may widely differ in the presence of different ways to manage and implement EU cohesion policy.

Bearing this in mind, in Table 4 we propose a preliminary characterisation of EU member states that takes into account the manner in which each of them has been involved in EU cohesion policy during the programming periods 2007-2013 and 2014-2020.

Table 4: Institution deputed to manage EU cohesion policy.

	Central level	Non-elected subnational institution		Elected subnational institution
		Central influence	Mixed influence	
<b>2007-2013</b>	LUX, EE, LT, LV, MT, CY, BG, SL, RO, HR	HU, PT, SK	SE, FI, IE, UK, CZ, NL, GR	DK, AT, FR, DE, BE, PL, ES, IT
<b>2014-2020</b>	LUX, EE, LT, LV, MT, CY, SL, RO, HR, HU, BG, DK, AT, FI	PT, CZ, SK, UK	SE, IE, NL, GR,	ES, IT, PL, DE, FR, BE

Source: authors

Various pieces of evidence emerge that are relevant for the effective promotion of sustainable, inclusive and smart development of European regions. On the one hand, in the new programming period it is possible to witness a partial re-nationalization of EU cohesion policy, with various countries opting to take back responsibility for the Operational Programmes (OP) into the hands of the central government or institutions whose decision-making is directly influenced by the latter. On the other hand, those countries that present a strong subnational level (federal or regionalised states) maintained the distribution of resources firmly in the hands of the latter. Finally, various subnational institutions that were created at NUTS2 level in order to manage cohesion policy regional OPs during the 2000s lost their pivotal role in the national versus local negotiation over the distribution of EU funds.

### ***4.3. A preliminary overview of regional governance regimes in Europe***

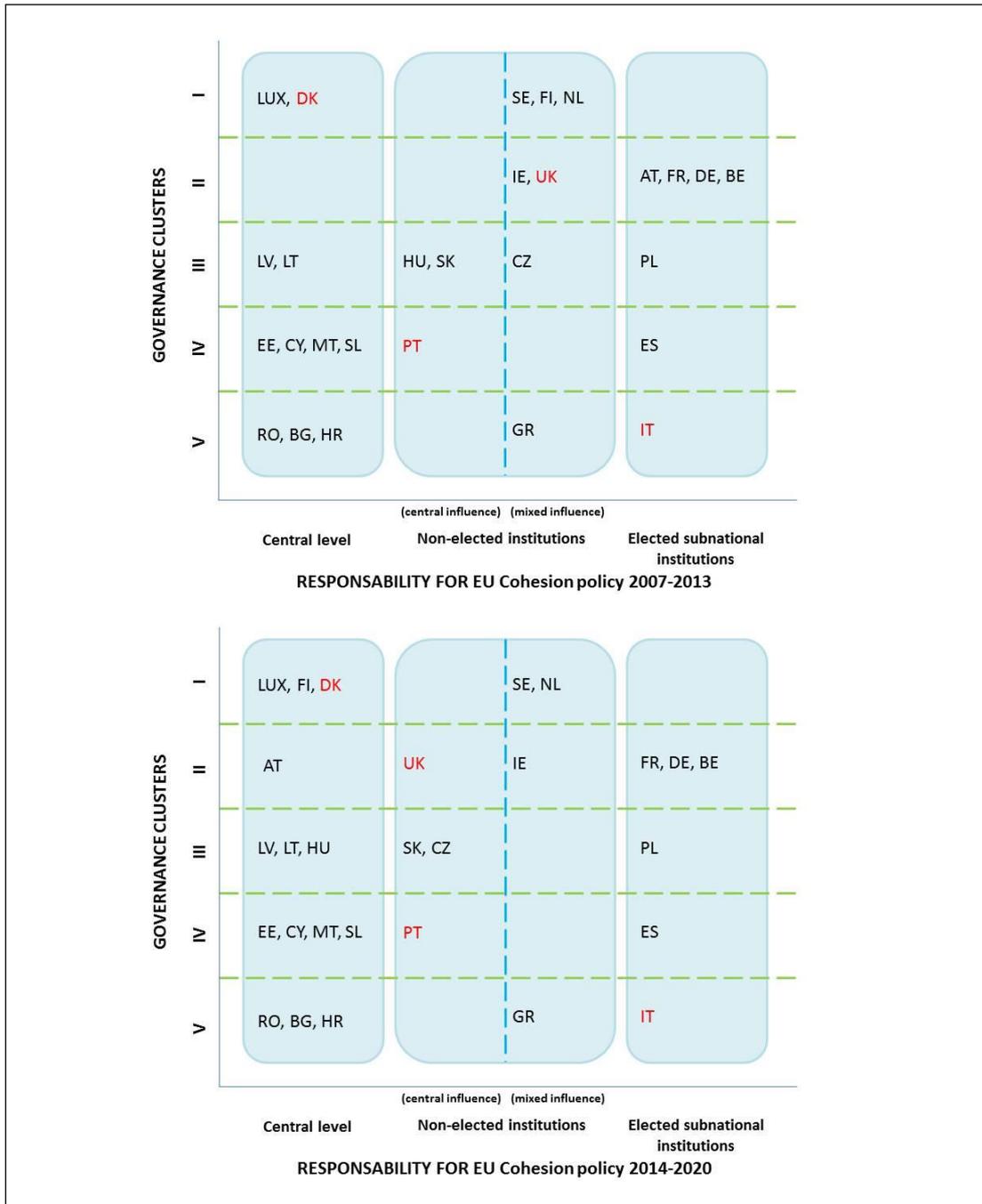
Building on the various elements collected, it is possible to compile a preliminary overview of regional governance regimes in Europe. This overview takes into account both the specific governance characteristics of the various countries as well as the way they each chose to manage and implement EU cohesion policy in the last two programming periods (Figure 3, below).

