

ESPON Project 2.3.2

Governance of Territorial and Urban Policies From EU to Local Level

THIRD INTERIM REPORT



The present Third Interim Report of the ESPON Project 2.3.2 is a team effort of all project partners under the leadership of the University of Valencia.^(*)

- AUREX, Bratislava, Slovakia
- Bulgarian National Centre for Regional Development, Bulgaria
- CUDEM- Center for Urban and Environmental Management, Leeds Metropolitan University, United Kingdom
- Cyprus Association of Town and Country Planners, Cyprus.
- ETH Zürich - Institute for Territorial Development and Landscape planning, Switzerland
- Faculty of Maritime Studies and Transportation. University of Ljubljana, Slovenia
- GEOMEDIA, Estonia
- IGEAT ULB - Institut de Gestion de l'Environnement et d'Aménagement du Territoire, Université Libre de Bruxelles, Belgium
- IGIPZ PAN - Geographic Institute, Polish Academy of Sciences, Poland
- INCD Institute for Urban and Regional Planning of Bucharest. Urban Proiect, Romania
- IRPUD – Institute fuer Raumplanung, University of Dortmund, Germany
- MCRIT, Spain
- Monitoring and Control Department, State Regional Development Agency, Latvia
- MRI - Metropolitan Research Institute, Hungary
- Nijmegen School of Management, The Netherlands
- NORDREGIO - Nordic Centre for Spatial Development, Sweden
- NTUA – National Technical University of Athens, Greece
- POLITO, Politecnico di Torino, Dipartimento Interateneo Territorio, Italy
- Spatial Planning and Regional Development Division, Department of Territorial Planning, Urban Development and Architecture, Ministry of the Environment, Lithuania
- UMR Géographie-Cités, University Paris 7, France
- Universidade de Porto, Departamento de Geografia, Portugal
- University of Graz, Austria
- University of Malta, Malta

^(*) Alphabetic order by names or titles of the institutes or companies

This report represents the final results of a research project conducted within the framework of the ESPON 2000-2006 programme, partly financed through the INTERREG programme.

The partnership behind the ESPON programme consists of the EU Commission and the Member States of the EU25, plus Norway and Switzerland. Each partner is represented in the ESPON Monitoring Committee.

This report does not necessarily reflect the opinion of the members of the Monitoring Committee.

Information on the ESPON programme and projects can be found on www.espon.lu

The web site provides the possibility to download and examine the most recent document produced by finalised and ongoing ESPON projects.

ISBN number:

This basic report exists only in an electronic version.

© The ESPON Monitoring Committee and the partners of the projects mentioned.

Printing, reproduction or quotation is authorized provided the source is acknowledged and a copy is forwarded to the ESPON Coordination Unit in Luxembourg.

ESPON Project 2.3.2
Governance of Territorial and Urban
Policies From EU to Local Level

Third Interim Report

Foreword

This third interim report (TIR) includes the preliminary results of the project, "Governance of Territorial and Urban Policies from EU to Local Level". According with Lillehammer Guidance Paper orientations for Final Reports this third report is structured in two parts. The first part (chapters 1 to 6) present a Summary which includes the following sections: main concepts, methodologies, typologies and indicators developed, a report on networking undertaken with other ESPON projects and on cooperation among TPG members, as well as a synthesis of work done in working packages developed between SIR and TIR. Special attention is paid to methodological issues, and most specifically to TIA and integration between qualitative and quantitative methods. Part two comes across advances regarding refining National Overview results in an attempt to form a clearer picture of the institutional structure in spatial planning -both, urban and territorial policies- and of the trends towards a governance culture, and to single out governance practices that are being used in the countries covered in the project. The variables, which in our view were worth investigating in the national overviews were: Styles of planning, Spatial planning-devolution powers, Traditions of Spatial Planning, Citizen participation in Spatial Planning, Forms of cooperation (horizontal and vertical) and Cross-border and Trans-frontier cooperation. This task has been developed by NTUA and the University of Valencia teams.

The following chapters completing this TIR present the results from the exploitation of Case Studies elaborated by TPG of National teams. Chapter 8 on data and indicators to assess governance in urban and territorial policies, developed by IRPUD, exploits the numeric parts of Case Studies and offer a set of preliminary results regarding vertical relations and outcomes, failures and success of governance processes. Also based in the Case Study, the following chapters – developed by Nordregio, IGEAT and Nijmegen School of Management- that complete this TIR offer first results of a governance trends analysis which is still ongoing. The structure of this part of the TIR follows the analytical framework proposed by IGEAT and Nordregio and finally discussed by the core team of the project. As we deal here with territorial governance, we will enter the case studies analysis through type of territory: trans-national, national, polycentric, metropolitan areas, urban-rural and intra-urban. The task of analysis of governance trends and the definition of indicators of successful governance and possible models of

governance is still uncompleted and will follow in the next Final Report at the end of the 2.3.2 project.

Table of Contents

I	Part One: Summary	14
1	Main concepts	15
2	Methodology	15
2.1	Territorial Impact Assessment of Governance of Territorial and Urban Policies.....	16
2.2	Articulation between quantitative-qualitative methods and data	21
2.3	Methods in ESPON Project 2.3.2. Steps until now.....	24
3	Typologies	27
4	Indicators used/developed	27
5	Cooperation with other ESPON projects and TPG members..	28
6	Overview of working packages	29
6.1	Overview WP2	29
6.2	Overview WP3	31
6.3	Overview WP4	31
6.4	Overview WP5	32
II	Part Two: Results of the project	35
7	Classification based on National Overviews (WP2)	36
7.1.	Styles of Planning	36
7.2	Spatial planning-devolution powers	43
7.3	Traditions of Spatial Planning	48
7.3.1	<i>Styles of Spatial Planning and their relation to the spatial key issues</i>	53
7.4	Citizen participation in Spatial Planning	58
7.5	Forms of co-operation (horizontal and vertical).....	64
7.6	Cross border and trans-frontier cooperation	66
8	Data & Indicators to assess governance in urban and territorial policies	75
8.1	Introductory remark	75
8.2	Data on governance – ESPON DB, Eurostat, Eurobarometer.....	76
8.3	National Overviews.....	78

8.4	Case Studies – constructing a sample.....	83
8.5	Numeric Parts.....	88
8.5.1	<i>Evaluation of T2.....</i>	90
8.5.2	<i>Vertical relations – degree of involvement.....</i>	91
8.5.3	<i>Vertical relations – Competences.....</i>	94
8.5.4	<i>Vertical relations – Negotiating power.....</i>	96
8.5.5	<i>Vertical relations – financial resources</i>	99
8.6	Evaluation of T9.....	102
8.6.1	<i>Outcomes.....</i>	103
8.6.2	<i>Failures and Success.....</i>	106
8.7	TIA	109
9	From the Case Studies to the Analytical Framework.....	112
9.1	Case studies – an overview.....	112
9.2	Case study synthesis - methodological considerations	115
9.3	Case study synthesis – pilot studies	116
9.4	Case study synthesis – aspiration	127
	Bibliography	129
	Annexes	130
A-1	Guidance for classifying information from national overviews	131
A-2	Data and Indicators	138
A-3	Pilot Studies - Transnational level	156
A-4	Pilot Studies – Metropolitan areas	189
A-5	Pilot Studies - Innovative and/or interesting tools, practices and mechanisms.....	198
	Figures	
2.1	Combining Types of Data and of Analysis	22
2.2	Combining Qualitative / Quantitative Approaches	23
2.3	Types of indicators/criteria	23
6.1	WP5 in the time table for ESPON Project 2.3.2	33

7.1	Spatial Planning Styles in old 15 member States	52
7.2	Spatial Planning Styles in ESPON 29 Space	52
7.3	Dominating key spatial problems	53
8.1	Partnership Formation (NR): Catalysts	81
8.2	Partnership Formation (NR): Barriers	82
8.3	Priority Emphasis on Governance Objectives (NR)	83
8.4	Proportion of Completed Tables	89
8.5	NA T2 – Proportion of Entries by Territorial Levels (in %)	90
8.6	Degree of Involvement by Territorial Levels, all Case Studies (T2; n=139)	92
8.7	Degree of Involvement - Trans-national, Cross-border Case Studies (T2; n=27)	92
8.8	Degree of Involvement - Regional Polycentric Urban Networks (T2; n=23)	93
8.9	Degree of Involvement by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies (T2; n=45)	93
8.10	Degree of Involvement by Territorial Levels - Urban-rural Case Studies (T2; n=33)	93
8.11	Degree of Involvement by Territorial Levels - Intra-city Case Studies (T2; n=7)	94
8.12	Competences by Territorial Levels, all Case Studies (T2; n=139)	94
8.13	Competences by Territorial Levels - Trans-national, Cross-border Case Studies (T2; n=28)	95
8.14	Competences by Territorial Levels - Regional Polycentric Urban Networks Case Studies (T2; n=23) ..	95
8.15	Competences by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies (T2; n=44) ..	96
8.16	Competences by Territorial Levels - Urban-rural Case Studies (T2; n=33)	96
8.17	Negotiating Power by Territorial Levels, all Case Studies (T2; n=140)	97
8.18	Negotiating Power by Territorial Levels - Trans-national, Cross-border Case Studies (T2; n=28)	98
8.19	Negotiating Power by Territorial Levels - Regional Polycentric Urban Networks Case Studies (T2; n=23) ..	98
8.20	Negotiating Power by Territorial Levels - Functional Urban Areas,	99

	Metropolitan Regions Case Studies (T2; n=44)	
8.21	Negotiating Power by Territorial Levels, Urban-rural Case Studies (T2; n=33)	99
8.22	Financial Resources by Territorial Levels, all Case Studies (T2; n=137)	100
8.23	Financial Resources by Territorial Levels - Trans-national, Cross-border Case Studies (T2; n=28)	100
8.24	Financial Resources by Territorial Levels - Regional Polycentric Urban Networks Case Studies (T2; n=23) ..	101
8.25	Financial Resources by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies (T2; n=44)	101
8.26	Financial Resources by Territorial Levels - Urban-rural Case Studies (T2; n=33)	102
8.27	Financial Resources by Territorial Levels - Intra-city Case Studies (T2; n=6)	102
8.28	Outcomes of all Case Studies (T9; n=45)	103
8.29	Outcomes of Trans-national Case Studies (T9; n=8)	104
8.30	Outcomes of Regional Polycentric Urban Networks Case Studies (T9; n=9)	104
8.31	Outcomes of Functional Urban Areas and Metropolitan Regions Case Studies (T9; n=13)	105
8.32	Outcomes of Urban-rural Case Studies (T9; n=11)	105
8.33	Outcomes of Intra-city Case Studies (T9; n=3)	106
8.34	Failures and Successes of all Case Studies (T9; n=45) .	106
8.35	Failures and Successes of Trans-national Case Studies (T9; n=8)	107
8.36	Failures and Successes of Regional Polycentric Urban Networks Case Studies (T9; n=9)	108
8.37	Failures and Successes of Functional Urban Areas, Metropolitan Case Studies (T9; n=13)	108
8.38	Failures and Successes of Urban-rural Case Studies (T9; n=11) ...	109
8.39	Synthetic Indicator Governance	111
9.1	Domains and features of Governance to be represented by indicators	128
 Maps		
7.1	Territorial co-operation figures at regional level with "bottom-up" orientation	71

7.2	Territorial co-operation figures focused to political, economical and social objectives	74
7.3	Territorial co-operation figures focused to spatial objectives	75
8.1	GDP/Public employees	77
8.2	Governance in urban and territorial policies	79
8.3	Case Studies Overview	84
8.4	GDP in Case Study Regions	86
8.5	GDP Development	87

Tables

6.1	Organization and Time Table of WP5	32
6.2	Analytical framework for Case Studies	33
7.1	Classification of characteristics determining style of planning	39
7.2	Cross-tabulation of characteristics determining style of planning and country distribution	41
7.3	Countries classification proposal according to Spatial Planning devolution-powers	47
7.4	Classification of spatial planning styles as distinguished in the European Compendium of spatial planning systems and policies ...	49
7.5	Classification of spatial planning styles based on the Compendium and the National Overviews	50
7.6	Common Spatial Problems in Spatial Planning Styles	54
7.7	Countries Classification Proposal on Forms of Cooperation	65
7.8	Cross-Border and Trans-Frontier Cooperation / Analysis of National Overviews	68
7.9	Classification of objectives of the analysed territorial co-operation figures	72
7.10	Objectives of each co-operation initiative	72
8.1	Elaboration of Governance indicator	80
8.2	Geographical Classification of Case Studies	89
8.3	Domains and Features of Governance represented by indicators ...	110
8.4	Data List	138
8.5	Numeric Approach: Overview	142
8.6	Statistical Data Sheet Case Studies	152

8.7	Case Studies	154
9.1	Revised version of analytical matrix for case study synthesis	127

I- PART ONE: SUMMARY

1. Main concepts

Until now, at the date of this TIR, no new main concepts different than those presented in the SIR has been developed.

2. Methodology:

Territorial Governance can be seen as a simple application in the urban and territorial field of general principles of governance or, in a more complex and interesting way, not only as a governance process applied to urban and territorial policies, but as a process with specific features because its object is the territory and its aims to regulate, to "govern", to manage territorial dynamics through the *pilotage* of a multiplicity of actors sharing a common agreed objective. As we refer to territorial governance, the target is the territory and the common objective an agreed spatial vision through a process of actors coordinating to develop social, intellectual and political capital. The process of territorial development should be based on a non destructive use of territorial specific features in order to improve territorial cohesion at different levels.

The challenge of governance is how to create new forms of integration out of fragmentation, and new forms of coherence out of inconsistency. This is particularly true in relation to territorial governance, if we consider its potential role in territorial cohesion. In other words, we consider *Territorial Governance as a way to improve Territorial Cohesion*.

We try to cover both perspectives in our project, however constraints of data, time and resources impose limits that only allows, in some cases, to find out hypothesis for future developments. The first one is easier to plan, studying the application in the urban and territorial fields of the different principles of good governance recognized in previous works and documents. The second one is more strategic but much more difficult to assess for which qualitative data and inductive methods can be very useful, even more because there is no available quantitative data base, as explained below.

The classic methodology would be to have a synthesis and to test it building a theoretical framework. Whereas deductive reasoning begins with the idea using the data to confirm or negate the idea (hypothesis testing), inductive reasoning uses the data to generate ideas (hypothesis generating). In this sense inductive methods tend to create more questions than to give answers. In actual practice however these two approaches are converging and many quantitative studies involve much

inductive reasoning, whereas qualitative analysis requires to be completed from the quantitative side. ESPON Project 232 falls into the latter¹.

An approach to methodology and the way to integrate qualitative and quantitative data and methods was presented in 1st ESPON Scientific Seminar held in Luxembourg (13-14 Oct.)², and after the Dortmund core team meeting (18 Nov.), an additional alternative to integrate both methods and National Overview results with Case Studies: through mapping national or regional characters from NO in order to typify territories where CS are, then translate these characters (yes/not) to a table and then analyse quantitatively which kind of characteristics are more or less present in each CS and each way of governance.

2.1 Territorial Impact Assessment of Governance of Territorial and Urban Policies.

The Territorial Impact Assessment (TIA) refers to the tool or procedure for assessing the impact of proposed spatial development activities to achieve spatial policy objectives or prospects for an area. In practice it should be able to identify:

- the positive and negative territorial effects of a policy, plan or programme
- the means to accentuate the positive effects, and reduce or avoid the negative ones

This process should be seen as an aid to decision-making, and at a European level should be undertaken for all proposals for the development of new pan-European research facilities to assess the likely effects and potential responses to these effects.

In this context *governance* represents a specific matter in the sense that it *is not a policy but a way of design and applies different policies* with territorial (and urban, also a territorial, local based in city spaces territorial scale) impact.

TIA can cover different scales and aspects of decision-making: at macro (the EU), meso (trans-regional, national) and micro (local/regional) scales. But in the case of territorial governance, it is necessary to consider interdependences: between levels (multi-level) and between departments and agency involved (horizontal or cross-sectoral); as well as the two phases of policy design and application.

¹ With unlimited resources quantitative analysis of qualitative data is really powerful. The main bottleneck is the coding of qualitative data to identify themes, attributes or event types.

² Farinós, J. (2005): "Territorial Impact Assessment of Governance of Territorial and Urban Policies in ESPON Space", 20 p.

Another additional question is *which level* is the more appropriate for territorial governance in relation with the territorial cohesion objective. Considering the close relations between territorial governance and territorial cohesion, it seems that the National level is a necessary scale. In fact it would be preferable to say *State level*, with the task of coordination among different levels lead by the national interest.

All these conditions make a specific consideration of TIA in the case of territorial governance necessary, also because of another important reason such as the unavailability of statistical data (see next section 2.2). The specific methodological form of the TIA will have to vary along the different information bases and subjects (Schindegger & Tatzberger, 2004: 416)³. Regarding the latter, assessment of governance of territorial and urban policies at all possible levels, present a very specific character because the nature of these policies and because governance is not a policy, but a way to design and apply (implement) policies. Appropriate information about the policy and the target territory in an adequate scale is the basic requirement for any kind of assessment, and again on this issue project 232 presents a particular situation. The situation of the 232 ESPON project regarding to TIA minimum requirements in accordance with the TIA manual is as follow:

Scoping
<p>(1) Reference to policy interventions</p> <p><i>Question to be answered: What is causing the impacts?</i></p> <p>Particular nature of governance subject (a process instead a policy) and territorial and urban policies (with obvious spatial impact).</p> <p>As point of departure it is assumed that principles of good governance have positive impact over a territory⁴.</p> <p>Also we assume these positive effects in the case of some specific territorial features and dynamics also as institutional frameworks of territorial and urban policies. It should also allow the recognition and assessment of factors that characterize good governance (prerequisites, "mechanisms"), and their possible "transferability" (transferability of conditions, but also transferability as the capacity of adaptation to solve specific territorial problems and help decision making).</p>

³ Schindegger, F. and Tatzberger, G. (2004): "Territorial Impact Analysis and its implementation", in ESPON 3.1 Final Report, part C, p. 396-411.

⁴ The principles are: effectiveness (appropriate level, proportionate decision), coherence (integration and involvement of regional and local power), accountability, participation (of all stakeholders) and openness, as well as the two concepts they are complementing: subsidiarity and proportionality.

(2) Hypothesis on cause-effect-relations

Question to be answered: What is changed by the intervention(s)?

The hypothesis is that good governance practices should improve territorial cohesion objective. We assume that good conditions and practices in territorial governance have a positive impact on cohesion (economic, social and territorial). The key challenge of territorial governance is to create the conditions that allow collective action. Those conditions are linked to the "territorial capital". In order to use and develop this territorial capital a key challenge of governance process is to create horizontal and vertical cooperation or coordination between various level of government (multilevel governance, vertical relations), between sectoral policies with territorial impact, between territories –neighbouring or not-, as well as between governmental and non governmental actors (multi-channel governance, horizontal relations), and to achieve integration and coherence between disparate responsibilities, competences and vision of territories, in order to help territorial cohesion in a sustainable way (non destructive use of territorial specificities).

Through CSs the project will analyse examples of governance practices and process from a double point of view: the vertical and the horizontal relations at work. We will take into account institutions and formal structures, but we will focus mainly on the understanding of relations and interconnections between levels and actors.

(3) Regional scale of observation

Question to be answered: Level of observation and analysis?

According to the terms of reference all levels, from EU to local.

Whereas the quantitative data (especially from ESPON DB and Eurostat) provide regionally differentiated information (though at various levels [N2, N3] and also with varying area coverage, e.g. situation in new and coming member states), this information does not give adequate answers to the questions under scrutiny in ESPON 2.3.2 project. In addition until now the qualitative (categorical) data from NOs only provide information for entire countries/states. We are working on ways to break these down to lower regional levels through CSs. We have asked CS authors to provide references at NUTS 3/2 level. These could serve as a sample for all other regions in Europe. Following from still to be defined characteristics, it may be possible to develop regional typologies which can then be used for further analysis.

Considering close relations between territorial governance and territorial cohesion a view from a national scale, *State level*, with a task of coordination among different levels leading by the national interest becomes necessary. This was the chosen scale for NOs in Working Package

2. CSs, however, in an attempt to find good and bad practices of territorial governance covering all scales, from transnational to local (see section 5).

(4) Reference to past and future

Cause-effect relations in the past as the basis for predicting the effects of future.

Questions to be answered: What has happened, what may happen in future?

How long does it take to detect a shift towards governance and the consequent effects? Point of departure for analytical description in NOs is 1999, that is after ESDP document publication. Initial year for collection of some specific statistical and non- statistical data in CSs is 1984 (following periods of five years from 2004 to the past).

Analysing

(5) Interventions and effects measured

Implementation of the hypothesis concerning cause-effect-relations.

Question to be answered: What is registered, measured, appraised?

Even though in this field of territorial governance it is difficult to affirm there are cause-effect-relations, or at least that those are clear, we consider general impacts of good governance in GDP/GVA, employment, welfare and public services (average of population receiving welfare support, specific service society) and sustainability (Local Agenda 21).

We try to find relations between:

- Changes in government in direction to governance and some Lisbon Performance indicators
- Five principles of good governance and some Lisbon Performance indicators
- Relations of good governance with: Economic, Social and Environmental indicators in order to test if governance practices are related more with one than other(s) -i.e. social and environmental than economic- or there are differences between territories: developed, lagging, intermediate...

However, we have to affront problems of area coverage, only limited data are available in time series, with different starting points.

(6) Quantitative / Qualitative appraisal

Designation of type of indicators selected.

Question to answer: By what kind of indicators the topic is described?

The analytical part will follow a quali-quantitative approach (see next section 2.2). At this moment for exploitation of result of NOs 'yes/not' test has been used for a first attempt of national classifications. Scoring (+1, 0,

-1) has been used in CSs to typify different issues and situations.

(7) Technique of analysis

Designation of type of analysis used

Question to be answered: How is the analysis performed?

Initially qualitative methods are used: NOs, CSs and classifying states and regions.

Quantitative treatment for numeric indicators and statistical data are expected in next stages (forthcoming exploitation of CSs and data collection results –since second half October 2005). Even though it is necessary to better define this, considered techniques are:

- *Multi-variate cluster analyses:* The data set will be used for carrying out multivariate cluster analyses, exploring the spatial patterns of territorial governance within EU 29. A result of this analysis could be the description of a number of typical, types of territories (e.g. relevance with respect to specific policies) with regard to their governance characteristics (e.g. “areas lacking integrative regional cooperation structures”, or “areas with weak horizontal cooperations”).
- *Multiple regression analyses:* Eventually, the various governance indicators will be entered in a series of regression analyses, differentiated according to territorial type (samples) and factors to be explained (dependent variables). The outcomes of these final analysis steps will allow assessing some of the pre-conditions and economic/social outcomes of individual governance features.

Assessing

(8) Goals referred to

What goals are referred to?

In the case of this project the clear goal is *Cohesion*, finally Territorial Cohesion:

- Economic: balanced territorial development concerning economic performance
- Social: balanced territorial development concerning employment, income, population change and life satisfaction
- Territorial: fair access for citizens and economic operators to services of general economic interest; balanced distribution of human activities.

As far as possible, we will also try to take in consideration the three main components for territorial cohesion according with ESPON Project 3.2 proposal: Territorial quality, Territorial efficiency and Territorial Identity.

Policentricity objective is also related with CS with three specific geographical scales: Regional Polycentric Urban networks, FUA-Metropolitan regions, and Urban-rural. A comparison and feedback with results coming

from previous ESPON Project 1.1.1 could be possible (its WP5 report of ESPON 1.1.1).

(9) Applied meaning of 'spatial/territorial'

Question to be answered: What concept of 'spatial/territorial' applied?

Mainly territorial. CS selected to cover a broad range of regions: Border Regions, Coastal, Peripheral, Large Metropolitan Areas, Rural, Rur-urban, Successful Rural Areas, Urban; as well as the six regional Types of Rural-Urban Spatial Patterns⁵.

(10) Territorial coverage of outcome

Designation of the general format of results

Question to be answered: What do the results look like?

In principle, our target is double:

- A selected sample of regions (CSs), telling histories on good practices and failures (benchmarking)
- These could serve as a sample for all other regions in Europe, translating these results to the whole European territory.

2.2 Articulation between quantitative-qualitative methods and data

There is no one way in which qualitative and quantitative methods can be combined. *Hybrid approaches* (cf. SCHREIER in press)⁶ comprise a number of phases, some of which are qualitative, others quantitative; all, however, are equally necessary for achieving the objective of the approach. In the case of *sequencing*, qualitative and quantitative methods are employed within one and the same study, although in different phases of the research process. The most common example would be a qualitative phase of data collection that is followed by a quantitative phase of data analysis (also is the case of ESPON Project 232).

Data are the basis for any assessment. If there is a lack of data, qualitative methods not only are useful but also essential. Neither data nor indicators directly addressing the questions under scrutiny in the

⁵ Regions dominated by a large metropolis, Polycentric regions with high urban and rural densities, Rural areas under metropolitan influence, Polycentric regions with high urban densities, Rural areas with small and medium sized towns, and Remote rural areas.

⁶ Schreier, M. (in press): "Qualitative methods in studying text reception". In Dick Schram & Gerard Steen (Eds.): *The psychology and sociology of literature. In honor of Elrud Ibsch* (pp.35-56). Amsterdam: Benjamins. (Taken from Fielding, N. & Schreier, M. (2001): Introduction: On the Compatibility between Qualitative and Quantitative Research Methods, *Forum Qualitative Social Research*, vol. 2, No. 1, 19 p. <http://www.qualitative-research.net/fqs-texte/1-01/1-01hrs-g-e.pdf>).

current ESPON 2.3.2 project are available in any previous and running ESPON projects. An additional specificity for this 2.3.2 ESPON project is related with data and indicators availability. The list of core indicators and typologies do not provide ready information needed for the current 2.3.2 project. Only with the help of some 'proxy' indicators and other derived quantitative data from qualitative methods ('yes'/'not' and scoring), this unsatisfactory situation might be solved. Impact assessment could rely both on *quantitative and qualitative*. That relates to the question of dominance or co-dominance, *integration, of both methods*. In this sense, the ESPON 232 project should necessarily be innovative (see figures 1.1 and 1.2).

Figure 2.1 Combining Types of Data and of Analysis

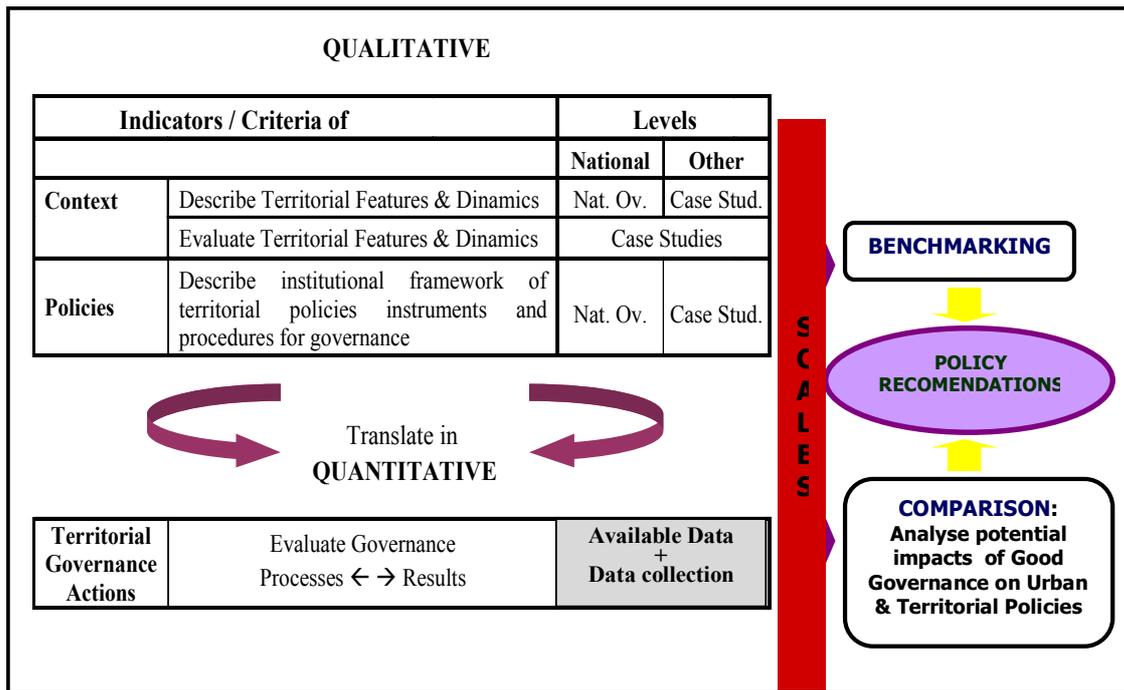
		Type of Analysis	
		Qualitative	Quantitative
Type of Data	Qualitative	Methods: Interpretation and thematic coding National Overviews + Case Studies Reports	<ul style="list-style-type: none"> Statistical analysis of text frequencies; 'yes-not' Scoring (-1/0/1)
	Quantitative	Data Collection in Case Studies Method: interpretation of statistical results	Existing indicators 'proxy' Method: Standard statistics (e.g. regression)

Source: Farinós, J. (2005). See foot note 2.

To describe existing governance systems at different spatial levels (national in the case of NOs, sub-national in CSs) and to evaluate the effectiveness of their actions (mainly at sub-national level, through CSs analysis) it is important to define indicators, data and criteria that refer to the appropriate level. Moreover, territorial governance should be seen as a process rather than a product and/or a joint of preconditions (context or structure). According to this, we can consider three types of indicators/criteria, each of which should be used for description and/or evaluation (see Figure 1.3):

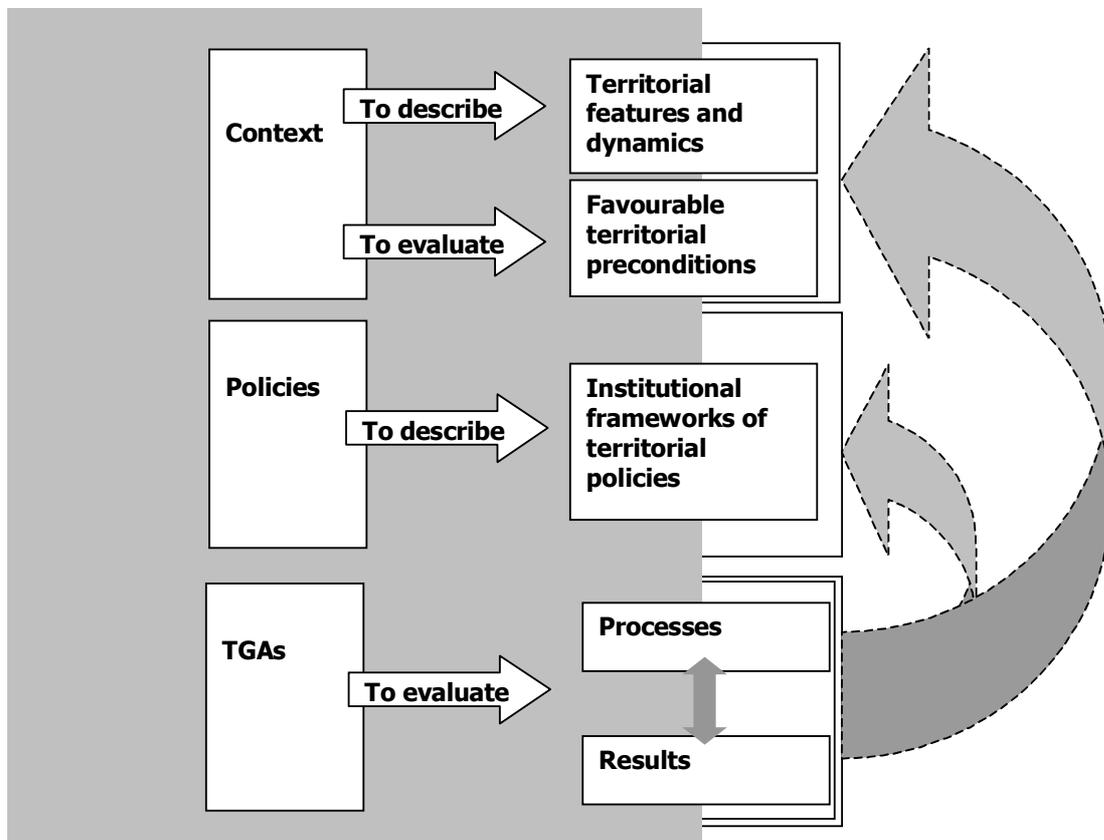
1. *Indicators and criteria of context*: to describe, at the national and sub-national levels, the general structural conditions, features and dynamics of the territory. To evaluate, mainly in CSs, favourable territorial preconditions to define and implement TGAs.

Figure 2.2 Combining Qualitative / Quantitative Approaches



Source: FARINÓS, J. (2005) : Luxembourg ESPON Seminar.

Figure 2.3: Types of indicators/criteria



Source: POLITO. In ESPON Project 232-SIR, p. 35.

2. *Indicators and criteria of policies* (both at national and sub-national levels) to describe institutional frameworks of territorial policies, instruments and procedures for governance
3. *Indicators and criteria of TGAs* to evaluate governance processes and results and their interaction at different levels: if the same processes produce the same or different results, or different processes the same results, and if it is because of other territorial characteristics.

We use NO for classify countries according different aspects on territorial and urban governance (Structure). We'll use this territorial classification (also including regionalisation) to characterize processes of governance (Process) coming from Case Studies. Situation of these CS will be translated to a table and then a statistical analysis will be developed. By combining the structural with the dynamic indicators we might at least achieve a typology of regions (see Figure 8.39).

2.3 Methods in ESPON Project 2.3.2. Steps until now

We use *inductive methods* instead of deductive methods. We follow these rules, because there is not enough theory yet. It is our task as a pioneering project to use the experience we are gaining as a source and base to help build the theory concerning governance and territorial cohesion. This project requires a certain amount of flexibility in this sense. However with the limited resources and time available we also have to follow a pragmatic path and will not be able to answer all questions.

Urban and territorial governance, or in other terms, the interpretation of urban and territorial policies as governance actions represent a very particular field of research because it depends on the specific character of each territory. In territorial matters correlations, or relations between cause and effect, could be re-interpreted. Certainly it is difficult to define an 'a priori' hypothesis, in the sense of cause-effect relations for a case such as governance. It is not possible, and even more not convenient, to 'encapsulate' governance 'a priori'. This particular condition, also as the objective of benchmarking in order to learn about reasons of good and failed examples and their possible transferability along ESPON space, makes an inductive/qualitative approach especially appropriate. From this point of view NOs and CSs constitute, as sequential steps, the way in which we try to know territorial governance in its three dimensions: as structure (or preconditions for governance), as process and as results.

The main source of data is qualitative data from NOs. NO Structure and its Guidelines were specifically designed in accordance with the Terms or Reference document, not only in order to collect the common information necessary to fill in the list of expected deliveries, but also in order to make a characterisation of situation at ESPON space (29 countries) and to test

the hypothesis of possibility and convenience of a review of *European Compendium of Spatial Planning* Document (ECSP). It was considered, as a premise, that an updated report of the actual situation on territorial governance was not available. We depart, so, from an unknown reality of each country that TPG members should try to scan, with a clear definition of objectives for this country based comparative research in order to extract some conclusions and try to find classification criteria.

28 National Reports⁷ were produced following a pre-determined structure in two parts (see 232 FIR, p. 86-90). Part I relates to Institutional Context (country profile, general institutional structure of government, the general system of governance – with a total of 10 sub-headings). Part II focuses on Territorial Governance (territorial competencies and responsibilities, cross-border and transnational cooperation, instruments for spatial planning and policies with territorial effects, processes for spatial planning, approaches for horizontal and vertical cooperation and coordination, final comments and CSs proposal –with a total of 26 sub-headings)⁸.

In order to be able to analyse and compare this vast amount of data (36 first level sub-headings) we need a system. Information from the NOs was exploited and organized in a systematized way, mainly through tabulation in semi-closed tables with limited alternatives for answers (see annex 1). As a result a Synthesis Report was elaborated and finally national information (tested in a second round with national writers) was placed by countries into a matrix (also circulate among TPG members). This matrix was the starting point to mapping (see map 8.2).

As we said, in this process a continued system of mutual assessment (near to investigator triangulation method) between TPG, Working Package responsible and project coordination followed. At this moment the question remains open of simplifying this amount of information to the main issues and then contrast for agreement following a Delphi method (closer to theory triangulation method) between 232 project, other related ESPON projects and national experts from ESPON Contact Points (ECPs)⁹.

⁷ Full ESPON29 space except Denmark, though it is until expected.

⁸ See ESPON 2.3.2 FIR, Chapter 4, p. 84-97.

⁹ "The *Delphi Method* makes use of a panel of experts, selected based on the areas of expertise required. The notion is that well-informed individuals, calling on their insights and experience, are better equipped to predict the future than theoretical approaches or extrapolation of trends. Their responses to a series of questionnaires are anonymous, and they are provided with a summary of opinions before answering the next questionnaire. It is believed that the group will converge toward the "best" response through this consensus process. The midpoint of responses is statistically categorized by the median score. In each succeeding round of questionnaires, the range of responses by the panelists will presumably decrease and the median will move toward what is deemed to be the "correct" answer". (Source: <http://www.ryerson.ca/~mjoppe/ResearchProcess/841TheDelphiMethod.htm>).

Investigator triangulation involves using several different investigators/evaluators in an evaluation project. *Theory triangulation* involves the use of multiple professional

However time and resources make this task difficult, as previous experiences in other ESPON projects show. In this sense next steps are concentrated on specific issues at this moment are considered as more consistent, while others remain to be pointed out as open questions to future developments.

In addition, good knowledge of national experts on each national situation was considered the best guarantee to propose a list of CSs with the condition of covering all geographical scales (transnational/cross-border, national, regional and local levels – intra-urban also as between city and its hinterland) and policy tradition styles (in fact all countries will be represented). In this sense TPG researchers in different ways became the instrument for data gathering: through qualitative analysis in NOs, proposing CSs in each country, developing CSs and collecting data through questionnaires and national data bases. This was the reason that ESPON 232 presents the broadest TPG, with a total of 24 national teams, a very particular feature in the ESPON programme.

In order to clarify the types of territories on which we will focus, and the main aspect of governance we are interested in, a matrix was elaborated (see 232 SIR p. 166). There each partner inscribed two case studies having in mind that they should define a maximum of four boxes in the matrix per case study. The selection of the CS, and the selection of the boxes should be explained in relation to their interest for the 232 project: example of successful or failed territorial governance, help to identify governance trends and prerequisites and to propose recommendations for better territorial governance. The template of guidelines (see guidelines for CS and Data Collection in 232 SIR p. 178-184 and tables 8.4 and 8.5 in the annex 2 of this TIR) includes all possible boxes, but depending on each case study only some subsections of the template have to be filled in.

If NOs allows description and hypothesis formulation, with the CSs we want to find some explanations or shed some light on the causes and the impact of 'good' governance in the field of urban and territorial policies, also as to identify regional typologies at EU level. As explained above, we use NO information, also those coming from CS, for characterize countries according different aspects on territorial and urban governance (*structure*). We'll use this territorial characterisation (also including regionalisation trends) to analyze *processes* of governance coming from Case Studies. The way to do this is through mapping national or regional

perspectives to interpret a single set of data/information. Unlike *investigator triangulation*, this method typically entails using professionals outside of our field of study; this time outside the project.

For more information can see Schwandt, T. A. (1997): *Qualitative Inquiry: A Dictionary of Terms*. Thousand Oaks, CA, Sage Publishing.

characteristics in order to typify territories where CS are located, then translate these characters (yes/not) to a table and then analyse quantitatively which kind of characteristics are more or less present in each CS and each governance practice.

3. Typologies

At this stage of the project maps reflecting territorial typologies have not been produced. They are expected for the Final Report following the pattern represented in Figure 8.39 of this TIR. First essays of classification at the national level derived mainly from NO. Typologies that were developed refer to *Styles of Planning* and *Traditions of Spatial Planning*, following the European Compendium of Spatial Planning (1997), this time for ESPON29 countries and trying to assess any kind of evolution or changes leading to one or more of the four styles ECSP document recognizes. Finally an attempt to relate styles of spatial planning with spatial problems has been made. In the case of *Spatial planning-devolution powers*, *Citizen participation in Spatial Planning* and *Cross border and trans-frontier cooperation* a definitive classification was not possible. In these cases classifications are drafted as initial hypotheses (without including a full list of 29 ESPON countries) if not as a simple inventory of situations (i.e. experiences of trans-national cooperation -see section 7).

4. Indicators used/developed

Following remarks on the last interim report made by CU the data and indicators has been organized using available guidelines (metadata description).

Gaps in data and indicators and experience with data collection have been constantly addressed. Here again the statement is repeated, that the CU/MA should consider in future ESPON rounds the specific collection of data and the generation of indicators for the various governance aspects. A general reservation has to be made, however: data and indicators in the field of governance are at best approximations and that the governance field cannot be assessed entirely on the basis of statistical data.

In all following steps the project will try to identify indicators in support of territorial cohesion making use of proposals coming from project 3.2 and results of next meeting on TIA next 13th January.

In WP3 data on various governance (or governance related) aspects have been collected over the past months. A complete list of data which will be included in the quantitative analysis is provided in annex 2 (see list in

Table 8.3). While doing this, data bases of ESPON, Eurostat, Eurobarometer and European Social Survey data base. These data will try to be used to generate a synthetic indicator to define typologies (see section 8.7).

At this moment the project still follows the approach outlined in FIR and refined in SIR regarding indicators (see Table 8.2). The starting proposed set of indicators are the following:

Domain		Principle of good governance
State		
ISS	Employment total, NACE L-P, Population, Budget figures. Qualitative side: TRUST 1 [includes World Bank surveys on legal system, government, national democracy, parties, parliament]	Effectiveness
ISP	Delta(*) for Employment, L-P, Population, budget figures. Qualitative side TRUST 2 [includes World Bank surveys on government effectiveness (only indicator available as time series and for 29 countries), regulatory quality, e-government contact for SME (both indicators have gaps, more than half of the countries show no data); internet users per household (ESPON Db)]	Effectiveness
Economy		
IES	GDP/GVA, HQ [head quarter function for MEGA, urban audit], Service Society (specific services). Data in part from ESPON Db or Eurostat – partly to be collected; problem of area coverage.	Effectiveness
IEP	Delta for GDP/GVA; delta for other indicators. Regulatory burden Index [NUTS 0]	Effectiveness Accountability
Civil Society		
ICSS	QUALI 1 to describe the current situation [with respect to spatial planning; data from NOs]	Participation Openness
ICSP	QUALI 2 [data from the Numeric Approach in the CSs]	Partic. / Open.
Space**		
ITS	<i>Pentagon, Polycentricity, Settlement Structure, FUA, Urban-rural typology – all ESPON Db – existing data; area coverage a problem.</i>	<i>Coherence</i>
ITP	<i>Lagging regions, multi modal accessibility, MEGA – all ESPON Db - existing data; area coverage a problem.</i>	<i>Relations</i>

(*) Delta valuates difference between two data or two reference points

** The indicators on spatial aspects are used to further differentiate the regional situation.

Source: IRPUD

5. Cooperation with other ESPON projects and TPG members

Working Packages responsible have been closely related between them and the Lead Partner, usually through e-mail, but also in different partial meetings in the context of Luxembourg and Manchester ESPON Seminars, the 1st ESPON Scientific Seminar and the SEEP ECP seminar held in Athens 16-17 October. For WP4 and WP5 a specific meeting was took place in the middle of October in Stockholm between IGEAT and Nordregio, and afterwards in Brussels where IRPUD also participated. Finally on the 18th of November a full core team meeting was held in Dortmund organizing tasks for the TIR.

The project has tried to closely co-ordinate its work with the other research projects and transnational project groups (TPGs) within the ESPON programme. This has been done in order to be able to cross-reference and share knowledge and data as it emerges. In particular, we have closely coordinated our work with the ESPON 2.3.1 project "Application and effects of the ESDP in the Member States" in order to coordinate the selection of case studies. If the same case study is chosen, different aspects and issues have been covered by the two projects, in the hope that the studies will complement each other. Thus, there has also been some collaboration on the development of the guidelines for both the country studies and the case studies. The analysis of both the national reports and case studies were however performed using two different frameworks.

The project has also maintained a close relation with other ESPON projects such as 2.4.2 and 3.3. In the first LP of 2.3.2 project has been directly involved, and some outputs (as some parts of 2.3.2 National Overviews) were shared. In the case of 3.3 contacts between respective LPs are close, and 232 will try to use some of its results on governance dimension, but overall some data that have already been collected for 3.3. Responsible of WP3 (Data & Indicators) in project 2.3.2 were already put in contact with 3.3 responsible, also with project 1.1.1 for relations between polycentrism and governance.

The project has undertaken its work in line with the common ESPON scientific platform. 2.3.2 LP has participated in the lead partner meetings organised by the ESPON Coordination Unit, the two ESPON Seminars in 2005, as well as in the 1st ESPON Scientific Seminar held in Luxembourg 13-14 October, where 2.3.2 contributed with a paper in 'Workshop B: Territorial Impact Assessments'.

6. Overview of working packages

6.1 Overview WP2: Classification based on National Overviews and other sources¹⁰

In the context of WP2, 27 National Overviews ¹¹ were analyzed and a full synthesis report was produced and partly included in the 2nd Interim Report. This report is now virtually complete. However, comments are

¹⁰ This analysis was carried out by NTUA both in the context of WP2 (typologies) and WP5 (practices of governance).

¹¹ A national overview for Denmark is not available. Material had been supplied on Slovenia for the needs of the synthesis report, but a complete overview was not available when current work was in process. It will be taken into account before a final analysis is produced.

expected from the authors of 7 overviews to allow final completion. In the meantime, we felt that a further in depth analysis was in order, with respect to certain variables which were considered as crucial in terms of territorial governance. Hence, we carried out further work, mostly based on the material of the national overviews, in an attempt to form a clearer picture of the trends towards a governance culture and to single out governance practices that are being used in the countries covered in the project.

The variables, which in our view were worth investigating in the national overviews were:

- Styles of planning.
- Spatial planning-devolution powers
- Traditions of Spatial Planning
- Forms of cooperation (horizontal and vertical);
- Citizen participation in spatial planning; and
- Cross – border and transfrontier cooperation

In all these cases, spatial planning and policy was the key aspect on which we focused our attention.

The reasons of the selection were, on one hand, the importance of these variables as ingredients of genuine territorial governance and, on the other, the existence in the guidelines issued for the writing of the national overviews of specific questions regarding these variables. We came up with mixed results. In some cases we were able to produce tables with country classifications, having first explained the categories used. In other cases, we felt that it would be premature to produce tables and we simply proposed a set of categories, in the form of a hypothesis. To complete the desired tables or to finalize the tables that we did produce, individual overview authors will have to check the results or clarify the position of respective countries. The rationale, methodology and problems encountered in each of the above five analyses are explained in the text which accompanies each case. Needless to say that because we drew our information exclusively from the overviews the result of our analysis may suffer from their limitations.

We also produced a further piece of analytical work, this time based on a source other than the national overviews, on yet another variable deemed important, that of the participation of regions in European networks. To record the experience of EU Regions (NUTS II) as regards their participation in active, transnational European networks, those dealing with territorial and other relevant issues and policies (i.e. environmental, planning, transport and development issues), we used the European

networks database “Welcomeurope”¹². This enabled both a classification of countries and NUTS II regions, but also possibly and with further work a series of cross-tabulations and maps.

6.2 Overview WP3

In sections 2 and 8 ideas for the impact analysis of the ESPON 2.3.2 project have been outlined. On data and indicators see also section 4. The project teams will have a set data and information available, combining the following sources:

- theoretical and conceptual overviews, helping develop hypotheses about governance and urban and territorial policies,
- national overviews, which have already been used to differentiate governance trends between countries with the help of qualitative indicators,
- case study results, which have been synthesised according to specific territorial situations and will be used to identify governance trends and impacts in specific territorial settings,
- numeric approach (case studies), as with the national overviews the project team will use these results (see also sections 8 and 9 of this report) to identify and differentiate governance trends at a spatial level.
- statistical analysis, on the basis of case studies the project team will suggest typologies which can be interpreted with a view towards a comprehensive pattern across European regions.

TIA will be organised as a recursive process, communicating discussing and ultimately integrating results of the above listed separate working steps, undertaken by the different partners.

6.3 Overview WP4

In SIR section 9 (p. 178-184) guidelines for Case Study were already presented. Since then work done in WP4 relates with the fulfilment of the CS for each national team following this guidelines, as well as Numeric Tables and Data Sheets that also were prepared and sent to TPG members. Along the last months CS and data collection were completed (a view of current situation in table 8.6, annex 2 of this TIR).

¹² The relevant website (<http://welcomeurope.com/default.asp?id=1520>) contains information and data on 29 networks dealing with local development, 35 networks with environment issues, 17 networks dealing with transport problems and solutions and 17 networks engaged in town planning issues.