From the figure it is possible to identify some clear patterns which influence promotion of sustainable and inclusive development. On the one side, there are those Member States where it is most possible to exploit synergies between domestic regional development policies and EU cohesion policy. Those are countries where the subnational level plays a crucial role in both domestic and European perspectives (e.g. France and Poland) and/or that are characterised by mature comprehensive integrated spatial planning systems (e.g. Germany, The Netherlands, Sweden). A similar situation also exists in Member States that have traditionally utilised a land use regulation approach to spatial planning, where the central and the local level both play important roles in promoting territorial development (Ireland, United Kingdom and Belgium).

On the other side, there are countries in which, despite the strong regionalization of EU cohesion policy management, the exploitation of development synergies is less immediate due to the peculiar characteristics of the traditional spatial planning system. This is the case in the Mediterranean countries of Italy, Spain and Greece, where different governance approaches and less mature spatial planning systems pivoted around the urbanism approach leaves a gap in vertical and horizontal coordination between levels and sectors. Here Portugal is an exception, as the EU cohesion policy is indeed partially managed at the regional level, while simultaneously being influenced by central government in the definition of development priorities. This may be a direct consequence of the country's spatial planning tradition, which is often more associated with the regional economic approach than to the Mediterranean urbanism approach.

An additional group comprises the three Baltic States, Cyprus, Malta, Luxembourg, Slovenia and Croatia, where cohesion policy is managed centrally through a specific National OP. The same situation applies to Denmark. In these contexts, the successful promotion of regional development is mostly an issue of coordination between national and local priorities. Here, the subnational level is either non-existent or is not constrained between the other two. In this case, the quality of governance and the maturity, and integration, of the country's spatial planning system contribute to favouring the required coordination. A similar situation exists in those countries that eventually ended up renationalising these competences, despite various attempts during the 1990s and 2000s to create a subnational level in which to delegate the management of regional development through both domestic and EU funds (Hungary, Czech Republic and Slovakia). Romania and Bulgaria, which entered the EU in 2007, continue with a centrally managed cohesion policy. Despite various efforts, they have not yet succeeded in developing autonomous meso-level institutions. It can be observed that most of these countries have a strong mono-centric character, with a main capital centre that dominates, in terms of population and economic development, in all issues that contribute to influencing the development trajectories of other regions.

Figure 3: Regional governance regimes in Europe (preliminary).



Source: authors

A last group comprises those nations that, while presenting good quality of governance in most of the analysed fields and being characterised by mature spatial planning systems of a comprehensive integrated nature, decided to renationalize the management of EU cohesion policy in the recent programming period. In the case of Austria, the development of a national OP for the distribution of European Regional Development Funds (ERDF) has been negotiated with Austria's Lander, in so doing allowing for the exploitation of synergies between domestic and EU cohesion policy priorities. On the other hand, Finland traditionally features a less strong regional level, and in this context the renationalization meant a further weakening of the EU cohesion policy priorities.

Be that as it may, it should be mentioned that both countries feature regions whose level of development is over 90% of the EU average and therefore do not fall under the Cohesion objective and have access to limited funding compared to cohesion countries.

Finally, for the sake of completeness, it should also be mentioned that the so-called ESPON space includes four countries, Iceland, Liechtenstein, Norway and Switzerland, not taken into account in this last part of the analysis as they are not part of EU cohesion policy. Whereas Switzerland has a federal character and a spatial planning system with comprehensive integrated features, Iceland and Norway are generally classified together with the other Nordic countries regarding governance features and spatial planning characteristics.

#### ***4.4. Implications for the development of the project***

The proposed preliminary overview of regional governance regimes in Europe is by no means exhaustive and mostly aims at setting the stage for the future case study analyses that will be developed by the ReSSI research team in the months to come.

In this light, it is particularly relevant to highlight that the four case studies that lie within the scope of the project belong to countries that present very different characteristics. First of all, each country can be associated, although not unequivocally, with one of the four different spatial planning traditions proposed by the Compendium (Denmark: comprehensive integrated; Portugal: regional economic; United Kingdom: land use regulation; and Italy: Urbanism). Moreover, according to the governance typology produced by ESPON TANGO, they belong to different clusters of nations and therefore are characterised by different levels of quality of governance (Denmark: I; United Kingdom: II; Portugal: IV; Italy: V). Similarly, regarding the governance of the EU cohesion policy, Italy is the only country that manages this through directly elected regional administrations; whereas United Kingdom and Portugal uses a territorial subdivision whose action strongly depends on the central level, and Denmark always managed EU cohesion policy centrally.

The described heterogeneity is surely promising in terms of the possibility to discover elements of interest through the case study analyses. One should however notice that, at the same time, it may constitute an obstacle in terms of good practice sharing, and its transferability should be carefully explored vis-à-vis the specific governance specificities where a peculiar practice has emerged.

## **5. Initial outline of opportunities and challenges arising for cities and regions**

### ***5.1. Crisis and austerity policies impacts on cities and regions***

Challenges and opportunities for cities and regions have arisen from a number of drivers, resulting from changes in the economy and society, but also triggered by the 2008 financial crisis. In addition, there are sectoral challenges and opportunities with distinct territorial impacts from the point of view of cohesion and sustainability. These challenges and opportunities for cities and regions are discussed in this section with a focus on existing governance regimes, the 2008 financial crisis and subsequent austerity policies in Europe.

Space and place are the missing elements in the explanations and narratives of the 2008 financial crisis and the austerity policies which transformed daily life across cities and regions in Europe. The diverse economic structures and social composition of cities and regions help explain the different crisis and austerity outcomes observed across a wide range of spatial scales (Cotella et al., 2016). For example, those residential areas with concentrations of low-skilled workers and poorer, less educated, or ethnic minority populations are amongst the most affected by the austerity measures, aggravating social–spatial segregation at city level (Donald et al., 2014).