An analysis of numeric parts of the Case Studies has been developed, trying to add further qualitative indicators to the existing set of quantitative and qualitative data which had been collected before, e.g. in the context of national overviews. The report shows some preliminary results of this exercise. What becomes obvious is that the method can describe some features of governance in a comparative way. However, it has also become obvious, that the current state (mainly due to low return rates and wide scope for interpretation) needs to be further refined. The methods applied here can be seen as tests, which might be applied in a more consistent and consequent approach in a separate project - a suggestion which the project team repeats at this point.

6.4 Overview WP5

One of the main issues for this TIR is exploitation of information coming from Case Studies in order to analyse governance trends. According with the Tender Document (see Table 6.1), this analysis is still in process until month 21 of 2.3.2 project (see Figure 6.1).

Table 6.1: Organization and Time Table of WP5

	Key tasks FOR WP 5	Key partners	No of days	Months
Task 5.1	Comprehensive analysis/diagnosis of governance trends, applications, mechanisms at EU, trans-national, national and sub-national levels, as well as existing territorial disparities and tentative of outlining models of governance	Nordregio IGEAT & NSM	7 7 3 14 17	14-18
Task 5.2	Mapping typologies	Nordregio & IRPUD	10	14-18
Task 5.3	Statement of identified indicators	IRPUD & CUDEM	10	14-18
Task 5.4	Assessment of territorial impact of good governance	IRPUD Nordregio & NSM	6 6 3 12 15	15-19
Task 5.5	Comprehensive findings: best practices and added value (and limits) of governance.	Core team	18	19-20

Figure 6.1: WP5 in the time table for ESPON Project 2.3.2

WP N°	Month																				
	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
1	☺																				
2	☺																				
3	☺																				
4	☺				☺	☺															
5	☺																				
6	☺																				
7	☺																				
Report	☺			📄			📄														📄
Meeting	★	★				🌿									★					★	
Year	2004				2005												2006				

★ Core team meetings 🌿 All partners meeting ☺ CHANGES

Table 6.1: Analytical framework for Case Studies

Governance dimensions:	I: Context	II, I A: Vertical: Multi-level relations	II, I B: Vertical: Decentralisation, devolution, regionalisation	II, II A: Horizontal - 'multi-channel'	II, II B: Horizontal - co-ordination and integrated policies	II, III A: Public Participation (JR,ch.8)	II, III B: Openness (JR,ch.8)	II, IV : Innovative tools, practices and mechanisms (JR,ch.9)	II, V: Outcomes - decisions	II, V B: Outcomes - implementation	III: Governance failures and successes
Geographical dimensions:											
Transnational/cross-border (KLS, ch.2)											
National (NIJM, ch.3)											
'Regional' Polycentric Urban Networks (MD, ch.4)											
Functional Urban Areas, Metropolitan Regions (JJ, ch.5)											
Urban-Rural (NIJM, ch.6)											
Intra-city (NIJM, ch.7)											

Initials: Valerie Biot, IGEAT (VB), Margareta Dahlström, Nordregio (MD), Kaisa Lähtenmäki-Smith, Nordregio (KLS), John Jørgensen, Nordregio (JJ), Nijmegen (NIJM) and junior researcher(s), Nordregio (JR)

For this purpose IGEAT and Nordregio had a meeting in Stockholm 10-11 October 2005. As a result finally some decisions were taken in order to fulfil WP 5 task 1 requirements: to stick to the guidelines to treat the case studies (see section 9.1), to enter through the geographical territories and to have two thematic chapter - still with the geographical distinction - on participation/openness, and innovative/interesting tools practice experience (see Table 6.3).

Once the decision taken to stick to the guidelines when treating the case studies for WP5, it was still needed to test this method, and provide some example of what could be reached. So the next step was a pilot experiment. The guidelines for case studies were used to provide a general frame, in which each question from the guidelines was still present, but had to be answered in a very synthetic way (yes/no). This synthetic way was nevertheless allowing nuances to be expressed, and even comment if something important had to be underlined. The requirement of being synthetic is obvious, as we are facing around 60 case studies, but the possibility for comment and nuance is also important, as from this treatment of case studies governance trends have to be identified, and a typology built.

The general frame was then used to treat one case study for each geographical territory, in order to refine it further. From this process, some changes were made to the general frame. The context is identifying objective aspects which could be the ground for typologies, and can also be linked to other ESPON classifications or typologies: the geographical type of territory, the type of institutional framework, actually, but also on a longer term (maintenance of regime, incremental change, rapid change), and spatial planning framework.

All those changes were made after a testing period, and came from the practical treatment of several case studies. This was ending in the 'analytical framework', which is the same for each geographical territory, except some addition in the case of trans-national/cross-border case.

On the basis of a set of tested (be it in an argumentative and hypothetical fashion) indicators typologies of regions and governance models can be developed and mapped.

II - PART TWO: RESULTS OF THE PROJECT

7. Classification based on National Overviews (WP2)

7.1 Styles of Planning

This analysis is one of several aimed at extending the synthesis of National Overviews ¹³, which started earlier and part of which appeared in the 2nd Interim Report. The broader synthesis is now virtually complete. Its final completion however depends on comments still to be received from the partners covering particular countries. However, we felt it was necessary to carry out analyses in greater depth, one of which is attempted with respect to styles of planning, which characterize the 29 countries represented in this project. This effort, as it will be explained later, is closely related to the issue of devolution of spatial planning powers, which, along with forms of cooperation, citizen participation and cross-border cooperation, was the focus of our in depth analytical work.

A classification of countries based on the style of planning which is prevalent in the states covered by the ESPON 2.3.2 project should take into account both legal and institutional parameters and operational parameters, reflecting the actual practice of planning. We approach this problem by listing first of all the classifications found in the literature, supplemented by a classification we followed with respect to the devolution of spatial planning powers in this project.

The relevant taxonomies are the following:

- ❖ Spheres of Action (Kiser and Ostrom 1982) ¹⁴
 - Constitutional level
 - Institutional level
 - Operational level

- ❖ Families of Legal Systems (Zweigert and Kötz 1987) ¹⁵
 - Roman
 - Germanic
 - Nordic
 - Anglo-Saxon

¹³ A national overview for Denmark is not available. The overview of Slovenia was not available when this classification was attempted, but it will be taken into account before a final table is produced.

¹⁴ Kiser, L. and E. Ostrom, Three Worlds of Action: A metatheoretical synthesis of institutional approaches, in Ostrom, E. (ed.), *Strategies of Political Inquiry*, Sage, Beverly Hills, 1982, pp. 179 – 222.

¹⁵ Zweigert, K. and H. Kötz, *An Introduction to Comparative Law*, Oxford University Press, Oxford, 1987. The first three categories (Roman, Germanic, Nordic) are grouped as “civil law states” by David and Jauffret-Spinozi (David, R. and C. Jauffret-Spinozi, *Les grands systèmes de droit contemporain*, 10ème édition, Précis Dalloz, Paris, 1992)

- Socialist
 - Far Eastern
 - Islamic
 - Hindu
- ❖ Governmental Systems (EU Compendium of SPSP / 1997) ¹⁶
 - Unitary (with varying levels of decentralization)
 - Regionalized
 - Federal
 - ❖ Typology of State Structures (NORDREGIO / A. Dubois / 11.2.05) ¹⁷
 - Federal States
 - Regionalized Unitary States
 - Decentralized Unitary States
 - Centralized Unitary States
 - New EU Member-States and candidate countries
 - ❖ Typology of Regionalization (NORDREGIO / A. Dubois / 11.2.05) ¹⁸
 - Administrative Regionalization
 - Regional Decentralization
 - Regionalization through the existing Local Authorities
 - Regional autonomy (Political Regionalization)
 - Regionalization through the Federate Authorities
 - ❖ Traditions of Spatial Planning (EU Compendium of SPSP / 1997) ¹⁹
 - Regional Economic Planning Approach
 - Comprehensive Integrated Approach
 - Land Use Management
 - Urbanism Tradition
 - ❖ National Planning Systems (Newman and Thornley 1996 and ESPON 1.1.1) ²⁰

¹⁶ European Commission, *The EU Compendium of Spatial Planning Systems and Policies*, Regional Development Studies, Luxembourg, 1997, pp. 38-41.

¹⁷ Dubois, A. (Nordregio), *Scenarios baseline on "Issues of territorial governance"*, Working Paper, ESPON 3.2, 11.2.2005, p. 6.

¹⁸ Dubois, A. (Nordregio), *Scenarios baseline on "Issues of territorial governance"*, Working Paper, ESPON 3.2, 11.2.2005, p. 17.

¹⁹ European Commission, *The EU Compendium of Spatial Planning Systems and Policies*, Regional Development Studies, Luxembourg, 1997, pp. 33-37.

²⁰ Newman, P. and A. Thornley, *Urban Planning in Europe*, Routledge, London, 1996, ch. 3, and ESPON project 1.1.1 (CUDEM / Leeds Metropolitan University, *Governing Polycentrism*, Annex report C, ESPON project 1.1.1 / Potentials for Polycentric Development in Europe, 2004, ch. 2).

- British family
- Napoleonic family
- Germanic family
- Scandinavian family
- Eastern Europe

❖ Spatial Planning: Devolution of powers (ESPON 2.3.2) ²¹

- Unitary states
 - Devolution to regions (real power in central state)
 - Devolution to regions (real power in regions)
 - Centralization: Dominant central state
- Federal states
 - Devolution to regions (strong central state and regions)
 - Devolution to regions (weak central state and regions)
 - Devolution to regions (weak central state, strong regions)
- Interaction and negotiation (national – regional)
- Contracts (national – regional or regional – subregional)
- Devolution to subregions within regions
- Regional – metropolitan authorities (overlaps with previous category)
- Regional planning through inter-municipal cooperation
- Relative weakness of central state
- Strong local – municipal level
 - With strong national state
 - With weak national state

In this document the classification of styles of planning is approached through a combination of the taxonomies produced by NORDREGIO for ESPON 3.2 project and the categorization of cases in terms of devolution of spatial planning powers produced for ESPON 2.3.2. The result is shown in two tables (see Table 7.1 and Table 7.2). In the first we show the characteristics of all countries in terms of parameters used in the above taxonomies. In the second we attempt a cross-tabulation, which can lead to a new grouping of countries, which we defer to a later stage, when the tables are commented upon by all partners. Inevitably, certain countries appear twice even within the same band. E.g. in the band of unitary states, with powers devolved to regions, but with a powerful central state,

²¹ Working document by Louis Wassenhoven (National Technical University of Athens) on devolution of spatial planning powers (ESPON 2.3.2, December 2005). In this document several categories of types of devolution of spatial planning powers are distinguished. Individual countries appear in more than one categories.

Table 7.1: Classification of characteristics determining style of planning

Country	NORDREGIO ²²		ESPON 2.3.2 / NTUA ²³			
	A. Regionalization	B. State structure	C. Devolution to regions	D: Countries with powerful local level	E. Inter-municipal cooperation	F. Interaction, negotiation, contracts
1. Austria	Reg/on – Federal	Fed. State	Fed./-CS,-Reg.	-CS	Yes	
2. Belgium	Reg/on – Federal	Fed. State	Fed./-CS,+Reg.			
3. Bulgaria	Admin. Reg/on	New EU memb.	Unit. / Central.			
4. Cyprus		New EU memb.	Unit. / Central.			
5. Czech Rep.	Reg. Decentr/on	New EU memb.		-CS		
6. Denmark	Reg/on – LAs	Decentr. Unit.				
7. Estonia	Admin. Reg/on	New EU memb.	Unit. / Central.	+CS		
8. Finland	Reg/on – LAs	Decentr. Unit.		-CS	Yes	
9. France	Reg. Decentr/on	Reg/ined Unit.	Unit. / +CS	+CS		Yes
10. Germany	Reg/on – Federal	Fed. State	Fed./+CS,+Reg		Yes	Yes
11. Greece	Admin. Reg/on	Centr. Unit.	Unit. / Central.			
12. Hungary	Reg/on – Las	New EU memb.	Unit. / Central.	+CS		
13. Ireland	Reg/on – Las	Centr. Unit.	Unit. / Central.	+CS		
14. Italy	Reg. autonomy	Reg/ined Unit.	Unit. / +CS	+CS		
15. Latvia	Admin. Reg/on	New EU memb.	Unit. / Central.	+CS	Yes	
16. Lithuania	Admin. Reg/on	New EU memb.	Unit. / Central.	+CS		
17. Luxembourg		Centr.Unit.		+CS	Yes	
18. Malta		New EU memb.	Unit. / Central.			
19. Netherlands	Reg/on – Las	Decentr. Unit.	Unit. / +CS	+CS	Yes	Yes
20. Norway	Reg/on – Las	Decentr. Unit.		+CS	Yes	
21. Poland	Reg. Decentr/on	New EU memb.	Unit. / +CS	+CS		
22. Portugal	Admin. Reg/on	Centr. Unit.	Unit. / Central.	+CS		
23. Romania	Admin. Reg/on	New EU memb.	Unit. / +CS	+CS		
24. Slovakia	Reg. Decentr/on	New EU memb.	Unit. / +CS	+CS		
25. Slovenia	Admin. Reg/on	New EU memb.				
26. Spain	Reg. autonomy	Reg/ined Unit.	Unit. / +Reg.	-CS		
27. Sweden	Reg. Decentr/on	Decentr. Unit.		-CS	Yes	
28. Switzerland	Reg/on – Federal	Fed. State	Fed./-CS,+Reg.	-CS		Yes
29. UK	Reg. Decentr/on	Reg/ined Unit.	Unit. / +CS	+CS		

Abbreviations

²² Dubois, A. (Nordregio), *Scenarios baseline on "Issues of territorial governance"*, Working Paper, ESPON 3.2, 11.2.2005.

²³ Working document by Louis Wassenhoven (National Technical University of Athens) on devolution of spatial planning powers (ESPON 2.3.2, December 2005. In this document several categories of types of devolution of spatial planning powers are distinguished. Individual countries appear in more than one categories.

Column A

Typology of regionalization

- Admin. Reg/on: Administrative Regionalization
- Reg. Decentr/on: Regional Decentralization
- Reg/on – Las: Regionalization through the existing Local Authorities
- Reg. autonomy: Regional autonomy (Political Regionalization)
- Reg/on – Federal: Regionalization through the Federate Authorities

Column B

Typology of state structures

- Fed. State: Federal States
- Reg/ined Unit.: Regionalized Unitary States
- Decentr. Unit.: Decentralized Unitary States
- Centr. Unit.: Centralized Unitary States
- New EU memb.: New EU Member-States and candidate countries

Column C

Devolution of spatial planning powers to regions

- Unit. / +CS: Unitary state (real power in central state)
- Unit. / +Reg.: Unitary state (real power in regions)
- Unit. / Central.: Unitary state (centralization / Dominant central state)
- Fed./+CS,+Reg.: Federal state (strong central state and regions)
- Fed./-CS,-Reg.: Federal state (weak central state and regions)
- Fed./-CS,+Reg.: Federal state (weak central state, strong regions)

Column D

Spatial planning powers: Strong local – municipal level

- +CS: Powerful local – municipal level (with equally strong central state)
- -CS: Powerful local – municipal level (with relatively weak central state)

Column E

Regional spatial planning through inter-municipal cooperation

Column F

National – regional interactive, negotiative and / or contractual approaches to spatial planning

The Netherlands appear twice, because they exhibit both the practice of inter-municipal cooperation for purposes of regional planning and an interactive – negotiative practice of territorial governance. They reappear in the band of countries with a powerful local level, with a strong central state.

A first indication might be that the styles of planning of countries in the column "Administrative regionalization" and in the horizontal band "Other" of the categories of devolution to regions or of powerful local level do not exhibit advanced characteristics of territorial governance. However, even this tentative conclusion requires further checking.

Table 7.2 Cross-tabulation of characteristics determining style of planning and country distribution

Devolution of spatial planning powers	Additional planning features (inter-municipal cooperation & interactive approach) ²⁴	Typology of regionalization				
		Admin. Reg/on	Reg. Decentr/on	Reg/on – LAs ²⁵	Reg. autonomy	Reg/on-Federal
Devolution of spatial planning powers to Regions						
Unit. / +CS	Inter-municipal			Netherlands		
	Interactive appr.		France	Netherlands		
	Other	Romania	Poland, Slovakia, UK		Italy	
Unit. / +Reg.	Inter-municipal					
	Interactive appr.					
	Other				Spain	
Unit. / Central. ²⁶	Inter-municipal	Latvia				
	Interactive appr.					

²⁴ See note at the bottom of the table in appendix A.

²⁵ Denmark appears in this category of the NORDREGIO typology of regionalization, but it was not analyzed in the ESPOn 2.3.2 project, because of the absence of a national overview.

²⁶ Cyprus and Malta are centralized, unitary states with a dominant central state, but, along with Luxembourg, they are not included in the NORDREGIO typology of regionalization, because of their small size.

	Other	Bulgaria, Estonia, Greece, Lithuania, Portugal, Slovenia		Hungary, Ireland		
Fed./+CS,+Reg.	Inter-municipal					Germany
	Interactive appr.					Germany
	Other					
Fed./-CS,-Reg.	Inter-municipal					Austria
	Interactive appr.					
	Other					
Fed./-CS,+Reg.	Inter-municipal					
	Interactive appr.					Switzerland
	Other					Belgium
		Admin. Reg/on	Reg. Decentr/on	Reg/on – LAs²⁷	Reg. autonomy	Reg/on-Federal
Powers in local authorities						
Spatial planning: Strong local – municipal level (but +CS)²⁸	Inter-municipal	Latvia,		Hungary, Ireland, Netherlands, Norway		
	Interactive appr.		France			
	Other	Estonia, Lithuania, Portugal, Romania,	Poland, Slovakia, UK		Italy	
Spatial planning: Strong local –	Inter-municipal		Sweden	Finland		Austria

²⁷ Denmark appears in this category of the NORDREGIO typology of regionalization, but it was not analyzed in the ESPOn 2.3.2 project, because of the absence of a national overview.

²⁸ Luxembourg belongs to this category, but, along with Cyprus and Malta, it is not included in the NORDREGIO typology of regionalization, because of its small size.

municipal level (but -CS)						
	Interactive appr.					Switzerland
	Other		Czech Rep.		Spain	

Abbreviations: See Table 7.1

7.2 Spatial planning-devolution powers

This effort to produce further analysis the devolution of spatial planning powers is based on the National Overviews ²⁹ and is additional to work undertaken earlier, part of which was included in the 2nd Interim Report and is now virtually complete. Its final completion however depends on comments still to be received from the partners covering particular countries.

The analysis in terms of devolution or of other critical variables aims at exploiting in greater depth certain aspects of territorial governance. One of the difficulties encountered, as in the previous work, is the fact that information contained in the overviews is unequal, for a variety of reasons. We decided not to include certain practices which exist virtually everywhere and do not constitute innovations worth mentioning.

The following classification is drafted as an initial hypothesis, which must be tested on the basis of comments which will be requested by the project partners. A definite classification in the form of a table may be premature and is avoided at this stage.

The dominant categories in terms of devolution of spatial planning powers, which we propose as a hypothesis, are listed below. We made a distinction between unitary and federal states, but even within these categories it was obvious that variations existed and that we had to include certain sub – categories. In addition, we chose to include additional categories, with the result that virtually all the countries could in theory appear in more than one category. This is made necessary by our effort to capture all the shades of devolution. All the categories of course revolve around the devolution of spatial planning competences. Even the term “devolution” is sometimes misleading, because in some cases it was not the central state that decided to devolve some of its competences to lower levels of administration. It was rather the constitution that apportioned powers in the first place. In such cases, it is local authorities which derive their

²⁹ A national overview for Denmark is not available. The overview of Slovenia was not available when this classification was attempted, but it will be taken into account before a final table is produced.

status directly from the constitution and not the central state. Sometimes the constituent parts of a state pre-existed of the state as such.

- Unitary states

In the sub-categories of this category we are concerned with devolution of powers to regional (not local – municipal) government entities. An important difference between unitary states is that in some cases, even when powers have been devolved to regions, the real power remains in the central state, while in others, the state is weak in comparison with the power of autonomous regions, although the state is not federal. There are of course unitary states, where centralization is the rule.

- *Devolution to regions (real power in central state)*

Among the countries included in this category there are undoubted variations and one could entertain the idea of a further sub – division. The reasons are multiple. One reason is that the extent of decentralization is not the same across the whole territory of the state in question. Such is the case in the UK, where the situation e.g. in Scotland differs radically from that of the English regions. A deep difference also exists between countries with a long record of decentralization (e.g. France, Italy, The Netherlands) and countries, which made the transition from a socialist to a free market regime only recently. Even within these sub-groups variations exist, but then one would easily end up with categories of one country.

- *Devolution to regions (real power in regions)*

This seems to be the case of Spain, where the power of the regions (Autonomous Communities), as compared to that of the central state (always with respect to the parameter of spatial planning competences), justify the inclusion of the country in a class of its own.

- *Centralization: Dominant central state*

All countries in this category are unitary states and relatively small in terms of size and population, although serious variations exist. Some are extremely small island states (Cyprus, Malta). In several cases, the authors of the overviews reported intentions or measures taken to decentralize power to the regions. But, after a careful consideration, we conclude that they cannot be possibly included in the previous categories of unitary states. The reasons are diverse. Several of the countries were until recently under a totally different regime, e.g. in Eastern Europe, and started a policy of decentralization in the last decade or so. In others, the efforts to decentralize are hampered by constitutional problems regarding the nature of the state and the legality of power devolution (e.g. Greece). In some cases it is the local level, rather than the regional, which is relatively more powerful. In all however, it is the central state that remains dominant.

- Federal states

The federal status conceals enormous differences. Switzerland is in fact a confederation, where the cantons are the key – players and their powers have deep historical roots. In other countries, especially Belgium, the federal character is relatively recent. We take the view that the balance of powers between constituent federalized states and central federal state is a critical distinguishing factor and on the basis of this factor we proceeded to the following sub-categorization.

- Devolution to regions (strong central state and regions)

The typical, and only, example here is Germany, where the power of the *länder* is both extensive and constitutionally rooted. The federal state however retains very important powers of guidance.

- Devolution to regions (weak central state and regions)

This is the case of countries, where both the federal state and the constituent states are relatively weak in comparison to local authorities, which are the only key – player in spatial planning.

- Devolution to regions (weak central state, strong regions)

We believe we can include Belgium here, where decentralization with respect to spatial planning is total, and Switzerland, where the cantons are dominant, in spite of efforts to restore a balance, which is the reason why we can equally include this country in other categories, mentioned later (e.g. in the next category).

Interaction and negotiation (national – regional)

Naturally, interaction between national and regional levels exists everywhere. It is a matter of routine government practice. But our impression is that in certain countries (e.g. France, The Netherlands, Switzerland) it is more than a usual administrative practice, because it is a dominant feature of their governance culture. Here we have a regular negotiation and bargaining situation, which goes beyond the routines of day to day administration.

Contracts (national – regional or regional – subregional)

In this category we can include countries, such as France and Germany, with respect to which we found reference in the overviews to actual contracts between national and regional levels or even between regional and subregional ones. Although a country with a different recent political past, Poland too seems to have a similar practice.

Devolution to subregions within regions

Inclusion of certain countries in this category is of course related to their classification in some of the previous categories. But the concept and practice of “decentralization within decentralization” seems important and sufficient to justify a separate category. The reasons and roots of this process differ from country to country, but the fact of a functioning nested regional and subregional hierarchy, above the local level, with considerable powers, is common in the countries which could be included here.

Regional – metropolitan authorities (overlaps with previous category)

A variant of the previous category is the role played by regional entities created around important urban agglomerations, under a variety of institutional arrangements, which go beyond the mere production of a plan, e.g. for a metropolitan area. Inclusion of a country in this category does not imply that such regional – metropolitan institutions have been created for all large urban regions or functional urban areas.

Regional planning through inter-municipal cooperation

There are countries where the role of regional spatial planning and territorial policy is undertaken by inter – municipal associations, instead of by autonomous, formal (centrally – controlled or elected) authorities. E.g., this arrangement characterizes the Scandinavian countries, where the real locus of spatial planning power remains local. But it is found also in countries where there is no absence of powerful regional authorities.

Relative weakness of central state

There have been references in previous categories to countries, where the central state is relatively weak in terms of spatial planning powers. What is interesting is that this feature is not limited to some federal countries. We felt, on the basis of judgments found in the national overviews, that we could classify certain countries in this category, countries with very diverse political histories.

Strong local – municipal level

Here we no longer refer to devolution to regions, but to the local level. The existence of local, usually municipal, authorities with extensive and substantial spatial planning powers is widespread, albeit not universal. There are exceptions due to the extreme centralized nature of some states. What is of interest is that in some cases, strong local authorities co-exist with an equally strong national state, while in others we have simultaneously strong local authorities and a relatively weak national state

(federal or not). This difference justifies the introduction of two sub – categories.

Table 7.3: Countries classification proposal according to Spatial Planning devolution-powers

Categories of devolution of spatial planning powers (centralization v. decentralization)	Countries
Unitary states	
Devolution to regions (real power in central state)	France, Italy, The Netherlands, Poland, Romania, Slovakia, UK.
Devolution to regions (real power in regions)	Spain.
Centralization: Dominant central state	Bulgaria, Cyprus, Greece, Estonia, Hungary, Ireland, Latvia, Lithuania, Malta, Portugal.
Federal states	
Devolution to regions (strong central state <u>and</u> regions)	Germany.
Devolution to regions (weak central state <u>and</u> regions)	Austria.
Devolution to regions (weak central state, strong regions)	Belgium, Switzerland ³⁰ .
Interaction and negotiation (national – regional)	France, The Netherlands, Switzerland.
Contracts (national – regional or regional – subregional)	France, Germany, Poland.
Devolution to subregions within regions	Belgium ³¹ , Germany, Italy, Spain, Switzerland, UK.
Regional – metropolitan authorities	Belgium, France, Germany, Italy, The Netherlands, Portugal, Sweden, Switzerland, UK.
Regional planning through inter-municipal cooperation	Austria, Finland, Germany, Latvia, Luxembourg, The Netherlands, Norway, Sweden.
Relative weakness of central state	Austria, Belgium, Czech Republic, Spain.
Strong local – municipal level	
With strong national state	France, Estonia, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, The Netherlands, Norway, Poland, Portugal, Romania, Slovakia, UK.
With weak national state	Austria, Czech Republic, Finland, Spain, Sweden, Switzerland.

³⁰ Confederation.

³¹ Flanders.

- With strong national state

A large number of countries can appear here and a careful analysis might lead to further sub – divisions, on the basis of history, geography and exact institutional arrangements.

- With weak national state

The reasons for the inclusion of a number of countries in this sub – category are diverse. They are usually constitutional, but they may be due to a transitional stage in which a country finds itself, as e.g. in the case of the Czech Republic.

7.3 Traditions of Spatial Planning

This section aims to classify the 29 countries involved in this project in the 4 styles of spatial planning that were distinguished in the European Compendium of Spatial Planning Systems and Policies. This is done by first using the old situation as encountered in the Compendium with the EU of 15 as a starting point (Table 7.3) and then updating this with the data we gathered through the National Overviews. This way the New Member States can be classified based on the National Overviews as well as changes or movement in the old Member States could be observed (Table 7.4). The 4 planning styles distinguished in the Compendium were:

- Regional economic spatial planning
- Comprehensive integral spatial planning
- Land use spatial planning
- Urban spatial planning

- Regional economic spatial planning:

The aim of the regional economic approach is to let regional economic development conform to some overall idea formulated by a central agency, using powers and funds at its disposal. Under this approach spatial planning has a very broad meaning relating to the pursuit of wide social and economic objectives; especially in relation to disparities ... between different regions... Where this approach... is dominant, central government inevitably plays an important role (CEC, 1997, p. 36).

- Comprehensive integral spatial planning:

The regional economic approach has a counterpart, called the 'comprehensive integrated approach'. This is an approach that is conducted through a very systematic and formal hierarchy of plans from national to local level, which co-ordinate public sector activity across different sectors but focus more specifically on spatial co-ordination than economic development. ...This tradition is necessarily associated with mature systems. It requires responsive and sophisticated planning

institutions and mechanisms and considerable political commitment ...Public sector investments in bringing about the realisation of the planning framework is also the norm (CEC, 1997, pp. 36–37).

Table 7.4: Classification of spatial planning styles as distinguished in the European Compendium of spatial planning systems and policies

Planning styles	Regional Economic planning (French)	Comprehensive Integral Planning (Nordic)	Land Use Planning (traditional)	Urban Planning (mediteranian)
Countries				
1. Austria		X		
2. Belgium			X	
3. Denmark		X		
4. Finland		X		
5. France	X			
6. Germany	X (east)	X		
7. Greece				X
8. Ireland			X	
9. Italy			X	X
10. Luxembourg			X	
11. Netherlands		X		
12. Portugal	X			
13. Spain				X
14. Sweden		X		
15. United Kingdom			X	

X = based on Compendium that directly mentioned the country

X = Based on Compendium indirectly mentioning as the Nordic countries

X = No reference made in the Compendium

- Land use spatial planning:

The planning has the goal to control the change of ground use. This focus has strong roots in the spatial planning of the United Kingdom

- Urban spatial planning:

This is a spatial planning style characteristic for the Mediterranean countries, that takes place on the local level through building regulations.

Table 7.5: Classification of spatial planning styles based on the Compendium and the National Overviews

Planning styles	Regional Economic planning (French)	Comprehensive Integral Planning (Nordic)	Land Use Planning (traditional)	Urban Planning (Mediterranean)
Countries				
1. Austria		X		
2. Belgium			X	
3. Denmark*		X		
4. Finland		X		
5. France	X	X		
6. Germany	X	X		
7. Greece				X
8. Ireland	X	X	X	
9. Italy	X	X	X	X
10. Luxembourg		X	X	
11. Netherlands		X		
12. Portugal	X	X		
13. Spain		X		X
14. Sweden		X		X
15. United Kingdom			X	
16. Cyprus				X
17. Czech Republic		X		
18. Estonia			X	
19. Hungary		X		
20. Latvia	X			
21. Lithuania	X			
22. Malta			X	X
23. Poland		X		
24. Slovakia		X		
25. Slovenia		X		
26. Bulgaria		X		
27. Romania		X		
28. Norway		X		X
29. Switzerland		X		

X = based on Compendium that directly mentioned the country

X = Based on Compendium indirectly mentioning as the Nordic countries

X = No reference made in the Compendium

X = New Member States, based on the National Overviews

X = Moving towards, based on the National Overviews

* no national overview received

The tables show several interesting aspects in terms of New Member States, Small countries and General Convergence:

- *New Member States:*

First of all one could make the comment concerning the New Member States that many of them share a former communistic past and break with their past and their old regimes by setting up a new governmental system thus also a new spatial planning system borrowing ingredients from their past, other spatial planning systems and the European influence thought for example the White Paper, Structural Funds policies etc. This leads to mixtures that are hard to classify and still is far from mature or settled down.

What also can be seen is that the New Member States in many cases use the comprehensive integral approach as their example model for their new structures.

- *Small countries:*

Secondly the majority of the smaller countries, like Cyprus, Luxembourg, Malta, etc. don't have all the different scales, local, regional and national, etc, due to their size. In can for instance happened that the central level can plan local development, etc. Having all the different levels in their case would mean a less efficient and less natural or suited model for their situation.

- *General Convergence:*

In the third place there seems to be a convergence from the old Member States towards the comprehensive integral planning system, but the way in which this occurs differs. However the fact is that indeed the regional economic and the comprehensive integral approach are converging towards each other as Faludi (2004) reasoned in the article '*Old wine in new bottles*', the understanding or classifying of countries in one of the systems gets very complex, because elements of more than one planning style can be found even though in some parts they are still counterparts. To encounter one of the spatial planning styles in their pure form has become hard and perhaps even impossible. It also has to be said that the regional economic approach is gaining interest too. The problem is that in some cases there may be genuine integration of strategic – economic approaches on the one hand and conventional land use planning on the other, but in other cases this so-called integration conceals a continuing, old-fashioned domination of economic policy over spatial planning. The key word is of course "competitiveness". Below a quote can be found from this article on the convergence:

'Convergence of Regional Economic Planning and Comprehensive Integral Planning... However, as economic development issues force themselves

onto the agenda, the comprehensive integrated approach is taking a more positive view of economic development... This is particularly true for German planning where unemployment and outright decline, especially in East Germany, loom large. German planners want to move beyond regulative planning. They use approaches, like 'regional conferences', similar to those invoked in France (Knieling et al., 2001). [...] The regional economic approach, too, is shifting. As a high-quality living environment comes to be seen as contributing to territorial competitiveness (Camagni, 2002, p. 2396), the concerns of the comprehensive integrated approach are becoming more prominent. There are also grass-root movements in metropolitan areas asserting the importance of quality-of-life issues. Convergence between the two approaches is in the air'.³²

Furthermore Sweden, Norway and Italy are cases that are most hard to classify. In the cases of Norway and Sweden they are clearly classified under the umbrella of the comprehensive integral planning style in the Compendium however the National Overviews give a different picture. To give an example in the Swedish case:

'According to PBA 1987:10 there are only one compulsory planning level, the municipal level and two planning instruments, both used at the municipal level, i.e. municipal comprehensive plans (översiktsplaner) and detailed plans (detaljplaner)'.

So the classical Nordic integral elements don't really show this, the only level that counts is the municipal level (see quote) and for the higher levels it is not obligatory to develop spatial plans.

Italy also has some unique features that don't coincide with the model in which they are classified (urban). They do have a hierarchy in the different levels of planning, but this has not been operating very successfully so far.

Figure 7.1: Spatial Planning Styles in old 15 member States

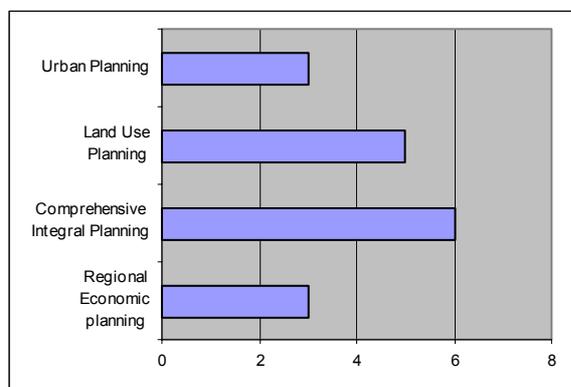
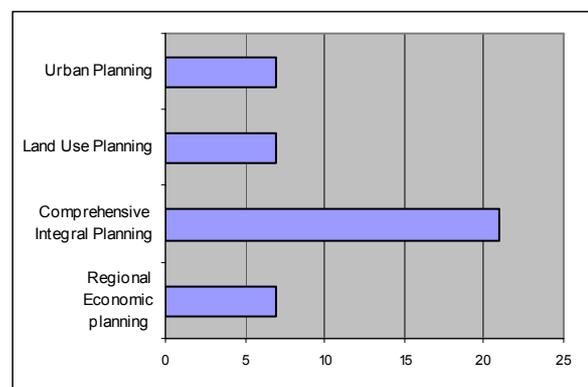


Figure 7.2: Spatial Planning Styles in ESPON 29 Space



³² Faludi, A. (2004): "Territorial cohesion: Old (French) wine in new bottles', *Urban Studies*, 41(7), pp. 1349-1365.

This modest analysis has to be seen as a first step, an interim step, revealing some first results that need to be analysed deeper in the course of this project. What furthermore has to be noted is that the majority of these countries that can be classified in more than one planning style lie in the 'old Europe'. The New Member States and other countries very often take the comprehensive integral planning style as their base for their new institutional structure or at least take elements from this style to incorporate in their already existing structure. This comment is supported by comparing Figure 7.1 and Figure 7.2.

7.3.1 Styles of spatial planning and their relation to the spatial key issues encountered

Figure 7.3: Dominating key spatial problems

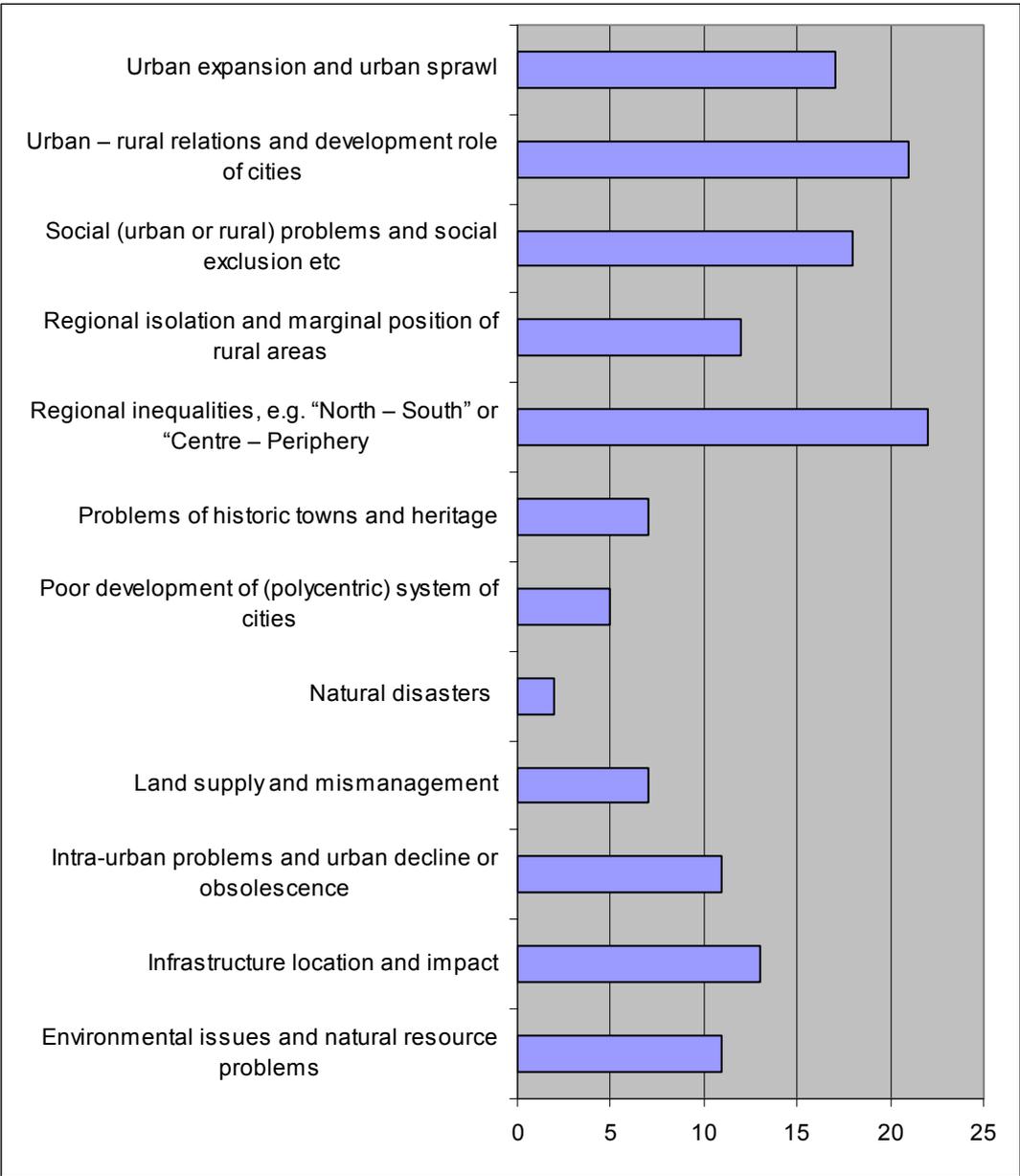


Table 7.6: Common Spatial Problems in Spatial Planning Styles

COMMON PROBLEMS IN	Regional Economic Planning			Comprehensive Integral Plann.			Land Use Planning			Urban Planning		
	EU15	EU15+10+2+2	ESPON29	EU15	EU15+10+2+2	ESPON29	EU15	EU15+10+2+2	ESPON29	EU15	EU15+10+2+2	ESPON29
Environmental issues and natural resource problems												
Infrastructure location and impact				X	X	X						
Intra-urban problems and urban decline or obsolescence			X					X				
Land supply and mismanagement												
Natural disasters												
Poor development of (polycentric) system of cities												
Problems of historic towns and heritage												
Regional inequalities, e.g. "North – South" or "Centre – Periphery"	X	X	X		X		X	X	X	X	X	X
Regional isolation and marginal position of rural areas						X						
Social (urban or rural) problems and social exclusion etc	X		X	X	X	X		X	X	X		X
Urban – rural relations and development role of cities			X	X	X	X	X	X	X			X
Urban expansion and urban sprawl	X			X		X			X	X	X	X

This section tries to see if there is a relation between the problems the different countries experience. In other words, if the different planning systems can be related to the problems the different countries are experiencing. Figure 7.3 shows dominating spatial problems that were found in the National Overviews and their frequency. All in all the difficulty remains that universal terms are used to describe the conditions of particular countries and applied elsewhere under totally different conditions. So the terms in a way conceal the variations one can find within the same definition. This is partly intercepted by not relying blindly on just the quantitative data and tables, but backing it up with qualitative data. More work has to be done here in order to shine a brighter light on things.

The classification can be done in several ways. First of all a classification is given based on the EU15 as it was done by the Compendium. After that a classification is shown based on the old EU 15 situation with the additional 10 new Member States and the other non members (EU15+10+2+2). The last classification that is presented is based on all the new data available in the National Overviews and includes the movement or convergence of the planning styles (ESPON29)³³. See Table 7.5.

Is there a pattern that can be distinguished between the problems and the planning styles? In a general view it has to be said that in all cases no matter what way of classifying is used the problem of regional inequalities e.g. "North – South" / "Centre – Periphery" and of Social (urban or rural) problems of exclusion can be observed. Which is a very interesting point confirming the relevance of territorial cohesion. In a second tier are the problems related with urban-rural relations and development role of cities, and urban sprawl. Those are directly related with polycentrism, complementary and instrumental objective for the previous one of territorial cohesion.

More in detail, whatever the class is (EU15, EU15+10+2+2 or ESPON29), one can clearly recognize some kind of problems depending on spatial planning style. In integral planning there are general problems above mentioned (as social exclusion, urban-rural relation and development of cities), but also other more specific as infrastructure location and impact.

³³ Depending on which qualification you use the common problems vary. For instance in the case of the comprehensive integral planning style in the situation, as described in the Compendium at the time of the EU of 15, shows 6 countries that had a comprehensive planning style. In the situation where all 29 countries are presented, but without showing the movement (static old situation but with the New Member states and other countries included) 15 countries can be classified within this planning style. The last situation shows the current situation when one includes the movement of several countries towards the comprehensive method 21 countries can be included that show elements of the comprehensive planning model in different gradations. These data provide a starting point for a further in depth analysis of the current situation that clearly seems to point in a certain direction that would have a wide array of consequences.

This could be understood as a sign of maturity and sensibility regarding territorial and sustainable impact. In Land Use and Urban styles of planning two questions are more commonly recognized, regional inequalities and urban questions. While Land Use style focus more in urban-rural relations and role of the cities, Urban style is focused in urban expansion and sprawl. In the case of regional economic planning, there are no surprises and the only most important preoccupation is spatial justice and to correct regional inequalities.

With a text analysis of paragraph 1.3 *key spatial problems* in the National Overviews some more detailed information can be found. The issues that have been underlined are the most important in each style of spatial planning.

- *Regional economic spatial planning*
 - Regional inequalities, e.g. "North – South" or "Centre – Periphery
 - Urban – rural relations and development role of cities
 - Intra-urban problems and urban decline or obsolescence
 - Social (urban or rural) problems and social exclusion etc

A common issue that can be see in the countries with a regional economic planning style is that in all these countries there is an unbalanced development where there is a concentration of population and economical growth in specific areas and a big exit of people, work, etc in backward and rural areas, leading to all the common problems that occur in these situations such as:

- Pressure on the growth zones (conflicts with the environment, congestion, pollution, etc.)
 - Segregation, selective outward migration of young and educated people towards the growth poles leaving the rural areas with a graying population and causing problems in terms to keep the social services in these areas on a certain level
 - An ever stronger imbalance between the growth areas and the rest of the country on multiple levels.
- *Comprehensive integral spatial planning*
 - Social (urban or rural) problems and social exclusion etc
 - Urban – rural relations and development role of cities
 - Urban expansion and urban sprawl
 - Regional isolation and marginal position of rural areas
 - Infrastructure location and impact

This group unites two types of countries that have very different problems. First of all there are the rich Nordic countries with long planning traditions that have problems that come with their state of prosperity etc.

Furthermore we see a big group of Eastern European countries that all suffer from the same problems that can be traced back to their common past. Communism left a very specific society with several typical scars and problems that need to be addressed (prefab housing that passed the expiration date, new political models that were adopted, etc.). These countries currently are also undergoing such a fast and radical change from the communist model to the free market economy bringing a lot of additional problems. A very general common problem can be found in the urban rural relations where the rural environment is always under the pressure of being run over by urban development.

- *Land use spatial planning*

- Regional inequalities, e.g. "North – South" or "Centre – Periphery
- Urban – rural relations and development role of cities
- Social (urban or rural) problems and social exclusion etc
- Urban expansion and urban sprawl

Within this spatial planning style there are a number of 'common' problems that could be seen. In several cases the problem can be observed of a relatively limited territory and a big pressure on this limited space that leads to all sorts of problems (conflicting land use, environmental, congestion, pollution, prices, agriculture, etc.). Many times these problems involve regulating the land use and thus this model seems to make sense. In the case of the U.K. we see the managing of urban containment (so pressure on the limited space around the urban areas) and decentralization problems (unbalanced development). In the relative small countries, except for the U.K., this style of planning seems to be very suitable. However in the bigger countries a more comprehensive integrated style of planning could be more appropriate for the overall vision and coordination between the smaller lower echelons. Besides that, one can already see a shift towards the regional economic model in situations with an unbalanced concentrated growth of population and economy.

- *Urban Planning:*

- Urban expansion and urban sprawl
- Urban – rural relations and development role of cities
- Social (urban or rural) problems and social exclusion etc
- Regional inequalities, e.g. "North – South" or "Centre – Periphery

This group consists of mainly Mediterranean countries with the addition of some Nordic countries that show a certain relation with this urban style of planning. Due to this southern character there are several countries that are very popular in the field of tourism. This causes a common problem of tourist development and the huge pressure mass tourism puts on the attractive regions for tourists. Furthermore there is a very clear

concentration of the population and economic activity in the coastal regions hollowing the inner regions, creating problems social problem (e.g. social services, aging populations, etc) in the inner country, while the pressure keeps on growing on the coastal regions, leading to a very unbalanced development and growing asymmetry within the country.

7.4 Citizen participation in Spatial Planning

The present analysis aims to delve deeper into the evidence on citizen participation in spatial planning, as supplied in the National Overviews³⁴. It complements work carried out for a wider synthesis report, partly included in the 2nd Interim Report, which is still being expanded as further comments are received from the project partners.

This section concentrates on the issue of citizen participation in spatial planning, one of the key territorial governance variables selected for in depth investigation. As in similar analyses on other variables (e.g. devolution of spatial planning powers), the limitations of the available material, exclusively derived from the national overviews, causes problems, because the original information is not always comparable. An additional problem is that some of the governance practices reported in the overviews lacked originality or innovatory character and were present practically in all countries, with varying degrees of emphasis.

With regard to citizen participation we are not attempting at this stage to produce a definite country tabulation. Rather, the classification that follows is meant to have the character of a working hypothesis. To reach a final categorization requires not only further consultation with the project partners, but also some additional research on their part.

Looking at the available national overview material regarding citizen participation in spatial planning leads easily to the conclusion that some form of participation is required in practically all countries dealt with in the project. The most common form of participation is that which takes place at some point during the process of preparation of town plans. It is almost certain that it is mandatory in all countries, although surprisingly it is not mentioned explicitly in some overviews, probably because it was taken for granted or considered as unimportant, given the reporting of other more advanced forms of participation. Whether the participation principle in fact always honored is a different story. Nor can we ascertain the frequency of actually holding a participation exercise or the extent to which the participation procedure is more than a mere formality, with a genuine impact on the choices made in a plan.

³⁴ A national overview for Denmark is not available. The overview of Slovenia was not available when this classification was attempted, but it will be taken into account before a final table is produced.

Meaningful participation in plan production, which can be taken as a real indicator of a governance approach, must go beyond the opportunity to raise objections with regard to an already finalized plan. This is where our difficulties begin. A minimum distinction must be made between advance consultation which influences the goals of planning and the design of alternatives and the opportunity to hear objections when the choices have more or less hardened and are unlikely to be reversed. There may be variants of hearings, through which all opinions and objections can be heard and assessed, in a more organized, almost judicial, manner. These are e.g. statutory public inquiries, the value of which is considerable from the participation perspective. An even more advanced form of participation is the existence of mechanisms through which public agencies secure a regular two-way exchange of views and information which feeds continuously into the planning process.