The first responses to the crisis were dominated by neoliberal policies, translated into austerity measures which aggravated social inequalities in cities, especially in the European periphery. The

impact of austerity is also associated with a dependent and fragile insertion in the Eurozone, culminating in bailout programmes across the Eurozone periphery as of 2010-11 (Hadjimichalis and Hudson, 2014; Rodrigues and Reis, 2012; Vale, 2014). These authors argue that the brunt of structural adjustment programmes attached to the bailout agreements illustrate the North–South divide in the EU.

These crises also impacted on building cycles and are thus reshaping housing markets. Evidence suggests that regions which were more dependent on real estate and construction activities, more specialized in public services and with significant incidence of long-term youth unemployment suffered more than other regions (Ferrão, 2013; Méndez, 2013). And yet, there is an opportunity for large cities to better coordinate urban expansion and achieve more sustainable growth compared with past decades, especially in Southern Europe (Salvati et al., 2016). Conversely, cities are also developing new optimistic narratives, which champion new, post-industrial strategies as a way out of the crisis. Most of the latter strategies are based on mega-projects that tend to polarize communities or depreciate rapidly, while the former urban strategies pursuing sustainable, inclusive and smart growth require debate, participation and institutional collaboration balancing public and private realm considerations at the local scale (Huston et al., 2015).

## ***5.2. Challenges and opportunities for cities and regions and governance regimes***

The effects of the 2008 financial crisis highlighted the relevance of the study of governance regimes, as they reflect the distinct forms of designing and delivering policy in the present context of privatisation and financialisation of public action. However, lack of funding, political fragmentation and institutional fragilities all challenge attempts at promoting sustainable, inclusive and smart growth.

Crisis effects have resulted in significant changes to the composition of public expenditure in some Member States, especially in Southern Europe. Simultaneously, regional and local authorities have expanded their action over time, and are responsible for a large share of public expenditure (Dijkstra et al., 2014). This confirms the increasingly important role of local and regional actors in the implementation of place-based approaches to development. Nevertheless, there are distinct effects depending on the institutional model. In particular, it can be noted that sub-national levels of government tend to be more important in federal states like Austria, Belgium and Germany, or in countries like Spain and Sweden where there is high degree of decentralisation. On the other hand, less effective governance systems and low levels of institutional capacity constrain the effectiveness of the Cohesion Policy, both directly (slowed down investment leads to funding losses) and indirectly (weak or bad coordination between actions) (Dijkstra et al., 2014; ESPON and Politecnico di Milano, 2012; Rodríguez-Pose and Garcilazo, 2015).

The variegated responses to the economic crisis across cities show how differently local political processes unfold at city level (Holgerson, 2015). Challenges and opportunities for cities and regions have had two main drivers: On the one hand, there are those arising from changes in politics, economy and society; and on the other, those triggered by the impacts of the economic crisis itself. Moreover, these challenges and opportunities are intrinsically related to the governance regimes discussed in the previous section. Table 5 identifies some of the main challenges and opportunities, according to a range of different dimensions of analysis. Those linked with territorial development are especially relevant for the context of the ReSSI project. These include the design and implementation of better regulation; better access to funding; and better-developed opportunities for knowledge-sharing. From the point of view of governance the most important challenges and opportunities are linked to improving institutional capacity, economic efficiency, competitiveness, inclusion and sustainability.

Table 5: Challenges and Opportunities for Cities and Regions

Governance dimensions	Challenges	Opportunities
<p><b>Regional and urban policy and decision-making process</b></p>	<ul style="list-style-type: none"> <li>- EU integration and the growing interdependence of regions</li> <li>- The need of city authorities to act within complex and dynamic multilevel governance landscapes and different functional territories involving actors who operate at different levels and domains, as well as across the remit of public and private authority</li> <li>- The lack of trust on multilevel governance structures and post-political governmental techniques</li> <li>- Weaknesses of regional bodies in some countries (budget, staff) and/or lack of political legitimacy</li> <li>- The decline of public investment (local governments) in a context of crisis and austerity affected</li> <li>- Territorial cohesion and efficient coordination of different sectoral policies, actors and planning mechanisms</li> <li>- The need to shift governance structures to metropolitan scale (e.g. to match labour, housing markets and mobility)</li> </ul>	<ul style="list-style-type: none"> <li>- Increase cooperation with European institutions and stakeholders, including intergovernmental organisations</li> <li>- Ensure better access to and utilisation of European funds</li> <li>- Improve decision-making processes in cities and regions</li> <li>- Enhance the provision of services at a functional scale</li> <li>- Modernisation of public administration</li> <li>- Local authorities play a strong policy role and can deliver efficiently territorial policies</li> <li>- Local authorities have significant powers to govern the domains of land-use planning, energy provision, transport, waste and water services</li> <li>- Enhance the urban knowledge and sharing of best practices and develop common methodologies between cities and regions to foster territorial cohesion</li> <li>- Develop experimental approaches to integrated local development in diverse territorial contexts, involving regional and local actors in the programming process</li> <li>- Deepen involvement/participation of civil society and stakeholders to improve regional and urban policies</li> <li>- Reform public-private partnership agreements (substantial reform of legal / financial systems, define the role of the public sector, institutional capacity building at all levels, coordination with NGOs, consumer associations, public)</li> </ul>
<p><b>Economic development, smart growth and competitiveness</b></p>	<ul style="list-style-type: none"> <li>- Increased exposure to globalisation: structural changes after the global economic crisis</li> <li>- Energy challenges come to the fore and threaten regional competitiveness</li> <li>- Changes in the geography of employment and unemployment caused by the crisis and the governments' responses to it</li> <li>- Middle and low-income cities face stiff competition from lower cost locations, lack the resources to upgrade into value added activities and have more difficulty to retain talented young population</li> <li>- Transition to low carbon economies</li> </ul>	<ul style="list-style-type: none"> <li>- Globalization creates conditions to firms to enter new and expanding markets and access new sources of finance and technology. Consumers have been able to access a greater variety of goods at lower prices.</li> <li>- e-Government and public e-Tendering can improve the ease of doing business and reduce costs</li> <li>- Adjust strategies and programmes to the specificities of cities and regions</li> <li>- Cities provide better infrastructure and very good quality institutions and can deliver higher economic growth, favour business environment and innovation (introduction of new ideas, products and processes) and</li> </ul>

	(LCE)	<p>underpin higher economic growth and job creation and knowledge dynamics</p> <ul style="list-style-type: none"> <li>- Digital technologies create new opportunities for participation or more transparency and accountability in political decision-making</li> <li>- Digital opportunities: time savings, reduced emissions, better use of assets, collaboration across stakeholders</li> <li>- Transition to LCE can become a strong driver of job creation, social justice, with the engagement of governments, stakeholders and organisations</li> </ul>
<b>Societal changes, demography and inclusion</b>	<ul style="list-style-type: none"> <li>- Dropping of public investment relative to GDP with significant effects on the deterioration of the quality of social services</li> <li>- Income disparities, inequality and poverty that put at risk EU economic future, as well the common political perspectives</li> <li>- The increase of poverty and social exclusion rates in most cities (due to economic crisis/austerity measures)</li> <li>- High housing costs (in countries most affected by the crisis) with a strong impact on more vulnerable groups</li> <li>- High vacancy rates and abandoned properties and negative equity</li> <li>- Reduction of labour mobility in result of the populist wave override Europe</li> <li>- The rise of the multitude of individual needs and livelihood needs (labour-participation, access to education and other aspects)</li> <li>- Ageing society</li> <li>- Migratory influx to EU countries, in favour of urban areas</li> </ul>	<ul style="list-style-type: none"> <li>- Better economic opportunities for non-EU born in cities, as well as immigrant as labour force for urban areas</li> <li>- Cities provide better education and training which have a positive impact on finding a job, increasing productivity and boosting civic participation</li> <li>- Participative planning can make safe, attractive and inclusive public spaces, ensuring equal access to high-quality public services and provide public transportation at low cost to the working poor</li> <li>- Adaptive solutions for the provision of services in a new context of social security systems</li> </ul>
<b>Mobility</b>	<ul style="list-style-type: none"> <li>- The reduction of GHG emissions is not sufficient to reach the EU targets (higher motorisation rates over the past 20 years and cars technological improvements alone are unlikely to secure alone the 40% of CO2 reductions by 2030, relative to 1990)</li> <li>- Not enough quality and availability of time series data for mobility and transport for cities, commuting zones and rural areas</li> <li>- Market failures: traffic congestion (the most visible urban transport problem experienced on a daily basis)</li> </ul>	<ul style="list-style-type: none"> <li>- No single solutions, the need for integrative planning and mixed actions for tackling EU mobility ambitions</li> <li>- Advantage of city authorities to play a crucial role to a shift to lower carbon mobility modes by: 1) facilitating soft (walking, cycling) transport modes (infrastructure improvements, new lines, adequate network size and density, more links between modes) and public transport (hubs; frequency, accessible); 2) congestion pricing; 3) promoting low-carbon mobility; 4) providing availability of parking</li> </ul>
<b>Environmental changes</b>	<ul style="list-style-type: none"> <li>- The geographically diverse impacts of climate change and environmental</li> </ul>	<ul style="list-style-type: none"> <li>- Adapt to climate change (with nature-based solutions to respond to a range of</li> </ul>