Another practice which is reported frequently as “participation” is the operation of discussion *fora* and advisory bodies, on which various social groups are represented. But here again we may encounter wide variations. E.g. the existence of advisory committees, offering an opinion on various issues or activity sectors, is a common practice, but is not necessarily a form of participation which deserves special mentioning. Much more important are practices of direct consultation which seek to involve the active citizen or, even better, allow him the final choice, e.g. public *referenda* or mechanisms allowing popular initiatives, potentially leading to final decisions.

We would therefore like to classify forms of citizen participation in spatial planning, along the following categories:

1. *Citizen participation during the process of local spatial plan production, according to existing legislation*

This is the most common case of citizen participation and it is important to know whether it is a statutory requirement. It is important to know whether this obligation is present throughout the national territory or not, e.g. because of variations in regional legislation. We are concerned with the participation of individual citizens, not participation limited to agencies, bodies and organized groups. The local plan to which reference will be made must be preferably the plan which is binding on individual citizens and land owners. In the cases however that more than one type of local plan exists, a distinction must be made, and information on both cases must be supplied. This category is divided into two subcategories as follows:

- a. Participation in advance of the process

In this case participants are invited in order to decide on planning goals and the content of plans, not just to gauge reactions to a plan which has already been formulated.

b. Participation after the plan formulation

In this case participants are invited when a plan is already on the table and the citizens are asked to express their views or lodge their objections.

2. *Number of local administrative units (e.g. municipalities) for which a key local plan should exist according to existing legislation*

This information, and the information requested by the 3 questions that follow (2a, 2b and 2c), is important in order to check the extent and depth of participation that has actually taken place in the case of local plans mentioned earlier (1). In this case however when we refer to a "key local plan" we mean the spatial plan which covers the entire territory of a local administrative unit, even though it may not be the type of plan which is binding for individual citizens and landowners and contains e.g. detailed building regulations and plot ratios. This is a necessary clarification, because of the multitude of land use plans, which may exist at a lower level of districts.

a. Out of the above (2), number of local administrative units (e.g. municipalities) for which a key local plan does actually exist and is being implemented

Although a large number of local administrative units must have a spatial plan, it does not necessarily follow that they actually do possess one at the present stage.

b. Out of the above (2a), number of key local plans approved during the last 5 years

It is necessary to know how many of the above plans were actually approved (or revised) recently, i.e. in the last 5 years, as in many cases plans exist but they are outdated.

c. Out of the above (2b), number of key local plans for which participation actually took place, both of type 1a and type 1b.

This information is ultimately what we are getting at, to ascertain the existence of actual and recent participation processes, either at the beginning of the planning process or when a plan was already drafted.

3. *Participation during the process of national / regional spatial plan production*

This is a less common case of citizen participation, since participation usually takes place at the local level only. It is however important to know

whether it is a statutory requirement. In connection with regional spatial plans, it is also important to know whether this obligation is present throughout the national territory or not, e.g. because of variations in regional legislation. We are again concerned with the participation of individual citizens, not participation limited to agencies, bodies and organized groups. We stress that we are interested in actual spatial plans, not in sectoral national and regional policies with a spatial impact or in individual projects. This is not because the latter are not important, but rather because we choose to have a more focused approach, for methodological reasons. This category is divided into two subcategories as follows:

a. Participation in advance of the process

In this case participants are invited in order to decide on planning goals and the content of plans, not just to gauge reactions to a plan which has already been formulated.

b. Participation after the plan formulation

In this case participants are invited when a plan is already on the table and the citizens are asked to express their views or lodge their objections.

4. *Number of regions for which a spatial plan should exist, according to existing legislation*

This information, and the information requested by the 3 questions that follow (4a, 4b and 4c), is important in order to check the extent and depth of participation that has actually taken place in the case of regional (not national) plans mentioned earlier (3). When we refer to a regional spatial plan we mean it literally, to the exclusion of sectoral policies or economic development plans or project plans, in spite of the importance of the latter. We also mean spatial plans which cover the entire territory of the respective region.

a. Out of the above (4), number of regions for which a spatial plan does actually exist and is being implemented

Although a large number of regions must have a spatial plan, it does not necessarily follow that they actually do possess one at the present stage.

b. Out of the above (4a), number of regional spatial plans approved during the last 5 years

It is necessary to know how many of the above plans were actually approved (or revised) recently, i.e. in the last 5 years, as in many cases plans exist but they are outdated.

c. Out of the above (4b), number of regional spatial plans for which participation actually took place, both of type 3a and type 3b.

As in the case of local plans, this information is ultimately what we are getting at, to ascertain the existence of actual and recent participation processes, either at the beginning of the planning process or when a plan was already drafted.

5. *Existence of advisory committees and bodies: National / regional level*

What is of interest here is the existence of permanent (not *ad hoc*) organs concerned with spatial planning, with an advisory role. The tendency is to have such organs at supra-local level, more frequently than at local level. A distinction must be made between (i) national and (ii) regional level. In the case of more than one regional layer, the term "regional" can be interpreted preferably as referring to (i) the level immediately below the national level, and (ii) the level for which an obligation exists to have a spatial plan as indicated earlier. This category is subdivided into 2 subcategories:

a. Advisory organs with participation limited to government agencies

This is the most common case. Here, representation on the bodies concerned is limited to official government agencies of whatever level. In other words, there may be horizontal and vertical government consultation, but citizen participation is absent.

b. Advisory organs with participation of citizens' groups and associations

Participation of citizens, albeit through organized associations and groups, is the key characteristic here. Their influence of course may vary, but this is almost impossible to assess.

6. *Existence of advisory committees and bodies: Local level*

What is of interest here is the existence of permanent (not *ad hoc*) organs concerned with spatial planning at the local (e.g. municipal) level, with an advisory role. In some cases such organs may exist at an urban area or metropolitan level, with several municipalities cooperating in a concerted form. We are not concerned with decision making bodies (e.g. municipal councils), even though they may be elected and hence representative of society. We feel that the practice of advisory committees and bodies is not very frequent at the local level, but when present it is indicative of a more open form of governance, regardless of the ultimate influence of the advisory organs. This category is subdivided into 2 subcategories:

a. Advisory organs with participation limited to government agencies

This case, less representative of genuine participation, concerns advisory organs in which representation of civil society does not exist. The members of the advisory body may represent e.g. public

utilities, trades unions, employers' associations, other local authorities, experts etc., but not citizens' groups.

b. Advisory organs with participation of citizens' groups and associations

In contrast to the previous case, the advisory organs include representatives of citizens' groups and voluntary associations. Naturally, the real impact of the latter cannot be easily measured, if at all.

7. Frequency of advisory committees and bodies: Local level

Apart from the previous categorization (6) of advisory committees and bodies, we would be interested to have an indication of the extent of this practice. We are aware that certain local authorities are too small or may lack the means to maintain such mechanisms. But it would be useful to have an indication whether, in a given country, this practice is the rule, or frequent, or rare or totally absent. Individual countries could then be classified in the following subcategories:

- a. Rule
- b. Frequent
- c. Rare
- d. Inexistent.

8. Statutory use of mechanism of public inquiries

In this category, or in those that follow, we could include countries which have already appeared in the preceding categories and subcategories. The use of public inquiries for spatial planning offers the possibility to hear the views and objections of citizens on important planning decisions. As such, it is an important instrument of citizen participation.

9. Permanent operation of local agencies ensuring citizen consultation / involvement

This is a more advanced practice, which goes beyond consultation for the production of a plan, even of consultation taking place at the beginning of the planning process. There are examples in some countries, where permanent agencies have been created at the local level, with the task of creating a bridge between authorities and citizens. They may take the form e.g. of neighbourhood committees or citizen bureaus ensuring a continuous two-way flow of information ahead of policy making. Authorities are then regularly aware of the views of the citizenry and citizens are regularly informed about the policies, even the intentions, of authorities. Although such agencies may not be omnipresent in a country, even their occasional presence is a step in the right direction. It would be possible to probe deeper into their real role and into the extent to which

they have been adopted, but this may require a much greater research effort. However, an approximate indication of the number of cities which have taken such initiatives would be necessary.

10. Practice of regional / local referenda and of policy initiation triggered by popular initiative

Referenda and the possibility of citizens to actually generate and promote policies is a very advanced and rare practice. It is for this reason that it must be singled out, even though it may concern very few countries. It is well known that in Switzerland it is common, but there may be other instances although of a less frequent application.

7.5 Forms of co-operation (horizontal and vertical)

This effort to produce further analysis based on the National Overviews is additional to the work already undertaken, part of which was included in the 2nd Interim Report and is now virtually complete. Its final completion however depends on comments still to be received from the partners covering particular countries.

The dominant categories of forms of cooperation are the following:

- *Cooperation between national (federal or not) government and regional authorities:*

The regional authorities of the countries included here are not always comparable, nor does the inclusion of a country imply that the same level of cooperation applies to all regions. It is possible that all countries where EU instruments, such as the CSFs, have been implemented, have had a form of cooperation of this type, because of this external constraint. However, the countries listed in this category seem to have adopted such forms of cooperation regardless of the EU requirements.

- *Inter-regional cooperation:*

Cooperation among regions is often part of the previous category. However, various arrangements are mentioned in the overviews which place emphasis on the aspect of cooperation between regions (conferences, cooperation agencies etc.). We decided to include them in a separate category.

- *Intra-regional cooperation of regional actors:*

Various forms of this type of cooperation were found. We tried to retain only those which seemed to go beyond the existence of a mere formal requirement in a statute, an effort which characterizes all our classifications. Once again, we must make the point that we often included here countries, in which perhaps the given form of cooperation exists in some regions only and not necessarily in all.

- *Inter-municipal and inter-communal cooperation:*

This is a type of cooperation, which occurs frequently. It is difficult to know however whether it extends to a broad range of territorial action or to some routine tasks only, e.g. water supply, i.e. to tasks that are commonplace in most countries. We tended to exclude countries, when we felt that they did not pass this test.

- *Public – private cooperation agreements:*

This is another form of cooperation which is very widespread. In several cases however it is limited to the construction of public works, through e.g. Build – Operate – Transfer schemes. Our interest was in initiatives with a clearer element of spatial planning. We included therefore cases where we felt that more was attempted, e.g. urban development, renewal, regeneration etc.

- *Private – private cooperation arrangements:*

This is a form of cooperation rarely mentioned in the overviews. It may be actually included in other broader forms of cooperation. As a result the list of countries here may not be representative at all.

Table 7.7: Countries Classification Proposal on Forms of Cooperation

Forms of cooperation	Countries
Cooperation between national government and regional authorities	France, Germany, Italy, Luxembourg, The Netherlands, Poland, Portugal, Spain, Sweden, Switzerland.
Inter-regional cooperation	Austria, Estonia, France, Germany, The Netherlands, Switzerland.
Intra-regional cooperation of regional actors	Austria, Belgium, Finland, France, Germany, Italy, Luxembourg, The Netherlands, Norway, Poland, Portugal, Slovakia, Sweden, Switzerland.
Inter-municipal and inter-communal cooperation	Austria, Belgium, Czech Republic, Finland, France, Germany, Greece, Hungary, Italy, Luxembourg, The Netherlands, Norway, Poland, Portugal, Romania, Spain, Sweden, Switzerland, UK.
Public – private cooperation agreements	Belgium, Finland, Germany, Ireland, Italy, Malta, The Netherlands, Norway, Portugal, Romania, Spain, Sweden, Switzerland, UK.
Private – private cooperation arrangements	Belgium, Czech Republic, Finland, Germany.
Cooperation councils and committees	Belgium, Bulgaria, Cyprus, Greece, Hungary, Latvia, Lithuania, Malta, The Netherlands, Slovakia, Spain, Switzerland.
Contractual arrangements	France, Italy, The Netherlands, UK.

- *Cooperation councils and committees:*

The existence of such councils and committees (national, regional, local) on which various stakeholders are represented is frequent in most countries. It was specifically mentioned in some overviews but may have been ignored in others, because of the existence of other more innovative and advanced forms of cooperation. The countries listed here are a rather random mix.

- *Contractual arrangements:*

Several of the cases listed in the previous categories may involve some kind of contractual arrangement. But only in a limited number of cases were we left with the impression that a real “contract culture” existed, binding together public authorities in a vertical or horizontal sense. The countries included in this category can therefore boast most, perhaps all, of the previously mentioned forms of cooperation. We are ready to admit that we may have wrongly omitted others.

The other types of cooperation mentioned in various overviews can be considered as separate categories, but it is here that we really feel that they were not mentioned in some overviews as too commonplace and too mundane. This is the case forms of cooperation with NGOs, technology parks and business centres, or even urban networks, which in any case in most cases were included under inter-municipal arrangements.

7.6 Cross border and trans-frontier cooperation

The National Overviews³⁵ of the project were the initial source of information on which this analysis of cross-border and trans-frontier cooperation was based. The analysis is an extension of sections on the same subject, which can be found in a synthesis report undertaken earlier. Part of that report was included in the 2nd Interim Report but the full report is not totally complete. It will take a final form when some remaining comments are received from the partners covering particular countries.

In producing this in depth analysis of cross-border cooperation which we considered as critical from the point of view of territorial governance, we had to contend with some difficulties. Among them is the fact that information contained in the overviews was not complete, for a variety of reasons. Particularly when the issue of transnational cooperation is

³⁵ A national overview for Denmark is not available. The overview of Slovenia was not available when this classification was attempted, but it will be taken into account before the finalization of this analysis.

addressed, the cases reported were not described in uniform terminology or level of detail.

In addition, it is quite possible that not all instances of cooperation were included in the overviews and that those cases which were reported were examples and not a complete list of cooperation schemes. The cases which were recorded in the present synthetic attempt may not add up to the real total.

In the tables produced we listed the countries involved in each case of cooperation, mentioning first the country in the national overview of which we found the relevant information. E.g. in the summary table (Table 7.5) of all the cases (68 in total), there is reference of a case of cooperation between The Netherlands, Belgium and Luxembourg in the category "Joint Planning Agency". This denotes that this case was found in the overview of The Netherlands. The number of cases we identified in the overviews is 68. The categories of "forms of cooperation" follow, in terms of terminology, the wording used in the overviews, where information was found. But they may well have similarities and certain categories should be amalgamated. The category "Euroregions" is certain to be not exhaustive and possibly includes overlaps. For this reason information from NO was completed with other sources paying special attention to regional level.

ESPON project 2.3.2 has paid attention to EU Regions (NUTS II) experience as regards their participation in active transnational European networks; those dealing with territorial and other relevant issues and policies (i.e. environmental, planning, transport and development issues). The European networks database 'Welcomeuropewhich' is accessible through the website <http://welcomeurope.com/default.asp?id=1520> has been the exclusive source of information with respect to existing European (transnational) networks. The above website offers information and data on 29 networks dealing with local development, 35 networks with environment issues, 17 networks dealing with transport problems and solutions and 17 networks engaged in town planning issues. At this moment is not possible to include a full analysis in this TIR but some preliminary comments:

- Several networks consist of both individual partners and partnership structures or sub-networks. In such cases the partnership structures are further resolved into their individual constituent partners in order to record the latter as members of the initial supra-network. For instance, the Euromontana network bringing together regional and national organizations from mountain areas (to promote the economic,

Table 7.8: Cross-Border and Trans-Frontier Cooperation / Analysis of National Overviews

Form of cooperation	Cases reported	Cases reported	Countries involved total	Grouping (A)*	Grouping (B)**	Countries EU involved	Countries outside EU involved
1. Joint Planning Agency	6	Germany-Netherlands, France-Germany (?), France-Belgium (?), Netherlands-Belgium-Luxembourg, Cyprus-Turk. Community, Finland-Estonia-Russia,	8	15 (1+2)	Joint planning 20 (1 to 4)	Germany, Belgium, Cyprus, Estonia, Finland, France, Luxembourg, Netherlands,	Turkish-Cypriot Community
2. Joint Plan-Standing committee	10	France-Germany, Luxembourg-Germany-France-Belgium, Netherlands-Belgium-Germany, Netherlands-Belgium, Sweden-Denmark, Latvia-Estonia, Sweden-Finland, France with 7 countries (Belgium, Luxembourg, Germany, Switzerland, Italy, Spain), France with 5 countries (Luxembourg, Germany, Switzerland, Italy, Denmark), Norway-Sweden,	13			Germany, Belgium, Denmark, Estonia, Finland, France, Latvia, Luxembourg, Netherlands, Norway, Spain, Sweden, Switzerland	
3. Local authority cooperation treaty or agreement	3	Germany-Netherlands, France-Belgium-Luxembourg, Portugal-Spain	7			Germany, France, Belgium, Netherlands, Luxembourg, Portugal, Spain	
4. Joint plan-No standing committee	6	France-Belgium, France-Italy, France-U.K., Hungary-Slovakia, Switzerland-Italy, Slovakia-Poland	8	13 (3+4+5)	Belgium, France, Hungary, Italy, Poland, Slovakia, Switzerland, U.K.		
5. Crossborder working groups and boards for coordination between authorities of spatial planning	4	Germany-Belgium-Netherlands, Germany-Poland, Italy-France-Switzerland-Austria, Portugal-Spain-Argentina-Brasil	10	17 (5+6)	Spatial Coordination efforts 19 (5 to 7) (common with above: 13)	Germany, Austria, Belgium, France, Italy, Netherlands, Poland, Portugal, Spain, Switzerland	Argentina-Brazil
6. Transfrontier territorial planning cooperation or memorandum of understanding (often common projects, common services)	9	Luxembourg-France-Germany, Luxembourg-Belgium-France, Greece-Bulgaria, Greece-Cyprus, Lithuania-Finland, Spain-France-Andora, Spain-France, Greece with 3 countries off EU (Turkey, Georgia, Albania), Lithuania-Netherlands, Sweden CPMR Association (27 states) with A. Commission of Baltic, B. Other Commissions	13			Germany, Belgium, Bulgaria, Cyprus, Finland, France, Greece, Lithuania, Luxembourg, Netherlands, Portugal, Spain, Sweden	Andora

Form of cooperation	Cases reported	Cases reported	Countries involved total	Grouping (A)*	Grouping (B)**	Countries EU involved	Countries outside EU involved
7. Conference on Spatial Development	4	Austria-Germany, Austria-Hungary, Austria-Slovenia, Portugal (Peripheries Forward Studies Unit of the Conference of Peripheral Maritime Regions of Europe)	5	5		Germany, Austria, Hungary, Portugal, Slovenia	
8. Cross-border standing committee	9	Germany-Belgium-Luxembourg-France (EUREGIO), Austria-Germany, Austria-Hungary, Austria-Slovenia, Austria-Czech Rep., Austria-Slovakia, Austria-Switzerland, Austria-Italy, Greece-Bulgaria,	13	16 (8+9)	Cooperation 20 (8 to 12)	Germany, Austria, Belgium, Bulgaria, Czech Republic, France, Greece, Hungary, Italy, Luxembourg, Slovakia, Slovenia, Switzerland	
9. Joint cooperation committee	6	Switzerland-France-Germany, Slovakia-Austria, Romania-Bulgaria, Romania-Hungary, Portugal-Spain-France (Atlantic Axis EUREGION), Romania-Serbia-Ukraine	10			Germany, Austria, Bulgaria, France, Hungary, Portugal, Romania, Slovakia, Spain, Switzerland	Ukraine, Serbia
10. Crossborder Agreement with appointed government commissions	7	Germany-Belgium, Germany-France, Germany-Luxembourg, Germany-Austria, Germany-Switzerland, Germany-Poland, Lithuania-Latvia-Poland-Berarus	9	14		Germany, Austria, Belgium, France, Latvia, Lithuania, Luxembourg, Poland, Switzerland	Belarus
11. Crossborder agreement or collaboration	3	Czech Republic-Slovakia, Poland-Czech Republic-Slovakia, Finland-Russia	4	(10+11+12)		Czech Republic, Finland, Poland, Slovakia,	Russia
12. Other, e.g. network	1	Spain-France-Italy (Latin Arc)	3			France, Italy, Spain	
	68						
Euroregions	8	Austria-Germany (INNTAL), Belgium-Netherlands-Germany, Germany-Belgium-Luxembourg-France (EUREGIO), Austria-Slovenia (STYRIA), Belgium-France, Portugal (EUROCITIES-120 cities), Spain-France, Portugal-Spain-France (Atlantic Axis EUREGION).	9	9	9	Germany, Austria, Belgium, France, Luxembourg, Netherlands, Portugal, Slovenia, Spain	

* Grouping A: 5 groups. 1. Joint Plan-Joint Management. 2. Joint Plan-Separate Management. 3. Joint Cooperation and Coordination efforts in sectoral Planning. 4. Joint Cooperation and Coordination with indirect influence on Planning. 5. Joint Agreement for cooperation.

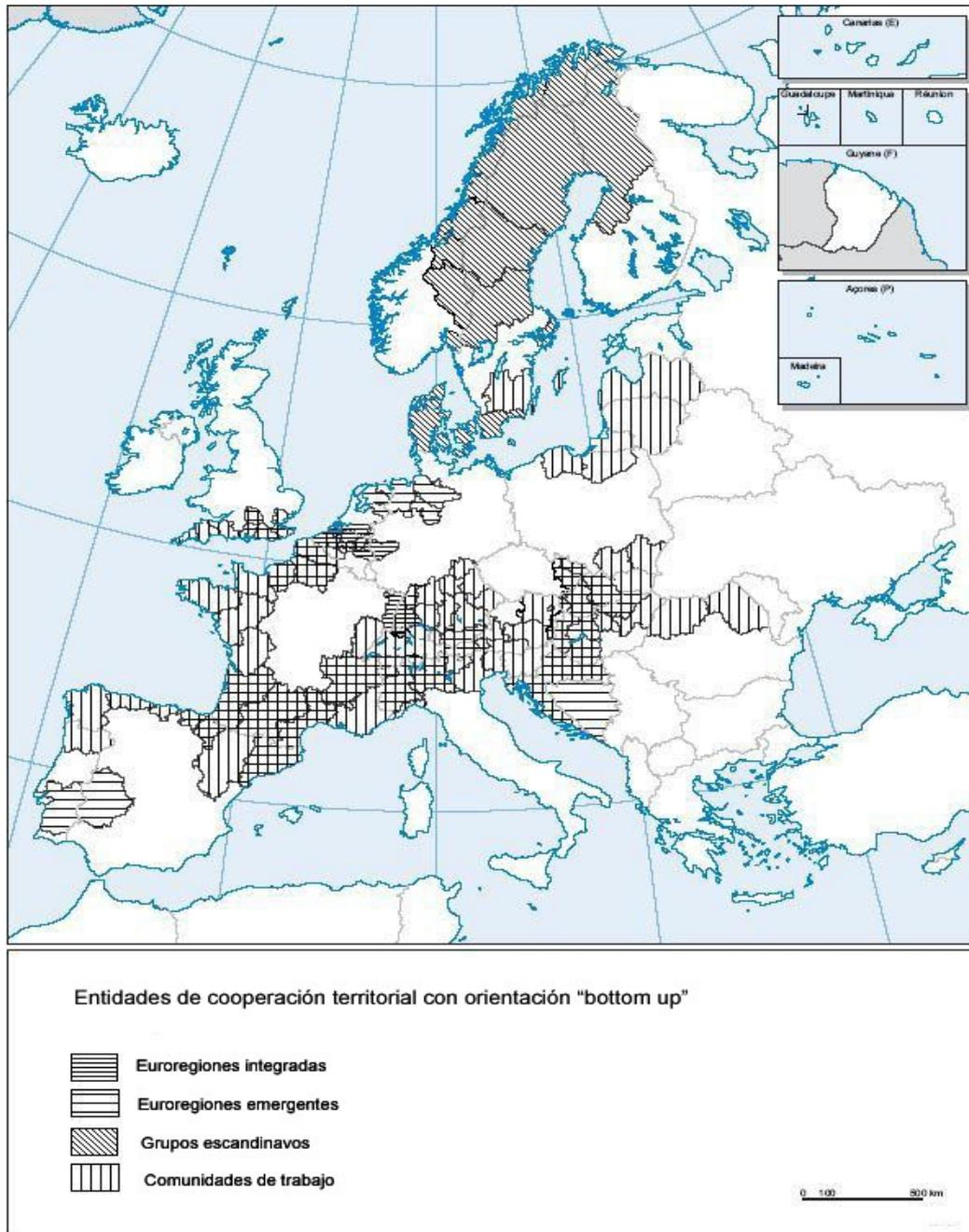
** Grouping B: 3 groups. 1. Joint Planning. 2. Spatial Coordination effort. 3. Commitment for Coordination with indirect influence on Planning.

cultural, environmental and social interests of mountain populations), incorporates both individual partners and collective entities. Among the second is SUACI (Montagne Alpes du Nord –Interdepartmental service for agricultural and rural development for the Pyrenies) involving several NUTS II and NUTS III authorities. The SUACI partners which are connected to NUTS II and NUTS III authorities have been recorded as members of the wider Euromontana network, suchlike those represented in Euromontana as individual partners.

- The work of sorting out the networks of interest in the context of the present study demonstrated that the networks of interest are 15 altogether where several of them are engaged in multiple policy issues (environmental, transport, local development and town planning). These are the following: EURADA, Megapoles, REVES, Euromontana, EMTA, EUROMETREX, POLIS, Metropolis, EPOMM, CPMR-Atlantic Arc, CPMR-North Sea, CPMR-Inter-Mediterranean, CPMR-Balkan and Black Sea, CPMR-Baltic Sea, CPMR-Islands. Each one of them, viewed in terms of Regional Authority participations (NUTS II units), is drawn up by means of an excel table consisting of three columns: one for the code numbers of the participant NUTS II entities, a second one for the code letters of the corresponding countries and a third one for the number of the network under examination (numbers from 1 to 15). Each one of the Excel tables bears a filename as the network it represents.
- One of the networks (CPMR -Council of Peripheral Maritime Regions) has been split up into its sub-networks or Geographic Commissions (Atlantic Arc, Balkan and Black Sea Geographic Commission, Inter-Mediterranean...). Each one of the sub-networks has been taken for a separate network (an assumption that may be contested) due to their size and fairly good autonomy.

A detailed study on 'bottom-up' oriented territorial co-operation figures was developed by Farinós & Payá (2004). Using the classification made by Markus Perkmann (2002) for these initiatives, the following map was elaborated:

Map 7.1: Territorial co-operation figures at regional level with "bottom-up" orientation



Source: Farinós & Payá, 2004

A classification of objectives to which the analysed initiatives of co-operation were focused was able to be elaborated as it follows in the two following tables.

Table 7.9: Classification of objectives of the analysed territorial co-operation figures

Political	Economical	Social	Spatial
P1: Democracy	E1: SMEs	S1: Sports	T1: Polycentrism
P2: Local Government	E2: Tourism	S2: Learning	T2: Urban-rural relations
P3: Representation at higher levels	E3: Innovation	S3: Health	T3: Public policies of Transport and Multimodality
P4: Succeeding in joint documents	E4: Competitivity	S4: Immigration	T4: Infrastructures of Communication and Energy
P5: Multilevel Government	E5: Chambers of Commerce	S5: Youth	T5: New TIC
	E6: Co-operatives	S6: Culture	T6: Integrated Networks of Ports and Airports
	E7: Agriculture and/or fisheries	S7: Employment	T7: Environmental Policy
		S8: Environment	T8: Management of the Cultural Heritage
		S9: Equity of Opportunities	T9: Integrated Spatial Planning (Visions)
		S10: Public Services	T10: Territorial Cohesion

Table 7.10: Objectives of each co-operation initiative

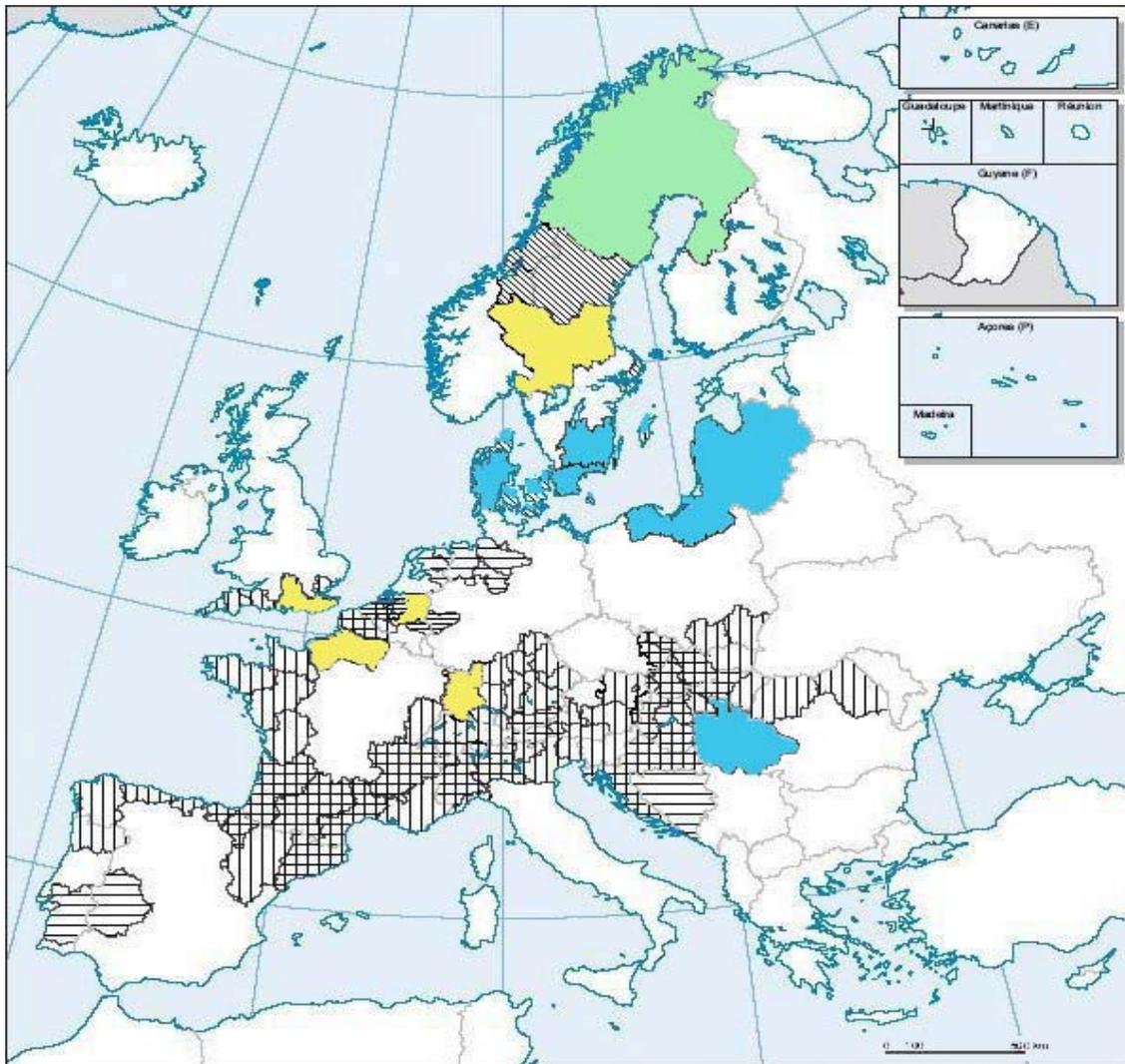
Entity	Year	Political	Economical	Social	Spatial
International Fora of Territorial Co-operation					
Council of Europe	1949	P1, P4			
CEMR	1951	P1, P2, P5		S7, S8, S9, S10	T2, T3, T4, T5, T10
AEBR	1971	P3			
CRPM	1973	P5	E7		T1, T4, T8, T9, T10
ARE	1985	P1, P3		S6	
CoR	1992	P3, P4, P5			
CPLRE	1994	P1, P3, P4			
Sectoral Organismes of Interregional Co-operation					
RETI	1984		E1, E4		
Innovative Regions of Europe	1994		E3		
CREMA	1995				T7, T9
CASTer	1995		E4		
EIRA	2002		E4		
Entities of Territorial Co-operation with 'bottom-up' orientation					
<i>Integrated Euroregions</i>					
Euregio Trirhena	1995		E1, E2, E4	S1, S6, S8	T3, T4, T5, T6, T9
Scheldemond	1989		E2	S2, S3, S8	
Euregio Maas-Rhein	1976		E1, E2, E7	S1, S2, S3, S5, S6, S7, S8	T3, T7
Benelux Middengebied	1984		E4	S2, S4, S6, S7, S8, S9	T3
<i>Emerging Euroregions</i>					
Conseil du Leman	1987		E2, E5, E6	S1, S2, S6, S7	T4, T9
Regio Insubrica	1995		E2, E7	S2, S3, S6	T7, T9
Süd Tirol	1998		E2	S2, S6, S8	T4
Euskadi-Navarra-Aquitaine	1992			S1, S2, S6	
Midi-Pyrénées/	1991			S6	

Languedoc-Roussillon/ Catalunya					
Kent-Nord Pas de Calais	1987		E2		
Rives-Manche Region	1993		E4	S7, S9	T7
Extremadura-Alentejo	1992			S1,S2,S5,S6,S8	
Nieuwe-Hanze Interregio	1991		E5		
PAMINA	1988		E4	S6, S7, S8	
Duna-körös-Maros-Tisza Regionális	1997	P2, P5		S1, S2, S6	
Bilé-Biele Karpaty	2000		E7	S6, S7, S8	T5
<i>Scandinavian Groupings</i>					
Nordkalottkommittén	1971			S2, S10	T4, T7, T8
Nordatlantiska Samarbetet	1980			S7	T6
Arko Co-operation	1978		E1, E4	S2, S7	T4, T5, T8
Kvarken Council	1972		E1, E2, E6	S2	T4, , T7, T8
Archipelago	1978				T8, T9
Öresundkommittén	1964	P5	E3, E5	S2, S8	T4, T8
Mittnorden Committee	1977			S5	T4, T7, T8
<i>Working Communities</i>					
Carpathian Euroregion	1993	P1, P2			
Comité Regional Franco- Genevois	1974			S1, S2, S6, S7, S8	T4
Alpes-Adria	1978		E7, E2	S8	T4, T6, T1, T8
C. T. del Jura	1985	P4	E2, E7	S1,S2,S3,S6,S8	T4, T5, T9
Mont-Blanc Conference	1991		E2, E7		T4, T7
Regio Bodensee	1975		E2	S1,S2,S6,S8	T4
Arge Alp	1972		E7	S2, S6, S8	T4
COTRAO	1982		E2, E3	S1, S2, S5	T4, T7
C. T. de los Pirineos	1982		E2, E7	S8	T4, T8
Euroregion Transmanche	1991		E2		
Arc Manche	1995		E2	S6, S8	T6
Euregio Baltık	1998	P5			T7
Arco Atlántico	1989				T1
C.T.Galicia-N. de Portugal	1991		E7	S2	T4

The objectives were divided into two groups. The first one is related to the political (mainly multilevel government), economical (mainly competitiveness) and social (mainly public services) objectives. The second group is related to the spatial objectives. Those objectives are referred to by the three guidelines of the ESDP and two more which share the guidelines: the objective of the spatial visions and of the territorial cohesion.

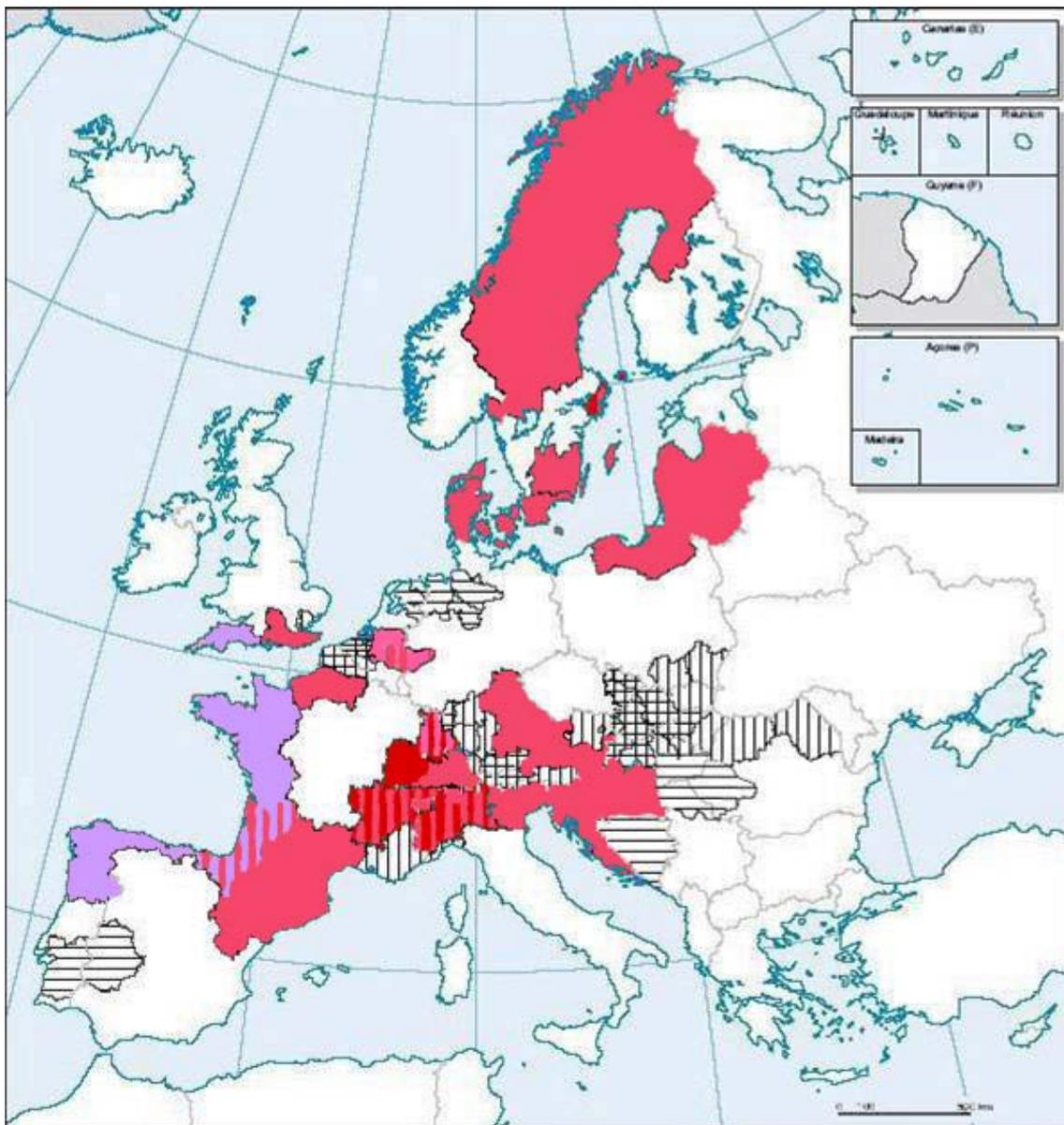
Most of those figures of territorial co-operation began as an answer to the challenges presented in a new more competitive global context, in which the regions act as units of production and whose main way for their survival is the association with other territories with common structures and objectives. Currently those objectives have been surpassed and now many of the figures of territorial co-operation work in order to reach more complex objectives. But, as can be seen in map 7.3, any of the 'bottom-up' oriented territorial co-operation figures has the objective of territorial cohesion. Only some of the international fora tend to reach this objective.

Map 7.2: Territorial co-operation figures focused to political, economical and social objectives



Source: Farinós & Payá, 2004

Map 7.3: Territorial co-operation figures focused to spatial objectives



Source: Farinós & Payá, 2004

8. Data & Indicators to assess governance in urban and territorial policies

8.1 Introductory remark

As responsible of WP3 IRPUD has read and approved the remarks on the last interim report made by CU.

- The data and indicators have been organized using available guidelines (metadata description).

- The maps will also follow the rules set out by the guidelines. In the future, more interpretation will be provided with all maps. Up until now such interpretations are not included as the draft maps were only for internal discussion and exchange of ideas.
- Gaps in data and indicators and experience with data collection have been constantly addressed. A complete list with wishful data will be provided. Here again the statement is repeated, that the CU/MA should consider in future ESPON rounds the specific collection of data and the generation of indicators for the various governance aspects.
- In all following steps we will try to identify indicators in support of territorial cohesion, trying to make use of proposals coming from project 3.2 and results of next meeting on TIA (13th January)

IRPUD has been collecting data on various governance (or governance related) aspects over the past months. A complete list of data which will be included in the quantitative analysis is provided in the Annex 2 (List in Table 8.4)

These data will be used now in several ways:

- IRPUD will produce thematic maps relevant for the governance topic (examples can be seen in this document),
- IRPUD will try use the data to generate a synthetic indicator to define typologies (see section 8.7),
- IRPUD will try to use the data and indicator in advanced statistical tests to hypothesise about governance trends or impacts.

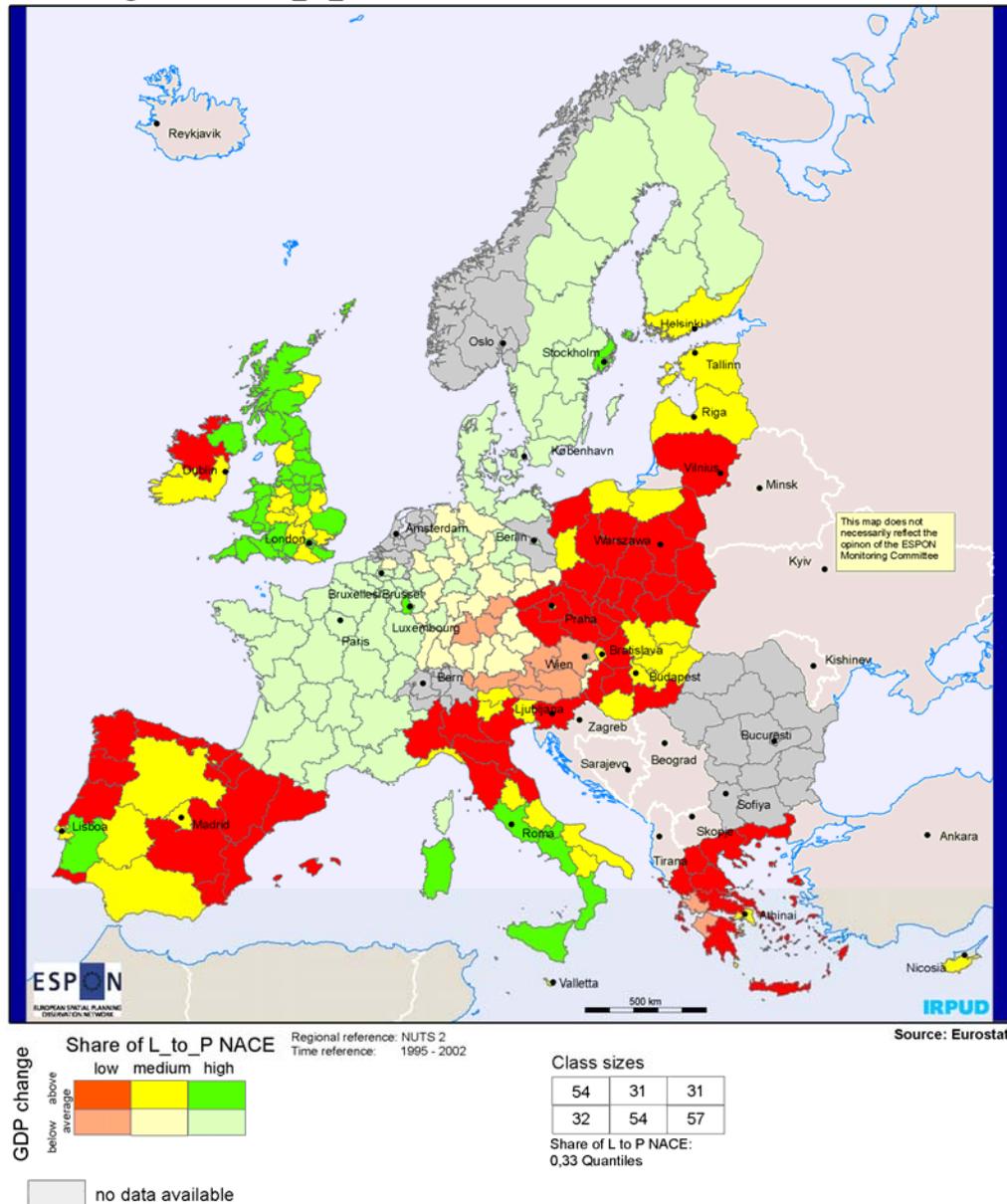
As before the general reservation has to be made, that the data and indicators in the field of governance are at best approximations and that the governance field can not be assessed entirely on the basis of statistical data.

8.2 Data on governance – ESPON DB, Eurostat, Eurobarometer

IRPUD has collected over the past months a number of data in the field of governance. While doing this, data bases of ESPON, Eurostat, and Eurobarometer have been assessed and checked for availability. In November, IRPUD also accessed the European Social Survey data base to check data on 'voter turn out' and voting patterns. Although these data are available at NUTS3 level, they only cover 17 countries and provide values for national elections only. The original intention was to use the CS to generate data on the political governance in our regions, taking voting patterns e.g. as expression of political interest of local people in local democracy. The focus was to support regional differentiation which is not possible with ESS data, as the only reflect a national issue.

Map 8.1: GDP/Public employees

GDP change / Share of L_to_P NACE



IRPUD also follows the suggestion of CU/MA to investigate further the data on public employees. ESPON 2.3.2 had a discussion in May 2005 in Luxembourg about the potential interpretation of these data. The main argument put forward by IRPUD was, that NPE (number of public employees) can be understood as expression of the presence of the state within the wider activity structures of a country. The NACE categories available for NPE do however include a number of additional services, also provided by or for private sector. On inquiry and communication with German statistical offices, it turned out that a more precise delineation of the data is not readily available (reporting procedures for Eurostat

included). An alternative approach via public budgets (which include figures on pay rolls, which in turn display the amount of public employees) proves too time consuming and also – in terms of comparability between countries – too difficult. However, the L-P NACE class can be used as an approximation. An earlier version of NPE and GDP development has resulted in the figure (Map 8.1).

Interpretation of the current picture is difficult. The polarity expressed in the map is an interesting aspect. There are regions which do have a high share of NPE (overall employment) some of which show an above GDP change (average), some show a GDP change below average. Similarly, there are regions with a low share of NPE showing above average change of GDP, and regions with a high share of NPE, showing above average change of GDP. To clarify the situation further, we will go back to the basic data and analyse the NPE situation and the GDP situation as such. Then we look again at the combined indicator.

8.3 National Overviews

A first and very preliminary attempt towards the description of different governance situations has been made with the help of the National Overviews [NO]. Part of the synthetic analysis of the NO resulted in tables which were used to generate scores on different governance aspects. The result of which can be seen from Map 8.2 below.

The data which have been included in this map address the general acceptance of governance, changes in formal government into the direction of governance, experience with participation, experience with partnership, and the financial dependence or independence of lower tiers.

One interpretation of these indicators might be, that they show countries which are more advanced in their application of governance principles, preparing the ground for wider governance application. This is expressed by the notion of 'shift towards governance'.

Map 8.2: Governance in urban and territorial policies

Governance in urban and territorial policies



Degree of shift from government to governance



Data Source: National Overviews ESPON 2.3.2
Indicator: IRPUD Qualitative [S1 - S5]
Draft version - October 2005

Note: For the details about the way to define this indicator see Table 8.1 below.

The data only present a general picture for entire national territories and do not go below that level. They are expert opinions for the respective countries and as such for sure debateable. However, on the assumption that basic principles for governance relate to national situations, this picture is also valid in the sense, that from here we might achieve different interpretations regarding f.i. the case studies (below).

Since October 2005 a revised version of the base tables for the map on governance is available. This table has been checked by national experts

Table 8.1: Elaboration of Governance indicator

titel	Official acceptance of governance concepts and principles	Changes in formal government in the direction of governance	Experience with participation processes	Experience with partnerships	Extent of financial dependence of local government on central government	Governance Score
Method	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle number is "0".	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle number is "0".	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle value "0" does not exist.	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle value "0" does not exist.	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle number is "0".	Summing up the results of the Score components the scale range is -7 to +7
Assumption	We assume that the classes are characterised by identical internal differences (e.g.: -1 ist worse than 0 to the same extend as 1 is better than 0. no data available = neutral impact the indicator has double weight	We assume that the classes are characterised by identical internal differences (e.g.: -1 ist worse than 0 to the same extend as 1 is better than 0. no data available = neutral impact the indicator has double weight	We assume that the classes are characterised by identical internal differences (e.g.: -1 ist worse than 0 to the same extend as 1 is better than 0. no data available = neutral impact the indicator has standard weight	We assume that the classes are characterised by identical internal differences (e.g.: -1 ist worse than 0 to the same extend as 1 is better than 0. no data available = neutral impact the indicator has standard weight	We assume that the classes are characterised by identical internal differences (e.g.: -1 ist worse than 0 to the same extend as 1 is better than 0. no data available = neutral impact the indicator has standard weight	
source	file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	IRPUD Qualitative Governance Indicators ESPON quali S1,..., Sn
Author	IRPUD Stefan Peters	IRPUD Stefan Peters	IRPUD Stefan Peters	IRPUD Stefan Peters	IRPUD Stefan Peters	IRPUD Stefan Peters
Date	08.06.2005	08.06.2005	08.06.2005	08.06.2005	08.06.2005	08.06.2005
classes	1 = Active and explicit acceptance and implementation, 0 = Indirect acceptance and/ort neutral position, -1 = Low degree of acceptance and/or still at a stage of initial dialogue	1 = Existence of specific reforms which are already implemented, 0 = Existence of intended reforms or of reforms under way, -1 = No initiatives so far	-1 = limited experience, 1 = Extensive experience	-1 = limited experience, 1 = Extensive experience	-1 = dependant, 0 = Fairly independent, 1 = independant	
code	IRPUD quali S1	IRPUD quali S2	IRPUD quali S3a	IRPUD quali S3b	IRPUD quali S5	

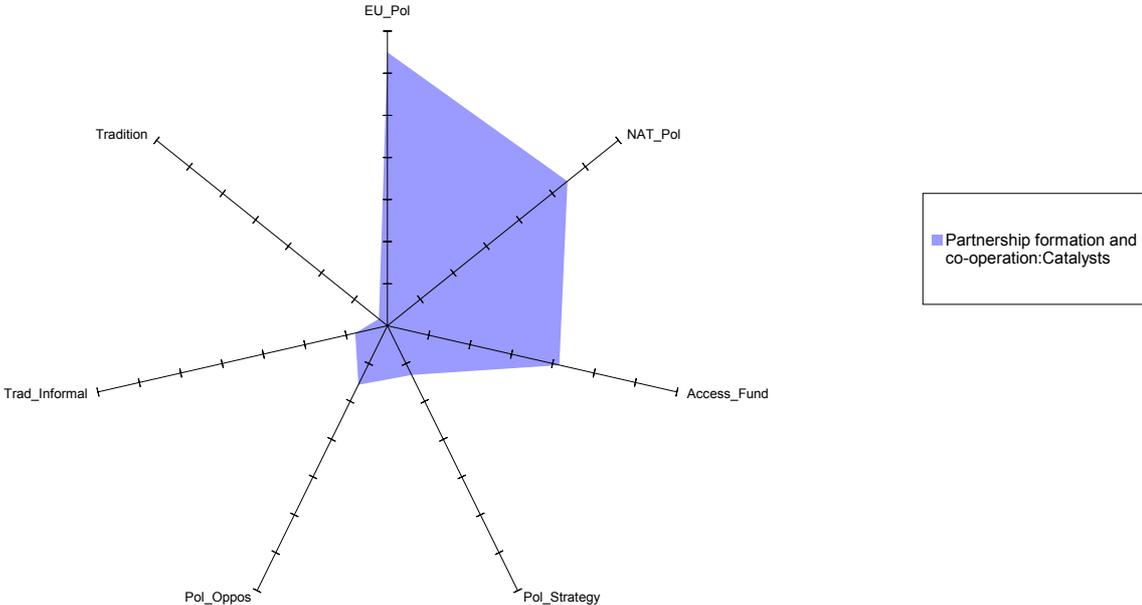
in terms of validity and can now be used to repeat and extend the exercise, including more assessments³⁶.

One possible way to use the data for interpretation can be seen from below figures.

The technique of spider diagrams is quite appropriate for the purposes of this project:

- the areal presentation in the diagram represents the complexity of the governance field,
- what is also obvious are the areas in between the axes, standing for all aspects which can be subsumed under the often very broad definitions of governance aspects or characteristics,
- the spider diagrams can be used to further structure the discussion by opening more questions.

Figure 8.1: Partnership Formation (NR): Catalysts

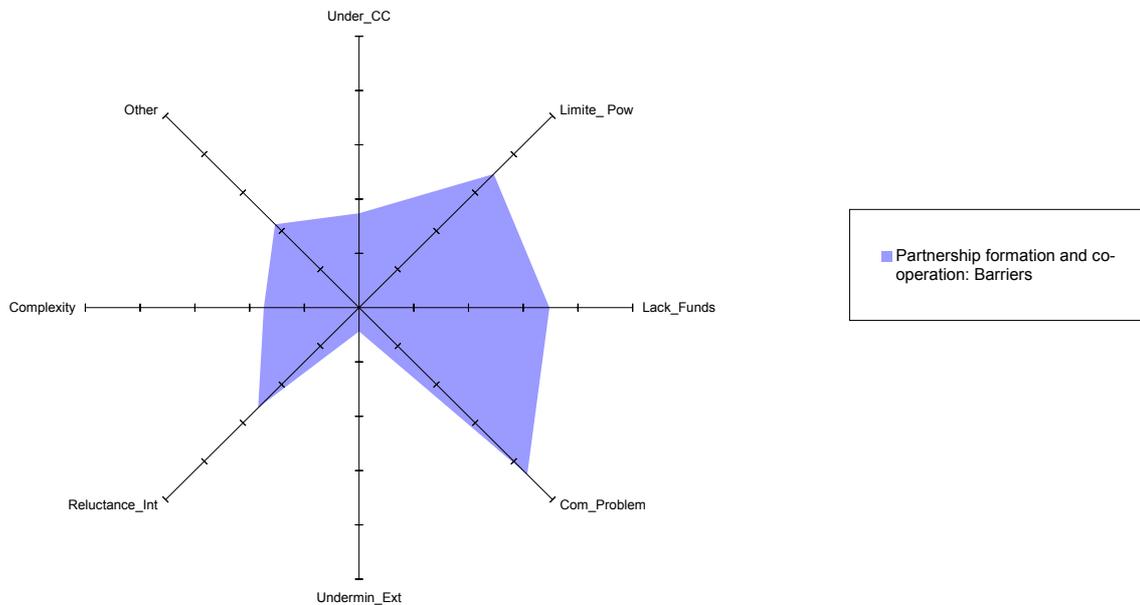


Acronyms Figure 8.1: EU_Pol - EU policies and funding; NAT_Pol - National or sub-national legislation and policy; Access_Fund - Economic interests of participants (e.g. to gain access to funding sources); Pol_Strategy - Political reasons (e.g. support for or

³⁶ The basic data come from the national overviews, 28 in total. In an iterative process these national overviews have been further condensed, in a last step towards tables indicating whether e.g. certain institutions were catalysts to partnership formation (Figure 8.1). These characteristics have been used to construct spider diagrams.

opposition to central government); Pol_Oppos - Public reaction to government policy and public projects; Trad_Informal - Tradition of informal procedures; Tradition.

Figure 8.2: Partnership Formation (NR): Barriers

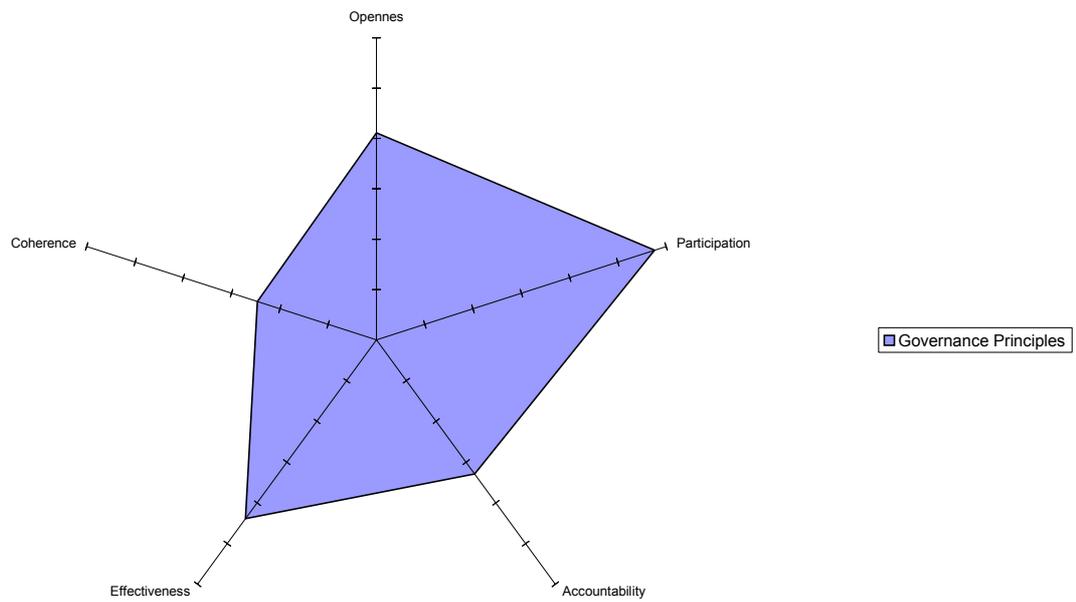


Acronyms Figure 8.2: Unde_CC - Undeveloped civil society and hierarchical decision-making; Limite_Pow - Limitations on powers and activity potential of partnership; Lack_Funds - Lack of funds and external dependence; Com_Problem - Communication problems between participants, antagonisms, mutual suspicions etc.; Udermin_Ext - Undermining from external sources; Reluctance_Int - Reluctance to share power; Complexity; Other.

Figure 8.2 reveals the barriers to partnership formation, which seem to be rather 'practical' dimensions, lack of power, lack of funds in particular. The question results, whether more resources are needed to sustain partnership solutions. The other barriers can be interpreted as more general communication problems between actors.

Figure 8.3 finally provides an image of the central elements of 'good governance', which have been identified in national reports. Two of the elements stand out: participation and effectiveness. The other aspects of 'good governance' follow close, though the aspect of 'coherence' seems to be less important. Participation, accountability, and effectiveness seem to be the central elements of 'good governance' in urban and territorial policies.

Figure 8.3: Priority Emphasis on Governance Objectives (NR)

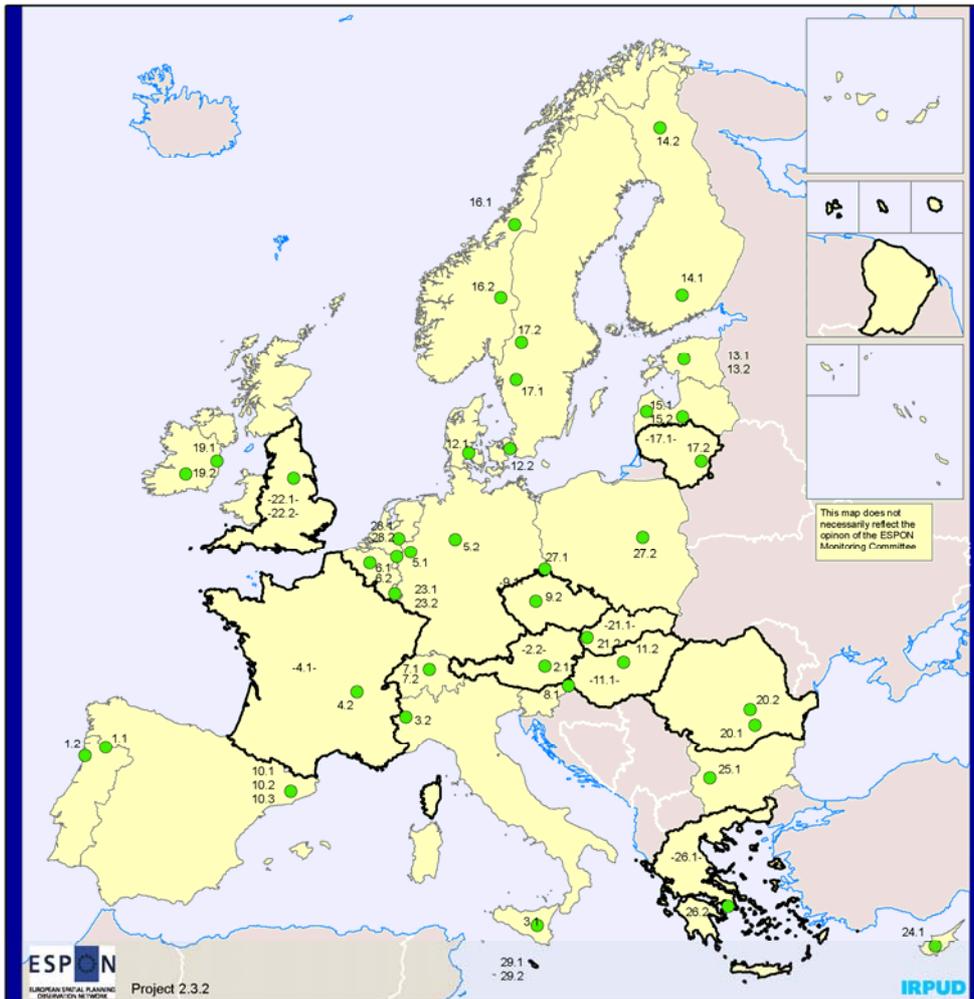


8.4 Case Studies – constructing a sample

In Map 8.3 all the Case Studies for the ESPON 2.3.2 project (CS, altogether 56) have been mapped. The majority of cases have a clear territorial dimension. Eight case studies relate to national territories.

Map 8.3: Case Studies Overview

Case Studies overview



Location
 ● "Regional" Case Study
 □ "National" Case Study

The case studies provide extensive material on governance processes in urban and territorial policies in EU countries. Besides this qualitative approach, a statistical approach was also applied taking the form of statistical data sheets.

The statistical Data Sheets have been filled in for 47 of 58 cases. Despite this large return, the specific results are not satisfactory. Again the degree of interpretation for what was required is immense when looking at answer patterns, despite explanations and references to similar data in Eurostat. It turns out again, that harmonized data at a regional or local level are very difficult to obtain. To attempt a harmonization of the data delivered, to integrate these data in a reasonable fashion, or to use these for further analysis had to be cancelled with respect to available resources.

However, an alternative can be found using the NUTS3 and NUTS2 codes for the CS to generate from official data sources a set data.

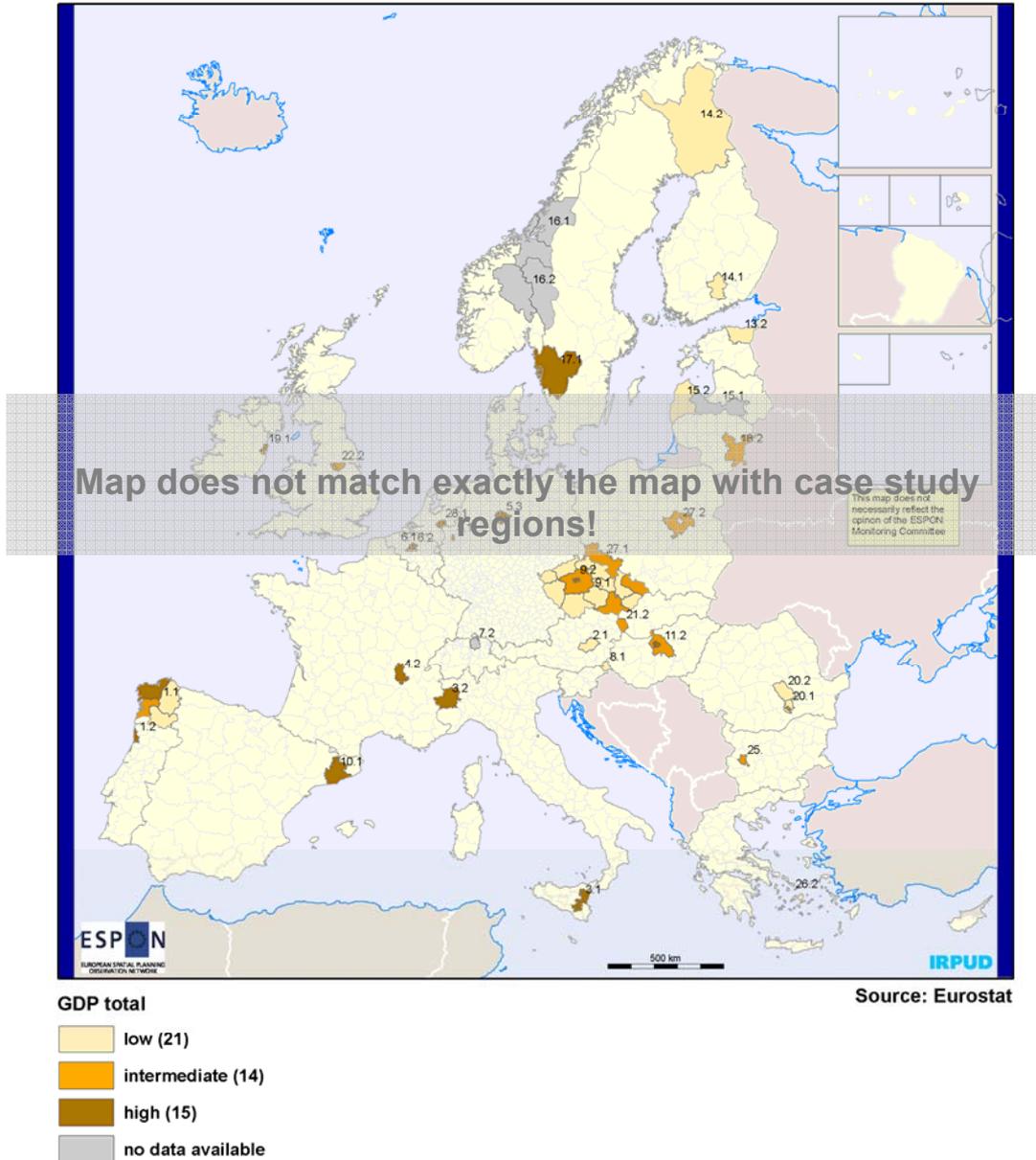
In following working steps, IRPUD suggests to apply a similar structure for the data collection as for the TIA (see below), collecting data to identify structural aspects, and data to identify dynamic aspects. The structural aspect includes (level NUTS3): population total, GDP total, FUA, Polycentricity, (urban-rural). From a 'dynamic' perspective (level NUTS2): population change, GDP change, pentagon, lagging region, multi-modal accessibility will be generated.³⁷

When mapping these data for the CS, the following picture might be achieved (see Map 8.4 and Map 8.5).

³⁷ The application of data from different NUTS levels is mainly due to the availability of data, which is different between static and dynamic perspective.

Map 8.4: GDP in Case Study Regions

Case Studies GDP

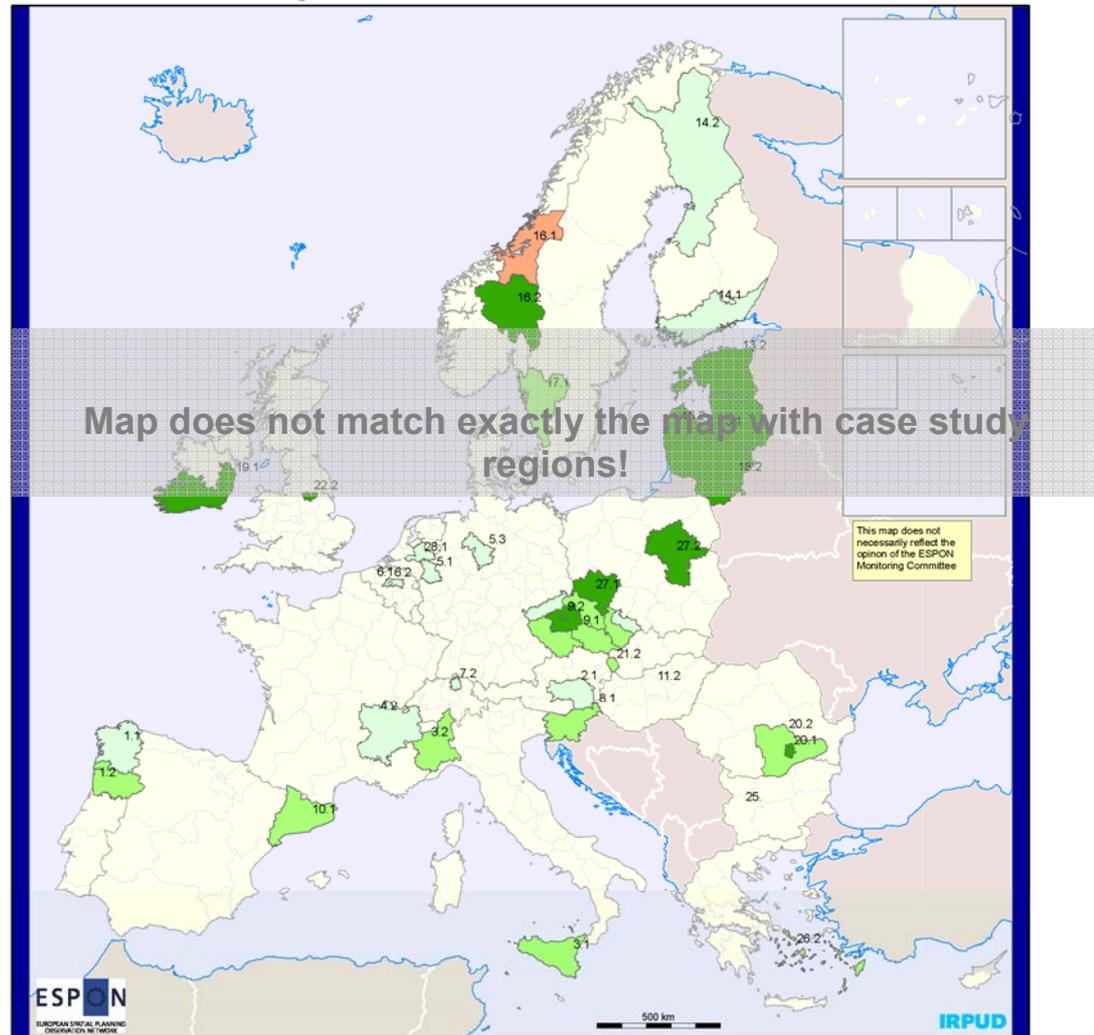


NB: Maps 4 and 5 in a graphic way indicate how a further differentiation regarding case studies might be achieved. While writing the report, CS authors were asked to check again the case study location and reported back, that some of the nuts regions chosen for this exercise did not exactly match the case study location. This will be remedied for the final report.

Case Studies GDP (NUTS3) - When differentiating between three classes (0.333 Quantile), 21 case study regions are lower, 14 intermediate, and 15 show a higher GDP (compared with EU average).

Map 8.5: GDP Development

Case Studies GDP Change



GDP change 1995-2000

- negative (1)
- < 33 % (12)
- < 44 % (13)
- > 44 % (11)

Source: ESPON Data Manager

In terms of GDP Change (NUTS2), GDP growth between 1995 and 2000 varied very strongly – but always in a growth dimension! Twelve cases are below a growth (attention!) of 33%, thirteen cases between 33 and 44%, and eleven cases have more than 44% growth.

The intention of this approach is to use the CS as a sample and to draw conclusions for the wider set of regions in Europe, which fall into the same categories. Finally, with the help of this sample, also statistical test might be possible, e.g. addressing the possible impact of governance.

8.5 Numeric Parts

Regarding data and indicators, the Case Studies were linked with one additional step:

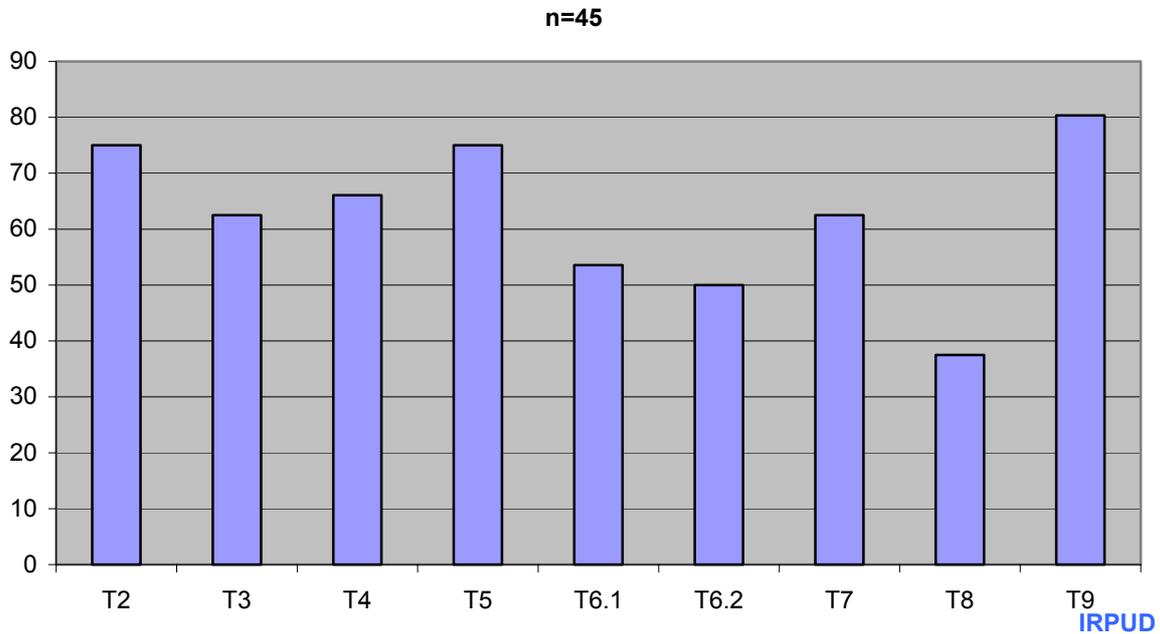
In an extensive Numeric Approach [NA] (see Table 8.5 in Annex 2), CS authors were asked to assess various aspects of their cases with the help of scores. The intention was to translate the scores into indicators which consequently might be used to identify typologies (similar to above description of 'governance scores').

This step turned out to be rather difficult on the side of addressees, i.e. the different experts and authors responded in many diverse ways to the request to collect new data and/or to fill in the NA. Moreover the return rate of the numeric questionnaires was quite low at the time of the original deadline set out³⁸. In terms of the delayed deadline for data collection the result presented in this report have a preliminary character.

For the TIR finally 45 numeric parts were collected and could be used for the analyses. This means a return rate of 80 %. You can find more detailed information which of the CSs are included for the TIR in Table 8.7 of the annex. To give an appropriate description of the main handicaps of the returned files it is also important to address the degree of completion for single tables, which were included within the numeric parts. There were nine tables included, the single entry rates you find in Figure 8.4. Because of the varying return rates the tables T2 and T9 (see Table 8.5 in Annex 2) were evaluated as a starting point of the analysis because they both had a comparatively high rate of 75 % and 80 %.

³⁸ To receive at least a valuable amount of numeric tables the deadline was extended twice and the addressees were contacted several times.

Figure 8.4: Proportion of Completed Tables



In addition to an overall evaluation of all CSs there will be a further comparison of the specific geographical dimensions of the CSs. The CSs are therefore distinguished by their geographical dimensions:

- trans-national/cross-border
- national
- 'regional' polycentric urban network
- functional urban areas/metropolitan regions
- urban-rural
- intra-city.

The CSs were grouped to classes as shown in Table 8.2 below.

Table 8.2: Geographical Classification of Case Studies³⁹

Geographical dimension	CS included so far	CS not included
Trans-national/cross-border	1.1: 12.2: 14.2: 17.2: 19.2: 23.2: 27.1: 28.2	13.1: 23.1
National	11.1	
'Regional' polycentric urban	2.2: 12.1: 14.1: 16.1: 20.1: 21.2: 22.1: 22.2: 28.1	17.1
Functional urban	4.2: 5.2: 6.1: 7.2: 9.2: 10.1: 10.2: 10.3: 11.2: 19.1:	1.2: 7.1: 18.2
urban-rural	2.1: 3.1: 3.2: 4.1: 8: 9.1: 16.2: 21.1: 26.1: 26.2:	15.1: 15.2: 18.1:
intra-city	5.1: 6.2: 29.1	13.2

³⁹ Complete list of case studies in Table 8.6, annex 2.

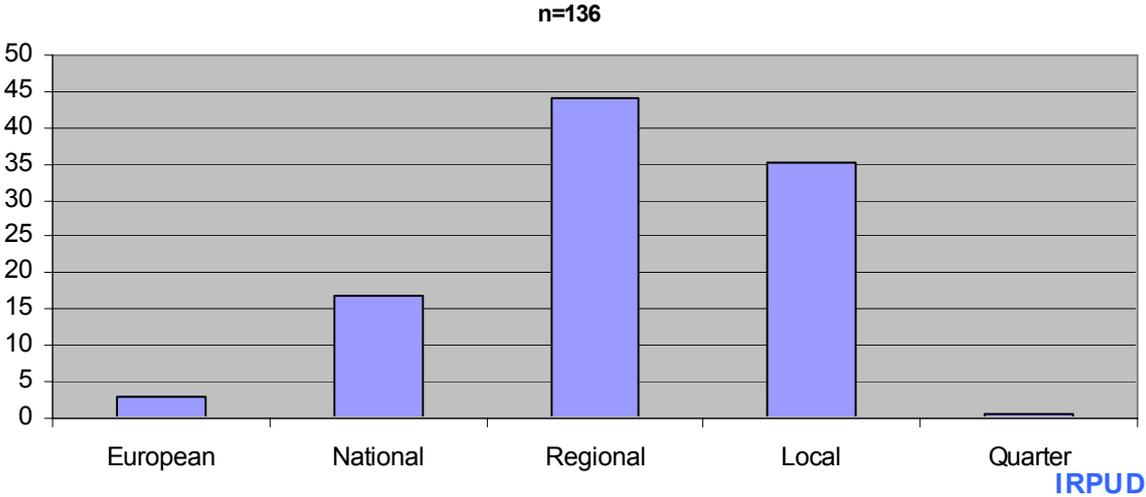
8.5.1 Evaluation of T2

In T2 of the NA the project wanted to find out about the character of the vertical relations between territories. Questions therefore asked to list the main territorial levels being involved in the case study and to score these concerning the following issues: 'degree of involvement', 'competences', 'negotiating powers' and 'financial resources'.

The following figures show the scoring results aggregated for the main territorial levels. This was necessary as the open structure of the questionnaire allowed for very individual entries when listing the territorial levels. Therefore first of all data used to name the respective levels have been harmonized to five categories (European, National, Regional, Local, Quarter). This was necessary, as authors partly used references to institutions rather than to territorial levels (so confusing the institution with the level – or taking it as equal). Moreover territorial levels with slight variations from the main categories had to be assigned to one of the categories e.g. entries like Sub-regional were classed as Regional or entries like trans-national were classed as European.

The 45 NA listed a total of 136 bodies⁴⁰ for the different territorial levels as being involved in the CS. As can be seen from Figure 8.5 most of the bodies were regional or local⁴¹.

Figure 8.5: NA T2 – Proportion of Entries by Territorial Levels (in %)



⁴⁰ The term 'bodies' includes institutions and organisations or initiatives. It does not include persons.

⁴¹ Multiple mentions of geographical levels were possible within a single CS. There are some gaps in between the tables because of invalid entries (scores). Thus the total number of entries may vary from figure to figure.

In the following sections, the scoring of the territorial levels will be displayed with the help of spider diagrams. These diagrams show on one hand the distribution of scores for the total quantity of the CS. Additionally there are diagrams that present the specific distribution for the six geographical CS types as explained above.

The technique of spider diagrams⁴² is quite appropriate for the purposes of this project:

- the areal presentation in the diagram represents the complexity of the governance field,
- what is also obvious are the areas in between the axes, standing for all aspects which can be subsumed under the often very broad definitions of governance aspects or characteristics,
- the spider diagrams can be used to further structure the discussion by opening more questions.

A general word of caution has to be made here: The following descriptions of characteristics which were found in the case study material have to be seen in the wider context of the other parts of this report presenting WP5 results (see section 9). I.e. a straight forward interpretation e.g. on impacts of the governance in regions is not possible, yet. This is particularly important for the reading of the spider diagrams. The main axes of these diagrams stand either for the different territorial levels involved in case studies and establishing the vertical relations (cf. Figure 6) or for main characteristics of existing relations (cf. Figure 28). The diagrams provide simple counts (no weights). The importance is the difference between scores (e.g. between standard or strong involvement) and the respective peaks (e.g. either peaking at the regional or local level). The uneven distribution of N=136 (Figure 8.5) between regional, local and national levels has an impact on all following diagrams.

8.5.2 Vertical relations – degree of involvement

The questions tried to shed a light on the characteristics of vertical relations existing between different bodies or representatives in the case studies. Figure 6 to 11 look at the general degree of involvement, differentiating between no involvement at all, standard, or strong involvement.

Different 'triangular' relations are obvious in the figures, forming tripartite relations between levels. As was to be expected, those relations unfold especially between local, regional, and national levels. For the trans-

⁴² The text excludes some figures, especially when the statistical basis was all too weak for a graphical presentation, e.g. in the case of N being below 5 items.

national and cross border cases (Figure 7) an interesting observation is the by-pass of the national level when strong involvement is concerned. Main interaction seems to be directly between localities, regions, and the EU, following EU intentions of direct action.

Figure 8.6: Degree of Involvement by Territorial Levels, all CS (T2; n=139)

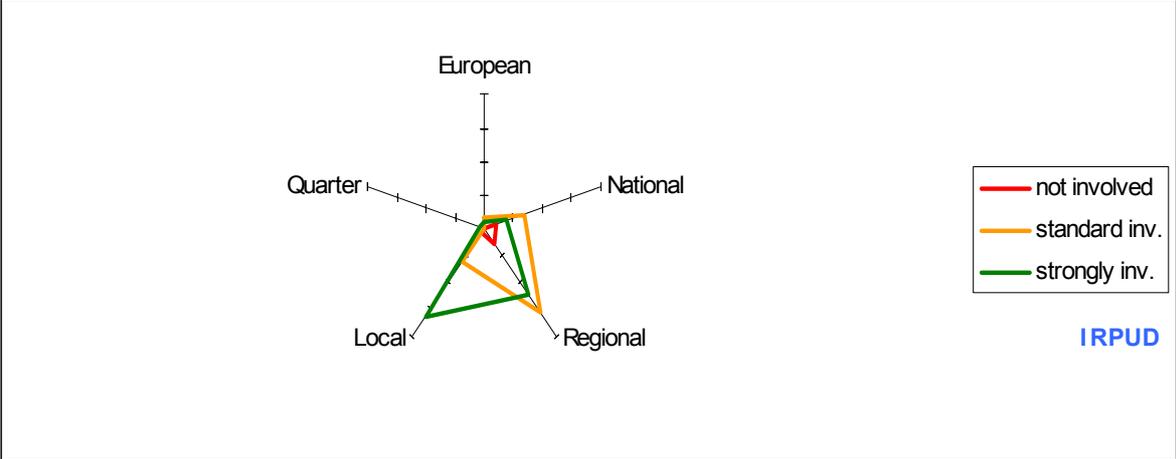
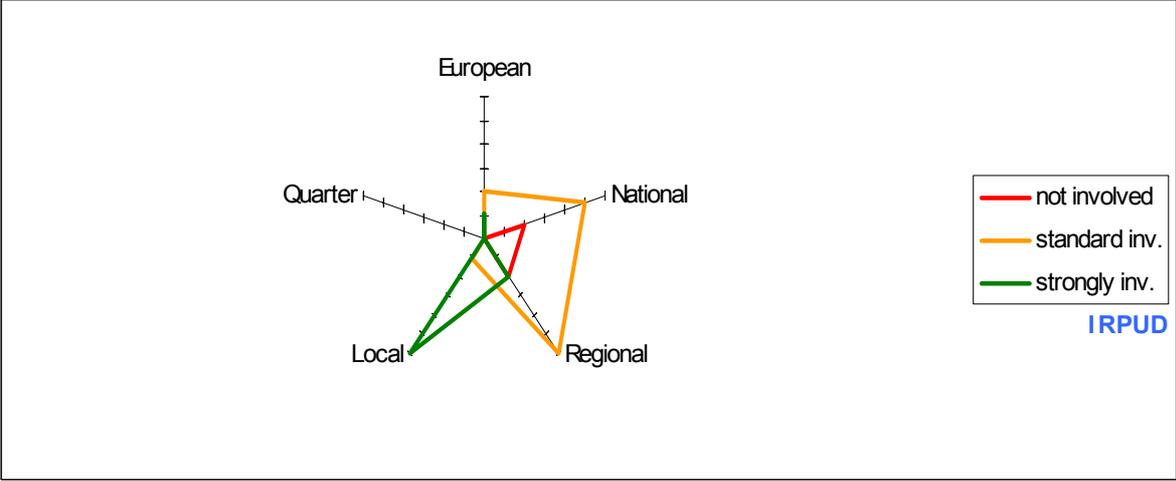


Figure 8.7: Degree of Involvement - Trans-national, Cross-border CS (T2; n=27)



The figure for the geographical level national has been excluded due to lack of data.

Figure 8.8: Degree of Involvement - Regional Polycentric Urban Networks (T2; n=23)

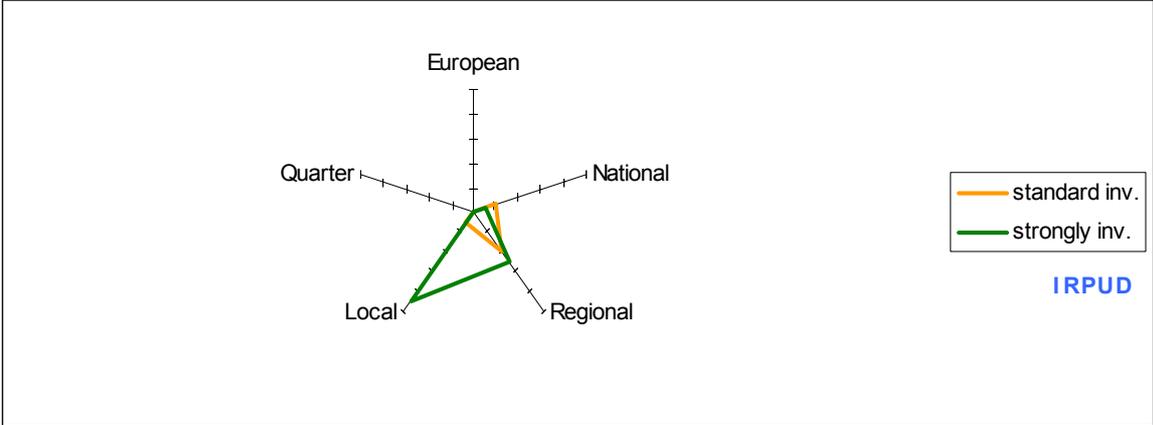


Figure 8.9: Degree of Involvement by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies (T2; n=45)

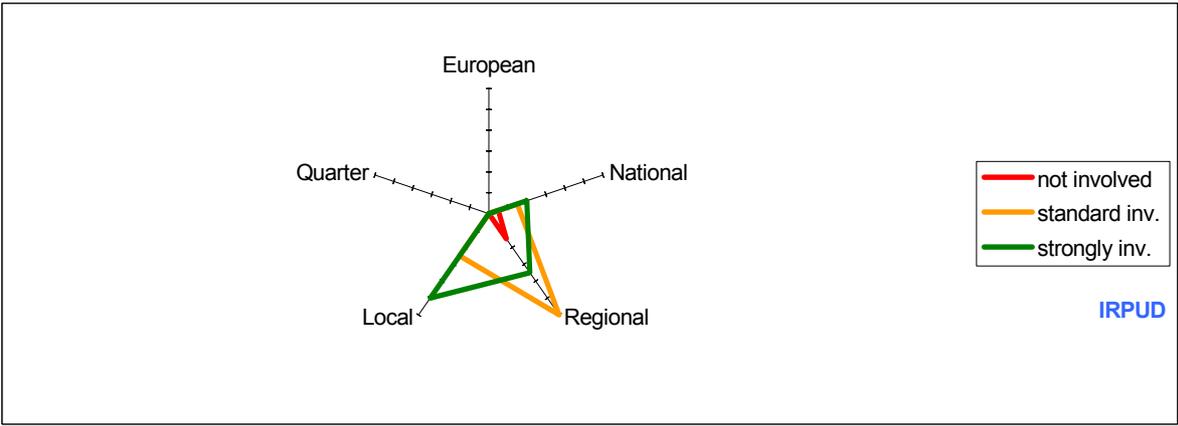


Figure 8.10: Degree of Involvement by Territorial Levels - Urban-rural Case Studies (T2; n=33)

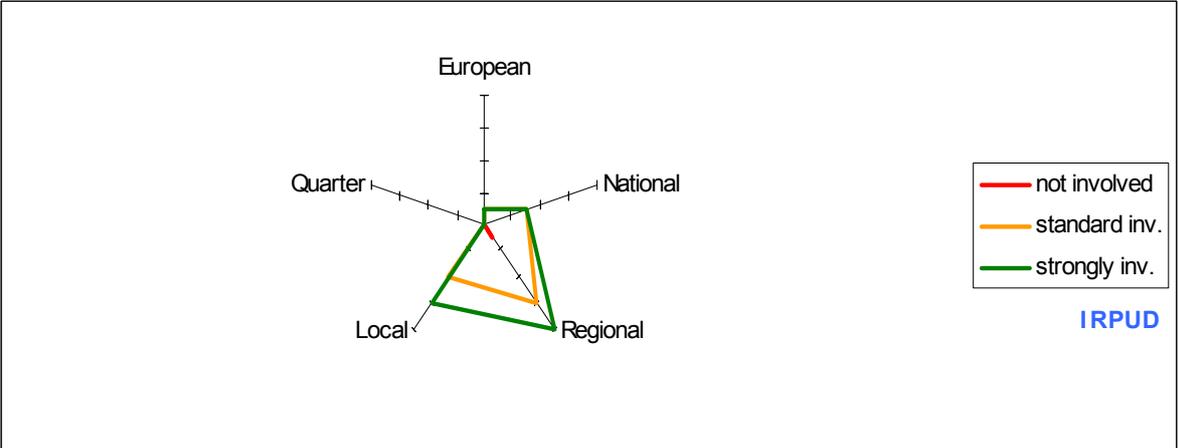
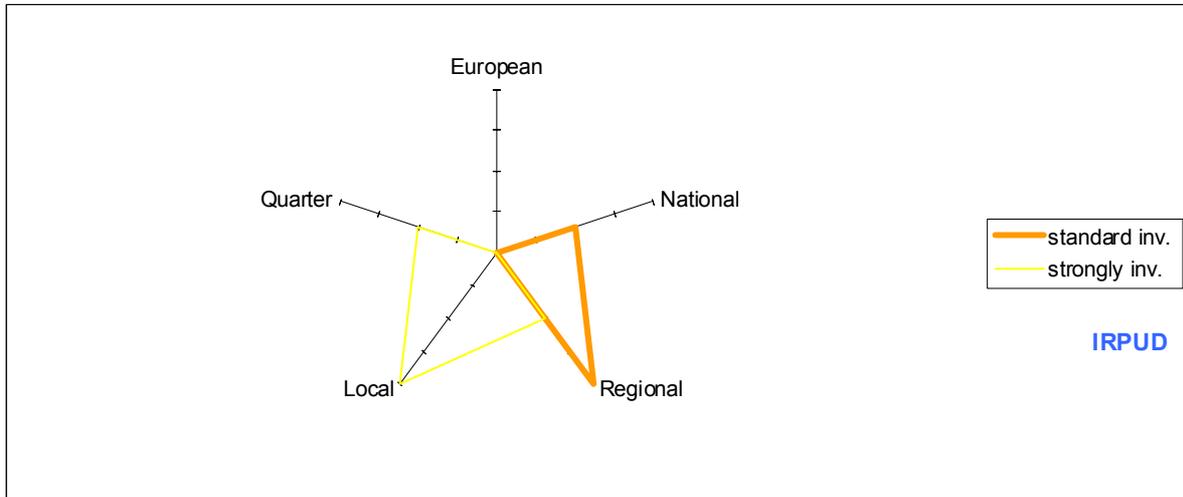


Figure 8.11: Degree of Involvement by Territorial Levels - Intra-city Case Studies (T2; n=7)



8.5.3 Vertical relations - Competences

At the moment it is not possible to provide a clear or obvious interpretation. With a provisional character one relevant aspect, is that 'no autonomy' situations, even though not so frequent, are mainly referred to the regional level. Also at local level in some specific scales: 'regional polycentric urban networks' and 'urban-rural'. However, this situation combines with the opposite one in the same levels, where 'balanced situations' and 'high autonomy' are also common. High autonomy is mainly recognized at local level (except in the case of 'urban-rural' case studies, and mainly at regional polycentric urban networks and FUAs/metropolitan regions). The best situations for regions are at trans-national/cross-border, FUAs/metropolitan regions, and urban-rural levels, where a 'balanced situation' is the most common.

Figure 8.12: Competences by Territorial Levels, all Case Studies (T2; n=139)

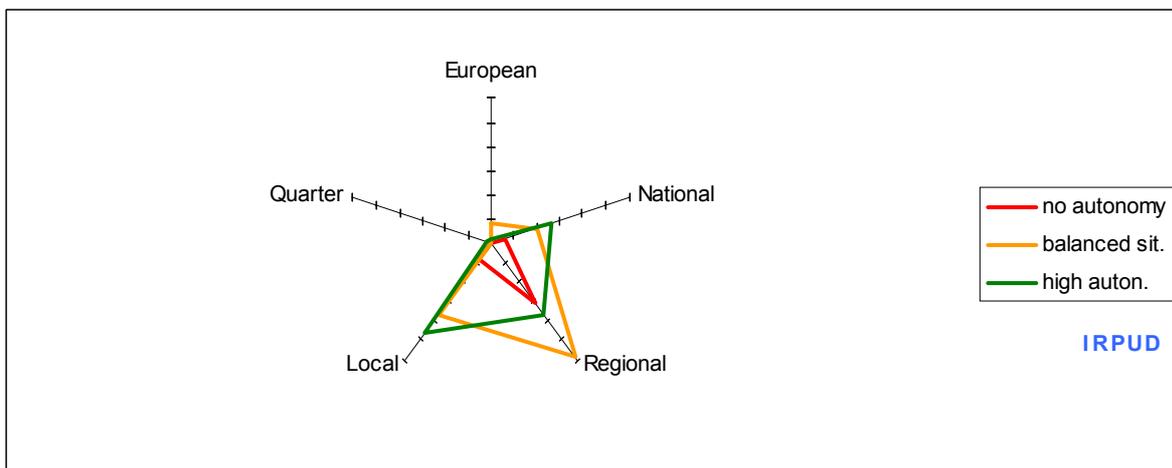
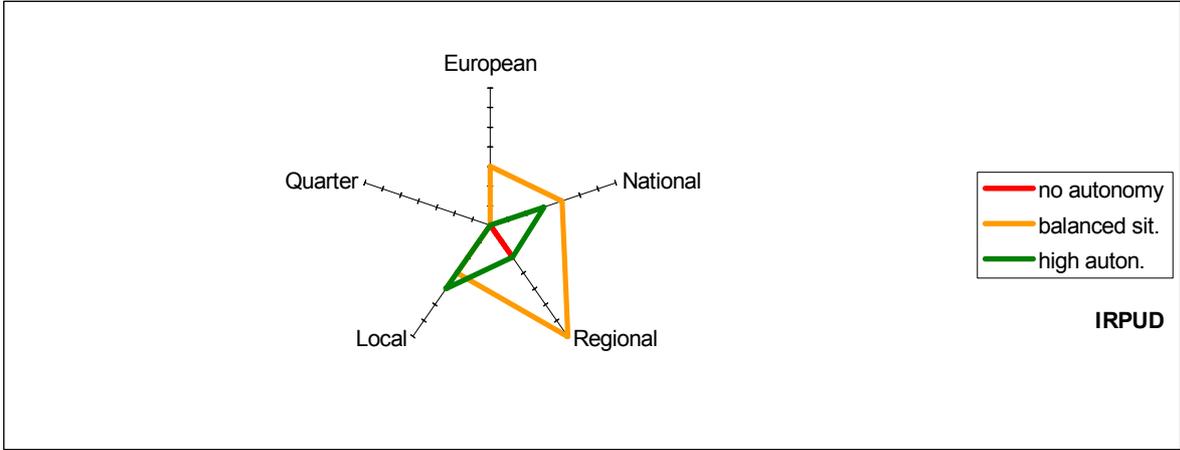


Figure 8.13: Competences by Territorial Levels - Trans-national, Cross-border Case Studies (T2; n=28)



The figure for the geographical level national has been excluded due to lack of data.