	<p>risks</p> <ul style="list-style-type: none"> <li>- Cities climate adaptation planning is not as advanced as mitigation planning (e.g. carbon neutrality)</li> <li>- Loss of biodiversity, vulnerable natural, landscape and cultural heritage</li> <li>- Air pollution (O3, NO2, PM2.5) levels remain problematic (for human exposure) and exceed EU standards in many cities (a failure market: many of these sources cross local administrative boundaries and national boundaries, which limits the extent to which local action alone can reduce these concentrations)</li> <li>- Low carbon economy or decarbonised economy to protect biodiversity, protect local livelihoods, reduce poverty</li> </ul>	<p>issues from flood risks and heat waves, to energy consumption and the promotion of health and well-being)</p> <ul style="list-style-type: none"> <li>- Focus on higher neighbourhood densities conducive to less congestion and pollution as well as more efficient use of land and services</li> <li>- Profit from the EU action plan that aims to promote more efficient ways of producing and consuming (cities can play an important role by promoting local production for local consumption)</li> <li>- Cities' mayors active role in the response to climate change: the establishing of transnational networks such as the Covenant of Mayors and Mayors Adapt</li> <li>- Take advantage of EU Adaptation Strategy to support adaptation in cities, through the Covenant of Mayors initiative; European climate adaptation platform (Climate-ADAPT)</li> <li>- Profit from the connective technologies for addressing matters of climate change: 'smart city' and 'smart urbanism' initiatives</li> <li>- Combine ICT with energy and transport management to provide solutions to the environmental, societal and health challenges facing European cities (European Innovation Partnership for Smart Cities and Communities)</li> <li>- Smart City initiatives, using urban sensors, urban living labs</li> <li>- Design and implement low emission development strategies (LEDS) to protect biodiversity, protect local livelihoods, reduce poverty</li> </ul>
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Source: authors

In relation to the challenges and opportunities linked to the creation of conditions for economic and technological development, cities can promote the use of innovative technologies to foster inclusion and wellbeing, as well as promoting smart growth. This has the added advantage of frequently resulting in lower levels of resources and energy usage, thus contributing to the European sustainability goals. Cities are increasing investment in energy efficient infrastructure development, in areas such as mobility and housing, which can deliver positive social impacts and generate 'green' jobs and new businesses. Some of these follow the principles of 'open innovation', exploring niche markets and promoting innovative social institutions. Well governed and managed cities focus on more inclusive innovation, aiming at spreading the benefits of economic development to the least affluent sections of the population. Hence, cities provide many opportunities for sustainable, inclusive and smart growth.