Figure 8.14: Competences by Territorial Levels - Regional Polycentric Urban Networks Case Studies (T2; n=23)

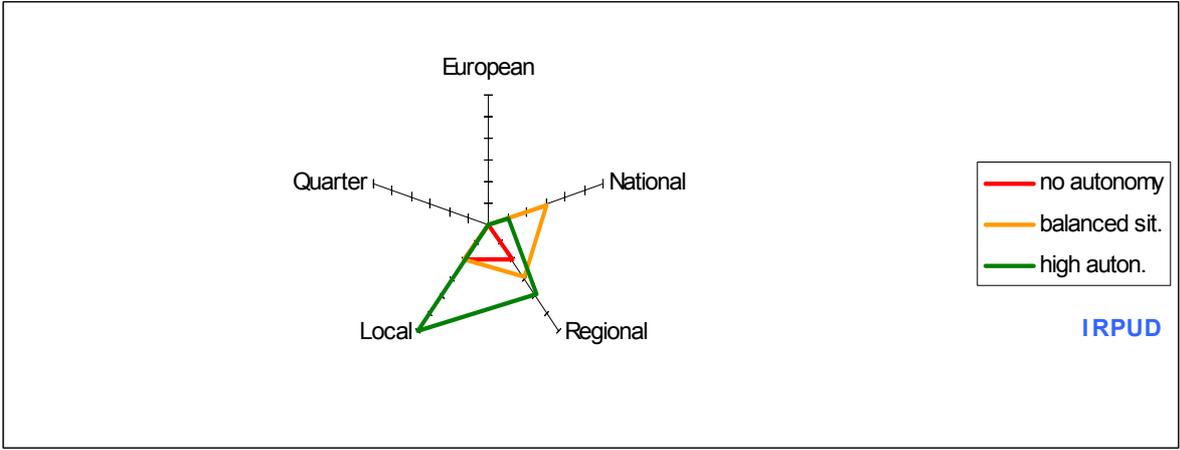


Figure 8.15: Competences by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies (T2; n=44)

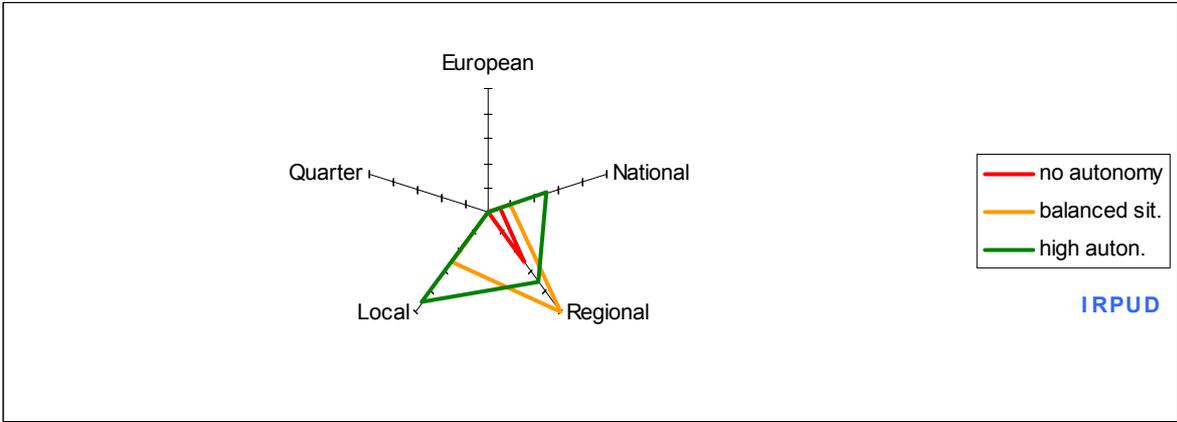
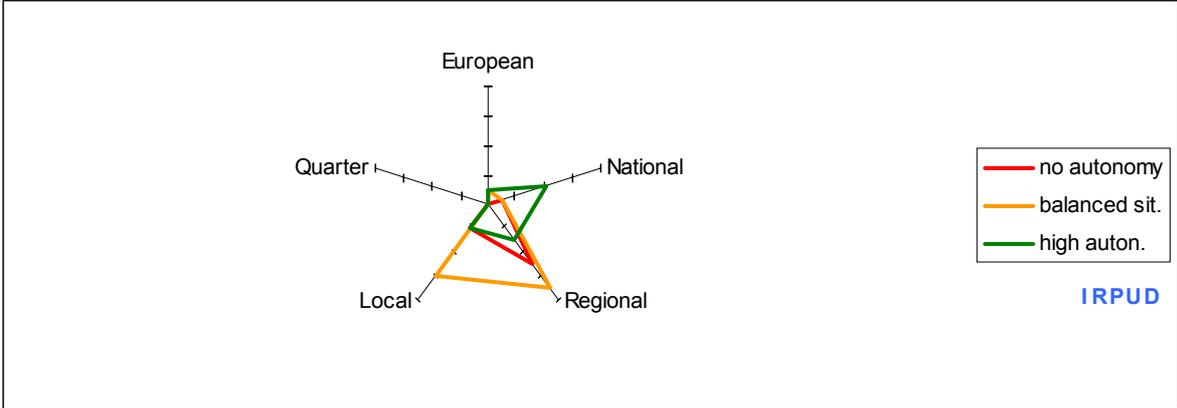


Figure 8.16: Competences by Territorial Levels - Urban-rural CS (T2; n=33)



The figure for the geographical level intra-city has been excluded due to lack of data.

8.5.4 Vertical relations – Negotiating power

The question on negotiating power highlights one aspect of existing power relations in case studies, including those of formal relations. The categories of no autonomy, balanced situation, and high autonomy were used to differentiate the existing relations. Again the triangular figure becomes obvious, in the overall assessment describing a rather balanced relation of powers.

When looking at the high autonomy relations, the area shrinks immediately, pointing towards its smaller importance. Both overlap considerably between local, regional and national level.

Figure 8.17: Negotiating Power by Territorial Levels, all Case Studies (T2; n=140)

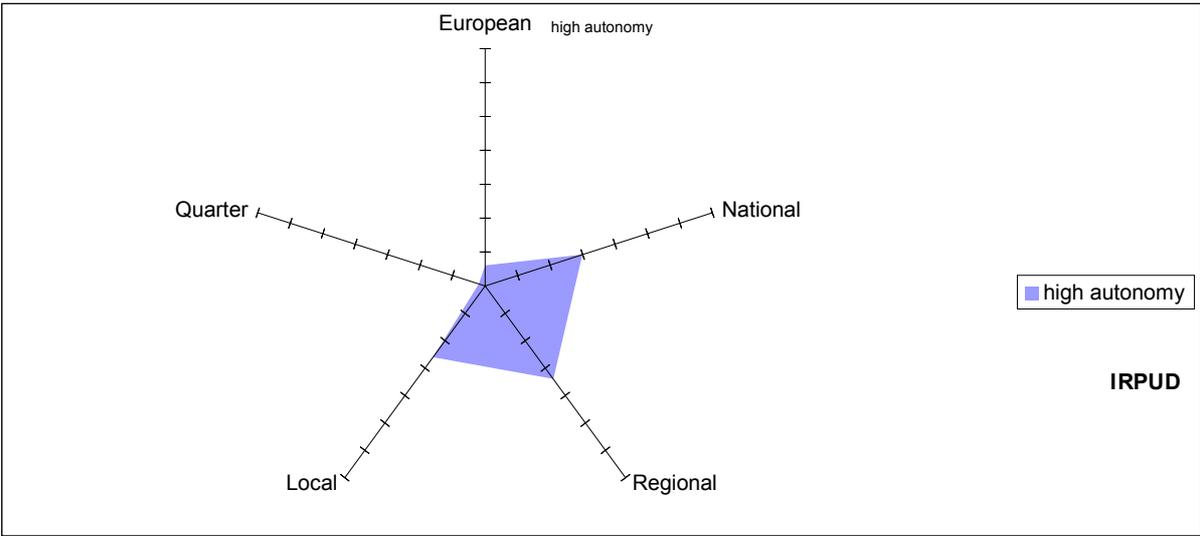
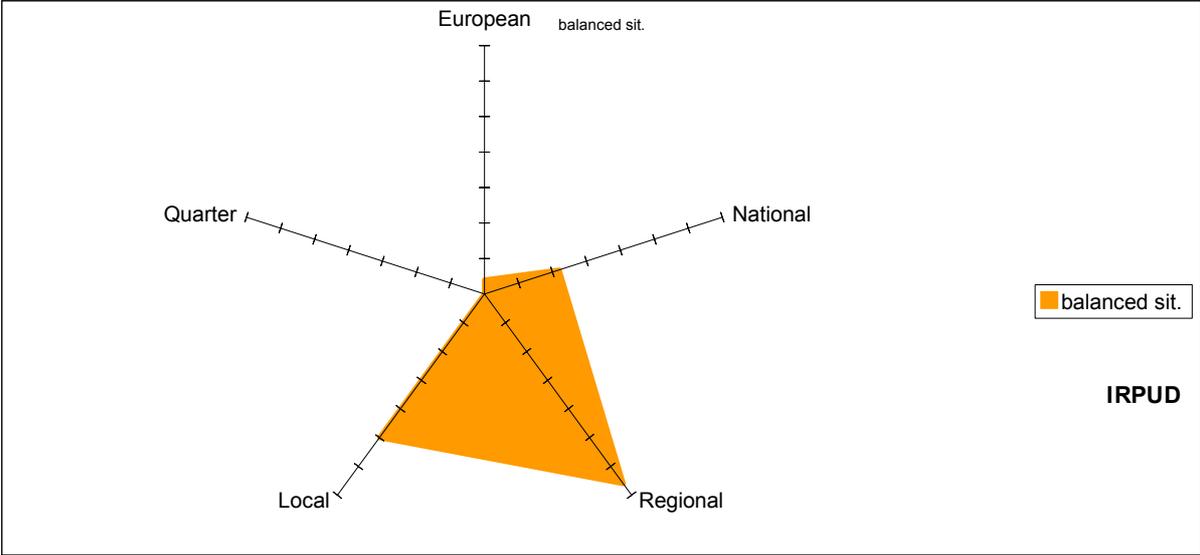
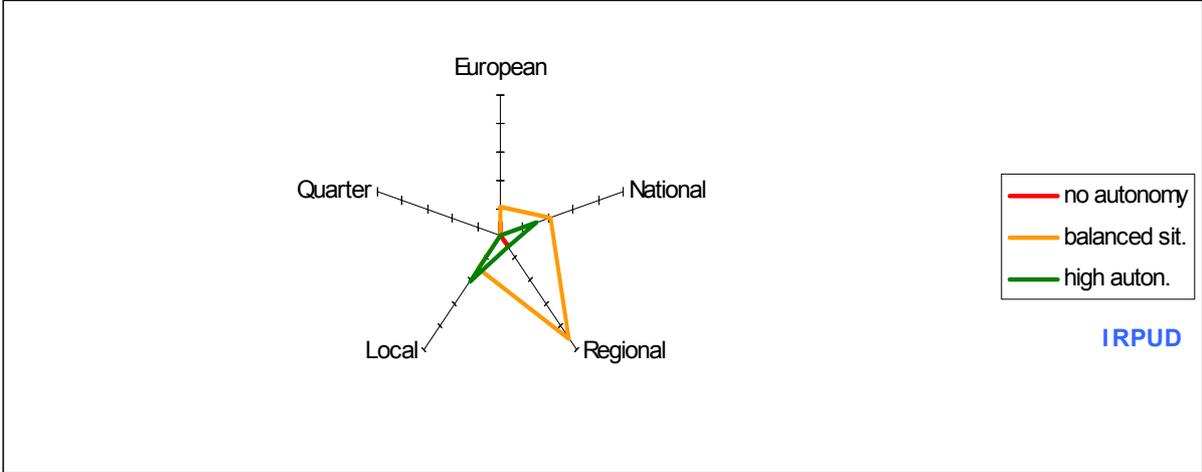


Figure 8.18: Negotiating Power by Territorial Levels - Trans-national, Cross-border Case Studies (T2; n=28)



The figure for the geographical level national has been excluded due to lack of data.

Figure 8.19: Negotiating Power by Territorial Levels - Regional Polycentric Urban Networks Case Studies (T2; n=23)

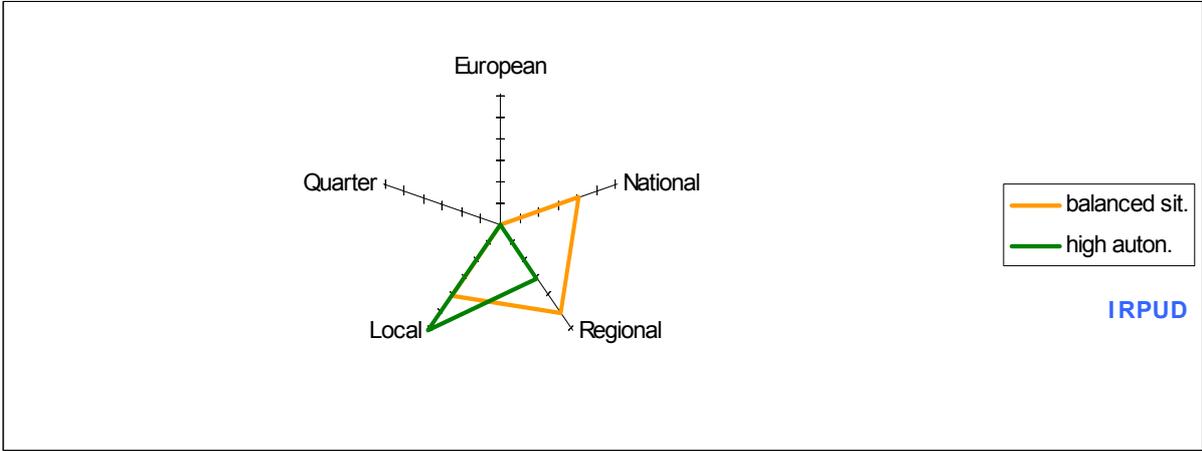


Figure 8.20: Negotiating Power by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies (T2; n=44)

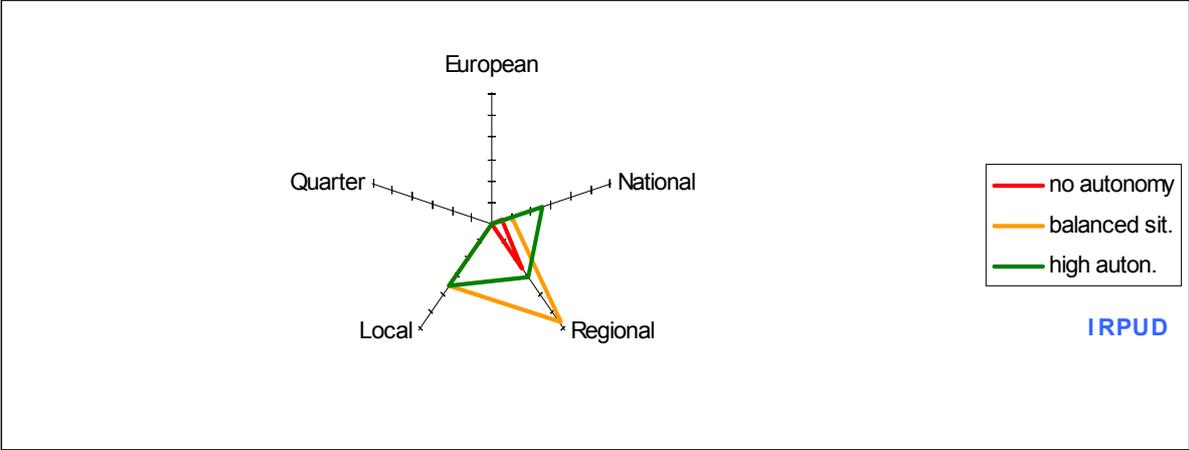
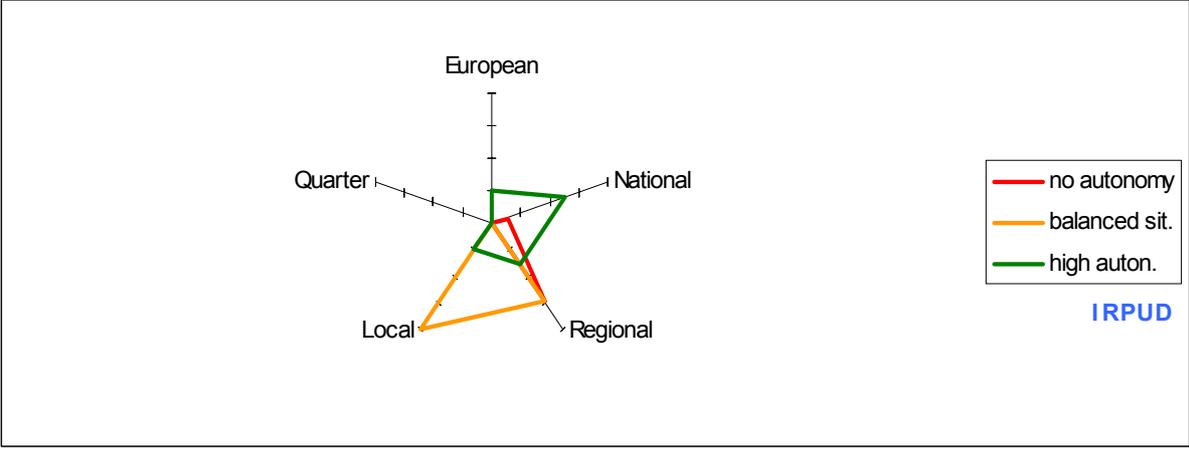


Figure 8.21: Negotiating Power by Territorial Levels, Urban-rural Case Studies (T2; n=33)



The figure for the geographical level national has been excluded due to lack of data.

8.5.5 Vertical relations – financial resources

The availability of financial resources at different levels is of course an interesting aspect, shaping the potential relation between actors, also with respect to the previously mentioned aspect of negotiating powers. The question again used the categories no autonomy, balanced situation, or high autonomy to differentiate existing relations in case studies.

By and large, what can be observed is again a rather balanced situation between different levels. What is also obvious is the slightly more complicated picture (see Figure 23), when the EU comes into the

equation, which is particularly the case for all trans-national, cross-border, or in the urban-rural case studies.

Figure 8.22: Financial Resources by Territorial Levels, all Case Studies (T2; n=137)

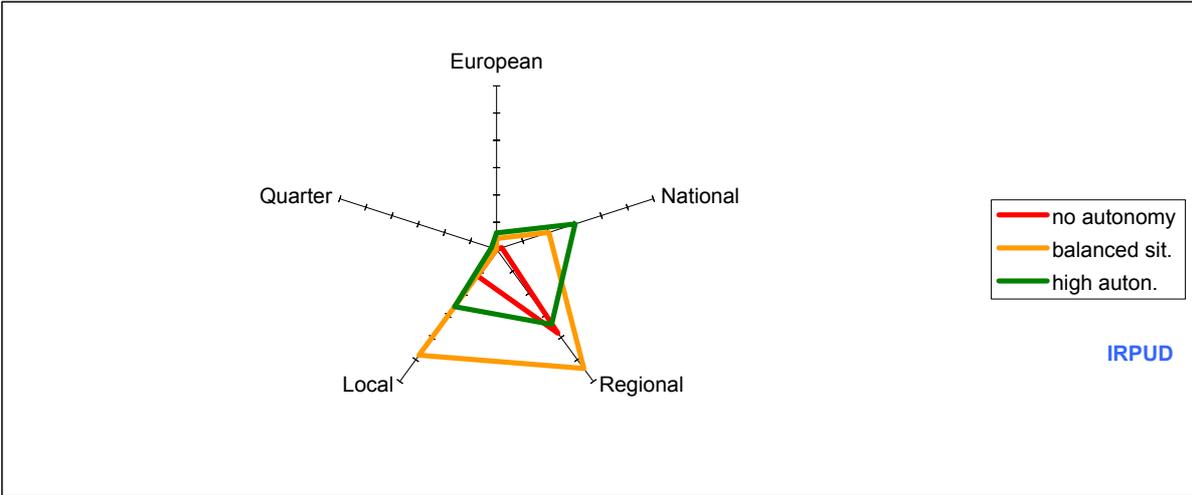
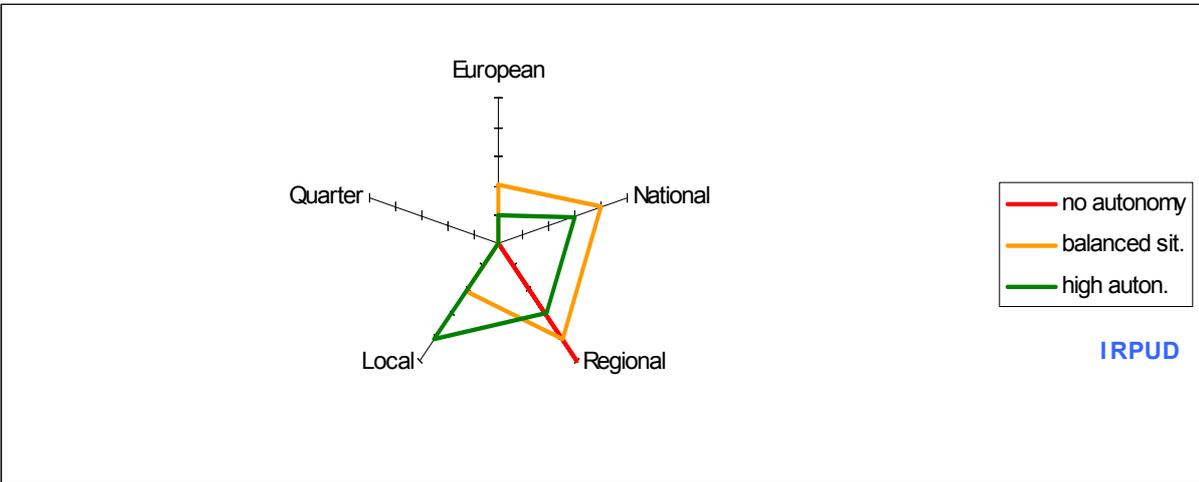


Figure 8.23: Financial Resources by Territorial Levels - Trans-national, Cross-border Case Studies (T2; n=28)



The figure for the geographical level national has been excluded due to lack of data.

Figure 8.24: Financial Resources by Territorial Levels - Regional Polycentric Urban Networks Case Studies (T2; n=23)

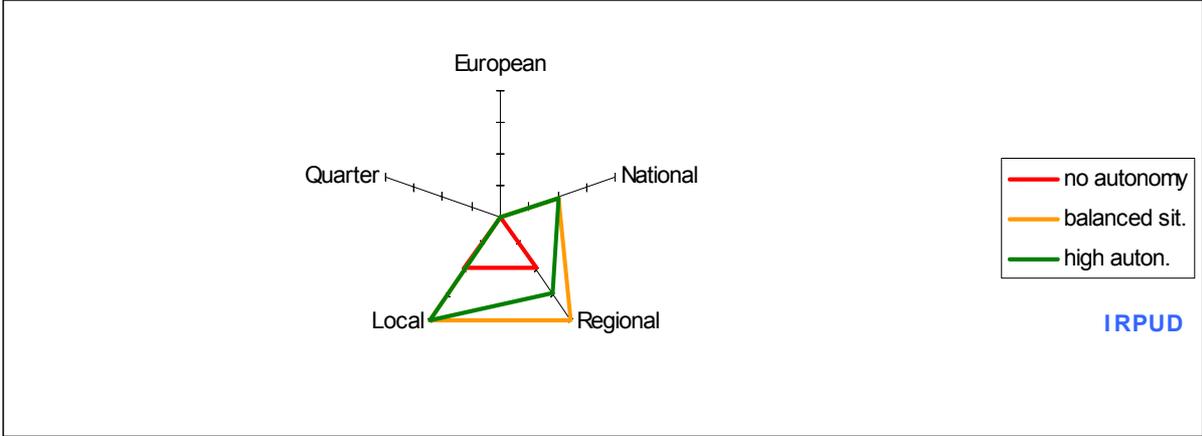
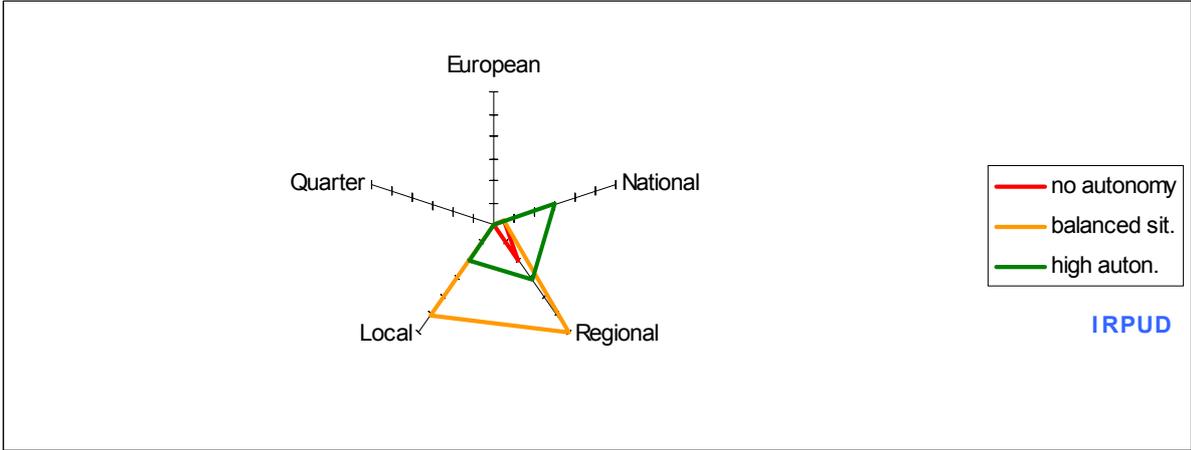


Figure 8.25: Financial Resources by Territorial Levels - Functional Urban Areas, Metropolitan Regions Case Studies (T2; n=44)



The two previous figures (FUA, POLY) address an increasingly important territorial setting, that of new metropolitan regions. It is obvious that in such a situation the regional and local bodies define a balanced situation.

Figure 8.26: Financial Resources by Territorial Levels - Urban-rural Case Studies (T2; n=33)

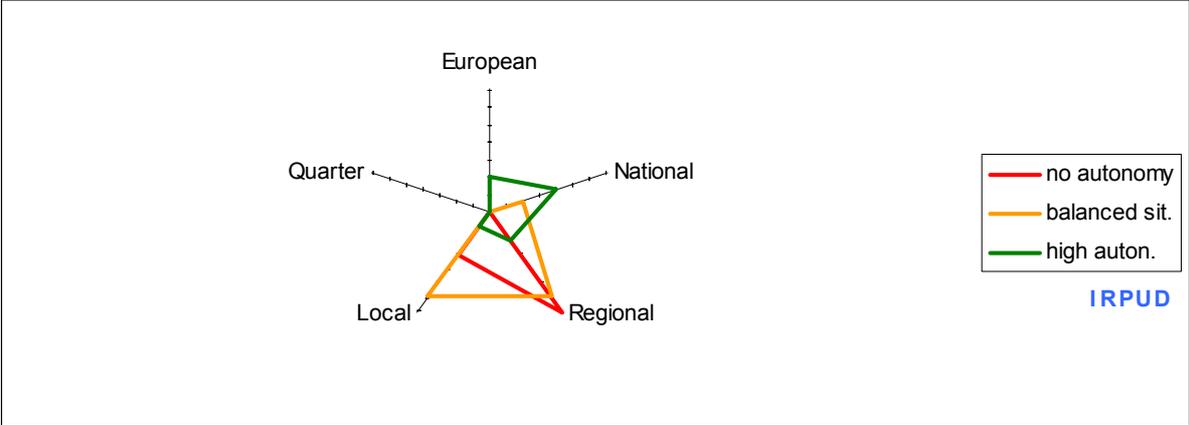
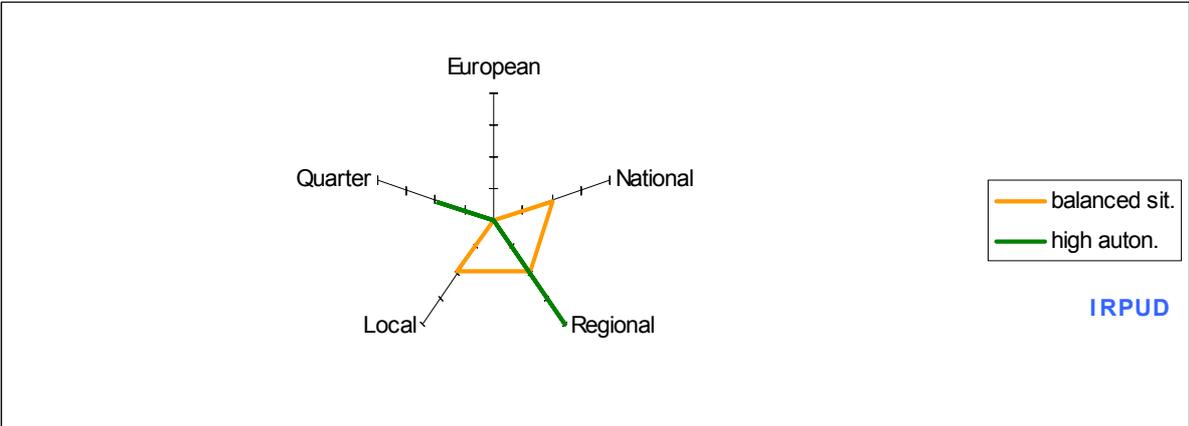


Figure 8.27: Financial Resources by Territorial Levels - Intra-city Case Studies (T2; n=6)

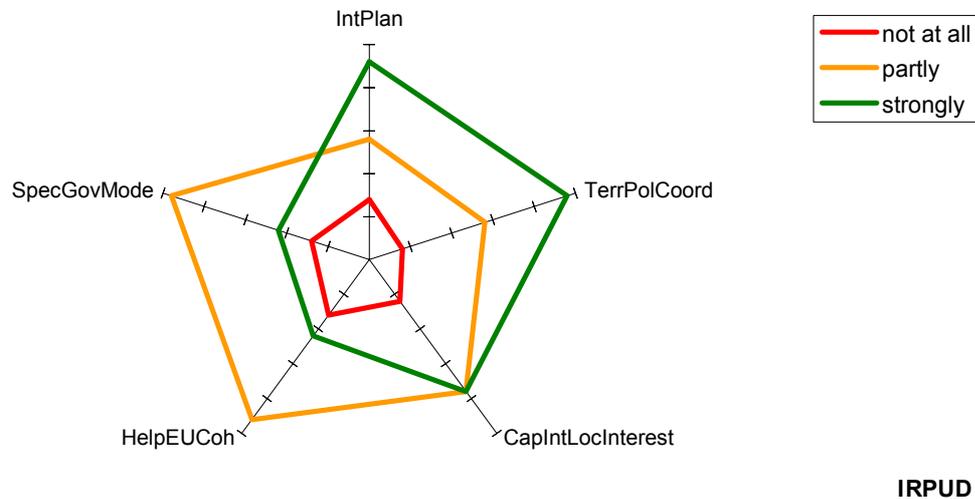


8.6 Evaluation of T9

A preliminary result for the Numeric Approach can be seen from the following Figures 8.28 to 8.33. The data give a first overview on the results of T9 (see Table 8.5 in annex 2) in the NA, assessing 'outcomes' and 'failures and successes' of the CS. Again 45 CS have been analysed regarding the distribution of scores and results. The results will be presented again, comparing the different geographical level of the CS.

8.6.1 Outcomes

Figure 8.28: Outcomes of all Case Studies (T9; n=45)

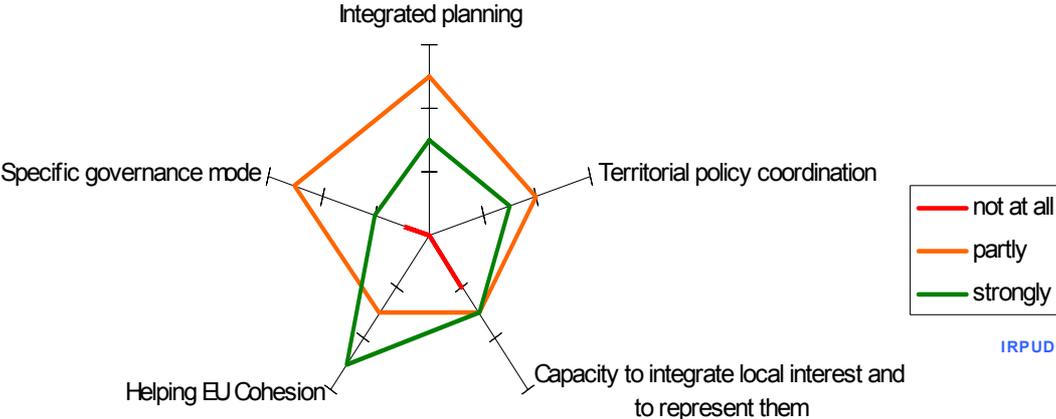


Acronyms Figure 8.28: IntPlan – Integrated Planning;; TerrPolCoord – Territorial Policy Coordination; CapIntLocInterest – Capacity to integrate local interests; HelpEUCoh – Helping EU Cohesion; SpecGovMode – Specific governance modes.

The above Figure 8.28 demonstrates, at this stage, that in terms of outcomes, the categories 'integrated planning' and 'territorial policy coordination' achieved the highest counts in the category 'strong', implying that in these fields good results were achieved. All other categories rather seem to fall into 'partial' outcomes, with the interesting peak in the category of 'specific governance mode' as well as for 'helping EU cohesion'. Valorisations as 'strongly' and 'partly' seem to be related with the different outcomes according their proximity and tangibility.

Regarding the output 'helping EU cohesion', it is considered specially 'strong' only in the trans-national case studies, and 'partly' in 'FUA/metropolitan regions' and 'urban-rural', even though in these two scales also are present cases with any outcome ('not at all' category). 'Specific governance modes' is well represented as 'partly' in all geographical scales, but also in all of them 'not at all' category is present –except in 'intra-city' level. 'Intra-city' and 'trans-national' case studies offer the best outcomes for all types of outcomes.

Figure 8.29: Outcomes of Trans-national Case Studies (T9; n=8)



The figure for the geographical level national has been excluded due to lack of data.

Figure 8.30: Outcomes of Regional Polycentric Urban Networks Case Studies (T9; n=9)

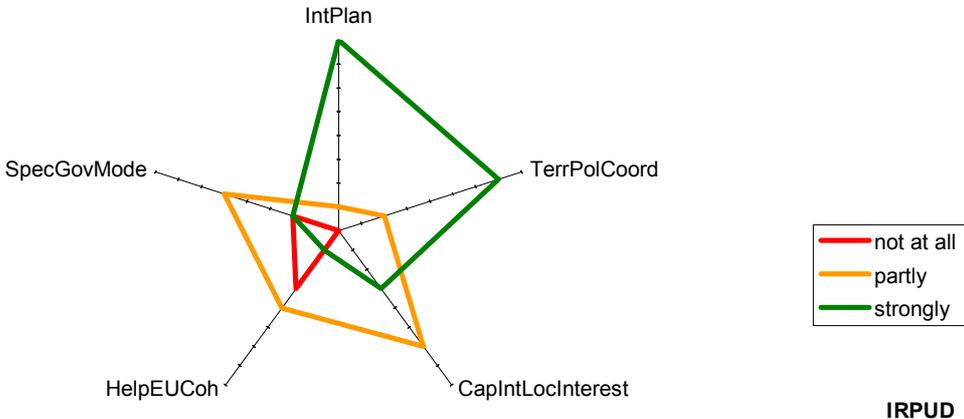


Figure 8.31: Outcomes of Functional Urban Areas and Metropolitan Regions Case Studies (T9; n=13)

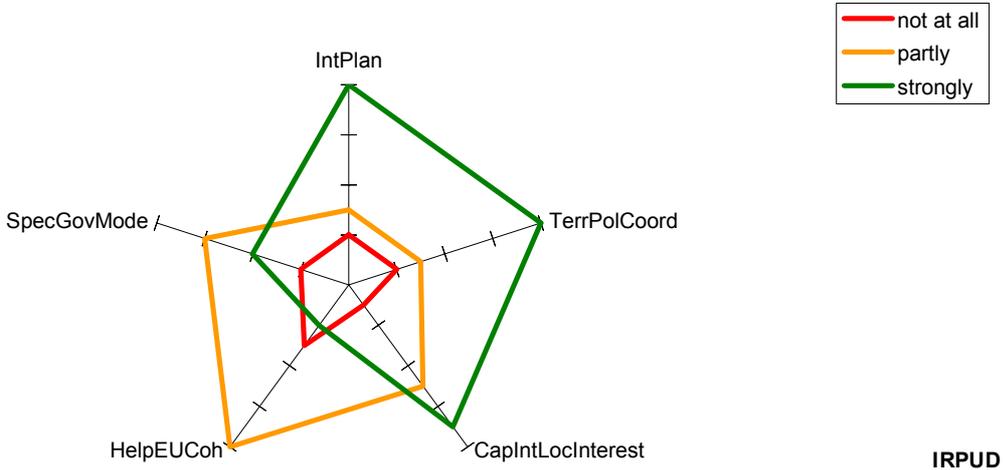


Figure 8.32: Outcomes of Urban-rural Case Studies (T9; n=11)

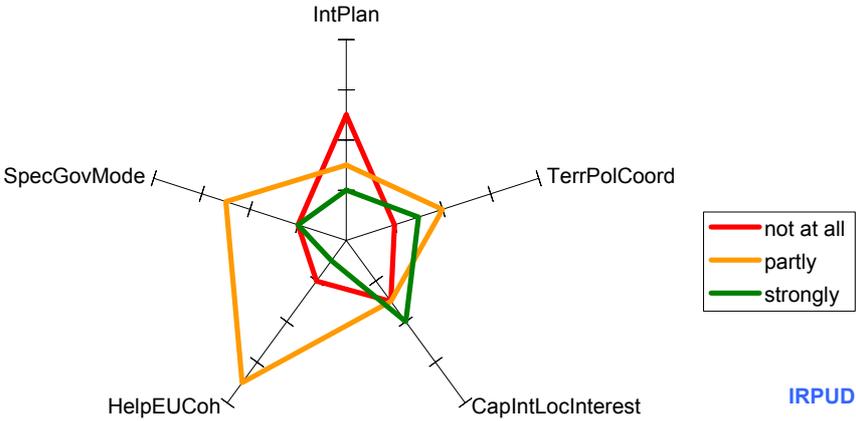
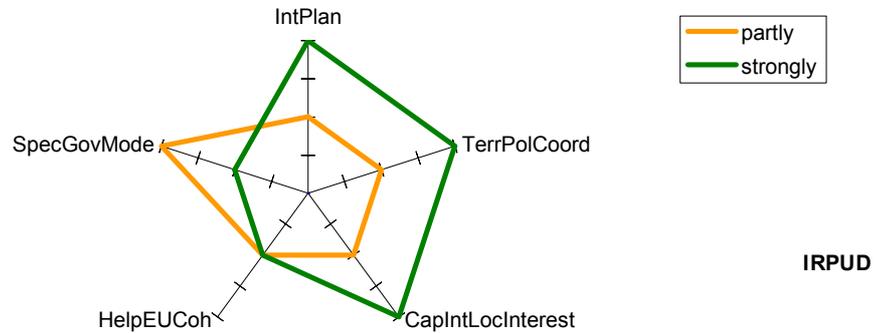


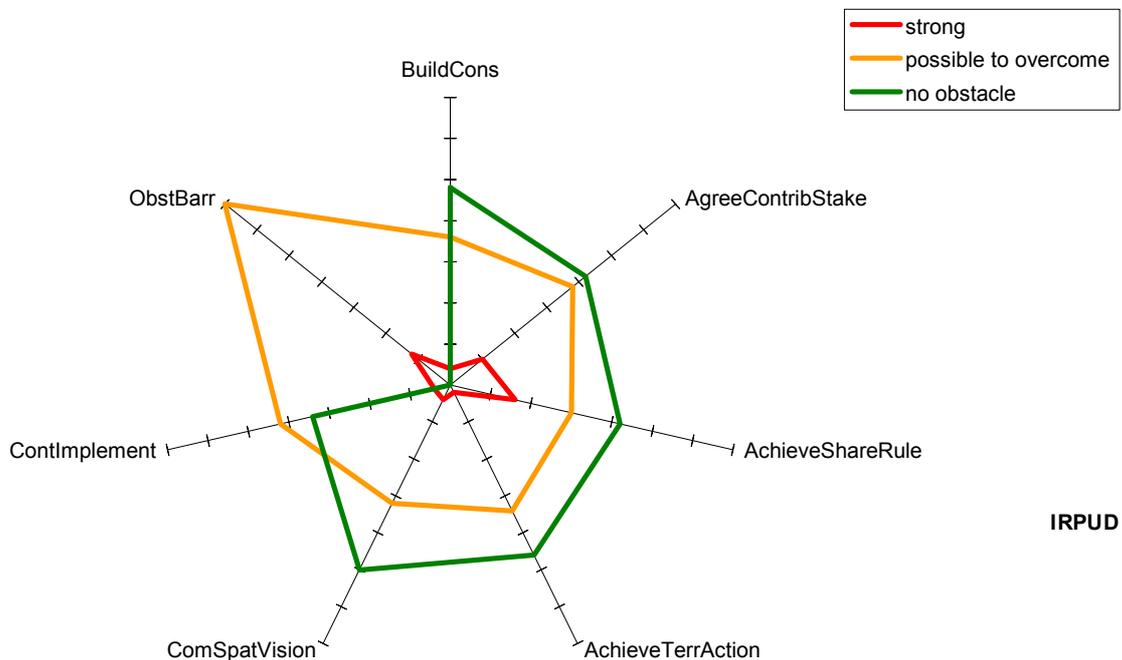
Figure 8.33: Outcomes of Intra-city Case Studies (T9; n=3)



8.6.2 Failures and Success

After having had a look at the outcomes the following figures present some preliminary results about failures and successes.

Figure 8.34: Failures and Successes of all Case Studies (T9; n=45)

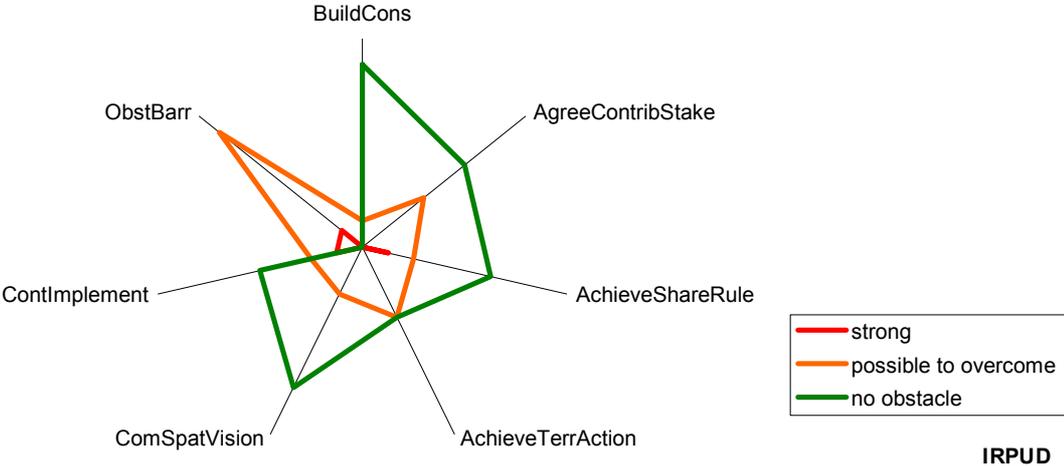


Acronyms Figure 8.34: BuildCons – Build a Consensus; AgreeContribStake- To agree on the contribution of each stakeholder; AchieveShareRule – To achieve negotiated and shared rules; AchieveTerrAction To achieve integration of territorial action; ComSpatVision To reach a common spatial vision; ContImplement – To go on with implementation; ObstBarr – Obstacles and Barriers.

In terms of failures and successes in the majority of cases experts indicate that no strong failures occurred and that it was possible to 'overcome' problems. Positive impacts were seen for consensus building, contributions of stakeholders, negotiation of rules, to integrate actions, and to reach a common spatial vision. Failures that were possible to overcome did prevail concerning obstacles and barriers and when talking about going on with the implementation.

These results can be further differentiated, when using the different types of case studies as a filter. The following Figures 8.35 to Figure 8.38 show the distribution of scores for the different geographical levels.

Figure 8.35: Failures and Successes of Trans-national Case Studies (T9; n=8)



The figure for the geographical level national has been excluded due to lack of data.

Figure 8.36: Failures and Successes of Regional Polycentric Urban Networks Case Studies (T9; n=9)

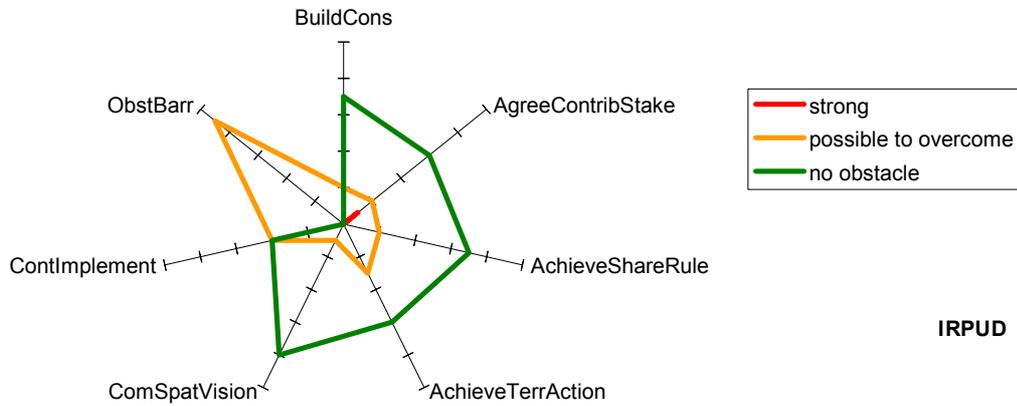


Figure 8.37: Failures and Successes of Functional Urban Areas, Metropolitan Case Studies (T9; n=13)

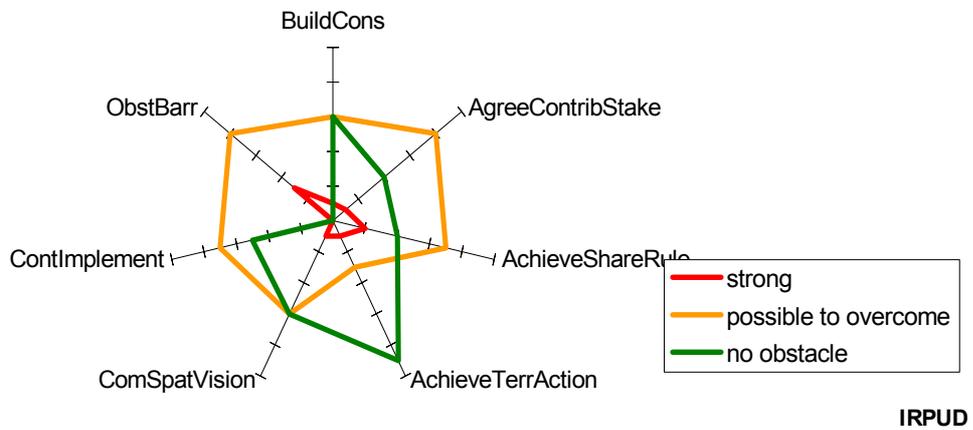
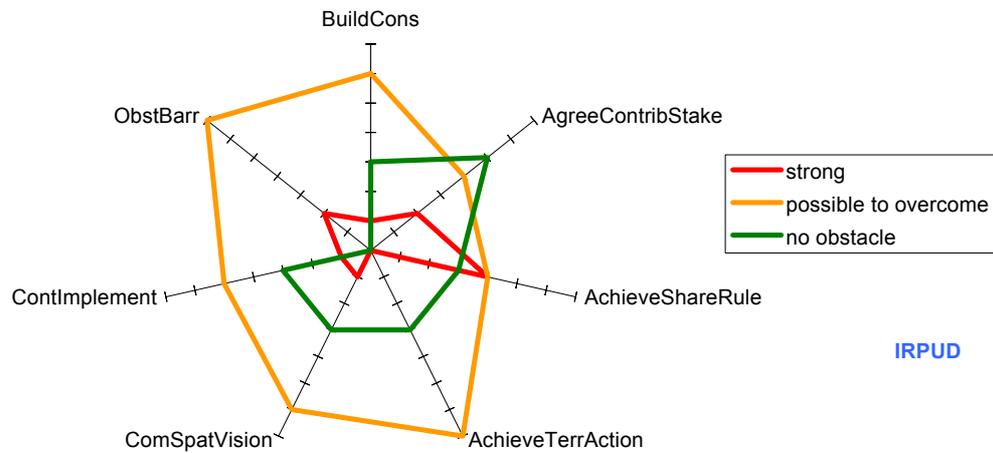


Figure 8.38: Failures and Successes of Urban-rural Case Studies (T9; n=11)



The figure for the geographical level intra-city has been excluded due to lack of data.

8.7 TIA

As has been outlined on other occasions, TIA is not just a matter of quantitative methods. On the contrary, TIA has to be seen as a mixed method approach, including qualitative and quantitative approaches.

In a short meeting with Nordregio and IGEAT it was agreed, that we follow a step wise integration of results generated by different working steps. In the tender document (page 88) the final steps for the project have been outlined. In particular the following will be integrated in a recursive process:

- the results of the comprehensive analysis of the case studies (but also the NO),
- the mapping of typologies,
- statement of indicators (though 'efficient' governance will be difficult to assess).

Table 8.3: Domains and Features of Governance represented by indicators

		Domain			
		State (S)	Economy (E)	Civil Society (CS)	Space (T)
Feature	Structure (S)	ISS	IES	ICSS	ITS
	Process (P)	ISP	IEP	ICSP	ITP

Source: IRPUD 2004

IRPUD still follows the approach outlined in FIR and refined in SIR. We have continued the work on data collection. At the moment, we try to substantiate the – abstract – work (see Table 8.4) with the existing data. All below outlined ideas will probably result in a sort of ‘typology’ on the basis of specific characteristics.

When looking at Table 8.3, what sort of indicator/data will be included?

- ISS – As quantitative data: Employment total, Nace L-P, Population, Budget figures. As qualitative data: TRUST 1 [several indicators, which will be combined, including World Bank surveys on legal systems, government, national democracy, parties, national parliaments].
- *[From a territorial point of view, ITS – including data from ESPON DB as Pentagon, Polycentricity, Settlement Structure, FUA, Urban-rural typology. Area coverage can be a problem!]*
- ISP – As quantitative data: Delta for Employment, L-P Nace (standing for public employees), Population, budget figures. On the qualitative side: TRUST 2 [several indicators, including World Bank surveys on government effectiveness, which is the only indicator available as time series and for 29 countries, regulatory quality index, e-government contact for SME, both latter indicators have gaps, more than half of the countries show no data, and finally internet users per household (ESPON Db).
- *[From a territorial point of view, ITP – including data on lagging regions, multi modal accessibility, MEGA. Area coverage can be a problem!]*

[NB: The indicators on spatial aspects – italics – are used to further differentiate the regional situation.]

- IES – Quantitative data on GDP/GVA (ref. EU 25), HQ [Mega? urban audit?], Service Society (specific services) [data in part from ESPON DB or Eurostat – partly to be collected; area coverage a problem!]
- IEP – delta for GDP/GVA; delta for other indicators

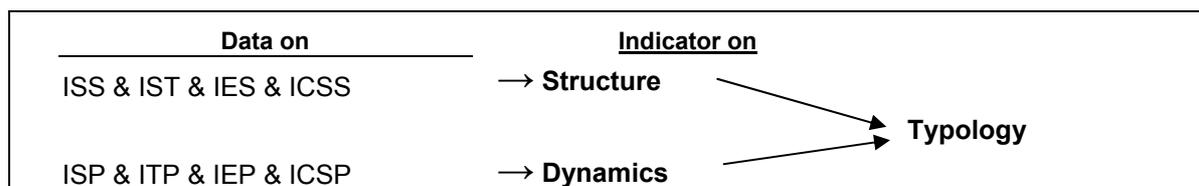
- ICSS – IRPUD QUALI 1 to describe the current situation [with respect to spatial planning; data from National Overviews]
- ICSP – IRPUD QUALI 2 [data from the Numeric Approach in the case studies – open!]

Taken together, the indicators ISS & IST & IES & ICSS can be interpreted as indicators on structural aspects, differentiating the regions.

Indicators ISP & ITP & IEP & ICSP can be interpreted as indicators on dynamic aspects [e.g. pointing into the direction of governance?], introducing a development perspective.

In combination, the indicators will be tested to identify typologies but probably also impacts of governance in a territorial perspective (cf. Figure 8.39).

Figure 8.39: Synthetic Indicator Governance



(IRPUD 2005)

[Above representation has not to be confused with an algorithm!]

Intention: By combining the structural with the dynamic indicators we might achieve at least a typology of regions.

NB: We are still far from identifying any kind of ‘effects’ or ‘impacts’.

However, the main problem of the ESPON 2.3.2 project still remains unresolved: Whereas the quantitative data (especially from ESPON DB and Eurostat) provide regionally differentiated information (though various levels [N2, N3] and also with varying area coverage, e.g. situation in new and coming member states) up until now the qualitative (categorical) data

from national overviews only provide information for entire countries or states. The entire team is working on ways to break these down to lower regional levels.

One way to probably do so, are the case studies. These could serve as a sample for all other regions in Europe. Following from still to be defined characteristics, it may be possible to develop regional typologies, which can then be used for further analysis. We have asked case study authors to provide references at NUTS 3/2 level (see section 8.4).

With respect to mapping, first draft maps have been achieved. However, the interpretation of these is quite difficult. At the moment, there are no 'bottom up' / 'inductive' hypotheses. We will now work towards more basic maps, representing the existing regional structures and aspects, considered important for 'governance' (e.g. the TRUST and IRPUD Qualitative indicators). The situation might change, if and when the case study material is available.

9. From the Case Studies to the Analytical Framework

This chapter contains a description of the case studies that have been carried out within this ESPON-project (WP4), and the preliminary work on the case study synthesis (WP5). The former entails an overview over the thoughts and methodological considerations behind the guidelines for the cases studies, and the numerical approach that supplements the cases studies. It has been a prime concern of the TPG to try to integrate quantitative and qualitative methods in the comparative, analytical work. As the case study synthesis is currently under preparation, a selected number of 'pilot studies' for some of the 'analytical' dimensions in the synthesis are presented, and the preliminary results are conveyed. Furthermore, the methodological considerations behind the case study synthesis, as well as the relations between the case study synthesis and other analytical elements are introduced.

9.1 Case studies – an overview

As already stated in the tender the case studies are carried out in order to provide a "comprehensive analysis and diagnosis of governance trends, applications, mechanisms at EU, transnational, national and subnationals level, as well as the identification of existing territorial disparities and tentative of outlining models of governance" (WP 5).

A full overview over the selected case studies has already been included in the SIR (see table 9.1, page 166). In most of the countries two case studies have been carried out. The following map shows the distribution and location of case studies (see map 8.3, p. 84).

According to guidelines for the case studies worked out by TPG each of the case studies should contain a 30 pages description of the selected cases organized as follows:

Organisation of case studies (for more information see SIR p.179-184):

Part I: Context for the Case Studies

Part II: Thematic Sections: Key Aspects of Governance Identified in Case Studies

I: Vertical relations during processes of public decision making in the case study (effectiveness, coherence, accountability, subsidiarity)

A: Vertical multi-level (of territories) relations of governance

B: Decentralisation, devolution, regionalisation

II: Horizontal relations during processes of public decision-making in the case study (effectiveness, coherence, accountability, openness)

A: Horizontal "multi-channel" relations between actors, governmental and non-governmental (civil society, private sector),

B: Horizontal relations among territories, coordination of territorially based policies, multi-sectoral or integrated policies approaches

III Participation, openness

A: Public (non-governmental) participation in the processes of decision-making, and the implementation of decisions

B: Openness

IV Innovative tools, practices and mechanisms

V Outcomes (policies, strategies, and aspects of 'integrated policies'):

A: The decision(s):

B: Implementation

Part III: Governance failures and successes

Part I, the context, is identifying objective aspects, which could be the base for typologies, and also the context enables the case studies – and the synthesis – to be linked to other ESPON classifications or typologies: the geographical type of territory, the type of institutional framework, currently, but also on a longer term (maintenance of regime, incremental change and rapid change), and spatial planning framework.

The subdivisions in part II stem from reflections on types of governance that were reported on in the FIR and SIR (considerations based upon the literature on governance and operationalization of the typologies of governance, respectively). It should be noticed that in the former interim reports it was suggested that the Open Method of Coordination (OMC) was to be analysed as a separate theme, but the national overviews (WP2) had indicated that it was more appropriate to include an analysis of OMC in the analysis of vertical relations. Also, in the preparation of the guidelines it was felt that it was too difficult to operationalize 'integrated policies'. Aspects that relates to 'integrative policies' were then included in section V, phrased: 'Outcomes'. 'Outcomes' is to be understood in 'procedural' terms, i.e. it is focusing on the decision making process and the process of implementation, both of which may be containing 'integrative' elements.

It is to be expected that there is a considerable variation in the case studies due to the fact that the national teams are focusing on various thematic aspects in part II of the case study analyses. So, depending on the character of the case study in question in some of the cases, for an example, issues of vertical coordination are in focus whereas in other studies issues of horizontal coordination are of prime interest. Hereby, it is ensured that the case studies are carried out in a way that allows for an in-depth analysis of the most distinctive features of each of the case studies. Accordingly, the case study synthesis (see next section) will also have to be reflecting the fact that some of the case studies are addressing certain issues in part II stronger than others. It should be noticed that despite the fact that the selection of case studies has rested with the national researchers, the case studies are distributed rather evenly between the various thematic aspects in part II. This allows for a comparison of cases within each of the thematic aspects identified. Hence, there is a direct link between the typologies of governance discussed in earlier working packages as well as in the previous interim reports, and the results of the case studies.

Part III on 'Governance failures and successes' were included in the guidelines on the basis of a core team meeting held in Valencia in February 2005. The main argument for the inclusion of this, maybe more analytical approach, has been that it would be too difficult to conclude on

the basis of the case material unless the national teams had worked out the pros and cons beforehand.

In order to ensure comparability of the case studies on a more quantitative basis, each of the research teams has been asked to follow a '*numeric approach*' by which the qualitative analysis of the case studies are supplemented by a ranking of the importance of the themes related to part II and part III. This analytical approach has then been developed in order to ease the work on the synthesis (see next section), and if possible linking the case studies to the data collection, which forms another part of this phase of the work within WP5. This exercise also allows for comparing the results of the case studies at hand with other indicator-based studies of territorial and urban governance in Europe.

9.2 Case study synthesis – methodological considerations

One of the main issues for this TIR is exploitation of information coming from Case Studies in order to analyze governance trends. According with the Tender Document, this analysis is still in process until month 21 of 2.3.2 project.

While preparing the case study synthesis (at meetings held during the second half of 2005 in Stockholm, Brussels and Dortmund with the participation of researchers from Nordregio, IGEAT and IRPUD) it has been a prime concern to ensure that the synthesis will provide us with findings that can be related to the results of other ESPON-projects. The link between the ESPON 2.3.2 case studies, as well as the supplementing '*numerical approach*', and the results of other ESPON-projects is primarily established by crossing the applied '*typology of governance*' (part II in the guidelines for the case studies, see above) with a '*geographical typology*' that has been based upon viewpoints and definitions used in other ESPON-projects, cf. SIR. By crossing the two '*typologies*' it is possible to construct an analytical matrix (see Table 6.1, p. 33).

The analytical matrix can also be read as a *synopsis* for the case study synthesis (which was made clear at the meeting in Stockholm in October). In general the case study synthesis will consist of two interrelated analytical processes: a '*horizontal synthesis*', which will be carried out by using a geographical grouping of the case studies, and a '*vertical synthesis*', which will be primarily focusing on important issues of governance, e.g. public participation, openness and innovative practices. The '*horizontal synthesis*' and the '*vertical synthesis*' will then form the principal input to the overarching synthesis. The '*horizontal synthesis*' will be highlighting the following governance dimensions: I, II,I-II, II,V and III (the gray shade areas in the analytical matrix). The synthesis for each of the dimensions will be undertaken in an inductive way, hence the cases will be read across the governance dimensions with special emphasis on

the vertical and/or horizontal dimensions of governance, outcome and the question of success and failures. This will be done for the six geographical dimensions separately, and each of those six 'horizontal' syntheses will then feed into separate chapters (chapters 2-7, respectively) in the working report, which will be prepared in the first two months of 2006. The same goes for the 'vertical' synthesis: The two governance dimensions II and III-IV, respectively, will be analysed one by one, and then form the content of two separate chapters (chapters 8 and 9). It should be stressed that the latter synthesis will include observation concerning the way in which the analysed governance dimensions varies with the geographical dimension, To complete the list of content for the working report on the case study synthesis, it can be added that chapter 1 is going to be the introductory chapter. Chapter 10 will contain the overarching synthesis and the concluding chapter 11 will be entitled 'Governance trends'.

9.3 Case Study Synthesis – pilot studies

In order to make sure that the chosen analytical strategy is adequate, and if necessary to adjust it accordingly, it was decided to process a number of case studies for each of the 'synthetic' chapters (chapters 2-9).

The first step, a pilot experiment, has been to work out a draft for an analytical framework– based upon the guidelines for case studies. In the analytical framework each question from the guidelines is still present, but the answers to the questions are now to be registered in a very synthetic way (yes or no). This synthetic way is nevertheless allowing nuances to be expressed, and even comments if something important has to be underlined. The requirement of being synthetic is obvious, as we are facing nearly 60 case studies, but the possibility for comments and nuance is also important, as from this treatment of the case studies governance trends have to be identified, and a typology will be built. The general analytical framework was then used to treat one case study for each geographical category, in order to refine it further. This process led to some changes in the analytical framework:

- The two sections on vertical relations of the guidelines, II, I, A and B (multilevel relations and decentralisation devolution, and regionalisation) are merged
- In the section on the horizontal relations (II, II) the part concerning multichannel relations (A), is supplemented with the part of section B that deals with territorial coordination
- The other part of section B (integration and coordination) is in fact concerning vertical as well as horizontal integration or coordination, and should be distributed to each of those accordingly

- The part on innovative tools practices and mechanism is extended to 'innovative and /or interesting' tools, practices and mechanisms.
- Finally, the part on governance trends take over the section 'governance problem and failure'.

All those change were made after the testing period, and comes from the practical treatment of several case studies. This process led to the final 'analytical framework' (see below), which is the same for each geographical territory, except some addition for the transnational/crossborder cases.

The analytical framework :

ESPON 232 : Case studies analytical framework
 Ref Country ;

Type of territory
Name of the case study

1 : context

Type of territory <i>Geographical (metropolitan area FUA, transnational, national, ... (cf matrix)</i> <i>And physical (rural, urban, coastal, ...)</i>	
Type of political and institutional framework	
<i>Federal</i>	
<i>Unitary :Regionalised</i>	
<i>Decentralised</i>	
<i>centralized</i>	
<i>Regime maintenance</i> <i>Or incremental change</i> <i>Or rapid change</i>	
Spatial planning framework <i>Strategic (level),mandatory (level)</i>	

2: Vertical relations (territories and actors) during processes of public decision making in the case study (coherence, accountability, subsidiarity)

see V1 and V2

A: Vertical multi-level (of territories) relations of governance ("MLG") (V1)

B: Decentralisation, devolution, regionalisation (V2)

Federalism,			
--------------------	--	--	--

Unitary : Decentralisation, Regionalisation, devolution, ...			
Dynamic of the process (maintenance, incremental changes, radical changes),			
Ressources (Finances) : Who decides the allocation ?			
Who controls the allocation ?			
<u>Level of territories</u>			
Central (or federal) state	A role ?		
	Formal ?		
	Informal ? (mainly ?)		
Subnational			
X ('regional' or federated))	A role ?		
	Formal ?		
	Informal ? (Mainly ?)		
	Involvement ? (No, Yes strong, Yes a bit)		
	Autonomy ?		
	Competences (no, yes a bit, yes a lot)		
	Finances (no, yes a bit, yes a lot)		
	Negotiating power (no, yes a bit, yes a lot) ? (with ?)		
Y (Local)	A role ?		
	Formal ?		
	Informal ? (Mainly ?)		
	Involvement (No, Yes strong, Yes a bit)		
	Autonomy ?		
	Competences (no, yes a bit, yes a lot)		
	Finances (no, yes a bit, yes a lot)		
	Negotiating power (no, yes a bit, yes a lot) ? (with ?)		

<u>Relations between levels</u>		
Central (federal)/subnational (federated)x	Regulated and /or contractual ?	
	hierarchy, cooperation, coordination, OMC, conflictual ...	
	Overlap or competition of competences	
	Negotiations : needed to reach objectives ?	
Central (federal)/subnational y	Regulated and/ or contractual	
	hierarchy, cooperation, coordination, OMC, conflictual ...	
	Overlap or competition of competences	
	Negotiations : needed to reach objectives ?	
Subnational / subnational	Regulated and/or contractual	
	hierarchy, cooperation, coordination, OMC, conflictual ...	
	Overlap or competition of competences	
	Negotiations : needed to reach objectives ?	
<u>Are non public actors involved ?</u>		
	If yes, which kind (private sector /economic interest, NGOs, organised group, non organised citizens)	In which way
	h	
	i	
Between territorial levels, are they cooperating ? Or dialogue, or coordination, or conflict ?		
<u>Conflict</u>		
Are there mechanisms to deal with conflicts ?		
Formal ?		
Informal ?		
A main actor ?		
Possibility to contest the decision ?		
<u>Accountability</u>		
Is there one identified actor	If yes, which one ?	

responsible/ accountable		
-----------------------------	--	--

3: Horizontal relations (actors) during processes of public decision-making in the case study
(effectiveness, coherence, accountability, openness)

see HI

A: Horizontal “multi-channel” relations between actors, governmental and non-governmental (civil society, private sector), (H1)

<u>Actors involved</u>			
Which kind of role <i>(manager, investor, protestor, ...)</i>	Involved in which way ? <i>(formal, informal ?)</i>	Involved with which kind of tool ? <i>(institutional structures, legal constituted partnership, established lobby organisations... or ad hoc group, informal meetings...)</i>	Which part in the decision making process ?
v			
w			
z			
Specific actors to mention ? (due to specific policy)			
Actors appearing for the first time ?			
Actors which should be involved but are not ?	Kind of (type)	Why ?	
	c		
	d		
Actors mobilizing the territory ? (protest group, political leader, planner...)	Which kind ? (type)	How ?(project, spatial vision, ?)	
	e		
	f		
<u>Governance</u>	Actors coordinating their efforts ?		
	new mode of governance in the way the actors are involved ?		
<u>Decision</u>	Possibilities for non governmental actors to influence public		

	decisions ?		
	Is there one actor which has the final say about the decision ?		
<u>Conflict</u>	Are there mechanisms to deal with conflicts ?		
	Formal ?		
	Informal ?		
	A main actor ?		
	Possibility to contest the decision ?		
accountability	Is there one identified actor responsible/ accountable	If yes, which one ?	

4 Integration, coordination (territories)

see H2

(horizontal and vertical) Relations among territories; coordination of territorially based policies, multisectoral or integrated policies approaches

<u>Relations among the territories involved ?</u>	integrated policies, coordination, cooperation, dialogue, conflict	Due to which type of factors ? (institutions, culture...)
...		
z/x/y		
x/x		
x/y		
yy		
Do some municipalities have specific relations (close)		
<u>Coordination</u>	Is there coordination in general	
	Is there coordination concerning spatial planning for the area ? (statutory or not)	
	If not, possible explanation ?	
<u>integration</u>	Is there territorial integration of policies, Or policy packages	
	If yes, which kind ?	
	What about conflict resolution. (formal or informal mechanisms, main actor... ?)	
	What about accountability (one actor responsible ?)	
<u>Thematic approach ?</u>	If yes, are all the territories concerned involved in the	

	decision making process	
If yes	If yes, in which way (which process/cooperation, partnership, ..	For Which actors (public, private, ...)
	n	
	m	
	Specifically, is there supramunicipal cooperation for planning ?	
	What about conflict resolution. (formal or informal mechanisms, main actor... ?)	
	What about accountability (one actor responsible ?)	
If no	Is it a decision from top hierarchical level, which has to be implemented by subnational level ?	
	How is it going on, are there protest ?	
	What about conflict resolution. (formal or informal mechanisms, main actor... ?)	
	What about accountability (one actor responsible ?)	

5 Participation, openness

A: Public (non-governmental) participation in the processes of decision-making, and the implementation of decisions

Are there specific mechanisms or instruments to involve civil society or private sector in the decision making process,	If yes, what kind ? (consultation, public inquiries, ... ?)	Statutory ?	Binding results ?
g			
h			
Or/and in its implementation			
Effectiveness ?	Significant and representative number of people participating ?		
	Demands taken into		

	account when making decision ?		
	Actors involved in the implementation ?		
	Possibilities for non governmental actors to influence public decision thanks to participation process		
	or participation is just a formality ? which part has the participation process in the decision making process ?		
participation	Who is participating ?		
	Which interest are best represented ? Are interest groups easy to identify (lobbies ?)		
	Are (some) actors coordinating their efforts ?		
	Actors appearing for the first time ?		
	Actors which should be involved but are not ?	Kind of (type)	Why ?
		i	
		j	
	Actors mobilizing the territory ? (protest group, political leader, planner...)	Which kind ? (type)	How ?(project, spatial vision, ?)
		k	

B: Openness

Is there a mechanism or instrument for openness ?	
If yes, What type ? (agencies for information, law on administrative transparency, ...)	
Are they known by the stakeholders ?	
Can they be used by them ?	
If yes, were they used by them ?	
If yes, with which results ?	
Is information accessible to the general public ?	
Is there communication with the general public ?	
Existence of mechanism to involve actors (socio economic profile if possible) which	

should be involved but are not participating ?	
Existence of ressources (financial, human) made available to those mechanism ?	
Have specific agencies been created for the management of a policy, including openness to the public ?	

6 Innovative and/ or interesting tools, practices and mechanisms

Are interesting tools or mechanism or practices of governance used ?	
What is it ?	
Which level of public power are involved ?	In which way ? (partnership, cooperation,
Which territories are involved ?	
Which actors are involved ? (experts ?, NGO ?, ...)	In which way are they involved ?
Do you think this is innovative ? Why ?	
What were the objectives of the governance process ?	
Could they be achieved with the tool, mechanism, practice presented ?	
Conflict ; how was it dealt with ?	
To which aspect of territorial capital does this governance process contribute ?:	
Social ?	
Intellectual ?	
Political ?	
Material ?	
What kind of ressources does it need ? (human, legislative, finance,)	

7 Outcomes/ effectiveness

(policies, strategies, partly refer to matrix 'integrated policies'):
decisions and implementation

Decision :

Was it possible to reach a decision ? If yes	
How was it reached ? (process) : A top down decision ? or more bottom-up (local actors active and influent in the elaboration of the decision ?	
Who took the final decision ?	
The decision : what kind ?	

Short term, sectoral ?or Plurisectoral approach, middle or long term vision ?	
What about the sustainability of the policy/strategy/decision taken ?	
Is it facing protest ?	
Was it possible to elaborate integrated policy package and/or spatial vision ?	
Was there any integrated planning or territorial policy coordination	
Was there a capacity to 'integrate and shape (local) interest ... and to represent them to external actors ?	
What was developed in relation to spatial planning ?	
Is it helping EU territorial cohesion ?	
What relations are there to EU strategies, rules, policies, fundings, ...	
What relationship to ESDP in particular ?	
If no decision could be taken, what is a possible explanation,	
What are the consequences ?	

Implementation :

What decision on implementation was taken ?	
Which interests were best taken into account ?	
Which interest were the least taken into account ?	
Who is in charge of implementation ?	
Are there specific mode of governance ?	
Which group(s) benefit more from the implementation	
Which group(s) loose more from the implementation ?	
Who is financing the implementation ?	
Who is controlling the allocation of ressources ?	
Are there new problems arising from the implementation ?	

8: Governance problems (ref part III)

Based on interviews with expert, what is the general understanding of the case ?	
---	--

(success ? problems ? ...)	
Do you agree with that understanding ?	
It is an example of successful (territorial) governance, or is it a problematic case ?	
More concretely,	
Was it possible to reach a consensus ? on which basis ?	
Was it possible to agree on the contribution of each partner/stakeholder ?	
Could they achieve 'negotiated and shared rules' ?	
Was it possible to achieve an integration of the territorial action ? (sectors, actors, instruments, level.....)	
Was it possible to reach a common spatial vision for the area of the study ?	
Was it possible to go on with implementation ?	
If no consensual decision could be reached, what solution, if any, was found ?	
What were the main aspects of the (new) mode of territorial governance ?	
What were the main changes leading to the new territorial governance in the policy design and application phases ?	
How old are these changes ?	
What degree of relationship do they have with ESDP and/ or mainstream EU policies	
What about the 'rapport de force' ? (balance of power and power struggle) : were there obvious winners and losers from the decision taken ?	
Which group(s) benefitted from implementation ?	
Which group(s) lost from implementation ?	
Were there obstacles or barriers to use governance practices and tools (consensus, cooperation, partnership, openness...)	
Considering the processes and outcomes of governance, what were the main weaknesses and strengths ?	
Strength	Weakness
opportunities	threats
Was the balance of this SWOT changing over time ?	
What about possible future development ?	

The changes can be depicted in a revised version of the analytical matrix (the synopsis) in the following way:

Table 9.1: Revised version of analytical matrix for case study synthesis

Governance dimensions:	Context	Vertical: Multi-level relations, and decentralisation,	Horizontal: 'Multi-channel' Territorial co-ordination	Public Participation (ch.8)	Openness (ch.8)	Innovative and/or interesting tools, practices and mechanisms (ch.9)	Outcomes – decisions	Outcomes - implementation	Governance failures and successes
Geographical dimensions:									
Transnational/cross-border (ch.2)									
National (ch.3)									
'Regional' Polycentric Urban Networks (ch.4)									
Functional Urban Areas, Metropolitan Regions (ch.5)									
Urban-Rural (ch.6)									
Intra-city (ch.7)									

The second step then was to distribute the analytical framework amongst the researchers that have been appointed as responsible for each of the chapters. Within each group of case studies (for chapters 2-9) a couple of case studies have been chosen, and worked through by the help of the analytical framework. On the following pages some of information that has been gathered and then compared during the pilot studies is conveyed, three examples can be found in appendices 3 to 5. It should be noticed, that the work presented is based upon pilot studies, so it is, of course, too premature to conclude anything from the studies at present.

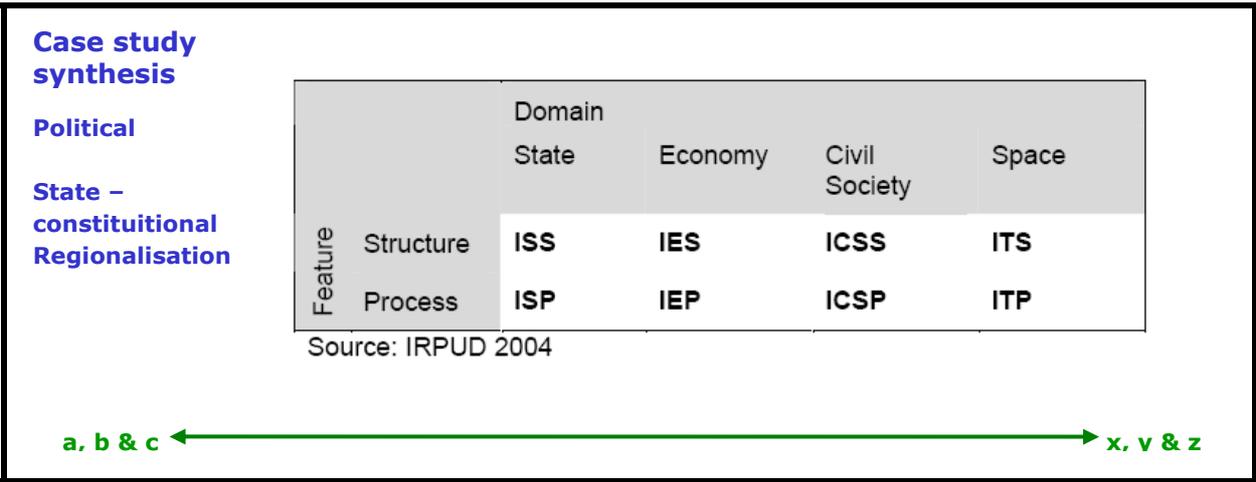
9.4 Case Study Synthesis – aspirations

The development of the analytical framework will help the persons undertaking the synthesis to extract the essential features of each of the

case studies, and at the same time, the process of condensing the material will be facilitated. Also, the fact that some of the analyses has been done during the 'pilot study phase' in November and December 2005, while the rest will be carried out in January and February 2006, points to the usefulness of the analytical framework. Based on the entrances in the analytical framework (the extracted and condensed information) an overview, a synthesis, over the processes will be established.

It is believed that the results of the synthesis will be supplementing the results from the indicator-based study, as it will also operate with a structural and a processual level in the interpretations, as sketched out in the Figure 9.1. The processual dimension, for an example 'regionalisation' can be interpreted by the use of the analysis provided in ESPON 3.2. By that, it is the aspiration of the analytical team that the two lines of research will contribute to the typologies of governance.

Figure 9.1: Domains and Features of Governance to be presented by Indicators



BIBLIOGRAPHY

Dubois, A. (Nordregio), *Scenarios baseline on "Issues of territorial governance"*, Working Paper, ESPON 3.2, 11.2.2005

European Commission, *The EU Compendium of Spatial Planning Systems and Policies*, Regional Development Studies, Luxembourg, 1997

Faludi, A. (2004): "Territorial cohesion: Old (French) wine in new bottles", *Urban Studies*, 41(7), pp. 1349-1365.

Farinós, J. & Payá, M. (2004): *El papel de la cooperación interregional y transfronteriza como instrumento de equilibrio territorial*. XXX Reunión de Estudios Regionales de la Asociación Española de Ciencia Regional. Barcelona, 17-18th November 2004

Kiser, L. and E. Ostrom, *Three Worlds of Action: A metatheoretical synthesis of institutional approaches*, in Ostrom, E. (ed.), *Strategies of Political Inquiry*, Sage, Beverly Hills, 1982, pp. 179 – 222

Newman, P. and A. Thornley, *Urban Planning in Europe*, Routledge, London, 1996, ch. 3, and ESPON project 1.1.1 (CUDEM / Leeds Metropolitan University, *Governing Polycentrism*, Annex report C, ESPON project 1.1.1 / Potentials for Polycentric Development in Europe, 2004, ch. 2).

Perkmann, M. (2002): *The rise of the Euroregion. A bird's eye perspective on European cross-border co-operation*. Department of Sociology; Lancaster University.

Schindegger, F. and Tatzberger, G. (2004): "Territorial Impact Analysis and its implementation", in ESPON 3.1 Final Report, part C, p. 396-411.

Schreier, M. (in press): "Qualitative methods in studying text reception". In Dick Schram & Gerard Steen (Eds.): *The psychology and sociology of literature. In honor of Elrud Ibsch* (pp.35-56). Amsterdam: Benjamins. (Taken from Fielding, N. & Schreier, M. (2001): Introduction: On the Compatibility between Qualitative and Quantitative Research Methods, *Forum Qualitative Social Research*, vol. 2, No. 1, 19 p. <http://www.qualitative-research.net/fqs-texte/1-01/1-01hrs-g-e.pdf>).

Schwandt, T. A. (1997): *Qualitative Inquiry: A Dictionary of Terms*. Thousand Oaks, CA, Sage Publishing.

Zweigert, K. and H. Kötz, *An Introduction to Comparative Law*, Oxford University Press, Oxford, 1987. The first three categories (Roman, Germanic, Nordic) are grouped as "civil law states" by David and Jauffret-Spinozi (David, R. and C. Jauffret-Spinozi, *Les grands systèmes de droit contemporain*, 10ème édition, Précis Dalloz, Paris, 1992)

ANNEXES

Annex 1:

Guidance for classifying information from national overviews

ESPON 2.3.2 – Work Package 2

Synthesis of national overviews

February 2005

In terms of the following criteria please locate the position of each country next to each alternative and then write a couple of lines preferably taken from the text of the corresponding national overview. In some cases what is requested is just a short comment (taken from the overview) on the country concerned. When comments are presented, it is better to keep the wording of the overviews to avoid misunderstandings.

1. Official acceptance of governance concepts and principles (based on 3.1)

Active and explicit acceptance and implementation	
Indirect acceptance and / or neutral position	
Low degree of acceptance and / or still at a stage of initial dialogue	

2. Changes in formal government in the direction of governance (based on 3.1)

Existence of specific reforms which are already implemented	
Existence of intended reforms	
No initiatives so far.	

3. Short note on the country concerned about the kind of criticisms regarding the lack of progress towards governance and / or the weaknesses of the present situation (based on 3.2 or even on 9). What is missing in present situation? What reallocation of powers is necessary? Is the nominal allocation of resources accompanied by distribution of adequate resources?

4. With regard to initiatives, implemented or under way, indicate where the emphasis is placed in each overview, by putting a cross or several crosses (based on 3.1 or even 9):

- Openness
- Participation
- Accountability
- Effectiveness

- Coherence
- Transparency
- Horizontal co-ordination
- Vertical co-ordination
- Other

Frequently however there is no specific reference in the reports to individual governance principles and objectives. This illustrates the difficulty of finding explicit references to the above objectives and, even more so, to clear links between these objectives and specific reforms, actions and characteristics.

5. Factors operating in favour of adoption of governance approaches. We can distinguish the following cases, although more than in one reasons may be valid (based on 3.2 and possibly 9). See also paragraph 21 below, which is similar.

European Union policies and integration processes Internal political imperatives (e.g. towards decentralization)	
Transition from a previous political regime	
Internal economic pressures, e.g. to increase competitiveness	
Strong national traditions (e.g. participation or local government traditions)	

We should not exclude the possibility that all these factors operate simultaneously in which case the best way to answer is by making a comment.

6. Internal variations within a country, in terms of acceptance of governance reforms. This is answered with a comment because it seems difficult to impose a classification. E.g. there may be differences between ethnic communities, or between urban – rural areas, developed – backward regions, core – remote areas etc. (based on 3.2 although this is not certain)

7. The case of methods (subsection 3.3) can be tackled through a simple table.

OMC method used in territorial planning	
OMC method used in other fields	
Existence of statutes, guidelines, directions etc. for participation / consultation	
Existence of statutes, guidelines, directions etc. for the creation of partnerships (vertical or horizontal)	

8. With regard to participation and partnerships (subsection 3.3), it is of interest to distinguish between countries with extensive relevant experience and countries with limited experience. Therefore we propose two tables:

..

Limited experience in participation processes	
Extensive experience in participation processes	

..

Limited experience in the functioning of partnerships	
Extensive experience in the functioning of partnerships	

9. On the question of forms of co-operation (subsection 3.4), we can create a table listing the different forms of contracts, local agreements etc.

Urban development contracts	
Local development agreements	
Other	

Fill other forms of contracts etc. as you find them in the national overviews. Write a very brief comment, if necessary, to explain the type of agreement.

10. Using the answers in the same subsection 3.4, add a comment about progress towards

- Vertical co-operation and partnerships, obviously beyond the conventional hierarchical command structure of government
- Horizontal co-operation and partnerships

In the second case specify whether it is

- Public – private co-operation in economic initiatives
- Public – public co-operation, e.g. between regions, cities, local authorities etc.
- State – civil society (NGOs, public) co-operation
- Other form of co-operation.

11. If the answers in section 3 allow it, try to identify factors which favour or prevent the creation of partnerships and then (a) make a comment for each country and (b) fill the following tables, if you find this feasible:

Barriers to partnership formation and co-operation

Limitations on powers and activity potential of partnership	
Lack of funds and external dependence	
Communication problems between participants, antagonisms, mutual suspicions etc.	
Undermining from external sources	
Other	

Factors / catalysts favouring partnership formation and co-operation

EU policies and funding	
National or sub-national legislation and policy	
Economic interests of participants, e.g. to gain access to funding sources	
Political reasons (e.g. support for or opposition to central government)	
Public reaction to government policy and public projects	
Other	

12. A general comment can be made perhaps, on each country, regarding the policy sectors in which the pursuit of governance principles and practices seems to be more promising or otherwise. This comment can be based hopefully on the answers in sections 3 and 9. E.g. it might be the case that the sector of environmental protection policy offers itself for a more obvious field of action towards governance. Another case, of a totally different character, is public – private co-operation for the development of infrastructure projects. It is very difficult to propose a tabulation in advance.

13. With regard to planning legislation (subsection 4.1), we can have a distinction between those countries with one or two basic laws regulating (a) urban development / land use and (b) regional development, and those where there is a multiplicity of laws. Essentially we judge here the simplicity and consolidation of legislation.

Existence of basic laws regulating urban and land use planning and regional development	
Diffuse legislation	

Add comment if necessary.

14. In connection with institutions (subsection 4.2), we need an extremely brief comment on each country, with the key spatial planning institutions, e.g. the most important (for planning) ministry / -ies, the typical regional or local

authority, and possibly a national institute / agency concerned with planning. Indicate whether in your view it can be said that a single central government ministry (which?) monopolizes (or almost) the competencies for spatial development and planning.

15. The answers to the question about roles and responsibilities of governmental layers etc. (subsection 4.3) cannot be summarized easily. We can list here however, for each country, the authorities which have the power of approval of new spatial plans of any kind for an entire administrative area, by which we mean country, federated state, region, subregion (e.g. prefecture, canton, county etc.), metropolitan area, municipality and commune. Indicate whether these authorities are elected or not.

16. With respect to allocation of resources (subsection 4.5), which is a complex issue, try to give an indication about each country of the extent to which local authorities receive adequate funding and are independent from central government. If you feel confident place the country on the following table, which shows the financial independence of local authorities:

Dependent on central government	
Fairly independent	
Very independent	

17. The issue of centralization / decentralization / devolution (see subsection 4.6) is already tackled indirectly in other paragraphs, but also in paragraphs 3 and 5 of Part B. Here we need first a very brief comment on each country. We can perhaps classify the 29 countries in terms of their present condition as follows:

Countries in which substantial powers have been allocated to the regions in the past	See most of the countries in table of paragraph 3 of Part B
Countries which expect to devolve substantial powers to the regions in the near future or are in the process of doing so	
Countries with powerless regions, e.g. because of the size of the country	

Countries in which substantial powers have been allocated to local authorities (municipalities) in the past	
Countries which expect to devolve substantial powers to local	

authorities (municipalities) in the near future or are in the process of doing so	
Countries with relatively powerless local authorities (municipalities)	Is this the case in any of the countries reviewed ?

18. On the involvement of politics (subsection 4.7), it seems that we received incompatible answers or no answers at all. Therefore, if you can, write a short comment.

19. With regard to cross-border etc. co-operation (section 5), please write a comment and fill the table if you can. Is there relevant legislation or policy in the countries concerned? What are the preconditions for relevant arrangements? In the table, we can try to list the types of cross-border / transnational arrangements. We are not certain in advance what the types are, therefore fill other types if you can.

Euro-regions	
Functional Urban Areas (FURs)	
River basins ???	
Other ???	
Special case of Cyprus (joint Master Plan of divided Nicosia)	

20. The style of planning in each country is theoretically described in section 9. We probably have no clear answers, with the exception of countries which obviously belong to one of the categories listed in Annex A of the Guidelines (Napoleonic etc.). Such countries are the UK, France etc. In some cases, e.g. Cyprus, there is a clear answer (Cyprus follows the British system). If you can, give a very concise answer for each country, based of course on the overviews.

21. As to the conditions leading to shifts towards governance (past or future), some classification is possible (based on section 9):

National culture and planning tradition	
EU influence and pressure	
Globalization and competition pressures	
Central state crisis and fiscal problems	
Democratic deficit and crisis of democracy	
Rising importance of local societies	
Emergence of multicultural societies	
Other ???	

Each country can appear in more than one boxes. An additional comment is necessary. There is repetition here of the tabulation of paragraph 5 above, but here we somehow expand the range of factors affecting governance.

22. Of equal importance are the factors which act as obstacles to progress towards governance. A comment is necessary here. Among other things, the comment should:

- Highlight the existence in some countries of conditions which can be described as a peculiar form of governance, in the sense that they create a nexus linking the authorities with the citizens, but in a negative way, which is a far cry from the real principles of governance. We can call it "distorted governance" (clientelistic relations, patronage, land rackets etc.).
- Take into account another aspect which needs emphasizing, namely that progress towards governance presupposes good government, i.e. a level of maturity which is often lacking.
- Stress the importance of the political culture that prevails in a given country (or even part of it) and can be inimical to new concepts of governance.
- Identify the devious use of governance processes for the benefit and profit of private interests, bent on bypassing the established government processes.

These are 4 factors which can impede governance policies. There may be others as well. However, they can only appear in the national overview synthesis if, and only if, they are mentioned explicitly in the overviews themselves.

Annex 2 to Chapter 8: Data and Indicators.

Table 8.4 Data List

ESPON 2.3.2 Metadata

Stand: 11.11.2005

Title	NUTS Level	Nuts Version	Time Reference	Source	Comments	Classes	Unit
Governance Scores	NUTS 0	1999	2005		based on S1-S5	3	typology
Population total	NUTS 3	1999	2002	EUROSTAT	Population average of 2002	6	#
Population change	NUTS 2	1999	1995-2000	ESPON		6	%
Share of Internet users	NUTS 2	1999	2003	ESPON	Share of 100 inhabitants	6	of 100 inhabs
Total employees	NUTS 2	1999	2003	EUROSTAT	NUTS 3 Data aggregated to NUTS 2	5	#
L to P NACE	NUTS 2	1999	2003	EUROSTAT		5	in 1000
GDP total	NUTS 3	1999	2002	EUROSTAT		5	Mio. €
GDP growth	NUTS 2	1999	1995-2000	ESPON	Indicator "GDPgrE": GDP growth in EURO	8	%
GDP change / L to P NACE	NUTS 2	1999	1995-2002	EUROSTAT	Calculated GDP change and combined with L-P NACE	6	typology
GDP change / Share of L to P NACE	NUTS 2	1999	1995-2002	EUROSTAT	Calculated GDP change; calculated share of L-P NACE	6	typology
National GDP/capita share of EU total development	NUTS 0	1999	1995-2002	EUROSTAT	Calculated national GPD/cap. In 1995 and 2002. Calculated each share of European total GDP. 1995 = 100.	5	1995 = 100
Pentagon	NUTS 2	1999		ESPON	EU27 and EU15 Pentagon	2	typology
MEGAs	NUTS 5	1999	2000	ESPON	based on FUA typology; points mark centers of NUTS 3 regions	1	location

Title	NUTS Level	Nuts Version	Time Reference	Source	Comments	Classes	Unit
Settlement Structure	NUTS 2	1999	1999	ESPON		6	typology
Lagging Regions	NUTS 2	1999	2000	ESPON		3	typology
Polycentricity	NUTS 3	1999	2001	ESPON	based on FUA typology	6	typology
Typology Urban-Rural	NUTS 3	1999	1999	ESPON		6	typology
Länderbonität	NUTS 0	1999	?		Institutional Investor		?
Typology multimodal accessibility potential	NUTS 2	1999	2001	ESPON		5	typology
GDP development / Governance scores	NUTS 0	1999	1995-2002	EUROSTAT	Calculated national National GDP/cap in 1995 and 2002. Calculated each share of EU total GDP. Combined difference between 1995 and 2002 with Governance scores.	6	typology
Polycentricity / Governance scores	NUTS 3	1999	2002	ESPON	Matrix of two Indicators	9	typology
Accessibility / Governance scores	NUTS 2	1999	2001	ESPON	Matrix of two Indicators	9	typology
TRUST 1							
- Government Effectiveness	NUTS 0		1996-2004	World Bank	Calculated delta '96-'04 out of percent values		%
- Regulatory Quality	NUTS 0		1996-2004	World Bank	Calculated delta '96-'04 out of percent values		%
- Overall e-government contact SME	NUTS 0		2003-2004	EUROSTAT	Calculated delta '03-'04 out of percent values		%
- Internet access	NUTS 0		2002-2004	EUROSTAT	Calculated delta '02-'04 out of percent values		%
TRUST 2							
- Trust in national legal system	NUTS 0		2004	Eurobarometer 61			%
- Trust in national government	NUTS 0		2004	Eurobarometer 61			%

Title	NUTS Level	Nuts Version	Time Reference	Source	Comments	Classes	Unit
- Trust in national parliament	NUTS 0		2004	Eurobarometer 61			%
- Trust in political parties	NUTS 0		2004	Eurobarometer 61			%
- Satisfaction with national democracy	NUTS 0		2004	Eurobarometer 61			%
Nationale Bonität							
Official acceptance of governance concepts and principles	NUTS 0			file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle number is "0".	1 = Active and explicit acceptance and implementation, 0 = Indirect acceptance and/or neutral position, -1 = Low degree of acceptance and/or still at a stage of initial dialogue	
Changes in formal government in the direction of governance	NUTS 0			file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle number is "0".	1 = Existence of specific reforms which are already implemented, 0 = Existence of intended reforms or of reforms under way, -1 = No initiatives so far	
Experience with participation processes	NUTS 0			file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle value "0" does not exist.	-1 = limited experience, 1 = Extensive experience	

Title	NUTS Level	Nuts Version	Time Reference	Source	Comments	Classes	Unit
Experience with partnerships	NUTS 0			file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle value "0" does not exist.	-1 = limited experience, 1 = Extensive experience	
Extent of financial dependence of local government on central government	NUTS 0			file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	The classes given in the tables of synthesis report basing on the National Overviews of ESPON 2.3.2 are given numbers. The middle number is "0".	-1 = dependant, 0 = Fairly independent, 1 = independant	
Governance Score	NUTS 0			file "final version matrix29Coutries" by Joaquin Farinós Dasi, University of Valencia, basing on NTUA synthesis report of National Overviews	Summing up the results of the Score components the scale range is -7 to +7		

Table 8.5 Numeric Approach - Overview

Numeric Approach Case Studies

Guidelines for Case Studies (Annex)

Further guidelines on 'numeric' parts.

27.6.05

In the case study guidelines, Valerie has outlined some ideas regarding a potential 'numeric' approach. With this mail, you receive the **final version of this exercise**. Please replace the previous tables in the case study guidelines with the new ones. Please use the tables towards the end of respective Parts in the guidelines.

The intention of this 'numeric' approach towards your case studies is to help you review your main points with the help of answer categories.

After having written the main text for a specific section, below tables hopefully help you bring out the main structural and procedural aspects of the cases.

You see that some of the boxes are left open for you to fill in the precise list of territories, actors, mechanisms. When completing this list, concentrate on the main important territories, actors, mechanisms.

On top of each table you find a reference to the respective sections of the case study guidelines and questions for your orientation.

May we also kindly ask you to fill in the tables on screen, using standard word processors and to return preferably a Word file!

Return file to IRPUD - peter.ache@udo.edu , Joaquin.Farinos@uv.es !

Also: Any comment is welcome.

T1		
Respondent		
e-mail contact		
Case Study reference		

Summarising Case Study Part II - Theme: Vertical relations between territories

(Related to Part II, Section I-A, question 2 & Part II, Section I-B, question 4 // Part II, Section I-A, question 3 & Part II, Section I-B, question 5)

T2 - Main territorial levels involved (please list)	Degree of involvement (Q2, Q4)	Competences (Q3, Q5)	Negotiating power (Q3, Q5)	Financial Resources (Q3, Q5)	Other (please specify) (Q3, Q5)
Scores	-1 = not involved/not applicable, 0 = standard involvement; +1 = strongly involved	-1 = 0 = +1 =	no autonomy balanced situation high/full autonomy		

Summarising Case Study Part II - Theme: Vertical relations between territories
(Related to Part II, section I-A, Question 5)

T3 - Actors (please specify)	Cooperation	Coordination	Dialogue	Other (please specify)
Civil Society				
Private Actors				
Lobbying Groups				
Other not mentioned before?				
Scores	-1 = inexistent 0 = balanced +1 = permanently & strongly integrated part of decision making			

Summarising Part II - Theme: Horizontal relations between actors

(Related to Part II, section II-A, questions 3, 4, 5, 7, 9, 11)

T4 - Other Actors (please list)	Involvement (Q 3)	Influence on decision making (Q 4)	Coordination (Q 5)	Mobilizing ? (Q 9)	General Influence (Q 11)
Civil Society					
Private Actors					
Lobbying Groups (Q9)?					
Other actors, <i>governmental and not</i> , not mentioned before?					
Scores	-1 = mainly formal 0 = balanced +1 = mainly informal	-1 = no influence/involvement; 0 = balanced / fair; +1 = strong position / active			

Summarising Part II - Theme: Horizontal relations between territories

(Related to Part II, section II-B, questions 2, 6, 13)

T5 - Main territorial levels involved (please list)	Territorially integrated policies (Q2)	Sectorially integrated policies (Q6)	Policy Packages (Q6)	Cooperation (Q2)	Coordination (Q2)	Dialogue (Q2)	Conflict (Q2)	Protest (Q13)	Non Relations (Q2)	Other (Specify) (Q2)
Scores	-1 = non existent / negative ; 0 = balanced/fair ; +1 = strong position									

Summarising Part II - Theme: Instruments and mechanisms – IN DECISION MAKING PHASE

(Related to Part II, section III-A (public, non governmental, participation), questions 3,4,5,6 & Part II, section III-B (Openness), questions 2,3,4,6)

T6.1 - Mechanisms/Instruments (please list, you can also extend !)	Statutory? (Q3)	Binding? (Q 4)	Effectiveness? (Q5, Q6)	Contributing to 'openness'? (Q1?, Q2)	Known by actors? (Q2, Q4)	Resources available? (Q6)
Civil Society						
Private Sector						
Lobby Groups						
Other not mentioned before?						
Scores	1 = Yes 0 = No	-1 = not at all 0 = average + 1= strongly	-1 = not at all 0 = average + 1 = very effective	1 = Yes 0 = No	1 = Yes 0 = No	1 = Yes 0 = No

Summarising Part II - Theme: Instruments and mechanisms – IN IMPLEMENTATION PHASE

(Related to Part II, section III-A (public, non governmental, participation), questions 3,4,5,6 & Part II, section III-B (Openness), questions 2,3,4,6)

T6.2 - Mechanisms/Instruments (please list, you can also extend !)	Statutory? (Q3)	Binding? (Q 4)	Effectiveness? (Q5, Q6)	Contributing 'openess'? (Q1, Q2)	to Known by actors? (Q2, Q4)	Resources available? (Q6)
Civil Society						
Private Sector						
Lobby Groups						
Other not mentioned before?						
Scores	1 = Yes 0 = No	-1 = not at all 0 = average + 1= strongly	-1 = not at all 0 = average + 1 = very effective	1 = Yes 0 = No	1 = Yes 0 = No	1 = Yes 0 = No

Summarising Part II - Theme: Actor perspectives -IN DECISION MAKING AND IMPLEMENTATION PHASES

(Related to Part II, section III-A (public -non governmental- participation), questions 6, 10, 11)

	IN DECISION MAKING PHASE			IN IMPLEMENTATION PHASE		
T7 - Other Actors (please list)	Influence on decision making (Q 6)	Involvement	Coordination (Q 11)	Influence on implementation (Q 6)	Involvement	Coordination (Q 11)
Civil Society						
Private Sector						
Lobbying Groups						
Other not mentioned before?						
Scores	-1 = no influence 0 = balanced +1 = strong position	-1 = no involvement 0 = fair position +1 = pro active	0 = no 1 = yes	-1 = no influence 0 = balanced +1 = strong position	-1 = no involvement 0 = fair position +1 = pro active	0 = no 1 = yes

Part II – Section V: Outcomes , Part III: Failures and Successes

Part II, Section V-A (the decision), questions 4 & 6; Part II, Section V-B (the implementation), questions 3; Part III, question 3.