The main challenges and opportunities, operating in tandem with each other and across various spatial scales, include:

- Increased exposure to globalisation: structural changes after the global economic crisis;
- Challenges of EU integration (and disintegration), and the growing interdependencies of regions;

- Challenges to achieve more inclusive innovation (involving more actors in the process – scientists, entrepreneurs, users, governments and civil society);
- Diverse demographic and social challenges, including segregation of vulnerable groups;
- Climate change and environmental risks: geographically diverse impacts;
- Energy challenges come to the fore and threaten regional competitiveness;
- Loss of biodiversity, and vulnerable natural, landscape and cultural heritage.

The crisis and the austerity policies are powerful changing drivers of governance regimes. The post-crisis governance regimes range from those characterised by neoliberal orientations to those shaped by social movements, often organised via social media. For example, current UK urban policies are investment-oriented and growth-focused, showing less concern with community development, reflecting the neoliberal logic. In contrast, governance regimes with a strong presence of social movements and citizen platforms emerged in a number of European cities. These counteract austerity and become an alternative voice of citizens, entering local governments and influencing urban governance debates aiming at reducing inequalities, such as in Madrid or Barcelona (Pérez et al. 2016). According to these authors, these social movements are rebalancing municipal budgets and benefiting peripheries at intra-metropolitan scales.

The variegated nature of political priorities and governance regimes across the EU influence the ability to promote sustainable, inclusive and smart growth, but also the ways in which cities and regions explore opportunities and overcome threats. In this preliminary overview, it is important to mention that great societal challenges, such as economic competitiveness, social inequality, migration, ageing, energy efficiency and climate change (Table 5) cannot all be solved at regional level. Moreover, the growing interdependency of regions requires city authorities to act within complex and dynamic multilevel governance landscapes and different functional territories, involving actors who operate at different levels and domains, as well as across the remit of public and private authority. Addressing this growing complexity is made more challenging by budgetary cuts and austerity. In many cases, the solution is to create new post-political institutions, whose problems of political legitimacy are an important weakness when it becomes necessary to justify certain policy options (Swyngedouw, 2009).

However, new opportunities are also emerging. Increasing cooperation among European institutions and stakeholders, including intergovernmental organisations, is necessary to improve efficiency, decision-making processes and to coordinate actions to deliver smart, inclusive and sustainable growth. Notably, cooperation is needed to enhance the provision of services at a functional scale (rather than an administrative one), including experimental approaches to integrated local development. In this process, local authorities have significant powers to govern the domains of land-use planning, energy provision, transport, waste and water services and can team-up and scale-up these services more efficiently to the population. Private actors are also relevant stakeholders and willing to participate through public-private partnership agreements or other institutional arrangements that unleash creativity and innovation. Such arrangements offer the opportunity to deepen the involvement and participation of civil society, ensuring a more inclusive economic development.

## 6. Conclusion and next steps

This Inception Report has elaborated the specification, framework and approach for the study of Regional Strategies for Sustainable and Inclusive Territorial Development (ReSSI). It has detailed the project's knowledge needs, and presented the conceptual and methodological frameworks to address them. It has also set out a first analysis of existing results which are of relevance to the project – namely, first overviews of planning regimes in Europe, and of opportunities and challenges for European regions.

The next step of the project will consist of undertaking the empirical work, analysing each of the case studies in the territories involved. In preparation for this, the research team will develop a common case study template, based on the research issues and theories identified by this Inception Report, and on discussions with the stakeholder regions.

The detailed work plan for the next phase of the project is presented in Annex 1.

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# ANNEXES

Annex 1: Detailed work plan, phase 2

	T+1	T+2	T+3	T+4	T+5	T+6
<b>Inception delivery (D1)</b>						
<b>Produce case study template</b>						
<b>Meeting 2 (Lisbon)</b>						
<b>Research ethics approval</b>						
<b>Collect secondary data</b>						
<b>Institutional mapping</b>						
<b>Interviews</b>						
<b>Participant observation</b>						
<b>Initial data analysis</b>						
<b>Interim delivery (D2)</b>						
<b>Meeting 3 (Copenhagen)</b>						

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