Table 9.

Outcomes		
Part II. Sec. V-A Q4		
- Integrated planning		
- Territorial policy coordination		
- Capacity to integrate local interest and to represent them		
Q6		
- Helping EU Cohesion		
Part II. Sec. V-B Q3		
- Specific governance mode		
Score:	-1 = Not at all 0 = Partly +1 = Strongly	
Failures & Successes		
Part III.		
Q 3		
- Build a consensus		
- To agree on the contribution of each stakeholder		
- To achieve negotiated and shared rules		
- To achieve integration of territorial action		
- To reach a common spatial vision		
- To go on with implementation		
Q 11		
- Obstacles and barriers		
Score:	-1 = Strong 0 = Possible to overcome +1 = No obstacle	

Thanks for your cooperation

Table 8.6 Statistical Data Sheet Case Studies

Statistical Information Case Studies

The majority of required information can be obtained from public statistical information offices. Please stick to the years and time horizon as indicated below. We do not need census data for the single items. In case of any deviation, please indicate with comments to the respective boxes. See also further comments for single boxes in the 'Readme!' sheet. Please report any problems reg. data!

NUTS 3 Reference(s) of Case Study

Readme!

--

Area Sqkm

--

	1984	1989	1994	1999	2004	
Population (.000)						
GDP (.000, Euro, PPS/capita)						<i>Readme!</i>
Employment (.000)						
Prim Sector (%)						
Sec Sector (%)						
Tert Sector (%)						
Employment NACE L-O (.000)						<i>Readme!</i>
	1984	1989	1994	1999	2004	
Unemploymentrate %						
Social Questions	1984	1989	1994	1999	2004	
Foreigners (.000, not home nationality)						<i>(x where appropriate)</i>
Dependency Rates (% of Population receving welfare support)						Do you observe features of a 'Parallel Society' in you country, case study?
Sustainability						
Does a Local Agenda 21 activity exist? <i>(delete where appropriate)</i>	Yes		No			

Budget figures	1984	1989	1994	1999	2004	
Public Budget (.000 EUR)						<i>Readme!</i>
Share National (%)						
Share Regional (%)						
Share Local (%)						
Share Social Insurances (%)						
Deficit development (%)						
Deficit National (%)						
Deficit Regional (%)						
Deficit Local (%)						
Voter turn out in Elections:	1984	1989	1994	1999	2004	
Local						
Regional						
National						
European						

Assessment

(x where appropriate)	-1 (parallel societies exist)	0 (do not know, hard to say)	+1 (integrated society)
Do you observe features of a 'Parallel Society' in you country, case study?			

NB: The Readme! Section provided further information about the kind of data required and about links with matching Eurostat-Data.

Table 8.7 Case Studies

		NP	contact person	T2	T3	T4	T5	T6.1	T6.2	T7	T8	T9
1. Portugal	1.1 Atlantic Axis	x	Jose Rio Fernandes	x	x	x	x	x	x	x	x	x
	1.2 Metro do Porto											
2. Austria	2.1 Leoben	x		x		x	x	x		x		x
	2.2 Regional managements in Austria	x		x	x		x			x		x
3. Italy	3.1 Mezzogiorno Development Programme	x	Nunzia Borelli	x	x	x	x	x	x	x	x	x
	3.2 Promotion of Sustainable Dev. Processes in the Pinerolese PPSP	x	Marco Santangelo	x	x	x	x	x	x	x	x	x
4. France	4.1 The "Pays" policy	x	Frederic Santamaria	x	x		x	x	x	x		x
	4.2 Town planning instruments of the urban area of Lyon	x	Emanuelle Bonerandi	x	x	x	x		x	x		x
5. Germany	5.1 The Socially Integrative City Duisburg	x	Stefan Peters	x	x	x	x	x	x	x		x
	5.3 New planning bodies Hannover	x	Stefan Peters	x	x	x	x	x	x	x		x
6. Belgium	6.1 The development of Zaventem airport	x	Valerie Biot	x	x	x	x	x	x	x		x
	6.2 The project "Tour et Taxis"	x	Valerie Biot	x	x	x	x	x	x	x		x
7. Switz.	7.1. Greater Zurich Area											
	7.2 "Glow.dasGlattal"	x	Christof Abegg	x			x				x	x
8. Slovenia	8.1. Eur. corridors and displacement of Schengen borders	x	Marija Bogataj	x	x	x	x	x	x	x		x
9. Cz. Rep.	9.1. Brownfields	x	Ludek Sykora	x		x	x					x
	9.2 Sprawl in PMA	x	Ludek Sykora	x		x	x					x
10. Spain	10.1 Pla Estratègic del Litoral Metropolità de Barcelona PEL	x	Maria Xalabarder	x	x	x	x	x	x	x	x	x
	10.2 Pla Director del Sistema Urbanistic Costaner PDUSC	x	Maria Xalabarder	x	x	x	x	x	x	x	x	x
	10.3 Pla Territorial Metropolità de Barcelona PTMB	x	Maria Xalabarder	x	x	x	x		x	x	x	x
11. Hungary	11.1 The Process of Developing the National Spatial Plan	x	Hanna Szemzo	x	x	x	x	x	x	x	x	x
	11.2 The Process of Developing the Spatial Plan for the Aggl. Budapest	x	Hanna Szemzo	x	x	x	x	x	x	x		x
12. Danm.	12.1 The Triangle Area	x	John Jørgensen	x	x	x	x	x	x	x	x	x
	12.2 The Oresund Region	x	John Jørgensen	x	x	x	x	x	x	x	x	x
13. Estonia	13.1 Via Baltica											
	13.2 Ida-Viru											
14. Finland	14.1 The Structural Land Use Plan of Lahti Region	x	Arto Ruotsalainen	x	x	x	x	x	x	x	x	x
	14.2 Haparanda-Torneå	x	Riikka Ikonen	x	x	x	x	x	x	x	x	x
15. Latvia	15.1 Zemgale Technological Park											
	15.2 Kurzeme Transport System Initiative											
16. Norway	16.1 Trøndelag counties: common reg. development plan fylkesplan	x	Jon Moxnes Steineke	x	x	x	x	x		x	x	x

		NP	contact person	T2	T3	T4	T5	T6.1	T6.2	T7	T8	T9
	16.2 Enhetsfylke Hedmark. Pilot experiment in co-ordinating ...	x	Jon Moxnes Steineke	x	x	x	x	x	x	x	x	x
17. Sweden	17.1 Västra Götaland Region											
	17.2 ARKO-collaboration	x	Margareta Dahlström	x	x		x	x	x	x	x	x
18. Lithuania	18.1 Comprehensive plan of the territory of Lithuania 2002											
	18.2 Vilnius city strategic plan 2002-2012											
19. Ireland	19.1 Greater Dublin GD	x	Neil Evans	x	x		x					x
	19.2 Atlantic Gateways AG	x	Neil Evans	x	x	x	x					x
20. Romania	20.1 Microregional Association for Tourism Dev. Gutin Mountains	x	Ion Peleanu	x	x	x	x	x	x	x	x	x
	20.2 Prahova County – Ploesti Area											
21. Slovakia	21.1 Slovak Spatial Development Perspective 2001	x	Vojtech Hrdina	x	x	x	x	x	x	x	x	x
	21.2 Pilot Study of the residential area Jánošíková, Malacky	x	Vojtech Hrdina	x	x	x	x	x	x	x	x	x
22. U.K.	22.1 Strategic Waste Management in England –SWM	x	Neil Evans	x		x	x					x
	22.2 South Yorkshire Partnership	x	Neil Evans			x	x					x
23. Luxemb	23.1. La Grande Région											
	23.2 The "Pôle européen de développement PED"	x	Valerie Biot	x	x	x	x	x	x	x	x	x
24. Cyprus	24. The "Greater Nicosia Development Plan"	x	P.A. Apostolides	x	x	x	x	x	x	x		x
25. Bulgaria	25. Master Plan for the Metropolitan Area of Sofia	x	Julia Spiridonova	x	x	x	x	x	x	x	x	x
26. Greece	26.1 Devolution of powers, regionalization and spatial planning	x	Thanos Pagonis, Louis Wassenhoven	x	x					x		x
	26.2 Prefectural development companies: An instrument for ...	x	Kalliopi Sapountzaki	x		x		x		x	x	x
27. Poland	27.1 Euroregion Nysa Neisse	x	Tomasz Komornicki, Mariusz Kowalski	x	x	x	x					x
	27.2 Transport Policy in a metropolitan area. The case of Warsaw	x	Tomasz Komornicki, Mariusz Kowalski	x	x	x	x					x
28. Netherl.	28.1 Knooppunt Arnhem Nijmegen KAN-region	x	Bas Hendrixx	x	x	x	x	x	x	x		x
	28.2 "Het Drielandenpark" Park of three countries	x	Bas Hendrixx	x	x-x	x	x	x		x		x
29. Malta	29.1 The Regeneration of Cottonera	x	Nadia Theuma				x					x
	29.2 Garigue: A wasted land or a fertile land?	x	Nadia Theuma							x		x

Annex 3:

Pilot Studies – Transnational level

ESPON 232: Case studies analytical framework

The tables below summarise the analysis of two trans-national case studies, to be used as a pilot for the next Interim report. There are many instances where national experts have interpreted the questions differently and also the level of detail differs greatly. What is clear from this tentative analysis however is that there are issues where summarising findings can be found, as for instance in relation to the preconditions for spatial planning in a trans-national context. The two cases of Drielandenpark and "På Gränsen/Rajalla" in Tornio-Haparanda are both examples where previous co-operation and cultural issues are central to achieving new governance models across borders. In particular in the Drielandenpark it seemed to be the case that the involvement of public sector representatives was an issue that contributed to the absence of innovation in the sense that this type of co-operation between sectoral authorities is the most traditional co-operation and seldom manages to create real innovation. It is also likely to be the case that in the trans-national context governance innovation requires a long established traditional of co-operation that goes also beyond the sectoral authorities and also relies on co-operation patterns between the residents and politicians. National legislation and regulation can however also be an element that hampers trans-national governance innovation. In terms of the financial resources required, the reliance on European funding is a central factor. Yet in the future the commitment of local authorities and in particular business representatives and private sources of financing are also clearly required. This can be achieved only if the benefits are more tangible than "merely" the promotion of co-operation and networking.

<p>Type of territory</p> <p>Trans-national, No specifications given as to what types of regions in ESPON context</p> <p>Name of the case study</p> <p>Drielandenpark (28.2)</p>
--

1 : context

<p>Type of territory Geographical <i>(metropolitan area FUA, transnational, national, ... (cf matrix)</i> And physical (rural, urban, coastal, ...)</p>	<p>Transnational cases, but the typologies are not available in the case study report</p>
<p>Type of political and institutional framework</p>	<p>Varies from country to country: NL: Decentralized unitary state, with consensual political culture and "...more concerned with governance... than government"</p>

	DE+BE: federal
Federal	DE+BE
Unitary :Regionalised	-
Decentralised	NL
centralized	-
Regime maintenance Or incremental change Or rapid change	Plan for the park has existed since 1980, long history and incremental change
Spatial planning framework Strategic (level),mandatory (level)	NL: Only local level has competences for (binding) spatial planning, so in that case the role is more strategic (collaborative and consensus, based on Polder-model) DE: Länder level most important for spatial planning, though also on Bund level competences (regulative, setting the guidelines etc.) => Mandatory BE: Gewesten (districts) responsible for spatial planning. No spatial policy on federal level => mandatory

2: Vertical relations (territories and actors) during processes of public decision making in the case study (coherence, accountability, subsidiarity)

see V1 and V2

A: Vertical multi-level (of territories) relations of governance ("MLG") (V1)

B: Decentralisation, devolution, regionalisation (V2)

Federalism, Unitary : Decentralisation, Regionalisation, devolution, ...		Federal in DE + BE, unitary NL
Dynamic of the process (maintenance, incremental changes, radical changes),		Incremental change
Ressources (Finances) : Who decides the allocation ?		Originally EU project funding within Interreg IIC (50%) + provinces and cities' co-fundings shares (50%) Euregion Meuse-Rhine, details for decision-making not given EU no longer 'prioritises' the project (p. 9, 12,13 ...), which has implied that the project currently 'simmers, rather than boils' (p.13)
Who controls the allocation ?		Not said apart from the EU (and its unwillingness)

<u>Level of territories</u>		« The individual partners ... do not renounce their legal competences (inside the national framework) or transfer their powers to a Drielandenpark-administration »
Central (or federal) state	A role ?	
	Formal ?	
	Informal ? (mainly ?)	
Subnational		
X ('regional' or federated))	A role ?	Yes – municipalities most important, with the « joint venture of cities the MHLA (Maastricht, Heerlen, Aachen + Liege)
	Formal ?	Yes : « the sub-national layers are rather autonomous in terms of cooperative spatial planning ». Though : « ..[They] are constrained by the legal/constitutional settings of the particular countries »
	Informal ? (Mainly ?)	See above
	Involvement ? (No, Yes strong, Yes a bit)	Yes, though local stronger
	Autonomy ?	No, local level autonomy
	Competences (no, yes a bit, yes a lot)	Local partners retain their competences, not pooled, "No single body that commands ultimate decisive power within the project"
	Finances (no, yes a bit, yes a lot)	Not specified
	Negotiating power (no, yes a bit, yes a lot) ? (with ?)	Equal power for all partners, though « some... actors argue that the project (in terms of relative power) is slightly skewed towards the Netherlands (province of Limburg) because of its leading role in the project management »
Y (Local)	A role ?	YES – DOMINANT

		SEE ABOVE
	Formal ?	Municipalities maintain their autonomy of decision-making, the meaning of the co-operation is more strategic, co-operative
	Informal ? (Mainly ?)	Yes – see above
	Involvement (No, Yes strong, Yes a bit)	
	Autonomy ?	Yes – see above
	Competences (no, yes a bit, yes a lot)	Individual partners retain their competences, no pooling of competences taking place. Legal (national) frameworks are the constraining factors Hierarchies for the national context prevail
	Finances (no, yes a bit, yes a lot)	Relies on local funds, as the EU funds have 'dried up'
	Negotiating power (no, yes a bit, yes a lot) ? (with ?)	Same as above
	<u>Relations between levels</u>	
Central (federal)/subnational (federated)	Regulated and /or contractual ?	Not referred to in the report in these terms
	hierarchy, cooperation, coordination, OMC, conflictual ...	
	Overlap or competition of competences	
	Negotiations : needed to reach objectives ?	
Central (federal)/subnational y	Regulated and/ or contractual	
	hierarchy, cooperation, coordination, OMC, conflictual ...	
	Overlap or competition of competences	
	Negotiations : needed to reach objectives ?	
Subnational / subnational	Regulated and/or contractual	
	hierarchy, cooperation, coordination, OMC, conflictual ...	

	Overlap or competition of competences	
	Negotiations : needed to reach objectives ?	Formal and informal negotiation, as
<u>Are non public actors involved ?</u>		Not at this stage, in the concrete implementation this is planned for. Private sector "sometimes consulted" (p.10)
	If yes, which kind (private sector /economic interest, NGOs, organised group, non organised citizens)	Instead of hearings and a clear role for the citizens/civil society, private sector actors that are 'sometimes consulted' are mainly tourism-based public-private organisations (p.10)
<u>Between territorial levels, are they cooperating ? Or dialogue, or coordination, or conflict ?</u>		Dialogue and co-ordination mainly, conflict resolution mainly based on trying to attain consensus rather than ending up in situations, where conflict-resolution becomes an issue (p.10)
<u>Conflict</u>		See above
<u>Are there mechanisms to deal with conflicts ?</u>		See above
<u>Formal ?</u>		« Diplomatic approach » by the steering group (ibid.)
<u>Informal ?</u>		
<u>A main actor ?</u>		Steering group and its chair (representative of Limburg province)
<u>Possibility to contest the decision ?</u>		Yes – has lead to withdrawal of Wallonian actors from the negotiations (p.10)
<u>Accountability</u>		
<u>Is there one identified actor responsible/ accountable</u>	If yes, which one ?	Non-binding co-operation, so this not really a necessity, but steering group and its head have had this role

3: Horizontal relations (actors) during processes of public decision-making in the case study (effectiveness, coherence, accountability, openness)

see HI

A: Horizontal "multi-channel" relations between actors, governmental and non-governmental (civil society, private sector), (H1)

Actors involved			
Which kind of role (manager, investor, protestor, ...)	Involved in which way ? (formal, informal ?)	Involved with which kind of tool ? (institutional structures, legal constituted partnership, established lobby organisations... or ad hoc group, informal meetings...)	Which part in the decision making process ?
Municipalities the main type of actor	Informal : Joint venture based on a mutual vision for spatial planning in the region	'Permanent' project structures, 'keeping the project alive' (p.11)	Planning and implementation
Civil servants and experts	As above	As above	As above
Province of Limburg	Informal and through the role as the chair in the steering group also formal	« ...tried to convoke all partners into a constructive joint venture with the intention to promote the development of cooperative spatial planning... »	Key role as a proactive promoter of the project, 'gatekeeper even (?)
Benelux	Main negotiating actor (p. 12)	« Most important governmental actors » (p.12)	In the early inception stages in particular
Euregion Maas-Rhine	Marginal role, negative	-	Cause of 'slowing down', as the focus has been on economic development rather than sustainability (which is the main focus of the spatial plan)
Actors which should be involved but are not ?	Kind of (type)	Why ?	
	NOT SPECIFIED, THOUGH THE ABSENCE OF PRIVATE ACTORS IS REFERRED TO	SOURCE OF ALTERNATIVE FINANCING WHEN THE EU FUNDING FELL THROUGH	

Actors mobilizing the territory ? (protest group, political leader, planner...)	Which kind ? (type)	How ?(project, spatial vision, ?)	
	Civil servants and experts	Negotiating for a common vision	
	Chair of steering group main mobilising actor	As above	
<u>Governance</u>	Actors coordinating their efforts ?	Steering group chair – Limburg province (again !) – all the other participating countries and their experts and civil servants (p.12)	
	new mode of governance in the way the actors are involved ?	Cooperative working sessions in all the participating regions to draft the common vision	
<u>Decision</u>	Possibilities for non governmental actors to influence public decisions ?	Not really elaborated in the report, but the centrality of public sector is clear from the description	
	Is there one actor which has the final say about the decision ?	This is not forthcoming explicitly from the description, but implicitly, as each participating region/municipality retain their autonomy, each also has the final say/veto power	
<u>Conflict</u>	Are there mechanisms to deal with conflicts ?	Not elaborated	
	Formal ?	-	
	Informal ?	-	
	A main actor ?	-	
	Possibility to contest the decision ?	Yes – as described above	
accountability	Is there one identified actor responsible/	???	

	accountable		
--	--------------------	--	--

4 Integration, coordination (territories)

see H2

(horizontal and vertical) Relations among territories; coordination of territorially based policies, multisectoral or integrated policies approaches

The elaboration of the spatial vision as described in the report takes place through three stages/phases:

- Co-operation and design (resulting in the common vision and its expression in the form of a spatial plan). Sectorally based thematic approach (landscape and culture; urbanisation and infrastructure; nature; water and the environment; agriculture; tourism)
- Elaboration of policy outlines into concrete projects
- Implementation of those projects

Currently only in the beginning of the 2nd stage/phase

<u>Relations among the territories involved ? ...</u>	integrated policies, coordination, cooperation, dialogue, conflict	Due to which type of factors ? (institutions, culture...)
REGIONS in the above mentioned countries (BE, DE, NL)	Co-operation	Institutional (sectoral approach), culture (of co-operation)
MUNICIPALITIES in the above mentioned countries	Co-operation	As above
Do some municipalities have specific relations (close)	YES – as described above MHAL = Maastricht, Heerlen, Aachen and Liege (later also Genk+Hasselt)	
<u>Coordination</u>	Is there coordination in general	No
	Is there coordination concerning spatial planning for the area ? (statutory or not)	Non statutory
	If not, possible explanation ?	The participants retain autonomy, the ambitions are more related to (a more limited or less binding) co-operation
<u>integration</u>	Is there territorial integration of policies, Or policy packages	Thematic approach in the vision (p.13), not otherwise
<u>Thematic approach ?</u>	If yes, are all the territories concerned involved in the decision making process	Yes – see above
If yes	If yes, in which way (which process/cooperation,	For Which actors (public, private, ...)

	partnership, ..	
		Not described in more detail in the report
	Specifically, is there supramunicipal cooperation for planning ?	Yes – that is the whole point of the project

5 Participation, openness

A: Public (non-governmental) participation in the processes of decision-making, and the implementation of decisions

Are there specific mechanisms or instruments to involve civil society or private sector in the decision making process,	If yes, what kind ? (consultation, public inquiries, ... ?)	Statutory ?	Binding results ?
Thus far very little involvement of the public (p.14). This is expected to take place in the implementation stage (p.14)	-	-	-
Website (for making information available)	-	Voluntary	No – outcome more information about the project and the co-operation and the ensuing vision and mutual understanding (p.14)
Project leader + project groups are « available for consultation »	-	Voluntary	No – outcome of many rounds of talks and communication between the « various governemtnal bodies in the region » (p.15)
The side effects of the whole process has been the improvement of communication lines and the further integration of international policies » (p.15) The main outcome was the creation of a « framework to coordinate the spatial planning on (sustainable) development of the large rural area between the large urban poles oif the MHAL » (p.15)			
Or/and in its implementation	IMPLEMENTATION STAGE ONLY ABOUT TO STARTS, DEPENDING ON THE FUNDING – currently project has come to a standstill (p.16)		

Effectiveness ?	Significant and representative number of people participating ?		
	Demands taken into account when making decision ?		
	Actors involved in the implementation ?		
	Possibilities for non governmental actors to influence public decision thanks to participation process		
	or participation is just a formality ? which part has the participation process in the decision making process ?		
participation	Who is participating ?	NOT SPECIFIED IN THIS LEVEL OF DETAIL	
	Which interest are best represented ? Are interest groups easy to identify (lobbies ?)		
	Are (some) actors coordinating their efforts ?		
	Actors appearing for the first time ?		
	Actors which should be involved but are not ?	Kind of (type)	Why ?
		I	
		J	
	Actors mobilizing the territory ? (protest group, political leader, planner...)	Which kind ? (type)	How ?(project, spatial vision, ?)
		K	
		L	

B: Openness

Is there a mechanism or instrument for openness ?	Website allows for openness of information
If yes, What type ? (agencies for	Not that formal

information, law on administrative transparency, ...	
Are they known by the stakeholders ?	Not described
Can they be used by them ?	Not described
If yes, were they used by them ?	Not described
If yes, with which results ?	Not described
Is information accessible to the general public ?	Yes – through the homepage, though the degree to which information is put here is not discussed, neither is the type of information made available
Is there communication with the general public ?	One-way (see above) This is seen as one of the main constraints and weaknesses of the project and a <u>governance failure, which has lead to lack of societal support</u>
Existence of mechanism to involve actors (socio economic profile if possible) which should be involved but are not participating ?	Not described
Existence of ressources (financial, human) made available to those mechanism ?	Not described
Have specific agencies been created for the management of a policy, including openness to the public ?	Not described

6 Innovative and/ or interesting tools, practices and mechanisms

Are interesting tools or mechanism or practices of governance used ?	Not described
What is it ?	
Which level of public power are involved ?	See above – all actors thus far representatives of public power from local and regional levels
Which territories are involved ?	See above
Which actors are involved ? (experts ?, NGO ?, ...)	Not described
Do you think this is innovative ? Why ?	Not particularly – spatial plans an important startgic tool, but may need more involvement and mobilisation of interests outside the usual public realm in order to achieve more than 'common understanding' and 'co-operation', tools not described in any great detail in the report
What were the objectives of the governance process ?	The spatial plan
Could they be achieved with the tool, mechanism, practice presented ?	????

Conflict ; how was it dealt with ?	Normal dialogue between the civil servants
To which aspect of territorial capital does this governance process contribute ?:	
Social ?	
Intellectual ?	« development of more structural communication and ... more understanding and integration of policy on several fields », which is seen to enhance the possibility that « specific policies of the various cross-border actors now have more chance for mutual integration and a better mutual understanding » (p.18)
Political ?	« Important spin-offs in terms of cross-border communication and understanding » and « more formal lined of communication between the various departments » (p. 18)
Material ?	
What kind of resources does it need ? (human, legislative, finance,)	

7 Outcomes/ effectiveness

(policies, strategies, partly refer to matrix 'integrated policies'): decisions and implementation

Decision :

Was it possible to reach a decision ? If yes	Yes – spatial plan was drafted
How was it reached ? (process) : A top down decision ? or more bottom-up (local actors active and influent in the elaboration of the decision ?	Dialogue, which seemed to be more between the civil servants and sectoral experts than amongst the general publics
Who took the final decision ?	Process not described to that detail
The decision : what kind ?	Common vision
Short term, sectoral ? or Plurisectoral approach, middle or long term vision ?	Pluri-sectoral, though not particularly integrated, as the thematic groups seemed to be quite separate from each other (?)
What about the sustainability of the policy/strategy/decision taken ?	Sustainability inherent
Is it facing protest ?	Not as far as described in the report
Was it possible to elaborate integrated policy package and/or spatial vision ?	Yes
Was there any integrated planning or territorial policy coordination	Not prior to the plan (?)
Was there a capacity to 'integrate and shape (local) interest ... and to	Yes – this was the core of the project

represent them to external actors ?	
What was developed in relation to spatial planning ?	Planning document for the trans-national region
Is it helping EU territorial cohesion ?	This is expected (p.18)
What relations are there to EU strategies, rules, policies, fundings, ...	Not discussed in the report, though the themes seem to provide for ample opportunity for linking the themes of the document to EU policy processes
What relationship to ESDP in particular ?	Not discussed in the report, but same as above
If no decision could be taken, what is a possible explanation,	-
What are the consequences ?	-

Implementation :

What decision on implementation was taken ?	At the moment the project is in a standstill, as funding is unclear. The reasons for this are elaborated and are in fact quite interesting, as the lack of national and EU support is seen as the main hinder for implementation
Which interests were best taken into account ?	Those of the local policy-makers
Which interest were the least taken into account ?	Society at large
Who is in charge of implementation ?	Steering group
Are there specific mode of governance ?	-
Which group(s) benefit more from the implementation	Local planning communities
Which group(s) loose more from the implementation ?	-
Who is financing the implementation ?	??
Who is controlling the allocation of ressources ?	National/regional/EU levels responsible for funding
Are there new problems arising from the implementation ?	Yes - implementation cannot take place without the commitment for funding. The possibility for local fundings is not really elaborated.

8: Governance problems (ref part III)

Based on interviews with expert, what is the general understanding of the case ? (success ? problems ? ...)	Success : « lead to an increasing mutual understanding » + « created common spatila goals »
Do you agree with that	Yes

understanding ?	
It is an example of successful (territorial) governance, or is it a problematic case ?	Typical in many ways : Quite public sector/civil servant dominant, which makes it difficult to continue if EU fundings is not available. Involvement of local society more broadly, including the private sector and the « final beneficiaries » (=citizens) could have ensured that the project becomes a process with its own dynamic, rather than merely dependent on EU or national level support
More concretely,	
Was it possible to reach a consensus ? on which basis ?	Yes – in the form of the planning document
Was it possible to agree on the contribution of each partner/stakeholder ?	Not really discussed – perhaps this was one of the weaknesses of the governance approach, i.e. the reliance on public sector co-operation
Could they achieve 'negotiated and shared rules' ?	Not described really
Was it possible to achieve an integration of the territorial action ? (sectors, actors, instruments, level.....)	Not described really
Was it possible to reach a common spatial vision for the area of the study ?	Yes
Was it possible to go on with implementation ?	Not yet
If no consensual decision could be reached, what solution, if any, was found ?	-
What were the main aspects of the (new) mode of territorial governance ?	Not new mode, traditional trans-national co-operation between civil servants
What were the main changes leading to the new territorial governance in the policy design and application phases ?	Not described
How old are these changes ?	-
What degree of relationship do they have with ESDP and/ or mainstream EU policies	-
What about the 'rapport de force' ? (balance of power and power struggle) : were there obvious winners and losers from the decision taken ?	Tensions between the economic development objectives and sustainability objectives seemed to be quite central, though this theme was not discussed in sufficient detail perhaps
Which group(s) benefitted from implementation ?	?
Which group(s) lost from implementation ?	?
Were there obstacles or barriers to	Consensus was the practice

use governance practices and tools (consensus, cooperation, partnership, openness...)	
Considering the processes and outcomes of governance, what were the main weakness and strenghts ?	
Strenght	Weakness
Shared vision, consensus	Traditional civil service co-operation, the space for innovation seemed to have been over-looked
opportunities	Threats
Envolving a broader variety of stakeholders (though it may be too late now ?)	No funding available, not sufficient dynamic outisde the core group
Was the balance of this SWOT changing over time ?	??
What about possible future development ?	See above – funding the key issue

<p>Type of territory</p> <p>Trans-national</p> <p>Name of the case study: 14.2. Haparanda-Tornio</p>

1 : context

<p>Type of territory Geographical <i>(metropolitan area FUA, transnational, national, ... (cf matrix)</i> And physical (rural, urban, coastal, ...)</p>	<p>Part of the Provincia Bothnensis and 'the Bothnian Arch'.</p> <p>A polycentric region with high urban and rural densities. In the ESPON 1.1.1. typology the Finnish side of the twin city represents a FUA (Functional Urban Area) of local/regional importance. In ESPON 1.1.2 typology the NUTS III region represents type "Rural, low human intervention" and in ESPON 2.1.1 categories "peripheral" in terms of the multimodal accessibility potential.</p>
<p>Type of political and institutional framework</p>	<p>Provincia Bothniensis has an institutional structure of its own with government, government's working committee, organs and profit centre for services, cooperation secretary, secretary of services and project working groups.</p> <p>The broader framework is the national one, where both in Sweden and in Finland municipalities enjoy local autonomy and are therefore empowered to large extent to engage in co-operative efforts such as described in this report</p>
<p>Federal</p>	
<p>Unitary :Regionalised</p>	
<p>Decentralised</p>	X
<p>centralized</p>	
<p>Regime maintenance Or incremental change Or rapid change</p>	Incremental change
<p>Spatial planning framework Strategic (level),mandatory (level)</p>	Strategic, common vision 2020 for both municipalities

2: Vertical relations (territories and actors) during processes of public decision making in the case study (coherence, accountability, subsidiarity)

see V1 and V2

A: Vertical multi-level (of territories) relations of governance ("MLG") (V1)

B: Decentralisation, devolution, regionalisation (V2)

<p>Federalism, Unitary : Decentralisation, Regionalisation, devolution, ...</p>		<p>Unitary systems, but with decentralised structures and in some cases also moves towards more regionalisation (new forms of regional</p>
--	--	--

		co-operation bodies in Sweden in particular, though not relevant for the region in question here)	
Dynamic of the process (maintenance, incremental changes, radical changes),		Incremental change – the broader history of transnational co-operation in the area in question a prerequisite for the idea of actually implementing a shared spatial plan in the twin-cities. In 1997 a Nordic architect competition was held and in 1998-2000 a development plan was drafted with backing of the EU and national road offices. The implementation plan was drafted in 2001-2003 and the implementation started in 2003.	
Ressources (Finances) : Who decides the allocation ?		Municipal board in the final instance	
Who controls the allocation ?		Same as above	
<u>Level of territories</u>			
Central (or federal) state	A role ?	Yes – of providing the legal status required to take through the implementation	
	Formal ?	Yes	
	Informal ? (mainly ?)	Mainly a role in information management – setting up enquiries into what are the legal possibilities for the project, what kind of changes are required etc.	
Subnational			
`regional' council	A role ?	Not directly, though representatives involved in different working groups etc.	
	Formal ?	-	

	Informal ? (Mainly ?)	Yes
	Involvement ? (No, Yes strong, Yes a bit)	Yes a bit
	Autonomy ?	No
	Competences (no, yes a bit, yes a lot)	Responsible for regional development, but the spatial planning on local level
	Finances (no, yes a bit, yes a lot)	Through co-financing of the EU funding
	Negotiating power (no, yes a bit, yes a lot) ? (with ?)	Yes, some
Y (Local)	A role ?	Main actors
	Formal ?	Yes
	Informal ? (Mainly ?)	Also
	Involvement (No, Yes strong, Yes a bit)	Strong
	Autonomy ?	Yes
	Competences (no, yes a bit, yes a lot)	<u>Yes</u>
	Finances (no, yes a bit, yes a lot)	Yes, though not sufficient alone
	Negotiating power (no, yes a bit, yes a lot) ? (with ?)	Yes, a lot
	<u>Relations between levels</u>	
Central /subnational (Finnish government/Tornio municipality/På Gränsen/Rajalla -project)	Regulated and /or contractual ?	Regulated
	hierarchy, cooperation, coordination, OMC, conflictual ...	In many cases hierarchical
	Overlap or competition of competences	Should not be
	Negotiations : needed to reach objectives ?	Yes – both formal and informal
Subnational / subnational	Regulated and/or contractual	Not relevant here – local/local
	hierarchy, cooperation, coordination, OMC, conflictual ...	
	Overlap or competition of	

	competences	
	Negotiations : needed to reach objectives ?	
<u>Are non public actors involved ?</u>		
	If yes, which kind (private sector /economic interest, NGOs, organised group, non organised citizens)	
	Enterprises, trade unions, Federation of Finnish Enterprises	Involved in the steering committee of the På Gränsen-Rajalla project.
	Citizens and other possible « interested parties »	Possibility to be heard in the preparation of the plan (as required by the Finnish Land Use and Building Act) During the På Gränsen – Rajalla planning process interested parties have had several opportunities to state their opinion and also information meetings have been organized.
	Regional development Centre « Kotisatama » (« Home Harbour »)	Seeks to promote regional development in the Kemi-Tornio-Haparanda region in areas such as business development, internationalization and service provision, by establishing voluntary cooperation between the municipalities. The organization consists of a sub-regional council, board, managing director, office and team structures. Haparanda also has observatory status
Between territorial levels, are they cooperating ? Or dialogue, or coordination, or conflict ?		Co-operation is the core of the project
<u>Conflict</u>	Competition rather than conflict, between the regional urban centres (Kemi-Tornio-Haparanda in particular)	« It is possible that the sub-regional cooperation can change the relations between Tornio and Haparanda if the regional processes becomes stronger than the local ones » (p.9)
Are there mechanisms to deal with conflicts ?	Yes – both formal and informal	

Formal ?	As outlined in national planning legislation, request for rectification + appeal (pp. 6-7) Also the possibility of organising a local referendum, which was organised in Haparanda/Sweden, but not in Finland	Swedish referendum was organised in 2002. The majority of residents in Haparanda then said no for the project. Due to the <u>non-binding</u> nature of the referendum however the plan was implemented regardless of this, as decided by the municipal council.
Informal ?	Yes – mostly	
A main actor ?	The local municipalities and their decision-making	
Possibility to contest the decision ?	Yes – see above	
Accountability		
Is there one identified actor responsible/ accountable	If yes, which one ?	The local municipalities and their decision-making

3: Horizontal relations (actors) during processes of public decision-making in the case study (effectiveness, coherence, accountability, openness)

see HI

A: Horizontal "multi-channel" relations between actors, governmental and non-governmental (civil society, private sector), (H1)

Actors involved			
Which kind of role (manager, investor, protestor, ...)	Involved in which way ? (formal, informal ?)	Involved with which kind of tool ? (institutional structures, legal constituted partnership, established lobby organisations... or ad hoc group, informal meetings...)	Which part in the decision making process ?
The 2 municipalities involved in « Rajalla/På Gränsen »	Formal participants in the organisational structure and decision-making	Institutional structures, decision-making and co-ordination	Leading role, setting the agenda
The other 32 municipalities involved in the « Bothnian Arc » co-operation	Informally involved in the dialogue and discussion on the new forms of co-operation that have been emerging	Informal	More as a 'listener' or participant in discussions (informally)
Regional development Centre	Informal, sometimes	Informal	More as a 'listener' or participant in

« Kotisatama »	competition vis-a-vis the bilateral co-operation between Tornio and Haparanda across the border		discussions (informally) (Regional economic development the core, whilst På Gränse has spatial planning as the core – thus can be complementing each other also)
EU Interreg III A North programme	Formal, funding and planning	Both formal and informal	Providing the funding, but also the umbrella context for the project
Road Administrations (on both sides of the border)	Formal and informal	Within the project partnership	Involved in planning and implementation
Frontier River Commission	Formal	Legal role in the decision-making	Ensuring the river environment does not suffer unnecessarily
« INTERESTED PARTIES », as defined in the participation and impact assessment of the På Gränsen –Rajalla detail plan – ranging from residents, landowners, customs authorities, the regional environmental authorities, road administrations, regional and local museums, county administrative boards, neighbouring municipalities, border authorities, all the branches of local government (education, culture, social and health issues etc.), a variety of local voluntary associations and organisations (neighbourhood associations, birdwatchers etc.)			
Actors appearing for the first time ?	-	-	-
Actors which should be involved but are not ?	Kind of (type)	Why ?	
	Not reported		
Actors mobilizing the territory ? (protest group, political leader, planner...)	Which kind ? (type)	How ?(project, spatial vision, ?)	
		Political decision-makers, mayor and city council leaders referred to	Mobilising the public opinion and support (or in the Swedish case of the referendum – against it)
Governance	Actors coordinating their efforts ?	The partnership involved in the elaboration of « Vision 2020 »	
	new mode of	Provincia Bothiensis,	

	governance in the way the actors are involved ?	a new regional co-operation constellation	
<u>Decision</u>	Possibilities for non governmental actors to influence public decisions ?	Through partnerships	
	Is there one actor which has the final say about the decision ?	Municipalities	
<u>Conflict</u>	Are there mechanisms to deal with conflicts ?	Yes, as described above	
<u>Accountability</u>	Is there one identified actor responsible/ accountable	Municipality in the final instance, in the På Gränsen/rajalla project more difficult to identify	

4 Integration, coordination (territories)

see H2

(horizontal and vertical) Relations among territories; coordination of territorially based policies, multisectoral or integrated policies approaches

<u>Relations among the territories involved ? ...</u>	integrated policies, coordination, cooperation, dialogue, conflict	Due to which type of factors ? (<i>institutions, culture...</i>)
Between Haparanda and Tornio (Eurocity)	Vision 2020 involves 9 different sectors : environment/cultural environment, population development, knowledge/skills, economic life, social structures, culture/leisure-time/tourism, built environment, traffic connections and technical infrastructure	Functional motivations mostly, Long history and culture of co-operation
Kemi - Tornio	Status as « Regional centre » within the national level regional development programme	Functional motivations mostly
Provincia Bothniensis as a whole	Dialogue and co-operation in order to strengthen the position of this part of Finland	Functional and strategic
<u>Coordination</u>	Is there coordination in general	Yes – through the programmes mentioned above for instance
	Is there coordination concerning spatial planning for the area ? (statutory or not)	Yes – hierarchy of plans (statutory ; p.6)

	If not, possible explanation ?	-
<u>integration</u>	Is there territorial integration of policies, Or policy packages	Yes, through regional development programmes and such instruments, inter-municipal co-operation important
	If yes, which kind ?	See above
	What about conflict resolution. (formal or informal mechanisms, main actor... ?)	Informal most often
	What about accountability (one actor responsible ?)	Municipalities (p. 7) "In Finland the planning and zoning processes of the municipal area as well as strategic and regional planning in co-operation with other local authorities are some of the most important statutory functions performed by municipalities. The Land Use and Building Act gives local authorities power to make independent decisions in land-use planning matters. At the same time, the local authorities are to adopt a more open and interactive approach to planning."
<u>Thematic approach ?</u>	If yes, are all the territories concerned involved in the decision making process	Yes
If yes	If yes, in which way (which process/cooperation, partnership, ..	For Which actors (public, private, ...)
	Process of co-operation around the spatial vision 2020	
	Specifically, is there supramunicipal cooperation for planning ?	
	Yes	Within the inter-municipal co-operation in the context of the regional councils
	What about conflict resolution. (formal or informal mechanisms, main actor... ?)	See above
	What about accountability (one actor responsible ?)	See above

5 Participation, openness

A: Public (non-governmental) participation in the processes of decision-making, and the implementation of decisions

Are there specific mechanisms or instruments to involve civil society or private sector in the decision making process,	If yes, what kind ? (consultation, public inquiries, ... ?)	Statutory ?	Binding results ?
Yes « Spatial plans must be prepared in interaction with such persons and bodies on whose circumstances or benefits the plan may have substantial impact » ; see also the section on «interested parties » above)	Consultation in the planning stage, open meetings, information	Statutory	The contents of procedures for participation and impact assessment are as follows (Land Use and Building Act): <ul style="list-style-type: none"> - Basic information of the planning project: type of the plan, territorial coverage of the plan, background and purpose of planning project and the starting points of the planning process. - Methods for interaction and public participation: definition of stakeholders and interested parties, means of publicity, arrangements for expressing opinions, how the cooperation between authorities will be arranged. - Studies and impact assessment: what studies are needed, what impacts will be assessed, definition of the impact area. - Phases of the plan preparation: timetable of the planning project, dates for plan's public display, explanation of plan's handling in municipal bodies.

			- Contacts for further information and feedback . (p.11) FINAL RESPONSIBILITY LIES WITH THE MUNICIPALITY
Effectiveness ?	Significant and representative number of people participating ?	Yes	
	Demands taken into account when making decision ?	Yes	
	Actors involved in the implementation ?	Yes	
	Possibilities for non governmental actors to influence public decision thanks to participation process	Yes	
	or participation is just a formality ? which part has the participation process in the decision making process ?	No	
participation	Who is participating ?	See again the section on actors and « interested parties » above	
	Which interest are best represented ? Are interest groups easy to identify (lobbies ?)	Political leaders + Business community have been "most active"	
	Are (some) actors coordinating their efforts ?	Yes – business community in particular, this is why their voice has been heard so well	
	Actors appearing for the first time ?	Not reported, except for the Finnish-Swedish Frontier Rivers Commission	

		("Rajajokikomissio"), which has been activated here (pp. 13-14)	
	Actors which should be involved but are not ?	Kind of (type)	Why ?
		Environmental Impact assessment (EU notification on the issue ; p. 13)	Legally required, was not undertaken according to rules
	Actors mobilizing the territory ? (protest group, political leader, planner...)	Which kind ? (type)	How ?(project, spatial vision, ?)
		Mobilisation in particular by political leaders, in relation to the Swedish referendum in particular	Media and communications for the project

B: Openness

Is there a mechanism or instrument for openness ?	Planning and openness is formally well catered for in the Finnish system and " <i>the mechanism is prescribed in the Finnish Planning and Building Act. The legislative basis for public participation and influence on public matters is defined mainly in the Finnish constitution, Local Government Act, Act on the Openness of Government Activities, Administrative Procedure Act and in Land Use and Building Act.</i> "(p. 12)
If yes, What type ? (agencies for information, law on administrative transparency, ...)	See above
Are they known by the stakeholders ?	Yes
Can they be used by them ?	Yes
If yes, were they used by them?	Were used, though the project was not stopped due to conflicting views
If yes, with which results?	Boosted awareness and public debate
Is information accessible to the general public ?	Yes – as planning legislation requires, also project has a homepage with all the plans and stages described there
Is there communication with the general public ?	Yes – part of project activity
Existence of mechanism to involve actors (socio economic profile if possible) which should be involved but are not participating ?	Not reported

Existence of resources (financial, human) made available to those mechanism ?	Part of planning procedure and project management
Have specific agencies been created for the management of a policy, including openness to the public ?	No

6 Innovative and/ or interesting tools, practices and mechanisms

Are interesting tools or mechanism or practices of governance used ?	Yes – both locally and on the central government level
What is it ?	<p>Tornio and Haparanda have a cooperative body Provincia Bothniensis, which is innovative in itself, as the spatila planning and actual buyilding of the twin city is undertaken under its umbrella, which is the first time in a trans.national context for Finland.</p> <p>This has also necessitated a process on national level, i.e. the investigation into how to ensure that this can take place legally :</p> <p><i>...The function of the working group set up in 2001 by the Ministry of the Interior was to clarify the legal potential for intensifying cross-border cooperation between municipalities in Finland and Sweden on both sides of the national frontier, and to make proposals on this basis. The group was to focus primarily on ways of setting up a joint cooperation body under public law through which such municipalities would be able to operate. (Ministry of Interior 2002; Interview with PP. (P.14)</i></p>
Which level of public power are involved ?	In which way ? (partnership, cooperation,
	Co-operation and dialogue between national governments (Sweden-Finland in the legal matters), regional councils and regional actors more broadly in programme partnerships (in Interreg context), and most of all between the two municipalities and their politicians, civil servants and other stakeholders.
Which territories are involved ?	See above
Which actors are involved ? (experts ?, NGO ?, ...)	See above – both in formal decision-making and more informally
Do you think this is innovative ? Why ?	Yes – trans-national co-operation in a very concrete issue (urban planning) – trans-national co-operation across Finnish-Swedish border (as well as across other Finnish borders) has a long history, but more often than not it has been on

	« softer » issues such as culture and in areas that are not so concrete and tangible as here
What were the objectives of the governance process ?	To implement the plan
Could they be achieved with the tool, mechanism, practice presented ?	Yes
Conflict ; how was it dealt with ?	There has been a lot of discussion, but in some cases the process has also pursued despite the conflicts (e.g. the Swedish referendum as a example again – as it was not binding, the project went ahead irregardless)
To which aspects of territorial capital does this governance process contribute?:	
Social ?	Yes
Intellectual ?	Yes
Political ?	Yes
Material ?	Yes
What kind of ressources does it need ? (human, legislative, finance,)	Both financial (especially as the future of Interreg is still unclear) and human. Also legislative in the case of establishing a new legal entity

7 Outcomes/ effectiveness

(policies, strategies, partly refer to matrix 'integrated policies'): decisions and implementation

Decision :

Was it possible to reach a decision ? If yes	Yes
How was it reached ? (process) : A top down decision ?or more bottom-up (local actors active and influant in the elaboration of the decision ?	Both – top-down within the municipal decision-making perhaps, though local interests were heard also
Who took the final decision ?	Municipal council
The decision : what kind ?	To implement the plan
Short term, sectoral ?or Plurisectoral approach, middle or long term vision ?	Long-terms, pluri-sectoral
What about the sustainability of the policy/strategy/decision taken ?	Yes
Is it facing protest ?	Not much
Was it possible to elaborate integrated policy package and/or spatial vision ?	Yes

Was there any integrated planning or territorial policy coordination	Yes
Was there a capacity to 'integrate and shape (local) interest ... and to represent them to external actors ?	Yes – the international visibility has also helped in rallying support, as the project has often been used as a 'best practice' example in international contexts (such as this project in fact!)
What was developed in relation to spatial planning ?	Plan and implementation plan
Is it helping EU territorial cohesion ?	Yes
What relations are there to EU strategies, rules, policies, fundings, ...	The project is partly financed by an Interreg programme that has accelerated the process. The EU Commission has been involved in the process by making a note on neglected Environmental Impact Assessment procedures.
What relationship to ESDP in particular ?	Interreg programmes are based on the ESDP ideas (in particular polycentricity) and are important tools in applying them.
If no decision could be taken, what is a possible explanation,	-
What are the consequences ?	-

Implementation :

What decision on implementation was taken ?	Positive
Which interests were best taken into account ?	Those lobbying for implementation
Which interest were the least taken into account ?	Not reported, it is merely said that « According to the social impact assessment there are no clear losers. » (p. 16)
Who is in charge of implementation ?	Municipalities and the project organisation (incl. Project leader)
Are there specific mode of governance ?	Yes – reported earlier
Which group(s) benefit more from the implementation	Economic life, and the residents in the form of better services, benefit from the implementation.
Which group(s) lose more from the implementation ?	Not reported
Who is financing the implementation ?	Municipalities
Who is controlling the allocation of resources ?	Municipalities
Are there new problems arising from the implementation ?	Most problems are seen to relate to the previously identified bottlenecks of cross-

	border co-operation.
--	----------------------

8: Governance problems (ref part III)

Based on interviews with expert, what is the general understanding of the case ? (success ? problems ? ...)	The project is considered to be a success and it is seen as a next step in a dense cooperation between the municipalities after the countries gained the EU membership. The project can improve quality of life, which can be seen in better services. The project includes also European symbol values that can be exploited e.g. in the tourism sector. Primarily the project is, however, to improve the level of services. (p. 17)
Do you agree with that understanding ?	Yes : « exemplifies a cross-border governance practice in the making » (p. 17)
It is an example of successful (territorial) governance, or is it a problematic case ?	It is successful, but it is also problematic or challenging, as the legal status of trans-national entities is unclear, many issues that this region has faced with are related to traditional national sovereignty issues, though also to more functional tangible questions. If new and innovative solutions are found, they may be of relevance to other trans-national border regions in Finland and more generally
More concretely,	
Was it possible to reach a consensus ?on which basis ?	Yes: "The authorities and trade union delegates of the countries reached a consensus in the project in a form of a common development plan Visio 2020. After the EU membership the countries had a possibility to investigate differently a custom area located between Haparanda and Tornio. The area is 100% owned by the cities and did not create any profit." (p. 18)
Was it possible to agree on the contribution of each partner/stakeholder ?	Yes : « there has been an executive group consisting of authorities and experts in every phase of the project. Above the executive group has operated a steering committee that is a group of 10-12 persons consisting of local politicians, enterprisers and youths. In addition there has been a principal group of decision-makers, financiers and town managers on the top of the pyramid. The latest has taken care of the publicity and relations to national and regional actors » (p. 18)
Could they achieve 'negotiated and shared rules' ?	"In the implementation phase was done comparison between the countries' legislations and environmental impact assessments. The contents of the legislations were noted to be rather similar. This created a good basis for the necessary conditions and the planning processes in

	both cities were possible to implement at the same time. In Haparanda a general plan was drafted that comprises the area of both cities and both cities have made their own detail plans. New rules or norms are not created or needed but existing ones have been applied to the situation" (p. 18)
Was it possible to achieve an integration of the territorial action ? (sectors, actors, instruments, level.....)	Yes : « The project is so concrete that it has been considered certainly to foster a common way of thinking and finding a common conception » (p.18)
Was it possible to reach a common spatial vision for the area of the study ?	The Vision 2020 Tornio-Haparanda.
Was it possible to go on with implementation ?	Yes
What were the main aspects of the (new) mode of territorial governance ?	Based on the long co-operation tradition, the national level was involved in order to facilitate the establishment of the more formal part of the governance solution. (p. 19)
What were the main changes leading to the new territorial governance in the policy design and application phases ?	"The starting point for the national-level investigations on possibility of establishing a cross-border twin-city were closely connected to the vital core questions of municipal concern, i.e. how to maintain and develop further a basis for service provision on local level. It was perceived especially on the Swedish side of the border that in order to ensure service provision and quality also in the future, a more firmly established legal basis for cross-border co-operation and service provision was required. This is connected to the reform of the Finish local administrative structure and service provision responsibilities." (p. 19)
How old are these changes ?	New – citizens attitudes have changed during the process (p. 19)
What degree of relationship do they have with ESDP and/ or mainstream EU policies	Relationship to the "image" of ESDP and EU policies, as it is argued that "The attitude against the EU has changed from very negative to more positive due to the EU's regional policy. It is possible to see clearly how the situation has improved and what has been done with the EU funds" (p. 19)
What about the 'rapport de force' ? (balance of power and power struggle) : were there obvious winners and losers from the decision taken ?	« It is difficult to say who the final losers and winners would be. One issue of potential relevance here is the "home municipality" of future (possible) legal body since there seems to be tendency to see that Tornio would be the "host". This might be of relevance for the internal operation of the body. (Interview PP.) » (p. 19)
Which group(s) benefitted from implementation ?	Economic life and residents
Which group(s) lost from implementation ?	No losers were identified in the report

<p>Were there obstacles or barriers to use governance practices and tools (consensus, cooperation, partnership, openness...)</p>	<p>Not really – clear and long co-operation tradition paved the way: “There were not really specific bottlenecks identified and the co-operation has been smooth on all levels. There are potential constitutional issues however that have stood in the way of starting the drafting of a constitutional treaty upon which the cross-border public body with legal personality could be based. These are in most cases connected to the need to ensure that the constitutional rights of all citizens are respected, e.g. the issue of linguistic rights. On the Finnish side these issues have been solved in the investigation from 2002, in Sweden there is another national investigation on-going, to be reported in January 2006. As to possible bottlenecks in the future implementation, there should be an active attempt to avoid making things over-bureaucratic. Co-operation in different sectors has existed and proceeded over the decades despite the absence of a shared legal framework. Functional co-operation has been very pragmatic – if at an earlier stage someone had asked “is this legally possible” probably less would have been achieved (This is a comment you always get from the representatives of the two municipalities, also confirmed by the interviews, e.g. PP.)” (p. 19-20)</p>
<p>Considering the processes and outcomes of governance, what were the main weakness and strengths ?</p>	
<p>Strength</p>	<p>Weakness</p>
<p>close and firmly established co-operation between the authorities and actors both side the border, both on local and national level</p>	<p>the level of ambition and the degree of certain ambiguity in the process: the local authorities were not necessarily sufficiently clear on which sectors and which issues should be subject to the investigation, as almost all areas of service provision were seen as potential co-operation issues. When the constitutional problems and limitations then emerged, the disappointment was understandably great amongst the actors that had had high hopes for establishing a common legal body between the twin cities At times also language barriers</p>
<p>opportunities</p>	<p>Threats</p>
<p>better quality of services and better conditions to develop tourism. It is possible to create a cosy small town milieu and to show that there are living possibilities also outside the growth centres and the quality of life can be even</p>	<p>cities capability to control the future development and building the way that economic forces do not manage it too much. Economic trends</p>

better.	
Was the balance of this SWOT changing over time ?	Remains to be seen
What about possible future development ?	Connections to both structural reform in Finland and to European processes such as for instance the legal personality of "European grouping of cross-border cooperation"

Annex 4:

Pilot Studies – Metropolitan areas

ESPON 232: Case studies analytical framework

Identification of governance trends :

chapter 4 : metropolitan areas

Preliminary results (6 CS on 15) (Belgium /Brussel, Spain/ Barcelona, Hungary/ Budapest, Czech Republic/ Prague, France/Lyon, Ireland,/Dublin)

1 Context

The 6 cases illustrate different kind of political organisation, federal, unitary centralised , unitary decentralised, and unitary regionalised. They were all facing some changes in their institutional framework and political organisation in the last 20 years, some radical, some incremental.

The metropolitan area is generally constituted of a densely inhabited urban core, and surrounded by less dense areas.

Also, spatial planning exist at different level in each case, with a general frame coming from the national state, except in the federal case and the strongly regionalised case. In those two case (Belgium and Spain), the general frame is provided by the regional level.

2 Vertical relations (territories and actors) during processes of public decision making in the case study

Whatever the political organisation, there is an important role of regional and local level, and in 4 cases (Belgium /Brussel, Spain/ Barcelona, Hungary/ Budapest, Czech Republic/ Prague) , the general trends to fragmentation of power leads to blocked situation, with no possibility to come to an agreement, as each authority has enough competences to stop any 'integrating' process (even if the competence power they have is not followed with sufficient transfer of finance).

Problems arise when there are conflict of interest between the center and the periphery, which is the case in almost all metropolitan areas we studied. They are linked strongly to finance and economic development, as well as conflictual history in some case.

An important element to have in mind is the 'non equalisation' of finances, the non redistribution of financial resources, which is enhancing disparities and provoke individualistic behaviour.

The positive aspect is that no hierarchic authoritative decision can be taken and imposed, and that negotiations are requested. It seems that even when the national state is in position to impose its decision, it is not doing it.

Nevertheless, one sided decision can be taken by one actor, and having a strong impact on the other stakeholders, without easy possibility for the latest to react. It is the case e.g. for the Belgian case, where the federal has no hierarchic power of rules, but has a power of competences.

In two case (France/Lyon, Ireland,/Dublin) it seems that a balance of convergent interest for the multiple actors could be found on the territory of the metropolitan area, in two different institutional framework, unitary decentralised/regionalised, and unitary centralised, but with a common strong role of the national state.

3: Horizontal relations (actors) during processes of public decision-making in the case study

A main aspect is the involvement of public actors, from different level, executive leaders and administration, in formal and informal way.

Expert and planners are also involved when planning elaboration is at stake.

Private sector involvement is difficult to evaluate, but is certainly quite active through the organisation representing its interest.

(in general, economic interests prevail on environment. It is not so obvious between economic and social aspects).

In one case (Ireland), there is a permanent strategy of private public partnership.

Concerning civil society, we have to differentiate organised group and individual citizens: possibility for organised group to participate in and influence the decision making process, is usually present, in formal way or by strong lobbying, but the possibility of participation and influence for civil society seen as individual citizens concerned by a problematic is almost not existing. An interesting new tools in that respect is the 'Conseil de Développement' created by national law in France . (cf point 5).

Relations covers the full spectrum, from dialogue and negotiations to conflict, and can happen in a structured form or more informal, and can also go through judiciary ways (cf conflict).

In the conflictual situation, there is no obvious new ways of governance in the relations, which would help to deal with the new governance context (more actors than before are involved, no hierarchic decision are imposed).

In the 'consensual/convergent' situation, governance practice are at work in the case of Lyon (consensual cooperation and coordination of stakeholders) and Dublin (private-public partnership, sectoral coordination of the different local authorities in some matters).

Concerning the mobilizing of the territory, it is quite often the politics which are mobilising, with the official or non official influence of economic interests.

In some cases planners are important, in other protest committee (but in general, coordination seems to be a weak point for civil society).

4 Integration, coordination (territories)

Coordination – without even speaking about integration - on metropolitan area territory is a real problem, due to the fragmentation of power, the relative power of each level to stop any process, and the strong conflict of interest, most often linked to financial resources and economic development, but also to conflictual history or electoral stake. Nevertheless, some cases are giving more hope.

Therefore, we identify two groups:

conflictual (strong or soft), where conflict are blocking situation, and 'convergent/consensual group', where the convergence of interest allows a consensual approach for the metropolitan area.

In all the case, there is a multiplicity of stakeholders and an important institutional complexity.

All the countries concerned by conflictual situation were experimenting radical changes in their institutional framework and political organisation in the last twenty years.

The two 'convergent' cases concern countries where changes were happening, but incremental (harder: France, softer: Ireland))

Conflictual group:

Type A (Belgium)

No cooperation, no coordination, conflict:

No hierarchy of rules, but power of competences.

A federal organisation, with a metropolitan area extending on three different federated territories, with conflictual context, no existence of any inter or supra cooperation between them .no coordination and no cooperation, except when federal infrastructure is concerned, e.g. rail, but even in this case, negotiation are hard.

Type B (Spain/Catalunya)

Cooperation on part of the territory, conflict with the next level

Hierarchy possible, partly used

A unitary decentralised and strongly regionalised state, where the subnational 'regional' level (Comunidad Autonoma) is playing the role of 'central state' on its territory, and reinstalling a hierarchic relation at its level.

This regional level want to imposed its definition of the metropolitan region, very large, which is not the one from the municipalities (which are themselves cooperating on their chosen territory). Also, concerning planning, it still wants to go on with mandatory planning. One main objective would be coordination (and integration) on this territory. Nevertheless it is not an 'authoritarian ' hierarchy, but a 'horizontal process', needing the agreement of all level involved, and it was still not reached (after 20 years ...).

Type C (Hungary (a) and Czech Republic (b)),

Weak cooperation, conflict

Hierarchy possible, partly used

Two unitary recently decentralised state , where the central state keeps being the first actor, but facing strong empowered local government.

And local government facing the difficult task of being in charge of several competences, sometimes with no sufficient finance possibility.

One case (a): Decision was taken by the central state at the end, but with low profile, taking into account demands from local actors, which were lobbying directly to the national Parliament. Coordination should come.

Other (b): important strategies and 'document-program' were elaborated by national state to fulfil EU criteria to allocate funds, but on the metropolitan area there is no cooperation at work, no common vision and a general trends of individualistic behaviour with a 'laissez-faire' ideology.

Consensual/convergent group

Type D (France, Ireland)

Cooperation and coordination, convergence

Hierarchy possible and used

a: strong coordination and integration (France)

A unitary decentralised state, with regional power and strong local power.

A powerfull intermunicipal structure was created in 1967, following a central state decision. It has been developing since then, and is an extremely integrated structure with important competences. A new law in 1999 has given new forces to this intermunicipal cooperation, which is also cooperating with other level (Region, Department).

b: sectoral coordination (Ireland)

A unitary centralised state, with weak new regional power and local government in charge of spatial planning. The metropolitan area has been divided in several local authorities, which are not always cooperating. They coordinate on some specific matters (eg waste management plan), and cooperate at regional level when spatial planning strategies have to be elaborated

chapter 8 :

pilot project +

6 Innovative and/ or interesting tools, practices and mechanisms (to be completed with work from junior from nordRegio)

One case study presents interesting tools and practices, the Communauté urbaine de Lyon, with the existence of the recent Contrat d'agglomeration (from 1999 law), and the Conseil de développement, which has to be put in place (by law) and to include representant from political, economical, and civil society world. It is nevertheless still a consultative organism. Also in Lyon, exist the 'Commission consultative des services publics locaux', an interesting structure where elected people and inhabitants are joining.

chapter 9 :

5 Participation, openness (to be completed with work from junior from nordRegio)

on metropolitan area

Participation for non governmental actors is quite differentiated following the kind of actors:

for citizens, participation is usually only the possibility to be informed. Then there are also possibility for spontaneous action, of protest or support, but this is still a weak aspect in the decision taking process.

Organised group are better placed, as there are formal way for some of them to be in the process, but this is not something new (trade union, strong NGOs, etc...)

Private sector has also organised interest, and better way to be part in the decision making process, but in fact this aspect is not sufficiently investigated in the CS, as it takes quite some time to understand all the non official ways. Transparency and openness are not the case here.

A trends is the consultation of targeted actors (private sector, administration, public level), with more influence of those actors than in general public consultation

In some specific case, participation process for the all citizens are organised, but with no tool to involve citizens who should be part of it but are not (resource, time, understanding, ...). The result are never binding, and the way they are taken into account depends on political and electoral stake

Another strong general trends is to promote 'openness', with information concerning public (governemental) involvement.

chapter 10 :

7 Outcomes/ effectiveness

in type A, too many decisions were taken at different level, contradicting each other, and facing strong protest when implemented (from civil society as well as public authorities). Solution is still far away. Even if there is no hierarchy of rules (laws from the different federated entities are on a par between them and with the federal state), the main decision was taken by the federal state, as air transport road still are of its competences (power of competence) . Strong protest from civil society were only a bit succesfull.

in type B, decision could not be reached , and the process is going on since almost 20 years...In the meantime, there is a bottom-up intermunicipal strategic cooperation on a smaller territory.

in type Ca, decision were taken by the central state, generally coherent, but with very low profile.

Cb: concerning the metropolitan area, the national state is not taking any position, and the current trends is a 'laissez-faire' strategy . Outcome are on the one hand positive (economic investment, implementation of industry, ..) but one the other hand quite negative if we looked at sustainability on the middle and long term.

Civil society does not seems to be involved.

Da: several outcomes were coming out of the cooperation process, including long term plurisectoral strategy and common spatial vision.

Civil society is quite involved in the decision making, but not in the final decision, which is the responsibility of elected people. Implementation is more classical.

Db : several outcomes of policies coordination, but more sectoral. A common spatial planning development plan should be elaborated at regional level, with the cooperation of the local authorities. Private sector is quite involved, but not so much civil society.

chapter 11 :

8 Governance problems / conflict

Governance problems

Four of this case are not considered a success; two are quite problematic, and no solution has been found yet, one could arrive to an agreed consensual decision, but quite low profile, and it seems it will be the same for the last one. The governance metropolitan area is a highly difficult thema, with main aspects of fragmentation of power on the area and conflict of interest.

Two cases are more succesfull, a convergence of interest and a top down 'framework-decision' being two element of this success.

It seems from those preliminary results that institutional context is not the main point.

The fact that the only 2 'succesfull' cases are including a top down hierarchic decision, from a strong central state, should not mislead us: no cooperation structure can be created and implemented if there is not an agreement from those who are supposed to cooperate. The fact that the Gouvernement of Catalunya was not imposing its decision for 20 years, even if it could in theory, is an illustration.

All the more fragmented and decentralized institutional context are coming from a preexistent conflictual political context, which can be more or less exacerbated. Of course, the more partner in the game, the more possibility for conflict of interest, difficult history...

Therefore, there is no easy solution, and they are differentiated.

Conflict

how is conflict dealt with in our CS:

When conflict are not too tense, dialogue and negotiation are sufficient.

The real problem, where there should be some 'inventive' mechanism, appear when strong conflict of interest are confronting each other. Time and negotiations, in formal and informal ways, are helping, but in two cases, no consensus could be reached, and in two other cases, the consensus reached is (or seems that will be) very low profile.

In no case was there a specific organ put in place for dealing with conflict, including conflict with civil society;

Therefore, an important actor to note is the judiciary power. It is used when political process is facing strong protest, and gives a sudden power to individual citizen (generally representing several), but also to public power fighting against another public power.

How to get to more convergence?

In the Lyon case, where convergence of interest was sufficient to get over conflict, it is interesting to note that, if there was some hierarchic decision from the central state, it was followed with important resources to implement it.

The state still has an important role to play, in this case as a provider of framework, ressources and a guarantor of redistribution. This could stop too individualistic behaviour, coming from socio-economic and financial disparities.

It is a crucial point for metropolitan area governance. But this aspect of solidarity is not an easy one, and more wealthy territories do not easily agree to redistribute to less wealthy territories. In Belgium, it is an argument for those who want to go to confederalism.

Governance and the territory:

Territorial scales and governance: factor of success ?

Metropolitan areas: a meso level:

as we explained in wp4 CS (from CS to analitical framework, from analitical framework to identification of governance trends), the level of metropolitan area is considered a meso level.

What, at this level is a factor of success ?

What are the links with EU, and are they a factor of success ?

Links with EU :

We will consider two possible way of links with EU :
on the one hand, which reality for the five principles of governance expressed in the Commission White paper on governance,
on the other hand, which possible links with Eu strategies, in particular ESDP

Principles :

Openness

As we saw in a specific chapter, openness is certainly a principle in full use. It is a general common trend to promote it, with more communication, possibility for citizen to ask for information and to get it. Nevertheless, this concern only public involvement, the private sector remains much more discreet, even when it is involved with public partners.

Participation

As we saw in previous chapter, participation for different public level is also in full use, in vertical as well in horizontal relations.

Participation for non public actors is not so obvious, and in fact quite differentiated following the kind of actors: private sector and organised group have a long history of involvement in decision making process, and they keep on. In some case (public –private partnership), they are directly involved.

The real change would concern non organised civil society, and on that aspect, there is still not a lot of progress.

Openness is helping citizen who wants to react, but there is not always an official way for it.

In some case, participation process for citizens are organised, but with no tool to involve citizens who should be part of it but are not (resource, time, understanding, ...). The result are never binding, and the way they are taken into account depends on political and electoral stake.

Accountability

This principle, fundamental for a democracy, is not easy to identify on metropolitan area. In most of the case, the metropolitan area is splitted into different level of authorities, and there is no accountability on the territory of the metropolitan area. The accountability of the different level of public authorities involved has to be identified in each case, which is not always easy. The fact that competences have also been splitted territorially as well as sectorially is one more factor of complexity.

In one case, a clearly identified political structure was put in place for the metropolitan area, and it is accountable for the matters which have been delegated to it (Communauté urbaine de Lyon).

Effectiveness

In conflictual cases, even 'soft conflict', effectiveness is not a success. It is a crucial problem for metropolitan area, which are a functional reality, but can not be managed with common strategies and project. Every decision concerning whatever matter has to be agreed by a multiplicity of actors, which, as we saw in previous chapter, lead to blocked situation.

The 'convergent' cases have more efficient outcomes, and once more , the case of Lyon seems extremely satisfactory, for a cooperation involving so many actors. Dublin also can be considered a success in economical term, and for the implementation of common strategies, but in general it seems to be more a top down process.

Coherence

This principle is strongly linked to effectiveness, and faces the same problems. Many actors involved, several level of public authorities, and no cooperation or coordination. In some case, decision are even clearly contradictory.

Once again, the 'convergent cases' are much better here, as even with the complexity and multiplicity of actors involved, they could agree on cooperation and coordination. The 'communauté urbaine de Lyon' is even presented as an integrated structure, with important matters delegated to it.

It is an important aspect to underline, when we have to think about proposal for better governance : a consensual governance process can be implemented only when enough convergence of interest is present.

ESDp or other strategies

The general trend is that there is no direct links between Eu strategies and metropolitan governance.

Three cases are quite linked to Eu structural funds needs for spatial organisation, and have to fulfill the requirements of structural funds about strategies, territorial development,...
but in general, concerning the governance of meso level of metropolitan area, there is no obvious link with EU strategies.

Nevertheless, links exist in sectoral matter, eg environment (waste management, water cleaning, ...). Also, when a spatial plan could be established, it is taking ESDp into account.

Annex 5:

Pilot Studies – Innovative and/or interesting tools, practices and mechanisms

ESPON 232: Case studies analytical framework Chapter 9

Are interesting tools or mechanism or practices of governance used?

In all the case studies, the Master Plan for the Metropolitan Area of Sofia, the cross-border cities Tornio-Haaparanta and the Västra Götaland Region have used interesting mechanism or practices of governance.

The Master Plan for the Metropolitan Area (FUA) Sofia is being elaborated under new circumstances and by means of new methods, practices and mechanisms, which mark the transition from government to governance. More specifically, for a first time under the new conditions a planning document was worked out, which applied in practice the principles of partnership, coordination, cooperation, specific for a dialogue (public, private, professional etc.), involvement of all stakeholders, consensus building, the Governance White Paper principles, as well as involvement of local and regional authorities. It is worth noting also the use of integrative planning, policy package and territorialisation of policies, as well as strategic planning, which are then to be implemented with coordinated policies.

In the region Västra Götaland the regional council itself is an innovative practice in terms of governance. The way that Västra Götaland has the responsibility for regional development policies and the way they work with that remit is a new practice. The Västra Götaland Region is part of an official regional governance pilot in Sweden that has allowed two regions to be formed by the merger of a number of county councils. These are the Västra Götaland Region, which has Göteborg (Gothenburg) as its main urban centre, and Region Skåne, with Malmö as its main urban centre. In these two regions, directly elected regional bodies have taken over responsibility for regional development from the County Administrative Boards, which are the state bodies at the regional level.

The cross-border area Tornio and Haparanda have a cooperative body Provincia Bothniensis. Since the body has no formal power all decisions have to be made by councils of both municipalities. The function of the working group set up in 2001 by the Ministry of the Interior was to clarify the legal potential for intensifying cross-border cooperation between municipalities in Finland and Sweden on both sides of the national frontier, and to make proposals on this basis. The group was to focus primarily on ways of setting up a joint cooperation body under public law through which such municipalities would be able to operate. (Ministry of Interior 2002; Interview with PP.)

In the case studies are involved municipalities and regions. (Municipality of Sofia and 8 other municipalities, the Västra Götaland Region and the 49 local authorities in the region, organised in four sub-regional local authority associations and Tornio and Haparanda municipalities.)

Which actors are involved? (experts ?, NGO ?) And in which way are they involved?

Actors involved in the case studies are public administrations and experts on spatial planning but also private actors and residents have had a possibility to participate in all the developments. Amongst the actors are represented regional and local authorities, the state, universities and higher education institutions, organisations from trade and industry and the labour market, road offices and EU-programme officials.

In drafting of the master plan for the metropolitan area of Sofia have been involved local administration, including local companies, civil society, including business community (including both, public participation and stakeholder involvement), research community; At the level of the Sofia district – district governor and district administration; at the inter-municipal level – the network of municipalities as the created Economic and Social Council of the Sofia Metropolitan Region; At the level of State – Line ministries administration, who is responsible for approval of the plan before submitting of this plan to the Parliament.

Examples of participants in the work with the regional growth programme for Västra Götaland 2004-2007 are the Västra Götaland Region, the local authorities in the region, the state, the universities and higher education institutions, organisations from trade and industry and the labour market. Among these e.g.: The University of Göteborg, Chalmers University of Technology, the university colleges in Borås, Trollhättan/Uddevalla and Skövde, Swedish University of Agricultural Sciences in Skara, the West Sweden Chamber of Commerce and Industry, the Federation of Private Enterprises and the Federation of Swedish Farmers.

In the Tornio-Haparanda case the local authorities from both sides of the border initiated the planning project. The EU-membership brought new development possibilities and contributed to the development of the city centre. (Heliste, Kosonen, Loikkanen 2004). The work has been financed by the EU Interreg III A North programme and national funding. National funding for the project in Sweden comes from the administrative Board of Norrbotten, Haparanda city and the northern district of the Swedish Road Administration. In Finland the actors involved included the Regional Council of Lapland, Tornio city and Finnish Road Administration's Lapland District. The steering group has representatives from the municipalities and local businesses, as well as from the Road Administration. Residents, landowners and other interested parties have had several possibilities to participate during the planning process. So-called Frontier Rivers Commission has given permission for the water development in the project.

Do you think this is innovative? Why?

All the cases are considered innovative. This can be related to the governance process, the new regional development policies or the new way a plan is implemented across borders. In the Sofia case is seen innovative in the sense that the innovativeness is related to time (last twenty years), but also to important changes following the shift from government to governance and new forms of decision making processes, e.g. the practice or involvement of the civil society, private sector, expert advice and they give also an example of extending

the local sovereignty of cross-border regions' decision-making. These characteristics can also be common to all the three cases. In the Västra Götaland case innovativeness is specifically related to the way of working with regional development policies based in a directly elected body at regional level is new. It means that it is a new field of work for politicians at the regional level. The funding for regional work is also larger than when it was previously the remit of the county administrative board. In the Finnish-Swedish Tornio-Haparanda case innovativeness is especially related to the novel way the twin-city plan has been implemented across the border.

What were the objectives of the governance process?

In the Sofia metropolitan area as in the other cases the objectives to the governance process in the case studies were to regulate, to govern, to manage territorial dynamics through the pilotage of a multiplicity of actors. In the Västra Götaland case the objective were described as fourfold: to increase regional democracy, to provide better opportunity for regional strength and competitiveness (through joined-up work and critical mass) to better address the issue of environmentally sustainable growth and to increase efficiency and coordination. In the Tornio-Haparanda area the main objective was to implement the plan and even more so to establish a public body.

Could they be achieved with the tool, mechanism, practice presented?

In most of the cases objectives of the governance process could be achieved by the tool or mechanism presented or the process is at least going to the right direction. Some issues, however, are still unresolved. For example in the case of Sofia it is worth noting that the draft of the Plan has been approved by the Council of Ministers of the Republic of Bulgaria more than a year ago, however it has not been enforced as yet since it has to be approved by the Parliament in so far that the main portion of it is the Master Plan of the city of Sofia. In the Tornio-Haparanta cross-border region the official public body is still to be established even though the common plan is implemented and due to this some questions remain unresolved.

Conflict; how was it dealt with?

In the all case studies conflicts have been solved by negotiating between the different actors and seeking a consensus. Solutions on these conflicts were sought in Sofia through debates and wherever possible through consensus. In Västra Götaland there have been negotiations between different actors. In Tornio-Haparanda there has been negotiations and public investigations on local and national levels.

To which aspect of territorial capital does this governance process contribute?

All the case studies contribute to the all the aspects (social, intellectual, political, material) of the territorial capital or at least if the solution in the case is fully implemented. As resources needed for this are mentioned human, finance, R&D.

Based on interviews with expert, what is the general understanding of the case? (success? problems ? ...)

Based on the interviews with the experts the general understanding is rather manifold in some cases depending on the different perspectives. For example

there are different opinions concerning the quality and success of the Master Plan for the metropolitan area of Sofia as a document. Some find it successful, while others are on the opinion that the required integration of the respective policies has not been achieved. There are also certain opinions that other solutions with respect to the transport infrastructure, landfills, green areas etc. could have been provided for more efficient resolution of the existing problems. Bearing in mind the complexity and significance of the document and the broad range of issues it has to resolve, one may assume that the existence of diverse views about whether it is a success or not and about the extent to which it provides for efficient solution of the spatial development problems of the Metropolitan area is quite normal. It is worth noting also that the draft of the Plan has been approved by the Council of Ministers of the Republic of Bulgaria more than a year ago, however it has not been enforced as yet since it has to be approved by the Parliament in so far that the main portion of it is the Master Plan of the city of Sofia. According to the Bulgarian legislation the Master Plan of the Metropolitan area has to be approved by the General Assembly. When would this happen and whether it would happen at all is by now not clear.

As the Västra Götaland region was created three main objectives were formulated: increased democracy (direct elections), better efficiency/coordination of resources to improve service, and increased competitiveness. Two external evaluations have been carried out; Statskontoret (2004), Högskolan i Halmstad (2004). According to the VG Region itself, it has been an important effort and so far a success. The acceptance among politicians, municipalities, authorities, businesses and inhabitants is increasing as they have seen good results. Things are steadily going in the right direction. It is a natural region for the inhabitants. The power of taxation and the legitimacy of elected politicians are impressive. (Johansson, Yngve) Conflicts in the development include a lack of local perspective but particularly within the health sector where e.g. a local accident and emergency hospital has been closed down. (Johansson, Yngve.)

Whilst the focus is on the concrete project of establishing a plan and building an integrated city centre area across the Swedish and Finnish borders in the twin city of Tornio and Haparanda, the interest in this case is also connected to the novelty that is an integral part of this area and its co-operation. From the point of view of deepened cross-border co-operation in Tornio-Haparanda, the processes on-going in the background included national-level investigations as to the possibility of establishing the legal basis for a cross-border twin-city in the area. The legal preconditions for this were already investigated in the late-1990s and again in this decade, when the Finnish ministry of the Interior reported its recommendations on the issue. The mandate of the working group set up by the Ministry of the Interior was to clarify the legal potential for intensifying cross-border cooperation between municipalities in Finland and Sweden on both sides of the national frontier, and to make proposals on this basis. According to the brief, the group was to focus primarily on ways of setting up a joint co-operation body under public law through which such municipalities would be able to operate in a variety of functional areas. Another aim was for Finnish municipalities to be able to use new modes of operation in their cooperation with municipalities in other countries beyond this individual case. (Ministry of the Interior 2002, 17.) The project is considered to be a success and it is seen as a next step in a dense cooperation between the municipalities after the countries

gained the EU membership. The project can improve quality of life, which can be seen in better services. The project includes also European symbol values that can be exploited e.g. in the tourism sector. Primarily the project is, however, to improve the level of services. Buying powers are moving away from the northern region and measures are required to maintain a good level of services. (Interview JL.) The opening of IKEA store in the area can be seen as an evidence of success in that sense.

The understanding can be generally also agreed in the case studies. The Master Plan for metropolitan area of Sofia is rather a success and a very useful document, whose application will result in putting an end to the chaotic processes, which are currently observed in the city's spatial development. Its elaboration will to a certain extent also serve as a template for the drafting as a follow-up of spatial plans of the bigger cities in this country. For nearly a decade of performance under the conditions of market-oriented economy, until the production of this draft no attempt has been made to work out a Master Plan and it is in this respect that the current attempt was very useful. The well-designed components of this attempt are presently being multiplied in the master plans of other cities in the country, since as of 2004-2005 a marked increase in local authorities' drive towards development of new spatial plans has been observed. The Tornio- Haparanda case exemplifies a cross-border governance practice in the making as understood above.

Is it an example of successfully (territorial) governance, or is it a problematic case?

The cases analysed are seen as examples of successful governance practice in the sense of application of the principles of partnership, coordination, cooperation, dialogue (public, private, professional), involvement of all stakeholders, consensus building, as well as involvement of local and regional authorities, broad involvement of experts, the civic society and the business community. As explicit proofs in this respect are mentioned e.g. the conducted numerous public debates and the efforts for raising public awareness on the issues dealt with in a master/general/detail plan for a metropolitan or cross-border area and the underlying concepts and proposed solutions through the media. The Tornio-Haparanda case exemplifies a successful cross-border governance practice in the making.

Was it possible to reach a consensus? on which basis?

As estimating how the consensus was reached in each of the cases, it is difficult to answer because quite often the actors themselves, even the experts involved do not share the same opinion on how a given problem should be resolved. In all the cases, however, the major actors have achieved at least partly a consensus as in all cases the plan is being implemented or going to that direction.

In the drafting of the master plan for the metropolitan region of Sofia generally speaking, the major actors have achieved consensus with respect to the solutions laid down in the final draft. The final solution takes account of the views of the predominant share of the participants. When the final draft of the Plan was submitted to the Council of Ministers arguments in favour of acceptance or, in the event of negative decision – the reasons for discarding, have been enclosed concerning all written comments and proposals made by the different actors in

the course of public reviews of the preliminary version of the Plan, as well as those made in the process of coordination with the different ministries.

In the Västra Götaland the actors have achieved a consensus in the mode of a common vision for the region. End of the 1990's, the political parties established the so-called Väststyrelsen to prepare for the creation of the Västra Götaland region. All municipalities and county councils were represented. They worked through all the areas, which were expected to deal with, and allocated tasks, responsibilities and finances. This was a key factor for a good start. The reallocation of finances was negotiated (due to e.g. different tax rates between county councils and 25% of the Göteborg municipality's activities were to be transferred to the Region) but they were also here able to reach a consensus.

In the Tornio-Haparanda case the authorities and trade union delegates of the countries reached a consensus in the project in a form of a common development plan Visio 2020. (Interview JL.) However, some of the problems of the national-level investigations on possibility of establishing a cross-border twin-city in the area may have related to the lack of consensus on a common vision: how far were the local politicians, civil servants and citizens willing to go and within which sectors in order to put into practice the twin-city concept. Whilst the long tradition of co-operation in many sectors was clearly existing and provided a basis to take the co-operation further, there was not necessarily a common understanding on which sectors were the decisive ones for the common vision. Thus the national level legal investigation became an investigation on a broad front, which may have complicated the process. (Interview PP.)

Was it possible to agree on the contribution of each partner/stakeholder?

In general in the cases it has been possible to agree on the contribution of each partner/stakeholder. Often the actors themselves, even the experts involved in the working out of this version of the master plan for the metropolitan area of Sofia, do not share the same opinion on how a given problem should be resolved. In the particular case, generally speaking, the major actors have achieved consensus with respect to the solutions laid down in the final draft. The final solution takes account of the views of the predominant share of the participants.

In the Tornio-Haparanda case there has been an executive group consisting of authorities and experts in every phase of the project. Above the executive group has operated a steering committee that is a group of 10-12 persons consisting of local politicians, enterprisers and youths. In addition there has been a principal group of decision-makers, financiers and town managers on the top of the pyramid. The latest has taken care of the publicity and relations to national and regional actors. (Interview JL.)

Could they achieve 'negotiated and shared rules'?

Negotiated and shared rules were possible to find in all the cases. Since the master plan for the metropolitan area of Sofia was the first attempt to design such a plan in the recent 10-15 years, one may say that the proposed draft has to a certain extent succeeded in achieving "negotiated and shared rules" in a "governance" mode, consensus and shared vision. In Västra Götaland a vision,

"Det goda livet", was formulated and is still valid in the revised strategy from April 2005. In Tornio-Haparanda crossborder case was made a common strategy and vision for the future, Vision 2020 that comprises the area of both cities and both cities have made their own detail plans considering this. In the implementation phase was also done a comparison between the countries' legislations and environmental impact assessments. The contents of the legislations were noted to be rather similar and this has created a good basis for the necessary conditions and the planning processes in both cities were possible to implement at the same time. (Interview JL.)

Was it possible to achieve an integration of the territorial action? (sectors, actors, instruments, level)

In all the cases was also possible to achieve an integration of the territorial action. When drafting the master plan for metropolitan area of Sofia first attempt was made to achieve integration of the territorial action (among sectors, actors, instruments, networks, levels, etc), although much more might be desired. Giving a final estimate would be difficult since there is no reference for comparison and the implementation of the Plan has not started yet. In Västra Götaland region a vision, "Det goda livet", was formulated and is still valid in the revised strategy from April 2005. In the Tornio-Haparanda case the project has integrated the actors on both side of the border. Common seminars and meetings for the councils have been organised. The project is so concrete that it has been considered certainly to foster a common way of thinking and finding a common conception, for example in the mode of common strategy Vision 2020. (Interview JL.)

Was it possible to reach a common spatial vision for the area of the study?

In all the case studies was possible to reach a common spatial vision for the area. Both in Sofia metropolitan and Tornio-Haparanada area were made a common general/master plan. In Västra Götaland, in terms of physical planning, there was not made any plan since in Sweden there is no regional level regarding physical planning. In terms of strategic thinking was, however, reached the Vision "Det goda livet".

Was it possible to go on with implementation?

In the all cases the development is at least partly being implemented or the development is going to that direction. Only the implementation of the master plan of the metropolitan area of Sofia is not started yet. In the Västra Götaland the development is partly implemented. It is a very big process to merge three counties and parts of the responsibilities of Göteborg municipality. It is, in fact, the greatest merging of counties in Sweden over the last hundreds of years (except for the 'storlandsting' in Stockholm 1971). (Wångmar, Erik) There are geographical differences regarding population density, industry, and labour market. It is not an easy task, but there is a strong interest to follow this road, especially regarding the objective of increased competitiveness. (Johansson, Yngve.) The Tornio-Hapranada cross-border area the implementation of the project was partly successful and partly not. Before the referendum in Haparanda informing of the project was unsuccessful and due to this the objectors of the project succeeded better in bringing out their opinion. The consultative referendum divided the city in two. Town residents supported the project and

villagers opposed it. (Interview JL.) Despite the bad results of the referendum the project was implemented later.

If no consensual decision could be reached, what solution, if any, was found?

In Sofia and Västra Götaland a consensual decision was reached. In Tornio-Haparanda area the formal investigation for establishing a joint public body is ongoing.

What were the main aspects of the (new) mode of territorial governance?

The main aspects in the Sofia Metropolitan region were: consensus in taking of decision; involving all stakeholders and the decision is helping to reinforce territorial cohesion in a sustainable way. In Västra Götaland a main change is that a more coherent and joined-up work on certain issues such as infrastructure investments, and a cultural policy has started. This way of working has been implemented from the start. There is a strong connection to the EU, i.e. regional policy/structural funds and framework programmes, cohesion policy – but not so much ESDP. (Johansson, Yngve) The long cooperation in Tornio-Haparanda cross-border area has gradually been developed into an idea of a merged twin city across the national borders: with a vision of a EuroCity Haparanta-Tornio. In the beginning the municipalities cooperated in culture, leisure, environment, economic life, tourism and education, but later on they have widened the cooperation to include also social, environmental and health care issues, as well as technical infrastructure (e.g. rescue services or waste management). (Ministry of Interior 2002.) In 1987 a special cooperative body "Provincia Bothniensis" was set up for the development of this cooperation.

What were the main changes leading to the new territorial governance in the policy design and application phases?

The main changes leading to new territorial governance in the Sofia metropolitan area are: broad public participation and involving all stakeholders; focus on policies integration; focus on reinforcing of territorial cohesion in a sustainable way; specific programs for management the implementation of the master plan. The starting points for the national-level investigations on possibility of establishing a cross-border twin-city in Tornio-Haparanda area were closely connected to the vital core questions of municipal concern, i.e. how to maintain and develop further a basis for service provision on local level. It was perceived especially on the Swedish side of the border that in order to ensure service provision and quality also in the future, a more firmly established legal basis for cross-border co-operation and service provision was required. This is connected to the reform of the Finish local administrative structure and service provision responsibilities.

What degree of relationship do they have with ESDP and/ or mainstream EU policies

All the cases have rather strong connection to the EU policies and the ESDP. The Sofia metropolitan area case basic principles of the ESDP and the mainstream EU policies have been taken account of in the course of work on the Plan and one may definitely sustain that a high degree of relationship was sought. Important studies were conducted in the process of work, which contained

recommendations concerning the application of the principles and priorities of the ESDP and the mainstream EU policies related both to the elaboration process and the contents, as well as to the implementation of the Master Plan.

In the Västra Götaland area a main change is that a more coherent and joined-up work on certain issues such as infrastructure investments, and a cultural policy has started. This way of working has been implemented from the start. There is a strong connection to the EU, i.e. regional policy/structural funds and framework programmes, cohesion policy – but not so much the ESDP. (Johansson, Yngve)

In the Tornio-Haparanda cross-border case the broader objectives of territorial cohesion are of relevance. The broad objectives of the whole European integration process are also of relevance as the prevention of national economic, political and cultural barriers can be seen in a concrete way at the local level. Without the EU support the project would probably not have been implemented. In that sense the EU policies have played an important role in the project. The attitude against the EU has changed from very negative to more positive due to the EU's regional policy. It is possible to see clearly how the situation has improved and what has been done with the EU funds. (Interview JL.)

What about the 'rapport de force'? (balance of power and power struggle): were there obvious winners and losers from the decision taken?

In all the cases it is difficult to estimate who are the losers as the opinions considering this vary.

The objective of the master plan for Sofia metropolitan area (FUA) is to assist the sustainable and dynamic development of the process of European and global integration of the region. In the case of Västra Götaland the citizens are estimated as the winners as now having access to better roads, public transport, health care and cultural life – this was also the aim. The losers of the project may be found in sparsely populated areas but this is probably rather a general globalisation development than a result of the Region. (Johansson, Yngve.) In Tornio-Haparanda one issue of potential relevance related to the balance of power is the issue of the "home municipality" of future (possible) legal body since there seems to be tendency to see that Tornio would be the "host". This might be of relevance for the internal operation of the body. (Interview PP.) In general it is considered that winners are economic actors and the residents having better services and better sustainable dense city centre. Although it is difficult to say whom the losers are, the environmentalists have contradicted the project now implemented. In the environmental impact assessment have not been noticed any significant defects for the environment although some effects might occur for birds. (Interview JL.)

Which group(s) benefited from implementation?

In the cases of the Västra Götaland region and Tornio-Haparanda development the citizens having now access to better roads, public transport, health care and cultural life were considered to be winners. Thereby economic life was also seen as a winner. In the Sofia case any particular groups could not be mentioned.

Which group(s) loosed from implementation?

In the case Västra Götaland mentioned was that there may be losers in sparsely populated areas but this is probably rather a general globalisation development than a result of the Region. (Johansson, Yngve) In the cross-border and FUA case could not be found any particular losers. However, in the Tornio-Haparanda development has been objected by environmentalists. The development is located in a bird protection area and the cities compensate the area by creating favourable conditions for birds. (Interview JL.)

Were there obstacles or barriers to use governance practices and tools (consensus, cooperation, partnership, openness).

In the Sofia metropolitan area case were no particular obstacles. In other cases (Tornio-Haparanda and Västra Götaland), though, the old system was in some extent considered as an obstacle for the new tools or practices. Regional differences in Västra Götaland are, however, decreasing with time, communications and infrastructure are improving, and labour markets are expanding due to commuting. (Johansson, Yngve) In Tornio-Haparanda the co-operation has been smooth at all levels. There are potential constitutional issues however that have stood in the way of starting the drafting of a constitutional treaty upon which the cross-border public body with legal personality could be based. These are in most cases connected to the need to ensure that the constitutional rights of all citizens are respected, e.g. the issue of linguistic rights. On the Finnish side these issue have been solved in the investigation from 2002, in Sweden there is another national investigation on-going, to be reported in January 2006. As to possible bottlenecks in the future implementation recommended is that, there should be an active attempt to avoid making things over-bureaucratic. Co-operation in different sectors has existed and proceeded over the decades despite the absence of a shared legal framework. Functional co-operation has been very pragmatic – if at an earlier stage someone had asked “is this legally possible” probably less would have been achieved (This is a comment you always get from the representatives of the two municipalities, also confirmed by the interviews, e.g. PP.)

Considering the processes and outcomes of governance, what were the main weakness and strengths?

As strengths in the Sofia case are mentioned: territorially integrated policies; Involvement of all actors and stakeholders; Cooperation; Coordination; Partnership; Dialogue; a Common spatial vision

The strengths of the Tornio-Haparanda process were related to the close and firmly established co-operation between the authorities and actors both side the border, both on local and national level. The local authorities were particularly engaged and active in providing the information needed on the national level in the investigation process. The project creates symbolic values and it combines two weak core centres to one. Thus the availability of services and the quality of life improves. (Interview JL.)

Weakness in the Sofia case is Law process of approval of draft Master plan. In Tornio-Haparanda the weaknesses and challenges may have been connected to the level of ambition and the degree of certain ambiguity in the process: the local authorities were not necessarily sufficiently clear on which sectors and

which issues should be subject to the investigation, as almost all areas of service provision were seen as potential co-operation issues. When the constitutional problems and limitations then emerged, the disappointment was understandably great amongst the actors that had had high hopes for establishing a common legal body between the twin cities. (Interview PP.) Especially in Tornio the language barriers can also be seen as a weakness to some extent. The willingness and capability to speak Swedish on the Finnish side of the border is sometimes very low. (Interview JL.)

Opportunities mentioned in the the Sofia case are: Mobilizing of all actors and stakeholders in the implementation of the master plan; Strengthening the territorial cohesion; Using the opportunity of EU funding for realization of some decisions of the Plan; Helping EU cohesion

The opportunities of the Tornio-Haparanda project are also better quality of services and better conditions to develop tourism. It is possible to create a cosy small town milieu and to show that there are living possibilities also outside the growth centres and the quality of life can be even better. (Interview JL.)

Threats in the Sofia case is the increasing problems of spatial development of the Metropolitan Area and Sofia City due to the law approval or non approval of the Plan.

Threats in the Haparanda-Tornio case may be connected to the cities capability to control the future development and building the way that economic forces do not manage it too much. Economic trends create another threat. (Interview JL.)

What about possible future development?

It is expected that new governance modes can be used in future implementation in Sofia. Johansson believes that in Västra Götaland the new conglomerated Region will remain and that it will be a model for other parts of the country. (Johansson, Yngve)

In the Tornio-Haparanada case one of the most interesting points for the future may be the implications and repercussions of the reform of the local authority structure and service provision in Finland, which is currently debated. This may also be repercussion for the cross-border co-operation in different service areas, as certain issues may be shifted away from the local authorities all together. This is the case for instance in rescue services, where Haparanda and Tornio have close co-operation for a long time and where the national service model has been shifted from local to the regional level. Issues of interest for the future also include the connection of this case with the broader themes and modes of organisation within European cross-border co-operation (See for instance the Report on the proposal for a regulation of the European Parliament and of the Council on establishing a European grouping of cross-border cooperation (EGCC) - (COM(2004)0496 – C6 0091/2004 – 2004/0168(COD)). Here the intention is to establish European grouping of cross-border cooperation (EGCC) that would be invested with legal personality and capacity on behalf of its members, basically for the purposes of implementing and being responsible for the management of cross-border initiatives (of Interreg type). At least in the Finnish and Swedish cases it seems that establishing legal personality within a cross-border public

body will even in the future require international treaties. This has been the consistent view of the Finnish parliament and its constitutional law committee. (Interview PP.) The issues that have been relevant in the Swedish-Finnish context are naturally also of broader interest and it was intended that the solutions proposed/found in the investigation in the Tornio/Haparanda case could be implemented also in order similar cases across the Nordic borders. Yet the solutions that was proposed in the end was rather strenuous in terms of the bureaucracy involved, as the proposal was the drafting of a international treaty in each cross-border case. (Interview PP.)